

# Proposed Consolidated Plan

2014 Volume 3



**NYC**<sup>TM</sup> PLANNING  
DEPARTMENT OF CITY PLANNING CITY OF NEW YORK

*Effective as of July 10, 2014*

# Proposed Consolidated Plan

2014  
Volume 3



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**NYC**PLANNING  
DEPARTMENT OF CITY PLANNING CITY OF NEW YORK

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# Proposed 2013 CONSOLIDATED PLAN

July 10, 2014

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## **K. Monitoring Standards and Procedures**

Pursuant to 24 CFR Part 91.230, the City of New York monitors on an ongoing basis its entitlement program subcontractors, subrecipients, and project sponsors to ensure compliance with the statutory provisions of the National Affordable Housing Act. The fiscal and programmatic procedures of federally-funded programs already are audited or monitored by several entities: the City agencies which administer the federally-funded programs; an independent auditor, pursuant to the federally-mandated "Single Audit"; and, the City Comptroller's Office through its Charter mandate to investigate all matters relating to the City's finances. Therefore, it is not the intent of this plan to duplicate but to augment the City's monitoring procedures currently in place for its Consolidated Plan-related programs.

Each of the respective formula entitlement grants have separate and distinct regulations and statutory requirements. Therefore, the monitoring processes used by New York City's respective grant administering departments vary based on the type of entitlement grant. However, in general, the respective departments monitor their subcontractors, subrecipients, and/or project sponsors for timeliness of expenditure; the meeting of predetermined accomplishments/milestones; and, the compliance with the applicable federal requirements.

A brief description for the grant-specific monitoring procedures follows:

### COMMUNITY DEVELOPMENT BLOCK GRANT

The Community Development Task Force (CD Unit) of New York City's Office of Management and Budget (OMB) is responsible for the administration of New York City's annual CD award. The CD Unit is comprised of the Fiscal Unit and the Program Unit. Their responsibilities are highlighted throughout this narrative. The following sections detail the processes and procedures employed by the City of New York to ensure that all federal regulations applicable to CD funds are followed.

#### Eligibility Determinations

In order to qualify for CD-funding, a prospective program must meet two criteria. Firstly, the activity must fall into one of 22 eligibility categories listed in the CD regulations, sections §507.201-205. Secondly, the program must meet one of three national objectives: benefit to low- and moderate-income persons, aid in the prevention or elimination of slums or blight, or meet an urgent need. The CD Unit's Program Unit is tasked with ensuring that all programs are eligible (and remain eligible) and in compliance in accordance with the criteria set forth above.

#### Awarding and Monitoring of Contracts and Grants by City Agencies

Agencies that award contracts primarily do so through a competitive Request for Proposals (RFP) process that must comply with the City of New York's Procurement Policy Board (PPB) rules and regulations. A copy of the PPB rules and regulations can be found by visiting the City's website at <http://www.nyc.gov/html/mocs/ppb/html/rules/rules.shtml>. These rules are in place to safeguard the integrity of the procurement system and protect against corruption, waste, fraud, and abuse. Agencies awarding contracts review contractors' track records, skills, and staffing levels to determine the contractor's capacity to carry out the stated objectives of the contract. Agencies perform background checks on contractors and vendors using several sources of data such as LexisNexis and Vendex which provide information on past contractor performance. Some programs are required to award contracts to the lowest bidder while others are allowed to award the contract to the entity they feel is most qualified, not necessarily the lowest bidder. Entities that are awarded contracts that are not competitively bid are known as subrecipients. An example of a CD-funded subrecipient is the New York City Housing Authority.

Some agencies which award grants do so through a competitive application process. Others do so on a first-come, first-served basis provided the applicant meets eligibility criteria.

All CD-funded contracts and grants must include a document entitled “Appendix B”, which states all applicable federal laws.

#### Minority- and Women-Owned Business Enterprises and Section 3 Compliance

HUD mandates that all localities make a reasonable effort to procure goods and services through Minority- and Women-Owned Business Enterprises (MWBE). The City also has requirements regarding the participation of MWBEs in the contracting process. In cases where an agency helps facilitate a provider or an individual in selecting a contractor, most ensure that MWBEs are in the pool of prospective bidders. Each CD-funded program is required to itemize contracts of \$25,000 or more and document the race/ethnicity of the owner(s) of the business being awarded the contract. The agencies report this information on HUD Form 2516 to the CD Program Unit on a quarterly basis. The Program Unit staff reviews the forms and then forwards them to the Community Planning and Development Office at the local HUD headquarters.

HUD Form 2516 also allows for identifying which contractors qualify as Section 3 concerns. A Section 3 contractor is one who provides economic opportunities to low- and moderate-income residents of the metropolitan area. Section 3 contracts related to housing and public construction projects which have a CD-funded allocation of \$100,000 or greater are applicable. The CD Program Unit collects Section 3 data (how many low- and moderate-income persons were hired and their job classifications) on a calendar year basis and forwards the information to HUD as part of the City’s Consolidated Plan Annual Performance Report (APR).

#### Costs and Expenditures

Allowable costs are governed by the rules and regulations found in Federal OMB Circulars A-87 and A-122. Methods for determining the most reasonable costs vary from program to program. Salaries for CD-funded City employees are often set by the civil service system. All staff paid with CD funds must first undergo an eligibility review from the CD Unit to determine whether their job responsibilities are CD-eligible.

City agencies generally require contractors to submit bills on a monthly or a milestone basis, depending on the nature of the contract. Payments are generally made no later than 30 days after the receipt of the invoice (see exception for rehabilitation activities described in the preceding section). The CD Fiscal Unit monitors expenditures on a daily basis through the City’s Financial Management System (FMS). All programs must comply with the policies found within Federal OMB Circulars and HUD Administrative Requirements regarding audits, cost principals, and grant administration requirements.

#### Agency Monitoring

Agencies are responsible for monitoring their CD-funded programs. Monitoring includes both fiscal and programmatic oversight. Many agencies have created specific tracking systems for overseeing their beneficiaries. For those agencies that are involved in rehabilitation activities, monitoring includes on-site evaluation to determine the initial scope of work and periodic inspections on the progress. At the end of construction, agencies will complete a final inspection. Final payment is withheld until any outstanding work is completed to the agency’s satisfaction. Federally-funded rehabilitation of residential properties must be in compliance with HUD’s Housing Quality Standards.

#### OMB CD Fiscal Unit Monitoring

The CD Fiscal Unit is responsible for budgeting CD funds, drawing CD funds from the Federal Treasury, and monitoring expenditures. The staff monitors each CD-funded agency very closely utilizing a number of different tools at their disposal. First and foremost, each analyst maintains a good working relationship with their agency contacts and OMB Task Force contacts through meetings, phone calls and e-mails. Budgets are fluid and it is important that each analyst can call or e-mail a contact with questions, concerns etc. Changes to CD-funded agencies’ budgets cannot happen without OMB approval so the analysts are constantly viewing and reviewing the budgets and needs of the agencies for which they are responsible.

The main software tool that is used to monitor CD-funded agencies is the City’s Financial Management System (FMS). Through the utilization of FMS Control Categories, Budget Codes, and Object Codes, each CD-funded

program is distinct and unique in FMS. Control Categories and Budget Codes are four digit numbers assigned by each individual agency. Object codes are three digit numbers that are standard citywide. This aids in monitoring an agency's budget. By looking at the object code that funds are budgeted in, the Fiscal Unit can determine what the funds are being used for (ex. object code 109 is for fuel expenses, 600 is for contracts etc.). Due to this budgeting structure, an analyst can research a program in FMS and easily see the fiscal status, such as how much is budgeted, pre-encumbered, obligated to contracts, and liquidated. CRYSTAL is a software program that can extract summary information from FMS for each CD-funded program. CRYSTAL reports are run almost daily to keep track of the progress of each CD-funded program.

The CD Fiscal Unit also produces a number of reports that aid in monitoring the CD-funded agencies. The Unit produces among other things, a monthly report by city fiscal year (CFY), an inception-to-date status report (generally five times a year), budget cycle reports, surplus/needs exercises, CFY "close-out" reports, and the Annual Performance Report (APR). The very nature of preparing these reports requires a constant review of agencies' budgets.

#### Program Income

The CD Fiscal Unit is also responsible for monitoring CD Program Income, which is the primary supplemental revenue to the CD Entitlement. Program income can be generated from the receipt of fees and fines, repayment for work done by the City and through the sale of City-owned land that lies within a federal urban renewal area. The CD Fiscal Unit does general oversight and monitoring of all CD Program Income. This is accomplished through the utilization of FMS and verbal/e-mail communication with contacts. The CD Program Income Revenue Source codes are unique in FMS and therefore can be easily monitored. CRYSTAL reports can also be produced isolating the fiscal data for these revenue source codes.

#### Environmental Reviews

Environmental Review procedures for all federal programs were established by the National Environmental Policy Act of 1969 (NEPA). The HUD environmental regulations which followed can be found at 24 CFR Part 58: Environmental Review Procedures for Entities Assuming HUD Environmental Responsibilities. The CD Program Unit is responsible for ensuring that environmental reviews are completed for each CD-funded project and that there is written documentation of environmental compliance on file at OMB. The CD Program tends not to fund new construction so when rehabilitation is funded, the primary environmental issues are historic and floodplain reviews.

#### Certifications

At the beginning of each city fiscal year (July 1), the Program Unit sends out certification packets to Assistant Commissioners or Directors of CD-funded programs. Each certification packet includes the specific regulatory citations applicable to that program's CD-funded activities, a list of the general ineligible activities, and (if applicable) a copy of the most recent Section 8 Income Limits, which are used to determine low- and moderate-income beneficiaries. The certification process was created to ensure that administrators of CD-funded programs are knowledgeable about the CD regulations. Certifications must be signed by either the Assistant Commissioner or Director that oversees the CD-funded program. The CD Unit periodically conducts trainings on the CD regulations for agencies when there has been significant personnel turnover or there are compliance issues.

#### Monitoring of Program Performance

In July of each year, CD Program Unit staff request calendar year accomplishment projections from CD-funded programs. The proposed accomplishments are based on a HUD Performance Measurement Indicator that is identified for each program (excluding Planning and Administration programs). The City selects the indicator that most closely reflects the primary activities funded by the program. Along with providing their upcoming calendar year projections, programs are asked to revise their previous year's projections. Initial projections are published in the City's Consolidated Plan; revised values are posted in the City's Amended Consolidated Plan. At the end of the calendar year actual accomplishments are reported in the APR. The receipt of the revised projections and actual accomplishments gives the CD Program Unit the opportunity to evaluate the progress of

programs and consult with a program if it is not on track to meet its projections. The Program Unit also reviews the program expenditure reports produced by the Fiscal Unit to identify those programs that are not spending as they should. The Program Unit staff then determines the cause of the delays which could be related to the bidding or registration of a contract, the historic review process, contractor non-performance, the hiring of City staff that will assist in administering a program, etc. The Program Unit staff will intervene and assist whenever possible.

#### Equipment Purchases

Rules guiding the purchase of equipment can be found in OMB Circulars A-87 (15) and A-122 (15), §570.207 of the CD regulations, and §84.34 and §85.2 of the HUD Administrative Requirements. Generally, equipment purchases are not allowed unless the activity falls within the following categories: Special Economic Development Activities, Special Activities by Community-Based Development Organizations, or Public Services. The OMB Circulars define “equipment” as a tangible property having a useful life of more than one year and an acquisition cost of at least \$5,000. Items below this amount are considered “supplies”. However, the OMB CD Unit employs a policy in which all purchases exceeding \$150 per unit must be tracked on a Property Register Form. The form must also include all electronic devices regardless of cost.

The Property Register is a cumulative list. Equipment that appeared on a previous year’s list must also appear on the current year’s list unless the item was identified as disposed during the period covering the last Property Register. Agency staff must conduct a physical inventory of all CD-funded equipment and reconcile the results with the Property Register.

The CD Program Unit is responsible for collecting all Property Registers and for ensuring that all charges are eligible. Program Unit staff performs one or two on-site audits of a CD-funded program’s property each year to ensure that the items are located where the Property Register indicates they are and to guarantee that all property purchased with CD funds is labeled as such.

#### Other Monitoring Actions

CD Programs may also be monitored or audited by the Department of Housing and Urban Development, the New York City Comptroller and by independent auditors under the federal Single Audit and the A-133 audit requirements.

### HOME INVESTMENT PARTNERSHIP (HOME) PROGRAM

#### Affirmative Marketing—HOME-funded Rental and Homeownership Housing

The New York City Department of Housing Preservation and Development (HPD) reserves the right to conduct periodic inspections and spot-checks of the Developer’s tenanting process. HPD conducts site visits to assure records are properly collected and reserved.

Where there is suspicion of fraud HPD conducts an investigation

#### Monitoring Procedures for Affordable Housing Units – HPD

Affordable housing developments assisted with HOME Program funds are monitored in two phases: during construction and afterwards, when the property is occupied by low income residents. Before any funds can be released, loan agreements and related documents must be signed by the Borrower and approved by the City.

Besides repayment terms, the promissory note, and loan agreement, the City contract may include additional terms agreed to by the borrower, including requirements related to habitability standards, owner residency, tenant eligibility, and/or rent affordability guidelines.

Low-income tenancy and affordable rents are effectuated through a covenant, which is signed by the owner, recorded against the property title, so it ‘runs with the land’. Covenants have provisions that require annual tenant re-certification and periodic physical inspections when required by the grant. These additional provisions

are no less important than the repayment terms, and a material breach thereof may result in acceleration of the loan and/or foreclosure action against the collateral property.

The development cycle begins with the HPD commitment of HOME funds, and ultimately culminates into a finished housing development. HPD utilizes certain milestones as indicators to determine if the project is on track.

The construction phase is monitored by the HPD HOME-funded program staff. They perform inspections at each milestone of the process; their approval is required before funds can be released.

After construction, HPD's Tax Credit and HOME Compliance Unit takes over the monitoring responsibility as it checks for the required occupancy ratios, and also determines if clients meet income requirements. Compliance monitoring is accomplished through the regular monitoring of a borrower-provided management plan. Owners must provide HPD with reports on the current tenants and the rent schedule. These are reviewed for compliance by HPD staff.

When HUD issues revised income or maximum rent levels, all property owners are notified of the changes by the Occupancy Monitoring section.

#### Monitoring Community Housing Development Organizations (CHDOs)

- To ensure that organizations continue to meet all of the CHDO requirements, CHDOs are evaluated and re-certified by HPD every year or, at a minimum, are requalified as a CHDO each time it receives additional set-aside or operating funds.
- The minimum CHDO set-aside of 15% is calculated annually by HPD, and allocated to CHDO-sponsored housing development projects.
- CHDO oversight by HPD includes an evaluation of compliance with the HOME maximum purchase price/after-rehab value limits, the FHA 203(b) limits, for owner-occupied and homebuyer properties.

#### Other HOME Program Monitoring Activities

- HPD reviews the status of the HOME grant to ensure that the 24-month deadline to commit and 5-year deadline to expend funds are complied with.
- HPD monitors and reports back on the HOME match requirements to ensure that the 12.5% match requirement is met. An annual report is sent to HUD along with the Consolidated Annual Performance and Evaluation Report (CAPER).
- HPD also ensures compliance with the minimum HOME subsidy amount of \$1,000 per rental unit as well as the maximum 221(d)(3) per-unit limit subsidy amounts.
- HPD ensures that HOME-assisted rental units are inspected at the required frequency of inspections, as stated in the HOME regulations, and ensures compliance with the required HOME property standards.

#### Section 3 of the Housing and Urban Act of 1968

The City of New York, to the greatest extent feasible, is committed to directing job training and employment opportunities to low- and very low-income New Yorkers, and its programs have increased opportunities for these groups. The Department of Housing Preservation and Development (HPD) has undertaken various affirmative efforts to realize the benefits of Section 3 for local residents and local businesses:

- HPD includes information on Sec. 3 requirements in the equal opportunity packages provided to HPD developers, contractors and their sub-contractors.
- HPD reviews these requirements at weekly Pre-Award conferences with developers, contractors and sub-contractors.
- HPD includes the Section 3 clause in its HUD-funded contracts, alerting each entity of the program and its obligations. The clause also requires its placement in every subcontract subject to Section 3 regulations.

- HPD has implemented a quarterly review process for the efficient monitoring of Section 3 activity.
- HPD has created and posted a new HUD Section 3 webpage at the HPD website. The webpage contains an explanation of the regulations, reporting forms, a Section 3 Business Concern application, a directory of Business Concerns and a listing of employment/training referral sources. The webpage provides firms working with the agency easy access the information they need to comply.
- HPD has developed relationships, memorialized by Memorandums of Understanding, with local construction employment and training agencies (including YouthBuild programs) that offer formal training, job readiness and pre-screening programs. Our Section 3 webpage lists referral sources for firms seeking qualified candidates for any construction trade or management related job opportunities that may arise.
- HPD has a Memorandum of Understanding with the NYC Department of Small Business Services (DSBS) under which firms that certify with HPD as Section 3 Business Concerns will obtain business counseling and networking opportunities sponsored by DSBS by enrolling in their Emerging Business Enterprise Program. This partnership expands business opportunities and technical assistance for local firms. To date we have referred 6 firms.

HPD collects data to be used to report annual accomplishments regarding employment and other economic opportunities provided to low- and moderate-income persons under Section 3 of the Housing and Urban Development Act of 1968.

Recipients or contractors subject to Section 3 requirements must maintain appropriate documentation to establish that HUD financial assistance for housing and community development programs were directed toward low- and moderate-income persons. HPD ensures that all back-up documentation be appropriately filed and maintained by the agency for five (5) years.

#### Compliance Monitoring of Occupancy During the HOME Program Affordability Period

During the affordability period, all HOME projects are subject to Compliance Monitoring. The purpose of monitoring is to ensure adherence to the income and rent affordability requirements of the HOME program. Specifically, all newly vacated HOME units must be rented to tenants with qualifying incomes, the owner/managing agent must comply with the annual income certification requirements for all tenants in HOME assisted units and the owner/managing agent must comply with the HOME program's various rent restrictions. In addition, all HOME units are subject to an annual inspection to ensure compliance with the required HOME property.

Each year, the owner must submit to HPD's Compliance Unit the following information:

- A certified rent roll showing: (a) names and rents for tenants in all units, (b) tenant incomes and household sizes for tenants in HOME assisted units, and (c) dates of income certification for tenants in home assisted units,
- An initial income certification for each new tenant who has moved in during the prior calendar year and,
- A certification by the owner that the project is in compliance with all requirements of the HOME Written Agreement (form to be provided by HPD).

These documents will be reviewed by HPD for compliance. Concurrently, the results of the property inspections will be reviewed to determine if there are any uncorrected violations. A written report will be prepared which describes any findings and issues, along with details of any required follow-up. Projects with any pending findings or issues will remain in the active workload until all outstanding problems are resolved.

In addition to HOME Monitoring described above, which applies to all projects annually, HOME projects will also be subject to a more intensive file review on a less frequent basis. Such reviews may either be conducted at the owner's office or at HPD's office. In general the review will involve an in-depth review of income

certification documents, as well as other procedures used by the owner to ensure compliance with the HOME Written Agreement.

Certificate of Consistency with this Consolidated Plan

Developers' proposed projects must be consistent with New York City's Strategic Plan goals. Examples of such projects generally meet this goal when they include one or more of the following activities:

- Newly constructed housing targeting low- and moderate-income households.
- Rehabilitation of the existing housing stock in a manner that is sensitive to the need for accessibility by persons with disabilities.
- Supportive housing.

EMERGENCY SOLUTIONS GRANT (ESG)

The NYC Department of Homeless Services (DHS) receives Emergency Solutions Grant Program (ESG) grant money to increase the number and quality of emergency shelters and transitional housing facilities for homeless individuals and families, to operate these facilities and provide essential social services, to help prevent homelessness, and to rapidly re-house those who have entered shelter .

The Budget and Finance Units of DHS is responsible for the fiscal administration of the ESG grant. These units allocate the ESG funding and ensure that payments and claims are made in accordance with the approved uses of the grant for eligible activities, in consultation with DHS Program staff.

As part of ESG monitoring plan, DHS revised its standards according to the requirements set forth in 24 CFR 576.400(e) (1) and (e) (3). The purpose of the ESG monitoring plan is to determine if the ESG-funded programs have administered and implemented ESG-funded activities in accordance with applicable Federal requirements.

Program monitoring activities include review of conformance to grant agreement, record keeping and documentation, periodic progress reports, and monitoring site visits. As the result of monitoring review, DHS may conclude a program is in compliance with applicable regulations or may make a finding or concern. A finding is defined as a program element that does not comply with a Federal statute or regulation, whereas a concern is either a potential finding or a program weakness that should be improved to avoid future problems.

If any findings or concerns are identified after a program monitoring review, DHS works with the program staff in implementing corrective actions and making improvements, and produces a schedule for any needed technical assistance and training.

In order to monitor and report on the second allocation of ESG funds, DHS intends to hire one staff person in the Prevention, Policy and Planning Unit.

DHS will utilize its experience from its successful implementation of HPRP to evaluate the new ESG activities. DHS shared this framework with the Continuum of Care Steering Committee and will review periodically with the NYC CCoC Data Management Committee. DHS will utilize its HMIS to monitor performance through the following indicators:

- Number of individuals/households served by prevention and rapid re-housing activities
- Exit destinations (temporary and permanent) of individuals/households served
- % of clients served who avoid shelter entry
- Length of time served by ESG program

ESG funds will be used in DHS's existing homelessness prevention and rapid re-housing contracts that are currently funded by HPRP. This requires some internal processing with our Budget department but does not

affect the contracts or contracting process. Some of the funds will be used directly by DHS for its staff who perform prevention and rapid re-housing activities.

#### HOUSING OPPORTUNITIES FOR PERSONS WITH AIDS (HOPWA)

To ensure compliance with federal, state, and local regulations and guidelines, the New York City Department of Health and Mental Hygiene (DOHMH) conducts routine monitoring activities of its HOPWA-funded sub-grantees and projects sponsors. Monitoring activities are conducted on-site and remotely on an annual basis. Monitoring activities include, but are not limited to, the following areas:

- Eligibility
  - HIV status
  - Income
- Assessments/Reassessments
  - Client and household
- Housing Plans
- Organizational Policies and Procedures
  - Confidentiality
  - Termination of Participant Assistance
  - Conflict of Interest
  - Faith-based Organizations and Religious Activities
  - Fair Housing and Equal Opportunity
  - Documentation/Record Retention
  - Annual Reporting and Measurement of Outcomes
  - Performance and Outcomes
- Eligible Services
  - Tenant-Based Rental Assistance
  - Short-Term Rent, Mortgage, and Utility Assistance
  - Short-Term Housing Assistance
  - Facility/Project-Based Housing
  - Support Services
  - Housing Information
  - Permanent Housing Placement
  - Resource Identification
  - New Construction/Rehabilitation
- Leases/Tenancy Agreements
- Fair Market Rents
- Resident Rent Calculation
- Prohibition Against Fees
- Housing Quality Standards
- Environmental Review
- Audits Management
- Financial Management
  - Internal Controls
  - Financial System and Fund Tracking
  - Salaries and Wages
  - Cost and Allocation Principles
  - Record-keeping and Documentation
- Procurement Management and Methods
- Property/Equipment Management

Based on findings identified during monitoring activities, DOHMH may require sub-grantees and project sponsors to develop corrective action plans that outline activities that will be taken to resolve issue(s) identified and timeline for resolution. DOHMH monitors these plans closely to ensure timely resolution.

## **L. Certificate of Consistency Chart**

The Cranston-Gonzalez National Affordable Housing Act enacted in 1990 requires that any application for federal housing, homeless assistance, supportive housing services, or community development programs must have a certificate of consistency with the Consolidated Plan, and in some cases as specified in the regulations a certificate of consistency with local plans and zoning. A certificate of consistency is denied if an applicant proposes activities that are not consistent with the Consolidated Plan.

In order to streamline this process, the following chart identifies: 1) the lead agency responsible for providing the certificate of consistency letter to an applicant; and 2) the Agency contact persons along with their telephone numbers, and FAX numbers.

If your organization intends to apply for funds, you must contact the appropriate agency at least two (2) weeks prior to the HUD deadline for applications. Your request for a certificate should be in writing on the applicant organization's letterhead and signed by the executive director of the organization. The letter should include: a brief history of the organization applying for funds; the name of the funding source; the amount of funds requested; what you intend to do with the funds; if appropriate, the number of people to be served; and if appropriate, the neighborhoods to be served.

CITY OF NEW YORK 'S CRANSTON-GONZALEZ HOUSING ACT CONSOLIDATED PLAN CERTIFICATE OF CONSISTENCY PROCESS  
WITH THE CONSOLIDATED PLAN

HOUSING PROGRAMS	LEAD AGENCIES	CONTACT PERSON	TELEPHONE NUMBER	FAX NUMBER
HOPWA	DOHMH	John Rojas	347-396-7428	347-396-7559
HUD CONTINUUM OF CARE HOMELESS ASSISTANCE PROGRAMS: Permanent Housing, Transitional Housing, Safe Haven, Supportive Services Only, and HMIS.	DHS	Eileen Lynch Johns	212-361-7957	212-232-0559
SECTION 202 SUPPORTIVE HOUSING AND ASSISTED LIVING CENTERS	DFTA	Karen Taylor	212-442-0917	212-442-1206
SECTION 811 SUPPORTIVE HOUSING	MOPD	Jason Mischel	212-788-2830	212-341-9843
FAIR HOUSING INITIATIVE PROGRAM	DCP	Charles Sorrentino	212-720-3337	212-720-3495
HOUSING COUNSELING PROGRAMS	DCP	Charles Sorrentino	212-720-3337	212-720-3495
UNIVERSITY AND COLLEGE PROGRAMS	DCP	Charles Sorrentino	212-720-3337	212-720-3495
YOUTHBUILD (U.S. Dept. of Labor Grant)	DCP	Charles Sorrentino	212-720-3337	212-720-3495
HOPE VI PUBLIC HOUSING REVITALIZATION	DCP	Charles Sorrentino	212-720-3337	212-720-3495
SECTION 213(A) REVIEW	DCP	Charles Sorrentino	212-720-3337	212-720-3495

## **M. Certifications**

In accordance with the applicable statutes and the regulations governing the consolidated plan regulations, the jurisdiction certifies that:

**Affirmatively Further Fair Housing --** The jurisdiction will affirmatively further fair housing, which means it has completed an analysis of impediments to fair housing choice within the jurisdiction, is taking appropriate actions to overcome the effects of any impediments identified through that analysis, and maintains records reflecting that analysis and actions in this regard.

**Anti-displacement and Relocation Plan --** It will comply with the acquisition and relocation requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, and implementing regulations at 49 CFR 24; and it has in effect and is following a residential anti-displacement and relocation assistance plan required under section 104(d) of the Housing and Community Development Act of 1974, as amended, in connection with any activity assisted with funding under the CDBG or HOME programs.

**Drug Free Workplace --** It will or will continue to provide a drug-free workplace by:

1. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
2. Establishing an ongoing drug-free awareness program to inform employees about -
  - (a) The dangers of drug abuse in the workplace;
  - (b) The grantee's policy of maintaining a drug-free workplace;
  - (c) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (d) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
3. Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph 1;
4. Notifying the employee in the statement required by paragraph 1 that, as a condition of employment under the grant, the employee will -
  - (a) Abide by the terms of the statement; and
  - (b) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
5. Notifying the agency in writing, within ten calendar days after receiving notice under subparagraph 4(b) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
6. Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph 4(b), with respect to any employee who is so convicted –

- (a) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (b) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
7. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs 1, 2, 3, 4, 5 and 6.

**Anti-Lobbying** -- To the best of the jurisdiction's knowledge and belief:

1. No Federal appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement;
2. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, it will complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions; and
3. It will require that the language of paragraph 1 and 2 of this anti-lobbying certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

**Authority of Jurisdiction** -- The consolidated plan is authorized under State and local law (as applicable) and the jurisdiction possesses the legal authority to carry out the programs for which it is seeking funding, in accordance with applicable HUD regulations.

**Consistency with plan** -- The housing activities to be undertaken with CDBG, HOME, ESG, and HOPWA funds are consistent with the strategic plan.

**Section 3** -- It will comply with section 3 of the Housing and Urban Development Act of 1968, and implementing regulations at 24 CFR Part 135.

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Mayor, City of New York

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Date

## Specific CDBG Certifications

The Entitlement Community certifies that:

**Citizen Participation --** It is in full compliance and following a detailed citizen participation plan that satisfies the requirements of 24 CFR 91.105.

**Community Development Plan --** Its consolidated housing and community development plan identifies community development and housing needs and specifies both short-term and long-term community development objectives that provide decent housing, expand economic opportunities primarily for persons of low and moderate income. (See CFR 24 570.2 and CFR 24 part 570).

**Following a Plan --** It is following a current consolidated plan (or Comprehensive Housing Affordability Strategy) that has been approved by HUD.

**Use of Funds --** It has complied with the following criteria:

1. Maximum Feasible Priority. With respect to activities expected to be assisted with CDBG funds, it certifies that it has developed its Action Plan so as to give maximum feasible priority to activities which benefit low and moderate income families or aid in the prevention or elimination of slums or blight. The Action Plan may also include activities which the grantee certifies are designed to meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community, and other financial resources are not available;
2. Overall Benefit. The aggregate use of CDBG funds including Section 108 guaranteed loans during program year(s) 2011, 2012, and 2013, shall principally benefit persons of low and moderate income in a manner that ensures that at least 70 percent of the amount is expended for activities that benefit such persons during the designated period;
3. Special Assessments. It will not attempt to recover any capital costs of public improvements assisted with CDBG funds including Section 108 loan guaranteed funds by assessing any amount against properties owned and occupied by persons of low and moderate income, including any fee charged or assessment made as a condition of obtaining access to such public improvements.

However, if CDBG funds are used to pay the proportion of a fee or assessment that relates to the capital costs of public improvements (assisted in part with CDBG funds) financed from other revenue sources, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds.

The jurisdiction will not attempt to recover any capital costs of public improvements assisted with CDBG funds, including Section 108, unless CDBG funds are used to pay the proportion of fee assessment attributable to the capital costs of public improvements financed from other revenue sources. In this case, an assessment or charge may be made against the property with respect to the public improvements financed by a source other than CDBG funds. Also, in the case of properties owned and occupied by moderate-income (not low-income) families, an assessment or charge may be made against the property for public improvements financed by a source other than CDBG funds if the jurisdiction certifies that it lacks CDBG funds to cover the assessment.

**Excessive Force --** It has adopted and is enforcing:

1. A policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in non-violent civil rights demonstrations; and

2. A policy of enforcing applicable State and local laws against physically barring entrance to or exit from a facility or location which is the subject of such non-violent civil rights demonstrations within its jurisdiction;

**Compliance With Anti-discrimination laws --** The grant will be conducted and administered in conformity with title VI of the Civil Rights Act of 1964 (42 USC 2000d), the Fair Housing Act (42 USC 3601-3619), and implementing regulations.

**Lead-Based Paint --** Its notification, inspection, testing and abatement procedures concerning lead-based paint will comply with 24 CFR Part 35.

**Compliance with Laws --** It will comply with applicable laws.

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## Specific HOME Certifications

The HOME participating jurisdiction certifies that:

**Tenant Based Rental Assistance** -- If the participating jurisdiction intends to provide tenant-based rental assistance:

The use of HOME funds for tenant-based rental assistance is an essential element of the participating jurisdiction's consolidated plan for expanding the supply, affordability, and availability of decent, safe, sanitary, and affordable housing.

**Eligible Activities and Costs** -- it is using and will use HOME funds for eligible activities and costs, as described in 24 CFR § 92.205 through 92.209 and that it is not using and will not use HOME funds for prohibited activities, as described in § 92.214.

**Appropriate Financial Assistance** -- before committing any funds to a project, it will evaluate the project in accordance with the guidelines that it adopts for this purpose and will not invest any more HOME funds in combination with other Federal assistance than is necessary to provide affordable housing;

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## ESG Certifications

The Emergency Solutions Grantee certifies that:

**Major rehabilitation/conversion** -- It will maintain any building for which assistance is used under the ESG program as a shelter for homeless individuals and families for at least 10 years. If the jurisdiction plans to use funds for rehabilitation (other than major rehabilitation or conversion), the applicant will maintain any building for which assistance is used under the ESG program as a shelter for homeless individuals and families for at least 3 years.

**Essential Services and Operating Costs** -- Where assistance involves essential services or maintenance, operation, insurance, utilities and furnishings, it will provide services or shelter to homeless individuals and families for the period during which the ESG assistance is provided, without regard to a particular site or structure as long as the same general population is served.

**Renovation** -- Any renovation carried out with ESG assistance shall be sufficient to ensure that the building involved is safe and sanitary.

**Supportive Services** -- It will assist homeless individuals in obtaining appropriate supportive services, including permanent housing, medical and mental health treatment, counseling, supervision, and other services essential for achieving independent living, and other Federal State, local, and private assistance.

**Matching Funds** -- It will obtain matching amounts required under 24 CFR 576.51.

**Confidentiality** -- It will develop and implement procedures to ensure the confidentiality of records pertaining to any individual provided family violence prevention or treatment services under any project assisted under the ESG program, including protection against the release of the address or location of any family violence shelter project except with the written authorization of the person responsible for the operation of that shelter.

**Homeless Persons Involvement** -- To the maximum extent practicable, it will involve, through employment, volunteer services, or otherwise, homeless individuals and families in constructing, renovating, maintaining, operating facilities, and providing services assisted through this program.

**Consolidated Plan** -- It is following a current HUD-approved Consolidated Plan or CHAS.

**Discharge Policy** ---- It has established a policy for the discharge of persons from publicly funded institutions or systems of care (such as health care facilities, foster care or other youth facilities, or correction programs and institutions) in order to prevent such discharge from immediately resulting in homelessness for such persons.

**HMIS** – It will comply with HUD’s standards for participation in a local Homeless Management Information System and the collection and reporting of client-level information.

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Date

## HOPWA Certifications

The HOPWA grantee certifies that:

**Activities** -- Activities funded under the program will meet urgent needs that are not being met by available public and private sources.

**Building** -- Any building or structure assisted under that program shall be operated for the purpose specified in the plan:

1. For at least 10 years in the case of assistance involving new construction, substantial rehabilitation or acquisition of a facility.
2. For at least 3 years in the case of assistance involving non-substantial rehabilitation or repair of a building or structure.

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## APPENDIX TO CERTIFICATIONS

### INSTRUCTIONS CONCERNING LOBBYING AND DRUG-FREE WORKPLACE REQUIREMENTS:

#### A. Lobbying Certification

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### B. Drug-Free Workplace Certification

1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification.
2. The certification is a material representation of fact upon which reliance was placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, HUD, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
3. Workplace under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
4. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio stations).
5. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph three).
6. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

All locations have been filed with the Department of Housing and Urban Development and can be obtained from the HUD Area Office, at 26 Federal Plaza.

The certification with regard to the drug-free workplace is required by 24 CFR part 24, subpart F.

7. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

"Controlled substance" means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C.812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

"Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

"Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

"Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are not on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

**N. Summary of Citizens' Comments**

**1. Testimony from the Public Hearing to Formulate the Proposed 2014 Consolidated Plan, April 15, 2013**

No testimony regarding the Proposed 2014 Consolidated Plan was provided at the public hearing.

**2. Testimony from the Public Hearing on the Proposed 2014 Consolidated Plan, November 8, 2013**

No testimony regarding the Proposed 2014 Consolidated Plan was provided at the public hearing.

**3. Comments Received During the Public Comment Period on the Proposed 2014 Consolidated Plan, October 10, 2013 through November 8, 2013**

No comments regarding the Proposed 2013 Consolidated Plan were received during the Public Comment Period.

## **ADDENDUM: Affirmatively Furthering Fair Housing**

*The following is an addendum to the Affirmatively Furthering Fair Housing (AFFH) Statement One-Year Update originally incorporated into the Proposed 2013 Consolidated Plan Annual Performance Report (APR), March 31, 2014.*

### Analysis of Impediments

In May 2014, the City published *Housing New York: A Five-Borough, Ten-Year Plan*. *Housing New York* analyzed both impediments to affordable housing and impediments to fair housing and adopted strategies to overcome both types of impediments, which are discussed in detail in this Addendum.

### Examination of patterns of segregation

Although fair housing is broader than racial and ethnic discrimination, any analysis of housing needs and the impediments to equal housing opportunity must begin by examining the racial and ethnic composition of the city's neighborhoods. While New York City is widely known for its racial and ethnic diversity, diversity is not reflected in many of the city's neighborhoods. Two recent reports detail the present state of New York City's neighborhood demographics - The Changing Racial and Ethnic Makeup of New York City Neighborhoods (New York University Furman Center for Real Estate and Urban Policy, May 2012) hereinafter "Furman Report") and Implementation Plan for Sustainable Development in the New York Connecticut Metropolitan Region (New York-Connecticut Sustainable Communities Consortium, May 2014), hereinafter "Sustainable Communities Report." Together, these reports reveal the ongoing challenge of achieving diversity at the neighborhood level.

According to the Furman Report, New York City is the only one of the nation's five largest cities in which each of the four major racial and ethnic groups make up at least 10 percent of the population. As of the 2010 Census, 33 percent of New York City residents are white, 26 percent are Hispanic, 26 percent are black and 13 percent are Asian. However, many neighborhoods remain composed almost exclusively of one or two racial or ethnic groups. The Sustainable Communities Consortium report illustrates a similar pattern. According to the report, African-Americans primarily live in central Brooklyn, southwestern Queens, Harlem and sections of the Bronx. Hispanic residents primarily live in the south and central Bronx, upper Manhattan, central Queens and southern Brooklyn. Asians primarily live in the Lower East Side of Manhattan, central and eastern Queens, and southern Brooklyn. Comparatively, the region's white population is more highly dispersed, with large concentrations in Manhattan, and both northwestern and southern Brooklyn.

The Furman Report categorized each of the City's census tracts by racial and ethnic composition. Majority white, majority black, majority Hispanic, or majority Asian tracts were defined as tracts where more than half of the residents identify as belonging to the respective category and no other single group makes up more than 20 percent of residents. Mixed-minority neighborhoods were defined as tracts where less than 20 percent of the population is White and at least two other groups make up more than 20 percent each of the tract population (or no group constitutes a majority of residents). Finally, the Furman Report categorized census tracts as White-mixed where at least 20 percent of residents are White and at least 20 percent identify as the second respective category (White-black, White-Hispanic, and White-Asian, respectively). For purposes of the Furman Report, White-mixed tracts were characterized as "integrated."

The Furman Report examined socio-economic indicators within the respective categories for 2010. The report found that Majority White neighborhoods have, on average, the highest average income, share of college educated residents, and homeownership rates. Among the integrated neighborhood types, White-Hispanic and White-Asian neighborhoods average higher household income, higher home ownership and college degree rates, and lower poverty rates than their majority Hispanic or majority Asian counterparts. The average poverty rate in

White-Black neighborhoods is similar to that in majority Black neighborhoods, while college degree rates and household income are higher in White-Black neighborhoods, and homeownership rates are higher in majority black neighborhoods.

The Furman Report found that mixed-minority neighborhoods have, on average, the highest poverty rates and the lowest incomes, homeownership rates, and shares of college educated residents. Regarding homeownership specifically, White-Asian neighborhoods had the highest average ownership rate (42.2 percent), followed by majority White (38.5 percent), majority Black (33.8 percent), and White-Hispanic (28.9 percent), respectively.

The Furman Center also analyzed the demographic changes between the 2000 and 2010 census. Their analysis indicated that single-race majority neighborhoods became more diverse for majority White and majority Black neighborhoods but not in majority Hispanic or majority Asian neighborhoods. For majority White and majority Black neighborhoods, the share of residents of the majority race declined, on average, by 2.5 and 3.7 percentage points respectively. In majority Asian neighborhoods, the opposite occurred as the percentage of Asians increased on average by 13.3 percentage points. This most recent data indicates that while the City's White and Black residents remain concentrated, they are becoming less so over time. The City's Asian population has, however, become more concentrated. The share of neighborhoods classified as majority White declined, showing some progress toward desegregation, and the share of mixed-minority neighborhoods increased, reflecting larger trends.

The Sustainable Communities Report provides data that further illustrate the disparity in access to resources across neighborhoods. [Using the HUD definition of racially and ethnically concentrated areas of poverty (R/ECAPs)<sup>1</sup>, the report identifies New York City R/ECAPs located in 31 distinct neighborhoods. Except for a part of Long Island City in Queens and West New Brighton in Staten Island, all of these neighborhoods are in the Bronx, Brooklyn or Manhattan. The largest contiguous area stretches from East Harlem into the South and Central Bronx, including neighborhoods such as Mott Haven, Hunts Point, Melrose, Soundview, Morrisania, Highbridge and Fordham. Other upper Manhattan and Bronx neighborhoods include West Harlem, Norwood and Woodlawn. Two neighborhoods on the Lower East Side are across the East River from several neighborhoods leading into central Brooklyn—Fort Greene, Crown Heights, Bedford-Stuyvesant, Bushwick, East New York, Brownsville and Flatbush. Neighborhoods in southeast Brooklyn include Canarsie, Flatlands, Spring Creek, Arverne and Sheepshead Bay. R/ECAPs along New York Harbor waterfront include parts of Red Hook and Sunset Park.

According to the Sustainable Communities Report, the number and diversity of R/ECAPs in New York City result in a range of conditions and needs. Some are dominated by public housing while others have low-scale, unregulated buildings. Racial and ethnic composition varies greatly from neighborhood to neighborhood. Some communities have experienced little recent change in average incomes or poverty levels, but an increasing number have seen an increase in higher income and white households as many of the city's neighborhoods become more marketable and as many middle income households are priced out of nearby neighborhoods and look for less expensive housing. Some are within close commuting distance of Midtown or Downtown Manhattan, while many entail longer commutes into the central business district than would be required for residents of many suburban communities.

The Sustainable Communities Report further states while each individual neighborhood requires distinct interventions for deconcentration, some strategies will have a greater impact in neighborhoods with certain characteristics. Housing preservation strategies may be most important in gentrifying neighborhoods. Mixed-income transit-oriented development is applicable to neighborhoods with good transit capacity, a strong market and development capacity. Initial actions in other places may need to focus on public amenity, safety and service improvements.

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<sup>1</sup> Census tracts with populations over 50% non-white and a poverty rate of more than three times the region's average.

The Sustainable Communities Report indicates that bridging the divide between the opportunities available in low poverty, white and multi-racial areas and the needs of residents in high poverty and non-white areas requires a combination of strategies, including but not limited to improving access to affordable housing in areas where it doesn't currently exist, improving transit access in areas with high opportunities, building on the transportation access available in many low income communities, and improving job opportunities, education levels and workforce skills and preserving affordable housing in high poverty and non-white communities. The distribution of people, housing, schools and transit access among different types of neighborhoods demonstrates where the gaps are greatest and provides a framework for designing strategies.

### Impediments to Affordable Housing and Actions to Remove Impediments

Between 2005 and 2012 (the most recent year for which consistent data is available), the median monthly rent across New York City increased by about 11 percent, after adjusting for inflation. Over the same time, the real income of the City's renters has stagnated, rising from \$40,000 in 2005 to just \$41,000 in 2012 (both figures are adjusted to 2013 dollars). When rents go up, but incomes remain stagnant or decrease, housing becomes less affordable. Even those numbers fail to capture the extent of the problem, however, because households looking to move to a new apartment generally face higher rents than existing residents. Renters who had lived in their units for five years or less (recent movers) typically paid about \$230 more per month than all renters typically paid in 2012. Thus, newcomers to the City or households who need to move because of rising rents or a change in household status may face an especially daunting housing market. And of course, median rents vary from neighborhood to neighborhood. Furthermore, renters face increasing utility costs: monthly utility costs increased by 20 percent from 2002 – 2011.<sup>2</sup>

The current affordable housing crisis is rooted in many factors. Housing is considered unaffordable when housing costs consume too much of a person's income. As the discussion above shows, both sides of that equation have worked against the City's households in recent years. Wages have inched up slowly, while rents and utility costs have risen dramatically over the past two decades. One of the major drivers of those rent increases is a mismatch between the demand for, and the supply of, housing in general, and a gap between the demand for, and the supply of, affordable housing in particular.

Furthermore, the City's projected population growth places additional demands for affordable housing. Young families and empty-nesters are finding the City's vibrant culture and transit-oriented lifestyle more attractive than the suburbs. People from every corner of the nation and globe continue to pour into the City, seeking opportunities for themselves and their families. As a result, the City has grown to 8.4 million people and the population is expected to continue to rise, surpassing 9 million residents by 2040<sup>3</sup>. This population growth is a reflection of the City's success in attracting and retaining people from all over the world, but it also brings with it a growing need for housing.

Although the City's current housing stock of approximately 3.4 million units is the largest it has ever been, recent additions to the stock have not been sufficient to accommodate the growth in demand. The foreclosure crisis and Great Recession led to declines in housing construction, limiting the supply of new housing. Hurricane Sandy destroyed or damaged many homes. Constrained credit markets in the aftermath of the foreclosure crisis have slowed the lending necessary to generate additional construction.

In addition, the supply of new housing in New York City is constrained by the high cost of building here. In many neighborhoods, land values are at record highs, so that developers face high upfront costs to acquire land

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<sup>2</sup> Data Source: 2005- 2012 American Community Survey (1-Year Estimates); Bureau of Labor Statistics CPI- NYC, Housing New York, A Five-Borough, Ten-Year Plan, Our current affordable housing crisis; Housing costs are rising much faster than incomes.

<sup>3</sup> Data Source: New York City Department of City Planning, Population Division. Population projections.

for new buildings. New York City is also one of the most expensive construction markets in the country. As the cost of building increases, housing developers respond by building fewer housing units, charging more to rent or buy a home, or both.

In early 2014, Mayor de Blasio asked City agencies to study whether New York City could improve upon its considerable efforts to affirmatively further fair housing that occurred under previous administrations.

In May 2014, the Mayor announced Housing New York, A Five-Borough Ten-Year Plan. The Plan set a ten-year goal for the construction or preservation of 200,000 units of affordable housing, approximately 70% of which would serve households at or below 80 percent of the Area Median Income (AMI). In the plan, possible impediments were identified that, if removed, would facilitate the achievement of this ambitious affordable housing goal.

The Plan indicated that such impediments to new housing take a variety of forms:

- The supply of new housing—particularly affordable housing—has failed to keep up with demand, and as a result, greater competition for limited supply has driven up housing prices and made many of the City’s neighborhoods less affordable. These pressures are making it increasingly difficult for moderate- and middle-income workers to remain in the City, and they are placing particular strains on the lives of lower-income New Yorkers. In response, over the course of the next ten years, the City will identify areas across the five boroughs where coordinated planning with communities – including changes to land use and zoning, and improvements to infrastructure and services – can promote substantial opportunities for new housing that complement and enhance neighborhood character. In addition, the City will establish a new mandatory Inclusionary Housing Program to ensure that the housing marketplace serves New Yorkers at a broader range of income levels. This program will require a portion of the new housing developed in the City to be affordable. Additionally, the City will improve the effectiveness of its existing voluntary inclusionary housing program.
- Certain existing regulations unduly burden or restrict the development of affordable housing. Amending regulations to remove these impediments would encourage the construction of new housing.
  - In “Inner Ring” neighborhoods that are located outside the Manhattan core but are accessible to transit, employment centers, and services, per-unit parking requirements for affordable housing exceed car ownership rates among low-income households. Where parking is built for affordable housing, spaces often go unused. The construction of unnecessary parking spaces increases construction costs and may deter development or reduce the number of affordable units that can be produced. The City will propose appropriate reductions in parking requirements for affordable housing developments near public transit.
  - Because of higher standards for housing, the rise of green technologies, and new methods including modular construction, today’s residential buildings typically have higher floor-to-floor heights than the buildings of 30 years ago, when many of the height and setback regulations of zoning were established. Standards for retail space have also increased to provide an improved shopping environment and to allow space for modern ventilation and other mechanical systems. Especially when combined with the floor area bonus allowed through the Inclusionary Housing Program, these factors can make it difficult to accommodate the full amount of housing allowed within the permitted height and setback limits. The City will propose zoning changes that would provide some additional flexibility to these regulations to facilitate housing creation, further encourage use of the existing Inclusionary Housing zoning bonus, and improve the quality of both housing and street-level commercial activity.

- Over time, many older buildings have become obsolete for their original intended purpose. To address the need to repurpose these buildings, zoning regulations allow non-residential buildings constructed before 1961 to be converted to housing, irrespective of current residential bulk regulations in some parts of the city. However, in other areas, the regulations for the conversion of obsolete non-residential buildings to residences have not been consistently updated. The City will explore extending conversion opportunities to add additional residential and commercial areas of the city. Conversion of obsolete commercial and community facility buildings would unlock potential housing without the need to build anew. More thoughtful zoning policies then allow for true mixed use opportunities.
- From the 1940s to the 1970s, many large sites were developed under Mitchell Lama and other programs with high-rise housing in a “tower-in-the-park” configuration. These sites are governed by special zoning rules that require large expanses of open space, often occupied by open parking lots. These open areas potentially provide opportunities to site new housing, including affordable units. However, zoning restrictions would need to be eased. The City will initiate zoning changes to facilitate development on these large sites while preserving light, air and usable recreation space.
- While the City’s highest-density zoning districts allow development at substantially higher densities for commercial uses, a cap in the State Multiple Dwelling Law currently restricts the amount of housing that can be provided in any building to a floor area ratio (FAR) of 12.0. Removing the statutory limit would allow more housing, including affordable housing, to be developed in high density areas, provided that the zoning is also amended, a process that will entail a full public review. The City will propose state legislation to remove the FAR limit and permit decisions about maximum density to be made through the local land use process.
- High construction-related costs in New York City are a result of numerous factors, including but not limited to regulatory and policy requirements, limited competition, slow adoption of new technologies, and outdated laws. Addressing these various factors may help contain construction-related costs and facilitate affordable housing production.
  - The City will convene a task force to solicit input from the industry and other stakeholders about how to consolidate and streamline the permitting and review process across agencies in order to reduce costs and avoid delays for developers. The task force will focus on modernizing and automating filing, reviewing, approval and permitting processes by upgrading technology, and on identifying opportunities to further expedite reviews by reforming and aligning permitting procedures.
  - The task force will also explore how to streamline interagency coordination for City infrastructure investments to support community development. Reforms like better tracking of payments and change orders, more flexible contracting methods, and more efficient project management will be a primary goal.
  - The Department of City Planning (DCP) will implement new agency rules to provide greater predictability and transparency to the pre-certification review of land use and environmental review applications. The new rules formalize the pre-filing submission and meeting participation requirements of the BluePRint review process, establish timeframes for action, and provide a clear, predictable roadmap for applicants and DCP as a project moves from conception to filing.
  - City Environmental Quality Review (CEQR) is the process by which the City conducts environmental quality reviews of discretionary actions, including land use and other approvals,

in compliance with city and state law. Over the years, the CEQR process has become increasingly complex, and the delays and costs associated with environmental reviews have become burdensome to both public and private applicants seeking approvals to build affordable housing or take other actions. The City will review the CEQR process to make it more efficient and make Environmental Impact Statements more comprehensible to the general public and affected communities. It will examine how environmental reviews are undertaken in other jurisdictions in order to incorporate best practices into the New York City process.

- The City will work collaboratively with real estate developers, construction and building trades to help reduce the costs of construction without sacrificing the quality of our buildings or the livelihoods of those who build our City. While improvements were made to the Department of Buildings' Permitting Approval Process in recent years, more needs to be done to remove additional inefficiencies and encourage the use of new construction technology. The City will also study its building and fire codes to assess what changes could reduce costs without jeopardizing safety.
- Lowering construction costs is also about expanding the pool of subcontractors. This includes small businesses, especially Minority and Women-Owned Business Enterprises M/WBEs. The City will work to expand our existing programs that help these businesses grow by providing technical assistance, matching M/WBE owners with mentors, and securing loans and surety bonds for M/WBEs. This will ensure that the business owners have the skills and training they need to increase capacity, grow and thrive.
- Developing housing that meets our changing demographics and the evolving ways New Yorkers live is critical. The City's housing stock currently does not adequately reflect the needs of the growing number of one- and two-person households. Moreover, many larger families face significant rent burdens because of lack of affordable two and three bedroom units.
  - The City has many regulations that restrict the development of smaller housing units. Zoning regulations establish a minimum unit size of 400 square feet for multifamily housing in many areas, limit the density of units based on lot area, and prevent the construction of a building consisting solely of units built at the minimum square footage. However, projects in other cities and pilots in New York City are demonstrating that developers can build compact units that are livable, safe, and healthy and contribute a new set of housing options for small households. A compact unit includes a kitchen and bathroom and is often smaller than allowed under current regulations. This housing type is likely most appropriate in highly transit-accessible neighborhoods that contain a large proportion of small households. The City will review the results of the pilot now underway once it is completed, and consider zoning changes to allow the construction of both compact units and a greater number of small units per building.
  - The City will amend its current housing policies to encourage the development of more studios and three-bedroom units, thereby creating housing stock that more closely meets the needs of the population. Current HPD policy requires new construction projects to contain either 50 percent two-bedroom units, or 30 percent two-bedroom and 10 percent three-bedroom units. Oftentimes, developers opt for the former. By promoting the latter option, 60 percent of the units can be developed as studios and one-bedrooms, which are suitable for smaller households, while providing increased opportunities for larger families to find affordable housing.
  - Currently, there are other regulatory barriers that do not support sensible unit size distribution. For example, the 421-a program requires that the unit size distribution of market rate units mirror that of the affordable units or 50 percent two-bedroom units. A developer who wants to build studio and one-bedroom market rate units is forced to build larger units than the market

may dictate in order to mirror the requirements that subsidy programs impose for two- and three-bedroom affordable units. The City will work to eliminate these inefficient regulations.

- The ability to secure affordable housing in inclusive mixed-income neighborhoods is based on the provision of units and the household's ability to pay affordable rents. In addition to promoting the development of new affordable housing, the City can improve fair and affordable housing opportunities by working to increase income and employment for New Yorkers. To this end, the City is working on several initiatives to expand workforce opportunities.
  - HUD formula entitlement grants require that Minority and Women-Owned Business Enterprises (M/WBEs) are provided the opportunity to participate in the development or preservation of affordable housing. However, many of these businesses are unfamiliar with the City's contract requirements or are limited in their current capacity in both size and technical expertise to secure a construction contract with the City.

The City's Department of Housing Preservation and Development (HPD) will implement a program to expand M/WBEs' access to capital, build their capacity, and provide opportunities to compete for a targeted pipeline of development projects. Furthermore, the City has also allocated funding to HPD and Small Business Services (SBS) to expand SBS's Compete to Win Program to provide capacity building to M/WBE affordable housing developers. The expansion of size and capacity will provide increased employment opportunities for unemployed and under-employed New Yorkers.

On June 13, 2014 Mayor Bill de Blasio and HPD Commissioner Vicki Been announced passage of State legislation that allows HPD to create a pipeline of affordable housing development opportunities dedicated to increasing the participation of M/WBEs in HPD's programs. HPD will use its new authority to establish a pre-qualified list of M/WBE developers and joint ventures that will be eligible to compete for a designated pipeline of new construction and preservation projects supported by HPD.

- The City has a variety of workforce development and placement programs. The programs have succeeded in placing New Yorkers into jobs, but have had moderate success helping them develop the skills that employers require today. As a result, most were placed in low-wage jobs that offered no clear path to higher earnings and greater security.

The City will develop new programs coordinated through the Office of Workforce Development to ensure that our housing investments are incorporated into the City's broader workforce development efforts. Specifically:

- Create a designated workforce development Senior Contractor Manager who will ensure that developers implement hiring practices and work in partnership with City agencies to connect individuals with job opportunities.
- Partner with local intermediaries who conduct outreach to and screening of local jobseekers
- Develop a City-wide hiring database through the launch of a centralized on-line job application system that improves screening at local access points and enables follow up for other construction jobs outside of local areas.
- Expand promising construction workforce programs and integrate them into the affordable housing construction investments.

On May 20, 2014 Mayor Bill de Blasio announced the creation of the 'Jobs for New Yorkers' Task Force that will develop real-time strategies to strengthen the city's workforce and help workers develop the skills needed to secure good paying jobs in fast-growing careers. The task force will help shift the City's approach to focus on employment for New Yorkers in skill-building, higher-wage jobs that offer opportunities for advancement. In addition, the task force will be responsible for combining economic development strategies with workforce development initiatives to allow more New Yorkers access to quality employment in industries where the City makes investments, such as affordable housing development.

### Impediments to Fair Housing and Actions to Remove Impediments

*Housing New York* found that the affordable housing crisis is exacerbated by (and compounds) inequality. In some of the City's neighborhoods, median household incomes are as high as \$122,222, while in others, the median household income is only \$21,562. Often, both the highest income and the lowest income neighborhoods have little income diversity. Similarly, some neighborhoods have tremendous racial and ethnic diversity, while others are racially homogenous. Indeed, nearly half of the city's neighborhoods remain dominated by a single racial or ethnic group. The inequality and lack of diversity in many neighborhoods means that some families do not have access to the education, jobs, and other opportunities others enjoy. It also means that low income households often are unable to find homes in the neighborhoods in which they would like to live.

The plan establishes the objective of achieving a more equitable city, in which all New Yorkers have a safe and affordable place to live, in neighborhoods that provide opportunities to succeed. Thoughtfully planned development has the potential to build on the strengths of neighborhoods and help fill their unmet needs. New housing and mixed-use development can bring life to stark and inhospitable streets. It can help reinvigorate struggling retail corridors and reconnect neighborhoods that were historically linked but later severed by highways or other obstacles. And it can promote economic diversity and protect existing residents if accompanied by targeted preservation efforts, as well as the right mix of targeted incentives. Over the course of the next ten years, the City will identify areas across the five boroughs where coordinated planning with communities—including changes to land use and zoning, and improvements to infrastructure and services—can promote substantial opportunities for new housing that complements and enhances neighborhood character.

- The City will establish a new mandatory Inclusionary Housing Program to ensure that the housing marketplace serves New Yorkers at a broader range of income levels. The program will be applicable in all medium and high density districts where rezonings provide an opportunity for significantly more housing. The City will require a portion of the housing developed to be affordable.
- The City will promote a range of options to improve mobility, connectivity, and safety. First and foremost, the City will make streets safer and more hospitable to pedestrians as part of its inter-agency Vision Zero campaign to eliminate pedestrian fatalities and serious injuries. The City will also continue to expand its bike lane network to new neighborhoods and, in collaboration with MTA New York City Transit, add 13 new Select Bus Service routes to enhance transit access, improve the speed of slow transit trips, and accommodate future growth. Although still relatively in its infancy, the City's growing ferry service has the potential to improve access to housing and employment destinations along the waterfront. The City will also continue to support MTA efforts to extend and expand the capacity of the subway and commuter rail systems, including signal improvements that would increase subway service frequency as well as major capital projects like the construction of the Second Avenue Subway and the Penn Station Access project, which will provide new Metro-North access to neighborhoods in the Bronx.

- With new housing comes increased demand for a wide range of services—including retail and business services. These businesses are part of the lifeblood of neighborhoods, and when properly located along well-designed streets that welcome pedestrian activity, can create community focal points and meeting places. Using a range of strategies, the City will promote vibrant, mixed-use neighborhoods.
  - In some areas, stringent zoning parking requirements for commercial uses discourage new buildings from also including housing. Reducing these requirements would encourage vibrant local retail streets with housing on the upper floors of buildings.
  - In addition, the height of ground-floor retail spaces in mixed-use buildings is often constrained by current zoning limits for building height and setback, especially for buildings receiving bonus floor area through the Inclusionary Housing Program. These requirements will be updated to allow for modern, high-quality retail space while preserving the full potential for housing above the ground floor.
- Over the coming months, the City will engage the residents and neighbors of New York City Housing Authority (NYCHA) developments in respectful and balanced conversation about local needs and opportunities. This collaborative process will assess the potential for underutilized NYCHA land and development rights to benefit existing residents, increase affordable housing and local retail services, and reintegrate developments into the fabric of their surrounding neighborhoods.
- The elderly represent the fastest growing segment of New York City’s population. Stable, affordable housing for seniors is essential, whether they wish to age in their existing homes (age in place) or in a facility that offers specialized senior care. Current demand for subsidized senior housing, however, far outstrips the supply. The City will take action to promote a more secure housing future for its rapidly growing population of seniors through increased production of senior housing in addition to enhanced housing supports and services.
  - The city’s elderly have a different housing needs than when they were middle-aged. However, the City’s Zoning Resolution does not fully take these differences into account when delineating requirements for the construction or rehabilitation of senior housing. Some of these requirements, therefore, act as an impediment to the development of additional affordable housing units.

To encourage development, the City will propose amendments to the Zoning Resolution to reduce requirements for parking (which often goes unused by senior housing residents), to update outdated regulations to recognize a wide range of senior housing facilities that now exist, relax minimum unit sizes where they prevent the creation of appropriately sized senior housing units, and address other zoning constraints that make senior housing development easier and more cost effective.

- The Senior Citizen Rent Increase Exemption (SCRIE) Program, which protects eligible seniors from rent increases, is currently administered separately by both HPD and the Department of Finance (DOF). This duplication of service can be confusing to potential applicants and their landlords.

Furthermore, the current income eligibility limit for SCRIE recipients within New York City is \$29,000, slightly less than the Very Low Income Limit (0 – 50% Area Median Income (AMI)) for a single person household. This income limit prevents Very Low Income two-person households (empty-nesters) from benefiting from this program. Outside of New York City, the income limit has been raised to \$50,000 per year by recent State legislation (or approximately the Low Income limit (0-80% AMI) for a household of two).

To boost the program's efficiency and to make it more user-friendly, the City intends to consolidate these programs into DOF. Also, in order to allow more elderly New Yorkers to remain stably housed, the City intends to initiate legislation which would authorize increasing its SCRIE income level to be comparable to the State's limit.

The City Council approved legislation (Intro 243-A of 2014) on May 14, 2014 that was subsequently signed into law by Mayor de Blasio on May 29, 2014 raising the maximum income level under SCRIE to \$50,000 a year. The law takes effect on July 1, 2014 and will be in effect for those applying to SCRIE for two years.

- Many communities across New York City have had a significant number of their residents age in place thereby creating Naturally Occurring Retirement Communities (NORCs). For example, nearly 20 percent of total NYCHA resident are seniors. Many of these seniors have raised families and now live alone, without the daily support they may require.

To ensure that adequate services, accessibility and housing quality are maintained for these seniors, the City will need to consider developing/providing dedicated senior housing with supportive services for the use of existing residents when undertaking the redevelopment of underutilized land for affordable mixed-income housing.

- Although providing equal access and treatment for persons with disabilities has been the law for several decades, people with disabilities still have difficulty securing affordable and accessible housing. The City will increase oversight of accessibility standards in the private market as well as in its regulated affordable housing stock and work to improve access to housing subsidies for New Yorkers with disabilities.

- There are various housing subsidies which exist for people with disabilities. However, they are misaligned with the timing and requirements of HPD's affordable housing policies and procedures.

The City will work to better coordinate across government agencies to maximize their utility within the HPD housing stock.

- The Disability Rent Increase Exemption (DRIE) Program protects people with disabilities from rent increases. However, similar to the SCRIE program its current income limit restricts the size and number of disabled households which could be provided rent relief under this program.

The City will advocate with the State to match the income eligibility threshold of the DRIE program with that of SCRIE, enabling more New Yorkers with disabilities to benefit.

- As part of its affirmative marketing, HPD sets aside 7 percent of the units in housing lotteries for individuals with hearing, vision, or mobility impairments. Too often, people with disabilities are unaware of this valuable resource, or their income levels make them ineligible for such housing.

The City will step up marketing efforts and aggressively match available subsidies for people with disabilities to affordable housing developed through HPD programs, in order to ensure maximum participation, beyond the 7 percent set aside, for people with disabilities.

- The demand for supportive housing today far outstrips the available supply. Building upon the lessons learned and successes from prior partnerships and agreements, the City will seek to expand the

production of supportive housing. Supportive housing is a critical ingredient in helping households in need of additional services succeed in stable environments.

- o The City will propose changes to the Zoning Resolution's regulations for Community Facilities and Nonprofit Institutions with Sleeping Accommodations to clarify the definitions of these classifications, reduce the possibility of fraud and abuse, and facilitate the development of supportive housing. These changes will promote construction of supportive housing and make these publicly funded projects more cost effective.

## Actions to be Taken

### Near-Term Actions to be Undertaken

1. DCP, working with HPD, will initiate and expedite the completion of a study to provide the foundation in land use policy for incorporating a mandatory Inclusionary Housing Program into the Zoning Resolution.
2. DCP, in conjunction with HPD, will initiate a comprehensive review of the existing Inclusionary Housing Program to identify and recommend specific improvements.
3. The City and NYCHA will restore the priority for homeless families for public housing and continue to prioritize homeless individuals for Section 8 resources.
4. HPD, DHS and the City's Human Resources Administration (HRA) will begin an interagency process to develop a model for financing innovative permanent housing for homeless individuals and families using dollars that would otherwise be spent on higher cost homeless shelters.
5. DCP, HPD and the Economic Development Corporation (EDC) will compile a census of all vacant and underdeveloped publicly controlled properties, and begin the process of forming partnerships with the State, public authorities, nonprofit institutions, faith-based organizations, and private owners who have land that could be deployed for affordable housing.
6. HPD will create a pilot outreach and financial assistance program to provide grants or loans, as appropriate, to accelerate investments in energy and water efficiency projects in small and mid-size buildings housing low- and moderate- income residents.
7. HPD will issue requests for proposal for the first round of the NIHOP and NCP programs, and the Housing Development Corporation (HDC) will pilot the new mixed-income program.
8. HPD and HDC will release a revised set of program terms to implement the policy goals of the Plan.
9. The City will convene a task force to solicit input from industry-informed stakeholders about how to consolidate and streamline the permitting and review processes across agencies in order to reduce costs and avoid delays for developers.
10. Working with the City, NYCHA will fully engage with its residents to create a tailored preservation and development plan that will provide a full-scale evaluation of tenant needs and lay out a path forward to accomplish these critically important objectives.

## Potential Longer-Term Actions to be Undertaken

- **The Creation of a Housing Plan Implementation Advisory Board**  
In order to accomplish the goals to the Plan, several task forces and working groups will need to be convened going forward. To help prioritize and refine the work of these task forces and accomplish the many recommendations in this plan, the City will also create a broader Implementation Advisory Board (Advisory Board). The Board will be comprised of stakeholders from New York's diverse housing community and provide important guidance to the City.
  
- **The Creation of a City-State Task Force on Affordable Housing**  
To coordinate on the range of legislative issues identified as priorities and especially critical to this plan, the City will create a City-State Task Force on Affordable Housing that will bring together City and State elected officials to focus on developing and implementing policy changes that will enable both City and State housing agencies to conduct their work more effectively and achieve the goals of this plan.

## **Appendix 1:**

### **DEFINITIONS**

**Accessibility:** CDBG funds can be used for the removal of material and architectural barriers which restrict the mobility and accessibility of elderly or persons with disabilities.

**Affordable Housing:** Affordable housing is generally defined as housing where the occupant is paying no more than 30 percent of gross housing costs, including utility costs.

**AIDS and Related Diseases:** The disease of acquired immunodeficiency syndrome or any conditions arising from the etiologic agent of acquired immunodeficiency syndrome.

**Alcohol/Other Drug Addiction:** A serious and persistent alcohol or other drug addiction that significantly limits a person's ability to live independently.

**Assisted Household or Person:** For the purpose of specifying one-year goals for assisting households or persons, a household or person is assisted if, during the coming Federal fiscal year, they will benefit through one or more programs included in the jurisdiction's investment plan. A renter is benefitted if the person takes occupancy of affordable housing that is newly acquired, newly rehabilitated, or newly constructed, and/or receives rental assistance. An existing homeowner is benefitted during the year if the home's rehabilitation is completed. A first-time homebuyer is benefitted if a home is purchased during the year. A homeless person is benefitted during the year if the person becomes an occupant of transitional or permanent housing. A non-homeless person with special needs is considered as being benefitted, however, only if the provision of supportive services is linked to the acquisition, rehabilitation, or new construction of a housing unit and/or the provision of rental assistance during the year. Households or persons who will benefit from more than one program activity must be counted only once. To be included in the goals, the housing unit must, at a minimum, satisfy the HUD Section 8 Housing Quality Standards (see 24 CFR section 882.109). See also, instructions for completing Table 3B of the CHAS and Table 1 of the Annual Performance Report.

**At risk of homelessness** (For the Emergency Solutions Grant, and Continuum of Care program): An individual, family or youth may be considered as at risk of homelessness if they meet one of the following criteria:

An individual or family who: has an annual income below 30 percent of median family income for the area, as determined by HUD; does not have sufficient resources or support networks, e.g., family, friends, faith-based or other social networks, immediately available to prevent them from moving to an emergency shelter or another place described in paragraph (1) of the "Homeless" definition; and, meets one of the following conditions: (A) has moved because of economic reasons two or more times during the 60 days immediately preceding the application for homelessness prevention assistance; (B) is living in the home of another because of economic hardship; (C) has been notified in writing that their right to occupy their current housing or living situation will be terminated within 21 days after the date of application for assistance; (D) lives in a hotel or motel and the cost of the hotel or motel stay is not paid by charitable organizations or by federal, State, or local government programs for low-income individuals; (E) lives in a single-room occupancy or efficiency apartment unit in which there reside more than two persons or lives in a larger housing unit in which there reside more than 1.5 people per room, as defined by the U.S. Census Bureau; (F) is exiting a publicly funded institution, or system of care (such as a health-care facility, a mental health facility, foster care or other youth facility, or correction program or institution); or (G) otherwise lives in housing that has characteristics associated with instability and an increased risk of homelessness, as identified in the recipient's approved consolidated plan;

A child or youth at risk of homelessness is one who does not qualify as “homeless” as per the definition, but qualifies as “homeless” under section 387(3) of the Runaway and Homeless Youth Act (42 U.S.C. 5732a(3)), section 637(11) of the Head Start Act (42 U.S.C. 9832(11)), section 41403(6) of the Violence Against Women Act of 1994 (42 U.S.C. 14043e– 2(6)), section 330(h)(5)(A) of the Public Health Service Act (42 U.S.C. 254b(h)(5)(A)), section 3(m) of the Food and Nutrition Act of 2008 (7 U.S.C. 2012(m)), or section 17(b)(15) of the Child Nutrition Act of 1966 (42 U.S.C. 1786(b)(15));

A child or youth at risk of homelessness is one who does not qualify as “homeless” as per the definition, but qualifies as “homeless” under section 725(2) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a(2)), and the parent(s) or guardian(s) of that child or youth if living with her or him.

Chewable surface: An interior or exterior surface painted with lead-based paint that a young child can mouth or chew. A chewable surface is the same as an “accessible surface” as defined in 42 U.S.C. 4851(b)(2). Hard metal substrates and other materials that cannot be dented by the bite of a young child are not considered chewable.

Chronically Homeless (For the Emergency Solutions Grant, and Continuum of Care program): An individual, family or youth may be considered as chronically homeless if they meet one of the following criteria:

Chronically homeless individual is an individual who: is homeless and lives in a place not meant for human habitation, a safe haven, or in an emergency shelter; and, has been homeless and living or residing in a place not meant for human habitation, a safe haven, or in an emergency shelter continuously for at least one year or on at least four separate occasions in the last 3 years, where each homeless occasion was at least 15 days; and, can be diagnosed with (one or more of the following conditions:) substance use disorder, serious mental illness, developmental disability (as defined in section 102 of the Developmental Disabilities Assistance Bill of Rights Act of 2000 (42 U.S.C. 15002)), post traumatic stress disorder, cognitive impairments resulting from brain injury, or chronic physical illness or disability.

A chronically homeless individual may also be an individual who has been residing in an institutional care facility, including a jail, substance abuse or mental health treatment facility, hospital, or other similar facility, for fewer than 90 days and who has met all of the criteria indicated above, before entering that facility.

Chronically homeless family is defined as a family with an adult head of household (or if there is no adult in the family, a minor head of household) who meets all of the criteria in the first paragraph of this definition, including a family whose composition has fluctuated while the head of household has been homeless.

Committed: Generally means there has been a legally binding commitment of funds to a specific project to undertake specific activities.

Consistent with the CHAS: A determination made by the jurisdiction that a program application meets the following criterion: The Annual Plan for that fiscal year's funding indicates the jurisdiction planned to apply for the program or was willing to support an application by another entity for the program; the location of activities is consistent with the geographic areas specified in the plan, and the activities benefit a category of residents for which the jurisdictions five-year strategy shows a priority.

Continuum of Care (Coalition): The group composed of representatives of relevant organizations, which generally includes nonprofit homeless providers, victim service providers, faith-based organizations, government agencies, businesses, advocates, public housing agencies, school districts, social service providers, mental health agencies, hospitals, universities, affordable housing developers, law enforcement, organizations that serve homeless and formerly homeless veterans, and homeless and formerly homeless persons that are

organized to plan for and provide, as necessary, a system of outreach, engagement, and assessment; emergency shelter; rapid re-housing; transitional housing; permanent housing; and prevention strategies to address the various needs of homeless persons and persons at risk of homelessness for a specific geographic area.

Cost Burden greater than 30 percent: The extent to which gross housing costs, including utility costs, exceed 30 percent of gross income, based on data published by the U.S. Census Bureau. (Cost burden consists only of gross rent/income ratio for renters.)

Cost Burden greater than 50 percent (defined as Severe Cost Burden): The extent to which gross housing costs, including utility costs, exceed 50 percent of gross income, based on data published by the U.S. Census Bureau.

Disabling Condition: For the purposes of Consolidated Plan-defined chronic homelessness, a disabling condition is a diagnosable substance use disorder, serious mental illness, developmental disability, or chronic physical illness or disability, including the co-occurrence of two or more of these conditions. A disabling condition limits an individual's ability to work or perform one or more activities of daily living.

Economic Development: The acquisition, disposition, construction or rehabilitation of commercial or industrial land and/or buildings, infrastructure development, assistance to private businesses including grants, loans, loan guarantees, interests supplements and technical assistance.

Economic Independence and Self-Sufficiency Programs: Programs undertaken by Public Housing Agencies (PHAs) to promote economic independence and self-sufficiency for participating families. Such programs may include Project Self-Sufficiency and Operation Bootstrap programs that originated under earlier Section 8 rental certificate and rental voucher initiatives, as well as the Family Self-Sufficiency program. In addition, PHAs may operate locally-developed programs or conduct a variety of special projects designed to promote economic independence and self sufficiency.

Elderly Household: For HUD rental programs, a one or two person household in which the head of the household or spouse is at least 62 years of age.

Elderly Person: A person who is at least 62 years of age.

Emergency shelter: Any facility, the primary purpose of which is to provide a temporary shelter for the homeless in general or for specific populations of the homeless, and which does not require occupants to sign leases or occupancy agreements.

Existing Homeowner: An owner-occupant of residential property who holds legal title to the property and who uses the property as his/her principal residence.

Family: See definition in 24 CFR 812.2 (The National Affordable Housing Act definition required to be used in the CHAS rule differs from the Census definition). The Bureau of Census defines a family as a householder (head of household) and one or more other persons living in the same household who are related by birth, marriage or adoption. The term "household" is used in combination with the term "related" in the CHAS instructions, such as for Table 2, when compatibility with the Census definition of family (for reports and data available from the Census based upon that definition) is dictated. (See also "Homeless Family.")

Family Self-Sufficiency (FSS) Program: A program enacted by Section 554 of the National Affordable Housing Act which directs Public Housing Agencies (PHAs) and Indian Housing Authorities (IHAs) to use Section 8 assistance under the rental certificate and rental voucher programs, together with public and private resources to provide supportive services to enable participating families to achieve economic independence and self-sufficiency.

Federal Preference for Admission: The preference given to otherwise eligible applicants under HUD's rental assistance programs who, at the time they seek housing assistance, are involuntarily displaced, living in substandard housing, or paying more than 50 percent of family income for rent. (See, for example, 24 CFR 882.219.)

First-Time Homebuyer: An individual or family who has not owned a home during the three-year period preceding the HUD-assisted purchase of a home that must be used as the principal residence of the homebuyer, except that any individual who is a displaced homemaker (as defined in 24 CFR 92) or a single parent (as defined in 24 CFR 92) may not be excluded from consideration as a first-time homebuyer on the basis that the individual, while a homemaker or married, owned a home with his or her spouse or resided in a home owned by a spouse.

FmHA: The Farmers Home Administration, or programs it administers.

For Rent: Year round housing units which are vacant and offered/available for rent only. (U.S. Census definition)

For Sale: Year round housing units which are vacant and offered/available for sale only. (U.S. Census definition)

Frail Elderly: An elderly person who is unable to perform at least one activity of daily living (i.e., eating, dressing, bathing, grooming, and household management activities). (See 24 CFR 889.105.)

Friction surface: An interior or exterior surface that is subject to abrasion or friction, including, but not limited to, certain window, floor, and stair surfaces.

Group Quarters: Facilities providing living quarters that are not classified as housing units. (U.S. Census definition). Examples include: prisons, nursing homes, dormitories, military barracks, and shelters.

HOME: The HOME Investment Partnerships Program, which is authorized by Title II of the National Affordable Housing Act.

Homeless: (For the Emergency Solutions Grant, and Continuum of Care program) An individual, family or youth may be considered as homeless if they meet one of the following criteria:

An individual or family who lacks a fixed, regular, and adequate nighttime residence, meaning a public or private place not designed for or ordinarily used as a regular sleeping accommodation for human beings; or an individual or family living in a supervised publicly or privately operated shelter designated to provide temporary living arrangements (including congregate shelters, transitional housing, and hotels and motels paid for by charitable organizations or by federal, state, or local government programs for low-income individuals); or an individual who is exiting an institution where he or she resided for 90 days or less and who resided in an emergency shelter or place not meant for human habitation immediately before entering that institution.

An individual or family who will imminently lose their primary nighttime residence, provided that the primary nighttime residence will be lost within 14 days of the date of application for homeless assistance; no subsequent residence has been identified; and the individual or family lacks the resources or support networks needed to obtain other permanent housing.

Unaccompanied youth under 25 years of age, or families with children and youth, who do not otherwise qualify as homeless under this definition, but who are defined as homeless under section 387 of the Runaway and Homeless Youth Act (42 U.S.C. 5732a), section 637 of the Head Start Act (42 U.S.C. 9832), section 41403 of the Violence Against Women Act of 1994 (42 U.S.C. 14043e-2), section 330(h) of the Public Health Service Act (42 U.S.C. 254b(h)), section 3 of the Food and Nutrition Act of 2008 (7 U.S.C. 2012), section 17(b) of the Child Nutrition Act of 1966 (42 U.S.C. 1786(b)), or section 725 of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a); have not had a lease, ownership interest, or occupancy agreement in permanent housing at any time during the 60 days immediately preceding the date of application for homeless assistance; have experienced persistent instability as measured by two moves or more during the 60-day period immediately preceding the date of applying for homeless assistance; and can be expected to continue in such status for an extended period of time because of chronic disabilities, chronic physical health or mental health conditions, substance addiction, histories of domestic violence or childhood abuse (including neglect), the presence of a child or youth with a disability, or two or more barriers to employment, which include the lack of a high school degree or General Education Development (GED), illiteracy, low English proficiency, a history of incarceration or detention for criminal activity, and a history of unstable employment.

Any individual or family who is fleeing, or is attempting to flee, domestic violence, dating violence, sexual assault, stalking, or other dangerous or life-threatening conditions that relate to violence against the individual or a family member, including a child, that has either taken place within the individual's or family's primary nighttime residence or has made the individual or family afraid to return to their primary nighttime residence; has no other residence; and lacks the resources or support networks to obtain other permanent housing.

Homeless Assistance: Funds used for support services, rental assistance, or shelters to aid those who qualify as homeless.

Homeless Management Information System (HMIS): The information system designated by the Continuum of Care to comply with HUD's data collection, management, and reporting standards and used to collect client-level data and data on the provision of housing and services to homeless individuals and families and persons at risk of homelessness.

Homeless Prevention: Funds used for support services, such as, social workers, advocacy, landlord relations, court system assistance, reuniting the family, and rental assistance to prevent homelessness.

Homeless Youth: The United States Code (42 U.S.C. 5732a) defines a Homeless Youth as follows: An individual who is not more than 21 years of age, and not less than 16 years of age, for whom it is not possible to live in a safe environment with a relative; and who has no other safe alternative living arrangement.

HOPE 1: The HOPE for Public and Indian Housing Homeownership Program, which is authorized by the Title IV, Subtitle A of the National Affordable Housing Act.

HOPE 2: The HOPE for Homeownership of Multifamily Units Program, which is authorized by Title IV, Subtitle B of the National Affordable Housing Act.

HOPE 3: The HOPE for Homeownership of Single Family Homes Program, which is authorized by Title IV, Subtitle C of The National Affordable Housing Act.

Household: One or more persons occupying a housing unit (U.S. Census definition) See also "Family".

Households with a member with a disability: (for Section 811 Supportive Housing for Persons with Disabilities eligibility) A household composed of one or more persons at least one of whom is an adult (a person of at least 18 years of age) who has a disability. A disabled household may also be defined as two or more persons with disabilities living together, or one or more such persons living with another person who is determined by HUD, based upon a certification from an appropriate health-care professional, to be important to their care or well being. The term also includes the surviving member or members of any household described in the first sentence of this paragraph who were living in an assisted unit with the deceased member of the household at the time of his or her death.

Housing Problems: Households with housing problems include those that: (1) occupy units meeting the definition of Physical Defect; (2) meet the definition of overcrowded; (3) (for renter households) meet the definition of cost burden (gross rent/income ratio) greater than 30%. The data include nonduplicative counts of households that meet one or more of these criteria. Housing Problems for owners consists only of overcrowding or physical defects, not cost burden data.

Housing Unit: An occupied or vacant house, apartment, or a single room (SRO housing) that is intended as separate living quarters. (U.S. Census definition)

Impact surface: An interior or exterior surface that is subject to damage by repeated sudden force, such as certain parts of door frames.

Income Type - For each category, the household's income is less than or equal to the maximum income level as defined below. Income definitions are based on Federal Fiscal Year 2013 Section 8 median family income limits, as determined by HUD for the New York, NY PMSA with adjustments for smaller and larger families and for areas with unusually high or low incomes or where needed because of prevailing levels of construction costs or fair market rents. According to HUD, the Federal FY 2013 Median Family Income for the New York, NY PMSA was \$63,000. (Please note: this income definition is for HUD's required table of housing assistance needs of low and moderate income households by household income category and housing problems by tenure, household type and race/ethnicity.) Very Low, Low and Moderate Income are defined as follows:

**VERY LOW (0 TO 50% MFI) -- [equivalent with CDBG's low-income category]**

A household with an income less than or equal to 50 percent of the area's median family income. (Less than or equal to \$42,950 for a family of four, with adjustments for household size.) Two sub-groups (0 to 30% and 31 to 50% of MFI) are distinguished in the tables. The Very Lowest Income category, 0 to 30% MFI, includes households with incomes less than or equal to \$25,750 for a family of four. The 31 to 50% of MFI subgroup includes households with income greater than \$25,750 but less than or equal to \$42,950 for a family of four.

**LOW (51 TO 80% MFI) -- [equivalent with CDBG's moderate-income category]**

A household with an income greater than 50 percent and less than or equal to 80 percent of the area's median family income. (Greater than \$42,950 and less than or equal to \$68,700 for a family of four.)

**MODERATE (81 TO 95% MFI)**

A household with an income greater than 80 percent and less than or equal to 95 percent of the city's median family income. (Greater than \$68,700 and less than or equal to \$81,600 for a family of four.)

Infrastructure Improvements: The upgrading of public infrastructures including: solid waste disposal facilities; water facilities; streets; sidewalks; tree planting; sewer facilities; and asbestos removal.

In Rem: A legal action (usually foreclosure) taken against real property for nonpayment of real estate taxes or water and sewer charges.

Institutions/Institutional: Group quarters for persons under care or custody. (U.S. Census definition)

Large Related: A household of 5 or more persons which includes at least one person related to the householder by blood, marriage or adoption.

Lead-based paint: Paint or other surface coatings that contain lead equal to or exceeding 1.0 milligram per square centimeter or 0.5 percent by weight or 5,000 parts per million (ppm) by weight.

Lead-based paint hazard: Any condition that causes exposure to lead from lead-dust hazards, soil-lead hazards, or lead-based paint that is deteriorated or present in chewable surfaces, friction surfaces, or impact surfaces, and that would result in adverse human health effects.

Lead-dust hazard: Surface dust that contains a lead-dust loading (area concentration of lead) at or exceeding the levels promulgated by the EPA pursuant to section 403 of the Toxic Substances Control Act or, if such levels are not in effect, the standards in 24 CFR 35.1320.

LIHTC: (Federal) Low Income Housing Tax Credit.

Limited Clientele: An activity which benefits a limited clientele, at least 51 percent whom are, or are presumed to be, low and moderate income persons.

Low and Moderate Area: At least 51 percent of the residents are low and moderate income persons.

Low-Income: See Income Type.

Minority Concentration: A census tract in which the percentage of non-White and Hispanic population (total number of persons of all races less White, non-Hispanic persons divided by the tract's total population) is greater than or equal to 85 percent. According to the U.S. Census Bureau, persons of this population may be comprised of: American Indian or Alaska Native, Asian, Black or African-American, Native Hawaiian or Other Pacific Islander, Persons more than one race, Persons of Some Other (single) race not previously listed, and Hispanic Persons of all races.

Moderate Income: See Income Type.

Non-Elderly Household: A household which does not meet the definition of "Elderly Household," as defined above.

Non-Homeless Persons with Special Needs: Includes frail elderly persons, persons with AIDS, disabled families, and families participating in organized programs to achieve economic self-sufficiency.

Non-Institutional: Group quarters for persons not under care or custody. (U.S. Census definition used)

Non-residential Historic Preservation: The rehabilitation, preservation or restoration of historic non-residential properties, whether privately or public owned.

Occupied Housing Unit: A housing unit that is the usual place of residence of the occupant(s).

Other Household: A household of one or more persons that does not meet the definition of a Small Related household, Large Related household or Elderly Household.

Other Income: Households whose incomes exceed 80 percent of the median income for the area, as determined by the Secretary, with adjustments for smaller and larger families.

Other Low-Income: Households whose incomes are between 51 percent and 80 percent of the median income for the area, as determined by HUD, with adjustments for smaller and larger families, except that HUD may establish income ceilings higher or lower than 80 percent of the median for the area on the basis of HUD's findings that such variations are necessary because of prevailing levels of construction costs or fair market rents, or unusually high or low family incomes. (This term corresponds to moderate-income in the CDBG Program.)

Other Vacant: Vacant year round housing units that are not For Rent or For Sale. This category would include Awaiting Occupancy or Held.

Overcrowded: A Housing unit containing more than one person per room. (U.S. Census definition)

Owner: A household that owns the housing unit it occupies. (U.S. Census definition)

Person with a disability: The Section 811 Supportive Housing for Persons with Disabilities Program defines a person with a disability as follows: A person shall be considered to have a disability if he or she has a developmental disability as defined in section 102(7) of the Development Disabilities Assistance and Bill of Rights Act (42 U.S.C. 6001.6006) if the person has a chronic disability which: 1) is attributable to a mental or physical impairment or combination of mental and physical impairments; 2) is manifested before the person attains twenty-two years of age; 3) is likely to continue indefinitely; 4) results in substantial functional limitation in three or more areas of major life activities including self-care, receptive and expressive language, learning, mobility, self-direction, capacity for independent living, economic self-sufficiency; and 5) reflects the person's need for a combination and sequence of special, interdisciplinary or generic care, treatment or other services which are of lifelong or extended duration and are individually planned and coordinated. A persons may also be defined as having a disability if the person has a chronic mental illness, i.e. a severe and persistent mental or emotional impairment that seriously limits the persons ability to live independently, and which impairment could be improved by more suitable housing conditions. The term may also apply to a person infected with the human acquired immunodeficiency virus (HIV) and a person who suffers from alcoholism or drug addiction, provided the person meets the definition as provided in Section 811 (42 U.S.C. 8013(k)(2)). A person whose sole impairment is a diagnosis of HIV positive or alcoholism or drug addiction who does not meet Section 811 (42 U.S.C. 8013(k)(2)) qualifying criteria is not considered eligible for the Section 811 Supportive Housing program.

The New York City Human Rights Law defines a person with a disability as follows: A person shall be considered to have a disability if the person has any physical, medical, mental or psychological impairment, or a history or record of such impairment. In the case of alcoholism, drug addiction or other substance abuse, the term shall only apply to a person who 1) is recovering or has recovered and 2) is currently free of such abuse.

Physical Defects: A housing unit that is dilapidated, lacking complete kitchen and/or bath for exclusive use, has 4 or more maintenance deficiencies, or in a building with 3 or more types of building condition defects, based on data published by the U.S. Census Bureau.

Planning and Administration Activities: Activities which make more effective use of physical, economic and human resources, policy, planning and management capacity building are as follows: general management, oversight, and coordination; public administration; fair housing activities (if part of 20% cap); submissions or applications for federal programs; and administrative expenses for other HUD housing programs.

Primary Housing Activity: A means of providing or producing affordable housing -- such as rental assistance, production, rehabilitation or acquisition -- that will be allocated significant resources and/or pursued intensively for addressing a particular housing need. (See also, "Secondary Housing Activity".)

Project-Based (Rental) Assistance: Rental Assistance provided for a project, not for a specific tenant. Tenants receiving project-based rental assistance give up the right to that assistance upon moving from the project.

Public Facilities: CDBG funds are used for the acquisition, construction, rehabilitation or installation of public facilities such as: senior centers, homeless facilities, handicapped centers, homeless facilities, youth centers, neighborhood facilities, parks, recreational facilities, parking facilities, child care centers, health facilities, abused and neglected children facilities, and facilities for AIDS Patients.

Public Housing CIAP: Public Housing Comprehensive Improvement Assistance Program.

Public Housing MROP: Public Housing Major Reconstruction of Obsolete Projects.

Public Services: CDBG funds can be used for the provision of services including: senior services, handicapped services, homeless services, youth services, transportation services, substance abuse services, battered and abused spouses, employment training, crime awareness, fair housing activities, tenant and landlord counseling, child care services, health services, services for abused and neglected children, and AIDS Patients.

Racially Mixed Area: A census tract in which the percentage of its non-White and Hispanic population (total number of persons of all races less White, non-Hispanic persons divided by the tract's total population) is greater than or equal to 65 percent and less than 84.9 percent. According to the U.S. Census Bureau, persons of this population may be comprised of: American Indian or Alaska Native, Asian, Black or African-American, Native Hawaiian or Other Pacific Islander, Persons more than one race, Persons of Some Other (single) race not previously listed, and Hispanic Persons of all races.

Rapid re-housing assistance: The provision of housing relocation and stabilization services and short- and/or medium-term rental assistance as necessary to help a homeless individual or family move as quickly as possible into permanent housing and achieve stability in that housing.

Rental Assistance: Rental assistance payments provided as either project-based rental assistance or tenant-based rental assistance.

Rent Burden greater than 30 percent (Cost Burden): The extent to which gross rents, including utility costs, exceed 30 percent of gross income, based on data published by the U.S. Census Bureau.

Rent Burden greater than 50 percent (Severe Cost burden): The extent to which gross rents, including utility costs, exceed 50 percent of gross income, based on data published by the U.S. Census Bureau.

Renter: A household that rents the housing unit it occupies, including both units rented for cash and units occupied without cash payment or rent. (U.S. Census definition)

Renter Elderly Household: A one or two person household in which the head of household or spouse is at least 62 years of age, and rent their housing unit.

Renter Small Related Household: A two to four person household including at least 1 person related to the householder by birth, marriage or adoption and rent their housing unit.

Renter Large Related Household: A five or more person household including at least 1 person related to the householder by birth, marriage or adoption and rent their housing unit.

Renter Occupied Unit: Any occupied housing unit that is not owner occupied, including units rented for cash and those occupied without payment of cash rent.

Residential Historic Preservation: Rehabilitation, preservation or restoration of historic non-residential properties, whether privately or public owned.

Secondary Housing Activity: A means of providing or producing affordable housing -- such as rental assistance, production, rehabilitation or acquisition -- that will receive fewer resources and less emphasis than primary housing activities for addressing a particular housing need. (See also, "Primary Housing Activity".)

Section 215: Section 215 of Title II of the National Affordable Housing Act. Section 215 defines "affordable" housing projects under the HOME program.

Service Needs: The particular services identified for special needs populations, which typically may include transportation, personal care, housekeeping, counseling, meals, case management, personal emergency response, and other services to prevent premature institutionalization and assist individuals to continue living independently.

Severe Cost Burden: Severe Cost Burden (gross rent/income ratio) is defined as the extent to which gross housing costs, including utility costs, exceed 50 percent of gross income, based on data published by the U.S. Census Bureau.

Severe Mental Illness: A serious and persistent mental or emotional impairment that significantly limits a person's ability to live independently.

Sheltered: Families and persons whose primary nighttime residence is a supervised publicly or privately operated shelter, including emergency shelters, transitional housing for the homeless, domestic violence shelters, residential shelters for runaway and homeless youth, and any hotel/motel/apartment voucher arrangement paid because the person is homeless. This term does not include persons living doubled up on in overcrowded or substandard conventional housing. Any facility offering permanent housing is not a shelter, nor are its residents homeless.

Single-family Housing: A one -to four-family residence, condominium unit, cooperative unit, combination of manufactured housing and lot, or manufactured housing lot (American Dream Downpayment Initiative Program).

Slums and Blight: An activity will be considered to address prevention or elimination of slums and blight in an area if:

- a) The area, delineated by the recipient meets a definition of slum, blighted deteriorated or deteriorating area under State or local law;
- b) Throughout the area there is a substantial number of deteriorated or deteriorating buildings or the public improvements are in a general state of deterioration;
- c) Documentation is maintained by the recipient on the boundaries and conditions of the area at the time of its designation; and
- d) The assisted activity addresses one or more of the conditions which contributed to the deterioration of the area; or
- e) Activities which addresses the elimination of specific conditions of blight or physical decay on a spot basis not located in a slum or blighted area. Activities to address slums and blight on a spot basis are limited to extent necessary to eliminate specific conditions detrimental to public health and safety.

Small Related: A household of 2 to 4 persons which includes at least one person related to the householder by birth, marriage, or adoption.

Special Needs Supportive Services: Supportive services provided to one or more of the following special needs populations: 1. Domestic Violence- Services for victims of domestic violence; 2. Female-headed household with children- Services for female-headed households with children under 18; 3. Mentally Impaired- Services for persons mentally impaired; 4. Physically Disabled- Services for persons physically disabled; 5. Substance Abuse- Services for substance abusers; 6. Tuberculosis- Services for persons who have tuberculosis; 7. AIDS/HIV Related Diseases Services include: a) Rental Assistance - A program to provide rental payments to eligible residential tenants; b) Supportive Services (including home care) to facilitate independent living; and c) Securing Housing.

Substandard Condition and not Suitable for Rehab: By local definition, dwelling units that are in such poor condition as to be neither structurally nor financially feasible for rehabilitation.

Substandard Condition but Suitable for Rehab: By local definition, dwelling units that do not meet standard conditions but are both financially and structurally feasible for rehabilitation. This does not include units that require only cosmetic work, correction or minor livability problems or maintenance work.

Substantial Amendment: A major change in an approved housing strategy. It involves a change to the five-year strategy, which may be occasioned by a decision to undertake activities or programs inconsistent with that strategy.

Substantial Rehabilitation: Reconstruction of completely or primarily vacant residential structure where there is replacement of at least two or more building systems, as well as substantial interior renovation. The estimated cost of rehabilitation is more than 75 percent of the total estimated cost of replacement after rehabilitation.

Supportive Housing Services: Services provided on-site in housing units and group quarters where a supportive environment includes a planned service component.

Supportive Service Need in FSS Plan: The plan that PHAs administering a Family Self-Sufficiency program are required to develop to identify the services they will provide to participating families and the source of funding for those services. The supportive services may include child care; transportation; remedial education; education for completion of secondary or post secondary schooling; job training, preparation and counseling; substance abuse treatment and counseling; training in homemaking and parenting skills; money management, and household management; counseling in homeownership; job development and placement; follow-up assistance after job placement; and other appropriate services.

Supportive Services: Services provided to residents of supportive housing for the purpose of facilitating the independence of residents. Some examples are case management, medical or psychological counseling and supervision, child care, transportation, and job training.

Tenant-Based (Rental) Assistance: A form of rental assistance in which the assisted tenant may move from a dwelling unit with a right to continued assistance. The assistance is provided for the tenant, not for the project.

Total Vacant Housing Units: Unoccupied year round housing units. (U.S. Census definition)

Unsheltered: Families and individuals whose primary nighttime residence is a public or private place not designed for, or ordinarily used as, a regular sleeping accommodation for human beings (e.g., streets, parks, alleys).

Vacant Awaiting Occupancy or Held: Vacant year round housing units that have been rented or sold and are currently awaiting occupancy, and vacant year round housing units that are held by owners or renters for occasional use. (U.S. Census definition)

Vacant Housing Unit: Unoccupied year-round housing units that are available or intended for occupancy at any time during the year.

Very Low Income: See Income Type.

Victim service provider: A private nonprofit organization whose primary mission is to provide services to victims of domestic violence, dating violence, sexual assault, or stalking. This term includes rape crisis centers, battered women's shelters, domestic violence transitional housing programs, and other programs.

Worst Case Needs: Unassisted, very low-income renter households who pay more than half of their income for rent, live in seriously substandard housing (which includes homeless people) or have been involuntarily displaced.

Year Round Housing Units: Occupied and vacant housing units intended for year round use. (U.S.Census definition) Housing units for seasonal or migratory use are excluded.

## Appendix 2:

### **ABBREVIATIONS AND ACRONYMS**

Alcoholics Anonymous	AA
Area Agencies on Aging	AAA
Annual Administrative Report	AAR
Alcoholism Crisis Center	ACC
NYC Agency for Child Development	ACD
(NYC) Administration for Children's Services	ACS
Americans with Disabilities Act	ADA
Activities for Daily Living	ADL
Anti-Domestic Violence Eligibility Needs Team	ADVENT
Aid to Families with Dependent Children	AFDC
Affirmatively Furthering Fair Housing	AFFH
Affordable Housing Corporation	AHC
(NYS) Affordable Homeownership Development Program	AHDP
Alternative High School	AHS
Acquired Immune Deficiency Syndrome	AIDS
Assisted Living Program	ALP
Automated National Client-specific Homeless Services Recording System	ANCHOoR
Annual Performance Report	APR
(HRA) Adult Protective Services	APS
AIDS-Related Community Services	ARCS
Alternative to Shelter Program	ATS
Bureau of Apartment Repair and Rental	BARR
Begin Employment Gain Independence Now	BEGIN
Basic Economic Self-Sufficiency Training Program	BEST
(HPD) Building Evaluation Unit	BEU
NYC Department of Health and Mental Hygiene Bureau of AIDS Policy Coordination	BHAPC
Business Improvement District	BID
Building Information System	BIS
NYCHA Borough Management Departments	BMD
Bronx Overall Economic Development Corporation	BOEDC
Battery Park City Authority	BPCA

Bowery Residents Committee	BRC
Borough Office Support System	BOSS
Bid Solicitation Unit	BSU
Bureau of Vacant Apartment Repair and Rental	BVARR
Caribbean Chamber of Commerce	CACCI
Computer-Aided Design	CAD
Community Arts Development Program	CADP
Ryan-White Comprehensive AIDS Resource Emergency Act	CARE
(NYS) Creating Alternatives in Residential Environments and Services	CARES
Certified Alcohol and Substance Abuse Counselor	CASAS
Center for Alternative Sentencing and Employment Services	CASES
(Mayor's) Community Assistance Unit	CAU
Capital Budget Homeless Housing Program	CBHHP
Community Based Organization	CBO
(HPD) Central Complaint Bureau	CCB
Comprehensive Care Programs	CCP
Consortium for Central Harlem Development	CCHD
New York City Commission on Human Rights	CCHR
Community Development Agency	CDA
Community Development Block Grant	CDBG
Community Development Corporation	CDC
U.S. Center for Disease Control	CDC
City Environmental Quality Review	CEQR
Code of Federal Register	CFR
Community Alternative Systems Agencies	CFSA
City Fiscal Year	CFY
Community Health Advisory Information Network	CHAIN
Comprehensive Housing Affordability Strategy	CHAS
Community Housing Development Organization	CHDO
Child Health Initiative	CHI
New York City Commission on Human Rights	CHR
Comprehensive Improvement Assistance Program	CIAP
Capital Improvement Program	CIP
Crisis Intervention Services	CIS
Community Mental Health Reinvestment Act	CMHRA

Community Management Program	CMP
Certificate of Occupancy	CO
Computerized Geographic Information System	COGIS
City Planning Commission	CPC
Community Preservation Corporation	CPC
(HUD) Office of Community Planning and Development	CPD
Comprehensive Psychiatric Emergency Program	CPEP
Community Residence	CR
Community Reinvestment Act	CRA
Certified Reasonable Cost	CRC
Career Readiness Entrepreneurial Workshops	CREW
(HPD) Central Remediation Unit	CRU
Community Support Services	CSS
Community Service Sentencing Program	CSSP
Center for Urban Community Services	CUCS
City University of New York	CUNY
City Volunteer Corps	CVC
(HPD) Division of Anti-Abandonment	DAA
Database and Application Development Section	DADS
(HPD) Division of Alternative Management Programs	DAMP
(HRA) Division of AIDS Services and Income Support	DASIS
NYC Department of Business Services	DBS
New York City Department of Citywide Administrative Services	DCAS
New York City Department of City Planning	DCP
(HPD) Division of Code Enforcement	DCE
NYC Department of Design and Construction	DDC
(HPD) Division of Demolition and Sealing	DDS
New York City Department of Environmental Protection	DEP
(Public Housing) Drug Elimination Program	DEP
New York City Department for the Aging	DFTA
Drug Elimination Technical Assistance Program	DETAP
(HPD) Division of Housing Analysis and Research	DHAR
(HPD) Division of Housing Policy Analysis and Statistical Research	DHPASR
New York State Division of Housing and Community Renewal	DHCR
Division of Homeless Housing Development	DHHD

(HPD) Division of Housing Resources	DHR
(HPD) Division of Housing Preservation Services	DHPS
New York City Department of Homeless Services	DHS
Domestic Incident Report	DIR
New York City Department of Juvenile Justice	DJJ
New York City Department of Buildings	DOB
New York City Department of Correction	DOC
U.S. Department of Energy	DOE
New York City Department of Education	DOE
New York City Department of Finance	DOF
New York City Department of Health and Mental Hygiene	DOHMH
U.S. Department of Justice	DOJ
New York City Department of Probation	DOP
New York City Department of Sanitation	DOS
New York City Department of Transportation	DOT
Directly Observed Therapy	DOT
(HPD) Division of Maintenance	DOM
(HRA) Division of Post Institutional Services	DOPIS
(HPD) Division of Preservation and Anti-Abandonment	DPAA
(HPD) Division of Policy Analysis and Research	DPAR
(HPD) Division of Property Management	DPM
(HPD) Division of Program Planning	DPP
New York City Department of Parks and Recreation	DPR
Division of Relocation Operations	DRO
Department of Resident Review and Counseling	DRRC
New York State Department of Social Services	DSS
Domestic Violence	DV
Domestic Violence Liaison	DVL
Domestic Violence Prevention Program	DVPP
Domestic Violence Intervention and Education Program	DVIEP
(NYPD) Domestic Violence Officers	DVO
Drawing Interchange Format	DXF
New York City Department of Youth and Community Development	DYCD
European American Bank	EAB
Emergency Assistance for Families	EAF

Emergency Assistance Rehousing Program	EARP
Emergency Assistance Unit	EAU
Elevated Blood Levels	EBL
Environmental Control Board	ECB
Economic Development Corporation	EDC
Economic Development Initiative	EDI
Economic Development and Supportive Services	EDSS
Economic Development Zone	EDZ
Economic and Energy Analysis Department	EEA
(HPD) Emergency Housing Services Bureau	EHSB
Earned Incentive Credit	EIC
Earned Income Tax Credit	EIC
Employment Incentive Credit	EIC
Enhanced Incentive Housing Program	EIHP
(DHS) Eligibility Investigation Unit	EIU
(NYCHA) Environmental Inspection Unit	EIU
English Language Arts	ELA
Eligible Metropolitan Area	EMA
Eligible Metropolitan Statistical Area	EMSA
EDC Economic Policy and Analysis Division	EPA
Early Permanency Planning Project	EPP
(HPD) Emergency Repair Bureau	ERB
(HPD) Emergency Repair Program	ERP
(HPD) Emergency Services Bureau	ESB
Empire State Development Corporation	ESDC
Emergency Solutions (Shelter) Grant	ESG
English as Second Language	ESL
Emergency Transfer Program	ETP
Emergency Violation Tracking Module	EVTM
Early Warning Information System	EWIS
Empowerment Zone	EZ
Family Assistance Program	FAP
Family Abuse Correctional Treatment	FACT
Foster Care Prevention Program	FCPP
Federal Fiscal Year	FFY

Federal Housing Administration	FHA
(HPD) Fair Housing Unit	FHU
(HRA) Family Independence Administration	FIA
Family Investment Center	FIC
(DHS) Division of Facilities Management and Development	FMD
Fair Market Rent	FMR
Federal Poverty Line	FPL
Family Resource Center	FRC
Fuel Reduction Program	FRP
(HRA) Family Support Administration	FSA
Family Self-Sufficiency Program	FSS
Family Type Homes for Adults	FTHA
Family Unification Program	FUP
Fiscal Year	FY
General Equivalency Diploma	GED
Geographical Information System	GIS
General Memorandum	GM
Grantee Performance Report	GPR
Geographic System Section	GSS
Housing Agency	HA
Highly Active Antiretroviral Treatment	HAART
HOPWA Advisory Committee	HAC
(HRA) HIV/AIDS Services Administration	HASA
Housing Credit Agency	HCA
Home and Community-Based Services	HCBS
Harlem Congregations for Community Improvement	HCCI
(HRA) Housing Court Liaison Unit	HCLU
(HRA) Home Care Services Program	HCSP
Housing Development Corporation	HDC
Housing Development Fund	HDF
(Low Income) Housing Development Fund Corporation	HDFC
(HRA) Homelessness Diversion Unit	HDU
Home Energy Assistance Program	HEAP
(DCP) Housing, Economic and Infrastructure Planning Division	HEIP
Housing Education Program	HEP

(NYS) Housing Finance Agency	HFA
(NYCHA) Department of Housing Finance and Development	HFD
(NYS) Homeless Housing Assistance Program	HHAP
(NYC) Health and Hospital Corporation	HHC
U.S. Department of Health and Human Services	HHS
Health Insurance Information and Counseling Program	HIICAP
Home Improvement Program	HIP
NYS Homelessness Intervention Program	HIP
Health Industry's Resources Enterprises	HIRE
Human Immuno-deficiency Virus	HIV
HIV-Illness	HIV-ILL
(HPD) Housing Litigation Bureau	HLB
(HPD) Housing Litigation Division	HLD
Home Mortgage Disclosure Act	HMDA
(HPD) Office of Housing Management and Sales	HMS
Housing Development Action Grant	HODAG
Home Investment Partnership	HOME
Home Ownership and Opportunity for People Everywhere	HOPE
Housing Opportunities for People with AIDS	HOPWA
(NYPD) Homeless Outreach Unit	HOU
(ASC) Housing Policy and Development Unit	HPAD
New York City Department of Housing Preservation and Development	HPD
Homelessness Prevention and Rapid Rehousing Program	HPRP
Housing Quality Standards	HQS
New York City Human Resources Administration	HRA
New York State Homeless Rehousing Assistance Program	HRAP
New York State Housing Trust Fund	HTF
New York State Housing Trust Fund Corporation	HTFC
U.S. Department of Housing and Urban Development	HUD
Housing and Vacancy Survey	HVS
Housing Youth Training Program	HYTP
Interagency Coordinating Council	ICC
Intermediate Care Facility for Persons with Developmental Disabilities	ICF/DD
Intensive Case Management Program	ICM
I Have A Dream Program	IHAD

Independent Living Program	IL
International Masonry Institute	IMI
Industrial Park Improvement Program	IPIP
Individualized Residential Alternative	IRA
U.S. Internal Revenue Service	IRS
Investment Tax Credit	ITC
(DCP) Information Technology Division	ITD
Jewish Board of Family and Children Services	JBFCFS
Jobs for Youth	JFY
Job Opportunities and Basic Skills Programs	JOBS
Lead-Based Paint	LBP
Lead-Based Paint Poisoning Prevention Act	LBPPA
NYCHA Lead Detection and Abatement Unit	LDAU
Local Development Corporation	LDC
Local Development Project	LDP
Lead Hazard Risk Reduction Training Program	LHR RTP
Learning Independence and Family Empowerment	LIFE
Loan Initiative for Tenants	LIFT
Low Income Housing Tax Credit	LIHTC
Low Income Housing Trust Fund	LIHTF
Linear Independent Ordered Network	LION
Local Initiatives Support Corporation	LISC
(DOH) Lead Poisoning Prevention Program	LPPP
Lead Poisoning Violation	LPV
Land Restoration Program	LRP
Latent Tuberculosis Infection	LTBI
(HPD) Landlord Tenant Litigation Division	LTLD
Medical Assistance Program	MAP
Management Alternative Training Program	MATP
Minority Business Enterprise	MBE
Maximum Base Rent	MBR
(DEP) Multifamily Conservation Program	MCP
Median Family Income	MFI
Mentally Ill Chemical Abusers	MICAs
MapInfo Interchange Format	MIF

Management Improvement Program	MIP
Major Capital Improvement	MCI
Mobilization for Youth	MFY
Mutual Housing Association	MHA
Mutual Housing Association of New York	MHANY
Multifamily Homeownership Program	MHOP
Mental Hygiene Law	MHL
Management Information System	MIS
Mayor's Management Report	MMR
Mayor's Office to Combat Domestic Violence	MOCDV
Mayor's Office of Grants Administration	MOGA
Mayor's Office for People with Disabilities	MOPD
Memorandum of Understanding	MOU
(DMH) Bureau of Mental Retardation/Development Disabilities	MR/DD
Moderate Rehabilitation of Obsolete Public Housing	MROP
Metropolitan Statistical Area	MSA
Master of Social Work	MSW
Manage Your Own Business	MYOB
Minority/Women Business Enterprise	M/WBE
Narcotics Anonymous	NA
National Affordable Housing Act 1990	NAHA
National Association of Housing and Redevelopment Officials	NAHRO
Neighborhood Commercial Revitalization	NCR
(HPD) Narcotics Control Unit	NCU
National Environmental Policy Act	NEPA
Neighborhood Entrepreneur Program	NEP
Non-Traditional Employment for Women	NEW
Not-for-Profit	NFP
Neighborhood Homes	NH
Neighborhood Human Rights Program	NHRP
Neighborhood Housing Services	NHS
Notice of Fund Availability	NOFA
Neighborhood Ownership Program	NOP
Naturally Occurring Retirement Communities	NORC
Project No Violence Again	NOVA

Neighborhood Ownership Works Program	NOW
(HPD) Neighborhood Preservation Consultants Program	NPCP
Neighborhood Preservation Program	NPP
Neighborhood Redevelopment Program	NRP
New START Centers	NSC
New York City	NYC
New York City Empowerment Zone	NYCEZ
New York City Housing Authority	NYCHA
New York City Rules and Regulations	NYCRR
New York City Police Department	NYPD
New York State	NYS
New York State Office of Alcoholism, and Substance Abuse Services	OASAS
(HRA) Office of Community Affairs	OCA
(OMB) Office of Community Board Relations	OCBR
Office of Education and Alternative Resources	OEAR
Office of Economic Development	OED
NYS Office of Children and Family Services	OFCS
(HRA) Office of Health and Mental Health	OHMH
(HPD) Office of Housing Preservation	OHP
New York City Office of Management and Budget	OMB
Office of Mediation and Conflict Resolution	OMCR
New York State Office of Mental Health	OMH
Open Market Orders	OMO
NYS Office of Mental Retardation and Developmental Disabilities	OMRDD
Office of Property Management	OPM
Outreach and Referral to Problem and Relocated Families Program	ORPRFP
NYCHA Operations Services Department	OSD
NYCHA Office of Technical and Construction Services	OTCS
NYS Office of Temporary and Disability Assistance	OTDA
Other than Personal Service	OTPS
Public Assistance	PA
Police Athletic League	PAL
Projects for Assistance in Transition from Homelessness	PATH
Program Coordinating Committee	PCC
Postgraduate Center for Mental Health	PCMH

Public Housing Authority	PHA
Public Housing Drug Elimination Program	PHDEP
(DHS) Program and Housing Placement Unit	PHP
Participation Loan Program	PLP
People Helping Others Needing Emergency Services	PHONES
Project Open House	POH
Pre-Apprenticeship Environmental Training Program	PETP
Persons Living with AIDS	PLWA
Primary Prevention Program	PPP
Project Rental Assistance Contracts	PRAC
(HPD) Property Registration & Emergency Management Information System	PREMISYS
Protective Services for Adults	PSA
Pilot Vendor Market Initiative	PVM
Persons with AIDS	PWA
Persons Living with AIDS	PLWA
Persons with Disabilities	PWD
Quality Housing and Work Responsibility Act	QHAWRA
Rental Arrears Alert Program	RAA
Rental Assistance Program	RAP
(HRA) Rental Assistance Unit	RAU
Residential Care Centers for Adults	RCCA
Resident Educational Advancement Program	REAP
Relocated Family Program	RFP
Request for Proposals	RFP
Request for Qualification	RFQ
Red Hook Economic Development Effort	RHEDE
Rent and Housing Maintenance	RHM
Runaway Homeless Youth	RHY
Revolving Loan Fund	RLF
Resident Management Corporation	RMC
Resident Opportunities and Self-Sufficiency Program	ROSS
(HPD) Real Property Manager	RPM
Residential Placement Management System	RPMS
Resolution Trust Corporation	RTC
Resident Uplift for Economic Development	RUED

Substance Abuse/Alcohol	SA/A
Supplemental Assistance for Facilities to Assist the Homeless	SAFAH
South Brooklyn Local Development Corporation	SBLDC
(HPD) Supervisors of Building Maintenance	SBM
Senior Citizen Homeowner Assistance Program	SCHAP
Senior Citizen Homeowner Exemption Program	SCHE
Senior Citizen Rent Increase Exemption	SCRIE
Survivor's Emergency Assistance Program	SEAP
Seriously Emotionally Disturbed	SED
State Fiscal Year	SFY
Small Homes Auction Rehabilitation Program	SHARP
Supportive Housing Program	SHP
Special Initiatives Program	SIP
Special Needs Plans	SNP
State Office for the Aging	SOFA
State Office of Mental Health	SOMH
State of New York Mortgage Authority	SONYMA
Street Outreach and Referral Program	SORC
HRA Shelter Occupancy System	SOS
Severely and Persistently Mentally Ill	SPMI
Special Projects of National Significance	SPNS
(NHRP) School Partnership Program	SPP
(NYCHA) Senior Resident Advisor Program	SRA
Sponsor-based Rental Assistance	SRA
Single Room Occupancy	SRO
U.S. Social Security Administration	SSA
Social Security Disability	SSD
Social Security Insurance	SSI
Supplementary Social Insurance	SSI
Self-Sufficiency, Treatment, Addiction Control, Rehabilitation and Training	START
Supported Work Programs	SWP
Summer Youth Employment and Training Program	SYEP
Temporary Assistance to Needy Families	TANF
Tuberculosis	TB
(Modified) Therapeutic Communities	TC

Total Development Cost	TDC
Transportation Disabled Committee	TDC
Tribally Designated Housing Entities	TDHE
Transitional Housing	TH
Tenant Interim Lease Program	TIL
Transitional Independent Living Program	TILP
Transitional Living Community Program	TLC
Tenant-based Rental Assistance	TRA
Tenant Selection and Assignment Plan	TSAP
Tenant Support Services	TSS
Text Telephone for the Deaf	TTD
Tele-Typewriter	TTY
University Avenue Consolidation Project	UAC
Urban Development Action Area Program	UDAAP
(HUD) Urban Development Action Grant	UDAG
Urban Homesteading Assistance Board	UHAB
Uniform Land Use Review Procedure	ULURP
Upper Manhattan Empowerment Zone Development Corporation	UMEZDC
Uniform Relocation Assistance	URA
Urban Renewal Area	URA
Urban Renewal Plan	URP
Urban Technology Center	UTC
Victim Awareness Program	VAP
Value Added Sourcing Teams	VAST
Vacant Buildings Request for Proposals	VBRFP
Voluntary Compliance Agreement	VCA
(DBS) Vendor Initiative Division	VID
Victim Information and Notification Everyday System	VINE
(HPD) Vendor Tracking Unit	VTU
Women Business Enterprise	WBE
(HRA) Work Experience Program	WEP
Weatherization, Referral and Packaging Program	WRAP
X-ray Fluorescence Machine	XRF
Young Men's Christian Association	YMCA
Zoning and Urban Design	ZUD

## **APPENDIX 3:**

### **MAPS**

#### **1. Community Development Eligible Census Tracts**

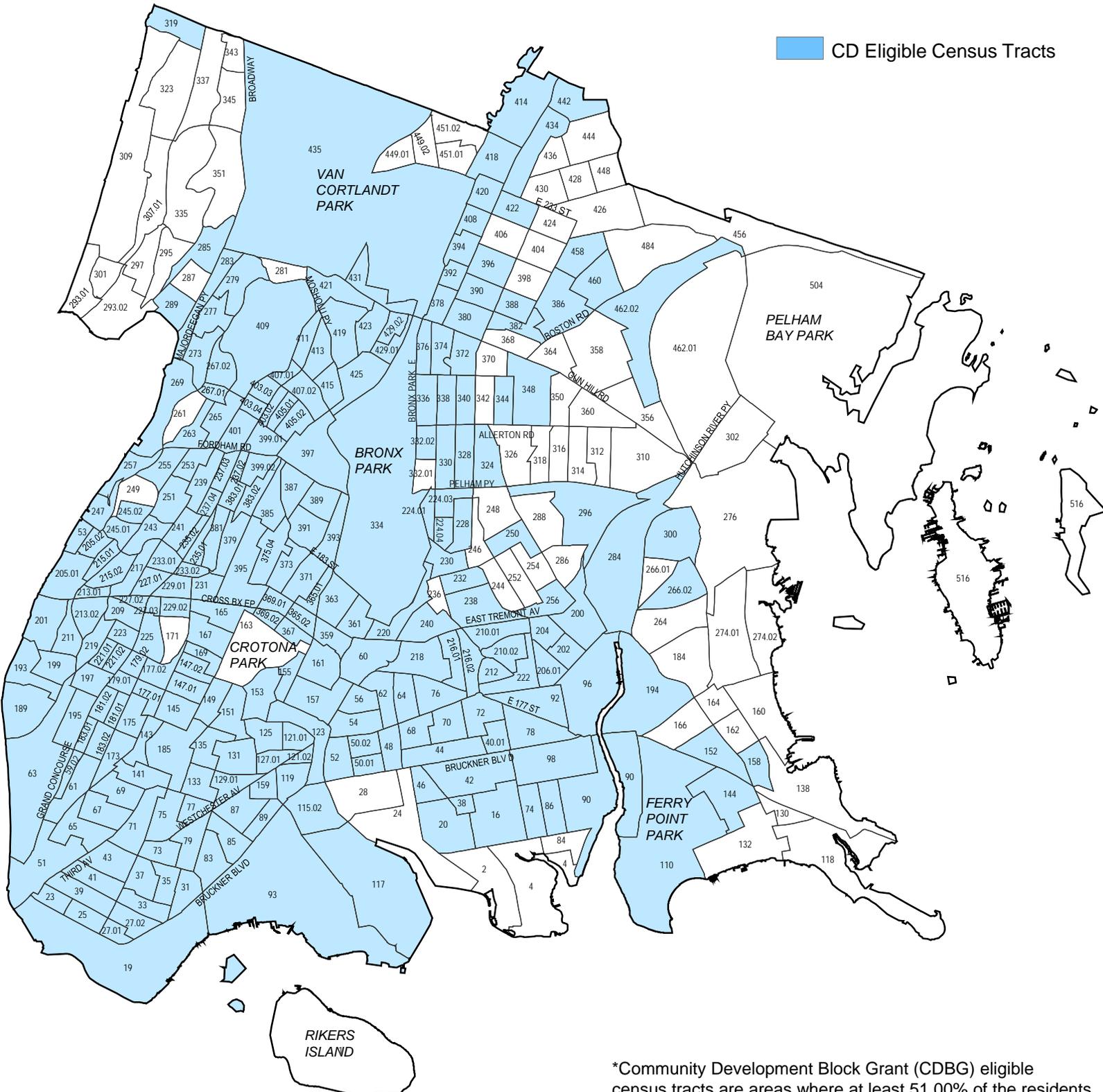
The attached Community Development Block Grant Eligibility maps show those 2010 census tracts in which Community Development (CD) funds may be used for an activity, the benefits of which are available to all the residents in a particular area, where at least 51% of the residents are low- and moderate-income persons ("CD area benefit" or "CD eligible area") according to 2006-2010 American Community Survey (ACS) Low and Moderate Income Summary Data. Low- and moderate-income persons are defined as persons living in families with incomes below 80 percent of the median household income (\$63,350 for a 4-person family in 2010) of the Primary Metropolitan Statistical Area (PMSA), which includes the five boroughs, and Putnam County.

The U.S. Department of Housing and Urban Development (HUD) released the updated New York City CD Eligible Census Tracts data based on 2010 Census geography at the end of June 2014. The revised data supersedes the CD Eligible 2000 Census Tract data for New York City released in June 2007. As a result of the data release, the City of New York has generated updated CD Eligible Census Tract maps to replace the maps previously created.

HUD requires local municipalities which receive Community Development Block Grant funds to begin using the new data to determine area eligibility effective July 1, 2014. The City of New York's Community Development Program Year began January 1, 2014. New York City began to use the revised 2006-2010 ASC data to determine 2010 CD area eligibility commencing with City Fiscal Year 2015 (CFY15) CD-funded activities, which began July 1, 2014. Programs supported by CD funds determined by the 2000 data remained eligible based on satisfying four (4) criteria: the obligation of funds before the July 1, 2014 effective date; a specified amount; the articulation of the specific activity; and, a clearly defined service area. *(For more information regarding the use of prior CD area eligibility, please see HUD Office of Community Planning and Development (CPD) Notice CPD-14-11: Transition Policy for Low/Moderate Income Summary Data Updates during Fiscal Year 2014 for the Entitlement Grantees and Non-entitlement Hawaiian County Grantees of the Community Development Block Grant Program.* <http://portal.hud.gov/hudportal/documents/huddoc?id=14-11cpdn.pdf>).

Therefore, City Agencies and not-for-profit organizations who intend to request CD monies to fund area wide activities which will be undertaken in the current and future City Fiscal Years should use the updated 2010 Census Tract Eligibility data to determine their respective programs' area eligibility.

# Community Development Eligible Census Tracts\* Bronx, 2014

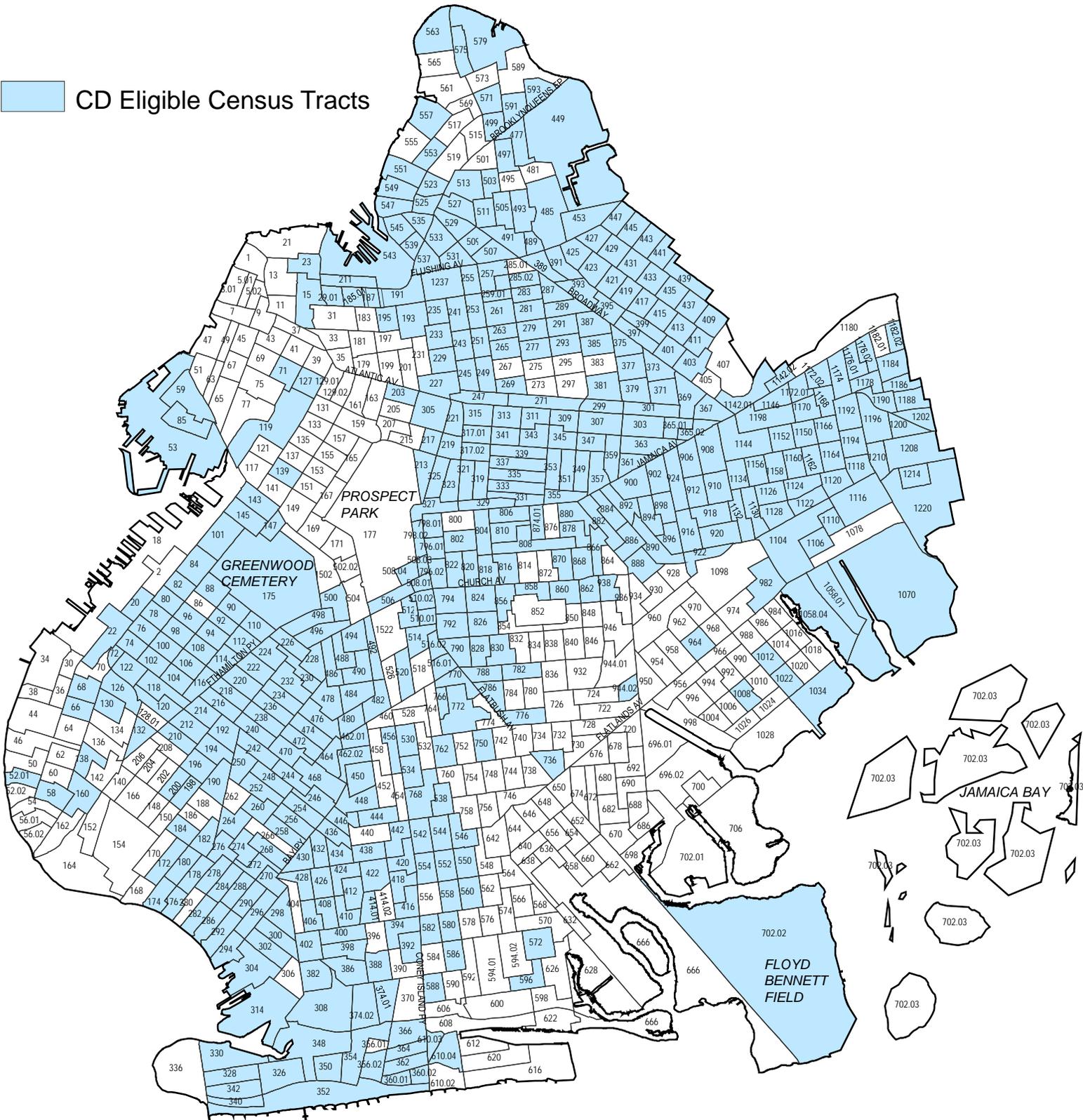


\*Community Development Block Grant (CDBG) eligible census tracts are areas where at least 51.00% of the residents are low and moderate income persons (less than 80% of the 2010 HUD Section 8 Program Median Family Income, or \$63,350 for a family of four).

Sources: U.S. HUD Estimates based on American Community Survey 5-Year 2006 - 2010 Low and Moderate Income Summary Data  
Population Division - New York City Department of City Planning

# Community Development Eligible Census Tracts\* Brooklyn, 2014

 CD Eligible Census Tracts

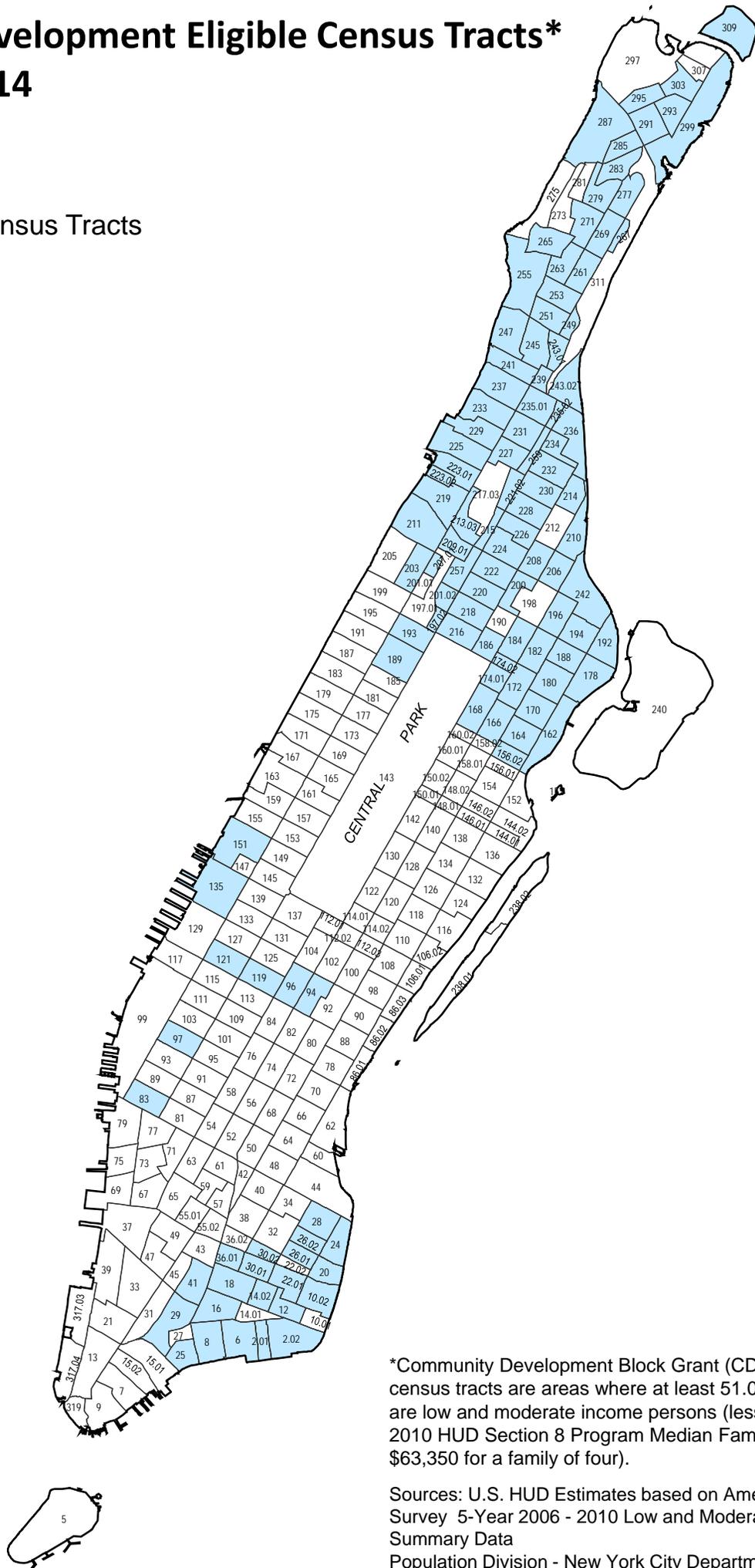


\*Community Development Block Grant (CDBG) eligible census tracts are areas where at least 51.00% of the residents are low and moderate income persons (less than 80% of the 2010 HUD Section 8 Program Median Family Income, or \$63,350 for a family of four).

Sources: U.S. HUD Estimates based on American Community Survey 5-Year 2006 - 2010 Low and Moderate Income Summary Data  
Population Division - New York City Department of City Planning

# Community Development Eligible Census Tracts\* Manhattan, 2014

 CD Eligible Census Tracts

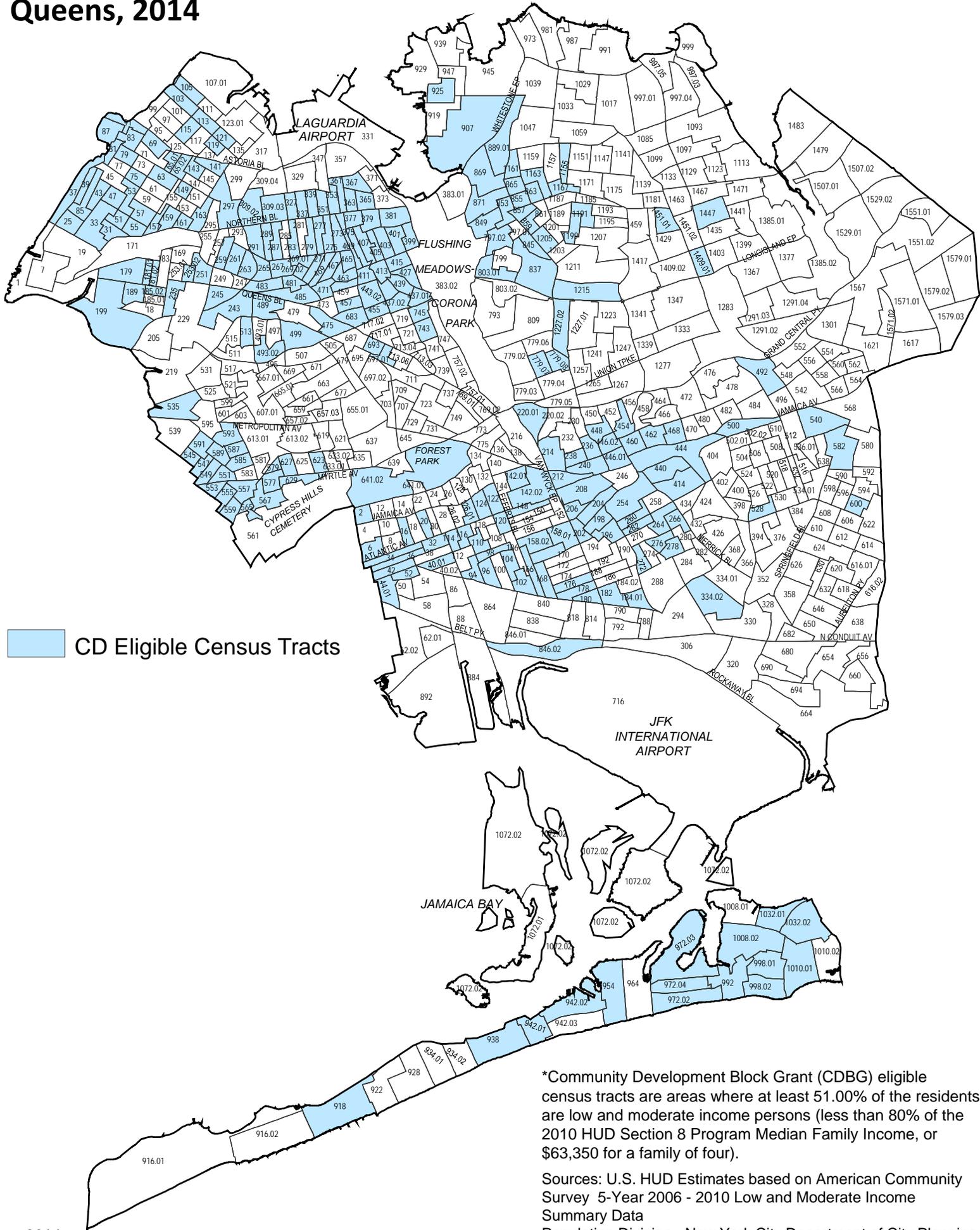


\*Community Development Block Grant (CDBG) eligible census tracts are areas where at least 51.00% of the residents are low and moderate income persons (less than 80% of the 2010 HUD Section 8 Program Median Family Income, or \$63,350 for a family of four).

Sources: U.S. HUD Estimates based on American Community Survey 5-Year 2006 - 2010 Low and Moderate Income Summary Data  
Population Division - New York City Department of City Planning

# Community Development Eligible Census Tracts\*

## Queens, 2014



\*Community Development Block Grant (CDBG) eligible census tracts are areas where at least 51.00% of the residents are low and moderate income persons (less than 80% of the 2010 HUD Section 8 Program Median Family Income, or \$63,350 for a family of four).

Sources: U.S. HUD Estimates based on American Community Survey 5-Year 2006 - 2010 Low and Moderate Income Summary Data  
Population Division - New York City Department of City Planning



## **2. Minority Population**

The attached Minority Population maps depict the percentages of the City's minority population<sup>1</sup> within 2010 census tracts by three (3) intervals: 1) greater than or equal to 85 percent minority population; 2) 65 to 84.9 percent; and 3) Less than 65 percent.

The percentage of minority population within the census tracts was computed by dividing a tract's population that was not white, non-Hispanic (total population less white, non-Hispanic persons) by its total population.

In addition to enumerating persons as White, non-Hispanic for the 2010 Census, the U.S. Census Bureau continued to enumerate persons by the expanded race categories that were first used for the 2000 Census: American Indian or Alaska Native; Asian; Black or African-American, Native Hawaiian or Other Pacific Islander; some other (single) race not previously reported; two or more races; and, persons of Hispanic origin (of any race). The data depicted represents persons who comprise these categories.

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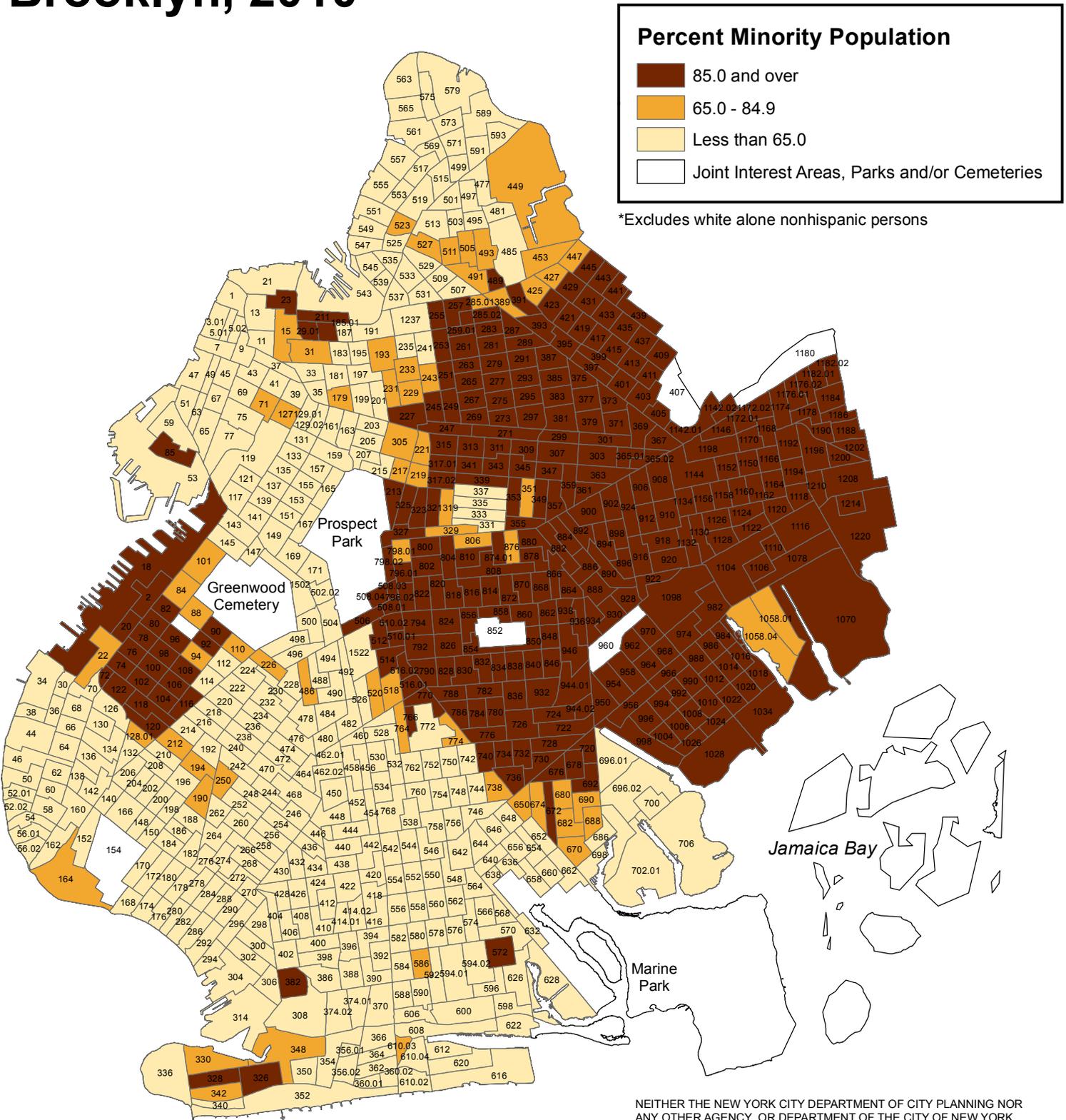
<sup>1</sup>Minority Population excludes White, non-Hispanic persons.



# Minority Population\*

## As a Percent of Total Population by Census Tracts

### Brooklyn, 2010



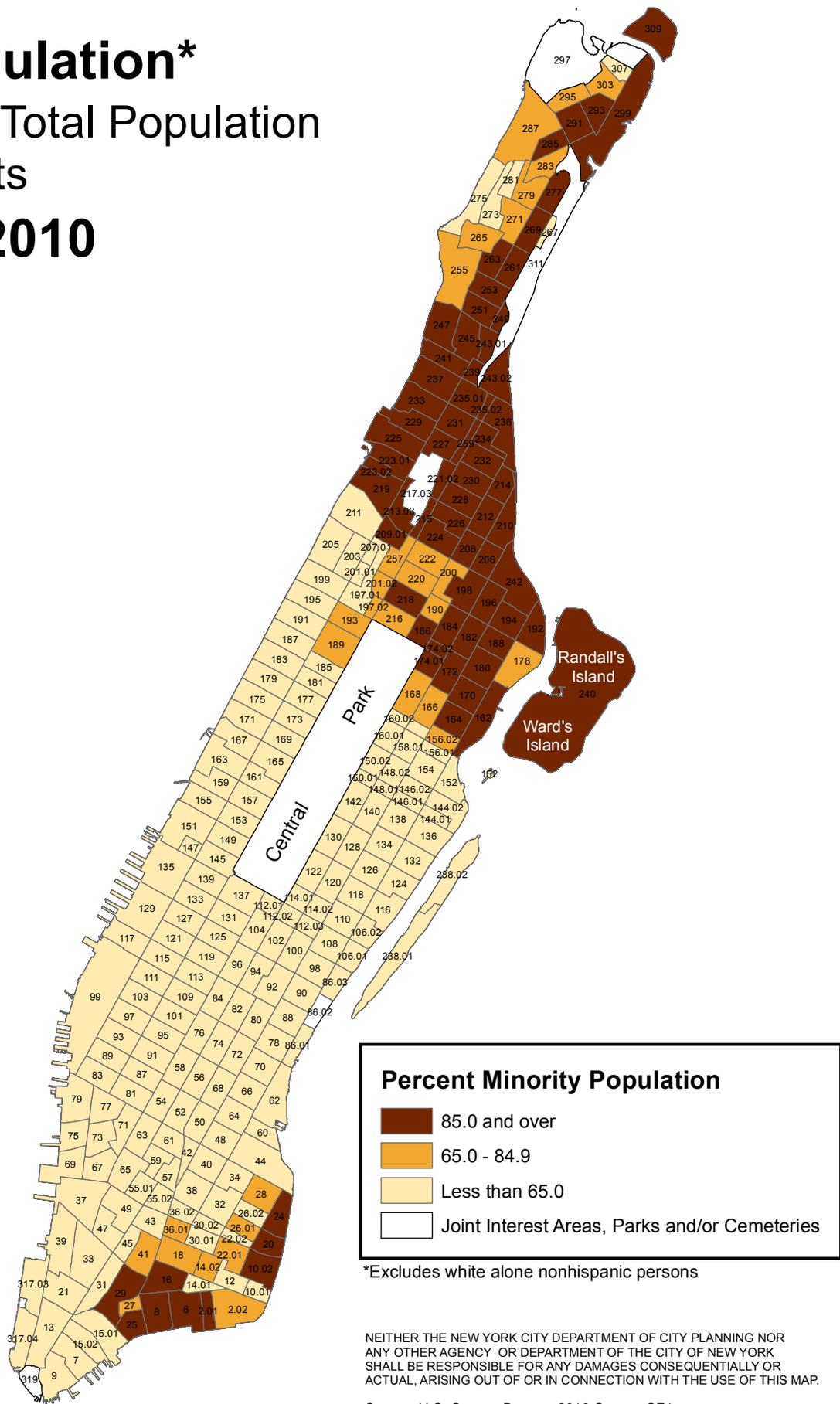
NEITHER THE NEW YORK CITY DEPARTMENT OF CITY PLANNING NOR ANY OTHER AGENCY OR DEPARTMENT OF THE CITY OF NEW YORK SHALL BE RESPONSIBLE FOR ANY DAMAGES CONSEQUENTIALLY OR ACTUAL, ARISING OUT OF OR IN CONNECTION WITH THE USE OF THIS MAP.

Source: U.S. Census Bureau, 2010 Census SF1 Housing, Economic and Infrastructure Planning Division  
New York City Department of City Planning

# Minority Population\*

## As a Percent of Total Population by Census Tracts

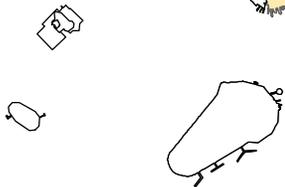
### Manhattan, 2010



NEITHER THE NEW YORK CITY DEPARTMENT OF CITY PLANNING NOR ANY OTHER AGENCY OR DEPARTMENT OF THE CITY OF NEW YORK SHALL BE RESPONSIBLE FOR ANY DAMAGES CONSEQUENTIALLY OR ACTUAL, ARISING OUT OF OR IN CONNECTION WITH THE USE OF THIS MAP.

Source: U.S. Census Bureau, 2010 Census SF1 Housing, Economic and Infrastructure Planning Division  
New York City Department of City Planning

September 2012

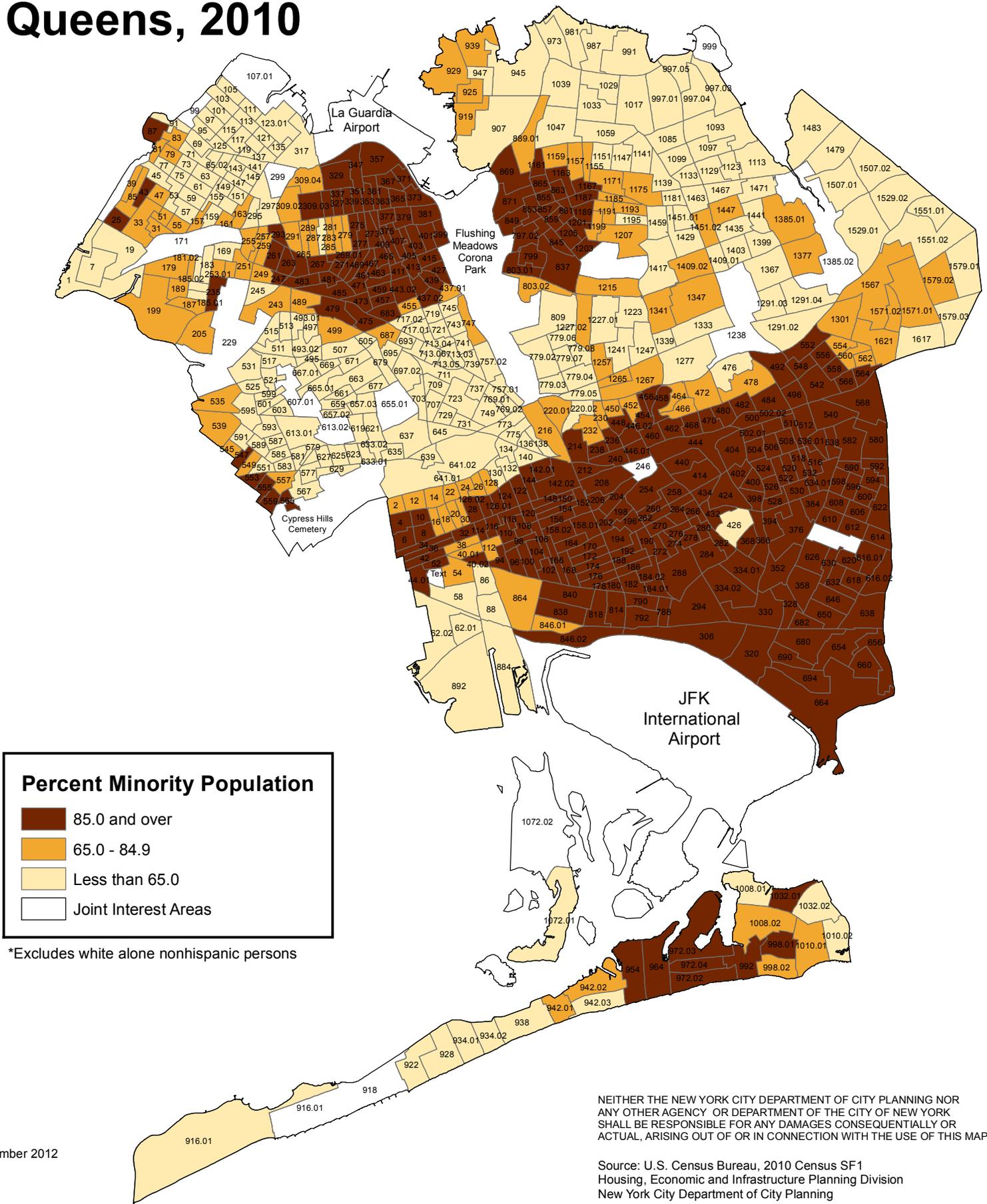


# Minority Population\*

## As a Percent of Total Population

### by Census Tracts

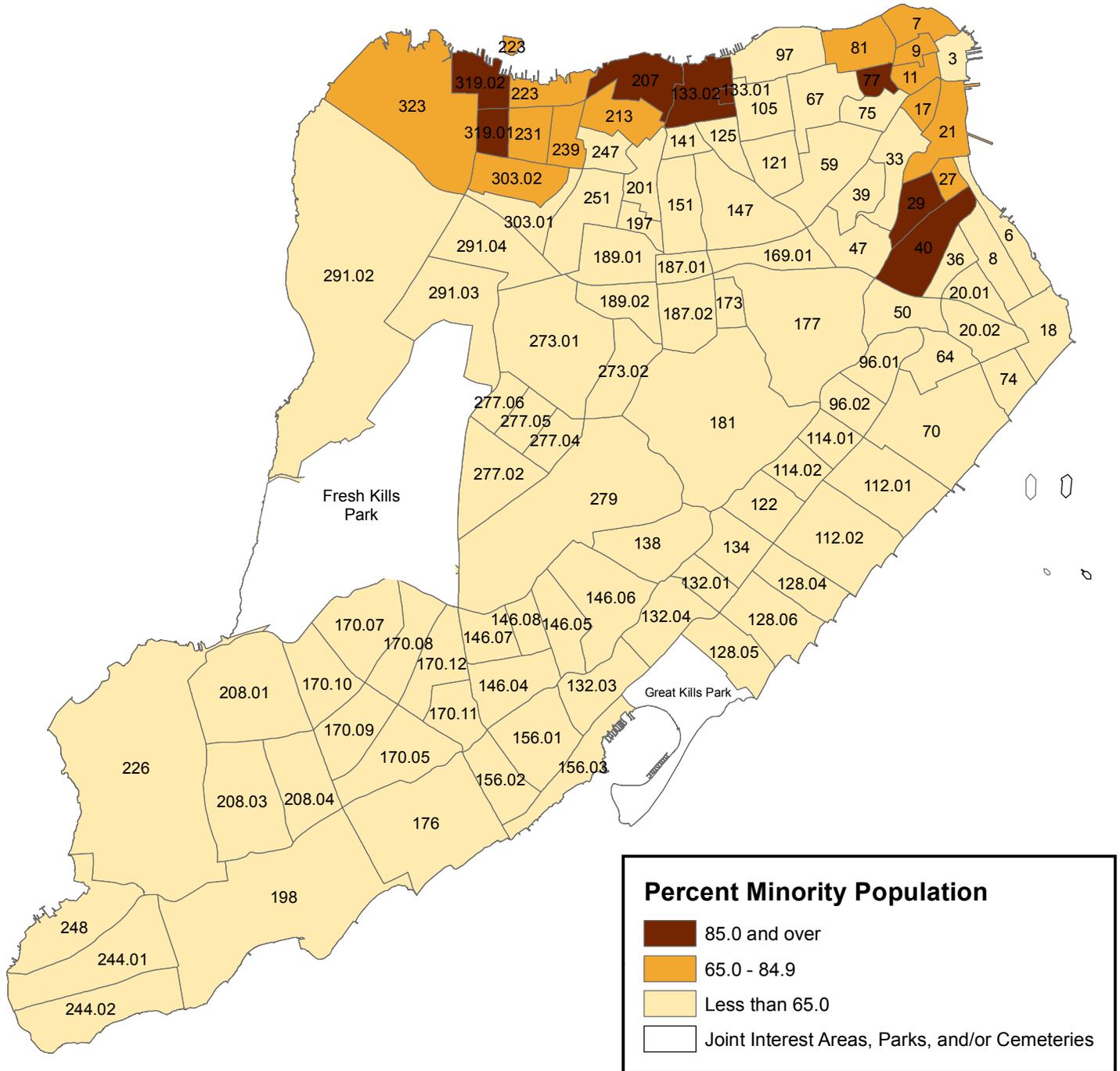
# Queens, 2010



# Minority Population\*

## As a Percent of Total Population by Census Tracts

### Staten Island, 2010



\*Excludes white alone nonhispanic persons

NEITHER THE NEW YORK CITY DEPARTMENT OF CITY PLANNING NOR ANY OTHER AGENCY OR DEPARTMENT OF THE CITY OF NEW YORK SHALL BE RESPONSIBLE FOR ANY DAMAGES CONSEQUENTIALLY OR ACTUAL, ARISING OUT OF OR IN CONNECTION WITH THE USE OF THIS MAP.

## **APPENDIX 4:**

### **DICTIONARY OF PROGRAM DESCRIPTION VARIABLES**

This dictionary defines the required HUD variables found in the Action Plan. These required HUD elements include: the administering agency, funding sources, type of accomplishment, program activities, household type, income level, objective, outcome, and outcome statement.

**FUNDING PREFIX** -- Activity is funded by one of the four United States Department of Housing and Urban Development Entitlement/Formula Programs.

- C Community Development Block Grant (CDBG) funded.
- E Emergency Solutions Grant (ESG) funded.
- H HOME Investment Partnerships (HOME) funded.
- P Housing Opportunities for Persons with AIDS (HOPWA) funded.

**AGENCY** -- the City agency responsible for administering the program is as follows:

- ACS Agency for Childrens' Services
- CHA New York City Housing Authority
- CHR Commission on Human Rights
- DCA Department of Cultural Affairs
- DCAS Department of Citywide Administrative Services
- DCP Department of City Planning
- DDC Department of Design and Construction
- DFA Department for the Aging
- DCAS Department of Citywide Administrative Services
- DJJ Department of Juvenile Justice
- DHS Department of Homeless Services
- DHMH Department of Health and Mental Hygiene
- DOEd Department of Education
- DOE Department of Employment
- DOS Department of Sanitation
- DOT Department of Transportation
- DPR Department of Parks and Recreation
- DYCD Department of Youth and Community Development
- EDC Economic Development Corporation
- HPD Department of Housing Preservation and Development
- HRA Human Resources Administration Department of Social Services
- LPC Landmarks Preservation Commission
- MAY Mayor's Office, please refer to program description.
- NFP Not-for-Profit Organization, please refer to program description.
- NYPD New York Police Department
- NYCHA New York City Housing Authority
- OMB Office of Management and Budget
- OTR (Other) Please refer to program description.
- SBS Department of Small Business Services
- VARIOUS Please refer to program description.

**FUNDING SOURCE** - Each program is funded by either one or more of the following levels of government and/or a not-for-profit, or private entity. If other is listed refer to the program description.

**FEDERAL** - The following programs are primarily funded by the United States Department of Housing and Urban Development, unless otherwise stated, refer to the program description for the federal agency:

Entitlement/Formula Programs - Please refer to program description for additional information.

Community Development Block Grant (CDBG)  
Emergency Solutions Grant (ESG)  
HOME Investment Partnerships (HOME)  
Housing Opportunities for Persons with AIDS (HOPWA)

New York City Housing Authority - Please refer to program description for additional information.

Public Housing Capital Fund Program  
HOPE VI

Competitive Programs - Please refer to program description for additional information.

Homeless Continuum of Care SuperNOFA  
    Supportive Housing  
    Section 8 Moderate Rehabilitation SRO  
    Shelter Plus Care Program  
Section 202 Supportive Housing for the Elderly  
Section 811 Supportive Housing for the Disabled  
Section 8 Certificates and Vouchers  
(Section 8) Mainstream Housing Opportunities for Persons with Disabilities Program  
Housing Opportunities for Persons with AIDS (HOPWA Program) – SPNS  
Lead-Based Paint Hazard Control  
Lead-Based Paint Hazard Reduction Demonstration

**STATE** - Please refer to program description for additional information.

Affordable Homeownership Development Program  
Homeless Housing and Assistance Program  
Low Income Housing Tax Credit  
Low Income Housing Trust Fund Program  
RESTORE Program

**CITY** - The City of New York funds housing programs with City funds in the following ways:

Article 8, 8A, & 11 of Private Finance Law  
City Capital  
City Expense  
City Property Tax Abatement  
City Property Tax Exemption  
City Tax-Exempt Bond

**PRIVATE/NFP** - For programs funded with Private or Not-for-Profit, please refer to program description for the name of the organization.

Not-for-Profit  
Private Capital  
Private Expense

**ACCOMPLISHMENTS** - The categories of HUD eligible accomplishments are as follows:

People (Used for Public Service activities)  
Youth  
Elderly  
Households (Used for Housing Activities)  
Large households  
Small Households  
Elderly Households  
Businesses  
Organizations  
Housing Units  
Public Facilities (Used for Public Facilities and Public Improvements)  
Feet of Public Utilities  
N/A (Not Applicable)

**PROGRAM ACTIVITIES** (Activity Code/Name) - The HUD eligible activities that a program can perform are as follows: (Please note that the HUD codes are often not sequential.)

**Acquisition and Disposition**

**01 Acquisition**

Acquisition is frequently used for the acquisition of property on which a public facility or public improvement will be constructed using other funds.

**02 Disposition**

Disposition can occur through the sale, lease, or donation of property acquired with CDBG funds or under urban renewal. This term is used to describe costs that are incidental to disposing or transferring real property acquired with CDBG funds, and to describe the costs of temporarily maintaining properties pending disposition (for example, legal service, financial service, appraisal survey, and transfer of ownership costs).

**Public Facilities and Improvements**

**This category allows the acquisition of real property and construction or rehabilitation of the following public facilities and improvements to those facilities.**

**03 Public Facilities and Improvements**

This activity should be used, unless the activity falls under a more specific category, listed below.

**03A Senior Centers**

Construction or rehabilitation of senior citizen centers. A facility described as serving "senior citizens and the disabled" may be classified under this category.

**03B Centers for the Disabled/Handicapped**

Construction or rehabilitation of group homes or centers for the disabled.

**03C Homeless Facilities (Not Operating Costs)**

Construction, conversion, renovation, or rehabilitation of shelters for the homeless, including shelters for battered spouses. This includes transitional housing and SROs (single room occupancy units) for the homeless that are funded by CDBG.

**03D Youth Centers/Facilities**

This refers to facilities that will be used primarily to provide services for teenage youth (ages 13 to 19). This includes playground and recreation facilities that are a part of youth centers/facilities.

**03E Neighborhood Facilities**

Structures that will be used for social services or for multiple purposes, including recreation, and that are principally designed to serve a neighborhood. Such facilities may include libraries and public schools.

**03F Parks, Recreational Facilities**

The activity involves developing an open space area or a facility to be used principally for recreation purposes.

**03G Parking Facilities**

This category is used for off-street parking lots and parking garages.

**03H Solid Waste Disposal Facilities**

Any activity that describes the construction and/or rehabilitation of solid waste disposal facilities.

**03I Flood and Drainage Facilities**

Flood control or irrigation (e.g., retention ponds or catch basins) activities do not include storm sewers, street drains, or storm drains.

**03J Water/Sewer Improvements**

Water/Sewer Improvements include installation or replacement of water lines, sanitary sewers, storm sewers, and fire hydrants.

**03K Street Improvements**

A street improvement project may include street drains, storm drains, curb and gutter work, tunnels, bridges, and the installation of street lights or signs.

**03L Sidewalks**

This activity is for the purpose of sidewalk improvements. Sidewalk improvements that include the installation of trash receptacles, trees, benches, and lighting are also included.

**03M Child Care Centers/Facilities for Children**

Examples of these include daycare centers and Head Start pre-school centers.

**03N Tree Planting**

Activities limited to tree planting (sometimes referred to as "beautification").

**03O Fire Station/Equipment**

In addition to the construction or rehabilitation of a fire station, this category includes the purchase of fire trucks, ambulances, and rescue equipment.

**03P Health Facilities**

This activity includes both physical and mental health facilities.

**03Q Abused and Neglected Children's Facilities**

This category includes daycare, treatment, or temporary housing for abused and neglected children.

**03R Asbestos Removal**

The primary goal of this category is to remove asbestos.

**03S Facilities for AIDS Patients (Not Operating Costs)**

Construction or rehabilitation of buildings for treatment or temporary housing for people who are HIV positive or who have AIDS. Note: "AIDS Patients" is a term required by HUD's National Objectives definitions. The City of New York prefers to use the term "Persons living with HIV/AIDS" to describe individuals who receive HOPWA-funded services.

**03T Operating Costs of Homeless "and/or" AIDS Patients Programs**

This category funds the operating expenses of ESG-funded emergency shelters. This category includes all costs associated with the operation of facilities (such as utilities, maintenance, and insurance) for homeless persons and/or AIDS patients. Note: "and/or" has been added to HUD's National Objectives definition because the City of New York houses AIDS patients in more appropriate housing arrangements than ESG-funded emergency shelters in order to accommodate their medical needs.

**Public Services**

**Public service activities are the essential supportive services provided to special needs populations and very-low and low-income persons.**

**05 Public Services (General)**

Public service activities include housing referral and counseling services, neighborhood cleanup, homeownership counseling, food distribution (food bank services), health education, or rape prevention education. General or unspecified homeless services, including those described as essential or supportive services, may also be assigned this activity.

**05A Senior Services**

Services that will be provided to elderly persons (e.g., meals-on-wheels, dial-a-ride) and for services provided for victims of Alzheimer's disease. (Senior Services or Services for the Disabled, may be used for activities that will provide services for both senior citizens and persons with disabilities if the activity is not intended primarily to serve one group rather than the other.)

**05B Services for the Disabled (Previously Referred to as Handicapped Services)**

Indicate services for persons with disabilities, regardless of age.

**05C Legal Services**

Includes programs that provide legal aid to low-and moderate-income persons.

**05D Youth Services**

Services for teenagers (ages 13 to 19) that include, for example, recreational services limited to teenagers or a teen counseling program. If a counseling program is targeted for youth but includes counseling for the family as well, it may still be classified as a youth service if the focus is on counseling for youth.

**05E Transportation Services**

Transportation services for a specific client group should be classified under this category for that client group; for example, use Senior Services, for transportation services for the elderly.

**05F Substance Abuse Services**

This program funds substance abuse recovery programs as well as prevention/education activities.

**05G Battered and Abused Spouses**

This category is for programs serving abused and neglected children, adults or families.

**05H Employment Training**

This program provides assistance that increases self-sufficiency. This category includes literacy, independent living skills, job training, and employment service activities.

**05I Crime Awareness/Prevention**

Programs promoting crime awareness and prevention, including crime prevention education programs and paying for security guards.

**05J Fair Housing Activities**

Fair housing services include counseling on housing discrimination.

**05K Tenant/Landlord Counseling**

Counseling provided to help prevent or settle disputes that occur between tenants and landlords.

**05L Child Care Services**

Services that children (generally under age 13) will benefit from, including parenting skill classes. However, services exclusively for abused and neglected children should be classified Abused and Neglected Children.

**05M Health Services**

Health services activities include operation of neighborhood clinics, post-rape counseling, vermin abatement services (also known as "vector control"), and other activities designed to serve the health needs of the residents. (Exception: Mental health services, which should be classified under Mental Health Services.)

**05N Abused and Neglected Children**

Daycare or other services are exclusively for abused and neglected children.

**05O Mental Health Services**

Activities designed to address the mental health needs of residents of the community.

**05P Screen for Lead-Based Paint/Lead Hazards Poisoning**

Activities designed primarily to provide screening for (not removal of) lead-based paint and other lead poisoning hazards.

**05Q Subsistence Payments**

This activity should only be used for activities designed to provide one-time or short-term (no more than three months) emergency grant payments on behalf of an individual or family, generally for the purposes of preventing homelessness. Examples include use of CDBG funds to prevent the loss of utilities, or payment of rent/mortgage to prevent eviction.

For other programs, this activity may be used for activities that provide tenant subsidies and other payments for expenses other than rent or security deposits.

**05R Homeownership Assistance (Not Direct)**

Homeownership, under this category, is limited to only homebuyer downpayment assistance.

**05S Rental Housing Subsidies (HOME Tenant-Based Rental Assistance)**

Tenant subsidies are exclusively for rental payments, including HOME tenant-Based Rental Assistance.

## **05T Security Deposits**

This category is exclusively for providing security deposits as a form of tenant subsidy.

### **Housing**

**Housing includes a variety of categories from new construction to rehabilitation.**

## **12 Construction of Housing**

This activity indicates the construction of new housing.

## **13 Direct Homeownership Assistance**

Homeownership assistance provided under the HOME program.

Under the CDBG program, assistance provided to facilitate homeownership may be in the form of subsidizing interest rates and mortgage principal amounts, payment of closing costs and downpayment assistance for low- and moderate-income homebuyers, acquiring guarantees for mortgage financing from private lenders, and financing the acquisition by low- and moderate income persons of housing they already occupy.

## **14A Rehabilitation: Single-Unit Residential**

This category includes loans and grants for the rehabilitation of privately owned one-unit homes.

## **14B Rehabilitation: Multi-Unit Residential**

This category includes the rehabilitation of buildings with two or more residential units.

## **14C Public Housing Modernization**

This type of activity includes the rehabilitation of housing units owned/operated by a public housing authority (PHA) or an Indian housing authority (IA).

## **14D Rehabilitation: Other Publicly Owned Residential Buildings**

This type of activity includes housing that is owned by a public entity other than a PHA. This category may include SROs that are owned by a public entity other than a PHA.

## **14F Energy Efficiency Improvements**

This activity is the rehabilitation for the sole purpose of promoting energy efficiency (e.g., a weatherization program).

## **14G Acquisition For Rehabilitation**

This category is to acquire property in order to rehabilitate for housing. This category may be used to reflect the cost of only the acquisition if the rehabilitation costs will be paid from another source, or it may also include both the costs of acquisition and rehabilitation.

## **14H Rehabilitation Administration**

Indicates administrative activities for the delivery costs (including staff, other direct costs, and service costs) directly related to carrying out housing rehabilitation activities. Examples of these include architectural, engineering, appraisal, and other professional services; preparation of work specifications and work write-ups; loan processing and loan origination fees; surveys, site, and utility plans; application processing; and other fees involving housing rehabilitation.

## **14I Lead-Based Paint/Lead Hazard Test/Abatement**

This category applies when the primary goal is housing rehabilitation for lead-based paint and hazard evaluation and reduction.

**16A Residential Historic Preservation**

This activity should only be used for the rehabilitation of historic residential structures.

**Commercial/Industrial Improvements by Grantee or Non-Profit**  
**This list of activities is primarily used to address special economic development activities.**

**17A Commercial/Industrial Land Acquisition/Disposition**

This activity indicates acquiring land, clearing structures, or packaging commercial or industrial property for a special economic development activity, such as creating an industrial park.

**17B Commercial/Industrial Infrastructure Development**

This activity indicates street improvements, water improvements, parking additions, rail transport improvements, or other improvements to a site for a special economic development activity. This activity may include installation of public improvements in an industrial site or construction of streets/roads to and through commercial/industrial areas.

**17C Commercial/Industrial Building Acquisition, Construction, Rehabilitation**

This activity indicates the following objectives: to acquire, to construct, or to rehabilitate a commercial/industrial building for a special economic development activity.

**17D Other Commercial/Industrial Improvements**

Other commercial and industrial improvements undertaken for a special economic development activity that is not covered by Commercial/Industrial Land Acquisition/Disposition, Commercial/Industrial Infrastructure Development, or Commercial/Industrial Building Acquisition, Construction, Rehabilitation.

**Direct Economic Development Assistance to Private For-Profits**  
**All activities in this category provide direct assistance to a for-profit entity.**

**14E Rehabilitation: Publicly or Privately Owned Commercial/Industrial**

This rehabilitation will be limited to improvements to the exterior of a commercial building (generally referred to as "facade improvements") or to the correction of code violations.

**18A ED Direct: Direct Financial Assistance to For-Profit Business**

Financial assistance will be provided to a for-profit business. Examples may include loans, loan guarantees, or grants to acquire property, clear structures, construct or rehabilitate a building, and/or purchase equipment.

**18B ED Direct: Technical Assistance**

Technical assistance will be provided to for-profit businesses. This includes workshops, marketing, or referrals.

**18C Micro-Enterprise Assistance**

Financial assistance, technical assistance, or general support services/programs will be provided to owners of and persons developing micro-enterprises. (A micro-enterprise is a business with five or fewer employees, including the owner(s).)

**General Administrative and Planning Costs**

**20 Planning**

Planning activities include planning and capacity building, development of comprehensive plans (for example, a consolidated plan), energy strategies, community development plans, environmental studies, area neighborhood plans, and functional plans.

**21A General Program Administration**

This category includes overall program management, coordination, monitoring, and evaluation. The activities in this category may include (but are not limited to) salaries, wages, and related costs of the recipient's staff or other staff engaged in program administration, which includes (but is not limited to) providing information about the program, preparing program budgets and schedules, preparing reports, and other costs for goods or services needed for administration of the program. This category is used to administer a federally designated Empowerment Zone or Enterprise Community, or to administer the HOME program.

**21B Indirect Costs**

This activity can indicate costs charged to a program under an indirect cost allocation plan.

**21C Public Information**

This activity is used for the provision of information and other resources to residents and citizen organizations participating in the planning, implementation, or assessment of activities.

**21D Fair Housing Activities**

Fair housing activities include General Program Administration activities.

**21E Submissions or Applications for Federal Programs**

These activities allow for the preparation of documents required for submission to HUD to receive funds under the CDBG program and to prepare applications for other federal programs when the grantee has determined that such activities are necessary to achieve its community development objectives.

**21H HOME Administrative/Planning Costs of Participating Jurisdiction**

This category includes the administration and planning costs of the HOME grant. It may include program management, coordination, planning, monitoring, and evaluation activities.

**21I HOME CHDO Operating Expenses**

This category allows for the expenses incurred for operating costs associated with a CHDO carrying out its activities.

**Other****04 Clearance and Demolition**

These activities involve the clearance or demolition of buildings and improvements, or the movement of structures to other sites.

**04A Clean-up of Contaminated Sites/Brownfields**

These activities are designed primarily for cleaning toxic/environmental waste or contamination from a site.

**06 Interim Assistance**

There are two circumstances under which the Interim Assistance code may be used:

- a. When making limited improvements (e.g., repair of streets, sidewalks, or public buildings) to areas with determinable signs of physical deterioration when the improvements are intended to arrest deterioration prior to permanent improvements being made.
- b. When the activity will alleviate an emergency condition threatening public health and safety, such as emergency removal of tree limbs or other debris after a major storm.

**07 Urban Renewal Completion**

This activity should be used only if the assistance will be used for the completion of urban renewal projects. (This activity refers to the close-out of the urban renewal categorical grant program that preceded CDBG; active urban renewal projects that are now being completed are generally located in large cities.)

**08 Relocation**

Funds may be used for relocation payments and assistance to displaced persons, including individuals, families, businesses, non-profit organizations, and farms.

**09 Loss of Rental Income**

This activity involves the use of funds to pay housing owners for the loss of rental income incurred by holding (for temporary periods) housing units to be used for the relocation of individuals and families displaced by CDBG-assisted activities.

**10 Removal of Architectural Barriers**

This category should be used for public facilities, buildings, or private residences where CDBG funds are used to remove barriers for increasing handicapped accessibility.

**11 Privately Owned Utilities**

An activity that involves the use of CDBG funds to acquire, reconstruct, rehabilitate, or install the distribution lines and facilities of privately owned utilities, including placing new or existing distribution facilities and lines underground.

**15 Code Enforcement**

Code enforcement involves the payment of salaries and overhead costs directly related to the enforcement of local codes.

**16B Non-Residential Historic Preservation**

This activity should be used for any non-residential historic building that will be rehabilitated. Examples include the rehabilitation of an historic building for use by a historic preservation society, the renovation of a historic building for use as a museum, or the renovation of a historic building for use as a neighborhood facility.

**19C CDBG Non-Profit Organization Capacity Building**

Activities funded under the CDBG program that increase the capacity of non-profit organizations to carry out eligible neighborhood revitalization or economic development activities. Activities that strengthen non-profits may include providing staff with specialized training and technical assistance.

**19D CDBG Assistance to Institutions of Higher Education**

Use this activity when assistance is provided to institutions of higher education that have demonstrated a capacity to carry our eligible activities.

**19E CDBG Operation and Repair of Foreclosed Property**

Activities that use CDBG funds to make essential repairs and to pay operating expenses necessary to maintain the habitability of housing units acquired through tax foreclosure in order to prevent abandonment and deterioration of such housing primarily in low-and moderate-income neighborhoods.

**19F Repayments of Section 108 Loan Principal**

Indicates repayment of principal for a Section 108 Loan Guarantee.

## **22 Unprogrammed Funds**

Identify funds that have not been programmed for use. This category may include funds identified as reserve or contingency funds.

### **Emergency Solutions Grant-related**

*With the implementation of the Emergency Solutions Grant (ESG) in 2012, HUD's Integrated Disbursement and Information System (IDIS) no longer used CDBG-based activity matrix codes (legacy codes) to determine ESG-eligible activities. ESG monies may be used fund the following five program components: street outreach, emergency shelter, homelessness prevention, rapid re-housing assistance, and HMIS; as well as administrative activities. The following list converts the activities described in the legacy codes to ESG-related activities.*

#### **Administration**

Please refer to (Legacy) Activity Code: 21A General Program Administration

#### **Administration: Planning**

Please refer to (Legacy) Activity Code: 20 Planning

#### **Administration: Rehabilitation Administration**

Please refer to (Legacy) Activity Code: 14H Rehabilitation Administration

#### **Construction of Housing**

Please refer to (Legacy) Activity Code: 12 Construction of Housing

#### **Emergency Shelter: Essential Service**

Activities undertaken to provide essential services to individuals and families who are in an emergency shelter, including but not limited to case management (including the cost of assessing housing and service needs, arranging, coordinating, and monitoring the delivery of individualized services to meet the needs of the program participant), child care, education services (instruction or training in consumer education, health education substance abuse prevention, literacy, English as a Second Language, and General Educational Development (GED) necessary for the participant to obtain and maintain housing), employment assistance and job training, outpatient health services, legal services, life skills training, as well as mental health services and substance abuse treatment services.

#### **Emergency Shelter: Operation**

Activities undertaken necessary for the operation of the emergency shelter including costs of maintenance (including minor or routine repairs), rent, security, fuel, equipment, insurance, utilities, food, furnishings, and supplies. Where no appropriate emergency shelter is available for a homeless family or individual, eligible activities may costs may also include a hotel or motel voucher for that family or individual.

#### **Emergency Shelter: Renovation**

Activities related to the renovation (including major rehabilitation of an emergency shelter or conversion of a building into an emergency shelter) of a facility owned by a government entity or private nonprofit organization. Eligible costs include labor, materials, tools, and other related costs.

#### **Emergency Shelter: URA Assistance**

ESG Funds may be used for relocation payments and other assistance to persons displaced by a project assisted with ESG funds.

#### **HMIS (Homeless Management Information System)**

Activities undertaken to comply with HUD's data collection, management, and reporting standards and used to

collect client-level data and data on the provision of housing and services to homeless individuals and families and persons at risk of homelessness. Activities in this category may include (but not limited to) the purchasing or leasing computer hardware and/or software or software licenses; charges for utilities necessary to operate or contribute data to the HMIS; salaries and wages for staff engaged in HMIS operation, data entry, monitoring and reviewing data quality, data analysis, reporting, and training; Hosting and maintaining (back- up, recovery, or repair) HMIS software or data.

**Homeless Assistance: Abused and Neglected Children Facilities**

Please refer to (Legacy) Activity Code: 03Q Abused and Neglected Children Facilities

**Homeless Assistance: Acquisition- For Rehabilitation**

Please refer to (Legacy) Activity Code: 14G Acquisition for Rehabilitation

**Homeless Assistance: Acquisition of Real Property**

Please refer to (Legacy) Activity Code: 01 Acquisition of Real Property

**Homeless Assistance: Any other matrix codes not listed**

**Homeless Assistance: Battered and Abused Spouses**

Please refer to (Legacy) Activity Code: 05G Battered and Abused Spouses

**Homeless Assistance: Child Care Services**

Please refer to (Legacy) Activity Code: 05L Child Care Services

**Homeless Assistance: Disposition**

Please refer to (Legacy) Activity Code: 02 Disposition

**Homeless Assistance: Employment Training**

Please refer to (Legacy) Activity Code: 05H Employment Training

**Homeless Assistance: Health Facilities**

Please refer to (Legacy) Activity Code: 03P Health Facilities

**Homeless Assistance: Health Services**

Please refer to (Legacy) Activity Code: 05M Health Services

**Homeless Assistance: Homeless Facilities (Not Operating Costs)**

Please refer to (Legacy) Activity Code: 03C Homeless Facilities (not operating costs)

**Homeless Assistance: Indirect Costs**

Please refer to (Legacy) Activity Code: 21B Indirect Costs

**Homeless Assistance: Interim Assistance**

Please refer to (Legacy) Activity Code: 06 Interim Assistance

**Homeless Assistance: Lead-Based /Lead Hazard Test/Abatement**

Please refer to (Legacy) Activity Code: 14I Lead Based Paint/Lead Hazard Test/Abatement

**Homeless Assistance: New Construction of Housing**

Please refer to (Legacy) Activity Code: 12 Construction of Housing

**Homeless Assistance: Operation Costs of Homeless and/or AIDS patients programs**

Please refer to (Legacy) Activity Code: 03T Operating Costs of Homeless and/or AIDS patients programs

**Homeless Assistance: Public Services (General)**

Please refer to (Legacy) Activity Code: 05 Public Services (General)

**Homeless Assistance: Public Facilities and Improvements**

Please refer to (Legacy) Activity Code: 03 Public Facilities and Improvements

**Homeless Assistance: Rehabilitation: Multi-Unit Residential**

Please refer to (Legacy) Activity Code: 14B Rehabilitation; Multi-Unit Residential

**Homeless Assistance: Rehabilitation: Other Publicly-Owned Residential Buildings**

Please refer to (Legacy) Activity Code: 14D Rehabilitation; Other Publicly-Owned Residential Buildings

**Homeless Prevention: Subsistence Payments**

Please refer to (Legacy) Activity Code: 05Q Subsistence Payment

**Homelessness Prevention**

Activities undertaken and assistance (such as short- and/or medium-term rental assistance) rendered necessary to prevent an individual or family from moving into an emergency shelter. The costs of homelessness prevention are only eligible to the extent that the assistance is necessary to help the program participant regain stability in the program participant's current permanent housing or move into other permanent housing and achieve stability in that housing.

**Homelessness Prevention: Housing Relocation and Stabilization Services**

An activity that involves the use of ESG funds to relocate a homeless or an at-risk of homelessness family or individual into stable permanent housing. Eligible use of funds include: financial assistance, moving and services costs, rental application fees, security and utility deposits and payments, last month's rent, housing search and placement, and mediation.

**Homelessness Prevention: Project-Based Rental Assistance**

Rental assistance given to help the program participant regain stability in the program participant's current (subsidized) permanent housing or move into other (subsidized) permanent housing and achieve stability in that housing.

**Homelessness Prevention: Tenant-Based Rental Assistance**

Please refer to (Legacy) Activity Code: 05S Rental Housing Subsidies (HOME Tenant-Based Rental Assistance)

**Rapid Re-housing: Project-Based Rental Assistance**

Rental assistance subsidies used as part of housing relocation activities necessary to assist a homeless individual or family move as quickly as possible into permanent housing.

**Rapid Re-housing: Tenant-Based Rental Assistance**

Rental assistance subsidies used as part of housing relocation activities necessary to assist a homeless individual or family move as quickly as possible into permanent housing.

### **Street Outreach: Essential Services**

Essential services necessary to reach out to and engage unsheltered homeless people; connect them with emergency shelter, housing, or critical services; and provide urgent, nonfacility-based care to unsheltered homeless people who are unwilling or unable to access emergency shelter, housing, or an appropriate health facility.

**HOUSEHOLD TYPES** (Households) - The HUD defined eligible household categories are as follows:

#### Renter Households

##### **RENTER ELDERLY**

A one or two person household in which the head of household or spouse is at least 62 years of age and rent their housing unit.

##### **RENTER SMALL RELATED**

A two to four person household including at least 1 person related to the householder by birth, marriage or adoption and rent their housing unit.

##### **RENTER LARGE RELATED**

A five or more person household including at least 1 person related to the householder by birth, marriage or adoption and rent their housing unit.

##### **ALL OTHER RENTER HOUSEHOLD TYPES**

1 or more non-elderly, single person household that does not meet the above renter definitions.

#### Homeless Households

A qualifying homeless family, individual or youth is identified as: a) without a place of residence and/or sleeps in public spaces; and b) is found eligible for temporary housing by the Department of Homeless Services.

##### **HOMELESS FAMILY WITH CHILDREN**

A qualifying homeless family includes at least one parent or guardian and one child, a homeless pregnant woman, or a homeless person in the process of securing legal custody of a person under the age of 18.

##### **HOMELESS FAMILY WITHOUT CHILDREN**

A qualifying homeless family with 2 or more persons.

##### **HOMELESS INDIVIDUAL**

A qualifying homeless individual is an unaccompanied adult (18 years or older) without children.

##### **HOMELESS YOUTH**

A qualifying homeless youth is an unaccompanied person 17 years of age or younger.

#### Homeowner Households

##### **HOMEOWNER EXISTING**

An owner-occupant who holds legal title to the property and who uses the property as principal residence.

##### **HOMEOWNER FIRST-TIME**

An individual or family who has not owned a home during the three-year period preceding the HUD-assisted purchase of a home for principal residence.

##### **SPECIAL NEEDS POPULATIONS**

Please refer to program description for details, a special needs household can include a person or persons in any of the following categories: Female headed household with children; Mentally Impaired Persons; Physically Disabled Persons; Substance Abusers; Persons with Tuberculosis; Persons with AIDS/HIV related Diseases; and Survivors of Domestic Violence.

##### **OTHER**

Please refer to program description.

N/A  
Not Applicable

**INCOME TYPES** (Income) - A household's income as defined by HUD for New York City, including the five boroughs, adjusted for family size is as follows:

(Income definitions are based on Federal Fiscal Year 2012 Section 8 Median Family Income (MFI) for New York City which is \$63,000.)

**VERY LOW** (0 to 50% MFI) [Equivalent to CDBG's low-income category]

A household with an income less than or equal to 50 percent of the area's median family income (Defined as less than or equal to \$42,950 for a family of four, or less than or equal to \$30,100 for a single person household.)

**LOW** (51 to 80% MFI) [Equivalent to CDBG's moderate-income category]

A household with an income greater than 50 percent and less than or equal to 80 percent of the City's median family income. (Defined as greater than \$42,950 and less than or equal to \$68,700 for a family of four; and greater than \$30,100 and less than or equal to \$48,100 for a single person household.)

**MODERATE** (81 to 95% MFI)

A household with an income greater than 80 percent or less than or equal to 95 percent of the City's median family income. (Defined as greater than \$68,700 or as less than or equal to \$81,600 for a family of four.)

**OTHER MODERATE** (96 to 133% MFI)

A household with an income greater than 95 percent or less than or equal to 133 percent of the City's median family income. (Defined as greater than \$81,600 or as less than or equal to \$122,750 for a family of four.)

**ABOVE MODERATE** (Greater than 134% MFI)

A household with an income greater than or equal to 134 percent of the City's median family income. (Defined as greater than \$122,750 for a family of four.)

**LIMITED CLIENTELE**

An activity which benefits a limited clientele, at least 51 percent whom are, or are presumed to be, low and moderate income persons.

**SLUMS AND BLIGHT AREA**

An activity will be considered to address prevention or elimination of slums or blight in an area if:

- a) The area, delineated by the recipient, meets a definition of a slum, blighted, deteriorated or deteriorating area under State or local law;
- b) Throughout the area there is a substantial number of deteriorated or deteriorating buildings or the public improvements are in a general state of deterioration;
- c) Documentation is maintained by the recipient on the boundaries of the area and the condition which qualified the area at the time of its designation; and
- d) The assisted activity addresses one or more of the conditions which contributed to the deterioration of the area. Rehabilitation of residential buildings carried out in an area meeting the above requirements will be considered to address the area's deterioration only where each such building rehabilitation is considered substandard under local definition before rehabilitation, and all deficiencies making a building substandard have been eliminated if less critical work on the building is undertaken. At a minimum, the local definition

for this purpose must be such that buildings that it would render substandard would also fail to meet the housing quality standards for the Section 8 Housing Assistance Payments Program-Existing Housing.

**LOW/MODERATE AREA**

At least 51 percent of the residents in a defined geographic area are low and moderate income persons.

**LOW/MODERATE HOUSING**

At least 51 percent of the units in a building are occupied by low and moderate income persons.

**LOW/MODERATE JOBS**

Greater than 51 percent of the jobs are held by persons from low and moderate income households.

**SLUM/BLIGHT URBAN RENEWAL**

An activity will be considered to address prevention or elimination of slums or blight in an urban renewal area if the activity is:

- i) Located within an urban renewal project area or Neighborhood Development Program (NDP) action area; i.e., an area in which funded activities were authorized under an urban renewal Loan and Grant Agreement or an annual NDP Funding Agreement, pursuant to Title 1 of the Housing Act of 1949; and
- ii) Necessary to complete the urban renewal plan, as then in effect, including initial land redevelopment permitted by the plan.

Note: Despite the restrictions in (b)(1) and (2) of this section, any rehabilitation activity which benefits low and moderate income persons pursuant to paragraph (a)(3) of this section can be undertaken without regard to the area in which it is located or the extent or nature of rehabilitation assisted.

**SLUM/BLIGHT SPOT**

Acquisition, clearance, relocation, historic preservation and building rehabilitation activities which eliminate specific conditions of blight or physical decay on a spot basis not located in a slum or blighted area will meet this objective. Under this criterion, rehabilitation is limited to the extent necessary to eliminate specific conditions detrimental to public health and safety.

**URGENT NEED**

Recent activities performed to alleviate existing conditions which pose a serious and immediate threat to the health or the welfare of the community.

**N/A**

Not Applicable

**PERFORMANCE OBJECTIVE** - The HUD defined eligible Performance Measurement System objective categories are as follows:

**(DH) DECENT HOUSING**

This objective focuses on housing programs where the purpose of the program is to meet individual, family, or community housing needs and not programs where housing is an element of a larger effort, since such programs would be more appropriately reported under Suitable Living Environment. The activities that typically would be found under this objective are designed to cover the wide range of housing possible under HOME, CDBG, HOPWA or ESG.

**(SL) SUITABLE LIVING ENVIRONMENT**

In general, this objective relates to activities that are designed to benefit communities, families, or individuals by addressing issues in their living environment.

**(EO) CREATING ECONOMIC OPPORTUNITIES**

This objective applies to the types of activities related to economic development, commercial revitalization, or job creation.

**PERFORMANCE OUTCOME** - The HUD defined eligible Performance Measurement System outcome categories are as follows:

**1 (Availability/)****Accessibility**

This outcome category applies to activities that make services, infrastructure, public services, public facilities, housing, or shelter available or accessible to low- and moderate-income people, including persons with disabilities. In this category, accessibility does not refer only to physical barriers, but also to making the affordable basics of daily living available and accessible to low- and moderate-income people where they live.

**2 Affordability**

This outcome category applies to activities that provide affordability in a variety of ways in the lives of low- and moderate- income people. It can include the creation or maintenance of affordable housing, basic infrastructure hook-ups, or services such as transportation or day care.

**3 Sustainability (Promoting Living or Viable Communities)**

This outcome applies to projects where the activity or activities are aimed at improving communities or neighborhoods, helping to make them livable or viable by providing a benefit to persons of low- and moderate-income, or by removing or eliminating slums or blighted areas through multiple activities or services that sustain communities or neighborhoods.

**PERFORMANCE OUTCOME STATEMENTS** - The HUD defined statement which links a program’s intended Performance Outcome to its Performance Objective.

- DH-1** Accessibility for the purpose of providing Decent Affordable Housing
- DH-2** Affordability for the purpose of providing Decent Affordable Housing
- DH-3** Sustainability for the purpose of providing Decent Affordable Housing
- SL-1** Accessibility for the purpose of creating Suitable Living Environments
- SL-2** Affordability for the purpose of creating Suitable Living Environments
- SL-3** Sustainability for the purpose of creating Suitable Living Environments
- EO-1** Accessibility for the purpose of creating Economic Opportunities
- EO-2** Affordability for the purpose of creating Economic Opportunities
- EO-3** Sustainability for the purpose of creating Economic Opportunities
- NA** Not Applicable
- NI** Not Applicable/No Suitable Indicator

**PERFORMANCE INDICATOR** - The HUD (draft) defined eligible Performance Measurement System outcome indicators are as follows:

**1) Public facility or infrastructure activities**

This indicator shows the number of persons that have been assisted by public facility or infrastructure activities that provide individuals with new or improved access to the facility or infrastructure. If the activity was used to meet a quality standard or to measurably improve quality, then this indicator will report the number of household units that no longer have access to a substandard service.

**2) Public service activities**

This indicator shows the number of persons that have been assisted with new or improved access to a service. If the activity was used to meet a quality standard or to measurably improve quality, then this indicator will report the number of persons that no longer have access to a substandard service.

**3) Activities are part of a geographically targeted revitalization effort (Y/N)?**

This indicator shows a range of outcomes such as jobs created and retained, businesses assisted, low- and moderate-income persons and households served, slum/blight demolition, number of acres of brownfields remediated, etc. in a targeted area.

**4) Number of commercial facade treatment/business building rehab (site, not target area based)**

This indicator shows the number of commercial façade treatments undertaken and the number of business buildings that were rehabilitated.

**5) Number of acres of brownfields remediated (site, not target area based)**

This indicator shows the number of acres of brownfields that were remediated.

**6) New rental units constructed per project or activity**

This indicator shows the number of affordable rental units created, as well as the number of years of affordability, number of units occupied by the elderly, and those units designated for chronically homeless persons and persons with HIV/AIDS.

**7) Rental units rehabilitated**

This indicator shows the number of affordable rental units rehabilitated, as well as the number of years of affordability, units for chronically homeless persons, elderly persons, and persons with HIV/AIDS.

**8) Homeownership Units Constructed, Acquired, and/or Acquired with Rehabilitation (per project or activity)**

This indicator shows the total number of homeownership units constructed, acquired, and/or acquired with rehabilitation per activity. This includes total number of affordable units, number of years of affordability, Energy Star qualified units, section 504 accessible units, and number of households previously living in subsidized housing. In addition, data will be collected on the number of units occupied by the elderly, number of units designated for persons with HIV/AIDS, and number of units for the chronically homeless.

**9) Owner occupied units rehabilitated or improved**

This indicator shows the total number of owner occupied units rehabilitated, including the number of these units occupied by the elderly, number of units designated for persons with HIV/AIDS, and number of units for the chronically homeless.

**10) Direct Financial Assistance to homebuyers**

This indicator shows the number of homebuyers receiving direct financial assistance, housing counseling, and downpayment assistance/closing costs.

**11) Tenant-Based Rental Assistance (TBRA)**

This indicator shows the total number of households receiving TBRA as well as the number with short-term rental assistance (less than 12 months) and the number of homeless and chronically homeless households assisted.

**12) Number of homeless persons given overnight shelter**

This indicator shows the number of homeless persons given overnight shelter.

**13) Number of beds created in overnight shelter or other emergency housing**

This indicator shows the number of beds created in an overnight shelter or other emergency housing.

**14) Homelessness Prevention**

This indicator shows the number of households that received emergency financial assistance to prevent homelessness and emergency legal assistance to prevent homelessness.

**15) Jobs created**

Of the total number of jobs created, this indicator shows the number of jobs that have employee-sponsored health care, the types of jobs created [using Economic Development Administration (EDA) classifications] and the number of persons unemployed before taking the job.

**16) Jobs retained**

Of the total number of jobs retained, this indicator shows the number of jobs retained, the number of jobs with employer-sponsored health care benefits, and the types of jobs retained (using EDA classifications).

**17) Businesses assisted**

This indicator shows the total number of businesses assisted. Specifically, it shows the number of new businesses, existing businesses, and the DUNS number of each business so that HUD can track the number of new businesses that remain operational for three years after assistance.

**18) Does assisted business provide a good or service to meet needs of service area/neighborhood/community (to be determined by community)?**

This indicator shows whether an assisted business provides goods or services to meet the needs of the service area, neighborhood, or community, as determined by the grantee.

**N/A Not Applicable**

The particular eligible activity cannot be measured and/or properly categorized by one of the eighteen (18) Performance Indicators (e.g., General Program Administration).

## **Appendix 5:**

*Editors Note: The page numbers indicated below correspond to the page number as found in the published version of the Proposed 2014 Consolidated Plan as released for comment on July 10, 2014. Due to formatting changes as a result of converting from Microsoft Access to Adobe PDF format, the programmatic variable data and program description for several of the programs may not be located on the pages indicated. However, the actual information contained in the Description of Program Variables and Description of Programmatic Activities sections remains unchanged.*

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## **Appendix 6:**

### **Resources for Prospective Homebuyers**

The City of New York offers many opportunities for homeownership throughout the five boroughs. The City has created an informative Internet web site:

<http://www.nyc.gov/html/hpd/html/buyers/buyers.shtml>

>>> Press the link for “*Homebuyers*”>> Press the link for “*HPD's Guide to Homeownership in New York City*”

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