

U.S. Department of Housing and Urban Development

Office of Public and Indian Housing

FINAL Significant Amendment to the Annual PHA Plan for Fiscal Year 2017



Shola Olatoye
Chair & Chief Executive Officer

Date: July 28, 2017

NOTICE

New York City Housing Authority Significant Amendment to the Agency Plan for FY 2017

The public is advised that the *Significant Amendment to the FY 2017 Agency Annual Plan* will be available for public inspection at NYCHA’s principal office, located at 250 Broadway, New York, NY, starting March 17, 2017 between the hours of 9:30 a.m. to 4:30 p.m. Please call (212) 306-3701 to make an appointment to review the *Significant Amendment to the FY 2017 Agency Annual Plan* and supporting documents. The *Significant Amendment to the FY 2017 Agency Annual Plan* will also be available at the following locations:

- On NYCHA’s webpage, which is located on <http://www1.nyc.gov/site/nycha/about/annual-plan-financial-information.page>
- At the Management Office of *each* NYCHA public housing development during regular business hours.
- At the Community Centers/Borough Offices listed below during the hours of 9:00 am to 7:30 pm:

Manhattan Family Partnership Center 45 Allen Street New York, New York	Soundview Community Center 1674 Seward Avenue Bronx, New York	Staten Island Family Partnership Office 90 Lafayette Avenue Staten Island, New York
Taft Senior Center 1365 5 th Avenue New York, New York	Queens Community Development Office 70-30 Parsons Boulevard Flushing , New York	Brownsville Senior Center 528 Mother Gaston Boulevard Brooklyn, New York
Sedgwick Senior Center 1553 University Avenue Bronx, New York		

PUBLIC COMMENT

The public is invited to comment on the *Significant Amendment to the FY 2017 Agency Annual Plan* at a public hearing to be held on **May 2, 2017** from 5:30 p.m. to 8:00 p.m. at:

**Borough of Manhattan Community College
199 Chambers Street
New York, New York 10007**

The location listed above is both handicapped accessible and can be reached using public transportation. For transportation information go to <http://tripplanner.mta.info> or call the MTA/NYC Transit Travel Information Line (718) 330-1234.

Written comments regarding the *Significant Amendment to the FY 2017 Agency Annual Plan* are encouraged. To be considered, **submissions must be received via United States Postal mail or fax no later than May 2, 2017.** Faxed submissions will be accepted at (212) 306-7905. Comments may be sent to the following address and comments may also be emailed to annualplancomments@nycha.nyc.gov.

**Public Housing Agency Plan Comments
Church Street Station
P.O. Box 3422
New York, New York 10008-3422**

Bill de Blasio, Mayor

Shola Olatoye, Chair and Chief Executive Officer

AVISO

Enmienda Significante propuesta al Plan anual de la autoridad de vivienda pública para el año fiscal 2017

Se anuncia al público que la *Enmienda significativa propuesta al Plan anual de la autoridad de vivienda pública para el año fiscal 2017* estará disponible para su inspección pública en la oficina central de NYCHA ubicada en 250 Broadway, New York, NY, a partir del 17 de marzo de 2017 entre las 9:30 a.m. y las 4:30 p.m. Por favor llame al (212) 306-3701 para concertar una cita para revisar la *Enmienda significativa propuesta al Plan anual de la autoridad de vivienda pública para el año fiscal 2017* y los documentos de respaldo. La *Enmienda* significativa propuesta al Plan anual de vivienda pública para el año fiscal 2017 también se encontrará disponible en los siguientes lugares:

- En el sitio de NYCHA en Internet, que se encuentra en <http://www.nyc.gov/nycha>
- En la oficina de la administración de *todos* los residenciales de vivienda pública de NYCHA, en horario de oficina.
- En los centros comunitarios/oficinas municipales que se enumeran a continuación entre las 9:00 a.m. y las 7:30 p.m.:

Manhattan Family Partnership Center Centro de la Sociedad Familiar de Manhattan 45 Allen Street Nueva York, Nueva York	Soundview Community Center Centro Comunitario de Soundview 1674 Seward Avenue Bronx, New York	Staten Island Family Partnership Office Oficina Municipal de Operaciones Comunitarias de Staten Island 90 Lafayette Avenue Staten Island, New York
Taft Senior Center Centro Taft para Personas de la Tercera Edad 1365 5 th Avenue Nueva York, Nueva York	Queens Community Development Office Oficina Municipal de Operaciones Comunitarias de Queens 70-30 Parsons Boulevard Flushing, New York	Centro Brownsville para Personas de la Tercera Edad Brownsville Senior Center 528 Mother Gaston Boulevard Brooklyn, New York
Sedgwick Senior Center Centro Comunitario de Sedgwick 1553 University Avenue Bronx, New York		

COMENTARIO PÚBLICO

El público está invitado a participar en la asamblea pública en la cual se podrá hacer preguntas acerca de la *Enmienda propuesta al Plan anual de la autoridad de vivienda pública para el año fiscal 2017*. Esta asamblea pública se llevará a cabo el **2 de mayo de 2017** entre las 5:30 pm y las 8:00 pm en:

**Borough of Manhattan Community College
199 Chambers Street
New York, New York 10007**

Todas las localidades que se mencionan anteriormente son accesibles para personas con limitaciones físicas y se puede llegar a ellas utilizando transporte público. Si desea obtener información acerca de opciones de transporte diríjase a <http://tripplanner.mta.info> o llame a la línea de información sobre transporte público de la MTA/NYC al (718) 330-1234.

Alentamos la presentación de comentarios escritos sobre la *Enmienda propuesta al Plan anual de la autoridad de vivienda pública para el año fiscal 2017*. Para que se los tome en consideración, **los comentarios deben recibirse mediante correo postal de los Estados Unidos o fax a más tardar el 2 de mayo de 2017**. Los comentarios escritos pueden enviarse por fax al (212) 306-7905, por correo postal a la dirección que aparece a continuación y por correo electrónico a annualplancomments@nycha.nyc.gov.

**Public Housing Agency Plan Comments
Church Street Station
P.O. Box 3422
New York, New York 10008-3422**

Bill de Blasio, Alcalde

Shola Olatoye, Presidenta y Primera Ejecutiva

通知
紐約市房屋局「2017財政年度公共房屋機構計劃」重大修正案

從2017年3月17日起，各界人士可前往紐約市房屋局辦公總樓索取「2017財政年度機構計劃」重大修正案，地址：紐約市曼哈頓百老匯大道250號，辦公時間：上午9時30分至下午4時30分。請致電 (212) 306-3701 預約時間查閱「2017財政年度機構計劃」重大修正案及有關的證明文件。「2017財政年度機構計劃」重大修正案也可透過下列方式索取：

- 紐約市房屋局 (NYCHA) 官方網頁，網址：<http://www1.nyc.gov/site/nycha/about/annual-plan-financial-information.page>
- 紐約市房屋局轄下各個公房區管理處 (請於正常營業時間前往)
- 下列社區中心/地區事務管理處 (辦公時間：早上9時至晚上7時30分)：

<p>Manhattan Family Partnership Center 曼哈頓家庭合作中心 45 Allen Street New York, New York</p> <p>Taft Senior Center 塔芙特公房長者中心 1365 5th Avenue New York, New York</p> <p>Sedgwick Senior Center 塞奇威克公房長者中心 1553 University Avenue Bronx, New York</p>	<p>Soundview Community Center 桑德維公房社區中心 1674 Seward Avenue Bronx, New York</p> <p>Queens Community Development Office 皇后區社區發展辦公室 70-30 Parsons Boulevard Flushing, New York</p>	<p>Staten Island Family Partnership Office 史丹頓島家庭合作辦公室 90 Lafayette Avenue Staten Island, New York</p> <p>Brownsville Senior Center 布朗斯維爾公房長者中心 528 Mother Gaston Boulevard Brooklyn, New York</p>
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諮詢公眾意見

我們也誠邀各界人士出席於**2017年5月2日**，星期二傍晚5時30分至晚上8時舉行的公共聽證會，對「2017財政年度機構計劃」重大修正案發表意見並提出建議。地點如下：

Borough of Manhattan Community College
紐約市立大學曼哈頓社區學院
199 Chambers Street
New York, New York 10007

會議地點設有無障礙通道方便殘疾人士進出並可乘搭公共交通工具抵達。詳情請瀏覽<http://tripplanner.mta.info> 或致電大都會捷運局 (MTA)/紐約市交通旅遊資訊熱線查詢，電話：(718) 330-1234。

歡迎各界人士對「2017財政年度機構計劃」重大修正案發表書面意見。我們僅會考慮於**2017年5月2日**限期前以**傳真或平郵方式**提交的意見書。傳真號碼：(212) 306-7905。意見書可寄至下列地址或發送電郵至 annualplancomments@nycha.nyc.gov。

Public Housing Agency Plan Comments
Church Street Station
P.O.Box 3422
New York, New York 10008-3422

白思豪 (Bill de Blasio)，市長

索拉·奧拉托耶 (Shola Olatoye)，主席兼行政總監

УВЕДОМЛЕНИЕ

Значительная поправка к проекту Годового плана Жилищного управления г. Нью-Йорка (New York City Housing Authority, NYCHA) на 2017 финансовый год

Настоящим извещаем, что *Значительная поправка к проекту Годового плана агентства на 2017 финансовый год (Significant Amendment to the FY 2017 Draft Agency Annual Plan)* будет доступна для публичного ознакомления в главном офисе NYCHA, который находится по адресу: 250 Broadway, New York, NY, начиная с 17 марта 2017 года с 9:30 а.м. до 4:30 р.м. Для ознакомления с ней и сопроводительными документами позвоните, пожалуйста, по тел. (212) 306-3701 и назначьте встречу. *Также* эти документы можно будет найти:

- На вебсайте NYCHA <http://www1.nyc.gov/site/nycha/about/annual-plan-financialinformation.page>
- В офисе управления *каждого* жилищного комплекса NYCHA в обычные приемные часы.
- В нижеуказанных местных общественных центрах (Community Centers)/районных управлениях с 9:00 а.м. до 7:30 р.м.:

Manhattan Family Partnership Center, 45 Allen Street New York, New York	Soundview Houses Senior Center 1674 Seward Avenue Bronx, New York	Staten Island Family Partnership Office 90 Lafayette Avenue Staten Island, New York
Taft Senior Center 1365 5th Avenue New York, New York	Queens Community Development Office 70-30 Parsons Boulevard Flushing, New York	Brownsville Senior Center 528 Mother Gaston Boulevard Brooklyn, New York
Sedgwick Senior Center 1553 University Avenue Bronx, New York		

Комментарии общественности

Общественность также приглашается предоставить комментарии по поводу *Значительной поправки к проекту Годового плана агентства на FY 2017* на публичном слушании, которое состоится **2 мая 2017 г.** с 5:30 р.м. до 8:00 р.м. по адресу:

**Borough of Manhattan Community College
199 Chambers Street
New York, New York 10007**

Вышеуказанное место проведения мероприятия оборудовано для доступа инвалидов, и туда можно добраться общественным транспортом. Для получения информации о том, как добраться туда общественным транспортом, пользуйтесь страницей на Интернетe <http://tripplanner.mta.info> или звоните в транспортное управление MTA/NYC Transit Travel Information Line по тел. (718)330-1234.

Письменные отзывы по поводу *Значительной поправки к проекту Годового плана агентства на FY 2017* приветствуются. Чтобы их учли, **они должны быть получены по почте (United States Postal mail) не позже 2 мая 2017 г.** Принимаются также предложения по факсу (212) 306-7905 до этой же даты. Отзывы также можно выслать по адресам: annualplancomments@nycha.nyc.gov и

**Public Housing Agency Plan Comments
Church Street Station
P.O. Box 3422
New York, New York 10008-3422**

Bill de Blasio, мэр

Shola Olatoye, председатель и исполнительный директор



Meeting on the Amendment to the Fiscal Year 2017 Annual Plan



Regarding Capital Funding, 100% Affordable Housing, and the RAD/PACT Program

Join the conversation and get informed on issues impacting your home and community.

Can't attend in person? Watch the LIVE video stream and read highlights of the meeting presentation at

on.nyc.gov/nycha-fy17



Public Hearing

Tuesday, May 2, 2017
5:30 pm to 8:00 pm

Borough of Manhattan
Community College
199 Chambers Street
New York, NY 10007

A translation of this document is available in your management office and online at www.nyc.gov/nycha

La traducción de este documento está disponible en su oficina de administración y en Internet en www.nyc.gov/nycha

所居公房管理處和房屋局網站
(網址:www.nyc.gov/nycha)備有文件譯本可供索取

Перевод этого документа находится в Вашем домоуправлении и на интернете www.nyc.gov/nycha



Requests for reasonable accommodation for this event should be relayed to the NYCHA Public Accessibility Services Coordinator Paola Vernelly, by April 28, 2017 at 212-306-4617 or by email at Paola.Vernelly@nycha.nyc.gov



Reunión sobre la Enmienda al Plan Anual para el Año Fiscal 2017



Respecto a la financiación de capital, la vivienda 100% asequible, y el Programa RAD/PACT

Únase a la conversación e informese sobre los temas que impactan a su hogar y a su comunidad.

¿No puede asistir en persona? Vea la transmisión de vídeo en directo y lea los aspectos más destacados de la presentación de la reunión en

on.nyc.gov/nycha-fy17



Audiencia Pública

Martes, 2 de mayo de 2017
de 5:30 pm a 8:00 pm

Borough of Manhattan
Community College
199 Chambers Street
New York, NY 10007



Las solicitudes de alojamiento razonable para este evento deben ser transmitidas a la Coordinadora de Servicios de Accesibilidad Pública de NYCHA Paola Vernelly, hasta el 28 de abril de 2017 al 212-306-4617 o por correo electrónico a Paola.Vernelly@nycha.nyc.gov



「2017 財政年度機構年度計劃」 修正案諮詢會議



討論政府撥款，100%平價住房，以及「租金補助示範計劃」(RAD)/「永久合理租金共同承諾」(PACT)等議題

積極出席會議，參與討論，
了解影響住房和社區發展的問題。

無法親自出席會議？歡迎上網收
看會議現場直播視頻並查看有關
會議簡報的主要內容，網址：

on.nyc.gov/nycha-fy17



公眾聽證會

2017 年 5 月 2 日，星期四
下午 5 時 30 分至晚上 8 時

Borough of Manhattan Community College
紐約市立大學曼哈頓社區學院
199 Chambers Street
New York, NY 10007



如對這次會議活動有任何合理便利措施的要求，請於 2017 年 4 月 28 日前聯繫紐約市房屋局公共無障礙服務專員 Paola Vernelly，電話：212-306-4617 或電郵：Paola.Vernelly@nycha.nyc.gov



Собрание по поводу Поправки к Годовому плану на 2017 финансовый год



О капитальном финансировании, 100%-ом доступном жилье и программе RAD/PACT

Присоединяйтесь к разговору
и получите информацию по
вопросам, затрагивающим
ваш дом и микрорайон.

Не можете присутствовать
лично? Смотрите в ПРЯМОМ
ЭФИРЕ видео и читайте основные
моменты презентации на сайте



on.nyc.gov/nycha-fy17

Публичное слушание

Вторник, 2 мая 2017 г.

с 5:30 pm до 8:00 pm

Borough of Manhattan

Community College

199 Chambers Street

A translation of this document is available in your management office and online at
www.nyc.gov/nycha.

La traducción de este documento está disponible en su oficina de administración y en
Internet en www.nyc.gov/nycha.

所居公房管理處和房屋局網站
(網址: www.nyc.gov/nycha) 備有文件譯本可供索取

Перевод этого документа находится в офисе управления вашего жилищного
комплекса и на интернете www.nyc.gov/nycha



Запросы на приемлемую модификацию (reasonable accommodation) во время этого мероприятия должны
быть переданы координатору общественных услуг NYCHA Paola Vernelly до 28 апреля 2017 года по тел. 212-
306-4617 или электронной почтой по адресу Paola.Vernelly@nycha.nyc.gov

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Executive Summary

NYCHA's Final Amendment to the Annual PHA Plan for FY 2017

Federal law allows a public housing authority to modify or amend its Annual PHA Plan or "Plan." Significant amendments to the Plan are subject to the same requirements as the original plan.

NYCHA's Final Amendment to the Annual PHA Plan for FY 2017 (the "Final Amendment") is available for public review at NYCHA's Central Office and at each development's management office, as well as on NYCHA's web page (www.nyc.gov/nycha). NYCHA also provided a copy of the Final Amendment to each public housing Resident Association President and members of the Resident Advisory Board ("RAB").

The Draft Amendment to the FY 2017 Annual Plan was released for public review on March 17, 2017. NYCHA held a public hearing at the Borough of Manhattan Community College ("BMCC") in Manhattan on May 2, 2017 and accepted written comments on the Draft Amendment. Please see the Notice on page 2. NYCHA met with the RAB members for their comments on March 2, March 16, and May 4, 2017 for their final comments on the Amendment before it was submitted to HUD for approval.

NYCHA's New Reality

Despite the financial challenges, under the leadership of Chair Olatoye, the Authority has successfully balanced its budget 3 years in a row. This was accomplished through increased rent collection, more federal subsidy as a result of higher proration rates, and development revenue coupled with lower utility costs and a lower head count.

Before the year ended, NYCHA took a conservative approach to our budget and assumed a decrease for both eligibility and proration for public housing operations.

In March 2017, NYCHA was informed by HUD of significant reductions to three funding streams vital to NYCHA: two cuts impacting the Authority's day-to-day operations (public housing operations and Section 8 administration) and one cut, which has the potential to impact landlords and voucher holders (the Section 8 subsidy). The HUD notice subsequently went further than our conservative estimates, lowering proration to 85% for housing operations, reduction of HAP proration from 99.58% to 94% as well as a shortfall for the Section 8 program administration with reduced proration from 84% to 77%.

Since our last report, the financial outlook for the current year has somewhat improved:

- The proration for public housing has increased from 85% to 92.4% based on a July obligation letter from HUD improving funding from operating subsidy by over \$37M compared to NYCHA's adopted budget;
- The proration for Housing Assistance Payments, or HAP, which is the Section 8 voucher subsidy for landlords has increase from 94 % to 97% based on latest guidance from HUD.
- These increases in proration are offset by further cuts in the proration rate to administer the Section 8 program, from 77 % to 75.65 %.

At the end of last year, NYCHA's Board approved a conservative 2017 budget and projected that NYCHA could end 2017 with a \$21 million operating surplus. While NYCHA's financial condition for FY'17 seems to

be positive, there's potential loss of funding in FY'18 based on preliminary 2018 budget proposal by Trump Administration.

'The Plan'

How does NYCHA plan to manage these and any future federal funding cuts?

The plan is this:

- 1) Washington does not get to walk away from public housing – NYCHA will fight any and all cuts, and we hope that the residents, elected officials, advocates and the public will join us.
- 2) As a City, we need to decide what level of service in public housing we can tolerate. There is no “doing more with less,” which NYCHA has done every year for more than 15 years. So there will be tough choices ahead.
- 3) ***NextGeneration NYCHA is the plan***. It provides a valuable roadmap of how NYCHA can fundamentally change the way it does business. NYCHA would be suffering deficits in the hundreds of millions every year without the NextGen initiatives that have started to be put in place.

Cuts Have Real Consequences

It would be impossible for any landlord to operate with less revenue than they need to operate, with less capital dollars than they need to maintain their buildings, all while keeping rents the most affordable in the City.

There is no question there is more work that can and must be done by the Authority to increase efficiencies and lower expenses, but NYCHA's hands are tied on many fronts, including the cost of utilities, work rules, health care, and pensions. NYCHA is also limited in how it can bring in new revenue, because rents are capped to keep them affordable.

So a cut today means real service reductions – an impact to residents that will be felt immediately, and mostly in maintenance and repairs. NYCHA is a 24/7 operation that only works between 8:00 am and 4:30 pm and pays a premium for work to occur outside those hours. If NYCHA decided to stop paying a premium and stop work outside 8 to 4:30, residents would see longer waits and reduced customer service. And at some point the question will come: What, as a city, is a level of service we can tolerate?

Significant cuts to NYCHA's Section 8 program, which received an “A” rating from HUD for two years in a row, could force NYCHA to decrease the number of families served; lower the subsidy toward a voucher holder's rent, which effectively increases their rent; potentially stop issuing vouchers through attrition; and eventually, remove families from the program.

NextGen: Creating a More Efficient Organization

NYCHA's survival hinges, in part, on making its operations more efficient, a core tenet of the NextGen vision and a key way that it is providing better service to residents. One measure of NYCHA's progress in this area is the time that it takes to complete basic repairs. Two years ago, it was around 10 days and today it is just under five days.

NextGen NYCHA has taught us many things – none more important than local property management matters. The NextGen Operations model of localized property management is delivering faster repairs to residents at approximately 67,000 units, by making property managers more accountable as leaders of their developments. Basic repairs are being completed within four days at these developments, down from 14 days in January 2015. Emergency repairs are being completed in less than nine of nine hours, beating the target of 24 hours and in comparison to about nine hours at the rest of NYCHA’s portfolio.

Since operations is NYCHA’s core business, it will be nearly impossible to shield it from the impacts of lost operating dollars. The hard-fought gains to improve service levels may slip backwards as one of the first casualties of cuts.

While future funding levels may slow NYCHA down, it is still proceeding with FlexOps, the Flexible Operations pilot launched last summer at 12 developments with colleagues at Local 237. It is another demonstration of NYCHA’s ability to adapt, to the benefit of residents and staff alike. Through multiple, staggered shifts for front-line staff, residents are seeing cleaner hallways, elevators, and lobbies when they leave for work in the morning and can get repairs completed in their homes in the evening, so they don’t have to take time off from work. NYCHA has now expanded the pilot program to additional sites offering a more robust program at 12 locations through September 2017.

Through NextGen’s digital initiatives, the groundwork has been laid to be more resilient in the face of fiscal uncertainty. NYCHA has joined the digital age with a host of initiatives that improve customer service by streamlining the work that its employees perform at the residents’ request. About 3,500 front-line staff are now equipped with handhelds that allow them to open and close work orders and get resident sign-off on the work on-the-spot, increasing transparency and eliminating paperwork from the process entirely. Using their handhelds, maintenance workers are now completing 15 percent more work orders. Residents can now complete their annual income certifications online, which cuts down on paperwork, back and forth, and frees up staff to assist residents in other ways. Self-service kiosks have been rolled out to property management offices, enabling residents without computer access to complete their annual recertification online, in addition to paying rent and even applying for jobs. The MyNYCHA app – which just won the Citizens Budget Commission award for Public Service Innovation – has been downloaded nearly 52,000 times by our residents.

NextGen: Making the Most Impact Possible with Capital Funding

NYCHA’s capital budget includes three sources: federal funding from HUD, City funding, and federal FEMA funding.

In recent years, HUD has provided NYCHA with about \$300 million annually in federal capital dollars for infrastructure improvements and major upgrades. This year, nearly three quarters of NYCHA’s capital dollars will go toward structural and exterior work, such as roof and façade repairs. Sealing the buildings from the elements has a significant impact on the quality of life that residents experience in their homes.

While the capital funding is far from sufficient to meet its buildings’ \$17 billion in needs – and has declined by a cumulative \$1.4 billion since 2001 – NYCHA is putting the money received to work for the residents faster and more efficiently. The obligation of these funds has been accelerated, from 18 months in 2013 down to eight months now, well below HUD’s 24-month requirement.

On the City level, Mayor de Blasio has demonstrated his commitment to public housing in a very tangible way. He recently announced a \$1 billion investment over 10 years so NYCHA can replace more than 700 of the most deteriorated roofs in its portfolio. This is on top of the \$300 million he already committed as part of NextGeneration NYCHA. In total, NYCHA will be able to tackle one of the biggest structural challenges faced at more than 950 buildings, benefitting some 175,000 residents.

NYCHA is ahead of schedule with the installation of new safety lighting for the Mayor's Action Plan ("MAP") initiative, funded through the partnership between the City Council and the Speaker, the Mayor's Office, and the Manhattan District Attorney's Office. To date, NYCHA has installed an impressive 5,978 new light fixtures. And as promised, NYCHA has installed or upgraded more than 1,700 CCTV cameras at 53 developments with Fiscal Year 2015 and 2016 funding, thanks to support from the City Council.

All of this momentum to finally begin to rebuild NYCHA's infrastructure will be lost if there are devastating cuts to NYCHA's federal capital budget next year. Simply put, with fewer resources, there will be fewer rehabilitation projects. Precious dollars will be invested in the most dire properties, while other projects in the queue will be shelved for a future, uncertain date.

NextGen: Creating Revenue for NYCHA's Preservation

NYCHA's fate is tied to its infrastructure and its ability to operate. For years, these functions have been starved of the very resources they need to survive. NYCHA must pursue revenue-generating strategies to help save the developments and preserve public housing for future generations. With so much uncertainty from Washington, the debate on whether or not to build on public housing land as a revenue source should be over.

In a win-win, NextGen Neighborhoods offers the City more affordable housing and NYCHA much-needed revenue to fund building upgrades. Constructing a 50/50 mix of affordable and market-rate housing on under-utilized NYCHA land helps shore up public housing. At Holmes Towers, developer selection was completed in Spring 2017, Section 18 applications will be submitted in 2018 and construction is anticipated to begin late 2018. Developer selection at Wyckoff Gardens is anticipated for Summer 2017 and construction is anticipated to begin in 2018 or 2019.

An additional NextGen Neighborhoods site was announced at La Guardia Houses in Spring 2017. An RFP is anticipated to be released in 2017, with developer selection expected to occur in 2018. Resident engagement has begun in 2017, and included the launch of a new digital platform, CoUrbanize, for residents to ask questions, provide their thoughts and receive the most up to date information. This resident input will inform NYCHA's agenda before the release of the RFP.

NextGeneration NYCHA - Permanent Affordability Commitment Together (PACT)

When tested, NYCHA can be entrepreneurial in the way it approaches challenges. The NextGen strategy on RAD – HUD's Rental Assistance Demonstration (RAD) – is a public-private partnership and a path forward to preserve affordable housing for the long term, and to improve the quality of life for residents through major building repairs immediately. By leveraging RAD– called Permanent Affordability Commitment Together (PACT) in NYC – NYCHA is helping to improve the quality of life for thousands of public housing residents, ensuring their apartments and buildings receive much-needed repairs and upgrades, while preserving affordability and tenant protections. PACT is a component of NextGeneration NYCHA's 10 year strategic plan

to preserve public housing and become a more effective and efficient landlord. Upon approval from HUD, NYCHA can address significant capital repair needs by converting the selected development's funding source from public housing funds to the project-based Section 8 program. As the funding supporting this development transitions from public housing (Section 9) to Section 8, NYCHA retains ownership interests in the land and buildings, and plays a key role in decision making and oversight of the project.

Under PACT rules, the property must remain permanently affordable (a tenant's share of the rent cannot exceed 30% of their income), which NYCHA will enforce through agreements with the developer and continued ownership of the land. Residents will retain the right to establish and operate a resident organization and will receive resident participation funding from the developer. Finally, developers will be required to propose a plan to train and hire NYCHA residents, and proactively engage residents on a regular basis as each project moves forward.

In December 2016, NYCHA entered into its first PACT agreement, converting 1,395 units at Ocean Bay (Bayside) under RAD and attracting approximately \$325 million of investment, including FEMA funds to address damage caused by Hurricane Sandy in the Rockaways. In June 2016, NYCHA submitted PACT applications to HUD for 40 additional developments with approximately 5,200 units. These PACT applications may result in RAD conversions that would convert the public housing subsidy to project-based Section 8 Housing Assistance Payment (HAP) contracts, facilitate substantial rehabilitation of the properties, and preserve substantive housing rights for residents. Developments initially selected for PACT applications are scattered sites and high-need conventional public housing developments. Selection was also based on PACT's ability to improve a development's maintenance, management, and physical condition. In January 2017, HUD approved NYCHA's request to convert approximately 1,700 of the 5,200 units covered in the application. In May 2017, NYCHA issued a Request for Proposals to identify development partners to facilitate the conversion of funding, perform the required capital rehabilitation, undertake property management, and deliver social services at the 17 approved developments. NYCHA expects to select its development partners for this next round of PACT transactions by the end of calendar year 2017.

Capital Improvements – DRAFT FY 2017 Capital Fund Annual Statement/Performance and Evaluation Report and 5-Year Action Plan

When it comes to our capital plan, there is a tremendous amount of uncertainty because of the ongoing federal budget process. On March 2, 2017, NYCHA presented the Draft FY 2017 Capital Fund Annual Statement/Performance and Evaluation Report and 5-Year Capital Plan to the RAB for its review and comments. The Annual Statement/Performance and Evaluation Report provides information on NYCHA's upcoming capital activities for the public housing developments in 2017. The 5-Year Action Plan describes NYCHA's long-term planned capital improvement projects. Residents and the public were encouraged to attend the May 2, 2017 public hearing on the proposed Amendment and the Draft FY 2017 Capital Fund.

NYCHA's Draft FY 2017 Capital Fund Annual Statement/Performance and Evaluation Report and 5-Year Capital Plan are included in the Amendment in Attachment B, on pages 75 through 90.

ATTACHMENT A
PHA PLAN UPDATE

A) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission:

- Rental Assistance Demonstration (RAD) Program and Demolition and Disposition
- Smoke Free Housing Policy
- Capital Improvements

B) Identify the specific locations where the public may obtain copies of the Amendment to the FY 2017 Annual PHA Plan

The public is advised that the *Significant Amendment to the FY 2017 Agency Annual Plan* will be available for public inspection at NYCHA’s principal office, located at 250 Broadway, New York, NY, starting March 17, 2017 between the hours of 9:30 a.m. to 4:30 p.m. Please call (212) 306-3701 to make an appointment to review the *Significant Amendment to the FY 2017 Agency Annual Plan* and supporting documents. The *Significant Amendment to the FY 2017 Agency Annual Plan* will also be available at the following locations:

- On NYCHA’s webpage, which is located on <http://www1.nyc.gov/site/nycha/about/annual-plan-financial-information.page>
- At the Management Office of *each* NYCHA public housing development during regular business hours.
- At the Community Centers/Borough Offices listed below during the hours of 9:00 am to 7:30 pm:

<p>Manhattan Family Partnership Center 45 Allen Street New York, New York</p> <p>Taft Senior Center 1365 5th Avenue New York, New York</p> <p>Sedgwick Senior Center 1553 University Avenue Bronx, New York</p>	<p>Soundview Houses Senior Center 1674 Seward Avenue Bronx, New York</p> <p>Queens Community Development Office 70-30 Parsons Boulevard Flushing , New York</p>	<p>Staten Island Family Partnership Office 90 Lafayette Avenue Staten Island, New York</p> <p>Brownsville Senior Center 528 Mother Gaston Boulevard Brooklyn, New York</p>
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ATTACHMENT B
**RENTAL ASSISTANCE DEMONSTRATION (RAD), MIXED FINANCE
MODERNIZATION OR DEVELOPMENT, AND DEMOLITION AND/OR
DISPOSITION**

1) RENTAL ASSISTANCE DEMONSTRATION (RAD)

The New York City Housing Authority (“NYCHA”) is amending its Annual PHA Plan because it was a successful applicant in the Rental Assistance Demonstration (“RAD”) program. As a result, NYCHA will be converting to Project Based Vouchers under the guidelines of PIH Notice 2012-32, REV-1 and any successor Notices. Upon conversion to Project Based Vouchers, NYCHA will adopt the resident rights, participation, waiting list, and grievance procedures listed in Section 1.6 of PIH Notice 2012-32, REV-3 and the Joint Housing PIH Notice H-2014-09/PIH-2014-17. These resident rights, participation, waiting list, and grievance procedures are summarized on pages 25 through 33 of this Amendment. NYCHA certifies that it is currently compliant with all fair housing and civil rights requirements, including those imposed under a Voluntary Compliance Agreement with HUD concerning accessibility of developments for individuals with mobility impairments, and other consent decrees, consent orders, final judicial rulings and administrative decisions (collectively, “VCA and related agreements”). RAD conversion at the NYCHA developments listed below will not have a negative impact on NYCHA’s compliance with these existing VCA and related agreements.

RAD was designed by HUD to assist in addressing the capital needs of public housing by providing public housing authorities with access to private sources of capital to repair and preserve its affordable housing assets. Please be aware that upon conversion, NYCHA’s Capital Fund Budget will be reduced by the pro rata share of Public Housing Developments converted as part of RAD, and that NYCHA may also borrow funds to address its capital needs. The New York City Housing Authority currently has debt under the Capital Fund Financing Program and will be working with The New York City Housing Development Corporation to address outstanding debt issues, which may result in additional reductions of Capital Funds.

Below, please find specific information related to the Public Housing Development(s) approved for RAD by HUD in January 2017:

Name of Public Housing Development: BETANCES II, 13	PIC Development ID: NY005010840	Conversion type (i.e., PBV or PBRA): Project Based Voucher (PBV)	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 51	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project)

			\$318,732,540/ 178,446 x 51 = \$91,094
Bedroom Type	Number of Units Pre-Conversion 51	Number of Units Post-Conversion 51	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	5	5	0
One Bedroom	9	9	0
Two Bedroom	27	27	0
Three Bedroom	10	10	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		

Name of Public Housing Development: BETANCES II, 18	PIC Development ID: NY005011450	Conversion type (i.e., PBV or PBRA): Project Based Voucher (PBV)	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 78	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$318,732,540/ 178,446 x 78 = \$139,320
Bedroom Type	Number of Units Pre-Conversion 78	Number of Units Post-Conversion 78	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	2	2	0

Two Bedroom	17	17	0
Three Bedroom	39	39	0
Four Bedroom	20	20	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		

Name of Public Housing Development: BETANCES III, 18	PIC Development ID: NY005011450	Conversion type (i.e., PBV or PBRA): Project Based Voucher (PBV)	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 19	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$318,732,540/ 178,446 x 19 = \$33,937
Bedroom Type	Number of Units Pre-Conversion 19	Number of Units Post-Conversion 19	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	14	14	0
Two Bedroom	0	0	0
Three Bedroom	4	4	0
Four Bedroom	1	1	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		

Name of Public Housing Development: BETANCES III, 9A	PIC Development ID: NY005012110	Conversion type (i.e., PBV or PBRA): Project Based Voucher (PBV)	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
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Total Units: 26	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$318,732,540/ 178,446 x 26 = \$46,441
Bedroom Type	Number of Units Pre-Conversion 26	Number of Units Post-Conversion 26	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	3	3	0
One Bedroom	1	1	0
Two Bedroom	0	0	0
Three Bedroom	11	11	0
Four Bedroom	11	11	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		

Name of Public Housing Development: BETANCES V	PIC Development ID: NY005012110	Conversion type (i.e., PBV or PBRA): Project Based Voucher (PBV)	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 52	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$318,732,540/ 178,446 x 52 = \$92,880
Bedroom Type	Number of Units Pre-Conversion 52	Number of Units Post-Conversion 52	Change in Number of Units per Bedroom Type and Why (De

			Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	1	1	0
One Bedroom	5	5	0
Two Bedroom	16	16	0
Three Bedroom	8	8	0
Four Bedroom	22	22	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		

Name of Public Housing Development: BETANCES VI	PIC Development ID: NY005012110	Conversion type (i.e., PBV or PBRA): Project Based Voucher (PBV)	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 49	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$318,732,540/ 178,446 x 49 = \$87,522
Bedroom Type	Number of Units Pre-Conversion 49	Number of Units Post-Conversion 49	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	1	1	0
One Bedroom	11	11	0
Two Bedroom	19	19	0
Three Bedroom	18	18	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		

Name of Public Housing Development: FRANKLIN AVENUE I CONVENTIONAL	PIC Development ID: NY005015310	Conversion type (i.e., PBV or PBRA): Project Based Voucher (PBV)	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 61	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$318,732,540/ 178,446 x 61 = \$108,956
Bedroom Type	Number of Units Pre-Conversion 61	Number of Units Post-Conversion 61	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	15	15	0
Two Bedroom	38	38	0
Three Bedroom	8	8	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		

Name of Public Housing Development: FRANKLIN AVENUE III CONVENTIONAL	PIC Development ID: NY005015310	Conversion type (i.e., PBV or PBRA): Project Based Voucher (PBV)	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 15	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units

			in project) \$318,732,540/ 178,446 x 15 = \$26,792
Bedroom Type	Number of Units Pre-Conversion 15	Number of Units Post-Conversion 15	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	2	2	0
Two Bedroom	13	13	0
Three Bedroom	0	0	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		

Name of Public Housing Development: HIGHBRIDGE REHABS (ANDERSON AVENUE)	PIC Development ID: NY005015310	Conversion type (i.e., PBV or PBRA): Project Based Voucher (PBV)	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 135	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$318,732,540/ 178,446 x 135 = \$241,131
Bedroom Type	Number of Units Pre-Conversion 135	Number of Units Post-Conversion 135	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	14	14	0

Two Bedroom	74	74	0
Three Bedroom	47	47	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		

Name of Public Housing Development: PALMETTO GARDENS	PIC Development ID: NY005012470	Conversion type (i.e., PBV or PBRA): Project Based Voucher (PBV)	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 115	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Senior	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Senior	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$318,732,540/ 178,446 x 115 = \$205,408
Bedroom Type	Number of Units Pre-Conversion 115	Number of Units Post-Conversion 115	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	57	57	0
One Bedroom	58	58	0
Two Bedroom	0	0	0
Three Bedroom	0	0	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		

RAD Resident Rights, Participation, Waiting List and Grievance Procedures

(Please note the residents rights listed below are from HUD Notice PIH-2012-32 (HA) H-2017-03, REV-3, Section 1.6 C and Section 1.6 D (the “Notice”))

- 1. No Rescreening of Tenants upon Conversion.** Pursuant to the RAD Statute¹, at conversion, current households cannot be excluded from occupancy at the Covered Project² based on any rescreening, income eligibility, or income targeting. With respect to occupancy in the Covered Project, current households in the Converting Project³ will be grandfathered for application of any eligibility criteria to conditions that occurred prior to conversion but will be subject to any ongoing eligibility requirements for actions that occur after conversion.⁴ Post-conversion, the tenure of all residents of the Covered Project is protected pursuant to Project Based Voucher (“PBV”) requirements regarding continued occupancy unless explicitly modified in HUD Notice PIH-2012-32 (HA) H-2017-03, REV-3 (the “Notice”) (e.g., rent phase-in provisions). For example, a unit with a household that was over-income at time of conversion would continue to be treated as an assisted unit. Thus, 24 CFR § 982.201, concerning eligibility and targeting of tenants for initial occupancy, will not apply for current households. Once the grandfathered household moves out, the unit must be leased to an eligible family. Moving to Work (“MTW”) agencies may not alter this requirement. Further, so as to facilitate the right to return to the assisted property, this provision shall apply to current public housing residents of the Converting Project that will reside in non-RAD PBV units or non-RAD Project Based Rental Assistance (“PBRA”) units placed in a project that contain RAD PBV units or RAD PBRA units. Such families and such contract units will otherwise be subject to all requirements of the applicable program, specifically 24 CFR § 983 for non-RAD PBV units and the PBRA requirements governing the applicable contract for non-RAD PBRA units.⁵

- 2. Right to Return.** See section 1.4.A.5(ii) of the Notice reference below and the RAD Fair Housing, Civil Rights, and Relocation Notice regarding a resident’s right to return.

- i. RAD Fair Housing, Civil Rights, and Relocation Notice.** Relocation requirements related to public housing conversions under RAD are described in Notice H 2016-17; PIH 2016-17, as may be amended from time to time (“RAD Fair Housing, Civil Rights, and Relocation Notice”).⁶ The RAD Fair Housing, Civil Rights, and Relocation Notice provides PHAs and

¹ RAD is authorized by the Consolidated and Further Continuing Appropriations Act of 2012 (Pub. L. No. 112-55, approved November 18, 2011), as amended by the Consolidated Appropriations Act, 2014 (Pub. L. No. 113-76, approved January 17, 2014), the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. No. 113-235, approved December 6, 2014), and Division L, Title II, Section 237 of the Consolidated Appropriations Act (Pub. L. No. 114-113, enacted December 18, 2015), collectively, the “RAD Statute.”

² *Covered Project* - The post-conversion property with assistance converted from one form of rental assistance to another under the Demonstration.

³ *Converting Project* - The pre-conversion property whose assistance is converting from one form of rental assistance to another under the Demonstration.

⁴ These protections (as well as all protections in HUD Notice PIH-2012-32 (HA) H-2017-03, REV-3 for current households) also apply when a household is relocated to facilitate new construction or repairs following conversion and subsequently returns to the Covered Project.

⁵ For non-RAD PBV households, applicable program requirements includes the requirement that any admission to the project must be initially eligible for a HAP payment at admission to the program, which means their TTP may not exceed the gross rent for the unit at that time.

⁶ “Rental Assistance Demonstration (RAD) Notice Regarding Fair Housing and Civil Rights Requirements and Relocation Requirements Applicable to RAD First Component – Public Housing Conversions”

their development partners with information and resources on RAD program requirements and Uniform Relocation Assistance and Real Property Acquisition Policies Act (URA) requirements when planning for or implementing resident moves in connection with a RAD conversion under the First Component of RAD. Specifically, the RAD Fair Housing, Civil Rights, and Relocation Notice provides guidance on relocation planning, resident right to return, relocation assistance, resident notification, initiation of relocation, and the fair housing and civil rights requirements applicable to these activities.

The appendices to the RAD Fair Housing, Civil Rights, and Relocation Notice include recommended relocation plan contents. Sample relocation notices for issuance to residents depending on RAD project characteristics are available on the RAD website at www.hud.gov/rad. Questions regarding relocation will generally be addressed in the RAD Fair Housing, Civil Rights, and Relocation Notice and not this Notice. In the event of a conflict between this Notice and the RAD Fair Housing, Civil Rights, and Relocation Notice, with regard to relocation requirements, the RAD Fair Housing, Civil Rights, and Relocation Notice controls.

- ii. **Right to Return.** Any resident that may need to be temporarily relocated to facilitate rehabilitation or construction has a right to return to an assisted unit at the Covered Project once rehabilitation or construction is completed. Permanent involuntary displacement of residents may not occur as a result of a project's conversion of assistance, including, but not limited to, as a result of a change in bedroom distribution, a de minimis reduction of units, the reconfiguration of efficiency apartments, or the repurposing of dwelling units in order to facilitate social service delivery. Where the transfer of assistance to a new site is warranted and approved (see Section 1.4.A.12 of the Notice), residents of the Converting Project will have the right to reside in an assisted unit at the new site once rehabilitation or construction is complete. For more information on how to implement these provisions see the RAD Fair Housing, Civil Rights, and Relocation Notice.
- iii. **Ineligibility of Tenant Protection Vouchers.** Conversion of assistance is not an event that triggers the issuance of Tenant Protection Vouchers to residents of public housing projects going through a RAD conversion.⁷

3. **Renewal of Lease.** Since publication of the PIH Notice 2012-32 Rev 1, the regulations under 24 CFR part 983 have been amended requiring Project Owners to renew all leases upon lease expiration, unless cause exists. MTW agencies may not alter this requirement.

4. **Phase-in of Tenant Rent Increases.** If a tenant's monthly rent increases by more than the greater of 10 percent or \$25 purely as a result of conversion, the rent increase will be phased in over 3 or 5 years. To implement this provision, HUD is specifying alternative requirements for section 3(a)(1) of the Act, as

http://portal.hud.gov/hudportal/documents/huddoc?id=RAD_Notice2.pdf. For properties being redeveloped with funding under a Choice Neighborhoods Implementation (CNI) grant, the RAD Fair Housing, Civil Rights, and Relocation Notice is superseded by guidance regarding relocation included in the CNI NOFA.

⁷ This provision does not preclude a PHA from receiving tenant protection vouchers for a property that has also received a Choice Neighborhoods Implementation grant.

well as 24 CFR § 983.3 (definition of “total tenant payment” (TTP)) to the extent necessary to allow for the phase-in of tenant rent increases. A PHA must create a policy setting the length of the phase-in period at three years, five years or a combination depending on circumstances. For example, a PHA may create a policy that uses a three year phase-in for smaller increases in rent and a five year phase-in for larger increases in rent. This policy must be in place at conversion and may not be modified after conversion.

The method described below explains the set percentage-based phase-in a Project Owner must follow according to the phase-in period established. For purposes of this section “Calculated PBV TTP” refers to the TTP calculated in accordance with regulations at 24 CFR §5.628 and the “most recently paid TTP” refers to the TTP recorded on line 9j of the family’s most recent HUD Form 50058. If a family in a project converting from Public Housing to PBV was paying a flat rent immediately prior to conversion, the PHA should use the flat rent amount to calculate the phase-in amount for Year 1, as illustrated below.

Three Year Phase-in:

- Year 1: Any recertification (interim or annual) performed prior to the second annual recertification after conversion – 33% of difference between most recently paid TTP or flat rent and the Calculated PBV TTP
- Year 2: Year 2 Annual Recertification (AR) and any Interim Recertification (IR) prior to Year 3 AR – 50% of difference between most recently paid TTP and the Calculated PBV TTP
- Year 3: Year 3 AR and all subsequent recertifications – Full Calculated PBV TTP⁸

Five Year Phase in:

- Year 1: Any recertification (interim or annual) performed prior to the second annual recertification after conversion – 20% of difference between most recently paid TTP or flat rent and the Calculated PBV TTP
- Year 2: Year 2 AR and any IR prior to Year 3 AR – 25% of difference between most recently paid TTP and the Calculated PBV TTP
- Year 3: Year 3 AR and any IR prior to Year 4 AR – 33% of difference between most recently paid TTP and the Calculated PBV TTP
- Year 4: Year 4 AR and any IR prior to Year 5 AR – 50% of difference between most recently paid TTP and the Calculated PBV TTP
- Year 5 AR and all subsequent recertifications – Full Calculated PBV TTP

Please Note: In either the three year phase-in or the five-year phase-in, once the Calculated PBV TTP is equal to or less than the previous TTP, the phase-in ends and tenants will pay full TTP from that point

⁸ For example, where a resident’s most recently paid TTP is \$100, but the Calculated PBV TTP is \$200 and remains \$200 for the period of the resident’s occupancy, (i.e. no changes in income) the resident would continue to pay the same rent and utilities for which it was responsible prior to conversion. At the first recertification following conversion, the resident’s contribution would increase by 33% of \$100 to \$133. At the second AR, the resident’s contribution would increase by 50% of the \$66 differential to the standard TTP, increasing to \$166. At the third AR, the resident’s contribution would increase to \$200 and the resident would continue to pay the Calculated PBV TTP for the duration of their tenancy.

forward. MTW agencies must also implement a three or five-year phase-in for impacted residents, but may alter the terms above as long as it establishes a written policy setting forth the alternative terms.

5. Family Self Sufficiency (FSS) and Resident Opportunities and Self Sufficiency Service

Coordinator (ROSS-SC) programs. Public Housing residents that are currently FSS participants will continue to be eligible for FSS once their housing is converted under RAD. The PHA may continue to use any FSS funds already awarded to serve those FSS participants who live in units converted by RAD. At the completion of the FSS grant, PHAs should follow the normal closeout procedures outlined in the grant agreement. If the PHA continues to run an FSS program that serves PH and/or HCV participants, the PHA will continue to be eligible (subject to NOFA requirements) to apply for FSS funding and may use that funding to serve PH, HCV and/or PBRA participants in its FSS program. Due to the program merger between PH FSS and HCV FSS that took place pursuant to the FY14 Appropriations Act (and was continued in the subsequent Appropriation Acts), no special provisions are required to continue serving FSS participants that live in public housing units converting to PBV under RAD.

However, PHAs should note that there are certain FSS requirements (e.g., escrow calculation and escrow forfeitures) that apply differently depending on whether the FSS participant is a participant under the HCV program or a public housing resident, and PHAs must follow such requirements accordingly. All PHAs will be required to administer the FSS program in accordance with FSS regulations at 24 CFR part 984, the participants' contracts of participation, and the alternative requirements established in the "Waivers and Alternative Requirements for the FSS Program" Federal Register notice, published on December 29, 2014, at 79 FR 78100.⁹ Further, upon conversion to PBV, already escrowed funds for FSS participants shall be transferred into the HCV escrow account and be considered TBRA funds, thus reverting to the HAP account if forfeited by the FSS participant.

For information on FSS PIC reporting requirements for RAD conversions, see Notice PIH 2016-08 at <http://portal.hud.gov/hudportal/documents/huddoc?id=pih2016-08.pdf>.

Current ROSS-SC grantees will be able to finish out their current ROSS-SC grants once their housing is converted under RAD. However, once the property is converted, it will no longer be eligible to be counted towards the unit count for future ROSS-SC grants, nor will its residents be eligible to be served by future ROSS-SC grants, which, by statute, can only serve public housing residents. At the completion of the ROSS-SC grant, PHAs should follow the normal closeout procedures outlined in the grant agreement. Please note that ROSS-SC grantees may be a non-profit or local Resident Association and this consequence of a RAD conversion may impact those entities.

6. Resident Participation and Funding. In accordance with Attachment 1B of the Notice, residents of Covered Projects with assistance converted to PBV will have the right to establish and operate a resident organization for the purpose of addressing issues related to their living environment and be eligible for resident participation funding.

⁹ The funding streams for the PH FSS Program and the HCV FSS Program were first merged pursuant to the FY 2014 appropriations act. As a result, PHAs can serve both PH residents and HCV participants, including PBV participants, with FSS funding awarded under the FY 2014 FSS Notice of Funding Availability (FSS NOFA) and any other NOFA under which the combination of funds remains in the applicable appropriations act. For PHAs that had managed both programs separately and now have a merged program, a conversion to PBV should not impact their FSS participants.

7. **Resident Procedural Rights.** The following items must be incorporated into both the Section 8 Administrative Plan and the Project Owner's lease, which includes the required tenancy addendum, as appropriate. Evidence of such incorporation may be requested by HUD for purposes of monitoring the program.

- i. **Termination Notification.** HUD is incorporating additional termination notification requirements to comply with section 6 of the Act for public housing projects that convert assistance under RAD. In addition to the regulations at 24 CFR § 983.257 related to Project Owner termination of tenancy and eviction (which MTW agencies may not alter) the termination procedure for RAD conversions to PBV will require that PHAs provide adequate written notice of termination of the lease which shall be :
 - a. A reasonable period of time, but not to exceed 30 days:
 - i. If the health or safety of other tenants, Project Owner employees, or persons residing in the immediate vicinity of the premises is threatened; or
 - ii. In the event of any drug-related or violent criminal activity or any felony conviction;
 - b. Not less than 14 days in the case of nonpayment of rent; and
 - c. Not less than 30 days in any other case, except that if a State or local law provides for a shorter period of time, such shorter period shall apply.
- ii. **Grievance Process.** Pursuant to requirements in the RAD Statute, HUD is establishing additional resident procedural rights to comply with section 6 of the Act.

For issues related to tenancy and termination of assistance, PBV program rules require the Project Owner to provide an opportunity for an informal hearing, as outlined in 24 CFR § 982.555. RAD will specify alternative requirements for 24 CFR § 982.555(b) in part, which outlines when informal hearings are not required, to require that:

- a. In addition to reasons that require an opportunity for an informal hearing given in 24 CFR § 982.555(a)(1)(i)-(vi),¹⁰ an opportunity for an informal hearing must be given to residents for any dispute that a resident may have with respect to a Project Owner action in accordance with the individual's lease or the contract administrator in accordance with RAD PBV requirements that adversely affect the resident's rights, obligations, welfare, or status.
 - i. For any hearing required under 24 CFR § 982.555(a)(1)(i)-(vi), the contract administrator will perform the hearing, as is the current standard in the program. The hearing officer must be selected in accordance with 24 CFR § 982.555(e)(4)(i).
 - ii. For any additional hearings required under RAD, the Project Owner will perform the hearing.
- b. There is no right to an informal hearing for class grievances or to disputes between residents not involving the Project Owner or contract administrator.
- c. The Project Owner gives residents notice of their ability to request an informal hearing as outlined in 24 CFR § 982.555(c)(1) for informal hearings that will address circumstances that fall outside of the scope of 24 CFR § 982.555(a)(1)(i)-(vi).
- d. The Project Owner provides opportunity for an informal hearing before an eviction.

¹⁰ § 982.555(a)(1)(iv) is not relevant to RAD as the tenant-based certificate program has been repealed.

Current PBV program rules require that hearing procedures must be outlined in the PHA's Section 8 Administrative Plan.

- 8. Earned Income Disregard (EID).** Tenants who are employed and are currently receiving the EID exclusion at the time of conversion will continue to receive the EID after conversion, in accordance with regulations at 24 CFR § 5.617. Upon the expiration of the EID for such families, the rent adjustment shall not be subject to rent phase-in, as described in Section 1.6.C.4 of the Notice; instead, the rent will automatically rise to the appropriate rent level based upon tenant income at that time.

Under the Housing Choice Voucher program, the EID exclusion is limited only to persons with disabilities (24 CFR § 5.617(b)). In order to allow all tenants (including non-disabled persons) who are employed and currently receiving the EID at the time of conversion to continue to benefit from this exclusion in the PBV project, the provision in 24 CFR § 5.617(b) limiting EID to disabled persons is waived. The waiver, and resulting alternative requirement, apply only to tenants receiving the EID at the time of conversion. No other tenant (e.g., tenants that move into the property following conversion or tenants who at one time received the EID but are not receiving the EID exclusion at the time of conversion due to loss of employment) is covered by this waiver.

- 9. Jobs Plus.** Jobs Plus grantees awarded FY14 and future funds that convert the Jobs Plus target projects(s) under RAD will be able to finish out their Jobs Plus period of performance at that site unless significant relocation and/or change in building occupancy is planned. If either is planned at the Jobs Plus target project(s), HUD may allow for a modification of the Jobs Plus work plan or may, at the Secretary's discretion, choose to end the Jobs Plus program at that project.
- 10. When Total Tenant Payment Exceeds Gross Rent.** Under normal PBV rules, the PHA may select an occupied unit to be included under the PBV HAP Contract only if the unit's occupants are eligible for housing assistance payments (24 CFR § 983.53(c)). Also, a PHA must remove a unit from the contract when no assistance has been paid for 180 days because the family's TTP has risen to a level that is equal to or greater than the contract rent, plus any utility allowance, for the unit (i.e., the Gross Rent)) (24 CFR § 983.258). Since the rent limitation under this Section of the Notice may result in a family's TTP equaling or exceeding the gross rent for the unit, for residents living in the Converting Project prior to conversion and who will return to the Covered Project after conversion, HUD is waiving both of these provisions and requiring that the unit for such families be placed on and/or remain under the HAP Contract when TTP equals or exceeds the Gross Rent. Further, HUD is establishing the alternative requirement that until such time that the family's TTP falls below the gross rent, the rent to the owner for the unit will equal the lesser of (a) the family's TTP, less the Utility Allowance, or (b) any applicable maximum rent under LIHTC regulations. When the family's TTP falls below the gross rent, normal PBV rules shall apply. As necessary to implement this alternative provision, HUD is waiving the provisions of Section 8(o)(13)(H) of the Act and the implementing regulations at 24 CFR § 983.301 as modified by Section 1.6.B.5 of this Notice.¹¹ In such cases, the resident is considered a participant under the program and all of the family obligations and protections under RAD and PBV apply to the resident.

¹¹ For example, a public housing family residing in a property converting under RAD has a TTP of \$600. The property has an initial Contract Rent of \$500, with a \$50 Utility Allowance. Following conversion, the residents is still responsible for paying \$600 in tenant rent and utilities.

Likewise, all requirements with respect to the unit, such as compliance with the HQS requirements, apply as long as the unit is under HAP Contract. The PHA is required to process these individuals through the Form 50058 submodule in PIC.

Following conversion, 24 CFR § 983.53(d) applies, and any new families referred to the RAD PBV project must be initially eligible for a HAP payment at admission to the program, which means their TTP may not exceed the gross rent for the unit at that time. Further, a PHA must remove a unit from the contract when no assistance has been paid for 180 days. If units are removed from the HAP contract because a new admission's TTP comes to equal or exceed the gross rent for the unit and if the project is fully assisted, HUD is imposing an alternative requirement that the PHA must reinstate the unit after the family has vacated the property. If the project is partially assisted, the PHA may substitute a different unit for the unit on the HAP contract in accordance with 24 CFR §983.207 or, where "floating" units have been permitted, Section 1.6.B.10 of this Notice.

11. Under-Occupied Unit. If a family is in an under-occupied unit under 24 CFR § 983.260 at the time of conversion, the family may remain in this unit until an appropriate-sized unit becomes available in the Covered Project. When an appropriate sized unit becomes available in the Covered Project, the family living in the under-occupied unit must move to the appropriate-sized unit within a reasonable period of time, as determined by the administering Voucher Agency. In order to allow the family to remain in the under-occupied unit until an appropriate-sized unit becomes available in the Covered Project, 24 CFR § 983.260 is waived. MTW agencies may not modify this requirement.

12. Establishment of Waiting List. 24 CFR § 983.251 sets out PBV program requirements related to establishing and maintaining a voucher-wide, PBV program-wide, or site-based waiting list from which residents for the Covered Project will be admitted. These provisions will apply unless the project is covered by a remedial order or agreement that specifies the type of waiting list and other waiting list policies. The PHA shall consider the best means to transition applicants from the current public housing waiting list, including:

- i. Transferring an existing site-based waiting list to a new site-based waiting list.
- ii. Transferring an existing site-based waiting list to a PBV program-wide or HCV program-wide waiting list.
- iii. Transferring an existing community-wide public housing waiting list to a PBV program-wide or HCV program-wide waiting list, an option particularly relevant for PHAs converting their entire portfolio under RAD.
- iv. Informing applicants on a community-wide public housing waiting list how to transfer their application to one or more newly created site-based waiting lists.

For any applicants on the public housing waiting list that are likely to be ineligible for admission to a Covered Project converting to PBV because the household's TTP is likely to exceed the RAD gross rent, the PHA shall consider transferring such household, consistent with program requirements for administration of waiting lists, to the PHA's remaining public housing waiting list(s) or to another voucher waiting list, in addition to transferring such household to the waiting list for the Covered Project.

To the extent any wait list relies on the date and time of application, the applicants shall have priority on the wait list(s) to which their application was transferred in accordance with the date and time of their application to the original waiting list.

If the PHA is transferring assistance to another neighborhood and, as a result of the transfer of the waiting list, the applicant would only be eligible for a unit in a location which is materially different from the location to which the applicant applied, the PHA must notify applicants on the wait-list of the transfer of assistance, and on how they can apply for residency at other sites.

If using a site-based waiting list, PHAs shall establish a waiting list in accordance with 24 CFR § 903.7(b)(2)(ii)-(iv) to ensure that applicants on the PHA's public housing community-wide waiting list have been offered placement on the Covered Project's initial waiting list. In all cases, PHAs have the discretion to determine the most appropriate means of informing applicants on the public housing community-wide waiting list given the number of applicants, PHA resources, and admissions requirements of the projects being converted under RAD. A PHA may consider contacting every applicant on the public housing waiting list via direct mailing; advertising the availability of housing to the population that is less likely to apply, both minority and non-minority groups, through various forms of media (e.g., radio stations, posters, newspapers) within the marketing area; informing local non-profit entities and advocacy groups (e.g., disability rights groups); and conducting other outreach as appropriate. Any activities to contact applicants on the public housing waiting list must be conducted in accordance with the requirements for effective communication with persons with disabilities at 24 CFR § 8.6 and with the obligation to provide meaningful access for persons with limited English proficiency (LEP).¹²

A PHA must maintain any site-based waiting list in accordance with all applicable civil rights and fair housing laws and regulations.

To implement this provision, HUD is specifying alternative requirements for 24 CFR § 983.251(c)(2). However, after the initial waiting list has been established, the PHA shall administer its waiting list for the Covered Project in accordance with 24 CFR § 983.251(c).

13. Choice-Mobility. One of the key features of the PBV program is the mobility component, which provides that if the family has elected to terminate the assisted lease at any time after the first year of occupancy in accordance with program requirements, the PHA must offer the family the opportunity for continued tenant-based rental assistance, in the form of either assistance under the voucher program or other comparable tenant-based rental assistance.

If as a result of participation in RAD a significant percentage of the PHA's HCV program becomes PBV assistance, it is possible for most or all of a PHA's turnover vouchers to be used to assist those RAD PBV families who wish to exercise mobility. While HUD is committed to ensuring mobility remains a cornerstone of RAD policy, HUD recognizes that it remains important for the PHA to still be able to use

¹² For more information on serving persons with LEP, please see HUD's Final guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons (72 FR 2732), published on January 22, 2007.

tenant-based vouchers to address the specific housing needs and priorities of the community. Therefore, HUD is establishing an alternative requirement for PHAs where, as a result of RAD, the total number of PBV units (including RAD PBV units) under HAP Contract administered by the PHA exceeds 20 percent of the PHA's authorized units under its HCV ACC with HUD.

The alternative mobility policy provides that an eligible voucher agency would not be required to provide more than three-quarters of its turnover vouchers in any single year to the residents of Covered Projects. While a voucher agency is not required to establish a voucher inventory turnover cap, if such a cap is implemented, the voucher agency must create and maintain a waiting list in the order in which the requests from eligible households were received. In order to adopt this provision, this alternative mobility policy must be included in an eligible PHA's administrative plan.

To effectuate this provision, HUD is providing an alternative requirement to Section 8(o)(13)(E) of the Act and 24 CFR § 983.261(c). Please note that this alternative requirement does not apply to PBVs entered into outside of the context of RAD. MTW agencies may not alter this requirement.

IV - Relocation Plans

NYCHA is pursuing a plan that will allow for tenant in place rehabilitation, which will require no relocation. If a resident must be temporarily relocated, it will be at no expense to the resident. The relocation options will be to a vacant unit in the same development, a vacant unit in another NYCHA development or a vacant unit in the selected developer's housing stock. This will be finalized after a development partner is selected. NYCHA will submit an Accessibility and Relocation Checklist to HUD with its financing plan as required by PIH Notice 2012-32 (HA), REV-2 and will comply with the relocation requirements under the RAD program as stated in *PIH Notice 2014-17-Relocation Requirements under the Rental Assistance Demonstration (RAD) Program, Public Housing in the First Component*. Please see page 34 – 62 for the full text of this PIH Notice.

V – Site Selection and Neighborhood Standards

This RAD conversion complies with all applicable site selection and neighborhood review standards as required by the Notice.

VI – Voluntary Compliance Agreement, Consent Order or Consent Decree

NYCHA certifies that it is currently compliant with all fair housing and civil rights requirements and is under a Voluntary Compliance Agreement and consent decrees. RAD conversion at the NYCHA developments listed on pages 17 – 24 will not have a negative impact on NYCHA's compliance with existing voluntary compliance agreements or consent decrees.

VII – PIH 2014-17 RELOCATION REQUIREMENTS UNDER THE RENTAL ASSISTANCE DEMONSTRATION (RAD) PROGRAM, PUBLIC HOUSING IN THE FIRST COMPONENT



U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
WASHINGTON, DC 20410-8000

ASSISTANT SECRETARY FOR HOUSING- FEDERAL HOUSING
COMMISSIONER

Special Attention of: Notice H 2014-09 Public Housing Agencies
PIH 2014-17 Public Housing Hub Office Directors
Public Housing Program Center Directors Issued: July 14, 2014
Regional Directors Field Office Directors
This notice remains in effect until amended, RAD Transaction Managers superseded, or rescinded.

Cross Reference: PIH Notice 2012-32 (HA) REV 1

1. SUBJECT: RELOCATION REQUIREMENTS UNDER THE RENTAL ASSISTANCE DEMONSTRATION (RAD) PROGRAM, PUBLIC HOUSING IN THE FIRST COMPONENT

1. Purpose

This Notice provides public housing agencies (PHAs)¹ and their partners with information and resources on applicable program and relocation assistance requirements when planning for or implementing resident moves as a result of a **Rental Assistance Demonstration (RAD)** conversion² under the first component of the demonstration.³ This Notice provides guidance on RAD relocation requirements and requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, (URA), as they relate to the public housing conversion process under the first component.⁴

¹ This Notice always uses the term “PHA” to refer to the owner of the project prior to and after the RAD conversion, even though, in some cases, the owner of the converted RAD project may be another public entity, a non-profit organization, or other owner (e.g., low-income housing tax credit owner). In addition, this Notice uses “PHA” to refer to the “displacing agency,” a URA term that means the agency or person that carries out a program or project, which will cause a resident to become a displaced person. Projects vary and, for any specific task described in this Notice, may require substituting in a reference to a party that is more appropriate for a specific project.

² The content of this Notice should not be relied upon in carrying out any other activities funded under any other HUD program, except where specifically directed by HUD.

³ The “first component” of RAD allows public housing and Moderate Rehabilitation properties to convert assistance; the “second component” refers to conversion of Rent Supplement, Rental Assistance Payment, and Moderate Rehabilitation properties upon contract expiration or termination.

⁴ Relocation concerns and URA requirements apply to both components of RAD. This notice provides guidance only as to the first component.

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Relocation assistance provided pursuant to public housing and RAD requirements is broader than URA relocation assistance requirements. Not all specific situations requiring relocation under RAD may trigger URA assistance requirements. In addition, whereas all qualifying residents⁵ of a converting public housing project are eligible for relocation assistance under RAD, some residents or household members may not meet the statutory and regulatory requirements for eligibility under URA. This Notice supersedes PIH Notice 2012-32 (HA), REV-1, with respect to relocation matters. This Notice also specifically addresses when relocation may begin (see Section 9 below). As necessary, the Department will issue additional guidance on relocation issues and requirements as they relate to RAD.

2. Background

RAD allows public housing properties to convert assistance to long-term project-based Section 8 contracts. In many cases, a RAD project may require relocation of residents when properties undergo repairs, are demolished and rebuilt, or when the assistance is transferred to another site. PIH Notice 2012-32 REV-1 (see also FR Notice 5630-N-05, 78 FR 39759-39763 (July 2, 2013)) details RAD program requirements.

The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, (URA) is a federal law that establishes minimum standards for federally-funded programs and projects that include the acquisition of real property (real estate) and/or displace persons from their homes, businesses, or farms as a result of acquisition, rehabilitation, or demolition of real property.⁶ The URA will apply to acquisitions of real property and relocation of persons from real property that occurs as a direct result of acquisition, rehabilitation, or demolition for a project that involves conversion of assistance to Project-Based Voucher (PBV) or Project-Based Rental Assistance (PBRA) programs under RAD.

Additionally, all relocation conducted as part of a RAD conversion and all relocation assistance provided under URA must be consistent with applicable fair housing and civil rights laws, including, but not limited to, the Fair Housing Act, Title VI of the Civil Rights Act of 1964, and Section 504 of the Rehabilitation Act of 1973.

Because each RAD proposal varies in its scope, this Notice may not address each PHA's specific circumstances. RAD PHAs and participants should carefully review the regulations, notices, and guidance material referenced in this Notice. Any questions related to the applicability of these requirements should be referred to the RAD Transaction Managers (TM) or may be emailed to rad@hud.gov.

1. APPLICABLE LEGAL AUTHORITIES

⁵ The term "resident" as used in this Notice refers to eligible resident families of public housing residing in a property applying for participation in RAD or a property that undergoes a conversion of assistance through RAD.

⁶ HUD Handbook 1378 (Tenant Assistance, Relocation, and Real Property Acquisition), available at: http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/library/relocation/policyandguidance/handbook1378.

- RAD: Consolidated and Further Continuing Appropriations Act of 2012 (Public Law 112-55, approved November 18, 2011), with the implementing PIH Notice 2012-32, REV-1
- URA statute and implementing regulations: 49 CFR part 24

- FHEO: Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, Fair Housing Act
- Section 104(d) of the Housing and Community Development Act of 1974, statute and implementing regulations (if CDBG and/or HOME funds are used): 24 CFR part 42, subpart

2. RELOCATION PLANNING

If there is a possibility that residents will be relocated as a result of acquisition, demolition, or rehabilitation for a project converting under RAD, PHAs must undertake a planning process in conformance with URA in order to minimize the adverse impact of relocation (49 CFR 24.205(a))

While a written Relocation Plan is not a requirement under RAD or URA, the Department strongly encourages PHAs to prepare a written Relocation Plan, both to establish their relocation process and to communicate this process consistently and effectively to all relevant stakeholders. Appendix 1 contains recommended elements of a Relocation Plan.

The following presents a general sequencing of relocation planning activities within the RAD milestones:

Stage	Activities
1. Prior to submission of RAD application	<ul style="list-style-type: none"> • Determine potential need for relocation • Meet with residents to discuss plans, communicate right to return, and solicit feedback • Provide <i>General Information Notice</i> (GIN) to residents • Survey residents to prepare Relocation Plan and relocation
2. After receipt of the Commitment to Enter into a HAP Contract (CHAP) Award	<ul style="list-style-type: none"> • Prepare Significant Amendment to PHA Plan • Assess and refine need for relocation • Develop a Relocation Plan (See Appendix 1 for recommended content)
3. Preparing Financing Plan (due to RAD Transaction Manager no later than 180 days following	<ul style="list-style-type: none"> • Budget for relocation expenses • Submit FHEO Accessibility & Relocation checklist (PHAs may submit Relocation Plan along with checklist)
Stage	Activities
CHAP award)	

<p>4. Receipt of RAD Conversion Commitment (RCC)</p>	<ul style="list-style-type: none"> • The date of issuance of the HUD RCC marks the date of “Initiation of Negotiations” (ION), as defined in the URA (49 CFR 24.2(a)(15)) • Provide residents with appropriate notice informing them if they will be relocated and any associated relocation assistance • Meet with residents to describe approved conversion plans and discuss required relocation
<p>5. Closing/RAD conversion</p>	<ul style="list-style-type: none"> • Generally, resident relocation should not begin until after the date of closing/conversion of assistance under RAD • PHAs must adhere to notification requirements (described in Paragraph 8 of this Notice): generally, a minimum of 30 days for residents to be temporarily relocated for up to a year, and 90 days for permanent relocation • PHAs seeking to move residents prior to closing must receive prior approval from HUD as described in Paragraph 9 of this Notice

3. RESIDENT RIGHT TO RETURN

RAD program rules prohibit the permanent involuntary relocation of residents as a result of conversion. Residents that are temporarily relocated retain the right to return to the project once it has been completed and is in decent, safe, and sanitary conditions.⁷ The period during which residents may need to be temporarily relocated is determined by the period of rehabilitation or construction, which will be specific to each project.

If proposed plans for a project would preclude a resident from returning to the RAD project, the resident must be given an opportunity to comment and/or object to such plans. If the resident objects to such plans, the PHA must alter the project plans to accommodate the resident in the converted project. If a resident agrees to such plans, the PHA must secure informed, written consent from the resident to receive permanent relocation assistance and payments consistent with URA and acknowledge that acceptance of such assistance terminates the resident’s right to return to the project. In obtaining this consent, PHAs must inform residents of their right to return, potential relocation, and temporary and permanent housing options at least 30 days before residents must make a decision. The PHA cannot employ any tactics to pressure residents into

⁷ Where the transfer of assistance to a new site is approved, residents of the converting project will have the right to reside in an assisted unit at the new site once rehabilitation or new construction is complete.

Relinquishing their right to return or accepting permanent relocation assistance and payments.⁸ A PHA may not terminate a resident’s lease if it fails to obtain this consent.

PHAs must keep documentation of such information provided to residents and such consent by residents. While HUD does not require PHAs to submit documentation of obtaining this consent, PHAs and participants must properly brief residents on their housing and relocation options and must keep auditable written records of such consultation and decisions. HUD may request this documentation during a review of the FHEO Relocation and Accessibility Checklist or if relocation concerns arise.

Examples of project plans that may preclude a resident from returning to the converted RAD project include, but are not limited to:

- Changes in bedroom distribution (i.e. when larger units will be replaced with smaller units such that current residents would become under-housed or when smaller units will be replaced with larger units such that current residents would become over-housed);
- Where a PHA is reducing the number of assisted units at a property by a de minimis amount⁹, but those units are occupied by assisted residents; or
- The reconfiguration of efficiency apartments, or the repurposing of dwelling units in order to facilitate social service delivery.

In all scenarios where residents voluntarily accept permanent relocation to accommodate project plans, these residents are eligible for permanent relocation assistance and payments under URA. If a resident accepts permanent relocation assistance, the resident surrenders his or her right to return to the completed project.

4. RELOCATION ASSISTANCE

Under RAD, relocation assistance may vary depending on the length of time relocation is required.¹⁰

- a. In instances when the PHA anticipates that a resident will be relocated for more than a year, the PHA must offer the resident the choice of:
 - Permanent relocation assistance and payments at URA levels; or
 - Temporary relocation assistance, including temporary housing, while the resident retains his or her right to return and reimbursement for all reasonable out-of-pocket expenses associated with the temporary relocation.

⁸ Persons with disabilities returning to the RAD project may not be turned away or placed on a waiting list due to a lack of accessible units. Their accessibility needs must be accommodated.

⁹ A reduction in total number of assisted units at RAD project of 5% or less. (Section 1.5.B of PIH 2012-32 REV-1)

¹⁰ Some residents may not qualify for relocation assistance under URA. A nonexclusive listing of persons who do not qualify as displaced persons under URA is at 49 CFR 24.2(a)(9)(ii). See also, Paragraph 1-4(J) of HUD Handbook 1378.

The PHA must give the resident no less than 30 days to decide between permanent and temporary relocation assistance. If the resident elects to permanently relocate with assistance at URA levels, the PHA must inform the resident that his or her acceptance of permanent relocation assistance terminates the resident's right to return to the completed RAD project.

- b. In instances when a resident elects temporary relocation assistance and reoccupies a unit in the completed project within one year, the resident need not be offered permanent relocation assistance pursuant to URA.

Great care must be exercised to ensure that residents are treated fairly and equitably. If a resident is required to relocate temporarily in connection with the project, his or her temporarily occupied housing must be decent, safe, and sanitary and the resident must be reimbursed for all reasonable out-of-pocket expenses incurred in connection with the temporary relocation. These expenses include, but are not limited to, moving expenses and increased housing costs during the temporary relocation.

- c. In the event that a resident elects to receive temporary relocation assistance and the temporary relocation exceeds one year, the resident becomes eligible for all permanent relocation assistance and payments under URA. (This assistance would be in addition to any assistance the person has already received for temporary relocation, and may not be reduced by the amount of any temporary relocation assistance.) In such event, the PHA shall give the resident the opportunity to choose to remain temporarily relocated for an agreed-to period (based on new information about when they can return to the completed RAD unit), or choose to permanently relocate with URA assistance.

PHAs may not propose or request that a displaced person waive rights or entitlements to relocation assistance under the URA. If the resident elects to permanently relocate with URA assistance, the PHA must inform the person that the person's acceptance of URA relocation assistance to permanently relocate will terminate the person's right to return to the completed RAD project. Conversely, unless and until the resident elects to be permanently relocated, the resident may remain temporarily relocated with a right to return to the completed project.

5. INITIATION OF NEGOTIATIONS (ION) DATE

Eligibility for URA relocation assistance is generally effective on the date of initiation of negotiations (ION) (49 CFR 24.2(a)(15)). For RAD projects, the ION date is the date of the issuance of the RAD Conversion Commitment (RCC).

6. RESIDENT NOTIFICATION

When a project converting under RAD will include relocation of residents, notice must be provided to those resident households. For each notice listed below, one notice shall be given to each resident household. The purpose of these notifications is to ensure that residents are informed of their potential rights and the relocation assistance available to them. During initial meetings with residents about RAD and in subsequent communications with residents related to relocation, the PHA should inform residents that if they choose to move after receiving a written GIN, but prior to receiving a RAD Notice of Relocation, they may jeopardize their eligibility for relocation assistance. However, PHAs should note that a resident move undertaken as a direct result of the project may still require relocation assistance and the resident may be eligible to receive permanent relocation assistance under the URA even though the PHA has not yet issued notices.

- a. *General Information Notice* (49 CFR 24.203(a) & Handbook 1378, Paragraph 2-3(B))

As soon as feasible in the planning process, the PHA must provide each resident with a written GIN (see sample in Appendix 2) to provide a general description of the project, the activities planned, and the relocation assistance that may become available. URA regulations state that the GIN should be provided *as soon as feasible*. Under RAD, PHAs must provide GINs during the initial RAD resident meetings, before submitting a RAD application. GINs must do at least the following:

- Inform the resident that he or she may be displaced for the project and generally describe the relocation payment(s) for which the resident may be eligible, the basic conditions of eligibility, and the procedures

for obtaining the payment(s);

- Inform the resident that he or she will be given reasonable relocation advisory services, including referrals to replacement properties, help in filing payment claims, and other necessary assistance to help the resident successfully relocate;
- Inform the resident that, if he or she qualifies for relocation assistance as a displaced person under the URA, he or she will not be required to move without at least 90 days advance written notice, and inform any person to be displaced from a dwelling that he or she cannot be required to move permanently unless at least one comparable replacement dwelling has been made available;
- Inform the resident that any person who is an alien not lawfully present in the United States is ineligible for relocation advisory services and relocation payments, unless such ineligibility would result in exceptional and extremely unusual hardship to a qualifying spouse, parent, or child (see 49 CFR 24.208(h) for additional information); and
- Describe the resident's right to appeal the PHA's determination as to a person's eligibility for URA assistance.

b. *RAD Notice of Relocation*

If a resident will be relocated to facilitate the RAD conversion, the PHA shall provide notice of such relocation (RAD Notice of Relocation). The PHA shall issue this notice upon the PHA's receipt of the RCC from HUD, which is the ION date.

If residents will not be relocated, notice of relocation is not required, but the PHA should notify them that they are not being relocated.¹¹

The RAD Notice of Relocation must conform to the following requirements:

- The notice must state the anticipated duration of the resident's relocation.
- PHAs must provide this notice a minimum of 30 days prior to relocation to residents who will be temporarily relocated.¹² Longer notice may be appropriate for persons who will be relocated for an extended period of time (over 6 months), or if necessary due to personal needs or circumstances.
- Residents whose temporary relocation is anticipated to exceed one year must be informed that they will have no less than 30 days to elect temporary or permanent relocation as described in Section 6 of this Notice. When timing is critical for project completion, the 30-day decision period can run concurrently with the 30-day notice period for temporary relocation and with the 90-day period for permanent relocation if the PHA makes available comparable replacement dwellings consistent with 24.204(a).
- Residents who will be permanently relocated must receive written notice a minimum of 90 days prior to relocation. This 90-day time period may only begin once the PHA has made available at least one comparable replacement dwelling consistent with 49 CFR 24.204(a).¹³
- The notice must describe the available relocation assistance, the estimated amount of assistance based on the individual circumstances and needs, and the procedures for obtaining the assistance. The notice must be specific to the resident and his or her situation so that the resident will have a clear understanding of the type and amount of payments and/or other assistance the resident household may be entitled to claim.

- The notice must explain the reasonable terms and conditions under which the resident may continue to lease and occupy a unit in the completed project.
- The notice must state that the PHA will reimburse the resident for all reasonable out-of-pocket expenses incurred in connection with any temporary move. These expenses include, but are not limited to, moving expenses and increased housing costs (rent, utilities, etc.).

c. *Notice of Intent to Acquire* (49 CFR 24.203(d))

¹¹ HUD policy generally requires a “notice of non-displacement” in certain instances; the RAD program does not require this notice. Although the scope of this notice is limited to guidance for projects requiring relocation, PHAs should note, however, that there may be notification requirements for projects that do not involve relocation. The RAD conversion will terminate the resident’s public housing lease and commence a PBV or PBRA lease, even when there is no relocation required. In such instances, state law may impose certain notification requirements. In addition, public housing regulations generally require 30 days’ notice prior to lease termination. PHAs are encouraged to review public housing requirements set forth in 24 CFR parts 5 and 966.

¹² HUD may approve shorter notice periods based on an urgent need due to danger, health, or safety issues or if the person will be temporarily relocated for only a short period.

¹³ PHAs should note that URA regulations also require, where possible, that three or more comparable replacement dwellings be made available before a resident is required to move from his or her unit.

For RAD projects involving acquisition, residents may be provided with a notice of intent to acquire (“*Notice of Intent to Acquire*”) prior to the ION date with HUD’s prior approval. Once the Notice of Intent to Acquire is provided, a resident’s eligibility for relocation assistance and payments is established. Therefore, the RAD Notice of Relocation must be provided in conjunction with or after the Notice of Intent to Acquire. A RAD Notice of Relocation would not otherwise be sent prior to the ION date.

Since residents who accept permanent relocation must receive 90 days advanced written notice prior to being required to move, providing residents the Notice of Intent to Acquire and RAD Notice of Relocation prior to the ION date may be necessary to provide sufficient notice of relocation to a resident in instances where there may not be 90 days between the issuance of the RCC (ION date) and the anticipated closing date. This allows the PHA to issue the notice earlier so that relocation may begin upon closing. This allows program participants to conduct orderly relocation upon closing, minimize adverse impacts on displaced persons, and to expedite project advancement and completion.¹⁴

d. *URA Notice of Relocation Eligibility – for residents whose temporary relocation exceeds one year* (49 CFR 24.203(b) & Handbook 1378, Paragraph 2-3(C))

After a resident has been temporarily relocated for one year, the PHA must provide a notice of relocation eligibility in accordance with URA requirements (“*Notice of Relocation Eligibility*”). This notice is not required if the resident has already accepted permanent relocation assistance.

The Notice of Relocation Eligibility must conform to URA requirements as set forth in 49 CFR Part 24, to HUD Handbook 1378 and to the following requirements:

- The PHA must provide updated information as to when it is anticipated that the resident will be able to return to the completed project.
- The resident may choose to remain temporarily relocated based upon such updated

information or may choose to accept permanent URA relocation assistance in lieu of exercising the right to return.

- If the resident chooses to accept permanent URA relocation assistance and such assistance requires that the resident move, the URA requires such resident to receive 90 days advance written notice of the earliest date they will be required to move (i.e., 90-Day Notice, 49 CFR 24.203(c)). The PHA should be mindful that the 90-day time period may only begin once the PHA has made available at least one “comparable replacement dwellings” as set forth in 49 CFR 24.204(a).

7. INITIATION OF RELOCATION

¹⁴ PHAs and program participants should note that, in most instances, it will be most appropriate for the acquiring entity to send this notice.

Unless otherwise approved by HUD, relocation may not begin until the date of closing of the RAD transaction and recordation of the RAD Use Agreement. PHAs must provide residents being temporarily relocated at least 30 days advance written notice of the required move. PHAs must give residents being permanently relocated at least 90 days advance written notice of the required move. This means PHAs are advised to plan carefully to account for this 30-day or 90- day notice period to ensure the closing is not delayed.

However, HUD is aware that, in rare cases, some project plans necessitate relocation prior to closing. With prior HUD approval, for projects involving acquisition, PHAs may relocate residents prior to the closing date subject to public housing requirements (see 24 CFR part 5 and 24 CFR 966). PHAs must contact their assigned RAD transaction manager (TM) to discuss plans as early as possible in the process to ensure compliance with all RAD and URA requirements.

If relocation prior to closing is desired, PHAs should submit to the TM the following information, as early as possible in the process:

- A written request for relocation prior to closing. The request must include justification of why the early relocation is necessary for the viability of the RAD transaction. Justification may include the presence of outside financing, such as Low Income Housing Tax Credit (LIHTC) awards, if the PHA can show that early relocation is necessary to meet critical LIHTC deadlines.
- FHEO Accessibility and Relocation Checklist.
- Evidence of intent to comply with public housing requirements, as applicable. Generally, public housing regulations require public housing residents to receive 30 days’ notice prior to relocation and that such notice either be published in the PHA’s admissions and continued occupancy policies (ACOP) or published elsewhere at least 30 days prior to receipt of such notice (24 CFR parts 5 and 966).

When seeking to relocate residents prior to closing, submission of this request as early as possible is preferred, prior to the 180-day Financing Plan milestone if possible (with Financing Plan submission following the request).

HUD reserves the right to request additional follow-up information, including a Relocation Plan and related budget, prior to approving such requests. PHAs must receive written HUD approval before beginning relocation of residents prior to closing.

Early planning and submission of the Financing Plan and FHEO checklist to HUD will ensure the PHA has built in the 30- or 90-day notice period prior to initiating relocation.

8. FAIR HOUSING AND CIVIL RIGHTS REQUIREMENTS

PHAs must comply with all applicable fair housing and civil rights laws, including, but not limited to, the Fair Housing Act, Title VI of the Civil Rights Act of 1964, and Section 504 of the Rehabilitation Act of 1973, when conducting relocation planning and providing relocation assistance. Further, communication must be provided in a manner that is effective for persons with disabilities (24 CFR 8.6) and for person who are Limited English Proficient (see 72 FR 2732). This section discusses some of the PHA's obligations under these laws and regulations. However, the applicability of civil rights laws is not limited to the activities discussed in this section. PHAs conducting relocation activities should familiarize themselves with applicable civil rights statutes, regulations, and guidance, including but not limited to, those listed at the end of this section.

- **Effective Communication for Persons with Disabilities:** Communications and materials must be provided in a manner that is effective for persons with hearing, visual, and other communication-related disabilities consistent with Section 504 of the Rehabilitation Act of 1973 (24 CFR 8.6), and as applicable, the Americans with Disabilities Act; and for persons who are limited English proficient (*see* 72 Fed Reg 2732). This includes ensuring that training materials are in appropriate alternative formats as needed, e.g., Braille, audio, large type, assistive listening devices, and sign language interpreters.
- **Accessible Meeting Facilities for Persons with Disabilities:** When holding public meetings, PHAs must give priority to methods that provide physical access to individuals with disabilities, i.e., holding the meetings, workshops, and briefings or any other type of meeting in an accessible location, in accordance with the regulations implementing Section 504 of the Rehabilitation Act of 1973 and Titles II and III of the Americans with Disabilities Act of 1990, as applicable. All programs and activities must be held in accessible locations unless doing so would result in an undue financial and administrative burden, in which case the PHA must take any action that would not result in such an alteration or such burden but would nevertheless ensure that individuals with disabilities receive the benefits and services of the program or activity, e.g., briefings at an alternate accessible, in-home briefing. Individuals with disabilities must receive services in the most integrated setting appropriate to their needs. The most integrated setting appropriate to the needs of qualified individuals with disabilities is a setting that enables individuals with disabilities to interact with nondisabled person to the fullest extent possible (28 CFR part 35, appendix B).
- **Meaningful Access for Persons with Limited English Proficiency (LEP):** PHAs must provide meaningful access to programs and activities for persons who have a limited ability to read, speak, or understand English. Any person with LEP who will be temporarily relocated or permanently displaced must have meaningful access to any public meetings regarding the project. In addition, any information provided to residents including, but not limited to, any notices required under the URA, should be provided in the appropriate language to persons with LEP. Generally, PHAs will be responsible for providing oral interpreters at meetings, including ensuring their competence, and covering any associated translation and interpretation costs.
- **URA requires that PHAs provide persons who are unable to read or understand the notices, such as persons with disabilities or persons with LEP, with appropriate translation and counseling to ensure that they understand their rights and responsibilities and the assistance available to them (49 CFR 24.5). URA also requires that each notice indicate the name and telephone number of a person to contact with questions or for other needed help (49 CFR 24.5). This notice should include the number for the telecommunication device for the deaf (TDD) or other appropriate communication device, if applicable (24 CFR 8.6(a)(2)).**

- Comparable Housing for Persons with Disabilities: PHAs should identify the accessibility needs of residents to be relocated by consulting existing information (e.g., tenant characteristics forms, including identification of the need for accessible unit features; records of approved reasonable accommodations, and records of the presence of accessible unit features). For guidance on providing relocation assistance to persons with disabilities, see Exhibit 3-1 in HUD Handbook 1378.
- Advisory Services: PHAs should determine the advisory services that will be necessary to ensure a successful relocation program consistent with 49 CFR 24.205(c). Such advisory services may include housing counseling that should be facilitated to ensure that residents affected by the project understand their rights and responsibilities and the assistance available to them (49 CFR 24.205(c)). Advisory counseling must also inform residents of their fair housing rights and be carried out in a manner that satisfies the requirements of Title VI of the Civil Rights Act of 1964, the Fair Housing Act, and Executive Order 11063 (49 CFR 24.205(c)(1)). In addition, PHAs should inform residents that if they believe they have experienced unlawful discrimination, they may contact HUD at 1-800- 669-9777 (Voice) or 1-800-927-9275 (TDD) or at <http://www.hud.gov>.

Fair Housing References:

- Section 504 of the Rehabilitation Act of 1973
- Regulations: 24 CFR part 8
- Fair Housing Act Regulations: 24 CFR part 100
- Title VI of the Civil Rights Act of 1964
- Regulations: 24 CFR part 1
- Final Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons (LEP Guidance) (72 FR 2732)
- Exhibit 3-1 Compliance with Section 504 of the Rehabilitation Act

in HUD Handbook 1378 (Tenant Assistance Relocation and Real Property Acquisition)

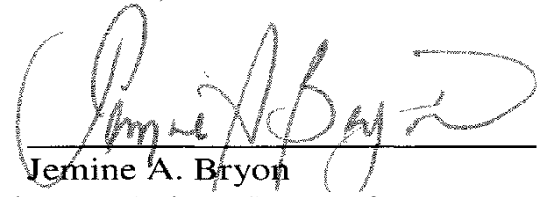
I:L Other Requirements

a. Public Housing Program Compliance

PHAs should note that public housing resident provisions related to occupancy and termination, including grievances and related hearings, will remain in effect until the execution of the new PBV or PBRA Housing Assistance Payment (HAP) contract.

b. Evictions for Cause

If the PHA determines that a resident was evicted in accordance with applicable state and local law for serious or repeated violation of material terms of the lease, and the eviction was not undertaken for the purpose of evading the obligation to make available URA payments and other assistance, the resident is not entitled to relocation payments and assistance under the URA (49 CFR 24.206).

A handwritten signature in black ink, appearing to read "Jemine A. Bryon", is written over a horizontal line.

Jemine A. Bryon
General Deputy Assistant Secretary for
Public and Indian Housing
Commissioner - Assistant Secretary for Housing

APPENDICES

Appendix 1 Recommended Relocation Plan Contents

Appendix 2

Sample RAD General Information Notice (GIN)

Appendix 3

Sample RAD Notice of Relocation (for relocation anticipated for a year or less)

Appendix 4

Sample RAD Notice of Relocation (for relocation anticipated for more than a year)

Appendix 5

Sample Notice of Eligibility for URA Relocation Assistance (for residents who have been temporarily relocated for more than a year)

2. APPENDIX 1: RECOMMENDED RELOCATION PLAN CONTENTS

While written Relocation Plans are not required under RAD or URA, the Department strongly encourages PHAs to document their relocation planning process and procedures in a written Relocation Plan. The following provides suggested content for Relocation Plans.

I. PROJECT SUMMARY

The Relocation Plan should provide a general description of and purpose for the project (e.g., year built, location, number of units, configuration, occupancy information, and funding sources).

The basic components of a plan include:

- A general description of the project and the site, including acquisition, demolition, rehabilitation, and construction activities and funding sources;
- A detailed discussion of the specific steps to be taken to minimize the adverse impacts of relocation, including when transferring the assistance to a new site;
- Information on occupancy (including the number of residents, residential owner- occupants and non-residential occupants, if any, to be permanently or temporarily relocated);
- Information on relocation needs and costs (including the number of residents who plan to relocate with Section 8 assistance);
- General moving assistance information;
- Temporary move assistance (including information on the duration of temporary moves);
- Permanent move assistance; and

- Appeals process.

II. RESIDENT RETURN AND RE-OCCUPANCY POLICIES

For residents that will be temporarily relocated, the plan should include the criteria that will be used to determine the priority for residents to re-occupy units at the project after rehabilitation, demolition, and/or construction is completed. For example, if units will come online in stages, the plan should outline how the PHA will determine when each resident will return to the project. PHAs should ensure that any written return or re-occupancy policy is compliant with related RAD requirements, such as the right-to-return policy and the “no re-screening upon conversion” policy, as described in the RAD Notice.

III. SUMMARY OF MOVING COSTS

The plan should include a summary of moving costs, identified by move types, including the following:

3. TEMPORARY MOVES

- Number of and cost amount for two-way moves (i.e., a move to another unit and then a return move) within the same building/complex.
- Number of and cost amount for two-way moves to a unit not in the same building/complex, carried out by the PHA.
- Number of and cost amount for two-way moves to a unit not in the same building/complex not carried out by the PHA.
-

4. PERMANENT MOVES

- Number of and cost amount for one-time moves into another unit in the same building/complex.¹⁵
- Number of and cost amount for one permanent move to a unit not within the same building/complex, carried out by the PHA.

PHAs should note that if a residential move is carried out by the PHA at no cost to the resident, this per-household estimate must include the required dislocation allowance (currently \$100). The URA Fixed Residential Moving Cost Schedule lists the most current dislocation allowance:

http://www.fhwa.dot.gov/real_estate/practitioners/uniform_act/relocation/moving_cost_s_chedule.cfm

- Number of and cost amount for one permanent move to a unit not within the same building/complex that is not carried out by the PHA.

IV. TEMPORARY RELOCATION ASSISTANCE

The PHA will assist residents who are required to move temporarily. At the Initiation of Negotiations (ION), the PHA will send a RAD Notice of Relocation to residents who will be relocated. Appendices 3 and 4 of this Notice contain sample RAD Notices of Relocation to be provided to residents that will be temporarily relocated.

The plan should detail the temporary relocation assistance the PHA will provide for residents (Paragraph 2-7 of HUD Handbook 1378). This assistance includes:

- Temporary Housing - The PHA will provide temporary housing that is decent, safe, and sanitary on a nondiscriminatory basis for residents who are relocated temporarily. The PHA will also pay for reasonable increased housing costs that the resident incurs in connection with the temporary relocation.

NOTE: If a resident's relocation exceeds one year, the PHA must then issue a *Notice of Relocation Eligibility* (49 CFR 24.203(b)) to the resident and offer the resident permanent

¹⁵ A resident who moved to another unit in the same building/complex may be considered a displaced person under URA if the resident moves from the building/complex permanently and was not offered reimbursement for all reasonable out-of-pocket expenses incurred in connection with the move within the same building/complex and/or if other conditions of the move within the building/complex were not reasonable.

relocation assistance and payments at URA levels. The PHA must provide this notice to affected residents as soon as the temporary relocation exceeds one year.

- Packing and Moving Assistance - Since most residents prefer to pack their own personal possessions and items of value, they should be provided packing instructions, boxes, markers, and tape for the move. If assistance in packing is needed, the PHA should provide the resident with information on how to request this assistance. The PHA is responsible for covering all reasonable moving expenses incurred in connection with temporarily relocating a resident. The PHA may reimburse the resident's out-of-pocket moving expenses and/or directly carry out the move.
- Payment for Temporary Relocation Moving Expenses - The plan should also indicate how the PHA intends to provide or reimburse for moving services and expenses. The PHA can choose to do one or more of the following:
 - Undertake the moves itself, using force account labor or a moving company;
 - Use PHA's contractor or moving company;
 - Carry out moves with employees of the PHA;
 - Reimburse residents for all actual and reasonable moving costs.

NOTE: The PHA will not make fixed payments since such payments may not be representative of actual reasonable costs incurred. However, in order for a resident to be sure of full reimbursement, the resident should submit a moving cost estimate to the PHA for approval prior to the move unless the PHA is directly carrying out the move and the resident will not incur any reasonable out-of-pocket moving expenses. Failure to do so may result in the resident not being fully reimbursed.

- Utility Costs - The PHA is responsible for covering the expenses relating to disconnection and reconnection of necessary utilities. If the resident has telephone, cable service or Internet access, the PHA is responsible for covering the expenses involved in transferring existing service. The PHA may also pay utility deposits, if required at the temporary relocation housing (HUD Handbook 1378, paragraph 2-7(A)(3)). If a resident is temporarily relocating from a public housing unit to a non-public housing unit, the resident must be reimbursed for reasonable increases in utility costs even if the PHA utility allowance is lower than the actual

costs to the resident.

V. PERMANENT RELOCATION ASSISTANCE

Based on the local housing resources available, the PHA should identify the replacement housing options that will be available to meet the housing needs of residents to be permanently relocated. Replacement housing options for residents that meet the definition of a “displaced person” (49 CFR 24.2(a)(9)) under the URA include, but are not limited to:

- Other Public Housing;
- Section 8 Project-Based Voucher unit;
- Section 8 Housing Choice Voucher unit;
- Homeownership housing;
- Private-market rental housing (affordable, non-subsidized).¹⁶

The plan should describe each type of replacement housing projected to be available, including:

1. Number of units, by bedroom size, expected to be available, and discussion of whether available units will meet dwelling requirements of relocated residents;
2. General area or location of unit(s);
3. Criteria for receiving relocation assistance; and
4. Any other information that might benefit residents in their consideration of housing choices.

The plan should include a description of the permanent relocation assistance the PHA will provide to residents. This assistance includes:

- Availability of Comparable Replacement Housing – Under URA, no displaced resident will be required to move unless at least one comparable replacement dwelling (49 CFR 24.2(a)(6)) is made available at least 90 days before the required move (49 CFR 24.203(c)). Comparable replacement dwellings must contain the accessibility features needed by displaced persons with disabilities (49 CFR 24.2(a)(8)(vii); 49 CFR part 24, Appendix A, §24.2(a)(8)(vii)). If the comparable replacement dwelling is not subsidized housing, the PHA should contact the RAD staff for advice on replacement housing payment requirements.
- Referral to Housing Not Located in an Area of Minority Concentration - Whenever possible, minority persons shall be given reasonable opportunities to relocate to decent, safe, and sanitary replacement dwellings that are within their financial means and not located in areas of minority concentration (49 CFR 24.205(c)(2)(ii)(D)). However, this policy does not require a PHA to provide a person a larger payment than is necessary to enable a person to relocate to a comparable replacement dwelling unit.
- Permanent Relocation Moving Expenses from Public Housing to Public Housing - The PHA may choose one of the following options for covering the expenses involved in moving public housing residents that are relocated into other public housing:

- Undertake the move itself, using force account labor or a moving company. Residents should incur no moving costs under this option, but if such expenses are incurred, the PHA is responsible for reimbursing the resident for any such actual and reasonable expenses. In such case, the resident is also entitled to a dislocation allowance (currently \$100). The URA Fixed Residential Moving Cost Schedule lists the current dislocation allowance and is available at:
http://www.fhwa.dot.gov/real_estate/practitioners/uniform_act/relocation/moving_cost_schedule.cfm

¹⁶ Every effort should be made to find another subsidized unit as replacement housing for a resident relocating from subsidized housing so that the resident will continue receiving the housing subsidy as long as it is needed.

NOTE: Residents who prefer to pack their own personal possessions and items of value may be provided packing instructions, boxes, markers, and tape for their move. If a resident needs assistance in packing, they should contact the PHA. It is the responsibility of the PHA to pack and move all of their belongings and household goods, if so desired.

- Allow the resident to elect one of the following choices:
 - 1) The PHA will reimburse the resident for the cost of all actual reasonable and necessary moving and related expenses (49 CFR 24.301), such as:
 - Transportation of the resident and personal property. This may include reimbursement at the current mileage rate for personally owned vehicles that need to be moved. Transportation costs for a distance beyond 50 miles are not eligible, unless the PHA determines that relocation beyond 50 miles is justified.
 - Packing, crating, uncrating, and unpacking of personal property.
 - Storage of personal property for a period not to exceed 12 months, unless the PHA determines that a longer period is necessary.
 - Disconnecting, dismantling, removing, reassembling, and reinstalling relocated household appliances and other personal property.
 - Insurance for the replacement value of the property in connection with the move and necessary storage.
 - The replacement value of property lost, stolen, or damaged in the process of moving (not through the fault or negligence of the displaced person, his or her agent, or employee) where insurance covering such loss, theft, or damage is not reasonably available.
 - 2) The PHA will pay directly to the resident the applicable and current fixed moving cost payment according to the URA Fixed Residential Moving Cost Schedule (49 CFR 24.302), available at:
http://www.fhwa.dot.gov/real_estate/practitioners/uniform_act/relocation/moving_cost_schedule.cfm
- Permanent Relocation Moving Expenses for All Other Moves – Under URA, residents who are permanently displaced, except for those residents displaced from public housing and moving to other public housing, are

entitled to the assistance described in the brochure *Relocation Assistance To Residents Displaced From Their Homes*, available in English at http://portal.hud.gov/hudportal/documents/huddoc?id=DOC_16280.doc and in Spanish at http://portal.hud.gov/hudportal/documents/huddoc?id=DOC_16281.doc. Residents may choose moving assistance from one of the following two options.

- 1) The PHA will reimburse the resident for the cost of all actual reasonable moving and related expenses (49 CFR 24.301).

The PHA will pay directly to the resident the applicable and current fixed moving cost payment according to the URA Fixed Residential Moving Cost Schedule (49 CFR 24.302), available at: http://www.fhwa.dot.gov/real_estate/practitioners/uniform_act/relocation/moving_cost_schedule.cfm.

- Replacement Housing Payment - In addition to covering moving expenses, displaced residents may be entitled to a replacement housing payment (RHP). This payment is intended to cover the increase, if any, in monthly housing costs for a 42-month period.

When calculating the RHP, the PHA must consider the comparable replacement housing unit offered to the resident. Since the PHA is not required to pay an RHP amount that exceeds the amount of RHP calculated for the offered comparable replacement dwelling, residents are cautioned to work closely with the PHA prior to their move.

- Accessible Housing for Persons with Disabilities - Under the URA, persons with disabilities who will be permanently displaced must be relocated to a replacement dwelling that contains the accessibility features they need (49 CFR 24.2(a)(8)(vii); 49 CFR Appendix A, 24.2(a)(8)(vii)). A person with disabilities who has been relocated must be offered a comparable replacement dwelling unit that contains accessible features comparable to the housing from which the tenant has been displaced or relocated. This is so even if the tenant has paid for the acquisition and/or installation of accessible features in the housing from which he or she has been relocated; in such instances, the recipient must ensure that the replacement housing contains comparable accessible features or provide relocation assistance to the tenant in an amount that covers the cost of acquiring and/or installing comparable accessible features. Under the URA, an agency may use project funds to remove architectural barriers for displaced owners and tenants with disabilities or take other last resort housing measures if comparable replacement dwelling units are not available within the monetary limits prescribed under the URA regulations (49 CFR 24.404(c)(vii); HUD Handbook 1378, Paragraph 3-8).

VI. RELOCATION BUDGET

Based on the results of the planning process, the PHA should create a relocation budget that includes the following six components:

- 1) The cost of administering the plan and providing assistance and counseling.
- 2) Reasonable moving expenses for a person with disabilities, which may include the cost of moving assistive equipment that is the personal property of the residents, the furnishings and personal belonging of a live-in aide, and/or other reasonable accommodations (HUD Handbook 1378, Paragraph 3-2).

- 3) The cost of the physical move of the residents' belongings. (It is suggested that the move costs be broken down by average cost per move type multiplied by the number of moves.)

NOTE: This physical move cost total should be based on the move scenarios anticipated or projected by the resident survey.

- 4) The cost estimated to pay for projected increases in monthly housing costs for temporary relocation.
- 5) The cost estimated to pay for the replacement housing payment (RHP) (42-month period for URA or 60-month period if section 104(d) applies).
- 6) Contingency costs estimated for carrying out the relocation process necessary to complete the proposed project. (The PHA should state where these costs are indicated in the application, or attach any other information required by HUD, to support these costs.)

VII. APPEAL PROCESS

If a resident disagrees with the PHA's decision as to the resident's eligibility to receive relocation assistance, the amount of a relocation payment, or the adequacy of a comparable replacement dwelling offered to a resident, the resident may file a written appeal to the PHA. The Relocation Plan should describe the specific appeal procedures to be followed consistent with 49 CFR 24.10 (and 24 CFR 42.390 if section 104(d) is involved). At a minimum, the resident will have 60 days to file an appeal with the PHA after receiving written notification of a claim or ineligibility determination.

VIII. CERTIFICATION

The plan should contain a certification of compliance with the URA and, if applicable, section 104(d).

5. TECHNICAL ASSISTANCE

The PHA should direct questions on this Notice's relocation assistance requirements to their RAD Transaction Manager or email rad@hud.gov.

6. APPENDIX 2: SAMPLE RAD GENERAL INFORMATION NOTICE (GIN)

PHA LETTERHEAD

RENTAL ASSISTANCE DEMONSTRATION (RAD) GENERAL
INFORMATION NOTICE (GIN)

[Date]

Dear [Resident Name],

The property you currently occupy is being proposed for participation in the Department of Housing and Urban Development's (HUD) Rental Assistance Demonstration (RAD) program.

At this time, we expect that [the proposed acquisition, rehabilitation or demolition, may require _____ you to be relocated (temporarily or permanently) from your unit]. We will provide further details to you as plans develop. **This notice does not mean that you need to leave the property at this time. This is not a notice of eligibility for relocation assistance.** The remainder of this letter only applies to situations where you will need to be relocated from your unit.

This notice serves to inform you of your potential rights under the RAD program and a federal law known as the Uniform Relocation Assistance and Real Property Acquisition Policies Act (URA). If the proposed RAD project receives HUD approval and if you are displaced permanently as a result, you may become eligible for relocation assistance and payments under the URA, including:

- 1) Relocation advisory services that include referrals to replacement properties, help in filing payment claims and other necessary assistance to help you successfully relocate;
- 2) At least 90 days' advance written notice of the date you will be required to move;
- 3) Payment for moving expenses; and
- 4) Payments to enable you to rent a similar replacement home.

NOTE: Aliens not lawfully present in the United States are not eligible for URA relocation assistance, unless such ineligibility would result in exceptional and extremely unusual hardship to a qualifying spouse, parent, or child as defined at 49 CFR 24.208(h). All persons seeking relocation assistance will be required to certify that they are a United States citizen or national, or an immigrant lawfully present in the United States.

As a resident of a property participating in RAD, you have the right to return to the project after the project is complete. You will be able to lease and occupy a unit in the converted project when rehabilitation is complete.

If you are permanently displaced from your home, you will not be required to move until you are given at least 90-day advance written notice of any required move and at least one comparable replacement dwelling has been made available to you. If you are temporarily relocated and your temporary relocation lasts more than one year, you will be contacted and offered permanent relocation assistance as a displaced person under the URA. This assistance would be in addition

to any assistance you may receive in connection with temporary relocation and will not be reduced by the amount of any temporary relocation assistance you have already received.

If you are required to relocate from the property in the future, you will be informed in writing. [PHA] will inform you of what assistance and payments you are eligible for if you will be relocated because of RAD and how you will receive these payments. If you become a displaced person, you will be provided reasonable assistance necessary to complete and file any required claim to receive a relocation payment. If you feel that your eligibility for assistance is not properly considered, you will also have the right to appeal a determination on your eligibility for relocation assistance.

You should continue to pay your rent and meet any other requirements specified in your lease. If you fail to do so, [PHA] may have cause for your eviction. If you choose to move, or if you are evicted, prior to receiving a formal notice of relocation eligibility, you may become ineligible to receive relocation assistance. It is very important for you to contact us before making any moving plans.

You will be contacted soon so that we can provide you with more information about the proposed project. If the project is approved, we will make every effort to accommodate your needs. In the meantime, if you have any questions about our plans, please contact:

[Name, Title, Address, Phone, Email Address]. This letter is important to you and should be retained.

Sincerely,

[Name] [Title]

NOTES:

1. Files must indicate how this notice was delivered (e.g., personally served or certified mail, return receipt requested) and the date of delivery. (49 CFR 24.5 and Paragraph 2-3(J) of Handbook 1378)
2. This is a sample GIN. PHAs should revise it to reflect project-specific circumstances.
3. PHAs may provide residents with HUD brochure “Relocation Assistance To Residents Displaced From Their Homes” available at: <http://www.hud.gov/offices/cpd/library/relocation/publications/1042.pdf>.

7. APPENDIX 3: SAMPLE RAD NOTICE OF RELOCATION (FOR RELOCATION ANTICIPATED FOR A YEAR OR LESS)

REVISE TO REFLECT THE PROJECT-SPECIFIC CIRCUMSTANCES.

(date)

Dear [*Resident Name*],
PHA Letterhead

The property you currently occupy is participating in the Department of Housing and Urban Development's (HUD) Rental Assistance Demonstration (RAD) program. On [*date*], the [*Public Housing Authority*] (PHA) notified you of proposed plans to [*acquire/ rehabilitate/demolish*] the property you currently occupy at [*address*]. On [*date*], HUD issued the RAD Conversion Commitment (RCC) and committed federal financial assistance to the project. [*In instances where a Notice of Intent to Acquire is applicable and this notice is being sent before the RCC is issued, in lieu of the previous sentence noting the RCC issuance date, insert: [Name of entity acquiring the property]*] (Displacing Agency) intends to acquire the property you currently occupy. **This is a Notice of Intent to Acquire.**

In order for PHA to complete the project, you will need to be relocated for [*anticipated duration of relocation*]. Upon completion of the project, you will be able to lease and occupy your present unit or another decent, safe and sanitary unit in the completed project under reasonable terms and conditions. You are eligible for relocation payments and assistance.

However, **you do not need to move now**. This notice informs you that a decent, safe, and sanitary dwelling unit, listed below, has been made available to you and you will be required to move by [*insert date at least 30 days after the date of this notice*].

If your temporary relocation exceeds one year and you qualify as a "displaced person" under the Uniform Relocation Assistance and Real Property Acquisition Policies Act (URA), you may be eligible for further relocation assistance and payments under URA.

NOTE: Aliens not lawfully present in the United States are not eligible for URA relocation assistance, unless such ineligibility would result in exceptional and extremely unusual hardship to a qualifying spouse, parent, or child as defined at 49 CFR 24.208(h). All persons seeking relocation assistance will be required to certify that they are a United States citizen or national, or an alien lawfully present in the United States.

The relocation assistance to which you are entitled includes:

- Payment for Moving Expenses. You are entitled to be reimbursed for all reasonable out-of-pocket expenses incurred in connection with any temporary move. [*PHA should list the form of payment for moving expenses selected in accordance with Appendix 1, Section 4 of this Notice.*]
- The location of your temporary replacement unit is [*address*]. This temporary housing has been determined to be decent, safe and sanitary.
- [*List appropriate relocation advisory services and any other services and assistance provided.*]

If you disagree with this determination, you may file a written appeal to the PHA in accordance with 49 CFR 24.10.

If you have any questions about this notice and your eligibility for relocation assistance and payments, please contact [Name, Title, Address, Phone, Email Address] before you make any moving plans. He/she will assist you with your move to a temporary unit and help ensure that you preserve your eligibility for any relocation payments to which you may be entitled.

Remember, do not move or commit to the purchase or lease of a replacement home before we have a chance to further discuss your eligibility for relocation assistance. This letter is important to you and should be retained.

Sincerely,

Print name: Title:

NOTE: The case file must indicate the manner in which this notice was delivered (e.g., personally served or certified mail, return receipt requested) and the date of delivery. (See 49 CFR 24.5 and Paragraph 2-3(J) of Handbook 1378.)

8. APPENDIX 4: SAMPLE RAD NOTICE OF RELOCATION (FOR RELOCATION ANTICIPATED FOR MORE THAN A YEAR)

REVISE TO REFLECT THE PROJECT-SPECIFIC CIRCUMSTANCES.

(date)

Dear [*Resident Name*],

PHA Letterhead

The property you currently occupy is participating in the Department of Housing and Urban Development’s (HUD) Rental Assistance Demonstration (RAD) program. On [*date*], the [*Public Housing Authority*] (PHA), notified you of proposed plans to [*acquire/ rehabilitate/demolish*] the property you currently occupy at [*address*]. On [*date*], HUD issued the RAD Conversion Commitment (RCC) and committed federal financial assistance to the project. [*In instances where a Notice of Intent to Acquire is applicable and this notice is being sent before the RCC is issued, in lieu of the previous sentence noting the RCC issuance date, insert: [Name of entity acquiring the property] (Displacing Agency) intends to acquire the property you currently occupy. This is a Notice of Intent to Acquire.*]

In order for PHA to complete the project, you will need to be relocated for [*anticipated duration of relocation*]. Upon completion of the project, you will be able to lease and occupy your present unit or another decent, safe and sanitary unit in the completed project under reasonable terms and conditions. You are eligible for relocation assistance and payments. Because we expect your relocation to exceed one year, you have the choice to either:

- Receive temporary relocation assistance and return to a unit in the RAD project once it is complete; or
- Receive permanent relocation assistance and payments consistent with the URA instead of returning to the completed RAD project.

You must inform us of your choice within 30 days.

However, **you do not need to move now**. If you choose temporary relocation assistance, you will not be required to move sooner than 30 days after you receive notice that a temporary unit is available for you. If you choose permanent relocation assistance, you will not be required to move sooner than 90 days after you receive written notice that at least one comparable replacement unit is available to you in accordance with 49 CFR 24.204(a). [*Note to PHA: These time periods may start running as of the date of this Notice if the notice of relocation includes such information on the temporary and/or comparable replacement dwelling options, as applicable. In such circumstance, add applicable sentences to adequately notify the resident. For example: This notice informs you that a temporary unit, listed below, has been made available to you and, if you choose this option, you will be required to move by [date no sooner than 30 days after notice]. This notice informs you that a comparable unit, listed below, has been made available to you and, if you choose this option, you will be required to move by [date no sooner than 90 days after notice].*]

If you choose temporary relocation, your relocation exceeds one year and you qualify as a “displaced person” under the Uniform Relocation Assistance and Real Property Acquisition Policies Act (URA), you may become eligible for further relocation assistance and payments under URA.

NOTE: Aliens not lawfully present in the United States are not eligible for URA relocation assistance, unless such ineligibility would result in exceptional and extremely unusual hardship to a qualifying spouse, parent, or child as defined at 49 CFR 24.208(h). All persons seeking relocation assistance will be required to certify that they are a United States citizen or national, or an alien lawfully present in the United States.

If you choose to receive temporary relocation assistance, this assistance will include:

- Payment for Moving Expenses. You are entitled to be reimbursed for all reasonable out-of-pocket expenses incurred in connection with any temporary move. *[PHA should list the form of payment for moving expenses selected in accordance with Appendix 1, Section 4 of this Notice.]*
- The location of your temporary replacement unit is *[address]*. This temporary housing has been determined to be decent, safe and sanitary.
- *[List appropriate relocation advisory services and any other services and assistance provided.]*

If you elect to receive permanent relocation assistance, this assistance will include:

- Relocation Advisory Services. You are entitled to receive current and continuing information on available comparable replacement units and other assistance to help you find another home and prepare to move.
- Payment for Moving Expenses. *[PHA should list the form of payment for moving expenses selected in accordance with Appendix 1, Section 5 of this Notice.]*
- Replacement Housing Payment. You may be eligible for a replacement housing payment to rent or buy a replacement home. The payment is based on several factors including: (1) the monthly rent and cost of utility services for a comparable replacement unit, (2) the monthly rent and cost of utility services for your present unit, and (3) 30% of your average monthly gross household income. This payment is calculated on the difference between the old and new housing costs for a one-month period and multiplied by 42.
- *[PHA: list here any permanent relocation assistance offered, such as a Housing Choice Voucher.]*
- Listed below are three comparable replacement units that you may wish to consider for your replacement home. If you would like, we can arrange transportation for you to inspect these and other replacement units.

	Address	Rent & Utility Costs	Contact Info
1.	_____	_____	_____
2.	_____	_____	_____
3.	_____	_____	_____

We believe that the unit located at *[address]* is most representative of your original unit in the converting RAD project. The monthly rent and the estimated average monthly cost of utilities for this unit is *[\$ amount]* and it will be used to calculate your maximum replacement housing payment. Please contact us immediately if you believe this unit is not comparable to your original unit. We can explain our basis for selecting this unit as most representative of your original unit and discuss your concerns.

Based on the information you have provided about your income and the rent and utilities you now pay, you may be eligible for a maximum replacement housing payment of approximately [$(42 \times \text{monthly amount})$], if you rent the unit identified above as the most comparable to your current home or rent another unit of equal cost.

Replacement housing payments are not adjusted to reflect future rent increases or changes in income. This is the maximum amount that you would be eligible to receive. If you rent a decent, safe and sanitary home where the monthly rent and average estimated utility costs are less than the comparable unit, your replacement housing payment will be based on the actual cost of that unit. All replacement housing payments must be paid in installments. Your payment will be paid in [#] installments.

You may choose to purchase (rather than rent) a decent, safe and sanitary replacement home. If you do, you would be eligible for a down-payment assistance payment which is equal to your maximum replacement housing payment, [Amount.] [PHAs should note that, at the agency's discretion, a down-payment assistance payment that is less than \$5,250 may be increased to any amount not to exceed \$5,250. (See 49 CFR 24.402(c)(1).)] Let us know if you are interested in purchasing a replacement home and we will help you locate such housing.

Please note that all replacement housing must be inspected in order to ensure it is decent, safe and sanitary before any replacement housing payments are made.

If you have any questions about this notice and your eligibility for relocation assistance and payments, please contact [Name, Title, Address, Phone, Email Address] before you make any moving plans. He/she will assist you with your move to a new home and help ensure that you preserve your eligibility for all relocation payments to which you may be entitled.

Remember, do not move or commit to the purchase or lease of a replacement home before we have a chance to further discuss your eligibility for relocation assistance. This letter is important to you and should be retained.

Sincerely,

Print name: Title: _____

Enclosure/s

NOTE: The case file must indicate the manner in which this notice was delivered (e.g., personally served or certified mail, return receipt requested) and the date of delivery. (See 49 CFR 24.5 and Paragraph 2-3(J) of Handbook 1378.)

9. APPENDIX 5: SAMPLE NOTICE OF ELIGIBILITY FOR URA RELOCATION ASSISTANCE (For residents who have been temporarily relocated for more than a year)

IT SHOULD BE REVISED TO REFLECT THE CIRCUMSTANCES.

(date)

Dear [*Resident*]:
PHA Letterhead

The property you formerly occupied at [*address*] is participating in the Department of Housing and Urban Development's (HUD) Rental Assistance Demonstration (RAD) program. You have been temporarily relocated from that property since [*date*]. Your temporary relocation has exceeded one year.

It has been determined that you qualify as a "displaced person" according to the Uniform Relocation Assistance and Real Property Acquisition Policies Act (URA). You are eligible for relocation assistance and payments under the URA.

You may choose to remain temporarily relocated and return to a unit in the RAD project once it is completed. It is currently estimated that you may return to the RAD project by [*date*]. If you choose to remain temporarily relocated, you will stay at your current location until the RAD project is completed.

Alternatively, you may choose permanent relocation assistance and payments for which you are eligible, as listed below. If you choose permanent relocation assistance, you give up your right to return to the completed RAD project. However, **you do not need to move now.** If you choose permanent relocation assistance instead of exercising your right to return to the completed RAD project, you will not be required to move sooner than 90 days from the date that at least one comparable replacement unit has been made available to you. [*Alternatively: You will not be required to move sooner than 90 days from the date of this notice, which informs you of a comparable replacement unit that has been made available for you.*]

10. THIS IS YOUR NOTICE OF ELIGIBILITY FOR RELOCATION ASSISTANCE.

The effective date of your eligibility is [*insert date that relocation exceeds one year.*]

NOTE: Aliens not lawfully present in the United States are not eligible for URA relocation assistance, unless such ineligibility would result in exceptional and extremely unusual hardship to a qualifying spouse, parent, or child as defined at 49 CFR 24.208(h). All persons seeking relocation assistance will be required to certify that they are a United States citizen or national, or an alien lawfully present in the United States.

Enclosed is a brochure entitled, "Relocation Assistance to Tenants Displaced From Their Homes." Please read the brochure carefully. It explains your rights and provides additional information on eligibility for relocation payments and what you must do in order to receive these payments.

The relocation assistance to which you are entitled includes:

- Relocation Advisory Services. You are entitled to receive current and continuing information on available comparable replacement units and other assistance to help you find another home and prepare to move.
- Payment for Moving Expenses. [PHA should list the form of payment for moving expenses selected in accordance with Appendix 1, Section 5 of this Notice.] This is in addition to any amounts received to reimburse for any reasonable out-of-pocket expenses incurred in connection with the temporary move.
- Replacement Housing Payment. You may be eligible for a replacement housing payment to rent or buy a replacement home. The payment is based on several factors including: (1) the monthly rent and cost of utility services for a comparable replacement unit, (2) the monthly rent and cost of utility services for your present home, and (3) for low-income persons, 30 percent of your average monthly gross household income. This payment is calculated on the difference between the old and new housing costs for a one-month period and multiplied by 42.
- [PHA list here any other relocation assistance offered the resident, such as Housing Choice Voucher.]

Listed below are three comparable replacement units that you may wish to consider for your replacement home. If you would like, we can arrange transportation for you to inspect these and other replacement units.

	Address	Rent & Utility Costs	Contact Info
1.	_____	_____	_____
2.	_____	_____	_____
3.	_____	_____	_____

We believe that the unit located at [address] is most representative of the original unit you occupied in the converting RAD project. The monthly rent and the estimated average monthly cost of utilities for this unit is \$[amount] and it will be used to calculate your maximum replacement housing payment. Please contact us immediately if you believe this unit is not comparable to your original unit. We can explain our basis for selecting this unit as most representative of your original unit and discuss your concerns.

Based on the information you have provided about your income and the rent and utilities you now pay, you may be eligible for a maximum replacement housing payment of approximately \$ [42 x \$Amount], if you rent the unit identified above as the most comparable to your current home or rent another unit of equal cost.

Replacement housing payments are not adjusted to reflect future rent increases or changes in income. This is the maximum amount that you would be eligible to receive. If you rent a decent, safe and sanitary home where the monthly rent and average estimated utility costs are less than the comparable unit, your replacement housing payment will be based on the actual cost of that unit. All replacement housing payments must be paid in installments. Your payment will be paid in [#] installments.

Should you choose to purchase (rather than rent) a decent, safe and sanitary replacement home, you would be eligible for a down payment assistance payment which is equal to your maximum replacement housing payment, [\$ amount]

[PHAs should note that, at the agency's discretion, a down payment assistance payment that is less than \$5,250 may be increased to any amount not to exceed \$5,250. (See 49 CFR 24.402(c)(1)).] Let us know if you are interested in purchasing a replacement home and we will help you locate such housing.

Please note that all replacement housing must be inspected in order to ensure it is decent, safe, and sanitary before any replacement housing payments are made.

If you have any questions about this notice and your eligibility for relocation assistance and payments, please contact [Name, Title, Address, Phone, Email Address] before you make any moving plans. He/she will assist you with your move to a new home and help ensure that you preserve your eligibility for any applicable relocation payments.

Remember, do not move or commit to the purchase or lease of a replacement home before we have a chance to further discuss your eligibility for relocation assistance. This letter is important to you and should be retained.

Sincerely,

Print Name: Title:

Enclosure/s

NOTE: The case file must indicate the manner in which this notice was delivered (e.g., personally served or certified mail, return receipt requested) and the date of delivery. (See 49 CFR 24.5 and Paragraph 2-3(J) of Handbook 1378.)

2) Demolition and/or Disposition

[24 CFR Part 903.7 9 (h)]

Applicability of component 8: Section 8 only PHAs are not required to complete this section.

1. Yes No: Does the PHA plan to conduct any demolition or disposition activities (pursuant to section 18 of the U.S. Housing Act of 1937 (42 U.S.C. 1437p)) in the plan Fiscal Year? (If “No”, skip to component 9; if “yes”, complete one activity description for each development.)
2. Activity Description
 Yes No: Has the PHA provided the activities description information in the **optional** Public Housing Asset Management Table? (If “yes”, skip to component 9. If “No”, complete the Activity Description table below.)

Affordable Housing Development Activities

Morrisania Air Rights

NYCHA proposes to ground lease a development site at 925 Courtland Avenue (Block 2409/ Lot 98), a 21,200 square foot parcel included in the Morrisania Air Rights development. This site is non-contiguous to the rest of the NYCHA development and neighbors Railroad Park in the Bronx. The lot currently holds a waste management facility which will be relocated to another location on the development prior to construction. The proposed development will include a mix of both studios and family units, and will include a supportive housing set aside for formerly homeless individuals.

Harborview Terrace

NYCHA proposes to ground lease a development site on West 56th Street (part of Block 1084/ Lot 9), currently a parking lot and the abutting playground and seating areas at the Harborview Terrace development. The disposition of the approximately 29,000 square foot parcel of land along with the development rights will facilitate the construction of a new apartment building containing approximately 200-250 affordable apartments and a ground floor community facility.

Twin Parks West

NYCHA proposes to ground lease a development site on East 180th Street and Webster Avenue (Block 3143/ Lots 234, 236, and 240), currently a parking lot at the Twin Parks West development. The disposition of the approximately 16,500 square foot parcel of land along with the development rights will facilitate the construction of a new apartment building containing approximately 150-200 affordable apartments and ground floor commercial or community facility space.

Sumner Houses

NYCHA proposes to ground lease a development site on Marcus Garvey Boulevard (part of Block 1580, Lot 1), currently a landscaped area at the Sumner Houses development. The disposition of the 24,200 square foot parcel of land along with the development rights will facilitate the construction of a new apartment building containing approximately 200 affordable apartments for seniors and a ground floor community facility.

Ocean Bay Apartments (Bayside and Oceanside)

NYCHA proposes to dispose of parcels for the purpose of constructing a neighborhood retail hub, inclusive of a supermarket, and three-stories of other retail, commercial and community facility spaces. The property is located on Beach Channel Drive between Beach 53rd and Beach 54th Streets south of Oceanside Apartments and east of Bayside Apartments. NYCHA acquired the property, a blighted and underused shopping strip, opposite Ocean Bay Apartments consisting of seven contiguous parcels (Block 15890, Lots 54, 55, 58, 64, 65, 69, 62) which will be merged into one parcel prior to disposition (Block 15890, Lot 54), representing an area of approximately 37,111 square feet, as part of the Ocean Bay HOPE VI Plan through eminent domain. The existing one-story commercial building has been deemed unsafe by the NYC Department of Buildings and will be demolished.

Demolition/Disposition Activity Description
1a. Development name: Twin Parks West (Sites 1 & 2)
1b. Development (project) number: NY005012270
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Disposition of one building with 312 units with the following addresses: 353, 355, 360, and 365 Ford Street, and 355 and 365 East 183rd Street, Bronx, NY 10458</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date original application approved, submitted, or planned for submission: 2017
5. Number of units affected: 312
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: 2018
Demolition/Disposition Activity Description
1a. Development name: Betances III, 13
1b. Development (project) number: NY005010840
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Disposition of two buildings with 22 units with the following addresses: 695 and 699 East 139th Street, Bronx, NY 10454</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date original application approved, submitted, or planned for submission: 2017
5. Number of units affected: 22
6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: 2018

Demolition/Disposition Activity Description
1a. Development name: Betances II, 9A 1b. Development (project) number: NY005012110
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Disposition of one building with 46 units with the following addresses: 505, 509, 511, and 517 East 144th Street, Bronx, NY 10454</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date original application approved, submitted, or planned for submission: 2017
5. Number of units affected: 46
6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: 2018
Demolition/Disposition Activity Description
1a. Development name: Franklin Avenue II Conventional 1b. Development (project) number: NY005015310
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Disposition of three buildings with 45 units with the following addresses: 1390, 1392, and 1394 Franklin Avenue, Bronx, NY, 10456</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date original application approved, submitted, or planned for submission : 2017
5. Number of units affected: 45
6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: 2018
Demolition/Disposition Activity Description
1a. Development name: Highbridge Rehabs (Nelson Avenue) 1b. Development (project) number: NY005015310
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Disposition of three buildings with 80 units with the following addresses: 1139, 1144, 1182, and 1184 Nelson Avenue, Bronx, NY 10452</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date original application approved, submitted, or planned for submission : 2017
5. Number of units affected: 80

6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: 2018
Demolition/Disposition Activity Description
1a. Development name: Bushwick II (Groups A & C) 1b. Development (project) number: NY005012470
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Disposition of 25 buildings with 300 units with the following addresses:</i> <ul style="list-style-type: none"> - 75 and 85 Covert Street, Brooklyn, NY 11207 - 139, 140 and 190 Harman Street, Brooklyn, NY 11221 - 140 and 160 Himrod Street, Brooklyn, NY 11221 - 155 Eldert Street, Brooklyn, NY 11207 - 250 and 270 Wilson Avenue, Brooklyn, NY 11237 - 251, 269, 270, 289, 290, and 310 Central Avenue, Brooklyn, NY 11221, and 580 Central Avenue, Brooklyn, NY 11207 - 595, 615, 670, and 690 Evergreen Avenue, Brooklyn, NY 11207 - 1229, 1240, 1259, and 1280 Greene Avenue, Brooklyn, NY 11221
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date original application approved, submitted, or planned for submission : 2017
5. Number of units affected: 300
6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: 2018
Demolition/Disposition Activity Description
1a. Development name: Bushwick II CDA (Group E) 1b. Development (project) number: NY005012470
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Disposition of 5 buildings with 276 units with the following addresses:</i> <ul style="list-style-type: none"> - 172 and 176 Menahan Street, and 319, 323, and 327 Wilson Avenue, Brooklyn, NY 11237 - 226, 238, and 242 Grove Street, Brooklyn, NY, 11237, and 230 and 234 Grove Street and 339, 343, and 347 Wilson Avenue, Brooklyn, NY 11221 - 235, 239, 243, 247, and 251 Linden Street, and 524, 528, and 532 Knickerbocker Avenue, Brooklyn, NY 11221 - 220, 224, 228, 232, and 236 Linden Street, and 357, 361, and 365 Wilson Avenue, Brooklyn, NY 11221 - 1389, 1393, 1397, 1411, and 1415 Gates Avenue, and 550, 554, and 558 Knickerbocker Avenue, Brooklyn, NY 11221
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/>

Planned application <input checked="" type="checkbox"/>
4. Date original application approved, submitted, or planned for submission : 2017
5. Number of units affected: 276
6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: 2018
Demolition/Disposition Activity Description
1a. Development name: Forest Hills Co-Op 1b. Development (project) number: NY005002000
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Disposition of three residential buildings with 430 units and one non-residential building (Community Center). (62-27 108th Street, 108-53 62nd Drive, 110-01 62nd Drive and 108-25 62nd Drive, Forest Hills, NY 11375). NYCHA will follow HUD direction as to the most appropriate vehicle for disposition of this property. Should a Section 18 disposition pursuant to 42 USC Section 1437p and the regulations at 24 CFR Part 970 not be the most appropriate, NYCHA may seek alternate avenues to accomplish similar results, such as a retention action pursuant to 2 CFR Part 200 or approval pursuant to Section 32 under 42 USCS § 1437z-4 and the regulations at 24 CFR Part 906.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date original application approved, submitted, or planned for submission : 2017
5. Number of units affected: 430
6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: 2018
Demolition/Disposition Activity Description
1a. Development name: Ocean Bay Apartments (Oceanside) 1b. Development (project) number: NY005010980
2. Activity type: Demolition <input checked="" type="checkbox"/> Disposition <input checked="" type="checkbox"/> Disposition <i>In 2003, as part of the Ocean Bay HOPE VI Plan, NYCHA acquired through eminent domain a blighted and underused shopping strip opposite Ocean Bay Apartments, consisting of seven contiguous parcels representing an area of approximately 37,111 SF.</i> <i>NYCHA needs to demolish the vacant one-story buildings as a result of unsafe conditions. NYCHA also intends to sell the parcels to a developer for the purpose of constructing neighborhood retail space inclusive of a grocery store. The property is located on Beach Channel Drive between Beach 53rd and Beach 54th Streets across the street south of Oceanside Apartments and across the street east of Bayside Apartments.</i>
<u>Borough</u> <u>Block</u> <u>Lot</u> <u>Address</u> Queens 15890 54 360 Beach 54th Street (parcel contains a one-story retail space)

Queens	15890	55	366 Beach 54th Street (parcel contains a one-story retail space)
Queens	15890	58	53-15 Beach Channel Drive (vacant lot)
Queens	15890	62	53-13 Beach Channel Drive (vacant lot)
Queens	15890	64	53-05 Beach Channel Drive (parcel contains a one-story retail space)
Queens	15890	66	53-01 Beach Channel Drive (parcel contains a one-story retail space)
Queens	15890	69	N/A Beach 53rd Street (vacant lot)
3. Application status (select one)			
Approved <input type="checkbox"/>			
Submitted, pending approval <input type="checkbox"/>			
Planned application <input checked="" type="checkbox"/>			
4. Date original application approved, submitted, or planned for submission: 2017			
5. Number of units affected: 0			
6. Coverage of action (select one)			
<input checked="" type="checkbox"/> Part of the development			
<input type="checkbox"/> Total development			
7. Timeline for activity:			
a. Actual or projected start date of activity: 2017			
b. Projected end date of activity: 2019			
Demolition/Disposition Activity Description			
1a. Development name: Harborview Terrace			
1b. Development (project) number: NY005010220			
2. Activity type: Demolition <input type="checkbox"/>			
Disposition <input checked="" type="checkbox"/> <i>Disposition of the Harborview Terrace parking lot on West 56th Street and the abutting basketball courts along with up to 61,000 square feet of excess, unused development rights emanating from the Harborview Terrace development. The disposition of the 34,282 square foot parcel of land along with the development rights will facilitate the construction of two apartment buildings containing up to 342 dwelling units. An RFP was issued in June 2017 for affordable housing development.</i>			
3. Application status (select one)			
Approved <input type="checkbox"/>			
Submitted, pending approval <input type="checkbox"/>			
Planned application <input checked="" type="checkbox"/>			
4. Date original application approved, submitted, or planned for submission: 2018			
5. Number of units affected: 0			
6. Coverage of action (select one)			
<input checked="" type="checkbox"/> Part of the development			
<input type="checkbox"/> Total development			
7. Timeline for activity:			
a. Actual or projected start date of activity: 2017			
b. Projected end date of activity: 2020			
Demolition/Disposition Activity Description			
1a. Development name: Morrisania Air Rights			
1b. Development (project) number: NY005012670			
2. Activity type: Demolition <input type="checkbox"/>			
Disposition <input checked="" type="checkbox"/> <i>Lease of an approximate 10,000 square foot parcel on a portion of Block 2409, Lot 98, at Morrisania Air Rights in the Bronx for development of a residential affordable and supportive housing building (120,000 square feet of residential development rights) for low-income and formerly homeless families. An RFP was issued in June 2017 for affordable and supportive housing development.</i>			
3. Application status (select one)			
Approved <input type="checkbox"/>			

Submitted, pending approval <input type="checkbox"/>
Planned application <input checked="" type="checkbox"/>
4. Date original application approved, submitted, or planned for submission : 2018
5. Number of units affected: 0
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: 2020
Demolition/Disposition Activity Description
1a. Development name: Twin Parks West (Sites 1 & 2)
1b. Development (project) number: NY005012270
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of approximately 12,000 square feet of lot coverage on 3 parcels on Block 3143, Lots 234, 236, and 240. Approximately 150,000 SF of residential development rights and 8,000 SF of community facility/commercial space development rights to be used for the creation of 100% affordable housing. An RFP was issued in June 2017 for affordable housing development.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date original application approved, submitted, or planned for submission : 2018
5. Number of units affected: 0
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: 2020
Demolition/Disposition Activity Description
1a. Development name: Sumner Houses
1b. Development (project) number: NY005010730
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of approximately 12,000 square feet on a portion of Block 1580, Lot 1 at Sumner Houses in Brooklyn for a residential, mixed-use development for low income seniors. An RFP was issued in June 2017 for affordable housing development.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date original application approved, submitted, or planned for submission : 2018
5. Number of units affected: 0
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: 2020

Demolition/Disposition Activity Description

1a. Development name: **Red Hook East**
1b. Development (project) number: NY005000040

2. Activity type: Demolition
Disposition

In response to Hurricane Sandy, and in preparedness for future coastal storms, NYCHA has developed an expansive rehabilitation plan for Red Hook East Houses. As a result, NYCHA intends to demolish building # 28 at 590 Clinton Street with 4 residential units and commercial space at Red Hook East. This demolition will facilitate the construction of critical mechanical, electrical, and plumbing infrastructure that will serve the development.

Please note that this demolition meets the de minimis exception to demolition requirements under §970.27 since it is less than 5 residential units and therefore a Section 18 demolition application is not required.

3. Application status (select one)
Approved
Submitted, pending approval
Planned application

4. Date original application approved, submitted, or planned for submission: **2017**

5. Number of units affected: **4**
6. Coverage of action (select one)
 Part of the development
 Total development

7. Timeline for activity:
a. Actual or projected start date of activity: **2017**
b. Projected end date of activity: **2018**

ATTACHMENT C

SMOKE FREE HOUSING STATEMENT

Background

The U.S. Department of Housing and Urban Development (HUD) recently issued new regulations requiring all housing authorities to have a smoke-free policy in place by July 30, 2018.

The HUD regulations are intended to improve indoor air quality, benefit the health of public housing residents and staff, reduce the risk of fires, and lower overall maintenance costs. Secondhand smoke can lead to stroke, heart disease, cancer, and respiratory illness. The Centers for Disease Control and Prevention has established smoking as the leading cause of preventable death in the nation and there is no safe level of exposure to secondhand smoke.

Under New York City law, smoking is already prohibited in management offices and in common areas in NYCHA developments, such as lobbies, hallways, stairwells, and elevators. The new regulations, lease, and policy will prohibit the smoking of tobacco products, including cigarettes, cigars, pipes, and hookah pipes, in apartments, public areas, or within 25 feet of public housing buildings.

In order to meet HUD requirements, NYCHA will adopt a smoke-free policy, which will include provisions on enforcement. In accordance with HUD regulations, NYCHA will also amend its public housing lease to include smoke-free provisions. NYCHA will issue a lease addendum stating it is a violation of the lease if a tenant, a member of the household, or a guest smokes inside the apartment, in common areas, or within 25 feet of the building. NYCHA will also promote employee adherence to the policy.

Amending Leases

Current NYCHA public housing residents will receive notice of the new lease language in early 2018. A notice posted at the developments will inform residents of the new lease language and when it will take effect. Residents will have the opportunity to comment on the new lease language before it goes into effect. After the notice has been posted at the developments, NYCHA will begin mailing all residents a lease addendum which revises the terms of their lease to prohibit smoking of tobacco products in all public housing apartments and all common areas, as well as in outdoor areas within 25 feet of public housing buildings. The lessee (and co-lessee) must sign and return the lease addendum. The addendum will specify that violation of the policy will be treated as a civil and not criminal matter. NYCHA will also modify the public housing lease for new residents to reflect the new policy.

Graduated Enforcement

In consultation with residents, staff, and the New York City Department of Health and Mental Hygiene and consistent with HUD guidance, NYCHA is formulating a graduated enforcement approach to address violations of the smoke-free rules. Graduated enforcement means NYCHA will address violations with escalated warnings and specific, progressive enforcement actions, while educating residents and providing smoking cessation resources or referrals.

NYCHA staff observing violations can report them to the Property Management office. Residents may report violations as well by calling the Customer Contact Center and providing details of the violation. Violations will be documented. After a staff member has observed a resident violating the policy, or in response to multiple resident-generated complaints that a resident has violated the policy, Property Management will

conduct an informal conference with the resident to discuss the violation or violations. Property Management will provide materials to educate the resident on smoking and health topics such as the health effects of secondhand smoke and strategies to take smoking outside the buildings and the 25-foot perimeter. Property Management will also provide the resident with available smoking cessation resources. The lessee (and co-lessee) will agree in writing to comply with the smoke-free policy and will acknowledge that further violations can result in the commencement of termination of tenancy proceedings.

Overall Implementation Strategy

Since the release of the HUD Rule, NYCHA has engaged residents, staff, city agencies, experts in smoking cessation, and others in dialogue about smoking and health. Smoke-free housing policy is fundamentally about promoting healthy living and working environments, and NYCHA will continue to work collaboratively to develop strategies and resources to educate residents about the health risks of exposure to secondhand smoke and to connect residents to cessation services for those who want to quit.

NYCHA will work to advance smoke-free implementation in alignment with other agency initiatives to achieve safe, clean, and connected communities. In any residential context smoke-free policy is an important component to healthy and sustainable housing, particularly for children, seniors, and residents of all ages with vulnerable health conditions.

ATTACHMENT D

SIGNIFICANT AMENDMENT AND SUBSTANTIAL DEVIATION OR MODIFICATION OF THE AGENCY PLAN

Criteria for Significant Amendment or Modification of the Agency Plan and/or Capital Fund Program Five-Year Action Plan:

NYCHA will amend or modify its agency plan and/or Capital Fund Program Five-Year Action Plan upon the occurrence of any of the following events during the term of an approved plan(s):

1. A change in federal law takes effect and, in the opinion of NYCHA, it creates substantial obligations or administrative burdens beyond the programs then under administration, excluding changes made necessary due to insufficient revenue, funding or appropriations, funding reallocations resulting from modifications made to the annual or five-year capital plan or due to the terms of a judicial decree.
2. Any proposed demolition, disposition, homeownership, Capital Fund financing, development or mixed-finance proposals.
3. Any Capital Fund project not already in the Five-Year Action Plan for an amount greater than \$500 million excluding projects arising out of federally declared major disasters.
4. Any other event that the Authority determines to be a significant amendment or modification of an approved annual plan and/or Capital Fund Program Five-Year Action Plan.
5. For purposes of any Rental Assistance Demonstration (“RAD”) project, a proposed conversion of public housing units to Project Based Rental Assistance or Project Based Voucher Assistance that has not been included in an Annual Plan shall be considered a substantial deviation.

ATTACHMENT E

AGENDAS OF RESIDENT ADVISORY BOARD (RAB) MEETINGS

March 2, 2017 RAB Meeting Agenda

- **Roll Call / Introductions**
- **NYCHA's Capital Planning Program – 15 minutes**
- **FY 2017 Capital Plan & 5-Year Action Plan – 15 minutes**
- **Comments and Questions – 60 minutes**
- **Proposed Upcoming RAB Meetings**
- **Internal RAB Discussions - 30 minutes**

March 16, 2017 RAB Meeting Agenda

- **Roll Call / Introductions**
- **NYCHA's Smoke Free Housing Policy – 15 minutes**
 - **Comments and Questions – 15 minutes**
- **Real Estate Development – 30 minutes**
 - **100% Affordable Sites**
 - **Ocean Bay Retail and Community Services**
 - **Preservation of Public Housing: NYC's PACT (HUD's RAD)**
- **Comments and Questions – 60 minutes**

May 4, 2017 RAB Meeting Agenda

- **Roll Call / Introductions**
- **FY 2017 Capital Plan & 5-Year Action Plan**
- **Real Estate Development**
 - **100% Affordable Sites**
 - **Ocean Bay Retail and Community Services**
 - **Preservation of Public Housing: NYC's PACT (HUD's RAD)**
- **NYCHA's Smoke Free Housing Policy**
- **Comments and Questions**

ATTACHMENT F

CAPITAL IMPROVEMENTS

DRAFT - FY 2017 CAPITAL FUND ANNUAL STATEMENT/PERFORMANCE AND EVALUATION REPORT AND 5-YEAR ACTION PLAN

On March 2, 2017, NYCHA presented the Draft FY 2017 Capital Fund Annual Statement/Performance and Evaluation Report and 5-Year Capital Plan to the Resident Advisory Board (RAB) for its review and comments. The Annual Statement/Performance and Evaluation Report used to identify NYCHA's upcoming capital activities for the public housing developments in 2017. The 5-Year Action Plan describes NYCHA's long-term planned capital improvement projects.

NYCHA's Draft FY 2017 Capital Fund Annual Statement/Performance and Evaluation Report and 5-Year Capital Plan are included in the Amendment in Attachment B, on pages 76 through 90.

Capital Fund Five - Year Action Plan*

Part I: Summary

PHA Name	Revision No:				
	<input checked="" type="checkbox"/> Original 5-Year Plan				
Development Number and Name	Work Statement for Year 1 FFY Grant: FY17	Work Statement for Year 2 FFY Grant: FY18	Work Statement for Year 3 FFY Grant: FY19	Work Statement for Year 4 FFY Grant: FY20	Work Statement for Year 5* FFY Grant: FY21
Physical Improvements	224,649,252	229,051,036	233,649,467	233,888,517	216,400,038
Management Improvements	5,526,384	3,889,860	3,418,795	3,397,095	1,780,530
PHA-Wide Non-dwelling Structures and Equipment	9,483,252	8,217,992	4,090,626	3,873,276	3,978,320
Administration	0	0	0	0	0
Other	1,500,000	0	0	0	19,000,000
Operations	4,697,200	4,697,200	4,697,200	4,697,200	4,697,200
Demolition	0	0	0	0	0
Development	0	0	0	0	0
Capital Fund Financing - Debt Service	60,500,000	60,500,000	60,500,000	60,500,000	60,500,000
Total CFP Funds	306,356,088	306,356,088	306,356,088	306,356,088	306,356,088
Total Non-CFP Funds	0	0	0	0	0
Grand Total	306,356,088	306,356,088	306,356,088	306,356,088	306,356,088

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Programs

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No.: 2577-0226
 Expires on 4/30/2011

Part I: Summary		Part I: Summary		FFY of Grant:	
PHA Name:		Grant Type and Number		FFY_2017	
New York City Housing Authority		Capital Fund Program Grant No: NY36P00550117		FFY of Grant Approval:	
Date of CFFP:		Reserve for Disasters/ Emergencies		FFY_2017	
Type of Grant	Original Annual Statement Performance and Evaluation for Period Ending:	Total Estimated Cost	Total Estimated Cost	Revised Annual Statement (revision no:) Final Performance and Evaluation Report	
Line	Summary by Development Account	Original	Revised	Obligated	Expended
1	Total non-CFP Funds	0.00	0.00	0.00	0.00
2	1406 OPERATIONS TOTAL	4,697,200.00	0.00	0.00	0.00
3	1408 MGMT IMPROVEMENT PROGRAMS TOTAL	5,526,384.00	0.00	0.00	0.00
4	1410 ADMINISTRATIVE SALARIES TOTAL	0.00	0.00	0.00	0.00
7	1430 FEES AND COSTS TOTAL	8,054,760.00	0.00	0.00	0.00
8	1440 SITE ACQUISITION TOTAL	0.00	0.00	0.00	0.00
9	1450 SITE IMPROVEMENT TOTAL	0.00	0.00	0.00	0.00
10	1460 DWELLING STRUCTURES TOTAL	216,594,492.00	0.00	0.00	0.00
11	1465.1 DWELLING EQUIPMENT TOTAL	1,500,000.00	0.00	0.00	0.00
12	1470 NONDWELLING STRUCTURES TOTAL	250,000.00	0.00	0.00	0.00
13	1475 NONDWELLING EQUIPMENT TOTAL	9,233,252.00	0.00	0.00	0.00
14	1485 ABATEMENT TOTAL	0.00	0.00	0.00	0.00
16	1495.1 RELOCATION COSTS TOTAL	0.00	0.00	0.00	0.00
17	1499 DEVELOPMENT ACTIVITY TOTAL	0.00	0.00	0.00	0.00
??	1500 FY 94 and Prior Yr. Grant Total	0.00	0.00	0.00	0.00
18a	1501 COLLATERALIZATION OR DEBT TOTAL	0.00	0.00	0.00	0.00
18b	9000 DEBT RESERVES TOTAL	0.00	0.00	0.00	0.00
18c	9001 BOND DEBT OBLIGATION TOTAL	60,500,000.00	0.00	0.00	0.00
19	1502 CONTINGENCY TOTAL	0.00	0.00	0.00	0.00
19	1503 RAD TOTAL	0.00	0.00	0.00	0.00

Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Smith
 07-26-2017

Annual Statement/Performance and Evaluation Report
 Capital Fund Program, Capital Fund Program Replacement Housing Factor and
 Capital Fund Financing Programs

U.S. Department of Housing and Urban Development
 Office of Public and Indian Housing
 OMB No.: 2577-0226
 Expires on 4/30/2011

Part I: Summary		Part I: Summary	
PHA Name: New York City Housing Authority		Grant Type and Number Capital Fund Program Grant No: NY36F00550117	Replacement Housing Factor Grant No: FFY, 2017
Type of Grant Original Annual Statement		Date of CFFP:	FFY of Grant Approval: FFY, 2017
Performance and Evaluation for Period Ending:		Revised Annual Statement (revision no:)	
Summary by Development Account		Final Performance and Evaluation Report	
Line	Total Estimated Cost	Total Estimated Cost	Total Actual Cost
	Original	Revised	Obligated
20	306,356,088.00	0.00	0.00
21	0.00	0.00	0.00
22	20,000,000.00	0.00	0.00
23	0.00	0.00	0.00
24	0.00	0.00	0.00

Signature of Executive Director	Date	Signature of Public Housing Director	Date
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Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9j of the U.S. Housing Act of 1937, as amended.

Smith
07-26-2017

Part II - Supporting Panels PHA Name: New York City Housing Authority	Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No: Development Account No:	AW CF2017 NY36P00550117	CFFP (Yes/No) No.	Federal FFY of Grant		Status of Work	
				Total Estimated Cost	Total Actual Cost		
Development Number Name / PHA-Wide Activities	General Description of Major Work Categories	Quantity	Original	Revised	Funds Obligated	Funds Expended	
ALBANY (NY005010310P)	WT Brickwork Roofs PR_000304	1,486	1,000,000	0	0	0	Planned
AMSTERDAM ADDITION (NY005010220P)	WT Brickwork PR_007533	1,461	6,000,000	0	0	0	Planned
ASTORIA (NY005000260P)	WT Roofs PR_007689	1,104	1,200,000	0	0	0	Planned
ATLANTIC TERMINAL SITE 4B (NY005011630P)	WT Elevators PR_009161	1,029	150,000	0	0	0	Planned
BARUCH (NY005010600P)	WT Boilers PR_007625	2,391	10,000,000	0	0	0	Planned
BETANCES I (NY005012110P)	WT General Construction PR_006806	918	250,000	0	0	0	Planned
BETANCES IV (NY005012110P)	WT General Construction PR_006806	918	400,000	0	0	0	Planned
BOSTON ROAD PLAZA (NY005010390P)	WT Elevators PR_009162	1,501	90,000	0	0	0	Planned
BREJKELEN (NY005000560P)	WT Brickwork Roofs PR_007525	1,595	14,000,000	0	0	0	Planned
CAREY GARDENS (NY005011660P)	WT Elevators PR_006725	1,256	3,300,000	0	0	0	Planned
CONY ISLAND I (SITES 4 & 5) (NY005011700P)	WT Elevators PR_006617	1,510	2,100,000	0	0	0	Planned
DYCKMAN (NY005000410P)	WT Major Renovation PR_007685	1,167	2,000,000	0	0	0	Planned
GRANT (NY005000870P)	WT Plumbing PR_009245	1,940	300,000	0	0	0	Planned
HARLEM RIVER (NY005010030P)	WT Major Renovation PR_007682	1,251	4,000,000	0	0	0	Planned

Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9) of the U.S. Housing Act of 1937, as amended.

Part II, Supporting Pages PHA Name: New York City Housing Authority	Development Number Name / PHA-Wide Activities	General Description of Major Work Categories	Grant Type and Number Capital Fund Program Grant No. Replacement Housing Factor Grant No. Development Account No.	AW_C2017 NY39P0050117	CFPP (Yes/No) No	Federal FFY of Grant		Status of Work
						Quantity	Revised	
				Original Budget	Original	Funds Obligated	Funds Expended	
INGERSOLL (NY005000140P)				1,840				
WT_Brickwork_Roofs	PR_007606		1460 DWELLING STRUCTURES		20,000,000	0	0	Planned
JACKSON (NY005012670P)				1,711				
WT_Heating	PR_007629		1460 DWELLING STRUCTURES		3,000,000	0	0	Planned
JEFFERSON (NY005010640P)				1,730				
WT_Bathrooms	PR_009256		1460 DWELLING STRUCTURES		2,500,000	0	0	Planned
JUSTICE SOTOMAYOR (NY005010670P)				1,725				
WT_Major Renovation	PR_007288		1460 DWELLING STRUCTURES		20,400,492	0	0	Planned
MARCY (NY005000210P)				1,717				
WT_Plumbing	PR_007643		1460 DWELLING STRUCTURES		6,200,000	0	0	Planned
MITCHELL (NY005011450P)				1,829				
WT_Brickwork_Roofs	PR_007664		1460 DWELLING STRUCTURES		9,000,000	0	0	Planned
WT_Elevators	PR_009189		1460 DWELLING STRUCTURES		1,000,000	0	0	Planned
O'DWYER GARDENS (NY005011720P)				1,332				
WT_Brickwork_Roofs	PR_007457		1460 DWELLING STRUCTURES		17,500,000	0	0	Planned
PARKSIDE (NY005010470P)				1,612				
WT_Brickwork_Roofs	PR_007363		1460 DWELLING STRUCTURES		7,000,000	0	0	Planned
PATTERSON (NY005000240P)				1,791				
WT_Section 504	PR_006999		1460 DWELLING STRUCTURES		10,000,000	0	0	Planned
WT_Plumbing	PR_009246		1460 DWELLING STRUCTURES		300,000	0	0	Planned
PINK (NY005000890P)				1,500				
WT_Boilers	PR_006971		1460 DWELLING STRUCTURES		1,500,000	0	0	Planned
QUEENSBRIDGE NORTH (NY005005050P)				1,543				
WT_Brickwork_Roofs	PR_007366		1460 DWELLING STRUCTURES		1,000,000	0	0	Planned
WT_Elevators	PR_009190		1460 DWELLING STRUCTURES		1,500,000	0	0	Planned
QUEENSBRIDGE SOUTH (NY005000050P)				1,604				
WT_Brickwork_Roofs	PR_007365		1460 DWELLING STRUCTURES		1,000,000	0	0	Planned

Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9 of the U.S. Housing Act of 1937, as amended.

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Smith
07-26-2017

Part II - Supporting Pages PHA Name: New York City Housing Authority	Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No: Development/Account No:	AW_CFD2017 NY36P00550117	CFFP (Yes/No): No	Total Estimated Cost		Federal FFY of Grant		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
Development Number Name / PHA-Wide Activities		Quantity						
		Original Budget						
WT Elevators	PR_009191	1465.1 DWELLING EQUIPMENT		1,500,000	0	0	0	Planned
REHAB PROGRAM (TAFT) (NY005013170P)			608					
WT Bathrooms	PR_008628	1460 DWELLING STRUCTURES	1,526	4,000,000	0	0	0	Planned
SAINT NICHOLAS (NY005000380P)								
WT Plumbing	PR_007658	1460 DWELLING STRUCTURES	1,724	3,000,000	0	0	0	Planned
WT Brickwork, Roofs	PR_008114	1460 DWELLING STRUCTURES	1,251	500,000	0	0	0	Planned
THURGOOD MARSHALL PLAZA (NY005010030P)								
WT Roofs	PR_007278	1460 DWELLING STRUCTURES	1,494	2,904,000	0	0	0	Planned
TWO BRIDGES URA (SITE 7) (NY005010760P)								
WT Boilers	PR_006716	1460 DWELLING STRUCTURES	1,861	4,000,000	0	0	0	Planned
WALD (NY005000230P)								
WT General Construction	PR_008327	1460 DWELLING STRUCTURES	1,659	1,300,000	0	0	0	Planned
WHITMAN (NY005005140P)								
WT Brickwork, Roofs	PR_007601	1460 DWELLING STRUCTURES		15,000,000	0	0	0	Planned

Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9) of the U.S. Housing Act of 1937, as amended.

Part II. Supporting Pages PHA Name: New York City Housing Authority	Grant Type and Number Capital Fund Program Grant No: Replacement Housing Factor Grant No: Development Account No.	General Description of Major Work Categories Activities	Quantity	Total Estimated Cost		FFY 2017		Status of Work
				Original	Revised	Funds Obligated	Funds Expended	
PHA WIDE ITEM (PR_003840)	1475 NONDWELLING EQUIPMENT	VT IT Hardware and Software		82,800	0	0	0	Planned
PHA WIDE ITEM (PR_003849)	1475 NONDWELLING EQUIPMENT	VT IT Hardware and Software		82,800	0	0	0	Planned
PHA WIDE ITEM (PR_004178)	1475 NONDWELLING EQUIPMENT	VT A and E		1,000,000	0	0	0	Planned
PHA WIDE ITEM (PR_005568)	1475 NONDWELLING EQUIPMENT	VT IT Hardware and Software		1,000,000	0	0	0	Planned
	1430 FEES AND COSTS			7,500,000	0	0	0	Planned
	1475 NONDWELLING EQUIPMENT			238,722	0	0	0	Planned
	1475 NONDWELLING EQUIPMENT			238,722	0	0	0	Planned
	1475 NONDWELLING EQUIPMENT			350,000	0	0	0	Planned
	1475 NONDWELLING EQUIPMENT			350,000	0	0	0	Planned
	1475 NONDWELLING EQUIPMENT			621,000	0	0	0	Planned
	1475 NONDWELLING EQUIPMENT			621,000	0	0	0	Planned
	9001 BOND DEBT OBLIGATION			60,500,000	0	0	0	Planned
	1430 FEES AND COSTS			207,000	0	0	0	Planned
	1430 FEES AND COSTS			207,000	0	0	0	Planned
	1408 MGMT IMPROVEMENT PROGRAMS			700,000	0	0	0	Planned
	1408 MGMT IMPROVEMENT PROGRAMS			700,000	0	0	0	Planned
	1406 OPERATIONS			4,697,200	0	0	0	Planned
	1408 MGMT IMPROVEMENT PROGRAMS			1,000,000	0	0	0	Planned
	1408 MGMT IMPROVEMENT PROGRAMS			1,000,000	0	0	0	Planned
	1430 FEES AND COSTS			269,100	0	0	0	Planned
	1430 FEES AND COSTS			269,100	0	0	0	Planned

Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9 of the U.S. Housing Act of 1937, as amended.

Part II Supporting Pages		Grant Type and Number		Federal FFY of Grant		Status of Work				
PHA Name: New York City Housing Authority	Development Number Name / PHA-Wide Activities	Capital Fund Program Grant No. / Replacement Housing Factor Grant No. / Development Account No.	AW_CF2017 / NY38P0050117 / No	CFFP (Yes/No)	Total Estimated Cost	Original	Revised	Total Actual Cost	Funds Expended	FFY, 2017
PHA WIDE ITEM (PR_007126)	WT_IT Hardware and Software	1408 MGMT IMPROVEMENT PROGRAMS	1,242,000		0	0	0	0	0	Planned
PHA WIDE ITEM (PR_007430)	WT_IT Hardware and Software	1408 MGMT IMPROVEMENT PROGRAMS	1,242,000		0	0	0	0	0	Planned
		1475 NONDWELLING EQUIPMENT	103,500		0	0	0	0	0	Planned
		1475 NONDWELLING EQUIPMENT	103,500		0	0	0	0	0	Planned
PHA WIDE ITEM (PR_007716)	WT_IT Hardware and Software	1408 MGMT IMPROVEMENT PROGRAMS	335,500		0	0	0	0	0	Planned
		1408 MGMT IMPROVEMENT PROGRAMS	335,500		0	0	0	0	0	Planned
		1475 NONDWELLING EQUIPMENT	2,475,000		0	0	0	0	0	Planned
		1475 NONDWELLING EQUIPMENT	2,475,000		0	0	0	0	0	Planned
PHA WIDE ITEM (PR_008099)	WT_General Construction	1460 DWELLING STRUCTURES	5,000,000		0	0	0	0	0	Planned
PHA WIDE ITEM (PR_008171)	WT_IT Hardware and Software	1475 NONDWELLING EQUIPMENT	396,000		0	0	0	0	0	Planned
		1475 NONDWELLING EQUIPMENT	396,000		0	0	0	0	0	Planned
PHA WIDE ITEM (PR_008174)	WT_IT Hardware and Software	1475 NONDWELLING EQUIPMENT	3,500,000		0	0	0	0	0	Planned
		1475 NONDWELLING EQUIPMENT	3,500,000		0	0	0	0	0	Planned
PHA WIDE ITEM (PR_008178)	WT_IT Hardware and Software	1430 FEES AND COSTS	78,660		0	0	0	0	0	Planned
		1430 FEES AND COSTS	78,660		0	0	0	0	0	Planned
PHA WIDE ITEM (PR_008179)	WT_IT Hardware and Software	1408 MGMT IMPROVEMENT PROGRAMS	225,000		0	0	0	0	0	Planned
		1408 MGMT IMPROVEMENT PROGRAMS	225,000		0	0	0	0	0	Planned
PHA WIDE ITEM (PR_008183)	WT_IT Hardware and Software	1408 MGMT IMPROVEMENT PROGRAMS	1,803,384		0	0	0	0	0	Planned
		1408 MGMT IMPROVEMENT PROGRAMS	1,803,384		0	0	0	0	0	Planned
PHA WIDE ITEM (PR_008376)	WT_Heating	1460 DWELLING STRUCTURES	1,400,000		0	0	0	0	0	Planned
PHA WIDE ITEM (PR_008581)	WT_IT Hardware and Software	1408 MGMT IMPROVEMENT PROGRAMS	220,500		0	0	0	0	0	Planned

Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9) of the U.S. Housing Act of 1937, as amended.

Part II - Supporting Pages		Grant Type and Number		Federal FFY of Grant		
PHA Name: New York City Housing Authority		AW_CF2017 N136F00550117		FFY 2017		
Development Number Name / PHA-Wide Activities		Replacement Housing Factor Grant No		Status of Work		
General Description of Major Work Categories		Development Account No		FFY 2017		
		Quantity	Total Estimated Cost	Funds Obligated	Funds Expended	
			Original	Revised		
PHA WIDE ITEM (PR_008585)	WT_Plumbing	1408 MGMT IMPROVEMENT PROGRAMS	220,500	0	0	Planned
PHA WIDE ITEM (PR_008655)	WT_Heating	1460 DWELLING STRUCTURES	2,600,000	0	0	Planned
PHA WIDE ITEM (PR_008657)	WT_Fire Safety	1460 DWELLING STRUCTURES	2,000,000	0	0	Planned
PHA WIDE ITEM (PR_008799)	WT_General Construction	1460 DWELLING STRUCTURES	3,500,000	0	0	Planned
PHA WIDE ITEM (PR_008884)	WT_IT Hardware and Software	1470 NONDWELLING STRUCTURES	250,000	0	0	Planned
PHA WIDE ITEM (PR_008886)	WT_IT Hardware and Software	1475 NONDWELLING EQUIPMENT	75,000	0	0	Planned
PHA WIDE ITEM (PR_008982)	WT_Garbage Disposal	1475 NONDWELLING EQUIPMENT	391,230	0	0	Planned
PHA WIDE ITEM (PR_008983)	WT_Garbage Disposal	1460 DWELLING STRUCTURES	1,000,000	0	0	Planned
PHA WIDE ITEM (PR_008985)	WT_Garbage Disposal	1460 DWELLING STRUCTURES	1,500,000	0	0	Planned
PHA WIDE ITEM (PR_008990)	WT_Heating	1460 DWELLING STRUCTURES	1,200,000	0	0	Planned
PHA WIDE ITEM (PR_008992)	WT_Plumbing	1460 DWELLING STRUCTURES	1,000,000	0	0	Planned
PHA WIDE ITEM (PR_009249)	WT_Plumbing	1460 DWELLING STRUCTURES	5,000,000	0	0	Planned
PHA WIDE ITEM (PR_009250)	WT_Plumbing	1460 DWELLING STRUCTURES	2,500,000	0	0	Planned
PHA WIDE ITEM (PR_009257)	WT_General Construction	1460 DWELLING STRUCTURES	7,500,000	0	0	Planned
			5,000,000	0	0	
Award Total			306,356,088	0	0	

Obligation and expenditure end dated can only be revised with HUD approval pursuant to Section 9) of the U.S. Housing Act of 1937, as amended.

Capital Fund Five - Year Action Plan*

Part I: Summary

PHA Name

New York City Housing Authority

X Original 5-Year Plan

Revision No:

Development Number / Name / HA-Wide	Work Statement for Year 1 (See Annual Statement)	Work Statement for Year 2 FFY Grant: FY18 PHA FY: FY18	Work Statement for Year 3 FFY Grant: FY19 PHA FY: FY19	Work Statement for Year 4 FFY Grant: FY20 PHA FY: FY20	Work Statement for Year 5 FFY Grant: FY21 PHA FY: FY21
ATLANTIC TERMINAL SITE 4B (NY005011630P)		1,600,000	0	0	0
BOSTON ROAD PLAZA (NY005010390P)		900,000	0	0	0
BREUKELLEN (NY005000560P)		45,000,000	31,000,000	50,000	0
CLASON POINT GARDENS (NY005012800P)		8,500,000	0	0	0
CONEY ISLAND I (SITE 1B) (NY005011660P)		1,800,000	0	0	0
DYCKMAN (NY005000410P)		2,500,000	15,000,000	10,000,000	0
EDENWALD (NY005000570P)		0	200,000	0	4,500,000
GOWANUS (NY005000250P)		1,500,000	10,000,000	0	0
GRANT (NY005000870P)		8,200,000	0	0	0
HARLEM RIVER (NY005010030P)		1,200,000	35,500,000	22,000,000	0
INGERSOLL (NY005000140P)		20,000,000	0	0	0
JACKSON (NY005012670P)		0	600,000	5,500,000	0
JEFFERSON (NY005010640P)		0	20,000,000	20,000,000	0
JUSTICE SOTOMAYOR (NY005010670P)		36,187,676	20,782,607	16,197,448	43,302,147
MARCY (NY005000210P)		1,000,000	18,000,000	0	0
MCKINLEY (NY005000590P)		0	800,000	5,000,000	0
MITCHEL (NY005011450P)		10,000,000	0	20,000,000	25,000,000
PATTERSON (NY005000240P)		11,600,000	16,050,000	39,000,000	23,000,000

*Year five of this Five Year Plan submission is based on the last year of NYCHA's current Board Approved FY2016 Five Year Capital Plan. Subsequent Board Approved Capital Plans will provide updated information on planned projects.

Capital Fund Five - Year Action Plan*

Part I: Summary

PHA Name

X Original 5-Year Plan

New York City Housing Authority

Revision No:

Development Number / Name / HA-Wide	Work Statement for Year 1 (See Annual Statement)	Work Statement for Year 2 FFY Grant: FY18 PHA FY: FY18	Work Statement for Year 3 FFY Grant: FY19 PHA FY: FY19	Work Statement for Year 4 FFY Grant: FY20 PHA FY: FY20	Work Statement for Year 5 FFY Grant: FY21 PHA FY: FY21
PELHAM PARKWAY (NY005010390P)		17,000,000	0	0	0
PINK (NY005000890P)		10,000,000	0	0	0
POLO GROUNDS TOWER (NY005001490P)		600,000	8,000,000	0	0
POMONOK (NY005000530P)		3,000,000	50,000	27,500,000	27,500,000
QUEENSBRIDGE NORTH (NY005005050P)		0	19,000,000	0	0
QUEENSBRIDGE SOUTH (NY005000050P)		0	0	0	19,000,000
SOUTH JAMAICA I (NY005010080P)		0	50,000	0	0
SOUTH JAMAICA II (NY005010080P)		0	50,000	0	0
TAFT (NY005010970P)		600,000	0	6,300,000	0
THROGGS NECK (NY005010630P)		0	0	15,000,000	30,000,000
TILDEN (NY005000720P)		800,000	0	5,219,109	0
UNITY PLAZA (SITES 4,5A,6,7,9,11,12,27) (NY005012610P)		600,000	0	6,000,000	0
VAN DYKE I (NY005000610P)		0	0	0	1,500,000
WAGNER (NY005010740P)		0	3,000,000	0	24,500,000
WHITMAN (NY005005140P)		10,000,000	0	0	0
PHA WIDE ITEM - WT_A and E		250,000	250,000	250,000	0
PHA WIDE ITEM - WT_Heating		4,400,000	4,400,000	4,400,000	4,400,000
PHA WIDE ITEM - WT_Plumbing		16,600,000	16,600,000	16,600,000	16,600,000

*Year five of this Five Year Plan submission is based on the last year of NYCHA's current Board Approved FY2016 Five Year Capital Plan. Subsequent Board Approved Capital Plans will provide updated information on planned projects.

Capital Fund Five - Year Action Plan*					
Part I: Summary					
PHA Name		Revision No:			
New York City Housing Authority		X Original 5-Year Plan			
Development Number / Name / HA-Wide	Work Statement for Year 1 (See Annual Statement)	Work Statement for Year 2 FFY Grant: FY18 PHA FY: FY18	Work Statement for Year 3 FFY Grant: FY19 PHA FY: FY19	Work Statement for Year 4 FFY Grant: FY20 PHA FY: FY20	Work Statement for Year 5 FFY Grant: FY21 PHA FY: FY21
PHA WIDE ITEM - WT_IT_Hardware and Software	12,371,212	7,876,281	7,492,331	5,715,850	
PHA WIDE ITEM - WT_Fire Safety	3,500,000	2,500,000	2,500,000	2,500,000	2,500,000
PHA WIDE ITEM - WT_Garbage Disposal	3,700,000	3,700,000	4,400,000	6,890,891	
PHA WIDE ITEM - WT_Debt Service	60,500,000	60,500,000	60,500,000	60,500,000	60,500,000
PHA WIDE ITEM - WT_Reimb To Operate	4,697,200	4,697,200	4,697,200	4,697,200	4,697,200
PHA WIDE ITEM - WT_General Construction	7,750,000	7,750,000	7,750,000	7,750,000	6,750,000
TOTALS	306,356,088	306,356,088	306,356,088	306,356,088	306,356,088

*Year five of this Five Year Plan submission is based on the last year of NYCHA's current Board Approved FY2016 Five Year Capital Plan. Subsequent Board Approved Capital Plans will provide updated information on planned projects.

Capital Fund Program Five-Year Action Plan*
Part II: Supporting Pages -- Work Activities

Development Number/Name/HA-Wide	Activities for	Activities for Year 2	Activities for Year 3	Activities for Year 4	Activities for Year 5
	Year 1 (See Annual Statement)	FFY Grant: FY18 PHA FY: FY18	FFY Grant: FY19 PHA FY: FY19	FFY Grant: FY20 PHA FY: FY20	FFY Grant: FY21 PHA FY: FY21
ATLANTIC TERMINAL SITE 4B (NY005011630P) WT_Elevators		1,600,000	0	0	0
BOSTON ROAD PLAZA (NY005010390P) WT_Elevators		900,000	0	0	0
BREUKELLEN (NY005000560P) WT_Boilers		0	0	50,000	0
WT_Bathrooms		31,000,000	31,000,000	0	0
WT_Brickwork_Roofs		14,000,000	0	0	0
CLASON POINT GARDENS (NY005012800P) WT_Heating		8,500,000	0	0	0
CONEY ISLAND I (SITE 1B) (NY005011660P) WT_Elevators		1,800,000	0	0	0
DYCKMAN (NY005000410P) WT_Major Renovation		2,500,000	15,000,000	10,000,000	0
EDENWALD (NY005000570P) WT_Roofs		0	200,000	0	4,500,000
GOWANUS (NY005000250P) WT_Boilers		1,500,000	10,000,000	0	0
GRANT (NY005000870P) WT_Plumbing		8,200,000	0	0	0
HARLEM RIVER (NY005010030P) WT_Plumbing		1,200,000	13,500,000	0	0
WT_Major Renovation		0	22,000,000	22,000,000	0
INGERSOLL (NY005000140P) WT_Brickwork_Roofs		20,000,000	0	0	0
JACKSON (NY005012670P) WT_Boilers		0	600,000	5,500,000	0
JEFFERSON (NY005010640P) WT_Bathrooms		0	20,000,000	20,000,000	0
JUSTICE SOTOMAYOR (NY005010670P) WT_Major Renovation		36,187,676	20,782,607	16,197,448	43,302,147
MARCY (NY005000210P) WT_Boilers		1,000,000	18,000,000	0	0
MCKINLEY (NY005000590P) WT_Boilers		0	800,000	5,000,000	0
MITCHEL (NY005011450P) WT_Elevators		10,000,000	0	0	0
WT_Brickwork_Roofs		0	0	20,000,000	25,000,000
PATTERSON (NY005000240P) WT_Boilers		0	50,000	0	0
WT_Plumbing		7,600,000	0	0	0
WT_Bathrooms		2,500,000	0	23,000,000	23,000,000
WT_Brickwork_Roofs		1,500,000	16,000,000	16,000,000	0

*Year five of this Five Year Plan submission is based on the last year of NY State Board of Capital Planning and Approval's 2016 Five Year Capital Plan. Subsequent Board Approved Capital Plans will provide updated information on planned projects.

Capital Fund Program Five-Year Action Plan*
Part II: Supporting Pages -- Work Activities

Development Number/Name/HA-Wide	Activities for				
	Year 1 (See Annual Statement)	Year 2 FFY Grant: FY18 PHA FY: FY18	Year 3 FFY Grant: FY19 PHA FY: FY19	Year 4 FFY Grant: FY20 PHA FY: FY20	Year 5 FFY Grant: FY21 PHA FY: FY21
PELHAM PARKWAY (NY005010390P)	WT_Boilers	17,000,000	0	0	0
PINK (NY005000890P)	WT_Boilers	10,000,000	0	0	0
POLO GROUNDS TOWER (NY005001490P)	WT_Plumbing	600,000	8,000,000	0	0
POMONOK (NY005000530P)	WT_Boilers	0	50,000	0	0
	WT_Bathrooms	3,000,000	0	27,500,000	27,500,000
QUEENSBRIDGE NORTH (NY005005050P)	WT_Elevators	0	19,000,000	0	0
QUEENSBRIDGE SOUTH (NY0050000050P)	WT_Elevators	0	0	0	19,000,000
SOUTH JAMAICA I (NY005010080P)	WT_Boilers	0	50,000	0	0
SOUTH JAMAICA II (NY005010080P)	WT_Boilers	0	50,000	0	0
TAFT (NY005010970P)	WT_Heating	600,000	0	6,300,000	0
THROGGS NECK (NY005010630P)	WT_Brickwork_Roofs	0	0	15,000,000	30,000,000
TILDEN (NY005000720P)	WT_Boilers	800,000	0	5,219,109	0
UNITY PLAZA (SITES 4,5A,6,7,9,11,12,27) (NY005012610P)	WT_Elevators	600,000	0	6,000,000	0
VAN DYKE I (NY005000610P)	WT_Brickwork_Roofs	0	0	0	1,500,000
WAGNER (NY005010740P)	WT_Bathrooms	0	3,000,000	0	24,500,000
WHITMAN (NY005005140P)	WT_Brickwork_Roofs	10,000,000	0	0	0
PHA WIDE ITEM	WT_A and E	250,000	250,000	250,000	0
	WT_Heating	4,400,000	4,400,000	4,400,000	4,400,000
	WT_Plumbing	16,600,000	16,600,000	16,600,000	16,600,000
	WT_IT Hardware and Software	12,371,212	7,876,281	7,492,331	5,715,850
	WT_Fire Safety	3,500,000	2,500,000	2,500,000	2,500,000
	WT_Garbage Disposal	3,700,000	3,700,000	4,400,000	6,890,891
	WT_Debt Service	60,500,000	60,500,000	60,500,000	60,500,000
	WT_Reimb To Operate	4,697,200	4,697,200	4,697,200	4,697,200
	WT_General Construction	7,750,000	7,750,000	7,750,000	6,750,000

*Year five of this Five Year Plan submission is based on the last year of NYCHA's current Board Approved FY2016 Five Year Capital Plan. Subsequent Board Approved Capital Plans will provide updated information on planned projects.

Capital Fund Program Five-Year Action Plan*
 Part II: Supporting Pages -- Work Activities

Development Number/Name/HA-Wide	Activities for Year 1 Year 1 (See Annual Statement)	Activities for Year 2 FFY Grant: FY18 PHA FY: FY18	Activities for Year 3 FFY Grant: FY19 PHA FY: FY19	Activities for Year 4 FFY Grant: FY20 PHA FY: FY20	Activities for Year 5 FFY Grant: FY21 PHA FY: FY21 PHA FY: FY21
TOTAL		306,356,088	306,356,088	306,356,088	306,356,088

*Year five of this Five Year Plan submission is based on the last year of NYCHA's current Board Approved FY2016 Five Year Capital Plan. Subsequent Board Approved Capital Plans will provide updated information on planned projects.

ATTACHMENT G

COMMENTS FROM THE RESIDENT ADVISORY BOARD (“RAB”) MEMBERS

1. Smoke Free Housing Policy – Please see Attachment C on page 71 of this Amendment for NYCHA’s Smoke Free Housing Statement

- The HUD smoking regulation is taking away NYCHA residents’ civil liberties and the regulation should apply to all residents in subsidized housing, rather than only public housing residents.

NYCHA is required to implement HUD regulations on smoke-free public housing. In the HUD Guidebook, Implementing HUD’s Smoke-Free Policy in Public Housing (“HUD Guidebook”), p. 2, available at https://portal.hud.gov/hudportal/documents/huddoc?id=smokefree_guidebk.pdf, HUD explains that smoke-free policies are legal. They do not violate residents’ privacy rights and do not discriminate against residents who smoke. Instead, the focus is on smoking as a public health issue. Smoke-free policies are not discriminatory because they do not prohibit smokers from living in public housing. Instead, they set rules for activities permitted on public housing property. The focus is on the smoke, not the smoker. See also the Federal Register notice announcing the new smoke-free regulations, 81 Federal Register, pp. 87434, 87440 (Dec. 5, 2016), which is available here: <https://www.federalregister.gov/documents/2016/12/05/2016-28986/instituting-smoke-free-public-housing>.

- It is unfair and discriminatory to say that NYCHA residents have higher exposure to secondhand smoke than people living outside of public housing.

HUD has stated that the smoke-free regulations are “an outgrowth of many years of research on the harms and costs associated with smoking. . . . HUD recognizes that additional action is necessary to truly eliminate the risk of SHS [secondhand smoke] exposure to public housing residents, reduce the risk of catastrophic fires, lower overall maintenance costs, and implement uniform requirements to ensure that all public housing residents are equally protected.” 81 Federal Register, p. 87432 (Dec. 5, 2016). HUD further explains that the smoke-free policy is not being used as a punishment, but instead will benefit many residents, especially those who are most vulnerable (children, elderly persons, and persons with disabilities). See 81 Federal Register, p. 87440.

NYCHA has been working with the NYC Department of Health and Mental Hygiene (DOHMH) and other partners in recent years to learn more about the health of public housing residents. The purpose of securing information on the health of public housing residents is to develop and advance strategies to connect residents to preventive health resources and create healthier indoor environments. Multiple sources of data suggest that public housing residents, including children, have a higher level of exposure to secondhand smoke than NYC residents living in other types of housing.

- NYCHA should explore ways to incentivize residents to stop smoking through innovative collaborations with community partners.

NYCHA is committed to working with partners and residents to expand access to resources that help smokers who want to quit. This commitment was established in 2016 in the NextGeneration NYCHA Sustainability Agenda (<http://www1.nyc.gov/site/nycha/about/sustainability.page>).

- If data shows that 70% of NYCHA residents currently do not smoke, NYCHA should not focus on trying to stop the remaining 30% of residents from smoking and instead focus on other priorities that affect resident's health, including mold, mildew, and broken pipes.

The goal of the HUD rule is to improve indoor air quality by requiring residents who smoke to do so outside. NYCHA is actively engaged in work to address other healthy housing priorities such as mold and mildew and sources of moisture. NYCHA is committed to advancing many healthy housing priorities. HUD requires NYCHA, and all other housing authorities, to adhere to the smoke-free regulations, and NYCHA is working closely with residents and partners to develop a policy and implementation plan.

- NYCHA needs to explain how the no-smoking ban will be enforced in NYCHA's buildings and on NYCHA's campuses.

NYCHA is developing a policy about enforcement of the smoke-free requirements. Consistent with HUD guidance, NYCHA enforcement will be graduated and will include escalated warnings with specific, progressive enforcement actions before any termination of tenancy action is taken. Under the graduated enforcement policy, residents will receive educational materials as well as smoking cessation resources or referrals.

Over the next few months, NYCHA will engage residents, city agencies, experts in smoking cessation, and others to develop strategies and resources to educate residents about the health risks of exposure to secondhand smoke, to expand access to cessation services for smokers who want to quit, and to elicit recommendations about developing NYCHA's smoke-free policy.

- NYCHA needs to detail how the no-smoking policy will be enforced if NYCHA says that they will not be evicting residents who do not comply with the policy.

As required by HUD regulations, NYCHA is developing an enforcement policy and language about the smoke-free policy to be included in the public housing lease. NYCHA will not take action to terminate a tenancy based on a violation of the smoke-free policy unless there are continued violations following educational efforts and written warnings. This is consistent with HUD's guidance to housing authorities to develop a graduated enforcement policy.

- If NYCHA enacts this policy, it feels like NYCHA is asking residents to report on their neighbors' behavior and seems like NYCHA is overstepping personal boundaries.

NYCHA is seeking to develop an implementation plan that facilitates residents supporting the health of their family members and neighbors. Residents will not be required to report on their neighbors' behavior, but may report smoking in prohibited areas if they wish.

- NYCHA needs to explain what will happen to NYCHA employees that smoke on NYCHA campuses once the no-smoking policy is in effect.

Like residents, NYCHA employees will not be allowed to smoke in areas covered by the rule, including within administrative and residential buildings and within a 25 foot perimeter of buildings. Residents and employees are already prohibited from smoking in management offices and in common areas of NYCHA developments, such as elevators, lobbies, and hallways.

- NYCHA should install proper ventilation systems to help mitigate the impacts of secondhand smoke in the buildings.

NYCHA agrees that upgrading ventilation systems is one of many needs of our aging housing stock. NYCHA will continue to seek new resources for maintenance, repair, and capital upgrades to secure our public housing resources for the next generation of New Yorkers.

However, as HUD explains, the best way to help mitigate the impacts of secondhand smoke is to adopt a smoke-free policy: "Secondhand smoke flows between units through air filtration systems and other means. It cannot be contained. Multifamily buildings share air ducts or vents, which means a lit cigarette in one unit can easily transmit tobacco smoke into another unit. Even in modern buildings designed to minimize air transfer among units, there is no way to guarantee that smoke will not be blown from unit to unit through open windows. A recent public housing study identified movement of smoke among units and evidence of improved air quality in buildings with smoke-free policies." See HUD Guidebook, p. 5.

- NYCHA needs to explain how they will measure 25 feet from NYCHA building entrances and if NYCHA will create a designated place on NYCHA grounds for smokers.

NYCHA does not have funding to create designated smoking area structures. NYCHA will work with residents and partners to determine the best way to indicate where smoking is prohibited.

- NYCHA should create a designated place for smoking on NYCHA grounds that has clear signage and has a designated place to extinguish cigarettes.

NYCHA will take this under advisement, and will explore possible options for extinguishing cigarettes in a clean and healthy way.

- NYCHA should explain if medicinal marijuana is banned under HUD's smoking regulation.

The HUD Guidebook, p. 36, addresses this issue as follows: "The PHA is still subject to the federal regulations regarding marijuana. Federal regulations still classify all forms of marijuana as a Schedule

I substance, even if state law permits it. Smoking marijuana is grounds for a PHA to deny housing or terminate a tenancy.”

- NYCHA needs to detail how many NYCHA residents were surveyed to determine how many NYCHA residents do or do not smoke and how many residents were surveyed to determine the health impacts of secondhand smoke for NYCHA residents.

The NYCHA Clean Air Survey was administered in 2012 to a random sample of 1,209 NYCHA residents age 18 and over. NYCHA residents are also surveyed as part of the New York City Department of Health’s Community Health Survey which is conducted on an annual basis. NYCHA looks forward to presenting additional data on the health of residents for discussion with the RAB in the coming year.

- NYCHA needs to explain how NYCHA will work with the NYPD in regards to the smoking regulation and if people will be arrested for violating the no-smoking policy.

The smoke-free policy will be enforced as a civil and not a criminal matter. Arrest will not be a consequence, and NYCHA will be responsible for enforcement, not NYPD. The primary goals of the HUD regulations are to improve indoor air quality and public health.

- NYCHA should fix issues in apartments caused by mold and lead paint before implementing a no smoking policy.

NYCHA absolutely agrees there are multiple priority healthy housing topics. NYCHA is actively engaged in implementation of the NextGeneration NYCHA Sustainability Agenda commitments to create healthier indoor environments, including the commitment to implement a comprehensive mold response initiative through the Mold Busters pilot program and related work.

- NYCHA needs to explain when and where meetings have been held about the no smoking policy to date.

So far this year, there were nine community meetings held at community centers, one meeting in each COP district. These meetings were not a formal part of the Annual Plan process, but were designed to support NYCHA’s early engagement of residents across the City in discussions about smoking and health. NYCHA co-facilitated each meeting with the NYC Department of Health and gained valuable input from participating residents. The meeting schedule was as follows:

March 29 – Staten Island

March 30 – Queens

April 4 – Manhattan South

April 6 – Bronx North

April 11 – Brooklyn East

April 12 – Brooklyn South

April 19– Manhattan North

May 23 – Bronx South (rescheduled)

May 25 – Brooklyn West

- NYCHA should construct new areas on NYCHA campuses for residents to smoke in once the smoking regulation is in effect.

HUD has provided no funding for the implementation of the smoke-free regulations. At present, NYCHA does not have funding to construct smoking areas on NYCHA campuses.

- What will happen to designated smoking areas on developments that are too small to have a 25 foot perimeter from the building? NYCHA should create a committee at each development to help determine where designated smoking areas should be and to keep residents informed.

NYCHA will engage with residents at each development through development-specific meetings starting in the fall 2017 on the smoke-free regulations.

- NYCHA should improve the ventilation in NYCHA buildings to improve air quality instead of implementing the no-smoking policy.

HUD regulations require NYCHA to implement a smoke-free policy and lease provisions. NYCHA agrees that ventilation system upgrades is one of many needs of our aging housing stock. NYCHA will continue to seek new resources for the maintenance and repair and capital upgrades needed to secure our public housing resources for the next generation of New Yorkers. As HUD observes in the HUD Guidebook (see above), the most effective way to improve indoor air quality with respect to secondhand smoke is to adopt a smoke-free policy.

- NYCHA needs to explain where and when meetings will be held in the future to discuss the implementation of the no smoking policy.

In the fall of 2017, NYCHA will launch development-based meetings. There will also be additional RAB meetings to discuss the proposed policy once developed. Finally, residents will participate in the Advisory Group on Smoking and Health, which convened in June 2017. NYCHA will also advise residents about proposed lease language, and will give them an opportunity to comment.

- NYCHA needs to explain how it intends to roll out the no smoking policy when NYCHA is not getting any extra funding from HUD.

NYCHA will be working closely with the NYC Department of Health and other partners to develop strategies and resources to educate residents about the health risks of exposure to secondhand smoke and to expand access to cessation services for smokers who want to quit. NYCHA will also seek new

sources of funding to support implementation costs. NYCHA is committed to leveraging partnerships to establish healthier homes for NYC's public housing residents.

2. Real Estate Development Department Activities

- How will the RAD conversions and funds from new housing development on NYCHA's grounds work with the current Capital Plan?

The RAD program will allow for the rehabilitation of the participating developments. RAD conversions will help to address existing capital needs of converted properties. The 50/50 housing development program produces an upfront payment for NYCHA, of which a portion will go to the surrounding development and another portion will go to address capital and operating needs in other developments in the public housing portfolio.

At this time, NYCHA anticipates committing all of the upfront fees that it receives through the 100% affordable development transactions towards site improvements at those sites.

- Will the developers be required to have resident-owned businesses operating in the retail spaces of the new 100% affordable developments?

No, there is no requirement for businesses to be resident-owned in new developments that can accommodate commercial spaces. Residents are asked for their preferred commercial uses during the Community Visioning sessions. This information is included in the Request for Proposals ("RFP").

- Is Section 3 required in the RAD/PACT program?

Yes, Section 3 is a requirement of all HUD-funded programs, including RAD.

- When did HUD approve the approximately 1,700 units for RAD conversion and is HUD is still committed to these units even if the HUD budget is cut under the new administration?

HUD approved the units in January 2017 and is committed to RAD conversion of these units.

- What happens if someone living in a development that is converted to RAD does not want to participate in the RAD program?

A resident can request a transfer out of their development prior to RAD conversion, keeping in mind that transfers are very difficult due to the very low vacancy rate across the NYCHA public housing portfolio. A resident in a RAD development can apply for a choice mobility voucher after one year of residing in a converted development

- NYCHA contracts, funded by HUD, as part of an RFP or any other development activity must follow Section 3 policy. If NYCHA does not follow Section 3, any public housing resident can stop the development activity by filing a Fair Housing Act complaint with HUD.

As stated in RFPs for RAD conversions, developers will be required to meet Section 3 requirements for rehabilitation work performed at RAD developments.

- Will the newly approved developments for RAD conversions come off of the NYCHA portfolio?

Once converted under RAD, the developments will come out of NYCHA's public housing portfolio and will enter NYCHA's Section 8 portfolio.

- Why is NYCHA not creating new housing for low-income residents and who is responsible for funding the new 100% affordable developments?

NYCHA anticipates creating approximately 10,000 affordable units through the 100% affordable program and a significant additional amount of affordable units through the 50/50 program. NYCHA is working with New York City's Housing Preservation and Development (HPD) Department and Housing Development Corporation (HDC) to provide funding for the 100% affordable developments.

- Who is responsible for future repairs for the new 100% affordable developments?

The developer will be responsible for all maintenance and repairs.

- What are the affordability guidelines for the new 100% affordable developments?

All new affordable housing developments will follow HPD and HDC program terms.

- How much money will NYCHA receive in return for the ground leases for the 100% affordable developments and where will that money be allocated?

NYCHA is committed to facilitating affordable housing development and strives to use its resources in the most effective ways possible. Every transaction offers unique opportunities and challenges. At this time, NYCHA anticipates committing all of the upfront fees that it receives through the 100% affordable development transactions towards site improvements at those sites.

- Is NYCHA aware of the PLA and will NYCHA abide by the 964 HUD regulation for new developments?

NYCHA is aware of the PLA and abides by the 964 regulations as applicable to public housing developments. The RAD program, as implemented through the HUD Notice, contains several provisions protecting resident participation. These provisions are also incorporated in the PACT guiding principles. For example, under the PACT guiding principles and RAD notice, residents have the right to form a Resident Organization to represent all residents in the development, which the developer/property manager must recognize. Under the PACT principles, if there is a Resident

Association already in existence prior to the RAD conversion which is 964-compliant and NYCHA-certified, the Resident Association will be recognized as the Resident Organization after conversion. In addition, under RAD, property managers must provide \$25 per occupied unit annually for resident participation, of which at least \$15 per occupied unit shall be provided to the Resident Organization. These funds must be used for resident education, organizing around tenancy issues, and training activities. Under the PACT guiding principles, the Resident Organization will decide on how to use the Resident Organization portion of Resident Participation Funds, within the uses permitted under RAD including discretion over engaging community organizations for technical assistance and education.

- How many meetings have been held with Twin Parks West about the RAD conversion? Residents and tenant association are not well informed about the conversion process.

As of April 2017, NYCHA has held two borough-wide meetings in the Bronx and one meeting at Twin Parks West to inform residents about the upcoming RAD conversion. In 2017, NYCHA will hold additional meetings at Twin Parks West and the other developments that have been approved for conversion under the RAD program. At Twin Parks West and other developments with an active tenant association, NYCHA is partnering with resident leaders to streamline the distribution of RAD information to residents. NYCHA informs the tenant association leaders of the resident engagement meetings, and NYCHA staff walks door-to-door to every single apartment in each of the RAD developments to distribute flyers announcing each upcoming meeting.

- Does the PLA apply to the RAD developments?

The PLA applies to NYCHA construction contracts. Thus, it is not applicable to non-NYCHA construction contracts for the rehabilitation of developments under the RAD conversion plan.

- Have the appropriate committees been formed and how many meetings have been held to discuss the RAD conversion process at the developments that will be converted to the RAD program?

NYCHA initiated the resident engagement process for RAD in the summer of 2016 by holding two borough-wide meetings in the Bronx, Manhattan, and Brooklyn. After gaining HUD approval for Phase I of the program, NYCHA has held two rounds of resident engagement meetings (12 in total) to discuss the conversion with affected residents. The first round of engagement focused on an introduction to RAD, and the second round centered on the Request for Proposals (RFP) process and an introduction to the Section 8 program. NYCHA plans to hold two more rounds of resident engagement meetings (12 more meetings) prior to selecting developers for Phase I.

- NYCHA needs to explain if NYCHA is following Section 3 protocol (identifying a coordinator and creating committees with the resident association) at all developments that will be undergoing a RAD conversion.

As stated in RFPs for RAD conversions, developers will be required to meet Section 3 requirements for rehabilitation work performed at RAD developments.

- NYCHA should release the complete list of all developments that will be converted to RAD program in the future.

NYCHA will engage residents before submitting an application to HUD for a RAD conversion at their development. NYCHA complies with the HUD requirement that requires NYCHA to hold two resident meetings at the very beginning of the RAD process, before the application process begins.

- NYCHA needs to do a better job of telling residents that their development is beginning the RAD conversion process.

HUD requires NYCHA to hold two resident meetings at the very beginning of the RAD process, before NYCHA can even apply to HUD to begin planning RAD. NYCHA complies with this requirement.

3. Capital Improvements

- Why has the West Brighton development never been included in any 5 year Capital Plans?

West Brighton I is part of the Bond B Program with an investment of \$8 million to replace bricks and roofs at 8 buildings. The project was completed in July 2016. The investment for this project was funded by City Council for \$3.2 million. The Governor has allocated \$100 million through the Dormitory Authority of the State of New York (DASNY) for various projects throughout NYCHA. As part of that allocation, \$800,000 has been earmarked to provide upgrades to playgrounds and benches at West Brighton I & II. In addition, in January 2017, construction began for the installation of 16 new CCTV cameras and 16 Layered Access door systems at both West Brighton I & II.

- Does NYCHA have any plans to redevelop the 25 vacant units in the West Brighton development?

NYCHA is currently exploring options for these buildings.

- Why have there have not been any capital projects, particularly grounds work, at Todt Hill and Stebbins Avenue?

In February 2017, NYCHA completed installation of 117 cameras at Todt Hill with an investment of \$1.8 million. The Borough President's office and City Council funded another project at Todt Hill for Layered Access Control installation at 7 buildings.

City Council also funded a grounds project at Stebbins-Hewitt. The project went to bid in the second quarter of 2017. The contract was approved by NYCHA's Board on June 28, 2017 and as of July 2017, the contract is awaiting Comptroller registration. The project scope includes installation of new exterior

compactors, ground improvements to play area, walkways, exterior stairs and fencing. The budget is set at \$950,000.

In addition, through Mayoral City Capital funding, NYCHA is installing thermostats in all apartments at Stebbins-Hewitt. New thermostats will allow building management to keep apartments at a consistent level of temperature, saving on energy costs for NYCHA. The contract is pending award and the budget is set at \$1.3 million.

- Why is the city council funded projects at Stebbins Ave taking a long time to come to fruition?

The original scope of work was increased by the Council Member which led to a longer design timeline. The Council Member provided additional funds and the project went to bid in the second quarter of 2017. The contract was approved by NYCHA's Board on June 28, 2017 and as of July 2017, the contract is awaiting Comptroller registration.

- The RAB would like to be involved in each step of capital projects work, including from the beginning planning stages, so that construction does not begin without resident feedback. It was also requested that NYCHA provide a clear guide on resident engagement in the capital planning process.

NYCHA's recently issued new "Design Guidelines for Rehabilitation of NYCHA's Residential Buildings" prioritizes and offers unique opportunities for residents to participate actively in the design process at the outset of the project to identify priorities and solutions. At project kick-off, designers present design proposals clearly and help residents choose options that are consistent with NextGeneration NYCHA goals of creating safe, clean and connected communities. Please see this link for more information about NYCHA's Design Guidelines:

<http://www1.nyc.gov/assets/nycha/downloads/pdf/nycha-design-guidelines.pdf>.

As part of the Resident Advisory Board (RAB) meeting on NYCHA's draft Annual Plan, NYCHA provided information on how it prioritizes work in the capital plan based on funding levels. Projects funded in the capital plan are prioritized by Capital Planning and Operations staff during quarterly meetings and based on Physical Needs Assessment (PNA) deficiencies at properties identified by teams of licensed engineers and architects and operational data including skilled trades tickets.

- Are green technologies, other than white roofs, included in the current 5-year capital plan?

NYCHA is very cognizant of green technologies and energy efficiency. NYCHA has been upgrading its domestic hot water tanks with more efficient instantaneous water heaters. On the lighting front, NYCHA has been replacing the inefficient incandescent bulbs and T-12 lamps with more efficient LED lamps. Also, NYCHA is collaborating with other partners to explore renewable energy technologies which in the long run will allow it to curb its carbon footprint.

- NYCHA should look into the roof warranties.

All NYCHA roof replacement contracts include 20 year manufacturer warranties as a standard requirement. NYCHA consults with the manufacturer for possible solutions if any roofing issues appear before the warranty period expires.

- NYCHA should provide more information about the disaster recovery funding and the FEMA money for Carey Gardens, which is a Sandy impacted development.

The Hurricane Sandy Recovery & Resiliency program is investing over \$86 million at Carey Gardens. The contract is scheduled to be bid in the third quarter of 2017. The project scope includes restoration to playground area, site restoration to sidewalks and fencing, plumbing and electrical replacement, crawl space remediation, boiler plant replacement, roof replacement, stand by generators, site lighting and CCTV & LAC installation, dry flood proofing and door/wall replacement at damaged locations on site.

- Why has NYCHA not made necessary repairs to the roof and windows at Thurgood Marshall Plaza?

As of June 2017, NYCHA is designing a \$7.8 million contract for the replacement of roofs, facades and windows at Thurgood Marshall. NYCHA anticipates that the contract will be bid within the next three months.

- Has NYCHA done a study to see how expensive it would be to mitigate mold from cinderblocks?

NYCHA is committed to mitigating mold wherever it is found and we would request that you report any mold you have noticed to the Customer Contact Center at (718) 707-7771. NYCHA has not conducted a study specific to mitigating mold from one single building component, such as cinder blocks. NYCHA is focused on identifying the underlying source of moisture in all reported instances of mold and mitigating it. This moisture can be from multiple sources such as leaks, infiltration, or shower condensation. NYCHA recently launched Mold Busters, a pilot program to fight mold at 38 developments. It empowers front line staff with the knowledge and the equipment to find and fix the source of the problem. For more information, please see: <http://www1.nyc.gov/site/nycha/about/press/pr-2017/nycha-launches-mold-busters-new-pilot-program-to-combat-mold-20170424.page>

- NYCHA needs to clarify if it is true that 20% of NYCHA's salaries are capital projects positions.

It is not true that 20% of NYCHA's salaries are in the capital projects division. To review the budgets by department for FY 2017, please visit: <http://www1.nyc.gov/assets/nycha/downloads/pdf/nycha-2017-budget-book.pdf>

- NYCHA needs to explain if there is difficulty completing work orders due to limited supplies.

NYCHA is not experiencing difficulties with having the appropriate supplies on hand to complete required work.

- Will residents living in developments that are receiving external improvements funded by FEMA as a result of damage from Hurricane Sandy also be receiving updates to their bathrooms, kitchens, and interiors in general?

The scope of work approved by FEMA is tied directly to recovery and resiliency efforts for building components damaged as a result of Hurricane Sandy. The scope does not include interior apartment renovations. The scope includes:

- *Restoration of site and playground surface areas, play structures, sidewalks and fencing damaged by Sandy*
- *New electrical room above flood elevation*
- *Full roof replacements*
- *Repair & restore architectural features(walls, floors, doors, frames & hardware) of common areas damaged by flooding*
- *Restoration of Sandy damaged portions of mechanical, electrical and plumbing systems*
- *New building to house new boiler equipment above the flood elevation*
- *Replacement of underground conduits & site lighting*
- *Upgrade CCTV and Layered Access Systems (LAC)*
- *Installation of stand-by generators to provide full back-up power*
- *Upgrade of stairwell lighting*
- *Flood proofing to protect building*

- What is the status of the \$300 million designated for roof work citywide and why does so much scaffolding remains in place?

The Mayor’s initial investment of \$300 million has begun and work was recently completed at 5 developments, with 17 additional developments being scheduled. All the developments in tranche 2 and 3 are in the design phase. In addition, the Mayor has committed another \$1 billion for replacement of deficient roofs citywide over the next 5 years. The Mayor’s total allocation of \$1.3 billion will enable NYCHA to replace more than 952 roofs at 107 developments citywide. As a requirement of Local Law 11, NYCHA must inspect buildings greater than 6 stories and inspections of buildings happen every 5 years. If brickwork deficiencies exist, NYCHA must install scaffolds on buildings and they must remain in place until Local Law 11 work is completed.

- Why were only 6 people were hired for the \$87 million roof project at Queensbridge Houses?

Please see below for details on the Section 3 hires for the two contracts at Queensbridge. The contractor is in compliance with the projected number of Section 3 hires.

Contract Number	Contract Amount	Projected # of Sec. # Hires	Actual # of Section 3 Hires
RF 1435814	\$47,570,117.37	9	17 (compliant)
RF 1435815	\$41,853,529.92	9	19 (compliant)

4. Additional Comments

- TPA funds should not be used to fund buses to attend meetings and conferences outside of New York City especially for advocacy related activities.

Out of town conferences are eligible for the use of TPA funds, and use of funds is based on the determination of the individual resident council with NYCHA approval.

- A RAB member is concerned they have not been able to meet directly with their Assembly Member and State Senator when they visit Albany to advocate for their issues.

NYCHA cannot control who an elected official chooses to meet with in Albany or in their district.

- NYCHA should not impose political views upon the RAB and expect the support of the RAB to advocate for more funding for the Authority.

As a government agency, NYCHA is a non-political entity. NYCHA does not attempt to impose political views or agendas.

- Why have the Tenant Participation Funds (TPA) decreased and are currently frozen?

TPA funds were never “frozen” and they have not decreased. NYCHA has equitably distributed the funds to each development based on the HUD formula and the number of dwelling units in each development.

- There should be an independent forensic audit for each NYCHA Development which could be funded from the interest from the TPA funds. NYCHA should provide a list of each development’s budget.

NYCHA has provided each resident association with their individual TPA budgets. Information on the budgets for individual NYCHA departments and developments is available in the Adopted Budget for FY 2017. Please see: <http://www1.nyc.gov/assets/nycha/downloads/pdf/nycha-2017-budget-book.pdf>.

- NYCHA should ask residents to turn off/unplug their appliances for at least one hour on Saturdays and Sundays to help decrease electric costs.

NYCHA is working on designing a resident outreach campaign on sustainability topics, including energy and water efficiency. To the extent that one or more Resident Green Committees wish to pursue an "electricity diet" type message, it would be a great fit for our Ideas Marketplace, a platform in development to support resident-led initiatives like this one.

- NYCHA should use resident owned businesses and Property Managers should receive training on the process.

NYCHA utilizes the services of resident owned businesses where suitable.

- NYCHA is in clear violation of Section 3 as a result of the PLA NYCHA has signed.

Section 3 is federal law and NYCHA contractors are obligated to follow Section 3. NYCHA is committed to ensuring that our residents are connected to long-term opportunities. Union apprenticeships and sponsorship can serve as an entry point to a successful career in the construction industry. NYCHA ensures that contractors adhere to Section 3 and other hiring requirements. The PLA does not replace or minimize Section 3 obligations. To the extent that the PLA affects residents' access to jobs, NYCHA works diligently with the building trades to ensure that contractors have access to qualified residents and that they comply with federal law.

- NYCHA needs to clarify if all workers on projects receiving FEMA funding have to be in unions.

The PLA applies to construction contracts with a value in excess of \$250,000 and all of the construction projects that are part of the Sandy program exceed that amount. On a limited basis, the contractors have a need to hire for positions that can be non-union, such as administrative support, cleaning, and security. NYCHA works with the contractors to connect them to qualified residents or Section 3 business concerns for those needs.

- Is NYCHA is in the process of negotiating a new PLA?

NYCHA's current PLA expires in June 2018. NYCHA is not currently negotiating a new PLA.

ATTACHMENT H

COMMENTS FROM THE PUBLIC

Smoke Free Housing Comments - Please see Attachment C on page 71 of this Amendment for NYCHA's Smoke Free Housing Statement

- NYCHA needs to create a program to help people stop smoking if NYCHA implements the no smoking policy.

NYCHA is committed to working with partners and residents to expand access to resources that help smokers who want to quit. This commitment was established in 2016 in the NextGeneration NYCHA Sustainability Agenda (<http://www1.nyc.gov/site/nycha/about/sustainability.page>) and is a major focus of the NYCHA Advisory Group on Smoking and Health, comprised of residents and partners working to help guide engagement and supportive services throughout implementation.

- NYCHA should focus on getting drugs out of NYCHA buildings instead of implementing the no smoking policy.

The HUD regulations are intended to improve indoor air quality, benefit the health of public housing residents and staff, reduce the risk of fires, and lower overall maintenance costs. NYCHA continues to collaborate with NYPD, residents and other partners to address criminal activity as NYCHA works to achieve the NextGeneration NYCHA vision of safe, clean and connected communities.

- How much money will be spent on implementing the no smoking policy?

NYCHA will be working closely with the NYC Department of Health and other partners to develop strategies and resources to educate residents about the health risks of exposure to secondhand smoke and to expand access to cessation services for smokers who want to quit. Because HUD has not provided any funding to assist in implementation of the new smoke-free regulations, NYCHA will also seek new sources of funding to support implementation costs. NYCHA is committed to leveraging partnerships to establish healthier homes for NYC's public housing residents.

- While NYCHA has no choice but to enforce the no smoking policy by law, HUD should fund any mandates that it is asking the public housing authorities to implement.

NYCHA addressed the need for funding for implementation in our formal response to the proposed rule. Under the leadership of NYCHA Chair Shola Olatoye, NYCHA and national partners are building a coalition seeking increased investment in public housing authorities as a critical public health measure.

- At what point will NYCHA evict someone for smoking in their apartment once the smoking policy is implemented?

NYCHA will develop a policy about enforcement of the smoke-free requirements. Consistent with HUD guidance, NYCHA enforcement will be graduated, and will include escalated warnings with specific,

progressive enforcement actions, while educating residents and providing smoking cessation resources or referrals.

Real Estate Development Department Activities

- A resident of Twin Parks West wants to know how the RAD conversion process will work and if people will have to live in their apartments during the restoration process.

Information about the RAD conversion process, including RAD's Guiding Principles and Frequently Asked Questions, is available here: <http://www1.nyc.gov/site/nycha/about/nycha-rad.page>. It is anticipated that all repairs can be completed with residents-in-place. If this is not possible, then residents may be temporarily relocated within or near the development pursuant to the RAD requirements.

- NYCHA needs to be more transparent about the eviction process, particularly for RAD developments.

The eviction process for RAD developments is outlined in the Residents Rights and Protections Principles which can be found on page 29 of this Amendment.

- A resident of Claremont Parkway – Franklin Avenue wants more information about the RAD conversion process.

Information about the RAD conversion process, including RAD's Guiding Principles and Frequently Asked Questions, is available here: <http://www1.nyc.gov/site/nycha/about/nycha-rad.page>

- NYCHA needs to explain why as of May 2017, three residents have been offered FHA homes yet have not received them.

NYCHA cannot answer this question without knowing the addresses of the particular homes. NYCHA is working with the residents who are participating in the 5(h) Project HOME Homeownership Plan to satisfy HUD's requirements for homeownership and convey the home to the resident.

- NYCHA needs to explain how the FHA home lottery works.

The two current not-for-profit developers of the vacant FHA homes are required to adhere to the HPD marketing guidelines, available here: <http://www1.nyc.gov/site/hpd/developers/marketing.page>

- NYCHA needs to explain why two parking lots are being taken away from Van Dyke Houses and the garbage bins are located too close to the senior building.

The site of the new building will be on two parking lots on Dumont Avenue as proposed in the RFP issued July 2015. All current resident parking permit holders will be accommodated with existing parking spaces (112 total spaces remaining, currently 88 permit holders, leaving an excess of 24 vacant spaces). The compactors will be relocated to the existing recycling site at Woodson Houses on Powell Street.

- NYCHA should open laundromats for residents inside of new developments and should also put stores into the open ground level spaces on NYCHA campuses.

As part of our resident engagement process, NYCHA asks residents their preferences for ground floor retail spaces when allowable by NYC zoning code (for example, laundromats). These preferences are identified in the Community Visioning documents included in the Request for Proposals for Affordable Housing Development Sites. Proposals that align with the Community Visioning documents are evaluated favorably.

Financial Resources

- A resident of Saint Nicholas Houses would like to know where the \$15.5 million that was given to the development by the Governor in 2015 has been allocated.

This funding was allocated by the Federal government, not the Governor, and was utilized for roof improvements.

Capital Improvements

- A resident of Saint Nicholas Houses wants to know when the plumbing and roofs will be fixed.

A roofs and water tank project will start in March 2018 and be completed by the end of December 2019. NYCHA Capital Projects Division will be performing gas piping replacement at 13 buildings. The contract is scheduled to go to bid in October 2017.

- A resident of Fulton Houses wants to know why scaffolding has remained up for over one year.

The scaffolding was in place to protect the public while NYCHA was awaiting funds to start the repairs. Now that NYCHA has the funds, façade repair work has commenced at Fulton and the work is scheduled to be completed by October 2017.

- A resident of Fulton Houses wants to know when the playgrounds will be repaired.

The repairs of the basketball court and toddler sprinkler area at Fulton Houses are being managed by the Dormitory Authority of the State of New York (DASNY). NYCHA does not have a construction start date as of July 2017.

- A resident of Cypress Hills would like to know when the elevators and plumbing will be repaired.

As of July 24, 2017, there were 36 open work orders for plumbers and two work orders for elevator mechanics at Cypress Hills in the process of being repaired. NYCHA does not have major capital work planned at this location.

- A resident of PS 139 Conversion wants to know when the plumbing and mold will be remediated.

NYCHA is committed to mitigating mold wherever it is found and we would request that you report any mold you have noticed to the Customer Contact Center at (718) 707-7771. NYCHA recently launched Mold Busters, a pilot program to fight mold at 38 developments. It empowers front line staff with the knowledge and the equipment to find and fix the source of the problem. For more information, please see: <http://www1.nyc.gov/site/nycha/about/press/pr-2017/nycha-launches-mold-busters-new-pilot-program-to-combat-mold-20170424.page>.

As of July 24, 2017, there were no open work orders for plumbers or mold at this development. NYCHA does not have major capital work planned at this location.

- A resident of Twin Parks West wants to know when the elevators and plumbing will be fixed.

As of July 24, 2017, there were 13 open work orders for plumbers in the process of being repaired and no open work orders for elevator mechanics. NYCHA does not have major capital work planned at this location.

Community Programs and Development

- Residents of Gowanus Houses want to know what happened to the money that was allocated by their City Council member and when will the community center will be opened.

Gowanus Houses was allocated funding by its City Council member through a participatory budget process for the community center. The allocated funding is insufficient to operate the center. The center does not currently have a sponsor with funding in place to operate any programs.

- NYCHA should create a job training program to help reduce recidivism of NYCHA residents.

NYCHA's Office of Resident Economic Empowerment & Sustainability (REES) implements programs, policies and collaborations to support residents' increased income and assets with a focus on employment and advancement, financial literacy and asset building, adult education and training, and business development. REES uses a partnership and placed-based service coordination model to identify and partner with high-quality providers in each service area.

Currently, REES manages about 60 local and city wide partnerships and also partners with sister city agencies such as NYC Small Business Services on large scale hiring and job training opportunities. The NYCHA Resident Training Academy (NRTA) is an employment-linked job training program funded by the Robin Hood Foundation. Since 2010, the NRTA has provided NYCHA residents with training in fields such as janitorial, construction, maintenance and pest control. Graduates are provided with one year of employment assistance, with most working at NYCHA or with NYCHA contractors post-employment. To date there have been 1,798 residents who have graduated from the program with 89% moving on to employment. Additionally, NYCHA is part of the NYC Jobs Plus collaborative between NYCHA, NYC Human Resources Administration, the Mayor's Office of Economic Opportunity, and the Department of Consumer Affairs. Jobs Plus is a proven place-based employment program that provides customized employment services, financial counseling, rent incentives and peer-to-peer support to NYCHA residents. There are currently 10 Jobs Plus sites operating 27 NYCHA developments citywide.

- NYCHA should create free training programs run by seniors because seniors have significant knowledge of their developments.

NYCHA will take this recommendation under advisement.

- NYCHA needs to release an RFP for Section 3 training for NYCHA residents and managers.

NYCHA's Office of Resident Economic Empowerment and Sustainability (REES) hosts REES information sessions twice a week at REES' offices and offsite sessions at least once a month on NYCHA campuses in partnership with resident associations. At these sessions residents are provided with

information regarding Section 3 including how they can register their interest in Section 3 employment. Residents who are unable to attend an information session are also able to register online via NYCHA's self-service portal – Opportunity Connect. (<http://opportunitynycha.org/>)

Section 3 Frequently Asked Questions also available to the public via NYCHA's website: <http://www1.nyc.gov/assets/nycha/downloads/pdf/section3-faq.pdf>

- NYCHA should review the agreement for TPA Presidents.

NYCHA has reviewed the TPA agreement and received written comments from the Legal Aid Society and Brooklyn Legal Services Corporation. As a result, NYCHA has issued a revised version of the agreement with simplified language.

- A resident would like to know if the program that existed under the Clinton administration that encouraged homeownership for NYCHA residents is still operating and if not, if it will be revived.

Since 2015, NYCHA's Office of Resident Economic Empowerment and Sustainability (REES) has offered homebuyer education as a new service offering under the financial literacy and asset building portfolio. For this work, REES has initiated partnerships with organizations who offer general education on all aspects of the home-buying process and the First-Time Homebuyer Certificate - which is required to apply for certain down-payment assistance grants. Other partners have provided free pre-homebuyer financial literacy workshops to educate residents on how to prepare to qualify for a mortgage. Additionally, REES has partnered with a national organization who offers character-based lending and a low-interest rate fixed mortgage in order to provide NYCHA residents with a more obtainable mortgage product. REES has also partnered with Habitat for Humanity NYC to offer information sessions about upcoming home-buying opportunities of single-family homes. Last year alone over 400 residents attended homebuyer education events. As a next step in the home-buying journey, NYCHA residents are referred for free one-on-one financial counseling services offered through the New York City Department of Consumer Affairs Office of Financial Empowerment and other community based partners. Of the total resident connections made in 2016, 903 were resident referrals to financial counseling. To further bolster the homebuyer education service offerings, REES will continue to add new partners in 2017.

- NYCHA needs to explain why residents of Red Hook Houses that received OSHA training after Hurricane Sandy are unemployed and stated that NYCHA should create construction training programs for NYCHA residents.

NYCHA's Office Recovery and Resiliency (NYCHA ORR) offered free OSHA 10 training to Sandy-impacted NYCHA residents to reinforce our commitment to safety, introduce residents to the construction field, and give them a leg-up on finding a job in the NYC construction industry. NYCHA ORR has committed \$1.4M in CDBG-DR funding to a pre-apprenticeship training program that grants residents entry into the New York City building and construction trade unions. Starting in Fall 2017, these trainings create a clear and sustainable career pathway for residents interested in Sandy related construction work. As of July 2017, 190 NYCHA residents have been hired on NYCHA ORR contracts.

- NYCHA needs to explain why there has been very little outreach about the amendment and public hearing to residents, advocates, and public officials.

The Authority's Draft Amendment was released for public review on March 17, 2017 and is available on NYCHA's website (<http://www1.nyc.gov/site/nycha/about/annual-plan-financial-information.page>), social media sites, the development management offices and select community centers and borough offices. NYCHA staff also arranged for delivery of the Amendment to the members of the RAB and the Resident Association Presidents.

The Public Hearing on the draft Amendment was held on May 2, 2017 at the Borough of Manhattan Community College (BMCC) in Manhattan. Residents were notified of these meetings through a notice in their rent bill, robo calls to their home phones, flyers posted in their buildings and community/senior centers, a notice in the NYCHA Journal and on the Authority's website. The flyers and notices were published in multiple languages.

NYCHA's Office of Intergovernmental Relations also included information about the public hearing and Amendment in their April 25, 2017 newsletter which was distributed through email to over 700 recipients at various community-based/advocate organizations and elected officials' offices.