

Final PHA Agency Plan

Annual Agency Plan for Fiscal Year 2021



Gregory Russ
Chair & Chief Executive Officer

Date: January 15, 2021

Annual PHA Plan (Standard PHAs and Troubled PHAs)	U.S. Department of Housing and Urban Development Office of Public and Indian Housing	OMB No. 2577-0226 Expires: 02/29/2016
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Purpose. The 5-Year and Annual PHA Plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission, goals and objectives for serving the needs of low- income, very low- income, and extremely low- income families.

Applicability. Form HUD-50075-ST is to be completed annually by **STANDARD PHAs or TROUBLED PHAs**. PHAs that meet the definition of a High Performer PHA, Small PHA, HCV-Only PHA or Qualified PHA do not need to submit this form.

Definitions.

- (1) **High-Performer PHA** – A PHA that owns or manages more than 550 combined public housing units and housing choice vouchers, and was designated as a high performer on both of the most recent Public Housing Assessment System (PHAS) and Section Eight Management Assessment Program (SEMAP) assessments if administering both programs, or PHAS if only administering public housing.
- (2) **Small PHA** - A PHA that is not designated as PHAS or SEMAP troubled, or at risk of being designated as troubled, that owns or manages less than 250 public housing units and any number of vouchers where the total combined units exceeds 550.
- (3) **Housing Choice Voucher (HCV) Only PHA** - A PHA that administers more than 550 HCVs, was not designated as troubled in its most recent SEMAP assessment and does not own or manage public housing.
- (4) **Standard PHA** - A PHA that owns or manages 250 or more public housing units and any number of vouchers where the total combined units exceeds 550, and that was designated as a standard performer in the most recent PHAS or SEMAP assessments.
- (5) **Troubled PHA** - A PHA that achieves an overall PHAS or SEMAP score of less than 60 percent.
- (6) **Qualified PHA** - A PHA with 550 or fewer public housing dwelling units and/or housing choice vouchers combined, and is not PHAS or SEMAP troubled.

A.	PHA Information																		
A.1	<p>PHA Name: New York City Housing Authority PHA Code: NY005</p> <p>PHA Type: <input checked="" type="checkbox"/> Standard PHA <input type="checkbox"/> Troubled PHA</p> <p>PHA Plan for Fiscal Year Beginning: 01/2021</p> <p>PHA Inventory (Based on Annual Contributions Contract (ACC) units at time of FY beginning, above)</p> <p>Number of Public Housing (PH) Units 168,100; Number of Section 8 Vouchers: 88,524. Total Combined Units/Vouchers 256,624</p> <p>PHA Plan Submission Type: <input checked="" type="checkbox"/> Annual Submission <input type="checkbox"/> Revised Annual Submission</p> <p>Availability of Information. PHAs must have the elements listed below in sections B and C readily available to the public. A PHA must identify the specific location(s) where the proposed PHA Plan, PHA Plan Elements, and all information relevant to the public hearing and proposed PHA Plan are available for inspection by the public. At a minimum, PHAs must post PHA Plans, including updates, at each Asset Management Project (AMP) and main office or central office of the PHA. PHAs are strongly encouraged to post complete PHA Plans on their official website. PHAs are also encouraged to provide each resident council a copy of their PHA Plans.</p> <p><input type="checkbox"/> PHA Consortia: (Check box if submitting a Joint PHA Plan and complete table below)</p> <table border="1"> <thead> <tr> <th rowspan="2">Participating PHAs</th><th rowspan="2">PHA Code</th><th rowspan="2">Program(s) in the Consortia</th><th rowspan="2">Program(s) not in the Consortia</th><th colspan="2">No. of Units in Each Program</th></tr> <tr> <th>PH</th><th>HCV</th></tr> </thead> <tbody> <tr> <td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </tbody> </table>					Participating PHAs	PHA Code	Program(s) in the Consortia	Program(s) not in the Consortia	No. of Units in Each Program		PH	HCV						
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B.	Annual Plan Elements
B.1	<p>Revision of PHA Plan Elements.</p> <p>(a) Have the following PHA Plan elements been revised by the PHA?</p> <p>Y N</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Statement of Housing Needs and Strategy for Addressing Housing Needs</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Deconcentration and Other Policies that Govern Eligibility, Selection, and Admissions.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Financial Resources.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Rent Determination.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Operation and Management.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Grievance Procedures.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Homeownership Programs.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Community Service and Self-Sufficiency Programs.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Safety and Crime Prevention.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Pet Policy.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Asset Management.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Substantial Deviation.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Significant Amendment/Modification</p> <p>(b) If the PHA answered yes for any element, describe the revisions for each revised element(s):</p> <p>Please see Attachment A (PHA Plan Update)</p> <p>(c) The PHA must submit its Deconcentration Policy for Field Office review.</p> <p>Please see Attachment F (Admissions Policy for Deconcentration)</p>
B.2	<p>New Activities.</p> <p>(a) Does the PHA intend to undertake any new activities related to the following in the PHA's current Fiscal Year?</p> <p>Y N</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Hope VI or Choice Neighborhoods.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Mixed Finance Modernization or Development.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Demolition and/or Disposition.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Designated Housing for Elderly and/or Disabled Families.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Conversion of Public Housing to Tenant-Based Assistance.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Conversion of Public Housing to Project-Based Assistance under RAD.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Occupancy by Over-Income Families.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Occupancy by Police Officers.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Non-Smoking Policies.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Project-Based Vouchers.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Units with Approved Vacancies for Modernization.</p>

	<input type="checkbox"/> <input checked="" type="checkbox"/> Other Capital Grant Programs (i.e., Capital Fund Community Facilities Grants or Emergency Safety and Security Grants). (b) If any of these activities are planned for the current Fiscal Year, describe the activities. For new demolition activities, describe any public housing development or portion thereof, owned by the PHA for which the PHA has applied or will apply for demolition and/or disposition approval under section 18 of the 1937 Act under the separate demolition/disposition approval process. If using Project-Based Vouchers (PBVs), provide the projected number of project-based units and general locations, and describe how project basing would be consistent with the PHA Plan. Please see Attachments B and C (Demolition and/or Disposition, Conversion of Public Housing, Homeownership, and Project-Based Vouchers and RAD, and Capital Improvements – Capital Fund Annual Statement). <i>As of January 1, 2020, NYCHA has executed 131 HAP contracts for 10,476 project-based units receiving subsidy across the five boroughs in New York City. This includes project-based apartments at NYCHA's LLC mixed finance developments and at RAD conversion properties.</i>
B.3	Civil Rights Certification. Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i> , must be submitted by the PHA as an electronic attachment to the PHA Plan.
B.4	Most Recent Fiscal Year Audit. (a) Were there any findings in the most recent FY Audit? Y N <input type="checkbox"/> <input checked="" type="checkbox"/> (b) If yes, please describe: Please see Attachment A (PHA Plan Update)
B.5	Progress Report. Provide a description of the PHA's progress in meeting its Mission and Goals described in the PHA 5-Year and Annual Plan. Please see Attachment E (Additional Information)
B.6	Resident Advisory Board (RAB) Comments. (a) Did the RAB(s) provide comments to the PHA Plan? Y N <input checked="" type="checkbox"/> <input type="checkbox"/> (b) If yes, comments must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the RAB recommendations and the decisions made on these recommendations. Please see Attachment M (Comments from the Resident Advisory Board)
B.7	Certification by State or Local Officials. Form HUD 50077-SL, <i>Certification by State or Local Officials of PHA Plans Consistency with the Consolidated Plan</i> , must be submitted by the PHA as an electronic attachment to the PHA Plan.
B.8	Troubled PHA. (a) Does the PHA have any current Memorandum of Agreement, Performance Improvement Plan, or Recovery Plan in place? Y N N/A <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> (b) If yes, please describe:
C.	Statement of Capital Improvements. Required for all PHAs completing this form that administer public housing and receive funding from the Capital Fund Program (CFP). Please see Attachment C (Capital Improvements – Capital Fund Annual Statement)

C.1	<p>Capital Improvements. Include a reference here to the most recent HUD-approved 5-Year Action Plan (HUD-50075.2) and the date that it was approved by HUD.</p> <p>HUD APPROVED NYCHA'S FY 2020 CAPITAL FUND GRANT AND 5-YEAR ACTION PLAN ON JUNE 15, 2020.</p>
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Supporting Documents Available for Review

Members of the public wishing to review the Supporting Documents can email annualplancomments@nycha.nyc.gov.

List of Supporting Documents Available for Local Review <i>(Applicable to All PHA Plan Types)</i> Indicate which documents are available for public review by placing a mark in the “Applicable & On Display” column in the appropriate rows. All listed documents must be on display if applicable to the program activities conducted by the PHA.		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	Form HUD-50077, <i>Standard PHA Certifications of Compliance with the PHA Plans and Related Regulations: Board Resolution to Accompany the Standard Annual, Standard Five-Year, and Streamlined Five-Year/Annual PHA Plans.</i>	5-Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan	5-Year and Annual Plans
X	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions’ initiatives to affirmatively further fair housing that require the PHA’s involvement.	5-Year and Annual Plans
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments (AI) to Fair Housing Choice); and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
X	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources
X	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan (TSAP) and the Site-Based Waiting List Procedure. <i>The following Management and Maintenance Policies are available and on display:</i> <ul style="list-style-type: none"> • <i>NYCHA Management Manual</i> • <i>NYCHA Application and Tenancy Administration Manual</i> • <i>NYCHA Tenant Selection and Assignment Plan (TSAP) Manual</i> • <i>NYCHA Human Resources Manual</i> • <i>NYCHA Emergency Procedure Manual</i> • <i>NYCHA Contract Procedure Resolution</i> • <i>NYCHA General Memoranda</i> • <i>NYCHA Deputy General Manager Memoranda</i> • <i>NYCHA Standard Procedures</i> 	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies

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Applicable & On Display	Supporting Document	Applicable Plan Component
X	Deconcentration Income Analysis <i>NYCHA’s Deconcentration Income Analysis begins on page 192 of the Final Annual Plan.</i>	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Any policy governing occupancy of Police Officers and Over-Income Tenants in Public Housing. <input type="checkbox"/> Check here if included in the public housing A&O Policy. <i>NYCHA’s policy governing the occupancy of Police Officers is available in NYCHA’s Management Manual in Chapter III, NYCHA’s Standard Procedure SP003011 and on page 34 and 35 of the Final Annual Plan.</i>	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public housing rent determination policies, including the methodology for setting public housing flat rents. <input type="checkbox"/> Check here if included in the public housing A & O Policy. <i>NYCHA’s rent determination policies are available in NYCHA’s Management Manual in Chapter III beginning on page 106 and on page 40 of the Final Annual Plan.</i>	Annual Plan: Rent Determination
X	Schedule of flat rents offered at each public housing development. <input type="checkbox"/> Check here if included in the public housing A & O Policy. <i>NYCHA’s Flat Rent schedule is on pages 41 and 42 of the Final Annual Plan and in NYCHA’s Management Manual in Chapter III on page 107 and in Exhibit 2 on page 128.</i>	Annual Plan: Rent Determination
X	Section 8 rent determination (payment standard) policies (if included in plan, not necessary as a supporting document) and written analysis of Section 8 payment standard policies. <input checked="" type="checkbox"/> Check here if included in the Section 8 Administrative Plan. <i>Section 8 rent determination (payment standard) policies are outlined in Chapter IX of the Section 8 Administrative Plan and on page 42 of the Final Annual Plan.</i>	Annual Plan: Rent Determination
X	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation).	Annual Plan: Operations and Maintenance
X	Results of latest Public Housing Assessment System (PHAS) assessment	Annual Plan: Operations and Maintenance
X	Results of latest Section 8 Management Assessment System (SEMAP).	Annual Plan: Operations and Maintenance
X	Any policies governing any Section 8 special housing types <input checked="" type="checkbox"/> Check here if included in Section 8 Administrative Plan. <i>Section 8 special housing types are outlined in Chapter XV (B) of the Section 8 Administrative Plan.</i>	Annual Plan: Management and Operations
X	Public housing grievance procedures <input type="checkbox"/> Check here if included in the public housing A & O Policy. <i>NYCHA’s grievance procedures are outlined in Chapter IV Section IV (A) of the NYCHA Management Manual.</i>	Annual Plan: Grievance Procedures
X	Section 8 informal review and hearing procedures <input checked="" type="checkbox"/> Check here if included in Section 8 Administrative Plan.	Annual Plan: Grievance Procedures

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Applicable & On Display	Supporting Document	Applicable Plan Component
	<i>NYCHA’s informal review and hearing procedures are outlined in Chapter XXIV (B) of the Section 8 Administrative Plan.</i>	
X	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement/Performance and Evaluation Report (form HUD-52837) for the active grant year	Annual Plan: Capital Needs
X	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
X	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
X	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
X	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act, Section 22 of the U.S. Housing Act of 1937, or Section 33 of the U.S. Housing Act of 1937.	Annual Plan: Conversion of Public Housing
X	Documentation for required Initial Assessment and any additional information required by HUD for Voluntary Conversion. <i>Please see page 100 of the Final Annual Plan for information on the Voluntary Conversion of NYCHA’s public housing.</i>	Annual Plan: Voluntary Conversion of Public Housing
X	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
N/A	Policies governing any Section 8 Homeownership program <i>NYCHA does not have a Section 8 Homeownership program at this time.</i>	Annual Plan: Homeownership
X	Public Housing Community Service Policy/Programs <input type="checkbox"/> Check here if included in the public housing A & O Policy. <i>NYCHA’s Community Service Policy is outlined in NYCHA Form 040.564 and in the Final Annual Plan on page 198.</i>	Annual Plan: Community Service & Self-Sufficiency
X	Cooperative agreement between the PHA and the TANF agency and between the PHA and local employment and training service agencies.	Annual Plan: Community Service & Self-Sufficiency
X	FSS Action Plan/s for public housing and/or Section 8.	Annual Plan: Community Service & Self-Sufficiency
X	Section 3 documentation required by 24 CFR Part 135, Subpart E for public housing.	Annual Plan: Community Service & Self-Sufficiency

List of Supporting Documents Available for Local Review (Applicable to All PHA Plan Types) Indicate which documents are available for public review by placing a mark in the “Applicable & On Display” column in the appropriate rows. All listed documents must be on display if applicable to the program activities conducted by the PHA.		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	Most recent self-sufficiency ROSS or other resident services grant) grant program reports for public housing.	Annual Plan: Community Service & Self-Sufficiency
X	Policy on Ownership of Pets in Public Housing Family Developments (as required by regulation at 24 CFR Part 960, Subpart G). <input type="checkbox"/> Check here if included in the public housing A & O Policy. <i>NYCHA’s Policy on Ownership of Pets in Public Housing Family Developments is outlined in NYCHA Form 040.537 and in the Final Annual Plan beginning on page 80.</i>	Annual Plan: Pet Policy
X	The results of the most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U. S.C. 1437c(h)), the results of that audit and the PHA’s response to any findings	Annual Plan: Annual Audit
X	Other supporting documents (optional) <i>New York Police Department Housing Bureau Strategic Plan</i>	Annual Plan: Safety and Crime Prevention

NOTICE

New York City Housing Authority Draft Significant Amendment to the Fiscal Year (FY) 2020 Agency Annual Plan and the Draft Agency Plan for FY 2021

The public is advised that the Draft Significant Amendment to the FY 2020 Agency Annual Plan and the FY 2021 Draft Agency Annual Plan will be available for public inspection starting October 17, 2020 on NYCHA's website: on.nyc.gov/nycha-annual-plan.

Please email annualplancomments@nycha.nyc.gov if you would like to review the Draft Significant Amendment to the FY 2020 Agency Annual Plan and the FY 2021 Draft Agency Plan supporting documents.

PUBLIC COMMENT



In support of the City's efforts to contain the spread of COVID-19, the New York City Housing Authority will hold this public meeting **remotely**. The public is invited to comment on the Draft Significant Amendment to the FY 2020 Agency Annual Plan and the FY 2021 Draft Agency Plan at a public hearing on **Tuesday, December 8, 2020, from 5:30 p.m. to 8:00 p.m.**



Attending the hearing: To attend the hearing, please register at on.nyc.gov/dec8-public-hearing. We encourage you to register as soon as possible. Instructions on how to participate, as well as meeting materials, will be posted on on.nyc.gov/nycha-annual-plan in advance of the meeting.

To help the meeting host manage the meeting, those who do not intend to actively participate are invited to watch the meeting through a live stream or to watch the recording that will be posted after the meeting on NYCHA's website: on.nyc.gov/nycha-annual-plan.



Signing up to speak: Anyone wishing to speak on the items related to Draft Significant Amendment to the FY 2020 Agency Annual Plan and the FY 2021 Draft Agency Plan should submit a request to speak via email to annualplancomments@nycha.nyc.gov. To give others an opportunity to speak, all speakers are asked to limit their remarks to three minutes.

Written comments regarding the Draft Significant Amendment to the FY 2020 Agency Annual Plan and the FY 2021 Draft Agency Plan are encouraged. To be considered, submissions must be received via United States Postal Service mail or email no later than December 9, 2020. Comments may be sent to the address below and may also be emailed to annualplancomments@nycha.nyc.gov.

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

Bill de Blasio, Mayor

Gregory Russ, Chair and Chief Executive Officer

A translation of this document is available in your management office.
La traducción de este documento está disponible en la Oficina de Administración de su residencial.
所居公房管理處備有文件譯本可供索取。
所居公房管理处备有文件译本可供索取。
Перевод этого документа находится в офисе управления Вашего жилищного комплекса.

AVISO

Proyecto de Enmienda Significativa de la Autoridad de Vivienda de la Ciudad de Nueva York al Año Fiscal (AF) 2020 Plan Anual de la Agencia y Proyecto de Plan de la Agencia para el AF 2021

Se informa al público de que el Proyecto de Enmienda Significativa al Plan Anual de la Agencia del Año Fiscal 2020 y el Proyecto de Plan Anual de la Agencia para el Año Fiscal 2021 estarán disponibles para la inspección pública a partir del 17 de octubre de 2020 en el sitio web de NYCHA: on.nyc.gov/nycha-annual-plan.

Por favor, envíe un correo electrónico a annualplancomments@nycha.nyc.gov si desea revisar los documentos de apoyo del Proyecto de Enmienda Significativa al Plan Anual de la Agencia para el Año Fiscal 2020 y el Proyecto de Plan de la Agencia para el Año Fiscal 2021

COMENTARIOS DEL PÚBLICO



En apoyo de los esfuerzos de la Ciudad para contener la propagación del COVID-19, la Autoridad de Vivienda de la Ciudad de Nueva York celebrará esta reunión pública a **distancia**. Se invita al público a comentar el Proyecto de Enmienda significativa al Plan Anual de la Agencia del Año Fiscal 2020 y el Plan de la Agencia del Año Fiscal 2021 en una audiencia pública el **martes 8 de diciembre de 2020, de 5:30 p.m. a 8:00 p.m.**



Asistencia a la audiencia: Para asistir a la audiencia, por favor regístrese en on.nyc.gov/dec8-public-hearing. Le recomendamos que se registre lo antes posible. Las instrucciones sobre cómo participar, así como los materiales de la reunión, se publicarán en on.nyc.gov/nycha-annual-plan antes de la reunión.

Para ayudar al anfitrión a gestionar la reunión, se invita a aquellos que no tienen la intención de participar activamente a ver la reunión a través de una transmisión en vivo o a ver la grabación que se publicará después de la reunión en el sitio web de NYCHA: on.nyc.gov/nycha-annual-plan.



Regístrese para hablar: Cualquier persona que desee hablar sobre los temas relacionados con el Proyecto de Enmienda significativa al Plan Anual de la Agencia para el Año Fiscal 2020 y el Proyecto del Plan de la Agencia del año fiscal 2021 debe presentar una solicitud para hablar por correo electrónico a annualplancomments@nycha.nyc.gov. Para dar a los demás la oportunidad de hablar se pide a todos los oradores que limiten sus observaciones a tres minutos.

Le animamos a hacer comentarios por escrito sobre la Enmienda Significativa al Plan Anual de la Agencia para el Año Fiscal 2020 y el Proyecto del Plan de la Agencia para el Año Fiscal 2021. Para ser considerado, las comunicaciones deben recibirse mediante correo postal de los Estados Unidos o correo electrónico a más tardar el 9 de diciembre de 2020. Los comentarios pueden enviarse a la siguiente dirección y también se pueden enviar por correo electrónico a annualplancomments@nycha.nyc.gov.

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

Bill de Blasio, alcalde

Gregory Russ, presidente y primer ejecutivo

通知

紐約市房屋局「2020財政年度公共房屋機構年度計劃」重大修正案初稿 及「2021財政年度公共房屋機構年度計劃」初稿

公眾可於2020年10月17日起登陸NYCHA網站：on.nyc.gov/nycha-annual-plan 查閱「2020財政年度機構計劃」重大修正案初稿和「2021財政年度機構計劃」初稿。

如果您想查閱「2020財政年度機構計劃」重大修正案初稿及「2021財政年度機構計劃」附錄，請發送電子郵件至：annualplancomments@nycha.nyc.gov 索取。

公眾意見



為了支持紐約市遏制新冠病毒 (COVID-19) 傳播的行動，紐約市房屋局將遠程召開這次公共諮詢會議。我們誠邀各界人士出席於2020年12月8日，星期二傍晚5時30分至晚上8時舉行的公共聽證會，對「2020 財政年度機構計劃」重大修正案初稿和「2021財政年度機構計劃」初稿發表意見並提出建議。



參加聽證會：請上網登記報名參加公共聽證會，網址：on.nyc.gov/dec8-public-hearing。我們希望您把握時間盡快登記報名。關於如何參加會議的具體說明和會議資料將於會議召開前在網站公布，網址：on.nyc.gov/nycha-annual-plan。

為了幫助會議主持人管理會議，未打算積極參與會議的民眾可通過直播觀看會議，或者在會議結束後，登錄NYCHA網站：on.nyc.gov/nycha-annual-plan 觀看會議錄像。



報名登記發言：所有希望對「2020財政年度機構計劃」重大修正案初稿和「2021財政年度機構計劃」初稿的相關內容發表意見的公眾應發送電郵至 annualplancomments@nycha.nyc.gov 提出發言請求。為了让更多與會者獲得發言的機會，所有發言者的發言時間將被限制在三分鐘內。

歡迎各界人士對「2020 財政年度機構計劃」重大修正案初稿和「2021財政年度機構計劃」初稿發表書面意見。我們僅會接受於2020年12月9日前通過美國郵政服務或電郵方式提交的意見書。意見書可寄至下列地址或通過電郵發送至：annualplancomments@nycha.nyc.gov。

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

百思豪 (Bill de Blasio) · 市長

格雷戈里·羅斯 (Greg Russ) · 主席兼行政總監

通知

紐約市房屋局「2020財政年度公共房屋機構年度計劃」重大修正案初稿
及「2021財政年度公共房屋機構年度計劃」初稿

公眾可於2020年10月17日起登陸NYCHA網站查閱「2020財政年度機構計劃」重大修正案初稿和「2021財政年度機構計劃」初稿，網址：on.nyc.gov/nycha-annual-plan。

如果您想查閱「2020財政年度機構計劃」重大修正案初稿及「2021財政年度機構計劃」的附錄文件，請發送電子郵件至：annualplancomments@nycha.nyc.gov 索取。

公眾意見



為了支持紐約市遏制新冠病毒 (COVID-19) 傳播的行動，紐約市房屋局將遠程召開這次公共諮詢會議。我們誠邀各界人士出席於2020年12月8日，星期二傍晚5時30分至晚上8時舉行的公共聽證會，對「2020 財政年度機構計劃」重大修正案初稿和「2021財政年度機構計劃」初稿發表意見並提出建議。



參加聽證會：請上網登記報名參加公共聽證會，網址：on.nyc.gov/dec8-public-hearing。我們希望您把握時間盡快登記報名。關於如何參加會議的具體說明和會議資料將於會議召開前在網站公佈，網址：on.nyc.gov/nycha-annual-plan。

為了幫助會議主持人管理會議，未打算積極參與會議的民眾可通過直播觀看會議，或者在會議結束後，登錄NYCHA網站 on.nyc.gov/nycha-annual-plan。



報名登記發言：所有希望對「2020財政年度機構計劃」重大修正案初稿和「2021財政年度機構計劃」初稿的相關內容發表意見的公眾應發送電郵至 annualplancomments@nycha.nyc.gov 提出發言請求。為了讓更多與會者獲得發言的機會，所有發言者的發言時間將被限制在三分鐘內。

歡迎各界人士對「2020 財政年度機構計劃」重大修正案初稿和「2021財政年度機構計劃」初稿發表書面意見。我們僅會接受於2020年12月9日前通過美國郵政服務或電郵方式提交的意見書。意見書可寄至下列地址或通過電郵發送至：annualplancomments@nycha.nyc.gov。

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

白思豪 (Bill de Blasio), 市長

格雷戈里·羅斯 (Greg Russ), 主席兼行政總監

УВЕДОМЛЕНИЕ

Проект Значительной поправки Жилищного управления г. Нью-Йорка (New York City Housing Authority, NYCHA) к Годовому плану агентства на 2020 финансовый год и проекту Годового плана агентства на 2021 финансовый год

Настоящим извещаем, что проект Значительной поправки (Significant Amendment) к Годовому плану агентства на 2020 финансовый год (FY) и проекту Годового плана агентства на FY 2021 будут доступны для публичного ознакомления начиная с 17 октября 2020 года на вебсайте NYCHA: on.nyc.gov/nycha-annual-plan.

Пожалуйста, отправьте имейл по адресу: annualplancomments@nycha.nyc.gov для ознакомления с этими и другими сопроводительными документами.

КОММЕНТАРИИ ОБЩЕСТВЕННОСТИ



В поддержку усилий города по сдерживанию распространения COVID-19 NYCHA будет проводить это публичное собрание в дистанционном формате (удаленно). Общественность приглашается предоставить комментарии по поводу проекта Значительной поправки к Годовому плану агентства на FY 2020 и проекту Годового плана агентства на FY 2021 на публичном слушании, которое состоится во **вторник, 8 декабря 2020 года с 5:30 р.м. до 8:00 р.м.**



Участие в слушании: чтобы принять участие в слушании, зарегистрируйтесь на сайте on.nyc.gov/dec8-public-hearing. Мы рекомендуем вам зарегистрироваться как можно скорее. Инструкции по участию, а также материалы собрания будут размещены перед его проведением на сайте on.nyc.gov/nycha-annual-plan.

Чтобы помочь в организации собрания, тех, кто не намерен участвовать в нем активно, приглашают посмотреть его в прямом эфире или записи, которая будет размещена после собрания на сайте NYCHA: on.nyc.gov/nycha-annual-plan.



Запрос на выступление: любой желающий выступить по вопросам, связанным с проектом Значительной поправки к Годовому плану агентства на FY 2020 и проектом Годового плана агентства на FY 2021, должен подать запрос на выступление по имейлу annualplancomments@nycha.nyc.gov. Чтобы дать возможность выступить другим, всех выступающих просят ограничить свое выступление тремя минутами.

Письменные отзывы по поводу проекта Значительной поправки к Годовому плану агентства на FY 2020 и проекту Годового плана агентства на FY 2021 приветствуются. Чтобы их учли, они должны быть получены по почте (United States Postal Service mail) не позже 9 декабря 2020 года. Комментарии можно послать по нижеуказанному адресу, а также по электронной почте annualplancomments@nycha.nyc.gov.

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

Bill de Blasio, мэр

Gregory Russ, председатель и исп. директор



New York City Housing Authority Draft Significant Amendment to the Fiscal Year (FY) 2020 Agency Annual Plan and the Draft Agency Plan for FY 2021

In support of the City's efforts to contain the spread of COVID-19, the New York City Housing Authority will hold this public meeting **remotely**.

The public is invited to comment on the Draft Significant Amendment to the FY 2020 Agency Annual Plan and the FY 2021 Draft Agency Plan at a public hearing on **Tuesday, December 8, 2020, from 5:30 p.m. to 8:00 p.m.**

To attend the hearing, please register at **on.nyc.gov/dec8-public-hearing**.



Anyone wishing to speak on the items related to Draft Significant Amendment to the FY 2020 Agency Annual Plan and the FY 2021 Draft Agency Plan should submit a request to speak via email to **annualplancomments@nycha.nyc.gov**.

To give others an opportunity to speak, all speakers are asked to limit their remarks to three minutes.



Proyecto de Enmienda Significativa de la Autoridad de Vivienda de la Ciudad de Nueva York al Año Fiscal (AF) 2020 Plan Anual de la Agencia y El Proyecto de Plan de la Agencia para el AF 2021

En apoyo de los esfuerzos de la Ciudad para contener la propagación del COVID-19, la Autoridad de Vivienda de la Ciudad de Nueva York celebrará esta reunión pública a **distancia**.

Se invita al público a comentar el Proyecto de Enmienda significativa al Plan Anual de la Agencia del año Fiscal 2020 y el Proyecto del Plan de la Agencia del año Fiscal 2021 en una audiencia pública **el martes 8 de diciembre de 2020, de 5:30 p.m. a 8:00 p.m.**

Para asistir a la audiencia, por favor regístrese en **on.nyc.gov/dec8-public-hearing**.



Cualquier persona que desee hablar sobre los temas relacionados con el Proyecto de Enmienda significativa al Plan Anual de la Agencia para el año Fiscal 2020 y el Proyecto del Plan de la Agencia del año fiscal 2021 debe presentar una solicitud para hablar por correo electrónico a **annualplancomments@nycha.nyc.gov**.

Para dar a los demás la oportunidad de hablar se pide a todos los oradores que limiten sus observaciones a tres minutos.



纽约市房屋局「2020财政年度机构年度计划」重大修正案初稿
及「2021财政年度机构年度计划」初稿

**为全力配合纽约市遏制新冠病毒
(COVID-19) 的传播，纽约市房屋局将以
视频形式召开这次公共咨询会议。**

我们诚邀各界人士出席于2020年12月8日(星期二) 傍晚5
时30分至晚上8时举行的公共听证会，对「2020财政年度
机构计划」重大修正案初稿和「2021财政年度机构计划」
初稿发表意见并提出建议。

请上网登记报名参加公共听证会，网址
on.nyc.gov/dec8-public-hearing.



所有希望对「2020财政年度机构计划」重大修正案初稿和
「2021财政年度机构计划」初稿发表意见的公众应发送电邮至：
annualplancomments@nycha.nyc.gov. 提出发言请求。

为确保其他与会者获得发言的机会，所有发言者的发言时间将被限制在三分钟内。



紐約市房屋局「**2020**財政年度機構年度計劃」重大修正案初稿
及「**2021**財政年度機構年度計劃」初稿

為全力配合紐約市遏制新冠病毒
(COVID-19) 的傳播，紐約市房屋局將以視
訊形式召開這次公共諮詢會議。

我們誠邀各界人士出席於**2020年12月8日(星期二)** 傍
晚**5時30分**至晚上**8時**舉行的公共聽證會，對「**2020**
財政年度機構計劃」重大修正案初稿和「**2021**財政年
度機構計劃」初稿發表意見並提出建議。

請上網登記報名參加公共聽證會，網址：
on.nyc.gov/dec8-public-hearing。



所有希望對「**2020**財政年度機構計劃」重大修正案初稿和
「**2021**財政年度機構計劃」初稿發表意見的公眾應發送電郵至：
annualplancomments@nycha.nyc.gov 提出發言請求。

提出發言請求。為確保其他與會者獲得發言的機會，所有發言者的發言時間
將被限制在三分鐘內。



Проект Значительной поправки Жилищного управления г. Нью-Йорка к Годовому плану агентства на 2020 финансовый год (FY) и проект Годового плана агентства на FY 2021

В поддержку усилий города по сдерживанию распространения COVID-19 Жилищное управление г. Нью-Йорка (New York City Housing Authority, NYCHA) будет проводить это публичное собрание в дистанционном формате (удаленно).

Общественность приглашается предоставить комментарии по поводу проекта Значительной поправки к Годовому плану агентства на FY 2020 и проекту Годового плана агентства на FY 2021 на публичном слушании, которое состоится во вторник, 8 декабря 2020 года с 5:30 р.м. до 8:00 р.м.

Чтобы принять участие в слушании, зарегистрируйтесь на сайте on.nyc.gov/dec8-public-hearing.



Любой желающий выступить по вопросам, связанным с проектом Значительной поправки к Годовому плану агентства на FY 2020 и проектом Годового плана агентства на FY 2021, должен подать запрос на выступление по имейлу annualplancomments@nycha.nyc.gov.

Чтобы дать возможность выступить другим, всех выступающих просят ограничить свое выступление тремя минутами.

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Executive Summary

NYCHA's Final Agency Plan for FY 2021

Federal law requires the New York City Housing Authority (NYCHA) to develop – with input from public housing residents, Section 8 participants, elected officials, and the public – a plan outlining its major initiatives for the coming year.

The Final Agency Plan for Fiscal Year 2021 is available for public review on NYCHA's website: <http://www1.nyc.gov/site/nycha/about/annual-plan-financial-information.page>. NYCHA will also provide a copy of the Final Agency Plan to each development's Resident Association President.

NYCHA will hold a virtual public hearing on December 8, 2020 and accepted written comments on the Draft Agency Plan through December 9, 2020. Please see the Notice on page 10. NYCHA met with the Resident Advisory Board members for their comments in 10 meetings between April and December 2020.

NYCHA's Final Agency Plan was submitted to the U.S. Department of Housing and Urban Development (HUD) by January 16, 2021. Following NYCHA's submission, HUD has 75 days to review and approve the plan.

NYCHA's priorities for the coming year are outlined on pages 21 through 26.

A Blueprint for Change

A Blueprint for Change is a set of ideas that outlines how NYCHA can invest in its properties, residents, and organization. To bring much-needed repairs and renovations to the 110,000 NYCHA apartments that are not being upgraded through the NYCHA 2.0 programs outlined below, *A Blueprint for Change* proposes creating a new public entity—the Public Housing Preservation Trust—to improve residents' homes while protecting their rights.

The State-created public Trust would transform residents' homes by expediting massive, historic levels of rehabilitation and accessing new, more stable funding streams. With this Trust, repairs and improvements would be made faster, and the properties would receive more funding through switching from traditional Section 9 subsidy to the more reliable and valuable Tenant Protection Vouchers (TPVs), a project-based Section 8 subsidy. NYCHA would remain permanent owner of the properties, and a long-term ground lease with the Trust would allow NYCHA to raise money for major rehabilitations. With the additional subsidy from the TPVs, NYCHA can raise funds through bonds and loans to pay for the top-to-bottom renovations. Debt obligations would be paid back using the additional TPV subsidy that NYCHA would receive each year.

The Trust would be able to make higher quality repairs in a shorter period of time by using the more flexible procurement methods outlined in the legislation that would authorize the Trust. The Trust would oversee the construction work and contract back to NYCHA for day-to-day management of the properties.

Through the *Blueprint*, NYCHA would make all necessary major repairs at the properties. That means new kitchens and bathrooms (including appliances and fixtures), boilers and heating systems, elevators, building pipes, ventilation systems, facades, and high-security front doors. It also means

addressing lead, mold, leaks, and pests and improving waste management – creating healthier homes for residents. State law, along with applicable federal laws and regulations, would guarantee full tenant rights and protections. No residents would be displaced.

NYCHA is in the process of engaging residents and other stakeholders around the ideas outlined in the *Blueprint*. Additional information on the *Blueprint* and NYCHA’s resident and stakeholder engagement is available at this link, <https://www1.nyc.gov/site/nycha/residents/blueprint-for-change.page>.

NYCHA’s Monitoring Agreement and Transformation Plan

On January 31, 2019, NYCHA and the City of New York signed an Agreement with HUD. The Agreement’s overarching goal is to remedy the deficient physical conditions in NYCHA properties to benefit residents across the city. It establishes a foundation for NYCHA to continue strengthening the Authority and improving residents’ quality of life. The Agreement sets objectives to significantly improve in six high-priority areas: lead-based paint, mold, heat, elevators, inspections and pests and waste management. That includes, for instance, conducting visual assessments and completing interim controls for lead-based paint each calendar year, improving the response times for heat and elevator outages, completing capital improvements, remediating mold conditions and preventing its recurrence, and reducing the pest population. The work under the Agreement is overseen by a third-party Monitor. To achieve these objectives, NYCHA is making a variety of operational improvements and capital investments.

Transformation Plan

The Agreement required that the City engage a third-party consultant, which was KPMG, to provide a detailed assessment of NYCHA’s current-state capacity and make recommendations on how it can improve. Next, based on that report, NYCHA is producing a transformation plan that will lay out a new neighborhood-based operating model and a more coherent governance structure for the Authority, while also proposing a set of specific business process and policy changes in key areas, including work order sequencing, janitorial schedules and annual recertifications, among others. The plan will seek to break down existing silos by bringing together our Executive Team, resident leaders, property-level staff and staff from each department at NYCHA in order to think through our future state and implement these changes across the Authority.

A Culture of Compliance

NYCHA, as required under the Agreement, also established new departments and units – a Compliance Department, an Environmental Health and Safety Department, and a Quality Assurance Unit – in support of this work. These departments have established programs for monitoring NYCHA’s work at the developments, making recommendations for improvements and then providing technical assistance to development staff in order to improve performance. In the coming year, NYCHA will continue to scale up these departments and units while using data-centered risk assessments, sampling and field monitoring to ensure Operations complies with all local, state and federal regulations and internal policies and procedures.

Compliance Pillar Areas

The Agreement requires NYCHA to remediate living conditions at its properties by specific deadlines and to meet strict, objective compliance standards regarding the aforementioned high-priority areas. NYCHA is setting up systems and has established a dedicated unit to track its progress on all the deadlines outlined in the Agreement. NYCHA is also building dashboards and other analytical reporting tools for each pillar area to show our progress towards meeting these metrics. If any managing jurisdiction is not meeting the clearly defined data-driven benchmarks they will need to design a plan, in partnership with their colleagues in other departments, to solve the problem.

The Agreement goals, as well as other priority areas, are outlined in the Goals Section of the Final Agency Plan (pages 171 to 187). For example:

PHAS and Annual Inspections: NYCHA is implementing a new standard procedure for annual inspections and is building a dashboard and other IT enhancements in order to track work orders completed during and immediately prior to a PHAS inspection.

Mold: NYCHA rolled out its Mold Busters standard procedure and will roll out a standard procedure for Leaks, Roofs and Roof Fan inspections in the coming year. NYCHA will also install new roof fans in order to prevent mold conditions, will add staff and/or vendor capacity to address mold and leak work orders, and will continue to train existing and new staff on the Mold Busters standard procedure. NYCHA will also use new dashboards and other analytical tools to deploy staff and determine which management jurisdictions are failing to respond quickly to mold complaints or have recurring mold conditions in residents' units.

Heat: For the 2019-2020 heat season through May 2020, NYCHA brought down the time it took to resolve heat outages from 8.8 hours on average to 7.7 hours on average. NYCHA will continue to install heat sensors at 44 developments and will make additional year-over-year improvements to its heat outage response times in the coming heat season. By 2026, NYCHA will replace 297 boilers and address an additional 200 boilers through PACT, making heat more reliable for hundreds of thousands of residents.

Elevators: NYCHA will continue to make year-over-year improvements to its elevator outage response times. NYCHA is continuing to hire and train additional elevator mechanic teams while also investing in air conditioners in motor rooms, door lock monitors and other equipment that will help improve elevator service. By 2024, NYCHA will replace or address 425 elevators.

Lead: In April 2019, NYCHA kicked off an unprecedented effort to test approximately 135,000 apartments for the presence of lead-based paint using x-ray fluorescence ("XRF") analyzers. NYCHA has tested the vast majority of units in high-priority developments where lead was previously found in units using HUD's random sampling methods. NYCHA will continue to inspect additional units as part of its XRF initiative. NYCHA will also continue a door-knocking campaign to identify units where a child under six years old either resides or regularly visits the unit. In 2021, NYCHA will complete its biennial risk assessment and will scale up efforts to abate or rapidly remediate lead in units with a positive or presumed positive lead-based component where a child under 6 either resides or regularly visits the unit.

Pests and Waste Management: NYCHA is launching a new Integrated Pest Management standard procedure across the portfolio and will continue training its workforce on proper pest control methods.

NYCHA has also established a new Waste Management and Pest Control department to manage these workflows across the Authority. NYCHA is also investing in reducing the rat population by concreting 50 dirt basements, installing 8,000 door sweeps, installing new compactors and bulk crushers at 10 developments, and hiring 20 new exterminators and an expert in pest control.

Capital: As part of the Agreement, the City is providing \$1 billion for capital expenses over the first four years and \$200 million per year in capital funding for at least the six years following – for a total of at least \$2.2 billion in capital funding. These funds will be invested in lead abatement, comprehensive lead and mold-related capital projects, elevator and heat system replacements and improvements to NYCHA’s waste management equipment across the portfolio. These funds are in addition to Mayor de Blasio’s unprecedented financial support to NYCHA, which includes approximately \$4.3 billion in capital and operating funds to replace roofs and boilers, fix facades and upgrade heating systems, and more over the next decade.

NYCHA 2.0

Considering the multibillion-dollar decline in federal Section 9 funding and massive repair needs across its portfolio, NYCHA must pursue innovative ways to fund the building and apartment upgrades that residents deserve. Launched in December 2018, NYCHA 2.0 is a 10-year plan to address \$24 billion in vital repairs that NYCHA’s buildings desperately need. NYCHA 2.0 will deliver complete apartment renovations for 175,000 residents, fund essential capital repairs across the rest of NYCHA’s portfolio and launch aggressive new repair strategies to tackle high-priority areas that impact residents’ quality of life. NYCHA 2.0 includes the following programs:

PACT to Preserve

As part of its Permanent Affordability Commitment Together (PACT) initiative, NYCHA is addressing \$12.8 billion in overdue repairs in 62,000 apartments – a third of its units and home to approximately 140,000 New Yorkers. PACT relies on partnerships with private and non-profit development partners and converts developments to a more stable, federally funded program called Project-Based Section 8.

All 62,000 apartments converted to Section 8 funding will remain permanently affordable. The Project-Based Section 8 program provides a more stable flow of federal subsidy and allows NYCHA and its development partners to raise external financing to address a development’s capital repair needs. Once developments are converted, quality private managers, including non-profit partners, will maintain and operate the buildings. The PACT program provides residents with important rights and protections. Residents will only pay 30 percent of their household income towards rent, will not have their applications re-screened, and will have the right to remain in their homes during the renovations.

Renovations will provide residents with new kitchens, bathrooms, windows, and common areas while addressing critical repairs to elevators, boilers, roofs and facades. The PACT program also enhances on-site social services by funding valuable community programming that will be provided by a growing list of non-profit partners. PACT renovations will be completed on a rolling basis – between 7,500 and 10,000 apartments per year – by the year 2028.

Approximately \$236 million in renovations have been completed at the 1,395 apartments at Ocean Bay (Bayside) in Queens. More than 6,400 apartments, home to approximately 15,000 New Yorkers, are under construction in the Bronx and Brooklyn, totaling \$860 million in major upgrades. At the

end of 2020, NYCHA finalized a transaction to provide more than \$271 million in major repairs and renovations for 1,718 apartments throughout Manhattan. An additional 13,700 apartments are part of active development projects in the process of resident engagement or pre-development. In sum, NYCHA has more than 23,000 units completed, in-construction, or in a stage of resident engagement or pre-development.

Build to Preserve

With the "Build to Preserve" program, NYCHA will use a mixed-income model to build on its underused land, dedicating 100 percent of the proceeds to make repairs first at the surrounding development (any remaining funds will be invested in repairs at other NYCHA developments in the neighborhood). Build to Preserve is expected to fund approximately \$2 billion in capital repairs. New buildings will be subject to Mandatory Inclusionary Housing levels of affordability and will increase the city's permanently affordable housing supply.

NYCHA is exploring Build to Preserve at the developments in the Chelsea neighborhood with a working group comprised of residents, elected officials, community representatives, and housing organizations. The working group has been meeting since the fall of 2019 to produce community-driven recommendations to address the future of Chelsea, Chelsea Addition, Elliot, and Fulton Houses. While working group meetings were paused due to COVID-19, members began meeting again this summer. The working group is aiming to publish a list of recommendations before the end of the year, which would inform an RFP to be issued by NYCHA to select development partners.

Transfer to Preserve

NYCHA continues to tap into its extensive unused development rights, known as "air rights," in order to raise revenue for the Authority. By transferring only a portion of the Authority's approximately 80 million square feet of air rights, NYCHA expects to generate \$1 billion in capital repairs for adjacent apartments. In 2020, NYCHA completed two air rights transfers, one at Ingersoll Houses in Brooklyn and another at Hobbs Court in Manhattan, generating approximately \$27 million in proceeds for capital repairs.

Commitments to Build New 100% Affordable Housing

New York City is confronting an affordable housing crisis, and New Yorkers have called for more affordable housing. In support of Mayor de Blasio's plan to build or preserve 300,000 affordable apartments by 2026, NYCHA has pledged to provide underused land (such as parking lots and storage spaces) for the creation of 11,000 new, affordable apartments for both families and seniors – more than 3,000 of which are already in the pipeline.

Since 2015, NYCHA has closed on 11 transactions located in the Bronx, Brooklyn, Manhattan, and Queens. Approximately 1,400 affordable apartments have been built or are under construction. An additional 72 co-op homeownership units will begin construction at the end of 2020. Additionally, more than a dozen other affordable housing developments are in the planning or pre-development phases.

Many of these buildings will include community facilities and neighborhood retail that will serve new and current residents. For instance, the new affordable housing at Ingersoll Houses features a new ground-floor senior center operated by Services and Advocacy for LGBT Elders (SAGE) that will

provide supportive services for seniors. The development at Mill Brook Houses included a new senior center with a commercial kitchen, large dining room, community space, and activity rooms for programming for seniors. Other planned features across the 100% affordable housing portfolio include green roofs, upgraded basketball courts, and new community gardens and seating areas.

ATTACHMENT A
PHA PLAN UPDATE

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

<ul style="list-style-type: none">• Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures• Financial Resources• Rent Determination• Operation and Management• Community Service and Self-Sufficiency• Demolition and Disposition, Conversion of Public Housing, Homeownership, Project Based Vouchers and Rental Assistance Demonstration (RAD)	<ul style="list-style-type: none">• Pet Policy• Housing Needs• Statement of Progress in Meeting Mission and Goals – FY 2020 to FY 2024• Admissions Policy for Deconcentration• Resident Advisory Board Members• PHA Management Organizational Chart• Agendas of Meetings Held with NYCHA’s Resident Advisory Board
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B) Identify the specific locations where the public may obtain copies of the Annual PHA Plan.

Due to current COVID-19 restrictions, NYCHA is encouraging residents to access all materials online. The *Final Annual Plan for FY 2021* is available for public inspection on NYCHA’s webpage, which is located at: <http://www1.nyc.gov/site/nycha/about/annual-plan-financial-information.page>.

C) PHA Plan Elements (24 CFR 903.7)

1. Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures

A. Public Housing

(1) Eligibility

a. When does the PHA verify eligibility for admission to public housing? (select all that apply)

☐

When families are within a certain number of being offered a unit: (state number)

☒

When families are within a certain time of being offered a unit: (state time)

Preliminarily, within six to nine months before being offered a unit, and finally, when the family reaches the top of the waiting list.

☐

Other: (describe)

b. Which non-income (screening) factors does the PHA use to establish eligibility for admission to public housing (select all that apply)?

☒

Criminal or Drug-related activity

☒

Rental history

☒

Housekeeping

☒

Other (describe)

NYCHA takes appropriate action before admission to verify each family's actual composition and to verify the citizenship/immigration status of each household member as required under Federal law.

c. ☐ Yes ☒ No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

d. ☐ Yes ☒ No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

e. ☐ Yes ☒ No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

NYCHA performs criminal background checks by examining the public conviction records of The New York State Office of Court Administration and the Dru Sjodin National Sex Offender Website.

(2) Waiting List Organization

a. Which methods does the PHA plan to use to organize its public housing waiting list (select all that apply)

☐

Community-wide list

☒

Sub-jurisdictional lists (By NYC Borough)

☒

Site-based waiting lists ***See Attachment I***

☐

Other (describe)

b. Where may interested persons apply for admission to public housing?

- ☐ PHA main administrative office
☐ PHA development site management office
☒ Other (list below)

NYCHA maintains two Walk-in Customer Contact Centers serving the five boroughs of New York City. Applicants may also apply online at NYCHA's website.

<http://www1.nyc.gov/site/nycha/about/contact.page>

c. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection (3) Assignment

1. How many site-based waiting lists will the PHA operate in the coming year? **1**

2. ☐ Yes ☒ No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously-HUD-approved site-based waiting list plan)?
If yes, how many lists?

3. ☐ Yes ☒ No: May families be on more than one list simultaneously?
If yes, how many lists?

4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?

- ☐ PHA main administrative office
☐ All PHA development management offices
☐ Management offices at developments with site-based waiting lists
☐ At the development to which they would like to apply
☒ Other (list below)

NYCHA maintains two walk-in Customer Contact Centers serving the five boroughs of New York City.

d. Additional Information

NYCHA assists the management companies of the following developments with their waiting lists for the public housing units located in their developments. This assistance may include sending the management companies lists of public housing applicants that may qualify for their developments or by sending canvas letters to applicants on NYCHA's public housing waiting list to advise them of the opportunity to submit an application for these properties.

Please note that NYCHA does not own or manage the developments below and does not maintain the waiting lists for these developments itself.

- 1070 Washington Avenue (La Preciosa) (NY005024000)
- Prospect Plaza Phase I (NY005025000)
- Prospect Plaza Phase II (NY005025001)
- PSS Grandparent Family Apartments (NY005005600)
- Randolph South (NY005026000)

(3) Assignment

a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list? (Select one)

- ☒ One
☐ Two
☐ Three or More

b. ☐ Yes ☒ No: Is this policy consistent across all waiting list types?

c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

Applicants and transferees with borough choice and applicants and transfers for accessible apartments are given two apartment offers before they are removed from the waiting list.

(4) Admissions Preferences

a. Income targeting:

☐ Yes ☒ No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 40 percent of all new admissions to public housing to families at or below 30 percent of median area income?

While NYCHA does not plan to exceed the federal targeting requirements, slightly over 76% of the families admitted to public housing during calendar year 2019 were households with incomes at or below 30% of area median income.

b. Transfer policies:

In what circumstances will transfers take precedence over new admissions? (list below)

- ☒ Emergencies (*fire related or uninhabitable only*)
☐ Overhoused
☐ Underhoused
☐ Medical justification
☒ Administrative reasons determined by the PHA (e.g., to permit modernization work)
☐ Resident choice: (state circumstances below)
☒ Other: (list below)

Tenant transfers for reasonable accommodation.

Families displaced for development renovation.

Families displaced for development renovation and wishing to return to the development after renovation is completed.

Accessible Apartments.

Under occupied families required to move to smaller apartment as a result of Termination of Tenancy proceeding.

Currently, three out of five vacant apartments are offered to transfers and the other two apartments to new admissions. However, within equal priority transfers, residents residing within the same development as the apartment vacancy shall have preference over residents who reside at a different development.

Preferences

1. ☒ Yes ☐ No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If “no” is selected, skip to subsection (5) Occupancy)
2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences:

- ☒ Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- ☒ Victims of domestic violence
- ☒ Substandard housing
- ☒ Homelessness
- ☒ High rent burden (rent is > 50 percent of income)

Other preferences: (select below)

- ☒ Working families and those unable to work because of age or disability
- ☐ Veterans and veterans’ families
- ☒ Residents who live and/or work in the jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☒ Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)
- ☐ Those previously enrolled in educational, training, or upward mobility programs
- ☒ Victims of reprisals or hate crimes
- ☒ Other preference(s) (list below)
Intimidated Witnesses.

Legally doubled up and overcrowded in apartment subsidized by NYCHA (either public housing or Section 8)

Doubled up or overcrowded in apartment not subsidized by NYCHA.

Families headed by persons with acute immunological disorders of a degenerative nature or other disabilities or medical conditions requiring a high level of physical and supportive service accommodations, including NYCHA residents and homeless persons (Stanton Street).

Referrals from the New York City Department of Homeless Services.

Referrals from the New York City HIV/AIDS Services Administration, the Administration for Children’s Services, the New York City Department of Housing Preservation and Development, or the New York City Health and Hospitals Corporation.

For single-person families: Elderly persons and persons with disabilities will be given preference over other applicants, except for emergency applicants, who will be taken in order of priority regardless of age or disability.

3. If the PHA will employ admissions preferences, please prioritize by placing a “1” in the space that represents your first priority, a “2” in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use “1” more than once, “2” more than once, etc.

Former Federal preferences:

- 1, 3** Homelessness
- 1, 3** Involuntary Displacement (Disaster, Government Action, Inaccessibility, Property Disposition)
- 2** Victims of Domestic Violence
- 3** Action of Housing Owner
- 3** Substandard Housing
- 3** High Rent Burden

Other preferences (select all that apply)

Working family priorities are assigned by income tier with the first number representing Tier III (households with incomes between 51% and 80% AMI), followed by Tier II (households with incomes between 31% and 50% AMI), and then Tier I (households with incomes less than 30% AMI).

- ☒ **1,2,3** Working families and those unable to work because of age or disability referred by the NYC Department of Homeless Services
- ☒ **1,2,3** Working families and those unable to work because of age or disability
- ☐ Veterans and veterans’ families
- ☒ **1,2,3** Residents who live and/or work in the jurisdiction
- ☐ Those enrolled currently in educational, training, or upward mobility programs
- ☒ **1,2,3** Households that contribute to meeting income goals (broad range of incomes)
- ☐ Households that contribute to meeting income requirements (targeting)
- ☐ Those previously enrolled in educational, training, or upward mobility programs
- ☒ **3** Victims of reprisals or hate crimes
- ☒ Other preference(s) (list below)

1 – Referrals from the New York City Department of Homeless Services.

1- Referrals from the New York City HIV/AIDS Services Administration, the Administration for Children’s Services, the New York City Department of Housing Preservation and Development or the New York City Health and Hospitals Corporation.

2 - Intimidated witnesses.

3 – Legally doubled up and overcrowded in apartment subsidized by NYCHA (either public housing or Section 8).

3 – Doubled up in apartment not subsidized by NYCHA.

3 – Overcrowded in apartment not subsidized by NYCHA.

3 – For single-person families: Elderly persons and persons with disabilities will be given preference over other applicants, except for emergency applicants, who will be taken in order of priority regardless of age or disability

3 - Families headed by persons with acute immunological disorders of a degenerative nature or other disabilities or medical conditions requiring a high level of physical and supportive service accommodations, including NYCHA residents and homeless persons, who are referred by designated public and private social service agencies (Stanton Street).

4 - Families headed by persons with acute immunological disorders of a degenerative nature or other disabilities or medical conditions requiring a high level of physical and supportive service accommodations, including NYCHA residents and homeless persons (Stanton Street).

Admission income limits apply at certain developments, as follows: At tax credit developments family income must not exceed 60% of area median income. At all other developments, family income must not exceed 80% of area median income.

4. Relationship of preferences to income targeting requirements:

☐

The PHA applies preferences within income tiers

☒

Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Occupancy

a. What reference materials can applicants and residents use to obtain information about the rules of occupancy of public housing (select all that apply)

☒

The PHA-resident lease

☒

The PHA's Admissions and (Continued) Occupancy policy

☒

PHA briefing seminars or written materials

☐

Other source (list)

b. How often must residents notify the PHA of changes in family composition? (select all that apply)

☒

At an annual reexamination and lease renewal

☒

Any time family composition changes

☒

At family request for revision

☐

Other (list)

(6) Deconcentration and Income Mixing

a. ☒ Yes ☐ No: Did the PHA's analysis of its family (general occupancy) developments to determine concentrations of poverty indicate the need for measures to promote deconcentration of poverty or income mixing?

b. ☒ Yes ☐ No: Did the PHA adopt any changes to its **admissions policies** based on the results of the required analysis of the need to promote deconcentration of poverty or to assure income mixing?

c. If the answer to b was yes, what changes were adopted? (select all that apply)

☐ Adoption of site-based waiting lists

If selected, list targeted developments below:

☒ Employing waiting list “skipping” to achieve deconcentration of poverty or income mixing goals at targeted developments

If selected, list targeted developments below:

All lower income developments.

☐ Employing new admission preferences at targeted developments

If selected, list targeted developments below:

☐ Other (list policies and developments targeted below)

d. ☒ Yes ☐ No: Did the PHA adopt any changes to **other** policies based on the results of the required analysis of the need for deconcentration of poverty and income mixing?

e. If the answer to d was yes, how would you describe these changes? (select all that apply)

☒ Additional affirmative marketing

☐ Actions to improve the marketability of certain developments

☐ Adoption or adjustment of ceiling rents for certain developments

☐ Adoption of rent incentives to encourage deconcentration of poverty and income-mixing

☐ Other (list below)

f. Based on the results of the required analysis, in which developments will the PHA make special efforts to attract or retain higher-income families? (select all that apply)

☐ Not applicable: results of analysis did not indicate a need for such efforts

☒ List (any applicable) developments below:

All lower income developments.

g. Based on the results of the required analysis, in which developments will the PHA make special efforts to assure access for lower-income families? (select all that apply)

☒ Not applicable: results of analysis did not indicate a need for such efforts

☐ List (any applicable) developments below:

7) Resident Police Officers (RPO)

Pursuant to a Memorandum of Understanding between NYCHA and the New York City Police Department (NYPD), the Authority provides apartments to Police Officers and their families at rents comparable to NYCHA resident employee rents. The presence of a Police Officer who resides in a NYCHA development enhances security, fosters a greater understanding between NYCHA residents and the Police, and provides role models for the youth residing in that development. A Resident Police

Officer (RPO) is required to perform a minimum of eight hours of Community Service per month. This Community Service may not include police work, law enforcement, Tenant Patrol or other security-related work.

NYCHA currently has 8 RPOs living in the following NYCHA developments: Amsterdam, Gowanus, Latimer Gardens, Mott Haven, Throggs Neck, Two Bridges, Vladeck, and Wise Towers.

B. Section 8

(1) Eligibility

a. What is the extent of screening conducted by the PHA? (select all that apply)

- ☒ Criminal or drug-related activity only to the extent required by law or regulation
- ☐ Criminal and drug-related activity, more extensively than required by law or regulation
- ☐ More general screening than criminal and drug-related activity (list factors below)
- ☐ Other (list below)

b. ☐ Yes ☒ No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

c. ☐ Yes ☒ No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

d. ☐ Yes ☒ No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

NYCHA performs criminal background checks by examining the public conviction records of the New York State Office of Court Administration and the Dru Sjodin National Sex Offender Public Website.

e. Indicate what kinds of information you share with prospective landlords? (select all that apply)

- ☐ Criminal or drug-related activity
- ☒ Other (describe below)

If requested, NYCHA will provide the property owner with the voucher holder's last address.

(2) Waiting List Organization

a. With which of the following program waiting lists is the section 8 tenant-based assistance waiting list merged? (select all that apply)

- ☒ None
- ☐ Federal public housing
- ☐ Federal moderate rehabilitation
- ☐ Federal project-based certificate program
- ☐ Other federal or local program (list below)

b. Where may interested persons apply for admission to section 8 tenant-based assistance? (select all that apply)

- ☐ PHA main administrative office
- ☒ Other (list below)

NYCHA's waitlist is currently closed to the general public. However, as of June 2020, the waitlist was opened in part for three categories of referrals: (1) referrals from the New York City Administration for Children's Services for youth in the Family Unification Program (FUP) whose assistance is expiring as a result of the 36-month time limit on their voucher without subsequent adequate housing; (2) referrals by a prosecutorial or law enforcement agency for victims of domestic violence and intimidated witnesses; and (3) referrals from NYCHA's Public Housing Operations Department for public housing residents because their unit is not habitable, they are at risk of displacement, or they are extremely under occupied or extremely over crowded. Persons from the general public can apply online.

(3) Search Time

- a. ☒ Yes ☐ No: Does the PHA give extensions on standard 60-day period to search for a unit?

If yes, state circumstances below:

NYCHA's initial voucher term is 120 days, which exceeds HUD's standard 60-day period. Voucher holders may request an extension to this term.

(4) Admissions Preferences

- a. Income targeting

☒ Yes ☐ No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 75 percent of all new admissions to the section 8 program to families at or below 30 percent of median area income?

- b. Preferences

1. ☒ Yes ☐ No: Has the PHA established preferences for admission to section 8 tenant-based assistance? (other than date and time of application) (if no, skip to subcomponent (5) Special purpose Section 8 assistance programs)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences

- ☐ Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
☒ Victims of domestic violence
☐ Substandard Housing
☒ Homelessness
☐ High rent burden (rent is > 50 percent of income)

Other preferences (select all that apply)

- ☐ Working families and those unable to work because of age or disability
☐ Veterans and veterans' families
☐ Residents who live and/or work in your jurisdiction
☐ Those enrolled currently in educational, training, or upward mobility programs
☐ Households that contribute to meeting income goals (broad range of incomes)
☐ Households that contribute to meeting income requirements (targeting)
☐ Those previously enrolled in educational, training, or upward mobility programs

- ☐ Victims of reprisals or hate crimes
☒ Other preference(s) (list below)

Preferences	Description
1	Homeless referrals from New York City (NYC) agencies, including referrals from ACS for FUP Youth voucher holders at risk for homelessness due to the expiration of FUP Youth assistance.
2	Victim of Domestic Violence Intimidated Witness - referred by prosecutorial or law enforcement agency
3	NYCHA public housing residents required to move because: (a) their unit is not habitable (b) they are at risk of displacement; or (c) they are extremely under occupied or extremely over crowded in their current apartment.
4	Mobility impaired and residing in inaccessible housing
5	Elderly persons and persons with disabilities
6	All other applicants

3. If the PHA will employ admissions preferences, please prioritize by placing a “1” in the space that represents your first priority, a “2” in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use “1” more than once, “2” more than once, etc.

Former Federal preferences

- 1** Homelessness
2 Victims of Domestic Violence
Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
Substandard Housing
High Rent Burden

Other preferences (select all that apply)

- ☐ Working families and those unable to work because of age or disability
☐ Veterans and veterans’ families
☐ Residents who live and/or work in your jurisdiction
☐ Those enrolled currently in educational, training, or upward mobility programs
☐ Households that contribute to meeting income goals (broad range of incomes)
☐ Households that contribute to meeting income requirements (targeting)
☐ Those previously enrolled in educational, training, or upward mobility programs
☐ Victims of reprisals or hate crimes
☒ Other preference(s) (list below)

Preferences	Description
1	Homeless referrals from New York City (NYC) agencies, including referrals from ACS for FUP Youth voucher holders at risk for homelessness due to the expiration of FUP Youth assistance.
2	Victim of Domestic Violence Intimidated Witness - referred by prosecutorial or law enforcement agency
3	NYCHA public housing residents required to move because: (a) their unit is not habitable (b) they are at risk of displacement; or (c) they are extremely under occupied or extremely over crowded in their current apartment.

4	Mobility impaired and residing in inaccessible housing
5	Elderly persons and persons with disabilities
6	All other applicants

4. Among applicants on the waiting list with equal preference status, how are applicants selected?
(select one)

- ☒ Date and time of application
☐ Drawing (lottery) or other random choice technique

5. If the PHA plans to employ preferences for “residents who live and/or work in the jurisdiction”
(select one)

- ☐ This preference has previously been reviewed and approved by HUD
☐ The PHA requests approval for this preference through this PHA Plan

6. Relationship of preferences to income targeting requirements: (select one)

- ☐ The PHA applies preferences within income tiers
☒ Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Special Purpose Section 8 Assistance Programs

In which documents or other reference materials are the policies governing eligibility, selection, and admissions to any special-purpose section 8 program administered by the PHA contained?
(select all that apply)

- ☒ The Section 8 Administrative Plan
☒ Briefing sessions and written materials
☐ Other (list below)

b. How does the PHA announce the availability of any special-purpose section 8 programs to the public?

- ☐ Through published notices
☒ Other (list below)

NYCHA receives direct referrals for special programs. NYCHA partners with agencies such as the Department of Veterans Affairs (“VA”), New York City Department of Veterans’ Services (“DVS”), and Administration for Children Services (“ACS”) as required for the special program type.

Veterans Affairs Supportive Housing (“VASH”)

The Authority has a total allocation of 3,190 vouchers. NYCHA is administering VASH vouchers in partnership with the Department of Veterans Affairs (“VA”) and the New York City Department of Veterans’ Services (“DVS”). Applicants are identified, screened, and referred by the VA and DVS to NYCHA for eligibility certification and voucher issuance.

2. Financial Resources

[24 CFR Part 903.7 (c)]

Financial Resources: 2021 Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2020 grants)		
a) Public Housing Operating Fund	\$990,025,469	<i>Public Housing Operations</i>
b) Public Housing Capital Fund (2020 Grant)	\$581,768,336	<i>Public Housing Maintenance</i>
c) Annual Contributions for Section 8 Tenant-Based Assistance	\$1,252,879,050	<i>Section 8 Program Operations</i>
Other Federal Grants (list below)		
FSS Self Sufficiency	\$0	<i>Self Sufficiency Services</i>
2. Prior Year Federal Grants (unobligated funds only) (as of October 31, 2020)		
FY 2018 Capital Fund	\$39,067,578	<i>Modernization</i>
FY 2019 Capital Fund	\$159,566,133	
FY 2020 Capital Fund	\$507,587,261	
Replacement Housing Factor	\$2,113,970	<i>New affordable housing construction</i>
HOPE VI Revitalization	\$34,943	<i>New construction at Prospect Plaza</i>
Public Housing Development Grants	\$420,081	<i>Modernization of former City/State developments</i>
3. Public Housing Dwelling Rental Income (includes City and State Developments)	\$980,298,050	<i>Public housing operations, safety and security, and supportive services</i>
4. Other income (list below)		
Other Revenue from Operations (includes City and State Developments)	\$21,995,500	<i>Public Housing Operations</i>
Interest Income	\$10,911,838	<i>Public Housing Operations</i>
Other Categorical Grants	\$4,695,438	<i>Improve residents' self-sufficiency, Summer intern program, and support for Resident Watch program</i>
Miscellaneous Income (includes Debt Service)	\$417,514,765	<i>Public housing operations, safety and security, and supportive services</i>
Total Resources	\$4,968,878,412	

3. Rent Determination

[24 CFR Part 903.7 (d)]

Public Housing

(1) Income Based Rent Policies

a. Use of discretionary policies: (select one)

- ☒ The PHA will not employ any discretionary rent-setting policies for income-based rent in public housing. Income-based rents are set at the higher of 30 percent of adjusted monthly income, 10 percent of unadjusted monthly income, the welfare rent, or minimum rent (less HUD mandatory deductions and exclusions). (If selected, skip to sub-component (2))

---or---

- ☐ The PHA employs discretionary policies for determining income-based rent (If selected, continue to question b.)

b. Minimum Rent

1. What amount best reflects the PHA's minimum rent? (select one)

- ☒ \$0
☐ \$1-\$25
☐ \$26-\$50

2. ☐ Yes ☒ No: Has the PHA adopted any discretionary minimum rent hardship exemption policies?

c. Rents set at less than 30 percent than adjusted income

1. ☐ Yes ☒ No: Does the PHA plan to charge rents at a fixed amount or percentage less than 30 percent of adjusted income?

d. Which of the discretionary (optional) deductions and/or exclusions policies does the PHA plan to employ? (select all that apply)

- ☒ For the earned income of a previously unemployed household member

NYCHA has implemented the earned income disallowance set forth in 42 U.S.C. §1437a(d).

- ☒ For increases in earned income
☐ Fixed amount (other than general rent-setting policy)
If yes, state amount/s and circumstances below:
☐ Fixed percentage (other than general rent-setting policy)
If yes, state percentage/s and circumstances below:
☐ For household heads
☐ For other family members
☐ For transportation expenses
☐ For the non-reimbursed medical expenses of non-disabled or non-elderly families
☐ Other (describe below)

e. Ceiling rents

1. Do you have ceiling rents? (rents set at a level lower than 30 percent of adjusted income)
(select one)

- ☐ Yes for all developments
☐ Yes, but only for some developments
☒ No

f. Rent re-determinations:

1. Between income reexaminations, how often must tenants report changes in income or family composition to the PHA such that the changes result in an adjustment to rent? (select all that apply)

- ☐ Never
☐ At family option
☒ Any time the family experiences an income increase
Due to addition of a family member or when there is an interim rent reduction with income subsequently restored.
☐ Any time a family experiences an income increase above a threshold amount or percentage:
(if selected, specify threshold) _____
☒ Other (list below)
Decreases in family income must be reported as well as any change in family composition.

g. ☐ Yes ☒ No: Does the PHA plan to implement individual savings accounts for residents (ISAs) as an alternative to the required 12-month disallowance of earned income and phasing in of rent increases in the next year?

(2) Flat Rents

1. In setting the market-based flat rents, what sources of information did the PHA use to establish comparability? (select all that apply.)

- ☐ The section 8 rent reasonableness study of comparable housing
☐ Survey of rents listed in local newspaper
☐ Survey of similar unassisted units in the neighborhood
☒ Other (list/describe below)

NYCHA sets flat rents based on 80% of the applicable fair market rental established under 42 U.S.C. § 1437f(c). This is an allowable rent structure under 42 U.S.C. § 1437a(a)(2)(B)(i)(I)(aa).

All current public housing residents, newly-admitted public housing residents or transferring public housing residents have the option of paying either the flat rent amount shown in the table on the next page or an income-based rent (calculated at the higher of: 30% of adjusted household income, 10% of gross household income, or the welfare rent), whichever is lower. NYCHA automatically charges residents the lower rent.

Effective January 1, 2021: Newly-admitted public housing residents or transferring public housing residents who will pay flat rent rather than income-based rent will pay the new flat rent amounts listed in the table below.

Effective 1st Quarter 2021 Annual Reviews (with a new rent effective date of May 1, 2021):

Current public housing residents whose family's annual income is reviewed in this quarter who will pay flat rent rather than income-based rent will pay the new flat rent amounts listed in the table below.

Apartment Size	FY 2021 Fair Market Rent	NYCHA's Flat Rent 80% of FY 2021 Fair Market Rent
Studio	\$1,760	\$1,408
1 Bedroom	\$1,801	\$1,441
2 Bedroom	\$2,053	\$1,643
3 Bedroom	\$2,598	\$2,079
4 Bedroom	\$2,784	\$2,228
5 Bedroom	\$3,202	\$2,562
6 Bedroom	\$3,619	\$2,896

Section 8 Tenant-Based Assistance**(1) Payment Standards**

Describe the voucher payment standards and policies.

a. What is the PHA's payment standard? (select the category that best describes your standard)

- ☐ At or above 90 percent but below 100 percent of FMR
☐ 100 percent of FMR
☒ Above 100 percent but at or below 110 percent of FMR
☐ Above 110 percent of FMR (if HUD approved; describe circumstances below)

b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply)

- ☐ FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area
☐ The PHA has chosen to serve additional families by lowering the payment standard
☐ Reflects market or submarket
☐ Other (list below)

c. If the payment standard is higher than FMR, why has the PHA chosen this level? (select all that apply)

- ☒ FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
☒ Reflects market or submarket
☒ To increase housing options for families
☐ Other (list below)

d. How often are payment standards reevaluated for adequacy? (select one)

- ☒ Annually
☐ Other (list below)

e. What factors will the PHA consider in its assessment of the adequacy of its payment standard?
(select all that apply)

- ☒ Success rates of assisted families
☒ Rent burdens of assisted families
☒ Other (list below)

Federal budget appropriation and standards adopted by local Section 8 administrators.

(2) Minimum Rent

a. What amount best reflects the PHA's minimum rent? (select one)

- ☐ \$0
☐ \$1-\$25
☒ \$26-\$50

b. ☒ Yes ☐ No: Has the PHA adopted any discretionary minimum rent hardship exemption policies? (if yes, list below)

Exemption policies are described in the Section 8 Administrative Plan, which is a Supporting Document available for review. Members of the public wishing to examine the Supporting Documents may email annualplancomments@nycha.nyc.gov. The document is also available on NYCHA's webpage at <http://www1.nyc.gov/assets/nycha/downloads/pdf/Housing-Choice-Voucher-Program.pdf>.

4. Operation and Management

[24 CFR Part 903.7 (e)]

A. PHA Management Structure

- ☒ An organization chart showing the PHA's management structure and organization is attached. (**Attachment H**)

B. HUD Programs Under PHA Management

List Federal programs administered by the PHA, number of families served at the beginning of the upcoming fiscal year and expected turnover in each. (Use "NA" to indicate that the PHA does not operate any of the programs listed below.)

Program Name	Units or Families Served at Year Beginning 2021	Expected Turnover
Public Housing	169,820	4,350
Section 8 Vouchers	85,944	3.09%
ROSS Service Coordinator Grant 2015: To enhance self-sufficiency by accessing employment and other economic-related resources and opportunities to NYCHA residents through geographically-based service coordination. During the last grant year NYCHA increased the number of target developments under this initiative.	947 services provided to ROSS residents from reporting period of 01/01/19 to 12/31/19	N/A
Other Federal Programs (list individually)		
City Harvest Mobile Market Program	198,922 lbs. of produce to approximately 4,263 participants monthly	N/A
Elderly Safe at Home The Elderly Safe at Home program provides services geared towards enhancing the general quality of life of elderly and nonelderly disabled residents who reside in 12 NYCHA developments. This program provides on-site social services to help improve their safety & security and enhance their health & well-being and allows residents to continue to live independently in their homes and prevent premature institutionalization.	An average of 968 residents served monthly	N/A

<p>Program Services includes: support and crime prevention, crisis intervention, and crime victim assistance to address and prevent crimes perpetrated against this vulnerable population. The program also assists residents with maintaining activities of daily living, accessing public entitlements, and coordinating services with outside providers. Residents can meet with the assigned worker in the social service office or in their homes. Workers are also expected to conduct regular home visits and telephone reassurance.</p> <p>This program also recruits and trains resident volunteers who are organized into a floor captain/buddy system and maintain daily contact with residents in their respective developments. The floor captains are the eyes and ears of the program. They are often the first to detect if something is wrong or identify an incident requiring immediate attention and are obligated to report back to program staff. This program also offers workshops on crime prevention, safety and security, and crime victims' rights and the criminal justice process. Information on these and other topics is disseminated through pamphlets and regularly scheduled meetings at program sites. Residents who need more comprehensive crime victim services are referred to community-based organizations and/or City agencies that specialize in this field.</p>		
Senior Resident Advisor – Merged with Elderly Safe at Home in 2019	An average of 439 residents are served monthly	N/A
<p>Family Self Sufficiency Program:</p> <p>A HUD initiative that promotes economic self-sufficiency among participating families by referring them to educational, career counseling, money management, job training as well as job placement services. Participants receive a savings account which grows as the family's earned income increases. Upon completion of the five-year FSS Contract of Participation, the family receives the money accumulated in the account, provided that the participant is employed, and no family member has received cash public assistance in the preceding twelve months.</p>	998 enrollments as of 12/31/19	N/A

C. Management and Maintenance Policies

(1) Public Housing Maintenance and Management: (list below)

- NYCHA Management Manual
- NYCHA Application and Tenancy Administration Manual
- NYCHA Tenant Selection and Assignment Plan (TSAP) Manual
- NYCHA Human Resources Manual
- NYCHA Emergency Procedure Manual
- NYCHA Contract Procedure Resolution
- NYCHA General Memoranda

- NYCHA Deputy General Manager Memoranda
- NYCHA Standard Procedures

(2) Section 8 Management: (list below)

- NYCHA Leased Housing Department Memoranda
- NYCHA Section 8 Administrative Plan
- NYCHA Housing Applications Manual

Members of the public wishing to examine the Management and Maintenance Policies may email annualplancomments@nycha.nyc.gov for further information.

5. PHA Grievance Procedures

[24 CFR Part 903.7 (f)]

A. Public Housing

1. ☐ Yes ☒ No: Has the PHA established any written grievance procedures in addition to federal requirements found at 24 CFR Part 966, Subpart B, for residents of public housing?

If yes, list additions to federal requirements below:

2. Which PHA office should residents or applicants to public housing contact to initiate the PHA grievance process? (select all that apply)

- ☒ PHA main administrative office
☒ PHA development management offices
☐ Other (list below)

B. Section 8 Tenant-Based Assistance

1. ☐ Yes ☒ No: Has the PHA established informal review procedures for applicants to the Section 8 tenant-based assistance program and informal hearing procedures for families assisted by the Section 8 tenant-based assistance program in addition to federal requirements found at 24 CFR 982?

If yes, list additions to federal requirements below:

2. Which PHA office should applicants or assisted families contact to initiate the informal review and informal hearing processes? (select all that apply)

- ☒ PHA main administrative office
☒ Other (list below)

*Written request to the Leased Housing Department.
 Calling the Customer Contact Center*

6. Designated Housing for Elderly and Disabled Families

[24 CFR Part 903.7 (i)]

1. ☒ Yes ☐ No: Has the PHA designated or applied for approval to designate or does the PHA plan to apply to designate any public housing for occupancy only by the elderly families or only by families with disabilities, or by elderly families

and families with disabilities or will apply for designation for occupancy by only elderly families or only families with disabilities, or by elderly families and families with disabilities as provided by section 7 of the U.S. Housing Act of 1937 (42 U.S.C. 1437e) in the upcoming fiscal year?

On July 21, 2017, HUD approved NYCHA's request to continue to extend the designation of the elderly-only developments and buildings for an additional two years. NYCHA's request to renew the Designated Housing Plan was approved on July 31, 2019.

Designation of Public Housing Activity Description
1a. Development name: Baruch Houses Addition 1b. Development (project) number: NY005010600
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 197 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Mary McLeod Bethune Gardens 1b. Development (project) number: NY005010030
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 210 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Borinquen Plaza I 1b. Development (project) number: NY005012430
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one)

Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 144 7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Boston Road Plaza 1b. Development (project) number: NY005010390
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 235 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Bronx River Addition 1b. Development (project) number: NY005010320
1. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
2. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
3. 4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 226

7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Reverend Randolph Brown 1b. Development (project) number: NY005012520
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 200
7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Cassidy-Lafayette 1b. Development (project) number: NY005011170
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 380
7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Chelsea Addition 1b. Development (project) number: NY005011340
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/>

Occupancy by families with disabilities <input type="checkbox"/>
Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
4. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 96
7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Claremont Parkway-Franklin Avenue 1b. Development (project) number: NY005013420
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 116
7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: College Avenue-East 165th Street 1b. Development (project) number: NY005013080
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one)

<input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 95 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: College Point Rehab 1b. Development (project) number: NY005011860
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 13 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: John Conlon LIHFE Towers 1b. Development (project) number: NY005010910
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 216 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Edward Corsi

1b. Development (project) number: NY005010640
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 171 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Davidson
1b. Development (project) number: NY005013420
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 56 7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: East 152nd Street-Courtlandt Avenue
1b. Development (project) number: NY005010280
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>

4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 130
7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Marcus Garvey (Group A)
1b. Development (project) number: NY005012520
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 86
7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Glebe Avenue-Westchester Avenue
1b. Development (project) number: NY005010670
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 132
7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description

1a. Development name: Bernard Haber
1b. Development (project) number: NY005011660
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 380
7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Harborview Terrace
1b. Development (project) number: NY005010220
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 195
7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: International Tower
1b. Development (project) number: NY005010910
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/>

Submitted, pending approval <input type="checkbox"/>
Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 159
7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Kingsborough Extension
1b. Development (project) number: NY005010100
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 184
7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Mayor Fiorello H. LaGuardia Addition
1b. Development (project) number: NY005010760
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 150

7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Leavitt Street-34th Avenue 1b. Development (project) number: NY005011860
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 83
7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Lower East Side I Infill 1b. Development (project) number: NY005011000
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 72
7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Justice Thurgood Marshall Plaza 1b. Development (project) number: NY005010030
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/>

Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 180
7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Judge Max Meltzer Tower 1b. Development (project) number: NY005011000
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 231
7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Middletown Plaza 1b. Development (project) number: NY005010340
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one)

<input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 179 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Mayor John Purroy Mitchel 1b. Development (project) number: NY005011450
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 165 7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Morris Park Senior Citizens Home 1b. Development (project) number: NY005012410
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 97 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Morrisania Air Rights

1b. Development (project) number: NY005012670
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 300
7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: New Lane Area
1b. Development (project) number: NY005010350
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 277
7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Randall Avenue – Balcom Avenue
1b. Development (project) number: NY005010630
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>

4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 252
7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: William Reid Apartments
1b. Development (project) number: NY005011670
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 230
7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Ira S. Robbins Plaza
1b. Development (project) number: NY005011390
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 150
7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development

Designation of Public Housing Activity Description
1a. Development name: Eleanor Roosevelt I 1b. Development (project) number: NY005011350
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 159 7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Shelton Houses 1b. Development (project) number: NY005010910
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 155 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Sondra Thomas Apartments 1b. Development (project) number: NY005011270
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one)

Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 87 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Peter Stuyvesant Gardens II 1b. Development (project) number: NY005012210
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 150 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Surfside Gardens 1b. Development (project) number: NY005011700
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 270

7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Twin Parks East (Site 9) 1b. Development (project) number: NY005012270
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 219 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Union Avenue-East 163rd Street 1b. Development (project) number: NY005013420
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 200 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: UPACA (Site 5) 1b. Development (project) number: NY005012410
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/>

Occupancy by families with disabilities <input type="checkbox"/>
Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 200
7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: UPACA (Site 6)
1b. Development (project) number: NY005012410
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
9. Number of units affected: 150
9. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Van Dyke II
1b. Development (project) number: NY005011680
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one)

<input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 112 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Vandalia Avenue 1b. Development (project) number: NY005011940
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 293 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: West Brighton II 1b. Development (project) number: NY005010130
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 144 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: West Tremont Avenue-Sedgwick Avenue 1b. Development (project) number: NY005010450

2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 148 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Gaylord White 1b. Development (project) number: NY005010090
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 248 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Carter G. Woodson 1b. Development (project) number: NY005011680
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>

4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 407 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development

7. Community Service and Self-Sufficiency

[24 CFR Part 903.7 (l)]

A. PHA Coordination with the Welfare (“TANF”) Agency

1. Cooperative agreements:

- ☒ Yes ☐ No: Has the PHA entered into a cooperative agreement with the TANF Agency, to share information and/or target supportive services (as contemplated by section 12(d)(7) of the Housing Act of 1937)?

If yes, what was the date that agreement was signed?

- Data Sharing – March 28, 2001
- Electronic Funds Transfer – April 9, 1998
- Data Sharing – December 5, 2014
- Data Sharing – July 14, 2015
- Data Sharing – April 16, 2018
- Data Sharing – March 11, 2019

2. Other coordination efforts between the PHA and TANF agency (select all that apply)

- ☐ Client referrals
- ☒ Information sharing regarding mutual clients (for rent determinations and otherwise)
- ☒ Coordinate the provision of specific social and self-sufficiency services and programs to eligible families
- ☐ Jointly administer programs
- ☐ Partner to administer a HUD Welfare-to-Work voucher program
- ☐ Joint administration of other demonstration program
- ☐ Other (describe)

B. Services and programs offered to residents and participants

(1) General

a. Self-Sufficiency Policies

Which, if any of the following discretionary policies will the PHA employ to enhance the economic and social self-sufficiency of assisted families in the following areas? (Select all that apply)

- ☒ Public housing rent determination policies:

For the earned income of a previously unemployed household member, NYCHA has implemented the Earned Income Disallowance set forth in 42 U.S.C. §1437a(d).

- ☒ Public housing admissions policies:

Working family priorities are assigned by income tier with the first number representing Tier III (households with incomes between 51% and 80% AMI), followed by Tier II (households with incomes between 31% to 50% AMI), and then Tier I (households with incomes at 30% AMI or less).

- ☐ Section 8 admissions policies
- ☐ Preference in admission to section 8 for certain public housing families
- ☐ Preferences for families working or engaging in training or education programs for

non-housing programs operated or coordinated by the PHA

- ☐ Preference/eligibility for public housing homeownership option participation
☐ Preference/eligibility for section 8 homeownership option participation
☐ Other policies (list below)

b. Economic and Social self-sufficiency programs

- ☒ Yes ☐ No: Does the PHA coordinate, promote or provide any programs to enhance the economic and social self-sufficiency of residents? (If “yes”, complete the following tables; if “no” skip to sub-component 2, Family Self Sufficiency Programs. The position of the table may be altered to facilitate its use.)

Program Name		Units or Families Served at Year Beginning 2020		Expected Turnover	
ROSS Service Coordinator Grant 2015: To enhance self-sufficiency by accessing employment and other economic-related resources and opportunities to NYCHA residents through geographically-based service coordination.		947 services provided to ROSS residents from reporting period of 01/01/19 to 12/31/19		N/A	
Family Self Sufficiency Program: A HUD initiative that promotes economic self-sufficiency among participating families by referring them to educational, career counseling, money management, job training as well as job placement services. Participants receive a savings account which grows as the family’s earned income increases. Upon completion of the five-year FSS Contract of Participation, the family receives the money accumulated in the account, provided that the participant is employed, and no family member has received cash public assistance in the preceding twelve months.		998 program enrollments as of 12/31/19		N/A	
Services and Programs					
Program Name & Description (including location, if appropriate)		Estimated Size	Allocation Method (waiting list/random selection/specific criteria/other)	Access (development office / PHA main office / office / another provider name)	Eligibility (public housing or section 8 participants or both)
NYCHA’s Office of Resident Economic Empowerment and Sustainability (REES) Intake & Assessment					
REES and Partner Information Sessions:		3,525 attendees at	Self-referred, unemployed and	REES offices located at central	Public Housing

Participants receive an orientation to REES and REES partner services, as well as an individual assessment and referrals to REES partner providers for appropriate services	an information session from reporting period 01/01/19 to 12/31/19	under-employed public housing & Section 8 residents	office location in Downtown Brooklyn / Offsite information sessions once a month at NYCHA community centers	Residents/ Section 8 Residents
REES Hotline Activity: The REES hotline facilitates over the phone resident self-refers to partner programs and serves as a resource for residents to RSVP for upcoming events, testing and information sessions.	20,805 calls handled from reporting period 01/01/19 to 12/31/19	Self-referred, unemployed and under-employed public housing & section 8 residents	Via phone	Public Housing /Section 8 residents
REES Microsite Activity: The microsite provides information about economic opportunity services, events and job opportunities available through REES and its partners. Residents can use the site to take action and “self-refer” to programs through downloadable referral slips and RSVP for events.	152,944 unique visitors from reporting period 01/01/19 to 12/31/19	Self-referred, unemployed and under-employed public housing & section 8 residents	Via REES’ microsite: www.opportunitynycha.org	Public Housing / Section 8 residents
REES Job Placement				
Direct job placement facilitated by REES through the Section 3 mandate, the NYCHA REP policy, the NYCHA Resident Training Academy, and outside employers	902 direct job placements from reporting period 01/01/19 to 12/31/19	Self-referred unemployed and under-employed public housing residents	REES offices located at central office location in Downtown Brooklyn	Public Housing Residents
Section 3: A HUD-mandated regulation whose purpose is to ensure that employment and other economic opportunities generated by Federal assistance to public housing authorities shall, to the greatest extent feasible, be directed to public housing residents and other low and very low-income persons. Resident Employment Program (REP): An alternative program	755* Projected Hires on contracts award from reporting period 01/01/19 to 12/31/19 <i>*Hiring projections include those made on upcoming</i>	Public Housing and Section 3 Residents	REES offices at Downtown Brooklyn, Contractor and work locations throughout NYCHA	Public Housing & Section 3 residents

for implementing Section 3. Established on January 1, 2001, REP requires that 15% of the total labor cost (including fringe benefits) of a contract in excess of \$500,000 for modernization, new construction and building maintenance work taking place at public housing developments, be expended on resident hiring and/or training.	<i>NYCHA Real Estate Development projects.</i>			
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<p>Jobs Plus: Through 10 coordinated sites, the Jobs Plus employment program seeks to raise the level of employment for the residents of selected developments by increasing family income through: Employment related services Rent incentives that help make work pay Neighbor to neighbor support to work</p> <ul style="list-style-type: none"> • Jobs-Plus is administered by NYCHA, HRA, CEO and OFE • 1 of the 10 Jobs-Plus sites is funded through the HUD Jobs Plus Initiative Grant 	<p>1,693 Placements from reporting period 01/01/19 to 12/31/19</p>	<p>Public Housing Residents</p>	<ul style="list-style-type: none"> • East Harlem – Urban Upbound • South Bronx Site I – Bronx Works • South Bronx Site II –East Side Settlement House • Western Queens – Urban Upbound • Lower East Side – Henry Street Settlement House • Central Brooklyn – Bedford Stuyvesant Restoration Corporation • Brownsville Brooklyn-Grant Associates • Northwest Bronx – Goodwill Industries • Staten Island – Arbor ResCare • East New York – Bedford Stuyvesant Restoration Corporation 	<p>Public Housing Residents</p> <p>Must be a public housing resident of target site location.</p>
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REES Connection to Services				
Recruitment for Cohort Based Services and program enrollment: Services in the following categories are offered through REES partners in the five boroughs <ul style="list-style-type: none"> • Vocational Training • Adult Education • Financial Education • Business Development 	923 enrollments in classes and trainings as of reporting period 01/01/19 to 12/31/19	Residents are recruited in time-bound, targeted recruitment campaigns that may include information sessions, pre-screening events, and targeted mailings, phone-banking and web-based outreach. Recruitment is based on minimum criteria of each program	Services provided at partner locations	Public Housing Residents/ Section 8 residents
Referrals to Ongoing Services: Services in the following categories are offered through REES partners in the five boroughs <ul style="list-style-type: none"> • Vocational Training • Adult Education • Financial Counseling • SNAP Access • Workforce Development • Business Planning 	1,958 unique residents were referred to ongoing services from reporting period 01/01/19 to 12/31/19	Residents are referred by NYCHA staff from multiple departments, including REES, through a web-based system that notifies providers to engage with a referred resident. There are no minimum criteria other than the resident's consent to participate in the service provision.	Services provided at partner locations	Public Housing / Section 8
NYCHA Resident Training Academy (NRTA): Provides employment-focused training and job placement assistance to NYCHA residents in the constructional and janitorial fields (supported by the Robin Hood Foundation)	384 graduates in the NRTA program year as of reporting period 01/01/19 to	Public housing residents are recruited through multiple outreach channels and complete an initial pre-screen with REES staff.	City Technical College/ Brooklyn Workforce Innovations	Public Housing Residents

	12/31/19	Program referrals are based on testing, pre-screening, interest, and other eligibility requirements and qualifications.		
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2) Family Self Sufficiency Program

a. Participation Description

Family Self Sufficiency (“FSS”) Participation		
Program	Required Number of Participants (start of FY 2013 Estimate)	Actual Number of Enrolled Participants (As of: 12/31/19)
Public Housing	0	0
Section 8	0	998

- b. ☒ Yes ☐ No: If the PHA is not maintaining the minimum program size required by HUD, does the most recent FSS Action Plan address the steps the PHA plans to take to achieve at least the minimum program size?
If no, list steps the PHA will take below:

Since the fall of 2010, REES has operated the Housing Choice Voucher (“HCV”) (Section 8) Family Self Sufficiency (“FSS”) program. As of December 31, 2019, the program has enrolled 998 participants, of which 412 or 41 percent have escrow accounts averaging over \$6,474. NYCHA was awarded a 2019 Family Self Sufficiency grant for three (3) Coordinators. In 2019, the program continued to outreach to residents participating in the HUD Family Unification Program (FUP) demonstration initiative for youth who have aged out of foster care. In addition to receiving the standard FSS benefits, FUP youth who enroll in FSS can extend the duration of their NYCHA Section 8 voucher from three to five years. Additionally, in 2019, the program increased efforts to recruit residents converted to Section 8 tenants as part of the Rental Assistance Demonstration Program (RAD).

C. Welfare Benefit Reductions

1. The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)

- ☒ Adopting appropriate changes to the PHA’s public housing rent determination policies and train staff to carry out those policies
- ☒ Informing residents of new policy on admission and reexamination
- ☒ Actively notifying residents of new policy at times in addition to admission and reexamination.
- ☒ Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
- ☒ Establishing a protocol for exchange of information with all appropriate TANF agencies
- ☐ Other: (list below)

8. Safety and Crime Prevention

[24 CFR Part 903.7 (m)]

A. Need for measures to ensure the safety of public housing residents

1. Describe the need for measures to ensure the safety of public housing residents (select all that apply)

- ☐ High incidence of violent and/or drug-related crime in some or all of the PHA's developments
- ☐ High incidence of violent and/or drug-related crime in the areas surrounding or adjacent to the PHA's developments
- ☐ Residents fearful for their safety and/or the safety of their children
- ☐ Observed lower-level crime, vandalism and/or graffiti
- ☐ People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug-related crime
- ☒ Other (describe below)

NYCHA recognizes the need to ensure the safety of public housing residents and works closely with the New York City Police Department's Housing Bureau. It is the mission of the New York City Police Department to enhance the quality of life in our City by working in partnership with the community and in accordance with constitutional rights to enforce the laws, preserve the peace, reduce fear, and provide for a safe environment. The Housing Bureau has developed a one-year plan designed to increase the safety and security of residents of public housing. The Strategic Plan for the New York City Police Department's Housing Bureau is included in the Supporting Documents of the Annual Plan.

2. What information or data did the PHA used to determine the need for PHA actions to improve safety of residents. (select all that apply)

- ☐ Safety and security survey of residents
- ☒ Analysis of crime statistics over time for crimes committed "in and around" public housing authority
- ☐ Analysis of cost trends over time for repair of vandalism and removal of graffiti
- ☒ Resident reports
- ☒ PHA employee reports
- ☒ Police reports
- ☒ Demonstrable, quantifiable success with previous or ongoing anticrime/anti-drug programs
- ☐ Other (describe below)

3. Which developments are most affected? (list below)

The Strategic Plan for the New York City Police Department's Housing Bureau is included in the Supporting Documents of the Annual Plan.

B. Crime and Drug Prevention activities the PHA has undertaken or plans to undertake in the next PHA fiscal year

1. List the crime prevention activities the PHA has undertaken or plans to undertake: (select all that apply)

- ☒ Contracting with outside and/or resident organizations for the provision of crime- and/or drug-prevention activities

- ☒ Crime Prevention Through Environmental Design
- ☒ Activities targeted to at-risk youth, adults, or seniors
- ☒ Volunteer Resident Patrol/Block Watchers Program
- ☐ Other (describe below)

2. Which developments are most affected? (list below)

The Strategic Plan for the New York City Police Department's Housing Bureau is included in the Supporting Documents of the Annual Plan.

C. Coordination between PHA and the police

1. Describe the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities: (select all that apply)

- ☒ Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plan
- ☒ Police provide crime data to housing authority staff for analysis and action
- ☒ Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)
- ☒ Police regularly testify in and otherwise support eviction cases
- ☒ Police regularly meet with the PHA management and residents
- ☒ Agreement between PHA and local law enforcement agency for provision of above-baseline law enforcement services
- ☐ Other activities (list below)

2. Which developments are most affected? (list below)

The Strategic Plan for the New York City Police Department's Housing Bureau is included in the Supporting Documents of the Annual Plan.

D. Any activities, services, or programs provided or offered by an agency, either directly or in partnership with other service providers, to child or adult victims of domestic violence, dating violence, sexual assault, or stalking;

NYCHA makes referrals to the following organizations:

- **Sanctuary for Families** is a New York City-based non-profit organization dedicated to aiding victims of domestic violence and their children. Its services include crisis intervention, emergency and transitional shelter, legal assistance and representation, adult and child counseling, and long-term follow-up. Its Legal Center is one of the largest providers of free legal services exclusively for victims of domestic violence, sex trafficking, and other forms of gender-based violence in the United States.
- **Safe Horizon** is a victim assistance organization designed to provide support, prevent violence, and promote justice for victims of crime and abuse. Its programs help survivors of domestic violence rebuild their lives through counseling, short term housing, legal and other support.
- **Queens District Attorney's Office** has a Domestic Violence Bureau, which prosecutes misdemeanor and felony cases involving domestic partners. The Bureau, in collaboration with Safe Horizon, offers a domestic violence education component to police, hospital staff and community organizations.
- **Project SAFE** offers services for those who have experienced a crime in which the security of their home has been compromised. Project SAFE will send a professional locksmith to change the lock or cylinder for free, provided the victim has the requisite police reports and qualifies for a free lock change.

- **Brooklyn Defender Services:** Their staff of 300 comprises of 180 attorneys and 120 support staff, including social workers, investigators, paralegals, re-entry specialists, jail liaisons, education, community organizers and policy specialists as well as dedicated advocates for youth, veterans and parents. They serve their clients in the courtroom and in the community, defending their rights and helping them to amplify their voices to call for the changes that they see are necessary for the health and success of their neighborhoods.
- **Prevention Assistance and Temporary Housing (PATH):** People who leave unsafe environments and need temporary shelter can get help through PATH.
- **CAMBA – Bedford-Stuyvesant Multi-Service Center:** Family Violence Prevention and Intervention: CAMBA offers a 24/7 victims' hotline, escort services, crisis counseling, individual and group support and education, advocacy, emergency cash assistance and referrals to other services for victims of violence within the home.
- **East New York Family Center Brooklyn Community Services:** Organization providing children and families with counseling, foster care placement prevention. Services include – Local health/social services, Domestic abuse/victims' services, Home-based family services program, and child abuse and neglect preventive services.
- **Good Shepherd Services - Safe Homes Project:** The Safe Homes Project (SHP) is a community-based domestic violence advocacy and service program which provides a hotline, counseling, safety-planning and advocacy for survivors of domestic violence and runs a 20-bed shelter. Provides targeted services for special populations, including Spanish-speakers, youth, and LGBTQ survivors of partner violence.
- **Domestic Violence Aftercare Program:** The Domestic Violence Aftercare Program, operated by HRA, provides supportive services, referrals and advocacy to NYCHA tenants and their authorized family members to successfully and safely relocate to their new home through NYCHA's Emergency Transfer Program. The services include assistance with relocation, safety planning, in-home case management, and referrals as needed; services are free, voluntary and confidential.

E. Any activities, services, or programs provided or offered by a PHA that helps child and adult victims of domestic violence, dating violence, sexual assault, or stalking, to obtain or maintain housing

NYCHA makes referrals to the following organizations:

- **New York City Family Justice Centers** are the outgrowth of the Mayor's Office to Combat Domestic Violence and the District Attorneys' offices. There are one stop shops in every borough that provides free and confidential assistance to survivors of intimate partner violence, sex trafficking and elder abuse. They welcome people of all ages, sexual orientations and gender identities, regardless of what language or immigration status or income. All centers are open Monday through Friday 9:00am – 5:00pm. Bronx and Brooklyn center recently extended their hours to include evening hours. Walk-ins encouraged, no appointment necessary, spoken translation at every center. Services include: case management, counseling, therapy, psychiatry, financial and budgeting assistance, lawyers, DVP officers, prosecutors and NYC sheriff's office, and child care.
- The **Department for The Aging (DFTA)** offers funded elder abuse organizations.
- **Adult Protective Services (APS)** – Vulnerable adults who are being abuse, neglected and/or financially exploited are referred to APS for more intensive on going supports.

F. Any activities, services, or programs provided or offered by a public housing agency to prevent domestic violence, dating violence, sexual assault, and stalking, or to enhance victim safety in assisted families

NYCHA Departments:

- NYCHA's Family Partnerships department offers assistance, guidance, information and referrals to NYCHA resident survivors of intimate partner violence, sex trafficking and elder abuse.
- NYCHA's Management Services prioritizes all emergency transfer request for those NYCHA resident survivors of intimate partner violence, sex trafficking and elder abuse.

Events:

- Annual intimate partner abuse and/or elder abuse conferences.
- DV/EA agencies are routinely invited to table at NYCHA resource fairs/ outreach events / family days, etc.
- NYCHA participates in the Mayor's Office to Combat Domestic Violence Task Force

9. Pet Policy

1. Dog/Cat:

A household may own either one dog or one cat. Such dog or cat must be registered in accordance with NYCHA's pet registration requirements.

2. Weight Limits:

As of February 1, 2010, tenants who wish to maintain a dog in their NYCHA apartment will be permitted to register such dog, provided the adult weight of the dog does not exceed 25 pounds. Specifically, prohibited dogs (either full breed or mixed breed) include: Doberman Pinscher, Pit Bull and Rottweiler. Assistance Animals are exempt from weight and breed restrictions.

3. Registration:

Every household that owns a dog, a cat, or an Assistance Animal **MUST** submit to NYCHA a registration form (available at the management office within **30** days after such dog, cat or an Assistance animal was acquired. If tenant is adding a new pet after a pet has been removed from the household, (*e.g., the pet has passed away*), the tenant must provide proof the animal was removed from the household or complete NYCHA Form 040.299B, *Animal Removal Agreement*, if documentation cannot be provided a dog or cat that is not registered may not reside in a NYCHA apartment.

4. Dog Tag:

When in public or common areas, all dogs (including dogs that are Assistance Animals) must wear its NYCHA's issued tag on a collar around its neck. *Please note that this does not eliminate or replace New York City's dog license requirement (Health Code §161.04).*

5. Assistance Animals:

There are two types of assistance animals: (1) service animal, which is defined as any dog that is individually trained to do work or perform tasks for the benefit of an individual with a disability, including a physical, sensory, psychiatric, intellectual, or other mental disability; and (2) other (trained or untrained) animals that do work, perform tasks, provide assistance, and/or provide therapeutic emotional support for individuals (*e.g.* support animals). A service animal can only be a dog. One example is a guide dog for a visually impaired individual. Service animals must be registered.

Tenants seeking a reasonable accommodation for an assistance animal must complete NYCHA Form 040.505, *Dog, and Cat, and Assistance Animal Registration Form*. Assistance animals must be registered.

6. Other Pets:

Reasonable quantities of other pets such as small caged birds (parakeets, canaries), fish and small caged animals (hamsters, gerbils, guinea pigs), maintained in accordance with the NYC Health Code, are permitted. These animals do not need registration. This paragraph does not apply to dogs, cats or assistance animals.

7. Dangerous Pets:

Animals that are vicious, threatening, bite people or that are otherwise prohibited by law are not permitted in NYCHA apartments or on NYCHA property. Tenants are not permitted to

keep dangerous dogs, including fighting dogs or attack dogs, on NYCHA property. This rule applies to assistance animals as well.

8. Pet Conduct:

Pets must be kept in a manner that will not create a nuisance, excessive noise or an unsafe or unsanitary condition. A pet must not injure, cause harm to, or threaten other people. A pet must not cause damage to personal property or to other animals. A pet must not damage NYCHA property or premises, including buildings (inside or outside an apartment), elevators, common grounds, trees, shrubs or ground cover. These rules apply to assistance animals.

9. Pet Waste:

Pet owners must clean up after their pets, in their apartment and in public areas. Dispose of pet waste, including cat litter box filler, in the compactor with the regular garbage, **not** in the toilet. Dogs must be curbed. Solid dog waste must be picked up. These rules apply to assistance animals as well.

10. Dog Leash:

A dog must always be kept on a leash, six feet long or less, while in a public area both inside and outside of NYCHA buildings.

11. Pet-Free Zone:

Pets are not allowed to enter a designated “no-pet” area, such as Management Offices, playgrounds, Community Facilities, laundry rooms, basement areas, barbecue areas, roofs or roof landings. Assistance animals may enter pet-free zones, as necessary.

12. Spay/Neuter:

Dogs and cats must be spayed or neutered. This rule applies to assistance animals as well.

13. Vaccination:

Dogs and cats must have a current rabies vaccination. This rule applies to assistance animals as well.

14. Fee Exemptions:

No fees required.

10. Civil Rights Certification

[24 CFR Part 903.7 (o)]

Civil rights certifications are included in the PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations.

11. Fiscal Year Audit

[24 CFR Part 903.7 (p)]

1. ☒ Yes ☐ No: Is the PHA required to have an audit conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h))? (If no, skip to component 17.)
2. ☒ Yes ☐ No: Was the most recent fiscal audit submitted to HUD?

Yes. The most recent fiscal audit for year 2019 has been completed and the final audit report was electronically submitted to the Federal Audit Clearinghouse as well as HUD REAC on December 30, 2020.

3. ☐ Yes ☒ No: Were there any findings as the result of that audit?
4. ☐ Yes ☒ No: If there were any findings, do any remain unresolved?
If yes, how many unresolved findings remain? _____
5. ☐ Yes ☐ No: Have responses to any unresolved findings been submitted to HUD?
If not, when are they due (state below)?

12. Asset Management

[24 CFR Part 903.7 (q)]

1. ☐ Yes ☒ No: Is the PHA engaging in any activities that will contribute to the long-term asset management of its public housing stock, including how the Agency will plan for long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs that have not been addressed elsewhere in this PHA Plan?

Please see Attachment B on pages 83 to 163 for information on NYCHA's activities related demolition and disposition, conversion of public housing, homeownership, project-based vouchers and RAD/PACT. Please see page 164 for the information on NYCHA's Capital Fund Grant.

2. What types of asset management activities will the PHA undertake? (select all that apply)
- ☐ Not applicable
- ☒ Private management
- ☒ Development-based accounting
- ☒ Comprehensive stock assessment
- ☐ Other: (list below)

13. Violence Against Women Act ("VAWA")

NYCHA adheres to the federal Violence Against Women Act ("VAWA") by providing protections to victims of domestic violence, dating violence, sexual assault, and stalking (VAWA victims). In accordance with VAWA, NYCHA (i) notifies public housing tenants and Section 8 participants of their rights under VAWA; (ii) protects eligible tenants and authorized household members from eviction or termination of Section 8 assistance based on their status as a VAWA victim; (iii) may terminate public housing tenancy or occupancy rights or Section 8 assistance to an abuser while protecting the rights of the VAWA victim and other authorized household members; (iv) protects eligible applicants from being denied admission based on their status as VAWA victims; (v) affords eligible VAWA victims a transfer under its Public Housing and Section 8 emergency transfer plans; and (vi) links tenants to resources and alternative housing options. Additionally, NYCHA provides a transfer priority for intimidated victims, intimidated witnesses and victims of a traumatic incident as well as an admission preference for eligible victims of domestic violence and intimidated witnesses.

Additional details can be found on page 187 of Attachment E.

ATTACHMENT B
**DEMOLITION AND/OR DISPOSITION, CONVERSION OF PUBLIC
HOUSING, HOMEOWNERSHIP, PROJECT-BASED VOUCHERS AND
RENTAL ASSISTANCE DEMONSTRATION (RAD)**

A) Demolition and/or Disposition

Build to Preserve Housing Developments

Holmes Towers, Manhattan – NYCHA intends to lease a parcel of approximately 20,660 square feet on Block 1573, Lot 20 with approximately 330,368 square feet of development rights for market rate and affordable housing development. NYCHA in collaboration with HPD issued an RFP in Spring 2016 and a developer was designated in Spring 2017. A Section 18 Application was submitted in 2019 but was subsequently withdrawn.

Wyckoff Gardens, Brooklyn – NYCHA intends to lease two (2) parcels of approximately 31,000 and 25,000 square feet respectively, both on Block 394, Lot 1, with approximately 500,000 square feet of total development rights for market rate and affordable housing development. NYCHA in collaboration with HPD issued an RFP in Spring 2016 and a developer was designated in late 2017.

La Guardia, Manhattan – NYCHA intends to lease a parcel of approximately 18,000 square feet on Block 256, Lot 1 with approximately 350,000 square feet of residential development rights for market rate and affordable housing development. NYCHA in collaboration with HPD issued an RFP in 2018.

New 100% Affordable Housing Developments

Astoria, Queens – Multi-phase project for the development of two affordable housing buildings, an additional building with a program to be determined, an option for the NYC School Construction Authority to acquire a parcel to build a new school, and facilitation of the reopening of Astoria Boulevard as a private street for public access through a street easement in conjunction with a mixed-use development in Queens on the waterfront at Halletts Point. The first building for affordable housing was sold and construction began in 2019. Additionally, the School Construction Authority has been given notice that the option to acquire a school site from NYCHA is active and will remain valid to December 31, 2022.

Soundview, Bronx – In 2008, NYCHA and HPD conditionally designated a developer to build affordable housing on an under-utilized parking area at Rosedale Avenue and Lacombe Avenue along Soundview Park. The plan included two eight-story buildings with 206 low income rental units for families and seniors and 16 two-family townhouses for homeownership in a multi-phased affordable housing development project. On June 27, 2013, NYCHA disposed of a 68,500 square foot lot for construction of 120 rental units for low-income households (“Phase I”). Phase I was completed in November 2015. On December 19, 2013, NYCHA disposed of a 48,452 square foot lot for construction of 86 units for low-income seniors: eighty-five Section 8 Housing Choice Vouchers were reserved for the new senior residents (“Phase II”). Phase II was completed in June 2016. Phase III consists of construction of 72 for sale cooperative units and closed in October 2020.

Betances VI, Bronx – NYCHA intends to lease a parcel of approximately 10,000 square feet on Block 2291, Lot 1, for construction of a 101-unit family housing development. NYCHA in

collaboration with HPD issued an RFP in 2016 and a developer was designated in 2017. A Section 18 Application was submitted and approved in 2019. Demolition of the existing one-story commercial structure is anticipated for 2020 or 2021, and construction of the new affordable housing development is scheduled to begin in 2021.

Morrisania Air Rights, Bronx – NYCHA intends to lease a parcel of approximately 21,200 square feet on Block 2409, Lot 98, for construction of a 171-unit family housing development. NYCHA in collaboration with HPD issued an RFP in 2017. A developer was designated in 2018. A Section 18 Application was submitted and approved in 2020 and construction is scheduled to begin in 2021.

Sumner, Brooklyn – NYCHA intends to lease a parcel of approximately 24,200 square feet on Block 1580, Lot 1, for construction of a senior housing development with approximately 190 units. NYCHA in collaboration with HPD issued an RFP in 2017. A developer was designated in 2018. A Section 18 Application was submitted in 2020.

Twin Parks West, Bronx – NYCHA intends to lease a parcel of approximately 16,500 square feet on Block 3143, Lots 234, 236 and 240, for construction of a 182-unit family housing development. NYCHA in collaboration with HPD issued an RFP in 2017. A developer was designated in 2018. A Section 18 Application was submitted and approved in 2020 and construction is scheduled to begin in 2021.

Harborview Terrace, Manhattan – NYCHA intends to lease a parcel of approximately 29,000 square feet on Block 1084, Lot 9, for construction of a new housing development. NYCHA in collaboration with HPD issued an RFP in 2017.

Bushwick II CDA (Group E), Brooklyn – NYCHA intends to lease a parcel of approximately 12,300 square feet on Block 3325, Lot 1 for construction of a senior housing development. A developer was designated in 2019. Construction is scheduled to begin in 2021 or 2022 contingent upon Section 18 approval.

Justice Sonya Sotomayor Houses, Bronx – NYCHA intends to lease a parcel of approximately 13,000 square feet on Block 3730, Lot 1 for construction of a senior housing development with approximately 201 units. A developer was designated in 2019. Construction is scheduled to begin in 2021 contingent upon Section 18 approval.

Dyckman Houses, Manhattan – NYCHA intends to lease a parcel of approximately 15,000 square feet on Block 2216, Lot 1 for construction of an affordable housing development with approximately 180-250 units.

Morris II Houses, Bronx – NYCHA intends to lease a parcel of approximately 13,000 square feet on Block 2902, Lot 36 for construction of a senior affordable housing development with approximately 150-200 units. NYCHA issued an RFP in collaboration with HPD in 2019.

Kingsborough Houses and Kingsborough Houses Extension, Brooklyn – NYCHA intends to lease a parcel of approximately 18,000 square feet on Block 1344, Lots 1 and 175 for construction of an affordable senior housing development with approximately 150-200 units. NYCHA issued an RFP in collaboration with HPD in 2019.

West Brighton II, Staten Island – NYCHA intends to lease a parcel on Block 196, Lot 1 for construction of a housing development. NYCHA intends to issue an RFP in collaboration with HPD in 2020.

East 173rd Street-Vyse Avenue, Bronx – NYCHA obtained HUD’s approval to dispose of land along Hoe Avenue that includes a parking lot, basketball court, and grounds to accommodate a proposal from a sponsor for a three-phase, low-income housing project. The proposal will build a total of 224 dwelling units, including 56 senior resident apartments. The project also requires the transfer of up to 60,000 sq. ft. of development rights. Conveyance of each of the three phases’ building sites is pending funding approval by the sponsor. The first parcel of land was conveyed December 21, 2009 to construct an 84-unit apartment building. Conveyance of a second parcel for another 84-unit apartment building took place in 2013. Construction and tenancing are completed for the first and second phases. The conveyance of the parcel for the final phase of the project is delayed pending demolition of an existing church and finalization of a plan to provide ground floor space within the Phase III development for the church.

Ocean Bay Apartments (Oceanside), Queens – NYCHA intends to dispose of parcels of land and an existing, vacant, one-story commercial building to facilitate construction of a mixed-use building. The parcels are 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 of approximately 37,111 square feet total, as part of the Ocean Bay HOPE VI Plan through eminent domain. Disposition, demolition of the existing structure, and start of construction is planned for 2021.

Other Development Activities

Easements and Transfers of Land for Improved Resiliency – To enhance coastal resiliency capabilities along vulnerable, low-lying shoreline communities, the New York City Mayor’s Office of Recovery and Resiliency (ORR) has proposed the installation and implementation of various countermeasures. Many of these communities are abutted by NYCHA housing development sites, thereby necessitating easement agreements between NYCHA and ORR. These transactions will be facilitated by the Section 18 Demolition/Disposition process and will ultimately allow for ORR to build preventative measures on NYCHA land to guard against potentially widespread flood damage. Section 18 application submission dates, as well as construction start dates, have not yet been finalized.

Transfer to Preserve

Robert Fulton, Manhattan – NYCHA intends to dispose of approximately 30,000 square feet of surplus development rights for commercial office development on 10th Avenue through a zoning lot merger. The proposed TDR will generate revenue for NYCHA. NYCHA intends to submit a Section 18 application upon receipt of lot merger consent from the intervening owners.

College Avenue – East 165 Street, Bronx – NYCHA intends to dispose of approximately 12,000 square feet of surplus development rights through a zoning lot merger. The proposed TDR will facilitate a new residential housing development and generate funding to make repairs at the College Avenue-East 165th Street development.

Howard Houses, Brooklyn – NYCHA intends to dispose of a parcel of land of approximately 4,560 square feet, and approximately 23,360 square feet of additional surplus development rights through a zoning lot merger. The proposed land sale and TDR will facilitate an affordable housing development and generate revenue for NYCHA. NYCHA intends to submit a Section 18 application in 2021.

Manhattanville, Manhattan – NYCHA recently received a proposal to dispose of two small parcels of land and surplus development rights through a zoning lot merger. The proposed transaction would generate funding to make repairs at the Manhattanville development. NYCHA intends to engage with residents at the Manhattanville development to discuss this project further.

Campos Plaza II, Manhattan – NYCHA intends to potentially dispose of up to approximately 100,000 square feet of surplus development rights through a zoning lot merger. The proposed transaction will generate funding to make repairs at the Campos Plaza II development.

Demolition and/or Disposition

[24 CFR Part 903.7 (h)]

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.)

Demolition/Disposition Activity Description
1a. Development name: FHA Repossessed Houses – Group V [Formerly Groups I, II, III, V, VI, VII, IX, and X]
1b. Development (project) number: NY005012090
<p>2. Activity type: Demolition <input type="checkbox"/></p> <p>Disposition <input checked="" type="checkbox"/> <i>NYCHA intends to dispose of twenty (20) units in twelve (12) vacant properties comprised of one (1) four-family, five (5) two-family homes and six (6) one-family homes located in Queens and Brooklyn. Due to their scattered locations and wood frame construction, these properties are costly to operate as public housing and represent an inefficient allocation of housing resources within the Authority.</i></p> <ul style="list-style-type: none"> • <i>305 Atkins Avenue, Brooklyn, NY 11208, Total Units – 4 (1 One-Bedroom Unit, 3 Two-Bedroom Units)</i> • <i>113-44 Springfield Boulevard, Queens Village, NY 11429, Total Units – 2 (1 One Bedroom, 1 Two Bedroom Units)</i> • <i>144-29 105th Avenue, Jamaica, NY 11435, Total Units = 2 (3 Three-Bedroom Units)</i> • <i>69-33 Bayfield Avenue, Arverne, NY 11692, Total Units = 2 (1 One-Bedroom Unit, 1 Three-Bedroom Unit)</i> • <i>349 Berriman Street, Brooklyn, NY 11208, Total Units – 2 (1 Two-Bedroom Unit and 1 Three-Bedroom Unit)</i> • <i>140 East 91st Street, Brooklyn, NY 11212, Total Units – 2 (1 One-Bedroom Unit and 1 Two-Bedroom Unit)</i> • <i>144-23 166th Street, Springfield Gardens, NY 11434, Total Units = 1 (Three-Bedroom Unit)</i> • <i>143-03 105th Avenue, Jamaica, NY 11435, Total Units = 1 (Three-Bedroom Unit)</i> • <i>114-22 166th Street, Jamaica, NY 11434, Total Units = 1 (Three-Bedroom Unit)</i> • <i>231 Fernside Place, Far Rockaway, NY 11691, Total Units = 1 (Three-Bedroom Unit)</i> • <i>119-12 219th Street, Jamaica, NY 11411, Total Units – 1 (Three-Bedroom Unit)</i>

<ul style="list-style-type: none"> • 146-23 176th Street, Jamaica, NY 11434, Total Units = 1 (Three-Bedroom Unit)
3. Application status (select one) Approved <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date application approved , submitted, or planned for submission: Fall 2020
5. Number of units affected: 6
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: May 2006 b. Projected end date of activity: Winter 2020/2021
Demolition/Disposition Activity Description
1a. Development name: FHA Repossessed Houses – Group V [Formerly Group IX]
1b. Development (project) number: NY005012090
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>NYCHA intends to dispose of seven (7) units in two (2) vacant properties comprised of a vacant three-family home located at 99 Waverly Avenue, and a vacant four-family home located at 110 Waverly Avenue, both located in Brooklyn. Due to their scattered location and severely deteriorated physical state, including structural instability and fire damage, these properties are costly to operate as public housing and represent an inefficient allocation of housing resources within the Authority.</i> <ul style="list-style-type: none"> • 99 Waverly Avenue, Brooklyn, NY 11205, Total Units = 3 (All One-Bedroom Units) • 110 Waverly Avenue, Brooklyn, NY 11205, Total Units = 4 (All Two-Bedroom Units)
3. Application status (select one) Approved <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date application approved , submitted, or planned for submission: Winter 2013
5. Number of units affected: 7
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: May 2006 b. Projected end date of activity: Winter 2020/2021
Demolition/Disposition Activity Description
1a. Development name: FHA Repossessed Houses – Group V [Formerly Group X]
1b. Development (project) number: NY005012090
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>NYCHA intends to dispose of one (1) one-bedroom unit in one (1) vacant home in Queens. Due to its scattered location and wood frame construction, this property is costly to operate as public housing and represents an inefficient allocation of housing resources within the Authority.</i> <ul style="list-style-type: none"> • 118-35 153rd Street, Jamaica, NY 11434, Total Units = 1 (One-Bedroom Unit)

3. Application status (select one) Approved <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>					
4. Date application approved , submitted, or planned for submission: Summer 2016					
7. Timeline for activity: a. Actual or projected start date of activity: Spring 2017 b. Projected end date of activity: Winter 2020/2021					
Demolition/Disposition Activity Description					
1a. Development name: FHA Repossessed Houses – Group V [Formerly Groups I, II, III, IV, V, VI, VII, VIII, IX, X] 1b. Development (project) number: NY005012090					
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>NYCHA intends to dispose of thirteen (13) vacant single-family FHA Repossessed Houses. Due to their scattered location and wood frame construction, these properties are costly to operate as public housing and represent an inefficient allocation of housing resources within the Authority.</i>					
Building #	Development	Address	City	Zip Code	DU Size
1	FHA (GROUP VIII)	106-10 215 TH STREET	QUEENS VILLAGE	11429	3 BR
2	FHA (GROUP V)	142-06 FOCH BOULEVARD	SOUTH OZONE PARK	11436	2 BR
3	FHA (GROUP I)	100-40 202 ND STREET	HOLLIS	11423	2 BR
4	FHA (GROUP VII)	111-50 WITTHOFF STREET	QUEENS VILLAGE	11429	3 BR
5	FHA (GROUP I)	114-11 130 ^H STREET	SOUTH OZONE PARK	11420	3 BR
6	FHA (GROUP VII)	117-11 143 RD STREET	JAMAICA	11434	2BR
7	FHA (GROUP II)	126-01 116 TH AVENUE	SOUTH OZONE PARK	11420	2 BR
8	FHA (GROUP V)	133-24 135 TH PLACE	SOUTH OZONE PARK	11420	2 BR
9	FHA (GROUP I)	202-06 116 TH AVENUE	SAINT ALBANS	11412	3 BR
10	FHA (GROUP X)	214-15 HOLLIS AVENUE	QUEENS VILLAGE	11429	4 BR
11	FHA (GROUP VIII)	198-16 116 TH AVENUE	JAMAICA	11412	3 BR
12	FHA (GROUP IV)	209-26 NASHVILLE BOULEVARD	JAMAICA	11411	3 BR
13	FHA (GROUP IV)	99-19 194 TH STREET	JAMAICA	11423	4 BR
3. Application status (select one) Approved <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>					
4. Date application approved , submitted, or planned for submission: Spring 2020					
5. Number of units affected: 13 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: Winter 2016 b. Projected end date of activity: Summer 2021					
Demolition/Disposition Activity Description					
1a. Development name: Soundview Houses 1b. Development (project) number: NY005000710					

<p>2. Activity type: Demolition <input type="checkbox"/></p> <p>Disposition <input checked="" type="checkbox"/> <i>Development of two eight story buildings with approximately 206 low income rental units for families and seniors in Phases I and II, and development of 72 cooperative units for affordable homeownership in Phase III.</i></p>
<p>3. Application status (select one)</p> <p>Approved <input checked="" type="checkbox"/></p> <p>Submitted, pending approval <input type="checkbox"/></p> <p>Planned application <input type="checkbox"/></p>
<p>4. Date application approved, submitted, or planned for submission: January 30, 2013</p>
<p>5. Number of units affected: 0</p> <p>6. Coverage of action (select one)</p> <p><input checked="" type="checkbox"/> Part of the development</p> <p><input type="checkbox"/> Total development</p>
<p>7. Timeline for activity:</p> <p>a. Actual or projected start date of activity: 2012</p> <p>b. Actual end date of activity: 2020</p>
<p align="center">Demolition/Disposition Activity Description</p>
<p>1a. Development name: East 173rd Street-Vyse Avenue Houses</p> <p>1b. Development (project) number: NY005015300</p>
<p>2. Activity type: Demolition <input type="checkbox"/></p> <p>Disposition <input checked="" type="checkbox"/> <i>Development of a total 224 dwelling units, including 56 senior citizen apartments in three phases: Phase I an 84-unit apartment building, Phase II an 84-unit apartment building, and phase III a 56-unit apartment building, following relocation of an existing community facility.</i></p>
<p>3. Application status (select one)</p> <p>Approved <input checked="" type="checkbox"/></p> <p>Submitted, pending approval <input type="checkbox"/></p> <p>Planned application <input type="checkbox"/></p>
<p>4. Date application approved, submitted, or planned for submission: November 14, 2009</p>
<p>5. Number of units affected: 0</p> <p>6. Coverage of action (select one)</p> <p><input checked="" type="checkbox"/> Part of the development</p> <p><input type="checkbox"/> Total development</p>
<p>7. Timeline for activity:</p> <p>a. Actual or projected start date of activity: November 21, 2008</p> <p>b. Projected end date of activity: TBD</p>
<p align="center">Demolition/Disposition Activity Description</p>
<p>1a. Development name: Astoria Houses</p> <p>1b. Development (project) number: NY005000260</p>
<p>2. Activity type: Demolition <input type="checkbox"/></p> <p>Disposition <input checked="" type="checkbox"/> <i>Multi-phase project for the development of two affordable housing buildings, an additional building with a program to be determined, an option for the NYC School Construction Authority to acquire a parcel to build a new school, and facilitation of the reopening of Astoria Boulevard as a private street for public access through a street easement in conjunction with a mixed-use development in Queens on the waterfront at Halletts Point. The first building for affordable housing was sold and construction began in 2019. Additionally, the School Construction Authority has been given notice that the option to acquire a school site from NYCHA is active and will remain valid to December 31, 2022.</i></p>

3. Application status (select one) Approved <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date application approved , submitted, or planned for submission: August 28, 2014
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: Fall 2016 b. Projected end date of activity: Fall 2026
Demolition/Disposition Activity Description
1a. Development name: Holmes Towers 1b. Development (project) number: NY005011390
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of an approximate 20,660 square foot parcel on Block 1573, Lot 20 with approximately 330,368 square feet of development rights for market rate and 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 : TBD
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: 2016 b. Projected end date of activity: TBD
Demolition/Disposition Activity Description
1a. Development name: Wyckoff Gardens 1b. Development (project) number: NY005011630
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of two (2) parcels of approximately 31,000 and 25,000 square feet respectively, both on Block 394, Lot 1, with approximately 500,000 square feet of residential development rights in total for market rate and 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 : TBD
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: 2016
b. Projected end date of activity: TBD
Demolition/Disposition Activity Description
1a. Development name: La Guardia Houses
1b. Development (project) number: NY005010760
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of approximately 18,000 square feet on a portion of Block 256, Lot 1, with approximately 340,000 square feet of residential development rights for market rate and 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 : TBD
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: TBD
Demolition/Disposition Activity Description
1a. Development name: Betances VI
1b. Development (project) number: NY005012110
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of a parcel of approximately 10,000 square feet on Block 2291, Lot 1 for redevelopment as affordable housing with ground floor commercial. NYCHA intends to lease the site to a developer who will demolish the existing 1-story commercial structure.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input checked="" type="checkbox"/> Planned application <input type="checkbox"/>
4. Date original application approved , submitted, or planned for submission: 2019
5. Number of units affected: 0 units (commercial use, non-residential)
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: 2016 b. Projected end date of activity: 2021
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 a parcel of approximately 21,200 square feet on a portion of Block 2409, Lot 98, for development of affordable housing.</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 : 2020
5. Number of units affected: 0 units 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 a parcel of approximately 24,200 square feet on a portion of Block 1580, Lot 1 for development of approximately 190 units of affordable senior housing with Project-Based Section 8 vouchers.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input checked="" type="checkbox"/> Planned application <input type="checkbox"/>
4. Date original application approved, submitted , or planned for submission: 2020
5. Number of units affected: 0 units 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: 2021
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 3 parcels of approximately 16,500 square feet total on Block 3143, Lots 234, 236, and 240 for development of 182 affordable housing units with ground floor commercial.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input checked="" type="checkbox"/> Planned application <input type="checkbox"/>
4. Date original application approved, submitted , or planned for submission: 2020
5. Number of units affected: 0 units 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: 2021

Demolition/Disposition Activity Description
1a. Development name: Harborview Terrace Houses
1b. Development (project) number: NY005010220
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of a parcel of approximately 29,000 square feet on Block 1084, Lot 9 for development of affordable housing.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date application approved, submitted, or planned for submission: TBD
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: TBD
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>Lease of a parcel of approximately 12,300 square feet on a portion of Block 3325, Lot 1 for development of affordable senior housing.</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: 2021
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: 2021
Demolition/Disposition Activity Description
1a. Development name: Sotomayor Houses
1b. Development (project) number: NY005010670
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of a parcel of approximately 13,000 square feet on a portion of Block 3730, Lot 1 for development of affordable senior housing.</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: 2020
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: 2023																																
Demolition/Disposition Activity Description																																
1a. Development name: Ocean Bay Apartments (Oceanside) 1b. Development (project) number: NY005010980																																
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <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 a mixed-use building. 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> <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 5px;"> <thead> <tr> <th style="text-align: left; padding: 2px;">Borough</th> <th style="text-align: left; padding: 2px;">Block</th> <th style="text-align: left; padding: 2px;">Lot</th> <th style="text-align: left; padding: 2px;">Address</th> </tr> </thead> <tbody> <tr> <td style="padding: 2px;">Queens</td> <td style="padding: 2px;">15890</td> <td style="padding: 2px;">54</td> <td style="padding: 2px;">360 Beach 54th Street (parcel contains a one-story retail space)</td> </tr> <tr> <td style="padding: 2px;">Queens</td> <td style="padding: 2px;">15890</td> <td style="padding: 2px;">55</td> <td style="padding: 2px;">366 Beach 54th Street (parcel contains a one-story retail space)</td> </tr> <tr> <td style="padding: 2px;">Queens</td> <td style="padding: 2px;">15890</td> <td style="padding: 2px;">58</td> <td style="padding: 2px;">53-15 Beach Channel Drive (vacant lot)</td> </tr> <tr> <td style="padding: 2px;">Queens</td> <td style="padding: 2px;">15890</td> <td style="padding: 2px;">62</td> <td style="padding: 2px;">53-13 Beach Channel Drive (vacant lot)</td> </tr> <tr> <td style="padding: 2px;">Queens</td> <td style="padding: 2px;">15890</td> <td style="padding: 2px;">64</td> <td style="padding: 2px;">53-05 Beach Channel Drive (parcel contains a one-story retail space)</td> </tr> <tr> <td style="padding: 2px;">Queens</td> <td style="padding: 2px;">15890</td> <td style="padding: 2px;">66</td> <td style="padding: 2px;">53-01 Beach Channel Drive (parcel contains a one-story retail space)</td> </tr> <tr> <td style="padding: 2px;">Queens</td> <td style="padding: 2px;">15890</td> <td style="padding: 2px;">69</td> <td style="padding: 2px;">N/A Beach 53rd Street (vacant lot)</td> </tr> </tbody> </table>	Borough	Block	Lot	Address	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)
Borough	Block	Lot	Address																													
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3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>																																
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7. Timeline for activity: a. Actual or projected start date of activity: 2003 b. Projected end date of activity: TBD																																
Demolition/Disposition Activity Description																																
1a. Development name: Dyckman Houses 1b. Development (project) number: NY005000410																																
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of an approximate 15,000 square foot parcel on Block 2216 Lot 1 with development rights 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: TBD
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: TBD b. Projected end date of activity: TBD
Demolition/Disposition Activity Description
1a. Development name: Morris II Houses 1b. Development (project) number: NY005011020
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of an approximate 13,000 square foot parcel on Block 2902 Lot 36 with development rights 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: TBD
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: 2019 b. Projected end date of activity: TBD
Demolition/Disposition Activity Description
1a. Development name: Kingsborough Houses and Kingsborough Houses Extension 1b. Development (project) number: NY005010100
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of an approximate 18,000 square foot parcel on Block 1344 Lots 1 and 175 with development rights 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: TBD
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: 2019 b. Projected end date of activity: TBD
Demolition/Disposition Activity Description
1a. Development name: West Brighton II 1b. Development (project) number: NY005010130

2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of a parcel on Block 196 Lot 1 with development rights 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: TBD
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: TBD b. Projected end date of activity: TBD
Demolition/Disposition Activity Description
1a. Development name: Manhattanville 1b. Development (project) number: NY005020810
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Transfer of surplus development rights and two small parcels of land to an adjacent development site for residential 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 application approved, submitted, or planned for submission: TBD
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: 2020 b. Projected end date of activity: TBD
Demolition/Disposition Activity Description
1a. Development name: Robert Fulton Houses 1b. Development (project) number: NY005001360
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Transfer of surplus development rights to an adjacent development site for commercial 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 application approved, submitted, or planned for submission: TBD

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: 2020 b. Projected end date of activity: TBD
Demolition/Disposition Activity Description
1a. Development name: College Avenue–East 165 Street 1b. Development (project) number: NY005013080
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Transfer of surplus development rights to an adjacent housing development site for a new residential building.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date application approved, submitted, or planned for submission: TBD
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: 2020 b. Projected end date of activity: TBD
Demolition/Disposition Activity Description
1a. Development name: Howard Houses 1b. Development (project) number: NY005000720
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Transfer of surplus development rights and potentially a small piece of land to an adjacent site 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 application approved, submitted, or planned for submission: 2021
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: 2019 b. Projected end date of activity: 2021
Demolition/Disposition Activity Description

1a. Development name: Campos Plaza II 1b. Development (project) number: NY005012570
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Transfer of surplus development rights to an adjacent development site for mixed use 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 application approved, submitted, or planned for submission : TBD
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: 2020 b. Projected end date of activity: TBD
Demolition/Disposition Activity Description
1a. Development name: Red Hook East 1b. Development (project) number: NY005000040
2. Activity type: Demolition <input checked="" type="checkbox"/> Disposition <input type="checkbox"/> <i>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.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date original application approved, submitted , or planned for submission: 2017
5. Number of units affected: 4
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: 2020 b. Projected end date of activity: 2020
Demolition/Disposition Activity Description
1a. Development name: Boston Secor 1b. Development (project) number: NY005011380
2. Activity type: Demolition <input type="checkbox"/>

Disposition ☒ NYCHA proposes to convey to the NYC School Construction Authority ("SCA") a parcel of approximately 51,268 square feet on a portion of Block 5263, Lot 70 at Boston Secor in the Bronx. Under a ground lease with NYCHA since 1969, SCA built a one-story special education annex (P723X) on this parcel. This disposition will facilitate the on-going provision of special education programs and possible building replacement by SCA in the future. The Boston Secor Annex Site is expected to be acquired by the School Construction Authority by 2022.

3. Application status (select one)

Approved ☒

Submitted, pending approval ☐

Planned application ☐

4. Date application **approved**, submitted, or planned for submission: **May 12, 2011**

5. Number of units affected: 0

6. Coverage of action (select one)

☒ Part of the development

☐ Total development

7. Timeline for activity:

a. **Actual** or projected start date of activity: **July 2010**

b. **Projected** end date of activity: **2022**

B) Conversion of Public Housing

[24 CFR Part 903.7 (j)]

1. Assessments of Reasonable Revitalization Pursuant to section 202 of the HUD FY 1996 HUD Appropriations Act

1. ☐ Yes ☒ No: Have any of the PHA's developments or portions of developments been identified by HUD or the PHA as covered under section 202 of the HUD FY 1996 HUD Appropriations Act?

2. Conversions pursuant to Section 22 of the U.S. Housing Act of 1937

On September 11, 2008, HUD approved NYCHA's voluntary conversion plan ("VCP") to transition up to 8,400 public housing units to Section 8 assistance at the 21 developments that were previously developed with funding from the City or the State of New York but did not receive the benefit of federal public housing subsidies from HUD (the "City and State Developments") to close a significant gap between the cost of operating the buildings and rent collected. NYCHA has also received permission from HUD to project-base converted Section 8 units after the initial Section 8 tenant vacates.

As of January 7, 2021, there are 3,649 Section 8 conversions in the remaining City and State-built developments (see table below) in NYCHA's portfolio. Subject to voucher and funding availability, NYCHA will continue to designate units and implement the VCP at the City and State Developments in the LLC I portfolio, while seeking a conversion for the units in the LLC II portfolio through the retention action pursuant to 2 CFR Part 200.

AMP Number	Development Name	Total Units	Number of Units to be Converted to Section 8	Number of Units Converted by 9/4/20
NY005021870	AMSTERDAM ADDITION	175	26	26
NY005020920	BAY VIEW	1,610	340	340
NY005020460	BOULEVARD	1,441	1,424	462
NY005020860	BUSHWICK	1,220	209	209
NY005020800	CASTLE HILL	2,025	412	406
NY005021340	CHELSEA	425	68	68
NY005021110	DREW HAMILTON	1,217	276	278
NY005020950	LINDEN	1,586	1,586	494
NY005020810	MANHATTANVILLE	1,272	204	204
NY005020490	MARBLE HILL	1,682	258	257
NY005020830	MARLBORO	1,765	372	357
NY005020990	RUTGERS	721	102	102
NY005020930	SAINT MARY'S PARK	1,007	211	210
NY005023770	SAMUEL (CITY)	664	105	105
NY005021140	STAPLETON	693	140	131
	Total	17,503	5,733	3,649

3. PACT for Unfunded Units

In July 2017, NYCHA announced that it was expanding PACT to protect the Authority's unfunded units portfolio. This portfolio consisted of eight (8) mixed-finance public housing developments known as the "LLC II developments," which are ineligible to be included in the federal public housing operating fund and capital fund program subsidy formulas. Previously, NYCHA's PACT initiative was synonymous with RAD. To make significant repairs, more effectively manage the developments, and strategically deploy NYCHA's limited financial resources, NYCHA expanded PACT to create additional public-private partnerships and actively bring the unfunded units into the Authority's Housing Choice Voucher (Section 8) project-based program.

The LLC II developments were originally built and funded by New York City and New York State subsidies but were never funded directly by HUD. These developments currently "share" in the federal funds provided for NYCHA's public housing. This has cost NYCHA upwards of \$23 million per year in operating funds. Additionally, per the 2017 Physical Needs Assessment, the eight developments require more than \$1 billion in capital repairs, but while they remain unfunded, the buildings continue to deteriorate.

On September 11, 2008, HUD approved NYCHA's plan to transition the unfunded public housing units to Section 8 assistance. Currently, when a resident vacates their apartment in an LLC II development, the Authority converts the unit to Section 8 project-based funding. This PACT strategy is an unprecedented financing model to support these apartments, prevent them from falling into complete disrepair, and protect their affordability and residents' rights.

Converting all of the units to Section 8 funding will bring new, stable revenue to these LLC II developments and allow for substantial improvements to be made to the apartments, buildings, and grounds. Additionally, funding previously diverted to these developments from the rest of NYCHA's portfolio will now go towards the operation and maintenance of NYCHA's traditional public housing developments.

On December 3, 2017, HUD approved NYCHA for a retention action pursuant to 2 CFR Part 200 for one non-dwelling building and 13 buildings with 722 apartments at Baychester Houses and Murphy Houses in the Bronx. HUD had previously approved NYCHA's Significant Amendment to the FY 2017 Annual Plan for the retention action at Baychester and Murphy on November 22, 2017. On December 28, 2018, NYCHA closed on this PACT/Unfunded Units conversion by entering into a public-private partnership with MBD Community Housing Corporation (developer and social services provider), Camber Property Group (developer), and L&M Development Partners (developer and property manager). Social services are also being provided by BronxWorks. The project is being financed with conventional debt with a permanent takeout loan by the New York City Housing Development Corporation. Total renovation work for the project will be approximately \$88 million. Repairs are planned for completion by 2021.

As part of an Amendment to the FY 2018 Annual Plan, NYCHA requested HUD approval for a retention action pursuant to 2 CFR Part 200 for Independence Towers and Williams Plaza in Brooklyn. NYCHA began community engagement and resident conversion activities at these developments in March 2018. HUD approved NYCHA's Significant Amendment to the FY 2018 Annual Plan for the retention action at Independence Towers and Williams Plaza on September 14, 2018. In the second quarter of 2019, NYCHA selected a development to complete this project

consisting of The Arker Companies, Omni New York LLC, Dabar Development Partners and Bedford Stuyvesant Restoration Corporation. The project closed in February 2020.

NYCHA submitted an Amendment to the FY 2019 Annual Plan on March 21, 2019 to request HUD approval for a retention action pursuant to 2 CFR Part 200 for the remaining four developments in the LLC II portfolio, namely 344 East 28th Street, Wise Towers, Linden, and Boulevard. Through this action, all units in the developments will be operated outside of the federal public housing program under project-based Section 8. Families will be transitioned to Section 8 assistance. Families ineligible for Section 8 assistance will be allowed to remain in place and pay no more than 30% of their income for rent.

HUD approved NYCHA's Significant Amendment to the FY 2019 Annual Plan for the retention action for these developments on June 19, 2019. NYCHA selected a development team comprised of The Community Preservation Corporation (CPC), the Community Development Trust (CDT), Monadnock Development, Kalel Holdings, Lemor Development Group, Community League of the Heights (CLOTH) and Cornell Pace Inc. (CPI) to finance, rehabilitate, and manage the Manhattan developments of 344 East 28th Street and Wise Towers, and converted the properties in November 2020. NYCHA also selected development teams in February 2020 for the remaining Brooklyn developments at Linden and Boulevard and anticipates completing conversion of the complete portfolio of unfunded units by the end of 2021.

The remaining LLC II developments are listed below:

AMP Number	Development Name	Total Units	Number of Units to be Converted to Section 8	Number of Units Converted by 9/4/20
NY005020460	BOULEVARD	1,441	1,424	462
NY005020950	LINDEN	1,586	1,586	494
Total		3,027	3,010	956

C) Homeownership

[24 CFR Part 903.7 (k)]

1. Public Housing

1. ☒ Yes ☐ No: Does the PHA administer any homeownership programs administered by the PHA under an approved section 5(h) homeownership program (42 U.S.C. 1437c(h)), or an approved HOPE I program (42 U.S.C. 1437aaa) or has the PHA applied or plan to apply to administer any homeownership programs under section 5(h), the HOPE I program, or section 32 of the U.S. Housing Act of 1937 (42 U.S.C. 1437z-4). (If “No”, skip to component 11B; if “yes”, complete one activity description for each applicable program/plan, unless eligible to complete a streamlined submission due to **small PHA** or **high performing PHA** status. PHAs completing streamlined submissions may skip to component 11B.)

Public Housing Homeownership Activity Description (Complete one for each development affected)
1a. Development name: FHA Repossessed Houses Group V [formerly Groups I through X] 1b. Development (project) number: NY005012090
2. Federal Program authority: <input type="checkbox"/> HOPE I <input checked="" type="checkbox"/> 5(h) <input type="checkbox"/> Turnkey III <input type="checkbox"/> Section 32 of the USHA of 1937 (effective 10/1/99)
3. Application status: (select one) <input checked="" type="checkbox"/> Approved; included in the PHA’s Homeownership Plan/Program - <i>Section 5(h)</i> Submitted, pending approval <input type="checkbox"/> Planned application
4. Date Homeownership Plan/Program approved , submitted, or planned for submission: 9/11/2014
5. Number of units affected: 51 6. Coverage of action: (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development <i>The original Section 5(h) Plan Amendment approved in 2007 included 184 occupied single-family units intended for sale to public housing residents. On September 11, 2014, HUD issued a final Section 5(h) Plan Amendment granting approval for the sale of 51 units to residents under the Section 5(h) Plan and mandating Plan termination after the sale of the 51 units. Currently, 15 homes remain to be sold under the Plan.</i>

D) Project-Based Vouchers (“PBV’s”)

Consistent with Section 232 of the *FY 2001 VA-HUD Appropriations Act* (PL 106-377), the *Notice* published in 66 Fed. Reg. 3605 (January 16, 2001) and *HUD Notice PIH 2001-4 (HA)* dated January 19, 2001, the New York City Housing Authority (hereafter “NYCHA” or “the Authority”) makes the following statement:

1. As of January 1, 2020, NYCHA has executed 131 HAP contracts for 10,021 project-based units receiving subsidy across the five boroughs in New York City. This includes project-based apartments at NYCHA’s LLC mixed finance developments and RAD conversions.
2. In 2020, NYCHA expects to utilize no more than 5% of the Consolidated Annual Contributions Contract (ACC) for Project Based contracts.¹
3. NYCHA understands that all new project-based assistance agreements must be for units within census tracts with poverty rates of less than 20%, unless HUD specifically approves an exception. 66 Fed. Reg. 3608.
4. NYCHA will carry out this program in accordance with 42 USC §1437f(o)(13), as amended by §232 of the *FY 2001 VA-HUD Appropriations Act and HUD Notice PIH 2017-21 (HA)*, and in conformity with the non-discrimination requirements specified in 24 CFR §903.7(o). In carrying out this program, the Authority will act affirmatively to further fair housing.
5. The Section 8 Project-Based Program will be consistent with NYCHA’s FY 2020 Annual Plan because:
 - a. Project-basing in certain locations is needed to assure the availability of affordable housing units for an initial period of 20 years with a renewal option of up to 20 years (maximum 40 years combined).
 - b. Project-basing broadens the scope of NYCHA’s program for applicants and landlords. It allows NYCHA to assist families who would not otherwise be eligible for assistance.
 - c. Consistent with the goals of NYCHA’s Five-Year plan, the Section 8 Project-Based Initiative:
 - i. expands the supply of assisted housing;
 - ii. increases assisted housing choice;
 - iii. ensures equal opportunity, and
 - iv. deconcentrates poverty and expands economic opportunities.
6. NYCHA will create site-based waiting lists for developments selected to receive project-based assistance. Applicants on NYCHA’s housing choice voucher waiting list will have the opportunity to apply for placement on site-based waiting lists. Placement on a site-based waiting list will not affect the applicant’s standing on the tenant-based waiting list.

¹ This figure excludes units that are exempt from the PBV program cap as a result of being converted to PBV assistance under Rental Assistance Demonstration, Section 18 Disposition, or other public housing preservation programs.

E) Rental Assistance Demonstration Program (“RAD”)

1. Developments Converted under RAD

The Rental Assistance Demonstration (“RAD”) is a voluntary program administered by the United States Department of Housing and Urban Development (“HUD”). The goals of RAD are to safeguard long-term housing assistance, improve and modernize properties, and stabilize developments by placing them on more solid financial footing by converting the funding stream for such developments from Section 9 to Section 8.

First PACT/RAD Conversion at Ocean Bay (Bayside)

In December 2016, NYCHA closed its first PACT/RAD transaction at Ocean Bay (Bayside) in the Rockaways neighborhood of Queens, converting 1,395 apartments in 24 elevator buildings from public housing to project-based Section 8 funding. NYCHA entered into a public-private partnership with MDG Construction + Design (developer and general contractor), The Wavecrest Management Team (property management company), Catholic Charities of Brooklyn and Queens (social services provider), and Ocean Bay Community Development Corporation (resident outreach and engagement team). The project was financed with Superstorm Sandy recovery funds from FEMA, along with New York State Housing Finance Agency tax-exempt bonds and equity generated from federal 4% Low Income Housing Tax Credits. The project’s total development cost was \$560 million, including the FEMA-funded resiliency work. Funds were directed to extensive capital improvements, including the installation of upgraded heating and security systems, new boilers and roofs, and updated apartment interiors that include new windows, kitchens, and bathrooms. All rehab work occurred with tenants-in-place; no residents are being relocated or displaced as a result of the conversion. RAD repairs were completed in 2018, the remaining FEMA work concluded in 2019.

PACT/RAD Apartments Under Construction

Since October 2018, NYCHA has closed on six PACT/RAD conversions as outlined below.

Extensive capital improvements are under construction at all the sites, including upgrades to roofs, elevators, boilers, security systems, and grounds, as well as apartment interiors, including new kitchens and bathrooms. All rehab work is occurring with tenants-in-place; no residents are being permanently relocated or displaced.

- **Twin Parks West** consists of one building with 312 apartments (including 1 superintendent unit) in the Fordham Heights neighborhood of the Bronx. NYCHA entered into a public-private partnership with Gilbane Development Company (developer), Dantes Partners (developer), Apex Building Group (general contractor), and Kraus Management, Inc. (property manager). Social services are being provided by BronxWorks. The project is being financed with conventional debt. Total repair work for the project will be approximately \$38 million. Repairs are planned for completion by 2021.
- **Betances Houses** consists of 40 buildings across 10 developments with 1,088 apartments (including 4 superintendent units) in the Mott Haven neighborhood of the Bronx. NYCHA entered into a public-private partnership with MDG Design + Construction (developer and general contractor), The Wavecrest Management Team (property manager), and Catholic Charities Community Services, Archdiocese of New York (social services provider). The project is being financed with conventional debt and developer equity. Total repair work for the project will be approximately \$120 million. Repairs are planned for completion by the end of 2020 or early 2021.
- **Highbridge-Franklin** consists of 14 buildings with 336 apartments (including 4 superintendent units) in the Highbridge and Claremont neighborhoods of the Bronx. NYCHA

entered into a public-private partnership with Gilbane Development Company (developer), Dantes Partners (developer), Apex Building Group (general contractor), and The Kraus Organization (property manager). Social services are being provided by BronxWorks. The project is being financed with conventional debt and a subsidy loan from the New York City Department of Housing Preservation and Development. Total repair work for the project will be approximately \$27 million. Repairs are planned for completion by 2021.

- The **Hope Gardens** conversion in Brooklyn's Bushwick neighborhood consists of 60 buildings and one non-dwelling building with a total of 1,321 apartments (including four superintendent units and two residential units that will be created post-conversion). NYCHA entered into a public-private partnership with Pennrose LLC (developer) and Acacia Network (social services). The project was financed with a combination of as-of-right 4% Low Income Tax Credits and recycled tax-exempt bonds from the New York State Housing Finance Agency. Total repair work for the project will be approximately \$215 million. Repairs are planned for completion by 2021.
- **Brooklyn PACT** consists of 2,625 apartments in 38 buildings across the Brooklyn neighborhoods of Bedford-Stuyvesant, Boerum Hill, Crown Heights, and South Williamsburg. NYCHA entered into a public-private partnership with the Arker Companies, Omni New York LLC, Dabar Development Partners, and Bedford Stuyvesant Restoration Corporation (developer joint venture), Chateau GC and Renewal Construction Services LLC (general contractor), and Progressive Management (property manager). Social services are being provided by Bedford Stuyvesant Restoration Corporation, El Puente, ParCare, NAN Tech World, and United Jewish Organizations of Williamsburg and North Brooklyn. The project is being financed with a first-priority mortgage loan and bond proceeds from New York City Housing Development Corporation ("HDC"). Total repair work for the project will be approximately \$370 million. Repairs are planned for completion by 2023.
- **Manhattan PACT** consists of 1,718 apartments in 33 buildings across 16 developments located in Manhattan. NYCHA entered into a public-private partnership with PACT Renaissance Collaborative LLC, a joint venture between Monadnock Development LLC, and Lemor Development Group (developers), Community Preservation Corporation, Community Development Trust, Kalel Holdings (investors), Cornell Pace (property manager), and Community League of the Heights (social services). This project is being financed with more than \$359 million of taxable or tax-exempt bonds issued by New York City Housing Development Corporation ("HDC"). Total repair work for the project will be approximately \$271 million. Repairs are planned for completion by 2023.

2. Developments Approved for Conversion

Below, please find specific information related to the public housing developments approved for conversion. On June 19, 2019, HUD approved NYCHA's Significant Amendment to the FY 2019 Annual Plan which included a request to use the Section 18 disposition process for some or all units within the developments currently approved or being considered for RAD conversion, in order to improve the financial stability of the conversions. Resident rights will remain consistent across all developments and residents will continue to pay no more than 30% of adjusted gross income towards rent.

Name of Public Housing Development: MANHATTANVILLE REHAB (GROUP 2)	PIC Development ID: NY005010810	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 46	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) \$581,768,336/169,820 x 46 = \$157,587
Bedroom Type	Number of Units Pre-Conversion 46	Number of Units Post-Conversion 46	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	30	30	0
Two Bedroom	6	6	0
Three Bedroom	10	10	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: 335 EAST 111 TH STREET	PIC Development ID: NY005010640	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 66	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) \$581,768,336/169,820 x 66 = \$226,102

Bedroom Type	Number of Units Pre-Conversion 66	Number of Units Post-Conversion 66	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	17	17	0
One Bedroom	22	22	0
Two Bedroom	15	15	0
Three Bedroom	6	6	0
Four Bedroom	6	6	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: PARK AVENUE-EAST 122 ND , 123 RD STREETS	PIC Development ID: NY005012410	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 90	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) \$581,768,336/169,820 x 90 = \$308,321
Bedroom Type	Number of Units Pre-Conversion 90	Number of Units Post-Conversion 90	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	27	27	0
Two Bedroom	34	34	0
Three Bedroom	17	17	0
Four Bedroom	12	12	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: PUBLIC SCHOOL 139 (CONVERSION)	PIC Development ID: NY005011110	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 125	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) \$581,768,336/169,820 x 125 = \$428,224
Bedroom Type	Number of Units Pre-Conversion 125	Number of Units Post-Conversion 125	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	14	14	0
One Bedroom	111	111	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		
Name of Public Housing Development: SAMUEL (MHOP) III	PIC Development ID: NY005013170	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 10	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) \$581,768,336/169,820 x 10 = \$34,258
Bedroom Type	Number of Units Pre-Conversion 10	Number of Units Post-Conversion 10	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	1	1	0
Two Bedroom	9	9	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: GRAMPION	PIC Development ID: NY005010300	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 35	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) \$581,768,336/169,820 x 35 = \$119,903
Bedroom Type	Number of Units Pre-Conversion 35	Number of Units Post-Conversion 35	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	14	14	0
Two Bedroom	6	6	0
Three Bedroom	14	14	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: FORT WASHINGTON AVENUE REHAB	PIC Development ID: NY005013090	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 226	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) \$581,768,336/169,820 x 226 = \$774,229
Bedroom Type	Number of Units Pre-Conversion 226	Number of Units Post-Conversion 226	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	203	203	0
Two Bedroom	23	23	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		

3. Developments Under Consideration by HUD for Future Section 8 Conversions

Below, please find specific information related to the Public Housing Developments that are under consideration by HUD for future RAD conversions, which may involve some or all units converting to Section 8 via Section 18.

Name of Public Housing Development: CLAREMONT REHAB (GROUP 2)	PIC Development ID: NY005013080	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
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Total Units: 107	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) \$581,768,336/169,820 x 107 = \$366,560
Bedroom Type	Number of Units Pre-Conversion 107	Number of Units Post-Conversion 107	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	48	48	0
Two Bedroom	34	34	0
Three Bedroom	23	23	0
Four Bedroom	2	2	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: CLAREMONT REHAB (GROUP 3)	PIC Development ID: NY005013080	Conversion type (i.e., PBV or PBRA): 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.): 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) \$581,768,336/169,820 x 115 = \$393,966
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	0	0	0

One Bedroom	39	39	0
Two Bedroom	53	53	0
Three Bedroom	18	18	0
Four Bedroom	2	2	0
Five Bedroom	3	3	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: CLAREMONT REHAB (GROUP 4)	PIC Development ID: NY005013080	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 150	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) \$581,768,336/169,820 x 150 = \$513,869
Bedroom Type	Number of Units Pre-Conversion 150	Number of Units Post-Conversion 150	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	47	47	0
Two Bedroom	75	75	0
Three Bedroom	26	26	0
Four Bedroom	2	2	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: CLAREMONT REHAB (GROUP 5)	PIC Development ID: NY005013080	Conversion type (i.e., PBV or PBRA): 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) \$581,768,336/169,820 x 135 = \$462,482
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	42	42	0
Two Bedroom	73	73	0
Three Bedroom	18	18	0
Four Bedroom	2	2	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: HARRISON AVENUE REHAB (GROUP A)	PIC Development ID: NY005013410	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 34	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) \$581,768,336/169,820 x 34 = \$116,477
Bedroom Type	Number of Units Pre-Conversion 34	Number of Units Post-Conversion 34	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	13	13	0
Two Bedroom	15	15	0
Three Bedroom	6	6	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	

(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: HARRISON AVENUE REHAB (GROUP B)	PIC Development ID: NY005013410	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 150	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) \$581,768,336/169,820 x 150 = \$513,869
Bedroom Type	Number of Units Pre-Conversion 150	Number of Units Post-Conversion 150	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	48	48	0
Two Bedroom	70	70	0
Three Bedroom	27	27	0
Four Bedroom	5	5	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: MANHATTANVILLE REHAB (GROUP 3)	PIC Development ID: NY005010810	Conversion type (i.e., PBV or PBRA): 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) \$581,768,336/169,820 x 51 = \$174,715

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	0	0	0
One Bedroom	18	18	0
Two Bedroom	25	25	0
Three Bedroom	7	7	0
Four Bedroom	1	1	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: REHAB PROGRAM (WISE REHAB)	PIC Development ID: NY005011270	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 40	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) \$581,768,336/169,820 x 40 = \$137,032
Bedroom Type	Number of Units Pre-Conversion 40	Number of Units Post-Conversion 40	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	21	21	0
Two Bedroom	19	19	0
Three Bedroom	0	0	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		

Name of Public Housing Development: SOUTH BRONX AREA (SITE 402)	PIC Development ID: NY005013420	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 114	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) \$581,768,336/169,820 x 114 = \$390,541
Bedroom Type	Number of Units Pre-Conversion 114	Number of Units Post-Conversion 114	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	0	0	0
Two Bedroom	36	36	0
Three Bedroom	66	66	0
Four Bedroom	12	12	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: STEBBINS AVENUE-HEWITT PLACE	PIC Development ID: NY005013420	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 120	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) \$581,768,336/169,820 x 120 = \$411,095
Bedroom Type	Number of Units Pre-Conversion 120	Number of Units Post-Conversion 120	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	30	30	0
Two Bedroom	60	60	0
Three Bedroom	30	30	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: UNION AVENUE-EAST 166TH STREET	PIC Development ID: NY005013420	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 120	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) \$581,768,336/169,820 x 120 = \$411,095
Bedroom Type	Number of Units Pre-Conversion 120	Number of Units Post-Conversion 120	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	27	27	0
Two Bedroom	67	67	0
Three Bedroom	26	26	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: WEST FARMS SQUARE CONVENTIONAL	PIC Development ID: NY005015310	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units

			transferring) No
Total Units: 20	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) \$581,768,336/169,820 x 20 = \$68,516
Bedroom Type	Number of Units Pre-Conversion 20	Number of Units Post-Conversion 20	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	6	6	0
Two Bedroom	13	13	0
Three Bedroom	1	1	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: WSUR (BROWNSTONES)	PIC Development ID: NY005011270	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 236	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) \$581,768,336/169,820 x 236 = \$808,487
Bedroom Type	Number of Units Pre-Conversion 236	Number of Units Post-Conversion 236	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit

			Reconfigurations, etc.)
Studio/Efficiency	124	124	0
One Bedroom	31	31	0
Two Bedroom	80	80	0
Three Bedroom	1	1	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: HOE AVENUE-EAST 173 RD STREET	PIC Development ID: NY005015300	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 65	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) \$581,768,336/169,820 x 65 = \$222,677
Bedroom Type	Number of Units Pre-Conversion 65	Number of Units Post-Conversion 65	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	24	24	0
Two Bedroom	24	24	0
Three Bedroom	12	12	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: BRYANT AVENUE-EAST 174 TH STREET	PIC Development ID: NY005015300	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No

Total Units: 72	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) \$581,768,336/169,820 x 72 = \$246,657
Bedroom Type	Number of Units Pre-Conversion 72	Number of Units Post-Conversion 72	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	14	14	0
One Bedroom	24	24	0
Two Bedroom	22	22	0
Three Bedroom	12	12	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: EAST 173 RD STREET-VYSE AVENUE	PIC Development ID: NY005015300	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 168	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) \$581,768,336/169,820 x 168 = \$575,533
Bedroom Type	Number of Units Pre-Conversion 168	Number of Units Post-Conversion 168	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	42	42	0
Two Bedroom	82	82	0
Three Bedroom	44	44	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: 1010 EAST 178 TH STREET	PIC Development ID: NY005011330	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 220	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) \$581,768,336/169,820 x 220 = \$753,675
Bedroom Type	Number of Units Pre-Conversion 220	Number of Units Post-Conversion 220	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	20	20	0
One Bedroom	76	76	0
Two Bedroom	40	40	0
Three Bedroom	6	6	0
Four Bedroom	2	2	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: EAST 165 TH STREET-BRYANT AVENUE	PIC Development ID: NY005015300	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 111	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) \$581,768,336/169,820 x 111 = \$380,263
Bedroom Type	Number of Units Pre-Conversion 111	Number of Units Post-Conversion 111	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	0	0	0
Two Bedroom	34	34	0
Three Bedroom	65	65	0
Four Bedroom	12	12	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: HUNTS POINT AVENUE REHAB	PIC Development ID: NY005015300	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 131	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) \$581,768,336/169,820 x 131 = \$448,779
Bedroom Type	Number of Units Pre-Conversion 131	Number of Units Post-Conversion 131	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	20	20	0
Two Bedroom	75	75	0
Three Bedroom	36	36	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: LONGFELLOW AVENUE REHAB	PIC Development ID: NY005015300	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 75	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) \$581,768,336/169,820 x 75 = \$256,935
Bedroom Type	Number of Units Pre-Conversion 75	Number of Units Post-Conversion 75	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	0	0	0
Two Bedroom	0	0	0
Three Bedroom	75	75	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: WEST FARMS ROAD REHAB	PIC Development ID: NY005015300	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 208	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) \$581,768,336/169,820 x 208 = \$712,565

Bedroom Type	Number of Units Pre-Conversion 208	Number of Units Post-Conversion 208	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	92	92	0
Two Bedroom	81	81	0
Three Bedroom	31	31	0
Four Bedroom	4	4	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: WASHINGTON HEIGHTS REHAB (GROUPS 1&2)	PIC Development ID: NY005013090	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 216	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) \$581,768,336/169,820 x 216= \$739,972
Bedroom Type	Number of Units Pre-Conversion 216	Number of Units Post-Conversion 216	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	96	96	0
Two Bedroom	82	82	0
Three Bedroom	33	33	0
Four Bedroom	5	5	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: WASHINGTON HEIGHTS REHAB PHASE III	PIC Development ID: NY005010030 & NY005013090	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 102	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) \$581,768,336/169,820 x 102 = \$349,431
Bedroom Type	Number of Units Pre-Conversion 102	Number of Units Post-Conversion 102	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	26	26	0
Two Bedroom	58	58	0
Three Bedroom	15	15	0
Four Bedroom	3	3	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: WASHINGTON HEIGHTS REHAB PHASE IV (C)	PIC Development ID: NY005013090	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 32	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) \$581,768,336/169,820 x 32 = \$109,625
Bedroom Type	Number of Units Pre-Conversion 32	Number of Units Post-Conversion 32	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	19	19	0
Two Bedroom	10	10	0
Three Bedroom	2	2	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: WASHINGTON HEIGHTS REHAB PHASE IV (D)	PIC Development ID: NY005013090	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 32	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) \$581,768,336/169,820 x 32 = \$109,625
Bedroom Type	Number of Units Pre-Conversion 32	Number of Units Post-Conversion 32	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	20	20	0
Two Bedroom	6	6	0
Three Bedroom	4	4	0
Four Bedroom	2	2	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: SAMUEL (MHOP) I	PIC Development ID: NY005013170	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units

			transferring) No
Total Units: 53	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) \$581,768,336/169,820 x 53 = \$181,567
Bedroom Type	Number of Units Pre-Conversion 53	Number of Units Post-Conversion 53	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	4	4	0
Two Bedroom	48	48	0
Three Bedroom	1	1	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: SAMUEL (MHOP) II	PIC Development ID: NY005013170	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 10	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) \$581,768,336/169,820 x 10 = \$34,258
Bedroom Type	Number of Units Pre-Conversion 10	Number of Units Post-Conversion 10	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	1	1	0
Two Bedroom	5	5	0
Three Bedroom	4	4	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: 1471 WATSON AVENUE	PIC Development ID: NY005010670	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 96	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) \$581,768,336/169,820 x 96 = \$328,876
Bedroom Type	Number of Units Pre-Conversion 96	Number of Units Post-Conversion 96	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	12	12	0
One Bedroom	38	38	0
Two Bedroom	30	30	0
Three Bedroom	16	16	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: BOYNTON AVENUE REHAB	PIC Development ID: NY005010320	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No

Total Units: 82	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) \$581,768,336/169,820 x 82 = \$280,915
Bedroom Type	Number of Units Pre-Conversion 82	Number of Units Post-Conversion 82	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	25	25	0
Two Bedroom	37	37	0
Three Bedroom	17	17	0
Four Bedroom	3	3	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: WILLIAMSBURG	PIC Development ID: NY005000020	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 1,630	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) \$581,768,336/169,820 x 1,630 = \$5,584,044
Bedroom Type	Number of Units Pre-Conversion: 1,630	Number of Units Post-Conversion: 1,630	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	45	45	0

One Bedroom	775	775	0
Two Bedroom	741	741	0
Three Bedroom	69	69	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: HARLEM RIVER	PIC Development ID: NY005010030	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 577	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) \$581,768,336/169,820 x 577 = \$1,976,683
Bedroom Type	Number of Units Pre-Conversion: 577	Number of Units Post-Conversion: 577	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	59	59	0
One Bedroom	257	257	0
Two Bedroom	236	236	0
Three Bedroom	25	25	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: HARLEM RIVER II	PIC Development ID: NY005010030	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 116	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) \$581,768,336/169,820 x 116 = \$397,392
Bedroom Type	Number of Units Pre-Conversion: 116	Number of Units Post-Conversion: 116	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	42	42	0
Two Bedroom	42	42	0
Three Bedroom	29	29	0
Four Bedroom	3	3	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: AUDUBON	PIC Development ID: NY005010030	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 168	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) \$581,768,336/169,820 x 168 = \$575,533
Bedroom Type	Number of Units Pre-Conversion: 168	Number of Units Post-Conversion: 168	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	46	46	0
Two Bedroom	22	22	0
Three Bedroom	63	63	0
Four Bedroom	26	26	0
Five Bedroom	6	6	0

Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: BETHUNE GARDENS	PIC Development ID: NY005010030	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 210	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) \$581,768,336/169,820 x 210 = \$719,417
Bedroom Type	Number of Units Pre-Conversion: 210	Number of Units Post-Conversion: 210	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	42	42	0
One Bedroom	126	126	0
Two Bedroom	42	42	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): 7	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: MARSHALL PLAZA	PIC Development ID: NY005010030	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 180	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) \$581,768,336/169,820

			x 180 = \$616,643
Bedroom Type	Number of Units Pre-Conversion: 180	Number of Units Post-Conversion: 180	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	180	180	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		
Name of Public Housing Development: 104-14 TAPSCOTT STREET	PIC Development ID: NY005011670	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 30	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) \$581,768,336/169,820 x 30 = \$102,774
Bedroom Type	Number of Units Pre-Conversion: 30	Number of Units Post-Conversion: 30	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	8	8	0
Two Bedroom	20	20	0
Three Bedroom	0	0	0
Four Bedroom	2	2	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: FENIMORE-LEFFERTS	PIC Development ID: NY005011670	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 36	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) \$581,768,336/169,820 x 36 = \$123,329
Bedroom Type	Number of Units Pre-Conversion: 36	Number of Units Post-Conversion: 36	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	0	0	0
Two Bedroom	18	18	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: LENOX ROAD-ROCKAWAY PARKWAY	PIC Development ID: NY005011670	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 74	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) \$581,768,336/169,820

			x 74 = \$253,509
Bedroom Type	Number of Units Pre-Conversion: 74	Number of Units Post-Conversion: 74	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	21	21	0
Two Bedroom	39	39	0
Three Bedroom	13	13	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: RALPH AVENUE REHAB	PIC Development ID: NY005011670	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 118	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) \$581,768,336/169,820 x 118 = \$404,244
Bedroom Type	Number of Units Pre-Conversion: 118	Number of Units Post-Conversion: 118	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	34	34	0
Two Bedroom	55	55	0
Three Bedroom	26	26	0
Four Bedroom	3	3	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: REID APARTMENTS	PIC Development ID: NY005011670	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 230	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) \$581,768,336/169,820 x 230 = \$787,933
Bedroom Type	Number of Units Pre-Conversion: 230	Number of Units Post-Conversion: 230	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	114	114	0
One Bedroom	116	116	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		
Name of Public Housing Development: RUTLAND TOWERS	PIC Development ID: NY005011670	Conversion type (i.e., PBV or PBRA): 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.):	Post-RAD Unit Type if different (i.e., Family, Senior, etc.):	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) \$581,768,336/169,820

			x 61 = \$208,973
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	5	5	0
One Bedroom	43	43	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: SUTTER AVENUE-UNION STREET	PIC Development ID: NY005011670	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 100	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) \$581,768,336/169,820 x 100 = \$342,579
Bedroom Type	Number of Units Pre-Conversion: 100	Number of Units Post-Conversion: 100	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	17	17	0
Two Bedroom	49	49	0
Three Bedroom	34	34	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: TAPSCOTT STREET REHAB	PIC Development ID: NY005011670	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 155	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) \$581,768,336/169,820 x 155 = \$530,998
Bedroom Type	Number of Units Pre-Conversion: 155	Number of Units Post-Conversion: 155	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	46	46	0
Two Bedroom	77	77	0
Three Bedroom	28	28	0
Four Bedroom	4	4	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: CROWN HEIGHTS	PIC Development ID: NY005013510	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 121	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) \$581,768,336/169,820

			x 121 = \$414,521
Bedroom Type	Number of Units Pre-Conversion: 121	Number of Units Post-Conversion: 121	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	31	31	0
Two Bedroom	78	78	0
Three Bedroom	10	10	0
Four Bedroom	2	2	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: HOWARD AVENUE	PIC Development ID: NY005013510	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 150	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) \$581,768,336/169,820 x 150 = \$513,869
Bedroom Type	Number of Units Pre-Conversion: 150	Number of Units Post-Conversion: 150	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	40	40	0
Two Bedroom	67	67	0
Three Bedroom	43	43	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: HOWARD AVENUE-PARK PLACE	PIC Development ID: NY005013510	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 156	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) \$581,768,336/169,820 x 156 = \$534,424
Bedroom Type	Number of Units Pre-Conversion: 156	Number of Units Post-Conversion: 156	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	0	0	0
Two Bedroom	77	77	0
Three Bedroom	79	79	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: OCEAN HILL-BROWNSVILLE	PIC Development ID: NY005013510	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 125	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) \$581,768,336/169,820

			x 125 = \$428,224
Bedroom Type	Number of Units Pre-Conversion: 125	Number of Units Post-Conversion: 125	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	45	45	0
Two Bedroom	60	60	0
Three Bedroom	17	17	0
Four Bedroom	3	3	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: PARK ROCK REHAB	PIC Development ID: NY005013510	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 134	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) \$581,768,336/169,820 x 134 = \$459,056
Bedroom Type	Number of Units Pre-Conversion: 134	Number of Units Post-Conversion: 134	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	45	45	0
Two Bedroom	69	69	0
Three Bedroom	16	16	0
Four Bedroom	4	4	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: STERLING PLACE REHABS (SAINT JOHNS-STERLING)	PIC Development ID: NY005013510	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 83	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) \$581,768,336/169,820 x 83 = \$284,341
Bedroom Type	Number of Units Pre-Conversion: 83	Number of Units Post-Conversion: 83	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	0	0	0
Two Bedroom	16	16	0
Three Bedroom	67	67	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: STERLING PLACE REHABS (STERLING-BUFFALO)	PIC Development ID: NY005013510	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 125	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) \$581,768,336/169,820

			x 125 = \$428,224
Bedroom Type	Number of Units Pre-Conversion: 125	Number of Units Post-Conversion: 125	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	11	11	0
Two Bedroom	72	72	0
Three Bedroom	42	42	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: SAMUEL (CITY)	PIC Development ID: NY005023770	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 664	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) \$581,768,336/169,820 x 664 = \$2,274,727
Bedroom Type	Number of Units Pre-Conversion: 664	Number of Units Post-Conversion: 664	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	13	13	0
One Bedroom	226	226	0
Two Bedroom	339	339	0
Three Bedroom	84	84	0
Four Bedroom	2	2	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: 1162-1176 WASHINGTON AVENUE	PIC Development ID: NY005013080	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 66	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) \$581,768,336/169,820 x 66 = \$226,102
Bedroom Type	Number of Units Pre-Conversion: 66	Number of Units Post-Conversion: 66	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	11	11	0
One Bedroom	17	17	0
Two Bedroom	10	10	0
Three Bedroom	17	17	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: COLLEGE AVENUE-EAST 165TH STREET	PIC Development ID: NY005013080	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 95	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) \$581,768,336/169,820

			x 95 = \$325,450
Bedroom Type	Number of Units Pre-Conversion: 95	Number of Units Post-Conversion: 95	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	25	25	0
One Bedroom	70	70	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		
Name of Public Housing Development: TELLER AVENUE-EAST 166TH STREET	PIC Development ID: NY005013080	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 90	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) \$581,768,336/169,820 x 90 = \$308,321
Bedroom Type	Number of Units Pre-Conversion: 90	Number of Units Post-Conversion: 90	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	18	18	0
One Bedroom	33	33	0
Two Bedroom	23	23	0
Three Bedroom	16	16	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: CLAREMONT PARKWAY-FRANKLIN AVENUE	PIC Development ID: NY005013420	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 188	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Partially Senior	Post-RAD Unit Type if different (i.e., Family, Senior, etc.):	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) \$581,768,336/169,820 x 188 = \$644,049
Bedroom Type	Number of Units Pre-Conversion: 188	Number of Units Post-Conversion: 188	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	132	132	0
Two Bedroom	37	37	0
Three Bedroom	19	19	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: DAVIDSON	PIC Development ID: NY005013420	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 175	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Partially Senior	Post-RAD Unit Type if different (i.e., Family, Senior, etc.):	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) \$581,768,336/169,820

			x 175 = \$599,514
Bedroom Type	Number of Units Pre-Conversion: 175	Number of Units Post-Conversion: 175	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	14	14	0
One Bedroom	42	42	0
Two Bedroom	26	26	0
Three Bedroom	66	66	0
Four Bedroom	23	23	0
Five Bedroom	4	4	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: SOUTH BRONX AREA (SITE 402)	PIC Development ID: NY005013420	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 114	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) \$581,768,336/169,820 x 114 = \$390,540
Bedroom Type	Number of Units Pre-Conversion: 114	Number of Units Post-Conversion: 114	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	0	0	0
Two Bedroom	36	36	0
Three Bedroom	66	66	0
Four Bedroom	12	12	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: STEBBINS AVENUE-HEWITT PLACE	PIC Development ID: NY005013420	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 120	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) \$581,768,336/169,820 x 120 = \$411,095
Bedroom Type	Number of Units Pre-Conversion: 120	Number of Units Post-Conversion: 120	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	30	30	0
Two Bedroom	60	60	0
Three Bedroom	30	30	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: UNION AVENUE-EAST 163RD STREET	PIC Development ID: NY005013420	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 200	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) \$581,768,336/169,820

			x 200 = \$685,159
Bedroom Type	Number of Units Pre-Conversion: 200	Number of Units Post-Conversion: 200	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	200	200	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		
Name of Public Housing Development: UNION AVENUE-EAST 166TH STREET	PIC Development ID: NY005013420	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 120	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) \$581,768,336/169,820 x 120 = \$411,095
Bedroom Type	Number of Units Pre-Conversion: 120	Number of Units Post-Conversion: 120	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	27	27	0
Two Bedroom	67	67	0
Three Bedroom	26	26	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: EAGLE AVENUE-EAST 163RD STREET	PIC Development ID: NY005000590	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 66	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) \$581,768,336/169,820 x 66 = \$226,102
Bedroom Type	Number of Units Pre-Conversion: 66	Number of Units Post-Conversion: 66	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	21	21	0
Two Bedroom	28	28	0
Three Bedroom	11	11	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: EDENWALD	PIC Development ID: NY005000570	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 2039	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) \$581,768,336/169,820

			x 2039 = \$6,985,193
Bedroom Type	Number of Units Pre-Conversion: 2039	Number of Units Post-Conversion: 2039	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	160	160	0
Two Bedroom	1253	1253	0
Three Bedroom	575	575	0
Four Bedroom	51	51	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 resident rights listed below are from HUD Notice H-2019-09 PIH-2019-23 (HA), (September 5, 2019) Rental Assistance Demonstration REV-4 – Final Implementation (the “Notice”), Section 1.6 C and Section 1.6 D):

1.6.C. PBV Resident Rights and Participation.

- 1. No Rescreening of Tenants upon Conversion.** Pursuant to the RAD Statute², at conversion, current households cannot be excluded from occupancy at the Covered Project³ based on any rescreening, income eligibility, or income targeting. With respect to occupancy in the Covered Project, current households in the Converting Project⁴ will be grandfathered for application of any eligibility criteria to conditions that occurred prior to conversion but will be subject to any

² 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 16, 2014), the Consolidated Appropriations Act, 2016 (Pub. L. No. 114-113, approved December 18, 2015), the Consolidated Appropriations Act, 2017 (Pub. L. No. 115-31, approved May 5, 2017), and section 237 of Title II, Division L, Transportation, Housing and Urban Development, and Related Agencies, of the Consolidated Appropriations Act, 2018 (Pub. L. 115-141, approved March 23, 2018) collectively, the “RAD Statute.”

³ *Covered Project* - The post-conversion property with assistance converted from one form of rental assistance to another under the Demonstration.

⁴ *Converting Project* - The pre-conversion property whose assistance is converting from one form of rental assistance to another under the Demonstration.

ongoing eligibility requirements for actions that occur after conversion.⁵ Post-conversion, the tenure of all residents of the Covered Project is protected pursuant to PBV requirements regarding continued occupancy unless explicitly modified in this 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, Section 8(o)(4) of the Act⁶ and 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. MTW agencies may not alter this requirement. Further, so as to facilitate the right to return to the assisted property, HUD waives Section 8(o)(4) and 24 CFR § 982.201 to the extent necessary for this provision to apply to current public housing residents of the Converting Project that will reside in non-RAD PBV units or non-RAD 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 Part 983 for non-RAD PBV units and the PBRA requirements governing the applicable contract for non-RAD PBRA units.⁷

2. **Right to Return.** See Section 1.4.A.5(b) of the Notice referenced below and the RAD Fair Housing, Civil Rights, and Relocation Notice (as defined below) regarding a resident's right to return. To facilitate the uniform treatment of residents and units at a Covered Project, any non-RAD PBV units located in the same Covered Project shall be subject to the terms of this provision.

- i. **RAD Fair Housing, Civil Rights, and Relocation Notice.** Relocation requirements related to public housing conversions under RAD are described in the RAD Fair Housing, Civil Rights, and Relocation Notice.⁸ The RAD Fair Housing, Civil Rights, and Relocation Notice provides PHAs and their development partners with information and resources on RAD program requirements, Uniform Relocation Act (URA) requirements, and other requirements which may be applicable such as Section 104(d) of the Housing and Community Development Act of 1974, as amended (Section 104(d)) 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.

⁵ These protections (as well as all protections in this Notice 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.

⁶ The U.S. Housing Act of 1937 as may be amended.

⁷ For non-RAD PBV households, applicable program requirements include 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.

⁸ Please see Attachment O beginning on page 285 for the full text of the "Rental Assistance Demonstration (RAD) Notice Regarding Fair Housing and Civil Rights Requirements and Relocation Requirements Applicable to RAD First Component – Public Housing Conversions" Notice H 2016-17; PIH 2016-17 (HA), as may be amended from time to time at https://www.hud.gov/sites/documents/16-17HSGN_16-17PIHN.PDF.

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. The primary source for First Component relocation requirements and guidance is 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. **Section 1.4.A.5(b) of the Notice.** Section 1.4.A.5(b) of the Notice states:

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.⁹

3. Phase-in of Tenant Rent Increases. If, purely as a result of conversion, the amount a tenant would pay for rent and utilities under the PBV program (the tenant's TTP) would increase the tenant's TTP by more than the greater of 10 percent or \$25, 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 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 and must communicate such policy in writing to affected residents. 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

⁹ This provision does not preclude a PHA from receiving tenant protection vouchers for a property that has also received a Choice Neighborhoods Implementation grant.

“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 (the first recertification following conversion), 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 TTP¹⁰

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 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. To facilitate the uniform treatment of residents and units at a Covered Project, any non-RAD PBV units located in the same Covered Project shall be subject to the terms of this provision.

4. 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 participate in the PHA’s FSS program. The PHA may continue

¹⁰ 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 TPP, 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.

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. 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 until provisions of the Economic Growth, Regulatory Relief, and Consumer Protection Act are implemented, 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 (current, or as amended), 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 78100.¹¹ Further, upon conversion to PBV, if the PHA no longer has a public housing program, funds already escrowed 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.¹²

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. To facilitate the uniform treatment of residents and units at a Covered Project, any non-RAD PBV units located in the same Covered Project shall be subject to the terms of this provision.

5. 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

¹¹ 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.

¹² Where the PHA maintains a public housing program, any forfeited funds that had been escrowed prior to conversion would revert to the PHA's Operating Reserves.

and operate a resident organization for the purpose of addressing issues related to their living environment and be eligible for resident participation funding. To facilitate the uniform treatment of residents and units at a Covered Project, any non- RAD PBV units located in the same Covered Project shall be subject to the terms of this provision.

6. 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 (HUD Form 52530-c), 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 and to non-RAD PBV units at the Covered Project. 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 the termination of assistance and several other PHA determinations, PBV program rules require the PHA 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),¹³ 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.

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

- 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.

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

To facilitate the uniform treatment of residents and units at a Covered Project, any non-RAD PBV units located in the same Covered Project shall be subject to the terms of this provision.

7. **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. To facilitate the uniform treatment of residents and units at a Covered Project, any non-RAD PBV units located in the same Covered Project shall be subject to the terms of this provision.

8. **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 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. If the program is continued, the Project Owner must agree to continue to implement the program according to HUD's program requirements. Jobs Plus target public housing projects must enroll public housing residents into the Jobs Plus rent incentive, JPEID, prior to conversion. Any resident of the Covered Project that had not enrolled prior to conversion is not eligible to enroll in JPEID but may utilize Jobs Plus services that predominantly benefit the former public housing residents who resided at the target project at the time of RAD conversion. To facilitate the uniform treatment of residents and units at a Covered Project, any non-RAD PBV units located in the Covered Project may voluntarily utilize Jobs Plus services that predominantly

benefit the former public housing residents who resided at the target project at the time of RAD conversion.

- 9. 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. During any period 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.¹⁴ 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. 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. To facilitate the uniform treatment of residents and units at a Covered Project, any non-RAD PBV units located in the same Covered Project shall be subject to the terms of this provision.

Unless a waiver is requested and approved as described below, any new admission to the Covered Project must meet the eligibility requirements at 982.201 and require a subsidy payment at admission to the program, which means their TTP may not equal or 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 left 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 the Notice.

A PHA may request a waiver from HUD for the Covered Project in order to admit otherwise eligible families whose TTP exceeds gross rent and to allow the units those families occupy to remain under the HAP contract even if the PHA has not made a housing assistance payment for a family in 180 days.

For a Covered Project that consists of 100 percent RAD PBV units, the PHA must demonstrate that a waiver is necessary in order to avoid an undue concentration of poverty at the Covered Project. A PHA may evidence this by providing data showing, for example:

- how eligible income-certified applicants on the waiting list must be passed over because their incomes result in zero HAP at admission causing a higher concentration of poverty at the covered project; or
- how the income of newly admitted families is causing a markedly higher concentration of poverty than the PHA's non-RAD PBV projects.

The resulting impact on the property must be compared with the concentration of poverty at non-RAD PBV projects in the PHA's jurisdiction. If there are no non-RAD PBV projects in the PHA's jurisdiction, the PHA may alternatively demonstrate that the median income of families that could be admitted to the Covered Project is significantly lower than the median income of new admissions from the waiting list to the PHA's HCV program since the time of the RAD conversion.

For any other Covered Project, the PHA must demonstrate that the property contains specific units (e.g., units suitable for large families or accessible units) for which there are insufficient alternative housing opportunities.

If the waiver is approved, the new admission[s] families covered under the waiver are participants under the program and all of the family obligations and protections under RAD and PBV apply to the family, and the unit is subject to all program requirements. Such waiver requests should be submitted to the PIH Field Office in accordance with Notice PIH 2018-16.

10. 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. To facilitate the uniform treatment of residents and units at a Covered Project, any non-RAD PBV units located in the same Covered Project shall be subject to the terms of this provision.

1.6.D. PBV: Other Miscellaneous Provisions

1. 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).¹⁵

¹⁵ 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.

When using a site-based waiting list, PHAs should consider waiting list and transfer policies that expand opportunities for tenants seeking an emergency transfer under, or consistent with, the PHA's emergency transfer plan. This includes allowing for easier moves between assisted properties.

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). To facilitate the uniform treatment of residents and units at a Covered Project, any non-RAD PBV units located in the Same Covered Project shall be subject to the terms of this provision.

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

- 2. 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 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.

I - Relocation Plans

NYCHA is pursuing a preservation plan that will allow for tenant-in-place rehabilitation, which will require no relocation. If a resident must be temporarily relocated due to medical reasons and/or reasonable accommodation, the temporary relocation will be performed at no expense to the resident. The resident may be able to relocate 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. Specific temporary relocation options will be finalized after a development partner is selected for each affected development. NYCHA will submit the RAD Fair Housing, Civil Rights, and Relocation Checklist to HUD as required by *HUD Notice H-2019-09 PIH-2019-23 (HA), Rental Assistance Demonstration REV-4 – Final Implementation* and will comply with the fair housing, civil rights and relocation requirements under the RAD program as stated in Notice H 2016-17, PIH Notice 2016-17 (HA)-Rental Assistance Demonstration (RAD) Notice Regarding Fair Housing and Civil Rights Requirements and Relocation Requirements Applicable to RAD First Component – Public Housing Conversions. Please see Attachment O beginning on page 285 for the full text of this RAD Fair Housing, Civil Rights, and Relocation Notice.

II – Site Selection and Neighborhood Standards

NYCHA's RAD conversions comply with all applicable site selection and neighborhood review standards as required by the Notice.

III – 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 106 – 152 will not have a negative impact on NYCHA's compliance with existing voluntary compliance agreements or consent decrees.

ATTACHMENT C
CAPITAL IMPROVEMENTS

**HUD APPROVED NYCHA'S FY 2020 CAPITAL FUND GRANT AND 5-YEAR
ACTION PLAN ON JUNE 15, 2020.**

Members of the public wishing to examine the Supporting Documents can contact NYCHA at annualplancomments@nycha.nyc.gov.

ATTACHMENT D **HOUSING NEEDS**

[24 CFR Part 903.7(a)]

1. Housing Needs of Families in the Jurisdiction/s Served by the PHA

Based upon the information contained in the Consolidated Plan/s applicable to the jurisdiction, and/or other data available to the PHA, provide a statement of the housing needs in the jurisdiction by completing the following table. In the “Overall” Needs column, provide the estimated number of renter families that have housing needs. For the remaining characteristics, rate the impact of that factor on the housing needs for each family type, from 1 to 5, with 1 being “no impact” and 5 being “severe impact.” Use N/A to indicate that no information is available upon which the PHA can make this assessment.

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Affordability	Supply	Quality	Accessibility	Size	Location
Income <= 30% of AMI	871,176	5	5	4	1	3	4
Income >30% but <=50% of AMI	459,549	5	5	4	1	3	4
Income >50% but <80% of AMI	538,423	5	5	3	1	3	3
Elderly (62+)	892,460	5	5	4	4	2	3
Families with Disabilities	489,680	5	5	3	4	3	3
Race/Ethnicity							
Hispanic	796,165	5	5	4	1	3	4
Black	683,201	5	5	4	1	3	4
White	1,212,467	5	5	4	1	3	4
Asian	383,100	5	5	4	1	3	4
Other	79,193	5	5	4	1	3	4

What sources of information did the PHA use to conduct this analysis? (Check all that apply; all materials must be made available for public inspection.)

- ☐ Consolidated Plan of the Jurisdiction
Indicate year:
- ☐ American Housing Survey data
Indicate year:
Other housing market study
Indicate year: 2014 - 2018
- ☒ Other sources: (list and indicate year of information)

Data on the Housing Needs of Families in the Jurisdiction by Family Type was compiled by the Population Division of the New York City Department of City Planning utilizing data from: U.S. Census Bureau, 2014-2018 American Community Survey—Public Use Microdata Sample.

2. Housing Needs of Families on the Public Housing and Section 8 Tenant- Based Assistance Waiting Lists

State the housing needs of the families on the PHA's waiting list/s. **Complete one table for each type of PHA-wide waiting list administered by the PHA.** PHAs may provide separate tables for site-based or sub-jurisdictional public housing waiting lists at their option.

Housing Needs of Families on the PHA's Waiting Lists – Public Housing (As of 9/4/2020)			
Waiting list type: (select one)			
<input type="checkbox"/>	Section 8 tenant-based assistance		
<input checked="" type="checkbox"/>	Public Housing		
<input type="checkbox"/>	Combined Section 8 and Public Housing		
<input type="checkbox"/>	Public Housing Site-Based or sub-jurisdictional waiting list (optional)		
If used, identify which development/sub jurisdiction:			
	# of Families	% of Total Families	Annual Turnover ¹⁶
Waiting list total	197,025		2.6%
Extremely low income <=30% AMI	150,074	76.2%	
Very low income (>30% but <=50% AMI)	36,907	18.7%	
Low income (>50% but <=80% AMI)	10,044	5.1%	
Income Not Reported	0	0.0%	
Families with children	81,054	41.1%	
Elderly families	37,155	18.9%	
Families with Disabilities ¹⁷	34,961	17.7%	
Race/Ethnicity			
White	12,147	6.2%	
Black	41,667	21.1%	
Hispanic	86,603	44.0%	
Asian	15,529	7.9%	
Native American	597	0.3%	
Native Hawaiian	513	0.3%	
Other	39,969	20.3%	
Characteristics by Bedroom Size			
0 BR	78,974	40.1%	
1BR	39,444	20.0%	
2 BR	60,715	30.8%	
3 BR	14,198	7.2%	
4 BR	3,632	1.8%	
5+ BR	61	0.0%	
Data Not Available	1	0.0%	

¹⁶ Figure represents turnover (move-outs from Public Housing) during FY 2019.

¹⁷ "Disabled" indicates a person, regardless of age, who falls within the definition of "disability" contained in §233 of the Social Security Act.

**Housing Needs of Families on the PHA's Waiting Lists – Public Housing
(As of 9/4/2020)**

Is the waiting list closed (select one)? ☒ No ☐ Yes

If yes:

HOW LONG HAS IT BEEN CLOSED (# OF MONTHS)?

Does the PHA expect to reopen the list in the PHA Plan year? ☐ No ☐ Yes

Does the PHA permit specific categories of families onto the waiting list, even if generally closed? ☐ No ☐ Yes

**Housing Needs of Families on the PHA's Waiting Lists – Section 8
(As of 9/14/2020)**

Waiting list type: (select one)

☒ Section 8 tenant-based assistance

☐ Public Housing

☐ Combined Section 8 and Public Housing

☐ Public Housing Site-Based or sub-jurisdictional waiting list (optional)

If used, identify which development/sub-jurisdiction:

	# of Families	% of Total Families	Annual Turnover
Waiting list total ¹⁸	41,656		3.09% (2020)
Extremely low income <=30% AMI	25,739	61.8%	
Very low income (>30% but <=50% AMI)	11,556	27.7%	
Low income (>50% but <=80% AMI)	2,895	6.9%	
Income Not Reported	1,466	3.5%	
Families with Children	19,873	47.7%	
Elderly Families	13,051	31.3%	
Families with Disabilities ¹⁹	10,831	26.0%	
Race/Ethnicity			
White	4,314	10.4%	
Black	11,166	26.8%	
Hispanic	21,562	51.8%	
Asian	1,079	2.6%	
Native American	114	0.3%	
Native Hawaiian	18	0.0%	
Other	3,403	8.2%	
Characteristics by Bedroom Size			
0 BR	14,649	35.2%	
1 BR	11,363	27.3%	
2 BR	12,675	30.4%	
3 BR	2,543	6.1%	
4+BR	339	0.8%	
5+ BR	49	0.1%	
Data Not Available	38	0.1%	

¹⁸ Waiting list total includes both *extremely low-income* (below 30 percent of Area Median Income) and *very low-income* (30 percent to 50 percent of Area Median Income) families.

¹⁹ “Disabled” indicates a person, regardless of age, who falls within the definition of “disability” contained in §233 of the Social Security Act.

**Housing Needs of Families on the PHA's Waiting Lists – Section 8
(As of 9/14/2020)**

Is the waiting list closed (select one)? ☐ No ☒ Yes

NYCHA's Section 8 Waiting List was reopened on February 12, 2007 to applicants for a ninety-day period. It closed on May 14, 2007.

If yes:

How long has it been closed (# of months)? 160 months as of September 14, 2020

Does the PHA expect to reopen the list in the PHA Plan year? ☒ No ☐ Yes

Does the PHA permit specific categories of families onto the waiting list, even if generally closed? ☐ No ☒ Yes

3. Strategy for Addressing Needs

Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year, and the Agency's reasons for choosing this strategy.

(1) Strategies

Need: Shortage of affordable housing for all eligible populations.

Strategy 1. Maximize the number of affordable units available to the PHA within its current resources by:

Select all that apply

- ☒ Employ effective maintenance and management policies to minimize the number of public housing units off-line
- ☒ Reduce turnover time for vacated public housing units
- ☒ Reduce time to renovate public housing units
- ☒ Seek replacement of public housing units lost to the inventory through mixed finance development
- ☒ Seek replacement of public housing units lost to the inventory through section 8 replacement housing resources
- ☒ Maintain or increase section 8 lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction
- ☒ Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required
- ☒ Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration
- ☒ Maintain or increase section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program
- ☒ Participate in the Consolidated Plan development process to ensure coordination with broader community strategies
- ☐ Other (list below)

Strategy 2. Increase the number of affordable housing units by:

Select all that apply

- ☒ Apply for additional section 8 units should they become available
- ☒ Leverage affordable housing resources in the community through the creation of mixed - finance housing
- ☒ Pursue housing resources other than public housing or Section 8 tenant-based assistance.

☐ Other: (list below)

Need: Specific Family Types: Families at or below 30% of median.

Strategy 1. Target available assistance to families at or below 30% of AMI:

Select all that apply

☐ Exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing

While NYCHA does not plan to exceed the federal targeting requirements, slightly over 76% of the families admitted to public housing during calendar year 2019 were households with incomes at or below 30% of area median income.

☒ Exceed HUD federal targeting requirements for families at or below 30 percent of AMI in tenant-based section 8 assistance

☐ Employ admissions preferences aimed at families with economic hardships

☒ Adopt rent policies to support and encourage work

☐ Other: (list below)

Need: Specific Family Types: Families at or below 50% of median.

Strategy 1. Target available assistance to families at or below 50% of AMI:

Select all that apply

☒ Employ admissions preferences aimed at families who are working

☒ Adopt rent policies to support and encourage work

☐ Other: (list below)

Need: Specific Family Types: The Elderly

Strategy 1. Target available assistance to the elderly:

Select all that apply

☒ Seek designation of public housing for the elderly

On July 31, 2019, HUD approved NYCHA's request for authorization to continue to extend the designation of the elderly-only developments and buildings for an additional two years.

☒ Apply for special-purpose vouchers targeted to the elderly, should they become available

☐ Other: (list below)

Need: Specific Family Types: Families with Disabilities.

Strategy 1. Target available assistance to Families with Disabilities:

Select all that apply

☒ Seek designation of public housing for families with disabilities

☒ Carry out the modifications needed in public housing based on the section 504 Needs

Assessment for Public Housing

- ☒ Apply for special-purpose vouchers targeted to families with disabilities, should they become available
- ☐ Affirmatively market to local non-profit agencies that assist families with disabilities
- ☐ Other: (list below)

Need: Specific Family Types: Races or ethnicities with disproportionate housing needs.

Strategy 1. Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs:

Select if applicable

- ☐ Affirmatively market to races/ethnicities shown to have disproportionate housing needs
- ☐ Other: (list below)

Strategy 2. Conduct activities to affirmatively further fair housing:

Select all that apply

- ☒ Counsel section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units
- ☒ Market the section 8 program to owners outside of areas of poverty /minority concentrations
- ☐ Other: (list below)

(2) Reasons for Selecting Strategies

Of the factors listed below, select all that influenced the PHA's selection of the strategies it will pursue:

- ☒ Funding constraints
 - ☒ Staffing constraints
 - ☒ Limited availability of sites for assisted housing
 - ☐ Extent to which particular housing needs are met by other organizations in the community
 - ☒ Evidence of housing needs as demonstrated in the Consolidated Plan and other information available to the PHA
 - ☐ Influence of the housing market on PHA programs
 - ☐ Community priorities regarding housing assistance
 - ☒ Results of consultation with local or state government
 - ☒ Results of consultation with residents and the Resident Advisory Board
 - ☒ Results of consultation with advocacy groups
 - ☐ Other: (list below)
-

ATTACHMENT E

ADDITIONAL INFORMATION

1. STATEMENT OF PROGRESS IN MEETING MISSION AND GOALS – FY2020 to FY2024

Section A: Goals Related to NYCHA’s Monitoring Agreement

On January 31, 2019, NYCHA and the City of New York signed an Agreement with HUD, which outlines specific deadlines and objective compliance standards for making significant improvements in several high-priority areas, including heat and elevator service, pests, lead-based paint, inspections, and mold. This section sets forth a summary of specific goals and deadlines enumerated in the Agreement, as well as related strategies and goals not specifically required by the Agreement but developed to improve resident quality of life. Where provided, the “progress” sections provide information about NYCHA’s compliance with or efforts towards meeting the relevant goals and deadlines. NYCHA has also established new departments and units – including a Compliance Department, an Environmental Health and Safety Department, and a Quality Assurance Unit – as part of the Agreement. The Agreement provides an opportunity for NYCHA to work with a Monitor appointed under the Agreement (referred to as “the Monitor” below) to make significant improvements that will benefit residents. The Agreement requires the Monitor to issue quarterly reports providing further information about NYCHA’s compliance with Agreement requirements.

Many of these goals will be met through Action Plans developed as required by the Agreement, strategies outlined in NYCHA 2.0, or actions mandated as part of the *Baez v. NYCHA* settlement.

Lead-Based Paint

Goal: Management of Lead-Based Paint Risks

Objective: By September 30, 2019, NYCHA will train all 900 maintenance staff to conduct visual assessments to identify lead-based paint hazards.

Progress: As of December 31, 2020, 931 maintenance workers (88% of all maintenance workers) have been trained to conduct visual assessments to identify lead-based paint hazards.

Objective: By 2020, NYCHA will use XRF technology to test over 134,000 apartments built before 1978. By the middle of 2019, as lead paint tests are completed, NYCHA will publish statistics on the progress of the testing initiative and its results.

(<https://my.nycha.info/PublicSite/Transparency/XrfReport>)

Progress: In April 2019, NYCHA kicked off an unprecedented \$88 million effort to test approximately 134,000 apartments for the presence of lead-based paint using high-tech XRF analyzers by the end of 2020. Testing began at Harlem River Houses on April 15, 2019 and has been completed at the 92 developments that are most likely to have lead-based paint in apartments. NYCHA is currently testing in developments that are less likely to have lead-based paint in apartments.

Due to COVID-19, NYCHA temporarily suspended entry into units for XRF testing and now will not be able to complete testing in all 134,000 units by the end of 2020. NYCHA is restarted the XRF testing in units and hopes to complete testing in 2021.

As of December 21, 2020, 58,900 apartments have been tested using XRF technology. NYCHA published a dashboard online that reports the progress of the XRF testing, which is available at: <https://my.nycha.info/PublicSite/Transparency/XrfReport>.

Objective: By January 31, 2024, NYCHA will abate all lead-based paint at the Harlem River Houses and the Williamsburg Houses.

Progress: Both Williamsburg Houses and Harlem River Houses are part of NYCHA's PACT Program in the coming year, and the abatement requirements will be achieved through that program.

Objective: By January 31, 2039, NYCHA will abate all lead-based paint in apartment units that contain lead-based paint, and interior common areas that contain lead-based paint in the same building as those units. NYCHA must also develop an action plan to abate exterior common areas that contain lead-based paint.

Progress: NYCHA continues to develop strategies to meet this objective. Part of the strategy is the NYCHA XRF Initiative, which will test components in each apartment that require abatement, allowing NYCHA to define the scope of work and produce reliable cost estimates associated with abating each of its properties. In addition, in 2019, NYCHA implemented an abatement pilot of certain interior common areas at Gowanus Houses to test means and methods to use in these spaces.

Heat

Goal: Improving the Provision of Heat

Objective: NYCHA will comply with N.Y.C. Admin. Code § 27-209(a), which requires NYCHA to maintain the following temperatures in apartments during the heating season (October 1 through May 31):

- a) between the hours of 6:00 a.m. and 10:00 p.m., a temperature of at least 68 degrees Fahrenheit whenever the outside temperature falls below 55 degrees; and
- b) between the hours of 10:00 p.m. and 6:00 a.m., a temperature of at least 62 degrees Fahrenheit.

Progress: As required, NYCHA continues to work towards compliance with N.Y.C Admin. Code § 27-209(a).

Objective: By and after October 1, 2024, NYCHA will ensure that, during any given heating season:

- a) no more than 15% of occupied apartments, as measured according to procedures established in an Action Plan which may include a reliable sampling method, will have an occasion in which the temperatures fall below the legal limits, and
- b) the temperature will not fall below the legal limits on more than three separate occasions in a given unit.

Progress: NYCHA continues to work with the Monitor to analyze existing work order and electronic monitoring data to comply with this obligation. NYCHA will continue to work on reports that will show (i) which units have recurring complaints of "no heat" and (ii) which units have temperature readings below the legal limit, which have been taken either via sensors or when employees are in a unit responding to a complaint.

Objective: By December 31, 2020, NYCHA will install electronic temperature monitoring to provide the Authority with a comprehensive understanding of heating conditions in 44 developments, which will include electronic temperature monitoring in no fewer than 30% of NYCHA apartments in these

developments. A schedule will be established in an Action Plan with deadlines for NYCHA to install such monitoring systems in the remainder of its developments.

Progress: NYCHA had to suspend non-emergency in-unit work due to the COVID-19 pandemic but NYCHA still has three Energy Performance Contracts (EPC) in progress to accomplish this goal of installing sensors in all 44 developments. Despite COVID-19 delays, 39 locations are on schedule for completion prior to December 31, 2020. NYCHA has a fourth EPC in progress for an additional 13 developments and has procured 4 Energy Service Companies (ESCO) for the next set of EPCs to install temperature sensors. NYCHA plans to complete work in at least 44 developments by the end of the first quarter in 2021.

Goal: Improved Response to Heating Failure

Objective: By October 1, 2019, NYCHA will establish an Action Plan that identifies, for each development, how NYCHA will respond to heating outages, taking into account resident populations, historical data about prior outages, the availability of on-site and remote maintenance personnel, and response times. The plan will include provisions for alternative heated community spaces for heating outages that are expected to last for a substantial duration. The plan will also address NYCHA's policies for closing out work orders when the resident is not available at home or otherwise does not provide access to his or her apartment to resolve a heating outage. The plan will be made available to the residents and posted online.

Progress: Individual Development Action Plans were completed and are fully accessible to all stakeholders via the following link: <https://my.nycha.info/DevPortal/>. The Monitor also transmitted an Action Plan for heat, which is fully accessible to all stakeholders via the following link: <https://www1.nyc.gov/assets/nycha/downloads/pdf/Heating-Action-Plan-12.4.19.pdf>.

Objective: Starting with the heating season beginning October 1, 2019, NYCHA will:

- a) Restore heat to units affected by a heating shortage within an average of 12 hours.
- b) During the heating season, for 85% of heating shortfalls, NYCHA will restore heat to affected units within 24 hours, and in no event more than 48 hours. NYCHA may restore heat through the use of temporary replacement heating systems that comply with the N.Y.C. Admin. Code.
- c) In any event in which heat is unable to be restored to a particular unit within 12 hours, appropriate NYCHA personnel distinct from the NYCHA personnel responsible for the heat restoration, as identified in an Action Plan, will undertake an investigation to determine the root cause(s) of such initial failure of the heating system and the failure to achieve the restoration of service within the timeframe, identify corrections to prevent or lessen the recurrence of such failures, and track the implementation of such corrective actions. Such information will be retained in a central repository to which all applicable maintenance staff and management have access.

Progress: For the 2019-2020 heat season through May 2020, NYCHA brought down the time it took to resolve heat outages from 8.8 hours on average to 7.7 hours on average. In the 2018-2019 heating season, NYCHA took 24 hours on average to resolve heat and hot water outages. These improvements were accomplished in part by establishing a heating team dedicated to resolving service interruptions 24/7 and activating a "Situation Room" during periods of extreme cold to coordinate the response to interruptions and mobilization of resources in real time. In the 2020-2021 heating season through mid-December, NYCHA has resolved heat outages in 7.7 hours.

Objective: Starting with the heating season beginning October 1, 2024:

- a) During the heating season, for 85% of heating shortfalls, NYCHA will restore heat to affected units within 12 hours, and in no event more than 24 hours. NYCHA may restore heat through the use of temporary replacement heating systems that comply with the N.Y.C. Admin. Code.
- b) In any event in which heat is unable to be restored to the affected units within 12 hours, the Quality Assurance Unit will undertake an investigation to determine the root cause(s) of such initial failure of the heating system and the failure to achieve the restoration of service within the timeframe, identify corrections to prevent or lessen the recurrence of such failures, and track the implementation of such corrective actions. This information will be retained in a central repository to which all applicable maintenance staff and management have access.

Progress: As required by the HUD agreement, for any outage in which heat is unable to be restored within the twelve-hour period, appropriate NYCHA personnel distinct from the NYCHA personnel responsible for the heat restoration shall:

1. undertake an investigation to determine the root cause(s) of such initial failure of the heating system and the failure to achieve the restoration of service within the timeframe, and
2. identify corrections to prevent or lessen the recurrence of such failures and track the implementation of such corrective actions.

Within the Environmental Health and Safety Department, the Heating Oversight Team (“HOT”) was tasked with this responsibility during the 2020 Heating Season (October 1, 2019 to May 31, 2020). During this time, the HOT conducted Root Cause Failure Analysis (“RCFA”) investigations into 27 heat outages that met the Agreement criteria. Upon conclusion of each RCFA investigation, a comprehensive RCFA Report was issued. The HOT presented the Heating Management and Services Department (“HMSD”) with 57 recommended opportunities for systemic improvement.

As the RCFA process is designed, the HMSD Director has the option to accept or reject the recommendations contained within the report. Of the 57 recommendations presented, the HMSD Director has responded to all 57 recommendations. While the identification of system failures and the acceptance of the recommended improvements are a critical first step in the RCFA process, it is the implementation and evaluation aspects that will determine if the RCFA process achieves its intended purpose.

As of November 17, 2020, HMSD has provided confirmation or documentation that of the 57 recommendations submitted from the 2020 RCFA to HMSD, 38 have been implemented. The Environmental Health and Safety’s HOT has / will conduct follow up on the adopted 2020 corrective actions during the 2021 Heating Season. To do so, the HOT will conduct periodic random inspections of the locations cited during the 2020 RCFA process.

Goal: Other Heating Obligations

Objective: In addition to meeting the goals above, NYCHA will perform the following tasks:

- By March 31, 2019, NYCHA will create a 24/7 Heat Desk that will monitor heating metrics and dispatch staff to correct deficiencies during the heating season.

Progress: NYCHA established a 24/7 Heat Desk on January 14, 2019.

Objective: In addition to meeting the goals above, NYCHA will perform the following tasks:

- NYCHA will replace or address approximately 500 boilers by 2026
 - 297 boilers will be replaced by December 31, 2026 through NYCHA’s Capital Plan

Progress: As of January 2021, the Capital Projects Department has commissioned 75 boilers at 16 developments, and an additional 19 boilers at 6 developments have been installed but not yet commissioned. As part of the Mayor's Heating Initiative, construction has started to remove 34 existing boilers that will be replaced by 28 boilers. Installation will impact 10 developments. The old boilers have been removed and temporary boilers have been installed. Ten boilers at 2 developments are in advanced stages of installation pending completion of the required connections. Additional installations will be completed at 4 developments by 2022; and the remainder by mid-2023.

Mold

Goal: Decreasing Mold Incidence and Recurrence

Objective: By January 31, 2024:

- a) For 85% of verified mold complaints, there will not be a second verified mold complaint in the same unit or the same common area room or hallway within a 12-month period.
- b) No more than 15% of verified mold complaints will be for mold covering 10 or more square feet in a unit or common area that is visible from within such unit or common area, unless NYCHA can document to the satisfaction of the Monitor that after having been advised by NYCHA to report incidences of mold, the resident did not report the incidence of mold until after the mold had reached this extent.
- c) Mold will not appear more than three times in a year in any single unit.

Progress: NYCHA is developing a dashboard to track progress toward the above metrics. This dashboard is expected to be completed in Winter 2020 during which time NYCHA will begin reporting on its progress in the above areas.

Goal: Remediation of Mold and Moisture

Objective: By January 31, 2021:

- a) For 95% of instances in which a resident reports a mold complaint that is subsequently verified or NYCHA identifies mold in a unit, consistent with the NYCHA Standard Procedure SP 040:14:1, Mold/Mildew Control in NYCHA Residential Buildings, Revised December 19, 2018, within five business days of the resident reporting or NYCHA identifying mold in the unit, NYCHA will prepare and provide a written plan for addressing the root cause to the resident. NYCHA may meet this standard by mailing a copy of the written plan to the resident via U.S. or electronic mail within the five-day period.
- b) For 95% of instances in which a resident reports a mold complaint that is subsequently verified or NYCHA identifies mold in a unit, consistent with the NYCHA Standard Procedure SP 040:14:1, Mold/Mildew Control in NYCHA Residential Buildings, Revised December 19, 2018, within five business days of the resident reporting or NYCHA identifying mold in the unit, NYCHA will remove mold that is visible from within the unit. In the alternative, NYCHA may comply with this standard by remediating the mold and its underlying root cause (i) within 7 days, for repairs that can be performed by a Maintenance Worker or Caretaker, or (ii) within 15 days, for repairs that must be performed by skilled trades workers or other specialized staff in one or more visits.

For 95% of reports to NYCHA of floods, leaks from above, and other conditions that cause sustained or recurrent moisture to flow into a resident's unit or the walls of the unit, NYCHA will abate the condition within 24 hours of a report of the condition to NYCHA, and NYCHA will remove any standing water that resulted from such condition within 48 hours of the report.

Progress: NYCHA is developing a dashboard to track progress toward the above metrics. This dashboard is expected to be completed in Fall 2020 during which time NYCHA will begin reporting on its progress in the above areas.

Objective: By the end of 2019, train 2,900 staff to improve mold inspections and to investigate building-level systems that contribute to mold.

Progress: NYCHA completed implementation of “Mold Busters” citywide (139 consolidations or all developments) on September 2, 2019. Mold Busters involves an updated mold inspection protocol; a new and comprehensive standard remediation procedure; new hands-on training for staff; and new tools for the effective and efficient identification and remediation of mold. NYCHA closed the training program on December 2019 by training 2,870 of the 2,900 staff (99%). Due to attrition rates at the agency, the Mold Busters trainings will continue in 2020 for newly hired staff. Due to COVID-19, Mold Busters training was on hold until NYCHA’s vendor could scale up a partially virtual training. Mold Busters training resumed on September 21, 2020. As of November 30, 2020, NYCHA has approximately 600 staff who need to be trained on Mold Busters and has trained over 50 staff to date. The Authority aims to have all its roofs in a state of good repair by 2026, thanks in part to Mayor Bill de Blasio’s \$1.3 billion investment to replace over 900 roofs.

Objective: Improve communication and notification to tenants regarding mold starting in 2019.

Progress: Mold Busters is a vital part of NYCHA’s commitment to providing residents with the healthy and safe homes they deserve. NYCHA launched Mold Busters in January 2019 and the initiative was fully implemented on September 2, 2019. NYCHA’s work to communicate with residents about the citywide Mold Busters rollout began with an introduction to the initiative included in all rent bills at the end of 2018. In April and May 2019, NYCHA conducted two webinars for residents and health and community partners. NYCHA’s Department of Resident Engagement shared a Mold Busters fact sheet with resident leaders in June 2019 and this informational resource was shared broadly with residents throughout the year. Residents and partners can access a range of information about Mold Busters on the web page, <https://www1.nyc.gov/site/nycha/residents/mold-busters.page>. NYCHA continues to work with partners such as the NYC Department of Health, elected officials and community stakeholders to share critical information on how to identify mold conditions and limit moisture and mold growth in resident apartments.

NYCHA secured a vendor, 3x3 Design, in September 2020. The vendor will help refine NYCHA’s Mold Busters resident outreach. After the selection of a vendor, NYCHA’s Mold Response Unit (“MRU”) engaged 116 resident association board members about the Resident Information campaign on mold. In addition, NYCHA has hired 29 RCC’s out of the 30 needed. The last RCC is going through the HR process as of November 18, 2020. Five of the RCC’s are NYCHA residents. The role of RCC staff is to coordinate with development staff and residents by providing communications that drive the timely completion of mold and leak work orders. NYCHA’s MRU has supported the Ombudsperson Call Center (OCC) for leak and mold work order complaints by utilizing various engagement platforms to raise awareness of the OCC. The MRU team has engaged resident leaders and conducted targeted outreach to NYCHA developments which historically have a higher rate of mold complaints. Additionally, MRU worked with internal departments to push out OCC information and messaging on the MyNYCHApp, Kiosk, rent inserts, social media platforms, and the NYCHA Mold Busters Website. NYCHA remains committed to supporting the OCC and raising awareness about the OCC.

Objective: Continue and accelerate roof repairs:

- a) By 2019, replace 96 additional roofs, benefitting 24,000 residents.

Progress: As of November 2020, 205 roofs have been replaced, benefiting approximately 42,018 residents. 5 additional roof replacements will be completed by December 31, 2020.

Elevators

Goal: Improving Elevator Service

Objective: By January 31, 2022:

- a) 70% of buildings containing more than one elevator will have no more than one instance per year where all elevators are out of service (whether planned or unplanned) at the same time, and no such building will have more than three instances in a year.
- b) 70% of elevators in all buildings will have an unplanned outage no more than eight times per year, and no elevator will have unplanned outages more than 15 times a year.

Progress: NYCHA is in the process of finalizing a metrics dashboard which will be used to report on the Agreement obligations. The target completion is Winter 2021. In order to meet this obligation by January 2022, NYCHA will continue to invest in air conditioners in motor rooms and other equipment upgrades that will reduce the occurrence of outages. NYCHA is also adding elevator mechanics and other staff to increase the amount of preventive maintenance it conducts to prevent recurring outages. NYCHA is also using data to anticipate which elevators with recurring issues require other interventions or capital upgrades.

Goal: Improved Response to Disruptions in Service

Objective: For the first year after January 31, 2019, NYCHA will reduce the duration of service outages by 10%, and 75% of no-service conditions will be resolved within 18 hours of the time NYCHA learns of them. The response rate will improve each year thereafter as determined by the Monitor and HUD based on the data NYCHA provides to the Monitor and HUD and the steps NYCHA has taken in executing its Action Plans.

Progress: NYCHA will improve its response rate in part by hiring additional elevator mechanics and other staff, and by reducing the total volume of outages by investing in equipment and other capital upgrades. NYCHA will also continue to proactively seek changes in the schedules and shifts of elevator mechanics in order to make sure it can address outages that occur in peak commuting hours.

Goal: Improved Outage Identification and Notice

Objective: By July 31, 2019, NYCHA will institute and maintain a system that identifies every elevator outage and the start and end times of such outages identified by remote monitoring systems, work-order records, or any additional sources of outage information, and make that system accessible and available to all NYCHA personnel responsible for elevators and to other relevant personnel, including all development managers and the General Manager.

Progress: As of November 2020, a remote elevator management system installation requirement contract is out for solicitation.

Objective: By July 31, 2019, NYCHA will establish a system to provide residents of buildings affected by a planned outage 24-hours advance notice, and to provide residents of buildings affected by an unplanned outage notice within two hours of NYCHA learning of the outage. Such notice will include instructions regarding what assistance NYCHA has available for individuals with mobility impairments during the outage. Notice will occur by robocall and via postings within the affected building and on NYCHA's website.

Progress: As of April 2019, NYCHA has enhanced its communications with residents regarding elevator outages. Residents affected by an unplanned outage are notified within two hours of the time NYCHA learns of the outage. Simultaneously, as of October 2020, Elevator Services and Repair Department (ESRD) is currently working with NYCHA IT to give residents who may be affected by a planned outage at least 24 hours' notice of that outage.

Goal: Other Obligations to Improve Elevator Service

Objective: NYCHA will adopt a new seven-day, extended schedule for Caretakers to enable more frequent cleaning of elevator door tracks at the start of each shift.

Progress: The Alternative Work Schedule (AWS) has been fully implemented at all NYCHA consolidations for Caretakers, Supervisor of Caretakers, Supervisor of Grounds, Assistant Resident Building Superintendent, and Resident Building Superintendent. The final phase was implemented on February 23, 2020.

Objective: NYCHA will replace or address at least 425 elevators by 2024:

1. 275 elevators will be replaced by December 31, 2024, through NYCHA's capital plan.
2. NYCHA will transfer 150 additional elevators to third-party management through the PACT Section 8 conversion program by December 31, 2024. The developer selected through PACT will replace elevators as needed in buildings under its purview.

Progress: As of November 2020, construction has started for 2 elevators at Boston Road Plaza and both elevators will be replaced by October 2021. Two hundred and twenty-eight (228) elevators at fourteen (14) developments are currently in design, the construction of which is slated to start in 2021. Construction is planned to start in 2022 at an additional 8 developments to replace 94 elevators. Two hundred and eighty-two (282) elevators are scheduled to be replaced by the end of 2024.

Pests

Goal: Pest Population Reduction

Objective: By January 31, 2022, NYCHA will achieve a 50% reduction of its rat population across its portfolio, a 40% reduction in its mice population across its portfolio, and a 40% reduction in its roach population across its portfolio. By that time, NYCHA will also achieve a percentage reduction in its bedbug population across its portfolio, to be determined by the Monitor.

Progress: NYCHA has begun to use an Integrated Pest Management (IPM) approach to reduce pests, which is a holistic look at pest control. To that end, Health Department inspections have seen a 64 percent decline in rat burrows from the baseline measurement taken in summer/fall 2017 and summer 2019 (depending on when the development entered the program) at the 112 developments that are part of the City's Neighborhood Rat Reduction program.

In early 2020, NYCHA began surveying randomly selected apartments for their level of pest infestation. This program is called the NYCHA Pest Infestation Index. Inspections were suspended due to COVID-19 and the Monitor, NYCHA and HUD are working to confirm that work order data, combined with the inspection results, can be utilized to set an accurate pest baseline. Once that baseline is determined, NYCHA will track reductions in its pest population using that baseline.

Goal: Improved Response to Resident Complaints

Objective: By January 31, 2021, NYCHA will:

- a) Respond to 75% of all rat complaints within two business days, and to all rat complaints within five days;
- b) Respond to 75% of all other pest complaints within seven days, and to all other pest complaints within 10 days;
- c) Apply effective pest control methods (in compliance with applicable law, including the Federal Insecticide, Fungicide, and Rodenticide Act, 7 U.S.C. § 136 *et seq.*), to address any verified complaints within seven days; and
- d) Provide expedited response and application of pest control methods in cases where NYCHA is aware that a resident of the unit has asthma or another condition generally recognized as being caused or exacerbated by exposure to pest infestations (for example, other respiratory illness, immune deficiency/suppression, and/or effects of certain medical treatments). In an Action Plan, NYCHA and the Monitor will establish a procedure for informing residents of a process through which residents may notify NYCHA if anyone residing in a unit has such a health condition.

Progress: NYCHA is developing a dashboard to track progress toward the above metrics. This dashboard is expected to be completed by late December 2020 during which time NYCHA will begin reporting on its progress in the above areas. In addition, in August 2020, NYCHA updated its pest priority matrix, which our planning units use to schedule appointments with residents. Each pest has a timeline within which an appointment should be scheduled (e.g. 24 hours, 48 hours, 4 days or 10 days). This matrix will allow exterminators to visit, inspect and treat within the timelines laid out above.

In August 2020, NYCHA also launched an enhancement to expedite pest appointments for households that are “pest sensitive” as evidenced by a member of that household having asthma, or another health condition generally recognized as being caused or exacerbated by exposure to pest infestations. If a household has had a DOHMH asthma violation since 2013, reports using a life sustaining device on their annual review or they have a reasonable accommodation because of a respiratory issue, their pest complaint will be scheduled one priority point quicker on the priority matrix mentioned previously than if they did not have these conditions.

Goal: Targeted Relief for Infestations

Objective: By July 31, 2019, NYCHA will, for any unit that has more than one pest infestation complaint verified by NYCHA staff within 12 months, (a) cause a professional using integrated pest management (IPM) techniques to evaluate the unit and its immediately adjacent units and common areas within 30 days to identify any circumstances specific to that unit that may have contributed to such recurrence (including, but not limited to, unaddressed leaks, proximately located trash, or holes in walls), and (b) address, consistent with IPM principles, any such circumstances within the following 30 days.

Progress: This program was completed in December 2020. NYCHA identified 7,408 primary impacted units (PIU) subject to the targeted pest relief requirement above. NYCHA determined that separating the PIUs into two categories to prioritize the work was the most effective way to treat units with a recurring pest issue. NYCHA split the PIUs as follows: 2,645 units with *open* work orders for pest relief (the “First Priority PIUs”); and 4,763 units with *closed* pest relief work orders (the “Second Priority PIUs”). NYCHA completed inspections and treatments of the First Priority PIUs in January 2020. Inspections and treatments of the Second Priority PIUs were suspended due to COVID-19, but the program re-started in September 2020. NYCHA also completed inspections and treatments of units adjacent to these primary units, if necessary, based on the level of infestation in a primary unit, by the end of 2020.

Goal: Implementation of IPM Practices

Objective: By January 31, 2020, NYCHA will incorporate industry-standard IPM practices, including Northeastern IPM Center (NortheastIPM.org and StopPests.org), Integrated Pest Management – A Guide for Affordable Housing, using the current edition at the time of the pest complaint, as developed under an interagency agreement between HUD and the U.S. Department of Agriculture for their Delivery of IPM Training to PHAs project; and current editions of other professional IPM resources as the Monitor may approve, into building operations in all NYCHA properties.

Progress: As of December 2020, 798 out of 1,030 (77%) property level staff have taken a webinar on IPM practices and scored above 80% on the test. Outreach is being done to new employees to take the test, as well as to the remaining property level staff to retake the test until they score above 80%. In addition, new hire IPM training is in development. In 2020, NYCHA has also completed in-person IPM training for all exterminators. To assist with the IPM rollout, NYCHA has also added supplies to developments and created a digital toolkit that management can refer to for IPM tips. NYCHA has also added several digital tracking mechanisms to work orders so NYCHA is able to see when exterminators use caulking, remove frass, use the HEPA vacuum, and give IPM educational materials to residents. All of these elements are part of an IPM plan that aims to find the root cause of a pest infestation, such as a hole or food source and fix the root cause, instead of relying solely on pesticides.

Objective: By January 31, 2020, NYCHA will send staff appropriately trained on IPM to respond to any pest complaint.

Progress: NYCHA trained 189 staff members (all extermination staff, selected maintenance staff and supervisory staff) in IPM on September 16, 17, 23, and 24, 2019. There was also a 3-day DOHMH training about rat reduction on September 17, 18 and 19, 2019 for 30 NYCHA exterminators and staff managing the rat reduction program. As of September 2020, NYCHA also completed in-person IPM training for all exterminators in 2020.

Goal: Daily Inspections and Trash Collection

Objective: By July 31, 2019, NYCHA will, no less than once every 24 hours, inspect the grounds and common areas of each building for cleaning and maintenance needs, including pests and trash, and correct such conditions. In particular, NYCHA will ensure that trash on the grounds or common areas of each NYCHA building is collected and either removed from the premises or stored in a manner that prevents access by pests at least once every 24 hours.

Progress: NYCHA policy mandates that waste, including trash and litter found through inspection, be collected by Caretakers at least once per day or every 24-hours. NYCHA has established a Waste Management Department that will work strategically across other departments and the properties to ensure compliance with this policy. NYCHA has also drafted individual property-level action plans to track each development's compliance with the requirement that waste be collected and then removed or stored every 24 hours. NYCHA's Waste Management Department will also be tasked with conducting all compactor repairs and monitoring conditions at storage facilities. Finally, NYCHA's Capital Projects Division has begun plans to redesign waste yards and invest in other containerization upgrades across the entire portfolio to ensure storage in containers that prevent access to pests.

Goal: Other Pest Obligations

Objective: In addition to meeting the above, and except where otherwise provided in an approved Action Plan, NYCHA will perform the following tasks:

- a) NYCHA will install 8,000 door sweeps on basement doors with gaps by March 31, 2020.

- b) NYCHA will install 50 rat slabs by December 31, 2020.
- c) NYCHA will dedicate 20 full-time exterminator staff to conduct ongoing, comprehensive, preventative maintenance treatments in public spaces for developments within the Rat Mitigation Zone.
- d) NYCHA will install exterior bulk crushers or retrofit exterior compactors with auger bulk crushers at 10 developments by December 31, 2022.

Progress:

- a) As of December 2020, approximately 8,000 door sweeps have been installed, and NYCHA will verify that all door sweeps have been properly installed, while correcting any deficiencies, by December 31, 2020.
- b) Due to COVID-19 and physical distancing requirements for indoor unventilated spaces, the rat slab installations will not be completed until 2021. 14 rat slabs have been installed to date.
- c) To date, Pest Control has hired 20 of the 30 exterminators budgeted to the NRR. Working through DCAS (the Department of Citywide Administrative Services), Pest Control is fulfilling the obligation to hire additional exterminators through the normal civil service process. Pest Control is also hiring 15 graduates from the Resident Economic Empowerment & Sustainability (REES) program for exterminators. NYCHA is onboarding these graduates first as seasonal employees and they will eventually be hired as technicians with the “City Pest Control Aide” title so they can perform certain pest control services. Upon a year of verified, successful service, these technicians can be promoted to exterminators.
- d) NYCHA has completed the installation of bulk crushers at nine developments. The list of developments includes Bushwick, Butler, Coney Island (Sites 4 & 5), Linden, Smith, Wald, Washington, Williams Plaza, and Woodson. A bulk crusher will be installed at Baruch and seven additional developments will receive comprehensive waste yard redesigns, including bulk crushers, all to be completed by December 31, 2022.

Annual Inspections

Goal: Conduct Annual Inspections

Objective: NYCHA will conduct annual inspections of developments. To complete its annual inspections, NYCHA will either: (a) inspect each occupied unit each year; or (b) inspect its units pursuant to such other program of annual inspection that is consistent with I-HUD Public Housing Management E-Newsletter, Vol. 3, Issue 1 (January 2012).

Progress: Beginning in 2017, NYCHA established an annual inspection program pursuant to which Maintenance Workers inspect approximately fifty percent (50%) of all units at each development, each year. Since 2018, NYCHA has alternated each year between inspecting units on (i) even numbered floors, and (ii) odd numbered floors at each development to ensure that each unit is inspected at least once during a two-year cycle. Thus, in 2018 NYCHA’s Information Technology department (“IT”) generated work orders in Maximo, NYCHA’s asset management software, for the inspection of units on even numbered floors, and in 2019 NYCHA generated work orders for the inspection of units on odd numbered floors. In 2020, IT generated work orders for the inspection of the units on even numbered floors. After IT generates inspection work orders based on this model, NYCHA’s borough offices and property management schedule inspections and deploy Maintenance Workers to conduct the annual inspections. In 2019, approximately 70% of the annual inspections were completed by a Maintenance Worker. Before inspections were suspended in early March 2020 due to COVID-19, approximately 23% of the annual inspections for 2020 were completed by a Maintenance Worker.

Objective: By May 1, 2019, and thereafter, annual inspections will include having the person conducting the inspection perform any minor repairs during the inspection.

Progress: NYCHA's Maintenance Workers closed thousands of repair work orders during the course of annual inspections, as shown by records in Maximo, NYCHA's asset management software. NYCHA will also be codifying this practice, including a list of minor repairs required to be conducted during an annual inspection, in its Standard Procedure for Periodic Apartment Inspections.

Objective: By June 28, 2019, NYCHA will submit an Action Plan to the Monitor for complying with the requirement to conduct annual inspections and perform minor repairs during such inspections. The Action Plan will include procedures for (i) on-site completion of minor repairs during inspections, and (ii) the scheduling of other inspection-identified maintenance deficiencies for subsequent repair.

Progress: The Monitor transmitted an Action Plan for annual inspections, which is fully accessible to all stakeholders via the following link:

https://www1.nyc.gov/assets/nycha/downloads/pdf/Annual_Inspection_Action_Plan_Final_12.9.2020.pdf.

Organizational and Operational Initiatives

Goal: Organizational Changes and Improvements

Objective: Establish three new departments to improve compliance, accountability, and environmental health and safety:

- a) Compliance Department
- b) Environmental Health & Safety
- c) Quality Assurance

Progress: NYCHA appointed a Chief Compliance Officer, an Environmental Health and Safety Officer, and a Quality Assurance Officer in 2019 and 2020. The leadership has developed procedures, hired personnel, and set priorities to carry out the responsibilities required by the Agreement. Incremental progress updates on the development and activities of the three Departments is set forth in the Federal Monitor's Quarterly Reports, available at <https://nychamonitor.com/>.

Objective: The Compliance Department will develop a framework to ensure that all workers will have the necessary certifications to perform their duties.

Progress: In coordination with NYCHA's Learning & Development Department, the Compliance Department continues to monitor and advise Departments on certification requirements, particularly for lead, HUD inspections, and gas qualifications. With respect to lead, which is a requirement of NYCHA's agreement with HUD, as of November 18, 2020, 2,890 (81%) of NYCHA employees in applicable titles took the Renovation, Repair and Painting ("RRP") classroom training and 2,611 (90%) took the RRP onsite training.

As mandated by the HUD Agreement, the Compliance Department is responsible for managing the three-day PHAS UPCS Deceptive Practices training which commenced in October 2019. The training includes scheduling, attendance, test scores, and distribution of plaques and is continuously being tracked by the Compliance Department. The required training is for 1,700 NYCHA senior field and managerial staff members. As of November 18, 2020, 1,562 staff have completed the training and passed the examination. The remaining 175 staff will be trained before December 31, 2020.

The Compliance Department in coordination with the Maintenance, Repairs, and Skilled Trades Department is responsible for managing the payment, application, and exam filing for all plumbers required to be gas qualified under local law 150 of 2016. The required exam and certification impacts over 200 NYCHA plumbers. As of November 18, 2020, 83 out of 209 (40%) of plumbers have successfully passed the examination and are gas certified. The remaining staff are in the process of registering for the exam, taking the exam, or waiting on the results from the Department of Buildings.

Section B: NYCHA 2.0 Real Estate Development Activities

Goal: PACT to Preserve

Objective: Establish a 62,000-unit program that will address roughly \$12.8 billion of capital needs over 10 years using HUD Section 8 conversion programs, including RAD.

Progress: Approximately 7,800 units have converted to Section 8 and more than \$1.1 billion in renovations have already been completed or are under construction across New York City. That includes:

- Completion of \$236 million in major upgrades to 1,395 apartments in Queens;
- Over \$270 million in major upgrades under construction at approximately 2,500 apartments in the Bronx, home to more than 6,000 New Yorkers; and
- Over \$590 million in major upgrades in progress at approximately 4,000 apartments in Brooklyn, home to more than 9,000 New Yorkers.

PACT Partners have been designated for another 6 transactions that are expected to close by 2021, comprising more than 8,000 units. An additional 6,100 households are currently in the planning and engagement stage.

Goal: Build to Preserve

Objective: Fund approximately \$2 billion in capital repairs across approximately 10,000 NYCHA apartments using revenue generated from mixed-income developments

Progress: NYCHA selected developers for two “Build to Preserve” sites: Holmes Towers and Wyckoff Gardens. Additionally, NYCHA is exploring Build to Preserve at the developments in the Chelsea neighborhood with a working group comprised of residents, elected officials, community representatives, and housing organizations.

Goal: Transfer to Preserve

Objective: Generate \$1 billion for capital repairs through the transfer of unused development rights (“air rights”) to adjacent, privately owned sites.

Progress: NYCHA completed two air rights transfers, one at Ingersoll Houses in Brooklyn and another at Hobbs Court in Manhattan, generating approximately \$27 million in proceeds for capital repairs.

Section C: HireNYCHA

Goal: HireNYCHA

Objective: Train an additional 250 NYCHA residents per year, a 70% increase over current efforts at the NYCHA Resident Training Academy (NRTA).

Progress: Due to COVID-19, the HireNYCHA launch has been delayed. NYCHA expects to launch in 2021.

Objective: Create a new Section 3 JobStat tracking program to catalog real-time data on Section 3 hiring.

Progress: NYCHA's Section 3 hiring report regarding closed contracts ending between January 1, 2016 and December 31, 2019 is available here: <https://www1.nyc.gov/site/nycha/about/reports.page>. NYCHA will be updating the report on a bi-annual basis for increased transparency.

Objective: Partner with the NYC Department of Small Business Services.

Progress: NYCHA has a long-standing partnership with NYC Small Business Services (SBS). NYCHA and SBS have partnered together on large scale recruitment events, such as launch hiring at the Barclay's Center stadium, which yielded many NYCHA resident placements. NYCHA and SBS routinely work together to host the SBS RV van on NYCHA campuses and other local job recruitment events at targeted developments. In 2015, NYCHA, SBS and other partners launched the NYCHA Food Business Pathways program – a 10-week business development program customized for NYCHA residents and Section 8 voucher holders who want to start or grow their own food businesses. As of September 2020, Food Business Pathways has graduated 271 residents and registered 189 businesses. In 2016, NYCHA and SBS launched Childcare Business Pathways – for NYCHA residents who are interested in operating a licensed homebased childcare business from their NYCHA apartment. As of September 2020, Childcare Business Pathways has graduated 99 residents resulting in 39 licensed business across 6 cohorts.

Additionally, NYCHA and SBS have partnered to recruit residents into primer training programs offered by SBS's Industry Partnerships and in 2016 launched a 70-hour academic preparation program to support NYCHA residents who have graduated pre-apprenticeship programs but need further instruction to prepare for the competitive International Brotherhood of Electrical Workers (IBEW) Local 3 aptitude exam. As of December 2019, there have been 5 cohorts (one of which one was funded by a NYCHA contractor), and one 3-day test prep class resulting in 33 NYCHA residents passing the Local 3 exam.

In October 2019, NYCHA and SBS launched a specialized Food Business Pathways track for residents in the catering business.

Goal: NYCHA-Stat

Objective: Continue holding NYCHA-Stat meetings, a centralized review of key performance indicators and development/department-level management.

Progress: NYCHA Statistics, Trends, and Tracking (STAT) meetings are a priority as part of NYCHA's Transformation Plan. As of November 2020, NYCHA is exploring the best ways to host NYCHA-Stat meetings in compliance with current COVID-19 guidelines.

Section D: Additional Goals

Goal: Ensure Equal Opportunity in Housing for All Americans

Progress: NYCHA reaffirms its commitment to affirmatively further fair housing through its sustained relationships with residents, applicants, advocates, and organizations that assist people with disabilities and promote fair housing. NYCHA's Department of Equal Opportunity (DEO), Services for People with Disabilities Unit (SPD), assists applicants and residents with disabilities in obtaining decent, affordable, and accessible housing in NYCHA developments. SPD serves as a liaison between the disabled community and NYCHA. In 2019, SPD responded to, or assisted with, 308 reasonable accommodation matters from residents, applicants, Section 8 voucher holders, and/or their respective

advocates. In 2019, SPD handled approximately 1,208 matters involving a range of services, including assistance with documentation, transfer requests, modifications of priority status, and reasonable accommodation requests for remediation of mold conditions in connection with asthma. There were 300 visits to SPD, and SPD provided information to a variety of organizations, including Housing Works, Administration for Children’s Services, United Cerebral Palsy, the New York City Mayor’s Office for People with Disabilities, and many others. Applicants, residents, and others in need of assistance with disability issues may call SPD’s hotline at (212) 306-4652 or TTY at (212) 306-4845.

NYCHA affirmatively furthers fair housing by providing equal housing opportunities to residents, applicants, and Section 8 voucher holders. Residents, applicants, and Section 8 voucher holders may file housing discrimination complaints with NYCHA. They are investigated internally to determine if the individual has been the subject of unlawful discrimination and whether corrective or conciliatory action is necessary. In addition, applicants who have been found ineligible for public housing and assert the denial was based on their disability can have their cases reviewed by SPD.

The DEO conducts internal investigations of complaints of fair housing discrimination by public housing residents and applicants for public housing. In 2019, DEO reviewed 39 fair housing matters and 13 had basis for investigation. DEO closed 25 fair housing complaints in 2019.

Case Basis	Count of Cases
Age	1
Disability	1
Family Status	1
Multi-Basis	4
National Origin	2
Race	4
Sexual Harassment	12
Grand Total	25

In 2019, the SPD conducted zero disability-related right reviews of applications in which disabled applicants challenged their ineligibility for housing and asserted disability discrimination.

The NYCHA Fair Housing Non-Discrimination Policy Statement is available on NYCHA’s website at <https://www1.nyc.gov/site/nycha/about/policies-procedures.page> and in audio format at 212-306-4600. DEO provides annual updates to NYCHA’s non-discrimination policies, including the NYCHA Fair Housing Policy; Reasonable Accommodation Policy for Tenants, Housing Applicants and Section 8 Voucher Holders; Equal Employment Non-Discrimination Policy; and Sexual Harassment Prevention Policy. These NYCHA policies were last revised in December 31, 2019 and include the provision of reasonable accommodations for applicable protected classifications, including disability and victims of domestic violence, under relevant federal, state, and local laws.

NYCHA’s policy is to take reasonable steps to ensure Limited English Proficient (LEP) persons may effectively participate in, and benefit from, NYCHA programs and services. The policy is in accordance with the U.S. Department of Housing and Urban Development notice entitled “Final Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient (‘LEP’) Persons.” This final notice was published in the Federal Register at 72 FR 2732 (January 22, 2007).

Language Services Unit

NYCHA's Language Services Unit (LSU) provides interpretative and translation services to NYCHA departments to enable them to communicate effectively with residents, applicants, and Section 8 participants who have been identified as persons with LEP. NYCHA's Language Assistance Policy takes reasonable steps to ensure that LEP persons have meaningful access to NYCHA programs and services. In support of this policy, LSU regularly assesses NYCHA's language assistance needs and monitors NYCHA's language delivery assistance services in conjunction with its programs and services. LSU also makes recommendations to the Executive Department for modifications to NYCHA's delivery of language assistance services to persons with LEP.

The LSU consists of two interpreters for each of the following languages: Spanish, Chinese, and Russian. The LSU also manages the Language Bank, which has more than 130 volunteers who speak 34 languages collectively.

During normal operations and since the onset of the COVID-19 pandemic, resident communications have been provided in Spanish, Russian, Chinese Simplified, and Chinese Traditional, which are the most frequently requested languages for translation and interpretation services at NYCHA. In addition, contracted services were executed with an external language vendor to translate essential communications in the following eight other languages: *Arabic, Bengali, French, Haitian Creole, Korean, Polish, Urdu, and Yiddish*.

Key documents are also translated and posted on NYCHA's website in Spanish, Russian, Chinese Simplified, and Chinese Traditional.

In 2019, LSU handled 364 interpretation requests and 1,726 translations requests comprising of 3,477 pages. For telephonic interpretation services, LSU can provide the services directly or transfer the call to the new Language Assistance Hotline for assistance through an external language vendor that provides on demand over-the-phone interpretation services in more than 100 languages.

NYCHA property management staff utilize a NYCHA hotline to receive immediate on demand over-the-phone interpretation services from a third-party language vendor. This improves customer service for LEP residents; reduces wait times for over-the-phone interpretations; improves tracking and reporting for language services; and enhances efficiency in the delivery of language assistance.

MyNYCHA App

MyNYCHA in Spanish was launched on the web and as a mobile app in the Fall of 2015. As of September 2020, 3,433 users registered to use the MyNYCHA app in Spanish. In 2019, 461 new users registered to use the app in Spanish. Over 25,017 work tickets were created using the Spanish version of the MyNYCHA app.

NYCHA Self-Service Portal

In 2019, NYCHA implemented a Google Language Translation & Self-Service Portal Usage Report to track the use of Google Translate on NYCHA's Self-Service Portal. Over the last year, the portal received 10,344 requests for Spanish, 2,839 for Chinese (Simplified and Traditional), and 1,216 for Russian.

"Where We Live NYC"

"Where We Live NYC" is a collaborative, City-led process to promote fair housing, confront segregation, and take action to advance opportunity for all. Through this initiative, the City of New York and NYCHA are working with community leaders, residents, and government partners to analyze

fair housing issues more thoughtfully and develop innovative goals and strategies to empower more residents to live in thriving neighborhoods. The Where We Live NYC Draft Plan was published in January 2020.

Goal: Violence Against Women Act (VAWA)

Objective: Assist residents who are victims of domestic violence, dating violence, sexual assault, and stalking to obtain an expedited confidential transfer and to enhance their safety.

Progress: From January 1, 2019, through December 31, 2019, the following cases were approved for transfer:

VAWA Victim of Domestic Violence	1,053
VAWA Dating Violence	133
VAWA Sexual Assault (includes Child Sexual Victims)	54
VAWA Stalking	145
Intimidated Victim	511
Intimidated Witness	26
Victim of Traumatic Incident	8
Total:	1,930

2. 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.

3. OTHER INFORMATION

[24 CFR Part 903.7 9 (r)]

A. Resident Advisory Board Recommendations

1. ☒ Yes ☐ No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?
2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)
☒ Attached at Attachment M
☐ Provided below:
3. In what manner did the PHA address those comments? (select all that apply)
☐ Considered comments but determined that no changes to the PHA Plan were necessary.
☐ The PHA changed portions of the PHA Plan in response to comments
List changes below:
☐ Other: (list below)

B. Description of Election process for Residents on the PHA Board

NYCHA's resident Board members are not elected. As per N.Y. Public Housing Law § 402(3), the City's Mayor appoints all seven Board members, including the three resident Board members.

C. Statement of Consistency with the Consolidated Plan

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary).

1. Consolidated Plan jurisdiction: (provide name here) *New York City*
2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)
☒ The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
☒ The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
☒ The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
☒ Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)

The actions described within NYCHA's FY 2021 Final Annual PHA Plan support and assist New York City's efforts in addressing seven (7) of the City's Priority Needs goals, as outlined in its Consolidated Plan Five –Year Strategic Plan (2015-2019).

- *Priority Need # 6 Public Housing*
- *Priority Need # 11 Non-Housing Community Development/Clearance*
- *Priority Need # 12 Non-Housing Community Development/Economic Development*
- *Priority Need # 23 Community Development Block Grant/Disaster Recovery*
- *Priority Need # 24 Affordable Housing for Low Income Seniors*
- *Priority Need # 28 Housing - New Construction*
- *Priority Need # 29 Housing - Rehabilitation of Existing Rental Units*

☐ Other: (list below)

3. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: (describe below)

The City of New York's Consolidated Plan serves as the City's official application for the four U.S. Department of Housing and Urban Development ("HUD") Office of Community Planning and Development entitlement programs. The Consolidated Plan includes an Action Plan, which includes two elements: 1) the description of the use of federal, state, city, private and nonprofit funding for housing, homeless assistance and prevention, supportive housing services, and community development activities; and 2) the Supportive Housing Continuum of Care for Homeless and Other Special Needs Populations which describes the City's coordination of supportive housing services to the homeless and other special needs populations.

The Public Housing Agency Plan embodies, in many respects, the concepts of HUD's Consolidated Plan. The Plan provides a planning mechanism by which a housing authority can examine its long-term and short-term needs, specifically the needs of the families it serves, and design both long-term strategies and short-term strategies for addressing those needs. Like the Consolidated Plan, the Agency Plan involves consultation with affected groups in the Plan's development.

D. Additional Information

Second Replacement Housing Factor (“RHF”) Funding Groups

1) Second RHF Funding Group – First Increment RHF Plan

- NYCHA will accumulate five years of Second Funding Group, First Increment Replacement RHF grants totaling \$7,110,861 for use in up-coming mixed-finance development activities. Since annual awards are small, NYCHA accumulates these grants over several years to have sufficient funding to complete a transaction.
- NYCHA has obligated all of grant NY36R005501-08 (\$853,997), NY36R005501-09 (\$790,086), NY36R005501-10 (\$776,218) and NY36R005501-11 (\$395,955) for construction of public housing units in the Randolph South Mixed-Finance transaction.
- NYCHA has obligated all of grant NY36R005501-12 (\$1,538,254) and a portion of NY36R005501-13 (\$651,630) for Phase I of the Prospect Plaza HOPE VI Revitalization Project.
- NYCHA has obligated a portion of the NY36R005501-13 (\$628,726) and all of grant NY36R005501-14 (\$1,475,995) for Phase II of the Prospect Plaza HOPE VI Revitalization Project.
- NYCHA has transferred the entire NY36R005501-16 (\$692,021) grant for RAD rent boost.
- NYCHA is planning to use the NY36R005501-15 (\$987,856) grant toward a future RAD deal covering 5,792 units for the following locations:
 - NY005010030- Audubon. Bethune, Marshall, Harlem River
 - NY005000020- Williamsburg
 - NY005020950- Linden
 - NY005020460- Boulevard.

2) Second RHF Funding Group – Second Increment RHF Plan

- NYCHA will accumulate five years of Second Funding Group, Second Increment RHF grants totaling \$2,578,340 for use in up-coming mixed-finance development activities.
- NYCHA will obligate all of grant NY36R005502-10 (\$258,796), NY36R005502-11 (\$333,158), NY36R005502-12 (\$496,383), NY36R005502-13 (\$646,103) and NY36R005502-14 (\$743,900) for construction of public housing units in Phase II of the Prospect Plaza HOPE VI Revitalization Project.
- NYCHA is planning to use the NY36R005502-15 (\$759,649) grant toward a future RAD deal covering 5,792 units for the following locations:
 - NY005010030- Audubon. Bethune, Marshall, Harlem River
 - NY005000020- Williamsburg
 - NY005020950- Linden
 - NY005020460- Boulevard.

At this time, NYCHA is evaluating plans for the NY36R005502-17 (\$234,795) and the remaining portion of the NY36R005502-16 grant (\$131,670).

ATTACHMENT F

Admissions Policy for Deconcentration

HUD regulations (24 CFR Part 903) require a discussion of HUD's Deconcentration Requirement in NYCHA's FY 2021 Annual Plan. It was determined from the following Deconcentration Analysis that NYCHA does not need to develop an additional Deconcentration Plan for its Fiscal Year 2021 Annual Plan to comply with HUD's requirement.

Although 11 of NYCHA's qualifying 127 consolidated developments fall outside of an Established Income Range ("EIR"), NYCHA is exempt from developing an additional Deconcentration Plan to bring the 11 developments within the EIR primarily because all of NYCHA's developments are part of an explicit strategy to promote income mixing in each of its developments. This strategy is detailed in the Income Mixing Plan of NYCHA's Tenant Selection and Assignment Plan, and therefore, NYCHA already has a deconcentration plan built into its rental scheme.

Deconcentration Analysis

The Rule to Deconcentrate Poverty and Promote Integration in Public Housing applies to all Public Housing Authorities ("PHA") funded by HUD, but specifically excludes from its applications the following types of developments within a PHA:

- developments with fewer than 100 public housing units;
- developments that are designated for elderly and/or disabled persons only;
- developments that are part of a homeownership program; and
- developments that are operated in accordance with a HUD approved mixed-finance plan using HOPE VI or public housing funds.

The developments' characteristics and tenant income data are from the Tenant Data System database as of January 1, 2020. This database contains household-level data for every occupied unit within NYCHA developments.

Of the 166,389 occupied units²⁰, there are 139,253 units within 127 consolidated developments²¹ that do not meet the exemption criteria and therefore, were used in this analysis.

Gross mean incomes from the excluded types of developments and units were not used in the calculation of the overall NYCHA mean. In total, 30,620 occupied units were excluded from the analysis. See the Appendix for a list of the individual excluded developments.

²⁰ There are 166,389 public housing households as of January 1, 2020.

²¹ For the purposes of this analysis, there are 127 consolidated developments that have units that are not exempt from the application of the Deconcentration Rule. However, there may be units within these 127 consolidated developments that have been excluded.

As per Step 3 of the Final Rule, a development will be considered below the EIR if its mean gross household income²² is less than 85% of the NYCHA mean; and a development will be considered above the EIR if its mean gross household income is above 115% of the NYCHA mean. The 2020 NYCHA mean gross household income is \$26,094, resulting in a lower EIR limit of \$22,180 and an upper EIR limit of \$30,008. In a recent amendment to the Deconcentration Rule, the definition of the EIR has changed to:

“include within the EIR those developments in which the average income level is at or below 30% of the area median income, and therefore ensure that such developments cannot be categorized as having average income ‘above’ the Established Income Range.”

30% of the 2019 HUD Area Median Income for the New York City HUD FMR Area (HMFA – includes the five boroughs and Putnam County) is \$22,650. However, this is less than 115% of the NYCHA mean gross household income, and therefore, NYCHA’s 2019 upper EIR limit remains at \$30,008.

Table I shows that out of the 127 consolidated NYCHA developments that are not exempt from the application of the Deconcentration Rule, there are 4 developments with 3,076 occupied units with gross mean household incomes below the EIR and 7 developments with 5,044 occupied units with gross mean household incomes above the EIR.

TABLE I
Summary Table

	LOWER INCOME DEVELOPMENTS MEAN INCOMES <\$22,180		HIGHER INCOME DEVELOPMENTS MEAN INCOMES >\$30,008		TOTAL	
Development Category	Developments	Occupied Dwelling Units	Developments	Occupied Dwelling Units	Developments	Occupied Dwelling Units
Non-exempt NYCHA Developments	4	3,076	7	5,044	127	139,253

TABLE II
LOWER INCOME DEVELOPMENTS

Table II lists the 4 consolidated developments with a mean gross household income of less than 85 percent (\$22,180) of the NYCHA mean of \$26,094.

Development Name	TDS #	Borough	Mean Gross Income	Occupied Dwelling Units
East River	009	Manhattan	\$21,935	1,106
Hammel	075	Queens	\$21,775	857
Pennsylvania-Wortman	194	Brooklyn	\$20,613	334
Sedgwick	045	Bronx	\$22,148	779
Total			\$21,798	3,076

²² Mean gross household income is defined as total household income before deductions.

The table above only includes units within the consolidated developments that qualify for inclusion in the Deconcentration Analysis, i.e., it excludes units that are elderly-only, mixed-finance, FHA, Hope VI, or MHOP.

**TABLE III
HIGHER INCOME DEVELOPMENTS**

Table III lists the 7 consolidated developments with a mean gross household income greater than 115 percent (\$30,008) of the NYCHA mean of \$26,094.

Development Name	TDS #	Borough	Mean Gross Income	Occupied Dwelling Units
Astoria	026	Queens	\$30,012	1,094
Fulton	136	Manhattan	\$34,826	939
Lafayette	122	Brooklyn	\$31,643	875
Ocean Hill Apartments	162	Brooklyn	\$33,001	359
Park Rock Consolidated	351	Brooklyn	\$32,540	794
Stuyvesant Gardens I	221	Brooklyn	\$31,283	326
Wilson	112	Manhattan	\$31,238	657
Total			\$32,038	5,044

The table above only includes units within the consolidated developments that qualify for inclusion in the Deconcentration Analysis, i.e., it excludes units that are elderly-only, mixed-finance, FHA, Hope VI, or MHOP.

Step 4 of the Deconcentration Requirement is an “option to provide reasons developments are outside of the Established Income Range.” In other words, it provides the opportunity to exclude entire developments or selected units from the application of the requirement to deconcentrate poverty and mix incomes if the income profile for these units or developments is consistent with furthering both the goals of deconcentration and the local goals and strategies contained in NYCHA’s Annual Plan. Developments and unit types that fall into this category are not limited to, but include those developments that:

- are subject to a consent decree agreement or a judicial decree covering the resident selection;
- are part of a PHA program/strategy that is specifically authorized by statute such as mixed income or mixed finance developments, a homeownership program, a strategy designed to promote income-mixing in public housing or one designed to raise the income of public housing residents;
- are designed via size, location or other configuration to promote income deconcentration;
or
- have income characteristics that can be explained by other circumstances.

All 11 NYCHA developments that have mean gross incomes outside of the EIR from the Deconcentration Requirement should be excluded, because all NYCHA developments are part of NYCHA’s explicit strategy to promote income-mixing in each of its developments. That strategy is spelled out in NYCHA’s Tenant Selection and Assignment Plan (“TSAP”). Under the TSAP, each

development must adhere to income-mix requirements each year, renting no less than 40% of its vacancies to Very Low-Income Families (making 30% or less of area median income), but balancing that with the Working Family Preference, which gives priorities to higher-income and working families.²³ This plan has been in place since 1998. Over time, it should produce a generally uniform and healthy income mix in all NYCHA developments. Since NYCHA already has this deconcentration plan built into its rental scheme, it need not do anything more to comply with the Deconcentration Requirement.

NYCHA has chosen, however, to be more aggressive in addressing the income mix at the Lower Income Developments. It has therefore targeted its Economic Integration Plan to those developments.

Step 5 of the Deconcentration Requirement outlines the policy for deconcentrating poverty and income mixing in developments where the developments' income profiles outside the EIR cannot be explained or justified. Step 5 also specifies that a PHA will be found in compliance with the Deconcentration Requirement if:

- all of the PHA's developments are within the Established Income Range;
- the PHA provides sufficient explanation in its Annual Plan to support the income mix of developments above or below the EIR as consistent with and furthering the goal of deconcentrating poverty, income mixing and the goals of the PHA's Annual and Five-Year Plans; or
- the agency's deconcentration policy provides specific strategies to promote deconcentration of poverty and income mixing at developments that are outside the EIR.

As explained above for Step 4, NYCHA can justify all the developments outside the EIR, because they are all part of the TSAP income-mix rental scheme. Even if this could not satisfy Step 4, however, NYCHA's TSAP rental scheme would satisfy Step 5, since it already constitutes a sufficient deconcentration plan explicitly designed to achieve a uniform and healthy income mix in each development. However, as noted above in Step 4, NYCHA has chosen to be more aggressive in addressing the income mix at the Lower Income Developments and has targeted its Economic Integration Plan to those developments. The Economic Integration Plan includes the following element:

- Applications Outreach to Tier III and Tier II applicants with incomes exceeding the "non-elderly average," informing them that they may be selected sooner for an eligibility interview if they are willing to accept one of the Working Family Priority Consolidations.

²³ Federal law requires PHAs to rent no less than 40 percent of their vacancies to Very Low Income families, but it does not require them to apply this requirement to each development. NYCHA has chosen to apply the requirement to each development, with the explicit goal of producing a more uniform income mix. Likewise, NYCHA has designed its Working Family Preference to bring more working families into *each* development, to achieve a healthy and uniform income mix.

APPENDIX - Individual NYCHA Developments Exempt from Deconcentration Rule

Homeownership Developments

- FHA Homes

Developments with Fewer than 100 Units

- 104-14 Tapscott Street
- 1162-1176 Washington Avenue
- 131 Saint Nicholas Avenue
- 1471 Watson Avenue
- 154 West 84th Street (Dome Site)
- Bedford-Stuyvesant Rehab
- Belmont-Sutter Area
- Boynton Avenue Rehab
- Bryant Avenue-East 174th Street
- Eagle Avenue-East 163rd Street
- East New York City Line
- Fenimore-Lefferts
- Harrison Avenue Rehab (Group A)
- Hoe Avenue-East 173rd Street
- Lenox Road-Rockaway Parkway
- Longfellow Avenue Rehab
- Lower East Side III
- Lower East Side Rehab (Group 5)
- PSS Grandparent Family Apartments
- Rehab Program (Wise Rehab)
- Rutland Towers
- Stanton Street
- Sterling Place Rehabs (St. Johns-Sterling)
- Teller Avenue-East 166th Street
- West Farms Square Conventional
- WSUR (Site A) 120 West 94th Street

Developments Designated for the Elderly Only

- Baruch Houses Addition
- Bethune Gardens
- Boston Road Plaza
- Bronx River Addition
- Brown
- Cassidy-Lafayette
- Chelsea Addition
- College Avenue-East 165th Street
- Conlon LIHFE Tower
- Corsi Houses
- Glebe Avenue-Westchester Avenue
- Haber
- International Tower
- Kingsborough Extension
- La Guardia Addition
- Leavitt Street-34th Avenue
- Marshall Plaza
- Meltzer Tower
- Middletown Plaza
- Morris Park Senior Citizens Home
- New Lane Area
- Randall Avenue-Balcom Avenue
- Rehab Program (College Point)
- Reid Apartments
- Robbins Plaza
- Shelton House
- Stuyvesant Gardens II
- Thomas Apartments
- Twin Parks East (Site 9)
- Union Avenue-East 163rd Street
- UPACA (Site 5)
- UPACA (Site 6)
- Van Dyke II
- Vandalia Avenue
- West Brighton II
- West Tremont Avenue-Sedgwick Avenue Area
- White
- Woodson

Mixed-Finance Developments

- Amsterdam Addition
- Bay View
- Boulevard
- Bushwick
- Castle Hill
- Chelsea
- Drew-Hamilton
- Linden
- Manhattanville
- Marble Hill
- Marlboro
- Rutgers
- Saint Mary's Park
- Samuel (City)
- Stapleton

ATTACHMENT G
Community Service Description of Implementation

NEW YORK CITY HOUSING AUTHORITY
Community Service Policy Overview

According to requirements of Federal Law, all public housing residents who are not exempt must perform Community Service or Economic Self-Sufficiency activities for 8 hours each month as a condition of tenancy. This Community Service Policy Overview explains the exemptions and describes the Community Service requirement. During the Annual Review process the Authority will advise families of their Community Service status.

NYCHA will be increasing efforts to enforce this requirement and will be engaging with residents and resident leaders toward this end. NYCHA has developed strategies to provide additional assistance to help residents comply with this mandate including:

1. Trying to increase the opportunities available through resident association driven activities to fulfill this requirement;
2. Providing additional information to residents using letters, posters, and Journal articles as well as the NYCHA website (including NYCHA activities that can be used for Community Service and links to other websites where eligible activities that can be found); and
3. Making it easier to document service by working with resident associations to provide receipts for Community Service hours at suitable events/activities.
4. Updating the community service procedure; community service forms are now requested, reviewed, generated and digitally stored in NYCHA database system. This allows increased transparency and improved reporting metrics for NYCHA due to the ability to monitor the specific community service hours completed, owed as well as the different exemptions and credits for residents.
5. Reports have been created that allow NYCHA to monitor resident compliance with community service requirement
6. NYCHA residents now have the option of mailing completed community service forms and applicable supporting documents directly to NYCHA central imaging unit or submitting it to their property management office and staff will mail to the central imaging unit on their behalf.
7. Property management staff was trained on the updated community service procedure and community service forms, this will enable staff to inform and assist residents with the community service updates.
8. NYCHA will also complete systems enhancements that will allow NYCHA residents the ability to request and submit community service forms via NYCHA self-service portal. This will allow tenants the ability residents to submit and request community service forms at any time.

For those required to perform Community Service, successful documentation of the needed hours is a condition of tenancy and failure to perform this service can result in termination of tenancy.

I. EXEMPTIONS FROM COMMUNITY SERVICE

There are many exemptions which allow residents not to perform Community Service. An exemption will excuse the resident from the performance of Community Service during the tenant's one-year Lease term, unless the exemption is permanent. Some exemptions can be identified by NYCHA using information in the Annual Review or Resident file. Others may be granted only after

residents submit documentation. Forms and information are available from your RSA. When documentation is required for an exemption all forms must be filled-out and signed and returned to the development management office.

A. Exemptions NYCHA identifies - No Additional Documents Needed

1. **Age** - Below Age 18.
2. **Age** - Age 60 and older (permanent exemption).
3. **Employed** - An adult with no child below age 13 in the household and earning at least \$21,060 per year or working a minimum of 30 hours per week.
4. **Employed** - A single adult family with at least one child below age 13 in the household and earning at least \$14,040 per year or working a minimum of 20 hours per week.
5. **Employed** - A two adult family with at least one child below age 13 in the household: either or both adults must work and must earn at least \$24,570 per year, or either or both together must work a minimum of 35 hours per week, on the average.
6. **Disability Income** - Receiving Supplemental Security Income ("SSI").
7. **Public Assistance** - All authorized family members living in the same apartment will be exempt from performing community service for one year if at least one family member receives welfare assistance or participates in a program that receives welfare monies and is in compliance with the rules of the program (*This exemption may require signed documentation*).

B. Other exemptions - granted only with supporting documentation

8. **Blind / Disabled** (Certification by a doctor is required).
9. **Receiving Social Security Disability** ("SSD") Income.
10. **Primary caretaker for the blind or disabled.**
11. **Vocational educational training** (available only **one** time per resident).
12. **Job skills training** directly related to employment, including attendance in a trade school. (The resident might not be currently employed, but employment may be dependent on successful completion of job training).
13. **Education directly related to employment**, in the case of an individual who has not received a high school diploma or a certificate of high school equivalency, if employment is dependent on successful completion of job training.
14. **Satisfactory attendance at secondary school** or higher.
15. **Satisfactory attendance in a course of study** leading to a certificate of general equivalence, if the resident has not completed secondary school or received such a certificate.
16. **Work experience** (including work associated with the refurbishment of publicly assisted housing) if sufficient private sector employment is not available, e.g., Youthbuild.
17. **On-the-job** training.
18. **Childcare provider** to a NYCHA child resident age 5 or younger (including your own child), if the child's parent - also a NYCHA resident:
 - Is performing Community Service, OR
 - Is exempt by NYCHA from performing Community Service because the parent is employed;
 - Childcare provider to a child age 6 through 12 may qualify if the child does not attend school due to Home Schooling, Home Instruction or is exempted by a school from attending for that year.

II. COMMUNITY SERVICE CREDITS

The following are CREDITS that reduce or eliminate the number of community service hours that a resident must perform in one year. These credits apply to the following special circumstances or

activity. Note that the maximum number of hours that any resident must perform in one year is 96 hours (8 hours per month). One credit is equal to one hour of community service performed.

1. **Resident Association (“RA”) Officer:** A RA President, RA executive board members or Citywide Council of Presidents receive a credit of 8 hours of community service during any month in which they serve in office.
2. **Foster Parent:** A foster parent whose foster child(ren) lives in the same NYCHA apartment receives a credit of 8 hours of community service for every 30 days that the foster care relationship continues. Even if there is more than one foster child in the apartment, the credit remains at 8 hours per 30 days.
3. **Job Search and Job Readiness Assistance:** The resident is credited with **16** hours of community service (and not more than 16) for any job search activities during any lease year. This is **not** an Exemption although verified on the *Community Service Exemption Verification – Education Job Training* form.

Job readiness assistance includes any of the following criteria:

- Training in job-seeking skills;
 - Training in the preparation of resumes or job applications;
 - Training in interviewing skills;
 - Participating in a job club;
 - Other related activities that may assist an individual to secure employment;
 - Receipt of Unemployment Insurance Benefits qualifies as job search.
4. **Military Service:** Any resident performing military service who is either on Active Duty (in the: Army, Air Force, Navy, Marine Corps or Coast Guard) or in a Reserve Component (in the: Army National Guard, Air National Guard, Army Reserve, Air Force Reserve, Navy Reserve, Marine Corps Reserve or Coast Guard Reserve) receives a credit of 96 hours of Community Service.
 5. **Temporary illness:** A resident who is ill and unable to work shall receive a credit of 8 hours for every 30 days of illness.
 6. **Victims of Domestic Violence, Intimidated Victims, and Intimidated Witnesses (VDV/IV/IW):** A resident whose request to transfer to another development as a VDV/IV/IW has been approved, receives a credit of 8 hours of community service for every 30 days that the transfer request is pending, or until the resident moves out of the apartment.
 7. **Incarceration:** A resident shall be credited for 8 hours of community service for every 30 days during his/her incarceration. Upon release from jail, the resident is required to perform community service, unless otherwise exempt.

III. COMMUNITY SERVICE REQUIREMENT

Residents who are not exempt must perform Community Service or Economic Self Sufficiency activities at the rate of 8 hours per month. These hours may be performed flexibly. It is acceptable to perform less than 8 hours during any month if those hours are made up during another month. The resident **must**, however, be in compliance with the full number of hours at the annual review period, as reported on the Status Notice.

1. **Service Status Notice:** If the Service Status on the Status Notice for any household member is “Community Service Required”. The resident has to submit Community Service Performance Log or Community Service Requirement Exemption Request form within 30 days of the date of the Status Notice. If NYCHA does not receive Community Service Performance Log or Community Service Requirement Exemption Request within 60 days from the date the forms are sent. The resident will be mailed the Determination of Non-Compliance /Workout

Agreement. If the Determination of Non-Compliance /Workout Agreement is not received within 30 days from it being sent, NYCHA will initiate termination proceedings against the tenant.

2. **Performance of Community Service:** Residents may perform Community Service either at a facility located within a NYCHA development or a non-NYCHA facility. There are a wide range of providers that residents may choose from who offer many different types of Community Service eligible activities. A resident may, but does not have to, perform all Community Service activities with one provider. The resident may perform a variety of Community Service or Economic Self-Sufficiency activities.

NOTICE	NYCHA does not endorse any particular organization or assume any liability in connection with a resident's Community Service. Each resident is solely responsible for seeking an appropriate organization to fulfill this federal law requirement.
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Residents must provide verification of the services performed by submitting the *Community Service Performance Verification* form they can do this by submitting the completed forms to staff at their property management office to be mailed to NYCHA's central imaging center or the resident can mail the forms directly to NYCHA's central imaging center. Once the forms have been received by NYCHA central imaging center, the community service forms will be uploaded to the residents account for NYCHA staff to review and process. The resident can submit these forms at any time during the year. The resident must complete the owed hours by the date of their next annual recertification.

Definitions of Community Service and Economic Self-Sufficiency and examples of qualifying activities are:

<i>Community Service</i> is <u>defined</u> by the law as: the performance of voluntary work or duties that are a public benefit, and that serve to improve the quality of life, enhance resident self-sufficiency, or increase resident self-responsibility in the community. Community Service is not employment and may not include political activities.	
Examples of where to find Qualifying Community Service Activities	
Residents may volunteer to perform Community Service with NYCHA or any federal, state or municipal agency, or for any community or faith-based organization. Residents can visit their Property Management Office or access volunteer opportunities through the following: <ul style="list-style-type: none"> ▪ NYC Service – Located on the internet at www.nycservice.org ▪ By calling 3-1-1 the NYC Citizen Service Center ▪ The Volunteer Match database located on the internet at www.volunteermatch.org Residents can also perform service for groups not listed above. If there is any question about whether the service can be credited as Community Service, it is advised that residents ask their Property Management Office.	
Examples of NYCHA Community Service Activities	
Resident Watch <ul style="list-style-type: none"> ▪ Resident Green Committees (“RGC”) ▪ Attendance at Resident Association meetings ▪ Delegate/Alternate at RAB meetings 	<ul style="list-style-type: none"> ▪ Community Center/Senior Center volunteer ▪ Help at resident sponsored community clean-up days ▪ Attending meetings called by NYCHA

Examples of Non-NYCHA Community Service Activities Volunteer for local government, community, or faith-based organizations that serve a public benefit	
<ul style="list-style-type: none"> ▪ Food Bank ▪ Hospital ▪ Nursing Home/Hospice ▪ Ambulance service ▪ Programs providing support to families with hospitalized members ▪ Parks Department ▪ Library ▪ Reading Program ▪ Parent Teacher Association (“PTA”) meetings 	<ul style="list-style-type: none"> ▪ School ▪ After School Programs ▪ Day Care Facility ▪ Habitat for Humanity ▪ Boys or Girls Club ▪ AmeriCorps ▪ Police Department ▪ Auxiliary Police ▪ Youth Mentoring ▪ Vista ▪ Court ordered Community Service
<p><i>Economic Self-Sufficiency</i> is <u>defined</u> by the law as: any program that is designed to encourage, assist, train or facilitate the economic independence of its participants and their families. An <i>Economic Self-Sufficiency</i> program can also provide work for its participants.</p>	
Examples of Qualifying Economic Self-Sufficiency Activities	
<ul style="list-style-type: none"> ▪ Any REES or RES program ¹ ▪ Work placement ▪ Apprenticeship ▪ Any program necessary to prepare a participant for work (including substance abuse or mental health treatment programs) 	<ul style="list-style-type: none"> ▪ Employment counseling ▪ Basic skills training ▪ English proficiency ▪ Workfare ▪ Financial management ▪ Household budgeting or management

¹ REES is NYCHA’s Resident Economic Empowerment and Sustainability

NEW YORK CITY HOUSING AUTHORITY ORGANIZATION CHART



ATTACHMENT I
Assessment of Site-Based Waiting List
Development Demographic Changes

Stanton Street (NY005013590)

Stanton Street is a 13-unit public housing development located at 189-191 Stanton Street, in lower Manhattan. The development is designated to serve a special needs population involving persons with acute immunological disorders of a degenerative nature or other disabilities or medical conditions requiring a high level of physical and supportive service accommodations, including homeless persons. NYCHA administers a site-based waiting list for this development. As approved by HUD, the first priority for these apartments is given to applicant referrals from designated public and private social service agencies for Stanton Street who are homeless. The second priority is given to NYCHA residents who were originally referred by designated public and private social service agencies for Stanton Street.

Based on the data available on January 1, 2020, Stanton Street housed 13 families having the following racial/ethnic characteristics. There was a change in the race/ethnic characteristics from last year with White families increased from 0 to 2 and Black families decreased from 5 to 3. There were 3 heads of households reporting having a disability.

<i>White</i>	<i>Black</i>	<i>Hispanic</i>	<i>Other</i>
2	3	8	0

ATTACHMENT J

Smoke Free Housing Statement

The U.S. Department of Housing and Urban Development (HUD) required all public 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 increases the risk of asthma attacks, respiratory illness, stroke, heart disease, and lung cancer in nonsmoking adults and children. Children and seniors, nearly half of NYCHA residents, are often the most impacted by secondhand smoke. Eliminating smoking indoors and close to buildings is the best way to protect people from exposure to secondhand smoke.

NYCHA's smoke-free initiative, Smoke-Free NYCHA, is designed to create healthier homes for residents and healthier working environments for employees by reducing exposure to secondhand smoke and providing support to residents and employees who smoke and want to quit. The new policy took effect on July 30, 2018.

Our areas of focus for the first three years of implementation (2018-2021) are to strengthen Smoke-Free NYCHA by establishing smoking cessation support partnerships, facilitating dialogue about policy goals, and promoting active and consistent enforcement. In August 2020 NYCHA launched the Smoke-Free NYCHA Liaisons program. Smoke-Free NYCHA Liaisons serve as community health workers that can answer questions about the policy, coach residents who want to quit or reduce tobacco use and provide relevant resources. Their work to help residents quit or adhere to the policy will initially target Queens and Staten Island, with support extending to additional developments in 2021. NYCHA is also working to assist resident leaders across the City who are interested in working to build support for Smoke-Free NYCHA at their development.

NYCHA's Smoke-Free Policy

NYCHA prohibits the smoking of tobacco products inside public housing apartments; in all indoor common areas; and within twenty-five (25) feet of public housing buildings or to NYCHA's property boundary if less than twenty-five (25) feet from a NYCHA building. Smoking in these areas is a violation of the public housing lease. Prohibited tobacco products are any item that involves the ignition and burning of tobacco leaves, including cigarettes, cigars, pipes, and water pipes (hookahs).

In addition, using electronic cigarettes (also called e-cigarettes or e-cigs) in indoor common areas is prohibited under local law. Local law does not prohibit the use of electronic cigarettes outdoors or inside apartments.

It is the responsibility of residents to inform their guests and visitors of the smoke-free policy and to ensure guests and visitors do not violate the policy. Residents are accountable for their own violations of the policy, as well as violations of their guests and visitors. The policy is about the smoke, not the person who smokes. NYCHA shall not deny housing to an eligible family because a household member is a smoker.

Amending Leases

In accordance with HUD regulations, NYCHA amended its public housing lease to include smoke-free provisions, which are binding on all residents.

The smoke-free lease addendum states the following:

Your lease will be amended as follows: 12(dd): To assure that, in compliance with the Landlord's Smoke-Free Policy, the Tenant, any member of the household, a guest, or another person under the Tenant's control, shall not smoke prohibited tobacco products in restricted areas, as described in the Landlord's Smoke-Free Policy. Restricted areas include, but are not limited to, the Leased Premises, all interior areas of the Development or other developments of the Landlord, and areas within 25 feet of development buildings, or to the property boundary where that boundary is less than 25 feet from the property line of a development building. Prohibited tobacco products include, but are not limited to, cigarettes, cigars, pipes, and hookahs (water pipes).

The Landlord's adoption of the requirements in this paragraph 12(dd) does not make the Landlord a guarantor of the Tenant's or any other resident's health or of the smoke-free condition of restricted areas. The Landlord specifically disclaims any implied or express warranties that the Landlord's public housing properties will have higher or improved air quality or will be free from secondhand smoke.

The Landlord will take reasonable steps to enforce the requirements of this paragraph 12(dd) utilizing a graduated enforcement policy, as provided in the Landlord's Smoke-Free Policy.

Graduated Enforcement

In consultation with residents, staff, and the New York City Department of Health and consistent with HUD guidance, NYCHA has formulated a graduated enforcement approach to address violations of the Smoke-Free Policy. Graduated enforcement means NYCHA will respond to violations with escalated warnings and specific, progressive enforcement remedies while also connecting residents to resources.

Violations will be documented. NYCHA staff observing violations will report them to the Property Management office. Residents may report violations by calling the Customer Contact Center or notifying the Property Management office and providing details of the violation. Property management staff will not be able to identify every violation of this policy. Failure to enforce any part of this policy does not negate NYCHA's right to enforce the lease and policy at any future time.

Property Management staff will begin an informal resolution process if one or more of the following occurs:

1. One documented observation by NYCHA employees who know or reasonably can determine the identity of the violator; of:
 - a. A household member, guest, or other visitor smoking in a restricted area; or
 - b. Evidence of use of a prohibited tobacco product in a restricted area. Some examples include: observing an ashtray containing used cigarettes or smelling tobacco smoke emanating from an apartment.
2. Three recorded resident complaints to Property Management staff and/or three calls to the Customer Contact Center regarding:
 - a. Observing a resident, guest, or other visitor smoking in a restricted area; or
 - b. Reporting the smell of tobacco smoke emanating from another resident's apartment.

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, the health effects of secondhand smoke, strategies to take the smoking outside the buildings and the 25-foot perimeter, and available smoking cessation resources. During the meeting the 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.

If the household attends the informal resolution meeting and complies with the smoke-free policy for one year or more from the date of the informal resolution meeting, but violates the smoke-free policy thereafter, staff starts the informal resolution process over again.

Property Management staff will commence termination of tenancy proceedings if one or more of the following occurs:

1. The household fails to appear at the informal resolution meeting and does not respond within fourteen (14) calendar days of the scheduled date; or
2. The household participates in the informal resolution meeting and a resident, guest or other visitor violates the smoke-free policy within one year of the date of the informal resolution meeting.

NYCHA will also promote employee adherence to the policy through staff training, employee communication, and other means.

Reasonable Accommodation

Use of a prohibited tobacco product in a restricted area is not a reasonable accommodation of a disability. A disabled resident who is mobility impaired and uses a prohibited tobacco product may request a transfer to a lower floor as a reasonable accommodation to enable him/her to access areas outside his/her building in which smoking is not prohibited.

Partnering with Residents, the NYC Health Department and Other Leaders

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.

In total, NYCHA engaged over 21,000 residents in Smoke-Free NYCHA meetings, educational events, webinars, and other outreach forums between 2017-2018. NYCHA will work to advance Smoke-Free NYCHA 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 K
Public Housing Resident Advisory Board (RAB) Members

RAB DELEGATES/ALTERNATES 2020

	Delegate Name	Development	District	Delegate/ Alternate
1	Lozano, Lilithe	Parkside	Bronx North	Delegate/CCOP
2	Simmons Gil	E. 180 th St./Monterey	Bronx North	Delegate
3	Hall, Robert	Gun Hill	Bronx North	Delegate
4	Edwards, Maurice	Marble Hill	Bronx North	Delegate
5	Butler, Harvey	Sack Wern	Bronx North	Delegate
6	Lauray, Barbara	Fort Independence	Bronx North	Delegate
7	Jamerson, Princella	Millbrook	Bronx South	Delegate
8	Peterson, Miguel	Teller Avenue	Bronx South	Delegate
9	Henry, Audrey	Findlay Avenue	Bronx South	Delegate
10	Walker, Daniel Barber	Jackson	Bronx South	Delegate/CCOP
11	Topping, Ronald	Adams	Bronx South	Delegate
12	Tull, Gloria	Claremont Parkway	Bronx South	Delegate
13	Primus, Gwendolyn	Webster/Morrisania	Bronx South	Delegate
14	Bowman, Reginald	Seth Low	Brooklyn East	Delegate/CCOP
15	Johnson, Naomi	Howard	Brooklyn East	Delegate
16	Clifton, Rose	Howard Ave Rehab	Brooklyn East	Delegate
17	Green, Desiree	Crown Heights Rehab	Brooklyn East	Delegate
18	Boone, Marie	Tilden	Brooklyn East	Delegate
19	Whitaker, Cynthia	Unity Plaza	Brooklyn East	Delegate
20	Caldwell, Karen	Pink	Brooklyn East	Delegate
21	Marshall, Lillie	Red Hook West	Brooklyn South	Delegate/CCOP
22	Feliciano, Wanda	Unity Tower	Brooklyn South	Delegate
23	Brown, Frances	Red Hook East	Brooklyn South	Delegate
24	Boyce, Sheryl	Bayview	Brooklyn South	Delegate
25	Burgess, Darold	Ingersoll	Brooklyn West	Delegate
26	Harrell, Cassandra	Bed Stuy Rehab	Brooklyn West	Delegate
27	Colon, Naomi	Marcy	Brooklyn West	Delegate
28	Shipman, Lohoma	Bushwick	Brooklyn West	Delegate
29	Bradham, Vernona	Roosevelt	Brooklyn West	Delegate/CCOP
30	Velez, Ethel	Johnson	Manhattan North	Delegate/CCOP
31	Green, Nathaniel	Dyckman	Manhattan North	Delegate
32	Coaxum, Henry	Thurgood Marshall	Manhattan North	Delegate
33	McNear, Bernadette	Rangel	Manhattan North	Delegate
34	Javier, Abigail	Jefferson	Manhattan North	Delegate
35	Gordon, Felicia	Hernandez	Manhattan South	Delegate
36	Quinones, Carmen	Douglass	Manhattan South	Delegate

37	Morris, Ann Cotton	Woodside	Queens	Delegate/CCOP
38	Anglero, Karen	Latimer Gardens	Queens	Delegate
39	Coger, Claudia	Astoria	Queens	Delegate
40	Wilkins, Carol	Ravenswood	Queens	Delegate
41	Harris, Brenda	Cassidy/Lafayette	Staten Island	Delegate/CCOP
42	Butler, Shekina	West Brighton I & II	Staten Island	Delegate
43	Lewis-Clinton, Scherisce	South Beach	Staten Island	Delegate
44	Charles, Brenda	Mariners Harbor	Staten Island	Delegate
45	Brown, Lorraine	334 East 92nd St.	Section 8	Delegate

ATTACHMENT L

Agendas of Meetings Held with NYCHA's Resident Advisory Board (RAB)

March 26, 2020 Agenda

- PACT Overview
- Site Selection
- Progress to Date
- Pipeline Planning Discussion
- Next Steps

April 16, 2020 Agenda

- Roll Call/Introductions
- COVID-19 Statutory and Regulatory Waivers
- Department of Public Safety Update
 - CCTV Unit
 - Layered Access
 - Resident Watch
 - Quality of Life/Intel Reporting and 24-Hour Anonymous Tip Line

April 30, 2020 Agenda

- Introductions
- Agreement Focus
- Investment Strategy
- Funding Sources – Federal, State and City
 - State and City – Predefined scope-based allocations
- FY 2020 Federal Capital
 - Funding scopes
- Comments and Questions

May 21, 2020 Agenda

- PACT Planning & Resident Engagement Updates
- PACT Planning Discussion (Q&A)
- HUD Waiver Overview
- HUD Waiver Discussion (Q&A)

June 25, 2020 Agenda

- Goals & Guiding Principles
- Resident Advisor – revisited
- Community Planning Process – more detail
- Engagement & Social Distancing
- Discussion

July 16, 2020 Agenda

- Overview of Initiatives
- NYCHA Transformation Plan
- NYCHA Preservation Ideas

August 20, 2020 Agenda

- NYCHA's Portfolio Planning Team
- PACT: Background, Progress to Date, and Active Projects
- Guiding Question
- Core Criteria
- Discussion

October 15, 2020 Agenda

- FY2021 Flat Rent Schedule
- What is PACT?
- How Does PACT Work?
- PACT Investment & Improvement
- PACT Resident Protections
- PACT Conversions
- PACT: Progress to Date
- PACT: Active Projects
- PACT Core Criteria
- PACT Round 8
- PACT: Round 9
- Resident Engagement – Round 9 Overview
- Resident Engagement – PACT Curriculum
- Resident Engagement – PACT Partner Guidance
- Resident Engagement – Planning Fund
- Transfer to Preserve – Updates

November 12, 2020 Agenda

- FY2021 Flat Rent Schedule
- What is PACT?
- How Does PACT Work?
- PACT Investment & Improvement
- PACT Resident Protections
- PACT Conversions
- PACT: Progress to Date
- PACT: Active Projects
- PACT Core Criteria
- PACT Round 8
- PACT Round 9
- Resident Engagement – Round 9 Overview

- Resident Engagement – PACT Curriculum
- Resident Engagement – PACT Partner Guidance
- Resident Engagement – Planning Fund
- Transfer to Preserve – Updates

December 9, 2020 Agenda

- FY2021 Capital Grant and 5-Year Plan (2021-2025)
 - Introductions
 - Agreement Focus
 - Investment Strategy
 - Funding Sources – Federal, State and City
 - State and City – Predefined scope-based allocations
 - FY 2021 Proposed Federal Capital
 - Funding scopes
 - Comments and Questions
- FY2021 Flat Rent Schedule
- PACT Pipeline Planning Updates
 - What is PACT?
 - How does PACT Work?
 - PACT Investment & Improvement
 - PACT Resident Protections
 - PACT Conversions
 - PACT: Progress to Date
 - PACT: Active Projects
 - PACT Core Criteria
 - PACT Round 8
 - PACT Round 9
 - Transfer to Preserve - Updates

ATTACHMENT M

Comments from the Resident Advisory Board (RAB)

Capital Projects

- A resident of Bay View Houses wants to know if the funding for Mixed Finance developments, such as Bay View, is different from other NYCHA developments and if these developments receive any capital funding.

Mixed Finance developments are not eligible for Federal Capital funding. However, they are eligible and have received some investments from City and State Capital funding. If a Mixed Finance development needs major construction work, NYCHA strategizes to include funding for these developments in the City and State plans.

- Hernandez Houses is scheduled to have capital work begin in May 2020 on the exterior grounds. Will this work continue as scheduled or has the funding been reallocated due to COVID-19?

Beginning May 1st, 2020, the City mandated a 6-month moratorium on City funded capital projects due to the COVID-19 pandemic. All City funded projects were put on hold, including the exterior grounds project at Hernandez Houses. NYCHA received the go-ahead to restart these projects in November 2020. However, exterior projects such as groundwork are also dependent on seasonal conditions and cannot begin until the spring. This project will continue but the groundbreaking will occur in spring 2021.

- What is NYCHA doing to secure more federal funding to complete more capital repairs?

NYCHA is working closely with resident leaders, elected officials, and advocates to continue to work to receive federal, city, and state funding. The capital needs are great, and it should be noted that this administration is spending more on capital projects at NYCHA than any previous mayoral administration in recent history. Funding from elected officials (state and city) are usually directed to quality of life projects such as playgrounds, CCTV/Layered Access Control, site lighting and community center upgrades. The remaining city, state and federal funds are directed to systems and items outlined in the HUD Agreement, such as heating plants, roofs, elevators, and other infrastructure. The Blueprint for Change introduces additional innovative ways to address NYCHA buildings' capital needs through new investments moving from single systems to comprehensive rehabilitation, including apartment kitchens and bathrooms.

- Given the unprecedented situation with COVID-19, is NYCHA's funding for capital repairs at risk of being cut and if so, will the Capital Plan be revised?

NYCHA's Capital Projects Division utilizes funding from a diversity of sources, including the federal, state, and city governments and elected officials. NYCHA is currently working with our partners across City agencies to leverage funding that needs to be utilized for COVID-19 expenses. NYCHA's funding streams are subject to change based on any new legislation, but NYCHA forecasts the amount of funding that can be expected each year based on analyses of historical allocations. NYCHA works to forecast these allocations as accurately as possible, as capital projects are often planned in phases. For example, NYCHA will start the design phase for a heating plant project in one year knowing that the project will be going to bid and funded in the following year. This process has been in place before COVID-19.

- Were tenant association leaders included in a walk through as part of the determination of which developments and projects would be receiving capital work as part of the Capital Plan?

NYCHA utilizes an asset management program to determine which projects will be funded in the Capital Plan. Historically, NYCHA did complete walk throughs at developments as part of the determination process. However, the process has changed as NYCHA found that capital work was not evenly distributed across NYCHA's portfolio under the previous system. NYCHA's asset management program looks at data from a variety of sources including work orders, the most recent Physical Needs Assessment (PNA), and input from NYCHA development staff to establish a rating system that is then used to determine the most efficient and effective use of NYCHA's capital funds.

- A resident of West Brighton Houses wants to know why the bathrooms have not been upgraded or repaired. The original bathrooms are still in place.

NYCHA typically replaces bathrooms when chase walls need to be repaired to address plumbing issues that cause mold and mildew conditions. NYCHA continues to prioritize chase walls in the bathrooms, rather than in kitchens, when addressing plumbing issues in order to provide bathroom upgrades as part of these larger repair projects.

- A resident of Bushwick Houses states that the elevators at Bushwick need to be repaired and would like to know if they are scheduled for any improvements.

The Bushwick Houses elevators are not scheduled for replacement by the Capital Projects Division in the current Five-Year Capital Plan. Capital Projects Division prioritizes elevator replacements by the useful life duration of the asset and funding availability.

- As part of the redesign of NYCHA's lobby doors, will any protections be put in place so that NYCHA can have these doors repaired even if damage is caused due to vandalism?

NYCHA is working on establishing warranties and/or guarantees to make sure if something happens to a lobby door the issue can be fixed. Warranties are typically voided if damage occurs as a result of vandalism. NYCHA is working to design new entrances that are less costly to repair and more durable to resist damage. A pilot program for entrances, introduced at the last RAB Meeting, is underway and in the design phase. Given the high expense of replacing the current entrances when they are broken and vandalized, the new entrances being piloted were specifically geared to be ready made and available – making it less expensive to repair if vandalized. Therefore, the available funding will cover more doors.

- What types of warranties and/or guarantees will NYCHA require for the new lobby doors? Will the warranties cover vandalism?

Warranties and guarantees do not cover vandalism. The new design standards call for cameras to be located on the inside and outside of the entrance doors to deter this type of behavior.

- A resident of Johnson Houses stated that there is an issue at their development about an incomplete entrance door project that has been ongoing for 3 years.

Yes, due to an ongoing lawsuit, elements of this project were delayed. NYCHA Capital Projects Division has since secured the doors, completed the electrical work related to the doors and is currently doing interior remedial work such as tile replacement, handrail repair, and painting. Given the need to coordinate with tenants in these public spaces, it is estimated this work will be completed by September 2021.

- The Resident Advisory Board would like to see examples of the completed exterior design of the doors before they are finalized. NYCHA residents need to be at the table for all stages of the process for the new lobby doors, including more technical and design phases.

The doors are currently in the design phase. The CCOP President is coordinating a group of resident advisors to assist with reviewing the design. Capital Projects proposed construction of entrances with the new standards at two developments (moderate and high use). These sites would be used to test the new design and to provide an opportunity to receive feedback from the residents and NYCHA's Operations Department.

- It is important to replace lobby doors, but apartments need to have capital repairs made as well. Is the focus mainly going to be on exteriors, including lobby doors, from now on?

Capital Projects follows a logical building sequence when planning work to protect the investments made. This sequence starts with sealing the building envelope --roofs and masonry work-- then turning to building systems, interior renovations and grounds. We have made significant investments in roofing and the focus of federal funds is on exterior repairs and building systems such as heat and hot water. The current federal capital plan was presented at the RAB meetings held on April 30, 2020 and December 9, 2020. NYCHA released the Blueprint for Change with additional innovative ways to address NYCHA buildings' capital needs including apartment kitchens and bathrooms.

- NYCHA needs to provide information about where Section 3 resident owned businesses are utilized on capital repair projects.

NYCHA is working to increase involvement with Section 3 resident owned businesses and Section 3 contracts by diversifying the size of projects that can be bid on so that firms of smaller scale can successfully bid on NYCHA's projects and then hire workers under Section 3.

- West Brighton needs plumbing work and roof repairs. Where is West Brighton in the RAD pipeline?

NYCHA's Real Estate Development and Capital Projects departments work together very closely to best address the capital needs at each NYCHA development. NYCHA's Capital Projects department allocates funding for roof repairs, but plumbing and interior work are typically addressed through a mechanism for more comprehensive repairs, such as a RAD/PACT conversion. West Brighton is not in the RAD/PACT pipeline at this time.

As detailed in the most recent Capital Plan, West Brighton will receive waste management infrastructure improvements, including a new waste yard with exterior compactors, as well as interior compactors, and CCTV/Layered Access improvements.

- NYCHA needs to clarify how the Agreement funds will be allocated once they are approved by the Federal Monitor.

The Agreement Funds from the City of New York require an approved action plan that must detail how and where the funds will be used. NYCHA has proposed to allocate 39% of those city funds for lead paint testing and lead abatement, 28% for a waste management plan, 23% to fully address the lead, mold, heat, elevator and pests along with other deferred maintenance at high-need sites and 10% for heating and elevators.

- NYCHA needs to explain what funding sources are considered City funding.

Funding sources that are considered City funding are those funds allocated to NYCHA by the Mayor, City Council, or Borough Presidents' offices.

- The RAB would like to know if the amount of money in the Capital Plan is the amount of money that is projected to be received or the amount of money that is needed to do all capital work.

The amount of funding in the 5- year Capital Plan is the amount of funds HUD estimates NYCHA will receive over the next 5 years. The amount of money that NYCHA needs to do all Capital work is estimated at \$40 Billion as of 2020.

- NYCHA needs to clarify if \$248M per year from 2021-2025 spread out throughout the five years or if \$248M is the annual amount that NYCHA will receive.

The Capital Projects Division receives on average \$248 million annually as part of the Federal grant.

- Is it accurate to say that NYCHA does not receive enough money from the Federal Government to complete all needed capital repairs?

It is accurate to say that NYCHA does not receive enough money to complete all needed capital repairs.

- NYCHA needs to explain if the tenant association presidents were involved at the initial stages when NYCHA did the respective inspections at various developments to determine their capital needs. The tenant leaders are the ones who know when the boiler goes out, when the roofs leak, etc. The RAB has requested repeatedly that resident leaders be involved from the very beginning, middle and end.

NYCHA will take this recommendation under advisement.

- NYCHA needs to include, in writing, the names of tenant association leaders and the days and times that they participated in walk through inspections when determining capital needs at developments.

Historically, tenant leaders have not regularly attended the field inspections. NYCHA will take this recommendation under advisement.

- A RAB member would like to know what Local Law 11 funding refers to.

“Local Law 11”, as it is commonly known, refers to the NYC Façade Inspection Safety Program (FISP). FISP requires buildings 6 stories or taller to have their exterior facades inspected once during each five-year filing cycle. In order to be in compliance with the NYC Municipal Code, funds are needed to inspect buildings, report on the findings, and provide sidewalk protection sheds where unsafe conditions are found. Funding for remedying those unsafe conditions is in excess of \$3 Billion and is not eligible for city capital funding. NYCHA is working with the city to develop a plan to remove restrictions that limits use of city capital dollars for façade repairs.

- Is it accurate to say that Local Law 11 funding is being allocated to start eliminating those problems that make sidewalk sheds necessary?

The current Local Law 11 funding is allocated for code required emergency inspections and sidewalk shed installation to protect the public and residents. The Local Law 11 program cost is an excess of \$3 Billion to repair deficiencies identified in the emergency inspections. Due to funding rules mentioned above, NYCHA may only use Federal dollars to repair the facades. NYCHA does not have enough Federal funding to repair the deficiencies identified in the inspections. Only after the deficiencies are fixed will the Department of Buildings allow for the removal of sidewalk shedding.

- NYCHA needs to explain if Local Law 11 funding means that the union automatically gets that work.

Union employees must complete Local Law 11 repairs, as well as installation of the sidewalk protection sheds because all the Requirement contracts have a Project Labor Agreement (PLA). Additional information about the PLA is available here:

<https://www1.nyc.gov/assets/nycha/downloads/pdf/project-labor-agreement-faq.pdf>

- Is there anything in the Annual Plan that makes sure that eventually all interiors, exteriors, and all components of each development will be standardized across the board, so that there is standardization across the entire portfolio?

The varying building typologies and existing conditions means standardization is impossible across the NYCHA portfolio. We strive to provide comparable quality across the board. NYCHA has design standards for certain components that are installed across the portfolio. An example of this is the Mayoral Roofing Initiative that standardized energy performance and roofing material.

At present, the funding in the capital plan represents a small fraction of the total needs for all NYCHA developments and does not currently allow for the entire portfolio to be modernized and standardized. NYCHA's Transformation Plan will enable NYCHA to secure significant capital to invest in and stabilize NYCHA's portfolio.

- The RAB is concerned that NYCHA does not have a road map in place to finalize the construction and repairs that need to be done to get the entire portfolio up to scale. Capital planning is good but there needs to be a road map to achieving results.

NYCHA's road map to bring all buildings to a good state of repair is NYCHA's Transformation Plan. The plan will enable NYCHA to secure the level of funding required.

- The RAB would like a list of all planned CCTV projects by development and by building, with the number of interior and exterior cameras to be installed and the funding information also included if possible.

Please see list below. The final detailed scope of work and camera locations will be determined and signed-off on during the site walkthrough with the Resident Association leaders, Elected Official or designee (Sponsor), Management, the Capital Projects Department and the Office of Safety and Security-CCTV Unit, in design phase.

#	Funding Year	Developments	Borough	Project Budget Amount	Preliminary SOW
1	FY 19	Bailey Ave. - W. 193rd Street	Bronx	\$500,000.00	CCTV
2	FY 19	Marble Hill	Bronx	\$ 75,000.00	CCTV
3	FY 19	East 152nd St. - Courtland Ave.	Bronx	\$225,000.00	CCTV
4	FY 19	Howard	Brooklyn	\$ 1,400,000.00	CCTV
5	FY 19	Pink	Brooklyn	\$3,000,000.00	CCTV
6	FY 19	Elliott	Manhattan	\$250,000.00	CCTV
7	FY 19	Fulton	Manhattan	\$250,000.00	CCTV
8	FY 19	La Guardia Addition	Manhattan	\$170,000.00	CCTV
9	FY 19	Rangel	Manhattan	\$ 423,000.00	CCTV
10	FY 19	Astoria	Queens	\$100,000.00	CCTV
11	FY20	Millbrook Houses	Bronx	\$ 550,000.00	CCTV
12	FY20	Monroe	Bronx	\$2,506,000.00	CCTV
13	FY20	Sedgwick	Bronx	\$ 880,000.00	CCTV & LAC
14	FY20	Hughes	Brooklyn	\$500,000.00	CCTV
15	FY20	Gowanus	Brooklyn	\$150,000.00	CCTV & Lighting
16	FY20	Woodson	Brooklyn	\$800,000.00	CCTV
17	FY20	LES Infill I	Manhattan	\$675,000.00	CCTV & LAC
18	FY20	Chelsea-Elliott	Manhattan	\$600,000.00	CCTV

19	FY20	Baisley Park	Queens	\$1,500,000.00	CCTV & LAC
20	FY20	Latimer Gardens	Queens	\$200,000.00	CCTV
21	FY20	Berry	Staten Island	\$200,000.00	CCTV & LAC
		Total		\$14,954,000.00	

- A RAB member from Howard Houses would like to know when the CCTV cameras will be installed, as they were allocated funding for cameras several months ago.

The project is currently in the planning phase. Due to the COVID-19 Pandemic and the OMB 6-month funding moratorium, the project start date has been delayed. After design and public procurement, the anticipated construction start is May 5, 2023.

Community Engagement

- The RAB would like legal counsel or insight available when NYCHA is proposing significant changes, such as converting developments from public housing or adding ground floor retail to NYCHA developments.

NYCHA meets with the RAB regularly to discuss proposed changes to the Annual Plan and shares a listing of developments under consideration for conversion. As conversion plans are finalized, the RAB is updated on those changes. The RAB may engage legal counsel if it wants further assistance.

- NYCHA needs to send printed presentations in the mail so that resident leadership can review them in advance of RAB meetings.

In November 2020, NYCHA provided tablets and service to each RAB member so that members are able to receive and review the RAB presentations in advance of each RAB meeting.

- A member of the RAB would like to know if the Citywide Council of Presidents (CCOP) can be restructured to include Section 8 residents. Section 8 families deserve to have representation as an increasing percentage of NYCHA's portfolio consists of Section 8 households.

The CCOP is NYCHA's jurisdictional-wide resident leadership body which represents Public Housing residents. The structure of CCOP is determined by its by-laws and the HUD regulations. The current bylaws do not include Section 8 households. CCOP is in the process of amending their bylaws and may include a Section 8 committee in their by-laws, but that is at the CCOP's discretion. NYCHA has made the recommendation.

- NYCHA should offer a Section 3 training for upper management.

NYCHA trained over 700 staff across all titles and departments on the Agency's Section 3 standard procedures in September 2020. This training was executed before the release of HUD's new Section 3 rule. NYCHA is currently reviewing the implications of the new rule and will retrain staff appropriately in 2021.

- NYCHA should develop or offer virtual training for Section 3 Resident-Owned Businesses.

NYCHA's Office of Resident Economic Empowerment & Sustainability (REES) maintains a partnership network of business development organizations that deliver services to support aspiring resident entrepreneurs and growing resident-owned businesses. In Spring 2020, many of these partners quickly pivoted to provide virtual business development training. REES supports these efforts by facilitating virtual information sessions for NYCHA residents and NYCHA Section 8 voucher holders. More information can be found at www.opportunitynych.org

- For waiver PH-8, why do resident council elections need to be suspended when virtual voting could be implemented? Does NYCHA have any plans to implement virtual voting?

NYCHA temporarily suspended resident council elections that were in process during the COVID-19 pandemic, but NYCHA is looking to overhaul the resident council election process entirely. NYCHA does not currently have a virtual voting plan in place.

- It is not fair that resident leaders that are not in good standing with NYCHA are able to keep their titles and remain in their positions.

NYCHA works with resident leaders to maintain compliance of the Resident Council. Once elected, individual officers are held accountable to the membership and residents of the development. Each recognized resident council has a set of governing bylaws that include a process for the membership or elected executive board to remove an officer or recall the entire board. This process must be initiated by the residents of the development. NYCHA is currently working the CCOP on an MOU that may include additional requirement of elected officers during the term of office.

- NYCHA needs to go paragraph by paragraph, or slide by slide, when presenting to the RAB to ensure that people can ask questions throughout the meeting and the meeting can be more interactive.

This recommendation was implemented during the final two RAB meetings of the year and was very successful.

- Section 8 residents should be able to receive the same amenities promised to public housing residents (such as iPads) during the COVID-19 pandemic. A Section 8 resident was told they could not receive an iPad because they did not live in a public housing development.

All members of the Resident Advisory Board and Citywide Council of Presidents, including Section 8 members, received iPads from NYCHA in November 2020.

- NYCHA should share what resident leaders are participating during virtual RAB meetings and conduct a roll call so that RAB members are aware of which tenant leaders are participating in RAB meetings.

This suggestion has been implemented. Virtual roll call will be conducted at the start of each RAB meeting.

- The RAB suggests that NYCHA create a Section 3 virtual workshop for residents to self-certify as resident-owned businesses so residents can launch their own cleaning companies and partner with NYCHA to clean their buildings during the COVID-19 pandemic.

NYCHA will take this recommendation under advisement. Vendors seeking to do business with NYCHA must register in iSupplier and specify their services (e.g. cleaning). Additional information is available here: <https://www1.nyc.gov/site/nycha/business/isupplier-vendor-registration.page>. Public housing residents who own a business and are registered to do business with NYCHA in iSupplier can self-certify as a Section 3 Business Concern. Additional information about Section 3 Business concerns is available here: <https://www1.nyc.gov/site/nycha/business/section3-business-concern-information.page>.

- NYCHA needs to explain which capital projects have been designated to Section 3 Resident-Owned Businesses. There are millions of dollars at respective developments and these types of projects should have more Section 3 Resident-Owned Business involvement. Are Section 3 Resident-Owned Businesses included in the RFP, or will they be?

NYCHA provides annual reports to HUD (Capital/Operating Funds) regarding contract awards to Section 3 Business Concerns. Overall, the dollar amount of contracts NYCHA awarded to Section 3 Business Concerns (S3BCs) doubled to \$25.7M in 2019 from \$13.8M in 2018. In 2019, NYCHA met the minimum 3% goal for contracts to S3BCs for non-construction contracts for the Operating Fund (\$20.7M out of \$508.7M). The Capital Fund Program awarded \$5.047M out of \$175.4M to S3BCs which was just short of the 3% goal at 2.88%. Section 3 Businesses Concerns must demonstrate that they are qualified and can successfully perform under the terms and conditions of the proposed contract.

On September 29, 2020, HUD published the Section 3 Final Rule with an effective date of November 30, 2020. The final rule makes significant changes to Section 3. Most notably, the “new hire” benchmark has been replaced with the “labor hours” benchmark, and there are no longer any contract award goals for Section 3 Business Concerns.

In addition, the definition of a Section 3 Business Concern (S3BC) has changed. Under the Section 3 new rule, a S3BC must meet at least one of the following criteria documented within the last six-month period:

- At least 51 percent owned and controlled by current public housing residents or residents who currently live in Section 8-assisted housing, or;
- At least 51 percent owned and controlled by low-or very-low income persons, or;
- Over 75 percent of the labor hours performed for the business over the prior three-month period are performed by Section 3 workers

COVID-19 Pandemic

- How much of a deficit is NYCHA facing, compared to last year, as a result of increased unemployment and the COVID-19 pandemic?

As of January 7, 2021, NYCHA is not projecting a deficit at 2020 year-end.

- NYCHA should provide an update to the RAB about the 120 days grace period for rent payment, as residents are very concerned about paying their rent in the COVID-19 pandemic. What is NYCHA’s current rent payment policy while COVID-19 is ongoing?

*NYCHA residents can continue to apply for a rent hardship if their hours have been cut at work or if they have lost their jobs. There continues to be **no** waiting period to report loss of income to NYCHA. (As of November 2020, the standard two-month waiting period that is normally required to apply for an Interim Recertification continues to be suspended.)*

To apply for a rent hardship, residents should immediately fill out an Interim Recertification online or by requesting a paper packet. For more information on NYCHA’s Rent Hardship Policy, please visit: <https://www1.nyc.gov/site/nycha/about/rent-hardship.page>

If residents have not lost income, but are still not able to pay rent, utilities, or other bills, they may visit the Human Resources Administration (HRA) to request one-time assistance: <https://a069-access.nyc.gov/accesshra/>.

Rent continues to be due by the 1st of the month. Below are some examples of how residents may pay rent:

- Phone – Call NYCHA Phone Payment at (877) 481-9947 (convenience fee will be applied to those paying with credit or debit cards. There are no fees if you pay using your bank account.)
- Online – Through the NYCHA website or Management Office Kiosk (convenience fee will be applied to those paying with credit or debit cards. There are no fees if you pay using your bank account.)

- *Mail – Send a check or money order with your remittance slip to the preprinted address.*
- *Bank/Credit Union – Household can make cash rent payments through licensed money transmitters, who provide money transfers and money order services. These include MoneyGram, Western Union, CheckFreePay and are commonly available at supermarkets, pharmacies, bodegas, check cashing locations and many others. Residents can also find a list on nyc.gov/NYCHA*
- NYCHA needs to explain how they are working to make sure residents can complete their recertifications during the COVID-19 pandemic.

Annual Recertifications can be completed online via the Self-Service Portal or by requesting a paper packet from your Property Management Office, if you have not previously requested one.

NYCHA's Self-Service Portal may be accessed from any smartphone, tablet, or computer (desktop or laptop). Under COVID-19, tenants may also contact the Management Office to schedule an appointment to use the OneStop Kiosk. You may photograph and upload supporting documents. Instructions on how to complete the Annual Recertification online can be found here: <https://selfserve.nycha.info/nycha/images/PHAnnualRecertHelp.pdf>

Completed paper packets must be mailed to:

*New York City Housing Authority
P.O. Box 19202
Long Island City, NY 11101*

You may also hand deliver to your Management Office. Please make sure to call ahead to make an appointment before visiting the office. Because of COVID-19, processing times by mail are delayed.

As of November 2020, NYCHA is also working on a plan to deploy the Digital Vans to Senior Developments in a safe and effective manner to provide additional accessibility to computers and the internet during this time.

- HUD Notice PIH 2020-05, "PH and HCV-1: PHA 5-Year and Annual Plan Submission Dates, Significant Amendment Requirements" waives the requirement for the standard public PHA board of directors meeting typically required to adopt a modification or amendment to an Annual Plan, due to conditions surrounding COVID19. As our CCOP-RAB meetings are being conducted in the "virtual" format, significant amendments should also be conducted in this forum. This would provide us the opportunity to discuss significant amendments, Section 18 demolition/disposition, Section 22 voluntary conversion of public housing to vouchers, RAD that are still subject to the substantial amendment requirements.

NYCHA agrees with this comment and has been hosting virtual meetings for the Annual Plan and Significant Amendment throughout the year. Between March and December 2020, the following meetings have been hosted virtually for the Significant Amendment:

- *March 26, 2020: RAB Meeting (Real Estate Development Activities)*
- *April 30, 2020: RAB Meeting (Capital Plan)*
- *May 21, 2020: RAB Meeting (Real Estate Development Activities)*
- *June 25, 2020: RAB Meeting (Real Estate Development Activities)*
- *August 20, 2020: RAB Meeting (Real Estate Development Activities)*
- *October 15, 2020: RAB Meeting (Real Estate Development Activities)*
- *December 8, 2020: Public Hearing*
- *December 9, 2020: RAB Meeting (Real Estate Development Activities and Capital Plan)*
- The RAB would like to receive a 1-page summary of the COVID-19 waiver that was passed by HUD.

Information about NYCHA's usage of waivers is available on NYCHA's public website at <https://www1.nyc.gov/site/nycha/about/covid-19-resources.page>.

- For waiver PH-2, NYCHA should provide examples of HUD's justification for this waiver.

In issuing this waiver, HUD has stated the following:

HUD is waiving the Total Development Costs (TDC) and Housing Construction Costs (HCC) limits to allow the amount of Public Housing Funds committed to development of a project to exceed the applicable TDC and HCC limits by 25% without a waiver from HUD.

HUD recognizes that COVID-19 may seriously impact development costs. The lack of available labor; shortage of materials; extended development timeframes; and changes in financial markets, all have the potential to increase development costs above the established HUD TDC and HCC limits.

- For waiver PH-3, what impact will this waiver have on Section 3 and Section 3 resident-owned businesses?

NYCHA has not made use of this waiver. NYCHA contracts out its construction and professional service contracts competitively and follows HUD procurement policy that includes Section 3 requirements.

- How is NYCHA communicating the information in each waiver to the elderly and/or disabled?

NYCHA is exploring ways to increase accessibility as HUD continues to announce waivers.

- If NYCHA uses the HQS waivers that allow units to be rented without inspections upon verification there are no life-threatening deficiencies, it eliminates the opportunity for residents to have critical repairs made to their units that are often identified during their inspections.

This is not an accurate assessment of how this HQS waiver works. Section 8 participants retain the right to work with their landlord for unit repairs. Additionally, if Section 8 participants have repair issues with their units, they can call the CCC (718)707-7771 and request an inspection. The unit will be scheduled for a remote visual inspection or an in-person inspection, when in-person inspections resume. Additional information is available on NYCHA's public website at <https://www1.nyc.gov/site/nycha/about/covid-19-resources.page>.

- NYCHA needs to clarify what alternative requirements will be accepted.

NYCHA has adopted alternative methods to confirm repairs for life-threatening conditions. NYCHA has posted detailed guidance online to inform Section 8 owners and participants about the updated inspection process during the ongoing public health emergency because of Covid-19. The guidance can be found here: <https://www1.nyc.gov/assets/nycha/downloads/pdf/HQS-Program-Update-Notice-11-02-2020-english.pdf>

- Can the information in HUD Notice PIH 2020-05, "PH and HCV-2: Family Income and Composition: Delayed Annual Examinations" be included in rent statements for public housing residents and sent to Housing Choice Voucher residents in a FAQ Format?

NYCHA did not adopt this waiver. It did not delay annual recertifications.

- In HUD Notice PIH 2020-05, "PH and HCV-3: Family Income and Composition: Annual Examination - Income Verification Requirements", it states that the period of availability to conduct annual reexaminations using these modified verification requirements ended on July 31, 2020. What has happened after this date? Did NYCHA have the authority to extend the date, or did HUD make an additional extension?

HUD extended PH and HCV-3: Family Income and Composition: Annual Examination – Income Verification Requirements through December 31, 2020.

- In HUD Notice PIH 2020-05, “PH and HCV-6: Family Self-Sufficiency (FSS) Contract of Participation; Contract Extension” it states that the circumstances surrounding COVID19 qualify as ‘good cause’ to extend family contracts. As this issue has been problematic for residents throughout the years, the term “good cause” must be clearly defined. Likewise, if HUD has shared with PHAs a list of qualifying “good causes” to extend family contracts and FSS programs during COVID19, NYCHA needs to share the list with the CCOP-RAB.

HUD's current FSS regulations define “good cause” as: “...circumstances beyond the control of the FSS family, as determined by the PHA, such as a serious illness or involuntary loss of employment.” §984.303(d). HUD has determined that COVID-19 constitutes “good cause” to extend FSS COP. HUD has not shared a list of qualifying “good causes” with NYCHA.

- NYCHA must communicate the information contained in HUD Notice PIH 2020-05, “PH and HCV-7: Waiting List: Opening and Closing; Public Notice” to all stakeholders, including seniors, those without internet access, and to the hearing impaired, visually impaired, and those with disabilities. NYCHA should consider including this information in rent statements and mail notices to HCV residents, as well as notifying all CCOP-RAB members and TA Presidents.

The Leased Housing Department will consider these suggestions. Please note, NYCHA’s Leased Housing Department has complied with all notice requirements for opening and closing its HCV waitlist in accordance with applicable regulations and PIH Notices. HUD has recognized that PHAs might have difficulties in complying with wait list opening and closing requirements during COVID-19; and thus, has offered up several alternative public notice options, including a voicemail on a general number or posting the information on the PHAs website.

- In HUD Notice PIH 2020-05, “Housing Choice Voucher Program Waivers- Housing Quality Standards (HQS) Inspections” it states that “...HUD is authorizing the use of the HQS-related waivers and alternative requirements listed in the section. PHAs are in the best position to determine which [if any] of these waivers should be applied to their HCV programs based on the needs and current conditions in their local communities.” NYCHA should clearly define what the “alternative” requirements referred to are.

NYCHA has posted detailed guidance online to inform Section 8 owners and participants about the updated inspection process during the ongoing public health emergency because of Covid-19. The guidance can be found here: <https://www1.nyc.gov/assets/nycha/downloads/pdf/HQS-Program-Update-Notice-11-02-2020-english.pdf>

- In light of these waivers referenced in “Housing Choice Voucher Program Waivers- Housing Quality Standards (HQS) Inspections”, NYCHA must make clear who will monitor and enforce the HQS inspections process. NYCHA must also make clear how it plans to do so given NYCHA’s size, diversity of needs across locations, and complexity as an agency.

NYCHA’s Leased Housing Department Inspection Unit monitors and enforces HQS within its Section 8 program and will ensure proper application of HQS-related HUD waivers.

- NYCHA must clarify how the HQS process will be handled for homeless individuals and families who have been approved for Section 8 apartments but cannot have their apartments inspected, considering the waived requirements referenced in “Housing Choice Voucher Program Waivers- Housing Quality Standards (HQS) Inspections”.

NYCHA has a process in place to accept an owner certification for new rentals in lieu of a physical inspection as permitted under HUD waiver notices. The owner must certify that the unit meets federal HQS requirements by: 1) completing the Owner Certification of Initial Inspection; and 2) providing a detailed sketch of the unit. The Owner Certification of Initial Inspection form and sketch is reviewed by NYCHA’s Leased Housing Department Inspection Unit for compliance with federal HQS.

- As referenced in “Housing Choice Voucher Program Waivers- Housing Quality Standards (HQS) Inspections”, who at NYCHA will enforce the requirement that HQS inspections be completed on units no later than October 31, 2020?

HUD has extended the deadline to one year from the date the certification was received. NYCHA’s Leased Housing Department Inspection Unit is monitoring and will enforce this requirement and any additional extensions of this waiver.

- As referenced in “Housing Choice Voucher Program Waivers- Housing Quality Standards (HQS) Inspections”- without HQS inspections and the possibility of NYCHA withholding payment from owners until needed repairs are made, NYCHA needs to make clear how HCV residents can protect themselves against slum landlords.

If Section 8 participants have repair issues with their units, they can call the CCC (718)707-7771 and request an inspection. The unit will be scheduled for a remote visual inspection or an in-person inspection, when in-person inspections resume. Additionally, if the landlord notifies NYCHA it has made repairs to the unit, NYCHA verifies that the repairs were made with the tenant either verbally and/or via the tenant’s signature on the Certification of Repairs.

- HUD Notice PIH 2020-05 “HQS-1: Initial Inspection Requirements” states that the requirement for passing an HQS inspection prior to the execution of a HAP contract is waived, and an alternative requirement of allowing for the owner’s certification is in effect. NYCHA must clearly define the referenced alternative requirement.

NYCHA has posted detailed guidance online to inform Section 8 owners and participants about the updated inspection process during the ongoing public health emergency because of Covid-19. The guidance can be found here: <https://www1.nyc.gov/assets/nycha/downloads/pdf/HQS-Program-Update-Notice-11-02-2020-english.pdf>

- HUD Notice PIH 2020-05 “HQS-1: Initial Inspection Requirements” states that “...the PHA may add other requirements or conditions in addition to the owner’s certification but is not required to do so.” Additional conditions should also be required in order to hold slum landlords accountable to address outstanding needed repairs prior to authorization of rent payments.

The Leased Housing Department will consider this suggestion.

- NYCHA must clearly define the alternative requirements for HQS Inspections, as referenced in HUD Notice PIH 2020-05, “Housing Choice Voucher Program Waivers- Housing Quality Standards (HQS) Inspections HQS-6, HWS-7, and HQS-8.”

NYCHA has posted detailed guidance online to inform Section 8 owners and participants about the updated inspection process during the ongoing public health emergency because of Covid-19. The guidance can be found here: <https://www1.nyc.gov/assets/nycha/downloads/pdf/HQS-Program-Update-Notice-11-02-2020-english.pdf>

- Various parts of the HUD Notice PIH 2020-05, “Housing Choice Voucher Program Waivers- Housing Quality Standards (HQS) Inspections” references that the “...PHA may add other requirements or conditions in addition to the owner’s documentation but is not required to do so...” As NYCHA has unscrupulous landlords and HQS inspections are the only vehicle to address outstanding repairs, additional requirements or conditions should be added and enforced, including having the tenant sign off on the owner’s photos, paperwork, etc. to confirm repairs.

The Leased Housing Department will consider this suggestion. Additionally, NYCHA already has a process in-place that includes tenant verification. If the landlord notifies NYCHA it has made repairs to the unit, NYCHA verifies that the repairs were made with the tenant either verbally and/or via the tenant’s signature on the Certification of Repairs.

- The HUD Notice PIH 2020-05, “Housing Choice Voucher Program Waivers- General, HCV-1: Administrative Plan” allows the Administrative Plan to be revised on a temporary basis without Board approval. Despite this waiver, would NYCHA conduct a “virtual meeting” to formally adopt the Administrative Plan?

NYCHA’s Leased Housing Department does conduct virtual meetings to formally adopt the Administrative Plan. This is completed at the time of the virtual Board Meeting. NYCHA’s Leased Housing Department has informed the Board of all changes to its Administrative Plan and the Board has approved all changes.

- The HUD Notice PIH 2020-05, “Housing Choice Voucher Program Waivers- General, HCV-2: Information When Family is Selected- PHA Oral Briefing” allows oral briefings to be conducted via “webcast, video call, or expanded information packet.” Would NYCHA send a written notice to selected families to let them know what to expect in advance of the scheduled Oral Briefing?

NYCHA’s Leased Housing Department Applications Unit does send notices to applicants to inform them about the application process. NYCHA is conducting oral briefings via telephone during the COVID-19 pandemic.

- In HUD Notice PIH 2020-05 “Public Housing Program Waivers- PH-2: Total Development Costs”, it states that “Amounts in excess of 25 up to 50% may be approved by the HUD program office on a case-by-case basis, if sufficient justification is provided...” NYCHA should provide examples of what HUD considers to be sufficient justification.

NYCHA did not use this waiver as we are not developing new public housing units or participating in Choice Neighborhood grants.

- HUD Notice PIH 2020-05 “Public Housing Program Waivers- PH-3: Cost and Other Limitations: Types of Labor” states that “...HUD will waive this requirement to allow for the use of force account labor for modernization activities even if this activity has not been included in the non-high performer PHA’s 5-year Action Plan...” What impact would this have on Section 3 and its Resident Owned Businesses?

NYCHA has not made use of this waiver. NYCHA contracts out its construction and professional service contracts competitively and follows HUD procurement policy that includes Section 3 requirements.

- NYCHA should clarify whether the HUD Notice PIH 2020-05 “Public Housing Program Waivers- PH-4: ACOP: Adoption of Tenant Selection Policies” waives the requirement for the CCOP-RAB to approve PHA policies in the ACOP. NYCHA should also clarify if it might use a virtual meeting for board approval, despite the waiver.

NYCHA did not need to use this waiver as it did not make any changes to policies that would have required CCOP-RAB approval.

- Despite the waiver granted in HUD Notice PIH 2020-05 “Public Housing Program Waivers- PH-8: Resident Council Elections”, virtual voting should be adopted by HUD to keep from delaying resident council elections beyond the three-year limit.

The recommendation that HUD adopt virtual voting for resident council elections should be directed toward HUD.

- The HUD Notice PIH 2020-05 “Other Waivers and Administrative Relief- Designated Housing Plans- HUD 60 Day Notification” states that HUD is temporarily waiving the typical 60-day deadline for notifying PHAs if their Designated Housing Plan complies with requirements for occupancy by elderly and/or disabled families and is doing so in order to ensure that fair housing concerns are adequately addressed. Would this also impact the homeless waiting for Section 8 apartments, or are the homeless exempted?

The Designated Housing Plan currently addresses public housing properties and is not applicable to the Section 8 Program.

- NYCHA should create a FAQ sheet to further clarify the HUD Notice PIH 2020-05 to residents. This FAQ sheet should specifically touch on topics including: the waiving of public hearings despite the option for virtual hearings; alternative requirements related to the triggering of significant amendments; hardship exemptions; the intended methods for communicating these waived requirements to residents, including those with hearing or visual impairments or disabilities; among others.

NYCHA will consider this suggestion.

- Twin Parks West and Campos Plaza did not receive protective gear (face masks, etc.) from their management during the COVID-19 pandemic and residents were referred to NYCHA to receive materials. Who is responsible for providing protective gear to developments that have converted to Section 8 under PACT?

As NYCHA received donated protective equipment, the Community Engagement and Partnerships team- in partnership with community-based organizations and resident associations- managed its distribution. Many PACT partners additionally managed donations within their respective buildings, with NYCHA collaborating where possible.

Read more about NYCHA'S COVID response at <https://www1.nyc.gov/site/nycha/about/covid-19-resources.page>.

- A RAB member from Park Rock Consolidated would like clarification about how often the buildings will be cleaned during the COVID-19 pandemic.

NYCHA has contracted with a vendor that is disinfecting high-touch areas seven days a week.

Read more about NYCHA'S COVID response and cleaning schedule at <https://www1.nyc.gov/site/nycha/about/covid-19-resources.page>.

- The RAB is concerned that staff cleaning buildings for COVID-19 are not using clean rags, wearing uniforms to clearly identify themselves, or following cleaning protocol at NYCHA buildings.

Residents with concerns regarding vendors providing disinfection services are advised to file a complaint through NYCHA's Complaint Portal (<https://www1.nyc.gov/site/nycha/index.page>). The departments charged with compliance (Compliance, Environmental Health and Safety and Quality Assurance) investigate residents' complaints, and if the allegations are founded, these departments direct the vendors to take appropriate corrective actions.

- The residents are supportive of the efforts NYCHA is making to disinfect high-touch areas as a result of the COVID-19 pandemic, but the rest of the NYCHA buildings and grounds are not being cleaned regularly enough. NYCHA needs to release a directive to stop using bio-wash as a cleaning solution, as it is not a sanitizer or disinfectant that is effective on COVID-19. Can NYCHA use stronger cleaning products?

Cleaning of the buildings and grounds is part of NYCHA'S daily schedule and routine. These areas are routinely inspected, and any deficiencies found are corrected. NYCHA currently utilizes cleaning supplies that are rated as effective against COVID-19.

- The RAB would like to know if NYCHA will be setting guidelines for how many residents should be in the elevator at one time during the COVID-19 pandemic.

Considering the varied sizes of elevators and number of elevators within each building in the portfolio, NYCHA is currently evaluating the feasibility of establishing elevator occupancy guidelines. Residents are reminded to wear a face covering and maintain physical distancing when riding elevators in NYCHA buildings.

Elevators

- NYCHA's elevator repair staff are inexperienced and often create a new problem when they are attempting to resolve an initial problem. Then, NYCHA has to bring in additional staff which requires overtime. NYCHA should streamline the elevator repair process.

All NYCHA elevator repair staff undergo training at NYCHA's Long Island City Training Facility. However, we are aware that elevator mechanics of all skill levels may encounter issues due to NYCHA's aging elevator equipment.

Additionally, NYCHA's Elevator Services and Repair Department utilizes an escalation process ("90 Minute Rule") for outages. If the assigned elevator mechanic is having issues restoring service to an elevator after 90 minutes, he/she will notify their immediate supervisor for their review. If their immediate supervisor cannot locate the problem, a request is immediately generated and sent to ESRD's Special Teams Unit to troubleshoot, address and restore service to the elevator. Overtime is only used as a last resort for no service conditions and long-term outages.

Pest Control

- The Integrated Pest Management (IPM) system is not working at Jackson Houses. The drilling and digging work drives pests to where the residents are.

The Authority has implemented IPM NYCHA-wide and is continuing to refine policies and programs to make this shift in practice better every day. This means - instead of solely relying on pesticides - exterminators look for holes to fix and root causes such as garbage and leaks to escalate to property management. This is a proven method that reduces the ways and reasons pests get into a space, meaning residents will see fewer repeat infestations in their homes. NYCHA still uses pesticides. However, through IPM there are fewer repeat infestations, so we are using fewer pesticides than we had been using previously. NYCHA is also using less sprayed pesticides for roaches and instead, we are using gel, which is healthier for residents and staff. In terms of rats, in 2017, we consistently counted approximately 50+ rat burrows on the exterior grounds of Jackson Houses. As of November 2020, NYCHA has reduced this count to approximately 20 rat burrows. NYCHA is not only treating rat burrows. In addition, NYCHA does non-pesticide IPM interventions, such as collapsing rat burrows, sealing holes in basements, improving waste collection and sealing window wells leading to basements.

- Resident leaders need to receive a copy of the IPM (Integrated Pest Management) policy so resident leaders can review how it is used and implemented and to see the results.

You can read more about NYCHA's IPM practices online at:
<https://www1.nyc.gov/site/nycha/residents/extermination-visits.page>

Public Housing Rent

- NYCHA needs to explain the flat rent schedule in further detail.

Information about NYCHA's flat rent schedule is available on pages 41 and 42 of this document as well as NYCHA's website: <https://www1.nyc.gov/site/nycha/residents/pay-rent.page>

- What is the difference between over-income and flat rent households? How many households are over-income? How many households pay flat rent?

The definition of an over-income household is set by federal law, the Housing Opportunity Through Modernization Act of 2016 (HOTMA). Under HOTMA, households with gross income greater than 120 percent of the area median income (AMI) based on their annual reviews for two consecutive years are over-income households.

Flat rent households are households that pay 80% of the HUD's Fair Market Rent, which is the HUD defined Flat Rent. As of December 1, 2020, there are 6,599 flat rent households in NYCHA. They comprise 4% of the total households (164,749). Only 19% (1,275) of the households currently paying flat rent are over-income households under HOTMA's definition (gross household income greater than 120 percent of AMI).

- In normal circumstances, how much money in rent is generated from the 7,700 households that are paying the flat rent?

As of December 1, 2020, there were 6,599 households at flat rent in NYCHA and they comprised about 4% of the total households. These households paid approximately \$10.5 million in rent for December 2020, representing about 12% of the total monthly rent revenue.

- If a resident is unemployed and has no money to pay rent, how is their rent calculated? Are residents able to pay \$0 in rent? How many residents are currently doing so?

NYCHA households reporting zero income through an Annual or Interim Recertification are processed in accordance with HUD's Income Realism policy. NYCHA staff will utilize all income verification methods, to verify a zero-income claim. Additionally, NYCHA staff request households complete a questionnaire to determine how they are meeting basic needs and living expenses. If after reviewing the questionnaire and checking all income verification levels for all household members, the income is zero, then the rent is set to zero (\$0). Households reporting zero income must complete a Zero Income Questionnaire every 90 days to ensure that the household income continues to be accurate. As of December 17, 2020, NYCHA had 871 households paying \$0 in rent.

Section 8

- Will NYCHA be hosting a virtual meeting for adoption of the Section 8 admin plan?

Yes, NYCHA presented virtually to the Board before the Section 8 Admin Plan was submitted in July 2020.

- When a family is accepted into the Section 8 program, does NYCHA still send the family written notice? How is the family notified they have been accepted?

Yes, families still receive a letter and eligibility interviews are conducted over the phone.

- Does NYCHA require special permission for families who are porting out of NYCHA's Section 8 program for them to be able to engage in a homeownership program once they port out?

As of December 2020, NYCHA does not have any homeownership participants. However, in Chapter 3 of the HCV Guidebook and 24 CFR 982.636, it states that there is no restriction mentioned on transferring (porting) from tenant-based rental assistance to a homeownership program.

24 CFR 982.353(e) includes the below paragraph:

(e) Freedom of choice. The PHA may not directly or indirectly reduce the family's opportunity to select among available units, except as provided in paragraph (a) of this section, or elsewhere in this part 982 (e.g., prohibition on the use of ineligible housing, housing not meeting HQS, or housing for which the rent to owner exceeds a reasonable rent). However, the PHA must provide families the information required in § 982.301 for both the oral briefing and the information packet to ensure that they have the information they need to make an informed decision on their housing choice.

Real Estate Development (PACT/RAD)

- NYCHA needs to provide a written summary that details how PACT affects resident leadership in converted buildings.

NYCHA supports and encourages the formation of tenant associations at PACT developments. Development partners are required to provide tenant associations with an annual budget of \$25/unit, and any unspent Tenant Participation Activity (TPA) funding at the time of conversion is transferred to the development partner for use by tenant associations. NYCHA provides training to development partners and resident leadership; after conversion, development partners are responsible for managing elections, and NYCHA is available to provide assistance where needed.

- NYCHA should create a subcommittee to oversee resident leadership at PACT developments. Resident leaders living in developments that have undergone conversion feel abandoned and neglected by the new property managers.

NYCHA supports CCOP's desire to keep the resident leadership at PACT/RAD developments informed and included. In order to effectuate that, NYCHA recommends CCOP amend Article VIII of their bylaws to establish a PACT/RAD committee.

- The RAB would like to know if developments that undergo a RAD conversion will still have a Tenant Association and access to Tenant Participation Activity (TPA) funds. If not, how will resident associations at these developments obtain education and training opportunities without access to TPA funds?

Post RAD-conversion, Tenant Associations will remain in place. Tenant Association funds are administered by the developer post-conversion. Prior to the conversion taking place, NYCHA's Real Estate Development Department meets with the developer to explain the TPA distribution process.

- As it stands now, residents do not receive the full \$25 per apartment for TPA funding, as NYCHA takes a large percentage of that. Upon conversion to PACT, would residents still receive TPA funding? Would they receive the full \$25?

At converted PACT developments, NYCHA's partners are required to provide \$25 per occupied unit per year for tenant participation uses, of which at least \$15 per occupied unit per year shall be provided to the legitimate resident organization to be used for resident education, organizing around tenancy issues, and training activities.

- The RAB wants to know if Tenant Associations for developments that have gone through a RAD-conversion can still advocate for and procure money from elected officials for work at their development.

Yes. If your tenant association receives external funding, your association will work with the developer (instead of NYCHA) to implement the project at your development.

- NYCHA needs to provide more support to resident leaders living in developments that have undergone PACT conversions.

NYCHA is available to support resident leaders at PACT developments. If assistance is needed, resident leaders can reach out directly to NYCHA's Community Development or Real Estate teams or submit questions or complaints via the new hotline. Residents with questions about their Section 8 contract should reach out directly to NYCHA's Leased Housing Department.

- NYCHA needs to clarify how developments are selected for PACT.

At the RAB's request, NYCHA presented a new approach for selecting sites for inclusion in the PACT program on 9/1/2020. NYCHA also distributed detailed portfolio data that is being used to determine which developments are the most physically and financially distressed, which is one of the criteria for inclusion in the PACT program.

- NYCHA needs to make clear what the meaning of "opportunity" is when referring to the selection of developments to include in the PACT program.

In the context of NYCHA's new approach to selecting sites for PACT, the term "opportunity" is used to refer to developments where NYCHA can tap into the real estate market to raise money for repairs. This includes opportunities for new development or the sale of development rights.

- NYCHA needs to explain what the indicators are that are used to rate developments for the PACT program. NYCHA should also explain how NYCHA determined which indicators and variables to include in the calculation of the development rankings.

NYCHA shared the list of indicators and asked the RAB for feedback during a presentation on 9/1/2020. The selection of indicators was conducted in coordination with a number of departments with NYCHA, but we always welcome feedback from residents and would be happy to discuss other indicators that residents feel are important to consider.

- NYCHA must provide the physical needs assessment information that is being used in the determination of developments chosen for PACT.

*High-level PNA information for each development was included in the dataset that was distributed to RAB members on 9/9/2020. The full PNA is also publicly available on NYCHA's website:
<https://www1.nyc.gov/assets/nycha/downloads/pdf/PNA%202017.pdf>*

- NYCHA needs to release the numeric ratings for each development and building as rated for PACT. NYCHA should also provide an estimate of the cost of maintaining each development and building.

This information was included in the dataset that was distributed to RAB members on 9/9/2020.

- NYCHA needs to release which NYCHA developments have the worst conditions according to the rating system for PACT.

This information was included in the dataset that was distributed to RAB members on 9/9/2020.

- NYCHA should factor in the neglect and deterioration of certain properties as part of the work order analysis that is one of the elements of the PACT rating system.

Thank you for the feedback. We are factoring in these elements as part of this work.

- How are work orders related to pests and elevators included in the equation when determining which developments will be selected for PACT?

Work orders for pests and elevator outage data are being factored into the data analysis to understand which developments have the greatest levels of physical and financial distress.

- NYCHA's ranking system for PACT conversions is not accurate because NYCHA's work order data is not accurate. The number of work orders that are called in is not accurate to what is occurring at NYCHA developments.

Thank you for the feedback. We recognize that many work orders are complaint-driven and may not accurately represent the physical needs of every development. For this reason, we are also including other factors such as PNA and operating expenses. It is also important to note that the data model is only one tool that NYCHA is using to identify sites for the PACT program.

- How have residents been involved in the equation of determining the rankings of developments for the PACT program? NYCHA should include resident leaders at all stages of the PACT process, including during the calculation of the development rankings.

We agree. For this reason, NYCHA presented our new approach to the RAB for feedback on 9/1/2020. As we engage with tenant leaders at each development, we are also sharing data about physical conditions and other factors in order to explain why NYCHA is including their development in the PACT program.

- NYCHA should disclose the ranking given to Holmes Towers as part of the PACT rating system.

This information was included in the dataset that was distributed to RAB members on 9/9/2020.

- NYCHA needs to explain what the current status of the Holmes Towers project is and what the involvement with resident leaders has been.

NYCHA is still working with the selected development partner on a mixed-income development proposal that will generate significant revenue to make repairs at the development. NYCHA will include resident leaders in these conversations and provide updates to the RAB in the future.

- NYCHA needs to provide a list of the developments that will be impacted in the next round of PACT. It is not fair to residents to have to wait to know when they will be impacted.

The developments impacted in the next round of PACT will be shared with the RAB prior to submitting the FY 2022 Annual Plan. Once a development is selected for the PACT program, NYCHA strives to give residents and resident leadership an accurate overview of the project timeline.

- A RAB member would like to know if Murphy Houses will be part of the upcoming PACT conversions and when complete ownership will be taking over the development.

NYCHA closed on the PACT conversion at Baychester and Murphy Houses in December 2018 by entering into a public-private partnership with MBD Community Housing Corporation (developer and social services provider), Camber Property Group (developer), and L&M Development Partners (developer and property manager). Social services are also being provided by BronxWorks. Repairs are underway and planned for completion by 2021.

- Will Bayview be undergoing a PACT conversion?

We are still in the process of assessing which NYCHA developments are best suited for the PACT program. Any decision about Bayview will first be discussed with resident leadership at that development.

- West Brighton needs plumbing work and roof repairs. Where is West Brighton in the RAD pipeline?

NYCHA's Real Estate Development and Capital Projects departments work together very closely to best address the capital needs at each NYCHA development. NYCHA's Capital Projects department allocates funding for roof repairs, but plumbing and interior work are typically addressed through more comprehensive repairs, which can be achieved using the PACT program.

- NYCHA needs to explain what the status of the development rights project at Chelsea is, as the last information that was available stated that NYCHA wanted to demolish 2 – 3 buildings for their air rights

NYCHA has not proposed demolishing any buildings for their development rights ("air rights"). A working group comprised of residents, elected officials, community representatives, and housing organizations has been meeting since the fall of 2019 to produce community-driven recommendations to address the future of the Chelsea, Chelsea Addition, Elliot, and Fulton developments. While working group meetings were paused due to COVID, members began meeting again this summer. The working group is aiming to publish a report with their recommendations in early 2021, which will inform an RFP to be issued by NYCHA to select development partners. The working group is currently contemplating a mix of PACT, infill development, and development rights ("air rights") sales in order to finance approximately \$366 million in comprehensive repairs at these developments.

- When will construction begin at Union Avenue Consolidated?

NYCHA hopes to begin renovations at Union Avenue Consolidated in mid-2022.

- When will construction begin at the developments mentioned in the Significant Amendment?

Renovations are expected to begin at Belmont-Sutter Area, Fiorentino Plaza, and Pennsylvania Avenue-Wortman Avenue in mid-2021.

- NYCHA cannot pay community-based organizations to be Resident Advisors and expect them to be an impartial resource for the residents. There needs to be separation between NYCHA and any organization receiving funding in the role of Resident Advisor.

We are excited to be able to fund the provision of technical assistance and legal services to residents, where desired, and will work to ensure that any consultants or community-based organizations engaged to provide these services are offering objective, accurate information to residents. We will also engage with resident leadership to select organizations that they trust and will not force any residents to work with consultants or community organizations that they do not wish to work with.

- Who is the third-party administrator for the planning fund?

As of December 2020, NYCHA has not yet identified the third-party administrator. NYCHA plans to release an RFP soon to solicit proposals from prospective candidates.

- NYCHA has deep relationships with local political figures and 501c3s in New York City. The RAB is concerned that they will be representing NYCHA and not the residents. Will residents have the option to retain organizations or individuals from out of state?

Yes, but experience in New York City is preferable.

- Do the Resident Advisors need to be NYC-based CBOs?

No, but experience in New York City is preferable.

- NYCHA should provide a list of attorneys who are available to work in the Resident Advisor role so that residents can do their due diligence and determine the best representation for the issues they'd like to address.

NYCHA will take this recommendation under advisement.

- The Resident Advisor program should emphasize utilizing the funds to hire attorneys and unbiased advisors.

NYCHA will take this recommendation under advisement.

- Can a resident leader fill the "Resident Advisor" (community organization) position in the real estate development stakeholders' group? Why should a Resident Advisor or community organization be involved? What will NYCHA do if a community group that has a complicated history with NYCHA residents and wants to be the Resident Advisor and the residents do not want their involvement? NYCHA residents should be able to choose who the Resident Advisor group is because the whole point of the relationship is for NYCHA residents to trust the group in this role.

The concept behind the Resident Advisor is that it is a trusted and impartial third-party organization with ties to the local community. NYCHA will not assign Resident Advisors. We agree that residents should have the opportunity to decide whether they want to work with an outside organization, and if so, residents will be able to select the organization(s).

- Many residents have had negative experiences with Legal Aid. In addition, organizations like Legal Aid are closely aligned with NYCHA and may not be able to accurately counsel residents. How will residents be able to utilize the legal counsel they want?

NYCHA's goal is to make objective legal counseling available to residents in connection with the signing of the Section 8 leases. Most recently, NYCHA's Real Estate Development Department has coordinated with Legal Aid to provide this service. However, through the Resident Planning Fund, if resident leadership would like to retain counsel to provide guidance on the project more generally or to review key legal documents, they will have the opportunity to work with a wider range of legal service providers.

- What is NYCHA's percentage of public ownership of a PACT development, and how involved is NYCHA in the decision-making in the day to day operations of a PACT development once the development has been converted?

NYCHA retains ownership over the land and buildings after a PACT conversion and will have approval rights over the on-going operation of the property through various PACT transaction documents. As a general matter, after conversion, the PACT developer will make day-to-day decisions over the operation of the property, but NYCHA retains oversight and the right to remove the PACT developer/property manager if there are significant issues with the day-to-day operation of the PACT development. Additionally, NYCHA Leased Housing Department administers the Section 8 program at the PACT developments and as a result remains closely involved in the day-to-day Section 8 administration.

- NYCHA needs to create a contract which details NYCHA's responsibilities to residents after PACT conversions are completed.

All stakeholder rights and responsibilities—including for NYCHA, residents, and PACT development partners—are detailed in the various legal documents that are signed at the time of conversion. Samples of these legal documents are available on NYCHA’s website and include the Control Agreement, Ground Lease, and Regulatory Agreement: on.nycha.gov/nychapact

- Where, in writing, are the rights of residents living in RAD developments codified?

Resident rights are codified in a number of places, including, but not limited to, legal documents that are signed at the time of conversion. These include the latest RAD Notice (Notice H 2019-09 PIH 2019-23 (September 5, 2019) Rev 4) which is effectuated by the RAD Use Agreement; the RAD Roundtable Principles that were crafted between NYCHA, resident leaders, and housing advocates and is included in the Control Agreement; and the PACT Residential Apartment Lease. The RAD Use Agreement, Control Agreement, and PACT Residential Apartment Lease, in addition to a number of standard PACT legal agreements, can be found on our website: on.nyc.gov/nychapact.

- Will developments that have undergone a PACT conversion follow HUD regulations?

Yes, developments that have undergone a PACT conversion will follow HUD regulations.

- How does the management team change in PACT developments?

As part of the PACT program, a new private or non-profit property management company takes over from NYCHA as the on-site property manager. This transition happens at the time the property converts to Section 8. NYCHA continues to own the land and buildings, administers the Section 8 subsidy, and monitors conditions at the development and the performance of the new property manager. Residents can also continue to contact NYCHA directly regarding any repair or other issues not being addressed by the property manager.

- What happens to the current NYCHA staff at developments that have undergone a PACT conversion?

Once the property is converted, employees will be redeployed through a process coordinated by NYCHA's Human Resources Department.

- It is concerning that NYCHA is so focused on raising money through these new initiatives. NYCHA also needs to focus on changing some of NYCHA’s employees. If NYCHA does not make changes to staff that do not do their job correctly, it seems defeatist to discuss any change for the better.

Thank you for this feedback. NYCHA’s Transformation Plan is focused on these and many other issues.

- NYCHA needs to clearly outline how Section 3 resident owned businesses will be included in future PACT development RFPs and NYCHA needs to clearly explain where resident leaders are involved in the RFP process.

PACT development partners must comply with Section 3 requirements. As part of the planning process, NYCHA requires development partners to do outreach and conduct trainings to ensure residents and resident-owned business are aware and able to apply for all available job or contracting opportunities. Going forward, NYCHA plans to better integrate resident leadership into the RFP process to select development partners. We plan to share more information about this approach in the coming months.

- NYCHA needs to integrate Section 8 resident owned business into their plans for developments converting through the PACT program.

PACT development partners must comply with Section 3 requirements. As part of the planning process, NYCHA requires development partners to do outreach and conduct trainings to ensure residents and resident-owned business are aware and able to apply for all available job or contracting opportunities.

- What will the relationship be between the NYPD and developments that have undergone a PACT conversion? Will the PSA and/or Housing Bureau still be present?

As of December 2020, this is a topic that NYCHA is still discussing with the NYPD.

- Will all developments receive the same type of renovations upon their conversion to PACT?

PACT partners work with residents to craft rehabilitation plans that are specific to each project based on the needs and priorities of that development and community.

- In the past, converted developments may have been promised money for renovations to take place as part of the RAD conversion process, but post-conversion, the renovations that have taken place are not significant and are mainly superficial fixes with materials that appear cheap. Why is this the case?

PACT development partners work closely with NYCHA to inspect every unit in developments undergoing PACT conversion. This is also an opportunity to consult with residents to understand the types of improvements and renovations they need in their homes. Prior to closing, the development partners prepare a scope of work document detailing every investment they plan to make as part of the project. Resident participation is critical here to ensure all planned renovations are appropriate and desired. Following conversion, residents should reach out to NYCHA and the development partner if any apartment improvements are unsatisfactory.

- Should repairs in a PACT building cost less than the funds allocated, can the balance be spent on additional repairs in the development, rather than going to the property manager? Is it possible that this can be written into the contract?

PACT budgets are crafted carefully to ensure the full scope of repair needs can be addressed. Unused funding is not paid to the property manager.

- Will there be a cap of what capital will be available as a part of the Technical Assistance Funding for PACT converted buildings? How will this be calculated?

NYCHA is still working on the details of this but we anticipate providing a base level of funding for each development plus additional funds per apartment. Larger developments with more apartments will likely have more funding allocated.

- Can a development become a resident-managed development?

NYCHA is open to all potential models and will take this idea into consideration.

- NYCHA should provide an opportunity for Resident Management Corporations (RMC) to be a part of the PACT program.

Resident Management Corporations (RMCs) are permitted under both the Section 9 and Section 8 programs. NYCHA is not prohibiting the establishment of RMCs in connection with PACT projects.

- Is it a fair statement to state that NYCHA is moving towards Section 8 and away from public housing? NYCHA needs to be honest with residents that public housing is being phased out.

You are correct in that both the Blueprint for Change and PACT programs rely on the federal Section 8 program to raise funding for repairs. However, we are not moving away from the core tenets of public housing. For example, under the Blueprint, the resident rights and protections are consistent with those of Section 9. The units will still serve low-, very low-, and extremely-low income families with restricted rents in perpetuity. The workforce that manages and maintains the buildings is still public workforce in the Blueprint for Change. The public still owns the properties and land. These are all core elements of public housing, and they are elements that are maintained under the Blueprint and Trust model. So, while NYCHA will be relying on the more stable, valuable Section 8 subsidy, these plans are designed to preserve public housing for generations to come.

- Once a development undergoes a RAD conversion, is it still considered part of the public housing portfolio?

PACT developments convert from the Section 9 (public housing) program to the Section 8 program. NYCHA continues to own the land and buildings but leases the property to development partners for a period of 99 years. NYCHA also retains oversight and the right to remove the PACT developer/property manager if there are significant issues with the day-to-day operation of the PACT development. Additionally, NYCHA's Leased Housing Department administers the Section 8 program at the PACT developments and as a result remains closely involved in the day-to-day Section 8 administration.

- NYCHA should use underutilized spaces on development campuses and use them to generate revenue streams.

Thank you for this feedback. This is an approach we are currently exploring at a number of developments.

- A RAD conversion has debt. What happens if Congress stops funding the voucher program?

The same risk exists for the Section 9 program. However, in contrast to the Section 9 program, the Section 8 program has historically enjoyed significant bipartisan support in Congress, and funding levels have steadily increased over time.

- What will happen if the government stops allocating funding for the Section 8 housing program and a development has gone through a RAD conversion?

For NYCHA's federal funding, NYCHA is dependent on Congressional allocations for both the Section 9 (public housing) program and the Section 8 housing portfolio. As part of a RAD conversion, NYCHA signs the Housing Assistance Payment (HAP) contract over to the developer, and the money NYCHA receives from the Federal government is then given to the developer in order to operate the property. Section 8 HAP contracts are required by law to be renewed by HUD every 20 years.

- How is NYCHA funding the developments slated for PACT conversion when the bill referenced in the Blueprint to form the NYCHA Trust has not yet been passed?

PACT conversions are distinct from the NYCHA Trust conversions. Funding for PACT projects comes from a variety of sources, including the NYC Housing Development Corporation, developer equity, and other public and private financing programs.

- NYCHA uses too many acronyms (RAD, PACT, etc.) and should have one name and abbreviation to avoid confusion.

NYCHA will take this recommendation under advisement.

- NYCHA should present the information about upcoming real estate transactions that was presented to the RAB at district meetings if RAB members request their attendance.

Thank you for this feedback. NYCHA's Real Estate Development Department would be happy to present at district meetings.

- As of October 2020, there is a building undergoing a RAD conversion where there are signs that inform residents not to sign the lease they were provided because they have no legal representation. Why are residents asked to sign new leases when renovations have not occurred yet and they don't know what the new management will be like?

Leases must be signed in connection with the conversion, as required by HUD. The tenant leases are important because they unlock the federal subsidy stream and preserve many important resident rights and protections.

- NYCHA should have informed residents and the RAB earlier that in order to convert to the Section 8 program as part of a PACT conversion and for renovations to be made, residents must first sign new leases. It is unfair to residents to sign a binding contract when we already do not have trust with the agency and legally, if NYCHA doesn't honor their promises, there is nothing residents can do because they've signed over new leases.

Thank you for this feedback. We understand the trust issue, which is why we enlisted the help of an independent third-party, The Legal Aid Society, to provide free legal counseling and advice to residents who have concerns about the lease or any circumstances that residents fear may jeopardize their housing stability.

- At Campos Plaza, the fine print of the contract states that after 25 years, the developer will have the right to stop the NYCHA waiting list. With developments in the PACT program, will there be similar language included in those contracts?

NYCHA's Leased Housing Department establishes and maintains site-based waiting lists for all PACT developments in order to re-tenant vacant units. As long as there is an active Project-Based Housing Assistance Payments (HAP) contract with NYCHA as the administrator, NYCHA will be maintaining a site-based waitlist.

- In City Limits (the website), there was an article that said the eviction rate at Ocean Bay (Bayside), a RAD development, has increased by 26%. Is this accurate?

The 2019 City Limits article inaccurately states the number of evictions at Ocean Bay Houses. In the first 26 months after the property converted through RAD, there were 50 evictions at Ocean Bay Houses. The majority of the evictions (63%) were for unauthorized residents, households refusing to sign leases or abandoned apartments.

In the last four years, NYCHA has continued to improve its PACT program to increase housing retention, including the provision of legal, technical, and social services for PACT residents. The eviction rate at PACT properties in 2019 was 0.18% - nearly half that of the NYCHA eviction rate and far below the citywide eviction rate.

- Whenever a conversion is thought about for the PACT program, the first thing NYCHA should do is reach out to the resident leader at the respective development. The resident leaders need to be at the table at the beginning, middle, and end of the process.

NYCHA is committed to engaging with resident leadership at the very beginning of the PACT process and working with leadership throughout the project to ensure resident goals and priorities are incorporated into our rehabilitation plans and other investments.

- NYCHA must include resident leaders in the development process from beginning to end. There should be an option for the CCOP and/or RAB to be involved in the development stakeholders' group.

NYCHA is committed to meeting regularly with resident leadership at PACT developments and ensuring they are able to meaningfully participate in the planning process for their communities. CCOP and/or RAB members are also being invited to these conversations as a standard practice going forward.

- Is there any way for residents and/or resident associations to be part of the decision-making process when developers and/or management companies are being selected for RAD conversion?

Yes. Going forward, NYCHA intends to consult with resident leadership prior to the selection of development partners and property management organizations.

- In the PACT development partner selection process, can any interested resident leader be involved, or only those resident leaders from the developments that you are converting to PACT?

As of December 2020, we are currently anticipating that only tenant association leaders from the converting development would be involved.

- As of October 2020, there is not a CCOP Chair for Manhattan South. As a result, there are a lot of developments that would not have representation in meetings for the PACT development partner selection process. How will this be resolved?

Thank you for this feedback. We are happy to involve any interested CCOP or RAB members from this part of the city in conversations about the PACT program. Regarding the developer selection process, we seek to incorporate resident feedback and priorities into our plans and use this information to inform the selection of development partners.

- Residents living in developments that have already undergone a PACT conversion had very little involvement with the selection of their property managers. Some of these companies do not have a good track record, yet NYCHA chose to partner with them. What is the vetting process when NYCHA is selecting a property manager for a PACT site? It is supposed to be a fair process, but it seems like certain property management companies are repeatedly being selected.

NYCHA uses a range of competitive selection criteria, including development experience and capacity; property management experience and plan; financial proposal; quality of proposed rehabilitation; and resident engagement plan. More information about our evaluation criteria can be found in our most recent RFEI, which is available here:

<https://www1.nyc.gov/assets/nycha/downloads/pdf/PACT%20Round%209%20RFEI.pdf>

- Is it the standard that NYCHA always goes with the lowest bidder when choosing a company to be the property manager of a PACT development?

No, NYCHA uses a broader set of criteria in selecting partners for PACT projects. More information about our evaluation criteria can be found in our most recent RFEI, which is available here:

<https://www1.nyc.gov/assets/nycha/downloads/pdf/PACT%20Round%209%20RFEI.pdf>

- NYCHA should provide the RAB with the list of questions or criteria that are asked of the candidates applying to become property managers of converted PACT developments.

NYCHA uses a range of competitive selection criteria, including development experience and capacity; property management experience and plan; financial proposal; quality of proposed rehabilitation; and resident engagement plan. More information about our evaluation criteria can be found in our most recent RFEI, which is available here:

<https://www1.nyc.gov/assets/nycha/downloads/pdf/PACT%20Round%209%20RFEI.pdf>

- Are the development partners that are selected for PACT conversions private contractors?

On PACT projects, NYCHA partners with private and non-profit developers, general contractors, property managers, and social service providers.

- What is a Request for Expressions of Interest (RFEI)? How does it compare to the function of a Request for Proposals (RFP)?

More information about the RFEI can be found on our website: [on.nyc.gov/nycha-pact](https://www1.nyc.gov/nycha-pact). An RFEI and RFP are functionally very similar procurement documents.

- Some vendors may look down on public housing residents and not perform their job as well as they would for privately managed buildings. When selecting vendors and management companies, NYCHA must look past their resumes and consider how they work with people from diverse backgrounds.

Thank you for this feedback. We absolutely agree. Experience managing similarly sized affordable housing properties, including Section 8 developments, is a key factor in our evaluation of prospective PACT partners.

- If NYCHA has residents involved at the beginning, the middle, and the end of the PACT process, especially when there are RFP or the RFEI briefings where the scope of work is reviewed, bidders/vendors would have the opportunity to work directly with NYCHA residents and know that they are a major part of the whole process. Residents should also be involved in the tour of the property and be able to discuss the issues that are going on at developments. This will help create a culture of respect between vendors and residents.

NYCHA takes this recommendation under advisement.

- Will NYCHA and the new property managers in developments slated for PACT conversions engage residents in order to determine the unique infrastructural and other needs for each development and building? All buildings are aging and have massive infrastructure problems. NYCHA seems to be following a blueprint for renovations at each development, but every building is different. Having a “one-size fits all” process is not realistic. How will residents who live in each building be engaged and able to provide feedback about what their building’s needs are?

We absolutely agree on the need to engage with residents in crafting rehabilitation plans. We work with development partners to facilitate a series of meetings with residents to drill down on the specific repairs that need to be completed at each development. In addition, development partners will conduct walkthroughs of every apartment and meet with residents one-on-one to understand the needs inside their homes.

- A RAB member would like to know if NYCHA can stop working with specific private management companies that residents are not happy with and that residents have reported being mistreated by.

NYCHA takes all reports of disrespect and mistreatment seriously and will investigate any specific issues with management companies in order to improve the quality of life for residents.

- For converted PACT developments, what is the procedure for changing to a new management company property manager if residents aren't satisfied with the original property manager chosen for their development?

NYCHA's right to remove and replace a non-performing property manager is set forth in both the Ground Lease and the Control Agreement. NYCHA retains the right to remove a property manager in the event of any breach or failure to comply with the HUD Program Requirements or the Management Agreement.

- NYCHA needs to provide clarity regarding the difference between Section 8 and Section 9, in terms of income thresholds and the maximum rent being 30% of family income. How will a household's rent be impacted once they go through a PACT conversion?

All authorized residents converting to project-based Section 8 through the PACT have the right to remain with no additional screening. Once converted to the Section 8 program, all residents will pay 30% of their adjusted gross household income towards rent. Residents who currently pay the flat rent that is less than 30% of their adjusted gross income will see their rent increase to 30% of their adjusted gross household income, with such increase phased-in over the course of five years if such increase is more than the greater of 10% or \$25.00.

- How does NYCHA ensure the long-term affordability of units after they are converted to Section 8 through RAD / PACT? Will they remain truly affordable?

It is a federal requirement that the units stay permanently affordable for the 20-year term of the Section 8 contract, which automatically renews in perpetuity so long as the Section 8 program exists. There are recorded use restrictions and restrictive covenants running with the land, preserving the land for use as affordable housing for 99-years. There are also a number of legal documents entered into among NYCHA, HUD, and the PACT development partner at conversion that also codify this requirement.

- Does a household living in a development that undergoes a PACT conversion receive a HAP contract? Do they receive the Housing Choice Voucher in writing as part of the lease?

When a development converts through PACT, there is only one master Project-Based Voucher Program (PBV) HAP contract that covers all eligible Section 8 units for that development. The PBV HAP contract is between HUD and the new property manager. Public housing residents who convert to Section 8 through PACT do not receive a Housing Choice Voucher as part of the conversion. However, any household that has lived for at least one year in a converted development has the option to apply for a tenant-based Housing Choice Voucher (HCV). Households that qualify for the HCV program will receive a voucher when it becomes available that can be used in the private housing market.

- Initially, residents were told that they could transfer out of converted PACT developments with mobile vouchers after remaining in their units for one year. RAB members have heard conflicting information about the ability to transfer. What is the specific type of vouchers that residents receive who undergo a PACT conversion? Are they "sticky" vouchers? Are they vouchers that can only be used for their unit and not transferred?

Through the PACT program, residents transition to Project-Based Section 8 Vouchers that are attached to their apartment. One year after conversion, residents can apply for a tenant-based Housing Choice Voucher (HCV).

- Can NYCHA insist that residents who currently reside in developments being converted through the PACT program be given mobile vouchers rather than project-based vouchers? Most residents desire

mobile vouchers. If residents had mobile vouchers, they would be able to apply to live in NYC lottery buildings that accept Section 8 vouchers. If it is not possible to give residents a mobile voucher upon PACT conversion, what is the reasoning? Is it a funding issue? If the initial residents living in a unit in a development that underwent a PACT conversion moved, wouldn't there always be demand for someone else to move into that unit? It seems like it would be fair that current residents who are part of a PACT conversion would have the option to move out after a year. Is this something that is negotiable?

HUD regulations do not allow NYCHA to provide residents with a Choice Mobility Voucher at conversion.

- The RAB should be given a virtual tour or the opportunity to speak to resident leaders at converted PACT developments to hear how the experience has been from their point of view.

Thank you for the feedback. We plan to resume coordinating tours after the pandemic, when we can safely meet in person. In the interim, we will reach out to resident leaders at converted PACT developments to see if they would be available to join an upcoming RAB or CCOP meeting.

- The RAB would like TA presidents living in developments that have successfully converted to PACT and/or RAD units to speak at an upcoming meeting.

We would be happy to organize this.

- Does the flat rent schedule apply to households who are living in developments that then undergo a RAD conversion and become part of the Section 8 program?

No, all resident at converted developments will pay 30% of their adjusted gross household income towards rent. Any resident who is considered "over-income" and paying the flat rent at the time of conversion will see their rent increase to 30% of income, but it will be phased in over the course of five years.

- If a tenant is living on a fixed income making \$10,000 or \$20,000 a year in the Section 9 program and pays 30% of their income for rent, will they be paying the same amount if their development undergoes a PACT conversion and they are then part of the Section 8 program?

Yes.

- NYCHA needs to provide additional information about the Family Self Sufficiency (FSS) Program.

More information can be found here: <http://opportunitynycha.org/about-financial-empowerment/fss/>

- What types of engagement and involvement has the Real Estate Development Department had with the CCOP?

NYCHA's Resident Engagement Department has presented to the RAB numerous times this year, in addition to separate briefings with the CCOP collectively and CCOP members individually.

- NYCHA's current plan is trying to make residents lose their homes.

Our goal is to prevent displacement by making the necessary repairs while preserving affordability and ensuring resident rights are protected.

- NYCHA needs to explain what air rights are. Are most of the developments with air rights are in Manhattan.

'Air rights', also known as "development rights", refers to unused zoning floor area at NYCHA properties. These development rights can be sold to developers who can then use them for new construction, raising financing for investing in improvement of NYCHA developments. Some of the highest-value air rights are located in Manhattan, but air rights sales can take place anywhere across the city so long as the transactions are in accordance with the provisions of New York City's Zoning Resolution.

- For developments that do not have a resident association, such as Belmont-Sutter Area, how are the residents at those developments being engaged and informed about their upcoming PACT conversions?

At developments where there is no tenant association, NYCHA's Resident Engagement Department distributes information to residents. NYCHA also coordinates with the DCOP and local elected officials.

- Will all upcoming meetings for PACT conversions be held via Zoom?

For the time being, as of December 2020, NYCHA is relying on Zoom for all large public meetings.

- NYCHA should inform District Chairs about all upcoming PACT activities that are occurring or planned for developments that fall within their district.

Thank you for this feedback. NYCHA's Resident Engagement Department strives to keep DCOP Chairs informed but will redouble our efforts to ensure leaders have advance notice about upcoming or planned meetings.

Recovery & Resiliency

- NYCHA needs to release information about the energy performance contracts (EPC) that are part of NYCHA's Sandy Recovery work and let residents know how that funding has been spent.

NYCHA's Energy Performance Contracts (EPC) associated with NYCHA's Sandy Recovery Program cover 18 developments. These contracts will further reduce energy costs and improve energy efficiency across NYCHA's portfolio and bring NYCHA one step closer to its NextGeneration Sustainability Agenda goals.

As of November 20, 2020, NYCHA has committed over \$33 million towards lighting, heating controls and the associated fiber needed to remotely monitor critical equipment, and water conservation measures. These investments provide benefits to NYCHA residents, while also reducing NYCHA's energy usage.

One important aspect of the EPC work is the installation of in-unit sensors to monitor the temperature of apartments. NYCHA had to suspend non-emergency work in-unit work due to the COVID-19 pandemic, but NYCHA still has three EPC in progress to accomplish this goal of installing sensors in all 44 developments. Despite COVID-19 delays, 39 locations are on schedule for completion prior to December 31, 2020. NYCHA has a fourth EPC in progress for an additional 13 developments and has procured 4 Energy Service Companies (ESCO) for the next set of EPCs to install temperature sensors. The Sandy A EPC has completed installation of apartment sensors at 17 developments. All work associated with this Sandy A EPC is expected to be complete by the end of March 2021.

SANDY A EPC - Amount Spent on Each Energy Conservative Measure (ECM)

	<i>Committed amount</i>
LIGHTING	\$9,737,000.67
HEATING CONTROL	\$20,697,150.03
FIBER	\$ 2,168,357.51
WATER	\$ 419,570.45

Safety and Security

- A resident of Hernandez Houses stated that a new door was installed approximately 10 months ago and within the first 6 months, the door was repeatedly vandalized. Why doesn't NYCHA pursue legal action against people who are committing crimes, including vandalism, especially when the activities are visible on NYCHA's CCTV cameras? When the residents contacted NYCHA to review the footage, nothing was done. NYCHA needs to do a better job of reviewing the CCTV cameras at the development and train the staff on how to view footage on CCTV cameras.

NYCHA's property management staff work with the Office of Security, NYPD, and various other Law Enforcement Organizations in order to collect information needed to apprehend criminals. NYCHA is working to develop better ways to work with residents when incidents occur, including reviewing camera feeds within the designated time-frame that the needed CCTV recordings are accessible.

- Will NYCHA be posting signage to inform residents about the Resident Watch Anonymous Tip Line?

The Office of Safety and Security has begun the process of contacting Resident Leaders regarding the Tip Line. The communication has begun to show meaningful results. In August 2020, the Office of Safety and Security (OFSS) received 185 anonymous tips and over 330 anonymous tip forms. OFSS will continue to expand the communications.

- NYCHA should explore other programs that have worked successfully in the past in addition to, or instead of the Resident Watch Program. It may be successful to launch a "NYCHA Ambassadors" program or review past programs that were more successful at engaging residents.

The Resident Watch Unit is regularly engaged in recruiting volunteers and employs various models for residents to participate, such as Lobby Patrol, Floor Captains, Mobile Patrol, and Anonymous Reporting (QOL Form and Tip Line). NYCHA remains committed to working with Resident Leadership and are open to see how we might be able to integrate the NYCHA Ambassadors concept into the program.

- NYCHA needs to explain why NYCHA's property management and central offices do not receive alerts when the layered access system at a development is broken.

The system is checked three times a day by the Office of Security, and internal trouble-shooting is done when issues arise. Management is notified when the system cannot be placed back online. It is also among Management's duties to check all lobby and exit doors every day.

- A RAB member stated that Bushwick Houses has layered access in place, but the intercoms do not work.

The Office of Safety and Security worked with the Resident Leader to get the list of doors with issues and provided it to Property Management. Depending on the issue, Property Management had a vendor or telephone service provider investigate the various issues.

- There are several developments in the Bronx, including Butler Houses, that were supposed to receive layered access, but they have never received key fobs. When will the key fob installation be completed?

Our understanding is that the Butler Houses has gone under a full layered access conversion as part of the MAP Initiative. If the local Resident Association Board is aware of residents that do not have key fobs, they should provide that information to the local Property Management Office so that the resident can be called in and provided with a fob.

- What should NYCHA residents do when they do not have a positive relationship with their Neighborhood Coordination Officer (NCO)? The residents want to develop strong relationships with their local Police Service Area (PSA) and their NCO but do not always feel the same sentiment from their NCOs.

It is recommended that residents participate in community city council meetings where they can have an opportunity to speak directly with the Commanding Officers of their nearby PSA/Precinct, while getting first-hand information regarding safety issues in their communities.

- The code for the exterior doors at Bay View Houses was supposed to have been deactivated but it is still active. When will it be deactivated so that people who know the code cannot enter the buildings?

Bay View Houses Management received the information regarding exactly which buildings still had active codes and retained the services of a vendor to have them removed

- If someone is on NYCHA's banned list, why are they still allowed to be on NYCHA's campuses and living in a NYCHA development?

If residents are aware of unauthorized tenancy, they should immediately report the matter to their local Property Management Office so that staff can work to confirm and resolve the matter. Additionally, matters like this can also be reported anonymously at the Resident Watch 24 Hour Anonymous Tip Line.

- The exterior doors at Marcy Houses are broken and need to be repaired. The issues have been reported to property management, but nothing has been done to fix them and non-NYCHA residents are able to access the lobbies and stairwells.

The Office of Security will conduct a survey of the doors and send findings to Property Management for follow up, repair and resolution.

- What happened with the Payment in Lieu of Taxes (PILOT) that NYCHA was historically making to New York City? Does NYCHA still make payments to the NYPD?

Announced on May 19, 2015 as part of NextGen NYCHA, Mayor De Blasio permanently waived the annual \$30 million PILOT payment from NYCHA.

Blueprint for Change and Transformation Plan

- NYCHA needs to understand the importance of who is chosen as members of the NYCHA Preservation Trust. The Trust should include members of the RAB in addition to members of the CCOP.

NYCHA recognizes the importance of choosing members of the NYC Public Housing Trust that represent the residents. The legislation to create the Public Housing Trust currently contemplates a board made up of nine members, four of which will be residents. The Board makeup would be as follows:

- *NYCHA appointees or ex officio (5)*
 - *NYCHA residents (2)*
 - *NYCHA Chair*
 - *NYCHA Chief Financial Officer*
 - *One member-at-large*
- *Mayoral appointees or ex officio (4)*
 - *NYCHA residents (2)*

- *Deputy Mayor for Housing and Economic Development*
- *One member with experience in labor-related matters*
- NYCHA needs to explain how the culture and mindset of current NYCHA employees can be changed as part of the Transformation Plan. Even if NYCHA raises money, if the same staff is in place with the same mindset, change will not be effective.

Creating a culture of service is fundamental to the Transformation Plan. One of the key themes of the new Operating Model is decentralizing resources so that operations staff aren't spread across the City but are instead responsible for a specific property or set of properties. Furthermore, NYCHA will decentralize certain central office functions into borough administration teams so that staff in HR, IT, and Finance, for example, will be able to provide better service to property management.

In addition to these structural changes that NYCHA will make to create a culture of service, NYCHA has also engaged a cross-departmental group of NYCHA employees to think through strategies to empower our workforce. Goals of the group are as follows:

- *Equip Employees for Success by supporting professional development with leadership and soft skills training and by providing greater autonomy, clearer expectations, and proper resources for development staff.*
- *Promote a Sense of Security by making safety improvements at the developments, resolving funding issues, and treating all departments with the same weight and respect.*
- *Strengthen Pathways for Growth by promoting from within and starting career development programs such as mentorship, job shadowing, and cross-agency training programs.*
- *Show Employee Appreciation by restarting employee recognition programs and anniversary awards, supporting social activities and offering other incentives to improve morale.*
- *Keep Improving by formalizing staff feedback channels, improving communications from leadership, and continuing to invest in improving the work environment.*
- NYCHA needs to engage more residents than the CCOP and the RAB to gain input on the Transformation Plan, and it may be helpful to develop subcommittees to help guide the process.

We agree with this statement. NYCHA will be hosting a series of resident town halls on the Transformation Plan during the open comment period. In addition to the Chair's weekly meetings with the CCOP on resident input for implementation, NYCHA welcomes suggestions from CCOP and RAB members regarding how to solicit more resident feedback.

Written Testimony submitted by Daniel Barber, CCOP President and Resident Association President of Jackson Houses

We, the Residents of Public Housing, demand that HUD permanently stop NYCHA from moving forward with the adoption of the “[Blueprint for Change](#)” on the grounds that:

- The Blueprint was developed without the input and approval of current NYCHA residents, as stipulated by the HUD 964 regulations.
- The drastic changes proposed by Blueprint have been introduced during the COVID-19 pandemic, when we can’t safely communicate the facts, information, and details of this plan to NYCHA residents.

The Residents Leaders of Public housing is a district-wide resident-led group of public housing resident leaders, under the umbrella of the Citywide Council Of Presidents (CCOP) board. We aim to preserve public housing by advocating for adequate funding, improving quality of services and increasing residents' decision-making authority.

The COVID-19 pandemic has revealed the serious disparities in healthcare, housing, and economic opportunity that impact black and brown, working-class, immigrant, and marginalized communities across New York City. We have lost jobs, friends, and family members to this disease. But the pandemic alone is not the cause of our problems. **COVID-19 has exposed a long history of inadequate investment in our communities. The Blueprint Plan would continue this pattern, ignoring the voices and excluding the experiences of our community members.**

Why is it necessary to force through these changes in the midst of a life-threatening pandemic? To implement changes to NYCHA during these unstable and dangerous times is to blatantly ignore the socio-economic and emotional challenges that our residents are forced to face.

The Blueprint proposes major changes to our lives, in ways most residents don't understand.

If we the Residents Leaders can’t yet fully understand the Blueprint for Change, how are we supposed to explain these changes to our residents? Not enough has been done to engage tenants and truly educate us about the plan, or to gather tenant insight and input. This violates our rights as public housing residents per the 964 regulations under Section 9, and in converting the units to Section 8, the Blueprint threatens these rights and protections in the future.

NYCHA Response

- *NYCHA has made great efforts, as we all have, to adapt to the issues presented by COVID. The changes and requirements imposed are not perfect, but we intend to continue meeting and briefing residents and others in our effort to present our ideas to the community. We are mindful of the limits of virtual engagement and, as indicated below, will endeavor to provide more options so residents may share in the proposed ideas. We are not trying to push anything through. Yes, the Blueprint ideas are a significant change, but our timeline for engagement takes us well into 2021 and beyond. If – and this is very uncertain – the State Legislature acts on the proposed Preservation Trust bill, there will be more hearings and debate, and we would welcome that. That debate is needed, so that we come to a common understanding of what we are proposing to do and the dire consequences of what happens if we do not act.*

Further, to be clear: the creation of the Trust does not mean that resident engagement stops. If the trust is created, any future actions by the Trust that impact a property will require further engagement at the property level. Any HUD-related applications also require engagement at the property level. This level of engagement is necessary to make sure any family impacted understands what is proposed at the property and what rights and protections are granted to them by the legislation under

consideration. The Trust, in collaboration with NYCHA, will engage in a variety of ways at the property level prior to any action to preserve the property and that communication is also welcomed.

*We also recognize that meaningful resident engagement is required **now** to present long term plans for NYCHA. For that reason, NYCHA has established weekly town hall meetings for residents to meet directly with me and other senior leaders to understand the ideas and to provide feedback to help craft and shape the plan. Thus far, NYCHA has hosted 9 town halls with over 1,300 attendees and will continue to do so in 2021. We have also hosted small group meetings with resident leaders, developments, and individual residents to explain the Blueprint ideas, answer questions, and gather feedback, including three sessions with all of CCOP, one with CCOP and RAB, one to two with each of the eight individual CCOP districts, which includes the CCOP member and their executive board and development presidents. These briefings with small groups of resident leaders, individual developments, and large groups will continue in 2021. In addition, NYCHA Intergovernmental Affairs hosted more than 150 briefings and meetings with residents, advocates, labor partners, thought leaders, elected officials, and other community partners, all of which will continue in 2021.*

We are also looking to engage residents who may not be able to attend a townhall or small group meeting: the full plan is available at <https://www1.nyc.gov/site/nycha/residents/blueprint-for-change.page>, and paper copies of the full plan are available from each management office. NYCHA is also looking to mail more information to residents regarding the Blueprint in the coming weeks.

While we have engaged with thousands of residents on the Blueprint, we know there is more work to do to ensure every resident who wants to can share their input on the plan. There is still a long road ahead – these ideas will not be implemented overnight – and we will use the coming months to ensure all residents can weigh in.

But we must emphasize that since Chair Russ arrived at NYCHA in August 2019, he has personally been meeting with residents, tenant leaders, advocates, partners and electeds, and hearing about unacceptable conditions, the need for long term change, and discomfort with private development partners. The conversations he had directly with residents helped formulate the concept of the Trust, a public solution to deliver repairs to residents and support the long-term preservation of NYCHA's housing stock. Early this year, we began formulating the idea for a public trust. We presented those ideas publicly in July and have continued to engage residents, advocates, and community partners over the past months.

We are also open to considering any solutions that raise the capital needed and deliver the repairs to NYCHA residents in a timely fashion. But, we cannot afford to wait to take action. As we all know, NYCHA residents deal every day with mold, leaks, vermin, lead paint, heat and gas outages, and many other basic maintenance failures. Under the HUD agreement and working with the Federal Monitor, we are focusing on these core maintenance issues each day. In FY 2020, the combined operating budgets for elevator repair, heating repair, Healthy Homes (lead and mold), Compliance, Quality Assurance, and Environmental Health & Safety reached \$449 million.

However, a hard fact is that NYCHA units are reaching a tipping point – we cannot repair our way out of the capital investment problem. These repair numbers and resource demands will continue to increase. While NYCHA has improved in many basic service areas, it will not be enough in the long run.

For example, two primary causes of mold are pipe issues in the walls and roof leaks. To truly fix mold issues, we must open the risers and replace 15 to 20 stories of piping or replace the roofing – or, often, both. The estimated physical need for mold in the Blueprint is \$9.5 billion dollars. To put this number in context, the public housing capital investment in the recently signed 2021 budget for the entire country was \$2.77 billion. Our mold need alone is three and a half times the national capital budget for all of public housing. This underfunding has persisted across multiple administrations.

We have proposed an approach that rightfully asks the Federal government to step up by providing more subsidy, so that we can use the public Trust to leverage the additional capital we need. We shaped the Blueprint capital plan to take advantage of the requirements in existing Federal law, which empower housing authorities to access additional subsidy through following these steps. In fact, these steps trigger a “statutory demand” on the Federal government for additional funding that they must address. We embark on this path to make a generational change in the units. We want the units to be in good condition for the next 40 years and beyond.

The need for NYCHA’s rehabilitation has never been more dire. We have seen public housing across the nation abandoned due to decades of disinvestment, and NYCHA has missed out on multiple cycles of capital rehabilitation. Buildings built half a century ago were not meant to go 50 years without any capital investment. We are contending with the devastating consequences of this inaction today: failing systems, never-ending repair backlogs, and unacceptable conditions for NYCHA residents. We also are working to meet deadlines as stipulated in the Agreement with HUD, the City of New York, and SDNY, which requires significant capital resources that do not exist.

This is our unacceptable reality today: of a landlord unable to provide basic services in many cases, and it is a harbinger of what is to come if we do not get our aging buildings the investment they need. The risks are very real: our buildings continue to fall deeper into disrepair to the detriment of our residents. We think the ideas outlined are the fastest, most viable path to meeting our near-term obligations as a landlord.

We are at an inflection point in New York City. The longer we delay investment, the greater the risk that we will soon see a catastrophic failure. But we cannot despair or retreat by inaction. We must confront the problem and we invite you to join us as we meet this critical moment and together do everything we can to preserve NYCHA’s apartments for current residents and for generations to come, all while preserving family rights and affordability in perpetuity.

There is plenty of work ahead, and we hope you will come to the table and help us build the plan together. We would be happy to meet with you, brief you on work to date, take questions on your concerns, and continue to include you on upcoming communications.

Furthermore, while Chairman Russ and NYCHA say the Blueprint will secure the necessary revenue to improve quality of life for NYCHA residents, we also know from history that measures that open up public housing to private investors always result in displacement and a loss of deep affordability over time. Given that the Blueprint is attempting to remove all of public housing in New York City.

NYCHA Response:

- *There is no “opening up” of the housing units to private investors, profit interests, or market fluctuations. Both the Trust and NYCHA are fully public entities, and under the Blueprint, NYCHA’s properties would be strictly governed by federal regulations, state law, and property use agreements that all guarantee the consistent rent calculations and rights as under Section 9. For example, Section 607 of the Assembly bill that would authorize the Trust specifically codifies these rights and protections into State Law. There is nothing a private entity can do to change those affordability measures and resident rights. There are no market fluctuations or private entities that can affect these rights and protections.*
- *The Blueprint proposes to raise money in the same way other public institutions raise money. Numerous public institutions, such as the MTA, City of New York, and Dormitory Authority of the State of New York, take on debt by issuing bonds to private investors. This allows them to make the critical investments in public infrastructure that New Yorkers need. There have been billions of dollars raised by these institutions and the risk is extremely low.*

In addition, "NYCHA work orders have skyrocketed under COVID -19. Security and standards in many of its buildings are deteriorating at alarming numbers, which is a clear example of continuous and constant mismanagement by the Agency. If NYCHA is failing to adequately monitor thousands of repairs to apartments, what would be different under the Blueprint? Under HUD rules, public housing units that are deemed obsolete are eligible to be transferred out of government control and into the hands of an outside organization.

We can even see it in this plan already. That Chairman Russ has stated that he is pursuing "obsolescence" to secure the tenant protection vouchers from HUD. This means that it is not in NYCHA's best interest to address repair needs right now, which is directly at odds with tenants' rights to safe and healthy and habitable housing and is critical to realizing housing as a home.

NYCHA Response:

- *Like many other institutions, NYCHA has had to adjust its maintenance and repair responses due to COVID-19. However, NYCHA is not allowing developments to go into disrepair. Day-to-day maintenance, repair work, and capital projects are continuing and will continue before and during the conversion process to the Trust. Federal, state, and city law requires that NYCHA repair NYCHA buildings now, and NYCHA is using every dollar available to do so. Per NYCHA's agreement with HUD, the City of New York, and SDNY, the Federal Monitor oversees this work and ensures we meet our obligations to our residents under the law. As required by the Agreement, the Compliance, Environmental Health & Safety (EH&S) and Quality Assurance (QA) Departments all ensure that NYCHA performs this repair work in compliance with the law. Unfortunately, NYCHA buildings are in such a poor state that they easily meet the obsolescence threshold. Even as NYCHA continues making and completing these investments at our properties using every single dollar we receive the buildings still meet the obsolescence criteria due to decades of neglect.*
- *The goal of the Blueprint is to fully repair each unit and use the investment to provide economic opportunities for residents. NYCHA defines stabilization as addressing all necessary major repairs required to address the HUD agreement, compliance with federal regulation, and Housing Quality Standards (HQS) at our properties. It is a massive amount of rehabilitation – new kitchens and bathrooms (including appliances and fixtures), new technology for boilers and heating systems, elevators, building pipes, ventilation systems, facades, high-security front doors, and more. It also means addressing lead, mold, leaks, and pests and improving waste management – creating healthier homes for residents. Our goal is to perform as much work as possible at each property.*

All of these plans are about the financialization of public housing, and "these strategies work to bring public housing under the control of financial professionals, and market logics, processes, and practices."

"The financialization of **PUBLIC HOUSING**, including the **RAD CONVERSION**, is dangerous because of how it changes the functional meaning of what housing is. [It] positions public housing in New York City as an asset portfolio. Assets are vehicles for wealth accumulation; that is their dominant function and it usually trumps other use values."

NYCHA Response:

- *As noted above, there is no "opening up" of the housing units to private investors, profit interests, market fluctuations, or the logic of the market. Both the Trust and NYCHA are fully public entities, and under the Blueprint, NYCHA's properties would be strictly governed by federal regulations, state law, and property use agreements that all guarantee the rent calculations and rights consistent with Section 9 public housing. For example, Section 607 of the Assembly bill that would authorize the Trust specifically codifies these rights and protections into State Law. There is nothing a private entity can do to change those affordability measures and resident rights. Due to this, the housing does not become an asset or a "vehicle for wealth accumulation" – its "dominant" and sole function is still its use as low-income housing with restricted rents for residents.*

- *NYCHA has not had sufficient funding to complete the same kinds of comprehensive repairs that are being made as part of the PACT program and proposed under Blueprint. Again, the Blueprint proposes to raise money in the same way other public institutions raise money. Numerous public institutions, such as the MTA, City of New York, and Dormitory Authority of the State of New York, take on debt by issuing bonds to private investors. This allows them to make the critical investments in public infrastructure that New Yorkers need. There have been billions of dollars raised by these institutions and the risk is extremely low.*
- *Developments remain under public control. NYCHA continues to own the land and buildings, administer the federal subsidies and waitlist, and monitor conditions at the developments. In the extraordinarily unlikely event of a default, the properties and residents will still be protected under all circumstances. The federal regulations and use agreements guarantee the same rent calculations and resident rights and require the continued use of the properties as low-income housing. In addition, if for any reason the Public Housing Preservation Trust dissolves, its assets return to NYCHA. Lastly, the City and State will have the right to cure any default, which acts as a backstop in any worst-case scenarios. At every step of the process, elected officials and government agencies will have the opportunity to correct any issues or potential defaults.*

RAD is a program with growing public concerns. Opponents claim the program is the privatization of public housing by the back door.

NYCHA has chosen to Experiment with the RAD/PACT Program converting 62,000 units to Private Management Companies that have been cited by the city as some of the worst landlords. This program has no to very limited Protections for the Residents different from Section 9.

With NYCHA writing limited protections into the contracts of the management companies aren't adverse in the function of the Resident Associations and its leadership which have since left the Residents alone and with no real Representation to Advocate on their behalf. So we urge HUD to provide Provisions to assure Resident Protection Rights under the RAD /PACT CONVERSATIONS.

NYCHA Response:

- *Developments that have undergone a PACT conversion follow HUD regulations. Through PACT, developments are included in the federal Rental Assistance Demonstration (RAD) and convert to a more stable, federally funded program called Project-Based Section 8. This allows NYCHA to unlock funding to complete comprehensive repairs, while also ensuring homes remain permanently affordable and residents have the same basic rights consistent with what they possess in the public housing program. These protections are mandated by HUD and documented in legal agreements. All stakeholder rights and responsibilities—including for NYCHA, residents, and PACT development partners—are detailed in the various legal documents that are signed at the time of conversion. These legal documents include the Control Agreement which incorporates the Principles for the Rental Assistance Demonstration: Supplemental Resident Rights and Protections under RAD Conversion, dated June 13, 2016 (the “RAD Roundtable Principles” which were crafted between NYCHA, resident leaders, and housing advocates) and the PACT Apartment Lease. We have made many of these legal documents available on our website at: on.nyc.gov/nycha-pact*
- *Resident rights in the RAD program in addition to the legal documents referenced above are documented at the Consolidated and Further Continuing Appropriations Act of 2012 (Public Law 112-55) as may be amended (creating the RAD program) and as implemented by the RAD Notice (Notice H 2019-09 PIH 2019-23 (September 5, 2019) Rev 4) as may be amended and are consistent with rights under Section 9.*

Maxine Waters, the Ranking Member of the House Financial Services Committee, wrote a letter to the Government Accountability Office in 2015 raising critical questions and demanding a review of the program. Waters criticized the program – highlighting its failure to engage residents and community. In a recent press release, she wrote: “despite RAD’s potential to have serious, negative impacts on tenants (such as an increase

in rent, relocation, or displacement), HUD is failing to adequately track these impacts and monitor potential violations of resident rights under relevant statutes and HUD policies.”

The National Low-Income Housing Coalition also addresses the long-term impact of RAD, stating: “HUD is **permanently privatizing** 185,000 public housing units,” converting them to either project-based voucher or project-based rental assistance programs. These conversions can profoundly impact residents’ lives and the price tag of the nation’s affordable housing stock. Following review of RAD, the U.S. General Accountability Office concluded the program requires a thorough impact assessment, saying “HUD does not systematically use its data systems to track effects of RAD conversions on resident households (such as changes in rent and income, or relocation) or monitor use of all resident safeguards...Without a comprehensive review of household information and procedures for fully monitoring all resident safeguards, HUD cannot fully assess the effects of RAD on residents.” HUD officials stated that they intend to develop procedures to identify and respond to risks to long-term affordability, including default or foreclosure in RAD properties. However, HUD has yet to do so.

NYCHA Response:

- *Resident rights are documented in in a number of places, including, but not limited to various legal documents that are signed at the time of conversion and can be found on our website at <https://www1.nyc.gov/site/nycha/about/pact/resident-resources.page>. NYCHA remains actively involved in the RAD properties by administering the Section 8 program and through oversight of the various contractual agreements with the developer.*

HUD has addressed this risk through an Agreement that requires both parties to renew. It is not clear how that will play out. In addition, during a conversion, if there are units that have been empty for two years at the time of application for RAD, the housing authority and developer can demolish them without replacement. Furthermore, advocates and elected officials such as Representative Maxine Waters have suggested that the program creates risk (e.g., default and foreclosure), and they worry about exposing public housing to the unpredictability of financial markets.

NYCHA Response:

- *For NYCHA’s federal funding, NYCHA is dependent on Congressional allocations for both the Section 9 (public housing) program and the Section 8 housing portfolio that NYCHA operates. As part of a RAD conversion to project-based Section 8, NYCHA executes as the Contract Administrator the Housing Assistance Payment (HAP) contract with the developer as “owner” of the units under the HAP contract, and the money NYCHA receives from the Federal government is then given to the developer as subsidy to cover the contract rent of eligible tenants in order to operate the property.*
- *As part of a RAD conversion, NYCHA enters into the Housing Assistance Payment (HAP) contract with the development owner pursuant to which subsidy is paid for an assisted unit on the HAP contract. The term of such HAP contract is 20 years. Pursuant to the RAD Notice (Notice H 2019-09 PIH 2019-23, Rev 4) and consistent with the RAD Statute, NYCHA as the administering voucher agency has to offer a renewal of the HAP contract upon its expiration and the PACT developers have to accept such renewals. For conversions to Section 8 either through PART 200 or Section 18, recorded use agreements also require such renewals of the HAP contracts.*
- *To further guarantee permanent affordability, NYCHA signs regulatory agreements with our PACT partners that impose use restrictions guaranteeing the residential units are only used for low-income housing throughout the restricted lease period which is 99-years.*
- *NYCHA is developing a performance monitoring system for the PACT properties to ensure that property managers are providing responsive customer service, performing preventative maintenance, and managing financial and compliance risks.*
- *Normally a RAD conversion cannot reduce the number of assisted units. However, a reduction is allowed by a de minimis amount. Units that have been vacant for more than 2 years are included in*

calculating such amount. Please note that any such de minimis reduction would need to be discussed with residents at meetings and NYCHA would have to approve of any such reduction.

In New York City the program's goal is to preserve affordable housing assets, housing advocates remain alert to RAD's long-term prospects for affordability. As experts like James Hanlon note, **the long-term reliability of Section 8 funding is not necessarily guaranteed after 15 or 20 years, which is the expiration length of a RAD contract.**

NYCHA Response:

- *For NYCHA's federal funding, NYCHA is dependent on Congressional allocations for both the Section 9 (public housing) program and the Section 8 housing portfolio that NYCHA operates. Historically, Section 8 funding has been more reliable in terms of Congressional allocations than Section 9 funding.*
- *Through PACT, developments are included in the federal Rental Assistance Demonstration (RAD) and convert to a more stable, federally funded program called Project-Based Section 8. This allows NYCHA to unlock funding to complete comprehensive repairs, while also ensuring homes remain permanently affordable and residents have rights consistent as they possess in the public housing program. These protections are mandated by HUD and documented in legal agreements. We have made many of these legal documents available on our website at: on.nyc.gov/nycha-pact.*
- *As part of a RAD conversion, NYCHA enters into the Housing Assistance Payment (HAP) contract with the development owner pursuant to which subsidy is paid for an assisted unit on the HAP contract. The term of such HAP contract is 20 years. Pursuant to the RAD Notice (Notice H 2019-09 PIH 2019-23, Rev 4) and consistent with the RAD Statute, NYCHA as the administering voucher agency has to offer a renewal of the HAP contract upon its expiration and the PACT developers have to accept such renewals. For conversions to Section 8 either through PART 200 or Section 18, recorded use agreements also require such renewals of the HAP contracts.*
- *To further guarantee permanent affordability, NYCHA signs regulatory agreements with our PACT partners that impose use restrictions guaranteeing the residential units are only used for low-income housing throughout the restricted lease period which is 99-years.*

The New York City Public Housing Authority (NYCHA) has again won the highest award as the worst landlord in New York City for the third year in a row for 12-16-2020, which is a list prepared by the office of the Ombudsman Jumaane Williams.

The distinction award was once again taken by NYCHA, because once again, according to the analysis carried out by the Ombudsman's Office, it showed that it continues to make life more complicated for its more than 400,000 residents, who suffer from a terrible administration by that agency, which translates into deplorable, and even dangerous, conditions of housing and apartment 'projects'.

NYCHA is on the worst homeowners list that is based on the number of violations that buildings and apartments have and that are filed with the City's Housing Preservation and Development (HPD).

NYCHA Response:

- *Since signing the 2019 HUD Agreement, NYCHA has been closely collaborating with the Federal Monitor to bring the Authority into compliance and address issues surrounding mold, lead, pests/waste, heat and elevators. This summer, we also introduced our innovative Blueprint for Change, which includes a Transformation Plan that will change how NYCHA operates and improve service delivery, and a Stabilization Strategy that will recapitalize the entire portfolio and preserve public housing for future generations. These ideas will bring systemic changes and improvements to our residents.*

We the NYCHA Residents have complained for years about the poor condition of buildings and apartments. NYCHA's failing programs and initiatives such as Next Generation NYCHA, NYCHA 2.0, and the NYCHA AWS Program. The AWS Program is failing to keep the buildings clean, and now NYCHA is planning to expand the AWS program to the maintenance-workers in January of 2021. We the Residents Leaders don't agree to the expansion of this program that has already failed to supply daily janitorial needs and services to the developments; This information was told to Chairman Russ numerous times by the Resident Leaders including the CCOP Members.

NYCHA Response:

- *From the start of the AWS initiative, we heard from numerous residents and employees that the program does not work as intended. NYCHA hired the Public Policy Lab—a nonprofit government innovation consultant—to evaluate and make recommendations to the Caretaker AWS program. NYCHA is evaluating alternative scenarios to address caretaker AWS as part of the Transformation Plan. However, Maintenance Workers have a very different set of responsibilities than caretakers. The extended hours for maintenance workers will enable NYCHA to provide residents with better service by providing the opportunity for repair appointments later in the days and weekends. NYCHA is focusing on establishing more flexible and responsive caretaker and maintenance staff work schedules, recognizing that conditions at each property can dramatically change after normal business hours and on weekends. An additional observation from the consultant was that both residents and staff reported AWS would be a better fit for maintenance workers. NYCHA is already working on expanding AWS to cover maintenance workers, with a scheduled start date of March 2021.*

No one really understands NYCHA and what they do! "They are not bringing in the expertise and the resources to make NYCHA better. So, they are just acting as a rubber stamp that furthers the dysfunction." No amount of new revenue and no monitor will fix our public housing unless we restructure the management ourselves. "We need to create a new governing structure that streamlines the bureaucracy, because if we don't do that, none of the billions of dollars that we may receive is going to get to the heart of the problem." Quoted by Scott Stringer' New York City Controller in 2018.

"Right now, the way NYCHA is structured, it's a cesspool of incompetence,"

NYCHA Response:

- *Creating a culture of service is fundamental to the Transformation Plan. One of the key themes of the new Operating Model is decentralizing resources so that operations staff aren't spread across the City but are instead responsible for a specific property or set of properties. Furthermore, NYCHA will decentralize certain central office functions into borough administration teams so that staff in HR, IT, and Finance, for example, will be able to provide better service to property management.*

In addition to these structural changes that NYCHA will make to create a culture of service, NYCHA has also engaged a cross-departmental group of NYCHA employees to think through strategies to empower our workforce. Goals of the group are as follows:

- *Equip Employees for Success by supporting professional development with leadership and soft skills training and by providing greater autonomy, clearer expectations, and proper resources for development staff.*
- *Promote a Sense of Security by making safety improvements at the developments, resolving funding issues, and treating all departments with the same weight and respect.*
- *Strengthen Pathways for Growth by promoting from within and starting career development programs such as mentorship, job shadowing, and cross-agency training programs.*

- *Show Employee Appreciation by restarting employee recognition programs and anniversary awards, supporting social activities and offering other incentives to improve morale.*
- *Keep Improving by formalizing staff feedback channels, improving communications from leadership, and continuing to invest in improving the work environment.*

The New York City Housing Authority currently operates with a divided board structure that doesn't benefit the Residents. The Board of NYCHA should be a total of nine people 5 to 4 total 5 being residents and 2 being appointed by the mayor and 2 being appointed by city council.

NYCHA Response:

- *NYCHA will take this recommendation under advisement. Currently, as per N.Y. Public Housing Law § 402(3), the City's Mayor appoints all seven NYCHA Board members, including the three resident Board members.*

And under the 964 regulations the CCOP must be at the table when any form of decisions are being made by the Housing Authority— from thought process to completion of any projects that would change and impact the lives of the residents.

The CCOP **Must** and **Shall** be given their total rights under the 964 regulations to be a voice for the residents. **THIS MUST BE THE RULE! NYCHA HAS TO FOLLOW THESE REGULATIONS UNDER THE CFR 964-regs**

NYCHA Response:

- *As mentioned above, NYCHA has made great efforts, as we all have, to adapt to the issues presented by COVID. The changes and requirements imposed are not perfect, but we have adhered to the 964 regulations and intend to continue adhering to the regulations. We will continue meeting and briefing residents and others in our effort to present our ideas to the community. We are mindful of the limits of virtual engagement and, as indicated below, will endeavor to provide more options so residents may share in the proposed ideas. We are not trying to push anything through. Yes, the Blueprint ideas are a significant change, but our timeline for engagement takes us well into 2021 and beyond. If – and this is very uncertain – the State Legislature acts on the proposed Preservation Trust bill, there will be more hearings and debate, and we would welcome that. That debate is needed, so that we come to a common understanding of what we are proposing to do and the dire consequences of what happens if we do not act.*
- *Further, to be clear: the creation of the Trust does not mean that resident engagement stops. If the trust is created, any future actions by the Trust that impact a property will require further engagement at the property level. Any HUD-related applications also require engagement at the property level. This level of engagement is necessary to make sure any family impacted understands what is proposed at the property and what rights and protections are granted to them by the legislation under consideration. The Trust, in collaboration with NYCHA, will engage in a variety of ways at the property level prior to any action to preserve the property and that communication is also welcomed.*
- *We also recognize that meaningful resident engagement is required now to present long term plans for NYCHA. For that reason, NYCHA has established weekly town hall meetings for residents to meet directly with me and other senior leaders to understand the ideas and to provide feedback to help craft and shape the plan. Thus far, NYCHA has hosted 9 town halls with over 1,300 attendees and will continue to do so in 2021. We have also hosted small group meetings with resident leaders, developments, and individual residents to explain the Blueprint ideas, answer questions, and gather feedback, including three sessions with all of CCOP, one with CCOP and RAB, one to two with each of the eight individual CCOP districts, which includes the CCOP member and their executive board and development presidents. These briefings with small groups of resident leaders, individual developments, and large groups will continue in 2021. In addition, NYCHA Intergovernmental Affairs hosted more than 150 briefings and meetings with residents, advocates, labor partners, thought leaders, elected officials, and other community partners, all of which will continue in 2021.*

- We are also looking to engage residents who may not be able to attend a townhall or small group meeting: the full plan is available at <https://www1.nyc.gov/site/nycha/residents/blueprint-for-change.page>, and paper copies are available from each management office. NYCHA is also looking to mail more information to residents regarding the Blueprint in the coming weeks.
- While we have engaged with thousands of residents on the Blueprint, we know there is more work to do to ensure every resident who wants to can share their input on the plan. There is still a long road ahead – these ideas will not be implemented overnight – and we will use the coming months to ensure all residents can weigh in.

New York State Regional Guidelines for Re-Opening New York released revised Guidelines on August 11, 2020 (rev. 081120) DOHMH issued General Guidance for Cleaning and Disinfection for Non-Health Care Settings for detailed guidance, additional information and recommendations for Interim Guidance for Commercial Building Management During the COVID-19 Public Health Emergency.

We the Stakeholders of Public Housing are asking why weren't we Included in this plan?

NYCHA has now ceased to do any daily disinfection of routine touch surfaces throughout All of their developments in NYC! This includes elevators, stairwells, handles, handrails, lobby door knobs, and other frequently touched surfaces in the buildings.

These regional guidelines only refer to Commercial Building Management Guidelines for Employers and Employees! There is no reference about the Residents of Public Housing.

NYCHA DEVELOPMENTS HAVE HIGH NUMBERS OF COVID-19 DEATHS AND TRANSMISSIONS OF THIS VIRUS IN RECORD NUMBERS!

NYCHA Response:

- During the COVID-19 pandemic, NYCHA staff are expected to perform their tasks while following all Covid-19 Guidance as issued from NYCHA leadership and NYCHA's Emergency Health and Safety Department, as well as New York City and New York State issued guidance. Even with these necessary safety restrictions, staff have been and are expected to perform the necessary tasks on a daily basis to maintain our developments. NYCHA has contracted a vendor to provide disinfection services. NYCHA advises residents that have concerns regarding the vendors providing disinfection service to file a complaint through NYCHA's Complaint Portal. The departments charged with compliance (Compliance, Environmental Health and Safety, and Quality Assurance) investigate all complaints and if the allegations are founded, these departments direct the vendors to take appropriate corrective actions. Staff must continue to social distance for the safety of the residents, colleagues and their families, in accordance with New York State and New York City Guidelines. Additional information is available here: <https://www1.nyc.gov/site/nycha/about/covid-19-resources.page>

Sign by the Residents' Leaders of Public Housing ” Date 12-26-2020

1. Daniel Barber - President Jackson Houses / CCOP Chairman
2. Vernona Bradham - President Roosevelt Houses / CCOP Member Brooklyn East
3. Reginald Bowman - President Seth Low Houses / CCOP Member Brooklyn West
4. Lily Marshall - President Redhookwest Houses / Vice Chair CCOP Brooklyn South
5. Lilith Lozano - President Parkside Houses / Treasurer CCOP Bronx North
6. Pamela Smith - President Mitchel Houses

- 7. Miguel Peterson - President Teller Avenue Claremont Consolidation**
- 8. Gloria Tull - President Franklin Avenue Claremont Consolidation**
- 9. Patricia Simpson - President Patterson Houses**
- 10. Norman McGill - President Highbridge Gardens**
- 11. Rosa Pinero - President E.R Moore Houses**
- 12. Dana Elden- President St. Mary's Park Houses**
- 13. Elsie Deans - President 1100 Teller Avenue Claremont Consolidation**
- 14. Princella Jamerson- President Millbrook Houses**
- 15. Gwendolyn Primus - President Webster Morris**
- 16. Ronald Topping - President Adam Houses**

ATTACHMENT N

Comments from the Public

Blueprint for Change

A. Transparency and Accountability

1. There are only minimal procedures and mechanisms that assure the NYC Public Housing Preservation Trust has transparency, accountability, and meaningful engagement with respect to residents and the concerned public. The Preservation Trust creates another entity, another layer of decision-making that presents a challenge to residents. Given already widespread distrust of a characteristically opaque NYCHA, the Preservation Trust must be as open and transparent as possible.
2. All that is required under HUD Section 18 Disposition is consultation with affected residents, with the jurisdiction-wide resident body (Citywide Council of Presidents—CCOP), with the Resident Advisory Board (RAB), and with appropriate elected officials. Consultations can simply be single meetings at which the NYC Public Housing Preservation Trust engages the audience on its plans. Following these consultations, only the formal approval of NYCHA and the mayor are required to submit a Section 18 application to HUD.
3. There are no provisions for public hearings at the development or the citywide level to obtain comment and feedback on the NYC Public Housing Preservation Trust conversion plans. Nor is there a requirement for a NYC Public Housing Preservation Trust Draft Annual Plan, a review and comment period, and a required public hearing, as required under federal law for public housing authorities. It is unclear whether the required NYC Public Housing Preservation Trust audit and annual reports (S 622) will be made public, and whether they will be subject to open review and comment. These requirements should be embedded in the NYC Public Housing Preservation Trust legislation.
4. S 603.2 of the draft bill calls for “regular meetings” of the NYC Public Housing Preservation Trust Board. Are they open meetings? Do they *allow* for public comment and testimony? The NYC Public Housing Preservation Trust Board meetings should be required to be open and allow for public input.
5. S 609.14 specifies that any change in the NYC Public Housing Preservation Trust rules and regulations may call for “a public hearing, if any”. A public hearing should be required, unless the change is an emergency measure. The legislation should require a public hearing on the NYC Public Housing Preservation Trust plans be held at each development scheduled for conversion, preferably on-site to facilitate attendance by directly affected residents.
 - ***RESPONSE** (1-5): We are committed to transparency with all aspects of the Trust. Creating a Public entity to manage this program provides a level of formal transparency, and the Trust will also prioritize meaningful engagement with residents and the public. The Trust is subject to the NY Open Meetings Law which requires that the Trust’s Board meetings will be open to the public. and required to accept public comment and testimony. Further, resident consultation is built into the disposition process under HUD regulations, and NYCHA is committed to hosting multiple meetings at any developments that would convert through Section 18, amongst other engagement strategies, to ensure there is substantial and adequate resident engagement. We appreciate the feedback regarding specific changes to the draft legislation and are in the process of working with residents, stakeholders, and legislators on these types of improvements to ensure that the Trust is transparent, open and responsive to public comment, and accountable.*

6. NYCHA needs to provide equal opportunities for tenants to learn about the Blueprint Plan and advocate for themselves and their lives.
7. How does NYCHA intend to brief and involve communities about its proposed Blueprint plan? NYCHA has continually failed to engender trust among its residents. Before NYCHA further pursues the Blueprint, it is essential that a development outreach plan and tenant input period be established.
8. NYCHA has stated that it has discussed the Blueprint and items in the Annual Plan and Significant Amendment with the RAB (45 people) and with CCOP (another 9 people). Out of 400,000 public housing residents, NYCHA has engaged less than 50 people, doing so during a pandemic. There has not been any resident engagement in the public housing campuses, and there are no minutes to even indicate that any RAB or CCOP presidents are talking to the residents about the Blueprint or other plans. NYCHA should cease moving forward with RAD, infill, and any conversations such as these until the pandemic is brought under control, as this engagement process is not fair.
9. NYCHA claims to be speaking to all residents, when in fact it is only speaking to less than 1% of its residents. NYCHA needs to inform all residents of upcoming plans. NYCHA must better engage residents. Without residents, there is no NYCHA. Every resident should have a vote or a say in the Blueprint for Change and in RAD.
10. Residents lack information regarding the Blueprint for Change, even though it was released in August. Information such as this may not be disseminated to residents at developments which lack a Resident Association. Some resident associations which have been disbanded during COVID 19 may not yet be reformed, due to the pandemic. NYCHA must ensure that developments without resident associations still receive needed information regarding future plans.
11. The Trust proposal in the Blueprint for Change represents an attempt to radically change the structure of NYCHA under cover of a national emergency. No public hearings are being held in person and no residents have the opportunity to testify in person, consult their neighbors in-person, or do any of the public-engagement activities that require close contact. Many public-housing residents will necessarily be excluded from the public debate over whether to move forward with the Trust. For this reason alone, NYCHA should not be taking any action to advance the Trust.
12. NYCHA needs to ensure that residents, elected officials, and the public at large have a thorough understanding of the Blueprint for Change. NYCHA should not bring the plan to fruition during the pandemic. Residents are handling health and other challenges and concerns at this time.
13. NYCHA should not move ahead with Blueprint for Change when very few residents know anything about it, and when even few city council members and congress members can explain or understand it. There should be a complete pause or moratorium on the Annual Plan and the Blueprint for Change in the middle of a pandemic. There should be true community engagement before either of these plans are allowed to move forward.
14. NYCHA must ensure that residents without wi-fi are informed about the Blueprint for Change.
15. What is NYCHA going to do to ensure that all residents receive a full copy of the Blueprint for Change in order to make their own choices and/or be counted in the proposed changes? Many residents do not know what the Blueprint is and how it will affect them.
16. Can residents retrieve the Blueprint for Change at the management office?
17. NYCHA should give residents more information about the Blueprint Townhalls, including if they will be streaming, how long the live stream lasts, if they will be recorded and shared, etc.

18. The residents of Jackie Robinson Houses need more information about the Blueprint for Change.

- *RESPONSE (6-18): NYCHA is committed to engaging residents across the entire portfolio as robustly as possible. We aim to do so through a variety of methods. NYCHA began hosting virtual resident town halls (where residents can video or call in) on the Blueprint for Change in August. Thus far, NYCHA has hosted 9 town halls with over 1,300 attendees and will continue to do so in 2021. We have also hosted small group meetings with resident leaders, developments, and individual residents to explain the Blueprint ideas, answer questions, and gather feedback, including three sessions with all of CCOP, one with CCOP and RAB, one to two with each of the eight individual CCOP districts, which includes the CCOP member and their executive board and development presidents. These briefings with small groups of resident leaders, individual developments, and large groups will continue in 2021. In addition, NYCHA Intergovernmental Affairs hosted more than 150 briefings and meetings with residents, advocates, labor partners, thought leaders, elected officials, and other community partners, all of which will continue in 2021.*

We are also looking to engage residents who may not be able to attend a townhall or small group meeting: the full plan is available at <https://www1.nyc.gov/site/nycha/residents/blueprint-for-change.page>, and paper copies are available from each management office.

While we have engaged with thousands of residents on the Blueprint, we know there is more work to do to ensure every resident who wants to can share their input on the plan. There is still a long road ahead – these ideas will not be implemented overnight – and we will use the coming months to ensure all residents can weigh in.

19. In the past few years, residents have been subjected to an alphabet soup of proposed interventions: RAD/PACT, Build to Preserve, NYCHA 2.0, the Blueprint, etc. The sequential and at times simultaneous release of multiple public housing proposals makes it difficult for residents to understand the variety of public interventions that may affect their housing security.

- *RESPONSE (19): We recognize the proliferation of plans and ideas that have come from NYCHA in the last decade and the need to clearly communicate what each plan means for residents. However, one piece of feedback we have consistently heard from residents is the need to renovate buildings across the entire portfolio, not just a piecemeal approach. The goal of the Blueprint is to address this concern: when combined with PACT/RAD, the Trust plan would provide a renovation and funding plan for every NYCHA development.*

B. RAD and PACT

20. NYCHA is now in a decade-long process of leasing and converting 62,000 units to private ownership and management under its PACT/RAD program, using the HUD Rental Assistance Demonstration Program (RAD). Under RAD, federal law and regulations require that rehabilitation meet “the 20-year capital need.” The NYC Public Housing Preservation Trust promises to “stabilize” the remaining 110,000 units over the next decade, but under different rehab standards. S608 of the draft bill specifies that the NYC Public Housing Preservation Trust improvements must comply with “applicable sanitary and building laws and regulations.” NYCHA should consider requiring higher rehabilitation standards for NYC Public Housing Preservation Trust conversions, standards that are comparable to those under PACT/RAD.

RESPONSE (20): NYCHA defines stabilization as addressing all necessary major repairs for compliance with the “HUD Agreement” (NYCHA’s 2019 agreement with HUD, the

City of New York and SDNY), federal regulations, and Housing Quality Standards (HQS) at our properties. It is a massive amount of rehabilitation – new kitchens and bathrooms (including appliances and fixtures), new technology for boilers and heating systems, elevators, building pipes, ventilation systems, facades, high-security front doors, and more. It also means addressing lead, mold, leaks, and pests and improving waste management – creating healthier homes for residents. In fact, if NYCHA receives the full tenant protection voucher (TPV) resources it is seeking, the Trust will be able to perform the extensive work required to address the needs of the properties. Our goal is to perform as much work as possible at each property.

21. RAD and PACT and the Public Trust increase the privatization that has been draining public housing and public servants for a long time.

- *RESPONSE (21): The Public Trust is not privatization of any sort. NYCHA will remain 100 percent public. The Trust, like NYCHA, will be a public benefit corporation created under state law. NYCHA will continue to own the land and the buildings transferred to the Trust under a long-term, 99-year ground lease. NYCHA will continue to manage these properties. While RAD/PACT sites do have private management, NYCHA will continue to manage the land and buildings for the Trust and the developments will remain public under NYCHA control. The transactional documents including the ground lease between NYCHA and the Trust provide rights, protections, and clear accountability and oversight.*

22. NYCHA should make clear how the Blueprint for Change differs from PACT/RAD conversions that have been happening for a long time.

23. NYCHA must better explain and market its upcoming plans. Expanding the RAD pipeline while marketing the Blueprint is confusing. The Draft Annual Plan announces 20 new campuses that were not included last year as proposed RAD/PACT conversions.

- *RESPONSE (22-23): With PACT/RAD, a public-private partnership rehabilitates and manages the properties. With the Trust model, the public Trust oversees the capital repairs/improvements and NYCHA remains the property manager. Under both initiatives, resident rights and protections are required to be maintained, including rent capped at 30 percent of household adjusted gross income in accordance with federal regulatory requirements. And both programs keep NYCHA as the permanent owner of the buildings and the land by using a 99-year ground lease.*

Please note that the new campuses in the draft Annual Plan are a continuation of NYCHA's previously-stated commitment to convert roughly 62,000 units through PACT/RAD, rather than an "expansion" of the pipeline. We remain committed to the 62,000 units and these campuses are not additions to that number.

C. Resident Rights

24. Are resident rights and protections under NYC Public Housing Preservation Trust conversions consistent with those afforded public housing residents? S 607 of the draft bill specifies that residents in PT-converted buildings will have "protections consistent with those afforded a public housing resident." While continued funding of resident associations under HUD 964 Tenant Participation regulations is assured, it is unclear whether the whole body of the 964 regulations will be sustained, including guidelines for forming and maintaining resident associations and the right to form Resident Management Corporations.

- *RESPONSE (24): As outlined in Section 607 of the draft Trust Legislation, the Trust must encourage resident participation consistent with the HUD 964 regulations, which provide for the right to organize resident councils, funding and resident participation in the*

properties' operations through Resident Management Corporations. The Trust must also uphold its obligations under the tenant lease, which stipulates that the Trust carry out its duties as specified in the terms in the lease, such as maintaining the apartment and building in a state of good repair.

25. It seems like the Blueprint for Change protects NYCHA, not NYCHA residents.
26. How are tenants protected in the Blueprint for Change? It seems like the Trust has hold on NYCHA's properties.
27. NYCHA claims that its future plans include tenant protections, but that is not true. NYCHA has made the same claims about RAD, but RAD agreements include a tool that allows RAD landlords to deregulate public housing. NYCHA needs to be honest about the true tenant protections offered as a part of the Blueprint for Change.
28. Repairs that are covered by the transition plan are desperately needed by residents, but private funds come with strings attached. RAD has already led to a rise in evictions in cities such as Baltimore, San Francisco, Raleigh, and Minneapolis. NYCHA needs to show how its plans will have a different result than those in the aforementioned cities.
29. Are continued rights afforded to all residents in NYC Public Housing Preservation Trust-converted developments, or only those public housing residents who were living there prior to conversion? In terms of succession rights, will the same rights under public housing exist under Section 18 Tenant Protection Vouchers?
30. Will residents in NYC Public Housing Preservation Trust-converted buildings maintain the right to participate in CCOP and the Resident Advisory Board, as well as the right to an Annual Plan with review period and a required public hearing? Will NYC Public Housing Preservation Trust residents and conventional public housing residents be co-equal participants in CCOP and the RAB? NYCHA's legislation should specify all resident rights and protections that will be carried along as NYC Public Housing Preservation Trust conversions take place.

- *RESPONSE (25-30): Resident rights will apply to all residents in Trust-converted developments. Current public housing succession rights will apply under the new program. The Trust will be contractually obligated to provide and maintain resident rights consistent with the existing public housing program. The State legislation, as well as the federal regulations and property-specific lease documents, will memorialize such rights in writing.*

There is also no "tool that allows RAD landlords to deregulate public housing." PACT/RAD does not allow for a deregulation of the properties.

Residents will maintain the right to participate in the CCOP, the RAB, and Annual Plan process.

31. The legislation should limit and specify the conditions under which the NYC Public Housing Preservation Trust can contract other entities. In those cases, the NYC Public Housing Preservation Trust should give preference to nonprofit, mission-oriented organizations.
- *RESPONSE (31): The draft Trust legislation includes specific references to a preference for M/WBE and NYCHA resident-owned businesses (e.g. 602.2.n; 602.2.o; 609.1.d; 609.4; 610.1; 610.2; 610.4). For example, in section 610(1)(a)(1), the procurement language includes requirements to consider, "... the qualifications and experience of the entity or team of entities, organization, demonstrated responsibility, ability of the entity or team of*

entities or of a member or members of the entity or team of entities to comply with applicable requirements...” The team language is intended to foster collaboration, joint ventures, etc. with MBE/WBE firms, Section 3 businesses, and non-profit partners. We are interested in encouraging partnerships with non-profit, mission-oriented organizations and are happy to discuss ideas for improvements.

32. Should the PT be subject to zoning regulations and ULURP (Urban Land Use Review Process)? The draft legislation states that NYCHA is subject to zoning regulations and ULURP (Urban Land Use Review Process regulations, *if at all*. The qualification “if at all” should be deleted. In all cases ULURP should be used as required by law.

33. S 607.2(b) of the draft legislation specifies that residents relocated as rehabilitation proceeds “may return.” Under the NYCHA PACT/RAD program all residents on the original NYCHA lease are assured the right to return without further rescreening. The stronger PACT/RAD provision should be adopted for the NYC Public Housing Preservation Trust conversions.

- *RESPONSE (32-33): We are in the process of gathering feedback to make improvements to the legislation, including the points made here. We will amend this point to make clear that residents are assured the right to return when rehabilitation has been completed.*

34. Higher income, more upwardly mobile resident households in NYC Public Housing Preservation Trust conversions may have to pay a disproportionately high rent if they are held to the federal affordability standard: out-of-pocket rents at 30 percent of household income. For the purposes of fairness and retaining upwardly mobile residents, all NYC Public Housing Preservation Trust rent charges should be required to be capped at the owner’s rent.

- *RESPONSE (34): NYCHA is not seeking to displace higher-income households. As part of a conversion, NYCHA will be engaging with these households to ensure a fair transition that ensures rents remain affordable to these households. NYCHA will also seek any HUD waivers necessary to achieve this.*

35. How will the NYC Public Housing Preservation Trust monitor and report on ongoing conditions in developments it has converted and developments in its conversion pipeline? NYCHA should require: (1) Cyclical inspections of all NYCHA developments and NYC Public Housing Preservation Trust-converted developments every 5 years to assess outstanding violations, and (2) Removal of NYCHA’s current exemption and any potential exemption of the NYC Public Housing Preservation Trust from having violations recorded in the public data bases maintained by HPD and the Department of Buildings.

- *RESPONSE (35): Each year, the Trust will be required to provide an annual report on its activities. We would welcome improvements to the language in the legislation that addresses this point. Our goal is for NYCHA and the Trust to transparently monitor and report on ongoing conditions. In addition, developments will be subject to regular Section 8 housing quality standards (HQS) inspections: biennially after the completion of construction and more regularly if there are reported violations or concerns.*

36. Will the federal monitor retain oversight for NYC Public Housing Preservation Trust-converted developments? Will the NYC Council will have the same oversight powers concerning the NYC Public Housing Preservation Trust that it has with respect to NYCHA? The bill should specify where oversight of the NYC Public Housing Preservation Trust will reside.

- *RESPONSE (36): We must meet the standards of the 2019 HUD Agreement. Because the Trust was not contemplated when the Agreement was signed, we will be discussing how to*

transition to the Trust with HUD, the City of New York, and SDNY. NYC City Council authority will not change as a result of this plan.

37. The creation of the NYC Public Housing Preservation Trust poses new challenges for NYCHA resident organizations and leaders in dealing with plans driven by a new entity. Given those challenges, and the prevailing resident distrust of NYCHA, it is critical that residents have access to independent technical assistance from qualified resource organizations. We recommend that the legislation include provisions for funding independent technical assistance to residents affected by NYC Public Housing Preservation Trust conversion plans.

- *RESPONSE (37): We are interested in working together with residents and stakeholders to ensure residents have sufficient resources to successfully engage with the proposals and plans at any given development. We are interested in further exploring the idea of providing technical assistance from qualified organizations. What are other ideas on how to accomplish this goal? We would be interested in working towards embedding these ideas in upcoming documents, such as the pending MOU with the CCOP.*

38. Tenants have no real oversight to weigh in on the Blueprint plan, other than pressuring state officials and voicing their concerns to NYCHA and publicly. The 9-person board of the Trust will include a minority of tenants - two appointed by the Mayor, and two appointed by NYCHA's CEO. This does not promise tenants any real representation. There is also no mechanism of accountability for making sure the Trust carries out its duties well and to tenants' liking. The Trust is only accountable to the Mayor, the Board of the Trust, and the NYC Dept of Investigations. There is not a way to sue, or otherwise hold the Trust accountable for doing what they said they would. What kind of representation is it to have four NYCHA residents, selected by the mayor and Chair Russ, when they will be the minority on the board or a Trust deciding their lives and their apartments?

- *RESPONSE (38): The Trust legislation, subject to debate in the State Assembly and State Senate, currently contemplates four resident board members. We believe resident participation is key to ensuring the Trust is a responsible steward of resident interests and long-term sustainability of these units. The Trust will be a public entity and —just like NYCHA—will be accountable to the public under New York State law.*

The Trust is accountable to the residents. As outlined in Section 607 of the draft Trust Legislation, the Trust mirrors HUD 964 regulations, which provide for the right to organize resident councils and encourage resident involvement in the Trust's operations. The Trust must also uphold its obligations under the tenant lease, which stipulates that the Trust carry out its duties as specified in the terms in the lease, such as maintaining the apartment and building in a state of good repair.

Furthermore, NYCHA is not going away. Because NYCHA enters into a ground lease with the Trust, the Trust must uphold its obligations to NYCHA under that agreement (in addition to its obligations outlined in the other legal documents mentioned, like the resident lease). NYCHA and the Trust also continue to be responsible to other government entities, such as the Federal government (including HUD) and the State government. Local building code requirements will continue to apply to these properties.

Per the draft legislation, the Trust must also produce an annual audit and report of its activities. The draft legislation includes a provision that requires any impact on resident rights and/or the lease to go through public comment.

Lastly, NYCHA and the Trust can continue to be sued by residents or others if it does not fulfil its obligations.

39. How will Tenant Associations be impacted if the Blueprint is approved?

- ***RESPONSE (39):** Section 607 of the proposed trust legislation gives residents the opportunity to form a resident council, which would receive the same funding as described in HUD Part 964 regulations. If there is already a NYCHA-recognized resident council at the time of transfer to the trust, the Trust must recognize it.*

D. Current Repair Needs

40. I am in support of NYCHA's Transformation Plan "A Blueprint for Change", as a young resident I see the opportunity through this plan to have our units upgraded, and the opportunity for residents to participate in the planning and revitalization of NYCHA through job opportunities.

- ***RESPONSE (40):** We absolutely agree. The goal of the Blueprint is to fully repair each unit and use the investment to provide economic opportunities for residents.*

41. The Preservation Trust discourages NYCHA from making repairs now. After the Trust is created, NYCHA must convince HUD to give them tenant protection vouchers (TPVs). To obtain these vouchers, NYCHA is pursuing Section 18 on the basis of obsolescence. This means that NYCHA has to prove that the buildings and units are in such disrepair that transferring them to Section 8 is the only option. This makes it easier to put off building repairs needed now.

42. In the Blueprint for Change, profit is being sought under guise of seeking repairs. This is evident because the measures being sought to fulfill the Blueprint for Change's plans require that buildings have dilapidated conditions. In other words, NYCHA has allowed tenants to dwell in these dilapidated conditions, and not for a lack of funding. NYCHA needs to continue making repairs to its housing stock, rather than allowing them to fall into disrepair for the sake of the Blueprint for Change.

43. NYCHA should not charge full rent or expect timely rent payment when repair tickets are not being honored due to the COVID-19 pandemic.

44. If NYCHA staff can test for lead during the pandemic, they should also be expected to make repairs in buildings and residences.

45. NYCHA must cease the practice of allowing developments and apartments to go into disrepair on purpose for the sake of the Blueprint for Change. People are dying during COVID-19 and dying before that due to lack of repairs. This is criminal.

- ***RESPONSE (41-45):** NYCHA is not allowing developments to go into disrepair. Day-to-day maintenance, repair work, and capital projects are continuing and will continue before and during the conversion process to the Trust. Federal, state, and city law require that NYCHA repair its properties now, and NYCHA is using every dollar available to do so. Per the HUD Agreement, the Federal Monitor oversees this work and ensures we meet our obligations to our residents under the law. As required by the Agreement, the Compliance, Environmental Health & Safety (EH&S) and Quality Assurance (QA) Departments all ensure that NYCHA performs this repair work in compliance with the law.*

Even though capital and other work is continuing and NYCHA is using every dollar it receives to address building conditions, the decades of decreased funding mean that NYCHA buildings will still meet the HUD obsolescence test. The Blueprint is needed to change that – to get the funding required to make necessary improvements.

E. Section 9 and Section 8

46. How will occupants in NYCHA housing developments, classified under Section 9 for rent payments, be affected/impacted by the Blueprint Proposal?
47. If tenants are currently classified under Section 9 since their tenancy in NYCHA Housing, how will they be impacted by the Blueprint Proposal if they retire and receive a pension and/or Social Security income?
48. Why might Section 9 tenants NOT be included in the decision-making process for the Blueprint Proposal? What transparency and accountability are built into Section 9 and why might they be lost?
49. The RAD/PACT program, as well as the new Blueprint for Change, are ways to eliminate Section 9, the only true form of public housing. These programs are in direct contradiction to keeping public housing public. No plan for value capture or leveraging tenant vouchers (which are project-based and non-transferable) can meet the demand to fulfill the responsibilities of our government. Funding needs to come to NYCHA straight from capital budgets on the federal state and city level.
50. The underlying structure of the Authority should not be altered for a scheme whose financing is not guaranteed to fully fulfill operational and capital needs. Additionally, the Blueprint plan has not been sufficiently presented to or vetted by the residents themselves. As the most important stakeholders in any road to change at NYCHA, resident feedback must be essential in the Authority's decision-making.

- ***RESPONSE** (46-50): Under the Blueprint for Change, all NYCHA units would convert from the Section 9 Public Housing program to the Section 8 voucher program. Rents will remain capped at 30 percent of income, but the federal subsidy NYCHA receives will change to project-based Section 8 subsidy.*

Resident rights will apply to all residents in Trust-converted developments, including many of the rights residents continue to say are most important to them. The Trust will be contractually obligated to provide and maintain resident rights consistent with the existing public housing program. For example, current public housing succession rights will apply under the new program. The state legislation, as well as federal regulations and property-specific documents, will spell out resident rights. The Trust is accountable to the residents, as outlined in section 607 of the proposed trust legislation. The Trust mirrors HUD 964 regulations, which provide for the right to organize resident councils and encourage resident involvement in Trust operations. If there is already a NYCHA-recognized resident council at the time of transfer to the Trust, the Trust must recognize it.

F. Transactions and Debt

51. If the Blueprint plan were to go into effect, how would NYCHA safeguard against the possibility of it defaulting on a private loan? In the event of default, what precautions would NYCHA proactively take to prevent the foreclosure on a development? Additionally, how would NYCHA determine which developments receive the TPV if the federal government provided only a fraction of the requested vouchers? NYCHA has based the Public Trust around the bifurcated model of the New York City Department of Education and the New York City School Construction Authority. Does this system create a more transparent and accountable system for NYCHA tenants?
52. What if there is a default on the loan? There is no mechanism, elected official, or government in place to come to the rescue if these bills are not paid by NYCHA and NYCHA defaults on the loan. If that were to happen, then NYCHA/public housing is done.

53. During the NYS Assembly Hearing, Greg Floyd stated that Alicka Samuel, Greg Russ, and himself agreed to support RAD together in 2018. This means that- for the last two years- the mayor and NYCHA have been perpetrating a fraud by putting on a pretense of resident engagement. There was never going to be meaningful resident engagement with RAD, just like there was never going to be meaningful resident engagement on the Blueprint. NYCHA needs to be honest about its timelines for planning and decision-making processes.

54. NYCHA must not create a public-private partnership, as it deserves full-funding via public tax dollars.

- *RESPONSE (51-54): Under the approach described in the Blueprint for Change, we are proposing that NYCHA or the Public Housing Preservation Trust may issue bonds or secure long-term construction debt financing for renovation and maintenance of properties. With Tenant Protection Vouchers (TPVs), NYCHA can get \$650 more in subsidy each month for each apartment. This is the portion of the subsidy that will be used to pay loans or debt, in addition to existing funding from the City, State, and Federal government. Debt obligations will be sized to ensure the ability to meet payments, which means no over-borrowing. We will also look to create replacement and operating reserves at the site level, which will mean the sites will be even more financially secure.*

This method of raising money is how other public entities, such as the MTA, City of New York, and Dormitory Authority of the State of New York, raise money. This allows public agencies to make the critical investments in public infrastructure that New Yorkers need. There have been billions of dollars raised by these institutions and there is extremely low risk.

In the extraordinarily unlikely event of a default, the properties and residents will still be protected. The trust legislation, federal Section 8 requirements, and the contractual agreements between NYCHA and the Trust will still require the properties to be operated as low-income housing subject to housing quality standards. Resident rights and protections will remain in place. The Trust can only be dissolved by the legislature. If this happened, the Trust's assets return to NYCHA. Lastly, the City and State will have the right to cure any default, which acts as a backstop in any worst-case scenarios. At every step of the process, there will be governmental opportunities to correct any issues or potential defaults.

G. Transformation Plan – Structural Changes

55. NYCHA needs to address its top-heavy culture which has existed for years as a part of its transformation plan, including the Blueprint for Change.

- *RESPONSE (55): The Transformation Plan portion of the Blueprint prioritizes adding frontline staff, especially direct service roles like Caretakers, Maintenance Workers, and Skilled Trades workers.*

56. At one time NYCHA had almost 16,000 employees, but now is down to only 12,000. The union chapter representing architects, engineers and other technical titles had almost 415 members in 1999, but now is down to 215 members. It is unlikely that NYCHA's new plans would reverse that. NYCHA must inform its workers how civil service positions and union contracts will be honored under RAD/PACT and the Blueprint for Change, without creating low-paying and non-union jobs which will underserve the residents.

- *RESPONSE (56): One of the benefits of the Blueprint is its protection of the existing NYCHA workforce. Additionally, under the RAD/PACT program, all on-site staff is being re-allocated to other sites. There are no layoffs included as part of either plan.*

57. At this time, the Capital Projects division hires dozens of consultants at great expense. In 2004, NYCHA started hiring private firms to oversee capital construction projects, and 16 years later there is no data on how effective that is, even though it cost a tremendous amount. And RAD/PACT only exacerbated the problem. As one example, despite spending 1 year and nearly \$5,000 on a project at Harlem River Houses- once it was decided that project was going to RAD- all work put on shelf and a private firm started from scratch. The School Construction Authority (SCA) is problematic as a basis for the Blueprint for Change, but it should be noted that SCA is required to keep 40% of design work in house as a stop-gap against privatization- a feature of SCA that NYCHA has not chosen to incorporate in their plan. NYCHA should incorporate this commitment to in-house work as a part of its plan.

- *RESPONSE (57): Since the construction of NYCHA's first developments, such as Williamsburg Houses, NYCHA has worked with third-party firms to build and maintain low-income housing in New York City. NYCHA currently uses both in-house staff and 3rd party vendors to manage, design, and construct projects to ensure that work is performed in a cost effective and timely manner and will continue to do so through partnership with the Trust.*

H. Alternative Investment and Ownership Structures

58. NYCHA should help and encourage the residents who want to own their apartments and allow them to do so. Residents should be able to use their monthly payment as down payment for monthly mortgage instead of paying rent, or NYCHA should help interested residents with financing a down-payment. This would be a better idea instead of privatization or selling NYCHA buildings and open spaces to developers and special interests with city tax cuts in the name of raising funds for NYC Public Housing Preservation Trust.

59. Why can't the individuals that live in NYCHA be part of this private investment as explained in Blueprint for change? Every one that works for NYCHA should have shares in the investment, like the stock market, to keep up the housing.

- *RESPONSE (58-59): NYCHA is interested in expanding economic opportunities as part of the Blueprint proposal. For example, NYCHA could work with residents to create a pathway for resident investment in the raising of capital funds for repairs.*

Again, NYCHA is not selling buildings or privatizing. The Trust is a public entity that would partner with NYCHA to make the repairs to the buildings.

I. Policy Questions

60. What has been the assurance from the Federal Government that NYCHA will receive funding in the next budget?

61. How will the new incoming Biden/Harris presidency affect the Blueprint plan?

- *RESPONSE (60-61): While we believe the Biden Administration is more likely to take an interest in preserving NYCHA units, there are no guarantees as to the level of funding the Authority will receive. Historically, Public Housing (Section 9) funding has unfortunately been cut routinely since the 1980s and especially in past years. In contrast, Congressional funding for the Section 8 program, under which tenant protection vouchers*

would be issued, has been more reliable than Section 9 funding over the past several years.

62. How does the Trust assist in Procurement?

- ***RESPONSE (62):** The draft Trust legislation provides more procurement flexibility than NYCHA currently has under Federal, State, and City rules, including the ability to use alternative project delivery methods such as Design-Build, Construction Manager At-Risk, and Construction Manager-Build. This flexibility will allow the Trust to better manage its large-scale construction program and deliver repairs more effectively for residents.*

Additional Comments

- The Annual Plan includes a summary of the proposed “Blueprint for Change” and “Public Housing Preservation Trust” (Trust) in its executive summary. This cannot be considered part of the actual Annual Plan—no detail is provided, and therefore its inclusion in the plan does not satisfy any of NYCHA’s regulatory requirements.

NYCHA includes highlights of major initiatives planned for the upcoming fiscal year (such as the Blueprint for Change and the Public Housing Preservation Trust) in the Executive Summary of the Annual Plan for informational purposes.

NYCHA’s Blueprint for Change document is available for download at this link, <https://www1.nyc.gov/assets/nycha/downloads/pdf/NYCHA-Transformation-Draft-Version-3-November-16-2020.pdf>. Please see the Blueprint for Change website for links to a video about the plan, townhall presentation, FAQs, Fact Sheet and video recording of a town hall (<https://www1.nyc.gov/site/nycha/residents/blueprint-for-change.page>).

- Most people are not going to read past the fifth page of these lengthy, 200+ page documents such as the Annual Plan and the Blueprint for Change.

NYCHA utilizes HUD’s Annual Plan template (Form HUD-50075-ST) to prepare the Annual Plan each year. The document is lengthy due to the information we are required to provide to HUD on an annual basis. NYCHA includes an Executive Summary in the Annual Plan, which provides a high-level overview of NYCHA’s major initiatives and policies in the upcoming fiscal year. The Executive Summary is also available as a separate document on NYCHA’s website, and is available in Spanish, Russian, Chinese Traditional and Chinese Simplified. Please NYCHA’s Annual Plan website for links to these documents, <https://www1.nyc.gov/site/nycha/about/annual-plan-financial-information.page>.

The English version of NYCHA’s Blueprint for Change document is available for download at this link, <https://www1.nyc.gov/assets/nycha/downloads/pdf/NYCHA-Transformation-Draft-Version-3-November-16-2020.pdf>. Please see the Blueprint for Change website for links to a video about the plan, townhall presentation, FAQs, Fact Sheet and video recording of a town hall (<https://www1.nyc.gov/site/nycha/residents/blueprint-for-change.page>).

- Why did NYCHA host a public hearing that concerns the lives of over 400,000 residents in the middle of a pandemic?

As per PIH Notice 2020-13, REV-1, HUD used its statutory authority under the CARES Act to waive the requirements for the 5-Year and Annual Plan submission dates and provided NYCHA with a deadline of January 16, 2021 for the submission of the FY21 Final Annual Plan. Public hearings are required for PHAs as part of the annual and Five-Year planning and revision processes. NYCHA was required to host a public hearing in order to submit the Plan by the revised deadline of January 16, 2021, as stated on page 24 of the COVID-19-Related Frequently Asked Questions (FAQs) for Public

Housing Agencies (PHAs), version 6, updated 9/29/20, which is available here:

<https://www.hud.gov/sites/dfiles/PIH/documents/Round6FAQsfinal.pdf>. NYCHA chose to conduct the public hearing virtually, as HUD permits, in order to comply with the current COVID-19 restrictions on large of in-person gatherings. Residents and the public had the option of watching the public hearing online through YouTube or they could register to attend the Zoom webinar. (<https://www1.nyc.gov/site/nycha/about/annual-plan-financial-information.page>).

- Residents of Gowanus and Wyckoff developments demand up-front money for public housing before the 80-block rezoning planned for January 19th. Residents demand that these developments be brought into stabilizations from court order, taking care of mold and lead, and other issues from the ground-up.

All NYCHA developments, including Gowanus and Wyckoff, are covered under the Agreement that NYCHA signed with HUD on January 31, 2019. The Agreement's overarching goal is to remedy the deficient physical conditions in NYCHA properties, to benefit residents across the city. The Agreement sets objectives to significantly improve on five high-priority areas: lead-based paint, mold, heat, elevators, and pests. That includes, for instance, addressing lead-based paint in apartments, improving the response time for heat and elevator outages, completing capital improvements, addressing mold, and reducing the rat population. The work under the Agreement is overseen by a third-party Monitor.

Annual Recertifications and Leases

- Every year, tenants in NYCHA developments are required to submit their annual income for the year. The leases that are issued after the annual reviews are only for one-year leases. Why aren't occupants given two-year leases?

The one-year lease term is based on HUD regulations at 24 CFR § 966.4(a)(2). HUD regulations also require public housing residents to recertify their income and household composition annually so that housing authorities can properly calculate their monthly rent. Resident leases are automatically renewable except for cause.

- Why haven't tenants been informed over the years that their classification under NYCHA guidelines is Section 9? What are the qualifications for Section 9?

Section 9 refers to "Section 9 of the Housing Act of 1937 and 1949", which established many Public Housing programs in the United States by providing funding for development and maintenance of public housing units. This is just a shorthand way of referring to the public housing program. It is similar to the way we refer to the tenant-based and project-based rental assistance programs as "Section 8," based on the part of the U.S. Housing Act in which the program is described.

- NYCHA must cease the eviction of family members of newly deceased loved ones during the pandemic, even if their names are not on the lease.

NYCHA is following federal, state, and local eviction moratoriums that apply during the COVID-19 pandemic.

- NYCHA does not enforce rules and regulations placed in residents' leases.

NYCHA takes action to enforce the lease by serving residents with charges and with notice of a hearing on those charges. Please contact your property management office if there are particular rules and regulations that are not being enforced, or if you wish to report instances in which residents are violating their leases. You may also submit a concern online about issues related to compliance, environment and safety and quality assurance checks on repairs through NYCHA's website, <https://www1.nyc.gov/site/nycha/index.page>.

Capital Projects

- NYCHA should collaborate with the Department of Housing and Urban Development, the State of New York, and the City of New York on aligning procurement and capital eligibility rules so that projects can be completed in their entirety and more quickly.

“Capital eligibility” is related to the City’s rules associated with the capital bonds and what types of work can be funded by the bonds. Each capital project that is City-funded is reviewed for capital eligibility – this is not a new requirement or one that affects NYCHA alone. To ensure capital projects are completed in their entirety, NYCHA is in conversation with OMB about eligible items and leverages funds accordingly. This does not affect the speed of a project.

NYCHA is working with our partners at the federal, state, and local level to advocate for the resources and regulatory relief needed to rehabilitate the public housing stock in New York City in a timely manner. Specifically, the Blueprint for Change and creation of the NYC Public Housing Preservation Trust outlines a plan for an improved procurement structure to expedite comprehensive capital projects.

- Who calculated the cost of the funds needed for NYCHA to complete needed capital repairs?

NYCHA’s stated \$40 billion capital need is based on the five-year Physical Needs Assessment (\$32 billion) plus estimates to address full lead abatement, asbestos, and Section 504 compliance. The 2017 PNA total is based on extensive field inspections by NYCHA’s third-party subject matter experts covering all five boroughs and supplemented by operational data related to the systems and equipment including work order tickets, boiler and elevator outages, operational rankings, frequency and cost of repairs. Furthermore, development superintendents and managers were involved in walkthroughs and physical inspections. The collected data were then independently evaluated through an intensive quality control/quality assurance process and costed using an expanded and updated unit cost library.

- In Breukelen Houses, where will residents stay when Capital is redoing roofs and now remodeling?

The roofing project at Breukelen Houses which consists of the restoration and roofing replacement of the development’s thirty-two buildings, is well underway. Residents have remained (and will continue to remain) in their apartments for the duration of this project – no residential units are affected by the work.

- NYCHA must work with individual developments to better understand needs and priorities. As of now, there is no exchange of ideas or conversation around what residents think should be prioritized in each development. What is needed in Brownsville or the Bronx may be different than what need in Red Hook. For example, while Red Hook has bathroom windows which help with mold and ventilation, other developments are waiting for roof fans.

Leveraging development-specific information captured through the PNA process as well as operational data at each development, CPD applies a logical building sequence when planning work to protect and sustain investments made within developments. This sequence starts with sealing the building envelope –roofs and masonry work–then turning to building systems, interior renovations and grounds. This sequence is important to leverage the limited funds we receive and ensure improvements can preserve NYCHA’s housing stock for the long term.

- NYCHA must give residents and resident associations a better understanding of what the capital budget is, and how it is being spent on a local level so that residents can project their voices out to CCOP, HUD, and then up to elected officials. That is the way the process should work, otherwise there will never be any consensus in public housing that creates the power base that residents should have.

For the last two years, the Capital Projects Department has been engaging with the Resident Advisory Board on the capital project pipeline. The five-year Capital Plan has been presented in detail, by development, in an effort to emphasize transparency. Furthermore, in line with its Connected Communities guidebook and program (available here:

<https://www1.nyc.gov/assets/nycha/downloads/pdf/Connected-Communities-Guidebook.pdf>), NYCHA and CPD are committed to a more participatory and community-based approach to inform future top-to-bottom renovations at the start of projects. In one example, this year, a new standard for entryways was launched with a virtual webinar with several tenant association presidents for resident input at the outset. A study of NYCHA Building Entrances and recommendations for modern, readily available systems which meet current and future energy code standards, as well as improve aesthetics, was discussed. The recommendations are currently being piloted at three sites and will inform future entryway design standards. The Capital Projects Department is scheduling a follow-up webinar with the tenant association presidents from the 3 developments where the pilots are installed and will coordinate site visits with elected officials. Additionally, once completed, other resident leaders will be invited to check out the installations.

- NYCHA needs to address what is happening behind the walls, including the plumbing, sub-flooring, electric upgrades, etc. As it is now, these repairs are not going to be addressed through RAD/PACT.

The PACT program addresses the 20-year capital needs at a development. PACT partners work closely with NYCHA to inspect every building in developments undergoing a PACT conversion to create a customized rehabilitation scope of work. Prior to closing, PACT partners provide detailed plans for the rehabilitation of the project, which will vary by development but may include repairs and upgrades to plumbing, subflooring, and electrical systems. Plans must address the entirety of the 20-year capital needs assessment and are approved by HUD. Plans vary by development, but typically include the repair or replacement of plumbing, subflooring, and electrical systems where necessary.

- NYCHA needs to explain how it plans to handle complex, major repairs such as removing windows, bathrooms kitchens, etc., as a part of PACT/RAD when it has been unable to complete general repairs as public housing.

NYCHA has not had sufficient funding to complete the same kinds of comprehensive repairs that are being made as part of the PACT program. PACT conversions facilitate the financing of improvements and enable funds to be raised to address needed repairs. NYCHA selects the development team that is best positioned to address the physical and operational needs of each development and enters into partnerships with these teams to ensure long-term affordability and the protection of resident rights under PACT.

- NYCHA is deliberately wasting money on scaffolding. Some public housing developments have two layers of chain-link fencing intentionally to waste money.

NYCHA is mandated to provide protection sheds for buildings found to have unsafe conditions during a Façade Safety Inspection. The design, layout, and installation of any protection sheds and chain-link fencing is strictly dictated by NYC Department of Buildings regulations. There are instances within 30 feet from the entrances where there are unsafe conditions in the lawn areas on both side of the sidewalk sheds. There, fencing may be found on both sides of the scaffolding to keep unauthorized entry into the Unsafe lawn areas.

NYCHA is working with DOB on its compliance with the Façade Safety Inspection program.

- The intercoms at Van Dyke I were replaced in 2015 but the intercoms are still not working. Vandalism is constantly happening as a result.

NYCHA is aware of the issues occurring with the intercoms at Van Dyke I and is working with the vendor to schedule the necessary repairs.

Community Engagement

- NYCHA must include more services for residents, including education and job opportunities.

NYCHA's Office of Resident Economic Empowerment & Sustainability (REES) supports residents to increase their income and assets through policies, programs and collaboration in the areas of employment and advancement, adult education and vocational training, financial capability and resident business development. REES partners with over 75 best-in-class providers to connect residents to their services. Additionally, REES operates the NYCHA Resident Training Academy, which provides residents with vocational training that leads to employment with NYCHA and its vendors, the Business Pathways series, which provides business development programming and licensing support to aspiring resident business owners and the Family Self-Sufficiency program, a rent-incentive and savings opportunity for NYCHA Section 8 tenants. REES will continue to explore new partnerships and initiatives to increase resident economic opportunities. For more information please visit www.OpportunityNYCHA.org.

- NYCHA must create services and programs to assist black mothers and their children.

NYCHA Health Initiatives works to build health through partnerships that connect residents to preventive health resources, help create healthier indoor environments and cultivate resident leadership in health. We agree that NYCHA residents should be connected to citywide and local resources designed to reduce racial inequities in maternal and child health. We look forward to working with resident leaders and CBO partners in close collaboration with the NYC Health Department, which leads the NYC Birth Equity Initiative, to activate strategies to address this nationwide problem.

- Because hearings are being held virtually and residents lack needed technology, and because many residents lack the necessary information about the plan's content, it is likely that more staff members from NYCHA and more members from other entities may be involved in these hearings than the residents themselves. NYCHA must better engage residents.

During the COVID-19 pandemic, NYCHA is engaging residents within the applicable COVID restrictions. Resident attendance has increased significantly for virtual as compared to in-person hearings held prior to COVID restrictions. Drafts of the Annual Plan and Significant Amendment were made available online and were sent to all resident leaders.

- It is written into NYCHA law that NYCHA must provide connective services to trainings which will help residents remain in their homes. As of now, this part of NYCHA law is dwindling in enforcement and NYCHA needs to do more to uphold this promise.

It is unclear which NYCHA law is being referenced by this comment. However, NYCHA's Office of Resident Economic Empowerment & Sustainability (REES) supports residents to increase their income and assets through policies, programs and collaboration in the areas of employment and advancement, adult education and vocational training, financial capability and resident business development. REES partners with over 75 best-in-class providers to connect residents to their services. Additionally, REES operates the NYCHA Resident Training Academy, which provides residents with vocational training that leads to employment with NYCHA and its vendors, the Business Pathways series, which provides business development programming and licensing support to aspiring resident business owners and the Family Self-Sufficiency program, a rent-incentive and savings opportunity for NYCHA Section 8 tenants. REES will continue to explore new partnerships and initiatives to increase resident economic opportunities. For more information please visit www.OpportunityNYCHA.org.

In addition, developments that are converted through PACT will be included in the federal Rental Assistance Demonstration (RAD) and convert to a more stable, federally funded program called Project-Based Section 8. This allows NYCHA to unlock funding to complete comprehensive repairs at developments, while also ensuring homes remain permanently affordable and residents have the same basic rights as they possess in the public housing program.

PACT and most new construction programs require employment, training and other economic opportunities generated by the conversion to be directed to public housing residents through a federal program called Section 3 and residents will have access to a variety of job opportunities through the Section 3 program.

- NYCHA should make clear how residents can get more involved, particularly to help senior citizens so that they are not going through things alone.

NYCHA residents can support seniors in their developments by volunteering in one of the following programs/initiatives:

- **Senior Champions** – The Senior Champion Program is led by the Resident Engagement Department (RED), which engages seniors in social, health, safety, and educational community projects. These projects include hosting garden clubs, helping fellow **seniors** develop their computer and other technological skills, and starting walking clubs. Senior residents can volunteer to become senior champions in their housing development by contacting RED at resident.engagement@nycha.nyc.gov.
- **Senior Companions**: The Henry Street Settlement Senior Companion Program (SCP) promotes independent living among homebound/frail and isolated elderly. Senior companion volunteers must be at least 60 years old, have a passion for working with older adults, be in good health, and be able to travel by mass transit. The senior companion volunteers assist by providing friendly companionship, light food shopping, nutrition-related services, escorting residents to medical appointments, borrowing books from libraries, reading to residents, writing letters, and accompanying residents on walks. The SCP services all five New York City boroughs.
- **Volunteer to be in Department for The Aging's Friendly Visiting/Voices Programs** –
 - Friendly Visiting Programs are located throughout the city and match homebound older adults, in need of socialization and companionship, with volunteers in their communities who visit/call at least once per week, for six months or longer.
 - Friendly Voices is a Citywide Program that matches screened and trained volunteers with older adults for phone calls or virtual web visits.
- **Resident Association** - One of the easiest and most effective ways to get involved in your community is to join your local resident association. NYCHA Resident Associations work collaboratively with stakeholders to improve the quality of life for residents and participate in self-help initiatives to enable residents to create a positive living environment for families living in public housing. They work with NYCHA management at every level and provide a voice in the operation of their developments. NYCHA residents interested in joining or organizing a Resident Association at your development can contact RED at resident.engagement@nycha.nyc.gov.
- **Resident Watch** – Currently managed by the Office of Safety and Security, the Resident Watch Program has been in place for over 40 years. Residents are provided the opportunity to volunteer their time to enhance the safety and security of their communities by patrolling their development. Resident volunteers help make their homes safer and more secure while building communities and fostering pride in their developments. NYCHA strongly encourages resident volunteers to:
 - Form lobby, roving, or youth watch groups as part of the Resident Watch Initiative

- *Work with their Housing Manager to create a safe and supportive environment for themselves, families, and neighbors*
 - *To join the Resident Watch in your development, residents can contact their Property Management Office*
 - *Refer a senior/resident in need to NYCHA's **Family Partnerships Department**; staff are available to help connect residents to critical services. Please email NYCHAFamilypartnerships@nycha.nyc.gov or call the Borough offices: Bronx: (718) 409-8699; Brooklyn: (212) 306-6720; Manhattan: (212) 306-6717; Queens: (718) 969-6240; Staten Island: (718) 816-1521 for further assistance.*
- *NYCHA must ensure that residents are adequately engaged when new plans are released. NYCHA cannot assume that—just because plans are released—they are being discussed in resident councils.*

NYCHA holds briefing sessions for Resident Leadership and for the general resident population.

- *Older residents might not have access to attend NYCHA's webinars regarding its upcoming plans, and emails and robocalls are not enough. NYCHA should devise a door-to-door campaign, such as the one conducted for census registration in order to engage older residents as well as residents who lack access to internet.*

We are working on strategic ways in accordance with COVID guidelines to continue and expand engagement with residents, including those with limited access.

- *What happened to NYCHA community centers? It is not fair that new buildings are being built with community centers and the ability to rent out community rooms and NYCHA residents do not have the same benefit due to DYCD.*

The centers are operated by Community Based Organizations (CBOs) that receive funding from DYCD and provide programs/services to NYCHA communities during their business hours (typically anywhere from 8AM – 10PM). Typical programs include:

- *Academic Supports*
- *Life Skills / Interpersonal Skill Development*
- *Healthy Living*
- *High School and College Prep*
- *Project-Based Activities*
- *Science, Technology, Engineering, and Mathematics (STEM)*
- *Creative and Performance Arts*
- *Entrepreneurship*
- *Youth Councils*

Resident Leaders can also partner with CBOs to host events or meetings in the centers.

- *NYCHA needs to explain what the Section 3 and M/WBE programs are.*

Residents are invited to attend REES Information Sessions to learn more about Section 3, business development and other economic opportunities facilitated by NYCHA and its partners. Please visit <http://opportunitynycha.org/events/> to view upcoming virtual REES Information Sessions and business development partner events.

Communications

- *NYCHA meetings are only in English, so residents who don't speak English are totally excluded.*

Notices and flyers for the Draft Annual Plan Public Hearing were translated into Spanish, Chinese Traditional, Chinese Simplified, and Russian. In addition, limited-English Proficient residents were provided with dial-in phone numbers to listen to live interpreters in the above languages. Limited-English proficient residents are able to speak during the public hearing and their comments are interpreted by the live interpreters.

Translated flyers for the Draft Annual Plan Public Hearing, as well as reference to the interpretation services available at the public hearing, may be found here:

<https://www1.nyc.gov/site/nycha/about/annual-plan-financial-information.page>

- Information needs to be easily accessible to tenants in developments.

The Department of Communications worked closely with the Draft Annual Plan Public Hearing planning committee to ensure NYCHA residents were appropriately informed about the December 8, 2020 virtual hearing. Notices were sent in rent bill inserts, printed flyers were posted at all NYCHA developments, and the public hearing publicized through our regular communication channels (such as the NYCHA website, The NYCHA Journal, NYCHA's intranet, and social media accounts). These documents were also translated into Spanish, Chinese Traditional, Chinese Simplified, and Russian.

- NYCHA should not schedule public hearings at the same time as other local political hearings.

When the Planning Committee confirmed the December 8, 2020 Draft Annual Plan Public Hearing, there were no other scheduled hearings. The Draft Annual Plan Public Hearing date was announced with the release of the Draft Annual Plan on October 16, 2020. The notice for the New York State Assembly Hearing about NYCHA's Blueprint for Change was not released until November 24, 2020 (<https://assembly.state.ny.us/write/upload/publichearing/20201124.pdf>). NYCHA was not involved in scheduling the State Assembly hearing.

COVID-19 Pandemic

- NYCHA must improve the cleanliness related to COVID-19 in its buildings by wiping down glass, cleaning/disinfecting the elevators, and cleaning the grounds of our buildings.

NYCHA has contracted with a vendor to provide disinfection services. NYCHA advises residents who have concerns regarding the vendors providing disinfection service to file a complaint through NYCHA's Complaint Portal. The departments charged with compliance (Compliance, EHS and QA) investigate complaints and if the allegations are founded, these departments direct the vendors to take appropriate corrective actions.

- Due to COVID 19, some resident leaders have not had access to get mail from the management office.

Any tenant association president who is having difficulty accessing their mail should call their development manager to plan for pick up.

Department of Equal Opportunity

- NYCHA must stop favoring and discriminating based on gender.

NYCHA is an equal opportunity employer and provider of fair housing. NYCHA encourages employees, residents, Section 8 voucher holders and applicants for employment and housing to immediately report any allegation of discrimination, or retaliation to the NYCHA Department of Equal Opportunity. Any person who wishes to report or file a complaint of discrimination must do so within one year of the allegation of discrimination by contacting the NYCHA Department of Equal Opportunity's Office of Employment & Fair Housing Investigations located at 90 Church Street,

6th Floor, New York from 8:30 AM to 5:00 PM, Monday through Friday at (212) 306-4468, by Fax: (212) 306-4439, by TTY: (212) 306-4845 or by email at deo@nycha.nyc.gov.

NYCHA's Fair Housing and Non-Discrimination EEO policies and brochures may be viewed and downloaded in English, Spanish, Chinese, and Russian on NYCHA Policies and Procedures page. <https://www1.nyc.gov/site/nycha/about/policies-procedures.page>

Finance

- Why has the supportive funding for Section 9 gone down since the Presidency of the late President Ronald Reagan? Why have Section 9 tenants been excluded from taxpayer money given by Congress to private landlords via Section 8?

While NYCHA regularly communicates with legislators and staff from Federal agencies, we do not control appropriations set by Congress.

- NYCHA needs to advocate for alternate funding streams for city, state, and HUD, such as decreased private contracts, increased taxes on the rich, and decreased subsidies for luxury developments. Infill, RAD, and the public housing trust are opposing public housing. The money is there, NYCHA needs to keep public housing public.

For decades, NYCHA has advocated for increased federal funding for Public Housing Capital and Public Housing Operating funds to support the existing Section 9 subsidy framework. NYCHA has worked closely with national trade groups, the New York Congressional delegation, and other partners to elevate the urgency of these requests. As Public Housing Authorities all over the country faced nationwide funding losses, the only option presented by the federal government to make the comprehensive repairs necessary was the Rental Assistance Demonstration (RAD). During the Obama administration, PHAs began using RAD to reposition their portfolios, while NYCHA continued to tirelessly advocate for Section 9 funding to improve our properties.

Just recently, in April, NYCHA led a national effort to advocate for Public Housing Operating and Capital funds in a COVID stimulus package. We gained support from the Council of Large Public Housing Authorities (CLPHA), the National Association of Housing and Redevelopment Officials (NAHRO) and the Public Housing Authorities Directors Association (PHADA) and built a coalition of 777 Public Housing Authorities across the country towards this unified ask. Please see joint letter here: https://www.nahro.org/wp-content/uploads/2020/04/Public_Housing_Authority_COVID-19_Request_Letter_Signed.pdf

Since 2014, NYCHA has received more actual and committed funding than ever before from the City (\$6.4 billion) and State (\$550 million) for capital and operating costs. Unfortunately, although greatly appreciated, local funding is still not enough.

Over the last few years, it has become clear that NYCHA residents cannot afford to wait for funding that has not been delivered for a generation and may never come at all. While NYCHA continues to fight for increases to Public Housing Capital and Operating funds, we must also advance plans to make the critical repairs residents need as buildings continue to deteriorate and inch closer to the point of no return.

Lastly, the Trust model is designed to keep public housing public. There is no private entity – the Trust is a public entity that would partner with NYCHA to get additional federal funding and renovate the properties. The Trust would contract with NYCHA for management and maintenance, keeping the public workforce in place.

Human Resources

- NYCHA should hire people off the civil service exams, rather than hiring managers. NYCHA should also train NYCHA residents in various skills and trades so that they can make repairs and stay in their apartments. Money should not be put in pocketbooks, but into the developments.

As of December 2020, NYCHA employs approximately 12,563 employees. Of these employees, 2,634 employees are NYCHA residents, 5,227 employees are in a civil service title and 575 are in a managerial title. NYCHA's Office of Resident Economic Empowerment & Sustainability operates the NYCHA Resident Training Academy (NRTA), which for 10 years has provided vocational training for NYCHA residents that leads to employment with NYCHA or NYCHA vendors. As of December 2020, over 2,800 residents have graduated the NRTA with 90% obtaining employment. Training tracks have included janitorial, pest control, and maintenance among others. REES works closely with NYCHA's Human Resources and hiring departments to plan for viable training and employment opportunities. For more information, please visit: <http://opportunitynycha.org/workforce-development/nycha-resident-training-academy/>.

Operations

- For NYCHA's Mold Busters program to truly be transformative, NYCHA must audit each development's closed cases to determine if appropriate action was taken when a tenant reported mold or water damage.

According to NYCHA's Mold Standard Procedure, NYCHA must perform a quality assurance inspection on each mold work order for which repairs are completed. This quality assurance inspection serves as an audit on each closed mold work order to ensure that the Mold Busters program is truly transformative. This quality assurance inspection must be performed by a NYCHA superintendent who did not conduct the initial mold inspection or repair work.

- NYCHA staff should be rewarded and compensated for doing a good job, and reprimanded and moved when deceptive, lazy, etc. NYCHA must stop rewarding low-performing, lazy staff.

NYCHA supervisors closely monitor their staff members' work performance to ensure and encourage satisfactory performance. Unsatisfactory performance may be addressed with training or coaching or, when necessary, with progressive discipline, including instructional conferencing, counseling memoranda or formal disciplinary action.

- NYCHA must make more of an effort to have property management staff work together with its residents.

Property Management staff works with residents closely to ensure rules and regulations are followed.

- Residents understand that COVID-19 is a challenge, but NYCHA must maintain its developments, despite the pandemic.

During the COVID-19 pandemic, NYCHA staff are expected to perform their tasks while following all Covid-19 Guidance as issued from NYCHA leadership and NYCHA's Emergency Health and Safety Department, as well as city, state, and federal guidance. Even with these necessary safety restrictions, staff have been and are expected to perform the necessary tasks on a daily basis to maintain our developments.

- NYCHA management needs to provide fair treatment of residents. As it is, NYCHA management lets residents they like get away with things and refuses to help residents they dislike.

Property Management Teams are aware of NYCHA's commitment to provide customer service and have access to and are expected to comply with all rules and regulations set forth under the NYCHA Guidelines. All residents are to be treated equally in accordance with those rules and regulations.

NYCHA is an equal opportunity employer and provider of fair housing. Residents, Section 8 voucher holders and applicants for housing who believe they are being denied access to NYCHA services based on discriminatory reasons are encouraged to immediately report any allegation of discrimination, or retaliation to the NYCHA Department of Equal Opportunity. Any person who wishes to report or file a complaint of housing discrimination must do so within one year of the allegation of discrimination by contacting the NYCHA Department of Equal Opportunity's Office of Employment & Fair Housing Investigations located at 90 Church Street, 6th Floor, New York from 8:30 AM to 5:00 PM, Monday through Friday at (212) 306-4468, by Fax: (212) 306-4439, by TTY: (212) 306-4845 or by email at deo@nycha.nyc.gov

- During the pandemic, residents are seeing less housing maintenance workers on grounds. The garbage in front of buildings/on the grounds is getting worse.

Staff are working in accordance with current guidance for Covid-19. Due to COVID-19, NYCHA has experienced staffing shortages, resulting in sporadic daily staffing levels and the reprioritization of critical daily tasks, as needed.

NYCHA has quickly responded to Caretaker staffing shortages by hiring approximately 1,800 per diem and seasonal staff in 2020—many of which reside in NYCHA developments—to assist in completing all janitorial and grounds keeping duties throughout the developments.

Due to the COVID-19 pandemic, many residents are working at home and attending school remotely. This has resulted in an increase in the amount of refuse, recycling, and bulky items generated. NYCHA Operations and Waste Management staff have closely monitored and responded to this increased need at the development level by increasing the number of loads of bulky items removed from developments by over 50%—from 800 loads per month in early 2020 to the current level of 1,250 loads for all developments each month. This positive quality of life impact at developments is substantial for both residents and staff, as each additional bulk load removed from a development averages approximately 2.2 tons. This change could lead to additional bulk removal of 990 tons per month, or 11,880 tons per year from NYCHA developments.

Resident garbage thrown out of unit windows continues to create unsafe areas for NYCHA residents and staff alike. Food items discarded in this way foster rodent issues, while the increased litter requires additional Caretaker time and attention to remedy. Residents are encouraged to discard of household garbage properly, and to utilize the hopper chutes for garbage disposal.

- NYCHA needs to stop some social distancing and have staff come out to make repairs.

In March 2020, NYCHA instituted a work order guidance limiting staff from conducting certain lower-priority in-unit repairs during the pandemic. Following the advice of OSHA, HUD and federal, local and state public health professionals, this guidance was put in place to protect the health and safety of NYCHA's residents and employees. NYCHA has gradually begun to add tasks back into the work order guidance over time, including some non-emergency work and other repairs which were not performed earlier this year. This expanded guidance allows more work to be done in apartments and will help reduce the backlog of work orders.

- NYCHA should explain what protects tenants against property managers who are not doing their job. Is there oversight or quality control for property managers?

Yes, there is oversight and quality control for property managers, and any resident with concerns can contact their respective Borough Offices to submit their complaints or to provide feedback.

- In apartment inspections, NYCHA should also focus on confirming that the lease holder is actually in the apartment.

NYCHA has instituted a new procedure for apartment inspections training beginning the week of December 21, 2020. Apartment inspections are currently on hold due to COVID-19 protocols.

- Since COVID, there has not been any extermination of rats, mice and roaches at Jackie Robinson Houses. When will these issues be addressed?

In March 2020, NYCHA halted in-apartment treatment of mice and roaches in order to comply with work order guidance following the advice of OSHA, HUD and federal, local and state public health professionals. However, rat treatments never stopped. In October 2020, when COVID-19 infection rates dropped, NYCHA began treating for all pests again. As of December 2020, NYCHA is addressing pest-related work called in by residents earlier in the pandemic, while also addressing new calls.

Pet Policy

- What is NYCHA doing about pit bulls in developments?

Per NYCHA's pet policy, tenants are prohibited from having Pit Bulls, Doberman Pinschers and Rottweilers in NYCHA developments (including full or mixed breed). Tenants who violate this policy risk tenancy termination. There is an exception if a resident provides documentation supporting a reasonable accommodation for one of these breeds as an assistance animal.

Recovery and Resiliency

- Why was Campos Plaza II awarded FEMA funding that was then used to place generators on the roof, which are causing issues for top floor tenants?

NYCHA invested over \$25M of disaster recovery funding at Campos Plaza II to repair damage from Superstorm Sandy and install the FEMA-approved scope of resilience elements to protect the structure and infrastructure from future impacts from flooding and power outages.

As part of this work, NYCHA did install a completely new roof, to prevent water intrusion and in support of the emergency generator scope. In accordance with standard procedures, the new installation was tested to determine that it would perform, including a flood test and an infrared scan to determine if any water was trapped under the new material. The installation was confirmed to be watertight through these and other inspections. Residents should continue to inform NYCHA of any issues requiring attention by calling the CCC.

Real Estate Development (PACT/RAD)

- Will tenants be able to transfer from state to state if they are converted to Section 8 through the PACT program?

Through the PACT program, residents transition to project-based Section 8 vouchers. One year after conversion, income-eligible residents can request a "Choice Mobility" tenant-based voucher. If NYCHA has available funding, it will issue a voucher that can be used in the private housing market anywhere in the United States where a public housing authority operates a voucher program.

- The PACT program relies on private investment and calls for moving residents out of Section 9 legislation and into Section 8 legislation, permanently with no opportunity to ever return. This opens

the resident's housing units to private investors and ties tenants' futures and right to housing to their profit interests and market fluctuations.

Through PACT, developments are included in the federal Rental Assistance Demonstration (RAD) and convert to a more stable, federally funded program called Project-Based Section 8. This allows NYCHA to unlock funding to complete comprehensive repairs, while also ensuring homes remain affordable and residents have similar basic rights as they possess in the public housing program. Affordability requirements are mandated by HUD and are included in legal agreements with developers. Resident rights are included in agreements with developers as well. We have made many of these legal documents available on our website: on.nyc.gov/nycha-pact.

- What are the requirements for eligibility for the Section 8 vouchers, and what happens to a tenant who is not eligible for a voucher?

Through PACT, all authorized existing public housing residents living in a converting development have the right to remain without any additional screening and will convert to project-based Section 8 vouchers.

- What if a tenant refuses to accept the Section 8 voucher when their development is selected to undergo a PACT conversion?

Residents are required to sign the PACT lease. Failure to do so can result in proceedings in Housing Court against a resident.

- Any disposition of property must be done with the express agreement of residents at a development. Rental Assistance Demonstration (RAD), or PACT, is severely flawed even though NYCHA continues to employ it. Tenant leaders must be viewed as equal partners at every step of the process – ultimately, the tenants should have a binding vote.

Resident engagement is a critical component of PACT. NYCHA works in consultation with elected Resident Association leadership at converting developments to provide numerous engagement opportunities prior to disposition.

- Tenants should have a binding vote for transfers of air rights. NYCHA tenants at Campos Plaza II have clearly demanded the sale of air rights go towards the development of off-site affordable housing units. Resident leaders have not been contacted about any next steps, valuations, or plans for off-site affordable housing using such air rights. Lack of communication and unilateral decision-making is unacceptable, and transfers should be removed from NYCHA's financial plan until residents have worked with the Authority on a satisfactory outcome.

Thank you for raising this concern. NYCHA is still in the process of communicating with the various parties involved in this potential transaction. We plan to re-engage with the tenant association and residents at Campos Plaza II as soon as we have more information.

- NYCHA's practice of beginning resident consultation only after NYCHA has determined where the development or disposition will occur does not allow for resident control and should be eliminated.

We agree about the importance of reaching residents early in the process and have made some process improvements to that end. NYCHA recently revised its approach to site selection and consulted the RAB and CCOP about the criteria being used to select sites for the PACT program. We are also hosting PACT informational sessions that are now available to all residents and currently expanding our outreach about those resources.

- NYCHA’s choice to repeatedly proclaim that the Trust or RAD are not processes of privatization is a form of gaslighting. The transfer of management and/or ownership to private entities is a form of taking public housing out of the realm of public provision of public good and services.

PACT relies on partnerships with private and non-profit organizations; in fact, NYCHA relies on partnerships with third-parties to manage and repair its public housing stock, as well. Developments included in the PACT program remain under public control. NYCHA continues to own the land and buildings and administer the Section 8 program. Where needed, NYCHA can step in to resolve any issues that may arise between residents and the new property management team. NYCHA also retains the right under its Lease and other transactional documents to require the removal and replacement of a non-performing property manager, in the event of any breach or failure to comply with the HUD Program Requirements, the Management Agreement, the Ground Lease, or the NYCHA Control Agreement setting forth various programmatic requirements.

The Trust, when created, will be a public entity. Transfers to the trust will be from one public entity to another. NYCHA will continue to manage the developments transferred to the Trust.

- The Draft Plan clearly states that HUD is “considering” NYCHA’s applications for Section 8 conversion for 8 specific campuses, yet earlier this year, NYCHA had already announced that these campuses would be converted and named the developers it would be working with. This undermines the spirit of HUD oversight. This lack of alignment with the federal law, and the seeking of permission for something that NYCHA proclaims is a done deal, makes the prospect of putting faith into the NYCHA community engagement process untenable.

PACT projects typically take 12 to 18 months from the date of announcement to final conversion because there are multiple steps that HUD requires before it will approve and issue a formal conversion commitment. NYCHA is required to engage with residents and document the proposal in its Annual Plan while it works with PACT partners to secure financing and prepare its plans for rehabilitation. Under RAD, meetings with residents are required prior to the application and at several other points in the process.

- NYCHA’s air rights strategy has been floated by NYCHA for numerous years. With a limited number of air rights at each development, this proposal fails to create a dedicated revenue stream for future repairs while selling off one of NYCHA’s greatest assets. Additionally, the sale of air rights could negatively impact the surrounding community as well as NYCHA tenants unless the City creates parameters for the transaction. For example, as a condition for receiving air rights from NYCHA, developers should be required to provide a community benefit and affordable housing, while adhering to current zoning regulations. NYCHA must also ensure that the income raised from the sale benefits the development where the funding originated. NYCHA must issue a comprehensive list of each development’s total air rights, total income each sale would generate, and a list of needed repairs at each site.

The proceeds from any transfer of air rights under NYCHA 2.0 will be used to deliver renovations at the generating development. Our resident engagement process involves early and continued briefings of TA leadership and area elected officials; ongoing discussions with residents on how best to use the proceeds generated from a sale; and dialogues with prospective purchasers on how the design and construction of their proposed projects will address the quality of life and safety concerns of NYCHA residents.

- It is unfair for NYCHA to go forward with any RAD or infill plans during a pandemic, especially when residents don’t have the devices, Wi-Fi, or hotspots needed in order to engage.

Thank you for sharing this concern. The health and safety of our residents is of the utmost importance. During the pandemic, we have continued to engage with residents in accordance with COVID-19

guidelines to maintain the health and safety of residents and NYCHA staff. We have utilized a range of strategies to engage with residents during the pandemic, including virtual meetings, conference calls, phone banking, flyering, digital and paper surveys, and recorded videos, among others.

In general, we seen high rates of participation in our virtual meetings. In advance of meeting, we distribute hard copies of presentation materials to households, and residents who do not have internet access or a device can still participate by calling in on their phones and following along in their preferred language with hard copy materials. We also call households directly in advance of virtual meetings in order to share meeting information and answer questions one-on-one. While we are using all of the tools at our disposal, we welcome any feedback you may have on how to improve our engagement approach.

- The residents of Wykoff Gardens say no to infill and RAD.

Thank you for this feedback. We will take this comment under advisement.

- NYCHA needs to explain how certain individuals and developers will not use infill or RAD to line their pockets.

To ensure developments are used for their intended purpose, there is always public oversight built into our projects. For PACT properties, NYCHA administers the Section 8 subsidy and oversees the calculation of the family's share and the total contract rents per HUD's requirements. For our affordable housing infill projects, there is public oversight of marketing and lease up to ensure rents do not exceed those specified in the regulatory agreement. Both types of projects will have use restrictions recorded against the land that will limit the use of the project to certain affordability limits. In addition, in the transactional documents, such as the ground lease and regulatory agreement(s) for example, the property will have to be operated for affordable purposes, usually for at least the term of the 99-year after which the project goes back to NYCHA.

- NYCHA must not sell publicly owned NYCHA buildings and turn them into a public/private partnership.

Through PACT, NYCHA continues to own the land and buildings but leases the property to partners who make repairs and manage the property.

- NYCHA must not participate in infill and RAD, particularly until there is a study that shows that tenants' rights are protected.

Thank you for this feedback. Please note that PACT residents' rights are protected under the agreements between NYCHA and PACT developers.

- When a PACT conversion occurs, how will NYCHA handle residents who don't want to stay in their apartments during renovations? How will NYCHA assist those that are older, with vulnerabilities and disabilities?

While most PACT repairs have been completed with residents-in-place, the PACT partners work with each household to understand their needs and to ensure adequate accommodations are provided if they are required to leave their apartments until repairs are completed.

- Where will residents be placed as repairs are being made to their apartments? What is the guarantee that these residents will be placed back in their apartments, upon completion of repairs?

Most PACT repairs can be completed with residents in place. In some cases, depending on the severity of repairs needed or due to health concerns, residents will be temporarily relocated. They will have a right to return to their home as soon as construction is completed; this is a HUD requirement.

- For developments undergoing a PACT conversion, do tenants need to leave their apartments even if they do not want renovations? If vacating the apartment is mandatory, how long will tenants be displaced?

Residents can discuss any concerns about renovations with NYCHA and the PACT partner; however, if a renovation is required to meet Housing Quality Standards or to ensure the proper function of a building-wide system, then the resident cannot refuse such repair. See above response about how repairs are completed. RAD requires certain protections if you must be relocated to complete repairs, including that any temporary housing is decent, safe and sanitary and that you would be reimbursed for all reasonable out of pocket expenses. Your moving expense would be covered. You would have the right to return to your development.

- NYCHA developments can be very unsafe, with lots of people living in the stairwell, and lots of activity in the lobby. When a PACT conversion occurs, how will that be handled?

Part of the requirements of our PACT partners is to create a robust security plan, in consultation with residents, that prioritizes the health and safety of PACT residents.

- NYCHA must make clear that for residents in a PACT/RAD building, there is a 1-year probation for paying rent on time, in order to be considered for a tenant-based voucher.

There is no probation for PACT households that are requesting a tenant-based voucher. One year after conversion, income-eligible residents can request a "Choice Mobility" tenant-based voucher, which NYCHA will issue if available.

- NYCHA must make clear that, for buildings that have converted to PACT/RAD, residents must now recertify twice for both New York Housing and for PACT.

Residents in PACT developments are assisted under the Section 8 program. All Section 8 participants must submit annual recertifications. A household may request an interim recertification because of a change in family composition, income, assets, or expenses.

- When repairs are being completed in PACT/RAD buildings, residents are moved out and will be brought back to their apartment upon completion. Why are residents being displaced?

Although we anticipate that most work can be completed while residents remain in place, there may be situations in which residents have to relocate temporarily for their health and safety while the work is in progress. Residents can discuss any concerns about renovations with NYCHA and the PACT partner.

- How would RAD impact individuals in homeless shelters? NYCHA needs to improve the selection process, as there are many individuals on the waiting list, especially in shelters.

All Public Housing applicants, including the homeless, can place their names on the site-based Section 8 waiting lists created for PACT developments. If there is a vacancy at a PACT property, NYCHA will fill the vacancy from its site-based Section 8 waiting list for the development. As part of the Highbridge-Franklin project, there is a preference for in the leasing of the vacant units to eligible Homeless Tenants receiving Section 8.

- NYCHA needs to create home ownership programs and opportunities for individuals so that they can move out of NYCHA apartments, instead of remaining in their apartments for generations because there is no opportunity to live anywhere else.

NYCHA has provided hundreds of opportunities for homeownership to low- and moderate-income families through its FHA Homes program and some of its infill development projects. NYCHA's Office of Resident Economic Empowerment and Sustainability (REES) also coordinates access to home-buying education and opportunities for NYCHA public housing and Section 8 residents in collaboration with HUD-certified homebuyer education partners.

- NYCHA should create a way or program for residents to learn how to preserve their apartment. That way, there would be fewer issues with the apartments.

NYCHA will take this idea into consideration.

- Will there be any rent increases, or is Chelsea / Elliot scheduled to undergo a PACT conversion?

Under PACT, rents will be set at 30% of a household's adjusted gross income. Residents who currently pay less than 30% of income will experience a rent increase, phased in over 5 years.

- NYCHA needs to clarify why a household's rent may increase when they undergo a PACT conversion.

Under PACT, rents will be set at 30% of a household's adjusted gross income. Residents who currently pay less than 30% of income will experience a rent increase, phased in over 5 years. In public housing, a resident pays 30% of adjusted gross income or the flat rent, whichever is lower. There is no flat rent under PACT, so some residents currently paying flat rent in public housing will experience a phased-in rent increase when they pay 30% of adjusted gross income under PACT.

- NYCHA needs to explain if rent will still be income-based after renovations are received at developments that undergo PACT conversions.

Yes. Under PACT, rents will be set at 30% of a household's adjusted gross income.

ATTACHMENT O

**PIH NOTICE 2016-17-RENTAL ASSISTANCE DEMONSTRATION (RAD)
NOTICE REGARDING FAIR HOUSING AND CIVIL RIGHTS
REQUIREMENTS AND RELOCATION REQUIREMENTS APPLICABLE TO
RAD FIRST COMPONENT – PUBLIC HOUSING CONVERSION**



U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
Office of Public and Indian Housing
Office of Housing

Special Attention of: Public Housing Agencies Public Housing Hub Office Directors Public Housing Program Center Directors Multifamily HUB Directors Multifamily Program Center Directors Regional and Field Office Directors Regional Administrators Performance Based Contract Administrators RAD Transaction Managers Regional Relocation Specialists	Notice H 2016-17 PIH 2016-17 (HA) Issued: November 10, 2016 Effective: November 10, 2016 Expires: This Notice remains in effect until amended, superseded, or rescinded Supplements: PIH Notice 2012-32 (HA) REV-2 Supersedes: H 2014-09/PIH 2014-17
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SUBJECT: Rental Assistance Demonstration (RAD) Notice Regarding Fair Housing and Civil Rights Requirements and Relocation Requirements Applicable to RAD First Component – Public Housing Conversions.¹

SECTION 1. Purpose, Applicability and Major Provisions of this Notice

1.1. Purpose

This notice (Notice) provides PHAs,² Project Owners, and their RAD development partners with guidance regarding key fair housing and civil rights statutory and regulatory requirements, explains the situations in which HUD is requiring front-end fair housing and civil rights reviews, and provides information regarding the types of information that must be submitted to facilitate HUD’s review of certain fair housing and civil rights requirements in connection with public housing conversions under the First Component of RAD. This Notice also includes guidance

¹ While this Notice addresses fair housing and civil rights requirements and relocation requirements, the fair housing and civil rights requirements are not limited to relocation issues.

² Consistent with PIH Notice 2012-32 (HA) REV-2 (PIH 2012-32 (HA) REV-2) (the “RAD Notice”), this Notice uses the term “PHA” to refer to the owner of the project prior to the RAD conversion and “Project Owner” to refer to the owner of the project after the RAD conversion.

regarding key relocation statutory and regulatory requirements, and details relocation requirements under RAD. This Notice only applies to projects converting under the First Component of RAD; it does not apply to the Second Component of RAD.³

The RAD program was established as a tool for preserving and improving low-income housing stock. RAD is intended to facilitate reinvestment in or redevelopment of the long-term-affordable stock of HUD-assisted housing properties. RAD also provides mobility benefits for assisted residents of converted properties through the choice mobility option, allowing these households to access tenant-based Housing Choice Vouchers. In some cases, RAD can be a tool for transfer of rental assistance from distressed or poorly selected sites to new sites in high opportunity areas. In all cases, the objective is to better serve low-income residents and the broader community in complying with fair housing, other civil rights, and relocation laws.

This Notice provides PHAs and Project Owners with guidance relating to planning and implementing public housing (First Component) RAD conversions in a manner consistent with existing fair housing and other civil rights requirements, including, but not limited to, those associated with the Fair Housing Act, Title VI of the Civil Rights Act of 1964, Executive Order 11063, Section 504 of the Rehabilitation Act of 1973, Titles II and III of the Americans with Disabilities Act, the Architectural Barriers Act of 1968, and their implementing regulations. Section 4 of this Notice summarizes key provisions of existing law applicable to RAD transactions.

To further compliance with these existing requirements, PIH 2012-32 (HA) REV-2, issued June 15, 2015 (the “RAD Notice”) established that specific PHA decisions and activities planned to be part of a First Component RAD conversion must be reviewed by HUD prior to implementation (the “front-end” fair housing and civil rights reviews). Through a front-end review of the enumerated PHA decisions, HUD seeks to assist PHAs and Project Owners in meeting their fair housing, other civil rights, and relocation obligations. Section 5 of this Notice explains the situations in which HUD is requiring front-end fair housing, other civil rights, and relocation reviews, details the procedures for HUD’s front-end review and the type of information that must be submitted for these reviews, and the timeframes for these reviews.

Finally, in Sections 6 and 7 this Notice provides PHAs and Project Owners with guidance regarding RAD program and other statutory and regulatory relocation assistance requirements when planning for or implementing resident moves as a result of a conversion of a public housing project under RAD. This guidance includes reiterated and new requirements, the corresponding required reviews, and explanation of the interaction between RAD relocation procedures and certain existing public housing requirements. PHAs and Project Owners implementing RAD transactions may be subject to (a) the requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, (URA),

³ Important fair housing, other civil rights, and relocation considerations apply also to the Second Component of RAD as provided in the RAD Notice. Participants in the Second Component of RAD must continue to comply with applicable fair housing, civil rights, and relocation statutes and regulations, and HUD may, at any time, initiate compliance or enforcement actions in connection with such requirements. The RAD Notice will continue as the primary source of information on fair housing and other civil rights requirements covering the Second Component of RAD without any change until further notice.

(b) the requirements of Section 104(d) of the Housing and Community Development Act of 1974 (Section 104(d)) if CDBG or HOME funds are included as part of the project, (c) fair housing and other civil rights considerations implicated by relocation activities, and (d) requirements for relocating residents under the RAD Notice.

1.2. PHA and Project Owner Responsibilities

This Notice explains RAD's front-end fair housing and other civil rights review requirements in greater detail than was provided in the RAD Notice and this Notice restates and revises RAD's relocation requirements. However, the fair housing, other civil rights, and relocation requirements that apply to RAD conversions are neither limited to those discussed in this Notice, nor to those specifically reviewed by HUD in the front-end review.

MEETING HUD'S PROCESS AND REVIEW REQUIREMENTS NEVER CONSTITUTES COMPLIANCE WITH SUCH LAWS. THE OBLIGATION TO COMPLY WITH APPLICABLE FAIR HOUSING, OTHER CIVIL RIGHTS, AND RELOCATION LAWS REMAINS WITH THE PHA AND PROJECT OWNER.

The fair housing and civil rights requirements that apply to RAD conversions are not limited to those discussed in this Notice. PHAs and Project Owners are responsible at all times for ensuring that their RAD activities (including those activities implemented by their agents, consultants, contractors, or other RAD team members) comply with all applicable fair housing and civil rights requirements. PHAs and Project Owners shall be accountable for all fair housing and civil rights compliance issues with respect to their RAD activities, whether those activities are undertaken directly or through agents, consultants, contractors, or other RAD team members. While HUD provides this non-exhaustive guidance to assist PHAs and Project Owners during transactions, complying with the requirements set forth in this Notice does not necessarily mean that they, or their agents or consultants, are in compliance with fair housing and civil rights requirements.⁴

This Notice is not intended to, and shall not be construed to, reduce or in any way limit the application of fair housing, other civil rights, and relocation laws and regulations to RAD transactions. For example, HUD's reliance on a PHA's certification that a site meets the site and neighborhood standards required by the RAD Notice is not a determination of compliance with the duty to affirmatively further fair housing or other fair housing and civil rights requirements. As another example, HUD's approval of a site for new construction does not, by itself, constitute a determination of the PHA's compliance with all provisions of Title VI and its duty to affirmatively further fair housing found in the Fair Housing Act and other fair housing and civil rights requirements, nor indicate HUD's approval of the PHA's or locality's overall housing strategy. HUD's approval of a RAD conversion after front-end review reflects only that the project may proceed through the RAD conversion process; it does not constitute a determination

⁴ The PHA's or Project Owner's agents, consultants, contractors, and other RAD team members may also have fair housing and other civil rights obligations (whether under this Notice or otherwise) and the forgoing does not, in any way, limit the independent obligation of any such parties to ensure their own compliance with applicable fair housing and other civil rights laws.

that the project is in compliance with applicable fair housing, civil rights, and relocation requirements.

HUD's approval of a front-end review submission is based on limited information and is intended to assist the PHA or Project Owner in meeting their fair housing, civil rights, and relocation obligations.⁵ The PHA is responsible for ensuring that its RAD conversion is consistent with its certification to affirmatively further fair housing and complies with applicable civil rights laws.⁶ The front-end reviews described in this Notice shall not be construed to limit other fair housing and civil rights investigations that HUD may conduct. HUD retains all compliance and enforcement authority.

HUD's determination that the PHA or Project Owner has failed to meet submission, certification, or approval requirements with respect to fair housing, other civil rights, or relocation requirements is grounds for terminating a Commitment to enter into a Housing Assistance Payments Contract (CHAP), denying the issuance of a RAD Conversion Commitment (RCC), or denying authority to convert under RAD.

1.3. Applicability

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.

This Notice supplements the RAD Notice with respect to fair housing and civil rights requirements applicable to public housing properties converting under RAD and with respect to all matters related to the relocation of residents as a result of RAD public housing conversions. To the extent that there is a conflict between this Notice and the RAD Notice, this Notice shall govern. This Notice replaces and supersedes Notice H 2014-09/PIH 2014-17 (issued July 14, 2014).

Upon issuance, the terms of this Notice will apply to all projects that have applied for conversion of assistance under the First Component of RAD but have not yet converted. As this Notice provides guidance, clarification, and explanation regarding fair housing and civil rights requirements that are already applicable to RAD conversions, this Notice shall not affect any front-end civil rights approvals provided by HUD prior to the effective date of this Notice and otherwise shall be effective with respect to front-end civil rights approvals without exception. However, with respect to relocation activities for Converting Projects under the First Component where a PHA has already submitted a Financing Plan pursuant to the RAD Notice at the time of issuance of this Notice, and provided that the Financing Plan has been accepted for full review after initial screening for completeness, the PHA may, within sixty (60) days after issuance of this Notice, request (in writing uploaded to the RAD Resource Desk) to be governed by H 2014-

⁵ For example, the front-end review is specific to an individual site. A PHA that does not promote fair housing choice outside areas of minority concentration and continues to site affordable housing in minority concentrated areas may be in noncompliance with the duty to affirmatively further fair housing and other fair housing and civil rights obligations, even if the specific site is approved based on the information provided and pursuant to the front-end review of the PHA's site and neighborhood standards submission.

⁶ See 24 C.F.R. § 5.105 and, as applicable, 24 C.F.R. § 983.57(b)(2) or Appendix III of the RAD Notice.

09/PIH 2014-17. For such projects and where otherwise appropriate in cases of hardship as determined by HUD, HUD may apply the terms of H 2014-09/PIH 2014-17 with respect to relocation activities, but not with respect to fair housing and civil rights requirements.

RAD projects which have been awarded Choice Neighborhoods Implementation (CNI) grants are subject to the provisions of the applicable Choice Neighborhoods Notice of Funding Availability (NOFA) and grant agreement regarding site and neighborhood standards and are not subject to the RAD front-end civil rights transaction reviews described in this Notice. For properties being redeveloped with funding under a CNI grant, the relocation requirements set forth in this Notice are superseded by guidance regarding relocation included in the CNI NOFA. Permanent involuntary displacement of public housing or Section 8 assisted residents may not occur as a result of a Choice Neighborhood project's conversion of assistance.

1.4. Explanation of Major Provisions

This Notice adds to and revises pre-existing guidance related to fair housing, civil rights, and relocation (as contained in the RAD Notice and H 2014-09/PIH 2014-17) with respect to RAD transactions. Among the key provisions and changes are the following:

Fair Housing & Civil Rights

- Reaffirms the applicability of fair housing and civil rights requirements to all RAD-related activities (see, e.g., Section 3.3 and Section 4);
- Reiterates when HUD front-end civil rights review (originally outlined in the RAD Notice) is required in addition to the PHA's analysis and certification of compliance, to assist the PHA and Project Owner to comply with fair housing and civil rights requirements (see Section 5.3);
- Outlines certain conditions under which HUD will conduct a front-end review to determine whether the site is in an area of minority concentration relative to the site's housing market area (see Section 5.4(A));
- Provides guidance, for purposes of the RAD front-end civil rights review, on the concepts of "area of minority concentration" and "housing market area" that are reviewed when determining whether a site is in an area of minority concentration (see Section 5.4(B));
- Elaborates on specific information that HUD will consider, and that PHAs should provide evidence of, in order for a proposed site to meet the existing exceptions to permit new construction in an area of minority concentration, identifies presumptions for meeting the sufficient comparable opportunities exception and describes factors that HUD may consider in evaluating the overriding housing needs exception (see Section 5.4(C) and Section 5.4(D));
- Articulates issues that HUD will consider in completing the front-end civil rights review for transfers of assistance, including, for example, accessibility and minority concentration (see Section 5.5);
- Outlines the information to be submitted for HUD's front-end civil rights review of transactions where unit reductions, unit reconfigurations, or changes in occupancy are proposed (see Section 5.6);
- Identifies the situations where front-end civil rights reviews are required when changes in the accessibility features of a site are made (see Section 5.7(B)); and

- Prohibits the Project Owner of a Converted Project with a PBRA HAP contract from initiating any new leasing or marketing activities (other than leasing and outreach to households holding a right to return to the Covered Project), including the solicitation, distribution or acceptance of applications or development of a waiting list, until HUD has approved the Affirmative Fair Housing Marketing Plan (“AFHMP”) (see Section 5.8).

Relocation

- Requires PHAs or Project Owners to prepare a written relocation plan for all transactions that involve permanent relocation or temporary relocation anticipated to exceed 12 months (see Section 6.1);
- Requires PHAs to provide residents with a RAD Information Notice (RIN) in order to ensure that residents are informed of potential project plans and of their rights in connection with RAD prior to submission of the RAD application (see Section 6.6(A));
- Clarifies that the General Information Notice (GIN), when applicable, should be provided as soon as feasible and no later than 30 days following the issuance of the CHAP (see Section 6.6(B));
- Requires Project Owners to provide a notification of Return to the Covered Project, when applicable (see Section 6.6(F));
- Moves the date before which PHAs are prohibited from beginning any physical relocation earlier in the conversion process (specifically, from the date of Closing to the later of the effective date of the RCC and the expiration of the 30- or 90-day RAD Notice of Relocation period, as applicable) (see Section 6.8);
- Clarifies the specific requirements applicable to different types of relocation (e.g., moves within a property, temporary relocation of less than 12 months, etc.) (see, e.g., Section 6.4);
- Provides enhanced guidance on the right to return requirements, any offers of alternative housing options and the documentation that must be retained when tenants choose an alternative housing option and decline their right to return (see, e.g., Section 6.2 and Section 6.10);
- Describes how HUD has administratively implemented URA requirements and URA relocation assistance and payments for displaced persons, when applicable, to residents who choose to decline the right of return and, instead, choose voluntary permanent relocation (see, e.g., Section 6.4(C) through (F) and Section 6.10);
- Requires PHAs to maintain detailed data regarding each household that will be relocated, with key dates of notices and moves (see Section 6.9); and
- Identifies key fair housing and civil rights requirements applicable during relocation (see, e.g., Section 4).

1.5. Request for Public Comment

HUD acknowledges the complexity of the issues addressed in this Notice. This Notice is effective immediately upon issuance, but HUD also seeks comment from the public regarding the clarity and organization of the Notice and regarding areas where the policies and procedures described are unclear or ambiguous. HUD will consider whether changes in response to comments are justified and will implement any appropriate changes in a revision of this Notice. Please submit all comments to RAD@hud.gov within 30 days of the issuance of this Notice.

1.6. Paperwork Reduction Act

In accordance with the Paperwork Reduction Act (PRA), HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. OMB approved information collection forms will be posted on the RAD website and the Federal Register.

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SECTION 3. Background

3.1. RAD Authority

RAD is authorized by the Consolidated and Further Continuing Appropriations Act of 2012 (Pub. L. No. 112-55, enacted November 18, 2011), as amended by the Consolidated Appropriations Act, 2014 (Public Law 113-76, enacted January 17, 2014), the Consolidated and Further Continuing Appropriations Act, 2015 (Public Law 113-235, enacted December 6, 2014), and the Division L, Title II, Section 237 of the Consolidated Appropriations Act (Public Law 114-113, enacted December 18, 2016), collectively and as it may be further amended from time to time, the “RAD Statute.” RAD allows certain eligible properties to convert assistance to long-term project-based Section 8 contracts and has two separate components. The First Component allows projects funded under the public housing program to convert their assistance to long-term, project-based Section 8 rental assistance contracts. Under this component of RAD, public housing agencies (PHAs) may choose between two different Section 8 housing assistance programs: project based vouchers (PBVs) or project-based rental assistance (PBRA). The “Second Component” of RAD allows owners of projects funded under the Rent Supplement (Rent Supp), Rental Assistance Payment (RAP), and Moderate Rehabilitation programs to convert certain units to PBV or PBRA Section 8 units following certain contract expirations or terminations. The RAD Statute is implemented by the RAD Notice.

3.2. Definitions

All capitalized terms defined in the RAD Notice, as amended, shall have the definitions ascribed to them therein unless otherwise specifically noted in this Notice.⁷ Pre-conversion projects whose assistance is converting from public housing to Section 8 under RAD are referred to in the RAD Notice and in this Notice as “Converting Projects.” Post-conversion projects are referred to in the RAD Notice and this Notice as “Covered Projects.”

3.3. Applicable Legal Authorities

Appendix I to this Notice identifies key legal authorities with respect to fair housing, civil rights, and resident relocation. Part 2 of Appendix I provides greater detail regarding federal accessibility requirements set forth in three of the legal authorities described in Appendix I,

⁷ Many of the fair housing and civil rights concepts used throughout this Notice are terms of art that are defined in applicable statutes and regulations identified in Appendix I of this Notice, while others have been developed through judicial interpretation. PHAs and Project Owners should familiarize themselves with these terms of art and should consult 42 U.S.C. § 3602 (Fair Housing Act); 24 C.F.R. §§ 5.152-100.20 (Fair Housing Act); 42 U.S.C. §§ 2000d-2000d-4a (Title VI of the Civil Rights Act of 1964); 24 C.F.R. § 1.2 (Title VI); 29 U.S.C. § 705 (Rehabilitation Act); 24 C.F.R. § 8.3 (Section 504); 42 U.S.C. §§ 12102, 12132, 12181 (Americans with Disabilities Act (ADA)); 28 C.F.R. § 35.104 (Title II of the ADA); and 28 C.F.R. § 36.104 (Title III of the ADA). In addition, many of the relocation concepts are terms of art that are defined in 42 U.S.C. § 4601 *et seq.* (Uniform Relocation Act (URA)), Section 104(d) of the Housing and Community Development Act of 1974 codified at 42 U.S.C. § 5304(d), and their implementing regulations at 49 C.F.R Part 24 and 24 C.F.R. Part 42 subpart C.

Part 1. PHAs and Project Owners must be familiar with these legal authorities and must evaluate, based on the facts of their situation, which legal authorities are applicable in which situations. **Failure to comply with any legal authority as applicable to the PHA's or Project Owner's actions or inactions may result in liability under such authority.** Appendix I does not attempt to provide a complete and exhaustive explanation of the legal authorities, nor to fully inventory the situations in which each legal authority is applicable. Instead, Appendix I is an overview intended to serve as a general introduction or reminder for PHAs and Project Owners of these fair housing, other civil rights, and relocation authorities and to facilitate their identification of appropriate topics for further research or expert counsel. The recitation of these legal authorities neither expands nor diminishes their applicability to the PHA's and Project Owner's activities in connection with their RAD conversion.

The RAD Statute authorizes the Secretary of HUD to waive or specify alternative requirements for certain provisions of law, except for requirements related to, among others, fair housing and nondiscrimination.⁸ In addition to the general application of various federal statutes and their implementing regulations as discussed in Appendix I, below, HUD regulations at 24 C.F.R. § 5.105 apply such authorities to all HUD programs, including RAD.

3.4. Further Information

Because each RAD proposal varies in its scope, this Notice may not address each PHA's or Project Owner's specific circumstances. PHAs and Project Owners should carefully review the laws, regulations, notices, and guidance material referenced in this Notice. Any questions related to the administration of the RAD program should be referred to the appropriate RAD Transaction Manager (TM) or may be emailed to rad@hud.gov.

SECTION 4. Generally Applicable Fair Housing and Civil Rights Requirements Relevant Throughout the RAD Conversion Process

This Section provides a summary overview of key principles regarding program implementation and an overview of generally applicable fair housing and civil rights requirements. Appendix I identifies the key legal authorities from which these principles are derived. These key principals, together and with the legal authorities identified in Appendix I, frame the PHA's efforts to implement a RAD conversion. In some cases, these requirements are particularly relevant to the process of planning the RAD conversion, while in others they have particular relevance for the structure of the RAD transaction itself, and in yet other cases, both. Elements of RAD transactions that have civil rights implications include, but are not limited to, transfers of assistance, temporary and permanent relocation, demolition, site selection, new construction, occupancy policies, changes in unit configuration, increases or reductions in units, waiting list administration policies, policies regarding return of temporarily relocated tenants, substantial rehabilitation or alteration, program accessibility, tenant selection policies and priority transfers, providing information to and communicating with persons with Limited English Proficiency (LEP) and persons with disabilities, reasonable accommodation policies, and Affirmative Fair

⁸ See Pub. L. No. 112-55, as amended.

Housing Marketing Plans (AFHMPs). All PHAs must consider civil rights when structuring these and other elements of their RAD transaction.

RAD transactions are governed by the same civil rights authorities that govern HUD-assisted activities generally.⁹ Converting Projects are subject to civil rights and equal opportunity requirements under the public housing regulations, and Covered Projects are subject to civil rights and equal opportunity requirements under the PBV regulations or the PBRA regulations, as applicable.¹⁰ As described further below, the Fair Housing Act prohibits discrimination in housing¹¹ and requires all federal executive departments and agencies to “administer their programs and activities relating to housing and urban development ... in a manner affirmatively to further” fair housing.¹² In addition, all programs or activities receiving Federal financial assistance are subject to Title VI of the Civil Rights Act of 1964 forbidding discrimination on the basis of race, color, and national origin¹³ and Section 504 of the Rehabilitation Act of 1973, which forbids discrimination on the basis of disability and requires that programs or activities receiving Federal financial assistance make such programs or activities “when viewed in its entirety” readily accessible to persons with disabilities and make reasonable accommodation to the needs of persons with disabilities.¹⁴ RAD transactions are also subject, as applicable, to the requirements of Titles II and III of the Americans with Disabilities Act, Executive Order 11063, and HUD regulations at 24 C.F.R. part 107. Thus, as with the administration of all HUD programs and all HUD-assisted activities, fair housing and civil rights issues must be considered in the administration of the RAD program. PHAs must not implement actions and policies that may have a discriminatory effect on the basis of race, color, sex, national origin, religion, disability, or familial status or that may impede, obstruct, prevent, or undermine efforts to affirmatively further fair housing.¹⁵ Note, in particular, the following requirements:

- **Affirmatively Furthering Fair Housing (AFFH):** The Fair Housing Act requires that HUD administer its programs and activities in a manner that affirmatively furthers the purposes of the Fair Housing Act. The Fair Housing Act not only prohibits discrimination but, in conjunction with other statutes, directs HUD’s recipients, including PHAs, to take significant actions to overcome historic patterns of segregation, achieve truly balanced and integrated living patterns, promote fair housing choice, and foster inclusive communities that are free from discrimination. Through various statutes, regulations, and executive orders, PHAs must take various actions in accordance and in conjunction with their Fair Housing Act obligation to affirmatively further fair housing. For example, under regulations implementing the United States Housing Act of 1937 (the Act), HUD recipients must, among other requirements, certify that they will affirmatively further fair housing. In addition, under HUD’s Affirmatively Furthering Fair Housing (AFFH) rule promulgated July 16, 2015, PHAs must periodically conduct an Assessment

⁹ See 24 C.F.R. § 5.105.

¹⁰ See, e.g., 24 C.F.R. §§ 880.601, 881.601 and 983.8 for civil rights related regulations applicable to PBV and PBRA transactions.

¹¹ See 42 U.S.C. §§ 3601 *et seq.*, and HUD regulations in 24 C.F.R. part 100

¹² 42 U.S.C. § 3608(d) and (e).

¹³ See 42 U.S.C. §§ 2000d *et seq.*, and HUD regulations in 24 C.F.R. part 1.

¹⁴ See 29 U.S.C. §§ 701 *et seq.*, and HUD regulations in 24 C.F.R. part 8.

¹⁵ See 24 C.F.R. part 1 and part 100 subpart G.

of Fair Housing (AFH) as set out by the rule, either individually or in collaboration with other program participants.¹⁶ Under the AFFH rule, in order to develop a successful affirmatively furthering fair housing strategy, the PHA must assess the elements and factors that cause, increase, contribute to, maintain, or perpetuate segregation, racially or ethnically concentrated areas of poverty, significant disparities in access to opportunity, and disproportionate housing needs. PHAs must ensure that their activities in connection with a RAD conversion are consistent with their AFH, including any applicable joint or regional AFH in which they are a joint participant, and with any applicable Analysis of Impediments to Fair Housing Choice (AI), Fair Housing Equity Assessment, PHA 5-Year Plan, PHA Annual Plan, Moving to Work (MTW) Plan, or related planning documents and other regulatory and programmatic requirements implementing the obligation to affirmatively further fair housing to which they are a party.¹⁷

- **Nondiscriminatory Site Selection:** HUD’s site and neighborhood standards require that the proposed site is suitable from the standpoint of facilitating and furthering full compliance with the applicable provision of Title VI of the Civil Rights Act, the Fair Housing Act, Executive Order 11063, and Department regulations implementing these authorities. The site must meet the Section 504 site selection requirements in 24 C.F.R. § 8.4(b)(5). Additional provisions appear in 24 C.F.R. § 983.57(b) of the PBV rules and, for PBRA, in Appendix III of the RAD Notice. HUD’s Title VI regulation specifically prohibits site selection that has the “purpose or effect of excluding individuals from, denying them the benefits of, or subjecting them to discrimination” on the basis of race, color, or national origin.¹⁸ The Title VI regulations also impose an obligation on the part of an applicant or recipient of HUD financial assistance to take actions to overcome the effect of prior discrimination or conditions that limit participation by persons of a particular race, color, or national origin.¹⁹ In addition, HUD’s Section 504 regulation prohibits recipients from selecting sites the purpose or effect of which would (1) exclude qualified individuals with disabilities from or deny them the benefit of a program or activity, or otherwise subject them to discrimination; or (2) defeat or substantially impair the accomplishment of the objectives of the program or activity with respect to qualified individuals with disabilities.²⁰ ADA regulations likewise prohibit site selections that have the purpose or effect of excluding individuals with disabilities (including members of the public with disabilities), denying them benefits, or subjecting them to discrimination.²¹ Finally, the Fair Housing Act prohibits discriminatory site selection, including perpetuation of segregation in transfers of assistance and new construction.
- **Meaningful Access for Persons with Limited English Proficiency (LEP):** The PHA or Project Owner is required to take reasonable steps to ensure (a) they provide meaningful access to programs and activities for persons who have a limited ability to read, speak, or understand English; (b) any person with LEP who will be temporarily relocated or

¹⁶ 24 C.F.R. § 5.150 *et seq.*

¹⁷ See 24 C.F.R. § 5.150 *et seq.* and 24 C.F.R. §§ 91.225, 91.325, or 91.425.

¹⁸ See 24 C.F.R. § 1.4(b)(3).

¹⁹ See 24 C.F.R. § 1.4(b)(6).

²⁰ See 24 C.F.R. § 8.4(b)(5).

²¹ See 28 C.F.R. § 35.130(b)(4); 28 C.F.R. § 36.301.

permanently displaced has meaningful access to any public meetings regarding the project; and (c) they provide meaningful access to LEP persons to any information provided to residents including, but not limited to, any relocation notices. Generally, the PHA or Project Owner will be responsible for providing oral interpreters at meetings, including ensuring their competence, and covering any associated translation and interpretation costs.²²

- **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 C.F.R. § 8.6) and with 49 C.F.R. § 24.5, and as applicable, the Americans with Disabilities Act. This includes ensuring that, unless such actions would result in undue financial and administrative burdens or fundamental alterations, notices and resident meetings are provided in appropriate alternative formats as needed, e.g., Braille, audio, large type, accessible electronic communications, assistive listening devices, and sign language interpreters. Even in cases where the proposed actions may result in undue financial and administrative burdens or fundamental alterations, certain actions must still be taken. Specifically, appropriate auxiliary aids and services that would not result in such undue burdens or fundamental alterations must still be provided to ensure effective communication.
- **Accessible Meeting Facilities for Persons with Disabilities:** Pursuant to regulations implementing Section 504 of the Rehabilitation Act of 1973 and 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 on the PHA and/or Project Owner, in which case the PHA or Project Owner must take any action that would not result in such undue 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 site or in-home briefing.²³ 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 persons without disabilities to the fullest extent possible.²⁴

²² For more information about LEP obligations, see HUD's Limited English Proficiency (LEP) Frequently Asked Questions guidance at

http://portal.hud.gov/hudportal/HUD?src=/program_offices/fair_housing_equal_opp/promotingfh/lep-faq#q26.

²³ In selecting locations for consultation with residents, the PHA and/or Project Owner shall be guided by the goal of maximizing participation in an integrated setting so that residents with disabilities and residents without disabilities may hear and consider each other's views. Priority shall be given to using on-site accessible locations (including, e.g., TV rooms or informal gathering places), even if doing so may require multiple sessions with smaller groups of residents. In addition, Title III of the Americans with Disabilities Act requires private entities that operate places of public accommodation, including social service establishments, leasing offices of private housing developments, and certain private housing providers, to comply with certain physical accessibility requirements which are similar to the requirements under Section 504 and Title II.

²⁴ See 28 C.F.R. part 35, Appendix B.

- **Accessibility for Persons with Disabilities Throughout the Planning and Implementation Process:** A number of accessibility requirements, including but not limited to site selection, apply to all RAD conversions, as they do to the PHA's activities regardless of the PHA's participation in RAD.²⁵ PHAs and Project Owners should also be aware that state or local laws, regulations, and codes may contain greater accessibility requirements. This Notice provides, in Appendix I, Part 2, an overview of accessibility requirements under existing law. The information in Appendix I, Part 2 is intended to assist with the PHA's or Project Owner's compliance with accessibility requirements. PHAs and Project Owners must review Appendix I, Part 2 early-on in planning for the RAD transaction. PHAs and Project Owners may determine that it is most efficient to address accessibility matters early in the project planning. In addition, PHAs and Project Owners must evaluate, throughout the transaction and based on the facts of their situation, which requirements are applicable in which situations to ensure they appropriately address accessibility requirements. PHAs and Project Owners are responsible for ensuring that the architectural drawings and construction comply with the PHA's and Project Owner's obligations and all Federal civil rights requirements, including accessibility requirements under the Fair Housing Act, Section 504, and the ADA.

Accessibility requirements also apply during all stages of a RAD transaction, including during relocation. Existing information (e.g., resident 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) and the residents themselves should be consulted throughout the process of developing and implementing a RAD conversion. Related activities include, but are not limited to:

- Identifying and maintaining existing and pending reasonable accommodations, including the need for larger units to accommodate live-in aides or special equipment;
- Determining what direct services may be needed as a reasonable accommodation (e.g., packing, moving, identification of temporary housing);
- Identifying accessible unit features and assuring that temporary or permanent replacement housing contains comparable features;
- Budgeting appropriately to ensure that reasonable accommodations are addressed.

For more information about compliance with accessibility requirements, the PHA or Project Owner should refer to appropriate notices concerning civil rights requirements and may contact HUD's Office of Fair Housing and Equal Opportunity in either the Washington, D.C. or applicable field offices for more specific guidance. For additional, non-exhaustive guidance on providing relocation assistance to persons with disabilities, see Exhibit 3-1 in HUD Handbook 1378.

²⁵ For more detailed information on these laws and their requirements, see PIH Notice 2010-26, issued July 26, 2010 (available at <http://www.hud.gov/offices/pih/publications/notices/10/pih2010-26.pdf>). While this notice has an expiration date in 2011, because the notice summarizes and discusses regulatory requirements, the information in the notice provides helpful guidance.

- Reasonable Accommodations in Rules, Policies, Practices and Services:** Under the Fair Housing Act, the PHA or Project Owner must make reasonable accommodations in rules, policies, practices, and services when such accommodations may be necessary to afford a person with a disability an equal opportunity to use and enjoy a dwelling.²⁶ Under Section 504, the PHA or Project Owner must also make reasonable accommodations to residents with disabilities, which may include providing and paying for structural modifications to dwelling units and public or common use areas. Titles II and III of the ADA provide similar requirements. Common examples of reasonable accommodations that may occur during relocation are permitting an individual with a disability to relocate near public transportation, providing a unit larger than otherwise permitted for a live-in aide, and making exceptions to no-animal rules for assistance and service animals. Accommodations generally need not be made where providing such an accommodation would be an undue financial and administrative burden or a fundamental alteration of the nature of the service. However, reasonable accommodations must be made to the extent the accommodation does not impose an undue financial and administrative burden or a fundamental alteration of the nature of the service. Reasonable accommodations must follow the individual with the disability throughout the RAD process, including during relocation. Furthermore, PHAs and Project Owners may be required to provide particular reasonable accommodations during relocation, such as assistance moving household items.²⁷
- Physical Changes to Dwelling Units, Public and Common Use Areas and Other Facilities for Accessibility:** Under the Fair Housing Act, the PHA or Project Owner may be required to permit reasonable modifications. A reasonable modification is a structural change made to existing premises, occupied or to be occupied by a person with a disability, in order to afford such person full enjoyment of the premises. Reasonable modifications can include structural changes to interiors and exteriors of dwellings and to common and public use areas. A request for a reasonable modification may be made at any time during the tenancy. When relocating an individual with a disability who has such modifications in their dwelling unit or public and common use areas because of the individual's disability, regardless of who made them, the PHA or Project Owner has an obligation to provide and pay for such modification in the new dwelling. When considering requests by individuals with disabilities for structural changes to units or public and common use areas, PHAs and Project Owners should take particular note that they may be required to make and pay for such structural modifications as reasonable

²⁶ For additional information regarding reasonable accommodations under the Fair Housing Act, *see* the Joint Statement of the Department of Housing and Urban Development and the Department of Justice, Reasonable Accommodations Under the Fair Housing Act (May 17, 2004), at <http://www.hud.gov/offices/fheo/library/huddojstatement.pdf>.

²⁷ *See* 49 C.F.R. part 24, Appendix A, § 24.2(a)(8)(vii), which states that under the URA, "Reasonable accommodation of a displaced person with a disability at the replacement dwelling means the Agency is required to address persons with a physical impairment that substantially limits one or more of the major life activities. In these situations, reasonable accommodation should include the following at a minimum: Doors of adequate width; ramps or other assistance devices to traverse stairs and access bathtubs, shower stalls, toilets and sinks; storage cabinets, vanities, sink and mirrors at appropriate heights. Kitchen accommodations will include sinks and storage cabinets built at appropriate heights for access. The Agency shall also consider other items that may be necessary, such as physical modification to a unit, based on the displaced person's needs."

accommodations under Section 504 and because of similar requirements under the ADA even though the Fair Housing Act may only require the owner to allow such changes to be made and paid for by the individual with a disability. Before determining that they are not required to make or pay for structural changes, PHAs and Project Owners are encouraged to consider carefully their obligations under each applicable statute.

SECTION 5. Application of Key Fair Housing and Civil Rights Requirements to RAD Transactions

The generally applicable fair housing and other civil rights requirements described above, and in Appendix I, apply throughout the planning and implementation of a RAD transaction and the PHA is responsible for ensuring compliance with these requirements. As key requirements may be misunderstood, the RAD program has established specific additional procedures to assist RAD participants to ensure they comply with the applicable requirements. Specifically, the RAD Notice established a civil rights eligibility review and criteria for front-end civil rights reviews.

This Section elaborates on these requirements from the RAD Notice. The front-end review procedures described below establish procedures and criteria for the supplemental front-end review and technical assistance, criteria which are specific to the RAD program. Criteria for this supplemental front-end review are informed by, but not the same as, fair housing or civil rights rules and policies generally.

This Section is organized to loosely follow the stages of a RAD conversion transaction, beginning with RAD eligibility and continuing through site selection, transfer of assistance, unit design requirements and marketing. In addition, this Section describes the timing and procedures for submitting data and documents to HUD so that HUD may complete its front-end review. The submission procedures are also designed to serve as a tool for PHAs to identify issues of potential concern at appropriate stages of the RAD conversion and as a tool for HUD to identify potential needs for technical assistance.

5.1. RAD Eligibility Review

To be eligible for RAD, the PHA must meet all eligibility requirements set forth in Section 1.3 of the RAD Notice, including the civil rights threshold requirements found at Section 1.3.G of the RAD Notice. A PHA must not have a charge, cause determination, lawsuit, or letter of findings, referenced in Section 1.3.G of the RAD Notice, against the PHA itself, its transferees, proposed development partners, or sub-recipients that has not been resolved, or is not in the process of being resolved, to HUD's satisfaction. This determination shall be made prior to issuance of the CHAP.

The CHAP may be revoked by HUD if HUD determines that the terms of the conversion would be inconsistent with fair housing and civil rights laws or a fair housing or civil rights court order, settlement agreement, or voluntary compliance agreement. HUD may terminate a CHAP or RCC if it determines that the terms of the conversion would be inconsistent with fair housing or civil rights laws or is inconsistent with, would hinder, or would delay satisfaction of a fair housing or civil rights court order, settlement agreement, or voluntary compliance agreement.

HUD may terminate an approval to proceed with a RAD conversion if it determines that the terms of the conversion would be inconsistent with fair housing or civil rights laws or a fair housing or civil rights court order, settlement agreement, or voluntary compliance agreement.

5.2. PHA's Proposed Site Selection and Certification

For all RAD conversions, the PHA must comply with all applicable site selection requirements as set forth in this Notice and the RAD Notice and in accordance with any additional applicable published guidance provided by HUD. As set forth in the RAD Notice, conversions of assistance to PBV involving new construction, whether on a new site or on a current site, are subject to the site selection standards set forth in 24 C.F.R. § 983.57(a), (b), (c) and (e), but excluding 24 C.F.R. § 983.57(b)(1) and (c)(2). All other conversions to PBV, including transfers of assistance to an existing property other than the Converting Project, are subject to the standards set forth in 24 C.F.R. § 983.57(a), (b), (c) and (d), but excluding 24 C.F.R. § 983.57(b)(1) and (c)(2).²⁸ Site selection requirements set forth at Appendix III of the RAD Notice apply to RAD conversions to PBRA assistance, as does the requirement not to place housing in neighborhoods with highly concentrated poverty based on the criteria formulated for transfers under Section 8(bb) of the United States Housing Act of 1937.²⁹ PBV and PBRA site selection must also be consistent with the requirements of the Fair Housing Act, Title VI, Section 504, the ADA and their implementing regulations.

It is the PHA's responsibility to ensure that the site selection complies with all applicable site selection requirements, including the requirements of this Notice and the RAD Notice. Pursuant to the RAD Notice, the PHA must certify with the submission of its Annual Plan, Significant Amendment to its Annual Plan, or MTW Plan that it complies with the applicable site selection requirements and must maintain records of its analysis and the data relied upon in making its determination of compliance. The PHA must also determine and subsequently state in the certification that the site is "suitable from the standpoint of facilitating and furthering full compliance with the applicable provisions of Title VI of the Civil Rights Act of 1964, Title VIII of the Civil Rights Act of 1968, Executive Order 11063, and HUD regulations issued pursuant thereto."³⁰ Although this Notice provides detail regarding certain civil rights-related site and neighborhood standards, PHAs must certify compliance with all applicable site and neighborhood standards.³¹

The PHA must also certify that, in conducting its review of site selection for the proposed project, the PHA completed a review with respect to accessibility for persons with disabilities and that the proposed site is consistent with applicable accessibility standards under the Fair Housing Act, Section 504, and the ADA. The site and neighborhood standards for PBV and PBRA require the site to be "suitable from the standpoint of facilitating and furthering full compliance with" the Fair Housing Act and require the site to meet the Section 504 site selection

²⁸ See the provisions of Section 1.6.A.4 of the RAD Notice.

²⁹ 42 U.S.C. § 1437f(bb).

³⁰ For RAD conversions to PBRA, the RAD Notice uses the term "the site and neighborhood is suitable," rather than "the site is suitable." See Appendix III of the RAD Notice, paragraph (a).

³¹ See 24 C.F.R. § 983.57 and the RAD Notice at Section 1.4(A)(7)

requirements described in 24 C.F.R. § 8.4(b)(5).³² The Fair Housing Act, as implemented at 24 C.F.R. § 100.205, requires “covered multifamily dwellings” built for first occupancy after March 13, 1991, to contain accessible design features. HUD’s Section 504 regulations at 24 C.F.R. § 8.4(b)(5) require that, in determining the site or location of a federally assisted facility, an applicant for assistance or recipient may not make selections the purpose or effect of which would: (i) exclude qualified individuals with disabilities from, deny them the benefits of, or otherwise subject them to discrimination under, any program or activity that receives Federal financial assistance from HUD, or (ii) defeat or substantially impair the accomplishment of the objectives of the program or activity with respect to qualified individuals with disabilities. Title II of the ADA contains a similar requirement that a public entity, such as the PHA, may not, in determining the site or location of a facility, make selections (i) that have the effect of excluding individuals with disabilities from, denying them the benefits of, or otherwise subjecting them to discrimination; or (ii) that have the purpose or effect of defeating or substantially impairing the accomplishment of the objectives of the service, program, or activity with respect to individuals with disabilities.³³ Factors relevant to a site review under these standards may include, among others:

- Site features, such as inaccessible slopes in routes, lack of accessible sidewalks, curb ramps, accessible parking spaces, and placement of dumpsters or other physical features that would impede access to and movement within the site;
- Building features, such as inaccessible building entrances, other methods of ingress and egress, public and common use areas (e.g., the rental office, parking areas, mail areas, trash areas, community rooms, shared use toilet rooms, laundry facilities and walkways inside and outside that connect these public and common use areas to units), and barriers to access by members of the public; and
- Lack of accessible transit or para-transit and accessible public sidewalks and accessible transportation stops.

When such conditions are present at the site and would exclude individuals with disabilities from, deny them the benefits of, or otherwise subject them to discrimination, or would defeat or substantially impair the accomplishment of the objectives of the program or activity with respect to individuals with disabilities, the site must not be selected unless the proposal includes remediation of the barriers to achieve compliance with accessibility requirements (including identification and remediation of any nonconforming design and construction conditions in “covered multifamily dwellings” under the Fair Housing Act). Remediation of the barriers may include, for example, physical accessibility improvements to the site, arrangements for access to accessible supportive services, or reasonable accommodations for current or prospective residents with disabilities, including members of the public. The Financing Plan submitted to HUD must describe and document resources sufficient to pay for the remediation of accessibility barriers.³⁴

³² See 24 C.F.R. § 983.57(b)(2) (PBV conversions); *see also*, Appendix III (a) of the RAD Notice (PBRA conversions).

³³ See 28 C.F.R. § 35.130(b)(4).

³⁴ In conducting its review prior to certification, and in preparing for the certification, PHAs and Project Owners may find it useful to consult with their local or regional FHEO office, the United States Access Board, local or state

While all PHAs must certify their compliance with applicable site selection requirements as described in this Section, some RAD transactions will also be subject to a front-end review of the site selection. For transactions involving activities that present site selection issues of greater complexity, as described in Sections 5.3 through 5.5 below, front-end review will allow HUD's Office of Fair Housing and Equal Opportunity (FHEO) to assist the PHA to consider relevant laws and regulations while completing its site selection review and certification.

5.3. RAD Front-End Civil Rights Transaction Review

Fair Housing Act and other civil rights issues may arise throughout a RAD transaction. Under the Fair Housing Act, an assessment of site suitability includes an analysis of the impact that the siting of the project would have on patterns of segregation for protected classes. The Fair Housing Act is of particular importance when a RAD proposal concerns site selection for new construction or reconfiguration of housing on the original public housing site – for example, the unit size distribution (e.g., conversion of larger bedroom size units to one-bedroom units, which may have an adverse impact on housing opportunities for families with children) or a reduction in the number or distribution of accessible units (which may have an adverse impact on housing opportunities for persons with disabilities). RAD conversions involving new construction must also comply with the Fair Housing Act's accessibility requirements.

Compliance with all applicable fair housing and civil rights requirements is the responsibility of both the PHA and the Project Owner. However, to assist with compliance, HUD's Office of Fair Housing and Equal Opportunity (FHEO) will conduct a front-end civil rights review of project proposals containing activities identified as particularly at risk of violating applicable fair housing and civil rights laws. The activities that must be submitted for front-end civil rights review are listed in Section 5.3(A), below.

A) Activities Subject to Front-End Civil Rights Review

All RAD conversions that include one or more of the activities listed below (Sections 5.3(A)(1) through 5.3(A)(9)) are subject to a front-end review for compliance with certain civil rights and fair housing requirements. The specific items that HUD will review in the front-end review will depend on which activities are involved in the specific transaction. A RAD conversion may not include one of the activities below without prior written approval from HUD. All Financing Plans must include evidence that the PHA has secured written approval from HUD for any of the following activities that are included in its RAD conversion:

- (1) Conversions of assistance involving new construction, whether on a new site or on a current site, in an area of minority concentration. Front-end review of this activity shall be pursuant to Section 5.4(B), below and, in addition, the PHA shall

architectural access board or other accessibility authority for information on accessibility standards. Other sources of information on accessibility requirements may include protection and advocacy organizations or independent living centers. In addition, the non-HUD resources may provide advice on how to assess accessibility needs and formulate physical accessibility strategies.

certify in its Annual Plan compliance with site and neighborhood standards applicable to new construction as described in Section 5.2.

- (2) Transfers of assistance where all or a portion of the Converting Project's assistance is transferred to a new site(s) (either new construction or to an existing project) as part of the subject transaction. Front-end review of this activity shall be pursuant to Section 5.5(B), below and, in addition, the PHA shall certify in its Annual Plan compliance with site and neighborhood standards applicable to existing housing as described in Section 5.2.
- (3) Conversions of assistance where the total number of units in the Covered Project is less than the original number of units in the Converting Project (this includes de minimis reductions). Front-end review of this activity shall be pursuant to Section 5.6.
- (4) Conversions of assistance where the Covered Project's unit configuration is different from the unit configuration of the Converting Project. Front-end review of this activity shall be pursuant to Section 5.6.
- (5) Conversions involving a change in occupancy, where the Covered Project serves a different population from the one served by the Converting Project (e.g., when a Converting Project serves families but the Covered Project is subject to an elderly preference or introduction of restrictions or preferences based on age or disability that will change the occupancy of the property). Front-end review of this activity shall be pursuant to Section 5.6.
- (6) Conversions of assistance in which the construction schedule indicates that relocation is likely to exceed 12 months. Front-end review of this activity shall be pursuant to Section 5.7(A).
- (7) Conversions of assistance involving new construction or substantial alteration,³⁵ as those terms are defined in Section 504 of the Rehabilitation Act of 1973. Front-end review of this activity shall be pursuant to Section 5.7(B).
- (8) Conversions of assistance involving a Converting Project subject to a Voluntary Compliance Agreement or Conciliation Agreement with HUD or a Consent Decree or Settlement Agreement with the U.S. Department of Justice or HUD, or where the PHA is subject to such an agreement affecting its entire housing portfolio or otherwise related to the Converting Project. Front-end review of this activity shall be pursuant to Section 5.7(C).

³⁵ Section 504 defines substantial alteration of a housing project as alterations where a housing project has 15 or more units, and the rehabilitation costs will be 75% or more of the replacement cost of the completed facility. *See* 24 C.F.R. § 8.23 (a).

- (9) Conversions of assistance where HUD has identified potential fair housing and civil rights concerns or a history of such concerns. Front-end review of this activity shall be pursuant to Section 5.7(C).

PHAs should note that a proposed RAD conversion may trigger front-end review regarding more than one of the activities listed in subsections (1) through (9) of this Section. For example, depending on the details of the proposal, a new construction on-site project could require review under subsections (1), (3), (4), (5), (6), and (7), or could require review under only subsections (1) and (7).

As part of HUD's review of these elements of the RAD conversion plans, HUD may require that PHAs that are carrying out portfolio or multi-phased conversions provide information on their conversion plans for other projects or subsequent phases to ensure that the overall plans for RAD conversion are consistent with civil rights and fair housing.

B) Fair Housing, Civil Rights, and Relocation Checklist

In connection with HUD's front-end fair housing and civil rights and relocation reviews described in this Section 5 and in Section 6, HUD is requiring submission of a Fair Housing, Civil Rights, and Relocation Checklist (the "Checklist"). The Checklist will facilitate the PHAs' and Project Owners' submission of necessary information to complete these reviews.³⁶ HUD anticipates that a revised Checklist, when available following Paperwork Reduction Act approval, will be separated into parts which can be submitted incrementally as the PHA and Project Owner develop the RAD transaction plans, with different elements of the Checklist applicable at different stages of the transaction planning process. For example, submissions regarding site selection for a RAD transaction involving new construction may occur well before submissions regarding a proposal to change the unit configuration.

The Checklist will outline the minimum information or documentation which HUD will need in order to review each part of the Checklist. After HUD's initial review of any portion of the Checklist, HUD may determine that the data provided in the Checklist is insufficient for HUD to complete its review, in which case HUD may require the PHA or Project Owner to provide supplemental information. The PHA should submit each part as early as possible once the information covered in the applicable part is known. All information specified in the applicable

³⁶ The Checklist is available at www.hud.gov/rad. As of the publication of this Notice, references to the Checklist refer to the existing FHEO Accessibility and Relocation Plan Checklist under OMB Approval 2577-0276. The PHA shall use the existing Checklist to provide information related to demonstrating compliance with fair housing, other civil rights, and relocation requirements (including accessibility requirements) and, as necessary, may require additional materials for HUD to complete its review, which the PHA may provide in such form as the PHA determines appropriate. Also at www.hud.gov/rad, HUD has provided a listing of information that, depending on the circumstances, HUD may require to complete different components of its front-end review. The Checklist is being revised to fully capture the submission requirements described in this Notice. The revised Checklist will be subject to Paperwork Reduction Act approval and will be posted at the website listed above when available for use.

part of the Checklist must be submitted to HUD for HUD to begin its civil rights review – partial submissions of any applicable part of the Checklist will not be accepted.³⁷

C) Timing of Front-End Review Submissions

PHAs and Project Owners are encouraged to submit applicable portions of the Checklist and information associated with a particular activity subject to front-end review as early as possible in the development of their plans. The PHA must ensure that HUD has approved all applicable parts of the Checklist prior to submission of the Financing Plan. Upon request from the PHA, HUD may, at HUD's sole discretion, permit submission of the Financing Plan prior to receipt of approval of the applicable parts of the Checklist and conditioned upon subsequent receipt of such approvals, in which event the PHA and Project Owner may proceed at their own risk.

Early approval of the site of the Covered Project is critical for RAD transaction proposals subject to front-end civil rights review involving site selection standards, specifically new construction in areas of minority concentration (see Section 5.3(A)(1)) and transfers of assistance (see Section 5.3(A)(2)). The PHA must conduct its own assessment of the site during the early stages of planning its RAD transaction. The guidance in this Notice and the Checklist are tools intended to assist the PHA in conducting its own assessment of the site.

The PHA must provide HUD with the Checklist and backup information sufficient for HUD to review the site with respect to the applicable standards. The site selection information should be provided to HUD no later than ninety (90) days following the issuance of the CHAP or, if the CHAP has already been issued as of the publication of this Notice, within ninety (90) days following publication of this Notice. In the event of a change in plans for the Converting Project that would require a front-end review of the site selection standards, the PHA must provide the Checklist and backup documentation within sixty (60) days of the change in plans. PHAs are strongly encouraged to provide front-end review submissions and secure HUD approval prior to applying for LIHTCs or taking action the reversal of which (in the event of non-approval of the site) would be detrimental to the PHA or the Project Owner. PHAs are also encouraged to contact FHEO for technical assistance prior to submission of these materials.

All PHAs shall submit a certification consistent with the requirements of Section 5.2, above. This certification may be prepared specifically in connection with the Checklist or as part of the PHA Annual Plan or Significant Amendment. However, HUD will not consider a submission complete for front-end civil rights review without this certification. All RAD conversions must submit the PHA certification described in Section 5.2 no later than at the time of submission of the Financing Plan.

D) Completion of HUD's Front-End Review

HUD will not approve a RAD conversion if HUD determines that the conversion would operate to discriminate in violation of applicable fair housing and civil rights laws. HUD will not approve proposals that have the purpose, intent, or effect of discriminating on the basis of

³⁷ The Checklist refers to the existing FHEO Accessibility and Relocation Checklist until a revised Checklist is approved for use pursuant to the Paperwork Reduction Act.

protected class (*i.e.*, race, color, national origin, religion, sex, disability, and familial status). If HUD does not approve a proposed activity based on a front-end review, then it will provide a written description of concerns or deficiencies. The PHA may resubmit the front-end review materials with a changed proposal and/or with additional information addressing HUD's concerns and any deficiencies in the proposal or the submission.

In some circumstances, a special condition to the transaction's RCC will be necessary to ensure that a RAD transaction conforms to fair housing and civil rights requirements. Special conditions to the RCC reflect the conditions necessary in order to complete the RAD conversion. For example, if there is an outstanding remedial agreement or order requiring particular development activities or operating policies to correct a violation of a fair housing or other civil rights requirement, the RCC generally will condition participation in RAD upon agreement by the PHA or the Project Owner, as applicable, to comply with the provisions of such agreements or orders after conversion.

5.4. Front-End Civil Rights Review for RAD Transactions Involving New Construction

A) Conditions Triggering Review

If the proposed project is located in an area of minority concentration, the new site may be approved only if it falls under a permitted exception and meets the other site selection requirements described in Section 5.2. Under the PBV and PBRA site and neighborhood standards, HUD may approve new construction in an area of minority concentration, consistent with the regulatory requirements cited above, only if:

- a. Sufficient, comparable housing opportunities for minority families in the income range to be served by the proposed project exist outside areas of minority concentration; or
- b. The project is necessary to meet overriding housing needs that cannot be met in that housing market area.³⁸

As described in the RAD Notice and in Section 5.3(A) of this Notice, above, HUD will conduct a front-end civil rights review of the PHA's proposed site in certain circumstances. This Notice specifies that for conversions of assistance involving new construction where there are indications that the site may be located in an area of minority concentration per the criteria in subsections (i), (ii), or (iii), below (whether the construction is located on the existing public housing site or on a new site), HUD will conduct a front-end civil rights review of the site to determine whether the site is in an area of minority concentration and, if so, whether it meets one of the exceptions that would allow for new construction in an area of minority concentration.

The PHA shall submit for HUD front-end review the PHA's findings, together with backup documentation, regarding site selection when the site meets any of the following criteria:

- i. The PHA self-identifies the area of the site as an area of minority concentration,

³⁸ 24 C.F.R. § 983.57(e)(3) and Appendix III of the RAD Notice, paragraph (e).

- ii. The census tract of the site meets the extent of minority concentration described in Section 5.4(B)(1), below, or
- iii. An area comprised of the census tract of the site together with all adjacent census tracts, analyzed as a whole, meets the extent of minority concentration described in Section 5.4(B)(1), below.

If any of these three criteria is applicable, HUD will conduct a review to determine whether the site is in an area of minority concentration and, if applicable, whether the proposed site fits one of the exceptions permitting new construction in an area of minority concentration described in this Section 5.4. A proposed RAD transaction which does not meet one of these triggers must still be evaluated by the PHA and the PHA must certify compliance with the site selection requirements as described in Section 5.2, above.

A PHA seeking to undertake new construction must receive written approval from HUD of any site selection subject to front-end review prior to entering into any construction contract for that new construction.

B) Analysis of Areas of Minority Concentration

This Section sets forth the methodology that HUD will use in the analysis of the extent of minority concentration, the area of the site, and the housing market area for purposes of the RAD front-end civil rights review. As noted below, this analysis is fact specific and PHAs may submit documentation to inform HUD's analysis in cases where there is strong evidence that an alternative methodology would be more appropriate.

- (1) For purposes of RAD, a site is considered to be in an area of minority concentration when either (i) the percentage of persons of a particular racial or ethnic minority within the area of the site is at least 20 percentage points higher than the percentage of that minority group in the housing market area as a whole or (ii) the total percentage of minority persons within the area of the site is at least 20 points higher than the total percentage of minorities in the housing market area as a whole.³⁹
- (2) For purposes of RAD, the analysis of an area of minority concentration will use census tracts to approximate the "area" of the site but the analysis may consider alternate proposed geographies instead of the census tract in instances where there is strong evidence that such geography is more appropriate. Strong evidence that an alternative geography is more appropriate includes: (i) that the site is close to the edge of the census tract, (ii) that the population of the census tract is heavily influenced by the size of the Converting Project, or (iii) that the local community

³⁹ The percentage of minorities shall be calculated by subtracting the percentage of White Non-Hispanic persons in the relevant area from 100%. The analysis shall be based on the most recently available decennial census data found at http://factfinder.census.gov/faces/tableservices/jsf/pages/productview.xhtml?pid=DEC_10_DP_DPDP1&src=pt. However, if such data is more than five years old, and if either the PHA or HUD requests the use of more recent data based on such party's awareness of significant and material shifts in the demographics of the relevant area in the intervening years, the analysis shall be based on the most recent American Communities Survey data.

understanding of the immediate neighborhood dictates a different boundary. Local community understanding of the immediate neighborhood is often informed by factors such as patterns of housing stock (such as different residential densities in different areas or differential housing prices for similar properties), community facilities and amenities (such as schools and commercial areas) or major geographic barriers (such as rivers or interstate highways), among other factors.⁴⁰ HUD will determine the site's "area" using the best available evidence and following the legal standards set forth in applicable case law.

- (3) For purposes of the RAD analysis under this Section 5.4, a "housing market area" is the geographic region from which it is likely that residents of housing at the proposed site would be drawn for a given multifamily housing project. A housing market area generally corresponds to, as applicable: (i) the Metropolitan Statistical Area (MetroSA); (ii) the Micropolitan Statistical Area (MicroSA); or (iii) if the site is in neither a MetroSA nor a MicroSA, either (x) the county or statistically equivalent area, or (y) the PHA's service area, whichever is larger.⁴¹ The analysis may consider a larger or smaller housing market area in instances where there is strong evidence that such housing market area is more appropriate. Strong evidence that an alternative housing market area is more appropriate may include factors such as regional employment centers and commuting patterns serving such employment centers. A PHA seeking to use an alternative housing market area must consult with HUD and establish to HUD's satisfaction that the methodology for identifying and documenting the alternative housing market area is warranted and sound.

C) The Sufficient Comparable Opportunities Exception

As required by the RAD Notice and noted in Section 5.4(A), one of the exceptions under which the site and neighborhood standards permit new construction in areas of minority concentration is if sufficient, comparable housing opportunities for low-income minority families exist outside areas of minority concentration. This section clarifies HUD's procedures for assessing comparable housing opportunities and evaluating how the proposed new construction will impact the balance of housing choices within and outside areas of minority concentration. It also includes a list of the information PHAs should submit to inform HUD's assessment of relevant factors, and key considerations guiding HUD's analysis of each factor.

Under the governing PBV and PBRA requirements, units are considered comparable opportunities if they are the same household type (e.g., elderly, disabled, family, large family), tenure type (owner, renter), require approximately the same total tenant payment toward rent,

⁴⁰ For further explanation, see, e.g., *King v. Harris*, 464 F.Supp.827, 839-41 (E.D.N.Y. 1979).

⁴¹ Items (i) and (ii) are consistent with a Core Based Statistical Area as defined by the Office of Management and Budget. For reference, a Core Based Statistical Area consists of the county or counties or equivalent entities associated with at least one core (urbanized area or urban cluster) of at least 10,000 population, plus adjacent counties having a high degree of social and economic integration with the core as measured through commuting ties with the counties associated with the core.

serve the same income group, are located in the same housing market area, and are in standard condition.⁴²

It is important to note that the sufficient comparable housing opportunities exception “does not require that in every locality there be an equal number of assisted units within and outside of areas of minority concentration. Rather, application of this standard should produce a reasonable distribution of assisted units each year, that, over a period of several years, will approach an appropriate balance of housing choices within and outside areas of minority concentration. An appropriate balance in any jurisdiction must be determined in light of local conditions affecting the range of housing choices available for low-income minority families and in relation to the racial mix of the locality’s population.”⁴³

HUD will assess “the overall impact of HUD-assisted housing on the availability of housing choices for low-income minority families in and outside areas of minority concentration, and must take into account the extent to which the following factors are present, along with other factors relevant to housing choice.”⁴⁴ Under this exception, it is not sufficient for one factor to be present, nor is it required that all factors be present, as the analysis must consider all relevant facts and evaluate the totality of the circumstances.

- “A significant number of assisted housing units are available outside areas of minority concentration.”⁴⁵ While HUD must consider all factors relevant to housing choice, 30% or more of deeply subsidized housing units for very low-income persons would be a significant number. To facilitate HUD’s consideration of this factor, a PHA should provide the number, occupancy type, and location of all comparable assisted units.⁴⁶
- “There is significant integration of assisted housing projects constructed or rehabilitated in the past 10 years, relative to the racial mix of the eligible population.”⁴⁷ To facilitate HUD’s consideration of this factor, a PHA should provide the name and location of assisted housing projects constructed or rehabilitated in the PHA’s jurisdiction in the past 10 years and the demographic characteristics of the residents of each of these projects;
- “There are racially integrated neighborhoods in the locality.”⁴⁸ To facilitate HUD’s consideration of this factor, a PHA should provide the name and census tracts where these racially integrated neighborhoods are located. In general, HUD will consider a neighborhood racially integrated if the neighborhood does not have a high concentration of persons of a particular race or ethnicity when compared to the housing market area in which the neighborhood is located.

⁴² See 24 C.F.R. § 983.57(e)(3)(iv) and Appendix III of the RAD Notice, paragraph (e)(1)(A).

⁴³ 24 C.F.R. § 983.57(e)(3)(iii); *see also* Appendix III of the RAD Notice, paragraph (e)(1).

⁴⁴ 24 C.F.R. § 983.57(e)(3)(v); *see also* Appendix III of the RAD Notice, paragraph (e)(1)(B).

⁴⁵ 24 C.F.R. § 983.57(e)(3)(v)(A) and Appendix III of the RAD Notice, paragraph (e)(1)(B)(i).

⁴⁶ Note that this factor is in reference to comparable assisted units that may or may not be in the PHA’s portfolio. The presumption stated at the end of this Section (i.e., that sufficient comparable opportunities exist if at least 50% of the comparable hard units in the PHA’s portfolio, including PBV developments using the PHA’s subsidy, are outside areas of minority concentration) is focused on units within the PHA’s portfolio.

⁴⁷ 24 C.F.R. § 983.57(e)(3)(v)(B) and Appendix III of the RAD Notice, paragraph (e)(1)(B)(ii).

⁴⁸ 24 C.F.R. § 983.57(e)(3)(v)(C) and Appendix III of the RAD Notice, paragraph (e)(1)(B)(iii).

- “Programs are operated by the locality to assist minority families that wish to find housing outside areas of minority concentration.”⁴⁹ Such programs may include measures such as increasing payment standards in excess of 110% of FMR or the use of Small Area FMRs, including in setting exception rents, or reservation of a percentage of HCVs dedicated to support choice mobility selections or implementation of proven mobility counseling and supports for residents, provided the PHA provides sufficient evidence that it will continue such measures. To facilitate HUD’s consideration of this factor, a PHA should provide the names of the applicable program(s); the entity responsible for implementing the program(s) (e.g., city, county, state government); and any information demonstrating that the program(s) has been successful or predictably will achieve success in assisting persons who wish to move to non-concentrated areas.
- “Minority families have benefited from local activities (e.g., acquisition and write-down of sites, tax relief programs for homeowners, acquisitions of units for use as assisted housing units) undertaken to expand choice for minority families outside of areas of minority concentration.”⁵⁰ To facilitate HUD’s consideration of this factor, a PHA should provide the names of the applicable activity(s); the entity responsible for implementing the activity(s) (e.g., city, county, state government); and any information demonstrating that the activity(s) has been successful in expanding choice for minority families outside of areas of minority concentration;
- “A significant proportion of minority households has been successful in finding units in non-minority areas under the tenant-based assistance programs” (e.g., the Housing Choice Voucher programs).⁵¹ To facilitate HUD’s consideration of this factor, a PHA should provide the number of minority households receiving Housing Choice Vouchers; the number of minority households using HCVs in non-minority areas; and the non-minority census tracts where the HCVs are being used. While each local situation is distinct and HUD must consider all factors relevant to housing choice, 30% or more of new leases signed by minority heads of household using HCVs located in non-minority areas over a period greater than three years prior to the date of HUD’s analysis would be a significant proportion.
- “Comparable housing opportunities have been made available outside areas of minority concentration through other programs.”⁵² To facilitate HUD’s consideration of this factor, a PHA should describe the opportunities that have been made available, the location of those opportunities, and the number of minority families that have benefitted from the program in recent years. Such programs could include choice mobility strategies, acquisition strategies to acquire and add to the PHA’s portfolio existing apartments in high opportunity areas and transfers of assistance to high opportunity areas.

HUD may consider evidence based on a reliable housing market analysis in evaluating the foregoing factors, along with other factors relevant to housing choice. In the event HUD

⁴⁹ 24 C.F.R. § 983.57(e)(3)(v)(D); *see also* Appendix III of the RAD Notice, paragraph (e)(1)(B)(iv).

⁵⁰ 24 C.F.R. § 983.57(e)(3)(v)(E); *see also* Appendix III of the RAD Notice, paragraph (e)(1)(B)(v).

⁵¹ 24 C.F.R. § 983.57(e)(3)(v)(F); *see also* Appendix III of the RAD Notice, paragraph (e)(1)(B)(vi).

⁵² 24 C.F.R. § 983.57(e)(3)(v)(G) and Appendix III of the RAD Notice, paragraph (e)(1)(B)(vii).

determines such an analysis would assist in this evaluation, HUD will consult with appropriate parties to establish or accept an appropriate methodology for such an analysis to address HUD's civil rights concerns and to ensure appropriate independence between the analyst and the PHA or Project Owner commissioning and paying for the study.

Absent information to the contrary, for purposes of HUD's front-end review of the PHA's analysis, HUD will apply a presumption that sufficient comparable opportunities exist if at least 50% of the comparable hard units in the PHA's portfolio, including PBV developments using the PHA's subsidy, are outside areas of minority concentration.⁵³ The PHA's portfolio includes all public housing, PBV and PBRA hard units (including those developed under HOPE VI or Choice Neighborhoods) controlled by the PHA and its instrumentalities or funded using PHA-controlled subsidy. Upon adequate documentation of this presumption, the PHA need not provide additional documentation for HUD's front-end review of the sufficient comparable opportunities exception. This presumption may be rebutted by information to the contrary, including information regarding the preceding factors. In assessing whether sufficient comparable opportunities exist when the presumption does not apply, HUD will consider the factors listed above.

Absent information to the contrary, for purposes of HUD's front-end review of the PHA's analysis, HUD will apply a presumption that sufficient comparable opportunities exist if a set of RAD conversions from a single public housing property, individually or in a combination of transactions, will result in the creation of as many similarly-affordable housing units outside areas of minority concentration as are constructed on the original public housing site. To evaluate the creation of similarly-affordable units, HUD will compare (i) the number of affordable units that will be redeveloped on site, to (ii) the number of similarly-affordable housing units that will be created through new construction, imposition of new long-term affordability restrictions or transfer of RAD assistance to one or more sites outside areas of minority concentration.⁵⁴ Similarly-affordable shall mean RAD units compared to RAD units and LIHTC/non-RAD units compared to LIHTC/non-RAD units. The newly created similarly-affordable units must be owned, controlled, sponsored, under common ownership, control or sponsorship, or financially supported by the PHA or by an entity with a managing ownership interest in the Project Owner. When a PHA seeks to claim this exception, HUD prefers that the transaction creating the similarly-affordable units on the site outside areas of minority concentration close (with an immediate or delayed HAP effective date, if applicable) prior to the closing of the RAD conversion in the area of minority concentration. However, if the PHA determines that such a sequence is not reasonably possible, unless otherwise approved by HUD the PHA must provide evidence to HUD that the transfer of assistance to a site outside areas of

⁵³ When determining the percentage of units outside of areas of minority concentration, the PHA must include the number of units planned at the proposed site in its calculations. While not required, PHAs or Project Owners may assist HUD in consideration of this presumption by submitting to HUD a map produced by the Affirmatively Furthering Fair Housing Data and Mapping Tool ("AFFH-T"), as may be available on the HUD website from time to time, showing the location of publicly assisted housing.

⁵⁴ For example, if the PHA proposes to build 25 RAD units, 20 non-RAD LIHTC units and 15 unrestricted units on-site, such a plan could be acceptable if paired with creation of 15 RAD units at one site and 10 RAD units plus 20 non-RAD LIHTC units at a second site. The 15 unrestricted units in the minority concentrated area are not part of the analysis as they are not affordable units.

minority concentration is highly likely to occur and the PHA must contractually agree with HUD to create such units. Evidence that the transfer is highly likely to occur must include:

- The project name and property address of the site of the similarly-affordable units to be created,
- The census tract and data to confirm that it is not in an area of minority concentration,
- Evidence of site control,
- Evidence of zoning to permit construction of the similarly-affordable units if the affordable units are to be created through new construction,
- A reasonable and feasible sources and uses statement for the transaction, and
- Evidence of financing commitments exceeding 90% of the necessary sources to complete the transaction. Evidence of financing commitments must include an LIHTC allocation if the use of LIHTCs is projected.

D) The Overriding Housing Needs Exception

As noted in Section 5.4(A), the second exception under which the site and neighborhood standards permit new construction in areas of minority concentration is if the project is necessary to meet overriding housing needs that cannot be met in that housing market area. The new construction site selection standards under RAD⁵⁵ outline two examples of circumstances, consistent with fair housing and other civil rights objectives, that would permit the application of the overriding housing needs exception: (1) when the site is “an integral part of an overall local strategy for the preservation or restoration of the immediate neighborhood;” or (2) when the site is “located in a neighborhood experiencing significant private investment that is demonstrably improving the economic character of the area (a “revitalizing area”).”⁵⁶

(1) Establishing that a Site is an Integral Part of an Overall Local Strategy for the Preservation or Restoration of the Immediate Neighborhood

To establish that a site is an integral part of an overall local strategy for the preservation or restoration of the immediate neighborhood, a PHA must document that the locality has a demonstrated commitment to revitalization that includes or is in addition to the RAD conversion, as demonstrated by the following:

- i. The site is located in a defined geographic area that is the subject of an official, currently operational and realistically achievable plan for the improvement or revitalization of the immediate neighborhood (which plan may include areas beyond the immediate neighborhood); and
- ii. The Covered Project conforms to, and the site is integral to, the goals, strategies, and objectives of the improvement or revitalization plan.

⁵⁵ See 24 C.F.R. § 983.57(e)(2) for PBV transactions and paragraph (e) of Appendix III of the RAD Notice for PBRA transactions.

⁵⁶ 24 C.F.R. § 983.57(e)(3)(vi); see also Appendix III of the RAD Notice, paragraph (e)(1)(B)(viii)(2). In demonstrating an overriding housing need, the “neighborhood” is determined in each situation based on the overall facts and circumstances and cannot be mechanically determined. The “immediate neighborhood” is generally a smaller geographic area than the “neighborhood.”

In determining whether such an official, currently operational and realistically achievable plan for the improvement or revitalization of the area exists, HUD will consider relevant factors including, for example, whether:

- The strategy itself, or a plan supporting the strategy, has been enacted, adopted, or ratified by a municipal, county, or state legislative body;
- There has been progress to implement the plan, or the strategy as a whole.⁵⁷
- The plan or strategy as a whole, or the elements applicable to the Covered Project, are consistent with the jurisdiction's land use or zoning code, development regulations, or other official body of laws or rules;
- Strategies or activities under the plan are incorporated in current public, quasi-public agency or major institutional work plans;
- The plan, or the strategy as a whole, includes objectives and initiatives related to the preservation or restoration of a geography larger than the Converting Project and any associated public housing site;
- A jurisdiction has published solicitations or incentives for development projects in the improvement or revitalization area;
- The plan is incorporated in the applicable jurisdiction's Consolidated Plan or other comprehensive community development plan;
- A jurisdiction has explicitly designated the geographic area for improvement or revitalization (e.g., Business Improvement District; Enterprise Zone designation; Promise Zone designation; Choice Neighborhoods designation);
- An implementing agency has retained a construction firm to break ground on the improvement or revitalization; and/or
- An implementing agency has secured financing, such as the issuance of bonds or final approval for tax increment financing.

(2) Establishing that the Site is Located in a "Revitalizing Area"

Evidence that the site is located in a revitalizing area experiencing significant private investment that is demonstrably improving the economic character of the area is also an example of a site which meets an overriding housing need. HUD will consider all relevant factors in making a determination that the site is located in a "revitalizing area" but in particular will consider whether:

- i. The neighborhood has demonstrated signs of revitalization, through indicators such as low or declining census tract poverty rates, low or declining violent crime rates or evidence of high or increased educational opportunity, high or increasing median

⁵⁷ Indicators of progress should be appropriate to the amount of time since the plan or strategy was developed and there must be a reasonable, supportable expectation that the plan will continue to be implemented. For example, if a plan was launched 3-4 years prior and the initial steps of the plan required implementation of an initiative (such as real estate development) which has a long pre-development planning period, HUD may consider whether there has been activity to seek land development approvals or to develop construction drawings or to secure funding commitments or other activities providing evidence that one or more material elements of the plan or strategy are actually being implemented.

- household income, high or increasing homeownership rates and/or high or increased employment; and
- ii. There is high private and public investment in retail, commercial, or housing development that has occurred or will imminently occur in the area which may include, among other considerations:
- Evidence of new or improved retail centers, grocery stores, pharmacies, healthcare facilities, community centers, educational and recreational facilities, municipal services, and transportation serving the neighborhood;
 - Evidence of private and public investment or housing development that has occurred or will imminently occur in the area;
 - Evidence of economic conditions that are impacting the preservation of affordable housing in the neighborhood, including indicators of gentrification such as housing costs rising more sharply in the neighborhood than in the jurisdiction overall, accelerated rates of homeownership in the neighborhood, and disproportionate depletion of larger dwellings for families with children.

(3) Circumstances in Which an Overriding Housing Needs Exception Does Not Apply

A PHA cannot establish that a site meets the overriding housing needs exception if the only reason the need cannot otherwise be feasibly met is that discrimination on the basis of race, color, religion, sex, national origin, age, familial status, or disability renders sites outside areas of minority concentration unavailable or if the use of this standard in recent years has had the effect of circumventing the obligation to provide housing choice.⁵⁸ For example, the overriding housing needs exception may not be applied if the reason that the project cannot be sited outside of an area of minority concentration is due to community opposition to the project based on the actual or perceived protected characteristics of the residents or prospective residents of the project. In addition, a recipient may not exclusively rely on this exception as a means of siting projects without creating housing opportunities outside of areas of minority concentration or without preserving existing housing outside of areas of minority concentration.

5.5. Front-End Civil Rights Review for RAD Transactions Involving Transfer of Assistance

A) Applicable Standards

Transfers of assistance are subject to the site selection standards for existing or rehabilitated housing set forth in 24 C.F.R. § 983.57(a)-(d), with the exception of 24 C.F.R. § 983.57(b)(1) and (c)(2), for PBV conversions and Appendix III of the RAD Notice for PBRA conversions. All transfers of assistance to a new site(s) are subject to front-end review by HUD, as required by the RAD Notice and noted in Section 5.3(A)(2) of this Notice. Conversions involving a transfer of assistance may also involve one or more of the other activities which trigger front-end review as described in Section 5.3(A). In transfers of assistance involving any of these activities, HUD

⁵⁸ 24 C.F.R. § 983.57(e)(3)(vi) and Appendix III of the RAD Notice, paragraph (e)(2). The PBRA site and neighborhood standards use the phrase “on the basis of race, color, creed, sex or national origin.” See Appendix III of the RAD Notice.

will conduct a front-end review based on the requirements applicable to each activity. A PHA must submit documentation for the front-end civil rights review of each specific activity as required by the relevant sections of this Notice.

B) Analysis of Transfers of Assistance

Through the front-end review of transfers of assistance by FHEO, HUD seeks to assist the PHA in avoiding discrimination on the basis of race, color, national origin, religion, sex, disability or familial status. The front-end review of transfers of assistance will apply the site selection standards for existing/rehabilitated housing.⁵⁹ This review shall consider:

- (1) The accessibility of the proposed site for persons with disabilities;
- (2) The ability of the RAD conversion to remediate accessibility concerns;
- (3) Whether the transfer of assistance would result in assisted units being located in an area where the total percentage of minority persons is significantly higher than the total percentage of minority persons in the area of the original public housing site or in an area where the percentage of persons of a particular racial or ethnic minority is significantly higher than the percentage of that minority group in the area of the original public housing site.⁶⁰ For purposes of this analysis, HUD will examine the minority concentration of:
 - (a) the census tract of the original public housing site compared to the census tract of the proposed site; and
 - (b) an area comprised of the census tract of the original public housing site together with all adjacent census tracts compared to an area comprised of the census tract of the proposed site together with all adjacent census tracts.
- (4) Whether the site selection has the purpose or effect of:
 - (a) Excluding individuals from, denying them the benefits of, or subjecting them to discrimination under the RAD program or the applicable rental assistance program;
 - (b) Excluding qualified individuals with disabilities from or denying them the benefit of the RAD program or the applicable rental assistance program, or otherwise subjecting them to discrimination;
 - (c) Defeating or substantially impairing the accomplishment of the objectives of the RAD program or the applicable rental assistance program with respect to qualified individuals with disabilities; and

⁵⁹ 24 C.F.R. § 983.57(d) and Appendix III of the RAD Notice, paragraphs (a) through (d). The site selection standards for existing/rehabilitated housing do not apply the minority concentration test used for new construction found at 24 C.F.R. § 983.57(e)(3) and Appendix III of the RAD Notice, paragraph (e).

⁶⁰ While this review is not explicitly called out in 24 C.F.R. § 983.57(d) and Appendix III of the RAD Notice, it is derived from HUD's and the PHA's obligations to comply with civil rights laws and regulations, including those referenced in 24 C.F.R. § 983.57(b)(2) and Appendix III of the RAD Notice.

- (d) Excluding individuals with disabilities (including members of the public with disabilities), denying them benefits or subjecting them to discrimination.

Under the RAD Notice, there are other standards for review of a transfer of assistance which are not examined as part of the front-end civil rights review but are examined as part of the RAD Financing Plan review (e.g., criteria formulated for transfers under Section 8(bb) of the United States Housing Act of 1937 regarding neighborhoods with highly concentrated poverty). Identification of considerations for the front-end review do not preclude review by HUD of all standards referenced in the RAD Notice.

5.6. Front-End Civil Rights Review for RAD Transactions Involving Reduction in Number of Units, Changes in Bedroom Distribution of Units and Changes in Occupancy Requirements

The RAD Notice allows PHAs to reduce the number of units, change the bedroom distribution of units, or change the occupancy of projects as part of their RAD conversion.⁶¹ However, the RAD Notice also provides that such changes (including de minimis changes) must undergo a front-end civil rights review and receive approval from HUD prior to submission of the Financing Plan. The Checklist will require data for review along with an explanation, backed by sufficient evidence, of how the PHA determined that the proposed change will not result in discrimination on the basis of race, color, national origin, religion, sex, disability, familial status, actual or perceived sexual orientation, gender identity or marital status.⁶²

A) Review of Reductions in the Number of Units, Reductions or Increases in the Number of UFAS Accessible Units or Changes in Bedroom Distribution

This Section describes the considerations relevant to a front-end review of reductions in units, changes in the number of UFAS accessible units or changes in bedroom distribution. Such changes must not be the result of an intentional effort to discriminate against members of a protected class. For example, reductions or changes, including reductions in UFAS accessible units or which would impede residents with disabilities from having live-in aides, that intended to exclude persons with disabilities would be unlawful discrimination because of a disability.

⁶¹ See Sections 1.4.A.4 and 1.4.A.10 of the RAD Notice.

⁶² Reductions in the number of units, changes in the bedroom distribution of units, or changes in occupancy violate the Fair Housing Act (the Act) if they have a discriminatory effect on the basis of race, color, national origin, religion, sex, disability, or familial status. Unlawful housing discrimination may be established by a policy's or practice's discriminatory intent or by its discriminatory effect, even if not motivated by discriminatory intent, consistent with the standards outlined in 24 C.F.R. § 100.500. A policy or practice can have an unjustified discriminatory effect, even when the provider had no intent to discriminate. Under this standard, a facially-neutral policy or practice that has a discriminatory effect violates the Act if it is not supported by a legally sufficient justification. In addition, the policy or practice violates the Act if the housing developer or provider intentionally discriminates, including for example, by reducing the number of bedrooms with the intent of limiting families with children. Furthermore, the policy or practice may also violate the Act where it creates, increases, reinforces, or perpetuates segregated housing patterns because of race, color, religion, sex, handicap, familial status, or national origin. In addition, any changes must conform with the Equal Access rule requirement that determinations of eligibility for housing that is assisted by HUD or subject to a mortgage insured by the FHA shall be made in accordance with program eligibility requirements, and the housing must be made available, without regard to actual or perceived sexual orientation, gender identity or marital status. 24 C.F.R. § 5.105(a)(2).

Similarly, replacing larger units with smaller units so as to exclude families with children would be unlawful discrimination because of familial status.

Additionally, reductions in units or changes in bedroom distribution must not have an unjustified discriminatory effect on members of a protected class. For example, a reduction in units could have a discriminatory impact if it excludes members of a particular race or religion. Reductions or changes that have a disparate impact on a protected class are unlawful under the Fair Housing Act if they are not necessary to achieve a substantial, legitimate, nondiscriminatory interest of the developer or housing provider, or if such interest could be served by another practice that has a less discriminatory effect.

The RAD Notice allows for a de minimis reduction in units at Converting Projects, which includes both a small number of units as well as the reduction of certain units that have been vacant for 24 months prior to application, that are being or will be used for social service delivery, or efficiencies that will be reconfigured to one-bedroom units.⁶³ In addition, a PHA converting multiple properties can consolidate the de minimis reductions derived from multiple properties at a small number of sites. The RAD Notice also allows for changes in bedroom distribution. Such de minimis reductions are still subject to front end civil rights review and applicable fair housing and civil rights laws.

HUD shall conduct a front-end civil rights review if the plan for a Converting Project results in:

- A reduction in the number of dwelling units in any of the following categories: (i) units with two bedrooms, (ii) units with three bedrooms or (iii) units with four or more bedrooms.
- A reduction in the number of UFAS accessible units;
- An increase in the number of UFAS accessible units for persons with mobility impairments beyond 10% of the units in the Covered Project or 1 unit, whichever is greater.
- An increase in the number of UFAS accessible units for persons with vision and hearing impairments beyond 4% of the units in the Covered Project or 1 unit, whichever is greater.

When a Converting Project is subject to a front-end civil rights review under this subsection, the PHA shall submit to HUD the relevant part of the Checklist together with a justification which must demonstrate that the changes are not the result of discriminatory intent and will not have a discriminatory effect on members of protected classes, particularly families with children and individuals with disabilities. Relevant data for this analysis of the proposed change at the project may include the PHA's overall affordable housing stock, the demand for affordable housing in the market as evidenced by information such as the overall jurisdiction and regional demographic data available from the AFFH Data and Mapping Tool (e.g., both basic demographic and disproportionate housing needs data), the PHA's waiting list or a reliable market study of households seeking assisted housing, compared to the relative proportions of

⁶³ See Section 1.4.A.4 of the RAD Notice.

units serving any particular household type in the proposed project, the PHA's total housing stock or all assisted housing in the area.

For any increase in UFAS units subject to front-end review, HUD will assess indicators of local need (see Section 5.7(B), below) and whether the change would operate to concentrate individuals with disabilities in a particular property or to exclude individuals with certain types of disabilities from a particular property.

B) Review of Changes in Occupancy Type

RAD conversions that result in the implementation of an admissions preference (e.g., residency preferences or restrictions) at the Covered Project that would alter the occupancy of the property (e.g., family units converting to elderly units, elderly/disabled units converting to elderly only units) are subject to a front-end civil rights review by HUD pursuant to the RAD Notice and Section 5.3(A). A PHA must demonstrate that the proposed change in occupancy type is consistent with the demand for affordable housing in its jurisdiction as demonstrated by factors such as the demographics of its current occupancy, the demographics of its waiting list or a market study. Such preferences, restrictions, or geographic residency preferences must be reflected in a PBRA project's Affirmative Fair Housing Marketing Plan (AFHMP) or, for a PBV project, the PHA's Administrative Plan.

5.7. Other Front-End Civil Rights Review for RAD Transactions

A) Conversions of Assistance in Which the Construction Schedule Indicates that Relocation is Likely to Exceed 12 Months.

The front end civil rights review shall focus on whether the relocation will result in discrimination on the basis of race, color, national origin, religion, sex, disability, and familial status, based primarily, but not exclusively, on the data required in the Checklist.

B) Conversions of Assistance Involving New Construction or Substantial Alteration, as those terms are defined by Section 504.

While the PHA is responsible for compliance with all requirements described in Section 4, above and in this subsection, the front-end review will be conducted based on a review of the Checklist and shall include confirming the provision of any required accessible units and confirming the PHA is applying the appropriate accessibility standards. HUD will require the PHA to provide information regarding the provision of at least the minimum number of units accessible for persons with mobility impairments and units accessible for persons with hearing and vision impairments as required by applicable law (generally 5% of units accessible for persons with mobility impairments and an additional 2% of units accessible for persons with hearing and vision impairments). For purposes of establishing an upper threshold of accessible units below which RAD front-end review will not be required, HUD will accept that up to 10% of units accessible for persons with mobility impairments and up to 4% of units accessible for persons with hearing and vision impairments is consistent with local need, without further review, absent information to the contrary. HUD will consider a PHA's request for higher percentages based, to HUD's satisfaction, on reliable indicators of local need, such as census data or other available current data. HUD is available to assist PHAs in determining appropriate indicators of local

need for units with accessible features. The RAD conversion scope of work submitted with the Financing Plan must reflect the construction or retrofitting of residential units and public and common use areas to comply with all applicable accessibility requirements.

C) Remedial Agreements and Orders.

Front-end review in situations where the Converting Project or PHA is subject to enforcement actions or binding voluntary compliance agreements, settlement agreements, conciliation agreements, or consent decrees or orders of the nature described in Sections 5.3(A)(8) and 5.3(A)(9) shall be conducted on a case-by-case basis as appropriate to the specific situation.

5.8. Affirmative Fair Housing Marketing Plan (AFHMP) Requirements for Projects Converting to PBRA Assistance

For all projects converting to PBRA assistance, a PHA or Project Owner must complete form HUD-935.2A, the Affirmative Fair Housing Marketing Plan (AFHMP) - Multifamily Housing, and submit it to HUD for approval with the RAD Financing Plan.⁶⁴ Affirmative Fair Housing Marketing requirements are designed to achieve a condition in which individuals of similar income levels in the same housing market area have similar housing choices available to them regardless of their race, color, national origin, religion, sex, disability, or familial status.⁶⁵ They are also a means to carry out the mandate of Section 808(e)(5) of the Fair Housing Act that HUD administer its programs and activities in a manner to affirmatively further fair housing. These requirements mandate that PHAs or Project Owners identify groups that are least likely to apply for upcoming housing opportunities and to implement special marketing and outreach activities to ensure that these groups are aware of these opportunities.

The AFHMP must be submitted to HUD with the Financing Plan. A separate AFHMP is required for each distinct PBRA HAP contract. The PHA must submit an AFHMP even if the project has an existing waiting list and is not accepting new applicants. The PHA or Project Owner should consult the instructions in the form HUD 935.2A and HUD's Implementing Affirmative Fair Housing Marketing Requirements Handbook (HUD Handbook 8025.1) for guidance on completing the AFHMP and carrying out an affirmative marketing program. The Handbook provides a detailed resource on the content of the AFHMP, which includes marketing activities, residency preferences, and staff training.

When submitting an AFHMP for HUD approval, the PHA or Project Owner must ensure that the occupancy designation and any residency preferences are consistent with the PHA Plan or Significant Amendment to the PHA Plan, that such designation and preferences are consistent with the Checklist submitted to HUD and that the AFHMP includes affirmative marketing

⁶⁴ The most recent version of the AFHMP is HUD Form 935.2A, OMB Approval Number 2529-0013. *See* 24 C.F.R. § 880.601(a)(2) and 24 C.F.R. § 200.615; *see also* Section 10.8 of the Multifamily Accelerated Processing (MAP) Guide. The PHA or its management agent should consult the instructions in the form HUD 935.2A and HUD's Implementing Affirmative Fair Housing Marketing Requirements Handbook (HUD Handbook 8025.1) for guidance on completing the AFHMP and carrying out an affirmative marketing program. The Handbook provides a detailed resource on the content of the AFHMP, which includes marketing activities, residency preferences, and staff training.

⁶⁵ *See* 24 C.F.R. § 200.610.

activities that are consistent with its occupancy designation and the populations identified as least likely to apply. Any subsequent changes to occupancy designation or residency preferences shall be proposed, submitted and reviewed in accordance with standard PBRA requirements. If a PHA or Project Owner plans to adopt any local or residency preferences, the Project Owner must submit its Tenant Selection Plan along with the AFHMP (see HUD Handbook 4350.3, page 4-4).

The Multifamily Housing Office of Asset Management and Portfolio Oversight and the Office of Fair Housing and Equal Opportunity (“FHEO”) review the AFHMP. FHEO issues HUD’s official letter of approval or disapproval. Disapproval letters will specify the reason a plan was rejected and the revisions required. The PHA or Project Owner must make the required changes and resubmit a corrected plan to HUD for approval.

The PBRA contract becomes effective on the first day of a month, following closing. Approval of the AFHMP is not a condition to closing of the RAD conversion. When the project is preparing to accept applications, it must follow its approved AFHMP to ensure that groups least likely to apply are aware of the housing opportunities. The Project Owner is responsible for ensuring that the AFHMP is in place throughout the life of any FHA mortgage or PBRA contract. The Project Owner may not market or lease any unit not occupied by a household exercising its right to remain in or return to the Covered Project prior to approval of the AFHMP. Marketing or leasing includes the solicitation, distribution or acceptance of applications or development of a waiting list.

SECTION 6. RELOCATION REQUIREMENTS

In some cases, as explained in this Section, the activities associated with the RAD transaction may require the relocation of residents. In the event of acquisition, demolition, construction or rehabilitation activities performed in connection with a RAD conversion, the PHA and/or Project Owner⁶⁶ should plan such activities to reasonably minimize any disruption to residents’ lives, to ensure that residents are not exposed to unsafe living conditions and to comply with applicable relocation, fair housing and civil rights requirements. As discussed in Section 6.1, below, a written relocation plan is required in some circumstances and strongly encouraged for any conversion resulting in resident moves or relocation. Further, the obligations due to relocating residents under RAD are broader than URA relocation assistance and payments and RAD specifies requirements which are more protective of residents than standard URA requirements, including additional notices (see Section 6.6) and a right to return (see Section 6.2). This Notice requires that certain information be provided to all households, beginning prior to submission of the RAD application.

Any resident who moves as a direct result of acquisition, rehabilitation or demolition for an activity or series of activities associated with a RAD conversion may, depending on the circumstances and length of time of the relocation, be eligible for relocation assistance and payments under the URA. Additionally, Section 104(d) relocation and one-for-one replacement

⁶⁶ Under the URA, the term “displacing agency” refers to 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, the displacing agency may be either the PHA or the Project Owner, as determined by the allocation of roles and responsibilities between the PHA and Project Owner.

housing requirements may also apply when CDBG- or HOME-funds are used in connection with a RAD conversion. The applicability of the URA or Section 104(d) to RAD conversions is fact-specific, which must be determined in accordance with the applicable URA and Section 104(d) regulations.⁶⁷

Eligibility for specific protections under this Notice applies to any person residing in a Converting Project who is legally on the public housing lease, has submitted an application to be added to an existing lease, or is otherwise in lawful occupancy at the time of the issuance of the CHAP and at any time thereafter until conversion of assistance under RAD. All such residents of a Converting Project have a right to return and are eligible for relocation protections and assistance as provided by this Notice. The eligibility criteria set forth in this paragraph apply to the protections under this Notice regardless of whether residents or household members meet the statutory and regulatory requirements for eligibility under URA.⁶⁸

6.1. Planning

If there is a possibility that residents will be relocated as a result of acquisition, demolition, or rehabilitation for a Converting Project, PHAs must undertake a planning process in conformance with the URA statutory and regulatory requirements in order to minimize the adverse impact of relocation (*see* 49 § C.F.R. 24.205). PHAs must also ensure that their relocation planning is conducted in compliance with applicable fair housing and civil rights requirements.

The PHA shall prepare a written relocation plan if the RAD conversion involves permanent relocation (including, without limitation, a move in connection with a transfer of assistance) or temporary relocation anticipated to last longer than one year. While a written relocation plan is not required for temporary relocation lasting one year or less, HUD strongly encourages PHAs, in consultation with any applicable Project Owners, to prepare a written relocation plan for all RAD conversions to establish their relocation process clearly and in sufficient detail to permit consistent implementation of the relocation process and accurate communication to the residents. Appendix II contains recommended elements of a relocation plan.

During the planning stages of a RAD transaction and based on the results of this planning process, a PHA must submit applicable portions of the Checklist described in Section 5.3(B) to HUD, together with any required backup documentation, as early as possible once the information covered in the applicable part is known.⁶⁹ All parts of the Checklist must be submitted to HUD prior to submission of the Financing Plan. The Checklist will allow HUD to assist the PHA to comply, and to evaluate the PHA's compliance, with relocation requirements, including civil rights requirements related to relocation.

⁶⁷ 42 U.S.C. § 4601 *et seq.*, 42 U.S.C. § 5304(d), and their implementing regulations at 49 C.F.R Part 24 and 24 C.F.R. Part 42 subpart C.

⁶⁸ A nonexclusive listing of persons who do not qualify as displaced persons under URA is at 49 C.F.R. 24.2(a)(9)(ii). See also, Paragraph 1-4(J) of HUD Handbook 1378. See Section 6.5 of this Notice for discussion of the date of "initiation of negotiations."

⁶⁹ The Checklist refers to the existing FHEO Accessibility and Relocation Checklist until a revised Checklist is approved for use pursuant to the Paperwork Reduction Act.

The following presents a general sequencing of relocation planning activities within the RAD conversion process for informational and planning purposes only. Specific requirements are set forth in the provisions of this Notice.

Stage	Activities
1. Prior to submission of RAD application	<ul style="list-style-type: none"> • Determine potential need for relocation in connection with proposed conversion plans. • Meet with residents to discuss proposed conversion plans, communicate right to return, and solicit feedback. • Provide the <i>RAD Information Notice</i> (RIN) to residents as described in Section 6.6(A) of this Notice.
2. After submission of RAD application	<ul style="list-style-type: none"> • Assess the need for relocation planning in connection with proposed conversion plans. Determine if technical assistance would be beneficial to ensuring compliance with relocation requirements. • Survey residents to inform relocation planning and relocation process. • Develop a relocation plan (see Appendix II for recommended content). • Prepare Significant Amendment to PHA Plan and engage with the Resident Advisory Board, residents and the public regarding Plan amendment.⁷⁰
3. Following issuance of the CHAP, or earlier if warranted	<ul style="list-style-type: none"> • Provide the <i>General Information Notice</i> (GIN) to residents when the project involves acquisition, rehabilitation, or demolition as described in Section 6.6(B) of this Notice and relocation may be required.
4. While preparing Financing Plan	<ul style="list-style-type: none"> • Discuss the outlines of the conversion plans and their impact on relocation with the HUD transaction manager. • Refine the plan for relocation and integrate the construction schedule into the relocation strategy; seek to minimize off-site or disruptive relocation activities. • Identify relocation housing options . • Budget for relocation expenses and for compliance with accessibility requirements. • Submit the Checklist and, where applicable, the relocation plan. • If the conversion involves acquisition, at the discretion of the Project Owner issue Notice of Intent to Acquire (NOIA). • If a NOIA is issued, at the discretion of the Project Owner provide residents with appropriate relocation notices as

⁷⁰ Alternatively, the PHA may submit a new PHA Five-Year or Annual Plan, especially if it is on schedule to do so. Under any scenario, the PHA must consult with the Resident Advisory Board and undertake the community participation process.

Stage	Activities
	described in Section 6.6(C) through 6.6(E) of this Notice at this time.
5. From RAD Conversion Commitment (RCC) to Closing	<ul style="list-style-type: none"> • Meet with residents to describe approved conversion plans and discuss required relocation. • The effective date of the RCC marks the date of “Initiation of Negotiations” (ION), as defined in the URA (49 § C.F.R. 24.2(a)(15)). • If no NOIA was provided while preparing the Financing Plan, provide residents with appropriate relocation notices as described in Section 6.6(C) through 6.6(E) of this Notice. • Resident relocation may begin following the effective date of the RCC, subject to applicable notice requirements.
6. Post-Closing	<ul style="list-style-type: none"> • Ongoing implementation of relocation • Notify the residents regarding return to the Covered Project as described in Section 6.6(F) of this Notice • Implementation of the residents’ right to return

6.2. Resident Right to Return

Any public housing or Section 8 assisted resident that may need to be relocated temporarily to facilitate rehabilitation or construction has a right to return to an assisted unit at the Covered Project once rehabilitation or construction is complete.⁷¹ Permanent involuntary displacement of public housing or Section 8 assisted residents may not occur as a result of a project’s conversion of assistance. The Project Owner satisfies the RAD right to return to a Covered Project if the Project Owner offers the resident household either: a) a unit in the Covered Project in which the household is not under-housed; or b) a unit in the Covered Project which provides the same major features as the resident’s unit in the Converting Project prior to the implementation of the RAD conversion. In the case of a transfer of assistance to a new site, residents of the Converting Project have the right to reside in an assisted unit meeting the requirements set forth in this paragraph at the Covered Project (the new site) once the Covered Project is ready for occupancy in accordance with applicable PBV or PBRA requirements.

If proposed plans for a Converting Project would preclude a resident from returning to the Covered Project, the resident must be given an opportunity to comment and/or object to such plans. Examples of project plans that may preclude a resident from returning to the Covered Project include, but are not limited to:

- Changes in bedroom distribution which decrease the size of units such that the resident would be under-housed;⁷²

⁷¹ The right to return is not a right to any specific unit in the Covered Project. Tenancies other than public housing or Section 8 assisted residents (such as commercial tenants) do not hold a right to return and are subject to standard relocation requirements applicable to such tenants under the URA.

⁷² See the RAD Notice for a description of the procedures that must be undertaken if a resident is over-housed.

- Where a) the PHA is reducing the number of assisted units at a property (if authorized to do so under Section 1.5.B of the RAD Notice) and b) the resident cannot be accommodated in the remaining assisted units;
- The imposition of income eligibility requirements, such as those associated with LIHTC or other program financing, under which the current resident may not be eligible;⁷³ and
- Failure to provide reasonable accommodation to an individual with disabilities, in violation of applicable law, which reasonable accommodation may include installation of accessibility features that are needed by the individual with disabilities.⁷⁴

If the resident who would be precluded from returning to the Covered Project objects to such plans, the PHA must alter the project plans to accommodate the resident's right to return to the Covered Project.

If the resident who would be precluded from returning to the Covered Project prefers to voluntarily and permanently relocate rather than object to the project plans, the PHA must secure informed, written consent to a voluntary permanent relocation in lieu of returning to the Covered Project and must otherwise comply with all the provisions of Section 6.10, below, regarding alternative housing options. The PHA cannot employ any tactics to pressure residents into relinquishing their right to return or accepting alternative housing options. A PHA may not terminate a resident's lease if the PHA fails to obtain the resident's consent and the resident seeks to exercise the right to return.

In the case of a multi-phase transaction, the resident has a right to return to the Covered Project or to other converted phases of the property which have converted and are available for occupancy at the time the resident is eligible to exercise the right to return. A relocated resident should get the benefit of improvements facilitated by the resident's relocation and conversion and completion of future phases cannot be assured. In most cases, this means that the resident's right to return must be accommodated within the Covered Project associated with resident's original unit. However, in those cases where improvements to multiple phases of a site are occurring simultaneously, the PHA or Project Owner may treat multiple Covered Projects on the same site as one for purposes of the right to return. If the PHA or Project Owner seeks to have the resident exercise the right of return at a future phase, the PHA or Project Owner would need to secure the resident's consent to such plan as an alternative housing option pursuant to Section 6.10, below.

In implementing the right of return, the Project Owner shall comply with all applicable fair housing laws and implementing regulations, including, but not limited to, the Fair Housing Act,

⁷³ In these cases, a PHA may elect to exclude some units from the applicable financing program, for example, claiming LIHTC for a subset of the units and not claiming tax credits in connection with the units occupied by households over the LIHTC maximum eligibility of 60% of AMI.

⁷⁴ Refer to the Joint Statement of the Department of Housing and Urban Development and the Department of Justice, Reasonable Modifications Under the Fair Housing Act (March 5, 2008), at http://www.hud.gov/offices/fheo/disabilities/reasonable_modifications_mar08.pdf for additional detail regarding applicable standards for reasonable accommodations and accessibility features which must be provided. If the resident has paid for installation of accessibility features in the resident's prior unit, the PHA or Project Owner shall pay for the installation of comparable features in the new unit. Violations of law may also result in other sanctions.

Title VI of the Civil Rights Act, Section 504 of the Rehabilitation Act, and Titles II and III of the Americans with Disabilities Act.

6.3. Admissions and Continued Occupancy Requirements

Resident households may not be denied relocation housing or the right to return based on rescreening, income eligibility, or income targeting. PHAs may only offer housing options with screening, income eligibility or income targeting requirements if the impacted residents meet the admission and occupancy policies applicable to such housing. However, whether or not in a temporary relocation situation, the household remains subject to the applicable program policies regarding continued occupancy of an assisted unit by an incumbent resident of the unit.

6.4. Types of Moves and Relocation

Any time project plans require a resident to move from their current unit, the resident is eligible for assistance as described in this Notice. Assistance may vary depending on the options provided to residents, whether the relocation is temporary or permanent and, if applicable, the length of time the resident is in temporary accommodations.⁷⁵ In all circumstances, the move or relocation must be in compliance with applicable requirements of this Notice and consistent with applicable fair housing and civil rights requirements. Each type of move is discussed below.

A) Moves within the same building or complex of buildings⁷⁶

Temporary or permanent moves within the same building or complex of buildings may be appropriate given the extent of work to be completed to permit phasing of rehabilitation or construction. Moves within the same building or complex of buildings are not considered relocation under RAD and a tenant generally does not become displaced under the URA. Whether permanent (i.e., the tenant will move to and remain in an alternative unit) or temporary (i.e., the tenant will move to another unit and return to their original unit), the PHA or Project Owner must reimburse residents for all reasonable out-of-pocket expenses incurred in connection with any move and all other terms and conditions of the move(s) must be reasonable.⁷⁷ The final move must be to a unit which satisfies the right to return requirements specified in Section 6.2 of this Notice.

⁷⁵ PHAs should note that the definitions of “permanent” vary between the URA and RAD. For example, “permanent displacement” under the URA includes moves from the original building or complex of buildings lasting more than one year. The RAD Notice, meanwhile, considers “permanent relocation” to be separation from the RAD-assisted unit upon completion of the conversion and any associated rehabilitation and construction. The duration of a temporary move may exceed one year. In the case of a transfer of assistance, it is not permanent relocation under RAD when the resident must move from the original complex of buildings to the destination site in order to retain occupancy of the RAD-assisted unit.

⁷⁶ An example of relocation within the same building or complex of buildings would be if one floor of a multi-story building is vacant, and the PHA is moving residents from another floor to the vacant units.

⁷⁷ Failure to reimburse residents for moving or other out-of-pocket expenses and any other terms and conditions of the move which may be unreasonable may result in the resident becoming a displaced person under the URA if the resident subsequently moves from the property.

B) Temporary relocation lasting one year or less

If a resident is required to relocate temporarily, to a unit not in the same building or complex of buildings, for a period not expected to exceed one year in connection with the RAD conversion, the resident's 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, increased housing costs (e.g., rent and utilities), meals if the temporary housing lacks cooking facilities (e.g., during a short hotel stay, whether or not on an emergency basis) and other applicable expenses.⁷⁸

C) Temporary relocation initially expected to last one year or less, but which extends beyond one year

In the event that a resident has been temporarily relocated, to a unit not in the same building or complex of buildings, for a period which was anticipated to last one year or less but the temporary relocation in fact exceeds one year, the resident qualifies as a "displaced person" under the URA and as a result immediately becomes eligible for all permanent relocation assistance and payments as a "displaced person" under the URA, including notice pursuant to Section 6.6(E). 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 or Project Owner shall offer the resident the opportunity to choose to voluntarily permanently relocate with the offered URA assistance or to choose to remain temporarily relocated based on updated information from the PHA or Project Owner about when they can return to the completed RAD unit. The PHA or Project Owner must present this opportunity to the resident when the temporary relocation extends beyond one year and each time thereafter that the temporary relocation extends beyond the previously anticipated duration. In presenting such opportunity, the PHA or Project Owner must inform the resident in writing that his or her acceptance of voluntary permanent relocation, with the associated assistance, would terminate the resident's right to return to the Covered Project. The PHA or Project Owner must provide the resident with at least 30 days to decide whether to remain in temporary relocation status or to voluntarily relocate permanently.

D) Temporary relocation anticipated to last more than one year

When the PHA anticipates that the temporary relocation, to a unit not in the same building or complex of buildings, will last more than one year, but the resident is retaining the resident's right to return to the Covered Project, the resident is considered temporarily relocated under RAD and is eligible to receive applicable temporary relocation assistance and payments. Under the URA, the resident becomes eligible to receive applicable relocation assistance and payments as a "displaced person" when the temporary relocation period exceeds one year and each time thereafter that the temporary relocation extends beyond the previously anticipated duration, at

⁷⁸ HUD Handbook 1378, Chapter 2, Section 2-7 governs activities subject to URA requirements and informs, but is not binding upon, any RAD activities not governed by the URA. PHAs may also refer to HUD Form 40030.

which time the PHA or Project Owner shall offer the resident the opportunity to choose to voluntarily permanently relocate or to remain temporarily relocated, as described in Section 6.4(C), above.

In order to allow residents to make the election earlier than required under the URA (thereby avoiding a year in temporary relocation housing prior to electing voluntary permanent relocation), if the PHA or Project Owner anticipates that temporary relocation will last more than one year, the PHA or Project Owner shall provide the resident with an initial option to (a) be temporarily relocated, retain the right to return to the Covered Project when a unit becomes available and receive assistance, including temporary housing and reimbursement for all reasonable out-of-pocket expenses associated with the temporary relocation, or (b) accept RAD voluntary permanent relocation assistance and payments equivalent to what a “displaced person” would receive under the URA. The PHA or Project Owner must inform the resident in writing that his or her acceptance of voluntary permanent relocation, with the associated assistance, would terminate the resident’s right to return to the Covered Project. The PHA or Project Owner must provide the resident with at least 30 days to decide whether to remain in temporary relocation status or to voluntarily relocate permanently.

E) Permanent moves in connection with a transfer of assistance

In cases solely involving a transfer of assistance to a new site, resident relocation from the Converting Project to the Covered Project is not, by itself, generally considered involuntary permanent relocation under RAD. However, the URA and/or Section 104(d) is likely to apply in most cases. In cases of a transfer of assistance to a new site where it has also been determined that the URA and/or Section 104(d) apply to the transfer of assistance, residents may be eligible for all permanent relocation assistance and payments for eligible displaced persons under the URA and/or Section 104(d). If the URA applies to a move of this type, the PHA or Project Owner must make available at least one, and when possible, three or more comparable replacement dwellings pursuant to 49 C.F.R. § 24.204(a). However, provided the transfer of assistance unit meets the URA definition of a comparable replacement dwelling pursuant to 49 C.F.R. § 24.2(a)(6), that unit could in fact represent the most comparable replacement dwelling as determined by the agency for purposes of calculating a replacement housing payment, if any, under 49 C.F.R. § 24.402.

Whether or not the URA and/or Section 104(d) apply, under RAD the residents are entitled to relocation assistance and payments, including counseling in preparation for the relocation, written notices of the relocation (including a 90-day RAD Notice of Relocation), and reimbursement for all reasonable out-of-pocket expenses, including moving expenses, incurred in connection with the move. It should be noted that the RAD relocation assistance and payments provided to transferring residents in this paragraph differ from those required under the URA and/or Section 104(d) as described above. Where both frameworks apply, the residents must receive the more extensive protections offered under either framework.

If HUD determines that the distance from the Converting Project to the site of the Covered Project is significant and the resident could not reasonably be required to move to the new site, then HUD will require the PHA to adjust project plans to accommodate the resident in an assisted unit (e.g., a public housing unit, some other project-based Section 8 unit or a market unit

with a housing choice voucher) within a reasonable distance of the site of the Converting Project. HUD will evaluate whether this requirement applies on a case by case basis, considering whether the distance would impose a significant burden on residents' access to existing employment, transportation options, schooling or other critical services. Accommodating the resident may also be satisfied by the resident's consent to an alternative housing option pursuant to Section 6.10. The requirement set forth in this paragraph is in addition to all protections, including, for example, the offer of comparable replacement dwellings, which are required in all instances where a transfer of assistance is subject to the URA and/or Section 104(d).

F) Voluntary permanent relocation

A resident may elect to relinquish their right of return and consent to voluntary permanent relocation pursuant to an alternative housing option offered and accepted according to the procedures described in Section 6.10, which Section specifies protections to ensure the resident's decision is fully informed. By selecting voluntary permanent relocation, the resident is electing to receive RAD permanent relocation assistance and payments which are equivalent to the relocation payments and assistance required to be provided to a "displaced person" pursuant to the regulations implementing the URA.

6.5. Initiation of Negotiations (ION) Date

Eligibility for URA relocation assistance is effective on the date of initiation of negotiations (ION) (49 C.F.R. § 24.2(a)(15)). For Converting Projects, the ION date is the effective date of the RCC. The ION date is also typically the date when PHAs can begin to issue RAD Notices of Relocation (except in the case of acquisitions when the PHA can issue a Notice of Intent to Acquire and RAD Notices of Relocation prior to the ION date). Any person who is in lawful occupancy on the ION date is presumed to be entitled to relocation payments and other assistance.

PHAs and Project Owners should note that prior to the ION date, a resident may be eligible as a displaced person for permanent relocation assistance and payments under the URA if HUD determines, after analyzing the facts, that the resident's move was a direct result of the project. However, resident moves taken contrary to specific instructions from the PHA or Project Owner (for example, contrary to instructions not to move if contained in a General Information Notice) are generally not eligible as a displaced person under the URA.

6.6. Resident Relocation Notification (Notices)

PHAs and Project Owners are encouraged to communicate regularly with the residents regarding project plans and, if applicable, the resulting plans for relocation. When residents may be relocated for any time period (including, without limitation, a move in connection with a transfer of assistance), written notice must be provided to the resident heads of households, including the notices listed below as applicable.⁷⁹ PHAs and Project Owners are also encouraged to provide

⁷⁹ The notices required under Sections 6.6(B) through 6.6(E) must be delivered in accordance with URA resident notification requirements, including the requirement that the notice be personally served or delivered by certified or registered first class mail return receipt requested. All notices must be delivered to each household (i.e., posting in

additional relocation notices and updates for the residents' benefit as appropriate for the specific situation.

To ensure that all residents understand their rights and responsibilities and the assistance available to them, consistent with URA requirements at 49 C.F.R. § 24.5 and civil rights requirements, PHAs and Project Owners must ensure effective communication with individuals with disabilities, including through the provision of appropriate auxiliary aids and services, such as interpreters and alternative format materials. Similarly, PHAs and Project Owners are required to take reasonable steps to ensure meaningful access for LEP persons in written and oral materials. Each notice shall indicate the name and telephone number of a person to contact with questions or for other needed help and shall include the number for the telecommunication device for the deaf (TDD) or other appropriate communication device, if applicable, pursuant to 24 C.F.R. §8.6(a)(2).

The purpose of these notifications is to ensure that residents are informed of their potential rights and, if they are to be relocated, of the relocation assistance available to them. Two initial notices launch this effort and provide critical information regarding residents' rights. The first, the RAD Information Notice, is to be provided at the very beginning of the RAD conversion planning process in order to ensure residents understand their rights, to provide basic program information and to facilitate residents' engagement with the PHA regarding project plans. The GIN, meanwhile, provides information specifically related to protections the URA provides to impacted residents. Subsequent notices provide more detailed information regarding relocation activities specific to the household, including tailored information regarding eligibility and timelines for relocation.

PHAs should note that a resident move undertaken as a direct result of the project may be eligible to receive relocation assistance and payments under the URA even though the PHA has not yet issued notices to them. Sample notices which may be used as-is or modified to fit the peculiarities of each situation are provided on the RAD website at www.hud.gov/rad.

A) RAD Information Notice

The RAD Information Notice is to be provided to residents at the very beginning of the RAD conversion planning process in order to convey general written information on potential project plans and residents' basic rights under RAD, and to facilitate residents' engagement with the PHA regarding the proposed RAD conversion. The PHA shall provide a RAD Information Notice to all residents of a Converting Project prior to the first of the two meetings with residents required by the RAD Notice, Section 1.8.2, and before submitting a RAD Application. This RAD Information Notice shall be provided without regard to whether the PHA anticipates any relocation of residents in connection with the RAD conversion. The RAD Information Notice must do the following:

common areas is insufficient) and methods of delivery (e.g., certified mail, U.S. mail, or hand delivery) must be documented in the PHA's or Project Owner's files.

- Provide a general description of the conversion transaction (e.g., the Converting Project, whether the PHA anticipates any new construction or transfer of assistance, whether the PHA anticipates partnering with a developer or other entity to implement the transaction);
- Inform the resident that the early conceptual plans are likely to change as the PHA gathers more information, including, among other items, resident opinions, analysis of the capital needs of the property and financing options;
- Inform the resident that the household has a right to remain in the unit or, if any relocation is required, a right to return to an assisted unit in the Covered Project (which may be at the new site in the case of a transfer of assistance);
- Inform the resident that they will not be subject to any rescreening as a result of the conversion;
- Inform the resident that the household cannot be required to move permanently without the resident's consent, except in the case of a transfer of assistance when the resident may be required to move a reasonable distance, as determined by HUD, in order to follow the assisted unit;
- Inform the resident that if any relocation is involved in the transaction, the resident is entitled to relocation protections under the requirements of the RAD program and, in some circumstances, the requirements of the URA, which protections may include advance written notice of any move, advisory services, payment(s) and other assistance as applicable to the situation;
- Inform the resident that any resident-initiated move from the Converting Project could put any future relocation payment(s) and assistance at risk and instruct the resident not to move from the Converting Project; and
- Inform the resident that the RAD transaction will be completed consistent with fair housing and civil rights requirements, and provide contact information to process reasonable accommodation requests for residents with disabilities during the relocation.

B) General Information Notice (49 C.F.R. § 24.203(a))

The purpose of the General Information Notice (GIN) is to provide information about URA protections to individuals who may be displaced as a result of federally-assisted projects involving acquisition, rehabilitation or demolition. A GIN provides a general description of the project, the activities planned, and the relocation assistance that may become available.

A GIN shall be provided to any person scheduled to be displaced *as soon as feasible* based on the facts of the situation. In certain instances, such as when the PHA knows that a project will involve acquisition, rehabilitation or demolition, "as soon as feasible" may be simultaneous with issuance of the RAD Information Notice. For any RAD conversion involving acquisition, rehabilitation or demolition, "as soon as feasible" shall be no later than 30 days following the issuance of the CHAP. In instances where acquisition, rehabilitation or demolition is not anticipated at the time of the CHAP but project plans change to include such activities, pursuant to this Notice the PHA shall provide the GIN as soon as feasible following the change in project plans.

For RAD, the GIN 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, if he or she qualifies for relocation assistance as a displaced person under the URA, 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 displaced 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 90 days advance written notice;
- Inform the resident that, if he or she qualifies for relocation assistance as a displaced person under the URA, 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 C.F.R. § 24.208(h) for additional information);
- Describe the resident's right to appeal the PHA's determination as to a resident's eligibility for URA assistance; and
- Inform the resident that the RAD transaction will be completed consistent with fair housing and civil rights requirements, and provide contact information to process reasonable accommodation requests for residents with disabilities during the relocation.

Because of the potential confusion caused by evolving policy directions in the RAD program regarding delivery of the GIN, for actions taken prior to the issuance of this Notice, HUD will consider the facts and circumstances of each conversion, with emphasis on the underlying URA requirements, in monitoring and enforcing a PHA's compliance with this requirement.

C) Notice of Intent to Acquire (49 C.F.R. § 24.203(d))

For conversions involving acquisition, the Project Owner (the "acquiring agency") may provide to residents of the Converting Project a Notice of Intent to Acquire (NOIA).⁸⁰ The NOIA may be provided no earlier than 90 days prior to the PHA's reasonable estimate of the date of submission of a complete Financing Plan. While eligibility for URA relocation assistance is generally effective on the effective date of the RCC (the ION date), a prior issuance of a NOIA establishes a resident's eligibility for relocation assistance and payments on the date of issuance of the NOIA and prior to the ION date.

D) RAD Notice of Relocation

If a resident will be relocated to facilitate the RAD conversion, the PHA shall provide written notice of such relocation by means of a RAD Notice of Relocation. The RAD Notice of

⁸⁰ Acquisition includes a new ownership entity's purchase of the Covered Project from the PHA, such as a purchase by a single purpose entity, an affiliate or a low-income housing tax credit ownership entity.

Relocation may not be issued until: 1) the effective date of the RCC (the ION date) if the conversion does not involve acquisition; or 2) the earlier of the issuance of the Notice of Intent to Acquire (see Section 6.6(C)) or the effective date of the RCC (the ION date) if the conversion involves acquisition. Prior to issuance of the RAD Notice of Relocation, PHAs and Project Owners should meet with each resident household to provide preliminary relocation advisory services and to determine their needs and preferences.⁸¹

A RAD Notice of Relocation is not required for residents who will not be relocated. As a best practice, PHAs or Project Owners should notify residents that they are not being relocated once that determination has been made if they were previously informed by the GIN and/or by other methods that relocation was a possibility.⁸²

A RAD Notice of Relocation shall provide either: 1) 30-days' notice to residents who will be relocated for twelve months or less; or 2) 90-days' notice to residents who will be relocated for more than twelve months.⁸³ The RAD Notice of Relocation must conform to the following requirements:

- (1) The notice must state the anticipated duration of the resident's relocation.
- (2) The notice must specify which entity (the PHA or the Project Owner) is primarily responsible for management of the resident's relocation and for compliance with the relocation obligations during different periods of time (i.e., before vs. after Closing).
- (3) For residents who will be relocated for twelve months or less:
 - The PHA or Project Owner must provide this notice a minimum of 30 days prior to relocation.⁸⁴ PHAs or Project Owners may deem it appropriate to provide longer notice periods for persons who will be temporarily relocated

⁸¹ PHAs and Project Owners should note the URA relocation advisory services requirement for personal interviews. See Section 6.7 of this Notice. In sequencing the RAD Notice of Relocation, PHAs and Project Owners wishing to offer alternative housing options pursuant to Section 6.10 should also note the additional complexity in the timeline of notices. Pursuant to Section 6.10(D), the resident can consent to an alternative housing option only after issuance of the NOIA or the effective date of the RCC and 30 days after presentation of the alternative housing options. In some cases, for example, when the resident would not otherwise be relocated for over twelve months, the RAD Notice of Relocation must include both the information described in Section 6.6(D)(3) and the information in Section 6.6(D)(4). The PHA or Project Owner should consider discussing the alternative housing options prior to issuing the RAD Notice of Relocation so that the RAD Notice of Relocation can be tailored to the resident's situation.

⁸² The RAD program does not require a "notice of non-displacement," which HUD relocation policy generally uses for this purpose.

⁸³ The 90-day notice is required for residents relocated for more than twelve months, whether or not they intend to return to the Covered Project and whether or not they are eligible for assistance and payments as a displaced person under URA. Recipients of the 90-day notice would include those residents who have voluntarily accepted a permanent relocation option as well as those residents who are relocated within the same building or complex of buildings.

⁸⁴ Note that residents may elect to move to the relocation housing before the 30 days have elapsed. However, a PHA may not require a resident to move prior to this time.

for an extended period of time (over 6 months), or if necessary due to personal needs or circumstances.

- The notice must explain that the PHA or Project Owner will reimburse the resident for all reasonable out-of-pocket expenses incurred in connection with any temporary move (including, but not limited to, increased housing costs and moving costs).
- The notice must explain the reasonable terms and conditions under which the resident may exercise the right to return to lease and occupy a unit in the Covered Project.

(4) For residents who will be relocated for more than twelve months, including for residents who may wish to voluntarily accept a permanent relocation option:

- The PHA or Project Owner must provide this notice a minimum of 90 days prior to relocation of residents.⁸⁵
- The notice must offer the choice to be temporarily relocated, thereby preserving the resident's right to return, or the choice to be voluntarily permanently relocated pursuant to the procedures set forth in Section 6.10, together with guidance that the resident has at least thirty (30) days to consider the choice.
- For residents who voluntarily elect to be permanently relocated, the 90-day notice period may only begin once the PHA or Project Owner has made available at least one comparable replacement dwelling consistent with 49 C.F.R. § 24.204(a).⁸⁶
- 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 comply with all requirements for a URA Notice of Relocation Eligibility as described in 49 C.F.R. § 24.203(b).

(5) The notice must inform the resident that the relocation will be completed consistent with fair housing and civil rights requirements, and it must provide contact information to process reasonable accommodation requests for residents with disabilities during the relocation.

For short-term relocations, the RAD Notice of Relocation may also contain the information required in the Notice of Return to the Covered Project (see Section 6.6(F)).

⁸⁵ Note that residents may elect to move to the relocation housing before the 90 days have elapsed. However, a PHA may not compel a resident to move prior to this time.

⁸⁶ 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.

E) URA Notice of Relocation Eligibility – for residents whose temporary relocation exceeds one year (49 C.F.R. § 24.203(b))

After a resident has been temporarily relocated for one year, notwithstanding a prior issuance of a RAD Notice of Relocation, the PHA or Project Owner must provide an additional notice: the notice of relocation eligibility in accordance with URA requirements (“URA Notice of Relocation Eligibility”). The URA Notice of Relocation Eligibility is not required if the resident has already accepted permanent relocation assistance.⁸⁷

The URA Notice of Relocation Eligibility must conform to URA requirements as set forth in 49 C.F.R. part 24 and shall:

- Provide current information as to when it is anticipated that the resident will be able to return to the Covered Project.
- Give the resident the choice to remain temporarily relocated based upon the updated information or to accept permanent URA relocation assistance at that time instead of exercising the right to return at a later time.

If the resident chooses to accept permanent URA relocation assistance and this choice requires the resident to move out of their temporary relocation housing, the URA requires that the PHA or Project Owner make available at least one, and when possible, three or more comparable replacement dwellings pursuant to 49 C.F.R. § 24.204(a), which comparability analysis is in reference to the resident’s original unit. The URA further requires that the resident receive 90 days’ advance written notice of the earliest date they will be required to move pursuant to 49 C.F.R. § 24.203(c).

⁸⁷ To illustrate, consider the following examples.

- Example 1: The household is expected to be relocated for 11 months. The resident would receive a RAD Notice of Relocation offering only temporary relocation. Construction delays result in the extension of the relocation such that, in fact, it exceeds 12 months. When the temporary relocation exceeds 12 months, the resident must receive a URA Notice of Relocation Eligibility offering a choice between continuation in temporary relocation status and permanent relocation.
- Example 2: The household is expected to be relocated for 14 months. The resident would receive a RAD Notice of Relocation offering a choice between temporary relocation status and permanent relocation. If the household elects temporary relocation, the URA Notice of Relocation Eligibility is required as an additional notice following twelve months in temporary relocation status.
- Example 3: The household is expected to be relocated for 14 months. The resident would receive a RAD Notice of Relocation offering a choice between temporary relocation status and permanent relocation. If the household elects permanent relocation, the URA Notice of Relocation Eligibility is not required.
- Example 4: The household can be accommodated with temporary relocation of 3 months, but has been offered and seeks to accept permanent relocation pursuant to an alternative housing option. This resident would receive a RAD Notice of Relocation under Section 6.6(D)(4) offering a choice between temporary relocation status (the default option) and permanent relocation (the alternative housing option), instead of the RAD Notice of Relocation under Section 6.6(D)(3) which would be expected absent a permanent relocation option. The URA Notice of Relocation Eligibility is not required in either case because a temporary relocation exceeding 12 months was never anticipated nor experienced.

F) Notification of Return to the Covered Project

With respect to all temporary relocations, the PHA or Project Owner must notify the resident in writing reasonably in advance of the resident's expected return to the Covered Project, informing the resident of:

- The entity (the PHA or the Project Owner) with primary responsibility for managing the resident's relocation;
- The address of the resident's assigned unit in the Covered Project and, if different from the resident's original unit, information regarding the size and amenities of the unit;
- The date of the resident's return to the Covered Project or, if the precise date is not available, a reasonable estimate of the date which shall be supplemented with reasonable additional notice providing the precise date;
- That the PHA or Project Owner will reimburse the resident for all reasonable out-of-pocket expenses incurred in connection with the return relocation; and
- The resident's options and the implications of those options if the resident determines that he or she does not want to return to the Covered Project and wants to decline the right of return.⁸⁸

Reasonable advance notice shall be 15% of the duration of the resident's temporary relocation or 90 days, whichever is less. For short-term relocations, the PHA or Project Owner may include this information within the RAD Notice of Relocation.

6.7. Relocation Advisory Services

Throughout the relocation planning process, the PHA and Project Owner should be in communication with the residents regarding the evolving plans for relocation. Notwithstanding this best practice, certain relocation advisory services, described below, are required by the URA.

The URA regulations require the PHA or Project Owner to carry out a relocation assistance advisory program that includes specific services determined to be appropriate to residential or nonresidential displacements. The specific advisory services to be provided, as determined to be appropriate, are outlined at 49 C.F.R. § 24.205(c). For residential displacement under the URA, a personal interview is required for each displaced resident household to determine the relocation needs and preferences of each resident to be displaced. The resident household shall be provided an explanation of the relocation payments and other assistance for which the resident may be eligible, the related eligibility requirements, and the procedures for obtaining such assistance. Advisory counseling must also inform residents of their fair housing rights and be carried out in

⁸⁸ If the resident declines to return to the Covered Project upon completion of the period of temporary relocation, the resident shall be considered to have voluntarily moved out of the property, without the benefit of further relocation assistance. For example, a PHA or Project Owner may have rented a market-rate apartment as a temporary relocation resource for a six-month period. In such a situation, the resident may decline to return to the Covered Project and choose to remain in the market-rate apartment at the expiration of the six-month period, but shall not be eligible for any further relocation assistance and payments (including rent differential payments) under this Notice, the URA or Section 104(d), if applicable, in connection with the resident's decision to remain in the temporary housing and not return to the Covered Project.

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 C.F.R. § 24.205(c)(1)).⁸⁹ Such advisory services under the URA may include counseling to ensure that residents affected by the project understand their rights and responsibilities and the assistance available to them (49 C.F.R. § 24.205(c)). In addition, the PHA or Project Owner 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>.

6.8. Initiation of Relocation

PHAs and Project Owners **may not initiate any involuntary physical relocation until both the RCC is in effect and the applicable RAD Notice of Relocation period has expired** (i.e., after either 30 or 90 days' notice as applicable depending on nature of the relocation, as described above). This prohibition applies to all types of RAD transactions, regardless of whether the RAD Notice of Relocation is provided after issuance of a NOIA (for conversions involving acquisition) or following the effective date of the RCC (for all other conversions). PHAs are advised to account for the required 30-day or 90-day written notice periods in their planning process, to ensure that notices which satisfy all applicable requirements are issued prior to taking any action to initiate relocation.

Neither involuntary nor voluntary relocation for the project shall take place prior to the effective date of the RCC, unless moves are authorized under Section 7, below ("Applicability of HCV and Public Housing Requirements") or unless HUD provides explicit approval which will only be provided in extraordinary circumstances. The PHA must wait until the RAD Notice of Relocation period has expired before it may initiate any involuntary relocation. However, a resident may request to move voluntarily, and the PHA may honor a resident's request to move, before the applicable 30-day or 90-day period has elapsed, provided that the PHA may not take any action to encourage or coerce a resident to make such a request. If a resident has elected an alternative housing option, PHAs are advised to ensure that any consent to voluntary permanent relocation does not expire prior to the date of the relocation, as described in Section 6.10.

HUD may use administrative data to identify and investigate projects where relocation may be occurring prior to RCC.

6.9. Records and Documentation; Resident Log

HUD may request from the PHA or Project Owner written records and documentation in order to evidence the PHA's and/or Project Owner's compliance, as applicable, with this Notice and the URA.⁹⁰ HUD may request to review some or all of such records in the event of compliance

⁸⁹ For example, under fair housing and civil rights laws, the PHA and Project Owner may be required to inform residents about and provide reasonable accommodations for individuals with disabilities, such as search assistance; take appropriate steps to ensure effective communication with individuals with disabilities, such as through the provision of auxiliary aids and services, such as interpreters and alternate format documents; provide advisory counseling services in accessible locations and in an accessible manner for individuals with disabilities; and take reasonable steps to ensure meaningful access for LEP persons. See Section 4 of this Notice for more information on these requirements.

⁹⁰ Chapter 6 of HUD Handbook 1378 includes guidance on URA recordkeeping requirements.

concerns, in the event a project is identified for additional review based on administrative data, in the event of audits for purposes of monitoring the RAD program as a whole, upon selection of a random sample of projects and/or at other times at HUD's sole discretion. The records shall include resident files for all households relocated in connection with RAD and a resident log as described in this Section.

As part of such written record, the PHA or Project Owner must maintain data sufficient to deliver to HUD a resident log of every household that resides at the Converting Project at the time of the first required resident meeting on the proposed conversion pursuant to Section 1.8 of the RAD Notice (the "First Resident Meeting") and of every household that moves into the Converting Project after the First Resident Meeting and before the conversion of assistance under RAD. If any relocation is required, the log shall track resident status through completion of rehabilitation and construction, including re-occupancy after relocation. The resident log must include, but need not be limited to, the following information:

- Name of head of household
- PHA's resident identification number and/or the last four digits of the head-of-household's Social Security Number
- The head of household's race and ethnicity as reported on the HUD Form 50058 or the HUD Form 50058 MTW (the "Form 50058"). For purposes of the resident log, all references to the Form 50058 shall be to the form most recently prepared at the time of the First Resident Meeting or, for residents who moved in after the First Resident Meeting, the form most prepared at the time of the resident's initial occupancy.
- A Yes/No indication if there is any household member reported as having a disability on the Form 50058.
- A Yes/No indication if there is any household member reported as under the age of 18 on the effective date of action of the Form 50058;
- The household's relevant unit address, unit size and household size at the following times:
 - The time of the First Resident Meeting or the time of a resident's initial occupancy if after the First Resident Meeting
 - The time of the issuance of the CHAP or the time of a resident's initial occupancy if after the issuance of the CHAP
 - Proximate and prior to the PHA or Project Owner having authority to initiate involuntary relocation activities (i.e., at the time of issuance of the RCC unless otherwise approved by HUD upon extraordinary circumstances)
 - Completion of the relocation process following construction or rehabilitation and with return of all households exercising the right of return
- The household's residence status at the time of issuance of the RCC (e.g., in residence at the Converting Project, transferred to other public housing, moved out, evicted or other with explanation)
- The household's residence status upon completion of re-occupancy (e.g., in residence at the Covered Project/never relocated, in residence at the Covered Project/temporarily relocated and returned, transferred to other public housing, moved out, evicted, permanently relocated or other with explanation)
- The following dates for each resident household, as applicable:
 - Date of the RAD Information Notice

- Date of the GIN
- Date of the CHAP
- Date of NOIA
- Date of RAD Notice of Relocation
- Date of URA Notice of Relocation Eligibility
- Date of most recent consent to voluntary permanent relocation⁹¹
- Date of relocation away from the Converting Project or Covered Project
- Dates of any intermediate relocation moves
- Date of return to the Covered Project or to the household's post-closing permanent address.⁹²
- The following information for each resident household, as applicable:
 - The type of move (e.g., the types identified in Section 6.4, above)
 - The form of any temporary relocation housing (e.g., hotel, assisted housing, market-rate housing)
 - The address and unit size of any temporary relocation housing
 - Whether alternative housing options were offered consistent with Section 6.10, below
 - Any material terms of any selected alternative housing options
 - The type and amount of any payments for
 - Moving expenses to residents and to third parties
 - Residents' out-of-pocket expenses
 - Rent differential payments or other payments for temporary or permanent rental assistance, together with the rent and utilities (if applicable) that were the basis for the calculations
 - Any other relocation-related compensation or assistance

6.10. Alternative Housing Options

Under the RAD Notice, “involuntary permanent relocation” is prohibited and each resident must be able to exercise his or her right of return to the Covered Project. A PHA or Project Owner is permitted to offer a resident alternative housing options when a resident is considering his or her future housing plans, provided that at all times prior to the resident's decision, the PHA and Project Owner preserve the resident's ability to exercise his or her right of return to the Covered Project.

A) Requirements for Any Offer of Alternative Housing Options

All residents who are similarly situated must be given the same offer of alternative housing options. If the PHA or Project Owner seeks to limit the number of households that accept the

⁹¹ The most recent consent must be within 180 days of the actual relocation date, as discussed in Section 6.10(D).

⁹² In the case of voluntary permanent relocation, the date of “return” may be the same as the date of relocation away from the Converting Project.

offer of alternative housing options, the PHA or Project Owner shall determine a fair and reasonable method for selection among similarly situated residents.⁹³

In connection with any offer and acceptance of alternative housing options, the PHA or Project Owner must ensure that the residents' decisions are: 1) fully informed; 2) voluntary; and 3) carefully documented. Any alternative housing option must include, at a minimum, all relocation assistance and payments required under this Notice, the URA and Section 104(d), as applicable, and may include other elements. Funds administered by HUD may not be used to pay any monetary elements not required under this Notice, the URA or Section 104(d).

Acceptance of an alternative housing option is considered voluntary permanent relocation and the accompanying RAD relocation assistance and payments for which the resident may be eligible must be administered in accordance with all requirements for an eligible displaced person under the URA and its implementing regulations and, where applicable, Section 104(d) and its implementing regulations.

PHAs may not propose or request that a displaced person waive rights or entitlements to relocation assistance under the URA or Section 104(d). The PHA must provide a written notice of URA or Section 104(d) relocation assistance and payments for which the resident may be eligible so that the resident may make an informed housing choice. The resident must be provided at least thirty (30) days to consider the offer of voluntary permanent relocation and the resident's acceptance of the PHA's offer of voluntary permanent relocation must be in writing signed by the head of the household for that unit.

B) Assisted Housing Options as Alternatives

Alternative housing option packages may include a variety of housing options and PHAs and Project Owners shall take particular care to ensure program compliance with the regulations applicable to the alternative housing options. Examples of alternative housing options may include:

- Transfers to public housing
- Admission to other affordable housing properties subject to the program rules applicable to such properties
- Housing Choice Vouchers (HCVs) subject to standard HCV program administration requirements. PHAs must operate their HCV programs, including any HCVs offered as an alternative housing option, in accordance with their approved policies as documented in their Section 8 Administrative Plan and HUD regulations at 24 C.F.R. part 982. Any offer of an HCV as an alternative housing option must be made consistent with the

⁹³ For example, if the RAD conversion is financed by LIHTC and a few residents would not meet LIHTC program requirements, the PHA and Project Owner may want to offer these household alternative voluntary permanent relocation options. However, they must offer the same alternative housing options to all such households. As a second example, if the PHA and Project Owner seek to create two on-site vacancies of a particular unit size in order to facilitate temporary relocation on-site, the PHA may offer an alternative housing option of a housing choice voucher to all residents of applicably sized units (assuming that to do so is consistent with the PHA's voucher administration policies), and conduct a lottery to select the two households which will receive the vouchers.

PHA's admission preferences and other applicable policies and procedures set forth in the Section 8 Administrative Plan.

- Homeownership programs subject to the applicable program rules
- Other options as may be identified by the PHA and/or Project Owner

C) Monetary Elements Associated With Alternative Housing Options

A PHA or a Project Owner may include a monetary element in an alternative housing option package, provided that:

- Any monetary element associated with the alternative housing option shall be completely distinct from and in addition to any required RAD, URA or Section 104(d) relocation payments and benefits for which the resident is eligible ("Required Relocation Payments").
- No funds administered by HUD may be used to pay for any monetary element associated with the alternative housing option other than Required Relocation Payments.
- Any monetary element associated with the alternative housing option other than Required Relocation Payments must be the same amount offered to all similarly situated households.⁹⁴
- Any alternative housing option package must comply fully with the disclosure and agreement provisions of this Notice.

D) Disclosure and Agreement to Alternative Housing Options

In providing an offer of alternative housing options to a resident, the PHA or Project Owner must inform the resident in writing of: a) his or her right to return;⁹⁵ b) his or her right to comment on and/or object to plans which would preclude the resident from returning to the Covered Project; c) the requirement that if the resident objects to such plans, the PHA or Project Owner must alter the project plans to accommodate the resident in the Covered Project; and d) a description of both the housing option(s) and benefits associated with the right of return and the alternative housing options and benefits being offered. In the description of the available housing options and benefits, the PHA or Project Owner shall include a description of any temporary housing options associated exercising the right of return and a description of any permanent alternative housing options as well as a reasonable estimate of the financial implications of all temporary and permanent options on the resident long-term.

⁹⁴ Monetary payments other than Required Relocation Payments are considered "temporary, nonrecurring or sporadic income" pursuant to 24 C.F.R. § 5.609(c)(9) and consequently are excluded from income for purposes of eligibility and assistance calculations under certain HUD programs. Residents should be reminded that monetary payments other than URA relocation payments may be taxable under the Internal Revenue Code, that monetary payments, including required relocation payments, may affect residents' eligibility for other assistance programs and that the resident should seek knowledgeable guidance on these matters, including guidance on the taxation of monetary payments under state law.

⁹⁵ In the case of a transfer of assistance to a new site a significant distance from the Converting Project as described in Section 6.4(E), the resident shall be informed of the resident's right to return to the Covered Project at the new site and of the resident's right to an assisted unit within a reasonable distance of the site of the Converting Project, as described in Section 6.4(E).

The written notification may request written consent from the resident to exercise the alternative housing option and receive permanent relocation assistance and payments pursuant to RAD, the URA and/or Section 104(d), as applicable, in addition to any benefits associated with the alternative housing option. As part of any voluntary consent, the resident head of household must acknowledge in writing that acceptance of such assistance terminates the resident's right to return to the Covered Project. In order to ensure that the resident has sufficient time to seek advice and consider the alternative housing options, any consent to an alternative housing option executed within 30 days of the written presentation of the options shall be invalid.

Any offer of alternative housing options must be made in writing and the acceptance of the alternative must be voluntary and in writing. The offer of an alternative housing option must contain the following elements:

- The resident is informed of his or her right to return to the Covered Project and that neither the PHA nor the Project Owner can compel the resident to relinquish his or her right to return. The offer of alternative housing options must clearly state that acceptance of any alternative would relinquish the resident's right to return to the Covered Project.
- The offer of an alternative housing option must be accompanied by identification of comparable housing units which the resident may use to understand the nature of housing options available to them and the rent and estimated utility costs associated with such housing options. This information must also be accompanied by a reasonable estimate of any replacement housing payment or "gap payment" for which the resident may be eligible.
- The offer of an alternative housing option must be accompanied by information regarding moving payments and assistance that would be available if the resident exercises the right of return and if the resident accepts the alternative housing option.
- Residents must be offered advisory assistance to consider their options.
- To be fully informed, the offer must outline the implications and benefits of each alternative housing option being made available (i.e., of accepting each alternative housing option as compared to exercising his or her right to return) as well as a reasonable estimate of when the resident's relocation might occur. Implications and benefits include payment amounts, differences in rent calculations, differences in program rules, housing location, and potential long-term implications such as household housing expenses multiple years in the future.
- To be fully voluntary, the resident must have at least thirty (30) days following delivery of the written offer to consider their options. LEP persons must be provided a written translation of the offer and oral interpretation of any meetings or counseling in the appropriate language. In addition, PHAs must comply with their obligation to ensure effective communication with persons with disabilities.
- The resident cannot be asked to make a decision which will be implemented at a distant future time. Consequently, the resident may not provide written consent to an alternative housing option (and consequently, consent to voluntary permanent relocation) until after

the earlier of issuance of the NOIA or the effective date of the RCC.⁹⁶ If a resident signs a written consent to accept an alternative housing option, that written consent is valid for 180 days. If relocation (after the applicable notice periods) has not occurred within this 180 day period, then the PHA or Project Owner must secure a new consent to accept an alternative housing option. New relocation notices are generally not required.

- The acceptance must be in writing signed by the resident head of household, including a certification of facts to document that the household is relinquishing its right to return and that the decision and the acceptance of the alternative housing option was fully informed and voluntary.
- Residents accepting alternative housing options to relinquish their right to return will be considered to have voluntarily and permanently relocated. Such residents are to be provided applicable RAD, URA and/or Section 104(d) relocation assistance and payments.

The information included with the offer of alternative housing options is to aid the resident in making decisions regarding the desirability of the alternative housing options and neither satisfies nor replaces the relocation notices and information required to be provided to residents pursuant to this Notice, the URA or Section 104(d).

While HUD does not require PHAs to submit documentation of alternative housing options offered to residents or the residents' elections, PHAs must keep auditable written records of such consultation and decisions. HUD may request this documentation at any time, including as part of a review of the Checklist or if relocation concerns arise.

6.11. Lump Sum Payments

PHAs and Project Owners should note that certain relocation payments to displaced residential tenants may be subject to 42 USC § 3537c ("Prohibition of Lump-Sum Payments") and must be disbursed in installments. The PHA or Project Owner may determine the frequency of the disbursements which must be made in installments. Handbook 1378, Chapter 3-7(D) provides guidance on the manner and frequency of disbursing payments subject to this requirement.

Any monetary element beyond Required Relocation Payments which may be associated with an alternative housing option described in Section 6.10, above, is not relocation assistance and is therefore not subject to the requirements regarding lump sum payments.

SECTION 7. APPLICABILITY OF HCV AND PUBLIC HOUSING REQUIREMENTS

7.1. HCV Waiting List Administration Unrelated to the RAD Transaction

From time to time, a resident of a Converting Project may place themselves on the PHA's waiting list for HCVs independent of any planned RAD transaction. With respect to residents of a Converting Project prior to the effective date of the HAP contract, PHAs should continue to

⁹⁶ The PHA and Project Owner should note that securing resident consent to an alternative housing option may delay the issuance of the RAD Notice of Relocation. The RAD Notice of Relocation must be specific to whether the resident will be temporarily or permanently relocated.

administer their HCV waiting list in accordance with their Section 8 Administrative Plans. Residents who rise to the top of the HCV waiting list independent of any preference for relocating RAD residents or other RAD provisions and accept an HCV are not considered to be relocated as a result of the RAD conversion. Standard administration of the PHA's HCV waiting list is not considered relocation.

7.2. HCV Waiting List Administration Related to the RAD Transaction

From time to time, a PHA may wish to use HCV resources as a relocation option in connection with a RAD transaction. In order to do so, a PHA must modify its Section 8 Administrative Plan to provide a preference for relocating RAD residents and the PHA is subject to Section 6.8 of this Notice relating to initiation of relocation. Further, if a PHA provides a preference for relocating RAD residents, the PHA must be explicit regarding the nature of the HCV as a relocation resource. If the PHA anticipates using the HCV as a temporary relocation resource, the PHA must recognize that it cannot rescind an HCV once issued to the resident (i.e., the family would have to voluntarily relinquish their voucher and may choose to remain in the HCV program indefinitely). The PHA must also provide a preference for admission to the Covered Project in order to satisfy the right to return. Alternatively, if the PHA anticipates using the HCV as a voluntary permanent relocation resources, the PHA must comply with the alternative housing options provisions of Section 6.10.⁹⁷

7.3. Public Housing Transfers Unrelated to the RAD Transaction

From time to time, a resident of a Converting Project may request a transfer to another public housing property independent of any planned RAD transaction. With respect to residents of a Converting Project prior to the effective date of the HAP contract, PHAs must continue to administer their admissions and occupancy procedures as adopted. Any prohibitions in this Notice on implementing relocation do not apply to residents requesting public housing transfers, moves pursuant to the Violence Against Women Act (VAWA)⁹⁸ or reasonable accommodation moves. Standard administration of the PHA's admissions and occupancy policy is not considered relocation.⁹⁹ Transfers not undertaken for the RAD project are not subject to URA. However, it is recommended that the PHA document the transfer carefully, including an acknowledgement by the resident that the transfer is not undertaken for the RAD project, is not

⁹⁷ PHAs and Project Owners should note that while in most cases, there is no rent differential between the tenant paid rent in a public housing unit and in an HCV, there are some situations (such as flat rent households) where a difference does exist. Rental assistance payments under the URA are required if there is a difference between these two amounts.

⁹⁸ Title IV, section 40001-40703.

⁹⁹ Standard administration of the PHA's admissions and occupancy policy is permitted. However, HUD is sensitive to concerns that discussion of the planned RAD conversion and construction activities may cause residents to perceive a pressure to transfer without the counseling and moving assistance which would be available were the household to wait until relocation. If relocation at the Converting Project is planned, PHAs are strongly advised to document any such transfers carefully and to provide any households moving under standard admissions and occupancy policies with additional notices referencing the assistance and payments which would be available if the household were to remain in place until the relocation plan is implemented.

subject to URA requirements and that the resident is moving notwithstanding the guidance in the GIN or other relocation guidance from the PHA.

7.4. Resident Initiated Public Housing Transfers Related to the RAD Transaction

Pursuant to Section 1.8 of the RAD Notice, households in the Converting Project who do not want to transition to the Section 8 program may be offered, if available, the opportunity to move to other public housing owned by the PHA. Such move shall be implemented as a transfer and shall be prioritized equivalent to a “demolition, disposition, revitalization or rehabilitation transfer” as described in Section 11.2 of the applicable Public Housing Occupancy Guidebook. Transfers for this purpose do not require any modification to the PHA’s admissions and occupancy policy and may occur at any time pursuant to the PHA’s admissions and occupancy policy. Transfers for this purpose, while initiated by the resident, are the result of the PHA-initiated RAD transaction and the PHA must bear the reasonable costs of transfer. The reasonable cost of the transfer includes not just the cost of packing, moving, and unloading, but also the cost of disconnecting and reconnecting any existing resident-paid services such as telephone and cable television. The PHA must also document that the resident’s transfer request is fully informed and fully voluntary, which documentation must include an acknowledgement by the resident that the transfer is not undertaken at the request of the PHA or under pressure from the PHA, that the resident is moving notwithstanding the guidance in the GIN or other relocation guidance from the PHA and that the resident is withdrawing from participation in the RAD program and consequently losing rights, including the right to return, which accrue to residents participating in the RAD program. A public housing resident who voluntarily seeks a public housing transfer is generally not considered to be displaced under the URA or Section 104(d), where applicable.

7.5. Public Housing as a Temporary Relocation Resource

PHAs and Project Owners may wish to mitigate the relocation budget associated with the RAD conversion by using units within the PHA’s portfolio as relocation resources. In light of its mission to serve as many low-income households as possible, including its need to accommodate emergency transfers (such as moves pursuant to VAWA), the PHA should minimize the use of the public housing units not converting under RAD for temporary relocation of RAD impacted residents. HUD has a strong preference that the PHA use the units within the PHA’s Converting Projects as a temporary relocation resource prior to using units in the remainder of the PHA’s public housing portfolio. PHAs may elect not to lease units within the Converting Projects or, if necessary, the remainder of its portfolio, for this purpose only to the extent reasonably necessary to facilitate construction or rehabilitation.

Upon the effective date of the HAP contract (usually also the effective date of the RAD conversion), each resident of a Covered Project becomes a participant in the Section 8 program and is no longer part of the public housing program. A PHA may use public housing as a temporary relocation resource if approved by HUD, which approval shall depend on the proposed structure. PHAs wishing to use public housing units as a temporary relocation resource must consult with HUD’s Office of Public and Indian Housing (PIH) prior to the formal request for HUD approval. It is unlikely that HUD would approve a request to use public housing units

as a relocation resource for a period exceeding one year after the effective date of the HAP contract.

If HUD grants approval, HUD shall provide alternative requirements regarding PIH Information Center (PIC) documentation of the occupancy of these temporary relocation resources. PHAs must follow any guidance or instructions regarding treatment of the public housing units in HUD's data systems as may be provided from time to time.

PHAs and Project Owners should note that, absent written approval, if a resident seeks to occupy a public housing unit after the effective date of the HAP contract, the resident would need to be readmitted to public housing in a manner consistent with the waitlist and admissions policies and must exit the Section 8 program.

7.6. Terminations (Including Evictions) and End of Participation Unrelated to the RAD Transaction

Public housing program requirements related to continued occupancy and termination, including rules on grievances and related hearings, remain in effect until the effective date of a new PBV or PBRA HAP contract. If a resident is evicted in accordance with applicable state and local law and the eviction is not undertaken for the purpose of evading the obligation to make available RAD relocation and URA payments and other assistance, the resident is generally not entitled to relocation assistance and payments under this Notice or the URA (49 C.F.R. § 24.206). If a resident voluntarily ends his or her participation in the public housing program, in the absence of evidence that the end of participation was induced by the PHA for the purpose of evading the obligation to make available RAD relocation and URA payments and other assistance, the resident is generally not entitled to relocation assistance and payments under this Notice or the URA.

7.7. Right-Sizing

Public housing, PBV and PBRA requirements mandate that, upon the availability of a unit which is appropriate for the household size, the PHA or Project Owner must transfer a household that is under- or over-housed into the unit appropriate to the household's size. However, accommodating all residents pursuant to the right of return has primacy over right-sizing requirements and may, in some cases, require temporarily over-housing households. In such circumstances, the PHA or Project Owner shall subsequently transfer the household to an appropriate size unit when available, as is required by the applicable program regulation. Such actions shall be governed by the applicable program regulation and shall not be considered relocation under this Notice.

Lourdes Castro-Ramirez
Principal Deputy Assistant Secretary for
Public and Indian Housing

Edward L. Golding
Principal Deputy Assistant Secretary for
Housing

APPENDIX I: Applicable Legal Authorities

APPENDIX II: Recommended Relocation Plan Contents

APPENDIX I: Applicable Legal Authorities

Part 1

This Appendix to the Notice identifies key legal authorities with respect to fair housing, civil rights, and resident relocation. This Appendix is not exhaustive of applicable legal authorities, which authorities may also include other Federal statutes, regulations and Executive Orders, and civil rights provisions related to other programs (including funding programs) associated with the RAD transaction.

Fair Housing Act (Title VIII of the Civil Rights Act of 1968, as amended)

The Fair Housing Act, 42 U.S.C. § 3601 et seq., and its implementing regulations, 24 C.F.R. part 100, prohibit discrimination in the sale, rental, and financing of dwellings, and in other housing-related transactions, based on race, color, national origin, religion, sex, disability, or familial status. The Fair Housing Act applies to for-sale and rental housing, whether the housing is privately or publicly funded, including housing supported by tax credits. Single family homes, condominiums, apartment buildings, time-shares, dormitories, transitional housing, homeless shelters that are used as a residence, student housing, assisted living housing, and other types of housing are all covered by the Fair Housing Act.

Among its substantive provisions, the Fair Housing Act requires “covered multifamily dwellings,” designed and constructed for first occupancy after March 13, 1991, to be readily accessible to and usable by persons with disabilities. In buildings with four or more dwelling units and at least one elevator, all dwelling units and all public and common use areas are subject to the Act’s design and construction requirements. In buildings with four or more dwelling units and no elevator, all ground floor units and public and common use areas are subject to the Act’s design and construction requirements.¹⁰⁰ In addition, the Fair Housing Act requires that housing providers make reasonable accommodations in rules, policies, and services, when such accommodations may be necessary to afford a person with a disability equal opportunity to use and enjoy a dwelling unit, including public and common use areas, and that housing providers permit reasonable modifications of existing premises for persons with disabilities.

The Fair Housing Act also requires HUD to administer HUD programs and activities in a manner that affirmatively furthers fair housing (42 U.S.C. § 3608(e)(5)). HUD’s affirmatively furthering fair housing (“AFFH”) rule in 24 C.F.R. §§ 5.150-5.180 will apply to PHAs (except for qualified PHAs) for the PHA’s fiscal year that begins on or after January 1, 2018 for which a new 5-year plan is due, as provided in 24 C.F.R. § 903.5. The affirmatively furthering fair housing regulations will apply to qualified PHAs, for the PHA’s fiscal year that begins on or after January 1, 2019 for which a new 5-year plan is due, as provided in 24 C.F.R. § 903.5.¹⁰¹

¹⁰⁰ See 42 U.S.C. § 3604(f)(3)(c) and 24 C.F.R. § 100.205.

¹⁰¹ For purposes of the AFFH rule, “[a]ffirmatively furthering fair housing means taking meaningful actions, in addition to combating discrimination, that overcome patterns of segregation and foster inclusive communities free from barriers that restrict access to opportunity based on protected characteristics. Specifically, affirmatively furthering fair housing under the AFFH rule means taking meaningful actions that, taken together, address

Additional detail and discussion of the interplay between the Fair Housing Act, Section 504, and Titles II or III of the Americans with Disabilities Act as these authorities relate to accessibility requirements is described in Part 2 of this Appendix.

United States Housing Act of 1937 (1937 Act)

The United States Housing Act of 1937 (1937 Act) (42 U.S.C. § 1437c-1(d)(15)) requires PHAs to submit a 5-year plan and an Annual Plan. Pursuant to HUD regulations, the Annual Plan includes a certification by the PHA that the PHA will affirmatively further fair housing.

Title VI of the Civil Rights Act of 1964

Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d *et seq.*) and HUD's implementing regulation (24 C.F.R. part 1) prohibit recipients of Federal financial assistance from discriminating, excluding from participation, or denying benefits to, any person on the basis of race, color, or national origin. In addition, Title VI regulations prohibit HUD recipients of Federal financial assistance from utilizing criteria or methods of administration which have the effect of subjecting individuals to discrimination because of their race, color, or national origin (24 C.F.R. § 1.4(b)(2)(i)). When determining the site or location of housing, recipients may not make selections with the purpose or effect of excluding individuals from, denying them the benefits of, or subjecting them to discrimination on the ground of race, color, or national origin (24 C.F.R. § 1.4(b)(3)). An applicant or recipient of HUD financial assistance also has an obligation to take reasonable action to remove or overcome the consequences of prior discriminatory practices regardless of whether the recipient engaged in discriminatory conduct (24 C.F.R. § 1.4(b)(6)).

Recipients of Federal financial assistance are required to take reasonable steps to ensure meaningful access to their programs and activities for persons who have limited ability to read, speak, or understand English – i.e., individuals who have limited English proficiency (LEP). This includes oral and written communications during relocation and throughout a RAD transaction. Such language assistance may include, but is not limited to, providing written translation of notices regarding the plans for the project and relocation and oral interpretation at meetings. Otherwise, LEP persons may be denied participation in, and the benefit of, the recipients' program or activity. On January 22, 2007, HUD issued "Final Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons" (LEP Guidance), available at: http://www.lep.gov/guidance/HUD_guidance_Jan07.pdf.¹⁰²

significant disparities in housing needs and in access to opportunity, replacing segregated living patterns with truly integrated and balanced living patterns, transforming racially and ethnically concentrated areas of poverty into areas of opportunity, and fostering and maintaining compliance with civil rights and fair housing laws." 24 C.F.R. § 5.150. Meaningful actions means significant actions that are designed and can be reasonably expected to achieve a material positive change that affirmatively furthers fair housing by, for example, increasing fair housing choice or decreasing disparities in access to opportunity. See 24 C.F.R. § 5.152.

¹⁰² See also Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, which requires recipients of Federal financial assistance to take reasonable steps to provide meaningful access to

Section 504 of the Rehabilitation Act of 1973

Section 504 of the Rehabilitation Act of 1973 provides: “No otherwise qualified individual with a disability in the United States ... shall, solely by reason of her or his disability, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program, service or activity receiving Federal financial assistance.”¹⁰³

Among other things, HUD’s regulations implementing Section 504 (in 24 C.F.R. part 8) prohibit recipients of Federal financial assistance, in determining the site or location of a facility receiving such assistance, from making site selections the purpose or effect of which would (1) exclude qualified individuals with disabilities from or deny them the benefits of a program or activity, or otherwise subject them to discrimination; or (2) defeat or substantially impair the accomplishment of the objectives of the program or activity with respect to qualified individuals with disabilities.¹⁰⁴ These prohibitions apply to both determining the site of permanent facilities and a site for relocation of residents.

Furthermore, HUD’s implementing regulations prohibit discrimination, the denial of benefits, or the exclusion of participation of individuals with disabilities from the programs or activities of recipients of federal financial assistance because a recipient’s facilities are inaccessible. Such recipients must provide qualified individuals with disabilities with program access, which may require modification of architectural features of facilities in RAD transactions for individuals with disabilities to have access to the program. Certain architectural specifications apply to facilities that are altered or newly constructed with HUD financial assistance, such as facilities where assistance is transferred and facilities used as temporary or permanent relocation sites for residents of a project undergoing a RAD conversion. If alterations are made to a housing facility, the alterations to dwelling units in the facility are required, to the maximum extent feasible (i.e., if doing so would not impose undue financial and administrative burdens on the operation of the project), to be made readily accessible to and usable by individuals with disabilities. If alterations taken to a development that has 15 or more units and the cost of the alterations is 75% or more of the replacement cost of the completed facility (except when it requires removal of structural load-bearing members), or if the facility is newly constructed, then a minimum of 5% of the total dwelling units, or at least one unit in a development, whichever is greater, must be made accessible for persons with mobility impairments. An additional 2% of the units, but not less than one unit, in a development must be accessible for persons with hearing and vision impairments.

In addition, regulations implementing Section 504 require recipients to make reasonable accommodations for persons with disabilities. A reasonable accommodation is a change, adaptation, or modification to a policy, program, service, or workplace which will allow a qualified person with a disability to participate fully in a program, take advantage of a service, or perform a job. Section 504 also includes effective communication requirements, such as

their programs and activities for LEP persons. E.O. 13166 directs all Federal agencies, including HUD, to issue guidance to help recipients of Federal financial assistance in providing such meaningful access to their programs.

¹⁰³ 29 U.S.C. § 794. HUD’s Section 504 regulation that applies to recipients of Federal financial assistance, including PHAs and Project Owners, is located at 24 C.F.R. part 8.

¹⁰⁴ 24 C.F.R. § 8.4(b)(5).

providing interpreters and alternate format documents (e.g., Braille, large print, accessible electronic communications) for persons with disabilities.

Additional detail and discussion of the interplay between Section 504, the Fair Housing Act, and Titles II or III of the Americans with Disabilities Act as these authorities relate to accessibility requirements is described in Part 2 of this Appendix.

Titles II and III of the Americans with Disabilities Act

Title II of the Americans with Disabilities Act (ADA) prohibits discrimination on the basis of disability in all services, programs, and activities provided or made available by public entities. Title II of the ADA applies to housing developed or operated by state and local governments, which includes a PHA. Title III of the ADA prohibits discrimination on the basis of disability by public accommodations and requires places of public accommodation and commercial facilities to be designed, constructed, and altered in compliance with established accessibility standards. For example, Title III applies to rental offices, sales offices, homeless shelters, hotels and motels, and commercial spaces associated with housing, such as daycare centers, social service offices, and sales and retail establishments. Titles II or III also will generally apply to community spaces and facilities, such as neighborhood networks, to computer centers (including the computers in the centers), and to transportation services and conveyances provided by PHAs and Project Owners.

Additional detail and discussion of the interplay between Titles II and III of the Americans with Disabilities Act, the Fair Housing Act, and Section 504 of the Rehabilitation Act as these authorities relate to accessibility requirements is described in Part 2 of this Appendix.

Section 109

Section 109 of the Housing and Community Development Act of 1974 (HCDA of 1974), Title I, prohibits discrimination on the basis of race, color, national origin, disability, age, religion, and sex in Community Development Block Grant (CDBG) programs and activities. Section 109 applies to RAD projects that receive CDBG or other assistance under Title I of the HCDA of 1974.

In addition to its responsibility for enforcing other Federal statutes prohibiting discrimination in housing, HUD has a statutory obligation under Section 109 to ensure that individuals are not subjected to discrimination on the basis of race, color, national origin, disability, age, religion, or sex by recipients of CDBG funds. Section 109 charges HUD with enforcing the right of individuals to live in CDBG-funded housing and participate covered programs and activities free from such discrimination. However, this additional statutory authority only applies to programs authorized under Title I of the HCDA of 1974, such as CDBG and programs, such as Section 108 loan guarantees and the Historically Black Colleges and Universities program.

Equal Access to HUD-assisted or HUD-insured Housing

HUD requires its housing programs to be open to all eligible individuals and families regardless of sexual orientation, gender identity or marital status. HUD recipients and subrecipients must comply with 24 C.F.R. § 5.105(a)(2) when determining eligibility for housing assisted with HUD

funds or subject to an FHA-insured mortgage, and when making such housing available. This includes making eligibility determinations and making housing available regardless of actual or perceived sexual orientation, gender identity, or marital status, and prohibiting inquiries about sexual orientation or gender identity for the purpose of making eligibility determinations or making housing available. Applicants are encouraged to become familiar with these requirements, HUD's definitions of sexual orientation and gender identity at 24 C.F.R. § 5.100, clarifications to HUD's definition of family at 24 C.F.R. § 5.403, and other regulatory changes made through HUD's Equal Access Rule, published in the Federal Register at 77 FR 5662 (Feb. 3, 2012).

Section 3: Economic Opportunities for Low- and Very Low-income Persons.

Certain HUD programs require recipients of assistance to comply with Section 3 of the Housing and Urban Development Act of 1968 (Section 3), 12 U.S.C. § 1701u (Economic Opportunities for Low- and Very Low-Income Persons in Connection with Assisted Projects), and the HUD regulations at 24 C.F.R. part 135. The regulations at 24 C.F.R. part 135 implementing Section 3 ensure, to the greatest extent feasible, that training, employment, contracting and other economic opportunities be directed to low- and very low-income persons, especially recipients of government assistance for housing, and to businesses that provide economic opportunities to low- and very low-income persons where proposed project is located. Recipients of funds covered by Section 3 must comply with 24 C.F.R. part 135, particularly subpart B-Economic Opportunities for Section 3 residents and Section 3 Business Concerns, and Subpart E-Reporting and Recordkeeping. HUD encourages recipients to search the national Section 3 Business Registry to find local businesses that prioritize hiring Section 3 residents.

Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970

The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, 42 USC § 4601 *et seq.* (URA) is a Federal law that establishes minimum standards for programs or projects receiving Federal financial assistance 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.¹⁰⁵ The URA implementing Federal regulations can be found at 49 C.F.R. part 24. Project-Based Voucher (PBV) and Project-Based Rental Assistance (PBRA) are considered Federal financial assistance for purposes of the URA. As a result, the URA will apply to acquisitions of real property and relocation of persons from real property that occur as a direct result of acquisition, rehabilitation or demolition for a project that involves conversion of assistance to PBV or PBRA programs under RAD.

¹⁰⁵ For additional guidance, see 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.

Section 104(d) of the Housing and Community Development Act of 1974

Section 104(d) of the Housing and Community Development Act of 1974, as amended, 42 USC § 5304(d), (Section 104(d)), is a Federal law that applies when a lower-income dwelling is demolished or converted (as conversion is defined in accordance with 24 C.F.R. § 42.305) to a use other than lower-income housing in connection with a Community Development Block Grant Program (CDBG) or HOME Investment Partnerships Program (HOME) funded activity. Under Section 104(d), a lower-income person is considered displaced and, therefore eligible for Section 104(d) relocation assistance if the person permanently moves from real property or permanently moves personal property from real property as a direct result of the demolition or conversion of a lower-income dwelling to a use other than lower-income dwelling unit in connection with a CDBG or HOME funded activity. The Section 104(d) one-for-one replacement housing requirements may apply with respect to occupied and vacant occupiable lower-income dwelling units that are demolished or converted to a use other than lower-income dwelling units in connection with CDBG or HOME funded activity. Section 104(d) implementing regulations can be found at 24 C.F.R. part 42, Subpart C. Additional HUD policy and guidance for Section 104(d) is available in HUD Handbook 1378, Chapter 7.

Part 2 – Accessibility Requirements

Federal accessibility requirements apply to all RAD projects – whether they include new construction, alterations, or existing facilities. Applicable laws include, but are not limited to, the Fair Housing Act, Section 504 of the Rehabilitation Act, and Titles II or III of the Americans with Disabilities Act (ADA). A PHA or Project Owner must comply with each law that applies to its project and with the requirement that provides the most accessibility when two or more laws apply. All three laws include new construction requirements. Substantial alterations, additions, rehabilitation and existing facilities must be in compliance with applicable requirements of Section 504 and the ADA.¹⁰⁶ All three laws may also require reasonable accommodations or modifications.

Accessibility Requirements for New Construction

The Fair Housing Act requires all “covered multifamily dwellings” designed and constructed for first occupancy after March 13, 1991, to be readily accessible to and usable by persons with disabilities. In buildings with four or more dwelling units and at least one elevator, all dwelling units and all public and common use areas must meet the Fair Housing Act’s design and construction requirements. In buildings with four or more dwelling units and no elevator, all ground floor units and public and common use areas must meet the Fair Housing Act’s design and construction requirements. The Fair Housing Act requires that all covered multifamily dwellings be designed and constructed so that public and common use areas are readily accessible to and usable by persons with disabilities; all doors are sufficiently wide to allow passage by persons using wheelchairs; all units contain accessible routes into and through the dwelling unit; light switches, electrical outlets, thermostats, and other environmental controls are in accessible locations; reinforcements are installed in bathroom walls to allow later installation

¹⁰⁶See 24 C.F.R. § 100.205 (Fair Housing Act) and 24 C.F.R. §§ 8.22 and 8.23 (Section 504). See also 28 C.F.R. § 35.151(b) and 28 C.F.R. part 36 (ADA Titles II and III regulations, respectively).

of grab bars; and kitchens and bathrooms are usable such that a person in a wheelchair can maneuver about the space.¹⁰⁷ These design and construction requirements apply whether the housing is privately or publicly funded, including housing supported by tax credits.¹⁰⁸

New construction of a multifamily housing project containing five or more dwelling units is also subject to physical accessibility requirements under Section 504. Under Section 504, a “project” includes all residential and appurtenant structures, equipment, roads, walks, and parking lots which are covered by a single contract or application for Federal financial assistance, or are treated as a whole for processing purposes, whether or not they are located on a single site.¹⁰⁹ The accessibility standards for new construction under Section 504 are the Uniform Federal Accessibility Standards (UFAS).¹¹⁰ HUD recipients may also use the 2010 ADA Standards for Accessible Design under title II of the ADA, except for certain specific identified provisions, as detailed in HUD’s Notice on “Instructions for use of alternative accessibility standard,” published in the Federal Register on May 23, 2014 (“Deeming Notice”). This option exists until HUD formally revises its Section 504 regulation to adopt an updated accessibility standard. Refer to HUD’s Deeming Notice for more information.

Section 504 also requires that a minimum of 5% of the total dwelling units or at least one unit, whichever is greater, is required to be accessible for persons with mobility impairments. An additional 2% of the total dwelling units or at least one unit, whichever is greater, is required to be accessible for persons with vision and hearing impairments.¹¹¹ HUD may prescribe a higher percentage or number of units upon request by any affected recipient or by any State or local government or agency based upon demonstration to the reasonable satisfaction of HUD of a need for a higher percentage or number, based on census data or other available current data, or in response to evidence of a need for a higher percentage or number received in any other manner. In reviewing such request or otherwise assessing the existence of such needs, HUD shall take into account the expected needs of eligible persons with and without disabilities.¹¹²

Title II of the ADA prohibits discrimination on the basis of disability in all services, programs, and activities provided or made available by public entities. Title II of the ADA applies to housing programs, including housing developed or operated by state and local governments, which includes PHAs. Title III of the ADA prohibits discrimination on the basis of disability by public accommodations, including rental offices, and requires places of public accommodation and commercial facilities to be designed, constructed, and altered in compliance with established accessibility standards. All newly constructed or altered facilities, including facilities altered to

¹⁰⁷ See 24 C.F.R. § 100.205.

¹⁰⁸ For more information about the design and construction provisions of the Fair Housing Act, see www.fairhousingfirst.org. See also the Joint Statement of the Department of Housing and Urban Development and the Department of Justice, Accessibility (Design and Construction) Requirements for Covered Multifamily Dwellings Under the Fair Housing Act (April 30, 2013), available at: www.hud.gov/offices/fheo/library/hudjointstatement.pdf.

¹⁰⁹ See 24 C.F.R. § 8.3.

¹¹⁰ The UFAS are available at <https://www.access-board.gov/guidelines-and-standards/buildings-and-sites/about-the-aba-standards/ufas>). See also 24 C.F.R. § 8.32.

¹¹¹ See 24 C.F.R. § 8.22.

¹¹² See HUD regulation at 24 C.F.R. § 8.22(c).

comply with program access and readily achievable barrier removal obligations that exist under Titles II or III of the ADA, must comply with the U.S. Department of Justice's ADA architectural accessibility standards as described in the following U.S. Department of Justice Technical Assistance document ADA Requirements, Effective Date/Compliance Date (Feb. 2011), http://www.ada.gov/revised_effective_dates-2010.htm.

Accessibility Requirements for Alterations

If a building was constructed for first occupancy after March 13, 1991, the building must be in compliance with, and all alterations must maintain the building's accessible features so that the building continues to meet, the Fair Housing Act's accessibility requirements. In addition, without regard to the date of construction for first occupancy, certain alterations may be required under the Fair Housing Act if requested by a resident as a reasonable accommodation or modification or otherwise required to remediate accessibility deficiencies in the design and construction of the building.

Under HUD's Section 504 regulation, alterations include any structural change in a facility or a change to its permanent fixtures or equipment. If alterations are undertaken to a project that has fifteen or more units and the cost of the alterations is 75% or more of the replacement cost of the completed facility, this qualifies as "substantial alterations," in which the new construction provisions of 24 C.F.R. § 8.22 apply.¹¹³

When alterations are made that do not qualify as substantial alterations, alterations to dwelling units in a multifamily housing project shall, to the maximum extent feasible, be made to be readily accessible to and usable by individuals with disabilities.¹¹⁴ If alterations of single elements or spaces of a dwelling unit, when considered together, amount to an alteration of a dwelling unit, the entire dwelling unit shall be made accessible. Once 5% of the dwelling units in a housing project are readily accessible to and usable by individuals with mobility impairments, no additional elements of dwelling units or entire dwelling units are required to be accessible under this provision. However, alterations to meet ongoing accessibility needs are always required, for example, in response to a reasonable accommodation request. Alterations to common areas or parts of facilities that affect accessibility of existing housing facilities shall, to the maximum extent feasible, be made to be accessible to and usable by individuals with disabilities. For purposes of this paragraph, the phrase "to the maximum extent feasible" shall not be interpreted as requiring that a recipient (including a PHA) make a dwelling unit, common area, facility or element thereof accessible if doing so would impose undue financial and administrative burdens on the operation of the multifamily housing project.¹¹⁵

All altered facilities covered by Titles II or III of the ADA must be altered in accordance with the U.S. Department of Justice's 2010 ADA Standards for Accessible Design and applicable ADA

¹¹³ See 24 C.F.R. § 8.23(a). The sole exception is that load bearing structural members are not required to be removed or altered.

¹¹⁴ HUD may require a higher number or percentage of accessible units pursuant to 24 C.F.R. § 8.22(c) and 24 C.F.R. § 8.23(b)(2).

¹¹⁵ 24 C.F.R. § 8.23(b).

regulations, unless subject to certain safe harbors identified in the 2010 ADA revised regulations for Titles II and III, as applicable.¹¹⁶

HUD will consider on a case-by-case basis a PHA's request to undertake limited new construction on the site of a Covered Project undergoing rehabilitation to comply with accessibility requirements on the site.

Additional Accessibility Requirements for Both New Construction and Alterations

Accessible units must be distributed throughout projects and sites and be available in a sufficient range of sizes and amenities so that a qualified individual with disabilities' choice of living arrangements is, as a whole, comparable to that of other persons eligible under the same program.¹¹⁷ This provision shall not be construed to require provision of an elevator in any multifamily housing project solely for the purpose of permitting location of accessible units above or below the accessible grade.

PHAs are encouraged to use universal design principles, visitability principles and active design guidelines in planning new construction or retrofit work, wherever feasible. However, adherence to universal design principles does not replace compliance with the accessibility requirements of Section 504, the ADA and the Fair Housing Act.

Program Accessibility Requirements

Under Section 504, recipients must operate each existing housing program or activity receiving Federal financial assistance so that the program or activity, when viewed in its entirety, is accessible to and usable by individuals with disabilities. Title II of the ADA also includes a program access requirement, while Title III of the ADA requires readily achievable barrier removal.¹¹⁸ Further, Section 504, the Fair Housing Act, and the ADA require that reasonable accommodations/modifications be granted to address disability-related needs of individuals with disabilities.¹¹⁹

¹¹⁶ See <http://www.ada.gov/regs2010/2010ADASTandards/2010ADASTandards.htm>.

¹¹⁷ See 24 C.F.R. §§ 8.26 and 8.27.

¹¹⁸ See 28 C.F.R. § 35.150; 28 C.F.R. § 36.304.

¹¹⁹ For more information on reasonable accommodations, see the HUD/DOJ Joint Statement on Reasonable Accommodations Under the Fair Housing Act at <http://portal.hud.gov/hudportal/documents/huddoc?id=JOINTSTATEMENT.PDF>. While this joint statement focuses on the Fair Housing Act, the principles discussed in the statement generally apply to requests for reasonable accommodation under Section 504, except, for purposes of Section 504, HUD recipients are required to provide and pay for structural modifications as a reasonable accommodation.

APPENDIX II: Recommended Relocation Plan Contents

While RAD mandates written relocation plans only for projects which involve permanent relocation (including, without limitation, a move in connection with a transfer of assistance) or temporary relocation anticipated to last longer than one year, HUD strongly encourages PHAs to document their relocation planning process and procedures in a written relocation plan. The following provides suggested content for required and recommended relocation plans. In the case of any discrepancy between this description of the recommended relocation plan contents and the provisions of the Notice to which this Appendix is attached or any applicable laws or regulations with respect to the URA or Section 104(d), the provisions of the Notice or applicable laws and regulations shall govern.

The basic elements of the relocation plan include:

- A general description of the project and project elements that may create relocation needs;
- Information on residents of the project and eligibility for relocation assistance and payments;
- Information regarding how the project will address the RAD right to return requirements and the project's re-occupancy policies;
- A detailed discussion of plans for temporary relocation assistance;
- A detailed discussion of any transfer of assistance;
- A detailed discussion of any offers of alternative housing options and plans for voluntary permanent relocation assistance;
- A detailed discussion of compliance with fair housing and civil rights requirements, including accessibility requirements;
- The relocation budget; and
- The appeals process.

The plan as a whole should discuss the specific steps to be taken to minimize the adverse impacts of relocation on the residents.

I. Project Summary

The Relocation Plan should provide a general description of the property (e.g., year built, location, number of units, configuration, resident population served). The project summary should also identify the nature of the activities to be undertaken, including acquisition, demolition, rehabilitation, and construction activities and additional detail regarding the project scope (e.g., gut rehab, systems replacement, modest in-unit renovations, transfer of assistance). The project summary should also discuss how any construction activities are to be implemented (i.e., vacate the property entirely, vacate specific floors or buildings, rehabilitation with residents in place). The summary should also discuss the overall theory of relocation, for example, whether a few households will be relocated off-site and the vacant units will be used as temporary housing before other households move back to their original units (a "hoteling" approach), or whether the vacant units will be permanently occupied, with the residents vacating other units to be renovated (a "domino" approach).

The relocation plan should also identify the funding sources which may trigger relocation requirements, with particular attention to the potential presence of HOME or CDBG funds which may trigger Section 104(d) requirements.

II. Project Occupancy

The Relocation Plan should provide information on occupancy of the property including the number of residents, their household type (family, elderly), any non-residential (commercial) occupants, and should identify how any routine needs (such as continuation of utilities such as telephone service) and civil rights compliance issues (for example, limited English proficiency, disabilities, reasonable accommodations and unit modifications that have been or may be necessary) shall be identified and addressed. The Relocation Plan may specify the community meetings, interviews and/or other processes that will be undertaken to assess the residents' needs.

The Relocation Plan should also address eligibility for relocation assistance and payments, applying the rules of the Notice to the particularities of the project.

III. Resident Return and Re-occupancy Policies

The Plan should address how the project will honor the RAD right to return requirements and the “no re-screening upon conversion” policy. With respect to residents who will be temporarily relocated, the Plan should include the methodology that will be used to determine the sequence in which residents will re-occupy units at the project after rehabilitation, demolition, and/or construction is completed, and to determine how residents are matched with units if the residents are not able to return to their original unit. For example, if units will come online in stages, the plan should outline how the PHA or Project Owner will determine when each resident will return to the property.

IV. Temporary Relocation Assistance

The plan should detail the temporary housing resources to be used, the anticipated duration of temporary relocations, notices to be provided and the temporary relocation assistance the PHA or Project Owner will provide for residents (Paragraph 2-7 of HUD Handbook 1378). Topics to be addressed in the Plan include:

- Temporary Housing Resources. The Plan should identify the nature and availability of the temporary housing resources the PHA or Project Owner anticipates using. On-site resources are generally preferred. However, in some cases, PHAs or Project Owners may need to use hotel rooms for short-term relocations, or market-rate apartments. If the PHA or Project Owner anticipates using other assisted housing resources (such as HCVs, public housing or other properties with regulatory restrictions), the PHA or Project Owner should take particular care to address regulatory issues.
- Allocation of Temporary Relocation Resources. The Plan should describe a fair and reasonable methodology for allocating temporary relocation housing to residents on a nondiscriminatory basis.
- Duration of Temporary Relocation. In the event that the Plan includes relocation which is anticipated to exceed one year, it should detail the requirements which apply to those

residents (such as the issuance of a *Notice of Relocation* to the resident covering eligibility for URA relocation assistance, the offer of permanent relocation assistance and payments at URA levels and, if conditions warrant, the subsequent issuance of a *Notice of Eligibility*) as distinct from requirements that apply to residents who are not relocated for more than one year.

- Packing and Moving Assistance. The Plan should address how the PHA or Project Owner intends to provide or reimburse for packing and moving services and expenses. Considerations the Plan may want to address include:
 - Instructions and supplies (e.g., boxes, markers, tape) to be provided if residents prefer to pack their own personal possessions and items of value;
 - Assistance in packing to be provided if residents need assistance or prefer not to pack their personal possessions;
 - Guidance on how residents request to pack their own possessions or to receive packing assistance; and
 - How the PHA or Project Owner intends to provide or reimburse for moving services and expenses. The PHA or Project Owner can choose to do one or more of the following:
 - Undertake the moves itself, using employees of the PHA or Project Owner or “force account labor”¹²⁰
 - Use a contractor or moving company
 - Reimburse residents for all actual, reasonable and necessary moving expenses.
- Storage. The Plan should address whether storage of the resident’s personal property is necessary and the arrangements for such storage.
- Damage or Loss. The Plan should address Insurance for the replacement value of the property in connection with the move and necessary storage and/or 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.
- Out-of-Pocket Expenses. The nature of out of pocket expenses vary based on the nature of the temporary relocation moves. For example, hotel stays or in-place renovation may trigger the need for reimbursement of meals while a kitchen is unavailable. The Plan should outline the anticipated out-of-pocket expenses and the PHA’s or Project Owner’s plans and budget with respect to these expenses.
- Leasing Arrangements. The Plan should address whether the resident will have a direct lease or other contractual relationship with the owner of the temporary relocation resource or whether the PHA or Project Owner will hold the lease and the resident will maintain a contractual relationship with the PHA or Project Owner.
- Utility Costs. The Plan should address whether residents will need to disconnect and reconnect necessary utilities and, if so, how the PHA or Project Owner anticipates managing this process and any associated expenses. Necessary utilities may include telephone, cable service, Internet access or other items. The Plan should address payment of utility deposits, if required at the temporary relocation housing (HUD Handbook 1378, paragraph 2-7(A)(3)).

¹²⁰ Defined at 24 C.F.R. 905.108.

- Reasonable Accommodations. The plan should address whether residents with disabilities will require reasonable accommodations during temporary relocation and, if so, how the PHA or Project Owner anticipates ensuring the provision of reasonable accommodations and any associated expenses. Reasonable accommodations may include, among other items, the provision of transportation assistance, relocation to locations which are physically accessible and located near public transportation, and modifications to policies to allow individuals with disabilities to reside with a live-in aide.

V. Transfer of Assistance

Relocation planning in the context of transfer of assistance is particularly complex. The PHA should address how RAD, URA and Section 104(d) requirements each apply, as the same activity may be treated differently under each regulatory framework. The Plan should specifically outline the PHA's procedures to ensure that the applicable requirements are applied to each situation appropriately. The Plan should also address whether relocation is required for any businesses or residents at the destination site. Finally, the Plan should address whether two moves – from the public housing site to an intermediate site and then to the transfer of assistance site – are necessary while the Covered Project is being constructed or rehabilitated.

VI. Alternative Housing Options and Voluntary Permanent Relocation Assistance

If the PHA or Project Owner seeks to offer alternative housing options, the Plan should identify those options and the manner in which they are presented to residents for decision. The plan should also outline the counseling the PHA or Project Owner will provide to assist the residents in determining what options may be available and the financial implications of those options, for example,

1. Discussion of whether units available in the market (either in the affordable market or the unrestricted market) will meet the financial and dwelling requirements of relocated residents;
2. The general area or location of unit(s);
3. Where applicable, the accessibility of such units for individuals with disabilities;
4. Criteria for receiving relocation assistance; and
5. Any other information that might benefit residents in their consideration of housing choices.

The Plan should identify how the PHA or Project Owner will work with any residents who have elected voluntary permanent relocation. The Plan should further include a description of the permanent relocation assistance the PHA or Project Owner will provide to such residents. Topics to be addressed in the Plan include:

- Replacement Housing. The Plan should address the availability of comparable replacement housing, the notices to be provided and the provisions to ensure that appropriate accessibility features are available in compliance with applicable laws and regulations.

- Fair housing considerations. The Plan should address referrals to housing not located in areas of minority concentration and compliance with requirements regarding accessible housing for persons with disabilities. The Plan should address how the PHA or Project Owner will determine if residents have paid for the acquisition and/or installation of accessible features in the housing from which they are being relocated and how the PHA or Project Owner will ensure that the replacement housing contains required and comparable accessible features or that the resident is appropriately compensated for the cost of acquiring and/or installing required and comparable accessible features.
- Packing and Moving Assistance. The Plan should address how the PHA or Project Owner intends to provide or reimburse for packing and moving services and expenses. Considerations the Plan may want to address include:
 - Instructions and supplies (e.g., boxes, markers, tape) to be provided if residents prefer to pack their own personal possessions and items of value;
 - Assistance in packing to be provided if residents need assistance or prefer not to pack their personal possessions;
 - Guidance on how residents request to pack their own possessions or to receive packing assistance; and
 - How the PHA or Project Owner intends to provide or reimburse for moving services and expenses consistent with 49 C.F.R. § 24.301 or, at the resident's option, 49 C.F.R. § 24.302.
- Storage. The Plan should address whether storage of the resident's personal property is necessary and the arrangements for such storage. See 49 C.F.R. § 24.301(g)(4).
- Damage or Loss. The Plan should address Insurance for the replacement value of the property in connection with the move and necessary storage and/or 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.
- Dislocation Allowance. The Plan should address when the resident is entitled to a dislocation allowance and the amount of such dislocation allowance, consistent with the URA Fixed Residential Moving Cost Schedule available at: www.fhwa.dot.gov/real_estate/uniform_act/relocation/moving_cost_schedule.cfm.
- Appliances. The Plan should address disconnecting, dismantling, removing, reassembling, and reinstalling relocated household appliances and other personal property.
- Security Deposits and Utility Costs. The Plan should address how the PHA or Project Owner anticipates managing transfer of utility arrangements, security deposits and any associated expenses. Utilities may include telephone, cable service, Internet access or other items that may have been in place in the resident's original home. See 49 C.F.R. § 24.301(h)(12).
- Replacement Housing Payment. The Plan should address the circumstances in which displaced residents may be entitled to a replacement housing payment (RHP) to cover the

increase, if any, in monthly housing costs for a 42-month period pursuant to URA requirements or a 60-month period pursuant to Section 104(d).¹²¹

VII. Relocation Budget

Based on the results of the planning process, the PHA or Project Owner 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.) This physical move cost total should be based on the move scenarios anticipated or projected by the resident survey. The move costs should consider:

For temporary relocation moves:

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

For permanent moves:

- Number and cost of one-time moves into another unit in the same building/complex.
 - Number and cost of one permanent move to a unit not within the same building/complex
 - Any required dislocation allowance
- 4) The estimated cost of projected increases in monthly housing costs and other expenses for temporary relocation (if applicable).
 - 5) The estimated cost of projected replacement housing payments (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.

¹²¹ See also, CPD Notice 2014-09 "Effective Date of Moving Ahead for Progress in the 21st Century Act (MAP-21) Changes to Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (URA) Payment Limits and Replacement Housing Payment Eligibility Criteria."

VIII. Written and Oral Communications with Individuals with Disabilities and LEP Persons and Use of Accessible Meeting Locations

The Plan should identify how the PHA or Project Owner will take appropriate steps to ensure effective communication with residents and other individuals with disabilities involved in the relocation, such as through the provision of sign language and other interpreters and large print, Braille, accessible electronic, and other alternate format written communications. The Plan should identify the measures to be taken to ensure the most integrated meeting settings appropriate to individuals with disabilities. The Plan should identify how the PHA or Project Owner will ensure meaningful access for LEP persons, such as through written materials and oral communications provided in languages other than English.

IX. Appeal Process

The Plan should specify the procedures to be followed if a resident disagrees with the PHA's or Project Owner'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. These procedures should include the process for filing a written appeal to the displacing agency and the specific appeal procedures to be followed consistent with 49 C.F.R. 24.10 (and 24 C.F.R. § 42.390 if Section 104(d) is involved).

X. Certification

The Plan should contain a certification of compliance with this Notice (or H 2014-09/PIH 2014-17, if applicable), the URA, fair housing and civil rights requirements and, if applicable, Section 104(d).

Technical Assistance

For detailed technical assistance regarding the contents or provisions of a written relocation plan, the PHA or Project Owner should direct questions to their RAD Transaction Manager or email rad@hud.gov.