

# Proposed Consolidated Plan

Annual Performance Report 2009  
Volume I



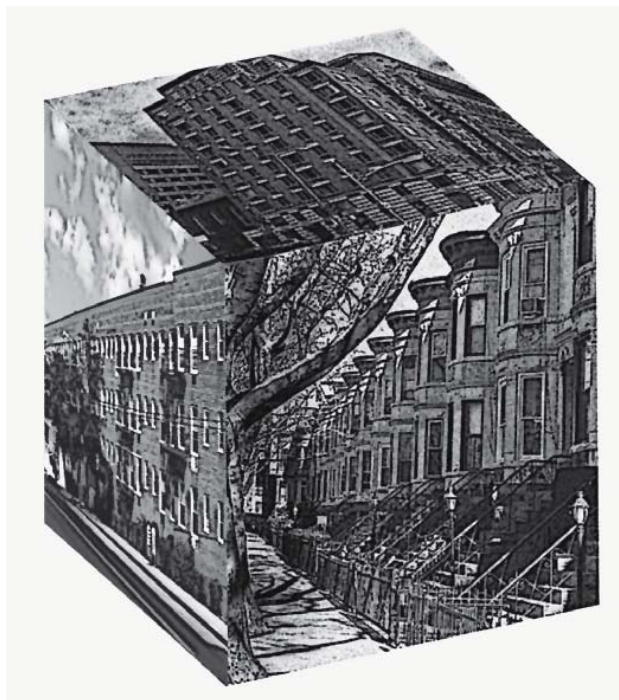
**NYC**<sup>TM</sup> PLANNING  
DEPARTMENT OF CITY PLANNING CITY OF NEW YORK

*Effective as of March 31, 2010*

# Proposed Consolidated Plan

2009

Annual Performance Report  
Volume I



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# Proposed 2009 Consolidated Plan Annual Performance Report (APR)

March 31, 2010

## VOLUME 1

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## PREFACE

This 2009 Proposed Consolidated Plan Annual Performance Report (APR) reports on the City of New York's performance in using the funds from the four U.S. Department of Housing and Urban Development's (HUD) Office of Community Planning and Development Entitlement Programs: Community Development Block Grant (CDBG); HOME Investment Partnerships (HOME); Emergency Shelter Grant (ESG); and Housing Opportunities for Persons with AIDS (HOPWA). The performance is based on funds received, committed and accomplishments made as reported in the 2009 Consolidated Plan whose program year was from January 1, 2009 to December 31, 2009.

Federal regulations require the City to submit an APR to HUD no later than 90 days after the end of the program year. This is the twelfth year the City of New York has used HUD's budgeting system called, the Integrated Disbursement and Information System (IDIS). As with the City's 1999 APR, the required elements of the 2009 APR come from the reports generated from IDIS. This document was submitted to HUD on March 31, 2010 as per federal requirements.

The public comment period was from March 12, 2010 to March 26, 2010. A letter announcing this comment period was sent to over 2,000 New York City residents, organizations, and public officials. In addition, the public comment period was announced in three local citywide newspapers, one English-language, one Spanish-language and one Chinese-language. However, no citizens' comments were received during the comment period.

Any questions on the content or substance of the *Proposed 2009 Consolidated Plan APR* should be directed to:

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Written comments on the *Proposed 2009 Consolidated Plan APR* should be sent to Mr. Sorrentino at the Department of City Planning, 22 Reade Street 4N, New York, New York 10007.

## INTRODUCTION

This Proposed 2009 Consolidated Plan Annual Performance Report (APR) reports on the performance of the four Entitlement Programs: Community Development Block Grant (CDBG); HOME Investment Partnerships (HOME); Emergency Shelter Grant (ESG) and Housing Opportunities for Persons with AIDS (HOPWA). The activities described occurred from January 1, 2009 to December 31, 2009.

This Report is a four-part document which contains a summary of the programmatic accomplishments for projects and evaluates New York City's performance in meeting its priorities and objectives.

Volume One contains Part I, Annual Performance in its entirety. Part I describes New York City's performance based on the resources available in 2009. Part II, Status of Actions Undertaken in Previous Year is divided between Volumes One and Two. The Status of Actions Undertaken in Previous Year summarizes the actions taken to implement the Plan. Volume One contains the One-Year Update to the City's Affirmatively Furthering Fair Housing (AFFH) Statement; and the Continuum of Care.

Volume Two contains the balance of the Status of Actions Undertaken in Previous Year; Part III, Evaluation of Annual Performance; and, Part IV, Citizen Participation, respectively. The Evaluation of Annual Performance assesses the City's effectiveness in meeting the one-year action plan for allocating the funds, assisting households and persons with housing, and providing other services. Citizen Participation includes the census tract maps of each borough which include the areas of directed assistance and other HUD requirements. Volume Two also includes the Appendix: HOPWA Project Sponsor Information.

There are five volumes of appendices. Volume III, has been divided into four volumes totaling over 1,000 pages. These four volumes include only data on the Community Development Block Grant Program and contain the "offline" information on site-specific expenditures, accomplishments and site lists. This data was too voluminous to enter into the Integrated Disbursement and Information System's (IDIS) limited accomplishments fields. To request a copy of Volumes II., II.A., II.B., and II.C., please call (212) 788-6152.

The last volume, Volume III, includes only the IDIS reports. The IDIS reports included in this Appendix are: seven reports reporting data on each of the Entitlement Programs; two reports on ESG data only; and three reports on HOME data only. Volume III (parts A, B and C) is approximately 500 pages, and will be provided upon request. Please call 212-720-3531 for this volume.

# **PART I -- Annual Performance for the 2009 Consolidated Plan**

Part I is divided into three sections: A. Assessment of Entitlement Programs; B. Other Funding Sources; and C. Progress in Providing Affordable Housing. These sections describe the City's allocation of the funds received from HUD, the State, private entities, and City capital and expense budgets to address the goals and objectives outlined in the 2005 five-year Consolidated Plan strategic plan. The programs designed to address the five-year Strategy are described in the 2009 Consolidated Plan Action Plan. There are approximately 100 housing, homeless, supportive housing, and community development programs. The City's intention is to provide decent housing, suitable living environments and expand economic opportunities for its residents. The funds allow for the provision of additional housing, homeless services, and supportive services to the inhabitants of New York and assists in meeting our goals to address the needs of the City's population, especially the low-income population.

## **A. Assessment of Entitlement Programs**

This is the twelfth year that the City is using HUD's Integrated Disbursement and Information System (IDIS) for reporting its performance for the CDBG, HOME, ESG, and HOPWA Programs. Since several IDIS reports are complicated and difficult for the general public to comprehend, the City has provided the essential information on each HUD Entitlement Program, in DCP Tables 1 - 11. Two tables which include the most essential variables are: 1) the Program Expenditures, and 2) Program Accomplishments Tables (a.k.a., DCP Tables # 1 and 2, respectively). These tables provide the information required by HUD. The IDIS reports required for public review are C04PR06 CP Annual Performance and Evaluation Report and C04PR23 Summary of Accomplishments. The reports are located in Volume III: HUD's Integrated Disbursement and Information System (IDIS) Reports. Volume III is approximately 200 pages, and will be provided upon request. Please call 212-720-3337 for this volume. A third report required for public review is the C04PR03 Summary of Activities. The Summary of Activities may be found in Volume II: CD Addenda. Please call (212) 788-6152 to obtain a copy. Only one copy of the Addenda and Appendices will be provided to each individual or organization.

It should be noted that at the end of 2009 HUD completed an upgrade to the IDIS reporting platform. However, as the result of system modifications, there were certain inconsistencies between the data entered by the formula entitlement grant administering agencies and the data presented on the various reports. Therefore, the reader is advised to interpret the data depicted in Volume III with caution. Furthermore, where necessary, the City of New York relied on its background data and not the data generated by the IDIS report.

This Volume, One, provides complete information on the City's 2009 performance with entitlement funds. This Assessment section defines the Entitlement funds received, allocated, committed and expended/drawn down/disbursed and accomplishments for the 2008 Consolidated Plan year, January 1, 2009 to December 31, 2009. It includes: assessment of progress in fulfilling the vision of five-year strategy; adjustments in funding; accomplishments; and nature and reasons for changes to program objectives. The City has reviewed, as it does every year, the progress made with the entitlement funds to address the priorities and objectives stated in the five-year strategy as described in the 2005 Consolidated Plan.

In addition, included is the second requirement which is to describe the adjustments made in each program's funding. Each agency that administers an entitlement grant has described the program differences, if any, between the allocation as indicated in the 2009 Consolidated Plan, and the actual funding amounts committed, and any differences in how the funds were expended/drawn down/disbursed. It should be noted the 2009 allocation for the proposed activities is based on the actual monies received by the respective formula grant programs for FFY2009. The actual programmatic allocations were incorporated into the amended 2009 Consolidated Plan. The amended plan was released in August 2009. The Program Expenditures Table (a.k.a., DCP Table # 1) lists all the expenditures by program.



For the Community Development Block Grant, HOME Investment Partnership, and Emergency Shelter Grant, each program's accomplishments is reported and the differences between the proposed, amended and the actual accomplishments were explained if the difference was greater than 25 percent. These proposed accomplishments, listed on Program Accomplishments Table (a.k.a., DCP Table #2), were reported in the Proposed 2009 Consolidated Plan and represent the City's estimation for the year, January 1, 2009 to December 31, 2009. The amended accomplishments reflect accomplishments funded by the actual HUD monies received for the respective formula grant programs for FFY2009. However, the accomplishments may have been completed with prior year funding, program income, accruals and disallowances.

In 2007, HUD released new annual performance reporting requirements for the Housing Opportunities for Persons with AIDS program which differed from the HUD Office of Community Planning and Development (CPD) annual performance reporting guidelines used in previous years to assess the provision of housing and supportive housing services to persons living with HIV/AIDS (PLWAs). The new reporting guidelines superseded DCP Tables 1 and 2 (Expenditures and Accomplishments, respectively) with a new HUD-defined accomplishment and expenditure chart, and required localities to assess their accomplishments based on HUD-defined client outcomes for achieving housing stability, reduced risks of homelessness and improved access to care. In addition, the assessment for the HOPWA program differs from previous APRs in that the accompanying HOPWA narrative and charts aggregates the data for New York City and the HOPWA programs of the upstate EMSA Counties of Putnam, Rockland and Westchester. Therefore, the reader is advised to please interpret the data with caution.

Additional income, race, and ethnicity information on the accomplishments for all four entitlement programs can be found in Section C., Progress in Providing Affordable Housing. Lastly, the agencies described any reasons for substantial changes to the program objectives. The definition of a substantial change can be found in the citizen participation section of the 2009 Consolidated Plan. Such a change is defined by a change in any site or area from one borough to another; the deletion or addition of an activity; and the reduction of greater than 50% of any total activity category of funding.

#### HUD Performance Outcome Measurement System

For the 2009 Consolidated Plan Program Year the City of New York was required to use the U.S. Department of Housing and Urban Development's Performance Outcome Measurement System. The Performance Outcome Measurement System was developed to enable HUD to collect and aggregate standardized performance data on entitlement-funded activities from all entitlement grantees nationwide for use in reporting to Congress on the effectiveness of its formula entitlement programs in meeting the Department's strategic objectives.

The outcome performance measurement system includes objectives, outcome measures and performance indicators that describe the intended outputs of the various entitlement funded activities. Formula entitlement grantees were required to categorize their respective grant program's activities by three (3) federally-defined objectives: creating Suitable Living Environment; providing Decent Affordable Housing; and Creating Economic Opportunities which, combined with the three (3) performance outcome categories, Accessibility/Availability; Affordability; and Sustainability, created nine (9) performance measurement statements. In addition to determining their respective entitlement program's performance outcome measurement, localities were required to collect and enter into the HUD Integrated Disbursement and Information System (IDIS) accomplishment data according to eighteen (18) federally-defined Performance Indicator categories. Performance Indicator categories encompass housing construction and rehabilitation, public services and facilities, business/economic development, and homelessness prevention-related activities.

In the fall of 2006 the City of New York implemented HUD's Performance Outcome Measurement System in preparation for its 2007 Consolidated Program Year-funded activities. Beginning January 1, 2007 the City began collecting data on its programs according to the nine (9) federally-defined performance measurement statements and intended to report on Performance Indicator data in its Proposed 2007 Consolidated Plan Annual Performance Report for the 2007 Program Year's activities (the first full year of collecting Performance Indicator data). However, as mentioned previously there are various report regeneration inconsistencies within

the IDIS system. Therefore, until the IDIS reports with the necessary Performance Indicators accomplishment data become available, the City of New York has formulated its APR for the entire 2009 Consolidated Plan Program Year using the reporting requirements and format that were used to report on the City's 2006 Program Year.

#### 2009 Formula Entitlement Program Expenditures by HUD Performance Outcome Objective Statement

As mentioned previously, HUD's Performance Outcome Measurement System required formula entitlement grantees to categorize their respective grant program's activities by three (3) federally-defined objectives: creating Suitable Living Environment; providing Decent Affordable Housing; and Creating Economic Opportunities which, combined with the three (3) performance outcome categories, Accessibility/Availability; Affordability; and Sustainability, created nine (9) performance measurement statements. The nine performance outcome measurement statements are:

- Accessibility for the purpose of providing Decent Affordable Housing
- Affordability for the purpose of providing Decent Affordable Housing
- Sustainability for the purpose of providing Decent Affordable Housing
- Accessibility for the purpose of creating Suitable Living Environments
- Affordability for the purpose of creating Suitable Living Environments
- Sustainability for the purpose of creating Suitable Living Environments
- Accessibility for the purpose of creating Economic Opportunities
- Affordability for the purpose of creating Economic Opportunities
- Sustainability for the purpose of creating Economic Opportunities

In July 2006, the City of New York had completed categorizing its 2007 formula entitlements' programmatic activities by the nine Performance Outcome Objective Statements. The Outcome Objective Statements for the respective federally-funded programs were first reported in the Proposed 2007 Consolidated Plan, released in mid-October 2006 and have continued to be included in the Consolidated Plans for subsequent Program Years. As mentioned above, the IDIS reports which report on Performance Indicator data have not been modified to display the outcome objectives/indicators mandated as a result of the performance measurement initiative. However, the following Performance Outcome Objective Statements for the respective formula entitlement programs were formulated by aggregating the respective programs' expenditures by their assigned Outcome Objective Statement.

#### **Community Development Block Grant (CDBG)**

- Four programs expended an accumulative total of approximately \$925,000 for the purpose of providing increased or new accessibility to decent affordable housing.
- Ten programs expended an accumulative total of approximately \$49,971,400 for the purpose of providing increased affordability for decent housing.
- Four programs expended an accumulative total of approximately \$32,203,100 for the purpose of providing sustainability of decent affordable housing.
- Twelve programs funded for the full program year expended an accumulative total of approximately \$26,836,100 for the purpose of creating/improving accessibility to suitable living environments. In addition, two programs funded for half of the program year expended a total of \$3,920,500 for the purpose of creating/improving accessibility to suitable living environments.
- One program expended a total of approximately \$3,292,000 for the purpose of creating/improving affordability for suitable living environments.
- Six programs expended approximately \$11,648,900 for the purpose of creating/improving sustainability of suitable living environments.
- Four programs expended approximately \$7,579,700 for the purpose of creating/improving accessibility to economic opportunity.

- One program expended a total of over \$1,848,500 for the purpose of creating/improving sustainability of economic opportunity.
- Three programs expended an accumulative total of approximately \$66,023,300 to undertake CDBG-eligible housing and community development non-housing activities for which there is no appropriate HUD Performance Indicator or applicable HUD-defined outcome/objective statement.

#### **HOME Investment Partnerships (HOME)**

- Ten programs expended an accumulative total of approximately \$100,680,900 for the purpose of provided increased or new accessibility to decent affordable housing.
- Three programs expended an accumulative total of approximately \$51,190,200 for the purpose of providing increased affordability of decent housing.

#### **Emergency Shelter Grant (ESG)**

- Three programs expended an accumulative total of approximately \$7,925,600 for the purpose of creating/improving accessibility to suitable living environments.

#### **Housing Opportunities for Persons with AIDS (HOPWA) (*New York City Program only*)**

- One program expended a total of approximately \$6,187,300 for the purpose of providing increased accessibility to decent affordable housing.
- Four programs expended a cumulative total of approximately \$47,866,700 for the purpose of providing increased affordability of decent housing.

### **1. COMMUNITY DEVELOPMENT BLOCK GRANT (CD or CDBG)**

The City's Consolidated Plan 2009 Year (calendar year) is the same as the Thirty-Fifth Community Development Year (CD 35). The City had projected in the 2009 Proposed Consolidated Plan that it would receive \$178,009,000 in FFY '09, the same amount that it had received for FFY '08. To supplement the FFY '09 Entitlement, the City had projected that a total of \$86,035,000 would be available from program income, accruals and disallowances. Thus, the City projected that a total of \$264,044,000 would be available for allocation to programs in 2009/CD 35. To satisfy HUD's APR reporting requirements, the City also projected that there would be \$1,599,000 available under the Neighborhood Housing Services (NHS) Revolving Loan Fund (which did not receive a 2009/CD 35 allocation). Therefore, the total 2009/CD 35 budget was projected to be \$265,643,000.

The actual FFY '09 CDBG Entitlement grant for New York City was \$180,347,000 (line 1, column B of the Summary Table of Funding Resources). A total of \$83,394,000 was actually available from program income (including \$1,150,000 in NHS funds) and accruals to supplement the '09 Entitlement. Thus, the total funds available in 2009/CD 35 were \$263,741,000.

In addition to the information regarding 2009 CD expenditures and accomplishments reported in the document you are now reading, greater detail is provided in the CD Addenda and Appendices. The Addenda includes the "Activity Summary (GPR) for Grantee Number: 364436/0001", a HUD Integrated Disbursement Information System (IDIS) generated report. The Addenda also includes other "offline" information on site-specific expenditures and accomplishments that were too voluminous to enter into IDIS' limited accomplishments fields.

The Appendices also contain other "offline" HUD-required CD information. Volume II, Appendix A contains site addresses for the Emergency Repair Program; Housing Litigation Division; Private Buildings Seal-Up, and Targeted Code Enforcement (partial list, continued in Volume II, Appendix B). Volume II, Appendix B contains site addresses for three HPD areas of responsibility: Targeted Code Enforcement (balance of sites); Division of Property Management, and Division of Alternative Management. Volume II, Appendix C contains site addresses for DSNY's Vacant Lot Clean-Up Program and DPR's Land Restoration Program and GreenThumb, CD eligibility determinations for census tracts linked to the addresses found in the first two

Appendices for the Emergency Repair Program, Housing Litigation Division, Private Buildings Seal-Up, Targeted Code Enforcement, Division of Property Management, Division of Alternative Management, Vacant Lot Clean-Up, Land Restoration Program, and GreenThumb.

These volumes total to over 1,000 pages and will only be provided upon request. Please call (212) 788-6152 to obtain a copy of the Addenda or the Appendices. Only one copy of the Addenda and Appendices will be provided to each individual or organization.

The overall goal of the CD Program is that the cumulative actions of the various CD-funded activities will improve the overall conditions and quality of life in low- and moderate-income neighborhoods. Through property rehabilitation, historic preservation, vacant lot clean-up, and the provision of a variety of services to the residents of these areas, CD funds assist in the short and long term preservation and improvement of low- and moderate-income neighborhoods.

Following are the five-year CD program objectives, which were identified in the 2005 Consolidated Plan. After each is an indication of how CD funds are currently used to meet those objectives and, if applicable, how those objectives have changed. **The CD 35/2009 funding allocations are listed on pages I-17 to I-18.** Programs that have been added or deleted during 2009 are also discussed.

The 2009 Program Accomplishments Table (contained within this document) includes the proposed, amended, and actual accomplishments for the CD-funded programs. Those programs that exceeded or failed to meet their proposed accomplishments by 25% or more are also discussed below. Additional information on the performance of the CD programs is contained in the CD Addenda and Appendices.

#### Housing

In the 2005 Consolidated Plan, the City identified its housing objectives regardless of funding source. CD funds assist the City in meeting the following five-year housing objectives:

**Protect, preserve, and improve the existing sound housing including City-owned (in rem) residential structures, privately-owned buildings in deteriorating neighborhoods, and conventional public housing so that this housing can remain or become stable, tax revenue-generating residential stock.**

#### In Rem Property Management

CD funds are used by the Department of Housing Preservation and Development (HPD) to operate and maintain City-owned in rem (tax foreclosed) housing until it can be sold to responsible owners. In 1995, there were over 26,000 units in occupied buildings within HPD's Central Management inventory. The City's disposition efforts have substantially reduced the in rem occupied building inventory. As of 12/31/05, there were 999 units. By 12/31/09 disposition efforts had reduced the inventory to 254 units in the occupied buildings. The CD-funded Handyman Contract, Superintendent Contract, Material and Management Procurement, Property Management, Building Maintenance and Repair and Project Support Programs assist in providing for the operation and maintenance of the buildings in HPD's Central Management inventory.

As of 6/30/05, the Environmental Hazards Program was merged into the Targeted Code Enforcement Program.

The Narcotics Control Program is classified as a Public Service. The HUD Outcome Performance Measurement System indicator is "Total number of persons assisted with improved access to a service". In 2009, the Narcotics Control Program (NCU) serviced 571 buildings which contained a total of 23,060 housing units. As the actual number of persons in these units is not known, the 23,060 housing units are represented the number of persons assisted. The program's 2009 accomplishments also include: 223 referrals to the Housing Litigation Division, 14 trespass actions, and 523 complaints processed.

**Rehabilitate and return the stock of City-owned buildings to a range of responsible private owners in order to improve living conditions in these buildings while maintaining affordability for very low-, low-**

**and moderate-income tenants. Continue through HPD, to accelerate the sale of its in rem buildings to tenants, nonprofit organizations, and selected for-profit owners. This major initiative focuses on clusters of buildings in selected neighborhoods and packages both vacant and occupied properties.**

To further the goal of selling City-owned residential (in rem) buildings to tenants and nonprofits, CD funds continue to be used by HPD to pay for fuel and utilities and minor repairs in buildings in the Division of Alternative Management Programs inventory. As of 12/31/09, there were 277 buildings and 4,334 housing units in all of the Division of Alternative Management Programs. Of the 277 buildings, 235 were City-owned (3,861 units, reflected in the Accomplishments Chart) and 42 (473 units) were privately-owned. Under the Tenant Interim Lease Program, there were 215 buildings and 3,575 units in the program as of 12/31/09. There were 121 TIL units in which rehabilitation was completed (primarily with City Capital funds). There were 14 TIL buildings sold in 2009, which contained a total of 287 units.

As of 6/30/07, CD funds were no longer allocated for the Neighborhood Redevelopment Program and were replaced by City Tax Levy funds or HOME funds. As of 7/1/07, the Tenant Interim Lease Program, Professional Services and the In Rem Division of Alternative Management Project Support Programs were merged in the CD Budget into the In Rem Alternative Management Program.

#### Privately-owned Housing

In an effort to preserve existing housing, CD pays for the time 311 operators (at the Department of Information Technology and Telecommunication) spend on emergency housing complaints. A total of 497,821 emergency housing complaint calls were referred to HPD. A total of 4,100,966 minutes (68,349 hours) were spent on emergency housing complaint calls by 311 operators. Upon receiving a complaint, HPD will send out a Code Enforcement Housing Inspector to determine if a violation exists (a portion of whose time is also CD-funded). Unfortunately, there is no HUD Accomplishment Indicator that can accurately reflect the number of code violations that are eventually removed as a result of HPD's efforts. In 2009, a total of 508,711 violations were issued during inspection and 621,152 code violations were removed by inspection or through administrative removal.

The Emergency Repair Program (ERP) works to ensure that immediately hazardous "Class C" violations are corrected by private landlords. When there is no voluntary compliance, CD-funded repairs are made by the Emergency Repair Bureau. HPD projected that 14,000 units would be repaired by HPD in 2009. The actual number was 26,520. The difference is due in part to the increase in the number of emergency repair violations being issued by the Division of Code Enforcement and due to the increase in the number of lead-based paint violations that have been issued after Local Law 1 of 2004 was enacted. The program also received \$22,351,703 in funds from the American Recovery and Reinvestment Act of 2009.

When landlords fail to correct code violations, the Housing Litigation Division represents the City in housing code compliance actions instituted by HPD in the Housing Part of the Civil Court. In 2009, a total of 26,411 cases were litigated. They involved heat and hot water, tenant initiated actions, judgment enforcement, anti-harassment, and comprehensive cases. These cases impacted a total of 249,082 units, compared to the 245,228 units that were projected.

As part of the Code Enforcement strategy, the Neighborhood Preservation Consultants provide the City with information on residential buildings at risk within CD-eligible areas. They assist HPD's Code Enforcement Unit in the implementation of their comprehensive plans to upgrade and preserve existing privately-owned stock, recommend intervention priorities based on community needs assessments, and coordinate service delivery to owners and tenants. As a result of their efforts, seven voluntary repair agreements were signed by landlords. There were 18 Neighborhood Preservation Consultants under contract using CD funds in 2009.

As part of HPD's Anti-Abandonment efforts, CD and City Capital Budget funds are used under the 7A Program for renovations and for systems repair/replacement in buildings that have been abandoned by their owners. The goal is to ultimately sell the buildings to responsible owners. Rehabilitation was underway in 1 building with 6 units. The six completed units (number of units brought from substandard to standard condition) have been

entered in the Accomplishments Table. HPD had projected 145 units, however, most buildings either left the program or the work was completed with Capital Budget funds.

HPD's Anti-Abandonment Borough Offices are now called Neighborhood Preservation Offices, which identify and develop interventions for residential buildings at risk of abandonment. In 2009, the Division of Neighborhood Preservation counseled owners of 4,273 tax delinquent properties. In addition, 16 properties were removed from Third Party Transfer Foreclosure action by entering into tax repayment agreements with the Department of Finance. In addition, 3,554 assessments were conducted of distressed buildings citywide. HPD reviewed 24,111 properties for the 2009 tax lien sale by the Department of Finance. A total of 536 properties were ultimately excluded from the sale. The total amount of revenue generated from the sale was \$84,839,746.

Under HPD Program Planning, HPD staff completed 79 planning reviews. Under the ULURP/UDAAP actions, HPD conducted analysis on the following:

- Disposition of 161 new construction units through the NYS Housing Trust Fund
- Disposition of 118 new construction units through the HUD Section 208/811 Program
- Disposition of 9 gut rehabilitation units through the NYS Housing Trust Fund
- Disposition of 3,732 new construction units through NYC programs
- Disposition of 41 gut rehabilitation units through NYC programs

HPD's Division of Housing Policy Analysis and Statistical Research plans and conducts major housing-related research. The Division provides housing market data and analyses on the housing inventory, rental vacancy rate, housing and neighborhood conditions, rents and affordability, and household characteristics, including incomes. The Division publishes the Housing Vacancy Survey (HVS) tri-annually. Among the 2009 accomplishments were the following:

- Continued to review for reasonableness and consistency the initial and revised drafts of 2008 cross-sectional HVS data provided by the Census Bureau. The revised data was made available to the public on the Census Bureau's website.
- Prepared and submitted to the Mayor and City Council the Report of Initial Findings of the 2008 HVS.
- Reviewed 2008 population data provided by the Census Bureau.
- Sub-borough data were generated and entered into 29 tables of data presenting characteristics of housing units, households, and neighborhoods.
- The Division also prepared and administered the contract with the Rent Guidelines Board.

CD pays for the support staff of the Rent Guidelines Board. This administrative and planning staff prepares research regarding the economic condition of the stabilized residential real estate industry, including operating and maintenance costs, the cost of financing, housing supply, and cost of living indices. The research staff produced the 2009 Price Index of Operating Costs (the Price Index of Operating Costs for Rent Stabilized Apartment Buildings was 4%, for hotels 3.5% and for lofts 2.8%); the 2009 Mortgage Survey (for 2008 lending the average interest rate for new multi-family mortgages rose 0.35 percentage points, or 5.8% to 6.46%); the 2009 Income and Affordability Study (housing affordability and tenant income: in 2008 NYC's economy grew by 0.3%, the City gained 46,400 jobs, and the unemployment rate remained rose to at 5.5% from 5%); the 2009 Housing Supply Report (in 2008, the number of new housing units completed decreased 7.7% and 33,911 permits were issued for new dwelling units in NYC); and the Changes to the Rent Stabilized Housing Stock in New York City in 2008 Report (there was a net estimated loss of 8,267 rent stabilized units in 2008).

The Building Maintenance for Youth Training Program provides basic building management and maintenance skills to low- and moderate-income persons between the ages of 17 and 25. In 2009, 251 people enrolled of which 79 completed the course. Additionally, 36 students scored over 90% and were referred to the EPA Lead Abatement class. As of 12/31/09, 20 of the 79 persons that completed the course had secured employment. The program projected that it would enroll 100 students but 251 students were actually enrolled. The increase can be attributed to relationships with entities such as the DOE fund which actively recruited students for the program and provides follow-up mentoring.

The Neighborhood Housing Services Revolving Loan Fund (\$1,150,000 available during 2009; \$268,879 spent in 2009 – see chart below) provides owners of 1 - 4 family homes with low-interest rehabilitation loans. The revolving loan fund was established with prior years' CD allocations. The loan fund only consists of program income in the form of loan re-payments, interest from notes receivable, and interest from the financial institution in which the revolving loans were held. The program did not receive any new allocation in 2009. Work was completed at 17 sites. The work benefited 28 households; all 28 were low/mod.

Program Income Received in 2009:	\$ 69,779
<u>NHS Cash Balance on 12/31/09:</u>	<u>+ 1,080,492</u>
<b>Total funds available for 2009 =</b>	<b>\$ 1,150,271</b> (rounded to \$1,150,000)

Admin./Misc.:	\$221,214
Low/Mod Loans Closed:	\$ 47,665
<u>Slums/Blight (Spot) Loans Closed</u>	<u>\$ 0</u>
<b>Total Funds Spent in 2009 =</b>	<b>\$268,879</b>

On July 1, 2006, CD funds were allocated to HPD's Primary Prevention Program. For 2009, the program projected that 25 units would undergo lead hazard reduction. The year-end actual was eight units completed. The reason for the shortfall was due to owner non-compliance with the terms of the forgivable loans.

On July 1, 2007 CD funds were allocated for the Alternative Enforcement Program, which is intended to alleviate the serious physical deterioration of the most distressed buildings in New York City. Under the program, the owner must make effective repairs (or the City will do so) in a more comprehensive fashion so that emergency conditions are alleviated and the underlying physical conditions related to the emergency housing code violations are addressed. In 2009, work was completed and paid in full in buildings that contained 240 units (reflected as the program accomplishment number). Each year, 200 new buildings (containing an estimated total of 1,000 units) come into the program.

**Modernize existing housing developments and expand the stock of new low-income apartments under the jurisdiction of the New York City Housing Authority (NYCHA).**

As of 6/30/04, CD funds were no longer allocated to the NYCHA Public Housing Modernization Program. In 2007, this program was closed and remaining funds were reallocated to other programs.

**Improve neighborhood quality through the elimination of vacant blighted properties and the promotion of greater community involvement and investment through the provision of new homeownership opportunities and stimulation of concerned local businesses to perform housing management and rehabilitation functions.**

Under HPD's Emergency Demolition Program, a total of 80 buildings were demolished in 2009. Although HPD projected that 200 slum and blight demolitions would occur, these demolitions are not planned and are conducted upon a determination of an emergency by the Buildings Department.

HPD's Homeowner Down Payment Assistance Program provides down payment or closing costs assistance to CD-eligible first-time homeowners. CD funds were allocated for this purpose in 2005 but not used to provide grants because of the availability of funds under HUD's American Dream Down Payment Initiative (ADDI). As such, CD funds were reprogrammed in 2007.

**Prevent discrimination in housing and promote expanded housing opportunities for racial and ethnic minorities. Provide fair housing counseling agencies to effectuate compliance in the public and private housing markets, conduct educational workshops about landlord/tenant rights, assist people with disabilities to find accessible housing, identify housing discrimination, and provide assistance in determining eligibility or qualifications for tenancy and/or social service programs.**

The HPD Fair Housing Services Program provides fair housing counseling and educational services through

CD-funded contracts with four local nonprofit groups. Some of the services provided were: 184 fair housing workshops (13,282 attendees), counseling (14,950 people), and resolution of tenant/landlord disputes (3,916).

#### Community Development Non-Housing Needs

##### **Remove blighting conditions such as debris, abandoned vehicles, weeds, and graffiti in the City's Industrial parks to retain and attract business.**

CD funded the Industrial Areas Improvement Program until April 2008 when a HUD monitoring found that the debris removal component was ineligible for CD funding. Therefore, only the graffiti removal component is now CD-funded. The program is now known as Graffiti-Free NYC. Graffiti-Free was CD-funded until June 30, 2009.

The graffiti elimination component uses trucks outfitted with spray painting equipment which mobilize to spray over graffiti as an activity that removes a blighting influence. In an effort to comply with the new HUD Performance Measurement Indicators, the number of commercial façade treatments is reflected rather than the amount of square footage to be sprayed as was done previously. From 1/1/09 to 6/30/09, the program treated 3,089 businesses and a total of 2,939,000 sq. ft. of surface was treated using CD funds.

##### **Revitalize commercial streets via façade and security improvement of commercial businesses and through the use of market studies, marketing assistance, and architectural design and development strategies.**

Avenue NYC (formerly the Neighborhood Commercial Revitalization Program) promotes the economic viability of neighborhood retail areas by funding local development corporations who develop market strategies, development strategies, and architectural design. SBS estimated that 12,147 existing businesses were indirectly assisted by the program.

##### **To promote long-term job growth and economic development retention and expansion, perform planning activities through the analysis of: alternative uses of City-owned property, the needs of specific industries in NYC, the costs/benefits of major infrastructure projects, business tax policies, mergers, and acquisitions, and the study of market environmental, land use and zoning conditions for commercial and industrial areas.**

The Economic Development Corporation (EDC) received CD funds under Economic Policy and Analysis and EDC Project Planning until 6/30/09. Non-CD funds will continue to support the programs. The programs provide the research and studies necessary to promote long-term job growth through industrial attraction, retention, and expansion.

Under Economic Policy and Analysis, 2009 accomplishments include: analyses measuring the economic and fiscal impacts on the City of a company's departure versus the costs of retaining it; cost-benefit and economic analysis for major infrastructure projects; analyses of the economic impact of alternative uses of City-owned property; analyses of suggested changes in business tax policies; market analyses for significant commercial development projects; monitoring data on developments in NYC's economy and produce publications on NYC's economy.

Under EDC Program Planning, 2009 accomplishments include: Preliminary studies and initial documentation for the environmental review of the redevelopment of a large waterfront retail facility were initiated. In downtown Flushing, Queens, the environmental review of the rezoning for a large, mixed use development including residential hotel, retail, and substantial public parking neared completion. In Red Hook, Brooklyn, planning studies are ongoing to increase job density and public access to the waterfront area adjacent to the Brooklyn Cruise Terminal. In Coney Island, the environmental impact statement for the zoning strategy developed in 2007 to preserve the amusement area and parkland and develop housing was completed in 2009. In the Bronx, the South Bronx Greenway project was advanced with the completion of the land use process. In Staten Island, NYCEDC is developing a site plan for 60 acres to include active parks, natural area preservation roads, a school, senior housing and other economic uses.



**Foster business development and growth in low-mod areas by providing business services such as job placement, workforce development services, tax abatement incentives, financial referral, guidance in obtaining government contracts licenses and permits at One Stop Career Centers. To facilitate business creation, development and growth, maximize entrepreneurial development services to vendors and other micro-enterprises by providing courses on business basics, creating alternative markets, and developing vacant storefronts.**

In 2007, the Microenterprise Program was merged into NYC Business Solutions. Prior to 2009, CD funds were used to pay for staff at the Brooklyn and Bronx Business Solutions Centers, operated by the Department of Small Business Services. CD funds now pay for Business Outreach Teams in CD-eligible areas. Types of services include assistance in business planning, financing, government regulations and licensing, business incentives, marketing, workforce development, government procurement, and real estate. There were 2,417 new businesses and 922 existing businesses assisted (entered into the Accomplishments Chart) and 4,248 service requests addressed by the Business Outreach Teams in 2009. The goal of the Vendor Market component is to provide street vendors with information, technical assistance, and networking options so they may seek productive alternative market environments. SBS supports the Flatbush Caton Market at 814 Flatbush Avenue in Brooklyn which provides retail space for former street vendors. A total of 53 vendors were assisted during the calendar year. The Business Basics Program provides free courses in business plan review and development; credit counseling; linkage to SBA-approved micro-lenders; and business problem-solving seminars presented by government regulators and business specialists. A total of 2,785 people (entered into the Accomplishments Chart) attended Business Basics training.

**Help ensure the success of the New York City Empowerment Zone initiatives by providing oversight administration and audits.**

CD funds provide for the administration of the City's Empowerment Zone Initiative (EZ), in which City, State, and Federal funds assist in the revitalization of the economic, social, and physical infrastructure of the Upper Manhattan and South Bronx areas. In calendar year 2009, the New York Empowerment Zone approved a total of 20 programmatic initiatives and development projects totaling \$10,957,736 in Empowerment Zone funds.

**Restore sanitary conditions in vacant lots in CD-eligible areas through debris and bulk refuse removal.**

The Neighborhood Vacant Lot Clean-Up Program cleans vacant lots to meet the City's Health Code Standards. Cleaning schedules keyed to the community board areas are based on health emergencies, preparatory cleaning for other CD-funded lot-related programs (GreenThumb, Land Restoration Program), and community board requests. The City had estimated that 4,685 lots would be cleaned. In 2008, there were a total of 4,513 lots cleaned: 3,829 in CD-eligible areas and 684 in non-CD-eligible areas (paid for with City Tax Levy funds).

**Help prevent illegal dumping on privately-owned lots by providing for oversight of fencing contracts which are paid for with prior year CD funds.**

Vacant lot fencing is conducted by the Department of Citywide Administrative Services (DCAS) for publicly-owned lots and the Department of Transportation (DOT) for privately-owned lots. CD funds paid for the Vacant Lot Fencing Program until 2009.

**Provide recreational services to low-income and moderate-income people by funding staff to coordinate and manage programs at parks facilities.**

CD funds are used to provide recreational services at several parks as an eligible public service under the CD regulations. Through a User's Survey completed in 2009, the Prospect Park Administrator's Office estimated that there were approximately 8,863,100 visitors to the park. The previous User's Survey conducted in 1997-1998 estimated that 6 million people visited the park. The Office issued 3,200 special event permits in 2009.

The Van Cortlandt/Pelham Bay Parks Special Administrator's Office conducted a User's Survey in 1999, which estimated that approximately 4 million people used the park. In 2009, Van Cortlandt Park issued 254 special events permits while Pelham Bay Park issued 448 special events permits.

As of 7/1/06, CD funds no longer paid for staff at various City recreation centers serving low- and moderate-income areas. Beginning with CFY '07, City tax levy funds have been used.

The Parks Department estimated that a total of 56,210 children used the CD-funded Minipools. This was based on a very rough estimate of 70 swimmers per day at 11 sites during a 73-day season. The actual usage was 107,602, based on 134 swimmers per day at 11 CD-funded sites during a 73-day season. The increase is attributed to the re-opening of the Frederick Douglass minipool in Manhattan and an increase of visitors at the Minipools in the Bronx and Brooklyn. In accordance with HUD's requirement to identify activities that serve a limited clientele not falling within one of the categories of presumed limited clientele low- and moderate-income benefit, the City determined that all Minipools are eligible for CD funds due to their close proximity to NYCHA Public Housing developments. The Minipools determined to be CD-eligible are used primarily by NYCHA residents and the incomes of NYCHA residents are primarily CD-eligible.

**Treat open space by removing debris, greening and creating and maintaining neighborhood gardens.**

GreenThumb licenses City-owned land to community groups for the establishment of community vegetable and flower gardens. These gardens often replace vacant, littered lots that were a blighting influence on the neighborhood. GreenThumb has 566 active community gardens. During the year, GreenThumb held the Summer Solstice, GrowTogether, and Harvest Fair Festivals, which were attended by several thousand patrons. The program organized 48 educational workshops, which were attended by over 3,046 people. The program surveys gardeners to collect demographic, site and food production data and to identify best practices and assess garden and program potential. The survey found that 88% of the gardens grow food, and in most cases at least 50% of each garden is devoted to food production. Additionally, the number of weekly required public access hours was increased from 10 to 20. It is estimated that 50,000 people benefited from the program in 2009.

The Land Restoration Program (LRP) treats large tracts of vacant City-owned land by seeding, fertilizing, and mowing these properties. The program helps to improve the image of the surrounding neighborhoods, reduces mugger cover, and makes the property more presentable to the community and potential developers. In 2009, a total of 213.70 acres (rounded to 214 in the Accomplishments Chart) were seeded, fertilized and mowed. LRP assisted the GreenThumb Program by cleaning and baiting 64 gardens for rodents and distributed 480 rodent-proof trashcans to gardens and parks, by making 116 compost deliveries, 104 wood chip deliveries, and 29 deliveries of top soil, fill, salt, and lumber to garden sites. LRP also assisted with the installation of eight greenhouses in GreenThumb gardens and completed grading/site preparation at 28 sites and excavation/construction at 17 sites.

The goal of the Bronx River Project is to clean the river and develop amenable facilities along its banks. Among its various activities, the program uses CD funds to issue a bilingual calendar, bi-weekly email newsletter and an annual newsletter, the Current, which is mailed to over 1,570 people. The Education Program promotes the river as an educational asset and consists of the following: The Bronx River Classroom which reaches schools with training, tools and other resources; the Bronx River Stewards is a corps of 40 trained volunteers who monitor water quality and gather important data; and the Public Education Program reaches people through presentations, public events and interpretive signage, etc. The Ecological Restoration and Management Program restores and protects the River's ecology. A Conservation Crew that is recruited from the local community installed 5 rainwater harvesting barrels in the watershed; stabilized 30 feet of streambank with coir logs, removed 14 river blockages; 13 tons of trash; and 58 tires. Highlights of 2009 also include the opening of the Concrete Plant (renovated with City Capital funds), completion of the master plan and the opening of the newly restored entryway for Shoelace Park (also completed with City Capital funds). It is estimated that a total of 22,945 people participated in the Bronx River Project's outreach, education and restoration activities.

**Assist crime victims through counseling, document replacement and emergency lock repair.**

Safe Horizon provides an array of services to crime victims and their families to reduce the psychological, physical, and financial hardships associated with victimization. Services included the families contacted and referrals made under the Domestic Violence Prevention Program, persons assisted through the Domestic

Violence and Crime Victims Hotline, and the court-based services for crime victims assisted at Criminal and Family Court in the Bronx and Brooklyn. In 2009, Safe Horizon provided 161,559 units of service to its clientele, which includes: 1,285 under the Domestic Violence Prevention Program; 105,335 calls answered under the Domestic Violence Hotline; 17,167 calls answered under the Crime Victims Hotline; 37,772 under the Court-Based Services for Crime Victims; 13,799 clients in the Bronx Criminal and Family Courts and 12,159 clients in the Brooklyn Criminal and Family Courts.

**Benefit community facilities by having misdemeanor offenders perform minor repairs. Benefit the offenders by having them perform community service as an alternative to incarceration and provide them with an array of services to help them complete their sentences.**

The Community Service Sentencing Program was no longer CD-funded as of 6/30/05. The program was restructured in a way that made it difficult to document CD-eligibility. Therefore, City Tax Levy funds now pay for the re-organized program.

**Support housing and economic development efforts by providing day care services so low- and moderate-income mothers may secure employment.**

During calendar year 2009, CD funds were used to pay for child care costs at 4 sites in which it is estimated that 463 children benefited from CD funding.

**Assist mentally ill homeless persons in and around the Staten Island Ferry Terminals to obtain shelter or housing and treat them for psychiatric or substance abuse problems.**

In 2005, CD funds were allocated to the Drop-In Center Outreach Program, in which the John Heuss House in Manhattan and Project Hospitality in Staten Island would reach out to the homeless who frequent the Staten Island Ferry Terminals. Services included the provision of food, showers, shelter, and counseling as well as referrals for housing, medical, drug and psychiatric treatment. However, in 2007, the John Heuss House did not submit a successful bid for a new contract. CD funds stopped supporting this organization in August of 2007 when its contract expired. The John Heuss House's allocation was transferred to Project Hospitality's outreach contract. The program is now known as Homeless Outreach and Housing Placement Services.

In 2009, Project Hospitality served 819 individual clients which resulted in 13,837 units of service. The 819 is greater than their projected amount of 192 due to the closure of other Drop-In Centers on Staten Island and an increase in the homeless population.

**Provide comprehensive community development services to community residents in low- and moderate-income areas through academic enhancement, and recreational, cultural, and substance abuse prevention programs.**

CD funds 14 Beacon Schools serving low- and moderate-income areas year-round. In addition to the recreation activities offered, services include life skills, community building, academic enhancement, career awareness / school to work transition, and culture / art. The program served 26,612 persons in 2009. The program has experienced higher enrollment in recent years.

**Help to prevent discrimination based on race, creed, color, national origin, sex, marital status, age, disability, lawful occupation, sexual orientation, familial status, alienage, and citizenship status by enforcing the laws which prohibit such discrimination. Accomplish this goal through the investigation and prosecution of individual and systemic complaints.**

The Commission on Human Rights' Law Enforcement Program is responsible for the enforcement of the laws prohibiting discrimination in employment, housing, and public accommodations on the basis of race, color, creed, age, national origin, alienage or citizenship status, gender, sexual orientation, disability, marital status, partnership status, status as a victim of domestic violence, whether children are, may be, or would be residing with a person; conviction or arrest record; lawful occupation; relationship or association, and retaliation. In 2009, 1,531 people sought to file a complaint, 430 persons filed formal complaints, 430 investigations were initiated based on filed complaints, and 508 investigations were carried into 2009 from prior years. To reflect

the number of persons served in 2009, the accomplishment number for this program (2,039) is the total of the following activities: 1,531 persons seeking to file a complaint plus 508 investigations carried over into 2009.

**Strengthen neighborhoods by fostering positive inter-group relations among residents of diverse racial, ethnic, and religious backgrounds.**

The Neighborhood Human Rights Program uses CD funds to conduct bias prevention activities, community education and outreach, and intervention into discriminatory real estate practices to address quality of life issues that transcend racial, ethnic, religious, and social differences. Because it is not possible to track each of the individuals who may obtain services, the program uses the total number of "instances of service" as its accomplishment indicator. In 2009, there were a total of 86,018 instances of service through: community education (966 conferences and workshops, 277 school and youth-based trainings and technical assistance for groups and individuals), fair housing activities (137 workshops and trainings on general fair housing issues, equal access and mortgage and predatory lending), and bias prevention and response (1 mediation conducted and 4 units of technical assistance in conflict situations).

**Promote the preservation of historic residential and non-residential buildings through grants for façade renovation.**

The Landmarks Historic Preservation Grant Program provides grants for facade restoration of residential buildings and those owned or occupied (through a long-term lease) by nonprofit organizations. The 2009 Proposed Consolidated Plan indicated that 6 "commercial façade treatments" (nonprofit projects) and 7 "owner-occupied units rehabilitated or improved" would be completed. Five nonprofit projects were completed and 1 was underway and 7 homeowner projects were completed and 2 were underway.

**Assist local arts organizations which primarily serve low- and moderate-income persons by rehabilitating their facilities and acquiring equipment and materials. Also, produce works of art that may be installed on or in public facilities, and in special circumstances, in nonprofit-owned facilities.**

The Community Arts Development Program (CADP) historically funded improvements in publicly-owned, nonprofit-owned, and privately-owned facilities. In 2008, CADP began a new Capacity Building component which uses consultants to assist arts organizations which serve low- and moderate-income individuals or areas to operate their organizations more efficiently. A Capacity Building project was completed at 1 site and underway at 9 others. Renovation grants will no longer be awarded but funding for existing renovation projects will be available until project completion. In 2009, there were 3 rehabilitation projects completed and 2 rehabilitation projects were underway.

**Facilitate job placement and food stamp services for low- and moderate-income persons through the rehabilitation of HRA Job/Income Support and Food Stamp Centers.**

HRA uses CD funds to upgrade client service areas. Main lobbies, client bathrooms, and service and waiting areas are eligible for upgrade. HRA may also install communications and security systems that serve and protect the clients. Work was completed at six sites in 2009. As of July 1, 2009, the program was no longer CD-funded.

**Ensure the safety of public school children by preventing or rectifying code violations in New York City public schools.**

The Department of Education receives CD funds to complete work such as the installation of emergency lighting, fire-rated doors, fire alarms systems and fire suppression systems; repair of damaged floorings and ceilings, electrical fixtures and wiring. The program was funded from 1/1/09 to 6/30/09 with CD Block Grant funds and from 7/1/09 to 12/31/09 with funds from the American Recovery and Reinvestment Act of 2009. Using CD funds, the Department prevented or corrected 1,193 violations in 411 City schools citywide. Please note that the proposed accomplishment of 633 schools was only an estimate, as the Department identifies potential violations or corrects the code violations as they occur.

**Improve the quality of life for senior citizens through the rehabilitation of senior centers.**

The Department for the Aging's (DFTA) Senior Center Improvements Program had 8 projects underway and 3

projects completed in 2009. The centers at which renovations were completed served a total of 12,490 seniors. CD funds also pay for two positions at DFTA, an Architect and an Associate Space Analyst.

**Assist in the renovation of day care centers by providing construction management, architectural, engineering, and clerical support positions within the Administration of Children's Services.**

As of 7/1/02, CD funds were no longer allocated for the rehabilitation of day care centers. Although CD funds are no longer used for day care center renovation (Capital Budget funds pay for this), CD funds were used to pay for three project manager positions at ACS until 6/30/09.

**Assist in the renovation of homeless shelters by providing for Department of Homeless Services staff to oversee construction contracts.**

Until 6/30/08, one position was funded at DHS to oversee construction contracts. Using prior year CD funds, renovation projects were completed at 2 shelters and were underway at 1 site.

**Perform citywide comprehensive community development planning in conjunction with local community organizations and elected leaders to help formulate long-term development and policy objectives for the City.**

**Support planning functions through the use of geographic computer applications and computer files for land use, housing and economic and demographic data.**

The Department of City Planning's Comprehensive Planning covers planning issues such as land use, economic, housing, infrastructure, waterfront and open space, and community facilities. In 2009, DCP engaged in 118 CD-funded planning studies. Of those, 44 were completed, 61 are active, 10 were deferred and 3 were terminated. The agency advanced zoning proposals such as the Coney Island Plan, in which the 19-block rezoning will create a 27-acre indoor and outdoor amusement and entertainment district and the 30-block Lower Concourse rezoning in the Bronx, which was adopted in June, 2009. New zoning incentives, adopted in December 2009, encourage the development of grocery stores in communities with limited opportunities to purchase fresh foods. The effort covers 20 community districts in the South Bronx, Central Brooklyn Upper Manhattan and Downtown Jamaica, Queens. A new 10-year Comprehensive Waterfront Plan updated the 1992 plan. The Department also partnered with the US Census Bureau to ensure that an accurate population enumeration in 2010 occurs.

DCP Information Technology supports the planning activities of the Department of City Planning and other City agencies. The Geographic Systems Section continued to work with the Dept. of Information Technology and Telecommunications' (DoITT) Citywide GIS group in developing a new Citywide Street Centerline file that will replace the LION base file and other street centerline files being used by DoITT and the City's Emergency Services agencies. On a bi-weekly schedule the Web Team updated Review Session Agenda, Disposition Sheets, Land Use Application Status Reports, and the City Planning Commissions Reports and Calendars. Additionally, DCP produced and the Web Team posted Environmental Impact Statements, Consolidated Plans, Citywide Statement of Needs, Zoning Maps, Annual report on Social Indicators, Community District Profiles, etc. BYTES of the BIG APPLE CD-ROMS were distributed to 25 City agencies and purchased by 65 professional organizations, generating CD Program Income.

Persons with Disabilities

**Continue to fund the removal of architectural barriers in rental dwellings and owner-occupied residences, thereby helping people with disabilities to remain in their homes and to maintain their independence.**

The Mayor's Office for People with Disabilities (MOPD) uses CD funds to meet this objective under MOPD Housing Services: Project Open House. MOPD has an agreement with HPD to use its contractors to complete accessibility projects. In 2009, HPD contractors completed 6 projects and 3 were underway.

**Continue to educate builders, landlords, architects, and people with disabilities about fair housing issues as they relate to people with disabilities.**

The Mayor's Office for People with Disabilities' Housing, Information and Education s provides information to

the public regarding housing accessibility. Information includes that related to housing discrimination, fair housing laws, barrier removal programs, technical and legal guidance relating to the design and construction of accessible and affordable housing. There were 135,760 units of service in 2009; 1,046 letters were sent, there were 109,657 website hits; 25,000 instances of phone outreach; and 57 walk—in visits.

### Elderly

**Continue to promote decent housing and suitable living environments for aging citizens in place, and to help the elderly retain their homes and maintain them adequately through a variety of programs that provide assistance with home maintenance, home repair, and adaptive modification, and technical assistance regarding resident's rights and protections.**

The Elderly Minor Home Repair Program provides for minor repairs to the homes of the elderly. Although minor in nature, these repairs are beyond the abilities of the elderly to complete themselves. Often the repair will help prevent a major problem from developing, which could be financially difficult for the elderly to carry out. In 2009, the Elderly Minor Home Repair Program completed 49,854 repairs in 2,523 homes.

Seniors are also assisted in NYCHA public housing sites under the Senior Resident Advisor and the Elderly Safe-at-Home Programs. Under Senior Resident Advisor, services include crisis intervention, assistance with benefits and entitlements, referral for transportation services, Meals-on-Wheels, and homecare. Senior Resident Advisors live and work in housing projects that are exclusively for elderly and disabled tenants. They intervene in crisis situations and provide case management in accordance with a plan devised by the program's supervisory social worker. The targeted population is 2,526 elderly. A total of 54,514 instances of assistance were provided to 2,373 elderly tenants in 2009. The Elderly Safe at Home Program uses trained paraprofessionals to assist the elderly in crime prevention education, crisis intervention, assistance with benefits and entitlements and referral for transportation services. The targeted population is 2,096 elderly. There were 13,291 instances of assistance provided to 2,382 elderly tenants in 2009.

### Homeless

**Shelter should be used on an emergency short-term basis, hence, pursue a range of strategies that would reduce the average length of stay.**

Between 1/1/09 and 6/30/09, the Department of Homeless Services used CD funds to assist homeless families. After that, CD funds were used to assist both families and singles. In 2009, the program served 117 families (which consisted of 368 individuals) without public assistance cases. The program also served 108 homeless individuals. The total accomplishment figure of 476 people is the total of the 368 and 108 individuals. Services included the provision of shelter as well as meals, money management, consumer awareness, food management, housekeeping, housing search, transportation, educational planning, job skills and child care. Please note that \$5,689,013 in funds under the American Recovery and Reinvestment Act of 2009 were allocated for homeless shelter services at the Broadway Shelter in Brooklyn.

The Department of Housing Preservation and Development (HPD) provides emergency relocation services to tenants displaced as a result of fires or vacate orders issued by the Department of Buildings, Fire Department, or HPD. In 2009, there were 446 families and 564 adults (1,010 households) that received relocation assistance. A total of 189 families and 131 adults (320 households) were later relocated to permanent housing.

### Activities not specifically related to the five year objectives:

On July 1, 2005, CD began paying for the Scorecard Program, which evaluates the cleanliness of the City's streets. In 2009, the Department of Sanitation achieved a citywide percentage of acceptably clean streets of 95.8%.

On July 1, 2005 LPC Planning was added as a distinct CD program. The allocation does not represent new funding but rather a re-categorization of several Landmarks Preservation Commission positions from the CD eligibility category of Administration to Planning. Activities include environmental reviews, and architectural, archaeological, and historical analysis. LPC also researches and plans for potential landmark districts. In 2009,

the Archaeology Dept. reviewed 257 projects and oversaw the scanning of more than 1,200 archaeology reports that will be accessible to the public on LPC's website; the Commission assisted with the revision of the City Environmental Quality Review Technical Manual; six previously unheard buildings were designated; four historic districts were designated; 5,300 buildings were surveyed; and the Environmental Review Dept. coordinated 1,033 project reviews.

On July 1, 2006, CD funds were allocated to the Department of Youth and Community Development for the Adult Literacy Program. In 2009, CD funds paid for contracts with 14 nonprofit organizations that provided classroom literacy instruction. A total of 2,834 persons were assisted.

CD funds were also allocated for the creation of an educational TV series and nine pilot programs aimed at increasing the job prospects of illiterate and low-skilled adults. In 2009, post production was completed on an English as a Second Language video series, which presents a range of City messages related to areas such as health, education, and financial literacy in a format that is accessible to limited-English-speaking adults. Following production, an outreach campaign to publicize the show was conducted, a companion website was created, and the show began airing on local, free television stations. The show is also frequently used in adult education classes and volunteer sessions. Users for the TV program totaled 33,154 and included 5,400 individuals that viewed the program during classroom instruction, 1,250 individuals that participated in volunteer-led tutoring sessions using the series, and 26,504 hits to the series' companion website. Following those web hits, the online study guides were downloaded 9,124 times, videos were viewed 4,894 times, and episode scripts were downloaded 910 times. The pilot programs served a total of 2,935 individuals, many of whom have seen increases in standardized test scores and have obtained or on the path to obtaining their G.E.D. and/or other certifications or licenses.

The Adult Literacy Program had estimated that 752,678 persons would benefit. That was the projection based on the video series being broadcast on NYC TV and the videos being available to libraries, city agency websites, classrooms and community centers for viewing in early 2009. However, the post-production and negotiations with the unions that worked on the show took longer than anticipated so the show did not begin airing until late 2009. Additionally, the projection included an incorrect estimate of 750,000 viewers and website users whereas the correct estimate was 75,000 viewers and website users. The total, 38,923 (comprised of 2,834 persons assisted through the Classroom component, 33,154 served by the TV Program, and 2,935 served through the Pilot component) has been entered into the Accomplishments Table.

The Met Council Food Pantry was funded as of 7/1/09. A total of 156,000 persons benefitted from the program's disbursement of food packages.

### Section 3 Requirements: Community Development Block Grant Program

In 2009, a total of \$2,433,061 in Community Development Block Grant (CD) - funded projects were subject to the Section 3 requirements. There was a total of four CD-funded new hires (who worked on Section 3-related construction projects) by City agencies. Of those, three qualified as Section 3 hires. There were no Section 3 hires by contractors. No contracts were awarded to Section 3 firms in 2009.

**CDBG  
PROGAM EXPENDITURES**

FORM  
DCP #1

Proj Code	Program Name	HUD Code	Revised 2009 Allocation	Amount City Authorized	Amount City Expended/ Drawdown/ Disbursed
	COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG)				
C-HPD-0085	7A PROGRAM	14B	\$1,420,000	\$3,964,733	\$952,500
C-HPD-0206	ALTERNATIVE ENFORCEMENT PROGRAM	14B	\$15,652,000	\$27,390,862	\$10,562,948
C-HPD-0171	EMERGENCY DEMOLITION PROGRAM	04, 06,19E	\$6,541,000	\$14,190,619	\$7,857,971
C-HPD-0009	EMERGENCY REPAIR PROGRAM	14B,06,19E	\$28,632,000	\$48,030,068	\$29,966,689
C-HPD-0092	HPD ADMINISTRATION	21A	\$8,583,000	\$12,904,693	\$7,345,155
C-HPD-0198	HPD EMERGENCY SHELTERS	08	\$11,587,000	\$16,847,332	\$9,805,613
C-HPD-0024	HPD FAIR HOUSING SERVICES PROGRAM	21D, 19E	\$1,004,000	\$2,036,827	\$963,208
C-MAY-0048	HOUSING LITIGATION DIVISION	15, 19E	\$7,876,000	\$12,425,915	\$7,751,943
C-HPD-0207	IN REM ALTERNATIVE MANAGEMENT PROGRAM	19E	\$28,215,000	\$34,532,376	\$14,415,968
C-HPD-0090	IN REM BUILDING MAINTENANCE AND REPAIR PROGRAM	19E,05	\$1,862,000	\$4,366,318	\$1,100,115
C-HPD-0015	IN REM BUILDING MAINTENANCE AND REPAIR PROJECT SUPPORT	19E	\$1,834,000	\$6,081,874	\$2,131,478
C-HPD-0011	IN REM HANDYPERSON CONTRACT	19E	\$519,000	\$3,855,258	\$413,745
C-HPD-0013	IN REM MATERIAL MANAGEMENT AND PROCUREMENT	19E	\$756,000	\$2,744,292	\$309,956
C-HPD-0014	IN REM PROPERTY MANAGEMENT PROGRAM	19E	\$4,351,000	\$9,744,847	\$3,969,080
C-HPD-0012	IN REM SUPERINTENDENT CONTRACT	19E	\$327,000	\$2,088,082	\$689,582
C-HPD-0000	NEIGHBORHOOD HOUSING SERVICES	14A,14B,21A	\$1,358,000	\$1,150,271	\$268,879
C-HPD-0114	NEIGHBORHOOD PRESERVATION CONSULTANTS	18B	\$1,518,000	\$4,588,348	\$1,405,642
C-HPD-0010	TARGETED CODE ENFORCEMENT	14I,15	\$41,654,000	\$58,272,223	\$47,340,898
C-DFA-0049	ELDERLY MINOR HOME REPAIR PROGRAM	05A	\$362,000	\$505,136	\$349,388
C-MAY-0048	HOUSING, INFORMATION AND EDUCATION	05B	\$122,000	\$250,075	\$129,974
C-HPD-0205	PRIMARY PREVENTION PROGRAM	14I	\$581,000	\$1,720,779	\$375,872
C-MAY-0047	PROJECT OPEN HOUSE FOR DISABLED PERSONS	14A,14B	\$238,000	\$1,037,319	\$202,060
C-DYCD-0204	ADULT LITERACY PROGRAM	05H, 21B	\$3,763,000	\$6,227,507	\$4,449,325
C-DYCD-0142	BEACON SCHOOL PROGRAM	05	\$6,300,000	\$11,791,005	\$5,814,976
C-DPR-0055	BRONX RIVER PROJECT	05	\$214,000	\$499,285	\$303,280
C-HPD-0050	BUILDING MAINTENANCE FOR YOUTH TRAINING PROGRAM	05H	\$159,000	\$342,131	\$163,177
C-VARIOUS-0063	CDBG ADMINISTRATION	21A	\$2,646,000	\$4,126,091	\$2,461,827
C-DOE-0165	CODE VIOLATION REMOVAL IN SCHOOLS	03	\$2,500,000	\$2,797,668	\$2,797,668
C-CHR-0040	COMMISSION ON HUMAN RIGHTS LAW ENFORCEMENT PROGRAM	05	\$2,065,000	\$3,065,603	\$2,166,609
C-CHR-0051	COMMISSION ON HUMAN RIGHTS NEIGHBORHOOD HUMAN RIGHTS PROGRAM	05,20,21D,21A	\$3,896,000	\$4,239,325	\$3,985,383
C-DCA-0079	COMMUNITY ARTS DEVELOPMENT PROGRAM	03E,19C,21A	\$138,000	\$657,255	\$92,329
C-ACS-0042	DAY CARE CENTER SERVICES	05L	\$3,292,000	\$4,938,000	\$3,291,999
C-ACS-0057	DAY CARE UPGRADE PROJECT SUPPORT	03M	\$137,000	\$195,161	\$195,161



**CDBG  
PROGAM EXPENDITURES**

FORM  
DCP #1

<b>Proj_Code</b>	<b>Program Name</b>	<b>HUD Code</b>	<b>Revised 2009 Allocation</b>	<b>Amount City Authorized</b>	<b>Amount City Expended/ Drawdown/ Disbursed</b>
C-DCP-0062	DCP COMPREHENSIVE PLANNING	20	\$13,225,000	\$17,010,278	\$12,864,947
C-DCP-0061	DCP INFORMATION TECHNOLOGY	20	\$3,257,000	\$5,186,460	\$3,273,491
C-DFA-0183	DFTA SENIOR CENTER IMPROVEMENTS	03A	\$2,177,000	\$4,838,573	\$1,043,931
C-DHS-0182	DHS HOMELESS SERVICES (FORMERLY DHS HOMELESS FAMILIES SERVICE)	05	\$6,890,000	\$5,890,000	\$4,882,000
C-EDC-0025	EDC ECONOMIC POLICY AND ANALYSIS PROGRAM	20	\$407,000	\$815,640	\$815,640
C-EDC-0027	EDC PROJECT PLANNING	20	\$254,000	\$507,712	\$507,712
C-CHA-0039	ELDERLY SAFE-AT-HOME	05A	\$225,000	\$389,810	\$114,189
C-SBS-0029	EMPOWERMENT ZONE ADMINISTRATION	21A	\$127,000	\$585,670	\$146,936
C-EDC-0030	GRAFFITI-FREE NYC	14A,14B,14E	\$645,000	\$2,099,274	\$1,848,526
C-DPR-0053	GREENTHUMB	05	\$882,000	\$1,750,774	\$976,994
C-HPD-0137	HPD NEIGHBORHOOD PRESERVATION OFFICES	20	\$5,349,000	\$9,960,893	\$5,598,847
C-HPD-0060	HPD HOUSING POLICY ANALYSIS AND STATISTICAL RESEARCH	20	\$1,753,000	\$4,021,419	\$2,227,954
C-HPD-0166	HPD PROGRAM PLANNING	20	\$3,008,000	\$4,992,464	\$3,233,987
C-DHMH-0046	HOMELESS OUTREACH AND HOUSING PLACEMENT SERVICES	05O	\$553,000	\$824,335	\$340,957
C-DPR-0054	LAND RESTORATION PROGRAM	06,03E,05	\$579,000	\$1,194,448	\$722,439
C-LPC-0202	LPC PLANNING	20	\$536,000	\$742,572	\$524,859
C-LPC-0052	LANDMARKS HISTORIC PRESERVATION GRANT PROGRAM	16A,16B	\$182,000	\$552,898	\$248,296
C-DPR-0095	MINIPOOLS	05D	\$664,000	\$793,495	\$777,515
C-SBS-0200	NYC BUSINESS SOLUTIONS CENTERS	05H, 18B,18C	\$972,000	\$1,543,756	\$753,668
C-HPD-0017	NARCOTICS CONTROL	05	\$1,600,000	\$2,968,547	\$1,591,697
C-DSBS-0026	AVENUE NYC	20, 18B,19C	\$2,288,000	\$5,267,764	\$2,213,575
C-DOS-0031	NEIGHBORHOOD VACANT LOT CLEAN-UP	06	\$20,242,000	\$27,624,206	\$17,959,930
C-DPR-0032	PROSPECT PARK SPECIAL ADMINISTRATOR'S OFFICE	05	\$551,000	\$1,142,943	\$620,983
C-HPD-0199	RENT GUIDELINES BOARD SUPPORT STAFF	20,21C	\$470,000	\$920,895	\$511,431
C-MAY-0037	SAFE HORIZON	05,21B	\$3,614,000	\$6,849,152	\$5,315,517
C-MAY-0203	SCORECARD PROGRAM	20	\$448,000	\$638,637	\$426,286
C-CHA-0041	SENIOR RESIDENT ADVISOR PROGRAM	05A	\$450,000	\$720,481	\$478,748
C-HRA-0163	UPGRADE OF HRA FACILITIES	03	\$1,469,000	\$3,725,291	\$3,725,291
C-DPR-0033	VAN CORTLANDT/PELHAM BAY PARKS SPECIAL ADMINISTRATOR'S OFFICE	05	\$494,000	\$1,063,820	\$536,207
C-DYCD-0174	MET COUNCIL FOOD PANTRY	05	\$375,000	\$750,000	\$375,000

**CDBG  
PROGRAM ACCOMPLISHMENTS**

FORM  
DCP #2

Proj_Code	Program Name	HUD Code	Accomplishment	Proposed Accomp_#	Amended Accomp_#	Actual Accomp_#
	COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG)					
C-HPD-0085	7A PROGRAM	14B	Number of units brought from substandard to standard condition.	145	45	6
C-HPD-0206	ALTERNATIVE ENFORCEMENT PROGRAM	14B	Total number of units brought from a substandard to standard condition	1,000	1,000	240
C-HPD-0171	EMERGENCY DEMOLITION PROGRAM	04,06,19E	Total # of slum and blight demolitions	150	200	80
C-HPD-0009	EMERGENCY REPAIR PROGRAM	14B,06,19E	Total number of units brought from a substandard to a standard condition	14,000	30,000	26,520
			Total number of units brought into compliance with lead-safe housing rule	2,750	3,825	2,750
C-HPD-0092	HPD ADMINISTRATION	21A	Not Applicable			
C-HPD-0198	HPD EMERGENCY SHELTERS	08	Total number of persons given overnight shelter (# of households)	850	1,050	1,010
C-HPD-0024	HPD FAIR HOUSING SERVICES	21D	Not Applicable			
C-HPD-0084	HOUSING LITIGATION DIVISION	15, 19E	Number of Households that received legal assistance to prevent homelessness (# of cases litigated).	245,228	245,228	249,082
C-HPD-0207	IN REM ALTERNATIVE MANAGEMENT PROGRAM	19E	Estimated DAMP occupied inventory	4,025	4,002	3,861
C-HPD-0090	IN REM BUILDING MAINTENANCE AND REPAIR PROGRAM	19E,05	Total number of units brought from substandard to standard. (In rem occupied building inventory: occupied & vacant units)	337	307	254
C-HPD-0015	IN REM BUILDING MAINTENANCE AND REPAIR PROJECT SUPPORT	19E	Not Applicable			
C-HPD-0011	IN REM HANDYPERSON CONTRACT	19E	Total number of units brought from substandard to standard. (In rem occupied building inventory: occupied & vacant units)	337	307	254
C-HPD-0013	IN REM MATERIAL MANAGEMENT AND PROCUREMENT	19E	Total number of units brought from substandard to standard. (In rem occupied building inventory: occupied & vacant units)	337	307	254
C-HPD-0014	IN REM PROPERTY MANAGEMENT PROGRAM	19E	Total number of units brought from substandard to standard. (In rem occupied building inventory: occupied & vacant units)	337	307	254
C-HPD-0012	IN REM SUPERINTENDENT CONTRACT	19E	Total number of units brought from substandard to standard. (In rem occupied building inventory: occupied & vacant units)	337	307	254

**CDBG  
PROGRAM ACCOMPLISHMENTS**

FORM  
DCP #2

Proj_Code	Program Name	HUD Code	Accomplishment	Proposed Accomp_#	Amended Accomp_#	Actual Accomp_#
C-HPD-0000	NEIGHBORHOOD HOUSING SERVICES	14A,14B,21A	Total number of owner-occupied units brought from substandard to standard condition	20	20	28
C-HPD-0114	NEIGHBORHOOD PRESERVATION CONSULTANTS	18B	Not Applicable			
C-HPD-0010	TARGETED CODE ENFORCEMENT	14I,15	No Suitable HUD Indicator (Number of Code Violations Removed)	600,000	600,000	621,152
C-DFA-0049	ELDERLY MINOR HOME REPAIR PROGRAM	05A	Total number of persons assisted with new/improved access to a service	2,500	2,300	2,523
C-MAY-0048	HOUSING INFORMATION AND EDUCATION	05B	Total number of persons assisted with new/improved access to a service	32,000	32,500	135,760
C-HPD-0205	PRIMARY PREVENTION PROGRAM	14I	Total number of units brought into compliance with lead-safe housing rule	25	6	8
C-MAY-0047	PROJECT OPEN HOUSE FOR DISABLED PERSONS	14A,14B	Total rental units made accessible for persons with disabilities	12	2	6
			Total number owner-occupied units rehabilitated or improved	12	12	0
C-DYCD-0204	ADULT LITERACY PROGRAM	05H,21B	Total number of persons assisted with new/improved access to a service	752,678	79,264	38,923
C-DYCD-0142	BEACON SCHOOL PROGRAM	05	Total number of persons assisted with new/improved access to a service	16,800	19,312	26,612
C-DPR-0055	BRONX RIVER PROJECT	05	Total number of persons assisted with new improved access to a service. (Units of Service)	24,360	34,771	22,945
C-HPD-0050	BUILDING MAINTENANCE FOR YOUTH TRAINING PROGRAM	05D	Total number of persons assisted with new/improved access to a service	100	100	79
C-VARIOUS-0063	CDBG ADMINISTRATION	21A	Not Applicable			
C-DOE-0165	CODE VIOLATION REMOVAL IN SCHOOLS	03	Total number of persons assisted with new/improved access to a facility	1,012,897	1,007,362	1,016,806
			Public Facilities	633	1,193	411
			No Suitable HUD Indicator (Number of Code Violations Removed)	4,248	411	1,193
C-CHR-0040	COMMISSION ON HUMAN RIGHTS LAW ENFORCEMENT PROGRAM	05	Total number of persons assisted with new/improved access to a service (Units of service: # of Investigations anticipated to be initiated in 2009 + # of investigations carried over from 2008)	1,400	1,400	2,039

**CDBG  
PROGRAM ACCOMPLISHMENTS**

FORM  
DCP #2

Proj_Code	Program Name	HUD Code	Accomplishment	Proposed Accomp_#	Amended Accomp_#	Actual Accomp_#
C-CHR-0051	COMMISSION ON HUMAN RIGHTS NEIGHBORHOOD HUMAN RIGHTS PROGRAM	05,20,21D,21A	Total number of persons assisted with a new/improved access to a service (Units of service)	75,000	85,000	86,018
C-DCA-0079	COMMUNITY ARTS DEVELOPMENT PROGRAM	03E,19C,21A	Organizations	8	3	1
C-ACS-0042	DAY CARE CENTER SERVICES	05L	Total number of persons assisted with new/improved access to a service	393	571	463
C-ACS-0057	DAY CARE CENTER UPGRADE PROJECT SUPPORT	03M	Not Applicable			
C-DCP-0062	DCP COMPREHENSIVE PLANNING	20	Not Applicable			
C-DCP-0061	DCP INFORMATION TECHNOLOGY	20	Not Applicable			
C-DFA-0183	DFTA SENIOR CENTER IMPROVEMENTS	03A	Total number of persons assisted with new/improved access to a facility	2,300	2,060	12,490
			Public Facilities	16	8	3
C-DHS-0182	DHS HOMELESS SERVICES (formerly DHS HOMELESS FAMILIES SERVICES)	05	Total number of Homeless persons given overnight shelter	332	687	476
C-EDC-0025	EDC ECONOMIC POLICY AND ANALYSIS PROGRAM	20	Not Applicable			
C-EDC-0027	EDC PROJECT PLANNING	20	Not Applicable			
C-CHA-0039	ELDERLY SAFE-AT-HOME	05A	Total number of persons assisted with new/improved access to a service	2,096	2,382	2,382
C-SBS-0029	EMPOWERMENT ZONE ADMINISTRATION	21A	Not Applicable			
C-EDC-0030	GRAFFITI-FREE NYC	14A, 14B, 14E	Total number of commercial façade treatments	13,000	3,077	3,089
C-DPR-0053	GREENTHUMB	05	Total number of persons assisted with new/improved access to a service	50,000	50,000	50,000
C-HPD-0137	HPD DIVISION OF NEIGHBORHOOD PRESERVATION OFFICES	20	Not Applicable			
C-HPD-0060	HPD HOUSING POLICY ANALYSIS AND STATISTICAL RESEARCH	20	Not Applicable			
C-HPD-0166	HPD PROGRAM PLANNING	20	Not Applicable			
C-DHMH-0046	HOMELESS OUTREACH AND HOUSING PLACEMENT SERVICES (DROP-IN CENTERS OUTREACH)	05O	Total number of persons assisted with new/improved access to a service	192	800	819
C-DPR-0054	LAND RESTORATION PROGRAM	06, 03E, 05	No appropriate HUD Indicator (Number of Acres Treated)	275	275	214
C-LPC-0202	LPC PLANNING	20	Not Applicable			
C-LPC-0052	LANDMARKS HISTORIC PRESERVATION GRANT PROGRAM	16A,16B	Total number of owner-occupied units rehabilitated or improved	8	7	7
			Total number of commercial façade treatments	8	6	5
C-DPR-0095	MINIPOOLS	05D	Total number of persons assisted with new/improved access to a service	55,352	107,602	107,602
C-SBS-0200	NYC BUSINESS SOLUTIONS CENTER	05H,18B,18C	Total number of persons assisted with new/improved access to a service via Business Basics training	2,300	2,300	2,785
			Total existing businesses assisted	750	3,500	922
			Total new businesses assisted	1,900	4,000	2,417

**CDBG  
PROGRAM ACCOMPLISHMENTS**

FORM  
DCP #2

Proj_Code	Program Name	HUD Code	Accomplishment	Proposed Accomp_#	Amended Accomp_#	Actual Accomp_#
C-HPD-0017	NARCOTICS CONTROL	05	Total number of persons assisted with new/improved access to a service (# represented is # of housing units)	17,200	17,200	23,060
C-SBS-0026	AVENUE NYC	18B,18C,20,19C	Total existing businesses assisted	3,500		12,147
			Total new businesses assisted	800		
C-DOS-0031	NEIGHBORHOOD VACANT LOT CLEAN-UP	06	No Suitable HUD Indicator (Number of Vacant Lots Cleaned)	4,685	4,057	3,829
C-DPR-0032	PROSPECT PARK SPECIAL ADMINISTRATOR'S OFFICE	05	Total number of persons assisted with new or continuing access to a service or benefit (Based on a user's survey)	6,000,000	6,000,000	8,863,109
C-HPD-0199	RENT GUIDELINES BOARD SUPPORT STAFF	20, 21A, 21C	Not Applicable			
C-MAY-0037	SAFE HORIZON	05,21B	Total number of persons assisted with new or continuing access to a service or benefit	133,896	130,016	161,559
C-MAY-0203	SCORECARD PROGRAM	20	Not Applicable			
C-CHA-0041	SENIOR RESIDENT ADVISOR PROGRAM	05A	Total number of persons assisted with new or continuing access to a service or benefit	2,521	2,526	2,373
C-HRA-0163	UPGRADE OF HRA FACILITIES	03	Total number of persons assisted with new/improved access to be a facility	0	0	45,278
			Public Facilities	4	2	6
C-DPR-0033	VAN CORTLANDT/PELHAM BAY PARKS SPECIAL ADMINISTRATORS' OFFICE	05	Total number of persons assisted with new or continuing access to a service or benefit (Based on a user's survey)	4,000,000	4,000,000	4,000,000
C-DYCD-0174	MET COUNCIL FOOD PANTRY	05	Total number of persons assisted with new or continuing access to a service or benefit		64,500	156,000

**Proposed 2009 APR CDBG Program Expenditures by Performance Objective Code/Statement**

FORM  
DCP #3

<b>Outcome Objective Code Statement</b>					
	<b>Program Name</b>	<b>HUD Code</b>	<b>Revised 2009 Allocation</b>	<b>Amount City Authorized</b>	<b>Amount City Expended/ Drawdown/D isbursed</b>
	COMMUNITY DEVELOPMENT BLOCK GRANT (CDBG)				
<b>DH-1 Accessibility for the purpose of Purpose of Providing Decent Affordable Housing</b>					
	ELDERLY SAFE-AT-HOME	05A	\$225,000	\$389,810	\$114,189
	HOUSING, INFORMATION AND EDUCATION	05B	\$122,000	\$250,075	\$129,974
	PROJECT OPEN HOUSE	14A, 14B	\$238,000	\$1,037,319	\$202,060
	SENIOR RESIDENT ADVISOR PROGRAM	05A	\$450,000	\$720,481	\$478,748
<b>DH-2 Affordability for the Purpose of Providing Decent Affordable Housing</b>					
	7A PROGRAM	14B	\$1,420,000	\$3,964,733	\$952,500
	ALTERNATIVE ENFORCEMENT PROGRAM	14B	\$15,652,000	\$27,390,862	\$10,562,948
	HOUSING LITIGATION DIVISION	15, 19E	\$7,876,000	\$12,425,915	\$7,751,943
	HPD EMERGENCY SHELTERS	08	\$11,587,000	\$16,847,332	\$9,805,613
	IN REM ALTERNATIVE MANAGEMENT PROGRAM	19E	\$28,215,000	\$34,532,376	\$14,415,968
	IN REM BUILDING MAINTENANCE AND REPAIR PROGRAM	19E, 05	\$1,862,000	\$4,366,318	\$1,100,115
	IN REM HANDYPERSON CONTRACT	19E	\$519,000	\$3,855,258	\$413,745
	IN REM MATERIAL MANAGEMENT AND PROCUREMENT	19E	\$756,000	\$2,744,292	\$309,956
	IN REM PROPERTY MANAGEMENT PROGRAM	19E	\$4,351,000	\$9,744,847	\$3,969,080
	IN REM SUPERINTENDENT CONTRACT	19E	\$327,000	\$2,088,082	\$689,582
<b>DH-2 Sustainability for the Purpose of Decent Affordability Housing</b>					
	EMERGENCY REPAIR PROGRAM	14B, 06, 19E	\$28,632,000	\$48,030,068	\$29,966,689
	NARCOTICS CONTROL	05	\$1,600,000	\$2,968,547	\$1,591,697
	NEIGHBORHOOD HOUSING SERVICES	14A, 14B, 21A	\$1,358,000		
	PRIMARY PREVENTION PROGRAM	14I	\$581,000	\$1,720,779	\$375,872
<b>EO-1 Accessibility for the Purpose of Creating Economic Opportunites</b>					
	ADULT LITERACY PROGRAM	05H, 21B	\$3,763,000	\$6,227,507	\$4,449,325
	AVENUE NYC	20, 18B, 19C	\$2,288,000	\$5,267,764	\$2,213,575
	BUILDING MAINTENANCE FOR YOUTH TRAINING PROGRAM	05H	\$159,000	\$342,131	\$163,177
	NYC BUSINESS SOLUTIONS	05H, 18B, 18C	\$972,000	\$1,543,756	\$753,668
<b>EO-1 Sustainability for the Purpose of Creating Economic Opportunities</b>					
	GRAFFITI-FREE NYC	14A, 14B, 14E	\$645,000	\$2,099,274	\$1,848,526
<b>N/A Not Applicable</b>					
	CDBG ADMINISTRATION	21A	\$2,646,000	\$4,126,091	\$2,461,827
	DCP COMPREHENSIVE PLANNING	20	\$13,225,000	\$17,010,278	\$12,864,947
	DCP INFORMATION TECHNOLOGY	20	\$3,257,000	\$5,186,460	\$3,273,491

Proposed 2009 APR CDBG Program Expenditures by Performance Objective Code/Statement

FORM  
DCP #3

	EDC ECONOMIC POLICY AND ANALYSIS PROGRAM	20	\$407,000	\$815,640	\$815,640
	EDC PROJECT PLANNING	20	\$254,000	\$507,712	\$507,712
	EMPOWERMENT ZONE ADMINISTRATION	21A	\$127,000	\$585,670	\$146,936
	HPD ADMINISTRATION	21A	\$8,583,000	\$12,904,693	\$7,345,155
	HPD FAIR HOUSING SERVICES PROGRAM	21D	\$1,004,000	\$2,036,827	\$963,208
	HPD HOUSING POLICY ANALYSIS AND STATISTICAL RESEARCH	20	\$1,753,000	\$4,021,419	\$2,227,954
	HPD NEIGHBORHOOD PRESERVATION OFFICES	20	\$5,349,000	\$9,960,893	\$5,598,847
	HPD PROGRAM PLANNING	20	\$3,008,000	\$4,992,464	\$3,233,987
	IN REM BUILDING MAINTENANCE AND REPAIR PROJECT SUPPORT	19E	\$1,834,000	\$6,081,874	\$2,131,478
	LPC PLANNING	20	\$536,000	\$742,572	\$524,859
	NEIGHBORHOOD PRESERVATION CONSULTANTS	18B	\$1,518,000	\$4,588,348	\$1,405,642
	RENT GUIDELINES BOARD SUPPORT STAFF	20, 21A, 21C	\$470,000	\$920,895	\$511,431
	SCORECARD PROGRAM	20	\$448,000	\$638,637	\$426,286
<b>N/I Not Applicable-Not Suitable Indicator</b>					
	LAND RESTORATION PROGRAM	06, 03E, 05	\$579,000	\$1,194,448	\$722,439
	NEIGHBORHOOD VACANT LOT CLEAN-UP PROGRAM	06	\$20,242,000	\$27,624,206	\$17,959,930
	TARGETED CODE ENFORCEMENT	14I,15	\$41,654,000	\$58,272,223	\$47,340,898
<b>SL-1 Accessibility for the Purpose of Creating Suitable Living Environments</b>					
	BEACON SCHOOL PROGRAM	05	\$6,300,000	\$11,791,005	\$5,814,976
	COMMISSION ON HUMAN RIGHTS LAW ENFORCEMENT PROGRAM	05	\$2,065,000	\$3,065,603	\$2,166,609
	COMMISSION ON HUMAN RIGHTS NEIGHBORHOOD HUMAN RIGHTS PROGRAM	05, 20, 21D, 21A	\$3,896,000	\$4,239,325	\$3,985,383
	DAY CARE UPGRADE PROJECT SUPPORT	03M	\$137,000	\$195,161	\$195,161
	DFTA SENIOR CENTER IMPROVEMENTS	03A	\$2,177,000	\$4,838,573	\$1,043,931
	DHS HOMELESS SERVICES (FORMERLY DHS HOMELESS FAMILIES SVC.)	05	\$6,890,000	\$5,890,000	\$4,882,000
	GREENTHUMB	05	\$882,000	\$1,750,774	\$976,994
	HOMELESS OUTREACH AND HOUSING PLACEMENT SERVICES	05O	\$553,000	\$824,335	\$340,957
	MET COUNCIL FOOD PANTRY	05	\$375,000	\$750,000	\$375,000
	MINIPOOLS	05D	\$664,000	\$793,495	\$777,515
	PROSPECT PARK SPECIAL ADMINISTRATOR'S OFFICE	05	\$551,000	\$1,142,943	\$620,983
	SAFE HORIZON	05, 21B	\$3,614,000	\$6,849,152	\$5,315,517
	LANDMARKS HISTORIC PRESERVATION GRANT PROGRAM	16A,16B	\$182,000	\$552,898	\$248,296
	VAN CORTLANDT/PELHAM BAY PARKS SPECIAL ADMINISTRATOR'S OFFICE	05	\$494,000	\$1,063,820	\$536,207
<b>SL-2 Affordability for the Purpose of Suitable Living Environments</b>					
	DAY CARE CENTER SERVICES	05L	\$3,292,000	\$4,938,000	\$3,291,999
<b>SL-3 Sustainability for Purpose of Creating Living Environments</b>					
	BRONX RIVER PROJECT	05	\$214,000	\$499,285	\$303,280
	CODE VIOLATION REMOVAL IN SCHOOLS	03	\$2,500,000	\$2,797,668	\$2,797,668
	COMMUNITY ARTS DEVELOPMENT PROGRAM	03E, 19C, 21A	\$138,000	\$657,255	\$92,329
	ELDERLY MINOR HOME REPAIR PROGRAM	05A	\$362,000	\$505,136	\$349,388
	EMERGENCY DEMOLITION PROGRAM	04, 06, 19E	\$6,541,000	\$14,190,619	\$7,857,971

## **Financial Summary Chart for the Community Development Block Grant Program**

On the pages that follow is the CDBG Financial Summary Chart. This chart reflects available funds and expenditures for the period 01/01/09 - 12/31/09. In addition to the CD entitlement received for 2009, revenues also are generated through program income.

Part III: 70% of CD Program funds must benefit low- and moderate-income (low/mod) persons. For calendar year 2009, the percent benefit to low/mod persons is 86.93.

Part IV: 70% of CD Program funds must benefit low- and moderate-income (low/mod) persons. The City has chosen to be evaluated for a three-year period (2008, 2009, and 2010) and has just completed the second year. For calendar years 2008 and 2009, the percent benefit to low/mod persons is 88.53.

Part V: The Public Service cap is calculated by dividing the sum of the Public Service expenditures and the Public Service unliquidated obligations by the sum of the current year's grant and the prior year's program income. The Public Service cap is 15%. In calendar year 2009, the Public Service percentage is 13.74.

Part VI: No more than 20% of the CD Entitlement plus program income received in the current year may be expended for planning and administration activities. In 2009, 19.23% of CD funds was expended for these activities.



**FINANCIAL SUMMARY  
ANNUAL PERFORMANCE REPORT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM**

Name of Grantee: City of New York  
Grant Number: B09MC360104  
Reporting Period: 01/01/09 - 12/31/09

**NOTE: This Financial Summary Report represents calendar year 2009 fiscal data.**

**PART I: Summary of CDBG Resources**

1. Unexpended CDBG funds at end of previous reporting period .....			192,024,986.00
2. Entitlement Grant from form HUD-7082 .....			180,346,901.00
3. Surplus Urban Renewal Funds .....			0.00
4. Section 108 Guaranteed Loan Funds (Principal Amount) .....			0.00
5. Program Income received by			
	Grantee	Subrecipient	
	(column A)	(column B)	
a. Revolving Funds - NHS	69,779.00	0.00	
b. Other (identify below)	0.00	49,823,046.00	
Total Program Income (sum of columns A and B) .....			49,892,825.00
6. Prior period adjustments (if negative, enclose in brackets) .....			0.00
7. Total CDBG funds available for use during this reporting period .....			422,264,712.00

**PART II: Summary of CDBG Expenditures**

8. Total expenditures reported * .....			249,020,959.00
9. Total expended for Planning & Administration .....	44,282,567.00		
10. Amount subject to Low/Mod Benefit calculation .....	204,738,392.00		
11. CDBG funds used for Section 108 principal & interest payments .....			74,360.00
12. Total expenditures (line 8 plus line 11) .....			249,095,319.00
13. Unexpended balance (line 7 minus line 12) .....			173,169,393.00

**PART III: Low/Mod credit this Reporting Period**

14. Total Low/Mod credit for multi-unit housing expenditures .....			108,751,984.00
15. Total from all other activities qualifying as Low/Mod expenditures .....			69,217,277.00
16. Total (line 14 plus line 15) .....			177,969,261.00
17. Percent benefit to Low/Mod persons (line 16 divided by line 10 this reporting period) .....			86.93%

**PART IV: Low/Mod Benefit for Multi-Year Certifications (Complete only if certification period includes prior years)**

Program Years (PY) covered in certification    PY '08    PY '09    PY '10

18. Cumulative net expenditures subject to program benefit calculation .....			415,799,479.00
19. Cumulative expenditures benefiting Low/Mod persons .....			368,102,028.00
20. Percent benefit to Low/Mod persons (line 19 divided by line 18) .....			88.53%

**PART V: For Public Services Activities only: Public Services Cap Calculation**

21. Total Public Service expenditures .....			33,806,364.00
22. Total Public Service unliquidated obligations .....			4,331,986.00
23. Sum of line 21 and line 22 .....			38,138,350.00
24. Total Public Service unliquidated obligations reported at the end of the previous reporting period .....			5,530,320.00
25. Net obligations for public services (line 23 minus line 24) .....			32,608,030.00
26. Amount of Program Income received in the preceding program year .....			56,974,410.00
27. Entitlement Grant amount (from line 2) .....			180,346,901.00
28. Sum of lines 26 and 27 .....			237,321,311.00
29. Percent funds obligated for Public Service Activities (line 25 divided by line 28) .....			13.74%

\* Includes Neighborhood Housing Services (NHS) program.

**FINANCIAL SUMMARY  
ANNUAL PERFORMANCE REPORT  
COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM**

Name of Grantee: City of New York  
Grant Number: B09MC360104  
Reporting Period: 01/01/09 - 12/31/09

**PART VI: Planning and Program Administration Cap Calculation**

30. Amount subject to planning and administration cap (grant amount from line 2 plus line 5)	230,239,726.00
31. Amount expended for planning and administration (from line 9 above)	44,282,567.00
32. Percent funds expended (line 31 divided by line 30) .....	19.23%

**PROGRAM INCOME NARRATIVE**

Due to limitations inherent in the IDIS software, a listing of Program Income sources generated by prior years' completed CD programs follows the Financial Summary as Chart A.

**Line 5b:**

Other Program Income			
Project ID #	Description	Grantee	Subrecipient
207	Tenant Interim Lease	1,219,731.00	0.00
85	7A Administration	948,402.00	0.00
9	Emergency Repair Program	17,380,318.00	0.00
31	Vacant Lot Clean Up	404,801.00	0.00
84	Housing Litigation Division	4,086,600.00	0.00
61	Information Technology	66,740.00	0.00
26	Avenue NYC	85,415.00	0.00
24	Fair Housing	109,477.00	0.00
31	Vacant Lot Clean Up/Bulk Recycling	70,018.00	0.00
206	Alternative Enforcement: Repairs	1,266,285.00	0.00
206	Alternative Enforcement: Fees	437,676.00	0.00
9	Emergency Repair Program II	5,910.00	0.00
-	Completed CD programs' revenue streams.	23,741,673.00	0.00
<b>TOTAL:</b>		<b>49,823,046.00</b>	<b>0.00</b>

**Line 6: PRIOR PERIOD ADJUSTMENT NARRATIVE**

**RECONCILIATION OF LINE (S) OF CREDIT (LOC) AND CASH BALANCES TO UNEXPENDED BALANCE OF CDBG FUNDS SHOWN ON THE APR:**

Complete the following worksheet and submit with the attachment:

**UNEXPENDED BALANCE SHOWN ON FINANCIAL SUMMARY (line 13):** **173,169,393.00**

ADD:

LOC balance (s) as of APR date	172,088,901.00
Cash on Hand:	
Grantee Program Account	0.00
Subrecipients Program Accounts	0.00
Revolving Fund Cash Balances	1,080,492.00
Section 108 Accounts (in contract)	0.00

SUBTRACT:

Grantee CDBG Program Liabilities (include any reimbursements due to the Grantee from program funds)	(0.00) *
Subrecipient CDBG Program Liabilities (Same instructions as above)	(0.00) *

**TOTAL RECONCILING BALANCE:** **173,169,393.00**

**UNRECONCILED DIFFERENCE:** **0.00**

\* When grantees or subrecipients operate their programs on a reimbursement basis, any amounts due to the grantees or subrecipients should be included in the Program Liabilities.

**ANNUAL PERFORMANCE REPORT  
 CD YEAR 35 REVENUE SUMMARY  
 (Reporting Period: 01/01/09 - 12/31/09)  
 COMMUNITY DEVELOPMENT BLOCK GRANT PROGRAM**

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<b>SOURCE AGENCY</b>	<b>REVENUE SOURCE DESCRIPTION</b>	<b>REVENUE AMOUNT</b>
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**CHART A**

HPD	Sweat Equity	101,058
HPD	Participation Loan	41,081
HPD	Community Management	2,895
HPD	Private Ownership Management	18,478
HPD	SRO Rehab Loan	87,750
HPD	Brooklyn Small Homes	(24)
HPD	Federal Urban Renewal Leases and Rents	1,541,894
Various	Program Income Adjustment	20,254
DSBS	EDC Miscellaneous Revenue	49,178
DSBS	EDC Urban Renewal Land Sales	21,765,928
HPD	HUD Clearance Test Reimbursement	23,445
HPD	HPD Federal CD Miscellaneous Revenue	89,736
<b>PROGRAM INCOME - COMPLETED PROGRAMS TOTAL:</b>		<b>23,741,673</b>

## **2. HOME INVESTMENT PARTNERSHIP PROGRAM (HOME)**

The New York City Department of Housing Preservation and Development has continued to use its limited resources to fulfill the long-range strategies that were laid out in the FFY 2009 Consolidated Plan. Actual accomplishments for some of the individual programs vary from the proposed accomplishments due to use of HOME funds for long-term construction and rehabilitation purposes. Please refer to the note at the end of this article for a complete discussion explaining the basis for substantial variances between proposed and actual accomplishments.

The City's 2009 HOME award was \$124,733,307 for HOME; it was received on July 1, 2009. It was projected that the majority of the 2009 grant would be targeted to substantial and moderate rehabilitation activities designed to benefit a range of small and large households, homeless families and individuals and elderly families. In addition, some of the 2009 HOME grant may be used toward acquisition, new construction, rental assistance, or down payment assistance. The funds must be committed to projects by July 31, 2011. The City's schedule to commit projects with these funds has not been finalized.

During 2009, after allowing for a 10% administrative cost allowance on the HOME grant, the City committed \$118,096,512 of HOME funds for a variety of affordable housing projects. These funds include HOME monies granted in prior years but committed in HUD's Cash Management Information System (CMI) and in HUD's Integrated Disbursement and Information System (IDIS) between January 1, 2009 and December 31, 2009. The funds committed during this time were from 2006, 2007, and 2008 HOME awards. Therefore, the funds committed discussed in this section do not correspond directly to the amounts received from HUD as listed in the Program Expenditures Table (DCP Table # 1). The required IDIS HOME tables are provided in Volume III: C04PR27 Status of HOME Grant; C04PR22 Status of HOME Activities; and C04PR25 Status of CHDO funds. Volume III is over 200 pages in length, and therefore will only be provided upon request. To request a copy, please call (212) 720-3531.

In the Program Accomplishments Table, the column entitled "Proposed Accomplishment Number", was taken from the 2009 Consolidated Plan, which the City published prior to the time the City actually received its 2009 HOME grant. This figure represents the City's original estimate as to the total number of households that will be assisted over time using 2009 HOME funds. The column entitled "Actual Accomplishment Number" indicates the total number of households being assisted in projects that actually committed HOME funds during calendar year 2009. A fuller explanation as to why this methodology was used is at the end of this HOME Section.

The matching requirements for the HOME grant were reduced for many localities in an effort to ease the financial burden on jurisdictions already strapped for funds. As with the City's past HOME allocations, 2009 HOME funds must be matched by non-federal resources (for example, cash, value of waived taxes, value of land, cost of infrastructure improvements) based on the type of activity undertaken. For every federal dollar, 0.125 non-federal dollars must be spent.

It is anticipated that 2009 HOME program dollars will be combined with City capital funds in several HPD programs. These programs are described in detail in the 2009 Consolidated Plan. It is important to note that at least 15% of HOME funds must be reserved for housing to be developed, sponsored, or owned by community housing development organizations (CHDOs). However, given the City's long and extensive history of involvement with not-for-profit organizations in the production, ownership and management for affordable housing, it is again likely that more than the 15% minimum of the HOME awards will be used for projects involving CHDOs. In addition, 10% of HOME funds are set aside for eligible administrative expenses, as is reflected in the HOME/CMI Table and on the HOME Program Expenditure Table.

In the 2005 Consolidated Plan: Five-year Strategy, the City of New York's agencies that address housing issues identified several Housing-related program objectives. Below is an explanation of how HPD has used its resources (federal, state, city, and private funds) to meet those broad objectives.

In all of the City-administered HOME-funded programs that benefited newly assisted households in 2009, the City assisted **2,970 housing units, which is substantially more than its overall goal of benefiting 2,213** housing units. Nevertheless, variances arise between planned and actual start dates for housing projects. Also, planning of projects is tied to estimations of the dates that projects will be ready for commitment in IDIS, and these estimations are not readily predictable in advance of the program year, when estimations are made. Consequently, on a program-by-program basis, variances between planned and actual goals are explained under the objectives headings in the following article.

Objectives:

**Preserve and improve the existing supply of privately owned affordable housing.**

The City of New York has devoted significant resources to the moderate rehabilitation of privately owned housing. Such programs include the Participation Loan Program (PLP), which in 2009 actually committed \$3,614,513 HOME funds, substantially more than the planned \$2.946 million, to provide low-interest loans to both for-profit and not-for-profit owners; occupied and vacant multi-family buildings undergo rehabilitation ranging from moderate to substantial. Because the use of HOME funds is based upon the eligibility of buildings for which owners file applications, the number of buildings that actually receive HOME commitments in a particular year can vary substantially from HPD's projection at the time that the Consolidated Plan is prepared. However, those variances generally average out over longer time frames. Some 70 housing units will benefit from PLP activities in 2009, far more than the proposed number of 31 units.

The Supportive Housing Loan Program actually committed \$53.673 million in 2009, exceeding the \$ 47.158 million planned, for the acquisition and rehabilitation of properties by not-for-profit organizations for the purpose of developing new permanent housing for homeless and low-income single adults. The program will benefit 540 units, far more than the 314 units planned in the 2009 Consolidated Plan. The proposed accomplishment was based on the application of a presumed HOME \$ per unit average cost to the projected grant award amount for the Supportive Housing Loan Program. The actual accomplishment is the total number of units in projects that were set up against HOME grant funds during Program Year 2008. While the amount of HOME dollars committed for SHP in Program Year 2008 (utilizing HOME grant funds from earlier years), was within the range expected, the number of units exceeded the target. This is because the average per-unit cost for projects committed in Program Year 2008 was lower than that assumed at the time of the Consolidated Plan.

In 2009, HPD committed no HOME funds for the Small Homes Scattered Site Buildings Loan Program (New Foundations), less than the \$1.227 million planned in the 2009 Consolidated Plan, which provides affordable financing to owners of small private buildings that require moderate or substantial rehabilitation. As a result no households will be assisted, compared with the initial proposed estimate of 25 units. The proposed accomplishment was based on the application of a presumed HOME \$ per unit average cost to the projected grant award amount for the New Foundations Program. The actual accomplishment is the total number of units in projects that were set up against HOME grant funds during Program Year 2009. The program experienced a shortfall in starts due to the depressed homeownership market in 2009 and the difficulties developers experienced in securing financing.

In 2009, HPD committed \$1.854 million in HOME funds for the Third Party Transfer Program, somewhat less than the \$2.388 million planned to be committed to assist 13 housing units in the 2009 Consolidated Plan. Actually, 16 Third Party Transfer households were reported in the IDIS system to be assisted in 2009. The proposed accomplishment was based on the application of a presumed HOME \$ per unit average cost to the projected grant award amount for the Third Party Transfer Program (TPT). The actual accomplishment is the total number of units in projects that were committed with HOME grant funds during Program Year 2009. While the amount of HOME dollars set up for TPT in Program Year 2009 (utilizing HOME grant funds from earlier years), was within the range expected, the number of units exceeded the target. This is because the average per unit cost for projects committed in Program Year 2009 was lower than that assumed at the time of the Consolidated Plan.

In 2009, HPD planned to use \$5.477 million in HOME funds for the Article 8A Loan Program, which provides loans to finance the replacement of existing systems or removal of substandard conditions which are violations of the multiple dwelling law or local housing code. The loan program is authorized by the New York State Private Housing Law. Some 331 units were planned to benefit from the use of funds. In 2009, HPD actually committed \$5.765 million, which resulted in a substantially greater 447 units benefiting. As with the above program, while the amount of HOME dollars set up for Article 8A in Program Year 2009 (utilizing HOME grant funds from earlier years), was within the range expected, the number of units exceeded the target. This is because the average per unit cost for projects committed in Program Year 2009 was lower than that assumed at the time of the Consolidated Plan.

Overall, in 2009 the City successfully completed work (moderate and gut rehabilitation) in a total of 6,360 housing units within the category of preserving and improving the existing supply of privately owned affordable housing, unlike the figures above which relate to HOME-funded projects. This number includes completed units in programs funded from all sources (including City capital funding).

**Rehabilitate and return the stock of City-owned buildings to a range of responsible private owners in order to improve living conditions in these buildings while maintaining affordability for very low-, low- and moderate-income tenants.**

In 2009, HPD committed no HOME funds to the Neighborhood Entrepreneurs Program (NEP), less than the \$1.515 million planned in the 2009 Consolidated Plan. The number of units that will benefit from the program is none, less than the 10 units planned in the 2009 Consolidated Plan. The NEP Program provides rehabilitation of occupied and vacant City-owned buildings that will be eventually sold to and managed by neighborhood based property managers. Rehabilitation financing is provided by commercial banks and HPD provides permanent financing. Actual accomplishments committed in any given calendar year cross over two (2) City fiscal years, while the proposed accomplishments only take into consideration the upcoming calendar year.

Also in 2009, HPD committed \$17.414 million in HOME funds to the Neighborhood Redevelopment Program (NRP), substantially more than the \$1.056 million planned in the 2009 Consolidated Plan. The number of units that will benefit from the program is 206, substantially more than the 7 units planned in the 2009 Consolidated Plan. The Neighborhood Redevelopment Program (NRP) provides financing to enable experienced, locally-based not-for-profit organizations to acquire and rehabilitate occupied City-owned buildings. As with the above program, actual accomplishments committed in any given calendar year cross over two (2) City fiscal years, while the proposed accomplishments only take into consideration the upcoming calendar year.

Overall, in 2009 the City successfully completed work (moderate and gut rehabilitation) in a total of 883 housing units within the category of rehabilitation and returned the stock of City-owned buildings to a range of responsible private owners. This number includes completed units in programs funded from all sources (including City capital funding).

**Expand the supply of affordable housing.**

HPD committed \$2.089 million in HOME funds for the Multifamily New Construction Program in 2009, although it had planned to commit \$0.378 million of HOME funds in the 2009 Consolidated Plan. Some 59 units were assisted through the program, although only 6 units were estimated in the 2009 Consolidated Plan. The proposed accomplishment was based on the application of a presumed HOME \$ per unit average cost to the projected grant award amount for the Multifamily New Construction Program. The actual accomplishment is the total number of units in projects that were set up against HOME grant funds during Program Year 2009. The volume of HOME-funded activity in the program can vary substantially from year to year, based on how projects move through the development pipeline.

Also in 2009, HPD actually committed \$3.240 million in HOME funds for the Multifamily Rental Mixed Income Program, although it had planned to commit \$5.087 million of HOME funds in the 2009 Consolidated Plan. No units will be assisted through the program, although some 146 units were estimated in the 2009 Consolidated Plan. The 2009 Consolidated Plan assumed the utilization of HOME funds in the Multifamily

Rental Mixed Income Program, but sites closed within that program year did not utilize HOME. We anticipate that HOME funds will be used in the 2010 program year. In this program, the number of buildings that actually receive commitments of HOME funds can vary substantially from HPD's projection at the time that the Consolidated Plan is prepared.

In its efforts to provide direct financial assistance to encourage the development of affordable housing in New York City, in 2009 HPD completed 4,052 newly constructed units through Mayor Michael R. Bloomberg's "The New Housing Marketplace: Creating Housing for the Next Generation," a \$7.5 billion plan to create and preserve more than 165,000 homes and apartments citywide through new construction or rehabilitation. This number includes completed units in programs funded from all sources (including City capital funding).

**Prevent displacement and reduce cost burdens for very low-income and other low-income New Yorkers.**

**Provide new economic opportunities for locally based small businesses and low-income workers.**

Also in the 2009 Consolidated Plan, HPD planned to commit \$2.946 million in HOME funds for the Multifamily Homeownership (formerly known as the Cornerstone) Program, but it actually committed \$3.358 million of HOME funds. Some 196 units will be assisted through the program, although only some 49 units were estimated in the 2009 Consolidated Plan. The proposed accomplishment was based on the application of a presumed HOME \$ per unit average cost to the projected grant award amount for the Multifamily Homeownership Program. The actual accomplishment is the total number of units in projects that were set up against HOME grant funds during Program Year 2009. While the amount of HOME dollars set up for Multifamily Homeownership in Program Year 2009 (utilizing HOME grant funds from earlier years), was within the range expected, the number of units exceeded the target. This is because the average per unit cost for projects committed in Program Year 2009 was lower than that assumed at the time of the Consolidated Plan.

HPD actually committed no HOME funds for the New Mixed Income Rental Program, although \$3.638 million of HOME funds in the 2009 Consolidated Plan. Consequently, no units will be assisted through the program, although 146 units were estimated in the 2009 Consolidated Plan. The 2009 Consolidated Plan assumed the utilization of HOME funds in the Multifamily Rental Mixed Income Program, but sites closed within that program year did not utilize HOME. We anticipate that HOME funds will be used in the 2010 program year. In this program, the number of buildings that actually receive commitments of HOME funds can vary substantially from HPD's projection at the time that the Consolidated Plan is prepared.

HPD committed \$18.965 million of HOME funds for the Low-Income Rental Program in 2008, although it had planned to commit \$26.136 million of HOME funds in the 2009 Consolidated Plan. Nevertheless, 983 units will be assisted through the program, although some 436 units were estimated in the 2009 Consolidated Plan. The proposed accomplishment was based on the application of a presumed HOME \$ per unit average cost to the projected grant award amount for the Low Income Rental Program. The actual accomplishment is the total number of units in projects that were set up against HOME grant funds during Program Year 2009. While the number of units set up for Low Income Rental in Program Year 2009 (utilizing HOME grant funds from earlier years), was higher than expected, the amount of HOME funds set up was below target. This is because the average per unit cost for projects committed in Program Year 2009 was lower than that assumed at the time of the Consolidated Plan.

HPD committed \$7.973 million of HOME funds for the HUD Section 202 Program in 2009, although it had planned to commit \$12.921 million of HOME funds in the 2009 Consolidated Plan. Some 221 units were assisted through the program in 2009, although some 403 units were estimated in the 2009 Consolidated Plan. The proposed accomplishment was based on the application of a presumed HOME \$ per unit average cost to the projected grant award amount for the HUD Section 202 Program. The actual accomplishment is the total number of units in projects that were set up against HOME grant funds during Program Year 2009. The volume of HOME-funded activity in the program can vary substantially from year to year, based on how projects move through the development pipeline.

In 2009, HPD actually assisted 120 households under the American Dream Down payment Assistance Program (ADDI)-funded HomeFirst Program, based on use of ADDI grants of prior years. Congress made no appropriation for ADDI for Calendar 2009.

Separately, in 2009, HPD continued to operate a tenant-based rental assistance program through the federal Housing Choice Voucher Program. Approximately 32,682 households received tenant-based Section 8 rental assistance and project-based Section 8 rental assistance administered through HPD. This includes 5288 households that were newly assisted during the calendar year period.

HOME Completions in 2009

The number of HOME-assisted housing units completed in this category during calendar 2009 using current and prior years grant funds, was 2,666. The following information is a breakdown of the number of HOME-assisted housing completions in 2009 by program.

<u>Program Name</u>	<u>Number of Units</u>
Neighborhood Entrepreneurs Program (NEP)	1,324
Neighborhood Redevelopment Program (NRP)	242
Participation Loan Program (PLP)	194
Third Party Transfer (TPT)	109
The Supportive Housing Loan Program	148
Small Homes Scattered Sites Loan Program (New Foundations)	21
Multifamily Homeownership (formerly known as the Cornerstone) Program	60
New Mixed Income Rental Program (MIRP)	348
Low-Income Rental Program	42
Small Buildings Loan Program (formerly known as Small Homes Private Loan Program)	52
HomeFirst Down Payment Assistance Program (ADDI)	120
<u>New Partners</u>	<u>6</u>
Total	2,666

**IMPORTANT NOTE:**

The HOME Program is primarily designed to stimulate the development of permanent housing projects, including a variety of substantial (a.k.a., gut) rehabilitation projects as well as new construction projects. By its very nature, the development of permanent housing is an involved process and takes a considerable period of time. In fact, development sites/buildings must be located and acquired, developers selected, market studies performed, architectural drawings and construction scopes of work completed, and financing obtained before most projects can even be committed in HUD's IDIS/CMI system. Once projects are committed, the construction cycle can take as much as another 24 months depending on conditions and the amount of work being performed. In recognition of these facts, the HOME regulations allow grantees up to two years from receipt of the funds to commit them and an additional three years to complete construction and submit the necessary project completion reports. Consequently, it is clearly not possible to produce a complete report on the commitment of 2009 HOME funds, let alone the completion of construction for units assisted with 2009 HOME funds, in the time frame allowed for the 2009 Annual Performance Report, which is required to be completed in early 2009. Instead, under the heading "Actual Accomplishments", HPD has provided information regarding actual HOME commitments made in the CMI/IDIS system during 2009, recognizing that most, if not all, of these commitments were registered using funding from earlier HOME grants. Consequently, the figures provided under this heading will not correspond directly with the figures in the column entitled "Proposed Accomplishments," which represents the Agency's best projections as to how the 2009 HOME grant will be committed over the next two years and how many units will be assisted. Please note also that in compliance with the annual performance report requirements, HPD has provided a full accounting of all units completed in HOME projects during 2009 under the Accomplishments section of this report. Clearly, these figures also



represent units that were funded with earlier HOME awards rather than with the 2009 HOME grant. See: the notes on the "Table of HOME Program Expenditures," for an explanation on the use of 2009 HOME funds.

### HOME Project Report Summaries

#### On-site Inspections of Assisted Affordable Rental Housing

During 2009 there were 349 HOME projects under compliance monitoring. The projects included 1,202 buildings containing 10,499 HOME units.

Of the 349 projects, 250 required physical (HQS) inspection in calendar year 2009. A sample of 2,144 apartments was inspected: 1,453 passed or were corrected; 791 failed. Notices of non-compliance are being sent to owners of units that failed, and HPD will continue to seek a satisfactory response.

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

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

- HPD includes information on Sec. 3 requirements in the equal opportunity packages provided to HPD developers, contractors and their sub-contractors.
- HPD reviews these requirements at weekly Pre-Award conferences with developers, contractors and sub-contractors.
- HPD includes the Section 3 clause in its HUD-funded contracts, alerting each entity of the program and its obligations. The clause also requires its placement in every subcontract subject to Section 3 regulations.
- HPD has implemented a quarterly review process for the efficient monitoring of Section 3 activity.
- HPD staff has conducted over 25 meetings with development entities to provide guidance on the reporting requirements of Section 3.
- HPD has created and posted a new HUD Section 3 webpage at the HPD website. The webpage contains an explanation of the regulations, reporting forms, a Section 3 Business Concern application, a directory of Business Concerns and a listing of employment/training referral sources. The webpage provides firms working with the agency easy access the information they need to comply.
- HPD has developed relationships, memorialized by Memorandums of Understanding, with local construction employment and training agencies (including YouthBuild programs) that offer formal training, job readiness and pre-screening programs. Our Section 3 webpage lists referral sources for firms seeking qualified candidates for any construction trade or management related job opportunities that may arise.
- HPD has a Memorandum of Understanding with the NYC Department of Small Business Services (DSBS) under which firms that certify with HPD as Section 3 Business Concerns will obtain business counseling and networking opportunities sponsored by DSBS by enrolling in their Emerging Business Enterprise Program. This partnership expands business opportunities and technical assistance for local firms. To date we have referred 6 firms.

HPD tracked 31 HOME funded projects totaling 890,737,677.00 in HOME funded contracts, subject to Section 3 in Calendar 2009.

- Of the 7 HOME funded positions at HPD filled by new hires during CY 2009, 1 (40%) was a Sec. 3 resident.
- HPD development projects filled 144 positions last year, of which 97 (67%) new hires were Section 3 residents.

- On contracting, \$63,703,892 (7%) was awarded to Sec. 3 Business Concerns.

HPD is committed to implementing the goals of the Section 3 program.

**HOME  
PROGRAM EXPENDITURES**

FORM  
DCP #1

Proj_Code	Program Name	HUD Code	2009 Allocation	Amount City Committed	Amount City Expended
H-HPD-0000	HOME INVESTMENT PARTNERSHIPS				
H-HPD-0001	HPD ADMINISTRATION	21H,21E	\$12,473,331		
H-HPD-0002	NEIGHBORHOOD ENTREPRENEURS PROGRAM	14B	\$1,515,931	\$0	\$31,794,127
H-HPD-0003	NEIGHBORHOOD REDEVELOPMENT PROGRAM	14B	\$1,056,225	\$17,414,840	\$19,396,089
H-HPD-0004	PARTICIPATION LOAN PROGRAM (GUT/MOD)	14B,13,12,14G	\$2,347,798	\$3,614,513	\$4,672,738
H-HPD-0006	THE SUPPORTIVE HOUSING PROGRAM	12,14B,14G	\$47,158,710	\$53,673,674	\$39,303,403
H-HPD-0010	THIRD PARTY TRANSFER	12,14B,13	\$2,388,728	\$1,854,266	\$5,012,913
H-HPD-0011	MULITIFAMILY HOMEOWNERSHIP (Cornerstone Program)	12	\$2,946,590	\$3,358,816	\$4,736,948
H-HPD-0012	ARTICLE 8-A LOAN PROGRAM	14B	\$5,455,077	\$5,765,606	\$7,108,919
H-HPD-0020	SMALL HOMES SCATTERED SITES (NEW FOUNDATIONS)	01,02,04,04A,12,13,05R	\$1,227,525	\$0	\$646,056
H-HPD-0021	NEW MIXED INCOME RENTAL PROGRAM (MIRP)	12	\$5,087,843	\$3,240,512	\$26,588,087
H-HPD-0028	MULITIFAMILY NEW CONSRUCTION	12	\$378,983	\$2,089,432	\$10,188,629
H-HPD-0029	MULITIFAMILY RENTAL MIXED INCOME	12	\$3,638,234	\$0	\$0
H-HPD-0031	LOW INCOME RENTAL PROGRAM	12	\$26,136,920	\$18,965,559	\$2,423,254
H-HPD-0033	HUD SECTION 202 PROGRAM	12,14B,14G	\$12,921,415	\$7,793,794	\$0
H-HPD-0005	SMALL BUILDINGS LOAN PROGRAM			\$325,500	\$655,979
H-HPD-0025	85/85			\$325,500	\$655,979

The above chart reflects City's HOME "activity for the period of calendar year 2009, including HOME funds newly received from HUD in 2009, HOME funds committed in the HUD system in 2009, and HOME funds which were actually expended or (drawn down) during the period. It is important to point out however, that since the development period (including planning, predevelopment activities, and finally the actual construction) for a typical HOME development project is necessarily in excess of a year, the actual HOME commitments or expenditures registered in any given year are likely to be from a previous year's or years' HOME allocation. Consequently, the figures listed in the column entitled "Amount City committed" do not represent a subset of the funds in the column entitled "2009 Allocation". In fact, the commitment totals may be greater or less than the figures listed under the allocation column, depending on how HOME funds from previous years were allocated. For a fuller explanation of this issue, please see the HOME section, Part I.A.2

**HOME  
PROGRAM ACCOMPLISHMENTS**

FORM  
DCP #2

Proj_Code	Program Name	HUD Code	Accomplishment	Proposed Accomp_#	Amended Accomp_#	Actual Accomp_#
	HOME INVESTMENT PARTNERSHIPS					
H-HPD-0001	HPD ADMINISTRATION	21H,21E	None			
H-HPD-0002	NEIGHBORHOOD ENTREPRENEURS PROGRAM	14B	Housing Units	4	10	0
H-HPD-0003	NEIGHBORHOOD REDEVELOPMENT PROGRAM	14B	Housing Units	4	7	206
H-HPD-0004	PARTICIPATION LOAN PROGRAM (GUT/MOD)	14B,13,12,14G	Housing Units	29	31	70
H-HPD-0006	THE SUPPORTIVE HOUSING PROGRAM (formerly known as SRO LOAN PROGRAM)	12,14B,14G	Housing Units	289	314	540
H-HPD-0010	THIRD PARTY TRANSFER	12,14B,13	Housing Units	16	13	16
H-HPD-0011	MULITIFAMILY HOMEOWNERSHIP (formerly known as Cornerstone Program)	12	Housing Units	6	49	196
H-HPD-0012	ARTICLE 8-A LOAN PROGRAM	14B	Housing Units	281	331	447
H-HPD-0020	SMALL HOMES SCATTERED SITES (NEW FOUNDATIONS)	01,02,04,04A,05R,12,13	Housing Units	23	25	0
H-HPD-0021	NEW MIXED INCOME RENTAL PROGRAM (MIRP)	12	Housing Units	79	85	112
H-HPD-0028	MULITIFAMILY NEW CONSRUCTION	12	Housing Units	9	6	59
H-HPD-0029	MULITIFAMILY RENTAL MIXED INCOME	12	Housing Units	186	146	0
H-HPD-0031	LOW INCOME RENTAL PROGRAM	12	Housing Units	468	436	983
H-HPD-0033	HUD SECTION 202 PROGRAM	12,14B,14G	Housing Units	403	760	221
H-HPD-0200	AMERICAN DREAM DOWNPAYMENT INITIATIVE (ADDI)					
H-HPD-0201	HOMEFIRST DOWN PAYMENT ASSISTANCE PROGRAM (ADDI)	13	Households			120

**HOME**  
**PROGRAM EXPENDITURES BY PERFORMANCE OUTCOME OBJECTIVE CODE/STATEMENT**

FORM  
DCP #3

Proj_Code	Program Name	HUD Code	2009 Allocation	Amount City Committed	Amount City Expended
	HOME INVESTMENT PARTNERSHIPS				
<b>DH-1 Accessibility for the Purpose of Providing Decent Affordable Housing</b>					
	ARTICLE 8-A LOAN PROGRAM	14B	\$5,455,077	\$5,765,606	\$7,108,919
	LOW INCOME RENTAL PROGRAM	12	\$26,136,920	\$18,965,559	\$2,423,254
	MULITIFAMILY HOMEOWNERSHIP (Cornerstone Program)	12	\$2,946,590	\$3,358,816	\$4,736,948
	MULITIFAMILY NEW CONSRUCTION	12	\$378,983	\$2,089,432	\$10,188,629
	MULITIFAMILY RENTAL MIXED INCOME	12	\$3,638,234	\$0	\$0
	NEW MIXED INCOME RENTAL PROGRAM (MIRP)	12	\$5,087,843	\$3,240,512	\$26,588,087
	PARTICIPATION LOAN PROGRAM (GUT/MOD)	14B,13,12,14G	\$2,347,798	\$3,614,513	\$4,672,738
	SMALL HOMES SCATTERED SITES (NEW FOUNDATIONS)	01,02,04,04A,12,	\$1,227,525	\$0	\$646,056
	THE SUPPORTIVE HOUSING PROGRAM	12,14B,14G	\$47,158,710	\$53,673,674	\$39,303,403
	THIRD PARTY TRANSFER	12,14B,13	\$2,388,728	\$1,854,266	\$5,012,913
<b>DH-2 Affordability for the Purpose of Providing Decent Affordable Housing</b>					
	HUD SECTION 202 PROGRAM	12,14B,14G	\$12,921,415	\$7,793,794	\$0
	NEIGHBORHOOD ENTREPRENEURS PROGRAM	14B	\$1,515,931	\$0	\$31,794,127
	NEIGHBORHOOD REDEVELOPMENT PROGRAM	14B	\$1,056,225	\$17,414,840	\$19,396,089
<b>N/A Not Applicable</b>					
	HPD ADMINISTRATION	21H,21E	\$12,473,331		

# HOME Match Report

U.S. Department of Housing and Urban Development  
Office of Community Planning and Development

OMB Approval No. 2506-0171  
(exp. 12/31/2012)

Match Contributions for <b>Federal Fiscal Year (yyyy)</b>	2009
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## Part I Participant Identification

1. Participant No. (assigned by HUD) MC36024	2. Name of the Participating Jurisdiction CITY OF NEW YORK	3. Name of Contact (person completing this report) CLINT MEDLEY
5. Street Address of the Participating Jurisdiction 100 GOLD STREET		4. Contact's Phone Number (include area code) 212 863-5088
6. City NEW YORK	7. State NY	8. Zip Code 10038

## Part II Fiscal Year Summary

1. Excess match from prior Federal fiscal year	\$	432,618,555	
2. Match contributed during current Federal fiscal year (see Part III.9.)	\$	97,002,356	
3. Total match available for current Federal fiscal year (line 1 + line 2)			\$ 529,620,911
4. Match liability for current Federal fiscal year			\$ 19,778,002
5. Excess match carried over to next Federal fiscal year (line 3 minus line 4)			\$ 509,842,909

## Part III Match Contribution for the Federal Fiscal Year

1. Project No. or Other ID	2. Date of Contribution (mm/dd/yyyy)	3. Cash (non-Federal sources)	4. Foregone Taxes, Fees, Charges	5. Appraised Land / Real Property	6. Required Infrastructure	7. Site Preparation, Construction Materials, Donated labor	8. Bond Financing	9. Total Match
SEE ATTACHED								SEE ATTACHED

# HOME Match Report

2009

**PART III: MATCH CONTRIBUTION FOR THE FEDERAL FISCAL YEAR**

Name of Participating Jurisdiction  
CITY OF NEW YORK

Federal Fiscal Year (yyyy)

2009

CM/ I NO.	1. ACTIVITY NO.	2. DATE OF CONTRIBUTION	3. CASH	4. FOREGONE TAXES, FEES CHARGES	5. APPRAISED LAND/REAL PROPERTY	6. REQUIRED INFRASTRUCTURE	7. SITE PREPARTION, CONSTRUCT.MAT DONATED LABOR	8. BOND FINANCING	9. TOTAL MATCH
	860	5-09	\$0	\$673,818	\$0	\$0	\$0	\$324,940	\$998,758
	852	7-09	\$0	\$493,047	\$0	\$0	\$0	\$49,200	\$542,247
	2058	7-09	\$0	\$154,637	\$0	\$0	\$0	\$76,835	\$231,473
	2413	10-09	\$0	\$9,566	\$0	\$0	\$0	\$151,992	\$161,558
	2067	11-09	\$0	\$14,683	\$0	\$0	\$0	\$496,719	\$511,402
	1247	12-09	\$0	\$4,731,947	\$2,293,301	\$0	\$0	\$0	\$7,025,248
	1319	12-09	\$0	\$4,993,100	\$1,486,983	\$0	\$0	\$0	\$6,480,083
	1407	12-09	\$0	\$2,461,688	\$549,995	\$0	\$0	\$0	\$3,011,683
	1427	12-09	\$0	\$2,851,757	\$0	\$0	\$0	\$86,606	\$2,938,363
	1428	12-09	\$0	\$4,404,879	\$2,259,986	\$0	\$0	\$0	\$6,664,865
	1445	12-09	\$0	\$1,442,456	\$849,996	\$0	\$0	\$0	\$2,292,452
	1470	12-09	\$0	\$2,106,916	\$1,919,996	\$0	\$0	\$0	\$4,026,912
	1473	12-09	\$0	\$2,478,561	\$2,694,994	\$0	\$0	\$0	\$5,173,555
	1638	12-09	\$0	\$3,838,231	\$4,004,981	\$0	\$0	\$0	\$7,843,212
	1649	12-09	\$0	\$2,066,620	\$1,579,994	\$0	\$0	\$0	\$3,646,614
	1650	12-09	\$0	\$4,691,485	\$1,208,991	\$0	\$0	\$0	\$5,900,476
	1657	12-09	\$0	\$3,005,355	\$4,209,984	\$0	\$0	\$0	\$7,215,339
	1658	12-09	\$0	\$3,765,538	\$3,214,992	\$0	\$0	\$0	\$6,980,530
	1665	12-09	\$0	\$1,806,630	\$1,806,993	\$0	\$0	\$0	\$3,613,623
	1744	12-09	\$557,464	\$527,968	\$0	\$0	\$0	\$815,398	\$1,900,830

CM/I NO.	1. ACTIVITY NO.	2. DATE OF CONTRIBUTION	3. CASH	4. FOREGONE TAXES, FEES CHARGES	5. APPRAISED LAND/REAL PROPERTY	6. REQUIRED INFRASTRUCTURE	7. SITE PREPARTION, CONSTRUCT.MAT DONATED LABOR	8. BOND FINANCING	9. TOTAL MATCH
	1921	12-09	\$0	\$1,628,965	\$1,934,994	\$0	\$0	\$0	\$3,563,959
	1922	12-09	\$0	\$2,209,069	\$1,284,996	\$0	\$0	\$0	\$3,494,065
	2002	12-09	\$0	\$654,094	\$92,685	\$0	\$0	\$1,190,320	\$1,937,099
	2061	12-09	\$14,904	\$419,376	\$72,464	\$0	\$0	\$624,733	\$1,131,477
	2361	12-09	\$0	\$1,895,835	\$4,794,992	\$0	\$0	\$0	\$6,690,827
	1675	12-09	\$0	\$2,516,257	\$0	\$0	\$0	\$509,450	\$3,025,707
		TOTAL	\$572,368	\$55,842,479	\$36,261,317	\$0	\$0	\$4,326,193	\$97,002,356



Public reporting burden for this collection of information is estimated to average 45 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless that collection displays a valid OMB control number.

The HOME statute imposes a significant number of data collection and reporting requirements. This includes information on assisted properties, on the owners or tenants of the properties, and on other programmatic areas. The information will be used: 1) to assist HOME participants in managing their programs; 2) to track performance of participants in meeting fund commitment and expenditure deadlines; 3) to permit HUD to determine whether each participant meets the HOME statutory income targeting and affordability requirements; and 4) to permit HUD to determine compliance with other statutory and regulatory program requirements. This data collection is authorized under Title II of the Cranston-Gonzalez National Affordable Housing Act or related authorities. Access to Federal grant funds is contingent on the reporting of certain project-specific data elements. Records of information collected will be maintained by the recipients of the assistance. Information on activities and expenditures of grant funds is public information and is generally available for disclosure. Recipients are responsible for ensuring confidentiality when public disclosure is not required.

## Instructions for the HOME Match Report

### Applicability:

The HOME Match Report is part of the HOME APR and must be filled out by every participating jurisdiction that incurred a match liability. Match liability occurs when FY 1993 funds (or subsequent year funds) are drawn down from the U.S. Treasury for HOME projects. A Participating Jurisdiction (PJ) may start counting match contributions as of the beginning of Federal Fiscal Year 1993 (October 1, 1992). A jurisdiction not required to submit this report, either because it did not incur any match or because it had a full match reduction, may submit a HOME Match Report if it wishes. The match would count as excess match that is carried over to subsequent years. The match reported on this form must have been contributed during the reporting period (between October 1 and September 30).

### Timing:

This form is to be submitted as part of the HOME APR on or before December 31. The original is sent to the HUD Field Office. One copy is sent to the

Office of Affordable Housing Programs, CGHF  
Room 7176, HUD, 451 7th Street, S.W.  
Washington, D.C. 20410.

The participating jurisdiction also keeps a copy.

### Instructions for Part II:

1. **Excess match from prior Federal fiscal year:** Excess match carried over from prior Federal fiscal year.
2. **Match contributed during current Federal fiscal year:** The total amount of match contributions for all projects listed under Part III in column 9 for the Federal fiscal year.

3. **Total match available for current Federal fiscal year:** The sum of excess match carried over from the prior Federal fiscal year (Part II, line 1) and the total match contribution for the current Federal fiscal year (Part II, line 2). This sum is the total match available for the Federal fiscal year.
4. **Match liability for current Federal fiscal year:** The amount of match liability is available from HUD and is provided periodically to PJs. The match must be provided in the current year. The amount of match that must be provided is based on the amount of HOME funds drawn from the U.S. Treasury for HOME projects. The amount of match required equals 25% of the amount drawn down for HOME projects during the Federal fiscal year. Excess match may be carried over and used to meet match liability for subsequent years (see Part II line 5). Funds drawn down for administrative costs, CHDO operating expenses, and CHDO capacity building do not have to be matched. Funds drawn down for CHDO seed money and/or technical assistance loans do not have to be matched if the project does not go forward. A jurisdiction is allowed to get a partial reduction (50%) of match if it meets one of two statutory distress criteria, indicating "fiscal distress," or else a full reduction (100%) of match if it meets both criteria, indicating "severe fiscal distress." The two criteria are poverty rate (must be equal to or greater than 125% of the average national family poverty rate to qualify for a reduction) and per capita income (must be less than 75% of the national average per capita income to qualify for a reduction). In addition, a jurisdiction can get a full reduction if it is declared a disaster area under the Robert T. Stafford Disaster Relief and Emergency Act.

5. **Excess match carried over to next Federal fiscal year:** The total match available for the current Federal fiscal year (Part II, line 3) minus the match liability for the current Federal fiscal year (Part II, line 4). Excess match may be carried over and applied to future HOME project match liability.

### Instructions for Part III:

1. **Project No. or Other ID:** "Project number" is assigned by the C/MI System when the PJ makes a project setup call. These projects involve at least some Treasury funds. If the HOME project does not involve Treasury funds, it must be identified with "other ID" as follows: the fiscal year (last two digits only), followed by a number (starting from "01" for the first non-Treasury-funded project of the fiscal year), and then at least one of the following abbreviations: "SF" for project using shortfall funds, "PI" for projects using program income, and "NON" for non-HOME-assisted affordable housing. Example: 93.01.SF, 93.02.PI, 93.03.NON, etc.

Shortfall funds are non-HOME funds used to make up the difference between the participation threshold and the amount of HOME funds allocated to the PJ; the participation threshold requirement applies only in the PJ's first year of eligibility. [§92.102]

Program income (also called "repayment income") is any return on the investment of HOME funds. This income must be deposited in the jurisdiction's HOME account to be used for HOME projects. [§92.503(b)]

Non-HOME-assisted affordable housing is investment in housing not assisted by HOME funds that would qualify as "affordable housing" under the HOME Program definitions. "NON" funds must be contributed to a specific project; it is not sufficient to make a contribution to an entity engaged in developing affordable housing. [§92.219(b)]

2. **Date of Contribution:** Enter the date of contribution. Multiple entries may be made on a single line as long as the contributions were made during the current fiscal year. In such cases, if the contributions were made at different dates during the year, enter the date of the last contribution.
3. **Cash:** Cash contributions from non-Federal resources. This means the funds are contributed permanently to the HOME Program regardless of the form of investment the jurisdiction provides to a project. Therefore all repayment, interest, or other return on investment of the contribution must be deposited in the PJ's HOME account to be used for HOME projects. The PJ, non-Federal public entities (State/local governments), private entities, and individuals can make contributions. The grant equivalent of a below-market interest rate loan to the project is eligible when the loan is not repayable to the PJ's HOME account. [§92.220(a)(1)] In addition, a cash contribution can count as match if it is used for eligible costs defined under §92.206 (except administrative costs and CHDO operating expenses) or under §92.209, or for the following non-eligible costs: the value of non-Federal funds used to remove and relocate ECHO units to accommodate eligible tenants, a project reserve account for replacements, a project reserve account for unanticipated increases in operating costs, operating subsidies, or costs relating to the portion of a mixed-income or mixed-use project not related to the affordable housing units. [§92.219(c)]
4. **Foregone Taxes, Fees, Charges:** Taxes, fees, and charges that are normally and customarily charged but have been waived, foregone, or deferred in a manner that achieves affordability of the HOME-assisted housing. This includes State tax credits for low-income housing development. The amount of real estate taxes may be based on the

post-improvement property value. For those taxes, fees, or charges given for future years, the value is the present discounted cash value. [§92.220(a)(2)]

5. **Appraised Land/Real Property:** The appraised value, before the HOME assistance is provided and minus any debt burden, lien, or other encumbrance, of land or other real property, not acquired with Federal resources. The appraisal must be made by an independent, certified appraiser. [§92.220(a)(3)]
6. **Required Infrastructure:** The cost of investment, not made with Federal resources, in on-site and off-site infrastructure directly required for HOME-assisted affordable housing. The infrastructure must have been completed no earlier than 12 months before HOME funds were committed. [§92.220(a)(4)]
7. **Site preparation, Construction materials, Donated labor:** The reasonable value of any site-preparation and construction materials, not acquired with Federal resources, and any donated or voluntary labor (see §92.354(b)) in connection with the site-preparation for, or construction or rehabilitation of, affordable housing. The value of site-preparation and construction materials is determined in accordance with the PJ's cost estimate procedures. The value of donated or voluntary labor is determined by a single rate ("labor rate") to be published annually in the Notice Of Funding Availability (NOFA) for the HOME Program. [§92.220(6)]
8. **Bond Financing:** Multifamily and single-family project bond financing must be validly issued by a State or local government (or an agency, instrumentality, or political subdivision thereof). 50% of a loan from bond proceeds made to a multifamily affordable housing project owner can count as match. 25% of a loan from bond proceeds made to a single-family affordable housing project owner can count as match. Loans from all bond proceeds, including excess bond match from prior years, may not exceed 25% of a PJ's total annual match contribution. [§92.220(a)(5)] The amount in excess of the 25% cap for bonds may carry over, and the excess will count as part of the statutory limit of up to 25% per year. Requirements regarding

bond financing as an eligible source of match will be available upon publication of the implementing regulation early in FY 1994.

9. **Total Match:** Total of items 3 through 8. This is the total match contribution for each project identified in item 1.

**Ineligible forms of match include:**

1. Contributions made with or derived from Federal resources e.g. CDBG funds [§92.220(b)(1)]
2. Interest rate subsidy attributable to the Federal tax-exemption on financing or the value attributable to Federal tax credits [§92.220(b)(2)]
3. Contributions from builders, contractors or investors, including owner equity, involved with HOME-assisted projects. [§92.220(b)(3)]
4. Sweat equity [§92.220(b)(4)]
5. Contributions from applicants/recipients of HOME assistance [§92.220(b)(5)]
6. Fees/charges that are associated with the HOME Program only, rather than normally and customarily charged on all transactions or projects [§92.220(a)(2)]
7. Administrative costs

### **3. EMERGENCY SHELTER GRANT (ESG)**

In the 2009 Consolidated Plan, the Continuum of Care chapter describes the programs provided by the Department of Homeless Services. In addition to the Emergency Shelter Grant Program, DHS funds a variety of programs from many sources, including City, State, and private funds. The Continuum of Care contains the City's long-term strategy as outlined in the 2009 Consolidated Plan which includes outreach to the chronic unsheltered homeless to encourage them to accept shelter and services; diversion programs to prevent homelessness; assessment centers using varying model approaches that assess client needs and first focus on diversion efforts especially for currently employed clients and for others, to make appropriate referrals for services; transitional shelters with supportive services to stabilize an individual or family so that they are able to live independently; next step shelters to provide a very intensive level of social services to families in need with the ultimate goal of permanent housing; and permanent and long-term housing options, both supported and non-supported. The IDIS Reports required for ESG funds are C04PR19 ESG Program for Grantee Statistics; C04PR20 ESG Activity Summary Report; and C04PR12 ESG Financial Summary. The forms are included in Volume III. However, Volume III is over 200 pages, therefore will only be provided upon request, please call 212-720-3531.

While ESG funds comprise a small percentage of total funding for the continuum of care, in 2009 ESG funds were used to continue existing successful programs that filled in gaps in the continuum of care. ESG funds can be used for five categories. The City chooses to use the \$7,925,555 awarded in 2009 for three of these categories: prevention, services to the homeless, and shelter operating costs. All the programs are listed and defined in the 2009 Consolidated Plan.

The following is a status update on the objectives listed in the 2005 Consolidated Plan Five-Year Strategic Plan and Continuum of Care. The accomplishments reflect 2009 DHS/ESG activities.

**Restructure street outreach services, permanent and transitional models for chronically street homeless individuals, as well as strong accountability and evaluation mechanisms that will decrease the number of people living on the streets.**

In 2009, DHS continued its objective of reaching out to homeless people living on the streets, and in parks, transportation centers, and other public spaces through its outreach program - working to encourage homeless people to accept placements directly into housing, shelter and other services. DHS used ESG funds to support outreach services for single adults.

On January 26, 2009, DHS conducted its annual citywide Homeless Outreach Population Estimate (HOPE) which resulted in an estimate of 2,328 individuals residing in the streets and public spaces in the five boroughs; a 30 percent decrease in unsheltered individuals from 2008, and a 47 percent decrease since the first citywide survey was conducted in 2005. DHS again hosted HOPE on January 25, 2010, the results of HOPE 2010 are expected to be published in late winter 2010.

**Create new and expand community-based interventions, a focus on eviction prevention at housing court, and the use of data to identify at-risk households and deliver timely assistance that will help many avoid homelessness.**

Community based services continued to be used to assist homeless families and single adults in order to prevent people from becoming homeless. The City's Department of Housing Preservation and Development administered two prevention programs utilizing ESG funds, and provided such services as social services and neighborhood revitalization and preservation activities, and emergency crisis management and case management to formerly homeless tenants.

In January 2004, DHS announced the release of a request for proposals to establish neighborhood-based homeless prevention services in six communities with high incidences of homelessness. In 2007, the DHS neighborhood-based homeless prevention initiative expanded into a citywide program, now serving all neighborhoods in New York City. Taking the lessons learned from the community based homelessness prevention programs, DHS continued to collaborate with qualified community-based organizations charged with assisting those at-risk of homelessness, particularly individuals and families at the front door of shelter and households exiting the shelter system through targeted services and financial assistance. Through the end of CY 2009, the non-profit providers have made significant improvements in identifying and serving target populations. They are using their community knowledge and resources to meet the needs of these at-risk individuals and families. By 'networking' at local businesses, income support centers, schools, police precincts, and local churches, the providers have served 17,700 families and single adults with services such as family and landlord mediation, entitlements advocacy, employment training, and household budgeting skills. Providers have served a diverse group of clients. Over 20% of the client population has had prior shelter histories. Of all the families and single adults served, 90% had not entered the shelter system. Over 20% of all clients have received financial assistance for payment of rent arrears, deposits and broker fees, furniture and household expenses, rent contributions, and educational and work expenses.

**Shelter should be used on an emergency, short-term basis hence, pursue a range of strategies that would reduce the average length of stay.**

DHS provides temporary housing with supportive services to individuals and to those families who have exhausted all other housing options and are therefore experiencing housing emergencies. ESG funds were used by DHS to help fund the operating costs of some of the single adult shelters in our system. Another operating cost is food and clothing provided through the emergency shelter network.

Many of the City's shelters provide services that enhance the continuum of care. In many of our single adults and family facilities, employment programs and/or life skills development help provide incentives and create expectations for the clients to be self sufficient. DHS used ESG funds in 2009 to help fund employment counselors at three adult shelters. In addition, a variety of social service programs in the adult shelter system received ESG funding. These include expenditures at two Reception Centers, which provide emergency shelter services for clients who are mentally ill, as well as substance abuse counselors in two of the agency's adult transitional shelters with Clean and Sober dorms.

The City was awarded \$7,925,555 in ESG funds for calendar year 2009. In addition, the City rolled over \$921,555 from prior year grant allocations. No ESG funds were allocated for shelter renovations, as other funding is available for renovations, and renovations are difficult to start and complete within the grant's strict two-year spending period. ESG funds were not used for grant administration.

On the Program Expenditures Table (DCP Table #1), for each ESG activity, only the ESG amounts drawn down from the 2008 grant were inserted. The City will fully expend the 2008 grant by the year 2010. In other words, in 2008, the City expended \$7,969,489 in 2007 ESG funds. Because the ESG grant is awarded annually, and each grant is for 2 years, overlap in funding is expected.

In the Program Accomplishments Table, for ESG the number of persons served is an unduplicated count within each activity. HUD defines persons assisted with housing units as individuals or families who did not live in the unit the previous year and in 2009 were provided with an assisted housing unit. For homelessness prevention, the actual accomplishment is the number of units where a household was assisted in maintaining their current housing unit and thus did not enter the shelter system. The activity titled, Services to the Homeless, assisted 25,224 persons who needed a transitional shelter. Shelter Operating Costs were used to assist approximately 15,269 people who needed a transitional shelter.

DHS did not change the original program objectives. Therefore, the nature and reasons for changes in program objectives does not apply this year.

**Section 3 Requirements: Emergency Shelter Grant Program**

The US Congress directed HUD to take the lead in requiring all Continuum of Care jurisdictions nationwide to have unduplicated client-level data, a Homeless Management Information System (HMIS). In addition to being a requirement for HUD funding, the NYC Department of Homeless Services (DHS) and the NYC Coalition on the Continuum of Care (NYC-CCoC) – a large group of homeless services providers, consumers, advocates, community representatives and government agencies- saw value in accessing HMIS data that could describe the extent and nature of homelessness and provide a greater understanding of service usage, effectiveness and gaps in service. This information could be used to target limited resources and guide planning and policy decisions. The NYC-CCoC and DHS could use HMIS data to demonstrate the size and characteristics of the NYC homeless population, current patterns of service use by population, including access to mainstream services and the need for additional resources to public and private funding sources. HMIS data could also be used to understand how to realign housing resources and service delivery within the NYC-CCoC and how to create the links to mainstream programs that are essential to the prevention of homelessness and to sustaining formerly homeless people in permanent housing. Compared to other commonly used methods of gathering information on homeless persons, notably point-in-time census counts, HMIS presents the NYC DHS and NYC-CCoC with the opportunity to obtain significantly better data about homelessness in its community and to analyze that information over time. The NYC HMIS would include the ability to aggregate standardized information from existing systems and provide a solution for those grant recipient providers who do not have an existing system to document who is homeless, what services and support they need, and the ability to utilize information to better manage service delivery and resource allocation more effectively within the NYC-CCoC. It will provide maximum protection of individual information and maximum access to aggregate information in accordance with applicable laws, standards and best practices. To date, the NYC HMIS is fully operational with 95% of all NYC- CCoC member agencies actively participating in the NYC HMIS. The system now contains over two years’ worth of data, allowing the NYC-CCoC to complete the 2009 Annual Homeless Assessment Report (AHAR) utilizing the NYC HMIS.

The City of New York does not use its ESG monies to fund the construction or rehabilitation of emergency or transitional homeless shelters. Therefore, the number of homeless individuals benefiting by training, employment, and contracting opportunities generated by the expenditure of this for shelter construction/rehabilitation (Section 3-related beneficiaries) is zero. However, the following is a breakdown of homeless individuals benefitting by ESG-funded non-Section 3-related employment training and/or placement.

<b>From ESG Program Accomplishments Summary</b>	<b>2009 Actual Accomplishments</b>
<b>E- DHS-0001 Services to the Homeless</b>	
<b>Employment Programs</b>	3,377
Harlem / Doe Fund	263
Citywide / Employment /Intake and Assessment	2,333
DHS Employment Counselors	781

DHS Employment Counselor figure = all placements in CY09 for shelters primarily categorized as Employment sites.

Citywide / Employment/ Intake and Assessment figure = all placements in CY09 for shelters primarily categorized as Employment plus all placements for Assessment sites (excluding PASS).

- Harlem / Doe Fund – 263 placements (an employment site)
  - Citywide / Employment / Intake and Assessment – 2,333
    - o Harlem/Doe Fund – 263 (employment site)
    - o Palace Men – 94 (employment site)
    - o Palace Women – 57 (employment site)
    - o HELP SEC – 264 (employment site)
    - o 282 East 3<sup>rd</sup> Street – 60 (employment site)

- Saratoga-103 (employment site)
- Bed Atlantic – 105 (assessment site)
- HELP Women’s Center – 513 (assessment site)
- CH Gay Assessment – 210 (assessment site)
- Franklin – 470 (assessment site)
- Porter – 194 (assessment site)
- DHS Employment Counselors – 781
  - Harlem/Doe Fund – 263(employment site)
  - Palace Men – 94 (employment site)
  - Palace Women – 57 (employment site)
  - HELP SEC– 264 (employment site)
  - Saratoga– 103 (employment site)

**ESG  
PROGRAM EXPENDITURES**

FORM  
DCP #1

Proj_Code	Program Name	HUD Code	2009 Allocation	Amount City Committed	Amount City Expended
	EMERGENCY SHELTER GRANT PROGRAM (ESG)				
E-DHS-0001	HOMELESSNESS PREVENTION	05	\$798,105	\$798,105	\$798,105
E-DHS-0002	SERVICES TO THE HOMELESS	05	\$6,726,856	\$6,726,856	\$6,726,856
	ADULT TRIAGE AND REFERRAL CENTERS AND TRANSITIONAL HOUSING		\$352,698	\$352,698	\$352,698
	EMPLOYMENT PROGRAM		\$1,041,779	\$1,041,779	\$1,041,779
	INTERIM HOUSING PROGRAM		\$215,052	\$215,052	\$215,052
	MENTAL HEALTH PROGRAM		\$1,187,648	\$1,187,648	\$1,187,648
	OUTREACH PROGRAM		\$781,950	\$781,950	\$781,950
	PROGRAM AND HOUSING PLACEMENT		\$445,539	\$445,539	\$445,539
	CLIENT ADVOCACY		\$926,929	\$926,929	\$926,929
	RECEPTION CENTERS		\$618,952	\$618,952	\$618,952
	SUBSTANCE ABUSE COUNSELORS		\$431,046	\$431,046	\$431,046
	SUBSTANCE ABUSE PROGRAMS		\$662,713	\$662,713	\$662,713
	SOCIAL SERVICES		\$62,500	\$62,500	\$62,500
E-DHS-0003	SHELTER OPERATING COSTS	03T	\$400,594	\$400,594	\$400,594

**ESG  
PROGRAM ACCOMPLISHMENTS**

FORM  
DCP #2

Proj_Code	Program Name	HUD Code	Accomplishment	Proposed Accomp_#	Amended Accomp_#	Actual Accomp_#
	EMERGENCY SHELTER GRANT (ESG)					
E-DHS-0001	HOMELESSNESS PREVENTION	05	People	500	500	<b>775</b>
	HPD'S COMMUNITY BASED HOMELESS PREVENTION			500	500	775
E-DHS-0002	SERVICES TO THE HOMELESS	05	People	20,307	21,829	<b>25,224</b>
	ADULT TRIAGE AND REFERRAL CENTERS AND TRANSITIONAL HOUSING			142	142	437
	EMPLOYMENT PROGRAM			2,798	2,798	3,060
	INTERIM HOUSING PROGRAM			2,085	2,085	3,392
	MENTAL HEALTH PROGRAM			486	486	514
	OUTREACH PROGRAM			1,710	1,710	1,314
	PROGRAM AND HOUSING PLACEMENT			8,030	8,030	10,039
	CLIENT ADVOCACY			4,431	5,953	5,201
	RECEPTION CENTERS			270	270	54
	SUBSTANCE ABUSE COUNSELORS			186	186	707
	SUBSTANCE ABUSE PROGRAMS			434	434	377
	SOCIAL SERVICES			221	221	129
E-DHS-0003	SHELTER OPERATING COSTS	03T	People	16,076	16,076	<b>15,269</b>



**ESG**

FORM  
DCP #3

**PROGRAM EXPENDITURES BY PERFORMANCE OUTCOME OBJECTIVE CODE/STATEMENT**

<b>Proj_Code</b>	<b>Program Name</b>	<b>HUD Code</b>	<b>2009 Allocation</b>	<b>Amount City Committed</b>	<b>Amount City Expended</b>
	EMERGENCY SHELTER GRANT PROGRAM (ESG)				
<b>SL-1 accessibility for the Purpose of Creating Suitable Living Environment</b>					
E-DHS-0001	HOMELESSNESS PREVENTION	05	\$798,105	\$798,105	\$798,105
E-DHS-0002	SERVICES TO THE HOMELESS	05	\$6,726,856	\$6,726,856	\$6,726,856
	ADULT TRIAGE AND REFERRAL CENTERS AND TRANSITIONAL HOUSING		\$352,698	\$352,698	\$352,698
	EMPLOYMENT PROGRAM		\$1,041,779	\$1,041,779	\$1,041,779
	INTERIM HOUSING PROGRAM		\$215,052	\$215,052	\$215,052
	MENTAL HEALTH PROGRAM		\$1,187,648	\$1,187,648	\$1,187,648
	OUTREACH PROGRAM		\$781,950	\$781,950	\$781,950
	PROGRAM AND HOUSING PLACEMENT		\$445,539	\$445,539	\$445,539
	CLIENT ADVOCACY		\$926,929	\$926,929	\$926,929
	RECEPTION CENTERS		\$618,952	\$618,952	\$618,952
	SUBSTANCE ABUSE COUNSELORS		\$431,046	\$431,046	\$431,046
	SUBSTANCE ABUSE PROGRAMS		\$662,713	\$662,713	\$662,713
	SOCIAL SERVICES		\$62,500	\$62,500	\$62,500
E-DHS-0003	SHELTER OPERATING COSTS	03T	\$400,594	\$400,594	\$400,594

#### **4. HOUSING OPPORTUNITIES FOR PERSONS WITH AIDS (HOPWA)**

In 2009 New York City continued to face significant challenges in assisting persons living with HIV/AIDS and in addressing the rapidly changing nature of the epidemic. Certain populations have been disproportionately affected by HIV/AIDS, especially communities of color (particularly African-Americans and Latinos), men who have sex with men (MSM), and injecting drug users. The City also recognizes that there are unique obstacles to addressing the needs of adolescents and young adults (especially LGBT youth), immigrant populations, and those recently released and paroled from correctional facilities who are living with HIV/AIDS. The goal of the City's continuum of care service delivery system for persons living with HIV/AIDS prioritizes keeping persons stably housed by providing them with the health, and other supports necessary to remain there. If they become homeless or if their housing becomes inappropriate or unstable, the continuum of care is designed to shift its focus on that client to providing them with the appropriate type of housing and level of support necessary to address that client's needs.

In the 2005 Consolidated Plan, the City identified its five year goals to improve the delivery of services to persons living with HIV/AIDS. The City has made significant achievements in meeting the goals outlined in its five year strategic plan.

The following were the City's objectives and the efforts taken to meet these objectives:

##### **Expand the supply of permanent supportive housing for persons with HIV/AIDS.**

The New York City Department of Housing Preservation and Development (HPD) has used a wide variety of funds to develop new units of permanent housing for persons living with HIV/AIDS. This includes federal and city sources, such as HOPWA, HOME funding and City capital investment, and for certain other ancillary sources such as Low Income Housing tax credits and Federal Home Loan Bank funds. With a mix of funding, the HPD Supportive Housing Loan Program enabled non-profit organizations to begin or continue the development process for an additional 201 new congregate units. Of these units, 129 were funded with HOPWA and another 72 were funded with other resources.

##### **Continue to provide scattered site housing for persons with HIV/AIDS.**

The City has continued to develop and support units of transitional and permanent housing for persons with HIV/AIDS through the Department of Health and Mental Hygiene (DOHMH) – Bureau of HIV/AIDS Prevention & Control, the Human Resources Administration's HIV/AIDS Services Administration (HRA/HASA), and HPD. A description of each agency's accomplishments successes in supporting HIV/AIDS housing units is described later.

The Department of Health and Mental Hygiene – Division of Mental Hygiene (DOHMH – DMH) contracts with five non-profit community-based organizations to operate a total of 125 units of scattered site permanent housing for people with HIV/AIDS. One of these programs provides 30 housing units for HIV-positive women with mental illness and/or substance use histories, including both single women and women with children. Two programs each operate 23 units for single adults with HIV/AIDS and mental illness and/or substance abuse histories. The remaining two programs combined provide 49 units of permanent housing, for single adults as well as families that are headed by an adult with HIV/AIDS and who also have mental illness and/or substance abuse histories.

The Department of Health and Mental Hygiene – Bureau of HIV/AIDS Prevention & Control (DOHMH – BHIV) funds 697 units of transitional and permanent supportive housing, supporting innovative models of housing for the following special populations with HIV/AIDS: women with children, women with mental illness, seniors aged 55 and over, individuals who have historically proven to be difficult to house and serve, individuals released from City or State correctional institutions, individuals who are dually diagnosed and in need of harm reduction services, and HIV+ and at risk street adolescents/young adults.

**Continue to provide emergency and transitional housing, outreach, and other support services to homeless street youth who are HIV-infected and at-risk.**

**Support the formerly incarcerated in transitioning from correctional facilities to life outside by providing emergency and transitional supportive housing and related supportive services.**

**Ensure that persons with HIV/AIDS are able to access housing and housing-related services throughout the City by providing assistance in locating and securing an apartment as well as in learning the skills necessary to remain stably housed.**

Through the DOHMH – BHIV’s Sustainable Living Fund, 409 households were provided with rental assistance to maintain current appropriate housing or to secure new, medically suitable apartments. In addition, HOPWA-funded Housing Placement Assistance programs assisted 1,260 households in the search for suitable apartments. In addition, Ryan White Title I-funded Housing Placement Assistance programs augmented the number of individuals and families with HIV/AIDS who secured apartments appropriate to their needs. HASA also assisted 25,026 households with rental assistance for their homes in 2009 using a combination of New York State and New York City funds.

The City also used HOPWA dollars to fund housing-related supportive services during 2009. DOHMH – BHIV supported programs that: provided outreach, supportive counseling, referral, and follow-up services for: persons living with AIDS in SRO hotels; and street adolescents who because of their involvement with commercial sex work and/or substance use are HIV-positive or at high risk of contracting HIV/AIDS.

In response to HUD’s mandate that the NYC EMSA fully utilize the IDIS computerized reporting system, the City retained Community Development Experts, Inc., as a consultant to assist the City in fulfilling this requirement.

#### Adjustments in Funding

During 2009, DOHMH – BHIV used prior year unexpended grantee administrative funds to enhance existing contracts with nonprofit, community-based organizations to provide additional units of transitional and permanent supportive housing to HIV asymptomatic persons in New York City. DOHMH – BHIV also reallocated available administrative funds to provide housing-related legal services. HOPWA funds have a three-year span, and some programs funded during 2009 will be fully expended in coming years.

As of December 31, 2009 HASA had 1,050 total staff (including case managers, eligibility staff, and supervisors). HASA has expended \$416,979,145 million in state and city funds for Scatter Site, supportive transitional, and emergency housing during 2009. These expenditures helped support 18 transitional contracted providers that in 2009 supplied over 972 transitional congregate supportive units. There are 52 contracted permanent congregate housing providers with 1,943 permanent congregate supportive units and 2,272 supportive housing units in HASA’s Scatter Site I program. HASA also has Scatter Site II contracts, which placed 295 individuals in 2009.

#### Accomplishments Achieved

HASA case management and support units provide the foundation of the City’s network of services for Persons with HIV/AIDS. At the end of 2009, the HASA client census represented 31,672 clients and 13,418 associated case members, for a total of 45,090 individuals served.

During 2009, HASA used HOPWA funds to support 2,453 units of supportive housing.

The DOHMH – BHIV provided services to 3,886 households, comprised of 3,500 persons living with HIV/AIDS and 1,283 other persons. Of those, 3,017 households were provided with direct housing services. The increase from the Consolidated Plan’s proposed accomplishment projection of 3,000 households to 3,886 actual households served was due in part to contract enhancements funded with prior-year unexpended grantee

administrative funds that allowed DOHMH – BHIV’s project sponsors to expand services. These contract enhancements have significantly increased the number of housing units provided by DOHMH – BHIV’s project sponsors and increased the number of persons served.

DOHMH – DMH has a portfolio of five permanent scattered site housing programs that are operated by community-based organizations and serve persons with AIDS and mental illness/substance abuse histories. DOHMH contracts with five community-based non-profit organizations that operate a total of 125 units of scattered site permanent housing for people with HIV/AIDS. One of these programs provides 30 housing units for HIV-positive women with mental illness and/or substance use histories, including both single women and women with children. Two programs each operate 23 units for single adults with HIV/AIDS and mental illness and/or substance abuse histories. The remaining two programs combined provide 49 units of permanent housing, for single adults as well as families that are headed by an adult with HIV/AIDS and who also have mental illness and/or substance abuse histories.

#### Leveraging Resources

In calendar year 2009, HOPWA dollars were combined with other federal resources, as well as State and City funding, to support HIV/AIDS housing and other services. HASA used City Tax Levy and matching State and federal dollars to fund case management and support; rental assistance; permanent and transitional congregate housing; and permanent scattered site housing for individuals and families living with HIV and AIDS. Eligible clients also receive medical assistance, homecare, and homemaking services funded with City, State and federal dollars. HPD projects in development through the Supportive Housing Loan Program were funded with a combination of HOPWA and City capital resources. HOPWA funds distributed to community based organizations by DOHMH augmented City and State-funded services to persons with mental illness and HIV/AIDS. Almost all of the programs funded through DOHMH – BHIV received in-kind donations from the community based organizations providing their HOPWA-funded services. In the Lower Hudson Valley portion of the NYC EMSA, State, City and County funds compliment the HOPWA-funded rental assistance and other services provided. Individual-donor and private foundation dollars provide additional support to the community-based organizations funded through HASA, HPD, and DOHMH.

#### Assessment of Other Funding Sources

In an effort to maximize resources, HPD and its sponsors seek other private and public funds to support its development projects. This includes securing low-income housing and historic tax credits as well as New York State funding from the Homeless Housing Assistance Program and HUD’s Section 811 Program.

#### Continuum of Care

*Please refer to Part II., Other Actions, Section A., Continuum of Care for an assessment of the Department of Health and Mental Hygiene’s activities undertaken in 2009 to provide supportive housing to persons with HIV/AIDS.*

## Part 2: Sources of Leveraging

[1] Sources of Leveraging		Total Amount of Leveraged Dollars (for this operating year)	
		[2] Housing Assistance	[3] Supportive Services and other non-direct housing costs
1.	Program Income		
2.	Federal Government		
	Centers for Disease Control and Prevention	\$ -	\$ 83,739
	Department of Health & Human Services	\$ -	\$ 3,872,000
	HUD - Continuum of Care	\$ 77,730	\$ -
	HUD - HOPWA Competetive	\$ 318,288	\$ -
	HUD - Section 8	\$ 21,151	\$ -
	HUD - Supportive Housing Program	\$ 503,216	\$ 132,946
	Ryan White HIV/AIDS Program	\$ 81,769	\$ 3,105,512
	Substance Abuse & Mental Health Services Administration	\$ 18,434	\$ 27,632
3.	State Government		
	COBRA Intensive Case Management Services Total	\$ -	\$ 701,542
	Department of Health - AIDS Institute Total	\$ 51,712	\$ 603,992
	Division of Probation and Correctional Alternatives Total	\$ -	\$ 40,272
	Medicaid Total	\$ -	\$ 369,780
	Office of Alcohol and Substance Abuse Services Total	\$ 15,445	\$ 887,935
	Office of Temporary and Disability Assistance Total	\$ 215,669,873	\$ 17,895,200
4.	Local Government		
	HIV/AIDS Services Administration (NYC)	\$ 203,585,894	\$ 16,243,681
	NYC Department of Health and Mental Hygiene	\$ 1,397	\$ 198,193
	NYC Department of Youth and Community Development	\$ -	\$ 67,890
	Public Assistance (NYC)	\$ 77,059	\$ -
	Rockland County Department of Health	\$ -	\$ 200,000
	Rockland County Department of Social Services	\$ -	\$ 25,000
	Rockland County Office of Community Development	\$ 50,000	\$ -
	Westchester County Department of Social Services	\$ 264,630	\$ -
5.	Foundations and other private cash resources		
	ARCS	\$ -	\$ 50,000
	Legal Aid Society of Rockland	\$ -	\$ 35,000
	Private Grants and Donations	\$ -	\$ 232,000
	Robin Hood Foundation	\$ 46,350	\$ -
	Safe Horizon, Inc. General Fund	\$ -	\$ 92,980
	TOUCH	\$ -	\$ 50,000
	United Way	\$ -	\$ 6,166
	Van Ameringen Foundation	\$ 11,719	\$ 23,301
	WSS	\$ -	\$ 2,466
6.	In-kind Resources		\$ 86,798
7.	Resident rent payments in Rental, Facilities, and Leased Units	\$ 590,785	\$ -
8.	Grantee/project sponsor (Agency) cash		\$ 235,616
9.	<b>Total</b>	<b>\$ 421,385,450</b>	<b>\$ 45,269,639</b>

**Part 3: Accomplishment Data - Planned Goal and Actual Outputs**

**1. HOPWA Performance Planned Goal and Actual Outputs**

		HOPWA Assistance		Non-HOPWA		Funding	
		Goal	Actual	Goal	Actual	HOPWA Budget	HOPWA Actual
<b>Housing Subsidy Assistance</b>		<b>Output Households</b>					
1.	Tenant-Based Rental Assistance	485	502	0	25,026	\$ 4,854,543	\$ 3,848,594
2a.	Households in permanent housing facilities that receive operating subsidies/leased units	3,125	3,253	0	351	\$ 41,556,080	\$ 32,696,380
2b.	Households in transitional/short-term housing facilities that receive operating subsidies/leased units	120	523	0	55	\$ 919,982	\$ 502,099
3a.	Households in permanent housing facilities developed with capital funds and placed in service during the program year	0	0	0	0	\$ -	\$ -
3b.	Households in transitional/short-term housing facilities developed with capital funds and placed in service during the program year	0	0	0	0	\$ -	\$ -
4.	Short-Term Rent, Mortgage and Utility Assistance	75	76	0	0	\$ 127,364	\$ 67,163
5.	Adjustments for duplication (subtract)	0	0	0	0		
<b>6.</b>	<b>Total Housing Subsidy Assistance</b>	<b>3,805</b>	<b>4,354</b>	<b>0</b>	<b>25,432</b>	<b>\$ 47,457,968</b>	<b>\$ 37,114,237</b>
<b>Housing Development (Construction and Stewardship of facility based housing)</b>		<b>Output Units</b>					
7.	Facility-based units being developed with capital funding but not opened (show units of housing planned)	0	129	0	72	\$ -	\$ 6,187,318
8.	Stewardship Units subject to 3 or 10 year use agreements	0	0	0	0		
<b>9.</b>	<b>Total Housing Developed</b>	<b>0</b>	<b>129</b>	<b>0</b>	<b>72</b>	<b>\$ -</b>	<b>\$ 6,187,318</b>
<b>Supportive Services</b>		<b>Output Households</b>					
10a.	Supportive Services provided by project sponsors also delivering HOPWA housing assistance	1,313	3,101			\$ 3,246,764	\$ 8,441,081
10b.	Supportive Services provided by project sponsors serving households who have other housing arrangements	31,500	35,026			\$ 3,301,750	\$ 1,080,328
11.	Adjustment for duplication (subtract)	-1,420	-1,737				
<b>12.</b>	<b>Total Supportive Services</b>	<b>31,393</b>	<b>36,390</b>			<b>\$ 6,548,514</b>	<b>\$ 9,521,409</b>
<b>Housing Placement Assistance Activities</b>		<b>Output Households</b>					
13.	Housing Information Services	1,096	2,623			\$ 2,092,500	\$ 2,771,974
14.	Permanent Housing Placement Services	37	151			\$ 126,385	\$ 205,944
15.	Adjustment for duplication	0	0				
<b>16.</b>	<b>Total Housing Placement Assistance</b>	<b>1,133</b>	<b>2,774</b>			<b>\$ 2,218,885</b>	<b>\$ 2,977,918</b>
<b>Grant Administration and Other Activities</b>		<b>Output Households</b>					
17.	Resource Identification to establish, coordinate and develop housing assistance resources					\$ -	\$ -
18.	Technical Assistance (if approved in grant agreement)					\$ -	\$ -
19.	Grantee Administration (maximum 3% of total HOPWA grant)					\$ 1,564,556	\$ 1,550,001
20.	Project Sponsor Administration (maximum 7% of portion of HOPWA grant awarded)					\$ 1,644,441	\$ 1,682,894
	<b>Total Expenditures for program year (Sum of rows 6, 9, 12, 16, and 20)</b>					<b>\$ 59,434,364</b>	<b>\$ 59,033,777</b>

**Part 3: Accomplishment Data - Planned Goal and Actual Outputs**

**2. Listing of Supportive Services**

<b>Supportive Services</b>		<b>Number of Households Receiving HOPWA Assistance</b>	<b>Amount of HOPWA Funds Expended</b>
1.	Adult day care and personal assistance	0	\$ -
2.	Alcohol and drug abuse services	1,433	\$ 1,010,459
3.	Case management/client advocacy/ access to benefits & services	36,390	\$ 5,282,083
4.	Child care and other child services	0	\$ -
5.	Education	790	\$ 579,003
6.	Employment assistance and training	348	\$ 175,914
7.	Health/medical/intensive care services, if approved	0	\$ -
8.	Legal services	20	\$ 13,178
9.	Life skills management (outside of case management)	884	\$ 467,176
10.	Meals/nutritional services	1,876	\$ 412,766
11.	Mental health services	888	\$ 999,671
12.	Outreach	14,966	\$ 589,603
13.	Transportation	2,118	\$ 330,270
14.	Other Activity (if approved in grant agreement). Specify:	0	\$ -
15.	<b>Adjustment for Duplication (subtract)</b>	-23,323	\$ (338,714)
16.	<b>TOTAL Households receiving Supportive Services (unduplicated)</b>	<b>36,390</b>	<b>\$ 9,521,409</b>

**Part 4: Summary of Performance Outcomes**

**Section 1. Housing Stability: Assessment of Client Outcomes on Maintaining Housing Stability (Permanent Housing and Facilities)**

[A] Permanent Housing Assistance	[1] Total Number of Households Receiving HOPWA Assistance	[2] Assessment: Number of Households Continuing with this Housing (per plan or expectation for next year)		[3] Assessment: Number of Exited Households and Housing Status	
Tenant-based Rental Assistance	502	439		1 (Emergency Shelter) =	0
				2 (Temporary Housing) =	0
				3 (Private Housing) =	6
				4 (Other HOPWA) =	0
				5 (Other Subsidy) =	49
				6 (Institution) =	3
				7 (Jail/Prison) =	0
				8 (Disconnected) =	4
				9 (Death) =	1
Permanent Supportive Housing Facilities/Units	3,253	2,960		1 (Emergency Shelter) =	9
				2 (Temporary Housing) =	6
				3 (Private Housing) =	65
				4 (Other HOPW A) =	7
				5 (Other Subsidy) =	46
				6 (Institution) =	33
				7 (Jail/Prison) =	17
				8 (Disconnected) =	97
				9 (Death) =	13
[B] Transitional Housing Assistance	[1] Total Number of Households Receiving HOPWA Assistance	[2] Assessment: Number of Households Continuing with this Housing (per plan or expectation for next year)		[3] Assessment: Number of Exited Households and Housing Status	
Transitional Supportive Housing Facilities/Units	523	Total number of households that will continue in residences:	66	1 (Emergency Shelter) =	109
				2 (Temporary Housing) =	30
				3 (Private Housing) =	47
				4 (Other HOPW A) =	9
				5 (Other Subsidy) =	77
				6 (Institution) =	7
				7 (Jail/Prison) =	8
				8 (Disconnected) =	169
				9 (Death) =	1



**Part 4: Summary of Performance Outcomes**

**Section 2. Prevention of Homelessness: Assessment of Client Outcomes on reduced risks of homelessness (Short-Term Housing Assistance)**

[1] STRMU Housing Assistance	[2] Assessment of Housing Status		[3] HOPWA Client Outcomes
76	Maintain private housing without subsidy ( <i>e.g. Assistance provided/completed and client is stable, not likely to seek additional support</i> )	8	Stable/Permanent Housing
	Other Private Housing without subsidy	0	
	Other HOPWA Support (PH)	2	
	Other housing subsidy	65	
	Institution ( <i>e.g. residential and long-term care</i> )	0	
	Likely to maintain current housing arrangements, with additional STRMU assistance	0	Temporarily Stable, with Reduced Risk of Homelessness
	Transitional Facilities/Short-term ( <i>e.g. temporary or transitional arrangement</i> )	0	
	Temporary/Non-Permanent Housing arrangement ( <i>e.g. gave up lease and moved in with family or friends but expects to live there less than 90 days</i> )	0	
	Emergency Shelter/Street	0	Unstable Arrangements
	Jail/Prison	0	
	Disconnected	1	
	Death	0	Life Event
	1a. Total number of those households that received STRMU Assistance in the prior operating year, that received STRMU assistance in the current operating year		
1b. Total number of those households that received STRMU Assistance in the two (2 years ago) prior operating years, that received STRMU assistance in the current operating year			0

**Part 4: Summary of Performance Outcomes**

**Section 3. HOPWA Outcomes on Access to Care and Support**

**1A. Status of Households Accessing Care and Support by Project Sponsors delivering HOPWA Housing Assistance/Housing Placement/Case Management**

<b>Categories of Services Accessed</b>	<b>Households Receiving Housing Assistance within the Operating Year</b>	<b>Outcome Indicator</b>
1. Has a housing plan for maintaining or establishing stable on-going housing.	4,235	<i>Support for Stable Housing</i>
2. Has contact with case manager/benefits counselor consistent with the schedule specified in client's individual service plan..	4,235	<i>Access to Support</i>
3. Had contact with a primary health care provider consistent with the schedule specified in client's individual service plan,	3,871	<i>Access to Health Care</i>
4. Has accessed and can maintain medical insurance/assistance.	4,188	<i>Access to Health Care</i>
5. Successfully accessed or maintained qualification for sources of income.	3,749	<i>Sources of Income</i>

**1B. Number of Households Obtaining Employment**

<b>Categories of Services Accessed</b>	<b>Number of Households that Obtained Employment</b>	<b>Outcome Indicator</b>
Total number of households that obtained an income-producing job	606	<i>Sources of Income</i>

**2A. Status of Households Accessing Care and Support through HOPWA-funded Services receiving Housing Assistance from Other Sources**

<b>Categories of Services Accessed</b>	<b>Households Receiving Housing Assistance within the Operating Year</b>	<b>Outcome Indicator</b>
1. Has a housing plan for maintaining or establishing stable on-going housing.	33,963	<i>Support for Stable Housing</i>
2. Has contact with case manager/benefits counselor consistent with the schedule specified in client's individual service plan..	33,963	<i>Access to Support</i>
3. Had contact with a primary health care provider consistent with the schedule specified in client's individual service plan,	31,015	<i>Access to Health Care</i>
4. Has accessed and can maintain medical insurance/assistance.	33,916	<i>Access to Health Care</i>
5. Successfully accessed or maintained qualification for sources of income.	33,480	<i>Sources of Income</i>

**2B. Number of Households Obtaining Employment**

<b>Categories of Services Accessed</b>	<b>Number of Households that Obtained Employment</b>	<b>Outcome Indicator</b>
Total number of households that obtained an income-producing job	633	<i>Sources of Income</i>

**PART 5: Worksheet - Determining Housing Stability Outcomes**

<b>Permanent Housing Assistance</b>	<b>Stable Housing (# of households remaining in program plus 3+4+5+6)</b>	<b>Temporary Housing (2)</b>	<b>Unstable Arrangements (1+7+8)</b>	<b>Life Event (9)</b>
Tenant-Based Rental Assistance (TBRA)	560	0	4	1
Permanent Facility-based Housing Assistance/Units	3,404	6	123	13
Transitional/Short-Term Facility-based Housing Assistance/Units	663	30	286	1
<b>Total Permanent HOPWA Housing Assistance</b>	4,627	36	413	15
<b>Reduced Risk of Homelessness: Short-Term Assistance</b>	<b>Stable/Permanent Housing</b>	<b>Temporarily Stable, with Reduced Risk of Homelessness</b>	<b>Unstable Arrangements</b>	<b>Life Events</b>
Short-Term Rent, Mortgage, and Utility Assistance (STRMU)	151	0	1	0
<b>Total HOPWA Housing Assistance</b>	4,778	36	414	15

**D. Unmet Housing Needs: An Assessment of Unmet Housing Needs**

**1. Assessment of Unmet Need for HOPWA-eligible Households**

1. Total number of households that have unmet housing needs	922
<b>From Item 1, identify the number of households with unmet housing needs by type of housing assistance</b>	
a. Tenant-Based Rental Assistance (TBRA)	0
b. Short-Term Rent, Mortgage and Utility payments (STRMU)	0
c. Housing Facilities, such as community residences, SRO dwellings, other housing facilities	922

**2. Recommended Data Sources for Assessing Unmet Need (check all sources used)**

	= Data as reported in the area Consolidated Plan, e.g. Table 1B, CPMP charts, and related narratives
X	= Data established by area HIV/AIDS housing planning and coordination efforts, e.g. Continuum of Care
	= Data from client information provided in Homeless Management Information Systems (HMIS)
X	= Data from project sponsors or housing providers, including waiting lists for assistance or other assessments on need
	= Data from prisons or jails on persons being discharged with HIV/AIDS, if mandatory testing is conducted
	= Data from local Ryan White Planning Councils or reported in CARE Act Data Reports, e.g. number of clients with permanent housing
	= Data collected for HIV/AIDS surveillance reporting or other health assessments, e.g. local health department or CDC surveillance data

## **B. Other Funding Sources**

This section, Other Funding Sources, is divided into two parts: a narrative and a table. The narrative describes the funds received from HUD competitive programs, the State, City tax-levy funds, and other federal (non-HUD) funding. A description of the programs listed in the table can be found in the 2009 Consolidated Plan. The funds the City actually received in 2009 for the four formula entitlement grants are outlined on Table 1, in the previous section, I.A.

Form 5, **Summary Table of Other Funding Sources**, has been divided into six parts: **Part i.** New York City Housing Authority Funds, which includes NYCHA's Public Housing Capital Fund, Public Housing Drug Elimination Program, and HOPE VI Program; **Part ii.** HUD Competitive Programs, includes the Section 202 and Section 811 Programs; **Part iii.** State Funds, includes funds that are provided to match federal and city funds, and non-matching funds; **Part iv.** City Funds, includes city funds to match federal funds, plus non-matching funds; and **Part v.** Total Funding Sources is the aggregation of Parts i-iv.

In addition, the allocations are presented in two columns, A. and B., which indicate how funds will be received: if Column A is designated, the funds will come directly through a City agency; if Column B is selected the money will be received by another entity in the City, such as NYCHA or a not-for-profit organization. The figures in both columns refer to funds awarded in calendar year 2009, not to funds which were previously awarded and are still available.

For the most part, the allocations provided here follow the Consolidated Plan year for the four formula programs, CDBG, ESG, HOME and HOPWA. However, it is important to note that not all of the estimates on this table are presented in terms of the Consolidated Plan Year. Since each governmental entity (i.e., federal, state, and city) uses a different 12 month period to define its fiscal year, the various estimates are based on the fiscal year of the relevant level of government. For example, the projections for the City's contributions are based on the City's fiscal year (July 1 to June 30), while the State figures are reported according to the State fiscal year (April 1 to March 31). In the case of Federal funds, the fiscal year is October 1 to September 30.

### **i. New York City Housing Authority Funds**

In addition to the HUD formula/entitlement programs, the New York City Housing Authority (NYCHA) receives HUD funds to operate its facilities. Please refer to the 2009 Consolidated Plan for a description of NYCHA's programs.

#### **Line 1. Public Housing Capital Fund Program**

In 2009, NYCHA received from HUD, through the Capital Fund Program, approximately **\$331,867,292** for building modernization. These funds will be primarily devoted to moderate rehabilitation activities that benefit low- and very low- income households in Federally subsidized housing projects. NYCHA obligated (awarded contracts) \$444,569,495 in Capital Fund Program funds during 2009.

#### **Line 2. HOPE VI**

NYCHA decided not to apply for HOPE VI in 2009. Therefore, **\$0** has been entered on line 2, column B.

**i. Subtotal - New York City Housing Authority Funds** (lines 1-2) for column B, **\$331,867,292.**

### **ii. HUD Competitive Programs**

HUD releases notices of funding availability (NOFAs) several times a year; the allocation of these funds is made on a competitive basis. In addition to the City of New York, NYCHA and not-for-profit organizations are eligible to apply for funds. In some cases, the City of New York has applied for this money and been awarded

funds. Listed below are the funds awarded to the City during 2009. Column A lists the funds that City agencies received directly, and column B lists the funds NYCHA, a non-for-profit organization, or another entity in the City received.

Line 3. Continuum of Care Super-NOFA

Section 8 Moderate Rehab SRO, Shelter Plus Care and Supportive Housing

The HUD Continuum of Care Super Notice of Funding Availability (Super-NOFA) is administered in New York City by the New York City Coalition on the Continuum of Care (NYC CCoC) which coordinates and prepares applications for Shelter Plus Care rental assistance and Supportive Housing program grants. The Shelter Plus Care Program provides rental assistance for hard-to-serve homeless persons with disabilities. The Supportive Housing Program is designed to promote the development of supportive housing and supportive services to assist homeless persons to live independently. HUD announced both the 2008 and 2009 Super-NOFA awards during the 2009 program year. Based on the 2008 Super-NOFA, the NYC Continuum of Care were awarded a total of \$83,930,415, of which \$20,245,548 was targeted for Shelter Plus Care programs and \$63,684,867 was targeted for Supportive Housing Programs. For the 2009 Super-NOFA, NYC Continuum of Care received a total of \$95,993,011, of which \$31,288,380 was directed at Shelter Plus Care programs and \$64,704,631 was directed at Supportive Housing programs. Therefore, a combined total of **\$179,923,426** has been entered on line 3, column B.

Line 4. Section 202 Supportive Housing for the Elderly

HUD's Section 202 Supportive Housing for the Elderly Program is a substantial funding source for housing development for the elderly in New York City. At this moment, however, no awards have been awarded yet as part of its 2009 SuperNOFA. Therefore, **zero** has been entered on line 4, column B.

Line 5. Section 202 Demonstration Predevelopment Grant

At this moment, HUD has not yet awarded Section 202 Demonstration Predevelopment Program Grants as part of its 2009 SuperNOFA. Therefore, **zero** has been entered on line 5, column B.

Line 6. Section 811 Supportive Housing for People with Disabilities

HUD informed the City of New York that for FFY08, the capital advance funding for the Section 811 Program within the New York Region (New York City, Nassau, Suffolk, Rockland, Putnam, Dutchess, Orange, Westchester, Sullivan and Ulster Counties) would be approximately \$4,313,677. In 2008, no New York City nonprofits received Section 811 grants. Therefore, ~~**\$X**~~ has been entered on line 6, column B. *2009 Data was unavailable when the Proposed Annual Performance report went to print.*

Line 7. Mainstream Housing Opportunities for Persons with Disabilities

In 2009, HUD did not issue a new Notice of Funding Availability (NOFA) for the Mainstream Housing Opportunities for Persons with Disabilities Program (Section 8 Mainstream Program).

NYCHA is funded for 120 units. The 2009 portion of the 60 months of funding for the 20 units awarded in May 2006 was \$196,783. Therefore, **\$196,783** has been entered on line 7, column B.

Line 8. Section 8 Fair Share Allocation Voucher Program.

Traditionally, both HPD and NYCHA administer a Section 8 Voucher Program. In 2008, HUD did not issue a new Notice of Funding Availability under its Section 8 Fair Share Allocation Program. Therefore, **\$0** has been entered on line 8, columns A and B.

Line 9. Family Unification Program

There was no funding offered in 2009. Therefore, NYCHA did/not receive any funding for this program. **\$0** has been entered on line 9, column B.

For a description of NYCHA's existing Family Unification Program, please see Part II. B., Continuum of Care.

Line 10. Housing Opportunities for Persons with AIDS

The competitive grant provides states, localities and nonprofit organizations with resources and incentives to devise strategies for meeting the housing and related supportive service needs of low-income persons with HIV/AIDS and their families. Funds are divided into three categories: (1) grants for Special Projects of National Significance (SPNS); and (2) grants for projects that are part of Long Term Comprehensive Strategies (Long Term); and (3) grants for Renewal of Permanent Supportive Housing.

In 2009, HUD did not award any new HOPWA Competitive grants. Therefore, **zero** has been entered on line 10, column B.

Line 11. Lead-based Paint Hazard Control

HUD announced a notice of funding availability (NOFA) for this program in 2009. New York applied for the grant. Unfortunately, New York City was not awarded.

Therefore, **\$0** has been entered on line 11, column A.

Line 12. Lead Hazard Reduction Demonstration Grant Program

HUD announced a notice of funding availability (NOFA) for this program in 2009. New York applied for the grant. Unfortunately, New York City was not awarded.

Therefore, **\$0** has been entered in line 12, column A.

**ii. Subtotal - Competitive Programs** (lines 3 –12) is **\$0** for column A, and approximately **\$180,120,200** for column B.

**Total Federal (HUD) Funds** The total for Federal HUD funds (New York City Housing Authority Funds and Competitive Grants) received in 2009 by New York City agencies, and other entities within the City are approximately: **\$365,660,200** (Lines 1–12, column A, and Federal Formula/Entitlement Programs; complete description in Section A), and approximately **\$516,137,400** (lines 1–12, column B), respectively.

**iii. State Funds**

The State of New York provides funding through City agencies for housing, homeless and supportive housing services. The State funds listed in column A are administered by a New York City agency. Column B lists the programs which are operated by NYCHA and not-for-profit entities. The following programs have received State funds:

Line 13. Affordable Homeownership Development Program

The Affordable Homeownership Development Program is administered by the New York State Affordable Housing Corporation, a subsidiary of the New York State Housing Finance Agency. In 2009, HPD was awarded **\$7,720,500** (line 13, column A) for the construction of 9 projects consisting of 264 new homeownership units for low and moderate income households.

Line 14. Homeless Housing Assistance Program

The Homeless Housing and Assistance program expands the supply of housing for homeless persons through the provision of capital grants and loans for housing development and preservation. Grants are provided to not-for-profit organizations and may be used to develop emergency, transitional and permanent housing for the homeless. Eligible costs include land/building acquisition; capital improvements (rehabilitation and new construction); professional fees (i.e. architectural, legal); and other costs associated with project development. Approved projects must be operated as homeless housing for a period of not less than twenty-five years and rents cannot exceed the public assistance shelter allowance or 30% of income. In SFY '08 – '09, **\$19,875,090** (Line 14, Column B) was allocated for New York City projects; there were no requests for funding for the development of housing for persons living with AIDS. There were 53 units of permanent self-contained housing for families, and 64 units of SRO housing completed in SFY '08 – '09. There were 80 units completed for people with AIDS. There were no units of transitional housing provided for families.

Line 15. Low Income Housing Tax Credit (LIHTC)

In 2009, HPD awarded a total of **\$13.2 million** (line 15, column A) in federal Low Income Housing Tax Credits for thirty four developments under the competitive funding round for 2009. HPD's authority is negotiated annually with the State of New York, which in turn receives a fixed amount determined by a per capita formula from the U.S. Department of the Treasury (IRS). These credits will help build or rehabilitate 1,096 apartments of which 1,022 will be affordable for low-income families in Manhattan, the Bronx and Brooklyn.

Line 16. Low Income Housing Trust Fund Program

This program was created to address the shortage of decent, affordable housing for low-income people. It provides funding to non-profit corporations, municipalities, counties, housing authorities, private developers and partnerships to build or rehabilitate housing or convert non-residential properties to house low-income homesteaders, tenants, tenant cooperators or condominium owners. It provides housing for the homeless and those with special needs, large families, the elderly and disabled, and persons with incomes with income less than 80 percent of median in New York City. Applications for funding are processed through the Division of Housing and Community Renewal's Unified Funding Application Process. The actual amount of funds approved by the HTFC Board for New York City projects in SFY '08 – '09 was \$16,393,600. Funding commitments were executed with awardees in NYC in the amount of **\$3,645,000**. There were 192 units completed in 4 projects in New York City in SFY '08 – '09.

Line 17. Public Housing Modernization

NYCHA received **\$8.5 million** for State modernization funding (line 17, column B) in State FY 2008/2009 (April 1<sup>st</sup> through March 31<sup>st</sup>) to be utilized, in addition to City Capital funds, to perform modernization work, including upgrades needed to meet statutory requirements, emergency conditions, safety and security conditions, and rehabilitation needs of building structures and systems, apartments and grounds at developments originally built with State and City funds, and not included in the calculation for operating and capital subsidy, but allowed to partake in allocations made on behalf of federal developments.

Line 18. RESTORE

RESTORE, administered by the New York State Housing Trust Fund Corporation, is targeted to low-income elderly homeowners and provides grants and loans of up to \$7,500 per unit for emergency home repairs. Funds are made available to non-profit organizations and municipalities for projects. Applications are processed through notice of funds available. Funding commitments were executed with awardees in the NYC region in the amount of **\$1,600,000** for 269 units in SFY '08 – '09.



### iii. Total State Funds

The total State of New York funds the City of New York allocated for housing, homeless and supportive housing services is **\$20,920,500** (lines 13-18, column A). NYCHA, not-for-profit agencies and other entities expect to allocate approximately **\$32,140,100** (lines 13-18, column B) of state funds within the City of New York.

### iv. City Funds

#### Column A

#### Line 19. DHS City Funds

a. DHS Expense with Federal Funds

DHS used approximately \$738.125 million in City Fiscal Year 2008 to administer the Continuum of Care program for the homeless. Not including CDBG and ESG funds used by DHS to provide homeless services, the total is approximately \$731.049 million. Of this, approximately **\$492,086,000** (line 19a, column A) was used in conjunction with Federal funds. This includes approximately \$6.219 million in City Tax Levy funds used to match ESG funds received from HUD. Excluding this ESG Match, the \$495.630 million comes from three funding sources, approximately 46% City tax levy, 33% State of New York and 21% from Federal funds. The primary Federal funding source is the U.S. Department of Health and Human services (HHS) Temporary Assistance to Need Families (TANF) program. The New York State funds represent the State's match of TANF funds.

b. DHS Capital without Federal Funds

The City expended approximately **\$25,944,000** in City Capital funds for DHS programs (line 19b, column A).

c. DHS Expense without Federal Funds

In addition to the approximately \$6.219 million in City Tax Levy funds used for the ESG match, the City used approximately **\$249,541,000** (line 19c, column A) in CFY 2008 for the provision of homeless services without Federal Funds. This represents, in addition to the ESG match, the City's contribution to the Continuum of Care that does not involve Federal funding. City tax levy funds are matched with two types of funding from New York State, funding to reimburse localities for local adult shelter expenditures and SRO operating subsidies. The \$229.199 million does not include CD or ESG funds used by DHS to administer homeless services.

#### Line 20. HPD City Funds

- a. HPD's total capital budget actuals for 2009 from all funding sources (including HUD) is approximately \$437,442,000. Of that amount \$315,824,000 comes from the City. Of the City funds, **\$177,505,000** (line20a, column A) are scheduled for programs that use City funds in conjunction with Federal funds (CDBG, HOME, etc.). The remaining \$ \$138,319,000 of City funds are used in programs that do not receive Federal funds.

The City uses a portion of this \$177,505,000 figure to meet its 12.5% requirement to match HOME funds, in addition to using the appraised value of tax exemptions. Please refer to the HOME Match Report located in Section A. for a description of the City's matching contribution to federally funded HOME Investment Partnership projects.

In 2009, the HOME Program generated was \$219,000.

- b. **HPD Expense with Federal Funds**  
 HPD's total expense budget actuals for 2009 from all funding sources (including HUD) was \$785,072,613. Of that amount, \$85,606,961 comes from the City (tax levy, InterFund Agreement (IFA), and IntraCity). Of the City funds, approximately **\$56,013,037** (line 20b, column A) is scheduled for programs that use City funds in conjunction with Federal funds (CDBG, HOME, etc.). The remaining approximate \$29,593,924 of City funds are used in programs that do not receive Federal funds.
- c. **HPD Capital without Federal Funds**  
 In 2009 HPD committed approximately **\$138,319,000** (line 20c, column A) in programs that receive no Federal funds.
- d. **HPD Expense without Federal Funds**  
 In 2009, HPD budgeted approximately **\$29,593,924** (line 20d, column A) in programs that receive no Federal funds.

#### HPD Capital and Expense

As the primary housing agency in the City of New York, HPD has used both City capital and tax levy funds to develop housing programs to address the needs of low and moderate income households. Although the funds received from the federal government are an essential element in the City's housing policy, HPD has created 24 housing programs with no federal funds for the purposes of increasing housing production and maintaining the existing housing stock through the following activities: new construction, substantial and moderate rehabilitation, code enforcement, operating and maintenance costs, planning and administration, homeless prevention, infrastructure improvements, public service improvements, homeless assistance, rental assistance and other activities.

#### HPD Capital and Expense

As the primary housing agency in the City of New York, HPD has used both City capital and tax levy funds to develop housing programs to address the needs of low and moderate income households. Although the funds received from the federal government are an essential element in the City's housing policy, HPD has created 24 housing programs with no federal funds for the purposes of increasing housing production and maintaining the existing housing stock through the following activities: new construction, substantial and moderate rehabilitation, code enforcement, operating and maintenance costs, planning and administration, homeless prevention, infrastructure improvements, public service improvements, homeless assistance, rental assistance and other activities.

Arverne Urban Renewal Area (URA)	Melrose Commons URA
Bradhurst URA	Nehemiah Gateway Estates at Spring Creek
DAMP (Division of Alternative Management) Special Projects	Nehemiah Housing Program
Edgemere URA	New York City Partnership New Homes Program
Gateway Estates	Senior Citizen Home Assistance Program (SCHAP)
Home Improvement Program (HIP)	Taxable "80/20" Program
Housing Education Program (HEP)	Tenant Support Services
HUD Multifamily Program	Urban Renewal Associated Costs
Inclusionary Housing Program	Middle Income Housing Program
In-Rem Lead	
Multifamily Rental – Mod/Mid	
Year 15 / Low Income Housing Tax Credit Program (LIHTC)	
Queens West / Hunters Point South	
Mortgage Assistance Program	

Line 21. HRA City Funds

HRA HASA Services are funded with a combination of the funding sources outlined below. In City Fiscal Year 2009 the total HASA budget was \$217.170 million for case management, housing, support services, and expenses for the design and implementation of HASA's Model offices.

In City fiscal year 2009, projected City tax levy funding for HASA was approximately **\$78.090 million** (line 21, column A).

HASA received the following additional money not listed in the HUD Variables chart. The amounts are approximately \$65.548 million in New York State matching funds; and \$72.713 million in federal funds. The numbers do not include expenditures for rental assistance and enhanced rental assistance, housing related special grants, or nutrition and transportation benefits paid through public assistance

Column B

Line 22. NYCHA City Capital without Federal Funds

The City allocates Capital funds for the modernization of developments originally built with City funds (and not included in the calculation for operating and capital subsidy, but allowed to partake in allocations made on behalf of federal developments). In CFY 2009 the following funds were allocated for modernization work at NYCHA developments: Mayoral Capital funds in the amount of \$25 million, City Council funds in the amount of \$15.2 million and Borough President Discretionary Capital funds in the amount of \$3.8 million. Therefore, the total of the three sources is entered on line 22, column B as **\$44 million**

v. Total City Funds

The Total Funds the City of New York expects to allocate for housing, homeless and supportive housing services is approximately **\$729,062,000** column A, and the amount the City is expected to provide to NYCHA is represented in column B, **\$44 million**

vi. Total Funding Sources

Line 23. Federal Sources

In column A, the City received federal funds from three funding sources:

- a. \$ 365,660,221 Federal Formula/Entitlement Programs (see Section A for a complete description);
- c. \$ 0 subtotal HUD Competitive Programs (part ii)
- d. \$ 0 subtotal HUD Fair Housing and Housing Counseling (see AFFH Statement)
- e. **\$365,660,221 Total Federal Sources Received by the City**

In column B, NYCHA and other entities received federal funds from three funding sources:

- b. \$ 331,867,292 subtotal New York City Housing Authority Funds (Part i)
- c. \$ 180,120,209 subtotal HUD Competitive Programs (Part ii)
- d. \$ 4,149,905 subtotal HUD Fair Housing and Housing Counseling (see AFFH Statement)
- e. **\$ 516,137,406 Total Federal Sources Received by Other Entities**

Line 24. Total State Sources

In column A, approximately **\$20,920,500** in State funds was provided directly to City agencies for housing, homeless, and supportive housing services. In column B, approximately **\$32,140,100** in state funds was provided to other entities, such as NYCHA or not-for-profit organizations.

Line 25.Total City Sources

In column A, approximately **\$729,062,000** of City tax-levy dollars was used in the 2009 Consolidated Plan. In column B, **\$44 million** was used by NYCHA.

Line 26.Total Private Sources

In column B, approximately **\$395,478,400** in private funds were received in 2009 This figure only includes private funds to be used in conjunction with federal HOME funds. It includes private bank loans and tax credit equity.

**Total All Sources**

In column A, approximately **\$1,115,642,700** in Federal, State, and City funds (lines 23, 24, and 25, respectively) was administered by City agencies for housing, homeless, supportive housing services and community development needs.

In column B, approximately **\$987,755,900** in Federal, State, City and Private funds (lines 23, 24, 25 and 26, respectively) were received by NYCHA and not-for-profit organizations.

In the 2008 Consolidated Plan over **\$2,103,398,600** (Total All Sources, column A plus column B) was used by City agencies, NYCHA, and not-for-profit organizations to meet the housing, homeless, supportive housing services and community development needs within the City of New York.

Line	Funding Source	Amount City Received in 2009 (A)	Amount Received by Other Entities in 2009 (B)
<b>i.</b>	<b>New York City Housing Authority Funds</b>		
1	Public Housing Capital Fund Program		\$331,867,292
2	HOPE VI		\$0
<b>i.</b>	<b>Subtotal-New York City Housing Authority Funds</b>		<b>\$331,867,292</b>
<b>ii.</b>	<b>HUD Competitive Funds</b>		
3	Homeless Continuum of Care SuperNOFA Section 8 Moderate Rehab SRO Shelter Plus Care Supportive Housing		<b>\$179,923,426</b>
4	Section 202 Supportive Housing for the Elderly		\$0
5	Section 202 Demonstration Predevelopment Grant		\$0
6	Section 811 Supportive Housing for Persons with Disabilities		\$0
7	Mainstream Housing Opportunities for Persons with Disabilities		\$196,783
8	Section 8 Fair Share Allocation Voucher Program	\$0	\$0
9	Family Unification Program		\$0
10	Housing Opportunities for Persons with AIDS (SPNS)		\$0
11	Lead-Based Paint Hazard Control Program	\$0	
12	Lead Hazard Reduction Demonstration Grant Program	\$0	
<b>ii.</b>	<b>Subtotal-HUD Competitive Program</b>	<b>\$0</b>	<b>\$180,120,209</b>
<b>iii.</b>	<b>State Funds</b>		
13	Affordable Homeownership Development Program	\$7,720,500	
14	Homeless Housing and Assistance Program		\$19,875,090
15	Low Income Housing Tax Credit	\$13,200,000	
16	Low Income Housing Trust Fund Program		\$3,645,000
17	Public Housing Modernization		\$8,500,000
18	RESTORE Program		\$120,000
<b>iii.</b>	<b>Subtotal-State Funds</b>	<b>\$20,920,500</b>	<b>\$32,140,090</b>

Line	Funding Source	Amount City Received in 2009 (A)	Amount Received by Other Entities in 2009 (B)
<b>iv.</b>	<b>City Funds</b>		
19	DHS City Funds		
	a. DHS City Expenses with Federal Funds	\$492,086,000	
	b. DHS City Capital in Programs that receive no Federal Funds	\$25,944,000	
	c. DHS City Expense in Programs that receive no Federal Funds	\$249,541,000	
20	HPD City Funds		
	a. HPD City Capital with Federal Funds	\$177,505,000	
	b. HPD City Expense with Federal Funds	\$56,013,037	
	c. HPD City Capital in programs that receive no Federal Funds	\$138,319,000	
	d. HPD City Expense in programs that receive no Federal Funds	\$29,593,924	
21	HRA City Funds	\$78,090,056	
	HRA City Expense with no Federal Funds		
22	New York City Housing Authority Capital Funds		\$44,000,000
<b>iv.</b>	<b>Subtotal-City Funds</b>	<b>\$729,062,017</b>	<b>\$44,000,000</b>
<b>v.</b>	<b>TOTALS</b>		
23	Total Federal Sources		
	a. Formula Entitlement Programs (See Section A)		
	CDBG	\$180,347,000	
	HOME	\$124,733,307	
	ESG	\$7,925,555	
	HOPWA	\$52,654,359	
	b. New York City Housing Authority		\$331,867,292
	c. HUD Competitive Programs	\$0	\$180,120,209
	d. HUD Fair Housing and Housing Counseling	\$0	\$4,149,905
	e. Total	\$365,660,221	\$516,137,406
24	Total State Sources	\$20,920,500	\$32,140,090
25	Total City Sources	\$729,062,017	\$44,000,000
26	Total Private Sources		\$395,478,439
<b>v.</b>	<b>TOTAL ALL SOURCES</b>	<b>\$1,115,642,738</b>	<b>\$987,755,935</b>

## C. Progress in Providing Affordable Housing

The section has been divided into two parts: 1. Households and Persons Assisted with Housing by Income; and 2. Households and Persons Assisted with Housing by Race and Ethnicity. The first section will report on the total number of extremely low-, low-, and moderate-income renter and owner households, homeless families and persons, and persons and non-homeless persons with special needs (including persons with HIV/AIDS and their families) who were assisted with housing during 2009. The second section provides the race and ethnicity for those programs where such data was collected. In addition, the section reports on the race and ethnicity for persons receiving rental assistance through the Section 8 Rental Certificate and Voucher programs.

### 1. Households and Persons Assisted with Housing by Income Categories

This Section describes **Table 6, Households and Persons Assisted with Housing**, which estimates the number of extremely low-, low-, and moderate-income renter and owner households, homeless families and persons, and non-homeless persons with special needs (including persons with HIV/AIDS and their families) who were assisted with housing during 2009. In reviewing the information provided for **Table 6** several important caveats must be considered.

First, the total number of households and persons to be assisted is based upon a distinct category of funding. In accordance with the Performance Report instructions, the tables provide data **only** for households and persons who have been assisted with Federal funds (whether wholly or in part), and in no way comprises the total universe of households and persons that have been assisted by the City in 2009. The specific Federal programs used to compile these estimates are cited below. It is important to note that, while Federal funds are critical to the City's housing goals and have an increasingly significant impact on the types of activities that can be done and the range of households and persons to be assisted, these funds account for a limited amount of the City's overall housing assistance budget. As mentioned earlier in this report a substantial amount of housing production and assistance activities are undertaken solely with local financial resources, or a combination of local and state resources. This assistance is not reflected in this table.

Second, the estimates found in Table 6 are based on 2009 accomplishments irrespective of when these funds used to support the accomplishments were made available. For example, even if all or part of the funds were expended in the fiscal year(s) prior to calendar year 2009, if the household moved into a dwelling unit in calendar year 2009, the household will be counted as "assisted in 2009" for the purposes of this report. For renter households, a renter is considered to have benefited if the household or individual takes occupancy of affordable housing that is newly acquired, newly rehabilitated, or newly constructed, and/or receives rental assistance. For Homeowners, an existing homeowner is benefited during the year if the home's rehabilitation is completed. A homebuyer is benefited if a home is purchased during the reporting year. For the homeless, the accomplishments count homeless families and persons as having been assisted with housing if they became the occupant of transitional or permanent housing in 2009. The numbers reported are based upon information provided by HUD regional staff, as well as information and input provided by the program staff at HPD, NYCHA, DHS, HRA and other city agencies. It is important to note, however, that while all of the households and persons listed here are receiving some federal assistance, the majority also receive assistance from the City.

Third, in formulating its estimate of those households and persons "to be assisted" the City used the definition outlined in the HUD instructions which specified the conditions under which a household or person is benefited through the investment of Federal funds and specific categories found in Table 6. These categories are as follows: 1) Total Renters; 2) Total Homeowners; 3) Homeless, Individuals and Families; and 4) Non-Homeless persons with Special Needs. These activities and initiatives are targeted to increase the number of renter and ownership units available, and make those units accessible to the greatest number of residents, while serving the full range of household types and persons, and ensuring that economic and racial integration is maintained. The category "Support Services" are defined and included as, "Federal funds, or activities assisting homeless and non-homeless persons with special needs not linked to the provision of supportive, transitional or permanent housing, may be reported separately, but shall not be included in the estimate of households and persons assisted

with housing." The programs specified in each of these categories which received Federal funds have been defined in the 2009 Consolidated Plan.

Due to the above limitations only a few of the City's CDBG-funded programs could be included in the charts which identify the total numbers of households and persons assisted. For instance, all of the ongoing repair work in the in-rent units goes to benefit the many thousands of people residing in this housing. However, since each individual repair does not constitute a completed rehabilitation it is not proper to count it here. Consequently, the numbers of the households and persons positively impacted by the City's efforts are actually much higher than can be identified under the Performance Report criteria.

In addition, the instructions for completing the 2009 Consolidated Plan required that the City report on assistance for three categories of income: extremely low-income (0-30 percent of the area median family income (MFI)); low-income (31-50 percent of MFI); and moderate (51-80 percent of MFI). While attempting to comply with these instructions when providing performance projections in the 2009 Consolidated Plan, the City also noted that, since many of the Federal programs do not distinguish between extremely low-income households with incomes below 30 percent of the MFI and those with income above 30 percent of MFI, this information is only provided if the information exists. It is significantly easier to provide information concerning the split between households earning below 50 percent of MFI and those earning above 50 percent of MFI, because many Federal programs use this point as an eligibility cut-off. However, even in this case, it is not always possible to accurately apportion beneficiaries. In fact, in some Federal programs like the Low Income Housing Tax Credit, families with incomes between 50 percent and 60 percent of MFI are often treated in the identical manner as families with incomes below 50 percent of MFI. As a result, while the 2009 Consolidated Plan estimates for total households assisted are relatively accurate, the specific projections for each of the income categories are not completely reliable and should be used with caution.

With these caveats in mind, the City has attempted to present the most complete and accurate information possible concerning the use of Federal funds to assist households and individuals in 2009. The program description for each program is detailed in the 2009 Consolidated Plan.

**Table 6 - HOUSEHOLDS AND PERSONS ASSISTED WITH HOUSING BY INCOME AND TENURE**

**RENTERS**

Column E: Renters

Line 1(E): Extremely-Low Income and Low-Income (0 to 50% of MFI) Households: On line 1, column E, a total of **17,303** households were assisted in the following programs: Federal Public Housing Development program (**3,337**); NYCHA Section 8 Rental Housing Choice Vouchers (**9,978**); HPD Section 8 Voucher (**2,938**); HOME-assisted Neighborhood Redevelopment Program (**70**); HOME-assisted Neighborhood Entrepreneurs Program (**159**); HOME-assisted Supportive Housing Program (**188**); HOME-assisted Participation Loan Program (**27**); HOME-assisted Participation Loan Program-TPT (**14**); HOME-assisted Participation Loan Program-New Construction (**48**); HOME-assisted Cornerstone Program (**135**); HOME-assisted Multifamily New Construction Program (**152**); and, HOME-assisted New Mixed-Income Rental (New MIRP) Program (**257**).

Line 3 (E): Moderate-Income (51 to 80% of MFI) Households: On line 3, column E, a total of **1,348** households have been assisted with funds from the following programs: Federal Public Housing Development Program (**1,034**); HOME-assisted Neighborhood Redevelopment Program (**14**); HOME-assisted Neighborhood Entrepreneurs Program (**37**); HOME-assisted Participation Loan Program (**35**); and, HOME-assisted Participation Loan Program-TPT (**18**); and, HPD Section 8 Vouchers (**210**).

Line 4 (E): Total Low/Moderate-Income Households: This line is a total of the above defined categories of assisted households which equals **18,651** households.



## **OWNERS**

### Column I: Homeowners:

Line 1 (I): Extremely-Low Income and Low-Income Households (0 to 50% of MFI): On line 1, column I, 290 extremely low-income and low-income households have been assisted with funds from the following program: HOME-assisted Article 8A Loan (**284**); and, HOME-assisted Small Homes Scattered Site (New Foundations) (**6**).

Line 3 (I): Moderate-Income (51 to 80% of MFI): On line 3, column I, **3** other low-income households have been assisted with funds from the HOME-assisted Small Homes Scattered Site (New Foundations) Program (**3**).

Line 4 (I): Total Low/Moderate-Income: Lines 1 and 3 of Column I, equal **293** homeowners.

## **HOMELESS**

### Column J: Homeless Individuals:

Line 1 (J): Extremely Low-Income and Low-Income Households (0 to 50% of MFI): On Line 1, column J, is a total of extremely low-income and low-income individuals (0 to 50% of MFI): This column is a total of **35,609** individuals which includes the Emergency Shelter Grant (**34,876**); Federal Public Housing Development Program (**140**); NYCHA Section 8 Rental Housing Choice Vouchers (**312**); HPD Section 8 Vouchers (**69**); HOME-assisted Supportive Housing Loan Program (**186**); and, HOME-assisted New Mixed-Income Rental (New MIRP) Program (**26**).

Line 3 (J): Moderate Income Households (51% to 80% of MFI): On line 3, column J, a total of (**10**) individuals were assisted through the Federal Public Housing Development Program (**7**); and, HPD Section 8 Vouchers (**3**).

Total of column J, on line 4: A total of **35,619** Homeless Individuals were assisted with housing in 2009.

### Column K: Homeless Families:

Line 1 (K): Extremely Low-Income and Low-Income Households (0 to 50% of MFI): On line 1, column K, a total of **3,510** families which includes Emergency Shelter Grant (**1,899**) (families with approximately **5,617** individuals in those families); Federal Public Housing Development Program (**339**); NYCHA Section 8 Rental Housing Choice Vouchers (**718**); HPD Section 8 Vouchers (**368**); HOME-assisted Supportive Housing Loan Program (**75**); HOME-assisted New Mixed-Income Rental (New MIRP) Program (**83**); and, HOME-assisted Cornerstone Program (**28**).

Line 3 (K): Moderate Income Households (51% to 80% of MFI): On line 1, column K, a total of **36** families were assisted through the Federal Public Housing Development Program (**24**); and, HPD Section 8 Vouchers (**12**).

Total of column K, on line 4: A total of **3,546** Homeless families were assisted with housing in 2009.

## **NON-HOMELESS PERSONS WITH SPECIAL NEEDS**

### Column L: Non-Homeless Special Needs:

Line 1 (L): Extremely Low-Income and Low-Income Households (0 to 50% of MFI): On line 1, column L, is a total of **7,294** households which includes Federal Public Housing Development Program (**635**); NYCHA Section 8 Rental Housing Choice Vouchers (**2,328**) Section 202 Supportive Housing for the Elderly (**199**); Department of Health and Mental Hygiene- Bureau of HIV/AIDS Prevention & Control (DOHMH- BHIV)

(**1,350**); and Department of Health and Mental Hygiene – Division of Mental Hygiene (**135**); and, HASA-Housing Contracts (**2,647**).

Column L: Non-Homeless Special Needs:

Line 3 (L): Moderate Households (51% to 80% of MFI): On line 3, column L, is a total of **90** households assisted through the Federal Public Housing Development Program.

Total of Column L on line 4: A total of **7,384** households with Special Needs were assisted

**TOTALS**

Column M: Total Goals: The numbers in this column represent the sum of the numbers from columns A through L. The number of extremely low-income households and persons assisted were **64,006**. The number of moderate-income households assisted was **1,487**. The total of all households and persons assisted in 2009 is **65,493**.

Column N: Total Section 215 Goals: **4,626** of the **65,493** households assisted met the Section 215 Goals as outlined in the National Affordable Housing Act of 1990.

TABLE 6

<b>Consolidated Plan</b> Households and Persons Assisted with Housing		<b>U.S. Department of Housing and Urban Development</b> <b>Office of Community Planning and Development</b>						<b>Annual Performance Report (APR)</b>						
<b>Name of Jurisdiction:</b> NEW YORK, NEW YORK												<b>Fiscal Year:</b> 2009		
<b>Household Income</b> <b>(All Households)</b>	<b>Renters</b>					<b>Owners</b>			<b>Homeless Persons</b>		<b>Non-Homeless Persons with Special Needs</b>	<b>Totals</b>		
	<b>Elderly 1 &amp; 2 Member Households (A)</b>	<b>Small Related Households (2 to 4) (B)</b>	<b>Large Related Households (5 or more) (C)</b>	<b>All Other Households (D)</b>	<b>Total Renters (E)</b>	<b>Existing Homeowners (F)</b>	<b>1st-Time</b>		<b>Total Homeowners (I)</b>	<b>Indvcls. (J)</b>		<b>Families (K)</b>	<b>All Households Assisted (M)</b>	<b>Section 215 Households (N)</b>
							<b>with Children (G)</b>	<b>All Others (H)</b>						
<b>1. Extremely Low 0 to 30% MFI*</b>					17,303				290	35,609	3,510	7,294	64,006	4,366
<b>2. Low 31 to 50% MFI*</b>														
<b>3. Moderate 51 to 80% MFI*</b>					1,348				3	10	36	90	1,487	260
<b>4. Total Low/Moderate Income</b>					18,651				293	35,619	3,546	7,384	65,493	4,626

## **2. Households and Persons Assisted with Housing by Race and Ethnicity**

This section documents the race and ethnicity of all households or persons who were assisted with housing during 2009. In the previous chapter, the same households or persons assisted with housing were reported by income, see Table 6 Households and Persons Assisted with Housing by Income.

In late September 2002, HUD release guidance on the collection, analysis, and reporting using new federally-defined race and ethnicity categories. Race data will be described using five federally-defined single race categories (American Indian or Alaska Native; Asian; Black or African-American; Native Hawaiian or Other Pacific Islander; and White) and six additional multiple race categories (American Indian or Alaska Native *and* White; Asian *and* White; Black or African American *and* White; American Indian or Alaska Native *and* Black or African American; Any other (multiple) race combination that comprises more than 1 percent of the population; and Balance of individuals reporting more than one race, respectively). In addition, persons of Hispanic or Latino ethnicity shall be reported as a subcategory within each of the respective race categories.

Please note: if one of the aforementioned categories is not listed in a table, no persons of that race/ethnic group were registered in that category and the table has been collapsed for the sake of reporting brevity. In addition, the Race and Ethnicity data are not collected for every program that the City of New York administers. Such data has been summarized for the programs where data is available. HUD does not make race and ethnicity data available, therefore, such data for Section 202 and Section 811 are not provided.

HUD's implementation date was January 1, 2003. Therefore, the City collected race and ethnicity data for Consolidated Plan program year 2009 activities using the new categories. The data has been reported in the Proposed 2009 Consolidated Plan Annual Performance Report.

Department of Housing Preservation and Development Programs

The following information represents the race/ethnicity of households and persons assisted with housing by HPD programs (CDBG, HOME, and other federal funds).

The renter programs include: HOME-assisted Neighborhood Redevelopment Program (NRP); HOME-assisted Neighborhood Entrepreneurs Program (NEP); HOME-assisted Participation Loan Program (PLP); HOME-assisted Participation Loan Program-New Construction; HOME-assisted Participation Loan Program-TPT; HOME-assisted Supportive Housing Program; HOME-assisted Cornerstone Program; HOME-assisted Mixed-Income Rental Program; and HOME-assisted Multifamily New Construction Program.

Homeownership programs include: HOME-assisted Article 8A Loan; HOME-assisted Small Homes Scattered Site (New Foundations) Program; and HOME-assisted SCHAP Program.

Lastly counted in this table are homeless households and persons assisted through the following programs: HOME-assisted Neighborhood Entrepreneurs Program (NEP); HOME-assisted Mixed-Income Rental Program; HOME-assisted Supportive Housing Program.

**TABLE 7:** The Race and Ethnicity of Households and Persons Assisted with Department of Housing Preservation and Development-Administered Housing Programs Using Federal Funds. (1)

<b>RACE/ ETHNICITY</b>	<b>TOTAL RENTERS (A)</b>	<b>TOTAL HOME-OWNERS (B)</b>	<b>HOMELESS INDIVIDUALS (C)</b>	<b>HOMELESS FAMILIES (D)</b>	<b>TOTAL ASSISTED (A+B+C+D)</b>
American Indian or Alaska Native	10	2	0	3	15
Asian	38	22	13	8	85
Native Hawaiian or Other Pacific Islander	4	6	2	0	13
Black or African American	498	123	84	92	805
White	602	134	109	83	1,030
Other (Multi-)racial	2	6	4	0	12
<b>TOTAL</b>	<b>1,154</b>	<b>293</b>	<b>212</b>	<b>186</b>	<b>1,845</b>
<b>RACE/ ETHNICITY</b>	<b>TOTAL RENTERS (A)</b>	<b>TOTAL HOME-OWNERS (B)</b>	<b>HOMELESS INDIVIDUALS (C)</b>	<b>HOMELESS FAMILIES (D)</b>	<b>TOTAL ASSISTED (A+B+C+D)</b>
Assisted Hispanic	421	106	42	77	646

Notes:

- 1 The distributions shown reflect both survey-based information from occupants and estimates. Caution is recommended in interpreting this data.
- 2 "Other" includes unknown or not available.
3. Some of the above data includes middle-income households assisted by the respective programs described above.

In addition, HPD is responsible for maintaining and preserving the City-owned residential housing stock (a.k.a., in-rem housing). An assessment of the racial/ethnic composition of the tenants living in *in-rem* housing was undertaken based on the 2008 New York City Housing and Vacancy Survey. The survey found that the racial and ethnic composition of the *in-rem* tenants was as follows:

**TABLE 8:** Race and Ethnicity of the Householder of Community Development-funded, Department of Housing Preservation and Development-administered, City-owned Housing Stock, New York City 2008

<b>RACE/ETHNICITY</b>	<b>PERCENTAGE</b>
Black, non Hispanic	48.5%
Hispanic	43.9%
White, non-Hispanic	6.7%*
Asian, non-Hispanic	**
Other, non-Hispanic	**
<b>TOTAL</b>	<b>100%</b>

\* Due to survey and estimation errors, percentage should be used with caution.

\*\* Too few individuals to report.

Emergency Shelter Grant (ESG) Funded Programs

The following numbers demonstrate the racial and ethnic composition of the homeless families that benefit from the City's shelter programs. The funds from the HUD entitlement program, the Emergency Shelter Grant (ESG), provides services to the homeless for three activities: prevention, services, and shelter operating costs. A description of the ESG funded programs can be found in the 2009 Consolidated Plan.

The table describes only the number of persons in families who were assisted with housing in 2009. The number of persons in families assisted by DHS homeless prevention activities do not access housing and, therefore are omitted from both tables: 1) the Households and Persons Assisted with Housing by Income Categories, and 2) the Households and Persons Assisted with Housing by Race and Ethnicity. In addition, the data represented in the Services to the Homeless and Shelter Operations columns are unduplicated within each column category. Due to the fact a family may be assisted by both homeless services and shelter operations, there is an overlap in the data between column categories. The reader is advised to interpret the data with caution.

**TABLE 9:** The Race and Ethnicity of Persons in Families Assisted with ESG-funded Housing Units

RACE/ETHNICITY	SERVICES TO THE HOMELESS (TOTAL)		SERVICES TO THE HISPANIC HOMELESS		SHELTER OPERATIONS (TOTAL)		SHELTER OPERATIONS HISPANIC	
American Indian or Alaska Native	25	1.80%	23	4.06%	54	1.28%	40	2.76%
Asian	7	.50%	1	.18%	28	.66%	3	.21%
Native Hawaiian or Other Pacific Islander	6	.43%	5	.88%	20	.47%	15	1.03%
Black or African American	781	56.23%	74	13.05%	2517	59.53%	135	9.31%
White	46	3.31%	15	2.65%	173	4.09%	75	5.17%
Balance	524	37.72%	449	<b>79.19%</b>	1436	33.96%	1182	<b>81.52%</b>
<b>Total</b>	<b>1389</b>	<b>100%</b>	<b>567</b>	<b>100%</b>	<b>4228</b>	<b>100%</b>	<b>1450</b>	<b>100%</b>

HOPWA Funded Programs

The following numbers represent the racial and ethnic composition of the individuals and families that benefited from HOPWA-funded housing in 2009. As stated to the explanatory remarks at the beginning of this section, the data represents those placed in HOPWA-funded housing only. Although the City’s eligible HOPWA-funded activities include 1) substantial rehabilitation; 2) development and facility operations; 3) housing and placement services; and, 4) supportive services, those persons with HIV/AIDS and their families who were assisted with non-HOPWA-funded housing (e.g. City/State-funded housing) are not reflected in either Table 6 or this table.

The HOPWA-funded supportive housing programs include: HASA Housing Contracts (P-HRA-204) Department of Health and Mental Hygiene – Bureau of HIV/AIDS Prevention & Control (P-NFP-207); and Department of Health and Mental Hygiene – Division of Mental Hygiene, Transitional and Permanent Housing for Dually-Diagnosed Individuals and Families (P-DHMH-209).

**TABLE 10:** Race and Ethnicity of the Beneficiaries (Persons and Related Household Members) Assisted with HOPWA-funded Housing Units

RACE/ETHNICITY	204		207		209	
	TOTAL	HISPANIC	TOTAL	HISPANIC	TOTAL	HISPANIC
American Indian or Alaska Native	8	0	5	1	0	0
Asian	5	0	10	1	0	0
Native Hawaiian or Other Pacific Islander	1466	7	838	111	90	5
Black or African American	0	0	0	0	0	0
White	276	6	329	264	21	13
American Indian or Alaska Native <i>and</i> White	0	0	0	0	0	0
Asian <i>and</i> White	0	0	1	0	0	0
Black or African American <i>and</i> White	6	0	5	2	0	0
American Indian or Alaska Native <i>and</i> Black or African American	0	0	5	2	0	0
Other (single race)	841	841	163	147	25	23
Other (Multi-)racial	45	0	19	10	1	0
Balance						
<b>TOTAL</b>	<b>2,647</b>	<b>854</b>	<b>1,375</b>	<b>538</b>	<b>137</b>	<b>41</b>



New York City Housing Authority -- Federal Public Housing Funded Program

In 2009, NYCHA provided **5,606** newly assisted persons with housing through the federal public housing funds that are used to operate the authority. The Federal Public Housing Development Program is designed to assist in the production of affordable housing for lower-income tenants. The tenants assisted were taken from the normal waiting list turnover of units (for example, units vacated through transfer or households who have permanently left the Program). It should be noted tenants taken from the list may include applicants granted a higher priority due to federal preferences (eg., victims of domestic violence, homelessness or other emergencies, such as fires). The following is a breakdown of persons assisted by race and ethnicity in 2009.

**TABLE 11:** Race and Ethnicity of the Persons Assisted with Federal Public Housing Units

<b>RACE/ETHNICITY</b>	<b>TOTAL ASSISTED</b>	<b># OF HISPANIC ASSISTED</b>	<b>PERCENTAGE ASSISTED</b>	<b>PERCENTAGE OF HISPANIC ASSISTED</b>
American Indian or Alaska Native	22	16	0.4%	0.6%
Asian	540	32	9.6%	1.1%
Native Hawaiian or Other Pacific Islander	99	79	1.8%	2.8%
Black or African American	2,680	745	47.8%	25.9%
White	2,265	2,000	40.4%	69.6%
<b>TOTAL</b>	<b>5,606</b>	<b>2,872</b>	<b>100%</b>	<b>100%</b>

Section 8 tenant-based - Rental Housing Choice Vouchers Program

The City of New York has two Public Housing Authorities (PHA's) which receive Section 8 Rental Housing Choice Vouchers: the New York City Housing Authority (NYCHA); and the Department of Housing Preservation and Development (HPD). Both agencies provide tenant-based assistance to very low-income households. Tenant assistance is in the form of vouchers or certificates. The following is a breakdown of persons assisted by race and ethnicity in 2009, for Housing Choice Vouchers issued by NYCHA followed by a second table of those issued by HPD.

**TABLE 12:** Race and Ethnicity of the Population Receiving NYCHA Rental Housing Choice Vouchers

<b>RACE/ETHNICITY</b>	<b>TOTAL ASSISTED</b>	<b># OF HISPANIC ASSISTED</b>	<b>PERCENTAGE ASSISTED</b>	<b>PERCENTAGE OF HISPANIC ASSISTED</b>
American Indian or Alaska Native	177	161	1.3%	2.3%
Asian	157	25	1.2%	0.3%
Native Hawaiian or Other Pacific Islander	78	70	0.6%	1.0%
Black or African American	6,027	1,943	45.2%	27.2%
White	6,894	4,954	51.7%	69.2%
<b>TOTAL</b>	<b>13,333</b>	<b>7,153</b>	<b>100%</b>	<b>100%</b>

**TABLE 13: Race and Ethnicity of the Population Receiving HPD Rental Assistance Vouchers and Certificates**

<b>Category</b>	<b>TOTAL RENTERS (A)</b>	<b>HISPANIC RENTERS (a)</b>	<b>TOTAL HOMELESS INDIVIDUALS (B)</b>	<b>HISPANIC HOMELESS INDIVIDUALS (b)</b>	<b>TOTAL HOMELESS FAMILIES (C)</b>	<b>HISPANIC HOMELESS FAMILIES (c)</b>	<b>TOTAL ASSISTED (A+B+C)</b>	<b>TOTAL HISPANIC ASSISTED (a+b+c)</b>
American Indian or Alaska Native	5	0	0	0	0	0	5	0
Asian	124	2	1	0	3	1	128	3
Black or African-American	1109	49	39	1	181	6	1329	56
Native Hawaiian or Other Pacific Islander	9	3	0	0	0	0	9	3
White	1901	1135	32	21	196	164	2129	1320
<b>TOTAL</b>	<b>3148</b>	<b>1189</b>	<b>72</b>	<b>22</b>	<b>380</b>	<b>171</b>		

NOTE: Hispanic Renters, Homeless Individuals, and Homeless Families are subcounts of their respective Total Households by Tenure Categories.

## **PART II -- Status of Actions Undertaken in Previous Year**

Part II, Status of Actions Undertaken in Previous Year, is divided into six sections, A-F. The respective sections provide an assessment of the various housing, homeless, supportive housing, community development, and other federally-required activities undertaken by the City in 2009. Section A. is the City's one-year update of the affirmatively further fair housing statement. An assessment of the City's continuum of care for homeless individuals and families, and homeless special needs populations is provided in Section B. The relevant public policies as required by HUD are described in Section C. This subsection addresses the federally-required activities undertaken by the City with regards to: barriers to affordable housing; resident initiatives within public housing developments; the elimination of lead-based paint hazards; an anti-poverty strategy to assist households of low- and moderate-income; changes to the City's institutional structure and the coordination of efforts between City agencies, not-for-profits and other entities to enhance Consolidated-Plan related activities.

In Section D. is a summary of the City's anti-displacement policy for federally funded housing rehabilitation and new construction programs. Section E. outlines an assessment of the City's HOME minority business enterprise and women business enterprise outreach-related activities in 2009. Lastly, Section F. summarizes the status of City projects funded by HUD's Brownfield/Economic Development Initiative (B/EDI) Programs and Section 108 Loan Guarantee Program.

## **A. Affirmatively Furthering Fair Housing**

### **I. Introduction**

The Affirmatively Furthering Fair Housing Statement (AFFH) is the responsibility of a number of City Agencies. The New York City Commission on Human Rights (CHR or the Commission) is the primary agency which promotes fair housing in New York City. The Department of Housing Preservation and Development (HPD), and the New York City Housing Authority (NYCHA) promote fair housing for tenants in properties they administer and eligible applicants who might become tenants. Other agencies, including the Mayor's Office for People with Disabilities (MOPD), the Department for the Aging (DFTA), the Mayor's Office of Immigrant Affairs (MOIA), and the Department of Health and Mental Hygiene (DOHMH), assist special constituencies to obtain equitable housing. The Department of City Planning (DCP) coordinates the City's Consolidated Plan and the City's Affirmatively Furthering Fair Housing Statement.

New York City has long been a leader in promoting principles of fair play and equal opportunity. The City passed, in 1958, the nation's first fair housing legislation that banned discrimination in private housing. It was one of the first cities in the country to provide protection for families with children (1986), and the City's fair housing law for persons with a disability is stronger than federal law.

New York City has one of the most comprehensive local human rights laws in the country, governing housing as well as employment and public accommodations. The City's Human Rights Law, like the Federal Fair Housing Act, prohibits housing discrimination on the basis of a person's race, color, religion, gender, disability, national origin, and familial status. In addition, the City's Law prohibits housing discrimination on the basis of a person's sexual orientation, age, alienage and citizenship status, marital status, partnership status, and lawful occupation. In 2008 the New York City Human Rights Law was amended to add a protection against discrimination in housing based on lawful source of income, including rental subsidies. The term "lawful source of income" includes income derived from Social Security, or any form of federal, state, or local public assistance or housing assistance, including HUD Section 8 rental vouchers. The City Council amended the law to address the problem that many rental housing providers in New York were refusing to rent to tenants with rental subsidies or with incomes from sources other than employment.

The New York City Human Rights Law deals with the sale, rental or financing of housing, as well as any advertisements or statements with respect to housing. The law applies to private, public housing, property management firms, property owners, realtors, lenders, and insurers of housing. Housing discrimination based on race, color, national origin, disability, marital status, partnership status, familial status, lawful occupation, gender (including gender identity and sexual harassment), alienage and citizenship status, age, sexual orientation, and creed is prohibited. Distinct among fair housing laws elsewhere in the country, the New York City law covers owner-occupied, two-family housing when the landlord makes public through advertising, postings, or statements the availability of the rental unit. Another distinctive feature of the Human Rights Law is the requirement that landlords may be required pay for reasonable accommodations involving physical modifications (when such modifications are architecturally feasible and do not create undue financial hardship), as opposed to other laws that require merely the owner's permission to implement physical changes. Discriminatory activities include: refusing to sell or rent dwellings; imposing different terms and conditions of sale or rental; falsely denying the availability of housing for sale or rental; refusing to make mortgage loans; and harassing or intimidating persons exercising fair housing rights.

### **II. Evaluation of the City's Current Fair Housing Legal Status**

All New York City residents in public and private housing may file housing discrimination complaints with either the HUD's Office of Fair Housing and Equal Opportunity (FHEO); or the U.S. Department of Justice (DOJ); or with the City of New York's Commission on Human Rights. Residents of the Department of Housing Preservation and Development, or the Housing Authority may file internal complaints at their agencies. At the

end of this chapter, a Fair Housing Complaint Chart is provided which outlines the complaint process. All of the agencies listed above can and will investigate complaints, or if necessary refer them to the appropriate governmental entities.

Complaints made by NYCHA residents or applicants are investigated internally to determine if the individual's human rights have been violated and to take corrective or conciliatory action, if necessary. Preliminary investigations of complaints filed by residents and applicants with the State Division of Human Rights, the City Commission on Human Rights, and/or HUD are investigated in consultation with the NYC Law Department.

Once a housing discrimination complaint has been filed, an investigation is commenced to ascertain if the complaint has merit. This section describes current status of fair housing discrimination complaints filed between January 1, 2009 to December 31, 2009 where a "probable cause"<sup>1</sup> for the discrimination has been found.

#### A. Probable Cause Determinations Issued by the Secretary of HUD

In 1999, the New York State Division of Human Rights (NYSDHR) was accepted into the federal Fair Housing Assistance Program (FHAP) because its new fair housing law was deemed to be substantially equivalent to the Federal Fair Housing Act. As a result, all cases received by HUD that are in the State of New York are referred to NYSDHR for investigation.

During the period of January 2009 through December 2009, in the New York City area there were 32 Probable Cause determinations issued by the NYSDHR under the following bases: twelve (12) probable cause determinations involved claims of disability discrimination; fourteen (14) probable cause determinations involved claims of discrimination based on familial status; four (4) was based on marital status; nine (9) involved claims of national origin discrimination; nine (9) probable cause determinations involved claims of discrimination based on the complainant's race/color; one (1) involved claims of age discrimination; ten (10) involved claims of discrimination based on the sex of the complainant; two (2) involved claims of discrimination based on the sexual orientation of the complainant; and, four (4) probable cause determinations involved a claim of retaliation for exercising the complainant's legal rights<sup>2</sup>.

Six cases involved denial of reasonable accommodation for a disability; twelve cases involved denial of equal terms, conditions, and privileges of tenancy; four cases involved eviction/threatened eviction; five cases involved refusal to rent; four cases involved sexual harassment; one case involved inaccessibility in design/construction; one case discriminatory advertising, statement or notice regarding the availability of housing; two cases involved unlawful inquiry/specification; one case involved unlawful blockbusting or steering practices; one case involved refusal to sell housing; and, thirteen cases involved other housing discrimination practices.

During this time there were six (6) final orders on fair housing complaints arising in New York City. Five (5) complaints were voluntarily discontinued by the Complainants because of private settlements with Respondents; the remaining complaint was formally settled before the Division.

#### B. Fair Housing Discrimination Lawsuits Filed by the U.S. Department of Justice or private plaintiffs

New York City is divided between two federal judicial districts: the Eastern District of New York, which includes Brooklyn, Queens and Staten Island; and the Southern District of New York, which includes the Bronx

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<sup>1</sup> *Probable cause: An apparent state of facts found to exist upon reasonable inquiry (that is, such inquiry as the given case renders convenient and proper) which would induce a reasonably intelligent and prudent person to believe that, in a civil case, a cause of action existed.* Source: Black's Law Dictionary.

<sup>2</sup> *The discrepancy between the number of probable cause determinations and their bases arises because several of the probable cause determinations involved multiple bases.*

and Manhattan. In addition, private plaintiffs may file their own housing discrimination lawsuit directly with the Department of Justice's main office in Washington, D.C.

#### Eastern District

*(The information was not made available by the Eastern District Office at the time the Proposed 2009 Consolidated Plan Annual Performance Report went to print.)*

#### Southern District

During the time period of January 1, 2009 to December 31, 2009, the U.S. Department of Housing and Urban Development was reviewing several cases for potential submission to the Southern District Office for prosecution concerning alleged instances of housing discrimination within the City of New York.

In 2009, the Southern District Office resolved a previously filed Fair Housing Act lawsuit, United States v. The Townsend House Corp. The suit alleged that a Manhattan co-op failed to provide a reasonable accommodation required under the Fair Housing Act when it imposed an unreasonable and excessive conditions upon a request by two shareholders for a dog to assist their autistic child. Under the agreement reached between the two parties, the autistic child now has a dog.

#### Washington, D.C. Department of Justice Office

*(The information was not made available by the U.S. Department of Justice at the time the Proposed 2009 Consolidated Plan Annual Performance Report went to print.)*

### C. Fair Housing Complaints made to Local Agencies

The Human Rights Commission affirmatively furthers fair housing by enforcing the city's Human Rights Law, which prohibits housing discrimination based upon a person's protected class, and by promoting positive intergroup relations through outreach and education to members of protected groups, real estate brokers and landlords, and by community-based activities that bring people together. These complementary approaches discourage housing discrimination and promote equal opportunity.

Prosecution of complaints is a key part of the agency's commitment to affirmatively furthering fair housing. All complaints are investigated pursuant to uniform legal standards for determining probable cause. Notwithstanding the technical legal impact of settlement of complaints, complaints settled before trial and after probable cause is found and complaints settled before an investigation is completed may indicate that discriminatory conduct occurred. All probable cause and no probable cause determinations are eligible for review on appeal to a justice of the Supreme Court of the State of New York providing an additional protection to litigants and reflects the integration of the agency's administrative law process into the higher state court system.

The following data summarizes the agency's docket of verified fair housing complaints filed between January 1, 2009 and December 31, 2009.

Total number of housing discrimination complaints filed: 181

*(The implementation of pre-complaint intervention procedures resulted in the resolution of most issues prior to the filing of a complaint.)*

Total number of allegations of prohibited discrimination: 191 \*

Lawful source of income:	124
Disability:	36
Sexual Orientation:	6
Race:	5
Retaliation:	4

Creed:	3
Alienage:	3
Citizenship Status:	2
Presence of Children:	2
National Origin:	2
Relationship/association:	2
Age:	1
Gender:	1

(\* There are more allegations of prohibited discrimination than there are complaints. This is due to the fact that many complaints contain more than one allegation.)

Total number of allegations of unlawful discriminatory practices contained in housing complaints filed: 206 \*

Refusal to rent:	107
Refusal to sell:	2
Unlawful specification:	2
Unequal terms and conditions:	95
Other unequal terms and conditions:	55
Other:	22
Eviction, threatened eviction, or constructive eviction:	15
Harassment:	2
Sexual harassment:	1

(\*There are more allegations unlawful discriminatory practices than there are complaints. This is due to the fact that many complaints contain more than one allegation.)

Total number of probable cause determinations: 11

Total number of allegations of prohibited discrimination: 11

Lawful source of income:	7
Disability:	3
National Origin:	1

Total number of allegations of unlawful discriminatory practices: 11

Refusal to rent or sublet:	5
Unequal terms and conditions:	6
Other unequal terms and conditions:	3
Eviction or threatened eviction:	1
Other:	1
Denial of Disability Accommodation:	1

Total number of settlements reached (includes withdrawal with benefits): 97

Total number of allegations of prohibited discrimination: 102\*

Lawful source of income:	71
Disability:	16
Race:	5

Presence of children:	2
Retaliation:	2
Sexual orientation:	1
Age:	1
Color:	1
Interference with protected rights:	1
Domestic partner status:	1
Marital status:	1

(\*There are more allegations of prohibited discrimination than there are settled complaints. This is due to the fact that many complaints contain more than one allegation.)

Total number of allegations of unlawful discriminatory practices: 116 \*

Refusal to rent:	55
Refusal to sell:	2
Unequal terms and conditions:	59
Other unequal terms and conditions:	34
Other:	15
Eviction or threatened eviction:	8
Real estate board membership:	1
Real estate services:	1

(\*There are more allegations of unlawful discriminatory practices than there are settled complaints. This is due to the fact that many complaints contain more than on allegation.)

One Decision and Order in a housing discrimination case was issued by the Commission on Human Rights in 2009. In that case, Russell v. Chae Cho, the landlord refused to allow the tenant with a movement disability in a rent-stabilized apartment to replace her elevated bathtub with a walk-in shower. The landlord was unresponsive when the tenant requested his approval of the project that would cost him nothing. He also failed to respond to the complaint served by the Commission or to the notice of a pre-hearing conference by OATH. On September 25, 2009 the OATH Administrative Law Judge recommended that the landlord be required to modify the bathroom at his own expense and recommended a civil penalty of \$50,000 and an award of \$30,000 to the complainant for her mental anguish. The Commission’s Decision and Order adopted the OATH recommendation and ordered the respondent to pay the fine and the compensation. The installation of the walk-in shower had already been completed before the Commission issued its Decision and Order.

For information on the New York City Housing Authority’s (NYCHA’s) legal actions please refer to Proposed 2009 Consolidated Plan Annual Performance Report, Part II. B. Relevant Public Policies, 1. Barriers to Affordable Housing.

Housing discrimination complaints filed with NYCHA by residents or applicants are investigated internally to determine if the individual has been the subject of unlawful discrimination, and determine if corrective or conciliatory action is necessary. In addition, applicants who have been found ineligible for public housing and assert the denial was based on their disability can have their cases reviewed by NYCHA’s Department of Equal Opportunity.

Preliminary investigations of complaints filed by residents and applicants with the State Division of Human Rights, the CCHR, and/or HUD are investigated by NYCHA’s Law Department.

The telephone numbers for NYCHA’s internal complaint process is 212-306-4468 or TDD 212-306-4845.



The following data summarizes fair housing complaints filed internally with NYCHA between January 1, 2009 and December 31, 2009.

Total number of housing discrimination complaints filed: 26

Sexual Harassment:	13
Race:	3
Disability :	2
National Origin :	7
Victim of Domestic Violence :	1

Total number of probable cause determinations: 1

Seventy-one (71) applications of applicants who were determined ineligible for public housing and who asserted the denial was because of their disability were reviewed by NYCHA between January 1, 2009 and December 31, 2009.

The number of applications where ineligibility determination was revoked: 0. Five (5) applicant applications deemed ineligible for public housing and reviewed by NYCHA DEO were returned to NYCHA's Department of Application & Tenancy Administration for further review.

#### D. Reasons for any trends or patterns

The addition in 2008 of lawful source of income as a protection under the Human Rights Law and the ensuing publicity about the change resulted in a considerable number of complaints on that basis. They comprised the largest number of fair housing complaints filed at the Commission on Human Rights in 2009. In addition, cases filed on the bases of lawful income made up the preponderance of the probable cause findings and settlements. Commission field staff addressed the new protections against discrimination based on lawful source of income in fair housing and Human Rights Law workshops and distributed a palm card describing them. The number of complaints of income-based discrimination may decrease as landlords become familiar with the law.

In 2009 allegations that landlords failed to make reasonable accommodations for people with disabilities were the second most common of the complaints filed, probable cause findings, and settlements. This large number of disability-related cases results from the Commission's active cooperation with a number of disability advocacy groups on an ongoing basis. It also reflects the reality that these cases don't generally present complicated factual disputes, i.e., it is clear when one cannot enter a building, use a laundry room, or participate in a meeting. Discrimination based on disability lends itself to advocacy because it is usually not rooted in animus, but rather in a lack of awareness of the needs of people with disabilities. A large number of disability-related cases are brought based on the focus disability discrimination receives at the Commission and the large number of cases that are resolved successfully. The Commission prosecutes disability-based discrimination pursuant to its law enforcement authority, and advocates on behalf of people with disabilities through Project Equal Access, a highly visible community relations program.

#### E. Discussion of other fair housing concerns or problems

The changing face of the city brought on by record immigration and increasing national unease over immigrants presents a challenge to the Commission and other fair housing entities to protect the newest New Yorkers from unfair housing practices. The problem of potential discrimination against immigrants is exacerbated because latest immigrants are primarily people of color (from such areas such as Mexico, Central America, Bangladesh, West Africa, the Dominican Republic, Jamaica, and China.) The unprecedented range of diversity also challenges the Commission to promote good relations among old and new residents, native-born and immigrant.

During the last year the rate of mortgage foreclosures due to complicated or unscrupulous practices by lenders continued to be a local and national crisis. While discrimination in making individual loans may be difficult to prove, these lenders appear to target non-white, immigrant and aging populations and pressure them to take

subprime and sometimes predatory loans. Over the last year, the Commission on Human Rights has increased its outreach and education to these communities emphasizing how to avoid these tactics and how to save their homes if they find themselves in danger of foreclosure. The Community Service Centers have responded to the current crisis by increasing their efforts to assist clients in working with their lenders and carefully monitoring each case. The Commission will continue its public education campaign and continue its focus on the discriminatory aspects of predatory lending.

### **III. Identification of Impediments to Fair Housing Choice**

As with residents of other urban areas, New York City residents face impediments to fair housing shaped by forces of intolerance and exclusion present in areas inhabited by diverse populations. Although fair housing is broader than race discrimination, any analysis of housing needs and impediments to equal housing opportunity must begin by examining residential housing segregation and discrimination in relation to blacks, Hispanics, and other people of color.

Racial segregation and discrimination in housing are persistent and constraining features of housing markets throughout the United States. While no studies examine housing segregation and discrimination in New York City in isolation from the larger metropolitan area, New York City figures prominently in one study of segregation and discrimination in major urban areas. The study paints a picture that housing choice and placement is frequently skewed by race, color, and national origin. A HUD-sponsored national audit, *Discrimination in Metropolitan Housing Market: National Results from Phase I HDS 2000*, conducted by the Urban Institute's Metropolitan Housing and Communities Policy Center, focused on discrimination in the housing sales and rental markets. The study was based on over 4,600 fair housing audits of housing providers in twenty-three metropolitan areas, including New York. The study was a follow-up to similar Housing Discrimination Study (HDS) conducted in 1989. The 2000 study found that in the New York metropolitan area blacks were discriminated against 20 percent of the time when they tried to buy a house and 23.5 percent of the time when they tried to rent an apartment. Hispanics experienced discrimination 27.3 percent of the time when they tried to buy a house and 32.9 percent of the time when they tried to rent an apartment.

The perpetuation of residential racial segregation through discrimination and, in some instances, bias harassment and violence, is an impediment to the goal of fair housing.

In addition racial discrimination, discrimination based on socio-economic status has become an issue with inclusion of the prohibition of discrimination in housing based on lawful source of income in the New York City Human Rights Law. As indicated in the Introduction, in March 2008, the New York City Council amended the Law to address the problem that many rental housing providers in New York were refusing to rent to prospective tenants with rental subsidies or with incomes from sources other than employment. The Council based its actions on evidence and testimony which indicated that prospective renters with sufficient income from these non-conventional sources were unable to obtain affordable rental housing primarily due to their source of income.

According to the Fair Housing Justice Center's (FHJC's) report *No License to Discriminate - Real Estate Advertising, Source of Income Discrimination, and Homelessness in New York City*, (Fred Freiberg & Diane L. Houk, September 2008) discriminatory practices still persist after the Human Rights Law was amended. The Center examined one popular online service that is used by many housing providers to advertise rental housing in order to investigate whether landlords, real estate brokers and their agents were complying with the amended Law. The survey was undertaken in July 2008. The survey specifically searched for verbiage in the advertisements which had the potential to exclude prospective renters based on their source of income, more specifically, phrasing which excluded those with government subsidies as a sources of income available to pay the asked rent ("no programs," "no Section 8," "no government programs," and variations on these phrases).

According to the report the results of the month-long survey indicated that no fewer than 363 discriminatory rental advertisements were posted by real estate brokers. All 363 rental advertisements stated a limitation or

discrimination based on source of income. In some advertisements, more than one rental unit was listed. These 363 discriminatory advertisements made a total of 413 New York City rental units unavailable to tenants with rental subsidies or with incomes from sources other than employment. The report acknowledged that this was a survey of only one of a variety of websites and offline resources available to prospective renters to use to search for available rental housing. However, the writers raised concerns regarding the fact that real estate professionals licensed by the State of New York were responsible for continuing to post discriminatory advertisements for hundreds of affordable rental units even after the amended Human Rights Law went into effect.

At the conclusion of the report, the Fair Housing Justice Center made six recommendations to strengthen and expand fair housing enforcement activity including: 1) public and private fair housing agencies and organizations adopt a more pro-active approach to enforce and eliminate unlawful discrimination based on source of income through the development and implementation of systemic testing investigations; 2) Fair housing enforcement agencies and organizations should notify the New York Department of State Division of Licensing Services when there is evidence that a real estate licensee (broker and/or agent) is engaged in discrimination in violation of local, state, or federal fair housing laws; 3) Fair housing enforcement agencies should seek remedies that halt the illegal discrimination, such as obtaining restitution and enforceable settlements that include written assurances and specific actions to ensure the future compliance with fair housing laws; 4) The New York State Board of Real Estate in conjunction with the Department of State Division of Licensing Services should establish minimal standards for evaluating the content of any course that is intended to meet the new fair housing training requirements to ensure that quality training programs are implemented; 5) The State of New York, the New York State Board of Real Estate, and the Division of Licensing Services should require all licensed salespersons and brokers, regardless of years of experience, who have been actively engaged in the real estate business to undergo continuing education fair housing training to ensure up to date knowledge of recent developments in federal, state and local fair housing laws; and, 6) The State of New York should amend the State Human Rights Law to add lawful source of income as a protected characteristic.

The City addresses these market and community forces through community relations and law enforcement, and by insuring that the housing stock that it owns or supervises is available without regard to a person's protected class.

The dramatic increase of immigrant groups to the City poses a timely challenge to facilitate the acculturation of newly arrived groups and to insure that their fair housing rights are respected by housing providers and community residents. A strategy to address the fair housing needs of immigrants calls for expanded education of landlords and community groups on the City's Human Rights Law. Immigrant groups may be impeded from realizing freedom of choice in the housing market by discrimination and by their perception that they are unwelcome outside their own "safe" community. In addition, immigrants often do not seek redress for perceived discrimination because they may not trust government. The City's remedy is an aggressive law enforcement program coupled with a highly visible educational campaign appropriately segmented to address the diversity of the various immigrant populations. This outreach may include efforts to encourage new residents to take advantage of City services, and to participate in civic activities, e.g., Community Boards, Police/Community Councils, and block associations, that are designed to improve the quality of life and community cohesion.

As described in Part II, immigrant communities disproportionately experience problems accessing fair and affordable housing. Since most immigrants in New York City are people of color, immigrant communities often encounter racial discrimination as an impediment to fair housing choice, similar to the experience of native-born racial minorities. However, immigrants face additional, interrelated impediments that are unique or sometimes heightened as a result of their immigrant background. These impediments to fair housing include national origin discrimination, language barriers, lack of acculturation, exploitation based on immigration status, and limited financial and legal resources.

Immigrants are particularly disadvantaged in combating discrimination in housing. In addition to experiencing racial discrimination, many immigrants face exclusion based on national origin and ethnicity. This discrimination originates from other immigrant groups as well as from native-born persons. Due to lack of acculturation or lack of education, and/or language barriers, many immigrants are unaware of their legal rights and laws regarding fair housing, leaving them especially vulnerable to discrimination and abuse from landlords and others. For example, these impediments make immigrants popular targets of illegal predatory lending practices resulting in great financial loss to the victims. Immigrants are also frequently reluctant to seek assistance or report violations because of concern about immigration status or distrust of government. The City engages in an aggressive law enforcement program coupled with a highly visible educational campaign to help immigrant populations overcome these impediments to fair housing.

The CCHR Immigrants Rights Project conducts workshops addressing protections for immigrants under federal laws and under New York City's Human Rights Law. Workshops are conducted in English, Spanish, Russian, and Haitian Creole, for immigrant audiences and advocates in schools, churches, community centers, colleges and libraries. CCHR makes formal presentations at least 3 times weekly at the Naturalization and Citizenship Ceremony where new citizens are sworn in. The workshops cover housing discrimination, bias harassment, and employment discrimination. A newsletter describing the Human Rights Law and Commission services is distributed at these sessions. The Commission has continued its project funded by the Department of Justice to teach a 6-hour curriculum in ESOL classes covering protections based on national origin and citizenship status. Workshops on using the curriculum are offered to ESOL teachers as well.

The Commission's educational literature is published in Spanish, as well as English, and selected information is published in Creole, Chinese, and Korean, Russian, Arabic, Urdu, Polish, and French. Educational literature includes a number of publications that address housing issues such as "Fair Housing: It's the Law," "Equal Access: It's the Law," a booklet covering all of the services of the Commission on Human Rights, and information cards addressing sexual harassment and discrimination against transgender people. To reach immigrant communities we add languages and topics to our educational literature as needed. In 2008 the Commission developed and began distributing a palm card describing the new law against discrimination based on lawful source of income. The card was translated into Russian and Chinese in 2009. Commission educational materials are available on the Commission website at: [www.nyc.gov/cchr](http://www.nyc.gov/cchr).

The lack of affordable housing combined with discrimination lead many immigrants to live in illegal conditions that further undermine immigrants' fair housing opportunities. Immigrant renters generally experience less access to affordable housing than do non-immigrants. Data from the 2005 Housing and Vacancy Survey indicates that about half of all immigrant renters paid more than 30 percent of their income for housing, compared with 43.8% of native-born renters. A large number of immigrants, often not aware that they are living in illegal conditions, live in illegally converted houses or apartments for lack of other affordable or accessible options. Moreover, many landlords who lease out illegal conversions are themselves immigrants with their own affordable housing concerns. Residents who live in illegal conversions often suffer from numerous housing disadvantages such as a lack of legal rights, unsafe living conditions, and increased risk of abuse by landlords. The City addresses this problem by targeting educational outreach to landlords and immigrant tenants on the laws of illegal conversions, reputable financing programs, and other benefits available to help immigrants obtain affordable housing.

For people with disabilities, fair housing impediments are often physical obstacles that prevent access into a building or limit the use of building services or amenities. The City addresses impediments faced by people with disabilities through advocacy, education and law enforcement. The MOPD and CCHR cooperate, relative to their respective functions, in achieving housing opportunities, equal access, and services for people with disabilities.

The Human Rights Law, enforced by the Human Rights Commission, is unique among civil rights laws because it requires landlords to assume financial responsibility for physical changes in both public and private spaces in

buildings to accommodate people with disabilities providing that the accommodation does not cause an undue hardship and is architecturally feasible. This provision of the law enables staff to resolve most complaints through conciliation. The Commission works with many organizations including the Disability Network of New York City, the Borough President's Advisory Committee on Disability in all five boroughs, the Citywide Taskforce on Housing, the NYC Bar Association's Committee on Disability, the New York City Parks Department Committee on Disability, and Sun-Ra Senior Coalition, and Pratt Institute. To increase its effectiveness, the Commission also co-ordinates with numerous disability and service organizations, e.g., United Spinal Association, Disabled in Action, Independent Living Centers, Alexander Graham Bell Foundation, the Helen Keller Institute, the West Side SRO Project, and medical practitioners such as Mount Sinai Visiting Doctors. The CCHR cooperates with the Mayor's Office for People with disabilities to create housing opportunities, equal access, and services for people with disabilities.

Fair housing also means the right of people to housing opportunity without regard to their sex, religion, age, familial status, according to federal law, or to marital status, alienage or citizenship status, sexual orientation, or lawful occupation, according to the New York City Human Rights Law. Commission staff prosecute unlawful discrimination, conduct fair housing workshops and advocate on behalf of people who experience housing discrimination. Fair housing presentations are held with landlords and real estate brokers, housing seekers, service providers and protected groups.

Discrimination on the basis of a person's marital status or sexual orientation has been a strong impediment to equal housing opportunity for unmarried couples and gays and lesbians. Historic State court decisions in the late 1980s expanded the definition of "family" and consequent changes in State rent regulations extended the rights of nontraditional families in rentals and coops, including public and nonregulated housing, guaranteeing them the same rights to share and inherit an apartment that are granted to married couples. The 2002 amendment of the City Human Rights Law defining gender to include gender identity also protects people whose gender identity is or is perceived to be different from the legal sex assigned to them at birth. The Commission on Human Rights enforces these expanded protections. A 2005 amendment to the City Human Rights Law protects individuals from discrimination based on their partnership status. The Commission on Human Rights enforces this expanded protection as well.

#### A. Public Sector

To the extent that racial and ethnic minorities, single parent families, the elderly, the disabled, and immigrants tend to have lower incomes than average, impediments to affordable housing are also impediments to fair housing choice. The City of New York, however, has for over 60 years not only allowed but also encouraged the provision of low income housing within its borders.

##### 1. Zoning and Site Selection

Zoning regulations can inflate housing costs in a variety of ways. First, they can limit new housing development to detached homes, which are expensive to build, to the exclusion of cheaper housing types. In New York City, however, inexpensive row houses and garden apartments are permitted on the vast majority of the land on which zoning permits residences (excluding industrial areas). As a result, detached single-family homes account for only 10 percent of the city's housing stock, compared with 60 percent in the rest of the Metropolitan Area (CMSA). Zoning districts which permit garden apartments and row houses are found in every community planning district in the city.

Second, density regulations can require people to purchase more space than they need, or can afford. The typical suburban zoning resolution requires quarter-acre to one-acre lots: between one and four units per acre. Some communities also have high minimum unit sizes, to limit their housing stock to attract affluent families. In New York City, most city residents live in zoning districts which permit far greater densities. Minimum unit sizes are modest, with studio apartments widely permitted. In addition, housing for the elderly and other special-needs populations are given bulk and density bonuses. Therefore, only 29 percent of the city's housing units have three or more bedrooms, compared with 60 percent in the rest of the region and throughout the

country. Approximately six percent of the city's housing units are studios, compared with slightly more than two percent in the rest of the region.

Third, zoning rules can prohibit two-family homes and multiple dwellings, and thus prevent older homes from being subdivided into apartments for low and moderate income households. A moderate income family can often afford to buy a house if it can get income from a rental unit, and the rental units themselves provide small housing units affordable to the elderly, the young, and the poor. New housing is expensive to build, and unless it is subsidized by the government, is nearly always built for middle- and upper-income households. Older homes, however, can be profitably converted into inexpensive apartments by the private sector for relatively little money. In New York City, two-family homes and multiple-dwellings, resulting either from new construction or conversions, are permitted on approximately 90 percent of the land where residences are permitted.

Fourth, jurisdictions can exclude affordable housing by not allowing the construction of publicly subsidized housing within their borders, or by concentrating it in just a few areas. In contrast, New York City accommodates the largest number and proportion of statutory low-income housing of any municipality in the country, and it has used innovative programs like inclusionary housing and the 80/20 tax exempt bond financing program to develop new low-income housing units in the most affluent parts of the city.

Fifth, jurisdictions often prohibit group housing quarters, or limit them to concentrated areas. In New York City, group housing quarters are permitted in all residential areas, and often receive zoning bonuses.

Finally, jurisdictions often require expensive public improvements in exchange for approval of a housing development. Some of these improvements may be only tangentially related to the needs of the new residents, and may instead benefit existing residents. New York City, in contrast, does not generally require any public improvements in exchange for permission to build the housing which the zoning allows. Therefore, New York City has no zoning and site selection barriers to fair housing choice within the city.

#### Inclusionary Housing Program

The Inclusionary Housing Program provides a floor area zoning bonus for multiple dwelling developments in return for new construction, substantial rehabilitation, or preservation of permanent affordable housing. The Program is designed to preserve and promote a mixture of low-income, moderate-income, middle-income, and market-rate housing, particularly within neighborhoods experiencing increases in market values.

The original Inclusionary Housing Program, part of New York City's zoning since 1987, was confined mainly to Manhattan's highest density districts (R10). In 2005, the expanded Inclusionary Housing Program, which can be applied in areas being rezoned to medium- and high-density residential districts, combines a zoning floor area bonus with a variety of housing subsidy programs to create powerful incentives for the development and preservation of affordable housing. Developments taking advantage of the full bonus in the new program must devote at least 20 percent of their residential floor area to housing that will remain permanently affordable to lower-income households.

Since 2007 the Inclusionary Housing Program has been applied in several rezonings to promote new housing development. When the Consolidated Plan Annual Performance Report when to print there were a total of 22 Inclusionary Housing Program areas throughout the City. Developments providing affordable housing are eligible to develop additional floor area through an Inclusionary Housing Bonus (IHB), within height and bulk regulations tailored specifically to each district.

Lower-income housing units used to earn the Inclusionary Housing Bonus may be new units on the same site as the development receiving the bonus, or new or preserved units in a separate building off-site. Off-site affordable units must be located within the same community district, or in an adjacent community district on a site within a half-mile of the site receiving the bonus.

In July 2009, the Inclusionary Housing Program provisions of the Zoning Resolution were further amended to include a permanently affordable homeownership option; increased the number of permanently affordable units that can be created and preserved under the original program, which applies in the highest-density residential districts, by extending provisions of the recently expanded (2005) program; and, made technical improvements to the program based on the experience of agencies, developers, and affordable housing groups.

Under the recently adopted amendments, affordable units earning a floor area bonus may be either rental units or affordable homeownership units. Homeownership units must be initially affordable to households at or below 80 percent of Area Median Income (AMI), and their sale price may increase only at a set appreciation rate, in order to allow a modest return on the homeowner's investment while ensuring that these units remain permanently affordable.

## 2. Neighborhood Revitalization

The New York City Department of Housing Preservation and Development (HPD) is the largest municipal developer of affordable housing in the nation. Since 1987, HPD has provided over \$5.6 billion to support the repair, rehabilitation and new construction of hundreds of thousands of units of housing. HPD protects the existing housing stock and expands housing options for New Yorkers as it strives to improve the availability, affordability, and quality of housing in New York City.

In 2002 Mayor Bloomberg announced his New Housing Marketplace Plan, committing the City to invest \$3 billion over five years to create and preserve more than 65,000 homes and apartments throughout the City. In 2005 the Mayor expanded the original plan to a ten year plan that will invest 7.5 billion dollars to create and preserve 165,000 units of housing for over half a million New Yorkers by 2013. As part of the expanded plan, the City is pioneering new tools and incentives to create affordable housing. Our new strategies are pursuant to a our larger goal of shifting the focus of New York's affordable housing community from preserving units acquired by tax foreclosure towards the development of underutilized private and public sector land.

The key goals of the Plan are to:

1. Preserve 73,000 units of affordable housing for 220,000 New Yorkers, with a special emphasis on preserving unit where subsidies are set to expire;
2. Create 92,000 units of affordable housing for 280,000 New Yorkers, including an ambitious middle class housing program;
3. Acquire the space we need to build new units by pursuing innovative strategies and partnerships to redevelop underutilized land throughout the City.

Sixty-eight percent (68%) of the home and rental total units will be affordable to families earning up to 80% of the area median income, or \$50,240 for a family of 4; 11% are targeted for those earning between 80% and 120% of AMI; and 21% will be affordable for those earning more than 120% of AMI, which, for a family of 4 in the City, means income of more than \$75,360.

The Mayor's New Housing Marketplace Plan includes funding for 12,000 units of supportive housing for people with special needs. The result of this commitment will increase the supply of such housing by over 50% in the next decade.

Today, in great part due to the work of HPD, the vacant and boarded-up buildings that were once blighted many of the City's neighborhoods have been transformed into safe, affordable homes for families. Once-abandoned lots now contain new townhouses, parks and gardens. Communities that were devastated not long ago are now vibrant, as commercial activity has returned and public safety initiatives have encouraged parents to allow their children to play outside. HPD's housing programs have helped to restore and rebuild housing as well as to improve the quality of life in New York City's richly diverse communities.

In the 2005 Consolidated Plan on page I-22, the various types of the City's revitalization plans are outlined. These plans describe neighborhoods throughout the City where agencies have targeted strategies to improve conditions.

### 3. PHA and Other Assisted/Insured Housing Provider Tenant Selection Procedures: Housing Choices for Certificate and Voucher Holders

#### New York City Housing Authority

The New York City Housing Authority (NYCHA) is the largest public housing authority in North America. NYCHA's conventional Public Housing Program has 178,556 (as of February 2, 2010) apartments in 334 developments throughout the City in 2,604 residential buildings containing 3,322 elevators (as of February 2, 2010). To ensure nondiscrimination in the selection of families NYCHA has implemented a Tenant Selection and Assignment Plan (TSAP) to prevent unlawful discrimination on the basis of race, color, or national origin, in compliance with its obligation under Title VI of the Civil Rights Act of 1964 (Title VI), the Fair Housing Act, and the implementing regulations and requirements of HUD. This Tenant Plan has been approved as nondiscriminatory by HUD, the U.S. Department of Justice, and a Federal Court. NYCHA's Tenant Plan is also intended to prevent any unlawful discrimination on the basis of race, color, religion, national origin sex, sexual orientation, age, marital status, partnership status, military status, disability, lawful occupation, lawful source of income, alienage or citizenship status, or on the grounds that a person is a victim of domestic violence, dating violence, or stalking, or because children may be, are, or will be residing with the individual, and to resolve any disputes with respect to its compliance with these obligations.

#### Department of Housing Preservation and Development

HPD has been designated as a local public housing authority (PHA). The agency administers a large Section 8 rental assistance program. In addition, 20 percent of apartments developed with the assistance of HPD are adaptable for people with disabilities in accessible buildings. A concerted effort is made to attract tenants for these apartments through marketing efforts in newspapers, local fair housing offices and notification of the Mayor's Office for People with Disabilities.

HPD's Office of Housing Operations and Office of Community Partnerships together review and monitor housing projects with federal funding for compliance with the federal Fair Housing Act of 1988, Section 504 of the federal Rehabilitation Act and the ADA. Each developer in receipt of agency funding must make affirmative efforts to attract prospective buyers or tenants of all minority and non-minority groups in the locality regardless of race, color, religion, sex, national origin, disability or family status. HPD monitors developers for compliance with the Affirmative Fair Housing Marketing Requirements. Compliance includes the review of fair housing marketing plans, fair housing training of developer staff prior to rent-up, distribution of fair housing logos and slogan size requirements. In 2008 HPD /FHU provided fair housing and landlord/tenant rights training to representatives of 83 ownerships entities. The HPD Office of Community Partnerships also provides an informal mechanism to resolve possible discrimination complaints against city-owned and supervised properties.

HPD, pursuant to a long standing contract with the Unified Court System of the State of New York, utilizes agency staff and counselors provided by community based organizations under contract to the agency to facilitate the resolution of landlord/tenant disputes in area Housing Courts. The goals of this project are (1) to solve routine housing problems and thereby prevent unnecessary displacement of tenants; and (2) to assist pro-se litigants, who are unfamiliar with court procedures. The project creates informal forums for the mediation of cases that appear not to require direct judicial supervision and/or are likely to be quickly resolved. Typically (in 91% of cases this year) these cases involve the establishment of schedules for payment of rent and/or the performance of repair work. Working with owners and tenants, the counselors make every effort to find an amicable resolution between the parties. The settlements that result insure the preservation of housing stock, prevent unwarranted evictions, and enforce the rights of owners and tenants. HPD staff also performs administrative and managerial functions entailed by the project. Last year the Program resulted in the mediation of 3,916 cases; in 93% of these cases, the litigants lacked legal representation.



#### 4. Sale of Subsidized Housing and Possible Displacement

HPD's activities to prevent possible displacement of tenants are described in the subsection above.

For all demolition/disposition activities, NYCHA submits an application to HUD in accordance with Section 18 of the U.S. Housing Act of 1937, as authorized, and Federal Regulations (24 CFR 970), including a certification that all planned demolition or disposition is described in the agency's Annual Plan; a description of the property (e.g. dwelling units or land) and action proposed (demolition or disposition); timetable for action; justification for proposed action; and if applicable, a plan for the relocation of tenants who would be displaced by the action, including descriptions of reasonable accommodations and timetable for relocation; a description of resident consultation with supporting documentation (e.g., meeting minutes, letters from the resident association and a resolution of the NYCHA Board members). In the case of disposition, an estimate of fair market value based on an independent appraisal (unless otherwise determined by HUD) is also required; a HUD approved environmental review (National Environmental Protection Act) of the proposed action and certification the proposed action does not violate any remedial civil rights order or agreement, voluntary compliance agreement or other court order or agreement.

#### Anti-Displacement Plan

A copy of the City's Anti-Displacement Plan can be found in the 2009 Consolidated Plan Annual Performance Report, Section D.

#### 5. Property Tax Policies

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 the real property tax system.

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 are described in the 2009 Consolidated Plan, Volume 2, Part II., Other Actions, Section B., Relevant Public Policies, and assist in the production of thousands of units.

In addition, the federal government provides a Federal Low Income Housing Tax Credit program, which the City, through HPD, provides tax credits to programs such as: Participation Loan Program, Supportive Housing Loan Program; and the Neighborhood Redevelopment Program (NRP) (See the 2009 Consolidated Plan, Volume 1, Part I., Action Plan, Section D., Program Descriptions).

#### 6. Building Codes

The Buildings Department ensures the safe and lawful use of more than 975,000 buildings and properties by enforcing the City's Building Code, Zoning Resolution, New York State Labor Law and New York State Multiple Dwelling Law. Each year it reviews more than 75,000 construction plans, issues more than 163,000 new and renewed permits, performs more than 440,000 inspections and issues 25 types of licenses and registrations. It facilitates compliant construction by continually streamlining the permit application process and delivers services with integrity and professionalism.

On July 1, 2009, the new NYC Construction Codes became compulsory for all new buildings. The new Codes are comprised of the Building, Fuel and Gas, Mechanical and Plumbing Codes. All new buildings are required to comply with the revised construction, fire safety, environmental and sustainable development provisions. In addition to new construction oversight guidelines, the new Codes include more stringent requirements and increased violation penalties.

As of December 1, 2009, the Department requires Safety Registration numbers for contractors performing or supervising construction. This new requirement, enacted in February 2009, applies to individuals or organizations involved in demolition, construction of a new building larger than a 3-family home, substantial alterations, or substantial concrete work in connection with excavations, foundations or superstructure work. The Safety Registration Numbers allow the Department to track the performance of general contractors, concrete and demolition contractors across job sites. The Department's Licensing Unit has registered over 1,000 contracting businesses. The Safety Registration Number, which must be renewed after three years, creates the third type of contractor identification, along with the general contractor's registration number for one-to-three family homes and the contractor's tracking number.

#### Legislation

In June 2009, a series of bills amending the Building Code were signed into law to improve safety, enhance coordination and increase oversight at construction, demolition, and asbestos abatement sites. Local Law 36 of 2009 prohibits smoking at all construction sites within the City. An asbestos abatement permitting requirement is mandated in Local law 37 of 2009. And Local Law 39 of 2009 requires collaboration among the Department of Environmental Protection, the Fire Department and the Buildings Department to establish a notification procedure for sharing violations information when their operations overlap.

In February 2009, City Council bill Introductory No. 760A was enacted into law. Local Law 6 of 2009 requires an independent safety compliance officer (SCO) to be stationed at construction sites found to have immediately hazardous violations affecting public safety. The new law authorizes the Department to appoint an independent safety a compliance officer under hazardous conditions to inspect and monitor construction operations for Code compliance<sup>0</sup> as an authorized representative of the Commissioner. The property owner is required to where reimburse the Buildings Department for the hiring expense. The SCO will report findings to the Department.

In October 2009, a new law was enacted that allows the Department to renew building permits on stalled construction sites for up to four years, exceeding the standard two-year permit renewal requirement and preventing construction permits from automatically expiring if a construction site's work is suspended for more than 12 months. The law ("Stalled Sites Law") serves to mitigate safety hazards associated with suspended construction jobs and allows work to resume quickly once financing is secured. Under the new law, construction is permitted to resume on stalled sites under the terms of the original permit, without additional administrative requirements for the developer, under a comprehensive Department stalled site safety program. The program requires notification to the Department when work is suspended, adherence to a site safety plan to secure the site during the period of suspension, monthly inspection and reporting, and notification to the Department when work is proposed to resume.

In December 2009, a new law was signed to improve safety at asbestos abatement sites. The new law prohibits asbestos abatement from occurring at the same time as either full demolition work or the removal of one or more stories of a building. The law was one of a series of construction safety precaution measures enacted in 2009.

Designed to supplement and enhance Code required operations, Department rules provide detailed instructions representing many of the Department's best practices on construction issues and provide clear guidelines to staff on departmental procedures.

#### Development Process Zoning Transparency

In June, the Department issued a new rule reforming the development process. It requires architects and engineers to submit diagrams indicating height and bulk of proposed new buildings and enlargements. These diagrams will be posted online, enabling the public to view them before building permits are issued. The new process enables the public to view the size and scope of proposed developments in their community. Following the Department's review of an application, the public will have 45 days to challenge the approval of a project. Prior to introducing the new rule, the Department held a public forum and sought civic comments on the proposed process; Department representatives participated in community meetings to discuss the proposed

development challenge process. By allowing an organized, transparent process for public review and comment upon the Department's zoning decisions, the new Department rule formalizes the challenge process.

#### New Boiler Inspection Schedule

A new annual boiler inspection cycle became effective in January 2009 to lessen the end-of-year filing rush and resulting deluge of filed inspection reports. The annual boiler inspections are necessary to ensure that boilers of buildings of 6-families or larger operate under optimum conditions. Beginning in November 2009, the new inspection cycle will run from November 16<sup>th</sup> to November 15<sup>th</sup> of the following year. Also, increased penalties have been proposed for late filings or non-filings for all buildings, regardless of building size.

Recognizing environmentally responsive construction to be an increasingly important factor in residential construction in New York City, the Department supported legislation and provided opportunities for industry-wide discussion of responsible building in relation to the environment. The agency is receptive to the review and adoption of new Code provisions and practices that ensure construction in the City will demonstrate a respect for the natural environment and regional climate considerations.

#### Legislative Support of Environmental Concerns: Testimony for Wetlands Permit Bill

In January 2009, the Department's Acting Assistant Commissioner for Code Development and Technical Affairs testified before the City Council's Committee on Environmental Protection in support of a bill concerning the issuance of building permits for construction in wetlands and coastal erosion zones. The bill would require Buildings Department permits issued in wetlands and coastal erosion zones to comply with New York State Department of Environmental Conservation requirements. While encouraging amendments to make it more workable, the testimony of the Department endorsed the bill's concept and demonstrated its willingness to cohesively integrate City and State policies to ensure that the construction of residential structures will take into consideration the natural geographic demands of construction sites.

#### Sustainability Roundtable

In June 2009, the Department conducted an Energy and Sustainability Roundtable with representatives of the construction and real estate industries and other City agencies regarding its role in implementing PlaNYC. The Department also discussed the formation of the Department's Sustainability Advisory Board. The new advisory board will review and evaluate new "green" technologies not currently addressed in the New York City Building Code and make recommendations for their application within New York City.

#### Landmark Package of Legislation to Create Greener Buildings

Mayor Bloomberg designated New York as "the first American city with a comprehensive mandatory effort to reduce emissions from existing large buildings" when he enacted a package of four new innovative laws in December 2009. Up to 80 percent of New York City's carbon emissions come from buildings' energy usage, so reduction of greenhouse gas emissions is essential to creating a more favorable environment. The new legislation will produce the largest reduction of greenhouse gas emissions attained by a single program. Local Law 84 of 2009 required private buildings greater than 50,000 square feet and public buildings greater than 10,000 square feet to benchmark the building's energy efficiency. This will allow building owners, prospective buyers and tenants to better assess a building's efficiency. Local Law 85 of 2009 creates a New York City Energy Code to which existing buildings will have to conform when they undergo renovations. Local Law 87 of 2009 requires privately-owned buildings of more than 50,000 square feet to conduct energy audit every 10 years and implement energy efficient maintenance practices. City-owned buildings of that size are required to conduct audits and complete energy retrofits that are financially self-sustaining within seven years. Local Law 88 of 2009 requires commercial buildings over 50,000 square feet to upgrade their lighting and sub-meter tenants spaces over 10,000 square feet., which will allow commercial tenants to address and reduce wasteful electricity usage.

#### Cogeneration Forum

In September 2009, the Department hosted the Commissioner's Cogeneration Forum with utility companies, manufacturers of equipment and government authorities to discuss ways to streamline the Department's

approval process of cogeneration systems in New York City. Cogeneration systems use waste heat generated by the production of electricity to heat and cool a building. The energy-efficient technology would lower demand on the electricity grid while reducing carbon dioxide emissions resulting from heating or cooling buildings. The forum participants also discussed ways to encourage building owners to install cogeneration systems in their buildings.

#### Cool Roofs Pilot Program

NYC Cool Roofs Pilot Program was launched in September 2009 with Mayor Bloomberg and Former Vice President Al Gore in attendance. The NYC Cool roofs is a new initiative to promote and facilitate the coating of New York City's rooftops with cool, reflective surfaces, in order to decrease the City's carbon footprint, lower energy consumption and fight the urban heat-island effect. Initiating a citywide cool roofs effort to reflect the sun's heat and reduce the urban heat-island effect, the pilot program will apply white coating to 100,000 square feet of dark rooftops in Long Island City, Queens. The NYC Cool Roofs Program and the city's ongoing efforts to combat climate change have made New York City a charter member of the 100 Cool Cities Global Initiative. The Initiative is organizing 100 of the largest cities in the world's temperate and tropical regions to develop customized implementation programs to cool their cities by installing white and cool roofing and pavement materials.

In an ongoing effort to provide quality customer service, the Department continues to offer a number of support services for construction projects designated as affordable housing by the New York City Department of Housing Preservation and Development or a New York State agency.

#### Project Advocacy

The Department assigns a project advocate within the agency to monitor a City or State supported job from its inception to completion. In attending to the project, a project manager interfaces with various units of the Buildings Department and other agencies, as required to facilitate the review and approval process.

The Buildings Department will expedite the plan review and inspection of an affordable housing project upon the request of the respective supporting City or State agency. The expedited process is designed to shorten the start of construction and thus the construction job. In a similar manner, the Department will expedite the application, review and inspection processes for inclusionary housing if a percentage of the proposed project's market-rate dwelling units are intended to be designated as affordable dwelling units.

The Department exempts government-owned properties and certain government-supported construction projects from standard fees assessed for filings, permits and inspections. This fee exemption process is applied to New York City Housing Authority buildings and other construction projects. The exemption of fees helps to facilitate construction without financial encumbrances resulting from agency fees. The Department also defers fees until the issuance of a certificate of occupancy, which indicates a project's completion, for residential construction under the auspices of the New York City Department of Housing Preservation and Development that will later be transferred to private ownership. Deferring fees until the project's completion serves to lighten fiscal constraints until the project can become financially self-supporting.

#### 7. Transportation

As stated in the *2007 Affirmatively Further Fair Housing Statement's* community profile a majority of New York City residents that work within the City use public transportation for their commute. According to 2000 Census data, more than 52% of the City's commuters used public transportation, a majority of which is either public subway or bus (37.6% and 11.4%, respectively). This is in contrast to the region and the rest of the nation, where public transportation comprised approximately 12.4% and 4.7% of the mode of transportation to work, respectively. Within New York City's low- and moderate-income communities, the percentage of commuters using the subway was higher than the City's percentage (43.1% vs. 37.6%, respectively). The percentage of low- and moderate-income bus commuters was slightly higher, at 12.1%. In 2007, data from the American Community Survey (ACS) indicates approximately 10% of New York City workers responded walking was their primary means of commuting to work. When examined by travel time, approximately 72% of

those who walked lived within a twenty minute commute from their work site—indicating a strong linkage between New York City employment and housing. Public transportation continues to be the dominant mode of transportation to commute to and from work. Approximately 54.6 % of the City’s commuters used public transportation (public subway and bus 39.2% and 12.8%, respectively) whereas 30.2% of the region’s and approximately 4.9% of the nation’s commuters use public transportation to journey to work.

According to the National Housing Trust<sup>3</sup>, New York City with its extensive rail system (201 or more subway or commuter rail stations) has a high percentage (72%) of its federally-assisted housing units (project-based Section 8 contracts, Section 202 project rental assistance contracts, Rent Supplement contracts, and Rental Assistance Payment contracts) located within 1/2 mile of rail transit stations.

Housing within communities with transportation access to commercial and employment centers have traditionally been in greater demand, therefore commanding higher prices than housing in areas either underserved by transportation or where transportation costs (time, expense) are greater. These market pressures create the potential for many HUD-assisted units covered by rental contracts expiring in the near future to be lost if owners choose to opt out of the program in order to capitalize on higher market rate rents.

In recent years it has been the City’s policy when rezoning areas to increase housing density along major transportation corridors, including incentive to provide affordable housing development. The recent rezoning of Dutch Kills in Queens and the rezoning of East Village/Lower East Side (Manhattan) have included provisions to promote the development of affordable housing.

In 2002, the Bloomberg administration originally announced an initiative to extend the #7 subway line, which serves a large immigrant and minority population in Queens, from its present Manhattan terminus at Times Square to the Far West Side. The extension would strengthen the linkage between those communities and proposed development planned along the Hudson River. Actual construction began in 2007. In January 2010 Mayor Bloomberg announced that the construction is proceeding as scheduled for the extension to be opened and operational in 2013. It is projected that up to 2,800 units of affordable housing will be developed in the Far West Side-Hudson Yards area through the City’s Inclusionary Housing Program.

## B. Private Sector

### Lending Policies and Practices and Access to Capital

#### Lending Policies and Practices

The current economic downturn has its origins in the recent collapse of the housing market. The rise and collapse of the housing market may be attributed to four factors: the loss of value in the stock market several years ago made real estate an appealing investment alternative; the development by private sector and commercial and investment banks of asset-backed securities, Collateralized Debt Obligations (CDOs) for subprime mortgages; the creation new products and marketing strategies by lenders directed toward the subprime sector which were designed to generate a higher rate of return for buyers of the asset-backed securities; and, the relaxation of due diligence oversight and the increased reliance on automated underwriting by loan originators which did not properly assess the risk of the loans they originated and the risk of the subsequent risk of the mortgage-backed securities they sold.<sup>4</sup>

The majority of reports written by fair housing organizations and academia on subprime lending have pointed out that not all subprime loans are predatory. However, most predatory loans are subprime. The reports concluded that having a subprime refinance loan means the homeowner is more likely to be subject to a host of predatory practices than a homeowner with a conventional refinance loan, particularly since a majority of

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<sup>3</sup> *Reconnecting America and the National Housing Trust: Preserving Opportunities: Saving Affordable Homes Near Transit, February 2008.*

<sup>4</sup> *Acting Superintendent Neiman Keynote Address at New York State Banking Department’s Inaugural Summit to Halt Abusive Lending Transactions and Mortgage Fraud (HALT). April 11, 2007.*

subprime loans are “sold” to customers rather than “sought” by them. This would make minorities more susceptible to the marketing techniques which would tend to minimize loan qualification issues, such as being qualified for a conventional, prime interest-rate loan, and focus on the alleged advantages of refinancing.

As discussed in the both 2007 and 2008 Affirmatively Furthering Fair Housing Statements, there was high percentage of subprime loans originated in New York City in comparison to New York State percentages. Many of these subprime loans were adjustable rate mortgages (ARM). The increase in the interest rate due to steady increases in the prime lending rate between 2005 to 2007 on an existing ARMs resulted in higher monthly payments for a high percentage of homeowners, which in some cases the homeowner could not afford. When the inability to carry the existing mortgage occurs, the borrower may need to attempt to either refinance the loan or sell the home.

While the collapse of the housing market led to a dramatic decline in the number of home sales and therefore, loan originations, both prime and subprime, homeowners with existing mortgages began to feel economic pressure. Housing prices declined. For those homeowners with low equity in their home due to various factors, such as the recent purchase or refinancing in order to receive a lower “teaser” rate or to draw equity out of their home (“cash out loans”), the decline in housing prices meant a decline in the assessed value. As result, many homeowners who needed to refinance faced difficulty refinancing due to having “negative equity” (owning more money than the house was worth). In addition, the collapse of the housing market was further compounded by the economic downturn itself. As the economic conditions worsened, employers were forced to either reduce the number of hours an employee worked or lay-off an employee outright. This reduction or outright elimination of income in turn, negatively impacted the effected employee’s ability to pay or assist in paying their household’s mortgage. As a result, additional households became delinquent in their mortgage payments and in the most severe cases, defaulted on their loan.

According to New York State Banking Department data the number of subprime loans delinquent for 90 days or more in the second quarter 2009 was 855,343 statewide, approximately a 36% increase from the second quarter 2008. The trend of delinquency continued through the remainder of 2009. According to Federal Reserve Bank of New York November 2009 data, four out of the five New York City boroughs (Bronx, Brooklyn, Queens and Staten Island) had an equal to or higher percentage of prime loans delinquent for 90 days or more than the national percentage (5%).

In communities with high percentages of default or foreclosure, homeowners became susceptible to another type of predatory lending in the form of home equity theft or fraudulent “foreclosure rescue” scams. Unscrupulous lenders would attempt to contact homeowners currently in default of their mortgage with offers to either provide services to negotiate on their behalf with their lenders for reduced interest rates and debt forgiveness; purchase or transfer the title of the house to another person while providing the homeowner the opportunity to remain in the house as a tenant until they can repurchase their home back from the title-holder; or, provide a loan (backed by the title to the house as collateral) for use by the homeowner to bring the mortgage payments up to date. However, in each scenario the homeowner is defrauded of either what little equity or cash they have left, or of their home entirely as the lender either charged excessive fees for non-existent services or had taken possession of the home without paying a fair and reasonable price (for the house) while leaving the homeowner still responsible for their original outstanding mortgage.

In June 2009, Mayor Bloomberg announced a new public service campaign to encourage more New Yorkers facing foreclosure to get the free legal assistance, mortgage counseling and education services that were available through the Center for NYC Neighborhoods network of providers. In addition, the Mayor joined other mayors from other major cities across the country to urge their states to enact strong laws requiring mandatory settlement conferences in order for good faith settlement negotiations between lenders and borrowers prior to foreclosure sales, and for proactive notification of the borrower of their right to a settlement conference and referral to housing counseling agencies or a hotline.

The Center for New York City Neighborhoods, Inc. (CNYCN) was incorporated in December of 2007 as a not-for-profit corporation to address the local repercussions of the national foreclosure crisis. Through comprehensive citywide programming that includes legal services, housing counseling, and consumer education, CNYCN pursues multiple strategies to assist those at risk of losing their homes to foreclosure - both homeowners and renters alike. CNYCN seeks to support distressed homeowners retain their equity, and preserve New York City neighborhoods by limiting the negative impacts of foreclosure, property flipping, and abandonment. The City of New York has a strong track record of successful government and nonprofit interventions to address pressing community needs, and worked in partnership with non-profit organizations, financial institutions, and private foundations to create a vision for what CNYCN could be.

The Center for NYC Neighborhoods is charged with funding a major expansion and coordination of counseling and referral services, legal assistance, loan remediation, preventive outreach and education, training, research and advocacy around sub-prime lending and mortgage foreclosures. CNYCN's activities include:

- Raising over \$7 million through a partnership of City and State government, banks and philanthropic institutions, including \$2.6 million from the City;
- Creating a process to award, support, train, and coordinate many nonprofit partners to act as a single system in responding to this crisis;
- Coordinating with [311](#) (New York City's customer service hotline) to create a streamlined process for those seeking support to find free, local foreclosure prevention advice and counsel;
- Developing strategies to acquire foreclosed properties from lenders and servicers, rehabilitate them, and sell them again as affordable homeownership opportunities for qualified owner occupants;
- Initiating a pilot program in the Queens Housing Court to support homeowners in preparing to meet with lenders and service providers in "settlement conferences" to negotiate a resolution to a pending foreclosure action;
- Seeking to create a nonprofit mortgage brokerage in partnership with Neighborhood Housing Services of New York City so that homeowners who choose to sell their homes can have the benefits of better consumer protection and reduced costs.

19 not-for-profit service providers to help homeowners at risk of mortgage foreclosure throughout the five boroughs in support of the efforts of the CNYCN. The grants created a citywide network of 30 partners to provide legal assistance, mortgage counseling and education services for the residents of New York City. The CNYCN provided housing counseling and legal services to roughly 1,000 New York City families in the second half of 2008, and with new grants, the center will have the capacity to provide services to more than 6,000 families in 2009. In addition, the grants will enable the Center to begin providing education services to up to 20,000 New Yorkers in 2009.

CNYCN's Program Partners work closely with CNYCN staff to develop training curricula and provide technical assistance to CNYCN's Network Partners. The Program Partners are at the forefront of housing counseling, legal services, and community education and outreach in NYC. They are: [Legal Services for New York City](#); [Neighborhood Housing Services of New York City](#) and [Neighborhood Economic Development Advocacy Project](#).

This structure creates one of the strongest nonprofit networks in the country, gathering and coordinating free, accessible support to homeowners at risk of foreclosure. The work of the CNYCN helps the City to preserve affordable housing and foster neighborhood stability.

As mentioned previously, in June 2009, Mayor Bloomberg announced a new public campaign to encourage more New Yorkers to get the free legal assistance, mortgage counseling and education services that are available through the Center for NYC Neighborhood network of providers. While the program has been effective for those who have taken advantage of it (from July 2008 through March 2009, Center partner organizations provided foreclosure prevention services to 1,900 people), many New Yorkers who have suffered foreclosure

filings have not sought the free help. The campaign urges New Yorkers to call 311 and highlight the free and confidential nature of their services.

The City's new campaign urges New Yorkers to call 311 to access the free services. In February 2009, the Center launched a dedicated call center that serves as the primary point of contact for all New York City homeowners in distress. When homeowners call 311, they are transferred to the call center, which conducts intake interviews and connects homeowners to free expert counseling services in their neighborhood. In addition to traditional, targeted media placements, including subway, bus and bus shelter placements, campaign materials will be distributed to churches, local stores and individual homes and buildings in the most affected neighborhoods, including Jamaica, Queens, the Northwest Bronx, the North Shore of Staten Island and Central Brooklyn.

In December 2009, Governor David Paterson signed the Mortgage Foreclosure Law. The law builds on the State's 2008 Subprime Lending Reform Law, and targets the mortgage crisis in two ways: (1) by providing further assistance to homeowners at risk of losing their homes and assisting tenants in foreclosed properties; and (2) by refining some of the prior amendments to the Banking Law regarding mortgage lending. (Aspects of the 2008 Law were discussed in the 2008 Consolidated Plan Annual Performance Report's Affirmatively Furthering Fair Housing Statement.) The new law became effective upon signing. The Law amended the New York State Real Property Law to prohibit "distressed property consultants" – also known as loan modification consultants – from taking an up-front fee. The reason for the prohibition was that many borrowers are eligible for free or low-cost counseling. In addition, under the Obama Administration's Home Affordable Mortgage Program, many mortgage loan servicers have committed to negotiate loan modifications with eligible homeowners. Moreover, distressed property consultants often did not disclose the likelihood of a successful loan modification before taking money the borrower at risk of foreclosure could ill afford to spend. The 2008 law exempted mortgage bankers and mortgage brokers who are registered with the Banking Department, as well as attorneys admitted to practice in New York. The new law amends the State's Banking Law, and Real Property Law to add a number of additional requirements. First, a mortgage banker or mortgage broker is prohibited from charging or accepting payment for distressed property consulting services before the full completion of the services. Second, a New York attorney is only exempt when the attorney is directly providing consulting services to a homeowner in the course of his or her regular legal practice. Third, the Real Property Law was further amended to clarify that a person providing consulting services may not place a fee in escrow pending the completion of the services.

In addition, the new Law expanded the mortgagors entitled to a mandatory settlement conference by making it applicable to all home loans (both prime and subprime) with respect to residential real property. This amendment to the 2008 Law was done to reflect the fact that many current foreclosures have as much to do with the economic downturn and job losses as with the subprime mortgage crisis. The bill also imposes upon both the plaintiff and defendant a duty to negotiate in good faith to reach a mutually agreeable resolution if possible.

In order to ensure that persons at risk of foreclosure receive counseling to assist them in keeping their homes, the law provides that, when the court receives a Request for Judicial Intervention (RJI) in connection with a foreclosure action, it must send either the RJI or the defendant's contact information to a housing counseling agency or agencies on a list designated by the State Division of Housing and Community Renewal for the judicial district in which the defendant resides. Such information may be used only to make the homeowner aware of housing counseling and the foreclosure prevention services and options available to them.

In order to make settlement conferences more productive than they have been in the past, the law requires the court to send a notice to the parties, in a form to be prescribed by the Office of Court Administration or the Administrative Judge of the judicial district in which the action is pending, advising the parties of the documents they should bring to the settlement conference.

Finally, the law prohibits a lender or servicer from charging the borrower for any cost, including attorney's fees, for appearance at or participation in the settlement conference.



### Access to Capital

The economic downturn has resulted in a double-digit percentage decline in home prices within New York City (approximately 20% decline in the past three years)<sup>5</sup>. This decline under normal circumstances would be considered a positive for prospective low- and moderate-income homebuyers since it increases the number of potential homes affordable within their price range. However, as a result of the collapse of the U.S. financial services sector, credit markets have retrenched. This retrenchment has led to tighter underwriting/risk assessment standards (elimination of low-documentation (“low-doc”) loans and the need for higher FICO scores) for home mortgages and limited access to capital necessary to purchase a home.

While the tightening of underwriting standards will assist in reducing the number of potential homebuyers who under conventional standards, could further contribute to the current high level of foreclosures in the City (homebuyers who due to inadequate financial resources could potentially be unable to carry a mortgage and therefore have the potential for default, and ultimately foreclose) it increases the level of difficulty for minority homebuyers who meet the standards necessary to secure financing. This increased level of difficulty may negatively impact the progress made in increasing the percentage/number of minority homeowners over the last several years.

According to a New York University’s Furman Center for Real Estate and Urban Policy study, *Declining Credit & Growing Disparities: Key Finding from HMDA 2007, October 2008*, the tightening of credit has negatively impacted New Yorkers of different backgrounds differently. The report which examined loan originations between 2006 and 2007, indicated Black and Hispanic New Yorkers saw a decline in loan originations in New York City, as compared to White and Asian New Yorkers, which saw a slight increase. The report examined both high-cost (sub-prime) and conventional (prime) loans for new homebuyers and refinance loans for existing homeowners. Overall, New York City had a 14% decline the number of home purchase loan originations (prime and subprime). By race/ethnicity, black borrowers in New York City saw a 44% decline in all home purchase originations (prime and subprime) and Hispanics saw a 34% reduction. In contrast, the number of whites obtaining home purchase financing barely decreased (less than a 3% reduction), while Asian borrowers increased by 6%. For prime loans, loan originations decreased by 23% and 15% for black and Hispanic home borrowers, respectively, whereas the number of prime loans issued to white borrowers increased by approximately 4% and the number issued to Asian increased by 18%. The writers of the report were troubled by these statistics, since even though there was a significant drop in the number of home purchase loan originations (prime and subprime) by blacks and Hispanics, black and Hispanic borrowers continued to take out a disproportionate share of (sub-prime) high cost mortgages. As stated in previous Consolidated Plan Affirmatively Furthering Fair Housing Statements, homeowners with a sub-prime high cost loans had a higher percentage of defaults and foreclosures within New York City than homeowners with conventional mortgages. Therefore, continued use of (sub-prime) high cost mortgages by black and Hispanic homeowners may result in a disproportionate percentage of blacks and Hispanics ultimately ending up in foreclosure as compared to white and Asian homeowners.

The present housing foreclosure crisis has as one of its causes the low access of certain low-/moderate income communities to full service bank branches. Full service banks originate predominantly conventional (prime) mortgages as compared to mortgage broker services which originate predominantly sub-prime mortgages, particularly, adjustable rate mortgages. As stated previously, not all foreclosed mortgages are sub-prime adjustable rate mortgages. However, data from the New York State Banking Department on the loan performance supports previous assumptions that homeowners were originating a high percentage of subprime or alternate documentation (Alt-A) Adjustable Rate Mortgages (ARMs) and therefore, the high number of subprime loans delinquent or in foreclosure are, by extension Adjustable Rate Mortgages. In New York State, Fixed Rate Mortgages (FRM) constituted just slightly more than half of all subprime/Alt-A loans for the first three quarters of 2009 (approximately 53%). The balance of loans being either an ARM or a hybrid loan product. Approximately 32% of all subprime loans were in some stage of delinquency in the third quarter of

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<sup>5</sup> Standard and Poors/Case-Shiller *Cumulative Home Price Changes Since Mid-2006 Peak by Metropolitan Area*.

2009. This is in direct contrast to prime loans where Fixed Rate Mortgages constituted approximately 75% of all existing loans for the first three quarters of 2009 and only 9% of all prime loans were in some stage of delinquency in the third quarter of 2009.

In addition to access to capital, one of the chief instruments used to curb abusive and deceptive predatory lending practices is the provision of information and education to the prospective borrower. New York City has several fair housing programs which provide information and counseling to current and prospective homeowners. These programs are described in section IV of this statement.

To assist localities promote fair housing through information and education, the 2009 HUD SuperNOFA competitive grant process included several competitive grants which municipalities and not-for-profit fair housing organizations were eligible to apply for. In 2009, HUD awarded approximately \$322,826 in Housing Counseling Assistance Grants to nine local organizations, several of which have programs which counsel homeowners on such items as pre-purchase, rehabilitation lending and home repair, mortgage delinquency and default resolution, or foreclosure prevention. In addition, three New York City-based national/regional organizations received approximately \$3.827 million in Housing Counseling Assistance Grant funds, a portion of which is expected to be expended on homebuyer education and pre-purchasing counseling in the New York City Area. Under the HUD Fair Housing Initiative Program (FHIP) competitive grant local organizations receive funds to provide legal and other assistance to help targeted homeowners avoid foreclosure due to alleged illegal or discriminatory lending practices by screening, investigation and analyzing all complaints received for appropriate referrals as part of a private enforcement initiative. (HUD did not announce the 2009 FHIP competitive grant awards at the close of the calendar year.) These programs, along with New York City's own outreach and education programs attempt to ensure affordable homeownership opportunities for the City's low- and moderate-income households.

The Commission on Human Rights (CCHR) tracks possible discriminatory and predatory lending practices and conducts outreach and counseling to address the community instability created by these practices. Commission staff stay abreast of patterns of discrimination through attendance at city- and borough-wide task forces on housing court and predatory lending. The Commission has nearly completed making its Mortgage Case Tracking software compliant with the HUD's Client Activity Reporting System (CARS) designed to assist Congress in tracking the effectiveness of HUD's Housing Counseling Programs more closely. The Commission's Mortgage Foreclosure Counseling Project has responded to the national and local increase in foreclosures linked to subprime and predatory loans and the national economic crisis by keeping abreast of the plethora of new programs to assist homeowners. It has added information about potential problems with mortgage lending to all of its educational workshops and it has created new procedures and resource materials to assist with counseling. Because the glut of potential foreclosures has created long delays, counselors have redoubled efforts to get lenders to work quickly and efficiently with their clients. There were 1,471 counseling sessions were held in 2009.

## C. Public and Private Sector

### 1. Fair Housing Enforcement

The City Commission on Human Rights (CCHR) is the agency that enforces the New York City Human Rights Law. Its investigative process affirmatively furthers fair housing by providing an impartial investigation consistent with due process requirements and seeking remedies to prevent future discrimination, e.g., the use of civil penalties as a deterrent to punish illegal discrimination. Victims are awarded compensatory damages and injunctive relief. In addition, affirmative relief may be imposed. The Commission is also authorized to conduct systemic investigations of housing practices. Where the facts support an allegation of discriminatory practices, it initiates complaints to address systemic violations.

Prosecution of complaints to conclusion is a key part of the agency's mandate to affirmatively further fair housing. All complaints are investigated according to uniform legal standards for determining probable cause. In many cases remedies for the aggrieved are provided through settlements reached before trial and after probable

cause is found or before an investigation is completed. If cases are not settled, they proceed to trial by the Law Enforcement Bureau before an administrative law judge at the City's Office of Administrative Trials and Hearings (OATH). A panel of CCHR lay Commissioners issues a final Decision and Order after studying the Recommended Decision and Order of the OATH judge. Final Decisions and Orders can be appealed to the New York State Supreme Court.

An important feature of the Commission's efforts to further fair housing are the community-focused activities that promote equal housing opportunity. These activities include fair housing training for providers and protected groups, resolution of informal housing complaints, particularly those that are disability-related, investigation of unlawful real estate practices, providing technical assistance to tenants as part of the Citywide Task Force on Housing Court, and active participation in community activities that encourage harmonious intergroup relations and neighborhood stability in areas undergoing demographic change.

HPD provides Fair Housing counseling, mediation and educational services through CD-funded contracts with community based organizations (CBOs) covering the five boroughs of New York City. The HPD Fair Housing Service Providers are the following community based organizations: the Chinese-American Planning Council, New York Urban League, South Bronx Action Group and Brooklyn Housing and Family Services. Collectively these groups provide coverage in all five boroughs. In 2009 this Program provided counseling, education and technical assistance to over 32,148 New Yorkers. HPD and the CBOs provide counseling and referral services to individuals and families who may encounter discrimination or other barriers in their search for housing. HPD and the CBOs assist with housing-related issues such as landlord/tenant rights and responsibilities; and housing locator services, including accessible housing for people with disabilities. The CBOs also assist in determining eligibility or qualifications for tenancy and/or social services programs. The main beneficiaries are individuals and families of low and moderate income. In the calendar year 2009 the program provided one-to-one counseling to 14,950 clients. Program clients with jurisdictional discrimination complaints are referred to the New York City Commission on Human Rights. In 95% of the cases, the clients served were self-identified as Black, Asian, Hispanic, Disabled or Other. Also, in the past year 98 potential cases of discrimination were referred as a result of our counseling efforts.

HPD, pursuant to a long standing contract with the Unified Court System of the State of New York, utilizes agency staff and counselors provided by the CBOs to facilitate the resolution of landlord/tenant disputes in area Housing Courts. The goals of this project are (1) to solve routine housing problems and thereby prevent unnecessary displacement of tenants; and (2) to assist *pro-se* litigants, who are unfamiliar with court procedures. The project creates informal forums for the mediation of cases that appear not to require direct judicial supervision and/or are likely to be quickly resolved. Typically (in 91% of cases in 2009) these cases involve the establishment of schedules for payment of rent and/or the performance of repair work. Working with owners and tenants, the counselors make every effort to find an amicable resolution between the parties. The settlements that result ensure the preservation of housing stock, prevent unwarranted evictions, and enforce the rights of both owners and tenants. HPD staff also performs administrative and managerial functions associated with the Program. Last year the Program resulted in the mediation of 3,916 cases; in 93% of these cases, the litigants lacked legal representation.

Public awareness of Fair Housing laws is central to promoting fair housing practices and enforcement. HPD and the CBOs conduct a citywide fair housing education campaign to increase awareness of housing laws, agency services, community resources and referrals. This campaign consists of various elements: informational flyers and brochures, the placement of press releases and ads in local papers to advertise consultant services, radio and television broadcasts, and a grassroots effort to interact with the public through workshops and conferences. In 2009 the FHU staff and the CBOs conducted 173 workshops attended by 6,117 persons and 11 conferences (events involving more than 50 people) attended by 7,165 persons.

CD funds also pay for administration costs. HPD staff is responsible for the management and oversight of the CBOs and maintaining a good working relationship with the unified Court System. HPD responsibilities include counselor training, management and scheduling of counselors in area Housing Courts, monitoring contract

compliance (including voucher review/approval and producing monthly reports on contract activities) and providing information on City-assisted housing opportunities, In total, 32,148 people benefited from these services in 2009.

To ensure that NYCHA's applicants and residents are aware of NYCHA's commitment to Fair Housing, NYCHA's Fair Housing Non-Discrimination Policy, posted in English with the appropriate translation available in Spanish, Chinese, Russian, French, and Haitian Creole, is permanently displayed at all locations where residents and applicants are provided service. The Policy is included in briefing packets for Section 8 Housing Assistance applicants. In addition to its Fair Housing Non-Discrimination Policy, NYCHA also provides notice of its Non-Discrimination Policy to applicants in its Public Housing Application, Application for Section 8 Assistance, Guide to Applying for Public Housing, and Guide to Section 8 Housing Assistance.

In celebration of National Fair Housing Month, NYCHA's Fair Housing Policy was published in the April 2009 edition of the Journal, informing residents of the Department of Equal Opportunity's (DEO) role in furthering Fair Housing, and ensuring access to the Authority services, activities and programs. NYCHA employees were also reminded of NYCHA's commitment to fair housing through a memo from the Chairman encouraging staff to work to ensure fair housing and to refer any resident or applicant who may feel they been subjected to unlawful discrimination to DEO. In addition, On April 7, 2009, NYCHA in partnership with the Disabilities Network of NYC presented a workshop for advocates who provide services for people with disabilities in celebration of National Fair Housing Month. The workshop provided information on NYCHA's application process, priorities, practices and procedures, how to request a reasonable accommodation and the grievance process.

The New York City Housing Authority (NYCHA) communicates information about its variety of services and programs to residents and applicants who have Limited English Proficiency (LEP). NYCHA's Language Services Unit (LSU) translates official documents, notices, and flyers into the most frequently encountered languages at NYCHA, Spanish, Chinese and Russian. NYCHA provides interpreter services through staff interpreters and a volunteer Language Bank for interviews, rentals, hearings, and public agency meetings. The Language Bank consists of over 200 employee-volunteers who speak 38 languages and dialects. NYCHA offers documents translated into Spanish, Chinese, Russian, and vital and important information is available on NYCHA's website [www.nycha.nyc.gov](http://www.nycha.nyc.gov) in these languages. On May 13, 2009 NYCHA's Board adopted a Language Assistance Services Policy and designated the Director of the Department of Equal Opportunity as the Language Access Coordinator for NYCHA. As a result NYCHA created a Language Assistance Services Standard Procedure that provides guidance to staff on the delivery of language services for NYCHA's Limited English proficient residents and applicants. NYCHA's Language Access Implementation Plan was posted on NYCHA's Intranet as well as on NYC.gov. NYCHA officially launched a resource page on Language Services on the NYCHA intranet on May 1, 2009.

NYCHA's Services for People with Disabilities, a component of its Department of Equal Opportunity (DEO), assists applicants and residents with disabilities in obtaining decent, affordable and accessible housing in NYCHA developments. The Unit serves as a liaison between the disabled community and NYCHA, and provides support for applicants, residents, and advocates. In 2009, the Unit responded to over 2,600 calls on the status of applications, transfer requests, assistance with reasonable accommodation requests, and other related issues. The Unit also reviews the application of applicants who were found ineligible for public housing and assert that the denial was based on their disability. There were 495 visits to the Unit and information was provided to a variety of organizations including: Harlem Independent Living Center, Community Resources and Services for Children United Cerebral Palsy, University Settlement, Convent Avenue Family Center, Barrier Free Living, Rose Kennedy Children's Evaluation Rehabilitation Center Puerto Rican Family Institute, and many, many others. Applicants, residents, and others in need of assistance with disability issues may call the "Hotline" at (212) 306-4652 or TTY at (212) 306-4845. The Services for People with Disabilities also conducts workshops for organizations that assist people with disabilities. The workshops cover the application process, policies and procedures and how to obtain an accessible apartment as well as reasonable accommodations.

## 2. Visitability in Housing

Visitability, a voluntary standard, allows mobility impaired persons to visit families and friends where this would not otherwise be possible. Visitability means that: 1) at least one entrance is a grade (no step), approached by an accessible route, such as a sidewalk; and (2) the entrance door and all interior doors on the first floor are at least 34 inches wide, offering 32 inches of clear passage space. A visitable home also serves persons without disabilities (for example, a mother pushing a stroller, a person delivering large appliances, a person using a walker, etc.). One difference between “visitability” and “accessibility” is that accessibility requires that all features of a dwelling unit be made accessible for mobility impaired persons. A visitable home provides less accessibility than an accessible home, and is meant to be those units not required to be accessible.

The New York City Housing Authority (NYCHA) is the largest public housing authority in North America. NYCHA has 334 developments throughout the City in 2,604 residential buildings, containing 3,322 elevators (as of February 2, 2010). Ninety-eight percent of NYCHA’s developments meet visitability standards serving 175,475 families and 403,665 authorized residents (as of January 4, 2010) and their visitors. As of February 2010, NYCHA has a total of 7,695 fully converted accessible apartments for people with mobility impairments of which 7,407 are occupied.

### Housing Units Accessible to Physically Disabled Persons

In 2005, the Census Bureau collected data for the New York Housing Vacancy Survey (HVS) on five structural characteristics of residential buildings and units to estimate the number of housing units accessible to physically disabled persons who might have to use wheelchairs in moving in and out of residential buildings and units in New York City. The five structural characteristics are (1) street/inner lobby entry at least 32 inches wide (to allow a wheelchair to move in and out); (2) residential unit entrance of the same width; (3) elevator door at least 36 inches wide and cab at least 51 inches deep (in buildings with elevators); (4) no stairs between the sidewalk and a passenger elevator (in buildings with an elevator); and (5) no stairs between the sidewalk and the residential unit.

The above five components of accessibility in the City’s multiple dwellings could be examined individually; but, since any one of the components could render a unit inaccessible to a person in a wheelchair, all five must be examined together in order to determine the number of units in multiple dwellings that are actually accessible to persons with disabilities requiring wheelchairs. The HVS did not conduct a survey utilizing the visitability standard. In 2005, 480,000 units, or 46 percent of all units in multiple dwellings with elevators in the City, for which complete data were available, met all five accessibility criteria for people with physical disabilities requiring the use of a wheelchair. In the City, the number of accessible units increased by 26,000, or by 6 percent, in the three years between 2002 and 2005. Of units in multiple dwellings without elevators, the number of accessible units was only 22,000, or 3 percent, in 2005.

## **IV. Assessment of Current Public and Private Fair Housing Programs and Activities in the Jurisdiction**

New York City has long been a leader in promoting principles of fairness and equal opportunity. In 1958 the City passed the nation’s first housing legislation banning discrimination in private housing. It was one of the first cities in the country to provide protection for families with children (1986). Also, the City’s fair housing law for persons with disabilities is broader than federal Fair Housing Act, encompassing a wider range of physical or mental impairments and placing the financial burden for reasonable accommodation on the housing provider when it is architecturally feasible and does not impose an undue financial hardship.

New York City has one of the most comprehensive local human rights laws in the country, governing housing as well as employment and public accommodations. The City’s Human Rights Law, like the Federal Fair Housing Act, prohibits housing discrimination on the basis of a person’s race, color, religion, sex, disability, national origin, and familial status. It also prohibits housing discrimination on the basis of a person’s sexual orientation, age, alienage and citizenship status, marital status, partnership status, lawful occupation, gender (including gender identity,) and lawful source of income. In addition, the City’s law prohibits bias-related harassment. The

law applies to private and public housing. Distinct among fair housing laws elsewhere in the country, the New York City law covers owner-occupied, two-family housing when the landlord makes public through advertising, postings, or statements the availability of the rental unit.

New York's fair housing strategy depends not only on strict enforcement of the local laws, but also on coordination of efforts among a number of government and community agencies to insure that education and advocacy reach those most likely to experience discrimination, and that housing opportunities, locational choices, and housing services are made available to all persons on a non-discriminatory basis.

The City Commission on Human Rights (CCHR) is the agency that enforces the New York City Human Rights Law. 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." To fulfill these mandates the Commission administers programs that seek to bridge differences between people of diverse backgrounds.

The agency offers fair housing counseling to individuals and community groups with a view to promoting stable neighborhoods. Opposing prejudice, and identifying and acting on the commonality and shared concerns of diverse groups, are the complementary functions that form the basis of the Commission's work.

In addition to investigating complaints alleging housing discrimination and prosecuting unlawful practices, the Commission is authorized to conduct systemic investigations of housing practices. Where the facts support an allegation of discriminatory practices, it initiates complaints to address systemic violations. Through education about human rights protections, the Commission promotes housing choice for all New Yorkers. The agency also fosters cooperation among diverse groups through workshops and community projects. It advances mediation of community disputes as another way of fostering cooperation among diverse groups. Because the categories covered by the federal fair housing law, --i.e. race, color, religion, sex, disability, national origin, and familial status-- are also categories covered by the City's Human Rights Law, the emphasis on education and enforcement actually furthers fair housing as defined by federal law.

The Commission on Human Rights is structured around 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 CCHR lay 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 is responsible for preventing discrimination and promoting positive intergroup relations through education and advocacy, and law enforcement activities that are coordinated with the Law Enforcement Bureau. The Community Relations Bureau consists of the Neighborhood Human Rights Program (NHRP), funded by CDBG. The NHRP program core consists of 1)The School Program-- school based peer mediation and human rights, sexual harassment, and conflict resolution training, 2) Mortgage Foreclosure Counseling that deters discrimination against groups vulnerable to predatory lending and helps people avoid foreclosure , 3) Immigrant Rights Project that offers workshops to alert immigrants, employers, and advocates to protections under local and federal laws, 4) Project Equal Access (PEA), that serves people with disabilities and the elderly and 5) Research that provides information to direct and inform these program activities The NHRP

has one office or Community Service Center in each borough. Staff is assigned to designated community board areas and at least two project areas including community education and outreach, advocacy, negotiating settlements, and working with community organizations to facilitate intergroup cooperation and prevent bias.

Fair housing is a community issue. It affects school choice, housing and community conditions, and intergroup relations. The fair housing activities undertaken by the agency's field office personnel accomplish several ends: to inform protected groups of their rights and recourse as provided by the statute; to inform housing providers of their responsibilities and what is permissible, i.e., "non-discriminatory inquiries" to ask of prospective applicants; to resolve individual housing complaints before referral to the Law Enforcement Bureau; to investigate, through research and surveys, allegations of community-based housing discrimination, i.e. blockbusting and harassment; to counsel homeowners at risk of foreclosure; and to aid local efforts to stabilize and invigorate communities undergoing racial and ethnic population changes.

The Commission also undertakes periodic assessments of its fair housing enforcement efforts, taking into account market conditions, population shifts and demographics, and allegation themes as reflected in caseload. For example, the volume of disability-related complaints and inquiries led to the expansion and formalization of advocacy on behalf of people with disabilities. These efforts are coordinated with law enforcement where voluntary compliance fails. Similarly, the Commission expanded its activities to prevent predatory lending and counsel homeowners steered to the sub-prime market because of their race, age or immigration status. Each of these programs is conducted out of the borough Community Service Centers.

The Department of Housing Preservation and Development (HPD) promotes housing choice by implementing internal initiatives and external programs. As the City's principle producer of low and moderate income housing, HPD has several strategies to ensure that its programs are in compliance with federal fair housing laws (including the Americans with Disabilities Act) as well as the requirements of HOME, HOPWA and Title I of the Community Development Block Grant Act. HPD monitors the Affirmative Fair Housing Plans of agency developers, trains agency developers and resolves internal fair housing complaints. Staff review Affirmative Fair Housing Marketing Plans for each housing project, collects occupancy data where required by federal regulations, analyzes such data, and reports data to HUD.

HPD conducts Fair housing marketing requirements, including advertising with the Fair Housing logo, is a topic of the agency's pre-award conference, a mandatory conference attended by all active developers every two years. In addition, HPD's Fair Housing Unit conducts in-house trainings for owners/developers to ensure that recipients of HPD assistance are knowledgeable in the fair housing laws and comply with the required fair housing marketing guidelines.

HPD continues to assist persons with disabilities to provide reasonable accommodation where needed and access to agency services. Training is available to agency staff members who interact with tenants to ensure familiarity with ADA and Section 504 requirements. Finally, HPD has an informal compliant resolution process to assist in resolving fair housing and ADA complaints against the agency.

HPD's external fair housing strategy consists of contracting out to locally based, not-for-profit organizations that provide fair housing counseling services to deter discrimination in housing, promote housing opportunities for low and moderate income persons and prevent displacement through public education, counseling and mediation. Four CBOs - Chinese-American Planning Council, New York Urban League, South Bronx Action Group and Brooklyn Housing and Family Services - provide these services throughout the City. The Fair Housing Counseling Program, financed by CDBG funding, obligates the CBOs to provide counseling and referral services to individuals and families who may encounter discrimination or other barriers in their search for housing. The Program offers assistance with housing-related issues such as landlord/tenant rights and responsibilities, housing locator services, housing court procedures, and finding accessible housing for people with disabilities. The CBOs also assist in determining eligibility or qualifications for tenancy and/or social services programs. The main beneficiaries are individuals and families of low and moderate income.

HPD, pursuant to a long standing contract with the Unified Court System of the State of New York, utilizes agency staff and counselors provided by the CBOs to facilitate the resolution of landlord/tenant disputes in area Housing Courts. The goals of this project are (1) to solve routine housing problems and thereby prevent unnecessary displacement of tenants; and (2) to assist *pro-se* litigants, who are unfamiliar with court procedures. The project creates informal forums for the mediation of cases that appear not to require direct judicial supervision and/or are likely to be quickly resolved. Typically, (in 91% of cases in 2009) these cases involve the establishment of schedules for payment of rent and/or the performance of repair work. Working with owners and tenants, the counselors make every effort to find an amicable resolution between the parties. The settlements that result ensure the preservation of housing stock, prevent unwarranted evictions, and enforce the rights of both owners and tenants. HPD staff also performs administrative and managerial functions associated with the Program. Last year the Program resulted in the mediation of 3,916 cases; in 93% of these cases, the litigants lacked legal representation.

NYCHA promotes fair housing through its Tenant Selection and Assignment Plan (TSAP), designed to prevent unlawful discrimination on the basis of race, color, or national origin, in compliance with its obligation under Title VI of the Civil Rights Act of 1964 (Title VI), the Fair Housing Act, and the implementing regulations and requirements of HUD. This TSAP has been approved as nondiscriminatory by HUD, the U.S. Department of Justice, and a Federal Court. NYCHA has further undertaken to implement the TSAP to prevent any unlawful discrimination on the basis of religion, sex, sexual orientation, age, marital status, disability, lawful occupation, lawful source of income, alienage or citizenship status, or on the grounds that a person is a victim of domestic violence, dating violence or stalking or because children may be, are, or will be residing with the individual, and to resolve any disputes with respect to its compliance with these obligations.

NYCHA's Services for People with Disabilities, a component of its Department of Equal Opportunity (DEO), assists applicants and residents with disabilities in obtaining decent, affordable and accessible housing in NYCHA developments. The Unit serves as a liaison between the disabled community and NYCHA. In 2009, the Unit responded to 2,676 calls from applicants, residents, voucher holders, and advocates on the status of applications, transfer requests, assistance with reasonable accommodation requests, and other related issues. There were 495 visits to the Unit and information was provided to a variety of organizations including: Harlem Independent Living Center, Community Resources and Services for Children, United Cerebral Palsy, University Settlement, Convent Avenue Family Center, Barrier Free Living, Rose Kennedy Children's Evaluation Rehabilitation Center Puerto Rican Family Institute, and many, many others. Applicants, residents, and others in need of assistance with disability issues may call the "Hotline" at (212) 306-4652 or TTY at (212) 306-4845.

To ensure that NYCHA can effectively communicate information about its services, activities and programs to residents and applicants who are limited English proficient (LEP), the New York City Housing Authority's Language Services Unit (LSU) translates official Authority documents and provides interpreter services through bilingual employees, staff interpreters, and a volunteer Language Bank for interviews, rentals, hearings and agency meetings etc. NYCHA's Language Bank consists of over 200 employee-volunteers who collectively speak 38 languages. Vital and important information is available on NYCHA's website [www.nycha.nyc.gov](http://www.nycha.nyc.gov) in Spanish, Russian, and Chinese. On May 13, 2009, NYCHA's Board adopted a Language Assistance Services Policy and designated the Director of the Department of Equal Opportunity as the Language Access Coordinator for NYCHA. As a result NYCHA created a Language Assistance Services Standard Procedure that provides guidance to staff on the delivery of language services for NYCHA's Limited English proficient residents and applicants. NYCHA's Language Access Implementation Plan was posted on NYCHA's Intranet as well as on NYC.gov. NYCHA officially launched a resource page on Language Services on the NYCHA intranet on May 1, 2009.

To recognize Language Bank volunteers for their commitment to fair housing and assistance to the Authority's LEP residents and applicants, on Thursday, September 10, 2009, NYCHA celebrated the 14th Annual Language Bank Recognition Ceremony at District Council 37. NYCHA publicly acknowledged the contributions of one hundred and eleven employees.



Please refer to the *2009 Consolidated Plan Annual Performance Report (APR)* Part II., Section B., Continuum of Care for activities undertaken and respective accomplishments by the Department for the Aging which analyzed and addressed the housing needs of the elderly, promoted housing choice, and promoted living environments that are accessible and usable to all persons.

### Outreach and Education

The chief components of the Commission on Human Rights fair housing activities are Project Equal Access (PEA), the Mortgage Counseling and Predatory Lending Prevention Project, and fair housing workshops for consumers and housing providers and counseling tenants and owners in Housing Court. In 2009 staff assisted 9,378 individuals and conducted a total of 137 housing presentations.

PEA advocates on behalf of people with disabilities to increase residential and community access by negotiating reasonable accommodations, such as ramps and support animals, with landlords and co-op/condo boards. Staff give presentations and conduct workshops on reasonable accommodation at disability organizations, senior citizen centers, independent living centers, real estate groups and landlords, hospitals, rehabilitation centers and social service organizations. During 2009, PEA organized 49 workshops of this type for such groups as Pratt Institute architects, Tishman Speyer Housing Corporation, Benjamin Flores Senior Center, the Helen Keller Institute for the Blind, and the New York Public Library.

Project Equal Access actively advocates for individuals in need of accommodations. These efforts are further described below in the Advocacy and Counseling section.

Staff address other types of housing discrimination, including the destabilizing and possibly discriminatory lending practices of predatory loans, through community education. The Commission is a Housing Counseling Agency certified by HUD to educate people about predatory lending. In addition to participating in 7 workshops specifically on predatory lending in 2009, Commission staff includes a section on predatory lending in all of its workshops on the Human Rights Law.

Staff conducted 82 fair housing workshops (on issues other than disability rights or predatory lending) in 2009. Many of those presentations took place in regular venues such as Community Board meetings. But others included community-based organizations such as Abyssinian Development Corporation, the Melrose Senior Center in the Bronx, Queens Congregation United for Action, and Herkimer Re-entry Housing in Brooklyn. A number of the sessions focused on the change in the law made in 2008 prohibiting discrimination in housing based on the source of income. The Commission's fair housing outreach projects are allied with non-profit community-based organizations such as the Citywide Taskforce on Housing Court to accomplish their goals.

In 2008 the New York City Human Rights Law was amended to include protection against discrimination in housing based on any lawful source of income. This amendment is aimed at increasing available housing by preventing landlords from rejecting renters because they receive Section 8 or other forms of government assistance. Staff made special efforts to inform the public of the change and its implications. A palm card describing the amendment and giving examples of how it protects New Yorkers was distributed at workshops, housing court, and street fairs. This card is available in English, Spanish, Chinese, and Russian.

The Commission includes information about fair housing in its other major education/outreach activities: the Immigration Rights Project and its School Program. In 2009, staff conducted 343 workshops for immigrant groups. Included in the workshops are information sessions at weekly swearing-in ceremonies for naturalized citizens. At those workshops the Commission distributes a newsletter summarizing the protections provided by the Human Rights Law and describing Commission services. With another grant from the Department of Justice it continued teaching a Human Rights curriculum it developed for ESOL classes and added regular sessions for ESOL teachers.

In the School Program 277 seminars were conducted in 46 schools and youth-based organizations covering the Human Rights Law, conflict resolution and sexual harassment. The Peer Mediation Program expands the Commission's school involvement by training interested students to be peer mediators. In 2009, trainers conducted 96 workshops in 8 schools representing 1,797 units of service.

The Commission's educational workshops covering all aspects of the Human Rights Law including housing are also aimed at a diverse adult population. For example, in the Bronx, and Queens, workshops on fair housing and other aspects of the Human Rights Law are given for parents' associations in schools where new immigrant families are concentrated. In the Bronx, Brooklyn, Queens, and Manhattan staff have concentrated on outreach to workplace investment programs that help formerly incarcerated people know their rights as they try to find housing and jobs. Among those programs are Hour Children—Women Returning from Prison in Queens and the Arbor Back-to-Work Program in Brooklyn. General presentations on the Human Rights Laws and intergroup relations were made to such groups as the Staten Island Council on Child Abuse and Neglect for those working with families on welfare, Diaspora Community Services in Brooklyn, and the Family Justice Center in Queens.

In 2009 91,073 pieces of literature, including the Section 8 palm card described above and booklets on fair housing and equal access laws, were distributed by the Commission.

In calendar year 2009 HPD's Fair Housing Services Providers (4 CBOs under contracts monitored by the Fair Housing Unit - Chinese American Planning Council, Urban League, Brooklyn Housing & Family Services, South Bronx Action Group) conducted an impressive campaign to communicate the message of housing choice to the public. Approximately 13,282 participants attended 184 Fair Housing workshops and conferences conducted by our Consultants. The Providers cosponsored and/or participated in street fairs, health fairs, senior centers, and community health centers throughout the City, including Public School Parent-Teacher associations, an exhibition booth at the Kings Plaza Mall and the Metropolitan Health Center. Workshops were conducted in partnership with such groups as Goodwill Industries AIDS Center of Queens County, Jay Senior Center, Catholic Charities, Sunnyside Community Services, and the Fukien American Association. Newspaper articles and radio talk programs (in Chinese and Russian) were employed to reach our targeted audiences. The Chinese American Planning Council produced pre-recorded 12 shows aired by Sino Broadcasting and the Chung HWA Broadcasting Company. This broad marketing approach is supplemented by the distribution of flyers and other literature at workshops and special events. The target population for this literature and outreach are low to moderate income people, and groups who are the most likely victims of discrimination, including racial and ethnic minorities, immigrant groups, women and people with disabilities. In addition, special outreach efforts were made to local landlords to apprise them of fair housing and landlord tenant laws.

The Mayor's Office of Immigrant Affairs (MOIA) has worked in partnership with the Department of Housing Preservation and Development (HPD) to educate immigrants about fair housing laws and how to access tenant and home ownership services and programs. MOIA's website has a link to the New York City Affordable Housing Resource Center, where users can find information on all aspects of City housing, including renting an apartment, buying a home, and apartment maintenance issues. Through this site persons will also find the City's affordable housing lottery listings.

The Mayor's Office of Immigrant Affairs (MOIA) has advanced policies that strengthen access to services for all New Yorkers, including immigrant communities and individuals who are limited English proficient (LEP).

In 2008, Executive Order 120 was issued requiring every City agency that offers direct services to take reasonable measures to provide language assistance services in at least the top six (6) foreign languages spoken by limited English proficient (LEP) New Yorkers. To ensure that LEP residents have meaningful access to City programs, services and activities, the Customer Service Group at the Mayor's Office of Operations, has worked closely with MOIA to facilitate the implementation and oversee compliance of the Executive Order. The Language Access plans for the City housing agencies can be found on their respective website and on MOIA's website at: <http://www.nyc.gov/html/imm/html/executive/eo120.shtml>.

Moreover, the Mayor's Office is developing "NYCertified," a comprehensive citywide volunteer program for the certification, management, and recruitment of multilingual employees who wish to serve the needs of fellow New Yorkers who are not proficient in English. Additionally, the Administration is creating a web portal called the "Language Gateway" that will include the most frequently requested documents, applications, forms and notices of various City agencies and services that include housing.

In 2006, MOIA assisted the NYC Department of Information Technology and Telecommunications (DOITT) in implementing a citywide language access vendor contract that all City agencies could sign onto. The vendor provides telephonic interpretation services and translation services to better assist LEP individuals. Information sessions on the citywide Interpretation and Translation Services Contract were offered to relevant city employees including procurement officers and communications personnel. These sessions covered the following essential components: (1) how to access interpretation and/or translation services through the citywide contract; (2) the benefits and types of telephonic interpretation services offered by the vendor; and (3) the range of translation services offered by the vendor that can be accessed through the citywide contract.

In the fall of 2005, MOIA convened the Interagency Taskforce on Language Access, which comprised of over 30 City agencies covering different areas of City services. From 2005 to 2008, the Taskforce met regularly to establish a directed and coordinated effort to enhance language access and cultural competency through the exchange of information and ideas regarding best practices among New York City agencies. The work of the Taskforce laid the foundation for the enactment of the citywide language access policy, Executive Order 120.

Lastly, MOIA played a critical role in formulating, implementing and educating immigrant communities on Executive Orders 34 and 41, issued in 2003, a citywide confidentiality policy to promote access to city services for all residents. The Orders protect as confidential a range of information, including immigration status, and applies to all City workers, including those employees at housing agencies. These policies help address immigrants' fear of being asked about immigration status when accessing government services. MOIA has worked with City agencies on developing policies to implement the Executive Orders. MOIA also conducts presentations in immigrant communities around the City to inform them about the policy and promote the confidence and trust of immigrant communities in government.

The Mayor's Office for People with Disabilities (MOPD) regularly conducts outreach and education for people with disabilities, advocates, service providers, landlords, business owners, and other government agencies in regards to fair housing. In 2009, MOPD took part in a number of housing initiatives, including offering to the public its Community Resource Directory, which includes a chapter on Housing and Housing Rights that provides information regarding housing locator resources and non-profit organizations that provide housing services. The directory also provides information on law, benefits, education, employment, transportation, services for the deaf, blind, mentally retarded and developmentally disabled. MOPD is also a partner in the NYC Affordable Housing Resource Center, located at <http://www.nyc.gov/html/housinginfo/html/home/home.shtml>, which provides information on all aspects of City housing, including renting an apartment, buying a home, and apartment maintenance issues, as well as a specific section dedicated to housing for people with disabilities. In addition, MOPD continues to operate Project Open House, a program that provides barrier removal and the creation of access for disabled residents of the city. In 2009, MOPD served and addressed the complaints of approximately 6,443 people who called the office for help in the area of housing and housing discrimination and had 109,657 hits to its website [www.nyc.gov/html/mopd/home.html](http://www.nyc.gov/html/mopd/home.html).

MOPD continues to compile a database of accessible, affordable housing. When such housing comes up for rent or sale, MOPD forwards the information to a number of non-profit organizations with housing locator components. MOPD also provides this information to individuals who contact the office.

NYCHA's Services for People with Disabilities (SPD) staff responds to inquiries from residents, applicants, voucher holders and advocates on the status of housing applications, transfers or reasonable accommodation requests. SPD conducts regular technical assistance workshops for advocates and organizations that provide

services for people with disabilities. The workshops review NYCHA's Fair Housing Non Discrimination Policy, application policy, obtaining accessible apartments, grievance procedures and how to request reasonable accommodations. In 2009, Thirty –six participants representing twenty organizations participated in a workshop conducted by the Services for People with Disabilities. This workshop was conducted in conjunction with the Disabilities Network of New York City Inc. Information on Fair Housing and the Services for People with Disabilities was also provided for the Bronx South Council of Presidents at a meeting convened by the NYC Commission on Human Rights. In addition, in 2009 information on fair housing was disseminated by NYCHA staff at the Black and Puerto Rican Legislative Caucus, Somos El Futuro Legislative Conference held in Albany, the New York City Housing Authority's annual Town Hall meetings, and public hearing on the draft Agency Plan.

NYCHA's Fair Housing Non Discrimination Policy is conspicuously and permanently displayed at all NYCHA departments, developments and offices where residents and applicants are provided service. The poster is available in Spanish, Chinese, Russian, French and Haitian Creole, and the relevant translation is posted alongside the English version, as needed. In addition, the Department of Equal Opportunity conducts biannual mandatory training for all NYCHA employees on its non-discrimination policy statements: the NYCHA Equal Employment Opportunity Policy Statement, the NYCHA Sexual Harassment Policy Statement and the NYCHA Fair Housing Non-Discrimination Policy Statement.

Furthermore NYCHA provides training to newly hired employees in 19 titles who interact with residents and applicants on NYCHA's duties and responsibilities under, Section 504 of the Rehabilitation Act of 1973, The Americans with Disabilities Act, the Fair Housing Act and the Architectural Barriers Act.

In addition, in recognition of National Fair Housing Month, in April 2009, the policy was printed in NYCHA's Journal, a monthly publication for residents that is distributed to 178,554 households. The Fair Housing Non Discrimination Policy is also included in the rental-briefing package provided to NYCHA's Section 8 tenants.

### Advocacy and Counseling

The CCHR's fair housing activities include enforcement of the Human Rights Law's prohibitions against housing discrimination, community outreach and public education to residents, home seekers and housing providers, advocacy on behalf of people with disabilities, and foreclosure prevention counseling for people victimized by predatory lenders. Advocacy and counseling are conducted by NHRP staff operating out of borough Community Service Centers and enforcement is carried out by legal staff.

Field personnel routinely staff Housing Court information tables in Manhattan, Brooklyn, Bronx , Queens, and Staten Island courts to counsel people about fair housing, distinguish purely landlord/tenant matters from discrimination and to distribute Commission fair housing literature. Similarly, staff work in partnership with service and advocacy groups to inform the public about rights and remedies under the NYC Human Rights Law. Mortgage foreclosure counseling activities are conducted in Brooklyn, the Bronx, Queens, and Staten Island where the preponderance of subprime loans and abusive lending practices occur.

Counseling people with disabilities is an integral service provided by the Commission. Its Project Equal Access (PEA) advocates on behalf of the disabled in housing and public accommodations. Its approach is based on voluntary compliance before a formal complaint is filed. Typically, staff negotiates a physical or policy modification by educating landlords about their responsibility to provide reasonable accommodations. Staff works in partnership with several private and public entities, including the Mayor's Office for People with Disabilities, the Borough Presidents' Advisory Committee in all 5 boroughs, the Citywide Task Force on Housing Court, the New York City Bar Association's Committee on Disability, Disabled in Action, United Spinal Association, Independent Living Centers, and the Alexander Graham Bell Foundation, the NYC Parks Department Disability Committee, Sun-Ra Senior Coalition, Pratt Institute, Mount Sinai Visiting Doctors Service, the Helen Keller Institute, and the West Side SRO Project.

In 2009, 176 modifications were made for people with disabilities as a result of staff advocacy. Where efforts at negotiating a voluntary accommodation fail, the Commission's Law Enforcement staff pursues compliance through litigation. Residences throughout the five boroughs were made accessible through the installation of ramps and interior lifts, and provision of parking spaces and access to laundry rooms. Inside apartments grab bars were installed, door saddles removed, and washing machines permitted for disabled tenants. Neighborhoods were made more livable through improvements in commercial areas. For example, a number of supermarkets removed or widened cart corrals. Another lowered its credit card machines so that wheel chair users could reach them and it removed moved cigarette racks to make an accessible check out aisle.

Project Equal Access continued the survey it began in 2008 in Bay Ridge in Brooklyn to find residences where there is an aging population and buildings amenable to accommodations that would make them accessible. As a result, 8 accommodations were made in 2009. They included moving tenants from inaccessible to accessible units, obtaining parking spaces, and installing door-restraining systems.

The Mortgage Counseling and Predatory Lending Prevention Project reaches out to people in danger of foreclosure, particularly as a result of suspected predatory lending practices. In 2009, 1,471 counseling sessions were held with homeowners facing foreclosure

Individuals and groups seeking information on Fair Housing issues may call or visit of the Commission's five Community Service Centers listed below. They can also reach the Commission by dialing 311. Finally, the Commission's website at [nyc.gov/cchr](http://nyc.gov/cchr) has extensive information on the Human Rights Law and Commission services and publications.

<u>Office</u>	<u>Location</u>	<u>Telephone</u>
Bronx	1932 Arthur Ave. 10457	(718) 579-6900
Brooklyn	275 Livingston St. 11217	(718) 722-3130
Queens	153-01 Jamaica Avenue	(718) 657-2465
Manhattan	40 Rector St. 10006	(212) 306-5072
Staten Island	60 Bay Street	(718) 390-8506

The HPD Fair Housing Service Providers are the following community based organizations: the Chinese-American Planning Council, New York Urban League, South Bronx Action Group and Brooklyn Housing and Family Services. Collectively these groups provide coverage in all five boroughs. The Providers conduct housing educational workshops about landlord tenant rights and responsibilities; provide housing locator services, including assisting in the search for housing accessible to people with disabilities; counsel and refer potential victims of housing discrimination; and assist in determining eligibility or qualifications for tenancy and/or social service programs. The Providers sponsor and participate in public fairs and undertake other efforts to market their services to the widest possible audience. All these efforts are executed to effectuate compliance in both the public and private housing markets. In the calendar year 2009 HPD's Fair Housing services provided 32,148 people with an array of housing services, including one-to-one counseling to 14,950 clients and 3,916 cases mediated in area Housing Courts. Those clients with jurisdictional discrimination complaints are referred to the New York City Commission on Human Rights or to HUD. In the past year 98 potential cases of discrimination were referred as a result of counseling.

The community-based groups under contract with the agency reflect ethnic complexity of the City and are part of the social fabric of the community, having established relationships with other organizations and groups in their community. Our Providers are effective in designing and implementing outreach strategies that communicate the message of fair housing in this diverse city. The Providers enable the City to expand Fair Housing services to the public through their direct ability to provide bilingual services in English, Spanish,

Chinese and Russian. Moreover, the Providers networking capacity with diverse organizations enables outreach to other language speaking populations, such as those persons who communicate in Korean or Haitian Creole languages.

In 2007, MOPD continued to assist people with disabilities exercise their rights to fair and accessible affordable housing. MOPD continues to work with NYCHA, HPD, CCHR and several private non-profit organizations to develop new programs to increase construction of new or significantly renovated accessible, affordable housing.

MOPD continues to advocate in the area of housing and housing rights for the majority of its constituents. Advocating to prevent discrimination is our mission. MOPD's efforts have resulted in countless architectural changes and reasonable accommodations for people with disabilities.

### Investigation and Bias Reduction

Reducing the incidence of and ameliorating the consequences of bias harassment is a major goal of the Commission on Human Rights Community Service Centers. This is accomplished by addressing the underlying tensions that give rise to intergroup friction. In 2009, staff provided 198 instances of technical assistance.

Central to bias reduction is the identification of shared interests among people from various cultures and backgrounds; staff encourage intergroup participation in community-based activities that improve the quality of life for all residents and merchants. Much of the NHRP activity is devoted to identifying the potential for intergroup antagonism and addressing underlying tensions. Community Service Centers keep track of all complaints classified as hate crimes by the NYPD as well as complaints of bias reported directly to them by people in their local communities. Where appropriate, they find ways to mitigate the tensions illustrated by these complaints through mediation, education and community projects.

The Community Service Centers conducted educational activities to alleviate the tensions that bias actions create in communities. The Staten Island CSC co-sponsored two substantive conferences on bias issues. The first, held in April, was the Eye-Openers Youth/Unity Summit that focused on the discriminatory and biased actions that took place in Staten Island in response to the election of Barack Obama. In December the Commission presented a workshop at the Staten Island Anti-Bias Summit organized by a large group of community-based organizations in the borough. In May the Queens CSC helped to organize a conference on "Promoting Respect for Diversity/Preventing Hate Crimes" sponsored by the NYC Board of Education. The purpose was to introduce school administrators and counselors to new anti-bias policies, communicate a clearer understanding of what constitutes hate crimes/incidents and sensitize them to the issues. Commission staff helped to facilitate the small group break-out sessions and the General Counsel made a presentation to the entire conference.

Diversity training is another important method of bias reduction. Staff conduct seminars on intergroup relations in schools and community centers and organizations that serve the larger community. These seminars encourage group cooperation while addressing common concerns. The school-based Peer Mediation Program is designed for young people because they often are involved in group tensions and bias activities

### Promoting Stability and Intergroup Relations

In communities undergoing demographic change, Commission on Human Rights staff assist residents to stabilize their communities and prevent tensions related to those changes. They regularly attend borough presidents committees and community board meetings to keep abreast of intergroup issues and offer assistance.

Community Service Center staff has been trained as mediators and use these skills to build bridges between groups and facilitate the resolution of group and individual controversies fueled by ethnic, religious and racial differences. Typical vehicles for cooperation include community events that celebrate differences, block associations, fair housing committees, block parties, informational workshops and other activities that promote

unity. Throughout 2009, the Community Service Center staff attended community information fairs in all five boroughs. In August Community Service Center staff participated in National Night Out Against Crime events to help reduce crime and promote neighborhood harmony. The Bronx CSC presented conflict resolution workshops over a number of months at the Begin Internship program. A number of these were English and Spanish. In Staten Island presentations on intergroup issues and the Human Rights Law were made for the newly- formed Port Richmond Improvement Association and the Collaboration for Community Change that consists of a number of organizations involving adults and youth together to address community issues.

In April the Commission was asked to conduct a daylong mediation between a middle school principal, 2 of his teachers, union representatives, parent leaders, and community members. The issue was alleged racism on the part of the principal. Within a few weeks after the mediation session, a successful resolution of the situation was reached.

The Peer Mediation Program trains young people in the principles of conflict resolution and assists schools in setting up peer mediation programs to address non-criminal disputes among students. Students participate in a curriculum that lasts for 8-10 sessions. It introduces them to essential mediation concepts such as active listening and recognizing common ground, and teaches them, through role plays and discussion, the elements of successful mediation. As noted previously, in 2009 staff conducted 96 workshops in 13 schools. The common theme in this and all of the Commission's community-based programs is respecting difference, groups working together, and opposing bias and discrimination in housing, employment, public places, the schoolyard and in the community.

## **V. Summation**

New York City is the largest city in the country with over 8 million people, equaling approximately 3 million households, with the most diverse populations containing approximately 200 ethnicities of all races. In order to maintain harmony in the city, several city agencies enforce laws and regulations which promote equal treatment of all individuals. In addition, the city works with community-based organizations in its efforts to promote positive intergroup and community relations.

As can be seen in this AFFH, the City of New York sponsors many activities which help to prevent violations to the fair housing laws, and to encourage integration and harmony throughout the city's neighborhoods.

Foremost, the City assists applicants pursuing complaints, and, if necessary, issues probable cause determinations, as has been described in several cases cited above.

In addition, 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 and encourages the development of these resources through various means, including the real property tax system. As described above, the City sponsors two tax incentive programs; 421(a), and J-51 which are described in the 2009 Consolidated Plan, Volume 2, Part II. Other Actions, Section B., Relevant Public Policies and Barriers to Affordable Housing, and assist in the production of thousands of units. In addition, the federal government provides Federal Low Income Housing Tax Credit program, which is used to compliment many of the City's housing programs.

The NYC Human Rights Commission (CCHR) affirmatively furthers fair housing by prosecuting unlawful discrimination, advocating on behalf of people with disabilities, providing information and support for immigrant communities, counseling homeowners who face foreclosure because of predatory loans, and conducting extensive outreach and education to other groups and individuals that may experience discrimination. The Commission's working relationships with a wide range of organizations that serve immigrants, the disabled, communities of color, gays and lesbians, and others enables staff to collaborate on efforts to achieve fair housing and prevent discrimination. In addition, the CCHR works with community organizations to reduce and mediate community tensions. The CCHR is active in schools, offering a curriculum covering the Human Rights Law, Sexual Harassment, Conflict Resolution and Peer Mediation Training. During

2009, staff conducted 277 workshops in the schools and other organizations serving youth. It also gave workshops on immigration, the Human Rights Law and diversity issues to 966 audiences in community and other organizations. Field staff addressed fair housing issues such as general discrimination, predatory lending, and equal access in 137 workshops given in 2009.

The Commission on Human Rights stays abreast of possible impediments to fair housing and assures that its activities and programs address these specific impediments. The amendment of the Human Rights Law in 2008 to protect people from discrimination based on their source of income resulted in a large public response in 2008 and 2009. As a result, complaints of this type of discrimination were the most frequent ones made to the Commission in 2009. Disability complaints were the second most frequently alleged in 2009, the result of the Commission's close cooperation with groups advocating for the disabled. The crisis in the housing market brought about by predatory lending was manifested in the increase in the volume of mortgage counseling sessions conducted by the Commission in 2009.

The Commission distributes its literature widely and provides it in many languages. In 2009, 91,073 pieces of literature, including a palm card describing income protections and booklets on fair housing and equal access were distributed by Commission field offices. All of these publications are also available on the agency's website at [www.nyc.gov/cchr](http://www.nyc.gov/cchr).

The Commission on Human Rights will continue the types of programs described in detail in earlier sections of this document. First, CCHR is committed to maintaining the quality of its intake and investigation procedures, and its prosecutorial authority. Second, it will continue to provide assistance for individuals and groups with housing concerns. Finally, it will continue its vigorous education campaign on fair housing rights and responsibilities and intergroup cooperation.

The Mayor's Office of Immigrant Affairs actively identifies and addresses new and ongoing barriers to accessing City services experienced by immigrant communities. MOIA supports other City agencies on linguistically and culturally appropriate community outreach and education on housing programs, services, and benefits available to immigrants. MOIA also offers consultation to City agencies on policy and programmatic strategies to prevent unfair and discriminatory private sector practices affecting immigrants. In addition, MOIA serves as a resource to City agencies in efforts to inform immigrants about relevant information and assistance needed by renters and homeowners, housing rights, and housing complaint processes with government agencies.

Recognizing that language barriers are one of the greatest impediments for immigrants in obtaining fair housing, Mayor Bloomberg signed Executive Order 120 in July 2008, the City's first Language Access Executive Order, establishing a uniform policy and standards for language assistance services for City agencies that have direct interaction with limited English proficient New Yorkers. The Executive Order mandated agencies to develop a language access policy and plan and appoint a language access coordinator to oversee and monitor the plan's implementation. Moreover, Executive Order 120 requires City agencies, which include agencies that promote equitable housing in New York City, to take reasonable measures to provide language assistance in at least the top six (6) languages spoken by limited English proficient (LEP) New Yorkers. MOIA worked to ensure the successful implementation of Executive Order 120 by facilitating a coordinated effort for the exchange of information and ideas regarding best practices among New York City agencies. MOIA also provided agencies with direct technical assistance on specific issues related to the implementation of an agency's policy and/or plan, and continues to provide technical assistance and support to agencies when appropriate. Furthermore, MOIA works with agencies to develop suitable public awareness strategies that inform and educate LEP individuals of City services, and the availability of free language assistance services. Some of the successful strategies adopted by agencies include working with ethnic media, reaching out to immigrant communities, and building effective partnerships with community-based organizations. These efforts help facilitate the successful integration of immigrant New Yorkers into the civic, economic and cultural life of the City.

Moreover, to help mitigate the fear and distrust immigrants may have of government agencies, which may pose a barrier to accessing housing programs, MOIA helped to reformulate a citywide policy that builds the



confidence and trust of immigrant communities by protecting certain categories of information as confidential. Such information includes a person's immigration status, which is considered private, to the extent permitted to by law. This policy provides certain assurances to anyone seeking City services. Implementing this policy and ensuring language access helps prevent pervasive and fundamental barriers to equal housing opportunity for immigrants. MOIA's ongoing work reinforces the City's commitment and ability to provide assistance and information about housing opportunities and benefits to all of its residents.

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 and encourages the development of these resources through various means, including the real property tax system. As described above, the City sponsors the tax incentive programs: 421(a), and J-51 that are described in the 2009 Consolidated Plan, Volume 2, Part II., Section B., Relevant Public Policies and Barriers to Affordable Housing and assist in the production of thousands of units. In addition, the federal government provides a Federal Low Income Housing Tax Credit Program, which is used to compliment many of the city's housing programs.

HPD, a major producer of the City's low and moderate income housing, contributes to the enforcement of fair housing principles in many ways, including an internal monitoring and training strategy that reinforces fair housing practices for developers/owners who receive federal funding assistance through HUD Programs: HOME, Housing Opportunities for People with Aids (HOPWA), Title I of the Community Development Block Grant Act and HOPE. HPD's external fair housing strategy is executed through contracts with locally based organizations that provide fair housing counseling services in all five boroughs of the City and resolution assistance services in area Housing Courts. In addition, the Mayor's New Housing Marketplace Plan, now being implemented, commits the agency to increasing the supply of affordable housing throughout the City.

A critical ingredient of HPD's contribution to the City's fair housing efforts has been its contractual relationship with locally based organizations for the provision of fair housing services. These groups increase the City's fair housing outreach capabilities and enable the City to identify future fair housing issues while complementing the fair housing marketing efforts of agency developers. As the City's increasing immigrant population brings new challenges for the city's efforts to promote fair housing practices, community based organizations are uniquely positioned to provide fair housing information and resources. This partnership between the City and community based organizations ensures that the rights and responsibilities of all participants in the housing market are known and accessible to all.

The New York City Housing Authority (NYCHA) provides decent and affordable housing in a safe and secure living environment for low and moderate income residents throughout the five boroughs. NYCHA's commitment to fair housing ensures that qualified residents and applicants have access to services, activities and programs provided by the Authority in compliance with applicable laws. To ensure NYCHA's employees understand and play a role in furthering fair housing, NYCHA will continue to train newly hired employees in 19 titles who interact with residents and applicants of NYCHA's duties and responsibilities under, Section 504 of the Rehabilitation Act of 1973, The Americans with Disabilities Act, the Fair Housing Act and the Architectural Barriers Act. In addition, the Department of Equal Opportunity conducts biannual mandatory training for all NYCHA employees on its non-discrimination policy statements: the NYCHA Equal Employment Opportunity Policy Statement, the NYCHA Sexual Harassment Policy Statement and the NYCHA Fair Housing Non-Discrimination Policy Statement. NYCHA's Fair Housing Non-Discrimination Policy is conspicuously posted at each of NYCHA's management offices, community centers, hearing room and every public place where residents and applicants are provided service. In addition, in celebration of National Fair Housing Month the policy was printed in the April 2009 edition of the Journal, a monthly publication for residents delivered to 175,000 families.

Through the Services for People with Disabilities (SPD) NYCHA will continue to affirmatively further fair housing through the strengthening of its relationships with advocates and organizations that assist people with disabilities, by providing information on its policies, practices and procedures and how to obtain accessible housing and through on going workshops. SPD provides assistance and information to applicants and residents

with disabilities in obtaining decent, affordable and accessible housing, as well as assisting with the processing of reasonable accommodations for residents with disabilities in NYCHA developments.

To ensure that NYCHA's limited English proficient residents and applicants have access to NYCHA programs and services the Language Services Unit (LSU) will continue to provide translation and interpretation services to enable NYCHA staff to communicate effectively with residents and applicants who are limited English proficient. NYCHA will work to enhance its language assistance program and train staff interacting with residents and applicants on providing language assistance services as part of its staff development program. LSU will conduct regular workshops for Language Bank volunteers to ensure their competency, familiarity to specialized terms and their full understanding of their role as an interpreter. On May 13, 2009, NYCHA's Board adopted a Language Assistance Services Policy and designated the Director of the Department of Equal Opportunity as the Language Access Coordinator for NYCHA. As a result NYCHA created a Language Assistance Services Standard Procedure that provides guidance to staff on the delivery of language services for NYCHA's Limited English proficient residents and applicants. NYCHA's Language Access Implementation Plan was posted on NYCHA's Intranet as well as on NYC.gov. NYCHA officially launched a resource page on Language Services on the NYCHA intranet on May 1, 2009.

NYCHA is committed to providing equal housing opportunities for all qualified residents and applicants and prohibit unlawful discrimination. Housing discrimination complaints filed with NYCHA by residents or applicants are investigated internally to determine if the individual has been discriminated against and determine if corrective or conciliatory action is necessary. In addition, the applications of applicants who have been found ineligible for public housing and claim the denial was based on their disability are reviewed. Preliminary investigations of complaints filed by residents and applicants with the State Division of Human Rights, the City Commissioner of Human Rights, and/or HUD are investigated by NYCHA's Law Department.

Summary Table of HUD Fair Housing, Outreach, Enforcement and Housing Counseling Competitive Grants

FY: 2009

Affirmatively Furthering Fair Housing

Name of Jurisdiction: New York, New York

	Number of Organizations	Amount City Received in 2009 (A)	Amount City Received by Other Entities in 2009 (B)
<b>i. Fair Housing Initiatives Program</b>			
Private Enforcement Initiative (PEI)	0	\$0	\$0
Education and Outreach Initiative (EOI)	0	\$0	\$0
Fair Housing Organizations Initiative (FHOI)			
<b><i>i. Subtotal Fair Housing Initiatives Program</i></b>	<b>0</b>	<b>\$0</b>	<b>\$0</b>
<b>ii. Housing Counseling</b>			
National/Regional	3	\$0	\$3,827,079
State	0	\$0	\$0
Local	9	\$0	\$322,826
<b><i>ii. Subtotal Housing Counseling</i></b>	<b>12</b>	<b>\$0</b>	<b>\$4,149,905</b>
<b>TOTAL HUD FAIR HOUSING AND HOUSING COUNSELING</b>		<b>\$0</b>	<b>\$4,149,905</b>

As part of HUD’s efforts to promote fair housing and increase fair housing choice, it designates funds through the annual SuperNOFA to Fair Housing Initiatives Program (FHIP) and Housing Counseling Program competitive grants. The following grants awarded to public and private fair housing programs in New York City will assist community leaders and residents, particularly low- and moderate-income residents, in using federal funds to develop viable communities and provide decent housing for all citizens, without discrimination.

**i. Fair Housing Initiatives Program**

Fair Housing Initiatives Program grants go to public and private housing groups and state and local agencies to investigate allegations of housing discrimination, educate the housing industry and public about housing discrimination laws, and promote fair housing. Three types of awards exist within the FHIP: 1) Private Enforcement Initiative, 2) Education and Outreach Initiative, and Fair Housing Organizations Initiative.

Private Enforcement Initiative (PEI) are one-year grants to assist private, tax exempt fair housing enforcement organizations in the investigation and enforcement of alleged violations of the Fair Housing Act and substantially equivalent State and local fair housing laws. For the 2009 SuperNOFA, the PEI grants are divided into two components: 1) General Component, and 2) Performance-based Funding Component.

Education and Outreach Initiative (EOI) are one-year grants to assist projects that inform the public about their rights and obligations under the Fair Housing Act and substantially equivalent State and Local fair housing laws. For the 2009 SuperNOFA, the EOI grants are divided into two components: 1) General Component, and 2) Clinical Law School Component.

Fair Housing Organizations Initiative (FHOI) assist non-profit fair housing organizations by providing funds to handle fair housing enforcement and education initiatives more effectively. FHOI also strengthens the fair housing movement nationally by encouraging the creation and growth of organizations that focus on the rights and needs of underserved groups. In 2009 the FHOI grant included a Mortgage Rescue Scam Component.

#### **i. Subtotal Fair Housing Initiatives Program**

At the close of 2009 HUD had yet to announce the grant awards under the 2009 Fair Housing Initiative Programs SuperNOFA. Therefore, New York City nonprofits received \$0 in FHIP competitive grant funds in 2009 (column B).

#### **ii. Housing Counseling**

HUD Housing Counseling Grants fund national and regional intermediary, state and local housing counseling organizations. National and regional intermediary housing counseling organizations provide a conduit for HUD funding to local affiliates and branches that provide information and education to low- and moderate-income households and enhance coordination among and improve the services of housing counseling providers. State and local housing counseling agencies offer consumers (current homeowners, prospective buyers or renters) information and education on a variety of housing topics, including information regarding the homebuying process, recognizing and avoiding predatory lending practices (through activities such as loan documentation review), personal budgeting and credit repair, default assistance and foreclosure avoidance, homeownership and tenancy responsibilities, and fair housing rights. Additionally, supplemental competitive grant funds are awarded specifically for counseling conducted in conjunction with HUD's Section 8 Homeownership Voucher Program, which allows low-income individuals to use rental vouchers to purchase homes.

Grant recipients help program participants realistically evaluate their readiness for a home purchase, understand their financing and down-payment options, and navigate what can be an extremely confusing and risky process.

In 2009, three (3) New York City-based organizations received \$3,827,079 in HUD National and Regional Intermediary Housing Counseling Grants (column B), of which \$150,000 was received by one (1) organization for Loan Document Review-related activities.

In addition, nine housing counseling agencies received a total of \$263,904 under the local component (column B) for comprehensive activities. One (1) of the nine organizations received \$150,000 for Loan Document Review-related activities and \$8,922 for senior citizen-related Home Equity Conversion Mortgages. Therefore, a total of **\$322,826** was received by local housing counseling agencies (column B).

#### **ii. Subtotal Housing Counseling**

New York City nonprofits received **\$4,149,905** in Housing, Counseling competitive grant funds in 200809 (column B).

**Total Fair Housing Initiatives Program and Housing Counseling grants.** In 2009, New York City did not receive any FHIP or Housing Counseling Grant Awards. Therefore, **zero** has been entered in Column A. In column B, New York City not-for-profits received a total of approximately **\$4,149,905**.

# FAIR HOUSING COMPLAINT PROCESS FOR NEW YORK CITY RESIDENTS

All New York City residents in public and private housing may file jurisdictional housing discrimination complaints directly with the **New York City Commission on Human Rights**, the **New York State Division of Human Rights** or **U.S. Department of Housing and Urban Development**. These agencies will attempt conciliation between the two parties throughout the investigative process. Or if New York City residents choose, they may file directly with State or Federal court. For a list of addresses, please refer to next page.

## NYC COMMISSION ON HUMAN RIGHTS

40 Rector Street  
New York, NY 10006  
(212) 306-7450

or call 311 and ask for the Commission on Human Rights

### INTERNAL COMPLAINT PROCESS

Residents of government-owned or subsidized housing have the option of resolving the complaint internally with the fair housing office of the agency which subsidizes the housing where they reside.

#### **New York City Housing Authority:**

(212) 306-4468

TTY (212) 306-4845

#### **Department of Housing Preservation & Development:**

(212) 863-7911

TTY (212) 863-7934

#### **Department of Homeless Services: Voice and**

TTY (212) 788-9941

If residents are dissatisfied with the resolution, they may file a complaint as described above.\*

### ASSISTANCE WITH DISCRIMINATION COMPLAINTS

Residents of public or private housing may receive assistance with discrimination complaints from:

#### **1. CITY AGENCIES WITH SPECIAL CONSTITUENCIES:**

##### **Mayor's Office for People with Disabilities**

(212) 788-2830 (Information and Referrals ONLY)

TTY (212) 788-2838

##### **Department for the Aging**

Call 311 and ask for the Department for the Aging

#### **2. HPD's FAIR HOUSING BOROUGH OFFICES:**

**Chinese-American Planning Council** (212) 431-7800

**New York Urban League** (212) 926-8000

**South Bronx Action Group** (718) 993-5869

**Brooklyn Housing & Family Services** (718) 435-7585

**Queens Urban League** (718) 297-7272

#### **3. NOT-FOR-PROFIT ORGANIZATIONS AND CLINICS:**

##### **Anti-discrimination Center of Metro New York**

(212) 346-7600

**New York Law School Clinic** (212) 431-2176

**Columbia Law School Clinic** (212) 854-4291

The above agencies and organizations assist by advocating and mediating with public or private landlords or by helping residents to file a jurisdictional complaint as described above.\*

\* As a matter of policy and practice these agencies tend to refer people who want to file a formal complaint to the New York City Commission on Human Rights where possible.

## LOCATIONS FOR FILING FAIR HOUSING COMPLAINTS

### NYC COMMISSION ON HUMAN RIGHTS

40 Rector Street, NY, NY 10006

(212) 306-7450

or call 311 and ask for the Commission on Human Rights

### NYS DIVISION OF HUMAN RIGHTS

**TTY (718) 741-8304**

#### **Bronx and Manhattan**

above West 42<sup>nd</sup> Street

163 West 125<sup>th</sup> Street, 4<sup>th</sup> Floor

New York, NY 10007

(212) 961-8650

#### **Manhattan**

below West 42<sup>nd</sup> Street

20 Exchange Place, 2<sup>nd</sup> Floor

New York, NY 10007

(212) 480-2522

**TTY (212) 961-8999**

#### **Brooklyn, Queens and Staten Island**

55 Hanson Place, 3<sup>rd</sup> Floor

Brooklyn, NY 11217

(718) 722-2856

### STATE COURT

#### **Bronx County**

851 Grand Concourse,

Room 217

Bronx, NY 10451

(718) 590-3722

#### **Kings County (Brooklyn)**

Supreme Court Building

360 Adams Street

Brooklyn, NY 11201

(718) 643-8076

#### **New York County**

(Manhattan)

60 Centre Street

New York, NY 10007

(212) 374-4585

#### **Queens County**

88-11 Sutphin Blvd.

Jamaica, NY 11435

(718) 520-3713

#### **Richmond County (Staten Island)**

County Courthouse

Staten Island, NY 10301

(718) 390-5352

### U.S. DEPT. OF HOUSING AND URBAN DEVELOPMENT

#### **Office of Fair Housing and Equal Opportunity**

26 Federal Plaza, Room 3532, New York, NY 10278-0068

(212) 264-1290, then press option 2

**TTY (212) 264-0927**

1 (800) 496-4244

### FEDERAL COURT

#### **Eastern District**

(Brooklyn, Queens, and Staten Island)

U.S. Court House

225 Cadman Plaza East

Brooklyn, NY 11201

(718) 260-2600

#### **Southern District**

(Bronx, Manhattan)

U.S. Court House

500 Pearl Street

New York, NY 10007

(212) 805-0136

## B. Continuum of Care

The City of New York has a Continuum of Care in place that addresses the needs of the homeless, the elderly, persons with either physical or mental disabilities, persons with alcohol and drug addiction, persons with HIV/AIDS, public housing residents, youth, and victims of domestic violence. A detailed description of the Continuum of Care can be found in the 2009 Consolidated Plan.

The City undertakes a complex set of activities to cover the needs of each group of individuals and households within the classifications listed above. For the homeless an elaborate system including emergency shelter and transitional housing with services exists to assist persons and families to eventually find permanent housing.

### Department of Homeless Services

The federal Department of Housing and Urban Development (HUD), under the terms of the McKinney-Vento Homeless Assistance Act, provides funding to localities to operate Continuum of Care Homeless Assistance Programs to assist homeless persons move to permanent housing and self-sufficiency. HUD distributes much of this funding through an annual grant competition that is announced in a Notice of Funding Availability (NOFA). Funds awarded through this competition support the Supportive Housing (SHP) and Shelter Plus Care (S+C) programs. Not-for-profit organizations may apply directly to HUD for funding under the SHP program, but only States, units of local government and Public Housing Authorities are eligible to apply for S+C funds. SHP has four components: transitional housing, permanent housing for persons with disabilities, safe haven and supportive services only. All components promote the development of supportive housing and services that assist homeless individuals to transition from homelessness to living as independently as possible. The Shelter-Plus-Care Program provides rental assistance for homeless persons with disabilities in connection with supportive services funded from sources outside the program.

The Department of Homeless Services (DHS) has coordinated the City's response to the HUD NOFA since 1995. It works in partnership with the New York City Coalition on the Continuum of Care (NYC CCoC), a large group of homeless service providers, consumers, advocates, representatives of the public, and government agencies. The NYC CCoC, as the lead entity for the City's homeless continuum of care planning process, analyzes service gaps and needs, sets annual priorities for the use of new HUD funds, and establishes an application process for organizations seeking either new or renewal funding through the grant competition. As the NYC CCoC lead member, DHS coordinates all pre-application processes, reviews and ranks project applications, provides technical assistance to organizations wishing to apply for funds, and prepares and electronically submits the Continuum of Care narrative Exhibit 1 for inclusion in the NOFA application. DHS also manages the CCoC's centralized HMIS database. New York City has been extremely successful in obtaining funding through the HUD NOFA. The following table summarizes HUD grant awards made in New York City since 1995.

NOFA Year	Funds Awarded (Millions)	Number of Grants
1995 - 1999	\$331.4	303
2000-2004	\$360.60	696
2005	\$74.0	161
2006	\$75.5	189
2007	\$83.3	228
2008	\$83.9	233
2009	\$95.9	247
<b>Total</b>	<b>\$1,104.6</b>	<b>2,057</b>

### Single Adult System

Throughout 2009, ESG funds continued to be an integral component of the City's continuum of care for the homeless. These funds have enabled DHS to improve its outreach activities to homeless persons living in public

spaces by contracting out with experienced non-profit organizations. Since the fall of 2007, DHS implemented new contracts with outreach and housing placement providers. These contracts are performance-based and include evidence-based practices such as the Street to Home model which focuses on placing chronically homeless individuals directly into transitional and permanent housing from the streets. DHS also expanded the low-threshold housing options that exist outside the shelter system including safe haven and stabilization beds. Safe Havens are low-demand transitional housing programs that allow clients more flexibility. They include features that street homeless clients find desirable such as private or semi-private rooms, fewer rules and no curfew. Stabilization beds are also transitional housing options but have fewer on-site services and are for clients who are closer to being permanently housed

At the end of CFY 2009, 50 single adult shelters were in use. DHS continues to provide extensive supportive services in these single adult facilities, by addressing employment, educational services, mental health rehabilitation, specialized services for veterans and clients formerly involved with the criminal justice system, substance abuse treatment, intensive counseling and case management, and health services.

The adult shelter system provides many innovative employment programs. The federal ESG funds are used by DHS to help fund employment counselors at three shelters. Such training includes industry-specific employment shelter programs such as culinary arts training, while other programs provide more general work experience and job skills training. DHS also supervises a general employment program, which provides supportive services to assist individuals in maintaining their employment.

In addition, DHS provides educational programs at these shelters. These programs include GED preparation, literacy training, and financial and life skills training.

DHS provides specialized program services to shelter residents who are identified as mentally ill. Many of the programs are operated by non-profit organizations and are funded with City, State and Federal dollars, including ESG funds, which are used by DHS to help support mental health programs at two adult transitional residences. Some of the mental health programs provided in the shelters include Community Support Services (CSS) Mental Health Rehabilitation Programs, Transitional Living Communities (TLCs), and Services for Mentally Ill Chemical Abusers (MICAs).

DHS recognizes that its shelter residents face other obstacles in achieving independent living. For this reason, DHS provides several different program models for clients who are chemically dependent. The programs include: Modified Therapeutic Communities (TCs); Supported Work Programs (SWPs); Clean and Sober programs with discrete sleeping areas that provide a safe haven for those in the process of detoxification who participate in community-based day treatment programs; Re-Entry programs for those clients who have graduated from treatment programs; Services for clients in Methadone Maintenance Programs, and various 12-step programs such as Alcoholics Anonymous (AA) and Narcotics Anonymous (NA) meetings.

DHS also run an OASAS-approved, detox unit for shelter clients in need of detoxification. Upon completion, the clients are offered a placement in a community-based, long-term, residential, substance abuse treatment programs.

DHS shelters provide strong case management services to promote independent living for clients. Case management in the shelters are tailored to clients' individual needs and address mental illness, substance abuse, and other social and medical problems among shelter residents. These programs provide clients with crucial linkages to appropriate community-based programs, while focusing on moving the client out of shelter and into independent or supportive housing.

Most single adult shelters have on-site medical providers and three fifths of our shelters provide on-site psychiatric services. DHS continues to work with the NYC Department of Health and Mental Hygiene and Bureau of TB Control, in making sure homeless clients, who are diagnosed with active TB disease, reside at a shelter-based TB unit and receive directly-observed therapy (DOT). DHS has one facility that is reserved



exclusively for sensory or physically disabled individuals, requiring the services of a home health attendant. All homeless individuals known to be eligible for specialized, temporary or permanent housing, through NYC HRA's HIV/AIDS Services Administration (HASA) are referred for assistance.

A continuum of outreach, assessment, and therapeutic programs helps homeless individuals move into permanent housing, either in an independent living arrangement or a supportive housing environment. DHS placed 10,039 single adults into long-term subsidized housing during CFY 2009, including 1,995 in Supportive housing, 611 in subsidized housing, 614 in residential rehabilitation and 6,819 returned to family or independent living.

DHS measures providers' performance with its Performance Incentive Program (PIP). The current PIP holds providers accountable for their performance on four indicators: percent of housing placement target achieved; percent of clients placed that return to shelter; percent of long term stayers placed (these are clients who have been in the shelter system for two out of the past four years); and percent of census that are nine month stayers. Depending on their performance on these indicators, providers can earn or lose up to 10% of their budgets. By rewarding shelters for clients' increased housing permanency and decreased length of stay in shelter, DHS ensures that its providers' goals are aligned with those of the agency.

#### Family Shelter System

The family services system works to stabilize families in emergency shelters and provide them with the tools and resources to return to independent living in the community as quickly as possible.

The goal of DHS' Office of Entitlement and Client Resources (formerly known as the Case Management Field Team) is to ensure that families entering or residing in the DHS shelter system open and maintain public assistance cases in good standing. The Office of Entitlement and Client Resources (OECR) assists providers and DHS staff to take a pro-active approach to prevent case closings, sanctions or other adverse actions. The OECR facilitates housing placements by resolving PA issues and facilitate lease signings. OECR collaborates with HRA to address PA issues as well as to coordinate employment activities within the shelter system and increase program participation and employment.

While the standard shelter model serves a majority of our clients well, some clients need additional support and enriched services in order to make the transition from shelter to independent living. DHS' Next Step model is based on intensive case management and a more structured approach. There is a smaller client to case worker ratio, providing the more individualized attention these clients need. Staff will be available to provide more one-on-one support, such as accompanying clients to housing or other appointments and helping them overcome barriers to permanency. The Next Step model revolves around the fundamental belief that clients are best served living independently in their communities and works intensively to achieve this goal.

A key component of DHS' rental assistance portfolio is the Work Advantage housing subsidy program. Work Advantage invests in homeless families and individuals who work full or part-time by giving them the rent support they need to move towards independence. It provides a strong motivation to work while moving families and individuals out of shelter and into the community. This is a one-year program that is available for a second year to families who continue to be in need and meet program criteria. In addition, this comprehensive program includes a package of transitional benefits that support work and economic stability, such as food stamps, Medicaid, and child care, if needed.

Advantage clients have access to DHS' aftercare services in the community through the community-based Homebase program, including help with upgrading jobs, household budgeting, tenancy and legal services. Other services, such as training, job search and job retention are available through the Human Resources Administration (HRA). Through the Department of Consumer Affairs' Office of Financial Empowerment clients have access to financial education and tax credits to help clients accrue savings so their money can grow for the future.

During CFY 2009, the DHS Family Services Division placed 8,810 families into permanent housing, including 3,105 families to Work Advantage, 1,652 families to Fixed Income Advantage, 1,345 families to Children's Advantage, 81 families to Short Term Advantage, 298 families to HPD-owned housing, 139 to public housing operated by NYCHA, 394 families to Other Section 8, and 1,796 to other placements.

In January 2004, DHS announced the release of a request for proposals to establish neighborhood-based homeless prevention services in six communities with high incidences of homelessness; that initiative expanded into a citywide program, now serving all neighborhoods in New York City. Taking the lessons learned from the community based homelessness prevention programs, four additional contracts were granted to qualified community-based organizations charged with assisting those at-risk of homelessness, particularly individuals and families at the front door of shelter and households exiting the shelter system through targeted services and financial assistance. Through the end of CY 2009, the non-profit providers have made significant improvements in identifying and serving target populations. They are using their community knowledge and resources to meet the needs of these at-risk individuals and families. By 'networking' at local businesses, income support centers, schools, police precincts, and local churches, the providers have served 17,700 families and single adults with services such as family and landlord mediation, entitlements advocacy, employment training, and household budgeting skills. Providers have served a diverse group of clients. Over 20% of the client population has had prior shelter histories. Of all the families and single adults served, 90% had not entered the shelter system. Over 20% of all clients have received financial assistance for payment of rent arrears, deposits and broker fees, furniture and household expenses, rent contributions, and educational and work expenses.

The DHS Office of Client Advocacy (OCA) continues to successfully assist clients in resolving specific issues as they relate to clients and their experiences with the NYC homelessness system especially when clients feel that their needs are not being adequately addressed by their case workers or supervisors. Advocacy staff work to resolve outstanding client issues as ombudspersons by partnering with DHS employees in explaining the rules and procedures of various services and facilities to the clients. The staff also provides training to clients on self-advocacy, organize client advisory committees, and work with others to improve the shelter system. The broadest objectives of this office are to improve the shelter system, enhance the services provided to clients, and help prepare clients to live independently. OCA staff is also co-located at PATH and they are present at AFIC one day each week to meet the needs of the clients at intake. In 2009, the Advocacy Unit served a total of 5,201 constituents. ESG funds continue to be utilized for this unit.

### **Department of Health and Mental Hygiene - Bureau of HIV/AIDS Prevention & Control**

The City of New York uses City, State, and Federal funds to implement its Continuum of Care strategy, including the provision of housing and supportive services for persons living with HIV/AIDS. The Housing Opportunities for Persons with AIDS (HOPWA) program provides funding to prevent homelessness and, for persons living with HIV/AIDS (PLWH) who are already homeless, outreach, assessment, and vital supportive services to place and maintain individuals and families in appropriate housing and engage in HIV primary healthcare. As the diagnosis of HIV/AIDS is often accompanied by conditions of poverty, inadequate education, limited vocational experience, substance abuse, and mental illness, a continuum of services must be provided to assist individuals and families in developing the life skills needed to maintain housing, to decrease the dislocation and disruption caused by substance use and other risky behaviors, and, for the homeless, to locate and maintain appropriate housing.

The Bureau of HIV/AIDS Prevention & Control (BHIV) of the NYC Department of Health and Mental Hygiene (DOHMH), the HOPWA grantee for the New York City Eligible Metropolitan Statistical Area, is responsible for ensuring the City's coordinated response to the HIV/AIDS epidemic. The HIV/AIDS Bureau oversees the administration of the City's HOPWA grant, providing oversight of the capital development of HIV/AIDS housing projects through the Department of Housing Preservation & Development (HPD) and ensuring the delivery of housing and related supportive services at the Human Resources Administration's HIV/AIDS Services Administration (HRA/HASA). The BHIV also oversees the administration of 5 subcontracts with non-profit community-based organizations through the DOHMH – Division of Mental Hygiene. In addition, the

BHIV directly oversees 24 subcontracts with non-profit community-based organizations and facilitates community input into planning through a Housing Advisory Working Group.

The City of New York Human Resources Administration's (HRA) HIV/AIDS Services Administration (HASA) provides case management to persons in New York City living with AIDS or HIV illness who seek its assistance, and to their families. Services typically include assistance in receiving assessment and determination of eligibility for Public Assistance, Medicaid, and Food Stamps, as well as assistance in accessing other benefits and services as required by the client's individual circumstances. HASA's intensive case management may include initiating evaluation and treatment of substance abuse and mental illness; home care or homemaking services; or housing services, including temporary emergency placement, as well as transitional, supported, and independent housing options. HASA case managers also assist clients in the referral process of applying for Supplemental Security Income (SSI), Social Security Disability Income (SSDI), and other benefits for which they may qualify; and they may refer clients to community based resources for a variety of additional services including legal advocacy, medical or dental care, or employment assistance.

HASA periodically reviews and updates clients' plans and service packages. For those who are unable to come to a HASA office for assessment or review, HASA case managers conduct home visits in addition to scheduled, periodic visits. Additionally, all clients in emergency housing are visited in their apartment periodically until a permanent and stable placement is found. HASA's intensive case management for families includes permanency planning to help survivors remain intact should the caregiver die or become unable to provide care.

In addition, HASA works closely with the DOHMH – BHIV in the planning and operation of programs that serve people with AIDS and advanced HIV illness. As part of HRA's efforts to address the needs of homeless mentally ill clients, including those with HIV-illness or AIDS, HASA works closely with HRA's Office of Health and Mental Health Services, and cooperates with the NYC DOHMH, the NYC Department of Homeless Services, and the NYC Department of Housing Preservation and Development to serve such clients. HASA also works with the NYC Department for the Aging, the NYC Department of Youth and Community Development, and HRA's own Home Energy Assistance Program (HEAP) to provide heating and weatherization assistance to eligible clients.

The NYC Department of Housing Preservation and Development (HPD) assists in the development of HIV/AIDS housing by providing the funding and development oversight to eligible non-profit community based organizations for new construction or substantial renovation of congregate facilities for homeless New Yorkers with HIV/AIDS. During 2009, HPD had 201 units under development (129 funded with HOPWA and 72 using other resources).

The DOHMH – Division of Mental Hygiene contracts with five community-based non-profit organizations that operate a total of 125 units of scattered site permanent housing for people with HIV/AIDS. One of these programs provides 30 housing units for HIV-positive women with mental illness and/or substance use histories, including both single women and women with children. Two programs each operate 23 units for single adults with HIV/AIDS and mental illness and/or substance abuse histories. The remaining two programs combined provide 49 units of permanent housing, for single adults as well as families that are headed by an adult with HIV/AIDS and who also have mental illness and/or substance abuse histories.

The DOHMH – BHIV manages 24 contracts at 15 community-based organizations that provide housing and services, including: housing placement assistance; harm reduction outreach; and the administration of a sustainable living fund, which provides emergency and short term rental assistance. The DOHMH – BHIV portfolio also includes thirteen supportive housing programs for persons living with HIV/AIDS that target the following special needs populations: homeless adolescents/young adults; women with children; women with mental illness; seniors aged 55 and older; difficult to serve persons; recent parolees/releasees; and dually diagnosed persons in need of harm reduction services.

## **New York City Housing Authority**

NYCHA has several ongoing initiatives aimed at reducing the incidence of homelessness. These initiatives include:

### **Relocation of Homeless Families and Preventive Program through Section 8 and Public Housing Assistance**

As part of the City's homeless strategy, NYCHA allocates Section 8 vouchers to be used as a preventive tool to assist working poor and other households at imminent risk of entering a shelter and with limited ability to afford an apartment in the long term. A total of 2,444 Section 8 rentals and 142 public housing placements were made during 2009 into these programs.

### **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 tenants, who due to the lack of adequate housing, are at-risk for having their children retained in foster care. 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. NYC Children's Services (formerly the Administration for Children's Services) certifies families and young adults that meet these requirements. In 2009, there were a total of 270 apartment units rented as a result of the issuance of Section 8 vouchers to persons serviced through the Children's Services' Housing Support and Services ("HSS") unit. Of that total, 202 apartments were rented to Independent Living youths and 68 apartments were rented to families reunified with their children. Additionally, there were 135 public housing units rented as a result of HSS services, for the same year. Of that sum, 104 public housing units were rented to Independent Living youths and 31 public housing units were rented to families being reunified.

### **Individuals at-Risk**

#### **Homeless Veterans**

The HUD Veteran's Affairs Supportive Housing (VASH) program provides Section 8 rental assistance to homeless veterans. This program combines Section 8 rental assistance with case management and clinical services provided by Veteran's Affairs at its medical centers and in the community. The New York City Department of Homeless Services is working jointly with the local Veteran's Affairs office to pre-screen and refer applications to NYCHA. NYCHA began receiving VASH applications in October 2008 and has rented 630 Section 8 units

### **Disabled**

#### **Section 504**

In accordance with the Voluntary Compliance Agreement (VCA) signed jointly with the Department of Housing and Urban Development in 1996, NYCHA will make five percent of its units, or a total of 9,100 apartments, accessible to individuals with mobility impairments and provide materials to NYCHA residents and applicants regarding their right to an accessible apartment or modifications to an existing apartment.

The Authority has an ongoing program to modify units, construct ramps, reconstruct building entrances, lobby interiors, and rehabilitate elevators on an expedited basis. Fifty one (51) units were fully converted and there are 7 community centers that began new construction or modification in 2009. Two community centers were completed to meet accessibility standards in 2009.

In addition, approximately 826 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 physical disabilities.

### Victims of Domestic Violence

*For a description of the activities and accomplishments of the Housing Authority's Domestic Violence Intervention and Education Program (DVIEP), Supportive Outreach Services (SOS), Emergency Transfer Program (ETP), Domestic Violence Aftercare, and Witness Relocation Programs please refer to the Mayor's Office to Combat Domestic Violence (MOCDV) description of activities for the prevention of displacement and housing-related assistance to victims of domestic violence located at the end of this section.*

### **Department of Health and Mental Hygiene**

The Department of Health and Mental Hygiene (DOHMH) is committed to working with both government and private not-for-profit agencies to provide services to persons with severe mental illness, mental retardation, developmental disabilities, and alcohol and other chemical dependencies. In City Fiscal Year 2009, the Department funded approximately 1,100 mental hygiene programs.

### People with Mental Illness

As of December 2009, the City and State were providing a continuum of housing options for mentally ill adults amounting to nearly 17,600 residential units in New York City:

- Licensed Housing Units 5,532
- Supported Apartments and SRO Units 12,031

In addition, there are approximately 3,400 units in various stages of development and several thousands of new units of housing to be created under the third City/State New York/New York Agreement.

### Other Community-Based Program Services

The New York State Office of Mental Health funds scatter-site supported housing units statewide, 6697 of which are in New York City.

### New York/New York Agreements

Under the 1990 New York/New York I Agreement, 3,615 units of new housing for homeless mentally ill individuals are available.

The 1999 New York/New York II Agreement provided for another joint City/State effort to develop approximately 1,500 additional housing units for homeless mentally ill adults. By securing various other sources of funding, the City was able to increase its share of development by an additional 327 units, the majority of which were developed by HPD. Of these NYNYII units, 1,827 are available now (1,137 City and 690 State). The State provides \$11,732 per unit annually to subsidize the social service and building operation costs and the City provides additional subsidies for a total of \$12,735 per NY/NY II unit.

Under the 2005 New York/New York III Agreement, the City and State are developing approximately 9,000 new units over ten years to serve the homeless mentally ill and various other special needs populations. The units began opening in 2007 and the funding ranges from \$14,888/unit for chronically homeless adults with serious and persistent mental illness to \$25,000/unit for chronically homeless families where the head of household has a serious persistent mental illness. The procurement process is ongoing and various State and City agencies responsible for NY/NY III have issued RFPs for some of the units. As of December 2009, approximately 1,162 units funded by the State and City combined were opened, for various populations.

### High Service Needs I and II Housing

The first High Service Needs City/State match for a congregate housing development program was initiated in State Fiscal Year 2001 to provide approximately 800 new congregate housing units for mentally ill persons with high service needs. The State made awards for the development of 320 service-enriched SRO units for single adults and 80 community residence units for children and youth, all of which are now operating. Six of the adult programs (123 beds) and six of the children's programs (48 beds) have opened and others are in various stages of development. The City's match of 400 units, funded at a rate of \$14,106 per unit annually, is all for single

adults. Of these 400 units, 252 were operational as of December 31, 2009. The remaining 148 units are in various stages of development and are expected to be operational over the next year and a half.

The second High Service Needs City/State match for congregate housing development was authorized in State Fiscal Years 2004 and 2006 to provide 1,600 units of supported housing for single adults with mental illness in New York City. The State issued an RFP in the fall of 2003 for its commitment of 800 units, and the City issued an RFP for its 800 matching units in February 2005. The State will be providing \$13,233/unit annually to subsidize the social service and building operation costs, and the City will contribute an additional amount to bring the total annual funding to \$14,888/unit. As of December 2009, the State had awarded contracts for all but 89 of the 800. 202 of the units are currently operational. An additional 58 units will be operational during 2010. The remaining 509 units are in various stages of development. The City has registered contracts for 473 units. Of these units 423 are filled. There are 93 units currently in various stages of development. There are approximately 625 operational High Service Needs Units funded by both the City and State. Unit procurement and development are expected to continue over the next few years.

#### SPMI/SED Young Adult Pilot Program

In July 2006, the City released an RFP for a pilot program to create supportive housing for young adults with serious and persistent mental illness or serious emotional disturbances. This initiative will fund 52 units at \$22,000 per unit annually, 32 of which were open as of December 2009. The remaining 20 units are scheduled to begin operating by the end of 2010.

#### Human Resources Administration

HRA's HIV/AIDS Services Administration (HASA) administers supportive social and housing services for persons and families living with HIV/AIDS with HOPWA grant funds and other federal, New York State and New York City funding sources. Please refer to the Department of Health and Mental Hygiene/Office for AIDS Policy Coordination Continuum for a description of HASA activities.

The Human Resources Administration (HRA) directly operates one emergency domestic violence shelter, oversees the reimbursement of 51 private emergency residential programs for victims of domestic violence and oversees and provides client referrals for our transitional housing program for victims of domestic violence. Please refer to the Mayor's Office to Combat Domestic Violence (OCDV) Continuum for a description of HRA domestic violence-related activities.

In addition, HRA cooperates with several city agencies, including DOHMH, the Department of Homeless Services, and the Department of Housing Preservation and Development, to address the needs of the homeless mentally ill. HRA also administers the Home Energy Assistance Program, which includes Department for the Aged and Department for Youth and Community Development as alternate certifiers, to provide income eligible senior citizens and low-income individuals and families with heating and weatherization assistance through the Home Energy Assistance Program.

#### Department for the Aging

The City provides for a Continuum of Care for the elderly through a variety of direct and community-based supportive services, protection against rising rents, and property tax abatements. These efforts play a significant role in helping seniors to live independently for as long as possible.

- HUD has not yet announced any new Section 202 capital advances nor pre-development grants for 2009. Applications for these programs were due in mid-December 2009. As of this moment, there has been no announcement.
- In CFY 2009, the Department's contracted Legal Services Programs provided approximately 37,208 hours of free legal services for the elderly, including assistance with landlord/tenant issues, housing conditions, tenants' rights, and discrimination.

- The Department provided information and assistance to elderly and their families in need of housing options or housing-related assistance. Housing related calls made to the City's 311 Customer Service Center can be categorized in the following four most requested issues: 22,378 calls were made to inquire about a senior's SCRIE status; 14,461 calls were made for SCRIE applications and guides for those not yet enrolled; 9,615 calls were requests for SCRIE assistance by a landlord or senior tenant; and 8,443 calls were made inquiring about housing options for frail or disabled seniors.
- Through its contracted service providers, the Department provided for approximately 1.5 million hours of home care. Approximately 12.3 million congregate and home delivered meals per day were served to seniors at senior centers and at their homes.
- The City's Senior Citizen Rent Increase Exemption Program (SCRIE), which exempts low income elderly living in rent-regulated housing from future rent increases, thereby preventing displacement or eviction in many cases, had an active caseload of approximately 45,500 senior households at the close of last year. There were 7,684 new applications received for the SCRIE Program. In late 2009, this program was formally transferred to the City's Department of Finance. This would enable the City to process applications faster because seniors will no longer need to submit certain documents that the Department of Finance can access, such as birth certificates and tax returns.
- The City's Senior Citizen Homeowner Exemption Program, administered by the Department of Finance provided approximately 42,732 income-eligible senior households with partial property tax exemptions.
- In 2005, the Department recognized a marked increase in elderly tenants involved in eviction proceedings. To address this critical need the Department (DFTA) and the NYC Civil Court initiated a pilot project, the Assigned Counsel Project. It currently serves elderly clients in Manhattan, Brooklyn, and Queens on eviction prevention for seniors. In 2009, approximately 529 elderly clients received free legal and social work services to avoid or cure evictions and, in a handful of cases, find alternative housing.
- Through its network of community-based providers, DFTA's Elderly Crime Victims Resource Center provided approximately 20,959 hours of assistance to victims of elder abuse, including older victims of harassment or financial exploitation (including predatory lending), which can often lead to displacement.

The above services contribute to the continuum of care and needed support services within the community, and play a significant role in helping seniors remain living independently in the most appropriate and least restrictive environment.

The City has continued and expanded its pro-active role in lending technical support to and facilitating the development of service providers in housing-based settings. In 2008, the Department for the Aging, through its 30 contracts to provide on-site Supportive Service Programs in Naturally Occurring Retirement Communities (NORC'S), funded over 83,631 hours of supportive casework, which was provided to approximately 9,438 elderly residents of these communities. In NORC'S and traditional senior housing settings the Department for the Aging has continued to provide training, information and educational opportunities to those working in housing locations to help elderly maintain their independence and level of functioning in their home.

### **The Mayor's Office for Persons with Disabilities**

The Mayor's Office for People with Disabilities (MOPD) provided assistance, information and referrals to people with disabilities who sought to find accessible, affordable housing, or assistance renovating their current residences. In addition, MOPD provided assistance to individuals subjected to disability-related housing discrimination, including illegal evictions, and information about their housing rights. MOPD also provided

legal and technical assistance to landlords and building managers seeking to understand their obligations regarding accessible facilities and non-discriminatory practices. During the 12-month period from January 1, 2009 through December 31, 2009, MOPD assisted approximately 135,591 people in total. MOPD also provided technical and legal assistance in the design and construction of accessible housing to private and City architects. Building types included multiple dwellings, homeless shelters, domestic violence shelters, and associated community facilities such as day care centers, offices, and other social service facilities.

In 2009, MOPD continued to gather and maintain data regarding accessible and affordable housing. When such housing comes up for rent or sale, MOPD forwarded the information to a number of non-profit organizations with housing locator components. MOPD also provided this information to individuals who contacted the office.

In addition, MOPD is responsible for contract administration of Project Open House, a program operated with CD funds to provide accessible entrances into homes of low-income people with disabilities.

MOPD has worked with other City agencies to transmit constituent concerns and provide informal investigative assistance in housing related complaints. These complaints ranged from failure to remove barriers to public accommodations, failure to reasonably accommodate residents with disabilities, and the general accessibility provisions under a number of laws. A major and continuing complaint has been the lack of affordable housing for people with disabilities. In 2009, MOPD received approximately 57,043 housing inquiries in regards to affordable housing and housing discrimination, including calls, emails and walk-ins. MOPD will continue to expand its efforts in these areas.

Further, MOPD is a partner in the city's Affordable Housing Resource Center (AHRC), located at <http://www.nyc.gov/html/housinginfo/html/home/home.shtml>. The AHRC provides information on all aspects of City housing, including renting an apartment, buying a home, and apartment maintenance issues. This site is also the location of the City's affordable housing lottery listings.

In addition to MOPD's activities addressing the needs of people with disabilities, HPD's Office of Community Support services and Equal Opportunity reviews, evaluates and monitors housing projects with federal funding (Home, Section 17, CDBG, etc) to insure compliance with the Federal Fair Housing Amendments Act of 1988, Section 504 of the Federal Rehabilitation Act, the ADA, and the required fair housing marketing plans.

MOPD plays an ombudsman's role in relocating HPD tenants with disabilities into City owned housing. MOPD also provides an informal mechanism for discrimination complaints to resolve disputes against City owned and supervised properties.

All of the apartments developed by HPD in its new construction projects with elevators are made adaptable for people with disabilities in accessible buildings. Efforts are made to attract tenants for these apartments through marketing efforts in news papers, local fair housing offices, and MOPD.

MOPD, in partnership with the Department of Finance, handles many inquiries regarding the Disabled Rent Increase Exemption (DRIE), which exempts low income qualified people with disabilities living in rent-regulated housing from future rent increases, thereby preventing displacement or eviction in many cases. In 2009, there was an active caseload of approximately 6,943 households at the close of last year. This program received a total of 2,943 new applications in CFY 09.

### **Department of Youth and Community Development**

DYCD's Runaway and Homeless Youth (RHY) continuum of services is designed to protect runaway and homeless youth and, whenever possible, reunite them with their families. In cases where reunification is not possible, these programs help youth progress from crisis and transitional care to independent living arrangements. The New York State Office of Children and Family Services (OCFS) regulates residential services provided by youth bureaus across NYS. The New York City Charter designates DYCD as the NYC Youth Bureau.



In 2006, DYCD established a new “continuum of care” model for its runaway and homeless youth (RHY) system that included drop-in centers for each borough, revised street outreach services, specialized services for Lesbian, Gay, Bi-Sexual, Transgender and Questioning (LGBTQ) youth, pregnant and parenting youth, and sexually-exploited youth, and expanded shelter options.

In 2008, DYCD released an RFP for Runaway and Homeless Youth Services to refine the redesigned system that was created in 2006. Those refinements included adjusting drop-out center and street outreach hours of operation to reflect usage patterns, making transportation services the responsibility of all RHY service providers, and introducing a price-per-bed range for each type of shelter. Contracts resulting from the 2008 RHY Services RFP began July 1, 2009. Despite this expansion in services, Crisis Shelter beds have remained at 100% utilization for the past several fiscal years.

DYCD services include:

- Borough-based Drop-In Centers
- Crisis Shelters (regulated to serve youth under age 21)
- Transitional Independent Living (TIL) Programs (regulated to serve youth ages 16 to under 21)
- Street Outreach Services

FY2010 Program Facts:

- Budget: \$11.86M (State and City: \$5.87M, City Council \$5.99M)
- FY10 Funded Service Level:
  - Crisis Shelters – 116 beds
  - TIL – 137 beds
  - Drop-In Centers – One in each borough (5); 8,462 projected participants, with 3 additional hubs funded by City Council in Brooklyn, Upper Manhattan and the Bronx
  - Street Outreach Services – 2 programs; 8,000 projected contacts
- 36 contracts; 14 providers

Highlights:

- In December 2008, DYCD and the Department of Homeless Services launched a pilot program to provide Section 8 housing vouchers to youth exiting TIL shelters. This pilot has recently been renewed for another year, however Section 8 vouchers are temporarily suspended.
- DYCD Crisis Shelters will utilize \$333,750 in ARRA Homelessness Prevention and Rapid Re-housing Program (HPRP) funding from DHS to provide case management services to 534 young adults from December 1, 2009 to November 30, 2010.
- On October 5, 2009, Mayor Bloomberg announced the appointment of 25 civic leaders to the New York City Commission for Lesbian, Gay, Bisexual, Transgender and Questioning (LGBTQ) Runaway and Homeless Youth. The New York Women’s Foundation President and CEO Ana L. Oliveira will serve as Chair, and Department of Youth and Community Development (DYCD) Commissioner Jeanne B. Mullgrav will serve as Director. The Commission’s objective is to create a coordinated agenda for meeting the diverse needs of LGBTQ youth, who are disproportionately represented among runaway and homeless youth.
- In FY2010 (beginning July 1, 2009), City Council awarded \$5.99M for RHY services, including:
  - 69 additional Crisis Shelter beds
  - 78 additional Transitional Independent Living (TIL) beds.
  - 3 additional Drop-In Center sites.
- DYCD has helped develop additional residential capacity for RHY through our partnership with OCFS, including 10 newly NYS-certified facilities since 2006.

### **Administration for Children’s Services**

The Administration for Children’s Services (ACS or Children’s Services) provides a range of supports and services to families and young people who are aging out of foster care. Statistics indicate that children who age

out of the foster care system are at an elevated risk for homelessness. The City of New York is working to provide programs to assist such youth in obtaining suitable and permanent housing. The ACS Division of Family Permanency, which encompasses Housing, the ACS Division of the Budget and the ACS Office of Youth Development are responsible for administering various housing supports and services to our clients. ACS is also collaborating on the development of a number of innovative supportive housing programs for youth aging out of foster care. The following is a description of the housing supports and resources offered by ACS:

1. Resources for Families with Children

Family Unification Program (FUP)

In August 2002, Children's Services, in cooperation with the New York City Housing Authority (NYCHA), developed the Family Unification Priority (FUP) Code Program. Through the Family Unification Priority Code Program, ACS was able to obtain a Section 8 voucher or Public Housing apartment for any qualified family served by Children's Services, which would help keep families together when appropriate and safe, and reduce the amount of time some children may have spent in foster care.

Public Housing for Families

Children's Services, in cooperation with the New York City Housing Authority, has established priority access 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.

To qualify for this priority access, families must meet the following criteria:

- The family has at least one child currently in foster care.
- Lack of adequate housing is the sole barrier to family reunification, i.e., "but for the lack of adequate housing, the family could be reunified with the child(ren) in foster care".
- The family has a stable source of income and the total household income is within the NYCHA Admission Income Limits (Based on Gross Income).
- All household members over the age of 16 are able to pass the NYCHA Criminal Background Check.

2. Resources for Youth Aging out of Foster Care

Public Housing and Section 8 Vouchers for Youth

In cooperation with NYCHA, ACS developed a program to secure Section 8 vouchers for young adults leaving foster care who have a goal of APPLA, (formerly known as Independent Living). To qualify, a youth has to meet the income eligibility criteria (earning less than \$26,900 gross/year for a household of 1 person), as well as other NYCHA requirement. Youth aging out of foster care continue to have priority code access to Public Housing. To qualify for this program, youths must meet the following criteria:

1. ACS Status

At least 18 years of age and in care with an anticipated discharge date within the next 6 months; and, with income that is within the NYCHA Admission Income Limits (\$43,000/yr for one person; \$49,150/year for 2 persons).

2. Has no discharge resource.
3. Either employed, in school, or in a training program.
4. If not employed, has another stable source of income.

5. Able to pass the NYCHA Criminal Background Check; not all crimes are disqualifiers.
6. No drug use in the past 3 years unless able to submit proof of satisfactory completion of drug treatment.

In cooperation with NYCHA, Children's Services developed a program to secure Section 8 vouchers for young adults leaving foster care who have a goal of APPLA (Another Planned Permanent Living Arrangement formerly referred to as Independent Living ('03')). To qualify, a youth has to meet the income eligibility criteria (earning less than \$26,900 gross/year for a household of 1 person), as well as other Section 8 requirements. Each youth also has to meet one of the following programmatic criteria:

- (2) The client must be at least 18 years of age and in care with a goal of "03" with an anticipated trial discharge date within the next 12 months; or

ACS certifies families and young adults that meet these requirements. In 2009, 170 youth moved into Public Housing apartments and 175 moved into their own apartments with a Section 8 voucher. 54 families moved into Public Housing apartments and 58 families moved into their own apartments with a Section 8 voucher. The total amount of APPLA referrals made from ACS for 2009 was 583 for Public Housing and 624 for Section 8; 317 Public Housing family referrals were made and 337 Section 8.

#### Development of Supportive Housing for Youth Aging Out of Foster Care and Families with Foster Care and Preventive Histories

ACS strives to ensure that youth leaving the foster care system have a stable place to live and a meaningful connection to an adult in the community. Youth are also actively involved in education and/or employment plans at the time of their discharge. To better serve our youth, Children's Services 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, Children's Services is helping young people develop the tools and skills necessary to avoid homelessness as adults.

In addition, Children's Services, in cooperation with a variety of private not-for-profit housing developers, continues to support the development of supportive housing for the children and families in our care.

- Operated by the Lantern Group, Schaefer Hall has 25 studio apartments for IL youth aged 18-23 in a facility with a total of 91 units. Supportive services include case management, employment and educational resources, entitlements assistance/advocacy, social and recreational activities, medical and mental health referrals, substance abuse counseling, independent living skills training, support and informational groups, health and nutritional counseling, and consistent emotional support.
- Developed by the Edwin Gould Academy, the Edwin Gould Residence provides 51 apartments (studios and one-bedrooms) for IL youths aged 18-22 upon intake. Supportive services include individual and family counseling, peer support groups, social service information and referrals, educational and vocational placement, career counseling, employment and job training referrals, tutoring and mentoring, business training, medical and mental health services and referrals, substance abuse counseling and referrals, and post-Residence housing assistance. The populations served include homeless youth, former foster care youth, and juvenile justice system placements.

- Community League of the Heights (CLOTH) is a community-based housing provider that has program components designed specifically for alumni of foster care. Community Access Network (CAN) provides the services component for the youth residing in these building through this program. Services provided include assisting tenants with entitlements and budgeting, counseling, referrals to schooling and job training, crisis intervention, referrals to medical, substance abuse, and psychiatric care, and household and wellness self-management.
- Independence Starts At Home (ISAH) is a Local Initiative Support Corporation (LISC) Pilot Program. ISAH is a collaboration among LISC, selected Community Development Corporations (CDCs), and Children's Services that placed youth transitioning from foster care into quality, permanent housing with on-site supports for the youth. The apartments are largely studio and one bedroom apartments located in West Harlem neighborhoods in Manhattan and Bedford-Stuyvesant in Brooklyn.
- On February 16th 2007 New York City and New York State entered into the New York/New York III Supportive Housing Agreement. This landmark agreement calls for the development of 3,850 units of supportive housing, including 300 units for youth of which 200 are specifically for young people aging out of foster care.

### 3. Resources Targeted for Families and Youth

#### Housing Subsidy Program for Youth and Families

ACS also operates a Housing Subsidy Program that targets certain families, as well as youth ages 18-21 who are being discharged from foster care to Independent Living. Families are eligible when a primary barrier to reunification is lack of adequate housing or when they are receiving Children's Services preventive services and the lack of adequate housing is a primary factor putting their children at risk of placement into care. Once deemed eligible, up to \$300 is available per month per client for up to three years to assist with paying rent or mortgage. The subsidy is subject to a lifetime cap of \$10,800 for each youth or family that participates in the program. The subsidy payments are made directly to the landlord to prevent any interference with public assistance grants.

There are two other components of the program that provide extra support to our clients. One-time grants of up to \$1,800 are available to assist with expenses associated with obtaining a new apartment, such as a security deposit, broker's fees, furniture, mover's fee, extermination, and essential repairs. Separate one-time grants can also cover up to \$1,800 in rental arrears. However, these one-time grants are counted against the lifetime cap of \$10,800.

#### Preparing Youth for Adulthood, ACS Strategy to Support Youth in and transitioning from Foster Care

Preparing Youth for Adulthood or PYA is Children's Services' comprehensive strategy to support youth in foster care and as they transition to adulthood promotes the following principles:

- Youth will have permanent connection with caring adults
- Youth will reside in stable living situations
- Youth will have opportunities to advance their education and personal development
- Youth will be encouraged to take increasing responsibility for their work and life decisions, and their positive decisions are reinforced
- Young people's individual needs will be met
- Youth will have ongoing support after they age out of foster care.

Preparing Youth for Adulthood emanates from a strength-based, youth development philosophy that encourages youth participation in decision-making and planning for their own future and goals. In support of this philosophy, Children's Services has established the Office of Youth Development, who works with its contractors and other stakeholders to uphold PYA principles through cultivating high practice standards,

identifying resources to support in the implementation of this practice and to support in the execution and monitoring of this work. To facilitate this, OYD offers technical assistance, training supportive programming and a host of other services to these stakeholders to ensure positive outcomes for youth in foster care.

## **Office to Combat Domestic Violence**

### 1. Citywide Coordination of Services

In November 2001, New York City residents voted to amend the City Charter to establish a permanent office that would comprehensively address issues of domestic violence. Mayor Michael R. Bloomberg appointed Yolanda B. Jimenez as the first commissioner to head the new office, which is one of only a few municipal government offices in the United States focused solely on the issue of domestic violence.

The Mayor's Office to Combat Domestic Violence ("OCDV") formulates policies and programs, monitors the citywide delivery of domestic violence services and works with diverse communities to increase awareness of domestic violence. OCDV works closely with community leaders, healthcare providers, City agencies and representatives from the criminal justice system to hold batterers accountable and to create solutions that are critical to preventing domestic violence in New York City.

A description of domestic violence initiatives by OCDV and the City agencies it oversees are listed below.

#### **Domestic Violence Fatality Review Committee**

The Domestic Violence Fatality Review Committee ("FRC") examines information related to domestic violence fatalities in the City and develops recommendations regarding services for the victims. Based on findings from its third annual report, the FRC developed a plan for a community needs assessment in Districts 4, 5, 6, 7 and 9 of the Bronx. The assessment, scheduled to be completed by June 2010, will assist in formulating outreach to increase community knowledge about family-related violence and available resources.

#### **New York City Family Justice Center Initiative**

The New York City Family Justice Center Initiative is an initiative of OCDV in partnership with the District Attorney's Offices. The Centers are located in Brooklyn and Queens, with a third under development in the Bronx. With public and private funding, these innovative Centers help domestic violence victims break the cycle of violence by streamlining the process of receiving supportive services. Clients receive their choices of services that are made available in their language, while their children play in the next room. Since opening in July 2005 through December 2009, the New York City Family Justice Center in Brooklyn has served 28,451 new clients seeking domestic violence services and 5,344 children made use of the Center's Children's Room, Margaret's Place. There have been 58,603 adult client visits to the Center since it opened. Since opening in July 2008 through December 2009, the New York City Family Justice Center in Queens has served 5,349 new clients seeking domestic violence services and 1,184 children were supervised in the Center's Children's Room. There have been 12,654 client visits to the Center since it opened.

#### **Early Victim Engagement (EVE) Project**

In April 2008, the New York City Family Justice Center in Brooklyn launched the Early Victim Engagement (EVE) Project in collaboration with the Kings County District Attorney's Office, two nonprofit organizations and three government agencies. The EVE Project is funded by the U.S. Department of Justice, Office on Violence Against Women. The goal of the EVE Project is to have effective, early engagement with domestic violence victims whose abusive partners have had police contact in order to provide them with access to timely, reliable information about the criminal justice system in their language and allow them to make informed decisions about their safety. In 2009, over 9,700 domestic violence victims were assisted.

#### **Domestic Violence Prevention**

In 2005, OCDV established the NYC Healthy Relationship Training Academy in partnership with the Department of Youth and Community Development ("DYCD") and the Avon Foundation through the Mayor's

Fund to Advance New York City. The Academy offers educational workshops and training sessions on topics concerning domestic violence for young people ages 11 to 24 of especially vulnerable populations, their parents and organizational staff. Since its inception in 2005 through December 2009, the Academy reached 11,561 young people through 596 peer education workshops. These have proven to be highly successful based on data from pre- and post-workshop questionnaires.

## 2. Homelessness Prevention

Fleeing violence in the home can lead to homelessness for victims and their children. OCDV coordinates a wide range of programs and initiatives that aim to prevent domestic violence and provide safety and services to victims.

### Public Education

Public education is a critical component of OCDV's strategy to reduce domestic violence and prevent homelessness in New York City. Effective public education helps to reduce the number of people who become victims and refers those who are victims to appropriate services.

#### Public Awareness

The OCDV website, [www.nyc.gov/domesticviolence](http://www.nyc.gov/domesticviolence), serves as the only citywide clearinghouse for comprehensive domestic violence information. In July 2008, Mayor Bloomberg signed Executive Order (EO) 120, creating a centralized language access policy for New York City. In 2009, as part of OCDV's Language Access Plan, content on OCDV's website was reviewed and translated into Arabic, Bengali, Chinese, Haitian-Creole, Korean, Russian and Spanish.

#### OCDV and the Verizon Wireless HopeLine® Program

OCDV continues to collaborate with Verizon Wireless' HopeLine in urging all New York City residents to help survivors of domestic violence by donating their no-longer-used wireless devices.

#### October Domestic Violence Month

Since the fall of 2002, OCDV has collated information regarding domestic violence-related activities being hosted in the City each October in honor of Domestic Violence Awareness Month. These activities are organized into a useful resource calendar which is widely distributed and posted on the OCDV website.

Additionally, in October 2009, the Mayor sent materials to all City employees (over 338,000 individuals) with important information about domestic violence. The newsletter provided useful information about ways City employees can combat domestic violence, while offering supportive services to those experiencing abuse.

#### New York City Housing Authority (NYCHA)

NYCHA holds conferences on domestic violence annually, primarily for NYCHA residents to increase sensitivity on the issues surrounding domestic violence and to provide information on the issue. This year's conference theme was "A Community Response to Domestic Violence". Two conference sessions were held this year: one, on Saturday, October 24, 2009 and the other, on Thursday, December 3, 2009. Both sessions focused on the role that men play in this issue, and how they must be held accountable by their neighbors and colleagues. In total, a 140 Resident Leaders attended. Resident Leaders obtained much needed information on the impact of domestic violence through workshops and a multi-disciplinary panel of experts in the field of domestic violence.

#### Human Resources Administration's Teen Relationship Abuse Prevention Program (RAPP)

This school-based program is one of the most comprehensive domestic violence prevention programs in New York City, and is critical to ending relationship abuse among young people. Through a

comprehensive curriculum, students learn to recognize and change destructive patterns of behavior before they are transferred to adult relationships. The program is now serving 62 schools citywide.

Peer education is an important component of the RAPP program. One of the goals of the RAPP program is to promote active student involvement as peer partners, peer educators and mentors. During the summer of 2009, approximately 200 students participated.

## Training

Agency personnel and other service providers must be well-trained in order to effectively deliver programs and initiatives that have an impact on reducing domestic violence. This is especially true of frontline workers who directly assist victims and are regularly called upon to provide clear, accurate and often culturally appropriate information and assistance.

### The Administration for Children's Services Domestic Violence Screening and Assessment Tools and Training

ACS has enhanced the domestic violence screening and assessment tools for child protective staff, developed and implemented updated domestic violence training programs for new and experienced staff (both child protective staff and attorneys), and continues to provide ongoing training and technical assistance to community based preventive service programs throughout the city. These efforts are crucial because a substantial overlap exists between domestic violence and child abuse and neglect, and many victims of domestic violence come into contact with child welfare service providers before they are ready to seek assistance from domestic violence service providers or the criminal justice system. The implementation of new domestic violence screening and assessment tools and related ongoing trainings has improved the ability of child protective specialists and preventive program staff to assess and respond to child safety issues while providing victims of domestic violence with necessary safety planning assistance and referrals to appropriate community resources.

### New York City Elder Abuse Network

The New York City Department for the Aging (DFTA) established the New York City Elder Abuse Network in 2006. The Network was formed by a nucleus of agencies who indicated a strong desire to expand and strengthen their activities in the area of elder abuse. The Network has a broad membership of over 50 agencies, including law enforcement personnel, district attorneys, city agencies, academic institutions, nonprofit providers of victim services as well as support services to the elderly, financial service providers, and other interested community professionals. The Network's focus for this coming year will be in the following areas: 1) developing a speaker bureau; 2) coordinating providers serving elder abuse victims; 3) exploring services for diverse populations including immigrants and people with disabilities; and 4) advocacy. DFTA provides ongoing administrative support to the Network.

### Intimate Partner Violence Public Health Detailing Campaign

In February 2009, the Department of Health and Mental Hygiene launched an 11-week campaign on intimate partner violence prevention, reaching out to primary care providers in its District Public Health Office neighborhoods. The campaign used strategies to facilitate provider communication around intimate partner violence, including ways to screen and make referrals. Provider resources and patient educational materials from the campaign's kit are still available online at: <http://www.nyc.gov/html/doh/html/csi/csi-ipv.shtml>.

### Intimate Partner Violence Report and Annual Data Updates

In 2008, the the Department of Health and Mental Hygiene released a comprehensive report chronicling the tragic and persistent problem of intimate partner violence. Data from city hospitals, medical examiner records and surveys are analyzed and updated annually. The report is available at <http://nyc.gov/html/doh/downloads/pdf/public/ipv-08.pdf>. A presentation summarizing the most recent

health department data on female homicides is available at <http://www.nyc.gov/html/doh/downloads/ppt/ip/ip-femicide-stats-1995-2007.pps>

#### Department of Homeless Services

From 2008 through 2009, the OCDV partnered with the Department of Homeless Services (DHS) to train homeless population shelter staff on domestic violence awareness and service referrals. To date, more than 600 shelter staff have participated in the training program.

#### Intervention and Outreach

A number of domestic violence programs and initiatives operated by City agencies are designed to intervene in the lives of victims before they become homeless and involve outreach to victims and their families. Outreach and services are provided to victims through the City's Domestic Violence Hotline; criminal justice services; social services, including health and human services; and alternatives to shelter.

#### New York City Domestic Violence Hotline

Domestic violence services offered in the City can be accessed through the City's toll-free Domestic Violence Hotline which operates 24-hours, seven days a week and provides interpretation services in more than 150 languages and dialects. During the 2009 calendar year, the Hotline answered 140,985 calls, averaging 380 calls per day.

#### NYC Teen Mindspace – Outreach to teens about multiple mental health issues, including dating violence

In the summer of 2009, the Health Department re-launched its online campaign to engage teenagers grappling with depression, drugs and dating violence, in order to encourage them to seek help. *NYC Teen Mindspace* responds to these issues with interactive features that raise awareness and combat stigma by helping teens identify with peers and prompting them to seek help. By sending a confidential message to a mental health counselor from LifeNet, teens can get help and referrals to treatment. To see the campaign, visit [www.myspace.com/nycteen\\_mindspace](http://www.myspace.com/nycteen_mindspace).

#### Criminal Justice Services

Fear for personal safety is a major reason that victims leave their homes and OCDV has made the effective delivery of criminal justice services a critical element of its strategy to reduce domestic violence. Criminal justice personnel respond to calls for help, make arrests, provide referrals and follow-up visits to victims and are responsible for incarcerating and monitoring batterers.

#### New York City Police Department (NYPD) Domestic Violence Unit

The NYPD Domestic Violence Unit coordinates the Department's overall domestic violence strategy, including the training of officers. There are over 380 Domestic Violence Prevention Officers, Domestic Violence Investigators and Domestic Violence Sergeants in the City's 76 police precincts and 9 Housing Police Service Areas. In 2009, the Domestic Violence Unit continued to train Domestic Violence Officers and Investigators, Training Sergeants, newly-promoted Detectives, Sergeants, Lieutenants, Captains, newly-assigned recruits and members of the public and private organizations.

#### New York City Police Department Intervention Programs

The Department has many initiatives aimed at prevention, intervention, and outreach, including a Domestic Violence High Propensity List, which targets households with a demonstrated tendency toward domestic violence, and the Domestic Violence Contact and Home Visit Program, where Domestic Violence Prevention Officers visit residences where domestic violence incidents have been reported (commonly referred to as "home visits").



#### New York City Police Department Domestic Violence Police Program (DVPP)

The NYPD Domestic Violence Police Program (DVPP) unites case managers from Safe Horizon with police officers, who together provide social services and law enforcement interventions to families reporting domestic violence to the police. Clients are identified through police reports and the teams offer help through letters, calls and follow-up investigations in the home. DVPP takes place in six Precincts and five Police Service Areas. Six precincts in the program are funded by the U.S. Department of Justice, Office on Violence Against Women and the New York City Housing Authority provides funding for the seven Public Service Areas. The 120<sup>th</sup> Precinct is funded by City tax levy money through the Criminal Justice Coordinator's Office.

Safe Horizon, a nonprofit social service agency, provides case managers in all of the precincts and police service areas participating in the program.

#### Domestic Violence Intervention and Education Program (DVIEP)

DVIEP combines non-profit Safe Horizon counselors with police officers who jointly contact and counsel New York City Housing Authority families where there has been a report of domestic violence. During 2008, 10,886 cases were received, 2,223 domestic violence arrests were made, there were 177 police sensitivity training sessions, and 76 community education seminars were conducted. (This program was transitioned to HRA as of January 2009.)

#### New York City Housing Authority's Witness Relocation Program

Through the Witness Relocation Program, District Attorneys, US Attorneys, or other appropriate law enforcement agencies refer intimidated witnesses who are applying for public housing or Section 8 assistance. During 2009, 244 cases were received and reviewed by the unit, of which 209 were deemed to have met the Intimidated Witness criteria and were forwarded to NYCHA's Department of Housing Applications for processing.

### Social Services

The City provides a number of health and human services to meet the immediate needs of victims and help them avoid homelessness. OCDV is committed to having these services delivered in a coordinated manner.

#### The Administration for Children's Services Domestic Violence Policy and Planning Unit

The Domestic Violence Policy and Planning (DVPP) Unit works to inform ACS delivery of services and practice so that families and children who are involved in the child welfare system and are affected by domestic violence are identified and receive the services they need. DVPP supports capacity building and adherence to best practice, and achieves its goals through consultation, training, interagency collaboration and community outreach. The unit conducts strategic planning related to domestic violence and the child welfare system; directs policy development; formulates practice guidelines and protocols; and collaborates internally and externally on developing domestic violence policies, practices and recommendations. The unit is also responsible for the development and implementation of the agency's domestic violence training strategy, the delivery of these trainings, and supporting 15 domestic violence clinical consultation specialists, and their adequate support in the field on certain high-risk cases.

ACS also oversees two initiatives currently administered through CONNECT (formerly the Urban Justice Center): the Family Violence Prevention Project (FVPP) and the Community Empowerment Project. Both of these programs provide on-going training and technical assistance to preventive and foster care agencies as well as community based programs throughout the city.

These efforts are crucial because a substantial overlap exists between domestic violence and child abuse and neglect, and many survivors of domestic violence come into contact with child welfare service providers before they are ready to seek assistance from domestic violence service providers or the

criminal justice system. The implementation of domestic violence screening and assessment tools and related on-going training has improved the ability of child protective specialists and preventive program staff to assess and respond to child safety issues, while providing survivors of domestic violence with necessary safety planning assistance and referrals to appropriate community resources.

#### The Administration for Children's Services Clinical Consultation Program

In 2002, ACS launched the Clinical Consultation Program, which placed 12 domestic violence consultants in the Children's Services child protective field offices throughout the city. The program has since grown to include 15 domestic violence consultants. These consultants work as part of a multidisciplinary team that also includes mental health and substance abuse specialists and a team coordinator and a Medical Services Consultant. The domestic violence consultants, with other team members when needed, provide case specific consultation, office based training, and assistance with referrals for community based resources. Consultations are available to caseworkers, supervisors, and managers to help assess the client for the presence of domestic violence and plan appropriately. In addition, consultants may attend case conferences or have direct contact with clients to provide a more informed consultation and model intervention strategies. Specific office based trainings related to domestic violence and informed by best practices are developed depending on the training needs of a location. Lastly, the domestic violence consultants identify and develop connections to domestic violence related neighborhood based resources to facilitate referrals. During calendar year 2009, domestic violence experts conducted over 6,000 (domestic violence only); about 5,000 (domestic violence and substance abuse); a minimum of 1,000 (domestic violence and mental health); at least 500 (domestic violence/mental health/substance abuse); from 60-100 (domestic violence/mental health/medical services/substance abuse); 20-30 (domestic violence and medical services); 10-20 (domestic violence/medical services/mental health) consultations on domestic violence cases and conducted over 200 office based training sessions, as well as about 100 cross-disciplinary training sessions. These estimates represent the fact that the total number of consults exceeds the documented number of formal consults. There are many more instances when the Domestic Violence Consultants are approached with questions that are characterized as informal consults. The consultations included instances when domestic violence was the single issue; and cross consults when there were overlapping issues of substance abuse and mental health. Similarly, the office-based training activities included the singular topic of domestic violence, and other instances of cross-cutting topics that focused on domestic violence in combination with substance abuse and mental health. This is an aspect of how domestic violence consultation has evolved to increase awareness of the interconnection with other issues that impact children and family functioning. A further enhancement of efforts to address domestic violence has been the collaboration of the Domestic Violence Consultants with the agency's Investigative Consultants and Family Court Legal Services. A continuing aspect of the Clinical Consultation Program's development has been its close relationship with the Domestic Violence Policy and Planning Unit within the Office of Child and Family Health under Family Support Services. These partnerships and linkages have resulted in even more capacity building that helps to strengthen the agency's response.

#### Project H.E.A.L. (Health Emergency Assistance Link)

Project H.E.A.L. is a comprehensive plan to improve the services provided to domestic violence victims at all 11 City public hospitals and is a partnership of OCDV and the New York City Health and Hospitals Corporation (HHC). It enhances the ability of City hospitals to identify victims, document their injuries and connect them with social and legal services. Over 2000 patients per year participate in the program.

#### Health and Hospitals Corporation: Domestic Violence Coordinators and Programs

At HHC, Domestic Violence Coordinators provide violence prevention services twenty-four hours a day. These services address encompasses health care with major attention to the victim's psychosocial and cultural needs. Such services may also require collaboration and coordination with external agencies to ensure continuum of care and with NYPD Domestic Violence Prevention Officers and the

District Attorneys' Offices at their local police precincts to provide for the safety of the victims. In addition, the Domestic Violence Program continues in partnership with Verizon Wireless to provide high risk patients with pre-paid cell phones.

HHC's acute care hospitals provide for a range of domestic violence services that includes mandatory in-service training of all staff on hire, education and training for clinical staff and prevention activities for patients as well as employees. Other services include the creation of linkages between patient support groups and domestic violence services; the provision of information and assistance to victims requiring assistance with housing; the development of an easy referral system with the New York City Family Justice Centers in Brooklyn and Queens for clients that need medical attention; continuing education domestic violence training sessions for health care providers; the creation a peer advocacy program and application for grant funding (when available) to enhance domestic violence services such as group counseling, therapy and advocacy.

#### Health and Hospitals Corporation: Domestic Violence Data Base System

The Domestic Violence Data Base is an electronic database available on HHC's intranet. The database replaces the Domestic Violence Tracking form that was developed in 2000 with the collaboration of the DOHMH to track domestic violence cases seen at HHC. In 2009, over 1700 domestic/intimate partner violence cases were entered in the database.

#### Health and Hospitals Corporation: Training and Screening for Domestic Violence

All newly hired staff members are given an in-service on domestic violence when they have their first mandatory training and every year thereafter. Additionally, newly hired nurses are trained on the identification, treatment and referral of domestic violence patients on a monthly basis. HHC's protocol requires that the Emergency Department and Ambulatory Care Clinic staff screen all females ages 16 and above (and individuals who meet high risk criteria) for domestic and/or intimate partner violence. Each patient receives a comprehensive domestic violence packet outlining domestic violence services each borough has to offer.

HHC continues to utilize the "*Clinician Guide for Identifying, Treating and Preventing Family Violence*" that serves as a practical reference to clinical staff in the prevention, identification, treatment and management of family violence in all settings. Several copies of this book have been requested and distributed to many social service agencies across the City.

#### Human Resources Administration (HRA) Domestic Violence Liaison Unit

HRA created a Domestic Violence Liaison (DVL) Unit in 1998 as a result of the Federal Family Violence Option, part of welfare reform legislation. During 2009, the domestic violence liaisons granted a monthly average of 306 employment waivers to families affected by domestic violence.

#### Human Resources Administration Project NOVA (No Violence Again)

HRA addresses the needs of domestic violence victims seeking emergency housing from the Department of Homeless Services. During 2009, approximately 10,360 cases were referred to NOVA for assessment to determine eligibility for domestic violence services. Of these referrals, approximately 9,642 were determined to be eligible for services based on an assessment of the client's safety.

#### Human Resources Administration Non-residential Domestic Violence Programs

HRA contracts with community based organizations to provide non-residential domestic violence programs. These programs maintain hotlines, provide crisis intervention, counseling, referrals for supportive services, advocacy and community outreach in all five boroughs. During 2009, a monthly average of 3,225 clients were served through non-residential programs and 1,046 clients received legal services in addition to the core services.

### NYCHA's Domestic Violence Aftercare Program

The program provides intensive home-based social services to victims of domestic violence who have been approved for an Emergency Transfer. Services include counseling, advocacy, and referrals for job training and GED classes. During 2009, 407 new cases were opened and 350 face-to-face contacts with new and existing clients were conducted, including 166 home visits, and the successful transfer of 163 residents.

### Supportive Outreach Services (SOS)

Supportive Outreach Services assists residents in improving their social functioning. Staff conduct needs assessments, design treatment plans, make referrals for direct social services and coordinate service utilization. 6,752 referrals were received during 2009.

The Furniture Distribution Program is a component of SOS that 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. During 2009, approximately 123 families were assisted through the program.

## Alternatives to Shelter

### Human Resources Administration Alternative to Shelter Program (ATS)

The program gives domestic violence victims and their children the option of remaining safely in their own homes through the provision of state-of-the-art security technology and a coordinated response. This approach emphasizes keeping the abusers out of victims' homes. In 2009, ATS served an average of 90 clients per month.

## Housing and Supportive Housing

Domestic violence victims who are seeking emergency shelter are referred through the citywide domestic violence hotline to emergency shelter services.

### Temporary Housing and Emergency Shelter

Domestic violence victims who are seeking emergency shelter are referred through the citywide domestic violence hotline to emergency shelter services.

The Office of Domestic Violence Services of the Human Resources Administration (HRA) administers 51 state licensed emergency domestic violence shelters, including one directly operated by HRA. Domestic violence victims are provided with a safe environment and a range of support services, including counseling, advocacy, and referral services. During 2009, the emergency shelter capacity increased to 2,088 beds. During 2009, 3,601 families entered the domestic violence shelter system. HRA administers seven transitional housing shelters (Tier II) shelters with a capacity of 253 units.

In City Fiscal Year 2009 (which began July 1, 2008), HRA allocated approximately \$79.2 million for the Office of Domestic Violence Services, which is a unit of the Office of Domestic Violence and Emergency Intervention Services. These funds come from three funding sources: approximately 28 percent is City Tax Levy, 25 percent comes from the State of New York and 48 percent are from Federal funds.

## New Permanent Housing

### New York City Housing Authority's Emergency Transfer Program

This program is available to NYCHA residents who are victims of domestic violence, intimidated victims, intimidated witnesses, or child sexual victims, which provides a confidential transfer to another development. During 2009, 1,976 emergency transfer requests were received; 842 cases were approved for transfer.