

Consolidated Plan

2017
Annual Performance and Evaluation Report
Volume 1



Bill de Blasio
Mayor, City of New York

Marisa Lago
Director, Department of City Planning

NYC PLANNING
DEPARTMENT OF CITY PLANNING CITY OF NEW YORK



Effective as of July 12, 2018

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Department of City Planning
120 Broadway, 31st Floor, New York, NY 10271

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**Proposed
2017 Consolidated Plan
Annual Performance and Evaluation Report
(CAPER)**

July 12, 2018

VOLUME 1

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INTRODUCTION

As a condition of receiving U.S. Department of Housing and Urban Development (HUD) Office of Community Planning and Development (CPD) formula entitlement program funds (Community Development Block Grant (CDBG), HOME Investment Partnerships (HOME), Housing Opportunities for Persons With AIDS (HOPWA), and Emergency Solutions Grant (ESG) funds, respectively), the City of New York is required to submit a Consolidated Annual Performance and Evaluation Report (CAPER). The Proposed 2017 CAPER reports on New York City's one-year progress (January 1, 2017 to December 31, 2017) in using its annual entitlement grants award to address the priority needs and goals articulated in the City's Consolidated Plan Five-Year Strategic Plan for Consolidated Plan Years 2015-2019. 2017 represents the third year of the five-year strategic plan.

New York City's Proposed Performance Report was formulated using the federally-mandated eCon-Planning Suite, a new electronic template for producing the (five-year) Consolidated Plan, One-Year Action Plans, and the associated Consolidated Annual Performance and Evaluation Report (CAPER) directly within HUD's Integrated Disbursement and Information System (IDIS).

In addition, beginning 2017 localities receiving Emergency Solutions Grant (ESG) funds were required to complete and submit their performance report using the Sage ESG-CAPER which supersedes the ESG-specific eCAPER module CR-65, ESG Persons Assisted, and all other previous versions of the ESG eCART (Consolidated Plan Annual Reporting Tool). Therefore, the reader is requested to please refer to the appendix 2017 NYC ESG eSAGE CAPER when reviewing ESG-related information in the respective eCAPER modules.

Similarly, as per HUD's guidance the City's comprehensive HOPWA household output and accomplishment data is reported and available in the HOPWA CAPER (HUD-40110-D). Therefore, in order to facilitate a comprehensive understanding of the City's HOPWA related programmatic expenditures and accomplishments the reader is also requested to refer to appendix HOPWA CAPER NYC 2017 when reviewing HOPWA-related data.

The following report was released for a 15-day public comment period which began on April 11, 2018 and ended April 25, 2018. Comments received were to be summarized and agencies' responses incorporated into the version submitted to HUD. However, no comments were received during the comment period.

New York City's Proposed 2017 Consolidated Plan Annual Performance and Evaluation Report was submitted to HUD on April 30, 2018 and subsequently approved on June 12, 2018.

CR-05 - Goals and Outcomes

Progress the jurisdiction has made in carrying out its strategic plan and its action plan.

91.520(a)

This could be an overview that includes major initiatives and highlights that were proposed and executed throughout the program year.

Department of Homeless Services

New York City has made substantial progress in addressing the priority areas laid out in its 2017 ESG Action Plan, which includes outreach to unsheltered homeless individuals to assist them in coming off the street, enhancing homelessness prevention, and continuing to invest in emergency shelter and essential services to meet the needs of the right-to-shelter jurisdiction.

In City Fiscal 2016, Mayor de Blasio announced a comprehensive plan to reform the delivery of homeless services in New York City. The plan includes enhancement and expansion of homeless prevention and greater street outreach through HOME- STAT, a new program to engage street homeless individuals and connect them to support services. Management improvements are in progress for shelter safety and operations. "Turning the Tide," a report issued in February 2017, laid out a blueprint for addressing homelessness that includes providing borough-based services and shrinking the footprint of the shelter system by closing 360 facilities, including eliminating the 18-year "cluster" apartment program and commercial hotel use, and opening 90 new borough-based shelters.

To better support this work, the structure and delivery of services related to homelessness is changing. Instead of operating separately, there is now an integrated management structure with both the Human Resources Administration (HRA) and the Department of Homeless Services (DHS) reporting to the Commissioner of Social Services. Support divisions and administrative staff now work under the structure of the Department of Social Services (DSS) to support both DHS and HRA core functions and program divisions. This will ensure homeless services are delivered as efficiently and effectively as possible with a focus on both preventing New Yorkers from becoming homeless and rehousing individuals and families in shelter into housing in the community.

The NYC community-based homelessness prevention program, Homebase, served more than 27,000 households in City Fiscal 2017, More than 94 percent of families with children and adult family households, and over 92 percent of single adults who received prevention services remained in their communities and avoided shelter entry within the 12 months following the service. The Description Continues in the Inserted Text File DHS CR05 Goals & Outcomes Continued at the Bottom of this Module.

HRA staff are co-located in Homebase offices in order to process applications for public assistance and rental assistance for eligible households. In 2017, Homebase expanded to include landlord and family mediation, educational advancement, employment, and financial literacy services.

The City's expansion of funding by more than ten-fold for legal services for low-income tenants facing eviction, displacement and harassment as well as the universal access to counsel, contributed to a 28.4 percent increase in Housing Court legal assistance for low-income households facing eviction and homelessness.

Homeless clients continue to be placed into permanent, stable housing through a variety of rental assistance programs, including the Living in Communities (LINC) and CityFEPs programs, the Special Exit and Prevention Supplement (SEPS) program, and the HOME Tenant Based Rental Assistance (TBRA) program. DHS also partners with the New York City Housing Authority (NYCHA) to place homeless families into public housing units and apartments with Section 8 assistance. From July 2015 through February 2018, a total of 81,124 individuals in 29,768 households were provided with permanent housing through this expansive portfolio of rental assistance programs.

As indicated in the City's Consolidated Plan, the City recognizes the need for more Permanent Supportive Housing (PSH). In order to meet the need for PSH, the City has taken steps to expand available supportive housing resources. In November of 2015, Mayor de Blasio announced a new plan to create 15,000 units of supportive housing over the next 15 years. The City has released RFPs for 99% of the units and is already making awards and moving clients into apartments.

The following is a status update on the progress made by the Department of Social Services (DSS), Department of Homeless Services (DHS), and Human Resources Administration (HRA) and its third-year accomplishments for the goals listed in the 2015-2019 Consolidated Plan Five-Year Strategic Plan and Continuum of Care. The accomplishments reflect January 1 - December 31, 2017 DHS and HRA ESG activities.

Comparison of the proposed versus actual outcomes for each outcome measure submitted with the consolidated plan and explain, if applicable, why progress was not made toward meeting goals and objectives. 91.520(g)

Categories, priority levels, funding sources and amounts, outcomes/objectives, goal outcome indicators, units of measure, targets, actual outcomes/outputs, and percentage completed for each of the grantee’s program year goals.

Table 1 - Accomplishments – Program Year & Strategic Plan to Date

Goal	Category	Source / Amount	Indicator	Unit of Measure	Expected – Strategic Plan	Actual – Strategic Plan	Percent Complete	Expected – Program Year	Actual – Program Year	Percent Complete
Create Affordable Housing - New Construction	Affordable Housing	HOME: \$129,296,756	Rental units constructed	Household Housing Unit	1055	3592	340.47%	300	1417	472.33%
Create New Homeownership Opportunities- Downpymnt	Affordable Housing	HOME: \$2,975,148	Direct Financial Assistance to Homebuyers	Households Assisted	450	462	102.67%	200	206	103.00%
Emergency Shelter & Essential Services (ESG)	Homeless	ESG: \$6,821,947	Homeless Person Overnight Shelter	Persons Assisted	65900	47018	71.35%	12100	14328	118.41%
Facilitate small business development and growth	Non-Housing Community Development	CDBG: \$241,626	Businesses assisted	Businesses Assisted	29367	16424	55.93%	3054	4191	137.23%
Homeless Outreach (ESG)	Homeless	ESG: \$703,789	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	3000	1099	36.63%	600	551	91.83%
Homeless Prevention (ESG)	Homeless	ESG: \$1,619,289	Homelessness Prevention	Persons Assisted	20600	30718	149.12%	5200	11495	221.06%

Improve literacy of low-skilled adults	Non-Housing Community Development	CDBG: \$1,543,516	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	8605	5575	64.79%	1680	1825	108.63%
Improve sanitary conditions throughout the City	Non-Housing Community Development Vacant Lots	CDBG: \$11,819,823	Other	Other	15466	6760	43.71%	1141	1142	100.09%
Increase accessible hsg for people w/disabilities	Non-Homeless Special Needs	CDBG: \$71,623	Rental units rehabilitated	Household Housing Unit	23	8	34.78%	4	6	150.00%
Increase accessible hsg for people w/disabilities	Non-Homeless Special Needs	CDBG: \$145,903	Homeowner Housing Rehabilitated	Household Housing Unit	23	11	47.83%	3	4	133.33%
Increase capacity of local arts organizations	Non-Housing Community Development	CDBG: \$164,885	Other	Other	73	13	17.81%	4	0	0.00%
Increase housing stability among low-income PLWHA	Affordable Housing Non-Homeless Special Needs	HOPWA: \$49,266,259	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	0	0		30	451	1,503.33%
Increase housing stability among low-income PLWHA	Affordable Housing Non-Homeless Special Needs	HOPWA: \$49,266,259	Housing for People with HIV/AIDS added	Household Housing Unit	33624	35581	105.82%	2339	2405	102.82%

Increase housing stability among low-income PLWHA	Affordable Housing Non-Homeless Special Needs	HOPWA: \$49,266,259	HIV/AIDS Housing Operations	Household Housing Unit	0	0		250	548	219.20%
Increase housing stability among low-income PLWHA	Affordable Housing Non-Homeless Special Needs	HOPWA: \$49,266,259	Other	Other	0	0		175	340	194.29%
Independent living for the elderly and disabled	Public Housing Non-Homeless Special Needs	CDBG: \$481,380	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	22770	9985	43.85%	3167	2830	89.36%
Maintain habitability for elderly homeowners	Non-Homeless Special Needs	CDBG: \$225,733	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	11175	6912	61.85%	2150	2505	116.51%
Make the City more livable for ppl w/disabilities	Non-Homeless Special Needs	CDBG: \$125,926	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	910000	808275	88.82%	262000	341407	130.31%
Preservation of historic buildings and areas	Non-Housing Community Development	CDBG: \$0	Facade treatment/business building rehabilitation	Business	5	1	20.00%			
Preservation of historic	Non-Housing Community Development	CDBG: \$65,279	Homeowner Housing Rehabilitated	Household Housing Unit	15	9	60.00%	3	4	133.33%

buildings and areas										
Preserve and improve occupied private housing	Private Housing	CDBG: \$40,400,756	Rental units rehabilitated	Household Housing Unit	83845	141265	168.48%	56175	59361	105.67%
Preserve and improve occupied private housing	Private Housing	CDBG: \$38,774,834	Housing Code Enforcement/Foreclosed Property Care	Household Housing Unit	5645110	1923595	34.08%	675000	629614	93.28%
Prevent Displacement and Reduce Cost Burdens-TBRA	Affordable Housing	HOME: \$4,653,315	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	6945	881	12.69%	1250	722	57.76%
Prevent long-term displacement and homelessness	Homeless	CDBG: \$833,191	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	0	2224		964	1541	159.85%
Prevent long-term displacement and homelessness	Homeless	CDBG: \$20,685,151	Homeless Person Overnight Shelter	Persons Assisted	6370	12522	196.58%	4379	3505	80.04%
Promote access to care among low-income PLWHA	Affordable Housing Non-Homeless Special Needs	HOPWA: \$49,266,259	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	0	0		30	451	1,503.33%

Promote access to care among low-income PLWHA	Affordable Housing Non-Homeless Special Needs	HOPWA: \$49,266,259	Housing for People with HIV/AIDS added	Household Housing Unit	33624	35581	105.82%	2339	2405	102.82%
Promote access to care among low-income PLWHA	Affordable Housing Non-Homeless Special Needs	HOPWA: 49,266,259\$	HIV/AIDS Housing Operations	Household Housing Unit	0	0		250	548	219.20%
Promote access to care among low-income PLWHA	Affordable Housing Non-Homeless Special Needs	HOPWA: \$49,266,259	Other	Other	0	0		175	340	194.29%
Promote justice for victims of crime and abuse	Non-Housing Community Development	CDBG: \$1,720,011	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	599000	343734	57.38%	113250	106974	94.46%
Provide community green space through gardens	Non-Housing Community Development	CDBG: \$41,627	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	0	141540		0	141540	
Provide community green space through gardens	Non-Housing Community Development	CDBG: \$1,055,589	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	123694	223451	180.65%	21450	21880	102.00%

Provide day care services to low/mod households	Non-Housing Community Development	CDBG: \$2,054,570	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	1885	542	28.75%	181	160	88.40%
Provide enrichment activities to low/mod areas	Non-Housing Community Development	CDBG: \$5,238,620	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	84000	62645	74.58%	16800	16764	99.79%
Provide recreational activities for low/mod people	Non-Housing Community Development	CDBG: \$48,364	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	0	0		0	0	
Provide recreational activities for low/mod people	Non-Housing Community Development	CDBG: \$1,691,374	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	86955438	50580730	58.17%	16925193	16903131	99.87%
Provide safe learning environment in City schools	Non-Housing Community Development	CDBG: \$6,034,813	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	779595	542453	69.58%	107780	287378	266.63%
Provide safe, accessible senior centers	Non-Housing Community Development	CDBG: \$872,141	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	15007	9137	60.88%	3500	2128	60.80%
Recover and rebuild after Hurricane Sandy	Affordable Housing Public Housing Homeless	CDBG-DR: \$25,908,718	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	0	0		8200000	0	0.00%

	Non-Housing Community Development									
Recover and rebuild after Hurricane Sandy	Affordable Housing Public Housing Homeless Non-Housing Community Development	CDBG-DR: 18,947,026\$	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	8200000	16400000	200.00%			
Recover and rebuild after Hurricane Sandy	Affordable Housing Public Housing Homeless Non-Housing Community Development	CDBG-DR: \$2,239,524	Public service activities for Low/Moderate Income Housing Benefit	Households Assisted	27850	9520	34.18%	87	1056	1,213.79%
Recover and rebuild after Hurricane Sandy	Affordable Housing Public Housing Homeless Non-Housing Community Development	CDBG-DR: \$0	Brownfield acres remediated	Acre	68	0	0.00%			
Recover and rebuild after Hurricane Sandy	Affordable Housing Public Housing Homeless Non-Housing	CDBG-DR: \$0	Rental units rehabilitated	Household Housing Unit	0	5690		316	5690	1,800.63%

	Community Development									
Recover and rebuild after Hurricane Sandy	Affordable Housing Public Housing Homeless Non-Housing Community Development	CDBG-DR: \$780,907,553	Homeowner Housing Rehabilitated	Household Housing Unit	32000	27188	84.96%	2107	16687	791.98%
Recover and rebuild after Hurricane Sandy	Affordable Housing Public Housing Homeless Non-Housing Community Development	CDBG-DR: \$2,095,433	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	300	111	37.00%			
Recover and rebuild after Hurricane Sandy	Affordable Housing Public Housing Homeless Non-Housing Community Development	CDBG-DR: \$0	Jobs created/retained	Jobs	430	285	66.28%	58	0	0.00%
Recover and rebuild after Hurricane Sandy	Affordable Housing Public Housing Homeless Non-Housing Community Development	CDBG-DR: \$15,987,078	Businesses assisted	Businesses Assisted	850	854	100.47%	228	488	214.04%

Recover and rebuild after Hurricane Sandy	Affordable Housing Public Housing Homeless Non-Housing Community Development	CDBG-DR: \$0	Buildings Demolished	Buildings	400	0	0.00%			
Reduce homelessness	Homeless	CDBG: \$0	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	0	0		0	0	
Reduce homelessness	Homeless	CDBG: \$2,437,794	Homeless Person Overnight Shelter	Persons Assisted	46120	31829	69.01%	9778	9429	96.43%
Reduce homelessness among low-income PLWHA	Affordable Housing Homeless Non-Homeless Special Needs	HOPWA: \$49,266,259	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	0	0		30	451	1,503.33%
Reduce homelessness among low-income PLWHA	Affordable Housing Homeless Non-Homeless Special Needs	HOPWA: 49,266,259\$	Housing for Homeless added	Household Housing Unit	0	0		250	548	219.20%
Reduce homelessness among low-income PLWHA	Affordable Housing Homeless Non-	HOPWA: \$49,266,259	Housing for People with HIV/AIDS added	Household Housing Unit	33624	35581	105.82%	2339	2405	102.82%

	Homeless Special Needs									
Reduce homelessness among low-income PLWHA	Affordable Housing Homeless Non-Homeless Special Needs	HOPWA: \$49,266,259	HIV/AIDS Housing Operations	Household Housing Unit	0	0				
Reduce homelessness among low-income PLWHA	Affordable Housing Homeless Non-Homeless Special Needs	HOPWA: \$49,266,259	Other	Other	0	0		175	340	194.29%
Reduce hunger	Non-Housing Community Development	CDBG: \$944,311	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	318931	82461	25.86%	80384	69825	86.86%
Reduce hunger	Non-Housing Community Development	CDBG: \$1,342,041	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	0	579827		250384	97071	38.77%
Reduction of blighted properties	Non-Housing Community Development	CDBG: \$0	Rental units rehabilitated	Household Housing Unit	0	0		0	0	
Reduction of blighted properties	Non-Housing Community Development	CDBG: \$2,117,478	Buildings Demolished	Buildings	150	7	4.67%	35	7	20.00%

Return foreclosed housing to private ownership	Affordable Housing	CDBG: \$11,605,810	Housing Code Enforcement/Foreclosed Property Care	Household Housing Unit	3077	2823	91.75%	2658	2686	101.05%
Revitalize commercial districts in low/mod areas	Non-Housing Community Development	CDBG: \$89,917	Businesses assisted	Businesses Assisted	75	40	53.33%	11	13	118.18%
Revitalize commercial districts in low/mod areas	Non-Housing Community Development	CDBG: \$2,182,887	Other	Other	0	89		45	46	102.22%
Revitalize the Bronx River and the adjacent area	Non-Housing Community Development	CDBG: \$219,726	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	1440000	681525	47.33%	245000	244680	99.87%

Assess how the jurisdiction's use of funds, particularly CDBG, addresses the priorities and specific objectives identified in the plan, giving special attention to the highest priority activities identified.

Assessment of ESG Program Performance

Overall, New York City has made considerable progress towards its goals. While ESG program funds comprise a small percentage of total funding for homeless services in the City, they continue to be a critical and integral component of the effort to prevent and reduce homelessness:

- In Calendar Year 2017, New York City assisted 14,328 individuals through emergency shelter and essential services programs, which achieved 118% of the goal of 12,100 individuals. This reflects the total number of clients who were housed by the ESG-funded programs over the course of the year.
- New York City set a goal of 600 persons placed into temporary, permanent, or other housing by the three ESG-funded outreach programs. 92% of the goal was achieved, with 551 clients placed into temporary, permanent or other housing during Calendar Year 2017. In New York City, the HOME-STAT service model continues to engage and serve the clients after placement. So in addition to the 551 clients with service end-date in 2017, other clients were placed into housing and continue to receive ongoing aftercare services with the outreach provider.
- New York City dramatically exceeded its ESG goals for prevention services. In 2017, the City set a target of serving 5,200 individuals in households without minor children, and actually served 11,495 individuals in households without minor children. In addition to ESG funding, the City increased City tax levy funding in the last three previous fiscal years to provide prevention services to additional households without children, contributing to the 221% of goal achieved.

Assessment of HOME Program Performance

In 2015, the New York City Department of Housing Preservation and Development (HPD) transferred HOME Program funds to the New York City Human Resources Administration (HRA) to develop a Tenant Based Rental Assistance (TBRA) Program. Through 2017, HRA provided rental assistance to 490 eligible families. An additional 220 eligible families have been approved for assistance and are currently searching for suitable housing.

New York City creates new homeownership opportunities for existing renter households by providing down payment assistance to first-time homebuyers. Eligible prospective homebuyers must qualify for a forgivable loan of up to \$25,000.00 to use toward down payment and/or closing costs on a one- to four family home, condominium or cooperative purchased in one of the five boroughs of New York City. In 2017, down payment assistance was provided to 80 households.

While the need in New York City for affordable housing continues to grow across most income groups, some feel the pressure more than others. In 2017, financing was provided to 4 developments in order to construct or rehabilitate affordable housing units that affect the most vulnerable populations. This financing aided in the addition of 423 affordable housing units to New York City housing stock

Assessment of CDBG Program Performance

In 2017, the City's CD-funded programs generally met or exceeded their goals. However, several programs had actual accomplishments that were at least 25 percent higher or lower than their 2017 projections. Below is an explanation for each activity.

- Code Violation Removal in Schools: The program surpassed its projection of 107,780 students served and, instead served 149,340 students. This program responds to health and safety conditions as they arise. The Department of Education (DOE) does not know far in advance which sites will receive CD-funded work or the level/cost of the rehabilitation required, which makes it difficult to project an accomplishment figure. The City uses the prior year's actual accomplishment as the next year's projections, but this is not necessarily indicative of the next year's performance.
- Community Arts Development Program (CADP): CADP contracts with consulting firms to complete capacity building projects with small arts organizations. The accomplishment projection of four areas was proposed earlier in 2017 when Building Community Capacity was intended to be categorized as Capacity Building. Since that time, the City has reclassified the program as a Planning activity. Planning programs are not required to project or report accomplishment indicators.
- Demolition Program: The program only completed seven of its 35 projected CD-funded demolitions. The number of buildings demolished is beyond HPD's control. Buildings are demolished pursuant to a Declaration of Emergency issued by the Department of Buildings. Furthermore, HPD gives property owners the opportunity to correct the conditions on their own or pay for the work once completed with City resources. Only demolitions that have been fully paid for with CD funds will count toward CD accomplishments.
- DFTA Senior Center Improvements: Although work was completed at two sites as projected, DFTA did not meet its projection of 3,500 seniors served. DFTA expected the completions to be the YM/YWHA of Washington Heights and Inwood and the Sirovich Senior Centers. However, the Sirovich project was delayed while the Heights and Hills Park Slope Center for Successful Aging was completed. The Height and Hills Center has a smaller clientele than the Sirovich Center.
- Housing Information and Education: The actual accomplishment figure of 341,407 was over 30 percent higher than the proposed. In 2017, MOPD expanded its social media presence and redesigned its website by updating information, expanding its library of resources, and creating a user-friendly layout. These actions attracted a larger constituency to its website leading to a substantial increase in the accomplishment figure.
- Landmarks Historic Preservation Grant Program: The program had estimated it would complete three historic preservation projects but accomplished four. The variance was due to LPC making final payments for several projects that it had originally estimated would be completed in 2016.
- Minipools: The actual accomplishment figure of 40,022 children served was only 64% of the program's accomplishment projection of 62,084 children. The Department of Parks and Recreation attributes this shortfall to the fact that the summer of 2017 was cooler than the summer of 2016 leading to decreased demand.
- Met Council Food Pantry: The Met Council was unable to submit bills for Calendar Year 2017 due to issues registering the organization's contract. All agency counterparts have taken active measures to resolve the issue moving forward. Accomplishments for Calendar Year 2017 will be reported the following year.
- NYC Business Solutions: The program surpassed its proposed accomplishments by nearly 40 percent for two primary reasons: a) In addition to serving the vendors at the Flatbush-Caton Market, the program's Vendor Market component provided an Arts Entrepreneurship class series that served 27 artists and artisans; and b) NYC Business Solutions Centers increased the amount of Business Basics courses given during the first half of Calendar Year 2017 to make up for fewer classes held in the second half of Calendar Year 2016.

- Project Open House: The actual accomplishment of 10 housing units was significantly higher than the proposed (seven housing units) because work on several projects was completed in 2016 but final payment was not made until 2017.

Please see the CDBG Addenda for more detailed information on each CD-funded program's accomplishments.

CDBG Assessment of Addressing Specific Objectives

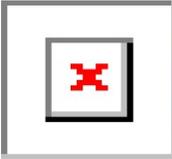
Program regulations state that every CD-funded activity must benefit either low- and moderate-income (low/mod) persons, prevent or eliminate slums or blight, or meet an urgent need. Further, at least 70 percent of CD program funds must benefit low/mod persons. New York City maintains discretion in using its funds for housing renovation, maintenance, and services; economic development; improvements and renovations to public facilities; and public services. The goals identified above and the programs that support them have been prioritized both for their ability to address the needs identified in the 2015-2019 Five-Year Strategic Plan and for their benefit to low/mod persons and communities. For Calendar Year 2017, 78.8 percent of CD funds were used to benefit to low/mod persons. The CD program is also limited in the programs that it can fund by the spending caps listed below. The City is close to both caps and cannot fund additional programs that would fall into these categories.

- A 15 percent cap on Public Services, which is calculated by dividing the sum of the Public Service expenditures and unliquidated obligations by the sum of the current year's grant and prior year's program income. In 2017, the City's Public Service percentage was 12.5 percent.
- A 20 percent cap on Planning and Administration activities, which is calculated by dividing the sum of the Planning and Administration expenditures and unliquidated obligations by the sum of the current year's grant and current year's program income. In 2017, the City's Planning and Administration percentage was 18.2 percent.

In 2017, the City had a total of \$275,770,942 available from the Federal Fiscal Year 2017 Entitlement, program income, revenue credits, and accruals. Total expenditures were \$182,228,269, a 66 percent expenditure rate.

The City's expenditure rate has dropped from 74 percent in 2016 to 66 percent in 2017. A significant reason for this is because the City ceased to fund a number of programs where the expenditures were primarily for personnel who get paid bi-weekly. These programs either ended or were no longer eligible for CD funding. For City Fiscal Year 2018 (beginning 7/1/17), the City re-allocated \$59 million to the NYCHA Facade Improvement Program (now known as the Public Housing Rehabilitation Program). Rehabilitation programs have a longer start-up phase (environmental reviews, contractor selection, contract registration, etc.). In addition, two new personnel programs were funded in CFY 2018 (the HPD Shelter Expansion Staff and the DHS Shelter Renovation Project Support) and they are undergoing a lengthy hiring process. The expenditure rate is expected to improve once the Public Housing Rehabilitation Program, the HPD Shelter Expansion Staff, and DHS Shelter Renovations Project Support Programs begin to expend funds.

PR 26 - CDBG Financial Summary Report



Office of Community Planning and Development
 U.S. Department of Housing and Urban Development
 Integrated Disbursement and Information System
 PR26 - CDBG Financial Summary Report
 Program Year 2017
 NEW YORK CITY , NY

DATE: 03-19-18
 TIME: 16:53
 PAGE: 1

PART I: SUMMARY OF CDBG RESOURCES

01 UNEXPENDED CDBG FUNDS AT END OF PREVIOUS PROGRAM YEAR	197,217,366.00
02 ENTITLEMENT GRANT	150,294,862.00
03 SURPLUS URBAN RENEWAL	0.00
04 SECTION 108 GUARANTEED LOAN FUNDS	0.00
05 CURRENT YEAR PROGRAM INCOME	56,021,673.00
05a CURRENT YEAR SECTION 108 PROGRAM INCOME (FOR SI TYPE)	0.00
06 FUNDS RETURNED TO THE LINE-OF-CREDIT	0.00
06a FUNDS RETURNED TO THE LOCAL CDBG ACCOUNT	0.00
07 ADJUSTMENT TO COMPUTE TOTAL AVAILABLE	26,228.00
08 TOTAL AVAILABLE (SUM, LINES 01-07)	403,560,129.00

PART II: SUMMARY OF CDBG EXPENDITURES

09 DISBURSEMENTS OTHER THAN SECTION 108 REPAYMENTS AND PLANNING/ADMINISTRATION	154,964,524.00
10 ADJUSTMENT TO COMPUTE TOTAL AMOUNT SUBJECT TO LOW/MOD BENEFIT	(209,706.00)
11 AMOUNT SUBJECT TO LOW/MOD BENEFIT (LINE 09 + LINE 10)	154,754,818.00
12 DISBURSED IN IDIS FOR PLANNING/ADMINISTRATION	27,263,745.00
13 DISBURSED IN IDIS FOR SECTION 108 REPAYMENTS	0.00
14 ADJUSTMENT TO COMPUTE TOTAL EXPENDITURES	209,706.00
15 TOTAL EXPENDITURES (SUM, LINES 11-14)	182,228,269.00
16 UNEXPENDED BALANCE (LINE 08 - LINE 15)	221,331,860.00

PART III: LOWMOD BENEFIT THIS REPORTING PERIOD

17 EXPENDED FOR LOW/MOD HOUSING IN SPECIAL AREAS	0.00
18 EXPENDED FOR LOW/MOD MULTI-UNIT HOUSING	60,339,830.00
19 DISBURSED FOR OTHER LOW/MOD ACTIVITIES	134,226,466.00
20 ADJUSTMENT TO COMPUTE TOTAL LOW/MOD CREDIT	(72,629,673.00)
21 TOTAL LOW/MOD CREDIT (SUM, LINES 17-20)	121,936,623.00
22 PERCENT LOW/MOD CREDIT (LINE 21/LINE 11)	78.79%

LOW/MOD BENEFIT FOR MULTI-YEAR CERTIFICATIONS

23 PROGRAM YEARS(PY) COVERED IN CERTIFICATION	PY: 2017 PY: 2018 PY: 2019
24 CUMULATIVE NET EXPENDITURES SUBJECT TO LOW/MOD BENEFIT CALCULATION	0.00
25 CUMULATIVE EXPENDITURES BENEFITTING LOW/MOD PERSONS	0.00
26 PERCENT BENEFIT TO LOW/MOD PERSONS (LINE 25/LINE 24)	0.00%

PART IV: PUBLIC SERVICE (PS) CAP CALCULATIONS

27 DISBURSED IN IDIS FOR PUBLIC SERVICES	18,136,280.00
28 PS UNLIQUIDATED OBLIGATIONS AT END OF CURRENT PROGRAM YEAR	4,383,001.00
29 PS UNLIQUIDATED OBLIGATIONS AT END OF PREVIOUS PROGRAM YEAR	3,209,056.00
30 ADJUSTMENT TO COMPUTE TOTAL PS OBLIGATIONS	982,364.00
31 TOTAL PS OBLIGATIONS (LINE 27 + LINE 28 - LINE 29 + LINE 30)	20,292,589.00
32 ENTITLEMENT GRANT	150,294,862.00
33 PRIOR YEAR PROGRAM INCOME	51,503,847.00
34 ADJUSTMENT TO COMPUTE TOTAL SUBJECT TO PS CAP	(38,988,744.00)
35 TOTAL SUBJECT TO PS CAP (SUM, LINES 32-34)	162,809,965.00
36 PERCENT FUNDS OBLIGATED FOR PS ACTIVITIES (LINE 31/LINE 35)	12.46%

PART V: PLANNING AND ADMINISTRATION (PA) CAP

37 DISBURSED IN IDIS FOR PLANNING/ADMINISTRATION	27,263,745.00
38 PA UNLIQUIDATED OBLIGATIONS AT END OF CURRENT PROGRAM YEAR	4,339,005.00
39 PA UNLIQUIDATED OBLIGATIONS AT END OF PREVIOUS PROGRAM YEAR	1,952,532.00
40 ADJUSTMENT TO COMPUTE TOTAL PA OBLIGATIONS	209,706.00
41 TOTAL PA OBLIGATIONS (LINE 37 + LINE 38 - LINE 39 +LINE 40)	29,859,924.00
42 ENTITLEMENT GRANT	150,294,862.00
43 CURRENT YEAR PROGRAM INCOME	56,021,673.00
44 ADJUSTMENT TO COMPUTE TOTAL SUBJECT TO PA CAP	(42,595,981.00)
45 TOTAL SUBJECT TO PA CAP (SUM, LINES 42-44)	163,720,554.00
46 PERCENT FUNDS OBLIGATED FOR PA ACTIVITIES (LINE 41/LINE 45)	18.24%

PR 26 - CDBG Financial Summary Report Adjustments

APR 43 - Calendar Year 2017

Community Development Block Grant

Explanation of Adjustments to IDIS PR26 Report - CDBG Financial Summary Report

The following adjustments were necessary to properly reflect New York City's financial summary data in the Integrated Disbursement and Information System (IDIS)

Line 07 - Adjustment To Compute Total Available:

Adjustment of \$26,228 is the program income amount from the Neighborhood Housing Services revolving loan fund for Calendar Year 2017.

Line 10 - Adjustment To Compute Total Amount Subject To Low/Mod Benefit:

Line 09 amount of \$154,964,524 is incorrect. The correct amount is \$154,754,818 on Line 10 of the Status of Funds which is the Total Expenditures Reported less the Planning & Administration expenditures.

Line 09 PR 26	(154,964,524.00)
Line 10 Status of Funds	154,754,818.00
Line 10 PR 26 Adjustment	(209,706.00)

Line 14 - Adjustment To Compute Total Expenditures:

Line 12 amount of \$27,263,745 is incorrect. The correct amount expended for Planning & Administration is \$27,473,451 on Line 9 of the Status of Funds.

Line 12 PR 26	(27,263,745.00)
Line 9 Status of Funds	27,473,451.00
Line 14 PR 26 Adjustment	209,706.00

Line 20 - Adjustment To Compute Total Low/Mod Credit:

Line 19 amount of \$134,226,466 is incorrect. The correct amount disbursed for other Low/Mod Activities is \$61,596,793 on Line 15 of the Status of Funds.

Line 19 PR 26	(134,226,466.00)
Line 15 Status of Funds	61,596,793.00
Line 20 PR 26 Adjustment	(72,629,673.00)

Line 30 - Adjustment To Compute Total PS Obligations:

Line 27 amount of \$18,136,280 is incorrect. The correct amount disbursed for Public Services is \$19,118,644 on Line 21 of the Status of Funds.

Line 27 PR 26	(18,136,280.00)
Line 21 Status of Funds	19,118,644.00
Line 30 PR 26 Adjustment	982,364.00

Line 34 - Adjustment To Compute Total Subject To PS CAP:

Adjustment of (\$38,988,744) reduces the prior year's income by the value of the prior year's revenue credits and increases the prior year's program income by the value of the program income from NHS' Revolving Loan Fund, leaving just the prior year's true program income for the Public Service Cap Calculation.

Line 40 - Adjustment To Compute Total PA Obligations:

Line 37 amount of \$27,263,745 is incorrect. The correct amount expended for planning and administration is \$27,473,451 on Line 31 of the Status of Funds.

Line 37 PR 26	(27,263,745.00)
Line 31 Status of Funds	27,473,451.00
Line 40 PR 26 Adjustment	209,706.00

Line 44 - Adjustment To Compute Total Subject to PA Cap:

Adjustment of (\$42,595,981) reduces the current year's income by the value of the current year's revenue credits, leaving just the current year's true program income for the Planning and Administration CAP calculation. The adjustment also increases the current year's program income by the value of the program income from the Neighborhood Housing Services revolving loan fund.

2017 Revenue Credits	(42,622,209.00)
2017 NHS Program Income	26,228.00
Line 44 PR 26 Adjustment	(42,595,981.00)

CR-10 - Racial and Ethnic composition of families assisted

Describe the families assisted (including the racial and ethnic status of families assisted).
91.520(a)

Table 2 – Table of assistance to racial and ethnic populations by source of funds

	CDBG	HOME	ESG	HOPWA
Race:				
White	92024	679	1	0
Black or African American	185583	1309	40	0
Asian	81390	115	0	0
American Indian or American Native	5422	15	0	0
Native Hawaiian or Other Pacific Islander	2653	8	0	0
Total	367072	2126	41	0
Ethnicity:				
Hispanic	4696	875	47	0
Not Hispanic	362376	1458	45	0

Narrative

Emergency Solutions Grant

The individuals who received DHS services funded by ESG in Calendar Year 2017 were in households without children. However, a total of 92 individuals in households headed by young mothers (aged 16 to 20) with children were served in Calendar Year 2017 by a Runaway Youth Homeless Shelter program administered by the NYC Department of Youth and Community Development (DYCD) that received ESG funds for service provision. Of these 92 individuals, race information is available for 48 individuals. Of those 41 individuals, 40 were identified as Black or African American, 7 were identified as having Multiple Races, and one of the individuals was identified as White. Additionally, ethnicity data is available for all 92 participants. Of those 92 participants, 47 identified as Hispanic and 45 identified as Not Hispanic.

Community Development Block Grant Program

Please note that the chart above does not contain all of the racial categories that are available to CDBG Entitlement grantees in the IDIS reporting screens. CDBG funds were used to serve 873,004 people of multiple races. Please see the CDBG Total Race and Ethnicity Table below.

HOPWA:

Since the above table does not capture all the racial and ethnic categories available to HOPWA consumers, please refer to the attached HOPWA table for a comprehensive break down of the racial and ethnic composition of households assisted with HOPWA funding in 2017. Moreover, you can refer to the HOPWA 2017 Consolidated Annual Performance and Evaluation Report (HOPWA 2017 CAPER) for race and ethnicity details for both HOPWA eligible individuals and their beneficiaries.

HOME:

Please note that the chart above does not contain all of the racial categories that are available to HOME grantees in the IDIS reporting screens. HOME funds were used to serve 2,333 households of multiple races. Please see the HOME Total Race and Ethnicity Table below.

CDBG Racial Ethnicity Composition of Households Assisted in 2017

ALL PROGRAMS		
<i>CDBG Race and Ethnicity</i>	<u>Total</u>	<u>Hispanic</u>
White	92,024	3,404
Black/African-American	185,583	1,164
Asian	81,390	23
American Indian/Alaska Native	5,422	50
Native Hawaiian/Other Pacific Islander	2,653	55
American Indian/Alaska Native & White	10	1
Asian & White	4	0
Black/African-American & White	14	2
American Indian/Alaska Native & Black/African-American	50	1
Other Multi-Racial	505,854	242,984
	Total: 873,004	247,684

HOPWA Racial Ethnicity Composition of Households Assisted in 2017

Category		HOPWA Eligible Individuals	
		[A] Race	[B] Ethnicity
		All eligible individuals	[Also identified as Hispanic or Latino]
1	American Indian/Alaskan Native	7	1
2	Asian	15	0
3	Black/African American	2,030	68
4	Native Hawaiian/Other Pacific Islander	2	0
5	White	565	254
6	American Indian/Alaskan Native & White	0	0
7	Asian & White	1	0
8	Black/African American & White	59	0
9	American Indian/Alaskan Native & Black/African American	5	0
10	Other Multi-Racial	1,046	936
11	Column Totals (Sum of Rows 1-10)	3,730	1,259

HOME Racial Ethnicity Composition of Households Assisted in 2017

Home Unit Completions by Racial / Ethnic Category

	Rentals		TBRA Families		First Time Homebuyers		Existing Homeowners	
	Units Completed	Units Completed - Hispanics	Units Completed	Units Completed - Hispanics	Units Completed	Units Completed - Hispanics	Units Completed	Units Completed - Hispanics
White	451	350	202	168	19	8	7	1
Black/African American	771	82	425	89	32	3	81	0
Asian	49	3	35	5	31	0	0	0
American Indian/Alaskan Native	11	0	3	3	1	1	0	0
Native Hawaiian/Other Pacific Islander	2	0	6	4	0	0	0	0
American Indian/Alaskan Native & White	23	21	2	2	0	0	0	0
Asian & White	0	0	0	0	0	0	1	0
Black/African American & White	1	0	6	3	0	0	0	0
Amer. Indian/Alaskan Native & Black/African Amer.	2	2	0	0	0	0	0	0
Other multi-racial	95	83	43	20	14	10	20	17
Total	1,405	541	722	294	97	22	109	18

	Total, Rentals and TBRA		Total, Homebuyers and Homeowners		Grand Total	
	Units Completed	Units Completed - Hispanics	Units Completed	Units Completed - Hispanics	Units Completed	Units Completed - Hispanics
White	653	518	26	9	679	527
Black/African American	1,196	171	113	3	1,309	174
Asian	84	8	31	0	115	8
American Indian/Alaskan Native	14	3	1	1	15	4
Native Hawaiian/Other Pacific Islander	8	4	0	0	8	4
American Indian/Alaskan Native & White	25	23	0	0	25	23
Asian & White	0	0	1	0	1	0
Black/African American & White	7	3	0	0	7	3
Amer. Indian/Alaskan Native & Black/African Amer.	2	2	0	0	2	2
Other multi-racial	138	103	34	27	172	130
Total	2,127	835	206	40	2,333	875

CR-15 - Resources and Investments 91.520(a)

Identify the resources made available

Table 3 - Resources Made Available

Source of Funds	Source	Resources Made Available	Amount Expended During Program Year
CDBG	CDBG	275,596,673	182,228,269
HOME	HOME	53,994,658	
HOPWA	HOPWA	44,197,111	49,266,259
ESG	ESG	13,542,650	11,194,607
Competitive McKinney-Vento Homeless Assistance Act	Competitive McKinney-Vento Homeless Assistance Act	104,945,359	
LIHTC	LIHTC	14,500,000	
Section 8	Section 8	412,015,729	
Other	Other	4,214,050,269	846,085,332

Narrative

Emergency Solutions Grant

In Calendar Year 2017, New York City expended \$11,194,607 of ESG funding within 5 areas. The City expended \$6,821,947 of ESG funding for emergency shelter and essential services to create or staff new programs and to provide enhancements for existing programs. The City expended \$703,789 of ESG funding through contracts with three not for profit organizations to provide street outreach services. The City expended \$1,619,289 to support seven contracted local not for profit service providers operating eleven Homeless Prevention programs known as Homebase. New York City expended \$1,915,562 in ESG funds to support and enhance the HMIS system, and expended \$134,020 in ESG funds on administrative support.

HOPWA

As a result of the imminent expiration of three year HOPWA funds, the Department of Health and Mental Hygiene's Division of Disease Control opted to maximize the use of federal funds by funding additional activities using prior year HOPWA dollars. Doing so allowed the Division of Disease Control to serve existing households and prevent homelessness for individuals and their families at risk of losing housing assistance across the eligible metropolitan statistical area (EMSA).

Leveraging

Explain how federal funds leveraged additional resources (private, state and local funds), including a description of how matching requirements were satisfied, as well as how any publicly owned land or property located within the jurisdiction that were used to address the needs identified in the plan.

HOPWA Leveraged Funds

In 2017, HOPWA dollars were combined with other federal resources, as well as State and City funding, to support HIV/AIDS housing and other supportive services. HASA used City Tax Levy and matching State and federal dollars to fund case management; rental assistance; permanent and transitional congregate housing; and permanent scattered-site housing for low-income individuals and families living with HIV/AIDS. Eligible clients also received medical assistance, homecare, and homemaking services funded with City, State and federal dollars. HOPWA funds distributed to community-based organizations by DOHMH augmented City and State-funded services to persons with mental illness and HIV/AIDS. In the Lower Hudson Valley and New Jersey, State, City and County funds complemented HOPWA-funded rental assistance and other supportive services. Grant and private foundation dollars provided additional support to community-based organizations funded through HASA and DOHMH. In summary, the total funding leveraged across all HOPWA programs in 2017 equaled to \$506,098,899.

ESG Leveraged/Matching Funds

The City of New York through the Department of Homeless Services (DHS) provides a dollar for dollar match of the ESG award using City funds. In City Fiscal Year 2017, approximately \$11.2 million of City funds were used to match the ESG funds received from HUD. In addition to the required matching funds, DHS and the Department of Social Services (DSS) provides additional City expense and capital funds that are used for family and adult shelters; prevention services including legal services, emergency rent arrears and community based programs; rental assistance and permanent supportive housing; and program administration. DHS also receives Federal funding, including the Temporary Assistance for Needy Families (TANF) block grant through New York State and a Veteran Affairs (VA) grant as well as New York State funding, which are used for programs and services for families and for adults without children.

a. DHS Expense with Federal Funds

DHS expended approximately \$1.824 billion in City Fiscal Year 2017 on homeless services related to the Coalition of the Continuum of Care. Excluding CDBG and ESG funds used by DHS to provide homeless services, the total of the remaining dollars is approximately \$1.809 billion. The 1.809 billion includes approximately \$11.2 million in City funds used to match the ESG funds received from HUD. Of the \$1.809 billion, approximately \$527 million was TANF funded, and \$2.1 million was VA funded.

b. DHS Capital without Federal Funds

In City Fiscal Year 2017 DHS had active Capital Budget commitments of approximately \$28 million for shelter improvements and other related projects.

c. DHS Expense without Federal Funds

In addition to the approximately \$11.2 million in City funds used for the ESG match, DHS used approximately \$985 million in City Fiscal Year 2017 for the provision of homeless services. This

represents, in addition to the ESG match, the City's contribution to the Coalition of the Continuum of Care.

The City funds leverage Federal and New York State funding including the City's contributions to the TANF maintenance of effort, the New York State share of the maintenance of effort and the New York State reimbursement for general assistance, adult shelter expenditures and permanent supportive SRO operating subsidies.

HOME Program Matching Funds

HPD Capital matching Federal Funds

HPD's total capital commitments for calendar year 2017 from all funding sources (including HUD) was approximately \$942,015,864. Of that amount \$935,131,023 came from the City. Of the City funds, \$193,020,000 was committed for programs that used City funds in conjunction with Federal funds (CDBG, HOME, Section 8, etc.). The remaining \$742,111,000 of City funds was used in programs that did not receive Federal funds.

The City used a portion of this \$193,020,000 figure to meet its 12.5% requirement to match HOME funds, in addition to using the appraised value of tax exemptions.

HPD Expense matching Federal Funds

HPD's total expense budget for calendar year 2017 from all funding sources (including HUD) was approximately \$1,032,349,019 Of that amount approximately \$108,969,048 came from the City (tax levy, Inter-Fund Agreement (IFA), and Intra-City). Of the City funds, approximately \$69,253,029 was scheduled for programs that used City funds in conjunction with Federal funds (CDBG, HOME, Section 8, etc.). The remaining approximately \$39,716,019 of City funds was used in programs that did not receive Federal funds.

HPD Capital without Federal Funds

In Calendar Year 2017, HPD committed approximately \$742,111,000 in programs that received no Federal funds.

HPD Expense without Federal Funds

In Calendar Year 2017 HPD budgeted approximately \$39,716,019 in programs that received no Federal funds.

Table 4– Fiscal Year Summary - HOME Match Report

Fiscal Year Summary – HOME Match	
1. Excess match from prior Federal fiscal year	867,887,288
2. Match contributed during current Federal fiscal year	31,507,220
3. Total match available for current Federal fiscal year (Line 1 plus Line 2)	899,394,508
4. Match liability for current Federal fiscal year	6,416,392
5. Excess match carried over to next Federal fiscal year (Line 3 minus Line 4)	892,978,116

Table 5 – Match Contribution for the Federal Fiscal Year

Match Contribution for the Federal Fiscal Year								
Project No. or Other ID	Date of Contribution	Cash (non-Federal sources)	Foregone Taxes, Fees, Charges	Appraised Land/Real Property	Required Infrastructure	Site Preparation, Construction Materials, Donated labor	Bond Financing	Total Match
3571	09/30/2017	0	1,988,283	0	0	0	526,337	2,514,620
4402	09/30/2017	0	1,599,684	0	0	0	0	1,599,684
5001	09/30/2017	0	3,122,953	0	0	0	92,085	3,215,038
5013	09/30/2017	0	6,185,639	0	0	0	84,872	6,270,511
5014	09/30/2017	0	1,790,749	0	0	0	79,470	1,870,219
5347	09/30/2017	0	6,225,218	0	0	0	361,177	6,586,395
5348	09/30/2017	0	353,621	790,000	0	0	1,164,099	2,307,720
5349	09/30/2017	0	2,757,517	1,100,000	0	0	527,748	4,385,265
5350	09/30/2017	0	2,757,768	0	0	0	0	2,757,768

Table 6 – Program Income

Program Income – Enter the program amounts for the reporting period				
Balance on hand at beginning of reporting period \$	Amount received during reporting period \$	Total amount expended during reporting period \$	Amount expended for TBRA \$	Balance on hand at end of reporting period \$
588,605	4,286,070	0	0	4,874,675

HOME MBE/WBE report

Table 7 - Minority Business and Women Business Enterprises

Minority Business Enterprises and Women Business Enterprises – Indicate the number and dollar value of contracts for HOME projects completed during the reporting period						
	Total	Minority Business Enterprises				White Non-Hispanic
		Alaskan Native or American Indian	Asian or Pacific Islander	Black Non-Hispanic	Hispanic	
Contracts						
Dollar Amount	444,523,957	0	0	0	0	444,523,957
Number	8	0	0	0	0	8
Sub-Contracts						
Number	68	0	0	3	3	62
Dollar Amount	86,438,350	0	0	2,419,332	635,000	83,384,018
	Total	Women Business Enterprises	Male			
Contracts						
Dollar Amount	444,523,957	134,273,307	310,250,650			
Number	8	1	7			
Sub-Contracts						
Number	68	6	62			
Dollar Amount	86,438,350	1,282,000	85,156,350			

Table 8 – Minority Owners of Rental Property

Minority Owners of Rental Property – Indicate the number of HOME assisted rental property owners and the total amount of HOME funds in these rental properties assisted						
	Total	Minority Property Owners				White Non-Hispanic
		Alaskan Native or American Indian	Asian or Pacific Islander	Black Non-Hispanic	Hispanic	
Number	0	0	0	0	0	0
Dollar Amount	0	0	0	0	0	0

Table 9 – Relocation and Real Property Acquisition

Relocation and Real Property Acquisition – Indicate the number of persons displaced, the cost of relocation payments, the number of parcels acquired, and the cost of acquisition						
Parcels Acquired		0	0			
Businesses Displaced		0	0			
Nonprofit Organizations Displaced		0	0			
Households Temporarily Relocated, not Displaced		0	0			
Households Displaced	Total	Minority Property Enterprises				White Non-Hispanic
		Alaskan Native or American Indian	Asian or Pacific Islander	Black Non-Hispanic	Hispanic	
Number	0	0	0	0	0	0
Cost	0	0	0	0	0	0

CR-20 - Affordable Housing 91.520(b)

Evaluation of the jurisdiction's progress in providing affordable housing, including the number and types of families served, the number of extremely low-income, low-income, moderate-income, and middle-income persons served.

Table 10 – Number of Households

	One-Year Goal	Actual
Number of Homeless households to be provided affordable housing units	1,250	722
Number of Non-Homeless households to be provided affordable housing units	200	206
Number of Special-Needs households to be provided affordable housing units	300	1,405
Total	1,750	2,333

Table 11 – Number of Households Supported

	One-Year Goal	Actual
Number of households supported through Rental Assistance	1,250	722
Number of households supported through The Production of New Units	300	1,405
Number of households supported through Rehab of Existing Units	0	0
Number of households supported through Acquisition of Existing Units	200	206
Total	1,750	2,333

Discuss the difference between goals and outcomes and problems encountered in meeting these goals.

In developing the 2017 Consolidated Plan the City anticipated using a substantial portion of the HOME grant for Tenant Based Rental Assistance (TBRA) to address the homelessness crisis the City is experiencing. At the time of submission we estimated that 1,250 households could be assisted with

TBRA however lease-ups took longer than expected and some homeless families who were eligible for HOME TBRA coupons used other subsidies to exit the shelter system and some are actively looking for housing. As such, allocated funds intended for TBRA were used on other affordable housing developments including projects serving people who are homeless and who have special needs. Additionally, it is important to note that HUD's reporting system asks localities to separately report homeless and special needs households. However, the City uses HOME funds for supportive housing that is designed for people who are both homeless and who concurrently have special needs. The City exceeded its goal of supporting 300 Special Needs households in 2017 with HOME funds. Our commitment to and success in addressing the housing needs of homeless and disabled New Yorkers continues to be reliant on the availability of HOME funds.

Discuss how these outcomes will impact future annual action plans.

In recent years the City has primarily allocated its HOME grant for either special needs/homeless housing or for downpayment assistance for first time homebuyers. This year’s outcomes support the City’s belief that HOME funds can be used successfully in this way and expects this usage of funds to continue in future annual action plans.

As rising home prices continue to impact the access to quality affordable housing for our HomeFirst target population, the City is committed to the continued use of HOME funding to provide well needed gap financing to eligible LMI purchasers through its HomeFirst Down Payment Assistance Program and to creating even more opportunities to link these purchasers to city-sponsored homeownership developments well into upcoming years.

Include the number of extremely low-income, low-income, and moderate-income persons served by each activity where information on income by family size is required to determine the eligibility of the activity.

Table 12– Number of Households Served

Number of Households Served	CDBG Actual	HOME Actual
Extremely Low-income	0	1,653
Low-income	0	680
Moderate-income	0	0
Total	0	2,333

Narrative Information

HOME provided TBRA assistance to 722 households of which 89% went to extremely low-income households, 10% went to very low-income households and the remaining 1% went to low-income households. HOME also provided first time homebuyer assistance to 206 households of which 18% were extremely low-income, 20% were very low-income, and 62% were low-income households. Of the 1,405 HOME rental units, 69% went to extremely low-income households, 19% went to very low-income households and the remaining 12% went to low-income households, representing 39 developments serving special needs throughout New York City.

NYC does not use CDBG funds for rental assistance, the production of new units, or the acquisition of existing units. While CD funds are used to rehabilitate existing units, these activities are aimed at eliminating slum or blighting conditions or increasing accessibility for people with disabilities, not at providing affordability. Accordingly, none of the City’s CDBG-funded rehabilitation activities result in affordable rental housing as defined at 24 CFR § 92.252.

CR-25 - Homeless and Other Special Needs 91.220(d, e); 91.320(d, e); 91.520(c)
Evaluate the jurisdiction's progress in meeting its specific objectives for reducing and ending homelessness through:

Reaching out to homeless persons (especially unsheltered persons) and assessing their individual needs

ESG funds support outreach activities to street homeless persons to engage and connect them to services and help them move into transitional and permanent housing. In 2017, these funds supported three outreach programs that provide coordinated services and make placements in drop-in centers, safe havens, stabilization beds, shelters and permanent housing settings. Many of these placements also provide homeless individuals with meals, counseling, medical/psychiatric services, showers, laundry facilities, recreation space, referrals for employment, assistance in applying for benefits and other social services. Based on SAGE HMIS reporting, 2,412 persons were engaged by one of the three ESG-funded outreach programs.

The Department of Homeless Services (DHS) deploys outreach teams 24 hours a day, seven days a week across New York City. DHS and the Department of Health and Mental Hygiene (DOHMH) jointly fund four street outreach programs, three of these are partially funded by ESG dollars. Additionally, the Metropolitan Transit Authority (MTA) co-funds a transit program with DHS to assist homeless persons in the subway system. The scope of this outreach includes homeless services in all five boroughs of NYC and 476 stations of the NYC subway system.

HOME-STAT was launched in New York City in March 2016, and is the most comprehensive street homeless outreach initiative in any major city in the United States. The launch of HOME-STAT doubled the number of street homeless outreach staff working to regularly meet each homeless individual, gain trust and convince individuals to accept services, and then connect people to the resources they need to be placed into housing. HOME-STAT's comprehensive street homelessness outreach effort includes daily outreach in order to identify every individual living on the street, as well as an online dashboard system that maps requests for homeless outreach assistance from the public. Outreach services have also been expanded into indoor spaces such as libraries and hospitals.

In the 2017 Action Plan, the City set an aggressive goal of making 600 placements into temporary or permanent housing. In 2017, the ESG-funded outreach programs were able to make 551 placements into temporary or permanent housing, achieving 92% of the goal.

Addressing the emergency shelter and transitional housing needs of homeless persons

Governed by a unique right-to-shelter mandate, New York City provides temporary emergency shelter to families with children, adult couples without minor children, and single adults without available housing alternatives. DHS collaborates with not-for profit partners to provide temporary shelter and services that homeless New Yorkers need to achieve and maintain housing permanency. In April 2016, Mayor de Blasio announced a major restructuring of homeless services in NYC, followed by a release of a comprehensive plan in February 2017 to turn the tide on homelessness, neighborhood by neighborhood. The plan's guiding principle is community and people first; giving homeless New Yorkers, who come from every community across the five boroughs, the opportunity to be sheltered closer to

their support networks and anchors of life in the communities they called home in order to more quickly stabilize their lives.

The City is also working to improve conditions within the existing shelter portfolio. It has created a coordinated multi-agency Shelter Repair Squad that aggressively inspects homeless shelters to identify and address building violations and shelters in need of repairs, has increased City Capital budget funding for shelter upgrades, and has put into place a hotline for shelter residents so that it can respond quickly to their concerns.

The City continues to phase out the use of “cluster site” shelter units, returning them to the market so that the apartments can be restored as low-rent housing. DHS has ended the use of more than 42 percent of cluster units citywide as part of its commitment to phasing out the 18-year-old stop-gap cluster site program. Since Mayor de Blasio’s 90-day review of homeless services, the City has phased out the use of more than 1,500 cluster units as shelter, including more than 1,000 units in the Bronx, where cluster use is historically most prevalent, transitioning more than 5,000 New Yorkers out of cluster units as a result.

In 2017, ESG funding provided critical support to emergency shelter and essential services in the following ways:

- Sixteen Single Adult shelter programs and one Adult Family Shelter program received ESG funding in 2017. DHS placed 2,028 individuals from these ESG funded shelters into permanent housing during the year.
- DHS operates several emergency shelters specifically for single adult clients who have substance use issues. ESG funding supported substance-use counselors as well as substance-use services to further support individuals struggling with substance-use. Acknowledging that mental health issues are a common barrier to housing permanency, ESG funding also supported mental health services within 328 single adult shelter portfolio.
- New York City created a non-traditional model of emergency shelter for unsheltered individuals who repeatedly refused to enter shelter called a “Safe Haven” (not to be confused with HUD-funded Safe Havens). These shelters offer low-threshold rules and provide private/semi-private sleeping areas. A flexible model, it allows providers to best meet the needs of the chronically unsheltered homeless population and are used for placement by outreach teams only. ESG funding supported three NYC Safe Havens in 2017.
- ESG funding supported two Drop-In Centers in 2017. Drop-in Centers provide clients with food, shower/bathroom facilities and chairs to rest. Case managers and housing specialists work with clients to obtain any needed services, medical care, mental health treatment, benefits and permanent housing.

In the 2017 Action Plan, the City set a goal of assisting 12,100 clients in emergency shelter with the support of ESG funds. In 2017, the ESG-funded emergency shelter programs assisted 14,328 clients, achieving 118% of the goal.

Helping low-income individuals and families avoid becoming homeless, especially extremely low-income individuals and families and those who are: likely to become homeless after being discharged from publicly funded institutions and systems of care (such as health care facilities, mental health facilities, foster care and other youth facilities, and corrections

programs and institutions); and, receiving assistance from public or private agencies that address housing, health, social services, employment, education, or youth needs

The Homebase program remains at the center of New York City's homeless prevention efforts. Homebase's community-based prevention has expanded to ensure that Homebase is the first point of entry for those at risk of homelessness and that people can be served in their home borough. There are offices located in all five boroughs and an additional two sites are being added, to bring the total number of sites to 25 by the end of City Fiscal Year 2018.

Comprised of community-based programs in areas of high-need, Homebase assists families and individuals to overcome immediate housing issues that could result in them becoming homeless and helps them stay housed in their community. The program is overseen by The Human Resources Administration (HRA). The agency works with the not-for-profit providers to use data analytics to proactively target prevention services for the most at-risk and assistance is individualized to meet the needs of each household. Services include tenant / landlord mediation; household budgeting; emergency rental assistance; job training and placement; and benefits advocacy (child care, food stamps, tax credits, public health insurance). Also, by co-locating HRA staff at Homebase sites, HRA has expanded onsite processing and triage for HRA benefits, including public assistance and rental assistance. Homebase programs are expanding their case management services to include family mediation, educational advancement, employment and financial literacy services.

The Homebase program maintains a high success rate, as measured by the percent of clients served who do not enter the DHS shelter system within one year of enrollment. In City Fiscal Year 2017, 94% of families with children, 94% of adult families, and 92% of single adult households served by Homebase did not enter shelter within a year of their enrollment.

In the 2017 Action Plan, the City set a goal of assisting 5,200 persons in households without children in Homebase programs with the support of ESG funds. In 2017, the ESG-funded Homebase programs assisted 11,495 persons in households without children, achieving 221% of the goal.

Helping homeless persons (especially chronically homeless individuals and families, families with children, veterans and their families, and unaccompanied youth) make the transition to permanent housing and independent living, including shortening the period of time that individuals and families experience homelessness, facilitating access for homeless individuals and families to affordable housing units, and preventing individuals and families who were recently homeless from becoming homeless again

New York City has made strides since the launch of the 5-year Consolidated Strategic Plan (2015-2019) in assisting homeless persons transition to permanent housing and stabilizing in the community to avoid future homelessness. The City rolled-out a local program, Living in Communities (LINC), to provide rental assistance to individuals and families to move out of shelter. In 2015, the city added two other supports: City Family Eviction Prevention Supplement/Family Exit Plan Supplement (CityFEPS) and the Special Exit and Prevention Supplement (SEPS), which provide rental assistance to people leaving shelter. This was the first time since 2011 that the City or State had offered this kind of rental assistance to families, and the first time ever that the City created its own rental assistance program for individuals. New York City has coupled this with funding and incentives for landlords and brokers to rehouse homeless persons.

Further, New York reopened Section 8 housing vouchers and New York City Housing Authority apartments to a targeted number of homeless families. From July 2015 through February 2018, a total of 81,124 individuals in 29,768 households were placed into permanent housing through this expansive portfolio of rental assistance programs.

New York City has also launched the largest municipal commitment ever to build and expand supporting housing. Supportive housing integrates case management and connection to mental health and substance use disorder treatment along with referrals to counseling, medical care, and other social and supportive services as needed. It has a proven record of helping stabilize lives and reducing reliance on homeless shelters, hospitals, mental health institutions and jail. In 2016, after the Mayor's commitment to fund 15,000 units over 15 years, the Mayor created a Task Force of nonprofit providers that was charged with analyzing the best way to develop and deliver our plan. The Task Force developed essential recommendations for operationalizing the plan, including the prioritization of these units for those most in need. The City has released RFPs for 99% of the units and is already making awards and moving clients into apartments.

In 2017, the City made a commitment to providing universal access to legal services for all New York City tenants facing eviction in housing court phased in over five years. All tenants facing eviction will have access to free legal assistance and all tenants with low incomes will have full legal representation. The City will provide free legal representation in court to New Yorkers with household incomes below \$50,000 (200 percent of the federal poverty level for a family of four), and legal counseling to those earning more. The City estimates an additional 400,000 New Yorkers each year will come to housing court backed by quality legal assistance when this initiative is fully operational.

With ESG funding, the city has also been able to support the following activities to support housing stability:

- In 2017, 2,028 individuals in ESG-funded shelters were placed into permanent housing.
- Employment is a cornerstone of efforts in emergency shelters to help clients return to housing independence. ESG funds support several employment initiatives operated in emergency shelter, including a program offering a substance-free environment for men that stresses the importance of saving money and self-sufficiency. This program offers career counseling, job search and placement services.

CR-30 - Public Housing 91.220(h); 91.320(j)

Actions taken to address the needs of public housing

The Public Housing Reform Act of 1998 allows for the development of public housing units, either replacement or incremental, through mixed-finance transactions. Developments with public housing units currently under construction include Prospect Plaza and Randolph Houses. NYCHA's in-place preservation work – called "Permanent Affordability Commitment Together" (PACT) – centers on converting public housing units to Section 8 via federal pathways such as HUD's Rental Assistance Demonstration ("RAD") and adjacent programs. PACT is a NYCHA program to make major improvements to developments while preserving long-term affordability and maintaining strong resident rights through public-private partnerships.

Additionally, new housing developments on underutilized NYCHA land are underway. The *NextGen Neighborhoods* program creates 50% affordable and 50% market rate housing to provide new affordable housing units as well as proceeds to fund repairs to existing NYCHA buildings. Other new affordable housing developments are also underway, including the recently completed developments Stanley Commons at Linden & Boulevard Houses, Soundview Family and Soundview Senior at Soundview Houses, and CAMBA Supportive Housing at Van Dyke Houses. NYCHA residents receive a preference for a percentage of the units within new affordable housing developments.

Prospect Plaza

The Prospect Plaza Redevelopment Project is a phased redevelopment project located in the Ocean Hill-Brownsville section of Brooklyn. The first phase was completed in 2005, which included construction of 37 two-family homes. All homes were occupied during the summer of 2005, with 32 of the homes purchased by public housing residents that were first time home buyers. The second phase was completed in the summer of 2009, which included the construction of 150 affordable rental units with 45 units set aside for relocated Prospect Plaza and other public housing residents.

In May 2011, HUD granted conditional approval of the Prospect Plaza HOPE VI Revitalization Plan Amendment, which included demolition of the three remaining vacant Prospect Plaza buildings containing 240 apartments.

The balance of the Prospect Plaza project (the "Prospect Plaza Sites") is a mixed-finance and mixed-income development comprised of rental units and public housing units owned and managed by a private third-party development and management entity. The development includes 80 public housing units and approximately 314 affordable rental units. The non-public housing units will be affordable to households making up to 60% AMI. In addition, the project will include a supermarket, community center, and a recreation space. The design of the project was based on input from former Prospect Plaza residents and other community stakeholders during a three-day design workshop ("Re-Vision Prospect Plaza") held by NYCHA in June 2010. In December 2011, NYCHA and the New York City Department of Housing Preservation and Development ("HPD") released a Request for Proposals ("RFP") for development. Responses to the RFP were submitted in April 2012. A development team was selected in January 2013. A demolition contractor was procured by HPD and demolition work commenced in May 2013 and ended in Spring 2014. Construction of Phase I (110 units including 38 public housing units) started in July 2014 and is now complete. Construction of Phase II (149 units including 42 public housing units) started in March 2015 and is now complete. Closing of construction

financing for Phase III took place in March 2016 and the project is currently under construction. This phase will include 135 units, a supermarket, and a community facility.

Relocated Prospect Plaza residents in good standing who wish to return to the redeveloped community will be given a preference during the lease up of the public housing apartments. A site-based waiting list created by NYCHA will be used to place tenants in the public housing units.

Randolph Houses

A Request for Proposals (“RFP”) was issued on August 22, 2011, which called for the redevelopment of Randolph Houses in two phases: (i) Phase One as a mixed-finance transaction whereby the south side lots would be ground leased and the south side buildings conveyed to a private developer for gut rehabilitation with the creation of at least 140 public housing units and (ii) Phase Two as the conveyance of the north side properties for the redevelopment of mixed income housing. The design yields a total of approximately 283 dwelling units of which 147 will be public housing. The New York State Historical Preservation Office (SHPO) approved this renovation plan in January 2011. Construction began on Phase I of II in March 2014. Phase I construction was completed in April 2016 for Buildings A and B respectively and public housing residents have moved in. Phase II closed on construction financing in 2016 and is expected to be completed in 2018.

NextGen Neighborhoods Housing Initiatives

Holmes Towers, Manhattan

NYCHA intends to lease a parcel of approximately 15,000 square feet on Block 1573, Lot 20 with approximately 310,000 square feet of development rights for market rate and affordable housing development as part of the NextGen Neighborhoods Program. NYCHA in collaboration with HPD issued a RFP in Spring 2016 and a developer was designated in Spring 2017. A Section 18 Application will be submitted in 2018 and construction is scheduled to begin in late 2018.

Wyckoff Gardens, Brooklyn

NYCHA intends to lease two (2) parcels of approximately 31,000 and 25,000 square feet respectively, both on Block 394, Lot 1, with approximately 500,000 square feet of total development rights for market rate and affordable housing development as part of the NextGen Neighborhoods Program. NYCHA in collaboration with HPD issued a RFP in Spring 2016 and a developer was designated in late 2017. A Section 18 Application will be submitted in 2018 and construction is scheduled to begin in 2019.

La Guardia, Manhattan

NYCHA intends to lease a parcel of approximately 10,000 square feet on Block 256, Lot 1 with approximately 350,000 square feet of residential development rights for market rate and affordable housing development as part of the NextGen Neighborhoods Program. NYCHA in collaboration with HPD will issue an RFP in 2018.

Cooper Park, Brooklyn

NYCHA intends to lease a parcel of approximately 17,000 square feet on Block 2867, Lot 1 with approximately 185,000 square feet of residential development rights for market rate and affordable housing development as part of the NextGen Neighborhoods Program. NYCHA in collaboration with HPD will issue an RFP in 2018.

NextGen 100% Affordable Housing Initiatives

Mill Brook, Bronx

In 2017, NYCHA leased a parcel (Block 2548 Lot 2) with approximately 126,055 square feet of development rights for the construction of a 159-unit senior housing development. Construction began in 2017 and is expected to be completed in 2019.

Ingersoll, Brooklyn

In 2017, NYCHA leased a parcel (a portion of Block 2034 Lot 134) with approximately 124,000 square feet of development rights for the construction of a 146-unit senior housing development. Construction began in 2017 and is expected to be completed in 2019.

Van Dyke I, Brooklyn

NYCHA intends to lease a parcel of approximately 36,000 square feet on Block 3777, Lot 1, with approximately 191,500 square feet of residential development rights for construction of a 180-unit family housing development. NYCHA in collaboration with HPD issued a RFP in 2015 and a developer was designated in 2016. A Section 18 Application was submitted in 2017. A new developer was designated in late 2017 and construction is expected to begin in 2018.

Betances V, Bronx

NYCHA intends to lease a parcel of approximately 12,600 square feet on Block 2287, Lot 26, for construction of a 149-unit senior housing development. NYCHA in collaboration with HPD issued a RFP in 2016 and a developer was designated in 2017. A Section 18 Application will be submitted in 2018 and construction is scheduled to begin in 2019.

Betances VI, Bronx

NYCHA intends to lease a parcel of approximately 9,800 square feet on Block 2291, Lot 1, for construction of a 101-unit family housing development. NYCHA in collaboration with HPD issued a RFP in 2016 and a developer was designated in 2017. A Section 18 Application will be submitted in 2018. Demolition of the existing one-story commercial structure and construction of the new affordable housing development is scheduled to begin in 2019.

Morrisania Air Rights, Bronx

NYCHA intends to lease a parcel of approximately 21,200 square feet on Block 2409, Lot 98, for construction of a family housing development. NYCHA in collaboration with HPD issued a RFP in 2017. A developer was designated in 2018. A Section 18 Application will be submitted in 2018 and construction is scheduled to begin in 2019.

Sumner, Brooklyn

NYCHA intends to lease a parcel of approximately 24,200 square feet on Block 1580, Lot 1, for construction of a senior housing development. NYCHA in collaboration with HPD issued a RFP in 2017. A developer was designated in 2018. A Section 18 Application will be submitted in 2018 and construction is scheduled to begin in 2019.

Twin Parks West, Bronx

NYCHA intends to lease a parcel of approximately 16,500 square feet on Block 3143, Lots 234, 236 and 240, for construction of a family housing development. NYCHA in collaboration with HPD issued a RFP in

2017. A developer was designated in 2018. A Section 18 Application will be submitted in 2018 and construction is scheduled to begin in 2019.

Harborview Terrace, Manhattan

NYCHA intends to lease a parcel of approximately 29,000 square feet on Block 1084, Lot 9, for construction of a family housing development. NYCHA and HPD selected a developer in September 2007 to construct two buildings with a minimum of 210 units on the Harborview parking lot mid-block on West 56th Street between 10th Avenue and 11th Avenue. The required ULURP land use review procedure was completed in November 2008. Due to changes in the City's affordable housing finance markets, this project had been on hold and was reactivated by NYCHA and HPD through issuance of a new RFP in May 2017 for affordable housing development. A developer was designated in 2018. A Section 18 Application will be submitted in 2018 and construction is scheduled to begin in 2019.

Baruch Houses, Manhattan

NYCHA intends to lease a parcel of approximately 6,800 square feet on Block 323, Lot 1 for construction of a senior housing development. NYCHA in collaboration with HPD issued a RFP in 2017. A developer designation is anticipated in 2018.

Bushwick II CDA (Group E), Brooklyn

NYCHA intends to lease a parcel of approximately 7,800 square feet on Block 3325, Lot 1 for construction of a senior housing development. NYCHA in collaboration with HPD issued a RFP in 2017. A developer designation is anticipated in 2018.

Justice Sonya Sotomayor Houses, Bronx

NYCHA intends to lease a parcel of approximately 9,400 square feet on Block 3730, Lot 1 for construction of a senior housing development. NYCHA in collaboration with HPD issued a RFP in 2017. A developer designation is anticipated in 2018.

NextGen Permanent Affordability Commitment Together (PACT) Initiatives

RAD at Ocean Bay (Bayside)

In December 2016, NYCHA closed its first RAD transaction at Ocean Bay (Bayside) in the Rockaways neighborhood of Queens, converting 1,395 apartments in 24 elevator buildings from public housing to Section 8. NYCHA entered into a public-private partnership with MDG Construction + Design (developer), The Wavecrest Management Team (property manager), Catholic Charities of Brooklyn and Queens (social services provider), and Ocean Bay Community Development Corporation (resident outreach and engagement arm). The project is being financed with Superstorm Sandy recovery funds from FEMA, along with New York State Housing Finance Agency tax-exempt bonds and equity generated from federal 4% Low Income Housing Tax Credits. The project's total development cost is \$560 million and overall investment in the project is projected at \$325 million; funds are being directed to extensive capital improvements, including the installation of upgraded heating and security systems, new boilers and roofs, and updated apartment interiors that include new windows, kitchens, and bathrooms. All rehab work is occurring with tenants-in-place; no residents are being relocated or displaced as a result of the project. RAD repairs will be completed in 2018 and the remaining FEMA work will conclude in June 2019.

RAD at Scattered Sites in the Bronx and Queens

In January 2017, HUD approved NYCHA to convert approximately 1,700 units in the Bronx and Brooklyn from public housing to Section 8 Project-Based Vouchers (PBV) via RAD/PACT. In May 2017, NYCHA issued an RFP to identify development partners to facilitate the conversion of funding, raise financing, perform the required capital rehabilitation, undertake property management, and deliver social services at the 17 affected scattered site developments, which are broken up into three bundles as follows:

1. Bundle 1 (the Bronx): Twin Parks West (Sites 1 & 2); Franklin Avenue I Conventional; Franklin Avenue II Conventional; Franklin Avenue III Conventional; Highbridge Rehabs (Anderson Avenue); Highbridge Rehabs (Nelson Avenue)
2. Bundle 2 (the Bronx): Betances II, 9A; Betances II, 13; Betances II, 18; Betances III, 9A; Betances III, 13; Betances III, 18; Betances V (partial); Betances VI (partial)
3. Bundle 3 (Brooklyn): Bushwick II (Groups A & C); Bushwick II CDA (Group E); Palmetto Gardens

In January 2018, NYCHA selected development partners for all three bundles. Construction is expected to begin at the developments in Bundles 1 and 2 in 2018 and at the developments in Bundle 3 in 2019.

PACT Program for LLC II/Unfunded Units

In July 2017, NYCHA announced it is expanding the PACT program to protect the Authority's unfunded unit portfolio, which consists of eight developments known as the LLC II developments, which are as follows:

1. Baychester, the Bronx
2. Murphy, the Bronx
3. 344 East 28th Street, Manhattan
4. Wise Towers, Manhattan
5. Independence, Brooklyn
6. Williams Plaza, Brooklyn
7. Boulevard, Brooklyn
8. Linden, Brooklyn

The unfunded unit portfolio currently receives no public housing funding. To finance badly needed repairs at these developments and preserve their affordability, NYCHA is expanding PACT to create a public-private partnership and bring these units into the Authority's Housing Choice Voucher (Section 8) program. PACT's key principles, which apply to both the RAD portfolio and the unfunded unit portfolio, include protecting long-term affordability and guaranteeing strong resident rights. This is accomplished by shifting the funding source for apartments to NYCHA's Section 8 program and creating a public-private partnership with management and development partners to raise funds, complete badly needed repairs, including roof replacements, facade repairs and enhanced security features, and efficiently oversee day-to-day operations. Additionally, funding previously diverted to these developments from the rest of NYCHA's portfolio will now go towards operation and maintenance at NYCHA's traditional public housing developments. Completion of the full PACT conversion is expected by 2026.

In September 2017, NYCHA released an RFP to identify development partners to raise financing, perform capital rehabilitation, undertake property management, and, where appropriate, deliver social services at the eight affected developments. Community engagement and resident conversion began at Baychester and Murphy Houses in August 2017. As of February 2018, 83% of residents at Baychester and 77% of residents at Murphy have been converted to Section 8 for an overall conversion rate of 81%. Developer designation for these two Bronx developments is expected in 2018 and construction is

expected to begin in 2019. NYCHA will begin community engagement and resident conversion activities at Independence and Williams Plaza in Brooklyn in 2018.

Additional Affordable Housing Development Activities

Linden Houses and Boulevard Houses, Brooklyn

In December 2006, NYCHA and HPD together issued an RFP to identify a developer to build 53 two and three-family townhouses for homeownership. In November 2007, a developer was selected to build the townhouses. In addition, NYCHA and HPD invited a non-profit housing sponsor to seek HUD Section 202 funding to develop an 80-unit senior residence with supportive services. The senior housing building closed on construction financing in May 2013 and construction is complete. Due to changing financial conditions, the plan for homeownership units was revised to 240 rental apartments; the disposition application was amended in 2014 to reflect the change. Construction of seven buildings with a total of 240 units were completed in 2017 and is expected to be fully tenanted in 2018.

Robert Fulton, Manhattan

In December 2006, NYCHA in collaboration with HPD issued a RFP to identify a developer to construct new affordable housing on a parking lot located on West 18th Street (mid-block) between 9th and 10th Avenues. A developer was selected in September 2007. The Fulton project was modified as part of the Chelsea Market Rezoning and the proposed building which is under construction will include 160 units for households with income from 50% AMI to 165% AMI. Construction is expected to be completed in early 2019.

Soundview, Bronx

In 2008, NYCHA and HPD conditionally designated a developer to build affordable housing on an under-utilized parking area at Rosedale Avenue and Lacombe Avenue along Soundview Park. The plan included two eight-story buildings with 206 low income rental units for families and seniors and 16 two-family townhouses for homeownership in a multi-phased affordable housing development project. On June 27, 2013, NYCHA disposed of a 68,500 square foot lot for construction of 120 rental units for low-income households ("Phase I"). Phase I was completed in November 2015. On December 19, 2013, NYCHA disposed of a 48,452 square foot lot for construction of 86 units for low-income seniors: eighty-five Section 8 Housing Choice Vouchers were reserved for the new senior residents ("Phase II" ²). Phase II was completed in June 2016. Phase III consists of construction of 72 for sale cooperative units. Phase III is in development and is expected to close on construction financing in 2018.

East 173rd Street-Vyse Avenue, Bronx

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

East 165th Bryant Avenue, Bronx

NYCHA intends to dispose of a site at 1071 Bryant Avenue, to be merged with an adjacent parcel owned by HPD, for development of low income housing by a non-profit housing sponsor. The project is in development and is expected to close on construction financing in 2018.

Van Dyke I Houses, Brooklyn

In 2015, NYCHA conveyed a parcel of land of approximately 11,562 square feet on a portion of Block 3794, Lot 1 at Van Dyke I Houses in Brooklyn for supportive housing development to accommodate homeless and low-income families. The project completed construction in 2017 and is expected to be fully tenanted in 2018.

Astoria, Queens

NYCHA intends to facilitate the reopening of Astoria Boulevard as a private street for public access through a street easement in conjunction with a mixed-use development in Queens on the waterfront at Halletts Point. The affordable housing project on two parcels will be privately owned and managed. NYCHA residents will have rental preference for 50% of the affordable units. Construction of the first building for affordable housing is scheduled to start in 2018, pending the developer obtaining bond financing or providing to NYCHA a construction completion guaranty.

CDBG-Funded Rehabilitation of Existing NYCHA Units

In 2017, \$29,708,000 in CDBG funds was allocated to the Public Housing Rehabilitation Program (formerly known as the NYCHA Façade Improvement Program),, which will make improvements to properties owned by the New York City Housing Authority (NYCHA). The program's original scope was limited to facade improvement projects. However, in late 2017, the City broadened the scope to include other types of rehabilitation projects. CDBG-funded work is expected to begin in early- to mid-2018.

Actions taken to encourage public housing residents to become more involved in management and participate in homeownership

FHA Small Homes Program

NYCHA has offered residents of its single-family FHA Repossessed Houses the opportunity to qualify and purchase the home they rent. Primarily located in Southeast Queens, the homes are part of the U.S. Department of Housing and Urban Development (“HUD”) approved 5(h) Project HOME Homeownership Plan. In accordance with the plan, NYCHA is repairing the homes to ensure that they meet HUD standards. Residents with incomes sufficient to pay real estate taxes, assessments, utilities, and maintenance on the homes will receive homeownership and financial counseling to prepare them to assume responsibility for owning their homes. Prospective buyers were offered contracts of sale in 2014; closings commenced in the summer of 2015.

Activities completed and planned for 2017-2018 include:

1. Conveyance of single-family homes to NYCHA residents at 16 properties via NYCHA’s 5(h) homeownership plan; and
2. Disposition of 33 single-family vacant FHA homes to Habitat for Humanity and 28 single-family vacant homes and 8 multi-family vacant homes (2-4 units) to Restored Homes for extensive physical rehabilitation and re-sale to low- and moderate-income families.

Resident Associations

Most NYCHA developments have resident associations, also known as tenant associations, resident councils, or tenant councils. These democratic organizations are dedicated to improving the quality of life in NYCHA developments and the surrounding neighborhoods. Resident councils may actively participate through a working partnership with NYCHA giving residents a voice in the operation of their developments. Each resident association's executive board is elected by association members and typically consists of a president, vice-president, secretary, treasurer, and sergeant-at-arms. NYCHA helps residents create a resident association if their development does not already have one. To find out how you can join or create a resident association, contact Resident Engagement at 212-306-8436 or Resident.Engagement@nycha.nyc.gov.

The Citywide Council of Presidents

Every president of a recognized resident association is a member of one of nine District Council of Presidents (DCOP) in the city. Resident association presidents elect an Executive Board Chair to represent their district. Members of the DCOP Executive board automatically become members on the Resident Advisory Board, described below. The Chair of each DCOP automatically becomes a member of the Citywide Council of Presidents (CCOP). CCOP works with senior NYCHA staff on the issues affecting life in NYCHA developments, engaging with government at all levels (local, state, and federal).

The Resident Advisory Board

The Resident Advisory Board (RAB) consists of public housing and Section 8 residents. It primarily addresses various aspects of NYCHA's annual and five-year agency plans, which set forth NYCHA's priorities and policies in 18 core areas and chart the course for NYCHA's short-term and long-term future. RAB members express concerns, make recommendations, and advise NYCHA management as the plans are drafted. RAB's recommendations for the final plan are incorporated when the plan is submitted to the U.S. Department of Housing and Urban Development. RAB members are responsible for informing residents in each development/district about the plans' development at both the draft and final stages. There are 54 RAB members, consisting of 52 elected resident association presidents, and 2 Section 8 representatives.

Financial Capability and Asset Building

REES continues to collaborate with homebuyer education partners in 2017 to host several homeownership workshops. REES is also exploring ways to help residents build positive credit history, which is essential in the home buying process, by exploring alternative means of credit. In 2017 in collaboration with REES and Credit Builder's Alliance the Urban Upbound Federal Credit Union and Brooklyn Cooperative Federal Credit Union formally launched their respective rent reporting pilots. In 2017 and continuing in 2018, REES is partnering with additional homebuyer education partners to bring homeownership classes citywide to NYCHA residents. In 2017, REES collaborated with Neighborhood Restore and Habitat for Humanity to host information sessions for affordable homes for sale in Queens. In 2017, 5 NYCHA residents signed contracts to purchase their own single-family homes through Neighborhood Restore.

For the 2017 tax year, Citi Community Development renewed an investment with the Fund for Public Housing to continue the expansion of available of free tax prep services in NYCHA communities. For the 2018 tax season the program has grown to provide free tax preparation services across nearly 30 community centers and Jobs-Plus sites. In the 2017 tax season, more than 1,700 tax returns were filed using the Virtual VITA method at NYCHA locations.

Family Self Sufficiency

The Housing Choice Voucher or Section 8 Family Self-sufficiency (FSS) Program is a HUD initiative that promotes economic self-sufficiency among participating families by referring them to educational, career counseling, money management, job training as well as job placement services. Participants receive a savings account which grows as the family's earned income increases. Upon completion of the stated goals in the FSS Contract of Participation, the family receives the money accumulated in the account, provided that no member has received cash public assistance in the preceding twelve months and that the FSS member has maintained employment. The money may be used as a down payment on a home, as payment for higher education, as start-up capital for a business or to pursue other personal goals. Participating families run no risk to their Section 8 voucher and may continue to receive Section 8 assistance upon graduation from the program as long as they continue to meet Section 8 eligibility criteria. As of December 31, 2017, there were 821 participants in the program. A total of 336 participants or (41%) of these had active escrow accounts with an average balance of \$3,435.00. In 2017, NYCHA's FSS program began participating in the HUD Family Unification Program (FUP) demonstration initiative with a focus on recruiting youth who have aged out of foster care, and have received NYCHA vouchers, into the FSS program. In addition to receiving the standard FSS benefits, FUP youth who enroll in FSS can extend the duration of their NYCHA Section 8 voucher from 36 months to five years. Additionally, in 2017 the FSS program focused recruitment efforts to residents participating in the Rental Demonstration Program (RAD).

Actions taken to provide assistance to troubled PHAs

The New York City Housing Authority is not designated as troubled.

CR-35 - Other Actions 91.220(j)-(k); 91.320(i)-(j)

Actions taken to remove or ameliorate the negative effects of public policies that serve as barriers to affordable housing such as land use controls, tax policies affecting land, zoning ordinances, building codes, fees and charges, growth limitations, and policies affecting the return on residential investment. 91.220 (j); 91.320 (i)

Housing New York is the City's plan to meet the urgent demand for affordable housing in New York City. In 2017, the City has continued to build on the landmark achievements of passing Mandatory Inclusionary Housing (MIH) and Zoning for Quality and Affordability (ZQA) that support this plan. MIH ensured that new development will generate permanently affordable housing and mixed income communities throughout the city while ZQA reduced stringent parking requirements that increased development costs, promoted quality design standards, and relaxed minimum unit sizes for senior housing. After surpassing original targets, the City has expanded its production target by an additional 100,000 homes, with a new goal to finance a total of 300,000 affordable homes by 2026.

Since launching *Housing New York* in 2014, the City has financed over 87,000 affordable homes – over 28,492 in new construction and 59,065 in preservation. In 2017 alone, the City financed a total of over 24,000 affordable units – 7,177 as new construction and 17,359 as preservation. In 2017, the total number of MIH units approved by City Council (not including units in neighborhood rezoning areas described below), was about 2,500.

The full *Housing New York* plan can be found here: http://www.nyc.gov/html/housing/assets/downloads/pdf/housing_plan.pdf.

The 2017 expansion of the original *Housing New York* plan can be found here: <http://www1.nyc.gov/assets/hpd/downloads/pdf/about/hny-2.pdf>.

In addition to this unprecedented level of housing investment, in 2017 the City worked to accelerate the development of underutilized sites, enact zoning changes to promote new affordable housing, and conduct comprehensive neighborhood plans that address housing and other community needs.

HPD has accelerated its Request for Proposals (RFP) pipeline for new construction, ensuring that underused developable land is transformed into residential and mixed-use development that contributes to broader community revitalization efforts. In 2017, HPD designated 12 RFPs that will result in 29 housing projects with an anticipated 5,100 affordable new homes in 2017. HPD also issued six new RFPs in 2017 that will generate nearly 2,300 affordable homes. To help accomplish these goals, HPD has revamped the RFP document to more clearly communicate its requirements and preferences, as well as open up the process to a broader range of developers.

In 2017, the City enacted zoning changes in two neighborhoods, East Harlem and Downtown Far Rockaway. Together, these zoning changes will allow the creation of an additional 6,611 new homes over the next 15 years over what could have been built under previous zoning. Under New York City's MIH program, this development could create approximately 2,200 of these new homes which would be permanently affordable. In 2017, the City also began public review for two additional rezonings that

could increase housing development capacity by an additional 7,500 homes, of which 25 percent would be permanently affordable pursuant to MIH.

HPD has also conducted comprehensive neighborhood planning efforts to address critical needs and identify opportunities for housing and other forms of community investment.

The Resilient Edgemere Plan, released in March 2017, addresses the impacts of climate change and flooding on the waterfront neighborhood of Edgemere, Queens. The impacts of climate change present a real risk to residents and their homes, and exacerbate social inequity. Edgemere's severe damage from Hurricane Sandy, coupled with the City's ownership of a significant amount of vacant land, created an opportunity to pair the City's recovery efforts with a long term vision for a higher quality of life for Edgemere residents. With this in mind, HPD launched the Resilient Edgemere Community Planning Initiative as a collaboration between City agencies, community members, elected officials, and local organizations. Moving from comprehensive planning towards implementation, the Resilient Edgemere Community Plan lays out clearly defined goals, strategies, and 60 concrete projects, representing millions of dollars in planned investment over the next 10 years and beyond.

The Brownsville Plan is the result of a community-driven process to identify neighborhood goals, form strategies to address local needs, and find resources to fill gaps in service in this low-income community. Within the next five years, the Brownsville Plan will result in the creation of over 2,500 new affordable homes representing over one billion dollars of investment in housing in the neighborhood. New development on City-owned land will support the goals of improving health, safety, community economic development, and the arts by facilitating the creation of a new cultural center in Brownsville, a new center for technology and innovation, and new neighborhood retail and space for community organizations, all paired with affordable housing. In addition, the Brownsville Plan will coordinate over \$150 million in City investments, including renovations of Brownsville's parks, improvements to the open spaces on NYCHA developments, a new community center for teens at Brownsville Houses, and a new Neighborhood Health Action Center.

NYCHA's Accessibility and Visitability Activities

The New York City Housing Authority (NYCHA) is the largest public housing authority in North America. NYCHA's conventional Public Housing Program has 176,220 (as of January 1, 2018) apartments in 325 developments throughout the City in 2,417 residential buildings containing 3,277 elevators.

In accordance with the Voluntary Compliance Agreement (VCA) signed jointly with the Department of Housing and Urban Development in 1996, NYCHA agreed to convert 5% of its total stock of units, equivalent to 8,800 apartments, into 504 accessible units available to residents or applicants with mobility impairments. In addition, NYCHA provides accessibility via reasonable accommodations and increase accessibility to existing conventional apartments through partial apartment modifications.

To date, NYCHA has converted 7,740 units to comply with Section 504 standards and completed approximately 14,402 partial apartment 504 modifications in conventional units.

- Partial 504 apartment modifications includes, but is not limited to, 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 has provided full accessibility to persons with disabilities in 3,592 total units.
- 2017

- o NYCHA provided full accessibility to 569 units via accessibility upgrades to routes, play areas, basketball courts, and parking lot and spaces.
- o NYCHA completed 379 partial 504 apartment modifications in conventional units.

NYCHA also offers reasonable accommodations in policies, procedures and practices that will make non dwelling facilities, services and programs accessible to persons with disabilities.

NYCHA also provides housing assistance through the Section 8 (Housing Choice Voucher) program to an additional nearly 200,000 New Yorkers, in cooperation with nearly 26,000 private property owners. Nearly 600,000 residents in New York City are served by NYCHA's Public Housing and Section 8 programs.

As of January 2018, NYCHA owns and operates a total of 7,470 fully converted accessible apartments for people with mobility impairments, of which 7,324 (98%) are occupied. Furthermore, ninety-eight percent of NYCHA's developments, serving 173,946 families and over 390,000 authorized residents, meet visitability standards, allowing mobility impaired persons to visit families and friends. Visitability means that: 1) at least one entrance is at grade (no step), approached by an accessible route, such as a sidewalk; and (2) the entrance door and all interior doors on the first floor are at least 34 inches wide, offering 32 inches of clear passage space. A visitable home also serves persons without disabilities (for example, a person pushing a stroller or delivering large appliances).

In 2016, NYCHA appointed a Public Accessibility Services Coordinator in the Department of Equal Opportunity's Services for People with Disabilities Unit [DEO SPD]. The Public Accessibility Services Coordinator (PASC) has worked to promote and facilitate accessibility services to members of the public invited NYCHA's forums and events. The PASC, in cooperation with designated NYCHA department liaisons, reviews and updates public accessibility policies and procedures to promote the inclusion of people with disabilities at NYCHA public forums and events.

Actions taken to address obstacles to meeting underserved needs. 91.220(k); 91.320(j)

HOPWA

In addition to providing stable, safe and affordable housing, the HOPWA program also contributed to improved quality of life indicators for HOPWA beneficiaries. The Division of Disease Control carefully tracks and measures client outcomes such as retention in care; treatment adherence; viral load suppression and housing stability, among others. In 2016, the year for which we have the most up to date surveillance data, 99% of HOPWA consumers were linked to care; 99% remained engaged in care; 92% adhered to treatment; and 82% were virally suppressed—a 9% increase from 2015 NYC HOPWA viral suppression data.

Achieving and sustaining viral suppression is a key outcome in NY State's strategy to end AIDS by 2020. As such, in 2016, the Division of Disease control launched the *Getting to 90* initiative to help HOPWA providers introduce changes that would reduce barriers to viral suppression, by establishing a 90% suppression goal. The programmatic, data-driven approach used consumer-level data from our data information system, eCOMPAS—an RDE Systems' web-based reporting platform for NYC HOPWA data—to monitor rates of HIV care engagement and viral suppression. The year-long initiative involved enhancing the eCOMPAS reporting system, training all providers on the new system features,

developing and circulating six agency-level dashboards with engagement in care and viral suppression data, conducting quarterly phone interviews and providing hands-on technical assistance. At baseline, 88% of NYC HOPWA consumers were documented in eCOMPAS as being in care and 73% virally suppressed. Following the *Getting to 90* intervention, DOHMH found agency-reported care engagement rates from baseline to 15 months increased 7%, from 88% to 95%. Furthermore, documentation of viral suppression rates increased at 10 out of 14 agencies, including a 9% overall increase from 73% to 82%. As DOHMH moves past the pilot phase of the *Getting to 90* initiative, we will continue to explore new strategies in 2018 to empower HIV/AIDS housing providers to contribute toward ending the epidemic efforts.

As indicated in the City's Consolidated Plan, the City recognizes the need for more Permanent Supportive Housing (PSH). In order to meet the need for PSH, the City has taken steps to expand available supportive housing resources. In November of 2015, Mayor de Blasio announced a new plan to create 15,000 units of supportive housing over the next 15 years. The City has released RFPs for 99% of the units and is already making awards and moving clients into apartments.

Actions taken to reduce lead-based paint hazards. 91.220(k); 91.320(j)

Housing and Preservation Development

The City operates several programs to investigate, treat and reduce lead-based paint hazards. The City investigates, abates, and removes LBP hazards in City-owned properties and in privately owned dwellings where owners are unwilling or unable to do so after receiving NYC Local Law 1 of 2004 lead paint violations. 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 Emergency Repair Program (ERP) will do the work and place a lien against the property for the cost. For calendar year 2017, HPD maintained three (3) requirements-type contracts for lead hazard reduction at a cumulative total contract maximum of \$3,500,000. In addition, HPD had one (1) contract for dust wipe analysis at a total contract maximum of \$99,999.

In 2017, HPD's Division of Code Enforcement attempted 30,825 inspections, issuing a total of 11,953 violations. 3,135 reinspections were performed. 3,200 violations were certified as corrected. 15,492 violations (includes violations issued in prior years) were removed due to corrections by either the owner or HPD.

Department of Homeless Services

The Department of Homeless Services oversees and manages several initiatives to investigate, treat and eliminate lead-based paint (LBP) hazards in homeless shelters that are operated by the agency, or are operated under contract with the agency. ESG funding allocated through DHS is not used for any maintenance or operation of shelters for Families with Children.

NYCHA Actions Taken to Reduce Lead-Based Paint Hazards

In 2017, NYCHA has conducted qualitative and quantitative lead-based paint activities to support Local Law 1 and HUD compliance¹.

- In February 2017, HUD put into effect a new regulation on children with elevated blood lead levels, and NYCHA developed a plan to get into compliance by the July 2017 deadline.
- From February to June 2017, NYCHA designed a new lead-based paint inspection form for its smartphone application.
- In April 2017, NYCHA issued an RFP to complete 55,000 lead-based paint visual assessments; the contract was awarded to an EPA-certified vendor in July 2017. In September 2017, NYCHA started training the lead-based paint inspection vendor on the new smartphone-based inspection form.
- In May 2017, NYCHA began a comprehensive review of our lead-safe housing procedures, as well as our staff training requirements.
- In August 2017, NYCHA began EPA lead-safe certification training for its painters, plasterers, and other front-line staff.
- In October 2017, NYCHA issued an RFP to train an additional 2,700 staff.
- In October 2017, NYCHA began conducting visual inspections of units where a child under the age of 6 resides and lead-based paint has not been ruled out.
- In December 2017, NYCHA also began conducting visual inspections of common areas in residential buildings where a child under the age of 6 resides and where lead-based has not been ruled out.

Local Law 1 of 2004 and HUD Visual Inspections

Under Local Law 1 of 2004, NYCHA conducts visual inspections of apartments housing children under the age of 6 where the presence of lead-based paint has not been ruled out and in the common areas of such residential buildings where a child under the age of 6 resides. A visual inspection is completed to look for deteriorated paint, evidence of chewable surfaces, and impact and friction surfaces. Additional visual inspections are required under HUD regulations and NYCHA is working to comply with those HUD requirements.

2017 Activity	Date Started	Number as 12/31/2017
Visual inspections of apartments completed	10/16/2017	8,883
Visual inspections of common areas completed	12/27/2017	3,702

Local Law 1 of 2004 Apartment Abatement

Under a Local Law 1 of 2004, NYCHA also tests and abates apartments upon turnover where lead-based paint has not been previously ruled out or abated, providing for the removal or permanent covering of all lead-based paint.

¹ NOTE: As NYCHA has previously disclosed, NYCHA is not in compliance with applicable lead-based paint requirements but is working to ensure full compliance.

2017 Activity	Number as of 12/31/2017
Apartments tested upon turnover	1,719
Apartments tested negative upon turnover	941
Apartments abated upon turnover	732
Apartments pending abatement	43

Department of Health Orders to Abate

NYCHA responds to Commissioner Orders to Abate (COTA) related to a child under the age of 18 with an elevated blood lead level. Beginning in July 2017, NYCHA also began to provide HUD with enhanced reporting required under updated federal regulations.

2017 Activity	Number as of 12/31/2017
Units that received a COTA from DOHMH	10
Units with a COTA rescinded by DOHMH	6
Units with a COTA abated by NYCHA	4

Actions taken to reduce the number of poverty-level families. 91.220(k); 91.320(j)

The de Blasio administration has launched transformational programs and policies including Universal Pre-K, Paid Sick Leave, the Living Wage, and major initiatives in workforce development to better train New Yorkers for good-paying jobs and help secure job placements in fast-growing fields. The Mayor is working with every city agency to bring a focus on equity to its work shifting the City’s approach to focus on skill-building and higher wage jobs that offer opportunities for advancement. Policies such as the Career Pathways Initiative; harnessing affordable housing investments to generate quality jobs; a 10-Point Industrial Action Plan; and, the efforts of NYCHA’s Office of Resident Economic Empowerment & Sustainability (REES) are designed to reduce the number of poverty-level families.

Career Pathways Initiatives – 10 recommendations in three key policy areas:

PA 1. Building Skills Employers Seek – The workforce system will significantly expand its capacity to provide job-relevant skills and education.

- Launch or expand Industry Partnerships with real-time feedback loops in six sectors: healthcare, technology, industrial/ manufacturing, and construction, which will focus on training more New Yorkers for jobs with career potential. Launch Industry Partnerships in retail and food service, which will focus on improving the quality of low-wage occupations.
- Invest annually in bridge programs that prepare low-skill jobseekers for entry-level work and middle-skill job training.

All five industry partnerships continue to advance the agendas set by their respective employer councils and boards. Through the first four months of Fiscal 2018, the NYC Food and Beverage Hospitality Council completed the first two cohorts of training for Stage NYC with the help of the SBS’ Workforce Development Division. The program helps out-of-school, out-of-work youth become employees at restaurants and receive a combination of on-the-job and classroom training over three months to help address the shortage of skilled back-of-the-house talent in

full-service restaurants. A detailed evaluation of the successes and challenges of the first two cohorts—conducted through the end of 2018—will lead to improvements in the program going forward.

The New York Alliance for Careers in Healthcare’s (NYACH) first cohort of the Bilingual Medical Assistant Program at LaGuardia Community College completed training. The program, one of NYACH’s bridge programs, is an intensive, 11-month model informed and designed by NYACH and features integrated contextualized English for Speakers of Other Languages (ESOL) and an updated occupational training curriculum with work-based learning tailored to foreign born New Yorkers. The program ended in November 2017 with over 90% of enrollees completing all components of the program and passing their Medical Assistant certification exams. As the hiring process kicks off, graduates have been equipped to become Medical Assistants with the skills needed to succeed in today’s healthcare delivery system and meet the high demand of employers for trained workers with multilingual abilities.

Also as part of the *New York Works, Creating Good Jobs* plan, the NYC Tech Talent Pipeline (TTP) has responded to feedback from industry and college presidents and launched an initiative to double the number of CUNY tech graduates by 2022. Through the CUNY 2x Tech initiative, TTP and collaborators have established the Tech-in-Residence Corps, a municipal-industry-academic partnership designed to bring qualified industry professionals into the classroom to teach emerging tech skills beginning in the second half of Fiscal 2018. Through Fiscal 2018, TTP will also influence better student advising through dedicated tech academic advisors, who will help students navigate tech careers and the courses needed to pursue them and career advising workshops on CUNY campuses. Finally, the CUNY 2x Tech initiative will further enhance tech instruction through support for new faculty lines aligned to industry needs. These efforts are expected to impact 7,500 students by 2022 and double the number of tech bachelor’s recipients to 2,000 annually.

In the fall of 2017, the Construction Industry Partnership has focused on developing an employer-defined common set of core skills needed for workers seeking entry into the sector. This will contribute to fundamental elements of an aligned system that is accessible to all New Yorkers with clear entry points into career pathways in construction.

SBS is in the process of re-envisioning the Retail Industry Partnership to ensure alignment with current and anticipated industry trends. SBS continues to search for an Executive Director for the industry partnership and expects to have one in place by the end of calendar year 2018.

- Establish Career Pathways as the framework for the City’s workforce system. To meet the commitment to shift from a rapid-attachment model to a population-specific menu of services that emphasize education and employment skills, the Human Resources Administration redesigned its client service models. These programs assess clients’ skills, interests, and employment barriers to connect them with jobs, training, and education or services most likely to help each of them build a career and permanently transition from public assistance. In April of 2017 HRA’s three new Career Services models—CareerAdvance , CareerCompass, and YouthPathways—were launched, providing employment services, education and training opportunities, and wraparound supports for low-income New Yorkers. So

far, clients have reacted positively to changes, which include new approaches to engagement, enhanced assessments, and co-created client service plans.

- Triple the City’s training investment to \$100 million annually by 2020 in career-track, middle-skill occupations, including greater support for incumbent workers who are not getting ahead. In Fiscal 2017, an estimated \$60 million was invested in occupational skills and entrepreneurship training in part through reallocation of the City’s existing workforce funding and resources. The broad array of trainings offered in Fiscal 2017 included: cool roof installation training, the NYACH-informed bridge programs, and the Tech Talent Pipeline’s “Series A” suite of trainings in internet technology, quality assurance, and data analysis for individuals with no previous tech experience. This work continues in Fiscal 2018.
- Improve and expand career and technical education (CTE) and college preparedness programs, adjust CUNY’s alternative credit policy, and invest in career counseling to increase educational persistence and better support students’ long-term employment prospects.

With funding from the City, CUNY is expanding its Accelerated Study in Associate Programs (ASAP) initiative from 4,000 students in 2014, to 25,000 students by academic year 2018-19. ASAP has more than doubled associate degree completion rates for participating students, graduating at least 50 percent of students in three years. In fall 2017, ASAP enrolled 18,630 total students and will reach 21,419 students in academic year 2017-18 including 10,625 new students. The program is on target to meet the full expansion enrollment goal of 25,000 students by academic year 2018-2019.

The redesign of Bronx Community College (BCC) into an ASAP college is underway. During the fall of 2017, the redesign steering committee met on a biweekly basis with various administrative units, staff and faculty from across the college to ensure BCC meets their academic year 2017-2018 enrollment target (3,472 students). ASAP expansion at BCC has resulted in broad system improvements. For example, BCC will acquire new course scheduling software that allows the college to develop and implement student-centered course schedules, which in turn allows ASAP to continue expanding its block course scheduling component and BCC to use its available instructional space as effectively as possible. BCC ASAP was selected as the Associate Level *Examples of Excelencia*, one of only 19 selected finalists and only one of 6 in the specific “Associate” category. *Excelencia in Education* is known for recognizing programs that use evidence-based practices to serve Latino students in higher education at a national level.

- Increase work-based learning opportunities for youth and high-need jobseekers. In Fiscal 2018, the NYC Center for Youth Employment (CYE) continues to build upon its progress towards expanding, improving and connecting youth employment and career exploration services in New York City, promoting greater alignment and collaboration across the youth workforce system to enhance agency and provider support of youth and young adults city-wide. A project of the Mayor’s Fund to Advance New York City, CYE supported DYCD during summer 2017 by helping to serve record numbers of young New Yorkers through the Summer Youth Employment Program in its vulnerable youth (3,170) and Ladders for Leaders (1,855) program options.

CYE also supported the Department of Education (DOE) in its efforts to significantly increase student participation in CareerCLUE, a blended work/learning summer experience across DOE Community Schools and Career and Technical Education programs. This summer 150 young adults participated in CareerCLUE, earning a stipend and elective credit. In collaboration with DOE and DYCD, CYE aims to significantly grow CareerCLUE in summer 2018, serving as many as 500 students.

In the fall of 2017, CYE launched the New York City Performance Partnership Pilot (NYCP3) in partnership with the NYC Children’s Cabinet, DYCD and the Administration for Children’s Services (ACS). NYCP3 seeks to address the specific needs of young parents who are also out-of-school and out-of-work, offering family-friendly support to help them achieve their employment and education goals—including, but not limited to, high school equivalency preparation, occupational skills training, and child care. Through this new initiative, DYCD and ACS are on track to serve 50 young parents and their children.

PA 2., Improving Job Quality - In addition to enabling income mobility by investing in skill development, the City will take measures to support the economic stability of New Yorkers in lower-wage jobs.

- Create a standard that recognizes high-road employers who have good business practices, with the goal of assessing at least 500 local businesses by the end of 2015.
- Improve the conditions of low-wage work by expanding access to financial empowerment resources in partnership with at least 100 employers and pursuing legislative changes such as increasing the minimum wage.

The City is taking measures to promote the economic stability of New Yorkers in low-wage jobs by encouraging good business practices—such as consistent scheduling, access to commuter benefits and financial empowerment services—that can help employers improve their own bottom line and provide stability for employees.

The Best for NYC program aims to help employers learn about and adopt practices that benefit their workers and their bottom lines. The program is the first city-led campaign of its kind and leverages impact assessment tools developed by B Lab, a nonprofit organization that certifies businesses globally for positive social and environmental impact.

In Fiscal 2018, Best for NYC will deepen business services, with a focus on the operational improvements that yield bottom-line growth as well as higher quality jobs and career pathways for their current and future workforce. In the fall of 2017, Best for NYC partners received philanthropic support to pilot a business coaching model that will serve at least 20 businesses in the Bronx and yield learnings that can be replicated. This program builds on the Career Pathways goals to build a network of businesses that assess their practices and learn about tools to create high quality jobs.

PA 3., Increasing System and Policy Coordination – New York City's economic development investments and contracts must work in tandem with training and employment services to deliver value not only for the entities that benefit from public subsidies, but for jobseekers and incumbent workers as well. Accordingly, the multiple agencies that administer workforce programs must also function cohesively, with shared metrics, definitions, requirements, processes, and data systems.

- Maximize local job opportunities through the City's contracts and economic development

investments by establishing a "First Look" hiring process and enforcing targeted hiring provisions in social service contracts

- HireNYC enables the City to use its investments to connect more New Yorkers to good jobs and help local businesses find skilled workers by requiring companies that receive City contracts or City subsidies to engage with the City's workforce system in finding talent. Through HireNYC, WKDEV and the Mayor's Office of Contract Services connect the City's economic investments to the City's workforce system. In Fiscal 2017, HireNYC connected nearly 3,000 low-income New Yorkers to opportunities created by City spending, including human services contracts and projects led by the NYC Economic Development Corporation (EDC). Public Assistance recipients found employment through HireNYC Human Services, earning at least \$12.75 an hour and working 35 hours per week. Hurricane Sandy-impacted residents found work with Build It Back, the Sandy Recovery resident-rebuilding effort, and Workforce1 clients found work through HireNYC EDC projects. HireNYC continues to explore new opportunities to connect with community groups, colleges and neighborhoods to connect more New Yorkers to quality jobs.
- Reimburse workforce agencies on the basis of job quality instead of the quantity of job placements by aligning service providers under a system-wide data infrastructure that measures job outcomes such as full-time work, wage growth, and job continuity. During the first phase of the project, WKDEV and Operations are partnering with the 18 City agencies that administer workforce programs to:
 - Review the Common Metric definitions and standards for verification;
 - Determine which of the metrics are most applicable to each program's operations; and
 - Analyze the current state of agencies' systems and data used to track client participation in these programs.

During the reporting period, WKDEV and Operations continued engagement with agencies. WKDEV and Operations requested and received pilot data from Department of Youth and Community Development, New York City Housing Authority, Department of Parks and Recreation, Human Resources Administration, and Small Business Services based on analysis conducted during Fiscal 2017 and began developing dashboard prototypes to present the data collected through Common Metrics.

Operations continued to work with the Department of Information Technology and Telecommunications to develop the foundations of a new technology platform to integrate workforce data from City agencies into a single repository.

Mayor's Office for Economic Opportunity

The Mayor's Office for Economic Opportunity (NYC Opportunity) uses evidence and innovation to reduce poverty and increase equity. We advance research, data and design in the City's program and policy development, service delivery, and budget decisions. Our work includes analyzing existing anti-poverty approaches, developing new interventions, facilitating the sharing of data across City agencies, and rigorously assessing the impact of key initiatives. NYC Opportunity manages a discrete fund and works collaboratively with City agencies to design, test and oversee new programs and digital products. It also produces research and analysis of poverty and social conditions, including its influential annual Poverty Measure, which provides a more accurate and comprehensive picture of poverty in New York City than the federal rate. Part of the Mayor's Office of Operations, NYC Opportunity is active in

supporting the de Blasio administration's priority to make equity a core governing principle across all agencies.

NYC Opportunity's efforts support many of the initiatives described elsewhere in this section of this document. For example, NYC Opportunity has worked with the Office of Workforce Development to support Career Pathways, through efforts such as funding training initiatives of the Industry Partnership groups, and working to implement a citywide common metrics effort to measure and collect workforce outcomes consistently across City agencies. NYC Opportunity also works with NYCHA's REES and HRA on the implementation and oversight for the Jobs-Plus initiative. For more information please read the [NYC Opportunity 2016-2017 Annual Report](#).

10-Point Industrial Action Plan

The City reaffirms that its industrial and manufacturing sectors are important pathways to the middle class for many families. In order to strengthen these sectors, New York City initiated a 10-Point Industrial Action Plan to help the City achieve three major goals. The three major goals, which are essential to a vibrant and growing industrial economy, are:

- A. Protecting and Strengthening Core Industrial Areas
- B. Investing in the Long-Term Development of Industrial and Manufacturing Businesses
- C. Prepare New Yorkers for Industrial & Manufacturing jobs of the Future

In response to the evolving needs of the industrial and manufacturing economy, the Administration is working with the City Council, business groups, neighborhood associations, and other key stakeholders to develop a framework to accomplish these three goals with Innovation Districts throughout the City. For example:

In 2017, the Department of City Planning (DCP) proposed two proposals for special permits as part of *Investing in the Long-Term Development of Industrial and Manufacturing Businesses* initiative. In May 2017, DCP introduced a proposal for a special permit that would require evaluation of new self-storage facilities on a case-by-case basis. The special permit would apply in designated areas that largely correspond to the City's Industrial Business Zones, with the goal of optimizing and preserving sites with potential for job-intensive industrial uses. The City Planning Commission approved an amended proposal on November 1, 2017. On December 19, 2017, the NYC City Council adopted the Self-storage Text Amendment with modifications which are now in effect.

In October 2017, DCP launched the public environmental review process for a proposal to create a special permit for new hotels, allowing the City to evaluate them on a case-by-case basis. The land use review process for the proposal is expected to commence later in 2018.

For more information on both proposals, see [Self-Storage Special Permit IBZ](#) and [M1 Hotel Text](#) pages.

HPD HOME Program

Harness Affordable Housing Investments to Generate Quality Jobs

In addition to HPD's implementation of the goals of the Section 3 requirements, discussed later in this response, the City's investment in affordable housing seeks to leverage greater Minority and Women Owned Business Enterprises (M/WBE) participation in housing development. Expanding opportunities for these organizations expands the pool of developers and contractors that can build affordable housing in New York City and strengthens the housing industry. The City has implemented several

programs to expand M/WBEs' access to capital, build their capacity, and provide opportunities to increase the participation of M/WBEs in affordable housing development projects through the Building Opportunity initiative.

To build the capacity of M/WBEs, HPD partnered with the NYC Small Business Services to create a program especially designed for affordable housing developers. HPD's capacity building program, which is entering its fourth year, graduated more than 52 M/WBEs and non-profit development firms. To promote the participation of M/WBE developers in HPD's development projects, HPD released a Request for Proposals (RFPs) for pre-qualified M/WBEs to develop six City-owned vacant sites. In 2016, the City designated M/WBE developers and several of the winning teams participated in the City's Building Capacity Workshops.

To create pathways for qualified M/WBE professional service providers and construction contractors to work on HPD-supported affordable housing projects, HPD announced the M/WBE Build Up program in November 2016. The program requires 25% of all City supported cost in any new construction or preservation project receiving \$2 million or more from the City be spent on M/WBEs businesses during the design or construction phase of an affordable housing project. Through the first year, 42 projects are now subject to these program requirements and it is projected that approximately \$177 million dollars will be contracted to M/WBE businesses. In September 2017, HPD launched the Build-Out program, which provides networking opportunities between development teams and to qualified M/WBE and small business contractors interested in working on affordable housing projects in addition to providing a seminar series to increase the business acumen and capacity of these M/WBE and local firms. HPD's new Division of Economic Opportunity and Regulatory Compliance enforces compliance with the program, facilitates connections between M/WBE firms and non-M/WBE partner developers or general contractors, and identifies ways to promote changes in the affordable housing industry to increase the participation of M/WBEs.

HPD and HDC completed revisions to program term sheets and they are available at: [HPD Development Programs](#) and [HDC Termsheets](#).

New York City Housing Authority

Job Training and Placement Overview

The Office of Resident Economic Empowerment & Sustainability (REES) implements programs, policies and collaborations to measurably support residents' increased income and assets with a focus on employment and advancement, financial literacy and asset building, adult education and training, and business development. REES uses a partnership and place-based service coordination model, or "Zone Model", to identify and partner with high-quality economic opportunity service providers in each key service area. This approach broadens NYCHA's scope from resident job training and employment to a more comprehensive suite of high-quality economic opportunity service providers. To date, over sixty providers have since entered into formal partnership with REES, resulting in **6,553** resident connections in 2017 alone to workforce, training, adult education and financial counseling services.

In 2017, there were **571** resident class/training enrollments for services in each service area through REES recruitment efforts. Residents enrolled in training towards the end of 2017 will complete in 2018.

In November 2015, REES launched a new way for residents to receive referrals through "Opportunity Connect." Opportunity Connect is a new feature of the NYCHA Self-Service Portal that allows residents

to refer themselves for services by answering a few simple questions on a web page. Opportunity Connect is part of Doorways to Opportunity – a \$1.4 million investment in New York City public housing residents by Citi Community Development. By fourth quarter 2016 residents could refer themselves to all types of economic opportunity partners including adult education, and workforce development. Of the total number of resident referrals in 2017, 695 were done by residents themselves through Opportunity Connect.

Section 3 Requirements

New York City Housing Authority – Program Highlights: Employment and Advancement

i. Section 3/Resident Employment Program

In 2017, REES facilitated **1026** direct job placements. These job placements included **508** resident job placements leveraged through outside contractors for various projects at NYCHA developments in accordance with the employment–related provisions of the Housing and Urban Development (“HUD”) Section 3 mandate and NYCHA’s Resident Employment Program (“REP”). The Resident Employment Program (REP) is a NYCHA-sponsored program that requires that 15% of the labor costs on a contract be expended on resident hiring. With few exceptions, REP applies to construction contracts valued more than \$500,000.

ii. Jobs-Plus is a proven place-based employment program that provides customized employment services, financial counseling, rent-based incentives and peer to peer support to working age residents in 27 NYCHA Developments. A collaboration between NYCHA, Human Resources Administration (HRA), the Center for Economic Opportunity (CEO), and the Department of Consumer Affairs (DCA), there are currently nine (9) Jobs-Plus sites operating city-wide under the Jobs-Plus expansion. There is a 10th site operated through New York City’s first HUD Jobs Plus initiative grant which was awarded to NYCHA in 2016. In total, the 10 Jobs-Plus sites serve over 25,000 working age NYCHA residents. The Jobs-Plus expansion marks a key milestone in NYCHA’s new approach to better support its residents to increase their income and assets by working with public and private partners to identify gaps in service offerings and to develop strategies that attract high quality resources and proven economic opportunity models, like Jobs-Plus, into public housing neighborhoods. Collectively, in 2017, Jobs Plus achieved 998 resident placements.

iii. The NYCHA Resident Training Academy is a public/private initiative funded by the Robin Hood Foundation. The NRTA began in August 2010 as a citywide, employment-linked training program for NYCHA residents. Residents receive training from some of New York City’s premier vocational training providers in preparation for jobs with NYCHA, its contractors, and the private sector. Since the launch of the program, **over 1,900** NYCHA residents have graduated the Academy with 90% moving on to employment directly with NYCHA and in various construction-related positions with NYCHA contractors and external affordable housing developers.

iv. Green City Force (GCF) is a NYC-based AmeriCorps program that combines national service and workforce development to reduce carbon emissions while providing urban young adults with training and leadership opportunities related to greening the economy. Green City Force has partnered with NYCHA’s Office of Resident Economic Empowerment & Sustainability since 2009 to recruit qualified NYCHA Residents ages 18-24 for their full-time stipend-paid program that provides training leading to certifications, college-prep, leadership development and hands-on work experiences. To date, over 360 Residents have graduated from GCF’s 6-month Clean Energy or 10 month Urban Farm Corp programs.

About 80% of graduates are employed or enrolled in college or a training program post-graduation. In 2017, REES continued to work closely with Green City Force on an initiative to recruit young adults into Green City Force programming from the Mayor's Action Plan (MAP) developments for their Clean Energy Corps. Additionally, in 2017 Green City Force and NYCHA partnered on a green construction training track of the NYCHA Resident Training Academy. GCF secured funding from an employer partner to place interested GCF alum into a pre-apprentice construction training track under the NRTA. This pilot graduated 11 residents, nearly all of whom were then placed into employment or an apprenticeship soon after completion. The pilot also puts into action items outlined under the planning grant received from GCF through the Young Adult Sectoral Employment Project (YASEP), sponsored by JobsFirstNYC, of which NYCHA was a key partner.

Community Development Block Grant Program

In 2017, a total of \$28,765,237.76 in Community Development Block Grant (CD)-funded contracts was subject to the Section 3 requirements. Four businesses with a combined contract value of \$2,807,498.09 qualified as Section 3 businesses. There were 15 new hires associated with covered projects, of which 6 persons were Section 3 residents. Please see the full "Section 3 Summary Report" for CDBG for more information.

HPD HOME Program

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

- HPD includes information on Sec. 3 requirements in the equal opportunity packages provided to HPD loan recipients, contractors and their sub-contractors at weekly Pre-Award Conferences.
- HPD includes the Section 3 clause in its HUD-funded contracts, alerting each entity of the program and its obligations. The clause also requires its placement in every subcontract subject to Section 3 regulations.
- HPD has created and posted a [HUD Section 3 webpage](#) at the HPD website. The webpage contains an explanation of the regulations, reporting forms, a Section 3 Business Concern application, a Business Concerns directory and a listing of employment/training referral sources. The webpage provides firms working with the Agency easy access the information they need to comply.
- HPD has procured and is implementing a new web based payroll management system. The LMAC (Labor Management And Compliance) service collects, stores, and manipulates business profile and certified payroll information as required by labor laws and socioeconomic mandates, including Section 3.
- HPD, in line with the policy of the City of New York, posts job notices on its website. Job notices are also available at the NYC Dept. for Citywide Administrative Services website and at public bulletin boards throughout the City.
- HPD has partnered with the NYC Department of Small Business Services (DSBS) to provide the employment and training services of DSBS's Workforce1 Centers. HireNYC is a free program designed to help New Yorkers access training and jobs through the City's purchases and investments. Under HireNYC, the NYC Department of Small Business Services' Workforce1 provides high-quality recruitment services to employers and high-quality employment services to jobseekers. HPD is now partnering with HireNYC to better connect

low-income workers to construction job opportunities generated by our affordable housing development projects.

Housing Opportunities for Persons with AIDS

The City of New York does not use its HOPWA funds for construction or rehabilitation of permanent supportive housing. Thus, there were no training, employment, or contracting opportunities generated by HOPWA funding in 2017.

Emergency Solutions Grant

The City of New York does not use its ESG funds for construction or rehabilitation of emergency or transitional homeless shelters. Thus, there were no training, employment, and contracting opportunities generated by ESG funding (Section 3-related beneficiaries).

Actions taken to develop institutional structure. 91.220(k); 91.320(j)

The City of New York has a sophisticated and comprehensive infrastructure in place to meet the various needs of persons who are homeless or at-risk of becoming homeless. While the service delivery system within New York City is robust, the City recognizes the need for more permanent supportive housing and is already taking action to address this need through a plan to create 15,000 more supportive units over the next 15 years.

As noted previously, New York City has made significant investments and plans to enhance the provision of homeless prevention, shelter and rehousing services. As part of this work, the structure and delivery of services related to homelessness is changing. Instead of operating separately, there is now an integrated management structure with both HRA and DHS reporting to the Commissioner of Social Services. Support divisions and administrative staff now work under the structure of the Department of Social Services (DSS) to support both DHS and HRA core functions and program divisions. This will ensure homeless services are delivered as efficiently and effectively as possible with a focus on both preventing vulnerable New Yorkers from becoming homeless and rehousing individuals and families in shelter into housing in the community.

In the spring of 2016 2016, Mayor de Blasio announced a comprehensive plan to reform the delivery of homeless services in New York City. The plan includes enhancement and expansion of homeless prevention and greater street outreach through HOME- STAT, to engage street homeless individuals and connect them to support services. Management improvements are in progress for shelter safety and operations. "Turning the Tide," a report issued in February 2017, laid out a blueprint for addressing homelessness that includes providing borough-based services and shrinking the footprint of the shelter system by closing facilities, including eliminating the 18-year "cluster" apartment program and commercial hotel use, and opening 90 new borough-based shelters. Learn more about how DHS is turning the tide on homelessness, neighborhood by neighborhood at nyc.gov/tide.

Actions taken to enhance coordination between public and private housing and social service agencies. 91.220(k); 91.320(j)

DSS, as the ESG recipient, coordinates extensively with NYC's Coalition on the Continuum of Care (CoC) and the Consolidated Plan (Con Plan) jurisdiction. Efforts are made around shared goals, listed in NYC's five year Con Plan which are consistent with the CoC's strategic plan: investing in proven strategies to reduce the number of homeless individuals on the streets; preventing those families and individuals at-risk of homelessness from entering shelter; and ensuring that shelter is a short-term solution to a housing crisis by rapidly re-housing families and individuals. It aims to end homelessness, with an emphasis on chronic and veteran's homelessness. The alignment of the Con Plan goals and the CoC's strategic plan has led to coordinated efforts within the jurisdiction to comprehensively address the needs of homeless individuals and families as well as those at risk of homelessness.

NYCHA Elderly Safe at Home

Elderly Safe at Home The program provides comprehensive crime prevention education, crisis intervention, and general crime victim assistance to elderly residents in the South Bronx. The program also offers workshops on entitlements, health and nutrition, conducts monthly meetings to disseminate information on crime prevention and arranges monthly shopping trips to area supermarkets. During 2017, the program provided 3,635 units of support services to approximately 191 residents monthly, and conducted 1,873 home visits. (This program is operated at 4 developments in the South Bronx.)

NYCHA Service Coordinator Program

Service Coordinator ProgramThe Service Coordinator Program is operated in 1 development in lower Manhattan. Service Coordinators assist 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. During 2017, the program provided 1,967 units of supportive services to an average of 75 residents monthly in 1 development, and conducted 83 home visits. (This program ended on 12/31/2017)

NYCHA Senior Resident Advisor Program

Senior Resident Advisor ProgramThe Senior Resident Advisor Program consists of trained paraprofessionals 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. NYCHA operates this program at 16 senior-only developments. During 2017, the program provided 17,979 units of support services to an average of 581 residents monthly, and conducted 7,637 home visits. (The program is operated at 6 developments - Bronx (3), Brooklyn (1) and Manhattan (2).)

NYCHA Naturally Occurring Retirement Communities (NORCs)

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. Approximately 20.5% of the NYCHA population is over 60, and not all live in senior-

designated buildings. The NORC program concept is to provide services to the elderly who do not live in units built for the elderly through building community infrastructure support services, which include the following: 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. Based on DFTA's reports, from January 1, 2017 to December 31, 2017, the NYCHA NORC program provided services to nearly 23,138 active clients. In Fiscal Year 2018, DFTA awarded \$2,771,223 to twelve NYCHA NORCS.

NYCHA Re entry Pilot Program

NYCHA Re-Entry Pilot Program Launched in November 2013, the Family Re-entry Pilot Program started as a collaborative effort between the New York City Housing Authority (NYCHA) and the NYC Department of Homeless Services (DHS). The Vera Institute of Justice completed their evaluation of the program in November 2016 and held a "Public Housing Access" meeting in Trinity Church in downtown Manhattan to address the results of the program. Representatives from the State Department of Corrections and Community Supervision, The Federal Government HUD Agency attended, along with managers of other public-housing groups from other major cities across the country. The success of the program led NYCHA to incorporate it into a regular part of agency operations in January 2017, following a three-year pilot period. The program's success has resulted in a three-site replication funded by Governor Cuomo within New York state as well as other housing authorities replicating the program across the country.

The opportunity to live in secure and affordable housing is critical to having an effective second chance and a route to economic stability. While there is a lack of dedicated resources, which is a regular hindrance to community-based and government service providers, it has been especially impacting to the program. The program is operating steadily and has an increase of monthly participants; and, it's clear that the need is greater than the 125 participants NYCHA is currently serving. In the evaluation report, Vera estimates the number of people released from prison with NYCHA ties annually could be as high as 1,250. With more staff capacity, NYCHA will be able to increase its outreach efforts, provide more support to the families of program participants, and increase the rate of referrals to the program, thus serving more families. As of January 30, 2018, NYCHA received 220 referrals of which 125 were accepted.

NYCHA has embarked on a fundraising campaign for the Family Reentry Program, to increase internal staff capacity, as well as provide dedicated resources to the program partners. This will increase NYCHA's capacity to serve this population and increase impact.

Identify actions taken to overcome the effects of any impediments identified in the jurisdictions analysis of impediments to fair housing choice. 91.520(a)

HUD's guidance on the Affirmatively Furthering Fair Housing (AFFH) Final rule outlines a "balanced approach" to fair housing planning, and encourages a broad range of "meaningful actions" that "taken together, address significant disparities in housing needs and in access to opportunity, replacing segregated living patterns with truly integrated and balanced living patterns, transforming racially or ethnically concentrated areas of poverty into areas of opportunity, and fostering and maintaining compliance with civil rights and fair housing laws." The City's actions over the past year reflect HUD's recent guidance, employing both place-based and mobility strategies to further fair housing, and educating tenants and owners about their fair housing rights and obligations. In addition to this work, the City has demonstrated its firm commitment to fair housing by moving forward with a robust fair housing planning process despite HUD's recent postponement of the requirement to submit an Assessment of Fair Housing (AFH). The City's enhanced Analysis of Impediments (AI), to be submitted in 2019, will reflect the full extent of the data analysis, community engagement, and goal-setting that would have been required in the AFH.

The *Housing New York* plan has built on the previous year's successes by continuing to build and preserve affordable housing in areas of higher opportunity, and use the preservation and development of affordable housing, along with other investments, to help neighborhoods in need of revitalization and residents at risk of displacement.

In high opportunity neighborhoods, land and other costs of development remain extremely high, presenting a challenge to providing affordable housing in these areas. The City's strategies for addressing that challenge leverage the strong private market to provide affordable housing through mandatory and voluntary inclusionary housing policies, tax incentives, and making regulations and regulatory processes more efficient and less costly.

In neighborhoods in need of revitalization, the City's investment strategy follows HUD's guidance from the AFFH rule, which offers examples of "community revitalization" strategies, or "realistic planned activities to improve the quality of life in areas that lack public and private investment, services and amenities, have significant deteriorated and abandoned properties, or other indicators of community distress." These activities include: rehabilitating housing; offering economic incentives for housing developers/sponsors and businesses; securing financial resources to fund housing improvements, community facilities and services, and business opportunities in neighborhoods in need of revitalization; and preserving affordable housing when a community is being revitalized to promote integration.

The City's 2016 CAPER described some of the largest *Housing New York* initiatives that have helped to overcome impediments to fair housing choice, including the passage of Mandatory Inclusionary Housing (MIH), development of new financing programs to create mixed-income housing, and development of new preservation tools to keep buildings affordable. In 2017, the City continued to implement this work, and advanced new initiatives to address impediments to fair housing, including efforts to fight displacement due to economic pressures, promote mixed income housing and affordable homeownership, and educate residents and building owners about their rights and responsibilities under fair housing laws.

Anti-Displacement

HUD's guidance on the Assessment of Fair Housing tool describes "displacement of residents due to economic pressures" as a factor contributing to fair housing issues such as segregation, racial or ethnic concentrations of poverty, and lack of access to opportunity. Economic pressures "can lead to loss of existing affordable housing in areas experiencing rapid economic growth and resulting in a loss of access to opportunity assets for lower income families that previously lived there. Where displacement disproportionately affects persons with certain protected characteristics, the displacement of residents due to economic pressures may exacerbate patterns of residential segregation." Housing costs in New York City have significantly outpaced income growth, contributing to a lack of housing choice and higher displacement risk. Even as some neighborhoods have become more integrated and poverty levels have decreased, low-income residents risk being priced out and forced to move to more segregated and higher poverty areas. To address this issue, the City is making a significant effort to fight displacement through a range of efforts.

HPD's preservation work directly combats displacement by securing affordability agreements for existing affordable housing at risk of going "market rate," counteracting the enormous economic pressure on existing affordable housing that threatens to displace low income residents. In areas where the City supports the development of new affordable housing, the City works to preserve nearby affordable housing. In 2017 alone, the City preserved 17,359 affordable apartments, out of a total 59,065 affordable apartments preserved since the inception of the *Housing New York* plan.

In addition to its preservation programs, the City worked with the City Council to protect tenants from displacement through three significant pieces of legislation that create a "Certification of No Harassment" (CONH) program, a Speculation Watch List, and guarantee of legal representation in Housing Court for low-income New Yorkers.

The CONH Bill requires building owners seeking to demolish or make significant alterations to their building to prove they have not engaged in harassment before they can get the permits they need from the NYC Department of Buildings. If a landlord is found to have harassed tenants, they will not be able to pull those permits for five years – unless they make a substantial portion of their building affordable to low-income families, with no public subsidy. Through this legislation, the City has significantly expanded the existing CONH program under a three-year pilot, which will cover any building citywide where there has been a final determination of harassment in court within the preceding five years, any building where a full vacate order has been issued or where a building has been placed in HPD's Alternative Enforcement Program, and community districts that indicate significant distress or have undergone neighborhood-wide rezoning.

The Speculation Watch List will help to combat predatory equity practices by using existing data to identify recently sold rent regulated buildings where tenants are at risk of displacement due to potentially predatory investors. HPD will look primarily for sales transactions of rent-regulated buildings with low capitalization rates— buildings with sales prices higher than expected when compared to similar market transactions—as an indicator for predatory owners drastically raising rents, and in some cases engaging in tenant harassment, to increase profits. The bill represents another significant milestone for tenant harassment legislation in New York City.

In addition to harassment prevention efforts, the City and City Council introduced universal access to legal representation for all low-income tenants facing eviction proceedings in Housing Court, becoming

the first city in the country to guarantee legal assistance. Tenants facing eviction did not previously have a right to counsel, contributing to a major inequity in the Housing Court system. The program, which is overseen by the Civil Justice Coordinator at the Human Resources Administration, is projected to serve up to 400,000 tenants when it is fully implemented in five years.

New Mixed-Income Housing:

HUD's guidance on the AFFH rule includes "increasing the availability of affordable housing, including mixed income housing" as a mobility strategy in high-opportunity areas and a place-based strategy to integrate racially and ethnically concentrated areas of poverty. The City made a significant effort to support the creation of new mixed income housing in 2017.

HPD has updated program terms to support the development of housing that serves a broad range of incomes, even in 100 percent affordable buildings. HPD revised program term sheets for the Extremely Low & Low-Income Affordability (ELLA) and Mix & Match to serve a wider range of incomes, and has made a \$1.9 billion capital commitment to target lower incomes and include homeless set asides in these projects. The ELLA program serves residents with incomes ranging from 30 to 100 percent of AMI, and includes a requirement for homeless residents. The Mix & Match program funds new construction of low-income and moderate and/or middle income households.

The reform of the 421-a tax exemption, which passed in 2017, creates a strong economic incentive for private developers to build mixed-income housing in high-cost neighborhoods. While the previous version of the program allowed developers to build rental housing in many areas of the city without any income restrictions, the new program incentivizes developers both to house lower income households in higher opportunity areas, and to create long-term middle-income housing in areas of the city that have been disproportionately poor and are the most segregated.

Homeownership:

In addition to its investment in affordable rental housing, the City launched several initiatives to expand affordable homeownership opportunities for New Yorkers. New York City's homeownership rate of approximately 30 percent is much lower than the national average of over 60 percent, and homeownership is not distributed equally among protected class groups. The City's support for affordable homeownership therefore promotes housing choice for New Yorkers, provides families with a means to build wealth, and offers struggling homeowners the opportunity to stay in their homes.

As part of its expansion of the original *Housing New York* plan, the City is launching Open Door, a new program to finance the construction of co-ops and condos for households earning between approximately 80 and 130 percent of AMI. The City will market homes to first-time homebuyers who have participated in homeowner education training. The program will allow owners to build limited equity in their homes over time, balancing the goal of asset building with the city's need for ongoing affordability for future generations.

The City is also helping low-income homeowners to stay in their homes by helping to pay for necessary repairs that contribute to the health and safety of their home and maintain the value of their property. This investment also helps protect low-income homeowners from aggressive speculators who target them with cash offers. To address this issue, HPD created HomeFix, a program to help low- and moderate-income homeowners in small, one-to-four family properties fund home repairs. Leveraging

the services of multiple community and non-profit partners, the new program will pair financial counseling with financial assistance.

To address the challenge of distressed vacant homes on the brink of foreclosure, HPD launched the Zombie Homes Initiative, a one-year pilot program to address the problem of “zombie” homes – vacant, distressed, small homes with delinquent mortgages. While these homes are in financial and legal limbo, they reduce opportunities for affordable homeownership, contributing to NYC’s housing shortage and undermining neighborhood stability. HPD has hired three new staff to conduct exterior surveys, build a new citywide database, design new approaches to return zombie homes to productive use, and inform homeowners at risk of foreclosure of available resources. Additionally, HPD helps enforce the Zombie Property and Foreclosure Prevention Act of 2016, new state legislation requiring lenders and servicers to inspect, secure, maintain, and report zombie homes to the New York State Department of Financial Services. In the first six months of the pilot year, the team has surveyed 274 likely zombie homes, collected evidence at 49 unmaintained properties for potential legal cases, compiled more than 25 municipal datasets to inform its database, and begun research on potential policy and acquisition strategies.

Fair Housing Outreach:

HPD’s Fair Housing Services Program raises public awareness of the protections available to prevent discriminatory policies and practices in the housing marketplace while also expanding housing choice. It affirms the City’s commitment to implement the goals and objectives of federal and city mandates to promote housing choices free of discriminatory barriers.

HPD coordinates its Fair Housing Services Program with the New York City Commission on Human Rights (CCHR). CCHR’s mission is to enforce the most comprehensive local human rights law in the country. The mission of CCHR complements HPD’s dedication to curbing housing discrimination. For part of 2017, HPD provided CDBG funds to CCHR under the terms of an interagency memorandum of understanding (MOU) between the two agencies.

The New York City Human Rights Law (NYCHRL) prohibits housing discrimination based on a person’s race, color, religion, disability, national origin, familial status, sexual orientation, age, alienage and citizenship status, marital status, partnership status, status as a veteran, lawful occupation, gender, or lawful source of income. Because the NYCHRL is inclusive of the protected categories covered by the federal Fair Housing Act, the agencies’ coordinated efforts are compliant with HPD’s federally-mandated obligation to promote fair housing.

The Fair Housing Services Program is focused on raising awareness of the rights and responsibilities created by the federal Fair Housing Act and the NYCHRL. HPD staff review fair housing obligations during HPD’s weekly pre-award conferences, which entities doing business with the agency must attend. HPD conducted 51 conferences, which were attended by 708 representatives of businesses doing business with the Agency as loan or contract recipients.

HPD, in partnership with local political and community leaders, also co-sponsors community forums (“Landlord Resource Fairs”, “Tenant Resource Fairs” and “Small Homeowner Resource Fairs”), which provide information on housing rights, HPD housing lotteries, low cost repair loans, housing court procedures and rent protections. The forums also provide attendees the opportunity to meet with representatives of NYC agencies (including CCHR staff) and community-based organizations to discuss

questions and concerns. In calendar year 2017, HPD co-sponsored 23 workshops, attended by 1,836 New Yorkers. HPD and CCHR also conducted four “Fair Housing in Practice” workshops for 171 representatives of building owners and development entities involved in Agency programs prior to beginning marketing of new units.

HPD and CCHR maintain a website that promotes awareness of fair housing practices and enforcement. The Fair Housing NYC website provides the public with a broad range of fair housing-related content and referral services, including summaries of relevant laws, examples of discriminatory policies and practices, and links to CCHR and HPD resources. Through the website, HPD and CCHR received 48 complaints in 2017. The site can be accessed at: <http://www.nyc.gov/html/fhnyc/html/home/home.shtml>.

HPD also contracted with Vanguard in 2017 to create marketing materials providing targeted communication about HPD’s preservation finance programs. Through these programs, HPD is able to maintain affordability and protect tenants who may otherwise be vulnerable to housing discrimination. Vanguard designed print brochures and a social media campaign.

HPD and CCHR also collaborated by funding fair housing testing conducted by the Fair Housing Justice Center (FHJC). For fiscal year 2017, FHJC completed 18 tests. Thirteen of the entities tested were found to have violated the lawful source of income provision of the NYCHRL. CCHR is expected to file complaints against the entities that violated the NYCHRL.

Community Outreach by the Commission on Human Rights

The Commission on Human Rights continued to educate housing providers and community groups on their rights and responsibilities, offering 263 fair housing workshops and presentations to 2,709 attendees, and providing technical assistance to 1,350 people as part of the Citywide Task Force in Housing Court, as well as through tenant organization meetings.

The Commission also hosted its fifth annual Fair Housing Symposium, which this year was held at Hostos College in the Bronx. The symposium provided Know Your Rights workshops to over 200 tenants, advocates, service providers, attorneys, and tenant organizations with a special focus on combating lawful source of income discrimination. Commission attorneys were also on site to take housing complaints from attendees.

Evaluation of the Current Fair Housing Complaints

All New York City residents in public and private housing may file housing discrimination complaints with either the HUD's Office of Fair Housing and Equal Opportunity (FHEO); or the U.S. Department of Justice (DOJ); or with the City of New York's Commission on Human Rights. Residents of buildings owned by the Department of Housing Preservation and Development or the Housing Authority may file internal complaints at their agencies. All of the agencies listed above can and will investigate complaints, or if necessary refer them to the appropriate governmental entities.

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

Once a housing discrimination complaint has been filed, an investigation is commenced to ascertain if the complaint has merit. This section describes current status of fair housing discrimination complaints filed between January 1, 2017 to December 31, 2017 where a "probable cause" for the discrimination has been found.

A. Probable Cause Determinations Issued by the Secretary of HUD

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

During the period of January 1, 2017 through December 31, 2017, in the New York City area there were 19 Probable Cause determinations issued by the NYSDHR under the following basis: eleven (11) probable cause determinations involved claims of disability discrimination; three (3) probable cause determinations involved claims of discrimination based on the complainant's race/color; two (2) involved national origin discrimination; two (2) probable cause determinations involved a claim of retaliation for exercising the complainant's legal rights; and one probable cause determination involved claims of discrimination based on familial status.

Seven (7) cases involved denial of reasonable accommodation for a disability; five (5) cases involved denial of equal terms, conditions, and privileges of tenancy; six (6) cases involved evictions/threatened eviction; one (1) case involved refusal to sell housing; and nine (9) cases involving other housing discriminatory practices.

During this time there were fourteen (14) complaints formally settled before the Division; ten (10) complaints are pending a hearing; and, four (4) have been transferred to the Supreme Court for adjudication at either the complainant's or respondent's request.

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

New York City is divided between two federal judicial districts: the Eastern District of New York, which includes Brooklyn, Queens and Staten Island; and the Southern District of New York, which includes the Bronx and Manhattan. In addition, private plaintiffs may file their own housing discrimination lawsuit directly with the Department of Justice's main office in Washington, D.C.

Eastern District

During the time period of January 1, 2017 to December 31, 2017, the U.S. Department of Housing and Urban Development did not refer any cases to the Eastern District Office for prosecution concerning alleged instances of housing discrimination within the City of New York.

Southern District

During the time period of January 1, 2017 to December 31, 2017, the U.S. Department of Housing and Urban Development referred 6 cases to the Southern District Office for prosecution concerning alleged instances of housing discrimination within the City of New York.

The Southern District Office filed a Complaint and simultaneous Consent Decree against a major real estate developer for failing to design and construct apartments building that were not fully accessible to

persons with disabilities. (*U.S. v. Silverstein Properties*, 17 Civ. 0076 (VSB)). Under the Consent Decree, entered January 13, 2017, the defendants must make certain retrofits so that the buildings are accessible for people with disabilities. The settlement also provides for a fund for victims, a civil penalty, and a fund for accessibility improvements.

The United States filed a Complaint and simultaneous Consent Decree against a major home mortgage lender for discrimination on the basis of race and ethnicity in the lender’s wholesale lending channel. (*U.S. v. JP Morgan Chase*, 17 Civ. 347 (AJN)). Under the terms of the Consent Decree, entered January 20, 2017, over \$50 million will be distributed to a nationwide class of victims, some of whom live in New York City.

The United States filed another Complaint and simultaneous Consent Decree against a major real estate developer for failing to design and construct apartments building that were not fully accessible to persons with disabilities. See *U.S. v. Albanese*, 17 Civ. 358 (JSR) (Consent Decree entered February 14, 2017). Under the Consent Decree, the defendants must make certain retrofits so that the buildings are accessible for people with disabilities. The settlement also provides for a fund for victims, a civil penalty, and a fund for accessibility improvements.

The Southern District Office filed a Complaint and entered into a Consent Decree with a Manhattan residence for failing to offer reasonable accommodations to tenants with disabilities who need service animals. (See *U.S. v. Friedman Residence*, 17 Civ. 366 (PKC)). The terms of the Consent Decree, entered February 27, 2017, permit service animals.

The Southern District Office filed a Complaint against a developer for failing to design and construct an apartment building that was not fully accessible to persons with disabilities. (*U.S. v. Equity Residential*, 17 Civ. 274 (JPO)) The complaint was filed January 13, 2017. The suit is pending.

Lastly, the Southern District Office filed a Complaint against the designers and developers of 33 West End Avenue, 2 Cooper, and other properties in New York City and Westchester County (*United States v. Atlantic Development Group, LLC*). The complaint alleges that the defendants violated the Fair Housing Act by failing to design and construct these properties so as to be accessible to persons with disabilities. The suit is pending.

Washington, D.C. Department of Justice Office

The U.S. Department of Justice, Civil Rights Division’s Housing and Civil Enforcement section provided the information described above. The cases were filed in the respective District Courts.

C. Fair Housing Complaints made to Local Agencies

In 2017, the Commission on Human Rights filed 265 complaints related to housing discrimination. The complaints consisted of claims involving:

Age	9
Alienage	12
Citizenship Status	10
Color	8
Disability	86
Gender	20

Interference with Protected Rights	8
Lawful Source of Income	85
Marital Status	4
National Origin	40
Pregnancy	1
Presence of Children	12
Race	63
Relationship/Association	4
Religion/Creed	9
Retaliation	6
Sexual Orientation	12
Victim of Domestic Violence/Sex Offense /Stalking	3

It should be noted that a complaint may allege discrimination based upon more than one protected class, which means that the numbers above (representing claims within a complaint) will total more than the 265 complaints filed in 2017.

The Commission also engaged in 203 Commission-initiated investigations into housing discrimination in the following areas: lawful source of income (the use of government rental subsidies such as Section 8 vouchers): 265, gender: 5, disability: 9, race: 5, association: 1, national origin: 6, age: 1, alienage status: 7, citizenship status: 2, religion/creed: 2, lawful occupation: 1, sexual orientation: 1, and retaliation: 1.

In addition, the Commission’s Law Enforcement Bureau conducted 206 tests to investigate housing discrimination. 160 tests focused on source of income discrimination, 14 tests focused on race discrimination, 3 tests focused on discrimination based on the presence of children, 10 tests focused on disability discrimination, and 19 tests focused on immigration status discrimination. The tests uncovered 42 incidents of discrimination: 39 on the basis of source of income, 2 on the basis of disability, and 1 on the basis of immigration status.

In addition to using Commission testers, the Commission partnered with the Fair Housing Justice Center (“FHJC”) on testing. FHJC focused on testing for source of income discrimination in housing. The Commission and FHJC worked with the Mayor’s Office for Data Analytics to identify neighborhoods in which to focus testing for greatest impact, with the goal of using enforcement to open up housing in neighborhoods virtually closed to voucher holders because of discrimination.

Claims of housing discrimination continued to comprise a large portion of the Commission’s caseload in 2017. More than a third of cases filed in 2017 (265 of 747) alleged discrimination in housing. Within those housing claims, the largest number of claims by protected class were those based on disability (86), lawful source of income (85), race (63), and national origin (40).

NYCHA's Responses to Allegations of Housing Discrimination

NYCHA’s Department of Equal Opportunity (DEO) investigates residents’ or applicants’ housing discrimination complaints internally and recommends corrective or conciliatory action where necessary. NYCHA DEO also investigates applicants’ claims of denial of eligibility based on disability. In 2017, NYCHA received 51 new complaints and opened 12 Fair Housing investigations. NYCHA DEO closed 56 matters during 2017, which clear all 2016 and prior cases. NYCHA DEO reviewed 0 housing eligibility

disability matters as referenced below. In 2017, NYCHA's Law Department investigates complaints filed by residents and applicants with the State Division of Human Rights, the City Commissioner of Human Rights, and/or HUD.

Total number of housing discrimination investigations opened by DEO in 2017: **12**

Complaint Basis	Number of Cases
DISABILITY	1
GENDER	2
GENDER:RACE:RELIGION	1
LAWFUL SOURCE OF INCOME	1
NATIONAL ORIGIN	1
PARTNERSHIP STATUS	1
RACE	3
SEXUAL HARASSMENT	2
Grand Total	12

Total number of probable cause determinations: 1

No applicants who were determined ineligible for public housing asserted the denial was based on disability between January 1, 2017 and December 31, 2017. The number of applications where ineligibility determination was revoked: 0.

NYCHA's Non Discrimination Training

Fair Housing Programs Within the New York City Housing Authority

NYCHA is committed to providing equal housing opportunities for all qualified residents and applicants and prohibits unlawful discrimination.

NYCHA's Non-discrimination Training

DEO also conducts mandatory training for all NYCHA employees on non-discrimination policies, including equal employment opportunity; sexual harassment; fair housing non-discrimination; and reasonable accommodation. NYCHA posts its Fair Housing Non- Discrimination Policy conspicuously at development management offices, community centers, hearing rooms and public places where NYCHA serves residents and applicants.

NYCHA's Services for People with Disabilities

Through the DEO Services for People with Disabilities Unit (SPD), NYCHA will continue to strengthen its relationships with advocates and organizations that assist people with disabilities. SPD provides assistance and information to applicants and residents with disabilities to assist them in obtaining decent, affordable and accessible housing, and assists in processing reasonable accommodation requests of NYCHA residents with disabilities. In 2017, SPD responded to or assisted with 285 reasonable accommodation matters from residents, applicants, Section 8 voucher holders and/or their respective advocates. The SPD also handled approximately 724 housing related matters from clients who either telephoned or were walk-ins. Housing applicants, residents, Section 8 voucher holders and others in

need of assistance with disability issues may call the “Hotline” at (212) 306-4652 or TTY at (212) 306-4845

NYCHA Applicants, Residents and Section 8 voucher holders with a disability may request reasonable accommodations to participate in NYCHA’s programs, services, or activities. Residents may contact their property management office Monday through Friday from 8:30AM to 4:30PM, or the NYCHA SPD at 212-306-4652, or TTY telephone at 212-306-4845, Monday through Friday, from 8:30AM to 5:00PM. NYCHA property management staff at these locations provides assistance to facilitate reasonable accommodation requests. Section 8 Participants and Applicants for Public Housing may contact NYCHA’s Customer Contact Center at (718) 707-7771, or local NYCHA Walk-In Centers offices in the Bronx and Brooklyn New York, or NYCHA’s SPD, or TTY telephone at 212-306-4845, Monday through Friday, from 8:30AM to 5:00PM for reasonable accommodation assistance.

NYCHA'S Services for Homeless Families

In 2014, NYCHA reinstated the highest housing priority for homeless families in NYC Department of Homeless Services (DHS) shelters, upgrading their need-based priority from N-4 to N-0 (the highest Need-Based priority). NYCHA also gives preference of the approximately 4,500 public housing apartments that become available each year to DHS homeless families on the NYCHA Working Family list. In addition, utilizing the City’s public housing resources to address the homeless population is an important step in receiving New York State support for a homeless rental subsidy. NYCHA’s plan not only addresses local housing needs but is also in line with the national objectives of using mainstream housing assistance programs as an essential part of achieving former President Obama’s goals of the 2010 Federal Strategic Plan to End Homelessness. In further support of the Mayor’s Housing Plan, NYCHA also connected homeless families holding top priority on the Section 8 waiting list with available Section 8 project-based units in the Authority’s 21 LLC developments. NYCHA will continue to prioritize homeless individuals for Section 8.

NYCHA Assisting LEP Persons

NYCHA assists individuals with limited English proficiency (LEP) in accordance with the United States Department of Housing and Urban Development’s “Final Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient (“LEP”) Persons,” published in the Federal Register at 72 FR 2732 (January 22, 2007).

NYCHA’s Language Services Unit (“LSU”) consists of two interpreters for each of the following languages: Spanish, Chinese and Russian. LSU also administers a Language Bank, with 140 volunteer NYCHA employees who speak 34 languages, to provide language services to LEP individuals. In addition, LSU annually assesses NYCHA’s language assistance needs, and monitors NYCHA’s language delivery assistance services in conjunction with its programs and services for residents, applicants, and Section 8 voucher holders. LSU also makes recommends for modifications to NYCHA’s language services-related activities, as appropriate.

NYCHA translates vital documents into the languages it most frequently encounters (Spanish, Russian, and Chinese). NYCHA also posts various documents on its website, with links to translations.

During 2017, NYCHA launched an LEP Pilot Project, which enables NYCHA staff to arrange for immediate over-the-phone interpretation services from a third-party language vendor. The goals are to improve customer service for LEP residents; reduce wait times for over-the-phone interpretations; improve

tracking and reporting for language services; and enhancing efficiency in the delivery of language assistance. Results of the pilot will inform NYCHA's delivery of language services.

NYCHA also includes a "Translate this Page" feature on its web site to assist LEP individuals.

Super Storm Sandy Community Development Block Grant Disaster Recovery (CDBG-DR) Program

On January 29, 2013, Congress passed the Disaster Relief Appropriations Act, 2013, which requires grant recipients to certify that they will each affirmatively further fair housing when using grant money. Affirmatively furthering fair housing includes conducting an analysis of impediments to fair housing choice and taking actions to overcome the identified impediments.

New York City's \$4.2 billion CDBG-DR allocation covers a variety of recovery and resiliency activities throughout the City, including but not limited to the Build It Back housing recovery program, covering both single family and multifamily housing, and the New York City Housing Authority (NYCHA) program covering repair and resilience work on a variety of NYCHA housing developments. All activities the City plans to undertake with its CDBG-DR allocation are description in the NYC CDBG-DR Action Plan. In order to ensure New Yorkers have equal access to the content provided in the Plan, translations are provided in Spanish, Russian, and Chinese. Additionally, when the City holds public hearings on Action Plan Amendments, on-site translation services are provided in these same languages.

Build it Back Program

As a Community Development Block Grant Disaster Recovery program, the Build it Back program (the "Program") seeks to meet the national objectives of benefitting low- and moderate-income (LMI) persons, preventing and eliminating blight, and meeting particularly urgent needs of homeowners who sustained damage to their properties as a result of Hurricane Sandy. Various factors including the location of a property and the nature of damage sustained by the property result in different prospective assistance pathways for applicants including reimbursement, moderate rehabilitation, rebuild, elevation, and acquisition.

All residential buildings which served as a primary residence on October 29, 2012, and were damaged by the storm, whether they were owner-occupied or renter-occupied (year-round) may be eligible for Build It Back assistance. As part of the intake process, the Program verifies the income of the household living in each unit contained within an application. The Program does not repair second homes, only homes which are used as a primary residence including rental properties which provide housing to New Yorkers. This is ensures that properties which will be used as primary residences for LMI New Yorkers are repaired to safe and sanitary conditions, restoring housing.

Knowing how crucial every dwelling unit is, the Program has a goal not to lose any legal housing units in the repair and rehabilitation program. All efforts are made to ensure that existing units will be rebuilt as part of the elevation or reconstruction process. The Department of Buildings has instituted a series of ongoing inspections, certifications and notifications to ensure that all work being done to homes being elevated or reconstructed complies with Appendix G of the New York City Building Code and FEMA regulations.

In neighborhoods affected by the storm and shifts in coastal flood hazards, which necessitate changes to the form of buildings, local planning studies and community outreach is required to identify and implement land use and zoning changes to facilitate rebuilding and increased resilience. Neighborhood

studies take into account current and projected future flood hazards, land use, housing, access to shopping, services, jobs, and transportation, built form and quality of the public realm, economic challenges of rebuilding and flood insurance costs, and other factors.

As stated in the City of New York's 2012 Affirmatively Furthering Fair Housing Statement for its conventional federal formula entitlement grant programs, the City's zoning regulations, as a whole, do not represent a regulatory barrier to fair housing choice. However, each of the City's residential zoning districts have their own respective bulk, density, height, setback, and open space requirements, which in certain instances may limit or entirely prohibit the reconstruction or new construction of affordable housing in FEMA's new Base Flood Elevation (BFEs) zones due to the fact the BFEs require the buildings to be built elevated to specific heights.

There are occasional construction challenges and where necessary, the Mayor's Office of Housing Recovery Operations (HRO previously applied for General City Law (GCL) waivers for sections 35 and 36 to expedite construction. Section 35 generally prohibits building in the bed of any street identified on an official map. Section 36 generally prohibits the issuance of a certificate of occupancy for buildings that do not front on a mapped street. HRO applied for waivers of GCL 35 and 36 in bulk for over 1,000 storm damaged homes that are located on unmapped streets and have sought repair or reconstruction. Applying in bulk is a way to speed up the process and commence repair work so that safe housing is restored. HRO was granted GCL waivers for two rounds of requests in 2016. Additionally HRO has been obtaining special permits for homes that are unable to comply with zoning requirements.

The City adopted a new rule to increase the required minimum flood proofing elevation so that substantially damaged buildings and other new construction are built to withstand greater flood risk. Changes to the zoning will help the Program build and preserve affordable housing stock in Sandy affected neighborhoods. Additional local planning is necessary to address other complex and neighborhood-specific issues in areas severely affected by Hurricane Sandy, such as attached homes.

Homes participating in the Program which were substantially damaged, meaning that Hurricane Sandy destroyed more than half of the value of the pre-storm structure, may be eligible for elevation assistance. Properties located in high-risk areas often need an Elevation Certificate to determine flood insurance premiums under the National Flood Insurance Program, with elevated homes in high-risk areas having lower flood insurance premiums. A building's elevation compared to the estimated height floodwaters will reach in a major flood helps determine the flood risk and the cost of flood insurance and homes which require and receive elevation assistance become safer and more sustainable in the event of another disaster. Lower premiums make maintaining flood insurance more affordable and therefore sustainable for homeowners; this is a major benefit to homeowners and the tenants renting properties which are repaired by the Program.

NYCHA Hurricane Sandy Recovery Efforts

New York City Housing Authority Program

Additionally, over 200 buildings across 33 developments owned by the New York City Housing Authority (NYCHA) sustained physical damage as a result of Hurricane Sandy in October 2012. NYCHA is utilizing its Sandy Recovery Program to rebuild better and smarter, significantly improving structural resiliency to protect residents from the effects of future disasters and climate change. The program includes a 23-member Community Outreach Team, with 11 NYCHA resident members, to communicate with residents regarding resiliency efforts and to involve them in the recovery and construction process.

In 2015, NYCHA finalized an agreement under which it will receive a total of \$3 billion in FEMA disaster recovery funding to repair and protect its developments. NYCHA's Sandy Recovery Team completed Sandy related construction at one development, Lower East Side Rehab V, and has construction underway at another 27 developments. This construction consists of not only repairs of systems damaged by Sandy, but mitigation efforts to protect these developments from future storms. The CDBG-DR grant is contributing \$317 million cover the local match requirement and other recovery activities for NYCHA and its residents.

CR-40 - Monitoring 91.220 and 91.230

Describe the standards and procedures used to monitor activities carried out in furtherance of the plan and used to ensure long-term compliance with requirements of the programs involved, including minority business outreach and the comprehensive planning requirements

ESG 2017 Monitoring Activities

The NYC Department of Social Services (DSS/DHS) receives ESG funds to engage unsheltered individuals living on the street, to operate and provide essential services to residents in emergency shelters, and to help prevent homelessness.

ESG grant allocations and funding priorities related to ESG under the Consolidated Plan are managed by the Federal Homeless Policy and Reporting unit (FHPR) within the Office of Planning and Performance Management (OPPM) within NYC DSS.

- FHPR is responsible for submitting the ESG section of the NYC Consolidated Plan (Con Plan) and all related plans and reports. e.g. Annual Action Plan (AAP), Consolidated Annual Performance and Evaluation Report (CAPER)
- To develop the upcoming AAP report, FHPR reaches out to each DHS Division receiving ESG funds on, at least, an annual basis to discuss program budgets, eligible ESG activities and documentation requirements.
- FHPR meets with each program area (DHS Emergency Shelter, DHS Street Outreach, HRA Prevention, and DSS ITS/Technology) to discuss any requested, or required, programmatic investment changes for the up-coming Annual Action Plan year.
- FHPR works with Programs and Budget/Finance to finalize the ESG Budget and ensure all necessary actions are taken to fully draw down on the funds for eligible activities.
- FHPR provides DHS and HRA Programs with any performance related information used in Federal planning and reporting.

In accordance with practices described in the Con Plan AAP, DSS Finance is responsible for the fiscal administration of the ESG grant. DSS Finance submits in IDIS the drawdowns for revenue associated with eligible ESG expenses in the activities/contracts identified. ESG expenditures and claims are all subject to the appropriate internal controls as governed by Directive One. Beginning in 2018, on a quarterly basis, Finance will provide FHPR and program areas with updates on grant expenditures and IDIS drawdowns.

The DHS and HRA program area receiving the ESG dollars coordinates any necessary corrective action planning with specific ESG-funded programs. NYC CCoC HMIS derived performance data is shared with Programs as needed.

The FHPR unit meets with the relevant program divisions and DSS finance on a quarterly basis. These meetings focus on program performance reports from the NYC CCoC HMIS system and the spending/drawdown reports generated by Finance.

DSS utilizes HUD's standard performance measures to evaluate ESG funded provider performance. DSS shares this framework with the Continuum of Care Steering Committee and reviews periodically with the NYC CCoC Data Management Committee.

DHS plans to utilize HMIS as a data source to monitor performance through the following indicators:

- Number of homeless individuals/households served
- Number of successful placements of individuals/households into permanent housing
- Length of time person remains homeless

HOME INVESTMENT PARTNERSHIPS 2017 Monitoring Activities

Annual Owner Certification and Site Visit/File Review to assure records properly collected and retained:

The agency requires each owner of a HOME-assisted property to submit an Annual Owner Certification (together with a rent roll and other supporting documentation) to confirm that their projects are in compliance with all applicable program restrictions. Further, each year the agency visits the offices of the owners of selected HOME properties to perform a detailed review of tenant files to assure records are properly collected and retained and that tenants meet HOME funding requirements and are charged rents that are within the prescribed limits. These site visits generally are performed in the first year after a project is “placed in service” and every third year thereafter; however, site visits may be more frequent when new information is discovered that demands our investigation. The agency conducts these site visits throughout the compliance period under the owner’s HOME Written Agreement to ensure that the owner continues to properly collect and retain all required documentation.

Suspicion of Fraud:

The agency works closely with New York City Department of Investigation (DOI) to address fraud involving HOME Program funds. If the agency is suspicious of fraud, then a further review is conducted by an agency staff member, and possible referral is made to DOI. The Marketing Guidelines require that the Developers use certain forms during all tenant selection processes. These forms include IRS Form 4506 Request for Copy of Tax Return; IRS Form 4506-T Request for Copy of Tax Return Transcript; NYS DTF-505 Form Request for Copy of State Tax Return; as well as an Authorization to Release Information form. If an applicant file contains inconsistent information, these forms are used by agency staff and DOI in order to clarify the information or to determine if any fraud exists. On occasions, DOI has referred matters to appropriate prosecutors’ offices. Furthermore, Developers are made aware that they may forward any suspicious information directly to the agency and/or DOI. Lastly, if any inconsistent or suspicious information is brought to the agency’s attention regarding a Developer and or its agent, the matter is referred to DOI for further investigation. During the year 2017, no applicant or developer referrals were made for projects involving HOME funds to DOI.

CDBG 2017 Monitoring Activities

In 2017, the NYC Office of Management and Budget’s (OMB) Community Development (CD) Unit conducted the following monitoring activities:

The CD Unit performed two equipment use and tracking monitorings: one at Van Cortlandt Park and one for the Department of Education’s (DOE) School Kitchen Renovations program. The purpose of such visits is to ensure that CD-funded equipment is properly labeled, and to make certain that equipment is located where the each program’s equipment listing (called a Property Register) indicates.

During the Van Cortlandt Park visit, nearly all the equipment was labeled and located in its reported place. One LCD Projector could not be located; however, because it was eligible to be removed from the list due to its age and dollar value, DPR was not required to supply a police report. The CD Unit strongly recommended that the park institute a sign-in/-out sheet for all equipment. Also, a 2002 Ford Explorer that had been reported as salvaged was still being used by the lifeguards at Orchard Beach within

Pelham Bay Park (also CD-funded). The CD Unit agreed that this is an eligible use of the vehicle and to transfer the item to Pelham Bay's Register.

During the DOE site visit, the CD Unit visited three Manhattan elementary schools for which CD funds had been used to purchase refrigerators, freezers, and milk chests to expand the City's "Breakfast in the Classroom" initiative. All the equipment attributed to the three schools was at the stated locations and labeled with serial numbers and as being purchased with CD funds. However, the CD Unit discovered that a refrigerator that was said to be located at a public school in Queens was moved to one of the Manhattan sites. The CD Unit updated DOE's list and issued the following recommendations DOE:- Continue to ensure all equipment purchased with CD funds is properly labeled; and - To reflect on all future property registers equipment that was moved to other CD-eligible locations.

In 2017, the CD Unit continued two monitorings of the Department of Housing Preservation and Development (HPD) that began in 2016. The first monitoring is focused on ensuring that all sites benefitting through the Maintenance and Operation of Tax-Foreclosed Housing are residential tax-foreclosed properties. The second monitoring is focused on several aspects of the HPD Emergency Shelters program including procurement, cost reasonableness, and client eligibility. The CD Unit also initiated an informal desk monitoring of HPD's procedures for sealing vacant buildings. All of these monitorings are substantially completed and are expected to be finalized in early 2018.

The CD Unit initiated two other monitorings in 2017. One monitoring is focused on the Mayor's Office for People with Disabilities' (MOPD) Project Open House program, including client eligibility, efficiency, adequacy of MOPD's policies and procedures, and procurement. The second is focused on the Metropolitan Council on Jewish Poverty's Food Pantry, including the reimbursement process, how the organization documents client and cost eligibility, and the oversight agency's (the Department of Youth and Community Development) contract registration process. The MOPD monitoring is currently underway and the Metropolitan Council's monitoring is mostly complete. Both are expected to be completed in 2018.

The CD Unit also reviews agencies' requests to hire CD-funded staff. The Unit is electronically notified every time an agency requests to fill a CD-funded position. If the CD Unit determines that a position is not CD-eligible, it will not approve the hire. The requesting agency must then either use another funding source for the position or make necessary adjustments to the position's duties. Agencies are also instructed to correct positions that are CD-eligible but are not being charged to the appropriate eligibility category or national objective. In 2017, the CD Unit required that at least seven positions' duties were clarified before agreeing to fund with CD, and questioned another three that required no modifications. The Unit is still reviewing whether one position that is currently charged as Administration is eligible to be considered an activity delivery cost.

The CD Unit also initiated new monitoring processes for the Demolition Program and the Emergency Repair Program's property sealing activities. Beginning in 2017, both programs began submitting biannual lists of every site where CD funds were used. The new process allows the CD Unit to reverse any ineligible charges before the fiscal year is closed.

Finally, the CD Unit proactively provided training to HPD's Neighborhood Preservation Consultants program's staff that focused on all areas of CD compliance (e.g., procurement, the use of CD-funded subrecipients, cost allowability and eligibility). The Unit also attended a DYCD training for the Beacon

School Program's providers, which are newly considered subrecipients. DYCD did an outstanding job preparing the training and the CD Unit answered questions whenever necessary.

HOPWA 2017 Monitoring Activities

The DOHMH's Division of Disease Control staff monitors HOPWA project sponsors' performance and spending on a monthly basis. Furthermore, the Division conducts on-site program and fiscal monitoring visits, annual fiscal desk audit reviews, and habitability visits to ensure all HOPWA-funded housing units meet the Housing Quality Standards defined by HUD. Annual trainings are also made available to project sponsors to improve program delivery and data quality. Such trainings include, best practices in documentation training, rent calculator training, data-entry training and Annual Progress Report training. Technical assistance is routinely delivered to address programmatic and/or fiscal challenges. On a quarterly basis, the Division convenes a review of all HOPWA contracts to determine if there are new or emerging trends or common challenges experienced among project sponsors that should prompt additional training and technical assistance. As necessary, the Division seeks technical assistance from Collaborative Solutions and the Cloudburst Group.

Citizen Participation Plan 91.105(d); 91.115(d)

Describe the efforts to provide citizens with reasonable notice and an opportunity to comment on performance reports.

In order to notify the public of the release of the Proposed CAPER for public review New York City utilized the same notification methods as it did to announce the public comment period for the formulation of its 2017 Proposed One-Year Action Plan. Over 1,700 notification letters were sent to New York City residents, organizations and public officials inviting their review and comment on the report. In addition, notices of the previously mentioned activity were published in three local newspapers, one English-language, a Spanish-language, and a Chinese-language daily, each with citywide circulation.

To provide public access to the document, copies of the Proposed 2017 Consolidated Plan Annual Performance and Evaluation Report can be obtained at the City Planning Bookstore, 120 Broadway, 31st Floor, New York, New York 10271, Phone: 212-720-3667, (Monday 9:30am - 11:30am; Tuesday 9:30am - 11:30am; Wednesday 1:00pm – 3:00pm) or any of the New York City Department of City Planning borough offices.

In addition, copies of the Proposed CAPER are made available for reference in the City's Municipal Reference & Research Center (the City Hall Library), and the main public library in each of the five boroughs.

Furthermore, the Department of City Planning posted the Proposed 2017 Performance Report on the Department's website in Adobe Acrobat format for review by the public. The Internet-based version may be accessed at: <http://www.nyc.gov/planning>.

The public comment period began April 11, 2018 and ends April 25, 2018. The public is instructed to submit their written comments on the Proposed 2017 Consolidated Plan Annual Performance and Evaluation Report by close of business, April 25, 2018 to: Charles V. Sorrentino, New York City

Consolidated Plan Coordinator, Department of City Planning, 120 Broadway 31st Floor, New York, New York 10271, email: Con-PlanNYC@planning.nyc.gov.

Comments received will be summarized and agencies' responses incorporated into the version submitted to HUD.

CR-45 - CDBG 91.520(c)

Specify the nature of, and reasons for, any changes in the jurisdiction's program objectives and indications of how the jurisdiction would change its programs as a result of its experiences.

During 2017, the City made the following changes to its CD program, all of which went into effect as of July 1, 2017:

Reductions to the 2017 / CD 43 Budget:

- The NYC Department of Small Business Services' NYC Business Solutions program is now funded by City tax levy. The program's CD funding was removed to reduce the administrative burden for SBS staff, which had to maintain timesheets documenting the time spent on CD-eligible activities, and to unburden clients from having to disclose their household incomes.
- Due to the significant reduction in the number of vacant lots in the City, the Department of Sanitation's (DSNY) Neighborhood Vacant Lot Clean-Up program is now funded by City tax levy, which will allow the staff to address additional DSNY priorities that are not CD-eligible.

Increases to the 2017 / CD 43 Budget:

- CD funds are used for the New York City Housing Authority's (NYCHA) Public Housing Rehabilitation Program, which will improve units within NYCHA properties.
- The Department of Homeless Services (DHS) will use CD funds for staff that oversees capital projects at homeless shelters through the DHS Shelter Renovations Project Support program.
- HPD will use CD funds for its Shelter Expansion Staff that will assist the Department of Homeless Services (DHS) with renovating homeless shelters.
- The Department of Education's Code Violation Removal in Schools program received a supplemental allocation for City Fiscal Year 2018 (July 1, 2017 through June 30, 2018). Approximately \$15.5 million of this allocation is being used to inspect for and address elevated lead levels in the public school system's drinking water. The remaining funds will be targeted to boiler work, door replacement, and elevator safety.
- At the request of the City Council, the City allocated \$375,000 for the Metropolitan Council on Jewish Poverty's food pantry. The organization will use this allocation to purchase food, operate the pantry's warehouse, and for meal delivery. However, the Met Council was unable to submit bills for Calendar Year 2017 due to issues registering the organization's contract. All agency counterparts have taken active measures to resolve the issue moving forward. The City expects to report accomplishments for Calendar Year 2017 in 2018.

Does this Jurisdiction have any open Brownfields Economic Development Initiative (BEDI) grants?

No

CR-50 - HOME 91.520(d)

Include the results of on-site inspections of affordable rental housing assisted under the program to determine compliance with housing codes and other applicable regulations

During 2017 there were 525 HOME projects under compliance monitoring. The projects included 1,744 buildings containing 16,706 HOME units. Of the 525 projects, 177 required physical (HQS) inspection in calendar year 2017. A sample of 1,632 apartments were inspected: 1,512 passed or were corrected; 120 failed. Notices of non-compliance have been sent to owners of units that failed, and HPD will continue to seek a satisfactory response.

Please see the Appendices volume for a detailed list of the inspected units.

Provide an assessment of the jurisdiction's affirmative marketing actions for HOME units. 92.351(b)

The NYC Department of Housing Preservation and Development (HPD), in conjunction with their sister agency, the NYC Housing Development Corporation (HDC) conducts regular oversight of the Developer's tenanting process. Developers receiving HOME funds must establish and maintain satisfactory records in accordance to the HPD/HDC Marketing Handbook. The Marketing Handbook describes policies, procedures, and requirements for the marketing and selection of residents for developments subsidized by the agency. Developers must follow these guidelines in preparing marketing plans for their projects and comply with its specific requirements, including certain forms required during the tenant selection process to ensure eligibility, fairness, consistency and prevent fraud in the agency's programs. The Marketing Handbook requires that the developer maintain individual tenant files for all families in HOME assisted units. The tenant files must contain all income certifications and verifications along with leases, lease riders, unit inspections, and all correspondence, which are subject for review by the agency. Developers forward the agency a tenant file which is reviewed by the staff to ensure income eligibility prior to the initial lease-up of a unit.

Refer to IDIS reports to describe the amount and use of program income for projects, including the number of projects and owner and tenant characteristics

HPD did not utilize program income on any projects in 2017.

Describe other actions taken to foster and maintain affordable housing. 91.220(k) (STATES ONLY: Including the coordination of LIHTC with the development of affordable housing). 91.320(j)

The housing related activities within the Consolidated Plan support the broader housing strategy articulated in the Mayor's Housing New York, and Housing New York 2.0 plan which expanded the housing plan to 300,000 units by 2026. At the close of New York City's 2017 Fiscal Year, the Housing Plan had financed 77,651 affordable apartments and homes for New Yorkers. In 2017, the various New York

City agencies which administer the City's federally-funded Consolidated Plan housing and supportive housing programs will continue to work toward the Mayor's Housing Plan objectives and goals.

During the 2017 funding grant year, we will utilize approximately \$1,151,212,000 in local capital funds, along with our HOME allocation and tax credit and bond authority to support new construction efforts including permanent supportive housing, senior housing, multifamily rental housing serving a wide variety of income levels, 1-4 family rental buildings, and down payment assistance for qualified low income homebuyers. In addition to new construction, the preservation of existing affordable units is a key priority of the Mayor's Housing Plan. The City's preservation strategies include enforcement of the Housing Maintenance Code, outreach to owners about how to proactively address maintenance and financial challenges, and providing local financing and tax exemptions to rehabilitate properties in return for a regulatory agreement that guarantees long-term affordability.

CR-55 - HOPWA 91.520(e)

Identify the number of individuals assisted and the types of assistance provided

Table for report on the one-year goals for the number of households provided housing through the use of HOPWA activities for: short-term rent, mortgage, and utility assistance payments to prevent homelessness of the individual or family; tenant-based rental assistance; and units provided in housing facilities developed, leased, or operated with HOPWA funds.

Table 13 – HOPWA Number of Households Served

Number of Households Served Through:	One-year Goal	Actual
Short-term rent, mortgage, and utility assistance to prevent homelessness of the individual or family	0	14
Tenant-based rental assistance	30	451
Units provided in permanent housing facilities developed, leased, or operated with HOPWA funds	2,589	2,953
Units provided in transitional short-term housing facilities developed, leased, or operated with HOPWA funds	0	0

Narrative

As the designated grantee for the New York City Eligible Metropolitan Statistical Area (EMSA), the New York City Department of Health and Mental Hygiene's (DOHMH) Division of Disease Control administers, coordinates and executes the HUD HOPWA formula grant. The EMSA is comprised of the five boroughs of the City of New York together with Westchester, Orange and Rockland Counties in the Lower Hudson Valley and Middlesex, Monmouth and Ocean Counties in New Jersey. The Division of Disease Control works with these six counties and eligible localities therein to plan and evaluate their use of HOPWA funds and to ensure the consistency of their efforts with those in the rest of the EMSA.

As a result of the imminent expiration of three year HOPWA funds, the Division of Disease Control opted to maximize the use of federal funds by funding additional activities using prior year HOPWA dollars. Doing so allowed the Division of Disease Control to serve existing households and prevent homelessness for individuals and their families at risk of losing housing assistance across the EMSA. Performance outcomes described below reflect those additional households served with prior year funds.

In calendar year 2017, the Division of Disease Control administered the HOPWA grant to serve the NYC EMSA with permanent housing facilities, permanent housing placement assistance, TBRA, STRMU and supportive services.

In the permanent housing facilities category, HOPWA funds assisted 2,953 households with permanent supportive housing. HOPWA funds were also used to provide housing information and permanent housing placement services. In 2017, 913 households benefited from housing information services and

additional funds were used to assist 340 households secure permanent housing placement (data not reflected in the table above*).

Within the TBRA and STRMU categories, 451 households were served with TBRA services in 2017, and STRMU funds increased housing stability for 14 households, helping these households avoid homelessness.

*Since the IDIS CR-55 HOPWA table does not reflect all of the HOPWA Housing Subsidy Assistance categories such as permanent housing placement services and housing information services, or account for duplication, the total number of households served above (i.e., 3,418) does not match the total (3,730) reported in the *HOPWA 2017 Consolidated Annual Performance and Evaluation Report* (HOPWA 2017 CAPER).

To address this, please refer to the attached CR-55 HOPWA table which provides all of these outcomes and is consistent with the data reported in the *HOPWA 2017 Consolidated Annual Performance and Evaluation Report* (HOPWA 2017 CAPER).

CR-55 HOPWA Assistance Table

HOPWA Performance Planned Goal and Actual	HOPWA Assistance	
	One-Year Goal	Actual
HOPWA Housing Subsidy Assistance		
Short-Term Rent, Mortgage and Utility Assistance	0	14
Tenant-Based Rental Assistance	30	451
Permanent Housing Facilities: Received Operating Subsidies/Leased units (Households Served)	2,848	2,953
Permanent Housing Placement Services	175	340
Adjustments for duplication (subtract)		28
Total HOPWA Housing Subsidy Assistance	3,053	3,730
Housing Information Services	Goal	Actual
Housing Information Services	175	913
Total Housing Information Services	175	913

CR-60 - ESG 91.520(g) (ESG Recipients only)

ESG Supplement to the CAPER in *e-snaps*

For Paperwork Reduction Act

1. Recipient Information—All Recipients Complete

Basic Grant Information

Recipient Name	NEW YORK CITY
Organizational DUNS Number	140135505
EIN/TIN Number	136400434
Identify the Field Office	NEW YORK
Identify CoC(s) in which the recipient or subrecipient(s) will provide ESG assistance	New York City CoC

ESG Contact Name

Prefix	Ms
First Name	Martha
Middle Name	0
Last Name	Kenton
Suffix	0
Title	Director of HUD Continuum of Care and Federal Policy

ESG Contact Address

Street Address 1	NYC Dept of Homeless Services
Street Address 2	4 World Trade Center, 31st Floor
City	New York
State	NY
ZIP Code	10004-
Phone Number	9292216183
Extension	0
Fax Number	0
Email Address	kentonm@dss.nyc.gov

ESG Secondary Contact

Prefix	Ms
First Name	MERIH
Last Name	ANIL
Suffix	0
Title	Senior Policy Analyst
Phone Number	9292216181
Extension	0
Email Address	anilm@dss.nyc.gov

2. Reporting Period—All Recipients Complete

Program Year Start Date 01/01/2017
Program Year End Date 12/31/2017

3a. Subrecipient Form – Complete one form for each subrecipient

Subrecipient or Contractor Name: NEW YORK CITY
City: New York
State: NY
Zip Code: 10007, 1216
DUNS Number: 140135505
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Unit of Government
ESG Subgrant or Contract Award Amount: 1917841

Subrecipient or Contractor Name: BLACK VET. FOR SOCIAL JUST.
City: Brooklyn
State: NY
Zip Code: 11217, 1609
DUNS Number:
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 443815

Subrecipient or Contractor Name: VOLUNTEERS OF AMERICA
City: VOLUNTEERS OF AMERICA
State: NY
Zip Code: 99999,
DUNS Number:
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 753304

Subrecipient or Contractor Name: RIDGEWOOD BUSHWICK SENIOR CITIZEN COUNCIL, INC
City: Brooklyn
State: NY
Zip Code: 11237, 5001
DUNS Number: 046254991
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 149934

Subrecipient or Contractor Name: WESTHAB
City: Elmsford
State: NY
Zip Code: 10523, 1326
DUNS Number: 137194432
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 356000

Subrecipient or Contractor Name: COMMON GROUND COMMUNITY II HDFC
City: New York
State: NY
Zip Code: 10018, 6505
DUNS Number: 806767419
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 278996

Subrecipient or Contractor Name: NEW YORK CITY DEPARTMENT OF HOMELESS SERVICES
City: New York
State: NY
Zip Code: 10004, 2736
DUNS Number: 035493646
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Unit of Government
ESG Subgrant or Contract Award Amount: 3259886

Subrecipient or Contractor Name: BRONXWORKS INC
City: Bronx
State: NY
Zip Code: 10453, 5842
DUNS Number: 133254484
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 305142

Subrecipient or Contractor Name: BOWERY RESIDENTS' COMMITTEE, INC
City: New York
State: NY
Zip Code: 10001, 7207
DUNS Number: 132736659
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 452532

Subrecipient or Contractor Name: CAMBA INC
City: Brooklyn
State: NY
Zip Code: 11226, 2630
DUNS Number: 112480339
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 699109

Subrecipient or Contractor Name: THE DOE FUND, INC
City: New York
State: NY
Zip Code: 10028, 2902
DUNS Number: 609643598
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 318409

Subrecipient or Contractor Name: GRAND CENTRAL NEIGHBORHOOD SOCIAL SERVICES CORPORATION
City: New York
State: NY
Zip Code: 10017, 4707
DUNS Number: 133534255
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 65550

Subrecipient or Contractor Name: LENOX HILL NEIGHBORHOOD HOUSE INC.
City: New York
State: NY
Zip Code: 10021, 8601
DUNS Number: 131628180
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 275717

Subrecipient or Contractor Name: PALLADIA, INC
City: New York
State: NY
Zip Code: 10035, 1217
DUNS Number: 237089380
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 207979

Subrecipient or Contractor Name: PROJECT RENEWAL INC
City: New York
State: NY
Zip Code: 10014, 4810
DUNS Number: 057841710
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 598371

Subrecipient or Contractor Name: SAMARITAN VILLAGE INC
City: Briarwood
State: NY
Zip Code: 11435, 2642
DUNS Number: 072730179
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 293240

Subrecipient or Contractor Name: URBAN PATHWAYS INC
City: New York
State: NY
Zip Code: 10018, 3011
DUNS Number: 057808784
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 308741

Subrecipient or Contractor Name: WEST SIDE FEDERATION FOR SR & SUPPORTIVE HOUSING INC
City: New York
State: NY
Zip Code: 10025, 2942
DUNS Number: 132926433
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 150000

Subrecipient or Contractor Name: NYC DEPARTMENT OF HEALTH AND MENTAL HYGIENE
City: Long Island City
State: NY
Zip Code: 11101, 4130
DUNS Number: 083489737
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Unit of Government
ESG Subgrant or Contract Award Amount: 118850

Subrecipient or Contractor Name: NEW YORK CITY DEPARTMENT OF YOUTH AND COMMUNITY DEVELOPMENT CDYCD

City: New York

State: NY

Zip Code: 10038, 2609

DUNS Number: 002545379

Is subrecipient a victim services provider: N

Subrecipient Organization Type: Unit of Government

ESG Subgrant or Contract Award Amount: 98217

Subrecipient or Contractor Name: CATHOLIC CHARITIES NEIGHBORHOOD SERVICES, INC

City: Brooklyn

State: NY

Zip Code: 11201, 4306

DUNS Number: 056926215

Is subrecipient a victim services provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 418208

Subrecipient or Contractor Name: CATHOLIC CHARITIES COMMUNITY SERVICES, ARCHDIOCESE NEW YORK

City: New York

State: NY

Zip Code: 10022, 4112

DUNS Number: 173647699

Is subrecipient a victim services provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 314567

Subrecipient or Contractor Name: HELP SOCIAL SERVICE CORPORATION

City: New York

State: NY

Zip Code: 10004, 2682

DUNS Number: 827233982

Is subrecipient a victim services provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 344004

Subrecipient or Contractor Name: Center for Urban Community Services Inc

City: New York

State: NY

Zip Code: 10035, 3523

DUNS Number: 877660589

Is subrecipient a victim services provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 362156

CR-70 – ESG 91.520(g) - Assistance Provided and Outcomes

10. Shelter Utilization

Table 14 – Shelter Capacity

Number of New Units - Rehabbed	0
Number of New Units - Conversion	0
Total Number of bed-nights available	1,148,071
Total Number of bed-nights provided	1,084,349
Capacity Utilization	94.45%

11. Project Outcomes Data measured under the performance standards developed in consultation with the CoC(s)

DSS is the Collaborative Applicant for the NYC Continuum of Care (CoC). As the ESG recipient, DSS is also able to coordinate extensively with NYC's CoC and the Consolidated Plan jurisdiction. Efforts are made around shared goals, listed in NYC's five year Con Plan, which are consistent with the CoC's strategic plan: investing in proven strategies to reduce the number of homeless individuals on the streets; preventing those families and individuals at-risk of homelessness from entering shelter; and ensuring that shelter is a short-term solution to a housing crisis by rapidly re-housing homeless persons. It aims to end homelessness, with an emphasis on chronic and veteran homelessness. The alignment of the Con Plan goals and the CoC's strategic plan has led to coordinated efforts within the jurisdiction to address the needs of homeless persons and those at risk of homelessness.

CR-75 – Expenditures

11. Expenditures

11a. ESG Expenditures for Homelessness Prevention

Table 15 – ESG Expenditures for Homelessness Prevention

	Dollar Amount of Expenditures in Program Year		
	2015	2016	2017
Expenditures for Rental Assistance	0	0	0
Expenditures for Housing Relocation and Stabilization Services - Financial Assistance	0	0	0
Expenditures for Housing Relocation & Stabilization Services - Services	1,059,686	2,129,153	1,619,289
Expenditures for Homeless Prevention under Emergency Shelter Grants Program	0	0	0
Subtotal Homelessness Prevention	1,059,686	2,129,153	1,619,289

11b. ESG Expenditures for Rapid Re-Housing

Table 16 – ESG Expenditures for Rapid Re-Housing

	Dollar Amount of Expenditures in Program Year		
	2015	2016	2017
Expenditures for Rental Assistance	0	0	0
Expenditures for Housing Relocation and Stabilization Services - Financial Assistance	0	0	0
Expenditures for Housing Relocation & Stabilization Services - Services	0	0	0
Expenditures for Homeless Assistance under Emergency Shelter Grants Program	0	0	0
Subtotal Rapid Re-Housing	0	0	0

11c. ESG Expenditures for Emergency Shelter

Table 17 – ESG Expenditures for Emergency Shelter

	Dollar Amount of Expenditures in Program Year		
	2015	2016	2017
Essential Services	5,869,987	4,864,131	6,821,947
Operations	410,000	827,314	0
Renovation	0	0	0
Major Rehab	0	0	0
Conversion	0	0	0
Subtotal	6,279,987	5,691,445	6,821,947

11d. Other Grant Expenditures

Table 18 - Other Grant Expenditures

	Dollar Amount of Expenditures in Program Year		
	2015	2016	2017
Street Outreach	600,739	529,345	703,789
HMIS	1,161,587	644,530	1,915,562
Administration	126,833	110,195	134,020

11e. Total ESG Grant Funds

Table 19 - Total ESG Funds Expended

Total ESG Funds Expended	2015	2016	2017
	9,316,171	9,104,668	11,194,607

11f. Match Source

Table 20 - Other Funds Expended on Eligible ESG Activities

	2015	2016	2017
Other Non-ESG HUD Funds	0	0	0
Other Federal Funds	0	0	0
State Government	0	0	0
Local Government	9,228,832	9,104,668	11,194,607
Private Funds	0	0	0
Other	0	0	0
Fees	0	0	0
Program Income	0	0	0
Total Match Amount	9,228,832	9,104,668	11,194,607

11g. Total

Table 21 - Total Amount of Funds Expended on ESG Activities

Total Amount of Funds Expended on ESG Activities	2015	2016	2017
	18,632,342	18,209,336	22,389,214