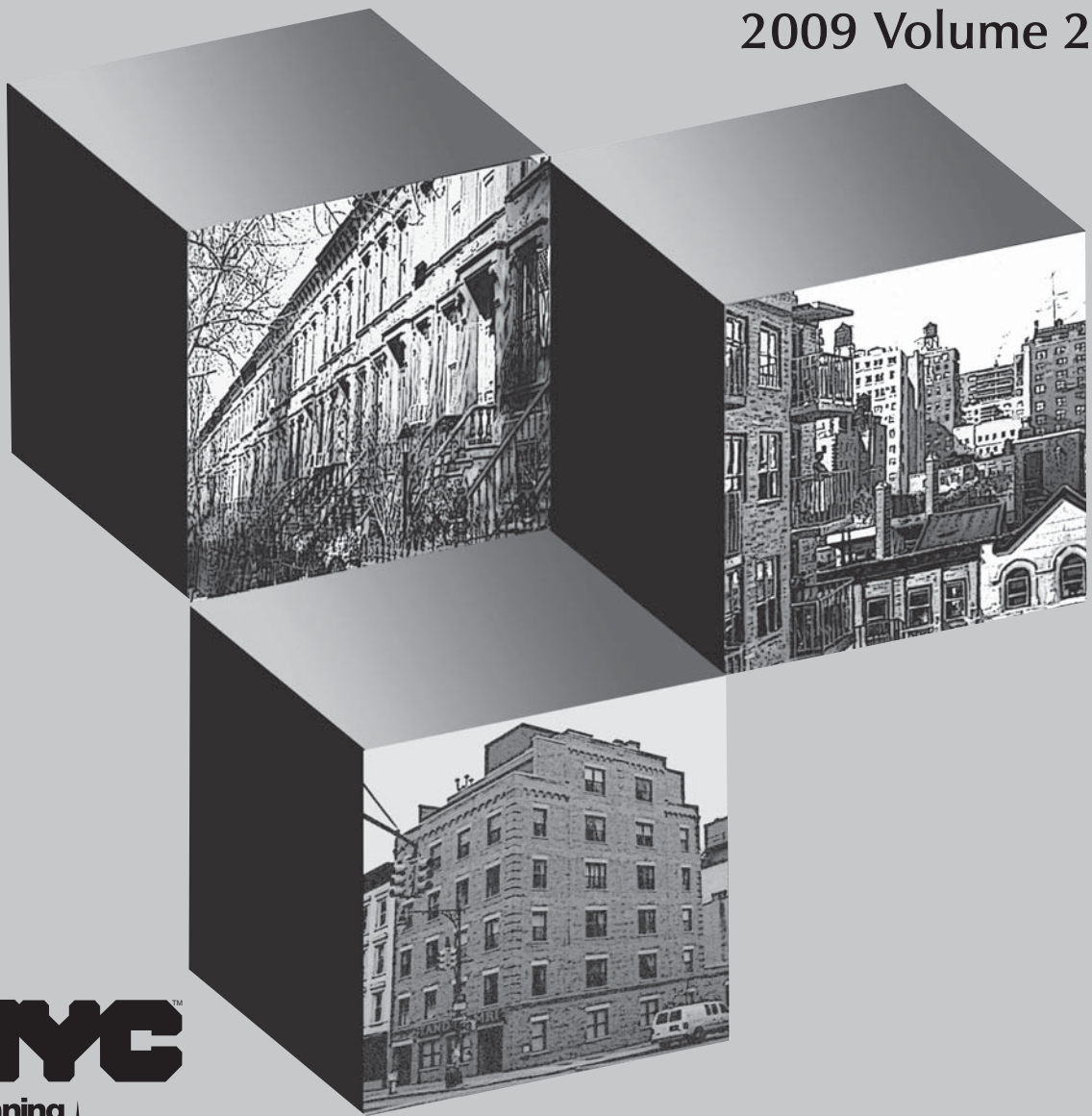


# Consolidated Plan

2009 Volume 2



**NYC**<sup>™</sup>  
Planning



Department of City Planning / City of New York

*Effective as of December 22, 2008*

# Consolidated Plan

Volume 2



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# 2009 CONSOLIDATED PLAN

December 22, 2008

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## **D. Supportive Housing Continuum of Care for the Homeless and Other Special Needs Populations**

This Supportive Housing Continuum of Care section will address the supportive housing services the City of New York currently undertakes and will continue to undertake during the next year for homeless families and individuals, and non-homeless special needs populations including the elderly, persons with a disability (mental, physical, and/or developmental), persons with a chemical addiction, and persons and families which include persons with HIV/AIDS and victims of domestic violence. This Continuum of Care also addresses homeless prevention/diversion programs for populations at risk of becoming homeless, including the precariously housed, such as those facing eviction, and very low-income households experiencing rent burden, individuals facing de-institutionalization and relocated families.

The Continuum of Care for the homeless: addresses the multiple needs of homeless individuals and families, works to prevent low-income individuals and families with and without children from becoming homeless, and helps homeless persons make the transition to permanent housing and independent living. The Homeless Continuum of Care components include: outreach, prevention and diversion services; assessment programs; transitional housing programs which include educational services; vocational training; health, mental health services, and substance abuse components; and permanent housing programs. To ensure that people can move successfully through this continuum of care, services are flexible and client-based, and clients are expected to be full participants in programs to help them become independent.

This Continuum of Care recognizes that homelessness is not an isolated problem and that housing is not the single solution. Homeless families with children present different problems and face different challenges than homeless single adults. While some of the homeless are able to attain self-sufficiency with very little help, others require a more extensive array of services to deal with their individual obstacles to independent living. A majority of emergency shelter and transitional housing facilities for homeless single adults offer some of the following services: employment training, educational counseling and services, mental health rehabilitation, specialized services for veterans, substance abuse treatment, intensive counseling and case management and other transitional services aimed at assisting residents to return to independent living in the community. Facilities housing homeless families with children provide some of the same services, such as employment training, education programs, substance abuse prevention, education and referrals and intensive counseling and case management.

ESG funds, along with other federal, state and city funds, help to support a variety of programs that are components of the continuum of care. Programs for the homeless funded with ESG dollars include homelessness prevention; as well as services to the homeless including outreach programs; reception centers; interim housing; adult assessment centers and transitional housing, and employment, mental health and substance abuse programs.

The Supportive Housing Continuum of Care for Special Needs Populations describes the services for the non-homeless mentally-ill, mentally retarded and the chemically dependent; persons with HIV/AIDS; victims of domestic violence; the elderly and frail elderly; and persons with physical disabilities. Programs for NYCHA residents with special needs are discussed in detail in the NYCHA Resident Initiatives subsection. In addition to the details provided in the Resident Initiatives section, NYCHA contributes to the City's Supportive Housing Continuum of Care in many ways, throughout this chapter NYCHA programs are referenced, as can be seen in the Homeless and the Domestic

Violence subsections below. In addition, Part II., Section C., describes NYCHA programs for special needs groups such as the homeless, the elderly, the disabled, those persons who are chemically dependent, and others.

## **1. Supportive Housing Continuum of Care for the Homeless**

### History of the Continuum of Care Supportive Housing Continuum of Care for the Homeless

In the late 1970's and the 1980's, the shelter system provided few services to assist homeless families and single adults attain independence and move on to a permanent living situation. The system, originally designed as a safety net of last resort had become a routine means of attempting to aid the needy, and the strain was evident. Indeed, of the average 84 families that entered the system per day, nearly one-half could not be referred to temporary housing within 24 hours. It became commonplace for individuals and families to remain in the system for extended periods of time and in some cases years. Yet, because it was designed for emergency purposes, the system did not provide housing, but offered mainly hotels and congregate arrangements. In short, the system attempted to impose only emergency and temporary solutions, no matter how lasting the problems. This system tended to promote dependency, and made it incredibly difficult for individuals and families to regain independence. In response to this growing problem, the New York City Commission on Homelessness was formed and, in 1992, it published the results of its findings in "The Way Home Report."

The report indicated that the existing approach to homelessness was flawed because it failed to adequately consider other conditions like substance abuse and mental illness, that evidence indicated were often co-morbid characteristics accompanying homelessness. The evidence included in the report indicated that 42% of women and 18% of men reported that they had received treatment for mental or emotional problems, 51% of those surveyed had been in jail or prison at some time, 31% of the women had been physically or sexually abused as a child, 45% by a partner, and 6% tested positive for illegal substances. This data strongly indicated that many homeless people were in need of assistance beyond temporary housing to attain and/or maintain independence; as a result, the Commission recommended a more comprehensive approach to combating homelessness.

As a result of the Commission's recommendations, the responsibility for overseeing the provision of homeless services was transferred from the City's Social Services agency, the Human Resources Administration (HRA), to the newly established Department of Homeless Services (DHS), in the summer of 1993. In May 1994, DHS presented a plan for the delivery of services to homeless people, and the further development of the continuum of care, in a report entitled "Reforming New York City's System of Homeless Services". The report contained a plan to transform New York City's shelter system into the comprehensive system of services that had been recommended by the aforementioned New York City Commission on the Homeless, and supported by the New York City Council's Legislative Commission on the Homeless.

But as vast resources and energy had been focused on creating and maintaining this extensive shelter network, the discussion around how best to address homelessness was primarily a discussion about the provision of shelter, rather than long-term solutions.

As a result of these factors and a persistent and significant affordable housing crisis, the number of people in shelter continued to exist at extremely high levels. During this time, the City's primary approach to the varying types of housing instability – i.e., potential eviction, household tension, medical emergency or falling behind on rent – was shelter. Despite the fact that the shelter system was designed specifically to protect people from the streets, shelter had become the de facto institutionalized response to wide-ranging needs – many of which could be better addressed with nuanced and more flexible interventions that help people stabilize housing, retain community ties, or transition successfully from institutional or custodial settings to community housing.

Ensuring access to shelter for those in need remains a core value today. A "shelter first" response to any and every need or housing crisis, however, will continue homelessness as we know it and drive up costs and shelter



usage, while diverting attention away from prevention, supportive housing, and other community-based interventions that solve homelessness.

Subsequently, a specific area that the Department of Homeless Services needed to examine was the Emergency Assistance Unit (EAU) which was the entry point for families with children. At the EAU, DHS would process shelter applications, conduct eligibility determinations, and place families in shelter facilities. Issues related to this shelter application process, eligibility, and placement for homeless families with children, have been the cause of contention for the past twenty years.

On January 17, 2003, under the leadership of Mayor Michael Bloomberg, an historic agreement was reached among The Legal Aid Society, the City of New York and the New York City Department of Homeless Services. The Agreement established the Family Homelessness Special Master Panel and charged it with a mandate to evaluate the functioning of various aspects of the shelter system for homeless families with children. In November 2003, the Special Master Panel issued its Family Homelessness Prevention Report and in February 2004, the Panel also completed a Review of the Legal Framework of the Homeless Shelter System.

Since November 2003, Mayor Bloomberg has convened with a group of public, private, and nonprofit leaders to develop a then 10-year, multi-sector strategy to address these concerns and strengthen the City's response to New Yorkers who are most in need. A 41-member coordinating committee, as well as hundreds of task force participants and experts convened to develop the following nine-point strategy. As Mayor Bloomberg introduced this City strategic plan, he then charged his administration to achieve these innovative plans in five years as opposed to the original ten-year goal. This strategic plan aims to:

1. Overcome street homelessness
2. Prevent homelessness
3. Coordinate discharge planning
4. Coordinate city services and benefits
5. Minimize disruptions to families whose homelessness cannot be prevented
6. Minimize duration of homelessness
7. Shift resources into preferred solutions
8. Provide resources for vulnerable populations to access and afford housing
9. Measure progress, evaluate success, and invest in continuous improvement

On June 23, 2004, Mayor Bloomberg presented – *Uniting For Solutions Beyond Shelter – The Action Plan For New York City*. The strategies of the Action Plan will reshape the City's approach to assisting at-risk and homeless New Yorkers. Collectively, they will:

- Create a roadmap that invests new money and redirects existing resources from shelters to expanded community-based prevention programs and other housing solutions.
- Raise the level of public awareness and community involvement to challenge a collective acceptance of homelessness both on the streets and in shelter.
- Bring public agencies together in a coordinated campaign to maximize available government assistance to those in need and to reduce institution-to-institution discharges that result in homelessness.
- Reverse the trend in which families and individuals who become homeless remain homeless for excessively long periods of time, with a particular emphasis on preventing chronic homelessness in shelters and on the streets.
- Ensure access to shelter for those in need, while affirming the responsibilities of those receiving services to move towards self-sufficiency.

Achieving reforms of this magnitude will require different spending policies, and programs. *Uniting For Solutions Beyond Shelter* includes principles, concepts, and policy directions that will guide the City over these next five years of reform.

Also, on June 23, 2004, the Special Masters Panel issued its report on The Emergency Assistance Unit and Shelter Eligibility Determination. The Panel recommended a complete restructuring of and significant improvements in application, eligibility determination, and support functions for shelter services. The Report sets out recommendations that tie together in an integrated, systematic, and flexible way, an approach to: preventing family homelessness; revamping the shelter application process; improving the eligibility determination practice; a more timely placement into shelter; the development of family safeguards; the expansion in the range, availability, and commitment of housing-related resources and supports to families; all in a physical setting designed to facilitate the core EAU functions.

On September 17, 2008, Mayor Michael R. Bloomberg and The Legal Aid Society announced an agreement dismissing the McCain, Lamboy, Slade, and Cosentino collection of lawsuits, which together have governed the homeless services system for families with children in New York City for 25 years. The agreement, signed by the parties, ends litigation and court oversight of the City's family shelter services system. A unanimous recommendation to end this litigation was put forward by the court-appointed Special Master Panel after their detailed evaluation of the homeless services system in 2004. This historic agreement now enables the City to regain full control and oversight of its family services system, no longer having to enforce over 40 highly-detailed court orders or spend precious staff time and agency resources complying with or litigating these cases.

On September 23, 2008, DHS released a comprehensive report detailing significant progress in reducing street homelessness and homelessness among single adults and major transformations to the homeless system through the City's five-year action plan, *Uniting For Solutions Beyond Shelter*. Record numbers of individuals—including men, women, and children—have moved to permanent housing under the Bloomberg administration. The five-year plan outlined major changes needed to improve the adult and families systems, including the addition of prevention services, which prior to the Bloomberg administration was not part of DHS' work. DHS' efforts have led to undeniable progress in reducing homelessness among single adults, particularly in outreach to the chronically homeless. Outreach services are tailored in order to be most accepted by those chronically street homeless individuals who are resistant to the traditional shelter system by offering lower threshold housing such as Safe Haven beds.

While the families system faces challenges, a three percent reduction in adult families and a two percent reduction in families with children have resulted from the five-year plan. In spite of recent spikes in demand, the framework put in place by DHS has withstood the test, with families continuing to be effectively and humanely served beginning with intake. One of the major accomplishments of the five-year plan has been the transformation of the family intake system – the success of which brought an end to 25 years of litigation and court oversight. Eighty-six percent of the sixty initiatives of New York City's five-year action plan have been completed, putting in place the right foundation for meaningful change.

## **1. Supportive Housing Continuum of Care for the Homeless**

### **a. Homeless Prevention for Populations at Risk of Becoming Homeless**

#### The Precariously Housed

It is difficult to estimate the numbers of individuals and families at imminent risk of becoming homeless, however, there are a number of situations where a family or an individual can be considered precariously housed and at imminent risk of homelessness. These situations include imminent eviction, very low income and very high rent burdens, substandard housing, overcrowded conditions, and recent homelessness. Each situation is described in greater detail below.

#### Imminent eviction

Studies have shown that a majority of people who appear in Housing Court for eviction proceedings do so without legal representation and that a substantial number of these people receive public assistance. Those lacking legal resources will most likely be at risk of legal threat or eviction.

#### Very low incomes and high rent burdens and/or in substandard dwelling units

Households with very low incomes and very high rent burdens may be at risk of becoming homeless. According to the 1999 HVS, of the approximately 866,000 very low income renter households (incomes less than 50 percent of area median family income), more than half, about 451,000, have a severe rent burden (over 50 percent of household income) and may be at risk of becoming homeless. Among renter households with extremely low income (30 percent or less of area MFI), 73.8% or about 359,000 households, have a rent burden greater than 50 percent of income. If overcrowding is considered to compound the risk of homelessness, approximately 46,000 very low income renter households (50 percent or less of MFI) are overcrowded and paying more than 50 percent of household income for rent.

These households, or some members of these households, may become homeless. Another approximately 22,000 renter households with incomes between 51 and 80 percent of area MFI also have a severe rent burden and may be at risk of homelessness. These numbers do not include households with zero or negative income, whose rent burden situation could not be calculated, but who may also have severe rent burden problems, or those reporting no cash rent.

According to the 1999 HVS, about 152,000 low income renter households (income at or below 80 percent of the area median family income) live in physically poor housing. Physically poor housing is defined as being either dilapidated, having three or more building defects, 4 or more maintenance deficiencies, or an incomplete kitchen or bath. Of these, about 119,000 households are very low income renters (at or below 50 percent of MFI). When conditions become dangerous and landlords fail to make repairs, these families and individuals may leave their homes and enter the shelter system.

#### Overcrowded families

Overcrowded families represent a pool of precariously housed people who could potentially seek shelter at any time. According to the 1999 Housing and Vacancy Survey (HVS) the incidence of overcrowding was higher for low income renters (at or below 80 percent of the area MFI) than for all renters (12.8 percent vs. 11.0 percent). Among low income renter households with large families (5 or more members), the rate of crowding was particularly high at 69.7 percent. According to HRA, in March 1998, 75.2 percent of public assistance households in private housing were paying rent at or above the shelter allowance ceiling. The 1999 HVS found that 15.9 percent of renter households receiving public assistance were overcrowded.

The rate of crowding among owner occupied units overall was just one third the rate of crowding in renter occupied units (3.6 percent vs. 11.0 percent). However, among large related owner occupied households the rate of crowding was 23.6 percent.

#### Institutional Discharges

Another population at risk of homelessness are those people who have been living in institutions and are discharged from these institutions. Correctional, psychiatric and medical institutions often discharge individuals from their systems who are at risk of homelessness. Hospitals and correctional facilities do not always have the time or resources to engage in significant discharge planning for people who are poor, or who have lost touch with friends and family due to a long institutionalization.

Without adequate discharge planning, these people are referred directly into the shelter system, or are expected to find their way into the shelter system. These individuals, usually due to the length of time in an institution, may be isolated and unable to cope with the stresses of daily life. For those released from psychiatric and medical hospitalizations, a congregate shelter setting may be inappropriate, where it may be difficult to monitor medication regimens, or where they are at risk of infection.

#### Relocated Families

A significant percentage of families in the shelter system have either never had their own home or have not maintained their own household for a long period of time before entering the shelter system. When these families move into permanent housing, they often move into a new and unfamiliar neighborhood without any

service or familial linkages. Without the necessary independent living skills households may revert tendencies/practices which result in the families being unable to maintain proper housing.

#### Homelessness Prevention Programs

The Continuum of Care begins with the provision of preventive services to divert families from the shelter system whenever possible. The City's Human Resources Administration Diversion Program provides diversion services to individuals/families in crisis, including assistance in obtaining entitlements or special needs allowances to pay "back rent" or other costs, referral to legal or apartment locating services, and mediation with families and friends who could provide accommodations. Homelessness prevention also entails working to stabilize neighborhoods by improving housing conditions and providing support services to tenants, including tenants of City-owned buildings.

The Family Eviction Prevention Supplement (FEPS) program is a shelter supplement designed to assist Cash Assistance (CA) eligible families with children in maintaining permanent housing by issuing them a shelter supplement in addition to the CA shelter amount. FEPS can last for up to five years (with an extension for good cause), as long as the household maintains CA and FEPS eligibility. Applicants/participants with a court proceeding concerning the nonpayment of rent can apply for FEPS through a New York State Office of Temporary and Disability Assistance (OTDA) authorized community-based organization (CBO), the Legal Aid Society or a Legal Services preparer, thereby avoiding homelessness.

HRA's Office of Housing & Homeless Services/Initiatives (OHHSI) manages several programs that assist HRA's CA applicants and recipients in maintaining affordable housing. OHHSI has established extensive linkages with other City housing agencies, including the New York City Housing Authority (NYCHA), the Department of Housing Preservation and Development (HPD) and the Department of Homeless Services (DHS).

Key OHHSI programs include the Homelessness Diversion Units (HDUs) including the HRA Diversion Annex at the DHS Preventive Assistance Temporary Housing (P.A.T.H.) facility, the centralized Rental Assistance Unit (RAU), and the Housing Court Units throughout the City. These homelessness prevention programs enable HRA to achieve one of its goals: assisting families at risk of homelessness by helping them maintain permanent housing, thereby (1) providing a stable housing environment that will support the family's efforts to achieve maximum self-sufficiency and (2) averting the family's entry into the City's homeless shelter system. In addition, these programs provide early and aggressive negotiations with landlords to reduce rent arrears expenditures for New York City and New York State.

Homelessness Diversion Units - are located at all Job Centers and at the Department of Homeless Services' (DHS) Preventive Assistance Temporary Housing (P.A.T.H.). The mission of these teams is to maintain individuals/families in permanent housing and avoid placement in the City's emergency shelter system. The Diversion Teams negotiate, intervene and advocate on behalf of individuals/families that are homeless or at imminent risk of homelessness. HDU staff evaluate and verify existing situations, discuss possible solutions and develop a "Diversion Plan," which includes possible long-term alternatives such as payment of rent arrears, apartment search services, grants for relocation costs, FEPS intervention, Section 8 reinstatement and other alternatives that maintain or secure permanent housing.

HDU staff interview all individuals/families identified as at risk of homelessness. Of the 58,986 cases referred to HDUs during CFY 2008, approximately 33,583 had their housing problems resolved. During CFY 2008, HDUs maintained permanent housing or found alternate living arrangement for 20,902 of these 33,583 (62%) individuals/families. This compares with 21,526 of 28,743 (75%) individuals/families whose cases were resolved in CFY 2007.

Of those interviewed by HDUs at the Job Centers, 18,475 individuals/families were found to be at imminent risk of homelessness during CFY 2008. HDUs maintained permanent housing or found alternate living arrangements for 18,390 of these 18,475 (99.5%) individuals/families. For CFY 2007, comparable statistics were 19,663 of 19,772 (99.4%).

The HRA homelessness diversion team at P.A.T.H. works to help applicant families find alternatives to the shelter system. In CFY 2008, the HDU at P.A.T.H. diverted over 2,800 families from the DHS shelter system.

HDU staff works closely with NYCHA to avert evictions for PA recipients with rent arrears. During CFY 2008, HDU averted 230 Housing Authority evictions. During CFY 2007, HDU averted 268.

Rent Arrears Alert (RAA) - In CFY 2001 HRA initiated the Rent Arrears Alert (RAA) Program. HDU staff coordinates this program, which is active at all Job Centers. The RAA Program is primarily focused on early intervention and works with tenants who receive CA and have rent arrears. RAA staff also enter into negotiations with landlords to help tenants remain housed. HRA considers the program to have been very successful in their negotiations with landlords. In CFY 2008, HDU and Rental Assistance Unit (RAU) staff negotiated on behalf of applicants for ongoing CA, recipients of CA, and applicants for “one-shot” assistance, a total of \$18,069,529 in reductions of past due rent arrears. During CFY 2007, staff negotiated reductions of \$15,545,298.

Rental Assistance Unit (RAU) - The Rental Assistance Unit (RAU) is a “safety net” to prevent families and individuals from becoming homeless. RAU staff prevents evictions caused by non-payment of rent by gathering and reviewing information on the extenuating circumstances that cause a particular CA applicant or recipient to be at risk of homelessness. RAU staff then makes a case-by-case determination whether to issue a grant to resolve the housing emergency. RAU staff works closely with the Housing Court and HDU staff.

Housing Court Liaison Unit (HCLU) - HCLU staff are out-stationed at the City Housing Courts located in all five boroughs. In addition, HCLU staff are stationed at the Harlem Community Justice Center and the Red Hook Community Justice Center. HCLU staff serve as liaisons between Cash Assistance recipients, landlords and Housing Court judges to forestall and prevent eviction. Staff interview families and individuals and make assessments of their housing problems to determine if evictions can be prevented. Based on the Housing Court liaison’s assessment of a housing situation, recommendations for payment or referrals are made to the appropriate Job Center HDU.

Beginning April 25, 2007, the new and innovative Advantage New York replaced Housing Stability Plus. Advantage, administered in conjunction with HRA, is a portfolio of rental assistance that is not tied to the continued receipt of Public Assistance.

Work Advantage is a one year rental subsidy for working families and individuals with earnings below %150 of the Federal Poverty level. A second year extension is available for those who meet continuation criteria. While receiving the rental assistance, participants will be working and encouraged to save their earnings. These savings will be doubled (matched by DHS) so that when the rental assistance ends, families have additional means of support. While clients are receiving the rental subsidy, which will account for almost 100% of their rent, they are encouraged to make deposits each month in a bank account that will be matched, up to \$250 a month, at the end of the program. In addition, clients will pay \$50 in rent directly to the landlord, which will also be reimbursed and added to the client’s savings. For instance, after one year, a family who was saving at a rate of \$250 per month could end up more than \$6,000 in a savings account, including the client savings and City matching funds.

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

Children Advantage is available to families with involvement with the child welfare system and Fixed Income Advantage is available to families and individuals in receipt of a federal disability benefit. Clients in these

programs receive one year of rental assistance and are eligible to apply for a priority Section 8 voucher. In FY 2008 4,959 Advantage leases were signed

The Tenant and Family Support Program works with tenants of 147 City-owned buildings in Community Board 9 in Manhattan, to stabilize buildings and nurture potential tenant leadership. This program offers housing rehabilitation, legal services, and social service support, including help establishing relationships with local police departments, sanitation services, banks, community institutions and leaders.

Launched in October 2004, HomeBase is a neighborhood-based homeless prevention program. This innovative model serves as a pro-active approach to decreasing the number of individuals and families entering the shelter system. Through HomeBase, DHS is now providing services to households at risk of becoming homeless to all communities in New York City. These prevention programs provide an array of services including case management, mediation, independent living skills training, and offer flexible financial assistance to help stabilize families permanently or temporarily while more suitable living arrangements can be found. These services are available to both individuals and families.

With the expansion of HomeBase to a citywide model and the addition of up to \$10 million dollars by 2010, the program offers community based prevention services, shelter diversion services as well as aftercare services to those households return to the community from shelter through the Advantage New York Housing subsidies. There are now 10 HomeBase prevention contracts charged with assisting those at-risk, particularly non-lease holding individuals and families in “doubled up” living situations, through targeted services and financial assistance.

The HomeBase providers are Ridgewood Bushwick Senior Citizen’s Council serving Brooklyn Community Districts 1, 4, 16; Church Avenue Merchants Block Association serving Brooklyn Community Districts 2, 3, 6-15, 17 and all of Staten Island; Citizen’s Advice Bureau serving Bronx Community District 4, HELPUSA serving Bronx Community Districts 1, 3, 5-8; Catholic Charities Neighborhood Services serving all of Queens; Palladia serving all of Manhattan. Additionally, Catholic Charities Community Services serving Bronx Community Districts 2, 9-12; and Partnership for the Homeless serving Brooklyn Community Districts 5 and 18. As of June 2008, HomeBase has served over 9,400 community clients and 440 diversion clients—90% of community clients and 99% of diversion clients served to date have not entered the shelter system. This initiative is part of DHS’ commitment to strengthen neighborhood based services and foster community based solutions to homelessness.

Family Anti-Eviction Legal Services - DHS through the FALS (Family Anti-Eviction Legal Services) program is currently administering seven (7) contracts totaling \$6.3 million to provide comprehensive, flexible and individualized legal and related services to help ensure that families with children avoid becoming homeless. Services include appearances at judicial and administrative hearings, trials, appeals, and other such forums as required to settle or try eviction cases, factual investigations; inquires into whether a tenant’s rent level is correct, whether there are conditions which require repair, and whether these constitute defenses to a proceeding; legal research; preparation and filing of required agency and court papers; drafting briefs; ongoing client contact, including follow-up interviews, when appropriate; and institution of appropriate remedial actions; assistance with pro se documents; drafting letters; and negotiations with landlords and/or other advocacy assistance.

Performance Investment Program - The Performance Investment Program (PIP) ties the performance of facilities to payment rates. The PIP has been a critical factor in increasing the number of families relocating from the shelters into permanent housing, in CFY 2008 there were 6986 family placements a 13%% increase from CFY 2007. For single adults in CFY 2008, 9,771 single adults were placed into permanent housing, the fourth consecutive year of increases in single adult placements.

## **Inventory of Facilities and Services for the Homeless**

The Department of Homeless Services (DHS) has two main operational areas for carrying out the continuum of care: (1) The Division of Family Services which serves homeless families and (2) The Division of Adult Services which serves single adults. In CFY 2008 the number of sheltered families was 23,291, and the single adults served were 28,912.

DHS's Office of Client Advocacy (OCA) provides a voice for clients within DHS by mediating conflicts between shelter staff and clients, assisting clients to overcome barriers to permanent housing, interacting with other agencies and organizations on behalf of clients, and addressing phone and walk-in inquiries. The OCA is responsible for assisting clients in navigating the service system and bringing systemic issues to the attention of DHS and providers. The staff assists clients with a wide array of challenges. The staff encourages clients to first work with caseworkers or shelter staff to resolve individual issues. Additionally, they assist clients by providing crisis intervention for people at risk of becoming homeless; assisting clients to overcome the barriers to obtaining permanent housing; negotiating with other agencies and providers on behalf of clients. The OCA also facilitates monthly Client Meetings with both single adults & families. The OCA has a hotline that records messages 24 hours a day. Individuals and families can contact a staff member between the hours of 9:00 A.M. to 5:00 P.M., Monday through Friday, and messages left after hours are responded to the next business day. The OCA works with clients who come to our office for emergencies Mondays through Thursdays from 9-5. Staff is located at Beaver Street as well as the Family and Adult Intake Centers - PATH and AFIC. The OCA travels to shelters, drop-in facilities and street locations to work with clients make presentations and participate in case conferences. During CFY 2008, the unit had a total of 4,819 contacts of which 4,701 were closed.

### **b. Homeless Families**

The Division of Family Services oversees the emergency family shelter system in New York City. Families include adults with their children and couples without children who are a legal family through marriage or verifiable co-dependence (adult families), or pregnant women. In City Fiscal Year (CFY) 2008, families with children (which includes pregnant women) constituted 84% of the total number of families in the DHS shelter system, adult families (without children) constituted 16 %. 23,291 families were provided shelter and 80,402 individuals make up those families. Approximately 57% of these family heads of household were African-American, 37% were Hispanic, 3% were White, .9% were Asian and Pacific Islander, Native American, or Alaskan and 2% were of unknown race or ethnicity.

#### Emergency Services: PATH, AFIC and Overnight Facilities

DHS operates two separate family shelter intake locations. The first is the Prevention Assistance and Temporary Housing (PATH) Intake Center for families with children and pregnant women and the second location is the Adult Family Intake Center (AFIC) for adult families with no children. In CFY 2008 38,066 families applied for shelter at these two locations. After requesting shelter at the intake appropriate center, a family is given a ten-day conditional stay, while their application is reviewed in order to determine the family's eligibility for temporary housing. Beginning in February 2006, DHS implemented the NY State approved Re-Applicant Procedure, under which all families with children who reapply for temporary housing assistance within 90 days of a determination that they have other housing available, will not receive shelter during the review of their application for temporary housing assistance unless they demonstrate an immediate need for shelter. All eligibility determinations are evaluated by PATH Eligibility staff. Of the 38,066 families applying for shelter 49% were found eligible for temporary housing.

PATH was created as the new family intake facility with the objective to expedite the eligibility and placement process. PATH was given the directive to reduce overnight placement expenditures and the application processing time from a maximum of three days to six hours. PATH is open to accept applications 7 days a week between the hours of 9 and 5, and to make placements 24-hours a day.

PATH presents an office design and program approach reflecting the recommendations of the 2005 McCain Special Master Panel. PATH offers the following services:

- Access to prevention services
- Enhanced social services
- Midpoint eligibility assessment conference whereby families are apprised of the likely outcome of their eligibility determination
- DHS client advocate assistance
- Conditional placement within the same day of application

At PATH, DHS has also implemented a prevention and diversion process to transition applicants found ineligible for shelter services to return to available housing option(s) and/or access (contracted/non-contracted) community-based organization services. PATH is open to accept applications 7 days a week between the hours of 9 and 5, and to make placements 24-hours a day.

AFIC processes all emergency housing applications for adult families without minor children. AFIC is operational 24 hours a day, seven days a week. The goal of AFIC is to expedite the intake process and improve the delivery of services for the adult family population applying for temporary housing.

Transitional Services: Tier II, Hotels, Clusters and Adult Family Residences

Homeless families must enter the DHS shelter system through a central entry point in order to apply for emergency housing. Adults with minor children and/or a pregnant family member must apply at the Prevention Assistance and Temporary Housing (PATH) intake center located in the Bronx. Adults without minor children must apply at the Adult Family Intake Center (AFIC) located in Manhattan. Path and AFIC operate 24 hours a day, seven days a week and facilitate services to families seeking emergency housing. Claims of homelessness are subject to an eligibility process for temporary housing assistance (THA). The purpose of the eligibility process is to document and verify a family’s claim of homelessness. The eligibility process requires an in-depth investigation and validation of an applicant family’s identity, family composition, housing history and housing alternatives.

The eligibility process ordinarily takes up to ten days to complete. During this time, families are conditionally placed (pending their eligibility determination) in a family shelter (as opposed to congregate shelter for single male/female adults).

Families found eligible for THA will remain in their present placement (Tier II’s, Hotels or Clusters).

As of August 5, 2008 the Division of Family Services provided temporary shelter in 146 facilities of which:

	<u>Tier II’s</u>	<u>Hotels</u>	<u>Cluster</u>	<u>DHS Directly Operated</u>
Families with Children Only:	66	48	13	4
Adult Family Only:	2	13	0	0

Once a family is found eligible for temporary housing they are moved to transitional residences (Tier II’s, Hotels or Clusters). For CFY 2008, the Division of Family Services provided temporary shelter in 147 facilities of which 71 were Tier II residences; 15 were residences for adult families.

In CFY 2008, 49% of families applying for shelter were found eligible to receive temporary housing. Transitional family residences come in a variety of models most of which offer apartment style units and a wide array of support services including employment training, educational services, intensive case management, substance abuse prevention, independent living skills training, and child care. All families are expected to work cooperatively with staff to develop a mutually agreed upon independent living plan. A family must cooperate with service providers and meet the terms of this plan before they can be referred to permanent housing. In



CFY 2008, the average length of stay for families in temporary housing was 350 days and there was an average of 4,187 families residing in Tier II facilities each day, 1,016 families in adult family residences.

Tier II residences are operated by the varying non-profit members of the service provider community in NYC. The vast majority of these providers are also represented as members of the NYC Coalition on the Continuum of Care. A comprehensive list of our non-profit provider partners is located on the DHS website <http://www.nyc.gov/html/dhs/html/providers/providers.shtml>.

### Supportive Services

*Employment Services* - The inability of a homeless family head of household to find and maintain a job is an impediment to independent living. As a result, many homeless families require services related to employment readiness and job training.

In addition, to qualify for the Work Advantage rental subsidy program, families are required to work a minimum of 20 hours per week at minimum wage for 30 days. Once certified, families must maintain employment to keep their subsidy. To ensure families receive the services they need to seek, secure and maintain employment, shelter providers offer a variety of employment services: resume writing, job readiness training, mock interviews, budgeting and parenting workshops, etc. Some facilities are able to offer on-site programming, while others refer out to community agencies or City-sponsored programs like WorkForce 1.

HRA plays a major role in the addressing the employment needs of our families. Through the Back To Work and WEP programs, adults are given work experience that may lead to employment. HRA also offers links to employment vendors at their 109 East 16<sup>th</sup> Street offices. Families can walk in and interview with vendors, complete employment assessments, get resume assistance and complete on-line job searches. HRA and DHS have collaborated and maximized resources on 3 Job Fairs provided solely for homeless families. We continue to work together to ensure adults are given various employment opportunities so they can ultimately meet the employment requirements of the Work Advantage program, become certified and move back into the community.

HRA also provides detailed information to DHS on families' case status and benefits, so that both agencies can work together to make sure our families are in receipt of all they are entitled to and are made aware of any pending actions on their case, such as closure or sanction.

*Education Services* - DHS transitional family residences provide assistance in the area of educational planning, primarily through individual counseling. Education services at the shelters help adults to access GED programs, fill out enrollment forms, set educational goals, and utilize community educational and vocational training resources for themselves and their children. DHS works closely with on-site liaisons from the Department of Education to ensure all school-aged children are enrolled and attending school.

*Mental Health Services* - Mental illness can become a serious obstacle to independent living. DHS is initially informed of families with mental illness through self-report – at PATH or once intake is completed at a shelter - which may or may not include information on those family members who have been treated at clinics, or those who have never sought treatment. While some DHS shelter system programs offer mental health services on-site, all of the facilities have the ability to refer clients to mental health services in the community as needed. Through the NY/NY III Supportive Housing program, families with mental health issues may qualify for permanent, supportive housing.

*Substance Abuse Services* – Some transitional facilities in the family system provide substance abuse prevention, education and referral services, often including weekly or monthly drug prevention workshops. Any family in temporary housing who demonstrates a need for substance abuse treatment is, at a minimum, referred to off-site substance abuse programs; some shelters may have the staff to provide individual counseling on-site. Through the NY/NY III Supportive Housing program, families with substance abuse issues may qualify for permanent, supportive housing.

*Extra Support Services* - DHS' Next Step Program provides a very intensive level of social services to families in need. Case workers in these shelters – 4 family with children shelters and 2 adult family shelters – have a small case load that enables them to provide more attention and time to these families. Next Step families are escorted to all appointments, meet with case workers more frequently than in other shelters, and have limited recreation offerings so that they maintain focus on moving to permanent housing. Through June 30, 2008, families participating in Next Step moved out of shelter into the community, on average, in 109 days after having been in the system 1.2 years before coming to Next Step.

#### Permanent Housing

The transition to permanent housing completes the continuum of care for families. All homeless families are assisted in finding and then relocating to permanent housing through a variety of mainstream housing programs. Beginning April 25, 2007, the new and innovative Advantage New York replaced Housing Stability Plus. Advantage, administered in conjunction with HRA, is a portfolio of rental assistance that is not tied to the continued receipt of Public Assistance.

Work Advantage is a one year rental subsidy for working families and individuals with earnings below %150 of the Federal Poverty level. A second year extension is available for those who meet continuation criteria. While receiving the rental assistance, participants will be working and encouraged to save their earnings. These savings will be doubled (matched by DHS) so that when the rental assistance ends, families have additional means of support. While clients are receiving the rental subsidy, which will account for almost 100% of their rent, they are encouraged to make deposits each month in a bank account that will be matched, up to \$250 a month, at the end of the program. In addition, clients will pay \$50 in rent directly to the landlord, which will also be reimbursed and added to the client's savings. For instance, after one year, a family who was saving at a rate of \$250 per month could end up more than \$6,000 in a savings account, including the client savings and City matching funds.

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

Children Advantage is available to families with involvement with the child welfare system and Fixed Income Advantage is available to families and individuals in receipt of a federal disability benefit. Clients in these programs receive one year of rental assistance and are eligible to apply for a priority Section 8 voucher. In FY 2008 4,959 Advantage leases were signed.

This is further enhanced by financial education and guidance. The Department of Consumer Affairs' (DCA) Office of Financial Empowerment (OFE) is working with DHS on Work Advantage's matched-savings component. They will help DHS clients access the tax credits they deserve as well as available banking options. In addition, guidance will be provided to clients on how to save and make their money grow for the future. As part of Mayor Bloomberg's aggressive efforts to fight poverty in New York City, OFE is the first city government initiative in the nation that works expressly to empower, protect, and educate workers with low incomes so they can make the most of their financial resources and break the cycle of poverty.

During CFY2008, DHS through the hard work of its directly-run and non-profit contracted shelter staff relocated 7,153 families to permanent housing, including 2,083 families to Work Advantage, 1,329 families to Fixed Income Advantage, 892 families to Children's Advantage, 20 families to Short Term Advantage, 173 families to Housing Stability Plus (HSP), 303 families to HPD-owned housing, 132 to public housing operated by NYCHA, 298 families to Other Section 8, and 1,923 to other placements.

The ESG funds that are used under the services to homeless and supportive housing are deployed to address the priorities set by the New York City Coalition on the Continuum of Care and meet the goals to end homelessness in the city under Mayor's Initiative to End Chronic Homelessness. By funding citywide outreach and drop-in centers, reconfiguring outreach services, and supportive housing facilities with innovative employment programs and other training opportunities, through ESG, DHS continues to address homelessness issues in the city.

**c. Homeless Individuals**

The Division of Adult Services oversees the Agency's shelter system of emergency and transitional housing facilities for single adult men and single adult women. As of the end CFY 2008 there are 50 facilities with 7,459 beds in use. There are 25 facilities for women (1,948 beds) and 33 for men (5,511 beds). Four of these facilities are operated directly by the Department of Homeless Services and 46 are operated by non-profit organizations under contract with DHS. In CFY 2008 an average of 6,850 single adults (5,020 men and 1,830 women) resided in the shelter system each night, and a total of 28,912 unique individuals (22,233 men and 6,579 women) were provided temporary housing during the year. 52% of these individuals are African American, 27% Hispanic, 10% White, 0.9% Asian or Pacific Islander, Native American or Alaskan, and 9% were identified as other or unknown.

Adult Services is organized into three main functional areas: *outreach, intake and assessment; transitional services; and housing and program planning.*

**Outreach, Intake and Assessment**

Street Homelessness Solutions Over the last year New York City, specifically the Department of Homeless Services (DHS) and the Department of Health and Mental Hygiene (DOHMH), has reconfigured the provision of services to street homeless individuals. DHS and DOHMH terminated their existing contracts and issued a joint RFP representing a new vision for Outreach and Housing Placement Services. Both agencies combined their outreach funding (approximately \$11 million), which previously was contracted to over a dozen different providers, and has now redistributed this funding to four new providers – each accountable for achieving a 2/3 reduction in the street census in their respective borough-based areas by 2009. These new providers that begin work in September 2007 will have performance based contracts with the City through which milestone payments will be earned through the placement of chronically street homeless clients into housing.

The new providers, embracing a Housing First and client choice philosophy, will work with individuals on the street to help them obtain housing that is not necessarily conditioned on commitment to sobriety or program participation. DHS has been working to increase the housing placement options to the street homeless population. To this end, in August 2007, DHS plans to release an RFP to bring about 500 Safe Haven units online. These facilities, much like the HUD-funded Safe Havens, will be low threshold models; however, they will be transitional in nature and to be eligible clients must be chronically street homeless. In an effort to increase the availability of housing placement options that clients report to be “appealing”, DHS has been identifying and developing other new resources -- including stabilization beds.

Another key component of the redesigned outreach and housing placement services is a new state-of-the-art database for outreach workers in the field, who will have the ability to access and input critical client data through handheld devices. The goal is to use this technology to develop a client registry that will allow us to track important indicators including the number of chronically homeless individuals that are currently living on the streets of New York City, the number of new street homeless, geo-coded locations of street homeless, clients at risk of street deaths and placements.

In addition to its collaboration with DOHMH, DHS has also been partnering with 13 City and State agencies on the takedown of encampments in NYC. Over a 6 month period, the group was able to clear 72 encampments, which included the placement of 68 clients into housing. Additionally, DHS is working with the Metropolitan

Transportation Authority (MTA) on a multi-pronged approach to end homelessness in the subways and other underground locations.

Many outreach programs coordinate their services with the eight DHS funded and one HUD funded drop-in centers throughout New York City. These drop-in centers operate 24 hours a day and have the capacity to serve 1,194 individuals per day. Drop-in centers provide homeless individuals with meals, counseling, medical/psychiatric services, showers, laundry facilities, some clothing, recreational activities, referrals for employment, assistance in applying for benefits, and other social services for adults in New York City. DHS is in the process of trying to ensure that the Drop in center system is well-positioned to help meet the City's goals of reducing homelessness by 2/3rds, and exploring sleeping accommodations, specifically beds rather than chairs, that might convince additional individuals to accept placement and come indoors. This strategic planning process is currently underway, but will likely result in the conversion of some Drop-in centers to Safe Havens. In addition, the Partnership for the Homeless coordinates a network of overnight accommodations in churches and synagogues around the City, which is partially funded by ESG dollars. This Faith-Based Network includes over 100 churches and synagogues, and provides an average of 340 beds each night during the peak cold-weather season (November through March). Services include overnight sleeping areas, some meals or snacks, and sometimes access to laundry facilities. These sites serve between 6 and 15 individuals and are staffed primarily by volunteers.

*Intake & Assessment Services* - At Intake and Vacancy Control (IVC) new admits into the shelter system are processed and assigned an identifying HA number and all adult clients are enrolled in our AFIS finger-imaging database system that attaches a 5-point finger image to each client's picture in the database. *Intake* is also comprised of a basic information-gathering process and placement into an assessment bed. DHS operates one intake facility for men and three intake facilities for women. The three goals of Assessment include the completion of the Applicant Intake Document (AID), a physical exam, and a brief psycho-social assessment. These completed deliverables are tools utilized to best determine the most appropriate shelter placement for each individual based on their service needs. The Assessment process can be completed as soon as the three deliverables are achieved for a maximum stay of up to 21-days. This is also affected by the availability of vacancies throughout the system for placement out of the Assessment Centers.

In early 2006 at the 30<sup>th</sup> Street Men's Shelter facility, the Adult Services Division decided to pilot a new innovative prevention program called PASS (Providing Alternate Solutions to Shelter). The goal of the pilot is to determine whether men entering the system have exhausted all other viable options outside of the DHS system before entering shelter. All male entrants now receive an enhanced screening for PASS in addition to the regular processing at IVC. If a client is deemed eligible for PASS they meet with a specialist who determines if they can be placed outside the shelter system that same day or if it will take up to 21 days. If they cannot be placed that day they are sent to the former 30<sup>th</sup> Street Assessment unit, now the PASS Program. At PASS, clients still complete an assessment phase including the Applicant Intake Document (AID), a physical, and a psycho-social assessment. In addition to the assessment, an enhanced staff works with the client on placing them into the most appropriate setting outside of the DHS Shelter System. Clients who are not eligible for PASS at IVC proceed directly to placement in an Assessment Center.

#### Correctional Review Unit

The NYC Department of Homeless Services ("DHS") Correctional Review Unit ("CRU") and Office of Health Care Policy and Administration, in response to the Brad H., et. al. v. the City of New York, et. al. litigation, together with the New York City Department of Health and Mental Hygiene ("DOHMH"), through the Division of Health Care Access and Improvement's Correctional Health Services Program ("CHS"), work collaboratively to place sentenced Brad H Class Members from jail, directly, into a designated Program Shelter or Mental Health Program Shelter on their release date, provided that DHS: 1) determines that further mental health assessment is not necessary, after review of information, obtained, by CHS, during the Class Member's incarceration; 2) that bed availability exists in such shelter; 3) and arrival of the Class Member at the DHS shelter is on his or her release date and before curfew. The CRU has access to the CHS Brad H database, "Citrix", and obtains daily reports, which identify homeless, sentenced, Brad H. Class Members, who are

severely and persistently mentally ill (“SPMI”), who have consented to release medical documents to DHS, and have orally agreed to be transported to a DHS shelter, upon release from jail. The CHS discharge planners routinely provide CRU with document packets for Brad H. Class Members, who appear on the DHS transportation list, within 3 days before discharge. The documents include information from Riker’s Island Intake System, such as a history and physical, problem list, medication list, discharge plan, aftercare letter, psychiatric assessment, psycho-social summary, and HRA 2010e housing application and approval, if available. The CRU forwards these documents to the shelter system for the purpose of making an appropriate placement and to provide for continuity of care of mental health services. In some instances, Brad H. Class Members will present to a DHS shelter or intake site for services. CRU investigates whether a consent, to release information to DHS, is on record with CHS, offers a release form to the individual, if not, then, contacts CHS to request the above documents. CHS provides the documents to DHS, which forwards them to the appropriate program or mental health program shelter staff, which will work with the Class Member to develop an independent living plan, with the immediate goals of obtaining income, identifying available permanent housing options, and providing medical and mental health aftercare linkages in the community, so, that the Client may move to his own permanent residence, independent of the shelter system.

#### The Link Program

The New York City Link (Link) program, under the auspices of Federation Employment Guidance Services Inc. (FEGS) works with the New York State Division of Parole, New York State Correctional Services, DOHMH and the OMH Central New York Psychiatric Center to address the needs of the seriously mentally ill who are about to be released from state prison. For inmates who are homeless and seriously mentally ill, pre-release coordinators from the prison system coordinate applications for housing and Medicaid and provide discharge summaries and court histories to Link. Link compiles the required documentation and arranges video conferences or interviews for inmates with residential and outpatient mental health program providers. Link continues to follow a client for up to two years to ensure that placement and mental health services provided are adequate and appropriate. If a client ends up in shelter despite the efforts of Link, that client often has an ICM or transitional support counselor assigned to him or her, who initiates locating an appropriate placement.

#### Transitional Services

From Assessment Centers, homeless single adults are referred to one of the 50 transitional shelter residences. Sixty-two percent of the beds in the single adult system are associated with program services, including assessment, employment training, mental health rehabilitation, specialized services for veterans, and substance abuse treatment. Many shelters offer case management and other services aimed at assisting residents to return to independent living in the community. Social workers, case managers, employment specialists, housing benefits counselors, on-site medical staff and vocational counselors work closely with clients to help them become independent. An individualized approach is implemented to provide clients with the services needed to achieve their highest level of self-sufficiency. Federal ESG funds are used to support social service programs at thirteen of these transitional shelters. Two of these transitional shelters are Next Step shelters.

The Next Step Program offers a more structured and service-intensive environment for clients who have been unsuccessful at completing the goals of their independent living plans. It is a more highly structured environment incorporating intensive case management and additional program components where clients will receive additional assistance on the goals of their independent living plans. Services are delivered in a consistent, intensive, and respectful manner with the objective of returning the client to independent living as quickly as possible.

In addition, Client Contribution Pilot Program provides incentive and services to clients with income. The Program provides enriched services that include structured savings, money management, access to job upgrades, and individual housing services. DHS expects that clients will move into permanent housing more rapidly in this program.

### Supportive Services

Employment Services: DHS coordinates employment training for shelter residents, including providing innovative employment programs, some of which are specifically designed for substance abusers. DHS contracts with non-profit providers to assist residents with employment readiness, including career counseling, job search assistance, and placement services. The DOE Fund operates two sites in a substance free environment, and stresses the importance of saving money and behaving responsibly. The Bowery Mission accepts clients who are either employed or employable and works with the individuals to maintain their employment status. DHS includes full-time employment (at least 35 hours a week) as a performance incentive linked to its contracts with nonprofit service providers. The Agency's general and program facilities are all eligible for the performance incentives on a per placement basis, which must be verified by the site requesting the credit. Pay stubs and/or a letter from the employer written on the company letterhead constitute verification.

DHS contracts with non-profit providers to assist residents with employment readiness including career counseling, job search assistance, and placement services. These programs are highly structured and aim to give individuals in the shelter system, the skills they need to take advantage of employment program shelters. Another employment program overseen by DHS is an employment support program. This is a program designed for men who have been employed for at least a month and who are committed to the goal of independent living. The program provides support in the areas of maintaining employment, housing assistance, and budgeting and saving. Several employment programs are designed for substance abusers, and integrate working into the recovery process. DHS also has a contract under the U.S. Department of Labor Job Corps program to provide educational and vocational training for homeless young adults between the ages of 18 and 24. Most of these contracted employment programs are also eligible to receive incentive payments for placements above their contractual targets.

Educational Services: Job training programs require a strong basic skills component that can help compensate for an unfortunate educational background. To address this situation, most DHS operated or contracted facilities provide GED classes either on or off site as well as refer clients to other educational services in the community.

Mental Health Rehabilitation: There are a number of existing programs for shelter residents who are identified as being mentally ill. Most of these programs are operated by non-profit organizations and are funded with City, State, and Federal dollars. ESG funds are used by DHS to help support mental health programs at adult transitional residences in the DHS system. In CFY 2008, these facilities served a total bed capacity of 1,538 for individuals with mental illness. All mental health programs are funded to include psychiatric clinicians working on-site, including psychiatrists or psychiatric nurse practitioners. The New York State Office of Mental Health (OMH) provides evaluation, referral, and mental health services in the single adult shelter system, and provides psychiatric evaluations and additional referral services while the DOHMH Mobile Crisis Teams assist in evaluation and emergency transport of clients and the provision of emergency care as necessary. Some of the mental health programs provided include Community Support Services (CSS), Mental Health Rehabilitation Programs, Transitional Living Communities (TLCs), and Services for Mentally Ill Chemical Abusers (MICAs).

CSS programs are clinical case management programs that identify residents with serious and persistent mental illness and try to engage them in treatment. They provide a comprehensive array of services in a flexible, low-demand environment. The primary goal of CSS programs is to help clients develop the skills necessary to move into permanent housing or into a transitional program that will lead to permanent housing. TLCs also provide mental health rehabilitation services to seriously mentally ill homeless persons. The TLC program model is administered via contract by non-profit agencies with oversight from DHS and the DOHMH's Division of Mental Hygiene. The goal of the TLC model is to place individuals into permanent housing by providing a structured transitional rehabilitative environment within the shelter system. These programs are funded through State Community Support services dollars and City expense funds. Two of these programs (located in Manhattan) generate Medicaid dollars while two others (located in the Bronx and Brooklyn) receive HUD funding.

The mentally-ill chemical abuser (MICA) programs provide case management, mental health, and substance abuse counseling to clients who are dually diagnosed with mental illness and substance abuse problems. The ten MICA programs in the adult system also provide on-site medical and psychiatric assessment and/or treatment, assistance in obtaining benefits and appropriate housing placements. The goal of the program model is to stabilize clients, to provide the support services and structure necessary for them to maintain a drug free lifestyle, and to make the transition from shelter to appropriate housing.

DHS oversees two reception centers that are operated by non-profit providers that serve the chronically frail and mentally ill. The centers provide low-demand mental health programs, similar to the federal "Safe Havens" model for seriously mentally ill clients. These centers have enhanced staffing, with physicians and nurses on-site, and offer beds and a wide variety of services. In order to draw in more service-resistant street homeless individuals who could benefit from the center, both of the centers coordinate with outreach teams specializing in mental health.

**Specialized Services for Veterans:** Homeless veterans receive specialized services at one transitional residence. Services include treatment and readiness programs, referrals for substance abuse services, medical and mental health services, as well as assistance in obtaining veterans benefits. The Borden Avenue residence located in Long Island City provides an array of social services for this population. In CFY 2008 the Borden Avenue residence was renovated by creating private individual sleeping units for residents as opposed to the congregate barracks-like configuration of beds that existed.

**Substance Abuse Treatment:** It is difficult to provide an accurate count of the number of adult residents who are in need of drug rehabilitation and treatment. In order to provide residents with the opportunity to live in a drug-free environment with supportive services, DHS oversees the operation of a number of residential substance abuse treatment programs within its contracted and directly run sites, and transitional housing programs. In CFY 2007, 16.3% of single adults in the shelter system were in beds allocated for substance abuse programs.

A number of different program models are available in the shelter service system for clients who are chemically dependent. These programs are designed to address substance abuse issues through intensive on-site services, as well as referrals to community-based day programs. On-site programs include Clean and Sober programs, modified Therapeutic Communities (TC's), Supported Work Programs (SWP's), Re-Entry programs, and Alcoholics Anonymous (AA) and Narcotics Anonymous (NA) meetings. In CFY 2008, DHS initiated a OASAS-licensed shelter-based Detox for men at 3<sup>rd</sup> Street, with plans to have a second such Detox at Atlantic Assessment.

Clean and Sober programs complement community-based day treatment program attendance, by providing shelter-based support services in the evening. ESG funds are used by DHS to fund substance abuse counselors at two adult transitional facilities with Clean and Sober dorms. These counselors assess clients, refer them to appropriate outpatient services, and support them on-site with relapse prevention programs and group counseling.

A therapeutic community (TC) is a highly structured program model. TC's offer various ancillary services, including vocational training, educational services, life skills training, HIV education, group and individual counseling, and legal assistance.

SWPs (Supported Work Programs) are site-based programs based on the Alcoholic Anonymous 12-Step philosophy, which integrate a progressive work component providing a graduated salary-stipend into the recovery model. Intensive individual and group counseling are used to enhance the substance abusers commitment to recovery, and assist them in attaining financial independence, and making the transition into the community.

Re-entry programs are targeted to clients who have graduated from treatment and do not require long-term treatment programs to reintegrate into the Community. Re-entry includes assistance with job search, application

and independent living skills development, and development of community-based contacts for continuing treatment and support.

**Specialized Case Management** - The demand for specialized case management is apparent given the high rates of mental illness and substance abuse, as well as other social and medical problems among shelter residents. Strong counseling and case management services enable programs to promote independent living by providing clients with on-site support with linkages to appropriate community-based follow up services. Specialized case management is available to varying degrees in the mental health, substance abuse, and employment program shelters.

**Health Services** - In many contracted and directly run shelters, DHS facilitates clients' access to health care by funding directly or via sub-contract, on-site medical services. Additionally, on-site psychiatric services are available at all assessment sites, mental health/MICA shelters, some shelters caring for clients suffering from substance abuse disorders, and some pre-program and TLC sites. There are two Comprehensive Care Programs (CCP), serving medically frail adults through increased case management, enriched nutrition, enhanced linkage to medical services, and expedited housing placements; and Barrier Free Living, which provides transitional shelter exclusively to physically disabled individuals who require home care, but do not qualify for skilled nursing facilities.

The Office of Health Care Policy & Administration office of the Agency Medical Director works jointly with DOHMH, to ensure that public health in the family and single adult shelter system is optimized. DHS works closely with the DOHMH-Divisions of Communicable Diseases and Immunization and Vaccine-Preventable Disease in containing outbreaks of infectious illnesses and promoting immunization as the best preventive measure.

DHS also works daily with the DOHMH-Bureau of tuberculosis (TB) Control. DHS and the DOHMH-BTBC work under a formal Memorandum of Understanding (MOU). In CFY 2008, under this MOU, DHS implemented "Partners in TB Control" initiative and created Bureau of TB Control's Public Health Educators, assigned to specific medical providers, to assist the Provider in providing on-site DOT to clients with LTBI, who may be better served at their respective shelters than at the shelter-based TB unit.

Additionally, the DHS Program Referral Unit (PRU), reporting to the Office of Health Care Policy & Administration, together with the contracted Medical Review Team (MRT) and representative hospital staff from the Greater New York Hospital Association, revised and implemented the policy that facilitates referrals for homeless single adults into the shelter system. This allows for a quicker review and placement process for clients. This will serve to better identify those who are medically inappropriate for shelter placement so that alternative living arrangements can be made, and also enable clients to return to their shelters to continue working toward independent living.

#### Housing and Program Development

The Housing and Program Development Division of Adult Services is responsible for the referral of residents to appropriate permanent housing through the Placement Facilitation Unit (PFU). Federal ESG funds are used to fund positions in this unit, which works closely with shelter staff to identify, engage, and place as many shelter and street homeless residents as possible into housing. This includes homeless veterans and persons recently released from correctional facilities who are currently in the shelter system.

Housing and Program Development is also responsible for developing and helping to fund supportive SROs by providing social service funding to non-profit SRO operators that house homeless and low income individuals. These funded services enable tenants to live independently in a safe and secure environment and provide needed support in their transition from the shelter to permanent housing. The Scatter Site Section 8 program, PHACT, Moving On and RAP provide other housing options for clients exiting the transitional system.



### Permanent Housing

Social service programs throughout the continuum of care serve to assist homeless single adults in their return to independent living in the community. Therefore, the goal of these programs is to help homeless individuals to move into permanent housing, be it an independent living arrangement or a supportive housing environment. Towards this end, the City of New York provides a variety of housing alternatives for single adults including emergency placement in commercial Single Room Occupancy (SRO) buildings, permanent placement into supportive SROs with on-site social services operated by not-for-profit organizations; transitional congregate housing with supportive services; permanent congregate housing with supportive services, (these housing alternatives are overseen by the DOHMH, please refer to the non-special needs section for more information) and independent housing. The Housing Stability Plus (HSP) program was successful in moving 576 single adults into permanent housing program. DHS has continued to build on the programmatic lessons learned from the HSP program and has developed a new program to replace HSP to allow for a broader spectrum of clients to be provided with a rental subsidy opportunity. DHS has developed the Advantage Programs (Work Advantage, Fixed-Income Advantage and Short Term Advantage) to ensure that clients employed at 150% below the Federal Poverty Level namely those earning between 150%-200% FPL and those on a fixed income (SSI, SSDA, Veteran's benefits and/or pension) respectively, can qualify for one of the above programs. A continued focus on permanency planning and housing is a key component to DHS' plan to achieve the goals of the Five Year Plan. DHS has deployed ESG funded staff to implement many housing initiatives. These programs represent a combination of evidence-based practices (e.g. supportive housing and assertive community treatment) and innovative approaches to promoting permanency and utilizing housing options more effectively. DHS' ESG funded staff have been essential in developing and implementing these programs. These staff members ensure that housing and related services are targeted to the street and sheltered homeless clients who are at the greatest need, as measured by length of homelessness and clinical acuity.

A critical initiative of the DHS Five Year Plan was to create supportive housing targeted to long term shelter stayers and difficult to place single adults and to place those individuals into existing and new housing. Several programs including PHACT, Moving-On, and Match Up have been developed in coordination with a taskforce of government and nonprofit agencies as part of this strategy. The Long-Term Stayer Match-Up Project, for example, an initiative created from an interagency taskforce, matched NY/NY II facilities with shelters that had high numbers of long-term stayers. DHS, DOHMH and OMH requested from providers of the new housing facilities to accept a high proportion of long-term stayers as their initial tenants. Over fifteen (15) housing providers had agreed to participate. They were then matched with twenty-one (21) shelters and had moved two hundred and thirty-two (232) long-term stayers into permanent housing. As a result of this initial success, the Match-Up Project is being expanded. Twenty-four (24) projects have aided the movement of six hundred and fourteen (614) committed, permanent, housing units.

In November, 2004, there were approximately 2,150 single adults residing in DHS shelters for nine months or longer. Since then, the Partners for Permanency (PFP) project has been operating to intensely focus an array of services on this cohort of "long term nine-month stayers" within the DHS system.

A recent addition to the supportive services repertoire available to the chronically homeless is the Single Point Of Access (SPOA) service. The SPOA Housing Project is a joint demonstration project between OMH and DOHMH which focuses on housing services for eligible adults with severe and persistent mental illness in NYC. The main goals of the SPOA initiative are to improve the coordination of housing placement and to assure access to and use of appropriate services.

In CFY 2008, homeless single adults also received housing assistance from a variety of publicly supported permanent housing programs, including: supportive SROs; licensed residential facilities; Section 8 rental assistance; NYCHA units; HUD's Shelter Plus Care Program; units from HPD's non-SRO programs; and assistance through HRA's HASA Services. The supportive SROs into which DHS places homeless single adults are developed primarily through HPD's SRO Loan Program. HPD also receives Section 8 Moderate Rehabilitation funding from HUD that helps to pay for the operating costs of these units. DHS, through Support Service contracts, provides the funding for the SRO supportive services. As the demand for supportive and

service-enriched housing for the chronically homeless, as well as rental assistance for at-risk populations, is exceeding our supply, DHS is working now through the City's 5-Year Plan to end chronic homelessness by increasing the supply of supportive housing/service-enriched housing as well as improving coordination of rental assistance policy across city agencies. Programs under this category receiving ESG funding work to achieve the goal of ending chronic homelessness as described in Mayor's Initiative to End Chronic Homelessness.

As mentioned previously, since April 25, 2007, the Work Advantage Program replaced HSP. Work Advantage provides rental assistance that is not tied to the continued receipt of Public Assistance. It is a one year rental subsidy with a second year extension available for those who meet continuation criteria. While receiving the rental assistance, participants will be working and encouraged to save their earnings. These savings will be doubled so that when the rental assistance ends, families will have additional means of support. A key tool in the Work Advantage program is a savings program that will provide clients with a financial cushion when rental assistance ends. While clients are receiving the rental subsidy, which will account for almost 100% of their rent, they can contribute up to 20% of the rent amount to a savings account that will be matched at the end of the program. In addition, clients will pay \$50 in rent directly to the landlord, which will also be matched and added to the client's savings. For instance, after one year, a family with a monthly rent of \$1,070 who was saving at a rate of 20% per month could end up with nearly \$6,000 in a savings account, including the client savings and City matching funds. This new approach serves to help clients move closer to self sufficiency by gradually easing into the expectations of the rental market.

Furthermore, since the beginning of CFY 2007, DHS had a total of five new and renewed Rental Assistance Programs (RAPs) for single adults living in DHS directly operated and/or contracted shelters and drop-in centers. The goal of the RAP is to assist homeless, employed, single adults to obtain and maintain permanent, private sector housing.

DHS relocated 9,749 single adults into long-term subsidized housing during CFY 2008, including 1,620 in Supportive housing, 605 in subsidized housing, 612 in residential rehabilitation and 6,912 returned to family or independent living.

Since October 1999, the City has been a partner in the expanded New York/New York Agreement (State/City) housing program for mentally ill homeless individuals. This expanded agreement created 1,500 apartments to serve approximately 2,300 mentally ill homeless people over that following five year period. During that time, it cost \$12,000 annually to house and provide services to an individual in New York/New York Housing, compared to the approximate \$20,000 cost to keep that individual in a shelter each year.

On November 3, 2006, Mayor Bloomberg and Governor Pataki signed the New York/New York III Agreement, a landmark collaboration between the city and state to develop 9,000 units of supportive housing over ten years. The agreement would nearly double the supportive housing portfolio currently managed by city agencies. It was also a far more complex program than previous supportive housing initiatives: NY/NY III housing is targeted to a broad array of special needs client populations, each with a relatively unique set of eligibility rules and placement requirements.

Under the previous NY/NY agreements, clients were evaluated and certified by HRA and referral sources made referrals directly to housing providers. To utilize NY/NY III housing as effectively as possible in its plan to reduce chronic homelessness, New York City has planned to use the new housing resources in a much more targeted fashion. The City will take on the role of actually placing the targeted clients, rather than using the "free market" approach of the past. Under the City's plan to implement NY/NY III, DHS will be designated as the placement agent for units procured under this Agreement. Specifically, DHS will be responsible for tracking vacancies in the NY/NY portfolio in conjunction with HRA and matching clients determined to be eligible with vacant units. No client will be able to be placed into NY/NY III housing without prior DHS approval.

To date, 185 of these State funded scattered site units for chronically homeless clients with a severe and persistent mental illness have come online. As described in the Agreement, DHS has functioned as the placement agent for these units as described above. Kickoff meetings were held with housing providers to orient them to the role of DHS, eligible clients were identified through coordination with HRA, and the housing interviews were coordinated between the client, shelter provider and housing provider. DHS looks forward to a similar successful implementation once the City funded units for scattered site and congregate buildings are completed. These contract awards are managed by the Department of Health and Mental Hygiene.

**d. Runaway and Homeless Youth**

Description of Population

According to the Runaway and Homeless Youth Act, "Runaway youth" shall mean a person under the age of eighteen years who is absent from his legal residence without the consent of his parent, legal guardian or custodian; and "Homeless youth" shall mean a person under the age of twenty-one who is in need of services and is without a place of shelter where supervision and care are available. Youth become homeless in New York City for a variety of reasons. They run away from homes where they may have been subjected to abuse or sexual exploitation, or exposed to domestic violence or substance abusing parents. Some are rejected because of sexual orientation, pregnancy, problems at school, or issues with drugs and alcohol. Youth leaving detention placements or those who have aged out of foster care may also find themselves homeless. While living on the streets of New York City, these youth are vulnerable to abuse and exploitation, including violence and prostitution.

Runaway and Homeless Youth Services

In keeping with the federal Runaway and Homeless Youth Act (RHYA) of 1978 and current New York State RHYA regulations, the City's Department of Youth and Community Development (DYCD) funds programs that are designed to protect runaway and homeless youth and, whenever possible, reunite them with their families. In cases where reunification is not possible, these programs are designed to help youth progress from crisis and transitional care to independent living. Program activities and experiences are designed to assist youth in becoming healthy, caring, and responsible adults. Funding to operate these programs is provided in partnership with the New York State Office of Children and Family Services (OCFS) and the New York City Department of Homeless Services (DHS).

In December of 2005, DYCD issued a Request For Proposals (RFP) to enhance its continuum of services for runaway and homeless youth (RHY). The RFP outlined services for up to \$7.9 million in funding for Drop-In Centers, enhanced crisis shelters, transitional independent living (TIL) programs, and re-designed street outreach services. The "Community Connections" component located drop-in centers for RHY and at-risk youth and families in each borough and in the Manhattan shelter included city-wide transportation services to youth in need of shelter. Community Connections Coordinators are responsible for linking youth and families to resources and services, as well as education and prevention at the neighborhood level. DYCD's TIL programs are designed to meet the needs of all young people, including the specialized needs of lesbian, gay, bisexual, transgender and questioning (LGBTQ) youth, pregnant and parenting youth, and sexually-exploited youth. In CFY07, 116 Crisis beds and 72 TIL beds were funded for a total of 188 beds. In CFY08, with \$4.663M in funding from City Council (\$2M above FY2007), an additional 119 beds were funded, for a total of 235 beds in all. In CFY09, with continued support from City Council (\$4.663M), DYCD anticipates funding beds at the same levels as in CFY2008.

Street Outreach & Referral Services

DYCD's city-wide, vehicle-based street outreach services focus efforts on those areas where youth are known to congregate at night.

The role of the street outreach worker is to distribute information about RHY services, provide resources, materials and referrals, and transport youth from unsafe places to a safe environment, whether that be home to their family, another safe home, or crisis shelter. Runaway and Homeless Youth Street Outreach Services

operate between the hours of 9:00 PM and 5:00 AM, 7 days per week. In the current contract, 8000 youth contacts are targeted per year.

The following organizations are currently contracted to provide street outreach services to runaway and homeless youth: Greenwich Village Youth Council (GVYC), in lower Manhattan, up to and including 59<sup>th</sup> Street, Brooklyn, and Staten Island; and La Asociacion Benefica Cultural Father Bellini (Father Bellini) in Manhattan above 59th Street, in Queens and in the Bronx. Under contracts that began on September 1, 2006, GVYC and Father Bellini each will receive approximately \$200,000 annually to have contact with 4,000 youth each.

### Community Connections: Drop-In Centers and Transportation

#### Borough-Based Drop-in Centers

Drop-in centers, located in every borough, provide homeless and at-risk youth and their families with information and access to a variety of services including counseling, mediation, and referrals to local resources such as health and mental health services and substance abuse treatment. In effect, they are family resource centers, offering support and assistance to youth and their families. Drop-in centers will also raise public awareness about homelessness through workshop presentations in schools and other venues.

The drop-in centers are open from 9:00 a.m. to 9:00 p.m., 7 days per week.

The Manhattan Drop-In Center provides city-wide transportation services in addition to drop-in services. The primary role of this service is to transport youth to and among RHY facilities in accordance with requests from DYCD-funded RHY programs, including *Youthline*, (New York City *Youthline* is a confidential, toll-free telephone information and referral service for young people, parents, service providers and community members run directly by DYCD). The City-wide transportation service operates from 1:00 pm to 9:00 pm, 7 days per week.

The following organizations are currently contracted to provide drop-in services to runaway and homeless youth: Safe Horizon in Manhattan (as indicated, transportation services are also provided by this organization, 2,083 youth for \$500,000), Bronx Gay and Lesbian Health Resource Consortium (2,106 youth for \$300,000), Safe Space (Queens, 1,500 youth for \$300,000), Seaman's Society for Children (Staten Island, 1,072 youth for \$200,000), and SCO Family of Services (Brooklyn, 1,700 youth for \$300,000).

### Types of and the providers of Supportive Housing Services

#### Crisis Shelters

Emergency shelter is a critical component within the continuum of care for runaway and homeless youth and is the entry-point for residential services in our system. These voluntary, short-term residential programs provide emergency shelter and crisis intervention services with the goal of reuniting youth with their families or, if family reunification is not possible, finding other appropriate transitional and long-term placements for them. Youth will be housed on a short-term basis for up to 30 days.

Crisis shelters provide comprehensive, on-site short-term care and services that include but are not limited to the following: emergency services, including food, shelter, and clothing, entitlement services, intensive counseling for families, individuals and groups, medical and mental health care, dental care, HIV testing, educational services, including basic skills testing and proficiency exams, housing assistance, legal assistance, recreational activities, substance abuse education and prevention, transportation services, violence intervention and prevention counseling, ACS referrals, where required, and family mediation.

In CFY08, the following organizations were contracted to provide these services to runaway and homeless youth: Covenant House (65 beds for \$1,714,275), Ali Forney (12 beds for \$803,532), Safe Horizon (6 beds for \$282,498), and The Turning Point (20 beds for \$620,627). It is anticipated that these providers will continue at virtually the same levels for CFY09.

### Transitional Independent Living Programs (TIL)

The goal of these programs is to provide older homeless youth (16 - 20 years of age) with the training and skills necessary to establish for them a self-supporting, independent life. Youth may stay in the Transitional Independent Living Program for up to 18 months, during which time they receive educational services, vocational training, job placement assistance, counseling and training in basic life skills such as cooking, home maintenance and money management.

Residents live in a cooperative situation, where they have maximum responsibility for their daily lives but also have onsite access to counseling and support services. All Transitional Independent Living Programs are open 24 hours per day, 365 days per year. A young person in need of these residential services must first enter a Crisis Shelter.

In CFY08, the following organizations were contracted to provide TIL to runaway and homeless youth: Green Chimneys (pending final contract processing) (10 beds for \$420,000), Girls Educational Mentoring Services (9 beds for \$307,635), Rachel's Place (6 beds for \$382,110), Good Shepherd Services (8 beds for \$400,000), Inwood House (10 beds for \$500,000) SCO Family Services (operated four sites for the following populations: males, females and mothers and their children (67 beds for \$2,548, 143), and Safe Space (12 beds for \$480,000).

### Future Initiatives for Runaway Youth

As current contracts will expire on June 30, 2009, a new RFP is now being developed for contracts that will begin July 1, 2009. This RFP will further refine the model introduced in CFY07 and will include: adjusting drop-in 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.

### Placement of Children into Foster Care and Children Aging Out of Foster Care

The Administration for Children's Services (ACS) provides a range of supports and services to families and young people who are aging out of foster care. Since children who age out of the foster care system are at a high 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 Office of Housing Support and Services (formerly the Office of Housing Policy and Development (HPAD)). ACS' Office Housing Support and Services (HSS) is responsible for administering various housing supports and services to our clients. HSS is also collaborating on the development of a number of innovative supportive housing programs for youth aging out of foster care, families preparing for reunification, and families seeking to prevent the placement of their children into 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, ACS, in cooperation with the New York City Housing Authority (NYCHA), developed the Family Reunification Priority (FUP) Code Program. The program enabled ACS to access Section 8 housing vouchers for qualified families whose only impediment to reunification was housing. Through this program, ACS could essentially access an unlimited number of Section 8 vouchers for qualified families in need of housing to expedite permanency. Through the Family Unification Priority Code Program, ACS was able to obtain a voucher for any qualified family served by ACS, and reduce the amount of time some children may have spent in foster care.

Prior to the creation of the Family Reunification Priority Code Program, ACS was able to access fewer than 900 Section 8 vouchers for families between 1991 and 2001, an amount that did not meet the needs of families that ACS served. Due to reductions in Federal funding, the FUP Section 8 Program was frozen for a period of time. This program re-opened to ACS in 2005, and applications are being submitted to NYCHA for ACS families. NYCHA also has created a priority code for ACS families, and applications are being submitted for that program as well. In addition, HUD and NYCHA have given ACS families reunifying out of foster care access to

a priority code for NYCHA Public Housing. That code went into effect in December 2005. Finally, families are also able to access Housing Subsidy, which is described more fully below.

In CFY2008, 56 ACS families obtained Section 8 vouchers and the 38 families received NYCHA Public Housing under the auspices of the Family Unification Program.

## 2. Resources for Youth Aging out of Foster Care

### Section 8 Vouchers and Public Housing for Youth in the ACS Independent Living (IL) Program

In cooperation with NYCHA, ACS developed a program to secure Section 8 vouchers and Public Housing units for young adults leaving foster care who do not have adequate housing. To qualify, a youth had to meet the income eligibility criteria (earning less than \$24,800 gross/year for a household of 1 person), as well as other Section 8 requirements. Each youth also had to meet the following programmatic criteria: the client must have been at least 18 years of age and in care with an anticipated trial discharge date within the next 12 months. ACS youth must also meet all other NYCHA eligibility requirements.

An important feature of this program is that ACS did not have a finite number of vouchers, which would eventually be exhausted. Rather, ACS had access to as many vouchers as were needed for all qualified current ACS youth. In CY 2007, 507 Section 8 applications were submitted to NYCHA, and 110 were certified. In CFY2008, 115 of young adults leaving foster care obtained a NYCHA public housing unit, with 97 young adults obtaining a Section 8 voucher.

### ACS Preparing Youth for Adulthood Program (PYA)

The ACS Office of Youth development promotes a strength-based philosophy through supportive programming.

The concept of youth development suggests that youth contribute positively to their community and the program integrates this approach into their work with youth. The program offers technical assistance and monitoring of agencies and pursues shared resources development with outside organizations.

Children's Services is collaborating with New York City Local Initiatives Support Corporation (LISC), a national community development intermediary, to connect youth to non-supportive housing financed with the Low Income Housing Tax Credit (LIHTC). Children's Services and LISC will work with the community development corporation (CDC), Harlem Congregations for Community Improvement (HCCI) to provide approximately 26 housing units for youth who have recently transitioned from foster care. These youth will be supported by an MSW who will provide regular monitoring of their placements and provide some case management and on-site referral support. Youth will be referred by both foster care providers serving the Harlem community and the NYC Department of Homeless Services. Children's Services will provide support in the referral process particularly in connecting youth who meet the criteria for placement from the Exception to Policy pool.

Harlem Congregations for Community Improvement (HCCI), a Central Harlem-based CDC, has dedicated 26 units in a new eighty unit affordable housing development to be leased solely to youth transitioning from foster care. For this project, both LISC and HCCI will provide additional wrap-around support to these young people by making their additional programs and services available to them, such as employment and training services, referrals to literacy and computer training as well as access to other income-support, health and child care services. Employment readiness and retention will be an important component to this program in that youth participating will be able to access various employment services offered by HCCI to improve their skills and support in accessing employment opportunities that will yield additional stability as the young person matures. Currently, HCCI has developed its own Construction Trades Academy, which trains youth in all facets in the construction industry, which is an area of growth in New York City, particularly in environmentally friendly building. Furthermore, LISC, HCCI and Children's Services will connect youth to various career and vocational programs that will further support skill-building and career advancement for the youth involved.

In addition to the services to targeted youth, LISC will provide technical assistance to Children's Services in developing its own capacity in its Housing Unit as well as OYD to more effectively connect to non-supportive housing opportunities for both youth transitioning from care. Local Initiatives Support Corporation will build Children's Services' and its providers' capacity to support youth in accessing public housing subsidies, such as Section 8, NYCHA and the child welfare subsidy, by providing additional training and coaching on the processing of these applications and supporting youth throughout the process. Last, LISC will begin to develop strategies to create additional housing opportunities, which may include the creation of housing to support youth discharged from foster care; including students and those disqualified from other subsidized options.

Working with LISC, Children's Services will measure the success of this initiative through regular monitoring of activities as well as through periodic surveys of program participants, which include Provider staff, youth participants and other key stakeholders. In addition, it will use data collected by LISC and the CDC partners to assess overall impact of the program and those it serves.

The Administration for Children's Services 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, ACS is actively collaborating with other City agencies and non-profit organizations in the development of supportive housing for youth. ACS is a full-partner in the City's NY/NY III initiative, and at least 800 new supportive housing beds will be developed for young people aging out of the foster care system, who are homeless or at risk of being homeless.

### 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 ACS 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 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. This subsidy lasts for 36 months or \$10,800 (including the 2 one-shots), which ever comes first for each youth or family that participates in the ACS Housing Subsidy program. This program currently maintains a caseload of approximately 615 young people and families.

## **2. Housing Continuum of Care for Non-Homeless Special Needs Populations**

### **a. Mentally Ill, Mentally Retarded and Developmentally Disabled and Chemically Dependent Populations**

#### **1. Housing Needs**

People with disabilities face barriers beyond the expected problems of cost and location in their search for housing. Meeting the dual challenges of locating housing that is both accessible and affordable can be exceedingly difficult, particularly when accessibility relates not only to the dwelling place itself, but also to location on an accessible route to employment, services and other features of daily living which most people take for granted.

By most standard measures, the disability community in New York City is poorer and has a higher rate of unemployment and under-employment than other segments of the adult population. This makes it difficult for most people with disabilities to enter the city's high-priced housing market without the use of heavy rent subsidies, which are in short supply.

Hospitals and community-based service programs seek to coordinate their efforts with transitional and permanent supportive housing facilities. Hospital discharge planning policies and practices call for arranging aftercare and housing, if necessary, prior to the conclusion of an inpatient stay. If the client will be homeless upon discharge, discharge planners contact supportive residences providing various levels of care regarding available vacancies and application procedures.

Housing facility administrators reach out to both hospitals and community-based service programs to inform them about the types of supportive residential settings in which persons may live and continue their rehabilitation.

#### **2. Inventory of Housing**

Supportive housing programs for this population are predominately funded on the State level by New York State's Office of Mental Health (OMH), Office of Mental Retardation and Developmental Disabilities (OMRDD), and Office of Alcoholism and Substance Abuse Services (OASAS). Many of the supportive housing and related housing service programs described in this section are operated by not-for-profit agencies. Mental Health services for homeless persons are discussed in the Supportive Housing Continuum of Care for the Homeless section.

The following housing services for homeless persons with a diagnosed mental illness are funded by the New York City Department of Health and Mental Hygiene (DOHMH) and the New York State Office of Mental Health:

##### **1. Housing for Seriously and Persistently Mentally Ill (SPMI) Populations**

Housing specifically targeted for individuals with mental illness is funded and developed by both OMH and DOHMH.

The State of New York continues to reduce the number of beds in State psychiatric institutions in order to convert to a network of community-based programs to support seriously mentally ill adults and seriously emotionally disturbed children. This transition was initially facilitated by the passage of the Community Mental Health Reinvestment Act in 1993. That act tied funding and development of community-based mental health services to the reduction of beds in State Psychiatric Hospitals by using a formula based on local prevalence rates of mental illness. Reinvestment Act monies were targeted to services that include crisis and emergency services; outpatient services; vocational, educational and recreational programs; and supported housing. While



the programs funded under the original Reinvestment Act continue, that source of funding has ended. However, in 2003, the State of New York passed the Community Mental Health Support & Workforce Reinvestment Program, which will provide OMH with monies to distribute at its discretion from savings due to the continuing closure of State psychiatric center beds. In Fiscal 2005, OMH received \$9.6 million from the closing of 100 adult beds and 21 children's beds. Although these funds were not distributed to localities pursuant to the formula used under the original Reinvestment Act, about \$7 million was used to fund 318 beds of scattered site supported housing for adults with mental illness in New York City. As of June 2006, 318 beds have been allocated and the beds have been developed.

The DOHMH capital development of congregate supported housing is accomplished with the assistance of the New York City Department of Housing Preservation and Development (HPD). Most of the subsidies for the operation and social service costs of the units developed by the City are funded by OMH. However, DOHMH has funded some scattered site housing with Reinvestment money, has supplemented OMH subsidies for congregate housing with city tax levy dollars, and is planning to fund several new congregate housing programs for populations with mental illness using DOHMH funding.

There are four principal categories of housing: Congregate Treatment Residences; Apartment Treatment Programs; Congregate Support Residences; and Supported Housing.

#### Congregate Treatment Residences

Congregate Treatment Residences are licensed transitional (less than two years) residences for people with mental illness that are developed and funded by OMH. In addition to 24-hour supervised living, these residences provide a high level of support to assist the residents to progress to a more independent living situation. Services include counseling, self-care and community skills development, socialization, case management, crisis intervention, and medication management. Participation in services and structured day programs is strongly encouraged. Residents are eligible for Level II SSI benefits and receive a pre-determined personal needs allowance. As of June 30, 2008 there are 2,323 Congregate Treatment Residence units in operation in New York City.

#### Apartment Treatment Programs

Apartment Treatment Programs are transitional programs that provide shared apartments for up to four individuals and are developed, funded and licensed by OMH. Services include counseling, self-care and community living skills development, case management, crisis intervention, and medication management. Counselors visit residents one to seven times weekly depending on the individual's need for support. Participation in services is encouraged and residents are required to participate in structured day programs. Residents are eligible for Level II SSI benefits and receive a personal needs allowance which is adjusted according to the level of responsibility for meal preparation and other personal expenses. As of June 30, 2008 there are 1,843 Apartment Treatment units in New York City.

#### Congregate Support Residences

Congregate Support Residences are extended stay residences that are developed, funded and licensed by OMH. They are also known as *Community Residences/ Single Room Occupancy Residences (CR/SRO)*. This type of housing is designed as studio apartments, or as suites containing single bedrooms combined with a shared living space. The CR/SRO provides on site supportive services. Residents have Residency Agreements and are eligible for Level II SSI benefits. Residents pay service fees and retain the equivalent of 70% of the Level II SSI benefit for their personal needs. As of June 30, 2008 there are 1,152 congregate support units in operation in New York City.

#### Supported Housing

Supported housing provides permanent housing to individuals and families. It is developed by both OMH and DOHMH. Supported housing is not licensed, however it does operate based on an established set of guidelines that have been developed by the funding agencies. Housing choices can include scattered site apartments or single site apartment buildings and Single Room Occupancy units. Tenants retain a lease for their apartment and

are responsible for contributing 30% of their income toward rent and utilities. Case management services are available to assist tenants in accessing all necessary community services and to otherwise assist successful integration into community living. As of June 30, 2008 there are 9,773 units of supported housing in New York City.

Several important initiatives are creating new housing opportunities for this population.

#### New York/New York II

The 1999 New York/New York II Agreement provided for a joint City/State five-year effort to develop approximately 1,500 additional housing units for homeless adults with mental illness. The capital portion of the Agreement provided for 1,000 new units, with the State and City each committed to developing 500. By securing various other sources of funding, the City was able to increase its share of development to 707, the majority of which are being developed by HPD. Most of the New York/New York II capital housing projects are either already operational or in the later stages of development: the State has 414 units open with the remaining 86 units to be completed by early 2009. Of the City's units, 689 are operational as of June 30, 2008, with the remaining 18 expected to be complete in 2009. The remaining 500 units not included in the capital development plan which are scattered site have already been completed, 190 by the State and 310 by the City. The State provides \$11,732 per unit annually to subsidize the social service and building operation costs and the City provides an additional \$1,000 annual subsidy per unit, for a total of \$12,732 per NY/NY II unit.

#### High Service Needs Housing I

An \$80 million City/State match for a congregate housing development program was initiated in Fiscal 2001 to provide approximately 800 new congregate housing units in NYC over five years 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. Three of the adult programs and one children's program (totaling 40 units) opened as of February 2007, and the others are all in various stages of development. The City's match of 400 units are all for single adults. The State provides \$11,732 per unit annually to subsidize the service and building operation costs, and the City provides an additional \$1,000 annual subsidy per unit. Also, the City is able to use savings from Shelter Plus Care, the federal rental subsidy, and add an additional \$768 per unit, for a total of \$13,500 per unit. Six programs with 242 units were open as of June 30, 2008. The others are in various stages of development, with most of them scheduled to open in 2009.

#### High Service Needs Housing II

A \$65 million City/State match for congregate housing development was initiated in Fiscal 2003 to provide another 1600 units of supported housing for single adults with mental illness in New York City over the next five years. The State has awarded 800 beds to providers who responded to an RFP issued in the fall of 2003. One project, with 16 units, is open, and others are in development or in the process of identifying appropriate sites. The City issued an RFP for its matching 800 units in February 2005. The State is providing \$13,233 annually per unit to subsidize the social service and building operation costs. Using funds including savings from Shelter Plus Care, the federal rental subsidy, the City will contribute an additional \$1,655 so that the total annual funding per unit will be \$14,888. As of June 2008, twenty proposals have been approved, totaling 707 units. New proposals have been submitted to DOHMH on a rolling basis until all have been permanently assigned.

#### New York/New York III

In November 2005, the City and State entered into the New York/New York III Agreement, a major initiative to provide 9,000 new units of housing over the next ten years to a broad range of special needs populations, including persons leaving State psychiatric centers, homeless persons with mental illness, substance abuse disorders or HIV/AIDS, homeless families in which the head of the household has a mental illness, substance abuse disorder, HIV/AIDS or a medical disability, and young adults leaving foster care. The State is responsible for 5,125 units (3,125 capital and 2,000 scattered site) and the City is responsible for 4,850 units (3,600 capital and 1,250 scattered site) which include 1,000 units to be procured by the New York City HIV/AIDS Services Administration (HASA) later this year. The annual per unit rates for the NY/NY III housing units vary by target

population type and range from \$14,888 to \$25,000. Pursuant to RFPs issued in 2006 and 2007, the State has awarded contracts for 425 scattered site units, the majority of which are operational, and issued set-aside awards for 1,125 capital beds that will open over the next five years. The State will issue additional RFPs for the remaining 3,575 units in the coming years. The City issued two RFPs in early 2007, and has awarded contracts 1,877 units (905 capital units and 973 scattered-site units). All of the scattered-site units are expected to open by the end of Fiscal 2009. Three of the capital projects are, open, while the remainder of the capital units will open gradually over the next nine years. New proposals may be submitted to DOHMH on a rolling basis until all capital units have been permanently assigned.

#### Supportive Housing for Young Adults

In May 2006, the City released an RFP for young adults between the ages of 18-24 with diagnosed mental illness or serious emotional disturbance, using \$960,000 in Reinvestment funds. The City has awarded three contracts for a total of 52 units, which should all be operational in 2008. Under this initiative, the annual per unit rate is \$22,000.

## **2. Housing for Mentally Retarded and Developmentally Disabled Individuals**

OMRDD funds all residential services for this population. It plans for services, makes policy, and contracts for supplemental services such as employment and recreational services. The OMRDD Certified Housing Program provides a 3-tier system:

#### Semi-Independent Living Programs

Semi-Independent Living Programs are available to individuals who do not require 24-hour assistance and supervision. *Supportive Community Residences* provide home environments where individuals can acquire the skills necessary to live as independently as possible. *Family Care Homes* combine private homes with families, or unrelated parties, certified by OMRDD to provide care to the residents. In January 2008, there were 146 Supportive units, funded with \$1.4 million, and 409 Family Care units, funded with \$ 9.3 million, available in the City.

#### 24-Hour On-Site Assistance and Training Programs

24-Hour On-Site Assistance and Training Programs provide daily living skills development. *Supervised Community Residences* provide on-site housing staff, supplies and services for persons who require 24-hour assistance and supervision. The home environment permits individuals to learn skills necessary to live as independently as possible. *Individualized Residential Alternatives (IRAs)* are certified homes which may house one to fourteen individuals. They provide room, board, support services and individualized protective oversight. In January 2008, there were 134 supervised units, funded with \$7.07 million, and 5,604 IRAs, funded with \$661.9 million, available in the City.

## **3. Housing for Chemically Dependent Individuals**

The State Office of Alcohol and Substance Abuse (OASAS) funds a variety of residential services to assist chemically dependent individuals in New York City who are not in need of acute hospital or psychiatric care or chemical dependence inpatient services but are unable to maintain abstinence or participate in treatment without the structure of a 24-hour/day, 7 day/week residential setting. All of these residential programs are intended to serve persons in the non-acute disease stage who have been detoxified and are now intent on remaining sober and rebuilding their lives and improving social and coping skills without relying on chemical substances.

Three levels of residential services are offered: community residential services; supportive living services; and intensive residential services. Lengths of stay range from an average of four months in a community residential service to up to two years in the other residential categories. In 2008 in New York City, there are 740 community residence beds, 14 supportive living beds, and 4,602 intensive residential beds. In addition, there are some additional intensive residential beds that are located outside of the City but that serve New York City residents.

All service levels provide individual and peer group counseling, supportive services, educational services, structured activities and recreation as well as orientation to community-based services. Rehabilitative procedures can be provided directly or through referral and are based on individualized assessments and treatment plans designed to develop coping skills and self-sufficiency necessary to maintain abstinent lifestyles.

At least nine City agencies provide or fund prevention and treatment services to New Yorkers suffering from the effects of chemical dependency: DOHMH; HHC; HRA; DHS; NYCHA; DOC; DJJ; Probation; and the Department of Youth and Community Development.

In 2007, 11.2% of New York City residents over 12 years of age were estimated to have a chemical dependence problem. Only 32.5% of those who have a problem will seek treatment from the OASAS chemical dependency treatment system

In 2007, there were 11,006 admissions to OASAS-certified Residential Treatment programs by New York City residents. Of those admitted to residential treatment in 2007, 2.4% were under the age of 18, 14.3% were between the ages of 18 and 24, 79.6% were between the ages of 25 and 55, and 3.7% were over 55 years of age.

#### Intensive Residential Services

Intensive Residential Services assist clients who are in recovery but unable to comply with treatment outside a 24-hour setting as evidenced by recent unsuccessful attempts at abstinence, unsuccessful outpatient treatment or clients who need ongoing management of medical and/or psychiatric problems. A minimum of 40 hours per week of services is provided within a therapeutic milieu. Services may include vocational assessments and training or parenting and social skills development.

#### Community Residential Services

Community Residential Services provide structured therapeutic environments for residents who are concurrently enrolled in outpatient chemical dependency programs which provide addiction counseling. Services may be provided directly or by referral and include vocational assessment, job readiness training, parenting, social and community living skills. Individuals appropriate for this level of care include individuals who are homeless or who otherwise would have living environments not conducive to recovery and abstinence.

#### Supportive Living Services

Supportive Living Services provide a minimum level of professional support to individuals who do not require 24-hour on-site supervision by clinical staff but require an alcohol and drug free environment with peer support of fellow residents to maintain abstinence. A weekly clinical staff member contact is provided as residents readapt to independent living.

OASAS also funds Crisis Services that include Inpatient/Residential *Medically Supervised Withdrawal Services* to manage the treatment of clients who are intoxicated by alcohol and/or substances, suffering from mild withdrawal complications, or who are in danger of relapse. These services are often provided early in a person's course of recovery and are relatively short in duration, typically in the three to five day range. They do not require physician direction but should provide a safe environment for complete withdrawal and then referral to the next level of care. Services include assessment, monitoring of symptoms and vital signs, individual and group counseling, level of care determination and referral to other appropriate services.

Please refer to Part II, Other Actions, Section C, New York City Housing Authority, Continuum of Care for Public Housing Residents with Special Needs, for a description of the Authority's Drug Outreach and Referral Program.

## **b. Needs of Persons with AIDS and HIV Related Diseases**

The New York City EMSA (NYC EMSA) has a population of more than 9.4 million residents, of which 85.7% reside in the five boroughs of New York City (Bronx, Brooklyn, Manhattan, Queens, and Staten Island) and 14.3% in the Lower Hudson Valley region (Putnam, Rockland, and Westchester Counties). The New York City portion of the EMSA is densely populated, whereas the Lower Hudson Valley has a combination of both urban and suburban areas. Although the cost of living in New York City is among the nation's highest, there are many areas of the city that maintain notable rates of poverty. Specifically, 19.0% of the city's population was living at or below the national poverty level in 2005, with the Bronx (28.9%) and Brooklyn (22.3%) reporting the highest poverty rates.<sup>1</sup>

New York City remains the HIV epicenter of the United States (US) and accounts for 15% of new AIDS diagnoses, 14% of new HIV diagnoses and 16% of AIDS deaths in the nation. The New York City Department of Health and Mental Hygiene (DOHMH) reports that as of June 30, 2007, there were 100,642 New Yorkers living with HIV/AIDS.<sup>2</sup> In the first half of 2007, 1,406 New Yorkers were newly diagnosed with HIV (non-AIDS) and an additional 1,694 were newly diagnosed with AIDS. Within the NYC EMSA, more than 103,000 people were living with diagnosed HIV/AIDS at the end of 2006.<sup>3</sup> Further, in 2006 the NYC EMSA had among the highest rates of newly diagnosed AIDS cases among major metropolitan areas – more than three times the national average.<sup>4</sup> The NYC EMSA has more newly diagnosed AIDS cases than the cities of Washington DC, Los Angeles and Miami (the cities with the next three highest number of diagnoses) combined.

Similar to many large urban areas, the NYC EMSA struggles with some common complexities of this disease. Some of the highest death rates among persons with HIV/AIDS are in the lowest-income communities in NYC: South Bronx, Central Brooklyn, and Harlem.<sup>5</sup> In addition to HIV/AIDS, which is the third leading cause of premature death in NYC,<sup>6</sup> substantial disparities in a broad variety of health measures continue to exist among neighborhoods and racial/ethnic groups. These traditionally marginalized populations face high percentages of co-morbidities, and where HIV prevalence is high, other factors such as alcohol and other substance abuse, mental illness, and co-infections such as tuberculosis, Hepatitis B, and Hepatitis C, facilitate participation in risk practices associated with HIV transmission. The magnitude and complexity of the EMSA's epidemic results in significant challenges in providing essential medical, housing, and supportive services to Persons Living With HIV/AIDS (PLWH).

As the number of PLWH increases, the populations affected by the disease continue to change. From the epidemic's beginning through 1988, white men who have sex with men (MSM) accounted for the largest group of AIDS diagnoses. In 1988, injection drug use (IDU) became the primary transmission category for AIDS diagnoses. At that time, black and Hispanics accounted for 83% and females 30% of newly diagnosed persons in this transmission category. AIDS diagnoses began to decrease among IDUs in the mid-1990s, and in 2002 MSM again became the primary transmission category for new AIDS diagnoses. In the first half of 2007, 6.4% of HIV (non-AIDS) diagnoses were associated with IDUs, 40.3% with MSM populations, and 24.1% with heterosexual populations. Transmission risk was unknown for 28.9% of HIV (non-AIDS) diagnoses.

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<sup>1</sup> U.S. Census Bureau, Small Area Estimates Branch, USDA Economic Research Service, 2005

<sup>2</sup> HIV Epidemiology and Field Services Program, New York City Department of Health and Mental Hygiene. HIV Epidemiology and Field Services Semiannual Report. April 2008.

<sup>3</sup> Bureau of HIV/AIDS Epidemiology, New York State Department of Health. New York State HIV/AIDS Surveillance Annual Report. May 2008. [http://www.health.state.ny.us/diseases/aids/statistics/annual/2006/2006-12\\_annual\\_surveillance\\_report.pdf](http://www.health.state.ny.us/diseases/aids/statistics/annual/2006/2006-12_annual_surveillance_report.pdf)

<sup>4</sup> CDC HIV/AIDS Surveillance Report, 2006, Table 15.

<http://www.cdc.gov/hiv/topics/surveillance/resources/reports/index.htm>

<sup>5</sup> HIV Epidemiology and Field Services Program, New York City Department of Health and Mental Hygiene. HIV Epidemiology and Field Services Semiannual Report. October 2007.

<sup>6</sup> Bureau of Vital Statistics, New York City Department of Health and Mental Hygiene. Summary of Vital Statistics 2006: The City of New York. December 2007.

Populations become more susceptible to acquiring HIV infection as the HIV prevalence increases. This means that there is an increased opportunity for exposure to HIV in populations where the HIV prevalence is higher. However, it is important to note that HIV prevalence in NYC is not randomly distributed. Unfortunately the lowest-income communities of NYC are also the most concentrated HIV/AIDS areas. Using these premises, it is just as important to account for race/ethnicity as a transmission risk factor in these disproportionately affected areas. Through the first half of 2007, blacks and Hispanics together represented 77.1% of all persons living with HIV/AIDS in NYC. Meanwhile, the proportion of newly diagnosed AIDS cases in NYC among Whites decreased from 48.8% in 1981 to 15.8% in the first half of 2006. Blacks comprised more than half of persons newly diagnosed with HIV or AIDS in the first half of 2007 (51.9%). Viable prevention, treatment, and care approaches that intervene at multiple levels for these populations should continue to be a priority.

The high prevalence of HIV/AIDS in the NYC EMSA among people who are homeless or unstably housed significantly increases the cost and complexity of NYC's HIV/AIDS care system. Without safe, appropriate shelter, persons with AIDS are unable to adhere to complex antiretroviral drug regimens and also are exposed to conditions that threaten their health and well-being.

While NYC's population increased by 9% in the last decade, the City lost more rental units than it built in the 1990s. Initial findings from the 2005 Housing and Vacancy Survey indicate that the overall vacancy rate in the city is 3%, substantially below the 5% threshold when housing crises are typically declared. Among the lowest-rent units, fewer than 1.3% are vacant. Housing in NYC is not only scarce; it is also expensive. According to a 2003 survey by Forbes magazine, NYC ranks third in the cost of housing among 150 metropolitan areas. While the average real income for New Yorkers declined by 6.3% from 2001 to 2004, the median monthly gross rent increased by 16.8% between 2002 and 2005 (after adjusting for inflation).<sup>7</sup> Today, more than one in four renters in NYC pay more than half their income in rent. Meanwhile, traditional housing safety net programs have been slashed, as reflected in the 40% reduction during the 1990s in new Section 8 vouchers. The average daily census in New York homeless shelters decreased to 35,898 during the City Fiscal Year 2005 – a 6% decrease from City Fiscal Year 2004.<sup>8</sup>

In City Fiscal Year 2007, the Department of Homeless Services (DHS) served 8,323 single adults and 8,967 families accessing DHS shelter services for the first time. In City Fiscal Year 2006, street outreach teams placed 3,965 single adults into temporary housing, emergency shelter, transitional programs, detox, rehab, and drop-in centers, among others. DHS also contracts with not-for profit providers to house over 7,600 individuals with mental health and substance abuse needs in supportive SROs. DHS refers individuals who self-identify as HIV-positive or living with AIDS to the HIV/AIDS Services Administration for medically appropriate emergency housing placement. However, due to confidentiality concerns and laws, DHS cannot track HIV/AIDS within the shelter system.

In December 2005, DOHMH and DHS published a report on the health of sheltered homeless persons in New York City during the time period 2001–2003. The report found that of the 88,014 New Yorkers who were known to be living with HIV/AIDS from 2001 through 2003, 3,108 of those persons used the homeless shelter system for at least one night during the study period. In addition, the report found that the prevalence of HIV/AIDS among users of the single adult shelter system was more than twice as high as the prevalence in the NYC adult population.

The City's population density, its aging housing and transportation infrastructures, its attraction for new immigrants and its diverse low-income communities have combined to make the HIV/AIDS epidemic here especially entrenched and complex. As the demographics of people with AIDS have changed, low income communities of color have experienced both increasing numbers of AIDS cases and a growing need for extensive social services and housing.

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<sup>7</sup> NYC Department of Housing Preservation and Development, *Selected Findings of the 2005 New York City Housing and Vacancy Survey*.

<sup>8</sup> NYC Department of Homeless Services, *Critical Activities Report, Total DHS Services – Fiscal Year 2005*.

The Mayor of the City of New York, the official grantee of the NYC EMSA HOPWA grant, has designated the NYC Department of Health and Mental Hygiene's (DOHMH) as grantee of the HOPWA Program. The Bureau of HIV/AIDS Prevention & Control (BHAPC) within DOHMH serves as the grantee, giving them responsibility for the planning and coordination of the HOPWA grant. HOPWA-funded programs are implemented by the New York City Human Resources Administration - HIV/AIDS Services Administration (HASA), and the New York City Department of Health and Mental Hygiene through the Division of Mental Hygiene (DMH) and BHAPC.

As the designated grantee for the HOPWA formula grant, BHAPC serves as the coordinator and administrator for the HOPWA program for the entire New York City Eligible Metropolitan Statistical Area (EMSA). The EMSA is comprised of the five boroughs of the City of New York together with Westchester, Putnam, and Rockland Counties in the Lower Hudson Valley. BHAPC works with these three counties and the eligible localities therein to plan and evaluate their use of HOPWA funds and to ensure the consistency of their efforts with those of the rest of the EMSA. In turn, Westchester County acts as the administrator for HOPWA funds received by the cities of Mount Vernon and Yonkers.

BHAPC convenes regular meetings with HOPWA-funded City agencies to ensure effective collaborative planning and execution of the HOPWA grant. BHAPC also receives detailed reports from City agencies utilizing HOPWA funds on their use of these funds during the previous year and their plans for proposed HOPWA programming in the upcoming year. These meetings focus on setting specific priorities and recommended spending levels based upon anticipated HOPWA and City Tax Levy revenues. The role of BHAPC as the designated grantee includes negotiation and oversight of the planning, implementation, and monitoring of the use of HOPWA funds for (1) capital development of HIV/AIDS housing projects through HPD, (2) delivery of housing and related supportive services through HASA, (3) delivery of housing and related supportive services through DOHMH (both DMH and BHAPC).

#### Overview of the Current HIV/AIDS Housing Portfolio

Enhanced rental assistance, the expansion of existing programs, and the addition of new permanent and transitional units for adults and families are the foundation of the City's continuum of housing and supportive services for persons living with HIV/AIDS. The numerous supportive services that the City provides help to maintain individuals and families in housing and enhance their quality of life in both new and existing settings. The City seeks to relocate persons with AIDS who are inappropriately housed, such as doubled-up families and individuals, those with inadequate bath or kitchen facilities, or those in situations of inaccessibility. Whenever possible, the City places individuals and families in appropriate-sized apartments or efficiencies with private baths. Several facilities with multiple units have congregate meals prepared, or have specialized staff to provide nutritional counseling for residents who prepare their meals individually.

Given the current state of knowledge about HIV/AIDS, the linkage to primary health care for each individual throughout his or her life is the organizing principle for the housing continuum of care. This includes access to antiretroviral medications and other related HIV/AIDS medications, substance abuse treatment services, mental health services, case management, and home care. Funding for the City's program is provided primarily by City Tax Levy and matching State and Federal Medicaid funds. Additional Federal dollars accessed through HOPWA, the Centers for Disease Control and Prevention, and Part A of the Ryan White HIV/AIDS Treatment Modernization Act (HATMA) expand the considerable efforts the City has committed to meet the needs of this population. Access to a continuum of services is facilitated, in cooperation with HASA, by a network of community-based organizations.

The New York City government agencies that receive HOPWA funding provide or subsidize units under the following housing models:

- Rental subsidies (cash subsidies through Public Assistance for independent, private sector, non-supportive housing);

- Emergency commercial single room occupancy hotels (SROs) and family apartments;
- Permanent scattered site housing with supportive services;
- Transitional congregate housing with supportive services;
- Permanent congregate housing with supportive services;
- Public housing (NYCHA project apartments).

HASA provides a substantial portfolio of independent and supportive housing for its clients. As of July 2008, HASA's total caseload was 30,245, of which three-quarters were in receipt of some type of housing service.

As of July 2008, HASA provides Rental Assistance to 25,051 individuals and families living in independent housing in apartments; 953 units across 18 facilities of contracted transitional supportive housing; 1,829 units across 49 facilities of permanent supportive congregate housing; and 3,073 units of scattered-site supportive housing operated by 38 community-based organizations.

Housing Preservation and Development's (HPD) mission is to preserve, maintain and improve the City's existing supply of affordable housing, as well as to produce new housing units for low-income persons, including PLWH. HPD is responsible for developing and arranging capital funding—through its Supportive Housing Loan Program—for the acquisition and renovation of buildings that will be owned and operated by nonprofit, community-based organizations that specialize in providing housing and supportive services to persons living with HIV/AIDS and other special needs populations. Development funds for these units are provided with a combination of HOPWA, Federal HOME funding, and City capital investment. In this manner, HPD has developed 1,731 units for individuals and families with HIV/AIDS through July 2008, with another 211 units in the construction phase.

Community-based organizations also provide supportive housing, rental assistance, and support services through programs that directly contract with DOHMH. The services funded by DOHMH supplement and enhance the programs funded by other City agencies, as well as stand-alone programs.

The City utilizes several service models, strategies, and options to address the housing needs of people with AIDS and HIV-related illnesses.

#### Human Resources Administration – HIV/AIDS Services Administration (HASA)

##### Case Management and Support Services

HASA case management and support units provide the foundation for the City's network of services for persons with HIV/AIDS. Due to the increased need for HIV/AIDS housing in New York City, HASA continues to shift HOPWA funding committed to case management services to subsidize supportive housing units. HASA is chartered to offer a full range of social services to individuals and families with HIV/AIDS, as well as to other family members who are not infected. Case management teams respond to the complex support needs of HIV/AIDS clients and their families. The HASA case manager facilitates client access to -- and maintenance of -- emergency, transitional, and permanent supportive housing, as well as rental assistance and enhanced rental assistance. HASA case management units ensure that clients are placed in appropriate housing and that they receive the supports necessary to maintain their housing. In addition to housing issues, HASA clients and their families often present a multiplicity of needs that the case management unit works to address. After completing comprehensive assessments, case management and eligibility staff develop service plans for all clients to determine the benefits and services needs of the clients, which might include cash assistance; nutrition and transportation grants; and housing related benefits such as rental assistance, rent arrears payments, establish of home grants, moving costs, or security deposits. Case managers facilitate client access to Medicaid, home care, homemaker services, Food Stamps, federal disability benefits and community based mental health and substance abuse programs. In Grant Year 2009, HASA anticipates serving a caseload of over 30,000 cases including nearly 5,000 family cases.



### Rental Assistance

HASA clients who are capable of maintaining an independent apartment may be eligible for rental assistance. Individuals and families may be eligible to receive enhanced rent supplementation based on family size – above the standard cash assistance amount for rent subsidy for Safety Net/TANF cases – provided through Public Assistance. Costs are funded primarily by the City and State, with a federal contribution for TANF-eligible cases. Upon submission of documentation of a landlord's intent to lease, individuals may obtain an advance for payment of a first month's rent, security deposit and broker's fee. In City Fiscal Year 2007, HASA provided 15,555 approvals of requests for new apartment placements, ongoing rent, rent increases, home furnishings and sundries, client rent arrears, and moving and storage fee expenses.

### Emergency Placement in Commercial SRO Hotels

Approximately 10% of the newly admitted HASA clients in any given month are determined to be homeless and eligible for direct emergency housing placement services. Such a demand, when matched with housing development time frames and availability of transitional and permanent supportive housing and independent housing within the private sector, can necessitate the utilization of single room occupancy hotels on an emergency basis. To accelerate placement out of commercial SROs, the City has developed a Transportation Unit within HASA to escort clients, especially those living in emergency and supported SRO hotels, to interviews and apartment showings for permanent housing.

### Transitional Supportive Housing

Transitional supported residences provide on-site case management, group work, assistance with Activities for Daily Living, mental health and substance abuse counseling, and assistance with securing financial benefits and services, all with a focus on preparing the client to maintain successfully a permanent household. Staffing includes a Housing Specialist who assists the resident in obtaining permanent housing. Placements in transitional housing facilities typically last between 30 and 180 days.

### Permanent Public Housing

The City also provides apartments through the New York City Housing Authority (NYCHA) and the Department of Housing Preservation and Development. The adults and families living in these apartments continue to receive case management services, rental assistance, transportation and nutrition allowances, and linkages to appropriate care. Public Assistance provides rent supplements to clients for this housing.

### Scattered-Site Supportive Housing

Community-based organizations (CBOs) are contracted to locate, lease, and maintain apartments in the private sector and to provide supportive services. Both single adults and families are referred to the CBOs by the HASA Housing Unit and the CBOs work to place them in contracted scattered site apartments. The CBOs provide a continuum of services to enable clients to move to greater levels of self-sufficiency, including intensive case management, mental health and substance abuse services, advocacy and referral linkages to medical and other services. Scattered Site housing is supported with a combination of matching City Tax Levy and State funding.

### Permanent Supportive Congregate Care Facilities

HASA contracts out to community-based organizations to provide supportive housing in renovated or newly constructed supportive facilities which contain efficiency apartments or multiple bedroom apartments. Case management and on site supportive services are also provided primarily through facility operating contracts with community-based organizations. The facilities may either be exclusively for a population living with HIV/AIDS or may be “mixed” facilities that also provide housing to other populations, specifically the elderly, the mentally ill, and/or low income individuals. Operating costs are supported with a combination of City and State funds through the above-noted operating contracts, rental assistance, and, in a few cases, with other grants leveraged by providers.

## Department of Health and Mental Hygiene (DOHMH)

### Targeted Housing Programs

BHAPC contracts with community-based organizations to provide targeted housing services that serve a number of special need populations living with HIV/AIDS. These targeted programs include: women with mental illness, women with children, seniors age 55 and over, difficult to serve individuals; dually diagnosed individuals and families in need of harm reduction services; street-youth (including LGBT youth) who are HIV-positive or at risk for HIV infection due to prior histories of prostitution or substance abuse; and parolees/releases living with HIV/AIDS.

### Housing Placement Assistance

Funding is available to community-based organizations, through HOPWA and Part A of the Ryan White HIV/AIDS Treatment Modernization Act, to provide assistance to persons living with HIV infection. Services include locating and securing apartments and obtaining rental assistance entitlements.

### Sustainable Living Fund

This program has proven to be a source of rental assistance for individuals and families living with HIV/AIDS who have difficulties in accessing and maintaining permanent housing. The Sustainable Living Fund provides subsidies for short-term emergency and long-term rental assistance as well as rental-start up to a limited number of qualifying individuals and families, and assists such clients in securing and maintaining housing.

## **c. Victims of Domestic Violence**

### **1. Housing Needs**

Victims of domestic violence represent a potential group of individuals and families who could, in order to escape the violence, access the City's shelter system at any time. While a complete statistical count of victims of domestic violence is difficult, New York City has collected data through various sources regarding reported instances of domestic violence. Information collection is an important tool for designing preventive efforts and providing immediate preventive services.

A major source of data is the City's Domestic Violence Hotline, established in 1994. During the Calendar Year 2007, the Hotline received 123,409 calls.

Additional indicators of the prevalence of domestic violence are the number of domestic violence cases responded to by the police, the number of arrests made and the number of domestic violence cases in the courts. The New York City Police Department (NYPD) requires the filing of a Domestic Incident Report (DIR) in every instance in which an officer responds to a potential domestic violence situation. DIRs are required for every radio run involving a family-related incident, even when no crime has occurred. DIRs are also generated through telephone and walk-in complaints to the local precincts.

During fiscal year 2008, the NYPD reports the following domestic violence crime:

- 59 homicides
- 337 rapes
- 3,606 felonious assaults

Domestic violence victims often need to leave their homes to escape from the violence. Despite the availability of transitional shelters for domestic violence victims, insufficient financial resources make it difficult for victims and their families to secure affordable housing.

## **2. Inventory of Housing for Victims of Domestic Violence**

### 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, health care 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.

### New York City Family Justice Center Initiative

The New York City Family Justice Center (FJC) in Brooklyn, located in downtown Brooklyn, opened its doors on July 20, 2005 and was one of 15 Centers nationwide to receive funding from the United States Department of Justice. The Brooklyn FJC was the first of the 15 Centers and serves as a national model. The Family Justice Centers are a one-stop location for domestic violence victims to receive services ranging from criminal and civil legal representation to public benefits, counseling, and voluntary spiritual support with one appointment. A public/private initiative, the Brooklyn FJC has nine City/State agency partners, and more than 37 community partners. Through the end of August 2008, the Brooklyn FJC served 12,175 domestic violence victims, and 3,419 children utilized the children's room.

The Elder Order of Protection Project at the Brooklyn FJC enables elder victims of abuse to petition for Family Court orders of protection without leaving their home or the safety of the FJC. Social workers conduct home visits and complete paperwork; attorneys at the FJC review the petitions; the papers are filed, and the elders "appear" via telephone from their homes or FJC.

The Brooklyn FJC has also initiated a monthly Task Force that draws professionals from across the borough of Brooklyn to learn about topics such as financial literacy, the harm of domestic violence to children, and other important topics. Through the end of August 2008, the FJC trained over 3,550 individuals in areas related to domestic violence. In late 2006, through a grant from the Joe Torre Safe at Home Foundation, the nonprofit FJC partner, Sanctuary for Families, began offering one-on-one and group counseling for children exposed to domestic violence. This program continues to provide counseling services to children.

In April 2007, the Brooklyn FJC launched its newest initiative – the FJC Self-Sufficiency Program – which assists clients with all aspects of their self sufficiency as victims of domestic violence often rely on the abusive partner for some type of financial support and this reliance can impact their decision-making about leaving an abusive relationship. This program works directly with clients on their self sufficiency needs, including developing linkages and partnerships with other community job readiness programs, job placement services and vocational classes. In June 2007, the program began partnering with a community agency to provide English as a Second Language classes on-site at the FJC allowing clients from multiple cultures to learn together while their children play nearby in the FJC's Children's Room.

The City's entire domestic violence programming is funded through a combination of federal, state, city, and private dollars. In keeping with the City's commitment to provide a seamless delivery of services/supports to victims of domestic violence and their families, the City opened a Family Justice Center in Queens in July 2008 and is planning to establish another Family Justice Center in the borough of the Bronx by the end of 2009.

### New York City Family Justice Center Early Victim Engagement (EVE) Project

In September 2007, the United States Department of Justice, Office on Violence Against Women, awarded New York City received \$1.5 million grant to enhance victim accessibility to real-time information about their abuser's arrest and trial proceedings. The FJC EVE Project allows the City to contact victims in the borough of Brooklyn immediately after their abuser's first court appearance with crucial information, such as the existence of an order of protection. Building upon the success of the Family Justice Center initiative, the Project will provide domestic violence victims with cases status, order of protection information, and a direct connection to a variety of services including crisis intervention and safety planning. The Project will be administered by OCDV at the New York Family Justice Center in Brooklyn, in collaboration with the Kings County District Attorney's Office, the NYPD, the New York City Department of Probation, the New York State Division of Parole, and two non-profit organizations, Safe Horizon and Good Shepherd Services Safe Homes Project.

### Domestic Violence Prevention and High-Risk Youth

In October 2004, OCDV and the Department of Youth and Community Development (DYCD) were awarded a federal grant to prevent relationship abuse in one of the City's most vulnerable populations – runaway homeless youth, particularly lesbian/gay/bisexual/transgender youth, immigrants, youth sexually exploited through prostitution, and teenage mothers with children. Through focus groups, one-on-one interviews and surveys, project staff collected baseline data to assess the extent of the problem citywide. The data informed the adaptation of a curriculum to teach youth about the dynamics of relationship abuse and healthy relationships. Peer Leaders received training on this curriculum and began conducting workshops on healthy relationships for at-risk youth in runaway homeless youth programs, schools, and community centers. During fiscal year 2008, 134 workshops were conducted through which 2,324 youth were reached. Staff at runaway homeless youth and domestic violence programs also received training on a new staff curriculum to better assist their young clients. Both the youth and staff curricula will be available to the public. Public education materials targeting these youth were also created and distributed. Due to the success of the program, the City of New York has continued to fund the program after funding from the U.S. Department of Health and Human Services ended at the conclusion of fiscal year 2008.

During Valentine's week in February 2008, the New York City Healthy Relationship Training Academy taught more than 600 young people how to have healthy relationships and how to avoid unhealthy ones. As part of a week-long event, teams of peer trainers facilitated 90-minute workshops at 12 locations throughout the Central and South Bronx. The workshops covered the definitions of family violence, teen dating violence, the use of power and control tactics, the components of a healthy relationship, and warning signs of an abusive partner. Throughout the workshop, peer trainers highlighted real-life experiences and encouraged participants to evaluate their own lives and those of others to recognize models of both unhealthy and healthy behaviors. The program particularly stressed the importance of recognizing the warning signs that a relationship may become violent. The curriculum utilized was inclusive of diverse populations, including foreign born, teen parents, runaway and homeless youth, and lesbian/gay/bisexual/transgender youth.

#### 1. Homelessness Prevention

Fleeing violence in the home can lead to homelessness for victims and their children. OCDV coordinates the City's wide range of programs and initiatives that aim to prevent domestic violence and provide safety and services to victims while they continue living in their own homes

#### 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 which can help them remain safe at home.

#### Department of Health Publication

In July 2008, the Department of Health and Mental Hygiene released Health Bulletin #62 Intimate Partner Violence: How to keep yourself safe. It is one in a series of pressing interests to all New Yorkers. All Health Bulletins are available in English, Spanish, and Chinese, and many are available in other languages. This issue explains what intimate partner violence is and how it affects one's health. It also provides information on resources. The Health Bulletin is available at <http://www.nyc.gov/html/doh/downloads/pdf/public/dohmhnews7-07.pdf>.

#### OCDV Website

In response to New York City's growing need for information and resources on domestic violence prevention, OCDV redesigned and launched a new website in the fall of 2006. The new site provides up-to-date content, reviewed and approved by 14 City agencies that provide direct domestic violence services. Serving as the only citywide clearinghouse for comprehensive domestic violence information, the website provides practical information and highlights special issues faced by a variety of victim populations such as teenagers, the disabled, elderly, and same-sex couples. Visitors to the website can contact OCDV through an online web form. The website also features the "City of New York Resource Directory of Domestic Violence Services," a listing of over 240 domestic violence programs in New York City. The New York Public Library has designated the OCDV website resource list as "Best of the Web."

#### October Domestic Violence Month

Since the fall of 2002, OCDV has collated information regarding all of the domestic violence-related activities being hosted in the City each October in honor of domestic violence awareness month. These activities are organized into two useful resource calendars—a long and short version—which are widely distributed and posted on the OCDV website.

Additionally, in October 2007, the Mayor sent a letter to all City employees (over 338,400 individuals) with important information about domestic violence. The letter shares information about important domestic violence programs and initiatives launched by the Mayor during the year. Also included with the Mayor's letter is a resource newsletter from the NYC Employee Assistance Program. The newsletter provides useful information about ways City employees can combat domestic violence, while offering supportive services to those experiencing abuse.

Each October, City's payroll administration includes a pay period message about domestic violence on all paychecks for City employees. The paycheck message advertises the NYC Domestic Violence Hotline number and the OCDV website.

#### NYC Health and Hospitals Corporation (HHC) Domestic Violence Month Events

During the month of October 2007, HHC's 11 public hospitals' and six diagnostic facilities' Social Work departments, with their Domestic Violence Coordinators, held several Community Outreach events where educational resources were distributed, questions/inquiries were encouraged and referrals were made, when necessary. These events were well-attended by the community. In addition, on a regular basis, HHC facilities provide community health fairs where the Domestic Violence Coordinators provide domestic violence pamphlets and other educational information to the public.

#### New York City Housing Authority (NYCHA) Conference

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 conferences with the theme "Survival Stories" will take place throughout the five boroughs during the week of October 20, 2008 thru October 24, 2008; the residents (which include adults, children and teens) of the City's five boroughs will be in attendance.

### OCDV Outreach and Education

Multilingual domestic violence educational materials including brochures, palm cards and posters in nine languages were distributed to community members, nonprofit organizations, schools, healthcare facilities, government agencies, churches and other groups in 2008. During fiscal year 2008, OCDV distributed more than 31,000 brochures, 1,200 posters and 600 domestic violence resource directories. Additionally, guides entitled “Medical Providers Guide to Managing the Care of Domestic Violence Patients Within a Cultural Context” were distributed to social workers and other health providers. These materials were originally developed through a grant-funded project, “Specialized Outreach Projects for Services to Underserved and Diverse Population/Domestic Violence Health Education Project” funded by the U.S. Department of Health and Human Services. The project was collaboration between OCDV, DOHMH, community based organizations and healthcare professionals. During fiscal year 2008, more than 200 medical guides were distributed.

### Public Education

Agency personnel and other service providers must be highly trained in order to effectively deliver programs and initiatives that have an impact on reducing domestic violence. This is especially true of front line workers who work directly with victims and are regularly called upon to provide clear, accurate and often culturally appropriate information and assistance.

### Administration for Children’s Services (ACS) Domestic Violence Screening and Assessment Tools and Training

Over the past several years, 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 continued to provide ongoing training and technical assistance to community based preventive service programs throughout the city.

### New York City Elder Abuse Network

The New York City Department for the Aging (DFTA) was one of four Area Agencies on Aging awarded a training and technical assistance grant by the National Committee for the Prevention of Elder Abuse (NCPEA), to establish the New York City Elder Abuse Network. The Network was formed by a nucleus of agencies who indicated a strong desire to expand and strengthen their activities. The Network has a broad membership of over 30 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. Ethnic/cultural associations serving minority and immigrant populations are represented in the group. Network officers were elected and sub-committees have been established. The Network focus continues to be in the following two areas: 1) Addressing financial exploitation of the elderly and (2) coordination among providers serving elder abuse victims. DFTA provides ongoing administrative support to the Network.

Weill Cornell Medical College, in collaboration with the The New York City Elder Abuse Network and the Harry and Jeanette Weinberg Center for Elder Abuse and Prevention at the Hebrew Home at Riverdale, was awarded \$80,000 by the Fan Fox and Leslie R. Samuels Foundation to study the creation of a New York City Elder Abuse Center. The new Center will build upon the work of the New York City Elder Abuse Case Coordination and Review Team – a multidisciplinary group of more than 40 physicians, social workers, attorneys, psychiatrists and other professionals that have been meeting monthly since 2006 to discuss cases of elder abuse and formulate strategies to improve intervention and prevention. The planning process advisory council includes a wide range of organizations, including the New York City Department for the Aging, the Mayor’s Office to Combat Domestic Violence, the New York County District Attorney’s Office, the Carter Burden Center for the Aging and the Jewish Association for Services for the Elderly. It is anticipated the planning process will be completed by

November 2008 at which time a blue print for the Center will be finalized and development of the Center will commence.

#### Health Care Provider Education

City Health Information (CHI) is a publication produced by the New York City Department of Health and Mental Hygiene (DOHMH) as a primary means of communicating public health information to the City's medical care community. The success of public health efforts is dependent on the public health-medical care partnership, and CHI has represented an integral part of this relationship since it was first published in 1982.

Each issue of CHI focuses on a timely public health topic and may include: descriptive data; data analysis; practice guidelines; reports from DOHMH; federal, state, and local mandates; helpful resources; and [continuing medical education](#) (CME) and continuing nursing education (CNE) activities. The publication's circulation is approximately 60,000.

In February of 2007, The DOHMH published [City Health Information: Intimate Partner Violence: Encouraging Disclosure and Referral in the Primary Care Setting](#), available at <http://www.nyc.gov/html/doh/downloads/pdf/chi/chi26-2.pdf>.

#### Intervention and Outreach

A number of domestic violence programs and initiatives operated by City agencies and overseen by OCDV are designed to intervene in the lives of victims before they become homeless and involve outreach to victims and their families. These programs fall within four areas: 1) the Domestic Violence Hotline; 2) Criminal Justice Services, including police, correction and probation; 3) Social Services, including health and human services; and 4) Alternatives to Shelter. In addition, OCDV has undertaken several outreach projects of its own, which are described below.

#### Domestic Violence Hotline

The array of domestic violence services offered in the City can be accessed through the City's Domestic Violence Hotline. Created in 1994, this dedicated, 24-hour seven days a week, toll-free Domestic Violence Hotline was the first of its kind in the nation. The Hotline number is 1-800-621-HOPE (or 1-866-604-5350 for people in need of TDD service). The Hotline was created in response to the needs of the City's domestic violence victims seeking immediate assistance, who were once forced to navigate through a variety of fragmented, uncoordinated systems in order to obtain services. During the 2007 calendar year the Hotline answered 123,409 calls, averaging more than 335 calls a day. The Hotline's personnel speak Spanish, French, and Creole; they also use the TeleInterpreters language line, which provides interpreters in more than 150 languages and dialects.

#### Criminal Justice Services

Fear for personal safety is a major reason that victims leave their homes, and the City 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 and Domestic Violence Investigators in the City's 76 police precincts and 9 Housing Police Service Areas. In 2008, the Domestic Violence Unit continued to train Domestic Violence Officers and Investigators, Training Sergeants, newly-promoted Sergeants, Lieutenants and Captains, newly-assigned recruits to the Patrol Services and Housing Bureau, and members of 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 focuses on households with a demonstrated history of violence, and the Domestic Violence Contact Program, where Domestic Violence Prevention Officers visit residences where domestic violence incidents have been reported.

#### - The NYPD Domestic Violence Police Program (DVPP)

The NYPD Domestic Violence Police Program (DVPP) unites a case manager from Safe Horizon with police officers, who together provide social services and law enforcement intervention 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 6 Precincts, and 7 Police Service Areas. Five precincts in the program are funded by the Office on Violence Against Women (OVAW) and the New York City Housing Authority provides funding for the 7 Police 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.

#### - New York City Housing Authority's (NYCHA) Domestic Violence Intervention and Education Program (DVIEP)

The Domestic Violence Intervention and Education Program (DVIEP) combines experienced Safe Horizon counselors with uniformed police officers who jointly contact and counsel NYCHA families where there has been a police report of domestic violence. Safe Horizon is under contract with NYCHA to provide this program, which was initially funded with HUD Public Housing Drug Elimination Grants and is administered by the Department of Social Services. DVIEP is operational in seven Police Service Areas (Brooklyn - PSA 2 & PSA 3, Manhattan - PSA 5 and PSA 6, Bronx - PSA 7 & PSA 8, and Queens - PSA 9). From January 2008 to June 2008, 2,587 new cases were received, 1,075 domestic violence arrests were made, there were 89 police sensitivity training sessions, and 47 community education seminars were conducted.

#### - Department of Correction Victim Information and Notification Everyday (VINE) System

The Department of Correction (DOC), in coordination with the Office of the Criminal Justice Coordinator, has implemented a technological initiative known as the VINE (Victim Information and Notification Everyday) System. VINE assists crime victims and interested individuals in determining the custody status of inmates within the DOC, NYS Department of Correctional Services and over 50 counties throughout the New York. Individual victims wishing to access the system may do so by calling 1-888-VINE4NY from any touch-tone phone or on the internet at [www.vinelink.com](http://www.vinelink.com). The user must provide VINE with the inmate's NYC Book & Case number, the New York State ID (NYSID) number or the inmate's name. Victims of crimes or interested parties have the option of registering with this program to be notified by telephone or email when there is a change in the custody status, such as released from custody, transfer to another jurisdiction, release to New York State Division of Parole, escape or death of an inmate. In fiscal year 2008, 4,982 calls were placed to notify 5,475 registrants.



### Department of Probation Domestic Violence Program

The NYC Department of Probation has undergone a dramatic shift in the way it conducts business. The Department's new model allows officers to better manage difficult, high risk, offenders while providing an array of resources. Part of the change to the supervision model has been the decentralization of the Domestic Violence Program. Assignment of Domestic Violence cases has been split between two specialized units: the Intensive Supervision Program and the Special Offender Unit.

Officers assigned to the Intensive Supervision Program (ISP) monitor felony domestic violence cases and officers assigned to the new Special Offender Unit (SOU) supervise the misdemeanor domestic violence cases. ISP caseloads consist of 25 offenders or less. Officers in SOU supervise a maximum of 50 cases. This caseload ratio allows the officers to monitor a probationer's activities closely and provide assistance through referrals to a variety of resources. Both programs provide for multiple in-person contacts with the probationer each month. In addition to office contacts, visits to the probationer's home, place of employment, school or training program and/or treatment provider are also conducted on a monthly basis.

Probationer compliance with Court ordered special conditions, such as participation in domestic violence and anger management programs is also closely monitored. Treatment providers detail probationer participation through monthly written reports and/or telephone and in person interviews.

Probation Officers maintain contact with the victim(s) to ensure that they are receiving the required services, such as 911 direct cell phone services (P.H.O.N.E.S. Program), counseling services and health programs.

### Social Services

The City provides a number of health and human services that meet the immediate needs of victims and help them avoid homelessness. OCDV is committed to having these services delivered in a coordinated manner, so victims avoid accessing multiple City agencies and receiving overlapping information and other types of assistance.

### Administration for Children's Services (ACS) Domestic Violence Policy and Planning Unit

Children's Services' Domestic Violence Policy and Planning (DVPP) Unit works to inform ACS 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 training, consultation, interagency collaboration and community outreach. The unit conducts strategic planning related to domestic violence and the child welfare system; develops domestic violence policy; formulates practice guidelines and protocols; collaborates internally and externally regarding child welfare cases involving domestic violence and provides technical support and assistance to the 15 domestic violence clinical consultation specialists in the field on certain high-risk cases.

### Children's Services' Domestic Violence Screening and Assessment Tools and Training

Over the past several years, DVPP 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 continued to provide ongoing training and technical assistance to community based preventive service programs throughout the city. The implementation of domestic violence screening and assessment tools and related ongoing 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.

### Domestic Violence Initiatives

The DVPP Unit also administers the Domestic Violence Emergency Fund, monies generously provided by New Yorkers for Children, which provides flexible, concrete assistance to support the safety planning efforts of domestic violence survivors and their children who are current clients of the ACS Division of Child Protection, when all other resources have been exhausted. In addition, DVPP oversees two initiatives administered through CONNECT: 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.

### Administration for Children's Services Clinical Consultation Program

In 2002, ACS launched the Clinical Consultation Program, which placed 12 domestic violence coordinators in ACS child protective borough offices throughout the city. Since its beginning, the number of borough offices and teams has grown to 15, including Emergency Children's Center (ESC). Another enhancement of the clinical consultation resource is the addition of nurse practitioners who serve in the capacity of medical services consultants. The domestic violence consultants work as part of a multidisciplinary team which also includes mental health, substance abuse and medical services specialists and a team coordinator. 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.

### NYC Health and Hospitals Corporation (HHC) Domestic Violence Coordinators

HHC is continually challenged with the provision of 24-hour, 7-day-a-week domestic violence services. These services address not only the medical, but also the social and cultural needs, including coordination of services with external agencies to ensure continuum of care and safety of domestic violence victims. HHC's 11 hospitals and six diagnostic and treatment centers continue to provide domestic violence services through their Domestic Violence Coordinators and trained providers who are the expert educators and facilitators for patients, staff and the community. HHC works closely with the Child Protection and Rape/Sexual Assault Coordinators to provide staff training during orientation and annually, thereafter; and monitor compliance with domestic violence policies and procedures. They consult, provide direct service, refer and counsel victims and collaborate with community based organizations. HHC also partners with the NYPD Domestic Violence Prevention Officers (DVPOs) at their local police precincts to ensure that all victims are identified and protected.

### NYC Health and Hospitals Corporation (HHC) Domestic Violence Surveillance System

The Domestic Violence Surveillance System program, developed collaboratively with DOHMH, consists of a corporate-wide standardized surveillance form that tracks domestic violence cases. Starting in 2006, this form was available electronically to all acute care facilities through the secure HHC intranet. The information gathered is used to identify opportunities to improve and enhance the

domestic violence programs. The surveillance program requires Emergency Department and Ambulatory Care Clinic staff to screen females ages 16 and older for domestic violence. In calendar year 2007, HHC facilities provided a wide range of services to approximately 2,235 domestic violence victims.

#### NYC Health and Hospitals Corporation (HHC)

HHC's Domestic Violence (DV) Programs continue to seek opportunities for improvement and enhancement to ensure quality of care and services. To date, Woodhull continues to offer a 24-hour "Help Line" program, Bellevue received a grant from the Phillip Morris Doors of Hope for a DV Patient Safety Program, Harlem Hospital received several grants from the United Hospital Fund to enhance their DV program and Elmhurst holds monthly legal services clinic assisting family violence victims and averages 40 families per month. Domestic violence screening in the Emergency Department has been extended to include all inpatient departments in acute care facilities and all patients seen in the ambulatory care clinics in acute care hospitals and diagnostic and treatment centers.

#### Department of Health and Mental Hygiene (DOHMH) Domestic Violence Coordination and Training Program (DVCAT)

DOHMH is in contract with the Jewish Board of Family and Children Services to provide domestic violence services in the Bronx through its Domestic Violence Coordination and Training Program. DVCAT is a multi-component program that has been in operation since the summer of 1998. The primary purpose of the program is to strengthen the mental health system's response to domestic violence as well as increase community awareness of domestic violence. The DVCAT program provides services in English, French, Spanish and Albanian, which include a hotline and the following:

1. Training on domestic violence issues and best practice interventions to Bronx-based mental hygiene professionals, healthcare and social service providers, and criminal justice and legal professionals. The curriculum is comprised of six major components including: the scope of the problem, outreach, screening and identification, documentation and referrals. Each year approximately 1,000 individuals are trained throughout the Bronx. In addition, the DVCAT program underwrites and supports an annual domestic violence conference in the Bronx. Palm cards with domestic violence referral information in English and Spanish has been printed and distributed to thousands of individuals in the Bronx.
2. Support and maintenance of the Bronx Domestic Violence Action Network (DVAN). The Network includes representatives from the mental hygiene, health and social service communities that serve Bronx residents. The monthly meetings provide an opportunity for partnerships to be formed and to share knowledge, skills and resources to address such issues as the NY State Anti-Stalking Law, welfare reform and its impact on domestic violence victims, and immigration issues. Approximately 180 individuals receive the DVAN meeting minutes and notices of events and new programs. Similarly, approximately 200 Bronx-based community professionals receive the Bronx Domestic Violence Resource List, which is compiled and updated annually by the program.
3. A Battered Women's Support Group, launched in the fall of 2000, continues to offer weekly groups facilitated by a staff member.

#### Project H.E.A.L. (Health Emergency Assistance Link)

On May 14, 2003, Mayor Bloomberg announced a comprehensive plan to improve the services provided to victims of domestic violence at all 11 City public hospitals, the first point of entry for many victims seeking help. The project is a collaboration between OCDV, Health and Hospitals Corporation and Safe Horizon, a nonprofit social service agency, and is funded in-part through a donation from the Dr. Joy to the World Foundation. Safe Horizon community based social workers staff two City hospitals to

provide social services and links to additional assistance; and public awareness materials in nine languages have been created and distributed to City hospitals. Starting in 2004 and continuing in 2007, all 11 domestic violence programs were provided with special photographic equipment (domestic violence server, high quality digital camera, computer and software) to photograph domestic violence injuries. The photographs are stored on the secured domestic violence server and can be accessed only by the Domestic Violence Coordinator and/or designee with special access. Photograph consent forms were developed for the domestic violence victim to grant permission for the photographs to be taken and for the release of the photographs to the District Attorney, if requested. The consent forms and HIPAA release forms were made available in 11 languages. Hospitals have established telephone referral procedures to connect victims seeking civil legal assistance to non-residential domestic violence service providers.

#### Human Resources Administration (HRA) Domestic Violence Liaison Unit

HRA created a Domestic Violence Liaison Unit in 1998 as a result of the Federal Family Violence Option, part of welfare reform legislation. MSW social workers staff HRA Job Centers to assess self-identified domestic violence victims and provide temporary waivers from the work requirements mandated by Temporary Assistance. The waivers ensure the safety of the client and her children. The domestic violence liaisons also develop safety plans with clients and provide counseling and information and referral services. During City Fiscal Year 2008, the domestic violence liaisons granted 3,524 employment waivers and 5,165 child support waivers to families affected by domestic violence.

#### Human Resources Administration (HRA) ADVENT (Anti-Domestic Violence Eligibility Needs Team) Program

HRA developed a special services unit called ADVENT to assist domestic violence victims in accessing domestic violence services while adhering to the requirements of Welfare Reform. The staff works with clients in the creation and implementation of their self-sufficiency plan that includes services that address their domestic violence issues. The plan may include counseling, working on a GED, attending ESL (English as a Second Language) classes, job or skills training, a WEP (Work Experience Program) assignment or unsubsidized work, and helps coordinate work and work related activities.

#### Human Resources Administration (HRA) Teen RAPP

This school-based program is one of the most extensive 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. Since 1999, HRA's innovative RAPP Program has helped teens attending public high schools develop healthier relationships. Social workers (MSW) deliver an array of relationship abuse services through four components: prevention classes, intervention counseling, staff development and training, and community outreach. RAPP fosters a school climate with zero tolerance for abusive behavior in all of its forms, thereby promoting a safe and productive learning environment for students and staff. In September 2005, this program was expanded to include middle schools, as well as additional high schools. Currently, RAPP is serving 61 schools citywide.

#### Human Resources Administration (HRA) 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 the victims' homes. Program participants are provided with security devices and cellular telephones for use both inside and outside their homes that result in a rapid law enforcement response when activated. These devices give victims the ability to contact the police should their abusers attempt to violate their orders of protection.

ATS is administered in collaboration with the New York City Police Department (NYPD), and various not-for-profit organizations and private businesses. Each participant receives full-time case

management, and NYPD gives ATS alarms a priority status and provides special training to officers in program precincts. In City Fiscal Year 2008, ATS served an average of 75 clients per month.

#### Human Resources Administration (HRA) Non-Residential Domestic Violence Services

HRA contracted with community based organizations to provide non-residential domestic violence programs. These programs maintain hotlines; as well as provide crisis intervention, counseling, and referrals for supportive services, advocacy and community outreach in all five boroughs. HRA's non-residential domestic violence programs have increased the resources available to victims of domestic violence, including those for whom language and cultural barriers pose difficulty in accessing assistance. In CFY 2004, HRA awarded additional contracts to increase the current number of clients and expand the availability of non-residential services featuring a separate legal services component. During City Fiscal Year 2008, of an average 3,209 clients were served each month through non-residential programs and 996 clients received legal services in addition to the core services.

## 2. 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

The Office of Domestic Violence Services of the Human Resources Administration (HRA) administers thirty-eight 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. In October, 2007, the emergency shelter capacity increased to 2,084 beds. HRA administers eight Tier II shelters with a capacity of 249 units of transitional housing.

To facilitate assess to bed availability in the City's residential domestic violence programs, HRA web-based program called the Shelter Occupancy System (SOS). The shelter programs enter client data into SOS for an up-to-date accurate count of the domestic violence shelter bed vacancies immediately available to the City's Domestic Violence Hotline staff, which in turn facilitates emergency placement of domestic violence victims and their families into safe and secure housing. It also streamlines the billing process and provides consistent data for planning purposes. During City Fiscal Year 2008, an average of 683 families were served each day in emergency shelter.

HRA addresses the needs of domestic violence victims seeking emergency housing from the Department of Homeless Services. HRA's Project NoVA (No Violence Again) social workers provide eligibility screening, crisis counseling and referral services to victims of domestic violence at both the Prevention Assistance & Temporary Housing office (PATH operated by the Department of Homeless Services (DHS) and in several transitional housing facilities overseen by DHS. During Fiscal 2008, 5,263 families were referred to NoVA at PATH for assessment to determine eligibility for domestic violence shelter services. Of these referrals, 1,327 were determined to be eligible for domestic violence shelter services based on an assessment of the client's risk and safety.

In City Fiscal Year 2007, HRA allocated approximately \$80 million for the Office of Domestic Violence Services, which is a unit of the Office of Domestic Violence and Emergency Intervention Services. This money comes from three funding sources: approximately 30 percent is City Tax Levy, 20 percent comes from the State of New York and 50 percent are from Federal funds. The Federal funds come from the U.S. Department of Health and Human Services (HHS). This money is used to operate shelter facilities, and provide counseling, case management and other non-residential services to victims of domestic violence and their families.

#### Housing Subsidy Program

In October of 2007, New York City announced the start of the first-ever housing subsidy program

targeted at victims of domestic violence exiting the Human Resources Administration's (HRA) domestic violence shelters. The Domestic Violence Work Advantage Program provides a rental subsidy for these families and for the first time will grant an extension for a period of six-months after they obtain housing to secure employment while they recover from the trauma of abuse. Additionally, the Department of Housing Preservation and Development (HPD) made a number of its "set aside" units available to these families.

The Domestic Violence Work Advantage program and the HPD "set asides" are two of six new initiatives that grew out of the Task Force on Domestic Violence and Permanent Housing, in collaboration with the City. The four additional initiatives are:

- Reducing the time required to process the Section 8 and NYCHA Domestic Violence Priority public housing applications of HRA shelter residents enhancing access to this valuable resource.
- Partnership with the United Way of New York City to support the development of enhanced after-care programs for domestic violence victims, which will promote the long-term independence and success of families.
- Training domestic violence service providers on the application process for the City's main supportive housing program, New York/New York III, to facilitate access for eligible families.
- Enhanced data sharing between HRA and the DHS shelter systems on families known to both systems in order to understand how each agency can better help to support their needs.

The Task Force on Domestic Violence and Permanent Housing was created in June 2006 to take an in-depth look at housing issues faced by domestic violence victims and their children when they are forced to leave their homes. It is comprised of 49 government, private, philanthropic, and academic stakeholders from the interrelated fields of homelessness, housing, and domestic violence.

## Permanent Housing

### New York City Housing Authority's (NYCHA) Emergency Transfer Program (ETP)

This program is available to NYCHA residents who are victims of domestic violence, intimidated victims, intimidated witnesses, or child sexual victims. The program provides a confidential transfer to another development. During January 1, 2008 to June 30, 2008, 976 emergency transfer requests were received; 402 cases were approved for transfer.

### New York City Housing Authority (NYCHA) 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. From January 1, 2008 through June 30, 2008, 140 cases were received and reviewed by the unit, of which 104 were deemed to have met the Intimidated Witness criteria and were forwarded to NYCHA's Applications and Tenancy Administration Department for processing.

## Support Services

### New York City Housing Authority (NYCHA) HARTS (Housing Assistance for Relocation and Transitional Services) Program

HARTS assists families moving into public housing from shelters, and individuals relocating into NYCHA housing with a domestic violence or intimidated witness priority. Services are also made available to families relocating as intimidated victims and witnesses through NYCHA's already existing Emergency Transfer Program. From January 1, 2008 through June 30, 2008, the program received 381 referrals, made a total of 1,394 home visits and reported 110 residents accepting HARTS 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. From January 1, 2008 through June 30, 2008, 209 new cases were opened and 183 face to face contacts with new and existing clients were conducted, including 64 home visits, and the successful transfer of 98 residents.

#### NYCHA's Furniture Distribution Program

The program secures donations of furniture, bedding and an assortment of household items from hotels and motels to assist relocated families who have lost their possessions due to a fire or other calamity. From January 1, 2008 through June 30, 2008, approximately 55 families were assisted through the program.

### **d. Elderly, Including Frail Elderly**

#### **1. Housing Needs of the Elderly**

##### Population Characteristics

The elderly population of New York City, which accounts for approximately 40% of the elderly in New York State, is represented by over 1.28 million individuals age 60 and older. Over 16% of New York City's total population are seniors. Since the early 1980's, nationwide, there has been a dramatic increase in our elderly population, and this trend will continue to build momentum, well into this century as the baby boomer generation ages.

According to data from the 2000 U.S. Census, the population of elderly in New York City age 60+ decreased slightly by 2% during the last decade. However, there was a significant increase in the oldest New Yorkers, those aged 85 and over, increasing by 18.7%, which has had a profound impact on the demand for services and utilization, as well as the need for specialized housing.

In addition to the increase in New York City's oldest age groups of elderly, since 1980, there have been compelling developments in the growth of minority elderly, an increase in the percentage of women in higher age groups, the number of elderly living alone, and an overall increase in the functional dependency of these groups as they continue to get older.

##### Minorities

The racial and ethnic profile of the elderly population in New York City has changed dramatically. According to the 2000 Census, minority individuals age 60 and older comprised approximately 47% of the total senior population in New York City, up from 35% in 1990 and 24% in 1980. In the age group 75 years and older, the number of minority elders increased by 46% since 1990; and the group of elderly age 85 years and older increased by 60%. The rise in the number of Black elderly 85+ was 49.6%, for Hispanic elderly 85+ was 35%, and the increase in the percentage of Asian elders 85 years and older was especially striking at 126% since 1990.

According to the U.S. Census, the national median income for minority elderly one-person households is almost one-third less a one-person, non-minority household of 65 years and older. Minority households represent a majority of the City's very low-income elderly for one- and two-person households. Because they are more likely to have lower incomes and less access to market-rate healthcare and social services, this dramatic rise has had a significant impact on the rise in demand for subsidized services. The percentage of minority elderly in the population is only expected to increase for decades to come, as the large waves of minorities who moved to the City in the 1960's are now reaching their 60's, along with the continuous influx of immigrants from Asian, Hispanic, and East European countries.

##### Women

The U.S. Census indicates that 60% of older New Yorkers are women and as the age of women continues to increase so, too, does of the ratio of more women to men. For example, over 66% of seniors age 75 and over

are women, as well as, over 72% of seniors age 85 and over are female. The ratio of more women to men among older New Yorkers is striking and has had significant implications on the elderly. Women comprise over 80% of the frail elderly population and nearly 74% of the elderly live alone. Because women are outliving their male partners, the implications and financial burdens it has created are substantial, leading to the overarching issues of longevity, frailty, and the depletion of combined resources, creating a dependence on formal support services.

#### Living Alone

New York City's median income for all elderly that live alone is \$14,050; this represents an income far below the HUD very low income threshold of \$24,800 a year. More than 50% of all elderly live in single headed households; furthermore, approximately one in three elderly persons in New York City live alone, and many do not have informal support networks; and are therefore, at risk of being socially isolated. When seniors become isolated from their community, they lose the much-needed social connection and outlets to healthcare and additional services which help them to cope with difficulties before a crisis situation may occur.

#### Frail Elderly

A frail elderly person is defined as an individual that has reported a disability, mobility impairment, and/or self care limitation. New York City's frail elderly account for over 46% of the City's population 65 years and older. The amount of frail elderly persons in our City continues to increase, and points directly to a growing need for support services in the communities where seniors live. Bringing support services into existing homes and/or housing communities for the frail elderly may prevent the elderly from having to seek alternative housing, such as in an adult home, assisted living situation, and/or a nursing home. The expenses associated with the elderly living outside their homes, dovetailed with the exorbitant health care costs is enough to financially cripple our seniors. Yet, the need for programs that provide service delivery to a senior's underscores the demand of our aging population for special needs and in adapting services specific to their living environment. For example, minor home repair services provide funding assistance to seniors in needs of maintenance and/or upkeep of their homes when an individual is no longer physically and/or financially capable. The ability of a senior to age in place, by staying in one's home often proves to be the most beneficial and appropriate option. As our City's population of elderly incrementally continues to grow the demand for more supportive services to support our seniors will remain on the rise.

Yet, the existence of our City's supportive service programs does not mitigate the on-going need of some frail elderly who are no longer able to live in their existing homes for either safety and/or health reasons. In the case of these frail elderly individuals, a continuum of long-term, supportive housing is the required alternative that enables them to confidently age in place.

#### Income

Finding safe, affordable housing in New York City is a chronic and complex problem for most New Yorkers and is not limited to our aging population. However, the elderly population are faced with even greater challenges in this difficult housing market, as most live on very low fixed incomes, and are not able to find affordable rental, and/or cope with the rising expenses associated with maintaining a house. Elderly are often displaced from their homes and in most cases their families must bear the burden of the costs associated with finding them a suitable living situation.

Elderly headed households pay a higher percentage of their income for housing than the rest of the City's population, with the only exception being that of a single parent headed household. As mentioned above, the median income of a single elderly household 65 years or older is \$14,050, compared to that of \$38,000 for the median income of the total population. In fact, elderly renters have lower household incomes than owners, and their income levels only continue to decrease with age. Seniors are faced with even greater risks associated with displacement than other populations, due to the income losses they experience at retirement, the death of a spouse, and/or the increase of medical expenses, which leaves many seniors in financial need.



While the number of elderly 65 and over living below the poverty line has decreased nationwide by 23% between 1990 and 2000, conversely this population of elderly, in New York City has increased by more than 8%. The greatest increases have occurred among segments of the elderly population that are poor: women, minorities, individuals 75 years or older, and live alone. According to New York City's 2000 Housing and Vacancy Survey, over 30% of single elderly households had annual incomes below poverty level, which compares to just over 18% for the population as a whole.

In addition to elderly living below the poverty level, there are a large number living in or near poverty. This group is vulnerable because their incomes may be slightly above the level to qualify for public assistance or government subsidized housing, but inadequate to meet their increasing housing, health and service needs. This creates a severe disadvantage for this population in opting for market rate housing or assisted/supportive living.

For many reasons, a large number of older New Yorkers have remained in their homes of many years. Some have remained by choice, in order to maintain social networks and access to familiar neighborhood resources, and others have remained because more suitable options are not financially feasible. In many instances, where large concentrations of residents have "aged in place" over a period of time, Naturally Occurring Retirement Communities (NORCs) have evolved. This phenomenon is evident nationwide, and is growing rapidly in New York City. NORCs in New York City range from single-building, middle income cooperatives to large public housing complexes with multiple buildings of rental units for low-income tenants. Since NORCs were not designed for the elderly and are not usually managed with paramount attention to the needs of the aging, they often lack the support services, as well as the physical amenities, needed by a growing number of older residents.

## **2. Inventory of Housing for the Elderly and Frail Elderly**

### Housing Programs and Resources

Housing and housing-based services for the elderly consist of various types of programs and residential settings, funded through a variety of sources, which form a continuum of care and housing options. This continuum ranges from programs that help elderly to "age in place" in their own homes and communities, to apartments built or set aside for this population, in which the well elderly can live independently, to various levels of supportive/assisted living which provide up to the most intensive supervision and care possible without being a skilled nursing facility.

#### Programs that Assist with Aging-in Place

Rather than provide for the development of new housing for the elderly, these programs help seniors meet housing and utility costs, keep up with home repair, or bring needed services into the home, thereby playing a large part in helping seniors remain in their own homes and communities.

Senior Citizen Rent Increase Exemption Program (SCRIE) SCRIE provides elderly tenants with exemptions from future rent increases and provides landlords with a tax abatement which can be used to reduce property taxes. As of July 1, 2008, SCRIE income eligibility was raised from \$27,000 to \$28,000 with increases of \$1,000 per year until it reaches \$29,000 in 2009. At the end of FY 2008, there were 43,888 elderly households receiving SCRIE benefits, and property tax abatements to landlords provided through this program totaled approximately \$94,567,192.26.

Senior Citizen Homeowner Exemption Program (SCHE) (Formerly the Sr. Citizen Real Property Tax Exemption Program), administered by the Department of Finance, provides owner of 1-,2-, and 3- family houses, condominiums, or cooperative apartments that are age 65 or older, and whose federal adjusted gross combined income is less than \$35,400 a year. Exemptions of 5% to 50% on New York City real property tax to low and moderate income homeowners 65 years of age or older.

Senior Citizens Homeowner Assistance Program provides deferred loans, forgivable loans, and low-interest loans for energy repairs to senior citizen owners of one- to four-family dwellings. The Federally-sponsored

Home Energy Assistance Program (HEAP) and Weatherization Referral and Packaging (WRAP) assist many low-income elderly with heating and weatherization costs. In addition, CDBG, State and City funds are utilized for various home repair and modification programs that help seniors maintain or adapt their surroundings for maximum safety and mobility.

New York City Naturally Occurring Retirement Community Initiative The Department for the Aging administers City funding to coordinated housing-based supportive service programs for low and moderate-income elderly residing in Naturally Occurring Retirement Communities. These services include, but are not limited to, case assistance and case management, healthcare management and assistance, social services, educational and recreational programs, and transportation services. NORC supportive service programs are designed and administered as a partnership between social service and healthcare providers, housing owners and managers, and elderly residents.

This program brings together owners and managers of multi-family housing, as well as NORC residents to create an aging-friendly environment. The NORC community with a full supportive service program has many of the benefits of senior housing, yet allows the individual to remain within the familiar, secure, and multi-generational atmosphere of his or her home and immediate community. Through this initiative, the Department funds 30 NORC Supportive Service Programs housing locations, serving over 8,000 elderly New Yorkers.

The Department for the Aging also funds a wide array of community-based and in-home services through contracts with local service providers. These services include congregate meals served in senior centers and home-delivered meals for those elderly who are unable to travel to the senior center; care management in which trained professionals assess the needs of an elderly individual, and make appropriate referrals for specific services; transportation programs that take seniors to and from appointments and activities; assistance with housekeeping, personal care and other activities of daily living when needed; crime prevention programs; legal assistance programs; health promotion activities; an extensive senior employment program, and many other needed services that enable elderly New Yorkers to live as independently as possible. The Department directly provides specialized assistance to elderly crime victims, including cases of elder abuse, and has Resource Centers for Grandparents Raising Grandchildren, for Caregivers of elderly with chronic needs, and for the families of elderly suffering from Alzheimer's disease and other forms of dementia.

#### Independent Living

Throughout the five boroughs, developments have been built or set aside exclusively for the elderly who are relatively independent, but may be in need of affordable housing or some light services. Buildings in this category may be with or without supportive services, and include housing built with funds from a variety of Federal, State, and City sources, as well as private funding. Waiting lists often can be years long. Major sources of housing for the elderly include 190 Section 202 Supportive Housing for the Elderly, contributing 17,680 units; NYC Housing Authority, with 56 Developments that include senior-only developments and senior-only buildings (and units) in mixed developments, contributing 9,849 units; 22 Mitchell Lama sites for seniors-only or with major set asides for the elderly, contributing 4,859 units; Section 8 construction involving 10 sites contribute 1,895 units.

#### Community-Based and In-Home Services

The Department for the Aging offers community-based and in-home services to our senior population in an effort to enrich the quality of life of our aging community that both allows our seniors to age in place and to become more active participates in civic activities. In FY2008, over 11.23 million meals were provided through Congregate meals served in Senior Centers and through home delivered meals; over 1,746,000 hours of personal care and housekeeping services were provided; over 6,270 caregivers of frail elders or grandparent providing caregiving to their grandchildren were provided assistance or training through the Department's in-house Alzheimer's and Caregiver Resource Center and through the Grandparent Resource Center; and over 410,000 hours of case management were provided to frail, homebound seniors.

Section 202 Supportive Housing for the Elderly Is the only Federal program exclusively for the development of housing for low-income seniors. This program provides interest free capital advances to eligible non-profit sponsors to finance the development, either new construction or substantial rehabilitation, of housing with support services and rental subsidies for income-eligible persons age 62 or over. (Individuals must qualify under HUD's Very Low Income limits, which are currently \$26,900 for a single-person household, and \$30,700 for a two-person household.)

As residents of Section 202 and other independent living developments have aged, their needs for services change. To bridge the gap between independent and assisted living, HUD has made funds available to operators of federally-assisted housing to hire Service Coordinators, who perform a range of functions to link residents with needed services and community resources, thus helping them to age in place. Additional services offered must be provided by the operator. Typical services offered in many Section 202 buildings include social services, recreation and social activities, transportation services, and other services deemed necessary for maintaining independent living.

#### Assisted/Supportive Living

This section of the continuum of care for elderly has a continuum of its own, in that there are facilities and programs that provide for increasing levels of care within a residential setting. These facilities/programs include the following:

Adult Homes are state-licensed and regulated facilities that provide long-term residential care, room, board, housekeeping, and personal care to five or more dependent, ambulatory frail elderly or mentally ill adults. Nursing and medical care are not included. Although most adult homes are proprietary, some accept social security, supplementary security income or social security disability (SSI level II) amounts as payment; others charge private rates. Adult homes are licensed and monitored by the New York State Department of Health.

Currently, there are 49 adult homes in New York City, providing 8,216 beds.

Family Type Home for Adults: Family type homes for adults (FTHA's) constitute a long term foster care arrangement, which includes room and board, housekeeping, personal care, and non-medical supervision in a private home to no more than four frail elderly or mentally ill adults. FTHA providers are private individuals, not agencies or organizations. This housing program is regulated by the NY State Office of Children and Family Services.

Enriched Housing: The Enriched Housing Program enables elderly persons to remain in a home-like, community-based setting by providing housing with support services to five or more adults aged 65 or over. This program includes an efficiency apartment and makes available services such as housekeeping, one daily congregate meal, personal care, case management, transportation, and other non-medical services. The program may be based in either publicly-subsidized housing, such as Section 202 housing, or privately-owned sites. The Enriched Housing program is certified and inspected by the New York State Department of Health.

Currently there are 16 NYC Enriched Housing programs operating in NYC, providing 1,185 beds.

Assisted Living Program (ALP) This New York State program operates in adult homes or enriched housing units, and is designed to bring health and nursing services into these facilities which otherwise do not provide them. The program provides a Medicaid/SSI rate for services beyond those of the Adult Home or the Enriched Housing Program, but short of skilled nursing. Non-Medicaid eligible residents pay privately in these facilities.

There are 18 approved ALPs in New York City, providing 1,631 beds.

In addition to the NYS program, however, a number of non-licensed, market-rate facilities have been developed in the City. These residences have been developed and operated primarily by large, for-profit (often national,

public) companies, and provide a wide range of hospitality and social services. Personal and nursing care services are usually provided at additional fees.

**e. Persons with Physical Disabilities**

People with disabilities face barriers beyond the expected problems of cost and location in their search for fair housing. Meeting the dual challenges of locating housing that is both accessible and affordable can be exceedingly difficult, particularly when accessibility relates not only to the dwelling place itself, but also to the location on an accessible route to employment, services and other features of daily living which most people take for granted.

With the definition of “disability” expanding, there are more than 3.5 million people with disabilities living in New York State - of these approximately 1.9 million live in New York City according to the 2000 census data.

The disability community in New York City has a higher rate of unemployment and under-employment than other segments of the adult population. Over 350,000 New Yorkers receive Social Security Income (SSI). In New York City a person on SSI earns approximately \$637.00 per month. HUD’s Fair Market Rate for a one-bedroom apartment in the City far exceeds that figure, leaving subsidized housing as the only option, other than sub-standard housing, for this community.

New York City’s primary mode of inter-borough transportation, the subway system, is undergoing large-scale renovations in compliance with the Americans with Disabilities Act (ADA), the New York State Public Buildings Law and the New York State Transportation Law. Work includes the installation of elevators and other accessibility features in over 100 major stations, allowing access for people with mobility impairments and greatly improving access between boroughs. Housing designed to meet the needs of people with disabilities will have to take into account transit linkages when sites are being planned.

Low-income tenants and homeowners make use of a HUD-funded Project Open House (POH) program, administered by MOPD. The program assesses and removes architectural barriers such as narrow doorways, and provides such adaptive equipment as wheelchair lifts and tub seats in bathrooms in dwelling units to make them accessible.

The search for affordable and accessible housing in all five boroughs continues to be a major problem for people with disabilities.

People with disabilities in New York City make use of a wide range of housing and related services provided by government at the local, state and federal levels. Some programs offer financial support for developers to operate housing that is accessible and affordable to the disability community. Other programs remove barriers from dwelling units, thereby expanding the variety of housing choice open to people with mobility impairments. Still other programs provide critical on-site services that allow a person to manage independently, but offer support to a resident in a crisis situation. Following is an inventory of government-funded housing and related services available to people with disabilities in New York City.

NYC Affordable Housing Resource Center: Resulting from a partnership of a number of city agencies, including MOPD, HPD, HDC, NYCHA, DHS, DFTA, HRA and the Department of Information Technology and Telecommunications, the New York City Affordable Housing Resource Center acts as a clearinghouse for affordable housing information on all aspects of City housing, including renting an apartment, buying a home, and apartment maintenance issues. Through this site, a constituent can find all of the City’s affordable housing lottery listings, as well as specific information catering to disabled potential homeowners and tenants.

The Mayor’s Office for People with Disabilities also educates architects, builders, landlords, building managers, homeowners, and tenants about accessible housing for people with disabilities. Education programs cover

design, construction, owner/builder obligations and tenant/owner rights. Federal, state, and local laws are addressed.

Project Open House Program: Administered by the New York City Mayor's Office for People with Disabilities. Low-income homeowners and/or tenants submit requests to Project Open House, which in turn assesses and removes architectural barriers in residential dwellings to make them accessible.

Section 811 Supportive Housing for People with Disabilities: HUD provides direct federal capital advances to private, non-profit corporations and consumer cooperatives for the new construction or substantial rehabilitation of city-owned or private sites for housing for people with disabilities. There are now over 400 units of Section 811 housing in the City of New York.

Supportive Housing Program (formerly known as the SRO Loan Program): Administered by the New York City Department of Housing Preservation and Development (HPD), the program funds the acquisition and rehabilitation of properties as well as new construction for developing new permanent housing for low-income adults, many of whom have some disability. Currently over 5,000 dwelling units have become available as a result of this program. The majority of the dwellings are offered to people who have some mental, developmental, or physical disability.

The Disabled Rent Increase Exemption Program (DRIE) provides physically disabled tenants with exemptions from future rent increases and provides landlords with a tax abatement which can be used to reduce property taxes. To qualify, an applicant must rent an apartment as defined as eligible under the law (i.e. rent-controlled, rent-stabilized, Mitchell Lama); be named on the lease or rent order, be the tenant of record, or be the spouse with a disability of either; receive eligible state or federal disability-related financial assistance; meet the DRIE income eligibility requirement (\$17,580 for a single-person household, \$25,212 for a household of two or more members); and pay more than one-third of their household's aggregate disposable income for rent.

## **II. OTHER ACTIONS**

### **Introduction**

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

Other Actions continues in Volume 3 with the summary of citizens' comments and Agencies' responses.

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

## **A. Citizen Participation Plan**

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

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

As stated in Volume One, this document, the Consolidated Plan, is the City's application for the four HUD Office of Community Planning and Development Entitlement Programs, CDBG, HOME, ESG, and HOPWA. The allocation of these funds will be for housing, homeless, supportive housing and community development programs and are determined in the City's Budget Process. The Consolidated Plan focuses on the money expected to be received from HUD and the matching funds that the City uses primarily from City tax levy; however, funds from the State, the private sector, and nonprofit organizations are also described. An executive summary encapsulating the Consolidated Plan has been placed on HUD's Internet web page for Community Plans. A New Yorker interested in accessing the summary can find the NYC Consolidated Plan on HUD's web site at:

**<http://www.hud.gov/library/bookshelf18/plan/ny/newyorny.html>**

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

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

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

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

This schedule emphasizes the participation of the community boards at the local level because, by mandate of the City Charter, these boards are charged with monitoring city service delivery, proposing budget priorities and

reviewing development and land use proposals at the community level. The 59 local community boards are the primary mechanism for citizen participation in the budget process in New York City. Others wanting input into the city's budgetary decisions find it appropriate and useful to obtain a community board's endorsement of their proposals. Each board is composed of up to 50 people who live or work in the community district. All members of the community board are unsalaried volunteers appointed by the Borough President. Half of the members are appointed from a list submitted to the Borough President by members of the City Council who represent the district. The other half are selected directly by the Borough President. Each board is allocated a city-funded budget to rent office space, dispense information and hire a District Manager and staff to carry out its objectives. Boards have a number of standing committees, such as health and hospitals, housing and zoning, budgeting, parks and recreation, and transportation. Many boards actively encourage non-board members to become committee members. In some boroughs, such "public" members have the right to vote. Community boards have existed in some parts of the city since the early 1960's. The Charter was amended in 1975 and 1989 to further institutionalize and broaden their advisory powers.

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

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

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

Phase 1: Needs Assessment/Budget Preparation

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



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

Phase 2: Preliminary Budget

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

- By March 25            Public hearings on the preliminary budget are held by the City Council.
- By March 31            Consolidated Plan Annual Performance Report is scheduled to be submitted to HUD.
- Mid-April                First Proposed Consolidated Plan Public Hearing held to receive public comments on the formulation of the next year's Plan and the past year's use of funds for housing, homeless, supportive housing and community development activities funded by entitlement programs: CDBG, ESG, HOME, and HOPWA.

Phase 3: Executive/Adopted Budget

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

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

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

(1) Encouragement of citizen participation. The advance notice of public hearings, the provision of technical assistance and information to community boards and others, the schedule of multiple public hearings, and the availability of line agency staff to discuss proposals at community board meetings are part of the existing City's budget process and are all designed to encourage widespread citizen participation in the development of the Consolidated Plan, any amendments to the plan, and the performance report.

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

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

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

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

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

### **Substantial Amendments**

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

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

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

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

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

### **Computerized Geographic Files for Mapping**

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

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

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

- **DCPLION Single Line Street Base Map** in MapInfo Table format and ESRI's File GeoDatabase format. This base map contains a single line representation of the City's streets with address ranges, street names and other geographic information.
- **Tax Block Base Map** files are available in two formats, MapInfo Table and ESRI/ArcView Shapefile. The files contain street names, tax block outlines and annotation points with block numbers.
- **Administrative and Political Districts** are available in two formats, MapInfo Table and ESRI/ArcView Shapefile. These files contain district outlines and district numbers. Citywide base map files are available for the following districts: Census Blocks, Census Tracts, Projection Areas, Police Precincts, Fire Companies, Health Areas, Health Center Districts, School Districts, Community Districts, Boroughs, Election Districts, City Council Districts, State Assembly Districts, State Senate Districts, Municipal Court Districts and Congressional Districts.

- **Selected Facilities and Program Sites** - Data providing the location, type and capacity of public and private community facilities in New York City, including schools, parks, libraries, public safety, day care, foster care, special needs housing, health and mental health facilities and programs. To facilitate analysis and mapping, the data is geocoded and available in two formats: ASCII delimited text files and Microsoft Access database.
- **PAD™** - The PAD (Property Address Directory) file contains additional geographic information at the tax lot level not found in the PLUTO files (see below). This data includes alias addresses and Building Identification Numbers (BINs). It consists of two ASCII, comma delimited files: a tax lot file and an address file.

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

- **Tax Lot Base Map** - The Tax Lot base maps are provided on five CD-ROMS, one for each of New York City's boroughs: Bronx, Brooklyn, Manhattan, Queens and Staten Island. Each CD contains five datasets: street names, tax lot outlines, tax block outlines, community district outlines, and borough boundary outlines. Each dataset is provided both clipped to the shoreline of New York City and in its entirety including submerged areas of the City. Each CD contains datasets in two GIS vendor formats: ESRI Shapefiles and MapInfo Tables. The licensing fee is \$250 per borough.
- **PLUTO™** - Extensive land use and geographic data at the tax lot level in ASCII comma-delimited format. The PLUTO files contain more than seventy fields derived from data maintained by city agencies. Tax lot data for selected tax blocks or Community Districts can be extracted using the PLUTO Select application which is included with this product. The licensing fee is \$250 for citywide data.
- **MapPLUTO™** - PLUTO data merged with the Tax Lot base map file. MapPLUTO is provided on five CD-ROMs, one for each of New York City's boroughs. Each CD contains datasets in two GIS vendor formats: ESRI Shapefiles and MapInfo Tables. The licensing fee is \$300 per borough.
- **Geosupport Desktop Edition™** - a Windows® based geocoding package boasting a 99% hit rate that allows for the standardization, validation and processing of geographic locations throughout New York City. The licensing fee is \$22500.
- For information on licensing these products, call (212) 720-3505.

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

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

### **Department of City Planning**

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

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

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

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

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

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

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

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

#### Department of Housing Preservation and Development

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

#### Department of Homeless Services

##### *Working with Communities*

Homeless shelters are part of neighborhoods. As a result, DHS works with communities to address issues and concerns as they arise. Communication with local leaders and community residents is important for two reasons: First, as community residents understand how shelters have changed for the better over the last decade, and are made aware of the ongoing improvements that are being implemented, they usually are more accepting of facilities and programs. Second, DHS relies on feedback from community members regarding facility operations so that the Department can address ongoing issues. One mechanism for community residents to make their concerns known is through the Shelter Advisory Committee. Residents can first contact the DHS

Assistant Commissioner of Communications and External Affairs or the Director of the particular shelter or facility. Local Community Boards as well as elected officials are also available to address community problems or issues. Both DHS Offices of Communications and of Intergovernmental Affairs/Community Relations, diligently work to maintain good relationships with elected officials and community boards in order to improve the quality of life for shelter residents and residents of the surrounding communities.

#### *Office of Client Advocacy*

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

#### *Request for Proposal (RFP) Process*

When DHS releases an RFP for homeless services, it requires that respondents submitting a proposal notify the Community Board of the Community District where the facility is located. The respondent must provide information about their proposal, including a presentation if requested by the Community Board. In addition, proposers are awarded points if they can provide letters of support from Community Boards, elected Officials, and civic and community-based groups. Finally, nonprofit organizations that assume operation of DHS' facilities are required to create and maintain active Shelter Advisory Committees.

#### *Shelter Advisory Committees*

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

#### *HUD Notice of Funding Availability (NOFA) Process*

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

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

planning appropriate actions with regard to advocacy and policy issues of the New York City Continuum of Care and DHS and HUD related topics.

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

- Coalitions of providers of services to homeless people. The Steering Committee represents eight coalitions who in turn collectively represent more than 300 not-for-profit organizations throughout NYC. The eight coalitions representing all non-public entities include the Council on Homeless Policies, the New York City AIDS Housing Network (AHN), the Association of Housing for Runaway and Homeless Youth Organizations, the Coalition of Voluntary Mental Health Agencies, the NYC Coalition of Domestic Violence Residential Providers, the Supportive Housing Network of New York (SHHNY), the New York Association of Alcoholism and Substance Abuse Providers, Inc. (ASAP), and the Re-Entry Housing Roundtable coalition. Each member coalition appoints one representative and an alternate to the Coalition Steering Committee. This representation makes the New York City Coalition on the Continuum of Care a very unique and dynamic process in which the appointed representatives convey information about the planning process to the member organizations as well as carry information from the organizations back to the Steering Committee. The coalitions are elected by the provider organizations who have received McKinney Vento Continuum of Care funding in the past three NOFA years.
- Consumers. Eight consumer representatives sit on the Steering Committee. Each consumer representative speaks for a specific constituency of people receiving homeless services: those in the single adult shelter system, veterans, domestic violence, HIV/AIDS, substance abuse, mental health, formerly incarcerated / parolee, and those in permanent supportive housing. The current consumer representatives were elected directly by their peers through a series of meetings held in the winter of 2004-2005. Consumers receive a stipend for their participation and travel expenses.
- At-Large Members. The at-large members represent the diverse communities and interests affected by homelessness. These three members include: advocates for homeless people, survivors of domestic violence, formerly homeless people, veterans, community development organizations, the faith community, and the academic community. At-large members apply through the Nominating Committee and are elected by the Coalition Steering Committee.
- Government Agencies. The government representation consists of relevant staff from the following government local and state agencies: NYC Department of Homeless Services (DHS), NYC Department of Housing and Preservation Development, NYC Administration for Children's Services, NYC Department of Youth and Community Development, NYC Department of Health and Mental Hygiene, NYC Human Resources Administration and NYS Department of Mental Health.

The NYC Continuum of Care (NYC CoC) process generates considerable interest and involvement on the part of the public. The NYC CoC has created a website [www.nychomeless.com](http://www.nychomeless.com) for all parties interested to keep up to date on happenings within the Continuum including meeting notices, agendas and minutes for all Steering Committee events and to download information about the CoC. In addition, for the Year 2007 SuperNOFA a Policy Forum was held to discuss housing and service needs, and to hear from individuals and groups concerned about the 2007 Continuum of Care for homeless families and individuals in New York City, and priorities for HUD Homeless Assistance Funds. Approximately 350 notifications of this event were e-mailed or mailed to all former and present grantees under the SuperNOFA and membership lists of advocacy groups, alliances and foundations. Notice was also placed on the NYC Coalition on the Continuum of Care website. Following this event, three technical assistance sessions were held for potential new and renewal applicants to provide them with information about the application and ranking process.

#### Department of Health and Mental Hygiene/Office of AIDS Policy Coordination

For a discussion on the opportunities individuals and not-for-profits a given to participate in HOPWA-related activities, please refer to Part I, Section E2., Supportive Housing Continuum of Care for Special Needs Populations, b. Persons with HIV/AIDS.



### New York City Housing Authority

NYCHA's Annual Plan process, a HUD-mandated report, includes multiple opportunities for resident and general public involvement. The plan is developed in consultation with the duly elected Resident Advisory Board (RAB), which consists of 45 public housing residents and 9 participants from the Section 8 program. In addition, NYCHA holds several town hall meetings and one public hearing on the formulation of the plan, which are open to the general public. NYCHA's Community Operations Departments facilitate and support the activities of the RAB as they seek input from residents and fulfill their responsibility to (1) make recommendations and provide advice to NYCHA as it develops the Agency Plan and (2) disseminate information regarding the plan to NYCHA residents.

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

If a not-for-profit assists unemployed or under-employed persons to achieve self-sufficiency through job placement programs, they are encouraged to contact NYCHA's Department of Resident Employment Services at 350 Livingston St, 6<sup>th</sup> Floor, Brooklyn, N.Y. 11017.

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

### Department for the Aging

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

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

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

### Mayor's Office for People with Disabilities

MOPD maintains a working relationship with a variety of community-based not-for-profit organizations reflecting its role as a referral provider and liaison to the disability community, and its responsibility for developing and coordinating City policies that affect people with disabilities. Among the organizations MOPD works with are the Independent Living Centers, United Cerebral Palsy of N.Y., Inc., United Spinal, the Lighthouse for the Blind, Disabled in Action, N.Y. Society for the Deaf, Open Housing Center, Jewish Guild for the Blind and others. These, and other organizations and individuals, are informed of the housing activities initiated and performed by MOPD, and are given the opportunity, through mailings, public presentations and MOPD's Internet web site, to share their ideas and perspectives. Organizations and individuals are invited to participate in the Consolidated Planning process, including hearings on the draft of the proposed Consolidated Plan. To obtain information on the date and time of hearings, an individual or organization may also contact MOPD directly by telephone (212) 788-2830, FAX (212) 341-9843, or TTY (212) 788-2838 or web site <http://www.nyc.gov/mopd>.

### Human Resources Administration (HRA)

The HRA Commissioner's Advisory Committee meets with him and four of HRA's executive staff quarterly, and is comprised of 30 representatives from the social service community such as the Food Bank for New York City, Safe Horizon, and the Children's Aid Society, as well as consumers of HRA services. Its mission is to serve in an advisory capacity to HRA in the development, formulation and implementation of policies regarding, Cash Assistance, Medicaid, food stamps, Adult Protective Services, Home Care, employment, and other public assistance provided HRA funds over 400 social service contracts with Community Based Organizations with an annual value over \$1 billion. HRA sends notifications of planned contract awards to the five Borough Presidents for distribution to all the 59 Community Boards. HRA notifies an extensive bidder's list that includes not for profits human services providers throughout the City of contracting opportunities. Human services providers can request to have their program added to the City's bidders list by requesting an application from the Vendor Enrollment Center, Office of the Mayor, Office of Contracts, 253 Broadway, 9<sup>th</sup> Floor, New York, NY 10007. The vendor can also obtain an application by calling the Vendor Enrollment Center at (212) 857 1680. The Vendor Enrollment Center can only distribute the NYC FMS Vendor Enrollment Application to vendors. The vendor needs to fill out the NYC FMS Vendor Enrollment Application, available on line at ([www.nyc.gov/selltonyc](http://www.nyc.gov/selltonyc)).

### Department of Health and Mental Hygiene

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

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

Planning Councils have been established for each of the three mental hygiene components -- mental health, developmental disabilities and chemical dependency --in each of the City's five boroughs. The Councils provide valuable input into needs assessment, planning and evaluation. Each Council has representatives from the

provider and consumer/advocate networks. The Councils conduct monthly meetings to address problems, priorities and policies as they relate to the borough neighborhoods and input directly into plans and actions under review by the City and the State mental hygiene sectors.

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

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

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

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

#### Department of Youth and Community Development

##### Public Participation Activities of the Department

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

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

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

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

The Youth Board/Youth Council appoints advisory groups and committees as may be necessary to carry out its work. Currently these include: a Funding and Resources Allocation Committee; a Standards, Rules and Nominations Committee; and a Program Workgroup. Current Youth Board/Youth Council initiatives include: working with DYCD to develop programs and partnerships that address the needs of disconnected youth; developing corporate sector youth employment opportunities; overseeing implementation of the Out-of-School Time initiative and other youth-oriented programs; advising on DYCD's concept papers for upcoming Requests for Proposal, and advocating for youth development and workforce programs.

#### Neighborhood Advisory Boards:

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

#### The Community Action Program:

This program was instituted as a result of the Economic Opportunity Act (EOA) of 1964 to address the causes and consequences of poverty in the United States. CSBG funds support the operation of networks of local Community Action Agencies (CAAs) that create, coordinate, and deliver many programs and services to low-income Americans. In keeping with federal and state mandates, CAAs use allocated funds to mobilize additional resources from local businesses and foundations, as well as other public sources, assist low-income individuals to achieve self sufficiency and combat the central causes of poverty in their communities. As the CAA for New York City, DYCD distributes CSBG resources to 43 Neighborhood Development Areas (NDAs) that qualify for CSBG funding in the City's five boroughs. In FY 2008, CSBG funds supported more than 400 Community Action Programs to provide a broad range of services that combat poverty, offer emergency services to low-income people, and empower people to achieve self-sufficiency which leads to revitalizing low-income communities in the NDAs. These services address the unique needs and assessments of each community and its residents. Services include youth academic support and leadership programs, youth and adult literacy instruction, immigrant support, fatherhood, housing assistance, seniors and family support services, and health insurance enrollment.

#### The Joint Youth Services Planning Committee:

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

#### The Interagency Coordinating Council on Youth:

The Interagency Coordinating Council on Youth (ICC) was created in 1989 to promote interagency collaboration on issues relevant to New York City youth. Pursuant to provisions of the New York City Charter, the ICC comprises representatives of each city agency providing services to youth, as well as representatives of the DYCD Youth Board and the City Council. The ICC is chaired by Dennis M. Walcott, Deputy Mayor for Education and Community Development and directed by DYCD Commissioner Jeanne B. Mullgrav. The ICC meets quarterly; meetings are rotated among member agencies. Work groups on special topics are formed as needed. The ICC holds at least one public hearing annually.Integrated County Planning Work Group: The New York City Integrated County Planning (ICP) Work Group comprises four City agencies that provide services to youth: the Department of Youth and Community Development, which is New York City's Youth Bureau; the Administration for Children's Services (ACS); the Human Resources Administration (HRA); and the

Department of Juvenile Justice (DJJ). These City agencies are jointly responsible for submitting the New York City Child and Family Services 3-Year Plan to the New York State Office of Children and Family Services.

#### Administration for Children's Services

ACS continuously seeks input from stakeholders in the Child Welfare, Child Care and Social Service communities in New York City. The Commissioner has several advisory boards led by him and his Deputy Commissioners to advise the agency on policy and procedures and collect external input. The Child Welfare committees include a Commissioner's Advisory Board, Parent Workgroup Advisory Board and Family Court Advisory Board. Participants include representatives from preventive agencies, foster care agencies, community based organizations, advocates, foster parents and parents.

To advise ACS leadership on our work to improve outcomes for adolescents living in foster care and better prepare youth for adulthood, the agency has invited stakeholders to participate in a *Preparing Youth for Adulthood* Advisory Board. The agency has also developed a Youth Advisory Board made up of young people living in foster care to advise us on the needs of youth and to track progress on the agency's initiatives to better support young people as they grow close to adulthood and leaving the foster care system. In addition, the Commissioner leads a Task Force on *Project Full Enrollment* to seek input from stakeholders in the Child Care community as the agency develops and implements the agency's strategic plan to reform the child care system in New York City.

#### Commission on Human Rights

The Commission on Human Rights has several formal mechanisms for receiving input from citizens. In addition, since the Commission serves the public directly, citizens have frequent informal opportunities to give input.

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

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

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

Please refer to Volume 1, Part I. Action Plan, Section D., Program Descriptions, for Commission on Human Rights Neighborhood Human Rights Program locations and telephone numbers of the Community Service Centers.

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

## **B. Relevant Public Policies and Barriers to Affordable Housing**

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

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

### Tax Policies

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

#### *421(a) Partial Tax Exemption Program*

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

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

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

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

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

### *J-51 Tax Exemption/Abatement Program*

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

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

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

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

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

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

In addition, HPD administers the federal Low Income Housing Tax Credit program, which is a subsidy program for the creation or rehabilitation of rental housing for persons at or below 60% of the area median income. The competitive 9% credits have helped finance numerous HPD project through programs such as: the Neighborhood Redevelopment Program (NRP); the Neighborhood Entrepreneurs Program (NEP); the Mixed-Income Rental Program (MIRP) and the Supportive Housing Loan Program. With the lessening demand from the disposition programs HPD anticipates seeing more "stand alone" projects meaning projects that do not come through any HPD or HDC program.

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

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



## Rent Regulations

New York State Law provides for a system of rent regulation in times of emergency shortages of housing. About two-thirds of the housing units in the city are rental units, which is a much larger proportion than in other areas of the country, and more than half of these units are regulated. The aim of these regulations is to protect tenants while at the same time preserving the owners' interest in maintaining the rental housing stock. There are several mechanisms for controlling rents such as the rent control law; rent stabilization law; and the Senior Citizen Rent Increase Exemption (SCRIE). A discussion of the SCRIE program is found in the Continuum of Care for Non-Homeless Special Needs Populations; the Elderly and frail Elderly.

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

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

Maximum increases for the year beginning October 1, 2008 and ending September 30, 2009, are 4.5% for one-year leases (4% where the tenant pays for heat) and 8.5% for two-year leases (8.0% where the tenant pays for heat). However, where the last vacancy lease for the subject apartment was executed six or more years prior to the commencement date of the subject renewal lease, then the increases are 4.5% or \$45, whichever is greater, for a one year lease (4% or \$40 where the tenant pays for heat) and 8.5% or \$85, whichever is greater, for a two year lease (8% or \$80 where the tenant pays for heat).

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

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

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

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

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

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

deregulated. Similarly, if a rent stabilized unit is voluntarily vacated and the legal monthly rent can be increased to \$2,000 or more, the apartment may also be subject to deregulation.

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

#### Land Use Controls and Zoning Ordinances

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

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

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

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

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

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

The following table indicates projects that require city review:

<u>Type of Activity</u>	<u>Action</u>
Rehabilitation of any # of units on City-owned property to be disposed.	ULURP Exempt (City Council Project Approval Required under Accelerated UDAAP)
New Construction of 1-4 units on City-owned property to be disposed.	ULURP Exempt (City Council Project Approval Required under Accelerated UDAAP)
New Construction of >4 units on City-owned property to be disposed.	ULURP Review Required (the action reviewed is both the project and the disposition)
Projects which require change in zoning or special permits (e.g., commercial to residential)	ULURP Review Required

City Environmental Quality Review (CEQR)

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

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

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

Zoning

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

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

<u>Zone</u>	<u>Description</u>	<u>Maximum Dwelling units per acre</u>
R1	Single-family detached residences	4 to 7
R2	Single-family detached residences	11 to 15

R3	Two-family detached, semi-detached, and general residence districts	26 to 42
R4	Two-family detached, semi-detached, and general residence districts	30 to 65
R5	General residence districts (provides a transition between lower and higher density neighborhoods)	65 to 80
R6	General residence districts (medium density housing between 3 and 12 stories)	129 to 192
R7	General residence districts (medium density apartment houses with good access to public transportation)	192 to 322
R8	General residence districts (high density residential districts)	258 to 427
R9	General residence districts (high density residential districts)	444 to 495
R10	General residence districts (highest density residential district)	551 to 700

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

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

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

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

### Building Codes and Code Enforcement

#### Scope of Agency Operations:

The Department of Buildings (DOB) ensures the safe and lawful use of over 950,000 buildings and properties by enforcing the Building Code, Zoning Resolution and other applicable laws. Each year it reviews over 65,000 construction plans, issues over 163,000 new and renewed permits, performs over 430,000 inspections, and issues 21 types of licenses, registrations and certificates. It facilitates compliant construction by continually streamlining the permit application process and delivers services with integrity and professionalism.

Building Code Revisions  
Electrical Code

The Model Code Program began in the late 1990s with the creation of an Electrical Code Advisory Committee (“ECAC”) and the Electrical Code Revision and Interpretation Committee (“ECRIC”). These groups comprised leaders and technical experts from the electrical industry, labor, real estate, the design community, manufacturers and City agencies. They were charged with recommending new language and standards to update New York City’s antiquated Electrical Code. The effort came to fruition in 2001 when Mayor Giuliani signed Local Law 64/2001, adopting the 1999 National Fire Protection Association’s National Electrical Code NFPA 70, otherwise known as the “NEC”. That legislation required periodic revision of the Code’s technical provisions, ensuring that the Code will always be up-to-date and reflective of the latest standards. It was followed by Local Law 41 of 2002, a prerequisite to implementing the new Code, as it adopted amendments tailoring the NEC to the specific needs of the high-density urban environment of New York City. As a result, New York City went from having one of the most outdated electrical codes in the country to one of the most advanced. The new code recognized the technological advancements that had occurred since the 1960s, including low voltage systems, fiber optics, digital control systems, and solar and fuel cell technologies.

Under the Electrical Code program’s tri-annual review process and with the assistance of ECAC and ECRIC, the new electrical code was again revised when Mayor Bloomberg signed Local Law 81/2003. The second revision was Local Law 49/2006. These updates modified the NEC to meet the unique electrical and building needs of the City. This process will continue as each new NEC is published and the committees convene to develop their recommendations for New York City. To gather information from interested parties in support of this process, the Department posted a downloadable form on its website for members of the public to submit proposed NEC amendments. The electrical code revision committees have reviewed the 2008 edition of the NEC and will draft local amendments, incorporating suggestions received over the course of the next 2 years in preparation of the next revision. This open, inclusive process will insure that New York City remains on the cutting edge of technology and electrical engineering.

New York City Model Code Program

Building upon the success of the Electrical Code revision, to make the City’s Building Code clearer, easier to use and more consistent with national standards, in November 2002 the Mayoral Code Commission voted on the adoption of a new Building Code for New York City. In May 2003, Buildings convened a group of over 400 representatives from labor, real estate, architecture, engineering and government to begin drafting a Model Code with New York City-specific standards. The NYC Model Code Program seeks to retain the best practices of the City’s existing Building Code and national reference standards and integrate them within the more commonly used framework of the International Code Commission’s family of codes. In City Fiscal Year 2005, 13 technical committees completed their line-by-line analysis and submitted approximately 70 percent of the necessary revisions to the Program’s managing committee.

On December 1, 2005, Mayor Bloomberg signed Local Law 99/2005, enacting a new Plumbing Code and administrative provisions of the Construction Codes. In addition, in CFY 2006 the Department took delivery of the balance of the output of the 13 technical work groups and continued its technical review, dispute resolution, and cost assessment exercises.

Four Advisory Committees (City Council, Risk & Security, Sustainability and Labor) were established to provide recommendations on key public policy areas impacted by the Building Code, and four additional Advisory Committees (Affordable Housing, Banking & Insurance, Zoning and Economic Development) began work in CFY 2006.

The completion bill was submitted to the City Council in CFY 2007 and passed by an overwhelming majority. On July 3, 2007, Mayor Bloomberg signed Local Law 33/2007, enacting the new NYC Construction Codes. These codes include the Building Code, Fuel Gas Code, and Mechanical Code, as well as revised administrative provisions from LL 99/2005. The codes apply largely to new construction and require the Department to update provisions every three years, based on the ICC revision cycle. Safety is front and center in the new codes with

expanded fire protection, structural integrity, and construction safety requirements. The codes also have provisions that encourage sustainability, with more energy efficient requirements and authority to provide fee rebates for green design. The codes will also provide opportunities for cost savings, by allowing more nationally recognized innovative and cost effective materials and equipment, being easier to use by design professionals, and enabling new affordable housing designs that take the city's dense environment into account.

The new NYC Construction Codes took effect on July 1, 2008. This is an important achievement for the Buildings Department and New York City. They mark the first comprehensive overhaul of the City's Building Code in nearly 40 years. Projects permitted from that date forward and until July 1, 2009 will have the option of using the new codes or current Building Code. For projects permitted after July 1, 2009 the new codes will be mandated. Over the course of the next year the Department will be focusing on the implementation of the new codes, which will involve significant rule writing, operational changes, training, and communication. The next phase of the code effort will be the development of an Existing Building Code, based on the IEBC.

#### Building Safety Requirements

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

Based on the WTC Task Force findings, Local Law 26 of 2004, signed by the Mayor in June, mandates many safety improvements for existing and new buildings. One of the retroactive provisions requires photo luminescent ("glow-in-the-dark") markings in all existing high-rise office buildings and directs the Department to promulgate standards for these materials and their installation. After careful research and consultation with a task force comprising the FDNY, real estate professionals, architects, manufacturers and international experts in the field, the Commissioner adopted NYC Building Code Reference Standard RS 6-1 to establish these standards. During the first quarter of CFY 2006, the Department reviewed and approved manufacturers' applications for photo luminescent product approval. Installation was mandated in July 2006, and the Department developed initiatives to assure compliance with the requirements in 2007.

Another provision of LL 26/2004 requires new buildings to install impact-resistant enclosures for stairwells and elevator shafts. The law directs the Commissioner to adopt technical standards for such materials and their installation.

Local Law 7 of 2004 required the installation of carbon monoxide detectors in certain building types. To verify subsequent compliance and continue its proactive enforcement efforts, in CFY 2006 the Department randomly selected buildings and performed inspections on those properties. Inspectors also visited locations that had been granted construction signoff prior to the enactment of the law but had not yet received a Certificate of Occupancy as of the effective date of the law. Approximately one percent of the buildings in each borough were inspected during this effort.

#### Customer Service

##### Plan Examination Notification System.

In CFY 2005, Buildings established the Plan Examination Notification System (PENS), using a customer relations management tool developed in conjunction with the Department of Information, Technology and Telecommunications (DOITT). By allowing customers schedule appointments for plan exams through the 311 Citizen Service Center virtually 24 hours a day, seven days a week, PENS dramatically increased the Department's capacity for scheduling plan exam appointments and increased the availability and access to constituents to this service. As a system, PENS interacts with the Department's Buildings Information System to validate job information, leading to greater accuracy and more effective use of plan examiners' time. In addition, the system has allowed the Department to reduce the number of cancellations and entirely eliminate shadow and multiple appointments.

Continuing efforts by the Department of Buildings to enhance the system in collaboration with DOITT have improved the service offered to customers. For example, meeting attendees are now allowed to choose the date and time of their plan examination appointment and professionals can now schedule their audit appointments.

By June 2008, 311 staff members were processing over 8,400 plan exam appointment requests each month. In addition to 311 scheduled appointments, the Department's borough offices also use the PENS system to schedule emergency appointments to provide an average of over 12,200 appointments to customers each month. Using the PENS system, Plan Examiners, administrative staff, and supervisors can print daily or weekly schedules of appointments, allowing them to plan ahead and prepare for over 600 daily appointments in limited four-hour periods. Additionally, these internal reports allow for better distribution of workload amongst staff to ensure optimal service levels and lower wait times, which average 4.2 business days citywide.

#### Plan Examination Reconstruction

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

#### Electronic Application Filing & Permitting

As the first step in Buildings' strategic initiative to offer more services online, Buildings launched the eRenewal Select pilot program in February 2005 to enable customers to renew select no-change permits online. Any individual with a valid and active general contractor tracking number or Buildings license number is eligible for an eRenewal account. Users may renew their permits, pay with a credit card and print the permits at their computer in a matter of minutes instead of relying on more time-consuming processing by mail or in person at the borough office. By the end of CFY 2007, hundreds of customers had registered with the eRenewal program and had renewed over 2,600 permits.

In CFY 2007 the Department expanded its use of online technologies to facilitate faster and easier application processing, fee payment and permit issuance and renewal. The eFiling program enables the applicant to submit an application electronically, pay by credit card and then print the permit immediately, after online validation. In CFY 2006, phase I of the eFiling program enabled registered electricians to submit applications for work permits electronically for the first time.

In March 2006, eFiling expanded to allow licensed electricians to submit electrical work permit applications and receive permits online. By March 2007, 75% of all electrical applications submitted to the Department were filed and permitted online and as of July 17, there were 1451 Electricians registered for the service. All licensed electricians with an eFiling account can now interact with an improved web-based interface when preparing their job applications. eFiling will continue its expansion in 2008 to allow the electronic preparation of the most critical forms associated with the job filing process. Electricians can now process, from start to finish, electrical permit applications through a web-based interface. Though initially applicants (Professional Engineers and Registered Architects) will still be required to complete their application in person, a lot of time will be saved as eFiling will error-check and data-enter the application itself.

On February 19, 2008 the Buildings Department expanded the eFiling system to include the application preparation currently available in PC Filing, as PC Filing is discontinued. This new phase supports approximately 80,000 applications per year. To date, over 85% of the applications are being filed via this new service.

#### Document Redesign & Online Availability

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

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

#### Improved Online Resources

During CFY 2006 Buildings added significantly more content to its award-winning Building Information System on the Web (BISweb), including forms, detailed customer brochures and other informational resources. Most notably, however, in CFY 2007, Buildings launched *My Community* – an online simplified permit search function that allows any member of the public to obtain lists of addresses with new building and/or demolition permits by Community Board. Also during CFY 2008, BISWeb received an average of approximately 550,000 page requests per business day and the *Building News* electronic newsletter, created in CFY 2005, reached an all-time high of over 21,178 registered recipients in July 2007.

#### Customer Service Improvements

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

In CFY 2005, the Queens Borough office implemented two additional features of the queuing software: Q-Welcome and Q-Next. These not only helped reduce the wait time in Queens but also eliminated the need for applicants to obtain multiple tickets for multiple transactions. In CFY 2006, the Department upgraded the Q-Matic system in Staten Island. In CFY 2007, the Q-Matic systems were upgraded in the Bronx and Manhattan. As part of the renovation project scheduled for the Brooklyn Borough office, the Q-Matic system will be upgraded in CFY 2008.

To provide faster, better and more personalized assistance to customers, each borough office added two new staff functions in CFY 2006, Service Managers and Project Advocates. Service Managers are customer service professionals available to help customers better navigate the application process, while Project Advocates are architects and engineers who work individually with property owners to resolve unique technical issues, particularly those arising from complex, large-scale building projects.



The Alteration Repair Application/Permit Renewal unit, which issues permits for minor repairs of plumbing, oil burner and fire suppression work done by licensed contractors, implemented several process improvements in CFY 2006. These included: centralized same-day express application processing; an Emergency Work Notification program allowing for immediate responses to heat, hot water, and sewer emergencies; and the Standpipe Work Notification Program authorizing temporary fire suppression permits for new building construction sites. In addition, this unit processed over 20,000 permit renewals in CFY 2007.

#### Merge of Boiler Inspection Report Processes

In CFY 2006, the Department worked with the Department of Environmental Protection to create a “one-stop-shopping” process allowing property owners and their representatives to file their inspection reports and renewal forms at one location, on one form, and pay one fee. This procedure saves the customer time and effort and also improves the ability of the two agencies to validate the information in their separate databases.

#### Required Items Reference Guide.

In January 2005, the Department introduced the *Required Items Reference Guide*. The guide is a tool to assist filing professionals, applicants, owners and Department staff in establishing clear, concise and uniform standards regarding which required items apply to a particular work project and how and when the requirements must be satisfied. This is one element of the redesign of Buildings’ plan approval, permitting and Certificate of Occupancy procedures. Since its inception, the Department published 1,000 copies of the guide to be distributed at borough offices and also made it available online. The online version is continuously updated to reflect current conditions and new or revised requirements. The guide is available to filing professionals, applicants, building owners and other customers, and is regularly used as an authoritative reference document by plan examiners, Certificate of Occupancy units and other Buildings staff. In CFY 2007, a revised edition of the Reference Guide was published and widely distributed through the borough offices.

#### Electronic Document Management

The Department receives nearly a million documents associated with application filings each year, all of which must be filed and stored for accessibility. In CFY 2006, the Department began defining the business requirements for a full-scale electronic document management program, which will enable plans and diagrams, photographs and other images associated with a job to be captured and viewed online. During CFY 2007 and CFY 2008, this system, coined “B-SCAN” streamlines the filing process, improve the quality of review, enhance the ability of disparate units to use documents simultaneously, and reduce the need for storage space in the borough offices. In addition, because these files currently may be checked out by members of the public for review, document management will prevent the problems associated with lost files. As of October 2007, B-SCAN has been implemented in all borough offices. The scanned documents are available to the public on the Internet, saving both the filing community and members of the public time in accessing information in job folders.

#### Digital Badging System

In CFY 2005 Buildings began using new software to electronically produce licenses. The new system produces a more professional and fraud-resistant license and saves considerable staff time by streamlining the process. All renewing licensees since the inception of this system have received the new digital license card. At the end of CFY 2007, approximately 89% of active license holders had been issued a digital card. The remainder will receive the new card when they renew in CFY 2008.

#### Plans to Advance Construction Safety

In July 2007, the Buildings Department introduced Phase I of the Special Enforcement Program (SEP), to create a comprehensive enforcement plan to raise the bar for construction safety standards citywide. With continued construction and development throughout the city, the purpose of DOB’s Special Enforcement Program was to enable its staff to hold repeat offenders accountable, and to ensure quality, compliant construction throughout the five boroughs. Specialized units were created to identify and pursue those developers, owners, contractors, and professionals who demonstrate blatant disregard of the City’s zoning and Building Codes. The Special Enforcement Program also targets substandard and problematic construction areas, change the way that

professional certification is administered, increase inspections, and substantially increase fines and discipline for violation of the Building Code.

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

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

#### Field Inspection Technologies

The Department of Buildings employs more than 400 inspectors who perform more than 400,000 inspections a year. Currently, inspection appointments can be scheduled in-person or by phone, fax, or e-mail. In addition, inspections are triggered by citizen complaints, inspectorial sweeps, referrals from other agencies, and as periodically dictated by law. There is no standardized method of performing inspections, leaving the task list open to interpretation and without reference to Building Code requirements. A large volume of inspections are managed manually and results are not recorded in the Building Information System (BIS). As a result, monitoring and effective managing of inspections workload, productivity and performance is an extremely challenging task for borough and central offices.

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

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

#### Summary:

Since CFY 2002, the Department of Buildings has greatly improved the delivery of its services to the public and the building industry. These efforts will continue in CFY 2009. All of the initiatives mentioned here are designed to simplify the filing process, facilitate compliant construction and make buildings safer. These improvements should allow for a reduction in the development cost of housing, without compromising the Department's overriding mandate to protect the public's safety.

#### Heating Cost Relief

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

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

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

HRA certifies the HEAP eligibility of low-income families. The Department for the Aging (DFTA) is responsible for intake and outreach to recipients who are age 60 and over. The Department of Youth and Community Development (DYCD) has publicity outreach responsibilities for recipients who are under 60 and over 60 years of age.

HRA issued approximately 487,165 regular heating and emergency grants totaling \$34,771,478 for HEAP XXVIII (November 2007 through June 2008). Of this amount, HRA issued approximately \$22,077,280 in automatic payments to Public Assistance, Food Stamp and Supplemental Security Income (SSI) households that were eligible during the HEAP season.

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

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

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

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

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

In FFY 2008, approximately \$62,000 in WRAP funds were allocated to assist New York's Weatherization referral activities.

Please refer to Part I, Section E2. Supportive Housing Continuum of Care for Special Needs Population, d., Elderly and Frail Elderly and Part I, Action Plan: One Year Use of Funds, Section D. Program Descriptions for various home repair and modification programs which assist the elderly, reduce heating through energy efficiency and modernization activities.

#### Barriers to Accessibility for Persons with a Physical Disability

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

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

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

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

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

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

For the first time, in 1996, the New York Housing and Vacancy Survey (HVS) included a number of questions meant to produce information regarding housing accessibility. The raw survey data indicates that approximately 62% of all housing units surveyed are in buildings with inaccessible entrances<sup>1</sup>. However, this same raw data for rental units where rents are below market rate (public housing, Mitchell-Lama, and rent stabilized, built 1947 or later) consistently show that the number of units in buildings with accessible entrances outweighs the number of units in buildings without them. To advance policy decisions, the City retained these questions in subsequent Surveys to track the expected increases in access.

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

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

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

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

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

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

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

As stated previously, the year in which a building was constructed is generally a strong predictor of its degree of accessibility. It is expected that future Housing and Vacancy Surveys will disclose increases in the number of

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

accessible public housing units. This expectation arises from a growing public-sector response to the needs of tenants with disabilities, and compliance with Section 504 of the Rehabilitation Act. Similarly, it is expected that increasing residential construction and renovation, an expanding market for New York City rental units, and growing private-sector awareness of accessibility requirements, has and will continue to contribute to increases in the number of accessible private-sector units.

#### Removal of Local Regulatory Barriers

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

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

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

The unified response is made available to the prospective applicants upon request or provided along with any entity that is issued a Certificate of Consistency with the Consolidated Plan from the certifying City agency. The HUD Questionnaire and the City of New York's unified response to the questionnaire for the 2008 HUD Competitive Grant SuperNOFA is published in Appendix 7, Volume 3 of the 2009 Consolidated Plan.

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## **C. New York City Housing Authority**

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

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

### **Funding Sources**

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

### **Institutional Structure**

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

The Executive Group consists of the following: the Law Department, the Office of the Secretary, the Department of Communications, the Office of Inter-Governmental Relations, the Audit Department and the Department of Equal Opportunity.

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

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

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

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

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

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

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

### **NYCHA Resident Initiatives**

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

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

#### 1) Department of Community Operations

NYCHA houses a total of 80,860 seniors age 60 and over who are legal residents of public housing; 25.1% of the senior residents are 75 to 84 years of age; 8.4% are 85 to 94 years of age; and nearly 1% are 95 years of age or older. Some of the Authority's initiatives to address the needs of its seniors and other populations are listed below.

#### Naturally Occurring Retirement Community (NORC) Program

The NORC Program was developed to address the needs of concentrations of seniors who have aged in place, in non-elderly housing. The program was designed to provide comprehensive support and health care services for well and frail elderly residents, 60 years of age and older, who continue to live independently in their apartments and communities. As of January 2008, 19% of the NYCHA population is over age 60, and not all live in senior-designated buildings.

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

In Fiscal Year 2003, NYCHA signed a Memorandum of Understanding (MOU) with the New York City Department for the Aging (DFTA), to support and provide funding for the operation of 105 senior centers that are operated by community based agencies and are located in NYCHA facilities; this MOU included the funding for seven NORC programs.

Based on the DFTA's reports, for the first three quarters of City Fiscal Year 2008, the NYCHA NORC program provided the following core services:

	<u>Units of Service</u>
Case Management	- 8,217
Case Management Assistance	- 9,525
Health Care Management	- 1,812
Health Care Assistance	- 2,049
Residents receiving Core Services	- 5,393

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

The Cabrini Center for Nursing and Grand Street Settlement provide age appropriate, culturally sensitive services to senior adults residing in the NYCHA Baruch Houses with the goal of building a strong community of



caring in order to foster, support and maximize each member's overall personal well-being. The BEST Program also provides comprehensive services in Baruch Houses and Baruch Addition that will improve the quality of life for the seniors, enabling them to remain in their homes and helping them to lead independent, healthy and active life-styles within their home community. These services include advocacy, health promotions services, social work services and opportunities for socialization.

Bilingual Social Services – case assistance, case management, entitlement/benefits assistance, service linkage and coordination, crisis intervention, support services, advocacy

Recreational Services – group activities, trips, bingo, arts & crafts, physical fitness activities, dance and music activities, light snacks

Bilingual Health Services – health education services, health screening, health promotion and prevention, linkage to appropriate follow-up services

Services For Home-Bound Seniors – friendly visits, telephone reassurance calls, escorts

On average approximately 43 seniors participate in the daily recreational activities: dance classes, outdoor trips, Social Friday Birthday Activity, poets & writers creative writing session, and holiday celebrations.

#### Service Coordinator Program

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

From January 1, 2008 through June 30, 2008, the program provided 37,885 units of supportive services to an average of 836 residents per month in 24 developments, and conducted 7,459 home visits.

#### Senior Resident Advisor Program

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

From January 1, 2008 to June 30, 2008, the program provided 61,892 units of support services to an average of 1,012 residents monthly, and conducted 7,889 home visits.

#### Senior Companion Programs

This program, which is a cooperative project with the New York City Department for the Aging, the Henry Street Settlement and the Corporation for National Service, provides assistance to sick, socially isolated, and frail elderly residents at selected NYCHA developments. Working with a corps of resident volunteers called Senior Companions; the program provides friendly home visits, crisis intervention, telephone reassurance, and errand and escort services. From January 1, 2008 to June 30, 2008, the Senior Companion Program conducted 1,268 home visits, and provided 108 Escort Services to approximately 16 elderly residents monthly.

#### 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. From January 1, 2008 to June 30, 2008, 2,718 new referrals were received.

The Furniture Distribution Program is a component of SOS that is administered by Community Operations' Department for Social Services. This program secures donations of furniture, bedding and an assortment of household items from hotels and motels throughout the Metropolitan Area in order to assist relocated families who have lost their possessions due to a fire or other calamity and Victims of Domestic Violence who transferred through the Emergency Transfer Program. From January 1, 2008 through June 30, 2008, approximately 55 families were assisted through the program.

#### Senior Initiatives

NYCHA sponsors a senior benefit and entitlement fair which provides NYCHA's senior residents with information on benefits and entitlement programs. The theme of this year's fair was "Health and Financial Fitness". This year's fair focused on financial education for seniors and provided information on how to open a bank account, the differences between using banks as opposed to check cashing stores, using ATMs and how to avoid identity theft, scams and elder abuse.

This fair provided attendees with application assistance and registration opportunities for various services including: Access-A-Ride, Reduced Fare Metro Card, Food Card, Medicare Savings Plans, Extra Help for Medicare Part D and the NYS EPIC program. Seniors had the opportunity to get Direct Deposit for their Social Security benefits, be added to the permanent absentee voter list, and reclaim unclaimed funds being held by the state. There were also free screenings for Diabetes, Cholesterol, Hepatitis C, Glaucoma, Hearing, Blood Pressure, Foot Care and Prostate Cancer. Over 40 different organizations participated and provided services to seniors.

#### NYCHA Senior Project

In March of 2007, RSS initiated a study to assess the needs and requirements of NYCHA's senior population. Currently there are 60,000 residents 65 years and older. According to NYCHA's data, 50% of seniors have various disabilities (self identified) and this is projected to go up to 60% in the next decade. The data and recommendations that result from the study will be invaluable to many NYCHA divisions that must address this issue.

A Planning Committee was formed with representatives from Centers on Medicare and Medicaid Services, and various NYC Departments, including: Planning, Health and Mental Hygiene (DOHMH) and Aging (DFTA). In addition representatives from the United Hospital Fund, Brookdale Center on Aging of Hunter College, CUNY, ReServe, and a member of NYCHA's Council of Presidents participate. The survey instrument has been finalized with critical assistance from DOHMH. It is now ready for pre-testing. The Baruch College Survey Unit will conduct telephone surveys of about one thousand "over 65" seniors selected on a random basis.

#### NYCHA Operated Senior Centers

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

#### Healthy Families Program (Pilot)

"Healthy Families" is a collaborative effort between Resident Support Services, the Arthur Ashe Institute for Urban Health, and Long Island College Hospital (LICH) to train and empower residents to become "health advocates" within their communities. These *Healthy Families Advocates* refer residents and serve as sources of

information within their respective housing developments for health programs, health services, health insurance, and related areas that affect and impact youth, adults, and seniors. The 12 residents who were chosen to become advocates meet on a bi-weekly basis and engage in health promotional activities.

#### HealthStat

HealthStat is a citywide initiative designed to identify and enroll eligible low and moderate income New Yorkers into health insurance plans such as Child Health Plus and Family Health Plus. From January 1, 2008 to June 30, 2008, NYCHA facilitated a total of 8,482 enrollments into health insurance plans, the great majority of whom are NYCHA residents or who live adjacent to NYCHA communities. This program is critical to insuring that a broad base of NYCHA residents have and maintain health insurance.

#### Earned Income Tax Credit (EITC)/Tax Assistance

NYCHA's Resident Support Services Department coordinates NYCHA's campaign to maximize the participation of qualified residents in this tax refund program. EITC is a tax refund program for families and individuals who work but do not earn high incomes. NYCHA families who are eligible can receive as much as \$6,300 in refunds when they file for the EITC through their federal, state and city returns. During January 1, 2008 through April 18, 2008, approximately 30,000 letters were mailed to potential eligible NYCHA families encouraging them to file for the EITC, and information was provided and posted in the NYCHA Journal. Flyers and posters were also disseminated. Notations were placed on rent bills encouraging residents to call 311 to identify the nearest tax assistance site. The average refund amount for a NYCHA family is approximately \$4,000.

#### Flu Immunization Program

This is an annual collaboration between Resident Support Services and DOHMH. The program primarily focuses on high risk populations (the elderly, very young and immuno compromised). October through December are prime target months for vaccination. NYCHA's health promotion tools are: NYCHA Journal, presentations to resident groups, posters and flyers, and scheduled vaccinations at select NYCHA sites. Two hundred senior residents were vaccinated at NYCHA's Senior Benefit & Entitlement Fair held on October 4, 2007.

#### I Have a Dream Program

The IHAD Foundation collaborates with NYCHA, local not-for-profit organizations, learning institutions, and private financial institutions to provide a comprehensive program to NYCHA youth. NYCHA provides space and an annual cash grant to the IHAD Foundation for each participating site. The IHAD Program currently operates five (5) programs in four NYCHA developments: Chelsea-Elliott Houses and DeHostos in Manhattan; Melrose Houses (I and II; one program at each) in the Bronx, and Ravenswood Houses in Queens.

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

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

#### FY 2005 ROSS/Neighborhood Networks

NYCHA's Departments of Administration and Citywide Programs (DACP) and Resident Employment Services are partnering with The City College of New York's Adult and Continuing Education (CCNY ACE) Department to operate the Technology Gateway Centers (TGC) Program. The TGC Program commenced in October 2006 and will operate until December 2009 and is designed to provide access to computer technology and internet accessibility for 1,056 public housing residents at 20 NYCHA community centers and 4 senior centers through specialized courses geared toward educational enhancement for teens, unemployed adults and seniors. More specifically, TGC offers educational instruction on computers to a range of age groups giving NYCHA residents the opportunity to increase their general working knowledge of computers and computer software; prepare for a General

Equivalency Diploma (GED) and plan for a post-secondary education; research databases for homework assignments, internet job search, and for accessing public service information online. The program also prepares adults for employment via specialized training, career assessments and on-going job search assistance.

#### FY 2006 ROSS/Neighborhood Networks

NYCHA's Departments of Administration and Citywide Programs and Resident Employment Services is partnering with The City College of New York's Adult and Continuing Education (CCNY ACE) Department to operate the Computer Training and Career Development Centers (CTCDC) Program. The goal of the CTCDC is to provide access to computer technology and internet accessibility to 720 public housing residents at 12 community centers through specialized courses geared toward educational enhancement for teens, unemployed and underemployed adults and seniors. More specifically, CTCDC offers educational instruction on computers to a range of age groups, giving NYCHA residents the opportunity to increase their general working knowledge of computers and computer software. In addition, the program also provides courses in General Equivalency Diploma (GED), planning for a post-secondary education, research databases for homework assignments, internet job search, and access to public service information online. The program also prepares adults for employment via specialized training, career assessments and on-going job search assistance.

#### Real Journeys Program

Real Journey is a multi-tiered, comprehensive After School Computer Training Program for youth, ages 8-12, which was funded by the City Council from the period of October 2005 through June 2009. The objective of the program is to provide youth broad access to computers and technology-based educational learning activities that teach students the proper and logical applications of computers and promoted computer mastery skills. Two important components of the program's curriculum is "Mind Lab," a comprehensive curriculum that enabled the student to improved on skills such as problem solving, decision making, mathematical thinking, memory retention, investigative skills and cooperation; and "Relate for Kids," a unique social skills software geared for elementary-aged students, that promoted empathy, self-esteem, and cooperation.

#### 2) Department of Resident Employment Services

NYCHA's Department of Resident Employment Services collaborates with training providers who agree to accept referrals into training programs that offer a diversity of jobs skills training, e.g., computer, painting, culinary arts and environmental remediation. Most training providers also offer job placement services for students who successfully complete training. In addition, job developers are informed of the various trainings which job seekers are participating in so that job development efforts are also targeted to these areas of interest.

#### The Manhattan Satellite Office

The Manhattan Satellite Office, located at Carver Houses, provides assessments and testing and, based on the needs of the clients, makes appropriate referrals to educational, vocational, training, and job placement programs.

#### Intake and Validation Unit

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

#### Assessment Unit

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

Through June 2008, 1,246 residents were tested, 1,231 residents were assessed, and 1,522 referrals were made. Additionally, 1,457 residents completed intake forms.

#### Public Relations

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

### Resident-Owned Businesses

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

Through June 2008, 10 Resident Owned-Businesses were started. Staff is currently working with 79 such businesses.

### The Employment Development Unit

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

Through June 2008, residents informed RES of 271 resident job placements.

### Section 3 and Resident Employment Program (REP)

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

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

Through June 2008, 19 residents were employed through Section 3 and 46 were employed through REP.

### Pre-Apprenticeship Training Program (P-ATP)

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

Through June 2008, 136 participants that successfully completed the Pre-Apprenticeship Training Program were placed in Union Apprenticeship Programs.

### 3) Department of Leased Housing

#### Family Self-Sufficiency Program (FSS)

The FSS Program works with Section 8 families to address career and family issues. An array of social services is provided to each participating family, as well as referrals to vocational and educational training, career counseling and job placement programs. An employability plan is developed in consultation with each participating family and is incorporated into a 3 year Contract of Participation. As the family income rises, the increased portion of the rent is placed in an escrow account that the family can access at the end of the program.

For the year 2007, NYCHA did not pursue competitive HUD funding for the FSS Section 8 program. However, as of June 30, 2008, there were 594 active FSS cases, and 23 inactive cases.

#### 4) Department of Development

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

#### Homeownership Opportunities

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

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

In addition, as part of HUD's Home Investment Partnerships Program, the American Dream Downpayment Initiative (ADDI) aims to increase the homeownership rate, especially among lower income and minority households, and to revitalize and stabilize communities. ADDI will help first-time homebuyers with the biggest hurdle to homeownership: downpayment and closing costs. The program was created to assist low-income first-time homebuyers in purchasing single-family homes by providing funds for downpayment, closing costs, and rehabilitation carried out in conjunction with the assisted home purchase.

At Soundview Houses, NYCHA intends to dispose of a vacant site including an under-utilized parking area at Rosedale Avenue and Lacombe Avenue along Soundview Park through a Request for Proposals, which was issued in September 2007. A developer will be selected to build approximately 200 low income rental units and 18 two-family townhouses for affordable homeownership.

At University Avenue Consolidated, NYCHA intends to rehabilitate 463 units in ten buildings, of which one building with 69 units will be rehabilitated as an affordable cooperative.

Through the Ocean Bay HOPE VI program, NYCHA is offering grants of up to \$25,000 to support NYCHA residents who would otherwise not be able to afford all the costs of buying a home, homeownership training to NYCHA residents and assistance to qualify for private sector mortgage financing, and help in locating a first home.

In addition, NYCHA residents will be given preference to purchase their homes through NYCHA's Multifamily Homeownership Program (MHOP), financed through HOPE I Grants. The MHOP consists of 455 public housing units in the Bronx and Manhattan that will be sold to eligible applicants.

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

At least two-thirds of the residents must agree to purchase in order for the development to successfully convert to a Cooperative Corporation, which will eventually be able to purchase the development. As of June 30, 2008,

the required two-thirds threshold had been reached at three of the six MHOP developments. It is anticipated that most of the MHOP developments will convert to cooperative ownership by the end of 2008.

NYCHA is also considering the disposition of 223 single-family FHA Repossessed Houses, and the Authority will develop a program to provide affordable homeownership opportunity to eligible occupants.

### **NYCHA Continuum of Care for Public Housing Residents with Special Needs**

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

#### Families at-risk

##### Family Unification and Independent Living Programs

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

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

#### Persons with Disabilities - Section 504

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

In 2007, approximately 1,131 units were partially modified with widened doorways, roll-in showers, modified kitchen cabinets, lowered kitchen sink counters, bathroom grab bars, raised or lowered electrical outlets, raised or lowered toilet seats as well as audio/visual alarms. NYCHA also offers reasonable accommodations in policies, procedures and practices that will make non-dwelling facilities and programs accessible to persons with disabilities.

#### Domestic Violence

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

### **Relevant Public Policies**

#### Wicks Law Reform

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

subcontract. After the bid submission, the selected contractor can only change subcontractors, or the amounts such subcontractors are to be paid, upon showing a “legitimate construction need” for such change and, with the approval of the Authority.

#### Mixed-Finance Development Method

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

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

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

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

#### Additional NYCHA Affordable Housing Development Initiatives

##### Fabria Houses

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

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

##### Brook Willis Apartments (BWA)

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

Ten percent of the BWA units are reserved for the homeless, and 25% for NYCHA families living in the Bronx who are eligible to receive Section 8 vouchers, to current Section 8 voucher holders who are seeking transfers, and eligible families from the Authority’s Section 8 waiting list. NYCHA has contributed property, land and Section 8 vouchers; project financing is provided by the Housing Development Corporation, the Department of Housing Preservation and Development, and the Low Income Housing Tax Credits program, among other sources. The first four buildings were completed in 2007, and the remaining four buildings were completed in summer 2008.



### Markham Gardens

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

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

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

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

Close to an acre of the site is being set aside for future development of an 80 unit senior residence with possible Section 202 funding from HUD.

### Kips Bay Boys and Girls Club

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

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

### Metro North Rehabs

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

Phipps Houses, along with Urban Builders, were selected pursuant to an RFP issued in December 2006 to rehabilitate the 100th Street buildings and redevelop the 102nd Street and 103rd Street properties, for the creation of a total of 339 residential units under a long term ground lease. Former Metro North Rehab residents who choose to return will be given rental priority. Up to 300 units will be rented to residents eligible for Section 8 vouchers.

### West Side Sites

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

### Harborview

NYCHA selected a developer in September 2007 to construct two buildings for a minimum of 210 units on the Harborview parking lot mid-block on West 56th Street between 10th Avenue and 11th Avenue.

### Elliot/Chelsea

NYCHA selected a developer in September 2007 to construct a building with approximately 128 units on the Chelsea Houses parking lot at West 25th Street and 9th Avenue. The proposed development will incorporate up to 15,000 sq. ft. of unused floor area from Elliott Houses for a more economical building with retail stores on the ground floor.

### Fulton

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

### Stapleton

A 105 unit, low-income senior housing project has been proposed for a portion of the Broad Street parking lot located at NYCHA's Stapleton Houses public housing development. Subject to land disposition approval from HUD, and financing commitments to the developer, BFC, construction will commence as early as spring 2009. Residence priority of up to 45 units, to which NYCHA will provide section 8 tenant-based vouchers, will be given to eligible NYCHA seniors, especially those in under occupied apartments. In addition to the land and rental subsidies provided by NYCHA, the State of New York has also committed to provide funding under its Homes for Working Families financing program.

### Pomonok

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

### Bronx Affordable Housing

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

### Highbridge

NYCHA intends to dispose of a vacant site at the intersection of University Avenue and West 167th Street. A developer will be selected to build two buildings with approximately 200 rental units for low-income households. One of the new buildings will include a community room with a Resident Services Plan focusing on recreational activities for youth and services for seniors.

### Soundview

NYCHA intends to dispose of a vacant site including an under-utilized parking area at Rosedale Avenue and Lacombe Avenue along Soundview Park. A developer will be selected to build approximately 200 low income rental units and 18 two-family townhouses for affordable homeownership.

### Forest

NYCHA intends to dispose of a lot within Forest Houses at the corner of Tinton Avenue and E. 166th Street. A developer will be selected to build approximately 100 rental units for low-income households.

University Avenue Consolidated

A developer will be selected to renovate 463 apartments in two phases. Phase I will consist of renovating five rental buildings consisting of 230 apartments and one Coop building consisting of 69 apartments. Phase II will consist of renovating four rental buildings containing 164 apartments.

## **D. Elimination and Treatment of Lead-Based Paint Hazards**

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

### **Housing Preservation and Development (HPD)**

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

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

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

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

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

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

#### One-Year Plan

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

The City's Department of Health (DOHMH) and the Department of Housing Preservation and Development (HPD) run a coordinated program to address hazards where there is a lead-poisoned child identified by the DOHMH. In August 2004, the blood lead level at which DOHMH initiates environmental intervention was changed to one blood lead test of 15µg/dL or greater. Previously, environmental investigations occurred for children with one blood lead level of 20 µg/dL or greater or two BLLs of 15-19 µg/dL taken at least three months apart. In calendar year 2007, a total of 538 NYC children (ages 6 months to less than 6 years old) with blood levels initiating environmental intervention were identified. Of these, 251 children had a first-time blood lead level of 20 µg/dL or greater and 287 children had a first-time blood level that was between 15 and 19 µg/dL.

Where a lead-poisoned child is identified, the DOHMH orders the owner to abate lead paint hazards. If the owner fails to do so, HPD's Bureau of Environmental Hazards will do the work and place a lien against the property for the cost. HPD currently maintains five (5) contracts of approximately seven and a half million dollars total.

The DOHMH also administers several primary prevention initiatives that focus on lead paint hazard remediation in homes of young children who do not have elevated blood lead levels. For these children, The DOHMH orders the owner to remediate lead paint hazard(s). If the owner fails to do so, HPD's BEH will do the work and place a lien against the property for the cost. In addition, HPD's BEH Unit continues to improve its coordination with DOHMH by establishing protocols for joint inspections where necessary, updating both agencies' computer systems so they communicate, and hiring staff to act in a project-management capacity in order to facilitate lead abatement work in cases where the landlord or tenant may impede the performance of such work. In calendar year 2007, 300 jobs to abate DOHMH violations were completed by BEH in privately owned buildings.

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

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

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

In September 2003, HPD was awarded \$500,000 under the HUD Lead Outreach grant program. In addition, HPD received the HUD Lead Hazard Reduction Demonstration Grant in September 2003 in the amount of \$2.6 million. This grant ended in March, 2007, and resulted in the treatment and completion of 306 units or 6 units above goal. City Capital Match funding supported 100 units of this grant initiative. During the two-year Lead Outreach grant, HPD enrolled and completed 175 units by September 2005, supported by City Capital match funding. In July 2004, HPD also received HUD's 2004 Lead Hazard Reduction Demonstration Grant in the amount of \$4 million and a 2004 Lead Outreach Grant for \$500,000. The 2004 Demonstration Grant will complete 440 units by December, 2008. The Lead Outreach 2004 Grant enrolled and completed 150 units. In September 2005, HPD received a 2005 Lead Outreach Grant for \$500,000; a 2005 Demonstration Grant for \$4 million; and a Lead-Based Paint Hazard Control Grant for an additional \$3 million: under these three grants, HPD plans to enroll and treat a total of 620 units. The 2005 Outreach grant enrolled and completed 120 units by October 30, 2007. The Demonstration 2005 and Lead Hazard Control 2005 grants will end on October 30, 2008 with an expected completion of 526 units. HPD was also awarded two additional grants in 2007, the Demonstration Grant for \$4 million and the Lead Hazard Control Grant for \$3 million. Supported by a City Capital Match commitment of \$7 million, the goal for both grants is the completion and clearance of 612 units by October 30, 2010, the completion date of both new grants. City Capital Match funding will support 160 of the planned 612 units under both grant initiatives. (For a description of both the Lead Outreach and Lead Hazard Reduction Demonstration Grant Programs, please refer to Volume 1., Part 1., Action Plan, Section D.b., Description of Programmatic Activities, respectively.)

#### Primary Prevention Program

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

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

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

PPP plans to treat approximately 220 units each year with City capital funding. The average cost for each unit is between \$9,500 and \$10,500. Under the Demonstration 2003, 2004, 2005 and 2007 Grants, the Lead Hazard Control 2005 and 2007 Grants, and the Lead Outreach 2003, 2004 and 2005 Grants, HPD has completed 1,667 of its committed 2,259 units. Of the completed units, 980 apartments were supported by City capital funds as part of HPD's match contributions under the current HUD grants. The owner is obligated for three years from the completion of the intervention work to continue to rent to low-income families.

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

#### Five-Year Plan

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

Other elements of the City's plan include:

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

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

**Marketing and Inventory Conditions**

ESTIMATE OF OCCUPIED UNITS WITH LEAD-BASED PAINT

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

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

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

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

**New York City Housing Authority**

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



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

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

#### Program Highlights

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

##### Department of Health Violations DOHMH & Litigation Support Program

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

##### Risk Assessment Program

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

##### Local Law 1 of 2004

On August 2, 2004, Local Law 1 went into effect, calling for the comprehensive prevention of childhood lead poisoning through the remediation of lead-based paint hazards in housing and day care facilities (child occupied facilities). Local Law 1 applies to apartments and common areas of all buildings built before 1960, or between 1960 and 1978 if Lead Based Paint (LBP) is present, and where a child under 6 years of age lives. The initial law was for children under the age of seven, but as of October 1, 2006, the law was changed to include children under the age of six. NYCHA has identified 89 developments totaling 84,439 apartments constructed prior to 1960 or between 1960 and 1978 where LBP is present or presumed to be present. NYCHA has submitted a request for exemption of 113 properties built prior to 1960 or between 1960 and 1978 that were identified as not containing LBP in apartments. As of June 30, 2008, 67 developments have been exempted.

The Law requires NYCHA to:

- Inquire at initial leasing and at renewal if a child under 6 years old resides in the apartment.

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

In response to the new regulation, NYCHA has tested over 12,700 apartments and abated approximately 5,900 that tested positive for Lead-Based Paint. The balance was submitted immediately to HPD for exemption.

LBP Inspection & Abatement Program

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

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

LBP Disclosure Program:

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

Summary of Activities

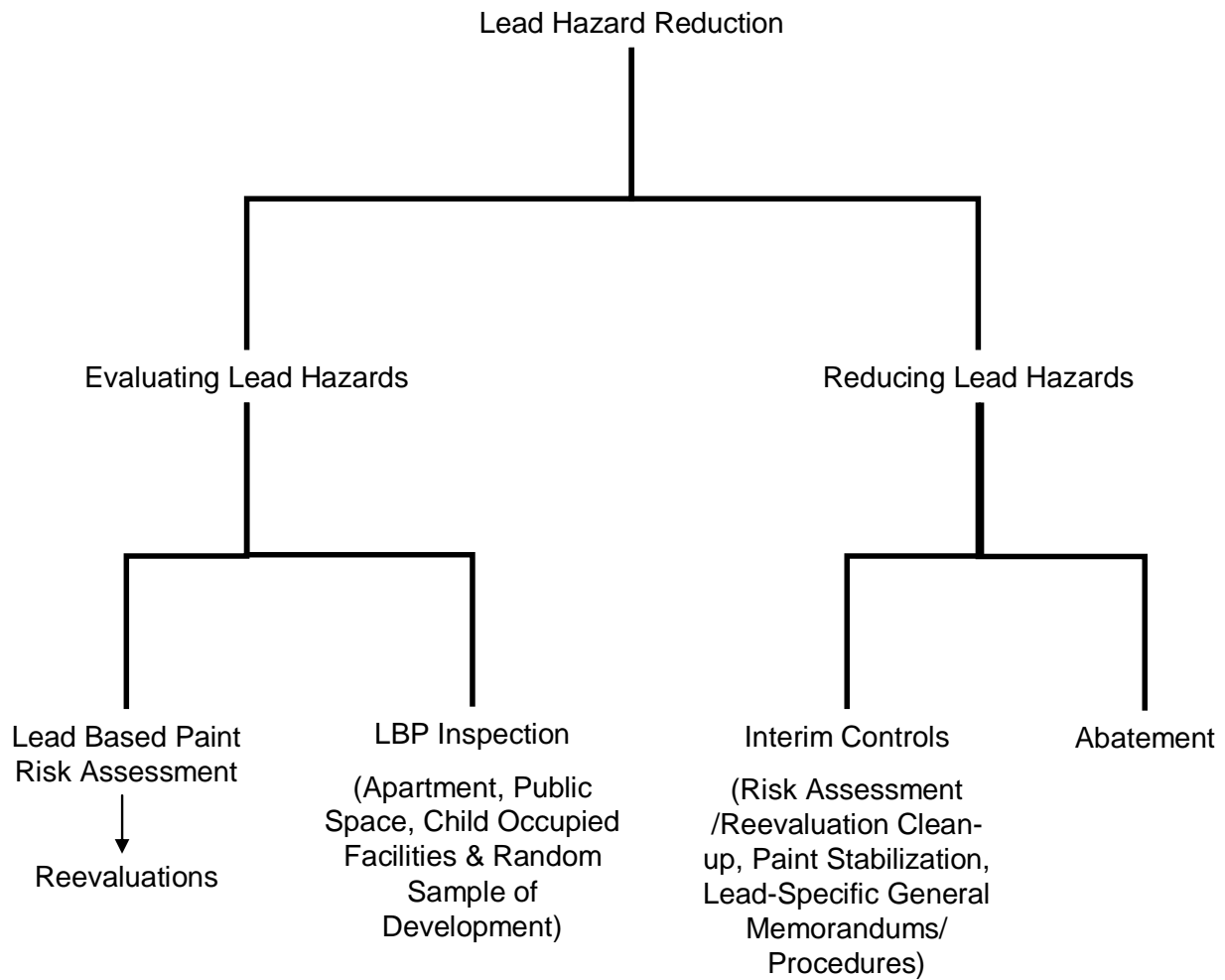
Description	2008 (through June 30, 2008)
New DOH Violations Received*	22
Number Of Violations Dismissed	2
Number Of Violations Rescinded	15
Total Number Of Apartments Abated (LBP)	763
Number Of Child Occupied/ Multi-Use Facilities Inspected For LBP (XRF)	6
Total Number Of Apartments Tested For LBP (XRF)	1,628
Total Number Of Public Spaces Tested For LBP (XRF)	5
Number Of Apartments Tested For Elevated Lead Dust Levels (Dust Wipes)	1,180
Number Of Public Spaces Tested For Elevated Lead Dust Levels (Dust Wipes)	883
Distribute LBP Disclosure Information to developments Constructed Prior To 1980 (Development Wide Disclosure, Reevaluation)	19
Distribution of Single Family LBP Disclosure Packages In developments Constructed Prior To 1978	1,611

Description	2008 (through June 30, 2008)
Development Wide Testing Of Developments Constructed Prior To 1978 For LBP (i.e., Reevaluation)	37
Local Law 1 – Move Out Apartments Tested	1,506
Local Law 1 – Move Out Apartment Lead Abatements Completed	758

\*13 of NYCHA’s 2008 violations were received as part of newborn health visits by DOHMH’s Brooklyn District Public Health Office (DPHO). In these instances, an EBL child was not identified, but defective painted surfaces with an initial reading above regulatory thresholds were identified.

# New York City Housing Authority

## Strategic Framework for Lead Hazard Reduction



## **Department of Homeless Services**

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

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

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

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

The Office of Construction and Technical Services (OCTS) continues to compile a comprehensive 'Lead Paint Hazard Checklist' for all of their owned/operated/contracted facilities where such hazards once identified, are slated for remedial action by licensed and certified contractors. During fiscal year 2008, DHS has responded to lead paint related activities at eleven (11) adult and family facilities on forty-seven (47) occasions.

## **E. Anti-Poverty Strategy**

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

In January 2006, Mayor Michael Bloomberg announced his intention to reduce the number of men, women, and children living in poverty in New York City. To this end, he formed the Commission for Economic Opportunity (also known as the Poverty Commission) to conduct an in-depth study of the nature of poverty in New York City and to devise a blueprint to reduce poverty and increase access to opportunity for the City's residents. The Poverty Commission conducted an extensive investigation to understand the issues and potential solutions, focusing on several key areas related to poverty: education, job growth, health, housing, workforce development, social service supports, and data collection and evaluation. In September 2006, the Poverty Commission announced its recommendations. These recommendations aim to ameliorate the disadvantages confronting the working poor, young adults 16-24 years old, and young children 0-5 years old. These three groups account for nearly half of the city's poor (700,000 out of 1.5 million living below the poverty line) and are at risk of long-term poverty.

Following the Poverty Commission's report, the Mayor established the Center for Economic Opportunity (CEO) to: 1) turn the Poverty Commission's recommendations into a plan of action; 2) spearhead the implementation of a broad array of evidence-based initiatives; and 3) coordinate the evaluation of the initiatives to learn how well they work. The following provides a summary of initiatives enacted to date that will contribute to meeting the goals outlined in the CEO's 2006 report.

### Initiatives for Working Poor adults

The strategies that will be used to improve job prospects and financial independence for the working poor include:

- Restructuring and coordinating workforce development services to promote career skills building and career advancement
- Establishing career pathways for entry-level employees
- Increasing access to training for those who are working;
- Improving and expanding benefits that support work
- Encourage enrollment in income-enhancing work support programs through outreach and marketing campaigns
- Using technology to improve access to work supports
- Expanding and restructuring work support programs to assist and encourage participation in the labor force
- Promoting financial literacy and asset development
- Increase access to health insurance coverage

Increasing the ability of working poor individuals to save and improving access to financial institutions in low-income areas is also a priority of CEO. People often lack access to capital in areas where poverty is concentrated and low-cost banking and free tax preparation sites – often marginal services in poorer communities – have the ability to strengthen low-income households' economic security. Greater enforcement of consumer protection and labor laws for low-income families and workers is essential to financial security.

In addition to the work being done locally, the Mayor suggested in an address to the Brookings Institute on August 28, 2007, that more working poor adults and families could benefit by expanding and reforming the Earned Income Tax Credit (EITC). The Mayor proposed a number of changes which included lowering the

eligible age of the credit to childless working adults 21 years of age and raising the income threshold to \$18,000. The changes would provide more financial stability to young people and greater opportunities to begin saving. Mayor Bloomberg also proposed eliminating the marriage penalty and holding individuals more accountable for child support. Under his proposal, married couples would no longer be subject to the EITC 'marriage penalty' and individuals would only receive an EITC if they are current in child support payments.

#### Poverty Research:

In July 2008, the CEO released a new alternative measure of poverty for New York City. The new poverty measure, based on recommendations by the National Academy of Sciences (NAS), factors in food, clothing shelter and utilities expenditures; and takes into account additional financial resources (tax credits and benefits, such as Food Stamps and Section 8 housing subsidies), and adjusts for differing geographic cost factors in housing. According to the new measure, the 2006 poverty line for a family of four (two adults and two children) would increase to \$26,138 from \$20,444. The CEO measure will not immediately change program funding or eligibility for New York City social services programs due to the fact that many receive federal funding and, therefore are bound by federal thresholds. However, the measure will provide the City a useful tool to develop poverty-related policy and allow City agencies to base future plans on accurate and timely data. In addition, the CEO report describing the methodology used develop to the measure concludes with a recommendation that the federal government should begin to re-examine the methodology used to determine its current measure of poverty.

#### Initiatives for Young Adults, Age 16 to 24

With more than a quarter-million young adults between the ages of 16 and 24 living below the poverty line in New York City, Opportunity NYC, a new pilot program that started in the Fall of 2007, will provide cash rewards to low-income families and young adults for activities like passing statewide standardized tests, maintaining near-perfect attendance in school, and for those no longer in the classroom, working full-time.

Citing a range of challenges confronting the population of young adults, the Poverty Commission recommended that strategies be adopted to re-engage youth who are disconnected from school and work and to reduce teen pregnancy rates. Acting on these recommendations, in 2007, the Center for Economic Opportunity (CEO) provided funding to DYCD to support two innovative pilots: an internship program for disconnected youth and a service learning program for adolescents. In 2008, CEO provided additional funding to DYCD to support a third innovative pilot at that agency to that would address the literacy needs of disconnected youth.

On June 27, 2007, DYCD released an RFP seeking qualified vendors to provide a 14-week Young Adult Internship Program (YAIP), comprising a 2- to 4-week orientation period followed by 10 week paid internships, to serve the most job-ready among disconnected youth. The program was launched in fifteen sites in November 2007, throughout the five boroughs. Based on initial positive results, contracts were renewed for an additional year and will now extend through June 30, 2009. This year-round program provides approximately 1,360 disconnected youth per year with internships that offer structured work opportunities and supports. Modeled on DYCD's successful Summer Youth Employment Program (SYEP), the Out-of-School Youth program, and DYCD pilot programs for corporate sector employment (GirlsReach, BoysReach and CAPITAL), this program similarly incorporates ongoing education, as well as other participant and employer supports. Upon completion of the internship, the vendor provides nine months of follow-up services and helps place the participant in a permanent job, a job training program, or an educational setting. More than half of YAIP participants are black and over a third are Hispanic/Latino; 23 percent of current and former participants live in households that receive Food Stamps.

Through an outside evaluation now underway, the success of the program is being measured by the attainment of the following participant milestones and outcomes:

- Placement in an internship,
- Successful completion of the internship,

- Placement in employment, or enrollment in post-secondary education and/or occupational skills training programs,
- Placement in other programs such as CUNY Prep and the Workforce Investment Act program for Out of School Youth, and
- Remaining in employment or other successful educational or training settings 6 to 9 months after initial placement.

On July 5, 2007, DYCD released the Service Learning (SL) RFP seeking qualified vendors for an initiative to enhance youth development services in some of New York City's highest-need neighborhoods. A second RFP was released on October 1, 2007 to permit additional vendors to apply. The Service Learning program was inaugurated in November 2007 in sixty sites throughout the five boroughs, serving over 3,000 disconnected youth in its initial year. Fifty-seven sites have been renewed for a second year. The goals of the SL programs include increased youth engagement in school and community and promotion of behaviors that reduce risks for teen pregnancy, sexually transmitted infections, and substance abuse.

Building on the principles of youth development, program activities combine formal instruction (in a classroom or workshop setting) with youth input, community service and time for reflection. This program engages each participant in up to 165 hours of programming that highlights the value of voluntary service, helps participants address complex issues, fosters life skills, and encourages civic engagement. Research has shown that SL programs can improve chances for academic success, promote school engagement among "at risk" youth, and prevent teen pregnancy. Given its special relevance for adolescents, the initiative targets in-school youth ages 13 to 21. The majority of participants attend programs in neighborhoods with significant poverty levels. Just over 40 percent of participants are Hispanic/Latino and 37 percent are black.

Through an outside evaluation now underway, the success of the program is being measured by the attainment of the following participant milestones and outcomes:

- Increased credit accumulation and grade promotion,
- Increased high school graduation rates,
- Reduced teenage pregnancy rates,
- Increased engagement in the community,
- Increased knowledge about health and sexual health, and
- Improved life skills.

During the spring of 2008, DYCD initiated a CEO-funded literacy services pilot targeting disconnected youth. Simultaneously, CEO funded the New York Public Library, Brooklyn Public Library and Queens Public Library to implement a similar program in two sites each. Funding for this pilot is committed through June 30, 2009. The aim of the pilot is to significantly improve participants' reading levels. Selected through an application process, five providers through DYCD are currently serving youth between the ages of 16-24 years old who are neither employed nor in school and who are reading at the 4<sup>th</sup> to 6<sup>th</sup> grade levels. Programs are expected to serve at least 20 students in each program at any given time. Participants receive pre-GED basic skills instruction complemented by comprehensive support services such as job counseling and placement. An outside consultant has been retained to provide technical assistance to these programs, as well as six similar literacy program sites piloted by the City's three public library systems. Desired outcomes include: significant increases in literacy skills as assessed by the TABE test; job readiness and job placement assistance; and, preparation for the GED test.

In addition to the programs and services for youth in traditional home settings, the commission also proposed a coordinated strategy for creating career pathways for youth aging out of foster care and exiting out of detention centers. The Administration for Children's Services, established the Youth Financial Empowerment (YFE) program to educate and empower youth (between 16-21 years old) aging out of foster care to maximize their resources and build assets for future success by providing guidance and financial mentorship.



Launched in June 2008, YFE actively engages youth in activities to help them develop financial management and goal setting skills, which include:

- A matched savings account, also known as an Individual Development Account (IDA)
- A 10-session financial literacy training course
- A debit account for practicing banking skills
- Opportunities for employment and career development
- Additional training to support attainment of housing, higher education, or a small business
- One-on-one and group mentoring
- Leadership training
- Academic and cultural enrichment

Up to 450 YFE participants may become eligible for Individual Development Account (IDA). These accounts provide a \$2 match for every dollar a young person saves up to \$1,000 in personal savings, for a total of \$3,000 (\$1,000 in personal savings plus \$2,000 in match funds). These funds may only be used for education, housing, and for small business ventures. To open an IDA, YFE participant must complete the 10-session money management course as well as additional training to support their IDA goal. Approximately 40-50 YFE participants will open an Individual Development Account in October 2008.

#### Initiatives for Children, Age 0 to 5

The CEO initiatives for young children, aged five years old and younger, focus on providing a good start to life and education. As a result of the Commission's recommendations, the City expanded the Nurse Family Partnership program, creating additional resources for child care, and expanded the Universal Pre-Kindergarten program to serve an additional 10,000 three and four year olds in the city. Additionally, the first legislative item of the CEO was enacted on August 2, 2007 when Governor Spitzer signed the city's local child care tax credit into legislation. Bills in support of the legislation were passed both in the assembly and senate. The tax credit went into effect for expenses incurred in tax year 2007 and approximately 50,000 applied for the credit. The tax credit is designed to assist low-income and underemployed families with the cost of child care for children under the age of four.

Outside of the Poverty Commission's initiatives, the City also continues to provide cash assistance and other types of public assistance to qualified low-income New Yorkers. The number of recipients of cash assistance was 341,329 as of June 2008. This is an 5.4% decrease from the 360,738 recipients at the end of City Fiscal Year (CFY) 2007. Factors such as the national and local economies will affect whether this downward trend continues.

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

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

To ensure that all those who are eligible for public health insurance are enrolled, OCHIA promotes and manages the collaborative work of 14 City agencies, 16 managed care plans and a wide array of community- and faith-based organizations to provide outreach and facilitate enrollment in neighborhood venues such as public schools, diverse places of worship, public housing developments and community events. Known as the HealthStat Initiative, this collaboration has facilitated enrollment in public health insurance programs for over 167,000 New Yorkers in 2006 to 2007. Through HealthStat, OCHIA makes New Yorkers aware of the expanded eligibility for children for public health insurance, opportunities for premium subsidies for eligible adults and families as well as buy-in opportunities for businesses and foster enrollment for all eligible New Yorkers.

OCHIA also has initiatives to expand health insurance offerings by the City's small businesses. Due to their size, many small businesses are unable to reach the economies of scale necessary to provide affordable health insurance to their employees. To assist these businesses in remaining competitive in recruiting employees and controlling benefit costs, OCHIA works with and promotes several special options including Brooklyn HealthWorks, Freelancers Union, Healthy NY, HealthPass, and LIA Health Alliance. As of June, 2008 our current total enrollment for these programs in New York City is 98,000. OCHIA partners with business and civic organizations, such as local chambers of commerce, Business Improvement Districts (BID) to conduct forums on health insurance and to discuss the issues that small businesses and individuals face as they select and purchase coverage. Last year, OCHIA, in partnership with the Mayor's Office, completed negotiations with New York City's insurers to make domestic partner coverage available for small businesses in New York City. Unavailable to the small group market prior to the City's efforts, domestic partner coverage is now provided by all insurers for New York City's businesses with 2-50 employees.

The number of persons certified eligible for Medicaid at the end of CFY 2008 remained essentially unchanged, decreasing to 2,563,819 from 2,559,977 persons who were certified eligible at the end of CFY 2007. The MA-only caseload increased by approximately one percent, from to 1,820,368 at the end of CFY 2008 from 1,795,555 at the end of CFY 2007

In June 2008 1,562,615, 1,483,777 individuals were enrolled in managed care plans. This is an increase of five percent from the 1,483,777 persons enrolled in June 2007.

New York City recognizes affordable child care as an essential element in making employment possible for low- and moderate-income families. At the end of CFY08 there were 102,292 children enrolled in childcare subsidized by the Administration for Children's Services/Agency for Child Development. In addition, there were 18,155 children enrolled in Head Start at the end of CFY 2008.

Reduced crime cuts costs for businesses and makes areas throughout the City attractive to business owners, workers and customers. New York City remained the safest big city in America according to the FBI's Preliminary Crime Report for 2007. Violent crime fell in the City by 3.1 percent and incidents of property crime dropped by 2.6 percent from 2006 to 2007. The City's reduction in crime outpaced national trends, where violent crime decreased by only 1.4 percent and property crime by 2.1 percent.

The City's employment levels remained stable during the last year. During the period July 2007 to July 2008, the number of employed New Yorkers increase by slightly less than one percent, or approximately 33,300 jobs. During the same period, private employment increased by slightly less than one percent, approximately 24,200 jobs. The two industries showing the largest gains in employment over the period July 2007 to July 2008 were information, and leisure and hospitality sectors, rising 4.4 and 2.8 percent, respectively. The manufacturing and financial activities showed a 7.2 and 1.0 percent reduction in jobs, respectively.

The annual average unemployment rate for 2007 was the lowest in decades at 5.0 percent. Despite the steady level in unemployment citywide, New York City's 2007 annual average unemployment rate remained higher than New York State's at 4.5 percent.

Other efforts to improve business opportunities for large and small enterprises, promote workforce expansion, and advance employment and job training in the City include work performed by the Department of Small Business Services (SBS). According to SBS, 452 newly certified businesses participated in the Minority/Women Owned Business (M/WBE) program. This represents 73 more newly certified businesses compared with CFY 2006, a more than nineteen percent increase in participation.

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

The share of 8<sup>th</sup> grade students who met or exceeded standards in ELA in 2008 rose to 43.3 percent from the 2007 level of 41.8 percent. The share of New York City 8<sup>th</sup> graders who performed at or exceeded the standards in ELA in 2008 was 21.5 percentage points lower than the share of 8<sup>th</sup> graders across the State (not including New York City) who performed at standard, but was 12 percentage points higher than the share of 8<sup>th</sup> graders from the four major cities in the state outside of New York City (Buffalo, Rochester, Syracuse and Yonkers) who performed at or exceeded the standards in the ELA exam. The percentage of 4<sup>th</sup> graders meeting or exceeding ELA standards, rebounded to 61.3 percent for the 2007-08 School Year after falling 2.9 percentage points to 56 percent in 2006-07. The proportion of the City's 4<sup>th</sup> graders performing at standard in the 2008 ELA exam was 16.8 percentage points lower than the State's share (not including New York City). However, the share of New York City 4<sup>th</sup> graders who scored at standard on the ELA exam was 10.8 percentage points higher than the other four major cities in the state. The share of students in grades 3 to 8 who met or exceeded standards in ELA in 2008 rose to 57.6 percent from the 2007 level of 50.8 percent.

In mathematics, New York City Grade 8 achievement in the state math exam increased by 14 percent from the 2007 school year to 59.6 percent. The share of New York City 8<sup>th</sup> graders who performed at or exceeded the State standards in Mathematics in 2008 was 18.2 percentage points lower than the share of 8<sup>th</sup> graders across the State but was 25.3 percentage points higher than the share of 8<sup>th</sup> graders from the four major cities in the state outside of New York City who performed at or exceeded the standards in mathematics. Fourth grade City students who performed at standard in the 2008 mathematics exam rose to 79.7 percent from 74.1 percent in 2007. These continued gains by New York City 4<sup>th</sup> graders has narrowed the gap between their mathematics scores and the rest of New York State's to slightly less than eight percentage points (79.7 percent to 87.6 percent, respectively.)

In 2007 14.7 percent of general education students had dropped out within four years of entry into high school, the 2007 level represented a reduction of 0.3 points between 2006 and 2007 and by 3.3 points between 2005 and 2007. Using the New York State's methodology to calculate graduation rates<sup>1</sup>, 52.2 percent of New York City general education students graduated within four years of entry into high school in FY2007, over a two percentage point increase from the FY2006 level. The City's graduation rate for 2007 was 4.6 percentage points higher than the other four major cities in New York State. This represents an improvement from 2005 when the City's rate was less than a percentage point below the "other big 4's" graduation rate. This indicates more New York City students are remaining in school to complete their high school education. These factors, combined with increased high school science and mathematics curricula standards/competency requirements will assist young New Yorkers in positioning themselves for the secondary academic or technical education necessary to acquire the job skills required for future employment opportunities.

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<sup>1</sup> *The New York State's 2007 calculation includes Local and Regents Diplomas, August graduates and all disabled students. It does not include GEDs or IEPs. New York City's traditional calculation includes Local and Regents Diplomas, GEDs, IEP diplomas, and August graduates. It does not include disabled students in self-contained classrooms or District 75 students .*

## **F. Institutional Structure**

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

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

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

### **1. Public Institutions**

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

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

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

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

Policy making representatives from the agencies were designated to participate on the Consolidated Plan Committee. To create the Plan, each agency representative drafted that part of the plan that directly relates to

their agency. DCP produces those aspects of the plan that are not agency specific. Ongoing coordination for preparing the Consolidated Plan and the responsibility of coordination among the agencies is the responsibility of the Department of City Planning. DCP schedules meetings to facilitate planning, analysis, and decision making concerning the federal Consolidated Plan regulations.

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

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

#### New York City Housing Authority

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

#### Department of Housing Preservation and Development

Commissioner: Shaun Donovan

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

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

Office of First Deputy Commissioner

First Deputy Commissioner: [John Warren](#)

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

#### Housing Operations

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

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

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

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

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

collect rents and use this money to provide essential services to the tenants and make necessary repairs.

#### Office of Preservation and Neighborhood Services

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

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

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

#### Housing Supervision

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

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

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

#### Administration

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

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

#### Technology and Strategic Development (TSD)

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

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

Office of Housing Operations

Deputy Commissioner: [Laurie LoPrimo](#)

#### Housing Operations

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

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



Department of Homeless Services (DHS) and the Human Resource Administration (HRA). Pursuant to special contracts offered by HUD, DTR also issues enhanced vouchers to families affected by a housing conversion action. These actions occur when a private property owner opts out of a project-based contract by prepaying an existing federal mortgage, and converts the property to market rate housing. Enhanced vouchers permit a special payment standard which exceeds the normally applicable payment standards, so long as the family remains in the development. Accordingly, these special contracts are funded at higher levels than standard vouchers. The use of enhanced vouchers by DTR has become a critical tool in preserving affordable housing opportunities for many of the City's Mitchell Lama residents. Finally, DTR has developed and coordinated programs designed to enhance the economic self-sufficiency of tenants in City-owned and City-assisted housing. DTR's [Family Self-Sufficiency \(FSS\)](#) program assists families receiving HPD Section 8 to become economically independent by providing access to training, employment and long-term savings opportunities.

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

#### Office of Preservation Services

Deputy Commissioner: [Luiz Aragon](#)

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

#### Office of Preservation Services

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

- **Enforcement Services-** The [Division of Code Enforcement](#) enforces compliance with the City's Housing Maintenance Code and the New York State Multiple Dwelling Law. Tenants may call the City's Citizen Service Center at 311, 24 hours a day, 7 days a week (311 can be accessed outside of New York City by dialing (212) NEW YORK) to register complaints concerning possible housing violations in their apartment, including lack of essential services (heat, hot/cold water, electricity). In response to these complaints, the Division can send out inspectors to inspect emergency conditions and issue violations to the landlord if violations are found, directing the landlord to perform the repair within a timeframe specified by law. Code Inspectors are now available to perform emergency inspections 24 hours a day, 7 days a week. The Division of Maintenance performs emergency repairs in privately-owned buildings in response to emergency violations (including lead paint) issued by Code Inspectors if the landlord fails to perform the repair. The Division also coordinates major repairs and contracts for improvements in City-owned buildings.

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

#### Office of Development

Deputy Commissioner: [Holly Leicht](#)

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

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

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

- **Division of Special Needs Housing** - Special Needs Housing is responsible for the Supportive Housing Loan Program, a key vehicle to providing quality permanent housing with on-site services for homeless adults with special needs. The Division is also responsible for implementation of the NY-NY III agreement, along with the department's involvement in housing for the low-income elderly and other populations with special needs.

#### Office of Community Partnerships

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

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

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

#### Department of Homeless Services

Established in 1993, the Department of Homeless Services (DHS) is responsible for preventing homelessness wherever possible and providing short term emergency shelter and re-housing support to homeless families and individuals in the City of New York. This includes overseeing the operation and maintenance of the City's shelters; designing, implementing and evaluating programs that assist families and individuals who are homeless; developing programs to improve the access to existing housing for homeless families and individuals; and fostering the involvement of non-profit and for-profit community organizations in the provision of shelter and services for homeless families and individuals.

The Commissioner's direct reports include the First Deputy Commissioner; the Deputy Commissioner for Policy and Planning; Deputy Commissioner for Fiscal and Procurement Operations, the Deputy Commissioner for Administration, DHS General Counsel, Chief of Staff, Assistant Commissioner for Government & Community Relations, the Director of Communications, and the Press Secretary.

The First Deputy Commissioner oversees the Division of Prevention Services, the Division of Adult Services, the Division of Family Services, the Division of Facilities, Maintenance and Development, and the Division of Security Services and Emergency Operations. The Deputy Commissioner for Prevention Services oversees all prevention and aftercare efforts, including both directly provided and contracted services. The Deputy Commissioner for Adult Services oversees the services provided to single, homeless adults, including Intake and Assessment, Street Outreach and Drop-ins, directly-run shelters, contracted Providers and SROs. The Deputy Commissioner of Family Services oversees the services provided to homeless families both directly-run shelters as well as contract Providers which include Transitional Housing, Intake and Reception and Re-housing and Placement services. The Division of Adult Services and the Division of Family Services are the two key departments responsible for operating the transitional housing system and providing support services to homeless families and individuals. Respectively, they provide shelter to New York City's homeless families and single adults, by overseeing a system of City and non-profit operated transitional housing facilities. The Deputy Commissioner for Facilities, Maintenance and Development oversees the maintenance and repair of existing facilities, as well as the planning and development of new facilities as well as technical and construction

services. The Deputy Commissioner for Security Services and Emergency Operations oversees the DHS Peace Officers, all Security issues, contracts, and Emergency operations for DHS.

The Deputy Commissioner for Policy and Planning oversees both the Office of Policy and Research and the DHS Office of Information and Technology.

The Deputy Commissioner for Fiscal and Procurement Operations oversees the Offices of Finance, Budget, Audit and the Agency Chief Contracting Officer (ACCO).

The Deputy Commissioner for Administration oversees the Office of Human Resources and Administration.

The Agency General Counsel (Deputy Commissioner) oversees the entire DHS Legal Division.

The Agency Chief of Staff oversees day-to-day operations of the Executive Office and DHS' Offices of Health Care Policy & Administration (Medical Director) and Office of Equal Opportunity Affairs (EOA). The Chief of Staff is also responsible for liaising with the Mayor's Office on special projects.

The Assistant Commissioner for Government and Community Relations is the agency liaison between DHS and the City Council; all public officials and legislators; all Community Boards and related groups throughout the City.

The Director of Communications is the DHS liaison with all aspects of the media as well as the coordinator of agency public events and official announcements. This Director also is responsible for presenting the DHS message to the public as well as keeping all DHS staffs informed regarding all agency news.

#### Human Resources Administration

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

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

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

The Family Independence Administration through its Job Centers provides temporary financial assistance, Food Stamps and Medicaid to income eligible individuals. FIA also coordinates the agency's welfare reform efforts by referring eligible individuals to work activities and by tracking participation in those work activities. To allow for participation by individuals with children, FIA refers individuals to child care programs and pays for child care services for individuals with children under 13, and children 13 to 18 with special needs, who are working or are participating in work activities. Through its Non cash Assistance Food Stamp offices, FIA provides food stamp services to able bodied individuals who receive food stamps but do not receive cash assistance. These services are provided in offices throughout the city

MICSA administers the Medical Assistance Program (MAP); operates of the Home Care Services Program (HCSP); provides Adult Protective Services (APS); and facilitates access to essential benefits and social services for persons with AIDS or symptomatic HIV illness through the HIV/AIDS Services Administration (HASA).

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

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

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

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

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

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

The Office of Citywide Health Insurance Access - provides impartial guidance to working individuals and small businesses in need of affordable health insurance. The mission of the Human Resources Administration's Office of Citywide Health Insurance Access (OCHIA) is to expand access to health insurance for all New Yorkers. The office has two key priorities: first, to ensure that uninsured New Yorkers who are eligible for public health

insurance programs such as Child Health Plus, Family Health Plus and Medicaid are enrolled and, second, to expand access to affordable health insurance for the City's small businesses, sole proprietors and working individuals.

#### Department of Health and Mental Hygiene

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

The Department is governed by a Commissioner who also chairs the Board of Health. The Division of Mental Hygiene is governed by an Executive Deputy Commissioner and, under Article 41 of the New York State Mental Hygiene Law, continues to administer local mental hygiene services related to mental health, developmental disabilities, and chemical dependency. Other programmatic divisions within the Department are administered by Deputy Commissioners and include Disease Control, Environmental Health, Epidemiology, Health Care Access and Improvement and Health Promotion and Disease Prevention.

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

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

#### Department for the Aging

The New York City Department for the Aging (DFTA), as well as being an arm of municipal government, is also the largest of more than 670 Federally-designated Area Agencies on Aging (AAA) in the nation, and part of a countrywide aging network that includes 50 State Offices on Aging. DFTA has over 25 years of experience in conducting research and advocacy and providing a wide array of programs and services, both directly and through contracts with over 400 community-based organizations throughout New York City

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

DFTA is under the leadership of a Commissioner appointed by the Mayor. The agency's executive staff also includes the two Deputy Commissioners and six Assistant Commissioners, who direct the following bureaus

responsible for administering DFTA's programs and services.

*External Affairs* oversees our Community Outreach unit. This Bureau also assists seniors calling for assistance with 72 hour eviction notices.

*Emergency Preparedness* oversees the Department's efforts to prepare seniors and our community partners in the event of a crisis or other phenomenon that may affect the health of our seniors and/or the ability of our partners to deliver services to our seniors.

*Fiscal Management*: This bureau oversees the Home Energy Assistance Program (HEAP), the Weatherization, Referral and Packaging Program (WRAP) and SCRIE (Senior Citizen Rent Increase Exemption Program) programs

*The Bureau of Community Outreach and Emergency Preparedness* oversees the following units: Home Energy Assistance Program (HEAP); Weatherization, Referral and Packaging Program (WRAP); Senior Citizen Rent Increase Exemption Program (SCRIE); Health Insurance Information and Counseling Program (HIICAP); Health Promotions; Emergency Preparedness and Community Outreach. This Bureau also assists seniors calling for assistance with 72 hour eviction notices.

*The Bureau of Senior Centers* administers contracts with over 400 local agencies to support senior centers, home-delivered and congregate meals programs, health promotion, transportation, case assistance, home care, legal assistance, minor home repair, and other services for the elderly in neighborhoods across the City.

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

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

In addition to the above bureaus, the Department also has a Bureau of Management and Budget, and Procurement. Within the Bureau of Management is the Office of Management and Policy, which includes Research, Planning, and Development. This Office is the City's primary source of demographic and service data on elderly New Yorkers.

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

#### Mayor's Office for People with Disabilities

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

MOPD conducts a variety of activities, including:

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

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

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

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

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

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

#### DOHMH-Bureau of HIV/AIDS Prevention & Control

On July 1, 2003, the Mayor's Office of AIDS Policy Coordination was integrated into the Department of Health and Mental Hygiene's Bureau of HIV/AIDS Prevention & Control. For a description of the Bureau of HIV/AIDS Prevention & Control (BHAPC) please refer to Volume 2, Part I, Section E2. Supportive Housing Continuum of Care for Special Needs Populations, b. Persons with HIV/AIDS.

#### The Commission on Human Rights

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

The Commission is mandated to "foster mutual understanding and respect among all racial, religious, and ethnic groups" and to "encourage equality of treatment for, and prevent discrimination against any group or its members." The City's Human Rights Law prohibits discrimination in *employment, housing, and public accommodations on the basis of race, color, creed, age, national origin, alienage or citizenship status, gender (including gender identity and sexual harassment), sexual orientation, disability, marital status, and partnership status*. In addition, the Law affords protection against discrimination in employment based on *arrest or conviction record and status as a victim of domestic violence, stalking, and sex offenses*. In housing, the Law affords additional protections based *lawful occupation, family status (whether children are, may be, or would be residing with a person), and any lawful source of income*. *In addition, the City's law prohibits bias-related harassment.*

The Commission on Human Rights has two programmatic bureaus.



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

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

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

#### Department of City Planning

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

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

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

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

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

#### Department of Youth and Community Development

The Department of Youth and Community Development is the lead New York City agency for facilitating and administering youth and community development programs. DYCD supports youth and community development in New York City by funding a broad network of experienced community-based organizations throughout the City. These programs provide young people with leadership development, structured recreation and athletics, cultural enrichment, tutoring and academic enhancement, summer employment opportunities, and services for runaway and homeless youth.

#### Community Development Division

##### Community Services Block Grant Program

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

##### Literacy Programs

DYCD's Literacy Programs consists of the Adult Literacy, Adolescent Literacy and Family Literacy Programs. DYCD funds community-based organizations to provide literacy and language instruction to individuals 16 and older. These services include Adult Basic Education (ABE) and English for Speakers of Other Languages (ESOL) classes to people who lack sufficient mastery of basic educational skills, or who are unable to speak, read, or write the English language well enough to participate in education or training conducted in English. Adolescent Literacy services are targeted to middle school youth, while Family Literacy programs are designed to assist parents and their school-aged children. Many of these funded agencies also offer counseling, computer training, career education and employment assistance.

##### Immigrant Services

DYCD contracts with community-based organizations throughout New York City to provide services and

support to immigrants and their communities. These programs assist newcomers who migrate and settle in New York City by affording access to information and assistance.

DYCD supports over 80 organizations that offer one or more of the following services to immigrants and refugees: immigration legal assistance, legal services for undocumented or unaccompanied immigrant youth, domestic violence intervention programs, provide guidance to immigrant families in navigating the system for services, English and civics classes, and assistance for immigrant workers. The goals of the DYCD funded immigration programs are to assist immigrants to become more self-sufficient, strengthen their families and other support systems, and improve their living condition.

#### Fatherhood Program

It is well documented that a father's absence is often associated with poverty, high rates of school failure and dropout, early sexual activity and teen pregnancy, youth suicide, juvenile delinquency and adult criminality. Fathering can be enhanced through programs that help fathers with employment and economic opportunities, and encourage personal and economic involvement with their children.

Following a successful demonstration project initiated in 2002, in September 2007, DYCD began a new round of contract awards for CBOs to administer programs to re-integrate fathers back into the lives of their children and have them assume greater financial responsibility.

#### Youth Services Division

The Youth Services Division supports a variety of youth activities, including structured recreation, athletics, tutoring and remedial education, employment, leadership development, delinquency prevention, cultural enrichment, counseling, adolescent health care, substance abuse prevention, and runaway and homeless programs through a combination of City, State and Federal funding.

#### Out-of-School Time Program

The DYCD Out-of-School Time (OST) initiative started in July 2005, is the largest municipally-funded after-school system in the nation, offering a balanced mix of academic support, sports and recreational activities, the arts and cultural experiences. OST programs, run by community-based organizations provide free, safe programs in a supportive environment and a schedule that meets the needs of working parents. There are separate programs for elementary, middle school, and high school students. In October 2007, the City dedicated additional funding to support an expansion of the OST initiative; approximately 80,000 young people were served during the 2007-2008 school year.

#### Beacon Community Centers

The Youth Services Division uses city tax-levy and CDBG funds to provide funding to 80 Beacon Community Centers in low- and moderate-income areas of the City. Beacon programs are collaborative, school-based community centers created in 1991 to address concerns about street crime, maximize the use of neighborhood resources and provide. Beacon Centers provide after-school education and recreation, which includes tutoring, homework assistance, literacy programming, arts and crafts courses and leadership development, as well as programs for adults and seniors. Currently, 16 Beacons also host Administration for Children's Services foster care prevention programs. Beginning in 2007, under a new Request for Proposals, a targeted middle school initiative was launched at all 80 Beacon Community Centers.

#### Youth Employment Programs

Youth employment services include year-round In-School Youth (ISY) and Out-of-School Youth (OSY) Programs, the Summer Youth Employment Program (SYEP) and the Neighborhood Development Area (NDA) Youth Employment Programs. Each of these programs incorporates youth development principles in providing services to New York City youth. Youth development is a process that prepares young people to meet the challenges of adolescence and adulthood through a coordinated, progressive series of activities and experiences that help them to develop socially, morally, emotionally, physically and cognitively. The ISY Program offers young people, who are enrolled in school and are between the ages of 14 and 18, a variety of employment-

related services. The OSY Program offers extensive job training and employment services to youth who are not enrolled in school and between the ages of 16 to 21 years old. During July and August, SYEP offers up to seven weeks of summer employment to young people between the ages of 14 and 21. Youth work in public agencies, the private sector and community organizations, where they gain valuable work experience, earn wages, learn to manage money and are introduced to the core competencies they will need to be successful adults and exposed to career options and opportunities for higher education

*NYC Ladders for Leaders*, launched by Mayor Michael R. Bloomberg on October 10, 2007, is a joint initiative of the DYCD and the Commission on Women's Issues (CWI). *NYC Ladders for Leaders* merges two successful youth internship pilot projects: CAPITAL (Corporate Allies Program of Internships, Training and Leadership) and the NYC GirlsREACH and BoysREACH programs. Participants receive pre-employment training before starting a seven-week summer internship at partnering companies, which also provide the private donations that underwrite the program. Qualified participants are eligible for partial competitive college scholarships, free college preparatory workshops and SAT courses. The internship experience is complemented by regular gender-specific workshops focusing on work readiness, college orientation, health, leadership development, and other issues.

#### Administration for Children's Services

The Administration for Children's Services (ACS) was created in 1996 as New York City's first agency devoted solely to serving children and their families. Children's Services' mission is to ensure the safety and well-being of New York City children. To fulfill its mission, ACS protects children by investigating an average of 55,000 reports of abuse or neglect each year; helps families in need through counseling, referrals to rehabilitative programs and other preventive programs; provides safe homes for children living in foster care and helps prepare young people to transition to adulthood; and provides childcare and Head Start for approximately 120,000 children throughout the city.

ACS is under the leadership of a Commissioner appointed by the Mayor and reporting to the Deputy Mayor for Health and Human Services. Each division of ACS is lead by a Deputy Commissioner reporting directly to the Commissioner. The following divisions are responsible for administering ACS's services to children and families.

ACS's Division of Child Care and Head Start administers the largest municipal childcare system in the country and provides quality child care and Head Start services to approximately 100,000 children and their families during the course of the year. ACS does not directly operate childcare programs. Most children are served through contracts with hundreds of private, non-profit organizations that operate childcare programs in communities across the city. Children - ages two months through 12 years - are cared for either in group childcare centers that are licensed by the Department of Health or in the homes of childcare providers that are registered by the Department of Health. ACS also issues vouchers to eligible families that may be used by parents to purchase care from any legal childcare provider in the City.

The Division of Child Protection protects children in New York City from abuse and neglect by conducting investigations of reports called in to the State Central Register for Child Abuse and Maltreatment. In fulfilling this mission, preventive and protective services are provided to ensure the safety, permanency and well-being of all children. The Division of Child Protection encompasses Child Protective and Placement Services. When children cannot remain safely at home, the Office of Placement Administration provides a safe environment, evaluates, medically clears and obtains the most appropriate placement available for children. Child Protective Services includes the Child Protective Borough Field Offices, Family Preservation and Family Assessment Programs, Emergency Children's Services, and the Offices of Special Investigations, which conducts investigations of reports involving foster parents, child care providers and ACS staff.

The Division of Family Support Services provides preventive services, parenting education and homemaking services to families throughout New York City, through a network of community based non profit organizations. These services are designed to strengthen and stabilize families, prevent the need for out of home care, expedite

permanency and prevent the replacement of children into foster care. The Division provides case management services to pregnant and parenting teens; works with foster care agencies to improve the quality of family visits with children in care; and builds partnerships between early childhood education and child welfare programs in order to strengthen families with young children. The division also provides clinical support to all child welfare programs to address the needs of children and families through direct services and individual case consultation in the areas of health, mental health, substance abuse, and domestic violence. In addition, Family Support services works closely with other ACS divisions and community based programs to promote culturally competent child welfare services and ensure language access for all New York City children and families.

The Division of Family Permanency Services provides oversight and technical assistance to contracted provider agencies ensuring high quality services for children in out of home care in New York City. This Division is comprised of the Office of Family Permanency Team Conferencing, The Office of Expedited Permanency, Family Permanency Shared Response Team, Parent Support and Recruitment, The Office of Administrative Case Support. The mission of these program areas is to ensure that contracted foster care providers assist parents who are determined to retain or regain custody of their children and find safe, caring, committed, and permanent families for children who cannot be returned to their parents. Also within this division is the Office of Youth Development, which offers a range of programs and services, including education, employment, youth leadership, preparing youth for adulthood skills and services and housing resources for youth. The mission of the Office is to strengthen outcomes for all youth in foster care and to help young people prepare for adulthood by developing skills and relationships to assist them when they transition out of foster care.

ACS is committed to helping families and young adults find safe, affordable, permanent housing. In March of 2005, Children's Services established the Housing Support and Services unit (HSS). The primary function of this unit is to provide housing services to the families and youth. Our clients include families with children in foster care where housing is the sole barrier to reunification and young adults in foster care over the age of eighteen as well as families with preventive cases. Specialists from the HSS unit work closely with Children's Services and contract agency staff. Clients are able to apply for housing assistance in person at the Children's Services office on a walk-in basis for programs including ACS Housing Subsidy, NYCHA Section 8, NYCHA Public Housing and NY/NY III.

#### Office of Management and Budget

The Office of Community Development within the Office of Management and Budget (OMB) is responsible for the coordination of the City's Community Development Block Grant Program. As indicated in the Citizen Participation Plan, budget requests submitted by community boards and City agencies are evaluated by OMB to determine whether available funding sources are sufficient and appropriate to finance a proposal and whether the proposal is consistent with Mayoral initiatives. The Office of Community Development works with OMB's Task Forces (which oversee the budgets of the various City agencies) to determine whether proposals are CD eligible, and if CD funds are available. Subsequent to approval, the Office of Community Development monitors the expenditures of the CD programs.

## **2. Non-profits**

The City could not successfully implement or fulfill its housing goals and programs without the assistance and support of the many local and city-wide non-profit organizations engaged in housing development. Non-profit organizations play a critical role in the City's housing development initiatives in several ways:

- they acquire, manage and develop in rem housing stock;
- they perform advocacy work on behalf of community residents which serves to prevent tenant displacement and owner abandonment;
- they are involved in the community and knowledgeable about the neighborhood which assists City agencies in designing and implementing programs that respond to a community's needs;

- they often provide the development expertise and technical assistance needed to bring projects to fruition, and also conduct the monitoring and/or certifications necessary at a project's completion; and
- they provide the social/community service components required with many housing programs.

Non-profit organizations have a long, positive history of cooperation with City housing agencies and it is the City's intention to continue this highly co-operative relationship. In recognition of the expertise and commitment shown by these organizations, the City seeks to expand opportunities for non-profit organizations, particularly newer organizations, to engage in housing development and management activities.

Currently, the City and not-for-profit organizations are working together in several HPD programs. The Neighborhood Redevelopment Program, Neighborhood Entrepreneurs Program, Supportive Housing Loan Program, Mutual Housing Program, Special Initiatives Program, the Neighborhood Ownership Works Program and the Mutual Housing Association of New York are just some of the programs in which not-for-profit organizations are actively involved as project developers, owners and managers. The City also uses non-profit groups to provide consulting, technical assistance and monitoring services under several HPD programs: Neighborhood Preservation Consultants Program, Tenant Interim Lease Program, and Neighborhood Entrepreneurs Program. Nonprofits also operate the bulk of the emergency housing system for families, as well as assisting the City in providing services to relocated families. Lastly, HPD works with non-profit organizations which serves as conduits to the private sector (see Private Industry section below).

### **3. Private Industry**

The City of New York works with private industry in a number of ways in order to produce and improve low-income housing. First, private firms serve as general contractors or subcontractors on City assisted rehabilitation and new construction sites. Second, private institutions frequently provide rehabilitation/construction financing for assisted housing projects and/or "end loans" to prospective buyers of affordable homes. Third, many of the City assisted substantial rehabilitation or new construction projects are undertaken by private developers who own the property, secure the financing, manage the construction, and market the units (either as rental property or as homeownership units depending on the individual program). Fourth, private owners may use City assistance in order to renovate their buildings. Fifth, private firms often manage the properties that are developed with City assistance.

In addition to the more conventional public/private partnerships, the City has also developed a number of innovative ways to redirect private resources toward low-income housing ventures. The City currently targets special incentives including real estate tax abatements and exemptions as well as increased zoning rights to private developers who agree to construct or improve low-income rental housing.

In addition, HPD works with several nonprofit organizations that serve as a conduit to the private sector: Nehemiah; New York City Partnership; Local Initiatives Support Corporation; Low-Income Investment Fund; National Cooperative Bank; Community Capital Bank; Neighborhood Housing Services; and the Enterprise Foundation.

## **G. Governmental Coordination and Consultation**

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

For the required description of the consultation and coordination among municipalities receiving HOPWA formula grant funds within the New York, New York Eligible Metropolitan Statistical Area (EMSA) please refer to Part I, Section E2., Supportive Housing Continuum of Care for Special Needs Populations, b. Persons with HIV/AIDS.

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

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

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

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

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

### **Department of Housing Preservation and Development**

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

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

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

complaints. HPD operates five borough planning offices in four of the five boroughs that perform these functions and also identify and monitor housing redevelopment sites and projects. In addition, HPD operates four neighborhood offices within the Division of Anti-Abandonment which provide on-site housing assistance to local residents and access to the agency's many programs.

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

As a HUD-designated Public Housing Authority (PHA), HPD works with the New York City Housing Authority (NYCHA), also a HUD-designated PHA, to address common issues and pursue mutual goals. In a number of instances, HPD has provided sites or buildings for NYCHA development which are often located in close proximity to City-owned (in rem) buildings.

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

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

HPD coordinates its tenant selection efforts with the New York City Mayor's Office for People with Disabilities, which maintains links with the disability community and refers qualified applicants with disabilities to HPD properties that offer accessible housing.

HPD works with the New York City Department of Environmental Protection to address issues related to water service rates at affordable housing developments undergoing rehabilitation.

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

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

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

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

#### Department of Homeless Services

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



DHS also works closely with the non-profit provider community and other governmental agencies through the New York City Coalition on the Continuum of Care (NYC CCoC). There are almost 100 non-profit grantees that coordinate the renewals of their HUD Continuum of Care grants through DHS. In addition, DHS sits as co-chair of the NYC CCoC Steering Committee and is one of the eight government voting members on this committee. Through this partnership and coordination with these non-profit agencies, DHS has been able to assist the Continuum in increasing the number of new permanent housing beds by more than 250 units in the last two years and secured funding through the Shelter Plus Care program for many HPD capital projects. The goal of these efforts is to provide the widest possible range of services to homeless people, secure maximum available state and federal funds and minimize waste and duplication among service providers.

DHS works with NYCHA and HPD to provide access to permanent housing for homeless individuals and families. DHS provides capital financing for the HPD Supportive Housing Loan Program (SHLP) which develops supportive housing for single adults. DHS also works closely with HPD in placing shelter clients into these newly developed units. The Department is working with HPD to place homeless families into units in occupied HPD managed buildings. Sixty percent of the referrals for units developed under the SHLP must come from the DHS system.

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

Beginning April 25, 2007, DHS collaborated with OTDA and HRA to implement a rental subsidy, the new and innovative Advantage New York. Advantage, administered in conjunction with HRA, is a portfolio of rental assistance that is not tied to the continued receipt of Public Assistance.

Work Advantage is a one year rental subsidy for working families and individuals with earnings below %150 of the Federal Poverty level. A second year extension is available for those who meet continuation criteria. While receiving the rental assistance, participants will be working and encouraged to save their earnings. These savings will be doubled (matched by DHS) so that when the rental assistance ends, families have additional means of support. While clients are receiving the rental subsidy, which will account for almost 100% of their rent, they are encouraged to make deposits each month in a bank account that will be matched, up to \$250 a month, at the end of the program. In addition, clients will pay \$50 in rent directly to the landlord, which will also be reimbursed and added to the client's savings. For instance, after one year, a family who was saving at a rate of \$250 per month could end up more than \$6,000 in a savings account, including the client savings and City matching funds.

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

Children Advantage is available to families with involvement with the child welfare system and Fixed Income Advantage is available to families and individuals in receipt of a federal disability benefit. Clients in these programs receive one year of rental assistance and are eligible to apply for a priority Section 8 voucher. In FY 2008 4,959 Advantage leases were signed.

In 2008 DHS also partnered with the New York State Office of Temporary and Disability Assistance (OTDA) in serving the City's homeless population. In 2007, OTDA was awarded technical assistance from the federal Substance Abuse and Mental Health Services Administration (SAMHSA) to implement the SSI/SSDI Outreach, Access, and Recovery ("SOAR") initiative in the State. New York City is the pilot community for the New York State SOAR initiative. As a condition of initial and ongoing eligibility for assistance in New York,

individuals must comply with the requirement to apply for Supplemental Security Income (SSI) or Social Security Disability Insurance (SSDI) benefits where appropriate. The primary objective of SOAR is to ensure that these requirements are met by helping eligible homeless individuals, who may lack the skills needed to complete and follow-through with the SSI or SSDI application in the first instance, gain access to SSI/SSDI upon first application. Programs targeted for pilot year of initiative are Mental Health programs in shelters, Street to Home programs, Drop-in Centers, and Safe Havens. The collaboration among DHS, OTDA Division of Disability Determinations (DDD), and Social Security Administration (SSA) produced 4 trainings for staff from 14 contracted organizations. 2 additional trainings will be held in the fall 2008.

This is further enhanced by financial education and guidance. The Department of Consumer Affairs' (DCA) Office of Financial Empowerment (OFE) is working with DHS on Work Advantage's matched-savings component. They will help DHS clients access the tax credits they deserve as well as available banking options. In addition, guidance will be provided to clients on how to save and make their money grow for the future. As part of Mayor Bloomberg's aggressive efforts to fight poverty in New York City, OFE is the first city government initiative in the nation that works expressly to empower, protect, and educate workers with low incomes so they can make the most of their financial resources and break the cycle of poverty.

DHS also collaborates with the Administration for Children's Services (ACS) by conducting computer data matches of clients who utilize both services. The Work Advantage Program is also available to parents who are awaiting re-unification with their children. In addition, DHS and ACS work together on a Task Force to increase interagency coordination and communication to fully address the needs of homeless families with child welfare involvement.

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

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

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

DHS has also worked with the New York City Police Department's (NYPD's) Homeless Outreach Unit (HOU) together with the outreach services provided in the NYC subway system through the MTA Connections Program. Additionally, DHS and the NYPD have also established a protocol for identifying shelter clients who have outstanding arrest warrants where shelter staff can work together with clients to assist and support them in addressing and when possible vacating minor offense warrants in order to eliminate any impediments to permanent housing.

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

### Department of Health and Mental Hygiene

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

For a discussion on the Department's *Bureau of HIV/AIDS Prevention & Control* and consultation of HOPWA-related activities, please refer to Part I, Section D.2., Supportive Housing Continuum of Care for Special Needs Populations, b. Persons with HIV/AIDS.

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

### Human Resources Administration

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

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

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

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

### Department for the Aging

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

distributed, (approximately 2,000 copies are distributed to senior service providers, elected officials, community boards and organizations) with an appeal for response from the community. Public hearings are held once a year in each borough to receive comments and testimony on the Plan.

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

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

DFTA also works with other government agencies, service providers, the private sector, and elderly consumers to plan and advocate for housing resources that will meet the changing financial and physical needs and environmental preferences of the City's diverse and growing older population. The SCRIE (Senior Citizens Rent Increase Exemption) Program sponsors landlord "help sessions" in conjunction with the Department of Finance, which are designed to help building owners better understand the rent increase exemption program and the procedures involved. SCRIE also meets and works with landlord organizations to clarify program information for tenants and owners, and to facilitate the reconciliation of landlords' City property tax accounts.

DFTA works closely with the New York City Housing Authority, through a Memorandum of Understanding, to fund and operate over 100 senior centers throughout the five boroughs. DFTA and NYCHA also collaborate on outreach campaigns to notify seniors when there are public housing vacancies for senior-only units in their area.

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

The Aging in Place Initiative, formerly known as the Senior Housing Initiatives Unit, works to forge linkages with other governmental and non-profit agencies, and explore programmatic and financing options for supportive housing. With the NY State Office on Aging and HUD, the Aging in Place Initiative sponsors meetings and trainings for coordinators and case managers working in elderly housing settings or in housing locations where there is a high concentration of elderly residents. This collaborative group, called the Metro New York Service Coordinators Association, offers professional presentations, training and networking opportunities to over fifty professionals working in this specialized setting.

#### Mayor's Office for People with Disabilities

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

As noted in the section covering Institutional Structure, MOPD is a member of the City-wide ADA Task Force/Inter-Agency Disability Committee (IADC), which has the responsibility for formulating the City's approach regarding compliance with the Americans with Disabilities Act (ADA) and for helping City agencies to comply with the ADA. The IADC consists of representatives from each City agency. It addresses, among other things, the City's programs, benefits and services, including construction of housing such as the Department of Homeless Services' shelters and the Human Services Administration's domestic violence

shelters. The IADC is also concerned with the provision of services for people with disabilities in these programs and housing related programs provided by HPD.

#### Department of Youth and Community Development

The Department of Youth and Community Development provides services to runaway and homeless youth through a network of not-for-profit community based organizations. These organizations are chosen to receive funding through a competitive Request for Proposals (RFP) process. This portfolio of contracts is funded by a combination of City tax levy funds and State funds provided through the NYS Office of Children and Family Services (OCFS) and includes Emergency Shelter Grants through the United States Department of Housing and Urban Development.

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

#### Administration for Children's Services

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

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

Since August 2002, ACS has had access to NYCHA's Section 8 housing vouchers for qualified families whose only impediment to reunification was housing through the collaborative Family Unification Priority (FUP) Code Program. Through this program, ACS was able to obtain a voucher for any qualified family served by ACS, which would help keep families together when appropriate and safe, and reduce the amount of time some children may have spent in foster care. Also in cooperation with NYCHA, ACS developed a program to secure Section 8 vouchers for young adults leaving foster care who have a goal of Independent Living. ACS, in cooperation with the New York City Housing Authority, has 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. ACS has worked with NYCHA to share information so that ACS staff can track the progress of applications for housing on behalf of young people Children's Services also has secured priority Section 8 and NYCHA housing for youth living in foster care.

ACS and DHS exchange information regularly to identify families who come in contact with both systems and to work together to determine the best services to be put in place to support families entering and leaving shelter. ACS and DHS collaborated this year to create an innovative program to replace the Housing Stability Plus. Children's Advantage is a rental assistance program to help families in shelter who have open ACS cases and have been in the shelter for at least 90 days. Clients locate an apartment within the rent parameters. Landlords are ensured payment of up to one year with no interruption. Once the lease is signed, clients are then eligible for Section 8 priority, and certification is based on NYCHA standards.

To better serve our youth, ACS collaborated with the NYC Department of Housing Preservation and Development, Common Ground Community, and Good Shepherd Services to develop the country's first Foyer Program – a residential career development program for young people aging out of the foster care system, who

are homeless or at risk of being homeless. The Foyer Program is designed to prevent homelessness by offering a comprehensive transitional experience to independent adulthood. Participants work over an 18-month period towards goals of permanent housing and stable employment with career skills by the time of graduation. Residents participate in employment, educational mentoring and life-skills training programs. The 40-unit program is based on a European model and is the first of its type in the United States. With this innovative program, ACS is helping young people develop the tools and skills necessary to avoid homelessness as adults.

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

#### New York City Empowerment Zone

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

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

The Zone is governed by The New York Empowerment Zone Corporation, which is maintained by the City and State. The NYEZ Corporation Board of Directors consists of designees of the City, State, 16<sup>th</sup> Congressional District, 15<sup>th</sup> Congressional District, the Upper Manhattan Empowerment Zone Development Corporation, the Bronx Borough President and the Secretary of U.S. Department of Housing and Urban Development.

The fundamental mission of the Corporation is to assist the two local development corporations; The Upper Manhattan Empowerment Zone Development Corporation (UMEZ), representing the Upper Manhattan portion of the Zone, consisting of West, Central and East Harlem, Washington Heights and Inwood, and the Bronx Overall Economic Development Corporation (BOEDC) representing the Bronx portion of the Zone consisting of High Bridge (Yankee Stadium area), Mott Haven, Port Morris and Hunts Point. The Corporation facilitates the cooperation and engagement of State and City government entities in order to achieve strategic plan goals with regard to budgeting and payment of committed funds. Since the Zone was designated, the NYEZ Corporation has approved and committed over \$245,703,396 in loans and grants for implementation of initiatives and projects.

#### Local Development Corporation Responsibilities

The Upper Manhattan Empowerment Zone Development Corporation (UMEZ) and the Bronx Overall Economic Development Corporation (BOEDC) are the two designated Local Development Corporations that administer the initiatives in the Zone. Their mission is to expand the range and scope of economic activity, enhance capital opportunity for local businesses and institutions and improve the quality of life for residents, workers and visitors. Their duties include: 1) developing initiatives; 2) evaluating and modifying the Strategic Plan; 3) comprehensive planning and providing opportunities for involvement of the community; 4) selecting service providers and vendors for Zone programs and projects consistent with procurement; 5) negotiating contracts with vendors and service providers, and; 6) performance monitoring.

Businesses of all sizes in the Zone benefit from its available resources. In addition to attracting large, national retail companies to Harlem, EZ investments in small businesses will increase their access to capital and technical assistance, in order to create jobs for local residents and address neighborhood retail needs. UMEZ, for example, has created a performance-based incentive structure for community lending organizations like East Harlem Business Capital Corporation to assist with business planning, loan packaging, technology training, and business certification, while incentivizing them to reduce their reliance on EZ funds for operating support.

The EZ has also targeted the stabilization and growth of cultural institutions in Harlem and the Bronx as part of an overall strategy to re-energize these areas as unique cultural and shopping destinations. By providing grants and technical assistance, EZ has enabled Harlem cultural institutions like National Black Theater and Taller Boricua, and Ghetto Film School in the South Bronx, to diversify its programming and increase earned income while serving both artists and visitors.

UMEZ and BOEDC have also been focusing and implementing development strategies on several industries including ethnic and specialty food manufacturing, recycling, business services, retail, entertainment and tourism. With an investment from the EZ, BOEDC is advancing its commitment to encourage businesses in the Empowerment Zone to utilize sustainable technology in their business practices with a \$1 million fund for the installation of green roofs and solar panels. Through these technologies, BOEDC seeks to help businesses reduce their energy costs while improving air quality in an area where residents and workers suffer from asthma.

Since zone designation UMEZ and BPEDC have invested in over 27,698 primary businesses using EZ funds. These activities have created 12,962 jobs in the Empowerment Zone as of December 31, 2005.

#### EDC Activities in the Empowerment Zone

##### Central Harlem

- 125<sup>th</sup> Street Pilot Retail Incentive Program

UMEZ will offer no interest, forgivable loans to qualified entrepreneurs as an incentive for them to relocate or expand businesses intersecting at 125<sup>th</sup> Street (including 5<sup>th</sup> Avenue, Lenox Avenue, Adam Clayton Powell Boulevard and Frederick Douglas Boulevard from West 116<sup>th</sup> Street to West 135<sup>th</sup> Street). The total loan pool for the “On the Street” incentive is \$250,000, and the total loan pool for the “On the Ave” incentive is \$500,000. The program will end July 31, 2009

- Studio Museum of Harlem

The Studio Museum in Harlem (“SMH” or “the Museum”) is located in the heart of 125<sup>th</sup> Street and is dedicated to exhibiting, collecting and interpreting visual art by African American artists and artists of African descent worldwide. The Museum is led by Director and Chief Curator Thelma Golden—one of the foremost African American museum professionals, curators and authorities on black art and culture. UMEZ will provide a 1:1 matching grant of up to \$1,741,235 million towards total project costs of \$3.45 million over three years for institutional capacity building and stabilization activities. With the intention of reaching the next level of professional maturation, the Museum seeks to attain the consistent support of four specific functional areas within the organization: fundraising, marketing, visitor amenities, and rental programs.

##### West Harlem

- Heritage Health & Housing Inc.

The Upper Manhattan Empowerment Zone is providing a \$100,000 operational grant to Heritage Health and Housing, Inc. to assist in the implementation of the Main Street grant program. The Main Street grant, “brick and mortar” funding is provided by the Division of Housing and Community Renewal and will target the area of Amsterdam Avenue from 140<sup>th</sup> Street to 145<sup>th</sup> Street, including the intersection of Hamilton Place and Amsterdam Avenue. The net impact of this project will be physical improvements to minimum of six buildings and six storefronts in the project area along with a significantly improved streetscape.

- New York Women's Chamber of Commerce

Formed in August of 2002, The New York Women's Chamber of Commerce (NYWCC), is the first and only Women's Chamber of Commerce in the City and State of New York. A not-for-profit 501 (c3) organization, NYWCC is dedicated to fostering women's economic, leadership and professional development through business, micro enterprise and self-employment development initiatives. In 2007 the Upper Manhattan Empowerment Zone awarded a \$150,000 one year grant to NYWCC to provide the following: twelve (12) business plans for loan packaging (five of which should be presented to the BRISC); 900 technology and business training modules; and 100 certifications.

East Harlem: Planned or Underway

- Alianza Dominicana

Alianza Dominicana: Construction of a new building on a City-owned lot. The new building will house Alianza Dominicana's main offices and will include retail space on the first floor and a range of community services on the upper floors (education and counseling, youth services and employment training). The project total cost is \$19.2 mm, of which \$9.8 mm. will be provided by the EDC through a Funding Agreement to pay for construction costs. Other funding includes \$228,000 from the State and \$621,753 in Federal funding. UMEZ provided a \$2.75 million construction loan. Project is expected to be completed in late 2009.

- Hope Community

The Upper Manhattan Empowerment Zone is providing a \$100,000 operational grant to Heritage Health and Housing, Inc. to assist in the implementation of the Main Street grant program. Hope Community was created in 1968 by a group of East Harlem residents who jointly acquired an abandoned tenement building on East 104th Street and renovated it, creating eight affordable apartments. From that modest beginning, Hope Community has grown and expanded into one of New York City's largest community housing organizations.

- El Museo del Barrio

The UMEZ Board approved and closed a grant award of up to \$2,000,000 over three years, to El Museo del Barrio for the implementation of its strategic plan. As a result of UMEZ's proposed three-year investment in strategic plan implementation, the Museum would have created ten new jobs, deepened its relationships in its founding community, increased its earned income to or beyond industry norms, appreciably expanded its earned income base, and established its first formal marketing and communications department.

Bronx: Hunts Point

- Streetscaping, Pedestrian Enhancements and Truck Route Signage

NYCEDC is sponsoring \$2.17 million in Federal TEA-21, State multi-modal, and Iroquois grants originally secured by HPEDC. The funding is planned to be used to design and begin construction of streetscape improvements and truck route signage that will enhance the Hunts Point community, help prevent trucks from entering residential streets and make the community safer and more pedestrian friendly. Additional funds for this project were committed by the Mayor and Borough President as part of the Hunts Point Vision Plan.

- South Bronx Greenway

As part of the recommendations of the Hunts Point Vision Plan, NYCEDC has partnered with two local not-for-profit groups Sustainable South Bronx and the Point Community Development Corporation to create a plan for a greenway in the South Bronx. The greenway will connect the South Bronx with regional recreational facilities and new points of waterfront access, improving quality of life and environmental quality. Funding for first phase greenway projects has been secured, the projects are currently in design.

- Hunts Point Site C:

EDC successfully marketed and released an RFP for development of this vacant site within the food distribution center in 2004. Anheuser Busch was selected in Fall 2005 to develop an approximately 180,000-SF warehouse and distribution facility on the site. The project is anticipated to create



approximately 100 new permanent jobs and retain approximately 322 existing jobs. Anheuser Busch broke ground in September 2007.

#### Bronx: South

- The South Bronx Initiative is an interagency effort led by Deputy Mayor Robert Lieber's office to develop an action framework for the next phase of public and private investment in the South Bronx. Through this initiative, the City will identify ways to best focus its resources to build on unique assets and recent improvements in Port Morris, the Hub, Civic Center, and Melrose Commons - and to find new opportunities for sustaining commercial districts and residential communities throughout the South Bronx. The South Bronx Initiative is a collaborative effort between an Interagency Working Group and a Community Advisory Group that includes elected officials, Community Boards 1, 3 and 4, business groups, local institutions, and other stakeholders in the South Bronx. The action framework should be complete by December 2007.
- Yankees: EDC is funding \$6.4 mm related to infrastructure for the building of a new stadium in the Bronx. The new stadium will house the New York Yankees baseball franchise.
- Bronx Parking Facilities: In connection with the construction of the new Yankee Stadium, the City, NYCEDC and ESDC agreed to select a developer/contractor, to construct City park facilities, public parking facilities and related streetscape and infrastructure improvements in the vicinity of the new Yankee Stadium. The City allocated, through NYCEDC, capital budgets funds of \$32 million, to pay for hard and soft costs related to the construction of City park facilities and for related infrastructure improvements. ESDC agreed to make a capital contribution of up to \$70 million towards the construction of 3 new parking facilities. The Developer will be expected to construct, improve, maintain and operate the facilities with the exception of the rooftop park that will be owned and maintained by the City of New York Parks Department. We have selected the Bronx Parking Development Company as the Developer and a joint venture between Prismatic Development Corporation and Hunter Roberts Construction Group as the General Contractor. We anticipate closing and starting construction this fall.

#### Bronx Overall Economic Development Corporation (BOEDC)

The BOEDC continued to make loans of EZ-funds to BEZ businesses, to bolster development and support the use of environmentally-friendly technologies and equipment. To approve loans to BEZ-based arts and cultural institutions and organizations by providing financial support as they enhance the overall quality of life in the BEZ. In furtherance of this, the BOEDC accomplished the following with respect to the lending of EZ-funds in the First Quarter of 2008:

Through the "*BEZ Not-for-Profit Loan Fund*", which is a loan fund that can be structured short-term (up to 90-days), 0%-interest loans, of up to \$100,000, to BEZ Non- and Not-for-Profits, to keep them operating while they await receipt of funding guaranteed from other sources, the following projects were completed:

- *Per Scholas* – a 90-day bridge loan of \$100,000 was approved for this BEZ-based computer training and recycling organization to alleviate the cash flow problems it incurred due to the delay in payment to it of confirmed grants totaling \$338,383; and
- *The Bronx Council on the Arts* – a 90-day bridge loan of \$100,000 is in the process of being approved for this BEZ-based umbrella arts and culture group to sustain it while it awaits guaranteed contract funds from various City and State agencies;
- Through the "*BOEDC/Accion New York, Inc., BEZ Micro-loan Fund*", which is a loan-fund launched in February of 2008 through which the BOEDC has provided EZ-funds to a local micro-lender, ACCION New York, Inc., to structure loans ranging from \$5000 -\$50,000 to BEZ small-businesses, three (3) such loans, totaling \$40,000, have been made. In addition, applications for

fifty-seven (57) such loans have been accepted and are in the process of being evaluated; it is estimated by ACCION that as many as 20% of these loans will ultimately close.

*Grant Making with EZ-funds:* In continuing to provide grants for projects that, among other things, lower energy usage and/or otherwise lessen negative environmental impacts in the BEZ, the BOEDC accomplished the following in the First Quarter of 2008:

Through its “*EZ Environmental Fund*”, from which grants of up to \$100,000 to BEZ are approved to building owners to assist fund the installation of either photo-voltaic (“solar-panel”) or green-roof systems, the following were made:

- ABC Carpet – a grant of \$100,000 was approved for the installation of a 150KW photovoltaic system on ABC Carpet’s building located at 1055 Bronx River Avenue (this grant will be made in conjunction with a rebate of \$175,000 from NYSERDA and an investment of \$865,000 by ABC Carpet); and
- Aggressive Shade & Glass – a grant of \$100,000 was approved for the installation of a 13.64KW photovoltaic system on Aggressive’s roof at 697 East 132nd Street.

*The Commencement of the Hunt’s Point Hybrid-Electric Shuttle Bus Service:* In continuing its efforts to lessen negative environmental impacts on the BEZ, the BOEDC oversaw the physical roll-out of the partially EZ-funded Hunt’s Point Clear Air Transportation (HP CAT) hybrid-electric shuttle-bus service, designed to provide an environmentally-friendly (and previously non-existent) transportation option for Hunts Point workers. Specifically, BOEDC registered and provided access cards and route materials to approximately 338 Hunts Point workers from over 30 Hunts Point companies. Currently, BOEDC is in the process of collecting and processing specific rider-data to both report on how far employees must travel to work and their commute times and to also understand how to better service the employees that work in the Hunts Point area.

*Staffing and Job Placement Assistance:* In a continued partnership with the New York City Department of Small Business Services and others to operate the Bronx Business Solutions Center (“the BSC”), fifty-three job orders were taken from EZ-based companies looking to hire new employees and forty-six people living in EZ zip codes were placed in new jobs. Overall, eighty-six people living in EZ zip codes were referred to potential employment opportunities.

In February 29, 2008, BOEDC partnered to run the United Caribbean Congress (“the UCC”) Bronx Job Fair at the Bronx County Building in the Bronx Empowerment Zone. This event was attended by over 700 job-seekers and featured several prominent Bronx EZ-based businesses.

*Access to Training Funds Assistance:* Through the BSC, Paper Enterprises, Inc., a BEZ-based business, was assisted in applying for training grants from the NYC Department of Small Business Services.

*Real Estate Referral Assistance:* In a continued effort to connect potential buyers or lessees and potential sellers or lessors, the BOEDC continued to maintain and administer an ownership database of available Bronx real estate. This includes real estate located in the BEZ and will provide a free-to-all referral service. The BEZ, accomplished the following:

- Visiting Barber Services – expansion space was identified for this BEZ-based company and it is evaluating a move to this location; and
- The Taylor Group Plumbing – expansion space was also located for this BEZ company.

*Procurement Opportunities Assistance:* The BOEDC Gateway Unit continued to assist BEZ-based contractors and suppliers in securing opportunities to supply goods and services to the Gateway Mall project - a major retail

development project in the BEZ. Specifically, the following BEZ-based companies were assisted in the First Quarter in gaining procurement opportunities for the project:

- Casa Redi-Mix;
- Bronx County Recycling;
- Benfield Electric Supply; and
- Modern Inc.;

*Tourism and Cultural Event Assistance:* In a continuing effort to support the cultural enrichment of the BEZ and to foster tourism therein, the following was accomplished by BOEDC in the BEZ in the First Quarter of 2008:

- On February 20<sup>th</sup>, the borough's official Dominican-heritage celebration was held in the Bronx County Building in the Empowerment Zone. At this event, hundreds of Dominican-Americans, both from the immediate area and citywide, celebrated this growing ethnic population's heritage in the borough;
- On March 24<sup>th</sup>, the borough's official Lunar New Year celebration was also held in the Empowerment Zone's County Building. Asian New Yorkers from throughout the city were welcomed to the EZ for a traditional celebration; and
- The Bronx Culture Trolley held two promotional special events. The free hop-on, hop-off service was provided to allow easy transportation access to the BEZ cultural destinations of The Pregones Theater, the Bronx Museum of the Arts and The Hostos (C.U.N.Y.) Center for Art & Culture.

*Other Individual BEZ-Business Outreach Success:* The BOEDC continued implementation of the Bronx Small Business Initiative Phase II, the second phase of a program designed to use EZ-funds to provide technical and other assistance to BEZ businesses in the following areas: financial services; business plan development; procurement opportunities and EZ benefits, workforce development and real estate advice. Specifically, after performing a detailed analysis by BOEDC of each business' needs, the following was accomplished in the First Quarter of 2008:

- Gotham Yellow Cab LLC – this BEZ-based yellow cab company, with a fleet of 233 cars, was referred four people to fill positions as mechanics and a bookkeeper; it was also provided with technical assistance in dealing with the Department of Traffic Enforcement with regard to the enforcement of a taxi-parking rule at its location; and lastly, New York State Empire Zone certification application on its behalf was completed and submitted;
- Affordable Office Services, Inc. – this BEZ-based buyer and seller of new and pre-owned office furniture was assisted in the identification of various New York City VENDEX issues, and it was also provided with assistance from Manhattan College graduate school students to develop a marketing and sales-strategy plan; it was supported with professional computer consulting services to analyze its technology needs;
- New York Beverage Wholesalers, Corp. – this BEZ-based retail and wholesale beverage distributor was introduced to Health Plus representatives receiving training for a health-plan enrollment seminar for its employees;
- Custom Design Studio – this BEZ-based antique restorer and fine-furniture upholsterer was also partnered with Manhattan College graduate school students to develop a marketing and sales-strategy plan and was referred to the Small Business Development Center at Lehman College to assist in the development of a business plan and the compilation of financial projections necessary to obtain the required financing;

- Buffalo Provision Co. – this BEZ meat processing company was also partnered with Manhattan College graduate school students to develop a marketing and sales-strategy plan and was referred to the Small Business Development Center at Lehman College to assist in the development of a business plan; it was also provided professional website development services;
- Latino Sports Ventures, Inc. – this BEZ-based sports promotion/marketing company was similarly partnered with Manhattan College graduate school students to develop a marketing and sales-strategy plan and was referred to the Small Business Development Center at Lehman College to assist in the development of a business plan; and provided with professional website development services;
- Globus Cork – this BEZ-based manufacturer of cork flooring partnered with an IT consultant to upgrade their computer network systems and revamp their website to make it more interactive; they were referred to the Manhattan College marketing program. In terms of immediate physical need, Globus was provided technical assistance in relations with the Department of Environmental Protection.

### HPD Activities in the Upper Manhattan Empowerment Zone

#### Housing and Community Development Projects

In addition to the thousands of units of housing HPD has already assisted in the New York City Empowerment Zone, HPD currently has approximately 40 housing projects in various stages of development located within the zone and 39 parcels that will be programmed. They encompass a broad range of HPD's rehabilitation and new construction efforts, including Bradhurst Redevelopment Project, Bradhurst Urban Renewal Plan, CityHome, Habitat for Humanity, Homeworks, Neighborhood Entrepreneurs Program, New Homes Program, Neighborhood Redevelopment Program, Cornerstone, ANCHOR, Partnership Rehab, Section 202 Housing for the Elderly, New Homes Opportunities Program, Vacant Building Program and many other special development projects. The 40 projects will result in approximately 4,910 units of housing. In the last ten years, HPD has initiated a total of 363 projects within the Zone, resulting in approximately 26,660 units of housing.

### Coordination with Empowerment Zone

#### City of New York

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

Through its partner agencies, the Upper Manhattan Empowerment Zone Development Corporation (UMEZ) and the Bronx Overall Economic Development Corporation (BOEDC), the City's Economic Development Corporation, Department of Business Services, Department of Citywide Administrative Services, Department of Employment, Department of Housing Preservation and Development and the State's Empire State Development Corporation, the City also provides funding, technical assistance and support in the areas of site location/acquisition, procurement, business and real estate development.

#### State of New York

The Governor's office has served as part of the EZ coordinating team since the initial days of the strategic plan. The Empire State Development Corporation (ESDC) is the lead state agency responsible for the State's \$100 million investment in the Empowerment Zone. There are a number of state agencies involved in the activities of both Zones; Empowerment (EZ) and Economic Development (EDZ). The EDZ is an economic development program located in portions of the Bronx and Upper Manhattan. This program complements benefits derived through the federal Empowerment Zone. The EDZ benefits support and enhance the Empowerment Zone's re-development activities and include:

- **EDZ Wage Tax Credit** provides employers with up to \$1500 wage tax credit for each targeted employee paid at least 135% of the minimum wage and a \$750 credit for other individuals employed in

the EDZ. Targeted employees include New York State residents that are eligible for the federal Targeted Jobs Credit Act, or for the federal Job Training Partnership Act, are previously unemployed, public assistance recipients, or have income below the US Commerce Department's established poverty level. This credit may be taken for up to five consecutive years and is only appropriate to firms that expand by adding new full-time employees.

- **EDZ Investment Tax Credit (EDZ-ITC)** is available for investments on manufacturing property, industrial waste treatment facilities, air pollution control facilities, and research and development property acquired or built in the Economic Development Zone. Corporate businesses are entitled to a 10% investment tax credit, while personal income taxes (i.e., sole proprietorship) are entitled to an 8% investment tax credit.
- In conjunction with the Empowerment Zone, investment tax credit, the **Employment Incentive Credit (EDC-EIC)** provides an additional three percent credit (or 30% of EDZ investment credit) for corporations that continue to expand EDZ employment (employing at least 101% of the average number of employees in the year before the EDZ investment tax credit was claimed). This credit may be claimed in each of the three years following the year in which the EDZ investment tax credit was claimed.
- **25% capital tax credit** is available for qualified investments and contributions to EDZ capital corporations, investments in certified zone businesses, and contributions of money to non-for-profit community development projects that have been approved by the Economic Development Zone Board.
- **State sales tax exemption** is available through a refund credit process to the contractor or builder for purchases of building materials used in connection with industrial or commercial property. This exemption does not apply if the property is to be used exclusively by one or more retail vendors.

Please call the Mayor's Office New York City Empowerment Zone at (212) 788-4357 for more information. Internal Revenue Service (IRS) forms are available on the Internet [www.irs.ustreas.gov](http://www.irs.ustreas.gov), by a toll-free telephone number (1-800-829-3676), or by computer and modem (1-703-321-8020-modem settings N, 8, 1).

#### Private Sector

The NYEZ uses its public investment pool of \$300 million to encourage private investment in Upper Manhattan and the South Bronx. As of December 31, 2005, the NYEZ Corporation has approved more than \$227 million of Empowerment Zone initiatives and leveraged more than \$800 million in private investment. As a result, more than 11,823 jobs have been created in the Zone.

Institutional Commitments: Upper Manhattan's healthcare cluster is led by six major hospitals including Columbia Presbyterian and Mt. Sinai. With managed care driving a transformation of the health services industry, growth opportunities exist in managed care facilities, home health care, nursing and other outpatient services. Among the 27 colleges and universities in Upper Manhattan, Columbia University, City College and Yeshiva University are the most renowned.

#### EZ Tracts

The Upper Manhattan portion of the New York Empowerment Zone includes Central, East and West Harlem, Inwood and Washington Heights. The South Bronx portion includes Hunts Point, Port Morris, Mott Haven and the Yankee Stadium/Highbridge area. The NYEZ address/tract directory is at the Housing and Urban Development (HUD) web site at [www.hud.gov/offices/cpd/ezec/tour](http://www.hud.gov/offices/cpd/ezec/tour).

A map depicting the 1990 census tracts which comprise the New York Empowerment Zone has been provided at the end of this subsection.

#### Accomplishments within the Empowerment Zone

The New York Empowerment Zone Corporation (NYEZC) submits an annual report to HUD on activities and funding expenditures within the EZ. A New Yorker interested in accessing a summary of accomplishments can

access the Empowerment Zone's website at: <http://www.ci.nyc.ny.us/html/om/html/nyez.html> or on HUD's website at: <http://www.hud.gov/offices/cpd/ezec/>.

#### Coordination with the Consolidated Plan

The NYEZ is fully consistent with the Consolidated Plan. In fact, many of the goals identified in the Empowerment Zone program for Upper Manhattan and the South Bronx are identical to the Plan's basic goals. One of the objectives of the City's consolidated housing plan is to expand economic opportunity to low and moderate income households. An NYEZ Home Buyer Education initiative informs residents of available opportunities, provides credit counseling and connects them to the Fannie Mae Foundation for source referrals.

The workforce development initiative will provide employers access to a reliable EZ resident labor pool of varying skill levels and specialties. It will provide for assessment and address training, placement and support needs for job seekers. This initiative will be comprehensive and will provide an array of essential services to meet the needs of both job seekers and employers. These are a sampling of objectives of the Upper Manhattan and South Bronx Empowerment Zone program. The EZ application also cites commercial revitalization and maintenance of the built environment in the Empowerment Zone. This policy is a primary goal of New York City's overall housing policy as expressed in the Consolidated Plan.



## **H. HOME HUD Requirements**

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

### **1. HOME Resale Provisions**

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

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

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

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

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

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



### Model 1

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

### Model 2

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

### Model 3

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

### Model 4

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

### Model 5

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

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

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

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

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

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

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

## **2. Forms of Investment**

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

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

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

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

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

### **3. Affirmative Marketing/MBE-WBE Outreach**

#### Affirmative Marketing Strategies

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

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

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

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

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

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

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

#### Minority/Women Business Enterprise

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

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

#### Equal Opportunity and Fair Housing

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

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

#### Employment and Training

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

#### **4. Targeted Outreach to Residents of Public Housing**

##### Outreach to the New York City Housing Authority (NYCHA)

In accordance with federal regulations at 24 CFR91.220(g)(2)(iv)(B), HPD's plan for its American Dream Downpayment Initiative (ADDI) program includes plans for conducting targeted outreach to residents public housing agencies, for the purposes of ensuring that its ADDI funds are used to provide downpayment assistance for such residents. The following summarizes the actions taken to date:

HPD staff have met with NYCHA staff several times to discuss the promotion of its ADDI-funded HomeFirst Down Payment Assistance Program to tenants who reside in NYCHA public housing. In a joint marketing effort between HPD and NYCHA, HPD planned and hosted Homebuyer Seminar for residents of the Soundview Houses in the Bronx. The workshop provided residents with information about the homebuyer readiness, education, the mortgage process and down payment and closing cost assistance made available through HPD's HomeFirst Program. For 2009, HPD plans follow-up seminars for residents of NYCHA public housing to market HomeFirst in conjunction with planned development designated for NYCHA's Soundview Ave. Project Sites.

HPD has conducted several presentations at NYCHA developments where the HomeFirst Program was explained in detail. Homefirst Program brochures were distributed to those in attendance, and attendees had ample time for questions and answers. The program was also explained to all of NYCHA's building managers so that they can provide information to their residents and refer them to HPD. HPD will continue these outreach efforts in 2009.

The HomeFirst Program was advertised in the June 2008 issue of NYCHA's monthly newsletter, "The Journal" which is distributed to all of the residents of its public housing sites throughout the five boroughs. In conjunction with HPD's Homeownership awareness month activities for June 2009, HPD will work to secure funds to purchase space for a HomeFirst ad in the NYCHA Journal.

As part of the program's broader marketing strategy, HomeFirst will support the ongoing marketing activities of its participating homebuyer counseling agencies that will target NYCHA residents as part of their outreach efforts in 2009.

On the pay stub of every New York City employee, a message appeared during one pay period, directing employees to HPD's web site for information about its ADDI-funded HomeFirst Program. The HomeFirst Program will place a message on one month's pay stub in 2009.

##### Coordination Internally with HPD's Division of Tenant Resources

HPD's Division of Housing Production (formerly known as the Division of Homeownership) has been coordinating with HPD's own Division of Tenant Resources, to make down payment assistance available to its Section 8 tenants. That effort has proven fruitful to the extent that seven Section 9 tenants purchased homes with down payment assistance provided by the Homefirst Program to date, one of them over the past year.

It is difficult to project just how many HPD Section 8 tenants will access HPD's down payment assistance program in calendar 2009 due to the current crisis in the market and its attendant effects.

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

### **The County of Putnam (P-OTR-404)**

Funding: **\$68,929**

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

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

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

The approximate costs of the activities are as follows:

Tenant-based Rental Assistance	\$64,104
Project Sponsor Administrative Expenses	\$4,825

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

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

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

### **The County of Rockland**

Funding: \$429,239.00

The County of Rockland will utilize \$429,239.00 to finance a tenant-based assistance program with the client/household portion of the rent payment, plus the Department of Social Services shelter allowance for qualifying households. This leveraged financing is estimated to provide approximately \$800,000.

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

The County of Rockland will also utilize funds for a second HIV/AIDS housing complex with a tenant based

rental assistance program, bringing the total count of assisted persons and their families to 34.

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

Tenant Based Rental Assistance (Rockland County Office of Community Development)	\$316,987
Counseling Services (Rockland County Health Department)	\$35,000
Legal Services (Legal Aid Society of Rockland)	\$35,000
Client Services (Rockland County Office of Community Development)	\$42,252

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

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

### **The County of Westchester (P-OTR-406)**

**Funding: \$2,240,188**

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

Westchester County Programs	\$1,430,983
Westchester County Administrative Expenses	\$67,205
City of Yonkers	\$357,000
City of Mount Vernon	\$385,000

In prior grant years, the County of Westchester allocated HOPWA grant funds directly to the City of New Rochelle, which is located within Westchester County. In Grant Year 2009, the City of New Rochelle will not receive a HOPWA grant allocation from the County of Westchester.

Persons living with HIV/AIDS who live in the City of New Rochelle are still receiving supportive services through other funding sources such as Ryan White and Medicaid. In addition, housing services are being provided to residents of the City of New Rochelle by other HOPWA-funded providers in the County of Westchester, including Grace Church Community Center and the City of Mount Vernon.

In 2007, the City of New Rochelle issued a request for proposals (RFP) for nonprofit organizations to receive funding to provide housing and supportive services to persons living with HIV/AIDS residing in the City of New Rochelle. The City of New Rochelle did not receive any responses to the RFP and as a result opted to relinquish their HOPWA funding back to the County of Westchester.

### **Westchester County Programs**

In Grant Year 2009, Westchester County will use \$1,430,983 of HOPWA funds to continue operating its Rental Assistance Program with Case Management Services. The County will use HOPWA funds based on the needs for permanent housing for persons living with HIV/AIDS and their families. There are approximately 86 households receiving rental subsidies assistance under the Tenant-Based Rental Assistance Program and in Grant Year 2008, approximately 71 households received Short-Term Rent, Mortgage, or Utility Assistance being administered by Grace Church Community Center, Inc. (GCCC). Based on the HOPWA waiting list from

GCCC, there is an unmet need for permanent supportive housing of 140 individuals with HIV/AIDS. HOPWA funds will be used to provide rent subsidies for at least 90 households with case management services for each client as well as short-term rent, mortgage and utility assistance to approximately 50 clients who are facing evictions or utility shut-off services. Due to the poor physical health of program participants, they are less likely to work and, thus, more likely to rely upon social security income and other forms of public assistance, including HOPWA, to pay their housing costs.

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

Tenant-Based Rental Assistance Program (TBRA)	\$945,000
Short-Term Rent, Mortgage and Utility Assistance (STRMU)	\$62,000
Supportive Services (case management services, per diem clinician, HQS inspector and other supportive services)	\$423,983
Total	\$1,430,983

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

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

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

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

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

The greatest unmet need among the HIV infected and affected populations is for better housing and rental assistance. In accordance with New York State Department of Health, the total number of persons living with HIV and/or AIDS in Westchester County as of December 2005 was 3,575. The HOPWA Rental Assistance Program directly addresses this need.

Housing opportunities for PLWH/A, both permanent and transitional, are extremely limited in Westchester County. Shelter accommodations provide temporary housing to those choosing to identify their HIV-positive status to the Department of Social Services. In Westchester County, emergency housing resources for PLWH/A consist solely of the Valhalla Residence with 19 beds operated by Volunteers of America. St. John's Riverside Hospital (formerly Yonkers General Hospital) operates an AIDS Outreach Designated Center enabling them to reserve 12 inpatient beds for individuals with HIV/AIDS. The permanent housing targeted for this population is limited at this time and the demand for suitable housing grows as the number of AIDS cases grows. The Rental Assistance Program developed with HOPWA funds provides needed financial resources and supportive services



targeted to low-income persons with HIV/AIDS. In addition, Ryan White Title I funds have been appropriated to establish a shallow rent and utility assistance program County-wide, which is administered by Grace Church Community Center and served approximately 162 individuals (unduplicated count) as of the end of the reporting period.

The Westchester County Department of Planning also provides funds for eviction prevention through the Emergency Shelter Grant (ESG) programs and the County recently awarded local funds to fund an eviction prevention program. Those funds flow through several neighborhood housing organizations that provide counseling, referrals, and arrears subsidies to households that are in danger of becoming homeless. These awards are used to provide assistance to eligible applicants throughout the Urban County Consortium communities. County funds will be used throughout the County of Westchester. In the past years, several clients assisted through this program have become eligible for Section 8 subsidies and have graduated from the HOPWA-funded program.

### **The City of Yonkers**

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

#### 1. Greyston Health Services – \$178,500

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

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

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

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

#### 2. The Sharing Community – \$178,500

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

- Emergency rent/utility payments when needed to avert immediate eviction; and

- Ongoing rent subsidies for eligible clients who cannot find quality affordable housing without such support.

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

The Sharing Community will use \$37,812 to assist HOPWA eligible households to secure rental assistance through the HOPWA's Tenant-Based Rental Assistance and Short-Term Rent, Mortgage and Utility Assistance Programs. Sharing Community Staff will work closely with case managers to identify those clients that need housing assistance. It is expected that the case managers will provide clients with training on how to work with landlords, brokers, public agencies and other resources to locate and secure quality affordable housing. In addition, these case managers will help clients to develop realistic personal budgets, to determine how much they can afford for housing, to explore alternatives such as shared housing, and to access all available housing subsidies. The counselor will refer clients with landlord/tenant difficulties to CLUSTER's Housing Resource Center or to Westchester Legal Services. Case management services will be supported with other funding source.

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

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

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

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

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

### **The City of Mount Vernon**

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

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

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

Mount Vernon will use \$211,160 to continue to provide case management services and coordination of referrals. HOPWA funded case managers will provide intensive and comprehensive case management to more than 65 households (individuals and families) in Mount Vernon. Services will include, but not be limited to, assistance in accessing housing entitlements, budgeting, primary health care, advocacy, nutritional support, legal services, substance use and mental health programs, dental care, buddy/respice services, vocational training, emergency financial assistance and permanency planning. The case managers, along with the Director, also serve as HIV resources and provide technical assistance to the Department of Social Services, Mount Vernon Hospital, Mount Vernon Neighborhood Health Center, Planned Parenthood, the Council of Community Services and other community based agencies including the local homeless shelters (WestHELP, WESTHAB and Naomi House).

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

## 2. Nutritional Services

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

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

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

The City of Mount Vernon will use \$93,000 to administer a Tenant-Based Rental Assistance Scattered-Site Housing Program. The program will serve approximately 15 individuals and their families of which at least five (5) HOPWA eligible households will be residents of the City of New Rochelle. Due to increased demand, the City developed a waiting list and as of June 2008, there were 17 individuals waiting for rental subsidies assistance. The City also receives funding through a Continuum of Care for the Homeless Grant that will be used for additional housing subsidies.

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

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

<b>Project Code Program Name</b>		<b>Amount</b>	<b>Amount Jurisdiction Expects to be Received in Federal Fiscal Year '09 (A)</b>	<b>Proposed Accomplishment (B)</b>
	HOUSING OPPORTUNITIES FOR PERSONS WITH AIDS - EMSA		\$2,738,356	*****
P-OTR-0404	RENTAL ASSISTANCE/COUNTY OF PUTNAM	\$68,929		Tenant-Based Rental Assistance (TBRA) 12 People
P-OTR-0405	RENTAL ASSISTANCE/COUNTY OF ROCKLAND	\$429,239		Tenant-Based Rental Assistance (TBRA) 34 People (Individuals and Families) Supportative Services-Counseling and Legal Services 34 People (Individuals and Families)
P-OTR-0406	COUNTY OF WESTCHESTER County of Westchester	\$2,240,188		Tenant-Based Rental Assistance (TBRA) 90 Households (Individuals & Families) Short-term Rent, Mortgage, Utility (STRMU) Assistance 50 Households (Individuals & Families) Support Services - Case Management 90 Households (Individuals & Families)
	City of Yonkers			Facility Based Housing 35 Households (Individuals & Families) Support Services - Case Management 45 Households (Individuals & Families) Short-Term Rent, mortgage, utility (STRMU) Assistance 15 Households (Individuals & Families) Tenant-Based Rental Assistance (TBRA) 12 Households (Individuals & Families) Support Services - Nutriton Servives (Meals for HIV cong 17 Individuals
	City of Mount Vernon			Support Services - Case Management 65 Individuals

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

Project Code	Program Name	Amount	Amount Jurisdiction Expects to be Received in Federal Fiscal Year '09 (A)	Proposed Accomplishment (B)
       	       	       	       	Tenant-Based Rental Assistance (TBRA) 15 Households (Individuals & Families) Support Services - Nutriton Servives 55 Individuals

## **J. Certificate of Consistency Chart**

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

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

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

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

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

A copy of the unified response for the 2008 HUD Competitive Grant SuperNOFA has been included as Appendix 7 as a reference.

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

HOUSING PROGRAMS	LEAD AGENCIES	CONTACT PERSON	TELEPHONE NUMBER	FAX NUMBER
HOPWA	DOHMH	John Rojas	212-788-3692	212-788-4372
HUD CONTINUUM OF CARE HOMELESS ASSISTANCE PROGRAMS Supportive Housing Program (SHP), Shelter Plus Care (S+C) and Section 8 Moderate Rehabilitation Single Room Occupancy (SRO)	DHS	Anthony Stasi	212-607-6238	212-487-8840
SECTION 202 SUPPORTIVE HOUSING AND ASSISTED LIVING CENTERS	DFTA	Karen A. Shaffer	212-442-3100	212-442-3169
SECTION 811 SUPPORTIVE HOUSING	MOPD	Jason Mischel	212-788-2830	212-788-2858
FAIR HOUSING INITIATIVE PROGRAM	DCP	Charles Sorrentino	212-720-3337	212-720-3495
HOUSING COUNSELING PROGRAMS	DCP	Charles Sorrentino	212-720-3337	212-720-3495
UNIVERSITY AND COLLEGE PROGRAMS	DCP	Charles Sorrentino	212-720-3337	212-720-3495
YOUTHBUILD (U.S. Dept. of Labor Grant)	DCP	Charles Sorrentino	212-720-3337	212-720-3495
HOPE VI PUBLIC HOUSING REVITALIZATION	DCP	Charles Sorrentino	212-720-3337	212-720-3495
SECTION 213(A) REVIEW	DCP	Charles Sorrentino	212-720-3337	212-720-3495

## **K. Certifications**

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

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

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

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

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



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

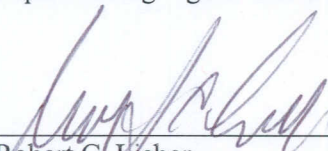
**Anti-Lobbying --** To the best of the jurisdiction's knowledge and belief:

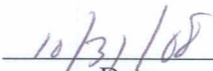
- 1. No Federal appropriated funds have been paid or will be paid, by or on behalf of it, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with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

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

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

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

  
\_\_\_\_\_  
Robert C. Lieber  
Deputy Mayor, City of New York

  
\_\_\_\_\_  
Date

## Specific CDBG Certifications

The Entitlement Community certifies that:

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

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

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

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

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

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

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

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

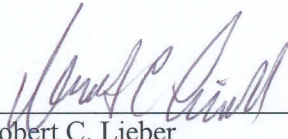
1. A policy prohibiting the use of excessive force by law enforcement agencies within its jurisdiction against any individuals engaged in non-violent civil rights demonstrations; and

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

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

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

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



Robert C. Lieber  
Deputy Mayor, City of New York

10/31/08

Date

## Specific HOME Certifications

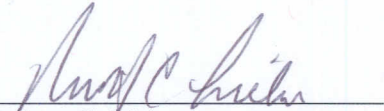
The HOME participating jurisdiction certifies that:

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

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

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

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



Robert C. Lieber  
Deputy Mayor, City of New York

10/31/08  
Date

## ESG Certifications

The Emergency Shelter Grantee certifies that:

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

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

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

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

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

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

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

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

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

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



Robert C. Lieber  
Deputy Mayor, City of New York

10/31/08  
Date

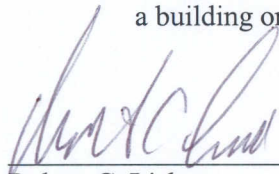
## HOPWA Certifications

The HOPWA grantee certifies that:

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

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

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



Robert C. Lieber  
Deputy Mayor, City of New York

10/31/08  
Date

## APPENDIX TO CERTIFICATIONS

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

#### A. Lobbying Certification

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

#### B. Drug-Free Workplace Certification

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

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

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

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

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

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

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

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



## **L. Monitoring Standards and Procedures**

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

### Internal Monitoring

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

In addition, all programs and subrecipients shall be required to report to their agency Consolidated Plan Coordinator any significant alterations or changes (which will be realized or put into effect for more than 6 months) in the following areas:

1. Needs;
2. Strategies/Policies;
3. Market and Inventory Conditions;
4. Resources; and
5. Implementation.

By June 30th, each agency's Consolidated Plan Representative shall submit to the City's Consolidated Plan Coordinator each of these reports as well as identify any additional corrective action taken by the City agency to ensure conformance with the goals and strategies reported in the Consolidated Plan. Changes in site or area from one borough to another, deletion or addition of a Consolidated Plan activity and changes which result in a funding reduction greater than 50% of a total activity category must be reported immediately to the agency Consolidated Plan Representative.

The City's Consolidated Plan Coordinator will review each report submitted to determine the impacts of the identified changes on the five-year plan. If necessary, the City's Consolidated Plan Coordinator will consult with the agency Consolidated Plan Representative to bring programs and subrecipients into conformance with the Consolidated Plan or to revise the provisions of the Consolidated Plan accordingly. In addition, through the review of these reports, the City's Consolidated Plan Coordinator will determine if a "Substantial Amendment" must be submitted to HUD.