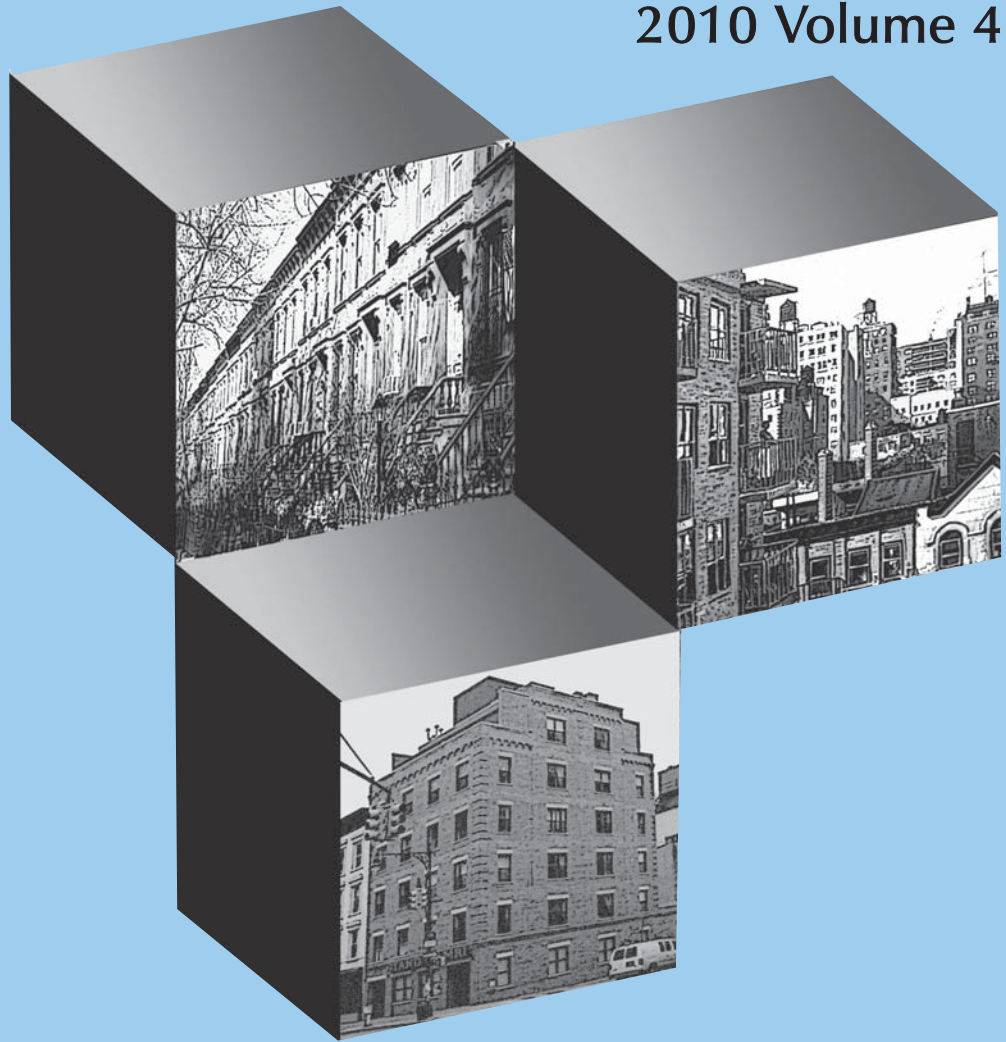


Proposed Consolidated Plan

2010 Volume 4



NYC PLANNING
DEPARTMENT OF CITY PLANNING CITY OF NEW YORK

Effective as of October 8, 2009

Proposed Consolidated Plan

2010
Volume 4



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PROPOSED 2010 CONSOLIDATED PLAN

October 8, 2009

VOLUME 4

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IV. OTHER ACTIONS

Introduction

This section includes the Consolidated Plan requirements that address: citizen participation; policies that foster and maintain affordable housing, or remove barriers to affordable housing; public housing authority activities including institutional structure, governmental coordination and resident initiatives; the elimination of lead-based paint hazards; the City's anti-poverty strategy; the institutional structure and coordination between public and private housing and social service agencies; the HOME HUD requirements; the HOPWA Eligible Metropolitan Statistical Area (EMSA) requirements; the certificate of consistency chart; certifications; and monitoring standards and procedures which ensures the City's compliance with the statutory provisions of the National Affordable Housing Act.

The Volume concludes with the summary of citizens' comments and Agencies' responses.

The federally-required Anti-Displacement Plan which describes the steps the City will take to minimize the displacement of families and individuals from their homes and neighborhood as a result of federally-funded project activities is on file and available for review at the Department of City Planning

A. Citizen Participation Plan

The Consolidated Plan regulations, Section 91.105, state that a citizen participation plan is required to be adopted by the City unless a plan that complies with section 104(a)(3) of the Housing and Community Development Act of 1974 has previously been adopted. New York City has had such a complying plan in effect for many years as an integral part of its budget process. This process, specified in the City Charter provides for citizen participation, as described below, on all programs, projects and services funded by the city's expense, capital and Community Development Block Grant budgets. Since the existing citizen participation plan complies with section 104(a)(3), adoption of a new plan is unnecessary; the following sections describe the existing citizen participation plan and process including a schedule of proposed activities.

The City of New York uses the calendar year January 1 to December 31 for the Consolidated Plan Year. The City's budget process outlined below follows the City's Fiscal Year which is July 1 to June 30. Please note that because the city fiscal year overlaps the Consolidated Plan year by six months, (the first six months of the Consolidated Plan year is the last six months of the City Fiscal Year) the programs and budgets identified in the Consolidated Plan were actually adopted by the City Council in June. Thus, the Consolidated Plan programs and budgets will be subject to an amendment if needed. A substantial amendment will be presented to the public with a 30 day review period when and if programs are added, deleted or adjusted in their allocations as described in the Substantial Amendment section below. The substantial amendment is submitted to HUD after the public review period.

As stated in Volume One, this document, the Consolidated Plan, is the City's application for the four HUD Office of Community Planning and Development Entitlement Programs, CDBG, HOME, ESG, and HOPWA. The allocation of these funds will be for housing, homeless, supportive housing and community development programs and are determined in the City's Budget Process. The Consolidated Plan focuses on the money expected to be received from HUD and the matching funds that the City uses primarily from City tax levy; however, funds from the State, the private sector, and nonprofit organizations are also described.

The Department of City Planning has placed the Consolidated Plan in its entirety on the Department's web site at:

<http://www.nyc.gov/planning>

The City's budget is required to be adopted on or before July 1 every year. Citizens are encouraged to get involved in this decision-making process. The City's budget process which is voted on by the City Council and as outlined below is subject to extensive public review and participation. The City has an established citizen participation process that is divided into three phases: 1. needs assessment and budget preparation (May to November); 2. preliminary budget (November to April); and 3. executive and adopted budget (April to July). The Budget Process solicits citizens comments at several stages before the final budget is adopted.

Citizen participation in developing the budget is mandated by the City Charter. Through months of consultations with the 59 community boards, expense and capital budgets for operating agencies are established. Additionally, public hearings may be held by the individual agencies to assist in the development and enhancement of their respective programs and operations. This provides the agencies with a significant understanding of community priorities for capital project and service delivery improvements.

This schedule emphasizes the participation of the community boards at the local level because, by mandate of the City Charter, these boards are charged with monitoring city service delivery, proposing budget priorities and reviewing development and land use proposals at the community level. The 59 local community boards are the primary mechanism for citizen participation in the budget process in New York City. Others wanting input into the city's budgetary decisions find it appropriate and useful to obtain a community board's endorsement of their proposals. Each board is composed of up to 50 people who live or work in the community district. All members of the community board are unsalaried volunteers appointed by the Borough President. Half of the members are

appointed from a list submitted to the Borough President by members of the City Council who represent the district. The other half are selected directly by the Borough President. Each board is allocated a city-funded budget to rent office space, dispense information and hire a District Manager and staff to carry out its objectives. Boards have a number of standing committees, such as health and hospitals, housing and zoning, budgeting, parks and recreation, and transportation. Many boards actively encourage non-board members to become committee members. In some boroughs, such "public" members have the right to vote. Community boards have existed in some parts of the city since the early 1960's. The Charter was amended in 1975 and 1989 to further institutionalize and broaden their advisory powers.

In April during the preliminary budget phase, the Consolidated Plan committee holds a Public Hearing to hear comments on how the housing, homeless, supportive housing and community development funds should be spent. The Public Hearing is to collect comments on the preliminary budget and the formulation of the Consolidated Plan. A brief question and answer session regarding the formulation of the Proposed Plan follows the Public Hearing. The comments received are summarized, and if appropriate, incorporated in this Plan. By October, the Consolidated Planning Committee consolidates the information and releases a Proposed Consolidated Plan for public review.

In early November, the Committee holds a public hearing to hear the public's comments on the Proposed Plan, which is followed by a question and answer session with City agency representatives in attendance. The public's comments are incorporated into the submission version of the Plan. The City submits the Consolidated Plan to HUD each year on November 15 in order to receive the federal funds on the first day of the Consolidated Plan Year, January 1st.

Opportunities for individuals, community boards, and other organizations to participate in planning and budgeting occur at many points in the following budget process schedule:

Phase 1: Needs Assessment/Budget Preparation

May/June	Community Boards assess community needs to prepare District Needs Statement.
Mid-June	District Needs Statements are submitted to the Department of City Planning.
June/July	District consultations are held between agency local service chiefs and community boards.
Early July	Reservations for borough consultations are submitted by all community boards to the Office of Management and Budget's Office of Community Board Relations (OCBR).
Mid July	Agendas for borough consultations are submitted by all community boards to OCBR.
By August 15	Agency policy statements are submitted to OCBR.
August	Budget request forms and instructions sent to community boards.
August	Budget consultation materials are sent to community boards and agencies.
September to early Oct.	Borough consultations are held between community boards and agencies.
September to October	Public hearings are held by community boards in their communities on budget requests and district needs.

Early October to early Nov.	Public comment period for the Proposed Consolidated Plan. To receive comments on the use of funds for housing, homeless, supportive housing and community development activities for the Proposed Consolidated Plan.
November 1	Final budget requests with priorities are submitted to OMB (at least 30 days before departmental estimates due date).

Phase 2: Preliminary Budget

Early November	Second Public Hearing on the Proposed Consolidated Plan to receive comments on the HUD submission.
Early November	Budget requests are sent to agencies by OMB for evaluation as part of the departmental estimates.
By Nov. 15	Consolidated Plan scheduled to be submitted to HUD.
By Nov. 15	Citywide Statement of Facility Needs: community boards and Borough Presidents may comment within 90 days.
Mid December:	Budget requests are returned by the agencies to OMB with response.
January 1	Consolidated Plan Year begins.
January 16	Mayor's Financial Plan and Preliminary Budget, which includes the agency departmental estimates, is released.
January 16	Register of Community Board Budget Requests for the upcoming city fiscal year is sent to the community boards. This includes agency funding recommendations for community board requests.
February	Agency heads write to boards to explain negative response to budget requests.
By Feb. 15	Public hearings are held by the community boards on the preliminary budget.
By Feb. 15	Statement on the Preliminary Budget is sent by the community boards to the Mayor, OMB, City Council, Borough Presidents, and Borough Boards.
By Feb. 25	Borough Board public hearing is held on the Preliminary Budget and Statement of Borough Priorities is submitted prior to Borough President executive budget submission.
By March 10	Borough Presidents Capital and Expense Budget allocations are submitted (5 percent share) to the Mayor and City Council for inclusion in the executive budget. Borough Presidents recommend changes to the Preliminary Budget.
Mid-March to late March	Public comment period for Proposed Consolidated Plan Annual Performance Report (APR). To receive comments on the City's use of federal funds for housing, homeless, supportive housing and community development activities for the previous Consolidated Plan Year.
By March 25	Public hearings on the preliminary budget are held by the City Council.

By March 31	Consolidated Plan Annual Performance Report is scheduled to be submitted to HUD.
Mid-April	First Proposed Consolidated Plan Public Hearing held to receive public comments on the formulation of the next year's Plan and the past year's use of funds for housing, homeless, supportive housing and community development activities funded by entitlement programs: CDBG, ESG, HOME, and HOPWA.

Phase 3: Executive/Adopted Budget

April 26	Executive budget is released by the Mayor.
April 26	Register of community board budget requests are sent to the boards which includes OMB funding recommendations.
May 3	Borough Presidents Modify Executive Budget Borough Allocations (5 percent share), when necessary.
By May 6	Borough Presidents Modify Executive Budget Recommendations, when necessary.
By May 25	Public hearings on the Executive Budget are held by the City Council.
May-June	Mayor writes to boards to explain negative responses to budget requests.
June 5	City Fiscal Year/CD City Fiscal Year Budgets are adopted by the City Council.
By June 6	The Budget is certified by the Mayor, Comptroller and the City Clerk.
July 1	City Fiscal Year begins.
July	The Mayor updates the Financial Plan - 30 days after adoption.
August	Borough Presidents may propose a reallocation of personnel and resources.

Citizens have an opportunity to participate in the above process in several ways: participate locally with the community board and organizations represented on community board committees; attend and testify at local hearings held by community boards and those held by the City Council. Hearings held in the fall facilitate the community boards developing their Statement of Community District Needs and Priorities and their Capital and Expense/CD Budget project/program requests. In February, citizens have an opportunity to testify at a community board public hearing on the Preliminary Budget in relation to community needs. Public hearings are held by the City Council in May on the Executive Budget and the Proposed Community Development Budget. In addition, the Consolidated Plan Committee will hold public hearings on the Consolidated Plan (both before and after the publication of the proposed plan). Notice of public hearings is made by means of mailed notices, newspaper notices and/or notice in the City Record. Information pertaining to programs and projects subject to public hearings is made available at the offices of the Department of City Planning, OMB and other agencies.

The citizen participation plan regulations specify required elements in seven areas. The required elements are incorporated in the schedule shown above. They are restated here by category to respond specifically to the regulatory language:

(1) Encouragement of citizen participation. The advance notice of public hearings, the provision of technical assistance and information to community boards and others, the schedule of multiple public hearings, and the availability of line agency staff to discuss proposals at community board meetings are part of the existing City's

budget process and are all designed to encourage widespread citizen participation in the development of the Consolidated Plan, any amendments to the plan, and the performance report.

(2) Information to be provided includes budget consultation materials, budget request forms and instructions sent to community boards, consultations between agency local service chiefs and community boards, agency policy statement and other materials made available during the budget process described above. Such information includes proposed budgets for programs and projects that would benefit persons of very low- and low-income and plans to minimize displacement of persons and to assist any persons displaced. The city plans to publish the proposed Consolidated Plan in early October and to hold at least one public hearing, in accordance with the schedule noted above. The plan is scheduled to be submitted to HUD by November 15. Copies of the Consolidated Plan will be available at all offices of the Department of City Planning and other city agencies. The City will provide at least 30 days to receive comments from citizens on the plan before it is submitted to HUD.

(3) Access to records. The city provides widespread access to records through the consultations, meetings and other communications during the budget process described above. Reasonable and timely access to information and records relating to the Consolidated Plan and its use of assistance for component programs during the previous five years will be assured as it has been during the Community Development Budget process. In addition, copies of the Consolidated Plan will be made available in alternative formats to the public in buildings accessible to persons with a disability.

(4) Technical assistance to groups representative of persons of very-low and low-income has been provided for many years in the budget formation process described above. Technical assistance is provided to all community boards by the Department of City Planning and OMB regularly, and by other agencies as needed. Community boards receive technical assistance during their committee meetings, board meetings, consultation with line agencies, etc., on identifying and promoting programs, projects and service improvements that will benefit their constituent population and economic conditions.

(5) Public hearings on the Consolidated Plan are required on at least two occasions during the year. The hearings will focus on housing, homeless, supportive services, and community development needs, development of proposed activities, and review of program performance. The Department of City Planning held a public hearing in April and has scheduled an additional public hearing on the plan in November. The first hearing was held as required for comment before the proposed Consolidated Plan was published. Notice of the hearings will include locations to obtain copies and data about the plan elements so that informed comments are facilitated. The hearings will be held at times and locations that are convenient to the population and will provide accommodation for persons with a disability, including a sign language interpreter. The plan will identify how the needs of non-English speaking residents will be met where public hearings can be reasonably expected to be attended by a significant number of non-English speaking residents.

(6) Comments and complaints. The Consolidated Plan will include consideration of any comments or views received in writing, or orally at the public hearings, in preparing the final Consolidated Plan. Attached to the plan will be a summary of the comments or views, including comments or views not accepted and the reasons for non-acceptance. The City budget process calls for agency heads currently to notify community boards in writing of the reasons for non-acceptance of their recommended programs or projects. The HUD requirement that a substantive written response to every written citizen complaint be made within an established period of time (within 15 days where practicable) will be met within the existing structure.

Substantial Amendments

Following are the criteria for what constitutes a substantial amendment to the Consolidated Plan in New York City:

- * if a site or area changes from one borough to another;
- * if the city deletes an activity or adds one to the Consolidated Plan; and
- * if a change results in a reduction greater than fifty percent (50%) of total activity category funding.

According to federal guidelines, a substantial amendment is also required by a locality if the amount actually received for a specific entitlement grant (CDBG, HOME, ESG and/or HOPWA) is fifteen percent (15%) greater or less than the locality's requested entitlement grant's amount (as outlined its Proposed Consolidated Plan).

The public is notified of any substantial amendments through public notices posted in three newspapers with city-wide circulation, an English-language, a Spanish-language and a Chinese-language. In addition, notices are mailed to the Consolidated Plan mailing list of approximately 2,100 citizens, public officials and organizations. An announcement informing the public of the substantial amendment is placed on the Department of City Planning's internet website. Lastly, a notice was placed as a public service message on the New York City-operated local cable television access channel. The notices included news about the availability of information and data contained in the amended Plan to better facilitate informed comments. The public is allowed 30 days to review and comment on the amendment before it is submitted to HUD. Public notices concerning substantial amendments are posted throughout the year. An updated Consolidated Plan with both substantial and minor amendments is submitted to HUD during the month of September.

Individuals and/or organizations who wish to be placed on the Consolidated Plan mailing list may contact: Charles Sorrentino, New York City Consolidated Plan Coordinator, Department of City Planning, 22 Reade Street 4N, New York, New York, 10007, or telephone (212) 720-3337.

Computerized Geographic Files for Mapping

The Department of City Planning, through the BYTES of the BIG APPLE project, provides the public with several base map files and data files of New York City, and it licenses one application to the public. GIS software is needed to use the base map files. Several free readers are available that can display, print and perform other mapping functions with these files. These free readers include ESRI's ArcExplorer (www.esri.com) and MapInfo's ProViewer (www.mapinfo.com). The data files can be used with database, spreadsheet or GIS software.

Free download of some of these files, along with descriptions, metadata, samples and/or user guides for all of the products, are available at the Department's website, <http://www.nyc.gov/planning>. The BYTES of the BIG APPLE pages can be directly accessed at: <http://www.nyc.gov/html/dcp/html/bytes/applbyte.shtml>

The following sets of files can be downloaded for free from the Department of City Planning website:

- **DCPLION Single Line Street Base Map** in MapInfo Table format and ESRI's File GeoDatabase format. This base map contains a single line representation of the City's streets with address ranges, street names and other geographic information.
- **NYC GIS Zoning Features** – this dataset includes three polygon feature classes representing the city's zoning districts, commercial overlay districts, special purpose districts, and one point feature class showing the approximate locations for restrictive/environmental declarations. These features are provided in ESRI shapefile and file geodatabase formats.
- **Administrative and Political Districts** are available in t ESRI/ArcView Shapefile. These files contain district outlines and district numbers. Citywide base map files are available for the following districts: Census Blocks, Census Tracts, Projection Areas, Police Precincts, Fire Companies, Health Areas, Health Center Districts, School Districts, Community Districts, Boroughs, Election Districts, City Council Districts, State Assembly Districts, State Senate Districts, Municipal Court Districts and Congressional Districts.
- **Selected Facilities and Program Sites** - Data providing the location, type and capacity of public and private community facilities in New York City, including schools, parks, libraries, public safety, day care, foster care, special needs housing, health and mental health facilities and programs. To facilitate

analysis and mapping, the data is geocoded and available in two formats: ASCII delimited text files and Microsoft Access database.

- **PAD™** - The PAD (Property Address Directory) file contains additional geographic information at the tax lot level not found in the PLUTO files (see below). This data includes alias addresses and Building Identification Numbers (BINs). It consists of two ASCII, comma delimited files: a tax lot file and an address file. The free download includes the Street Name Dictionary (SND) and SND Documentation.
- **nycProjectionAreas** – These are geographic files of Projection Areas (depicted in PLANYC 2030) as created by the Department of City Planning using whole census tracts as building blocks. They are available as an ESRI shapefile. An excel spreadsheet of equivalencies between census tracts and Projection Areas is also available.
- **NHoodNames** – This is an ESRI shapefile of neighborhood labels as shown on the New York: A City of Neighborhoods map.

The following sets of files are available through a license agreement with the Department:

- **PLUTO™** - Extensive land use and geographic data at the tax lot level in ASCII comma-delimited format. The PLUTO files contain more than seventy fields derived from data maintained by city agencies. Tax lot data for selected tax blocks or Community Districts can be extracted using the PLUTO Select application which is included with this product. The licensing fee is \$250 for citywide data.
- **MapPLUTO™** - PLUTO data merged with the Tax Lot features of the Department of Finance's Digital Tax Map (DTM). MapPLUTO is provided on five CD-ROMs, one for each of New York City's boroughs. Each CD contains datasets in two GIS vendor formats: ESRI Shapefiles and MapInfo Tables. The licensing fee is \$300 per borough.
- **Geosupport Desktop Edition™** - a Windows® based geocoding package boasting a 99% hit rate that allows for the standardization, validation and processing of geographic locations throughout New York City. The licensing fee is \$2250.
- For information on licensing these products, call (212) 720-3505.

Not-for-Profit Participation in the City's Consolidated Planning Process

In addition to the citizen participation outreach activities conducted in relation to the formulation and publication of the 2007 Plan, the Consolidated Plan Committee member agencies individually conducted citizen participation outreach activities relating to their own agency's area of expertise.

Department of City Planning

The Department encourages and fosters citizen participation in the planning process through the dissemination of publications such as, maps and reports which give citizens the opportunity to formulate informed comments.

Maps and publications include both citywide and local area planning and zoning reports; reference and statistical reports; 2000 census-based demographic reports; rules and regulations; various city-wide and borough-based maps; zoning maps, land use maps; and tax block and lot map atlases. These maps and publications are available for purchase at the Department of City Planning Bookstore, 22 Reade Street, New York, N.Y. 10007, (212) 720-3667.

Another approach available for citizens to participate in the City's planning process is called, a 197-a Plan, named after Section 197-a of the New York City Charter. In its plan, a community can portray its vision for the future by recommending strategies to address any or all of a range of concerns that may include land use, housing, economic development, environmental or social issues. The Plan may take several forms. It may be

comprehensive in scope, addressing a wide range of concerns throughout the community district, or it may focus on a single issue in all or part of the community district.

Plans for the development, growth and improvement of the city and of its boroughs and community districts may be initiated by (1) the mayor, (2) the City Planning Commission, (3) a borough board with respect to land located with two or more community districts, or (4) a community board with respect to land located within its community district. A community board or borough board that initiates any such plans shall conduct a public hearing on it and submit written recommendation to the City Planning Commission.

In order to assist communities formulate their Plans, the Department has released two publications: 1) Rules for the Processing of Plans Pursuant to Charter Section 197-a, which documents the rules governing the creation, submission, and review of the proposed plan; and 2) 197-a Technical Guide, which describes the standards regarding the proper form and content of the 197-a and to foster a sound planning policy.

In addition, New Yorkers are given the opportunity to participate in land use-related planning issues through the City's Uniformed Land Use Review Procedure (ULURP). As described in the ULURP Guidelines and Procedural requirements, the review process affords citizens the opportunity for input at public hearings held on various levels of municipal government: at the Community Board level, either as a Community Board member or as a resident of the Community; the Borough President, City Planning Commission, and City Council levels; and for hearings on special permits or applications for a variance to the City's Zoning Resolution, at the Board of Standards and Appeals.

City Planning Commission public hearings are held on alternate weeks throughout the year. To obtain information on the date and times of the Commission hearings, an individual or organization may access the Department of City Planning's Internet web site at: <http://www.nyc.gov/planning>.

Please refer to Part IV., Section B., Relevant Public Policies and Barriers to Affordable Housing for a description of which land use actions that require public review, i.e., ULURP.

Department of Housing Preservation and Development

HPD consistently welcomes comments and advice from the not-for-profit community to improve our programs and performance. Further, HPD is committed to a policy of providing access to non-profit organizations who seek to participate in HPD's development and rehabilitation programs, as well as in HPD's numerous community-based alternative management programs. HPD reaches out to the non-profit community by hosting regular Vendor Opportunity Sessions, which provide information on HPD and other City contract opportunities. HPD maintains a directory of not-for-profit agencies that do business with the Agency which is also used for direct outreach purposes. Firms in the directory regularly receive informational materials. Firms seeking information regarding the directory may contact the Economic Development Unit in the Office of Community Support Services and Equal Opportunity at (212) 863-7928.

Department of Homeless Services

Working with Communities

Homeless shelters are part of neighborhoods. As a result, DHS works with communities to address issues and concerns as they arise. Communication with local leaders and community residents is important for two reasons: First, as community residents understand how shelters have changed for the better over time, and are made aware of the ongoing improvements that are being implemented, they usually are more accepting of facilities and programs. Second, DHS relies on feedback from community members regarding facility operations so that the Department can address ongoing issues. One mechanism for community residents to make their concerns known is through the Shelter Community Advisory Board (CAB). Residents can contact the DHS Office of Communications and External Affairs to discuss setting up a CAB or any concerns and issues related to a local shelter. Local Community Boards as well as elected officials are also available to address community problems or issues. DHS Office of Communications and External Affairs diligently works to

maintain good relationships with elected officials and community boards in order to improve the quality of life for shelter residents and residents of the surrounding communities.

Office of Client Advocacy

The Department of Homeless Service's Office of Client Advocacy was established in June 2002. The Office assists clients by working in partnership with DHS staff, provider organizations and other community agencies. The Office operates the DHS toll-free Homeless Hotline. There are nine staff members located at two primary locations where they see clients. In addition they make site visits to meet clients at their shelters. We encourage clients to first work with their caseworkers or shelter staff to resolve individual issues. Client advocates are available to assist in mediating and resolving outstanding client, issues particularly housing. Advocates assist clients in the following ways: Providing crisis intervention for people at risk of becoming homeless; assisting clients to overcome the barriers to obtaining permanent housing; Negotiating with other agencies and providers on behalf of the clients; and helping mediate conflicts between shelter staff and clients. The Office of Advocacy is active in policy discussions within DHS and is a strong, effective voice advocating systemic reform on behalf of homeless New Yorkers.

Request for Proposal (RFP) Process

When DHS releases an RFP for homeless services, it requires that respondents submitting a proposal notify the Community Board of the Community District where the facility is located. The respondent must provide information about their proposal, including a presentation if requested by the Community Board. In addition, proposers are awarded points if they can provide letters of support from Community Boards, elected Officials, and civic and community-based groups.

Shelter Community Advisory Board (CAB)

Transitional housing facilities that receive DHS funding are obligated contractually to maintain active Shelter Community Advisory Boards that must meet regularly, unless DHS is otherwise notified in writing. Composition of an Advisory Board varies depending on the facility and its provider. Members may include the shelter director, local community residents, representatives of elected officials, and other city agencies, as well as the Police Department, community, business and religious leaders, shelter residents, etc. With help from the Shelter Community Advisory Boards, DHS is able to elicit information to improve services at specific sites, and obtain broad-based feedback that can also help to refine New York City's Continuum of Care.

HUD Notice of Funding Availability (NOFA) Process

The New York City Coalition on the Continuum of Care (The Coalition) encompasses an extraordinarily broad range of homeless stakeholders to ensure a decision-making process that is inclusive of and relevant to the City's evolving needs and resources and avoids an overlap, duplication or contradiction of efforts. The Coalition is the representative body of providers, consumers, community members and government that regularly meets to handle all the details involved with the HUD Targeted Homeless Assistance Grants. Representation on the Coalition Steering Committee by the provider coalitions (each of which serve a unique element of the homeless population) ensures that the needs and concerns and the planning activities of all homeless providers are carried to the Steering Committee. The Coalition's overall structure is designed to foster an ongoing exchange of information among consumers, direct providers, advocates, and the committees represented by the Coalition.

The Steering Committee meets monthly and is responsible for responding to the HUD SuperNOFA. This includes: Analyzing gaps and needs in the homeless and housing systems; establishing priorities and criteria for funding; establishing annual priority setting processes; evaluating renewing programs in cooperation with DHS; endorsing evaluation criteria and process of renewal evaluation; and endorsing the final ranking/priorities list of the Continuum of Care Homeless Assistance Grant Application. It is also responsible for reviewing and planning appropriate actions with regard to advocacy and policy issues of the New York City Continuum of Care and DHS and HUD related topics.

Currently, The Coalition Steering Committee consists of representatives from each of the following constituencies:

- Coalitions of providers of services to homeless people. The Steering Committee represents eight coalitions who in turn collectively represent more than 100 not-for-profit organizations throughout NYC. The eight coalitions representing all non-public entities include the Council on Homeless Policies, the New York City AIDS Housing Network (AHN), the Association of Housing for Runaway and Homeless Youth Organizations, the Coalition of Voluntary Mental Health Agencies, the NYC Coalition of Domestic Violence Residential Providers, the Supportive Housing Network of New York (SHHNY), the New York Association of Alcoholism and Substance Abuse Providers, Inc. (ASAP), and the Re-Entry Housing Roundtable coalition. Each member coalition appoints one representative and an alternate to the Coalition Steering Committee. This representation makes the New York City Coalition on the Continuum of Care a very unique and dynamic process in which the appointed representatives convey information about the planning process to the member organizations as well as carry information from the organizations back to the Steering Committee. The coalitions are elected by the provider organizations who have received McKinney Vento Continuum of Care funding in the past three NOFA years.
- Consumers. Eight consumer representatives sit on the Steering Committee. Each consumer representative speaks for a specific constituency of people receiving homeless services: those in the single adult shelter system, veterans, domestic violence, HIV/AIDS, substance abuse, mental health, formerly incarcerated / parolee, and those in permanent supportive housing. The consumer representatives are elected directly by their peers through a series of meetings held prior to the beginning of the new NOFA year cycle. Consumers receive a stipend for their participation and travel expenses.
- At-Large Members. The at-large members represent the diverse communities and interests affected by homelessness. These three members could include: advocates for homeless people, survivors of domestic violence, formerly homeless people, veterans, community development organizations, the faith community, and the academic community. At-large members apply through the Nominating Committee and are elected by the Coalition Steering Committee.
- Government Agencies. The government representation consists of relevant staff from the following government local and state agencies: NYC Department of Homeless Services (DHS), NYC Department of Housing and Preservation Development(HPD), NYC Department of Youth and Community Development(DYCD), NYC Department of Health and Mental Hygiene(DoHMH), NYC Human Resources Administration(HRA). The remaining three positions are solicited by the Nominating Committee from a pool of agencies that have included the NYC Administration for Children's Services (ACS), the NYS Department of Mental Health (OMH), and the NYS Office of Alcohol and Substance Abuse Services (OASAS).

The NYC Continuum of Care (NYC CoC) process generates considerable interest and involvement on the part of the public. The NYC CoC has a website www.nychomeless.com for all parties interested to keep up to date on happenings within the Continuum including meeting notices, agendas and minutes for all Steering Committee events and to download information about the CoC. The NYC CoC has a fully operational Homeless Management Information System (HMIS) with over 90% participation rate among CoC provider agencies. The 2008 NOFA also introduced HUD's electronic application process known as ESNAPS where all grantees submitted their applications and all supporting documents electronically.

Department of Health and Mental Hygiene/Office of AIDS Policy Coordination There are no changes in sections

For a discussion on the opportunities individuals and not-for-profits are given to participate in HOPWA-related activities, please refer to Part I, Section C2., Supportive Housing Continuum of Care for Special Needs Populations, b. Persons with HIV/AIDS.

New York City Housing Authority

NYCHA's Annual Plan process, a HUD-mandated report, includes multiple opportunities for resident and

general public involvement. The Plan is developed in consultation with 73 duly elected public housing resident leaders, the Resident Advisory Board (RAB), which consists of 50 delegates, 18 alternates, and 5 participants from the Section 8 program. In addition, NYCHA holds several town hall meetings and one public hearing on the formulation of the Plan, which are open to the general public. NYCHA's Community Operations Department facilitates and supports the activities of the RAB as they seek input from residents and fulfill their responsibility to (1) make recommendations and provide advice to NYCHA as it develops the Agency Plan and (2) disseminate information regarding the Plan to NYCHA residents.

NYCHA's Department of Community Operations works cooperatively with public, community-based and other not-for-profit agencies to facilitate the delivery of essential social, cultural, health, educational and recreational services to public housing residents. These services may be provided at community, senior, day care, and Head Start centers on the grounds of public housing developments or at non-NYCHA sites. Service providers may contract with NYCHA or another not-for-profit agency, operating under a sponsorship agreement with NYCHA. Center sponsorship agreements may be developed through direct application to NYCHA or through a response to a Request for Proposals (RFP) issued by NYCHA or by a funding agency. Program sponsorships may be developed either through direct applications to NYCHA or by responding to an RFP issued by NYCHA. The New York City Housing Authority regularly publicizes RFPs through various publications such as The City Record, the New York Times and other local publications.

If a not-for-profit assists unemployed or under-employed persons to achieve self-sufficiency through job placement programs, they are encouraged to contact NYCHA's Department of Resident Employment Services at 350 Livingston St, 6th Floor, Brooklyn, N.Y. 11217.

Not-for-profits interested in program sponsorships should contact NYCHA's Department of Community Operations at 90 Church Street, 5th Floor, New York, N.Y. 10007.

Department for the Aging

DFTA develops a Four Year Plan, updated annually, which outlines senior citizen needs and the Department's plans in all areas of services to the elderly, including community development and housing. Input from the public assists the Department to update its plans for the City Fiscal Year and to enhance its long range planning efforts on behalf of the City's elderly. DFTA invites the public, and especially New York's seniors, to attend annual public hearings, in all five boroughs, held each fall, and to present testimony and give recommendations and comments on the Plan and all issues of concern to older New Yorkers. The Plan is widely distributed prior to the hearings (there are over 2,000 copies mailed to community organizations, elected officials, community board offices, and individuals), with an appeal for response from the community. After the public hearings, DFTA prepares an executive summary and response which is available for viewing on the DFTA website at: www.nyc.gov/aging.

To obtain information on the date and times of hearings, an individual or organization may contact, in September, the Department's Planning Unit at (212) 442-0960 or on the Department for the Aging website at <http://www.nyc.gov/html/dfta>.

In addition to the public hearings, DFTA regularly hosts meetings with a Senior Advisory Council of elderly consumers and community partners, who represent a wide range of expertise, interests and perspectives. DFTA also meets formally with community boards, advisory committees, interagency councils on aging, and many other organizations to further receive community input and participation. Information on senior-related activities in the community may be obtained from each community board office.

Mayor's Office for People with Disabilities

MOPD maintains a working relationship with a variety of community-based not-for-profit organizations reflecting its role as a referral provider and liaison to the disability community, and its responsibility for developing and coordinating City policies that affect people with disabilities. Among the organizations MOPD works with are the Independent Living Centers, United Cerebral Palsy of N.Y., Inc., United Spinal, the

Lighthouse for the Blind, Disabled in Action, N.Y. Society for the Deaf, Open Housing Center, Jewish Guild for the Blind and others. These, and other organizations and individuals, are informed of the housing activities initiated and performed by MOPD, and are given the opportunity, through mailings, public presentations and MOPD's Internet web site, to share their ideas and perspectives. Organizations and individuals are invited to participate in the Consolidated Planning process, including hearings on the draft of the proposed Consolidated Plan. To obtain information on the date and time of hearings, an individual or organization may also contact MOPD directly by telephone (212) 788-2830, FAX (212) 341-9843, or TTY (212) 788-2838 or web site <http://www.nyc.gov/mopd>.

Human Resources Administration (HRA)

Commissioner Doar reestablished the HRA Commissioner's Advisory Committee and hosted the first meeting on June 13, 2007. This board, which meets with him and four of his executive staff quarterly, is comprised of 30 representatives from the social service community such as the Food Bank for New York City, Safe Horizon, and the Children's Aid Society, as well as consumers of HRA services. Its mission is to serve in an advisory capacity to HRA in the development, formulation and implementation of policies regarding, Cash Assistance, Medicaid, food stamps, Adult Protective Services, Home Care, employment, and other public assistance provided

HRA funds over 400 social service contracts with Community Based Organizations with an annual value over \$1.2 billion. HRA sends notifications of planned contract awards to the five Borough Presidents for distribution to all the 59 Community Boards. HRA notifies an extensive bidder's list that includes not for profits human services providers throughout the City of contracting opportunities. Human services providers can request to have their program added to the City's bidders list by requesting an application from the Vendor Enrollment Center, Office of the Mayor, Office of Contracts, 253 Broadway, 9th Floor, New York, NY 10007. The vendor can also obtain an application by calling the Vendor Enrollment Center at (212) 857-1680. The Vendor Enrollment Center can only distribute the NYC FMS Vendor Enrollment Application to vendors. The vendor needs to fill out the NYC FMS Vendor Enrollment Application, available on line at (www.nyc.gov/selltonyc).

Department of Health and Mental Hygiene

The Department of Health and Mental Hygiene encourages and fosters citizen participation through Citywide mechanisms for citizen input such as budget hearings, Town Halls and Community Board Meetings. Its Community Relations Unit acts as an interface between DOHMH and other government agencies and citizens, as well as the City's 59 Community Boards, various civic and block associations. The Unit provides outreach related to episodic or crisis issues and handles complaints related to public health and mental hygiene issues. The Department places particular emphasis on planning community-based strategies to address public health issues, targeting services on a neighborhood-by-neighborhood basis and tracking the effectiveness of interventions.

The Division of Mental Hygiene, which is responsible for planning and providing an integrated, community-based system of contracted mental hygiene services, funds services through not-for-profit community-based organizations, municipal hospitals and other City agencies. Service provider agencies, consumers, advocates and others participate in planning mental hygiene service delivery through established networks and planning and advisory bodies. The Division routinely works with mental hygiene professionals and consumers in developing service plans. The Planning Office prepares and disseminates planning and resource documents and hosts public forums and public hearings to assist planning mental hygiene services.

Planning Councils have been established for each of the three mental hygiene components -- mental health, developmental disabilities and chemical dependency --in each of the City's five boroughs. The Councils provide valuable input into needs assessment, planning and evaluation. Each Council has representatives from the provider and consumer/advocate networks. The Councils conduct monthly meetings to address problems, priorities and policies as they relate to the borough neighborhoods and input directly into plans and actions under review by the City and the State mental hygiene sectors.

Two advisory bodies provide important input into the Division's policy development. The Community Services Board meets on a monthly basis and is comprised of fifteen citizens appointed by the Mayor. The New York City Federation for Mental Health, Mental Retardation and Alcoholism Services is a comprehensive structure which represents not-for-profit organizations, consumers and advocates. It is comprised of borough council representatives and other public/private participants. It convenes its Executive Committee on a bi-monthly basis for briefings from the Deputy Executive Commissioner for Mental Hygiene and to provide input into service planning and policy development. The Division uses formal records of these and other meetings and workgroups as planning tools in establishing goals and in constructing Local Government Service Plans.

The Department produces a number of publications that report important initiatives and community events, examine policy issues, and review new diagnostic tools and treatment methodologies. It also maintains and publishes comprehensive monthly schedules of community meetings and other resources available to the public. It responds to citizen inquiries, prepares informational mailings, periodically holds public hearings, provides training for professionals and maintains the Internet WEB. The Office of Communications is responsible for developing media campaigns that educate the public regarding important health and mental hygiene issues.

The Division of Mental Hygiene's Office of Consumer Affairs was established in 1994 to inform and educate consumers and advocates. It affords another formal mechanism for public input. Its publication, *From the Edge*, provides information and perspectives on issues of vital importance to consumers and providers as well as a forum for consumer input on a wide variety of topics and experiences through poems and other writings. A Resource Page provides names and phone numbers of key contacts for information and support.

Persons interested in participating in Departmental activities can contact the Office of Communications by visiting the Department's web site at: <http://www.nyc.gov/health>.

Department of Youth and Community Development

Department of Youth and Community Development

Public Participation Activities of the Department

The Department of Youth and Community Development (DYCD) receives input from the public through numerous advisory boards: The New York City Youth Board; the Workforce Investment Board Youth Council; the Neighborhood Advisory Boards; the Community Action Board; the Joint Youth Services Planning Committee; the Interagency Coordinating Council on Youth; and the New York City Integrated County Planning Work Group.

The New York City Youth Board/The Workforce Investment Board Youth Council

The New York City Youth Board serves as an advisory body to DYCD. The Board identifies youth priorities and recommends strategies and services that address the needs of youth, makes recommendations on the formation of programs and policies that promote youth development, advocates for youth with the executive, administrative, and legislative bodies of government and the community at large. The 28 members of the Youth Board are appointed by the Mayor, half of whom are recommended by the City Council. The membership comprises leaders from business, academia, government, foundations, and community-based organizations, as well as two youth representatives.

The Youth Council of the Workforce Investment Board makes recommendations on youth services that would strengthen the capacity of education, youth development, and training programs to provide high-quality services that are aligned with workforce skills required for employment and civic success in New York City. The Youth Council consists of youth representatives and representatives from industry, human service organizations, and government agencies who have special interest or expertise in youth workforce development policy. The Youth Council and the Youth Board share members and jointly conduct meetings.

The Youth Board/Youth Council appoints advisory groups and committees as needed to carry out its work. Currently these include: a Funding and Resources Allocation Committee; a Standards, Rules and Nominations Committee; and a Program Workgroup. Current Youth Board/Youth Council initiatives include:

working with DYCD to develop programs and partnerships that address the needs of disconnected youth; developing corporate sector youth employment opportunities; overseeing implementation of the Out-of-School Time initiative and other youth-oriented programs; advising on DYCD's concept papers for upcoming Requests for Proposals; and advocating for youth development and workforce programs.

Neighborhood Advisory Boards

The Neighborhood Advisory Boards (NABs) participate in the community development planning process for their low-income communities, designated as Neighborhood Development Areas (NDAs). The NABs identify the communities' service needs and guide DYCD in allocating federal Community Service Block Grant (CSBG) funds. These funds support community-based human service programs in areas such as education, employment, health, housing, immigrant services, senior services, and youth development. NABs are composed of local community residents within each of the 43 corresponding NDAs. Each NAB has up to 12 members appointed by DYCD, six of whom are nominated by public officials representing the area.

The Community Action Program

This program was instituted as a result of the Economic Opportunity Act (EOA) of 1964 to address the causes and consequences of poverty in the United States. CSBG funds support the operation of networks of local Community Action Agencies (CAAs) that create, coordinate, and deliver many programs and services to low-income Americans. In keeping with federal and state mandates, CAAs use allocated funds to mobilize additional resources from local businesses and foundations, as well as other public sources, to assist low-income individuals to achieve self-sufficiency and combat the central causes of poverty in their communities. As the CAA for New York City, DYCD distributes CSBG resources to 43 Neighborhood Development Areas (NDAs) that qualify for CSBG funding in the City's five boroughs. In FY 2009, CSBG funds supported more than 400 Community Action Programs to provide a broad range of services that combat poverty, offer emergency services to low-income people, and empower people to achieve self-sufficiency which leads to revitalizing low-income communities in the NDAs. These services address the unique needs and assessments of each community and its residents. Services include youth academic support and leadership programs, adult literacy instruction, immigrant support, fatherhood, housing assistance, seniors and family support services, and health insurance enrollment.

The Joint Youth Services Planning Committee:

The Joint Youth Services Planning Committee (JPC) serves as an advisory body to DYCD in fulfilling its City Charter responsibilities concerning neighborhood youth services. The JPC was originally created as a forum for DYCD officials and local government representatives to discuss youth issues and programs, and to provide an opportunity to plan for and coordinate neighborhood youth services. The JPC consists of 20 representatives, including the five Borough Presidents or their representatives and 15 Community Board members, three from each borough selected by the respective Borough Presidents.

The Interagency Coordinating Council on Youth:

The Interagency Coordinating Council on Youth (ICC) was created in 1989 to promote interagency collaboration on issues relevant to New York City youth. Pursuant to provisions of the New York City Charter, the ICC comprises representatives of each city agency providing services to youth, as well as representatives of the DYCD Youth Board and the City Council. The ICC is chaired by Dennis M. Walcott, Deputy Mayor for Education and Community Development, and directed by DYCD Commissioner Jeanne B. Mullgrav. The ICC meets quarterly; meetings are rotated among member agencies. The ICC holds at least one public hearing annually. Work groups on special topics are formed as needed. Current work groups include the following. The Court-Involved Youth Group was created to develop and strengthen interagency collaborations to improve the effectiveness of services to court-involved youth and their families. The After School Work group promotes quality after-school and extended-learning opportunities for New York City youth. The Middle School Work Group helps member agencies design and coordinate services for youth in grades 6, 7, and 8.

In an effort to support the outreach efforts of ICC members, DYCD created the ICC *Youth Community Service Directory* which provides a listing of youth volunteer opportunities available at ICC member agencies. The

information provides parents, teachers, youth workers, and guidance counselors who are interested in finding practical ways for youth to serve their communities while developing leadership skills and exploring educational and career interests.

Commission on Human Rights

The Commission on Human Rights has several formal mechanisms for receiving input from citizens. In addition, since the Commission serves the public directly, citizens have frequent informal opportunities to give input. The Commission also reaches citizens through 311 call referrals and its extensive website.

The Commission on Human Rights holds quarterly meetings of its Commissioners that are open to the public. The Commissioners are appointed by the Mayor and serve without compensation. They come from the diverse communities of New York City and advise the Commissioner/Chair on matters of policy pertaining to the mission of the Commission on Human Rights. At regularly scheduled meetings of the Commissioners, members of the public may comment on Commission policies and activities. Members of the public interested in attending the meetings may check with the Public Information Office of the Commission to verify the time and place of Commission meetings. The names of the Commissioners are listed in the Green Book. They can also be obtained from the Commission's Public Information Office (212) 306-7530 or from the Commission's website: <http://www.nyc.gov/cchr>. Citizens are also invited to contact the Commission on Human Rights through the website with any questions or concerns.

The Commission periodically holds public hearings on issues relevant to the agency's mission. Public officials, experts and members of the public are invited to testify.

The Commission's 5 borough-based Community Service Centers provide community-centered work, and members of their staffs regularly attend hundreds of community board meetings, block association meetings, and community-wide events. The Commission's Community Service Centers are open five days a week and welcome groups and individuals with Commission-related concerns to contact them. Commission staff regularly works with not-for-profit organizations, neighborhood associations, tenant groups, and private and public officials on education and advocacy projects. Organizations concerned with discrimination in housing, public accommodations, and employment or with cultural diversity and intergroup relations co-sponsor or participate in Commission events. In addition, the Commission often helps these groups to organize activities.

Please refer to Volume 3, Part III. Action Plan, Section C., Program Descriptions, for Commission on Human Rights Neighborhood Human Rights Program locations and telephone numbers of the Community Service Centers.

Other information about the Commission, including downloads of its publications, can be obtained through the Commission website at <http://www.nyc.gov/cchr>.

B. Relevant Public Policies and Barriers to Affordable Housing

Although this Section addresses the HUD Consolidated Plan regulations titled, Barriers to Affordable Housing, the following discussion describes the ways the City of New York's strategy promotes the construction of new low income housing as well as the preservation of existing low income resources which would remove or ameliorate negative effects that serve as barriers to affordable housing. In addition to providing direct funding for the construction and rehabilitation of low income housing, the City has also encouraged the development of these resources through various means, including its zoning resolution and the real property tax system.

In addition, this Section will explain how the City's public policies address the cost of housing and provide incentives to develop, maintain, or improve affordable housing. In particular, the City's policies including tax policies affecting land and other property, land use controls, zoning ordinances, building codes, fees and charges, growth limits and policies that affect the return on residential investment help accomplish this goal.

Tax Policies

Tax incentive programs are integral part of the City's effort to produce affordable housing. The incentives provide a method of inducing developers to either construct new housing or rehabilitate existing housing for low- and moderate-income households without the increased costs associated with increased property assessments. By limiting the tax assessment, developers are able to maintain a margin of profit without the need to increase existing rents to cover the costs associated with the increased assessment. The City sponsors two tax incentive programs; 421(a), and J-51 which assist in the production of thousands of units. In previous years the City also offered the 421(b) exemption program for new private housing; however, the 421(b) exemption expired effective July 1, 2006 and has not been extended. For the 2008 Consolidated Plan program year, the exemption will apply only to projects whose construction started before July 1, 2006 and will reach completion by July 1, 2008. For CFY08 approximately \$34.6 million in City property taxes was exempted for new private homes already under construction.

421(a) Partial Tax Exemption Program

The 421(a) Partial Tax Exemption Program refers to Section 421(a) of the Real Property Tax Law of the State of New York and Section 11-245 of the New York City Administrative Code which provides for partial property tax exemption benefits for new multiple dwellings. Newly constructed Class A Multiple Dwellings of three units or more, including cooperatives or condominiums, are eligible provided they meet all program requirements. The site on which any qualifying multiple dwelling is constructed must have been vacant, predominantly vacant, underutilized, or nonconforming, as of 36 months prior to the commencement of construction.

Properties which receive 421(a) "Certificates of Eligibility" are partially exempt for a set period of years from taxation on the increase in assessed valuation resulting from the construction or improvement. Depending on where a property is located, whether the units are developed with substantial government assistance and whether the units are developed under the Low Income Housing Production Program, four tiers of benefits are provided for these buildings: 10, 15, 20 or 25 year exemption.

The 421(a) Program benefits the City's renter (elderly renter, small-related, large-related, and other renter household); homeless (homeless individuals, homeless families with and without children, and homeless youth), and homeowner (existing and first time) populations in all income categories (very low-, low-, moderate-, and other moderate-income) while addressing slums and blight conditions in low- and moderate-income areas.

For rental properties, HPD will set the maximum rents which may be charged, and the units receiving benefits are fully subject to rent regulation during the period for which they are receiving tax exemption.

In CFY08 approximately 514.6 million in City property taxes were exempted for New Multiple Dwellings under the 421(a) program for residential properties.

J-51 Tax Exemption/Abatement Program

The J-51 Tax Exemption/Abatement Program refers to Section 489 of the Real Property Tax Law of the State of New York and Section 11-243 of the Administrative Code of the City of New York provides a real estate tax exemption and/or abatement to property owners who either rehabilitate existing dwellings or convert other buildings to multiple dwellings. In order to receive benefits under the HPD-administered J-51 Program, eligible improvements must be completed by December 31, 2007. Originally enacted in 1955 to encourage landlords to upgrade cold water flats, the program has expanded to provide benefits for major capital improvements (such as the replacement of heating, plumbing or roofing systems, installation of new windows, or exterior and parapet wall repointing), substantial rehabilitation of existing multiple dwellings, conversions of other buildings, and the moderate rehabilitation of occupied buildings.

Under the program's tax exemption provisions, eligible properties may receive an exemption from taxation of any increase in assessed valuation which results from the qualified (approved by HPD) improvement. The program provides a 100 percent exemption on the increase in assessed value for a specified period of years. This is followed by a period in which the exemption percentage declines until it becomes fully taxable. While most eligible properties will be exempt from taxation on increases in assessed valuation for 14 years, improvements qualifying as a moderate rehabilitation of a substantially occupied building will receive a 34-year exemption.

Under the tax abatement provisions, eligible properties may receive an abatement of their annual tax bill equal to 8 1/3 percent of the Certified Reasonable Cost (CRC) of the improvement for a maximum of 20 years. The majority of eligible projects may utilize up to 90 percent of the CRC, while moderate rehabilitation projects may utilize 100 percent of the CRC, and eligible conversions in Manhattan may utilize up to 50 percent of the CRC to abate real estate taxes. Government-assisted moderate and substantial rehabilitations, or conversions receive an annual abatement equaling 12.5 percent of the CRC. These projects may utilize 150 percent of the CRC, or the actual cost of the improvement, whichever is less.

In many cases an exemption is not applied because the work performed did not result in a reassessment of the building. For example, when only major capital improvements are done the building's assessed valuation does not ordinarily increase. Therefore, no exemption is necessary.

In addition, since tax exemptions are given according to the increased assessed valuation resulting from improvements a property may benefit from more than one exemption and/or abatement in one year.

In CFY08, approximately \$125.4 million and \$100.0 million in City property taxes on residential property were exempted and abated under the J-51 program, respectively.

In addition, HPD administers the federal Low Income Housing Tax Credit (LIHTC) Program, a subsidy program for the creation or rehabilitation of rental housing for persons at or below 60% of the area median income. HPD programs that use LIHTCs include the Multifamily Rental-Mixed Program and the Supportive Housing Loan Program.

In addition to competitive 9% credits, HPD also issues so called 4% "as-of-right" credits for HDC tax-exempt bond projects through programs such as the 80/20 Program.

In allocating the credits HPD works with various tax credit syndicators although historically the New York Equity Fund, which is affiliated with the Local Initiatives Support Corporation and Enterprise Community Partners Inc, has syndicated the majority of projects.

Rent Regulations

New York State Law provides for a system of rent regulation in times of emergency shortages of housing. About two-thirds of the housing units in the city are rental units, which is a much larger proportion than in other areas of the country, and more than half of these units are regulated. The aim of these regulations is to protect tenants while at the same time preserving the owners' interest in maintaining the rental housing stock. There are

several mechanisms for controlling rents such as the rent control law; rent stabilization law; and the Senior Citizen Rent Increase Exemption (SCRIE). A discussion of the SCRIE program is found in the Continuum of Care for Non-Homeless Special Needs Populations; the Elderly and frail Elderly.

Rent controlled units are in private occupied rental building in existence before February 1, 1947 in which the tenants has been living in continuous occupancy since before July 1, 1971. Rent controlled units are regulated in New York City under the New York State rent control law. Rent protection applies to the unit and is not transferable with the tenant if he moves from a rent controlled apartment. The rent control law is administered by NYS-DHCR. All increases in rent are set and must be approved by DHCR. Annual rent increases of 7.5 percent are permitted until the unit reaches its maximum base rent, which is set by DHCR. If a rent controlled unit is voluntarily vacated, it is decontrolled, unless it is in a building with 6 or more units. In that case, the unit may become rent stabilized providing the legal monthly rent cannot be increased above \$2,000.

Rent stabilization in New York City provides regulation of rents for housing units in structures with 6 or more units built between 1947 and 1973. Tenants in buildings, of six or more units, built before February 1, 1947, who moved in after June 30, 1971, are also covered by rent stabilization. In addition, units built later which received a tax abatement are covered by rent stabilization. The rent stabilization law is administered by NYS-DHCR. Rent protection applies to the unit and is not transferable with the tenant if he moves from a rent stabilized apartment. Rent increases are determined annually by the Rent Guidelines Board, taking into consideration operation and maintenance costs, tenant and owner testimony and other factors.

Maximum increases for the year beginning October 1, 2009 and ending September 30, 2010, are 3% for one-year leases (2.5% where the tenant pays for heat) and 6% for two-year leases (5% where the tenant pays for heat). However, where the last vacancy lease for the subject apartment was executed six or more years prior to the commencement date of the subject renewal lease, then the increases are 3% or \$30, whichever is greater, for a one year lease (2.5% or \$25 where the tenant pays for heat) and 6% or \$60, whichever is greater, for a two year lease (5% or \$50 where the tenant pays for heat).

Under rent stabilization, an owner is entitled to a rent increase above the legal regulated rent under certain conditions:

If increased services or space are provided in an apartment, an increase is allowed as a permanent adjustment to the monthly rent.

If there is a building wide major capital improvement (MCI), an increase is allowed. The major capital improvement provides for a rent increase based on the cost of the improvement. However, the rent increase is permanent after the cost has been recouped.

Owners are provided with some protection when they can show hardship, for example, where income is insufficient to yield an adequate return as defined by law.

Increases under MCIs may not exceed 6 percent in any year.

Both rent controlled and rent stabilized units may be subject to deregulation dependent upon income and legal monthly rent levels. As stated previously, if a rent controlled unit is voluntarily vacated, it is decontrolled, unless it is in a building with 6 or more units. In that case, the unit becomes rent stabilized. However, if the legal monthly rent for the vacated unit can be legally increased to \$2,000 or more, the apartment may then be deregulated. Similarly, if a rent stabilized unit is voluntarily vacated and the legal monthly rent can be increased to \$2,000 or more, the apartment may also be subject to deregulation.

If households occupying either a rent stabilized or rent controlled unit earn \$175,000 or more for two consecutive years and their legal monthly rent is \$2,000 or more, the apartment may also be deregulated.

Land Use Controls and Zoning Ordinances

The following discussion on land use controls and zoning ordinances shows that these laws are designed to protect the public health and safety of residents and at the same time provide for orderly development when needed.

Uniform Land Use Review Procedure (ULURP) The Uniform Land Use Review Procedure (ULURP), as mandated by the City Charter, prescribes the City's land use review process, including public hearings and several levels of government approvals. At each level, review of ULURP applications by government and non-government sectors is conducted within discrete, Charter-specified time periods. The resulting timeline is structured to move an application through the review and approval process within a specified maximum time frame.

ULURP is triggered when a project involves any one of the following government actions:

- Changes to the official City Map (e.g., the addition, removal or remapping of a street or park);
- Designation of zoning districts, including conversion from one land use to another land use;
- Acquisition of land by the City, and disposition, sale, lease or by other means of City-owned property;
- Site selection for City facilities;
- Urban renewal and housing plans pursuant to city, state and federal housing laws;
- Special permits from the City Planning Commission (CPC);
- Landfills; and
- Franchises, concessions or revocable consents with significant land use issue impacts.
- Mapping of Subdivisions or platting of land

ULURP applications are reviewed by the affected Community Board(s), where a public hearing is conducted and recommendations are sent to the City Planning Commission. The Borough Board, if the application affects more than one community board, may conduct a public hearing. The Borough President of the affected borough, and the Borough Board, may also submit recommendations to the CPC or waive the right to do so. The CPC also conducts a public hearing as part of the ULURP process. Depending upon the particular nature of the application, a City Council review, and approval, may be required.

Not every housing project requires a ULURP action. A majority of housing preservation, rehabilitation and renovation projects, as well as new construction may be done as-of-right (e.g., the rehabilitation of privately-owned housing stock without landmark status or located outside of a special historical district) or are exempt from ULURP under the accelerated UDAAP (e.g., the new construction of less than four (4) housing units on disposed City-owned property).

The following table indicates projects that require city review:

<u>Type of Activity</u>	<u>Action</u>
Rehabilitation of any # of units on City-owned property to be disposed.	ULURP Exempt (City Council Project Approval Required under Accelerated UDAAP)
New Construction of 1-4 units on City-owned	ULURP Exempt (City Council Project

property to be disposed.	Approval Required under Accelerated UDAAP)
New Construction of >4 units on City-owned property to be disposed.	ULURP Review Required (the action reviewed is both the project and the disposition)
Projects which require change in zoning or special permits (e.g., commercial to residential)	ULURP Review Required

City Environmental Quality Review (CEQR)

The City Environmental Quality Review (CEQR) process is defined in Executive Order No. 91 of 1977, City Environmental Quality Review, and the Rules of Procedure of 1991, and is considered the City's equivalent to the National Environmental Policy Act (NEPA). The CEQR process is required for all discretionary ULURP actions. Although independent of ULURP application review, the CEQR process must also be conducted in a timely manner. Review of a site's environmental quality is necessary to ensure that the health, safety and well-being of the future occupants will not be endangered.

The CEQR process is conducted by each lead City agency (the agency which has submitted the ULURP application or is principally responsible for approving, funding, or executing the proposed project) pursuant to Section 8 of the New York State Environmental Conservation Law 6 NYCRR Part 617, New York City Executive Order No. 91 and the CEQR rules of procedure as amended 1991. The CEQR process identifies and discloses potentially significant adverse environmental impacts of proposed projects and discretionary government actions. The CEQR process ensures that the City Planning Commission and City Council make informed decisions prior to taking official action.

The CEQR Technical Manual (revised in 2001), is intended to guide lead agencies and standardize analytical methods. The CEQR manual guides the Department of City Planning's efforts to prepare and implement area-wide rezoning actions. Area-wide rezoning actions, particularly from manufacturing or commercial use to residential use, may increase as-of-right housing development, and spur private investment.

Zoning

New York City has the highest density residential zoning in the nation. At the same time, care has been taken to provide a healthy and attractive environment. New approaches have been developed since passage of the 1961 Zoning Resolution. These include incentive zoning, contextual zoning, special districts, air-rights transfer and restrictive covenant techniques. These approaches have been used to make zoning a more responsive and sensitive planning tool.

Density controls are one of several ways to control the intensity of development. The following table shows the maximum density in each zoning district.

<u>Zone</u>	<u>Description</u>	<u>Maximum Dwelling units per acre</u>
R1	Single-family detached residences	4 to 7
R2	Single-family detached residences	11 to 15
R3	Two-family detached, semi-detached, and general residence districts	26 to 42
R4	Two-family detached, semi-detached, and general residence districts	30 to 65
R5	General residence districts (provides a transition between lower and higher density neighborhoods)	65 to 80
R6	General residence districts	129 to 192

	(medium density housing between 3 and 12 stories)	
R7	General residence districts (medium density apartment houses with good access to public transportation)	192 to 322
R8	General residence districts (high density residential districts)	258 to 427
R9	General residence districts (high density residential districts)	444 to 495
R10	General residence districts (highest density residential district)	551 to 700

These density controls have no negative impact on the affordability of housing. Zoned densities are generally correlated with the distance from the central business district and the availability of mass transit.

The lowest cost housing to build is in the R3-2, R4 and R5 districts. These are the lowest density zones in which multiple dwellings are allowed and are widely mapped in the boroughs outside Manhattan. The densities permitted in these districts are greater than the densities permitted in most areas of the country. Moreover, they permit a variety of housing types, including low-rise rowhouses, garden apartments, and multiple dwellings. These housing types, such as the two-story back-to-back rowhouse, are among the lowest cost housing types to build. In addition, two-family houses in all districts, except R1 and R2, can allow a small second unit which provides rental income.

Housing affordability is also enhanced by the Quality Housing Program in R6 through R10 districts. This expands the potential for new residential development in the city by establishing as-of-right requirements permitting lower-rise, higher coverage apartment house development (thus allowing for more economical types of construction). In 1994, the City adopted numerous changes to the Quality Housing Program to facilitate and simplify development. The changes include the facilitation of development on irregularly-shaped lots in a manner consistent with neighborhood context, more economical building envelopes and greater design flexibility. This makes many more sites available for multifamily housing by making smaller sites easier to develop, while maintaining standards for housing quality.

The Inclusionary Housing Program provides as-of-right floor area bonuses in exchange for development of low income housing. The program was introduced in 1987 in the high density areas of the city, and was expanded in 2005 to include moderate and middle income housing and medium density districts. The city continues to expand the applicability of the program.

Building Codes and Code Enforcement

Scope of Agency Operations:

The Department of Buildings (DOB) ensures the safe and lawful use of over 975,000 buildings and properties by enforcing the Building Code, Zoning Resolution and other applicable laws. Each year it reviews over 65,000 construction plans, issues over 121,000 construction permits, performs over 454,000 inspections, and issues 21 types of licenses, registrations and certificates, resulting in over 15,452 licenses and registrations. It facilitates compliant construction by continually streamlining the permit application process and delivers services with integrity and professionalism.

Integrity And Service

During the past few years, Buildings has focused on improving construction safety by increasing transparency and accountability. The agency has introduced new technology, implemented innovative enforcement initiatives and working with the industry to improve construction safety.

New York City New Construction Code

The new NYC Construction Codes took effect on July 1, 2008. This is an important achievement for the Buildings Department and New York City. This mark the first comprehensive overhaul of the City's Building

Code in more than 40 years. Projects permitted from that date forward and until July 1, 2009 had the option of using the new codes or current Building Code. All projects permitted after July 1, 2009, the new NYC Construction Codes is in full effect. Over the course of the next year the Department will be focusing on the implementation of the new codes, which will involve significant rule writing, operational changes, training, and communication.

Building Safety Requirements

High Risk Construction Oversight

The past year marked the end of over five-year construction boom in New York City. During that time, contractors completed 28,554 new residential, commercial and mixed-use buildings across the five boroughs. As construction began to slow, there was an alarming increase in construction accidents and deaths, and two midtown Manhattan crane collapses brought widespread focus on the dangers in high-rise construction in densely packed cities. The Department launched the High-Risk Construction Oversight initiative – an intensive study of the three highest risk construction operations: crane and hoist, excavation, and concrete. Engineers and other experts observed New York City's construction practices at more than 400 sites over 600 times. They consolidated their findings from all five boroughs into 66 recommendations on areas for further study and ways the Buildings Department can improve construction safety and regulation.

Special Enforcement Plan

The special enforcement team identifies and pursues architects, engineers and contractors who blatantly disregard code and zoning regulations. The team raises construction standards citywide by examining the integrity of the Professional Certification program, issuing stop work to unsafe construction sites, identify and build cases against licensed and registered professionals who repeatedly do work contrary to the Building Code and Zoning Resolution, as well as providing integrity and accountability into the construction process. The team is made up of attorneys, plan examiners, inspectors and support staff. Since September 2007, the Special Enforcement team has inspected over 14,600 sites.

World Trade Center Building Code Task Force

In March 2002, the Department convened the World Trade Center Building Code Task Force, whose primary goal was to determine if code modifications were needed to ensure public safety in new and existing buildings. Its five working groups focused on structural strength, fire protection, emergency evacuation, mechanical systems and departmental operations.

Based on the WTC Task Force findings, Local Law 26 of 2004, signed by the Mayor in June, mandates many safety improvements for existing and new buildings. One of the retroactive provisions requires photo luminescent ("glow-in-the-dark") markings in all existing high-rise office buildings and directs the Department to promulgate standards for these materials and their installation. New York City's glow-in-the-dark safety markings are now the international regulatory model. After the terror attack on NYC on September 11th, it made building evacuation safety vitally important, and our laws require high-rise office buildings to have photo luminescent strips on handrails, steps and perimeters of enclosed stairwells to facilitate safe evacuations.

Local Law 7 of 2004 required the installation of carbon monoxide detectors in certain building types. Almost every house and apartment in New York City must have a carbon monoxide detector installed prior to November 1, 2004. This includes one and two family dwellings.

Customer Service

Plan Examination Notification System.

In CFY 2005, Buildings established the Plan Examination Notification System (PENS), using a customer relations management tool developed in conjunction with the Department of Information, Technology and Telecommunications (DOITT). By allowing customers schedule appointments for plan exams through the 311 Citizen Service Center virtually 24 hours a day, seven days a week, PENS dramatically increased the Department's capacity for scheduling plan exam appointments and increased the availability and access to constituents to this service. As a system, PENS interacts with the Department's Buildings Information System

to validate job information, leading to greater accuracy and more effective use of plan examiners' time. In addition, the system has allowed the Department to reduce the number of cancellations and entirely eliminate shadow and multiple appointments. Some of the benefits of PENS is that it allows a longer scheduling window with virtually 24/7 access to 311 call takers. It checks for multiple appointments for the same job/document combination and, in terms of communication, there is E-mail capability, and easy tracking of appointment.

In FY 2009, 311 staff members processed over 7,000 plan exam appointment requests each month. In addition to 311 scheduled appointments, the Department's borough offices also use the PENS system to schedule emergency appointments to provide an average of over 10,000 appointments to customers each month. Using the PENS system, Plan Examiners, administrative staff, and supervisors can print daily or weekly schedules of appointments, allowing them to plan ahead and prepare for daily appointments in limited four-hour periods. Additionally, these internal reports allow for better distribution of workload amongst staff to ensure optimal service levels and lower wait times.

Plan Examination Reconstruction

In CFY 2006, the Department made several changes to the plan examination process as part of a fundamental reconstruction of this important function. With the addition of new staff positions, the Department was able to reduce customer wait time; provide ongoing code and zoning training to examiners; deploy senior examiners to mentor their less experienced colleagues to share knowledge and enhance the consistency of reviews; and enlarge and modernize the plan examination facilities in Brooklyn and Queens to support a more professional process. The Manhattan High Rise Team was launched in February, 2007. The pilot program is intended to develop a better line of communication between the Department and Industry and to facilitate the timely review, approval, inspection and signoff of high rise buildings in Manhattan. A dedicated team of Plan Examiners meet with applicants to review the proposed project and oversee the application from pre-filing through approval. This plan examination reconstruction continued throughout CFY 2008, and is a major component of the Department's 2006–2009 Strategic Plan. Other Plan Exam initiatives currently being developed include efforts to streamline interagency operations with Housing Preservation and Development on applications involving Inclusionary Housing and Anti-Harassment districts. These efforts are intended to streamline the process and to better foster compliant affordable housing development.

Electronic Application Filing & Permitting

As the first step in Buildings' strategic initiative to offer more services online, Buildings launched the eRenewal Select pilot program in February 2005 to enable customers to renew select no-change permits online. Any individual with a valid and active general contractor tracking number or Buildings license number is eligible for an eRenewal account. Users may renew their permits, pay with a credit card and print the permits at their computer in a matter of minutes instead of relying on more time-consuming processing by mail or in person at the borough office. By the end of CFY 2007, hundreds of customers had registered with the eRenewal program and had renewed over 2,600 permits. In CFY 2007 the Department expanded its use of online technologies to facilitate faster and easier application processing, fee payment and permit issuance and renewal. The eFiling program enables the applicant to submit an application electronically, pay by credit card and then print the permit immediately, after online validation.

In March 2006, eFiling expanded to allow licensed electricians to submit electrical work permit applications and receive permits online. At the end of CFY 2009 over 2,000 electrical applications eFiled. All licensed electricians with an eFiling account can now interact with an improved web-based interface when preparing their job applications. Electricians can now process, from start to finish, electrical permit applications through a web-based interface. Though initially applicants (Professional Engineers and Registered Architects) will still be required to complete their application in person, a lot of time will be saved as eFiling will error-check and data-enter the application itself.

On February 19, 2008 the Buildings Department expanded the eFiling system to include the application preparation currently available in PC Filing, as PC Filing is discontinued. In CFY, over 88% of the applications are being filed via this new service.

Document Redesign & Online Availability

The Department continued its work on Operations Redesign, a comprehensive initiative to overhaul and streamline its core business processes to achieve greater efficiency, higher quality and more responsive customer service. In addition to the electronic filing and permitting applications described above, Operations Redesign achievements in CFY 2007 included a comprehensive revision of the work permit to conform to the version an applicant receives during the eRenewal process. The new permit is available immediately online upon issuance on BISWeb. The team also redesigned the electrical work permit to be more consistent with other work permit types; it is also available online immediately upon issuance. And finally, Operations Redesign improved the appearance and professionalism of the Letter of Completion and made it available on BISWeb immediately upon signoff of Alteration-2, Alteration-3 and Sign jobs.

Operations Redesign is rolling out a new form design that brings better consistency, readability and professionalism to the Department's forms. The PW1 is the first document filed with the Buildings Department to begin the application process. It has been revised to ensure applicants provide the necessary and most up-to-date information that reflects the current Building Codes, and it has a new, more user-friendly format. This revision includes several new fields, such as NYS Energy Code compliance, and it enhances existing sections, such as Demolitions and Signs.

Improved Online Resources

During CFY 2006 Buildings added significantly more content to its award-winning Building Information System on the Web (BISweb), including forms, detailed customer brochures and other informational resources. Buildings continues to improve BISweb to include, forms, expanded property profile overview with information on loft law, special districts and other restrictions. Enhanced search and navigation capabilities such as our licensed trades search, ability to view all filings in a community board, all permits for a property, and all addresses on one tax lot. Inspections information for certificate of occupancy and plumbing inspections, including daily service authorizations for Keyspan and Con Edison.

During CFY 2009, BISweb received an average of approximately 563,000 page requests per business day.

In CFY 2007, Buildings launched *My Community* – an online simplified permit search function that allows any member of the public to obtain lists of addresses with new building and/or demolition permits by Community Board.

Since July 2009 weekly-updated lists of stalled construction sites throughout the five boroughs can be found on BISweb.

Customer Service Improvements

The Department has established several new procedures to reduce customers' wait time and improve the performance of every unit serving citizens directly. The use of the Q-Matic customer service queuing management system has greatly enhanced managers' ability to manage their work processes and achieve these results. Borough and unit managers review their Q-Matic statistics daily to monitor customer service information such as wait times, number of applicants in queue at every window and number of applications processed by each unit and each employee. Managers use this information to transfer staff as necessary to ensure a consistent level of customer service throughout the day.

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day. All Q-Matic systems throughout the five boroughs were upgraded by the end of FY08. The Department plans to further upgrade customer service areas in the LAA/Permit Renewal, Administrative Enforcement Unit, and Licensing and Fiscal & Budget by the end of CY 2010.

To provide faster, better and more personalized assistance to customers, each borough office is staffed with Service Managers and Project Advocates. Service Managers are customer service professionals available to help customers better navigate the application process, while Project Advocates are architects and engineers who work individually with property owners to resolve unique technical issues, particularly those arising from complex, large-scale building projects.

The Alteration Repair Application/Permit Renewal unit, which issues permits for minor repairs of plumbing, oil burner and fire suppression work done by licensed contractors, implemented several process improvements, starting in CFY 2006 and continued throughout CYF 2009. These included: centralized same-day express application processing; an Emergency Work Notification program allowing for immediate responses to heat, hot water, and sewer emergencies; and the Standpipe Work Notification Program authorizing temporary fire suppression permits for new building construction sites.

In April 2008, Licensing began registering General Contractor per Local Law 8 of 2009 for 1, 2, 3 family homes. The volume of contractors with tracking numbers is over 8,000 and the number of insurances processed annually exceeds 27,000. The requirement by law was that all contractors be registered or transfer their tracking number to licensing by 11/1/08.

Required Items Reference Guide.

The Required Items Reference Guide is a publication made available by the NYC Department of Buildings as a courtesy to the public. The guide is a tool to assist filing professionals, applicants, owners and Department staff in establishing clear, concise and uniform standards regarding which required items apply to a particular work project and how and when the requirements must be satisfied. The online version is continuously updated to reflect current conditions and new or revised requirements. The guide is available to filing professionals, applicants, building owners and other customers, and is regularly used as an authoritative reference document by plan examiners, Certificate of Occupancy units and other Buildings staff.

Electronic Document Management

The Department receives nearly a million documents associated with application filings each year, all of which must be filed and stored for accessibility. In CFY 2006, the Department began defining the business requirements for a full-scale electronic document management program, which will enable plans and diagrams, photographs and other images associated with a job to be captured and viewed online. During CFY 2007 and CFY 2008, this system, coined "B-SCAN" streamlines the filing process, improve the quality of review, enhance the ability of disparate units to use documents simultaneously, and reduce the need for storage space in the borough offices. In addition, because these files currently may be checked out by members of the public for review, document management will prevent the problems associated with lost files. "B-SCAN makes it easier for the public, our customers and Department staff to access key information quickly and efficiently. By permanently archiving these documents on the Internet, it also reduces paper handling and document loss through online archiving. With B-SCAN implemented in all five boroughs, New York City residents and Buildings customers citywide are benefiting from this document management system.

Digital Badging System

In CFY 2005 Buildings began using new software to electronically produce licenses. The new system produces a more professional and fraud-resistant license and saves considerable staff time by streamlining the process. All renewing licensees since the inception of this system have received the new digital license card.

Plans to Advance Construction Safety

In July 2007, thy Buildings Department introduced Phase I of the Special Enforcement Program (SEP), to create a comprehensive enforcement plan to raise the bar for construction safety standards citywide. With continued

construction and development throughout the city, the purpose of DOB's Special Enforcement Program was to enable its staff to hold repeat offenders accountable, and to ensure quality, compliant construction throughout the five boroughs. Specialized units were created to identify and pursue those developers, owners, contractors, and professionals who demonstrate blatant disregard of the City's zoning and Building Codes. The Special Enforcement Program also targets substandard and problematic construction areas, change the way that professional certification is administered, increase inspections, and substantially increase fines and discipline for violation of the Building Code.

In February 2008, the Department launched Phase II of its Special Enforcement Plan to raise the bar for construction standards citywide. Building upon the foundation laid during Phase I of the plan, Phase II included additional staff to advance operational and enforcement strategies developed and tested over the past year to increase oversight and accountability throughout the construction process. The additional staff and new funding is being used to crack down on illegal after-hours construction, ensure contractors adhere to safety standards during interior demolitions, and increase proactive inspections of low-rise construction sites.

With the introduction of Phase III on May 18, 2008, the Buildings Department announced a \$5.3 million budget to fund new positions dedicated to enhancing oversight and enforcing construction safety requirements. The funding also enables the Department to implement Local Law 36, which requires general contractors building one, two and three-family homes to register with the Department. Overall, the Department will continue its ongoing enforcement campaign to increase the Department's presence on construction job sites, increase audits and tighten oversight over the professional certification program while changing its enforcement paradigm from a reactive model to a proactive one. The Department will have the resources to put a stop to substandard practices that has plagued construction sites and root out bad actors. Building on these accomplishments, the Special Enforcement Plan will further the Department's mission of ensuring the safe and lawful use of all of New York City's buildings and properties.

Field Inspection Technologies

The Department of Buildings employs more than 400 inspectors who perform more than 400,000 inspections a year. Currently, inspection appointments can be scheduled in-person or by phone, fax, or e-mail. In addition, inspections are triggered by citizen complaints, inspectorial sweeps, referrals from other agencies, and as periodically dictated by law. There is no standardized method of performing inspections, leaving the task list open to interpretation and without reference to Building Code requirements. The Department is currently working on a standardized inspection checklist.

The Buildings Field Inspection Recording and Scheduling Technologies (B-FIRST) will automate the inspection process for the following disciplines: Construction; Electrical; Elevator; Boiler; House Connections; Septic; Buildings' Enforcement Safety Team (BEST); Cranes & Derricks; Enforcement; Emergency Response Team (ERT); and Special Projects Inspection Team (SPIT).

The B-FIRST model will accommodate all inspection types within these trades, organized by the over-arching 4-stage business model that applies to all types of inspections: (1.) Inspection Scheduling; (2.) Inspection Dispatch (Preparation, Assignment and Routing); (3.) Inspection Results Recording In the Field via Structured Task Lists; (4.) Inspection Review and Sign-off. The first phase of implementation is scheduled for 4th quarter CY 2009.

Summary:

Since CFY 2002, the Department of Buildings has greatly improved the delivery of its services to the public and the building industry. These efforts will continue in CFY 2010. All of the initiatives mentioned here are designed to simplify the filing process, facilitate compliant construction and make buildings safer. These improvements should allow for a reduction in the development cost of housing, without compromising the Department's overriding mandate to protect the public's safety.

Heating Cost Relief

In addition to rent, utility costs (water, electricity and heating) impact housing affordability. New York City administers various programs which provide heating cost relief to low-income households.

The Home Energy Assistance Program (HEAP) is a federally sponsored program that assists many low-income persons with heating and weatherization costs. This program was created by the Low Income Home Energy Assistance Program Act of 1981. The act authorizes federal block grant funds for allocation to income eligible households to assist in meeting the costs of home energy.

The HEAP Program provides financial assistance to low-income households to help defer energy costs and to supplement fuel for income eligible households or their households vendor. Financial assistance is provided in one of three ways: as a regular grant, which is paid directly to the household's vendor that qualifies for the program; as an emergency grant, which is provided only to those households that pay for their own heat and have a verified threat of discontinuance of heat in the home; and through the Weatherization Program that helps reduce the energy cost of the households. HEAP-eligible households may also receive assistance in repairs of heat-related equipment and/or replacement if their heating equipment becomes inoperable during the heating season.

HRA certifies the HEAP eligibility of low-income families. The Department for the Aging (DFTA) is responsible for intake and outreach to recipients who are age 60 and over.

HRA issued approximately 749,082 regular heating and emergency grants totaling \$45,322,193 for HEAP XXIX (November 2008 through June 2009). Of this amount, HRA issued approximately \$23,381,290 in automatic payments to Public Assistance, Food Stamp and Supplemental Security Income (SSI) households that were eligible during the HEAP season.

The Weatherization Referral and Packaging Program (WRAP) is administered in the same manner as the HEAP program. Eligibility criteria for this weatherization program is the same as for HEAP. WRAP provides free home energy-related services to low-income residents of one to four family homes. The services are designed to lower energy bills and improve physical comfort of eligible low-income occupants. WRAP program provides direct service to target group HEAP eligible individuals at either of two levels, depending on the needs of the customer's needs:

Level I Qualified referrals to the weatherization assistance provider, when the services provided by the weatherization assistance grantee will fulfill the needs of the customer.

Level II packaging of services and resources to the customer when, after screening for eligibility, the liaison determines the need for comprehensive assessment of need, which ascertains that the customer would be better served by the packaging process which includes, (in addition to the needs assessment):

- Exploration and discussion of the client's needs;
- Provision of information regarding possible solutions;
- Encourage energy conservation;
- Development with the client of a plan of action;
- Development and maintenance of a directory of resources available to the target population;
- Implementation of the plan of action;
- Monitoring and follow-up of the plan of action and its desired results.

Services include: home visits to assess weatherization needs; referrals for emergency boiler and furnace repairs; and social service assessments and referrals. The WRAP program is responsible for coordination and follow-up of service delivery.

In FFY 2009, approximately \$62,000 in WRAP funds were allocated to assist New York's Weatherization referral activities.

Please refer to Part I, Section C2. Supportive Housing Continuum of Care for Special Needs Population, d., Elderly and Frail Elderly and Part III, Action Plan: One Year Use of Funds, Section C. Program Descriptions for various home repair and modification programs which assist the elderly, reduce heating through energy efficiency and modernization activities.

Barriers to Accessibility for Persons with a Physical Disability

Historically, land in New York City was subdivided into tax lots typically 20-25 feet wide by 100 feet deep. The main entrances of most multiple dwellings were raised above the level of the adjacent public sidewalks to increase privacy for the first floor residents. The buildings, accessed by steps, created barriers to housing for people with mobility impairments. This was also typical of older structures covering larger lots. No laws required them to be accessible to people with disabilities and generally no thought was given to this concept. Many of these buildings are still occupied today, some never renovated. Often it is impossible to make entrances to these buildings accessible because there is not enough property on which to construct a usable ramp.

It was not until 1968 that New York City's Building Code was amended to include provisions for accessibility in housing and other structures. When the code was amended, provisions covering accessible entrances and an accessible route to elevators were added. No provisions covering the design of the dwelling units were included.

An August 1987 Building Code amendment introduced significant features so that buildings, including housing, when newly constructed or renovated, included access features for people with disabilities. These provisions, known as Local Law 58 of 1987, cover areas such as the interiors of the dwelling units and common spaces. The interiors of existing buildings, when renovated, must include accessible features even when it is impossible to make the building entrance accessible.

The Department of Housing and Urban Development reviewed Local Law 58 of 1987 when it sought to draft the Federal Fair Housing Amendments Act of 1988. Unlike previous Federal laws covering access for people with disabilities in housing, the City's law requires that all units in multiple dwellings with elevators and ground floor units in buildings without elevators be accessible to people with disabilities, a strategy meant to increase housing options for people with disabilities at all income levels, since it covers both public and private housing.

The majority of construction in the City involves renovation since much of the land already contains structures. Over time, new housing, and renovated housing to the extent possible, will be accessible. To enhance the possibility of making housing built before 1968 accessible, the 1987 amendments to the Building Code included a provision permitting building owners to build ramps on a portion of the public right-of-way. Further enhancement efforts by the City's Department of Transportation (DOT) allow, with special permission, even greater encroachment into the sidewalk. DOT is also making all curb cuts accessible.

Beginning in July 2008, a new building code for the City of New York will go into effect that contains many of the provisions laid out in Local Law 58 of 1987. The new building code is largely based on the national International Building Code, which meets federal standards for accessibility.

For the first time, in 1996, the New York Housing and Vacancy Survey (HVS) included a number of questions meant to produce information regarding housing accessibility. The raw survey data indicates that approximately 62% of all housing units surveyed are in buildings with inaccessible entrances¹. However, this same raw data for rental units where rents are below market rate (public housing, Mitchell-Lama, and rent stabilized, built 1947 or later) consistently show that the number of units in buildings with accessible entrances outweighs the number

¹ For the Survey's purpose, the following items were considered: the presence of steps only, at the building entrance and vestibule (if provided); door widths at same locations.

of units in buildings without them. To advance policy decisions, the City retained these questions in subsequent Surveys to track the expected increases in access.

In 2002, the HVS provided that in all renter-occupied housing units with an elevator, 580,154 out of a total of 1,041,555 elevators (55.7%) have been determined to be accessible. Further, out of 917,929 renter-occupied housing units that have an elevator, 457,607 (56.5%) are accessible to people with disabilities requiring the use of a wheelchair from the outside sidewalk to the elevator without using stairs. Out of 2,023,504 renter-occupied housing units, 432,230 of the units (23.4%) provide direct access from the sidewalk to the unit itself without using stairs (or an elevator). In all renter-occupied housing units, 626,243 of the units' building entrances (31.1%) have been determined to be accessible, and 879,536 residential unit entrances (44.0%) have been determined to be accessible.

Again in 2005, the HVS collected accessibility data. The survey again asked a number of questions regarding accessibility of the building entrance, dwelling unit door, and elevator cab sizes². According to the 2005 HVS, in all renter-occupied housing units with elevators in the City, 633,124 out of a total of 1,042,119 elevators (60.8%) have been determined to be accessible to people with disabilities. Further, out of 924,364 renter-occupied housing units that have an elevator, 491,816 (61.2%) are accessible to people with disabilities requiring the use of a wheelchair from the outside sidewalk to the elevator without using stairs. Out of 2,027,626 renter-occupied units providing direct access from the sidewalk to the unit itself without using stairs (or an elevator), 488,599 of the units (26.7%) are accessible to people with disabilities requiring the use of a wheelchair, a jump of 3.3 percentage points from 2002. Finally, out of 2,027,626 renter-occupied housing units, 775,187 of the units' building entrances (38.7%) and 1,064,689 residential unit entrances (53.3%) have been determined to be accessible for people with disabilities requiring use of a wheelchair. This represents an increase of 7.6 percentage points over the number of accessible building entrances and an increase of 9.3 percentage points over the number of accessible residential unit entrances in 2002.

The 2005 HVS Survey also provided information regarding vacant units. Accessible, vacant rental units represent a potential pool of accessible, affordable housing for persons with limited mobility or disabilities. Out of 64,737 vacant-for-rent units, 23,117 of the units' building entrances (36.2%) and 29,462 residential unit entrances (46.3%) have been determined to be accessible for people with disabilities requiring use of a wheelchair.

In the same units, 19,661 out of a total of 34,724 elevators (56.6%) have been determined to be accessible. Further, out of 27,869 of these units that have an elevator, 17,555 (63.8%) are accessible to people with disabilities requiring the use of a wheelchair from the outside sidewalk to the elevator without using stairs. Out of the 64,737 of these units providing direct access from the sidewalk to the unit itself without using stairs (or an elevator), 17,213 of the units (27.2%) are accessible to people with disabilities requiring the use of a wheelchair from the sidewalk.

As for all other vacant units not considered "vacant-for-rent" units, out of 158,122 of these units, 58,797 of the units' building entrances (38.4%) and 70,150 residential unit entrances (46%) have been determined to be accessible for people with disabilities requiring use of a wheelchair.

In the same units, 46,553 out of a total of 73,908 elevators (63%) have been determined to be accessible. Further, out of 62,191 of these units that have an elevator, 42,010 (71.1%) are accessible to people with disabilities requiring the use of a wheelchair from the outside sidewalk to the elevator without using stairs. Out of the 158,122 of these units providing direct access from the sidewalk to the unit itself without using stairs (or an elevator), 45,192 of the units (30%) are accessible to people with disabilities requiring the use of a wheelchair from the sidewalk.

² An accessible building entrance and residential entrance must be at least 32 inches wide to allow a wheelchair to move in and out. An elevator is considered accessible if the door is at least 36 inches wide and the cab at least 51 inches deep.

As stated previously, the year in which a building was constructed is generally a strong predictor of its degree of accessibility. It is expected that future Housing and Vacancy Surveys will disclose increases in the number of accessible public housing units. This expectation arises from a growing public-sector response to the needs of tenants with disabilities, and compliance with Section 504 of the Rehabilitation Act. Similarly, it is expected that increasing residential construction and renovation, an expanding market for New York City rental units, and growing private-sector awareness of accessibility requirements, has and will continue to contribute to increases in the number of accessible private-sector units.

Removal of Local Regulatory Barriers

In 2004, HUD began an initiative to make removal of regulatory barriers a component of its overall national housing policy. In response to this policy item, the City of New York provided to public, private, and not-for-profit entities submitting applications for competitive grant funds under the 2004 HUD SuperNOFA process a unified response to the Department's "Questionnaire for HUD's Initiative on Removal of Regulatory Barriers". The Questionnaire was incorporated into the point scoring system for several HUD competitive grant programs under the grant application's section: Removal of Regulatory Barriers to Affordable Housing. Higher points were available to (1) governmental applicants that are able to demonstrate successful efforts in removing regulatory barriers to affordable housing and (2) nongovernmental applicants that are associated with jurisdictions that have undertaken successful efforts in removing barriers.

The City's unified response to the Questionnaire's Part A., Local Jurisdictions, Counties Exercising Land Use and Building Regulatory Authority and Other Applicants Applying for Projects Located in such Jurisdiction or Counties, was formulated by three city agencies: the Department of City Planning, the Department of Housing Preservation and Development, and the Department of Buildings. Each provided information on their respective department's area of expertise in an effort to provide one-stop, consistent responses with supporting references and/or data to assist prospective applicants. The completed Questionnaire with supporting documentation enables public, private, and not-for-profit entities to be awarded the higher point score in HUD's competitive grant programs.

Annually, the Questionnaire is reviewed by the respective City Agencies to determine if their original responses are in need of update to reflect the City's progress in the removal of regulatory barriers. In May 2008, the responses on the Questionnaire and Supplement: References were updated to reflect New York City's adoption of the International Building Code (IBC) as the basis for its Building Code.

The unified response is made available to the prospective applicants upon request or provided along with any entity that is issued a Certificate of Consistency with the Consolidated Plan from the certifying City agency. The HUD Questionnaire and the City of New York's unified response to the questionnaire for the 2010 HUD Competitive Grant SuperNOFA is published in Appendix 7, Volume 4 of the 2010 Consolidated Plan.

C. New York City Housing Authority

The following section describes the activities of the New York City Housing Authority (NYCHA or the Authority). The section satisfies the federally-required Consolidated Plan information concerning public housing authorities: institutional structure, public housing resident initiatives, government coordination and consultation; program descriptions for Public Housing Capital Fund; the Continuum of Care for public housing residents with special needs; and relevant public policies.

Please refer to Section D., Elimination of Lead-Based Paint Hazards for NYCHA's lead-based paint abatement activities, and Section A., Citizens Participation, for a description of the Authority's outreach to not-for-profit organizations, respectively.

Funding Sources

The New York City Housing Authority is funded through HUD Public Housing Capital Fund and Public Housing Operating Subsidy funds. In addition, NYCHA has applied for, and in the past, received other HUD Competitive Grant funds (e.g., HOPE VI, ROSS). Please refer to Volume I, Part I., Action Plan; One Year Use of Funds for a description of the funding sources received by the Authority.

Institutional Structure

NYCHA is governed by a Board comprised of three members appointed by the Mayor. The Chair serves at the Mayor's pleasure and the other two members serve fixed terms. The Board sets and administers programs and policies. NYCHA's General Manager and Deputy General Managers are responsible for day to day operations. A majority of the departments within NYCHA are clustered into five groups: Operations, Administration, Finance, Information Technology, and Community Operations, each reporting to the General Manager. The Development Department also reports to the General Manager.

The Executive Group consists of the following: the Law Department, the Office of the Secretary, the Department of Communications, the Office of Inter-Governmental Relations, the Audit Department, Resident Economic Empowerment and Sustainability, the Department of Equal Opportunity, Research, Policy and Planning Support, and Capital Projects.

The Operations Group consists of the following: Technical Services Department, Applications and Tenancy Administration, the four Borough Management Departments, Emergency Services, the Customer Contact Center, Leased Housing, and Management and Customer Relationship Systems. Each of the departments in this group runs a primary service operation, helping to provide decent, safe and sanitary shelter to New York's low- and moderate-income community.

The Capital Projects Group consists of the following Departments: Bronx / Queens Program Unit, Brooklyn / Staten Island Program Unit, Manhattan Program Unit, the Office of Design, Technical Support and Capital Projects Administration.

The Administration Group consists of the following: the Office of Facility Planning and Administration, Human Resources Department, General Services, Office of Security, and Supply Chain Operations.

The Finance Group consists of the following Departments: Accounting and Fiscal Services, Budget and Financial Planning, Energy, Office of Business and Revenue Development, and Risk Finance.

The Community Operations Group consists of the four Borough Community Operations Departments, Administration and Citywide Programs, Social Services, and Department of Resident Support Services.

The Research, Policy and Planning Support Group consists of the following: the Department of Research and Management Analysis, the Department of Policy and Program Development, and the Office of Strategic Planning and Change Management.

The Inspector General's Office reports to the New York City Department of Investigation.

NYCHA Resident Initiatives

The Authority is committed to developing and operating housing in wholesome living environments for low and moderate income households with innovation, sensitivity, and excellence through a partnership with its employees, residents, and communities. Meeting this mandate represents a significant challenge in light of substantially decreased federal operating subsidies and limited modernization dollars.

Within NYCHA's Community Operations Division, a group of departments coordinate resident programs, community relations, and initiatives to improve the quality of life of NYCHA's residents. The following is a description of those initiatives by department.

1) Department of Community Operations

NYCHA houses a total of 79,821 seniors age 60 and over who are legal residents of public housing; 24.7% of the senior residents are 75 to 84 years of age; 8.2% are 85 to 94 years of age; and nearly 1% are 95 years of age or older. Some of the Authority's initiatives to address the needs of its seniors and other populations are listed below.

Naturally Occurring Retirement Community (NORC) Program

The NORC Program was developed to address the needs of concentrations of seniors who have aged in place, in non-elderly housing. The program was designed to provide comprehensive support and health care services for well and frail elderly residents, 60 years of age and older, who continue to live independently in their apartments and communities. As of June 29, 2009, 19.8% of the NYCHA population is over age 60, and not all live in senior-designated buildings.

The NORC program provides services including on-site assessment, information and referral services, case management, counseling, education/prevention/wellness programs, recreational/socialization programs, and volunteerism. One of the key components is the assistance to access needed health care services, which includes nursing, health screenings, in-home assessments, medication management, and home visits by doctors, when needed. Additionally, the program provides ancillary services such as transportation, shopping, financial management, housekeeping, personal care, support groups, and intergenerational activities, among many others.

DFTA sponsors 90 senior centers in NYCHA developments and also provides funding for 9 NORC programs.

Based on the DFTA's reports, for the City Fiscal Year 2009, the NYCHA NORC program provided the following core services:

	<u>Units of Service</u>
Case Management	- 13,342
Case Management Assistance	- 11,855
Health Care Management	- 2,793
Health Care Assistance	- 2,368
Residents receiving Core Services	- 8,441
New This Quarter	- 3,015

Grand Street Settlement Baruch Elder Services Team (B.E.S.T. Program)

The Cabrini Center for Nursing and Grand Street Settlement provide age appropriate, culturally sensitive services to senior adults residing in the NYCHA Baruch Houses with the goal of building a strong community of caring in order to foster, support and maximize each member's overall personal well-being. The BEST Program also provides comprehensive services in Baruch Houses and Baruch Addition that will improve the quality of life for the seniors, enabling them to remain in their homes and helping them to lead independent, healthy and active life-styles within their home community. These services include advocacy, health promotions services, social work services and opportunities for socialization.

Bilingual Social Services – case assistance, case management, entitlement/benefits assistance, service linkage and coordination, crisis intervention, support services, advocacy
 Recreational Services – group activities, trips, bingo, arts & crafts, physical fitness activities, dance and music activities, light snacks
 Bilingual Health Services – health education services, health screening, health promotion and prevention, linkage to appropriate follow-up services
 Services For Home-Bound Seniors – friendly visits, telephone reassurance calls, escorts

Based on B.E.S.T. and DFTA's reports, for the City Fiscal Year 2009, the Grand Street Settlement NORC program provided the following core services:

	<u>Units of Service</u>
Case Management	- 676
Case Management Assistance	- 762
Health Care Management	- 165
Health Care Assistance	- 157
Residents receiving Core Services	- 1,133
New This Quarter	- 39

Service Coordinator Program

The Service Coordinator Program is operated in clusters of developments in upper Manhattan, Brooklyn, Queens and Staten Island. Service Coordinators provide services during office hours, which include helping elderly/disabled residents to access government benefits, assistance in daily living, monitoring health care needs, "Meals on Wheels", and other types of assistance as needed.

From January 1, 2009 through June 30, 2009, the program provided 17,100 units of supportive services to an average of 1,025 residents monthly, and conducted 3,645 home visits.

Senior Resident Advisor Program

The Senior Resident Advisor Program consists of trained paraprofessionals (some who live on-site) who provide crisis intervention services and case management coordination. Services provided include assistance in obtaining entitlements, health services, mental health services, assistance in maintaining independent daily living, home care services, senior legal services, outreach, meals for the homebound, and recreational activities (through NYCHA Senior Centers). Each program includes a substantial resident volunteer component (Floor Captains) to ensure daily contact with each elderly resident; these Senior Resident Advisors (SRA's) are supervised by certified social workers. NYCHA operates this program at twenty-two senior-only developments.

From January 1, 2009 to June 30, 2009, the program provided 38,670 units of support services to an average of 1,668 residents monthly, and conducted 5,624 home visits.

Senior Companion Programs

This program, which is a cooperative project with the New York City Department for the Aging, the Henry Street Settlement and the Corporation for National Service, provides assistance to sick, socially isolated, and frail elderly residents at selected NYCHA developments. Working with a corps of resident volunteers called Senior Companions; the program provides friendly home visits, crisis intervention, telephone reassurance, and errand and escort services. From January 1, 2009 to June 30, 2009, the Senior Companion Program conducted 1,785 home visits, and provided 121 Escort Services to approximately 39 elderly residents monthly.

Supportive Outreach Services (SOS)

Supportive Outreach Services assists residents in improving their social functioning. Staff conducts needs assessments, design treatment plans, make referrals for direct social services and coordinate service utilization. From January 1, 2009 to June 30, 2009, 3,277 new referrals were received.

The Furniture Distribution Program is a component of SOS that is administered by Community Operations' Social Services Department. This program secures donations of furniture, bedding and an assortment of household items from hotels and motels throughout the metropolitan area in order to assist relocated families who have lost their possessions due to a fire or other calamity and Victims of Domestic Violence who transferred through the Emergency Transfer Program. From January 1, 2009 through June 30, 2009, approximately 68 families were assisted through the program.

Senior Benefit & Entitlement Fair

NYCHA's Department of Resident Support Services sponsors an annual Senior Benefit and Entitlement Fair (SBEF) to provide NYCHA's senior residents with access to resources and services geared towards their needs. This will be the fifth year that the SBEF has been held. The theme of this year's Fair is '*Health and Financial Fitness II.*' There will be free screenings for diabetes/glucose, cholesterol, vision/glaucoma, blood pressure and balance testing. Additionally, several financial fitness workshops and related services will be offered and representatives from banks and financial advocacy organizations will be available to present information and answer questions.

The Senior Benefit & Entitlement Fair will provide attendees with application assistance and registration opportunities for various services including: reduced fare metro-card, food card, Medicare Savings Plans, 'extra help' for Medicare Part D and the new NY Prescription Saver Card. Seniors will have the opportunity to enroll in direct deposit for their Social Security benefits, be added to the permanent absentee voter list, and reclaim any unclaimed funds being held by NY State. Several Medicare Advantage Plans will be providing information and exercise classes and massages will be available for seniors. Approximately 1,500 seniors from all five boroughs are expected to attend and all will receive lunch and a tote bag.

NYCHA Senior Project

In 2007, NYCHA's Department of Resident Support Services initiated a project to assess the needs of NYCHA's senior population through administration of a comprehensive survey. Currently there are 60,000 residents age 65 years and older. According to NYCHA's resident data, 50% of seniors have self-identified themselves as having various disabilities. The data and recommendations that result from the study will be critical to the Authority and other service providers concerned with the health status of NYCHA's seniors.

The survey instrument was developed with assistance from DOHMH's Bureau of Epidemiology Services. A Planning Committee was formed including representatives from DOHMH, New York City's Department for the Aging, the Centers for Medicare and Medicaid Services, and representation from NYCHA's Resident Association.

In June 2009, the Baruch College Survey Research administered a phone survey to a sample of NYCHA's seniors. As of June 30, 2009, 1036 senior residents responded. The survey data is currently being analyzed.

NYCHA Operated Senior Centers

NYCHA directly operates 40 senior center facilities and provides educational, recreational, cultural and social activities. Programs at these centers vary according to the level of staffing, availability of overall funding, physical space, and funding for meals and/or satellite lunches provided directly or from nearby DFTA-funded Senior Centers. In some cases, discretionary funds from the City Council Members subsidize expenditures for volunteer lunch programs or center activities. In addition to meal programs, many centers provide music programs such as singing and keyboard instruction; arts and crafts such as ceramics and painting; workshops on entitlements and nutrition; drama and playwriting classes; basic computer education classes; ESL classes; gardening; exercise and a host of other activities. The centers celebrate many holidays, cultural and historical events, such as Thanksgiving, Christmas, Chanukah, Kwanzaa, Hispanic Heritage, Black History Month and Women's Month. They also organize day trips to Broadway plays, talk shows, family resorts, fishing, shopping and other activities.

HealthStat

HealthStat is a citywide initiative designed to identify and enroll eligible low and moderate income New Yorkers into health insurance plans such as Child Health Plus and Family Health Plus. During 2008, NYCHA facilitated a total of 19,662 resident enrollments into health insurance plans. For the past 5 years NYCHA has led all other participating NYC agencies in the number of health insurance enrollments.

Strategic Alliance Collaboration

DOHMH received a grant to develop the Strategic Alliance for Health initiative in the South Bronx, and East and Central Harlem over a 5 year period. DOHMH's District Public Health Offices in East Harlem and in the South Bronx are the hubs for the initiative. NYCHA's Department of Resident Support Services is an active participant given the large number of NYCHA developments in both areas.

The goal is to provide opportunities for residents in these areas, which have high rates of poverty and chronic illness, to reduce smoking, increase physical activity and improve access to healthy foods. Their methods include; training classroom teachers to lead in-class physical activities, closing streets near schools to increase opportunities for outdoor play, creating walking paths, expanding participation in free school-breakfast programs and reducing tobacco promotion in the target communities.

Baruch Houses Chronic Disease Prevention Program (DOHMH)/Baruch Healthy Neighbors Partnership

This initiative is a collaboration that includes the NYC DOHMH/Bureau of Chronic Disease Prevention and Control/Cancer Prevention and Control Program, the Health & Hospital Corporations/ Gouverneur Health Care Services, and NYCHA's Resident Support Services.

The NYC Department of Health and Mental Hygiene (DOHMH) recently received a three year grant from the New York Trust Fund. Under the grant, the DOHMH has contracted with the NYC Health and Hospital Corporation (HHC) in a pilot project utilizing clinical providers and community health workers to intensively manage adults at high risk for cancer, chronic cardio-vascular disease and diabetes at Baruch Houses and Baruch Addition. The Community Health Workers are recruited from the NYCHA resident association. The goal of the intervention is to increase access to appropriate levels of care and to reduce health care costs.

Earned Income Tax Credit (EITC)/Tax Assistance

NYCHA's Resident Support Services Department coordinates NYCHA's annual campaign to maximize the participation of qualified residents in this tax refund program for low income wage earners. Approximately 30,000 NYCHA families are eligible for the program and can receive as much as \$6,300 in refunds when they file for the EITC through their federal, state and city returns. Each year, letters are mailed to potential eligible NYCHA families encouraging them to file for the EITC. Information is provided in the NYCHA Journal and flyers and posters are disseminated system-wide. Notices were placed on rent bills encouraging residents to call 311 to identify the nearest free tax assistance site.

Flu Immunization Program

The Flu Immunization Program is an annual collaboration between NYCHA's Resident Support Services and DOHMH to ensure that NYCHA residents have access to the flu vaccine. The program directs special focus to high risk populations (the elderly, very young and immuno-compromised). October through December are prime target months for vaccination. NYCHA's health promotion tools include the NYCHA Journal, presentations to resident groups, posters and flyers, and scheduled vaccinations at select NYCHA sites. Also, during the past two years hundreds of NYCHA senior residents were vaccinated at the Senior Benefit & Entitlement Fair.

I Have a Dream Program

The IHAD Foundation collaborates with NYCHA, local not-for-profit organizations, learning institutions, and private financial institutions to provide a comprehensive program to NYCHA youth. NYCHA provides space and an annual cash grant to the IHAD Foundation for each participating site. The IHAD Program currently operates five programs in four NYCHA developments: Chelsea-Elliott Houses and DeHostos in Manhattan; Melrose Houses (I and II; one program at each) in the Bronx, and Ravenswood Houses in Queens.

The program has “adopted” third-graders from the above-referenced developments and will continue to follow these children’s progress from elementary through high school graduation. The goal of the program is to keep this group of residents (called “Dreamers”), in school. IHAD provides tuition assistance to those Dreamers who graduate from high school and attend college or vocational college. The program also offers the Dreamers social and cultural activities that increase the Dreamers’ chance for success.

Currently, there are 96 Dreamers enrolled at Chelsea-Elliott; 42 at DeHostos; 53 at Melrose I; 60 at Melrose II, and 57 at Ravenswood Houses.

FY 2006 ROSS/Neighborhood Networks Grant

NYCHA’s Departments of Administration and Citywide Programs and Resident Employment Services partnered with the City College of New York’s Adult and Continuing Education Department (CCNY ACE) to manage the Computer Training and Career Development Centers (CTCDC) program. CTCDC began in April 2007 and is scheduled to operate for three years. The goal of the program is to provide access to computer technology and Internet accessibility for 720 public housing residents at 12 community centers. Specialized courses are geared towards educational enhancement for teens, unemployed and underemployed adults and seniors. In addition, the program also provides courses in General Equivalency Diploma (GED), planning for a post-secondary education, researching databases for homework assignments, Internet job searches, and accessing public service information online

FY 2007 ROSS/Neighborhood Networks Grant

NYCHA’s Departments of Administration and Citywide Programs and Resident Employment Services partnered with the City College of New York’s Adult and Continuing Education Department (CCNY ACE) to manage the Computer and Career Essentials (CACE) program. The CACE program began in September 2008 and will operate for three years. This initiative provides access to computer technology and the Internet for 720 public housing residents through specialized programming for teens and unemployed adults. This program gives NYCHA residents the opportunity to increase their general knowledge of computers, prepare for a General Equivalency Diploma (GED), and plan for a post-secondary education. The CACE program provides educational tools such as the ability to navigate and explore websites, conduct Internet job searches, and access information on public service websites, allowing residents greater access to real economic opportunities.

2) Department of Resident Employment Services (RES)

NYCHA’s Department of Resident Employment Services collaborates with training providers who agree to accept referrals into training programs that offer a diversity of jobs skills training, e.g., computer, painting, culinary arts and environmental remediation. Most training providers also offer job placement services for students who successfully complete training. In addition, job developers are informed of the various trainings which job seekers are participating in so that job development efforts are also targeted to these areas of interest. In March 2009, NYCHA partnered with Human Resources Administration (HRA) to provide job placement services in order to enhance employment opportunities for NYCHA residents. This was made possible through NYC City Council funds earmarked for employment services. Two of HRA’s Back to Work contractors (America Works and ARBOR) are offering direct job placement assistance to NYCHA residents who are food stamp eligible or non-custodial parents.

RES Satellite Offices

NYCHA’s Department of Resident Employment Services (RES) maintains three satellite offices. The Manhattan Satellite Office is located at Carver Houses, the Bronx Satellite Office is located at Adams Houses and the Queens Satellite Office is located at Ocean Bay Houses in Far Rockaway. The Satellite Offices provide assessments, testing and make appropriate referrals to educational, vocational, training, and job placement programs for NYCHA residents. The available programs vary at each Satellite Office depending on the needs within the community. The programs include computer basics, GED, and ESL. All Satellite Offices are equipped with internet accessible computer labs that are also available for job search activities as well as software application tutorials.

Intake and Validation Unit

The Intake and Validation Unit schedules orientations and presentations, and verifies client-reported employment.

Assessment Unit

The Assessment Unit performs employability assessments, and based on the needs of the client, makes appropriate referrals to educational, vocational and job placement programs.

From January 1, 2009 through June 30, 2009, 231 residents were tested, 723 residents were assessed, and 752 referrals were made. Additionally, 892 residents completed intake forms.

Public Relations

The Public Relations Liaison promotes and publicizes departmental programs and services. This involves working with NYCHA's Department of Communications; developing relationships with resident leaders, community boards, and CBO's; creating flyers, posters and notices for new programs and initiatives and ensuring their distribution and mailing; and, attending meetings and functions to publicize the department.

Resident-Owned Businesses

The Resident-Owned Business Development Program assists Authority residents in starting their own businesses. A resident owned business is defined as an entity that is at least 51% owned by a resident of public housing. Program staff pursues this objective by helping residents to access entrepreneurial training, business counseling, mentoring, financing and marketing opportunities.

The Employment Development Unit

- Assists residents achieve economic self-sufficiency through direct job placements.
- Assists underemployed residents obtain employment suitable to their skill level.
- Cultivates relationships with employers, external service providers, and outside employment services to provide job ready residents with a pool of employment opportunities.
- Provides technical assistance to existing Resident-Owned Businesses.
- Identify and refer eligible NYCHA residents to Section 3 contractors seeking to employ residents.

Through June 2009, residents informed RES of 289 resident job placements.

Section 3 and Resident Employment Program (REP)

Section 3 is a HUD mandate that stipulates employment and other economic opportunities generated by federal assistance to public housing authorities shall be directed to public housing residents and other low and very low income persons. Section 3 requires that 30% of all new hires be residents of public housing, and/or low or very-low income residents of the community for contracts in excess of \$100,000 for modernization, new construction and building maintenance at public housing developments.

NYCHA's first priority for hiring under Section 3 is for residents of its developments. Section 3 goals also apply to contracting with resident-owned businesses. The Resident Employment Program (REP) requires 15% of the labor costs on a contract be expended on resident hiring. With few exceptions, REP applies to construction contracts valued in excess of \$500,000 that were bid on or after January 1, 2001.

Through June 2009, 26 residents were employed through Section 3 and 23 were employed through REP.

Pre-Apprenticeship Training Program (P-ATP)

NYCHA has implemented a Pre-Apprenticeship Training Program (P-ATP) to train and prepare up to 300 residents for highly skilled and highly paid skilled trades' apprentice jobs. The Housing Authority has contracted with The Edward J. Malloy Initiative for Construction Skills (CS) to conduct the P-ATP.

Through June 2009, 221 participants successfully completed the Pre-Apprenticeship Training Program and were placed in Union Apprenticeship Programs.

FY 2005 ROSS/Resident Service Delivery Model (RSDM) Grant

NYCHA's Department of Resident Employment Services partnered with the LaGuardia Community College in

Queens to provide General Equivalency Diploma (GED) preparation, vocational training, job search assistance, and job placement assistance to 150 Authority residents. Training began in September 2007 and will continue for three years.

FY 2006 ROSS/Resident Service Delivery Model (RSDM) Grant

NYCHA's Department of Resident Employment Services partnered with the City College of New York, Year UP located in Manhattan, and the New York Career and Employment Services located in the Bronx. The program began in September 2007 and provides training opportunities for 175 residents in building maintenance, administrative assistant, and information technology.

FY 2007 ROSS/Resident Service Delivery Model (RSDM) Grant

NYCHA's Department of Resident Employment Services partnered with the City College of New York's (CCNY) Adult and Continuing Education division, and Year UP located in Manhattan. The grant was awarded on March 4, 2008 and will provide employment and educational training and placement services for 100 NYCHA residents. CCNY will offer 75 slots in its existing educational and vocational programs for Teachers Assistant, Bookkeeping, Medical Administrative Assistant, Construction Management, Building Trades and Solar Panel Installation. Year Up will offer a one-year intensive education and apprenticeship program to 25 young urban adults ages 18-24.

3) Department of Development

For a description of NYCHA's HOPE VI-Programs at Ocean Bay and Prospect Plaza, please refer to Volume I, Part I., Action Plan: One Year Use of Funds, Section D., Program Descriptions; New York City Housing Authority Funds.

Homeownership Opportunities

NYCHA's website includes a link to the City's Affordable Housing Resources website, <http://www.nyc.gov/html/housinginfo/html/home/home.shtml>, which provides information about affordable homeownership programs in New York City. In addition to HPD's HomeFirst campaign, NYCHA promotes homeownership among residents on an ongoing basis through the following activities:

Through the collaborative effort between NYCHA and HPD under Mayor Bloomberg's New Marketplace Initiative, homeownership opportunities are being made available to NYCHA residents. The redevelopment of Markham Gardens will provide 25 attached two-family townhouses for homeownership with purchase priority given to former Markham Gardens residents. At Linden and Boulevard Houses, two- and three-family townhouses will be developed for homeownership on the parking lot, and NYCHA families at Linden Houses and Boulevard Houses who are eligible to become homeowners will be given preference in the marketing process. NYCHA residents interested in purchasing a home will be required to enroll in a homeownership education course. Potential homebuyers may be eligible for down payment and closing cost assistance for up to 6% of the purchase price through HPD's HomeFirst program.

In addition, NYCHA residents will be given preference to purchase their homes through NYCHA's Multifamily Homeownership Program (MHOP), financed through HOPE I Grants. The MHOPs consisted of 455 public housing units in the Bronx and Manhattan that will be sold to eligible applicants. As of May 1, 2009, 224 units in the Bronx have been converted to homeownership. NYCHA anticipates converting the remaining 231 units by the end of calendar year 2009.

NYCHA is offering Section 8 subsidies to current residents of MHOP Developments who qualify for Section 8 and who wish to purchase their dwelling units and to current residents of MHOP Developments who qualify for Section 8 and who wish to remain in their units as non-purchasing tenants of the MHOP Development once it converts to cooperative ownership.

NYCHA Continuum of Care for Public Housing Residents with Special Needs

NYCHA serves the elderly through several programs, which have been described above.

Families at-risk

Family Unification and Independent Living Programs

The Family Unification Program provides public housing apartments and Section 8 rental assistance to families, who are not NYCHA residents and who are at-risk for having their children retained in foster care due to the lack of adequate housing. Once adequate housing is provided, children are returned to their families. The Independent Living Program provides public housing apartments and Section 8 rental assistance to young adults leaving foster care who have a goal of Independent Living. The Administration for Children's Services (ACS) certifies families and young adults that meet these requirements.

From January 1 to June 30, 2009, there were a total of 140 apartment units rented as a result of the issuance of Section 8 vouchers to persons serviced through ACS' Housing Support and Services (HSS) unit. Of that total, 104 apartments were rented to Independent Living youths and 36 apartments were rented to families reunified with their children. Additionally, there were 65 public housing units rented as a result of HSS services, for the same time period. Of that sum, 50 public housing units were rented to Independent Living youths and 15 public housing units were rented to families being reunified.

NYCHA assigns a high transfer priority to those families that have been referred by ACS for the purpose of Family Unification. For example, applicants with children in foster care whose only barrier to reunification is housing and who are not eligible for rental assistance through the City's Housing Stability Plus Program will be assigned a high transfer priority.

Persons with Disabilities - Section 504

In accordance with the Voluntary Compliance Agreement (VCA) signed jointly with the Department of Housing and Urban Development in 1996, NYCHA agreed to make five percent of its total units, equivalent to 9,100 apartments, handicap accessible and made available to residents / applicants with mobility impairments. In addition, NYCHA will provide reasonable accommodations and 504 modifications to existing conventional apartments.

As of June 30, 2009, approximately 7,648 NYCHA units were partially modified with widened doorways, roll-in showers, modified kitchen cabinets, lowered kitchen sink counters, bathroom grab bars, raised or lowered electrical outlets, raised or lowered toilet seats as well as audio/visual alarms. NYCHA also offers reasonable accommodations in policies, procedures and practices that will make non-dwelling facilities and programs accessible to persons with disabilities.

Domestic Violence

For information on NYCHA's Domestic Violence programs: Outreach & Referral to Problem & Relocated Families; Emergency Transfer Program; Domestic Violence and Intervention Program; and the Aftercare Program, please refer to Part I. Section E., Continuum of Care for Homeless and Other Special Needs Populations; Victims of Domestic Violence for program descriptions. All programs are administered by the Department of Community Operations.

Relevant Public Policies

Wicks Law Reform

As of July 1, 2008, changes have been enacted to the New York State Wicks Law (Section 151-a of the Public Housing Law), which formerly required NYCHA and other New York State housing authorities, on certain public works contracts exceeding \$50,000, to award separate construction contracts for plumbing, electrical and heating/ventilation/air conditioning. Although the revised legislation increased the threshold from \$50,000 to \$3,000,000, it added an additional bid requirement. Each bidder must now submit with its bid, a sealed envelope

containing the names of the subcontractors they intend to use to perform the work and the cost for each subcontract. After the bid submission, the selected contractor can only change subcontractors, or the amounts such subcontractors are to be paid, upon showing a “legitimate construction need” for such change and, with the approval of the Authority.

Mixed-Finance Development Method

The Quality Housing and Work Responsibility Act (QHWRA) of 1998, provided public housing authorities (PHAs) with an unprecedented level of financial flexibility, encouraging mixed-finance and mixed-income housing development for both public housing families and other families within a range of income levels.

NYCHA has undertaken the development of new housing units using mixed-finance development initiatives in connection with its Prospect Plaza HOPE VI revitalization effort in Brooklyn. This Project is divided into three sites: A, B and C. The first phase is Site A, where 37 two-family homeowner townhouses were completed in 2005, with thirty-two of the homes being purchased by first time home buying, public housing residents.

The second phase, site B, has been completed by a private and the developer is leasing the new units to residents, including former Prospect Plaza residents who wish to move back to the site and qualify for section 8 rental subsidies.

It is anticipated that the balance of the Prospect Plaza Houses redevelopment will be accomplished through mixed-finance, mixed-income projects, comprised of rental units owned and managed by private, third party development and management entities. The proposed scope includes development of rental units, with public housing and other affordable units mixed across the site. It is further intended that any non-public housing units will be affordable to low- and moderate-income households, and incorporate federal Low Income Housing Tax Credits and Section 8 vouchers. A new, multi-use community, educational and day care center is also planned at Prospect Plaza.

Preference for the lease up of the public housing apartments will be given to relocated Prospect Plaza public housing residents in good standing, who wish to return to the redeveloped community. A site-based waiting list created from the Authority’s existing public housing waiting list for the public housing units will be used to tenant the public housing units.

Additional NYCHA Affordable Housing Development Initiatives

Fabria Houses

On November 29, 2007 the New York City Housing Authority, the New York City Department of Housing Preservation and Development, the New York City Housing Development Corporation and Phipps Houses broke ground on Fabria Houses for the rehabilitation and construction of sixty-five (65) units of affordable housing on the Lower East Side.

The work includes rehabilitation of three NYCHA buildings on East 11th Street, and the new construction of two buildings on vacant City-owned sites at 7th and 9th Streets. The project’s total development cost is approximately \$21.4 million. NYCHA is providing a long-term ground lease to the developer Phipps Houses; and payments to NYCHA under the ground lease will be used to preserve public housing. Construction is complete and occupancy is pending issuance of a Temporary Certificate of Occupancy and completion of tenant selection by Phipps.

Brook Willis Apartments (BWA)

In June 2006, title to eight tenement buildings, formerly part of Betances Houses, were conveyed to a developer selected via a Request for Proposals issued in 2004. The properties, consisting of 121 apartments located on 136th, 143rd, 145th and 147th Streets in Community District 1 in the Bronx, will be rehabilitated prior to occupancy by new tenants.

Ten percent of the BWA units are reserved for the homeless, and 25% for NYCHA families living in the Bronx who are eligible to receive Section 8 vouchers, to current Section 8 voucher holders who are seeking transfers, and eligible families from the Authority's Section 8 waiting list. NYCHA has contributed property, land and Section 8 vouchers; project financing is provided by the Housing Development Corporation, the Department of Housing Preservation and Development, and the Low Income Housing Tax Credits program, among other sources. The first four buildings were completed in 2007, and the remaining four buildings were completed in summer 2008. Forty-two NYCHA families currently occupy the redeveloped Brook Willis apartments; and the developer is seeking to complete marketing of the 52 unoccupied units on 136th Street.

Markham Gardens

On December 28, 2006, NYCHA transferred title to a 9.4 acre portion of the 12.4 acre Edwin Markham Gardens housing development, located on Staten Island, to the Markham Gardens Tenants Housing Development Fund Company, Inc. It is the third NYCHA site to be redeveloped through collaboration between NYCHA, HPD and HDC as part of the Mayor's New Housing Marketplace Plan. The redevelopment initiative at Markham Gardens will create a total of 290 affordable residential units, including 240 rental apartments and 25 "for-sale" two-family homes. Eligible former Markham Gardens' residents have priority to rent the apartments or purchase the townhouses.

Financing for the project's rental portion includes \$25 million in tax-exempt bonds from the New York City Housing Development Corporation (HDC), \$16 million in equity generated from the sale of 4% low income housing tax credits from the New York City Department of Housing Preservation and Development and \$17 million from the sale of 421-a negotiable certificates.

Designed with environmentally sustainable, energy-efficient building techniques, 150 of the 240 mixed-income rental units will be reserved for Section 8 voucher recipients referred by NYCHA, including former Markham Gardens' residents. The remaining 90 units will be affordable to residents with incomes between \$30,082 and \$85,080 for a family of four.

The redevelopment also includes 50 units in 25 for-sale two-family homes (one owner and one rental unit in each) for moderate-income families, as well as a park, outdoor seating areas, and a recreational center.

About an acre of the site was set aside for future development of an 80-unit senior residence with possible Section 202 funding from HUD. Since the 2006 closing, the Sisters of Charity organization was awarded Section 202 grant funding and is currently proceeding with the predevelopment investigation of the site as well as seeking funding to supplement its Section 202 grant.

Kips Bay Boys and Girls Club

On May 12, 2007 the New York City Housing Authority, along with Kips Bay Boys & Girls Club and HPD closed on the construction financing to support rehabilitation of the West Bronx Boys and Girls Club (a.k.a. West Bronx Wellness Center, 1835 University Avenue, Bronx Community District 5). With \$10 million in funding provided by NYCHA, and a City-owned building conveyed through HPD, Kips Bay Boys and Girls Club, Inc. will develop the Boys and Girls Club as a 28,000 square foot multi-service community center for benefit of the residents of Community Board 5 in the Bronx.

Kips Bay will design, rehabilitate, raise funds, own and manage the facility as a "Boys and Girls Club" for the purpose of providing youth recreation, education, and other activities for the benefit of the surrounding community and particularly residents of NYCHA public housing developments. Completion of the rehabilitation work is expected in September 2009.

Metro North Rehabs

Metro North Rehabs is a NYCHA-owned, project-based Section 8 development consisting of 17, six-story walk-up tenement buildings in Manhattan with a total of 321 units. Five buildings are located on East 100th Street, six buildings on East 102nd Street and six on East 103rd Street, all mid-block between First and Second Avenues.

Phipps Houses, along with Urban Builders, were selected pursuant to an RFP issued in December 2006 to rehabilitate the 100th Street buildings and redevelop the 102nd Street and 103rd Street properties, for the creation of a total of 339 residential units under a long term ground lease. Former Metro North Rehab residents in good standing who choose to return will be given rental priority. Up to 300 units will be rented to residents eligible for Section 8 vouchers. Closing on Metro North occurred June 30, 2009 and Phipps Houses is proceeding with demolition of the existing 102nd Street structures and commencing rehabilitation of the 100th Street site at this time.

West Side Sites

In collaboration with HPD as part of the Mayor's New Housing Marketplace Plan, NYCHA issued a Request for Proposals in December 2006 to develop three sites at Harborview, Elliot/Chelsea and Fulton (described below).

Harborview

NYCHA selected a developer in September 2007 to construct two buildings with a minimum of 210 units on the Harborview parking lot mid-block on West 56th Street between 10th Avenue and 11th Avenue. The required ULURP land use review procedure was completed in November 2008; however due to changes in the City's inclusionary housing program and the affordable housing finance markets, this project is currently being reevaluated by NYCHA, HPD and the developer.

Elliot/Chelsea

NYCHA selected a developer in September 2007 to construct a building with approximately 128 units on the Chelsea Houses parking lot at West 25th Street and 9th Avenue. The proposed development will incorporate up to 15,000 sq. ft. of unused floor area from Elliott Houses for a more economical building with retail stores on the ground floor. The selected developer has continued to review the project scope including the affordability levels and number of units, with the various community stakeholders including elected officials, residents and community board members and the City's Department for City Planning. The developer is also proceeding with necessary predevelopment work to assess the site and obtain necessary public and governmental land use approvals.

Fulton

NYCHA selected a developer in September 2007 to construct a building with approximately 100 units on the Fulton Houses parking lot on West 18th Street (mid-block) between 9th Avenue and 10th Avenue. The proposed development will also provide community space.

Stapleton

A 105 unit, low-income senior housing development has been proposed for a portion of the Broad Street parking lot located at NYCHA's Stapleton Houses public housing development. Closing on this project took place in early April 2009. Construction is currently proceeding with both the new senior building and the grounds improvements to the public housing development. Eligible NYCHA seniors will have residential priority for up to 45 units, for which, NYCHA will provide section 8 tenant-based vouchers. In addition to the land and rental subsidies provided by NYCHA, the State of New York has also committed to provide funding under its Homes for Working Families financing program.

Pomonok

NYCHA intends to dispose of a site currently used as a parking lot with access off 71st Avenue between Parsons and Kissena Boulevard to a non-profit housing sponsor to facilitate the provision of low income housing for seniors requiring supportive services. The sponsor submitted a funding application in response to HUD's Section 202 NOFA (Notice of Funding Availability) in 2007 and was given funding allocation for the proposed 8 story, 78 unit senior housing development. The proposed project will provide supportive services including safety, security, advocacy and a host of social services for the residents.

The sponsor for this project, Metropolitan Council on Jewish Poverty, is proceeding with necessary design and predevelopment work as well as to secure additional funding to supplement its Section 202 grant. The project is on schedule and the closing is anticipated by the end of 2009 or early 2010.

Bronx Affordable Housing

In collaboration with HPD as part of the Mayor's New Housing Marketplace Plan, NYCHA issued a Request for Proposals in September 2007 to develop four vacant sites at Highbridge, Soundview, Forest and University Avenue Consolidated (described below).

Highbridge

NYCHA intends to dispose of a vacant site at the intersection of University Avenue and West 167th Street. A developer was selected to build two buildings with approximately 200 rental units for low-income households. One of the new buildings will include a community room with a Resident Services Plan focusing on recreational activities for youth and services for seniors. The developer was recently awarded low income housing tax credits which will support construction and affordability of the project.

In addition, NYCHA has recently engaged in negotiations the NYC School Construction Authority and it is anticipated that in addition to the new affordable housing, an approximately 400 seat middle school will also be built on the Highbridge site. Predevelopment work for both the housing and school is proceeding.

Soundview

NYCHA intends to dispose of a vacant site including an under-utilized parking area at Rosedale Avenue and Lacombe Avenue along Soundview Park. A developer was selected to build approximately 200 low income rental units and 18 two-family townhouses for affordable homeownership. The developer is currently proceeding with its environmental investigations of the constraints of the site, including the need for construction of a new access road.

Forest

NYCHA intends to dispose of a lot within Forest Houses at the corner of Tinton Avenue and E. 166th Street. A developer was selected to build approximately 100 rental units for low-income households. The developer is currently moving ahead to finalize its design and complete the predevelopment site investigation, as well as to secure funding for the new Forest Houses project.

University Avenue Consolidated

Developers have been selected to renovate 463 apartments in two phases. The first six buildings (270 units) were conveyed to Arista Development at the end of June 2009; and the remaining four UAC buildings (173 units) will be conveyed to Bronx Pro Real Estate Management by the end of 2009. First rental preference for the rehabilitated units will be provided to those UAC residents who were relocated, to facilitate the redevelopment of these buildings. In addition, NYCHA has set aside up to 25% of the units for residents wishing to return as well as other NYCHA residents qualifying for section 8 rental subsidies that wish to move in to the new units.

D. Elimination and Treatment of Lead-Based Paint Hazards

Lead-Based Paint (LBP) abatement activities were conducted by the Department of Housing Preservation and Development, the City's local housing agency, the New York City Housing Authority (NYCHA), responsible for public housing and homeownership developments under its direction, and the Department of Homeless Services, responsible for shelters and transitional housing for homeless individuals and families.

Housing Preservation and Development (HPD)

The City of New York places a high priority on preventing childhood lead poisoning and reducing lead paint hazards. The City is particularly sensitive to the potentially detrimental effects of lead exposure upon children. Lead hazard reduction activities target residences of children less than 6 years of age, who are especially at risk for lead poisoning. Intervention efforts are also provided to children with elevated blood levels

As a result of the tremendous concern regarding this issue, the use of lead paint on interior residential surfaces was banned in New York City in 1960. In 1999, the City Council and the Mayor of the City of New York enacted Local Law #38 of 1999, recognizing that the best way to prevent poisoning from paint containing lead is to ensure that such paint is kept in good repair, and, if it is peeling or located on a deteriorated subsurface, that it is repaired using safe work practices.

In December 2003, the City Council enacted a new lead law. The Mayor vetoed the legislation, but the Council overrode the veto, and the new law, Local Law 1 of 2004 ("Local Law #1"), became effective on August 2, 2004. The law continues the requirement that owners maintain units free of lead based paint hazards. However, the new law additionally requires that when any work is performed that disturbs lead based paint in a dwelling unit with a child under 6, whether the work is done in response to issuance of a violation, or is just a routine repair or renovation, the workers performing such work must be trained, and safe work practices must be utilized. Local Law #1 requires that owners affirmatively ascertain which units are occupied by children under age 6 and perform annual inspections for lead based paint hazards. Owners must also remediate and in certain cases abate lead paint hazards in units when they become vacant, prior to re-occupancy. HPD and the New York City Department of Health and Mental Hygiene (DOHMH) are working together to implement the new law. Each agency has promulgated rules that include standards for trained workers and safe work practices, which became effective on August 2, 2004.

Under Local Law #1, when DOHMH receives a report of a child with an EBL of 15 micrograms of lead per deciliter of blood or greater, DOHMH inspects the child's residence to identify possible sources of lead exposure and orders the owner of the property to abate any lead paint hazards found. If the landlord fails to correct the condition, a referral is made to HPD's Bureau of Environmental Hazards (BEH) unit. Upon verification that the property owner has failed to comply, BEH assigns a contractor to abate the condition. Both BEH and DOHMH inspect completed work to verify that the condition has been abated.

The U.S. Department of Housing and Urban Development (HUD) has issued extensive regulations and guidelines under the Residential Lead-Paint Hazard Reduction Act of 1992. In October, 1999, HUD issued final rules concerning notification, evaluation and reduction of lead-based paint hazards in housing receiving federal assistance. The City relies upon a variety of federal programs to achieve its housing and community development objectives, including the Community Development Block Grant (CDBG) Program, HOME, HOPWA and the McKinney Homeless, Housing Programs. The rules became effective on September 15, 2000. However, HUD granted several extensions of time to comply with the rules. On August 3, 2001, HUD issued a notice granting a final extension until September 10, 2001 for jurisdictions, like New York City, that had applied for earlier extensions. HUD also granted a further extension until January 10, 2002, for jurisdictions that submitted an updated transition implementation plan by September 10, 2001. The City did not submit a plan, and on September 10th, the rules became effective in New York City. However, due to the events of September 11th, at the City's request, HUD granted a new extension of time to comply with the rules until April 10, 2002.

On April 22, 2002, HUD granted HPD's Emergency Repair Program (ERP) an exemption from Subpart J (Title X). Nevertheless, ERP has implemented safeguards when conducting work which may affect lead based painted surfaces (i.e., breaking walls), including: XRF testing, requiring contractors to use safe work practices, and notifying tenants and owners of the presumption or presence of lead based paint hazards. On July 12, 2007, HUD renewed its approval of the request of a waiver for *in rem* housing. The waiver will expire at the time that a building undergoes substantial rehabilitation, or in two years, whichever is less. HPD will continue to implement lead poisoning prevention activities in its *in rem* properties that are at least as stringent as the requirements under Local Law #1.

One-Year Plan

The City operates several programs to investigate, treat and eliminate lead-based paint hazards. The City investigates, abates and removes lead-based paint hazards in City-owned dwellings and in privately owned dwellings where owners are unwilling or unable to do so.

The City's Department of Health (DOHMH) and the Department of Housing Preservation and Development (HPD) run a coordinated program to address hazards where there is a lead-poisoned child identified by the DOHMH. In August 2004, the blood lead level at which DOHMH initiates environmental intervention was changed to one blood lead test of 15µg/dL or greater. Previously, environmental investigations occurred for children with one blood lead level of 20 µg/dL or greater or two BLLs of 15-19 µg/dL taken at least three months apart. In calendar year 2008, a total of 446 NYC children (ages 6 months to less than 6 years old) with blood levels initiating environmental intervention were identified. Of these, 179 children had a first-time blood lead level of 20 µg/dL or greater and 267 children had a first-time blood level that was between 15 and 19 µg/dL.

Where a lead-poisoned child is identified, the DOHMH orders the owner to abate lead paint hazards. If the owner fails to do so, HPD's Bureau of Environmental Hazards will do the work and place a lien against the property for the cost. HPD currently maintains six (6) contracts of approximately six million three hundred thousand (\$6,300,000) dollars total.

The DOHMH also administers several primary prevention initiatives that focus on lead paint hazard remediation in homes of young children who do not have elevated blood lead levels. For these children, The DOHMH orders the owner to remediate lead paint hazard(s). If the owner fails to do so, HPD's BEH will do the work and place a lien against the property for the cost. In addition, HPD's BEH Unit continues to improve its coordination with DOHMH by establishing protocols for joint inspections where necessary, updating both agencies' computer systems so they communicate, and hiring staff to act in a project-management capacity in order to facilitate lead abatement work in cases where the landlord or tenant may impede the performance of such work. In calendar year 2008, 273 jobs to abate DOHMH violations were completed by BEH in privately owned buildings.

As a result of Local Law #1, DOHMH amended the safety rules to be used when lead-paint violations are being corrected in units where a lead poisoned child has been identified. These rules specify the approved methods of abatement, and the required safety procedures, including clearance testing prior to re-occupancy of a dwelling. Owners are required to file with the DOHMH prior to commencement of each job and are subject to work-in progress inspections. The rules also require safe work practices when repair and renovation work that disturbs paint is performed in units with children under 6. HPD's rules contain the same requirements HPD performs additional lead hazard reduction in City-owned buildings and informs tenants of the dangers of lead based paint. In addition to the above efforts in which the City is responding to complaints regarding lead based paint hazards, HPD also acts affirmatively to alleviate potential hazards by improving conditions in targeted residential properties. First, the City's moderate rehabilitation loan programs serve to reduce lead paint hazards by funding the removal or repair of existing hazards in buildings undergoing rehabilitation. In FY 2008 alone, the City commenced moderate-rehabilitation work on 4,139 units of occupied housing.

In CY 2005 and 2007, NYC DOHMH committed a combined total of \$1 million to support replacement of lead painted doors and windows with lead-free components in buildings located within a 23 block area of Bushwick, Brooklyn.

In addition to the above-mentioned rehabilitation activities performed through HPD's capital budget, in recent years HPD has also sought specially targeted funding for lead hazard reduction. As a result, the City received a \$6.75 million HUD grant in 1994 to reduce lead paint hazards and incorporated it into some of its rehabilitation programs to determine the feasibility of combining lead-paint hazard reduction with moderate rehabilitation. This grant was completed in May, 1999, resulting in the lead treatment of 697 units. In September 1996, HPD and DOHMH were awarded an additional \$1.6 million in response to a new Notice of Funding Availability by HUD for Lead Paint Hazard Control in Priority Housing. With these funds, the City in June 2000 was able to treat a total of 220 units through the Primary Prevention Program, a low-level lead treatment program. HPD has also received an additional \$3 million grant in Round VIII of this program. This grant had a duration of three and a half years, ending November 2004. The total number of units completed was 397 units.

In September 2003, HPD was awarded \$500,000 under the HUD Lead Outreach grant program. In addition, HPD received the HUD Lead Hazard Reduction Demonstration Grant in September 2003 in the amount of \$2.6 million. This grant ended in March, 2007, and resulted in the treatment and completion of 306 units or 6 units above goal. City Capital Match funding supported 100 units of this grant initiative. During the two-year Lead Outreach grant, HPD enrolled completed and complete 175 units by September 2005, supported by City Capital match funding. In July 2004, HPD also received HUD's 2004 Lead Hazard Reduction Demonstration Grant in the amount of \$4 million and a 2004 Lead Outreach Grant for \$500,000. The 2004 Demonstration Grant completed 439 by March, 2009. The Lead Outreach 2004 Grant enrolled and completed 150 units. In September 2005, HPD received a 2005 Lead Outreach Grant for \$500,000; a 2005 Demonstration Grant for \$4 million; and a Lead-Based Paint Hazard Control Grant for an additional \$3 million: under these three grants, HPD plans to enroll and treat a total of 620 units. The 2005 Outreach grant enrolled and completed 120 units by October 30, 2007. The Demonstration 2005 grant ended on June 30, 2009 and the Lead Hazard Control 2005 grant will end on September 30, 2009. Both grants completed 615 units, or 89 units above goal. HPD was also awarded two additional grants in 2007, the Demonstration Grant for \$4 million and the Lead Hazard Control Grant for \$3 million. Supported by a City Capital Match commitment of \$7 million, the goal for both grants is the completion and clearance of 612 units by October 30, 2010, the completion date of both new grants. City Capital Match funding will support 160 of the planned 612 units under both grant initiatives. (For a description of both the Lead Outreach and Lead Hazard Reduction Demonstration Grant Programs, please refer to Volume 1., Part 1., Action Plan, Section D.b., Description of Programmatic Activities, respectively.)

Primary Prevention Program

The Primary Prevention Program (PPP) is a low-level interim treatment scope of work funded by HUD's Federal Lead-Based Paint Hazard Control Grant. The program began in the Fall of 1996, with funding provided by HUD under Rounds II and IV and VIII of its Lead Hazard Control initiative, the Lead Outreach grants of 2003, 2004 and 2005, the Lead Hazard Reduction Demonstration grants of 2003, 2004, 2005 and 2007, as well as the Lead Hazard Control grants of 2005 and 2007. In conjunction with the DOHMH, HPD's PPP targets areas with high incidence rates of childhood lead poisoning. The goal of this program is the primary prevention of lead poisoning in high-risk areas. The existing target areas now include: Bedford Stuyvesant/Crown Heights, East Flatbush/Flatbush, Williamsburg/Bushwick and East New York in Brooklyn; Central and West Bronx in the Bronx; and West Queens in Queens.

Under the program's selection criteria, a building can qualify for PPP funding only if there is a pregnant woman or a child under six years of age in residence. Each building must be built prior to 1960, must contain a substantial number of dwelling units with children under six years of age in residence. In addition, households earning less than or equal to 50 percent of the area median income must occupy 50 percent of the dwelling units in the building. The remaining units must be occupied by households earning less than or equal to 80 percent of area median income. The scope of work for the PPP interim control treatment measures includes: wet scraping; spot patching; and restoration of all painted surfaces to an intact condition. All friction and impact surfaces,

including windows, doors and cabinets, are also treated to reduce the creation of lead dust. Some components will be abated by way of removal and replacement with new, depending on their existing condition.

PPP plans to treat approximately 130 units in Fiscal Year 2010. The average cost for each unit is between \$9,500 and \$10,500. Under the Demonstration 2003, 2004, 2005 and 2007 Grants, the Lead Hazard Control 2005 and 2007 Grants, and the Lead Outreach 2003, 2004 and 2005 Grants, HPD has completed 2,073 of its committed 2,303 units. Of the completed units, 1,020 apartments were supported by City capital funds as part of HPD's match contributions under the current HUD grants. The owner is obligated for three years from the completion of the intervention work to continue to rent to low-income families.

The City has reviewed its programs that are affected by the Title X rules, and has made many changes in order to implement the rules. It has conducted extensive training of both in-house personnel and contractors, and has notified affected parties of the need for training and compliance with the rules. On August 3, 2001, HUD announced that it would grant an automatic extension of the time to comply with the Title X rules until September 10th, 2001 and that it would entertain one last request for extensions until January 10, 2002, provided that such requests were submitted prior to September 10th. Although the City expected to be ready to begin implementing the Title X rules in September 2001, the events of September 11th altered that expectation. Upon request of the City, HUD granted a further extension until April 10, 2002, and the City began implementation as of that date. As noted above, in July 2007, HUD renewed its approval of the City's request for a temporary waiver from Subpart K of the Title X rules for the City's *in rem* housing, based upon compliance with the new Local Law #1. HPD will continue to implement lead poisoning prevention activities in its *in rem* buildings that are at least as stringent as the requirements under Local Law #1.

Five-Year Plan

The City has proposed the substantial upgrading of its lead-paint related activities. The City has also been working with the New York State legislature to obtain the passage of a bill to license lead-paint inspectors and contractors. To date no such bill has passed.

Other elements of the City's plan include:

- Further expansion of hazard reduction contracts beyond that mentioned above, if necessary, to meet a projected growth in lead hazard reduction work.
- Discussions locally and at the state level concerning licensing of lead-paint contractors, in part to provide liability protection in New York State for lead abatement companies. Other states have this protection; without it, companies in New York State are reluctant to conduct this work.
- Increasing public awareness of dangers of lead paint through community campaigns in schools and media.
- Petitioning the State and Federal governments to increase funding for lead-paint testing and hazard reduction.
- Devising and implementing cost-efficient methods for lead-based paint hazard reduction.
- HPD maintains requirement contracts for Atomic Absorption (dust wipe analysis) to expedite testing.
- Hiring of additional lead abatement workers and clearance technicians to assist in the abatement process.
- Certifying and training of lead staff.
- Continued improvement in electronic data exchange between HPD and DOHMH in order to enhance both agencies' productivity.

- Continued training and certification of HPD's lead staff to ensure an informed and professional response to lead hazard reduction at all levels of complexity and scope.
- Training contractors, workers and developers in safe work practices.
- Continued development of HPD's computer system to automate the process of conducting inspections, compiling test results, and performing remediation.
- HPD maintains a requirement contract for medical exams and blood tests to monitor the lead levels of all staff that may be exposed to lead paint or dust.

Marketing and Inventory Conditions

ESTIMATE OF OCCUPIED UNITS WITH LEAD-BASED PAINT

Year Built	Total Units	Estimate of Percent of Units with LBP	Estimated Units with LBP	LBP Units Occupied By Families Less Than or Equal to 50% of Median	LBP Units Occupied By Families Less Than or Equal to 80% of Median
1960 +	779,347	0%			
1947 - 1959	458,592	69%	316,428	119,294	170,555
Before 1947	1,800,057	90%	1,620,051	562,158	840,807
TOTAL	3,037,996		1,936,479	681,452	1,011,362

New York City prohibited the use of lead-based paint in residential dwellings in 1960. Therefore, our estimate assumes that housing units built after 1960 do not contain lead-based paint.

New York City has approximately 2.9 million units of occupied housing, the vast majority of which were built before 1960. Since our survey breaks down age of building by pre- and post-1947, we have used 1947 for estimating purposes rather than 1946.

New York City's Housing and Vacancy Survey for 2005 shows that approximately 35% of units built prior to 1947 and 38% of units built between 1947 and 1959 are occupied by households earning less than 50% of area median income. For the same periods, approximately 17% and 16%, respectively, of units are occupied by households earning between 50% and 80% of the median. We used these percentages against the estimated units with lead-based paint to estimate the number of very low-income and low-income households residing in units with lead-based paint. (Calculations based on unrounded numbers.)

New York City Housing Authority

NYCHA complies with Federal, State, and City regulations concerning lead and executes HUD directives regarding lead-based paint (LBP). NYCHA identifies hazards posed by paint, dust and soil, and implements programs designed to control or mitigate such hazards safely and efficiently.

In an effort to prevent lead exposures to the housing population and workforce, NYCHA educates residents and staff on how to live safely with LBP and LBP hazards (e.g., Lead Disclosure Program, lead specific procedures

and directives), and implements a strategic framework for lead hazard control. The framework is a combination of evaluating and controlling LBP hazards, (i.e., any condition that causes exposure to lead from dust-lead hazards, soil-lead hazards, or LBP that is deteriorated or present in chewable surfaces, friction surfaces, or impact surfaces). NYCHA evaluates LBP hazards through a combination of inspections and Risk Assessment Reevaluations (Reevaluation). An inspection is a surface-by-surface investigation to determine the presence of LBP; a Reevaluation is an on-site investigation combining visual assessment with collection of environmental samples to determine if a previously implemented lead-based paint hazard control measure is still effective and if the dwelling remains lead-safe. Reevaluations are required at developments where LBP hazards were identified during an initial Risk Assessment. A Risk Assessment is an on-site investigation that determines the existence, nature, severity, and location of LBP hazards. At this time NYCHA has performed Risk Assessments at all required developments.

After LBP hazards have been identified by a Reevaluation or by inspection, NYCHA reduces the hazards through either abatements or interim controls. Abatement is the elimination of LBP hazards using strategies such as paint removal, enclosure or component replacement. Interim controls temporarily reduce exposures to lead by correcting LBP hazards and stabilizing LBP through activities such as repainting, specialized cleaning and implementing procedures to reduce lead hazards that may be caused by operation and maintenance activities.

Program Highlights

NYCHA manages various lead hazard reduction programs and projects. The following are brief descriptions of major programs and projects:

Department of Health Violations DOHMH & Litigation Support Program

Children with blood lead levels equal to or greater than 15 micrograms per deciliter (µg/dl) are considered lead-poisoned. If a lead-poisoned child or Elevated Blood Level (EBL) is identified, the New York City DOHMH will inspect the child's residence for the presence of Lead Based Paint (LBP). The intent of the inspection is to identify if there are any sources of lead within the apartment that may contribute to the child's EBL. If the DOHMH identifies LBP on friction, impact, mouthable or defective surfaces, a Health Code violation for LBP is issued to the landlord. The violation mandates the landlord to make specific corrective actions. The landlord can either implement the corrective actions or contest the violation by testing the cited surfaces. After either correcting the cited conditions or successfully contesting the violation, the DOHMH will dismiss the violation. NYCHA contests each DOHMH LBP violation, and if LBP is present, performs the corrective action specified by the Health Code.

Risk Assessment Program

Developments constructed before 1980 are assessed for Lead Based Paint (LBP) hazards. Consultant firms under contract with NYCHA provide the Reevaluation services and subsequent report, which explains the results of the investigation and options for reducing LBP hazards.

Local Law 1 of 2004

On August 2, 2004, Local Law 1 went into effect, calling for the comprehensive prevention of childhood lead poisoning through the remediation of lead-based paint hazards in housing and day care facilities (child occupied facilities). Local Law 1 applies to apartments and common areas of all buildings built before 1960, or between 1960 and 1978 if Lead Based Paint (LBP) is present, and where a child under 6 years of age lives. The initial law was for children under the age of seven, but as of October 1, 2006, the law was changed to include children under the age of six. NYCHA has identified 89 developments totaling 84,439 apartments constructed prior to 1960 or between 1960 and 1978 where LBP is present or presumed to be present. NYCHA has submitted a request for exemption of 113 properties built prior to 1960 or between 1960 and 1978 that were identified as not containing LBP in apartments. As of June 30, 2009, 67 developments have been exempted.

The Law requires NYCHA to:

- Inquire at initial leasing and at renewal if a child under 6 years old resides in the apartment.
- Notify residents of their rights under the law (Provide DOH Pamphlet at lease signing).

- Send an annual notice to tenants inquiring as to whether there is a child under 6 years old in the apartment.
- Conduct investigations annually, to determine whether there are lead hazards.
- Remediate all lead hazards in common areas and apartments with children under 6 using trained workers; a third party must collect clearance wipes for projects that disturb more than two square feet.
- Make apartments lead safe when they become vacant (abate doors and door frames).

In response to the new regulation, NYCHA has tested over 15,300 apartments and abated approximately 7,100 that tested positive for Lead-Based Paint. The balance was submitted immediately to HPD for exemption.

LBP Inspection & Abatement Program

NYCHA conducts LBP testing in dwelling units and public spaces in all pre-1978 developments, where children under the age of 6 live or are expected to live. NYCHA will test entire developments, (i.e., for multifamily housing, only a random sample of dwelling units needs to be inspected to determine if LBP is present.), individual dwelling units, public spaces, and common areas for LBP. The testing is performed in response to HUD mandates, DOHMH Violation, Court Order or requests from any of the following internal departments:

- Capital Projects Department
- Development Manager or Resident with a child under the age of 7 (including privately managed developments)
- Community Operations Department
- Facility Planning Department

LBP Disclosure Program:

The Residential Lead-Based Paint Hazard Reduction Act of 1992 requires NYCHA to disclose to its tenants any information relevant to LBP and LBP hazards that may exist in housing built before 1978. The program is complex and requires coordination with all NYCHA Departments and Management.

Summary of Activities

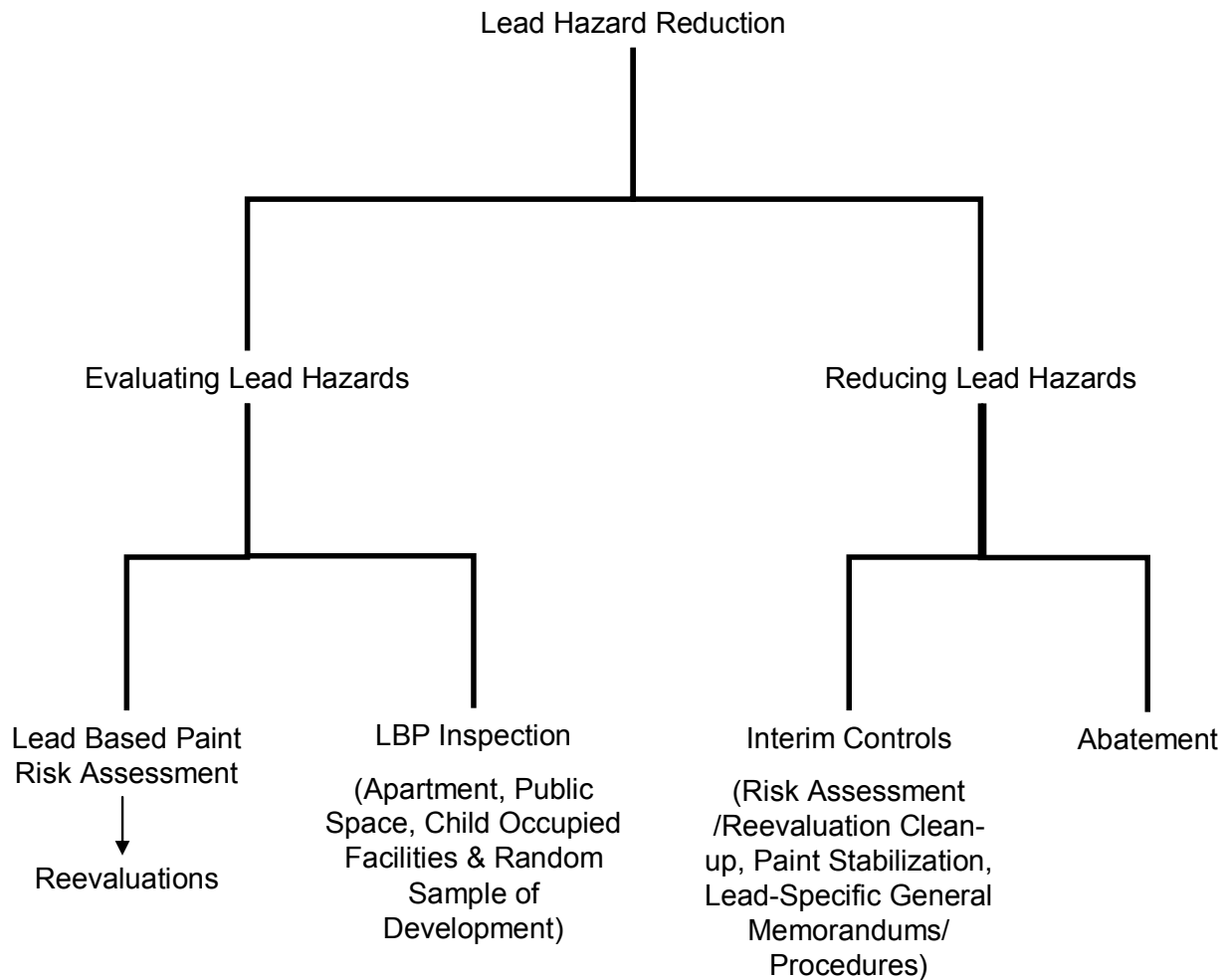
Description	2009 (through June 30, 2009)
New DOH Violations Received*	19
Number Of Violations Dismissed	3
Number Of Violations Rescinded	15
Total Number Of Apartments Abated (LBP)	659
Number Of Child Occupied/ Multi-Use Facilities Inspected For LBP (XRF)	1
Total Number Of Apartments Tested For LBP (XRF)	1,380
Total Number Of Public Spaces Tested For LBP (XRF)	1
Number Of Apartments Tested For Elevated Lead Dust Levels (Dust Wipes)	2,023
Number Of Public Spaces Tested For Elevated Lead Dust Levels (Dust Wipes)	3,649
Distribute LBP Disclosure Information to developments Constructed Prior To 1980 (Development Wide Disclosure, Reevaluation)	19
Distribution of Single Family LBP Disclosure Packages In developments Constructed Prior To 1978	1,379
Development Wide Testing Of Developments Constructed Prior To 1978 For LBP (i.e., Reevaluation)	28

Description	2009 (through June 30, 2009)
Local Law 1 – Move Out Apartments Tested	1,248
Local Law 1 – Move Out Apartment Lead Abatements Completed	624

*8 of NYCHA's 2009 violations were received as part of newborn health visits by DOHMH's Brooklyn District Public Health Office (DPHO). In these instances, an EBL child was not identified, but defective painted surfaces with an initial reading above regulatory thresholds were identified.

New York City Housing Authority

Strategic Framework for Lead Hazard Reduction



Department of Homeless Services

The Department of Homeless Services oversees and manages several initiatives to investigate, treat and eliminate lead-based paint hazards in homeless shelters that are operated by the agency, or are operated under contract with the agency. All construction, renovation and repair work at DHS facilities must be preceded by certain lead-based paint related activity. Such activity may consist of inspecting, sampling, air monitoring, laboratory analysis, encapsulation or abatement. These tasks are contracted out by the agency. The contractors, available on-call, responding on an as-needed basis to emergency situations are used also for planning long term projects. In-house staff at DHS ensures that all contracted services are conducted in conformance with HUD/EPA established guidelines.

A major component of DHS' policies concerning lead-based paint is risk assessment. Adhering to the goal of the Agency's Office of Technical and Construction Services (OTCS) in providing a safe environment for its staff and clients, Lead Inspectors conduct lead paint hazard investigations on a routine basis. If lead paint presence is known or detected, remedial steps are taken to eliminate the risk of exposure. DHS will continue its efforts to create comprehensive lead-based paint profiles of each city-owned DHS operated or contracted site, with family shelters being the first priority. This effort is not necessarily limited to facilities operated by DHS, but encompasses all city-owned shelters under the jurisdiction of the agency.

Lead inspectors respond to calls for inspections from DHS shelter staff concerned about possible exposure during renovation, construction, or maintenance activities. An outside contractor is called for bulk sampling, if there are indications of chipping and peeling paint when renovation work or construction work is planned or if maintenance activities are planned that may disturb existing paint. During activities where lead paint is disturbed, an outside contracted third party air monitor and inspector are also brought on-site and an accredited laboratory analyzes dust wipes and/or air samples.

With Local Law 1 of 2004 in effect since August 2004, the Agency has dedicated special attention and concentrated efforts to identify, inspect and remedy lead paint hazards at eighteen (18) DHS family facilities built prior to 1960, where children under seven years of age reside. A follow-up inspection program has been instituted for all dwellings and common areas where lead-based paint has been identified to include re-inspections when tenants move out. It must be noted that not all eighteen (18) family facilities (1,114 units) contained lead. At lead paint containing sites, follow-up inspection results have indicated that an estimated 52% of the units require remediation.

The Office of Construction and Technical Services (OCTS) continues to compile a comprehensive 'Lead Paint Hazard Checklist' for all of their owned/operated/contracted facilities where such hazards once identified, are slated for remedial action by licensed and certified contractors. During fiscal year 2009, DHS has responded to lead paint related activities at nine (9) adult and family facilities on one hundred and twenty (120) occasions.

E. Anti-Poverty Strategy

This section describes the City's goals, policies, and procedures for reducing the number of poverty level households. Despite considerable regional economic growth and changes in federal, state and local welfare and related policies over the last two decades, according to the federal poverty measure, one out of five New Yorkers and a third of New York City's children live in poverty. Moreover, poverty in New York City is concentrated geographically, creating "pockets" of extreme poverty – where more than 40% of the population lives below the Federal Poverty Line. These pockets of extreme poverty serve as the foundation for persistent poverty – poverty that spans more than one generation.

The City of New York has engaged a multi-pronged approach: 1) reduce the number of men, women, and children living in poverty in New York City; and 2) diversify and strengthen sectors of the City's economic base in order to decrease its reliance on the financial sector (Wall Street) as the main driver of the local economy.

In late 2006, Mayor Michael Bloomberg established the new Center for Economic Opportunity (CEO) under the leadership of Veronica M. White. CEO is guided by the recommendations made by the New York City Commission for Economic Opportunity. Programs created as a result of the recommendations are aimed at reducing poverty in three key populations throughout the City: the Working Poor, Young Adults 16-24, and Young Children & Families. In December 2007, the Center for Economic Opportunity released its first Strategy and Implementation Report (SIR), and in April 2009, the Center released a report titled "Early Achievements and Lessons Learned." Together, these reports describe CEO's anti-poverty pilots programs, their implementation, and early results. Through 2008 and 2009, the Center successfully continued to design and/or implement a range of programs that addressed each of the Commission's recommendations.

The majority of CEO initiatives are open to residents Citywide but CEO also made an effort to target some of its initiatives to three high-poverty communities within three different boroughs: Bedford-Stuyvesant (Brooklyn), Jamaica (Queens), and Melrose (Bronx).

Initiatives for Working Poor adults

In New York City, approximately 350,000 individuals are working yet remain in poverty, and nearly 50% of all poor households include an employed adult. CEO's workforce programs break down silos within government and incorporate agencies who rarely, if ever, have a workforce development role.

- Community Based Organization Outreach Initiative connects job-ready residents of high-poverty communities with WorkForce1 Career Centers' employment opportunities
- Nurse Career Ladders (LPN) initiative develops career prospects for low-wage health workers and other low-income individuals by preparing students in an accelerated program for sustainable careers in nursing;
- The Sector-Focused Career Center creates a new type of job placement and training center that focuses its services on a single economic sector. The Center meets the needs specific to businesses within the sector as well as provides low-income workers with access to good jobs with career advancement opportunities.
- The Office of Financial Empowerment (OFE) within the Department of Consumer Affairs (DCA) was designed to educate, empower, and protect city residents with low incomes and help them make the best use of their financial resources. OFE helps New Yorkers manage their finances, link them to financial education classes and counselors, as well as provides them with information on how to get out of debt, open a bank account, and spot a scam through the Financial Education Network and Financial Empowerment Centers. In addition, OFE assists New Yorkers get and save financial resources through programs like the Earned Income Tax Credit through the City's Tax Credit Campaign.

Initiatives for Young Adults, Age 16 to 24

With nearly a quarter-million young adults between the ages of 16 and 24 living below the poverty line in New York City, CEO offers educational, employment, and health programs tailored to young adults. To meet the needs of this varied population, CEO programs range from basic literacy to higher education; innovative approaches to pregnancy prevention such as community service opportunities for students; and employment programs for disconnected and court-involved youth. There are approximately 16 programs funded by CEO for the City's at-risk young adults.

- The Teen Action (Achieving Change Together in Our Neighborhood) Program is an after-school service learning initiative offered to youth aged 13-21. Through the program, the youth design and implement meaningful service projects in their communities. The service experience is combined with reflection activities and a learning experience that includes a comprehensive curriculum that emphasizes the development of leadership skills and healthy behaviors. In 2009, 54 programs throughout the City served over 3,500 students.
- Model Young Adult Literacy Program offers basic literacy and math instruction for disconnected young adults, with a focus on employment, incentives to sustain attendance, and support services. The programs are being implemented by the Queens, Brooklyn, and New York Public Library systems, and community based organizations. The program is currently serving youth between the ages of 16-24 who are not employed or in school and are reading at the fourth- to sixth-grade levels.
- Young Adult Internship Program (YAIP) offers youth who are out of school and out of work the opportunity to develop essential skills for today's workforce through a combination of educational workshops, counseling, and short-term paid internships. After completing the program, participants receive help in determining the most appropriate next step (school, advanced training, or employment);
- City University of New York (CUNY) Prep offers out-of-school youth between the ages of 16 and 18 with an opportunity for full-time study in order to qualify for admission to college by obtaining a General Equivalency Diploma (GED);
- CUNY Accelerated Study in Associate Programs (ASAP) provides academic and economic support to help low-income student complete Associate degrees in an accelerated manner, thereby potentially positioning themselves for higher income employment opportunities than those available to young adults with only a high school diploma (traditional and/or GED);

Young Children & Families

The CEO poverty measure estimates that New York City is home to 223,118 young children in poverty, similar to the 213, 574 children counted under the Federal measure. Although poverty alone does not place children's development at risk, children living in poverty are more susceptible to risk factor that can jeopardize their well being and life outcomes. The CEO initiatives for young children and families focus on providing a good start to life and education.

- Child Care Tax Credit (CCTC), initiated in 2008, combines with Federal and State refundable Child and Dependent Care credits to provide low-income households a City tax credit of up to \$1,700 to work while providing young children with quality child care. Over 50,000 low-income households have received credits totaling \$30 million;
- The Nurse-Family Partnership (NFP) initiative expands the capacity of the existing NFP program, a national home visitation model that seeks to improve the health, well-being, and self-sufficiency of low-income, first-time parents and their children through regular home visits.

Poverty Research:

In August 2008, CEO published a report documenting the findings and the methodology used to create an alternative poverty measure for New York City, based on a set of recommendations made by the National Academy of Sciences. This report made New York the first local government in the nation to reformulate the official, and antiquated, federal poverty measure.

The CEO poverty measure offers a more realistic standard to assess poverty in New York City. Unlike the official measure, this measure factors in food, clothing shelter and utilities expenditures, takes into account additional financial resources (tax credits and benefits, such as Food Stamps and Section 8 housing subsidies), and adjusts for differing geographic cost factors in housing. The CEO poverty measure estimates that the poverty rate in New York City in 2006 was 23.0 percent. The corresponding poverty rate using the official method is 18.0 percent.

The CEO poverty measure has caught the attention of policy makers nationwide. In the 111th and 110th Congresses, legislation was introduced by Congressman Jim McDermott and Senator Christopher Dodd proposing that the methodology used to calculate the Federal poverty measure be revised based on the same National Academy of Sciences' recommendations that inform the CEO poverty measure.

The Center is consulting with several other localities that want to develop similar poverty measures including: Chicago, Illinois; Los Angeles, California; San Francisco, California; Washington, DC; Philadelphia, Pennsylvania; Oakland, California; San Jose California, along with the states of New York and California.

Outside of the Poverty Commission's initiatives, the City also continues to provide cash assistance and other types of public assistance to qualified low-income New Yorkers. The number of recipients of cash assistance was 346,106 as of June 2009, up approximately two percent from 341,329 as of June 2008.

The current national economic recession has negatively impacted all sectors of New York City's economy. After six years of steady increases in employment, the City's employment levels decreased during the last year. During the period July 2008 to July 2009, the number of employed New Yorkers decreased by slightly less than two percent, or approximately 65,100 jobs. During the same period, private employment decreased by slightly less than three percent, approximately 93,200 jobs. The two industries showing the largest losses in employment in absolute numbers over the period July 2008 to July 2009 were service-providing, and financial activities sectors, losing approximately 42,700 and 37,400 jobs, respectively. Employment in the Education and Health Services sector, which includes Ambulatory Health Care Services such as home health care, increased by 3.7% or approximately 25,500 jobs.

In July 2008 the City's unemployment rate decreased to where it was less than one percentage point higher than the balance of New York State's unemployment rate (approximately 5.7% to 5.4%, respectively). Within the next twelve months both New York City and New York State experienced increases in their respective employment rates. However, by July 2009 New York City's unemployment rate increased dramatically to where it was 1.2 percent points higher than the balance of New York State's (9.8 to 7.8 percent, respectively).

As the result of the recent economic recession brought on by the collapse of the financial markets, the Mayor's economic diversification program has received increased emphasis. The program, called the Five-Borough Economic Opportunity Plan, originally presented in 2002, attempts to create employment opportunities in fields that New York City either has existing particular competitive advantages or potential advantages which have been identified but not fully exploited, particularly in bioscience, fashion, media/technology, manufacturing/distribution, and tourism. In addition, "green" building design and construction initiatives which promote sustainable business practices have also been identified as areas for further development.

Bioscience

- Support the NYC Bioscience Initiative to grow bioscience and life science industries at locations such as BioBAT (Brooklyn Army Terminal) in Brooklyn and the East River Science Park. <EOP>
- Create a New York City \$3 million bio-tech tax credit *that would be available* to small firms engaged in research and development that meet New York State standards as qualified emerging technology companies. The credit would help a young firm equip a lab, train technicians and fund access to high tech equipment.

Fashion

- Expand Fashion Week at Damrosch Park (Lincoln Center) and develop strategies that grow the Fashion and Wholesale Retail Sector, which employs more than 175,000 New Yorkers. Strategies include improvements to Buyers' Week and the revitalization of the Garment Center.

Media/technology

- Partner with the private sector to develop and implement a strategy to grow the emerging new media, gaming and technology sectors. Encourage innovation and entrepreneurship through partnership with the hi-tech sector.
- Encourage further innovation and collaboration in the media industry; attract top talent to the City; recruit leading foreign media companies; and help New York City-based companies expand abroad.

Manufacturing/distribution

- Continue to support 16 Industrial Business Zones and additional industrial ombudsmen areas throughout the five boroughs to encourage industrial and manufacturing job growth and business expansion.
- Work with private sector partners to create industrial and maritime jobs by expanding the New York Container Terminal in Staten Island, and reactivating waterborne industry along the Brooklyn Waterfront in Red Hook and the South Brooklyn Marine Terminal.

Tourism

- Invest in tourism infrastructure including improved trade show space that can attract more national and international conferences.
- Use the new Visitor Information Center, online resources, and international offices to achieve goal of attracting 50 million visitors by 2012.

Green Initiatives

- Implement sustainability initiatives, like the "Greener, Greater Buildings Plan to reduce the City's energy usage and save consumers money, while simultaneously creating thousands of well-paying green jobs.
- Provide workforce training in green sub-sectors such as renewable energy and carbon finance, in order to ensure that New Yorkers are well-trained for these jobs.

Expanding access to health insurance is one of the most important ways a municipality can improve the lives of its low income residents. Public health insurance programs available to New York City residents include: Child Health Plus. (Child Health Plus is a comprehensive health insurance program that covers a wide range of children's health care and dental needs. The income requirements make it possible for working families to get free or low-cost health insurance for their children); Medicaid for low income children and families; and Family Health Plus (Family Health Plus is a public health insurance program for adults between the ages of 19 and 64 who do not have health insurance - either on their own or through their employers - but have incomes too high to qualify for Medicaid.) New York State provides premium subsidies for children and adults eligible for public health insurance with access to employer-sponsored insurance, permits employers and Taft-Hartley Funds to purchase Family Health Plus for their members/employees, and simplifies enrollment and recertification in public health insurance.

By providing information on the various health insurance options available through both public and private programs, HRA's Office of Citywide Health Insurance Access (OCHIA) seeks to improve the health and general well-being of New York City residents.

To ensure that all those who are eligible for public health insurance are enrolled, OCHIA promotes and manages the collaborative work of 11 City agencies, 11 managed care plans and a wide array of community- and faith-based organizations to provide outreach and facilitate enrollment in neighborhood venues such as public schools, diverse places of worship, public housing developments and community events. Known as the

HealthStat Initiative, this collaboration has facilitated enrollment in public health insurance programs for over 72,000 New Yorkers in FY 2009. Through HealthStat, OCHIA makes New Yorkers aware of the expanded eligibility for children in the State's Child Health Plus program and the public health insurance options for eligible low-income and working adults.

OCHIA also has initiatives to expand health insurance offerings by the City's small businesses. Due to their size, many small businesses are unable to reach the economies of scale necessary to provide affordable health insurance to their employees. In 2007, OCHIA, in partnership with the Mayor's Office, completed negotiations with New York City's insurers to make domestic partner coverage available for small businesses in New York City. Unavailable to the small group market prior to the City's efforts, domestic partner coverage is now provided by all insurers for New York City's businesses with 2-50 employees. OCHIA has worked to promote Healthy NY, a state subsidized insurance product targeted to low-wage workers and their small business employers and our education of brokers and other outreach efforts have resulted in enrollment increases of 40%, outstripping gains in the rest of the State.

In September 2009, OCHIA has launched a new website, NYC Health Insurance Link (www.nyc.gov/hilink), to help small businesses and city residents find private health insurance, including lower-cost plans like Healthy NY. It allows consumers and business owners to compare plans across all insurers operating in New York City and is designed to educate consumers and respond to the many questions they have as they look for insurance. The website also features tips for making coverage more affordable, such as pairing public and private coverage and setting up Section 125 cafeteria plans to make insurance less costly for workers.

The number of persons certified eligible for Medicaid at the end of CFY 2009 increased approximately five percent, to 2,704,947 from 2,563,819 at the end of CFY 2008. The MA-only caseload increased by approximately seven percent, from 1,820,368 at the end of CFY 2008 to 1,949,180 at the end of CFY 2009.

New York City recognizes affordable child care as an essential element in making employment possible for low- and moderate-income families. At the end of CFY09 there were 104,275 children enrolled in childcare subsidized by the Administration for Children's Services/Agency for Child Development. In addition, there were 18,561 children enrolled in Head Start at the end of CFY 2009.

Reduced crime cuts costs for businesses and makes areas throughout the City attractive to business owners, workers and customers. New York City remained the safest big city in America according to the FBI's Preliminary Crime Report for 2009. Violent crime fell in the City by 4 percent and incidents of property crime remained basically flat between 2007 to 2008.

Other efforts to improve business opportunities for large and small enterprises, promote workforce expansion, and advance employment and job training in the City include work performed by the Department of Small Business Services (SBS). According to SBS, 550 newly certified businesses participated in the Minority/Women Owned Business (M/WBE) program. This represents 98 more newly certified businesses compared with CFY 2007, a more than twenty-one percent increase in participation.

Education, particularly in the curricula of science and mathematics is especially important to enable young New Yorkers to position themselves for the secondary academic or technical education necessary to acquire the job skills required for future employment opportunities within the city.

The Department of Education assesses the performance of students in grades 3 to 8 in two primary areas: Mathematics and English Language Arts (ELA).

The share of 8th grade students who met or exceeded standards in ELA in 2009 rose to 57 percent from the 2009 level of 43 percent. The share of New York City 8th graders who performed at or exceeded the standards in ELA in 2009 was 17.5 percentage points lower than the share of 8th graders across the State (not including New York City) who performed at standard. However, the gap between the City and the rest of the State narrowed by 2.9

percentage points. The percentage of 4th graders meeting or exceeding ELA standards, increased for the second straight school year to 68.9 percent. The proportion of the City's 4th graders performing at standard in the 2009 ELA exam was only 12.3 percentage points lower than the State's share (not including New York City) the narrowest the gap has been in the past eight school years. The share of students in grades 3 to 8 who met or exceeded standards in ELA in 2009 rose to 68.8 percent from the 2008 level of 57.6 percent.

In mathematics, New York City Grade 8 achievement in the state math exam increased by 11.7 percent from the 2008 school year to 71.3 percent. The share of New York City 8th graders who performed at or exceeded the State standards in Mathematics in 2009 was 13.6 percentage points lower than the share of 8th graders across the State. Fourth grade City students who performed at standard in the 2009 mathematics exam rose to 84.9 percent from 79.6 percent in 2008. These continued gains by New York City 4th graders has narrowed the gap between their mathematics scores and the rest of New York State's to slightly less than three percentage points (88.5 percent to 84.9 percent, respectively.)

In 2008 13.5 percent of general education students had dropped out within four years of entry into high school, the 2008 level represented a reduction of 2.3 points between 2007 and 2008 and by 8.5 points between 2005 and 2008. Using the New York State's methodology to calculate graduation rates¹, 60.7 percent of New York City general education students graduated within four years of entry into high school in FY2008, an approximately eight percentage point increase from the FY2007 level. This marks the first time the City's graduation rate has surpassed 60 percent. The City's graduation rate for 2008 was 7.6 percentage points higher than the other four major cities in New York State. This represents an improvement from 2005 when the City's rate was less than a percentage point below the "other big 4's" graduation rate. This indicates more New York City students are remaining in school to complete their high school education.

¹ *The New York State's 2008 calculation includes Local and Regents Diplomas, August graduates and all disabled students. It does not include GEDs or IEPs. New York City's traditional calculation includes Local and Regents Diplomas, GEDs, IEP diplomas, and August graduates. It does not include disabled students in self-contained classrooms or District 75 students .*

F. Institutional Structure

The following is a description of the institutional entities which are involved in administering the City's housing, homeless assistance, supportive housing services and community development activities. The entities are categorized as: 1) Public Institutions; 2) Non-profits; and 3) Private Industry.

This section describes the city agencies involved in planning, implementing and evaluating the City's Housing Policy. Each agency reports to one of four Deputy Mayors: Health and Human Services (including HRA, DHS, DFTA, and DOHMH), Economic Development and Rebuilding (including HPD, DEP, and DCP), Education and Community Development (including NYCHA and DYCD) and Legal Affairs (including CCHR, MOPD, and MOCDV). The Office of Management and Budget (OMB) and the Law Department report directly to the Mayor. All housing-related agencies are part of the Mayor's Task Force on Housing Policy and meet on a regular basis to discuss overlapping issues. In addition, this section discusses the City's productive relationship with not-for-profit organizations and the private sector to accomplish many of the City's Housing policy goals and objectives.

Supportive housing-related agencies are discussed further in the City's Continuum of Care found in Volume 2, Part I., Section D., Continuum of Care of Supportive Housing Activities for the Homeless and Other Special Needs Populations.

1. Public Institutions

This Public Institutions section describes the organizational structure for each New York City agency which performs Consolidated Plan-related activities and its relationships with other public, non-profit and private organizations which assist in the delivery of services throughout the City.

Within the City of New York there are two agencies whose primary mission is the production, rehabilitation, operation and preservation of affordable housing: the New York City Housing Authority (NYCHA) and the Department of Housing Preservation and Development (HPD). The Department of Homeless Services (DHS) coordinates social and physical services for homeless families and individuals, and the Human Resources Administration (HRA) provides a range of public benefits and social services. These are often delivered in conjunction with government sponsored housing efforts. Through its HIV / AIDS Services Administration, HRA provides emergency and supported housing assistance and services for families, single adults and children with symptomatic HIV illness or AIDS. The City's Department of Health and Mental Hygiene: along with the State's Offices of Mental Health (OMH), Office of Mental Retardation/Developmental Disabilities (OMRDD), and Office of Alcoholism and Substance Abuse Services (OASAS); plans, contracts for and monitors services for these disability areas and provides planning support to OASAS in the field of substance abuse services. Several other offices address the concerns of targeted groups of citizens by providing housing information and supportive housing services assistance, such as the Department of the Aging (DFTA), the Mayor's Office for People with Disabilities (MOPD), the Commission on Human Rights (CHR) and the Mayor's Office to Combat Domestic Violence (MOCDV).

The Department of City Planning (DCP) proposes land use policies and plans to encourage affordable housing development throughout the city. The DCP also coordinates the production of this document. Water conservation and environmental cleanup efforts are administered by the Department of Environmental Protection.

The City also operates two oversight agencies. The Office of Management and Budget (OMB) ensures that all City agencies use their resources effectively and the Law Department ensures that the City meets its legal obligations vis-a-vis federal and state requirements.

Policy making representatives from the agencies were designated to participate on the Consolidated Plan Committee. To create the Plan, each agency representative drafted that part of the plan that directly relates to their agency. DCP produces those aspects of the plan that are not agency specific. Ongoing coordination for

preparing the Consolidated Plan and the responsibility of coordination among the agencies is the responsibility of the Department of City Planning. DCP schedules meetings to facilitate planning, analysis, and decision making concerning the federal Consolidated Plan regulations.

Each of the various agencies operates through an annual program budget which is part of the City's overall spending plan. Each agency's budget is revised and approved by the City's Office of Management and Budget, the Deputy Mayors and the Mayor. The overall budget is then referred to the City Council for approval. Once the budget is approved by the City Council it becomes effective.

Ongoing coordination of budget priority and needs among the agencies is carried out at the Commissioner level through regularly scheduled cabinet meetings. The meetings facilitate combined thinking and joint decision making on housing planning issues.

New York City Housing Authority

Please refer to Part IV. Section C., New York City Housing Authority, for a description of the Authority's institutional structure.

Department of Housing Preservation and Development Office of the Commissioner

Commissioner: Rafael Cestero

The Office of the Commissioner oversees the administration of HPD. The Commissioner, except as otherwise provided by law, plans, initiates, conducts, supervises, coordinates, reviews and evaluates City programs relating to urban renewal, publicly-aided housing, neighborhood conservation, the enforcement of all laws relating to the rehabilitation or maintenance of housing, and the management of property acquired by the City, for or devoted to housing or urban renewal purposes. The Commissioner is also the ex-official chairman of the Housing Development Corporation.

- The agency's Chief of Staff, Special Counsel, and most of the Deputy Commissioners report directly to the Commissioner.
- The Supervising Inspector General also has a joint reporting relationship to the Commissioner of the Department of Housing Preservation and Development and the Commissioner of the Department of Investigation

First Deputy Commissioner: Douglas Apple

The Office of the First Deputy Commissioner brings together the functions that help to preserve the privately-owned housing stock. It also focuses on the functions that maintain and dispose of the City-owned housing stock. The First Deputy Commissioner also has oversight for several groups on which HPD's operating functions depend.

Housing Operations

The Deputy Commissioner for Housing Operations reports to the First Deputy Commissioner. Housing Operations is comprised of the Division of Architecture, Construction and Engineering (DACE), the Division of Tenant Resources, and the Division of Management and Disposition.

- **Division of Architecture, Construction and Engineering (DACE)** - DACE provides services to all the major divisions within HPD. DACE has technical responsibilities for all contract documents (i.e., work scopes, drawings, specifications, cost estimates, filing and sign off with the Department of Buildings). DACE reviews public bids, negotiates contract amounts and makes recommendations for contract awards. For projects designed by private architects, DACE reviews the contract documents to ensure conformance to HPD standards and to all zoning and building codes. DACE monitors ongoing construction work to ensure conformity to contract documents, construction techniques and codes. DACE also reviews and approves payment requisitions and change orders. The Labor Standards Unit

monitors Agency projects for compliance with labor and equal opportunity provisions of HPD contracts, including Federal (Davis-Bacon Act) and City and State (Labor Law Section of 220, Section 230) prevailing wage requirements. LSU also receives, reviews and coordinates the pre-award processing of Equal Opportunity (EO) packages for Agency contracts and issues Certificates of Compliance in accordance with applicable funding source mandates.

- **Division of Tenant Resources (DTR)** - assists eligible families that reside in properties that have been recently renovated with HPD loans, but where the newly restructured rent causes a financial hardship. DTR also offers Housing Choice Voucher assistance to families who previously benefited from the agency's development programs but who maintain a significant rent burden that places them in a precarious housing situation. In all these instances, Housing Choice Vouchers are a critical resource in preventing the displacement and potential homelessness of low-income households from revitalized neighborhoods. The voucher program also partners with other government agencies and divisions within DTR to assist special needs populations, including homeless clients from shelters operated by HPD, the Department of Homeless Services (DHS) and the Human Resource Administration (HRA). Pursuant to special contracts offered by HUD, DTR also issues enhanced vouchers to families affected by a housing conversion action. These actions occur when a private property owner opts out of a project-based contract by prepaying an existing federal mortgage, and converts the property to market rate housing. Enhanced vouchers permit a special payment standard which exceeds the normally applicable payment standards, so long as the family remains in the development. Accordingly, these special contracts are funded at higher levels than standard vouchers. The use of enhanced vouchers by DTR has become a critical tool in preserving affordable housing opportunities for many of the City's Mitchell Lama residents. Finally, DTR has developed and coordinated programs designed to enhance the economic self-sufficiency of tenants in City-owned and City-assisted housing. [DTR's Family Self-Sufficiency \(FSS\)](#) program assists families receiving HPD Section 8 to become economically independent by providing access to training, employment and long-term savings opportunities.
- **Division of Management and Disposition-** This Division has overall responsibility for the City-owned housing stock and vacant land that is under HPD's jurisdiction. There are two parts:
- **Division of Property Management-** The Division of Property Management (DPM) manages City-owned (*in rem*) residential and commercial properties, as well as urban renewal properties, until they can be returned to responsible private ownership. In addition, this Division operates the [Emergency Housing Services Bureau \(EHSB\)](#), which provides emergency relocation services to tenants displaced as a result of fires or vacate orders issued by the Dept. of Buildings, Fire Dept., or HPD.
- **The Division of Alternative Management Programs (DAMP)** develops and operates programs that provide alternatives to direct City management of occupied in-rem residential buildings by returning the properties to private and not-for-profit ownership. The goal of the disposition programs is to provide for the rehabilitation and sale of the properties to tenants, not-for-profit, and locally based for-profit organizations, which are responsible for the daily management of the properties. The City provides funding for the rehabilitation of the buildings.

Through a comprehensive neighborhood redevelopment strategy known as Building Blocks!, the Division targets every City-owned building in a geographical cluster for rehabilitation and sale. The programs that comprise the Building Blocks! disposition programs include: [the Neighborhood Entrepreneurs Program \(NEP\)](#), [the Neighborhood Redevelopment Program \(NRP\)](#), [the Tenant Interim Lease Apartment Purchase Program \(TIL\)](#), [the Tenant Interim Lease II Apartment Purchase Program](#), [the Tenant Ownership Program](#), [the Asset Sales Building Purchase Program](#), and [the Neighborhood Homes Program](#). In addition, DAMP includes program staff for the [7A Program](#). Housing Court judges appoint administrators through the 7A Program to operate privately-owned buildings that have been effectively abandoned by their owners, resulting in conditions that are dangerous to the tenants' lives, health and safety. The administrators act under Court Order to collect rents and use this money to provide essential services to the tenants and make necessary repairs.

Office of Preservation and Neighborhood Services

The Deputy Commissioner for the Office of Preservation and Neighborhood Services reports to the First Deputy Commissioner. The Office of Preservation and Neighborhood Services is comprised of the Divisions of Anti-Abandonment and Enforcement Services, as well as Housing Education and Narcotics Control.

- **Division of Neighborhood Preservation-** The **Division of Neighborhood Preservation (DNP)** conducts site assessments of thousands of buildings each year through four borough offices to: determine whether they are at-risk, develop individual treatment plans for the buildings, and coordinate the implementation of the treatment plans. DNP's activities are to: encourage owners to pay their taxes, enter into voluntary repair agreements with owners, refer owners to education and support programs including anti-abandonment training, provide assistance with rehabilitation loan financing, refer buildings for targeted code enforcement when necessary, and review distressed properties for exclusion from DOF tax lien sales. DNP also coordinates several stages of the third party transfer process to convey distressed tax delinquent buildings to new responsible owners using an *in rem* foreclosure mechanism. Finally, DNP oversees the work of Neighborhood Preservation Consultants who extend DNP's reach into communities throughout New York City by providing a variety of housing services.
- **Enforcement Services-** The Division of Code Enforcement enforces compliance with the City's Housing Maintenance Code and the New York State Multiple Dwelling Law. Tenants may call the City's Citizen Service Center at 311, 24 hours a day, 7 days a week (311 can be accessed outside of New York City by dialing (212) NEW YORK) to register complaints concerning possible housing violations in their apartment, including lack of essential services (heat, hot/cold water, electricity). In response to these complaints, the Division can send out inspectors to inspect emergency conditions and issue violations to the landlord if violations are found, directing the landlord to perform the repair within a timeframe specified by law. Code Inspectors are now available to perform emergency inspections 24 hours a day, 7 days a week. The Division of Maintenance performs emergency repairs in privately-owned buildings in response to emergency violations (including lead paint) issued by Code Inspectors if the landlord fails to perform the repair. The Division also coordinates major repairs and contracts for improvements in City-owned buildings.

The Office of Preservation and Neighborhood Services also runs a free Housing Education Program with courses on managing and maintaining one's property. It is also responsible for Narcotics Control.

Housing Supervision

The Assistant Commissioner for the Division of Housing Supervision reports to the First Deputy Commissioner.

- **Housing Supervision-** The Division of Housing Supervision is responsible for the regulation of 141 Mitchell-Lama rental and co-op housing companies with approximately 60,000 apartments. 55 of these companies are non-refinanced and HPD is the regulatory agency. The other 86 developments were refinanced in the late 1970's with the City as the second mortgagee, with HDC or secondary purchasers holding FHA-insured first mortgages.

The Division also has jurisdiction over approximately 60 Municipal Loan projects and manages one former Mitchell Lama development that was foreclosed and is City-owned. Housing Supervision is also responsible for administering the Senior Citizens Rent Increase Exemption program for 4500 households in City and State Mitchell-Lamas and other regulated developments.

Administration

The Deputy Commissioner for Administration reports to the First Deputy Commissioner. The Office of Administration consists of three divisions providing services to the entire Agency.

- **Division of Resources Management and Labor Relations-** This division provides for the coordination and administration of human resources policies (including hiring and compensation); training for agency personnel; disciplinary actions; the management and maintenance of office space; and the providing of supplies, fleet services, printing and mail services for the Agency.
- **Division of Management Review and Internal Compliance-** This division is the central auditing office of the agency. This division is responsible for internal agency oversight and for conducting management reviews of agency operational and administrative program activities. Oversight responsibilities include reviewing recently issued Federal, State and City regulations to ensure compliance and to ensure audit recommendations are followed, where appropriate.
- **Division of Equal Opportunity (EEO)-** This division investigates and resolves discrimination complaints filed by employees and job applicants involving unfair treatment because of race, color, religion, sex, disability, age, national origin, sexual orientation, alienage or citizenship status, prior record of arrest or conviction, marital status, or sexual harassment.

Technology and Strategic Development (TSD)

The Associate Commissioner for Technology and Strategic Development (TSD) reports to the First Deputy Commissioner.

Technology and Strategic Development (TSD)- TSD is responsible for managing HPD's Technology Infrastructure and supporting HPD's approximately 1600 clients and 2000 network devices at 18 sites throughout the five boroughs. TSD works to assure that HPD's mission critical business functions are supported by the appropriate level of technology, and provides professional services and business solutions

Office of Housing Operations

Deputy Commissioner: [Laurie LoPrimo](#)

- The Deputy Commissioner for Housing Operations reports to the First Deputy Commissioner. Housing Operations is comprised of the Division of Architecture, Construction and Engineering (DACE), the Division of Tenant Resources, and the Division of Management and Disposition.
- **Division of Architecture, Construction and Engineering (DACE) -** DACE provides services to all the major divisions within HPD. DACE has technical responsibilities for all contract documents (i.e., work scopes, drawings, specifications, cost estimates, filing and sign off with the Department of Buildings). DACE reviews public bids, negotiates contract amounts and makes recommendations for contract awards. For projects designed by private architects, DACE reviews the contract documents to ensure conformance to HPD standards and to all zoning and building codes. DACE monitors ongoing construction work to ensure conformity to contract documents, construction techniques and codes. DACE also reviews and approves payment requisitions and change orders. The Labor Standards Unit monitors Agency projects for compliance with labor and equal opportunity provisions of HPD contracts, including Federal (Davis-Bacon Act) and City and State (Labor Law Section of 220, Section 230) prevailing wage requirements. LSU also receives, reviews and coordinates the pre-award processing of Equal Opportunity (EO) packages for Agency contracts and issues Certificates of Compliance in accordance with applicable funding source mandates.
- **Division of Tenant Resources -(DTR)** assists eligible families that reside in properties that have been recently renovated with HPD loans, but where the newly restructured rent causes a financial hardship. DTR also offers Housing Choice Voucher assistance to families who previously benefited from the agency's development programs but who maintain a significant rent burden that places them in a precarious housing situation. In all these instances, Housing Choice Vouchers are a critical resource in preventing the displacement and potential homelessness of low-income households from revitalized neighborhoods. The voucher program also partners with other government agencies and divisions within DTR to assist special needs populations, including homeless clients from shelters operated by HPD, the Department of Homeless Services (DHS) and the Human Resource Administration (HRA). Pursuant to special contracts offered by HUD, DTR also issues enhanced vouchers to families affected by a housing conversion action. These actions occur when a private property owner opts out of a project-based

contract by prepaying an existing federal mortgage, and converts the property to market rate housing. Enhanced vouchers permit a special payment standard which exceeds the normally applicable payment standards, so long as the family remains in the development. Accordingly, these special contracts are funded at higher levels than standard vouchers. The use of enhanced vouchers by DTR has become a critical tool in preserving affordable housing opportunities for many of the City's Mitchell Lama residents. Finally, DTR has developed and coordinated programs designed to enhance the economic self-sufficiency of tenants in City-owned and City-assisted housing. DTR's [Family Self-Sufficiency \(FSS\)](#) program assists families receiving HPD Section 8 to become economically independent by providing access to training, employment and long-term savings opportunities.

- **Division of Management and Disposition-** This Division has overall responsibility for the City-owned housing stock and vacant land that is under HPD's jurisdiction. There are two parts:
 - **Division of Property Management-** The Division of Property Management (DPM) manages City-owned (*in rem*) residential and commercial properties, as well as urban renewal properties, until they can be returned to responsible private ownership. In addition, this Division operates the [Emergency Housing Response Team \(EHRT\)](#) and [Client and Housing Services \(CHS\)](#), which provide emergency shelter and housing relocation services to tenants displaced as a result of fires or vacate orders issued by the Dept. of Buildings, Fire Dept., or HPD.
 - **The Division of Alternative Management Programs (DAMP)** administers the programs in [Building Blocks!](#), the City's comprehensive neighborhood redevelopment initiative designed to spur neighborhood growth by returning City-owned *in rem* buildings to responsible private owners. The programs that comprise the Building Blocks! disposition programs include: the [Neighborhood Entrepreneurs Program \(NEP\)](#), the [Neighborhood Redevelopment Program \(NRP\)](#), the [Tenant Interim Lease Apartment Purchase Program \(TIL\)](#), the [Tenant Interim Lease II Apartment Purchase Program](#), the [Tenant Ownership Program](#), the [Asset Sales Building Purchase Program](#), and the [Neighborhood Homes Program](#). In addition, DAMP includes program staff for the [Article 7A program](#). Housing Court judges appoint administrators through the 7A Program to operate privately-owned buildings that have been effectively abandoned by their owners, resulting in conditions that are dangerous to the tenants' lives, health and safety. The administrators act under Court Order to collect rents and use this money as well as HPD loans (and occasionally small grants) to provide essential services to the tenants and make necessary repairs.

Office of Preservation Services

Deputy Commissioner: V. Mustaciuolo

The Deputy Commissioner for the Office of Preservation Services reports to the First Deputy Commissioner. The Office of Preservation Services is comprised of the Divisions of Neighborhood Preservation and Enforcement Services, as well as Housing Education and Narcotics Control.

Office of Preservation Services

- **Division of Neighborhood Preservation-** The Division Neighborhood Preservation(DNP)conducts site assessments of thousands of buildings each year through four borough offices to: determine whether they are at-risk, develop individual treatment plans for the buildings, and coordinate the implementation of the treatment plans. DNP's activities are to: encourage owners to pay their taxes, enter into voluntary repair agreements with owners, refer owners to education and support programs including anti-abandonment training, provide assistance with rehabilitation loan financing, refer buildings for targeted code enforcement when necessary, and review distressed properties for exclusion from DOF tax lien sales. DNP also coordinates several stages of the [third party transfer process](#) to convey distressed tax delinquent buildings to new responsible owners using an *in rem* foreclosure mechanism. Finally, DNP oversees the work of Neighborhood Preservation Consultants who extend DNP's reach into communities throughout New York City by providing a variety of housing services.
- **Enforcement Services-** The [Division of Code Enforcement](#) enforces compliance with the City's Housing Maintenance Code and the New York State Multiple Dwelling Law. Tenants may call the City's Citizen Service Center at 311, 24 hours a day, 7 days a week (311 can be accessed outside of New

York City by dialing (212) NEW YORK) to register complaints concerning possible housing violations in their apartment, including lack of essential services (heat, hot/cold water, electricity). In response to these complaints, the Division can send out inspectors to inspect emergency conditions and issue violations to the landlord if violations are found, directing the landlord to perform the repair within a timeframe specified by law. Code Inspectors are now available to perform emergency inspections 24 hours a day, 7 days a week. The Division of Maintenance performs emergency repairs in privately-owned buildings in response to emergency violations (including lead paint) issued by Code Inspectors if the landlord fails to perform the repair. The Division also coordinates major repairs and contracts for improvements in City-owned buildings.

The Office of Preservation Services also runs a free [Housing Education Program](#) with courses on managing and maintaining one's property. It is also responsible for [Narcotics Control](#).

Chief of Staff

Chief of Staff and Associate Commissioner for Communications & Federal Affairs: [Alexandra M. Sewell](#)

The Chief of Staff plays a major role in implementing Mayor Bloomberg's New Housing Marketplace Plan and furthering HPD's housing preservation work. The Chief of Staff leads the coordination of our inter-agency relationships.

Communications, Resource Development, Housing Policy Research and Strategic Planning report to the Chief of Staff within the Commissioner's Office.

- **Division of Communications** - The Division of Communications handles all communications between the agency and the media. Communications is responsible for public information and develops and maintains the agency's Web pages, which have received over 17 million visits since their launch in 1998 (www.nyc.gov/hpd), and intranet site. Its call center supports the Mayor's Customer Service Center at 311, and it ensures that 311's knowledge base is comprehensive. It issues publications such as the Guide to HPD's Programs and Services, [Useful Information for Tenants and Owners about Housing Rules and Regulations](#), as well as most internal communications. The Division does speechwriting for senior staff. Additionally, the Division of Communications plans 60 events per year celebrating agency accomplishments such as groundbreakings, ribbon cuttings, milestones, and policy speeches. The Division maintains the agency's photo archive and is home to an award-winning photographer who has exhibited in the Museum of the City of New York and the Municipal Arts Society. Communications is home to the [HPD Alumni Association](#). HPD has won awards for both external and internal communications. Contact the Division of Communications at 212-863-6300.
- **Resource Development** - The Director of Resource Development identifies and obtains new resources for HPD's housing and community development programs. The director is responsible for developing new and improved linkages to the considerable philanthropic and academic communities' interest in housing activities in New York City. The Director also supervises the [HPD Housing and Community Development Fellowship Program](#). Contact the Director of Resource Development at 212-863-8002.
- **The Strategic Planning Group**: The Division of Strategic Planning facilitates the agency-wide strategic planning process with the Commissioner and his senior management team, including the identification of strategic priorities and change initiatives, the creation, management and execution of work plans for targeted change projects, and the monitoring of key performance measures against established targets. The Division consists of three teams: an internal consulting group that assesses existing operations and policies to identify opportunities for enhancement, a research group that designs and executes broader studies of current housing policy issues as well as targeted outcome evaluations of HPD programs, and a reporting and performance measurement group that manages and tracks agency strategic priorities and performance measures. The Division strives to increase accountability, encourage analytic and strategic thinking, and promote the use of data collection systems and performance management processes, to enable HPD to be best equipped to meet the City's housing challenges.
- **Division of Housing Policy Research** - The Division of Housing Policy Research is responsible for providing data and analysis that may be required by the agency related to the City's housing stock and the City's role in the implementation of the State and City Rent Control and Rent Stabilization Laws. This function primarily involves working with the U.S. Census Bureau to produce a special report on

the City's housing stock - the [Housing Vacancy Survey](#) Report. This report, which is produced every three years, is required to determine the City's rental vacancy rate which must be reported to the City Council and the Mayor. In turn this data becomes the determining factor in establishing whether a "housing emergency" exists, which would require the extension of the Rent Control and Rent Stabilization Laws by the City Council.

Office of Development

Deputy Commissioner: [Holly Leicht](#)

The Office of Development leads the implementation of the City's Ten Year Housing Plan to create or preserve 165,000 units by 2013 in close collaboration with other parts of HPD, other city and state agencies, and the New York City Housing Development Corporation. The Office includes the divisions of New Construction, (including Planning, Housing Production, and New Construction Finance), Special Needs Housing, Preservation Finance, and Housing Incentives.

The Office of Development is responsible for building a pipeline for affordable housing development by identifying privately-owned sites and assemblages for housing development, collaborating with other land holding agencies, and financing a variety of new construction and rehabilitation programs. The Office of Development is comprised of the following Divisions:

- **New Construction** - This Division is composed of three areas: Planning, New Construction Finance, and Housing Production.
- **Planning** - The Division of Planning is responsible for identifying sites for affordable housing development and creating and coordinating the pipeline of public sites. Planning is responsible for interagency partnerships and represents the agency during neighborhood rezoning efforts. The Division also includes environmental review and remediation oversight.
- **New Construction Finance** - This Division is responsible for operating programs which provide financing to newly construct multi-family housing, such as the Mixed Income Rental Program, New Construction Participation Loan Program, New York City Housing Trust Fund and the New York City Acquisition Fund. The unit often coordinates project financing with the New York City Housing Development Corporation.
- **Housing Production** - This division is responsible for managing the production of housing on public and partner-agency sites, including the Cornerstone Program. It also manages homeownership programs that create or renovate one- to four-family homes for purchase by owner-occupants, such as the New Foundations program, and operates a downpayment assistance program.
- **Division of Preservation Finance** - This Division operates programs which provide financing to rehabilitate and preserve multi-family housing such as the Article 8A Loan Program, the Preservation Participation Loan Program, and the Third Party Transfer program. The division also includes the Primary Prevention Program which offers grants to owners for lead abatement.
- **Division of Housing Incentives** - This Division is responsible for operating the Agency's local property tax incentive programs and the Inclusionary Housing program. It also allocates the city's portion of federal Low Income Housing Tax Credits and is responsible for related compliance and preservation initiatives.
- **Division of Special Needs Housing** - Special Needs Housing is responsible for the Supportive Housing Loan Program, a key vehicle to providing quality permanent housing with on-site services for homeless adults with special needs. The Division is also responsible for implementation of the NY-NY III agreement, along with the department's involvement in housing for the low-income elderly and other populations with special needs.

Office of Intergovernmental Affairs

Deputy Commissioner: [Joseph Rosenberg](#)

Through analysis, research, and the proposal of new housing legislative changes, the Office of Intergovernmental Affairs provides the resources from which the agency's program initiatives are developed.

The Office of Intergovernmental Affairs is made up of the following divisions:

- **Division of Intergovernmental Affairs** - The Division of Intergovernmental Relations is responsible for formulating and securing necessary legislative changes in both the New York City Council and the New

York State Legislature in order to complete critical components of the agency's mission. It acts as the agency's direct liaison to elected representatives and other governmental officials. The division directs the agency's land use process through the City Council and represents the agency at State and City Council hearings.

- Division of Neighborhood Resources - The Division of Neighborhood Resources is comprised of two units. The Community Services Unit is responsible for the negotiation and resolution of community conflicts, representation of the Commissioner at community meetings and liaison with the Mayor's Community Assistance Unit and other City agencies. The unit serves as a primary communications and administrative link between HPD and all the neighborhoods and communities of the City. The Marketing Unit monitors the marketing and rent-up of City-owned and private property which has been awarded an agency subsidy. The unit monitors the advertising of available units as well as the telephone hotline listing of available units. The unit also supervises the lotteries conducted to select tenants for projects receiving agency subsidy.
- Division of Policy and Program Analysis-The Division of Policy and Program Analysis is the agency's liaison with the U.S. Department of Housing and Urban Development (HUD) and evaluates the agency's programs and policies to insure compliance with Federal statutes and regulations. In addition, the division coordinates a variety of the agency's central data collection and distribution functions and serves as a resource to the Commissioner and to the housing community of New York by analyzing new housing initiatives around the country and researching specific housing concerns.

Office of Community Partnerships

Deputy Commissioner: [Kimberly D. Hardy](#)

The HPD Office of Community Partnerships engages communities in an ongoing dialogue that informs the public, facilitates the delivery of HPD services, promotes housing choice and creates new relationships that leverage public and private resources. The Office consists of three units:

- The Community Outreach Unit (COU) is the agency's liaison to Community Boards and local community groups throughout the City. The Unit designs and implements counseling, educational and promotional activities that foster understanding of agency programs and encourage collaborations between communities and the agency. Please feel free to call (212) 863-8033 if you have any questions.
- The Fair Housing Unit (FHU) develops and implements agency-wide policies and programs to enforce City, State and Federal Fair Housing Laws. The FHU provides educational, mediation and counseling services. It is responsible for investigating complaints of and facilitating the resolution of housing discrimination. Anyone with a [Fair Housing](#) question or complaint should call (212) 863-7911.
- The Economic Development Unit (EDU) offers the [Business Opportunity Program](#) to provide information and counseling to businesses about HPD and other NYC contract opportunities. The EDU also conducts a 12-week training curriculum for construction entrepreneurs known as the [Contractor Training Program](#). For more information, please call (212) 863-7931.

Human Resources Administration

The Human Resources Administration/Department of Social Services (HRA) provides a range of social services, and administers major public benefits programs for residents of New York City. The services and benefits under its aegis include: public assistance; adult protective services; child care for working people on public assistance, and for persons fulfilling their public assistance work or training requirements. It also provides specialized case management and housing support for people with symptomatic HIV illness and/or AIDS; eviction prevention; food stamps, and it administers the Medicaid, and home care and long term care for elderly and disabled Medicaid recipients. Federal, state, and local law and regulations control eligibility and most of the participation requirements.

HRA contains the following major service components: the Family Independence Administration (FIA); Medical Insurance and Community Services Administration (MICSA); the Office of Domestic Violence and Emergency Intervention Services (ODVEIS); the Office of Child Support Enforcement (OCSE); Customized Assistance Services (CAS) and the Office of Citywide Health Insurance Access (OCHIA).

Major administrative divisions include Legal Affairs, Operations and Administration, Audit Services and Organizational Analysis, and Staff Resources.

The Family Independence Administration through its Job Centers provides temporary financial assistance, Food Stamps and Medicaid to income eligible individuals. FIA also coordinates the agency's welfare reform efforts by referring eligible individuals to work activities and by tracking participation in those work activities. To allow for participation by individuals with children, FIA refers individuals to child care programs and pays for child care services for individuals with children under 13, and children 13 to 18 with special needs, who are working or are participating in work activities. Through its Non cash Assistance Food Stamp offices, FIA provides food stamp services to able bodied individuals who receive food stamps but do not receive cash assistance. These services are provided in offices throughout the city MICSA administers the Medical Assistance Program (MAP); operates of the Home Care Services Program (HCSP); provides Adult Protective Services (APS); and facilitates access to essential benefits and social services for persons with AIDS or symptomatic HIV illness through the HIV/AIDS Services Administration (HASA).

MAP makes eligibility determinations for the public health insurance programs (Medicaid and Family Health Plus) that pay for medical services for low income New Yorkers who qualify. It directly administers these benefits for persons who do not receive Public Assistance or Supplemental Security Income. HCSP verifies eligibility and assesses the medical need for home care; determines the appropriate level of care, and assigns eligible home care cases to community based provider agencies.

APS is a State mandated program that provides services to adults eighteen years of age and over, without regard to income, who are mentally and/or physically impaired; and due to these impairments, are unable to manage their own resources, carry out the activities of daily living, or protect themselves from abuse, neglect, exploitation or other hazardous situations without assistance from others; and have no one available willing and able to assist them responsibly.

HASA (formerly DASIS) is the primary mechanism within HRA for expediting access to essential benefits and social services needed by persons living with AIDS or symptomatic HIV, and their families. HASA provides specialized intake and needs assessment; direct linkages to financial assistance, Medicaid, food stamps, Home Care and Homemaking; ongoing intensive case management, including the development of permanency plans for families as well as periodic monitoring and crisis intervention for single clients to maintain or modify their service packages; emergency, transitional and permanent housing services and placements; voluntary vocational counseling/rehabilitation, job training and placement, supporting a client's choice to work with a transitional benefits package; assistance with clients (applications for Supplemental Security Income and Social Security Disability Income); and referrals to community based resources for a variety of additional services.

ODVEIS comprises two components. The Office of Domestic Violence (ODV), which provides emergency shelter and social services to victims of domestic violence, and the Office of Emergency Intervention Services (OEIS). OEIS includes the Crisis and Disaster Services unit that responds to citywide disasters. It is responsible for the coordination and provision of agency services to victims of emergencies such as hurricanes, snowstorms, heat alerts, public health issues and tragedies such as 9/11. Also under OEIS is the Office of Food Programs and three programs that provide energy related services to low income households: the Heatline, the Utility Assistance Program and the federally funded Home Energy Assistance Program (HEAP).

OCSE assures that non custodial parents (those who do not reside with their children) share in the responsibility of financially supporting them. They locate non custodial parents who are missing and assist in establishing paternity if that is an issue. OCSE secures family court orders for child support, collects the support as it becomes due (mainly through Income Executions against the non custodial parents employer), and when not paid regularly, enforces through a variety of automated processes. Custodial parents applying for Cash Assistance are automatically referred to OCSE by FIA and the child support collected is retained to offset Cash Assistance received by the family (except for the first \$50 each month). When the family leaves the Cash Assistance program the child support that is collected is distributed to them and serves as a major benefit in the

transition from Cash Assistance. Custodial parents not in receipt of public assistance may voluntarily apply for OCSE services. In Fiscal Year 2005 OCSE collected \$588 million on behalf of families who utilized their services.

HRA's CAS is an integrated and coordinated service system that enables HRA clients who have untreated or unresolved clinical issues to reach their highest possible level of functioning. CAS oversees clinical programs that focus on helping clients/families maximize their level of functioning.

The Office of Citywide Health Insurance Access has been recently transferred to HRA and is being integrated into the agency.

Department of Health and Mental Hygiene

The Department of Health and Mental Hygiene protects and promotes the health and mental well-being of all New York City residents and promotes the realization of the full potential of those who live with disabling conditions. On July 1, 2002 mental hygiene services were integrated into the former Department of Health, reflecting the revision of Chapter 22 of the New York City Charter.

The Department is governed by a Commissioner who also chairs the Board of Health. The Division of Mental Hygiene is governed by an Executive Deputy Commissioner and, under Article 41 of the New York State Mental Hygiene Law, continues to administer local mental hygiene services related to mental health, developmental disabilities, and chemical dependency. Other programmatic divisions within the Department are administered by Deputy Commissioners and include Disease Control, Environmental Health, Epidemiology, Health Care Access and Improvement and Health Promotion and Disease Prevention. To streamline and strengthen coordination between prevention and care of persons living with HIV/AIDS, the Office of Citywide AIDS Policy Coordination was established in the Department, effective July 1, 2003.

The Department enhances housing support and other services for citizens with special needs by working closely with the Mayor's Office, Housing Preservation and Development, the Department of Homeless Services, the Human Resources Administration and other City agencies, with State agencies and with community-based organizations and several advisory bodies.

The mission of the Division of Mental Hygiene is to oversee and coordinate an integrated community-based mental hygiene service system. It is responsible under the City Charter and the State Mental Hygiene Law for planning, contracting, monitoring and evaluation of all mental hygiene services. Services are provided by contracted non-profit organizations, municipal as well as private hospitals, the City Correction system, the Department of Education, the Human Resources Administration, and the Department of Homeless Services. The Division develops standards of care to ensure that services are comprehensive, high quality, cost effective, and culturally and linguistically responsive across all local hospital, community and criminal justice mental hygiene systems. Supportive housing services required to maintain mental hygiene clients in the community are planned and funded at both the State and City level. The Department of Housing Preservation and Development supervises most of the capital financing and production of new housing units funded by the City. The Department of Homeless Services, via inter-agency transfer of State funds and through a Memorandum of Understanding, administers development of housing for mental hygiene clients. The Community Services Board which is composed of 15 members appointed by the Mayor acts in an advisory capacity to the Division, as does the Federation of Mental Health, Mental Retardation and Alcoholism Services.

For a description of the Bureau of HIV/AIDS Prevention & Control (BHAPC) please refer to Volume I, Part I, Section C2. Supportive Housing Continuum of Care for Special Needs Populations, b. Persons with HIV/AIDS.

Department for the Aging

The New York City Department for the Aging (DFTA), as well as being an arm of municipal government, is also the largest of more than 670 Federally-designated Area Agencies on Aging (AAA) in the nation, and part of a countrywide aging network that includes 50 State Offices on Aging. DFTA has over 30 years of experience in

conducting research and advocacy and providing a wide array of programs and services, both directly and through contracts with over 400 community-based organizations throughout New York City.

The overall mission of the agency is to work for the empowerment, independence, dignity and quality of life of New York City's diverse older adults and for the support of their families through advocacy, education and the coordination and delivery of services. To this end, the Department plans, coordinates and supports services and benefits to help older New Yorkers meet their diverse physical, social, and economic needs. DFTA coordinates and implements programs for the aging, advocates on their behalf, conducts research and policy analysis, and administers Federal, State, and City funds for contract services with non-profit and for-profit providers.

DFTA is under the leadership of a Commissioner appointed by the Mayor. The agency's executive staff also includes the three Deputy Commissioners and four Assistant Commissioners, who direct the following bureaus responsible for administering DFTA's programs and services.

Public Affairs oversees both our Intergovernmental/Legislative Affairs and Community Outreach units. This Bureau also assists seniors calling for assistance with 72 hour eviction notices. In addition, this bureau oversees the Department's efforts to prepare seniors and our community partners in the event of a crisis or other phenomenon that may affect the health of our seniors and/or the ability of our partners to deliver services to our seniors. This bureau also operates a small walk-in center that seniors and other caregivers can enter to have questions answered about available services, benefits and entitlements.

Bureau of Administration: This bureau oversees the Home Energy Assistance Program (HEAP) and the Weatherization, Referral and Packaging Program (WRAP). In addition, it has recently overseen the SCRIE (Senior Citizen Rent Increase Exemption Program) program. The Senior Citizens Rent Increase Exemption program will be transferred to the City's Department of Finance by the Fall of 2009. We believe that this will help enable more eligible seniors to access this rental benefit.

The Bureau of Community Outreach and Emergency Preparedness oversees the following units: Home Energy Assistance Program (HEAP); Weatherization, Referral and Packaging Program (WRAP). Emergency Preparedness and Community Outreach. This Bureau also assists seniors calling for assistance with 72 hour eviction notices.

The Bureau of Senior Centers administers contracts with over 400 local agencies to support senior centers, home-delivered and congregate meals programs, health promotion, transportation, case assistance, home care, legal assistance, minor home repair, and other services for the elderly in neighborhoods across the City. In addition, the bureau also oversees the Health Insurance Information and Counseling Program (HIICAP) and the Health Promotions programs.

This bureau also collaborates with the New York City Housing Authority in the administration of senior centers located in New York City Housing Authority Developments. The goal of the collaboration is to provide much needed services to the vulnerable population of low income seniors residing in NYCHA developments.

The Bureau of Long Term Care and Active Aging administers programs that call upon the skills and experiences of older people in working with others and enhancing community life. Operating within this bureau are Senior Employment Services, Work Experience Program (which trains Public Assistance recipients to work as home care aides for frail elderly), Foster Grandparents Program, Intergenerational Programs, the Grandparent Resource Center, the Alzheimer's and Caregiver resource Center, Long Term Care Services (which include case management, social adult day services, EISEP home care services, caregiver programs), Aging in Place Initiative (which administers the Naturally Occurring Retirement Community Supportive Service Programs); Nutrition Counseling (which offers in-home nutritional counseling to frail, homebound elderly); Elderly Crime Victims Resource Center, and Assigned Counsel Project, a pilot project that assists court-referred seniors facing eviction.

In addition to the above bureaus, the Department also has the Bureau of Planning and Fiscal Operations. Within this bureau are our planning and research offices. These offices are the City's primary source of demographic and service data on elderly New Yorkers. In addition, this bureau houses the Department's Budget and Fiscal Accounting offices.

In addition to funding from the City of New York (which provides over 70% of its budget), DFTA also receives funds through the U.S. Administration on Aging, New York State Office for the Aging, Corporation for National and Community Service, and the U.S. Dept. of Agriculture.

Mayor's Office for People with Disabilities

The New York City Mayor's Office for People with Disabilities (MOPD) was established in 1973. MOPD is responsible for formulating City policies concerning people with disabilities and for coordinating and overseeing City compliance with related laws. MOPD also disseminates information and promotes programs to ensure that the rights and interests of people with disabilities are protected and supported.

MOPD conducts a variety of activities, including:

Access: New York City's Human Rights Law is progressive, with wider coverage than the Americans with Disabilities Act (ADA). The accessibility portions of the City's new Building Code are comparable to and a forerunner of the accessibility standards in the ADA. MOPD examines waiver requests under the Building Code accessibility provisions and provides advice and training on accessibility matters.

Compliance: MOPD provides guidance to New York City agencies concerning the rights of individuals with disabilities and helps educate agencies to understand their responsibilities toward people with disabilities.

ADA Task Force/Inter-Agency Disability Committee: MOPD is the primary policy agency in this City-wide Task Force, which has responsibilities for formulating the City's approaches regarding compliance with the Americans with Disabilities Act (ADA), and for helping City agencies comply with the ADA.

Policy Unit: This unit is responsible for developing and coordinating City policy and programs to ensure the fullest possible participation in employment, services, and City-sponsored activities.

Housing Services: Provides basic fair housing information and referrals to people with disabilities and to housing providers. (See Volume 1, Part I., Action Plan, Program Descriptions for two housing service programs, Housing, Information and Education, and Project Open House.)

Training Sessions: MOPD holds training sessions for personnel from City agencies concerning compliance with the ADA and Section 504 of the Rehabilitation Act, as well as with local human rights laws that prohibit discrimination on the basis of disability.

The Commission on Human Rights

The Commission on Human Rights is the agency that enforces the New York City Human Rights Law. Fifteen Commissioners, representative of New York City's diverse communities are appointed by the mayor and serve without compensation. The CCHR Chair, who also holds the title of Commissioner, manages the day-to-day operations of the agency. In addition, the agency is managed by the Deputy Commissioner/General Counsel, the Deputy Commissioner for Public Affairs, the Assistant Commissioner for Human Relations, the Executive Director of Law Enforcement, the Executive Director for Community Relations, and the Director of Communications.

The Commission is mandated to "foster mutual understanding and respect among all racial, religious, and ethnic groups" and to "encourage equality of treatment for, and prevent discrimination against any group or its members." The City's Human Rights Law prohibits discrimination in employment, housing, and public accommodations on the basis of race, color, creed, age, national origin, alienage or citizenship status, gender (including gender identity and sexual harassment), sexual orientation, disability, marital status, and partnership status. In addition, the Law affords protection against discrimination in employment based on *arrest or*

conviction record and status as a victim of domestic violence, stalking, and sex offenses. In housing, the Law affords additional protections based lawful occupation, family status (whether children are, may be, or would be residing with a person), and any lawful source of income. In addition, the City's law prohibits retaliation and bias-related harassment.

The Commission on Human Rights has two programmatic bureaus.

Law Enforcement: This bureau investigates complaints from the public to determine whether probable cause exists to believe discrimination took place. The Bureau advances prosecution of cases when probable cause is found. If cases are not settled after the probable cause determination, they proceed to trial by the Law Enforcement Bureau. If cases are not settled during trial preparation by conference judges at the Office of Administrative Trials and Hearings (OATH), they are heard by administrative law judges from OATH. After trial, the Administrative Trial Judge issues a Report and Recommendation and then a panel of three Commissioners reviews the report and recommendation and issues the Commission's Final Decision and Order. The Final Decision and Order either affirms, rejects, or modifies the recommendation from OATH. The Final Decision and Order is appealable to the New York State Supreme Court. The Law Enforcement Bureau also initiates complaints on its own and engages in testing to detect systemic discrimination. The Law Enforcement Bureau offers mediation in certain cases where both parties agree. If mediation is unsuccessful the cases where probable cause has been found proceed to trial.

Community Relations: This bureau consists of the Neighborhood Human Rights Program (NHRP). Located in all five boroughs, the NHRP's Community Service Centers conduct community and school-based education on conflict resolution, sexual harassment, cultural diversity, the Human Rights Law, peer mediation, and intergroup relations. In addition, the Centers address situations of community unrest by assisting groups with leadership development, mediation, and conflict resolution. Working with immigration advocacy groups, the Neighborhood Human Rights Program alerts immigrants to the protections provided them under the Human Rights Law and relevant federal laws. With the assistance of grants from the US Department of Justice Office of Special Counsel for Immigrant Affairs, the Commission has developed a curriculum for English-for-Speakers-of-Other-Languages explaining immigrants' rights. Another program, Project Equal Access, educates senior citizens, health professionals, people with disabilities, and others to city, state, and federal laws regarding accessibility in housing, employment and public accommodations. The program staff also offers advocacy, investigation and resolution of cases where individuals request assistance in getting an owner to make a housing or public accommodation facility accessible. The Community Service Centers offer education on fair housing laws and prevention of discriminatory and predatory lending practices. Staff provides mortgage counseling for individuals facing foreclosure to help deter discrimination in lending and to detect predatory lending practices. With the Law Enforcement Bureau, the Community Service Centers conduct systemic investigations of discrimination in housing and public accommodations. The Research Division provides information to direct and inform these program activities.

In addition to school- and community-based forums, the Commission sponsors a Civil Rights Public Service Lecture Series in which prominent authorities discuss current issues pertaining to discrimination and intergroup relations before an audience drawn from the entire City.

Department of City Planning

The Department of City Planning (DCP) is governed by a Director, who also serves as the Chairperson for the City Planning Commission. The Chair is responsible for the overall planning, direction and coordination of policy, while advising and assisting the Mayor on physical and public improvements related to the City's development. The Planning Commission is composed of 13 members (including the chair, seven are appointed by the Mayor; one by each of the five Borough Presidents, and one by the Public Advocate). The Commission's responsibilities include reviewing and approving amendments to the Zoning Resolution, and the City Map, as well as requests for special permits. The Commission also reviews all urban renewal and housing plans and projects, sales and leases of city-owned property, franchises, revocable consents, landfills and site selection. These actions are subject to review and approval by the City Council in accordance with Charter requirements.

The Department provides technical support to the Commission (and the Mayor) on matters related to planning and policy. City Planning was designated by the Mayor to be the lead agency in the Consolidated Plan application process. The Department coordinates the production of the Consolidated Plan, which includes information from more than 12 agencies concerning the use of HUD funding and priorities and objectives to meet the needs of low and moderate income persons in relationship to housing, homelessness, supportive housing services, and community development.

Under the Director of City Planning is the Executive Director, who is responsible for providing the framework for all planning activities, implementing of the agency's work program, and managing day-to-day processes of the Department. Working with the Executive Director are two Deputy Executive Directors: Strategic Planning; and Land Use and Environmental Review; and a Director Operations. The Executive Director also oversees the five Borough Planning Offices. The Strategic Planning Deputy Executive Director oversees the Department's functional planning divisions (Zoning and Urban Design; Planning Coordination; Housing, Economic and Infrastructure Planning; and Transportation) and coordinates land use planning policy based on the identification of key strategic planning issues. The Land Use and Environmental Review Deputy Executive Director is responsible for the Land Use, Environmental Assessment and Review, Technical Review and Information Technology divisions. The Director of Studies Implementation is responsible for the implementation and management of an on-call environmental consultant contract to analyze large scale land use actions pursuant to the City Environmental Quality Review (CEQR) process. The Director of Operations is responsible for fiscal and administrative services relative to the day to day operations of the Department.

The Housing, Economic and Infrastructure Planning Division (HEIP) develops citywide plans and policies for housing, and conducts economic analyses and publishes information on the City's economy. In addition, the Division also analyzes infrastructure needs in the context of economic, demographic and social change. HEIP is responsible for the production and publication of the City of New York's Consolidated Plan and other reports mandated by the City Charter such as the Annual Report of Social Indicators.

To address the physical needs of communities, the Department of City Planning provides technical assistance on how to implement land use and zoning plans.

Department of Youth and Community Development

The Department of Youth and Community Development is the lead New York City agency for facilitating and administering youth and community development programs. DYCD supports youth and community development in New York City by funding a broad network of experienced community-based organizations throughout the City. Programs include Beacon Community Centers; corporate internships for youth; literacy programs for adults, adolescents, and families; Out-of-School Time Initiative; runaway and homeless youth outreach; Summer Youth Employment Program; youth workforce development.

Community Development Division

Community Services Block Grant Program

The Department of Youth and Community Development is the designated Community Action Agency for New York City and as such is the recipient of federal Community Services Block Grant (CSBG) funds. New York City's CSBG program provides a broad range of services that combat poverty, offer emergency services to low-income people, and empower individuals to achieve self-sufficiency. These services revitalize low-income communities designated as Neighborhood Development Areas (NDAs). Funded programs include educational support, employment, and leadership activities for youth; literacy instruction; immigrant support; housing assistance; senior services; and support services for families.

Literacy Programs

DYCD's literacy programs consist of the Adult Literacy, Adolescent Literacy, and Family Literacy Programs. DYCD funds community-based organizations to provide literacy and language instruction to individuals 16 and

older. Services for adults include Adult Basic Education (ABE), General Education Development (GED), English for Speakers of Other Languages (ESOL), and Basic Education in the Native Language (BENL) classes. Adolescent Literacy services are targeted to middle-school youth, while Family Literacy programs are designed to assist parents or guardians and their school-aged children. Many of the funded agencies also offer counseling, computer training, career education, and employment assistance.

Immigrant Services

DYCD contracts with community-based organizations throughout New York City to provide services and support to immigrants and their communities. These programs serve newcomers who migrate and settle in New York City by assisting them with access to government benefits; legal assistance, including assistance with matters related to citizenship and immigration status; education and employment; health care; and social services.

Fatherhood Program

DYCD's Fatherhood Initiative helps fathers reconnect with their children and develop essential parenting skills. DYCD offers fatherhood programming in three distinct categories: Young Fathers (16-24 years old), Older Fathers (over the age of 24), and Ex-offenders. Programs offer employment assistance as well as support services including individual and family counseling, mediation and conflict resolution training, assistance arranging child visitation, peer counseling and father-to-father mentoring, GED or ESOL or referrals, and college preparation.

Youth Services Division

The Youth Services Division supports a variety of youth activities, including academic support, GED and ESOL classes, structured recreation and athletics, cultural enrichment, counseling, adolescent health care, substance abuse prevention, and runaway and homeless programs through a combination of City, State, and Federal funding.

Out-of-School Time Initiative

The DYCD Out-of-School Time (OST) Initiative started in July 2005. It is the largest municipally funded after-school system in the nation, offering a balanced mix of academic support, sports and recreational activities, the arts, and cultural experiences. OST programs, run by community-based organizations, provide free, safe programs in every neighborhood in New York City. Programs are open after school, during holidays, and in the summer and provide separate programs for elementary, middle school, and high school students. In October 2007, the City dedicated additional funding to support an expansion of OST and in 2009 two additional programs were added. The High School Transition Program will assist students entering grade 9 with the transition from middle school. Funded through the Workforce Investment Act, the Transition to Adulthood Program targets low-income students in grades 11 and 12 to help them acquire the skills and behaviors they need for success in the adult world. Activities will include academic support, work-readiness skills, job experience, and life skills and leadership development. One year of follow-up services will be provided after program exit.

Beacon Community Centers

City tax-levy and CDBG funds provide funding to 80 Beacon Community Centers located in public schools in low- and moderate-income areas of the City. Beacon centers operate in the afternoons and evenings, on weekends, during school holidays and vacation periods, and during the summer. They provide a range of activities for young people, including literacy activities, tutoring, college prep, sports, and recreation. In 2007 DYCD launched the Beacon Middle School Initiative in all 80 Beacons to offer activities to enhance the intellectual, physical, emotional, and social growth of young adolescents. In 2009 The Beacon Satellite Program extended Beacon services to selected New York City Housing Authority (NYCHA) Community Centers. Beacon Centers also provide services for families and adults, including GED and ESOL classes, parenting skills workshops, and tenant education and advocacy.

Youth Employment Programs

Youth employment services include year-round In-School Youth (ISY) and Out-of-School Youth (OSY) Programs, the Summer Youth Employment Program (SYEP), and the Neighborhood Development Area (NDA) High-School-Aged Youth Program. Each of these programs incorporates youth development principles which prepare young people to meet the challenges of adolescence and adulthood through a coordinated, progressive series of activities and experiences that help them to develop socially, morally, emotionally, physically, and cognitively. The ISY Program provides occupational skills, employment services, and educational opportunities to low-income high school juniors and seniors. The OSY Program provides educational and employment services to youth aged 16-21 who are not enrolled in school and need assistance with basic skills and GED attainment, employment skills, and placement in jobs, advanced training, or secondary education. During July and August, SYEP offers up to seven weeks of summer employment to young people between the ages of 14 and 21. The NDA High-School-Aged Youth Program serves both in-school and out-of-school youth who are not working through age 21. Programs assist participants to attain high school or GED diplomas, develop personal and workplace skills, and gain exposure to career and higher education options.

NYC Ladders for Leaders

NYC Ladders for Leaders is a joint initiative of DYCD and the Commission on Women's Issues. It merges two successful youth internship pilot projects: CAPITAL (Corporate Allies Program of Internships, Training, and Leadership) and the NYC GirlsREACH and BoysREACH programs. Participants receive pre-employment training before starting a seven-week summer internship at partnering companies, which also provide the private donations that underwrite the program. Qualified participants are eligible for partial competitive college scholarships, free college preparatory workshops, and SAT course. The internship experience is complemented by gender-specific workshops focusing on work readiness, college orientation, health, leadership development, and other issues.

2. Non-profits

The City could not successfully implement or fulfill its housing goals and programs without the assistance and support of the many local and city-wide non-profit organizations engaged in housing development. Non-profit organizations play a critical role in the City's housing development initiatives in several ways: - they perform advocacy work on behalf of community residents, which serves to prevent tenant displacement and owner abandonment; - they are involved in the community and knowledgeable about the neighborhood, assisting City agencies in designing and implementing programs that respond to a community's needs; - they often provide the development expertise and technical assistance needed to bring projects to fruition, and also conduct the monitoring and/or certifications necessary at a project's completion; and - they provide the social/community service components required with many housing programs. Non-profit organizations have a long, positive history of cooperation with City housing agencies and it is the City's intention to continue this highly cooperative relationship. In recognition of the expertise and commitment shown by these organizations, the City seeks to expand opportunities for non-profit organizations to engage in housing development and management activities. Currently, the City and not-for-profit organizations are working together in several HPD programs. The Neighborhood Redevelopment Program, Neighborhood Entrepreneurs Program, Supportive Housing Loan Program, Mutual Housing Program, Special Initiatives Program, the Neighborhood Ownership Works Program and the Mutual Housing Association of New York are just some of the programs in which not-for-profit organizations are actively involved as project developers, owners and managers. The City also uses non-profit groups to provide consulting, technical assistance and monitoring services under several HPD programs: Neighborhood Preservation Consultants Program, Tenant Interim Lease Program, and Neighborhood Entrepreneurs Program. Nonprofits also operate the bulk of the emergency housing system for families, as well as assisting the City in providing services to relocated families. Lastly, HPD works with non-profit organizations which serves as conduits to the private sector (see Private Industry section below).

3. Private Industry

The City of New York works with private industry in a number of ways in order to produce and improve low-income housing. First, private firms serve as general contractors or subcontractors on City assisted rehabilitation and new construction sites. Second, private institutions frequently provide rehabilitation/construction financing for assisted housing projects and/or "end loans" to prospective buyers of affordable homes. Third, many of the City assisted substantial rehabilitation or new construction projects are undertaken by private developers who own the property, secure the financing, manage the construction, and market the units (either as rental property or as homeownership units, depending on the individual program). Fourth, private owners may use City assistance in order to renovate their buildings. Fifth, private firms often manage the properties that are developed with City assistance. In addition to the more conventional public/private partnerships, the City has also developed a number of innovative ways to redirect private resources toward low-income housing ventures. The City currently targets special incentives including real estate tax abatements and exemptions as well as increased zoning rights to private developers who agree to construct or improve low-income rental housing. In addition, HPD works with several nonprofit organizations that serve as a conduit to the private sector: Nehemiah; New York City Partnership; Local Initiatives Support Corporation; Low-Income Investment Fund; National Cooperative Bank; Community Capital Bank; Neighborhood Housing Services; and the Enterprise Foundation.

G. Governmental Coordination and Consultation

This section describes the coordination of housing, homeless assistance, supportive housing services and community development within the City of New York, among public and assisted housing providers, private and governmental health, mental health, and service agencies on the three levels of government (local, state, federal).

For the required description of the consultation and coordination among municipalities receiving HOPWA formula grant funds within the New York, New York Eligible Metropolitan Statistical Area (EMSA) please refer to Part I, Section C2., Supportive Housing Continuum of Care for Special Needs Populations, b. Persons with HIV/AIDS.

The programs, funding and other actions described in the Consolidated Plan are administered by twelve City agencies which compose the Consolidated Plan committee chaired by the Department of City Planning. Each agency is responsible for a particular aspect of the creation and maintenance of affordable housing, the implementation of supportive housing programs and the coordination of community development programs.

The Committee members work closely with the Mayor's Office of Intergovernmental Relations and the Washington Office. Together the agencies and the Intergovernmental Office work to inform and negotiate New York City issues relating to the City's housing policy and program activities with the Governor's office and the State legislature as well as the U.S. Congress and HUD.

Below and in the sections titled, Citizen Participation Plan and Institutional Structure are descriptions of the City's community interactive process with public and private agencies, and health and social service agencies. The City's coordinated lead-based paint abatement programs have been previously discussed in the section titled: "Elimination and Treatment of Lead-Based Paint Hazards."

Activities in New York City Housing Authority housing projects and programs which encourage residents to become more involved in management and to participate in homeownership are described elsewhere in this document in the section entitled; "New York City Housing Authority".

The following describes the interaction the Committee Agencies have with the not-for-profit and other governmental entities in carrying out services. Additional information describing coordination has been included in the Institutional Structure section and is not repeated here, please refer to that chapter for more information.

Department of Housing Preservation and Development

HPD's mission is to promote quality affordable housing by producing, preserving and upgrading the City's housing stock. To achieve this goal, HPD finances and administers a variety of housing programs utilizing Federal, State and City funds, and is a catalyst for private investment in the economic development of our communities with the greatest need.

The City has a long history of working with private non-profit and for-profit developers along with local financial institutions to create decent, affordable housing for New York City residents. HPD maximizes neighborhood ownership and management of City-assisted residential buildings by soliciting local participation, particularly from the City's pool of Community Housing Development Organizations (CHDOs), in its disposition and development of affordable housing through loans and other financial assistance; and enforcing compliance with housing quality standards.

HPD also performs a neighborhood coordination function, responsible for the negotiation and resolution of community conflicts, participation in community meetings and interacting with the Mayor's Office's Community Assistance Unit and other City Agencies. Planning and Intergovernmental Affairs staff serve as a primary communication and administrative link between HPD and all the neighborhoods and communities in the City;

make presentations to local officials on new initiatives; respond to requests for information; and expedite complaints.

The Department of Homeless Services (DHS) works in close partnership with HPD to develop permanent housing for homeless people. HPD also accepts DHS referrals of individuals and families for placement into existing HPD buildings.

As a HUD-designated Public Housing Authority (PHA), HPD works with the New York City Housing Authority (NYCHA), also a HUD-designated PHA, to address common issues and pursue mutual goals.

To address the issue of lead-paint hazard control, HPD works closely with the Department of Health to conduct inspections/emergency repairs, and monitor the health of children who may have come in contact with lead-based paint.

HPD works with the New York City Department of Finance in the development and administration of various tax incentive programs designed to promote new construction and rehabilitation of residential property.

HPD and the New York City Department of Buildings work closely to coordinate demolition and site clearance issues affecting HPD development projects and to promote development of new affordable housing.

HPD and the New York City Fire Department coordinate their operations to provide emergency relocation (either temporary or permanent) when homes are destroyed or require extensive repair.

In order to assure the quality of City-owned residential buildings is maintained, HPD employs its Narcotics Control Unit to investigate and take action against drug users and drug sellers who live in or loiter near HPD properties. This kind of operation requires intensive coordination with the New York Police Department and with the District Attorney's Office.

HPD coordinates with the New York City Office of Management and Budget to identify the City's housing needs on a Community Board level. There are 59 Community Boards in the City of New York and HPD works with each of them to develop housing plans that meet the needs of each community.

Department of Homeless Services

The Department of Homeless Services (DHS) works closely with many City, State and Federal agencies. The City agencies that DHS collaborates with include: The Human Resources Administration (HRA), The Department of Housing Preservation and Development (HPD), The New York City Housing Authority (NYCHA), The Department of Health and Mental Hygiene (DOHMH), The Administration for Children's Services (ACS), The Department of Education (DOE), The Department of Correction (DOC), The New York City Police Department (NYPD), and The Department of Youth and Community Development (DYCD), NYS Office of Temporary and Disability Assistance (OTDA), Office of Mental Health (OMH), NYS Office of Alcoholism and Substance Abuse Services (OASAS).

DHS also works closely with the non-profit provider community and other governmental agencies through the New York City Coalition on the Continuum of Care (NYC CCoC). There are almost 100 non-profit grantees that coordinate the renewals of their HUD Continuum of Care grants through DHS. In addition, DHS sits as co-chair of the NYC CCoC Steering Committee and is one of the eight government voting members on this committee. Through this partnership and coordination with these non-profit agencies, DHS has been able to provide support to the individual programs in their HUD NOFA application and grant management processes. The goal of these efforts is to provide the widest possible range of services to homeless people, secure maximum available state and federal funds and minimize waste and duplication among service providers.

DHS works with NYCHA and HPD to provide access to permanent housing for homeless individuals and families. DHS provides capital financing for the HPD Supportive Housing Loan Program (SHLP) which

develops supportive housing for single adults. DHS also works closely with HPD in placing shelter clients into these newly developed units. The Department is working with HPD to place homeless families into units in occupied HPD managed buildings. Sixty percent of the referrals for units developed under the SHLP must come from the DHS system.

DHS works closely with NYCHA to provide Section 8 tenant based vouchers to families in the community. Families in the shelter system were impacted by the December 19, 2004 decision on Section 8 vouchers which ceased to be available to DHS shelter residents as a condition of shelter, although shelter residents can continue to apply for Section 8 on their own.

In response to the American Recovery and Reinvestment Act (ARRA) of 2009, and specifically the Homelessness Prevention and Rapid Re-housing Program (HPRP), the City of New York has followed a comprehensive planning process to ensure the highest degree of interagency collaboration and most effective and efficient use of the full range of stimulus funds directed to the City. Through this planning process, the Office of the Mayor has convened interagency planning meetings, and facilitated opportunities for joint planning of key initiatives. This collaborative approach helped facilitate creative thinking and led to the development of programs that will benefit populations served by other City agencies. For example, in the area of anti-eviction legal services, DHS will transfer HPRP funding to the Department of Health and Mental Hygiene and the Department for the Aging, agencies that administer these programs for individuals living with HIV/AIDS, older adults, and those with mental health needs.

Beginning April 25, 2007, DHS collaborated with OTDA and HRA to implement a rental subsidy, Advantage New York. Advantage, administered in conjunction with HRA, is a portfolio of rental assistance designed to meet varying client needs.

Work Advantage is a one year rental subsidy for working families and individuals with earnings below %150 of the Federal Poverty level. While receiving the rental assistance, participants will be working and encouraged to save their earnings. Clients are responsible for paying \$50 in rent directly to the landlord; the balance is covered by the subsidy. A second year of rental assistance is available for those who meet continuation criteria. In FY09 3,417 Work Advantage leases were signed.

Children Advantage is available to families with involvement with the child welfare system and Fixed Income Advantage is available to families and individuals in receipt of a federal disability benefit. Clients in these programs receive one year of rental assistance and are eligible to apply for a priority Section 8 voucher through NYCHA. In FY09 3142 Children and Fixed Income Advantage leases were signed.

The Short-term Advantage program assists homeless families and individuals with income between 150 and 200% of the Federal Poverty Level. The focus is to enable the clients to quickly leave the shelter system and establish independence. Participants in the Short-term Assistance Advantage program are eligible for a grant of four months advance rent, one-month security, broker's fee, furniture allowance, and moving fees, if applicable.

In 2008 DHS also partnered with the New York State Office of Temporary and Disability Assistance (OTDA) in serving the City's homeless population. In 2007, OTDA was awarded technical assistance from the federal Substance Abuse and Mental Health Services Administration (SAMHSA) to implement the SSI/SSDI Outreach, Access, and Recovery ("SOAR") initiative in the State. New York City was the pilot community for the New York State SOAR initiative. As a condition of initial and ongoing eligibility for assistance in New York, individuals must comply with the requirement to apply for Supplemental Security Income (SSI) or Social Security Disability Insurance (SSDI) benefits where appropriate. The primary objective of SOAR is to ensure that these requirements are met by helping eligible homeless individuals, who may lack the skills needed to complete and follow-through with the SSI or SSDI application in the first instance, gain access to SSI/SSDI upon first application. Programs targeted for pilot year of initiative were Mental Health programs in shelters, Street to Home programs, Drop-in Centers, and Safe Havens. The collaboration among DHS, OTDA Division of

Disability Determinations (DDD), and Social Security Administration (SSA) has produced 9 trainings for nearly 200 staff with direct client contact. DHS is collaborating with OTDA on an evaluation of the initiative. Simultaneously, DHS has been working in an advisory role with other New York State communities that are implementing SOAR.

In FY09, in an effort to reduce mortality and morbidity in a substance-abusing population within the shelter system, DHS, in collaboration with DOHMH, successfully piloted Harm Reduction protocols (OD Response and Syringe Access, Provision, and Disposal) in 5 single adult shelters, and are currently expanding to 15 additional adult services sites, including the new Drop-In Centers, and an adult family facility. In addition, during the H1N1 outbreak (known as the swine flu outbreak) in 2009, DHS worked closely with staff from DOHMH and the Bureau of Communicable Disease, on a daily basis, to track and monitor influenza-like illness (ILI) in the shelter system and among street homeless individuals, and produced a DHS Pandemic Flu Plan.

DHS also collaborates with the Administration for Children's Services (ACS) by conducting computer data matches of clients who utilize both services. In addition, DHS and ACS work together on a Task Force to increase interagency coordination and communication to fully address the needs of homeless families with child welfare involvement.

DHS is a member of the Inter-agency Coordinating Council on Youth hosted by the Department of Youth and Community Development. The goal of the Council is to ensure that there is a collaboration and coordination of service delivery to the youth population in NYC.

Since January 2004, DHS has been matching information with the Department of Correction's (DOC) monthly discharges to the DHS single adult data base system in order to monitor who enters the homeless shelter system. The discharge planning workgroups have been using matched data to look at frequent users, short-term stayers and the sentences served by these clients.

As part of its mission, DHS works to prevent homelessness. Currently, DHS provides aftercare services, including legal representation, to eligible tenants facing housing court proceedings. In 2008, in an effort to help prevent homelessness, DHS initiated a collaboration with the Office of Court Administration (OCA), the administrative body for the New York City Housing Courts. OCA will assist DHS to track and deliver services to HSP tenants facing housing court proceedings. Both agencies also agreed on developing programs/intervention strategies that will minimize this risk of returning to shelter at earlier stages.

DHS has also worked with the New York City Police Department (NYPD) and established a protocol for identifying shelter clients who have outstanding arrest warrants where shelter staff can work together with clients to assist and support them in addressing and when possible vacating minor offense warrants in order to eliminate any impediments to permanent housing.

DHS partners with DOHMH to provide Outreach and Housing Placement Services in the City. A key component of the outreach programs is addressing encampment sites. City Agencies such as the Parks Department, Sanitation, Buildings, Transportation, and the NYPD's Homeless Outreach Unit (HOU) partner with DHS on encampments. The goal of this work is to place clients into transitional housing and to clean and secure the areas where they were formerly staying. In addition to the agencies listed above DHS also collaborates with the MTA closely on their MTA Connections Outreach Program.

DHS has worked with the Department of Education (DOE) to increase interagency collaboration to address the educational needs of homeless children. DHS also seeks to place families in shelter locations that best accommodate the school needs of their children. DOE provides staff on site at some shelters to operate after school homework and study groups.

Department of Health and Mental Hygiene

The Department of Health and Mental Hygiene benefits from the input of the New York City Board of Health of which the Commissioner is Chair, as well as the Board of Directors of the Health and Hospitals Corporation, the Medical and Health Research Association, the Greater New York Hospital Association, and the SSEF Foundation. Advisory Boards include the Community Services Board, the Federation of Mental Health, Mental Retardation and Alcoholism Services, the Local Early Intervention Coordinating Council, the HIV Planning Group, the Ryan White Planning Council and others.

For a discussion on the Department's Office of Citywide AIDS Policy Coordination and consultation of HOPWA-related activities, please refer to Part I, Section E.2., Supportive Housing Continuum of Care for Special Needs Populations, b. Persons with HIV/AIDS.

To meet its responsibility under the City Charter and the State Mental Hygiene Law for planning, contracting, monitoring and evaluating local mental hygiene services, the Department administers over 1,200 mental hygiene programs through a network of not-for-profit community-based organizations and City agencies. The Division of Mental Hygiene plans the development of its services by working closely with the State Office of Mental Health, the City's Community Boards, its fifteen borough planning councils, as well as consumers and advocates via public hearings and focus groups. In planning services for mentally ill homeless individuals, the Division also collaborates with the Mayor's Office, the Departments of Homeless Services, Housing Preservation and Development, the Human Resources Administration, the Department for the Aging, the Department of Correction and the Health and Hospitals Corporation, as well as the New York City Housing Authority. The Division also conducts conferences, annual ceremonies and other events to solicit consumer, advocate and public input.

Human Resources Administration

The Administrator/Commissioner of the Human Resources Administration is, ex officio, a member of the Boards of the Health and Hospitals Corporation, the Health Systems Agency, and each of the eight economic development zones. The agency participates in the consultative process required to develop an area-wide strategy for the Housing Opportunities for People with AIDS Program, and also works collaboratively with the department of Homeless Services.

The AIDS programs funded by HOPWA include Facility Development and Facility Operations, Case Management, Housing Placement and Housing Services. The services HRA provides through HASA are closely coordinated with services provided by other agencies. HRA works closely with DOHMH's Bureau of HIV/AIDS Services which is responsible for planning and coordinating public policy and programs regarding AIDS in New York City. HRA's Office of Domestic Violence also works closely with other agencies as well as the Mayor's Commission to Combat Family Violence.

HRA and the Department of Homeless Services (DHS) have formed an impressive collaboration through the implementation of the NoVA (No Violence Again) Program. HRA's NoVA staff are located at the DHS shelter intake location(s). DHS staff refer clients who are presenting with issues related to domestic violence to HRA's NoVA staff. The clients are assessed and if eligible, they are referred to domestic violence shelters or to DHS shelters with NoVA caseworkers who provide domestic violence support services. This collaboration helps to ensure the clients' safety and helps connect them to domestic violence services.

HRA is working cooperatively with NYCHA to expedite permanent housing applications for domestic violence victims.

Department for the Aging

The overall mission of the agency is to work for the empowerment, independence, dignity and quality of life of New York City's diverse older adults and for the support of their families through advocacy, education and the coordination and delivery of services. As the largest federal Area Agency on Aging in the country, DFTA produces a Four Year Plan, updated through an Annual Plan Summary, which outlines needs and plans in all

areas of services to the elderly, including Community Development and housing. The Plan is widely distributed, (approximately 2,000 copies are distributed to senior service providers, elected officials, community boards and organizations) with an appeal for response from the community. Public hearings are held once a year, generally in early Fall, in each of the five boroughs to receive comments and testimony on the Plan.

DFTA also meets with community boards, and participates in regular meetings with a Senior Advisory Council and Interagency Councils on Aging to further identify and address needs. These councils are comprised of a variety of community-based organizations and representatives.

In addition, the Department's Intergovernmental Unit regularly seeks input, feedback, and ideas from local communities. There is an intergovernmental representative for each borough who meets regularly with local organizations and programs, and sits on relevant community-based committees.

DFTA also collaborates with other government agencies, service providers, the private sector, and elderly consumers to plan and advocate for housing resources that will meet the changing financial and physical needs and environmental preferences of the City's diverse and growing older population.

DFTA works closely with the New York City Housing Authority to operate 90 Senior Centers throughout the five boroughs and also funds ten feeding programs at nine NYCHA operated Senior Centers and one Senior Club staffed by a NYCHA Resident Association. DFTA also funds eight NORC (Naturally Occurring Retirement Communities) sites in NYCHA developments. In total, there are over 100 NYCHA sites funded by DFTA providing services to the elderly.

DFTA sponsors 90 senior centers in NYCHA developments. DFTA and NYCHA also collaborate on outreach campaigns to notify seniors when there are public housing vacancies for senior-only units in their area.

The Assigned Counsel Project, a pilot project that assists seniors who are in court and have received eviction notices, receives referrals from the Senior/Disable Help Desk at Brooklyn Housing Court, Queens Housing Court, and NY Civil Court in Manhattan. Seniors are provided free legal assistance and social services to help them avoid eviction.

The Aging in Place Initiative, formerly known as the Senior Housing Initiatives Unit, works with other governmental and non-profit agencies, such as NYCHA and the United Hospital Fund, respectively, to augment services to enable seniors to continue living safely at home. With the NY State Office on Aging and HUD, the Aging in Place Initiative sponsors meetings and trainings for coordinators and case managers working in elderly housing settings or in housing locations where there is a high concentration of elderly residents. This collaborative group, called the Metro New York Service Coordinators Association, offers professional presentations, training and networking opportunities to over fifty professionals working in this specialized setting.

Mayor's Office for People with Disabilities

The Mayor's Office for People with Disabilities (MOPD) was established in 1973, and is responsible for formulating City policies concerning people with disabilities, and for coordinating and overseeing City compliance with related laws. MOPD also disseminates information and promotes programs to ensure that the rights and interests of people with disabilities are protected and supported. The Office works with various levels of government, non-profit service providers, advocacy groups and individuals in the formulation of City policies, and in some cases, assists in implementing them, e.g., MOPD's involvement with HPD in developing a separate lottery for apartments set aside for people with disabilities as required by Section 504 of the Federal Rehabilitation Act.

As noted in the section covering Institutional Structure, MOPD is a member of the City-wide ADA Task Force/Inter-Agency Disability Committee (IADC), which has the responsibility for formulating the City's approach regarding compliance with the Americans with Disabilities Act (ADA) and for helping City agencies

to comply with the ADA. The IADC consists of representatives from each City agency. It addresses, among other things, the City's programs, benefits and services, including construction of housing such as the Department of Homeless Services' shelters and the Human Services Administration's domestic violence shelters. The IADC is also concerned with the provision of services for people with disabilities in these programs and housing related programs provided by HPD.

Department of Youth and Community Development

The Department of Youth and Community Development provides services to runaway and homeless youth through a network of not-for-profit community based organizations. These organizations are chosen to receive funding through a competitive Request for Proposals (RFP) process. The New York City Council, in FY07 and FY08 have enhanced the RHY contractor awards by adding additional funding to this program area. This portfolio of contracts is funded by a combination of City tax levy funds and State funds provided through the NYS Office of Children and Family Services (OCFS) and includes Emergency Shelter Grants through the United States Department of Housing and Urban Development.

The Department of Youth and Community Development is the designated Community Action Agency for New York City and as such is the recipient of federal Community Services Block Grant (CSBG) funds. New York City's CSBG program provides a broad range of services that combat poverty, offer emergency services to low-income people, and empower individuals to achieve self-sufficiency. These services revitalize low-income communities, designated as Neighborhood Development Areas (NDAs). Funded programs include economic development, youth and adult employment, literacy instruction, domestic violence intervention, immigrant support, fatherhood, housing assistance, senior services, health care, academic support and youth leadership activities.

Administration for Children's Services

The Administration for Children's Services works closely with partners in all levels of government to make opportunities and support available to parents, foster parents and young people in obtaining housing and receiving assistance to help families remain safely together, reunify families after children have come into foster care, and support youth transitioning out of the foster care system.

On a City level, ACS works with the Department of Homeless Services, the Department of Youth and Community Development, the Department of Education, the Department of Health and Mental Hygiene, the New York City Housing Authority, the Housing Preservation Department, and the Human Resource Administration to track issues and exchange information in an effort to improve outcomes for young people living in foster care and aging out of the system.

In August 2002, ACS worked with NYCHA to establish the Family Unification Priority (FUP) Code Program to give a priority admission code for NYCHA's Section 8 housing vouchers to qualified families whose only impediment to reunification was housing. Through this program, ACS was able to help obtain a voucher for qualified families served by ACS, which would help keep families together when appropriate and safe, and reduce the amount of time some children may have spent in foster care. Also in cooperation with NYCHA, ACS developed a priority admission code program to help secure Section 8 vouchers for young adults leaving foster care who have a goal of Independent Living. ACS, in cooperation with the New York City Housing Authority, has also established priority access admission code to Public Housing units for our families. This program offers our families a reliable option to obtain stable, affordable housing so that they can be reunified with their children in care or in the case of young adults leaving foster care, an opportunity to achieve goal of independent living. ACS has worked with NYCHA to share information so that ACS staff can track the progress of applications for housing.

ACS and DHS exchange information regularly to identify families who come in contact with both systems and to work together to determine the best services to be put in place to support families entering and leaving shelter. ACS and DHS collaborated this year to create an innovative program to replace the Housing Stability Plus. Children's Advantage is a rental assistance program to help families in shelter who have open ACS cases

and have been in the shelter for at least 90 days. Clients locate an apartment within the rent parameters. Landlords are ensured payment of up to one year with no interruption. Once the lease is signed, clients are then eligible for Section 8 priority, and certification is based on NYCHA standards.

To better serve our youth, ACS collaborated with the NYC Department of Housing Preservation and Development, Common Ground Community, and Good Shepherd Services to develop the country's first Foyer Program – a residential career development program for young people aging out of the foster care system, who are homeless or at risk of being homeless. The Foyer Program is designed to prevent homelessness by offering a comprehensive transitional experience to independent adulthood. Participants work over an 18-month period towards goals of permanent housing and stable employment with career skills by the time of graduation. Residents participate in employment, educational mentoring and life-skills training programs. The 40-unit program is based on a European model and is the first of its type in the United States. With this innovative program, ACS is helping young people develop the tools and skills necessary to avoid homelessness as adults.

ACS is a full partner in the NY/NY III initiative, a partnership between New York State and New York City and is the placement entity for the youth beds. NY/NY III is supportive housing for special distinct populations. These populations include but are not limited to; chronically homeless single adults with disabilities, families in which the head of households has been diagnosed with disabilities and youth transitioning out of Foster Care. Supportive housing is affordable with a social services component. This housing will be either (1) 'congregate' or (2) 'scattered site', in which individual apartments are rented from existing market housing throughout the city. In 2008, 200 units (100 congregate and 100 "scattered" sites) have been dedicated to NYC young people to ensure that they have adequate housing upon leaving our care.

New York City Empowerment Zone

The New York Empowerment Zone (NYEZ), created to revitalize Upper Manhattan and the South Bronx, is an economic development initiative that uses public funds and tax incentives to encourage private investment and job creation in these areas. The NYEZ's goal is to provide its residents with the necessary tools to revitalize their communities and build new roads to economic self-sufficiency.

Congress enacted the Empowerment Zone Program as part of the Omnibus Budget Reconciliation Act of 1993 to stimulate economic growth in distressed areas. The New York Empowerment Zone began operations in January 1996. New York City has committed \$100 million to the New York Empowerment Zone, as have the State and Federal governments, for an aggregate of \$300 million.

The Zone is governed by The New York Empowerment Zone Corporation, which is maintained by the City and State. The NYEZ Corporation Board of Directors consists of designees of the City, State, 16th Congressional District, 15th Congressional District, the Upper Manhattan Empowerment Zone Development Corporation, the Bronx Overall Economic Development Corporation.

The fundamental mission of the Corporation is to assist the two local development corporations: The Upper Manhattan Empowerment Zone Development Corporation (UMEZ), representing the Upper Manhattan portion of the Zone, consisting of West, Central and East Harlem, Washington Heights and Inwood, and the Bronx Overall Economic Development Corporation (BOEDC) representing the Bronx portion of the Zone consisting of High Bridge, Mott Haven, Port Morris and Hunts Point. The Corporation facilitates the cooperation and engagement of State and City government entities in order to achieve strategic plan goals with regard to budgeting and payment of committed funds. Since the Zone was designated, the NYEZ Corporation has approved and committed over \$210 million in loans and grants for implementation of initiatives and projects.

Local Development Corporation Responsibilities

The Upper Manhattan Empowerment Zone Development Corporation (UMEZ) and the Bronx Overall Economic Development Corporation (BOEDC) are the two designated Local Development Corporations that develop and administer initiatives in the Zone. Their mission is to expand the range and scope of economic activity, enhance capital opportunity for local businesses and institutions and improve the quality of life for

residents, workers and visitors. Their duties include: 1) developing initiatives; 2) evaluating and modifying the Strategic Plan; 3) providing opportunities for involvement of the community; 4) selecting service providers and vendors for Zone programs and projects consistent with procurement rules; and 5) monitoring performance.

Businesses of all sizes in the Zone benefit from its available resources. In addition to attracting large, national retail companies to Harlem and the South Bronx, EZ investments in small businesses increase their access to capital and provide technical assistance, in order to create jobs for local residents and address neighborhood retail needs. The EZ has also targeted the stabilization and growth of cultural institutions in Harlem and the Bronx as part of an overall strategy to re-energize these areas as unique cultural and shopping destinations.

UMEZ and BOEDC have created more than 9,000 jobs in the Empowerment Zone as of June 30, 2009.

UMEZ Activities in the Empowerment Zone

UMEZ is guided by a three-pronged strategy: 1) strengthening arts and cultural organizations to drive tourism, 2) making large-scale business investments in major real estate projects and 3) providing access to capital and technical assistance to small business. Due to economic conditions in FY 2009, UMEZ focused on supporting small businesses and not-for-profit organizations.

Small Business Assistance

The NYEZ Board approved three initiatives in FY 2009 to support three organizations that provide support for small businesses in the Empowerment Zone.

- East Harlem Business Capital Corporation (EHBCC)

On May 8, 2009, the NYEZ Board approved a \$530,000 grant for the East Harlem Business Capital Corporation (EHBCC) to provide technology and business training, business plan development and M/WBE certifications for small businesses in East Harlem. Formed in 1997, EHBCC helps entrepreneurs and small businesses in East Harlem by providing access to capital and technical assistance.

The UMEZ grant will help achieve the following annual goals over the next two years:

- Assistance with preparation of 27 business plans for loan packaging.
- Five business plans packaged to BRISC (UMEZ's small business loan fund) for consideration.
- 2,150 business planning training modules.
- 600 technology training modules.
- Assistance with the completion of 100 licenses, permits or certifications.

The grant also includes a \$291,000 incentive that will be paid to EHBCC if it meets the above benchmarks.

- Audubon Partnership for Economic Development (APED)

On May 8, 2009, the NYEZ Board approved a \$490,000 grant for the Audubon Partnership for Economic Development (APED) to provide technology and business training, business plan development and M/WBE certifications for small businesses in Washington Heights and Inwood. Formed in 1996, APED helps entrepreneurs and small businesses in Washington Heights and Inwood by providing access to capital through loan packaging and technical assistance. The UMEZ grant will help achieve the following annual goals over the next two years:

- Assistance with preparation of 32 business plans for loan packaging.
- Five business plans packaged to BRISC for consideration.
- 450 technology training modules.
- 600 business planning training modules.
- Assistance with the completion of 65 licenses, permits or certifications.

The grant also includes a \$269,000 incentive that will be paid to APED if it meets the above benchmarks.

- New York Women's Chamber of Commerce (NYWCC)

On October 22, 2009, the NYEZ Board approved a \$140,000 grant for the New York Women's Chamber of Commerce (NYWCC) to provide technology and business training and business plan development for small businesses in Central and West Harlem. Formed in 2002, NYWCC is dedicated to fostering women's economic, leadership and professional development through business, micro-enterprise and self-employment development initiatives. Programs run by NYWCC are open to all, regardless of membership status. UMEZ assistance will help achieve the following goals over the next year:

- Assistance with preparation of 12 business plans for loan packaging.
- Five business plans packaged to BRISC for consideration.
- 900 technology and business training modules.
- Assistance with the completion of 100 licenses, permits or certifications.

The grant also includes a \$42,000 incentive that will be paid to NYWCC if it meets the above benchmarks.

Not-for-Profit and Cultural Institution Assistance

- Community Works

On May 8, 2009, the NYEZ Board approved a \$390,780 grant to Community Works (CW) as part of a \$1.219 million capacity building project that will support CW's new programmatic home, which is scheduled to open in June. The grant would also provide space for the two Upper Manhattan-based arts service organizations.

Founded in 1990, CW serves more than 300,000 youth and community members annually across the five boroughs through exhibitions, performances and workshops with collaborating schools and organizations with an annual budget of \$1.56 million and a staff of 10. Despite commissioning or presenting 250 events and exhibitions a year, CW has never had a programmatic home until this year. CW is the anchor tenant of a 7,000-square-foot cultural facility in the Dwyer Warehouse project on 123rd Street and St. Nicholas Avenue.

In addition to providing space for local groups, the benchmarks for the project are:

- The hiring of 200 artists from 50 cultural groups to participate in programming in the first year, increasing by 20% by 2011.
- The presentation of 250 days of exhibitions, 40 community events, 50 performances, 6 workshop series, and 180 guided tours in the first year, increasing by 20% by 2011.
- The offering of on-site arts programming to 25 public schools in Upper Manhattan in the first year, increasing to 45 by 2011.

- Apollo Theater Foundation, Inc ("ATF")

On October 22, 2009, the NYEZ Board approved a \$1,736,483 grant to the Apollo Theater Foundation, Inc (ATF) to help fund its capacity-building program. ATF is the not-for-profit, created in 1991, dedicated to the preservation and development of the Apollo Theater, which has served as a launching pad for some of the most widely acclaimed entertainers in the world since it was named after the Greek god in 1934.

The organization's goal is to build upon the Apollo's legacy and name recognition (it is the second most visited cultural site in Upper Manhattan) and create a world-class performing arts center – a vision that is well-aligned with the re-zoning of 125th Street and other cultural development in the neighborhood. To that end, ATF started a nearly \$100 million capital campaign to restore the theater, which will be complete in 2010. ATF will launch a capacity building project to complement the capital campaign, built upon 1) strengthening organizational capacity, 2) increasing earned and contributed income, 3) reinvigorating educational and cultural programs, and 4) developing the Apollo Theater Archives.

BOEDC Activities in the Empowerment Zone

In addition to continuing its focus on supporting environmental initiatives and not-for-profits in the Bronx Empowerment Zone, the NYEZ approved a major job-creating loan for Manhattan Beer Distributors as part of the company's \$28.5 million expansion project in the South Bronx.

○ Manhattan Beer

On March 6, 2009, the NYEZ Board approved a \$3.3 million loan for Manhattan Beer – the largest loan in BOEDC's history. The project will create 120 new jobs by 2015, with 50 employees from the EZ.

In the late 1970s, Manhattan Beer was founded as a small beverage distribution center in Lower Manhattan. Today, Manhattan Beer markets and distributes products of Coors, Corona and other brands to supermarkets, beverage-wholesalers, restaurants and other stores in the five boroughs and several counties upstate and on Long Island. As part of the expansion project, Manhattan Beer will purchase a building in Hunts Point, make building renovations and additional site improvements. The EZ investment will reimburse the firm for the costs of new delivery vehicles and the purchase of a can-counting machine and floor machine that will be used in the new facility.

Not-for-Profits

○ Per Scholas

On March 6, 2009, the NYEZ Board approved a \$550,000 convertible loan of to fund the build out of Per Scholas's new Technology Training Center in the Bronx Empowerment Zone. Founded in 1995, Per Scholas runs an array of programs and services that provide low-income families and children with access to computer technology and training. The organization also trains low-income New Yorkers as skilled computer technicians through a 15-week, tuition-free program and helps place graduates in technology-related jobs. Since 1995, Per Scholas has distributed more than 65,000 computers, trained over 2,000 community residents as computer technicians and recycled thousands of tons of computer equipment.

With two current facilities in the Bronx – a computer recycling facility in West Farms and a central training center in Hunts Point – Per Scholas is seeking to open an expanded training center in that can increase the organization's training capacity to 500 students per year. The organization has leased a space in the Bronx Empowerment Zone and has raised money from private and government sources to build out the space, which will also house a community technology center.

The convertible loan contains the following benchmarks:

- Train 100 EZ residents in CY 2011
- Place 65 EZ residents in jobs in 2011
- Serve 1,250 EZ middle-school children through the Comp2Kids program
- Serve 400 EZ seniors through the Comp2Seniors program
- Serve 400 EZ residents at the community technology center
- Provide 1,000 low-cost computers to EZ residents

○ Pregones Touring Puerto Rican Theatre Collection

On October 22, 2008, the NYEZ approved a \$180,000 grant for Pregones Touring Puerto Rican Theatre Collection Inc to support the "EZ Arts Campaign," comprised of three programs that will develop the theater's audience. Pregones is a state-of-the-art theater production and performance space in the South Bronx, and one of the Bronx Empowerment Zone's most successful non-profits. Over the past three years, since Pregones opened its new theater space, the theater has increased attendance for productions from 1,000 to 4,000, and total audience to 13,107. In advance of the organization's 30th anniversary, it is launching three new programs intended to increase the size of the theater's audience. The programs include half-price tickets for residents of the Bronx Empowerment Zone, free performances in the Empowerment Zone and grants for artists who reside in the Empowerment Zone. Taken together, the programs seek to benefit Pregones, which will turn serve as a focal point for visitation to the Empowerment Zone and help catalyze other growth in the area.

HDP Activities in the Empowerment Zone

In addition to the thousands of units of housing HPD has already assisted in the New York City Empowerment Zone, HPD currently has approximately 28 housing projects in various stages of development located within the zone and 41 parcels that will be programmed. They encompass a broad range of HPD's rehabilitation and new construction efforts, including Bradhurst Redevelopment Project, Bradhurst Urban Renewal Plan, CityHome, Habitat for Humanity, Homeworks, Neighborhood Entrepreneurs Program, New Homes Program, Neighborhood Redevelopment Program, Cornerstone, ANCHOR, Partnership Rehab, Section 202 Housing for the Elderly, New Homes Opportunities Program, Vacant Building Program and many other special development projects. The 28 projects will result in approximately 2,616 units of housing. In the last ten years, HPD has initiated a total of 368 projects within the Zone, resulting in approximately 27,365 units of housing.

Environmental Initiatives

o Brownfield Loan Fund

On March 6, 2009, the NYEZ Board approved the creation of a \$1 million Brownfield Loan Fund for light-to-moderately contaminated Brownfield sites in the Bronx EZ. The South Bronx is dotted with scores of Brownfield sites, with as many as 140 potentially contaminated sites in Hunts Point alone. The Brownfield Loan Fund offers developers or owners of Brownfield sites loans of up to \$150,000 over 10 years with two-percent interest for environmental remediation. Sites must also be enrolled in the NYC Office of Environmental Remediation's Brownfield Cleanup program. BOEDC will require that the future use of a Brownfield site provide 1 job for EZ residents for every \$65,000 loaned.

Coordination with Empowerment Zone

City of New York

There is a partnership between the City of New York and the two local development corporations responsible for the development and investment in the Empowerment Zone. A representative of the Mayor's Office has served as part of the New York Empowerment Zone coordination team since its original designation. This representative, currently the Deputy Mayor for Economic Development, oversees full-time staff assigned to the Empowerment Zone from the Office of the Mayor.

UMEZ and BOEDC work closely with City agencies, including the Economic Development Corporation, Department of Small Business Services, Department of Housing Preservation and Development, and the State's Empire State Development Corporation, in the areas of site location/acquisition, business and real estate development, and workforce development.

Please call the Mayor's Office New York City Empowerment Zone at (212) 788-2993 for more information.

Private Sector

The NYEZ uses its public investment pool of \$300 million to encourage private investment in Upper Manhattan and the South Bronx. As of June 30, 2009, the NYEZ has leveraged more than \$850 million in private investment.

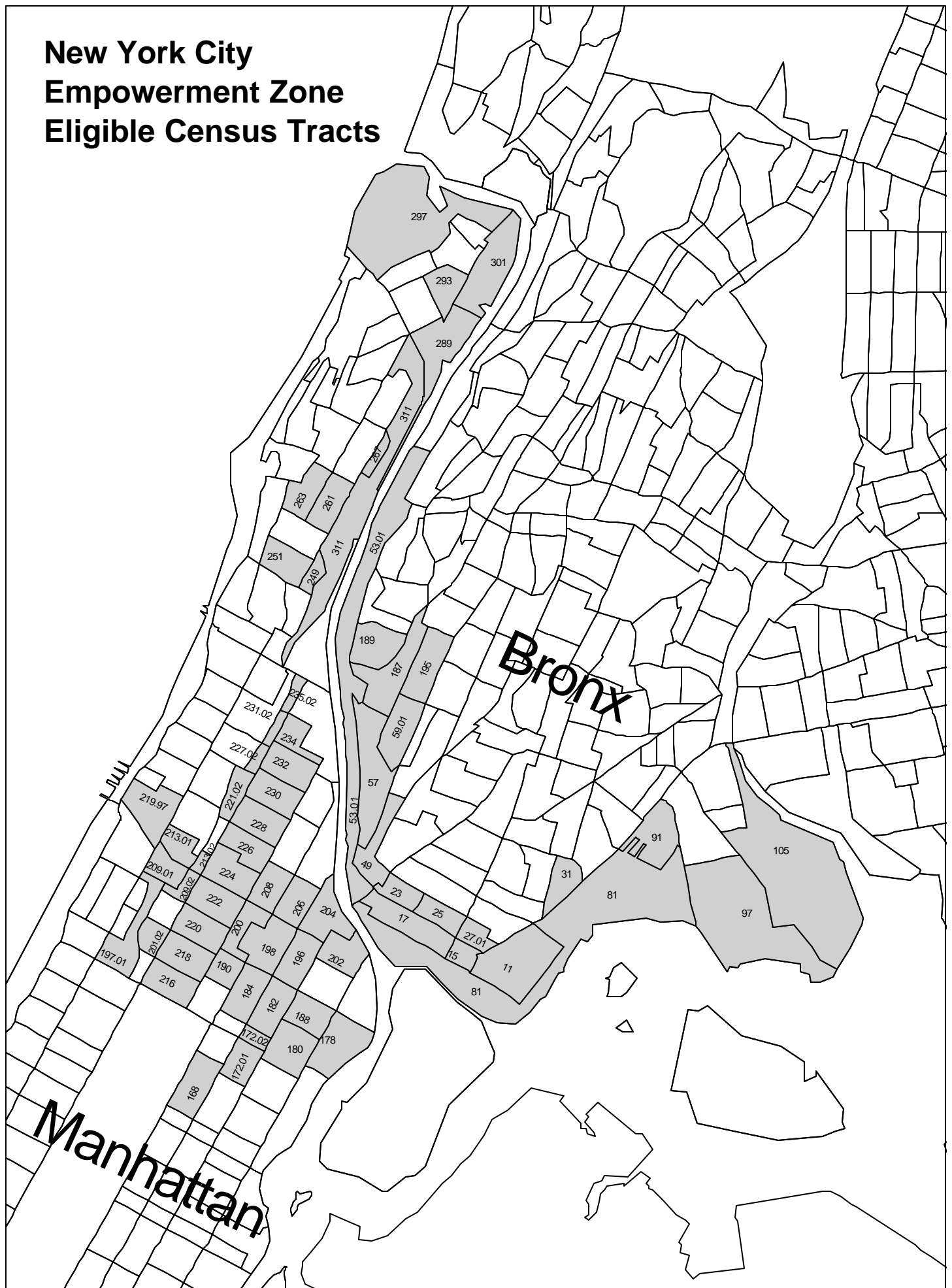
EZ Tracts

The Upper Manhattan portion of the New York Empowerment Zone includes Central, East and West Harlem, Inwood and Washington Heights. The South Bronx portion includes Hunts Point, Port Morris, Mott Haven and the Yankee Stadium/Highbridge area.

Coordination with the Consolidated Plan

The NYEZ is fully consistent with the Consolidated Plan. In fact, many of the goals identified in the Empowerment Zone program for Upper Manhattan and the South Bronx are identical to the Plan's basic goals.

**New York City
Empowerment Zone
Eligible Census Tracts**



H. HOME HUD Requirements

Described in this section is the federally required information related to the City's use of HOME Investment Partnership entitlement and American Dream Downpayment Initiative (ADDI) funds: 1) HOME Resale Provisions; 2) Forms of Investment; 3) Affirmative Marketing/Minority and Women Business Enterprises, including Affirmative Marketing Strategies, Minority/Women Business Enterprises, Equal Opportunity and Fair Housing, and Employment and Training; and Targeted Homeownership Outreach to Residents of Public Housing.

1. HOME Resale Provisions

The City plans to continue to use HOME funds to support the development of affordable homes for first time low-income home purchasers. The City has established a number of different HOME ownership models involving a variety of subsidy forms including down payment assistance and direct mortgage loans (to cover contributions of cash and/or real property). For a full description of the various subsidy mechanisms the City may employ please refer to the next section of the Action Plan entitled "Other Forms of Investment". As required, this section outlines the City's policies and procedures regarding the resale restrictions to be used in conjunction with these efforts.

The City currently operates a number of homeownership programs, including the Nehemiah and Partnership Programs, which are designed to produce affordable homes for low- and moderate-income homebuyers. In addition, the City administers a variety of programs, designed to sell multifamily apartments as low-income cooperative units. In each case, the City has already established a subsidy recapture mechanism designed to allow the initial homeowner an opportunity to earn a fair return on his or her investment at resale, while simultaneously affording the City an opportunity to recoup a portion of the public funds provided to the assisted home.

In all of these instances the City's resale/recapture system could be classified as some form of the "diminishing subsidy" model or the "shared equity" approach that were "preapproved" by HUD. In some cases the City will employ a combination of these models. But while the recapture provisions share the same basic structure, it is important to note that each of the programs the City operates utilizes a slightly different subsidy recapture provision. These differences are necessitated by the different structures of the various programs. For example, in the single family homeownership programs, the purchasers are required to invest a significant amount of personal equity as a down payment, while in many of the low income cooperative programs the units are sold at a nominal price and owner equity is almost nonexistent. Similarly, in some cases the programs are targeted to very low income families and the amount of City subsidy may be extremely large, while in other cases the program is designed to serve families at the top of the low income bracket and the amount of the public subsidy is necessarily less.

As a result, the City has selected a range of different resale/recapture models for use in conjunction with HOME funds.

In the majority of HPD's homebuyer assistance programs funded with HOME, the deed or other conveyancing documents and the subsidy lien on the property will include a covenant limiting the resale of the property to families at or below 80% of the then applicable area median income, who will occupy the property as their principle residence. In addition, the resale price of the units will be restricted for the first 20 years (15 years in the case of rehabilitation units) to an amount that is "affordable to a family earning at or below 75% of the median income".

In order to determine the exact amount of funds to be recaptured, each HOME homeownership program the City operates will use or have used one, or a combination of the five basic models, described below:

Model 1

The public subsidy (including the HOME funds) will be issued in the form of a zero interest-evaporating loan. This loan will diminish on a straight-line basis over its term. (The majority of these loans will be either 20 years or 15 years depending on the length of the HOME compliance period). The outstanding amount of the public subsidy will be due only on sale and then only from profits. The debt will be payable at a rate of 50 cents for each dollar of profit. For example, if an owner originally bought a home for \$70,000 and sold it for \$90,000, the \$20,000 would be declared profit. Fifty percent of that would go to repay the City (assuming the outstanding balance is that high) and the remaining 50% would go to the owner. In a stable market, this method should ensure that the owner recaptures his or her entire equity and enjoys an additional return on that equity in the form of profit from sale.

Model 2

The public subsidy (including the HOME funds) will be made in the form of a zero interest forgivable loan. The amount of this loan will remain constant throughout the compliance period. Once the compliance period ends this loan may be forgiven by the City. Again during the compliance period, the debt will only be due on sale and then only if there is a profit between the price the original owner purchased (including his/her equity contribution) and the price he or she sold the project. While this system may appear to be more restrictive than Model 1 which allows the owner free and clear access to 50% of the profits, it will only be used in situations where there is a relatively certain prospect for sales profits in excess of the amount of the City's lien.

Model 3

The public subsidy would be made in the form of an evaporating loan. This loan will be completely dissolved after three years. During the three-year period the balance would be due only at resale and then only to the extent that the resale price exceeded the original price. The outstanding balance would be payable at a rate of 50 cents for each dollar of profit (see model #1). After the three-year "holding period" the owner would be allowed to enjoy all the profits through sale free and clear. However, the City will continue to hold the lien on the property in the full amount of the initial subsidy and the assistance shall be characterized as a conditional grant throughout the 20-year compliance period. This lien would only come into play if the owner were found to have violated any of the HOME rules. This model provides the least restrictions on the owner and would only be used in situations where the opportunity for profit was already tightly capped by the existence of the restrictions on resale price.

Model 4

The public subsidy will be made in the form of a zero interest forgivable loan. The outstanding principal of this loan will be payable only on sale and then only to the extent that the owner enjoys a profit on the sale. In addition to the basic HOME requirement that the unit be sold to a family earning less than 80% of the median, at a price which is affordable to a family at or below 75% of area median income, in this model the owner will only be allowed to recapture his or her equity and the value of any improvements he or she made to the property and potentially an allowance for any increase in the cost of living. Additional funds earned through the sale will be due to the City. In the case of a cooperative unit, the City may agree to assign their interest or a portion of this interest to the cooperative itself. Since this model affords the owner little opportunity to realize a substantial financial gain through ownership it will be used only in those circumstances where the purchaser is only investing a nominal amount of equity and is not required to secure a mortgage to buy his or her home.

Model 5

The public subsidy will be made in the form of a zero interest loan that may be forgiven after the period of HOME compliance. The outstanding principal of this loan will be due only on sale and then only to the extent that the owner enjoys a profit on the sale. This loan will be payable at a rate of 40 cents on each dollar of sales profit. In the case of a low income cooperative, the City may agree to assign their interest or a portion of the interest to the cooperative itself and may also choose to require the owner to provide up to 75% of his or her remaining profit to the cooperative. This method should allow the owner to enjoy a reasonable gain from sale while preventing a windfall profit through resale.

Each of the above models involves substantial forgiveness of HOME funded homeownership loans (as well as direct City funded contributions) with the specific intent of limiting the homeowner's financial indebtedness and insuring that he or she will be able to earn a fair return on his or her investment. In all cases, the City's resale system will ensure that the statutory limitation on resale price will not unduly limit the owner from recouping his or her initial equity investment and receiving all or a portion of any additional sales proceeds. However, in light of the many real estate markets and sub-markets currently operating in New York City and in recognition of the varied equity requirements the City intends to impose on purchasers, it is not feasible, nor advisable, to set one specific number (or index) as a fair return on equity. Instead fair rate of return will be defined as an appropriate percentage of resale profits as outlined in the specific models presented above.

Additionally the City like the Federal government cannot provide an iron clad guarantee that the overall real estate market will improve or that each individual owner's property will appreciate in value. All the City can do is ensure that the specific resale restrictions imposed by the program do not unduly hamper the owner's ability to enjoy what profits the property does generate. Like all homeowners, each individual purchaser must assume some risk that his or her property may not increase in value. However, this event is very unlikely in light of the below market price for which the owner originally purchased the property, and the extremely tight market which exists in New York City for property at affordable rates.

An additional model, proposed and approved in FFY'94, established an alternative resale system for potential use in the City's HOME program. Under this model, owners would not be required to commit to sell their property to other eligible purchasers. In return however, the HOME-assisted owner would be required to repay the full HOME investment from net sales proceeds. For these purposes, the net sale proceeds would be defined as sales price minus loan repayment and closing costs. Thus in those instances where the sales price is not sufficient to provide the owner with the capital necessary to retire his mortgage and cover his transaction cost, no repayment of the HOME subsidy would be required.

In instances where the proceeds are not sufficient to provide for a full recapture of the HOME subsidy, and allow the owner to recoup his or her equity (down payment plus principal payments, and any documented capital improvement investment) the City will forgive all or a portion of the HOME subsidy. The HOME subsidy will be forgiven on a pro-rated scale based on the number of years in occupancy. In no event will the city forgive the entire HOME subsidy before a period of at least three years has elapsed.

In addition, the HOME subsidy is to be forgiven in order to allow the owner to recover his or her investment. In no event shall the HOME subsidy be forgiven in order to allow a homeowner to receive more than the amount of his or her equity and the value of any capital improvements. In those instances where net sales proceeds are sufficient to repay the entire HOME subsidy and allow the owner to recoup his or her full investment, the owner may be allowed to retain any excess.

Finally as required in the HOME regulations, any HOME investment that is recaptured by the City is required to be reinvested to assist other first time home-buyers.

2. Forms of Investment

The City uses many, if not most, of the approved subsidy forms cited in the regulations and listed below:

- Interest bearing loans or advances;
- Non-interest bearing loans or advances;
- Deferred payment loans;
- Grants;
- Interest subsidies;
- Equity investments;
- Tenant-Based Rental Assistance; and
- Downpayment Assistance.

The newly authorized loan guarantee mechanism will be explored, but will not likely be used during 2006. At present, we are not requesting authorization to use a form other than one of the basic forms preapproved by HUD. However, the City would like to reserve the right to request permission to utilize another subsidy mode at some point in the future.

In certain circumstances the City will also consider using HOME funds to refinance existing debt in connection with the rehabilitation of multifamily housing. Eligible projects may be located anywhere in the City. Under no circumstances will HOME funds be used to refinance multifamily loans made or insured by any Federal program, including CDBG. In addition, the guidelines established by HPD require that 1) the multifamily housing undergoing rehabilitation and refinancing is and will continue to provide affordable housing to low-income families, 2) rehabilitation must be the primary eligible activity for which at least 60 percent of the HOME funds are used, 3) eligible projects must require a minimum level of rehabilitation of \$10,000 per unit, 4) a maximum of 40 percent of HOME funds may be used for the refinancing of existing debt, 5) the use of HOME funds must be conditioned upon a low income affordability period of a minimum of 15 years, and 6) HPD must review the management practices of the property owner to insure that disinvestment has not occurred, that the long term needs of the project can be met and that the feasibility of serving the targeted population over at least a 15 year affordability period can be demonstrated.

In most cases, the specific form of the City's subsidy will be easily identifiable as one of the eight broad types listed above. For instance, we are currently utilizing forgivable advances and low interest loans. However, in rare instances the specific type of subsidy we are using may not be readily apparent to some observers. For example, in the case of a City-sponsored program to rehabilitate the occupied low income In Rem housing the City currently owns and manages, the HOME funds would be used to pay contractors for services and equipment necessary to renovate the building. Although the City expects to undertake such projects in limited cases, HPD believes the City's subsidy can easily be classified as either a grant to the building or an equity investment on the part of the City as long as we continue to own the units the City improves.

3. Affirmative Marketing/MBE-WBE Outreach

Affirmative Marketing Strategies

Section 92.351 of the HOME regulations requires that participating jurisdictions adopt affirmative marketing procedures for HOME-assisted housing containing five or more housing units. HPD has adopted appropriate affirmative marketing procedures and requirements for providing information regarding the availability of such units in HOME-assisted projects.

The Office of Development, the Office of Housing Operations, the Office of Planning & Intergovernmental Affairs and the Office of Community Partnerships provide information to attract eligible persons from all racial, ethnic and gender groups in the City of New York to available housing.

It should be noted that HPD does not directly rent units in privately owned housing but ensures that funding recipients, i.e. owners, sponsors, developers, etc. participating in HPD programs adhere to the affirmative marketing strategy in compliance with HUD HOME regulations. HPD instructs recipients of HOME funds of methods of informing and soliciting applications from persons in the housing market area who are not likely to apply for the housing without special outreach. Such methods include advertising in various newspapers or contacting community organizations. HPD's marketing plans have been reviewed and approved by HUD.

An affirmative marketing plan describing the efforts to be undertaken to affirmatively market HOME assisted vacant units must be submitted for review and evaluation in order to receive clearance from HPD's Office of Community Partnerships to proceed with a project. In addition, HPD requires recipients to submit documented information (tenant applications, copies of advertisements and outreach materials, and any documented responses to outreach efforts) demonstrating the recipient's efforts to affirmatively market HOME-assisted vacant units. Where it is determined that the agreed upon plan was not followed, HPD will consider on a case-

by-case basis, whether the agency should continue to do business with that recipient. Where it is determined that the agreed upon plan was inadequate, HPD will assist the recipient in improving the affirmative marketing plan.

When City-owned housing is upgraded and disposed of using HOME funds, the Agency will ensure that all new owners and managers adopt affirmative marketing procedures.

In general, HPD will create and adopt methods for informing the public, owners and potential tenants about Federal fair housing laws and New York City's affirmative marketing policy. HPD will also provide training in fair housing laws for property managers and staff involved in tenant selection. Press releases, solicitations, application packages and informational brochures will include the Equal Housing Opportunity logotype and slogan. The Fair Housing Unit of HPD's Office of Community Partnerships will augment these efforts through the continuing management of locally based fair housing counseling offices located throughout the city. The Fair Housing Unit will also investigate complaints of discrimination in the marketing and rental of HOME assisted units.

Minority/Women Business Enterprise

In accordance with Section 281 of the HOME Investment Partnerships Act and Section 92.350 of the HOME regulations, HPD has established an outreach program to ensure the inclusion and participation, to the maximum extent possible, of minority and women business enterprises (M/WBEs) in contracts funded in whole or in part through the HOME program. The outreach consists of a good faith, comprehensive and continuing endeavor supported by a key ranking staff person with oversight responsibilities and access to the Commissioner. The outreach program is comprised of the following initiatives:

- 1) Development of a systematic method for identifying and maintaining an inventory of certified M/WBEs, their capabilities, services, supplies, and or products;
- 2) Utilization of direct mailings and the local media, electronic and print to market and promote contract opportunities.
- 3) Development of informational and documentary materials on contract opportunities for M/WBEs;
- 4) Sponsoring and attending business opportunity related meetings, conferences and seminars targeting M/WBEs; and
- 5) Maintenance of centralized records with statistical data on the utilization and participation of M/WBEs as contractors and subcontractors in all HOME assisted contracting activities.

Equal Opportunity and Fair Housing

In accordance with Section 92.350 of the HOME regulations, "no person in the United States shall on the grounds of race, color, national origin, religion or sex be excluded from participation in, be denied the benefits of, or be subjected to any discrimination under any program or activity funded in whole or in part by HOME funds". In addition, HOME funds will be made available in accordance with the following federal statutes and regulations:

- Fair Housing Act;
- Executive Order 11063 (Equal Opportunity in Housing);
- Title VI of the Civil Rights Act of 1964 (Nondiscrimination in Federal Programs);
- Age Discrimination Act of 1975;
- Section 504 Rehabilitation Act of 1973;
- Executive Order 11246 (Equal Employment Opportunity);
- Section 3 of the Housing and Urban Development Act of 1968; and
- Executive Orders 11625, 12432, and 12138 (Minority/Women's Business Enterprise).

Employment and Training

Opportunities for training and employment arising from the HOME program will be provided in accordance with Section 3 of the Housing and Urban Development Act of 1968, as amended. The City will "demonstrate compliance with the 'greatest extent feasible' requirement" of Section 3 by meeting the goals set forth for providing training, employment, and contracting opportunities to Section 3 residents and Section 3 business concerns.

I. HOPWA Eligible Metropolitan Statistical Area (EMSA) Grantee Requirements

The County of Putnam (P-OTR-404)

Funding: \$70,412

The County of Putnam will provide continued funding for tenant-based rental assistance to people who are HIV-positive or have AIDS. These programs will be administered through the Putnam County Department of Social Services in Carmel, New York. The project's goal is to enable people with HIV/AIDS to secure and maintain housing appropriate to their needs. This goal will be achieved through the combination of:

- Outreach to appropriate clients who utilize supportive services throughout the County;
- Identification of appropriate clients through referrals from the Department of Mental Health, the Department of Health Services, the Department of Social Services, Volunteers of America, and ARCS.

In order for the funds to have immediate impact, it will be necessary to have a quick turnaround of one month between application and assistance. Additionally, it is reported that security deposits and realtor fees are a major block to housing for persons with AIDS and will be identified as an appropriate eligible expense. The majority of the funding will go directly to rental assistance and short term rent. Part of the administrative funding will be for the development of housing information, and for the identification of housing resources.

The approximate costs of the activities are as follows:

Tenant-based Rental Assistance	\$65,484
Project Sponsor Administrative Expenses	\$4,928

The services will be provided throughout Putnam County. The project sponsor will be the Putnam County Department of Social Services.

The main referral sources to the program will be the Putnam County Department of Social Services, the AIDS Related Community Services (ARCS) of Putnam, and Putnam Family and Community Services, Inc. ARCS performs extensive outreach with high-risk populations and publicity regarding their services is comprehensive. Additionally, ARCS maintains regular contact with AIDS self-help support groups and facilitates other support groups for family members. Volunteers of America and ARCS will continue to be the primary referral sources for clients residing in Putnam County.

The HUD Performance Objective and Outcome for all of the services is Affordability for the purpose of providing Decent Housing.

The County of Rockland

Funding: \$432,050

The County of Rockland will utilize \$432,050 to finance a tenant-based assistance program with the client/household portion of the rent payment, plus the Department of Social Services shelter allowance for qualifying households. This leveraged financing is estimated to provide approximately \$800,000.

The County will continue to operate a tenant based assistance program with legal and counseling services, modeled after the Section 8 Housing Voucher Choice program with two modifications. First, households will be eligible up to the low-income level (80% of medium) as opposed to 50% as in Section 8. Past experience shows that approximately 80% of the assisted households still fall in the very low-income grouping. Second, the County will allow a greater number of bedrooms than in the Section 8 program if medically appropriate.

The County of Rockland will also utilize funds for a second HIV/AIDS housing complex with a tenant based rental assistance program, bringing the total count of assisted persons and their families to 34.

Determination of eligibility, screening and assistance in finding suitable apartments is done through the coordinated efforts of the Department of Health. The Office of Community Development handles enrollments, recertifications, and day-to-day client services.

Tenant Based Rental Assistance (Rockland County Office of Community Development)	\$319,798
Counseling Services (Rockland County Health Department)	\$35,000
Legal Services (Legal Aid Society of Rockland)	\$35,000
Client Services (Rockland County Office of Community Development)	\$42,252

All of the services are for the clients enrolled in the TBRA program.

The HUD Performance Objective and Outcome for all of the services, including the TBRA program, is Affordability for the purpose of providing Decent Housing.

The County of Westchester (P-OTR-406)

Funding: \$2,165,321

The County of Westchester is administering the HOPWA funds for the Cities within Westchester County. In Grant Year 2009, the Cities of Mount Vernon and Yonkers and the County of Westchester plan to utilize HOPWA funds for rental assistance, supportive services and facility-based housing operation costs. The 2009 Amended Consolidated Plan incorporates the program and funding descriptions for the County of Westchester and cities of Mount Vernon and Yonkers. The County of Westchester will allocate funds to:

Westchester County Programs	\$1,358,362
Westchester County Administrative Expenses	\$64,959
City of Yonkers	\$357,000
City of Mount Vernon	\$385,000

Westchester County Programs

In Grant Year 2009, Westchester County will use \$1,358,362 of HOPWA funds to continue operating its Rental Assistance Program with Case Management Services. The County will use HOPWA funds based on the needs for permanent housing for persons living with HIV/AIDS and their families. There are approximately 90 households receiving rental subsidies assistance under the Tenant-Based Rental Assistance Program and in Program Year 2008, approximately 22 households received Short-Term Rent, Mortgage, or Utility Assistance being administered by Grace Church Community Center, Inc. (GCCC). Based on the HOPWA waiting list from GCCC, there is an unmet need for permanent supportive housing of 130 individuals with HIV/AIDS. HOPWA funds will be used to provide rent subsidies for at least 85 households with case management services for each client as well as short-term rent, mortgage and utility assistance to approximately 40 clients who are facing evictions or utility shut-off services. Due to the poor physical health of program participants, they are less likely to work and, thus, more likely to rely upon social security income and other forms of public assistance, including HOPWA, to pay their housing costs.

The Grant Year 2009 allocation will be used to support this program for an additional 12 months by providing:

Tenant-Based Rental Assistance Program (TBRA)	\$929,362
Short-Term Rent, Mortgage and Utility Assistance (STRMU)	\$60,000
Supportive Services (case management services, per diem clinician, HQS inspector and other supportive services)	\$369,000
Total	\$1,358,362

These services will address the following *HUD Performance Objectives and Outcomes*:

TBRA, STRMU: *Affordability for the purpose of providing Decent Housing.*

Supportive Services: *Availability/Accessibility for the purpose of providing Decent Housing.*

The County will contract with an experienced not-for-profit housing provider to administer the HOPWA Tenant-Based Rental Assistance Program. It is anticipated that this organization will accept pre-applications for its waiting list from the Ryan White Emergency Assistance Program, service providers from the HIV Care Network of the Lower Hudson Valley, not-for-profit organizations, the Department of Social Services, and through word of mouth. The administering agency will continue to identify alternative, affordable, quality housing options and to provide counseling and referrals to supportive services. Case plans will be developed for each participating PLWH/A and any immediate family members to identify needed essential services. The Rental Assistance Program will continue to use existing linkages to service providers and case management programs to provide the required supportive services.

The Rental Assistance Program helps eligible individuals and families who: 1) face imminent eviction from their residences; 2) are required to move for health-related reasons; or 3) are homeless and unable to locate permanent housing. Rental assistance is made available to persons who are eligible for public assistance and other entitlements. Clients are served on a first come, first served basis under program priorities of: 1) persons with AIDS (PWAs); 2) persons with an AIDS-related condition; and 3) persons diagnosed as HIV/Symptomatic. Eligible persons are entitled to receive this assistance for a period of up to one year. Extensions may be granted based upon need and continued HOPWA funding. The program is available to Westchester County residents or persons whose last permanent address was in the County.

The greatest unmet need among the HIV infected and affected populations is for better housing and rental assistance. In accordance with New York State Department of Health, the total number of persons living with HIV and/or AIDS in Westchester County as of December 2007 was 3,207 excluding prisoners. The HOPWA Rental Assistance Program directly addresses this need.

Housing opportunities for PLWH/A, both permanent and transitional, are extremely limited in Westchester County. Shelter accommodations provide temporary housing to those choosing to identify their HIV-positive status to the Department of Social Services. In Westchester County, emergency housing resources for PLWH/A consist solely of the Valhalla Residence with 19 beds operated by Volunteers of America. St. John's Riverside Hospital (formerly Yonkers General Hospital) operates an AIDS Outreach Designated Center enabling them to reserve 12 inpatient beds for individuals with HIV/AIDS. The permanent housing targeted for this population is limited at this time and the demand for suitable housing grows as the number of AIDS cases grows. The Rental Assistance Program developed with HOPWA funds provides needed financial resources and supportive services targeted to low-income persons with HIV/AIDS. In addition, Ryan White Title I funds have been appropriated to establish a shallow rent and utility assistance program County-wide, which is administered by Grace Church Community Center and served approximately 160 individuals (unduplicated count) as of the end of the reporting period.

The Westchester County Department of Planning also provides funds for eviction prevention through the Emergency Shelter Grant (ESG) programs and the County recently awarded local funds to fund an eviction prevention program. Those funds flow through several neighborhood housing organizations that provide

counseling, referrals, and arrears subsidies to households that are in danger of becoming homeless. These awards are used to provide assistance to eligible applicants throughout the Urban County Consortium communities. County funds will be used throughout the County of Westchester. In the past years, several clients assisted through this program have become eligible for Section 8 subsidies and have graduated from the HOPWA-funded program.

The City of Yonkers

The City of Yonkers proposes to use \$357,000 in Grant Year 2009 to fund services provided by Greyston Health Services and The Sharing Community to persons with HIV/AIDS. The following description lists the activities and budgets for each of these two organizations in Grant Year 2009.

1. Greyston Health Services – \$178,500

Greyston Health Services operates two programs for persons living with HIV/AIDS: Issan House, a permanent HIV/AIDS facility-based housing offers 35 single room occupancy units to single adults, and the Maitri Center, a state licensed adult day health care program. In Grant Year 2009, Greyston will use \$89,900 to continue to employ staff that will directly impact the ability of approximately 45 people living with HIV and AIDS and their families to retain housing. The primary source of clients comes from the enrolled population at the Maitri Day Program. The other main source of clients will be those who are on the waiting list for housing at Issan House, Greyston's on-site housing facility.

Greyston will use \$43,000 of HOPWA funds toward the cost of a professional property management services organization that will insure that Issan House is a clean, safe and secure place to live that is in compliance with all applicable regulations.

Greyston will use \$45,600 of HOPWA funds toward the cost of preparing and providing food to approximately 17 persons living with HIV and/or AIDS who will reside at Issan House over a 12-month period. Issan House has been able to obtain County, Federal and State funds to cover basic operations and, for some residents, enhanced services. In order for Issan House to provide nutritional, balanced meals seven days a week that meet the requirements of PLWHAs, HOPWA funding is needed.

The HUD Performance Objective and Outcome for all of the Greyston Health Services' activities is Availability/Accessibility for the purpose of providing Decent Housing.

2. The Sharing Community – \$178,500

The Sharing Community is requesting \$178,500 of Grant Year 2009 funding to continue its Housing Retention/Eviction Prevention Program for Yonkers residents with HIV/AIDS who are either homeless or in danger of becoming homeless. Sharing Community's primary goal is to enable people with HIV/AIDS to obtain and maintain decent permanent housing at an affordable level. This goal will be achieved through the combination of:

- Emergency rent/utility payments when needed to avert immediate eviction; and
- Ongoing rent subsidies for eligible clients who cannot find quality affordable housing without such support.

The HUD Performance Objective and Outcome for the Housing Retention/Eviction Prevention Program is Availability/Accessibility for the purpose of providing Decent Housing.

The Sharing Community will use \$37,812 to assist HOPWA eligible households to secure rental assistance through the HOPWA's Tenant-Based Rental Assistance and Short-Term Rent, Mortgage and Utility Assistance

Programs. Sharing Community Staff will work closely with case managers to identify those clients that need housing assistance. It is expected that the case managers will provide clients with training on how to work with landlords, brokers, public agencies and other resources to locate and secure quality affordable housing. In addition, these case managers will help clients to develop realistic personal budgets, to determine how much they can afford for housing, to explore alternatives such as shared housing, and to access all available housing subsidies. The counselor will refer clients with landlord/tenant difficulties to CLUSTER's Housing Resource Center or to Westchester Legal Services. Case management services will be supported with other funding source.

The HUD Performance Objective and Outcome is Availability/Accessibility for the purpose of providing Decent Housing.

The Sharing Community will use \$18,000 to assist persons living with HIV and AIDS and their families who are facing imminent eviction with short-term rent, mortgage and utility assistance (STRMU). The housing counselor will screen eligible clients to determine the cause of eviction, analyze each client's financial situation, identify any other available rent subsidies or sources of additional revenues, and, when appropriate, provide short-term payments directly to the involved vendors for rent or utility arrears. Within the program year, 15 households will receive emergency financial assistance to retain housing.

The HUD Performance Objective and Outcome is Affordability for the purpose of providing Decent Housing.

The Sharing Community will use \$122,688 to provide a tenant-based rental subsidies program to approximately 12 households for a period of one-year. By combining HOPWA funds with existing public assistance housing allowances, enhanced shelter allowances available to certain clients with HIV/AIDS, and rent subsidies available to selected homeless families receiving TANF who join Westchester Legal Services' Love v. Perales litigation, the Sharing Community will be able to provide housing subsidies for a much larger group of clients and thus enhance the program's cost-effectiveness. Each unit will be inspected to ensure that it meets HUD's Housing Quality Standards.

The HUD Performance Objective and Outcome is Affordability for the purpose of providing Decent Housing.

The City of Mount Vernon

The City of Mount Vernon is requesting \$385,000 to continue the operation of the Mount Vernon HOPWA Program.

Mount Vernon has the highest rate of HIV infection and the second highest number of persons living with HIV/AIDS of any municipality in the Hudson Valley Region. According to New York State Department of Health Bureau of HIV/AIDS Epidemiology as of February 2006, Mount Vernon accounts for 811 confirmed cumulative cases of HIV/AIDS. Requested funding will be used to provide the following services:

1. Case management and coordination of referrals to existing housing and supportive services for persons with HIV/AIDS.

Mount Vernon will use \$211,160 to continue to provide case management services and coordination of referrals. HOPWA funded case managers will provide intensive and comprehensive case management to more than 65 households (individuals and families) in Mount Vernon. Services will include, but not be limited to, assistance in accessing housing entitlements, budgeting, primary health care, advocacy, nutritional support, legal services, substance use and mental health programs, dental care, buddy/respite services, vocational training, emergency financial assistance and permanency planning. The case managers, along with the Director, also serve as HIV resources and provide technical assistance to the Department of Social Services, Mount Vernon Hospital, Mount

Vernon Neighborhood Health Center, Planned Parenthood, the Council of Community Services and other community based agencies including the local homeless shelters (WestHELP, WESTHAB and Naomi House).

The HUD Performance Objective and Outcome is Availability/Accessibility for the purpose of providing Decent Housing.

2. Nutritional Services

The City of Mount Vernon will use \$80,840 to continue facilitating food distribution and deliveries to approximately 55 individuals. HOPWA will ensure that the nutritional needs of each program participant are met through menu planning by a part-time certified nutritionist and inspection of meal packages by the part-time nutrition coordinator. Program participants will receive pantry bags via pick-up or delivery twice a month.

The HUD Performance Objective and Outcome is Availability/Accessibility for the purpose of providing Decent Housing.

3. Financial assistance through rental subsidies for persons living with HIV/AIDS and their families.

The City of Mount Vernon will use \$93,000 to administer a Tenant-Based Rental Assistance Scattered-Site Housing Program. The program will serve approximately 15 individuals and their families of which at least five (5) HOPWA eligible households will be residents of the City of New Rochelle. The City's waiting list as of June 2009 had 15 individuals waiting for rental subsidies assistance. The City also receives funding through a Continuum of Care for the Homeless Grant that will be used for additional housing subsidies.

The HUD Performance Objective and Outcome is Affordability for the purpose of providing Decent Housing.

SUMMARY TABLE OF FUNDING SOURCES and PROPOSED ACCOMPLISHMENTS
NEW YORK, NEW YORK EMSA

Project Code Program Name		Amount	Amount Jurisdiction Expects to be Received in Federal Fiscal Year '08 (A)	Proposed Accomplishment (B)
		\$0	\$0	*****
	HOUSING OPPORTUNITIES FOR PERSONS WITH AIDS - EMSA			
P-OTR-0404	RENTAL ASSISTANCE/COUNTY OF PUTNAM	\$70,412	\$2,667,783	Tenant-Based Rental Assistance (TBRA) 12 People Individuals and Families
P-OTR-0405	RENTAL ASSISTANCE/COUNTY OF ROCKLAND	\$432,000		Tenant-Based Rental Assistance (TBRA) 34 People Individuals and Families Support Services-Counseling, & Legal Serves 34 People Individuals and Families
P-OTR-0406	COUNTY OF WESTCHESTER County of WESTCHESTER	\$2,165,321		Tenant-Based Rental Assistance (TBRA) 85 Households (Individuals & Families) Short-term Rent, Mortgage, Utility (STRMU) Assistance 40 Households (Individuals & Families) Support Services - Case Management 85 Households (Individuals & Families)
	City of Yonkers			Facility Based Housing 35 Households (Individuals & Families) Support Services - Case Management 45 Households (Individuals & Families) Short-Term Rent, mortgage, utility (STRMU) Assistance 15 Households (Individuals & Families) Tenant-Based Rental Assistance (TBRA) 12 Households (Individuals & Families) Support Services - Nutriton Serves (Meals for HIV cong 17 Individuals

SUMMARY TABLE OF FUNDING SOURCES and PROPOSED ACCOMPLISHMENTS
NEW YORK, NEW YORK EMSA

		Amount Jurisdiction		Proposed
		Expects to be Received in		Accomplishment
		Federal Fiscal Year '08		
Project Code	Program Name	(A)		(B)
		Amount		
	City of Mount Vernon			Support Services - Case Management
				65 Individuals
				Tenant-Based Rental Assistance (TBRA)
				15 Households (Individuals & Families)
				Support Services - Nutrition Services
				55 Individuals

J. Certificate of Consistency Chart

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

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

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

In addition to the Certificate of Consistency, your organization should also request to receive the City of New York's unified response to "Part A. Local Jurisdictions, Counties Exercising Land Use and Building Regulatory Authority and other Applicants Applying for Projects Located in such Jurisdiction or Counties" in the Questionnaire for HUD's Initiative on Removal of Regulatory Barriers. The unified response to HUD's Questionnaire was developed by the Department of City Planning, the Department of Housing Preservation and Development, and the Department of Buildings and provides information on their respective department's area of expertise in an effort to provide one-stop, consistent responses with supporting references and/or data to prospective applicants. The completed Questionnaire with supporting documentation enables public, private, and not-for-profit entities to be awarded the higher point score in their grant applications.

The unified response to HUD's questionnaire will be provided to organizations that demonstrate consistency with the City's Consolidated Plan for inclusion in their competitive grant application.

A copy of the unified response for the 2010 HUD Competitive Grant Notice of Funding Availability (NOFA) process has been included as Appendix 7 as a reference.

CITY OF NEW YORK 'S CRANSTON-GONZALEZ HOUSING ACT CONSOLIDATED PLAN CERTIFICATE OF CONSISTENCY PROCESS WITH THE CONSOLIDATED PLAN				
HOUSING PROGRAMS	LEAD AGENCIES	CONTACT PERSON	TELEPHONE NUMBER	FAX NUMBER
HOPWA	DOHMH	John Rojas	212-788-3692	212-788-4372
HUD CONTINUUM OF CARE HOMELESS ASSISTANCE PROGRAMS Supportive Housing Program (SHP), Shelter Plus Care (S+C) and Section 8 Moderate Rehabilitation Single Room Occupancy (SRO)	DHS	Eileen Lynch	212-361-7957	212-487-8840
SECTION 202 SUPPORTIVE HOUSING AND ASSISTED LIVING CENTERS	DFTA	Karen A. Shaffer	212-442-3100	212-442-3169
SECTION 811 SUPPORTIVE HOUSING	MOPD	Jason Mischel	212-788-2830	212-788-2858
FAIR HOUSING INITIATIVE PROGRAM	DCP	Charles Sorrentino	212-720-3337	212-720-3495
HOUSING COUNSELING PROGRAMS	DCP	Charles Sorrentino	212-720-3337	212-720-3495
UNIVERSITY AND COLLEGE PROGRAMS	DCP	Charles Sorrentino	212-720-3337	212-720-3495
YOUTHBUILD (U.S. Dept. of Labor Grant)	DCP	Charles Sorrentino	212-720-3337	212-720-3495
HOPE VI PUBLIC HOUSING REVITALIZATION	DCP	Charles Sorrentino	212-720-3337	212-720-3495
SECTION 213(A) REVIEW	DCP	Charles Sorrentino	212-720-3337	212-720-3495

K. Certifications

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

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

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

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

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

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

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

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

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

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

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

Specific CDBG Certifications

The Entitlement Community certifies that:

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

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

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

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

1. Maximum Feasible Priority. With respect to activities expected to be assisted with CDBG funds, it certifies that it has developed its Action Plan so as to give maximum feasible priority to activities which benefit low and moderate income families or aid in the prevention or elimination of slums or blight. The Action Plan may also include activities which the grantee certifies are designed to meet other community development needs having a particular urgency because existing conditions pose a serious and immediate threat to the health or welfare of the community, and other financial resources are not available;
2. Overall Benefit. The aggregate use of CDBG funds including Section 108 guaranteed loans during program year(s) 2008, 2009, and 2010, shall principally benefit persons of low and moderate income in a manner that ensures that at least 70 percent of the amount is expended for activities that benefit such persons during the designated period;
3. Special Assessments. It will not attempt to recover any capital costs of public improvements assisted with CDBG funds including Section 108 loan guaranteed funds by assessing any amount against properties owned and occupied by persons of low and moderate income, including any fee charged or assessment made as a condition of obtaining access to such public improvements.

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

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

Excessive Force -- It has adopted and is enforcing:

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

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

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

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

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

Specific HOME Certifications

The HOME participating jurisdiction certifies that:

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

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

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

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

ESG Certifications

The Emergency Shelter Grantee certifies that:

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

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

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

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

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

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

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

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

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

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

HOPWA Certifications

The HOPWA grantee certifies that:

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

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

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

APPENDIX TO CERTIFICATIONS

INSTRUCTIONS CONCERNING LOBBYING AND DRUG-FREE WORKPLACE REQUIREMENTS:

A. Lobbying Certification

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

B. Drug-Free Workplace Certification

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

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

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

7. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:
- "Controlled substance" means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C.812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);
- "Conviction" means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;
- "Criminal drug statute" means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;
- "Employee" means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All "direct charge" employees; (ii) all "indirect charge" employees unless their impact or involvement is insignificant to the performance of the grant; and (iii) temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are not on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

L. Monitoring Standards and Procedures

Pursuant to 24 CFR Part 91.15(k), following is the City's plan to ensure compliance with the statutory provisions of the National Affordable Housing Act. The fiscal and programmatic procedures of federally-funded programs already are audited or monitored by several entities: the City agencies which administer the federally-funded programs; an independent auditor, pursuant to the federally-mandated "Single Audit"; the City Comptroller's Office through its Charter mandate to investigate all matters relating to the City's finances. Therefore, it is not the intent of this plan to duplicate but to augment the monitoring procedures currently in place for Consolidated Plan-related programs.

Internal Monitoring

By June 1st, each program or subrecipient which is not on schedule to attain or which projects to exceed its annual goals by 50 percent or more must submit a status report to its agency Consolidated Plan Representative. This report shall explain why their target is not being met and will identify the steps being taken to correct any deficiencies. Likewise, for any situation where goals will be exceeded by 50 percent or more, the report will state why this situation is temporary (additional units coming online due to delays in previous years) or will identify the new procedures or circumstances which are expected to lead to a permanent increase in the program's/subrecipients' goals for future years.

In addition, all programs and subrecipients shall be required to report to their agency Consolidated Plan Coordinator any significant alterations or changes (which will be realized or put into effect for more than 6 months) in the following areas:

1. Needs;
2. Strategies/Policies;
3. Market and Inventory Conditions;
4. Resources; and
5. Implementation.

By June 30th, each agency's Consolidated Plan Representative shall submit to the City's Consolidated Plan Coordinator each of these reports as well as identify any additional corrective action taken by the City agency to ensure conformance with the goals and strategies reported in the Consolidated Plan. Changes in site or area from one borough to another, deletion or addition of a Consolidated Plan activity and changes which result in a funding reduction greater than 50% of a total activity category must be reported immediately to the agency Consolidated Plan Representative.

The City's Consolidated Plan Coordinator will review each report submitted to determine the impacts of the identified changes on the five-year plan. If necessary, the City's Consolidated Plan Coordinator will consult with the agency Consolidated Plan Representative to bring programs and subrecipients into conformance with the Consolidated Plan or to revise the provisions of the Consolidated Plan accordingly. In addition, through the review of these reports, the City's Consolidated Plan Coordinator will determine if a "Substantial Amendment" must be submitted to HUD.

M. Summary of Citizens' Comments

Testimony from the Public Hearing to Formulate the Proposed 2010 Consolidated Plan, April 14, 2009

Elizabeth Hay, Legal Aid Society

Ms. Elizabeth Hay stated that the Legal Aid Society and a coalition of legal service providers have provided legal services in court and in administrative proceedings, to help prevent eviction of persons living with HIV/AIDS from their homes. However, the HOPWA Funding was a three-year contract now approaching expiration. Funds were used to provide legal assistance as well as provide access to benefits which were necessary to pay rent and supplied supportive health care services. Because legal entitlement to representation does not exist in cases of civil matters, affordable legal services are not readily available to low-income persons with HIV/AIDS. Those being served with HOPWA-fund legal services will not find representation elsewhere, thus exacerbating their situation. Ms. Hay mentioned the upcoming Recovery Act's Homelessness Prevention and Rapid Re-Housing Program (HPRP) and that eviction prevention and associated legal services are eligible activities under the proposed Program. However, the speaker mentioned the HPRP Program is only short-term program (maximum 18 month of assistance per household) and had concerns regarding that, at the conclusion of the program, eviction prevention services would be unavailable to persons living with HIV/AIDS. In closing, she advocated for continued allocation of HOPWA monies in the 2010 Consolidated Plan Action Plan for funding of legal services, particularly eviction prevention services.

Department of Health and Mental Hygiene/Bureau of HIV/AIDS Prevention & Control response:

The current funding for HIV/AIDS housing-related legal advocacy supported by the City of New York's Housing Opportunities for Persons with AIDS (HOPWA) program was a one-time appropriation in order to support the efforts of legal advocacy providers to assist persons with HIV/AIDS and their families who were facing eviction. Although the program has been successful at serving persons with HIV/AIDS and their families, there is currently no additional HOPWA funding available with which to continue these programs. However, the Department of Health and Mental Hygiene has been advocating very strongly that funds received by the City of New York under the new Homelessness Prevention and Rapid Re-Housing Program under the American Recovery and Reinvestment Act of 2009 be used to provide additional funding for these programs.

Department of Homeless Services Response:

A portion of the City's Homelessness Prevention and Rapid Re-Housing Program grant has been allocated to anti-eviction services. Specifically, funding will support legal assistance and social services to low-income persons living with HIV/AIDS who have difficulty maintaining safe, appropriate permanent housing.

Carlisle Towery, Greater Jamaica Development Corporation (GJDC)

Mr. Carlisle Towery, the President of the Greater Jamaica Development Corporation (GJDC), petitioned for an increase in CDBG funding on behalf of organization for economic development programs. GJDC uses CDBG funds for economic development in Downtown Jamaica's CD-eligible areas, where there has been an increase in the number of low-/moderate-income CD-eligible census tracts. The speaker stated 15 percent of GJDC's operating budget is from government contracts, and indicated an increase in funding would assist them in furthering economic development programs focused on retaining and creating jobs within the Jamaica community.

Office of Management and Budget Response:

The Avenue NYC Program received an additional \$500,000 in CD funding for the City Fiscal Year 2010 only.

Elizabeth Springer, Housing Case manager, Urban Women's Retreat/Urban Resources

Ms. Elizabeth Springer advocated funding for programs that provide housing and assistance to women and children in the shelter system, specifically for victims of domestic violence. Mrs. Springer was of the opinion this homeless subpopulation is often over-looked and as a result; shelter/housing programs for victims of domestic violence are under-funded. In closing, the speaker request that government monies be allocated to fund programs that specifically provide services and support to victims of domestic violence to place them in transitional or permanent housing.

Human Resources Administration response:

The city has several programs that help homeless families transition from shelter to permanent housing. These programs are Advantage, NYCHA housing and section 8. Although these programs are not specific to domestic violence survivors, these programs provide resources to help clients attain permanency and self-sufficiency.

Appendix 1:

DEFINITIONS

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

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

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

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

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

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

Chronically Homeless Individual: Any currently homeless individual (including single adults and individuals in adult couples) who is disabled and has been homeless for at least 365 days of the last 2 years, not necessarily consecutive; or any currently homeless individual who has been homeless for 730 days of the last 4 years, not necessarily consecutive.

Chronically Homeless Person: The Consolidated Plan regulations define a chronically homeless persons as follows: An unaccompanied homeless individual with a disabling condition who has been continuously homeless for a year or more, or has had at least four episodes of homelessness in the past three years. To be considered chronically homeless, a person must have been sleeping in a place not meant for human habitation (e.g., living on the streets) and/or in an emergency shelter during that time.

Chronically Homeless Family: A currently homeless family that has been homeless for at least 365 days of the last 2 years, not necessarily consecutive.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Homeless Individual: A qualifying homeless individual is an unaccompanied youth (17 years or younger) or an adult (18 years or older) without children.

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

Homeless Youth: The Consolidated Plan defines a Homeless Youth as follows: A qualifying homeless youth is an unaccompanied person 17 years of age or younger.

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

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

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

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

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

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

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

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

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

Income Type - For each category, the household's income is less than or equal to the maximum income level as defined below. Income definitions are based on Federal Fiscal Year 2009 Section 8 median family income limits, as determined by HUD for the New York, NY PMSA with adjustments for smaller and larger families and for areas with unusually high or low incomes or where needed because of prevailing levels of construction costs or fair market rents. According to HUD, the Federal FY 2009 Median Family Income for the New York, NY PMSA was \$61,700. (Please note: this income definition is for HUD's required table of housing assistance needs of low and moderate income households by household income category and housing problems by tenure, household type and race/ethnicity.) Very Low, Low and Moderate Income are defined as follows:

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

A household with an income less than or equal to 50 percent of the area's median family income. (Less than or equal to \$38,400 for a family of four, with adjustments for household size.) Two sub-groups (0 to 30% and 31 to 50% of MFI) are distinguished in the tables. The Very Lowest Income category, 0 to 30% MFI, includes households with incomes less than or equal to \$23,050 for a family of four. The 31 to 50% of MFI subgroup includes households with income greater than \$23,050 but less than or equal to \$38,400 for a family of four.

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

A household with an income greater than 50 percent and less than or equal to 80 percent of the area's median family income. (Greater than \$38,400 and less than or equal to \$61,450 for a family of four.)

MODERATE (81 TO 95% MFI)

A household with an income greater than 80 percent and less than or equal to 95 percent of the city's median family income. (Greater than \$61,450 and less than or equal to \$72,950 for a family of four.)

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

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

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

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

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

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

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

LIHTC: (Federal) Low Income Housing Tax Credit.

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

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

Low-Income: See Income Type.

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

Moderate Income: See Income Type.

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

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

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

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

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

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

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

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

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

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

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

Person with a disability: The Section 811 Supportive Housing for Persons with Disabilities Program defines a person with a disability as follows: A person shall be considered to have a disability if he or she has a developmental disability as defined in section 102(7) of the Development Disabilities Assistance and Bill of Rights Act (42 U.S.C. 6001.6006) if the person has a chronic disability which: 1) is attributable to a mental or physical impairment or combination of mental and physical impairments; 2) is manifested before the person attains twenty-two years of age; 3) is likely to continue indefinitely; 4) results in substantial functional limitation in three or more areas of major life activities including self-care, receptive and expressive language, learning, mobility, self-direction, capacity for independent living, economic self-sufficiency; and 5)

reflects the person's need for a combination and sequence of special, interdisciplinary or generic care, treatment or other services which are of lifelong or extended duration and are individually planned and coordinated. A persons may also be defined as having a disability if the person has a chronic mental illness, i.e. a severe and persistent mental or emotional impairment that seriously limits the persons ability to live independently, and which impairment could be improved by more suitable housing conditions. The term may also apply to a person infected with the human acquired immunodeficiency virus (HIV) and a person who suffers from alcoholism or drug addiction, provided the person meets the definition as provided in Section 811 (42 U.S.C. 8013(k)(2)). A person whose sole impairment is a diagnosis of HIV positive or alcoholism or drug addiction who does not meet Section 811 (42 U.S.C. 8013(k)(2)) qualifying criteria is not considered eligible for the Section 811 Supportive Housing program.

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

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

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

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

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

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

Public Housing CIAP: Public Housing Comprehensive Improvement Assistance Program.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Very Low Income: See Income Type.

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

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

Appendix 2:

ABBREVIATIONS AND ACRONYMS

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

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

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

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

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

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

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

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

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

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

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

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

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

APPENDIX 3:

MAPS

1. Community Development Eligible Census Tracts

The attached revised Community Development Block Grant Eligibility maps show those 2000 census tracts in which Community Development (CD) funds may be used for an activity, the benefits of which are available to all the residents in a particular area, where at least 51% of the residents are low- and moderate-income persons ("CD area benefit" or "CD eligible area") according to the 2000 Census. Low- and moderate-income persons are defined as persons living in households with incomes below 80 percent of the median household income (\$47,100 for a 4-person household in 2000) of the Primary Metropolitan Statistical Area (PMSA), which includes the five boroughs, and Putnam County.

The U.S. Department of Housing and Urban Development (HUD) released the revised New York City CD Eligible Census Tracts data based on the 2000 Census at the end of March 2007. The revised data supersedes the CD Eligible Census Tract data for New York City originally released in February 2003. As a result of the data revision, the City of New York has generated updated CD Eligible Census Tract maps to replace the maps previously created in March 2003.

The revisions to the CD Eligible Census Tract data are the result of changes in the metropolitan area definitions used to calculate HUD median family income limits and estimates. The new definitions are based on the current U.S. Office of Management and Budget metropolitan statistical area (MSA) definitions.

HUD encouraged local municipalities which receive Community Development Block Grant funds to begin using the new data to determine area eligibility as early as possible. The City of New York began to use the revised 2000 Census data to determine CD area eligibility commencing with City Fiscal Year 2008 (CFY08) CD-funded activities, which began July 1, 2007.

Therefore, City Agencies and not-for-profit organizations who intend to request CD monies to fund area wide activities which will be undertaken in the current and future City Fiscal Years should use the updated 2000 Census Tract Eligibility data to determine their respective programs' area eligibility.

2. Minority Population

The attached Minority Population maps depict the percentages of the City's minority population¹ within 2000 census tracts by three (3) intervals: 1) greater than or equal to 85 percent minority population; 2) 65 to 84.9 percent; and 3) Less than 65 percent.

The percentage of minority population within the census tracts was computed by dividing the balance of the respective tract's non-White population (total number of persons of all races less White, non-Hispanic persons) by its total population.

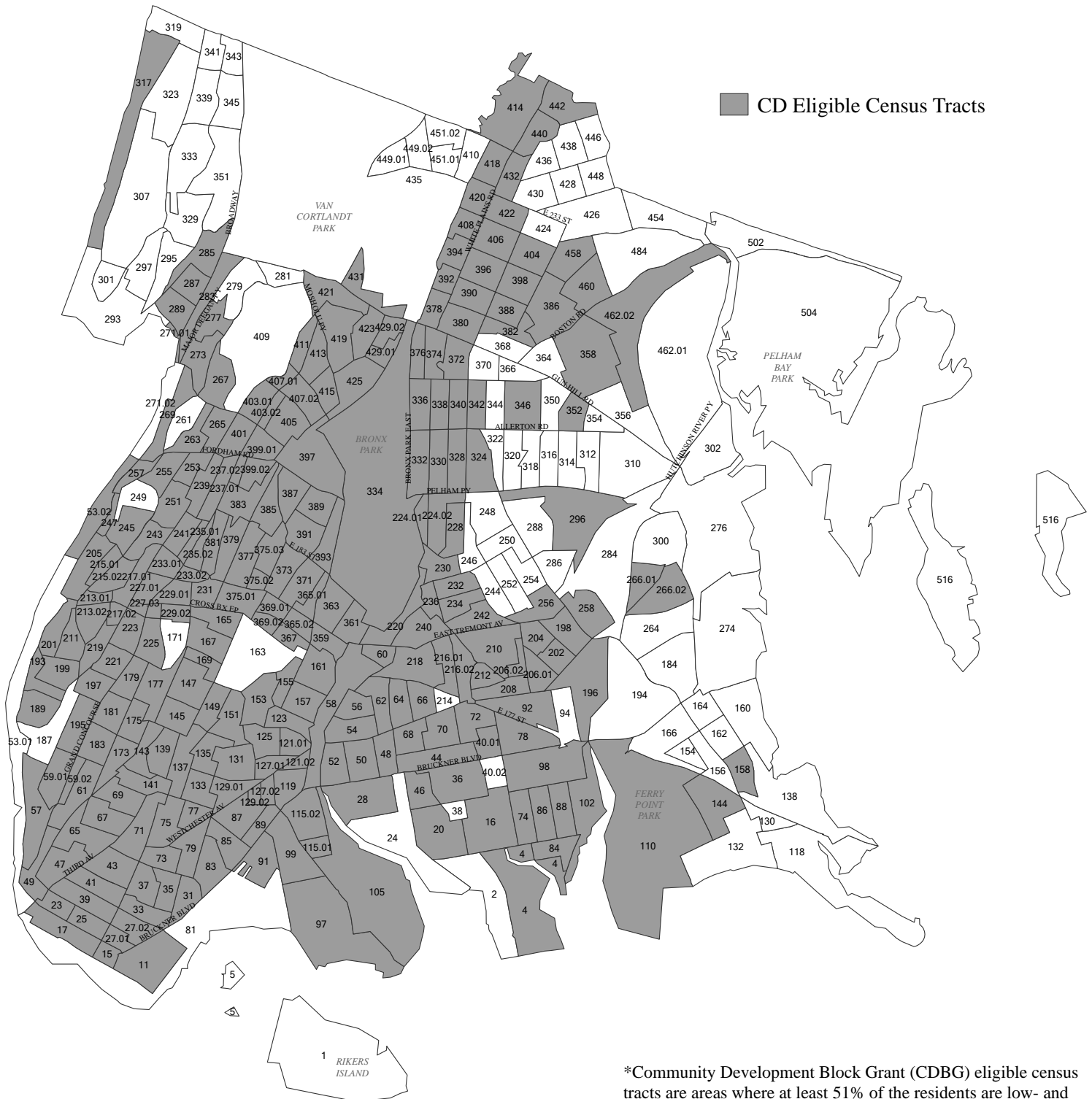
In addition to enumerating persons as White, non-Hispanic for the 2000 Census, the U.S. Census Bureau expanded and refined its previously existing race categories to enumerate persons as: American Indian or Alaska Native; Asian; Black or African-American, Native Hawaiian or Other Pacific Islander; some other

¹Minority Population excludes White, non-Hispanic persons.

(single) race not previously reported; two or more races; and, persons of Hispanic origin (of any race). The data depicted represents persons who comprise these categories.

Community Development Eligible Census Tracts*

The Bronx, 2000

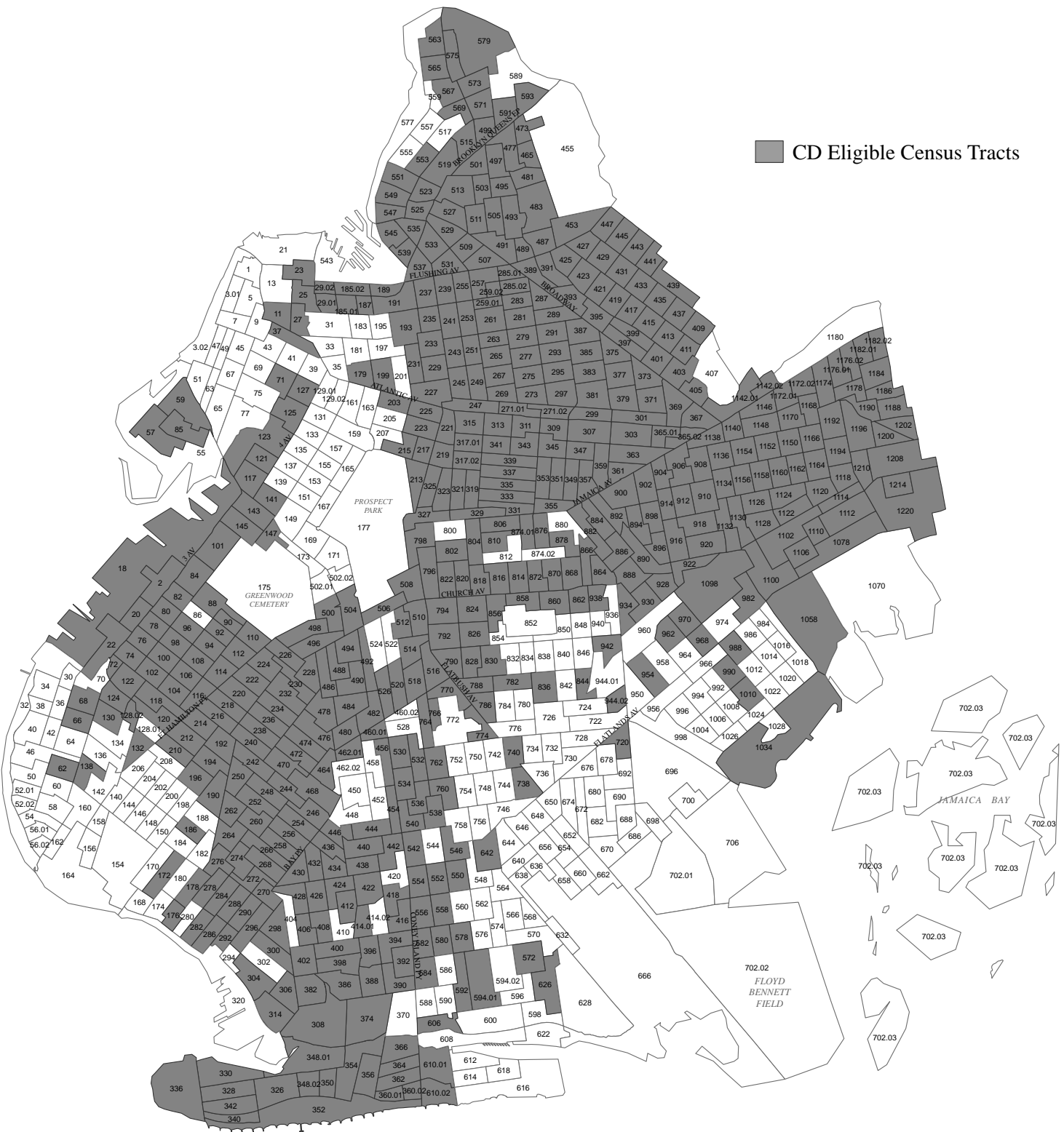


*Community Development Block Grant (CDBG) eligible census tracts are areas where at least 51% of the residents are low- and moderate-income persons (less than 80% of the 2000 Census Median Family Income, or \$47,100 for a family of four).

Source: U.S. HUD Estimates based on 2000 Census SF3
Population Division - New York City Department of City Planning

Community Development Eligible Census Tracts*

Brooklyn, 2000

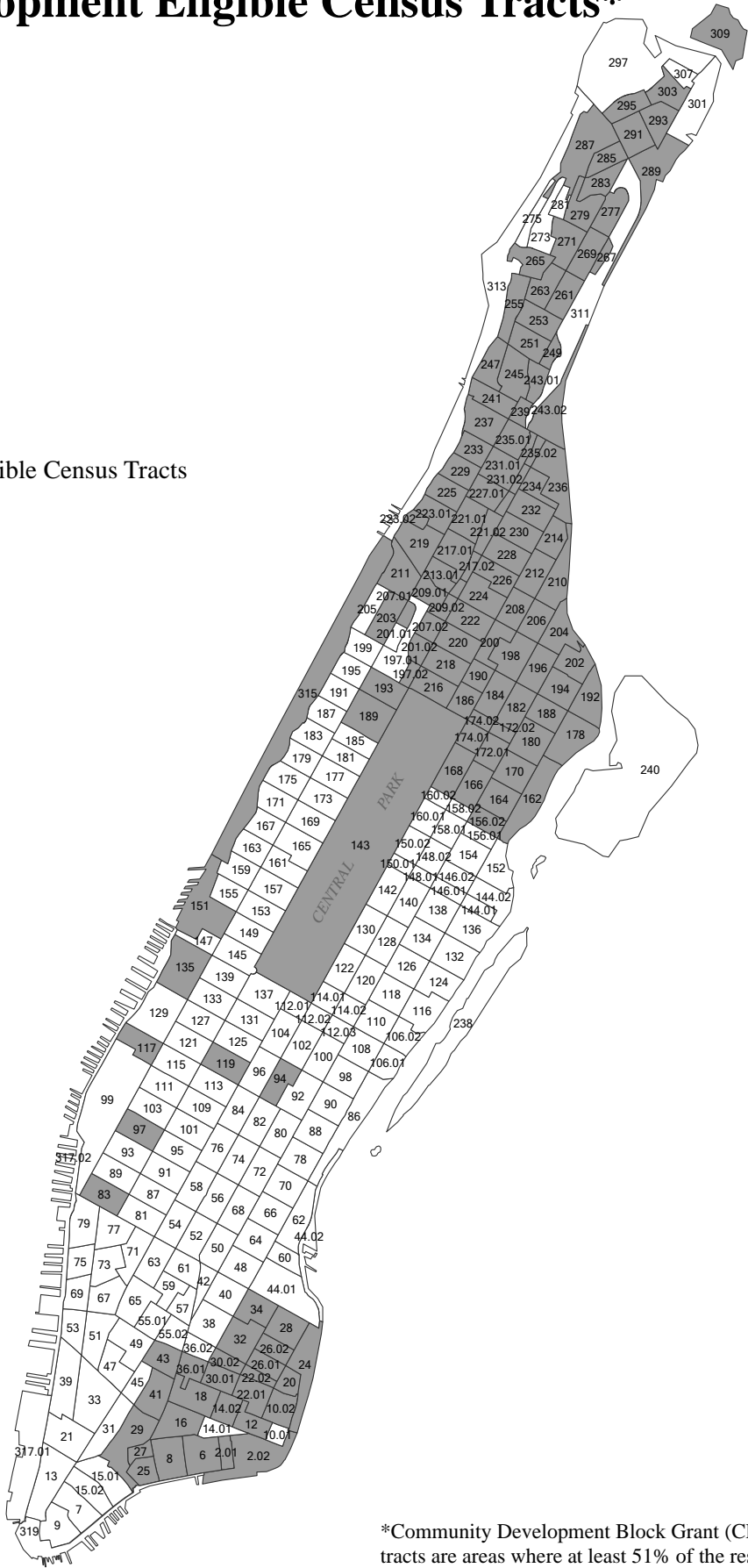


*Community Development Block Grant (CDBG) eligible census tracts are areas where at least 51% of the residents are low- and moderate-income persons (less than 80% of the 2000 Census Median Family Income, or \$47,100 for a family of four).

Source: U.S. HUD Estimates based on 2000 Census SF3
Population Division - New York City Department of City Planning

Community Development Eligible Census Tracts* Manhattan, 2000

CD Eligible Census Tracts

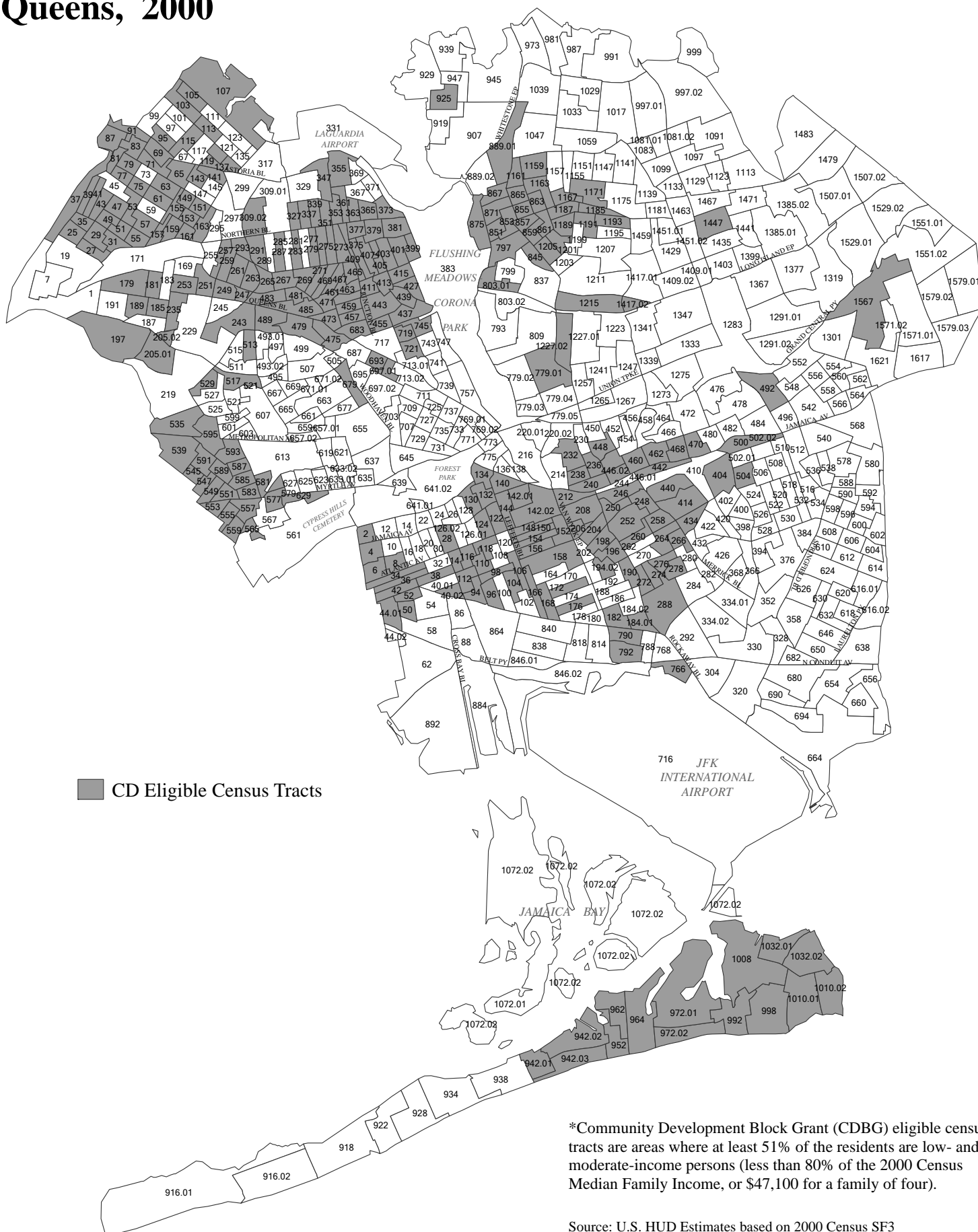


*Community Development Block Grant (CDBG) eligible census tracts are areas where at least 51% of the residents are low- and moderate-income persons (less than 80% of the 2000 Census Median Family Income, or \$47,100 for a family of four).

Source: U.S. HUD Estimates based on 2000 Census SF3
Population Division - New York City Department of City Planning

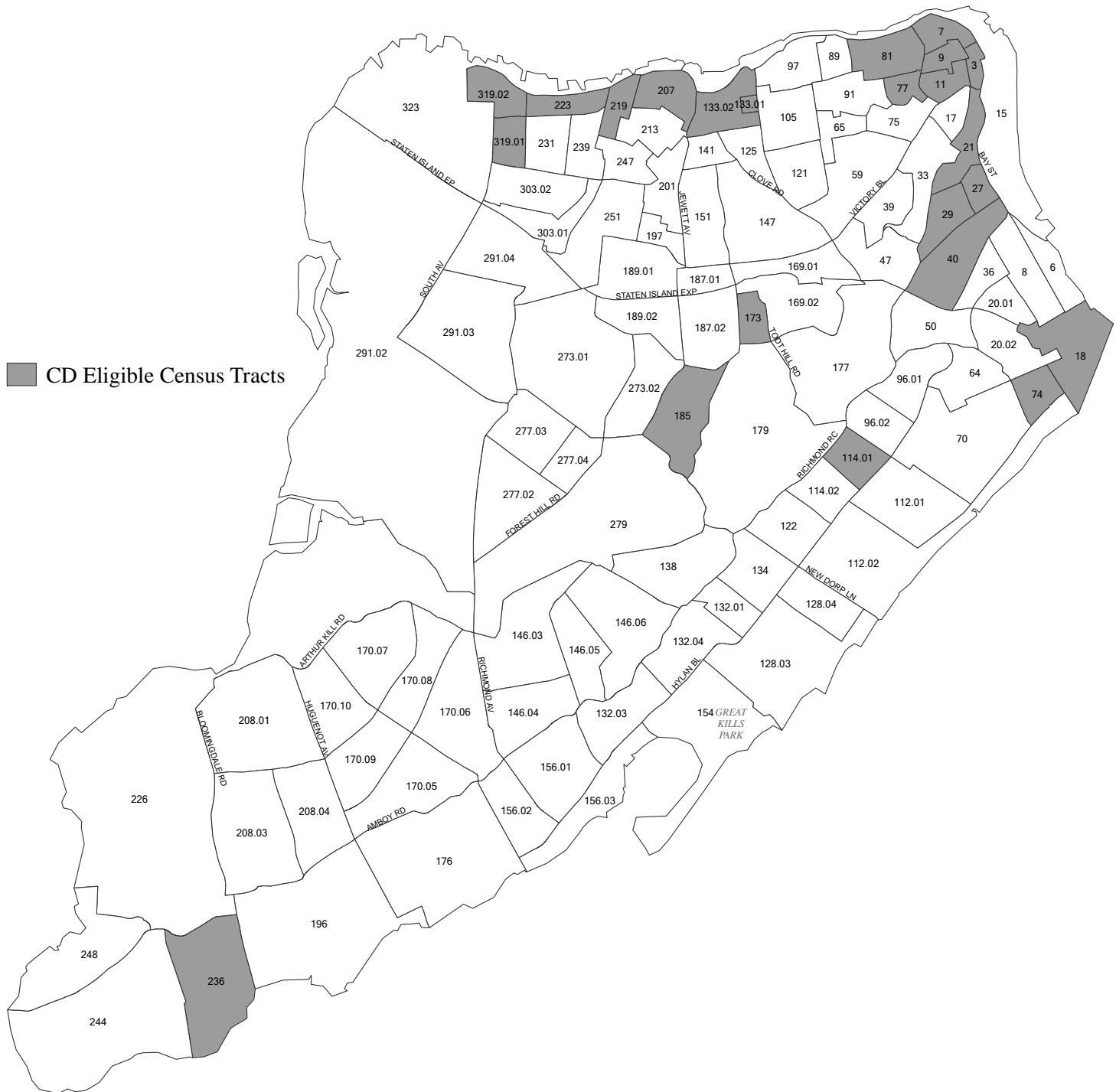
Community Development Eligible Census Tracts*

Queens, 2000



Community Development Eligible Census Tracts*

Staten Island, 2000



*Community Development Block Grant (CDBG) eligible census tracts are areas where at least 51% of the residents are low- and moderate-income persons (less than 80% of the 2000 Census Median Family Income, or \$47,100 for a family of four).

Source: U.S. HUD Estimates based on 2000 Census SF3
Population Division - New York City Department of City Planning

Minority Population*

As a Percent of Total Population by Census Tracts

The Bronx, 2000

Percent Minority Population

- 85.0 and over
- 65.0 to 84.9
- Less than 65.0

* Excludes white alone nonhispanic persons



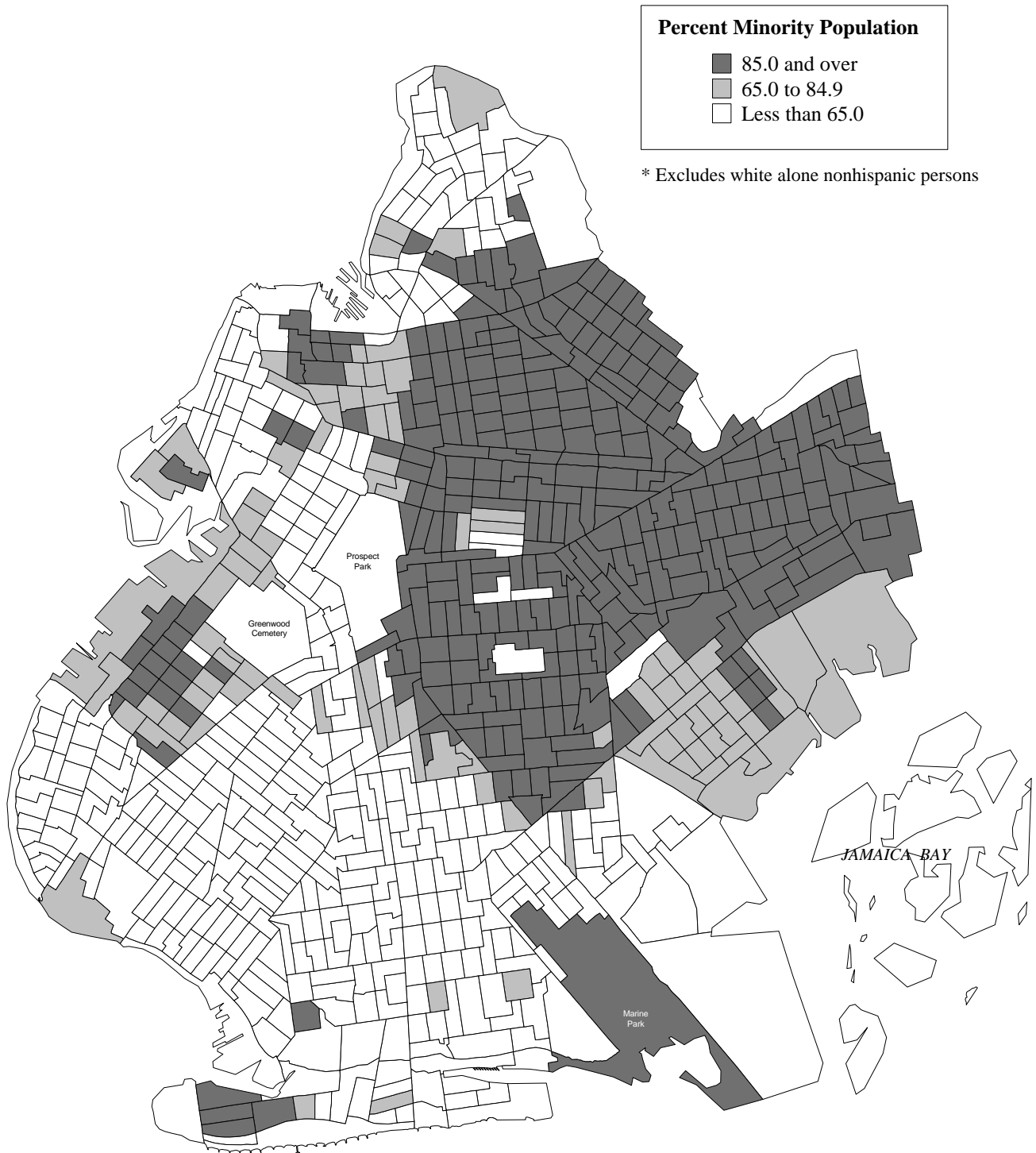
NEITHER THE NEW YORK CITY DEPARTMENT OF CITY PLANNING NOR ANY OTHER AGENCY OR DEPARTMENT OF THE CITY OF NEW YORK SHALL BE RESPONSIBLE FOR ANY DAMAGES CONSEQUENTIAL OR ACTUAL, ARISING OUT OF OR IN CONNECTION WITH THE USE OF THIS MAP.

Minority Population*

As a Percent of Total Population

by Census Tracts

Brooklyn, 2000



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

Minority Population*

As a Percent of Total Population

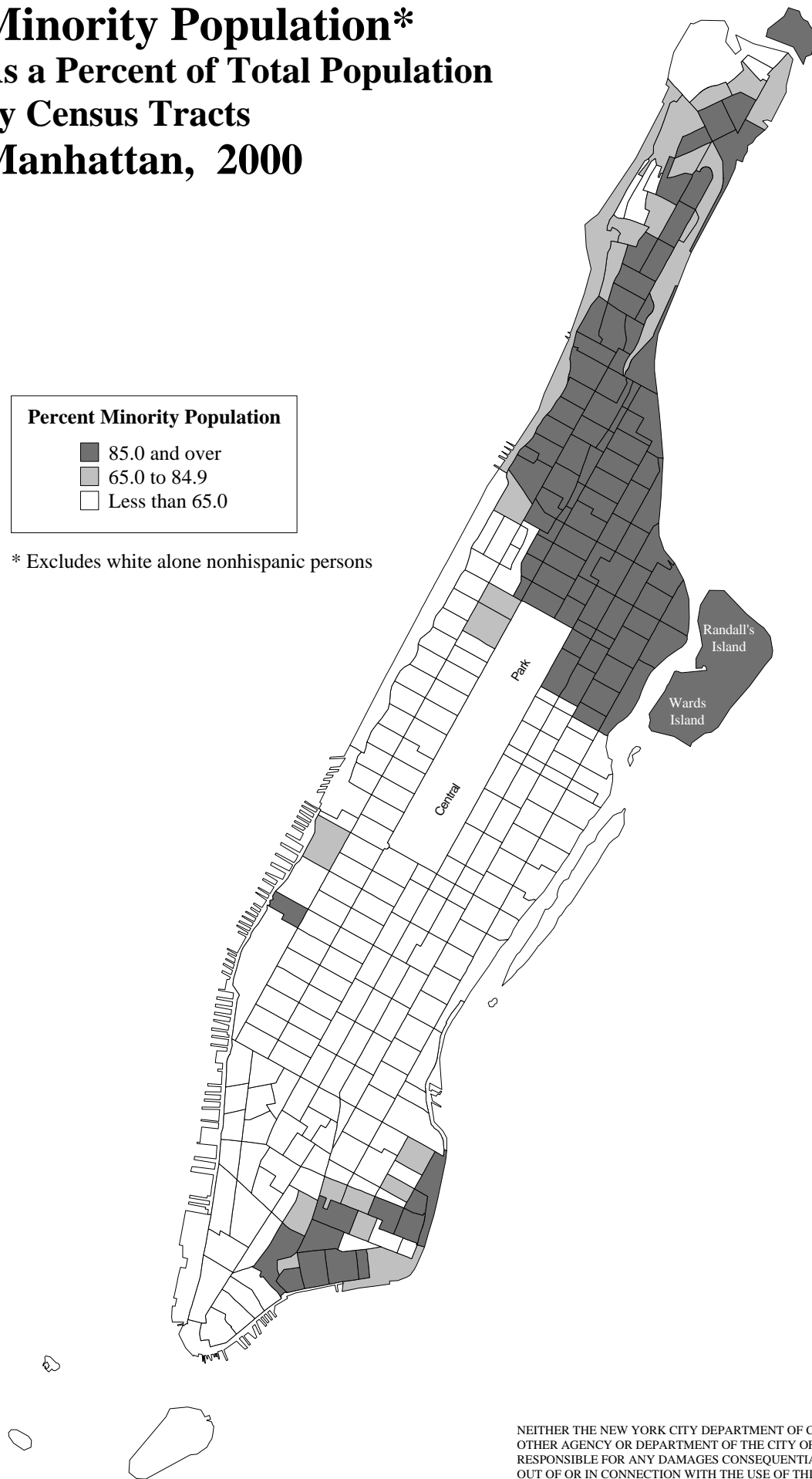
by Census Tracts

Manhattan, 2000

Percent Minority Population

- 85.0 and over
- 65.0 to 84.9
- Less than 65.0

* Excludes white alone nonhispanic persons



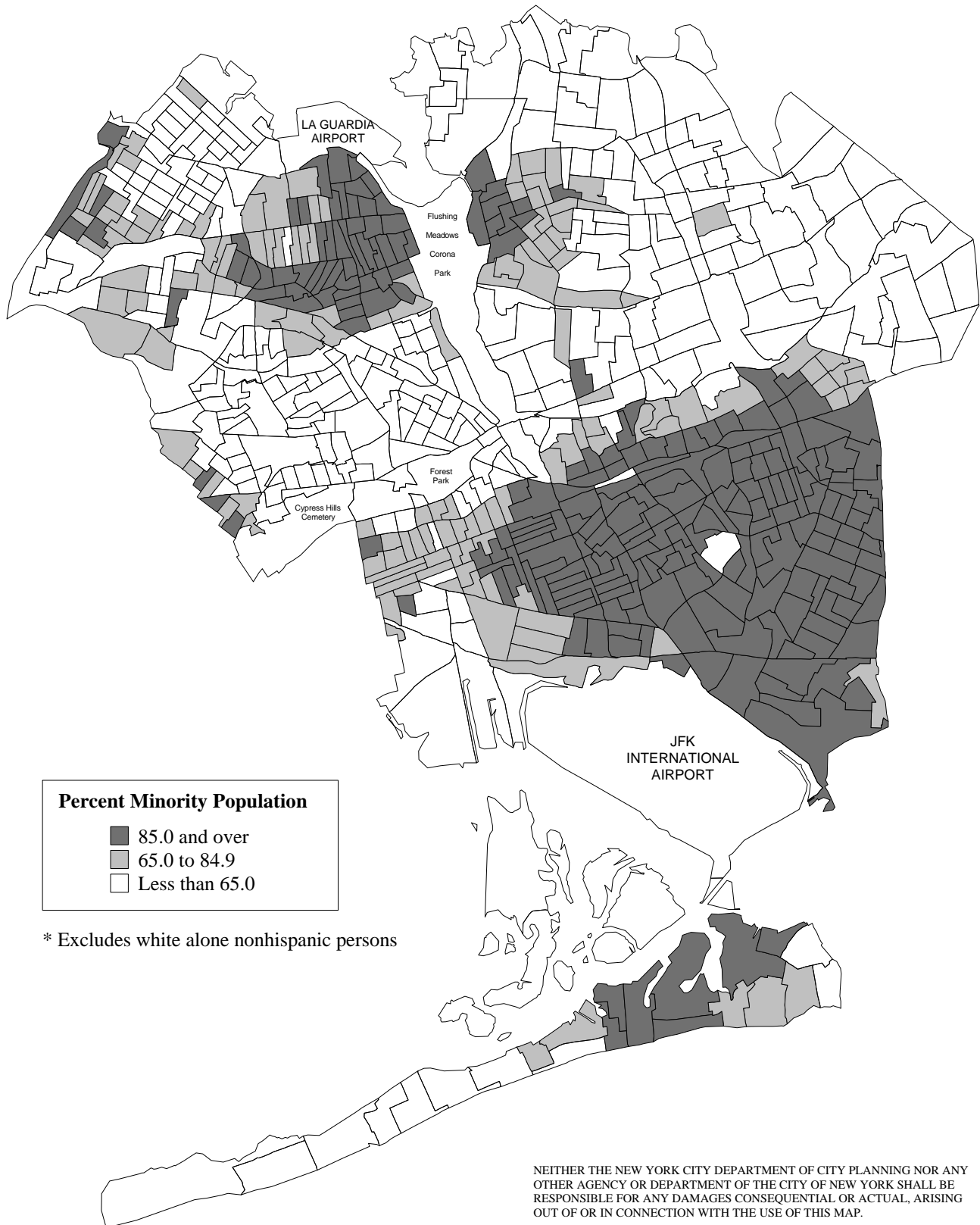
NEITHER THE NEW YORK CITY DEPARTMENT OF CITY PLANNING NOR ANY OTHER AGENCY OR DEPARTMENT OF THE CITY OF NEW YORK SHALL BE RESPONSIBLE FOR ANY DAMAGES CONSEQUENTIAL OR ACTUAL, ARISING OUT OF OR IN CONNECTION WITH THE USE OF THIS MAP.

Minority Population*

As a Percent of Total Population

by Census Tracts

Queens, 2000

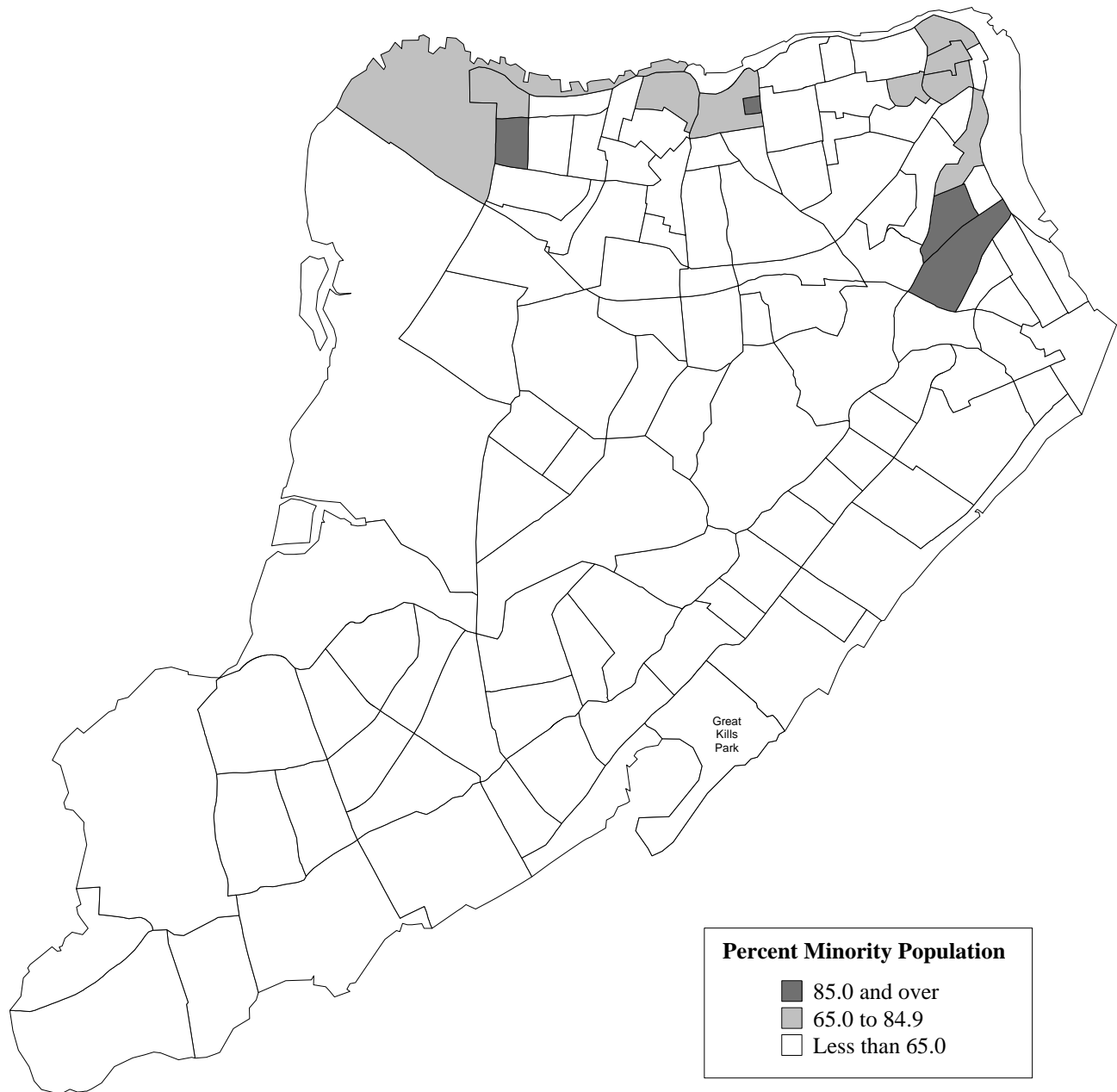


Minority Population*

As a Percent of Total Population

by Census Tracts

Staten Island, 2000



* Excludes white alone nonhispanic persons

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

APPENDIX 4:

DICTIONARY OF PROGRAM DESCRIPTION VARIABLES

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

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

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

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

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

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

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

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

Community Development Block Grant (CDBG)

Emergency Shelter Grant (ESG)

HOME Investment Partnerships (HOME)

American Dream Downpayment Initiative (ADDI)

Housing Opportunities for Persons with AIDS (HOPWA)

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

Public Housing Capital Fund Program

HOPE VI

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

Homeless Continuum of Care SuperNOFA

Supportive Housing

Section 8 Moderate Rehabilitation SRO

Shelter Plus Care Program

Brownfields/Economic Development Initiative (B\EDI)

Section 108 Loan Guarantee Program

Hope II - HPD Mutual Housing Assistance Program

Mainstream Housing Opportunities for Persons with Disabilities Program

Section 202 Supportive Housing for the Elderly

Section 811 Supportive Housing for the Disabled

Section 8 Certificates and Vouchers

(Section 8) Mainstream Housing Opportunities for Persons with Disabilities Program

Housing Opportunities for Persons with AIDS (HOPWA Program) – SPNS

Lead-Based Paint Hazard Control

STATE - Please refer to program description for additional information.

Affordable Homeownership Development Program

Homeless Housing and Assistance Program

Low Income Housing Tax Credit

Low Income Housing Trust Fund Program

Public Housing Modernization

RESTORE Program

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

Article 8, 8A, & 11 of Private Finance Law

City Capital

City Expense

City Property Tax Abatement

City Property Tax Exemption

City Tax-Exempt Bond

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

Not-for-Profit
Private Capital
Private Expense

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

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

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

Acquisition and Disposition

01 Acquisition

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

02 Disposition

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

Public Facilities and Improvements

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

03 Public Facilities and Improvements

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

03A Senior Centers

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

03B Centers for the Disabled/Handicapped

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

03C Homeless Facilities (Not Operating Costs)

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

03D Youth Centers/Facilities

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

03E Neighborhood Facilities

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

03F Parks, Recreational Facilities

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

03G Parking Facilities

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

03H Solid Waste Disposal Facilities

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

03I Flood and Drainage Facilities

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

03J Water/Sewer Improvements

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

03K Street Improvements

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

03L Sidewalks

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

03M Child Care Centers/Facilities for Children

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

03N Tree Planting

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

03O Fire Station/Equipment

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

03P Health Facilities

This activity includes both physical and mental health facilities.

03Q Abused and Neglected Children's Facilities

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

03R Asbestos Removal

The primary goal of this category is to remove asbestos.

03S Facilities for AIDS Patients (Not Operating Costs)

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

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

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

Public Services

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

05 Public Services (General)

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

05A Senior Services

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

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

Indicate services for persons with disabilities, regardless of age.

05C Legal Services

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

05D Youth Services

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

05E Transportation Services

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

05F Substance Abuse Services

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

05G Battered and Abused Spouses

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

05H Employment Training

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

05I Crime Awareness/Prevention

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

05J Fair Housing Activities

Fair housing services include counseling on housing discrimination.

05K Tenant/Landlord Counseling

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

05L Child Care Services

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

05M Health Services

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

05N Abused and Neglected Children

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

05O Mental Health Services

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

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

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

05Q Subsistence Payments

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

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

05R Homeownership Assistance (Not Direct)

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

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

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

05T Security Deposits

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

Housing

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

12 Construction of Housing

This activity indicates the construction of new housing.

13 Direct Homeownership Assistance

Homeownership assistance provided under the HOME program.

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

14A Rehabilitation: Single-Unit Residential

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

14B Rehabilitation: Multi-Unit Residential

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

14C Public Housing Modernization

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

14D Rehabilitation: Other Publicly Owned Residential Buildings

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

14F Energy Efficiency Improvements

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

14G Acquisition For Rehabilitation

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

14H Rehabilitation Administration

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

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

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

16A Residential Historic Preservation

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

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

17A Commercial/Industrial Land Acquisition/Disposition

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

17B Commercial/Industrial Infrastructure Development

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

17C Commercial/Industrial Building Acquisition, Construction, Rehabilitation

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

17D Other Commercial/Industrial Improvements

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

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

14E Rehabilitation: Publicly or Privately Owned Commercial/Industrial

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

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

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

18B ED Direct: Technical Assistance

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

18C Micro-Enterprise Assistance

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

General Administrative and Planning Costs

20 Planning

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

21A General Program Administration

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

21B Indirect Costs

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

21C Public Information

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

21D Fair Housing Activities

Fair housing activities include General Program Administration activities.

21E Submissions or Applications for Federal Programs

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

21H HOME Administrative/Planning Costs of Participating Jurisdiction

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

21I HOME CHDO Operating Expenses

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

Other

04 Clearance and Demolition

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

04A Clean-up of Contaminated Sites/Brownfields

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

06 Interim Assistance

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

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

07 Urban Renewal Completion

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

08 Relocation

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

09 Loss of Rental Income

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

10 Removal of Architectural Barriers

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

11 Privately Owned Utilities

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

15 Code Enforcement

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

16B Non-Residential Historic Preservation

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

19C CDBG Non-Profit Organization Capacity Building

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

19D CDBG Assistance to Institutions of Higher Education

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

19E CDBG Operation and Repair of Foreclosed Property

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

19F Repayments of Section 108 Loan Principal

Indicates repayment of principal for a Section 108 Loan Guarantee.

22 Unprogrammed Funds

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

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

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

RENTER SMALL RELATED

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

RENTER LARGE RELATED

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

ALL OTHER RENTER HOUSEHOLD TYPES

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

Homeless Households

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

HOMELESS FAMILY WITH CHILDREN

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

HOMELESS FAMILY WITHOUT CHILDREN

A qualifying homeless family with 2 or more persons.

HOMELESS INDIVIDUAL

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

HOMELESS YOUTH

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

Homeowner Households**HOMEOWNER EXISTING**

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

HOMEOWNER FIRST-TIME

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

SPECIAL NEEDS POPULATIONS

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

OTHER

Please refer to program description.

N/A

Not Applicable

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

(Income definitions are based on Federal Fiscal Year 2009 Section 8 Median Family Income (MFI) for New York City which is \$61,700.)

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

A household with an income less than or equal to 50 percent of the area's median family income (Defined as less than or equal to \$38,400 for a family of four, or less than or equal to \$26,900 for a single person household.)

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

A household with an income greater than 50 percent and less than or equal to 80 percent of the City's median family income. (Defined as greater than \$38,400 and less than or equal to \$61,450 for a family of four; and greater than \$26,900 and less than or equal to \$43,000 for a single person household.)

MODERATE (81 to 95% MFI)

A household with an income greater than 80 percent or less than or equal to 95 percent of the City's median family income. (Defined as greater than \$61,450 or as less than or equal to \$72,950 for a family of four.)

OTHER MODERATE (96 to 133% MFI)

A household with an income greater than 95 percent or less than or equal to 133 percent of the City's median family income. (Defined as greater than \$72,950 or as less than or equal to \$102,100 for a family of four.)

ABOVE MODERATE (Greater than 134% MFI)

A household with an income greater than or equal to 134 percent of the City's median family income. (Defined as greater than \$102,100 for a family of four.)

LIMITED CLIENTELE

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

SLUMS AND BLIGHT AREA

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

- a) The area, delineated by the recipient, meets a definition of a slum, blighted, deteriorated or deteriorating area under State or local law;
- b) Throughout the area there is a substantial number of deteriorated or deteriorating buildings or the public improvements are in a general state of deterioration;

- c) Documentation is maintained by the recipient on the boundaries of the area and the condition which qualified the area at the time of its designation; and
- d) The assisted activity addresses one or more of the conditions which contributed to the deterioration of the area. Rehabilitation of residential buildings carried out in an area meeting the above requirements will be considered to address the area's deterioration only where each such building rehabilitation is considered substandard under local definition before rehabilitation, and all deficiencies making a building substandard have been eliminated if less critical work on the building is undertaken. At a minimum, the local definition for this purpose must be such that buildings that it would render substandard would also fail to meet the housing quality standards for the Section 8 Housing Assistance Payments Program-Existing Housing.

LOW/MODERATE AREA

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

LOW/MODERATE HOUSING

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

LOW/MODERATE JOBS

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

SLUM/BLIGHT URBAN RENEWAL

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

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

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

SLUM/BLIGHT SPOT

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

URGENT NEED

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

N/A

Not Applicable

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

(DH) DECENT HOUSING

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

(SL) SUITABLE LIVING ENVIRONMENT

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

(EO) CREATING ECONOMIC OPPORTUNITIES

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

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

1 (Availability/)/Accessibility

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

2 Affordability

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

3 Sustainability (Promoting Living or Viable Communities)

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

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

DH-1 Accessibility for the purpose of providing Decent Affordable Housing

DH-2 Affordability for the purpose of providing Decent Affordable Housing

DH-3 Sustainability for the purpose of providing Decent Affordable Housing

SL-1 Accessibility for the purpose of creating Suitable Living Environments

SL-2 Affordability for the purpose of creating Suitable Living Environments

SL-3 Sustainability for the purpose of creating Suitable Living Environments

EO-1 Accessibility for the purpose of creating Economic Opportunities

EO-2 Affordability for the purpose of creating Economic Opportunities

EO-3 Sustainability for the purpose of creating Economic Opportunities
NA Not Applicable
NI Not Applicable/No Suitable Indicator

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

1) Public facility or infrastructure activities

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

2) Public service activities

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

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

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

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

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

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

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

6) New rental units constructed per project or activity

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

7) Rental units rehabilitated

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

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

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

9) Owner occupied units rehabilitated or improved

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

10) Direct Financial Assistance to homebuyers

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

11) Tenant-Based Rental Assistance (TBRA)

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

12) Number of homeless persons given overnight shelter

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

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

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

14) Homelessness Prevention

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

15) Jobs created

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

16) Jobs retained

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

17) Businesses assisted

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

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

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

N/A Not Applicable

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

Appendix 5:

Editors Note: The page numbers indicated below correspond to the page number as found the published version of the Proposed 2010 Consolidated Plan released to the public on October 8, 2009. Due to formatting changes as a result of converting from Microsoft Access to Adobe PDF format, the programmatic variable data and program description for several of the programs may not be located on the pages indicated. However, the actual information contained in the Description of Program Variables and Description of Programmatic Activities sections remains unchanged.

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<u>Program Names</u>	<u>Variables Chart</u>	<u>Description</u>
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Appendix 6:

Resources for Prospective Homebuyers

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

<http://www.nychome.org>

The web site is designed to assist all persons interested in homeownership, financing, counseling and equal access to housing. From deciding on a neighborhood to figuring out how much you can afford to pay, this site is a guide to assist New Yorkers through the steps to becoming a New York City homeowner.

A summary of the topics covered on the web site include the following useful information and resources:

Investing in NYC

Tax Advantages

Building Wealth

Why New York City?

What New York City Offers

- Culture and Leisure
- Education
- Hospitals and Healthcare
- Transportation
- Neighborhood Living

What Can I Afford?

Neighborhoods

Manhattan

- Harlem

The Bronx

- Melrose
- Bedford Park
- Belmont

Brooklyn

- Bedford-Stuyvesant
- Sunset Park
- Bath Beach
- Red Hook
- East New York
- Madison
- Kensington

- Boerum Hill
- Prospect Heights
- Gerritsen Beach
- Queens**
- Forest Hills/Rego Park
- Kew Gardens/North Richmond Hills
- The Rockaways
- Cambria Heights
- Broadway-Flushing
- College Point
- Jackson Heights
- Ozone Park
- Staten Island**
- Port Richmond
- Manor Heights

The Buying Process

- Job History, Credit, and Savings
- Homeownership Expenses
- What Type of Property?
- Finding Available Properties
- Questions to Ask
- Mortgages
- Mortgage Brokers
- Online Mortgages
- Mortgage Costs
- Predatory Lenders
- What Lenders Look For
- Mortgage Applications
- Finding an Attorney
- Homeowner's Insurance
- Engineer's Report
- Signing the Contract

Buyer Resources

- Tax Benefits
- NYC HPD
- Fannie Mae
- Veterans Administration
- NYPD Home
- Neighborhood Housing Services
- Mortgage Coalition
- Habitat for Humanity

HUD

- Additional Resources

Owner Resources

- NYC HPD

- Fannie Mae
- Neighborhood Housing Services
- HUD
- Additional Resources

Property Listings

Appendix 7:

CITY OF NEW YORK RESPONSES TO QUESTIONNAIRE FOR HUD'S INITIATIVE ON REMOVAL OF REGULATORY BARRIERS, PART A., LOCAL JURISDICTIONS

The City of New York provided to public, private and not-for-profit entities submitting applications for competitive grant funds under the 2009 HUD SuperNOFA (Notice of Funding Availability) process a unified response to the Department's "Questionnaire for HUD's Initiative on Removal of Regulatory Barriers". The Questionnaire was incorporated into the point scoring system for several HUD competitive grant programs under the grant application's section: Removal of Regulatory Barriers to Affordable Housing. Higher points were available to (1) governmental applicants that are able to demonstrate successful efforts in removing regulatory barriers to affordable housing and (2) nongovernmental applicants that are associated with jurisdictions that have undertaken successful efforts in removing barriers.

The City's unified response to the Questionnaire's Part A., Local Jurisdictions, Counties Exercising Land Use and Building Regulatory Authority and Other Applicants Applying for Projects Located in such Jurisdiction or Counties, was formulated by the Department of City Planning, Department of Housing Preservation and Development and the Department of Buildings, each providing information on their respective department's area of expertise in an effort to provide one-stop, consistent responses with supporting references and/or data to prospective applicants. In May 2008, the responses on the Questionnaire and Supplement: References were updated to reflect New York City's adoption of the International Building Code (IBC) as the basis for its Building Code. The updated Questionnaire and Supplement have been incorporated into the City's proposed 2010 Consolidated Plan.

The unified response was made available to prospective SuperNOFA applicants upon request or after they were informed of its availability when the applicant requested a Certification of Consistency with the Consolidated Plan from the certifying City agency.

- Form HUD-27300., *Questionnaire for HUD's Initiative on Removal of Regulatory Barriers, Part A., Local Jurisdictions, Counties Exercising Land Use and Building Regulatory Authority and Other Applicants Applying for Projects Located in such Jurisdiction or Counties;*
- Form HUD-27300 Supplement: *References*

America's Affordable Communities Initiative	U.S. Department of Housing and Urban Development	OMB approval no. 2535-0120 (exp. 06/30/2010)
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Public reporting burden for this collection of information is estimated to average 3 hours. This includes the time for collecting, reviewing, and reporting the data. The information will be used to encourage applicants to pursue and promote efforts to remove regulatory barriers to affordable housing. Response to this request for information is required in order to receive the benefits to be derived. This agency may not collect this information, and you are not required to complete this form unless it displays a currently valid OMB control number.

Questionnaire for HUD's Initiative on Removal of Regulatory Barriers

Part A. Local Jurisdictions. Counties Exercising Land Use and Building Regulatory Authority and Other Applicants Applying for Projects Located in such Jurisdictions or Counties [Collectively, Jurisdiction]

	1	2
1. Does your jurisdiction's comprehensive plan (or in the case of a tribe or TDHE, a local Indian Housing Plan) include a "housing element? A local comprehensive plan means the adopted official statement of a legislative body of a local government that sets forth (in words, maps, illustrations, and/or tables) goals, policies, and guidelines intended to direct the present and future physical, social, and economic development that occurs within its planning jurisdiction and that includes a unified physical plan for the public development of land and water. If your jurisdiction does not have a local comprehensive plan with a "housing element," please enter no. If no, skip to question # 4.	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes
2. If your jurisdiction has a comprehensive plan with a housing element, does the plan provide estimates of current and anticipated housing needs, taking into account the anticipated growth of the region, for existing and future residents, including low, moderate and middle income families, for at least the next five years?	<input type="checkbox"/> No	<input type="checkbox"/> Yes
3. Does your zoning ordinance and map, development and subdivision regulations or other land use controls conform to the jurisdiction's comprehensive plan regarding housing needs by providing: a) sufficient land use and density categories (multifamily housing, duplexes, small lot homes and other similar elements); and, b) sufficient land zoned or mapped "as of right" in these categories, that can permit the building of affordable housing addressing the needs identified in the plan? (For purposes of this notice, "as-of-right," as applied to zoning, means uses and development standards that are determined in advance and specifically authorized by the zoning ordinance. The ordinance is largely self-enforcing because little or no discretion occurs in its administration.). If the jurisdiction has chosen not to have either zoning, or other development controls that have varying standards based upon districts or zones, the applicant may also enter yes.	<input type="checkbox"/> No	<input type="checkbox"/> Yes
4. Does your jurisdiction's zoning ordinance set minimum building size requirements that exceed the local housing or health code or is otherwise not based upon explicit health standards?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No

<p>5. If your jurisdiction has development impact fees, are the fees specified and calculated under local or state statutory criteria? If no, skip to question #7. Alternatively, if your jurisdiction does not have impact fees, you may enter yes.</p>	<input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes
<p>6. If yes to question #5, does the statute provide criteria that sets standards for the allowable type of capital investments that have a direct relationship between the fee and the development (nexus), and a method for fee calculation?</p>	<input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes
<p>7. If your jurisdiction has impact or other significant fees, does the jurisdiction provide waivers of these fees for affordable housing?</p>	<input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes
<p>8. Has your jurisdiction adopted specific building code language regarding housing rehabilitation that encourages such rehabilitation through graduated regulatory requirements applicable as different levels of work are performed in existing buildings? Such code language increases regulatory requirements (the additional improvements required as a matter of regulatory policy) in proportion to the extent of rehabilitation that an owner/developer chooses to do on a voluntary basis. For further information see HUD publication: “<i>Smart Codes in Your Community: A Guide to Building Rehabilitation Codes</i>” (www.huduser.org/publications/destech/smartcodes.html)</p>	<input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes
<p>9. Does your jurisdiction use a recent version (i.e. published within the last 5 years or, if no recent version has been published, the last version published) of one of the nationally recognized model building codes (i.e. the International Code Council (ICC), the Building Officials and Code Administrators International (BOCA), the Southern Building Code Congress International (SBCI), the International Conference of Building Officials (ICBO), the National Fire Protection Association (NFPA)) without significant technical amendment or modification. In the case of a tribe or TDHE, has a recent version of one of the model building codes as described above been adopted or, alternatively, has the tribe or TDHE adopted a building code that is substantially equivalent to one or more of the recognized model building codes?</p> <p>Alternatively, if a significant technical amendment has been made to the above model codes, can the jurisdiction supply supporting data that the amendments do not negatively impact affordability.</p>	<input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes
<p>10. Does your jurisdiction’s zoning ordinance or land use regulations permit manufactured (HUD-Code) housing “as of right” in all residential districts and zoning classifications in which similar site-built housing is permitted, subject to design, density, building size, foundation requirements, and other similar requirements applicable to other housing that will be deemed realty, irrespective of the method of production?</p>	<input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes

11. Within the past five years, has a jurisdiction official (i.e., chief executive, mayor, county chairman, city manager, administrator, or a tribally recognized official, etc.), the local legislative body, or planning commission, directly, or in partnership with major private or public stakeholders, convened or funded comprehensive studies, commissions, or hearings, or has the jurisdiction established a formal ongoing process, to review the rules, regulations, development standards, and processes of the jurisdiction to assess their impact on the supply of affordable housing?	<input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes
12. Within the past five years, has the jurisdiction initiated major regulatory reforms either as a result of the above study or as a result of information identified in the barrier component of the jurisdiction's "HUD Consolidated Plan?" If yes, attach a brief list of these major regulatory reforms.	<input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes
13. Within the past five years has your jurisdiction modified infrastructure standards and/or authorized the use of new infrastructure technologies (e.g. water, sewer, street width) to significantly reduce the cost of housing?	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes
14. Does your jurisdiction give "as-of-right" density bonuses sufficient to offset the cost of building below market units as an incentive for any market rate residential development that includes a portion of affordable housing? (As applied to density bonuses, "as of right" means a density bonus granted for a fixed percentage or number of additional market rate dwelling units in exchange for the provision of a fixed number or percentage of affordable dwelling units and without the use of discretion in determining the number of additional market rate units.)	<input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes
15. Has your jurisdiction established a single, consolidated permit application process for housing development that includes building, zoning, engineering, environmental, and related permits? Alternatively, does your jurisdiction conduct concurrent, not sequential, reviews for all required permits and approvals?	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes
16. Does your jurisdiction provide for expedited or "fast track" permitting and approvals for all affordable housing projects in your community?	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes
17. Has your jurisdiction established time limits for government review and approval or disapproval of development permits in which failure to act, after the application is deemed complete, by the government within the designated time period, results in automatic approval?	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes
18. Does your jurisdiction allow "accessory apartments" either as: a) a special exception or conditional use in all single-family residential zones or, b) "as of right" in a majority of residential districts otherwise zoned for single-family housing?	<input checked="" type="checkbox"/> No	<input type="checkbox"/> Yes
19. Does your jurisdiction have an explicit policy that adjusts or waives existing parking requirements for all affordable housing developments?	<input type="checkbox"/> No	<input checked="" type="checkbox"/> Yes
20. Does your jurisdiction require affordable housing projects to undergo public review or special hearings when the project is otherwise in full compliance with the zoning ordinance and other development regulations?	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No
Total Points:		

Questionnaire for HUD's Initiative on Removal of Regulatory Barriers
Part A. Local Jurisdictions, Counties Exercising Land Use and Building Regulatory Authority
and Other Applicants Applying for Projects Located in such Jurisdiction or Counties

Local Jurisdiction: The City of New York
Contact: Charles V. Sorrentino
New York City Consolidated Plan Coordinator
Address: NYC Department of City Planning (DCP)
22 Reade Street 4N
New York, N.Y. 10007
Telephone: 212-720-3337

#4. No.

The City of New York's zoning ordinance (the Zoning Resolution) does not set minimum building size requirements that exceed the local housing or health code.

#5. Yes.

As per questionnaire instructions, the City of New York does not have impact fees. Therefore, the response is Yes.

#6, and 7. Yes.

As stated in #5., The City of New York has no impact fee. Therefore, it is not necessary that there be a waiver for affordable housing or the establishment of state standards.

#8. Yes.

Some construction requirements are triggered based upon the percentage of work being performed. This is especially true for 1 & 2 family homes, but also applies to some work done on multiple dwellings.

Effective July 1, 2008 new applications for construction projects or rehabilitation or renovations to existing buildings may opt to use the new NYC Building Code. The new code will be mandated for new construction on July 1, 2009.

#9. Yes.

On July 3, 2007 the new NYC Construction Codes were signed into law by Mayor Bloomberg. The new codes which include a new Building Code that was modeled on the International Building Code and adapted for NYC, is familiar to industry professionals in New York State, New Jersey and jurisdictions within all 50 states.

Select administrative and enforcement provisions, as well as safeguards during construction and demolition are effective July 1, 2008 for all work performed (new construction or existing buildings). However, professionals have the option to use the remaining technical provision of the new codes until July 1, 2009 at which time they will be mandated for new construction.

#10. Yes.

The City regulations permit as-of-right use of manufactured housing. This product is widely used in the City's subsidized projects (e.g. Partnership New Homes Program).

#11. Yes.

In 1999, the Furman Center for Real Estate and Urban Policy at NYU (New York University) completed a study examining the cost of new housing construction in New York City. The study was commissioned by the New York City Partnership and Chamber of Commerce and the City of New York. The center updated their study of new housing construction in 2005. Reducing the Cost of New Housing Construction in New York analyzes affordability problems in New York City and compares the cost of construction in New York City to other large American cities. The study examines the factors and conditions in New York City that contribute to the high cost of housing and provides over 90 recommendations for government and the private sector to decrease the cost of housing construction. The study can be accessed at the Furman Center for Real Estate and Urban Policy's website, <http://www.law.nyu.edu/realestatecenter/index.html>.

#12. Yes

In 2003 a mayoral advisory committee recommended that New York City adopt the International Code Council's Building Code (IBC) as a model code to replace the current code which had not undergone a major overhaul in nearly 40 years. Over 400 NYC experts from labor, industry, and affordable housing volunteered 300,000 pro bono hours to tailor the code to meet NYC's unique needs. During testimony in favor of enacting the new codes, the New York State Association for Affordable Housing stated that there was nothing more important to affordable housing developers than efficiency and consistency.

#13. No.

#14. Yes.

The City of New York offers an as-of-right bonus through its Inclusionary Housing Program.

Please refer to the Zoning Resolution of the City of New York, Article II., Residence District Regulations., Chapter 3., Bulk Regulations for Residential Buildings in Residence Districts; II-R23-90 to 23-943: Inclusionary Housing to (Inclusionary Housing) Preservation Option; Article III., Commercial District Regulations., Chapter 4., Bulk Regulations for Residential Buildings in Commercial Districts; III-C34-221, III-C34-226, Exceptions to the Applicability of Residence District Controls; and Chapter 5., Bulk Regulations for Mixed (Use) Buildings in Commercial Districts; III-C35-31, Maximum Floor Area Ratio for Mixed Buildings, respectively. The Zoning Resolution may be accessed on the New York City Department of City Planning's website at www.nyc.gov/planning.

#15. No.

#16. No.

However, the NYC Department of Buildings does allow any building (residential or otherwise) to utilize its professional certification program, which can significantly reduce time frames.

#17. No.

#18. No.

The Zoning Resolution of the City of New York permits "accessory apartments" (as per HUD's definition) "as of right" in R3 through R10 zones. R3 to R10 residential zones encompass two-family houses through high-density

apartment buildings and represent the overwhelming majority of New York City residentially zoned land. The Zoning Resolution prohibits accessory apartments in its single-family residential zones (R1 and R2). However, R1 and R2 zones represent a small percentage residentially zoned land. The text of the Zoning Resolution may be accessed on the New York City Department of City Planning's website at www.nyc.gov/planning.

#19. Yes.

Please refer to the Zoning Resolution of the City of New York, Article II., Residence District Regulations., Chapter 5., Accessory Off-Street Parking and Loading Regulations; II-R25-25: Modification of Requirements for Public, Publicly-Assisted and Government Assisted Housing or for Non-Profit Residences for the Elderly which indicates the minimum required provision of parking spaces as a percentage of the total number of dwelling units for: 1) Publicly Assisted Housing; 2) Federal Rent Subsidy Programs; 3) Public Housing Developments or Dwelling Units for Low-Income Tenants; 4) Non-Profit Residences for the Elderly or Dwelling Units for the Elderly; and 5); Government Assisted Housing, respectively. The text of the Zoning Resolution may be accessed on the New York City Department of City Planning's website at www.nyc.gov/planning.

#20. No, As-of-Right. (DCP)

The City of New York does not require affordable housing projects to undergo public review or special hearing when the project is in full compliance with the City's zoning ordinance and other development regulations. For a brief review of what type of housing development and related activity would trigger the City's Uniform Land Use Review Procedure (ULURP), please refer to the 2007 Consolidated Plan; Volume 2., Part II., Other Actions; Section B., Relevant Public Policies and Barriers to Affordable Housing: Uniform Land Use Review Procedure. The 2007 Consolidated Plan may be accessed on the New York City Department of City Planning's website at www.nyc.gov/planning.

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