

The Mayor's Management Report

Preliminary Fiscal 2002

Volume I Agency Narratives

City of New York

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POLICE DEPARTMENT

The Police Department reduces crime and disorder, and the fear that these problems generate throughout the City. The Department protects lives and property; responds to emergency calls, especially to crimes in progress; investigates reported crimes; apprehends violators; and deals with conditions that affect the quality of life in the City. The Department also responds promptly to emergencies and disasters; keeps order at public events, demonstrations and civil disturbances; intervenes in family disputes; refers people in distress to appropriate social service agencies; hires, trains and supervises City School Safety Agents; and works in partnership with communities to achieve crime prevention. The Department is committed to its mission to protect the lives and property of the citizens of New York City; to improve its relations with all communities within the City and to treat every citizen with courtesy, professionalism and respect; to enforce the laws impartially, fighting crime both by deterring it and by aggressively pursuing perpetrators.

GOALS AND OBJECTIVES

Goal: Implement Department strategies to improve quality of life within the City by making the neighborhoods safer, cleaner and quieter, and by reducing the number of traffic accidents, injuries and deaths.

Objective
Reduce the number of quality-of-life violations, including prostitution, graffiti illegal peddling, aggressive panhandling, unreasonable noise, illegal adult-use businesses, illegal public drinking and the sale of alcohol to minors.
Implement COMPSTAT for quality-of-life violations in order to monitor and respond to problem areas.
Focus enforcement on the most hazardous traffic violations, such as speeding, drunk driving, street drag racing and aggressive driving.
Reduce fatalities to motorists, pedestrians and bicyclists.
Continue development and implementation of traffic strategies and enforcement initiatives to improve traffic flow and traffic safety in all five boroughs.
Improve compliance with taxi regulations.

Goal: Develop and implement counterterrorism strategies to improve public security.

Objective
Collect and disseminate intelligence information to detect and prevent terrorist activities.
Develop training scenarios for focused response to terrorist attacks.
Assist in coordinating a multi-agency response to terrorist incidents and threats.
Identify and assess critical locations throughout the City.

Goal: Enhance public safety through targeted anticrime strategies.

Objective
Reduce further the occurrence of major felony crimes: murder, rape, robbery, burglary, felonious assault, grand larceny and grand larceny motor vehicle.
Reduce the number of shooting victims and shooting incidents.
Expand efforts to deter domestic violence, with special emphasis on child abuse, through more intensive investigation, continued contact with victims and review of Domestic Incident reports.

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Goal: Reduce illegal drug activity in City neighborhoods and schools through focused enforcement.

Objective
Increase enforcement against felony and misdemeanor drug crimes and quality-of-life offenses.
Increase collaborative efforts with federal, State and other City agencies to combat drug gangs and drug trafficking.
Increase use of civil remedies to reduce narcotics transactions inside private buildings.

Goal: Decrease illegal gang activity and improve gang intelligence.

Objective
Streamline the investigation and sharing of intelligence on gang members and gang activity.
Target illegal gang activity, and dismantle drug gangs and organized criminal enterprises.
Reduce youth crime by increased attention to juvenile offenses and gang enforcement.

Goal: Enhance safety and reduce crime in City schools.

Objective
Expand efforts to reduce the occurrence of truancy.
Continue comprehensive training for School Safety Agents.
Coordinate school safety activities between the Department and the Board of Education.
Implement a youth-at-risk strategy to address youth crime, weapons possession and gang activity in and around schools.
Maintain accurate statistical data on school crime and other school security incidents.

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- On September 11, 2001 the New York City Police Department (NYPD) mobilized thousands of officers, with many of them rushing to the World Trade Center to assist in the largest rescue mission ever. A total of 23 uniformed members of the service were killed during this mission. Their actions exemplify the dedication of New York's Finest. These heroes will always be remembered.
- In addition to members lost, NYPD sustained 1,279 injuries to uniformed members of the service, requiring 26 officers to be hospitalized.
- NYPD staffed the Family Assistance Center with officers from various units within the Department who were instrumental in assisting the families through all facets of the bereavement process. This included assisting the families in the preparation of missing person reports and in collecting and processing DNA property for analysis.
- NYPD assisted in the coordination of and security for the September 23rd memorial service at Yankee Stadium and the October 28th memorial service at Ground Zero.
- NYPD continues to provide officers to assist in the recovery efforts at Ground Zero and Fresh Kills Landfill in Staten Island.

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- During the reporting period NYPD's resources were diverted from its primary mission, in order to respond to the terrorist attacks of September 11th. The Department implemented condition OMEGA, the highest level of alert, and redeployed thousands of officers to secure the vital locations of the City. The reassignment of these officers from their regular enforcement duties affected the activity of the Department.

CRIME

- During the first six months of Calendar 2001, the most recent period for which FBI data is available, the City's Total FBI Index Crime Rate per 100,000 of population continued its declining trend, decreasing 11.4 percent from 1,844.3 crimes per 100,000 during the first half of Calendar 2000 to 1,634.6 per 100,000 during the same period in Calendar 2001.
- Comparing total FBI index crime rates for each city per 100,000 of population and listed in descending order, New York ranked 191st out of 222 U.S. cities with populations over 100,000 reporting preliminary data to the FBI during the first six months of Calendar 2001. This ranking was an improvement over the first six months of Calendar 2000, when New York ranked 160th out of 205 cities.

CALENDAR YEAR COMPSTAT CRIME COMPARISONS

Crime statistics resulting from the attack on the World Trade Center have not been finalized and are not reflected in the following crime comparisons.

- As reported in COMPSTAT preliminary statistics, which reflect State Penal Law Offenses, the total number of crime complaints for the seven major felonies reported in Calendar 2001 to NYPD declined by 12.2 percent compared to Calendar 2000.
- Crimes against persons decreased by 12.3 percent from Calendar 2000 to Calendar 2001:
 - murder decreased by 4.3 percent;
 - forcible rape decreased by 9.8 percent;
 - robbery decreased by 13.5 percent;
 - felonious assault decreased by 11.2 percent.
- Crimes against property decreased by 12.2 percent from Calendar 2000 to Calendar 2001:
 - burglary decreased by 14.7 percent;
 - grand larceny decreased by 7 percent;
 - grand larceny auto decreased by 16.6 percent.

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- The City's housing developments have seen significant overall reductions in crime, reflecting the merger of the Housing Police with NYPD in May 1995 and the increasing use of closed-circuit television cameras. Major felony complaints in housing developments dropped 11.9 percent from Calendar 2000 to Calendar 2001 and 44.8 percent from Calendar 1995 to Calendar 2001. From Calendar 2000 to Calendar 2001 murder increased by 15.9 percent. Forcible rape in housing developments decreased by 6.1 percent, burglary decreased by 17.2 percent, robbery decreased by 13.5 percent, felonious assault decreased by 11 percent, grand larceny decreased by 11.3 percent and grand larceny motor vehicle decreased by 10.7 percent.
 - In Calendar 2001 major felony crime in housing developments decreased 11.9 percent; major felony crime citywide decreased 12.2 percent during the same period.
- Major felonies in the transit system decreased 12 percent from Calendar 2000 to Calendar 2001. During the same period reports of murder occurring in the transit system remained the same at two murders. Forcible rape in the transit system decreased by 67 percent from six in Calendar 2000 to two in Calendar 2001; burglary increased by 242 percent from 12 in Calendar 2000 to 41 in Calendar 2001; grand larceny decreased by 11 percent; felonious assault decreased by 25 percent; and robbery decreased by 12 percent.

ENFORCEMENT

Narcotics Initiative

- The Northern Manhattan Initiative (NMI), which began in Fiscal 1997, provides concentrated anti-drug efforts in precincts that have severe narcotics problems. As of October 2001 there were narcotics initiatives in 39 precincts: eight in the Bronx, 15 in Brooklyn, nine in Manhattan, six in Queens and one in Staten Island. Each initiative utilizes available police resources to eliminate the drug problem from its area of deployment.
 - During the first four months of Fiscal 2002 officers assigned to the narcotics initiatives made 10,413 drug arrests, and executed 283 search warrants.
- During the first four months of Fiscal 2002 the Narcotics Division of the Organized Crime Control Bureau made 18,496, or 66 percent, of the City's estimated 27,959 narcotics arrests. In comparison, during the same period in Fiscal 2001 the Narcotics Division made 29,492, or 74 percent, of the City's estimated 39,855 drug arrests.
- In the first four months of Fiscal 2002 the Narcotics Division executed 482 warrants, as compared to 801 warrants for the same period in Fiscal 2001. Additionally, the Narcotics Division confiscated approximately \$8.2 million in currency from drug-related offenses, down 27 percent from the \$11.3 million seized during same period of Fiscal 2001.
- During the reporting period, NYPD seized 2,261 pounds of marijuana, 478 pounds of heroin and 3,690 pounds of cocaine. This represents a decrease of 50 percent from the 4,565 pounds of marijuana confiscated, a 17 percent increase from the 409 pounds of heroin confiscated, and a 23 percent decrease from the 4,788 pounds of cocaine confiscated during the same four months of Fiscal 2001.

Closed-Circuit Television Program

- Throughout Calendar 2001 NYPD expanded its use of closed-circuit television (CCTV) technology to help produce significant changes in criminal activity within housing developments. Cameras are placed inside elevators and other strategic locations to monitor activity in and around the developments.

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- Currently 14 of 15 scheduled housing developments have fully operational CCTV systems, with approximately 3,000 cameras installed. It is projected that the final system at the Morris Houses in the Bronx will be operational in Spring 2002. Major felony crime for the first four months of Fiscal 2002 in all developments equipped with CCTV decreased 29 percent, compared to the same period in Fiscal 2001.
 - The Grant Houses in Manhattan have 105 cameras installed. During the first 10 months of Calendar 2001 major felony crime in the Grant Houses decreased by 17 percent compared to the same period in Calendar 2000.
 - The South Jamaica Houses in Queens have 260 cameras installed. During the first 10 months of Calendar 2001 major felony crime in the South Jamaica Houses decreased by 11 percent compared to the same period in Calendar 2000.
 - The Bronx River Houses have 135 cameras installed. During the first 10 months of Calendar 2001 the Bronx River Houses experienced a 21 percent increase in major felony crime, from 29 incidents during the first 10 months of Calendar 2000 to 35 incidents during the first 10 months of Calendar 2001.
 - The Wald Houses' CCTV system in Manhattan is operational with 204 cameras installed. During the first 10 months of Calendar 2001 major felony crime in the Wald Houses experienced a 44 percent decrease in crime compared to the same period in Calendar 2000.
 - The Stapleton Houses' CCTV system in Staten Island is operational with 125 cameras installed. During the first 10 months of Calendar 2001 the Stapleton Houses experienced a 4 percent increase in major felony crime, from 27 incidents during the first 10 months of Calendar 2000 to 28 incidents during the first 10 months of Calendar 2001.
 - The CCTV system at the Albany Houses in Brooklyn is operational with 101 cameras installed. During the first 10 months of Calendar 2001 major felony crime in the Albany Houses decreased by 5 percent compared to the same 10-month period in Calendar 2000.
 - In July 2000 NYPD began installing a CCTV system at Van Dyke Houses in Brooklyn. A total of 202 of 225 cameras have been installed. During the first 10 months of Calendar 2001 the Van Dyke Houses experienced a 39 percent decrease in crime compared to the same 10-month period in Calendar 2000.
 - The CCTV system at the Astoria Houses in Queens is operational with 236 cameras installed. During the first 10 months of Calendar 2001 major felony crime decreased by 31 percent compared to the same 10-month period in Calendar 2000.
 - The CCTV system at Castle Hill Houses in the Bronx was completed in the first four months of Fiscal 2002 with 312 cameras installed. During the reporting period major felony crime decreased by 46 percent compared to the same four-month period in Fiscal 2001.
 - The CCTV system at the West Brighton Houses in Staten Island was completed in the first four months of Fiscal 2002 with 197 cameras installed. During the reporting period major felony crime decreased by 9 percent compared to the same four-month period in Fiscal 2001.

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- The Model Development Program 2001 identifies developments for enhanced community participation and reclamation. The program aims to enhance the quality of life for residents of selected developments through a four-phase program of targeted enforcement, maintenance of crime reduction gains, community involvement and facility improvement. In addition, each development in the program is being equipped with its own CCTV system. Four of the five developments chosen to participate in the Model Development Program have completed CCTV installation:
 - Richmond Terrace in Staten Island initiated CCTV installation in August 2001. The system is currently operational with 121 cameras installed. During the first four months of Fiscal 2002, major felony crime decreased by 58 percent compared to the same four-month period in Fiscal 2001.
 - Ravenswood Houses in Queens initiated CCTV installation in June 2001. The system is currently operational, with 525 cameras installed. During the first four months of Fiscal 2002, major felony crime decreased by 11 percent compared to the same four-month period in Fiscal 2001.
 - Wagner Houses in Manhattan initiated CCTV installation in August 2001. The system is currently operational with 266 cameras installed. During the first four months of Fiscal 2002, major felony crime decreased by 33 percent compared to the same four-month period in Fiscal 2001.
 - Carey Gardens in Brooklyn initiated CCTV installation in November 2001. The system is currently operational with 120 cameras installed.
 - Morris Houses in the Bronx initiated CCTV installation in December 2001, with 82 of 226 cameras installed.

Gang Initiative

- The Gang Division, a unit of the Detective Bureau, performs investigations to track citywide gang activity. Using its gang database, the Gang Division identified and classified a total of 15,449 suspected gang members. The Department used this information to target 32 active gangs for focused anti-gang enforcement.
- The Gang Division targets and arrests identified gang members involved in criminal activity, including violence and drug trafficking. During the first four months of Fiscal 2002 the Gang Division recorded 968 arrests, of which 235 were gang members. Additionally, the Division seized 125 guns and 12 vehicles.
- During Fiscal 2001 an automated process was initiated that links the New York State fingerprint analysis of arrestees to the Gang Division's database via the Online Booking System. This automated process provides the Gang Division with a greater capability to identify an incident as gang-related.
 - The Gang Division identified 1,584 gang-related incidents in the first four months of Fiscal 2002, compared to 2,629 incidents during the same four-month period in Fiscal 2001, a 40 percent decrease.

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School Safety

- The 2001 Charter Revision Committee convened and drafted proposed Charter amendments. Voters approved all questions presented to them, including creating gun-free school safety zones and prohibiting the sale of any type of guns to persons under 21.
 - The Police Department rules implementing the charter revision mandating School Crime Reporting have been drafted with the participation of the Board of Education and the Special Commissioner of Investigation and are expected to be promulgated by the end of Fiscal 2002.
 - NYPD License Division provides notice of the charter revision to all applicants for gun licenses or permits, applicants for renewal of licenses or permits and recipients of handgun purchase authorizations, as directed by law. A Police Department order regarding the legislation is in development and is expected to be promulgated by Spring 2002.
- The Department is responsible for selecting, hiring, training, supervising and disciplining the School Safety Agents (SSAs) assigned to public schools citywide. All SSAs are trained in the public schools Chancellor's regulations and Police Department strategies concerning Courtesy, Professionalism, Respect (CPR); youth gangs; truancy; domestic violence; teen violence; off-duty conduct; and other relevant NYPD procedures.
 - In August 2001, 358 SSAs graduated from the Police Academy, and the earlier March and May classes graduated a combined 311 SSAs. An additional 256 SSAs were hired and began training at the Police Academy on September 24, 2001.

Quality-of-Life Strategy

- Expanding on COMPSTAT's computer crime tracking capabilities, in January 2002 the Department implemented a real-time monitoring system to track quality-of-life crimes. Commanding officers are held accountable for conditions within their precincts and must identify and develop solutions for quality-of-life issues within their jurisdiction. Information received via the Quality-of-Life Hotline and other available sources will be used to more effectively identify, track and target those problem locations or recurring conditions.
- The Department's automobile theft reduction initiative designates automobile crime coordinators at each patrol borough to supervise a borough-level investigation team and several uniformed automobile theft units. During the first four months of Fiscal 2002 NYPD reported a 16 percent decrease in grand larceny motor vehicle complaints compared to the first four months of Fiscal 2001.
- Using the Nuisance Abatement Law, the NYPD Legal Bureau's Civil Enforcement Initiative implemented 173 court-ordered closings of illegally run businesses during the first four months of Fiscal 2002. Reasons for closings included illegal drug or drug paraphernalia sales, alcohol sales in violation of State Liquor Authority regulations, gambling, fencing of stolen goods and trademark violations.
- During the first four months of Fiscal 2002 NYPD made 322 graffiti arrests, a 34 percent decrease from 488 arrests during the first four months of Fiscal 2001. In Calendar 2001 NYPD made 1,264 graffiti arrests, a 19 percent decrease from the 1,560 graffiti arrests made in Calendar 2000.
 - The Anti-Graffiti/Vandalism Unit (AGVU) made 21 percent of the Department's 322 graffiti arrests, or 67 arrests. AGVU collects graffiti-related intelligence, including information on citywide graffiti arrest statistics, graffiti vandals and their identifying symbols, court dispositions and active bench warrants. It also provides assistance and information to other City agencies.

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- Arrests for prostitution decreased 18 percent, from 1,163 arrests during the first four months of Fiscal 2001 to 953 arrests during the same four-month period in Fiscal 2002. Arrests for patronizing prostitutes decreased 46 percent, from 796 arrests during the first four months of Fiscal 2001 to 429 arrests during the same period in Fiscal 2002.
- In Fiscal 2000 the Bias Incident Investigation Unit was renamed the Hate Crimes Task Force and expanded in order to reduce the number of hate crimes and enhance investigations and prosecutions in the City. During the first four months of Fiscal 2002 the Hate Crimes Task Force database registered 230 cases of bias incidents, compared to 185 cases in the same period of Fiscal 2001, a 24 percent increase. This increase is attributable to the increase in bias-related activity following the September 11th attack.
 - Prior to the September 11th attack, in Calendar 2001 there was one documented bias incident against a Muslim/Arab. From September 11 through December 31, 2001, there were 127 cases reported of bias against a person, place, or group who was perceived to be of Arab descent or of Muslim faith. The Hate Crime Task Force has visited every mosque in the City to offer assistance as needed.
- Citywide bias-related arrest activity decreased 31 percent during the reporting period, to 69 arrests, compared to 100 arrests during the first four months of Fiscal 2001.

DWI Initiative

- In February 1999 the Department implemented a new Driving While Intoxicated (DWI) initiative, authorizing arresting officers to seize vehicles owned and operated by intoxicated drivers at the time of arrest. If a driver demands the return of his vehicle, the Civil Enforcement Unit institutes a forfeiture action. From the inception of the DWI initiative through the reporting period, the Department seized 4,550 vehicles. During the first four months of Fiscal 2002 NYPD made 1,396 drunk-driving arrests, a 10 percent decrease from the corresponding period in Fiscal 2001. These arrests led to the seizure of 528 vehicles, which resulted in the commencement of 382 forfeiture cases by the Civil Enforcement Unit. There were 1,552 drunk-driving arrests during the first four months of Fiscal 2001.
 - During the first four months of Fiscal 2002, 12 drunk-driving fatalities occurred, compared to 18 fatalities in the same four-month period of Fiscal 2001, a 33 percent decrease.
 - Drunk driving-related traffic accidents decreased 1 percent, from 662 accidents in the first four months of Fiscal 2001, to 657 accidents during the same period of Fiscal 2002.
- In July 2001 NYPD implemented a publicity campaign to publicize the dangers of driving while intoxicated and the associated penalties, which include vehicle seizure and forfeiture. During the first 10 months of Calendar 2001 drunk driving-related accidents decreased slightly and drunk driving-related fatalities decreased 16 percent, compared to the first 10 months of Calendar 2000. During the same period, drunk-driving arrests increased 3 percent, from 3,931 arrests to 4,035 arrests.
- During the reporting period the Highway Patrol updated its intoxication testing equipment with state-of-the-art equipment. This new unit is self-contained, reducing the likelihood of operation errors, and produces a computer printout containing all vital information.

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Traffic Strategy

- Using a grant from the State, in February 1999 NYPD began its Highway Emergency Local Patrol (HELP) program, in which civilian NYPD personnel assist stranded motorists on selected limited-access highways in the New York metropolitan area. Since its inception, the HELP program has aided approximately 15,852 motorists. During the first four months of Fiscal 2002 the HELP program aided 1,243 motorists on area highways.
- In Fiscal 2001 the Department installed mobile video and audio recording equipment in 90 NYPD Highway Patrol marked and unmarked vehicles. The equipment has been valuable in the prosecution of traffic violations and criminal offenses and is also instrumental during court and forfeiture proceedings.
- In May 2001 the Department installed mobile video and audio recording equipment in eight marked patrol cars in selected precincts throughout the City. The 90-day pilot program records police/civilian encounters during typical tours of duty. A total of 1,375 encounters were recorded in four categories: 435 possible crimes, 250 crimes in progress, 573 traffic stops and 117 discretionary uses. One of the tapes was vouchered as evidence in an arrest for assault.
- As part of the Department's effort to ensure the safety of the public on City roadways, in addition to conventional ongoing enforcement tactics, NYPD also developed a number of targeted traffic operations to enhance safety and improve traffic flow.
 - On December 8, 2000, NYPD implemented the Queens Boulevard Initiative to reduce the number of traffic accidents and fatalities along Queens Boulevard. From its inception through October 31, 2001, a total of 158,530 summonses have been issued, including 10,714 speeding tickets and 7,272 jaywalking summonses.
 - "Operation Matinee" targets illegally parked vehicles and idling buses in Manhattan's theater district during matinee hours. During the first four months of Fiscal 2002 NYPD issued 1,945 summonses.
 - "Operation On Board" targets violators of bus lane regulations. NYPD traffic enforcement agents riding City buses issued 10,243 summonses and arranged for the towing of 83 vehicles during the first four months of Fiscal 2002.
 - "Operation Combat Aggressive Driving" targets speeding recidivists and other hazardous drivers for enhanced penalties and, in certain circumstances, vehicle seizure. Since its inception in July 1999 NYPD has issued more than 119,442 summonses citywide. This operation focuses on the zero tolerance enforcement of traffic violations and increased vigilance and enforcement against the aggressive driver. In the first four months of Fiscal 2002, the Highway District had 86 aggressive driving arrests compared to 32 in the same four-month period of Fiscal 2001.
 - "Operation Don't Block the Box" targets vehicle spillback in intersections. There were four operations in the first four months of Fiscal 2002 that resulted in 2,468 summonses issued.
 - "Operation Move Along" targets double parking, unauthorized use of bus lanes and other offenses that cause traffic congestion. There were five operations in the reporting period that resulted in 31,444 summonses issued, 44 vehicles booted and 1,414 vehicles towed.
 - "Operation Buckle Up" targets drivers who do not use seatbelts. Operations during the first four months of Fiscal 2002 resulted in 3,239 summonses issued citywide.

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- “Operation Safe Transportation” addresses moving and parking violations along primary City roadways. There were four operations during the first four months of Fiscal 2002 that resulted in 4,366 summonses issued, 11 arrests and 283 vehicles seized.
- During Calendar 2001 the Department also conducted operation “Drive Safe and Sober” that targets drunk drivers and other unsafe drivers, such as speed limit violators. In conjunction with the State Police, NYPD issued 14,916 summonses and made 147 arrests from July to October 2001.
- During the first four months of Fiscal 2002 NYPD’s Surface Transportation Enforcement District coordinated two Operation Safe Taxi initiatives in Manhattan, which encourage all police personnel to address unsafe driving offenses by medallion taxi drivers. The initiatives resulted in 1,389 summonses and four arrests.
- During the reporting period NYPD’s Taxi Unit issued 1,544 summonses to drivers and 3,651 to owners, for a total of 5,195 summonses. In comparison, there were 2,584 summonses to drivers and 4,271 to owners, for a total of 6,855 summonses issued during the first four months of Fiscal 2001.
- The Department issued approximately 277,000 moving violation summonses during the reporting period, compared to approximately 438,000 summonses issued during the first four months of Fiscal 2001.

Fugitive Enforcement Strategy

- In January 2001 \$4 million in City funds was allocated to enable the implementation of Operation Discover, which bolstered the Warrant Section with vehicles, equipment and additional personnel. Warrant teams aggressively target and apprehend known, wanted criminals and prioritize its cases based on the severity of crimes and precinct conditions. The additional personnel allowed a greater focus on trends, using module concepts such as Worst of the Worst; Felony; Gang/Gun; and Joint Absconder Warrants/Parole Squad (J.A.W.S.).
 - The NYPD Warrant Section made 20,352 arrests during the first four months of Fiscal 2002, compared to 19,148 warrant arrests during the same four-month period in Fiscal 2001, a 6 percent increase.
- In April 2001 the J.A.W.S. program was expanded operationally to all five boroughs. J.A.W.S. teams consist of NYPD personnel and NYS Division of Parole Officers who target and apprehend violent felony parole offenders. During the first four months of Fiscal 2002 J.A.W.S. teams arrested 515 persons.
- Operation Nightwatch was established in October 1997 to enhance cooperation between NYPD’s Fugitive Enforcement Division and the Department of Probation. Under this program, probation officers are assigned to work with members of NYPD’s Warrant Section to target persons in violation of the terms of their probations, execute warrants on probation violators and enforce court-imposed curfews. During the first four months of Fiscal 2002, 308 wanted persons were apprehended, compared to 329 apprehensions during the first four months of Fiscal 2001. Since the program’s inception in October 1997, 4,565 persons have been arrested for violating probation.
- Through the Targeted Offender Program (TOP) in Brooklyn North, the Department monitors violent repeat offenders on parole. During the first four months of Fiscal 2002 TOP was responsible for the arrest of 25 parole violators, seized 18 guns and made 71 arrests for other offenses.

POLICE DEPARTMENT

Anti-Gun Strategy

- During the first four months of Fiscal 2002 reports of shooting incidents decreased 7 percent to 645, as compared to 690 shootings during the first four months of Fiscal 2001.
- Operation GUNSTOP was created on January 9, 2001. This program provides a means for the public to provide anonymous information regarding illegal handgun possession or sales. Information leading to an arrest for illegal possession or sale of a handgun renders the person providing the information eligible for a \$500 reward. Since its January 2001 inception through to October 31, 2001, Operation GUNSTOP received 469 tips that led to 227 arrests and the seizure of 104 guns. The program has paid \$19,500 in rewards for information.
- NYPD seized 3,532 weapons during the first four months of Fiscal 2002, an increase of 6 percent as compared to the 3,326 weapons seized during the same period of Fiscal 2001.
- During the reporting period, Borough Street Crime Units made 1,148 felony arrests, 157 misdemeanor arrests and recovered 171 guns.
- The Firearms Investigations Unit (FIU) of the Narcotics Division identifies and pursues gun traffickers within New York City, whenever an illegal gun is bought, sold or used in the City. During the reporting period, FIU has seized 108 firearms and 6,035 rounds of ammunition.

Enforcement Efforts Against Child Abuse

- During the first four months of Fiscal 2002, 835 child abuse cases were referred to the Detective Bureau's Special Victims Squads, compared to 760 cases during the same four-month period in Fiscal 2001.
- During the first four months of Fiscal 2002 NYPD Special Victims Squad detectives conducted 181 child abuse investigations through the Instant Response Team protocol, compared to 234 investigations during the first four months of Fiscal 2001. A total of 43 arrests resulted during the reporting period, compared to 73 arrests during the same period in Fiscal 2001.
- NYPD's Child Advocacy Center in Staten Island conducted 79 investigations of child abuse and made 17 arrests during the reporting period, compared to 76 investigations resulting in 17 arrests during the first four months of Fiscal 2001.
- NYPD's Child Advocacy Center in Brooklyn conducted 365 investigations of child abuse and made 15 arrests during the first four months of Fiscal 2002, compared to 360 investigations resulting in 13 arrests for the same period in Fiscal 2001.

Domestic Violence Strategy

- During the reporting period 95 percent of the orders of protection received by the Department were served, the same as in the first four months of Fiscal 2001.
- In the first four months of Fiscal 2002 Community Police Officers assigned to the Housing Bureau visited 3,358 residences from which reports of domestic violence had been issued, compared to 2,488 residences visited during the same period of Fiscal 2001. Family members were interviewed during 2,081 contacts, and informative literature was given to them; calling cards and informative literature were also distributed at 1,277 additional locations.

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- In February 2001 NYPD instituted a shared Domestic Violence Database System in Staten Island. In August 2001 the database went online in the five boroughs, providing access to all domestic incidents citywide. This enables investigators and police officers to track domestic violence incidents, victims and offenders more efficiently.
- In April 2000 NYPD expanded the Combating Domestic Violence Teams project by 15 additional precincts, representing all five boroughs, to improve domestic violence-related investigations, increase arrests and enhance support services for victims. Currently there are 32 precincts citywide participating in the program.
 - During the first four months of Fiscal 2002 officers assigned to the original 17 precincts made 3,574 domestic violence arrests, compared to 3,747 arrests made during the same period in Fiscal 2001. During the reporting period officers assigned to the original 17 precincts also made 3,263 home visits to victims of domestic violence, compared to 3,061 visits during the first four months of Fiscal 2001.
 - Officers assigned to the 15 new precincts of the expanded Combating Domestic Violence Teams project made 2,353 arrests during the first four months of Fiscal 2002 compared to 2,278 arrests for the same period in Fiscal 2001, a 3.3 percent increase. During the first four months of Fiscal 2002 officers in the 15 new precincts conducted 1,310 successful victim contacts, compared to 1,528 contacts for the same period in Fiscal 2001.

Youth Strategy

- During the reporting period NYPD's Community Organization Youth Diversion Program diverted 563 young offenders to youth programs. The program provides juveniles with an alternative to arrest for misdemeanor offenses by diverting them to designated social service agencies that offer counseling. Post-program monitoring is also provided.
- In cooperation with the Kings County District Attorney, the Board of Education and various local nonprofit organizations, in Fiscal 2000 NYPD developed special response protocols for the Truancy Reduction Alliance to Contact Kids (TRACK) in Brooklyn. TRACK is designed to combat truancy and reduce youth crime and victimization during school hours. There are currently 12 TRACK sites citywide; one in Manhattan South, one in Manhattan North, three in Brooklyn South, three in Brooklyn North, one in Queens South, two in Staten Island and a new site opened in the Bronx on November 1, 2001. A 13th site, in Manhattan North, is scheduled to open in Spring 2002. As a part of this expansion, the School Safety Division established a Truancy Unit as a subunit of the Division to coordinate Borough School Safety Captains and Sergeants, who are assigned to specific precincts.
- The Youth Police Academy is a six-week summer program, which operates in all five boroughs for young people who are 10 to 17 years old. Participants attend classroom sessions with lectures, role-playing and demonstrations by police personnel on topics of law, social science, drug prevention and gang resistance. During Summer 2001, 921 young people attended the program.
- NYPD, in a joint effort with the United States Attorneys of the Eastern and Southern Districts, conducts a summer youth program, Drug Education For Youth (DEFY). The goal of the program is to reinforce positive values and teach important life skills to help young people resist drug use. Funding for the program is provided by the United States Attorney's Weed and Seed program. In Summer 2001, 130 young people attended the DEFY program.

POLICE DEPARTMENT

COUNTERTERRORISM

- The Police Department has created two new positions, Deputy Commissioner, Counterterrorism and Deputy Commissioner, Intelligence. These deputy commissioners will conduct a comprehensive review of all NYPD training with a focus on developing a comprehensive terrorist awareness and first responder program, incorporating the “unified response concept.”
 - In November 2001 precinct-based training officers conducted first responder training for all members assigned to patrol. In addition to a 16-minute first responder training video, each member received memo book inserts detailing terrorism-related emergencies.
- In October 2001 uniformed executives in the Department received a full day biochemical and hazardous materials refresher course.
- In January 2002 an Executive Development seminar was conducted, highlighting various terrorist issues including successful prosecution, importance of cooperation among agencies in sharing intelligence information, a global perspective on terrorism and local consequences, and discussion on weapons of mass destruction.

RECRUITMENT AND TRAINING

- The Department’s recruitment drive for its October 2001 Police Officer examination produced an applicant pool 12 percent larger than the filing period for the June 2001 exam. Of the 14,164 filers for the October 2001 examination, the percentage of applicants identifying themselves as City residents who filed to take the exam decreased from 68 percent during the previous recruitment drive, to 63 percent during the most recent drive. Applicants identifying themselves as members of a minority group also decreased to 61 percent of those who filed, compared to 62 percent during the previous filing period.
 - Police Officer examinations are now offered three times a year: February, June and October. The Police Academy graduates from the October 2001 class provided additional staff at precincts, transit districts and housing service areas, as well as support for traffic safety initiatives.
- The Department hired 1,644 new recruits who entered the Police Academy in July 2001, of which 65 percent are City residents.
- In the first four months of Fiscal 2002 the Police Academy trained 28,222 members of the service, which included 24,702 uniformed officers. This training encompassed 159,447 total training days.
- NYPD, in conjunction with the New York and New Jersey High Intensity Drug Trafficking Area, is finalizing the construction of the tactical training village at Rodman’s Neck in the Bronx. These realistic training structures replicate actual apartment and street scenes to depict buy-and-bust operations, building and apartment searches, as well as street enforcement scenarios. All levels of government will train at this facility to develop standardized tactics for the enhancement of all counter-narcotics officers in the metropolitan area. Interior classrooms are scheduled for completion in Spring 2002.
- The Police Cadet Trainee program recruits City residents and prepares them to perform a variety of nonenforcement duties as part-time employees of NYPD while they attend college. Upon completion of 45 college credits, cadet trainees become eligible for the Police Cadet program. As police cadets, in addition to part-time work within the Police Department, a tuition loan of \$1,000 per semester is granted and is forgiven if the cadet becomes a police officer. The Department hired 32 cadets in July 2001 and 30 cadets in December 2001.

POLICE DEPARTMENT

QUALITY OF LIFE

- The Model Block Strategy is designed to strengthen, stabilize and eliminate drug and criminal activity on a particular Model Block. The Department's community outreach component helps residents to organize tenant and block associations that will monitor, maintain and improve the block. Currently there are 28 Model Blocks. This program is an excellent example of police and community working in partnership with civic and other government agencies to solve local crime and quality-of-life problems.
 - As an outgrowth of the Model Block Program's success at reducing crime and improving the quality of life for residents throughout the City, the Model Block Advisory Council was established. The Council is a volunteer organization made up of community leaders from citywide Model Blocks. On November 19, 2001, the Model Block Advisory Council was awarded the 2001 Mayor's Award for City Agency Volunteers.
 - During December 2001 the Deputy Commissioner Community Affairs and the Model Block Advisory Council sponsored Model Block holiday parties involving Model Blocks in Manhattan, Queens and the Bronx. During these parties more than 1,000 children from nine Model Blocks received gifts distributed by the Police Department.
- A comprehensive fireworks public awareness campaign was conducted that targeted adults within the new immigrant communities throughout the City. This campaign was conducted in various languages. This initiative uses a variety of mediums, including addressing public organizations, flyers, public service announcements, Crosswalks TV bulletin board, the Internet, the Board of Education and community newspapers. The initiative also encouraged clergy to distribute information about the fireworks campaign within their communities.

COURTESY, PROFESSIONALISM, RESPECT STRATEGY

- In July 2001 the Department published, "Making the Connection: Best Practices in Community Relations," which delineates proactive methods to improve the Police Department's relationship with the communities it serves. It is important for NYPD to build bridges with communities and instill a sense of pride in its members for their accomplishments. This publication lists a number of the practical methods employed as well as additional ideas to improve police/community interaction.
- During the first four months of Fiscal 2002, the Department's Quality Assurance Division performed 1,858 Courtesy, Professionalism, Respect (CPR) tests compared to 2,491 tests in the same period of Fiscal 2001. The Department conducts CPR tests to gauge the demeanor of officers during interaction with the public.

RESPONSE TIME TO CRIMES-IN-PROGRESS

- During the first four months of Fiscal 2002 average reported response time to crimes-in-progress calls was 7 minutes, 24 seconds, a decrease of 4 minutes, 36 seconds, or 38 percent, compared to the same period of Fiscal 2001. During the same period, the number of radio runs increased approximately 6.3 percent, from 1.42 million during the first four months of Fiscal 2001 to 1.51 million during the same period of Fiscal 2002.
- During the first four months of Fiscal 2002 reported response time for critical crimes including robbery, shots fired, burglary and assault with a weapon averaged 4 minutes, 54 seconds, a decrease of 2 minutes compared to the same period of Fiscal 2001.

POLICE DEPARTMENT

- During the first four months of Fiscal 2002 reported response time for noncritical crimes, including quality-of-life offenses requiring a focused response, averaged 11 minutes, 48 seconds, a decrease of 10 minutes, 12 seconds compared to the same period of Fiscal 2001.

ARREST-TO-ARRAIGNMENT

- Average arrest-to-arraignment (ATA) time for the first four months of Fiscal 2002 was 21.5 hours, a slight increase from 21 hours for the same reporting period in Fiscal 2001. ATA time begins at arrest and ends at the appearance of the arrestee before a judge for arraignment, and includes the time it takes the District Attorney to prepare the complaint.
- Arrest to officer-ready time, the time measured from initial arrest to when an arresting officer is ready to be deposited by the District Attorney, decreased slightly from an average of 2.4 hours in the first four months of Fiscal 2001 to 2.3 hours during the first four months of Fiscal 2002.
- Local Arrest Processing allows arresting officers in most instances to perform their arrest processing at their command under the supervision of the Desk Officer. This has virtually eliminated the need for arresting officers to travel to the courthouse, thereby reducing arrest processing delays and overtime expenditures.
- The installation of LIVESCAN is almost complete in housing and transit locations, with the exception of one housing police service area and one transit district. These terminals capture digitized fingerprints and interface with State Division of Criminal Justice Services (DCJS) records in Albany. In October 2001 the average time to receive criminal records from DCJS was 4.5 hours, compared to 14 hours before LIVESCAN was introduced in May 1996.
- In September 1998 the Department introduced a new electronic photo-imaging system that automatically provides investigators with both a warrant and a suspect photograph. Installations at all borough court sites and the Midtown Community Court are now complete, and viewing terminals are available at all local precinct detective squads. As of November 2001 NYPD has equipped every precinct, housing police service area and transit district with handheld digital cameras to capture electronic images of suspects.

CUSTOMER SERVICE

- The Crime Stopper Program, funded by the New York City Police Foundation since 1983, continues to be a highly effective means of gaining public cooperation in providing information about serious crimes. During the first four months of Fiscal 2002 the NYPD Detective Bureau's Crime Stopper unit received 3,705 calls at its 1-800-577-TIPS hotline; cleared 25 violent felony crime complaints, including eight homicides; made 19 arrests; and authorized the payment of \$5,250 in rewards. In the first four months of Fiscal 2001 the unit received 4,858 calls; cleared 54 violent felony crime complaints, including 14 homicides; made 44 arrests; and authorized the payment of \$32,000 in rewards.

TECHNOLOGY

- NYPD's Web page on NYC.GOV, the City's official Web site, is now one of the largest police sites on the Internet. The Web pages were enhanced in the second half of Fiscal 1999 to provide information about crime prevention, the Department's crime control strategies and upcoming police officer examinations. The number of page views increased from approximately 1,542,331 views during the first four months of Fiscal 2001 to 3,396,858 views during the same period of Fiscal 2002.

POLICE DEPARTMENT

- NYPD operates a paperless criminal intelligence reporting system and an automated intelligence database that provides more timely police intelligence information to investigators, including information about narcotics, gangs and organized crime activities. During the reporting period, 1,531 new intelligence reports were added to the system. Investigators can now obtain intelligence reports for every precinct 24 hours a day, seven days a week.
- In January 2001 NYPD released a Request for Proposals to vendors in order to implement a Parking Ticket Device System that uses computer technology to reduce illegible, inaccurate or missing parking summons data and improve the handling of parking summonses. Through the deployment of such handheld ticketing devices, enforcement agents will be able to obtain vehicle information by scanning the registration sticker. Subsequently, all information will be downloaded to NYPD and the Department of Finance (DOF). In compliance with the Electronic Signatures and Records Act (ESRA), DOF will retain the electronic parking ticket, along with security information to validate the original issuance and to ensure that the original summons does not contain any undetectable alterations. ESRA sets the legal standard governing digital signatures in the State of New York for government transactions. Phase I field testing, which entails a pilot to evaluate systems operations, began in January 2002; full implementation is expected by Spring 2002.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Department's expenditures were \$1.2 billion, compared to its plan of \$1.1 billion. The Department's Fiscal 2001 expenditures were \$3.4 billion.
- The City's Financial Plan of February 2002 outlines expenditure and revenue initiatives of \$288 million in Fiscal 2002 through overtime savings, administrative cost savings, increased revenues and federal reimbursements, and \$189 million in Fiscal 2003 through civilianization, vacancy elimination and federal reimbursements. The Department will maintain the current size of the uniform police force through recruitment to offset retirements and move officers from desk duty to the street through civilianization. The Department has planned expenditures of \$3.7 billion for Fiscal 2002 and \$3.3 billion for Fiscal 2003.

POLICE DEPARTMENT

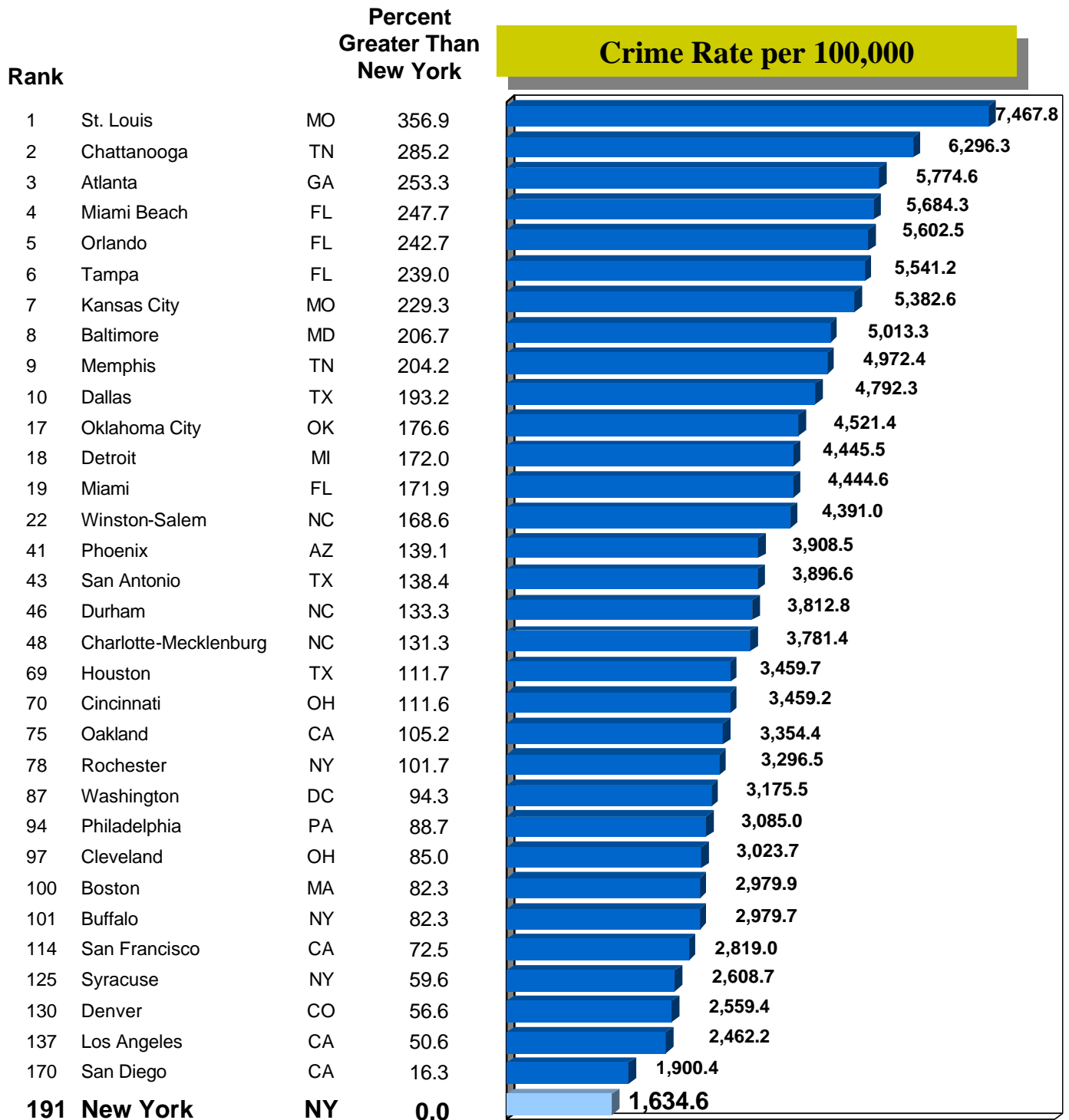
LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
CPR Strategy – Total Tests Conducted	3,428	7,053	6,390	6,363	7,297	2,491	1,858
Average Vehicle Speeds Midtown Avenues (MPH)	7.6	8.4	8.2	8.1	10.2	7.8	8.1 (a)
Major Felony Crimes Total	246,117	227,773	202,106	187,181	172,731	66,865	57,328 (b)
Murder & Non-Negligent Manslaughter	829	673	661	671	626	230	222
Forcible Rape	1,993	1,996	1,653	1,462	1,398	524	452
Robbery	45,162	41,792	37,514	34,045	29,787	11,585	9,844
Felonious Assault	30,214	29,549	27,676	25,656	24,799	9,736	8,409
Burglary	57,181	52,053	43,751	39,176	34,968	13,731	11,747
Grand Larceny	56,619	53,500	50,812	48,818	48,747	18,124	15,872
Grand Larceny Motor Vehicle	54,119	48,210	40,039	37,353	32,406	12,935	10,782

- (a) Following the September 11th attack, vehicle restrictions were imposed on traffic entering Manhattan. This included, but was not limited to, single-occupancy vehicle restrictions placed on bridge and tunnel traffic entering the City.
- (b) Crime statistics resulting from the attack on the World Trade Center have not been finalized and are not reflected in this crime data.

Crime in Selected Cities

Total FBI Index Crime Rate per 100,000 Population for 222 Cities with Population over 100,000 January – June 2001

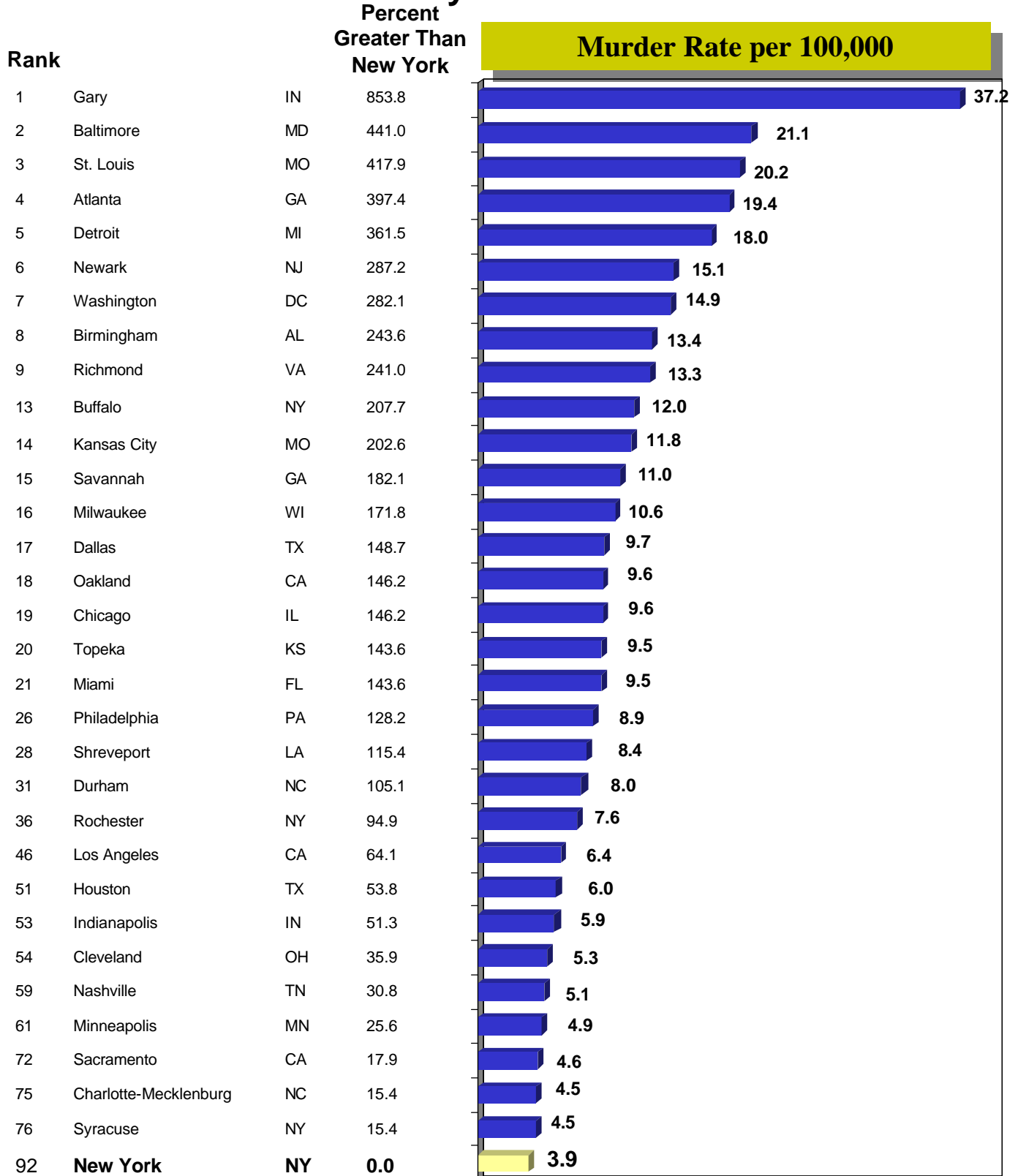


Based on preliminary FBI Uniform Crime Reports

Crime in Selected Cities

Total Murders per 100,000 Population for 231 Cities with Population over 100,000

January – June 2001



Based on preliminary FBI Uniform Crime Reports

FIRE DEPARTMENT

The Fire Department protects the lives and property of City residents and visitors from fire and critical health threats through its five primary operations: response to fire emergencies; response to medical emergencies; fire prevention, including code enforcement, building and other inspections; criminal and cause-and-origin investigation; and public fire safety education. In addition, it is responsible for the separate but related functions of responding to calls regarding building collapses, hazardous material incidents, vehicular accidents, water-main breaks, utility and other nonfire emergencies.

GOALS AND OBJECTIVES

Goal: Extinguish fires expeditiously citywide.

Objective

Maintain an average response time to structural fires of under 5 minutes in all five boroughs in Fiscal 2002.

Goal: Provide expeditious response to life-threatening medical emergencies citywide.

Objective

Maintain an average response time to life-threatening incidents by Certified First Responder-Defibrillation Units of under 5 minutes in all five boroughs in Fiscal 2002.

Goal: Provide quick, efficient and high quality pre-hospital emergency medical treatment and transportation to all City residents, workers and visitors.

Objective

Achieve a 7-minute, 16-second Emergency Medical Service average response time to life-threatening Segments 1-3 incidents in Fiscal 2002.

Achieve a 10-minute-or-less Emergency Medical Service Advanced Life Support unit response to 90% of Segments 1-3 incidents in Fiscal 2002.

Achieve a 6-minute-or-less Emergency Medical Service Basic Life Support unit (including Certified First Responder-Defibrillation unit) response to 90% of Segments 1-3 incidents in Fiscal 2002.

Achieve a 10-minute-or-less Emergency Medical Services Basic Life Support unit response to 90% of non-life-threatening Segments 4-8 incidents in Fiscal 2002.

Reduce the number of ambulance accidents per 10,000 ambulance runs to 6.5 or fewer in Fiscal 2002.

Goal: Prevent loss of life and property through citywide fire prevention and education programs.

Objective

Conduct 62,000 building inspections throughout the five boroughs by the Apparatus Field Inspection Duty units in Fiscal 2002.

Conduct 4,100 fire safety education presentations throughout the five boroughs in Fiscal 2002.

Conduct 213,000 fire prevention inspections in Fiscal 2002.

Conduct an ongoing citywide fire prevention campaign in Fiscal 2002.

FIRE DEPARTMENT

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- On September 11, 2001 the Fire Department of the City of New York (FDNY) conducted the largest rescue effort this country has seen in response to the unprecedented attacks on the United States. New York's Bravest rescued tens of thousands of victims of the World Trade Center attack, and in so doing, 343 of them gave their lives. That day, the Department lost one chaplain, two paramedics, the Chief of Department, the First Deputy Commissioner, firefighters and fire officers of all ranks, and the first Fire Marshal to die in the line of duty.
- On September 11th and every day since, the Department has been committed to recovering not only the remains of its members but the remains of civilians and rescuers from other agencies who also gave their lives while saving others. The Department is honoring its lost heroes through participation in memorials, funerals and other ceremonies dedicated to their memories, while assisting their families at this difficult and painful time.
- A critical challenge to the Fire Department in the wake of the disaster is to replenish its firefighting force. Promotions were given soon after the disaster to fill in the upper ranks. It is anticipated that over 1,000 new firefighters will be needed by the end of Fiscal 2002. One probationary firefighter class was appointed in October 2001 and is now working in the field, and two additional classes consisting of 300 probationary firefighters each, will graduate before the end of Fiscal 2002. In addition, training is playing an even more critical role in the Department with the loss of so many experienced firefighters and fire officers. A total of 30 percent of the Special Operations Command members were lost as a result of the September 11th disaster. Members of the Special Operations Command are specially trained to respond to chemical and other hazardous material incidents, high-rise fires, collapses, explosions and other major emergencies.
- Another critical challenge is to safeguard the physical and emotional health of those who responded to the disaster on September 11th and continue to work at the site. In October 2001 the Department, with funding from the Federal Emergency Management Agency, instituted the World Trade Center/Medical Surveillance Program, which is an expanded version of the Annual Medical Examination, to measure and track World Trade Center site-related health issues. The regularly scheduled medical exam was moved up for all members starting in October 2001. A compressed schedule allowed for the total uniformed workforce and Emergency Medical Services (EMS) personnel who responded to the attacks or worked at the disaster site to undergo the expanded medical examination by January 2002. Prior infrastructure for the annual medical had been created with the flexibility to adapt to a terrorist attack. Within a month after conclusion of the medical and data collection for the entire workforce, test results will be given to each individual, which will indicate the type of medical monitoring and improvement that may be needed. The next course of medical attention and/or monitoring for the individual will be dictated by those test results. The entire workforce will continue to be monitored through the annual medical exams. Participants' data will be pooled for analysis so that the Department, the City, the medical community, and the federal Centers for Disease Control (CDC) can learn from this event, both for treatment of the affected personnel and to design medical and occupational safety interventions to prevent or minimize future health ramifications.
- The Department expanded the Wellness/Fitness Questionnaire given at the medicals to include a series of questions on health issues prior to and after the September 11th disaster. Existing components of the annual medical examination include chest X-ray, blood and urine exposure panels (supplemented to include heavy metals, PCBs and dioxins), pulmonary function tests, audiograms and electrocardiograms. Selected individuals will also be offered methacholine challenge testing to determine if airway irritation has occurred and high-resolution chest scans to determine if mineral dust has penetrated deep within lung tissue.

FIRE DEPARTMENT

- In October 2001, the Department conducted a random sampling of 370 members who had responded to the incident at specific times. These time frames included prior to collapse, between the collapse of Tower 1 and Tower 2, the first two days after the collapse and days 3 through 7 after the collapse. The Department, in conjunction with the CDC, drew blood samples of this initial population to test for various exposure levels. No significantly abnormal levels have been found.
- Immediately following the disaster, counseling centers were set up in three boroughs to provide information and counseling to victims' families and members of the Department. Group counseling sessions were held at firehouses. The sessions included information about one-on-one counseling services offered by the Department and descriptions of various warning signs that indicate an individual could benefit from counseling. During the World Trade Center medical exam, there were discussions with members on various counseling, exposure and stress issues that have presented themselves as a result of this event.
- Along with challenges involving FDNY's most precious resource, its personnel, are the challenges it faces in quickly replacing vehicles and other equipment critical to conducting emergency operations. On September 11th, the Department lost 91 vehicles, including engines, ladders, specialty units and ambulances. The Department has begun replacing the destroyed vehicles by implementing emergency purchasing procedures. It is anticipated that all the vehicles will be received by the end of Fiscal 2002.
- Radios, bunker gear and various firefighter tools were also lost. Emergency orders for these items were placed immediately following the incident. All the items have been replaced, many of them in the days and months following the tragedy. Its proximity to the disaster site has also necessitated the complete renovation of the Engine Company 10, Ladder Company 10 firehouse.
- Public support during this trying time has been overwhelming. Donations of every kind have been offered, including equipment, supplies, apparatus and donation of people's time and effort. An enormous amount of mail, including electronic mail, from all over the country and the world documents the feelings of sorrow and gratitude felt for the FDNY family.

RESPONSE TO FIRES

- In the first four months of Fiscal 2002 there were 8,583 structural fires in the City, a 4 percent decrease compared to 8,900 structural fires in the first four months of Fiscal 2001.
- FDNY's average response time to structural fires, expressed in minutes and seconds, was 4:17 during the reporting period. This is a 1 percent increase compared with 4:14 in the first four months of Fiscal 2001.
- During the reporting period there were 9,550 nonstructural fires, a 5 percent decrease compared to 10,064 nonstructural fires in the first four months of Fiscal 2001.
- Average response time to nonstructural fires was 4:44 during the first four months of Fiscal 2002. This is an increase of 1 percent compared with 4:40 in Fiscal 2001.
- During the first four months of Fiscal 2002 there were 21 civilian fire fatalities, compared with 30 civilian fire fatalities in the first four months of Fiscal 2001. In Calendar 2001 there were 101 civilian fire fatalities, compared with 125 civilian fire fatalities in Calendar 2000. The civilian fire fatalities do not reflect the lives lost as a result of the September 11th disaster.

FIRE DEPARTMENT

RESPONSE TO MEDICAL EMERGENCIES

- There were 373,029 EMS incidents during the first four months of Fiscal 2002, compared with 365,438 incidents in the first four months of Fiscal 2001, an increase of 2 percent.
- During the first four months of Fiscal 2002 there were 129,753 Segments 1-3 life-threatening medical emergencies (such as cardiac arrest and major trauma), compared to 130,178 during the same period in Fiscal 2001, a decrease of less than 1 percent.
- In the first four months of Fiscal 2002 the average EMS response time to Segments 1-3 incidents was 6:56, compared to 7:20 during the same period of Fiscal 2001, a 5 percent decrease.
- During the reporting period the Certified First Responder-Defibrillation (CFR-D) unit average response time to Segments 1-3 incidents was 4:11, a 1 percent decrease compared to 4:14 during the first four months of Fiscal 2001.
- EMS and CFR-D combined average response time to Segments 1-3 incidents was 6:05 during the first four months of Fiscal 2002. This is a decrease of 5 seconds compared with the same period of Fiscal 2001, and a decrease of 2 minutes, 40 seconds compared to July-October 1995, the year before the merger of EMS and the Department.

QUALITY OF EMERGENCY MEDICAL CARE

- From 1990 to 1991 New York City Emergency Medical Services participated in the landmark PHASE study, which evaluated patient survival rates following out-of-hospital cardiac arrest. The American Heart Association subsequently designated FDNY the principal investigator in an expanded follow-up entitled, "Pre-Hospital Evaluation of New York Cardiac Survival" (PHENYCS). PHENYCS will provide the Department with an important opportunity to revisit the issue of out-of-hospital cardiac arrest, as well as to critically evaluate the effect of early cardiopulmonary resuscitation (CPR) and defibrillation by Certified First Responders.
 - PHENYCS has four specific aims: compare cardiac survival rates in New York City with other major cities; identify factors that contribute to successful resuscitations; access out-of-hospital advanced airway management, in order to suggest possible improvements in the chain of survival for cardiac arrest; and gather information for three ongoing projects that might play a role in improving the chain of survival for cardiac arrest. These projects include the placement of Automatic External Defibrillators by public agencies, municipal agencies, and private groups throughout the City; an American Heart Association national multicenter clinical trial of Public Access Defibrillation; and the implementation of Operation Heartbeat, an American Heart Association nationwide public education program. Data collection began at the end of February 2002 and will last for approximately one year.
 - The Department is currently collaborating with the Center for Urban Epidemiological Studies at the New York Academy of Medicine, and the Center for Pediatric Emergency Medicine at Bellevue Hospital/New York University Medical Center to evaluate PHENYCS. The study has been awarded over \$2 million for research funding, including a grant from the American Heart Association, and the United States Department of Health and Human Services, Bureau of Maternal and Child Health.

FIRE DEPARTMENT

- In Fiscal 2001 the Department designed, tested and implemented a new call-receiving protocol to prioritize stroke calls from patients who have a narrow window of opportunity for aggressive pharmacological intervention by the emergency department. By providing a higher priority EMS response, hospital notification and early access to treatment with the thrombolytic agent, Tissue Plasminogen Activator (TPA), recovery becomes more of a reality. Based on national statistics from the American Heart Association, as many as 30 percent of these patients may now have a significant opportunity for improvement, or even complete resolution, of their neurologic deficits if treated in a timely fashion. The Department is collaborating with the Mt. Sinai School of Medicine to monitor, track and evaluate the effects of the intervention on the clinical outcome of these patients.

RESPONSE TO NONFIRE AND NONMEDICAL EMERGENCIES

- During the reporting period there were 60,057 nonfire and nonmedical emergencies, compared with 59,174 such emergencies during the first four months of Fiscal 2001, an increase of less than 2 percent.
- Average response time to these emergencies increased from 5:11 during the first four months of Fiscal 2001 to 5:15 during the first four months of Fiscal 2002, a 1 percent increase.
- The number of malicious false alarms decreased by 9 percent, from 20,849 in the first four months of Fiscal 2001 to 19,045 in the first four months of Fiscal 2002.

FIRE MARC

- The Fire MARC (Management Appraisal Review and Comparisons) Program, implemented during Fiscal 2001, uses performance indicators to measure the efficacy of policies and the realization of Department goals. Regularly scheduled sessions are intended to encourage interactive problem solving among all members of the Department. Open dialogue about the conditions of a particular division, bureau or unit is the cornerstone of Fire MARC; however, the success of the program is based on implementing these strategies and policies in the field.
 - All deputy chiefs, as well as battalion and unit commanders, are responsible for ensuring their commands are using the information generated by Fire MARC to improve management, enforce existing policies and apply problem-solving techniques.
 - During the first four months of Fiscal 2002 collection and reporting of performance indicators continued. The sessions were suspended following the September 11th disaster due to the need for the Department to focus on disaster-related activities.

DISPATCH/COMMUNICATIONS

- The Fire Department is in the final design phase of a project to rehabilitate the physical plants of the existing five borough communications offices and to replace and upgrade its emergency communications systems. This project will integrate the EMS and Fire dispatching systems into a unified FDNY Emergency Communications infrastructure. EMS dispatch operations are currently located in a separate facility. At the conclusion of the project, EMS dispatch personnel will permanently relocate to newly designed space in their respective borough communications offices. Due to the necessity of maintaining uninterrupted operations, the renovation work will proceed in two phases. Structural and building systems work for Phase I is projected to begin in Queens, Staten Island and the Bronx in Spring 2002.

FIRE DEPARTMENT

NEW AMBULANCE SUPPORT STATIONS

- In October 2001 the Fire Department substantially completed construction of two new ambulance support stations: Bathgate and University Heights in the Bronx. Both of these stations are scheduled to open in March 2002. The Department is continuing the Design and Land Use Review for a new combined Fire/EMS facility in the Rockaway section of Queens; construction originally expected to begin in late Fiscal 2002 will now begin in early Fiscal 2003. Construction of a combined Fire/EMS facility in the Rossville section of Staten Island began at the end of February 2002 and is expected to be completed in Spring 2003. During Summer 2001 the Department of Citywide Administrative Services entered into a contract for a new ambulance support station in the Greenpoint section of Brooklyn. In addition, the Department continues to work towards acquisition of Greenpoint and Bond Street in Brooklyn and Baisley Avenue in the Bronx.

AMBULANCE BILLING AND COLLECTION

- In Spring 2001 the Department released a Request for Proposals to obtain a vendor that will process all ambulance service billing and collections. The responses were returned and the contractor selection took place in September 2001. The contract, originally expected to be registered in January 2002, is now expected to be registered in May 2002.

BUILDING MAINTENANCE

- The Fire Department is having several firehouses throughout the City gutted and completely renovated. Engine Company 73 in the Bronx, which began construction in April 2000, was completed in July 2001. Engine Company 93 in the Bronx began construction in July 2001, and is expected to be completed in August 2002. Design for Engine Company 210 in Brooklyn began in February 2000, and construction began in July 2001. It is expected to be completed by July 2002. Construction for Engine Company 282 in Brooklyn, which was previously delayed due to the waiting period for the registration of the construction manager's contract, will now begin in March 2002. The design phase for Engine Company 1 in Manhattan began in January 2001 and construction is slated to begin in March 2002. Ladder Company 25 in Manhattan, previously delayed due to a holdup in the design process, is slated to begin construction in April 2002.
- During Fiscal 2001 a \$45 million project began at Randall's Island. The new center will offer traditional firefighting training accompanied by technologically advanced training; access to an e-learning environment; and a Web-based distance learning option that will be accessible to all personal computers. Site construction design and utility work began in December 2000; the remainder of the project began in August 2001.

WELLNESS/FITNESS INITIATIVE

- In Fiscal 2001 the Department developed a comprehensive Wellness/Fitness initiative. This initiative was created as part of a commitment to maintain an annual medical examination for membership in the Department. The Wellness Fitness Initiative is broken down into three separate components: a computerized medical history questionnaire, a computerized summary of the results of all examination tests and laboratory blood test results. Departmental firefighters report to the annual medical examination on a 15-month schedule, and Emergency Medical Service Personnel report upon appointment.

FIRE DEPARTMENT

- The first component of this initiative includes a “touch screen”-driven medical history questionnaire. This questionnaire covers such material as various illnesses, cardiac, and cancer risk factors as well as lifestyle issues. Members, at the time of their annual medical appearance, sit in front of the touch screen and answer approximately 52 questions. All answers given at this visit will be stored as the permanent record and be compared to all answers given at the next annual medical appearance. This will occur for all subsequent annual medical examinations. This information will prove invaluable to both the medical officer and the member as it will provide definitive evidence and relationships between lifestyle and health and fitness issues. The medical officer will also have the tools available to track positive or negative trends and to counsel the member accordingly.
- The second component of this initiative has been the development of data entry screens for all portions of the annual medical examination. These include vision and hearing testing, pulmonary function testing, step-test, strength testing, chest Xray, ECG and immunizations. The clerical support staff enters this data while members respond to the above-mentioned questionnaire and before they have a medical officer interview. The information entered allows the medical officer the opportunity to review all the data gathered and measured immediately.
- The third component involves blood laboratory results. FDNY coordinated efforts with the Life and Safety Unit and Bureau of Training to draw blood from members attending the Annual Education Day. Since the same members will be scheduled for their Annual Medical Day approximately 30 days later, FDNY found that by drawing blood on Education Day, the Bureau of Health Services can receive the results before the medical appearance. This valuable information affords the medical officer all data needed to counsel and advise members with a more comprehensive discussion regarding their future health and fitness. The Department continues to work toward an electronic transfer of blood result data from the laboratory and is working with the laboratory vendor to ensure an efficient transition from a paper record to an electronic record. Once this system is in place, the time frame between blood drawing and results will be diminished considerably.

FIRE PREVENTION

- In June 1999 the Department initiated a project to reconfigure its 14 Fire Prevention Districts to correspond to its nine Field Force Divisions. This reorganization creates a cohesive relationship between the fire prevention force and the field offices on issues involving building violations and hazards. Districts 13 and 14 in Queens were aligned in October 1999. The site in Brooklyn began minor construction in Spring 2000, enabling the Department to align Districts 8, 11 and 15 in Staten Island and Brooklyn. The Bureau of Fire Prevention field offices 8, 11 and 15 were aligned in Fall 2000. The former quarters of Engine Company 75 has been identified as the site for a District Office in the Bronx. This site, originally scheduled for completion in December 2001, was completed in February 2002.

COMMUNITY SERVICE INITIATIVES

- During the first four months of Fiscal 2002 the Department conducted 891 fire prevention and public safety presentations, a 25 percent decrease from 1,194 fire prevention and public safety presentations conducted during the same period in Fiscal 2001. This decrease is due to the reassignment of unit staff for approximately five weeks as a result of the September 11th disaster.
- In the first four months of Fiscal 2002 the Department made 16 high-rise fire safety presentations to tenants, building owners and managers, and community groups. These presentations educate the public on proper fire safety procedures, the correct use of smoke detectors and general fire protection techniques.

FIRE DEPARTMENT

- During the first four months of Fiscal 2002 the Department distributed 3,116 smoke detectors and 8,079 batteries to residents in high fire-fatality communities.
- The Department, in conjunction with the Fire Safety Education Fund, a nonprofit foundation, completed the FDNY Fire Zone in October 2000. The fire safety learning center, located in Rockefeller Plaza, features an interactive experience to help familiarize the public with key elements of fire prevention and supplies potential lifesaving information in the event of a fire or if someone is hurt or sick. The hands-on exhibit, which includes a re-creation of a firehouse and a virtual fire scene, offer visitors the unique experience of becoming part of a firefighting team. This experience teaches individuals that they can help to play a major role in the prevention of fires. During the first four months of Fiscal 2002, approximately 10,500 individuals participated in the interactive experience.
- In Spring 2000 plans were unveiled to construct the first combined Firehouse/EMS support facility in the City. The site selected for this project is a parcel of vacant City-owned land in the Rossville section of Staten Island. The Department selected Staten Island's south shore because this area has seen an increase in new home development, has lagged behind the citywide average in fire response time and is experiencing a steady increase in EMS call volume. Construction of the facility began at the end of February 2002.
- In Fiscal 2001 the Department initiated a biannual hiring schedule for the Fire Safety Cadets. The new hiring schedule will allow the Department to increase the number of Cadets eligible to take the Promotion to Firefighter Exam each year contingent on the outcome of the New York State Civil Service Commission's determination of the City's request for noncompetitive status. In August 2001, 36 Cadets graduated from the February 2001 class and began working in the field as Emergency Medical Technicians. In November 2001 a new class of 70 Fire Safety Cadets began training. The class is currently receiving EMT training and is expected to graduate in April 2002. Upon graduation of the November 2001 class, a new class of 75 cadets will begin training.
 - In order to ensure that every cadet has the greatest opportunity for success on the Promotion to Firefighter Exam, the Department will conduct a five-week tutorial for the written portion of the test. In addition, the Department will conduct an intensive 16-week, four-stage physical training program. The program will focus on aerobic and anaerobic exercises and strength training, and will include practice runs for actual test events.
- In April 2000 HealthStat began to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, all City agencies and hundreds of community groups were mobilized to enroll eligible families and children in Child Health Plus and Medicaid. As a direct result of HealthStat activities, over 200,000 individuals have been enrolled in public health insurance programs.
 - During the first four months of Fiscal 2002, the Department, in conjunction with the Community Service Unit and the Fire Safety Education Unit, continued to educate the public about the new initiative. During Fiscal 2001 all EMS units provided HealthStat information to those candidates who appear eligible for Child Health Plus. In addition, the Department is working with the Immigration and Naturalization Service to run a Health and Safety Fair at Brooklyn College to coincide with the swearing in of new citizens. The Department is also coordinating health and safety fairs with City hospitals in high-fire areas to promote health care access, continuing to incorporate HealthStat information in all Fire Safety presentations, working with public libraries on safety and health seminars, and distributing smoke detectors to communities and organizations.
 - The Department will continue to include information in the FDNY Community Newsletter regarding the availability of public health insurance programs for low-income adults with uninsured children.

FIRE DEPARTMENT

TRAINING/FIREFIGHTER EXAMINATION PROGRAMS

- In January 2000 the Department appointed an Executive Director of Training, Fire and Life Safety. This appointment has helped to promote greater efficiency in FDNY training operations. During Fiscal 2002 the division will face the challenge of training probationary firefighters required to replenish the Department. It is anticipated that over 1,000 new firefighters will be needed by the end of Fiscal 2002. One class of 300 individuals was appointed in October 2001 and is now working in the field. Two additional classes, consisting of 300 probationary firefighters each, will be appointed before the end of Fiscal 2002.
 - Due to the September 11th disaster, some of the training at the Department's Leadership Management Academy was delayed. However, training resumed quickly following a decrease in the need for personnel to attend departmental ceremonies relating to the September 11th disaster. The First Line Supervisors Training Program will be offered monthly until all eligible FDNY personnel have participated. Once FDNY personnel have completed training, officers from statewide fire departments will become eligible to participate in the program. In addition, the Company Commander's course has been completed and will be offered by the middle of Fiscal 2002; the Battalion Chief's course was completed in February 2002. Emergency Medical Service personnel training for lieutenants and captains is ongoing.
 - The Annual Education Day, which was postponed due to other training demands, will resume in Fiscal 2002. The program will provide fatal fire reviews, building construction reviews, and basics in ladder and engine company operations.
 - During the first four months of Fiscal 2002, the Training, Fire and Life Safety Unit continued collaborating with local, State and federal agencies. The United States Navy War College has agreed to design a computer simulation to increase the Department's ability to respond to catastrophic events.
 - Relationships with numerous metropolitan-area colleges and universities continue to develop. The Department is in the process of developing an FDNY Corporate University that will enable metropolitan-area colleges and universities to offer college credit for Fire Department training, "life experience" credit, tuition discounts to employees and their families, as well as online courses provided for college credit. The Department anticipates that it will be the first City agency to have a corporate university, which was modeled on one that was developed in the private sector.
- In Fiscal 2001 the Department analyzed all 100 courses currently offered by the Department and organized them to create FDNY's first Course Opportunities Catalog. The catalog will be printed and distributed in March 2002 and will offer a full description of all Department courses, related educational opportunities, and financial aid and scholarship information.
- The Department expects filing for the promotion to firefighter exam to take place in April 2002. The titles eligible to take this exam at present are Fire Prevention Inspector, EMT, and Paramedic. The Fire Safety Cadet title is not eligible to take the promotion to firefighter exam due to the fact that that title is pending the New York State Civil Service Commission's determination of the City's request for noncompetitive status. Filing for the next open-competitive firefighter exam is expected to take place in Summer 2002. The Department has requested that both the promotion to firefighter and open-competitive tests be given in Fall 2002.

FIRE DEPARTMENT

TECHNOLOGY

- With the assistance of the Technology Steering Committee, in Fiscal 1998 the Department fully implemented the Computer-Based Testing and Photo Identification Badging program for new Certificate of Fitness (COF) applicants. Plans include off-site testing and electronic transfer of company ID photos for the approximately 187,833 certificate holders. In Fiscal 2001 the Department received budgetary approval to allow current certificate holders to renew their COFs via the Internet. The Committee recommended that the Department provide other Internet services such as test appointments, certificate searches, and submission of COF applications and payments via the Internet. The Department is finalizing plans to further develop this program.
- The Technology Steering Committee has funded the Department's development of a new fire reporting system. The Department evaluated bids for the fire reporting system in September 1999; the contract was awarded in February 2000. This application will allow firefighters to electronically enter fire reports into a centrally located system and will help to establish a secure, reliable database for the Department. Due to the September 11th disaster, training scheduled to begin in October 2001 has been postponed until April 2002. In addition, the Department began work on Internet access of fire reports to the public.
- In order to enhance the use of instructional facilities through online learning, in Fiscal 2001 the Department introduced a variety of new initiatives. These initiatives include a new comprehensive computer training program and distance learning opportunities in all training activities at the Department's Leadership Academy; online registration for training courses with electronic mail confirmation; an improved scheduling system that will allow the Department to use annual education and medical leave days for 20 fire companies simultaneously without negatively affecting geographic coverage and response time; a Web-enabled calendar of training opportunities with timelines for scheduling, location identification and evaluation of course offerings; a new system for interagency communication and knowledge sharing; and a career road map with customized learning programs for all employees.
- In October 2001 the Department funded and concluded a scanable Ambulance Call Reports (ACR) pilot project to allow EMTs and paramedics to input vital information electronically instead of recording it manually. The new scanable ACR captures vital information and incorporates data into the FDNY Enterprise Data Warehouse from a paper ACR that is electronically scanned.
- The Department is currently procuring a joint Fire/EMS Computer Aided Dispatch (CAD) System. In May 2000 FDNY hired its own specification development consultant to finalize its needs for Fire and EMS CAD systems, including its Automatic Vehicle Locator system. The report was completed in January 2001 and the specifications were forwarded to the five vendors who bid for the CAD system. The proposals were returned to the Department and the evaluation committee is in the process of selecting a vendor. The Department had anticipated choosing a vendor by Fall 2001, however the vendor selection and contract finalization will now occur in June 2002. The delay is attributable to the September 11th disaster.
- During the first four months of Fiscal 2002 page views of the Department's home page on NYC.GOV, the City's official Web site, increased from 312,533 views in the first four months of Fiscal 2001 to 6,649,937 in the first four months of Fiscal 2002.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Department's expenditures were \$401 million, compared with its plan of \$391 million. The Department's Fiscal 2001 expenditures were \$1.1 billion.

FIRE DEPARTMENT

- The City's Financial Plan of February 2002 outlines \$91 million in expenditure and revenue initiatives in Fiscal 2002 through administrative cost savings, federal reimbursements and increased revenues and \$42 million in Fiscal 2003 through productivity initiatives, personnel redeployment, overtime savings and other efficiency measures. The Department, with an increase of 73 firefighters, will deploy its uniformed force more efficiently. This will include utilizing light duty firefighters as battalion aides. The Department has planned expenditures of \$1.2 billion for Fiscal 2002 and \$1.1 billion in Fiscal 2003.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Average Response Time to Structural Fires – Manhattan	4:17	4:19	4:14	4:22	4:19	4:17	4:21
Average Response Time to Structural Fires – The Bronx	4:24	4:21	4:21	4:23	4:22	4:20	4:19
Average Response Time to Structural Fires – Brooklyn	3:57	3:57	3:53	3:55	3:50	3:47	3:51
Average Response Time to Structural Fires – Staten Island	4:54	4:47	4:53	4:56	4:39	4:39	4:42
Average Response Time to Structural Fires – Queens	4:59	4:53	4:46	4:50	4:47	4:46	4:50
EMS Average Response Time to Life-Threatening (Segments 1-3) Incidents	8:14	7:54	7:35	7:48	7:04	7:20	6:56
(EMS/CFR-D) Segments 1-3 Incidents Responded to in Less Than 6 Minutes – Including First Responder	51%	55%	56%	55%	60%	59%	61%
Incidents Responded to in Less Than 10 Minutes by Advanced Life Support Units	43%	45%	46%	48%	54%	51%	57%
Segments 4-8 Incidents Responded to in Less Than 10 Minutes	57%	61%	64%	64%	72%	69%	74%
Inspections Performed by Fire Prevention Staff	207,735	209,258	196,793	216,681	210,904	69,440	66,804
Field Force Inspections	61,088	60,998	53,707	58,729	68,021	25,818	20,868 (a)

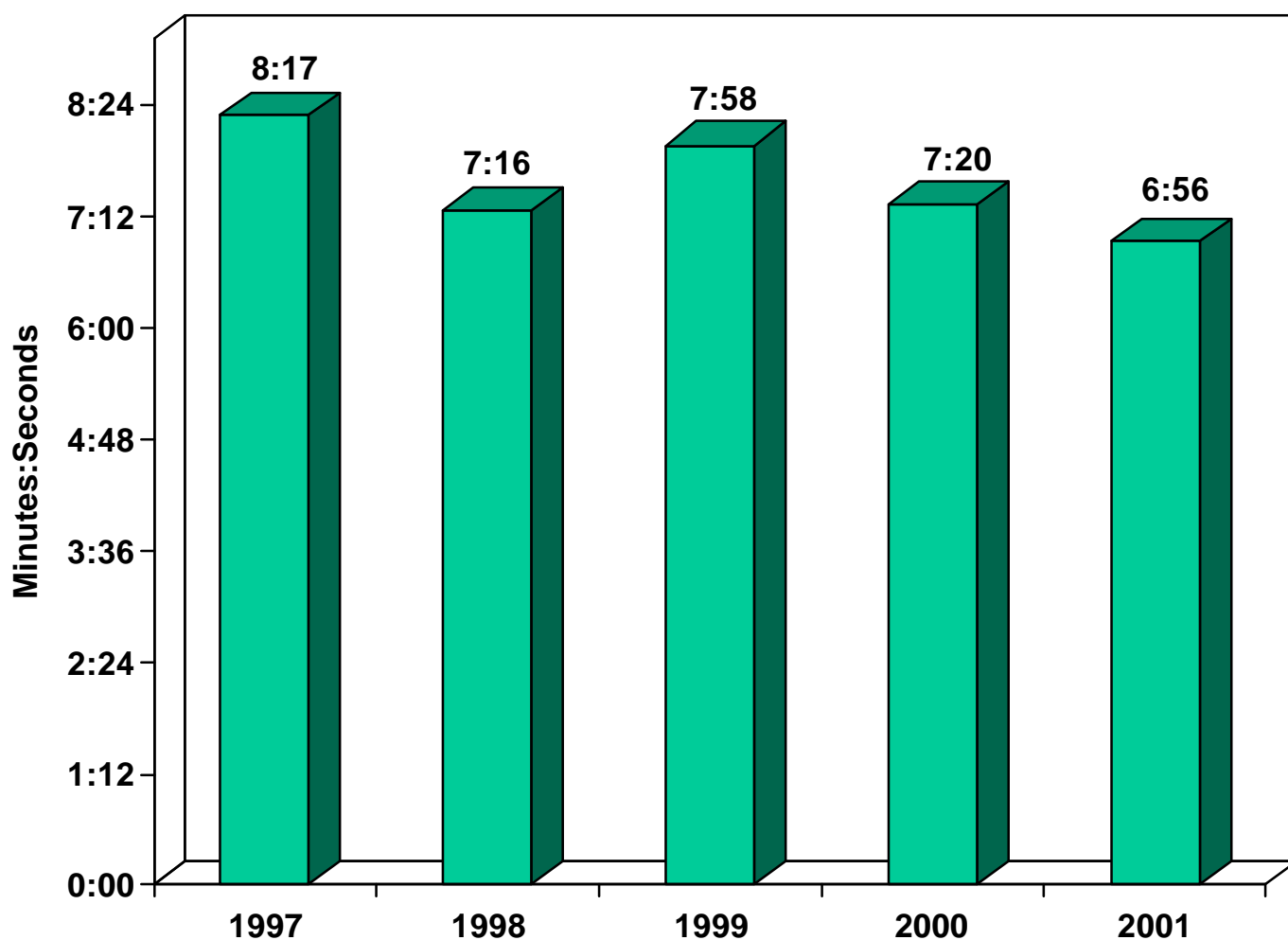
- (a) The decreases are attributable to the interruptions in the field force's inspection time due to the September 11th disaster.

Fire Department

Response Times to Segment 1-3* Life-Threatening Medical Emergencies (in minutes)

EMS Units Only

July - October 1997 - 2001



*Segment 1-3 incidents reflect the most serious life-threatening situations, ranging from cardiac arrest and choking, to conditions such as difficulty breathing, unconsciousness, major burns and major trauma.

DEPARTMENT OF CORRECTION

The Department of Correction provides custody, control and care of misdemeanants and felons sentenced to one year of incarceration or less; detainees awaiting trial or sentence; newly sentenced felons awaiting transportation to State correctional facilities; alleged parole violators awaiting revocation hearings; and State prisoners with court appearances in New York City. Professional care and services, including health care and mental health treatment, substance abuse counseling, educational instruction and transitional services are provided. The Department maintains a safe and secure environment for staff, inmates and the public by pursuing a policy of zero tolerance for gang-related and other criminal activity in its facilities. Through its self-contained emergency response capability, the Department is able to respond to full-scale citywide emergencies and disasters. The Department handles approximately 120,000 admissions each year, manages an average daily inmate population of approximately 15,000 individuals, and transports an average of approximately 1,500 individuals to court facilities each business day.

GOALS AND OBJECTIVES

Goal: Provide custody and control in a safe, secure and healthy environment.

Objective
House the inmate population at between 96% and 100% of available capacity in Fiscal 2002.
Achieve an overall on-time delivery rate of 83% for inmates who are scheduled for court appearances in Fiscal 2002.
Conduct a minimum of 1,470 scheduled and 10,000 random weapons searches each month to reduce the incidence of inmate violence in Fiscal 2002.
Maintain at 1% or lower the number of jail cells systemwide that are unavailable either due to damage by inmates or to nonroutine maintenance in Fiscal 2002.

Goal: Maximize inmate access to efficient, effective correctional programs and post-release services.

Objective
Achieve an average daily attendance of 1,300 in the education program in Fiscal 2002.
Administer the General Equivalency Diploma exam to 500 inmates, achieving a passing rate of at least 65% in Fiscal 2002.
Achieve an 80% inmate graduation rate in both the High Impact Incarceration Program and the Self-Taught Empowerment and Pride program in Fiscal 2002.
Place at least 10,514 inmates in the Substance Abuse Intervention Division (SAID) program in Fiscal 2002.
Maintain an occupancy rate of at least 96% for jail beds in housing areas that are reserved for the SAID program in Fiscal 2002.
Place over 2,630 inmates into post-release, community-based transitional drug treatment programs in Fiscal 2002.

Goal: Increase savings and productivity through the efficient use of available resources.

Objective
Achieve a vehicle readiness rate of 90% in Fiscal 2002.
Utilize a minimum of 4,700 inmates per week in supervised jail-based work assignments in Fiscal 2002.
Reduce the average length of stay for pretrial detainees through case-processing reform and technology initiatives.

DEPARTMENT OF CORRECTION

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- Immediately following the September 11th disaster, the Department of Correction (DOC) provided personnel, equipment and supplies vital to the search and rescue operation. DOC established and staffed a command center to assist the on-site morgue and provided staff for the Fresh Kills Landfill. The Department also set up telecommunications systems at command posts for the New York City Police Department and the Fire Department of the City of New York near the site, and provided transportation to and from Ground Zero for emergency personnel. In addition, DOC provided transportation for the City's central storehouse for distribution of supplies related to the disaster.

CAPACITY MANAGEMENT

- The Department of Correction admitted 34,363 inmates during the first four months of Fiscal 2002, a decrease of 5,488 inmates from the 39,851 admitted during the first four months of Fiscal 2001.
- The average daily inmate population (ADP) during the reporting period decreased to 13,891, compared to an ADP of 14,458 during the comparable period in Fiscal 2001.
- The incarceration rate during the first four months of Fiscal 2002 was 28.8 percent, an increase of 1.3 percentage points from the rate recorded in the first four months of Fiscal 2001. The incarceration rate represents the percentage of police arrests remanded to DOC custody.
- During the reporting period the average length of stay for all inmates was 51.3 days, a 15 percent increase from the 44.6-day average length of stay recorded in the first four months of Fiscal 2001.
- During the reporting period the Department had a monthly average of 5,553 beds out of service for capital improvement repair and maintenance, compared to 2,395 beds in the first four months of Fiscal 2001. The significant increase is attributable to a decrease in average daily population, which enabled the Department to close additional bed capacity and use the opportunity to expand its program for capital improvements.
- A total of 350 uniformed recruits graduated from the Department's Correction Academy during the reporting period.

TRANSPORTATION

- In the first four months of Fiscal 2002 the Department delivered 102,447 inmates to court, a 9.3 percent decrease compared to the 112,995 inmates delivered in the first four months of Fiscal 2001.
- The Department delivered 100 percent of on-trial inmates on time during the reporting period, compared with an on-time delivery rate of 99.9 percent during the same period of Fiscal 2001.

VIOLENCE REDUCTION

- In the first four months of Fiscal 2002, six inmate slashings/stabbings were recorded systemwide, a 71.4 percent decrease compared to the 21 slashings/stabbings in the first four months of Fiscal 2001.
- The Department recorded a total of 599 Use of Force incidents during the reporting period, compared to 648 incidents during the first four months of Fiscal 2001.

DEPARTMENT OF CORRECTION

- In May 2000 the Department was authorized to purchase stab-resistant vests for the safety of correction officers. The mandatory use of these vests is another component of the Department's long-term comprehensive approach to enhancing staff safety. It is necessary for each uniformed staff member to be custom fitted prior to ordering the vests. In May 2000 the first shipment of stab-resistant vests was received and various commands throughout the Department were issued the vests starting in June 2000. To date, 9,721 such vests have been issued to members of the uniformed staff. Currently, there are 970 staff members who have been measured but have not received vests; an additional 168 recruits have been measured.
- In the first four months of Fiscal 2002 the Department recovered 809 weapons from inmates, a decrease of 39 percent from the 1,334 weapons recovered in the first four months of Fiscal 2001. The Department conducted 118,807 searches during the reporting period, compared with 95,226 searches conducted during the same period in Fiscal 2001. The number of searches has steadily increased in past years as a proactive measure in removing dangerous contraband and reducing inmate violence.
- In-house arrests of inmates for criminal offenses by the Gang Intelligence Unit decreased 33 percent during the first four months of Fiscal 2002, from 320 arrests in the first four months of Fiscal 2001 to 214 arrests during the current period.

HEALTH CARE AND MENTAL HEALTH SERVICES

- The average daily number of inmates in medical/surgical hospital beds increased to 28 in the first four months of Fiscal 2002, compared to 27 during the comparable period of Fiscal 2001.
- The average number of hospital runs increased 30 percent, from 1,236 in the first four months of Fiscal 2001 to 1,601 in the first four months of Fiscal 2002. The increase is due to a 31 percent increase in medical runs and a 25 percent increase in psychiatric runs. According to the Health and Hospitals Corporation/Correctional Health Services, the increase in hospital runs was primarily attributable to increases in hospital referrals for pulmonary illness, i.e. pneumonia, to rule out *Pneumocystis carinii*; cardiac-related chest pains to rule out myocardial infarction; and for acute-care psychiatric treatment.
- The average daily number of inmates in acute care psychiatric hospital beds during the reporting period was 50, a decrease of 3.8 percent from 52 inmates in the first four months of Fiscal 2001. These beds, which are located within the prison wards of several area hospitals, provide continuous monitoring and treatment for inmates with moderate to severe psychiatric problems.
- In collaboration with the Human Resources Administration, by a revised date of Fiscal 2002 DOC will open a center on Rikers Island that will provide inmates with vocational assessment and rehabilitation services, as well as identify job opportunities and barriers to employment. State Certified Alcoholism and Substance Abuse Counselors will refer participants who are eligible for public assistance and Medicaid to community-based treatment after they complete the DOC substance abuse program. In addition, case managers will link participants to services that support reentry into the community upon their release. DOC expects the program to serve 2,750 individuals annually.
- In April 2000 HealthStat began providing uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, all City agencies and hundreds of community groups were mobilized to enroll eligible families and children in Child Health Plus and Medicaid. As a direct result of HealthStat activities, over 200,000 individuals have been enrolled in public health insurance programs.

DEPARTMENT OF CORRECTION

- DOC is using the visiting areas in each facility to reach out to over 500,000 family members and friends who come to Rikers Island to visit inmates in custody and inform these visitors of the opportunity to obtain free or low-cost health insurance. DOC is also targeting extended family members and friends of staff who may need this resource. Finally, through chaplains and program staff in each facility, DOC is informing inmates and their families of the availability of free or low-cost children's health insurance. DOC is using the Reducing Adolescent Problems program and the DOC-sponsored youth outreach program, Explorers, to reach out to the communities they serve and inform them of these opportunities as well.
- As part of the citywide effort to further the HealthStat initiative, DOC is helping to enroll children in public health insurance in additional ways. The Department has held special enrollment events at both its facilities and throughout the community with the help of different community organizations. At DOC's special family visit days, parents can enroll their children in health insurance programs during their visits. Beyond its facilities, DOC has sponsored and promoted enrollment events in various immigrant communities. The Department has 14 employees trained as facilitated enrollers. Through its various efforts, DOC has referred 2,460 individuals to community-based enrollers and enrolled over 3,002 children during the first four months of Fiscal 2002.

CORRECTIONAL PROGRAM SERVICES

- The average daily attendance in the Department's school program declined 6 percent, from 1,195 in the first four months of Fiscal 2001 to 1,124 in the first four months of Fiscal 2002.
- DOC and the Administration for Children's Services (ACS) have collaborated to designate Tuesdays as special foster care visitation days at every facility on Rikers Island. On these visitation days, children and their caseworkers are afforded special visiting privileges. The new prescheduling process allows caseworkers to present their photo identification and park right outside the facility, much closer than on regular visiting days, making it easier to schedule visits and reducing waiting time. These visitation days began at the Rose M. Singer Center, the female facility, in June 2000. ACS began providing van service for foster care workers and children in July 2000. This visitation service began in the male facilities in November 2000. During the first four months of Fiscal 2002, 276 children visited with their incarcerated parents.
- In the first four months of Fiscal 2002, 156 new inmates participated in the High Impact Incarceration Program (HIIP), a decrease of 5 percent from the 164 inmates who enrolled in the first four months of Fiscal 2001. HIIP is a boot camp-style program that focuses on personal responsibility and behavior modification to foster community-minded attitudes and conduct. Enrollments are on a voluntary basis.
- The graduation rate for the Self-Taught Empowerment and Pride program rose from 67 percent in the first four months of Fiscal 2001 to 83 percent in the first four months of Fiscal 2002.
- In Fiscal 2000 DOC received funding for seven correction officers and one captain to establish the Reducing Adolescent Problems (RAP) program. RAP seeks to educate youth ages 10 through 18 about the consequences of involvement with drugs, gangs, guns and violence through presentations in churches, schools and community centers, followed by educational tours of Rikers Island led by correction officers. The tours have a tremendous effect on these youth as they make real for them the consequences of negative choices. During the reporting period the program served 5,957 youth.

DEPARTMENT OF CORRECTION

SUBSTANCE ABUSE INTERVENTION DIVISION

- The number of inmates participating in DOC's Substance Abuse Intervention Division decreased 14 percent, from 3,660 in the first four months of Fiscal 2001 to 3,131 during the comparable period in Fiscal 2002.

TECHNOLOGY

- From September 1998 through November 1999 the Department participated in the State DNA Identification Index Program for City-sentenced inmates. By order of new legislation and in conjunction with the New York State Division of Criminal Justice Services, 155 blood samples of inmates who met specific criteria, such as conviction for a violent felony or a sex crime, were collected and submitted for testing and cataloging during the above period. The success of this early phase led to legislation that expanded the eligibility criteria, which allowed a greater number of inmates to be indexed. As a direct result of this expansion, the Department collected 481 blood samples in the first four months of Fiscal 2002.
- Since its inception in October 1997, approximately 9,596 victims have registered with the Victim Identification and Notification Everyday (VINE) system. The service automatically notifies registered crime victims when an inmate is released from DOC custody and provides verification about those individuals residing in the DOC system. Since January 1999 callers have been able to use VINE to check the status of an inmate in the custody of the State Department of Correctional Facilities. A monthly average of 3,825 calls were placed to VINE in the first four months of Fiscal 2002.
- The Department's videoconferencing project, which links Rikers Island with downtown Brooklyn, currently allows for instant video links and communication among the courts, attorneys, probation officers and inmates while ensuring that hearings are held on time and security is enhanced. In the first four months of Fiscal 2002 there were monthly averages of 96 court appearances, 119 attorney/client interviews, 69 program interviews and 63 probation interviews conducted via the project. This initiative enhances security operations by reducing inmate movement to court facilities. The Rikers Island facilities involved in the project are the James A. Thomas Center and the Rose M. Singer Center.
- The Department is in the early stages of upgrading its citywide network consisting of over 50 sites. This upgrade will provide high-speed communications within and between most sites. Especially important is the link between the two data centers at 60 Hudson Street in Manhattan and Rikers Island. This upgrade will also provide the basis for implementing the citywide application initiative, such as NYCAPS and CityTime, and will allow for data, video and voice traffic to be carried on one line.
- The Department's Web pages on NYC.GOV, the City's official Web site, received 159,740 page views in the first four months of Fiscal 2002, compared with 91,997 views during the first four months of Fiscal 2001. The Web pages list details about DOC's functions and statistics, historical information and instructions on how to apply for positions. They also provide an email forum for communication with Department officials.

DEPARTMENT OF CORRECTION

FINANCIAL PLAN

- In the first four months of Fiscal 2002 the Department's expenditures were \$311 million, compared to its plan of \$296 million. The Department's Fiscal 2001 expenditures were \$831 million.
- The City's Financial Plan of February 2002 outlines expenditure and revenue initiatives of \$68 million in Fiscal 2002 and \$78 million in Fiscal 2003 through increased efficiency in staff management, savings based on the long-term decline in the inmate population, closure of facilities, federal funding and other efficiency measures. The Department has planned expenditures of \$902 million for Fiscal 2002 and \$931.4 million for Fiscal 2003.

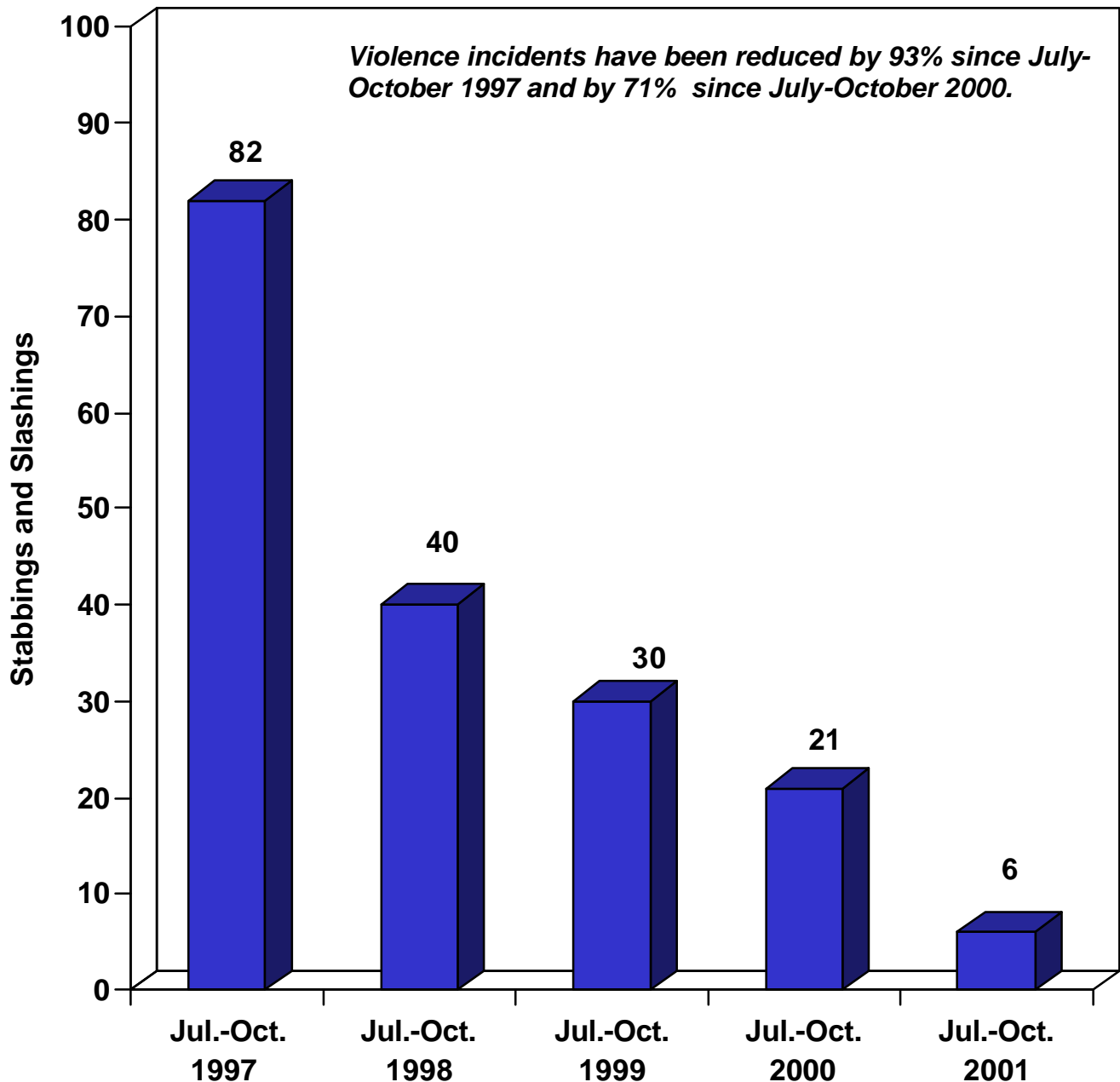
LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Population as a Percent of Capacity	99.7%	98.9%	98.5%	97.7%	97.7%	97.7%	96.9%
Average Daily Attendance in the Schools Program	1,498	1,589	1,287	1,265	1,220	1,195	1,124
Inmates Taking General Equivalency Diploma (GED) Exams	560	547	536	558	641	153	197 (a)
Inmates Passing GED Exams	65%	69%	69%	64%	59%	72%	49% (b)
Inmates Graduating from HIIP	64%	85%	81%	74%	91%	90%	88%
Inmates Graduating from STEP	62.8%	72%	77%	74%	73%	67%	83% (c)
Inmates Participating in Substance Abuse Intervention Programs	7,204	6,995	11,695	10,238	10,723	3,660	3,131
On-Trial Inmates Delivered to Court on Time	98.7%	99.7%	99.8%	99.8%	99%	99.9%	100%

- (a) The increase is attributed to a larger number of inmates who passed the predictor test that determines those eligible to take the General Equivalency Diploma (GED) exam. By administering the GED exam more frequently, teachers ensure that those incarcerated even for short terms have the opportunity to take the exam before they are discharged.
- (b) The Department has only received a small portion of the results of these tests from the New York State Education Department.
- (c) Fewer voluntary withdrawals and program terminations during the reporting period resulted in 22 more inmates successfully completing the program.

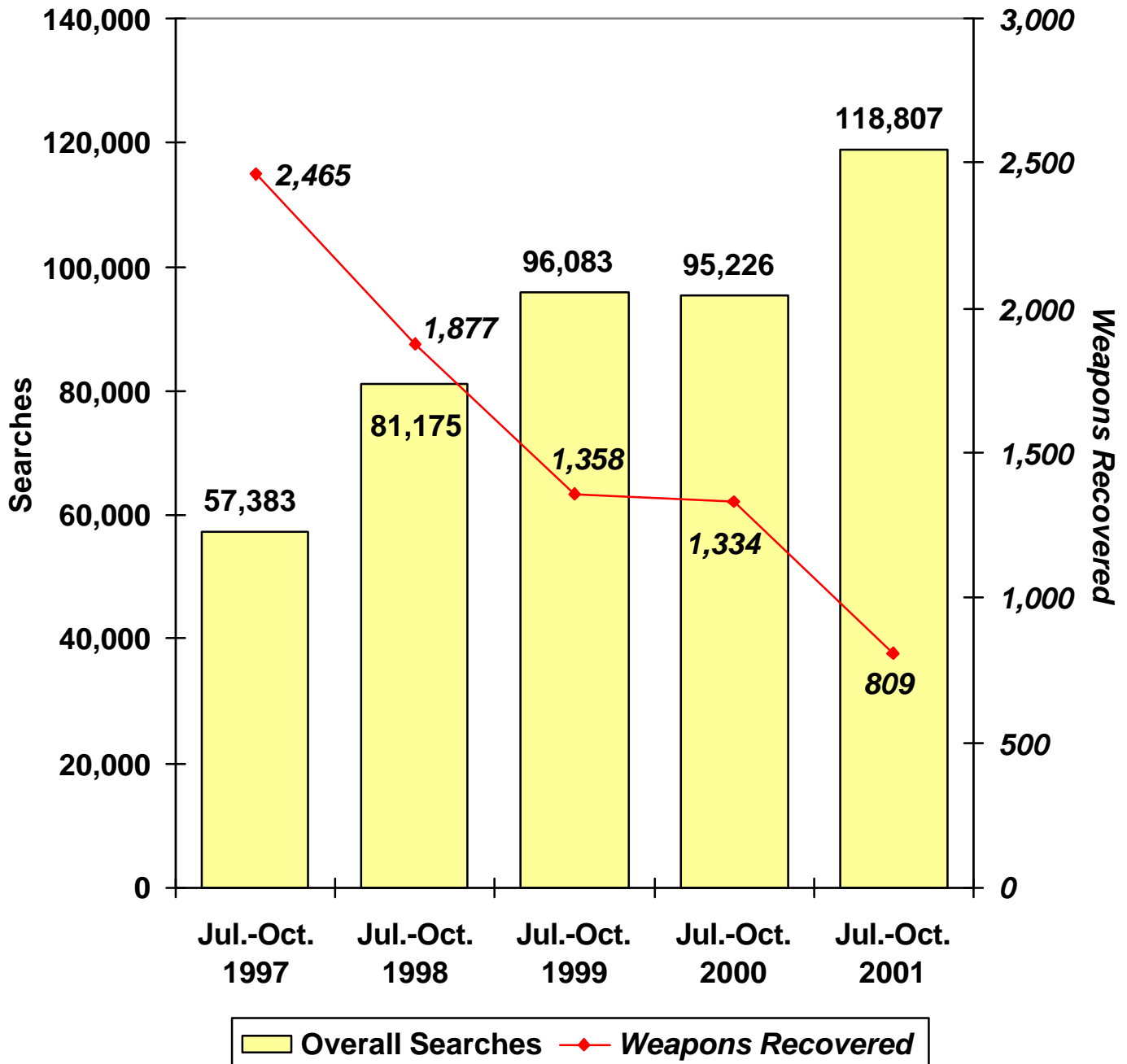
Department of Correction

Violence Incidents (Stabbings and Slashings) July - October 1997 - 2001



Department of Correction

Number of Searches vs. Weapons Recovered July - October 1997 - 2001



DEPARTMENT OF PROBATION

The Department of Probation promotes public safety by providing community-oriented criminal justice sanctions. The Department supplies the Supreme, Criminal and Family courts with information and recommendations for court dispositions; supervises offenders by monitoring and enforcing compliance with conditions of probation; and provides access to rehabilitation and counseling services. The Department serves approximately 87,000 adult probationers and 23,000 juveniles annually.

GOALS AND OBJECTIVES

Goal: Promote public safety by monitoring and enforcing the conditions of probation.

Objective

Clear 85% of warrants for probation violators in Adult Court Supervision in Fiscal 2002.

Conduct 25,000 field visits to enforce the conditions of probation through Operation Nightwatch in Fiscal 2002.

Goal: Monitor the effectiveness of the re-engineered model of supervision for adult probationers.

Objective

Provide intensive supervision for 1,600 probationers in the Blue Unit Enforcement Track in Fiscal 2002.

Evaluate the effectiveness and efficiency of the Automated Reporting Management System for low-risk probationers in Fiscal 2002.

Goal: Provide programs for diversion from court, and alternatives to incarceration and detention, for adult offenders and juvenile delinquents.

Objective

Provide probationer support in approximately 1,600 adult cases through the Intensive Supervision Program and in approximately 650 juvenile cases through the Juvenile Intensive Supervision Program in Fiscal 2002.

Supervise 1,000 youth in the Alternative to Detention program, and achieve a retention rate of 85% or better for participants in Fiscal 2002.

Supervise 330 youth in the Expanded Alternative to Detention program, and achieve a retention rate of 82% or better for participants in Fiscal 2002.

Goal: Develop a comprehensive program that expands drug testing, strengthens the placement process for those referred to treatment and reduces the rate of drug recidivism among probationers.

Objective

Evaluate the effectiveness of universal drug testing for probationers based on the results of a drug-testing pilot in Brooklyn in Fiscal 2002.

Reduce drug recidivism among probationers placed in substance abuse treatment services by strengthening program criteria and expanding monitoring in Fiscal 2002.

DEPARTMENT OF PROBATION

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- The September 11th disaster dramatically affected workload and performance of the Department of Probation's (DOP) Field Operations. The offices housing centralized warrant activities located in Lower Manhattan were shut down immediately and did not reopen until mid-November. In addition to a disruption of the routine receipt of warrants from the courts, telecommunications and computer lines necessary for warrant investigation were unavailable following the disaster.
- The Department provided assistance to the Mayor's Office of Emergency Management (OEM) and New York City Police Department (NYPD) precinct commanders by using Field Operations staff as a crucial element in its response to the crisis. The unit's armed officers were placed on security and transport details unrelated to their normal probation assignments. As many as one-third or more of staff worked on these assignments on seven-day, 12-hour tours. The last of these assignments ended in the first week of November 2001.

ADULT SERVICES

Adult Supervision

- Using the new restructured supervision model, the Department is concentrating its resources on those probationers who have been assessed as high risk for violent recidivism. The backbone of this supervision model is the Adult Restructuring Tracking System (ARTS), a database that assesses and tracks the progress of probationers. Through ARTS each probationer is assessed at Intake and subsequently placed into the appropriate supervision track.
- The Enforcement Track supervises those probationers at highest risk for violence and is comprised of four specialized units: Blue, Amber, Green and Red. When probationers are determined to be at high risk for recidivism, they are assigned to either the Blue Unit or the Amber Unit. If probationers successfully complete their time in the initial unit, they are transferred to the Green Unit, where the emphasis is on maintaining the progress already demonstrated. The Red Unit supervises individuals who are the subject of a Violation of Probation until court action on the violation is completed. Such violations may occur at any stage of supervision.
- The Blue Unit provides intensive supervision services to those at highest risk for violence. These include young offenders between the ages of 16 and 20. During the first four months of Fiscal 2002, 1,340 probationers were provided with intensive supervision. As part of its overall supervision strategy, the Unit also offers cognitive group intervention for eligible probationers between the ages of 16 and 20. Probation officers who run these groups are highly skilled and receive extensive training.
 - The Blue Unit had previously accepted only the number of high-risk probationers for whom there was group placement availability. The Blue Unit now accepts all offenders at high-risk for violence over the age of 16. Of these, probationers under the age of 20 are referred to the cognitive group.
- The Blue Unit also supervises Interim Supervision cases. These are individuals who have pled guilty to either a felony or a misdemeanor. Sentencing is adjourned for up to one year to determine the offender's ability and motivation to adjust in the community. Blue Unit Officers supervise these individuals and write periodic reports to the court concerning their progress.

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- The Special Conditions Track supervises probationers who are a low risk for violent recidivism and who have court-ordered special conditions, probationers who have graduated from the Enforcement Tracks with court-ordered special conditions that have not been completed, and special target populations.
- Offenders who present a low risk for violent recidivism and violence-prone offenders who have graduated from the Enforcement Track and/or Special Conditions Track are assigned to the Reporting Track.
- In Fiscal 2001, a concentrated effort was made to enroll all probationers in the Reporting Track with a low risk for violence into the Automated Reporting Management System (ARMS). As of October 31, 2001, 11,237 probationers were enrolled and reported to the Department through ARMS. All eligible Reporting Track probationers have been registered in ARMS. Only under the most exceptional circumstances is a probationer excused from reporting personally to ARMS each month. Such probationers remain enrolled in ARMS but mail in questionnaires. Only those probationers who are physically unable to report in person or mail in questionnaires are not registered in ARMS for the duration of the circumstances. All these situations are closely monitored.

Field Operations

- The Department's Field Operations is charged with the execution of probation warrants. The Department's Field Operations executed 1,102 warrants for probation violators during the first four months of Fiscal 2002, a 42 percent decrease from the 1,896 warrants executed during the first four months of Fiscal 2001.
- During the first four months of Fiscal 2002, Field Operations received 1,693 warrants, a 26 percent decrease from the 2,286 warrants received during the same period in Fiscal 2001.
- In partnership with NYPD, the Department continued Operation Neighborhood Shield (ONS) in two precincts, the 75th in East New York, Brooklyn and the 120th on the north shore of Staten Island. During the reporting period ONS planned expansion into other high crime areas. Among the most important elements of Neighborhood Shield are the Community-Based Response Teams (CBRTs) made up of police and armed probation officers who work in tandem to visit probationers in their homes, conduct compliance and curfew checks, speak with families, visit treatment providers, obtain and act upon warrants, provide surveillance when needed, and aggressively enforce the conditions of probation for offenders living in the target area. CBRT units closely supervise probationers at high risk for violent recidivism and remove from the communities those probationers who do not comply with the provisions of their sentences. In the 75th Precinct, CBRT units made 1,184 unannounced field visits, 112 arrests and issued 71 summonses during the reporting period. In the 120th Precinct, CBRT units made 1,119 unannounced field visits, 45 arrests and issued 95 summonses during the reporting period.
- The expansion of Operation Neighborhood Shield into the 44th and 47th precincts in the Bronx and the 67th Precinct in Brooklyn has been postponed and is currently being evaluated.

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- Operation Neighborhood Shield targets the high-risk, violence-prone probationers with disproportionately high rates of recidivism within the first 120 days of supervision. During the first four months of Fiscal 2002, a total of 366 high-risk probationers (248 adults and 118 juveniles) were supervised through ONS in the 75th and 120th precincts. The exit compliance rate for the high-risk ONS probationers is 86.1 percent, as compared with 49.2 percent for high-risk probationers citywide. ONS has zero tolerance for noncompliance with the conditions of probation. Even minor technical failures are swiftly addressed with appropriate sanctions. In Neighborhood Shield counties in general, it took an average of 88 days to schedule a violation hearing for a probationer. Under this new initiative, violation hearings are scheduled within one to 14 days and Neighborhood Shield judges have the option of imposing a range of intermediate sanctions on probationers who are not complying with the conditions of their probation.
- Operation Neighborhood Shield also works with communities to address a variety of safety issues by facilitating partnerships among residents, law enforcement entities, community-based organizations, and other City agencies. In Fiscal 2001 DOP established an umbrella advisory board, comprised of various government agencies and local businesses, to give direction, provide possible funding for community planning and enhance initiatives within the targeted areas. Working with a broad array of community-based organizations, ONS Officers connect with individuals within the targeted population and the community itself while working with NYPD and other law enforcement entities to aggressively address public safety issues.

Domestic Violence

- The Department completed the expansion of the Citywide Domestic Violence program (CDV) in February 2001 with the receipt of cases for supervision by the Queens unit. Cases assigned to CDV receive intensive supervision, with most probationers expected to complete an Alternatives to Violence program. Probation officers in the CDV program are assigned a maximum of 25 cases each except in Queens, where they are assigned a maximum of 18 cases each. In the first four months of Fiscal 2002 the Department prepared 399 Pre-Sentence Investigation reports for domestic violence offenders, compared with 417 reports during the same period of Fiscal 2001. The reports contain recommendations, such as requiring the probationer to participate in a Domestic Violence Batterer's Program under the conditions of probation, to address the needs of domestic violence victims.
- In Queens, the Stop Grant project offered short-term specialized counseling to domestic violence offenders before they were placed in a treatment program. The Department met with the Queens District Attorney's Office to increase the number of referrals. Following the meeting, the District Attorney enhanced the conditions of probation by requesting that probationers attend a Batterer's Program for 52 weeks, doubling the time previously requested. The Queens Stop Grant project expired in October 2000. At that time, the Batterer's Program was modified and incorporated into the citywide domestic violence program. From October 2000 through June 2001, 27 male probationers attended the Queens Batterer's Program. The Department has revised the Batterer's Program curriculum to consist of two 12-week cycles, each with a membership of 14 probationers. The Department projects approximately 28 probationers will participate in the program. The first 12-week cycle began on February 6, 2002. The second 12-week cycle will begin approximately six weeks after the end of the first.

Adult Rehabilitative Programs

- During the first four months of Fiscal 2002 the Department supervised 1,026 probationers in the Intensive Supervision Program, 271 of whom were newly enrolled, compared to the 1,039 probationers supervised in the first four months of Fiscal 2001, of whom 214 were newly enrolled.

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- During the second half of Fiscal 2001, DOP restructured the Short-Term Alternative to Remand Treatment (START) Program, reorganizing staff functions and assignments to more effectively enforce compliance and minimize the risk to the public. START was incorporated into the Intensive Supervision Program (ISP) umbrella and became known as the Intensive Supervision Program with Electronic Monitoring (ISP-EM).
- With the planned expansion of ONS at the start of Fiscal 2002, a redeployment of Field Operations resources occurred. As of August 2001 ISP-EM no longer exists as a separate entity and is no longer a house arrest program. It has been fully absorbed into ISP where judges use it as an additional layer of control for those sentenced to probation in lieu of incarceration. Field contacts are completed by ISP staff, who respond in a timely fashion to alerts. ISP staff informs sentencing judges of any noncompliance by offenders sentenced to the electronic monitoring program. By making use of ISP officers in this manner, the Department's primary mission of providing for public safety is met despite the need to reallocate staff and resources.
- The Department's Nova Ancora Vocational Training and Employment Program served 648 probationers during the reporting period, a 64 percent increase from 396 probationers during the same period in Fiscal 2001. This increase is attributable to both an increase in staff and the development and use of a wide variety of employment and vocational training service providers.
- A significant feature of Nova Ancora is the Pre-Employment Project (PEP), which provides a two-day intensive life skills workshop in the week prior to the probationer's job interview. Probationers also attend weekly employment support groups where job-related issues are discussed and resolved. During this reporting period, 278 probationers completed PEP, an 83 percent increase over the 152 probationers during the same period in Fiscal 2001. This increase is attributable to an increase in staff and the utilization of a variety of employment and vocational training service providers.

Citywide Anti-Drug Initiative

- During the reporting period, DOP continued working with NYPD to contact probationers through the Operation Nightwatch enforcement program. During the first four months of Fiscal 2002, DOP conducted 3,407 field visits, including 2,595 contacts with juvenile and adult probationers, to identify those in violation of the terms of probation and to enforce curfews imposed by the court. The significant decrease in field visits, down nearly 80 percent from the 16,544 visits during the same period in Fiscal 2001, is primarily attributed to the demand placed on program personnel following the September 11th disaster. Operation Nightwatch staff members were frequently redeployed after the disaster to OEM security and transport details or other crisis-related details. In addition to this redeployment, other Field Operations staff members displaced by the crisis were assigned to respond to requests for field visits ordinarily handled by Nightwatch personnel, thus further reducing the Nightwatch program's field visit caseload.
- During the first four months of Fiscal 2002, DOP executed warrants and made arrests of 237 probation violators, compared to 377 during the same period in Fiscal 2001.

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- The drug testing pilot study, conducted in Brooklyn and completed in Fiscal 2001, called for the testing of each probationer at the initial report for intake after sentencing. The study, designed as a preview of a universal testing protocol, confirmed the preponderance of marijuana use among probationers, with 74.2 percent of the positive drug tests indicating marijuana as one of the substances. The Department is using the study's findings to revise its approach to clinical services. For example, several of the Department's contract service providers have already instituted specialized tracks for probationers who use marijuana only. The Department is also assessing additional interventions, such as employment, education and prevention curricula for probationers who have been able to limit their drug use to marijuana. It is anticipated that this strategy will prove effective in reducing marijuana use among probationers, while also reducing demand on scarce treatment slots. Specialized service tracks for these probationers will be included in the Department's contract requirements for treatment services.
- The Department has developed a partnership with the Human Resources Administration (HRA) and will locate a clinical assessment team at each of its Intake Units. The teams will assess the need for chemical dependency treatment for probationers testing positive for drug use. The teams will also make referrals for treatment using HRA's network of providers in addition to DOP's contract providers. This initiative was implemented in Manhattan in Fiscal 2001, is currently operational in the Bronx, and is expected to be implemented in Staten Island by the end of Fiscal 2002.
- During the reporting period the Department completed a review of its drug testing protocols. New requirements include universal drug testing at the time of initial contact after sentencing and additional testing after discharge from treatment programs and after any subsequent drug arrests. DOP will now require testing prior to transfer between supervision tracks. The revised protocols will also allow DOP to better monitor vendor performance. These protocols have been implemented in Manhattan and Staten Island. The revised protocols are expected to place increased emphasis on the Department's ability to access treatment services for those testing positive. The Department's treatment contracts and collaboration with HRA are expected to supplement the protocols. The Department is currently developing informal linkages with community-based providers for a significant portion of probationers in need of services.
- DOP has established new contracts for the delivery of drug testing technology, including the purchase of substance abuse measurement instruments, such as breath analysis and other instant-result testing kits. An initial contract for delivery of on-site drug-testing kits was awarded in Fiscal 2001, and a new contract for laboratory urinalysis was awarded in October 2001, when services began. In addition, DOP developed a Request for Proposals (RFP) for the procurement of drug treatment services under contract. Current contracts for outpatient services have been extended to the end of Fiscal 2002 to allow for completion of the RFP process, which is anticipated to result in the establishment of performance-based contracts.
- The Voice Track beeper system is used to enforce curfews for juvenile and young adult probationers. The system pages a probationer at random times during the curfew period, prompting the probationer to respond within a short period of time from one of a limited number of locations, such as the probationer's home. The system uses a digitized voiceprint of the probationer to provide a biometric vocal identification of the caller. During the first four months of Fiscal 2002 the Voice Track beeper system monitored 218 probationers, comprised of 73 adults and 145 juveniles. This is a decrease of 47 percent, compared with the 414 probationers comprised of 176 adults and 238 juveniles monitored during the same period in Fiscal 2001. This decrease was caused by the decline in adult and juvenile populations composing the target group, and by staff turnover with a loss of personnel trained to use the technology. Through its efforts, the Department will address the training issue by scheduling on-site training for new staff and expand the target pool by increasing the number of sites using the technology. There are seven sites with Voice Track monitoring equipment.

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FAMILY COURT SERVICES

Family Court Programs

- During the first four months of Fiscal 2002, the Alternative to Detention (ATD) program, operational in Brooklyn, Queens, Manhattan and the Bronx, supervised 344 youth, compared to 257 youth during the first four months of Fiscal 2001. Newly hired probation officers were assigned to Family Court – DJJ Remand Center as assessors. As a result, the number of youth served in ATD increased.
- The Expanded Alternative to Detention (EATD) program, a 12-hour-per-day reporting center for prescreened youth, supervised 104 youth during the first four months of Fiscal 2002, compared to 68 youth during a comparable period in Fiscal 2001. The addition of newly hired probation officers assigned to Family Court – DJJ Remand Center as assessors led to the increase in the number of youth serviced in EATD. EATD attained a 97 percent retention rate during the reporting period, as compared with 92 percent during the first four months of Fiscal 2001. EATD is currently operational in Manhattan and the Bronx, with plans to expand to Brooklyn in Fiscal 2002.
- The Juvenile Intensive Supervision Program (JISP), which offers a detention alternative for juveniles who would otherwise be placed with the State Office of Children and Family Services (OCFS), supervised 444 juveniles during the reporting period, as compared to 417 during the same period in Fiscal 2001.
- During the first four months of Fiscal 2002, the Department enrolled 25 youth in the Post-Residential Supervision project, compared to 30 youth during the first four months of Fiscal 2001. The program, which assists youth in the court-ordered care of OCFS to make the transition back to the community, achieved a retention rate of 73 percent during the reporting period, compared to 80 percent during the same period in Fiscal 2001.
- In January 1999 the Department launched Victim Awareness, a cognitive group program that teaches accountability and responsibility to juveniles at all levels of the Family Court process. During the first four months of Fiscal 2002 the program served 90 juveniles, compared to 60 juveniles in the same period during Fiscal 2001. The significant increase is a result of the program being expanded to JISP, the juvenile aftercare program at Linden House in Brooklyn, and to all ATD locations.

OTHER PROGRAMS

Community Service

- The Department administers community service through two units, the Community Service Unit and the Central Community Service Unit. The Community Service Unit supervises ONS probationers. The Central Community Service Unit is responsible for ensuring compliance with community service conditions of probation for all non-ONS probationers referred by Adult Supervision citywide. The Central Community Service Unit is also an active member of the West Nile Virus Task Force, assisting with cleanup of potential mosquito breeding grounds in the boroughs.

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- Department staff supervised 15,425 hours of community service performed by probationers in both units during the first four months Fiscal 2002, compared to 91,072 hours during the same period in Fiscal 2001. Probationers are placed in hospitals, senior centers, churches, synagogues, daycare facilities, shelters and community centers. Typical jobs include park and vacant lot cleanup, meal service in soup kitchens, maintenance work and clerical work. The sizeable decrease in the number of community service hours during the reporting period is attributable to the Community Service Unit's involvement with escort details in response to the September 11th disaster and the cancellation of work crews. The number of probationers receiving community service as a condition of probation has also decreased by nearly 20 percent.
- During the reporting period, both units continued to remove graffiti in all boroughs. Through the City's Anti-Graffiti Task Force, probationers have successfully removed 280,207 square feet of graffiti in neighborhoods such as Inwood in Manhattan; Marine Park and Sheepshead Bay in Brooklyn; and the Grand Concourse in the Bronx. However, these efforts were affected by the events of September 11th. Therefore, this total represents 57 percent of the amount of graffiti removed in the first four months of Fiscal 2001.
- During the reporting period, the Central Community Service Unit has tracked the compliance rate as it pertains to the special court-imposed condition of community service. The results indicate that 95 percent of probationers have complied with their community service. At the same time, 91 percent of all community projects requested throughout the boroughs of Brooklyn, Manhattan, Queens and the Bronx were completed.

Restitution

- During the first four months of Fiscal 2002 the DOP Restitution Unit collected 4,349 restitution payments, compared to 4,436 payments collected during the same period in Fiscal 2001. In addition, 6,303 beneficiaries received compensation during the reporting period, compared to the 6,742 beneficiaries who received compensation during the first four months of Fiscal 2001. The dollar amount collected during the reporting period was \$1,324,706, a 20 percent decrease compared to the \$1,655,992 collected during the same period in Fiscal 2001. During the first two months of Fiscal 2002, the monthly dollar collections were slightly greater than the amounts collected during the first two months of Fiscal 2001. However, due to the September 11th disaster, dollar collections during the third and fourth months of Fiscal 2002 were significantly lower than the amounts collected during the same period of Fiscal 2001.

TECHNOLOGY

- The automated component of Adult Supervision Restructuring, the Adult Restructuring Tracking System (ARTS), is a database that tracks the progress of adult probationers. In Fiscal 2001 the Department used this system as its primary means of tracking individuals under supervision. In July 2001 DOP added 230 new computers to ARTS.
- DOP is reviewing the next phase of ARTS development. As the Department moves towards a paperless environment, it is seeking to automate both Family Court and the Adult Investigation processes.
- The Criminal Justice Information System (CJIS), which has been in operation since November 1999, provides critical information concerning arrested youth to criminal justice agencies, including DOP. Key data includes biographical data, booking information, criminal offense information, warrant information, medical profiles and family data. The Department plans to link the 11 remote CJIS sites to its network to give all 81 CJIS users access to core Agency features such as ARTS, e-mail and the Department's intranet. Completion of the linking of the 11 remote CJIS sites to the Department's network is projected for the end of Calendar 2002.

DEPARTMENT OF PROBATION

- The Department's home pages on NYC.GOV, the City's official Web site, received 24,696 page views during the first four months of Fiscal 2002, an increase of 155 percent compared to 9,668 views during the same period in Fiscal 2001. The home pages detail DOP's functions and programs, provide statistical information and instructions about how to apply for positions and offer an e-mail forum for communication with DOP officials.

FINANCIAL PLAN

- During the first four months of Fiscal 2002, the Department's expenditures were \$33.6 million, compared to its plan of \$38.2 million. The Department's Fiscal 2001 expenditures were \$91 million.
- The City's Financial Plan of February 2002 outlines expenditure savings of \$8 million in Fiscal 2002 and \$10 million in Fiscal 2003 through programmatic reductions and reorganization, administrative cost savings and other efficiency measures. The Department has planned expenditures of \$93 million for Fiscal 2002 and \$80 million for Fiscal 2003.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Probationers Receiving Intensive Supervision in the Blue Unit of the Adult Supervision Restructuring Initiative's Enforcement Track	NI	NI	NI	NI	1,500	205	1,340 (a)
Probationers Supervised in the Juvenile Intensive Supervision Program	571	681	690	643	594	417	444
Probationers Supervised in the Intensive Supervision Program	1,541	1,817	1,862	1,643	1,533	1,039	1,026
Probationers Supervised in the Alternative to Detention Program	1,178	1,187	1,080	1,213	1,068	257	344 (b)
Probationers Supervised in the Expanded Alternative to Detention Program	NI	330	298	226	205	68	104 (b)
Probationers Supervised in the Expanded Alternative to Detention Program – Retention Rate	NI	82%	85.5%	86%	89%	92%	97%

- (a) This indicator now includes the Blue Unit population as of June 30, 2001 plus all probationers assigned to the Blue Unit during the first four months of Fiscal 2002.
- (b) The increase is attributed to the assignment of newly hired probation officers to Family Court – DJJ Remand Data Center as assessors.

DEPARTMENT OF JUVENILE JUSTICE

The Department of Juvenile Justice provides detention, aftercare and delinquency prevention services to juveniles in New York City. Youth detained in the Department's facilities include alleged juvenile offenders and juvenile delinquents whose cases are pending, as well as those whose cases have been adjudicated and are awaiting transfer to the State Office of Children and Family Services facilities. The Department operates secure and nonsecure detention facilities that admit over 5,300 youth each year and a Community-Based Intervention program that serves approximately 1,000 youth each year.

GOALS AND OBJECTIVES

Goal: Provide safe and secure custody and care in secure and nonsecure detention.

Objective
Conduct at least 2,400 scheduled and unscheduled searches per month for contraband in secure and nonsecure detention facilities in Fiscal 2002.
Limit the nonsecure detention abscond rate to 4% or less in Fiscal 2002.
Implement a new assessment instrument and process for determining the appropriateness of open remands for transfer to nonsecure detention during Fiscal 2002.
Implement substance abuse intervention and treatment services in Fiscal 2002.

Goal: Manage secure and nonsecure detention capacity, and work with other agencies in the juvenile justice system to develop strategies to manage capacity more effectively.

Objective
Manage the efficiency of secure detention facilities by utilizing between 95% and 100% of available capacity in Fiscal 2002.
Manage a nonsecure detention occupancy rate of at least 85% in Fiscal 2002.
Evaluate the Horizon and Crossroads Juvenile centers' expansion project in Fiscal 2002.

Goal: Provide delinquency prevention and specialized services aimed at reducing juvenile delinquency.

Objective
Serve 975 juveniles in the Community-Based Intervention program in Fiscal 2002.
Ensure that 35% of Community-Based Intervention clients in the Department's directly operated sites with serious attendance problems improve school attendance in Fiscal 2002.
Maintain a successful completion rate of at least 65% for the Community-Based Intervention program in Fiscal 2002.

Goal: Promote workforce and management development.

Objective
Continue the Department's absence control policy and maintain the absence rate to 4% in Fiscal 2002.
Implement and institutionalize skill-based training for management and supervisory staff who work with youth in detention in Fiscal 2002.
Continue improvements made to the information and management systems throughout the Department to monitor appropriate staff and service levels in Fiscal 2002.

DEPARTMENT OF JUVENILE JUSTICE

HIGHLIGHTS AND ACHIEVEMENTS

DETENTION POPULATION

- During the first four months of Fiscal 2002 the Department of Juvenile Justice (DJJ) admitted 1,489 youth to secure and nonsecure detention, a decrease of 8 percent from the 1,622 admissions recorded during the first four months of Fiscal 2001.
 - There were 147 juvenile offender (JO) admissions into secure detention during the first four months of Fiscal 2002, a 15 percent decrease from the 173 admissions during the first four months of Fiscal 2001. This is attributed to a decrease in arrests of juvenile offenders. Juvenile offenders are youth, ages 13 to 15 at the time of the alleged crime, who are charged with the most serious felony offenses. All juvenile offender cases are adjudicated in the supreme and criminal courts.
 - The total number of juvenile delinquent (JD) admissions to secure and nonsecure detention (NSD) decreased 7 percent to 1,342 admissions during the first four months of Fiscal 2002, from 1,449 admissions during the first four months of Fiscal 2001. This decrease was due to 17 percent fewer remands from Family Court: 512 during the first four months of this fiscal year compared to 619 during the same period last fiscal year. Juvenile delinquents are youth charged with an offense, allegedly committed before the age of 16, which would be a crime for an adult. All juvenile delinquent cases are adjudicated in Family Court.
- The average daily population (ADP) of youth in secure detention was 287 during the first four months of Fiscal 2002, a 15 percent decrease from the ADP of 336 during the first four months of Fiscal 2001. The overall decrease reflects a general decline in the secure population since early May due to both fewer admissions and shorter average lengths of stay.
- The ADP for nonsecure detention decreased 8 percent during the first four months of Fiscal 2002 to 119 youth, from 129 youth during the first four months of Fiscal 2001. This decrease was primarily attributable to a two-day decrease in the average length of stay in NSD.
- The overall average length of stay (ALOS) in secure and nonsecure detention was 35 days. However, ALOS was significantly higher for youth with more than one case during their detention stay. Juvenile delinquents with only one case had an ALOS of 27 days, while those with two or more cases had an ALOS of 64 days. Juvenile offenders held for a single case had an ALOS of 23 days, compared to 138 days for juvenile offenders held on two or more cases, whether or not the additional case(s) was also for a juvenile offender offense.
- The ADP in detention of the State placement-ready population decreased 11 percent during the first four months of Fiscal 2002 to 71 youth, compared to 80 youth during the same period in Fiscal 2001. An average of one placement-ready youth per day overstayed the mandated waiting period during October 2001; during October 2000 the average was two overstays per day.

CAPACITY MANAGEMENT

- In Spring 2000 the Department of Design and Construction (DDC) selected a private firm to develop designs to expand the capacity at the Horizon Juvenile Center in the Bronx and the Crossroads Juvenile Center in Brooklyn. The pre-preliminary design for the project was completed in April 2001 and a construction management firm was selected in July 2001. The Office of Management and Budget, DDC and DJJ have been evaluating the pre-preliminary plan in terms of current proposed costs and construction schedules. A final decision on long-term capacity needs should be reached by Spring 2002.

DEPARTMENT OF JUVENILE JUSTICE

- In July 2001 the Department transferred operation of a 10-bed facility in the Bronx to another contractor. DJJ also plans to contract out one of its agency-operated NSD facilities. A Request for Proposals (RFP) was released in June 2001 and the Department is in the final stages of the selection process, with operation of the newly privatized facilities expected in early Spring 2002.

OPERATIONAL IMPROVEMENTS

- During the reporting period DJJ continued its efforts to incorporate performance-based standards into its contracts with community-based organizations. DJJ included liquidated damage provisions in contracts with its health and mental health provider, and all Community-Based Intervention (CBI) and new NSD service providers, to ensure that the appropriate levels of care are administered. By Spring 2001 all but two of the contracts with organizations operating NSD homes contained performance standards, with fines for failing to meet minimum criteria that include transporting juveniles to school and court on time, meeting report deadlines, timely response to incidents affecting care and being accountable for absconders. The remaining two contracts, which were renewed in December 2001, have been revised to include performance standards.
- On April 1, 2000 the Department implemented an overtime control and allocation policy emphasizing the equitable distribution of overtime among staff. During the first four months of Fiscal 2002 DJJ employees spent \$1.4 million in overtime, or 8 percent less than the amount spent in the first four months of Fiscal 2001. In Fiscal 2001 DJJ enhanced its overtime monitoring at the facility level to hold managers accountable, implemented an aggressive hiring plan for Juvenile Counselor positions and closely monitored staff deployment to ensure appropriate use of overtime.
- Under Group-Oriented Analysis of Leadership Strategies (GOALS), an agencywide management system implemented by DJJ in 1998, the Commissioner and executive staff hold monthly meetings where management staff analyze changes in performance indicators, describe related issues and discuss strategies to address identified problems. The Department then uses these results to plan operational improvements. Starting in Fiscal 2002, GOALS indicators related to Agency performance are reported on the Department's Web site as part of the Citywide Accountability Program (CapStat) initiative. Also, the Agency has formed a partnership with a local university to conduct a research study of ways to improve the efficiency of GOALS operations.
- The Department has developed a new screening form and process for determining whether an open remand to detention from Family Court is eligible to be housed in nonsecure detention. The modifications to improve the screening process by defining eligibility criteria more precisely and incorporating information about the youth's behavior in detention. Under the new process, which became effective in December 2001, the Department will make this determination and transport eligible youth to a nonsecure facility within three days of the date of the open remand.
- The Department will be designating two secure detention dorms, one for male youth and another for female youth, with mental health issues needing special support. An expanded intake assessment instrument will identify which new admissions will be evaluated by a psychiatric social worker for possible placement on the special support dorms. Residents in the special support dorms will receive individual, group and alternative therapy (dance, art and music). Specially trained juvenile counselors will staff each dorm, which will operate with a 1:4 ratio of staff-to-youth, as compared to the mandated 1:8 ratio. The dorms are scheduled to open in March 2002.

SERVICE AND TRAINING ENHANCEMENTS

- In an effort to support facility managers in areas such as violence reduction, overtime control and staff accountability, DJJ developed a Management Training Academy. Implemented in June 2001, monthly training sessions focus on the core skills and knowledge managers need to be effective and accountable in their positions. Using data as a management tool, the training includes topics such as financial management, absence control and legal issues.

DEPARTMENT OF JUVENILE JUSTICE

- The Department has recognized that mental health needs are an emerging problem among youth in detention. In response, in Spring 2001 a contractor was selected to provide mental health case management services, develop discharge plans and enroll at least 200 youth per year in community-based mental health treatment programs. By the end of October 2001 the contractor assessed and created discharge plans for 142 youth. Thirty-three of the 142 youth were released home and 20, or 61 percent of those released, were placed in community-based mental health treatment by the contractor.
- The Department began implementing an Internet-based learning system for the residents in its secure detention facilities. The learning system provides customized material covering language arts, life skills and school-to-work subjects. Residents are able to receive news updates, access an interactive stock market game, solve exercises and puzzles, complete reading comprehension exercises, share poetry and other writings and view pictures of events occurring in DJJ's CBI program. DJJ staff spent the first four months of Fiscal 2002 working to design and program special features and functions for use by residents, recreation staff and teachers. Residents began using the new program in November 2001.
- In conjunction with a nonprofit criminal justice research institute, DJJ is implementing a portable substance abuse intervention program to serve youth admitted to detention who are assessed as being daily drug users. This target population is approximately 20 percent of the detention population. The planned model of care will place youth with a single treatment provider that will identify, treat and track their substance abuse problems continuously through the detention system and back into the community for up to six months. Screening of potential participants began in late April 2001 and full-scale implementation started in January 2002. The program adapted the Drug Use Screening Inventory (DUSI) standardized interview into a computer-assisted prescreening instrument. During the first four months of Fiscal 2002, 1,445 youth were prescreened for substance abuse issues on the DUSI. From these, 292 were given a more comprehensive screening, resulting in 25 residents enrolled in the community-based treatment program.

COMMUNITY-BASED INTERVENTION

- The Department's Community-Based Intervention program provides comprehensive preventative and post-detention services to youth and their families. CBI employs a strengths-based, family-driven case management approach to divert young people from entering or returning to the juvenile justice system. During the first four months of Fiscal 2002, 646 juveniles were served, a 9 percent decrease from the 713 juveniles served during the first four months of Fiscal 2001. DJJ currently contracts with six community-based organizations to operate citywide: two post-detention sites, four delinquency prevention sites and one truancy prevention site. The Department also directly operates two post-detention and 11 delinquency prevention sites.
- In October 2001 CBI opened a Computer Lab and Resource Center (CLARC) in two of its field offices in Brooklyn and the Bronx. CLARC will allow parents and clients to receive assistance, materials, and access to computers for such items as paper writing, research and resume preparation. CLARC will also host a series of workshops and facilitations that focus on educational issues and employment preparedness. CLARC provides bulletin boards and resource materials for CBI family use. CLARC also has a clothing bank that can provide clients with clothes needed for interviews.
- CBI established a Leadership Program in September 2001. The program seeks to develop the confidence and skills the youth can use in all aspects of their lives, and to add youth voices to the development of CBI programming. The program was formed by young people who participated in two CBI summer initiatives: an enhanced Summer Youth Employment Program and a Summer Teen Education and Prevention Services program. The participants in the leadership program are in the process of developing their own goals, governance and membership protocols. The Leadership members meet biweekly to spearhead community improvement projects or lend assistance to special projects being conducted in CBI field offices.

DEPARTMENT OF JUVENILE JUSTICE

TECHNOLOGY

- During the first four months of Fiscal 2002 the Department installed a fire wall and a proxy server with appropriate intrusion detection software to enable Internet access throughout DJJ's Wide Area Network, which links all computers in the Agency. Selected staff members at each facility were provided with desktop Internet access. As a result, the Agency expanded its capability to research and interact with other jurisdictions and juvenile justice providers, automate the deployment of virus protection software, access a larger pool of vendors, and deploy special educational software for residents.
- The Department's home page on NYC.GOV, the City's official Web site, offers viewers information on secure and nonsecure detention services and facilities, CBI program services, court services and the history of juvenile justice in New York City. During the reporting period DJJ added an employment page and the Agency organization chart to the Web site. In the first four months of Fiscal 2002 there were 66,543 page views, an increase of 349 percent, compared to 14,830 views in the first four months of Fiscal 2001.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Department's expenditures were \$41.8 million, compared with its plan of \$26.7 million; headcount was 777, compared with its plan of 718. The Department's Fiscal 2001 expenditures were \$109.2 million and headcount was 800.
- The City's Financial Plan of February 2002 outlines expenditure initiatives of \$1.9 million in Fiscal 2002 and \$1.3 million in Fiscal 2003 primarily through salary accruals, State Office of Children and Family Services payment savings and federal Temporary Assistance for Needy Families funding. The Department has planned expenditures of \$108.7 million in Fiscal 2002 and \$108.3 million in Fiscal 2003.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Scheduled and Unscheduled Searches for Contraband in Secure and Nonsecure Detention Facilities Per Month	NI	NI	NI	NI	2,724	2,455 (a)	3,215
Secure Detention Occupancy Rate	NI	NI	99%	104%	93%	86%	88%
Nonsecure Detention Occupancy Rate	NI	100%	90%	89%	92%	85%	78%
Nonsecure Detention Abscond Rate	4%	3%	1%	3%	3%	3%	3%
CBI – Juveniles Served	NI	NI	NI	1,146	1,190	713	646
CBI – Percent of Juveniles Who Improve School Attendance (b)	NI	NI	NI	NI	40%	NA	NA
CBI – New Participants in Community Services	NI	NI	NI	169	163	64	57
Staff Days Absent Per Year	13.4	12.8	10.5	10.8	11.3	9.8	11.8

(a) This number has been revised to accurately reflect the average number of searches per month.

(b) This data is not collected from July to September when school is not in session.

CIVILIAN COMPLAINT REVIEW BOARD

The Civilian Complaint Review Board is empowered to receive, investigate, hear, make findings and recommend action on complaints concerning the use of excessive or unnecessary force, abuse of authority, discourtesy or use of offensive language by City police officers. The Board seeks to investigate cases expeditiously and objectively and to instill public trust in the Civilian Complaint Review Board.

GOALS AND OBJECTIVES

Goal: Manage the total caseload more efficiently by reducing case closure time and backlog.

Objective

Close 500 cases each month in Fiscal 2002.

Reduce operational backlog to 650 cases by the end of Fiscal 2002.

Reduce average completion time for full investigations to 204 days in Fiscal 2002.

Goal: Ensure the quality, thoroughness and timeliness of case investigations.

Objective

Achieve a 59% proportion of fully investigated cases to total cases closed in Fiscal 2002.

Achieve a 40% proportion of truncated cases to total cases closed in Fiscal 2002.

Increase the number of affirmative dispositions by the Board, including substantiated, unfounded and exonerated findings, to 55% of fully investigated cases in Fiscal 2002.

Maintain the number of cases 13 months or older from date of incident at no more than 5% of total caseload in Fiscal 2002.

Goal: Improve the Alternative Dispute Resolution Program.

Objective

Conduct 75 mediations in Fiscal 2002.

Goal: Expand community awareness regarding the Board's mission.

Objective

Conduct 60 interactive public presentations by Board members and representatives at community-based organizations in Fiscal 2002.

CIVILIAN COMPLAINT REVIEW BOARD

HIGHLIGHTS AND ACHIEVEMENTS

CASE MANAGEMENT

- During the first four months of Fiscal 2002 the Civilian Complaint Review Board (CCRB) received 1,241 complaints falling within its jurisdiction, a 5 percent decrease from the 1,306 complaints received during the same period of Fiscal 2001.
- In the first four months of Fiscal 2002 CCRB closed 694 cases, a decrease of 65 percent from the 1,979 cases closed during the same period of Fiscal 2001. Although such data seems to indicate a steep decline in productivity, fewer cases were closed in September and October 2001 due to the evacuation and closure of CCRB as a result of the September 11th disaster. In addition, police officers were unavailable for interviews from September 11th until November 26, 2001, and members of the public were not permitted to enter CCRB's offices until the first week in November.
- During the reporting period, cases with affirmative dispositions decreased to 59 percent of fully investigated cases, compared to 61 percent during the same reporting period last year.
- As of the end of October 2001, 96 percent of CCRB's cases were less than 13 months old; cases less than five months old represented 57 percent of its docket. At the end of the first four months of Fiscal 2001, 95 percent of CCRB's cases were less than 13 months old and cases less than five months old represented 57 percent of its docket.
- As of the end of October 2001, six substantiated cases, or 23 percent of the total number of substantiated cases, had three months or less remaining on the statute of limitations when the Board referred these cases to the New York City Police Department; three cases, or 12 percent, had four to six months remaining; 13 cases, or 50 percent, had seven to 12 months remaining; and four cases, or 15 percent, had 13 months or more remaining.
- In the first four months of Fiscal 2002 CCRB received 638 unnecessary force primary allegations, a decrease of 4 percent from a total of 663 primary force allegations received during the same period of Fiscal 2001.
- During the first four months of Fiscal 2002 CCRB received 582 primary abuse of authority allegations, down 15 percent from a total of 682 primary abuse of authority allegations received during the same period of Fiscal 2001.
- During the reporting period CCRB received 521 primary discourtesy allegations, an increase of 3 percent from 507 primary discourtesy allegations received during the same period last year.
- During the reporting period CCRB received 87 primary offensive language allegations, a decrease of 10 percent from 97 primary offensive language allegations received during the same period of Fiscal 2001.
- During the first four months of Fiscal 2002 the Board recruited 20 additional Confidential Investigators.
- In June 2001 the Board and the New York City Police Department (NYPD) signed a Memorandum of Understanding (MOU) that CCRB would conduct administrative prosecutions of NYPD uniformed officers for civilian complaints substantiated by CCRB. This process will eliminate duplication of effort with respect to cases handled by NYPD and CCRB. Litigation concerning implementation of the MOU is currently pending in the Appellate Division, First Department.

CIVILIAN COMPLAINT REVIEW BOARD

COMMUNITY OUTREACH/CUSTOMER SERVICE

- In the first four months of Fiscal 2002 CCRB personnel made presentations at 11 community meetings on topics such as the Board's mission, jurisdiction and process for filing complaints, compared with 19 presentations during the same period of Fiscal 2001.
- In order to make CCRB presentations to other groups throughout the City, CCRB sent out 213 requests to high schools and 59 requests to community boards.

ALTERNATIVE DISPUTE RESOLUTION PROGRAM

- In Fiscal 1999 the Board voted unanimously to suspend its conciliation efforts and focus on mediation, which offers the benefit of having the subject officer and complainant meet face-to-face to resolve the issues presented in the complaint.
- The Board mediated five cases during the first four months of Fiscal 2002, a decrease of nine cases compared to the same period of Fiscal 2001. CCRB plans to increase the number of mediations to 75 by the end of Fiscal 2002.
- In July 2001 CCRB instituted a new series of investigative team reports on case eligibility for mediation. In addition, the Complaint Tracking System was updated to identify whether investigators had offered mediation in eligible cases. These actions led to an increase in case transfers to the Alternate Dispute Resolution unit, more than doubling the docket.

TECHNOLOGY

- The Board's home pages on NYC.GOV, the City's official Web site, received 44,665 page views during the first four months of Fiscal 2002, an increase of 77 percent, compared to 25,191 page views during the same period of Fiscal 2001.
 - Beginning in September 1999 the option to file complaints online through the Board's home pages became available. During the first eight months of Calendar 2001, 82 complaints were submitted online. Since September 11th, online complaint filing has been unavailable.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Board's expenditures were \$3.3 million, compared with its plan of \$4 million. The Board's Fiscal 2001 expenditures were \$9.2 million.
- The Board has planned expenditures of \$10.4 million for Fiscal 2002 and \$10.6 million for Fiscal 2003.

CIVILIAN COMPLAINT REVIEW BOARD

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Total Cases Completed	6,314	4,850	5,436	4,930	5,062	1,979	694 (a)
Alternative Dispute Resolution – Conciliations	597	258	240	10	0	0	0 (b)
Alternative Dispute Resolution – Mediations	0	5	19	43	40	14	5
Full Investigations as a Percent of Total Cases Completed	42%	50%	46%	42%	50.2%	45%	44%
Truncated Cases as a Percent of Total Cases Completed	49%	45%	49%	45%	48.5%	48%	55%
Average Case Completion Time (Days) – Full Investigations	NI	NI	233	296	275	314	240 (c)
Percent of Cases with Affirmative Dispositions	37%	40%	46%	54%	59.4%	61%	59%
Cases 13 Months or Older as a Percentage of Total Caseload (From Date of Incident)	NI	5%	5%	8%	3%	5%	4%
Operational Backlog (From Date of Report)	1,035	1,079	1,016	877	423	779	908 (d)

- (a) The decrease in total cases completed was due to the evacuation and closure of CCRB as a result of the September 11th disaster. In addition, police officers were unavailable for interviews from September 11th until November 26, 2001, and members of the public were not permitted to enter CCRB's offices until the first week in November.
- (b) The Board deferred a decision on reinstating conciliation at its January 2000 meeting.
- (c) The decrease in the average time to complete cases is attributed to time-triggered review of cases and an emphasis on strict monitoring of case closures.
- (d) This increase is attributed to the closure of CCRB offices and the unavailability of police officers for interviews following the September 11th disaster.

DEPARTMENT OF TRANSPORTATION

The Department of Transportation uses proactive policies and strategies to provide for the safe, efficient and environmentally responsible movement of people, goods and vehicles throughout the City. The Department maintains approximately 5,700 miles of streets and highways and maintains and rehabilitates 752 bridge structures, including six tunnels. It promotes traffic safety, improves traffic mobility and reduces congestion by improving and maintaining traffic signals, traffic signs, parking infrastructures, policies and technologies. The Department also operates and improves alternative modes of transportation, such as the Staten Island Ferry; monitors private ferry services; and administers the subsidized franchise bus program. The Department strives to enhance the quality of life in the City by providing the public with professional, efficient, courteous and expeditious service in all of its areas of responsibility.

GOALS AND OBJECTIVES

Goal: Plan, implement and monitor safety improvements throughout the City.

Objective

Repair 100% of Priority Regulatory Signs (such as Stop, Yield, Do Not Enter and One Way signs) within nine days in Fiscal 2002.

Goal: Enhance vehicular mobility and reduce congestion by installing and modifying traffic signals and conducting effective parking enforcement strategies.

Objective

Complete 200 signal modifications (such as timing, sequencing and linkage to a central computer) in Fiscal 2002.

Maintain the percentage of operable parking meters at 90% in Fiscal 2002.

Install 5,000 electronic parking meters in Fiscal 2002.

Install 95% of new traffic signals within six months of approval in Fiscal 2002.

Repair 99% of traffic signals within 48 hours in Fiscal 2002.

Repair 95% of street lights within 10 days in Fiscal 2002.

Goal: Rehabilitate and maintain the City's bridges

Objective

Ensure that a minimum of 33.5% of bridges are rated either in Good or Very Good condition in Fiscal 2002.

Complete rehabilitation work on 16 bridges in Fiscal 2002.

Eliminate 1,200 flags (red, yellow and safety) on active bridges in Fiscal 2002.

Remove debris from a revised 3,400 routes; remove 13,000 cubic yards of debris from City bridges in Fiscal 2002.

Complete the reconstruction of the north outer roadway of the Williamsburg Bridge in January 2002.

DEPARTMENT OF TRANSPORTATION

Goal: Rehabilitate and maintain the City's streets, sidewalks and highways.

Objective
Ensure that 82.5% of street surfaces are maintained with a pavement condition rating of Good in Fiscal 2002.
Resurface 794.3 lane miles of streets and arterial roadways using in-house crews in Fiscal 2002.
Increase the use of recycled asphalt pavement to achieve a 38% recycled content in asphalt produced in-house in Fiscal 2002.
Reconstruct 2.5 million square feet of deficient sidewalks under the Prior Notification Sidewalk Program in Fiscal 2002.
Complete the conversion of 8,000 pedestrian ramp street corners so that they are compliant with the federal Americans with Disabilities Act in Fiscal 2002.
Maintain the adoption of 332 highway miles during Fiscal 2002.
Inspect adopted arterial miles at a rate of 15% per week in Fiscal 2002.

Goal: Foster, manage and facilitate environmentally sound alternative modes of transportation while reducing single-occupancy vehicle trips in the City.

Objective
Construct a revised 33 lane miles of new bicycle routes; install 1,000 racks for bicycle parking in Fiscal 2002.
Expand ferry service by licensing new ferry operators, upgrading the ferry infrastructure and continuing ferry landing improvements.

Goal: Emphasize customer service.

Objective
Repair 65% of small street defects within 30 days of identification in Fiscal 2002.
Remove a revised 6.3 million square feet of graffiti on the City's highways and bridges in Fiscal 2002.
Respond to 300,000 transportation-related calls for information from the public in Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- Immediately following the September 11th attack on the World Trade Center, the Department of Transportation (DOT) dispatched heavy equipment to the disaster site to clear streets for use by emergency vehicles. In addition, 20 hauling trucks removed debris from the site and trailers were used to transport steel beams and damaged vehicles from the area.
- The Department sent vacuum trucks to empty flooded basements on Rector and Greenwich streets; in a single night, over 30,000 gallons of water were removed. DOT personnel also pumped the Battery Park Underpass to maintain access to West Street. Light generators and towers were supplied to assist rescue workers throughout the night.

DEPARTMENT OF TRANSPORTATION

- Staffing at the Traffic Management Center (TMC) in Long Island City was increased in September 2001 to include 24-hour coverage by senior DOT managers. TMC served as a single contact for the New York City Police Department (NYPD) to obtain information concerning various DOT activities. All variable message signs were immediately altered in response to the disaster and modified daily to reflect “real time” traffic conditions. TMC notified various agencies in the metropolitan area of these conditions and coordinated response plans with NYPD and State DOT.
- The interruption of transit services due to the World Trade Center disaster required implementing alternatives to replace lost rail service throughout the City. On September 17, 2001, DOT established a free, rush-hour-only ferry service from the Brooklyn Army Terminal in Sunset Park, Brooklyn to the Whitehall Ferry Terminal in Lower Manhattan. The Staten Island Ferry, while not in use as a mode of public transportation in the days immediately following the disaster, ran 24 hours every day transporting emergency equipment and personnel, as well as supplies and materials, in and out of Lower Manhattan.
- The Wall Street Ferry Pier at Pier 11 served as a vital transportation hub in the days following the September 11th disaster, accommodating both new and rerouted service. In November 2001 a new facility at Pier A, constructed by the Port Authority of New York and New Jersey and turned over to the City, began operation. DOT, the Economic Development Corporation (EDC) and the Port Authority worked together to bring 13 new slips into service in Lower Manhattan.
- The Department designed, manufactured and installed hundreds of specialized signs since the September 11th disaster. These signs directed the movement of pedestrians and vehicles, informed passengers about changes in public transportation and notified motorists of the ban on Single Occupancy Vehicles (SOVs) on bridges and tunnels leading into Lower Manhattan. Signs were installed at various sites, including the New York Stock Exchange, Brooklyn Army Terminal, Pier A, and taxi stands in Midtown Manhattan.
- DOT assisted New York City Transit (NYCT) and private bus operators in relocating routes and stops and installed dozens of new bus stop markers in Lower Manhattan. In addition, the Department designated special travel lanes for buses, emergency vehicles, and other traffic on the FDR Drive, Brooklyn Bridge, and Staten Island Expressway.
- Effective September 27th, SOVs have been banned from entering Manhattan’s Central Business District (CBD) via river crossings south of 63rd Street during specified hours. This limit of vehicular entry into the CBD is due to roadway capacity reductions resulting from ongoing police investigations, lane reductions and other emergency activities in Lower Manhattan.
 - The principal SOV restriction is in effect at the Brooklyn, Manhattan, Queensboro, and Williamsburg bridges, and the Queens-Midtown and Lincoln tunnels. It applies only to privately owned passenger vehicles. Taxicabs, limousines, commercial vans, trucks, buses, motorcycles and official vehicles are exempt from the restriction. From September 27 through October 5, 2001, the restriction was in effect 6:00 AM-12:00 Noon on weekdays. From October 8 through October 16, 2001 the restriction was reduced by one hour and put into effect 6:00 AM-11:00 AM. On October 17th, the restriction was reduced by an additional hour and put into effect 6:00 AM-10:00 AM, which are the current effective hours.
 - Special restrictions are in effect at the Manhattan-bound Holland and Brooklyn-Battery tunnels. Beginning October 15th, Manhattan-bound SOVs were prohibited from the Holland Tunnel around the clock. Effective November 12th, the SOV restriction was reduced to the hours of 6:00 AM-6:00 PM; and effective November 29th, the restriction at the Holland Tunnel was reduced to the hours of 6:00 AM-10:00 AM. Entry to Manhattan via the Brooklyn-Battery Tunnel is limited to buses and essential vehicles during the hours of 6:00 AM-8:00 PM, Monday through Friday. At other times, passenger vehicles are allowed through the tunnel.

DEPARTMENT OF TRANSPORTATION

- Traffic patterns were revised on major arterial highways throughout the City to reflect increases in early morning traffic caused by the SOV ban on lower East River crossings.
- Immediately following the disaster, DOT's Bureau of Permit Management and Construction Control (BPMCC) issued and enforced a construction embargo on all City streets and highways to provide unobstructed access for rescue personnel and equipment. The embargo was continually revised, reducing the embargo area whenever possible, so that normal construction could begin again. BPMCC assisted utility companies in restoring services to affected areas and continues to work with these companies to ensure that any necessary temporary or permanent service connections are made.
- The Department's Capital Roadway Planning Unit inspected 580 blocks in Lower Manhattan to determine the extent of roadway damage. Of these, 446 blocks under the jurisdiction of the City require repair work ranging from street milling and resurfacing to full capital reconstruction.
- DOT continues its deployment of heavy equipment to transfer debris from the World Trade Center site to the Fresh Kills Landfill in Staten Island. DOT Fleet Services continues to assign service trucks and mechanics to the site and Department blacksmiths and welders remain on call to assist in the recovery efforts. In addition, water trucks are deployed on downtown streets to keep dust and soot to a minimum and recycled asphalt paving and sand are continually moved to the disaster site to fill voids in the ground as well as to construct "equipment pads" used to support heavy equipment.

PUBLIC SAFETY INITIATIVES

- The Department's School Safety initiative, which began in June 1998, protects students and pedestrians from transportation-related hazards near the City's 1,350 public and private elementary and middle schools. In September 2000 DOT initiated a Request for Proposals (RFP) to develop innovative traffic and safety improvements in the vicinity of schools having a disproportionate number of accidents and injuries. The contractor will identify effective measures to improve traffic safety at schools and design improvements for individual schools. The contractor began work in mid-January 2002, delayed from Spring 2001 due to contract renegotiations.
 - As part of this initiative, the Department upgraded the City's 18,937 school-crossing signs by replacing them with new fluorescent yellow-green school-crossing signs. Work was largely completed in Summer 2001, with several hundred additional signs installed in Fall 2001. The Department also installed 13,560 "SCHOOL X-ING" word messages in front of school crosswalks as of the end of December 2001. By the end of Fiscal 2002, DOT will install these roadway markings at an estimated total of 18,000 lanes approaching school crosswalks citywide. Installation of the "SCHOOL X-ING" word messages has been completed in Brooklyn, the Bronx and Staten Island. Installation of the messages in Queens has been completed in all but two community boards and it is anticipated that these installations will be completed by the end of Spring 2002. In Manhattan, installation of the messages will be completed by Fall 2002. Delays are due to extended surveys, inclement weather, awaiting the completion of street reconstruction projects, and the necessity of redoing some markings.
- The Department has made safety improvements on major corridors throughout the City, including the Grand Concourse in the Bronx and Hylan Boulevard in Staten Island. In addition to sign changes, signal timing modifications and installation of pavement markings (such as high visibility crosswalks and STOP bars), the following improvements have been implemented:

DEPARTMENT OF TRANSPORTATION

- The section of the Grand Concourse between East 161st Street and the Bronx Museum of the Arts, north of East 165th Street, will be constructed as part of the East 161st Street underpass reconstruction project, beginning in March 2004. Additionally, the intersection of East 161st Street and the Grand Concourse will be reconfigured. The plan shifts the northbound merge between the service and main roads to a mid-block nonpedestrian location, and lengthens the merge for a smoother transition. The southbound merge between the service and main roads will be removed by forcing traffic on the service road to turn right onto westbound East 161st Street.
- In an effort to improve pedestrian safety on Hylan Boulevard in the vicinity of Reynolds Street, DOT installed signs and markings to narrow Hylan Boulevard to one moving lane in each direction. The Department also installed a raised center median at the intersection to supplement a newly installed painted median. At Tompkins Avenue, DOT installed new signs to help direct motorists through the intersection.
- During Summer 2001 DOT implemented additional safety measures in the vicinity of Eastern Parkway and Utica Avenue in Brooklyn: angle parking was installed to provide additional parking spaces; bus priority lanes were extended; “No Standing 7:00-10:00 AM/4:00-7:00 PM Except Sunday” and “No Standing Except Trucks Loading and Unloading 10:00 AM-4:00 PM Except Sunday” regulations were installed on both the east and west sides of Utica Avenue between Union and Carroll streets; and the centerline of Utica Avenue between Carroll Street and Empire Boulevard was offset to provide two travel lanes and one parking lane in each direction.
- The Department continues to implement measures to improve pedestrian safety on Queens Boulevard. Since Fall 2000 DOT has installed mid-block signalized crosswalks, relocated vehicular slip ramps away from newly installed pedestrian crossings, installed median extensions, widened medians, made pedestrian ramp modifications and installed neckdowns at selected intersections, increased the length of the traffic signal cycle to allow pedestrians to cross the full width of the boulevard, and installed fencing to discourage jaywalking. A total of 12,200 linear feet of fencing was installed by the end of December 2001.
 - In June 2001 the Department implemented a new traffic calming strategy that permits parking in the left lane of the service road adjacent to the median in the four-mile section of Queens Boulevard between 76th Street/Kneeland Avenue and Union Turnpike. This provides an additional 545 parking spaces on this section of the boulevard and reduces the number of travel lanes in the service roads from two to one. This will further reduce travel speeds and shorten crossing distance.
 - In November 2001 the Department made adjustments to this strategy to further improve pedestrian safety. Parking meters at locations with few vehicles parked along the median side of the service road were removed and roadway markings and flexible posts installed to channel traffic into one through travel lane. Meters were removed and street-cleaning regulations retained at other locations where the curb was infrequently used for paid parking. At locations with excessive parking demand, street-cleaning regulations were supplemented with the installation of meters.
 - In June 2001 the Department began implementing capital improvements along the area of Queens Boulevard between the Long Island Expressway and 67th Road and between 70th Road and Union Turnpike. Improvements include median extensions, median widenings, neckdowns and crosswalk upgrades. This work is scheduled for completion by May 2002. The Department also installed two red-light cameras on Queens Boulevard in July 2001.

DEPARTMENT OF TRANSPORTATION

- The Department is initiating a traffic study of the portion of Queens Boulevard between the Long Island Expressway and the Queens Boulevard Bridge in Sunnyside, and between Union Turnpike and Hillside Avenue. In addition to a traffic planning component to identify pedestrian safety and traffic issues, the study will also incorporate a preliminary design investigation component that more quickly advances the project to final implementation of capital improvements. The traffic planning study began in November 2001 and is expected to be completed in Spring 2003.
- In Fall 2001 DOT completed the installation of energy-saving light emitting diode traffic signals and international pedestrian signals at all intersections along Queens Boulevard.
- The Department is implementing a number of measures to improve traffic safety at the complex intersection of Kings Highway/Linden Boulevard/Renssen Avenue. These safety measures include the installation of high visibility crosswalk markings, retiming of traffic signals, installation of new oversized street name signs, changes in parking regulations, increased length of the bus stop on southbound Renssen Avenue at Kings Highway and relocation of the northbound Renssen Avenue bus stop by approximately 60 feet to eliminate spillback at the intersection.
 - Additional measures undertaken since the beginning of Fiscal 2002 and completed by the end of February 2002 include prohibiting left turns from southbound Kings Highway onto Linden Boulevard and Renssen Avenue; installing a left turn signal phase at southbound Renssen Avenue to eastbound Linden Boulevard; restriping various streets in the area; retiming additional traffic signals; and installing additional pedestrian signals. The relocation of B7 bus stops on both sides of Kings Highway from the main road to the service road is pending a final agreement with New York City Transit.
- The Department continues to work with NYPD to improve safety at dangerous locations citywide, each of which typically consists of several blocks and intersections. By the end of October 2001 DOT's investigations had identified the necessity for installing 649 new or replacement signs, installing three new signals, modifying eight existing signals and installing pavement markings at 68 locations.
- The Department installed 17 speed humps citywide during the first four months of Fiscal 2002, compared to two speed humps during the same period of Fiscal 2001. The Department analyzes requests for speed hump installations according to geometric and safety criteria, and the number installed is directly related to these factors. As of October 2001 the total number of speed humps citywide was 572. Of those, 295 are located near schools.
- In coordination with the Department of Sanitation, DOT is replacing signs citywide to reflect the most current street-cleaning regulations. The Department replaced 7,262 signs in two community boards in Brooklyn and Queens during the first four months of Fiscal 2002. Since the initiative began in Fiscal 1994, DOT has replaced a total of 236,147 signs. Forty-three community boards have had all signs replaced. By the end of Fiscal 2003 the Department will replace all signs in the remaining nine community boards participating in this program.
- The Department's improvement plan for Herald Square, the area surrounding the intersection of 34th Street, Avenue of the Americas and Broadway in Midtown Manhattan, began a one-year trial period in August 2000. The plan widens sidewalks on both the Avenue of the Americas and Broadway, as well as on both the Herald and Greeley squares' mid-avenue triangles; extends corners to increase sidewalk space for pedestrians; and shortens pedestrian crossing distances. Additionally, the block of West 33rd Street between Broadway and Fifth Avenue was reversed to one-way westbound traffic to improve traffic circulation in the area and vehicular and pedestrian safety at the intersection of West 33rd Street and Fifth Avenue. The intended result, to increase pedestrian safety and manage busy traffic, was assessed during the trial period and the consultant's report is expected to be completed by early March 2002. Meanwhile, the improvement plan remains in effect.

DEPARTMENT OF TRANSPORTATION

- In August 2001 the Department completed implementation of the second phase of a three-phase program to improve pedestrian safety in the Times Square area. The second phase is a pilot project to widen sidewalks to increase “refuge space,” the distance between pedestrians and the curb, and reduce crossing distances for pedestrians along Broadway and Seventh Avenue between West 41st and West 49th streets. Raised asphalt, signs, pavement markings, planters and plastic cylindrical devices were installed to separate motor vehicles from pedestrians. During Phase I, completed in November 2000, DOT upgraded signs at 28 taxi stand locations and installed illuminated globes at eight taxi stands. Phase III entails the following turn restrictions to eliminate conflicts between pedestrians and turning vehicles: left turn from West 47th Street onto Broadway; right turn from West 46th Street onto Broadway; left turn from West 45th Street onto Seventh Avenue; and right turn from West 44th Street onto Broadway. Implementation of Phase III, originally scheduled for September 2001, was postponed due to the events of September 11th. This final phase was implemented in February 2002.
- To improve pedestrian safety along the Canal Street corridor in Lower Manhattan, DOT installed a leading pedestrian interval, a timed signal allowing pedestrians to begin crossing prior to vehicles turning into the crosswalk, at the intersection of Canal Street and the Bowery in June 2001. In September 2001 the Department installed international pedestrian traffic signals along the entire corridor.
- During the reporting period the Department continued to disseminate safety information through speaker presentations, public service announcements, videos and a variety of educational materials produced by DOT’s Safety Education Unit. New education materials include the Neighborhood Safety Survey for school children and the “BE ALERT” bingo game, which provides safety tips for older adults.
- During the first four months of Fiscal 2002 a total of 10,959 elementary school students participated in DOT’s educational programs, including 6,593 who visited one of the five Safety City educational centers. There were 1,618 middle school students, 365 high school students, 33,433 adults and 3,189 senior adults who also attended safety programs. In addition, 212,921 pieces of educational material were distributed during this period. In comparison, during the first four months of Fiscal 2001, 18,140 elementary school students participated in these programs, including 8,800 who visited Safety City educational centers. There were also 630 middle school students, 552 high school students, 22,646 adults and 1,815 senior adults who attended safety programs. During this period, 214,812 pieces of educational material were distributed. The Safety Education Unit also operates five bicycle helmet-fitting stations where families can make an appointment to learn how to correctly fit their bicycle helmets.
- In September 2001 DOT received the American Automobile Association’s (AAA) highest accolade, the Platinum Award, for community traffic safety programs. The award recognizes DOT’s outstanding efforts in successfully addressing local traffic safety issues through education, engineering and enforcement.
- Through its Traffic Calming Program, the Department is developing new strategies to make the roadways safer and more conducive to pedestrian movement. This program includes the following initiatives:
 - By Summer 2002 the Department plans to finalize a list of criteria, including street layout, current operating speeds, accident rates and land use, to determine where the speed limit should be lowered to 15 or 20 miles per hour. Finalization of criteria was delayed from the end of Calendar 2001 due to design improvements in the Downtown Brooklyn Traffic Calming Pilot Program and is pending the results of a slow speed zone measure implemented on Hicks Street as part of the program.

DEPARTMENT OF TRANSPORTATION

- In Spring 1999 DOT retained a consultant to assess and implement techniques to reduce the negative effect of traffic on residential communities; improve safety for pedestrians, bicyclists and motorists; and improve traffic flow and access to cultural, recreational and institutional sites in Downtown Brooklyn neighborhoods. Numerous community meetings were held during Spring and Fall 2000 to obtain public input regarding traffic issues in the area. Implementation of the pilot program, which includes measures such as neckdowns, raised crosswalks, raised intersections, widened medians and signal-timing changes, began in August 2001. With the exception of Atlantic Avenue at Bond Street, construction has been completed and is being augmented with textured and colored materials. This treatment, applied to roadway surfaces, delineates a change from commercial to residential area, and provides motorists with visual and other sensory clues to improve driving behavior and reduce speeds. The consultant developed long-term transportation management strategies that were presented to the community for discussion and input in early December 2001. The community provided valuable comments that will be used to refine long-term strategies.
- The Red Light Camera Program automatically photographs and issues notices of liability to vehicles that pass through a red light. The number of notices of liability issued by the Red Light Camera Program increased from 79,600 during the first four months of Fiscal 2001 to 84,100 during this reporting period. In July 2001 DOT began operating 20 new cameras, increasing the total to 50 cameras citywide.
- In April 2001 the City reactivated the West Nile Virus Task Force, a multi-agency effort chaired by the Mayor's Office of Operations. Originally established in June 2000, the Task Force enhances coordination between the Department of Health (DOH) and 22 other City and quasi-governmental agencies in responding to standing water complaints, develops strategies to remediate large properties that are potential mosquito breeding grounds, provides integrated enforcement and prevention capabilities, and takes other actions to minimize the threat of the virus.
 - As a participant in this Task Force, in June 2000 DOT completed inspections of all of its facilities, identifying and correcting conditions that could advance mosquito breeding. In the summer months of Fiscal 2001 DOT performed inspections of other City-owned properties to identify conditions that could advance mosquito breeding. The Department also has removed discarded tires from, and continues to correct ponding and standing water conditions on, City roadways.
- DOT, as part of the Rodent Control Task Force, continued its efforts during the reporting period. Established in June 2000, the Task Force is comprised of over 15 City agencies and quasi-agencies and is chaired by the Mayor's Office of Emergency Management, the Mayor's Office of Operations and DOH. It coordinates Integrated Pest Management practices, including assessment, abatement and eradication activities.
 - As a participant in this Task Force, DOT assists with rodent abatement and prevention at its facilities, including the St. George and Whitehall ferry terminals in Staten Island and Manhattan, respectively, as well as on ferryboats and along arterial highways.

SIGNALS, SIGNS AND LIGHTING

- In the first four months of Fiscal 2002 DOT received 183 signal study requests, compared to 330 signal study requests received during the first four months of Fiscal 2001. The Department's goal is to complete each study within 12 weeks of the request. During the reporting period DOT completed 156 signal studies, compared to 208 completed during the same period of Fiscal 2001. At the end of October 2001, 140 signal studies remained pending within the 12-week period, compared to 234 at the end of October 2000. Sixty-two studies were pending for more than 12 weeks at the end of October 2001; 15 were pending beyond 12 weeks at the end of October 2000.

DEPARTMENT OF TRANSPORTATION

- The Department installed 74 traffic signals during the first four months of Fiscal 2002, compared to 76 signals installed during the same period of Fiscal 2001. In Fiscal 2002 the Department plans to install a total of 180 signals. The number installed depends on the number of locations approved for new traffic signals by DOT's Division of Traffic Operations.
 - The Department installed 98.6 percent of new signals within six months of approval during the first four months of Fiscal 2002, surpassing its objective of 95 percent.
- The Department manufactured 19,535 and installed 44,787 new traffic signs during the first four months of Fiscal 2002, compared to 13,374 signs manufactured and 43,318 signs installed during the first four months of Fiscal 2001.
- During the first four months of Fiscal 2002 the Department replaced and repaired 72 existing bus stop markers, primarily in Manhattan, compared to 150 replaced and repaired during the same period of Fiscal 2001. In conjunction with New York City Transit, the Department installed 11 new bus stop markers in all five boroughs during the first four months of Fiscal 2002.
- A contract award for bus stop marker installation in Brooklyn and Staten Island was finalized in December 2000 and the installation of approximately 5,000 bus stop markers in Brooklyn began in April 2001. As of December 2001, a total of 3,231 bus stop markers have been installed in Brooklyn; expected completion of the Brooklyn installations is early March 2002. Installation of approximately 2,000 bus stop markers in Staten Island will begin upon completion of the work in Brooklyn. The Staten Island installations are scheduled for completion by August 2002.
- During the first four months of Fiscal 2002 the Department removed stickers from 13,264 signs and poles, compared to 9,101 signs and poles during the same period in Fiscal 2001. In addition, DOT's Division of Bridges, in conjunction with the Mayor's Anti-Graffiti Task Force, participated in removing graffiti in all five boroughs.

TRAFFIC MOBILITY

- The Department's toll-free number (1-877-DOT-MOVE) provides traffic information to Midtown-bound drivers and is in operation weekdays during rush hours. Information on traffic conditions at key Midtown locations is updated every 15 minutes; callers may also report traffic conditions they observe. DOT-MOVE received 2,075 calls during the period July through September 10, 2001 with an average of 42 calls per day. The number became inoperable as a result of the World Trade Center disaster. Service was restored in December 2001, although Midtown traffic information is currently provided by Call Managers rather than through a recorded message.
- During the reporting period DOT was a member of the Mayor's Office Traffic Mitigation Task Force. Along with the other major Task Force participant, NYPD, DOT implemented the Mayor's 2001 Holiday Traffic Control Plan. The Department has increased its use of the Traffic Management Center (TMC), expanded the use of variable message signs, made permanent, traffic-signal timing changes to facilitate vehicle and pedestrian traffic flow, and expanded its public information and outreach programs.
 - The use of the existing Park and Ride facility at Shea Stadium in Queens was expanded during the holiday season. Drivers could park their cars Monday through Friday for \$3.00 and travel by subway to Manhattan.

DEPARTMENT OF TRANSPORTATION

- DOT changed the timing of traffic signals at a number of locations to better facilitate movement under heavy traffic conditions. On Church Street between the Brooklyn-Battery Tunnel exit and Canal Street in Manhattan, the signal timing was changed from a “progressive” to a “simultaneous” pattern during specific time periods. In addition, DOT implemented pedestrian crossing signal phases at four Midtown Manhattan locations to ensure time for pedestrians to safely cross intersections.
- The Department revised traffic and parking regulations in selected areas of Midtown Manhattan to facilitate traffic flow and protect the safety of pedestrians and motorists. Right turns were prohibited during the day on Fifth Avenue between 47th and 55th streets to ease congestion around Rockefeller Center. Parking regulations on several cross-streets were revised to prohibit standing during peak periods, providing additional parking on selected westbound streets as well as westbound access.
- TMC, located in Long Island City, Queens, receives images from 135 traffic-monitoring cameras and disseminates information to the public traveling to the City through 39 fixed or portable variable message signs located along major thoroughfares and bridge and tunnel crossings. Variable message signs advise motorists of traffic conditions. By maintaining lines of communication with other City, State and federal agencies, DOT can obtain and disseminate information through 60 additional variable message signs when necessary.
- In the first four months of Fiscal 2002 DOT continued to participate in a Permit Coordination initiative with NYPD; the Fire Department of the City of New York; the Mayor’s Community Assistance Unit Street Activity Permit Office; the departments of Environmental Protection, Parks and Recreation (DPR), Information Technology and Telecommunications, and Design and Construction; and the Mayor’s Office of Film, Theatre and Broadcasting. Led by the Mayor’s Office of Operations, the initiative establishes a uniform citywide procedure for issuing all permits that affect traffic and street conditions. DOT adapted its Management Oriented Street Attribute Information Control System (MOSAICS) street permitting system to accommodate use by the other agencies. Each permit-issuing agency is now entering its data and accessing other agency data through MOSAICS to identify and resolve conflicts, improve traffic mobility and avoid unnecessary street closures. Additionally, the permit-issuing agencies have access to a state-of-the-art Geographic Information Systems permit-mapping system. The system displays updated information on street closures and areas reserved for special events, construction, emergency repairs and motion picture filming.

BRIDGE MAINTENANCE AND REHABILITATION

- In Fiscal 2001 DOT completed construction of an entrance ramp to the Belt Parkway from Cropsey Avenue in Brooklyn; landscaping and tree planting will be completed in Spring 2002. A total of 40 trees had been planted by the end of November 2001.
- In the first four months of Fiscal 2002 DOT completed reconstruction work on the following bridge structures in Brooklyn: 4th Avenue over NYCT, Kings Highway over NYCT and Ocean Parkway over the Long Island Railroad. The Kings Highway Bridge, which utilized a prefabricated superstructure, was opened one week ahead of the accelerated schedule.
- The \$136 million reconstruction of the landmark Macombs Dam Bridge over the Harlem River continues. In late March 2001 the contractor finished Stage I construction work, which consisted of installation of structural components, as well as deck replacement of the northern one-third of the bridge and the 155th Street viaduct, as scheduled. The contractor began Stage II in November 2001, immediately after the conclusion of the Yankees baseball season. This stage entails installation of structural components and deck replacement of the middle one-third of the bridge, and was completed on February 20, 2002. Completion of the entire reconstruction is expected in Spring 2003.

DEPARTMENT OF TRANSPORTATION

- The contract for the reconstruction of the Williamsburg Bridge subway was extended to include platform installation, bearing replacement, and completion of additional NYCT work, such as replacement of plates along the subway tracks over Ridge Street; work was completed in July 2001.
- The scope of work for the north roadways of the Williamsburg Bridge is a mirror image of the completed Williamsburg Bridge south roadways, which includes the complete replacement of the main bridge deck with a steel orthotropic deck system and new concrete approach structures. The north roadways were closed to traffic on January 29, 2001 to perform necessary work. Work on the north outer roadway was completed on December 10, 2001, a total of 50 days ahead of schedule. Work on the north inner roadway is scheduled for completion on July 29, 2002.
- The rehabilitation of the lower outer roadways on the Queensboro Bridge continued during Fiscal 2002. Rehabilitation of the City Shops on the Manhattan side of the bridge and work on travelers, which are movable underdeck platforms, was fully completed in October 2001. The final work item, rehabilitation of the necklace lighting, was completed in December 2001.
- In Fiscal 2002 the Department continues to use Design-Build contracts to expedite capital bridge rehabilitation. The contracts retain the same company for both design and construction on selected projects. Generally, a bridge project with different companies executing the design and construction requires six to eight years to complete.
 - In July 2001 the Department issued an RFP for the Design-Build contract to replace the Belt Parkway Bridge over Ocean Parkway in Brooklyn. The scope of work entails replacement of the existing bridge with a wider and longer bridge that will improve traffic flow and help to prevent accidents. The project will include incentive/disincentive and liquidated damages clauses to ensure timely completion of critical activities and minimize inconvenience to the public. Three of the six traffic lanes will be maintained in each direction during all stages of construction. The Department expects to issue a Notice to Proceed in early Summer 2002. The project is scheduled for completion in October 2004.
- In December 2000 DOT in-house carpenters completed replacement of the Brooklyn Bridge pedestrian walkway deck and its support beams. In-house ironworkers are currently replacing the deteriorated sections of promenade railing with replicas of the existing steel. This project will continue through Summer 2002. Virtually all of the work is done from the promenade, closing the left roadway lane as little as possible.
- The refurbishment of the Manhattan Bridge's landmark arch and colonnade was substantially completed in June 2001. Work includes reconstruction of the roof; waterproofing; installation of drainage systems and architectural illumination for the arch and colonnade; and the rehabilitation, cleaning, and graffiti protection of the masonry. For the bridge plaza, roadways and traffic islands were realigned, granite block paving was installed, lighting was improved and trees were planted. The remainder of the work, which includes replacing the debris net, painting conduits, and completing electrical punch list work, was substantially completed in mid-October 2001.
- In September 2000 the Department received bids for the contract to rehabilitate the entire north side of the Manhattan Bridge. The Notice of Award was issued to the lowest bidder in December 2000. The scope of work includes replacement of subway track and framing, painting, construction of a new bikeway, installation of a new traffic surveillance system, and installation of a state-of-the-art structural system to reduce bending of the bridge. The work is scheduled for completion by September 2004. The north lane of the lower roadway was closed to traffic in June 2001 for use as a construction staging area. At the same time, the south lane of the lower roadway was reopened to traffic. Subway service was restored to the south tracks on July 22, 2001. On that same day, service was temporarily discontinued on the north tracks until January 31, 2004.

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- The contract for reconstruction of the Third Avenue Bridge over the Harlem River was registered in June 2001 and a Notice to Proceed was issued in July 2001. Reconstruction will include complete replacement of the approaches and the swing span. A temporary bridge will be in place for five months to maintain two lanes of traffic into Manhattan while the swing span is being replaced. Completion is scheduled for Fall 2005.
- In April 2001 DOT began a \$72.6 million reconstruction of the Queens Boulevard and Honeywell Street bridges, which run over the Sunnyside railyard. Besides connecting Sunnyside and Long Island City in Queens, the Queens Boulevard Bridge is a vital link between western Queens and Manhattan via the Queensboro Bridge. DOT studied the traffic patterns in the area and decided to rebuild the Queens Boulevard Bridge in two stages in order to keep the bridge partially open to traffic. Major improvements include the reconstruction of concrete abutments, crash walls and steel piers, new bridge steel, and the installation of new concrete decks and bridge approaches. Also included are new sidewalks, an improved overhead lighting system, and the installation of an Intelligent Transportation System consisting of closed-circuit television cameras to monitor traffic and roadway conditions.
 - The contracts include incentive and disincentive clauses. On the Queens Boulevard Bridge, up to \$3 million will be awarded for early completion of the project and disincentives of \$50,000 for each day the work continues beyond September 30, 2002. On the Honeywell Street Bridge, up to \$900,000 will be awarded for early completion and disincentives of \$15,000 for each day the work is delayed beyond September 30, 2002. The project is scheduled to be completed in Fall 2002, at which time both the Queens Boulevard and Honeywell Street bridges will be completely rebuilt and reopened to traffic.
- During the first four months of Fiscal 2002 the Department removed 2.82 million square feet of graffiti from bridges, arterial highways and neighborhoods in all five boroughs, compared with 2.67 million square feet during the same period in Fiscal 2001. As of October 2001, a total of 21 arterial highways were included in the program. Graffiti removal is performed monthly on these roadways. The Department also removes graffiti from all four major East River bridges on an “as-needed” basis.
- The implementation of the federally funded East River Bridges Preventive Maintenance Program continued during the reporting period.
 - DOT has implemented the use of truck-mounted spray application systems on trucks dedicated to anti-icing and snow removal on the four East River bridges. Using anti-icing treatments in place of salt on the East River bridges reduces corrosion and prolongs the life of these newly rehabilitated structures. The Department currently has five truck-mounted anti-icing spray application systems in service, and six of an additional 10 trucks were retrofitted with these systems by mid-February 2002.
- The reconstruction of the Williamsburg Bridge subway structure was selected as the 2001 Construction Achievement Project of the Year by the American Society of Civil Engineers. In May 2001 the New York Association of Consulting Engineers selected the reconstruction of the Ninth Street Bridge as the “Movable Bridge Project for Engineering Excellence.” In July 2001 the bridge was selected by the National Steel Bridge Alliance to receive the Prize Bridge Award in its Movable Span Category. In December 2001 the restoration of the Queensboro Bridge/Bridgemarket was selected as the 2001 Rehabilitation Project of the Year in the New York Construction News Best of 2001 Awards Program.

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- Rehabilitation work on the Battery Park Underpass, Park Avenue and First Avenue tunnels in Manhattan is scheduled for completion by the end of Calendar 2002. The contract includes the rehabilitation of the mechanical and electrical systems including the ventilation, fire, lighting and drainage systems. The contract has been delayed due to ongoing restrictions at the Battery Park Underpass resulting from the World Trade Center disaster.
- The Westchester Avenue/Hutchinson River Parkway Bridge supports a transit structure and has low clearance over the highway below, since the parkway does not allow trucks. However, trucks illegally use the parkway and the bridge has often been hit. The Department will install an Intelligent Transportation System to detect overheight vehicles. The system will flash signs directing vehicles over nine feet in height to exit the parkway. The project also includes sound-activated cameras that will document damage to the bridge for recoupment of costs by the City. The project is scheduled for completion in Summer 2002.
- A temporary vehicular fly-over bridge will be installed on the Grand Concourse at East 161st Street prior to the total reconstruction of the 161st Street underpass. This will allow traffic to flow along the Grand Concourse unimpeded during the reconstruction. Construction of the bridge is scheduled to begin in May 2004.
- The Department is designing the first cable-stayed vehicular bridge to be built in New York City. The four-lane bridge will extend from East 153rd Street in the Bronx across the Mott Haven railyards from Morris Avenue to the Grand Concourse just north of Hostos Community College in the Melrose Section. The bridge will restore a link that has been missing since the early 1980s when the turn-of-the-century bridge was closed and demolished. The design and environmental impact assessment phases of the project are currently underway. Final design will begin in April 2002 and take approximately two years to complete.

STREET AND ARTERIAL HIGHWAY MAINTENANCE

- During the first four months of Fiscal 2002 DOT resurfaced 388.9 lane miles, compared with 320 lane miles during the same period of Fiscal 2001. The Department plans to resurface 794.4 lane miles in Fiscal 2002, a 100 lane mile increase over last year's target.
- During the reporting period the Department received 7,612 pothole complaints and repaired 26,968 potholes citywide, compared with 5,625 complaints and 12,754 repairs during the first four months of Fiscal 2001. The Department repaired 53 percent of pothole complaints within 30 days during the first four months of Fiscal 2002, compared to 54 percent during the first four months of Fiscal 2001. Additionally, in October 2001 the Department began deploying extra pothole crews to complete more repairs before winter. By the conclusion of this additional deployment in December 2001, DOT repaired a total of 22,937 potholes.
- As of the end of October 2001, 332 or 92 percent of a total of 362 adoptable miles in the Adopt-a-Highway program were adopted by sponsors, compared to 331 adopted miles at the end of October 2000. During the first four months of Fiscal 2002, 18 percent of adopted miles were inspected weekly for quality assurance, compared to 21 percent during the same period of Fiscal 2001.
- As of October 2001 the Hamilton Asphalt Plant produced asphalt with an average recycled content of 40 percent, compared to 38 percent as of October 2000. The plant's production was 179,073 tons in the first four months of Fiscal 2002, compared with 124,373 tons in the first four months of Fiscal 2001.
- In the first four months of Fiscal 2002 the Department continued performing litter and weed removal on the service roads of the City's arterial highways. DOT removed 32,518 cubic yards of debris from the highways, compared to 38,267 cubic yards in the first four months of Fiscal 2001.

DEPARTMENT OF TRANSPORTATION

- The Department issued a total of 4,887 permits for emergency street work from July through October 2001, a 4.4 percent increase from the number of permits issued in the same period as the previous year. On average, DOT issued 1,222 emergency permits per month during the first four months of Fiscal 2002, compared to 1,170 emergency permits per month during Fiscal 2000. In the first four months of Fiscal 2002 DOT's Highway Inspection and Quality Assurance (HIQA) unit made 3,472 visits to emergency sites and issued 158 summonses to contractors for violating the terms of an emergency permit, compared to 7,255 inspections and 86 summonses during the first four months of Fiscal 2001. From July through October 2001 a total of 83 summonses were issued for performing nonemergency work with an emergency permit, compared to 26 summonses issued during the same period of 2000. The decrease in the number of inspections conducted is attributable to the diversion of HIQA inspectors in response to various conditions arising from the World Trade Center disaster. However, HIQA inspectors found more emergency permit violations during the inspections they conducted.
- The Department continued its initiative to increase the compliance of contractors working on the arterial highways. During the reporting period the Department issued 17 summonses to contractors in violation of the stipulations of their DOT permits, compared to 22 summonses issued during the first four months of Fiscal 2001. Typical infractions include closing lanes during non-permitted hours, causing unnecessary damage to trees and the landscape, and leaving dangerous conditions after work is finished. Fines for violations range from \$250 to \$4,000.

PARKING INITIATIVES

- The number of operational electronic parking meters citywide at the end of October 2001 was 42,236, compared to 31,324 meters as of the end of October 2000. The number of operational electronic parking meters increased substantially since the previous reporting period due to new electronic meters manufactured under the new contract and installed by in-house personnel.
- Approximately 66 percent of the meters citywide are electronic. DOT has a contract in place and will continue to install meters until all of the City's existing meters have been replaced by electronic single-space or multi-space meters. Completion is expected by the end of Fiscal 2004, at which time all 64,000 meters will be electronic. The new meters have many benefits, including increased accuracy to disprove fast meter claims, near elimination of the use of spurious coins, decreased meter vandalism and decreased meter repair costs.
- In Fiscal 2001 the Department implemented new parking initiatives in the Theater District of Manhattan. The entire district, from 43rd through 48th streets and from 51st to 55th streets between Fifth Avenue and Broadway, was converted from single-space to multi-space meter operation. Overall, 126 multi-space meters have replaced 804 single-space meters, resulting in an increase of 100 parking spaces. Due to several ongoing major construction projects in the area, an additional 20 multi-space meters, which are part of the original plan, will be installed when access to these areas becomes available in June 2002.
 - In November 2000 DOT instituted an 18-month commercial meter pilot program. This program mandates that all commercial vehicles parked on 43rd through 48th streets between Fifth and Sixth avenues pay at designated parking meters and also introduces a congestion pricing concept. Commercial vehicles may park for the standard three-hour limit and are charged \$1.00 for one hour, \$3.00 for two hours and \$6.00 for three hours.
 - In November 2001 the Department expanded this program to include the entire Theater District. The boundaries for this second phase are from 43rd to 55th streets between Sixth and Seventh avenues and from 52nd to 55th streets between Fifth and Sixth avenues. Upon completion, the Department will have modified or installed a total of 91 multi-space meters.

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- This program has proven successful to date, in that compliance with parking regulations by commercial vehicles has increased and available, legal spaces are more equitably shared. In the time that this program has been in effect, DOT has sold over \$171,400 in parking cards to some 585 commercial fleets that use this area.

BICYCLE PROGRAM

- In November 2001 DOT opened 7.2 miles of Class II bicycle lanes on Manhattan streets as part of scheduled resurfacing contracts. A total of 3.3 miles were installed along Fort Washington Avenue, 2.4 miles along Central Park West, 1.1 miles along Frederick Douglass Boulevard and 0.4 miles along Haven Avenue.
- In November 2001 the Department installed 10 miles of new Class II bicycle lanes on Brooklyn streets, connecting an existing bicycle path along Shore Parkway to Leif Ericson and Owls Head parks in Bay Ridge and to Sunset and Prospect parks, Brooklyn.
- In Spring 2002 DOT anticipates opening nine miles of new Class II bicycle lanes/Class III bicycle routes on Bronx streets connecting the Mosholu-Pelham Greenway with the Macombs Dam Bridge.
- In Spring 2002 the Department anticipates opening six miles of Class II bicycle lanes/Class III bicycle routes from Alley Pond Park to 104th Avenue, along 222nd Street in Queens.
- On June 25, 2001 DOT opened a one-mile Class I multi-use lane, which had been closed for 40 years, on the south side of the Manhattan Bridge. All four of the East River bridges are now bicycle/pedestrian accessible. In August 2001 the Department installed trailblazer signs on streets leading to the bridge on both its Manhattan and Brooklyn sides. The signs direct cyclists and pedestrians along the safest on-street routes to gain access to the bridge walkway.
- In August 2001 the Department opened a one-mile Class II bicycle lane/Class III bicycle route along the Hudson River Greenway connecting Riverside Park at West 125th Street and Fort Washington Park at West 140th Street.
- The Department anticipates the installation of 1,000 bicycle racks citywide during Fiscal 2002. During the first four months of Fiscal 2002 a total of 229 racks were installed. By Spring 2002 the Department will identify sites where secure bicycle parking can be located.

FERRY SERVICE INITIATIVES

- In an effort to upgrade its Staten Island Ferry fleet and accommodate the demand for ferry service, the Department will replace its aging Kennedy-Class ferryboats. The construction contract was registered on November 23, 2001. It is anticipated that construction of the three boats will be completed by the end of Calendar 2003. The new four-deck boats will provide capacity for approximately 4,400 passengers, about 800 to 900 more than on the current boats, and be equipped with state-of-the-art pollution control features. Each boat will have two elevators to provide access for people with disabilities. The highest deck, known as the hurricane deck, will be accessible to passengers for the first time on the new ferries, presenting riders with harbor views.
- Ferry service to New York's major league baseball stadiums continued during Fall 2001. Private ferry operators provided service to the World Series at Yankee Stadium, carrying 1,258 passengers to three games, compared to 2,606 passengers transported to five World Series games by two companies in Fall 2000. Service to every Yankees and Mets home game is offered from the South Street Seaport, East 34th Street and East 90th Street in Manhattan, as well as from Weehawken, New Jersey. Ferry service is available to Shea and Yankee stadiums from Highlands, New Jersey for most weekend and some weekday games.

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- The Department extended Staten Island ferry service to every half hour on weekend nights of Staten Island Yankees home games, from 7:00 PM until 11:00 PM. In July 2001 the Staten Island Ferry also began providing service from the St. George Terminal to Coney Island for the Staten Island Yankees/Brooklyn Cyclones 2001 seasons.
- A groundbreaking ceremony for construction of the Whitehall Ferry Terminal was held in September 2000. The project includes a new terminal structure that maximizes waterfront views while providing state-of-the-art comfort to riders through new waiting areas. Improvements to the terminal include pedestrian circulation and connections to subways and buses. Construction will continue in multiple phases so that two of three ferry slips will remain available at all times. The project is planned for completion by the end of Calendar 2003.
- The groundbreaking ceremony for the \$85 million renovation of the St. George Ferry Terminal in Staten Island occurred on September 6, 2001. The facility will be completely remodeled both inside and outside. Planned improvements to the 50-year-old facility include upgraded utility and fire protection systems, increased retail space, air conditioning in the waiting room and additional elevators to improve access for people with disabilities. When completed, the St. George Ferry Terminal will provide a viable link to the new Yankees minor league baseball stadium, as well as to the planned Lighthouse Museum and other public waterfront attractions. State-of-the-art advertising and signage will help to integrate the terminal with the surrounding amenities. Continuous ferry service will remain in place during the reconstruction period. Project completion is scheduled for January 2004.
- The new Wall Street Ferry Pier at Pier 11 has continued to serve an important role in transportation to and from Lower Manhattan. Even after the opening of Pier A, located between Battery Park City and Battery Park, passenger volumes at the Pier remain approximately double their pre-September 11th levels. DOT has brought a temporary food concessionaire into the pier while arrangements are being made for the issuance of an RFP to select a longer-term concessionaire.
- The Department has been working closely with EDC and DPR to develop a plan to implement capital improvements to ferry landings at East 34th, East 62nd, East 75th and East 90th streets. Design of the terminal infrastructure began in early Calendar 2001 and the design process is anticipated for completion in Fiscal 2002, with construction scheduled to begin in Fiscal 2003. Other new initiatives address deficiencies in existing facilities, opening new areas of the waterfront to ferry service and better integrating the ferry system into New York's intermodal transportation network.
- DOT has been working with EDC on a plan to create a new West Midtown Intermodal Ferry Terminal at Pier 79 at West 39th Street. The City Council approved a lease for the facility on November 20, 2001. EDC has hired a consultant team to design the facility and it is anticipated that construction will be bid in Fiscal 2003. The project is financed by a combination of Federal Transit Administration, Federal Highway Administration, City and private funds.

BUS SERVICES AND EMISSIONS CONTROL

- In preparation for future Compressed Natural Gas (CNG) bus purchases, the Department is compiling design specifications for fueling facilities at two of the four bus depots that require upgrades to support the CNG bus program. Installation of necessary equipment at the first facility is scheduled for completion by the end of Calendar 2002, a delay of approximately eight months due to contractual issues with the private owner of the depot. Installation of CNG equipment at the second facility is scheduled for completion in mid-Calendar 2003. Design work for the remaining two depots is delayed pending discussions with the bus depot operators.

DEPARTMENT OF TRANSPORTATION

- The Department continues to expand the City's Electric Vehicle program in cooperation with the New York Power Authority and the New York State Energy Research and Development Authority. DOT, in conjunction with the Metropolitan Transportation Authority and the Lower Manhattan Business Improvement District, will purchase eight electric shuttle buses for use in the downtown route. The buses will be delivered in July and August 2002 for testing; full service is scheduled to begin by September 2002. Due to the September 11th disaster and its impact on the downtown area, a new route has been developed. This initiative will provide a much-needed shuttle service.
- DOT has undertaken a project to increase the number of CNG fueling sites in the City. An award was made in November 2001 for a consultant to design and build CNG stations on three City-owned sites that are under the jurisdiction of DOT and the departments of Environmental Protection and Parks and Recreation.
- In conjunction with the Department of Citywide Administrative Services, the Department intends to issue a Request for Bids to purchase 157 new express configuration CNG buses. The solicitation was due to be released by the end of September 2001 but was delayed due to the events of September 11th. Release of the final bid documents is expected in mid-March 2002. Contract registration is anticipated by the end of Fiscal 2002.
- As a result of the successful One City, One Fare program, DOT estimates that ridership on the City's seven franchise bus lines increased by 4.5 percent during Fiscal 2001. A total of 37.5 million passengers rode these buses during the first four months of Fiscal 2002, compared to 35.9 million during the first four months of Fiscal 2001.
- In August 2001, two new express bus routes, the X23 and X24, began operating on the South Shore of Staten Island. A private company was selected to operate the routes. An average of 2,500 passengers ride the express buses daily.

MANAGEMENT INITIATIVES

- In December 2000 the Department implemented a comprehensive management accountability program known as MOVE (Management, Ownership, Vision, Empowerment). This program increases manager accountability for performance in specific areas and seeks to improve productivity by extending direct accountability to every area that supports a critical Agency function. MOVE goes beyond analyzing trends in performance to examining and ultimately improving the Agency's business practices and its service to the public. To date, a total of 33 sessions have been held, examining DOT operations in various areas. Results of the program include major Staten Island Ferry customer service improvements, enhanced coordination and tracking of sidewalk construction and a more efficient system for tracking traffic sign requests.

CUSTOMER SERVICE

- The Department of Transportation's Call Center, (CALLDOT), handles a daily weekday average of 1,560 transportation-related calls, a 56 percent increase from the inception of CALLDOT five years ago. Of the 140,287 calls received during the first four months of Fiscal 2002, the Interactive Voice Response (IVR) system, an automated telephone system that answers frequently asked questions and/or directs callers to appropriate sources, handled 24 percent or 33,668 calls; Call Managers handled 76 percent or 106,619 calls. Since the September 11th World Trade Center disaster, the IVR system has been out of service, requiring all calls to be answered by Call Managers. From September 14, 2002 to December 3, 2002, CALLDOT's hours of operation were expanded from 7:00 AM-7:00 PM on weekdays to 24 hours a day, seven days a week.

DEPARTMENT OF TRANSPORTATION

- In July 2000 CALLDOT began to answer requests for more detailed traffic information on roadways; bridges and tunnels; and street or roadway construction activities, including street closures and alternate routes. As the demand for more detailed information increases, the Department is expanding services to include travel directions for the public. Since the World Trade Center disaster, the Call Center staff has handled 15,230 calls for detailed traffic information, or about 11 percent of total calls received.
- In November 2000 a new Customer Pothole Repair Callback System was implemented. This automated system provides information on the disposition of citizens' pothole complaints. The system is now fully operational and Call Managers contact customers daily to report the actual dates that potholes were repaired. As of the end of October 2001, the Call Center staff had made 10,639 return calls to customers.
- In January 2001 a manual Customer Repair Callback System for nine-day sign repairs was implemented in the Call Center. Callers are informed when repairs are made for Priority Regulatory Signs, also known as Life Protective Devices, such as Stop, Do Not Enter, One Way and Yield signs. The system was automated in August 2001. As of the end of October 2001, the Call Center staff had made 315 return calls to customers.
- In January 2001 an online pothole complaint form was added to the DOT home page. Customers have the option of requesting pothole repair service via the Internet. As of September 11, 2001, the Call Center staff had received 2,280 online requests for pothole repairs. This system, which became inoperable following the World Trade Center disaster, was returned to operation in late January 2002.
- In April 2001 a manual Customer Repair Callback System for traffic signals was implemented in the Call Center. Callers are informed when repairs are made for these emergency service requests. As of the end of October 2001, the Call Center staff had made 1,946 return calls to customers.
- The Department continues to coordinate with DOH and Bellevue Hospital Center (BHC) in Manhattan on issuing parking permits for people with disabilities. These permits allow holders to park at parking meters without paying, and to park at all curbsides except no stopping zones, no standing zones, bus stops and fire hydrants. The average wait time for a permit has been reduced from six months to 3.4 months as of the end of October 2001. A new Memorandum of Understanding between DOT, DOH and BHC, effective October 1, 2001, provides for additional weekly certification assessments to be performed at BHC. It is expected that this will substantially improve the average wait time for a permit.

TECHNOLOGY

- Through the Department of Finance's consolidation technology project, known as NYCSERV, DOT is implementing a new electronic permitting (e-permitting) system. It will allow approximately 15,000 customers from nonprofit organizations and City, State and federal agencies to apply for parking permits on the Internet. The e-permitting system will reduce paper use, data entry time and errors, and enhance customer service by decreasing processing time and simplifying the application process. In December 2000 DOT began operating the system agencywide via DOT's intranet. All City agencies with intranet access completed training and were applying for permits by late May 2001. State and federal agencies, as well as those City entities without intranet access, were trained in August 2001. The system was Internet-enabled in early October 2001. As of December 2001, a total of 7,784 permits had been issued through the system.

DEPARTMENT OF TRANSPORTATION

- During the first four months of Fiscal 2002 DOT received 2.97 million page views on NYC.GOV, the City's official Web site, compared with 954,410 views during the first four months of Fiscal 2001. Over 24 percent of the total page views in October 2001 focused on the interactive transportation maps. The real-time traffic cameras received 30.2 percent of total page views in October 2001.
 - DOT posted new information and features to its site, including a detailed description of the Manhattan Bridge rehabilitation project, traffic calming plans for Times Square and Downtown Brooklyn, and the history of parking meters on the 50th anniversary of their introduction to New York City. After the World Trade Center disaster, an emergency information page was added, including information on traffic restrictions in Lower Manhattan, carpooling requirements for vehicles entering Manhattan, changes in ferry and bus services, restricted vehicle access to bridges and tunnels, suspension of alternate side parking rules and other topics. The public's need for transportation information after September 11th resulted in a major increase in views of the DOT home page, with a total of nearly 1.9 million page views in September and October 2001 alone. This was nearly twice as many views as in the previous two months and four times as many as in September and October 2000.
- DOT's Highway Inspection and Quality Assurance (HIQA) unit conducts inspections to ensure that construction work on City streets is performed in compliance with the terms of DOT's permits and that streets are restored properly after work is completed. HIQA also performs building operation, sidewalk and street-opening inspections. With funding from the Mayor's Technology Fund, the Department will implement the use of handheld computers to streamline the operations of the HIQA unit. Use of the handheld computers will reduce paperwork, expedite data entry and allow for faster response to citizen complaints. Additionally, the technology will allow HIQA to respond more quickly to utilities and contractors awaiting inspection results. The first prototype unit was introduced in November 2001. Field testing of the device began in January 2002.
- In October 2000 DOT contracted with a consultant to develop the foundation for a spatial data warehouse. Although it will not replace the current operational systems in use, the warehouse will store essential data about DOT operations. The pilot phase of the data warehouse project is scheduled for completion by early March 2002. The primary benefit of this project will be increased availability of data contained in existing applications, most of which have very limited reporting capabilities.
- In September 2000 the Department contracted with a consultant to develop Spatial Street Smarts, which will replace DOT's Street Smarts Pavement Management System. The new system will provide all the data of the old system but will be enhanced to include additional data sets, such as a central repository of capital projects, relevant permit data, updateable street attributes including street dimensions and bus and truck routes, and a state-of-the-art map-based user interface. The Spatial Street Smarts system will be an important tool to support DOT's management of its capital roadway resurfacing and reconstruction programs. In addition, Spatial Street Smarts will seamlessly interface with data collected by the Street Assessment survey, which is a City Charter-mandated assessment of the condition of the City's streets. The system is scheduled for completion by early March 2002, delayed from September 2001 due to unforeseen technical problems encountered by the system consultant.
- In February 2001 the Department contracted with a consultant to develop a network design for the reconstruction of DOTNET, the Department's wide area network. The first location scheduled for upgrading was completed in December 2001. The network is scheduled for completion at all 55 sites by June 2002.
- The Department is working with the State to develop software that will handle the complete permitting process for overweight trucks requiring access to City highways and bridges. The new system will improve the turnaround time for truckers applying for permits and will help with permit rule enforcement efforts. The contract is anticipated for registration by the end of Fiscal 2002.

DEPARTMENT OF TRANSPORTATION

FINANCIAL PLAN

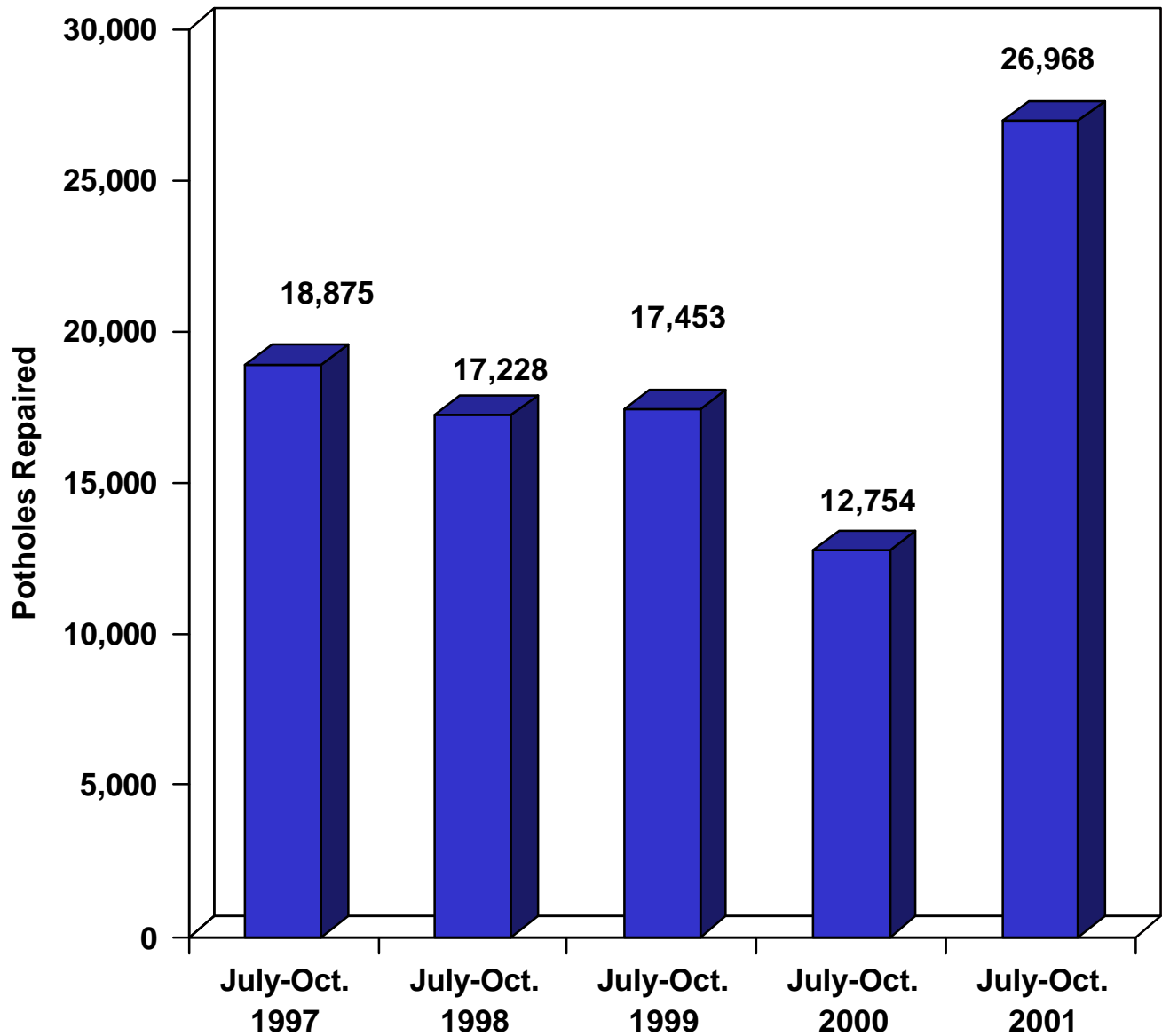
- During the first four months of Fiscal 2002 the Department's expenditures were \$241.7 million, compared with its plan of \$253.8 million. The Department's Fiscal 2001 expenditures were \$479 million.
- The City's Financial Plan of February 2002 outlines expenditure savings of \$41.8 million in Fiscal 2002 and \$11.6 million in Fiscal 2003 through measures including subsidized franchise bus savings, delayed purchases, energy savings, procurement efficiencies and targeted early retirement. Increased revenues of \$9.1 million in Fiscal 2002 and \$11.5 million in Fiscal 2003 will be obtained from sources including Federal Emergency Management Agency reimbursements, increased State and federal funding, parking enhancements, increased construction fines and summonses of out-of-State red-light camera violators. The Department has planned expenditures of \$534.8 million in Fiscal 2002 and \$481.3 million in Fiscal 2003.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Priority Regulatory Signs – Percent Replaced or Repaired Within 9 Days	100%	100%	100%	100%	100%	100%	100%
Street Lights – Percent Responded to Within 10 Days	98.4%	97.5%	98.6%	96.9%	96.1%	96.6%	95.8%
Small Street Defects (Potholes) – Percent Repaired Within 30 Days	26%	44%	64%	65%	70%	54%	53%
Adopt-A-Highway – Total Number of Miles Adopted	220	270	316	337	337	331	332
Adopt-A-Highway – Percent of Miles Audited	NI	17%	24%	19%	20%	21%	18%
Streets Maintained With a Pavement Rating of Good	79.7%	83.9%	86%	84.4%	82.5%	NA	NA
Cubic Yards Debris Removed – Bridges	15,432	12,406	11,023	14,007	11,746	5,014	4,781
Bridge Painting (Square Feet Finish Coat) (000) – Graffiti Removal	5,900	5,757	6,618	6,866	7,112	2,666	2,819
Total Bridge Flags Eliminated	1,429	1,164	1,417	1,170	1,250	336	290
Lane Miles Resurfaced (In-House)	697.3	721.2	714	707.8	717.2	320	388.9
Pedestrian Ramp Contracts Sidewalk Corners Made Accessible – Completed	3,809	4,508	3,698	1,797	3,993	2,100	3,937
Prior Notification Sidewalk Reconstruction by Square Foot (000) – Completed	1,179	1,418	1,822	1,492	732	86	984
East River Bridges – Completed	1	2	3	1	2	2	1
Non-East River Bridges – Completed	20	36	35	29	19	6	3
Percent of Meters Operable	NI	91.1%	90.7%	91%	90.7%	91.4%	90%

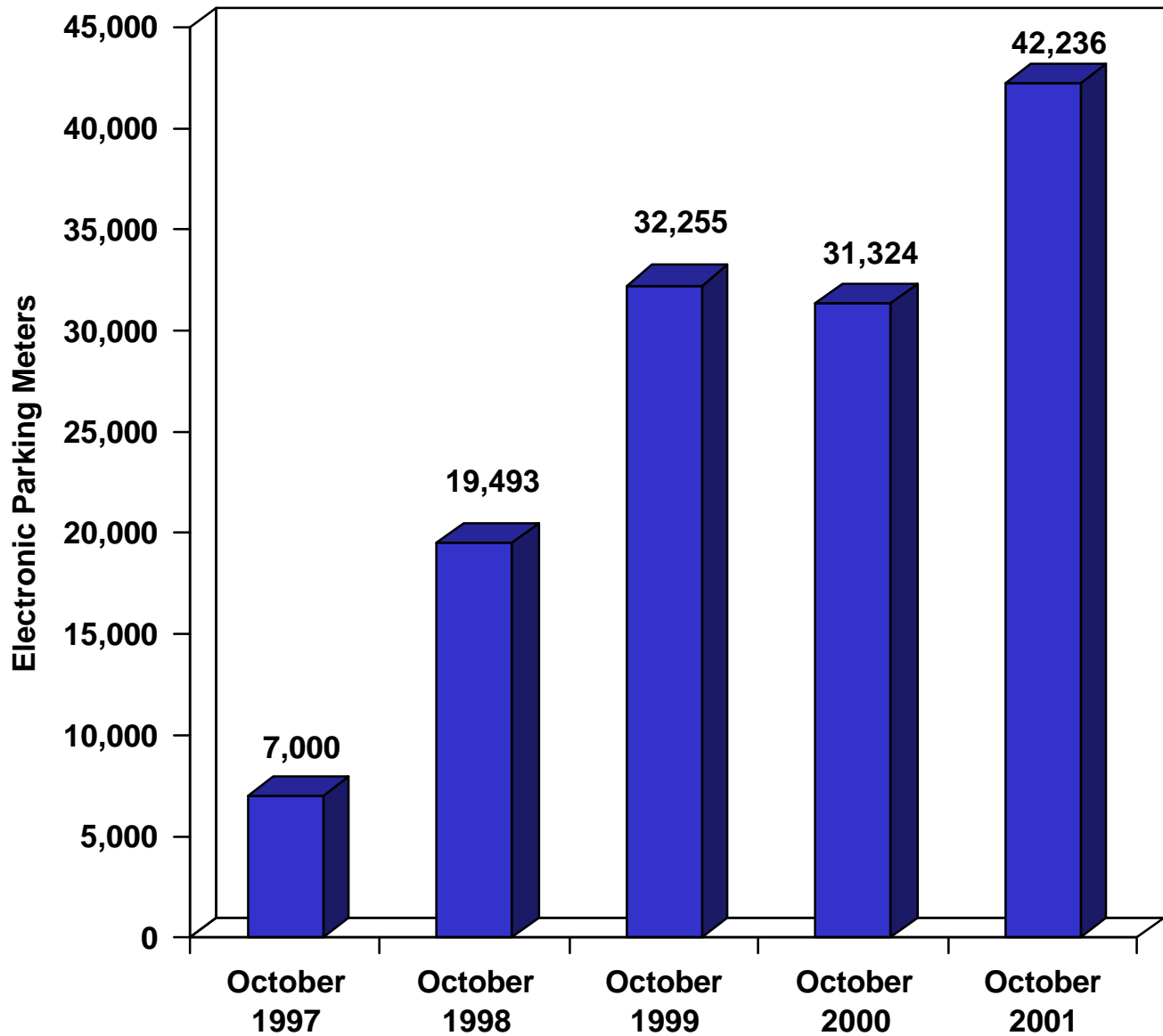
Department of Transportation

Pothole Repairs July - October 1997 - 2001



Department of Transportation

Electronic Parking Meters Citywide October 1997-2001



DEPARTMENT OF ENVIRONMENTAL PROTECTION

The Department of Environmental Protection collects and transports a daily average of 1.3 billion gallons of drinking water to more than 8 million City residents and also provides drinking water for more than 1 million water users in four upstate counties. To ensure the highest quality and future integrity of the City's water supply, a comprehensive watershed protection program has been developed. The Department treats approximately 1.3 billion gallons of wastewater daily at 14 treatment plants in the City and nine smaller treatment plants in its watershed. To fund all costs related to the Department's water and sewer program, the New York City Water Board annually sets both water and sewer rates. Based on rates set by the Board, the Department sends out water/sewer bills to, and collects payments from, over 827,000 water/sewer customer accounts.

The Department enforces provisions of the Administrative Code that regulate air, noise and hazardous materials. The Department is also responsible for the remediation of inactive City landfills, performs environmental assessments and certifies the completeness of Environmental Impact Statements. The City's Environmental Control Board, a bureau within the Department, is an administrative tribunal that holds hearings on notices of violation issued by many City enforcement agencies for various quality-of-life infractions of the City's laws and rules.

GOALS AND OBJECTIVES

Goal: Develop and implement a water quality protection program to ensure the future quality of the City's water supply.

Objective
Solicit the purchase of approximately 55,265 acres of watershed land and enter into contracts to purchase 8,500 additional acres from January 2001 to January 2002.
Analyze 65,000 water samples for compliance with federal and State standards in Fiscal 2002.
Complete a revised 38 Whole Farm Plans in the Watershed Agricultural Program for a revised total of 143 participating farms by December 2002.

Goal: Maintain and repair water mains, hydrants, catch basins and sewers.

Objective
Resolve 85% of leak complaints requiring excavation within 30 days in Fiscal 2002.
Repair or replace 15,500 hydrants in Fiscal 2002.
Clean 41,000 catch basins in Fiscal 2002.
Resolve 90% of catch basin complaints within 30 days in Fiscal 2002.
Resolve 98% of sewer backup complaints within 24 hours in Fiscal 2002.

Goal: Treat wastewater and sewage in order to maintain a healthy environment and safeguard natural resources.

Objective
Ensure that 100% of effluent meets federal standards in Fiscal 2002.
Complete 69% of scheduled monthly preventive maintenance at wastewater treatment plants in Fiscal 2002.
Comply with the State standard for dissolved oxygen at 89% of survey stations in New York harbor in Fiscal 2002.

DEPARTMENT OF ENVIRONMENTAL PROTECTION

Goal: Expand and improve the water meter billing program and encourage water conservation.

Objective
Install 35,000 water meters in Fiscal 2002.
Maintain the percentage of adjusted water/sewer bills at 4% or less in Fiscal 2002.
Maintain the percentage of estimated water/sewer bills at 15% or less in Fiscal 2002.
Perform 20,000 residential water surveys and distribute 15,000 home water saving kits in Fiscal 2002.

Goal: Improve the quality of life through enforcement of codes and procedures relating to air quality, noise and pollution control, and asbestos abatement.

Objective
Respond to 97% of air quality, noise and asbestos complaints in Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- Immediately following the September 11th disaster, the Department of Environmental Protection (DEP) responded by performing various tasks to ensure the security of the City.
 - The Department dispatched field crews to stop the flow of water from broken water mains and ensure adequate water pressure for fighting fires. In addition, DEP's Hazardous Materials Unit and Emergency Management Unit provided assistance to the emergency personnel evacuating the area. DEP coordinated and supervised cleanup activities in designated areas, provided technical and regulatory expertise to the Office of Emergency Management and other environmental agencies; performed confined space entries with the Fire Department of the City of New York and Port Authority Police of New York and New Jersey in sublevel areas under the collapsed towers; examined unknown drums and containers uncovered among the debris; and coordinated investigations with private and public property owners to provide technical and regulatory assistance on proper cleanup processes.
 - Immediately following the towers' collapse, DEP's Hazardous Materials Unit began sampling bulk debris and conducted air sampling to identify hazardous materials and determine the perimeter of the contaminated zones. On September 12th DEP continued its air sampling and included monitoring for volatile organic compounds, acid gases and toxic metals at the impact area, surrounding perimeter and citywide.
 - DEP began sampling the air for the presence of asbestos particles in and around Ground Zero on September 12th and began providing the results online in early October 2001. DEP updates the data online, 7 days a week, within 24 hours of sampling at over 30 locations.
 - Due to security concerns, the reservoirs and watershed lands were closed to recreational activity and all hiking, fishing and hunting permits were suspended indefinitely, beginning September 12th.

DEPARTMENT OF ENVIRONMENTAL PROTECTION

WATER QUALITY PROTECTION

Enforcement

- During the first four months of Fiscal 2002 DEP issued four notices of violation and 24 notices of failure for individual residential septic systems, 46 environmental summonses, 222 penal law summonses and 93 notices of warning throughout the watershed region. In comparison, the Department issued a total of eight notices of violation and 31 notices of failure for individual residential septic systems, 64 environmental summonses, 347 penal law summonses, and 98 notices of warning throughout the watershed region during the same period in Fiscal 2001.
- During the reporting period DEP continued to review projects for compliance with the requirements of the Watershed Rules and Regulations. In Calendar 2001 DEP made 1,204 determinations on various projects, including Stormwater Pollution Prevention Plans, compared with 1,154 determinations in Calendar 2000.
- To better detect and prevent possible environmental crimes in the watershed, the Department more than doubled the authorized headcount of the Environmental Police Force from its Fiscal 1999 staff of 59 to 149 in Fiscal 2002. As of February 2002 there were 126 employees.

Land Acquisition

- The City is committed to soliciting the purchase of 355,000 acres of watershed land within a 10-year period under the 1997 Memorandum of Agreement (MOA), which created the goals for the Land Acquisition and Stewardship Program. Since that time DEP has solicited the purchase of more than 260,000 acres; 39,000 acres were solicited during the first four months of Fiscal 2002.
 - During the first four months of Fiscal 2002 DEP entered into 33 contracts to purchase a total of 2,261 acres of watershed land and the City acquired title to 30 parcels, totaling 2,195 acres of land. The City is committed to spending up to \$250 million on acquisitions in the Catskill/Delaware watershed and \$11.5 million in the Croton watershed. Since signing the MOA, the Department has entered into contracts to purchase over 34,600 acres of land in the watershed.

Pollution Prevention

- To protect the streams and reservoirs from degradation, DEP enforces regulations governing the operation of private septic systems. In some cases, the City provides funding for remediation of septic systems. During the first four months of Fiscal 2002, 119 failing individual residential septic systems were remediated in response to DEP enforcement; 71 were City-funded and the remainder were funded by property owners. During the same time period in Fiscal 2001, 131 septic systems were remediated as a result of DEP enforcement.
- During the reporting period DEP continued its efforts with the Watershed Agricultural Council (WAC) to administer the City's Watershed Agricultural Program, which provides funding for agricultural pollution prevention programs in the watershed. A total of 320 farms have entered into agreements with WAC to develop and implement Whole Farm Plans, which specify various farm management practices that protect the City's drinking water from agricultural pollution. By the end of Calendar 2001 DEP assisted 105 of the 320 participating farms to complete Whole Farm Plans. The Whole Farm Easement Program, another DEP/WAC partnership, has five farms under contract to acquire agricultural easements on 2,053 acres using City funds.

DEPARTMENT OF ENVIRONMENTAL PROTECTION

- The City works with the federal Department of Agriculture (USDA) and the State to implement a Conservation Reserve Enhancement Program (CREP) in the Catskill and Delaware watersheds. This agreement allows watershed farmers to enter into 10- to 15-year USDA contracts in order to retire environmentally sensitive lands from farm production and provide forested buffers near rivers and stream banks. As of February 2002, 60 CREP contracts were completed, affecting 1,448 acres of land. Over 100 Watershed Agricultural Program farmers have expressed interest in CREP. Through the Watershed Agricultural Council, the City provides 50 percent of the cost of conservation practices associated with CREP.
- In the West of Hudson and East of Hudson watersheds, DEP administers a program to design, permit, construct and install regulatory and State Pollutant Discharge Elimination Treatment System upgrades at all eligible non-City-owned wastewater treatment plants. DEP performs these activities with the assistance of the Environmental Facilities Corporation for all 102 treatment plants, as part of the 1997 MOA.
 - In the West of Hudson watershed, DEP tracks the 34 eligible non-City-owned wastewater treatment plants by the amount of flow generated. Of the total wastewater flow generated by these wastewater treatment plants, 80.8 percent comes from four plants in the villages of Walton, Delhi, Hobart and Stamford. By the end of December 2001, construction of tertiary treatment facilities had begun at those plants. DEP projects that 83 percent of the wastewater flows in the Catskill/Delaware watersheds will be upgraded to tertiary treatment by the end of the second quarter of Calendar 2002, in substantial compliance with federal Environmental Protection Agency (EPA) Filtration Avoidance Determination mandates.
 - There are 68 non-City-owned wastewater treatment plants in the East of Hudson watershed that will be upgraded. With the exception of five facilities whose flow may be diverted out of the watershed, all facilities are in the design phase. Construction is expected to begin in Calendar 2002.

Kensico Reservoir

- DEP has 11 programs to identify any possible threat to water quality and ensure the safety of the Kensico Reservoir, which acts as a final settling and detention basin.
 - In Spring and early Summer 2001 DEP initiated a house-to-house septic system survey in the Kensico Reservoir watershed and found no additional failing septic systems.
 - Stormwater runoff and pollutants from the Westchester County Airport are closely monitored. During the reporting period DEP continued to monitor stormwater runoff quality and collect groundwater samples at various locations at the County Airport to test for any possible substances that may affect the water supply.

Water Filtration

- DEP must comply with the federal consent order decree that mandates the filtration of the water provided by the new Croton Aqueduct from the East of Hudson reservoirs that make up the Croton system. In February 2001 a New York State Court of Appeals announced that the City could not site the filtration plant at the Mosholu Golf Course in Van Cortlandt Park in the Bronx, as originally planned, without State legislation. In December 2001 a supplement to the consent decree was filed in a Brooklyn federal District Court. The supplement commits the City to pursue two alternative sites, in addition to the Mosholu site, for the Croton filtration facility: one site in the Bronx, adjacent to the Harlem River; and the other site in the town of Mount Pleasant in Westchester County.

DEPARTMENT OF ENVIRONMENTAL PROTECTION

- In Fiscal 2001 DEP submitted a preliminary Draft Environmental Impact Statement to EPA for the Catskill/Delaware Filtration Plant. In August 2001 EPA announced that DEP would not be required to complete final design of a filtration plant for the Catskill/Delaware water supplies.

Delaware Aqueduct

- The Delaware Aqueduct is a tunnel that connects the Rondout Reservoir to the West Branch Reservoir. During the reporting period, DEP continued to ensure the proper delivery of water to the City.
 - DEP executed a contract for the construction of an autonomous underwater vehicle (AUV) to inspect the aqueduct while it is filled with water. The manufacturing and testing of the AUV is on schedule for completion by October 2002 for inspection of the 45-mile tunnel.
 - DEP also performed acoustic testing as well as shaft and limited tunnel inspections by a remote operated vehicle. These investigations will aid in optimizing the imaging and sensing technologies that will be carried by the AUV.
 - The Department met with specialized drilling experts to discuss a deep rock geological boring program, which will be used to determine tunnel stability and conduct external repairs to the tunnel.

CUSTOMER SERVICES AND BILLING

Water and Sewer Billing

- The Department's automated Customer Information System manages 827,723 water/sewer customer accounts. There are 724,979 metered accounts and 102,744 flat-rate accounts.
- During the first four months of Fiscal 2002 DEP's Water and Sewer Billing Call Center received an average of 27,658 calls each month, a 12 percent decrease from the same period of Fiscal 2001. The average waiting time to speak with a customer service agent decreased to 6 minutes and 52 seconds in the first four months of Fiscal 2002, compared to 9 minutes and 8 seconds during the same period in Fiscal 2001.
- The total number of estimated water/sewer bills has dropped steadily, from approximately 42 percent at the end of Fiscal 1996 to 18 percent during the first four months of Fiscal 2002.
- The Department continues to work with the Law Department and the Department of Finance to sell delinquent water/sewer liens. DEP received \$2.4 million in payments from lien sales during the first four months of Fiscal 2002. DEP refunded \$160,000 in payments for readjusted lien sales from previous years.
- During the first four months of Fiscal 2002 the Department continued to develop collection programs. DEP's collection unit made 1,016 calls and sent 478 letters to delinquent customers. DEP and the Sheriff's Office jointly sent letters to 55 accounts. An additional 68 cases were referred to a private law firm to pursue personal judgments against property owners. These programs have yielded over \$22.6 million in collections from accounts that had delinquent charges. The Water Board also contracted with a consultant to integrate the results of these pilot programs (together with procedures in use in other jurisdictions) into specifications for procedures and automated systems, which will be able to process larger volumes of delinquent account cases effectively.

DEPARTMENT OF ENVIRONMENTAL PROTECTION

- DEP continued its privatized meter reading program in Staten Island and the Bronx during the first four months of Fiscal 2002. Since its inception in Calendar 1998 the program has generated savings of approximately \$480,000 annually. The Department awarded a contract in August 2001 to expand the program to all boroughs. Privatized meter readings began in Manhattan and Queens in November and December 2001, respectively; DEP's vendor began reading meters in Brooklyn in February 2002.
- During the first four months of Fiscal 2002 the Department continued its residential water survey program, which offers a range of free services that help customers conserve water in their homes. During the reporting period 16,107 water surveys were completed and 3,199 water savings kits were distributed. The Department also continued marketing the services through an insert in its water/sewer bills. As a result of DEP's efforts, requests for these services increased.
- During the first four months of Fiscal 2002 DEP and contractors installed 6,914 water meters, compared to 12,260 during the same period of Fiscal 2001. Property owners that have failed to either install meters or obtain a work order to install a meter were surcharged 100 percent on their annual bill. At the end of October 2001, there were 12,000 outstanding work orders to install meters.

DEP Help Center

- During the reporting period DEP Help Center customer service agents answered 95 percent of incoming calls, the same as compared to the first four months of Fiscal 2001. A total of 81 percent of the calls were answered within 20 seconds during the first four months of Fiscal 2002, compared with 73 percent during the same period of Fiscal 2001.

RESERVOIR CAPACITY AND CONSUMPTION

- Precipitation in the watershed was 10.83 inches during the first four months of Fiscal 2002, compared to 14.5 inches during the same period of Fiscal 2001. By the end of December 2001 the City's reservoirs were at 43.9 percent of capacity, compared to the average normal capacity of 77.6 percent.
- The average daily water consumption within the City was 1.220 billion gallons per day (BGD) during the first four months of Fiscal 2002, compared with 1.293 BGD during the same period in Fiscal 2001.
- As part of its water quality monitoring program, DEP collected 22,392 water samples during the first four months of Fiscal 2002, compared to 22,655 samples during the same period of Fiscal 2001.

CITY TUNNEL No. 3

- City Tunnel No. 3 is the largest capital construction project in the history of the City and will help to ensure that New York City residents will continue to be served by the finest water delivery system. Planning for City Tunnel No. 3 began in the early 1960s and actual construction began in 1970. The first two stages of this construction are devoted to improving the City's water distribution system.
 - Stage I improved the distribution capability of the water system. It begins at the Hillview Reservoir in Yonkers, extending south through the Bronx; it continues into Manhattan and the East River, and Roosevelt Island into Astoria, Queens. Stage I became operational in August 1998.

DEPARTMENT OF ENVIRONMENTAL PROTECTION

- Stage II will provide additional delivery capacity to the West Side of Manhattan and sections of Queens, Brooklyn and Staten Island. More importantly, Stages I and II will provide bypass capability to either City Tunnel No. 1 or No. 2, which is essential to maintain the entire water supply system and avoid potential problems. Stage II will consist of two sections, or legs, to be constructed separately at a total cost of \$1.5 billion. The Manhattan leg will start at a previously constructed shaft in Central Park, run south along the East Side to the City Hall area and then north along the West Side, terminating in the vicinity of West 60th Street and Amsterdam Avenue. Bids for part of the Manhattan leg were opened in August 2001 and the contract was awarded in December 2001. Completion of this portion is scheduled for Calendar 2010. The Brooklyn/Queens leg of Stage II extends from Western Queens and continues south to Red Hook, Brooklyn where it connects with the previously constructed Richmond Tunnel, serving Staten Island. The Brooklyn/Queens leg has been excavated, lined and will begin delivering water in Calendar 2004. There are currently three contracts to install equipment for the Brooklyn/Queens shafts.

WATER AND SEWER OPERATIONS

- During the first four months of Fiscal 2002 the Department's leak-detection crews surveyed 8.9 million linear feet of water main, compared with 7.4 million linear feet during the same period of Fiscal 2001. As a result, 10 potential water main breaks and 77 leaks were detected, saving 3.6 million gallons of water per day during the first four months of Fiscal 2002. DEP leak detection crews discovered 22 water main breaks during the first four months of Fiscal 2002, compared to 16 breaks during the same period of Fiscal 2001.
- The Department received 3,600 catch basin complaints during the first four months of Fiscal 2002 and resolved 97.2 percent of the complaints within 30 days. In comparison, it received 4,018 complaints during the first four months of Fiscal 2001, resolving 94.5 percent within 30 days.
- During the first four months of Fiscal 2002 DEP cleaned 17,076 catch basins, compared with 12,695 catch basins during the same period of Fiscal 2001.

LANDFILL REMEDIATION

- The Department is remediating three former Department of Sanitation landfills, located at Pennsylvania Avenue and Fountain Avenue in Brooklyn and Brookfield Avenue in Staten Island.
 - Construction of the Pennsylvania Avenue Landfill pier was completed in February 2001. The pier will be the off-loading point for barges transporting cover material to the landfill. DEP began construction of a leachate collection and treatment system in early Calendar 2001; work is expected to be completed in late Spring 2002. The leachate will be collected along Fresh Creek Basin, treated on site and pumped directly to the 26th Ward Sewage Treatment Plant. DEP also awarded a contract for capping and closing the landfill in November 2001 and expects work to begin in March 2002.
 - Construction of the Fountain Avenue Pier began in October 2001 and is expected to be completed by October 2002. DEP awarded a contract for capping and closing the landfill in June 2001 and expects work to begin in April 2002.
 - The New York State Department of Environmental Conservation (DEC) has not yet issued a Final Remedial Action Plan for the Brookfield Avenue Landfill. DEC expects to issue a Record of Decision by April 2002. When the final action plan is issued, the project will move into the Remedial Design Phase.

ENVIRONMENTAL REVIEW

- Acting as the lead agency, the Department initiated 21 new and completed 20 pending environmental reviews in accordance with City Environmental Quality Review procedures during the first four months of Fiscal 2002, compared with eight reviews initiated and 12 reviews completed during the same period of Fiscal 2001.
 - During the first four months of Fiscal 2002 DEP received 17 requests for technical assistance and completed 14 requests for technical assistance for which it did not act as lead agency. In the first four months of Fiscal 2001 the Department received 10 requests for technical assistance and completed 17 requests for technical assistance.
- The Department plans to continue environmental assessment work for water quality improvement projects in Fiscal 2002. These projects include the combined sewer overflow abatement program and nitrogen management programs and upgrades to the Hunts Point, Wards Island and the 26th Ward Water Pollution Control Plants. DEP will also perform additional environmental reviews for siting the Croton Water Filtration Plant.

WASTEWATER TREATMENT

- DEP owns and operates 14 sewage treatment plants within the City. All but one, the Newtown Creek Plant in Brooklyn, have been upgraded or built to provide full secondary treatment of sewage in accordance with the applicable State and federal regulations. An interim upgrade is underway at Newtown Creek to keep the plant operating efficiently while the long-term plan to achieve full secondary treatment is developed. Upon completion of the final upgrade, the Newtown Creek Plant will provide full secondary treatment in order to improve water quality.
- The following plants are either in the design or construction phase of capital projects: North River and Wards Island in Manhattan; Tallman Island, Jamaica and Bowery Bay in Queens; Hunts Point in the Bronx; and Coney Island, Owls Head and 26th Ward in Brooklyn. The upgrade of these facilities will include equipment replacement, odor control and the installation of additional controls to improve performance and reliability. Additionally, the nitrogen capability at the four Upper East River plants (Wards Island, Tallman Island, Bowery Bay and Hunts Point) and the 26th Ward plant in Jamaica Bay will be improved. North River, Coney Island and Owls Head are in the final phases of being upgraded and the remaining plants are in various design and construction phases. In Calendar 2001 DEP began the facility planning stage for the Staten Island plants of Port Richmond and Oakwood Beach, the Rockaway treatment plant in Queens and the North River plant in Manhattan.
- To reduce the nitrogen loadings in Long Island Sound, DEP will bid a two-year contract by the end of Fiscal 2002 to haul centrate, a sludge residual, between wastewater treatment plants. This contract, made necessary by the nitrogen discharge levels from dewatering facilities located on the Upper East River and Jamaica Bay, will allow centrate to be removed to treatment plants on receiving waters with a lower nitrogen content than other areas. The contract will ensure that all plants will meet the State Pollutant Discharge System permit limits for nitrogen.
- During the reporting period DEP continued the program to control combined sewer overflows (CSO). CSOs are formed when the rainwater drained from the street combines with the sanitary drainage from homes and businesses that is carried in the same system of pipes. During heavy rainfalls, part of this combined flow is directed to City treatment plants, and the remainder is discharged into the surrounding waters as CSOs. The City has gradually increased its capture of the mixture of rainwater and sanitary sewage that flows through the combined sewer system during wet weather. In 1987 the City captured and treated only 18 percent of the wet weather flow. Currently the City captures and treats 55 percent of the wet weather flow.

DEPARTMENT OF ENVIRONMENTAL PROTECTION

- In Fiscal 2001 DEP continued construction of a 28.4 million-gallon underground CSO storage tank facility beneath Flushing Meadows-Corona Park in Queens. The CSO storage tank will substantially reduce combined sewer discharges into Flushing Bay. In November 2001, as part of the last phase of the project, DEP awarded a contract to complete tank construction and equip the CSO facility. Work is expected to begin in April 2002.
- The design of an underground tank that will greatly reduce CSO into the Paedergat Basin in Brooklyn, a tributary of Jamaica Bay, is also underway. DEP completed construction of influent channel structures, the first phase of the project, in December 2001. During the reporting period DEP opened bids on a contract for the foundation and substructure of the underground tank; work is expected to start in Spring 2002.
- During the first four months of Fiscal 2002 DEP continued two pilot projects and began evaluation of a third pilot concerning the cost effectiveness of making wastewater treatment plant operations more efficient.
 - One pilot, the 100 Percent Critical Maintenance Program, will be expanded to all plants. Under this initiative, DEP will perform 100 percent of scheduled maintenance tasks on equipment that has been identified as critical to meet a plant's permit conditions. In conjunction with DEC, DEP is developing lists of critical equipment on a plant-by-plant basis.
 - The Maintenance Planner Pilot has been successful at the Red Hook plant in Brooklyn. This pilot enables a senior maintenance supervisor to plan maintenance jobs two weeks to one month in advance using a computerized maintenance system (CMS). Expansion of this pilot is pending the replacement of the current CMS with a more user-friendly version.
 - DEP is also evaluating the effectiveness of the Predictive Maintenance Pilot, which uses vibration analysis, thermography and other predictive techniques to determine needs for maintenance. Thermography tools and vibration analysis tools are being purchased, and training for these methods will be provided to ensure more widespread implementation.
- During the first four months of Fiscal 2002 DEP continued its Grease Reduction Enforcement and Education Strategy program to prevent illegal grease discharge into the sewers from restaurants. DEP redeployed personnel to conduct unannounced inspections of restaurant grease disposal systems. DEP also distributed a series of brochures and pamphlets at public outreach meetings that detail monetary penalties for dumping grease and step-by-step instructions for compliance.
 - Since the initiative began in May 2000, DEP has inspected 3,428 restaurants in targeted areas citywide, resulting in the issuance of 2,316 Commissioner's Orders by December 2001. The warnings advise restaurant owners to install grease traps. Additionally, 565 notices of violation were issued for failure to install and/or maintain grease traps properly. DEP reinspected all of the restaurants within 90 days after they were originally inspected and found 96 percent compliance.

ENVIRONMENTAL COMPLIANCE

- DEP maintains a facility inventory database of hazardous substances at 5,359 locations citywide. A total of 2,023 inspections were conducted through the City's Right-to-Know Law program during the first four months of Fiscal 2002, compared to 859 inspections during the same period of Fiscal 2001. During the reporting period, DEP entered into a Memorandum of Understanding with Con Edison to conduct inspections at 44,454 underground vaults with transformers and/or other equipment utilizing fluids containing hazardous materials. This information will be maintained in a separate database. As a result of the expanded workload, more inspectors were hired, resulting in an increased number of inspections, when compared to the prior reporting period.

DEPARTMENT OF ENVIRONMENTAL PROTECTION

- The Department continued its participation in the City's Multiple Agency Response to Community Hotspots (MARCH) initiative, which coordinates agency responses to quality-of-life problems in locations identified by communities. DEP works in collaboration with the New York City Police Department and other agencies to inspect these locations; it also enforces compliance with the appropriate sections of the air and noise code. DEP participated in 13 MARCH inspections citywide during the first four months of Fiscal 2002. The Department has participated in a total of 242 inspections since the inception of MARCH in Calendar 1997.

ENVIRONMENTAL CONTROL BOARD

- During the first four months of Fiscal 2002 the Environmental Control Board (ECB) continued to work to improve its operations and increase efficiency.
 - ECB continued training its Administrative Law Judges to hear all types of cases in order to increase their availability for hearings.
 - ECB began computer training in critical software programs for all staff in Fall 2001. ECB expects to complete training in Spring 2002.
 - ECB continued adjudicating by mail, instead of through hearings, for certain types of cases. The program's expansion to include more complex cases, such as violations issued by the Department of Buildings, was delayed in order to resolve operational issues. This project is now underway; completion is scheduled for Spring 2002.

PEST CONTROL INITIATIVES

- In April 2001 the City reactivated the West Nile Virus Task Force, a multi-agency effort chaired by the Mayor's Office of Operations. Originally established in June 2000, the Task Force enhances coordination between the Department of Health (DOH) and 22 other City and quasi-governmental agencies in responding to standing water complaints, develops strategies to remediate large properties that are potential mosquito breeding grounds, provides integrated enforcement and prevention capabilities, and takes other actions to minimize the threat of the virus.
 - As a participant in this Task Force, DEP samples for mosquito larvae at all wastewater treatment plants on a weekly basis.
 - As a preventive measure, wastewater-processing tanks were stocked with mosquito-eating fish.
 - DEP coordinated with DOH to apply larvicide to all catch basins citywide. DEP also applied larvicide around its wastewater treatment plants.
- DEP, as part of the Rodent Control Task Force, continued its efforts during the reporting period. Established in June 2000, the Task Force is comprised of over 15 City agencies and quasi-agencies and is chaired by the Mayor's Office of Emergency Management, the Mayor's Office of Operations and the Department of Health. It coordinates Integrated Pest Management practices, including assessment, abatement and eradication activities.
 - As a participant in this Task Force, DEP inspected and cleaned catch basins and, where necessary, DOH baited the cleaned catch basins.

TECHNOLOGY

- The City's new digital basemap covers the City and surrounding waterways. During Fiscal 2001 DEP delivered the new basemap to the Department of Information Technology and Telecommunications, which is responsible for the maintenance and distribution of the map.
 - Conversion of address data continued during the reporting period; completion is scheduled for Fiscal 2002. A vendor will begin registering DEP's map of the City's water mains to the new basemap in Fiscal 2002. A Request for Proposals (RFP) for this project was released in November 2000. Work will proceed upon approval of capital funds and contract registration.
- In October 2000 DEP finalized its RFP to develop a map of the sewer system. After an evaluation by a Technical Advisory Committee, a consultant was selected in July 2001. The consultant contract is under review by oversight agencies. DEP anticipates work will commence by the end of Fiscal 2002.
- DEP plans to link the complaint and asset data maintained within its automated complaint system to the new Geographic Information System (GIS). Phase I of the project, which began in May 2001, includes the input of asset data onto DEP's system; it will be completed in Spring 2002. Phase II will link DEP's asset data to GIS. Upon approval of funds, work is expected to begin in Spring 2002. The link to GIS will allow data to be viewed and analyzed on a geographic basis. DEP will also be able to review complaint information when planning major infrastructure repairs.
- The Department established email communication between its 24-hour complaint center and two community boards in July 2001, allowing community boards to directly enter complaints to the complaint database. DEP made this service available to the remaining community boards; to date, no other community boards have expressed interest in e-mailing DEP.
 - The Department also plans to begin providing Web-based access to all community boards in Fiscal 2003. Once implemented, the Web-based access will simplify reporting and allow community boards to check the status of complaints.
- In December 1999 DEP completed the replication of the Air Facilities System (AFS) database currently used by DEC to issue permits to owners of stationary sources that have air emissions, such as boilers, fuel burning equipment and motors. AFS has been modified to issue permits pursuant to the City's air code, track renewal dates and generate renewal notices. Although the new system is fully compatible with the one used by DEC, they are not linked. A Web-based project to link the systems will begin in Calendar 2002.
- During the first four months of Fiscal 2002 DEP received 679,047 page views on NYC.GOV, the City's official Web site, an 84 percent increase compared to 368,635 page views during the same period of Fiscal 2001. The site has become an integral part of the Department's public information efforts.
 - In Summer 2001 DEP placed four forms online as part of its Asbestos Control Program. The downloadable forms can be completed online, printed and filed with the Department of Buildings and DEP. As part of this effort, the Department also began providing lists online of certified asbestos investigators, contractors and firms.
 - During the reporting period the Department began participating in the Citywide Accountability Program with the implementation of the DEP Productivity Review and Efficiency Program. DEP publishes five performance indicators on its Web site monthly.
- DEP's Interactive Voice Response telephone system allows customers to obtain water billing meter readings, balances and payment history. During the first four months of Fiscal 2002 over 9,000 callers made use of these new features.

DEPARTMENT OF ENVIRONMENTAL PROTECTION

- Since Fall 1998 the Department has been conducting a pilot project that uses data-logging sensors to monitor the two trunk water mains under Fifth Avenue in Manhattan for leakage. Data-logging sensors routinely collect data used by the Department to repair small leaks without disrupting commerce or traffic. Since the inception of the pilot project, DEP has detected four leaks using the system, and has been able to make repairs while the leaks are relatively small and without disruption to commerce or traffic along Fifth Avenue. Phase I of the pilot includes the use of battery-powered sensors.
 - Phase II, scheduled to begin in March 2002, will connect the sensors to the local power grids. This early detection equipment allows DEP to analyze data, make repairs prior to major leaks or pipe failure, and reduce repair costs.
- In Fiscal 2001 DEP successfully piloted its Design and Construction Management System on the Newtown Creek construction project and began implementation of the module in August 2001. The system increases management effectiveness by providing authorized users a complete, searchable database of all project information; monitoring and tracking progress; retrieving required information from the database; routing documents to the project's team; producing reports electronically with increased efficiency; and notifying individuals of overdue items. The system is currently being expanded to include a change order module for construction and will be expanded for design work; staff training is ongoing.
- DEP is planning to outsource the permitting function for recreational use of the watershed properties, some of which DEP has acquired under the 1997 MOA. The MOA commits the City to make these properties available for recreation, such as fishing, hunting and hiking. This will enable DEP to better manage these properties by creating a reliable database for property management and enforcement by its Environmental Police Force. During the reporting period DEP modified the scope of the project and prepared bid specifications that will be released, pending budget approval.

FINANCIAL PLAN

- In the first four months of Fiscal 2002 the Department's expenditures were \$266.5 million, compared with its plan of \$281.9 million; the Department's Fiscal 2001 expenditures were \$633.2 million.
- The City's Financial Plan of February 2002 outlines expenditure savings and increased revenues of \$8.3 million in Fiscal 2002 and \$6.7 million in Fiscal 2003 primarily through an increase in the reimbursable fringe benefit rate. The Department has planned expenditures of \$702.1 million for Fiscal 2002 and \$683.3 million in Fiscal 2003.

DEPARTMENT OF ENVIRONMENTAL PROTECTION

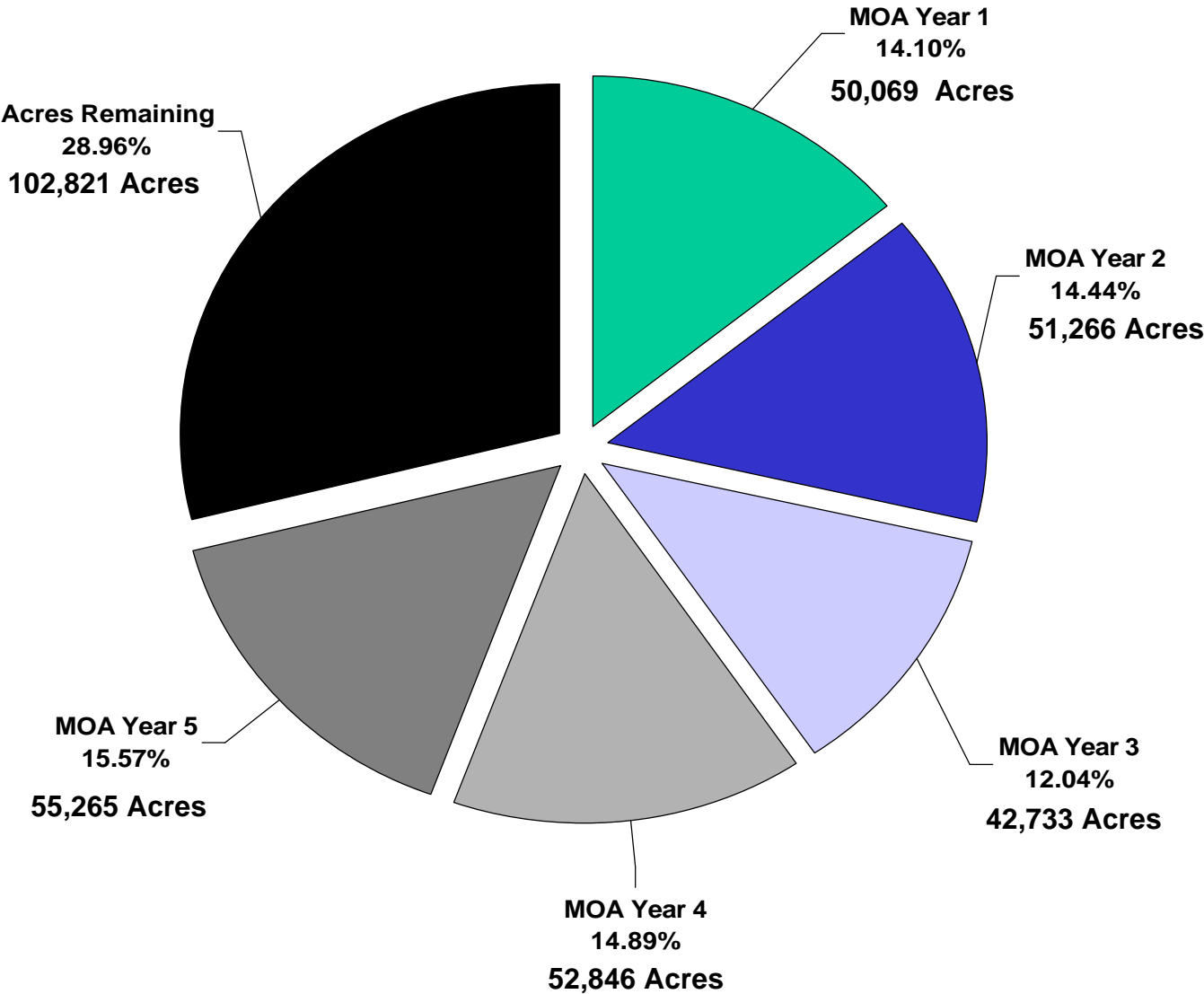
LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Resolve Leak Complaints Requiring Excavation in 30 Days	84.1%	87.7%	86.7%	86.6%	90%	93%	89%
Hydrants Repaired or Replaced	17,284	14,641	13,936	14,569	14,912	4,749	4,408
Catch Basins Cleaned	60,427	66,171	56,004	45,256	41,323	12,695	17,076 (a)
Resolve Catch Basin Complaints Within 30 Days	85.9%	97.1%	97.4%	95.4%	95.2%	94.5%	97.2%
Sewer Backup Complaints Resolved Within 24 Hours	97.7%	99.5%	99.8%	99.8%	99.9%	99.9%	99.6%
Effluent Complying with Federal Standards	99.9%	99.9%	99.8%	99.9%	100%	100%	100%
Scheduled Preventive Maintenance Completed Each Month	69.2%	66.3%	64.3%	64.1%	68.5%	66.4%	66.5%
Compliance with State Standards for Dissolved Oxygen at Harbor Survey Stations	88%	91%	89%	89%	94%	84%	54% (b)
Percent of Complaints Responded To – Air	81%	97%	97%	100%	98%	97%	93%
Percent of Complaints Responded To – Noise	102%	83%	88%	100%	97%	99%	93%
Percent of Complaints Responded To – Asbestos	98%	99%	100%	100%	100%	100%	100%
Number of Meters Installed	42,871	18,394	28,874	40,972	34,377	12,260	6,914 (c)

- (a) Due to the success of the Department's community board catch basin cleaning and hood inspection program, DEP received fewer catch basin complaints, which allowed more regularly scheduled catch basins to be cleaned.
- (b) The unexpected warm and dry season resulted in a lower percent of harbor survey stations in compliance with State standards for dissolved oxygen.
- (c) Continued reluctance from unmetered account customers to install meters resulted in fewer installations than the previous fiscal year.

Department of Environmental Protection

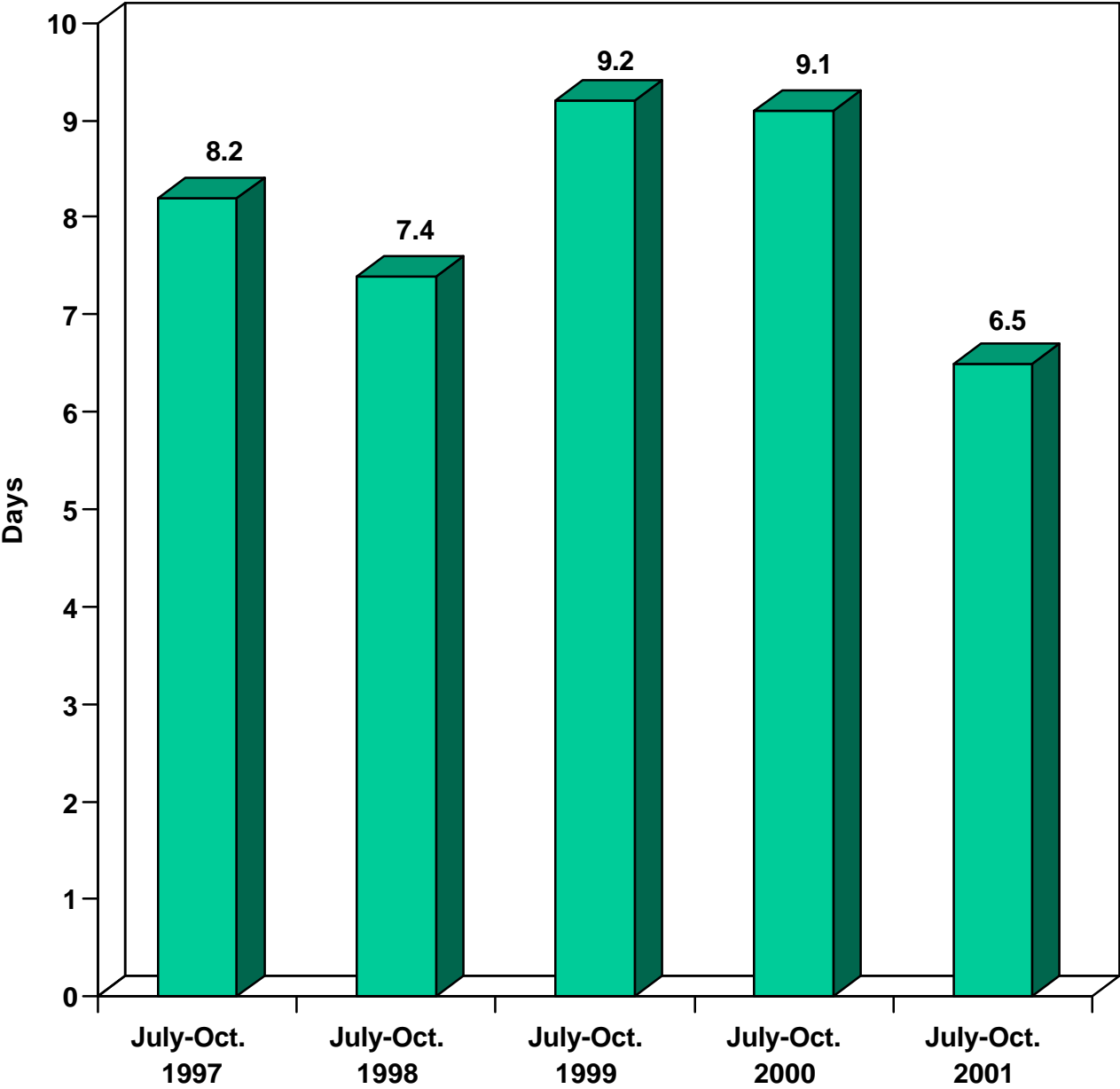
Land Acquisition Stewardship Program Acres Solicited Memorandum of Agreement (MOA) Years 1-5*



The MOA was signed on January 21, 1997. The MOA year begins on January 21st and ends on January 20th of the following year. DEP has met all of its solicitation goals since the MOA was signed.

Department of Environmental Protection

Average Time from Catch Basin Complaint to Completion in Days July - October 1997-2001



DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

The Department of Housing Preservation and Development works to maximize the production of affordable housing in New York City by encouraging cost-effective development. The Department also promotes the preservation and improvement of the existing housing stock by providing loan assistance, education and code enforcement. In conjunction with these housing objectives, the Department supports a comprehensive community development agenda by conveying City-owned properties, both occupied and vacant, to responsible private owners, while promoting retail development, home-ownership initiatives and productive community partnerships.

As the nation's largest municipal housing agency, the Department works with private, public and community partners to strengthen neighborhoods and enable more New Yorkers to become home owners or to rent well-maintained, affordable housing.

GOALS AND OBJECTIVES

Goal: Reduce the number of residential buildings owned and managed by the City.

Objective
Reduce the number of units in occupied buildings in Central Management to 5,695 in Fiscal 2002.
Sell a total of 246 buildings, primarily occupied, comprised of 2,704 units in Fiscal 2002, through the City's various disposition programs to private owners.
Through the Building Blocks Initiative, sell 2,689 units to private management and take in 2,322 units from Central Management in Fiscal 2002.
Reduce the number of units in vacant buildings in Central Management to 4,389 in Fiscal 2002.
Sell 73 vacant buildings with 192 units through the CityHome, HomeWorks and StoreWorks programs in Fiscal 2002.

Goal: Provide direct financial assistance to encourage the preservation and development of affordable housing in the City.

Objective
Begin the rehabilitation of 5,660 units, and complete 3,149 units, in privately owned housing through the provision of low-interest financing in Fiscal 2002.
Begin the construction of 1,183 new units, and complete 1,255 units, in one- to four-unit owner-occupied homes through New York City Partnership New Homes and other programs in Fiscal 2002.

Goal: Enforce compliance with housing quality standards.

Objective
Conduct 2,200 field inspection visits per each code enforcement team in Fiscal 2002.
Ensure that at least 95% of emergency conditions in private dwellings (Class C violations), requiring repairs, are either verified by the tenant as corrected, or corrective action is initiated by the Department, in Fiscal 2002.
Open 12,000 new code compliance cases and close 10,000 cases in Fiscal 2002.
Collect \$1.8 million in judgments and settlements in the Housing Litigation Division in Fiscal 2002.

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

Goal: Improve the quality of affordable housing by preventing the abandonment of properties by owners.

Objective

Initiate five *in rem* actions under the modified *in rem* statute against 400 properties to encourage private investment in upgrading distressed properties in Fiscal 2002.

Survey buildings that may be in a state of distress based on indicators such as high tax arrears and violations.

Offer owners of distressed buildings education, counseling, subsidized loans and voluntary agreements to improve their management skills and their buildings; commence litigation against uncooperative owners.

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- In response to the devastating effects of the September 11th disaster, the Department of Housing Preservation and Development's (HPD) agency functions continued, and HPD established a relief center within 24 hours and provided food, clothing, shower facilities and sleeping areas to fire, police and sanitation personnel, utility workers and medical personnel. HPD staffed the center around the clock and had 5,500 visits from emergency workers.
- The Department is providing relocation assistance to households forced from their homes in Lower Manhattan by the September 11th disaster. HPD has also provided Section 8 rental subsidies to all income-eligible households, threatened with eviction, which suffered a 25 percent or greater reduction in income from a job or jobs located south of Canal Street. Through January 2002, approximately 1,200 households have made requests for assistance, and 650 have been found eligible to apply for Section 8. HPD has begun inviting those households to apply for assistance, and 52 have already received vouchers and housing search assistance.
- As of November 15, 2001, HPD's Division of Code Enforcement inspected 605 residential buildings within the affected zone. The inspectors found the majority of the buildings safe for reoccupancy. These buildings had all essential services restored and no structural damage. At other buildings the inspectors found that landlords had contractors working to address the debris and dust conditions to facilitate the tenants' reoccupancy. In addition, HPD staff accompanied the Department of Health on inspections of 50 food establishments to allow access for cleanup due to rodent infestation and the resealing of the property with either padlocks or padlocks and chains to ensure the safety of the premises.

ANTI-ABANDONMENT

- During the first four months of Fiscal 2002 HPD continued to identify buildings at risk of abandonment and help owners achieve fiscal and structural soundness for their properties. HPD's goal is to provide an array of services to aid owners and to intervene aggressively when owners remain in noncompliance. HPD identifies, assesses and recommends remedies for at-risk buildings.

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

- One key anti-abandonment initiative is the Third Party Transfer Program. Through third-party transfer actions, the Department targets distressed buildings and other buildings with tax arrears. Outreach efforts by HPD staff and local nonprofit organizations are sometimes successful in convincing owners to pay their taxes in full or to arrange installment agreements to prevent their buildings from being transferred. When the owners do not pay the arrears, following *in rem* foreclosure, the properties are transferred to responsible new owners. There have been three third-party transfer actions filed since the program started in 1997; one of these actions is still underway. Thus far, a total of \$38.1 million has been collected from the 557 properties removed from the actions through payment of taxes and other municipal charges.
 - Usually 18 months elapse between the filing of actions and the transfer of buildings to new owners. The actions are scheduled so that the transfers take place in the second half of the fiscal year. However, due to World Trade Center-related events, in Fiscal 2002 about 100 transfers will be delayed until the first half of Fiscal 2003. Notice of Actions are usually filed by the Law Department with the Supreme Courts in each borough during the first four months of the fiscal year, but this year's actions were filed in November and December 2001.
- During the first four months of Fiscal 2002 HPD continued to expand its Housing Education Program (HEP), which teaches building owners, managers and superintendents the basic management, maintenance and building finance skills necessary to improve their properties. Through 13 course sections offered during the first four months of Fiscal 2002, HEP enrolled 683 participants, compared to 512 in the same period of Fiscal 2001. Property-owner training covering building safety, fire safety, building and financial management, basic repairs, narcotics control, sanitation, successful landlord/tenant relations, record keeping and Housing Court was offered during the reporting period. In addition, a new course, Small Property Owners Training, was offered as a five-session seminar for the owners of one- to six-unit unit family dwellings. Held in Summer 2001, this course had 70 participants.
 - HEP continued using interactive television and video technology to increase the number of owners who are able to participate in its training programs. This technology links classrooms throughout the City and enables a single teacher at one location to teach students at remote sites. Students at various locations, currently Hunter College, Lehman College, and the Borough of Manhattan Community College, are able to engage in discussions with the teacher as well as with students in other classrooms. During the first four months of Fiscal 2002 HPD was unable to offer classes at any of these sites due to major damage to the Department of Information Technology and Telecommunications' fiber optic wiring, resulting from the September 11th disaster.
- In keeping with its increased focus on preservation efforts, the Department's Housing Litigation Division (the Division) opened 150 comprehensive actions against owners with buildingwide problems during the first four months of Fiscal 2002, compared to 179 actions during the comparable period last year.
- The Division supported 3,707 tenant-initiated actions during the first four months of Fiscal 2002, compared to 3,178 actions during the first four months of Fiscal 2001. The number of tenant-initiated actions are not under the Department's control and fluctuate from month to month and year to year.
- The Division did not initiate any heat and hot water cases during the first four months of Fiscal 2002, compared to 34 cases initiated during the first four months of Fiscal 2001.
- The Division collected \$398,211 in judgments and settlements during the first four months of Fiscal 2002, compared to \$454,364 during the first four months of Fiscal 2001.

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

SAFE AT HOME

- Safe At Home, a component of the City's comprehensive anti-drug strategy, combines concentrated housing development and preservation activity with intensified law enforcement efforts in targeted areas of Bedford-Stuyvesant and Bushwick in Brooklyn, and Morrisania in the South Bronx. This initiative promotes long-term community safety, stability and renewal in neighborhoods that were previously beset by illegal drug activities and building deterioration. Nonprofit organizations were selected to plan and coordinate community participation in each neighborhood. The Local Initiatives Support Corporation provided funding for the Bedford-Stuyvesant and Morrisania areas, and the Enterprise Foundation provided funding for the Bushwick areas.
- The City will invest more than \$100 million in new development and preservation activity through Safe At Home, building approximately 524 new housing units, renovating approximately 1,229 units in City-owned buildings slated for private ownership and creating a comprehensive Anti-Abandonment initiative. When combined with funding from other programs in the target areas, the City investment totals more than \$184 million.
- The Anti-Abandonment program staff conducted site assessments of all buildings in the three Safe At Home areas, where data reviews suggested possible building distress. Based on these reviews, the program has signed Voluntary Repair Agreements with 165 owners. Litigation has commenced against 32 owners unwilling to correct conditions, and rehabilitation loan applications have been submitted for 26 owners.

BUILDING BLOCKS INITIATIVE

- By the end of the reporting period the number of units in occupied buildings in Central Management had been reduced to 7,293, a decrease of 44 percent from the same period last year and 76 percent below the Fiscal 1994 level. HPD plans to reduce this number to 5,695 by the end of Fiscal 2002.
- As part of its Building Blocks Initiative, the Department continued to return occupied City-owned property from Central Management to private ownership by transferring buildings into alternative management programs before selling them. During the first four months of Fiscal 2002, 12 buildings with 78 units were sold through Building Blocks, compared to 54 buildings with 465 units during the first four months of Fiscal 2001. Due to budget restrictions, buildings scheduled for sale in Fiscal 2000 were delayed to Fiscal 2001, increasing the number of building sales in that year. HPD plans to reach its Fiscal 2002 Building Blocks target by selling a total of 2,689 units.
- HPD transferred 70 buildings with 896 units from Central Management into Building Blocks programs during the reporting period, compared to 38 buildings with 548 units during the first four months of Fiscal 2001. The increase was due to the rise in tenants applying to the Tenant Interim Lease Program, and an increased number of nonprofit organizations leasing properties earlier in the fiscal year.

HOMEWORKS, CITYHOME AND STOREWORKS

- The Department sells vacant City-owned residential properties to developers for rehabilitation and resale to private owners through home-ownership programs such as StoreWorks, HomeWorks and CityHome. During the first four months of Fiscal 2002 HPD sold 22 vacant buildings with 61 units through these home-ownership programs, compared to 26 buildings with 61 units during the same reporting period last year.

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

ANCHOR

- The ANCHOR Program revitalizes local commercial development in low- and moderate-income areas that receive substantial public and private housing investment and need additional retail services.
- A total of 9,000 square feet of commercial/retail space is currently under construction through the ANCHOR Program, compared to 79,000 square feet in the same reporting period last year. There are currently no ANCHOR home-ownership units under construction, compared to 257 units in the same reporting period last year.
- In the first four months of Fiscal 2002 HPD did not start construction of any commercial/retail space or ANCHOR home-ownership units. Construction of 84,000 square-feet of commercial/retail space and 255 ANCHOR home-ownership units is expected to begin by the end of Fiscal 2002, all of which were delayed from Fiscal 2001.

IN REM BUILDINGS

- As part of the Department's ongoing efforts to upgrade its *in rem* housing stock in anticipation of disposition, during the first four months of Fiscal 2002 the Department committed \$1.49 million to replace or repair 101 critical building systems, including elevators, boilers, roofs and entrance doors. In comparison, the Department committed \$4 million to repair and replace a total of 215 systems during the first four months of Fiscal 2001. In Fiscal 2001, there was a rollover of funds from Fiscal 2000, which allowed more systems to be replaced. HPD expects to spend \$6.84 million for the replacement or repair of 400 systems in Fiscal 2002.
- By December 2001 HPD completed heating-plant inspections in the Department's buildings where inspection is required by the Department of Buildings.
- During the reporting period HPD restored the operation of 149 heating plants through contractor repair, compared to 257 in the first four months of Fiscal 2001. The number of restorations is expected to decrease each year as a result of the continued disposition of *in rem* properties.

NARCOTICS CONTROL UNIT

- During the first four months of Fiscal 2002 staff of HPD's Narcotics Control Unit (NCU) screened and referred 77 formal complaints to the New York City Police Department, compared to 97 complaints in the first four months of the previous fiscal year. NCU also initiated 33 eviction cases by referring the evidence to HPD's Landlord Tenant Litigation Division, compared to 49 cases in the first four months of Fiscal 2001.
- During the first four months of Fiscal 2002 the Department brought 38 evictions of known drug traffickers and others involved in criminal activity to closure, compared to 57 evictions during the same period last year. HPD also reclaimed 98 apartments in City-owned buildings from illegal occupants as a result of its investigation of trespass actions, compared to 167 reclamations during the first four months of Fiscal 2001. As the number of centrally managed properties decreases, it is likely that these numbers will continue to decline.

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

- During the first four months of Fiscal 2002 HPD continued to conduct special training sessions for owners and property managers, including one session in the Brooklyn Safe At Home area and two sessions for TIL cooperatives and Housing Development Fund Corporations. NCU also continued to provide training courses sponsored by HPD's Housing Education Program. NCU surveys buildings to detect signs of drug dealing in specific Anti-Abandonment areas, selected 7A Program buildings, and targeted Safe At Home areas in the Bronx and Brooklyn. During Fiscal 2001 NCU surveyed all 195 distressed buildings in the Bushwick Safe At Home area.
- As a result of the complete survey of distressed buildings in Safe At Home areas, in the first four months of Fiscal 2002 NCU staff worked with 36 private owners of residential buildings, compared to nine private owners in the first four months of Fiscal 2001. NCU staff also worked with owners of 40 other buildings in areas identified by the Anti-Abandonment program and 7A properties, compared to eight private owners in the first four months of Fiscal 2001. As the number of centrally managed buildings decreases, NCU is able to use its skills to assist owners of distressed privately owned properties.

CODE ENFORCEMENT

- During the first four months of Fiscal 2002 the Department conducted 2,281 violation dismissal request inspections at the request of building owners who had corrected prior HPD violations, compared to 1,120 in the same period last year. The Division of Code Enforcement has no control over the volume of dismissal requests submitted by owners for inspections.
- The Department expects to verify the correction of, or initiate action to correct, 95 percent of emergency conditions in Fiscal 2002. Correction of an emergency condition is verified when the tenant confirms that the landlord has corrected the condition or when the emergency condition is reinspected and found to be corrected. When necessary, the Department's Emergency Repair Program performs the repairs.

LEAD PAINT

- Local Law 38 of 1999 repealed Local Law 1 and provided a new lead paint poisoning prevention program in the City. HPD created and implemented an enforcement program for Local Law 38 that included new enforcement protocols, promulgation of extensive regulations, and development of a new computer system to record and issue violations and track repairs. HPD began enforcement when the law went into effect in early November 1999.
 - All lead-based paint complaints are handled as priority emergency complaints. If an owner fails to make the required repairs within 36 days of notice, HPD will undertake the repairs and bill the owner.
 - In order to meet the inspection and repair requirements, 155 HPD staff members have been certified as Lead Abatement Workers, Lead Abatement Supervisors and Lead Inspector/Risk Assessors.
- In November 1999 a lawsuit was filed in New York State Supreme Court challenging the validity of Local Law 38. On October 11, 2000 the Court ruled that Local Law 38 was invalid because the City Council failed to comply with the State and City Environmental Quality Review Acts. The court order implementing that decision was entered in February 2001. The City sought and obtained a stay against enforcement of the order pending an appeal. The City has appealed the decision and legal briefs have been exchanged. The appeal was heard on October 25, 2001. Pending a decision, the City continues to enforce Local Law 38.

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

- The federal Title X Rules, which provide the requirements for compliance with the federal Residential Lead-Paint Hazard Reduction Act of 1992, became effective on September 15, 2000. The regulations require HPD to inspect housing units for lead hazards; initiate appropriate remedial action in housing units in which federal assistance is used to subsidize the operation, rehabilitation or rental of City and privately owned housing; implement safe work practices in removing lead hazards; and use trained and, in some instances, certified personnel to inspect and test housing units, prior to any federally funded repairs, to determine the extent of lead hazards.
 - HPD requested and received an additional extension of the effective date of the Title X requirements until April 10, 2002. The extension was necessary due to the unavailability of environmental firms involved in the cleanup of the September 11th disaster.
- In October 2000 the federal Department of Housing and Urban Development (HUD) awarded a new \$3 million grant for the City's Primary Prevention Program. This grant, along with required City matching funds, will be used to complete 397 units by the end of Fiscal 2003. The targeted neighborhoods under this funding include Bedford-Stuyvesant, Crown Heights, East New York, East Flatbush/Flatbush and Williamsburg/Bushwick in Brooklyn; Fordham/Bronx Park East in the Bronx; Washington Heights/Inwood in Manhattan; and West Queens and Jamaica in Queens. While no units were completed under this grant during the reporting period, HPD plans to complete 182 units by the end of Fiscal 2002.

SPECIAL INITIATIVES

- The Department continued its efforts to remove graffiti on City-owned buildings by power washing or painting over graffiti on buildings with painted exteriors. During the first four months of Fiscal 2002, 24 buildings received power-washing treatments and 62 buildings were treated using the paint-over method. Since the program's inception in Fiscal 1996, 172 buildings have received power-washing treatments; another 568 buildings have been treated using the traditional paint-over method, for a total of 740 buildings cleaned.
- Under the New York/New York II agreement, the City and the State will provide 1,500 beds for homeless mentally ill individuals. The City will provide 810 units over the next four fiscal years. Of these units, 310 have been constructed. An additional 500 units will be provided by HPD's Supportive Housing Program. Of these 500 units, 116 units are under construction and the remaining 384 units are either in design or under review.
- Through its new home-ownership initiative, HPD is seeking to expand the public's understanding of home-ownership opportunities and increase the potential for more New Yorkers to invest in their communities.
 - HPD worked with the Housing Development Corporation (HDC) to develop a brochure and Web site at NYCHOME.ORG to promote home ownership in New York City. Both feature information about owning or purchasing a home in the City, as well as highlight neighborhoods in each borough. HPD and the Department's community partners have distributed 10,000 copies of the "8 Steps to Homeownership" brochure. Due to the high demand for these brochures, another 10,000 were printed in September 2001 and are being distributed by HPD, housing counseling agencies in every borough, and banks. In the first four months of Fiscal 2002 there have been more than 137,000 views to the NYCHOME.ORG Web site.

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

- Due to events of September 11th and the resulting effects on telephone services and transportation, some of the home-ownership events planned for HPD's Homeownership Month, traditionally celebrated every September, were cancelled or postponed. The September 2001 events that were held included ribbon-cutting ceremonies at the opening of two residential developments in Manhattan, and a "cyber café" seminar that showcased the newly redesigned HPD Web site, NYC.GOV/HPD, and the NYCHOME.ORG home-ownership site.
- In April 2001 the City reactivated the West Nile Virus Task Force, a multi-agency effort chaired by the Mayor's Office of Operations. Originally established in June 2000, the Task Force enhances coordination between DOH and 22 other City and quasi-governmental agencies in responding to standing water complaints, develops strategies to remediate large properties that are potential mosquito breeding grounds, provides integrated enforcement and prevention capabilities, and takes other actions to minimize the threat of the virus.
 - As a participant in this Task Force, in the first four months of Fiscal 2002 HPD inspected all of its buildings, both occupied and vacant, for stagnant water and remediated potential mosquito breeding grounds. In addition, HPD completed initial inspections of all lots under its jurisdiction, and continues to monitor the conditions of these vacant lots on a biweekly basis.
 - HPD is contracting with fewer vendors for vacant lot rubbish removal as compared to previous fiscal years. The Department is currently using HPD Support Work Groups as the primary vehicle for removing rubbish and debris from vacant lots for greater efficiency and flexibility. Support Work Groups, which are under contract to HPD, can be more responsive to on-site changes and can coordinate the simultaneous cleaning of multiple adjoining lots.
 - During the first four months of Fiscal 2002 the HPD Support Work Groups removed rubbish, cleared weeds and cleaned a total of 407 vacant lots; 187 of which will also be treated for rodent and/or vermin infestation.
- HPD, as part of the Rodent Control Task Force, continued its efforts during the reporting period. Established in June 2000, the Task Force is comprised of over 15 City agencies and quasi-agencies and is chaired by the Mayor's Office of Emergency Management, the Mayor's Office of Operations and the Department of Health. It coordinates Integrated Pest Management practices, including assessment, abatement and eradication activities.
 - As a participant in the Task Force, HPD's Division of Property Management conducts monthly exterminations of all occupied City-owned buildings with three or more units and exterminates all vacant City-owned buildings upon request. During the first four months of Fiscal 2002 HPD exterminated six vacant City-owned buildings and issued 431 violations for privately owned buildings.
- In April 2000 HealthStat began to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, all City agencies and hundreds of community groups were mobilized to enroll eligible families and children in Child Health Plus and Medicaid. As a direct result of HealthStat activities, over 200,000 individuals have been enrolled in public health insurance programs.
 - Since July 2000 HPD has organized and participated in 50 HealthStat presentations and community events combined throughout the City to facilitate HealthStat enrollments. These enrollment events have included participation with churches, schools, health fairs, parks, children's summer registration programs, holiday and ethnic festivals, and an HPD tenant appreciation day celebration. Additionally, HPD has made 963 referrals, mailed 165,878 flyers and/or informational materials, responded to 20,472 telephone contacts, and helped to enroll 491 children.

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

- HPD is currently working with the Taxi and Limousine Commission to organize events throughout the City for the 125,000 drivers who are residents, providing information on adult health insurance as well as enrolling their uninsured children.
- In Fiscal 2001 HPD began the first phase of development at the 227-acre Gateway Estates site in East New York, Brooklyn. HPD generated \$9.6 million from the sale of a development site for Gateway Center, a 640,000 square-foot regional retail center. The development of Gateway Center, which will bring new jobs and retailers to the borough, will also finance new infrastructure improvements, including 17 acres of public parkland. On- and off-site infrastructure projects are currently under construction; completion is expected by the end of Calendar 2002. The retail center is also under construction; completion is expected in Fiscal 2003.
- In Fiscal 2001 HPD began to implement the Arverne-by-the-Sea plan for the 308-acre Arverne Urban Renewal Area in the Rockaways, Queens. Developed in consultation with an Arverne Working Group comprised of local elected officials, community leaders and City agencies, the plan calls for phased, mixed-use development of the largest vacant site in the City's urban renewal inventory. The plan includes new housing, commercial/retail space, recreational opportunities, open space and a completely rebuilt infrastructure.
 - During the reporting period HPD designated a development team in response to the Request for Proposals (RFP) for the 100-acre western portion of the site. HPD started the environmental review process for the project and expects to have environmental and land use approvals by Fiscal 2003.
 - In Fiscal 2002 HPD plans to release an RFP for the development of the central and eastern portions of the site financed largely from private sources.
- In Fiscal 2001 HPD reached an historic milestone in implementing the Cooper Square redevelopment project. Based on a plan developed by the Cooper Square Task Force, composed of local elected officials, community leaders and City agencies, the Cooper Square redevelopment plan will bring a maximum of 712 units of mixed-income housing, over 150,000 square feet of commercial/retail space, and a 30,000 square-foot community center to four vacant City-owned sites along Houston Street and East 1st Street on the Lower East Side in Manhattan.
 - In July 2000 HPD designated a development team for privately financed, new development of the site, pursuant to an RFP released in Spring 2000.
 - In Spring 2001 HPD began the Uniform Land Use Review Procedure (ULURP) process to secure the necessary public approvals for the project. The ULURP process was completed in Fall 2001. Construction is expected to begin in Fiscal 2003.
- In Fiscal 2001 HPD and a consultant team completed a detailed land use and environmental study of the former Schaefer Brewery site located on the East River waterfront in Williamsburg, Brooklyn. Redevelopment of the Schaefer Brewery site is part of HPD's efforts to identify brownfield sites that can be cleaned and restored to productive use as new housing. In Fall 2001 the agency finished the ULURP process to rezone the site for residential use. Construction is expected to begin on the 350-unit project in Calendar 2002.
- As part of the City's ongoing effort to revitalize the Bushwick neighborhood, HPD helped coordinate a design workshop with the International Brownfield Exchange Program, the Ridgewood Bushwick Senior Citizens Council, and Bushwick community leaders and residents.

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

- In October 2000 the workshop brought together architects and urban planners from around the world to share ideas about redevelopment and to create an optimal design for the former Rheingold Brewery site. The result was a comprehensive mixed-use design integrating affordable ownership and rental housing, neighborhood retail, community facilities and green space, all of which met with approval from elected officials, community leaders and neighborhood residents.
- The first stage of the project will be implemented through the Partnership/New Homes program in Fiscal 2002. HPD will develop approximately 162 units of new ownership and rental housing and grant tax exemptions to the homeowners on the site. The project will consist primarily of two-family homes, along with a smaller number of three-family homes and condominiums and both on- and off-street parking. Four new streets and new underground utilities will also be constructed to serve the new homes and neighborhood traffic. In October 2001 the ULURP application was approved, which will permit disposition of the property.
- More than 500 small homes, apartment buildings, brownstones and Single Room Occupancies in Harlem, Brooklyn, Queens and the Bronx may face foreclosure due to a scheme by corrupt mortgage brokers and nonprofit organizations that targeted HUD's 203(k) home mortgage insurance program. Those involved purchased properties and resold them at inflated prices, retaining the money that was intended to make necessary repairs. In December 2001 the federal and City housing agencies formed a partnership to save this housing. As part of the City's overall revitalization efforts, HUD, the City and private partners will invest nearly \$168 million to rehabilitate more than 500 properties with about 2,400 units. Rehabilitation for the first round of buildings is expected to begin in Summer 2002 and continue over the next five years.
 - HUD will acquire these properties upon foreclosure, and HPD will restore, market and sell the properties through successful existing City programs. HUD will commit \$130 million in development funds and \$7.7 million in anticipated sales proceeds to fully rehabilitate the properties to meet New York City's housing code. HPD will leverage \$30 million in private sector development funds. The City also intends to provide \$95 million in tax abatements to purchasers and developers and provide federally funded rental assistance for families who qualify.

CUSTOMER SERVICE AND TECHNOLOGY

- The HPD home page received 707,243 views during the first four months of Fiscal 2002, compared to 272,755 views during the same reporting period last year, a 159 percent increase. During the reporting period, HPD added RFPs for Permanent Housing for Homeless Families, the Third Party Transfer program and the Clinton Urban Renewal project as well as the list of properties that remain active from the Calendar 2000 (Round 3) third party transfer *in rem* foreclosures.
- In October 2001 HPD hosted its second annual housing conference, "Housing the Next Generation: Step into the Future of Housing and Community Development." The conference focused on the effect of changing demographics on housing and community development in cities in the United States and Western Europe.
 - Over 300 people attended the panel presentations daily and participated in discussions of many of the issues currently facing housing and community development professionals around the world. Conference participants came from England, Northern Ireland, Germany, Canada, Los Angeles, Houston, Chicago and Miami to share their experiences.
 - The conference included four sessions that addressed the topics of adapting to growth and change in cities, changing land uses, new approaches to community safety and developing local entrepreneurship. The keynote speech was given by the Assistant Secretary for Community Planning and Development at the federal Department of Housing and Urban Development.

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

- HPDInfo is a comprehensive agencywide management information system. It is being developed as a central clearinghouse for HPD's data. Currently HPDInfo includes modules for Code Enforcement, Emergency Repair and *in rem* building repairs. The Department is continuing to expand the scope of HPDInfo with additional applications.
 - In December 2001 HPD completed development of the Housing Education database that assists the Housing Education Services Unit in planning, scheduling, administering and managing building owners' training.
 - HPD plans to develop the Case Management System by the end of Fiscal 2003. The system will replace a 10-year old system for legal case tracking. It will utilize the centralized property, ownership and complaint information in HPDInfo, ensure the accuracy of information, reduce the amount of paperwork and data entry needed, and expedite the housing litigation process.
 - By the end of Fiscal 2002 the Work Order Tracking System will replace the older system to manage, track and report all business functions related to repair work performed by HPD maintenance staff on *in rem* buildings. Replacement of the current system will increase productivity and efficiency by reducing maintenance costs and the Department's dependency on an outdated system.
 - The Anti-Abandonment Distressed Building Tracking System is being developed to track the activities HPD performs for "At Risk" or distressed properties to prevent abandonment by the owner. Development is occurring on a module-by-module basis with full implementation expected to be completed by the end of Fiscal 2003.
- In December 2001 HPD expanded its e-government initiatives by providing Internet users with online access to privately owned building code violation and registration information. Building code violation information is also available to the Fire Department of the City of New York to supplement its building inspection program as well as to provide fire companies with violation information for emergency response situations.
- In Fiscal 2001 HPD initiated "Owner's Night," a series of presentations held each month in different neighborhoods throughout the City. The presentations are intended to familiarize local residential property owners with the programs and services available to them through HPD. Since the effort began in March 2001, HPD has held "Owner's Night" in Washington Heights and East Harlem in Manhattan, Bushwick and Ocean Hill Brownsville in Brooklyn, and Jamaica in Queens. Approximately 1,200 owners have attended the five events.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Department's expenditures were \$192.8 million, compared with its plan of \$160.5 million. The Department's Fiscal 2001 expenditures were \$417.7 million.
- The City's Financial Plan of February 2002 outlines expenditure savings and increased revenue of \$26.5 million in Fiscal 2002 and \$10.4 million in Fiscal 2003 primarily through more aggressive property tax enforcement in Fiscal 2002, and through funding source adjustments and increased asset sales and fees in both Fiscal 2002 and Fiscal 2003. The Department has planned expenditures of \$462.9 million in Fiscal 2002 and \$323.9 million for Fiscal 2003.

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

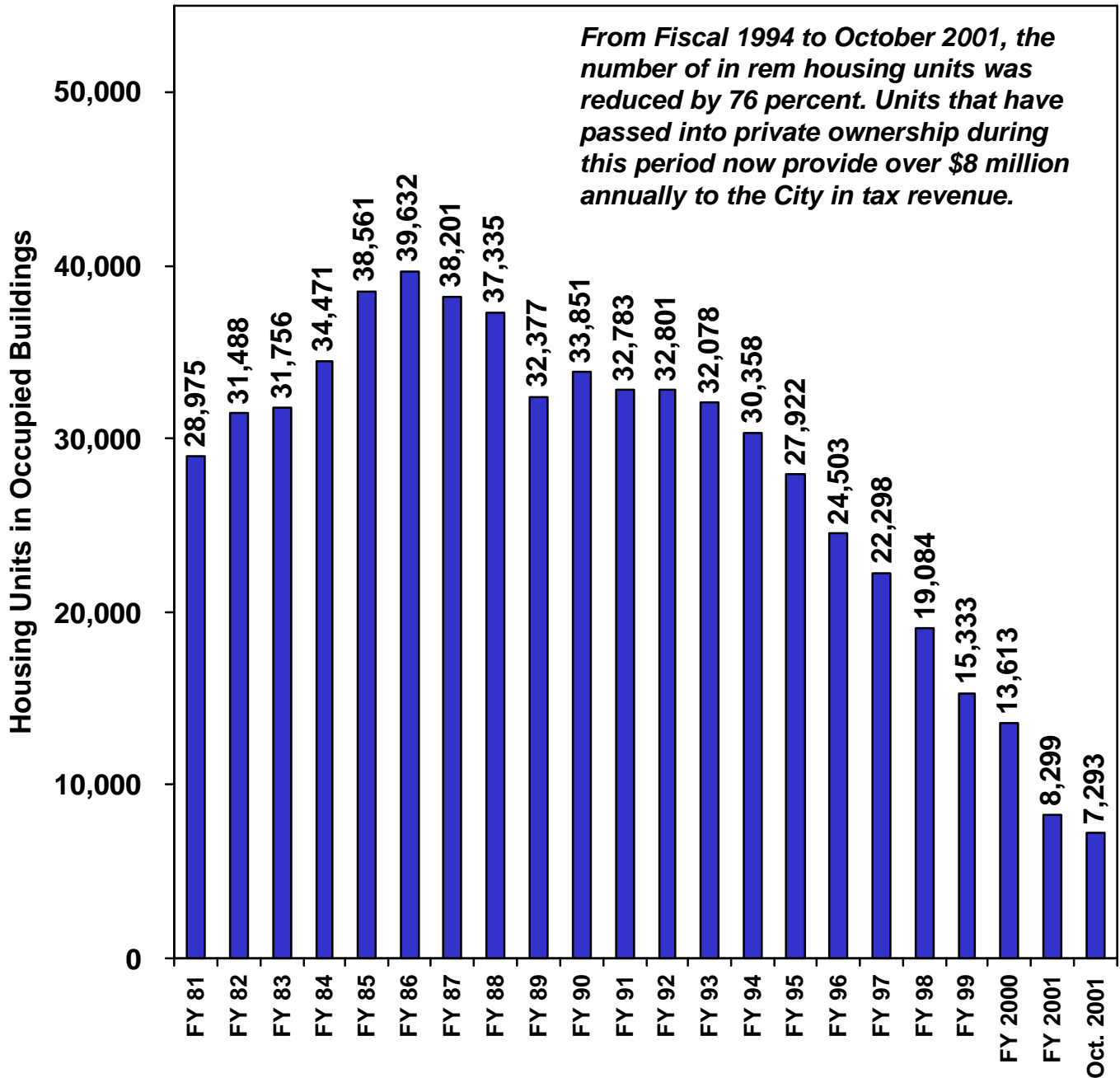
LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Vacant Buildings – Units (Estimates)	8,177	7,511	6,664	6,295	4,979	6,241	4,815 (a)
Occupied Buildings – Units	22,298	19,084	15,333	13,613	8,299	13,023	7,293 (a)
Code Compliance Cases Opened	10,288	9,925	12,238	12,733	13,445	3,475	3,933
Judgments and Settlements Collected (000)	\$2,239	\$1,892	\$1,854	\$1,840	\$1,910	\$454	\$398
Actions Initiated Against Properties Under the Modified <i>in rem</i> Statute (Actions/Properties)	1/174	0/0	5/312	6/321	4/392	0/0	0/0

- (a) From Fiscal 1997 to the first four months of Fiscal 2002, HPD has successfully reduced the number of units in vacant and occupied City-owned buildings by 41 percent and 67 percent, respectively. Through its Building Blocks Initiative, HPD has transferred buildings into alternative management programs before returning them to private ownership.

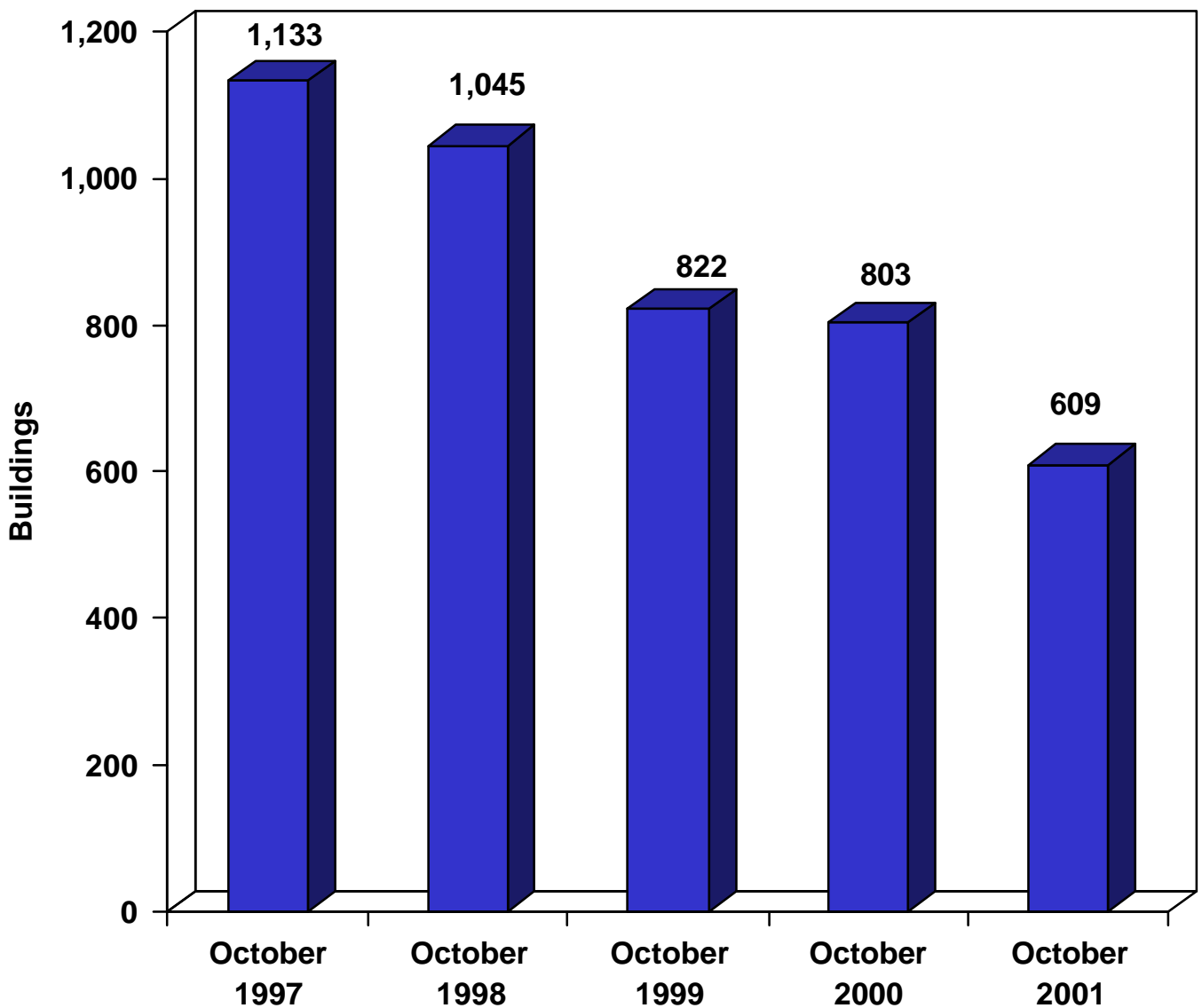
Department of Housing Preservation and Development

In Rem Housing Units Fiscal 1981 - October 2001



Department of Housing Preservation and Development

Vacant Buildings in Central Management October 1997 - 2001



SCHOOL CONSTRUCTION AUTHORITY

The New York City School Construction Authority constructs facilities for the City's public schools, maintaining high standards of safety, quality and performance. The Authority designs and constructs durable, functional and attractive new school buildings and additions to existing school facilities, as well as modernizes and repairs existing schools. The Authority abides by the schedules and budget mandated by the Board of Education's Five-Year Capital Plan, which outlines the number, size and location of schools to be built and renovated.

GOALS AND OBJECTIVES

Goal: Increase the school system's capacity through the construction of new schools, additions, and/or modernizations within the projected schedules and authorized budget outlined in the Board of Education's Five-Year Capital Plan.

Objective

Provide 6,152 new seats through the completed construction of seven new schools in Fiscal 2002.

Complete 2,562 new seats through the completion of a revised nine additions in Fiscal 2002.

Goal: Design and build exterior modernizations to preserve the existing infrastructure.

Objective

Start construction of 26 exterior modernizations in Fiscal 2002.

Complete 24 exterior modernizations in Fiscal 2002.

Goal: Ensure that the Authority is cost-effective and efficient in renovating City schools

Objective

Ensure that 75% of Fiscal 2002 completed construction projects remain within a 10% contingency for change orders (excluding programmatic scope and asbestos-related changes).

Ensure that 75% of Fiscal 2002 completed design and construction projects are finished on time or ahead of schedule (excluding delays due to programmatic changes and funding holds).

Goal: Ensure that the City's public schools are rehabilitated using funds allocated through the Mayor and City Council's five-year initiative.

Objective

Complete Fiscal 1999 rehabilitation projects, including replacement of windows and roofs, exterior masonry, heating plants and science labs, for 114 projects at 60 schools by June 2002 using \$131 million in funds.

Continue Fiscal 2001 rehabilitation projects, including replacement of windows and roofs, exterior masonry, heating plants and science labs, for 32 projects using \$74 million.

SCHOOL CONSTRUCTION AUTHORITY

HIGHLIGHTS AND ACHIEVEMENTS

- In November 2001 the School Construction Authority (SCA) trustees announced a new president and chief executive officer.

WORLD TRADE CENTER RESPONSE EFFORTS

- As a result of the September 11th disaster, as of mid-November 2001 the School Construction Authority (SCA) completed an estimated \$2.8 million in school cleanup and air monitoring work in Lower Manhattan. SCA contractors cleaned Stuyvesant High School, PS 234, and PS 150 near the World Trade Center site on behalf of the Board of Education and conducted air-monitoring tests for the Department of Health.

CONSTRUCTION

- SCA plans to create 8,714 new seats between October 2001 and September 2002 through the construction of new schools, additions and modernizations throughout the City. Between October 1 and December 31, 2001 SCA created 540 school seats.
 - In conjunction with the Board of Education (the Board), SCA created 2,785 school seats between October 2000 and September 2001, compared to 2,921 seats planned. Seats are created through the construction of new schools, additions, modernizations and transportable projects.

FUNDING INITIATIVE

- In December 2001 the Board approved an amendment to its Fiscal 2000-2004 Capital Plan. The initial plan was adopted in May 1999. As a result, the Authority's Fiscal 2002 Plan data reflected in the Preliminary Fiscal 2002 Mayor's Management Report may be subject to revision.
- In Fiscal 2000 SCA received \$105 million in additional funding from the Mayor and City Council (MAC) to complete existing Fiscal 1997, Fiscal 1998 and Fiscal 1999 school rehabilitation projects.
 - Although in Fiscal 2000 the Department of Design and Construction (DDC) was designated to undertake all future MAC projects, the Board allocated in Fiscal 2000 \$74 million to SCA to complete 32 Fiscal 2001 MAC projects, out of a total of 118. As of mid-January 2002, SCA completed 17 projects, 15 of which were completed between July and October 2001, 14 projects are in construction, and the Board canceled one project.
 - Fiscal 1999 MAC funding has been allocated to SCA for 114 rehabilitation projects. As of the end of January 2002, SCA completed 110 projects. These projects include replacement of windows and roofs, exterior masonry, heating plants and science lab improvements. The four remaining projects at one school will be completed by June 2002.
- In Fiscal 2001 SCA received a revised \$50 million in funds from the City Council and Borough Presidents for 229 projects in a revised 194 schools. Between July and October 2001 SCA completed 44 projects, for a total of 46 completed projects. In addition, at the end of October 2001, 41 projects were in construction, eight were in the bid/award phase, and 35 were in the scope/design phase. A revised total of 99 projects were for equipment purchase only.

SCHOOL CONSTRUCTION AUTHORITY

- In Fiscal 2000 the City Council and Borough Presidents allocated \$48 million for a revised number of 177 projects in 149 schools. As of the end of October 2001 SCA completed 98 projects, 13 projects are in construction, three are in the bid/award stage, and a revised 63 projects are for equipment purchase only. Between July and October 2001, 16 projects were completed.
- In Fiscal 1999 the City Council and Borough Presidents allocated \$18.7 million to SCA for a revised number of 144 projects in a revised 124 schools. As of the end of October 2001 SCA completed 76 projects, including 14 completed between July and October 2001. In addition, five projects are in construction, three are in the bid/award phase, 11 are in the scope/design phase, and a revised 49 projects are for equipment purchase only.
- In Fiscal 1998 the City Council and Borough Presidents allocated \$33.3 million for a revised number of 187 projects in a revised 165 schools. As of the end of October 2001 SCA completed 118 projects, including four completed between July and October 2001. In addition, one project is in construction, one is under review, and a revised 67 projects are for equipment purchase only.

DESIGN AND PROCESS REFORM

- During the first four months of Fiscal 2002 SCA continued to use Design/Build contracting to reduce the time needed to design and construct new schools and additions. As of the end of October 2001, 69 percent of all major projects under construction use this method, compared to 63 percent as of June 2001. SCA began using the Design/Build method in Fiscal 1998. Under this method, a contract is awarded to a general contractor and architect team when a project scope is completed. The Design/Build team is able to begin construction and purchasing during the preparation of the final design documents.
- During the first four months of Fiscal 2002 the Contractor Qualification Unit continued to speed the processing of qualification applications by refocusing existing staff to more efficiently process applications. The pending applications have been reduced from 1,457 in July 2000 to 294 at the end of October 2001, an 80 percent reduction. The expanded database of qualified, eligible contractors, consultants and vendors available to perform work for SCA has improved the quality and speed of the contract bid process.

ONGOING INITIATIVES

- By October 15, 2001, the beginning of the heating season, all New York City-owned schools were using modern, dual fuel (gas/oil) boilers. All coal boiler conversion projects that SCA was responsible for were converted by October 15, 2001, the beginning of the heating season. In 1989 when SCA was created, 354 schools were heated with coal-fired boilers. In total, SCA was responsible for converting 276 schools and the New York Power Authority was responsible for 78 conversions.
- The SCA Mentor Program awards contracts for specific projects to certified minority- and women-owned and locally based firms. During the first four months of Fiscal 2002, 243 firms were identified as eligible to participate in the Mentor Program. During the reporting period, SCA certified 93 firms as minority- and women-owned and locally based and 35 of these firms were approved to participate in the Mentor Program. In addition, SCA awarded 40 contracts totaling \$10.1 million to participants in the programs during the first four months of Fiscal 2002, compared to 43 contracts totaling \$10.9 million during the first four months of Fiscal 2001.

SCHOOL CONSTRUCTION AUTHORITY

SAFETY

- From July to October 2001 the Safety Unit performed 2,648 inspections and issued a total of 4,657 notices of safety violations to contractors, with 1,243 repeat notifications issued. This is in comparison to 2,476 inspections, 4,072 notices of safety violations and 888 repeat notifications during the same period in Fiscal 2001. SCA attributes the increase in repeat notifications to the diligence of safety inspectors and to the increased pace of school construction during July and August 2001. As a result of the scrutiny of the Safety Unit, the firms achieved an approximate 87 percent compliance rate with SCA's safety recommendations, compared with only 80 percent during the same reporting period in Fiscal 2001.
 - Compliance with safety recommendations occurs within 24 to 48 hours and in many instances this compliance occurs prior to the safety officer leaving the site. Failure to comply with SCA's safety regulations results in a Stop Work Order, which prevents continued work on the project until the violations are resolved. A follow-up inspection is required and conducted when numerous safety infractions are found, or when a Stop Work Order has been issued. The follow-up inspection must be completed no more than one week after the initial inspection.

CUSTOMER SATISFACTION INITIATIVES

- SCA surveys the Board's school principals on their satisfaction with SCA work in a continuing effort to improve SCA performance. In October 2001 SCA mailed 828 customer satisfaction surveys to school principals for SCA projects completed in Fiscal 2001.
- During the first four months of Fiscal 2002 SCA received and resolved 77 complaints from the community about SCA projects, compared to 63 complaints received and one pending during the same reporting period in Fiscal 2001. Between July and October 2001, two complaints pending from Fiscal 2001 were resolved. Since Fiscal 1999 SCA has tracked complaints to identify and promptly handle community concerns about SCA projects.
- During the first four months of Fiscal 2002 SCA held 62 Project Health Assessment meetings with contractors and stakeholders. SCA implemented this review process in January 2001 to monitor ongoing construction projects. Separate meetings are held with both the contractor and the stakeholders throughout the life of a project to gather input on progress and resolve problems as they occur. During Calendar 2001, 314 Project Health Assessment meetings were held.

TECHNOLOGY

- Since July 2001 SCA can receive automated data from the Board's Division of School Facilities to initiate school construction projects and deliver and accept financial data with the City's Financial Management System. Enterprise Resource Planning (ERP) is SCA's capital financial management system. During Fiscal 2002 SCA is reviewing changes to the ERP business process to better take advantage of the newly implemented software. Using ERP, SCA now reports daily transactions for purchase orders, contracts and invoices, and payment information. In Fiscal 2002 SCA will continue to develop summary and management reports.
 - During the first four months of Fiscal 2002 SCA continued to develop the scope for the project management component of the ERP process, which will be executed in conjunction with the Board of Education's Division of School Facilities. SCA expects to issue a Request for Proposals by a revised date of late Fiscal 2002. This portion of ERP will include the creation of a data warehouse to store all SCA financial, scheduling and project management information. SCA plans to convert all legacy systems to a consistent platform to allow the same reporting and analytical tools to be used across all systems.

SCHOOL CONSTRUCTION AUTHORITY

- Throughout the first four months of Fiscal 2002 SCA completed technical training for SCA and Board of Education staff that will be using ERP. During Fiscal 2002 SCA will develop additional training for the Board of Education, which will allow them access to specific information within the ERP financial systems. In addition, SCA will hold ongoing training seminars on the new systems.
- The number of visits to SCA's home page on NYC.GOV, the City's official Web site, increased from 1,808 during the first four months of Fiscal 2001 to 2,390 during the first four months of Fiscal 2002, or 32.2 percent. During the same reporting period SCA received 251,250 visits to its home page on NYSCA.ORG.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 SCA's expenditures were \$423 million. The Authority's Fiscal 2001 commitments were \$2.4 billion.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
High Schools – Completed	0	1	1	1	0	0	0
High Schools – Student Spaces	0	591	815	836	0	0	0
Intermediate Schools – Completed	1	0	1	1	0	0	0
Intermediate Schools – Student Spaces	1,200	0	608	753	0	0	0
Elementary Schools – Completed	5	1	5	3	3	0	0
Elementary Schools – Student Spaces	2,477	955	3,890	2,448	1,109	0	0
School Additions and Modernizations – Completed	11	8	3	1	4	0	2 (a)
School Additions and Modernizations – Student Spaces	533	1,107	357	0	980	0	540 (a)
Transportable Projects – Completed	70	36	28	22	7	1	0
Transportable Projects – Student Spaces	10,860	4,272	2,726	2,882	696	116	0 (a)
Modular Buildings – Completed	5	8	18	10	NA (b)	NA (b)	NA (b)
Modular Buildings – Student Spaces	1,058	3,145	7,889	3,655	NA (b)	NA (b)	NA (b)

- (a) SCA reports on construction activity on an October to September reporting year. Since all projects for the first three months of Fiscal 2002 were captured in the Fiscal 2001 Mayor's Management Report, four-month actual figures represent October 2001 projects only. Planned monthly targets for project completions differ from year to year, accounting for variances between Fiscal 2001 and Fiscal 2002 four-month actuals.
- (b) Fiscal 2000 was the last year for the Modular Program due to the Board of Education's decision to end the program.

NEW YORK CITY HOUSING AUTHORITY

The New York City Housing Authority provides decent and affordable housing for low-income City residents. The Authority currently manages and maintains 345 public housing developments with 181,000 apartments, housing nearly 535,000 residents. In addition, through the federally funded Section 8 Housing Program, the Authority uses certificates and vouchers to assist an additional 77,747 families in private apartments. The Authority manages new construction and the rehabilitation of public housing buildings and units. While continuing to maintain a safe and secure living environment in its public housing developments, the Authority also provides a variety of ancillary services to its residents.

GOALS AND OBJECTIVES

Goal: Provide low-income residents with decent and affordable housing by managing and maintaining the City's public housing developments, managing new construction and rehabilitation of public housing developments, and administering the federally funded Section 8 Housing Program.

Objective
Provide 81,500 Section 8 families with access to affordable private units in Fiscal 2002.
Place 17,500 new residents in public and leased housing in Fiscal 2002.
Place an additional 3,500 working families on the public housing waiting list in Fiscal 2002.
Commit \$369 million towards capital projects in Fiscal 2002.

Goal: Enhance the quality of life in public housing developments by providing the necessary upkeep of apartments, buildings and grounds, and by implementing new initiatives to improve security and encourage resident involvement.

Objective
Expand the anti-graffiti task force to five additional developments for a total of 72 in Fiscal 2002.
Complete maintenance work tickets within an average of 15 days citywide in Fiscal 2002.
Abate emergency conditions within an average of one day citywide in Fiscal 2002.
Resurface stairwells in 369 buildings in Fiscal 2002.

Goal: Maximize productivity and efficiency in the provision and management of City public housing.

Objective
Save a revised projected \$9 million in energy management programs through operational, rate and maintenance cost reductions in Fiscal 2002.
Implement a Lock Box rent collection system at all developments in Fiscal 2002.
Maintain an occupancy rate of 99.3% in Fiscal 2002.

NEW YORK CITY HOUSING AUTHORITY

Goal: Maintain and enhance social services and provide economic opportunities to meet the changing needs of public housing.

Objective
Maintain and run a revised 117 community centers and a revised 38 senior citizen center programs in Fiscal 2002.
Provide daily services to a revised average of 5,500 residents and 4,500 senior citizens at community centers in Fiscal 2002.
Provide job training for 1,208 residents resulting in 612 job placements in Fiscal 2002.
Provide domestic violence training to 700 staff members in Fiscal 2002.
Conduct 70,000 social service home visits in Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- The New York City Housing Authority (NYCHA) played a critical role in the initial response to the September 11th disaster, and continues to play an ongoing role in assisting the Mayor's Office of Emergency Management (OEM). NYCHA provided equipment, materials, vehicles and staff to assist in debris removal within hours of the disaster. In addition, NYCHA carpenters built boxes for fire hoses and electricians installed emergency lighting at Ground Zero and Lower Manhattan.
- After the September 11th disaster, NYCHA partnered with Safe Horizon, a victim assistance, advocacy and violence prevention organization, to establish a Staff Support Unit at 250 Broadway and other NYCHA sites. Crisis response counselors from Safe Horizon and social work supervisors from NYCHA offered individual and group counseling sessions, as well as referrals to long-term services. The Unit also assisted NYCHA staff's return to work in Lower Manhattan.
- NYCHA offered grief counseling and intervention services to all residents and provided outreach to residents with missing family members.

PROPERTY MANAGEMENT AND MAINTENANCE

- In the first four months of Fiscal 2002, 99.2 percent of NYCHA's 181,000 housing units were occupied and there was a 4.1 percent turnover rate.
- In November 2001 NYCHA implemented a three-year program to resurface stairwells in 1,268 buildings in 102 developments after flammable paint was removed from the stairwells in 1996. Resurfacing is extensive work that requires spackling the crevices and cavities in walls before painting them with a nonflammable cement-based product. The program consists of three phases:
 - Phase I includes 35 developments throughout the five boroughs. Multiple contracts were awarded; work began in November 2001 and the expected completion date is April 2003.
 - Phase II includes the remaining 57 developments in Manhattan. A contract was approved; work began in December 2001 and the expected completion date is December 2002.
 - Phase III covers 10 developments in Brooklyn and Queens and multiple contracts will be bid in Spring 2002. Work is expected to begin in June 2002 and the expected completion date is February 2003.

NEW YORK CITY HOUSING AUTHORITY

- NYCHA, as part of the Rodent Control Task Force, continued its efforts during the reporting period. Established in June 2000, the Task Force is comprised of over 15 City agencies and quasi-agencies and is chaired by the Mayor's Office of Emergency Management, the Mayor's Office of Operations and the Department of Health (DOH). It coordinates Integrated Pest Management practices, including assessment, abatement and eradication activities.
 - NYCHA continues to identify problem site areas, including construction sites where excavation work is taking place. The Authority has also provided a list of developments to the Task Force that either already have exterior refuse compactors or are pending the installation of compactors. Public and private properties or facilities adjacent to NYCHA developments where rodent infestations are present are reported to DOH and other participating City agencies for abatement.
- In April 2001 the City reactivated the West Nile Virus Task Force, a multi-agency effort chaired by the Mayor's Office of Operations. Originally established in June 2000, the Task Force enhances coordination between DOH and 22 other City and quasi-governmental agencies in responding to standing water complaints, develops strategies to remediate large properties that are potential mosquito breeding grounds, provides integrated enforcement and prevention capabilities, and takes other actions to minimize the threat of the virus.
 - As a participant in this Task Force, NYCHA has been taking preventive steps to alleviate conditions on properties that may serve as breeding areas for mosquitoes. Staff members survey the grounds daily and take immediate corrective measures to remove standing water and discarded tires. NYCHA also identifies problem areas near developments and refers them to OEM for possible multi-agency action. Since Spring 2001, NYCHA staff has treated 8,878 catch basins on development grounds, and cleared and treated 74 clogged catch basins throughout the five boroughs. In mid-October 2001 the Authority completed the fourth and final larvicide treatment of the season for 5,978 catch basins located on NYCHA properties. As part of these treatments, 195 clogged catch basins were cleared.
- A total of 3,997 Authority-owned units in 35 developments citywide, representing 10.2 percent of all Authority developments, are under private management.
- NYCHA is currently constructing a 13-unit development on Stanton Street in Manhattan for persons with immunological disorders of a degenerative nature. Construction should be completed by Spring 2002. A Request for Proposals (RFP) for private management of the development was issued in November 2001 and an award is imminent. A Memorandum of Understanding (MOU) between NYCHA and the Human Resources Administration (HRA) will establish a site-based waiting list of eligible families in accordance with a federal Department of Housing and Urban Development (HUD)-approved plan. HRA is finalizing a contract with Henry Street Settlement House to screen and refer eligible tenants and to provide social services. The contract is expected in March 2002, at which point tenant selection will begin.
- NYCHA is developing rental and homeownership opportunities in connection with the Prospect Plaza HOPE VI revitalization plan in Brooklyn. Prospect Plaza consists of 368 units of public housing in four 12- to 15-story buildings. Under the HOPE VI Revitalization Plan, three buildings will be reconfigured to reduce density and one building will be replaced. New construction will result in at least 90 more units, which will include both rental and homeownership opportunities. Two developers have been selected for construction of the new units. An RFP for the reconfiguration of the remaining Prospect Plaza units will be issued in Spring 2002. Construction is expected to start in Summer 2002.
- NYCHA is planning to develop senior housing at the Arverne and Edgemere HOPE VI site in Queens, with at least 70 new units. Construction is expected to start in mid-Calendar 2003.

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HOUSING FAMILIES

- During the first four months of Fiscal 2002 NYCHA rented a total of 632 public housing units to homeless families and individuals referred by City agencies, compared to 762 units during the same period of Fiscal 2001. Placements were as follows: 469 Department of Homeless Services (DHS) referrals, compared to 579 referrals during the first four months of Fiscal 2001; 126 Department of Housing Preservation and Development referrals, compared to 157 referrals during the same period of Fiscal 2001; and 37 HIV/AIDS Services Administration (HASA) placements from HRA, compared to 26 HASA placements during the same period of Fiscal 2001. The Authority also provided 321 apartments to homeless families who were not referred by City agencies, compared to 411 during the same reporting period of Fiscal 2001.
- The Emergency Assistance Rehousing Program, which locates housing for those who have been forced to vacate their dwellings due to safety concerns, placed 562 families in privately owned housing using Section 8 subsidies during the reporting period, compared to 443 families during the first four months of Fiscal 2001.
- In the first four months of Fiscal 2002 the Authority provided Section 8 subsidies for private housing to an additional 494 homeless families who were initially housed in shelters, but who then found housing without the assistance of City agencies. In comparison, 97 such families were provided with Section 8 subsidies during the first four months of Fiscal 2001.
- In collaboration with HRA and DHS, in Fiscal 2002 NYCHA will significantly expand outreach services to families that relocate from homeless shelters to public and Section 8 housing. The initiative will provide families with an introduction to NYCHA's services and policies, comprehensive transitional and supportive case management services and educational workshops for six months to one year. The project is expected to begin in Spring 2002.
- In the first four months of Fiscal 2002 NYCHA applied to HUD for 75 Mainstream Housing vouchers and 200 Designated Housing Plan vouchers. The Mainstream Housing Program provides vouchers to low-income persons with disabilities to rent apartments in the private market. The Designated Housing Program provides vouchers and rental assistance to non-elderly disabled persons, who might have been housed in public housing developments designated for occupancy by the elderly, to find housing in the private market. Due to a greater number of eligible applicants for the Mainstream Housing vouchers, HUD employed a lottery selection process, in which NYCHA was not selected. NYCHA was successful in its application for 200 Designated Housing Plan vouchers.
- In 1999 HUD created the Section 8 Welfare-to-Work Rental Voucher Program to help families for whom the lack of stable, affordable housing is a barrier to employment. Through a competitive grant process, NYCHA was awarded 700 Section 8 Welfare-to-Work vouchers from this program and converted 133 of the Agency's regular Section 8 vouchers. In collaboration with HRA, the Administration for Children's Services and the Northern Manhattan Improvement Corporation, NYCHA developed a program that will help support the housing needs of eligible families as they make the transition from welfare to work. NYCHA received its first voucher certifications in March 2000. Applicants have up to six months from their certification date to find an apartment. To date, there have been 833 placements in this program.
- In an effort to support Section 8 rentals, NYCHA's Leased Housing Department implemented several initiatives in April 2001 to assist landlords and applicants.
 - Section 8 Program administrative fees will be used to pay authorized, licensed real estate brokers for services in assisting NYCHA Section 8 applicants to find appropriate apartments for rent. By covering the broker's cost, a higher percentage of applicants will be able to take advantage of the services, and increase the possibilities of identifying suitable apartments.

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- Previously, landlords had to wait approximately 30 days for NYCHA to process a lease. NYCHA began to use the Section 8 Program administrative fees to pay landlords a “holding fee” of one month’s contract rent for holding an apartment for an applicant while it completes the lease process. In return, NYCHA requires landlords to sign two-year leases with Section 8 applicants and accept other Section 8 applicants if the initial renter moves out prior to the expiration of the two-year term.
- The Authority added 1,716 working families to its public housing waiting list during the first four months of Fiscal 2002, compared to 1,550 working families during the same period of Fiscal 2001.
- During the first four months of Fiscal 2002 NYCHA continued implementing the Local Preference Policy, which permits the Authority to hold 50 percent of new public housing vacancies for working families. The 984 working families placed represent 43.5 percent of total NYCHA admissions, compared to 41 percent of total admissions placed during the same reporting period last year. Working families now occupy 35.5 percent of all NYCHA units.
- In November 1997 a federal District Court issued a preliminary injunction to prevent NYCHA from implementing the Local Preference Policy for working families at 21 developments, although it now affects only 20 of the original 21 developments. After a series of appeals, the Second Circuit lifted the injunction at six of the 20 developments in January 2002.

MANAGEMENT INITIATIVES

- In Fiscal 1999 NYCHA launched an aggressive fire safety program. The program includes both mandatory training for all development superintendents on maintenance and repair of standpipes, roof tanks and sprinkler systems, and a fire safety campaign developed in consultation with the Fire Department of the City of New York. An RFP to resume the training, which ended in March 2000, is being reviewed by NYCHA’s legal department.
- In November 1999, nine contracts were awarded for survey, inspection, testing and repair of fire sprinkler/standpipe systems and seven contracts were awarded for survey, inspection, testing, repair and alterations of fire alarm systems. During the first four months of Fiscal 2002, 1,989 work orders were issued for inspections, surveys, tests and repairs under the sprinkler/standpipe contracts, and 840 work orders were issued under the fire alarm contracts. The contracts were awarded for a three-year period.
- During the reporting period NYCHA maintenance staff inspected smoke detectors and self-closing mechanisms on apartment doors, making repairs and replacing batteries as needed. Over 65,000 NYCHA apartments have hard-wired smoke detectors; 2,448 smoke detectors were installed during the first four months of Fiscal 2002. A total of 12,112 additional units are scheduled to have battery-operated detectors replaced with hard-wired models as part of the planned modernization. During the first four months of Fiscal 2002 NYCHA installed 922 audio/visual smoke detectors. These devices warn hearing-impaired residents of smoke with a bright strobe light.
- In November 2001 the Authority implemented the Authority Productivity Tracking System, a comprehensive management indicator system. The system reports on maintenance, rent collection, individual development performance, overtime and resident complaints. It will allow the Authority to systematically track and evaluate performance and to hold managers more accountable for performance.

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- In September 2001 NYCHA initiated the Rental Assistance Amnesty Program, which gave residents not under investigation or who have not been charged with tenant fraud until January 2002 to accurately report their income in order to avoid legal and administrative penalties. Eligible tenants signed an agreement to pay all arrears to NYCHA. NYCHA had received 1,200 applications by December 2001.
- In June 2000 NYCHA began scheduling appointments for skilled trades work. This has enabled the Authority to more effectively use its skilled trades staff and has assisted in increasing productivity through reducing the number of missed appointments.
- In 1996 NYCHA and HUD entered into a Voluntary Compliance Agreement (VCA), which requires NYCHA to make 5 percent of all its housing units accessible to individuals with mobility impairments; 5,342 units have been converted to date. In July and August 2001, 340 of the units allocated for conversions under the VCA were returned to the public housing pool. The units had been vacant for an extended time and were in scattered locations, leading to high conversion costs. NYCHA will find other units more suitable for this conversion to reach its 5 percent goal.
- In Fiscal 2002, 41 members of the Resident Advisory Board and approximately 600 residents who attended NYCHA's public hearings provided input during the Annual Plan process. The Annual Plan addresses issues such as admissions, rent determination, management, crime and safety, resident employment and capital improvements.
- In Fiscal 2001 NYCHA contracted with a private company for the collection of rent through a Lock Box system. Through this system residents send their rent checks to a central post office box; the checks are then deposited to a NYCHA bank account. This system eliminates the collection of rent through cash payments in the borough management offices and allows NYCHA to reallocate borough management staff. The system began in Staten Island in May 2001, in Queens in December 2001 and in Manhattan in February 2002. It will begin in Brooklyn by April 2002 and in the Bronx by June 2002.

SECURITY INITIATIVES

- In Calendar 2001 NYCHA developments experienced an 11.9 percent reduction in serious crime in the seven major felony categories. Operation Safe At Home, a community policing strategy used to eliminate drug-related crime in NYCHA developments and improve the quality of life for its residents, was a factor in the overall reduction of crime.
- In conjunction with NYPD, NYCHA has 14 closed-circuit television (CCTV) systems that are operational, and over 3,000 cameras installed. CCTV systems are fully operational at the following sites: the South Jamaica Houses, Ravenswood and Astoria houses in Queens, the Bronx River Houses and Castle Hill Houses in the Bronx, the Stapleton Houses, Richmond Terrace and West Brighton in Staten Island, the Albany Houses and Van Dyke Houses in Brooklyn, and the Grant Houses, Wagner and Wald houses in Manhattan. Camera installation is complete at all sites except for Morris and Van Dyke houses, and the Morrisania Air Rights development.
 - Installation of 225 cameras at the Van Dyke Houses in Brooklyn began in July 2000, with 209 completed to date. Installation of 226 cameras at the Morris Houses began in December 2001, with 82 cameras completed to date. At the Morrisania Air Rights development in the Bronx, a contractor has begun necessary electrical work for installation of the cameras.
- NYCHA completed installation of the new high security stainless steel doors and frames at 177 developments; entrances at 21 developments are under construction and those at another 26 developments are in the design stage. In addition, NYCHA developed a five-year plan to bring all residential building entrances up to the new specifications.

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- During the reporting period 65 police officers in 56 developments continued to participate in the Police Residency Program. The program has been expanded to include a total of 125 eligible candidates for Fiscal 2002. To date, 45 officers are on waiting lists and NYPD has submitted an additional 30 applicants.
- NYCHA did not add any building to its Anti-Graffiti/Vandalism program during the first four months of Fiscal 2002; this keeps the total at 67 developments and 250 buildings. NYCHA expects to add five developments and 30 buildings to the program by the end of Fiscal 2002.

RECYCLING AND REFUSE MANAGEMENT

- The Authority installed four new centralized refuse collection compounds in its developments during the first four months of Fiscal 2002, bringing the total number of compounds to 238 in 106 developments.
- The Authority is moving forward with its plan to install exterior compacting machines at its developments. As of December 2001, 145 compacting machines at 57 developments have been installed. NYCHA plans to install an additional 142 compactors at 63 developments by Fiscal 2006.

ENERGY MANAGEMENT INITIATIVES

- NYCHA is currently installing the Computerized Heating Automation System (CHAS), a remote monitoring and control system capable of operating all 160 of its major boiler plants and individually controlling the heat and hot water supplied in 2,600 buildings. During the first four months of Fiscal 2002, 23 boiler plants began using the fully automated boiler/building controls. CHAS will be installed at an additional 11 boiler plants by the end of Fiscal 2002.
- NYCHA, in conjunction with the New York State Energy Research Development Authority, initiated a pilot program to optimize heating and distribution systems at NYCHA developments. As part of the Integrated Building Control System pilot program, sensors have been installed in the Bland Houses in Queens to transmit utility data through existing electrical wiring. A master computer will interpret the data and adjust the heating system accordingly. The system provides equal distribution of heat within a given building and uses a more advanced smoke detection process by monitoring apartment temperature and confirming the presence of smoke and/or fire. In addition, building safety and security systems can be programmed with a dial-out alarm to call appropriate emergency personnel. This system became fully operational in October 2001.
- The Advanced Automated Heating System monitors boiler plants, diagnoses potential problems and recommends preventive steps, thereby reducing operating costs, extending boiler-plant life and increasing reliability, safety and efficiency. The system became operational at Governor Smith Houses in Manhattan in March 2001. The system has saved the Authority approximately \$189,000 through December 2001. Annual savings are expected to be \$300,000 to \$400,000. The system was installed through a performance contract, which ties payment to fuel, operational and maintenance savings, as well as savings achieved through prolonged boiler-plant life. Savings achieved by the system will pay for its entire cost, and expansion of the program is being considered.
- The Authority continued to use its new computerized monitoring and alarm system for selected heating plants during the first four months of Fiscal 2002. This telephone warning system improves service to tenants by monitoring boiler room functions and alerting staff of any malfunctions between midnight and 6 AM. NYCHA has implemented the sensing program at 282 developments. During Fiscal 2001 NYCHA saved approximately \$3 million in reduced operating costs through this initiative.

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- In November 1998 NYCHA's Energy Department began to purchase natural gas on the open market, rather than through utility companies, for a number of its Con Edison service area developments. Gas marketing savings on heating gas from November 1998 through November 2001 totaled \$3.7 million for 53 currently participating developments, an average savings of 5.1 percent. NYCHA expanded this program to an additional 52 KeySpan Energy (formerly Brooklyn Union Gas) service area developments during the 2000-2001 heating season. The KeySpan contract saved NYCHA approximately \$150,000. Due to the decline in gas prices, NYCHA did not have any gas marketing savings during the first four months of Fiscal 2002. A new contract was signed with the Amerada Hess Corporation in July 2001.
- NYCHA has converted 56 developments and is in the process of converting three from oil to dual-fuel operation, which uses natural gas as the primary fuel, through contracts with Con Edison and the Long Island Lighting Company. The remaining three conversions are expected to be completed by June 2002. Agreements with KeySpan Energy led to the conversion of an additional 23 developments from oil to dual fuel. Gas conversion savings through contracts with Con Edison and KeySpan have yielded approximately \$5.8 million since the inception of the first contract in 1996.
- In February 2001 NYCHA granted KeySpan Energy the third of eight possible one-year extensions for the operation and maintenance of heating plants at five developments. The third extension, which ends in February 2002, will result in projected annual savings of approximately \$3 million in rate savings and \$200,000 in operations and maintenance. The Authority has saved approximately \$5.7 million in rate reductions and approximately \$865,000 in maintenance and repair costs since the inception of the program in Calendar 1997.
- In March 2001 NYCHA initiated a contract with KeySpan Energy for the purchase of cooking gas, which resulted in approximately \$108,000 in savings in the first four months of Fiscal 2002.
- In June 1995 NYCHA began a nine-year project to install environmentally safe, energy-efficient refrigerators in its developments. During the first four months of Fiscal 2002 NYCHA installed 9,743 refrigerators in its developments, bringing the total to almost 130,620 refrigerators. By the end of Calendar 2001, NYCHA had saved almost \$47 million in operating expenses through a performance contract agreement with HUD that allows NYCHA to pay for the cost of the refrigerators through energy savings. In Calendar 2002 NYCHA plans to install 27,000 refrigerators, reducing the nine-year replacement program to eight years.
- In continuing its goal to promote water conservation, NYCHA and the Department of Environmental Protection signed an MOU in March 2000 to install meters in all of NYCHA's properties, beginning in Fiscal 2001. The project is expected to be completed by August 2004. In conjunction with the meter installations, NYCHA will incorporate a telephone in-bound automatic meter-reading system into its water meters to establish a new, comprehensive database for the billing and auditing of NYCHA's water consumption at all developments. In August 2000 NYCHA awarded a contract for the installation of water meters in Staten Island; installation began in February 2001 and is half complete. Installation of meters in Queens is scheduled to begin in March 2002.

RESIDENT INITIATIVES

- The Partners in Reading Program restarted in February 2002. The Board of Education has decentralized the program so that it is administered through the 31 superintendents in the five boroughs. The Partners in Reading Summer Program started on July 9, 2001 and ended on August 24, 2001. This seven-week program operated at 83 community centers and served approximately 2,000 children per week.

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- The Alternative High School program, a collaborative effort between NYCHA and the Board of Education, is operating at 22 sites. A total of 209 students enrolled in the program during the first four months of Fiscal 2002, which allows high school dropouts to complete their high school educations by pursuing a regular high school diploma or a General Equivalency Diploma (GED) in an alternative setting. Enrollment in the program tends to fluctuate as the school year progresses.
- In April 2000 HealthStat began to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, all City agencies and hundreds of community groups were mobilized to enroll eligible families and children in Child Health Plus and Medicaid. As a direct result of HealthStat activities, over 200,000 individuals have been enrolled in public health insurance programs.
 - A HealthStat Unit was established under the direction of the Department of Community Operations in January 2001.
 - All NYCHA community centers and management offices are used as HealthStat information and referral stations. A HealthStat point person is located in every community center and management office. Forty-three community centers are used as permanent enrollment sites. Enrollers are stationed at the community centers several days during the week, where they are available to complete enrollment applications for parents of uninsured children.
 - Through October 2001, NYCHA had successfully referred 7,815 families to public health insurance enrollment sites throughout the City.
 - NYCHA has placed special emphasis on generating enrollments. As part of NYCHA's "Adopt a Development" initiative, various NYCHA community centers were adopted by certain healthcare providers including health plans, community-based organizations and DOH.
 - Various enrollment agencies participate in all Family Day events where they conduct outreach and enroll families. Enrollers distribute literature prior to the event to prepare families for the enrollment opportunity. Family Day was held every Saturday from July through September 2001 and occasional Sundays.
 - In Fiscal 2001 NYCHA announced its citywide Resident Association Incentive Program. The program is a competition to reward districts with the greatest number of referrals to public health insurance programs. This program is administered through nine Council of Presidents (COP) districts. The competing districts are Manhattan North, Manhattan South, Brooklyn North, Bronx North, Bronx South, Queens North, Queens South, and Brooklyn South and Staten Island combined. The top five developments in each COP district will receive a \$10,000 community grant award. The top 10 performing developments in each COP district will receive a \$2,500 community grant award. The resident associations must use the funds for educational programs, sports and recreation packages, and/or buses for trips. The program ended in November 2001; awards will be announced in April 2002.
 - In order to assist in raising Medicaid recertification rates, NYCHA is working with HRA on a data-sharing arrangement that would provide NYCHA residents with the opportunity to recertify for Medicaid at the same time they recertify for housing.
- Ninety-three children from Chelsea-Elliot Houses in Manhattan, 77 children from Ravenswood Houses in Queens and 53 children from the Melrose Houses in the Bronx currently participate in NYCHA's I Have a Dream (IHAD) program. A collaboration among the IHAD Foundation, NYCHA, local nonprofit organizations and private funders, the program provides educational, social and cultural enrichment opportunities to 3rd and 4th grade students.

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- In collaboration with NYPD and several community-based organizations, NYCHA continued its mentoring program during the first four months of Fiscal 2002, matching 229 mentors with 229 NYCHA residents in grades 1 through 6. In comparison, a total of 95 mentors with 166 NYCHA residents participated in the program during the first four months of Fiscal 2001. All boroughs except Staten Island currently participate in the mentoring program. The program will expand to that borough if a sufficient number of mentors can be recruited. Currently NYCHA is working with a nonprofit organization to establish a new program at Farragut Houses in Brooklyn.
- In the first four months of Fiscal 2002 the After School Program for Interaction, Recreation and Education (ASPIRE), a collaborative effort among NYCHA, the Mayor's Office and NYPD, did not operate due to the September 11th disaster. ASPIRE sessions emphasize preventing illicit drug use; encouraging peaceful resolution of conflicts; and fostering leadership, communication and decision-making skills.
- During the first four months of Fiscal 2002, 23,250 participants were involved in NYCHA athletic programs, such as the Harlem Reviving Baseball in Inner Cities program, the Soccer in the Streets program, the NYCHA track-and-field program and the New York Inner City Games. In comparison, approximately 22,175 individuals participated during the first four months of Fiscal 2001.
- During the reporting period, 8,240 individuals participated in NYCHA's youth chorus, performing and visual arts programs, and talent shows for residents, all of which foster creative expression and showcase participant talent. In comparison, 8,135 individuals participated during the first four months of Fiscal 2001.
- NYCHA's population reflects the national trend in the increase of senior citizens who require, and will continue to require, more social and health-care services than are currently available for their specific needs in order to remain in independent or assisted-living environments. To bring service delivery close to residents, in July 2001 NYCHA decentralized administration of its senior centers administration and transferred jurisdiction to the respective borough's Community Operations office. A newly created Department of Senior Services was given responsibility to coordinate and implement a number of new initiatives and programs.
 - Naturally Occurring Retirement Communities (NORC) programs provide comprehensive services that serve both well and frail senior residents who are 60 and over. Services include needs assessments; social welfare; health-care access; information and referral; preventive education; case management; shopping; escort services; friendly visits; personal care; transportation; financial management; adult day care; group counseling and intergenerational activities.
 - NORC programs are fully staffed and in operation at all NYCHA sites except at Sheepshead/Nostrand, where the nonprofit organization moved off-site. The NORC programs at NYCHA developments have had a tremendous effect on the lives of its seniors. The programs have created partnerships with human services agencies, empowered seniors and built up communities by building bridges across different sectors of community groups.
 - Based on its surveys of NYCHA's senior population, Mount Sinai Hospital developed a service proposal, which includes on-site physicians, house calls, primary medical care and geropsychiatric services. Implementation of the proposal is pending review and acceptance by Mount Sinai of NYCHA's modifications.

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- NYCHA and DOH implemented a Senior Wellness Program at the following senior centers: Brownsville, Bushwick, Hylan, Cooper Park, Farragut, Palmetto Gardens and Saratoga Square in Brooklyn; Manhattanville, Rangel, and St. Nicholas in Manhattan; and Highbridge, Sedgwick, 228 West Tremont and Pelham Park in the Bronx. The program, which began in December 2001, promotes physical activities and disseminates population-specific information to adults over the age of 60. DOH has conducted initial training sessions of site coordinators, consultants and back-up staff. NYCHA continues to meet with the site resident councils and seniors to explain the program.
- DOH administered a senior influenza and pneumonia immunization program from October to December 2001 at 28 NYCHA-operated and sponsored senior centers. To date, over 900 seniors in Manhattan, Brooklyn, the Bronx and Staten Island were immunized; 94 homebound seniors were also immunized.
- In October 2001 the Department of Mental Health, Mental Retardation, and Alcoholism Services received a three-year grant of \$1.2 million from the federal Substance Abuse and Mental Health Administration for a Reaching Out to Elders in Public Housing program. The program will provide seniors with increased access to mental health treatment services both in-home and on-site at NYCHA's senior centers as part of the Senior Wellness Program. Services will be provided by the Visiting Nurse Service of New York and staff will screen patients for problems such as depression, anxiety, alcohol and substance abuse. The program is expected to begin in April 2002.
- NYCHA's Emergency Transfer Program (ETP) gives priority transfers to residents who are domestic violence victims, intimidated victims, intimidated witnesses or sexual abuse victims. During the first four months of Fiscal 2002 NYCHA transferred 100 households to new housing through ETP, with a total of 3,806 households transferred since the inception of the program in 1993.
 - The Domestic Violence Aftercare Program provides free case management services to NYCHA residents who have been approved for an ETP transfer because they are victims of domestic violence. Social workers and professionally supervised social work graduate students provide counseling and support services before, during, and after the transfer. Referrals for day care, job training and medical care are also made. In October 2001 the Authority referred 49 cases to the Aftercare Program, for a total of 2,076 cases since the inception of the program in 1997.
 - The Fifth Annual Domestic Violence Conference was held in October 2001 at the New York Academy of Medicine. The theme of this conference was "Elder Abuse." Over 400 NYCHA staff attended and participated in the event.
- In July 2001 NYCHA contracted with Safe Horizon to provide domestic violence training to its staff. Weekly sessions began in late January 2002 and will continue through mid-July 2002. In addition to sensitivity training, the program includes information on identifying domestic violence, the cycle and dynamics of domestic violence and available services.
- In May 2001 NYCHA and the Department for the Aging (DFTA) entered into a Letter of Agreement regarding 19 senior centers that have DFTA-funded sponsors. Under the terms of the agreement, DFTA agreed to allow NYCHA input into the selection of sponsors for its senior centers, provide for resident representation on the centers' Advisory Boards, and require that residents make up at least 51 percent of seniors participating in the centers' programs.

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JOB TRAINING AND PLACEMENT INITIATIVES

- In cooperation with HRA, NYCHA deployed 420 Work Experience Program (WEP) participants at NYCHA facilities during the first four months of Fiscal 2002, compared with 788 participants during the same period of Fiscal 2001. Since the inception of this program in November 1996, 32,898 WEP participants have been assigned to work in NYCHA developments throughout the City.
- During the first four months of Fiscal 2002, 82 WEP participants were placed in full-time jobs at NYCHA; 69 are NYCHA residents.
- As part of both the City's Welfare-to-Work initiative and NYCHA's own efforts to increase the number of employed residents in its developments, approximately 397 residents received job training and other employment assistance during the first four months of Fiscal 2002. In comparison, 521 residents received job training and other employment assistance during the same period of Fiscal 2001.
- The Family Self-Sufficiency program works with both public housing and Section 8 families to address career and family issues. Participating families benefit from an array of social services, as well as from referrals to vocational and educational training, career counseling and job placement. During the first four months of Fiscal 2002, 132 families enrolled and 26 residents were placed in jobs or training programs, compared to 62 residents placed during the same period of Fiscal 2001. NYCHA is continuing its assessment of the program to determine its effectiveness. To date, NYCHA has identified 600 Section 8 families for enrollment into the program each year.
- During the reporting period 46 residents secured employment through NYCHA's Family Investment Center, compared to 41 residents during the first four months of Fiscal 2001. The center, which provides employment assessment and counseling, prepares NYCHA residents for employment opportunities through training, résumé and interview workshops, education and job referrals.
- The Assessment Unit performs employability assessments and refers clients to the appropriate educational, vocational, training and job placement programs. Referrals during the first four months of Fiscal 2002 are as follows: 41 clients to educational programs, compared to 38 in Fiscal 2001; 82 clients to NYCHA job training programs, compared to 482 during the same period of Fiscal 2001; 128 clients to job training outside of the Authority's programs, compared to 171 clients during the first four months of Fiscal 2001; and 83 clients to employment, compared to 67 during the same period in Fiscal 2001. There was a sharp decline in the number of residents referred to NYCHA job training programs due to disruption of operations because of the September 11th disaster.
- NYCHA's Wildcat Limited Work Experience Training Program provides on-the-job and classroom training in clerical and computer skills. The program, which was not active in Fiscal 2001, was reinstated in January 2002.
- NYCHA's Housing Youth Training Program provides on-the-job and classroom training in maintenance and heating plant operations to NYCHA youth. There were 43 qualified participants in Manhattan and Queens; 34 have been employed by NYCHA.
- In October 1999 NYCHA signed a five-year license agreement with a major soft drink company to install vending machines throughout NYCHA developments. To date, 378 vending machines have been installed at NYCHA developments, and a total of \$333,368 in revenue was collected. In addition, the company agreed to provide 50 to 70 job opportunities annually for NYCHA residents and host five job fairs per year, one in each borough, exclusively for NYCHA residents. Job fairs for Fiscal 2002 will be scheduled to coincide with the vendor's recruitment efforts.

NEW YORK CITY HOUSING AUTHORITY

- NYCHA has reviewed proposals to install public pay telephones on development properties and is waiting for a Letter of Intent from the selected vendor. The terms of the agreement are being prepared for review and approval by NYCHA's Executive Board.
- On October 24, 2000 NYCHA signed an MOU for the period October 24, 2000 through November 23, 2001 with a major retail store as part of the HOPE VI Program. Under the MOU, NYCHA established training sites at the Arverne and Edgemere houses in Queens and Prospect Park Houses in Brooklyn. The retail store provided materials, equipment and instructors who trained two residents at each site in customer service, cashier skills, ethics, interview preparation, job-readiness skills and basic math. In turn, these residents trained other residents in cashier and customer service skills. The retail store also provides NYCHA with information on entry-level job vacancies at stores citywide, giving residents who have successfully completed the training program an opportunity to apply for employment. At the program's conclusion, 98 residents started and 52 residents completed this training; 17 residents have been employed.
- In November 2000 NYCHA was awarded a \$1 million Resident Opportunities for Self-Sufficiency (ROSS) grant from HUD for the Resident Service Delivery Models. In July 2001 NYCHA's Executive Board authorized the execution of an agreement with a private service provider for skills enhancement training and case management services for 400 low-income working NYCHA residents. NYCHA will also partner with HRA for child-care subsidies. NYCHA's agreement with the private service provider is under review and will be executed in Spring 2002.
- In May 2001 NYCHA launched a new apprenticeship program with a major construction firm at the Arverne and Edgemere Houses in Queens. The program consists of standard curriculum instruction and hands-on laboratories.
 - During the first four months of Fiscal 2002, five introductory seminars were conducted by the State University of New York Maritime covering carpentry, plumbing, masonry, welding and electricity. Twenty-three residents attended at least one of these two-day seminars.
 - The first of the six-week classroom sessions was held from June 4th to July 16, 2001. Twenty-five residents were enrolled in this session and 22 graduated. The sessions covered fire safety, trade math, blueprint reading and drawing, basic plumbing, construction maintenance and repairs, basic carpentry, basic electric and welding. Of the first 22 graduates, 11 are employed. The unemployed graduates were referred to Goodwill for job preparation workshops and placement services. No additional sessions were held during the first four months of Fiscal 2002.
- In collaboration with NYCHA's Human Resources and Staff Development departments, the Resident Training and Employment Division conducted two World of Work workshops and counseling services for former welfare recipients who have been hired by the Authority as janitorial workers. The first workshop included 29 participants; the second for 30 participants was cancelled due to the September 11th disaster. Two workshops and counseling services were held for approximately 70 to 80 prospective janitorial workers in January 2002 and one workshop was held in February 2002.
- During the reporting period the Authority agreed to hire 300 resident WEP clients who are being aged out of public assistance; 225 to janitorial positions and 75 to clerical and/or community assistants. A total of 164 candidates have been hired to date.

CUSTOMER SERVICE AND TECHNOLOGY

- During the reporting period NYCHA received 264,792 views of its home page on NYC.GOV, the City's official Web site, compared to 132,069 views received during the same period in Fiscal 2001.

NEW YORK CITY HOUSING AUTHORITY

- NYCHA's home page is being redesigned to make it more user-friendly and compliant with the Americans with Disabilities Act. The site will feature internal links; the archival information of press releases; "The Housing Journal," the monthly newspaper to its residents; the introduction of a new travel directory; online forms and modification of the bidding page and schedule. NYCHA advertises its home page on its letterhead and in "The Housing Journal." The redesigned home page will be posted by April 2002.
- During the reporting period NYCHA continued to develop online applications for use by its residents and the general public. In addition to expediting the application process, online forms will minimize the possibility of misplaced documents. To date, contact information for NYCHA's community centers is posted on NYCHA's home page. In Fiscal 2002 NYCHA plans to include an English and Spanish version of the Authority's Resident's Guide, applications for public housing and Section 8, a listing of all 345 developments with addresses and travel directions, employment opportunities and other direct links to internal and external Internet sites on its home page. The Fiscal 2001 Mayor's Management Report had mistakenly reported that some of these applications were already available online.
- In June 2001 the Authority developed an electronic library on its intranet containing key NYCHA documents, manuals, standard procedures and a departmentwide directory. Additional enhancements are being developed.
- In 1998 NYCHA and HRA initiated a pilot program to electronically transfer rent payments for public assistance recipients. The procedure has streamlined the collection of rent and eliminated the possibility of lost and stolen checks, thereby creating savings of both time and money. By the end of Fiscal 2001 the electronic transfer program had been expanded to all developments. The rent delinquency rate among tenants receiving public rent subsidies was 7.1 percent in the first four months of Fiscal 2002. The rate increased due to missed electronic payments by the New York State Department of Social Services after it mistakenly closed approximately 275 cases in October 2001.
- In January 2000 NYCHA's Department of Public and Community Relations initiated the Ombudsman Program. The program facilitates the resolution of outstanding issues raised by public housing and Section 8 residents and responds to issues focusing on community center activities. Ombudsmen are required to provide either responses or expected response dates within 48 hours of an inquiry. During the first four months of Fiscal 2002 the ombudsmen received a total of 2,788 inquiries. Most of the inquiries concerned administrative and maintenance issues, transfer requests, and heat and hot water complaints. Of those inquiries, 563 were specific to Section 8 information requests, the majority of which focused on applications, administrative and maintenance issues, transfer requests and arrears. A total of 1,000 inquiries concerned housing applications, such as housing eligibility, and the Tenant Selection and Assignment Plan program.
- In January 2001 the Authority began installing the software for the integrated Financial Management System (FMS), which will replace its current antiquated application. The system will report on and allow integration of materials purchasing, inventory and rent collection information for departmental budgeting needs.
- NYCHA has emphasized new initiatives to attract landlords, current tenants and new applicants to Section 8 housing:
 - The apartment inspection process has been automated and standardized. In January 2002 NYCHA began using handheld devices with specially developed software, which will lead to more timely initial and follow-up inspections.

NEW YORK CITY HOUSING AUTHORITY

- An improved procedure for initial and reinstated Section 8 subsidy payments to landlords was implemented in July 2001. Improvements include faster issuance of payments for new apartment leases and prompt authorization of adjusted subsidies for current tenants following annual recertification or tenant income changes. An improved procedure for timely reinstatement of payments after suspension for lack of repairs followed by subsequent completion of repairs began in February 2002.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Authority's expenditures were \$673.1 million, compared with its plan of \$673.9 million. Fiscal 2001 expenditures were \$2.1 billion.
- The Authority has planned expenditures of \$2.02 billion for Fiscal 2002 and \$2.14 billion for Fiscal 2003.

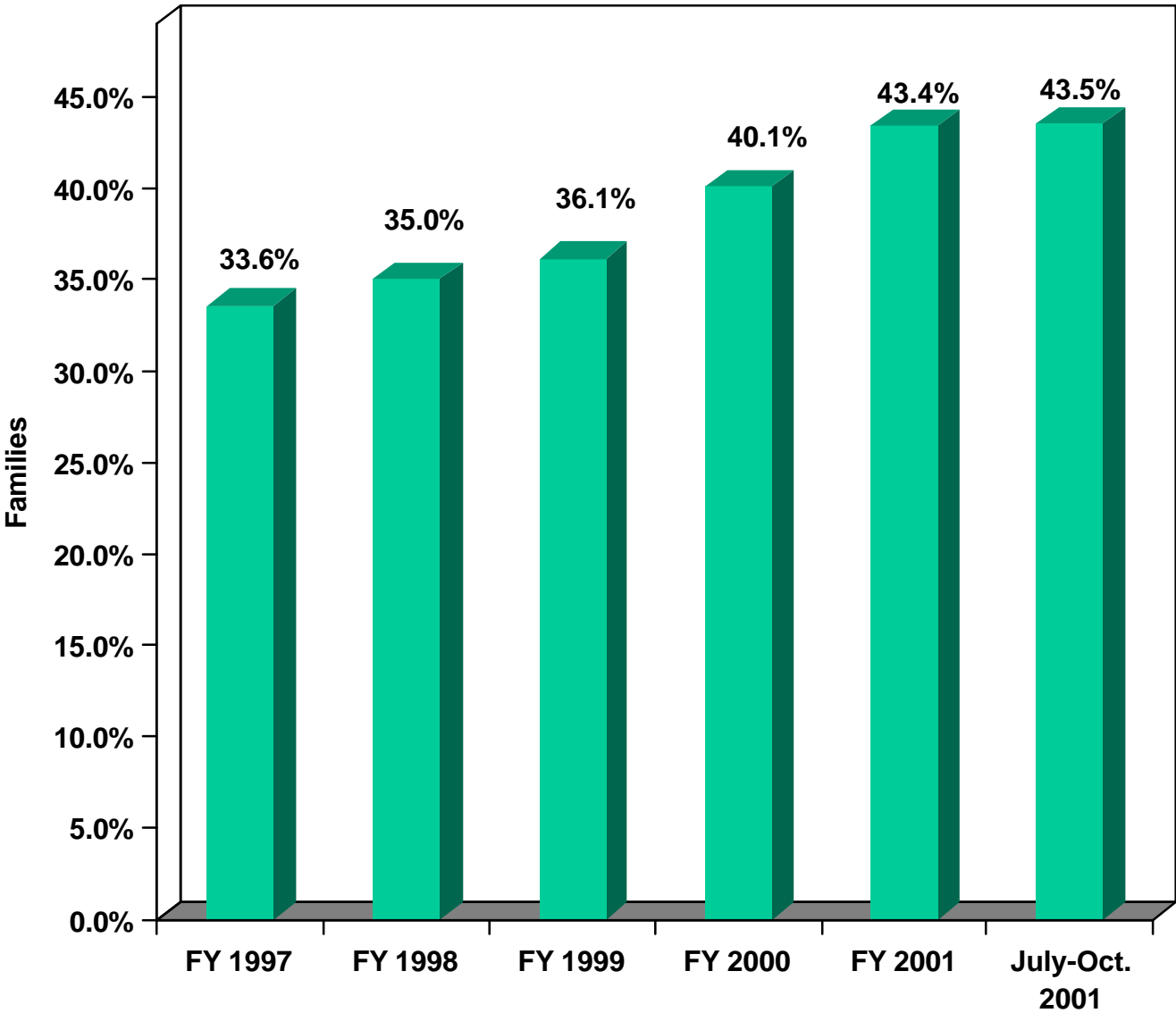
LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Applicants Placed	13,575	15,479	13,451	11,554	13,581	3,599	4,739 (a)
Occupied Units – Section 8 Certificates and Vouchers	71,679	74,692	76,363	75,171	76,093	74,879	77,747
Average Time to Resolve/Abate Complaints (Citywide) – Emergencies (Days)	NI	1	1	1	1	1	1
Average Time to Resolve/Abate Complaints (Citywide) – Maintenance Work Tickets	NI	25	22	21	11	13	12
Authority-Operated Community Centers	105	109	111	115	117	118	117
Average Daily Attendance at Authority-Operated Community Centers	5,488	6,166	5,764	5,387	5,494	5,613	4,973
Sponsored Community Centers	46	46	41	46	49	48	48
Average Daily Attendance at Sponsored Community Centers	4,976	6,401	6,847	5,536	6,433	5,821	5,983

- (a) The increase in applicants placed is due to a greater number of applicants placed in Section 8 housing.

New York City Housing Authority

Percent of Families Placed in NYCHA Developments Who Are Working Families Fiscal 1997-October 2001



DEPARTMENT OF DESIGN AND CONSTRUCTION

The Department of Design and Construction delivers the City's capital construction projects in a safe, expeditious and cost-effective manner, while maintaining the highest degree of architectural, engineering and construction quality. The Department uses in-house resources and private consultants and contractors to perform design and construction services related to streets and highways, sewers, water mains, correctional and court facilities; cultural institutions; libraries; schools; and other public buildings, facilities and structures. The Department coordinates a wide variety of construction projects with utilities, community representatives and private industry, thus minimizing the disruption to individual neighborhoods as well as reducing the costs associated with such projects.

GOALS AND OBJECTIVES

Goal: Complete Agency capital design and construction projects efficiently.

Objective
Ensure that 80% of projects are completed on time or ahead of schedule (excluding delays due to programmatic changes) in Fiscal 2002.
Ensure that 85% of completed construction projects remain within a 10% contingency for cost overruns (excluding programmatic scope changes) in Fiscal 2002.
Commit 32% of the capital commitment plan target in the first half of the fiscal year by distributing bidding of construction contracts more efficiently in Fiscal 2002.
For construction change orders under \$50,000, achieve a processing time of no more than 80 days from initiation to registration in Fiscal 2002.

Goal: Upgrade the City's infrastructure to provide more reliable water and sewer service, and smooth and safe roadways.

Objective
Design 81 infrastructure projects in Fiscal 2002.
Start 93 infrastructure construction projects in Fiscal 2002.
Complete 88 infrastructure construction projects in Fiscal 2002.

Goal: Build and renovate human services buildings (child development, health, aging and homeless facilities), public safety buildings (police, fire, juvenile justice, court, corrections and environmental protection facilities), and cultural institutions (libraries, theaters, museums and zoos); renovate public school buildings.

Objective
Design 30 human services projects in Fiscal 2002.
Start 34 human services construction projects in Fiscal 2002.
Complete 38 human services construction projects in Fiscal 2002.
Design 24 public safety projects in Fiscal 2002.
Start 27 public safety construction projects in Fiscal 2002.
Complete 38 public safety construction projects in Fiscal 2002.
Design 58 cultural projects in Fiscal 2002.
Start 49 cultural construction projects in Fiscal 2002.
Complete 36 cultural construction projects in Fiscal 2002.
Design school projects pending assignment by the Board of Education in Fiscal 2002.
Start school projects pending assignment by the Board of Education in Fiscal 2002.
Complete 55 school construction projects in Fiscal 2002.

DEPARTMENT OF DESIGN AND CONSTRUCTION

Goal: Improve the integrity of the design and construction process.

Objective
Perform site audits that rate staff and contractor performance on 85% of construction projects in Fiscal 2002.

Goal: Improve the technology used for design and construction projects.

Objective
Pilot state-of-the-art project management tools to provide improved access to project information and project team communications via the Internet in Fiscal 2002.
Pilot new ultra-light dynamic penetrometer technology to monitor backfill compaction during trench restoration in Fiscal 2002.
Continue development of a computer application to automate the work flow of the Competitive Sealed Proposal and Competitive Sealed Bid procurement processes in Fiscal 2002.
Implement Web-enabled File Transfer Protocol, in conjunction with the expanded use of Computer Aided Drafting and Design, to electronically transfer design drawings to consultants and utility companies in Fiscal 2002.
Provide basic project information on the Internet for construction projects managed by DDC in Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- Following the tragic events of September 11th the Department of Design and Construction (DDC) has been responsible for demolition and debris removal as well as monitoring the structural integrity of the underground retaining (slurry) wall at Ground Zero and the surrounding buildings.
 - Within hours of the September 11th disaster, the Department had four experienced construction firms on the site assisting with the search and rescue efforts and clearing wreckage. Each contractor was assigned one of four quadrants, and worked on an emergency-response basis pending contract finalization and registration. The proposed contracts include numerous subcontracts for tasks such as engineering analysis, dredging and dock installation, and trucking. The substance of the contracts has been approved by the Federal Emergency Management Administration to ensure that they qualify for federal disaster relief funds. One construction firm completed its work in November 2001.
 - Supervision of the four construction firms has been provided 24 hours a day, seven days a week by DDC staff. The City has also engaged independent private-sector inspectors general to monitor each construction firm.
 - DDC staff and structural engineering subconsultants are providing structural engineering support. Engineers worked to assess and monitor the structural integrity of the buildings that surrounded the World Trade Center complex and continue to work below grade to ensure the debris remains stable during removal.

DEPARTMENT OF DESIGN AND CONSTRUCTION

- In conjunction with the Department of Transportation (DOT) and the Department of Environmental Protection (DEP), DDC performed a television inspection of approximately 28,500 linear feet of sewer lines within the vicinity of Ground Zero to determine the integrity of the system. The three agencies are jointly preparing a complete scope of work for infrastructure repair and replacement of damaged sewers and water mains and the surrounding streets.
- Demolition of the World Trade Center buildings was completed in late December 2001, leveling the entire site at street level; the remaining work involving below-grade excavation and debris removal is underway.
- The Department worked with two of the construction firms to develop a consolidated plan for site management under DDC supervision. Under the plan, these firms created a single association to provide construction management services for the remaining work, with DDC supervising.
- As of February 2002, over 1.2 million of the estimated 1.5 million tons of debris on the site have been removed. The debris removal and site cleanup effort is scheduled for completion by June 2002.

INFRASTRUCTURE DIVISION

- In the first four months of Fiscal 2002 DDC completed the design of 26 infrastructure projects, compared to 25 projects during the same period in Fiscal 2001.
- The reconfiguration of Columbus Circle is a joint initiative with the departments of City Planning (DCP), Transportation, Parks and Recreation (DPR), and Environmental Protection for the permanent redesign of Columbus Circle and its monument area. In June 2001 the Columbus Circle Advisory Panel reconvened to review current plans and assist in developing a world-class design for Columbus Circle. As a result of that review, the landscape design is being modified and scheduled for completion in Spring 2002.
- During Fiscal 2001 the Department began a project to address ongoing flooding problems in Flushing, Queens. By June 2001, DDC completed the installation of 19 seepage basins. In August 2001 DDC, in conjunction with DEP, began design of a new combined sewer project for this area to divert flow from the existing combined system. The project includes the replacement of old unlined iron water mains and the installation of a combined sewer on 160th Street and 29th Avenue, and the surrounding area. Design is scheduled for completion in Spring 2002.
- In October 2001 DDC completed the design for installation of new storm sewers in Haughwout Avenue in the Port Richmond section of Staten Island. This project, valued at \$2.7 million, includes the upgrade of existing sanitary sewers and water mains.
- In March 2001 DDC completed the design for widening and reconstructing Weed Avenue in the Oakwood Beach section of Staten Island. This project, valued at \$4.8 million, will provide much needed storm sewers; an upgrade to existing sanitary sewers and water mains; and new roadway, sidewalks, curbs, traffic lights and pavement markings. Construction began in January 2002; completion is planned for Spring 2003.
- Design was completed in February 2001 on two projects to install lateral sewers to the north and south of Conduit Avenue in Queens, which will connect neighborhoods to the new, substantially expanded Springfield Boulevard storm water removal system and further relieve flooding conditions in these neighborhoods. Construction began in January 2001. Sewer construction north of Conduit Avenue was completed in Fall 2001; the remaining work in the area, including street restoration, was completed in January 2002. The work south of Conduit Avenue has been delayed due to utility interferences and is scheduled for completion in Summer 2002.

DEPARTMENT OF DESIGN AND CONSTRUCTION

- In the first four months of Fiscal 2002 DDC started 30 new infrastructure construction projects, compared to 43 during the same period in Fiscal 2001.
- In February 2001 DDC completed the design for the installation of new sanitary and storm sewers in the Arbutus Avenue area of the south shore of Staten Island. This project, valued at \$19.8 million, includes installation of retention basins, sediment control devices and environmental landscaping with special plants that absorb and filter water as it passes through the soil. Construction began in July 2001 and is scheduled for completion in September 2003.
- In the first four months of Fiscal 2002 the Department continued construction on two projects for Jamaica, Queens to incorporate the former Jamaica Water Supply system into the City's system.
 - The first project, which began construction in December 2000, includes the installation of new water mains and the replacement of old undersized, unlined mains. The project, involving 52 locations, is scheduled for completion in June 2002.
 - The second project, which began construction in September 2000, replaced 782 obsolete hydrants with new ones that can be locked in the summer; it was completed in February 2002.
- Reconstruction of sewers in the area bounded by Westchester Avenue, Bruckner Boulevard and Middletown Road in the Bronx, valued at \$17 million, began in September 2000; completion is expected by October 2002.
- In March 2001 DDC completed design for street reconstruction in the Crescent Street area of the Cypress Hills and Highland Park sections of Brooklyn. Construction for this project, valued at \$18 million, which includes sewer and water main installation, began in November 2001.
- In March 2001 DDC completed design for street reconstruction in the Bergen Avenue area of East Flatbush, Brooklyn. Construction for this \$27.7 million project, which includes sewer and water main installation, began in November 2001.
- In September 2001 DDC began construction on the installation of 50,000 linear feet of distribution water mains throughout Brooklyn. This project, valued at \$9.2 million, is scheduled for completion in March 2003.
- The Department began a \$5.2 million project to improve pedestrian safety along Queens Boulevard, from Rego Park through Forest Hills to Kew Gardens. The project includes the installation of pedestrian fencing to deter jaywalking, traffic signals, new crosswalks and improved pedestrian malls, from Eliot Avenue in Rego Park to Union Turnpike in Kew Gardens. Phase I, covering the area between 67th Road and 70th Road in Rego Park and Forest Hills, began in September 2000 and was completed in March 2001. Design for the second phase, covering the areas from Eliot Avenue to 67th Road, and 70th Road to Union Turnpike, was completed in July 2001; fence installation was completed in Fall 2001. Parking meters were installed by DOT along the median side of the service roads.
- In April 2001 DDC began a project to reconstruct the Avenue of the Americas from 56th to 59th streets in Manhattan. The project, totaling \$10.4 million, includes filling subsurface gaps, the installation of new reinforced concrete pavement, granite curbs, concrete sidewalks, new traffic signs, traffic signals and street lighting. To date, most work on the project has been substantially completed, except for the intersection at 57th Street and Avenue of the Americas and the two easternmost lanes between 58th and 59th streets. Due to traffic considerations, the remaining work can only be performed on weekends and will be completed by June 2002.

DEPARTMENT OF DESIGN AND CONSTRUCTION

- In October 2001 DDC began work on two street reconstruction projects in the Bronx, both of which include sewer and water main work, new street lighting, traffic signals, sidewalks and tree plantings. The \$20.6 million project on East 149th Street near Melrose Avenue is scheduled for completion in Summer 2003. The \$4.3 million project in the Marble Hill area is scheduled for completion in December 2002.
- In July 2001 DDC began installation of distinctive sidewalk and granite curbs on 110th Street from Frederick Douglass Circle to Frawley Circle in Manhattan. Completion of this \$4.2 million project, which also includes installation of streetlights, traffic signals and planters, is scheduled for early Spring 2002.
- In March 2000 DDC completed the design of the reconstruction of Dahill Road from Caton Avenue to 18th Avenue, and Avenue F from Dahill Road to Ocean Parkway in Brooklyn. Construction of this project, valued at \$6.8 million, began in December 2000 and is scheduled for completion in March 2002.
- In the first four months of Fiscal 2002 DDC completed the construction of 30 infrastructure projects, compared to 27 projects during the same period in Fiscal 2001. Projects completed include the installation of new sanitary and storm sewers in the New Dorp section of Staten Island and the reconstruction of Sutphin Boulevard in the South Jamaica section of Queens.
- In January 2000 DDC began reconstruction of Manhattan Avenue, between Commercial Street and Driggs Avenue, in the Greenpoint section of Brooklyn. This \$10 million project, which included sewer and water main installation and curb and sidewalk replacement, was completed in August 2001.
- In August 2001 DDC completed a \$2.3 million project for the installation of a combined sewer and roadway reconstruction on 23rd Avenue between Utopia Parkway and 207th Street in Queens.
- In October 2001 roadside restoration was completed where a 20-inch water main was installed along Stillwell Avenue, from the Pelham Parkway north service road to Ely Avenue in the Bronx. Construction for this project began in November 2000 and the water main component, which runs under the Hutchinson River Parkway, was completed in August 2001.
- The \$2.8 million reconstruction of Mulry Square began in March 2000 and was completed in September 2001. This project includes roadway reconstruction, water main replacement, tree planting, and installation of sidewalks, granite curbs, street lighting and traffic signals. It will improve traffic at the intersection of Greenwich Avenue, Seventh Avenue and West 11th Street in Manhattan.

STRUCTURES DIVISION

- During the first four months of Fiscal 2002 the DDC Structures Division designed 59 projects, compared to 65 projects during the same period in Fiscal 2001; began construction on 53 projects, compared to 87 projects during the same period in Fiscal 2001; and completed construction on 98 projects, compared to 147 projects during the same period in Fiscal 2001.

Schools

- During Fiscal 2001 the Structures Division was assigned 49 schools by the Board of Education (BOE) for preliminary survey and stabilization of window, roof, parapet and masonry work. Stabilization work was completed by September 2000. Scope reports were completed in December 2000.

DEPARTMENT OF DESIGN AND CONSTRUCTION

- In February 2001 BOE authorized DDC to proceed with design and construction on 44 of the 49 schools at a projected cost of approximately \$200 million.
- Work at the 44 BOE-assigned schools includes masonry, parapet and roof rehabilitation work valued at approximately \$116 million. Construction valued at \$100 million began in June 2001 and was completed by September 2001. The remaining \$16 million in work consists of long lead items primarily related to terra cotta restoration at 10 schools and is scheduled for completion during Summer 2002.
- Construction on one accelerated window repair and replacement project valued at \$2 million began in June 2001 and was completed by September 2001.
- Approximately \$82 million in window repair and replacement work at 26 schools is currently being bid, and pending funding approval from the Board of Education, is projected for award and construction during Summer 2002.
- The Structures Division also completed work on the long lead items for projects assigned in Fiscal 2000.
 - Construction began in June 2001 on masonry and parapet work at seven schools with terra cotta work, valued at approximately \$26 million. Work at six of the schools was completed by September 2001, and the remaining school was completed in January 2002.
 - In June 2001 construction also began for window repair and replacement work valued at approximately \$42 million at 18 schools. This work was completed by September 2001.

Health and Human Services

- During the first four months of Fiscal 2002 the Structures Division designed eight health care and human services facility projects, the same as in the reporting period last year. Projects designed included the new DNA Lab at Bellevue Hospital in Manhattan, renovations at the Manhattan Animal Shelter and renovations at the Hellenic American Neighborhood Action Committee (HANAC) skills development center in Queens.
 - Design for Phase II of the Jamaica Communi-Care Center project in Queens is on schedule for completion in May 2002. Construction on the main building is scheduled to begin in March 2002 with completion planned for December 2002. Construction of the annex is scheduled to begin in November 2002. The delay is due to a change in scope by the client.
- The Structures Division started 15 new health and human services projects in the first four months of Fiscal 2002, compared to 25 projects during the same period in Fiscal 2001. The projects included construction of a new playground at the George Conliffe Daycare Center in Brooklyn.
 - In February 2000 DDC began construction at the Crossroads Diagnostic Reception Center in the Bronx, a youth residence managed by the Administration for Children's Services. This \$15 million project, involving a complete renovation of several buildings and landscaping of the 10-acre property, will be completed in three phases. Phase I, including asbestos abatement, demolition and removal, was completed in July 2000. Phase II, involving renovations, began in August 2000 and was completed in February 2002. Construction for Phase III, which includes installing utilities and landscaping, began in early October 2001, with completion scheduled for May 2002.

DEPARTMENT OF DESIGN AND CONSTRUCTION

- In July 2001 DDC began construction on the Chelsea Recreation Center in Manhattan. The building will house a new pool, fitness center, locker rooms, computer labs, play areas, and arts and crafts areas. The project includes a complete gut renovation with minor façade restoration and will be completed by August 2003.
- In July 2000 construction began on renovations of a computer room and office facilities at three Human Resources Administration (HRA) offices in Manhattan: 180 Water Street, 330 West 34th Street and 111 Eighth Avenue. These projects will support computer operations and enhance social service programs administered by HRA. The 180 Water Street project was completed in April 2001; 330 West 34th Street was completed in November 2001, two months late due to a scope change by the client; the remaining location is scheduled for completion in November 2002.
- During the first four months of Fiscal 2002 the Structures Division completed 11 health care and human services facility projects, compared to 14 projects during the same period in Fiscal 2001. The projects included renovation of the Davidson Community Center in the Bronx.
 - Renovation of the tuberculosis clinics at the Brownsville Health Center in Brooklyn, the Chelsea Health Center in Manhattan, the Corona Health Center in Queens, and at the Bedford Health Center in Brooklyn continued during Fiscal 2002. Construction of the Brownsville facility was completed in September 2001; construction at the Chelsea and Bedford centers is now scheduled for completion in March 2002. Completion of the Corona Center is scheduled for December 2002. Construction delays at the Bedford, Chelsea and Brownsville centers are due to a scope change to include roof work. The Corona Center was delayed due to a contractor default.
 - In August 2001 DDC completed construction of the Hunts Point Recreation Center, a new \$4.5 million facility designed to serve approximately 100 youth ages 13 to 18 with a well-rounded program of educational, social and athletic activities.
 - In August 2001 DDC completed the new, \$6 million Beach Channel Daycare Center in Queens. This new facility will provide daycare and after-school programs for 175 children.

Public Safety

- During the first four months of Fiscal 2002 DDC designed seven new public safety projects citywide, compared to 10 projects during the same period in Fiscal 2001.
 - In February 2001 the Department completed design of the total rehabilitation of Engine Company 93 in Manhattan and Engine Company 210 in Brooklyn. Construction of both projects began in August 2001, with completion scheduled for August 2002.
 - Design for the total rehabilitation of Engine Company 282 in Brooklyn and Ladder Company 25 in Manhattan began in December 2000 and was completed in December 2001. Construction of these facilities is anticipated to begin by Spring 2002.
 - In August 2000 DDC began the design for a new Public Service Answering Center (PSAC II) to be located adjacent to the New York City Police Department's (NYPD) headquarters in Manhattan. This building will house state-of-the-art telecommunications equipment and, in conjunction with PSAC I in Brooklyn, will serve as an intake center for emergency calls. Due to significant scope changes made by NYPD to enhance security, the projected cost of construction is now in excess of the original budget. The new design and budget was submitted for budget review in January 2002; further design and construction activity is on hold pending approval.

DEPARTMENT OF DESIGN AND CONSTRUCTION

- The design on a combined EMS/Fire Station on Rossville Avenue in Staten Island began in November 2000, and was completed in June 2001. Construction began in February 2002 and is scheduled for completion in February 2003.
- During Fiscal 2001 DDC began design for major additions to the recently completed Horizon and Crossroads Juvenile Justice centers in Brooklyn and the Bronx, respectively. The current estimate for construction of the two additions, adding 100 beds to each facility, is a total of \$110 million. Pending funding authorization, both design completion and construction start are scheduled for Fiscal 2003.
- During Fiscal 2001 the Queens Criminal Court Phase II addition was on hold while two expansion options were assessed. The first option was within the permissible zoning and required no special approvals; the second option was more extensive and required a Uniform Land Use Review Procedure (ULURP). In May 2001 a decision was made to proceed with the first option that fit within the existing zoning envelope. This option will add 24 new court parts at a construction cost of approximately \$150 million, including renovation work on the existing building. Schematic design has recommenced; design completion and construction start are scheduled for Fiscal 2003 pending funding authorization.
- In May 2001 design began for the Department of Correction's (DOC) \$75 million Capacity Replacement Program in which temporary housing on Rikers Island will be replaced by permanent facilities. The program includes construction of a 200-bed facility at the Adolescent Reception and Detention Center and an 800-bed facility at the Rose M. Singer Center for Women. Design completion is scheduled for early Fiscal 2003. Due to the facilities' proximity to La Guardia Airport, Federal Aviation Administration approval of the design of the structures is required before construction can begin.
- During the first four months of Fiscal 2002 DDC started 14 new public safety construction projects citywide, compared to 31 projects during the same period in Fiscal 2001.
- The Department is implementing a court-ordered fire/life safety program, valued at \$190 million, for DOC. The program includes upgrades to fire alarm and sprinkler systems, additional means of egress, fire-rated partitions, smoke management/purge systems and smoke detection systems.
 - Projects at the Adolescent Reception and Detention Center, Anna M. Kross Center, Eric M. Taylor Center, George Motchen Detention Center and James A. Thomas Center, all on Rikers Island, as well as the Bronx Detention Complex, are currently under construction and scheduled for completion by December 2002.
 - In addition, an \$8.3 million project at the Brooklyn House of Detention, adding two exterior stair towers, was completed in March 2001, three months ahead of the court mandated date. In April 2001 a \$15 million project began at the same facility to install fire alarm, smoke detection and sprinkler upgrades. Completion is scheduled for December 2002.
- In February 2001 DDC began work on upgrades to the Fire Department of the City of New York's (FDNY) Training Academy on Randall's Island in Manhattan. Phase I of the project, including site preparation, street widening and the installation of underground utilities, was completed in July 2001. Phase II, including the renovation of a smoke training building and the construction of a new classroom building, a field house and fire training building, began in July 2001; completion is scheduled for February 2003.
- During the first four months of Fiscal 2002 the Structures Division completed six public safety construction projects, compared to 31 projects during the same period in Fiscal 2001.

DEPARTMENT OF DESIGN AND CONSTRUCTION

- In July 2001 DDC completed the total rehabilitation of Engine Company 73 in the Bronx. This \$4.5 million project included new apparatus floors and parking facilities.
- In July 2001 DDC completed the new Harlem EMS Station in Manhattan. This \$2.8 million facility, built to accommodate seven ambulances, is part of the FDNY Early Response Program.

Underground Storage Tanks

- DDC installs new petroleum tanks, closes noncompliant tanks and remediates underground spills to comply with State and federal regulations.
 - To date, the Department has installed or upgraded 566 new gasoline and diesel tanks and closed 1,104 substandard gasoline and diesel tanks.
 - During Fiscal 2000 the program expanded to include work on emergency generator tanks, waste oil tanks, heating oil tanks and hoist oil tanks as mandated by State and federal regulations. As of February 2002 the Department has installed or upgraded a total of 187 and closed a total of 172 emergency generator tanks, waste oil tanks, hoist oil tanks, motor oil tanks and other petroleum product tanks. In addition, the Department continued its review of potential remediation work at a total of 259 sites. To date, the Department has installed 38 remediation systems and obtained 67 “No Further Action” letters from the State Department of Environmental Conservation; the remaining 154 sites remain under investigation.
 - During Fiscal 2001 the program expanded to include pressure testing of heating oil tanks. As of February 2002 the Department tested 260 heating oil tanks and is on schedule to replace 103 heating oil and emergency generator tanks by June 2002, pending funding authorization.

Cultural Institutions and Libraries

- In the first four months of Fiscal 2002 the Structures Division designed 19 cultural institutions and libraries projects, compared to 26 projects during the same period in Fiscal 2001.
 - Design for the renovation of the Poppenhusen Branch Library in Queens, originally completed in August 2001, was revised due to additional requirements by the client and completed in November 2001. Construction is now scheduled to begin in June 2002.
 - Design for Phase I of the new College Point Sports Park in Queens was completed in June 2001; design for Phase II was completed in November 2001. The scope of this \$4.9 million project includes new baseball fields, a hockey rink, landscaping and lighting. Also included is a field house that provides restrooms; changing spaces for sports teams; and storage for sports equipment, DPR maintenance equipment and vehicles. Phase I construction, which includes fill and rough-grading of the nine-acre area and the installation of utility lines, site drainage, sewer and water connections, and pilings for the field house, began in July 2001 and is scheduled for completion in June 2002. Phase II, which includes construction of the field house, hockey rink, ball fields, roadways and landscaping, is expected to begin in July 2002 and be completed in April 2003.
 - In November 2000 DDC began the design for Aaron Davis Hall in Harlem. This project, sponsored by the Department of Cultural Affairs (DCLA), will transform the 135th Street Gatehouse building, a 100-year-old granite structure that formerly served as a valve station for the City’s water supply system, into a state-of-the-art performance center for the community. Design is scheduled for completion in October 2002.

DEPARTMENT OF DESIGN AND CONSTRUCTION

- Design for a new addition to the Queens Theater in Flushing Meadows-Corona Park began in September 2000. The project scope includes a new café/cabaret theater with additional improvements to existing administrative spaces. Design is scheduled for completion in February 2003.
- In October 2000 the Department began design for an \$8.4 million project at the Queens Botanical Garden. The scope includes a new reception building, landscaping, a new maintenance building and administrative space. Design is scheduled for completion in June 2002.
- Design for the expansion of the Bronx Museum of the Arts, including a new façade and main entrance, and the renovation of galleries, educational areas, the gift shop and administrative offices, began in June 2001 and is expected to be completed in December 2002.
- DDC, in coordination with DPR, is developing new recreational facilities for 38 acres of the eastern portion of Bloomingdale Park in Staten Island. Facilities include walking/bicycle trails, baseball/softball fields, soccer fields, tennis courts, basketball courts, two comfort stations and a playground. Design for Phase I, which includes site clearing of 13 acres, rough grading and installation of soil erosion prevention systems, was completed in April 2001. Phase II design, which includes construction of ball fields, comfort stations, a playground, path lighting and bridges, was completed in August 2001. Construction, originally anticipated to begin in June 2001 and be completed by April 2002, is delayed due to a court-issued temporary restraining order.
- During the reporting period DDC began the design of three new branch libraries in Queens and Brooklyn. Design for the Cambria Heights and Long Island City libraries in Queens is scheduled for completion by the end of March 2002 and June 2002, respectively; design for the Kensington Library in Brooklyn is scheduled for completion in May 2002.
- In June 2001 DDC completed the design of a \$2 million visitor's center at Wave Hill in the Bronx. This project will transform an existing service building into the visitor's center and a horticulture storage area. Construction is scheduled to begin in April 2002.
- During the first four months of Fiscal 2002 DDC started 24 new projects at cultural institutions and libraries, compared to 27 projects during the same period in Fiscal 2001.
 - Construction of Phase I of the Staten Island Children's Museum, which includes the gut renovation of an historic barn, was completed in September 2001. Phase II of the project, the construction of a connector building between the barn and existing museum, began in October 2001. Completion is scheduled for June 2003.
- During the first four months of Fiscal 2002 the Department completed 16 projects at cultural institutions and libraries, compared to 13 projects during the same period in Fiscal 2001.
 - In May 2001 DDC started a new design contract for the Brooklyn Children's Museum Master Plan to improve the museum's image and visibility and provide needed renovations, costing approximately \$17 million. The plan includes a substantial new building addition that will provide larger and more flexible exhibition spaces, and improved visitor amenities, such as a café, museum shops and parking. Design is scheduled for completion in October 2002.

DEPARTMENT OF DESIGN AND CONSTRUCTION

- Projects completed in Brooklyn include interior renovations at the Marcy Branch Library, ADA compliance renovations at the Ryder Branch Library, the addition of an open-air reading garden at the Red Hook Branch Library and heating, ventilation and air conditioning (HVAC) replacement for the Mill Basin Branch Library. HVAC replacement was also completed at the Seaside and Ridgewood branch libraries in Queens. The total value of this work is approximately \$2 million.
- In September 2001 DDC completed expansion of the Staten Island Zoo Animal Hospital. This \$1.2 million project included new tiger cages and treatment rooms for zoo animals.

SPECIAL INITIATIVES

- In April 2001 the City reactivated the West Nile Virus Task Force, a multi-agency effort chaired by the Mayor's Office of Operations. Originally established in June 2000, the Task Force enhances coordination between the Department of Health (DOH) and 22 other City and quasi-governmental agencies in responding to standing water complaints, develops strategies to remediate large properties that are potential mosquito breeding grounds, provides integrated enforcement and prevention capabilities, and takes other actions to minimize the threat of the virus.
 - As a participant in this Task Force, DDC's field inspectors routinely evaluate sites for the presence of standing water or other conditions that might provide breeding grounds for mosquitoes. This information is used by project managers and resident engineers in the field to ensure that general contractors and construction managers correct any problems with standing water and comply with the specific requirements of their contracts to have a licensed exterminating company provide insect control at DDC sites.
 - DDC also provides technical information to DOH and shares information with other City agencies to aid in the mitigation of identified problems.
 - DDC designs all roadway and sewer projects to ensure proper drainage and eliminate standing water problems.
- DDC, as part of the Rodent Control Task Force, continued its efforts during the reporting period. Established in June 2000, the Task Force is comprised of over 15 City agencies and quasi-agencies and is chaired by the Mayor's Office of Emergency Management, the Mayor's Office of Operations and the Department of Health. It coordinates Integrated Pest Management practices, including assessment, abatement and eradication activities.
 - DDC's site safety and quality assurance inspectors conduct routine inspections for indications of rodent infestation. In the field, project managers and resident engineers ensure that contractors and construction managers are in compliance with the specific requirements of their contract for rodent and insect control and furnish a licensed exterminating company to provide inspection and treatment for rodent control.

DESIGN AND CONSTRUCTION PROCESS REFORM

Project Management

- The Department continues its Quality Assurance program, which audits Structures and Infrastructure Division projects for management, record keeping, construction quality, safety and site maintenance. During the first four months of Fiscal 2002 a total of 742 quality assurance and site safety inspections were performed on 263 projects, representing 55.4 percent of DDC's Fiscal 2002 ratable construction projects.

DEPARTMENT OF DESIGN AND CONSTRUCTION

- During the second half of Fiscal 2000 DDC began a pilot evaluation of two Web-based project management tools that track projects through their life cycles, provide a repository for documents and drawings, and facilitate distribution of information and team communications. DDC has recently added a third software product to the pilot program and began using it on a new infrastructure project. One of the original pilot projects is now complete. When the remaining two pilot projects are complete, DDC will analyze the results and make a determination about the effectiveness of the tools and future implementation.
- The Department continues to track and report Key Performance Indicators (KPI) for design and construction projects in its Structures and Infrastructure divisions as well as for DDC's Chief Contracting Office, Information Technology Unit, Legal Department, the Survey Unit of the Technical Support Division and for the Personnel Unit. Initial results of KPI implementation include improved capital project planning, reduced duration of legal contract review, faster turnaround on surveys for design and a reduction in processing time for critical phases of the Agency Chief Contracting Office procurement process. KPI reporting is currently being developed for the agency's Internal Audit unit.

Design and Process Reform

- In order to better manage its workload and increase productivity and effectiveness, DDC has committed a predetermined percentage of the capital commitment plan within the first half of each fiscal year by distributing the bidding of construction contracts more efficiently. Historically, the majority of capital commitments have occurred during the last quarter of the fiscal year. Each year DDC has exceeded its plan. During the first six months of Fiscal 2002, DDC committed 41 percent of the capital commitment plan, exceeding its plan of 32 percent.
- The Department continues to implement its High Performance Building Guidelines on select capital projects. The guidelines include objectives, technical strategies and performance criteria for the construction and operation of more energy-efficient buildings; goals range from improved indoor air quality to reduced operating costs. To date, DDC used the guidelines for two completed construction projects and is now using them for one project currently in construction and 16 projects currently in design. An additional six projects that are in the pre-design phase have been identified for future guideline implementation.
- During Fiscal 2001 DDC instituted a new design quality initiative called "Peer Review" or "Commissioner's Review." This is a presentation of a particular project by its architect to the Commissioner, senior staff and one outside architect. The goal is to ensure that design and urban issues have a chance to be presented and considered in the development of new buildings, and to share knowledge among the staff. An important part of the review is the participation of an outside architect, who is expert in the type of building that is being reviewed. Projects that come to the Commissioner's review will generally be in the schematic phase or early design development, which allows the architect time to accommodate suggestions before the design is finalized.
 - The Peer Review also provides staff with State-approved continuing education credits towards professional licensing requirements.
 - From July 2001 to January 2002 four projects were reviewed: the Queens Criminal Court expansion, Aaron Davis Hall, PSAC II and the renovation of the Highbridge Library.

- In partnership with DCLA and the Queens Museum of Art, in Fiscal 2001 the Department announced a national design competition to select an architect for an expansion of the Museum. For the first stage of the competition all interested architects were asked to submit design concepts. A total of 347 architects registered for the competition and 198 submissions were reviewed by a panel of judges who selected five finalists to develop more detailed designs for the final selection. A winner was announced in December 2001; an exhibition of the finalists' work, hosted by the Architectural League of New York, was held at the Urban Center in December 2001. An extended exhibition of works from the competition will be held at the Queens Museum of Art beginning in March 2002. By sponsoring a design competition, DDC seeks to identify new design talent, provide architects with greater access to City projects, and create new opportunities to respond to architectural innovation. This competition was supported in part by a New Public Works grant from the National Endowment for the Arts, through an innovative program initiated in Calendar 2000 to fund architectural competitions to enhance the public realm. DDC was one of 10 national recipients of this grant.

CUSTOMER SERVICE AND TECHNOLOGY

- During the first four months of Fiscal 2002 DDC received 196,191 page views on NYC.GOV, the City's official Web site, compared to 92,609 views during the same period in Fiscal 2001.
 - DDC's Web pages offer a Request for Proposals (RFP) service to the industry. With a click of a button, subconsultants can review which RFPs have been issued to prequalified firms and the list of firms that have received them. Subconsultants can then contact the firm and offer their services. During the first four months of Fiscal 2002 this site received 1,962 visits and feedback from subconsultants has been favorable.
- The Department's customized computer application Contract Data System (CDS) centrally maintains information on all DDC contracts. The benefits of CDS, which is being implemented in three phases, include expanded tools for managing the capital commitment plan, project schedules and budgets. Phase I was implemented in November 1999. Phase II, which includes added functionality related to prequalified lists and assigned and renewed contracts, was implemented in June 2001. Analysis for Phase III, which includes vendor performance tracking and enhanced historical information on contracts to help DDC better evaluate the qualifications of prospective contractors, began in November 2001.
- The Standardized Change Order Record Entry (SCORE) computer system tracks the status of each change order and identifies the cause of any delays. Development of Phase I was completed in August 2000. Quality assurance testing and user acceptance was completed in November 2000. Development of a new user manual, training and rollout of the application were completed in January 2001. To date, more than 1,150 Change Orders have been entered into the system. Plans for Phase II include an expanded link to capital budget screens and updates to contract totals. Completion is planned for March 2002.
- The Department is developing a protocol that will enable the electronic file transfer of design drawings to consultants and utility companies. Benefits include reduction in the time and cost to deliver the drawings and improved coordination of infrastructure construction projects with utility companies. A phased implementation, starting with one utility company, began in November 2001.
- In November 2000 DDC began to pilot new ultralight dynamic penetrometer technology (known by its French acronym, PANDA), which monitors the compaction of backfill during trench restoration, such as the backfill of street excavations, and transfers the results to a laptop computer for instantaneous analysis. The improved ability to ensure that soil compaction is in compliance with specifications for the project should result in higher quality roadwork.

DEPARTMENT OF DESIGN AND CONSTRUCTION

- Data collection and preliminary evaluation have been substantially completed. Initial findings indicate that PANDA can verify the relative density of a compacted trench and reveal the thickness of each layer of soil in place. Analysis is now being done to correlate the findings with the physical condition of pavement to determine how well PANDA can project the magnitude of future settlement. The collected data is also being forwarded to the Polytechnic University and the equipment manufacturer for further review. The pilot will continue in Spring 2002 with additional equipment recommended by other PANDA users.
- DDC has been invited to participate in a task force of New York City infrastructure agencies including DOT, DEP, the Port Authority of New York and New Jersey and local utility companies, to review current practices for soil compaction control for urban applications. PANDA will be one of the technologies evaluated.
- In Fiscal 2000 the Department began development of an application to support procurement processing. The system, which is being developed by a private consultant, includes automatic document generation, electronic notifications, the creation of schedules and date tracking of specific tasks. Phase I, which supports Competitive Sealed Proposal processing, was delivered in June 2001, and implemented in September 2001 following scope changes recommended by the testing unit. Phase II, which supports Competitive Sealed Bid processing, was completed in December 2001 and implemented in February 2002.
- DDC is further developing a Geographic Information System (GIS) to capture and deliver information on the Department's construction projects and make it available on the DDC intranet. The system will provide a means to group or coordinate similar projects in close proximity and to better coordinate with private utility companies, resulting in less disruption to the community. Future development will be integrated with the citywide GIS initiative on the City's intranet.
 - Phase I, completed in November 2000, enables project managers to place project locations onto an electronic map for all DDC projects.
 - Phase II, which is currently in quality assurance testing, includes posting basic project information on the City's intranet for active and completed construction projects managed by DDC. This will enhance coordination with other City infrastructure agencies. Implementation is planned for March 2002.

FINANCIAL PLAN

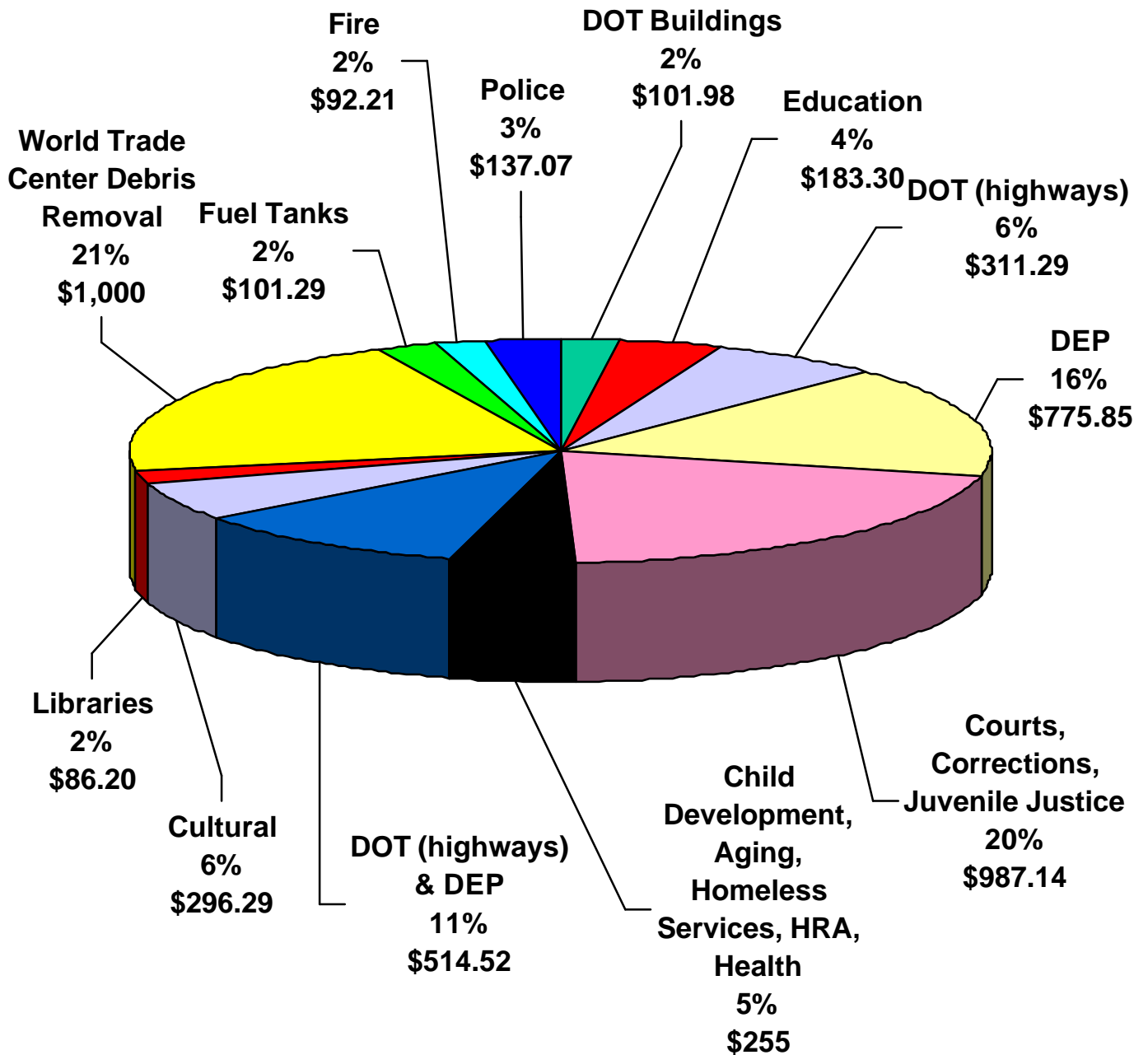
- During the first four months of Fiscal 2002 the Department's expenditures were \$164.92 million, compared with its plan of \$1.08 billion; the Department's Fiscal 2001 expenditures were \$83.2 million.
- The Department has planned expenditures of \$926.04 million for Fiscal 2002 and \$85.41 million in Fiscal 2003. As part of the process for obtaining federal reimbursement, the Department's four-month plan included an estimate of total expenses for the emergency World Trade Center debris removal project. Subsequently, the Fiscal 2002 Annual Plan has been revised to reflect the new estimate of the debris removal project.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Percent of Projects Audited	9%	34%	58%	68%	96%	52%	55%
Percent of Projects Completed Early or On Time	47%	64%	77%	88%	85%	87%	82%

Department of Design and Construction

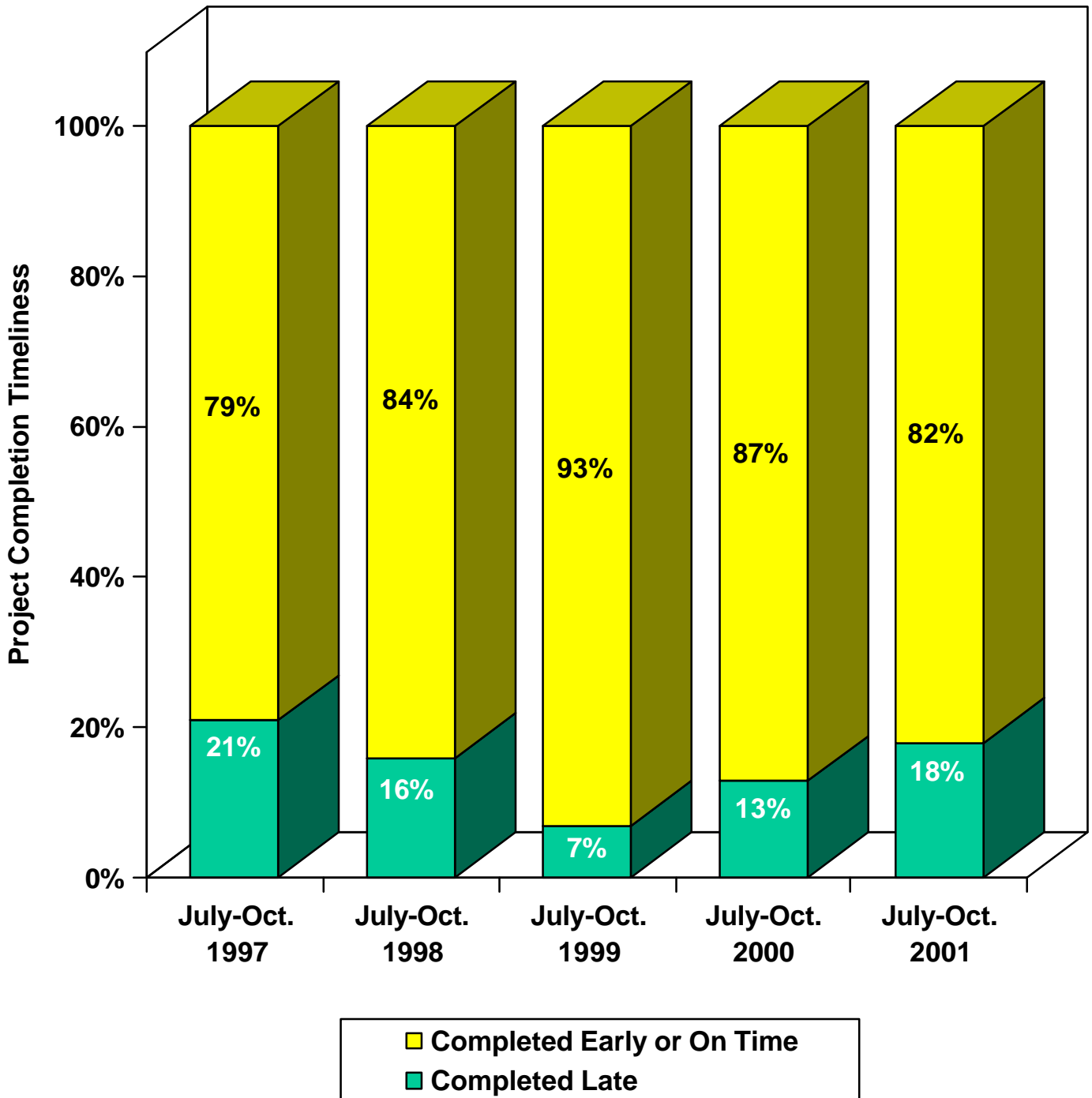
Dollar Value (in millions) of Projects in Portfolio by Client Agency July - October 2001



Total Value of Projects: \$4.84 Billion

Department of Design and Construction

Project Completion Timeliness July-October 1997-2001



DEPARTMENT OF SANITATION

The Department of Sanitation promotes a healthy environment through the efficient management of municipal solid waste generated in the City and the development of environmentally sound long-range plans for handling future solid waste. Each year it provides for the collection and disposal of refuse; the collection, handling and marketing of recyclables; the clearing of litter, snow and ice from 6,000 miles of streets; the removal of debris from vacant lots; the removal and recycling of derelict vehicles; and the enforcement of health and administrative code provisions.

GOALS AND OBJECTIVES

Goal: Protect the public health and enhance quality of life through the efficient collection and disposal of solid waste.

Objective

Collect 3 million tons of household and institutional refuse in Fiscal 2002.

Dispose of 3.4 million tons of household and institutional refuse in Fiscal 2002.

Goal: Reduce the waste stream requiring disposal through waste prevention, composting, and the collection, processing and marketing of recyclables.

Objective

Recycle 25 percent of the City's residential waste stream in Fiscal 2002.

Enforce the City's recycling-related administrative code provisions by issuing over 69,000 Notices of Violation returnable to the Environmental Control Board in Fiscal 2002.

Continue to improve citywide recycling awareness and compliance through public education and advertising campaigns, particularly in schools, New York City Housing Authority sites and areas in which a low percentage of recyclables is separated for collection.

Continue to promote waste prevention through outreach, education and technical assistance programs targeted at City agencies, businesses and the general public.

Goal: Develop and implement plans for securing contracts with private vendors for long-term services in connection with the transfer and export of the City's residential solid waste.

Objective

By the revised date of June 2002 contract with a vendor to provide professional services that will support the implementation of long-term barge- and rail-based waste export projects, a comprehensive study of the City's commercial waste management and the development of a new 10-year Solid Waste Management Plan.

By the revised date of June 2002 the professional services consultant will begin the design of a waste transfer facility at the site of the former Southwest Brooklyn Incinerator.

By the revised date of June 2002 release three Requests for Proposals for the award of long-term contracts with private vendors for the receipt, processing and disposal of Department-managed waste generated in the Bronx, and parts of Brooklyn and Queens.

By September 2001 select a vendor to begin the construction of the new Staten Island waste transfer facility. By February 2002 begin construction of the waste transfer facility.

By the end of Fiscal 2002 complete the negotiations, and award and register a long-term Enclosed Barge Unloading Facility contract for facility construction and the long-term receipt, containerization, transport and disposal of 6,500 tons per day of Department-managed waste from Manhattan and parts of Brooklyn and Queens.

DEPARTMENT OF SANITATION

Goal: Administer the interim contracts for alternative refuse disposal.

Objective

Continue the exportation of approximately 1,900 tons per day of Bronx refuse, 3,700 tons per day of Brooklyn refuse, 2,300 tons per day of Manhattan refuse, 900 tons per day of Staten Island refuse, and 3,000 tons per day of Queens refuse in Fiscal 2002.

Goal: Enforce the City's health and administrative codes that contribute substantially to cleanliness and public health.

Objective

Continue to enforce efforts to enhance the City's quality of life by issuing over 355,000 Notices of Violation returnable to the Environmental Control Board in Fiscal 2002.

Goal: Maintain clean City streets and vacant lots, and remove litter, snow, ice and derelict vehicles.

Objective

Achieve Scorecard ratings of acceptably clean for 83 percent of streets in Fiscal 2002.

Allow no districts to be rated less than 67 percent clean in Fiscal 2002.

Allow no sections to be rated less than 67 percent clean in Fiscal 2002.

Reach 99% of tagged vehicles within three workdays in Fiscal 2002.

Goal: Provide for and respond to community assistance inquiries relating to complaints, scheduled collections and other sanitation services.

Objective

Respond to written and verbal complaints within eight and two days, respectively, in Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

FRESH KILLS LANDFILL CLOSURE

- The Department of Sanitation (DOS) continues its activities supporting the closure of the Fresh Kills Landfill, and completion of the Landfill End Use Design Competition and Selection.
 - During the first six months of Fiscal 2002 the Department issued a series of final reports and publications discussing the closure of Sections 1/9 and 6/7. The Final Cover Design Report details the remaining construction work necessary for closure, a landfill closure construction project schedule, post-closure maintenance requirements and post-closure activity costs. The Department will release an Annual Landfill Closure Progress Report to detail closure progress; the first report will be published in March 2002. In addition, the Post-Closure Monitoring and Maintenance Operations Manual, to be published by December 2002, will provide information necessary to maintain the landfill for the entire post-closure period.

DEPARTMENT OF SANITATION

- In December 2001, a panel selected three finalists in the End-Use Design Competition to plan future uses of the Fresh Kills Landfill. The competition was conducted by the Department of City Planning (DCP) in collaboration with DOS, and with the assistance of the Department of Parks and Recreation (DPR), the Department of Cultural Affairs (DCLA), the New York State departments of State and Environmental Conservation and the Municipal Art Society (MAS). The selected finalists, who proposed designs for a 2,200-acre park, will work with DCP, DOS, DPR and DCLA to negotiate a final Fresh Kills Master Plan Services contract; DOS expects this contract to be awarded by the end of Fiscal 2002. The Fresh Kills end-use designs can be viewed at nyc.gov/freshkills, a DCP Web page on NYC.GOV, the City's official Web site.

LONG-TERM EXPORT PLAN

- In August 2001 the Department selected a vendor for professional waste management services to support the Department's efforts to implement long-term waste export plans; assist with the completion of a comprehensive study of commercial solid waste management in the City; and provide professional services for developing a new comprehensive solid waste management plan, covering the years Calendar 2003 through Calendar 2012.
 - During the first half of Fiscal 2002, the professional services consultant began providing technical assistance on the design and permitting of a waste transfer facility to be constructed at the site of the former Southwest Brooklyn Incinerator. The facility will export containerized Department-managed Brooklyn waste by barge. In addition, by the revised date of December 2002 the Department will release a Request for Proposals (RFP) for the award of a long-term contract with a private vendor for the receipt, processing transport and disposal of a portion of Brooklyn's Department-managed waste.
 - The professional services consultant will also assist the Department in the release of three RFPs by June 2002 for the long-term barge- or rail-based export of Department-managed waste generated in the Bronx and portions of Brooklyn and Queens. In Queens, the Department will contract with a vendor to export a portion of that borough's waste from a Queens waste transfer station. For a portion of Brooklyn's Department-managed waste, the Department will contract with a vendor to either retrofit and operate the Greenpoint Marine Transfer Station or export from a waste transfer station in the same waste shed.
- During the first four months of Fiscal 2002 the Department continued contract negotiations with the vendor for the proposed Linden, New Jersey waste transfer facility. The contract provides for facility construction and containerization, rail transport and disposal of 6,500 tons per day of City residential waste from all of Manhattan, and parts of Queens and Brooklyn. The Department expects the contract to be registered by June 2002.
- In June 2001 the Department released a bid for the construction of the Staten Island Transfer Station and received responses in August 2001. A vendor to construct the facility was selected by September 2001; construction is expected to begin in February 2002.

RECYCLING AND WASTE PREVENTION

- The Department continues to work toward achieving the maximum diversion of recyclable materials from the City's waste stream.
 - In the first four months of Fiscal 2002, 19.7 percent of the Department-managed curbside residential, institutional and other generated waste was diverted from exportation or disposal. In addition, during the first four months of Fiscal 2002 the total recycling diversion rate was 37.4 percent.

DEPARTMENT OF SANITATION

STREET CLEANING AND COLLECTION

- In the first four months of Fiscal 2002 an average of 83.1 percent of City streets were acceptably clean, compared to 86.5 percent in the first four months of Fiscal 2001.
- In April 2001 the City reactivated the West Nile Virus Task Force, a multi-agency effort chaired by the Mayor's Office of Operations. Originally established in June 2000, the Task Force enhances coordination between the Department of Health (DOH) and 22 other City and quasi-governmental agencies in responding to standing water complaints, develops strategies to remediate large properties that are potential mosquito breeding grounds, provides integrated enforcement and prevention capabilities, and takes other actions to minimize the threat of the virus.
 - During the first four months of Fiscal 2002 the Department cleaned a total of 1,654 lots. Of these, 476 were private lots, a 2.5 percent decrease from the 488 private lots cleaned during the first four months of Fiscal 2001. The decline in the number of lots cleaned for this period was a result of Lot Cleaning personnel reassigned to the World Trade Center cleanup.
- The Department, as part of the Rodent Control Task Force, continued its efforts during the reporting period. Established in June 2000, the Task Force is comprised of over 15 City agencies and quasi-agencies and is chaired by the Mayor's Office of Emergency Management, the Mayor's Office of Operations and DOH. It coordinates Integrated Pest Management practices, including assessment, abatement and eradication activities.
- In response to the September 11th disaster, the Department established an Emergency Response Division (ERD) to handle the daily cleaning activities at the disaster site. The initial cleaning of Ground Zero was scheduled in two 12-hour shifts, seven days a week, for the two-fold cleaning and hauling operation. From the beginning of the City's debris removal operation through the end of October 2001, ERD assisted with the removal of over 474,332 tons of debris from Ground Zero, of which 347,906 tons were disposed at the Fresh Kills Landfill. In addition, as the perimeter of the restricted zone was reduced, Department personnel continued to flush affected streets, as well as major thoroughfares south of Canal Street.
 - The cleanup operation involved manual and mechanical sweeping, street flushing, and debris removal with heavy -duty front end loaders. The hauling operation entailed the use of heavy -duty equipment to transport debris to either the Fresh Kills Landfill, Hamilton Avenue, 59th Street transfer stations, Pier 6 or Pier 25. Since the disaster, approximately 16,000 sanitation cleaning shifts have been devoted to the World Trade Center Operation.
 - In collaboration with DOH, DOS participated in an interagency "Corporate Cafeteria" initiative. DOH assigned employees with access orders to enter restaurant premises, remove perishable food items that spoiled due to lack of refrigeration and/or exposure, and dispose of the materials in four DOS collection trucks per eight-hour shift. In addition, DOS provided removal service to all food stops established by volunteer organizations to feed rescue and emergency workers within the September 11th disaster vicinity 24 hours a day, seven days a week.
 - The Department's Derelict Vehicle Operation's used light- and heavy-duty tow trucks to remove and transport vehicles damaged or destroyed in the disaster area. The vehicles were first taken to Adams Street in Brooklyn, and then to Fresh Kills Landfill and other locations designated by the Mayor's Office of Emergency Management.

DEPARTMENT OF SANITATION

TECHNOLOGY

- During the first four months of Fiscal 2002 the Department's home page on NYC.GOV received 345,624 page views, 129 percent more than the 151,152 page views received during the first four months of Fiscal 2001.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Department's expenditures were \$518.7 million, compared with its plan of \$441.6 million. The Department's Fiscal 2001 expenditures were \$935.5 million.
- The City's Financial Plan of February 2002 outlines expenditure savings and revenue initiatives of \$84.1 million in Fiscal 2002 and \$119.3 million in Fiscal 2003, primarily through the temporary suspension of the metal, glass and plastic recycling program; delayed Fresh Kills Landfill closure costs; reestimated interim export costs; and enforcement revenues. The Department has planned expenditures of \$1.09 billion for Fiscal 2002 and \$977.7 million for Fiscal 2003.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Percent of Streets Rated Acceptably Clean	83.2%	85%	87.2%	86.7%	85.9%	86.5%	83.1%
Number of Districts Rated Between 67% and 100% Clean	59	59	59	58	59	59	48 (a)
Tons of Refuse Collected (000)	3,177	3,072	3,018	2,999	2,975	990	1,039
Percent of Tagged Vehicles Reached Within Three Working Days	99%	99%	99%	99%	99%	99%	99%
Tons of Waste Disposed (000)	3,822	3,806.2	3,702.3	3,720.6	3,515.3	1,266.4	1,145
Total Tons Recycled per Day (b)	3,889	3,603	4,748	6,401	6,677	6,861	6,699
Total Residential Recycling Diversion Rate	NI	16.3%	18.2%	19.7%	20.1%	19.9%	19.7%

- (a) Due to the September 11th disaster, street cleaning operations were suspended from mid-September through mid-October 2001.
- (b) Total recyclables depend upon the state of the economy, the status of construction contracts, and curbside and containerized collections. These factors resulted in a nearly steady increase from Fiscal 1997 through Fiscal 2001.

DEPARTMENT OF PARKS AND RECREATION

The Department of Parks and Recreation maintains a clean and safe parks system, providing the public with a greener City and a wide variety of recreational opportunities. The municipal park system of more than 28,000 acres includes 2,008 Greenstreet sites, 614 turf ball fields, 550 tennis courts, 33 outdoor swimming pools, 10 indoor swimming pools, 36 recreation centers, 14 miles of beaches, 13 golf courses, six ice rinks, four major stadiums and four zoos. The Department is also responsible for 500,000 street trees and 2 million park trees.

GOALS AND OBJECTIVES

Goal: Maintain a clean and safe parks system for all New Yorkers.

Objective

Ensure that at least 80% of inspected small park sites are rated acceptable for overall condition in Fiscal 2002.

Ensure that at least 93% of inspected small park sites are rated acceptably clean in Fiscal 2002.

Ensure that at least 70% of inspected large park sites are rated acceptable for overall condition in Fiscal 2002.

Ensure that at least 75% of inspected large park sites are rated acceptably clean in Fiscal 2002.

Goal: Preserve the infrastructure of parks, playgrounds and sitting areas.

Objective

Start 76 construction projects in large, major and regional parks in Fiscal 2002.

Complete 64 construction projects in large, major and regional parks in Fiscal 2002.

Start 45 construction projects in neighborhood parks and playgrounds in Fiscal 2002.

Complete 72 construction projects in neighborhood parks and playgrounds in Fiscal 2002.

Ensure that at least 80% of play equipment is rated acceptable in Fiscal 2002.

Goal: Increase the number of street trees and improve their condition.

Objective

Ensure that at least 90% of dead trees are removed within 30 days of being reported in Fiscal 2002.

Maintain an annual dead tree backlog of zero in Fiscal 2002.

Plant 12,000 trees citywide in Fiscal 2002.

Prune 45,000 trees citywide in Fiscal 2002.

Goal: Develop the City's recreational opportunities by offering quality facilities, programs and events.

Objective

Attract a revised 2,300,000 visitors to recreation centers in Fiscal 2002.

Hold 1,000 special events and tournaments in parks and recreation centers in Fiscal 2002.

DEPARTMENT OF PARKS AND RECREATION

HIGHLIGHTS AND ACHIEVEMENTS

PARK MAINTENANCE

- In the first four months of Fiscal 2002, 88 percent of the City's inspected small parks were rated acceptable for Overall Condition under the Department of Parks and Recreation's (DPR) Parks Inspection Program, compared to 87 percent during the same reporting period in Fiscal 2001. In addition, 94 percent of inspected small parks were rated acceptable for Cleanliness, compared to 93 percent in the last fiscal year. Play Equipment was the most problematic feature, rating 79 percent acceptable during the reporting period, compared to 86 percent acceptable during the previous reporting period.
- In late August 2001 DPR added 50 additional large park zones to the Parks Inspection Program. Of the 500 total large park zones, 400 are now inspected under the Program, including all large park zones from the City's 11 flagship parks. In the first four months of Fiscal 2002, 74 percent of large park zones were rated acceptable for Overall Condition, compared to 67 percent in the first four months of Fiscal 2001. Furthermore, 89 percent of large park zones were rated acceptable for Cleanliness, compared to 76 percent in the first four months of Fiscal 2001. Litter was the most problematic feature during the reporting period.
- In the first four months of Fiscal 2002 the Department conducted 1,406 inspections of large and small parks and playgrounds, compared to 1,216 inspections during the same period in Fiscal 2001.
- During the first four months of Fiscal 2002 DPR completed 38 site renovations through the Requirements Contract Unit, compared to 98 during the same period in Fiscal 2001. Renovations include the reconstruction of playground equipment, safety surface and pavement, and were made in areas such as Barclay Square in Queens, St. James Park in the Bronx, Linwood Playground in Brooklyn, Sydney Hillman Playground in Manhattan and Walker Playground in Staten Island.
- During the first four months of Fiscal 2002 DPR continued efforts to improve lawns citywide. The Class A lawns program, in which newly renovated lawns are held to higher quality standards by the Parks Inspection Program, has a total of 44 lawns citywide. In December 2001 DPR completed the installation of irrigation systems at five golf courses in the Bronx and Brooklyn.
- In the first four months of Fiscal 2002 DPR continued the Shops Initiative in order to improve the performance of its six skilled trade shops. By pooling labor, improving data entry and emphasizing rapid response, the backlog of incomplete work has been greatly reduced. In March 2001 DPR's Work Order Tracking System listed over 1,000 incomplete tradesperson work orders more than 30 days old. By the end of the reporting period, the number of incomplete work orders had been reduced to under 50.
- During the first four months of Fiscal 2002 DPR provided work experience for a biweekly average of 1,574 Work Experience Program (WEP) participants, compared to 2,855 during the same reporting period in Fiscal 2001.

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- During the first four months of Fiscal 2002 a biweekly average of 272 of DPR's most motivated WEP participants were enrolled in Parks Career Training (PACT), compared to an average of 408 during the same reporting period in Fiscal 2001. PACT provides intensive skills training in five areas: clerical, custodial, fix-it, horticulture and security. Participants have the opportunity to attend weekly on-site classes in basic education, General Equivalency Diploma (GED) preparation and English as a Second Language. Participants may also receive training for regular and commercial driver's licenses. Employment specialists and counselors work with participants to develop résumés and interview and job maintenance skills to help them obtain employment. During the reporting period PACT successfully placed 43 participants in full-time employment for 30 days or longer, with a 30-day retention rate of 89 percent and a 90-day retention rate of 82 percent. A total of 81 percent were placed in private sector jobs. In comparison, PACT found employment for 139 participants, 83 percent in the private sector, with a 90-day retention rate of 86 percent during the same reporting period last year. Since the program's inception in April 1994, PACT has placed a total of 1,884 participants in full-time employment.
- Since March 2001, DPR has been piloting the Human Resources Administration's subsidized employment program, or Parks Opportunity Program (POP). Through this program, TANF (Temporary Aid for Needy Families) recipients nearing the end of the federally mandated five-year time limit are referred to subsidized jobs in the Department. As of November 2001, there were 3,495 participants in this program working citywide for DPR in 11½-month temporary positions. While POP employees are in the program, they are expected to continue looking for full-time, long-term employment, many in the private sector. The Department's Job Assistance Center (JAC) and PACT program aid with job training. POP employees work 40 hours a week: four days in their regular park assignments and one day in job training.
- Job Assistance Centers facilitate WEP participant placements into unsubsidized employment in the private sector through an aggressive job development strategy and a core curriculum of classes designed to equip participants with marketable skills. JAC currently operates in five recreation centers in Brooklyn, the Bronx, Lower Manhattan, Harlem and Queens. In September 2001 JAC opened its newest center in Harlem, which uses English as a Second Language techniques to teach job search and interview skills.
 - JAC hosts annual citywide job fairs and monthly recruitment sessions with companies that are looking to hire people from the program. In addition, JAC has partnered with organizations such as Dress for Success/Career Gear and Styleworks, which provide free interview attire and makeovers to JAC participants, and Streetwise Partners, which offers mentoring and intensive computer training.
 - JAC placed 45 WEP and POP participants in full-time jobs during the first four months of Fiscal 2002. A total of 40 of these placements were in private-sector jobs. During the same reporting period in Fiscal 2001, JAC placed 88 WEP participants in full-time jobs; 67 of these were in the private sector.

FORESTRY

- During the first four months of Fiscal 2002 the Department removed a total of 2,791 dead trees. Over 99 percent of the trees were removed within 30 days of being reported to DPR and at the end of the reporting period there was no dead tree backlog.
- In order to maintain a 10-year pruning cycle, DPR currently prunes City street trees using in-house staff and \$2.5 million in contracts with independent contractors. During the first four months of Fiscal 2002 DPR pruned 14,571 trees, compared to 9,967 trees during the same period in Fiscal 2001. The number of trees pruned was higher during this reporting period because more contracts were in place at the beginning of the fiscal year.

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- In the first four months of Fiscal 2002 the Department planted 433 trees, compared to 196 during the same period last year. The number of trees planted increased because trees were shipped from the nurseries earlier in the reporting period.
- DPR's Natural Resources Group (NRG) manages over \$75 million in grants for various forest restoration and acquisition projects, including salt marsh restoration at Pelham Bay Park in the Bronx and Saw Mill Creek Preserve in Staten Island, freshwater wetland restoration at Twin Fields in Forest Park in Queens and restoration of riparian communities along the Bronx River. During the first four months of Fiscal 2002 the NRG forest restoration team planted 6,500 trees and 16,000 wildflowers and grasses at Inwood Hill Park in the Hudson River Watershed in Manhattan, Alley Pond Park in Queens, and Seton Falls Park and Bronx Park in the Long Island Sound Watershed in the Bronx. In addition, NRG planted 200 trees and shrubs and seeded four acres of wetland in Forest Park in the Jamaica Bay Watershed in Queens.
- DPR's NRG has inventoried more than 1,186 species of plants in New York City, creating the most comprehensive urban plant inventory in the nation. Of these species, 774 are native to the City.
- On October 3, 2001, five Red Maple trees infested by the Asian Longhorned Beetle were discovered on Bellevue Hospital property at 34th Street and the FDR Drive in Manhattan. The infested trees were removed by the New York State Department of Agriculture and Markets. Since August 1996, over 3,300 infested trees have been removed from public and private property. State and federal cooperators continue to survey parkland and remove trees in the five known infested areas.

RECREATION/YOUTH PROGRAMS

- In September 2001 DPR opened its 36th recreation center, the Hunts Point Recreation Center in the Bronx, which features an indoor athletic court and track, and a large stage for theatrical and musical performances. The center offers a comprehensive program of athletic, educational, cultural and after-school activities and is adjacent to a large multipurpose field, which will be used for flag football, soccer, baseball and softball programs for youth of all ages.
- The Department has 18 Computer Resource Centers (CRCs) citywide, including new centers that were opened during the reporting period at the Von King and Red Hook Recreation Centers in Brooklyn. A new Teen Tech program was started at St. John's Recreation Center in Brooklyn. Two CRCs at Brownsville in Brooklyn and Cromwell in Staten Island have been temporarily closed for renovation and are scheduled to reopen by June 2002. An additional five centers are scheduled to open by the end of Calendar 2002. During the reporting period the CRC program successfully used volunteer instructors from NY Cares, a nonprofit organization, in the Hansborough Recreation Center in Manhattan.
- DPR manages 31 after-school programs citywide. In the first four months of Fiscal 2002 the Department collaborated with the Human Resources Administration to expand the enhanced arts programs from seven centers to 17. The program has also expanded its instruction to include literacy, drama, visual arts, music, karate, roller hockey and nutrition.
- The Department continues its sports tournaments and instructional clinics for children.
 - From September through November 2001, over 800 children participated in the flag football league for youth under age 17. The top teams in each borough competed in the championships at Brooklyn's Red Hook Recreation Center in November 2001.
 - Through a partnership with Derek Jeter's Turn 2 Foundation, DPR offered instructional baseball clinics for over 600 children citywide between May and July 2001.

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- During Summer 2001 DPR created sports camps in Queens to advance women's sports programming. These camps focused on conditioning and training in sports such as basketball, field hockey, soccer and tennis. Over 50 participants, ages 7 to 16, attended.
- In the first four months of Fiscal 2002 DPR expanded its volunteer database by recruiting at college campuses across all five boroughs. DPR's largest volunteer database consists of 575 active volunteers; 400 people volunteered at the 2001 Great Halloween Party in Central Park.
- During the reporting period 17 Summer Festivals took place citywide and offered 12,598 children and adults a carnival-like atmosphere with free food and activities such as dance contests, in-line skating and face painting.
- In the first four months of Fiscal 2002 the Department coordinated several special events.
 - In October 2001 over 70 teams participated in the 7th Annual Citywide Bocce Tournament. Borough preliminaries took place in Queens, the Bronx, Brooklyn and Staten Island. The citywide championship was held at South Beach, Staten Island, where more than 500 players and spectators were treated to a festival with live music, an Italian banquet, and arts and crafts.
 - In October 2001 approximately 30,000 people attended the Department's annual Great Halloween Party at Central Park. The event included face painting, costume making, in-line skating, pumpkin picking, a haunted house and live performances.
 - In August 2001 Rock 'n' Rollerblade took place at sites in all five boroughs, culminating with a grand finale at Union Square Park in Manhattan. An estimated 10,000 people attended this free roller disco party, where participants could rent in-line skates, listen to live music, enjoy free soft drinks and enter raffles.
 - In July 2001 more than 150 teams competed in the citywide beach volleyball tournament, compared to 147 teams in July 2000. Preliminary competitions took place at sites in all five boroughs, and the finals took place in Coney Island, Brooklyn.
 - The Riverside Park Fund, along with the Ralph Ellison Memorial Committee and Fund, raised \$290,000 to honor this great American author. The memorial, a monolithic bronze structure standing 15 feet high and 10 feet wide, will be built on Ralph Ellison Island, located at 150th Street and Riverside Drive. Distinguished artist Elizabeth Catlett has been awarded the project. Noted architect Ken Smith will develop the landscape design.
- Working out of 12 nature centers, the Department's Urban Park Rangers host special events, weekday environmental education programs and weekend environmental recreation programs. During the first four months of Fiscal 2002 the Rangers held two special events, the Falconry Extravaganza and the East River Festival, which were attended by 12,000 people. During the reporting period, the Rangers held 145 educational programs for 3,870 children, and hosted 450 recreation programs that reached a total of 22,843 people. Furthermore, 23,435 people visited the nature centers. Through the Parks Conservation Corps, a summer youth employment program, the Rangers hired over 100 young adults.
- For the Summer 2001 season the spring recruitment efforts yielded 189 new lifeguards for a total of 909 lifeguards citywide. DPR's expanded lifeguard recruitment for Summer 2002 includes special recruitment efforts directed toward public high schools and colleges in New York City. DPR intends to hire over 300 new lifeguards for the City's 14 miles of beach and 43 pools. Lifeguard training and conditioning began in December 2001 and will continue through the July 4th weekend.

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- In May 2001 the City established the Defibrillator Task Force, a multi-agency effort chaired by the Mayor's Office of Emergency Management (OEM). The Task Force enhanced coordination among the Fire Department of the City of New York (FDNY), private vendors and City agencies to implement the City's Public Access Defibrillation Program.
 - As a participant in this Task Force, DPR trained almost 300 people and placed defibrillators, which are portable medical devices that monitor and correct arrhythmia, at 26 recreation centers, 13 Olympic-size pools, and eight golf courses by August 2001.
 - DPR, along with FDNY and private vendors, has developed an Automatic External Defibrillation Response Plan Protocol for each facility that received the device. DPR has made preliminary arrangements to place defibrillators at beach offices, tennis centers and the remaining golf courses.
- The Teens At Parks (TAP) program, originally created to serve 300 youth, is a partnership between DPR and the Administration for Children's Services. The program has expanded to operate at 18 locations citywide, Monday through Friday from 6:00 PM to 10:00 PM. Young adults ages 13 to 21 can participate in a wide variety of activities, including sports, swimming, computer workshops, career readiness workshops, arts and crafts, cooking, community outreach, music and drama. During the reporting period the program received 3,566 visits.
- During the reporting period DPR continued its senior citizen swim program at the Asser Levy and Carmine recreation centers in Manhattan and at the Astoria Pool in Queens. The program includes water exercises, swimming instruction, lap swimming and synchronized swimming; over 350 seniors participated. DPR offers a wide variety of programs for senior citizens at recreation centers citywide, including Tai Chi, aerobics, computer classes, language instruction, yoga, and arts and crafts.
- During Summer 2001, 200 playgrounds citywide were staffed with Playground Associates (PAs). PAs are responsible for maintaining playground cleanliness and for organizing recreation programs such as games, sports tournaments, and arts and crafts. In the first four months of Fiscal 2002 DPR continued to perform playground inspections and site visits.

WORLD TRADE CENTER RESPONSE EFFORTS

- On September 23, 2001 DPR, the Community Assistance Unit and the New York City Police Department (NYPD) coordinated "A Prayer for America," held at Yankee Stadium. Approximately 20,000 people attended the event.
- In October and November 2001 DPR organized 7,500 volunteers citywide to plant more than 1 million daffodil bulbs. By March 2002, the daffodils will bloom in City parks as a memorial to the victims of the September 11th disaster.
- DPR assisted in the rescue and cleanup efforts at Ground Zero. DPR assembled six light towers and collected hundreds of gloves, goggles, dust masks and raincoats from every borough and transported them downtown. Gators, gas or diesel-powered utility carts used for off-road transportation, were supplied to assist FDNY and NYPD units at Ground Zero. Gators allow personnel to access areas that are not accessible with larger vehicles. Park managers staffed a 24-hour phone desk at the mayoral command center to help coordinate relief efforts.
- DPR's computer teams worked with other City agencies to establish an Emergency Mapping and Data Center, which processed 700 map requests in the first two weeks following the disaster. Members of the Urban Park Service rescued over 1,000 house pets from Battery Park City apartments and helped many residents retrieve their belongings.

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- Approximately 500 troops used Randall's Island as a staging ground for the receipt of emergency supplies. DPR provided electricity, water, phones, and garage and office space for the troops. DPR also helped the emergency workers stage supplies in Flushing Meadows-Corona Park. The World's Fair Marina coordinated special ferry service for FDNY and NYPD. In addition, DPR established a bus service to transport firefighters and police officers from Ground Zero to the Javits Center in Manhattan.
- For more than six weeks after the World Trade Center disaster, the Carmine Recreation Center in Lower Manhattan volunteered a large portion of its space to the Red Cross as a staging area. The Red Cross used the facility for various purposes, including financial and job-related assistance and grief counseling.

QUALITY OF LIFE

- Under the Greenstreets Program, paved street properties such as triangles and malls are transformed into green spaces by replacing concrete with trees, shrubs and flowers. During the first four months of Fiscal 2002 DPR completed the construction of 40 Greenstreet sites. An additional 243 Greenstreets were constructed in November and December 2001. To date, a total of 2,008 Greenstreet sites exist citywide. Greenstreets is a joint effort of DPR and the Department of Transportation (DOT), with additional assistance from community volunteers who help keep the areas clean and the plants healthy.
- Partnerships for Parks, which began in 1995, is a joint initiative of the City Parks Foundation and DPR to foster community stewardship of and involvement in City parks through volunteer efforts and special events. Fall Clean-Up Day was held in late October 2001; over 3,000 volunteers participated at 180 parks citywide.
 - In July 2001 Partnerships for Parks, along with the Central Park Conservancy and the Prospect Park Alliance, hosted a conference for park leaders from around the world as part of the Project for Public Space's Urban Parks Institute.
 - In the first four months of Fiscal 2002 Partnerships for Parks continued to coordinate the Bronx River Corridor Project, which began in Fall 1997. The project has received over \$600,000 in federal grants, which have been used to inform riverside communities about the Bronx River and to fund community-led clean-up efforts such as the Bronx River Golden Ball event. Partnerships for Parks maintains a database of over 6,000 Bronx River supporters and has worked with over 60 community groups, nonprofit organizations and government agencies.
- In November 2001 the Bronx River Alliance, Inc., a collaborative effort among DPR, local companies and community groups, was formed to protect the River and to continue to restore the Bronx River Corridor.
- The Urban Park Rangers' Project X, a long-term program aimed at reintroducing native species of plants and animals to City parks, is in its sixth year. In the first four months of Fiscal 2002, the Urban Park Rangers reintroduced 18 Eastern Screech Owls, three Painted Turtles and two Snapping Turtles to sites throughout the City.
- Since July 2001, the Urban Park Rangers have planted 100 Butterfly Weeds, a species that had not appeared in the area since 1980. In addition, the Urban Park Rangers have increased the intensity of their wildlife rescue and monitoring efforts. In the first four months of Fiscal 2002 the Urban Park Rangers, through their wildlife rescue and rehabilitation program, rescued a total of 2,675 injured or threatened animals in City parks, the majority of which were fish, and subsequently released 2,520 rehabilitated animals back into the City's parks. The Rangers restored 19 acres of parkland and planted 8,043 native plants.

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- During the first four months of Fiscal 2002 the Department acquired 211.79 acres of parkland, bringing its total parkland holdings to 28,570.11 acres citywide. These acquisitions included the 5-acre Barretto Point Park in the Bronx, the 5.59-acre Spring Creek Park Addition in Brooklyn, the 25.39-acre College Point Park Addition in Queens, and the 100.5-acre Isle of Meadows in Staten Island.
- In the first four months of Fiscal 2002 DPR continued the Historical Signs Program in which interns and students research and write material for historical signs. The signs are installed in prominent locations in parks and playgrounds, explaining each site's historical or natural significance. By the end of the reporting period more than 2,000 signs had been drafted. Installation was completed in December 2001.
- In April 2000 DPR launched an initiative to improve the condition of handball courts citywide. As part of the three-year program, the Department will smooth and repaint 1,500 handball court walls and fill expansion joints and cracks in concrete and asphalt surfaces. Since the beginning of the initiative, DPR has renovated 1,000 handball courts. DPR will complete renovations of the remaining 500 handball courts by the end of Calendar 2002.
- As part of the Citywide Accountability Program (CAPSTAT), DPR conducts monthly ParkStat Plus+ meetings that comprehensively review the performance of individual park districts. Up to two districts from the same borough are selected for participation at each ParkStat Plus+ meeting. At the meetings, district field supervisors are held accountable for Parks Inspection Program ratings and are expected to demonstrate knowledge of agency policies and strategies to correct problematic conditions. Executive borough managers and executive managers from various centralized support divisions such as Capital Projects, Parks Enforcement Patrol, Technical Services and the Advocate's Office are also present at the ParkStat Plus+ meetings.
- In April 2001 the City reactivated the West Nile Virus Task Force, a multi-agency effort chaired by the Mayor's Office of Operations. Originally established in June 2000, the Task Force enhances coordination between the Department of Health (DOH) and 22 other City and quasi-governmental agencies in responding to standing water complaints, develops strategies to remediate large properties that are potential mosquito breeding grounds, provides integrated enforcement and prevention, and takes other actions to minimize the threat of the virus.
 - As a participant in this Task Force, DPR corrected standing water conditions and recommended sites for larvicide application. DPR awarded several contracts for mosquito control services to assist Agency exterminators in applying larvicide to catch basins on City parkland.
 - DPR exterminators worked with DOH in citywide insecticide spraying during Summer 2001.
- DPR, as part of the Rodent Control Task Force, continued its efforts during the reporting period. Established in June 2000, the Task Force is comprised of over 15 City agencies and quasi-agencies and is chaired by OEM, the Mayor's Office of Operations and DOH. It coordinates Integrated Pest Management practices, including assessment, abatement and eradication activities.
 - As a participant in this Task Force, DPR coordinated with OEM, DOH and the Department of Sanitation to target priority sites for rodent abatement. DPR continues its efforts to target problem parks, such as Union Square Park in Manhattan and Cadman Plaza in Brooklyn, with weekly baiting and regular trash removal. DPR exterminators targeted Riverside Park and Morningside Park in Manhattan, Macombs Dam Park in the Bronx and Fort Totten/Little Bay Park in Queens.

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- In April 2000 HealthStat began to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, all City agencies and hundreds of community groups were mobilized to enroll eligible families and children in Child Health Plus and Medicaid. As a direct result of HealthStat activities, over 200,000 individuals have been enrolled in public health insurance programs.
 - The Department is identifying uninsured children by including questions about health insurance status on all DPR program registration forms. In addition, application forms are available at designated recreation centers on specific dates. In the first four months of Fiscal 2002 DPR received 334 applications for health insurance, resulting in 568 enrollments.
 - Part-time DPR employees were notified of the availability of free or low-cost health insurance for their children.
 - The Department invites health insurance enrollers to special events in parks and to other DPR-sponsored events. During the summer months DPR assisted providers in promoting enrollments at pools, parks and beaches.
 - DPR posted HealthStat descriptions and enrollment information on its Web site in January 2002.
 - The Department is working with the Bronx Zoo to enroll children at the Zoo's "Free Admission Wednesdays."
- There are 51 Forever Wild sites citywide in 36 parks. There are sites in five parks in Brooklyn, six in the Bronx, three in Manhattan, eight in Queens and 14 in Staten Island. Approximately 948 signs have been produced to inform the public about these sites. DPR's goal is to have one sign per 200 feet around the perimeter of each site citywide.
 - During the first four months of Fiscal 2002 DPR's Urban Park Rangers and Natural Resource Group finalized a list of sections within the City's larger parks, totaling approximately 7,640 acres, for inclusion in the "Forever Wild Preserve System." Protection of these sections, which will be subject to an increased level of enforcement, will help preserve wildlife habitats.
- During the first four months of Fiscal 2002 DPR's Parks Enforcement Patrol continued to combat quality-of-life violations in City parks by issuing 1,915 Environmental Control Board summonses, including 311 summonses for unleashed canines, 296 for illegal vending and 140 for damage to trees. Another 5,535 summonses were issued for various other infractions of park rules and regulations, including 4,873 parking violations. Parking violations were previously not included in the total number of summonses issued.
- In addition to tracking membership and attendance, DPR also performs regular inspections of 27 established recreation centers. Each center is rated for safety, cleanliness, structural condition, exterior presentation, equipment, atmosphere, customer service and programming. During the first four months of Fiscal 2002 DPR increased the frequency of its inspections and follow-up inspections.
- During the reporting period DPR began to label each piece of fitness equipment in all recreation centers. DPR will now be able to track individual pieces of equipment.
- The contract for operation of a restaurant at South Beach in Staten Island was awarded to a private concessionaire for a term of 20 years. The vendor will convert an existing unused comfort station into the new restaurant at a minimum cost of \$1.25 million. Additional time was required for design enhancements and improvements, which pushed the completion date back to Spring 2003. The concessionaire will start construction in Spring 2002.

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CAPITAL PROJECTS

- A total of 47 project designs and 39 construction projects began in the first four months of Fiscal 2002. The Department completed 39 capital projects during the reporting period. The Department plans to commit approximately \$150 million in capital projects for Fiscal 2002.
- DPR is leading an effort by multiple City and State agencies to establish a greenway along the Bronx River. The Department is helping to coordinate more than 25 projects, totaling nearly \$65 million, which will create a continuous bikeway, clean the river and improve access to the water. The Department has more than \$11 million in City funds and over \$3 million in State and federal grant money for the Bronx River in its budget. DPR has completed design work on projects in Soundview Park, Starlight Park and Bronx Park; the Department is in the process of acquiring critical land along the river for the creation of new parks.
- On December 7, 2001 DPR opened the upper promenade at Battery Park to the public. The work, which covers the promenade end-to-end, was completed with over \$5 million from City funds and a Clean Water/Clean Air Bond Act grant. The upper promenade will alleviate the congestion of the lower promenade, simplifying the circulation of pedestrians, bicyclists and others. Handicap ramps, lighting, benches, water fountains, shade trees and other plantings have been added.
- In September 2001 the Department began the reconstruction of the Brooklyn Heights Promenade from Clark Street to Orange Street, with a scheduled completion date of early Summer 2002. The project, funded with nearly \$1.5 million from the City Council, will include new decorative hex block pavers, drinking fountains, lighting, fences, bike racks and plantings. Drainage and irrigation systems will be installed to protect the capital investment.
- The City has allocated more than \$14 million to Conference House Park in Staten Island, a nationally designated historic site with 8,000 years of archaeological significance. Design work has been completed. The project will increase public access to the waterfront and its spectacular views, and will add recreational value to the park. Additionally, the natural, archaeological and historic resources in the park will be preserved and enhanced. Project elements will include the establishment of a park perimeter with signage, lighting, barrier rails, planting and plant trimming; explanatory signs; removal of some site buildings and stabilization of others; conversion of one historic building into a visitor's center; construction of a system of paths; and completion of a portion of the Staten Island bikeway and greenway system. Construction, estimated at over \$10 million, is expected to begin in Spring 2002.
- Madison Square Park in Manhattan is in the midst of substantial reconstruction. Reconstruction of the lawns, pathways, drainage, lighting, signage, entrance gates, plantings and benches was completed in October 2001. The historic fountain, defunct for years, was restored, and a reflecting pool was created. A total of 1,200 square feet of land, formerly a motorcycle parking lot, was reclaimed and two drinking fountains were added. This project was funded through a unique public/private partnership; five principal corporate partners raised \$2.5 million with matching City funds. A separate reconstruction of the playground, funded by the City, began in April and is scheduled for completion by March 2002.
- On the eastern side of Ferry Point Park in the Bronx, DPR continued development of an 18-hole Jack Nicklaus-designed golf course facility, which will include a new 19.5-acre waterfront park and a seven-acre community park. DPR is working with the developer's architects on the plans for the restaurants and banquet hall. The facility will be completed by Summer 2003.

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- DPR awarded a license for the operation and management of the Wollman and Lasker Rinks in Central Park. A minimum of \$4 million in capital investments will be spent on work, which includes dasher board repairs, new skates and new rubber matting throughout both facilities. Mechanical upgrades for Wollman Rink include new boilers, renovated restrooms, rebuilt chillers, a new brine mixer, a new expansion tank and a rebuilt cooling tower. The City will receive a minimum of \$17.5 million in guaranteed annual fees during the 11 operating seasons of this contract.
- In August 2001 DPR opened a café in Fort Tryon Park, which is operated by the New York Restoration Project. The building underwent extensive renovation, including installation of a new take-out snack bar with tables, a remodeled kitchen with new equipment, a new bar, remodeled restrooms and a renovated dining area with new lighting fixtures, wood paneling and restored doors.
- In November 2001 DPR completed work on the new 1.7-mile Flushing Bay Promenade in Queens. The rehabilitation, funded by the Department of Environmental Protection (DEP), will increase access to Pier 1, which connects the East Elmhurst community with Flushing Meadows-Corona Park. Thousands of new trees and shrubs were added, as well as railings, new pavement, curbing, new lighting and seating. Eleven new overlooks offer improved visuals of the bay and link the entire promenade for uninterrupted pedestrian traffic. The project also includes the restoration of the two historic structures designed by Spanish architect Felix Candela for the 1964 World's Fair.
- DPR plans to reconstruct and expand the entire southern end of Union Square Park in Manhattan. The park will be expanded by incorporating underused portions of 14th Street and Union Square West. The new park space will allow for improved east-west pedestrian flow as well as additional plantings. In coordination with DEP and DOT, DPR completed the replacement of a water main during the reporting period. Construction of the park began in October 2000 and is scheduled for completion in March 2002.
- In Queens, the Flushing Meadows-Corona Park Pool and Ice Rink will be the first pool opened by DPR in four decades. The 82,000-square foot building will contain a 10-lane, Olympic-size public pool that will meet all competitive regulations. It will have moveable floors that can create a wading pool, a lap pool and the City's only open diving pool. The building will also contain a National Hockey League-standard ice hockey rink, a year-round facility for competitive leagues and single skaters. Construction began in Summer 2001 and is scheduled for completion in Spring 2002.
- Construction of the Chelsea Recreation Center resumed in July 2001. The five-story building will include a finished basement, pool, gymnasium, roof playground, and rooms for aerobics, dance, computers and preschool activities. The project has been rescheduled for completion in June 2002 due to delays resulting from the September 11th disaster.
- In June 2001 DPR began construction on the Brooklyn Bridge Park project, which will include a waterfront park with a playground. In December 2001 DPR completed construction on the playground. The rest of Phase I, which includes a large, sloped lawn, an intertidal beach with access to the water and a riprap shoreline, is expected to be completed in Summer 2002. Brooklyn Bridge Park is expected to provide 70 acres of open space, replacing underused and derelict commercial waterfront property in downtown Brooklyn.
- In November 2001 the Administration and the Staten Island Borough President allocated \$9 million to DPR to build a fishing pier at Midland Beach. The 30-foot wide T-shaped pier will stretch approximately 835 feet, extending from the existing boardwalk into the Lower Bay of New York Harbor. The pier will include fish cleaning stations, benches, pavilions and a new comfort station. Construction began in January 2002 and is scheduled for completion in Fall 2003.

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- Since 1992, DPR has received approximately \$59.5 million in federal transportation funding to plan, design and construct greenway trails for bicyclists, in-line skaters and pedestrians. Nearly 184 miles of greenway trails now exist. Accomplishments in Fiscal 2001 include the completion of the Flushing Bay Promenade in Queens, the Cherry Walk in Riverside Park in Manhattan, the Queens portion of the Brooklyn-Queens Greenway and the Pelham Bay Park Greenway in the Bronx.
 - In the first four months of Fiscal 2002 DPR continued to build, promote, and lobby for the New York City Greenway Master Plan, which proposes a 350-mile system of interconnected multi-use recreation trails throughout the five boroughs.
 - In November 2001 the 6.1-mile Hudson River Greenway, connecting Hudson River Park, Riverside Park and Fort Washington Park, was officially designated as part of New York State's 150-mile Hudson River Valley Greenway.

TECHNOLOGY

- In the first four months of Fiscal 2002 DPR received 1.1 million page views on NYC.GOV/PARKS, the Department's official Web site. More than 800 requests were processed using the four new online forms: lifeguard applications, special events permit applications, sports permit applications and forestry request forms.
- During the reporting period, 188 newsletters were electronically sent to each of the 1,303 Parks News Group subscribers.
- Geographic Information System (GIS) data, including maps and internal DPR data, is now available to every Department employee with an intranet connection. DPR employees can now create and print interactive maps and spatially referenced aerial orthophotographs of any location in the City.
- In November 2000 DPR's Management Information System (MIS) unit expanded and updated the Department's intranet, making it accessible to all DPR employees. The intranet fosters internal agency "real time" interaction and information-sharing in an efficient electronic format that includes standard forms, manuals, databases, GIS maps, catalogues, instructional memos, weather and news. During the reporting period DPR's online phone book was linked to the GIS mapping service, allowing users to view, in graphic format, the address of the specific building/site corresponding to each phone entry.
- DPR has updated and expanded its master database of total properties and has made the information available on the intranet for the first time. Users may search for information regarding park ratings, acreage, council district and property type.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Department's expenditures were \$99 million, compared with its plan of \$92 million. The Department's Fiscal 2001 expenditures were \$218 million.
- The City's Financial Plan of February 2002 outlines expenditure savings of \$2.8 million in Fiscal 2002 and \$19.8 million in Fiscal 2003 through attrition and other personnel savings. Increased revenues of \$6.4 million in Fiscal 2002 and \$2.2 million in Fiscal 2003 will be obtained from sources including special events fees, stadium rent and parking revenue. The Department has planned expenditures of \$239 million for Fiscal 2002 and \$189 million for Fiscal 2003.

DEPARTMENT OF PARKS AND RECREATION

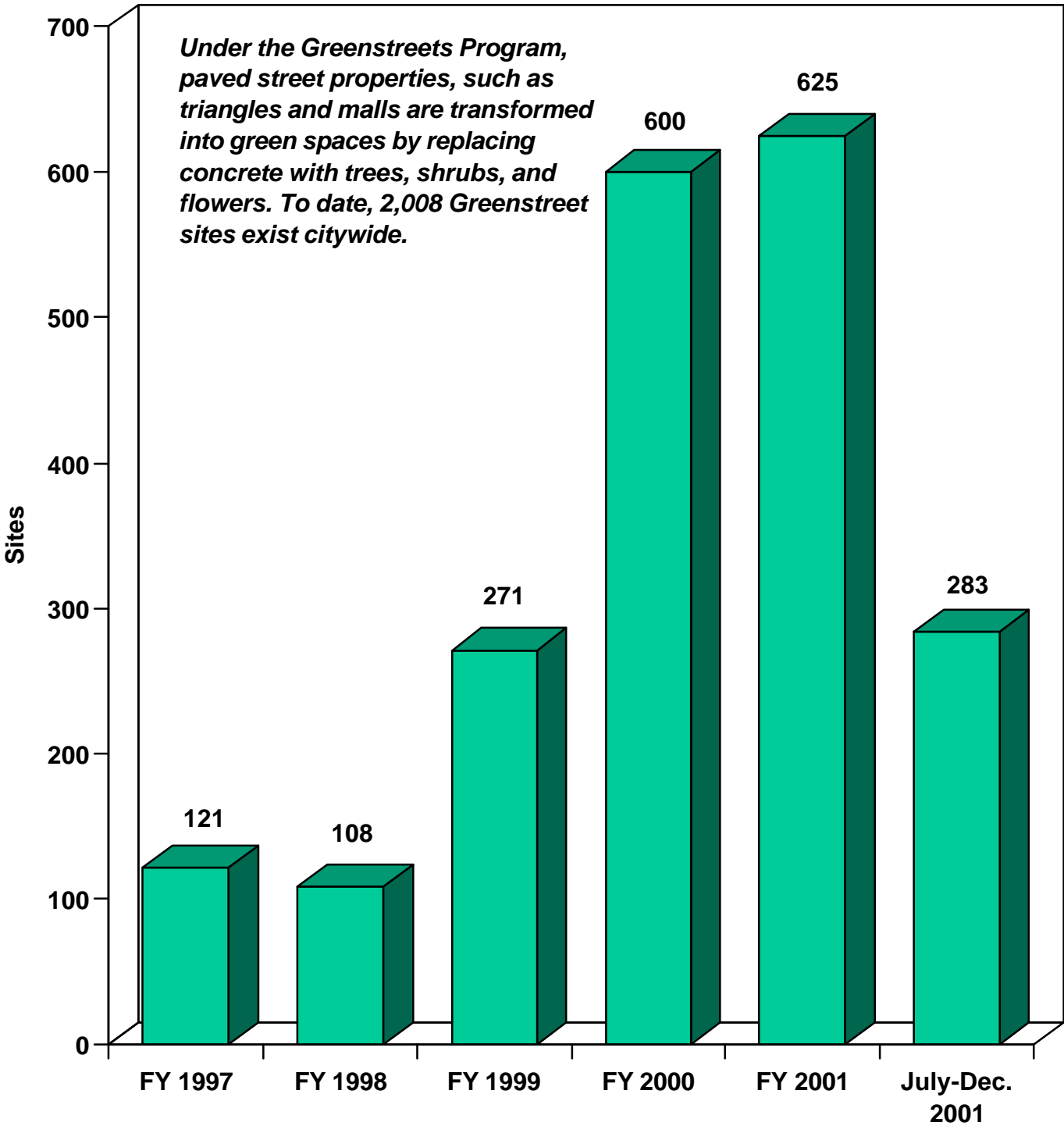
LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Citywide Acceptability Rating for the Overall Condition of Small Parks, Playgrounds, Greenstreets and Sitting Areas	64%	80%	87%	89%	88%	87%	88%
Citywide Acceptability Rating for the Cleanliness of Small Parks, Playgrounds, Greenstreets and Sitting Areas	92%	96%	96%	96%	93%	93%	94%
Litter Conditions Rated Acceptable	85%	91%	87%	87%	84%	85%	85%
Play Equipment Rated Acceptable	68%	85%	88%	86%	87%	86%	79%
Recreation Centers – Total Attendance	1,707,168	2,328,821	2,694,042	2,896,185	3,103,009	967,393	1,125,893 (a)
Neighborhood Park and Playground Construction Started	77	89	89	41	93	43	17 (b)
Neighborhood Park and Playground Construction Completed	76	81	68	66	68	18	16
Large, Major and Regional Park Construction Started	105	106	68	45	105	49	22 (b)
Large, Major and Regional Park Construction Completed	105	102	101	90	76	18	23 (c)

- (a) DPR's outreach efforts, a greater number of special events and the addition of three CRCs have attracted more people to the recreation centers.
- (b) Construction starts were unusually low as a result of the September 11th disaster.
- (c) The number of Large Parks construction projects completed increased because DPR pursued its completion goals more aggressively.

Department of Parks and Recreation

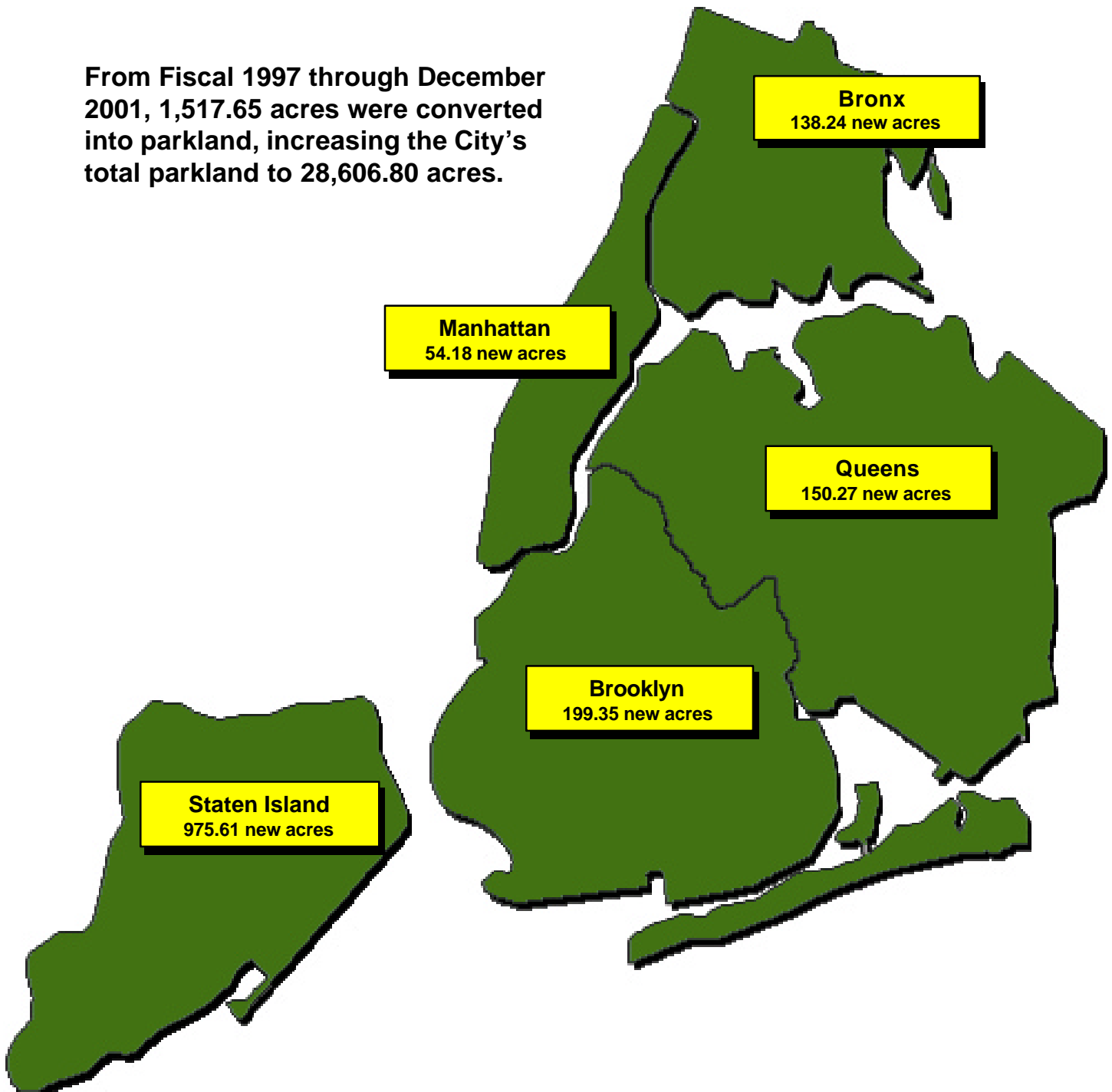
Greenstreet Sites Created



Department of Parks and Recreation

New Parkland Fiscal 1997-December 2001

From Fiscal 1997 through December 2001, 1,517.65 acres were converted into parkland, increasing the City's total parkland to 28,606.80 acres.



LANDMARKS PRESERVATION COMMISSION

The Landmarks Preservation Commission protects the City's architectural, historic and cultural resources. The Commission identifies and evaluates potential landmarks and historic districts; designates buildings, historic districts, sites and interiors; and regulates alterations to designated sites and structures.

GOALS AND OBJECTIVES

Goal: Protect historic buildings through landmark designations.

Objective

Identify and designate 12 landmarks and four historic districts in Fiscal 2002.

Conduct public outreach on, and hold community meetings for, four new historic districts in Fiscal 2002.

Goal: Improve regulatory efficiency.

Objective

Process 100% of Expedited Certificates of No-Effect within two days of the receipt of completed applications in Fiscal 2002.

Process 80% of Certificates of No-Effect within 10 days and 60% within five days of the receipt of completed applications in Fiscal 2002.

Amend one existing rule and enact one new rule in Fiscal 2002.

Implement two districtwide master plans in Fiscal 2002.

Goal: Increase the effectiveness of the enforcement program.

Objective

Remedy 20% of violations at the warning-letter stage in Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

DESIGNATIONS

- During the first four months of Fiscal 2002 the Landmarks Preservation Commission (LPC) designated one new individual landmark in Queens. As of February 2002, LPC has designated seven additional individual landmarks, bringing the number of individual City landmarks to 1,083 and the total number of properties protected under the Landmarks Law to 22,081.
- During the reporting period the Commission designated the Hamilton Heights/Sugar Hill Northeast Historic District and the Hamilton Heights/Sugar Hill Historic District Extension, containing a total of 47 properties. In January 2002 LPC designated the Murray Hill Historic District in Manhattan, containing 75 properties. These designations bring the City's total number of historic districts to 81.

REGULATION

- LPC amended the Historic Preservation Grant Program Rule in August 2001. The Commission held a public hearing on proposed amendments to the Window Rule on December 4, 2001. By Summer 2002 the Commission anticipates approving and implementing the amended Window Rule, which establishes criteria for replacement windows on designated buildings.

LANDMARKS PRESERVATION COMMISSION

- During the first four months of Fiscal 2002 the Commission reviewed 2,328 applications for work on designated properties, compared to 2,648 applications reviewed during the first four months of Fiscal 2001. Fewer applications were received for review during the reporting period.
- In the first four months of Fiscal 2002 the Commission issued 100 percent of Expedited Certificates of No-Effect, which are specifically for interior work above the second floor, within two days of receipt of completed applications, compared to 99 percent in the first four months of Fiscal 2001. LPC issued 88 percent of Certificates of No-Effect within 10 days of receipt of completed applications, compared to 85 percent in Fiscal 2001; and 79 percent of Certificates of No-Effect within five days of receipt of completed applications, compared to 69 percent in the first four months of Fiscal 2001.
- During the first four months of Fiscal 2002 the Commission received and reviewed applications for the construction of two new buildings within historic districts. A total of five applications for new buildings were approved, all pending from Fiscal 2001. The approved applications include new buildings in the TriBeCa East and Greenwich Village Historic districts in Manhattan, and the Clinton Hill Historic District in Brooklyn.
- The Commission drafted a district master plan for the Douglaston Historic District in Queens; approval and implementation are expected by the end of Fiscal 2002. The master plan will govern alterations to existing buildings and landscape features. It will also allow the Commission staff to approve work that would otherwise require full Commission review at a public hearing.
- The Commission is also drafting a storefront master plan for specified streets in the Upper West Side/Central Park West Historic District in Manhattan. This master plan will allow staff to issue permits for new storefront modifications that would otherwise require full Commission review at a public hearing.

ENFORCEMENT

- The goal of the enforcement program is to increase compliance with the City's Landmarks Law. When a violation is reported, the Commission first issues a warning letter. If the illegal condition is addressed expeditiously, then no notice of violation is served and no penalty imposed. In the first four months of Fiscal 2002 the Commission resolved 3 percent of all illegal conditions at the warning-letter stage and received applications to cure an additional 44 percent of illegal conditions. LPC expects the correction rate to reach its goal of 20 percent by the end of Fiscal 2002.

WORLD TRADE CENTER RESPONSE EFFORTS

- In response to the September 11th disaster, LPC designated a member of its Preservation staff to issue expedited permits to address damage to landmarks. LPC also reviewed applications submitted by utility and telephone companies to modify facilities in historic districts affected by the disaster. The work was needed to compensate for the extensive damage to utilities in the area. LPC staff continues to review applications of displaced tenants who relocated into landmark buildings and seek to make alterations to their new spaces.
- At the request of the Federal Emergency Management Agency and other agencies involved in the relief efforts, LPC provided a list of all designated landmarks and buildings eligible for City, State or federal landmark designation below Canal Street. Furthermore, LPC created a detailed map of the area, identifying sites of potential archaeological significance.
- The Preservation staff continues to review requests to install security equipment at landmarks, including security cameras, exterior lighting and installation of equipment to limit building access.

LANDMARKS PRESERVATION COMMISSION

CUSTOMER SERVICE/EDUCATION

- The fourth issue of “Landmarks Commission News” was posted on the Commission’s home page on January 1, 2002. The newsletter reports on recent landmark designations and other LPC initiatives.
- The Commission plans to post a new brochure, “Landmark Storefronts: A Guide for Owners and Tenants,” on its home page in April 2002. The guide will help store owners understand how the Commission regulates storefront alterations. Posting of the brochure has been delayed because LPC has given priority to other initiatives, including storefront master plans for Madison Avenue.
- LPC and the New York Landmarks Preservation Foundation (NYLPF), in conjunction with landmark district residents and elected officials, coordinate the installation of terra-cotta colored street signs within historic districts. In contrast to regular green street signs, the terra-cotta street signs delineate a district’s boundaries and inform residents and visitors that they are within an historic district. The Commission and NYLPF plan to have street signs installed for the Hamilton Heights/Sugar Hill Historic District in Manhattan and the Stockholm Street Historic District in Queens by the end of Fiscal 2002.
- LPC and NYLPF, in conjunction with landmark district residents and elected officials, coordinate the installation of terra-cotta colored historic district markers, which provide a description and a map of the historic district. LPC and NYLPF intend to install historic district markers in the Hamilton Heights/Sugar Hill, Hardenbergh-Rhineland, NoHo and Stone Street Historic Districts in Manhattan; the Douglaston and Stockholm Street Historic Districts in Queens; and the Vinegar Hill Historic District in Brooklyn by the end of Fiscal 2002.
- In conjunction with NYLPF and landmark building owners, LPC writes and installs bronze plaques on individual and interior landmarks that identify the building as a New York City landmark. On October 3, 2001 LPC held a plaque unveiling ceremony at the Benziger House in Manhattan. During the first four months of Fiscal 2002 the Commission prepared and installed landmark plaques for the Aberdeen and Algonquin hotels in Manhattan and the Magen David Synagogue in Brooklyn. An unveiling ceremony at the Magen David Synagogue is scheduled for April 2002.
- As part of its ongoing community outreach efforts, LPC convenes or attends community meetings. These meetings are held in response to requests from residents of existing historic districts who wish to discuss regulatory issues, and from residents of neighborhoods looking to gain historic district status.
 - In conjunction with the Murray Hill Neighborhood Association, LPC met with members of the community in July 2001 to explain the proposed designation of the Historic District and answer questions regarding designation and regulation.
 - In August 2001 LPC and local elected officials met with members of the Hamilton Heights/Sugar Hill community to explain the proposed designation of three historic districts in the area and answer the community’s questions regarding designation and regulation.
 - In October 2001 the Commission addressed a group of property owners in the Brooklyn Heights Historic District on preservation and enforcement issues.
 - In October 2001 LPC met with members of the Save Gansevoort Market Task Force to discuss proposed landmark designations for this Manhattan community.

LANDMARKS PRESERVATION COMMISSION

- In an effort to keep citywide civic groups informed of the Commission's current initiatives, LPC's Chair established the Advisory Council, a working group of organizations and institutions focused on preservation issues. Members of the Council include representatives of the Municipal Art Society, the Landmarks Conservancy, the Historic Districts Council, the American Institute of Architects, the Real Estate Board of New York, and the High School for Preservation and Building Trades. The Council will meet four times a year to discuss matters concerning the preservation community. In the first meeting, held in October 2001, members discussed responses to the World Trade Center disaster.
- In September 2001 LPC presented a seminar at the Municipal Art Society on the Landmarks Law and regulations as part of a continuing legal education program.

GRANTS

- During the first four months of Fiscal 2002 LPC received and reviewed eight new grant proposals under the federally funded Historic Preservation Grant Program. Of those, one new grant was awarded totaling \$22,000.

ARCHAEOLOGY

- The Commission has completed a draft of guidelines that will explain the policies and procedures for archaeological work required by the Landmarks Law and the environmental review process. These guidelines define each stage of archaeological work that LPC may require and outline protocols for such work; the guidelines will also refine how the determination for archaeological work is made at each stage. These guidelines will allow applicants to allocate their time and resources efficiently by helping to predict whether they will need to complete archaeological work, and if so, what will be required. The Commission has assessed the effect of the draft guidelines. The guidelines have also undergone a first review by archaeologists and other interested parties outside the agency. Further review will be conducted during Fiscal 2002, before the guidelines are implemented.
- In January 2002 LPC held a symposium, "Archaeology at the Landmarks Preservation Commission: An Update." Representatives of other City and State agencies who conduct environmental reviews, professional archaeologists who work in the City, and environmental review companies that conduct historic resource evaluations attended. Topics for discussion at the symposium included the legal basis for LPC's current archaeology program and the new archaeology guidelines.

TECHNOLOGY

- During the first four months of Fiscal 2002 there were 138,332 page views of LPC's home page, a 306 percent increase from 34,097 page views during the first four months of Fiscal 2001.
- The Commission's home page is updated every time a new individual landmark or historic district is designated. It is also updated with other items of public interest, such as public hearing and public meeting schedules, as well as job opportunities.
- In coordination with LPC's move to new offices at the end of August 2001, the network upgrade project provided one-third of the staff with new computers and all staff members with an updated operating system. The upgrade also provided a more stable and secure operating system, better backup and disaster recovery tools, and an enhanced network faxing system that includes integration into the agency e-mail system.

LANDMARKS PRESERVATION COMMISSION

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Commission's expenditures were \$1.2 million, compared with its plan of \$1 million. The Commission's Fiscal 2001 expenditures were \$3.2 million.
- The City's Financial Plan of February 2002 outlines expenditure savings of \$133,000 in Fiscal 2002 and \$160,000 in Fiscal 2003. LPC seeks to generate an additional \$525,000 in revenue in Fiscal 2003 through the imposition of landmark permit fees. The Commission has planned expenditures of \$3.6 million for Fiscal 2002 and \$3.2 million for Fiscal 2003.

PUBLIC LIBRARIES

New York City provides public library services through three independent systems: the Brooklyn Public Library, the New York Public Library (with branches in the Bronx, Manhattan and Staten Island) and the Queens Borough Public Library. The libraries offer free and open access to book and nonprint materials, reference services and other resources; operate educational programs for adults and children; provide adult literacy training and job information services; and promote the transmission of information, history and culture to all City residents.

The Brooklyn Public Library operates 60 local libraries; the New York Public Library operates 85 local libraries; the Queens Borough Public Library operates 63 local libraries. The New York Public Library also operates four research library centers, which provide print and nonprint reference and research services.

GOALS AND OBJECTIVES

Goal: Maximize public access to up-to-date library materials.

Objective

Update collections through the purchase of 2.8 million new items in Fiscal 2002.

Serve the public a revised average of 42.5 scheduled hours per week per library in Fiscal 2002.

Circulate approximately 41.8 million items citywide, representing a revised 5.3 items per capita in Fiscal 2002.

Respond to an estimated 15.9 million reference and information queries in Fiscal 2002.

Goal: Promote awareness of the public libraries and the use of their resources through educational programs.

Objective

Serve 580,000 students in 1,125 schools in 33 school districts through the Connecting Libraries and Schools Program in Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

BROOKLYN PUBLIC LIBRARY

Branch Programs

- During the first four months of Fiscal 2002 the Brooklyn Public Library (BPL) conducted 13,743 program sessions covering a wide variety of topics, including technology, arts, education and business assistance, compared to 13,700 program sessions conducted during the same period in Fiscal 2001. By the end of the reporting period 182,750 patrons attended program sessions, compared to 190,187 patrons who attended sessions during the same period in Fiscal 2001.
- The terrorist attack on the World Trade Center had an immediate effect on BPL's programming, which resulted in a 33 percent decrease from the usual attendance of approximately 26,560 patrons during the reporting period, the cancellation of many events scheduled for the "New York Is Book Country" celebration, and a delay in the development of a program about Brooklyn's various religious traditions.

PUBLIC LIBRARIES

- Immediately following the attacks, BPL provided online information about available resources for victims and survivors as well as lists of books and other resources to support all patrons in coping with grief and crisis. In addition, BPL staff consulted with colleagues from Oklahoma City and other libraries that resulted in the purchase of additional materials relevant to coping with tragedy, including specific selections for parents and educators.
- During the first four months of Fiscal 2002, 138,284 children and teens attended 8,905 programs throughout BPL branches and the Central Library's Youth Services Division. In addition, there has been a 15 percent increase in attendance at several branch after-school programs to 88,500 during the first four months of Fiscal 2002, up from 76,700 during the same period in Fiscal 2001.
 - BPL's Summer Reading Program, "2001: A Reading Odyssey," reached over 13,000 Brooklyn children. The Central Library's celebration of the Summer Reading Program, which included workshops led by leading artists, readings conducted by prize-winning children's authors and discussions by illustrators, was attended by over 500 children and adults. The Summer 2001 program contained many baseball-related themes, including a baseball theme booklist for children and teens and a limited edition Brooklyn Cyclones BPL library card. All branches and the Central Library's Youth Wing offered a mix of programs, including performances, storytelling, writing workshops, games, and arts and crafts. In addition, approximately 225 teens became "Book Buddies," librarian-mentored volunteers, who helped implement summer reading programs and assisted younger children.
 - During the first four months of Fiscal 2002 BPL's most popular children's programs included the Library Early Enrichment Program (LEEP) and the Reading Is Fundamental program (RIF). More than 40 branches offered LEEP programs for children aged preschool to 5 years and their caregivers. During the reporting period, there were over 775 LEEP sessions with an attendance of more than 16,000 children. All of BPL's 60 branches offered RIF programs once a week and hosted at least one class visit in the library or at a school. Through RIF, BPL provided approximately 25,000 free books to children and teens. During the first four months of Fiscal 2002 there were approximately 1,100 class visits that reached more than 31,000 children.
- During the first four months of Fiscal 2002 BPL's Business Library presented various educational programs, including informational workshops, seminars and presentations, about how to start or expand a business. Programs included information and resources for small business disaster relief loans, use of 2000 census data and information for women-owned businesses. The second half of Fiscal 2002 includes programs about business literacy, personal finance and technology for small businesses.
- In the first four months of Fiscal 2002 BPL's most popular programs offered to adult patrons were Internet and computer skills workshops, adult book discussions and programs for seniors. These programs are offered year-round. During the reporting period the total attendance for adult programs was over 26,500, with an average attendance of 14 adults per program session.

Library Services and Facilities

- During the first four months of Fiscal 2002 BPL's average hours of service was 42.5 hours per week, compared with 43.1 hours per week during the same period in Fiscal 2001. The reduction in average weekly hours reflects the suspension of Sunday service during the months of July and August 2001. Sunday service resumed in September 2001. However, in October 2001, Sunday service was discontinued in the 17 branches that offered it.
- During the first four months of Fiscal 2002 BPL's Kidsmobile was visited by more than 9,000 children and almost 3,000 adults. The Kidsmobile is a midsize van staffed with experienced library personnel who travel to schools, parks and shopping malls across Brooklyn with a collection of over 3,000 books, as well as laptop computer access and special programs for children.

PUBLIC LIBRARIES

- During the reporting period the Coney Island and Gravesend branches were reopened following major renovations. BPL also completed capital improvement projects at the East Flatbush, Ryder, Cypress Hills, Red Hook and Rugby branches.

Technology

- In the first four months of Fiscal 2002 BPL made available a total of 52 electronic databases to BPL cardholders via the library's home page, www.brooklynpubliclibrary.org, and 36 additional databases via on-site terminals, for a total of 88 databases. During the same period in Fiscal 2001 BPL made available 50 electronic databases and six additional databases.
- By the end of Fiscal 2002 BPL will upgrade its telecommunications and computer network to support Networking.NYC, which is a collaborative effort by City libraries, schools and community-based organizations for providing an advanced telecommunications network to constituents. The network will include Internet access, Web site hosting and videoconferencing, as well as the expansion of BPL's current boroughwide network. Five locations, including Sunset Park, New Utrecht, Eastern Parkway, Macon and the Central library, will be upgraded to support digital distance learning for patrons and staff. During the reporting period BPL upgraded network security, help desk software, telephone equipment and computers.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

Brooklyn Public Library	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Circulation (000)	10,150	10,317	10,078	10,917	11,340	3,738	3,757
Circulation per Capita	4.4	4.5	4.4	4.7	4.7	1.6	1.6
Items Purchased (a)	426,667	507,018	895,345	1,052,485	1,028,512	389,089	286,628 (b)
Average Weekly Hours	39.5	40.1	41.1	41.9	43.1	43.1	42.5
Reference and Information Queries (000)	5,320	6,192	6,032	5,918	5,532	2,263	2,206
Connecting Libraries and Schools Projects – Students Reached (c)	37,210	59,237	72,899	217,998	255,105	25,516	31,013 (d)
Connecting Libraries and Schools Projects – Schools (c)	102	120	124	362	377	141	121
Connecting Libraries and Schools Projects – School Districts (c)	4	4	4	13	13	11	12

- (a) Items purchased vary by fiscal year depending on the cost and nature of materials purchased. In Fiscal 1999 BPL implemented computerized purchase tracking, which more accurately reflects acquisitions. In Fiscal 2000 computerized purchase tracking data became available for the full year.
- (b) The decrease is due to reallocation of resources.
- (c) More students, schools and school districts are reached as the Connecting Libraries and Schools Program (CLASP) is more fully implemented. In Fiscal 2000 CLASP was fully implemented in all 13 school districts in Brooklyn, with an institutionwide focus on service to children and teens and branch-level accountability for reaching neighborhood schools.
- (d) During the reporting period BPL increased the number of students and classes reached during a single school visit.

PUBLIC LIBRARIES

NEW YORK PUBLIC LIBRARY/THE BRANCH LIBRARIES

Branch Programs

- During the first four months of Fiscal 2002 the New York Public Library (NYPL) conducted 8,604 program sessions covering a wide variety of topics, including literature, technology, the arts and business assistance, compared to 8,191 sessions conducted during the same period in Fiscal 2001. By the end of the reporting period 145,167 patrons attended program sessions, compared to 137,629 patrons during the same period in Fiscal 2001.
- Following the September 11th disaster, NYPL worked to provide patrons with enhanced services, both on its Internet site, www.nypl.org, and in its branch libraries. These services included emergency information, book lists and recommended reading on topics related to the tragedy; special resources and programs for small business owners; new programs focusing on how to handle grief and loss; strategies for parents and teachers to assist children in coping with their fears; and new storytelling hours for children focused on healing. By the end of September 2001 NYPL developed "NYPL Responds: Meeting Community Needs in the Wake of Tragedy," a series of programs for all ages that included community building and the promotion of tolerance as well as coping with depression, anxiety, grief and loss.
- During the months of September and October 2001, NYPL presented a series of programs celebrating the City's cultural diversity; these programs were attended by more than 500 people from different ethnic backgrounds and included celebrations of Russian, Latin American, Chinese and Irish culture.
- During the first four months of Fiscal 2002, 99,226 children and teens attended programs throughout NYPL branches, compared with the 103,371 children and teens who attended programs during the same period in Fiscal 2001. The decrease reflects the temporary decline of class visits to branch libraries in the aftermath of the September 11th disaster.
 - In Summer 2001 NYPL branches hosted their annual Summer Reading Programs, "2001: A Reading Odyssey," for children and young adults. The programs reached the highest participation ever, more than 21,615 children and teens, up 9 percent from 19,862 children and teens in Summer 2000. Librarians recorded children and teens reading 218,403 books, a 15 percent increase over 190,089 books read during Summer 2000. To encourage a sense of accomplishment among the participants, certificates of achievement were distributed. In addition, the Library's On-Lion for Kids Web site was revamped to include four different online adventures for children as well as suggested books for summer reading and information on how to sign up for the Summer Reading Program.
 - During the first four months of Fiscal 2002 NYPL's most popular children's programs included Story Hour, Picture Book Hour and Read Aloud Programs for children ages 3 through 12 years. These programs are also NYPL's main literacy outreach to children. The story and picture books used are chosen for their quality of narrative and appeal to the targeted age group. In the first four months of Fiscal 2002 there were more than 1,880 program sessions conducted with an attendance of over 23,600 children.
- In November 2001 the Fordham Library Center presented a Bronx Resource Fair for Immigrants in which 10 City agencies participated and more than 100 patrons attended. NYPL staff assisting with the fair spoke Russian, Bengali, Albanian, Vietnamese and Spanish. Information was provided on topics such as helping children in school, family support services, children's health insurance, job training, starting a small business, English for Speakers of Other Languages, citizenship and literacy services.

PUBLIC LIBRARIES

Library Services and Facilities

- During the first four months of Fiscal 2002 the branches in the NYPL system were open an average of 42 hours per week, compared with 41.7 hours per week during the same period in Fiscal 2001. In November 2001, Sunday service was discontinued in seven branches, and Saturday morning service was discontinued throughout the NYPL system with the exception of 14 regional branches, two borough centers and two central libraries.
- The NYPL Adopt-a-Branch Program combines private donations with City monies to fund urgently needed renovations at various branches. Five of the Library's 85 branches are currently undergoing major renovations, or are in the renovation planning process, and have been adopted. They are 115th Street, Harlem, and Seward Park in Manhattan; Sedgwick in the Bronx; and Stapleton in Staten Island. As of October 2001 private donations totaling \$7.7 million have been raised for the Adopt-a-Branch Program.
- In the first four months of Fiscal 2002 the Woodlawn Heights and Mott Haven branches in the Bronx and the Library for the Performing Arts – Circulating Collections and the Donnell Media Center in Manhattan were reopened after extensive renovations. The first phase of the Mott Haven renovation was also completed and allowed the branch to reopen for public service during the renovation's second phase, which includes an addition to the facility. In addition, the new Morningside Heights library branch opened in September 2001. The 17,000 square-foot library is 10 times the size of the Columbia branch it replaces, which was located in a one-room temporary site.
- NYPL "Spruce-Up Projects" provide limited building renovations for branches in need of repair but not scheduled for full renovation under the Capital Construction Program. "Spruce-Up Projects" completed during the first four months of Fiscal 2002 include the Hunts Point and Mosholu branches in the Bronx. The Edenwald and Grand Concourse branches in the Bronx are currently undergoing spruce-ups.

Technology

- In August 2001 NYPL launched the "Live Help" component of Ask Librarians Online, located at <http://ask.nypl.org/>, in which patrons immediately connect with librarians over the Internet weekdays 10 AM to noon and 2 PM to 4 PM. In addition to instant access, the component permits librarians to conduct complete reference interviews with patrons before queries are answered. The system also allows librarians to send specific Web pages to patrons' browsers, thereby immediately directing users to information sources.
- In October 2001 NYPL began improving the electronic content of the Summer Reading Program Web site, which will feature book lists and reviews, interactive puzzles and games, educational exercises, interactive author chats and multimedia content, thereby encouraging young people to visit their branches to obtain library cards and borrow books. The Web site will also provide a year-round resource guide for young people's reading activities, and will become a core part of the online services that the Library offers to children and young adults.

PUBLIC LIBRARIES

NEW YORK PUBLIC LIBRARY/THE RESEARCH LIBRARIES

Research Centers

- The Science, Industry and Business Library (SIBL) offers an active public education program for those interested in technology topics with free training classes to meet the needs of patrons and highlight the strengths of its collections. Due to the September 11th disaster, the first four events of Fall 2001 were cancelled. During the first four months of Fiscal 2002, 508 patrons attended 19 public programs, most of which focused either on small business information or financial planning. During the reporting period SIBL also offered 201 public training sessions, which were attended by 1,383 participants. New classes developed during the first four months of Fiscal 2002 included the Database Awareness Project, which features a different SIBL database each month.
- During the first four months of Fiscal 2002 the Humanities and Social Science Library's Public Education Program presented nine programs, including five lectures, three interviews and one panel discussion; approximately 2,500 patrons attended the program.
- The Library for the Performing Arts (LPA) 2001-2002 season began on October 15, 2001 with the official inauguration of its renovated Bruno Walter Auditorium by Prince Andrew, Duke of York as part of the "UKwithNY" celebration. During the reporting period, LPA presented 11 programs related to the dance, music and theater of the United Kingdom as well as a program at the Lucille Lortel Theater in Greenwich Village; approximately 1,500 patrons attended these programs.
- During the first four months of Fiscal 2002 the Schomburg Center for Research in Black Culture presented the exhibition, "Africana Age: African and African Diasporan Transformations in the Twentieth Century," which included four concerts and five events celebrating recently published books. More than 10,000 patrons viewed the exhibition and approximately 1,500 people attended the other events.

Library Services and Facilities

- During the first four months of Fiscal 2002 NYPL's research libraries were open an average of 47.8 hours per week, compared with 46 hours per week during the same period in Fiscal 2001.
- During the first four months of Fiscal 2002 renovations continued at the Humanities and Social Sciences Library. The infill building under construction in the south courtyard will be completed by mid-March 2002 and a formal opening is scheduled for early Spring 2003. The Miriam and Ira D. Wallach Division of Art, Prints and Photographs is nearing the end of its renovation. Collection storage areas and staff offices were completed during the reporting period, and the second of the two public reading rooms reopened in December 2001.

Technology

- The New York Small Business Resource Center Web site, located at www.nypl.org/smallbiz, provides links to business emergency resources, such as disaster loan application advice and accounting advice. This site features a searchable database of service organizations and agencies that offer assistance to small businesses. Through the Web site's "Ask A Question" service, SIBL librarians help businesses locate useful information and resources in New York.

PUBLIC LIBRARIES

LONG-TERM TRENDS IN AGENCY OBJECTIVES

New York Public Library	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Circulation (000)	11,579	12,653	12,653	12,842	13,486	4,397	4,903
Circulation per Capita	3.8	4.1	4.1	4.2	4.1	1.4	1.5
Items Purchased (a)	887,651	1,026,757	870,474	963,347	952,796	164,296	304,793 (a)
Average Weekly Hours – Branch	38.5	40.5	41.2	41.3	41.7	41.7	42
Average Weekly Hours – Research	46	46	46	46	47.8	46	47.8
Reference and Information Queries – Branch (000)	6,297	6,588	6,740	6,419	6,347	1,983	1,971
Reference and Information Queries – Research (000)	249	270	257	200	198	67	62
Connecting Libraries and Schools Projects – Students Reached (b)	44,524	63,326	81,123	91,764	209,403 (c)	32,237	36,048
Connecting Libraries and Schools Projects – Schools (b)	162	238	315	490	490	490	490
Connecting Libraries and Schools Projects – School Districts (b)	3	6	8	13	13	13	13

- (a) Items purchased vary by fiscal year depending on the cost and nature of materials purchased.
- (b) More students, schools and school districts are reached as the CLASP program is more fully implemented.
- (c) In Fiscal 2001 NYPL reviewed and revised the process of tabulating attendance of CLASP library visits, resulting in more accurate reporting.

QUEENS BOROUGH PUBLIC LIBRARY

Branch Programs

- During the first four months of Fiscal 2002 the Queens Borough Public Library (QBPL) conducted 8,287 program sessions covering a wide variety of topics, including multilingual studies, technology, and cultural and business assistance, compared to 8,218 sessions conducted during the same period in Fiscal 2001. By the end of the reporting period 198,017 patrons attended program sessions, compared to 196,966 patrons who attended sessions during the same period in Fiscal 2001.
- Following the September 11th disaster, QBPL provided patrons the opportunity to communicate with loved ones around the world by using its computer systems, and made available print and electronic resources to help individuals and families cope with the tragedy. Due to unavailable data connections, from September 12 to September 21, 2001 the Queens Central Library provided Internet support for clients at the Jamaica One-Stop Center, the official site for displaced job seekers.
- During the first four months of Fiscal 2002 almost 131,700 children and teens attended more than 5,360 programs throughout QBPL branches and the Central Library's Youth Division, compared to 150,081 children and teens who attended 5,834 programs during the first four months of Fiscal 2001.

PUBLIC LIBRARIES

- QBPL's Summer Reading Program, "2001: A Reading Odyssey," reached almost 19,000 children. Activities included storytelling and arts and craft programs, and concluded with a celebration event at branch libraries. Summer Reading was promoted through advertising on ethnic radio stations and neighborhood newspapers throughout Queens.
- During the first four months of Fiscal 2002 QBPL's most popular children's programs were the Summer Reading Club, Latchkey Program and Toddler Time. More than 18,975 children, preschool through age 12, participated in the weekly Summer Reading Club activities, including story times, arts and crafts projects, gardening and other library beautification projects. The Latchkey Program served 41,724 children in 1,984 sessions during the reporting period. QBPL's Toddler Time story program, which targets children ages 2½ to 4 years and their caregivers, serves over 700 children a month and introduces children to books, nursery rhymes and songs; parents or caregivers are encouraged to replicate similar literacy activities at home or day care.
- During the first four months of Fiscal 2002 QBPL's most popular Adult Services programs were Horacio Laguna, performing Argentine Tango and Folklore with an attendance of over 100 patrons; and Efraim Silva and Ginga Brazileria, celebrating Afro-Brazilian Culture, including music, dance and martial arts, with more than 150 patrons attending.

Multilingual Services

- During the first four months of Fiscal 2002 QBPL's New Americans Program (NAP) offered 22 programs for multicultural/multilingual audiences involving topics to assist in assimilation and celebrate cultural events in Queens' various ethnic communities. Programs included a coping skills workshop on effective parenting, and 19 cultural and ethnic events. During the reporting period QBPL's programs featured Polish, Filipino, Russian, Japanese and Iranian presenters. There were also three all-day ethnic cultural festivals: Korean Day, attended by 416 patrons; the Latin American Festival, attended by 549 patrons; and the Indian Festival of Lights, attended by 407 patrons.
- QBPL's Adult Learner Program (ALP) and Adult Learning Centers (ALC) offer free English for Speakers of Other Languages (ESOL), instruction for individuals age 16 and over at the Central Library and 30 borough branches. During the first four months of Fiscal 2002 ALP offered 53 ESOL classes with an estimated enrollment of 1,900 students, representing 77 countries and 45 languages. In addition to these classes, 1,520 ESOL students at ALCs used computer-assisted instruction, audio and video tapes, received tutoring by volunteers and instruction by professional staff.

Library Services and Facilities

- During the first four months of Fiscal 2002 QBPL's average weekly hours of scheduled service were 42.9 hours per week, the same as in the reporting period last year.
- In the first four months of Fiscal 2002 the design phase continued for two new branches of approximately 18,000 square feet each in Long Island City and Cambria Heights. The Long Island City branch will replace two rental facilities of 1,300 square feet and 3,200 square feet, and will include state-of-the-art public access computers, a meeting room and an Adult Learning Center. The new Cambria Heights branch will replace one rental facility of 5,000 square feet, providing an expanded collection of library materials, state-of-the-art public access computers, a meeting room and space in the lower level to accommodate increased delivery of public services. QBPL will issue construction bidding documents in Spring 2002 for both new sites.

PUBLIC LIBRARIES

- During Fiscal 2002 QBPL will undertake capital projects, which include design and replacement of heating and cooling systems at eight branches, renovations to comply with the Americans With Disabilities Act at 15 branches, and the replacement of windows and doors at four branches. Consultant selection is in progress for major interior renovations at Laurelton, Poppenhusen, Queens Village and Ridgewood branches, and planned expansion of the Corona branch by approximately 2,400 square feet is in the final design stage.

Technology

- In the first four months of Fiscal 2002 QBPL made available 38 electronic databases to QBPL card holders via the library's home page, www.queenslibrary.org. Nine of the electronic databases are new resources for patrons. In addition, there are 27 databases that can be accessed only via on-site terminals. This makes a total of 65 electronic databases available to Queens Library patrons.
- During the reporting period QBPL began replacing 1,550 computers with new machines in all branches. This project, which will be completed by the end of Fiscal 2002, will improve customer service through quicker processing of reference queries and more effective collection management.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

Queens Public Library	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Circulation (000)	15,550	16,065	17,534	17,239	16,829	5,603	5,703
Circulation per Capita	8	8.2	8.9	8.8	7.5	2.8	2.6
Items Purchased (a)	601,098	1,032,569	1,018,095	867,800	871,902	273,084	242,177
Average Weekly Hours	41.5	42.5	42.5	42.5	42.9	42.9	42.9
Reference and Information Queries (000)	2,485	2,507	2,524	2,960 (b)	3,345	1,183	957
Connecting Libraries and Schools Projects – Students Reached (c)	31,764	64,368	81,109	133,074	156,285	31,474	17,357 (d)
Connecting Libraries and Schools Projects – Schools (c)	50	111	141	227	411	135	67 (d)
Connecting Libraries and Schools Projects – School Districts (c)	1	3	3	7	7	7	7

- (a) Items purchased vary by fiscal year depending on the cost and nature of materials purchased. In Fiscal 1997 QBPL counted the number of periodical subscriptions, rather than the number of items per periodical title, as reported in previous years. As of Fiscal 1998 the figures reflect library materials purchased from all funding sources, including State and private funding. The rise in items purchased from Fiscal 1997 through Fiscal 1999 reflects the initial outfitting of the new Flushing Branch.
- (b) During Fiscal 2000 QBPL reviewed and revised the process of collecting reference statistics, resulting in more accurate reporting.
- (c) More students, schools and school districts are reached as CLASP is more fully implemented. In Fiscal 2001 QBPL expanded CLASP to serve students in private and parochial schools.
- (d) In the aftermath of the September 11th disaster, CLASP access to schools was limited.

PUBLIC LIBRARIES

CONNECTING LIBRARIES AND SCHOOLS PROGRAM (CLASP)

- In the first four months of Fiscal 2002 the Connecting Libraries and Schools Program (CLASP) reached 32 school districts through 1,836 CLASP programs at 678 schools for 84,518 students. Organized in collaboration with the Board of Education, CLASP encourages children in kindergarten through grade 8 to read more and to make full use of their neighborhood libraries. The project provides children with field trips to local branch libraries, literacy programs, workshops on new library technology and library card registrations. In addition, 7,055 teachers, administrators and parents participated in CLASP-sponsored workshops, parenting programs or family literacy events.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Libraries' combined City-funded expenditures were \$5.8 million, compared with its plan of \$9.2 million. Combined Fiscal 2001 expenditures were \$383 million.
- The City's Financial Plan of February 2002 outlines savings primarily through a 10 percent subsidy reduction of \$8.1 million in Fiscal 2002 and a 15 percent subsidy reduction of \$39.3 million in Fiscal 2003. The Libraries have planned City-funded expenditures of \$122.3 million for Fiscal 2002 and \$222.8 million for Fiscal 2003.

DEPARTMENT OF BUSINESS SERVICES

The Department of Business Services is committed to assisting small businesses in New York City by providing technical assistance to start-up and expanding businesses, supporting procurement opportunities for small, women- and minority-owned businesses, improving the level and quality of service offered to the business community, and intervening with governmental entities on behalf of businesses.

GOALS AND OBJECTIVES

Goal: Identify and respond to the needs of businesses in the City.

Objective

Conduct outreach to 6,000 businesses through cold calling, business seminars and visits to local business and community organizations in Fiscal 2002.

Provide assistance to 1,900 businesses in resolving issues with City agencies, interpreting government rules and regulations, and supplying emergency grant and loan information for disaster relief in Fiscal 2002.

Resolve 100% of registered business assistance requests within 30 days in Fiscal 2002.

Goal: Provide incentives for eligible businesses to remain in the City, and/or expand their operations through energy cost reductions.

Objective

Provide \$4 million in Energy Cost Savings Program benefits, helping 130 businesses that employ approximately 7,000 workers in Fiscal 2002.

Approve a revised six commercial office towers for Lower Manhattan Energy Program benefits in Fiscal 2002.

Goal: Expand the financial and economic opportunities of businesses by increasing their access to contracts.

Objective

Certify 40 businesses as eligible to participate in the Locally Based Enterprise program in Fiscal 2002.

Assist a revised 1,200 companies in securing bid information and increase participation of City agencies in the Bid-Match process in Fiscal 2002.

Conduct a revised 300 initial counseling sessions with prospective firms to provide marketing and technical assistance in Fiscal 2002.

Goal: Facilitate the growth of business communities through Business Improvement Districts and Local Development Programs.

Objective

Assist one potential Business Improvement District sponsor to develop a district plan proposal in Fiscal 2002.

Continue providing oversight and technical assistance for the operation of all Business Improvement District programs and services in Fiscal 2002.

Evaluate all Business Improvement Districts' effectiveness based in part on the scorecard rating (cleanliness), marketing and promotion efforts, and increase in new businesses or increase in retail sales as reported by individual businesses in Fiscal 2002.

Fund 92 local development programs with \$5.6 million in tax levy and Community Development Block Grant revenues in Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

BUSINESS ASSISTANCE AND OUTREACH

- During the first four months of Fiscal 2002 the Department of Business Services' (DBS) City Business Assistance Program (CBAP) assisted Brooklyn and Queens merchants in understanding the Zero Visibility Rule, which prohibits merchants from displaying merchandise in front of their businesses. CBAP staff assisted Bronx merchant groups in complying with recycling and street cleaning regulations. In collaboration with the Jamaica Business Resource Center, CBAP conducted weekly sessions for Queens entrepreneurs to obtain information necessary for permits and licenses and the location of available commercial space. In addition, the Unit coordinated efforts throughout the City for graffiti removal by obtaining release forms from interested businesses.
- CBAP also staffs the Emergency Response Unit (ERU), which works directly with the Mayor's Office of Emergency Management to respond to disasters in the five boroughs and assists businesses affected by disasters including fires, building collapses and water main breaks. ERU helps businesses obtain information necessary for insurance claims and relocation efforts, if necessary, as well as retrieve merchandise and important documents from buildings in the disaster area. During the first four months of Fiscal 2002 ERU responded to four emergencies affecting more than 500 businesses.
 - In September and October 2001 ERU provided assistance to businesses affected by the terrorist attack on the World Trade Center at four disaster relief centers located in Lower Manhattan. In addition, DBS provided affected businesses with assistance on gaining access to their business locations, clean-up, financial assistance and relocation efforts. DBS also attended meetings of business associations to provide updates on existing conditions and worked with the Alliance for Downtown New York Business Improvement District to coordinate grant and loan assistance to area retailers and merchants.
 - In November 2001 ERU assisted businesses affected by an airplane crash in Belle Harbor, Queens.
 - In August 2001 ERU aided businesses affected by a commercial fire on Kingsbridge Road and Havemeyer Avenue in the Bronx.
 - During Summer 2001 ERU continued to assist 12 Queens businesses affected by a May 2001 fire and issued 12 Business Emergency Grant Checks.
- During the reporting period the Vendor Initiative Division conducted 56 business basics courses with an attendance of approximately 300 clients, 56 computer classes with an attendance of over 750 clients and 20 technical assistance classes with an attendance of approximately 575 clients.
- The Bid-Match program enhances contracting opportunities for certified small businesses by providing notice of contracts valued at under \$25,000. Using email and facsimile machines, the Bid-Match program reduces the cost of providing bid information from participating City agencies to prospective vendors and contractors. The Bid-Match system operates on the intranet, and a Fiscal 2002 system upgrade will allow for Internet access to the system. In Fiscal 2002 the DBS Web site will provide an e-mail address for businesses to contact and receive Bid-Match information. In addition, the program offers training on proper bidding procedures and assists companies with payment resolution. At the conclusion of the first four months of Fiscal 2002, there were 925 firms in the Department's new Bid-Match database. During the reporting period DBS assisted more than 500 companies in obtaining bid information. This represents an increase of 100 percent over the 250 companies assisted in the same period in Fiscal 2001.

DEPARTMENT OF BUSINESS SERVICES

- In April 2000 HealthStat began to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, all City agencies and hundreds of community groups were mobilized to enroll eligible families and children in Child Health Plus and Medicaid. As a direct result of HealthStat activities, over 200,000 individuals have been enrolled in public health insurance programs.
 - During the first four months of Fiscal 2002 DBS made information available to businesses for the HealthStat initiative during CBAP staff's cold calling. DBS also organized enrollment events, such as street fairs and festivals, with approximately 15 community-based organizations throughout the City; nearly 100 children and families were newly enrolled in HealthStat programs. In collaboration with more than 30 Business Improvement Districts and local development corporations, DBS distributed HealthStat-related literature, posters and brochures.

BUSINESS DEVELOPMENT

- During the first four months of Fiscal 2002 DBS continued to provide entrepreneurs with the fundamental principles necessary to start and operate businesses through its Business Basics Course. During the reporting period more than 1,600 clients attended 56 sessions of the Business Basics Course. The computer course curriculum includes basic computer, the use of a spreadsheet application and Internet access. The business basics courses cover business planning, marketing, management techniques, inventory management and financing.
- DBS is currently working with a sponsor in West Maspeth, Queens to form a Business Improvement District (BID) for its commercial area. Beginning in July 2001, 13 BID contracts scheduled for renewal are under review to ensure compliance with fiscal and contractual obligations. In addition, BIDs are required to conduct a survey of their constituents to determine the effectiveness of BID services.
 - The following major BID activities were initiated during the first four months of Fiscal 2002. The Alliance for Downtown New York BID continues to assist the businesses affected by the terrorist attack on the World Trade Center. The BID has worked closely with the Real Estate Board of New York to identify suitable space for displaced businesses. The BID was also instrumental in developing a financing program that included grants and loans to assist retailers in Lower Manhattan. The Times Square BID awarded more than \$30,000 in grants to local community service organizations for façade improvements and security. In addition, the East Mid-Manhattan BID began operation in January 2002.
- In the first four months of Fiscal 2002 DBS' Commercial Revitalization Program (CRP) contracted with 16 local development corporations to implement commercial revitalization efforts in targeted commercial strips throughout the City. The South Bronx Overall Economic Development Corporation developed a state-of-the-art facility, which provides conference room space, a computer center and a resource library for up to 32 small Bronx businesses. The Brooklyn Economic Development Corporation initiated a revolving loan fund for small businesses and developed an equity program for low-income borrowers. The Bayside Community Council Local Development Corporation of Staten Island organized a consortium of commercial property owners to provide space to displaced companies affected by the destruction of the World Trade Center. By the end of Fiscal 2002 CRP will contract with 92 local development corporations.

DEPARTMENT OF BUSINESS SERVICES

- In the first four months of Fiscal 2002 nearly 300 vendors were using the four vendor markets located at West 116th Street in Harlem, Washington Heights, Fordham Road in the Bronx, and the Fulton Street market in Brooklyn. The Flatbush/Caton market in Brooklyn was closed due to the construction of a new indoor facility. The markets were established by DBS through the Vendor Initiative Division and have a local nonprofit manager who oversees the daily operation of the market. In addition, in May 2001 a new vendor market was opened on Fulton Street in the Bedford/Stuyvesant section of Brooklyn as part of an initiative to remove illegal vendors from Fulton Street. A community sponsor operates the market on a daily basis. The market, which holds approximately 60 vendors, receives technical assistance from the DBS Vendor Division.
- The Executive Volunteer Corps (EVC) Business Action Center and NY*MAGIC Hotline, which are part of the Business Development Center, provide a full range of business development services. In the first four months of Fiscal 2002 EVC provided counseling to nearly 2,042 individuals seeking to start a new, or expand an existing, business. EVC volunteers offer information on various lending programs through both public and private sources, provide information on licensing, marketing and promotions, and help develop business plans. In addition, EVC provides listings of sites for businesses to locate or expand their operations. The program participates in a project with the New York Public Library's Science, Industry and Business Library that provides patrons of the Library with the opportunity to ask business-related questions online and receive responses from EVC counselors via e-mail. DBS is coordinating a similar initiative through the Brooklyn Public Library's Business Library.
- The Energy Cost Savings Program (ECSP) offers up to 12 years of direct energy cost reductions to eligible industrial and commercial firms that are either relocating from designated areas within the five boroughs, or renovating or expanding in any area within the City. In the first four months of Fiscal 2002 ECSP approved 66 projects affecting 3,178 jobs.

REGULATORY SERVICES

- During the first four months of Fiscal 2002 DBS continued to provide security, supervision and enforcement at the Fulton Fish Market as required under the provisions of Local Laws 28 and 50. DBS also oversees the registration of market wholesalers and maintains photo identification on wholesalers, loaders and unloaders. In addition, DBS coordinates the delivery of goods into the Market. In the aftermath of the terrorist attack on the World Trade Center, DBS temporarily relocated the Fulton Fish Market in Manhattan to Hunts Point in the Bronx; the market was returned to its South Street Seaport location in early November 2001. Pending the completion of the new Hunts Point Food Distribution Center, the Fulton Fish Market will permanently relocate to Hunts Point.
- In the first four months of Fiscal 2002 DBS certified 37 companies to participate in the Empire Zones (EZ) program. One wholesaler, since becoming certified in the Southwest Brooklyn Empire Zone in September 2001, is projected to add 45 new jobs and nearly \$11 million in investment to the Zone. The total number of EZ-certified companies as of the end of the first four months of Fiscal 2002 is 825. Certification requires companies to have their business credentials verified by the State and be physically located in EZ areas. Employers that annually increase jobs and investment in a designated EZ are granted tax credits, including the Wage Tax Credit for economically disadvantaged employees.
- The Vendor Initiative Division continued to coordinate interagency efforts through the Vendor Operating Committee (VOC). VOC is a task force of City agencies, including DBS, Consumer Affairs and the New York City Police Department, which coordinates enforcement activities against illegal vending operations. The task force works to prevent illegal vending, as well as the health and safety hazards vending activities may cause in commercial areas.

DEPARTMENT OF BUSINESS SERVICES

- During the first four months of Fiscal 2002 DBS' permits unit oversaw the development, operation, and maintenance of City-owned waterfront property and issued all appropriate permits regarding these properties.

TECHNOLOGY

- During the first four months of Fiscal 2002 the number of views to the Department's home page on NYC.GOV, the City's official Web site, increased by 96 percent. There were 18,395 views during the first four months of Fiscal 2001, compared to 36,144 views in the first four months of Fiscal 2002. DBS has also added a dedicated email address to receive inquiries from the public on business issues.

FINANCIAL PLAN

- In the first four months of Fiscal 2002 DBS combined City-funded expenditures were \$10.1 million, compared with its plan of \$26.6 million. The Department's Fiscal 2001 expenditures were \$44.3 million.
- The City's Financial Plan of February 2002 outlines \$24.3 million in Fiscal 2002 and \$7.2 million in Fiscal 2003 in recurring revenue and expense initiatives, including permit fees for the Mayor's Office of Film, Theatre, and Broadcasting and a reforecast of Empowerment Zone commitments. The Department has planned expenditures of \$65.7 million for Fiscal 2002 and \$33.9 million for Fiscal 2003.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Energy Cost Savings Program – Projects Approved	93	109	143	144	109 (a)	40	66 (a)
Energy Cost Savings Program – Dollar Value of Annual Estimated Savings (000)	\$6,777 (b)	\$3,500	\$3,479	\$4,023	\$4,000 (a)	\$1,089	\$1,420 (a)
Energy Cost Savings Program – Project Jobs Affected (c)	6,549	5,775	9,051	11,078	6,745	2,000	3,200 (a)
City Business Assistance/ Emergency Response Unit – Businesses Reached	8,451	8,195	8,790	5,350 (d)	5,184 (d)	2,300	2,221
City Business Assistance/ Emergency Response Unit – Businesses Assisted (e)	1,177	1,450	1,879	1,911	1,626	630	861 (f)
Locally Based Enterprise Program – Companies Newly Certified	27	26	35	15 (g)	33	9 (g)	16

- (a) The Fiscal 2001 decrease was due to delays in the enactment of new legislation to allow the approval of more projects by the Energy Cost Savings Program (ECSP). During the Fiscal 2002 reporting period the enactment of new legislation has expanded the number of businesses eligible for ECSP benefits.
- (b) The higher ECSP estimated annual savings for Fiscal 1997 reflects a large number of applicants with larger-than-average energy loads.

DEPARTMENT OF BUSINESS SERVICES

- (c) The increases in both Fiscal 1999 and Fiscal 2000 are attributable to several large employers, such as warehouses, receiving ECSP benefits.
- (d) CBAP/ERU experienced staff attrition during this period.
- (e) The increases in both Fiscal 1999 and Fiscal 2000 are attributable to several large disasters, such as the Times Square scaffolding collapse, which affected a large number of businesses.
- (f) The increase was due to DBS' response efforts to the terrorist attack on the World Trade Center.
- (g) During Fiscal 2000 responses by construction or related companies to the potential opportunity of certification declined.

NYC ECONOMIC DEVELOPMENT CORPORATION

The New York City Economic Development Corporation is a nonprofit corporation with a board of directors jointly appointed by the Mayor, the Borough Presidents, the Speaker of the City Council and the Chairman of the Corporation, which works with the private and public sectors on economic development initiatives to revitalize businesses, create jobs and generate revenue for the City. In addition to business recruitment and retention efforts, the Corporation markets, sells and leases City-owned commercial and industrial properties; plans and prepares sites for development; carries out capital improvements in neighborhood shopping districts and public spaces; and provides technical assistance to guide projects through the necessary public review and approval process. The Corporation is involved in property management and the development of the City's marine terminals, airports, heliports, markets, rail yards and industrial parks. The Corporation also conducts economic research on behalf of the City and manages programs that provide low-cost energy and access to capital markets for City businesses.

GOALS AND OBJECTIVES

Goal: Attract and retain businesses and jobs in the City.

Objective

Approve 30 Financing Initiatives Industrial Development Bond applications in Fiscal 2002.

Close 20 Financing Initiatives Industrial Development Bond transactions with a revised total value of \$900 million in Fiscal 2002.

Goal: Provide economic and capital incentives that encourage investment in businesses and corporations.

Objective

Approve 22 Small Industry/Industrial Incentive Program applications in Fiscal 2002.

Close 20 Small Industry/Industrial Incentive Program transactions with a revised total value of \$205 million in Fiscal 2002.

Goal: Develop and manage City-owned properties with transportation, commercial, industrial and waterfront-dependent uses.

Objective

Begin 25 capital projects in Fiscal 2002.

Complete 18 capital projects in Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

BUSINESS RETENTION AND RECRUITMENT

- During the first four months of Fiscal 2002 the Economic Development Corporation (EDC) secured commitments from one major company to stay in the City for 10 to 50 years. The commitment represents an estimated 3,300 jobs retained, 1,148 jobs created and City tax revenue of \$22.9 million annually over the next 10 to 50 years.
 - EDC secured a commitment from a major New York City newspaper to construct a new headquarters building on the westernmost portion of Times Square and to stay in the City for 30 years.

NYC ECONOMIC DEVELOPMENT CORPORATION

- During the first four months of Fiscal 2002 the Recruitment Division focused its marketing efforts on bringing a total of three businesses and 33 jobs to the City. These businesses included a Japanese computer software company, a financial institution information technology consulting firm and a kiosk manufacturer.
- In the aftermath of the terrorist attack on the World Trade Center, EDC and the State established a \$20 million grant program for retail businesses. Administered by the Empire State Development Corporation, the fund will assist small and medium-size retail businesses located in the Liberty Zone, which is south of Canal Street and the Manhattan Bridge Approach, and in the Resurgence Zone, which is north of the Liberty Zone and south of Clarkson and Houston streets. In conjunction with the State, EDC established a \$50 million loan guarantee fund to support a \$250 million bridge loan program for small businesses, most of which will qualify for Small Business Administration Physical Disaster relief. Participating banks approve bridge loans within three days of application while SBA processes the business' loan applications.

NEW BUSINESS DEVELOPMENT

- In the first four months of Fiscal 2002 EDC focused on developing new businesses. During the reporting period EDC marketed and administered the business development programs of the Industrial Development Agency (IDA), including the Industrial Development Bond Program, the Civic Facility Bond Program, and the Small Industry and Industrial Incentive Program (SI/IIP). In addition, EDC marketed the New York City Capital Access, Non-Profit Finance and Regional Economic Development Assistance Corporation Mini-Loan programs, which provide services such as arranging for tax exemptions and waivers as well as issuing low-cost tax-exempt bonds.

TRANSPORTATION INFRASTRUCTURE AND WATERFRONT REVITALIZATION

- In the aftermath of the September 11th disaster, EDC worked with the Department of Transportation (DOT) to expand ferry service to Manhattan at piers 79, 11 and 16 and the Brooklyn Army Terminal (BAT). Improvements were made to Pier 4 at BAT, including gangways, light towers and other areas to accommodate the expanded ferry service. An extra parking area was also developed at the 65th Street rail yards to accommodate several hundred cars. EDC also contracted for the construction of an emergency ferry landing at Pier 79, located at West 39th Street on the Hudson River, to relieve overcrowding conditions at Pier 78 resulting from the loss of Port Authority train service to the World Trade Center. At Pier 11 in Manhattan, an additional ferry landing was developed to accommodate Hoboken ferry service. Also, at Pier 16 in Manhattan, additional ferry landings were provided.

LOCAL NEIGHBORHOOD DEVELOPMENT

- In Summer 2000 construction began on a new 45-story full-service hotel in Times Square. The new hotel will connect an entertainment, retail and restaurant complex, and will have entrances on 42nd and 43rd streets. This hotel tower will create 1,800 construction and 500 permanent jobs and is scheduled to open in Fall 2002.
- In May 2000 a major hotel corporation began construction of a hotel with 150 rooms and 9,000 square feet of banquet space on Staten Island. The hotel, which opened in October 2001 and is located adjacent to Staten Island Corporate Park, is part of a complex that includes an 80,000-square-foot office building, a day-care center and a landscaped garden. It is estimated that this complex will create over 200 permanent jobs.

NYC ECONOMIC DEVELOPMENT CORPORATION

- The architectural and engineering design process for the St. George ferry terminal in Staten Island was completed in late September 2001. In May 2001 bids were sought for the terminal's advance work, including abatement, demolition, utilities and foundation work. Construction began in Fall 2001. A second bid package will encompass the remaining work, including reconstruction of the building, construction of a new air-conditioned waiting room and additional retail space, upgrading all utilities and improving access to the new building and other intermodal connections. This second bid package was released in October 2001 and construction will begin in early Calendar 2002.
- During Fiscal 2001 EDC continued to work with DOT to reconstruct the Whitehall Ferry Terminal in Manhattan. The \$136 million project includes the construction of a new climate-controlled terminal building and a two-acre plaza, which will improve vehicular and passenger access and provide a new public space in Lower Manhattan. During Fiscal 2001 slip number three was removed from service to permit the implementation of the first phase of construction, which included establishing a construction work site, demolishing the slip number three portion of the terminal building, relocating and protecting public and private utility lines, installing steel pipe piles and erecting the terminal's steel framework. Completion of this phase has been rescheduled for the end of February 2002.
- During Fiscal 2001 EDC began completing the design phase for a modern wholesale seafood market to be constructed at the Hunts Point Food Distribution Center in the Bronx. The new facility, which will be called the Fulton Fish Market at Hunts Point, will be used to relocate all current City tenants at the Fulton Fish market located in Lower Manhattan. Temperature controlled selling areas, ample refrigeration, a state-of-the-art code-compliant food distribution facility, climate control and ample customer parking will improve the wholesalers' product quality and productivity. The design phase will be completed by a revised date of March 2002; construction will be completed by a revised date of August 2003.
- In December 2001 EDC completed the restoration of the Tweed Courthouse in Manhattan to its original grandeur. Renovations include complying with current City codes, restoring the stone façade, restoring the landmark interior atrium and landmark-designated room 201, upgrading utility systems, installing a new roof and windows and reconstructing the monumental staircase on Chambers Street.
- In July 2001 EDC issued a Request For Proposals (RFP) for the development of seven sites located in Brooklyn and Manhattan. Four of the sites, located in Manhattan's Alphabet City Assemblage, the South Street Seaport area and East Harlem, and in the East New York section of Brooklyn, are available for commercial or retail business development. The Washington Heights, Manhattan site and two Downtown Brooklyn sites seek RFPs for parking garage facilities and street level retail space. These seven RFPs contain a total of approximately 300,000 square feet of space. There were 43 proposals received by October 2001. EDC also seeks proposals for several industrial sights in Brooklyn's East New York In-Place Industrial Park.

TECHNOLOGY

- During the first four months of Fiscal 2002 EDC reported 38,165 visitors to its Web site, which is promoted by advertising in airports, publications, in online newsletters and on Web sites, as compared to 38,042 views during the same period in Fiscal 2001.

FINANCIAL PLAN

- The Corporation's Preliminary Capital Budget for Fiscal 2002 is \$869 million and \$245 million for Fiscal 2003.

NYC ECONOMIC DEVELOPMENT CORPORATION

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Financing Initiatives – Bond Applications Approved by IDA Board (a)	26	30	37	36	49	13	6 (b)
Financing Initiatives – Bond Transactions Closed	21	17	36 (c)	19	31 (d)	10	9
Financing Initiatives – Dollar Value of Bonds Issued (000)	\$258,315	\$450,489	\$410,048	\$142,978 (e)	\$225,183 (d)	\$56,223	\$294,745 (f)
Small Industry/Industrial Incentive Program – Applications Approved (g)	15	21	21	37	21	4	11 (b)
Small Industry/Industrial Incentive Program – Transactions Closed (g)	9	18	25	30	18	3	7 (b)
Small Industry/Industrial Incentive Program – Dollar Value (000) (g)	\$12,421	\$27,976	\$42,131	\$154,901	\$67,342	\$5,353	\$100,152 (b)

- (a) The growth can be attributed to more aggressive marketing and the strong local real estate market.
- (b) This change reflects a shift in activity from the Industrial Development Agency bond programs to the Small Industry/Industrial Incentive programs for this discrete time period rather than a slowdown in overall activity.
- (c) The strong economy, low interest rate environment and the impending termination of the Industrial Development Agency's (IDA's) issuing authority for nonprofit organizations led to additional activity in Fiscal 1999.
- (d) During Fiscal 2001 the number of IDA bond transactions closed increased due to strong activity in the nonprofit sector, particularly the human services area where IDA closed its third Pooled Bond financing, a transaction that assisted seven entities.
- (e) The Fiscal 2000 dollar amount is less than the previous years because a significant number of transactions did not close until Fiscal 2001.
- (f) IDA successfully closed several large bond transactions, including one for a private nonprofit institution of higher education for over \$60 million and one for an air cargo developer at JFK International Airport for over \$160 million.
- (g) In Fiscal 1998 a strong local economy and aggressive targeting of small and medium-size businesses led to more activity in the Small Industry/Industrial Incentive programs. In Fiscal 1999 and Fiscal 2000 IDA exceeded expectations due to the continued strength of the middle market real estate sectors and marketing campaigns that inform eligible businesses of these potential benefits. During Fiscal 2000 there were a large number of higher dollar value transactions. In addition, during Fiscal 2001 the number of transactions and dollar volume decreased due to less New York City industrial real estate being available.

MAYOR'S OFFICE OF FILM, THEATRE AND BROADCASTING

The Mayor's Office of Film, Theatre and Broadcasting provides economic development services to the entertainment production community, which employs over 78,000 City residents and supports more than 4,000 businesses in the City, and one-stop permitting for location shooting throughout the five boroughs. The Office is committed to improving the City's status as a world-class entertainment production center.

GOALS AND OBJECTIVES

Goal: Provide advocacy for, and facilitate services to, the entertainment industry and increase film, theatre and television productions and production-related support businesses, thereby expanding the employment and revenue benefits of this industry to the City.

Objective

Provide for a minimum of 20,000 film and video production shooting days in the City in Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

PRODUCTION IN NEW YORK CITY

- All major studio feature films and television series scheduled for production in Calendar 2001 were completed by the end of June 2001 in order to avoid two strikes by the Writers Guild of America and the Screen Actors Guild, and meet contract deadlines. Production budgets were also spent by June 2001, thereby creating a long production lull from Summer 2001 through December 2001.
 - Because there was little ongoing work when the World Trade Center attacks occurred, specific effects upon the production industry were less damaging than they would have been in a normal year. Shooting permits were suspended for five days and resumed outside of Manhattan on September 17, 2001 and in Manhattan on September 25, 2001. Productions in progress at the time of the World Trade Center attacks included several independent films, three prime-time television series and some commercials; all were able to reschedule production for work in-studio or in the other four boroughs. All films and returning television series in production at the time of the attack were able to shoot on schedule from October through December 2001.
- During the first four months of Fiscal 2002 the Mayor's Office of Film, Theatre and Broadcasting facilitated 4,890 total production shooting days and 1,206 total productions, compared to 6,514 total production shooting days and 1,328 total productions during the same period in Fiscal 2001.
- During the first four months of Fiscal 2002 a total of 68 feature films and 327 broadcast and cable network television programs were produced, resulting in 681 and 1,770 shooting days, respectively. In comparison, during the first four months of Fiscal 2001, 101 feature films and 387 broadcast and cable network television programs were produced, resulting in 1,426 and 2,406 shooting days, respectively.
- As of mid-season, a national trade organization reports that from June through November 2001 Broadway box office gross receipts totaled \$304.7 million, a 5.3 percent decrease from the \$321.9 million reported last season. Attendance during the same period decreased by 6.9 percent, from 5.8 million last season to 5.4 million this season.

MAYOR'S OFFICE OF FILM, THEATRE AND BROADCASTING

- One new prime-time television series is shooting entirely in the City, bringing the total to 12. The 12 series are being produced for both cable and network venues, and are being featured during Fall 2001 and Calendar 2002. Overall, the City has over 100 national television shows in production, including prime time, late night, daytime dramas, talk shows and children's shows.

ATTRACTING NEW BUSINESS TO NEW YORK CITY

- In late October 2001 the Commissioner and a delegation of labor and government representatives met over 60 major California studio and network production executives to assure them that New York's production community was fully operational and also to discuss future projects. As a result, in early Calendar 2002, 15 feature films and three television series will shoot in New York.
- By the end of October 2001 a contractor completed half of the demolition of the site where expansion of an historic film and television studio in Astoria, Queens will begin. In addition, the property adjacent to the site was acquired to accommodate the expansion. Upon completion, the studio's production complex will add an 18,000 square-foot sound stage and a 25,000 square-foot support space. The expanded studio is expected to open by a revised date of Spring 2003.
- In October 1999 a team of entrepreneurs signed a 70-year lease with the Brooklyn Navy Yard Development Corporation to develop 11 sound stages varying in size from 12,000 to 40,000 square feet. Construction of the foundation began in December 2000, and the facility is slated to become operational by a revised date of Summer 2003.

TECHNOLOGY

- The Office continues to make information about the film, theatre and broadcast industry available through its home page on NYC.GOV, the City's official Web site. During the first four months of Fiscal 2002 the Department's home page had 292,390 views, 58 percent more than the 185,321 views during the same period in Fiscal 2001.

FINANCIAL PLAN

- Financial data for the Mayor's Office of Film, Theatre and Broadcasting is included in the Department of Business Services section.

DEPARTMENT OF CULTURAL AFFAIRS

The Department of Cultural Affairs funds and administers programs that support cultural institutions and organizations, which enhance and sustain New York City's cultural life, heritage and economy. The Department funds operating expenses such as security, maintenance and energy at the 34 cultural institutions that occupy City-owned facilities, and oversees City capital expenditures approved for design and construction work and major equipment purchases for cultural institutions within New York City. The Department also awards and administers annual grants that support programs at over 500 cultural organizations and manages the Cultural Challenge Program, which encourages matching private sector support through the contribution of public funds for the arts and cultural initiatives. In addition, the Department offers funding to increase parental involvement with arts education at schools participating in the City's Partnership for Arts and Education Program, awards federal grants to arts groups serving low- and moderate-income neighborhoods, certifies artists as eligible to live in joint residential/work space, supports and administers commissions for public works of art at City construction projects, and provides donated used equipment and supplies to arts organizations and arts education programs in the public schools through the Materials for the Arts Program. The Department provides technical assistance to the City's nonprofit cultural community, which consists of over 1,400 performing and visual arts organizations, wildlife conservation parks, botanical gardens, science centers, historical and preservation societies, and other arts and cultural organizations.

GOALS AND OBJECTIVES

Goal: Enhance and stimulate the economic impact and benefits of cultural life and heritage in the City, and explore new and expanded opportunities for public/private partnerships.

Objective

Award a total of \$5 million in City funding to 156 organizations to encourage private funding through the Cultural Challenge Program in Fiscal 2002.

Through the Materials for the Arts (MFTA) Program, receive 2,800 visits to the MFTA warehouse from arts organizations, arts and cultural programs, and public schools, and divert 500 tons of solid waste valued at \$3 million from the City's waste stream in Fiscal 2002.

Goal: Award cultural service grants that support cultural organizations and activities.

Objective

Award 525 Public Service grants totaling \$18.5 million in Fiscal 2002. This includes awarding 130 grants totaling \$800,000 for the competitive portion of the Program Development Fund in Fiscal 2002.

Complete nine Community Arts Development Program projects in Fiscal 2002.

Provide a total of \$111.8 million in funding to cultural institutions for maintenance, security, energy and other general operating costs in Fiscal 2002.

Goal: Provide for the preservation and improvement of facilities housing cultural institutions and other cultural organizations.

Objective

Provide funding for a revised 61 capital projects including renovation, construction and expansion in Fiscal 2002.

Award eight pass-through contracts that allow cultural institutions to manage their own capital projects in Fiscal 2002.

Initiate six and complete three permanent Percent for Art Program projects in Fiscal 2002.

DEPARTMENT OF CULTURAL AFFAIRS

HIGHLIGHTS AND ACHIEVEMENTS

CULTURAL INSTITUTIONS GROUP

- The Department of Cultural Affairs' (DCLA) Cultural Institutions Unit is responsible for disbursing and monitoring the expenditure of City funds used for general operating support at the 34 cultural institutions in the Cultural Institutions Group (CIG) located on City property. The Unit also reviews the fiscal position of each institution and the services they provide.
 - During the first four months of Fiscal 2002 DCLA disbursed \$27.7 million for operating support and approximately \$8.6 million for energy costs to cultural institutions, compared to \$28 million and \$7.2 million respectively during the same period in Fiscal 2001.
- Several members of CIG celebrated milestones and events during the first four months of Fiscal 2002:
 - In late September 2001 the Staten Island Children's Museum held a dedication ceremony to mark the opening of its new "barn" expansion, which added a permanent interactive exhibition, two classrooms and an education office.
 - In October 2001 the Bronx County Historical Society celebrated the opening of its new 6,000 square-foot archives building, allowing public access to its 43 archival collections depicting the development of the Bronx.
 - In October 2001 the New York Hall of Science in Queens held a groundbreaking ceremony for its new 55,000 square-foot building, which will house interactive exhibitions.
 - In October 2001 Carnegie Hall held a memorial tribute to Isaac Stern, the Hall's former president.
 - In September 2001 the Brooklyn Academy of Music celebrated its 18th Next Wave Festival, featuring performers from Australia, Germany, Belgium and the United States.
- Following the September 11th attacks, in October 2001 the Arts and Business Council designed "Arts for Hope," a project that encouraged public participation in the arts; also, a group of public art professionals offered their services to the City to create memorials in honor of World Trade Center victims.

CAPITAL PROJECTS

- The Capital Projects Unit supports capital improvement work for cultural facilities on both City-owned and non-City-owned property. For the projects it funds, the Unit develops programs, monitors project budgets, acts as the liaison with other City oversight agencies and, together with the Department of Design and Construction, Economic Development Corporation or Department of Housing Preservation and Development, oversees their design and construction.

DEPARTMENT OF CULTURAL AFFAIRS

- The Department’s capital program slowed due to its focus on the assessment of the September 11th disaster’s effects on Lower Manhattan’s cultural organizations and individual artists. The effect on the City’s oversight and administrative agencies also delayed renovation and construction projects. By the end of October 2001 the following projects in Manhattan recommenced: the expansion of the Museum of Jewish Heritage, the pavilion renovation of the National Museum of the American Indian, the continued renovation of the New York City Police Museum, as well as construction projects at the Museum of Modern Art, the American Folk Art Museum and Jazz at Lincoln Center.
- During the first half of Fiscal 2002 the following projects were completed: reconstruction of the roof at INTAR, the Hispanic American Arts Center in Manhattan; replacement of the boiler at the Puerto Rican Traveling Theater in Manhattan; construction of a new building at the American Folk Art Museum in Manhattan; construction of the sculpture garden at the Studio Museum in Manhattan; renovation of the Asia Society in Manhattan; upgrade of an entrance at the Brooklyn Museum of Art; and enlargement of the Animal Hospital at the Staten Island Zoo.
- The Department expects the completion of the following capital projects in the second half of Fiscal 2002: exterior restoration at the New York Botanical Garden in the Bronx; a laboratory addition at the Wildlife Conservation Society in the Bronx; plaza improvements and a reflecting pool at Lincoln Center in Manhattan; upgrades of infrastructure and visitor amenities, and construction of the Natural Sciences Building at the American Museum of Natural History in Manhattan; reconstruction of leaders and gutters at the administration building of the Brooklyn Botanic Garden; and floor joists replacement at one of the buildings of the Snug Harbor Cultural Center in Staten Island.
- In the first six months of Fiscal 2002 Carnegie Hall continued excavation work beneath the landmark Isaac Stern Auditorium. This third stage facility will be a dynamic and flexible performance space equipped with state-of-the-art technology and will expand Carnegie Hall’s programs and outreach capabilities. Carnegie Hall will open this facility by a revised date of September 2003.
- In November 2001 the Department completed its Master Plan for a \$4.5 million renovation of El Museo del Barrio, a museum of Latin American art and culture. Additional funding allowed the scope of the project to include entry enhancements, elevator renovation and new restrooms. Construction is expected to start in October 2002 with a completion date of June 2003.
- In Fall 2001 the Department completed final design documents and conducted a pre-award review of the contractors’ and subcontractors’ qualifications for the restoration and upgrade of the Louis Armstrong House in Queens. Construction will begin by a revised date of April 2002.

PROGRAM SERVICES

- The Program Services unit administers funding for over 600 arts and cultural organizations throughout the City by negotiating grant agreements, processing funds, overseeing grant compliance and providing technical assistance to these organizations. The fundamental requirement for organizations applying for a public service award is a demonstrable service offered to New York City through cultural activities of recognized quality. The key objectives of Program Services in supporting cultural activities include public access, art-in-education, services to the field, artistic creation and dialogue, preservation and stability, and audience development.
- Following the September 11th attacks, DCLA and the New York State Council on the Arts worked with the cultural constituency to assess the effect of the World Trade Center disaster on 232 cultural organizations located nearest the site and elsewhere in the City, promote special cultural events to assist in the relief effort and encourage the public to patronize the City’s cultural institutions.

DEPARTMENT OF CULTURAL AFFAIRS

- During Fall 2001 the Alliance for the Arts dedicated a portion of its Web site to “Arts Rebuild New York” to provide information about free events offered by cultural organizations for victims’ families, rescue workers and the general public.
- During Fall 2001 numerous cultural groups, including The Joyce Theater, organized benefit performances and collected donations for the Twin Towers Fund and local police stations and firehouses.
- During Fiscal 2002 the Department expects to award \$18.5 million in Public Service grants to 520 organizations, compared to 517 grants totaling \$18.5 million in Fiscal 2001. During the reporting period organizations received grants for a wide range of activities, including the world premier of a Spanish play performed by the Thalia Spanish Theater in Queens; a two-day salute at Lincoln Center entitled, “He Walked With Giants” to jazz great Jimmy Heath on his 75th birthday; the relocation of the Arts at St. Ann’s Museum in Brooklyn; and the presentation of the chamber opera, “The Floating Box,” a collaboration of the Asia Society, the Museum of the Chinese in the Americas and Music from China in Manhattan.
- During Fiscal 2002 the Department expects to award 130 competitive Program Development Fund grants totaling \$800,000, compared to 150 grants totaling \$1 million in Fiscal 2001. This fund is a competitive awards program that uses a peer panel to review proposals and make recommendations for funding. The Department expects to announce its Fiscal 2002 awards in May 2002.
- The Department continues to administer the Cultural Challenge Program, which awards individual grants of \$5,000 to \$100,000 to support a broad range of cultural activity in all five boroughs. Awards leverage from one to three dollars in private contributions for each City dollar, depending on the size of the City award. There are three categories for awards: Art in Natural Settings, Careers in the Arts, and Creation of New Work. Of the 369 groups that applied in Fiscal 2002, 156 were awarded funds, compared to 192 out of 304 groups in Fiscal 2001.

EDUCATION SERVICES

- By the end of Fiscal 2002, no less than 25 New York City public schools will have been awarded a total of approximately \$300,000 by DCLA in the Parents as Arts Partners grant as part of the New York City Partnerships for Arts in Education (NYCPAE) program (Annenberg Arts in Education grants). The Parents as Arts Partners program combines parent participation with teachers and students in the arts education process.

COMMUNITY ARTS DEVELOPMENT PROGRAM

- The Community Arts Development Program (CADP) awards federally funded Community Development Block Grants to arts organizations serving residents of low- and moderate-income areas to improve their facilities and purchase equipment.
 - In the first half of Fiscal 2002, eight CADP projects were completed, bringing the total number of completed projects to 27 out of 33. Projects include installing a computer art laboratory to assist Staten Island individuals with disabilities and a large environmental sculpture that illustrates the Northeast region’s ecology; the sculpture was produced by Cityarts in Brooklyn. The remaining six projects will be completed by March 2002.
 - During the first six months of Fiscal 2002 Arts in Nature, a CADP project in collaboration with Green Thumb, a Department of Parks and Recreation division dedicated to developing community gardens, brought free workshops and performances to more than 10 community gardens in low-income neighborhoods.

DEPARTMENT OF CULTURAL AFFAIRS

PERCENT FOR ART

- The Percent for Art Program (PAP) oversees the implementation of the City's Percent for Art law which, subject to certain limitations, requires City agencies to dedicate 1 percent of their capital budget allocation for construction projects to artwork. PAP administers the commissioning, creation and installation of the artwork.
 - In the first half of Fiscal 2002 Percent for Art completed one project at Engine Company 75 in the Bronx: a wall drawing and glass sculpture of a fire engine.

MATERIALS FOR THE ARTS

- Materials for the Arts (MFTA) is a program that supports the arts through the distribution of reusable goods and materials. While promoting reuse and waste reduction, MFTA offers recipient organizations access to supplies that support their programming. Products such as office equipment, computers, paper, fabric and paint are collected daily from business and private donors and given away free to registered nonprofit arts groups, public schools, and social, health and community service organizations with arts programs.
 - The Materials for the Arts program supplied laptop computers, cell phones and computer supplies to the Lower Manhattan Cultural Council whose offices were destroyed during the World Trade Center disaster.
 - In the first four months of Fiscal 2002 MFTA received 550 donations, valued at \$1.2 million and weighing 186 tons. In the first four months of Fiscal 2001 MFTA received 511 donations, valued at \$1.1 million and weighing 114 tons.

TECHNOLOGY

- The Department's Web page continued to grow in popularity, as demonstrated by 86,744 page views in the first four months of Fiscal 2002, an increase of 135 percent over the 36,965 page views in the first four months of Fiscal 2001.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Department's expenditures were \$41.2 million, compared with its plan of \$42.5 million. The Department's Fiscal 2001 expenditures were \$135.5 million.
- The City's Financial Plan of February 2002 outlines \$9.7 million in reductions in Fiscal 2002 and \$19.1 million in Fiscal 2003. The Department has planned expenditures of \$126.8 million for Fiscal 2002 and \$111 million for Fiscal 2003.

DEPARTMENT OF HEALTH

The Department of Health promotes and protects the health and quality of life of City residents by enforcing compliance with the City Health Code and providing a broad range of public health programs and services to monitor, prevent and control disease.

GOALS AND OBJECTIVES

Goal: Monitor, prevent, control and treat communicable diseases.

Objective
Ensure that 70% of suspected or confirmed DOH-treated tuberculosis patients citywide receive Directly Observed Therapy in Fiscal 2002.
Ensure that 75% of high-risk (infectious/pulmonary) tuberculosis patients citywide receive Directly Observed Therapy in Fiscal 2002.
Ensure that 90% of DOH-treated drug-sensitive tuberculosis patients complete treatment in Fiscal 2002.
Ensure that 80% of DOH-treated drug-resistant tuberculosis patients complete treatment in Fiscal 2002.
Provide treatment for 40,100 sexually transmitted disease cases in Fiscal 2002.
Begin seasonal West Nile virus surveillance activities at targeted hospitals in June 2002.
Implement an agencywide West Nile virus surveillance database in preparation for the 2002 season.

Goal: Improve the health and safety of women, infants and children.

Objective
Ensure that a minimum of 95% of all two-year-olds seen at Child Health Clinics are immunized appropriately in Fiscal 2002.
Encourage greater reliance on primary health care providers to perform new admission exams for newly enrolled school children, thereby reducing the number of new admissions exams performed at School Health clinics to 1,200 in Fiscal 2002.
Conduct 26,364 health and safety inspections at child-care sites in Fiscal 2002.
Ensure that physician-reporting to the Citywide Immunization Registry reaches 90% in Fiscal 2002.
Educate and train 250 medical providers, nurses, social workers and other ancillary staff in reducing childhood asthma in Fiscal 2002.
Educate and train at least 5,000 people, including parents, children and staff at various schools and community-based organizations, on reducing asthma in Fiscal 2002.

Goal: Improve public health and safety by investigating and reducing environmental health hazards.

Objective
Within seven business days successfully conduct initial inspections at the primary addresses of 90% of the new cases of childhood lead poisoning (blood levels $\geq 20\mu\text{g}/\text{dL}$ or two blood levels $15\text{-}19\mu\text{g}/\text{dL}$ at least three months apart) identified in Fiscal 2002.
Respond to a revised 95% of complaints about unsafe work practices on potential lead-based paint hazards within two days in Fiscal 2002.
Inspect 7,000 apartments for window guard compliance in Fiscal 2002.
Perform 100% of initial inspections of all permitted food establishments to ensure compliance with health and sanitary codes in Calendar 2002.
Perform 28,500 inspections of sites identified in the Enhanced Pest Control Program in Fiscal 2002.
Place larvicide in 100% of identified catch basins in City streets in Fiscal 2002.

DEPARTMENT OF HEALTH

Goal: Develop initiatives to improve the Department's operations and productivity through technology and program reengineering.

Objective

Maintain the average waiting time of no more than 15 minutes for customers who apply in person for birth certificate copies in Fiscal 2002.

Continue development of handheld computers for food establishment inspections during Fiscal 2002.

Implement key entry portion of the Electronic Death Registration System by the end of Calendar 2002.

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- In response to the events of September 11, 2001, the Department of Health (DOH) immediately activated its emergency response protocol. This included mobilization of the Department's essential staff at the Emergency Operations Center located at DOH's Bureau of Laboratories where pre-established emergency committees were activated. Committees included surveillance, clinical, environmental, sheltering, laboratory, management information systems and operations.
- The initial efforts included an assessment of health care resources for the management of victims and rescue workers; environmental hazards including the potential release of biological, chemical, or radioactive materials; and mortality and morbidity resulting from the attack.
 - Due to the proximity of the disaster site to the Department's main headquarters, an emergency clinic was established for triage and treatment of injured persons.
 - The Department prioritized three surveillance activities to determine disaster-related injuries: ongoing assessment of hospital staffing and equipment needs, including cumulative numbers of incident-related emergency room (ER) visits and hospital admissions (in conjunction with the Greater New York Hospital Association); epidemiologic assessment of the types of injuries seen during the first 48 hours after the attack at one hospital and four ERs closest to the disaster site where the largest number of incident-related cases presented; and prospective surveillance of illnesses and injuries among rescue workers evaluated at the four hospitals and Disaster Medical Assistance Team triage units located at the disaster site.
 - Rapid assessment conducted within the first 24 hours after the attack indicated that most ER visits were for minor injuries. Approximately 10 to 15 percent of ER patients were admitted and few deaths occurred. Hospital bed and staff capacity were adequate for the number of injuries resulting from the September 11th disaster.
 - In conjunction with the Department of Mental Health, Mental Retardation, and Alcoholism Services (DMH), DOH facilitated access to services to address mental health issues that were an outcome of the September 11th disaster.
 - Working with the American Red Cross, from September 11 through September 23, 2001, the Department's School Health program provided nursing services and physician consultation to 13 Red Cross shelters serving displaced community residents and rescue workers. The Department's nurses provided nursing assessment, first-aid services and medical referrals when needed.
 - In order to promote worker safety, the Department provided medical and ancillary personnel at the World Trade Center site to perform fit testing and to issue respirators to workers.

DEPARTMENT OF HEALTH

- The September 11th disaster generated a number of environmental health concerns that were systematically assessed and addressed by the Department.
 - The Department immediately mobilized a radiological assessment in and around the disaster site. The assessment included an equipment survey, and collection and analysis of bulk debris samples. DOH assessed the cargo, structure of the aircraft and tenant offices for possible radiological sources. The Department continues to perform site surveys to ensure that debris removal does not result in radiological contamination. As of February 2002 no positive results were found.
 - From September 13 through October 1, 2001, the Department deployed public health sanitarians to conduct a minimum of 99 daily inspections of 33 unlicensed feeding stations in and around the site. Actions included station closings, mandated food destruction and outreach education. Additional inspections were conducted to ensure sanitary conditions in reopened restaurants in the community adjacent to the World Trade Center site and the restricted zone. Between September 21 and December 21, 2001, DOH and the Department of Sanitation (DOS) cleaned 73 percent of the 350 closed restaurants within the restricted zone. These restaurants contained significant quantities of spoiled food due to immediate evacuation after the attack. The remaining restaurants were in buildings not accessible or handled by the building management of the operators.
 - Shortly after the event, the Department began a comprehensive inspection and extermination initiative in Lower Manhattan south of Canal Street to detect and eliminate rodent infestations from the area. During the initial phase, from September 18 to September 24, 2001, DOH inspected 469 properties and performed over 388 exterminations. During the second phase, from October 29 to November 9, 2001, DOH focused its efforts on the immediate vicinity surrounding the disaster site and inspected a total of 180 restaurants. In addition, between October 10, 2001 and January 14, 2002 the Department conducted 982 exterminations in and around the disaster site. DOH also performed 535 inspections in and around the Financial District between October 24 and November 16, 2001 and continues to monitor the situation closely to ensure that rodent populations remain in check and pose no threat to the public health of workers and area residents.
 - Since the attack, environmental monitoring has been conducted on a continuing basis by a large number of public and private entities. The Department convened an interagency Environmental Sampling and Assessment Workgroup to coordinate the environmental monitoring effort by federal, State and City agencies, as well as other organizations conducting environmental monitoring.
 - To contain dust and debris to within the World Trade Center site, a Health Commissioner's Order was issued on October 19, 2001 requiring all persons leaving the disaster site to follow strict personal hygiene protocols. The order also requires all vehicles leaving the disaster site to be spray washed and cargo beds be enclosed with tarps.
- In October 2001 the Department began a community needs assessment of Lower Manhattan residents in conjunction with the federal Centers for Disease Control and Prevention (CDC). The first phase of this survey includes interviewing residents in the immediate vicinity of the disaster. Results, released in January 2002, indicated that approximately 50 percent of those surveyed continue to experience physical symptoms such as nose, throat and eye irritations. In addition, almost 40 percent of those interviewed reported symptoms suggestive of post-traumatic stress disorder.

DEPARTMENT OF HEALTH

- The second phase will begin in Spring 2002 and include residents in select communities beyond the immediate vicinity of the disaster, such as Upper Manhattan and other City boroughs. Findings from the survey, expected to be released in late Calendar 2002, will provide data on the physical and mental health needs of community residents, the extent of the disaster impact and the need for additional information on issues and concerns related to the attack.
- In October 2001 DOH developed fact sheets on public health issues, including recommendations for reoccupying commercial and residential buildings, as well as information on health, air quality, and other worker advisories for rescue personnel. These fact sheets, available on NYC.GOV, the City's official Web site, have subsequently been updated.
- The Department performed over 700 inspections of family day care and group day care sites below 14th Street in the first two weeks immediately following the September 11th disaster to ensure the adequacy and safety of child-care facilities.
- Within six hours of the attack the Department relocated its death registration operation to its Central Harlem Health Center. By 4:00 PM on September 11th, the Burial Desk was operational and able to issue burial permits and certified death certificates for all New York City deaths, including deaths directly related to the disaster.
 - In conjunction with the Law Department and the Office of Chief Medical Examiner (OCME), DOH developed and implemented procedures for issuing a death certificate in the absence of a body and provided expedited death certificate services to families. Through December 31, 2001 the Department mailed more than 2,100 certified death certificates to the next-of-kin of disaster victims within 24 hours of receipt from OCME.
- City residents who were left unemployed and without health insurance in the wake of the September 11th disaster were provided with six-month disaster relief Medicaid under the Human Resources Administration (HRA). DOH-facilitated enrollers participated in the Disaster Relief Medicaid enrollment project. Approximately 11,645 Disaster Relief Medicaid applications were processed through January 31, 2002.

BIOTERRORISM RESPONSE/PREPAREDNESS

- The Department of Health plays an essential role in orchestrating resources, mounting a response and communicating with the public and medical community in the event of a public health emergency. Immediately following September 11th, the Department worked with State, federal and other local agencies to ensure the terrorist attacks were not also chemical or biological in nature. Surveillance activities and laboratory tests found no additional exposures. However, there was a high level of concern about possible bioterrorism attacks. Within 48 hours of the attack, the Department established active surveillance in emergency departments for certain disease manifestations that could possibly be related to biological agents. To assist the Department, federal CDC Epidemic Intelligence Service officers were stationed at 15 sentinel hospitals located throughout the five boroughs. In addition, the federal CDC assigned 80 staff members to the Department from September 11th through November 2001 to assist with detection and epidemiological investigations.
 - In October 2001 health care providers were alerted to the signs and symptoms of anthrax and other diseases related to bioterrorism, and were requested to notify the Department immediately of any suspected cases.
- On October 12, 2001, following an anthrax-related death in Florida, the Department announced that a person working for a major television station in New York City had contracted anthrax through the skin (cutaneous).

DEPARTMENT OF HEALTH

- Between October 12 and October 16, 2001 approximately 1,322 people were tested by the Department for anthrax exposure at the television station and interviewed for possible activities placing them at risk for exposure. The Department's medical personnel and DMH counselors were deployed to provide medical screening, prophylaxis and counseling to employees.
- The Department immediately issued press announcements, posted information on its Web site and expanded its 24-hour telephone line to include information about the nature of the case, the cause and symptoms of the disease. In October 2001, the Department received more than 66,600 hits to its home page on NYC.GOV by individuals seeking anthrax-related information and 11,442 telephone calls. Over 5,600 of the telephone calls were handled by a live operator.
- Working with the New York City Police Department, the Fire Department of the City of New York's HAZMAT team, the Mayor's Office of Emergency Management and other federal, State and local agencies, the Department worked on the epidemiological investigation of the case, mapping the location of environmental samples of anthrax to discern patterns in the distribution of the exposure.
- Between October 15 and October 24, 2001, five additional people were diagnosed in New York City with suspected or confirmed cutaneous anthrax, all visitors or employees of media companies. In each case, the Department worked in collaboration with the federal CDC and DMH to interview cases and coworkers, provided counseling and recommendations for prophylaxis use, and worked with the Fire and Police departments to conduct environmental sampling.
- In response to letters carrying anthrax that were found to have contaminated postal facilities in Manhattan on October 25th, the Postal Service and the federal CDC made available antibiotics to 7,000 postal workers. No cases among postal workers have been identified.
- During the initial handling of an anthrax sample on October 12, 2001, two DOH health workers were exposed and one of the rooms in the bioterrorism laboratory became contaminated. For approximately five days, testing of powders and other environmental specimens was referred to the SDOH and other laboratories until October 17, 2001 when the operation was moved to space designed for a higher level of containment for hazardous materials within the Department's Public Health Laboratories. Testing of environmental swabs was not interrupted and all nasal swabs continued to be processed in the Department's other laboratories.
 - In October 2001 the federal Department of Defense provided staff to assist with laboratory testing of numerous suspicious articles and to improve turn-around time.
- On October 29, 2001, the Department announced a case of inhalation anthrax in a woman neither directly associated with any media company nor with a postal organization. The inhalation anthrax case occurred in a 61 year-old woman who worked in the stockroom of a hospital in Manhattan.
 - The Department, in collaboration with the federal CDC, interviewed over 250 coworkers and close contacts in an effort to establish a source of exposure. As a precautionary measure, antibiotics were made available to approximately 1,100 individuals who worked or visited the worksite.
 - Because the case of inhaled anthrax was not connected to a media or postal organization, investigators were concerned about other routes of exposure. In October 2001 the Department assisted with environmental sampling surveillance of the City's subway system to determine whether anthrax had been introduced into the City's mass transit services. Laboratory findings were negative for a release of anthrax.

DEPARTMENT OF HEALTH

- In the first four months of Fiscal 2002 the Department developed an enhanced electronic bioterrorism surveillance system. An existing system was limited to 911 dispatch data. The new system, which was completed in December 2001, includes daily emergency department data from 28 public and private hospitals, and will include other electronic data that may serve as an early detection system.
- After the first anthrax attacks, the Department organized several presentations addressing anthrax and bioterrorism to both medical providers and to the general public. From October 12 through November 30, 2001, the Department made over 35 presentations to over 1,200 individuals in social service organizations, civic groups, elected officials, schools, the medical community, as well as private companies. The Department will continue to make anthrax/bioterrorism presentations in response to requests from the community.
- In addition to responding to the World Trade Center disaster, in November 2001 DOH responded to the American Airlines Flight 587 crash to ensure the safety of nearby residents by monitoring air quality, radiation levels and drinking water. The Department selected the type and level of personal protective equipment worn by other City agencies' personnel at the site. DOH maintained a daily presence at the site until the remediation and debris removal process was completed.

DEPARTMENT OF PUBLIC HEALTH REORGANIZATION

- The Charter Revision Commission's recommendation to unite DOH and DMH into a new Department of Public Health was adopted by the voters on Election Day 2001. The goal of the merger is to better address the City's complex public health problems with integrated, comprehensive solutions as well as to improve the coordination of public health and mental hygiene services. In addition, the Charter calls for the expansion of the Board of Health from five to 11 members retaining the existing ratio of medical to nonmedical personnel. Additionally, the members will serve staggered six-year terms.
 - In December 2001 the Mayor's Office of Operations and the Law Department established work groups to facilitate resolving technical issues relating to the merger. In addition, in December 2001 DOH and DMH established internal work groups and began reviewing opportunities for program integration.

COMMUNICABLE DISEASE PREVENTION

- In the first quarter of Fiscal 2002 the Department continued to implement its comprehensive insect-borne disease surveillance and control plan to address the West Nile virus. The plan consists of three primary activities: mosquito breeding prevention and control; surveillance for human, dead bird and mosquito infection; and outreach to the public and health care professionals. In May 2001 the Department released the 2001 Comprehensive Arthropod Surveillance and Control Plan.
 - With the assistance of the Department of Environmental Protection, DOS, the New York City Housing Authority (NYCHA) and the Department of Parks and Recreation, the Department treated approximately 150,000 street and park catch basins an average of 3.5 times from May through August 2001 using federal Environmental Protection Agency and State Department of Environmental Conservation-approved larvicides, to prevent mosquito breeding.

DEPARTMENT OF HEALTH

- In Calendar 2001 the Department completed investigations on 367 cases of City residents with viral encephalitis or meningitis, down from 530 cases in Calendar 2000. Seven City residents hospitalized for viral encephalitis or meningitis tested positive for West Nile virus compared to 14 in Calendar 2000: two from Staten Island, two from Queens, two from Brooklyn, and one from Manhattan who may have been exposed in either Manhattan or Suffolk County. Beginning in June 2001 the Department again implemented hospital-based enhanced surveillance for West Nile viral encephalitis in individuals of all ages and viral meningitis, especially in adults. Suspected cases of West Nile virus were tested at the Department's Public Health Laboratories, which tested over 800 specimens in Calendar 2001.
- From May through October 2001, the Department conducted weekly mosquito trapping and testing with over 190 mosquito traps at more than 90 locations throughout the five boroughs. Mosquito testing, formerly conducted at the State laboratories, was moved to the Department's Public Health Laboratories in July 2001 to enable earlier detection and control activities. The Public Health Laboratories tested 4,597 mosquito pools between July and November 2001, with 208 pools testing positive for the virus.
- During the first four months of Fiscal 2002 the Department continued its multimedia "Mosquito-Proof NYC" public education campaign, highlighting the need for New Yorkers to take personal protection measures against mosquitoes and eliminate mosquito breeding sites around their homes.
 - Between April and October 2001 the Department's Information Line received approximately 24,000 calls, compared to approximately 110,000 during the same period last year. The Information Line provides comprehensive West Nile Virus information, including updates on spraying schedules, in English and Spanish. From May to October 2001 the Department received 5,212 reports of dead birds and approximately 2,600 reports of standing water, including 390 reports of dead birds and 380 reports of standing water received from the public through NYC.GOV.
- In April 2001 the City reactivated the West Nile Virus Task Force, originally established in June 2000 and chaired by the Mayor's Office of Operations. The Task Force enhances coordination between the Department of Health and 22 other City and quasi-governmental agencies to respond to standing water complaints, remediate potential mosquito breeding grounds, and conduct other integrated prevention activities to minimize the threat of the virus.
 - Between May and October 2001, the Department received approximately 2,600 reports of standing water and issued over 400 letters to property owners and others requesting them to address standing water on their property. The Department responded to complaints and took direct action on approximately 800 priority sites and referred approximately 350 to other City agencies.
- During the first four months of Fiscal 2002 the Department continued activities supporting the Adult Immunization Initiative, a program designed to ensure that New Yorkers at high risk of developing medical complications from influenza received the flu shot as early as possible in the Winter 2001-2002 season. To alleviate a short-term shortage of the influenza vaccine from one manufacturer, in October and November 2001 the Department supplied the Health and Hospitals Corporation (HHC) with loans of the vaccine for its outpatient departments and skilled nursing facilities, and in November and December 2001 supplied the vaccine to some private practices. In addition, the program was expanded to include NYCHA sites as part of the outreach that had been previously conducted at senior centers. During the first four months of Fiscal 2002 the Department collaborated with NYCHA and a home health care service provider to vaccinate over 900 seniors against influenza; 262 seniors were also vaccinated for pneumonia. The Department continues to operate its automated hotline with access to live operators; there is also a facility locator on the Department's Web page on NYC.GOV, which provides up-to-date information on the influenza vaccine and locations where the public can receive a flu shot.

DEPARTMENT OF HEALTH

- During the first four months of Fiscal 2002 there was a substantial increase in the number of cases of infectious (primary and secondary) syphilis reported to the Department. Preliminary data indicates that for the first four months of Fiscal 2002, there were 91 cases of primary and secondary syphilis reported to the Department, compared to 33 newly reported cases during the corresponding four months of Fiscal 2001; this represents a 176 percent increase. Based on preliminary data for Calendar 2001, there were 278 cases of infectious syphilis reported to the Department, compared to 117 cases reported during the corresponding time period for Calendar 2000, representing a 138 percent increase. Preliminary analysis of the available data for the 278 infectious syphilis cases reported indicate that males have been disproportionately affected, especially men who have sex with other men (MSM). Approximately 93 percent of these cases were among men, with 61 percent of the 258 men affected reporting having sex with other men. Outbreaks of syphilis among MSM are also occurring in other major metropolitan areas nationwide.
- In response to the outbreak, the Department has included enhanced case-finding and surveillance in Calendar 2001 as well as primary prevention activities. In July 2001 the Department's Syphilis Elimination Workgroup convened a two-day working retreat to develop an Outbreak Response Plan to serve as the framework for the implementation of coordinated activities that would address the specialized characteristics of the current syphilis outbreak. Highlights of the plan include enhanced surveillance, strengthening community involvement and partnerships, rapid outbreak response, expanded clinical and laboratory services, and enhanced health promotion.
 - In July 2001 the Department disseminated the "Syphilis Is Back" education materials targeting the MSM community at lesbian/gay/bisexual/transgender events and social venues.
 - In October 2001 DOH began offering syphilis screening at two community-based organizations (CBOs) in Manhattan to increase accessibility of syphilis care and treatment. In January 2002 the Department began working with a third CBO in Brooklyn to plan for on-site syphilis screening, which will begin in March 2002. In addition, in Summer 2001 the Department expanded clinic hours at its Sexually Transmitted Disease (STD) clinics in Chelsea, Manhattan and Jamaica, Queens locations. A total of four STD clinics in Manhattan, Brooklyn, Queens and the Bronx are now open on Saturdays to provide free and confidential services.
 - During the reporting period the Department expanded its clinician outreach to include monthly course offerings on clinical management of syphilis and other STDs, mailings to over 40,000 City clinicians, and lectures to clinicians throughout the City. In December 2001 the Department conducted a Continuing Medical Education Activity, "Sexual Health Issues Among Men Who Have Sex With Men," for medical students at a local medical school.
 - In the first four months of Fiscal 2002 the Department began developing a Web-based, interactive, self-study training module for clinicians on the diagnosis, treatment and management of syphilis and expects to have the first of the modules available in April 2002.
 - During the first four months of Fiscal 2002 DOH staff members conducted 38 physician visits, which provide information to improve reporting physicians' awareness of the current epidemiology of infectious syphilis in the City and to educate providers on the latest clinical management guidelines for treating patients with primary or secondary syphilis.
- During the first four months of Fiscal 2002, the Department conducted 50 education workshops for 1,210 adolescents and young adults in special settings such as drug treatment facilities, youth programs, correctional facilities, CBOs and hospitals, compared to 155 workshops during the same period in Fiscal 2001. The decrease in workshops is due to reassignment of staff after September 11th and the anthrax incidents. The major objectives of these workshops are to promote safe sex practices and healthy decision-making skills as effective measures to reduce risky sexual practices that facilitate the spread of sexually transmitted diseases.

DEPARTMENT OF HEALTH

- In the first four months of Fiscal 2002, 1,086 people received one-on-one educational services, which included full screening, history and plan of action from the Department's three mobile Health Education and Life Program vans, compared to 1,167 people served during the same period in Fiscal 2001. The decrease in number of people served was attributed, in part, to the September 11th disaster, resulting in less people seeking services from the mobile vans.

ACCESS TO CARE

Medicaid Managed Care

- During the first four months of Fiscal 2002, the Department continued to work in collaboration with HRA and State Department of Health (SDOH) on mandatory Medicaid Managed Care Phase II and Phase III activity. In late September 2001 the City and State were authorized to begin implementation of Phase III of the mandatory Medicaid managed care program in the City by the Centers for Medicare and Medicaid Services. Phase III encompasses the South Bronx, Northwest Queens, and Northwest Brooklyn. An estimated 243,000 Medicaid recipients who are not exempt and not currently enrolled in managed care would be eligible for mandatory enrollment. Between November 5, 2001 and early January 2002, mailings about the mandatory program were sent to approximately 50,000 households in Phase III areas.

Insurance Initiatives

- In April 2000 HealthStat began to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, all City agencies and hundreds of community groups were mobilized to enroll eligible families and children in Child Health Plus and Medicaid. As a direct result of HealthStat activities, over 200,000 individuals have been enrolled in public health insurance programs.
 - As part of the HealthStat initiative, from July through October 2001, DOH distributed 292,548 brochures and pamphlets and has made 30,880 referrals through its school health, tuberculosis, sexually transmitted diseases and immunization programs, as well as NYCHA.
 - During the first four months of Fiscal 2002 the Department continued to develop its enrollment capacity. As of July 2001, 10 DOH clinics serve as facilitated enrollment sites. In Calendar 2001, the Department trained 26 facilitated enrollers who enrolled 11,042 eligible adults and children at DOH clinics, schools and housing developments. Beginning February 2002, DOH-facilitated enrollers are able to enroll eligible adults into Medicaid and Family Health Plus.
- In December 2001 the HealthPass program completed two years of enrollment. Working with a nonprofit business organization, the program, overseen by the Department, improves access to health insurance for employees of small businesses, which are comprised of two to 50 employees. A total of 5,658 individuals from 588 small businesses were actively enrolled in the program as of December 31, 2001; these employees have access to four leading health plans and 21 benefit options through HealthPass. More than half of the businesses enrolled in HealthPass did not offer health insurance to their employees previously.

DEPARTMENT OF HEALTH

CHILDHOOD ASTHMA INITIATIVE

- During the first four months of Fiscal 2002 the Department continued activities in the City's public and private hospital ERs to evaluate the quality of ER data as a source of asthma surveillance information in preparation for the amendment to the State Public Health law requiring mandatory reporting of ER visits. Expected to become effective in September 2003, the law will require every adult and child ER visit be reported to the Statewide Planning and Research Cooperative System database. The first year's data will be available for preliminary review in mid-Calendar 2004. At that time, reported ER data will be incorporated into the Department's asthma surveillance system to help DOH identify and monitor communities where asthma is poorly managed and/or where there is inadequate access to nonemergency medical care.
 - In the first four months of Fiscal 2002 the Department continued work on the ER study, launched in March 1999, to compare ER chart data and hospital billing data from the 11 HHC hospitals. The Department is completing follow-up data collection to ensure data accuracy. This data will be incorporated into the study findings by a revised date of April 2002.
 - In November 2000 the Department received \$200,000 from SDOH to replicate the HHC billing data assessment in a sample of emergency rooms in 14 private hospitals in the City. Data collection is expected to begin by a revised date of March 2002. The Department expects preliminary results of the study to be completed by August 2002.
- During the first four months of Fiscal 2002 the Department continued to analyze data collected in Fall 2000 as part of a pilot evaluation of school admissions forms from the Hunts Point section of the Bronx. DOH will determine if the form can provide adequate estimates of asthma prevalence among City kindergartners, and whether school-based surveys, administered to students in grades pre-K through 6 in Spring 2001, can accurately assess asthma prevalence in four other communities. Results of both surveys are expected by a revised date of June 2002.
- During the first four months of Fiscal 2002 the Department continued to work on the Hunts Point Childhood Health Promotion Initiative. Activities include asthma case management; asthma education and outreach activities; and working with schools, day care centers, community-based organizations and others.
 - In the first four months of Fiscal 2002, a total of nine new families were enrolled in case management services, which include home visits, home environmental assessments and abatement activities, and social service referrals, compared to 56 during the first four months of Fiscal 2001, for a total of 291 families served since the program's inception in 1997. This planned decrease in new families enrolled is due to saturation in the targeted area and a shift in the initiative's focus from individual case management to capacity building. As a result, in the first four months of Fiscal 2002 the DOH Hunts Point staff held 26 asthma education sessions with CBOs and schools, compared to six sessions during the first four months of Fiscal 2001. In Fiscal 2002 the Department expects to hold a revised total of 30 asthma education sessions in Hunts Point.

DEPARTMENT OF HEALTH

- In the first four months of Fiscal 2002 the Department continued to implement Asthma SMART (Symptom Management and Referral for Treatment), a two-year pilot program in East Harlem. In the first four months of Fiscal 2002, 23 sites participated in the program, including one hospital ER, five primary care sites, and 17 school nurses, an increase of 16 sites since the end of Fiscal 2001. Every site receives notification of a patient's prior visits to other sites, and is responsible for providing appropriate medical care to children and preparing an Asthma Action Plan. The plan guides a family in managing a child's asthma. In the first four months of Fiscal 2002, 103 families were identified through the notification system and of these, 78 families were enrolled in the case management program, for a total of 294 enrolled. During Fiscal 2002 the Department expects to provide case management services to 300 children. Asthma SMART tracks critical events in a child's asthma management, including observations of poorly controlled asthma that may result in a visit to a school nurse or to a hospital ER.
- During the first four months of Fiscal 2002, the Department's contracted case management and asthma education activities continued in high-risk neighborhoods in East Harlem, Manhattan; the North Shore, Staten Island; Bedford-Stuyvesant, Brooklyn; Jamaica, Queens; and the South Bronx. During the first four months of Fiscal 2002 these programs provided case management services to 130 families, compared to 90 families in the first four months of Fiscal 2001. The five CBOs under contract with DOH to conduct a variety of asthma activities held a total of 94 asthma education sessions, with 1,032 people in attendance.
- In the first four months of Fiscal 2002 the Department continued its media campaign activities to enhance public awareness of asthma in the City. A new campaign was launched in October 2001 to highlight the use of written self-management plans. The theme is "Every Asthma Action Hero Has an Asthma Action Plan" and features children as super-heroes along with a former Mets' pitcher. From October 2001 through March 2002, billboards highlight the "Asthma Action Heroes" campaign in English and Spanish. In addition, in October 2001 the Department's "Asthma Action Heroes" campaign was placed on large "premium square" posters on the subways and were displayed through January 2002.
- In the first four months of Fiscal 2002 the Department also conducted a variety of staff training and community education activities. In Fiscal 2002 the program will continue to work with CBOs, schools and day-care programs licensed under the Department.
 - During the first four months of Fiscal 2002 the Department held asthma education sessions in reducing childhood asthma at 20 CBOs, compared to 18 CBOs in the first four months of Fiscal 2001, reaching a total of 1,047 people, including staff and parents.
 - Training sessions in reducing childhood asthma were conducted for 62 physicians and ancillary health professionals at three sites; the same number of health professionals were trained in the first four months of Fiscal 2001.

COMMUNITY HEALTH COLLABORATIONS

- During the first four months of Fiscal 2002 the Department continued activities using a portion of the \$13 million in funding allocated by the City for tobacco control programs.
 - The Department continued to analyze data collected in Spring 2001 from over 20,000 ethnically and racially diverse students in grades 3 through 9, in 16 of the 32 school districts, regarding tobacco use behaviors, attitudes and knowledge about tobacco. Final results from the survey, expected in April 2002, will allow the Department to evaluate the effect of the school-based tobacco control funding.

DEPARTMENT OF HEALTH

- In conjunction with the Columbia University Mailman School of Public Health, in December 2001 the Department began recruiting participants for a study of lung cancer in Staten Island. The study will include a baseline survey of risk factors, the health promotion and risk reduction program and an analytical study of cancers of the respiratory tract. Work on the project began in Spring 2001 and the recruitment of study participants is expected to conclude in June 2003.

TUBERCULOSIS CONTROL

- In the first four months of Fiscal 2002 the Department recorded 399 new cases of tuberculosis in New York City, compared to a revised 409 new cases reported during the same period in Fiscal 2001.
 - There were six newly reported cases of multi-drug resistant TB (MDRTB) in New York City during the first four months of Fiscal 2002, compared to five newly reported cases during the first four months of Fiscal 2001. In October 2001 there were a total of 55 patients with MDRTB receiving treatment in the City, compared with a revised 53 MDRTB patients receiving treatment at the same time period in Fiscal 2001.
- The Department continues to renovate its chest clinics that provide care for individuals with TB or for those at high risk of developing TB. The renovations of the Corona Chest Center have been completed and the facility is being prepared for opening by a revised date of Spring 2002. In November 2001 temporary roofs were installed at the Bedford, Brownsville and Chelsea Chest centers, which are also undergoing renovation; clinic openings are expected by June 2002.

HIV/AIDS SERVICES

- From the beginning of the AIDS epidemic in 1981 through October 2001, 125,961 AIDS cases have been reported to DOH. During Calendar 2001 a preliminary total of 6,425 new adult AIDS cases were reported, compared to a revised 5,489 adult cases in Calendar 2000. During Calendar 2001, a preliminary number of 41 new pediatric AIDS cases were reported, compared to a revised number of 27 cases in Calendar 2000. The 6,466 number of total AIDS cases reported in Calendar 2001 is similar to the 6,402 total number of AIDS cases reported in Calendar 1999. The Department believes the number of adult and pediatric AIDS cases reported in Calendar 2000 may be artificially low, reflecting multiple factors related to the implementation of HIV reporting and the introduction of a new HIV surveillance system.
- The preliminary number of deaths from HIV/AIDS in Calendar 2001 is 1,756, compared to a revised number of 1,961 deaths in Calendar 2000.
- From March 2001 through February 2002, the Department received an increase of \$11.7 million in federal Title I Ryan White Comprehensive AIDS Resources Emergency (CARE) Act grants, resulting in the highest Ryan White funding level ever of \$119.26 million. The funds supported a wide range of medical care and support services for HIV-infected clients and their families in the City.
- Despite continuing declines in the number of newly reported AIDS cases, two federal CDC-funded studies conducted by the Department between Calendar 1997 and 2000 indicate continuing high rates of HIV infection in certain high-risk populations, including young African-American and Latino men who have sex with men and intravenous drug users entering treatment programs.
 - Included in the Ryan White CARE grant award for March 2001 through February 2002 is \$7.8 million funded through the Congressional Black Caucus Initiative. The funds are provided to CBOs to improve the quality of care and health outcomes of communities of color disproportionately affected by the HIV epidemic.

DEPARTMENT OF HEALTH

MATERNAL, INFANT AND REPRODUCTIVE HEALTH SERVICES

- The Women's Healthline received 4,662 calls during the first four months of Fiscal 2002, compared to 11,206 calls during the same period in Fiscal 2001. Phone lines were lost from September 11, 2001 through January 24, 2002. From November 2001 through January 24, 2002 the Healthline was accessible through 877-NYC-DOH7, the Department's general information line.
- During the first four months of Fiscal 2002 the Department served an average active caseload of 1,074 women and infants per month in five field sites in Manhattan, Brooklyn, Queens and the Bronx, compared with the revised monthly average of 1,136 clients for the same period in Fiscal 2001. The decline in the numbers of cases at the beginning of this fiscal year is attributable to the relocation of one of the field sites and the loss of the Women's Healthline advertised telephone number from September 11, 2001 through January 24, 2002, significantly decreasing a key source of referrals to the program. The field sites provide intensive nurse-directed case management services to moderate-, high- and very high-risk women and provide comprehensive services, including counseling, assessment, education and referrals to health and social services. A multidisciplinary staff including nurses, public health advisors, social workers and nutritionists offer the services.
- During the first four months of Fiscal 2002 the Department's Pregnancy Risk Assessment Monitoring System, a five-year project funded by the federal CDC, continued to collect data on maternal behavioral risk factors and will analyze their relationship to poor pregnancy outcomes and events occurring in early infancy. Since May 2001 the Department has selected monthly samples from birth certificate records. Women are sent three mailings of the survey and telephone follow-up is initiated if they do not respond to the mailed survey. The response rate of the survey has been lower than expected, at 43 percent in June 2001. In order to improve response rates, in July 2001 a participation incentive of a \$3 Metrocard or a 30-minute phone card was sent to all women with the first mailing of the survey. As a result of this modification, the response rate improved to 52 percent in July 2001. In an effort to further improve response, in August 2001 the project began to offer a lottery that will be drawn four times per year and will provide a \$500 award for the completion of the survey to one respondent.
- During the first four months of Fiscal 2002 the Department continued to implement its Infant Mortality Reduction Initiative, begun in Fiscal 2001. Targeted to the community districts of Brownsville, Bedford, Crown Heights, South Crown Heights, Bushwick and East Flatbush in Central Brooklyn, the initiative is focusing on partnership development and community involvement.
 - During July to October 2001 the Department held two community planning meetings with representatives of social service, faith-based and health related organizations. An open forum for consumers of the target communities was also held to identify priority health issues for women, children and families.
 - In June and July 2001 a revised total of 13 focus groups were conducted with Caribbean- and US-born African-American women to determine infant mortality awareness and health behaviors before and during pregnancy, and to provide information for the initiative's media campaign and community and provider education. In July 2001 a consulting firm was contracted for the media campaign and developed preliminary materials. In August 2001 these materials were pre-tested with consumers and will be finalized based on the comments and responses to the media images and messages in Spring 2002. The project is preparing a Request for Proposals to develop and implement the provider and community education.

DEPARTMENT OF HEALTH

PUBLIC HEALTH SERVICES FOR CHILDREN

- During the first four months of Fiscal 2002 the Early Intervention Program, which provides contracted services to developmentally delayed children under three years of age, received 6,564 referrals compared to a revised number of 5,746 during the same period in Fiscal 2001, an increase of 14 percent. The number of children with active service plans during the first four months of Fiscal 2002 was 13,148, compared to a revised number of 11,736 during the same period in Fiscal 2001.
- In the first four months of Fiscal 2002 the Department continued to develop the Child Health Initiative (CHI), an integrated approach to addressing issues facing children in high-risk communities. The initiative uses three community resource teams deployed in identified neighborhoods, as well as provider education and quality improvement efforts.
 - In November 2001 the last of the three CBOs became operational. There are now offices in Bedford-Stuyvesant, Brooklyn; Jamaica, Queens; and Bushwick, Brooklyn. Staff continue working through a variety of venues to engage community residents on CHI topic areas, such as lead poisoning, asthma, vaccine-preventable illness and injury prevention. In addition, final preparations of the three CHI outreach/education vans will be completed by a revised date of late Spring 2002.
 - From July through October 2001 an additional CBO, working in collaboration with the Department's CHI in the South Bronx, provided 213 individuals with referrals for social and health services and disseminated over 13,000 pieces of educational material. The CBO offers outreach from two mobile vehicles as well as street outreach at local retail stores.
 - In Calendar 2002 the initiative's provider education/quality improvement component will provide assessments and guidance to health care providers on ways to improve the quality of care provided to families. Since early Calendar 2001 the Department staff has been identifying clinical providers in the target neighborhoods to participate in this component. In Fall 2001 staff responsible for this component received the training needed to effectively implement this program.
- As of the end of October 2001, 97.5 percent of all public and private hospitals and clinics (198 sites out of 203 total sites) reported to the Citywide Immunization Registry (CIR), a central record keeping system that enables health care providers and public health officials to monitor the immunization status of New York City children. Of the 198 public and private hospitals and clinics reporting to CIR, 99 reported electronically and 99 through paper reports.
 - At the end of October 2001, 81 percent of private physician practices, representing 743 sites, reported to CIR, with 105 reporting electronically and 638 through paper reports.
 - At the end of October 2001 a cumulative total of 1.95 million children with 12.5 million immunizations were recorded in CIR, compared with 1.91 million children and 10.4 million immunizations recorded in CIR at the same period last year.
- In first four months of Fiscal 2002 the Department provided a daily health presence in 630 out of 658 public elementary schools and 167 out of 172 public intermediate schools, compared to 638 elementary schools and 167 intermediate schools during the first four months of Fiscal 2001. The decrease in daily health presence in the elementary schools is due to the nursing shortage and delays in hiring nursing staff since the September 11th disaster. These schools have adequate medical rooms and are not served by school-based clinics.
 - During the first four months of Fiscal 2002 the Department continued to work with the Board of Education to identify suitable space for health services in a revised 33 elementary and four intermediate schools/annexes.

DEPARTMENT OF HEALTH

LEAD POISONING PREVENTION

- In the first four months of Fiscal 2002, 297 new childhood lead poisoning cases were reported to the Department, compared to a revised 354 during the same period last year, continuing a nationwide decline. The decline is due to a combination of factors, including education and outreach regarding risk factors and preventive measures, lead control and abatement to reduce lead in housing stock and prompt medical intervention. In Calendar 2000 there were over 7,500 children under 18 years old newly identified with blood lead levels of 10 $\mu\text{g}/\text{dL}$ or higher; among these children, 817 had blood lead levels requiring DOH care coordination and environmental intervention.

HEALTH AND SAFETY INSPECTIONS

Pest Control

- In the first four months of Fiscal 2002 the Department's Enhanced Program, combined with the regular complaint-based program, conducted 19,338 inspections including complaint-compliance inspections, and 27,456 exterminations. In comparison, there were a revised 14,407 inspections and 15,751 exterminations during the first four months of Fiscal 2001. The Department attributes the increase in inspections and exterminations to productivity gains associated with its geographic approach to rodent control.
 - In the first four months of Fiscal 2002 the Department conducted 11,200 inspections as part of the Enhanced Pest Control Program, compared to 5,535 inspections in the same period last year. The enhanced program, which identifies strategic geographic areas with rodent problems and develops customized plans to address the problem, was launched in October 1999.
- The Department billed noncompliant property owners for 24,427 hours of cleanup work generated from all of its pest control activities in the first four months of Fiscal 2002, compared with 54,598 hours of cleanup work during the first four months of Fiscal 2001. The decrease in the number of hours of cleanup is due to the temporary reassigning of the cleanup staff to support the Department's West Nile Virus Prevention Program, the temporary reassignment of vehicles to aid in the September 11th disaster and the reassigning of staff to the cleanup of perishable items from food service establishments within the World Trade Center area.
- During the first four months of Fiscal 2002 the Department continued to engage in activities to support the Rodent Control Task Force. Established in June 2000, the Task Force is comprised of over 15 City agencies and quasi-agencies and is chaired by the Mayor's Office of Emergency Management, the Mayor's Office of Operations and the Department of Health. It coordinates Integrated Pest Management practices, including assessment, abatement and eradication activities. In Fiscal 2002 the Department is continuing to provide cleanup assistance to other City agencies through the Rodent Task Force as well as to inspect and clean up properties of noncompliant owners.
- During the first four months of Fiscal 2002 the Department received 5,993 rodent complaints, compared to 7,931 received during the same period last year. This reduction in complaints is attributable to the loss of the Department's Central Complaints phone line following the September 11th disaster and interactive complaint forms on NYC.GOV. The complaint phone line became operational on November 11, 2001 and forms became available online as of January 16, 2002.
- In the first four months of Fiscal 2002 the Department received 62 rodent bite reports, compared to 69 reported in the first four months of Fiscal 2001.

DEPARTMENT OF HEALTH

- During the first four months of Fiscal 2002 brochures and posters from the Department's Rodent Prevention public education and community outreach campaign, "You Feed Them, You Breed Them: Help NYC Send Rats Packing," continued to be distributed to community organizations citywide.
- In September 2001 the Department was awarded a \$250,000 competitive grant, renewable for up to three years, from the federal CDC to develop a pilot project to implement a comprehensive integrated pest management program in a 48-block area in Bushwick, Brooklyn. This pilot project is currently underway and when completed will serve as an urban and national model for effective rodent control.

Restaurant and Mobile Food Vending Inspections

- The Department's Office of Field Operations and Inspections diverted all available inspection staff in the response to the September 11th disaster to inspect emergency food preparation and service sites, conducted reopening inspections for food service establishments located below Canal Street, and worked along with other agencies to identify and abate public health hazards such as removing garbage below Canal Street, discarding adulterated foods from commercial establishments in the secured zone, and working to contain dust and debris within the World Trade Center site. On October 5, 2001 the majority of the staff resumed their normal duties. While the Office did not meet several of its four-month activities targets, the Office expects to meet its full fiscal year targets.
 - During the first four months of Fiscal 2002 the Department performed 4,458 initial food establishment inspections to ensure compliance with sanitary codes, compared to 6,677 inspections in the same period last year.
 - The Department's evening and weekend inspection unit, formed in October 1999 to ensure that establishments that open late receive an inspection, conducted 906 inspections in the first four months of Fiscal 2002 compared to 1,254 inspections during the same period in Fiscal 2001.
 - During the first four months of Fiscal 2002, 1,508 inspections of mobile food units were performed to ensure compliance with health regulations, compared with 3,311 inspections during the first four months of Fiscal 2001.
 - From January to December 31, 2001, 92.3 percent of the City's 20,234 permitted and/or regulated food service establishments were inspected. The focusing of efforts on downtown food service establishments after the September 11th disaster prevented the Department from achieving its goal of completing a full inspection of every permitted establishment in Calendar 2001.
- During the first four months of Fiscal 2002 the Department posted an average interval of 49.5 calendar days for the time between a failed initial cycle inspection and the completion of the requisite follow-up inspection. This compares with 62 days posted for the same period in Fiscal 2001.

VETERINARY PUBLIC HEALTH

- In the first four months of Fiscal 2002 the Department's contracted service provider, the Center for Animal Care and Control (CACC), continued to develop a spay/neuter program using vans to provide spaying and neutering services for animals released from the shelters. CACC directly operates two vans that spayed/neutered 527 animals during the reporting period. An additional 301 sterilization procedures were performed in shelter clinics and approximately 2,300 by contract providers.

DEPARTMENT OF HEALTH

- In the first four months of Fiscal 2002, 24 percent of animals were adopted directly from CACC shelters or returned to owners and rescue placements, compared to 22 percent of animals during Fiscal 2001.
 - CACC attributes the decrease in the number of animals handled by its facilities to the decrease in Field Operation's staff, resulting from a redeployment of staff to Lower Manhattan following the September 11th disaster. In addition, the loss of email and database systems following the September 11th disaster have resulted in the temporary closure of the Bronx and Queens receiving facilities. CACC has enhanced its field services in the Bronx and Queens to mitigate the closures and data entries are being done at the Brooklyn facility until full service is restored. The Bronx and Queens facilities are expected to resume operations in July 2002.
- The expansion and renovation of the Manhattan shelter has been delayed due to the failure of the design documents to reflect the necessary phasing of all mechanical systems. Site work is scheduled to resume by a revised date of July 2002. During Fiscal 2002 CACC is preparing a scope of work to upgrade the medical facilities at the Staten Island location and in February 2001 began operating it as a full-service shelter.

CUSTOMER SERVICE

- In June 2001 construction of space for the new Call Center was completed and the first phase of relocating AIDS Hotline and Women's Healthline staff into the new location began in June 2001. The second phase of relocating Central Complaints phone line staff took place as scheduled in Fall 2001.
- During the first four months of Fiscal 2002 the Department's "Provider Access Line" 1-866-NYC-DOH1, received approximately 1,500 calls from medical providers to serve as a single point of contact to the Department for health care providers in the City. Approximately 1,400 of these calls were anthrax-related. The establishment of a single telephone number provides opportunities to increase provider awareness about reportable diseases, conditions and events; improve reporting compliance; and enhance access to the Department.
- In the first four months of Fiscal 2002 the Department's Bureau of Medical and Professional Education and Training (MPET) provided continuing education training in current public health issues such as the ethical challenges of TB elimination, sexual health issues among MSM and identification of treatment of developmental delay in young children to 254 physicians and allied health professionals and 777 nurses, compared with 137 physicians and 895 nurses during the same period last year. MPET increases collaboration between DOH and the medical community through public health education and training activities. In addition, in the first four months of Fiscal 2002 the Department trained 2,942 food service industry workers at 90 food protection courses and 327 HIV/AIDS service providers, fewer than during the first four months of Fiscal 2001 because the Department's training space is in Lower Manhattan, adjacent to the restricted zone.
- In the first four months of Fiscal 2002 the Department published three "City Health Information" bulletins, covering school admission requirements, bioterrorism preparedness and anthrax. The bulletins provide timely public health information to the medical community and are sent to approximately 46,000 health care providers throughout the City.

DEPARTMENT OF HEALTH

TECHNOLOGY

Bioterrorism Surveillance

- In the first four months of Fiscal 2002 the Department began designing an enhanced electronic bioterrorism surveillance system. The former system was limited to the 911 dispatch data. The new system, which was completed in December 2001, also includes daily ER data from 28 public and private hospitals, and will include other electronic data that may serve as an early detection system.

West Nile Data System

- In the first four months of Fiscal 2002 the Department completed work on the first phase of a West Nile Virus Integrated Data Management System. The data system supports the efforts of the Department's programs responsible for the surveillance and control of the West Nile virus. The system facilitates the complex workflow of mosquito and bird surveillance, collection and testing, as well as efforts to eliminate standing water. The system's geographic information systems component uses the citywide NYCMAP, a geographic computer program assembled by the Department of Information Technology and Telecommunications, to automatically map each report of a dead bird or standing water. This enables the Department's rapid response program to dispatch teams to enhance larval control and respond more quickly to reports of dead birds and standing water in communities, reducing the potential risk to people.
 - The data system also enables the Department to respond quickly to information provided by the general public. Citizens report observations of standing water and dead birds to information line operators or through letters. The customer service component of the system generates work orders to City agencies and letters or e-mails of response to the public, allowing New Yorkers to know the status of their reports in a timely fashion. In addition, electronic reporting of laboratory tests and standing water work orders permit faster reporting, tracking, and response to public inquiries and concerns.
 - For the 2002 West Nile Virus season the database is being upgraded to manage the submission of reports through NYC.GOV, as well as help citizens locate their proximity to high-risk areas through interactive mapping capabilities.

Electronic Death Registration System

- In the first four months of Fiscal 2002 the Department continued to develop the Electronic Death Registration System (EDRS), a secure Extranet application, which when implemented will allow for interactive use by DOH, OCME, hospital physicians and funeral directors. In addition to meeting the Department's programmatic needs, the system must adhere to stringent federal requirements concerning confidentiality, accuracy and security.
 - The Department is planning to implement the system in phases. The first phase, consisting of replacing the current key-entry of death certificates by an intranet-based process, is expected to occur by the end of Calendar 2002.
 - The pilot of an Internet-based e-commerce application for funeral directors, begun in April 2001, was suspended in the aftermath of September 11th. The system eliminates the need for checks to be physically presented at DOH, so that a funeral director may file a death certificate and pay electronically for certified copies without going back to the office. The Department is planning to resume the pilot by the end of Calendar 2002.

DEPARTMENT OF HEALTH

Person Registry Information Management Environment (PRIME) Database

- During the first four months of Fiscal 2002 the Department continued its examination of the PRIME system, which will automate the collection, tracking and analysis of health events in New York City. The continued development of this system has been deferred pending the Department's assessment of the effect of the National Electronic Disease Surveillance System (NEDSS). The federal CDC is leading the creation of NEDSS, which is comprised of an Internet-based infrastructure and set of standards, to create an electronically linked and integrated national disease surveillance system. The Department's assessment is expected to be completed by a revised date of Summer 2002.

HEALTHTRAC (Health Tracking, Review, and Accountability)

- As part of the Citywide Accountability Program, HealthTrac is a system for using performance data to improve the day-to-day management of the Department. It is used to enhance senior level staff oversight of major programs in the Department.
 - HealthTrac indicators for the first four months of Fiscal 2002 are posted on NYC.GOV for four programs: Restaurant Inspections, Pest Control Services, Tuberculosis Control and Day Care.
 - The first HealthTrac meeting to review the progress of these programs was held in January 2002, bringing together the Commissioner and key Agency managers. During the first four months of Fiscal 2002, the Department continued development of an automated intranet-based system to increase accessibility of HealthTrac indicator information. The system is expected to be completed by the third quarter of Fiscal 2002.

Restaurant Inspection Handheld Computer Project

- During the first four months of Fiscal 2002 the Department continued to implement the handheld computer project for restaurant inspections. In October 2001, five additional public health sanitarians were trained and deployed with the units, bringing the total number of public health sanitarians to 15. The Department anticipates that by a revised date of second quarter Fiscal 2003, all public health sanitarians performing initial and compliance inspections in restaurants will be using handheld computers.

Web Site Enhancements

- The number of visits to the Department's home page on NYC.GOV increased from 1,129,821 during the first four months of Fiscal 2001 to 1,523,970 during the first four months of Fiscal 2002, a 35 percent increase.
- During the first four months of Fiscal 2002 the Department added the following new features to its home page on NYC.GOV:
 - In July 2001 the Environmental Impact Statement for the Department's Adult Mosquito Control Program was posted, along with the Notice of Completion and the Statement of Findings.
 - In March 2001 the Department launched an online birth certificate ordering system. The system was enhanced in late Calendar 2001 with an improved, more intuitive design.

DEPARTMENT OF HEALTH

- In September 2001 the Department began an Internet Web site expansion project to create a strategic blueprint for further expansion of its Internet site and to develop a set of recommended activities and policies to foster that development. Workgroups have been formed to improve the design of the Web site, to recommend ways of using it to promote health issues and "e-business," and to focus on the needs of site users, who include the general public, specific audiences (adolescents, seniors, researchers), and health providers and other organizations.
 - As part of this expansion, in January 2002 the Department began development of NYCMed, a Web portal on NYC.GOV for New York City medical providers. The portal, to be piloted in the third quarter of Fiscal 2002, will allow medical providers to search for and customize access to public health information and provide secure access to exchange information with the Department.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Department's expenditures were \$222.2 million, compared with its plan of \$329.6 million. The Department's Fiscal 2001 expenditures were \$918 million.
- The City's Financial Plan of February 2002 outlines expenditure savings of \$50.4 million in Fiscal 2002 primarily through reimbursement of costs associated with the World Trade Center disaster and \$57 million in Fiscal 2003 primarily through the termination of the Tobacco Control Program and agencywide savings. The Department has planned expenditures of \$953.6 million for Fiscal 2002 and \$1.5 billion for Fiscal 2003.

DEPARTMENT OF HEALTH

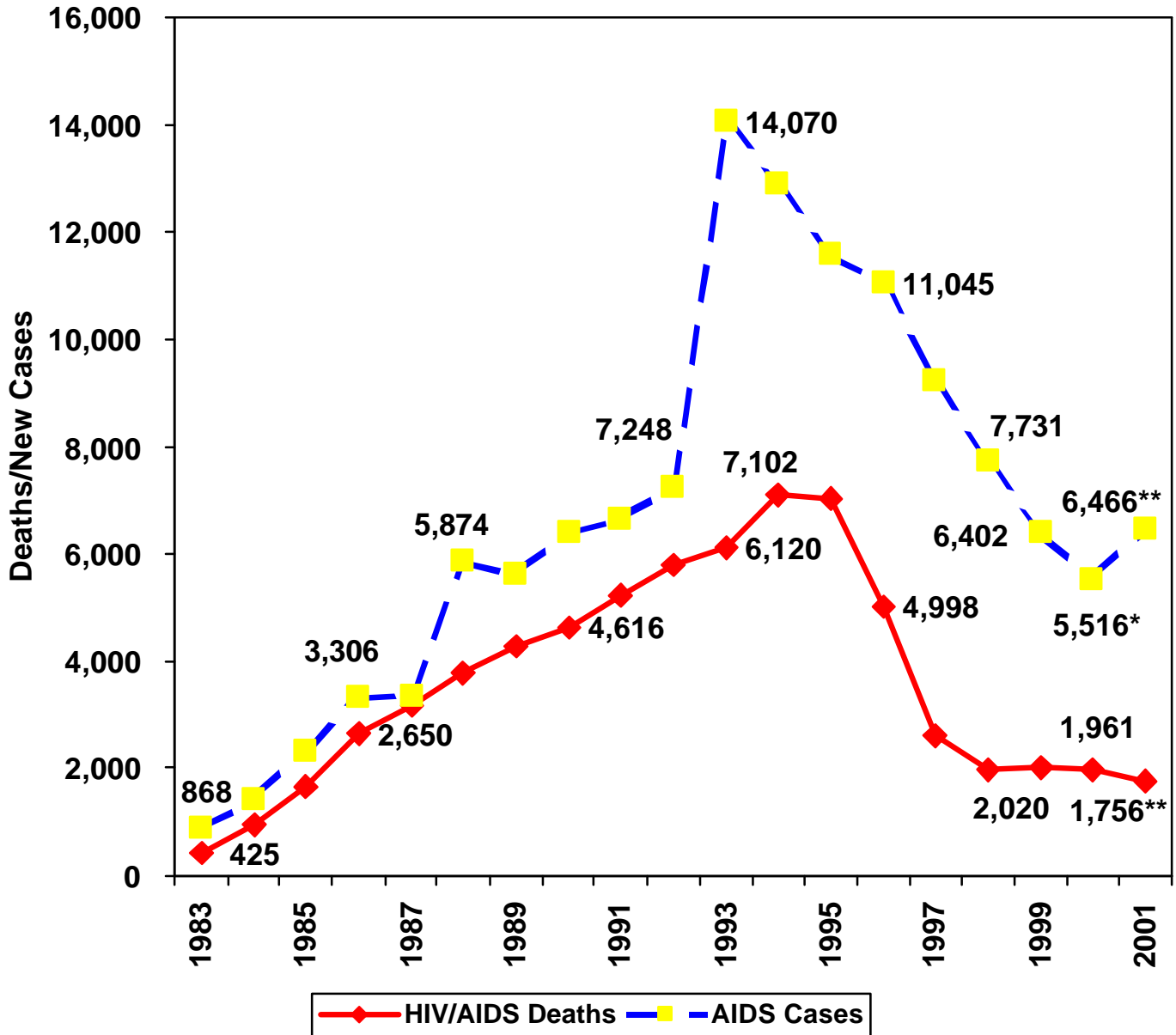
LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
TB Patients Completing Treatment (Drug Sensitive) – DOH Treated	96%	96.4%	91%	91.7%	90.5%	89.1%	95.4%
TB Patients Completing Treatment (Drug Resistant) – DOH Treated	79%	89.4%	87%	94.4%	86.6%	87.5% (a)	66.7% (b)
STD Cases Treated by DOH	35,740	37,307	38,224	43,140	41,928	14,447 (a)	15,026
School Children's Health Program – New Admission Exams Performed by DOH School Health Staff	20,049	14,909	14,470	5,119	2,818	1,081 (c)	541 (c)
Percent of New Lead Cases Identified with Initial Inspection of Primary Address Completed Within 7 Days	NI	NI	90%	91%	95%	93.8% (a)	86%
Window Guard Inspections Performed	8,109	5,296	7,092	9,747	7,805	3,377	2,563 (d)
Initial Food Establishment Inspections Performed	20,292	17,726	22,266	22,895	22,848	6,677	4,458 (e)

- (a) This figure has been revised to reflect the most current and accurate data.
- (b) The decrease in the percentage of drug resistant TB patients completing treatment represents two patients out of a total of seven who, despite extensive outreach efforts by the Department, did not complete treatment.
- (c) The decrease in new admission exams performed by DOH staff is consistent with the goal of the program, which is to refer children to primary care providers to receive ongoing direct health care.
- (d) The decrease in window guard inspections during the first four months of Fiscal 2002 is due to the redeployment of public health sanitarians from September 12 through October 5, 2001 to perform activities related to the Department's response to the September 11th disaster.
- (e) The decrease in the number of initial food establishment inspections is due to the reassignment of inspectors to response efforts related to the September 11th disaster.

Department of Health

Number of New AIDS Cases Reported and Deaths from HIV/AIDS Calendar 1983 - 2001



*The decline in AIDS Cases in Calendar Year 2000 reflects multiple factors related to the introduction of a new State Department of Health HIV Reporting system.

**Calendar Year 2001 data are preliminary.

Figures show citywide data by year of report.

OFFICE OF CHIEF MEDICAL EXAMINER

The Office of Chief Medical Examiner investigates fatalities of persons within New York City resulting from criminal violence; casualty or suicide; suddenly, when in apparent good health; when unattended by a physician; in custody; or in any suspicious or unusual manner. The Office also investigates when an application is made pursuant to law for a permit to cremate the body of a person.

GOALS AND OBJECTIVES

Goal: Provide timely and thorough investigations of violent, suspicious and unusual deaths that occur in New York City.

Objective

Release decedents for burial within an average of 17 hours in Fiscal 2002.

Complete 75% of autopsy reports within 90 days in Fiscal 2002.

Goal: Improve management and efficiency by developing new technologies, contracting for services and reducing overtime.

Objective

Limit medicolegal investigator overtime to a revised level of 20,000 hours in Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- The Office of Chief Medical Examiner (OCME) continues to provide assistance in the massive recovery operation following the September 11th disaster. OCME will utilize DNA technology as the primary tool for the identification of the remains of the estimated 2,840 victims. The recovery operation will continue until the site is fully excavated and the identification of remains will continue as long as necessary.
- During the September 11th disaster OCME was involved with the development of a death certificate issuance and tracking system. Created in conjunction with the federal Disaster Mortuary Operational Response Team and various technology consultants, this system was used to maintain scanned documents of the affidavits and court orders. Due to the decline in the volume of requests for death certificates, the wide area network portion of the program is no longer being used. The overall system has enabled OCME to scan all of the case material for the more than 14,000 cases received. Investigators can now view an entire case file without pulling the original file. For the long term OCME will use the equipment and software to manage the file room and the archival of main autopsy files.

AMERICAN AIRLINES FLIGHT 587

- The additional resources that became available following the September 11th disaster enabled OCME to promptly process remains from the airliner crash in Belle Harbor, Queens on November 12, 2001. The remains from all 265 victims of the crash were identified and released to the next of kin by December 13, 2001.

OFFICE OF CHIEF MEDICAL EXAMINER

INVESTIGATION AND AUTOPSIES

- In the first four months of Fiscal 2002 OCME released decedents for burial within an average of 18.8 hours, an increase of 1 percent from the average of 18.6 hours during the first four months of Fiscal 2001. During the first four months of Fiscal 2002 OCME completed death certificates within an average of 4.3 hours from the time that the autopsies were performed.
- During the reporting period OCME completed 68 percent of autopsy reports within 90 days, compared to 67 percent during the comparable period of Fiscal 2001. Implementation of Voice-to-Text technology for the production of autopsy reports has been delayed due to continued staff shortages in the computer unit and increased staffing needs following the September 11th disaster and the airliner crash in Belle Harbor, Queens. Despite the staff shortages the computer unit has completed upgrading all the network connections between the Manhattan office and the other borough offices. Improving the network structure was a critical first step to implementing new technologies.

FORENSIC DNA TESTING

- During the first four months of Fiscal 2002 the Forensic DNA Testing Laboratory performed 174,435 tests on the 1,048 cases received from the New York City Police Department (NYPD), a 65 percent increase from the 105,445 tests on 1,139 cases received during the first four months of Fiscal 2001. These figures do not include cases resulting from the September 11th disaster. The 1,048 cases received from NYPD also produced 6,537 DNA profiles, a 92 percent increase from the 3,408 profiles produced during the same period in Fiscal 2001. Since April 2000 the laboratory has uploaded 2,581 DNA profiles to the New York State Combined DNA Index System databank. This has produced 198 "hits," including six on the national level. A hit is a match between the DNA profile of a known offender or another case in the databank and a DNA profile of a suspect who is still unknown. As the database grows, the number of hits per month should increase as indicated by the October 2001 upload, which produced 33 of the 198 hits. The New York State databank has 64,197 convicted offender and casework profiles. Of these profiles, 3,460 resulted from DNA casework performed by DNA laboratories. Of the 3,460 profiles from casework, the OCME DNA laboratory is responsible for 2,581 or 75 percent of these profiles. This laboratory currently performs more DNA testing than any other public laboratory in the country, including the national FBI DNA laboratory.
- On October 31, 2001 the DNA Laboratory received an award by the FBI for being the laboratory that contributed the highest number of searchable DNA profiles in the National DNA Database.
- In cooperation with NYPD, the Office started construction of a High Sensitivity DNA Laboratory in August 2000. This project is scheduled for completion by the end of Calendar 2002. Once completed, this laboratory will expand the range of DNA testing performed from the current sexual assault and homicide cases to stolen vehicles, burglary and robbery cases.
- To accommodate the anticipated demand for additional DNA testing, OCME is building a new DNA facility that consolidates the two current and one planned DNA facility into one state-of-the-art, high-capacity DNA laboratory. The new laboratory will be located on the Bellevue Campus in Manhattan. Construction began in November 2001; completion is planned for Spring 2005.

OFFICE OF CHIEF MEDICAL EXAMINER

AGENCY OPERATIONS

- During Fiscal 2002 OCME is forecasting a revised usage of 20,000 Medicolegal Investigator (MLI) hours of overtime in support of investigative operations, which is above the 8,500 hours planned for Fiscal 2002. The sharp increase in MLI overtime is attributed to the staffing needs created by the September 11th disaster and the airliner crash in Belle Harbor, Queens. During the first four months of Fiscal 2002 MLIs used 7,591 hours in overtime, compared to 3,566 hours during the same period in Fiscal 2001. In response to the long-term need for new MLI positions, the Office hired 10 additional MLIs to assist in the identification and release of remains from the recent mass fatality incidents.
- Of the 20,000 hours of MLI overtime projected for Fiscal 2002, OCME expects to use 8,500 overtime hours primarily for the continued support of cases that begin at the end of the work shift, shift coverage in Queens, the DNA convicted felon program, and the design and implementation of the Department of Health (DOH) Electronic Death Registration System (EDRS).
- The design work for the new Medical Examiner Office at Kings County Hospital Center in Brooklyn is completed and construction will begin in Spring 2002. The Office will also start construction of a new combined Medical Examiner and County Mortuary Facility in Queens at Queens County Hospital in Spring 2002.

TECHNOLOGY

- The Office is working with a consultant who will conduct a requirements study of the Laboratory Information Management System (LIMS) needs of the agency. The study was delayed by the September 11th disaster and the airliner crash in Belle Harbor, Queens. Both incidents forced significant changes in work practices and introduced new systems that need to be incorporated into the LIMS research. The study will be completed by Spring 2002 and will result in a Request for Proposals (RFP) for the procurement of an agency LIMS system.
- In cooperation with DOH, the Office began work with a new vendor on the Electronic Death Registration System. EDRS, which must meet stringent requirements of confidentiality, accuracy and security, will be an Extranet application that will allow OCME, hospitals, physicians, funeral homes and DOH staff to register deaths electronically.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Office's expenditures were \$15.1 million, compared with its plan of \$15.2 million. The Office's Fiscal 2001 expenditures were \$29.8 million.
- The Office has planned expenditures of \$48.6 million for Fiscal 2002 and \$38.4 million for Fiscal 2003.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Average Time From Receipt of Body to Body Being Ready for Release (Hours)	16.1	17.6	18.2	19	17.7	18.6	18.8
Percent of Autopsy Reports Completed Within 90 Days	59%	63%	62%	72%	67%	67%	68%

HEALTH AND HOSPITALS CORPORATION

The New York City Health and Hospitals Corporation (HHC) provides comprehensive medical, mental health and substance abuse treatment services to New York City residents, regardless of their ability to pay. Through six regional health care networks, HHC operates 11 acute-care hospitals, four long-term care facilities, six comprehensive diagnostic and treatment centers, a certified home health agency, and over 100 community-based clinics. In addition, HHC operates a health maintenance organization through its subsidiary, MetroPlus. The Corporation also provides health and mental health services in the City's correctional facilities, homeless shelters and public schools, and forensic evaluations in family courts in Manhattan, the Bronx, Brooklyn and Queens.

GOALS AND OBJECTIVES

Goal: Develop a fully integrated health care delivery system to ensure that comprehensive services are provided through a continuum of care.

Objective
Achieve 1,900,000 primary care visits in Fiscal 2002.
Provide 973,800 emergency room visits in Fiscal 2002 and 975,000 visits in Fiscal 2003.
Achieve an average length of stay of 5.5 days for general care beds in Fiscal 2002.
Continue to implement the Community Health Partnership program to support the Corporation's restructuring efforts and to prepare the Corporation for the transition to mandatory Medicaid managed care in Fiscal 2002.
Continue to include eligible Human Resources Administration clients in the Corporation's chemical dependency programs in Fiscal 2002.

Goal: Enhance the customer-driven environment through continuous quality improvement.

Objective
Achieve full three-year accreditation for all facilities that will be surveyed by the Joint Commission on the Accreditation of Health Care Organizations in both Fiscal 2002 and Fiscal 2003.
Provide initial family planning appointments within seven days in Fiscal 2002.
Provide initial gynecology appointments within eight days in Fiscal 2002.
Provide initial mammography screening appointments within seven days in Fiscal 2002.
Achieve or better the percentage of women entering prenatal care during the first trimester of pregnancy to 60% in Fiscal 2002.
Achieve or better compliance rates for childhood immunization to 95% of two-year-olds, surpassing the federal Healthy People 2000 goal of 90% in Fiscal 2002.
Incorporate self-sufficiency and employment into outcome objectives for all patients in outpatient chemical dependency treatment programs in Fiscal 2002.

Goal: Create effective systems to support the Corporation's future clinical and administrative needs.

Objective
Continue to analyze workforce training needs through Fiscal 2002.
In order to support the transition to managed care, continue to install health care information system enhancements in all corporate facilities during Fiscal 2002.
Continue to install computerized radiology picture archiving and communication systems in Calendar 2001; complete installation by the end of Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

Immediate Response

- When disaster strikes, the New York City Health and Hospitals Corporation's (HHC) hospitals and health centers are on the front lines of public safety. Communities expect their local hospitals or health centers to be ready to respond to whatever level of casualties, injuries and needs for pharmaceuticals, equipment and public safety communication that may result. The terrorist attacks on September 11th, and events thereafter, have raised the requirements and expectations for HHC's readiness.
- On September 11th, all HHC facilities executed their external disaster plans. A major component of the external disaster plans is activating the Emergency Command Centers; this was done immediately after the first attack on the World Trade Center. The Command Centers were critical in implementing operationally effective response systems that ensured the integration of both public and private hospitals' efforts to assess ongoing resource needs and capacity. Another component of implementing the external disaster plans is to ensure the availability of appropriate staff resources and to create trauma services and inpatient capacity for the mass casualties that were expected. In order to accomplish this on September 11th, all HHC hospitals immediately cleared their emergency rooms, suspended outpatient clinic operations and discharged as many patients as possible.
 - Bellevue and Jacobi hospitals worked closely with the State Office of Mental Health (SOMH) to immediately transfer patients who had been awaiting discharge to State psychiatric centers. This created capacity for victims who might need psychiatric care, but also resulted in the immediate availability of mental health staff for psychiatric crisis counseling. This staff was deployed to comfort stations created by the facilities to assist victims, families of victims and rescue staff.
 - Several HHC facilities also deployed medical staff to Ground Zero to assist in the rescue efforts for the first two weeks after the disaster. In addition, HHC facilities dispatched pharmaceuticals, medical supplies and equipment to Ground Zero, Bellevue Hospital and voluntary hospitals.
- Within 24 hours of the attack, the Department of Mental Health, Mental Retardation, and Alcoholism Services (DMH) and SOMH requested assistance from the Corporation to provide trained mental health professionals to staff the Family Assistance Center, originally located at the Armory, and then relocated to Pier 94 and the Chambers Street site. HHC's staff provided crisis counseling and debriefing, seven days a week. The psychiatric staff assisted families with filing missing person's reports and applying for death certificates. HHC staff were also sent to Ground Zero between September 11th and September 25th to provide crisis counseling to those assisting in the rescue effort.
- Since September 11th, buses, mortuary vehicles and other HHC support vehicles have been loaned to various municipal agencies for activities related to the World Trade Center attack. HHC also assisted the City's Department of Health (DOH) in the relocation of its Command Center from 125 Worth Street to 455 First Avenue. HHC support vehicles were deployed to assist in various activities, including mortuary vehicles assigned to the Office of Chief Medical Examiner (OCME) to transport human remains; a passenger vehicle made available to transport nurses to Lower Manhattan to treat patients; and a shuttle bus assigned to transport doctors, nurses, social workers, and other staff from Bellevue Hospital Center to the World Trade Center site.

HEALTH AND HOSPITALS CORPORATION

- HHC facilities proactively responded to help mitigate the psychological trauma experienced by those who worked in the World Trade Center area, families of those missing, rescue personnel, facility staff and others throughout the City. HHC facilities conducted outreach, provided crisis counseling and debriefing services, and, if necessary, made referrals for intensive or ongoing mental health treatment. HHC facilities dispatched mental health professionals to groups or organizations that made specific requests such as schools, faith-based organizations and businesses; HHC also targeted outreach efforts to groups believed to be especially vulnerable to developing post-traumatic responses. Between September 11th and January 2002 HHC staff provided crisis counseling to approximately 9,050 people.
 - Between September 13th and December 2001 Bellevue Hospital's psychiatric staff visited every fire and police station in the hospital's catchment area in Manhattan. Bellevue Hospital's psychiatric staff also provided and continues to provide crisis counseling for staff at OCME. Bellevue also established a staff liaison to respond to requests from the Fire Department of the City of New York.
 - Between September 19th and October 2001 Jacobi Medical Center's Department of Psychiatry deployed staff on the facility's asthma vans, offering crisis counseling to asthma patients and others in need.
 - Since September 12th Woodhull Medical and Mental Health Center and Kings County Hospital Center (KCHC) sent their mental health mobile crises teams to 11 local senior citizen centers.
- HHC's surveillance status reports revealed that from September 11th through October 23rd, a total of 917 individuals were seen in HHC's emergency rooms with injuries or complaints related to the World Trade Center disaster. Of this total, 86 individuals were admitted, one was dead on arrival, one died after arrival and 340 uniformed services personnel were treated.

Ongoing Crisis Response Services

- HHC facilities continue to provide crisis response and treatment services to survivors, families, co-workers of victims and others seeking assistance who live near the facilities.
- The Corporation has received a number of specific requests from City and State agencies for ongoing support.
 - For a month following September 11th, Bellevue Hospital Center assigned psychiatric staff at Pier 94 on an ongoing basis, and also assigned psychiatric staff to work at OCME to provide individual and group therapy to staff.
 - In October 2001 Elmhurst Hospital was asked to work with the SOMH Queens Psychiatric Center to assist staff in responding to reactions from staff, children and their families to the September 11th attack. In November 2001 Elmhurst deployed clinical staff to the Fire Department Counseling Center at Fort Totten in Queens to assist in crisis counseling and debriefing services to firemen and their families from the metropolitan area.
- At the request of SOMH, in October 2001 HHC assumed responsibility for staffing the Disaster Assistance Center at 141 Worth Street. Staff from the Office of Behavioral Health and some HHC facilities provides crisis-counseling services, six days a week, 12 hours a day, to families and individuals who are seeking financial and other types of assistance from a variety of governmental and non-governmental agencies that staff the center. The types of services provided at the Center include individual counseling sessions, assistance in applying for disaster benefits, referrals to mental health treatment and follow-up to assure that clients have accessed the proper services. As of January 2002, more than 1,300 crisis counseling and debriefing sessions have been provided.

HEALTH AND HOSPITALS CORPORATION

Bioterrorism Preparation Plan

- In conjunction with the Mayor's Office of Emergency Management (OEM) HHC has enhanced its bioterrorism response capabilities over the last several years. Key elements of HHC's response capabilities include provider education, surveillance, rapid identification and detection of bioterrorism agents, rapid treatment, training and drills.
 - HHC's health care providers continue to be educated on the clinical symptoms and diagnostic clues related to diseases that might be caused by the release of biological and chemical agents.
 - Through surveillance in its emergency departments, HHC can identify any unusual increases or clustering of clinical symptoms of unusual diseases that might signal the intentional release of biological agents.
 - HHC has put in place mechanisms to rapidly identify the agent, notify DOH, OEM and other hospitals, as well as promptly initiate appropriate antibiotic therapy and antibiotic susceptibility testing.
- HHC was involved in the City's response to anthrax incidents in October 2001. As of December 2001, 642 individuals were examined by HHC's emergency departments for possible anthrax exposure. Of the total, two cases were deemed to have confirmed exposure. Appropriate notification was made to DOH, OEM and federal Centers For Disease Control (CDC) and both patients were treated and released.
- HHC ensures that each of its facilities is sufficiently and properly stocked with antibiotics, antitoxins, antidotes, ventilators, respirators and other supplies and equipment needed to prepare for a biological or chemical attack. If necessary, additional stock is available through external sources, such as the CDC, which will make available an additional supply of drugs and other supplies. HHC has worked closely with OEM to pre-package necessary antibiotics and to coordinate activities at each HHC facility in conjunction with the City's overall pharmaceutical distribution plan.
- In Calendar 2002 the Corporation will adopt the handbook published by the State Department of Health (SDOH) concerning biological and chemical terrorism as its guidelines. This handbook will be disseminated throughout HHC's facilities and include information on identifying and treating the diseases that are related to biological and chemical agents.
- As of December 2001, each facility and HHC's Central Office Division completed and updated its emergency management plans and related databases to compile a corporatwide emergency disaster plan.

HOSPITAL MANAGEMENT AND PROGRAM UTILIZATION

- During the first four months of Fiscal 2002, the Corporation saw a decrease in primary care visits to 631,423, compared with a revised number of 643,374 during the first four months of Fiscal 2001, and an increase in emergency room visits (including those resulting in admissions) from 324,391 to 325,027 during the same reporting period.
- In the first four months of Fiscal 2002, HHC's average length of stay for general care (excluding psychiatry and rehabilitation) increased to 5.4 days from 5.3 days in the same period in Fiscal 2001, general care occupancy rate increased to 86.2 percent from 84.9 percent during the same period and total hospital discharges increased from 70,916 to 71,400.

HEALTH AND HOSPITALS CORPORATION

- In an effort to control the rising costs of medical malpractice, during Fiscal 2002 the City will negotiate a Memorandum of Understanding (MOU) with the Corporation to transfer management and financial responsibilities for medical malpractice to HHC. The terms of the MOU are complex and are being discussed among HHC, Corporation Counsel and the City Comptroller's Office. HHC and the City intend to finalize the MOU by the end of Fiscal 2002.
 - The Corporation expects to fully implement the industry's "best practices" for control of medical malpractice risk and associated claims-related loss by the end of Fiscal 2002. This comprehensive approach includes contracting with an outside vendor for claims analysis and management, increasing in-house risk management staffing, developing incentive programs with performance indicators that incorporate bench-marking criteria, increasing provider accountability, and building corporatwide claims and computerized risk management databases that will be operational in July 2002. During the second quarter of Fiscal 2002 HHC began recruiting supplemental risk management staff for each network. In addition, a corporate risk manager was selected and began work in February 2002.
- In November 2001 a contract with an experienced claims management organization was approved by a subcommittee of the Board and the full Board approved the contract in December 2001. The selected vendor will be ready to begin services in March 2002. The vendor will undertake management of claims, early and complete identification of medical records and other documents, timely and thorough written analysis of each new claim, ongoing litigation support and individual case reserving. A Request for Proposals (RFP) to identify a vendor was released in June 2001.

SPECIAL CORPORATE INITIATIVES

HealthStat Initiative

- In April 2000 HealthStat began to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, all City agencies and hundreds of community groups were mobilized to enroll eligible families and children in Child Health Plus and Medicaid. As a direct result of HealthStat activities, over 200,000 individuals have been enrolled in public health insurance programs.
 - All of HHC's 11 acute-care facilities and six diagnostic and treatment centers are participating in the HealthStat initiative. During the reporting period, HHC staff and contracted HMO staff assisted uninsured individuals in completing 37,378 applications. Of these, on-site health plans completed 11,938 and HHC staff completed 25,440 applications.

Asthma Initiative

- During the first four months of Fiscal 2002 HHC continued its initiative to help patients manage asthma through a variety of education and disease management programs.
 - The rate of pediatric asthma emergency room (ER) revisits for July through September 2001 was 3 percent, compared to 4.1 percent for the same period in Calendar 2000. The rate of adult asthma ER revisits declined to 3.3 percent from 6.6 percent during the same time period.

HEALTH AND HOSPITALS CORPORATION

- HHC launched its Asthma Van fleet in August 2000. From its launch through September 2001, over 1,000 individuals used the services provided by the fleet; many of these individuals were referred to primary care providers for continued asthma management. The fleet consists of 12 customized vans that are staffed by health educators, nurses and respiratory therapists who provide asthma screenings, counseling, education and referrals to adults and children in high-risk communities. Each van is equipped with a telephone, a video system, asthma education material and a computerized workstation connected to an HHC hospital appointment scheduling system. The vans target schools, community churches, health fairs and other health-related community activities and public events.

The Community Health Partnership Program

- As of September 2001 the Corporation received approximately \$139 million of the \$174 million awarded to its 11 acute-care facilities as part of the combined second and third year of a five-year cycle, \$500 million SDOH grant to fund its Community Health Partnership (CHP) program. To date, HHC has received a total award of \$277 million as a result of the previous three funding years. The grant enables HHC to manage worker retraining, primary care expansion and managed care readiness activities to maximize operational efficiencies and improve the management of clinical care in the face of growing demand on safety net provider services and declining patient care reimbursement. During the first four months of Fiscal 2002 HHC continued many existing programs while implementing new CHP initiatives.
 - During the reporting period HHC continued to hold training sessions on customer relations, coding and billing, as well as various other clinical, administrative and computer-related training initiatives.
 - In Fiscal 2002 the South Manhattan Network opened its Workplace Learning Center, located at Bellevue Hospital Center. The Workplace Learning Center is a joint effort between a local union and the Network. All levels of employees in the Network presently participate in on-site classes, including Spanish for health care workers, use of software applications and skills for effective business writing.
 - Some examples of enhancing access to primary care services during the first four months of Fiscal 2002 include providing culturally and linguistically sensitive primary care services for Kosovar refugee immigrants at the Illyria Clinic located at Jacobi Medical Center in the Bronx. In addition, the South Manhattan Network began to implement "Open Access," an ambulatory care restructuring initiative that gives patients immediate access to their provider by matching the supply of providers with anticipated visit demand, thereby reducing scheduling backlogs and unnecessary visits. Open Access debuted in July 2001, at a select number of clinics at Bellevue Hospital and Gouverneur Diagnostic & Treatment Center. Training is ongoing and implementation of Open Access continues to be phased-in throughout the Network's outpatient programs.
- HHC anticipates receiving funds for CHP years four and five in Calendar 2002 and will use these funds to support existing CHP-funded programs, as well as to develop new initiatives that will promote quality and efficient care throughout the Corporation; offer retraining opportunities for the HHC workforce; and expand capacity to address the chronic health problems of facilities' diverse patient population.

HEALTH AND HOSPITALS CORPORATION

Community Access Program

- In September 2001 HHC and its community-based partners were granted approximately \$1 million in supplemental Community Access Program (CAP) funding from the federal Department of Health and Human Services/Health Resources and Services Administration (HRSA) to continue activities and expand the program to four additional community-based partners by August 2002. The grant supports innovative collaborations with community-based organizations to integrate health care delivery systems that serve the uninsured and underinsured. The goals of these HHC partnerships are to improve birth outcomes in target communities, increase access to health services, coordinate clinical and behavioral health services, and identify cultural and linguistic barriers that impede access to health care services.
 - In Fiscal 2002 HHC and its 13 community-based partners will continue program activities funded in Fiscal 2001, such as the Sister/Friend program in north Manhattan, the South Bronx, southeastern Queens, and north and central Brooklyn. The program is a family-based care management program that provides support services, clinical referrals and coordinating services to promote optimal birth outcomes. Since the inception of the program in September 2000, approximately 100 pregnant women have participated in the program. With supplemental funding, the Brooklyn Perinatal Network will develop a perinatal depression screening project to identify the prevalence of depression and anxiety in high-risk pregnant women and new mothers and make referrals, where appropriate, for behavioral health care services.
- During Fiscal 2001 HHC designed the framework for technology linkages between HHC facilities and community-based primary care and behavioral health CAP providers that will be implemented during Fiscal 2002. The linkages provide real-time sharing of patient demographic and financial background information, clinical consultation information resulting from primary care referrals and patient discharge information. These linkages will promote timely access for patients who traditionally cannot access a full range of clinical services on a nonemergency basis.

Primary and Ambulatory Care

- In September 2001 Jacobi Medical Center in the Bronx completed renovations of its new gastrointestinal endoscopy suite. The new space doubles the number of treatment rooms and provides a large area for patient recovery, dedicated space for patient changing, exams, consultations, and clean and soiled utility.
- In October 2001 Coney Island Hospital opened the Sheepshead Bay Primary Care Center in southern Brooklyn. The facility was previously operated by a voluntary hospital center. The Center plans to serve 20,000 patients on an annual basis. The hospital has begun to enroll both new patients at this site as well as patients previously seen in Coney Island Hospital outpatient clinics. The transfer of these patients will allow Coney Island Hospital to free up space as the hospital begins renovation in Spring 2002.
- In August 2001 a vendor began treating patients at Jacobi Medical Center's new state-of-the-art 25 station outpatient chronic renal dialysis center, located in the Jacobi's ambulatory care unit. Jacobi Medical Center, through a licensing agreement, authorized the vendor to invest more than \$1 million in renovations and outfitting for the new program.

Patient and Administrative Support Services

- During the reporting period, the Corporation continued to consolidate administrative, clinical and ancillary services throughout its six healthcare networks to achieve cost efficiencies and strengthen the integrated continuum of care.

HEALTH AND HOSPITALS CORPORATION

- In June 2001 the North Bronx Healthcare Network opened a centralized call center for all telephone appointment scheduling and triage needs during regular business hours at Jacobi and North Central Bronx hospitals. The initiative was completed in August 2001. In addition, the new telephone system will allow HHC to collect data and evaluate performance against indicators such as electronic tracking of call volumes, individual operator activities and response time.
- In October 2001 the Queens Hospital Center's outpatient central registration department was reorganized. Approximately 430 patients are processed daily in the new central staff registration department. Staff located in the outpatient central registration, financial counseling, Medicaid and HHC Plus offices were incorporated into one ambulatory care department. The reorganization improves integration of functions with other ambulatory care offices and improves insurance verification and enrollment processes. These refinements are critical to implementing mandatory Medicaid Managed Care in Queens, which began Phase Two in April 2001, and to the increasing importance of outpatient revenue for the financial support of the new Queens Hospital Center. In addition, a new central staff registration department was created at Elmhurst Hospital.
- During the first six months of Fiscal 2002, HHC received several awards for outstanding achievements in community health services.
 - In July 2001 HHC received a hospital auxiliary and volunteer program grant of \$25,000 from the United Hospital Fund. The grant will support the expansion of the Coler-Goldwater Hospital in-house radio station and the development and operation of a volunteer patient/resident-staffed on-site radio program. The purpose of the radio program is to provide a new medium to address the patient/resident educational, psychosocial, spiritual, recreational as well as entertainment needs at this rehabilitation and long-term care facility.
 - In December 2001 Bellevue Hospital Center in Manhattan received an award of \$75,000 from the United Hospital Fund to support the facility's implementation of Open Access. The award will be used to conduct a detailed study on the existing model and make recommendations for improvements.

Capital Plan Projects

- The rebuilding projects at Queens Hospital Center and Kings County Hospital Center in Brooklyn, Phase I, were completed in the first six months of Fiscal 2002 and both were occupied prior to the scheduled completion date. The Dormitory Authority of the State of New York is managing these projects for HHC. Phase I of the Kings County modernization project involves the construction of a new 338-bed general care facility. The rebuilding of Queens Hospital includes the construction of a 200-bed acute-care hospital. The ribbon cutting ceremony for Kings County Hospital Center Phase I was held in November 2001 and the ribbon cutting ceremony for Queens Hospital Center was held in December 2001. Queens Hospital was occupied in January 2002 and KCHC was occupied in December 2001.
- In early Fiscal 2001 HHC received approval from SDOH for major reconstruction projects for Kings County Hospital Center, Phase II; Jacobi Medical Center and Bellevue Hospital Center. Kings County Hospital Center, Phase II includes building a new diagnostic center and emergency department and renovating the ambulatory care facilities. Kings County began excavation in January 2002. The Jacobi modernization, which began excavation in September 2001, includes a new patient bed tower and emergency and diagnostic floors. The Bellevue modernization includes building a new ambulatory care center and renovating three inpatient floors. The Bellevue modernization began excavation in December 2001.

HEALTH AND HOSPITALS CORPORATION

- Excavation for Coney Island Hospital has been delayed from November 2001 to Spring 2002 due to a redesign to incorporate engineering and cost reduction measures. The Coney Island modernization includes a new seven-story bed tower for inpatient services and renovation of its ambulatory care facilities. Coney Island is scheduled to complete its modernization by June 2006.

ACCREDITATION AND QUALITY ASSURANCE

Accreditation

- In Fall 2001 the Joint Commission on Accreditation of Healthcare Organizations (JCAHO) surveyed five HHC facilities: Elmhurst Hospital Center in Queens; Jacobi Medical Center, Metropolitan Hospital Center and Gouverneur Skilled Nursing Facility in Manhattan; and the Dr. Susan Smith McKinney Nursing & Rehabilitation Center in Brooklyn. JCAHO evaluates hospitals against more than 500 standards in 15 functional areas that include patient rights and organizational ethics, assessment of patients, care and treatment of patients, education, continuum of care, improving organizational performance, leadership, management of the environment of care, management of human resources, management of information, surveillance, prevention and control of infection, governance, facilities management, medical staff and nursing.
 - In December 2001 JCAHO awarded full three-year accreditation to each of the five facilities. As in the past, in Calendar 2000 the facilities surveyed uniformly demonstrated a high degree of excellence with scores ranging from 92 to 98, above the national average of 91.
 - JCAHO conducted a one-day survey of the new Queens Hospital Center facility in December 2001 and will return for a full survey in April 2002.

Customer Service

- In August 2001 Jacobi Medical Center and North Central Bronx Hospital published 103 new pages on NYC.GOV, the City's official Web site, which feature detailed information on programs available at the facilities. The Jacobi Medical Center Web site includes information on several medical services, such as its burn and orthopedic trauma surgery units and the hyperbaric chamber. North Central Bronx Hospital's Web site provides information on the child health center, trauma center and HIV services. All HHC facilities have home pages and are continuing to expand their Web site presence. In addition, in October and November 2001 HHC added pages to promote depression screening day, smoking cessation programs and multilingual Medicaid managed care seminars at HHC facilities.
- The total number of visits to HHC's home page on NYC.GOV in the first four months of Fiscal 2002 reached 262,779, increasing 213 percent from the total of 84,029 during the same period in the previous year. HHC attributes the increased number of visits to the redesign of the Web site that is consistent with HHC's marketing campaign and includes the Web site address on all outreach material.
- In order to continually improve HHC's customer service delivery systems, since November 1999 each Network has implemented a series of initiatives. As of December 2001 more than 30,000 HHC employees participated in training programs comprised of four modules. Training focused on cultural diversity, conflict resolution, managed care and the importance of high-quality customer service.

HEALTH AND HOSPITALS CORPORATION

Affiliation Contracts

- Since Fiscal 1995 the Corporation has negotiated, implemented, and renegotiated a performance-based contract model that ties affiliate compensation to performance. The Corporation has affiliation agreements with five medical schools and six professional corporations and one hospital for the provision of all or partial medical staff and services at HHC facilities.
- In Fiscal 2002 HHC's Board of Directors continued to approve performance-based affiliation agreements.
 - In December 2001 the existing agreement with Mount Sinai School of Medicine in Manhattan for general care and behavioral health services at Elmhurst Hospital Center and Queens Hospital Center was extended past its June 2002 deadline for one year until June 2003.
- During the first four months of Fiscal 2002, the Corporation continued to hold preparatory discussions with facility senior leadership at Woodhull Medical and Mental Health Center and Cumberland Diagnostic and Treatment Center in Brooklyn, Metropolitan Hospital Center in Manhattan, and Morrisania Diagnostic and Treatment Center and the Segundo Ruiz Belvis Diagnostic and Treatment Center in the Bronx to renegotiate contracts during the current fiscal year.

WOMEN'S HEALTH SERVICES

- During Fiscal 2002 HHC continues to enhance its services to address the needs of women in underserved communities.
 - The percentage of women entering prenatal care during the first trimester for the first quarter of Fiscal 2002 remained at 63 percent, the same as the first quarter of Fiscal 2001.
 - During the first quarter of Fiscal 2002 the average wait time for an obstetric appointment was four days, the same as in the first quarter of Fiscal 2001. The average wait time for a gynecological appointment decreased to eight days in the first quarter of Fiscal 2002 from 10 days in the first quarter of Fiscal 2001. Wait time for initial family planning appointments decreased to four days during the first quarter of Fiscal 2002 from six days during the same period in Fiscal 2001.
 - During the first quarter of Fiscal 2002 the average wait time for mammography screening was three days, a decrease of one day compared to the first quarter of Fiscal 2001. In addition, the number of mammogram visits increased by 6.5 percent to 19,580 over the first quarter of Fiscal 2001.
- In September 2001 Jacobi Medical Center started enrolling patients in a new center for Maternal and Newborn Care. The newly renovated unit includes eight new state-of-the-art spacious labor, delivery and recovery suites with homelike finishes, two fully equipped Caesarean section operating rooms, a patient/family waiting lounge and play areas for children. Renovated postpartum recovery beds and the newborn nursery are located in an adjacent unit.
- The "Guidelines for the Identification, Treatment and Prevention of Family Violence" will be published by a revised date of March 2002. The guidelines were reviewed by the Administration for Children's Services, the Department for the Aging, the Mayor's Commission to Combat Family Violence and the Corporation Counsel. The guidelines will be distributed to all HHC clinicians.

HEALTH AND HOSPITALS CORPORATION

Services For Children and Adolescents

- In the first quarter of Fiscal 2002 the Child Health clinics and Communicare Centers provided a total of 43,352 clinic visits, compared with 52,855 visits during the same period in Fiscal 2001. With the increased citywide enrollment activity of children into Child Health Plus and other insurance plans, parents have a wide choice of physicians at HHC clinics, voluntary hospital clinics or private providers.

COMPREHENSIVE HEALTH CARE DELIVERY THROUGH MANAGED CARE

MetroPlus Health Plan and Other HMOs

- As of the end of October 2001 HHC served as the provider network for 145,696 enrollees of the MetroPlus Health Plan, HHC's health maintenance organization, and other contracted managed care plans, a 3 percent increase in overall plan enrollments compared to 141,431 in the same reporting period for Calendar 2000. In addition, in February 2002 HHC started enrolling members for the State's new health care program, Family Health Plus.
 - In October 2001 MetroPlus Health Plan's Child Health Plus enrollment increased to 26,053 members from 19,155 members in October 2000.
- MetroPlus Health Plan continues to score significantly above the State average for the following indicators based on the New York State 2001 Report on Managed Care Plan Performance. Indicators include childhood immunizations, cervical cancer screening, checkups after delivery, care of diabetics, lead screening, breast cancer screening, prenatal care and asthma management.
- MetroPlus Health Plan continues to improve its patient education programs and improve communication among providers.
 - In April 2001 MetroPlus Health Plan developed and implemented a new member education and support program in the area of domestic violence prevention. The program assists members and providers in accessing and arranging domestic violence aid services and coordinates domestic violence prevention training for providers.
 - MetroPlus' Behavioral Health Care Management Program has been expanded to include a special tracking system for members with coexisting medical and behavioral health disorders. In collaboration with HHC providers, a communication and consent protocol between primary care and behavioral health practitioners was developed and implemented in Fall 2001. Measurement of the effectiveness of the protocol in improving continuity and coordination of care between behavioral health and primary care practitioners is scheduled for Spring 2002.
- In September 2001 MetroPlus Health Plan, in conjunction with the Board of Education and the Department of Health, streamlined the process of asthma management by making consent forms needed by school nurses available to primary care physicians and health plan care managers. This will facilitate the process in which children can receive their asthma medications in school or self-administer their medication in order to minimize lost school days, reduce the incidence of morbidity caused by an asthma attack and prevent emergency room visits for children treated early for an asthma attack.
- As of October 2001 HHC had 188 Medicaid managed care contracts with 15 Medicaid managed care health plans, compared to 176 contracts and 14 Medicaid managed care plans in October 2000. In addition, HHC engaged in 309 commercial insurance carrier contracts with 23 non-Medicaid health plans, compared to 377 commercial contracts and 28 health plans in October 2000.

HEALTH AND HOSPITALS CORPORATION

SPECIAL POPULATIONS

Mental Health Services

- In the first four months of Fiscal 2002, there were 952 inquiries regarding the Assisted Outpatient Treatment (AOT) program, 582 referrals to AOT, 214 petitions filed and 218 petitions granted. Comparatively, in the first four months of Fiscal 2001 there were 2,375 inquiries, 464 referrals, 208 petitions filed and 237 petitions granted. Since the program's inception, there were a total of 12,930 inquiries regarding AOT, 9,650 referrals to AOT, 1,275 petitions filed and 1,186 petitions granted.
 - AOT inquiries consist of telephone calls from individuals, family members, provider organizations and agency representatives seeking information about various aspects of the program. HHC has experienced a decrease in the number of inquiries as information on the AOT program is now readily available through a variety of State and City publications and the increased experience and knowledge of the provider community about the program. The ratio of referrals to inquiries suggests that those calling are now more likely to be calling to make a referral.
 - In August 1999 the New York State Legislature established the AOT program as required by Kendra's Law. HHC operates five AOT teams on behalf of the Department of Mental Health, Mental Retardation, and Alcoholism Services. The program targets mentally ill people who require mental health services and have a history of noncompliance with treatment, and who are unlikely to survive safely in the community without supervision.

Substance Abuse Services

- Since February 1998 HHC has developed two programs to provide case management services that integrate substance abuse, primary care and mental health services for women. These programs have three primary program goals: establishing and maintaining sobriety, increased employment and family reunification. These programs operate out of Cumberland Family Health and Support Center and Queens Hospital Center.
 - During the first four months of Fiscal 2002 the programs served 157 women, compared to 169 women during the same period in Fiscal 2001. A total of 23 percent of the women were engaged in work readiness training within the program, 22 percent were engaged in skills training programs, 36 percent were engaged in education programs and the remaining 19 percent were not engaged in any work readiness program. During the first four months of Fiscal 2002, seven women obtained full-time competitive employment and 14 women have completed treatment and been discharged. Since the inception of the programs, 64 women have obtained full-time employment and 74 women have been reunited with their children.
- During Fiscal 2002 HHC continues to encourage individuals in its methadone treatment programs to move towards abstinence, self-sufficiency and employment. In the first three months of Fiscal 2002, 1,192 methadone treatment groups were offered, 61 patients were newly engaged in work readiness programs, 19 were newly engaged in skills training programs and 12 were newly engaged in education programs. In addition, 29 patients achieved abstinence during the first three months of Fiscal 2002, compared to 14 during the same time period in Fiscal 2001; 15 were treated and discharged in the first three months of Fiscal 2002, compared to 17 in the same period of Fiscal 2001.
- During the first four months of Fiscal 2002 HHC continued to enhance its substance abuse programs in its acute-care hospitals.

HEALTH AND HOSPITALS CORPORATION

- The Growth & Recovery Project at Jacobi and North Central Bronx Hospitals provides assessment and referrals, integrated case management and ongoing treatment services to clients with alcohol and drug problems. In the first four months of Fiscal 2002, the program received 151 referrals, compared to 154 during the same period in Fiscal 2001, completed 72 assessments, compared to 59 in Fiscal 2001; and admitted 42 individuals to treatment, compared to 41 in Fiscal 2001.
- During the first four months of Fiscal 2002 Harlem Hospital Center's prevention and treatment program in Manhattan, targeted to chemically dependent and at-risk youth ages 13 to 18, reported 352 outreach contacts resulting in 32 new admissions.
- As of October 2001 there were 51 clients in Lincoln Medical and Mental Health Center's new substance abuse prevention and treatment program in the Bronx. Started in March 2001, the program targets chemically dependent and at-risk youth, ages 12 to 18, and uses a multidisciplinary team approach within an integrated treatment setting. In October 2000, DMH allocated \$790,000 to initiate the program.
- During the first four months of Fiscal 2002, 42 patients were seen at the therapeutic community at Kings County Hospital Center; 14 of the patients were discharged after an average of 90 days in treatment. The program, a partnership between HHC and a nonprofit organization, is a 24-bed residential methadone treatment program for patients who desire to become abstinent. Of the 14 patients discharged, eight achieved abstinence and five obtained employment.

HIV Services

- During the first four months of Fiscal 2002 HHC continued its comprehensive HIV case management Community Follow-Up Program. Operating in all six networks and serving a total of 702 HIV clients, the program expects to add additional case management teams by July 2002 consistent with the program growth and SDOH approval.
- During Summer and Fall 2001, Designated AIDS Center (DAC) applications were submitted to SDOH for all HHC acute-care hospitals, except for Woodhull Medical and Mental Health Center which already is a DAC. DAC status recognizes comprehensive inpatient and outpatient HIV services available at a facility. Approval of these applications, expected in March 2002, will fulfill Special Needs Plan (SNP) requirements and will enable HHC facilities to receive enhanced reimbursement rates.
- By a revised date of Spring 2002 MetroPlus anticipates SDOH will be ready to conduct an HIV Special Needs Plan Readiness Review.
- A total of \$426,540 in new federal Ryan White HIV grants was awarded to HHC facilities between July and October 2001. The money will be used for HIV primary care and supportive services not previously provided. Bellevue and Harlem hospitals and Gouverneur Diagnostic & Treatment Center received the new Ryan White HIV grants during this period. Each facility may submit an annual continued funding application for renewal of contracts.

Tuberculosis

- During the first four months of Fiscal 2002 the number of patients participating in the Corporation's six Directly Observed Therapy (DOT) programs totaled 59, compared to 55 in the first four months of Fiscal 2001.

HEALTH AND HOSPITALS CORPORATION

TECHNOLOGY

- HHC's efforts to install an integrated computerized radiology Picture Archiving and Communication System (PACS) are proceeding on schedule with installations at Kings County Hospital Center and Woodhull Medical and Mental Health Center. Completion at these two sites is scheduled for March 2002. During the first four months of Fiscal 2002 HHC completed the design phase of PACS at Coney Island Hospital and will complete installation by the end of Fiscal 2002. PACS is currently operating at eight of HHC's acute-care hospitals.

CORRECTIONAL HEALTH

- In January 2001 a vendor, approved by HHC's Board of Directors in November 2000, began providing health care services to New York City inmates on Rikers Island and the Manhattan Detention Complex.
 - During the second quarter of Calendar 2001, 34 of the 40 indicators used to measure performance under the new contract were reviewed. These indicators used a threshold of 100 percent for successfully meeting indicator compliance. The vendor met four of the 34 indicators at the 100 percent compliance target, met 16 substantially and did not meet 14 indicators at their established target. This performance showed an improvement from the previous quarter, during the first quarter of Calendar 2001, when the vendor met three indicators, substantially met 10 and did not meet the threshold for 20 indicators. During the second quarter of Calendar 2001 the Corporation was in the process of modifying the methodology used to measure performance under one indicator and resumed its use in the third quarter.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Corporation's expenditures were \$1.27 billion, compared to its plan of \$1.2 billion. The Corporation's Fiscal 2001 expenditures were \$3.67 billion.
- The City's Financial Plan of February 2002 outlines \$4.1 million in expenditure reestimates in Fiscal 2002 and \$6.2 million in Fiscal 2003. The Plan outlines \$7.2 million in expenditure savings in Fiscal 2002 and \$9.2 million in Fiscal 2003. The Corporation has planned expenditures of \$4 billion for both Fiscal 2002 and Fiscal 2003.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

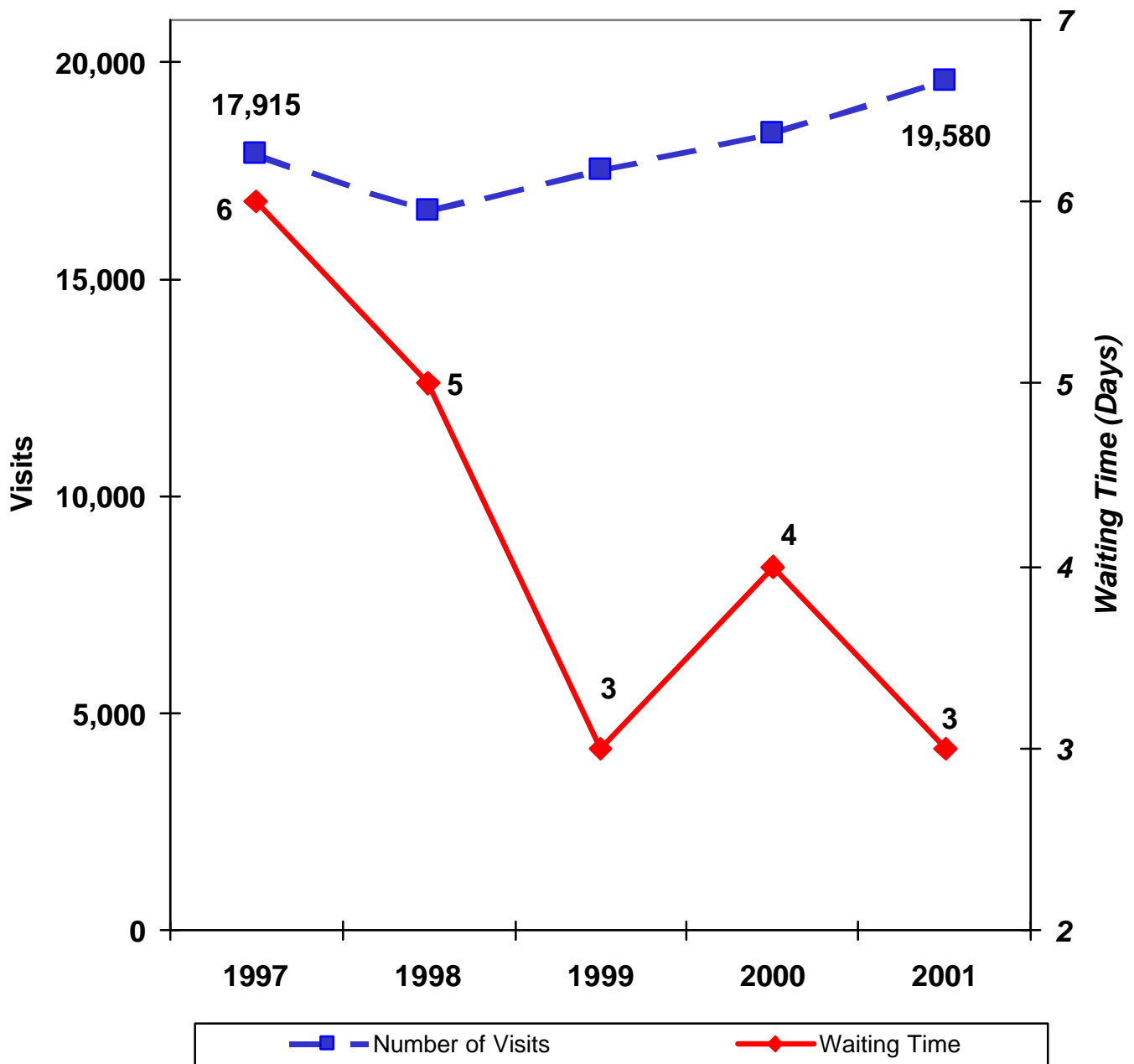
	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul- Oct 2000	Jul- Oct 2001
General Care Bed Complement	3,647	3,327	3,073	2,994	2,997	2,994	2,997
General Care Average Length of Stay (Days)	6	5.7	5.5	5.4	5.3	5.3	5.4
Emergency Room Total Visits (000)	951.7	945.2	965.6	985	1,001.3	324.4	325.0
Home Care Caseload	NI	NI	NI	14,568 (a)	14,455	5,137	5,298
Home Care Visits (000)	274.8	323.3	296.6	NA (a)	NA (a)	NA (a)	NA (a)
Women Receiving Initial Prenatal Care by First Trimester	53%	59%	64%	66%	64%	63% (b)	63% (b)

(a) Use of home care services has been measured on a caseload basis, rather than visits, beginning in Fiscal 2000.

(b) This indicator represents three-month data.

Health and Hospitals Corporation

Mammography Screening Appointments July-September 1997-2001



DEPARTMENT OF MENTAL HEALTH, MENTAL RETARDATION, AND ALCOHOLISM SERVICES

The Department of Mental Health, Mental Retardation, and Alcoholism Services provides planning, funding and oversight for the provision of mental health, mental retardation and alcoholism services for New York City residents. The Department also provides public education, prevention services and training while maintaining culturally responsive, cost-effective, high-quality care for its clients.

GOALS AND OBJECTIVES

Goal: Ensure the provision of, and access to, a community-based network of mental health, mental retardation and alcoholism services to City residents.

Objective

Provide funding and oversight for 1,005 mental health programs serving 297,318 clients in Fiscal 2002.

Provide funding and oversight for 172 mental retardation programs serving 42,005 clients in Fiscal 2002.

Provide funding and oversight for 137 alcoholism and substance abuse programs serving 56,173 clients in Fiscal 2002.

Goal: Promote effective programs through Reinvestment funds to address the special needs of targeted populations, while developing and implementing performance measures to strengthen contracted services.

Objective

Continue to develop plans for the use of Reinvestment Year VII programs in Fiscal 2002.

Implement performance-based contracts for 26 supported housing programs, 10 child day-treatment programs and 22 continuing day-treatment programs in Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- On September 11, 2001 the Department of Mental Health, Mental Retardation, and Alcoholism Services (DMH) activated its mental health emergency response network and continued through the following months to ensure provision of mental health services to the citizens of New York City.
 - Within minutes of the disaster, Mobile Crisis mental health teams were put on alert and Department professionals were dispatched to coordinate and provide mental health services at the World Trade Center site, the Family Assistance Center, the Emergency Operations Center, the Disaster Assistance Center, and the Rescue Workers' respite site. Over 120 staff members, more than half the Department, worked and volunteered services, staffing mental health hotlines and employment-related events.
 - LifeNet, the Department's contracted information and crisis intervention network, provided clinical staff at full capacity for round-the-clock assistance. From September through November 2001, 13,245 calls were received by LifeNet; one-third of the calls were precipitated by the September 11th disaster. This compares to 8,664 calls during the same three-month period of Fiscal 2001. Post-traumatic stress disorder, anxiety and bereavement accounted for more than one out of every five calls since the September 11th disaster. LifeNet staff, in conjunction with the State and other partners, maintained a current listing of crisis support services for callers seeking assistance after the disaster.

DEPARTMENT OF MENTAL HEALTH, MENTAL RETARDATION, AND ALCOHOLISM SERVICES

- The Department coordinated services with the Mental Hygiene offices of New York State and Nassau County, the State Emergency Management Office, the Mayor’s Office of Emergency Management, the Fire Department of the City of New York, the New York City Police Department, the Federal Emergency Management Agency (FEMA) and the Red Cross.
- The Department has begun implementing long-term, comprehensive public mental health responses to the disaster.
 - In September 2001 the former Commissioner of the Department testified before the United States Senate Committee on Health, Education, Labor and Pensions regarding the emerging mental health needs of the public, the potential for a sharp increase in chronic and disabling mental health problems and the Department’s plans to provide more disaster training to professionals and strengthen services to the young and elderly.
 - In October 2001 the Department was named the City’s official oversight organization of the Project Liberty Initiative, a FEMA-funded \$22.7 million grant to the State Office of Mental Health (SOMH). The grant was for an immediate service provision plan covering the initial 60-day period after the September 11th disaster for the administration of free counseling services by community-based organizations to persons, families and groups most affected by the World Trade Center disaster. Project Liberty is a collaborative effort of SOMH, DMH, surrounding local governments and provider agencies. The Department is overseeing the provision of services using \$14 million in funds allocated to the City. In mid-November 2001 the State applied to FEMA for an additional \$135 million statewide, with \$111 million allocated to the City to cover the provision of services for the next nine-month period. A determination on the application is expected by April 2002. As of early February 2002, 67 community-based organizations have enrolled to provide services through the initiative.
 - In November 2001 DMH provided the Department for the Aging with information regarding Project Liberty for distribution to senior centers and case management programs to ensure that seniors were informed of available post-disaster counseling services.
 - In mid-December 2001 the Department launched its local public education campaign, directing individuals affected by the disaster to call LifeNet for assistance. The LifeNet ads are in subways and bus shelters, on radio spots and in 650,000 brochures that are being distributed in Lower Manhattan and to mental health practices, libraries, schools, senior centers, housing complexes and other venues citywide.
 - In conjunction with the Department of Health (DOH), in early January 2002 DMH launched the New York Needs Us Strong public education campaign in subway cars and on bus shelters throughout the City. “Go Cards” (postcards) and disposable coffee cups with the New York Needs Us Strong slogan are being distributed to food service establishments, retail shops and bars throughout the City. In addition, 750,000 brochures in English and Spanish are being distributed to the general public through businesses, libraries, schools, senior centers, housing complexes and other venues citywide. The campaign informs New Yorkers about the counseling services available in the aftermath of the September 11th disaster, advertises LifeNet and contains handwritten messages by New Yorkers describing how they have been coping since the disaster.
- In addition to responding to the World Trade Center disaster, in November 2001 the Department responded to the American Airlines Flight 587 crash by dispatching crisis teams, which provided bilingual mental health services at John F. Kennedy International Airport and the memorial service. DMH also established an ongoing presence at the Javits Center’s Family Assistance Center.

DEPARTMENT OF MENTAL HEALTH, MENTAL RETARDATION, AND ALCOHOLISM SERVICES

ESTABLISHMENT OF THE DEPARTMENT OF PUBLIC HEALTH

- The Charter Revision Commission's recommendation to unite DMH and DOH into a new Department of Public Health was adopted by the voters on Election Day 2001. The goal of the merger is to better address the complex public health problems with integrated, comprehensive solutions as well as to improve the coordination of public health and mental hygiene services. The Charter calls for the executive coordination of Mental Retardation and Developmental Disabilities (MRDD) program services within the Mayor's Office of Operations in recognition of the need for coordination and cooperation among City agencies and nongovernmental entities that provide mental retardation and developmental disability services. In addition, the Mayor's Office of Operations is required to perform longitudinal reviews of the merged Department's delivery of mental health, mental retardation, and alcoholism and substance abuse services.
 - In December 2001 the Mayor's Office of Operations and the Law Department established work groups to facilitate resolving technical issues relating to the merger. In addition, in December 2001 DMH and DOH established internal work groups and began reviewing opportunities for program integration.

ADMINISTRATION OF PROGRAMS

- In the first four months of Fiscal 2002 the Department began to implement performance-based contracts for 26 supported housing programs, 10 child day-treatment programs and 22 continuing day-treatment programs.
- During the first four months of Fiscal 2002 clinical staff at LifeNet Network, the Department's three helplines for mental health program information and crisis intervention services, received a total of 14,944 calls, compared to 11,154 calls during the same period in Fiscal 2001. Approximately 2,000 calls were received in October 2001 in response to the events of September 11th, representing a large portion of the total increase. Of these calls, Ayudese, the Spanish-language helpline, received 984 calls compared to 863 during the same period in Fiscal 2001; 817 calls were made to Asian LifeNet, up from 609 during the same period in Fiscal 2001.
- During the first four months of Fiscal 2002 the Department developed the third component of its "Treatment Is Working" anti-stigma public education campaign. Working along with the Board of Education, DOH and other mental health and youth organizations, the campaign will focus on needs and treatment of children with emotional problems and direct families and youth to LifeNet. The new initiative will be launched in Spring 2002.

MENTAL HEALTH PROGRAM SERVICES

- During the first four months of Fiscal 2002 the citywide Assisted Outpatient Treatment (AOT) program, or Kendra's Law, continued to assist individuals to comply with outpatient mental health treatment plans. Under AOT, court orders to ensure compliance with mental health treatment can be sought for those whose histories of noncompliance have had negative consequences. Since the inception of the program in November 1999 through mid-October 2001, 12,980 referrals and inquiries have been received. Of these, 3,503 warranted investigation and 3,172 investigations were concluded. A total of 1,385 petitions have been filed with the courts and 1,254 petitions have been granted. Only 31 petitions have been denied.
 - In the first four months of Fiscal 2002 written materials describing the program and its protocols have been published in five languages in addition to English: Spanish, Russian, Chinese, Korean and Haitian Creole.

DEPARTMENT OF MENTAL HEALTH, MENTAL RETARDATION, AND ALCOHOLISM SERVICES

- In the first four months of Fiscal 2002 the Department continued to work with SOMH on the development of a Single Point of Entry system to improve access to case management programs by high-need clients, including individuals in the citywide AOT program, repeat users of psychiatric inpatient, emergency and mobile crisis services and clients involved in the criminal justice system. In Fiscal 2002 the Department will complete a plan to coordinate case management oversight activities.

Forensic Programs

- During the first four months of Fiscal 2002 the Department continued to provide services to individuals with mental illness in order to reduce their involvement in the criminal justice system.
 - The Community LINK transition program provided short-term case management services to a total of 1,205 mentally ill adults citywide during the first four months of Fiscal 2002, compared to 116 adults during the first four months of Fiscal 2001. The increase is due to the expansion of the program from Manhattan to all five boroughs.
 - The Adolescent LINK programs continued to provide discharge planning and transition case management services to adolescents in the juvenile detention system. In the first four months of Fiscal 2002 the Department served 104 clients and successfully linked them to after-school, recreational and mental health services, compared to 25 clients served during the same period in Fiscal 2001. The increase is due to the opening of an additional program in Brooklyn in January 2001.
 - As of the end of October 2001 the Department's forensic Assertive Community Treatment team, established in June 2000, provided intensive long-term community-based treatment to 40 mentally ill adults released from correctional institutions, compared to 28 active clients as of the end of October 2000.
 - In the first four months of Fiscal 2002 the State's Mental Health Arraignment Court and Court Diversion Service enrolled and diverted 452 defendants to community-based services. The Department's contracted program, developed in Fiscal 2001 and located in Brooklyn, provides treatment and case management services to mentally ill adults charged with minor nonviolent offenses to avert further adjudication and confinement.
- In Fiscal 2001 the Department developed the Service Planning and Assistance Network (SPAN), which provides borough-based information, referral and discharge planning services to individuals following their release from courts or correctional institutions. SPAN offices in the Bronx and Brooklyn were opened in October 2001. The Manhattan and Staten Island offices began providing services in January 2002. The Department is continuing efforts to identify a Queens site.
- During the first four months of Fiscal 2002 the Department enrolled 536 individuals in the State-funded Medication Grant Program. Implemented in February 2001, the program provides payment for medication and psychiatric support services for individuals with mental illness released from correctional custody during the Medicaid approval process.

DEPARTMENT OF MENTAL HEALTH, MENTAL RETARDATION, AND ALCOHOLISM SERVICES

Housing Programs

- The New York/New York II housing program, established in 1999, is a joint City/State initiative to create 1,500 additional housing units in the City for homeless mentally ill individuals over a five-year period. In addition to the 500 rental units delivered to date, the first 11 units to be constructed under the City's capital commitment opened during the first four months of Fiscal 2002. Before the end of Fiscal 2002 the State expects to construct and open its first 15 units. Under the capital portion of the agreement, in Fiscal 2003 another 112 units are scheduled for completion; 96 of these are City units and 16 are State units.
- Another five-year initiative, begun in Fiscal 2001, provides for an \$80 million City/State match program to develop 800 units of housing supported with mental health services. By December 2001, 324 units of housing were in the early stages of development. All of the State's 400 units are in development and are expected to be completed in Fiscal 2006.
- During the first four months of Fiscal 2002 the Department finalized contracts for the development of 102 new supportive housing rental units. These units are part of a \$1.47 million Department commitment in State Reinvestment Year VI funds to develop 138 new rental units. The remaining 36 units are being rebid and contracts are expected to be in place by the end of Fiscal 2002.
- In the first four months of Fiscal 2002 the Department continued development of permanent housing for individuals who have a dual diagnosis of HIV/AIDS and serious mental illness. The housing is funded by a federal Housing and Urban Development Housing Opportunities for Persons With AIDS grant. After the initial site became unavailable, a new site was located for a 30-bed program for single women and mothers with dependent children and will be fully implemented by a revised date of the end of Fiscal 2002.

Reinvestment Funds

- Since the inception of the Reinvestment Program in 1993 the State has allocated funds to local governments to augment community-based service systems to offset reductions in State-operated psychiatric hospitals. DMH has been awarded nearly \$83 million since 1993 to improve services, including emergency and crisis, outpatient, community support and housing programs, and to augment services to mentally ill homeless individuals and mentally ill chemical abusers (MICAs).
 - Using Reinvestment Year VI funds, in the first four months of Fiscal 2002 the Department registered seven contracts to provide additional mental health services, including supported housing, case management and day treatment for adolescents and MICAs, for a total of 25 contracts. The Department expects to implement the remaining Year VI programs by the end of Fiscal 2002.
 - During the first four months of Fiscal 2002 the Department's expenditure plan for Reinvestment Year VII, the final year of the program, was approved by the State for \$2.2 million in basic services. Respite care for both adults and children, supported housing for clients involved in the criminal justice system, school-based initiatives and home-based crisis intervention programs were among the planning priorities reflected in the final approved plan.

DEPARTMENT OF MENTAL HEALTH, MENTAL RETARDATION, AND ALCOHOLISM SERVICES

ALCOHOLISM AND SUBSTANCE ABUSE PROGRAM SERVICES

- The Cumberland Family Health and Support Center, a Health and Hospitals Corporation (HHC) facility located in Brooklyn, was established in February 1998 to provide case management services that integrate substance abuse, primary care and mental health services for women. This center has three primary program goals: establishing and maintaining sobriety, increased employment and family reunification.
 - The Center served 157 women during the first four months of Fiscal 2002, compared to 169 women during the same period in Fiscal 2001. A total of 23 percent of the women were engaged in work readiness training within the program, 22 percent were engaged in skills training programs, 36 percent were engaged in education programs and the remaining 19 percent were not engaged in any work readiness program. During the first four months of Fiscal 2002, seven women obtained full-time competitive employment and 14 women have completed treatment and been discharged. Since the opening of the Center, 64 women have obtained full-time employment and 74 women have been reunited with their children.
 - As a result of the success of the Cumberland program, in February 2000 HHC's Queens Hospital Center opened a similar program modeled after it. In the first four months of Fiscal 2002, 65 women were enrolled in the Queens Hospital program. A third program operated by a contracted provider opened in the Bronx in November 2000 and enrolled 79 women during the first four months of Fiscal 2002.
- During the first four months of Fiscal 2002 DMH continued to provide funding to HHC for further enhancement of its substance abuse programs in its acute-care hospitals throughout the City, including the Growth & Recovery Project at Jacobi and North Central Bronx hospitals in the Bronx, Bellevue Hospital's Central Intake Program and Harlem Hospital Center's prevention and treatment program in Manhattan, Lincoln Medical and Mental Health Center's prevention and treatment program in the Bronx, and Kings County Hospital Center's residential therapeutic community in Brooklyn.
- During Fiscal 2002 the Department is continuing the Dual Recovery Coordination Project, which was designed in collaboration with the State to enable service providers to better respond to the complex needs of MICAs. To build staff competencies and to facilitate the development of a dual recovery network in the City that represents the full range of treatment services, two training initiatives were developed.
 - In December 2001, a revised number of 343 experienced clinicians, case managers and supervisors completed an intensive 10-month training series.
 - In Spring 2002 a Master Training course is scheduled to begin for 160 senior counselors and supervisors, who in turn are expected to train approximately 1,875 line staff and counselors.
- In Fiscal 2001, eight alcoholism programs participated in a pilot program to address domestic violence among clients in substance abuse treatment. The initiative is a collaboration among the Department, the Mayor's Commission to Combat Family Violence, the Human Resources Administration and the State Office of Alcoholism and Substance Abuse Services. The pilot is being independently evaluated and is expected to yield a best practices model in Fiscal 2002.

DEPARTMENT OF MENTAL HEALTH, MENTAL RETARDATION, AND ALCOHOLISM SERVICES

- During the first four months of Fiscal 2002 the Department continued to monitor and provide technical assistance to two community-based organizations, located in Flushing, Queens and Inwood, Manhattan, selected to receive State Incentive Cooperative Agreement (SICA) three-year federal grants. These grants are designed to promote changes in the attitudes of adolescents towards the use of alcohol, marijuana, tobacco and other drugs. In Fall 2002 the Department will assist the organizations with prevention and intervention plans specific to these two communities.
- In November 2001 the Department was awarded a three-year grant of \$1.2 million by the federal Substance Abuse and Mental Health Services Administration to fund a comprehensive mental health initiative for senior citizens living in public housing. Project staff will screen for mental illness, alcoholism and substance abuse, and provide treatment and referral services. This will be coordinated with the DOH Community Wellness Project to provide health promotion, education and outreach activities.

MENTAL RETARDATION/DEVELOPMENTAL DISABILITIES PROGRAM SERVICES

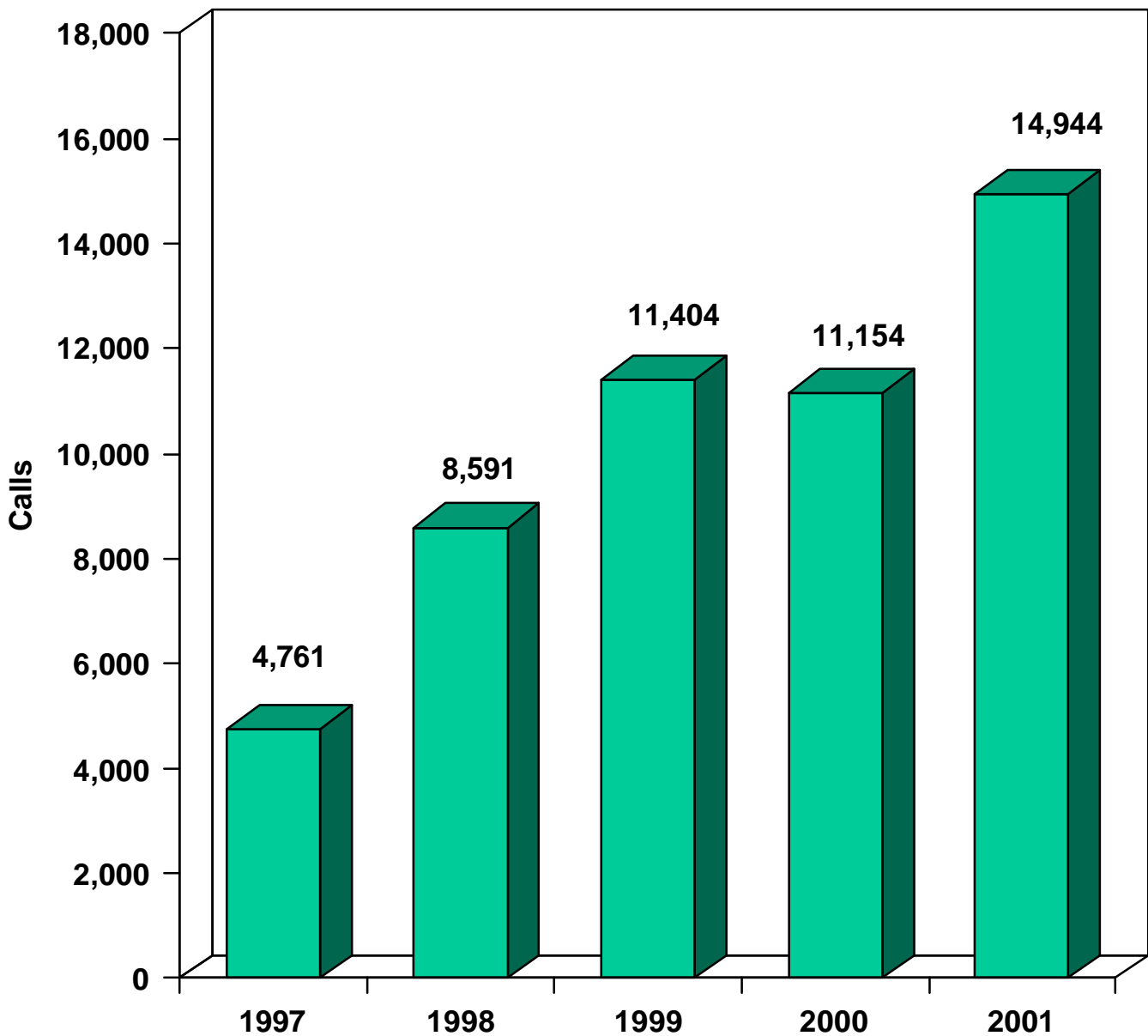
- In the first four months of Fiscal 2002 the New York State Creating Alternatives in Residential Environments and Services (NYS CARES) program added 253 units of housing for individuals with developmental disabilities under Phase I of the five-year program, bringing the total available units to 887 of the 1,708 planned. In addition, 636 units are in the development stage and sites are being sought for the remaining 185 units planned in Phase I.
- In November 2001 the Department completed its new Mental Retardation and Developmental Disabilities (MRDD) Local Government Plan for Calendar 2001-2003 in accordance with guidelines from the State Office of Mental Retardation and Developmental Disabilities. During the first four months of Fiscal 2001 local planning committees of the MRDD Borough Councils were convened on a monthly basis in each borough to review data, assess needs and establish priorities.
 - The plan outlines the current status of services, evaluates existing services for children, adults and families, identifies areas of need and priority initiatives by borough. Top priorities include additional residential opportunities for adults and adolescents whose current living situations are at risk; additional day services, including employment-oriented services for adults with multiple disabilities; and additional respite and recreation programs for children, adolescents and adults, especially those whose families are in crisis and need emergency relief and those with severe challenging behaviors.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Department's expenditures were \$568 million, compared with its plan of \$604 million. The Department's Fiscal 2001 expenditures were \$595.8 million.
- The City's Financial Plan of February 2002 outlines expenditure savings of \$16 million in Fiscal 2002, primarily from enhanced federal and State reimbursement and program accruals, and additional revenues of \$513,000 in Fiscal 2002. The Department has planned expenditures of \$654.1 million for Fiscal 2002.

Department of Mental Health

Calls to LifeNet July - October 1997 - 2001



Approximately 2,000 of the 3,790 increase in calls during the first four months of Fiscal 2002 were related to the September 11th disaster.

HUMAN RESOURCES ADMINISTRATION

The Human Resources Administration helps individuals and families to achieve their highest level of self-reliance. It is committed to enhancing the quality of life for all New Yorkers through the effective administration of a broad range of programs and services that defeat dependency; promote self-sufficiency; strengthen families; promote community responsibility; deliver program services with professionalism, accountability and integrity; focus on customer needs; manage public resources responsibly; and reward excellence. The Administration's programs include income support for Family Assistance Program and Safety Net Assistance recipients; employment services, including the Work Experience Program combined with training, education, substance abuse treatment and short-term job search programs; Medicaid; home care services for elderly and disabled individuals; food stamps; food assistance; support services for individuals with AIDS and HIV-related illnesses; adult protective services; domestic violence prevention; and crisis intervention and stabilization programs.

GOALS AND OBJECTIVES

Goal: Continue to engage able-bodied public assistance applicants and recipients in work, work-related activities, work assessment or work assignment processes by operating a work and support structure that enables public assistance applicants and recipients to progress toward and achieve self-sufficiency and unsubsidized employment.

Objective

Continue to support the requirement that eligible public assistance applicants participate in job search activities while their applications are being processed at Job Centers in Fiscal 2002.

Continue to support the requirement that public assistance recipients participate in a simulated 35-hour workweek that engages them in work and improves their employability in Fiscal 2002.

Goal: Fully engage public assistance recipients in work and other activities that prepare them for employment and self-sufficiency and that meet the standards of both the federal Personal Responsibility and Work Opportunity Reconciliation Act of 1996 and the State Welfare Reform Act.

Objective

Achieve overall work participation of 11,400 Safety Net participants in accordance with State guidelines in Fiscal 2002.

Achieve overall work participation of 41,500 Family Assistance Program participants in accordance with federal and State guidelines in Fiscal 2002.

Goal: Promote employment and reduce public assistance recidivism.

Objective

Achieve a revised 49,500 reported job placements by Safety Net participants in Fiscal 2002.

Achieve a revised 88,000 reported job placements by Family Assistance Program participants in Fiscal 2002.

Achieve a revised 17,500 reported job placements by non-public assistance food stamp participants in Fiscal 2002.

HUMAN RESOURCES ADMINISTRATION

Goal: Administer Workforce Investment Act funds for adult services.

Objective

Administer funding for adult workers under the new workforce system in Fiscal 2002.

Expand the One-Stop system by a revised date of the end of Fiscal 2002.

Goal: Administer public assistance and food stamp programs to eligible families and single adults efficiently, effectively and in compliance with federal and State requirements.

Objective

Ensure that 90% of public assistance fair hearing decisions received are implemented within 30 days in Fiscal 2002.

Ensure that 90% of food stamp fair hearing decisions received are implemented within 15 days in Fiscal 2002.

Ensure that 85% of the families who are referred to the Agency and who are at imminent risk of homelessness remain housed in Fiscal 2002.

Goal: Enhance services to protect and assist victims of domestic violence.

Objective

Expand the emergency shelter bed capacity for victims of domestic violence by a revised 225 beds, for a revised total of 1,675 beds in Fiscal 2002.

Expand transitional housing for victims of domestic violence by a revised 31 units, for a revised total of 186 units in Fiscal 2002.

Goal: Implement the HealthStat initiative by determining Medicaid eligibility for individuals enrolling in available public health insurance programs.

Objective

Complete the foreign language translations for the interactive voice response eligibility prescreening phone line by November 2001.

Goal: Improve access to medical care for children.

Objective

Complete processing a revised 22,000 applications for the transition to Medicaid by children currently enrolled in Child Health Plus in Fiscal 2002.

Simplify Medicaid recertification for children by implementing a mail recertification pilot program in Fiscal 2002.

Goal: Implement Medicaid managed care mandatory enrollment.

Objective

Begin implementing Phase III of the mandatory Medicaid Managed Care program in November 2001.

Monitor the enrollment broker contract to ensure compliance with mandatory Medicaid managed care enrollment requirements in Fiscal 2002.

HUMAN RESOURCES ADMINISTRATION

Goal: Implement the provisions of Local Law 49, which relate to the Division of AIDS Services within the HIV/AIDS Services Administration and implement automation to assist and monitor clients' progress, benefits and services.

Objective

Continue the development and implementation of a field center performance management system during Fiscal 2002.

Implement central intake automation by a revised date of February 2002.

Implement three field offices' automation by June 2002.

Goal: Provide housing and voluntary vocational rehabilitation, training and employment opportunities for persons with clinical/symptomatic HIV illness and AIDS.

Objective

Enroll an additional revised 200 clients in the voluntary Work Opportunity Program in Fiscal 2002.

Expand housing by 50 units for individuals with AIDS and their families by the end of Fiscal 2002.

Goal: Improve the provision of services to mentally and physically impaired adults who are at risk in the community and unable to protect their own interests.

Objective

Serve 1,400 individuals by community guardianship and protective service contractors in Fiscal 2002.

Goal: Measure performance outcomes to ensure that resources are used to meet client needs with maximum efficiency.

Objective

Ensure that 100% of human service contracts continue to have performance measures in Fiscal 2002.

Transmit 60% of staff time sheets to the Financial Information Services Agency for the automated time-keeping system in Fiscal 2002.

Continue to develop and implement computer system support for the receipt of automated Medicaid application submissions during Fiscal 2002.

Expand Professionalism, Accountability and Integrity training to all staff in Fiscal 2002.

HUMAN RESOURCES ADMINISTRATION

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- In collaboration with the Federal Emergency Management Agency (FEMA), the Federal Bureau of Investigation (FBI), the State Crime Victims Board, the federal Social Security Administration, the American Red Cross and the Salvation Army, the Human Resources Administration (HRA) responded to the tragic events of September 11th by staffing the Family Assistance Center and assisting in implementing a one-stop financial assistance process to provide emergency cash disbursements and vouchers. In addition, information about financial claims for the victims' families, as well as Lower Manhattan residents, workers and businesses affected by the disaster could be obtained. At the direction of the Mayor's Office of Emergency Management (OEM), HRA also staffed and managed emergency shelters for displaced residents, staffed the public information hotline and provided 24-hour coverage at the OEM Command Center. Between September 17, 2001 and February 8, 2002 approximately 11,000 people registered for emergency assistance services with HRA.
- From September 11 through October 31, 2001 the Agency allowed immediate access to food stamps for victims of the disaster and for individuals who lived or worked in the affected area. Subsequently, if ongoing food stamps were needed, individuals were directed to a local HRA food stamp office where they could reapply through the normal application process. In addition, from September 17 to mid-December 2001 the Agency gave limited public assistance cash grants to individuals in crisis due to the September 11th disaster, such as those persons who faced eviction or who could not pay rent.
- Disaster Relief Medicaid/Family Health Plus, announced on September 19, 2001 and begun on September 24, 2001, was a temporary expedited program that provided four months of Medicaid fee-for-service coverage to lower-income City residents. By December 29, 2001, there were approximately 163,000 Disaster Relief Medicaid/Family Health Plus cases, which included approximately 243,000 individuals. This program has the same eligibility requirements as Medicaid and Family Health Plus, but it uses a streamlined application process that requires only documentation of identity. Disaster Relief Medicaid/Family Health Plus was available to any City resident earning below the limit set for either Medicaid or Family Health Plus. Income limits depend on family size, and are higher for adults than under regular Medicaid.
 - Since October 2001, HRA has been working with the State Department of Health on a transition plan for Disaster Relief Medicaid/Family Health Plus recipients. In April 2002 the Agency will help those recipients whose Disaster Relief expires complete the full Medicaid and Family Health Plus application process.
 - In September 2001 the U.S. Department of Health and Human Service's Centers for Medicare and Medicaid Services approved the automatic extension of standard Medicaid and Child Health Plus coverage for 12 months for households that were scheduled to recertify between September 11, 2001 and January 31, 2002. Automated Medicaid recertification has been extended until September 2002.
- Since September 17, 2001, the City has been using its network of employment service programs and the One-Stop Center in Queens to serve New Yorkers whose jobs or businesses were affected by the World Trade Center tragedy.

HUMAN RESOURCES ADMINISTRATION

- On September 17, 2001 the City launched the Twin Towers Job Link Hotline, which provides comprehensive information about how to obtain financial assistance and employment services and refers people to the Family Assistance Center; the Disaster Assistance Center, which serves people who lost their jobs below Houston Street; the Twin Towers Job Center, a general employment information clearinghouse; the Queens One-Stop Center; the Department of Employment's Worker Career Centers; and HRA's Employment Services and Placement sites. As of December 2001 the Twin Towers Job Link Hotline received over 8,000 calls. Information about the Hotline is available on NYC.GOV, the City's official Web site.
- In September 2001 the City also established the Twin Towers Business Hotline to receive job postings from area businesses interested in hiring people who lost their job following the World Trade Center disaster. The hotline received 4,577 postings that were placed in the Twin Towers Job Bank, the repository for all job listings following the disaster. Businesses could post job listings by contacting the hotline or by providing the information through NYC.GOV. By January 2002, over 2,000 employers had posted over 27,000 jobs in the Job Bank.
- From September 17, 2001 to January 11, 2002, four centers, located in Queens, Manhattan and Brooklyn, served over 8,000 displaced job seekers. Job seekers were offered job matching and referral services and participated in job search readiness workshops conducted by volunteer career management professionals.
- Between October 2001 and the end of January 2002 the City hosted four Twin Towers Job Expos managed by HRA and the Workforce Investment Board. Approximately 27,000 job seekers and over 800 employers participated in the events, resulting in approximately 17,000 scheduled interviews and 1,250 confirmed job matches by the end of January 2002.
- In December 2001 a new Family Assistance Office was created to provide ongoing information concerning benefits available to the immediate family members of victims of the World Trade Center disaster. The Family Assistance Office is located at HRA's headquarters at 180 Water Street and is staffed by HRA employees and a nonprofit organization. Family members are provided with a Family Consultant who will work with them to ensure access to available financial benefits and other assistance.
- From September 11 through September 13, 2001 Adult Protective Services (APS) attempted to reach the 187 physically and/or mentally frail clients living in proximity to the World Trade Center by contacting the client, family members or friends to confirm the clients' well-being. When the area below 14th Street became accessible on September 14, 2001, APS caseworkers visited clients whom they had been unable to contact. By September 25, 2001 all APS clients in the area were accounted for and determined to be in a safe environment with no immediate risk.

REPLACING WELFARE WITH WORK AND SELF-SUFFICIENCY

- The number of persons receiving public assistance (PA) decreased to 459,056 by the end of January 2002, the lowest level since November 1965. HRA will continue to place greater emphasis on job placements and work activities combined with training, education and substance abuse treatment services when appropriate in order to continue this downward trend.

HUMAN RESOURCES ADMINISTRATION

- During the first four months of Fiscal 2002 HRA achieved 61,942 job placements, 65.8 percent more than the 37,370 job placements achieved during the same period in Fiscal 2001. The increase is due to the Agency's expanded efforts to help clients find full-time employment and the greater number and quality of training and employment programs available for public assistance and non-public assistance clients. The Agency has revised the Fiscal 2002 job placement plan to 155,000, including clients converted to Safety Net non-cash assistance, due to the Agency's success in finding placements. During the first four months of Fiscal 2002 the number of unengaged public assistance (PA) cases, meaning clients who are not engaged in work or training activities, remained at zero.
- Under the federal Personal Responsibility and Work Opportunity Reconciliation Act of 1996, heads of households receiving Temporary Assistance to Needy Families (TANF) must hold jobs or actively prepare themselves for work, and can receive federally funded PA for no more than five years throughout their lifetime. In 1997 New York State further defined its own 60-month limit for cash assistance to include in the five-year limit any combined receipt of either TANF or State-funded Safety Net Assistance (SNA), which is PA primarily for single adults. Under a separate State rule, recipients are not eligible for cash assistance if they receive SNA for two years. In addition, after five years of cash assistance through TANF or after two years of cash assistance through SNA, individuals are only eligible for non-cash assistance, which includes a combination of direct payments to vendors for some goods and services and a small cash allowance to individuals for items that can not be paid for through direct payment to vendors.
 - As of the beginning of December 2001, approximately 36,000 clients reached the 60-month time limit, and each month a new group will reach the time limit. On an ongoing monthly basis, some of the cases will be converted from the federally funded TANF Family Assistance Program (FAP) to the State-funded Safety Net non-cash assistance and some will be exempted from the time limit. As of the end of December 2001, 23,819 FAP cases were converted to Safety Net non-cash assistance. The remaining clients either found employment with sufficient income to close their cases, or are awaiting outcomes regarding their Safety Net eligibility determinations. Due to the monthly conversions, in January 2002 the Agency began tracking PA by three categories: Family Assistance cases, Safety Net Assistance cases and Safety Net Non-Cash Assistance (SNNC) conversion cases.
- In September 2001 HRA began implementing the State-required procedure to call in all able-bodied participants facing the 60-month time limit. HRA offered these individuals applications for conversion to non-cash SNA as well as subsidized six-month jobs in the wage subsidy program to individuals who were unable to find full-time employment. If individuals refused to take the jobs, procedures were initiated to close their cases for failure to comply with work requirements. As a result of these efforts, by the end of October 2001 there were approximately 3,000 individuals in temporary subsidized employment at the Department of Parks and Recreation; approximately 200 individuals at temporary agencies, which assigned them to City agencies; approximately 100 individuals at the Department of Transportation; approximately 100 individuals at the New York City Housing Authority, and 85 individuals at a variety of private sector companies. Individuals work four days a week and participate in a job search for unsubsidized employment one day a week.
- During the first four months of Fiscal 2002 the Agency continued to implement the Individual Vocational Educational Skills Training (INVEST) program, which offers short-term vocational training in courses such as medical billing, computer information technology and becoming a pharmacy technician. These courses are offered at the City University of New York (CUNY) to individuals who are working but are still receiving TANF or who were converted to SNNC. INVEST enhances their skills so that they may obtain jobs with salaries sufficient to eliminate or reduce reliance on PA; part of CUNY's payment is contingent upon achieving this outcome.

HUMAN RESOURCES ADMINISTRATION

- In the first four months of Fiscal 2002 CUNY enrolled 53 new participants in the INVEST program and offered courses in the evenings and on weekends to accommodate the schedules of 119 working individuals, 20.1 percent less than the revised number of 149 individuals who participated during the same period in Fiscal 2001. The decline was due to fewer overall applicants and to a smaller percentage of applicants who met the program's literacy level requirements. During the first four months of Fiscal 2002, eight individuals found better employment with increased earnings, and a total of 15 individuals were able to close their PA cases. Individuals whose cases closed during the reporting period increased their average hourly salary to \$9.35 from \$6.77, the average number of hours per week increased to 30.5 hours from 23.5 and the average yearly salary rose to \$16,509 from \$9,024 after participation.
- During the first four months of Fiscal 2002 the Agency continued to identify barriers that prevent employed FAP participants who are facing the five-year PA time limit from earning sufficient wages to close their PA cases. In an agreement with HRA, CUNY will assess these individuals and recommend to HRA participants who are eligible for INVEST, the Begin Employment to Gain Independence Now program (BEGIN) or other Agency-approved educational programs or supportive services. During the first four months of Fiscal 2002, 3,041 working participants were called into CUNY for assessment. As of the end of October 2001, 926 assessments were completed and revealed that most individuals had very low literacy rates and qualified for BEGIN-managed programs, which provides services for individuals with very limited literacy and job skills. The Agency plans to assess up to 6,000 working participants by the end of Fiscal 2002.
- During the first four months of Fiscal 2002 the Agency continued to implement and develop work-related training activities to move PA recipients to self-sufficiency.
 - By the end of October 2001, 470 FAP participants who are pregnant or are mothers of young children were enrolled in the Perfect Opportunity for Individual Skills and Educational Development (POISED) program at three CUNY campuses, 48 percent more than the 318 participants enrolled in the same period during Fiscal 2001. Starting in March 2001, POISED staff has reached out directly to eligible clients to encourage them to make appointments to enroll in the program rather than wait for clients to be referred from Job Centers, accounting for the increase in program enrollment. POISED offers classes in child and maternal health; parenting; basic education such as reading, writing and math; computer training; and GED preparation. In addition, POISED provides counseling, career planning, as well as job preparation and placement services. During the first four months of Fiscal 2002, 186 POISED participants reported employment, 232 percent more than the 56 participants during the same period in Fiscal 2001. This increase in reported employment is due to growth of the program. By the end of Fiscal 2002 the Agency expects to serve up to a revised 1,400 POISED participants.
 - By a revised date of January 2002 the Agency implemented POISED-At-Home, a program that provides parenting, health, academic and computer instruction to women in their homes who are exempt from employment activities due to high-risk or advanced pregnancy or have children under 13 weeks of age. The Agency expects to serve approximately 200 women by the end of Fiscal 2002.

HUMAN RESOURCES ADMINISTRATION

- During the first four months of Fiscal 2002 HRA provided 3,698 Personal Roads to Individual Development and Employment (PRIDE) participants with intensive case management services, 25.7 percent less than the 4,978 participants served during the same period in Fiscal 2001. The decrease is due to the overall decline in the TANF population. PRIDE, which began in July 1999, helps physically and mentally disabled PA recipients maximize their employment potential or obtain Supplemental Security Income (SSI) and Supplemental Security Disability Income (SSDI) benefits if they cannot work. The Agency also referred 3,071 PRIDE participants to service providers for assessment and work activities, such as educational and office skills instruction, a 9.1 percent increase from the 2,814 participants referred during the same period in Fiscal 2001. By the end of Fiscal 2002 the Agency plans to refer approximately 6,000 additional participants to these contractors.
- The PRIDE program is also part of the national Employment Retention and Advancement Project funded by the federal Department of Health and Human Services. A contractor has been selected by DHHS to conduct evaluations of programs such as PRIDE that are designed to help current or former TANF recipients or other low-income families retain and advance in employment. The project began in December 2001 and evaluation results will be available in May 2002.
- In the first four months of Fiscal 2002 HRA enrolled 2,254 students in English as a Second Language, Adult Basic Education, General Equivalency Diploma, internship and work-study programs as concurrent Work Experience Program (WEP) activities, 51.3 percent less than the same period in Fiscal 2001. The decrease in enrollment is due primarily to fewer participants available for referrals as a result of the PA caseload decline and an increased number of programs to which participants can be referred for similar services, such as wage subsidy and Employment Services and Placement (ESP) programs. The Agency expects to serve a revised total number of 8,000 FAP and SNA participants in Fiscal 2002.
- During the first four months of Fiscal 2002 HRA continued integrating substance abuse treatment services with welfare-to-work activities.
 - During the first four months of Fiscal 2002 HRA assessed 12,086 individuals for substance abuse, compared to 11,417 individuals assessed for drug treatment during the same period in Fiscal 2001. PA participants who may be substance abusers according to State criteria are referred for drug treatment assessment and subsequently assigned to concurrent work activities and drug treatment as appropriate. Of those assessed, 5,734 persons, or 47.4 percent, were referred for intensive substance abuse treatment; 3,000 persons, or 24.8 percent, were referred for substance abuse treatment and work assignments concurrent with WEP assignments. There were 3,324 persons, or 27.5 percent, who did not need substance abuse treatment and were assigned for full-time work activities. Of the remaining 28 clients, 25 individuals did not complete assessments and three individuals refused treatment after assessment and were either found ineligible for PA or sanctioned.
 - The Agency expects to provide clinical case management services by a revised date of the end of Fiscal 2002 to over 1,000 PA recipients with substance abuse disorders; significant medical, psychiatric, legal, domestic violence and housing problems; and other barriers that impede their ability to work. The delay is due to the contracted vendor's difficulties in recruiting qualified staff and in locating, leasing and renovating space necessary for program operations. Contracted clinical case management teams are responsible for linking clients to medical, psychiatric and substance abuse treatment services; ensuring continuity of care; providing crisis intervention services; monitoring client progress; and assessing work readiness.

HUMAN RESOURCES ADMINISTRATION

- In collaboration with the Department of Mental Health, Mental Retardation, and Alcoholism Services (DMH), during the first four months of Fiscal 2002 HRA served 140 clients at two substance abuse treatment programs in Queens and the Bronx. The programs provide intensive case management to assist families who receive TANF and are mandated into substance abuse treatment at Health and Hospitals Corporation facilities by HRA. The goal is to treat women's substance abuse disorders and related problems to enable them to move from PA to employment. The Agency expects to serve 360 clients in Fiscal 2002.
- As part of a joint pilot program in Manhattan that assists both PA and non-PA probationers, during the first four months of Fiscal 2002 the Department of Probation (DOP) referred 168 probationers to ESP vendors and 90 received services. Some probationers receive assistance from both DOP and HRA in finding employment and obtaining substance abuse treatment. During Fiscal 2002 DOP and HRA will expand the program to the Bronx and Staten Island.
- In May 2000 HRA implemented JobStat, a program that evaluates performance of Job Centers by compiling statistical data on the employment of PA recipients as well as administrative and efficiency outcomes. JobStat facilitates discussion between HRA senior management and Job Center staff about the Agency and each center's strategic direction and overall performance.
 - Since August 2001 HRA has published PA performance indicators on NYC.GOV as part of the Citywide Accountability Program. Data is updated monthly.
 - As planned, in October 2001 CenterStat was implemented on a citywide basis. Centerstat is a localized version of JobStat that helps staff evaluate case documentation and increases communication and accountability.
- During the first four months of Fiscal 2002 HRA and its partners continued to implement the City's federally funded Workforce Investment Act (WIA) system.
 - During the first four months of Fiscal 2002 HRA served WIA adults at 41 neighborhood-based service sites throughout the City. The number of non-PA enrollments increased by 45 percent, from 4,105 at the end of October 2000 to 5,960 at the end of October 2001; enrollment is projected to be approximately 12,000 by the end of Fiscal 2002.
 - Using WIA funds, during the first four months of Fiscal 2002 HRA achieved 2,758 job placements. These include placements reported by the One-Stop Center, special population contractors, and non-PA placements reported by the ESPs.
 - During the first four months of Fiscal 2002 the WIA-mandated partners provided a wide array of services to a monthly average of approximately 6,000 individuals through the City's One-Stop Center. This is 50 percent more than the monthly average of approximately 4,000 individuals served over the four-month period between January and April 2001. The City's first full service One-Stop Center, located in Jamaica, Queens, became operational in July 2000. It provides services from 11 City, State and federal agencies and programs, including the State Department of Labor, the State Education Department, the Department of Employment, the Department for the Aging and HRA. The Request for Proposals (RFP) for One-Stop Centers in other boroughs was released in April 2001. Two additional One-Stop Centers in other boroughs are expected to have vendors in place by a revised date of the end of Fiscal 2002.

HUMAN RESOURCES ADMINISTRATION

- During the first four months of Fiscal 2002 the Workforce Investment Board (WIB) approved 46 training providers and 544 training courses for a total of 173 providers and 1,401 courses on the Eligible List of Providers (ELP). Under WIA regulations, potential training providers must submit applications to WIB, the City's WIA oversight board. Once on ELP, providers can receive WIA funds through Individual Training Accounts (ITAs), also known as vouchers, for the adults and dislocated workers who participate in their training courses. During the first four months of Fiscal 2002 HRA issued training vouchers to 1,521 adult participants.
- In Summer 2001 HRA negotiated 30 contracts with 29 providers for intensive employment and training services to special populations that face multiple barriers to employment such as individuals with language barriers, workers age 55 or older, domestic violence survivors, veterans, offenders, homeless individuals, as well as individuals with mental, physical and emotional disabilities. Payment for these performance-based contracts will be dependent upon job placement and retention. As of February 2002, 29 contracts became operational. The remaining contract is expected to be operational by a revised date of March 2002 due to delays in final oversight review.
- During the first four months of Fiscal 2002 HRA's 15 Skills Assessment and Placement (SAP) and ESP programs continued to maximize participant services. SAP contractors assess, develop employment plans for, and place participants in jobs that enable them to become financially independent, or refer them to ESP contractors for additional services. ESP contractors provide classroom training that leads participants to employment. Overall, these programs enrolled and placed more participants in the first four months of Fiscal 2002 than in the same period of Fiscal 2001 due to the increase in the vendors' effectiveness since the programs' operations began in July 2000.
 - In the first four months of Fiscal 2002 SAP contractors provided 14,410 individuals with one or more services such as comprehensive employability skills assessment, placement for job-ready participants, referrals for occupational training and placement, and individualized employment plan development. This was 34.5 percent more than the revised number of 10,712 PA participants served during the same period in Fiscal 2001. These contractors will provide services to 40,000 individuals in Fiscal 2002.
 - During the first four months of Fiscal 2002 ESP contractors provided 13,514 PA and 5,084 non-PA participants with one or more services such as classroom and on-the-job training, work experience, placement, retention and post-program follow-up services for those who achieved job placements. Comparatively, a revised number of 9,813 PA participants were served during the same period in Fiscal 2001. These contractors will provide services to 38,480 PA and 8,000 non-PA participants in Fiscal 2002.
 - In the first four months of Fiscal 2002 SAP vendors achieved 3,114 job placements and ESP vendors achieved 3,468 job placements for a total 6,582 job placements, 48.5 percent more than the revised number of 4,432 placements achieved during the same period in Fiscal 2001.
- As of the end of October 2001, 49.3 percent of FAP families participated in work activities. However, when the City's FAP participation rate was recalculated by the State in Fall 2001 to include caseload reduction adjustment, it determined that the City had reached the maximum participation rate of 50 percent as of October 2001. The City has consistently met required participation rates for the past six years.

HUMAN RESOURCES ADMINISTRATION

- In conjunction with the New York City Housing Authority (NYCHA), during July and August 2001 HRA served 165 families who receive PA and reside at the Red Hook development in Brooklyn with employment location and retention services. As a result of the World Trade Center disaster, computer systems at the Red Hook development were disrupted from September 11 to October 24, 2001 and services were restricted to referrals to job search activities. The Agency expects to serve 500 residents in Fiscal 2002. The Red Hook social service office refers residents to the Greenwood Job Center in Brooklyn for both PA applications and recertifications.
 - In conjunction with NYCHA, during the first four months of Fiscal 2002 HRA served 379 families from three housing developments at the Melrose Job Center in the South Bronx. Of those served, 120, or 31.7 percent, found employment during this period.
- During the first four months of Fiscal 2002 parents who needed child care to leave welfare for work or engage in a work activity, such as training, received a child-care subsidy and help in locating care.
 - In collaboration with the Administration for Children's Services (ACS), in October 2001 HRA completed the implementation of the Automated Child Care Information System (ACCIS) in all five boroughs. During the first six months of Fiscal 2002, HRA placed information about 13,777 families in ACCIS and information on an additional 7,638 families was transferred from ACS to HRA for a total of 36,999 families in the system being served by HRA, 68 percent more than its Fiscal 2002 plan of 22,000 families. The Agency is ahead of schedule because it initially underestimated the number of families who would benefit from more efficient processing of child-care benefits due to improved continuity of child-care services as parents move from welfare to employment.
 - With the implementation of ACCIS, beginning in Fiscal 2001 the continuity of child-care benefits improved for participants engaged in work or work related activities whose PA benefits are reduced due to increased earnings. When their cases are closed, ACCIS provides child-care payments for 60 days while the necessary processing for transitional child-care benefits is completed. At the end of 12 months of transitional child care, ACCIS automatically transfers eligible families to ACS under the low-income working child care category.
 - HRA is designing an automated voice response system for ACCIS that will allow vendors to report child attendance at daycare by telephone rather than by mail. HRA expects to implement the telephone reporting system by the end of Fiscal 2002.

FOOD STAMPS AND FOOD PROGRAMS

- The number of persons receiving food stamps declined by 7 percent, from 869,166 at the end of October 2000 to 808,298 at the end of October 2001. This change is consistent with the decline in the overall PA caseload. However, the proportion of non-PA food stamp recipients rose to 44.6 percent of all food stamp recipients at the end of October 2001, up from 39.4 percent at the end of October 2000.
- HRA's Office of Food Programs seeks to improve the nutritional status of low-income New Yorkers by providing education about nutrition, as well as administering and coordinating food distribution to approximately 620 soup kitchens and food pantries. The Office distributed over 4.2 million pounds of food during the first four months of Fiscal 2002, 8.7 percent less than the 4.6 million pounds distributed during the same period in Fiscal 2001. The decrease was due to a delay in deliveries during the first two months of Fiscal 2002. HRA will distribute a revised 14.5 million pounds of food in Fiscal 2002.

HUMAN RESOURCES ADMINISTRATION

DOMESTIC VIOLENCE

- HRA increased the domestic violence shelter capacity by 6.2 percent, from 1,365 beds at the end of October 2000 to 1,450 beds at the end of October 2001. An additional 89 beds were added in December 2001 for a total of 1,539 beds. The Agency expects to add 136 beds by the end of Fiscal 2002, for a revised total of 1,675 beds. The number of planned beds for Fiscal 2002 has been revised due to difficulties with negotiations with building owners and site control issues.
 - The Agency will add a revised 31 units of transitional housing during Fiscal 2002 for a total of 186 units.
- During the first four months of Fiscal 2002 HRA's 11 contracted nonresidential domestic violence programs provided telephone hotlines, counseling, safety planning, information and referrals, and advocacy and community education services to 5,417 victims of domestic violence, a similar level to the same period in Fiscal 2001. The Agency will expand the nonresidential domestic violence program capacity by 575 cases by a revised date of Spring 2002 due to contract delays.
- During the first four months of Fiscal 2002, the Adopt-a-School Program served an average of 163 victims of teen relationship abuse per month. The Agency completed the planned expansion of the program to Manhattan, Queens and Staten Island by Fall 2001. In collaboration with the Mayor's Commission to Combat Family Violence, the Board of Education, and other City and nonprofit agencies, community-based contractors provide comprehensive teen relationship abuse services including prevention, intervention, professional development, community outreach and parent education. The Agency completed the program evaluation in December 2001 as planned. The Agency is reviewing the evaluation and will identify recommendations and next steps by the end of Fiscal 2002.
- During Fiscal 2001 the Agency began the implementation of the Anti-Domestic-Violence Eligibility Needs Team (ADVENT). During the first four months of Fiscal 2002 the teams called in 193 Manhattan PA clients who were domestic violence shelter residents to assist them in accessing services and resources while they adhere to federal work requirements. The teams also identified barriers to self-sufficiency caused by domestic violence issues, such as conflicts in scheduling counseling and housing search activities. ADVENT's goal is to keep clients safe while complying with welfare to work requirements. The teams are currently operating in Manhattan. HRA plans to expand teams to the remaining four boroughs by the end of Fiscal 2002.
- During the first four months of Fiscal 2002 HRA's programs provided domestic violence services at seven alcoholism programs and served an average of five persons per month. During Fiscal 2001 HRA, in collaboration with the Mayor's Commission to Combat Family Violence, DMH, and the State Office of Alcoholism and Substance Abuse Services, implemented a pilot program to address domestic violence in the context of substance abuse by establishing contracts with two nonprofit organizations to provide domestic violence services at seven alcoholism programs. The pilot placed a full-time social worker at each treatment site to provide domestic violence assessments and education, as well as individual and group counseling to clients who were identified as victims of domestic violence.

HOMELESSNESS PREVENTION

- During the first four months of Fiscal 2002, 115 eligible families were placed in apartments through the Employment Incentive Housing Program (EIHP). In March 2001 HRA implemented EIHP to assist eligible families on PA to obtain employment while providing them with rental supplements for two years if they comply with work requirements.

HUMAN RESOURCES ADMINISTRATION

- By September 2001 the Rent Arrears Alert (RAA) program, which identifies tenants who receive PA and have rent arrears, operated in all 25 Job Centers.
 - During the first four months of Fiscal 2002 Homelessness Prevention Units entered into early negotiations with landlords and helped 2,083 tenants remain housed, 264 percent more than the 572 tenants during the same period in Fiscal 2001. This increase is due to the implementation of RAA in all the Job Centers by September 2001.

MEDICAL ASSISTANCE PROGRAMS: MEDICAID/HOME CARE

- The number of persons receiving non-PA Medicaid increased by 21 percent, to 727,749 at the end of October 2001 from 601,331 at the end of October 2000. The increase is due to HRA and HealthStat outreach efforts that are encouraging parents whose children are without medical insurance to enroll in Medicaid, as well as to the implementation of Disaster Relief Medicaid. The number of persons certified eligible by Medicaid increased by 3.7 percent, to 1,651,864 at the end of October 2001 from 1,593,233 at the end of October 2000. The Medical Assistance Program (MAP) expects that the non-PA Medicaid caseload will continue to increase because of the HRA and HealthStat outreach efforts. Also, some individuals who no longer receive PA meet the eligibility requirements for non-PA Medicaid.
- Due to the destruction of telecommunication hubs as a result of the World Trade Center disaster, MAP's computer systems were interrupted citywide, leaving the Agency without access to the State Welfare Management System (WMS) from September 11 through December 2001. In September 2001 the City and State developed a strategy to continue Medicaid eligibility determination processing; in September 2001 the City and State sought and received federal waivers of some normal Medicaid eligibility and recertification requirements, especially for the ambulatory Medicaid population. In addition, this disruption affected MAP's ability to move forward several planned initiatives during the reporting period.
- In July 2000 HRA began transferring the administration of aged and disabled non-PA food stamp households from the Family Independence Administration (FIA) to the Medical Assistance Program, including SSI food stamp households, homebound individuals and individuals in non-substance abuse residential treatment facilities. This merger provides recipients with the ability to recertify both non-PA food stamps and Medicaid cases at community-based Food Stamp Centers. By the end of the reporting period over 25,000 non-PA food stamp recipients were also enrolled in Medicaid at six Food Stamp Centers, which converted to the dual recertification process; HRA will convert an additional four centers by the end of Fiscal 2002, for a total of 10 sites.
 - To facilitate this process, Manhattan non-PA food stamp cases were transferred to MAP in Fiscal 2001; Queens cases were transferred in January 2002; and the Bronx, Staten Island and Brooklyn cases will be transferred by June 2002.
- In April 2000 HealthStat began providing uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, all City agencies and hundreds of community groups were mobilized to enroll eligible families and children in Child Health Plus and Medicaid. As a direct result of HealthStat activities, over 200,000 individuals have been enrolled in public health insurance programs.

HUMAN RESOURCES ADMINISTRATION

- During the first four months of Fiscal 2002 the HealthStat automated touch-tone phone line received more than 9,000 calls. Launched in November 2000, the phone line prescreens families for Medicaid and Child Health Plus eligibility and refers them to convenient community locations for enrollment. As planned, in November 2001 Interactive Voice Response translations in other languages such as Mandarin Chinese, Russian and Haitian Creole became available to callers. In addition, in October 2001 the Helpline was updated to include information on applying for Disaster Relief Medical Assistance as part of HRA's response to the World Trade Center disaster.
- During the first two months of Fiscal 2002 approximately 20,000 children were transferred from Child Health Plus (CHP-B) to Medicaid. Federal regulations require that Medicaid be the plan of choice if children are eligible for both Medicaid and CHP. The transfer project, which was scheduled for completion in September 2001, was interrupted by the disaster. MAP resumed transferring enrollees after the termination of Disaster Relief Medical Assistance beginning in February 2002 and expects to complete this project by the end of Fiscal 2002.
- As part of a pilot project, between July and September 2001, recertification mailings were sent to 10,060 Medicaid families in Queens whose cases are composed only of children in order to help retain Medicaid coverage for these children. Following September 11, 2001, the pilot was postponed because all in-person recertifications were suspended under the terms of Disaster Relief Medical Assistance. MAP resumed the pilot, including telephone recertification, after Disaster Relief Medical Assistance expired in February 2002.
- During the reporting period MAP continued to assist in preparing the Medicaid Managed Care (MMC) Phase III implementation readiness review conducted by the federal Health and Human Services Center for Medicare and Medicaid Services (CMMS). In September 2001 CMMS approved Phase III expansion to the South Bronx, Northwest Queens and Northwest Brooklyn for approximately 298,000 individuals. Implementation began in November 2001 with mailings to individuals in the expanded ZIP codes.
- In Fiscal 2002, MAP will begin to facilitate the implementation of Family Health Plus (FHP), which is a State program providing comprehensive health benefits to low-income adults, with or without children. Income levels are above the Medicaid level and eligibility is based on family size compared with the federal poverty level. MAP community sites will screen for FHP eligibility and assist in the enrollment into a managed health care plan; MAP will also accept FHP applications from community-based facilitated enrollers.
- By the end of October 2001 the Home Care Services Program (HCSP) authorized and processed the enrollment of 483 new clients in the State Department of Health's Long-Term Managed Care Demonstration programs, 36 percent less than the 749 clients enrolled by the end of October 2000. The decline is due to contractor's difficulty in recruiting necessary staff. These programs offer coordinated managed health and home care services such as providing medical care, nursing, medication dispensing, adult day care, transportation and medical equipment to dually eligible Medicaid and Medicare clients with chronic health conditions. HCSP is authorized by the State to enroll 2,000 additional clients in these programs in Fiscal 2002.

AIDS SERVICES

- At the end of October 2001 the HIV AIDS Services Administration (HASA) caseload increased slightly to 28,825 cases from the 28,462 cases at the end of June 2001.

HUMAN RESOURCES ADMINISTRATION

- During the first four months of Fiscal 2002 HASA continued to comply with Local Law 49, which expanded eligibility to individuals who have been diagnosed with clinical symptomatic HIV illness as well as AIDS. The final Fiscal 2001 quarterly report was released in the beginning of February 2002 and the first Fiscal 2002 quarterly report is being reviewed and is expected to be released in March 2002.
- During the first four months of Fiscal 2002 HASA focused on testing Field Center programs and developing management reports for Central Office Administration from its automated case management system. The system computerizes most HASA client-related programs and service delivery tasks. The Administration's central intake unit, ServiceLine, will begin using the system by a revised date of April 2002 due to challenges with the customizing software programming and implementation. The HASA housing unit and three field locations will receive training and will be using the system by a revised date of August 2002.
- During the first four months of Fiscal 2002 HASA placed a total of 3,924 clients in various types of housing including NYCHA, scatter-site, commercial single room occupancy (SRO), and permanent or transitional congregate housing.
 - To improve timely delivery of housing services to its clients, in July 2001 HASA implemented a database, which prints maps and directions from its borough offices to all HASA-utilized housing facilities.
- During the first four months of Fiscal 2002, 37 HASA clients received employment counseling, 27 participated in job readiness training, 27 attended basic computer and advanced office assistant training, eight attended bookkeeping/accountant training, nine were enrolled in internship programs and two received part-time or full-time employment through the Work Opportunity Program. The decrease in participation from the same period in Fiscal 2001 is due to the fact that participation in this program occurs on a voluntary basis. Individuals can participate in more than one activity during the reporting period. The program is a voluntary comprehensive training and employment pilot for HASA clients who wish to enter or return to the workforce.
 - In July 2001 HASA's Work Opportunity Program implemented a 12-month performance-based contract, which requires 200 clients to be served and expects the placement of 138 individuals in part-time and full-time jobs.

ADULT PROTECTIVE SERVICES

- During the first four months of Fiscal 2002 APS' Housing Court pilot program served 294 individuals, 42.7 percent more than the revised 206 individuals served during the same period in Fiscal 2001. The increase is due to the expansion of the program and heightened awareness of it in the court system. Program workers at the Bronx, Manhattan, Brooklyn and Queens housing branches of the State's Civil Courts provide pre-assessment evaluations of potential APS clients for three days a week at each site. This program gives judges a basis for adjourning eviction cases until APS can make a full assessment and institute services.
- As of the end of October 2001 APS' community guardianship and protective service contractors served 924 individuals, 4.8 percent less than the 971 individuals served at the end of October 2000.

HUMAN RESOURCES ADMINISTRATION

TECHNOLOGY

- By December 2001 AUTOTIME processed and sent 50 percent of all HRA timesheets without timekeeper intervention to the Financial Information Services Agency (FISA). AUTOTIME replaces time clocks and forms with computer and card-swipe technologies to monitor employees' attendance and leave electronically. The Agency plans to transmit electronically 60 percent of its timesheets to FISA by the end of Fiscal 2002.
- During the first four months of Fiscal 2002 the Agency implemented the Paperless Office System (POS) functions at three additional Job Centers for a total of seven centers. By the end of Fiscal 2002, HRA will implement POS at three additional centers to meet its plan of 10 POS Job Centers. POS automates public assistance eligibility and recertification processes by creating electronic case records to replace paper files.
- During the first four months of Fiscal 2002 HRA continued to implement the electronic Imaging Project, which has automated the management, retrieval and storage of its case records and allows staff to share active case documents from their desktop computers without referring to paper files.
 - During the first six months of Fiscal 2002 HRA scanned approximately 40 million additional active files at an additional four Job Centers for a total of 17 Job Centers. By the end of Fiscal 2002 the Agency plans to scan approximately 15 million additional files for a total of approximately 105 million documents at a total of 23 Job Centers.
 - In November 2001 HRA initiated a pilot project for on-site document scanning at Job Centers. Internal scanning capabilities will improve the Agency's ability to provide time efficient and cost effective document storage and transmission, and will support case integrity and quality assurance. The system was implemented at the first Job Center in January 2002. The Agency plans to implement on-site document scanning at 12 additional Job Centers by the end of Fiscal 2002.
 - During the first four months of Fiscal 2002 HRA continued the development of the Fair Hearing Imaging System (FHIS) pilot. FHIS will enable HRA to make available all documents required to support its legal position at fair hearings by providing electronic evidentiary material from imaged repositories. During December 2001 HRA tested FHIS at a Job Center and a Fair Hearing Office; the Agency fully implemented the System at these sites in February 2002. HRA expects to implement FHIS at three additional Job Centers by a revised date of June 2002 for a total of four Job Centers and one Fair Hearing Office.
- During the first four months of Fiscal 2002 HRA continued contract negotiations for the automation of Medicaid eligibility actions, such as registering applications on the State's WMS, cross-referencing information with other data systems, and determining financial eligibility and budgets. HRA expects to award a contract to reengineer the eligibility workflow for routing transactions to appropriate workers by a revised date of March 2002. The delay was due to complications during the contract negotiations.
- During the first four months of Fiscal 2002 HRA continued to work on Agency Internet projects.

HUMAN RESOURCES ADMINISTRATION

- The Agency continued to implement the Substance Abuse Tracking And Reporting System (STARS), a system to exchange information over the Internet between HRA and a State-certified substance abuse treatment program, enabling HRA to monitor the progress of patients and track their compliance with treatment and rehabilitation plans more effectively. In the first four months of Fiscal 2002 HRA made STARS available to an additional 59 outpatient treatment programs sites over the Internet from its Web pages, 29 more than planned. The Agency plans to make STARS available to most of the approximately 300 outpatient program sites by the end of Fiscal 2002.
- During the first four months of Fiscal 2002 HRA continued to implement the PRIDE 2000 system for the collection of client testing score information. The system monitors the progress of handicapped individuals and stores related data. By a revised date of June 2002 HRA will integrate PRIDE 2000 into New York City Way (NYCWay) to streamline client activity management, expand case management functions, and consolidate employment placement and reporting.
- During the first four months of Fiscal 2002 HRA continued to update its home pages on NYC.GOV. New enhancements that include a Reports Section and a Mayor's Corner were operational by the end of December 2001. The number of visits to the Agency's home page on NYC.GOV increased by 562 percent, from 30,047 views during the first four months of Fiscal 2001 to 198,972 views during the first four months of Fiscal 2002. HRA attributes the increase to the public's demand for information immediately following the World Trade Center disaster.

CUSTOMER SERVICE

- HRA's Award Program, which is part of the Professionalism, Accountability and Integrity (PAI) Civility Values Program, ensures that civility and professionalism are characteristic of each interaction among staff and the public. During the first four months of Fiscal 2002 the Award Program acknowledged 47 staff members who exemplified these values. The Agency's Fiscal 2002 PAI training will consist of stress management and the creation of positive work environments.
- During the first four months of Fiscal 2002 the Interactive Voice Response system for HRA's Infoline received 270,504 calls, 26.8 percent less than during the same period in Fiscal 2001. The decline was due to delays in installing an improved version of the system. HRA piloted a new system in December 2001 and the system will be operational by a revised date of March 2002. The delays were due to problems with the installation of the new system.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Agency's expenditures were \$2.6 billion, compared with its plan of \$2.2 billion. HRA's Fiscal 2001 expenditures were \$5.7 billion.
- The City's Financial Plan of February 2002 outlines \$13.8 million in Fiscal 2002 and \$69.1 million in Fiscal 2003 in programmatic and expenditure savings, primarily through restoration of federal benefits to the immigrant food assistance program, settlement of federal and State claims, and the availability of federal case management funding for AIDS clients. The Financial Plan also outlines \$95.2 million in Fiscal 2002 and \$219 million in Fiscal 2003 in expenditure increases and re-estimates, primarily for Medicaid expansion and reestimated Public Assistance costs. The Agency has planned expenditures of \$5.8 billion in both Fiscal 2002 and Fiscal 2003.

HUMAN RESOURCES ADMINISTRATION

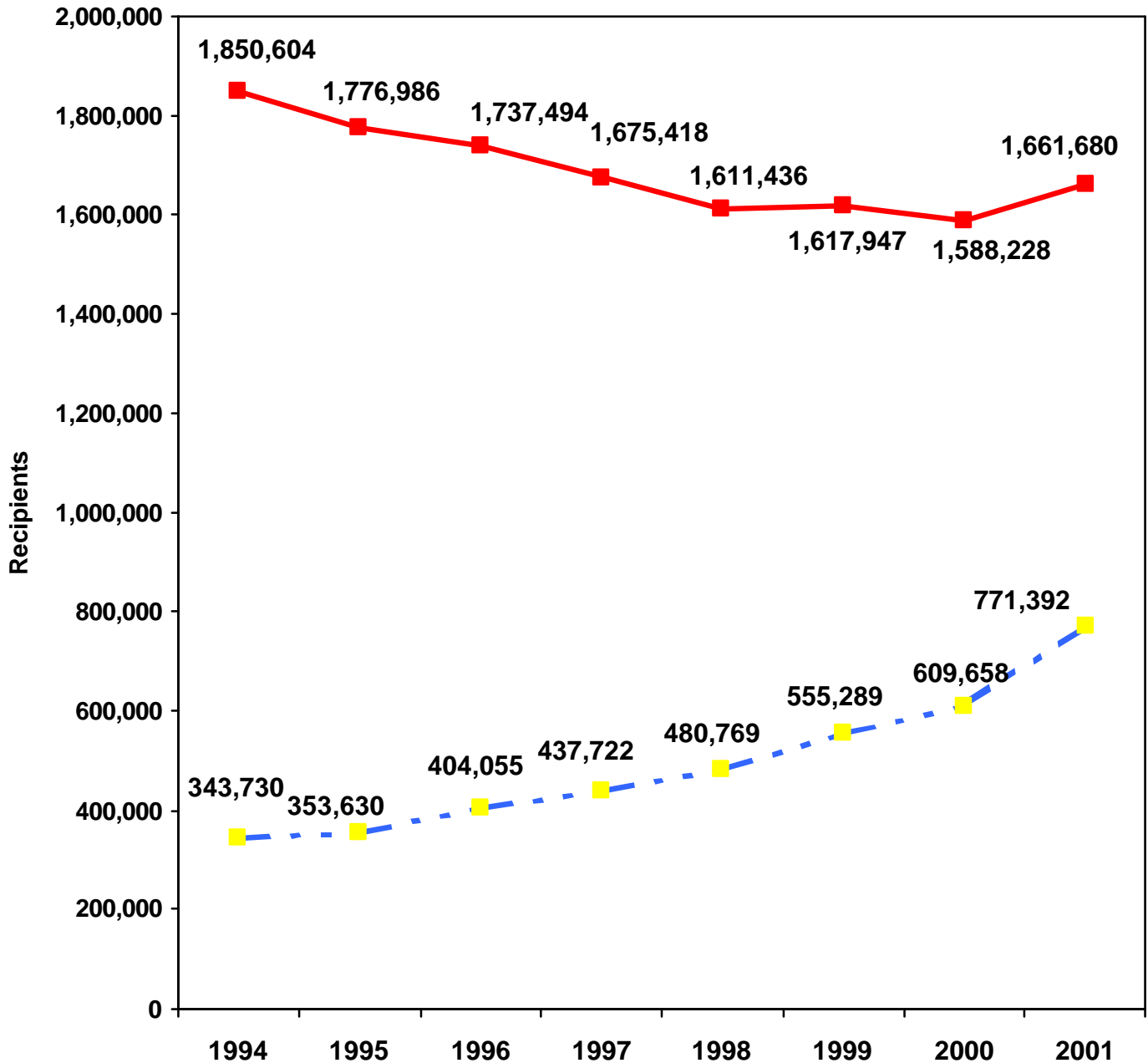
LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Total Number of Cases Participating in Work Activities in Accordance With Federal Guidelines: Family Assistance Program (FAP)	NI	52,589	59,057	49,436	43,962	50,280	42,508 (a)
Total Number of Clients Participating in Work Activities in Accordance With State Guidelines: Safety Net Assistance (SNA)	NI	16,713	20,387	17,584	11,271	15,518	11,974 (a)
Total Reported Job Placements – FAP	34,705	35,691	38,940	58,787	95,643	25,593	31,530 (b)
Total Reported Job Placements – Safety Net	17,436	10,722	9,890	30,284	45,494	9,466	17,826 (b)
Total Reported Job Placements – Non-PA Food Stamps	NI	NI	NI	NI	10,239	2,311	12,586 (b)
Timely Implementation of Decisions – Public Assistance and Employment	93.9%	92.6%	89.6%	70.5%	74.6%	83.3%	77%
Timely Implementation of Decisions – Food Stamps (PA and Non-PA)	94.2%	95.9%	73.8%	86.7%	96.5%	95.7%	92.1%
Number of Domestic Violence Emergency Beds	1,201	1,250	1,298	1,365	1,450	1,365	1,450

- (a) The decrease from the first four months of Fiscal 2001 is due to the continued decline in the PA caseload.
- (b) This increase from the first four months of Fiscal 2001 is due to the Agency's efforts to help people find jobs with incomes that enable them to leave welfare, improvements in specialized programs and improvements in the Agency's collection of employment reported data. This indicator shows all job placements that were reported to the Agency during the first four months of Fiscal 2002, not the number of job placements that may have actually occurred during that period.

Human Resources Administration

Medicaid Recipients December 1994-2001



—■— Total Medicaid -■- Medicaid Non-Public Assistance

ADMINISTRATION FOR CHILDREN'S SERVICES

The Administration for Children's Services provides protection to children subjected to abuse and neglect; provides preventive services to families to maintain the safety of children; and, when necessary, provides children with safe foster care or adoptive homes. The Agency administers, directly or through contracts, child-care, early childhood education and child support enforcement services.

GOALS AND OBJECTIVES

Goal: Improve the Agency's ability to protect children from abuse and neglect, ensure a continuum of services, and achieve permanent families for children by continuing to implement reform initiatives that increase accountability, improve caseworker and managerial skills, and develop a neighborhood-based network of services.

Objective
Place 50% of the children in foster boarding homes in neighborhood-based boarding homes in Fiscal 2002.
Continue to strengthen the professionalization of the child welfare staff through the continuation of the Masters in Social Work scholarship program and the implementation of merit-based pay increases in Fiscal 2002.
Continue training new caseworkers in the casework practice guide, investigative skills, Instant Response procedures, permanency planning assessment and the recording of child protective case information in Fiscal 2002.
Continue to expand quality improvement strategies, which include random reviews of foster care cases, and monitor compliance with foster home recertifications in Fiscal 2002.
Continue to ensure that all foster care contracts developed are outcome-based in Fiscal 2002.
Continue to expedite permanent families for children by reducing the length of time children remain in foster care prior to family reunification or adoption in Fiscal 2002.
Complete 3,300 adoptions in Fiscal 2002.

Goal: Continue implementing an improved model of child protective service delivery that ensures the safety of children through enhanced management of the investigative process.

Objective
Initiate response on 100% of all abuse and neglect allegations within 24 hours in Fiscal 2002.
Assign an average of five new cases per worker per month in Fiscal 2002.

Goal: Improve the Agency's service provision by formalizing interagency coordination.

Objective
Continue to collaborate with the New York City Housing Authority and the Department of Housing, Preservation and Development to identify and address housing needs among Administration for Children's Services' families and youth in Fiscal 2002.

ADMINISTRATION FOR CHILDREN'S SERVICES

Child-Care/Head Start Services

Goal: Enhance the developmental and educational opportunities of children through the provision of child-care and Head Start programs.

Objective

Enroll 19,421 children in Head Start programs in Fiscal 2002.

Enroll a revised 60,474 children in child care subsidized through the Agency for Child Development in Fiscal 2002.

Enroll a revised number of 12,531 additional children in child-care programs in Fiscal 2002.

Child Support Services

Goal: Insure the timely receipt of court-ordered child support payments.

Objective

Collect a total of \$500 million in child support in Fiscal 2002.

Collect \$95 million in child support for Temporary Assistance to Needy Families recipients in Fiscal 2002.

Obtain a total of 24,000 new support orders in Fiscal 2002.

Attain a total of 220,000 cases with active orders in Fiscal 2002.

Technology Initiatives

Goal: In coordination with the State, implement tracking and automated payment systems to streamline operations.

Objective

Continue to develop additional CONNECTIONS functions during Fiscal 2002.

Continue to develop the Outcome and Compliance Reporting System during Fiscal 2002 to support tracking of the top 12 outcomes and indicators.

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- Due to the proximity to the World Trade Center disaster site, the Administration for Children's Services (ACS) had to relocate its administrative operations and the Manhattan field offices to ACS' Children's Center. Beginning on September 13, 2001, the administrative offices were relocated for approximately two weeks, while the Manhattan field offices were relocated for approximately six weeks following the disaster.
 - During the period of September 11 to October 13, 2001, one Division of Child Protection (DCP) office in each borough remained open 24 hours a day, seven days a week to provide child welfare protective services. This was necessary because staff from the regular 24-hour, seven-day-a-week Emergency Child Services, located in Manhattan, were unable to travel between boroughs.

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- On September 12, 2001 the Children's Center was quickly transformed into the Family Reception Center to serve families of the victims of the tragedy. The American Red Cross and the New York City Police Department (NYPD) detectives used the site to process missing person reports and to provide counseling services to those at the Center. The Family Reception Center was moved the following day to the Lexington Avenue Armory.
- Beginning the week of September 17, 2001 ACS called several meetings with groups of contract agency executive directors to update them on ACS activities and to assess the effect of the tragedy on their operations. At these meetings, resource information on crisis counseling and other mental health services available throughout the City and handouts regarding the effects of traumatic stress on adults and children were disseminated. ACS also posted this information on the City's official Web site, NYC.GOV.
- In collaboration with the New York University (NYU) School of Social Work, ACS provided training for qualified staff to conduct debriefing sessions for ACS employees traumatized by the events. Staff, along with the trained facilitators from the State University of New York at Buffalo, the National Organization for Victim's Assistance, NYU School of Social Work and the Bellevue Hospital Mental Health Team stationed at the Children's Center, conducted 82 briefing sessions at all ACS field and administrative offices throughout the City between September 17 and October 21, 2001. The sessions were open to all staff members.
- As part of the Department of Mental Health, Mental Retardation, and Alcoholism Services' (DMH) Project Liberty Program, in October 2001 ACS was awarded an immediate services grant of over \$1 million from the Federal Emergency Management Agency (FEMA), in response to the tragedy. This grant supports a combination of crisis counseling, public education, and consultant services for clients involved in the child protective, preventive, and foster care systems. ACS is now contracting with six borough-based agencies that will be providing the crisis counseling and group education sessions. In addition, ACS is identifying consultants who will help address the crisis needs of child welfare clients and staff. ACS has also applied to be part of the DMH Regular Services Grant application to FEMA, an extension of Project Liberty, to help fund World Trade Center-related services in the coming year.
- In addition, immediately following the disaster, ACS formed an ongoing committee to work with the representatives from its contracted agencies, Casey Family Services, the NYU and Columbia Schools of Social Work, the Council of Family and Child Care Agencies and other partners to develop outlines of the training curricula for child welfare staff, child care staff and clients. These curricula will discuss how a crisis such as the World Trade Center attacks can affect people, including children and families who have experienced prior traumas. The curricula will also address short- and long-term effects of trauma on children, families and the staff who work with them, and provide strategies for addressing such trauma as part of ongoing casework and self-care. In December 2001 ACS conducted a half-day training session with clinical and training staff of contract agencies using the outlines developed. In Fiscal 2002 ACS plans to sponsor a number of training sessions at the borough level using the curricula developed.
- In September 2001 ACS' Head Start Division secured the assistance of mental health professionals to work with contract agencies and grantee staff, and in October 2001 a nonprofit organization provided workshops for Head Start agency staff on "Talking with Children About the Terrorism Tragedy" and re-creating safety for children.

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- Immediately after the attacks, ACS did not have access to the State payment system through which foster care contract agencies receive payments. In order to continue to make payments and produce timely reports, ACS used the resources of the Financial Information Services Agency to issue all critical payments through the end of September 2001. This same problem affected ACS' ability to pay child-care contractors and receive their expense reports. In order to ensure that payments to child-care contractors were not interrupted, in September 2001 ACS made payments without adjustments for expense reports. Adjustments were made in the October and November 2001 payments.
- In September 2001 ACS instituted a procedure to provide emergency child-care assistance to families that were affected by the events of September 11th. Eligible families included those who lost an immediate family member in the event, those who lost their residence, those who lost employment or source of income and those who lost their child-care arrangements. Between October and December an estimated 25 eligible families have received emergency child-care assistance. Emergency assistance eligibility was offered at no charge for three months. After three months, the family undergoes a recertification interview at the Agency for Child Development (ACD) office serving their borough. At this point they must produce documentation to establish both financial and social eligibility.

SERVING CHILDREN AT RISK

Transforming Child Welfare

- The Charter Revision Commission's proposal to establish ACS as a charter agency was adopted by the voters on Election Day 2001. In 1996 ACS was created to function as a freestanding, non-charter agency pursuant to a Mayoral Executive order. Effective December 31, 2001 the necessary actions to support the finalization of ACS as a charter agency were completed.
- In July 2001 ACS issued a final plan for the next phase of the reform of the City's children's services system. The new plan is organized around four major areas: further developing and expanding neighborhood-based services; strengthening the availability, quality and affordability of child-care services (previously referred to as day-care services); promoting family engagement and permanency; and developing systems of continuous quality improvement in all ACS services. Other continuing priorities outlined in the reform plan include child protective services, preventive services, placement services, medical services, youth development services, staff and contract agency training programs, and administrative and capital programs.
- In November 2001, six of the top 12 outcomes and indicators, developed to track and measure improvement in child welfare services and to identify opportunities to recognize and reward good performance and high practice standards, were completed and shared with the child welfare community in a kick-off event held at ACS' Children's Center. Representatives from contract foster care agencies and preventive providers were on hand to receive a customized set of reports and an overview of the initiative. The reports that have been developed and released publicly include Faster Permanency, Low Replacements in Foster Care, Low Reentries into Foster Care, Low Repeat Maltreatment, Increased Permanency for Adolescents and Neighborhood-Based Placements.
- In November and December 2001 training sessions on the analytical reports were held for contracted providers and ACS managers.

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- The Special Child Welfare Advisory Panel issued its first supplementary report in October 2001 to follow up on the work ACS has done since a final assessment report was issued in December 2000. The report focuses on significant steps taken by ACS to reform the child welfare system and identifies additional areas for improvement. The Panel was created in March 1999 as part of a settlement agreement by the court to dismiss and resolve the federal class action lawsuits *Marisol v. Giuliani* and *Wilder v. Bernstein* and is comprised of a team of child welfare experts, who were to assess the Agency's progress in reforming child welfare in the City and present recommendations for continued improvement. A second supplementary report by the Special Child Welfare Advisory Panel is expected to be available by March 2002.
- During Fiscal 2002 ACS continued operating Neighborhood-Based Services citywide through a revised 54 foster care contract agencies and a revised 87 preventive contract agencies. ACS measures neighborhood-based placements by assessing the rate at which children are placed in their own community districts. Where neighborhood-based placements are not appropriate or available, ACS seeks to place children in their borough of origin to maintain family contact and provide accessible services. Neighborhood-Based Services include programs to help families and children when a child is in foster care or at risk of foster care placement. Under this model, children in foster care remain close to all that is familiar to them – school, friends, neighbors, doctors, religious institutions and community – and families receive supportive services in their own neighborhoods to prevent placement.
 - During the first four months of Fiscal 2002, 2,424 children were placed in foster care, compared to 2,629 during the same period in Fiscal 2001. Approximately 17 percent of the 1,298 children placed in foster boarding homes were placed in boarding homes within their own community district, compared to 15 percent during the same period in Fiscal 2001. The percent of children placed in their borough of origin in the first four months of Fiscal 2002 was 61 percent, compared to a revised 56 percent during the same period in Fiscal 2001. The percent is revised to reflect placements in regular foster boarding homes, excluding specialized foster boarding homes.
- In July 2001 ACS began the second yearly review of contract and direct foster boarding home programs. Results of this review will be available in April 2002. In August 2001 ACS began rewarding contractors who achieve positive results related to quality practice and the recruitment of neighborhood foster boarding home resources by assigning top-rated agencies a higher percentage of their initial contracted foster care slots. Lowest scoring agencies were assigned a lower percentage of their contracted slots and had to immediately engage in extensive corrective action plans. Contractors were evaluated through EQUIP, the Evaluation and Quality Improvement Protocol, a comprehensive process that evaluates programs and agencies that provide services to children and families.
 - As a result of poor performance, in August 2001 ACS' Direct Foster Care Services Unit Manhattan/Staten Island division was closed. Foster homes managed by this division were transferred to other direct and contract foster care agencies by the end of November 2001. The contract agencies received 101 foster homes and the Agency's three remaining direct care divisions located in Brooklyn, Bronx, and Queens received 49 homes.
 - As of December 2001, one additional contract agency voluntarily joined the Safe and Timely Adoptions and Reunifications (STAR) program, for a total of 41 out of 44 contract agencies that provide foster boarding home services. This program, which began in April 2000, offers financial incentives to contract agencies that reduce children's length of stay in foster care while ensuring safety.

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- Following a period of delay in September 2001 due to the events of September 11th, ACS began to review and approve spending plans submitted by contract agencies that achieved performance improvements and earned reinvestment funds. Beginning in November 2001 these fiscal rewards were made available to contract agencies, which will be available through June 2002. During the first year of the program, from April 2000 to March 2001, \$8 million in savings systemwide was recognized as a result of contract agencies' ability to place children in permanent homes more quickly.
- In the second year of the STAR Program, from April 2001 to March 2002, ACS is continuing to monitor agencies' performance in discharging children to permanent homes. ACS is tracking the reentry of children discharged in the first year of the program and will use this information to assess future contract agency performance.
- During Fiscal 2002 ACS will continue to work with agencies to implement STARDAT, a database to help contract agencies and direct foster care programs monitor their own progress and understand the important trends in their cases and performances, internally. This database is available through a secure Internet site and enables each agency to view data on its own cases and generate reports for analysis. In the first four months of Fiscal 2002 ACS continued to provide training to agencies in navigating the Web site, provided ongoing technical assistance and began assigning passwords to staff for connecting to the database. STARDAT was piloted in May 2001 at seven sites and implemented for contractor use in June 2001.
- In Fiscal 2002 ACS will continue to ensure implementation of projects initiated by Quality Leadership Teams, recruit new members as the terms of existing participants expire, and develop new teams. In September 2001 ACS formed a Cross-Divisional Team comprised of representatives from ACS program areas to target improving timeliness of case record transfer between the Division of Child Protection (DCP) and Office of Contract Agency Case Management (OCACM). The three-month pilot implemented in Spring 2001 improved the timeliness of case record transfers from 26 days to two days. In early Calendar 2002 DCP began implementing the piloted process, which involves appointing a liaison in each borough office to ensure that cases are not transferred electronically until all reviews are completed and the case record is ready for transfer.
- The Request for Proposals (RFP) to expand services for children who have complex diagnoses and have experienced more than one placement in foster care, including higher level congregate care settings and/or psychiatric hospitalizations, was not reissued as originally planned in September 2001 due to the September 11th disaster. The Administration plans to reissue this RFP by Spring 2002. The current providers have contracts to provide services through June 2002.
- In the first four months of Fiscal 2002, 100 new first- and second-year scholarships were awarded to ACS employees participating in the Masters of Social Work (M.S.W.) program, compared to 95 during the same period in Fiscal 2001. As of September 2001 approximately 228 staff were enrolled in M.S.W. programs through ACS' \$2.9 million scholarship program, compared to a revised 257 staff enrolled in M.S.W. programs through ACS scholarships during the same period in Fiscal 2001. An additional 280 staff were self-financed M.S.W. students as of September 2001. ACS supports self-financed students through release time of up to seven hours per week to attend classes and with a full-year field placement. Since the program's inception in Fiscal 1999 a revised total of 392 staff members have been awarded scholarships and 801 staff members have benefited from this program.
- The Agency is continuing to provide a program offering M.S.W. credit courses through videoconferencing, a process by which a professor at one site can teach a number of students at another site via video network. In Fall 2001 videoconferencing reached 180 staff members, compared to 170 during the same period the previous year.

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- During the Spring 2002 semester, ACS, in cooperation with the Hunter College School of Social Work, is offering a new Distance Learning opportunity for ACS employees seeking to pursue an M.S.W. Those students who have previously taken ACS distance-learning courses are eligible for this new One-Year Residency program leading to an M.S.W. degree. Students accepted to the program can take up to 18 credits via distance learning. The remaining course work is self-funded and takes place on the Hunter College campus. To be eligible, applicants must have already completed six credits as a non-matriculated student in the distance-learning program and submit a completed application. Twenty-five students were accepted into the program for the Spring 2002 semester.
- In January 2002 ACS awarded 7 percent merit-based pay increases for outstanding job performances to 602 Child Protective and Child Welfare Specialist caseworkers and supervisors. The increases ranged from \$2,416 to \$3,742 annually for each recipient and were based on a review of performance evaluations, caseworkers' documented activities and managers' nominations. The \$1.75 million merit pay program is a component of the new Civil Service titles that ACS created in November 1998 as part of the Agency's commitment to upgrade the professionalism and performance of its frontline staff.

Legal Services

- In Fiscal 2002 the Family Court Workgroup will address issues regarding implementing continuous scheduling of cases and getting more case coordinators and referees in court in order to expedite permanency for children. The workgroup believes that this will lower the caseloads of the judges and other referees and enable each case to receive more attention. The workgroup is a high-level group established in May 2000 to explore measures to improve the legal process and to address the issues identified in the Special Child Welfare Advisory Panel's Special Report on Family Court.
- As of October 2001 Court Document Dissemination Project (CDDP) units were operational in Manhattan, Brooklyn, the Bronx and Queens. The Staten Island unit is expected to be operational by a revised date of Spring 2002. The delay is due to technological difficulties. CDDP enables Court Orders and Court Action Summaries from hearings held in the various parts of Family Court to be electronically submitted to ACS staff involved in case management and planning.

Protective Services

- During the first four months of Fiscal 2002 the Agency responded to 15,120 reports of suspected child abuse and neglect involving 25,509 children, compared to 15,369 reports and 25,109 children during the same period in Fiscal 2001.
- During the first four months of Fiscal 2002, a total of 1,974 72-Hour Child Safety Conferences (CSCs) were held citywide, including 414 elevated risk conferences. Since CSCs were first implemented in October 1999, there have been 10,816 conferences, including 2,056 elevated risk conferences. During the first four months of Fiscal 2002, 60 percent of the post-placement conferences were held within three to five days of a child being removed from his or her home, compared to 58 percent during the same period in Fiscal 2001. Parents attended 68 percent of the conferences held during this period in Fiscal 2002, compared to 70 percent during the same period of Fiscal 2001; consensus among all participants on a service plan was reached and contracts signed by parents in 99 percent of the conferences they attended, a 6 percent increase from the first four months of Fiscal 2001.

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- The 72-Hour Child Safety Conferences, implemented citywide in October 1999, is a Division of Child Protection initiative that allows caseworkers to participate in a collaborative process with parents, relatives and involved service providers to make fully informed decisions on how to best protect children and support families in crisis. Elevated risk conferences, implemented in November 1999, are conferences requested by the DCP caseworkers when the level of risk to a child has increased and a decision regarding removing the child from the home or developing an alternative safety plan must be made.
- In September 2000 ACS implemented 30-Day Family Permanency Conferences in Manhattan and implemented them in the other boroughs in December 2000. Thirty-day conferences are held following 72-hour conferences to ensure that services are in place to decrease the length of time that children are in foster care. Between September 2000 and June 2001, 1,486 30-Day conferences were held and attended by 1,019 parents, service providers, and ACS and contract agency staff.
- During the first four months of Fiscal 2002 ACS continued to distribute Parent Evaluation Surveys, begun in Fiscal 2000, to obtain participant feedback and assess the effectiveness of both 72-Hour Child Safety Conferences and 30-Day Family Permanency Conferences. In December 2001 ACS completed the tallying of surveys received from March through October 2001 to ascertain the effect of the conferences on the participants. The surveys indicate that parents view the conferences as an opportunity to better understand the process and their roles and responsibilities in having their child returned to them. Surveys will continue to be distributed to all conference participants during Fiscal 2002.
- During the first four months of Fiscal 2002 Instant Response Teams (IRTs) handled 1,004 referrals, compared with 928 referrals during the same period in Fiscal 2001. This increase is due to the continued efforts of ACS and NYPD in educating and training their staff regarding Instant Response. Joint interviews were held in 56 percent of the cases, compared to 49 percent of the cases during the same period in Fiscal 2001. Joint interviews took place in ACS offices, police precinct stations, schools, at the child's home and/or at the Child Advocacy Centers. In 95 percent of the cases, exams for physical or sexual abuse were performed only once, reducing trauma to the child of undergoing multiple exams, compared to 90 percent of the cases during the same period of Fiscal 2001. IRTs help coordinate the efforts of NYPD, all District Attorneys' offices and ACS to increase protection for, and minimize trauma to, children during the investigation process.
- In December 2001 ACS issued a revised edition of the Child Protective Services (CPS) Casework Practice Guide (CPG), a uniform guide that clarifies the standards of casework practice for child abuse and neglect investigations, assessment of safety and risk, and service planning. The revised CPG expands the domestic violence section and further clarifies the expectation that screening for domestic violence is required for all CPS investigations, regardless of the type of allegations and if domestic violence is alleged, suspected or uncovered, a comprehensive assessment must be completed using the CPS Domestic Violence Protocol. The protocol was revised in October 2001 and includes new sections on "Safety Planning" and "Interviewing the Batterer." In Fiscal 2002 ACS will provide orientation and comprehensive training on the revised protocol to staff.
- As planned, in Fall 2001 a system was implemented to track compliance due dates for face-to-face casework contact information as indicated in the Family Services Unit Casework Practice Guide. The online version of the casework contacts tracking system is currently being programmed and is expected to be completed by Spring 2002.

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Preventive Services

- In February 2001 ACS convened a new Domestic Violence Subcommittee to the Commissioner's Advisory Board. The subcommittee, which includes domestic violence and child welfare experts from a variety of settings, has assisted ACS in developing a strategic plan that will be finalized and distributed in early March 2002. The strategic plan establishes concrete goals and activities that will strengthen domestic violence practice in preventive, protective and foster care services. The plan emphasizes increased accountability for abusive partners, and the development of improved coordination among child welfare services, the criminal justice system and domestic violence service providers.
 - Through three-year contracts with nonprofit agencies, ACS is establishing clinical consultation teams in its 12 field offices throughout the City. It is anticipated that the contracts will be in place by the end of Spring 2002, and the teams will be fully operational by the end of April 2002. Each team will include a domestic violence specialist, a substance abuse specialist and a mental health specialist. The teams will provide training and case consultation to the field offices and to local contract agencies.
- During the first four months of Fiscal 2002, 19,004 families received preventive services, either directly or through contracted organizations, compared to a revised 16,370 families during the same period the previous fiscal year. This 16 percent increase is due to more available contract preventive services at the neighborhood level because of new and expanded contracts implemented in Fiscal 2001.
- From July to October 2001, 928 families were referred to Designated Assessment Services programs from Family Court Probation, compared to 790 during the same period in Fiscal 2001. The reason for the increase in referrals is currently under review by ACS. The goal of Designated Assessment Services/Persons In Need of Supervision (DAS/PINS) programs are to divert families with children under 16 years of age from the Court system through community-provided counseling services. In December 2000 the State legislature raised the eligible age for the PINS program from 16 to 18, which is expected to increase the PINS population. This legislation is expected to go into effect in July 2002.
- During the first four months of Fiscal 2002 the Cumberland Diagnostic and Treatment Center in Brooklyn, established in February 1998 by an agreement among DMH, the Health and Hospitals Corporation (HHC) and ACS, served 157 mothers and their families. The program is a substance abuse treatment program for mothers of children at risk of out-of-home placement. The program coordinates with other medical and mental health services, education, vocational training and other support services. Since the opening of the center, 74 mothers were reunited with their children.
- The Family Violence Prevention Project is a domestic violence initiative that provides group interventions to change the behaviors of abusive partners, including teen partners. Participating families are referred from the ACS Division of Child Protection and contracted preventive service programs. A three-year contract began in March 2000 with a nonprofit organization to provide domestic violence capacity-building services throughout ACS, as of the end of January 2002, 50 preventive programs are receiving ongoing training and education on how to determine whether there is domestic violence and provide appropriate services to families.
- In the first four months of Fiscal 2002 the housing subsidy program assisted a cumulative number of 1,319 families, compared to a revised number of 1,217 families during this period in Fiscal 2001. The housing subsidy program serves families with children in foster care and independent-living youth for whom the only obstacle to discharge from foster care is lack of or inadequate housing. The program also serves families with children where lack of adequate housing may result in placement into foster care. In Fiscal 2002 the housing subsidy program will assist a cumulative number of 1,500 families.

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- During Fiscal 2002 the Administration continues to collaborate with the Department of Housing, Preservation and Development (HPD), the New York City Housing Authority (NYCHA), and the State Department of Housing and Community Renewal (DHCR) to identify and address the housing needs of ACS families. In conjunction with these agencies, ACS has worked to secure housing through Section 8 Family Unification Vouchers program. These vouchers are used to avoid placement in foster care due to housing issues and for families with children in foster care where the only barrier to reunification is housing. In the first four months of Fiscal 2002, ACS has distributed vouchers to 20 families through its collaboration with DHCR and assisted 51 in conjunction with HPD. Since the program's inception in 1999, a total of 178 vouchers for housing through HPD have been distributed to ACS families.

Youth Development

- In December 2001 the Office of Youth Development (OYD) began to formulate strategies to reinforce families and youth development through a new ACS Youth Development Plan that will be circulated for comment by Spring 2002. The plan outlines all the strategies that ACS and its contract agencies will undertake to improve services for teenagers and their families.
- In collaboration with NYCHA, in June 2001 ACS expanded throughout the Agency a project to provide training to ACS staff and service providers on how to secure Section 8 vouchers and public housing for youth ages 18 to 21 who are about to be, or recently were, discharged from foster care. In the first four months of Fiscal 2002 ACS provided training to approximately 20 staff. From the program's inception in September 2000 through October 2001, ACS has submitted 588 Section 8 applications and 401 public housing unit applications to NYCHA for this population. The goal of the program is to submit applications for all qualified youth discharged from foster care.
- Through a contracted organization, in the first four months of Fiscal 2002 ACS trained an additional 28 staff on how best to provide appropriate and equal services for all gay and lesbian youth involved in child welfare, for a total of 444 ACS and contract agency staff trained. The training is mandatory for all child-serving ACS staff. ACS will continue to offer technical assistance to staff on this topic.

Foster Care

- During the first four months of Fiscal 2002 the average number of children in foster care was 28,644 including 7,463 children in kinship care. In comparison, there were 31,803 children in foster care, including 8,305 in kinship care, during this period of Fiscal 2001. The City's foster care population declined to 28,015 in December 2001, a 43 percent decrease since the record high of 49,163 in December 1991.
- In September 2001, ACS kicked off five neighborhood-based foster parent support groups, called Circle of Support; seven more groups are scheduled to begin before the end of June 2002. Circle of Support addresses both foster parent recruitment through positive word-of-mouth and the retention of foster parents. Focus groups and telephone surveys to collect attitudinal information about foster parenting began in December 2001 and will continue through Spring 2002. Based on the survey/group findings, marketing messages will be created and a media campaign will begin in Spring 2002.
 - In Fiscal 2002 the Agency is undertaking an initiative to support a foster parent recruitment campaign to recruit homes to keep sibling groups intact, allow children to remain in their own neighborhoods and make more homes available to adolescents. This funding provides foster parent support and supports the media campaign.

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- During the first four months of Fiscal 2002 ACS' OCACM staff attended Service Plan Reviews (SPRs) for 64 percent of the children whose cases OCACM monitors; Adoption Case Management staff attended SPRs for 88 percent of the children it monitors. SPRs assess the appropriateness of the child's permanency goal, outline the tasks that must be completed in order to discharge a child from foster care and determine the services needed to reach the child's permanency goal.
- Using data from the Program Evaluation System, in September 2001 ACS began working with 40 agencies on implementing improvement plans regarding parent and sibling visits for children in foster care. From May to September 2001 the ACS Centralized Sibling Unit (CSU) trained supervisory and management staff on ACS Sibling Policy and held conferences with foster care agency staff around sibling visit issues, in order to identify some barriers that impede the practice performance. In January 2002 CSU started meeting individually with contract agencies to develop a plan of action to address these barriers so that sibling visitations can be increased. A plan is expected to be developed by Spring 2002.
 - In October 2001 CSU completed the curriculum outline for training foster parents on the issue of sibling visits. Training is to be implemented in Spring 2002. Approximately eight individual contract agencies will be offered the training jointly for their foster parents and supervisory staff.
 - CSU and the Visiting Improvement Project Task Force has planned a Family Visit Seminar in Spring 2002, which will give contract agencies information and tools to facilitate managing sibling and parent visits as well as afford them the opportunity to share strategies on how to increase and document sibling visits.
- During Fiscal 2002 ACS continued an initiative, the Children of Incarcerated Parents Program (CHIPP), to help staff better serve foster care children whose parents are incarcerated. In Fiscal 2002 CHIPP will continue to facilitate visits and other forms of contact between children and their incarcerated parents. Since its inception in Fiscal 2000, this program has facilitated over 400 child-parent visits and involved over 40 different contract agencies.
 - The ACS Video Unit expects to complete a training video for caseworkers and foster parents regarding working with and caring for children of incarcerated parents in Calendar 2002. After completion of the video, CHIPP staff will start using the video to conduct staff training.

Medical Services

- In September 2001, three vendors were selected in response to an RFP issued in December 2000, to provide clinical consultation services on cases involving mental health, substance abuse and domestic violence issues, and to provide training and information regarding community resources to the Division of Child Protection and other ACS and contract agency staff. The contract is expected to be in place by Spring 2002.
- As of January 2002 ACS referred 64 children to the State Office of Mental Health's (SOMH) Home and Community-Based Services Waiver Program. Of the 45 children who are eligible to receive the waiver services, 22 are currently receiving them. Children who have serious and complex emotional needs receive intensive, in-home services to help them avoid residential placement and hospitalization. In Fall 2001 ACS drafted an operational protocol with SOMH that will be finalized in Fiscal 2002 and plans to implement training to foster care staff in Calendar 2002 to better identify and refer eligible children to the program.
- The final draft of ACS' congregate care substance abuse standards was delayed due to the events of September 11th and issued at the revised date of January 2002. ACS began developing policies and standards for the operation of substance abuse programs in direct and contracted congregate care facilities in January 2001.

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- In October 2001 ACS and the State Office of Alcoholism and Substance Abuse Services (OASAS) began training community-based organizations on implementing the Child Welfare and Substance Abuse Cross-Systems Operational and Communication Protocol developed in May 2001 by ACS, OASAS and community-based providers. During Fiscal 2002 ACS will incorporate training into the substance abuse curriculum used by the Satterwhite Academy for child welfare and substance abuse service providers.
- In Fall 2001, three nurse practitioners participated in ACS and NYU's collaborative program in which registered professional nurses in NYU's Nurse Practitioner Master's degree program provide assessment services to children entering foster care at ACS' Preplacement Intake Medical Unit. This collaboration began in March 2001 and is expected to continue into the foreseeable future.
- In August 2001 a dedicated mental health team from HHC's Bellevue Hospital Center, consisting of child and adolescent psychiatrists and psychologists, began providing mental health consultation and assessment services for children entering foster care through the ACS Children's Center preplacement office. A draft of the Operational Policy and Procedures Manual is currently being reviewed and is expected to be finalized by the program's Oversight Committee by the end of Spring 2002.
- In April 2000 HealthStat began providing uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, all City agencies and hundreds of community groups were mobilized to enroll eligible families and children in Child Health Plus and Medicaid. As a direct result of HealthStat activities, over 200,000 individuals have been enrolled in public health insurance programs.
 - ACS has incorporated HealthStat principles into several daily operating activities. Since December 2000 individuals who apply or request recertification for child-care services at each of ACD's Child-Care Resource Area Offices have been asked whether their children have health insurance. Parents indicating a need for children's health insurance are referred to an on-site enroller for assistance with health insurance applications. From December 2000, when the program began, to January 2002 ACD has initiated over 1,500 applications.
 - In August 2001 ACS' Office of Child Support Enforcement (OCSE) sent out a mailing to approximately 250,000 custodial parents with active child support cases. The mailing provided information about child health insurance enrollment at OCSE borough offices. From September 2001 to January 2002 enrollers have been stationed at the four borough offices, covering all five boroughs, and have initiated 206 applications.
 - In September 2001 ACS' Division of Legal Services began working with the Office of Court Administration to do outreach and enrollment in Family Court in the Bronx, Brooklyn, Manhattan and Queens. Enrollers are stationed in the four Family Courts and have initiated over 340 applications as of the end of January 2002.
- In September 2001 ACS began providing developmental and mental health screening and assessments to children in direct foster care programs starting with children entering care, children with suspected mental health and developmental issues, and infants and toddlers in the Brooklyn and Queens Division of Foster Care Services (DFCS) offices. Thirteen graduate students of social work, supervised by a revised two field instructors, are providing screenings, making referrals for further assessment and mental health services, and providing short-term counseling for children awaiting treatment.

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Quality Improvement

- Between July and October 2001, Supervisory Conferences (SupCon) were held with a total of 21 DCP supervisors and 12 DCP managers citywide. Results from the SupCon reviews demonstrate an increase in documented supervisory reviews and conferences within the first seven days of an investigation. In addition, these results revealed evidence of increased diligence by following up on supervisory directives previously given. These improvements are attributed to the implementation of the new Division of Child Protection Casework Practice Guide and the reinforcement of supervisory practices outlined in the guide during SupCon reviews. In Fiscal 2001 the Office of Quality Improvement initiated conferences in DCP and DFCS.
 - In November 2001 ACS released the results of a case review analyzing 96 cases from ACS' Brooklyn Office of the Division of Foster Care Services. The Brooklyn office was selected in April 2001 to implement a set of uniform guidelines for supervision throughout the life of a case, along with indicators and measures of supervisory involvement. The results revealed that although caseworkers assessed and monitored the safety of children in their care, increased supervision is necessary to monitor the timely provision of a wide range of services to ensure safe permanent homes for children currently in foster care.

Adoptions

- During the first four months of Fiscal 2002, 653 adoptions were finalized, compared to 621 adoptions during the same period in Fiscal 2001, an increase of 5 percent.
- From the inception of the pre-adoption conferences program in May 2000 through October 2001, 115 pre-adoption conferences for 145 children were held by the Direct Foster Care Services Unit, including 118 children whose foster parents want to adopt them and 11 siblings reunited in pre-adoptive homes following different foster care placements.
 - The objective of the pre-adoption conference is to ensure that the foster child and foster family are adequately prepared and supported in their decision to adopt, minimize risk of disruptions and replacements into foster care, and effect a smooth transition of the foster child into a permanent adoption.
- During the first four months of Fiscal 2002 post-adoption services were provided to 23 families, including 38 children. The Post-Adoptive Services program became operational in May 2001 in the Office of Adoption Services with the objective of providing services and information to empower adoptive parents to address their family's specific needs, providing lifelong outreach to adoptive families and facilitating use of community resources throughout the adoption process.

CHILD-CARE/HEAD START SERVICES

- During the first four months of Fiscal 2002, 73,255 children were enrolled in ACS child-care programs, including 57,280 children in ACS' Agency for Child Development contracted or voucher care programs and 15,975 children in Head Start programs. In comparison, there were a revised 69,878 children enrolled in ACS child-care programs, including 54,377 children in ACD contracted or voucher programs and a revised 15,501 in Head Start programs during the same period in Fiscal 2001.

ADMINISTRATION FOR CHILDREN'S SERVICES

- In December 2001 the final reform plan for child-care and Head Start services, "Counting to 10: New Directions in Child Care and Head Start," was released. The plan addresses professional development, facilities, quality improvement, innovative program models, family engagement and fiscal issues, and is an integral part of the Renewed Plan of Action for the Agency. In September 2000 ACS convened a subcommittee of the Commissioner's Advisory Board to draft the reform plan.

Child Care

- During the first four months of Fiscal 2002 ACD continued an ongoing expansion of publicly subsidized child care begun in Fiscal 2000, using additional federal Child Care Block Grant funds, which will enable a revised number of 12,531 additional children to receive subsidized child care through the expansion of existing contracts, new contracts and the issuance of additional vouchers.
- At the end of October 2001 a total of 17,756 children were enrolled in voucher programs.
 - For the first time ever, in Fiscal 2002 ACD made vouchers available to children graduating from preschool programs where no after-school programs were offered. Of approximately 1,800 eligible children, vouchers were requested and issued for 538 children; and 95 children enrolled elsewhere, where after-school programs were offered.

Head Start

- In October 2001 ACS Head Start amended contract agency budgets to use \$4.5 million in federal quality enhancement funds for the conversion of 1,172 part-time Head Start slots to full-day slots. Conversions have been implemented as contract agencies were able to identify and hire staff, and as necessary facility renovations were completed. A total of 1,672 slots have been converted using federal funds. The number of conversion slots in service as of October 2001 is approximately 560.
 - Quality enhancement funds are allocated by Congress and made available to Head Start grantees to improve program quality. Guidance is provided by the Federal Department of Health and Human Services, which identifies allowable uses for the funds. A minimum percentage of the funds must be used for salary and fringe benefit increases, and the remaining funds may be used for other quality improvements.

CHILD SUPPORT ENFORCEMENT

- During the first four months of Fiscal 2002 the ACS Office of Child Support Enforcement (OCSE) collected approximately \$146.5 million in child support payments for City and non-City families, an increase of 3.2 percent compared to \$142 million during the same period in Fiscal 2001.
- During the first four months of Fiscal 2002 OCSE continued the mandatory employment program begun in September 1998 with the Human Resources Administration's (HRA) welfare-to-work program. Three of HRA's contract agencies provided employment services to child support respondents on an ongoing basis, resulting in 101 noncustodial delinquent respondents being placed in mandatory work programs during the first four months of Fiscal 2002. Of the 101 placed, 11 began paying child support, 20 were referred to court for violations, and the remaining respondents are still under review. The mandatory employment program is based on changes in State law that permit family courts to require a parent of a child receiving public assistance (PA), who is delinquent in making child support payments, to participate in work programs. Since the program's inception, nearly 1,000 noncustodial parents have been referred to the program by the Family Court.

ADMINISTRATION FOR CHILDREN'S SERVICES

- In Fiscal 2002 OCSE will expand the mandatory employment program to include any non-custodial parent, whether the subject child is receiving PA or not receiving PA. The program will be renamed Support Through Employment Program (STEP). STEP will provide additional employment services and training assistance through participating community organizations and will be mandatory if ordered by a Family Court Hearing Examiner when the parent claims inability to comply with the order. In February 2002 STEP began with cases at OCSE Court Services and Manhattan Family Court, and if successful, the program will be implemented in Queens Family Court in Fall 2002 and then phased in over the next few years at the remaining Family Courts and OCSE units that serve noncustodial parents.
- During the first four months of Fiscal 2002 paternity was voluntarily acknowledged for 14,913 children or 79.3 percent of all out-of-wedlock births in the City. These acknowledgements occurred both in the hospital and after parents left the hospital. During Fiscal 2002 the OCSE Paternity and Community Outreach Unit, established in August 1999, continues to work closely with hospitals and the Department of Health to do outreach and intensify its focus on pregnant women and noncustodial parents.
 - As of October 2001, one additional birthing center signed contracts with the State, through which hospitals are entitled to receive enhanced training and a \$20 payment from the State for each voluntary acknowledgement of paternity completed by unmarried parents, for a total of 44 of the 49 birthing centers citywide. Of the remaining five birthing centers, one declined participation in the program and OCSE is currently conducting outreach with the other four centers.
 - During the first four months of Fiscal 2002 OCSE expanded efforts to increase willingness among noncustodial parents to establish paternity and pay child support. In partnership with OCSE, community-based organizations provided approximately 100 low-income fathers with information about the child support process and employment services.
- During the first four months of Fiscal 2002, OCSE continued to work with HRA to improve the appearance rate among PA clients at support and paternity hearings. In January 2001 OCSE and HRA established a sanction unit in its Court Services Unit staffed by HRA's Family Independence Administration. From July through December 2001, 938 sanctions were imposed and 216 sanctions were lifted.
- In Fiscal 2002 OCSE and HRA continue to provide child support assistance services to clients moving off public assistance in the upcoming months because of the five-year limit mandated by the federal Personal Responsibility and Work Opportunity Reconciliation Act of 1996, the welfare reform act. In October 2001 OCSE completed all activities related to providing services to clients moving off public assistance in January 2002. From April to October 2001 OCSE called in approximately 6,000 public assistance clients previously unknown to the child support system in order to help them develop child support cases. In addition, approximately 13,500 cases without support orders were referred for location investigation to determine the whereabouts of the noncustodial parent, which resulted in approximately 3,800 noncustodial parents being located. OCSE also reviewed approximately 16,000 support order cases for enforcement through court action, if payments were not being made, or modification of payments according to updated wage data. OCSE is developing procedures to handle public assistance clients with child support services as they continue to move off public assistance.
- From January to October 2001, 18,950 leads regarding the location of noncustodial parents for former public assistance cases without support orders were identified, of which approximately 9,000 were verified. As leads were identified, OCSE sent letters to the custodial parents to begin the process to obtain child support.

ADMINISTRATION FOR CHILDREN'S SERVICES

- In November 2001 OCSE expanded the automated Residential Mail-Out System (RMS), which is used to verify noncustodial parent address leads received from automated search processes to include verification of addresses for former and non-public assistance cases. The RMS was also augmented to allow mailings to multiple address leads to better locate noncustodial parents. The location information obtained will be used for court referrals and enforcement.
- In response to problems establishing and enforcing child support orders in Family Court, in February 2002 OCSE, the State Division of Child Support Enforcement and the Office of Court Administration (OCA) began a pilot project to expedite the court process for support order establishment. The project includes new joint OCSE/OCA child support intake at Family Court, summons service by priority mail, expedited court hearing dates, the routine introduction into evidence, and use of Child Support Management System (CSMS) financial data and default orders when parents do not attend court hearings.
- In the first four months of Fiscal 2002 ACS/OCSE continued to improve their customer service operations in order to better serve their clients.
 - In August 2001 renovations to reception, interview and waiting areas in the OCSE walk-in center were completed except for installation of a metal detector and X-ray machine, which are expected to be installed by the end of Fiscal 2002. The renovations will allow the center to better accommodate the increasing child support caseload. In addition, in December 2001 ACS/OCSE completed installation of an electronic queuing management system, which will help decrease customer waiting time and permit a more efficient use of staff.

TECHNOLOGY

- In Fiscal 2002 ACS is continuing to ensure that the implementation of the remaining case management and financial management functions into the CONNECTIONS system, scheduled for completion by the revised date of June 2004, meets the needs of the City's child welfare system. In Fiscal 2002 ACS staff joined with representatives from other local districts and the State Office of Children and Family Services (OCFS) to review State and federal requirements under the federal Statewide Automated Child Welfare Information System (SACWIS). OCFS has convened six workgroups for this project to produce recommendations for completing the CONNECTIONS system, the New York State version of SACWIS.
- In January 2002 ACS' Medical Services Office completed the design of the second phase of the Health Information Profiling System and will continue working on the development of the system throughout Fiscal 2002. The second phase includes an appointment tracking function, access to historical medical information about children in care, medical document scanning capability, and interfaces to City and State health database systems. The second phase is expected to be completed by December 2002. This application provides a health summary of all children in foster care. Information is available online to enable contract agencies to monitor the medical status of children in their care. The first phase was implemented in December 2000.
 - As part of its strategy to improve access to community-based medical, developmental, substance abuse, mental health and domestic violence providers, the Office of Medical Services Planning is developing an application to enable ACS field staff and contract agencies to search for local health care providers via the Internet. A prototype for this system was completed in January 2002 and the database is expected to be fully operational by December 2002.
- In February 2002 the Agency launched the New ACS Adoption Web Site, enhanced with an online database of photographs and biographies of children available for adoption. Prospective parents can inquire about specific children directly via email to the Parent Recruitment and Expedited Permanency Hotline.

ADMINISTRATION FOR CHILDREN'S SERVICES

- The number of visits to the Agency's Web site increased from 73,302 during the first four months of Fiscal 2001 to 200,988 during the same period in Fiscal 2002, a 174 percent increase.
- During Fiscal 2002 ACS/OCSE continues to upgrade and expand its computer Network to ensure that all child support staff have a computer on their desk to integrate the City and State networks, and establish electronic case records via document imaging. As of October 2001 OCSE has a total of 383 desktop computers. It is expected that the City and State networks will be fully integrated and accessible via these computers by the end of March 2002. In addition, OCSE plans to phase in an additional 575 computers starting in March 2002 and ending by July 2002. These additional computers will help increase access to the City network for all areas of OCSE and enhance its communication and reporting capabilities. Access to the State's CSMS legacy software will be part of this initial effort. Integration of these additional computers with the State ASSET\$ system will take place at a later date, to be determined with the State Child Support Office.
 - In Fiscal 2001 OCSE began development of a system to create electronic imaging of case records to increase the number of cases referred to court and improve the success rate in court. In March 2001 the initial requirements analysis phase of the project was completed internally. The next phase, which will include specifications for development of the online system, and procurement of software development and scanning services, is expected to begin following completion of the full network expansion in September 2002.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Agency's expenditures were \$1.4 billion, compared with its plan of \$1.6 billion. The Agency's Fiscal 2001 expenditures were \$2.3 billion.
- The City's Financial Plan of February 2002 outlines \$13.4 million in Fiscal 2002 and \$24.9 million in Fiscal 2003 in expenditure increases and re-estimates, primarily from foster care rate increases. The City's Financial Plan of February 2002 also outlines expenditure savings of \$125.5 million in Fiscal 2002 and \$127.5 million in Fiscal 2003 primarily through the postponement of funding for child-care expansion slots. The Agency has planned expenditures of \$2.3 billion in both Fiscal 2002 and Fiscal 2003.

ADMINISTRATION FOR CHILDREN'S SERVICES

LONG-TERM TRENDS IN AGENCY OBJECTIVES

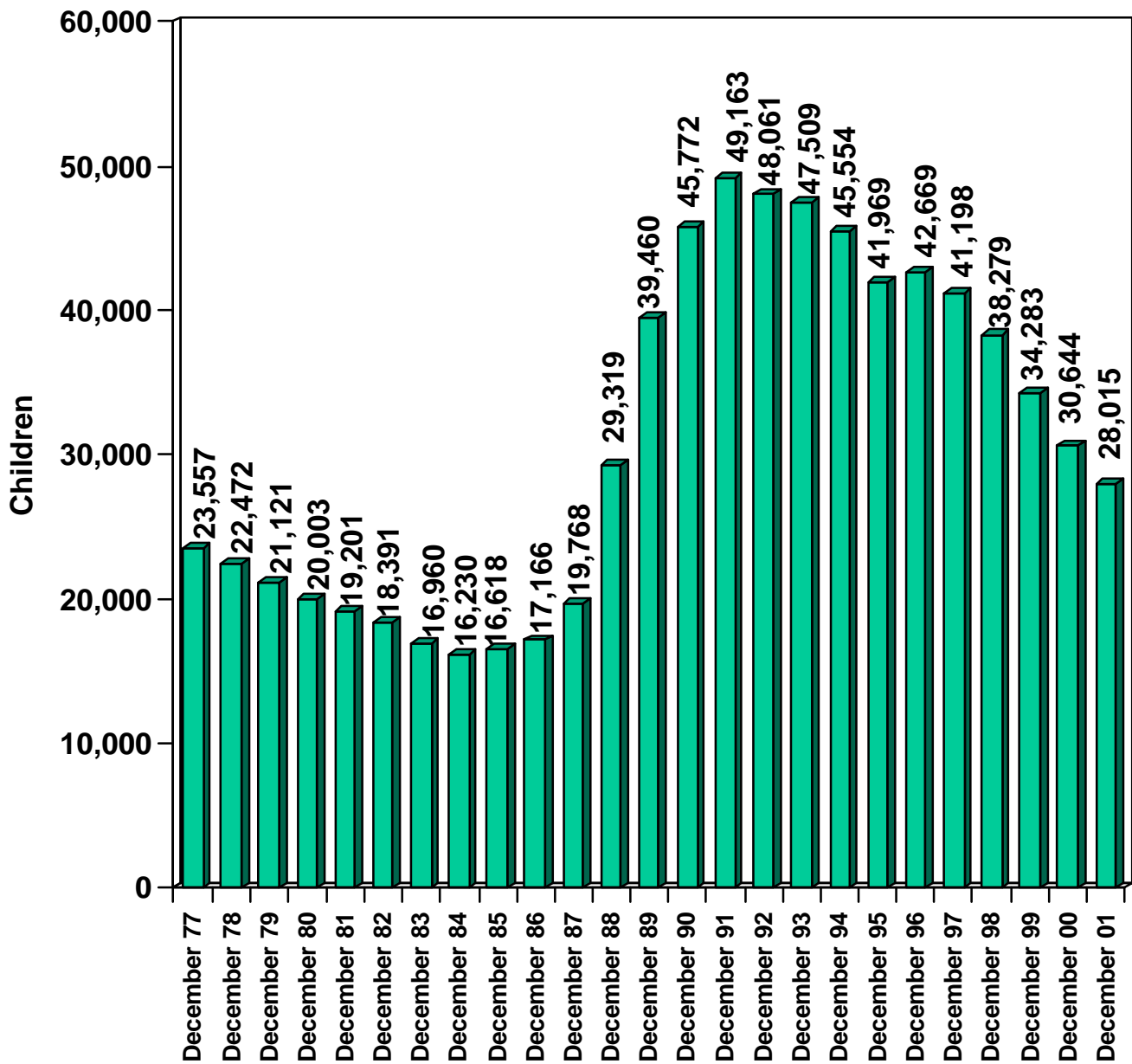
	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Abuse and Neglect Reports Responded to Within One Day Following Report to State Central Register (ACS Internal)	98.6%	97%	97.1%	97.8%	97%	98.6%	95.7%
Abuse and Neglect – New Cases per Worker per Month (End of Period)	7.3	7.3	7.8	6.7	6.9	7.6	6.3 (a)
Children Adopted	4,009	3,848	3,800	3,148	2,715	621	653
Total Enrollment in ACD-Subsidized Child Care (b)	58,927	63,613	59,743	56,549	61,533	54,377	57,280
Head Start Enrollment	16,239	17,710	17,409	17,356	17,148	15,501 (c)	15,975
Child Support Collected – Public Assistance (000)	\$100,746	\$101,240	\$97,849	\$99,673	\$96,504	\$32,453	\$26,717 (d)
Child Support Collected – Non-Public Assistance (000)	\$182,843	\$216,605	\$253,848	\$303,974	\$350,398	\$109,457	\$119,803
New Support Orders Obtained – Public Assistance	13,881	15,813	11,746	11,164	8,354	2,877	2,120 (d)
New Support Orders Obtained – Non-Public Assistance	7,434	9,857	11,410	12,225	12,580	4,088	3,967

- (a) The decrease in average number of new cases per Child Protective Specialist per month is due to the increased number of Child Protective Specialists during the reporting period.
- (b) This indicator name has been aligned with the title as it appears in Volume II of the Mayor's Management Report.
- (c) Data for this indicator has been revised to reflect the most current and accurate information.
- (d) The continued decline in child support collected for public assistance (PA) clients and public assistance support orders obtained are the result of the general decline in the PA caseload.

Administration for Children's Services

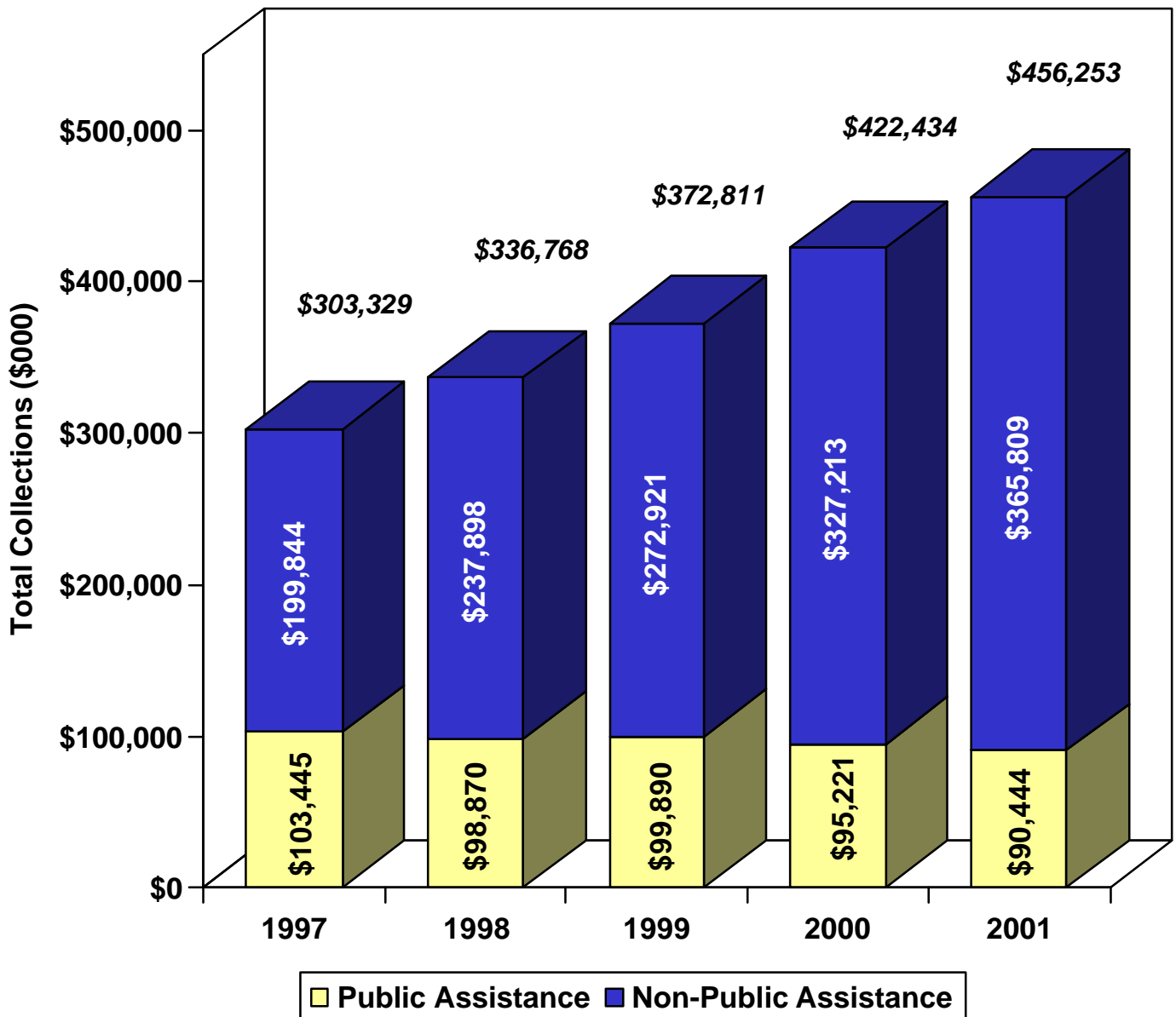
Foster Care Population Point in Time

December 1977 - December 2001



Administration for Children's Services

Total Child Support Collections* Calendar 1997 - 2001



*Figures include both NYC and Non-NYC families.

DEPARTMENT OF HOMELESS SERVICES

The Department of Homeless Services, in partnership with public and private agencies, provides temporary emergency shelter for eligible homeless people in a safe, supportive environment. The Department provides outreach services to people living in public places, determines eligibility for emergency housing services, assesses client service needs and offers services to enable people to assume responsibility for achieving the goal of independent living.

GOALS AND OBJECTIVES

Goal: Provide emergency housing to eligible families and single adults who have no other housing options; assess client needs to provide more specialized services.

Objective

Provide temporary housing to an average of 6,858 families each day in Fiscal 2002 and 7,870 families in Fiscal 2003.

Provide temporary housing to an average of 7,743 single adults each day in Fiscal 2002 and 8,002 single adults in Fiscal 2003.

Goal: Provide comprehensive eligibility reviews for families seeking Agency services to determine their need for temporary housing accurately and promptly.

Objective

Ensure that no families requesting temporary housing at the Emergency Assistance Unit are processed outside the court-mandated 24 hours after arrival in both Fiscal 2002 and Fiscal 2003.

Ensure that all families complete the eligibility review process within 10 days of arrival at the Emergency Assistance Unit in both Fiscal 2002 and Fiscal 2003.

Goal: Provide services more effectively by contracting for the operation of New START Centers and offering more specialized programs.

Objective

Continue implementing and refining the performance-based incentive program for all New START Centers, drop-in centers and outreach teams in both Fiscal 2002 and Fiscal 2003.

Continue the process of contracting for the operation of the Bedford Atlantic Men's New START Center, the Brooklyn Women's New START Center, 68 Lexington Women's New START Center and the Franklin Avenue New START Center.

Goal: Assist homeless families and single adults with their move from the New START Center system to independent living.

Objective

Relocate families to 3,930 units of subsidized housing in Fiscal 2002.

Relocate single adults to 1,350 units of subsidized housing in Fiscal 2002.

Place a revised total of 36 additional families through the Family Rental Assistance Program and a revised total of 198 additional single adults through the Rental Assistance Program in Fiscal 2002.

DEPARTMENT OF HOMELESS SERVICES

Goal: Provide services more efficiently through the use of new and improved technology in the New START Center system.

Objective
Implement the first and second phases of the Client Tracking System by a revised date of March 2002 and implement the third and final phase by a revised date of March 2003.
Connect all directly operated New START Center sites to the Department's Wide Area Network (WAN) by the end of first quarter Fiscal 2002 and connect at least 60 contracted New START Center sites to the WAN by the end of third quarter Fiscal 2002.
Complete development of the Claiming Report System software application by January 2002.

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- In the aftermath of September 11th, the Department of Homeless Services (DHS) ensured that all outreach teams, drop-in centers and New START Centers had sufficient supplies to continue to provide services to homeless families and single adults without disruption. This response included one family New START Center, one single adult New START Center and one drop-in center located in the area below Canal Street, all of which continued to operate without disruption in services throughout September 11, 2001 and the following weeks.
- The Department assisted during the events of September 11, 2001 by providing staff and supplies such as beds, mattresses, sheets, blankets, pillows and chairs for the Family Assistance and Command Centers.
- DHS sustained minor damage to its computer systems due to power outages at the administrative offices immediately following September 11, 2001. The systems were repaired during October 2001. In the meantime, all data was collected manually and was input into the system once it was repaired, ensuring minimal data loss. Data entry and quality assurance checks were completed by the end of December 2001.

PRIVATIZING NEW START CENTER OPERATIONS

- During the first four months of Fiscal 2002 DHS continued to move forward with plans to replace the 30th Street Men's New START Center in Manhattan with smaller contracted facilities and relocate DHS operations at this site, such as systemwide men's intake and outreach, as well as transportation to Camp La Guardia. Privatization of the Department's facilities has allowed DHS to improve the quality of services to clients by creating smaller facilities that allow a more direct and personal relationship with clients and more specialized services to meet clients' specific needs. The 30th Street facility will be phased out gradually. A facility operated by a nonprofit contractor to replace 400 of the 850 beds is expected to be open by the end of Fiscal 2003. The remaining beds and services will be replaced through the Request for Proposals (RFP) process.

DEPARTMENT OF HOMELESS SERVICES

NEW INITIATIVES

- By September 2001 the Department expanded the Step Forward Project to a total of 10 New START Centers, one more than planned. Six of the 10 facilities are actively participating in the program, and the remaining four facilities have implemented the program but have no eligible clients in their facilities. The project, which began in September 2000, is a voluntary program to help mentally ill clients resolve outstanding violation and low-level misdemeanor warrants through community service or participation in mandated appropriate social services, such as mental health treatment, counseling or group therapy. The project is a collaborative effort among the Midtown Community Court of the New York City Criminal Court, the New York City Police Department Warrant Squad and nonprofit New START Center providers.

INCREASING MANAGEMENT EFFICIENCY

- During the first four months of Fiscal 2002 the Department continued to streamline and update its incentive payment program that rewards providers financially for exceeding specific outcomes. Goals include placements into permanent housing, substance abuse programs, mental health and medical facilities, or other programs to address client needs; placement of the chronically homeless; and employment placements.

FAMILY SYSTEM AND SUPPORT SERVICES

- During the first four months of Fiscal 2002 the Department provided temporary housing to an average of 6,474 families each day, compared to 5,291 families each day during the same period in Fiscal 2001, a 22 percent increase.
- During the first four months of Fiscal 2002 the Department's 24-hour, seven-day-a-week automated hotline received 21,743 calls, compared to 18,150 calls during the same period in Fiscal 2001, a 20 percent increase. The increase in callers is reflective of the larger number of families and individuals entering the DHS system. The hotline provides information to callers in both Spanish and English on how to access DHS services for homeless families and single adults.

HOMELESS PREVENTION AND ELIGIBILITY SCREENING

- Local Law 19 requires that families with children applying at the Emergency Assistance Unit (EAU) by 10 PM are provided with overnight sleeping accommodations and returned to EAU the next morning.
 - During the first four months of Fiscal 2002 an average of 81 families applied for temporary housing at EAU each day and an average of 11 families with children spent the night at EAU. This compares to 65 families applying to EAU each day and four families spending the night during the same period in Fiscal 2001. The increase in the number of families applying for temporary housing at EAU made it more difficult for the Department to conditionally place families during the process of application and eligibility investigation.
 - The Department continues to review and evaluate the reasons for the increased number of requests for temporary housing at EAU during the first four months of Fiscal 2002. Throughout the fiscal year the Department will continue to increase conditional capacity with appropriate conditional placement facility units to ensure that families with children do not spend the night at EAU. Conditional Placement Facilities accommodate families during their eligibility investigation and those found eligible awaiting placement into Tier II facilities.

DEPARTMENT OF HOMELESS SERVICES

SINGLE ADULT SYSTEM AND OUTREACH SERVICES

- During the first four months of Fiscal 2002 the Department provided temporary housing to an average of 7,456 single adults each day, compared to 6,826 single adults each day during the same period in Fiscal 2001, a 9 percent increase. The Department will ensure that sufficient capacity is available to accommodate demand.
- During the first four months of Fiscal 2002 outreach efforts resulted in 5,966 referrals for services and 2,172 placements in temporary housing, compared to 6,847 referrals for services and 1,685 placements in temporary housing during the same period in Fiscal 2001. Services to which referrals are made include medical treatment, a soup kitchen or food pantry, or a drop-in center; placements represent admission of individuals to temporary housing facilities, such as substance abuse treatment facilities, drop-in centers, medical or mental health facilities or New START Centers. The increase in placement reflects increased outreach efforts. For both referrals and placements to be counted, verification must be provided to the outreach provider that the individual arrived and, when appropriate, stayed. Outreach is provided by DHS directly and by six teams run by three nonprofit providers.
- In November 2001 the Department held its fourth annual outreach conference entitled, "2001: Millennium Journey." The conference provided an opportunity for more than 350 participants representing DHS staff and outreach providers, including providers from other cities and countries, to discuss best practices and exchange ideas related to providing services to homeless individuals living on the street and in other public spaces.

APARTMENTS FOR HOMELESS FAMILIES AND INDIVIDUALS

- During the first four months of Fiscal 2002 the Department relocated 1,287 families and 412 single adults to permanent subsidized apartments, compared to 1,269 families and 444 single adults placed during the same period in Fiscal 2001.
- During the first four months of Fiscal 2002 DHS continued to work on the "Rehousing Reengineering" system. The Department will complete the third phase of the system, an automation of the current manual system used by the Rehousing unit to process landlord and family applications to the Emergency Assistance Rehousing Program (EARP), by a revised date of March 2002. Implementation was delayed due to new requirements in the system as a result of DHS' expanding role in EARP. The first two phases of the Rehousing Reengineering system were completed by January 2002. EARP uses financial incentives for landlords to assist homeless families in relocating to private apartments.
- The Family Rental Assistance Program (FRAP) and the Rental Assistance Program (RAP) assist homeless families and individuals that have demonstrated their ability to earn sufficient income to assume responsibility for rent payments in locating and retaining permanent housing in the private market by providing rent subsidies and supportive services for up to 24 months.
 - During the first four months of Fiscal 2002 the Department placed 12 families through FRAP and 33 single adults through RAP. Additional single adults will continue to be placed through RAP in Fiscal 2003, but the FRAP program will only place families through the end of Fiscal 2002 due to lack of participation in the program.
- The New York/New York II housing program, established in 1999, is a joint City/State initiative to create 1,500 additional housing units in the City for homeless mentally ill individuals over a five-year period. In addition to the 500 rental units delivered to date, the first 11 units to be constructed under the City's capital commitment opened during the first four months of Fiscal 2002. Before the end of Fiscal 2002 the State expects to construct and open its first 15 units.

DEPARTMENT OF HOMELESS SERVICES

- The last of the six funded projects under the DHS/HPD \$21 million Single Room Occupancy capital loan project was completed in December 2001. Completion of the last project was postponed one month due to a delay in safety inspections as a result of increased demands placed on the Fire Department of the City of New York after September 11, 2001. The six projects created 304 new units of permanent housing for needy and homeless adults.

TECHNOLOGY

- In Fiscal 2001 the Department began design of the database and programs for the new Client Tracking System (CTS). The first two phases of the system will be completed by a revised date of March 2002. The system formerly referred to as the Payments to Provider system is now part of Phase II of CTS. The first phase of CTS will replace the Homeless Emergency Referral System (HOMES), the family management information system; the second phase will replace the HOMES Billing, the payments to provider system; and the third phase will replace the Single Client Information Management System (SCIMS), the single adult management information system. CTS will be fully operational by a revised date of March 2003 when the final phase is completed. Delays are due to the complexity in creating a system that will be inclusive of the Department's existing system and the necessity of incorporating the payments to provider system into CTS in order to meet State reimbursement requirements. The Department continues to use its existing system until the new one is completed.
- During the first quarter of Fiscal 2002 the Department completed the transition to the Claiming Report System, earlier than planned. The Claiming Report System is an internal-use software program that provides a wide range of information to assist in program planning and policy development by generating public assistance reports and State reimbursement reports. This allows the Department to set its own priorities and timetables for making changes to the reports in response to new regulations and court-ordered mandates.
- During the first four months of Fiscal 2002 the Department continued to redesign its Personal Computer LAN/WAN network structure. The remaining directly operated sites were connected by the end of the first quarter of Fiscal 2002, as planned. At least 60 contracted sites will be connected by the end of the third quarter of Fiscal 2002. This redesign and upgrade will improve network speed, functionality and connectivity to internal DHS users, other City and State agencies and outside organizations.

CUSTOMER SERVICE

- During the first four months of Fiscal 2002 the Department continued to offer special programs to residents of homeless facilities.
 - In July 2001 a total of 100 children received scholarships to a summer gymnastics program, where they attended workshops twice a week for six weeks. The children were given workshops in tumbling, rhythmic gymnastics and trampoline from Olympic-level instructors. The children were able to display the skills they acquired at a celebration with special guest sport celebrities, family and friends. This is the fourth year that this event was offered.
 - In July 2000 the Department began collaborating with the Museum of the City of New York on a variety of events for homeless children and their parents. Two hundred fifty clients visited the museum in July and August 2001. Activities included free guided tours of the museum, a tour of Central Park hosted by the Urban Park Rangers and special musical performances held in the museum theater.

DEPARTMENT OF HOMELESS SERVICES

- In August 2001 performances and hands-on educational workshops were once again offered by a nonprofit arts organization at Marcus Garvey Park in Harlem. Escorted by participants in the Department of Citywide Administrative Services' Government Scholars program, DHS was able to quadruple the number of children attending the series to approximately 400. The children saw performances by groups from all over the world and were instructed in graphic and theater arts by top artists in the City.
- During the first four months of Fiscal 2002 there were 33,848 visits to the Department's home page on NYC.GOV, the City's official Web site, compared to 13,981 visits during the same period in Fiscal 2001. This 142 percent increase is due in part to a large increase in the public's demand for information about City services in the weeks following the World Trade Center disaster.

FINANCIAL PLAN

- In the first four months of Fiscal 2002 the Department's expenditures were \$322.4 million, compared with its plan of \$250.6 million. The Department's Fiscal 2001 expenditures were \$475.7 million.
- The City's Financial Plan of February 2002 outlines \$28.8 million in Fiscal 2002 and \$39 million in Fiscal 2003 in expenditure increases and reestimates, primarily for expanded shelter capacity. The Financial Plan also outlines \$13.8 million in Fiscal 2002 and \$30.1 million in Fiscal 2003 in programmatic and expenditure savings, primarily from savings from contracted adult and family services and the consolidation of medical services at assessment centers. The Agency has planned expenditures of \$549 million for Fiscal 2002.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul- Oct 2000	Jul- Oct 2001
Families at the Emergency Assistance Unit for over 24 Hours	NI	0	3	8	23	26	37
Families in New START Centers (Average per Day)	5,325	4,508	4,802	5,029	5,563	5,291	6,474 (a)
Families Relocated to Permanent Housing	4,285	4,178	3,569	3,787	3,349	1,269	1,287
Adults Relocated to Permanent Housing	1,407	1,236	1,337	1,439	1,404	444	412
Total Adults Lodged per Night	7,119	6,996	6,775	6,792	7,187	6,826	7,456

- (a) During the first four months of Fiscal 2002, the increase in the average number of families per day in New START Centers was expected and is reflected in the Fiscal 2002 Plan.

DEPARTMENT OF EMPLOYMENT

The Department of Employment, in partnership with the Local Workforce Investment Board, its legislatively mandated oversight board, implements and oversees a workforce development system of occupational assessment, skills training, educational remediation and job placement for City residents. This system helps to develop a qualified workforce for the City's businesses through One-Stop Centers, individual training accounts, and contracts with private and nonprofit service providers. The Department primarily provides employment-related services to dislocated workers and in-school and out-of-school youth. The Department also works closely with the Human Resources Administration to provide employment-related services to adults and public assistance recipients.

GOALS AND OBJECTIVES

Goal: Work with the Local Workforce Investment Board and One-Stop partners to continue to implement the City's workforce system for dislocated workers and youth under the federal Workforce Investment Act.

Objective

Continue to work with the Local Workforce Investment Board and legislatively mandated partners to expand the One-Stop System and Individual Training Account system during Fiscal 2002.

Goal: Provide training and employment opportunities for dislocated workers.

Objective

Provide core and intensive services at the Worker Career Centers under the Workforce Investment Act to a revised 11,400 dislocated workers in Fiscal 2002.

Provide intensive, customized and on-the-job training services to 2,892 dislocated workers and special populations and achieve a 70% job placement rate in Fiscal 2002.

Goal: Prepare City youth for entry into the workforce by providing educational, training and employment opportunities.

Objective

Provide occupational and work-readiness skills training to 1,960 out-of-school/older youth ages 16 to 21 under the Department's youth occupational training program, achieving a placement rate of 54% and a credential attainment rate of 38% in Fiscal 2002.

Provide summer job opportunities and educational and support services to 50,000 youth through the Summer Youth Employment Program and Job Opportunities for Youth Programs in Fiscal 2002.

Provide work-readiness training, leadership development, career exploration, instructional and tutorial educational courses, support services, and summer work experience opportunities to a revised 11,480 in-school/younger youth under the Department's In-School Youth Program in Fiscal 2002.

Goal: Improve program performance monitoring and participant data and grant management reporting capability.

Objective

Continue to modify the Automated Case Management System to satisfy participant record keeping and reporting requirements for the Dislocated Workers and Youth programs of the Workforce Investment Act in Fiscal 2002.

DEPARTMENT OF EMPLOYMENT

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- Immediately following the World Trade Center disaster on September 11th, the Department of Employment (DOE) worked jointly with the Human Resources Administration (HRA) in the design, development and implementation of emergency dislocated worker services, including the Twin Towers Job Link project, to both receive job listings from businesses seeking employees and reemploy individuals displaced by the disaster. Since September 2001 the Department has provided services through two Twin Towers Job Link Centers in Manhattan and Queens, and worked jointly with the Economic Development Corporation and HRA to operate the Twin Towers Job Link Business Hotline. As part of its Rapid Response services, the Department also provided direct services, including career counseling and presentations to affected workers on available benefits. From September to December 2001, 2,718 dislocated workers have been served through the Twin Towers Job Link Centers and 4,577 job postings have been received through the Twin Towers Job Link Business Hotline.
- Using a federal National Emergency Grant, in September 2001 the State Department of Labor (SDOL) selected 14 DOE dislocated worker service providers to offer job placement services to workers dislocated as a result of the World Trade Center disaster. The contracted services began September 2001 and will operate for one year. The Department will work with SDOL to coordinate the Agency's dislocated worker services with the State emergency services by ensuring that customer data is tracked and identifying how the dislocated workers will be best served.

WORKFORCE INVESTMENT ACT

- In Fiscal 2002 the City entered the second year of the federal Workforce Investment Act (WIA). During the reporting period, DOE and its partners continued to implement the City's WIA system.
 - During the first four months of Fiscal 2002 the City's first full-service One-Stop Center located in Jamaica, Queens served 95 dislocated workers, compared to 81 during the same period in Fiscal 2001. The City's One-Stop Center became operational in July 2000, and provides services from 11 City, State and federal partner agencies and programs, including DOE, SDOL, the State Education Department, the Department for the Aging and HRA. The WIA-mandated partners provide a wide array of services, including job search assistance, job readiness workshops, skills training, and job placement for adults and dislocated workers. Employers interested in hiring workers can benefit from the One-Stop Center through recruitment assistance, screening and labor market information. The Request for Proposals (RFP) for One-Stop Centers in other boroughs was released in April 2001. Two additional One-Stop Centers in other boroughs are expected to have vendors in place by a revised date of the end of Fiscal 2002.

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Dislocated Worker Program

- During the first four months of Fiscal 2002 the Department served dislocated workers under WIA through the Jamaica One-Stop Center and the Worker Career Centers (WCCs), which operate as affiliated One-Stop Centers for dislocated workers. During the reporting period the Department registered 1,179 new dislocated workers and served a total of 6,319 dislocated workers, including 6,089 dislocated workers who registered for services through the WCCs. All participants received core services, 4,560 received intensive services and 507 were placed in jobs, compared to 6,050 registered dislocated workers and 1,017 job placements during the same period last fiscal year. The Department attributes the decrease in placements to the shift in WIA program policy in Fiscal 2002 toward working longer and more intensively with participants to ensure both job placement and retention.
 - Core services include initial assessment of skill levels and supportive service needs, job search and placement assistance, career counseling, and determination of eligibility for WIA employment or training services. Intensive services include comprehensive assessment, development of an individual employment plan, case management, career counseling and planning, short-term prevocational services, and follow-up and retention services.
- In August 2001 DOE issued an RFP to provide workforce development services to both job seekers and businesses through the WCCs under WIA. The due date for proposals was extended to October 2001 because of the closure of the Department's offices in Lower Manhattan following the World Trade Center disaster. DOE expects the five Worker Career Centers, one in each borough, to begin services in July 2002. To ensure uninterrupted service, the current WCC contract was extended for an additional six months through June 2002. The WCCs will continue to be affiliated One-Stop sites.
- Beginning in July 2001 the Department's retraining programs were replaced by new programs for dislocated workers. Ten providers began services in July 2001 and nine additional providers began in September 2001. The Department expects to serve 3,042 dislocated workers annually through these 19 contracts.
 - Training is provided to dislocated workers who meet the special population criteria under WIA, including language barriers, mental or physical disabilities, alcohol or substance abuse problems, low basic skills, homelessness, public assistance dependency, victims of domestic violence, or offender status. Six of the dislocated worker programs, including the Worker Career Center, are contracted to serve special populations.
- During the first four months of Fiscal 2002, 1,149 participants were registered in the Department's programs for dislocated workers, compared to 1,137 participants during the same period in Fiscal 2001. Of the total registered in the first four months of Fiscal 2002, 101 participants completed the programs, of which 90 participants, or 89 percent, were placed in full-time, unsubsidized jobs. In comparison, there were 434 participants who completed the program and 322, or 74 percent, who were placed in the same types of positions during the same period in Fiscal 2001. The Department attributes the decrease in placements to the shift in WIA program policy in Fiscal 2002 toward working longer and more intensively with participants to ensure both job placement and retention.
- During the first four months of Fiscal 2002 the Department established Individual Training Accounts (ITAs) and issued vouchers to 2,875 participants, compared to 769 participants during the same period in Fiscal 2001. The increase in vouchers issued is due to the Workforce Investment Act's emphasis on customer choice through the use of vouchers. The Department plans to establish 4,000 ITAs for participants by the end of Fiscal 2002.

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- In the first quarter of Fiscal 2002 ITA-funded training continued to be available in areas such as appliance repair, automotive repair, bookkeeping, carpentry, commercial driving, computer sciences, culinary arts, home health care, Internet technology, medical billing, nursing, plumbing, real estate sales and travel services. Tuition assistance vouchers allow participants to attend training programs of their choice. Training providers accepted onto the Eligible List of Providers (ELP) can receive WIA funds through ITAs.
- Beginning July 2001 DOE's dislocated worker service providers were able to establish ITAs for their customers. This replaces the Department's voucher process, the Re-employment Assistance through Training and Education (RATE) system, used since July 2000.
- WCC's Professional Re-employment and Outplacement Services (PROS) program provides laid-off professionals with a diverse range of specialized career services, such as career change workshops, résumé preparation assistance and interview coaching. In the first four months of Fiscal 2002 PROS provided services to 405 participants, of whom 43 percent completed the program and 95 percent were placed into jobs, compared to 312 participants served, 61 percent of whom completed the program and 76 percent placed during the same period in Fiscal 2001. Under WIA, in Fiscal 2002 PROS will provide services to a planned 1,300 dislocated workers, of whom approximately 880 participants, or 68 percent, are expected to be placed into jobs.

In-School/Younger Youth

- In July 2001 the Department began a year-round program to provide a revised 11,480 economically disadvantaged in-school youth with WIA services, such as work-readiness training, leadership development, career exploration workshops, computer-assisted instruction and tutoring in educational courses, support services, paid and unpaid work experience opportunities, as well as follow-up services for a minimum of a revised 12 months. The focus of the In-School Youth Program is to provide youth development services to help young people acquire the academic and work-readiness skills and personal attributes sought by employers. These services are available to youth during both the school year and the summer, and are customized to meet the individual needs of participants. Registration through the 53 contractors was delayed due to program facility and school closings, restricted transportation and limited communication following the events of September 11, 2001. As a result, the contract services became operational by the end of October 2001. Approximately 7,000 youth were registered by the end of December 2001. The Department will continue to register youth in the program throughout Fiscal 2002.
 - These contracts operate under a performance-based system with a cost reimbursement component. Because this program model requires extensive follow-up services for youth, in some instances up to a revised 12 months beyond the contract term, contractors will receive 50 percent of the payments based on monthly reporting of expenses and 50 percent on achieving performance milestones according to WIA requirements.
- During Summer 2001 the Department provided 49,848 youth with work experience opportunities as part of the Summer Youth Employment Program. Despite WIA no longer providing separate funding for a stand-alone summer program, in Summer 2001 the City implemented a stand-alone program using City and other funds. WIA funds were not used for the Summer 2001 program. Participants were placed in nonprofit organizations, public agencies, day camps, museums and hospitals to work six hours per day, four days a week, for up to seven weeks.

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Out-of-School/Older Youth

- During the first four months of Fiscal 2002 DOE continued to provide occupational training services to 2,134 youth ages 16 to 21 through contracts with 20 providers. In comparison, there were 23 providers and 2,113 youth during the first four months of Fiscal 2001. Of the 204 participants who completed the program, 165 or 80.9 percent were placed into jobs, compared with 35.8 percent during the same period in Fiscal 2001. Services include work experience and classroom training. The Department attributes the increase in job placement rates to WIA's requirement of longer-term services.
 - In Spring 2002 the Department plans to issue an RFP for organizations to provide occupational services to out-of-school youth ages 16 to 21 under WIA. In order to avoid a gap in services, existing contracts were renewed through June 2002.
- Fiscal 2002 began the fifth year of the Department's Opportunity Areas for Out-of-School Youth Demonstration grant, funded by the U.S. Department of Labor (USDOL). During the first four months of Fiscal 2002 the program provided a variety of continuous employment and educational services to out-of-school, unemployed youth, ages 16 to 24, from the South Bronx area of the New York City Empowerment Zone. As of October 2001, 729 youth were registered, 336 youth had graduated from job-readiness training and/or received a General Equivalency Diploma (GED), and 344 had been placed into jobs. This is an increase from October 2000, when 613 youth were registered, 251 had graduated from job-readiness training and/or received a GED, and 260 had been placed into jobs. In Fiscal 2002 the Department is expanding the program to plan for an additional 48 in-school youth, ages 14 to 21, while continuing to serve 580 out-of-school youth in the target area.
 - In July 2001 the Department began operating the Upper Manhattan Youth Opportunity Project, a comprehensive employment and education program in Upper Manhattan's City Empowerment Zone. This project is based on a \$1 million grant from USDOL and an RFP issued by the Department in November 2000. As of October 2001, 139 in-school and out-of-school youth were registered and offered employment and educational services, which will lead to job placements, long-term training or post-secondary education. The Department expects to register 250 youth by the end of Fiscal 2002. The Upper Manhattan Youth Opportunity Project is working with the Department's current Out-of-School Youth Demonstration Project in the South Bronx and will link to the WIA One-Stop Center serving the area, when it is established.

NEW INITIATIVES

HealthStat

- In April 2000 HealthStat began providing uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, all City agencies and hundreds of community groups were mobilized to enroll eligible families and children in Child Health Plus and Medicaid. As a direct result of HealthStat activities, over 200,000 individuals have been enrolled in public health insurance programs.
 - During the first four months of Fiscal 2002 the Department continued to coordinate outreach efforts with contracted providers. DOE expanded HealthStat activities to include the new Rewarding Youth Achievement Project and In-School Youth Program providers. Providers distributed HealthStat information and coordinated referral and enrollment of program participants and their children for health insurance. In Fiscal 2002 the Department continued to amend provider contracts to incorporate a provision that requires the contractor to conduct HealthStat outreach and referrals to health insurance.

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- During this period, the Department also reached beyond its contracted providers and linked with community organizations, health care facilities, immigration agencies and faith-based institutions to promote the HealthStat initiative. From June 2000 through October 2001, the Department held more than 1,500 HealthStat informational and enrollment sessions throughout the City. As a result, the Department has distributed over 135,000 pieces of HealthStat information through SYEP paysites, training classes, events, mailings, site visits and personal outreach.

CUSTOMER SERVICE

- In the first four months of Fiscal 2002 the Department continued to work with the Office of New Media to update information on its home page on NYC.GOV, the City's official Web site. In Fiscal 2002 the Department plans to introduce a redesigned home page on NYC.GOV that will feature more interactive menus; a new frequently asked questions page; a link to the WIA Web site; and listings of agency-contracted services, navigational by organization name, program type or training occupations.
 - The site provides the public with information about the Agency and allows employers to request information on prospective employees and employee training online. In the first four months of Fiscal 2002 the Department responded to 61 online requests and inquiries from the public prior to September 11th for a total of 531 online requests and inquiries since the Department implemented online assistance in April 1999. Of the 61 online requests and inquiries in the first four months of Fiscal 2002, the Department responded to 14 Business Benefits requests for assistance from employers, bringing the total employer requests for assistance to 136. Business Benefits are online forms that allow employers to electronically submit requests to the Department regarding gaining access to potential new employees through the Department's contracted programs.
 - The number of visits to the Department's home page increased from 20,988 during the first four months of Fiscal 2001 to 52,372 during the same period in Fiscal 2002, a 149.5 percent increase. This increase is due to an unusually high number of visits to the site immediately after the World Trade Center disaster by individuals seeking emergency assistance and employment information.
- DOE is working with the WIA partners to redesign the WIA home page on NYC.GOV. The Web page is expected to be launched in Fiscal 2002.

TECHNOLOGY

- During the first four months of Fiscal 2002 the Department began modification of Youth Program data collection and reporting for the Automated Case Management System (ACMS) to meet federally mandated WIA reporting requirements. Some of the modifications include adding new data fields to capture additional data elements, generating newly mandated reports, and recoding some of the system features and functionality. The Department completed similar changes to ACMS for the Dislocated Worker Program by the end of Fiscal 2001, and expects to complete the Youth Program reporting modifications by the end of Fiscal 2002.

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- During the first four months of Fiscal 2002 the Department continued to improve its partially automated contract reporting system by adding more accounting functionality and expanding the types of contract budgets that can use the system. The Project Budget Monthly Financial Report (PB/MFR) system enables contractors to submit monthly financial reports online and allows the Department to manage contract budgets and budget modifications electronically. In addition, since December 2000 HRA has had access to the system to perform fiscal reporting functions for DOE contracts. By the end of Fiscal 2002 the Department plans to evaluate the PB/MFR pilot project to make necessary improvements to the system based on the evaluation, and begin skills upgrade training for technical staff.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Department's expenditures were \$103.6 million, compared with its plan of \$72.6 million. The Department's Fiscal 2001 expenditures were \$91.9 million.
- The City's Financial Plan of February 2002 outlines \$2.1 million in Fiscal 2003 in programmatic and expenditure savings through reductions in the Summer Youth Employment Program. The Department has planned expenditures of \$144.4 million for Fiscal 2002 and \$96.3 million in Fiscal 2003.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Adult Enrollment	2,909	4,750	5,014	NA (a)	NA (a)	NA (a)	NA (a)
Adult Participants Placed Into Employment	61%	65.1%	63.5%	NA (a)	NA (a)	NA (a)	NA (a)
Adults Working at 90 Days	45%	46.3%	50%	NA (a)	NA (a)	NA (a)	NA (a)
Youth Enrollment (Ages 16-21)	701	1,296	1,443	2,456	2,182	946	NA (b)
Youth Registration (Ages 14-18) (b)	NI	NI	NI	NI	NI	NA	145
Youth Registration (Ages 19-21) (b)	NI	NI	NI	NI	NI	NI	610
Youth Placed into Employment (c)	54.4%	64.4%	51.3%	55.5%	67.8%	55.8%	NA
Youth Placed into Employment (Ages 19-21) (c)	NI	NI	NI	NI	NI	NI	79.6%
Percentage of Credentials Attained (Youth) (d)	NI	NI	NI	NI	35.5%	NI	28.7%
Percentage of Employability Enhancements (Youth) (d)	48.9%	69%	78%	60.5%	NA (d)	NA (d)	NA (d)
Summer Youth Employment Program/Job Opportunities for Youth (Summer)	29,328	40,259	44,724	50,499	39,610 (e)	39,610	49,848

- (a) Responsibility for adult program contracts was transferred to HRA beginning July 1999.
- (b) The indicator "Youth Enrollment (Ages 16-21)" has been divided into the two separate indicators: "Youth Registration (Ages 14-18)" and Youth Registration (Ages 19-21)." This revision has been made to reflect changes in WIA reporting requirements.

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- (c) The previous indicator, "Youth Placed into Employment," has been replaced by "Youth Placed into Employment (Ages 19-21)." This revision has been made to reflect changes in WIA reporting requirements.
- (d) Beginning in Fiscal 2001, under WIA older youth are required to attain credentials instead of employability enhancements.
- (e) Beginning in Fiscal 2001, under WIA there was no longer separate funding for a stand-alone Summer Youth Employment Program. For Fiscal 2001 the Department maximized the available resources to support year-round services for youth.

DEPARTMENT OF YOUTH AND COMMUNITY DEVELOPMENT

The Department of Youth and Community Development supports youth and community services through contracts with a broad network of community-based organizations throughout New York City. The Department supports a variety of youth activities, including structured recreation, athletics, tutoring and remedial education, leadership development, delinquency prevention, cultural enrichment, counseling, adolescent health care, substance abuse prevention, and runaway and homeless programs. To assist the communities in which youth and their families live, the Department administers the New York City Community Action Program by awarding federal Community Services Block Grant funds to help low-income people become more self-sufficient; provides services to immigrants, such as the Citizenship Initiative; and performs outreach functions to non-public assistance applicants within the Home Energy Assistance Program field offices.

GOALS AND OBJECTIVES

Goal: Provide direct services to legal immigrants through the Citizenship New York City program.

Objective

Continue Direct Outreach to specific immigrant communities and the organizations serving them during Fiscal 2002.

Continue expanding the interactive capabilities of the Citizenship New York City home page to allow interested clients to request appointments and answer sample citizenship questions online by the end of Fiscal 2002.

Continue the outreach campaign to immigrant parents and their children through the New York City public school system and religious organizations to raise awareness of Citizenship New York City during Fiscal 2002.

Goal: Provide quality services to the City's youth through educational, counseling and recreational programs.

Objective

Serve 980,000 youth and adults through Youth Development and Delinquency Prevention programs in Fiscal 2002.

Serve a revised 148,000 youth and adults through a revised 80 Beacons in Fiscal 2002.

Goal: Provide services that help New York City's low-income residents to become self-sufficient through the Federal Community Action Program.

Objective

Serve a revised 100,000 individuals through the federally funded Community Services Block Grant programs, which include the Neighborhood Development Area programs, in Fiscal 2002.

Provide training and job placement services through the Community Service Block Grant-funded and community action-funded adult education and employment programs to 7,400 adults in Fiscal 2002.

Serve 11,540 adults through New York City adult basic education and English for Speakers of Other Languages programs in Fiscal 2002.

Achieve positive program outcomes, including attaining a higher educational level, receiving United States citizenship or obtaining a job, for 9,430 participants engaged in literacy and basic education in Fiscal 2002.

DEPARTMENT OF YOUTH AND COMMUNITY DEVELOPMENT

Goal: Continue to improve Agency administrative and technical systems to create a more coordinated and efficient planning and contracting process.

Objective

Continue to develop linkage between the Community Development Outcome Reporting system and the Comprehensive Contract Management System in Fiscal 2002.

Continue to develop Comprehensive Contract Management System to allow program assessment and Internet-based information retrieval from contract agencies in Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- In the aftermath of the World Trade Center disaster, the Department of Youth and Community Development (DYCD) undertook several new initiatives to strengthen and modify its programs.
 - In October 2001 the Department's Youth Development division enhanced its contracts with a nonprofit youth provider in Lower Manhattan to provide after-school services to approximately 500 children through June 2002, in three neighborhood schools situated near the former World Trade Center; these services also include a weekend program.
 - In October 2001 the Department's Youth Development division received additional funding to enhance its YOUTHLINK programs, which provide anti-drug intervention, to serve an additional five targeted communities, for a total of 17 communities through existing contracts. Contractors are providing crisis intervention, bias crimes prevention, juvenile delinquency prevention, substance abuse prevention, counseling and mediation, cultural sensitivity and tolerance training through YOUTHLINK counselors placed in local police precincts to help young people affected by the disaster.
 - In response to the events of September 11th, NYC YOUTHLINE staff also participated in workshops on feelings/emotions and personal safety topics to prepare the staff to offer future workshops on issues surrounding the disaster.
 - The Department's Citizenship New York City (CNYC) program was able to remain in operation and assist immigrants to gain citizenship and other necessary services at its five field offices located throughout the City, despite the disruption of all communications with the central office.
 - Two of DYCD's contracted technical assistance providers have conducted workshops throughout September and October 2001 to help 87 staff members within 40 contracted community-based organizations address issues related to the tragedy. Workshop topics included, "World Trade Center Crisis: Working with Children and Teens," "Peace of Mind: Working with Children and Teens in Crisis," "Beginning Your Journey to Healing," "Helping Your Clients Heal," and "Community Leadership: Motivating Ordinary People to Do Extraordinary Deeds."
- Due to the close proximity of DYCD's central administrative offices to the World Trade Center site, the tragic events of September 11th disrupted the Department's ability to operate. Beginning September 12, 2001, the Department conducted limited central administration business from its NYC YOUTHLINE headquarters in downtown Brooklyn. The Department's NYC YOUTHLINE staff and CNYC field offices continued to serve young people and immigrants with needed services, and the Department organized specialized services through the Beacons to assist communities in need affected by this tragedy.

DEPARTMENT OF YOUTH AND COMMUNITY DEVELOPMENT

- On September 17, 2001 DYCD's downtown headquarters regained electrical service and limited building access. DYCD's computer servers, which had been shut down due to power loss, were restarted on September 18, 2001. During the second week of October 2001, DYCD's telephone and fax lines were partially restored.

CITIZENSHIP NEW YORK CITY

- During the first four months of Fiscal 2002 DYCD's Citizenship New York City contacted 17,759 immigrants to explain services and schedule appointments, compared to 19,432 during the same period in Fiscal 2001. This decrease is a result of cancelled presentations and outreach meetings due to the World Trade Center disaster, as well as an outage of the Department's computer servers at CNYC's central office. As of February 2002, the system remains partially out of service. Since the program's inception in July 1997, the Department has contacted a total of 237,714 immigrants.
- During the first four months of Fiscal 2002 CNYC assisted clients in filing 3,332 applications with the federal Immigration and Naturalization Service (INS), and referred 143 applicants for legal assistance and 168 applicants for educational assistance. In comparison, there were 3,372 applications, 187 applicants referred for legal assistance, and 626 applicants referred for educational assistance during the same period in Fiscal 2001. Since the program's inception in July 1997 through October 2001, CNYC filed 34,719 applications with the INS and made 12,119 referrals to community-based organizations for legal assistance and education.
- During the first four months of Fiscal 2002 the Department continued its outreach efforts to specific immigrant groups in New York City. During this period, 2,010 people were contacted and 692 appointments were scheduled. CNYC staff visited housing developments, hospitals, faith-based and civic organizations to assist immigrants in applying for citizenship in familiar settings. As a result of this campaign, 10,464 people were contacted and 3,520 appointments were scheduled between June 1998, when the program started, and October 2001.
 - During the first four months of Fiscal 2002, 29 outreach meetings and presentations to specific immigrant communities and organizations were conducted, compared to 18 during the first four months of Fiscal 2001.
 - During the first four months of Fiscal 2002 the Department continued targeted outreach to Chinese and Korean immigrant leaders to increase the number of citizenship applications filed by these communities, which includes providing naturalization application assistance at Chinese and Korean churches, temples and community organizations. During the first four months of Fiscal 2002, CNYC visited Chinese organizations nine times and assisted 197 Chinese immigrants applying for citizenship, for a total of 786 applications since the program's inception in January 2000. In addition, during the first four months of Fiscal 2002, CNYC assisted 102 Korean immigrants in applying for naturalization during 15 visits to Korean organizations, for a total of 1,470 Korean immigrants assisted since the program's inception in May 1999.

COMMUNITY DEVELOPMENT PROGRAMS

- During the first four months of Fiscal 2002 the Department's Neighborhood Development Area (NDA) programs administered 459 contracts and served 51,941 individuals, compared with 462 contracts and 37,804 individuals served during this period in 2001. The Department received \$3.2 million in additional Community Service Block Grant (CSBG) funds from the New York State Department of State in Fiscal 2001. This allowed the Department to begin procurement processes and award new contracts for Fiscal 2002. Through these new contracts, the Department was able to serve greater numbers of program participants. In Fiscal 2002 NDA programs plan to serve a revised number of 100,000 individuals.

DEPARTMENT OF YOUTH AND COMMUNITY DEVELOPMENT

- During the first four months of Fiscal 2002 CSBG program contracts assisted participants in obtaining a total of 6,605 outcomes, compared to 4,948 during this period in Fiscal 2001. Outcomes are defined as a customer's progress in achieving a targeted goal, measured in terms of defined milestones. Goals include attaining a General Equivalency Diploma in adult literacy programs, securing adequate and safe housing in homeless programs or gaining legal residency status in immigration programs. A total of 10 percent of contractors' payments rely on meeting these targeted outcomes. Since Fiscal 1998 all Community Development programs have been in full compliance with the federally mandated Results Oriented Management and Accountability requirements to capture and report on program outcomes.
- During the first four months of Fiscal 2002 a total of 2,319 youth were served in DYCD's Youth Violence Intervention Program (VIP), compared to 463 youth served during the same period in Fiscal 2001. In response to program evaluation findings released in May 2001, DYCD offered intensive technical assistance during August and September 2001 to its VIP contractors to enable them to develop improved outreach and youth retention strategies; this assistance resulted in more youth served. DYCD began operating the Youth Violence Intervention Program in February 2000 to help young people ages 9 to 21 practice alternatives to violence. Two types of programs are provided: programs that serve schools in every borough and community-specific programs. The Agency plans to serve 7,000 youth in Fiscal 2002.
- In April 2001 DYCD's Literacy Unit issued a Request for Proposals (RFP) for comprehensive adult literacy services, including Basic Education, English for Speakers of Other Languages, and Basic Education in Native Language. DYCD expects services funded under this RFP to begin by the revised date of July 2002. To ensure continuation of services, the Department has extended funding of current New York City Adult Literacy Initiatives programs through June 2002.
 - The delay in services funded under this RFP is attributed to the complexities of the New York State and City process to issue a joint RFP. In the past, the City and State issued separate solicitations and awards. The new process allows for one unified contract with each provider to be administered by the Department.

SERVICES FOR YOUTH AND FAMILIES

Youth Development Delinquency Prevention Programs

- In January 2001 the Department received over 1,000 proposals in response to the Youth Development Delinquency Prevention Programs RFP. Due to the complexities of evaluating this extraordinary volume of proposals, the Department delayed issuing awards resulting from this RFP to Spring 2002. To ensure continuity of services, the Department extended 236 current contracts through a revised date of June 2002, and expects new contracts from the awards to begin in July 2002. These programs will serve youth ages 6 to 21 after school, on the weekends and during school vacations and will be organized around three initiatives: community share, youth special needs and public-private initiatives. Programs will involve either one activity or a mix of different types of activities designed to meet the needs of the target population.

Beacons

- Beacons are school-based community centers that are open after school, in the evenings and on weekends year-round; they offer youth and their families a mix of social, educational, vocational and recreational activities. During the first four months of Fiscal 2002 Beacons served 55,141 youth and 11,636 adults for a total of 66,777 participants, compared to 85,814 participants during this period in Fiscal 2001. The Department attributes this decrease to the revised method for calculating this figure, which no longer includes services that are provided at the Beacons but not funded by the Department. In Fiscal 2002 the Department plans to serve a revised 148,000 participants.

DEPARTMENT OF YOUTH AND COMMUNITY DEVELOPMENT

- Currently there are 80 operational Beacons. A school in which a Brooklyn Beacon was housed was closed due to asbestos removal during late Fiscal 2000. Options are being explored that will allow the Department to maintain its commitment to this community, based on available funding.
- A final report of the three-year Beacon evaluation by an independent nonprofit organization will be released by a revised date of June 2002. The evaluation analyzes the effect of Beacon programs on youth, families, communities and schools; provides information and insights to improve the Beacons' initiative as a whole as well as individual program sites; and aids in efforts to implement Beacons in other cities.

Runaway and Homeless Youth

- During the first quarter of Fiscal 2002 Runaway Homeless Youth (RHY) Street Outreach and Referral Services served 890 youth citywide. Contractors network with youth in the streets, where runaway or homeless youth congregate, to identify, engage and transport youth to appropriate services at DYCD-funded Street Outreach and Referral Service program sites, the Drop-In Center and residential shelters, Department of Homeless Services' intake centers and other placement alternatives.
- From July to October 2001, the Department's RHY Drop-In Center served 1,070 youth, including 169 referrals to its crisis beds. The Drop-In Center provides case management, crisis intervention and support services to runaway, homeless and at-risk youth to help them make the transition from living on the streets into a safe environment and/or into an independent-living situation. This Center serves all boroughs, operating 24 hours a day, seven days a week. The program serves as an entry point into the Department's RHY continuum of care and is the primary referral source for DYCD-funded residential crisis and non-crisis RHY service programs.
 - During the first four months of Fiscal 2002 DYCD's RHY Hotline, located at the Drop-In Center, received 165 calls and made 165 referrals, of which 131 were to the DYCD network of RHY program service providers. The Hotline operates 24 hours a day, seven days a week, and is available to the general public and City agencies to respond to inquiries concerning shelter availability, shelter locations, transportation and support services.
- During the first four months of Fiscal 2002 the Department continued to operate 61 crisis beds, serving 737 youth. The planned expansion to 66 beds is pending a required fire inspection certification. The five additional beds are expected to be operational by a revised date of April 2002. The shelters' program removes youth from immediate risk, offers case management and day treatment services, and prepares them for placement in more stable living environments.
- During the first four months of Fiscal 2002 DYCD operated 57 independent-living beds. During the first quarter of Fiscal 2002, 212 youth were served through this program. In addition to case management, counseling, life skills training, vocational training and educational services, independent-living programs provide transitional housing to youth ages 16 to 21 for up to 12 months.

NYC YOUTHLINE

- During the first four months of Fiscal 2002 NYC YOUTHLINE received 7,059 calls, compared to 6,351 calls during the same period in Fiscal 2001. The increase in the number of calls received in Fiscal 2002 is attributed, in part, to callers requesting information about the various events associated with the Department's Youth Week held in July 2001.

DEPARTMENT OF YOUTH AND COMMUNITY DEVELOPMENT

- During the first four months of Fiscal 2002 NYC YOUTHLINE continued its activities to emphasize community involvement. During this period, the program provided 16 workshops to community-based organizations, public schools and various City programs. Due to the disaster of September 11th, NYC YOUTHLINE received cancellations for many of its scheduled workshops and presentations during September 2001, accounting for the decline from 37 workshops delivered during the first four months of Fiscal 2001. The topics covered at workshops during this period included peer pressure, teen suicide, teen domestic violence, gangs/youth violence, safe sex, anger management and conflict mediation. In addition, YOUTHLINE staff attended 31 community events and responded to requests for information about services in their communities, YOUTHLINE services and peer education training programs.

HEALTHSTAT

- In April 2000 HealthStat began providing uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, all City agencies and hundreds of community groups were mobilized to enroll eligible families and children in Child Health Plus and Medicaid. As a direct result of HealthStat activities, over 200,000 individuals have been enrolled in public health insurance programs.
 - During the first four months of Fiscal 2002 the Department hired additional Neighborhood Development Area HealthStat coordinators, for a total of 11, to assist families with enrollment. These coordinators, working in diverse community-based organizations throughout the City, have enrolled over 3,277 children between May and October 2001. The liaisons are responsible for canvassing their local communities for enrollment opportunities and coordinating these events with enrollers.
- During the first quarter of Fiscal 2002 DYCD-funded community-based organizations held 373 special events and distributed over 2,547 flyers and posters. The increase in special events is due to the NDA HealthStat coordinators' intensive outreach. Since the coordinators began reporting in May 2001, there have been 447 new events that provided information to families regarding HealthStat. During the first four months of Fiscal 2002 DYCD referred over 1,198 individuals to community-based enrollers for children's health coverage, including immigrants applying for naturalization assistance.
- In November 2001 the Children's Defense Fund (CDF) provided DYCD's Neighborhood Development Area HealthStat coordinators with training on Disaster Relief Medicaid and the procedures for referring families for services. In December 2001 CDF began to train DYCD's Beacon Directors and CNYC staff.

A.C.H.I.E.V.E. STAT

- In Fiscal 2001 the Department developed A.C.H.I.E.V.E. Stat, a data-driven accountability system, which stands for Active, Comprehensive, Holistic, Indicative, Educational, Validated Excellence, as part of a citywide accountability program. A.C.H.I.E.V.E. Stat measures the Agency's performance over time using 12 indicators reflecting contract management and administration, program enrollment, YOUTHLINE contracts, and citizenship applications filed. Beginning in July 2001 the Department started holding monthly meetings as part of the A.C.H.I.E.V.E. Stat initiative. As a result of this new initiative, in the first four months of Fiscal 2002 the Department began placing contracted agencies on fiscal hold pending the timely submission of performance data.
 - A.C.H.I.E.V.E. Stat data is updated and published monthly on the Agency's home page on NYC.GOV, the City's official Web site.

DEPARTMENT OF YOUTH AND COMMUNITY DEVELOPMENT

TECHNOLOGY

- The number of visits to the Department's home page on NYC.GOV increased by 400 percent, from 8,728 during the first four months of Fiscal 2001 to 43,599 during the same period in Fiscal 2002. DYCD attributes this increase, in part, to Youth Week 2001 activities, for which youth and families logged on to DYCD's home page to learn about the event.
- In the first four months of Fiscal 2002 the Department worked with the Human Resources Administration to host a new component of the Comprehensive Contract Management System (CCMS) that will allow contract agencies to submit program updates, fiscal reports and transportation reimbursement forms to the Department electronically through the Internet. Once final funding and approval is received from the Technology Steering Committee, the Department expects to complete this new CCMS component within one year.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Department's expenditures were \$77.9 million, compared with its plan of \$79.8 million. The Department's Fiscal 2001 expenditures were \$142.5 million.
- The City's Financial Plan of February 2002 outlines expenditure savings of \$5.2 million in Fiscal 2002 and \$16.5 million in Fiscal 2003 primarily through elimination of discretionary and after-school funding. The Agency has planned expenditures of \$166.5 million in Fiscal 2002 and \$125.6 million in Fiscal 2003.

DEPARTMENT OF YOUTH AND COMMUNITY DEVELOPMENT

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Number of Youth Served	950,000	957,155	998,594	914,511	1,043,144	180,911	228,484 (a)
BEACONS – Number of Programs	41	41	76	81	80	80	80
BEACONS – Number of Youth and Adults Served	90,580	110,000	152,856	183,700	186,512	85,814	66,777 (b)
Neighborhood Development Area Programs – Total Participants	113,600	76,034	92,858	92,320	89,418	37,804 (c)	51,941 (d)
Adult Education/Employment Programs – Participants	8,283	5,278	6,895	6,592	7,277	2,940	3,017 (d)
English for Speakers of Other Languages – Number of Students Served	4,097	6,093	7,678	8,269	8,230	3,654	3,679
Adult Basic Education – Number of Students Served	1,470	2,472	2,588	2,927	2,978	1,427	1,224
Basic Education in a Native Language – Number of Students Served	423	677	693	604	567	392	388

- (a) The Department attributes the increase in number of youth served to improved reporting by its discretionary programs, the expansion of runaway and homeless youth outreach services and the expansion of after-school programs to provide additional summer programs in Fiscal 2002, including Youth Week activities.
- (b) Beginning in Fiscal 2002, the Department is no longer including services that are provided at the Beacons, but not supported by Beacon contracts.
- (c) This number has been updated to reflect the most current and accurate information.
- (d) DYCD received additional federal Community Service Block Grant funds in Fiscal 2001 to allow the Department to begin procurement processes and award new contracts for Fiscal 2002. Through these new contracts, the Department was able to serve greater numbers of program participants during the first four months of Fiscal 2002.

DEPARTMENT FOR THE AGING

The Department for the Aging promotes, administers and coordinates the development and provision of services for older persons to help them maintain their independence and participation in their communities. The Department supports a broad range of services, both directly and through contracts with community-based organizations. It conducts an array of planning, advocacy and management functions, including the administration of the City's senior centers.

GOALS AND OBJECTIVES

Goal: Assure access for all eligible seniors to community services, including home care, legal counseling, rent increase exemptions and support services.

Objective
Provide 1.6 million hours of home care to 5,000 clients in Fiscal 2002.
Provide 35,000 hours of legal counseling to 4,200 clients in Fiscal 2002.
Maintain the time necessary to process complete Senior Citizen Rent Increase Exemption program applications with documentation from seniors at an average of 34 days in Fiscal 2002.
Conduct audits of 29,000 residential units occupied by Senior Citizen Rent Increase Exemption program recipients to ensure that landlords receive appropriate levels of tax abatement in Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- In September 2001 the Department for the Aging (DFTA) applied for and received \$1.7 million in disaster assistance from the federal Administration on Aging. The funds will be used to defray the costs incurred due to the disaster, including the cost of approximately 20,000 additional meals served citywide in the aftermath, relocation costs for a senior center and the cost of replacing spoiled food reserves. In addition, to better prepare for future emergencies, the funds will be used to stock supplies of shelf-stable meals, upgrade the Department's communications system and otherwise enhance DFTA's response capabilities.
- As a result of the World Trade Center disaster on September 11th, four DFTA senior centers were closed. Three sites reopened within one week, with one offering counseling and blood pressure screenings to the seniors affected by the disaster. Conditions at the fourth site did not permit continuing operations, so the Department covered the costs associated with accelerating the timeframe for a previously planned relocation. The relocated center opened at the end of October 2001.
- In the aftermath of the disaster, the Department authorized additional meals at service sites south of 14th Street to accommodate participants whose centers were temporarily closed, as well as other seniors affected by the disaster. Approximately 400 additional home-delivered and congregate meals per day were provided through October 2001.
- In collaboration with the Department of Mental Health, Mental Retardation and Alcoholism Services (DMH) and the Department of Health, DFTA is working to meet the mental health needs of seniors affected by the disaster. Since November 2001 DMH's Project Liberty has made counseling services available to DFTA programs upon request. The Department is conducting ongoing outreach to make community-based programs aware of the service.

DEPARTMENT FOR THE AGING

PROGRAM SERVICES

- During the first four months of Fiscal 2002 the Department provided 458,932 hours of home care to frail seniors, compared to 490,809 hours during the same period in Fiscal 2001. This decrease in hours is due to a statewide shortage of home care workers. In Fiscal 2002 DFTA plans to provide 1.6 million hours of home care to 5,000 seniors.
- During the first four months of Fiscal 2002 the Department provided 13,774 hours of legal services to the elderly, compared to 12,486 hours during the same period in Fiscal 2001. This represents a 10 percent increase in hours.
- In July 2001 the Department received \$3.2 million in new federal funding for Fiscal 2002 to provide assistance and services to caregivers. The Department expected to issue a Request for Proposals (RFP) for the majority of these services in September 2001 but the RFP has not yet been released due to citywide administrative delays. The Department plans to issue the RFP by a revised date of the end of Fiscal 2002. The funding will be used for information, counseling, support groups, and training for caregivers to the elderly, as well as grandparents caring for grandchildren. In addition, the funding will support services that offer respite for caregivers to the elderly, such as home care and social adult day services.
- In October 2001 the Department's Alzheimer's and Long-Term Care Resource Center received a new \$500,000 federal grant to establish a Caregiver's Support Options program targeted to the non-English speaking caregivers in New York City. The program will offer training on Alzheimer's disease in several languages; provide information and referral within the context of cultural preferences; and distribute modest financial assistance to caregivers for respite, home adaptive equipment and other medical supplies. The grant is for the period October 2001 to September 2002 and the Department plans to serve 311 caregivers during this period. The Department is currently developing a curriculum for training and conducting outreach to caregivers. Service provision is expected to begin in Spring 2002.
- During the first four months of Fiscal 2002 DFTA's 11 social adult day service programs provided 8,480 days of social adult day services to participants, compared to nine programs providing 4,311 days of service during the same period in Fiscal 2001. One of the 11 programs is new this fiscal year and began serving clients in October 2001, as planned, and the other program opened in Spring 2001. Social adult day service programs meet the long-term care needs of seniors who are physically frail and/or suffering from Alzheimer's disease or other forms of dementia. Each program provides personal care assistance, socialization, transportation and nutrition in a congregate setting. The Department plans to provide 20,000 days of social adult day services in Fiscal 2002.
- In Fiscal 2000 the Department received \$3.15 million in City funding to establish nine new senior centers in underserved areas of the City. Five programs were operating by the end of the reporting period. Funding for the remaining four centers has been eliminated based on the City's Financial Plan of February 2002.
- During the first four months of Fiscal 2002 the Department's Elderly Crime Victims Resource Center provided casework assistance to 266 seniors experiencing physical, emotional or financial abuse, a 43 percent decrease from the 466 clients served during the same period in the last fiscal year. The decline is due to the nine-day office closure and loss of phone service in the Resource Center following the World Trade Center disaster. The Unit is now fully operational after having been without phone service from September 11th through the end of October 2001, which disrupted its ability to receive referrals and provide services. In Fiscal 2002 the Department plans to serve 1,048 clients.

DEPARTMENT FOR THE AGING

- In September 2001 the first of two cycles of courses providing English as a Second Language (ESL) and citizenship assistance began at 38 senior centers. DFTA's ESL Project assists immigrants in improving their English-language skills, enables them to function more independently in their local communities and encourages them to become naturalized citizens. As of October 2001 approximately 2,300 immigrants were participating in the program, as planned. One program site was closed due to the disaster at the World Trade Center.
- The Department continued to participate in the P.H.O.N.E.S. program, a coalition of City agencies that joined together to collect and distribute cell phones reprogrammed to dial 911 exclusively. The acronym P.H.O.N.E.S. stands for "People Helping Others Needing Emergency Services." Between August 2000 and October 2001, the Department distributed a total of 533 phones. The initial recipients were elderly crime victims, elder abuse survivors and grandparents raising grandchildren with special needs. For Fiscal 2002 the program was extended to seniors who would benefit from access to a phone due to health problems or other circumstances. In the first four months of Fiscal 2002, the Department distributed approximately 100 phones to this population, including seniors who lost phone service due to the World Trade Center disaster. During Fiscal 2002 the Department plans to distribute approximately 250 additional phones to these seniors on a first come, first served basis. The P.H.O.N.E.S. initiative is led by the Mayor's Commission to Combat Family Violence.
- In Spring 2002 the Department plans to release a second report analyzing 2000 U.S. Census Bureau data on the elderly in New York City by Community District; by the end of Fiscal 2002, DFTA plans to distribute it to over 2,400 interested organizations and individuals, including provider organizations, academics and elected officials. In June 2001 the Department's Research Unit distributed a 22-page initial analysis of 2000 Census data. The report summarized the changes in the size and age of New York City's senior population in a concise format. Future reports, including analyses of racial and ethnic composition, gender and income, will be released as data becomes available from the U.S. Census Bureau. Information about the changing demographics and needs of the senior population is critical for planning and program development.

NUTRITION SERVICES

- At the end of October 2001, the Department was providing approximately 12,400 take-home weekend meals per week for senior center participants. A total of 145 sites were participating in this new program at the beginning of Fiscal 2002.
- In September 2001 the Department received a final report of a study conducted by faculty from Ithaca College and Fordham University to analyze senior center use. The study was initiated in response to a decline in senior center use, especially at congregate meals. The report identified several factors that may affect meal participation, including an oversaturation of senior centers in some areas of the City; the quality of the facility; food variety and presentation; and difficulty attracting and retaining quality kitchen staff.
 - The final report included recommendations for steps the Department and contractors can take to improve senior center use, such as supporting administrative efforts to enhance and maintain the physical appearance of centers; allowing greater flexibility in menu planning and service, including more flexible regulations on menu preparation and upgrading training for kitchen staff. In Fiscal 2001 these concerns were addressed in new service standards requiring that senior center participants be involved in menu planning and allow centers to provide more options for meal planning, including cold meals. In addition, the Department will continue to work with the New York City Housing Authority to identify and correct facility problems.

DEPARTMENT FOR THE AGING

- The Department is in the process of analyzing data from a survey of seniors at 40 senior centers citywide for a second report it expects to release in Spring 2002. The second report's preliminary findings indicate that different populations participate in breakfast and lunch; that older seniors with greater economic need partake in meals more heavily than younger seniors with higher levels of income adequacy; and that seniors who partake in lunch regularly have a higher level of satisfaction with meals and a higher awareness of other services available at the center. The Department will use results for program planning and improving service delivery.
 - In Fiscal 2001 the Department completed the first report, which showed that over 98 percent of seniors participate in congregate lunch at their centers, pointing to the importance of meals in senior centers. In addition, the study found that over 94 percent of seniors were somewhat or very satisfied with the senior center services.
- During the first four months of Fiscal 2002 approximately 15,000 seniors were screened by DFTA contract case management staff for possible risk of malnutrition, a similar number of individuals as screened during the first four months of Fiscal 2001. DFTA's Provider Data System (PDS), which compiles clients' nutrition risk scores based on their dietary habits, identified over 900 clients at risk, compared to a revised number of over 500 clients at risk during the same period in Fiscal 2001. The increase is due to better reporting of clients at risk from the contract agencies. The Department plans to screen 25,000 clients in Fiscal 2002.
 - The DFTA Nutrition Counseling Unit offers counseling to at-risk clients and if the client consents, will make an in-home visit. The Department provided 1,259 in-home nutrition counseling visits during the first four months of Fiscal 2002, compared to 824 visits during the same period in Fiscal 2001. The increase is due, in part, to a large amount of advertising and media coverage about diabetes and other disabilities, which increased clients' interest in receiving a nutritionist's visit. In Fiscal 2002 the Department plans to provide 3,400 visits.
- In the first four months of Fiscal 2002, the Department distributed over 19,000 coupon booklets through the Farmer's Market Nutrition Program, as planned. The program provides low-income seniors with coupon booklets valued at \$24 for the purchase of fresh fruits and vegetables at participating farmer's markets throughout the City. As planned, the booklets were distributed through 126 participating senior centers. This program was supported by a one-time allocation from the U.S. Department of Agriculture and the coupons expired at the end of October 2001.

HEALTH CARE AND HEALTH PROMOTION

- In the first four months of Fiscal 2002 the Department continued to administer a gerontological training program for health care professionals. The training addresses cultural diversity and aging, rehabilitation therapies for older adults, and emerging issues in social work and aging. In the first four months of Fiscal 2002 the program offered two three-day core training cycles plus four full-day elective courses. A total of 47 health care professionals attended the core trainings and 222 attended one or more of the elective courses.
- In the first four months of Fiscal 2002, the Department distributed approximately 104,000 copies of the "Health Record for Older New Yorkers," approximately 24,000 more than planned due to greater demand than anticipated. Since October 2000, the Department has distributed over 224,000 copies at health fairs and senior centers, and through community partners, such as the Metropolitan Transportation Authority, healthcare organizations and public libraries. The Department plans to distribute approximately 3,000 additional copies during Fiscal 2002.

DEPARTMENT FOR THE AGING

- The “Health Record for Older New Yorkers” booklet is a pocket-sized pamphlet designed to record critical personal health information, including blood type, medical conditions and medication. The pamphlet is magnetized so it can be stored on a senior’s refrigerator, easily accessible in case of an emergency.
- In Spring 2001 DFTA secured \$50,000 in private funding for a nine-month project that provides vision and hearing services to four senior citizen housing complexes in Manhattan. In the first four months of Fiscal 2002 the program provided 181 hearing screenings and 125 vision screenings to seniors in the housing sites. In addition, over 500 seniors participated in consumer education sessions and over 90 building staff members participated in educational sessions on hearing and vision issues. During the remainder of the project, the program will offer seniors apartment safety assessments to identify clutter, dangerous appliances, or other conditions that put seniors at risk of injury; and special adaptive equipment assessments.

HOUSING SUPPORT FOR SENIOR CITIZENS

- During the first four months of Fiscal 2002, 27 programs providing support services in Naturally Occurring Retirement Communities (NORCs) were serving clients with supportive services such as case assistance, education/recreation, shopping assistance and transportation. NORCs are residential complexes or neighborhoods that are home to a concentration of older people who moved into their residences when they were younger and have since aged. During the first three months of Fiscal 2002 these NORC programs provided 9,148 hours of casework services to NORC residents, compared to 6,561 during the same period in Fiscal 2001. The 39 percent increase in hours is due to the fact that Fiscal 2001 included a start-up period for most of the NORC programs and this year, 27 sites are fully operational. One additional program began serving clients in January 2002 after experiencing delays renovating its site. The Department expects to provide 37,750 hours of casework services in Fiscal 2002.
- During the first four months of Fiscal 2002 the Department maintained the average processing time of 34 days for completed Senior Citizen Rent Increase Exemption (SCRIE) applications and expects to maintain this level of performance in Fiscal 2002.
 - The number of households participating in SCRIE rose slightly from 44,632 at the end of October 2000 to 45,109 at the end of October 2001.
 - During the first four months of Fiscal 2002 the Department received 2,132 initial applications for SCRIE, a 34 percent decrease from the 3,242 initial applications received during the same period in Fiscal 2001. The decline is due to the World Trade Center disaster and its aftermath. Fewer seniors than normal submitted initial applications in the remainder of September and October 2001. As of November 2001, applications returned to normal historical levels. In addition, disruptions in phone and mail service, as well as nine lost workdays, affected the Unit’s ability to communicate with seniors regarding applications. Twenty-five percent of the Unit’s phone lines were restored in October 2001, but the remaining 75 percent were still out of service as of the end of December 2001.
- During the first four months of Fiscal 2002 the Department continued to develop a new electronic process to review SCRIE tax abatements electronically transmitted to the Department of Finance. Landlords with SCRIE recipients in their buildings receive tax abatements to compensate them for forgone rental income. A pilot of the system, which will review routine audits for participating building owners, is projected for completion in Spring 2002 and expected to be fully operational in Fiscal 2003. The routine audit program will randomly select buildings for audit and automatically perform a portion of the reconciliation between SCRIE records and Department of Finance records.

DEPARTMENT FOR THE AGING

- During the first four months of Fiscal 2002 the SCRIE unit performed 10,835 audits of residential units to ensure that landlords receive the appropriate level of tax abatement. This represents a 15 percent increase from the 9,409 audits performed during the same period in Fiscal 2001. The increase is due to the fact that Maximum Base Rents (MBR), which are adjusted every other year, for rent-controlled and rent-stabilized apartments in New York City, were not increased by the Rent Guidelines Board in Calendar 2001. During years when the MBR is adjusted, there are more recertifications for SCRIE staff to handle, as well as adjustments to the tax abatement amount received by landlords. Audit staff is often temporarily reassigned to assist with these additional tasks, but since the first four months of Fiscal 2002 do not fall within an MBR year, audit staff were able to dedicate more of their time to audits.

EMPLOYMENT AND TRAINING

- The Personal Care Aide (PCA) training program offers public assistance recipients the opportunity to develop their employment skills in the health care industry. Participants who successfully complete training are eligible for employment with home health agencies, where they work with the elderly. During the first four months of Fiscal 2002, 24 PCA trainees completed training and 23 of those graduates were placed with home health care agencies, compared to 49 placed during the same period in Fiscal 2001. This 53 percent decrease in the number of placements from the previous year is a result of a decrease in the number of trainees referred to the program by the Human Resources Administration due to the decline in the public assistance caseload. The Department placed 96 percent of the trainees that completed training.

TECHNOLOGY

- UNIFORM is a computer program that screens applicants for multiple benefits and entitlements using a single interface. In Fiscal 2001 the Department completed plans to move UNIFORM to a Web-based platform. A Web-based UNIFORM will allow users to access the application via the Department's home page on NYC.GOV, the City's official Web site. This will eliminate the need for costly database and software maintenance at individual sites. Once final approval is received, the Department expects to complete the project within one year. The Department is also working with the E-Government Office and the Technology Steering Committee (TSC) to explore the possibility of using UNIFORM as the standard benefit-screening tool for all City human service agencies.
- The Department's Provider Data System (PDS) automates service provider operations and manages client and employee data. The Department received TSC approval to integrate PDS and UNIFORM in July 2001 and began developing plans for the project during the first four months of Fiscal 2002. The implementation of this project is contingent on the Web-based UNIFORM system. As soon as final Department of Information Technology and Telecommunications (DoITT) approval is received for UNIFORM, the Department will work with DoITT to develop a timetable for completion.
- In collaboration with DoITT, in Fiscal 2001 the Department forged a partnership with a major cable company. In the first four months of Fiscal 2002 the cable company began assessing and installing cable lines at sites. As part of its franchise agreement with the City, the company will provide high-speed cable Internet access service to DFTA-funded programs within its service area, which includes Manhattan, Queens, Staten Island and portions of Brooklyn. This service includes the installation of cable lines, as well as free ongoing service for at least 10 years. This project was temporarily put on hold by the cable company following the events of September 11th, however as of February 2002, the project is back on schedule. The Department anticipates that over 225 sites will be served.

DEPARTMENT FOR THE AGING

- In Fiscal 2001 the Department received TSC approval and funding for a new system to manage the Department's core business functions, including contract management, budgeting, accounting, and claims and monitoring systems. The new system will be accessible to the Department's contracted service providers, who will be able to access, review and modify their budget information online and submit invoices electronically. During the first four months of Fiscal 2002 the Department worked with an information technology consulting firm to identify strategies to approach development for this major system. DFTA completed the RFP and it is currently under review.
 - As part of DFTA's efforts to re-engineer its core business functions, since Fiscal 2001, the Department has been working with DoITT to develop plans to revise of its Program Assessment System (PAS), a computer system that automates the assessment process, to reflect revisions in their service standards. PAS scores will also be converted to the City's vendor rating system to ensure consistency between the two rating systems.

CUSTOMER SERVICE

- During the first quarter of Fiscal 2002 the Department's Information and Referral (I&R) unit handled 51,794 calls to DFTA's 24-hour Helpline (212-442-1000), a 28 percent decrease from the 71,659 calls handled during the same period in Fiscal 2001. Following the World Trade Center disaster, the Department was closed for nine working days, and on average 10 of the 26 I&R lines were working through January 2002. In addition, the Department's Interactive Voice Response System (IVR), which handles approximately half the Unit's calls, remained partially out of service through the end of January 2002. Eleven of the 48 lines that feed to the IVR have been out of service since September 2001.
- The number of visits to the Department home page on NYC.GOV increased from 31,419 during the first four months of Fiscal 2001 to 55,732 during this period in Fiscal 2002, a 77 percent increase. The increase is due in part to DFTA's expanded home page, which includes the application and step-by-step user's guide for the Senior Citizen Rent Increase Exemption (SCRIE) program, as well as updated information on senior housing and information for service providers.
 - In September 2001 the Department planned to make the English version of "Caring – A Guide to Caring for Persons with Alzheimer's Disease in New York City," available on the DFTA home page on NYC.GOV, but this project was delayed due to the tragedy at the World Trade Center. The Department expects to make the manual available online by Spring 2002. In Spring 2001 The Alzheimer's and Long-Term Care Resource Center used a portion of a 12-month federal grant to update the guide to reflect national trends and new information, and include community resource information for caregivers.
 - In Spring 2002 the Department plans to make its revised service standards available online on DFTA's home page. In Fiscal 2001 DFTA revised these service standards for its contractor agencies, specifically defined for each service, such as congregate meals and home delivered meals, as well as general performance, such as reporting and facility standards.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Department's expenditures were \$196 million, compared with its plan of \$195.5 million. The Department's Fiscal 2001 expenditures were \$236.6 million.

DEPARTMENT FOR THE AGING

- The City's Financial Plan of February 2002 outlines expenditure savings of \$12.3 million in Fiscal 2002 and \$26.1 million in Fiscal 2003, primarily through the consolidation and closure of seven underutilized senior centers, the elimination of funding for take-home weekend meals and four new senior centers, as well as through reductions of information and referral contracts. The Department has planned expenditures of \$239.8 million for Fiscal 2002 and \$204 million for Fiscal 2003.

BOARD OF EDUCATION

The Board of Education provides primary and secondary education to over 1 million students. The commitment to continual improvement in overall performance is demonstrated through increased transparency of operations, organizational accountability and enhanced relationships with corporate and community partners. Elementary and middle schools are managed by District Superintendents selected by the Chancellor and employed by local community school boards. High schools are managed by six superintendents. The Chancellor and the Central Board of Education administer schools for students with disabilities.

GOALS AND OBJECTIVES

Goal: Enable students in grades pre-kindergarten through 12 to meet performance standards by providing effective and high-quality educational programs.

Objective
Ensure that at least 37.5% of students in grades 3-8 achieve the mathematics proficiency standard in Fiscal 2002.
Ensure that at least a revised 43.5% of students in grades 3-8 achieve the English Language Arts proficiency standard in Fiscal 2002.
Increase overall student attendance to 90.1% in Fiscal 2002.
Ensure that a minimum of 67% of English Language Learners in grades 1 through 5 achieve the required normal curve equivalent unit gain on the English Language Assessment Battery test in Fiscal 2002.
Ensure that a minimum of 56% of English Language Learners in grades 6 through 8 achieve the required normal curve equivalent unit gain on the English Language Assessment Battery test in Fiscal 2002.
Ensure that a minimum of 66.2% of English Language Learners in grades 3 through 5 enrolled in Spanish bilingual programs score at or above the 50 th percentile on the Spanish reading test in Fiscal 2002.
Ensure that a minimum of 57% of English Language Learners in grades 6 through 8 enrolled in Spanish bilingual programs score at or above the 50 th percentile on the Spanish reading test in Fiscal 2002.
Ensure that all students with disabilities have a program recommendation consistent with the New Continuum by the end of Fiscal 2002.
Continue a program to reduce class size in kindergarten through grade 3 during the 2001-2002 school year.
Continue to implement pre-kindergarten educational standards that are applicable to public school and community-based settings in Fiscal 2002.
Continue to increase the number of special education students served in less restrictive settings in Fiscal 2002.
Continue instructional programs that ensure effective transition of decertified students back to general education during the 2001-2002 school year.
In collaboration with the New York State Education Department, continue development of a new English as a Second Language assessment for English Language Learners, aligned with the English Language Arts Performance Standards, to measure student progress and the attainment of exit criteria during the 2001-2002 school year.
Develop a new version of the Language Assessment Battery test for initial identification of English Language Learners during the 2001-2002 school year.

Goal: Assist parents in becoming involved and informed to support high academic achievement by all students.

Objective
Continue implementation of comprehensive district parent involvement programs in Fiscal 2002.
Implement recommendations from the parent satisfaction survey in Fiscal 2002.

BOARD OF EDUCATION

Goal: Increase the Board's ability to monitor capital construction and rehabilitation of school facilities in a timely and cost-effective manner.

Objective
Implement second phase of the Board's capital tracking system in conjunction with the School Construction Authority's Enterprise Resources Planning system by a revised date of Summer 2002.
Evaluate the effectiveness of the pilot program of preventive school maintenance by the end of Fiscal 2002.

Goal: Expand the capacity for technology to ensure connectivity throughout the school system.

Objective
Provide Internet access to 86 additional schools, annexes and off-site locations in Fiscal 2002.
Provide Internet access to 11,323 additional classrooms in Fiscal 2002.
Continue to expand the Board of Education's Internet Web site to make available training and ongoing professional development materials online for teachers in Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- On September 11, 2001, approximately 9,000 students and approximately 1,000 teachers and administrators were successfully evacuated from seven World Trade Center-area schools located in six buildings. Approximately 1,661 students lost a family member and many more witnessed the September 11th disaster. The Board of Education (the Board) implemented several programs to help students cope with the tragedy.
 - In early October 2001 the Board received \$4.2 million from the U.S. Department of Education as part of Project SERV (Schools Emergency Response to Violence) and \$1.3 million from the Federal Emergency Management Agency's (FEMA's) Project Liberty mental health funds to conduct a mental health needs assessment, provide mental health services and augment district and school Crisis Response Teams' capacity to serve students. Initial meetings have taken place with all superintendents and in February 2002 training started to develop the capacity of 12 district and 150 school Crisis Response Teams. Crisis Response Teams will have seven to 12 members, and include coordinators for counseling services, communications and crowd management, as well as community-based providers and New York City Police Department (NYPD) representatives.
 - Since September 2001 the emergency mental health needs of bereaved students and students in schools located near the disaster site are being addressed by programs that have been developed by individual school districts, which draw on school resources and expertise offered by community mental health providers. In addition to school social workers, psychologists and guidance counselors, schools have been partnered with mental health providers such as New York University Child Study Center, Saint Vincent's Hospital and several nonprofit mental health providers. Services include individual and group counseling, support groups, and informational sessions for students, parents and staff.

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- In December 2001 the Board developed an assessment survey to determine the general mental health needs of students as a result of the events of September 11th, the nation's ongoing war on terrorism and continuing bioterrorist threats. Students were surveyed the week of January 28, 2002. Data from this needs assessment will help shape appropriate mental health interventions and programs. The Board's Office of School Programs and Support Services expects initial data to be available by the middle of March 2002.
- In September 2001 the Board assigned the Division of School Facilities (DSF) to assess the conditions of all 33 school buildings south of 14th Street in Manhattan, clean and repair the buildings as necessary, and in conjunction with the Board's Chief Physician, monitor their environmental safety for reoccupancy.
 - In September 2001 DSF tested the air surrounding these school buildings for harmful particulates, including dust and asbestos. With the receipt of acceptable air test results, the Board reopened some schools in September 2001 in consultation with the United Federation of Teachers and the Department of Health (DOH).
 - During the same period the air surrounding the next six closest schools, which are located south of Canal Street and east of Broadway, was tested and school custodial staff cleaned these schools.
 - Seven schools closest to the disaster site needed specific cleaning and monitoring by specialized contractors for removal of asbestos particles and fine dust particulates. As of February 2002, five of these schools have reopened. The Board will reopen the remaining two schools by Spring 2002. These schools will continue to be tested and monitored during occupancy for safety for the duration of the school year.
 - Since September 11th, the Chief Physician has continued to assess and respond to school health implications from the disaster. In planning for the safe return to affected schools, the Board's School Facilities staff, working closely with DOH's environmental health and school health programs, federal and City regulatory agencies, and in consultation with environmental health experts, have addressed air quality issues in Lower Manhattan.
- In September 2001 the Board's Office of Early Childhood Education (OECE) developed two publications. "Practical Approaches to Dealing with Tragedy" is a curriculum guide for students in pre-kindergarten through grade 2 that provides trauma and grief resources, and references for teachers and parents. In conjunction with the Board's Division of Instructional Support, OECE also developed, "Dealing with Prejudice, Stereotyping and Scapegoating in the Aftermath of the September 11, 2001 Tragedy," an instructional strategies document for teachers of grades pre-kindergarten through 12. Community school districts received both documents for use by district and school staff in September and October 2001. Both district and school staff have incorporated the guides as part of their local ongoing professional development activities.
 - In November and December 2001 OECE scheduled training sessions for the directors and coordinators of Early Childhood Education and social workers. The training sessions cover in-depth facilitation for leading meetings with staff and parents on coping with issues of fear, grief and trauma while promoting healing, understanding and tolerance. District staff received a book entitled, "What Happened to the World?" as part of this train-the-trainer series. Upon completion of the training, the Board provided participants with access to "Comfort Kits for Kids," a comprehensive resource containing books, music, a teddy bear and suggested activities designed to provide comfort to children during turbulent times.

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- In September 2001 the Board's Division of Parent and Community Partnerships (DPCP) met with parent leadership of the Title I schools and the Chancellor's Parent Advisory Council to discuss the Board's response to concerns about services available to parents and students in the wake of the September 11th disaster. DPCP distributed School Safety Plan regulations, and disseminated resources for managing grief and promoting tolerance. In addition, DPCP incorporated a message from the Chancellor on crisis management, respect and tolerance in the Fall 2001 edition of the "New York Parent News," a newsletter for parents highlighting initiatives at the Board.
 - In September and October 2001 the Board's Office of School Leadership Teams (OSLT) informed community school district liaisons and high school superintendents of the Board's response to the September 11th events. OSLT provided liaisons and superintendents with trauma and grief lesson plans, community outreach materials developed by the Board as well as detailed instructions on how to provide a safe environment for both students and staff in the wake of a disaster.
 - As part of its citywide Parents Advisory Committee meeting agenda, in October 2001 OECE included a conversation about the "Helpful Information for Talking to Children about Tragedy" document, which provided parents with specific activities and guidance to help them talk to children about the recent tragedy.
 - In November 2001 the Board's Office of Community Partnerships distributed Board-developed trauma and grief outreach materials during an information session for approximately 200 community partners representing community-based organizations and interfaith organizations that provide after-school programs for City public school children.
- The Board's Division of Instructional and Information Technology (DIIT) established temporary connectivity to work around the damage caused by the September 11th disaster. The damage caused long-term and sporadic telephone outage at the Board's offices, completely severed the schools and administrative offices from their Internet Service Provider (ISP), and caused service interruption for the Wide Area Network servicing over 1,200 schools. In addition, in September 2001 DIIT began implementing alternate-routed ISP access to the Internet to ensure more reliable connectivity as a response to the September 11th disaster-related power outages. The alternate-routed ISP access was completed in February 2002.

STUDENT ENROLLMENT

- As of October 2001 approximately 1,102,125 students were enrolled in the City's public school system, compared to 1,108,111 students enrolled in October 2000.
- Preliminary Board data indicates approximately 40,000 students were enrolled in the Universal Pre-Kindergarten program during October 2001, compared to 35,422 students enrolled during October 2000. The Universal Pre-Kindergarten program provides parents of four-year-old children with the opportunity to enroll them in age-appropriate pre-kindergarten educational programs. For the 2001-2002 school year the Board has increased partnerships with contracted early childhood community-based providers to 543 providers representing 27,012 students during October 2001, compared to 457 providers representing 23,450 students during October 2000.
 - During the 2001-2002 school year the Office of Early Childhood Education plans to submit its "Pre-Kindergarten Performance Standards" to community school districts and contracted early childhood community-based providers. These newly developed standards support pre-kindergarten education. From September 2001 to February 2002 OECE convened four citywide professional development sessions for pre-kindergarten specialists, social workers, parents and district directors of early childhood education to support the understanding and implementation of the standards.

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- In December 2001 the Board approved an amendment to its Fiscal 2000-2004 Capital Plan. The Plan had incurred increased construction estimates, costs and project schedule changes necessitating the amendment.
- In conjunction with the School Construction Authority (SCA), the Board plans to create approximately 11,778 seats between October 2001 and September 2002. During October 2001, 1,367 seats were created.
 - Twelve capacity projects, including seven new schools and five new additions, were accelerated for construction completion in the Board's 2000-2004 Capital Plan. Five of these projects will be completed by September 2002. The remaining seven projects will be completed by September 2003. The original plan projected completions between June 2003 and April 2006.

EDUCATIONAL PERFORMANCE AND STANDARDS

- The Board's Summer School 2001 program served a total of 269,620 students: 41,251 students in kindergarten to grade 2; 114,690 students in grades 3 to 8 and 113,679 students in grades 9 to 12. Attendance was mandated for elementary and middle school students who failed to meet promotional standards as of June 2001, as well as high school students making up courses and preparing for August 2001 Regents examinations. Promotion decisions at the end of the 2000-2001 school year were based on multiple criteria and assessment strategies that include achieving proficiency levels on City and State examinations, teachers' assessment of classroom performance and a 90 percent attendance rate. Data on the Summer 2001 program reported in the Fiscal 2001 Mayor's Management Report was preliminary and has been revised based on the final Board analysis and preliminary findings of an independent evaluation. The independent evaluation of Summer 2001, including recommendations for Summer 2002, will be finalized in March 2002.
 - There were a total of 374,411 students registered in the Summer School 2001 program. Of the total, 207,393 mandated and enrichment students in grades kindergarten through 8 were enrolled, with 155,941, or 75.2 percent, attending Summer School 2001, compared to 74.9 percent attending in Summer School 2000. Of the 167,018 mandated and enrichment students in grades 9 through 12 enrolled, 113,679, or 68.1 percent, attended Summer School 2001 compared to 59.2 percent in Summer School 2000. Of the total students who attended, 141,582, or 52.5 percent, were mandated to attend, and 128,038, or 47.5 percent, were enrichment students, attending to better prepare themselves to achieve proficiency on City and State examinations and meet high school Regents standards.
 - All Summer School 2001 students in grades 3 through 8 were assessed at the end of the summer session. English Language Arts, mathematics and English Language Learner (ELL) students took standardized examinations. Grade 8 science and social studies students were assessed through an exit project. The standardized test assessments were one of several criteria used to make promotion decisions for mandated students at the end of the summer session; other criteria included attendance and classwork.
 - Of the 39,520 students in grades 3 to 8 who took the English language arts test, 45 percent showed at least partial understanding, scoring at or above level 2, achieving basic proficiency, compared with 41 percent of students who attained this level during Summer 2000. Of the 49,106 students in grades 3 to 8 who took the math exam, 37.4 percent showed at least partial understanding, scoring at or above level 2, compared to 37.3 percent of students who attained this level during Summer 2000.
 - Of the 71,892 grades 3 to 8 students who were mandated to attend the Summer School 2001 program, 47,462, or 66 percent, were promoted; and 24,430 students, or 34 percent, were retained.

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- In August 2001, 28,962 high school students took the Regents examinations. Of these, 13,958 high school students, or 48.2 percent, passed at least one Regents examination with a score of 55 or higher. Of the 118,472 high school students who were mandated to attend the Summer School 2001 program, 46,721, or 39.4 percent, were promoted; 2,697, or 2.3 percent, graduated; 69,054, or 58.3 percent, were retained.
- A total of 11,601 English Language Learners in grades 3 through 8 were mandated to attend Summer School 2001 or participate in an intensive English program. At the end of the summer program, 7,891 took either the Comprehensive Tests for Basic Skills (CTBS)-Reading exam or Language Assessment Battery (LAB) tests. Of the 5,549 students who took the CTBS-Reading exam, 1,492, or 26.9 percent, achieved proficiency level 2 or higher. Of the 2,342 students who took the LAB tests, 1,927, or 82.3 percent, achieved normal curve equivalent gains, indicating progress toward English language proficiency. A total of 6,690, or 57.7 percent, of mandated students in grades 3 through 8 were promoted at the end of the summer program.
- In Summer School 2001 the Board implemented a summer program for 15,682 ELLs who were served in bilingual or English as a Second Language (ESL) programs for more than three years and who did not meet the English language progress standard. Of the students enrolled in Enrichment/Intensive English classes, 83.6 percent showed progress in gaining English language proficiency through the LAB test.
- During the 2001-2002 school year Academic Intervention Services are being provided to students who were not promoted or who did not achieve proficiency on City and State examinations. These interventions are designed at the district and school level to meet individual student needs through intensive school-day and after-school programs.
- In September 2001, 2,831 were enrolled in the Eight Plus program, compared to 2,292 students who participated in the program during the 2000-2001 school year. Of the 2000-2001 participants, 1,629 students, or 71.1 percent, were promoted to grade 9 between February 2001 and the end of Summer School 2001. The Eight Plus program, implemented at the start of the 2000-2001 school year, provides additional assistance for eighth-grade students who had not met promotion standards to move on to grade 9. Eight Plus emphasizes intensive academic interventions, covering all four core curriculum areas in reduced class sizes of 15 to 20 students, and provides intensive attendance and guidance support services to meet the students' educational, emotional and social needs. Students registered in the Eight Plus program are eligible for promotion to grade 9 at mid-year as well as at the end of the school year.
 - During the 2001-2002 school year 1,084 of the students enrolled in the program are attending Alternative High School collaborative programs in 14 community school districts, which are supervised by high school principals. These programs emphasize a daily literacy block as well as individualized instruction in mathematics and project-based work in social studies and science. In addition, 216 students are repeating the Eight Plus Program for the second time during the 2001-2002 school year. These second time students have been identified for additional instructional services during the school year.
- In support of the Chancellor's promotion policy adopted in Fall 1999 requiring notification of at-risk students, in Fall 2001 the Board included promotion at-risk notifications in report cards of students in grades 3 through 12, which had to be picked up in person by parents. Parents were informed of this requirement by school principals in their announcements regarding Fall 2001 parent-teacher conferences and through a press release from the Chancellor's office.

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- If a parent or caregiver could not or did not attend a parent-teacher conference, school administrators and guidance staff called parents and scheduled a conference for a later date. If all other attempts to contact parents failed, a copy of the report card was mailed by certified/return receipt to the student's address. Individual student progress toward promotion was discussed at the parent-teacher conferences in October and November 2001 and schools distributed the grade-specific pamphlet, "What Did My Child Learn in School Today?" In total, 791,660 parents/caregivers attended the Fall 2001 parent-teacher conferences, including 621,145 parents/caregivers of community school district students, 139,628 parents/caregivers of high school students, 6,277 parent/caregivers of Special Education students in central programs and 24,610 parent/caregivers in the Chancellor's District schools.
- The Board administers the reading, writing and math tests mandated by the City and State to students in grades 3 through 8.
 - Results of the Spring 2001 State mathematics test were released in Fall 2001. During the 2000-2001 school year, 51.8 percent of grade 4 students met and exceeded State mathematic standards (scoring at levels 3 and 4), an increase of 5.5 percentage points from the 1999-2000 school year, while 22.8 percent of grade 8 students met or exceeded math standards, a .2 percentage point increase from the 1999-2000 school year.
 - In Fiscal 2001 students continued to show difficulty in meeting grade level standards in mathematics. Of all students in grades 3 through 8, 34 percent scored in levels 3 and 4 combined, .3 percentage points higher than both Fiscal 2000 and Fiscal 1999.
 - For the 2000-2001 school year, the percentage of students meeting or exceeding grade standards in English Language Arts continued to increase. For students in grades 3, 4, 5, 7 and 8 together, the percentage of students scoring at either proficient or advanced levels (levels 3 and 4) in reading was 40.6 percent, a 1.7 percentage point increase from Fiscal 2000 and a 4.2 percentage point increase from Fiscal 1999. As recommended by the testing service used by the Board, Fiscal 2000 grade 6 test scores and year-to year comparisons involving these results have been omitted due to anomalies in the Fiscal 2000 results.
- In May 2001 the Chancellor established a committee consisting of kindergarten through grade 12 educators and university professors with expertise in math education to advise on the implementation of the Commission on Mathematics Education's recommendations. Among the recommendations made by the Commission were prioritizing, distributing and publicizing the current kindergarten to grade 8 curriculum; establishing a new option for all interested students in grades 9 to 11, emphasizing formal and abstract mathematical competency, and creating a standing committee of experts on curriculum and other mathematics education issues. In addition, the report stresses the importance of recruiting and retaining qualified mathematics instructors and the need for continuous professional development.
 - In September 2001 the Board published and distributed the "K-8 Scope and Sequence" as well as revised and republished the accompanying parent guide, "What Did You Learn in School Today?" The "Scope and Sequence" describes what students should know at each grade level in mathematics as well as the other content areas such as English language arts, science and social studies.
- The Board tracks the graduation and dropout rates of groups of students who enter the public high school system at the same time. Students who entered the public high school system in September 1997 and were scheduled to graduate in June 2001 were tracked for four years to evaluate their graduation and dropout rates.

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- A total of 33,520 students, or 51 percent, graduated by the end of the 2000-2001 school year after four years of high school. This is compared to a revised 33,487 students, or 49.9 percent, for the Class of 2000.
- Additionally, 13,392, or 20.4 percent of the Class of 2001, dropped out of high school by the end of the 2000-2001 school year. This is compared to 12,951 students, or 19.3 percent of the Class of 2000. This is the third consecutive year in which the dropout rate has increased, indicating an upward trend. Board analysis suggests that higher dropout rates may be related to increasing standards for promotion and graduation.
- In accordance with the State's new high school graduation requirements, the graduating Class of 2001 was required to pass the English and mathematics Regents examinations with a score of 55 percent or higher. Of this group, 49,347 students, or 76.3 percent, passed the English Regents with a score of 55 or better, and 54.3 percent passed with a score of 65 to 100. This is in comparison to the graduating Class of 2000, where 75.8 percent passed with a score of 55 or better and 50.9 percent passed with a score of 65 to 100. In mathematics, for the graduating Class of 2001, 72 percent received a score of 55 or better, and 56.6 percent passed with a score of 65 to 100. This is in comparison to the graduating Class of 2000, where 83.7 percent passed with a score of 55 or better, and 49.5 percent passed with a score of 65 to 100.
- All grade 9 students entering high school in September 2001, including Alternative and Vocational high schools, must pass five Regents examinations with a score of 65 percent or higher. The five Regents examinations are English, mathematics, United States history, global studies and science.

INSTRUCTIONAL INITIATIVES

- The Board is continuing to provide Academic Intervention Services (AIS) during the 2001-2002 school year. In Fall 2000 the Board began systemwide implementation of AIS in response to more stringent promotional standards and new State regulations. During the 2000-2001 school year a total of 282,831 students were provided services in English Language Arts, 187,498 students in mathematics, 42,122 students in science and 54,327 students in social studies. AIS is designed to help students who have not achieved proficiency as measured by City and State assessments or who are otherwise determined to be at risk of not meeting standards. Intervention services are provided in the form of additional, supplementary instruction and/or student services such as school guidance and counseling.
- The College Now program, administered jointly by the Board and the City University of New York (CUNY), provides high school students with remedial instruction in reading, writing and math; it also affords students who are academically prepared an opportunity to take courses for college credit. As of October 2001, an estimated 12,500 students from 170 high schools were enrolled in the program at 17 CUNY campuses, compared to 13,111 students from 145 high schools at 17 CUNY campuses in October 2000. The reason for the estimated and lower number for October 2001 as compared to October 2000 is a direct link to the aftermath of the events of September 11, 2001. Several high schools and colleges were closed and registration efforts were hampered by student absences and computer outages. In Fiscal 2002 College Now plans to serve 28,800 students from all high schools citywide through the redoubling of recruitment efforts.
- In September 2001 the College Now Program expanded to serve a revised plan of 3,800 grade 9 and 10 students. This number includes 1,850 former grade 9 students who entered grade 10 in September 2001. The emphasis of the grade 9 program is on improving literacy and mathematics skills; the grade 10 program focuses on Regents Exam preparation.

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- As of September 2001 the Board administered nine Post-Five Young Adult Borough Centers citywide. In June 2001 the George Washington High School Center in Manhattan closed, transferring its students to the Brandeis High School Center in Manhattan; the Sarah J. Hale High School Center in Brooklyn relocated to John Jay High School in Brooklyn. The Post-Five Young Adult Borough Centers program expands educational options for students who have been in high school for five or more years. These centers provide young people additional help to progress towards graduation by offering flexible instructional hours, smaller classes and targeted support services to meet students' personal needs.
 - In Fall 2001 the program served 2,728 students, compared to 1,570 students in Fall 2000. The increase in enrollment is due to more students staying in high school for more than four years as a result of the new graduation requirements. Approximately 1,211 students are expected to graduate from the program during the 2001-2002 school year.
- The task force on the City's middle schools, created in May 2001, released its recommendations in November 2001. The task force analyzed declining performance in the City's middle schools by reviewing standardized test scores, attendance and promotion figures for the City's approximately 250,000 students in grades 6 through 8. The task force recommendations included a professional development program for teachers to improve knowledge of curriculum areas and increased teaching skills; academic intervention programs that have proven effective at the elementary level, including extended day programs and weekend programs focused on literacy and math; lower student class size initiatives; upgrading of science laboratories and science equipment; and the alignment of middle school and high school instruction.
 - During Fiscal 2002 the Board will conduct a needs assessment of middle school science laboratories to survey the condition and prioritize upgrades, repairs and the resupply of the laboratories. The availability of these laboratories better prepares students for their grade 8 science standardized State assessment and exit projects, and provides students with skills necessary to meet the expanded academic challenges of the new high school Regents' requirements.
 - In collaboration with a national educational organization group on middle school reform, private corporations and public community organizations, the Board will sponsor a series of three best practices forums by the end of the 2001-2002 school year. These forums will focus on such subjects as using data to support classroom instruction, closing the learning gap with minority students and using technology in the classroom.

ADMINISTRATIVE INITIATIVES

- During the 2001-2002 school year the Board continued to implement the Early Grade Size Reduction program. Through the use of both federal and State funds, the program seeks to reduce class size to an average of 20 students in grades kindergarten to 3 over a three-year period, beginning in the 1999-2000 school year. At the beginning of the 2001-2002 school year the Board created approximately 1,592 additional classes, slightly more than planned, to move toward the goal of reducing class size to 20, compared to approximately 1,563 classes created at the beginning of the 2000-2001 school year. For the 2001-2002 school year, the goal of reducing classroom size to 20 students has been achieved in kindergarten.
- As of November 2001 the Board supported 3,267 students at 17 charter schools. The Charter School Initiative was introduced in February 1999. In September 2001, three charter schools opened, compared to 10 schools in September 2000. Three additional schools are scheduled to open in Fall 2002. Charter schools are publicly funded, privately managed schools, which are independent of the regulations and procedures governing other public schools.

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- In September 2001, two schools that relinquished their charter status in Fiscal 2001 converted to regular Board schools. These converted schools are part of a newly established Board Learning Zone that provides high-performing schools with a regulatory and contractual autonomy from the Board in return for increased responsibility and accountability for student achievement.
- During the first four months of Fiscal 2002 the Board undertook several actions in support of a plan developed with the aid of business leaders to reorganize the Central Board staff and announced its Initiative on Management and Accountability. The initiative plans to increase responsibility and foster greater accountability at the district level through comprehensive performance profiles and regular performance review meetings with superintendents; creation of a service-oriented approach to central offices functions; and implementation of a new seven-day-a-week parent information hotline.
 - In August 2001 the Board implemented District Performance Profiles (DPPs), a district accountability and performance measurement process for both community and high school districts, in which data used by superintendents such as student achievement, budget and management of staff are brought together to evaluate and improve district performance. All initial evaluations for the community school district superintendents are completed; ongoing follow-up meetings are taking place throughout the school year. Initial evaluations for the high school district superintendents began in January 2002. DPPs include an annual superintendent evaluation in which the superintendent, Chancellor and Deputy Chancellors review the district's Comprehensive Educational Plan, an annual planning document containing an action plan to achieve the district's goal, plus parent satisfaction survey data and a confidential principal performance review. During follow-up meetings with individual or groups of superintendents throughout the year, new data is analyzed, progress is assessed and district best practices are shared.
 - To support geographic mapping for these sessions, in September 2001 the Board implemented the use of Statistical Mapping and Research Technology, SMART MAP, to depict the school system's or an individual district's performance. SMART MAP presents academic, demographic and operational data in map form to help principals and superintendents analyze trends in performance and identify areas in which they need to focus.
 - In December 2001 the Chancellor announced a new Parent Hotline, available to parents of public school students and the general public. The system operates Monday through Friday, from 6 AM to 9 PM, and from 9 AM to 5 PM on weekends. In November and December 2001 the Board trained central and district staff on how to use the hotline to track parent complaints and inquiries. This service is a direct outgrowth of the Board's Parent Satisfaction Survey, undertaken in June 2000, and responds to the expressed need of parents for improved communication. Questions or complaints from callers are logged and tracked through online reports until each parent's issue has been satisfactorily resolved. Calls are referred to the appropriate division at the Board, and then tracked by division and topic to ensure that parents receive timely and coordinated response.
- Since 1989 the State Education Department (SED) has annually identified schools that have failed to meet the State criteria in reading and/or mathematics. Based on annual performance, the schools furthest from State standards are identified as Schools Under Registration Review (SURR). In January 2002, 12 new schools were added to the SURR list and 19 schools were removed. Four of the newly added schools had previously appeared on the SURR list. In addition, the Board closed 14 schools that were on the previous SURR list. Two middle schools not meeting academic targets will be closed in June 2002. As of January 2002 the Board has a total of 77 SURR schools, compared to 98 SURR schools in Fiscal 2001.

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- In September 2001 the Board expanded the Extended Time Schools program from 40 to 45 SURR schools. The school day for each of these schools is lengthened by 40 minutes and five days are added to the school's year. Teachers receive intensive, on-site professional development. Students benefit from more classroom time, small group instruction, a uniform 90-minute reading block and extended-day academic programs.

PARENT INVOLVEMENT

- In September 2001 the Board focused one of its divisions and two offices within the division to reflect its continued commitment to engage parents and community groups as partners and stakeholders in student academic achievement.
 - In Fall 2001 the Division of Parent and Community Partnerships (DPCP), previously called the Division of Funded and Community Resources, released the second edition of "New York Parent News." The second edition featured articles on the Board's Parent Satisfaction Survey, the reform of bilingual education, the School Leadership Team initiative, the Chancellor's Parent Advisory Council, and crisis management, respect and tolerance. Additional newsletters will be released in Spring and Summer 2002. The first issue of the newsletter is also available on the Board's Web site, which can be accessed through NYC.GOV, the City's official Web site. By the end of the 2001-2002 school year, the newsletter will be available in Spanish.
 - During Fall 2001 approximately 1,053 parents visited the Office of Parent Partnerships (OPP), previously called the Office of Parent Advocacy and Engagement, and the Office has responded to approximately 7,300 parent telephone calls. In addition, OPP has distributed over 30,000 brochures to parents on such topics as how to help students with homework, how to help students resolve conflict, parents' rights and responsibilities, improving parent-teacher communication, and using the Internet to help students with their education.
 - In July 2001 DPCP opened a Parent Resource Center at the Central Board that houses videotapes, annual school report cards, district performance indicators, and the annual High School Directory. In collaboration with other Board central offices and several nonprofit organizations, the center hosts the parent Professional Development Series. This series includes workshops on such topics as new Board initiatives, parents' rights and responsibilities, School Leadership Teams, volunteering and parent associations. From July through November 2001, the Center hosted 10 sessions with over 50 participants.
 - In Fall 2001 the Office of Community Partnerships, previously called the Office of Community Relations, published the "Directory of Community Organizations in Partnerships with New York City Public Schools," and in November and December 2001 the directory was distributed to school principals and superintendents as well as community and faith-based organizations. The directory lists 759 community organizations including the service provided, school district and borough.
- In Fiscal 2002 School Leadership Teams (SLTs) will continue to work on developing school Comprehensive Educational Plans (CEPs), align them to their school's budget and enhance parental involvement. SLTs help improve schools by involving parents and school staff in decision-making at the school level. SLTs are composed of 50 percent parents and 50 percent school staff and every high school is required to have at least two student members.
 - In June 2001 the Board asked each school to complete an SLT survey. By Fall 2001 there was a 93.4 percent completion rate, the largest response to date as a result of having the survey completed through the Board's Web site for the first time. According to the survey, the majority of teams would like to receive computer training and counseling on how to increase parental involvement.

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- In response to survey findings, during September 2001 the Office of School Leadership Teams (OSLT) arranged for a nonprofit organization to offer a series of workshops for teams on using computers for preparing and revising the school's CEP and accessing the Board's Web site and the Internet for research. In addition, in December 2001 OSLT developed a handout on strategies to increase both parent and staff involvement on SLTs, which has been distributed to and discussed with district SLT liaisons. A follow-up workshop on Parent Involvement for the 21st Century was provided in January 2002 for district SLT liaisons by the nonprofit organization with the expectation that liaisons will also share this material with the teams in their district.
- During Summer and Fall 2001 OSLT provided workshops on SLTs to both new principals and incumbent principals. These workshops covered such issues as the New York State Governance law, the Chancellor's Plan for School Leadership Teams, and use of SLT funding allocations.
- As of June 2001 approximately 22,500 parents completed and returned the Board's Parent Satisfaction Survey, a response rate of 18 percent. In May 2001 the Board sent the survey to approximately 125,000 parents to identify current levels of parent satisfaction as well as parental priorities and concerns. The survey was available in a variety of languages, including English, Spanish, Cantonese, Russian and Haitian Creole. Of the parents who responded, more than half agreed that their child's school was safe, kept in good repair, provided supplies for learning, had a principal who did a good job and had an environment that helped their child learn. When asked to grade on a scale of A to F, 72 percent of the responding parents gave their child's school a B or better. In response to the survey the Board has implemented the following:
 - During November and December 2001 OPP scheduled district meetings with the eight district parent liaisons and superintendents that needed to improve parent involvement. The focus of the meetings was to develop targeted technical assistance and deliver leadership development programs on parent involvement for Spring 2002.
 - During July, September and October 2001 the Board used an automated telephone-messaging system to inform parents about parent-teacher conferences, that their children might be required to attend summer school or that their child was having an attendance problem. As of January 2002 this Keep-In-Touch system placed over 1,104,000 calls. The system was implemented in June 2001 to increase communications between the Board and parents.

BILINGUAL/ENGLISH AS A SECOND LANGUAGE INSTRUCTION

- In February 2001 the Central Board adopted the Chancellor's recommendations on the Education of English Language Learners (ELLs) in accordance with the recommendations of the City's Task Force on Bilingual Education. The recommendations included parental choice among available programs, achieving a goal to develop English proficiency in three years for ELLs, creating intensive language programs, ending the practice of alternating between programs from year to year, investigating second language development for students with disabilities, revising entry and exit assessment and criteria, and improving teacher quality.
 - From August to October 2001 parent orientations for newly enrolled ELLs were held in all districts. The Board's Office of English Language Learners (OELL) and Office of Monitoring and School Improvement (OMSI) staff attended 250 parent orientations. A parent video and manual, "The Parent Connection: A Guide for Parents," was prepared in eight languages, in addition to English, to assist districts in conducting the parent orientations. As of January 2002, 5,750 videos and 43,800 parent manuals have been distributed. A video and guide for parents of high school ELLs is being produced for dissemination by September 2002.

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- In Fall 2001 the Board began the parent choice initiative for ELLs new to the City's public school system. Prior to placement of newly identified ELLs, parents received a letter providing them with an overview of program choices and explaining their options. In addition, parents were advised to participate in parent orientation sessions conducted by districts and schools where they would get more detailed program information and have an opportunity to ask questions and discuss their concerns and options with district and school staff. Program descriptions include the philosophy, the goal, the instructional methods, any special services and any target populations within each program. The descriptions also include the exit rate, academic performance during the program and academic performance after exiting the program. In August 2001 OELL organized a Parent Outreach and Leadership Development Unit to provide additional support to parents.
- Starting in Fall 2001 the Board is piloting the new Accelerated Academic English Language Model (AAELM), sometimes called "High Intensity English," in 30 citywide classrooms serving approximately 600 newly enrolled ELLs. The Board plans to serve 800 ELLs in 36 classrooms by Spring 2002. In May 2001 the Board began development of AAELM, which consists of self-contained classes comprised exclusively of ELLs who will have the benefit of ESL instructional methodologies throughout the day rather than only through pull-out instructional groups. The program offers additional instructional support through extended school days, summer school, Saturday classes, the use of online technology for students, and ongoing professional development for teachers. In addition to classroom support throughout the school year, professional development activities for teachers were conducted from October 2001 through February 2002. The accelerated program specifically targets ELLs in grades 4 through 9 with the greatest language needs, students at the beginning or intermediate levels of English language proficiency, as determined by the results of the Language Assessment Battery test.
- As of September 2001, the Board has 62 dual-language programs in grades kindergarten through 8. Fifteen additional programs are in the planning phase for implementation in September 2002.
- In collaboration with community organizations, in September 2001 OELL established the Dual Language Clearinghouse to coordinate citywide professional development activities. From September 2001 to January 2002, the clearinghouse organized two meetings to provide principals with information on organizational designs, professional development and staff supervision, and on language development and literacy in the dual language classroom. In addition, in October 2001 OELL developed the draft "Dual-Language/Two-Way Model: Guidelines and Strategies for Implementation" manual. OELL plans to release a final version of this manual by Fall 2002.
- In March 2002 the Board's Bilingual Advisory Council, established in February 2001, will convene to address the practice of changing students' educational programs from year to year with the goal of minimizing or ending, mixed programs. In addition, superintendents will suggest strategies to end this practice and will discuss designating ELLs based on their individual program placement history, to minimize occurrences of alternating between programs from year to year. Since August 2001, parents are informed that their child is expected to remain in their chosen program for the remainder of the school year during parent orientations, through the parent selection form and in a letter from their principal.
- During the 2001-2002 school year the Board's Division of Assessment and Accountability (DAA) will develop a study examining the academic performance of ELLs receiving special education services. The data will be shared with superintendents in Spring 2002. District superintendents are responsible for ensuring that ELLs are not misidentified as students with disabilities because of their limited English proficiency.

BOARD OF EDUCATION

- In Fiscal 2003 the Language Assessment Battery test will be replaced with two exams that are under development by the Board and SED: the revised LAB test and the New York State Education Spanish Language Assessment Test (NYSESLAT). These exams are designed to be used in tandem.
 - The Board is developing the revised LAB test for use in the initial identification of ELLs. The revised LAB test will be used to determine whether a student is entitled to bilingual and/or ESL services. This new version of the LAB test will consist of four sections: listening, reading, speaking and writing. Subsequent to a pilot that will be performed in Spring 2002, beginning in September 2002, the revised LAB will be given to all newly admitted students in kindergarten to grade 12 whose Home Language Information Survey has determined that the student may be a potential ELL and eligible for ELL services.
 - SED is developing the NYSESLAT for use to determine students' progress in learning English and to assess whether they have met program exit criteria. Board staff is participating in the selection of questions for the test item bank. SED plans to begin using this test in Spring 2003.
- In January 2002 the Board provided training to district teams consisting of Spanish bilingual teachers and school administrators in the use of a performance-based assessment in Spanish called, "El Sistema de Observación de la Lecto-Escritura" (El Sol). The Board plans to pilot test El Sol during Spring 2002. El Sol measures the language arts progress of Spanish-speaking ELLs in kindergarten to grade 3. Like its English counterpart, the Early Childhood Literacy Assessment System (ECLAS), El Sol is a diagnostic tool that helps teachers follow students' literacy development and tailor classroom instruction according to students' needs. The Board expects to fully implement El Sol citywide during the 2002-2003 school year.

SPECIAL EDUCATION

- During the first four months of Fiscal 2002, 153,134 students received special education services, a decrease of 6,414 students from the 159,548 students during the first four months of Fiscal 2001. The 2001-2002 school year marks the second time there has been a reduction in special education enrollment since the 1985-1986 school year.
 - During the first four months of Fiscal 2002, 1,459 students were decertified from special education, a decrease of 36.2 percent from 2,288 students for the same period during Fiscal 2001. This decrease is due to a steady decline in initial referrals to special education, continuing lower acceptance rate into special education when referrals are made and gradual improvements to ensure that students are receiving the appropriate services.
 - During the first four months of Fiscal 2002, 6,252 students were initially referred to special education, a decrease of 7.7 percent from 6,773 for the same period during Fiscal 2001.
 - During the first four months of Fiscal 2002, 7,417 students were placed in a less restrictive setting, an increase of 27.9 percent from 5,800 students for the same period during Fiscal 2001. This increase is due to the Board identifying appropriate school settings for students with disabilities to enable more integration within general education classes. This has resulted in an increase in students moving to less restrictive environments.

BOARD OF EDUCATION

- As of the end of October 2001, 56.8 percent of students enrolled in Special Education had an Individualized Educational Program (IEP) review and are receiving services consistent with the new continuum. In Fiscal 2002 the Board will continue to implement the new continuum of special education services entitled, "Special Education Services as Part of a Unified Service Delivery System." Its implementation represents the final phase of restructuring special education services that began with the Task Force on Special Education Reform in 1998. The continuum places emphasis on creating and expanding intervention and prevention activities to maintain students at risk of referral to special education in the general education classroom.
 - The Board's Office of Monitoring and School Improvement is overseeing districts to ensure all students' IEPs are reviewed by June 2002 and have a program recommendation consistent with the new continuum.
 - By the start of the 2001-2002 school year the Board had trained all staff members involved in the new initiative. It is continuing its staff development during the school year.

OPERATIONS

Health Initiatives

- In April 2000 HealthStat began to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, all City agencies and hundreds of community groups were mobilized to enroll eligible families and children in Child Health Plus and Medicaid. As a direct result of HealthStat activities, over 200,000 individuals have been enrolled in public health insurance programs.
 - In November 2001, 10 schools were awarded educational grants as part of the School Incentive Program, which rewarded schools for enrolling eligible children in Child Health Plus. Schools can earn up to \$50,000, depending on the number of children they enroll. Seven of the schools were in Brooklyn and three were in Queens. Schools are free to use these grants for any educational purpose.
 - In September 2001, during the first two days of school over 300 schools had health insurance enrollers on-site conducting education, outreach and enrollment services. Approximately 1,000 children were enrolled in Child Health Plus as a result of this effort. The Board continues to distribute HealthStat information to parents and students on a regular basis. Parents indicating interest in Child Health Plus are referred to community-based enrollers convenient to them.
 - In September 2001 newly revised emergency home contact cards were made available to schools. For the first time, the card asked families whether their children had health insurance and provided a way for parents of uninsured students to request enrollment information. Schools are required to have the cards on file for all students and use them to assess how many students might qualify for Child Health Plus enrollment.
 - In September 2001 school safety officers were given HealthStat posters and flyers to display at their desks.
- The School Health Commission's report, focusing on key health issues affecting children, is in its final editing stages and will be presented to the Chancellor during Calendar 2002, which is a revised date. The Board's Chief Physician, together with the Advisory Commission, identified the following as significant issues: asthma, vision and hearing, mental health, nutrition, physical fitness, health promotion and education, and the computerized information systems to support school health.

BOARD OF EDUCATION

- In October 2001 a new health component was incorporated into the Web-based School Safety Plan to improve school responsiveness to health emergencies. Developed by the Chief Physician, the component assures that schools will address staffing, policies and procedures regarding health emergencies. In Fiscal 2002 the Board will review schools' responses to indicate whether further modifications of the component are needed. It will also provide an assessment of staffing, training and supplies required for school responsiveness to health emergencies.
- During Fiscal 2001 the Chief Physician and staff from four community school districts began working on a pilot with DOH's School Health Program and Health and Hospitals Corporation's Metroplus Health Plan to simplify the procedures by which general education students receive their asthma medications in school, known as the 540 Plan. Pending results of this pilot by the end of the 2001-2002 school year, the Board plans to expand this new procedure citywide during the 2002-2003 school year.

Teacher Recruitment Initiatives

- During the 2001-2002 school year a consortium of six CUNY institutions and seven private colleges and universities are participating in an expanded NYC Teaching Fellows program, a collaborative alternative certification program with the Board and CUNY. All Fellows participate in seven weeks of service training prior to entering the classroom, which includes coursework and modified student-teaching experience. Once Fellows begin their full-time class assignments, they continue in a fully paid Master's program in teacher education, receive school and university mentoring and further support from the fellowship network. Each of the consortium colleges is paired with a participating school district to customize the college program to meet the district's needs, coordinate support activities and create a cohort of teachers within the district and schools to mentor the Fellows within their district.

Student Support

- In Fiscal 2002 the Board plans to raise students' average overall attendance rate to at least 90 percent. As of December 2001 the rate was 89 percent compared to 89.3 percent in October 2000. In October 2001 the Board established an attendance task force to review data, target problem areas, and develop plans for improvement. Since December 2001 the daily attendance rates for every school district is posted by the Board on its Web site, which can be accessed through NYC.GOV.
- During Fall 2001 the Second Opportunity Schools (SOS) program expanded from 100 seats in the Bronx to 300 seats in the Bronx, Manhattan and Brooklyn. As of the end of January 2002, 76 students were enrolled in the program. The Board plans to open an additional program in Queens by September 2002 contingent on identifying a suitable location. SOS programs provide a more structured environment for students in grades 7 to 12 who have severe behavioral problems and who have been suspended from traditional public schools. The Board operates the program in collaboration with three community-based organizations.

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- Between September and December 2001 approximately 1,200 students have been removed from the classroom and placed in an alternative instructional setting during their suspension. In addition, there have been approximately 8,400 student suspensions. Students are suspended when they violate the Board's Code of Conduct. Many of these students were receiving their education services at In-School Suspension Centers. In Fiscal 2002 the Board allocated \$10 million to establish special classrooms in schools selected by each district throughout the City where disruptive students may continue their studies in an intensive tutorial setting while temporarily removed from their regular classes. These centers provide support services to help students develop skills in interpersonal relationships and in understanding how to appropriately handle situations, thereby preventing future suspensions. Students are provided with schoolwork assignments from their regular classroom teachers to ensure academic continuity.

Safety

- An online school safety planning process, implemented during the 2000-2001 school year, was used by all schools to update and edit their 2001-2002 School Safety Plans by October 2001. NYPD is currently reviewing the Board's finalized plans. The online School Safety System enables the Board to monitor the preparation and approval of the Safety Plans and provides real-time information that will be critical to emergency first response agencies.
 - In September 2001 the Board added new sections to the Safety Plans to address mandates required by the State's Safe Schools Against Violence in Education (SAVE) legislation. These sections include identifying a school's internal communication system, emergency response team, a third evacuation location in the event of a large-scale disaster, and a medical response that includes mental health services.
- In July 2001 the Board began a school level phase-in of the Online Occurrence Reporting System to enhance its Emergency Information Center (EIC). This automated system enables school-based personnel to provide data and information on incidents, injuries and accidents to Board officials and outside monitoring and oversight agencies. Based on findings of a Board survey to determine which districts possess the technological connectivity and the staffing capacity to serve as a pilot district, in March 2002 the Board expects to have over 450 schools in 10 districts using this new system at the school level. The Board plans to have 80 percent of all schools using the online system by June 2002 and the remaining schools by June 2003. During the 2001-2002 school year all district and school administrators will receive training on the new system before enabling access at the school level. EIC was created in Fiscal 2000 to receive early notification about noteworthy incidents in and around schools.

TECHNOLOGY

- During the first four months of Fiscal 2002 the Board's Division of Instructional and Information Technology brought full voice/data infrastructure to 84 schools, annexes and off-site facilities and connected them to the Internet. This represents approximately 3,780 classrooms.
- In collaboration with a private computer company, in January 2002 DIIT provided Internet-based e-mail to approximately 78,000 teachers. This WebMAIL system provides users with e-mail access from any Internet-accessible computer. Teacher WebMAIL will facilitate communication among teachers, between teachers and administrators, and between teachers and parents. Users will be able to access list servers, professional discussions and share teaching materials and strategies.
 - In addition, the Board's Office of Instructional Technology (OIT) is creating an online professional development portal. This portal will offer professional development courses to all City teachers. The portal will be made available to teachers in late Spring 2002.

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- OIT is developing a City Technology Standards document, which will establish grade-by-grade technology competencies that students are expected to achieve; it will also align them to standards-based activities in Language Arts, mathematics, science and other subjects. In July 2001 the Board published document sections for grades kindergarten through 8 on its Web site, NYCENET.EDU, which can be accessed through NYC.GOV. The Board plans to have the entire document, including grades 9 through 12, online by January 2003.
- At the beginning of the 2001-2002 school year, 21 community school districts were running "Galaxy," a computer program that enables school and community school district staff to create and manage their budgets online. By Fall 2002 all 32 community school districts will run Galaxy. With the use of this computer program, community school districts create funding allocations for schools that are consistent with their Superintendent's program and funding strategy. Each school then develops and has the ability to modify their budgets.

SCHOOL FACILITIES

- In Fiscal 2002 the Board is continuing to work with a nonprofit corporation to establish priorities and identify field facilities for renovation as part of the Take the Field program. In the first six months of Fiscal 2002, seven projects are under construction: Adlai E. Stevenson High School and John F. Kennedy High School in the Bronx; Abraham Lincoln High School and New Utrecht High School in Brooklyn; and Beach Channel High School, Jamaica High School, and Springfield Gardens High School in Queens. In addition, six other Take the Field Fiscal 2002 projects are in design. These include the design of field facilities at South Shore High School in Brooklyn; Christopher Columbus High School in the Bronx; Benjamin Cardozo High School, Campus Magnet High School, and Martin Van Buren High School in Queens; and Murry Bergtraum High School in Manhattan. The current estimate for the Fiscal 2002 program is \$36 million, including \$27.5 million in City funding. All projects are scheduled for completion by June 2002. In addition, the nonprofit corporation has agreed to renovate the existing play yard at PS 161 in Manhattan as part of its Fiscal 2002 program.
- In conjunction with the City and a private nonprofit foundation, the Board is developing a program to renovate elementary school libraries and staff them with certified librarians. Of the 10 schools identified covering all five boroughs, the Board completed renovations on four schools by January 2002. Renovations at the six remaining schools will be completed by Summer 2002.
- In August 2001 the Chancellor announced the hiring of a consultant to advise and oversee the implementation of the Chancellor's proposal to reorganize the Board's Division of School Facilities. Recommendations for the reorganization of DSF are being developed and are expected to be released by the end of Fiscal 2002.
- By the end of Fiscal 2002 the Board will enhance its capital tracking and financial reporting through SCA's Enterprise Resource Planning (ERP) system. In November 2001 staff from DSF received initial training from SCA for limited access to capital project-related financial data. When fully implemented, the Board will be able to query capital project data. The ERP system currently allows the Board to initiate and approve capital projects electronically.
- During the first four months of Fiscal 2002, the Board corrected 2,129 hazardous and nonhazardous building violations. This includes work funded by \$5 million in federal Community Development funds for violation corrections and the Board's maintenance funds. The work includes correction of kitchen violations, leaking roofs, windows, exterior building repairs and cement work.

BOARD OF EDUCATION

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Board's expenditures were \$3.5 billion. The Board's Fiscal 2001 expenditures were \$11.6 billion.
- The City's Financial Plan of February 2002 outlines \$100.1 million in Fiscal 2002 and \$358.3 million in Fiscal 2003 in funding reductions. The Board has planned expenditures of \$11.7 billion for both Fiscal 2002 and Fiscal 2003.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
General Education and Resource Room Pupils At or Above Grade Level in Mathematics – All Levels (Grades 3-8)	60.4%	59.3%	50% (a)	NA	NA	NA	NA
General Education and Resource Room Pupils At or Above Grade Level in Reading – All Levels	47.3%	43.6%	48.5% (a)	NA	NA	NA	NA
General Education and Resource Room Pupils Meeting and Exceeding Standards in Mathematics – All Levels	NI	NI	33.7%	33.7%	34%	NA	NA
General Education and Resource Room Pupils Meeting and Exceeding Standards in English Language Arts – All Levels	NI	NI	35.1%	39.8%	39%	NA	NA
Attendance	87.1%	87.9%	88%	88.1%	88%	89.3%	89%
Students Achieving ELL Progress Standards Elementary Schools – Language Assessment Battery Test (English LAB)	59.2%	58.9%	60.5%	63%	65.5%	NA	NA
Students Achieving ELL Progress Standards Elementary Schools – Native Language Reading (Spanish)	59.2%	60.4%	61.1%	61.8%	65.2%	NA	NA
Students Achieving ELL Progress Standards Middle Schools – Language Assessment Battery Test (English LAB)	54.1%	48.4%	54.4%	51.4%	54.5%	NA	NA
Students Achieving ELL Progress Standards Middle Schools – Native Language Reading (Spanish)	53.2%	53.3%	53.8%	54%	56%	NA	NA

- (a) This figure represents test results for students in grades 3, 5, 6 and 7. Indicators reflecting student performance at or above grade level in mathematics and reading have been replaced with indicators reflecting students meeting or exceeding standards. The Board aligned City and State test results.

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The City University of New York consists of 10 senior colleges, six community colleges, one technical college, a graduate center, a law school and a school of biomedical education. The colleges that comprise CUNY, some of which date back to the nineteenth century, were combined to create the CUNY system in 1961. The University is governed by a 17-member Board of Trustees. Ten of the Trustees are appointed by the Governor and five by the Mayor; two, the chairpersons of the Faculty Senate and the Student Senate, serve as ex-officio members.

GOALS AND OBJECTIVES

Goal: Establish clear and objective performance standards for student admission to baccalaureate programs and readiness for college-level work at all CUNY colleges.

Objective
Admit a freshman class to CUNY baccalaureate programs at Baruch, Brooklyn, City, Hunter, Lehman, Queens and York colleges with a mean combined SAT score of 1059 in Fall 2001 and 1069 in Fall 2002, excluding students admitted to the SEEK program.
Admit a freshman class to CUNY baccalaureate programs at Baruch, Brooklyn, City, Hunter, Lehman, Queens and York colleges with a mean college admissions average of 85.3 in Fall 2001 and 85.8 in Fall 2002, excluding students admitted to the SEEK program.
Continue to assess the validity of CUNY/American College Testing reading and writing skills assessment tests by correlating test scores with course work performance in Fiscal 2002.
Establish a research program to evaluate current minimum passing scores on CUNY/American College Testing reading and writing tests in Fiscal 2002.

Goal: Collaborate with the Board of Education to maximize the college readiness of local high school graduates and improve the training of public school teachers.

Objective
Expand participation in the College Now program to all public high schools during the 2001-2002 academic year.
Raise the pass rate to an average of 82% for Teacher Education program graduates at all CUNY colleges on the Liberal Arts and Sciences portion of the State Teacher Certification Examination for 2001-2002 graduates, and to an average of 84% for 2002-2003 graduates.

Goal: Attract and admit students who are prepared to do college-level work.

Objective
Enroll a revised 25,129 freshmen in Fall 2001 and 25,422 freshmen in Fall 2002.
Expand the Prelude to Success Program for applicants to CUNY baccalaureate programs who meet admissions criteria but who are not prepared to do college-level work to include City, Lehman and York colleges by Fall 2001.
Establish three pilot pre-college remedial programs to provide year-round instruction in basic skills during the 2001-2002 academic year.
Admit the first class of 200 Honors College University Scholars Program freshmen in Fall 2001; expand enrollment to 230 freshmen by Fall 2002.
Expand the Honors College University Scholars Program in Fall 2002 academic year to seven colleges.

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Goal: Improve the academic performance of CUNY's undergraduates.

Objective

Continue to assess the validity of the CUNY Proficiency Examination and the appropriateness of the passing score in Fiscal 2002.

Contract with a vendor to create new examination forms and score the CUNY Proficiency Examination in Fiscal 2002.

Goal: Promote systemwide and campus accountability through performance assessment, performance-based budgeting and increased access to student information.

Objective

Continue to refine the indicators used to measure the progress of each CUNY college toward University goals during Fiscal 2002.

Evaluate the progress of all CUNY colleges toward common objectives during both the 2001-2002 and 2002-2003 academic years.

Add admissions and skills data to a universitywide student database and continue training central and college administration on the use of the system during Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

- The City University of New York (CUNY) is the largest municipal university system in the nation. In Fall 2001 enrollment was 197,354 students, with 133,856 students in the senior colleges, which include graduate schools and professional programs; additionally, there were 63,498 students in the community colleges. In comparison, there were 195,403 students enrolled in Fall 2000, with 132,308 students in the senior colleges, and 63,095 students in the community colleges. During the 2000-2001 academic year CUNY conferred 28,931 degrees ranging from certificates to doctorates, compared to 28,079 degrees during the 1999-2000 academic year.
- During the first four months of Fiscal 2002 CUNY continued to implement the plans set forth in its Master Plan 2000-2004, approved by the New York State Board of Regents in September 2000. The plan includes reforming remedial education, creating flagship programs and an Honors College, improving teacher education, building collaborations with the City's public schools, establishing new ties with business and labor, recruiting academically prepared students and revamping administrative systems. In addition, CUNY will continue to raise funds from private foundations and alumni to supplement revenue. CUNY presidents are held responsible for their ability to increase alumni giving, tap new sources of revenue from foundations and augment external grants.

WORLD TRADE CENTER RESPONSE EFFORTS

- At least 145 current and former CUNY students and one staff member are known victims of the September 11th disaster. Fiterman Hall, a 15-story academic and administrative building, was severely damaged during the events of September 11th. The building was being renovated to house 70 Borough of Manhattan Community College (BMCC) classrooms and computer labs serving 250 classes. Fiterman Hall also housed BMCC's Telemedia Accelerator, the first CUNY public-private partnership in digital technology as well as the administrative offices of CUNY's Research Foundation. In addition, BMCC's entire adult and continuing education program and workforce development program were located in Fiterman Hall. BMCC lost \$3.5 million in equipment that was located in Fiterman Hall.

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- The plans for rebuilding or repairing Fiterman Hall continue to be the subject of ongoing discussion between the State Dormitory Authority, which financed the renovation, and CUNY's insurance company.
- BMCC's main campus is located in the zone surrounding the World Trade Center site that was initially frozen. Immediately after the September 11th disaster, BMCC became the command post for a number of agencies because of its location and physical layout. BMCC responded by opening its main campus and offering the use of the college's equipment, emergency power and facilities to emergency service units such as the Port Authority Police Department, the Fire Department of the City of New York and Emergency Medical Service, the New York City Police Department and the Mayor's Office of Emergency Management. BMCC provided these agencies with housekeeping and security support to ensure they had clean and secure field command facilities for triage staging, administrative and communications support, medical treatment, dorming, eating, and distribution and storage of emergency supplies.
- On October 1st, in collaboration with City officials and CUNY central administration, BMCC administrators reopened the main campus of the college. During the prior three weeks, BMCC replaced 12 lost classrooms by purchasing six large trailers. The college constructed 18 more classrooms and computer labs in the common spaces inside the building of the main campus. During the weekend of September 21st, college employees called each of BMCC's approximately 16,500 students to inform them of the college's reopening. Once classes resumed, BMCC counselors extended their hours to assist students who were experiencing trauma as a result of the events of September 11th and the temporary closure of BMCC.
- Several CUNY Colleges assisted in the response and recovery efforts following the September 11th disaster.
 - New York City Technical College nurse practitioners treated September 11th disaster evacuees for cuts and respiratory problems.
 - At Baruch College's Subotnick Financial Services Center, the virtual trading floor became an actual place of business from September 17th to the end of October, with extra phone lines installed to enable Wall Street brokers who were left without offices downtown to continue trading.
 - Within hours of the attack, the Hunter College Center for Analysis and Research of Spatial Information helped City officials map the shifting terrain and smoldering fires of the World Trade Center site and warn firefighters and rescue workers of danger zones.
- Within 36 hours of the attacks, CUNY opened a mental health telephone help line staffed by more than 100 faculty trained in psychology, psychiatry and counseling to assist students and City residents. The help line received over 700 calls during the two-week period after September 11th.

TRANSFORMING THE UNIVERSITY

Redesigning Remedial Education

- As planned, in Fall 2001 CUNY eliminated remediation at City, Lehman, Medgar Evers and York colleges; this completes the phase-in of its new remedial education policy in the baccalaureate programs. Under this policy, which received the approval of the State Board of Regents in November 1999, students who cannot demonstrate that they are prepared to do college-level work are not admitted to baccalaureate study. Search for Education, Elevation and Knowledge (SEEK) students and English as a Second Language (ESL) students who have been educated abroad are exempt from this policy.
- During the 2001-2002 academic year the percent of regularly admitted entering baccalaureate degree program students who passed all three placement tests (Math, Writing and Reading) by the start of the Fall semester was 100 percent. This marked an increase from a revised 85.4 percent in Fall 2000, and 63.6 percent in Fall 1998, prior to the policy being phased into effect. This improvement can be attributed to CUNY's continuing efforts to intensify basic skills programs for pre-freshmen students, use an admissions index to identify students who are most capable of succeeding in college-level study and collaboration with the Board of Education (BOE) on programs such as College Now.
- Students who require basic skill instruction have several options.
 - In Fall 2001, three additional colleges implemented the Prelude to Success program as planned, for a total of seven colleges, and the program served 454 students. The Prelude to Success Program serves freshmen and transfer applicants to baccalaureate programs who need one semester of remedial instruction. The program provides basic skills taught by community college faculty at senior colleges. Once remedial course work has been completed successfully, the student can pursue study at the baccalaureate level. In Spring 2001, after completion of the program, 63.4 percent of participants demonstrated preparedness to undertake baccalaureate-level work, compared to 62 percent of program participants in Fall 2000.
 - In Summer 2001, 17,093 students enrolled in the University Summer Immersion Program (USIP) compared to 15,548 students in Summer 2000. USIP provides intensive instruction in reading, writing, math and ESL to high school graduates prior to their admittance as first-time freshmen. The increase in enrollment is due to efforts by the senior colleges to extend services to students who met general admissions requirements but who needed some remedial instruction in order to be admitted to a baccalaureate program. Once remedial course work is completed successfully, the student can be admitted to a baccalaureate program. After participating in the program in Summer 2001, 65.3 percent of students demonstrated proficiency in reading, 58.4 percent in writing and 76.1 percent in math.
 - During the 2001-2002 academic year CUNY is continuing the CUNY Language Immersion Program (CLIP). CLIP offers intensive noncredit English language instruction to ESL students primarily before they matriculate at CUNY. CLIP served 2,829 students at eight CUNY colleges during the 2000-2001 academic year.
- Since Fall 2000 CUNY has administered the American College Testing's (ACT's) ASSET Reading Skills and Essay Tests to students exiting from remedial course work and to students entering the University who must demonstrate their competence in reading and writing.

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- During the 2001-2002 academic year, CUNY continued to gather data to assess the appropriateness of the tentatively set minimum passing scores. Earlier assessment results were insufficient to give a complete assessment.
- By a revised date of Spring 2002 CUNY will begin to administer computer adaptive versions of the ACT reading and writing tests to enhance the security of the testing process and introduce untimed tests. As of December 2001, CUNY finalized plans for 12 colleges, ordered furniture and equipment, and finalized technical specifications for networking the computers for labs dedicated to testing. Labs will be assembled at these 12 colleges by March 2002. CUNY plans to install labs in its remaining five undergraduate colleges by the end of Fiscal 2002. During the 2001-2002 academic year CUNY will continue to redesign its data systems to accommodate the new computer adaptive tests.

Admissions and Enrollment Management

- In Fall 2001 CUNY enrolled 25,391 first-time freshmen, an increase of 1.7 percent from a revised 24,967 freshmen in Fall 2000.
- CUNY refined its recruitment strategies for use during the 2001-2002 academic year. Since Spring 2001 CUNY has been working with the Director of CUNY's Center for Urban Research to analyze the changing demographics of the population of the metropolitan area, based on Census 2000 data, in order to improve outreach and services to new immigrants and other communities.
 - During Fall 2001 CUNY organized and participated in five Big Apple recruitment fairs, at which local colleges provided information to approximately 14,500 prospective students.
 - CUNY's Office of Admissions Services (OAS) is placing new emphasis on direct mailings to high school students and their parents. During Fiscal 2002, OAS will mail approximately 140,000 information packages to students attending City public schools, in addition to their mailings specifically targeted to high achieving students.
- In Fall 2001, 99.8 percent of entering students took the SAT, compared to 98.6 percent in Fall 2000. Beginning in Fall 1999 all recent high school graduates applying for admission to CUNY's seven senior college baccalaureate programs were required to submit SAT scores.
 - The average SAT score for recent graduates of high schools regularly admitted to Baruch, Brooklyn, City, Hunter, Lehman, Queens and York colleges in Fall 2001 was 1063, compared to the planned average of 1059. This score is out of a potential score of 1600. Comparatively, the Fall 2000 average was 1055.
- During Fall 2001 CUNY admitted students with a college preparatory course average of 84.8, compared to its plan of 85.3. CUNY admits recent high school graduates to its seven senior college baccalaureate programs on the basis of an admissions index that measures academic promise. A separate index is developed for each college. Comparatively, in Fall 2000 CUNY admitted students whose high school average in college preparatory course work was 84.3 out of a potential 100.

Instructional Initiatives

- During the 2001-2002 academic year, CUNY is targeting art history and biology programs for cluster hiring. Cluster hiring is hiring a significant number of new faculty in targeted academic areas over a three- to five-year period. During the past two academic years, CUNY targeted the following areas for hiring: foreign languages; computer/new media; photonics, in which scientific research on light is applied to laser and fiber optic technologies; and teacher education.

CITY UNIVERSITY OF NEW YORK

- As of December 2001 CUNY made six new faculty hires in foreign languages, six in photonics, 22 in new media and 10 in teacher education. CUNY will continue searches for faculty in art history and biology during Fiscal 2002.
- Beginning Fall 2001, CUNY requires freshmen and transfer students to pass the CUNY Proficiency Examination (CPE) to graduate from an associate program, transfer into the upper division of a bachelor's program, or advance from the lower division to the upper division of a senior college. In Fall 2001 CUNY administered the CPE to approximately 6,300 students; 78 percent of students achieved a passing score. Students may take the exam up to three times. In addition, CUNY holds test preparation workshops. In Fiscal 2002 CUNY will continue to evaluate the efficacy of the CPE and correlate student's test scores with course grades to assess the validity of the test.
 - In Fall 2001 CUNY issued a Request for Proposals (RFP) to identify a vendor to create new examination forms and score the CPE. CUNY chose a vendor in January 2002. The vendor is expected to begin development of new examinations during Spring 2002.
- CUNY plans to increase the number of faculty, writing fellows and writing-intensive courses in Writing Across the Curriculum (WAC) during Fiscal 2002. As of Fall 2001, 375 faculty and 104 CUNY doctoral students were trained and participated in the program, reaching approximately 16,500 undergraduate students. In addition, seven CUNY colleges approved writing-intensive courses as part of their graduation requirements. Established during the 1999-2000 academic year, WAC integrates intensive writing instruction into courses across the regular curriculum.
 - During the 2001-2002 academic year, 19 online writing-intensive courses are being offered at six campuses. These courses add a new dimension to the University's Writing Across the Curriculum Initiative, using computer-mediated communication as a means of informal discussion as well as formal research. An additional 14 courses at 13 colleges are being offered during the 2001-2002 academic year that will use Web-based resources and instructional techniques as part of the U.S. History Initiative.
- Based on preliminary data, in Fall 2001, 501 CUNY students received Part-time Tuition Assistance Program (P/TAP) grants, compared to a revised 339 students in Fall 2000. P/TAP is a new approach to financial aid for part-time students. CUNY students, for whom part-time study is often advantageous because of work or family obligations, are driven by TAP eligibility rules to register for full-time study. Students who have completed at least 24 credits and maintained average grades of C or better are eligible for P/TAP. At the end of Fiscal 2002, CUNY will begin assessing the program based on students' retention rates and degree progress.
- In Fall 2001 the first Honors College University Scholars Program class of 212 freshmen, with an average SAT score of 1265, enrolled in five CUNY colleges; more than 1,400 students applied for the program. Students were selected using an admissions index, an essay and interviews. Baruch, Brooklyn, City, Hunter and Queens colleges participate in the Honors College. Selected students receive free tuition, a laptop computer and a \$7,500 academic spending account for use while pursuing the baccalaureate degree at CUNY. These students work with faculty and receive special attention and academic support throughout their college careers. The program also offers students a "Cultural Passport," which offers an array of enriched educational opportunities to students through Honors College seminars that incorporate contacts with cultural institutions and professionals in New York City, counseling and the opportunity to take courses throughout the University. As of Fall 2001 the program has received \$4.5 million in funding from private foundations. In addition, in Fall 2002 CUNY will expand the program to freshmen at Lehman College and the College of Staten Island.

Collaboration with the Board of Education and Teacher Training

- During the 2001-2002 academic year, CUNY plans to continue to administer the College Now program, a collaborative initiative of CUNY and BOE, at all City public high schools to serve approximately 28,800 students. The program offers students the opportunity to receive remedial instruction in reading, writing and math. Another component of College Now is that juniors and seniors in high school who demonstrate mastery of the basic skills can take college-level courses for credit. During the 2000-2001 academic year the College Now program reached 18,850 students at 161 high schools.
 - In Fall 2001 the College Now program included a new entering group of approximately 1,900 ninth graders. The ninth-grade program aims to improve literacy and math skills. In Fall 2001 the tenth-grade program consisted of approximately 1,850 students continuing from last year's ninth-grade program. The tenth-grade program aims to prepare students for the Regents examination. Total Fall 2001 College Now program enrollment was approximately 3,750 ninth- and tenth-grade students in 19 high schools.
- CUNY plans to increase the pass rate on the State Teacher Certification Examination Liberal Arts and Sciences Test to 82 percent across all programs during the 2001-2002 academic year, while maintaining a minimum pass rate of 80 percent for 2000-2001 graduates as mandated in its Executive Compensation Plan and Master Plan. Test results for the 2000-2001 academic year will become available in April 2002. In December 2001 the State Education Department issued revised pass rates for CUNY colleges offering teacher education, resulting in seven of the eight CUNY colleges meeting the 80 percent standard. In Fiscal 2002 all CUNY teacher education programs have raised student admission standards to maximize the likelihood that students will complete their programs and pass the certification tests.
- In September 2001 CUNY received \$1.1 million in federal funds to support the "Teacher Empowerment Zone," which uses technology to enable students in the early stages of teacher preparation to gain experience in real life, real time classroom situations. These funds will be used to support technology in instruction at Kingsborough and Lehman colleges and to build two-way video links with classrooms in the public schools. Teacher Empowerment Zone programs will be fully implemented by June 2002.

Governance Initiatives

- Fiscal 2002 marks the second year CUNY will use performance indicators to measure the progress of each CUNY college toward University goals and determine the amount of funding available for salary increases for each college president and the executive staff at the college. The results of a review of these indicators for appropriateness and scope by a committee of administrative and academic officers from the colleges and the CUNY central office will be issued in Spring 2002. The results will include a revised set of indicators that will be used in late Fiscal 2002. In June 2002 the progress of each college in meeting its targets will be reviewed, together with targets and plans for the following year.

ECONOMIC DEVELOPMENT

- CUNY's Economic Development Corporation (EDC) is a nonprofit corporation established in Fiscal 2001 to provide oversight and administrative, legal and funding support for the CUNY Business Incubator Network and other collaborative efforts between the University and the private sector. In partnership with a private investment fund, a main project of EDC is creating a business development infrastructure located on or near a CUNY campus in each of the City's boroughs. To support the Business Incubator Network, CUNY will provide wired and upgraded space and equipment in return for equity positions in accelerators and incubators, which are two types of business development entities consisting of a joint venture between a nonprofit corporation and a for-profit business.
 - The pilot for the planned network is the New York TeleMedia Accelerator, which was in BMCC's Fiterman Hall that was damaged by the September 11th disaster. CUNY is in the process of relocating the accelerator to a temporary space at another Lower Manhattan site.
 - Incubators support locally based start-up companies that lack access to low-cost professional services and seed capital sources. During Fiscal 2002 LaGuardia Community College is running a pilot incubator focusing on start-up companies involved in the arts, and will fully implement it during Fiscal 2003.
- CUNY receives approximately \$1 million annually in State funding to strengthen the relationship between the University and employers, by developing new courses and programs that meet employers' workforce needs. During the first four months of Fiscal 2002 CUNY committed Workforce Development Initiative (WDI) funds to develop a total of 20 credit-bearing certificate and employer-sponsored programs in such fields as small-business management, information sciences, biotechnology and social services. WDI increases CUNY's capacity to prepare students and members of the City's workforce for current job opportunities, fosters the development of new jobs and helps CUNY anticipate and adapt to economic change.
 - During Fiscal 2002 CUNY's Institute for Software Design and Development (CISDD) continued to implement information technology-related programs. Funding for the Institute includes a \$366,000 technology transfer program, in which CUNY provides five software companies, funded by the State Office for Technology and Applied Research, with the expertise of university faculty in developing new products with commercial potential. During Fiscal 2002 CISDD is administering an internship program in which 40 CUNY Computer Information Science students work on information technology projects at the City's Human Resources Administration. Students gain practical work experience while helping to reduce expenditures for hiring outside consultants.
 - In collaboration with the 1199 Service Employees International Union/League, CUNY will open the Education, Training and Job Security Program of the Bronx Workforce Development Center. This new center will offer participants education programs to address staffing shortages in the health-care industry. The center will provide child care, counseling and other support services to participants. CUNY expects to open the center in Summer 2002.
- In Fall 2001 CUNY completed seven industry-specific labor market reports as part of its Labor Market Intelligence Network (LMIN) drafted by BMCC and LaGuardia Community College. Reports covered the publishing, telecommunications, broadcast television and sound design industries; restaurants/food services; new media in the outer boroughs; and print media/ethnic presses sectors. LMIN provides information to prospective job seekers and training program planners concerning recent trends and current labor market conditions of City industries.

CAPITAL PROJECTS

- During the 2001-2002 academic year, the fourth year of its \$1 billion five-year plan, CUNY continued work on several major capital projects.
 - CUNY plans to complete a \$57 million renovation of Powdermaker Hall at Queens College in Fiscal 2003.
 - Construction of two buildings at Kingsborough Community College, which began in January 2000, is scheduled for completion in May 2003, including a \$16.7 million academic building and a \$45.4 million structure that will house the Leon Goldstein High School for the Sciences, to be operated jointly with BOE.
 - CUNY continued design work for the new West Quad Building at Brooklyn College.
 - CUNY expects to begin programming for John Jay College's Phase II Haaran Hall Extension in Fiscal 2002.
 - The construction phase of the renovation of Harris Hall for Sophie Davis Biomedical School at City College will be completed in Fall 2002.
 - At Medgar Evers College, the scope for Academic Building I was completed in Summer 2001 and the design phase will begin in Spring 2002; design of the renovation of the Carroll Street Building will be completed in Fall 2002.

TECHNOLOGY

- In Fall 2001 CUNY received a final report from a private corporation on the University's administrative systems, including the financial system, human resources and student information. The report recommended and CUNY will implement three actions: creating a CUNY portal, forming a CUNY-wide Information Technology Steering Committee and assessing the feasibility of consolidating human resources in a single relational database.
 - In January 2002 CUNY chose a vendor for the CUNY portal. The CUNY portal will be a single Web site at which students and university employees may obtain information and conduct transactions. Students would be able to learn about courses, programs, scheduling, grades, financial aid and billing, as well as register for courses and pay bills. Faculty and other employees would be able to retrieve a variety of information about benefits, and change personal information as appropriate.
 - In November 2001 the Information Technology Steering Committee held its first meeting. The committee will oversee development of a Strategic Plan for Information Technology, which will address both academic and administrative computing issues at CUNY.
 - In January 2002, CUNY began to assess the feasibility of implementing a new human resource system that would handle a full range of human resource functions and integrate personnel information currently stored on several different databases.
- CUNY will continue to implement two software projects during the 2001-2002 academic year as part of an automated commerce project.

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- In Fall 2001 CUNY piloted an eprocurement project to upgrade the procurement process in several central administration offices. The project replaces existing manual requisition and purchase order forms with an electronic purchasing process common to all CUNY campuses. As of February 2002, CUNY's central computing and accounting offices began using the project's production system. CUNY plans to make the project available to all CUNY central offices by the end of Fiscal 2002.
- Since August 2001 an electronic Student Information Management System (e-SIMS) application has been tested on eight campuses; e-SIMS is accessible through CUNY's Web site. Students can register, check whether course sections are open, change personal information numbers and e-mail addresses, and check academic bills, grades and transcript. In addition, these campuses used e-SIMS to process Spring 2002 registration.
- During the first four months of Fiscal 2002 CUNY continued to enhance the reporting capabilities of the Institutional Research Database by preparing admissions data to format the database. In addition, design work was completed on tables that will hold skills data. The database provides the central administration and the colleges with improved access to student performance information, such as credit accumulation, grades, retention, transfer and graduation. During the 2000-2001 academic year CUNY began implementation of the database, which integrates student information on a variety of performance indicators and facilitates long-term tracking of students by central and college administrators.
- During the 2001-2002 academic year CUNY is developing an additional 137 online courses to encourage student use of Web-based resources. Between Fiscal 1999 and the end of Fiscal 2001, CUNY developed 130 online courses as part of CUNY Online, a pilot project funded by a private foundation. The CUNY Online project provides training to faculty in instructional technology needed to prepare and teach online courses.
- During the 2001-2002 academic year CUNY is automating the process by which Transfer Information and Program Planning System (TIPPS) data is collected from the campuses. TIPPS, a feature on CUNY's Web site since Fall 1999, makes information on programs of study and transfer more readily available to current and prospective CUNY students. During the first four months of Fiscal 2002 CUNY completed initial software design and programming. Once this enhancement is completed, course information will be uploaded from campus files, eliminating the need for manual data input.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 CUNY's expenditures, consisting primarily of community colleges and the Hunter-campus schools, were \$134.2 million, compared with its plan of \$132.6 million. CUNY's Fiscal 2001 expenditures were \$401.6 million.
- The City's Financial Plan of February 2002 outlines \$18.3 million in expenditure savings in Fiscal 2002, largely attributable to capital eligibility of temporary replacement space for Fiterman Hall, and \$12.9 million in savings in Fiscal 2003 largely attributed to reductions in the College Scholarship programs and in general administration. CUNY has planned expenditures of \$474.1 million in Fiscal 2002.

CITY UNIVERSITY OF NEW YORK

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Enrollment of First-time Freshmen (Fall)	26,513	25,326	24,817	24,042	24,967	24,967 (a)	25,391
Total Enrollment (Fall)	204,023	201,185	198,737	194,994	195,403	195,403 (a)	197,354
Percent of Total Students Entering Baccalaureate Degree Programs Who Pass All 3 Placement Tests by the Start of the Fall Semester	NI	NI	58.2%	67.4%	78.1%	78.1%	91%
Percent of Regularly Admitted Students Entering Baccalaureate Programs Who Pass All 3 Placement Tests by the Start of the Fall Semester	NI	NI	63.6%	73%	85.4% (a)	85.4% (a)	100%
Total Baccalaureate Degrees Granted	13,607	13,105	13,332	13,331	13,592 (b)	NA	NA
Total Associate Degrees Granted	9,305	8,995	9,129	8,421	8,502 (b)	NA	NA

- (a) Data for this indicator has been revised to reflect the most current and accurate information.
- (b) This indicator represents degrees granted from July to the following June. Fiscal 2001 actual data reflects number of degrees awarded as of June 2001.

DEPARTMENT OF CONSUMER AFFAIRS

The Department of Consumer Affairs protects consumers against deceptive and illegal trade practices by ensuring that businesses comply with City and State licensing laws, consumer protection laws, and weights and measures laws. The Department also licenses over 60,000 businesses, educates businesses and the public about consumer and regulatory issues, and resolves consumer complaints.

GOALS AND OBJECTIVES

Goal: Enhance public safety and protect consumers against deceptive and illegal trade practices.

Objective

Conduct 59,000 license law inspections at the rate of 9.5 per person-day in Fiscal 2002.

Perform 36,000 weights and measures and consumer protection law inspections in Fiscal 2002.

Conduct 8,000 inspections of tobacco retailers in Fiscal 2002.

Goal: Respond to the licensing needs of businesses that the Department regulates.

Objective

Process 98% of accepted applications for new licenses within 30 days in Fiscal 2002.

Ensure that the average applicant waiting time at the Citywide Licensing Center does not exceed 15 minutes in Fiscal 2002.

Goal: Provide consumers with information and respond to their complaints.

Objective

Process consumer complaints filed against electronics stores in an average of 35 days in Fiscal 2002.

Process consumer complaints filed against unlicensed home improvement contractors in an average of 30 days in Fiscal 2002.

Process consumer complaints filed against licensed home improvement contractors in an average of 35 days in Fiscal 2002.

Goal: Educate businesses and the public about consumer issues, and consumer protection rights and laws.

Objective

Hold 20 events to publicize consumer issues in Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

REGULATORY REFORM

- In November 2001, the New York State Court of Appeals ruled that goods and services provided by real estate companies during the sale of residential real estate property are under the jurisdiction of the Department of Consumer Affairs' (DCA) Consumer Protection Laws. The covered services include arranging home financing for consumers; referring consumers to lawyers and contractors; and making repairs to sale properties. The court ruling enables the Department to take action against "one-stop" shopping real estate companies who prey primarily on low-income consumers.

DEPARTMENT OF CONSUMER AFFAIRS

ENFORCEMENT OF LICENSING AND CONSUMER PROTECTION LAWS

- Through undercover enforcement operations, DCA continues to target merchants who illegally sell tobacco products to minors. During the first four months of Fiscal 2002, DCA inspected 4,615 stores and issued 652 sale violations, an 86 percent compliance rate. This was three percentage points higher than the compliance rate during the same period in Fiscal 2001.
 - During the first four months of Fiscal 2002, the Department confiscated 15,258 packs of cigarettes from 10 stores that were found guilty of selling cigarettes without the required retail cigarette dealer licenses.
 - The amount of fines assessed and collected since the Department acquired licensing authority over retail cigarette dealers has increased substantially. The total assessed amount increased from \$240,275 during October through December 2000 to \$316,800 during October through December 2001. The total collected amount increased from \$93,238 during October through December 2000 to \$276,395 during October through December 2001.
- In October and November 2001 the Department worked with recording industry representatives to prevent illegal street vendors from selling bootleg compact discs by seizing them. The enforcement operation resulted in the confiscation of 15,623 bootleg compact discs with a street resale value of \$78,623.
- The Department's Home Improvement Contractors (HIC) Taskforce continues to target unlicensed contractors who have been the subject of consumer complaints. During the first four months of Fiscal 2002 the Department seized 34 vehicles, compared with 35 vehicle seizures during the same period in Fiscal 2001.
- In preparation for Winter 2001-2002, DCA continued to inspect and seal fuel oil truck meters to ensure the accurate measurement of fuel oil deliveries. During the first four months of Fiscal 2002 DCA inspected 477 meters and issued four violations, a greater than 99 percent compliance rate, which is the highest ever achieved by the Department during fuel truck inspection sweeps.

CONSUMER EDUCATION AND PROTECTION

- In August 2001 the Department released a new brochure entitled, "A Consumer's Guide to Energy Conservation," which provides measures to conserve energy and reduce apartment cooling costs during summer months when energy shortages are common and electricity rates are high.
- In August 2001 the Department released the findings of its investigation of a national rent-to-own business chain, which violated consumer protection laws by failing to disclose that their electronics items cost more than the manufacturer's suggested retail price. In addition, the investigation found that consumers who buy electronics equipment through the store's rent-to-own program could pay almost twice as much as the retail price. The report also provides a boroughwide breakdown of specific stores and which items are being sold at inflated prices. The rent-to-own businesses investigation is available to consumers on the Department's home page on NYC.GOV, the City's official Web site.

CUSTOMER SERVICE

- During the first four months of Fiscal 2002 the Department upgraded its Web pages to include a consumer referral link to other City agencies. Since one-third of consumer inquiries to the Department's Web pages are referred to other City and State entities, DCA expects that this service will decrease its processing time and provide better service to its customers.

DEPARTMENT OF CONSUMER AFFAIRS

- In November 2001 the Department specified plans for expanding the Q-Matic system in the Licensing Division to track customer activities, such as the payment of fines and the issuance of special licenses, within the Collections and Special Applications divisions. The inclusion of these divisions in the customer service center Q-Matic system will be completed by the end of May 2002.

AGENCYWIDE

- On September 12, 2001, in response to the September 11th attack, DCA relocated all of its inspection activities to its Test Station at 245 Meserole Avenue in Brooklyn, and was able to continue enforcement operations from that location until September 26, 2001, when normal operations were resumed from its regular offices at 42 Broadway.
 - Despite DCA's dislocation and interruptions of its regular operations the Department conducted over 3,000 inspections from September 12th until its return to its regular offices.
- The Commissioner issued an emergency proclamation that banned price gouging by businesses selling the types of products specifically identified in the proclamation, such as food and gasoline.
 - DCA initiated a product availability and price monitoring program at the Department's Brooklyn Test Station. DCA inspected over 1,000 grocery stores in the first three days after the World Trade Center attack, and found stocked shelves with no indication of price gouging. Inspectors also monitored retail gasoline prices at over 350 gas stations; no price gouging was found.
 - The Department investigated overcharging complaints against hotels, parking garages and flag vendors; no instances of price gouging were found. DCA resolved all consumer complaints within 24 hours.

TECHNOLOGY

- In May 2001 the Department completed the move of its Adjudication Division to the Department of Finance's Manhattan Borough Payment Adjudication Center, which offers one-stop shopping for consumers and merchants who need to conduct business with the City. Improved technology will also allow the Adjudication Division to automatically share case information with other DCA units and transfer adjudication fee collection data with the Department's main office through the DCA Local Area Network (LAN).
- In November 2001 DCA began work on connectivity between the Department's Brooklyn Test Station and the DCA LAN. The Department will complete the project at the end of March 2002. The connectivity will allow for a limited continuation of Agency operations such as licensing, enforcement and adjudication if the Department's main office equipment is inoperable or inaccessible.
- During the first four months of Fiscal 2002 the Department color-coded and embedded verification markings in vendor identification cards to prevent illegal duplications, and upgraded the licenses of various types of businesses, such as locksmiths, process servers, and tow truck drivers to contain picture identification. These enhancements are being issued during the Calendar 2002 licensing period. The modification will assist DCA inspectors and police officers in checking the current status of licensees, and curtail licensees operating with false credentials and expired licenses.
- During the first four months of Fiscal 2002 the Department's home page on NYC.GOV received 365,162 page views, an 89 percent increase from the 193,413 views during Fiscal 2000.

DEPARTMENT OF CONSUMER AFFAIRS

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Department's expenditures were \$5.4 million, compared with its plan of \$6 million. The Department's Fiscal 2001 expenditures were \$13.9 million.
- The City's Financial Plan of February 2002 outlines \$455,000 in Fiscal 2002 and \$832,000 in Fiscal 2003 in expenditure and revenue initiatives, which includes additional franchise payments, fine revenues for the illegal sale of tobacco products and existing vacancies in non-mandated functional areas. The Department has planned expenditures of \$14.7 million for Fiscal 2002 and \$14.1 million for Fiscal 2003.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
License Law and Padlock Law License Inspections Performed (a)	53,763	52,774	59,459	59,897	64,991	18,529	22,701 (b)
Weights and Measures Law And Consumer Protection – Inspections Performed	32,244	35,199	43,641 (c)	41,042	42,404	14,150	13,125
Sale of Tobacco to Minors (Inspections) (d)	429	4,400	7,857	6,522	9,497 (e)	4,224	4,615
Tobacco Fines (000) (d)	\$66	\$154	\$654	\$398	\$792	\$260	\$537 (f)
New Applications for Licenses And Permits Processed	98%	99%	97%	98%	97%	97%	85%
Average Applicant Waiting Time (Minutes) (g)	15	13	9.2	9.1	14.3	10.3	7.5 (h)
Average Complaint Processing Time (Days) (i)							
– Electronics Stores	41	37	28	29	26	27	24
– Unlicensed HICs	26	30	22	26	23	23	24
– Licensed HICs	61	52	30	29	29	30	28

- (a) DCA has increased inspections of high-complaint category establishments such as fruit and vegetable (stoopline) stands, parking lots and garages, and secondhand dealers (general and auto).
- (b) The increase is due a greater number of price gouging inspections following the September 11th disaster, and compliance inspections of new retail cigarette dealers.
- (c) Enforcement of the Gender Pricing Law, inspections during the No Sales Tax Week, and increased compliance checks on Agriculture and Markets Packaging Codes increased the number of these inspections.
- (d) The increases in Fiscal 1998 and Fiscal 1999 are due to hiring additional summer inspection staff through the State-funded Tobacco Enforcement Program grant. The decrease in Fiscal 2000 is due to fewer violations of merchants selling tobacco products to minors and fewer inspections performed. The Fiscal 2001 increase is due to the transfer of licensing authority for 12,871 retail cigarette dealers from the Department of Finance to the Department of Consumer Affairs.

DEPARTMENT OF CONSUMER AFFAIRS

- (e) This indicator has been revised to reflect only the sale of tobacco to minors through inspections. In the Fiscal 2001 Mayor's Management Report the indicator included retail cigarette inspections, which are now reflected in the indicator entitled, "License Law Inspections Performed."
- (f) The increase is due to the Fiscal 2002 State Tobacco Grant that requires the Department to conduct compliance checks of all retail cigarette dealers licensed with the Department.
- (g) "Average Applicant Waiting Time" decreased significantly in Fiscal 1999 as a result of improved processes and enhanced use of the queuing system at the Citywide Licensing Center. It increased in Fiscal 2001 due to the 12,871 new retail cigarette dealer licenses issued.
- (h) There were fewer consumers at the Licensing Center following the September 11th disaster.
- (i) Complaint processing times have decreased due to the creation of closeout target times for each category, improved training of mediators and more accurate methods of tracking mediated cases.

DEPARTMENT OF BUILDINGS

To ensure a safe City structure and protect the public, the Department of Buildings complies with all applicable local, State and federal building and zoning laws relating to the construction and safe condition of all commercial and residential buildings. The Department provides clear and uniform interpretation of zoning and building issues; performs quality plan reviews of architectural plans; issues lawful permits; conducts required safety inspections; and implements strategic quality-of-life enforcement initiatives. The Department also licenses 13 trades and institutes programs aimed at eliminating unlicensed and illegal activity in order to promote integrity within the construction profession.

GOALS AND OBJECTIVES

Goal: Provide quality plan reviews and implement programs to improve the timeliness of permit issuance.

Objective
Perform first examination of all building applications (including new building, Alteration I, II and III) for proposed construction within 5.5 working days in Fiscal 2002.
Perform first examination of all applications for new buildings within 13.6 working days in Fiscal 2002.
Perform first examination of all building applications for Alteration I within 8.2 working days in Fiscal 2002.
Perform first examination of all building applications for Alteration II and III within 2.7 working days in Fiscal 2002.
Enter 90% of all new building applications into the Department's database within 2 days in Fiscal 2002.
Continue to promote PC Filing to expand its use to 60% of all applications submitted citywide in Fiscal 2002.
Develop a central plan examination appointment system for all boroughs by a revised date of March 2002.

Goal: Conduct safety inspections and implement strategic quality-of-life enforcement initiatives.

Objective
Investigate Priority A complaints within 1.5 working days, and Priority B complaints within 25 working days in Fiscal 2002.
Conduct inspections of all residential buildings with active permits in Fiscal 2002.
Conduct inspections of all New York City public school buildings in Fiscal 2002.

Goal: Revamp the current organizational structure and develop programs to significantly improve customer service delivery.

Objective
Institute comprehensive training programs for Data Entry and Research staff, records room managers and staff, plan examiners, and inspection supervisors and staff by March 2002.
Create a new records management program, including the development of new policies and procedures; secure an off-site storage facility; and convert construction applications and plans to microfilm by a revised date of January 2002.
Improve public accessibility of agency informational resources through technological improvements.

DEPARTMENT OF BUILDINGS

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- The Department of Buildings (DOB) continues to monitor the condition and safety of buildings in the World Trade Center area. Based on the initial inspections of over 400 buildings throughout Lower Manhattan, DOB is working with the Emergency Mapping Group, a combination of City and private personnel under the direction of the Office of Emergency Management (OEM), to maintain a building condition database to ensure that any collateral damage is identified and addressed prior to the reentry or reoccupancy of buildings and the reopening of streets in the area, in order to ensure public safety.
- The Department continues to support the efforts of building owners and tenants to reoccupy buildings in the immediate impact area. These efforts have included providing building condition information and reoccupancy guidelines to tenants and property owners through requests made at OEM and the DOB Central Call Center; ensuring safe access by contractors, tenants and property owners to damaged buildings; and reviewing work proposed by owners and contractors to ensure safety. The reoccupancy of one large office building included monitoring the expedited installation and operation of a temporary steam generation facility. The Department continues to identify and expedite queries and construction filings from affected owners and tenants, who are either reconstructing or relocating.
- During the first week after the September 11th disaster, the Department's Elevator Division conducted safety inspections of approximately 600 elevators, checking for possible entrapment of people and collateral damage. The Department's Bureau of Electrical Control, in conjunction with Con Edison, also inspected 15 buildings at the center of the affected area for which electrical power was shut down to determine if the buildings were safe for partial or complete restoration of power.
- The Department's operations at its current headquarters, located at 60 Hudson Street, which include the Manhattan borough office, Central Inspections, Licensing, and Executive Office, had the most significant disruption as a result of the World Trade Center disaster. Immediately after September 11th, these operations were relocated to the other four borough offices. Since October 2001 all DOB offices and its Central Call Center have been open for standard service.
- DOB is forming a task force to consider if changes to the design, construction and/or safety standards of buildings should be made as a result of September 11th. The task force will evaluate information related to the performance of buildings on that day and the safety of the public in and around these structures. Invited participants include OEM, the Fire Department of the City of New York (FDNY), the Department of Design and Construction, the Real Estate Board of New York, Building Trade Employers Association, Architects Council of NYC and the Society of Professional Engineers. Formal invitations were distributed in late January 2002.

DEPARTMENT OF BUILDINGS

QUALITY OF LIFE

- Local Law 14 of 2001 substantially enhanced the Department of Buildings' enforcement authority regarding illegal outdoor signs. The new law enables the Department to prosecute sign violations before the Environmental Control Board (ECB), and authorizes the Department to remove certain illegal signs following a procedure patterned after the procedure for closing illegal businesses under the Padlock Law. The new law requires registration of outdoor advertising companies and disclosure of the inventory of signs under each company's control, and authorizes the Department to issue violations against advertising companies, with civil penalties as high as \$25,000 per day. Litigation challenging the validity of Local Law 14 on First Amendment and other grounds resulted in a stay of enforcement for several months. The courts ruled in the City's favor in October 2001 and the Department began enforcing the law in January 2002.
 - In February 2002 the Department published the proposed rules enforcing Local Law 14 for public comment. Issuance of violations began in January 2002.
- In the first four months of Fiscal 2002 the Department received 4,489 illegal conversion complaints, compared to 4,939 complaints during the same period in Fiscal 2001. The Department's inspectors made 5,853 field visits and issued 2,033 violations during the reporting period, compared to 5,531 field visits and 2,240 violations in the first four months of Fiscal 2001. Approximately 56 percent of inspector field visits resulted in no access, compared to 50 percent in the first four months of Fiscal 2001. The increase in the number of no access field visits may be attributable to public awareness of potential fines.
- In July 2001, two empty KeySpan gas holding tanks in Greenpoint, Brooklyn were successfully imploded. DOB inspectors oversaw the cleanup at the site, which was completed in January 2002.

PERMIT ISSUANCE/PLAN EXAMINATION

- As of September 10, 2001 applicants renewing work permits can follow a new streamlined process.
 - The work permit application form has been revised so that applicants who are applying for permit renewals with no changes are only required to complete two simplified sections of the form. This reduces the time it takes for applicants to complete forms, decreases the potential for errors and quickens the turnaround time. By the end of the reporting period the average turnaround processing time was one day, compared to four days during the first four months of Fiscal 2001.
 - Applications for properties with outstanding violations will be processed centrally, making a trip to the borough office unnecessary in most cases. In the past, applications for properties with outstanding "work without a permit" violations would receive a rejection from the centralized Permit Renewal Unit and had to be resolved at the borough office. Now, the Unit will verify the relationship between the violation and the permit renewal, and continue to process the renewal if the violation is unrelated to the work being performed under this permit.
- During the first four months of Fiscal 2002 the Department processed 26,881 permit applications and issued 22,401 work permits, compared to 29,575 and 24,919 respectively in the same period last year. In addition, there were 4,480 permits renewed in the reporting period, compared to 4,656 in the first four months of Fiscal 2001. The average number of days to perform a first review of the plans submitted with applications in the first four months of Fiscal 2002 was 6.1 days, compared to 7.5 days during the same reporting period last year; this decrease is a result of the improved training of plan examiners and the Central Appointment Scheduling system. The decrease in the number of permit applications was due to the September 11th disaster.

DEPARTMENT OF BUILDINGS

- During the first four months of Fiscal 2002, 42.7 percent of all new permit applications were filed using PC Filing, compared to 51.8 percent in the same reporting period last year, a decrease of nearly 18 percent. PC Filing gives applicants the option of submitting filings on computer diskette instead of submitting paper forms. The decrease in new applications filed using PC Filing was primarily due to the data lines not operating for several weeks in the Manhattan borough office following September 11th.
 - In the first four months of Fiscal 2002 DOB began development of Phase III of PC Filing, which will accept post-approval amendments. A post-approval amendment filing is used by an applicant for additional minor work that occurs during the construction process. This filing is added to an existing permitted DOB application. The program saves time by eliminating a step in the Department's data entry procedure.
 - In March 2002 the Department will release a bid proposal to enhance PC Filing. The updated version permits additional enhancements, such as a copy function, which allows a user to copy a similar plan when filing a new job; programming that permits the user to view the job as it appears on a DOB form; and a feature permitting the removal of the software from a personal computer.
- In September 2000 DOB began an initiative to eliminate the plan examination backlog.
 - In the first four months of Fiscal 2002 DOB hired 18 additional plan examiners for a total of 79 citywide. The new staff will be assigned throughout the borough offices.
 - In the first four months of Fiscal 2002 DOB expanded its training program for all plan examiners to cover mandatory topics such as equal employment opportunity requirements, right-to-know, anticorruption and customer service; the Department also provided a series of technical courses with the Department's inspectors in Administrative Code compliance and egress requirements, such as Special Uses and Occupancies, Fire Protection Construction Requirements, and Occupancy and Construction Classifications.
 - In June 2001 the Department published a notice of a new plan examination rule. This proposed rule would impose a \$200 penalty on applicants who are unprepared for meetings with plan examiners, who file incomplete plans or who miss appointments. The Department expects the final rule to be implemented by the end of Fiscal 2002.
- In Fiscal 2001 DOB implemented a Central Appointment Scheduling system for building plan examinations in the Bronx, Brooklyn and Staten Island borough offices. The Department's Call Center representatives use new computer software to instantly access the plan examiners' schedules. This new procedure makes the scheduling of applicant appointments more efficient by eliminating the need for plan examiners to schedule their own appointments. DOB expanded the new system to the Queens borough office in January 2002. The Department plans to expand the system to the Manhattan borough office after its move to 280 Broadway in Manhattan, which is expected by March 2002.
- In Fiscal 2001 DOB introduced revised procedures for registering expeditors. The procedures enable the Office of Investigation and Discipline (IAD) to perform a review of all applications prior to issuing the registration. By March 2002 the Department plans to further amend the procedures to include a background investigation of applicants prior to registration, which would enable IAD to identify and disqualify applicants who do not meet the Department's standards.

DEPARTMENT OF BUILDINGS

INSPECTIONS/ENFORCEMENT

- In July 2001 the DOB staff responsible for inspecting privately owned public spaces and public school buildings was physically relocated from the Manhattan executive offices to the borough offices. In January 2002 the Department physically relocated residential, façade, boiler and elevator inspection units to the borough offices. As a result of these changes and the creation of a new position, Assistant Commissioner for Citywide Inspections, to whom these units now report, DOB expects faster response times and a reduction in the number of days for inspections.
- In September 2001 DOB inspectors began managerial training. Subjects included conflict resolution, customer services, verbal and written communication skills, decision-making, performance evaluation and time management. Training will be ongoing through the end of Fiscal 2003.
- The Department conducted a total of 117,469 inspections and issued 15,214 violations during the reporting period, compared with 114,048 inspections and 15,520 violations during the first four months of Fiscal 2001. The increase in the total number of inspections was the result of additional construction inspections related to the September 11th disaster.
 - During the reporting period DOB conducted 57,028 construction inspections, including those performed by the Quality of Life Team, and issued 8,887 violations, compared to 49,180 inspections and 8,626 violations during the first four months of Fiscal 2001. The Department performed more construction inspections because of the increased staffing for the Department's initiative to inspect all residential construction projects; in addition, there were building inspections related to the September 11th disaster.
 - During the first four months of Fiscal 2002 DOB performed 1,165 inspections regarding illegally erected signs, resulting in the issuance of 791 violations, compared to 1,227 inspections and 761 violations during the first four months of Fiscal 2001.
 - The Department's Padlock Unit enforces regulations that prohibit commercial and manufacturing uses in residential zones. During the first four months of Fiscal 2002 DOB conducted 166 inspections, which resulted in a total of 45 illegal commercial and manufacturing use closures. In comparison, during the first four months of Fiscal 2001 the Department conducted 340 inspections, which resulted in 43 closures. The decrease in the number of padlock inspections was due to staff reassignment during the reporting period.
 - In January 2002 DOB began its annual comprehensive construction inspections of all the City's 1,507 public school buildings. To promote efficiency, the Department has decentralized the inspection process so that borough inspectors perform the safety inspections. The borough offices will work closely with the Assistant Commissioner for Citywide Inspections to ensure the improved coordination of all inspections.
 - The Department performed 22,939 elevator inspections and issued 2,046 violations during the first four months of Fiscal 2001, including 740 inspections for amusement park devices. In the same reporting period last year the Department completed 22,251 elevator inspections and issued 2,773 violations, which included 359 inspections for amusement park devices. The increase in the total number of elevator inspections was the result of additional inspections related to the September 11th disaster.

DEPARTMENT OF BUILDINGS

- Since Fiscal 1997 three private companies conduct a portion of required elevator inspections on DOB's behalf. In the first four months of Fiscal 2002 the companies performed 14,014 inspections and issued 4,448 notices of defect, averaging approximately 3,503 inspections each month. The companies completed 13,976 inspections, issued 5,005 notices of defect and averaged 3,494 inspections each month during the first four months of Fiscal 2001.
- In the first four months of Fiscal 2002 the Department received nine self-certified final-use elevator permits, conducted 259 expedited elevator inspections and imposed penalties for 197 missed elevator inspection appointments. In comparison, the Department received 55 self-certified final-use elevator permits, conducted 441 expedited elevator inspections and imposed penalties for 82 missed elevator inspection appointments in the same reporting period of Fiscal 2001.
- During the first four months of Fiscal 2002 DOB performed 4,471 boiler inspections and issued 564 violations, compared to 6,252 inspections and 717 violations during the first four months of Fiscal 2001. The decrease in the number of boiler inspections was due to fewer boiler inspectors during the first four months of Fiscal 2002.
- During the first four months of Fiscal 2002 DOB conducted 13,692 electrical inspections and issued 2,373 violations, compared to 15,149 inspections and 2,513 violations during the first four months of Fiscal 2001. The decrease in the number of electrical inspections was due to fewer available inspectors, as many were training newly hired electrical inspectors during the first four months of Fiscal 2002.
- The Department performed 17,279 plumbing inspections and issued 336 violations during the first four months of Fiscal 2002, compared to 18,575 inspections and 203 violations during the same reporting period last year. The decrease in the number of plumbing inspections is due to fewer plumbing inspectors during the first four months of Fiscal 2002.
- During the reporting period DOB conducted 2,060 crane and derrick inspections and issued 36 violations, compared to 2,641 inspections and 84 violations during the first four months of Fiscal 2001. The decrease in the number of inspections was due to the September 11th disaster, after which all cranes and derrick inspectors were assigned full time to the World Trade Center site.
- During the first four months of Fiscal 2002 the Department responded to all Priority A (potentially severe) complaints in an average of 4.58 business days, compared to 2.17 days during the same reporting period last year. It took an average of 33.64 business days for DOB to respond to Priority B complaints during the reporting period, compared to 15.3 business days during the first four months of Fiscal 2001. Increased response times were directly caused by the temporary assignment of many of the Department's inspectors to conduct construction, elevator and electrical inspections in Lower Manhattan in response to the September 11th disaster.
 - DOB responded to 1,164 Priority A complaints and issued 539 violations in the first four months of Fiscal 2002, compared to 1,563 complaints and 704 violations in the first four months of Fiscal 2001. DOB responded to 8,689 Priority B complaints and issued 2,749 violations during the reporting period, compared to 9,217 complaints and 2,974 violations in the first four months of Fiscal 2001.
- The Administrative Enforcement Unit (AEU) is responsible for processing and prosecuting Environmental Control Board violations written by DOB inspectors. In the first four months of Fiscal 2002 AEU received 13,106 violations from inspectors, compared to 14,511 in the same reporting period last year. AEU approved 4,925 certificates of corrections in the reporting period, compared to 4,545 in the first four months of Fiscal 2001.

DEPARTMENT OF BUILDINGS

- The Special Enforcement Unit (SEU) targets violations warranting special enforcement, such as façades and illegal conversions, and devises civil and criminal strategies tailored to each violator. SEU also audits the Department's existing enforcement systems, while proposing and participating in the implementation of legislative, regulatory and operational reforms.
 - SEU inspectors conducted 865 inspections, of which 810 were façade surveys, and issued 34 violations during the reporting period, compared to 344 inspections and 76 violations in the first four months of Fiscal 2001. The increase in the number of inspections was due to the prioritization of façade inspections during the first four months of Fiscal 2002, compared to the first four months of Fiscal 2001 when the unit prioritized illegal conversions inspections.
 - SEU has continued to receive referrals from the Department's façade unit for buildings that failed to file façade reports as required by Local Law 11 of 1998, or for buildings where façade conditions were hazardous. Of the 24 active façade cases, four were brought into compliance during the reporting period. SEU will work to bring the remaining 20 properties into compliance by the end of Fiscal 2002.
 - During the first four months of Fiscal 2002 SEU continued to target five illegal conversion major offenders and 14 of their properties. Two of these properties are now in compliance and DOB will continue to work to bring the remaining 12 properties into compliance by the end of Fiscal 2002.
 - During the first four months of Fiscal 2002 SEU continued to work with the Department of Finance (DOF) and ECB to refer individuals convicted of illegal conversions to DOF for a property tax reassessment. SEU also continued issuing ECB violations, which are enforceable as tax liens, and began using DOF's property database to obtain current ownership information to improve the Department's procedure for collecting fines.
 - During the first four months of Fiscal 2002 SEU referred 32 access warrants to the Law Department and coordinated the issuance of 18 violations enforceable as tax liens.
 - During the first four months of Fiscal 2002 SEU continued to work on three pilot projects started during Fiscal 2001. First, the unit worked on a pilot program with the Bronx borough office to increase proactive enforcement by routinely scheduling follow-up inspections of hazardous conditions and issuing more second-offense ECB violations. Second, SEU continued its work on a pilot program to notify mortgagees of buildings with serious violations, in an effort to pressure property owners to correct violations. Third, SEU continued to evaluate façade surveys of five- and six-story buildings to gather data about whether their conditions support expansion of current legislation to change requirements for building materials and building condition safety standards.
- In December 2001 Intro. 741-A, which updates the New York City Electrical Code, was signed into law. Its administrative and technical standards will become effective on January 1, 2003, if the technical amendments that will be submitted to the New York City Council in September 2002 are adopted. This law will enable the Department to use the latest National Electrical Code to update the City's Code. Intro. 741-A will improve safety by establishing clear technical standards for new technologies and ensure the consistency and completeness of installation methods. As a result, the industry will no longer be required to obtain permission from the Electrical Advisory Board before using existing technologies or more flexible design and installation methods that can substantially reduce time and cost to the public. In addition, the new code will enhance the Department's enforcement capabilities to regulate and enforce other safety provisions related to electrical systems by discouraging and detecting unlicensed electrical work.

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- In October 2001 the Department created a second team for the Emergency Response Unit to provide additional resources for coverage of citywide emergencies. Each team consists of two experienced construction inspectors who respond to emergency and after-hours inspections.
- During the first four months of Fiscal 2002 IAD disciplined 14 licensed contractors (electricians, plumbers, oil burner installers, private elevator directors/inspectors, riggers and hoisting machine operators) and three expeditors.
- In August 2001 the Omnibus Plumbing Bill (Local Law 51/2001) was signed into law. This law defines the type of plumbing work that can be performed by nonlicensed individuals and allows self-certification by a plumber for certain minor plumbing work. In addition, it extends the renewal period for plumbing or fire suppression piping contractor licenses to two years from one year and requires each licensee to take a seven-hour course approved by the Department prior to renewal.

RECORDS MANAGEMENT PROGRAM

- In Fiscal 2001 DOB created a citywide records manager position and hired three new records managers for the Staten Island, Queens and Manhattan borough offices; managers for the Bronx and Brooklyn offices are expected to be hired in Fiscal 2002. In December 2001 the Department hired 19 full-time records room staff. The new staff will ensure the maintenance and security of the Department's records for all borough offices and make processing public requests more efficient.
- In Fiscal 2001 DOB purchased new equipment for the records room in each borough. Microfilm printers and digital scanners are available for staff use and new microfilm readers and coin-operated printers are now available for public use. By January 2002 DOB installed 15 new personal computers in all five boroughs' records rooms to track and ensure the security of records through a records retention database.
- By February 2002 all records room personnel and selected borough staff will receive training in records management and the use of technical equipment. New employees in all five boroughs will receive introductory computer classes.
- In March 2002 DOB will release a new Policy and Procedure Notice, which establishes uniform procedures for the maintenance and security of application folders after Department approval and eliminates the handling of original documents and folders by the public. Only DOB personnel will have access to the Department's records rooms. Public viewing of the Department's records will only be through microfilm-based or electronic imaging, or through the use of photocopies. The new standards will have multiple benefits: they will safeguard the integrity of the Agency's records because application folders will no longer be released to the public after approval; space will be saved in the borough office through the use of imaging and off-site storage; and service to the public will improve through quicker retrieval of records and much shorter lines, resulting in faster issuance of permits.
 - In addition to microfilm, DOB plans to store only building permit plans that are actively under review in the borough offices. Inactive plans and application folders for completed construction will be microfilmed and sent to an off-site storage facility for two years, prior to destruction; the microfilm will become the permanent record. Microfilming has already started in the Manhattan and Queens borough offices.

DEPARTMENT OF BUILDINGS

MANAGEMENT INITIATIVES

- During Fiscal 2001 the Department implemented a comprehensive management accountability program known as BUILD (Building Understanding, Integrity, Leadership, Dedication). This program increases managerial accountability for performance in specific areas and seeks to improve productivity by extending direct accountability to every area that supports a critical Department function. The program tracks over 100 operational and performance indicators that are collected on a monthly basis. As a result of the BUILD meetings, the Department has made improvements, such as the reduction in average wait time at borough offices and the increased productivity of boiler and construction inspectors.
- In Fiscal 2001 the Department convened a number of new internal committees to identify problems and implement improvements in these specific program areas: inspections and enforcement, plan examination, application processing, and permit renewal and records management. In addition to ensuring that operating procedures are consistent throughout the boroughs, these committees review staff and the use of resources, recruiting, training, facilities, equipment, education, outreach efforts and new technology. During the first four months of Fiscal 2002 the Department closed the plan examination and permit renewal committees because the committees' goals were met. In the reporting period the Department also formed two new internal committees to extensively review the civil penalty process and self-certification programs.

CUSTOMER SERVICE

- During the reporting period the Department continued to plan and implement numerous improvements to its borough offices.
 - The Queens borough office is currently located in leased space at 126-06 Queens Boulevard. The Department is scheduled to relocate the office to Queens Borough Hall in August 2002; renovation is currently underway to accommodate additional staff.
 - The Department is working with Department of Citywide Administrative Services to secure additional space at its current location in Brooklyn Borough Hall. The space is needed to accommodate additional staff.
 - Renovation of the Bronx borough office is expected to begin by December 2002. The renovation will provide additional space for new staff.
 - In Fiscal 2001 the Department began to upgrade its computing resources throughout the five boroughs. A total of 200 new personal computers were purchased, some of which will be used as new public access terminals; DOB completed installation of the new computers in December 2001.
- In the first four months of Fiscal 2002, 70,860 customers were served in the borough offices and the average wait time, expressed in minutes and seconds, was 23:05, compared to 79,898 customers and an average wait time of 29:13 in the same reporting period last year.
- In August 2001 the Department implemented improved customer service standards. These standards reflect the minimum requirements DOB employees must maintain when interacting with the public through telephone, in-person and written communication. To ensure that these standards are enforced, the Department will conduct quality assurance surveys and spot checks of the borough offices and executive offices during Fiscal 2002.

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- During Fiscal 2001 the Department developed informational brochures on construction, plumbing and electrical requirements. These brochures will be distributed at public information seminars and will be posted on the Department's Web page by March 2002.
- In Fiscal 2002 DOB plans to give all Call Center staff customer service training as well as an overview of the Department's mission, goals and services. They will also be instructed in necessary computer training, business writing, grammar and usage, and basic staff supervision. In December 2001 the Department hired five additional Call Center staff members.

LICENSING

- The Department licenses tradespeople in 13 classifications of the building industry. The Department also ensures, through the enforcement efforts of IAD, that licensees continue to meet the licensing standards through various audits and investigations.
 - During the first four months of Fiscal 2002 the Department issued a total of 243 original licenses and 2,806 renewals for all 13 classifications, compared to 250 original licenses and 3,129 renewals in the same reporting period last year.
 - During the first four months of Fiscal 2002 the Department suspended, revoked or obtained the permanent surrender of three licenses, compared to suspending, revoking or obtaining the permanent surrender of four licenses during the first four months of Fiscal 2001.
- DOB is working with the Department of Citywide Administrative Services (DCAS) to privatize the development and administration of all license examinations that were previously the responsibility of DCAS.
 - In Fiscal 2001 the Department selected a vendor to develop and administer license examinations for Site Safety Manager, Elevator Agency Director and Private Elevator Inspector. In October 2001, three Site Safety Manager examinations and one Private Elevator Inspector exam were administered.

SELF-CERTIFICATION PROGRAMS

- The Department continued to expedite its regulatory process by permitting building owners to have architects, engineers and licensed tradespeople certify the code compliance of their work, rather than requiring them to obtain DOB approval. The Department conducts random audits of self-certified work to ensure that it meets standards.
 - Overall, DOB audited 25.1 percent of the self-certified plans submitted by registered architects and professional engineers during the first four months of Fiscal 2002, compared to 19.6 percent of self-certified plans submitted in the same reporting period last year. As a result of the Department's audits, four self-certified applications were permanently denied, compared to two self-certified applications that were permanently denied in the first four months of Fiscal 2001. The increase in self-certified plans audited is due to the hiring of additional plan examiners during the first four months of Fiscal 2002.
- Serious discrepancies in self-certified work, which are referred to DOB's IAD, may warrant an investigation of the licensed professional involved. During the first four months of Fiscal 2002 the Department opened nine investigations of four architects and five engineers; five of these investigations were opened as a result of the professional certification programs' audits. In the first four months of Fiscal 2001 the Department opened five investigations of two architects and three engineers and two of those were opened as a result of the professional certification programs. Investigations can lead to fines and/or exclusion from DOB's self-certification programs.

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- During the first four months of Fiscal 2002, three registered architects were referred to the State Education Department's Office of Professional Discipline for further action as a result of major discrepancies uncovered through the Department's audit procedures. There have been 46 such referrals since the self-certification programs were implemented in May 1994.
- During the first four months of Fiscal 2002 DOB audited 4,149, or 31.4 percent, of the 13,212 self-certified elevator inspections, compared to 5,370, or 34.2 percent, of the 15,712 self-certified inspections during the same reporting period last year. These audits resulted in 411 violations issued, compared to 462 violations issued during the first four months of Fiscal 2001. The majority of these violations were for minor maintenance issues that did not affect public safety.
- Although fewer audits were performed in the current reporting period, the Department exceeded the New York State requirement of auditing a minimum of 5 percent of all boiler applications. During the first four months of Fiscal 2002 the Department conducted audits of 1,246, or 5.3 percent, of the 23,341 boiler self-certifications submitted, compared to 3,553, or 15.6 percent, of the 22,811 boiler self-certifications submitted during the same reporting period last year.
- During the reporting period the Department audited 17.1 percent of all plumbing self-certifications, compared to 19.4 percent during the same reporting period last year. Of the 658 plumbing audits conducted, the Department found 106 discrepancies in self-certifications, compared to 98 discrepancies in the 647 plumbing audits conducted in the first four months of Fiscal 2001.

TECHNOLOGY

- DOB plans to fully integrate the Electrical Inspection Control System computer database with the Building Information System (BIS) computer database. The purpose of the project is to integrate electrical work permits, complaints and violations into BIS and allow the Department to maintain a file of all trades licensed by DOB in one database. The integration is also a preparatory step to create one repository for all DOB information, which is necessary to fully Web-enable all DOB applications.
- During the first four months of Fiscal 2002 the Department received 623,120 views of its home page on NYC.GOV, the City's official Web site, compared to 132,436 views received in the same reporting period last year. This represents a 371 percent increase. The increase was the result of the availability of BIS and the Building Code on the Web.
 - By March 2002 the Department plans to publish an online cumulative index on its home page that will list all the topics on which the Department issues memoranda, directives, and policy and procedure notices by subject matter. The cumulative index will permit the user to link from the subject to over 1,500 Department of Buildings' documents, significantly improving the applicant's access to research information.
- A customer service kiosk was installed in the Brooklyn borough office in December 2001 and in the Queens borough office in February 2002. Installation of the kiosks for the Bronx, Staten Island and Manhattan borough offices are scheduled for March 2002. Customers will be able to access NYC.GOV and print information and forms.
- The Department's Central Call Center is equipped with an Interactive Voice Response (IVR) system, which provides callers with options for obtaining 24-hour general information about the Department, easy access to the BIS database and referral information for other agencies. Over 50 percent of all calls can be served through the IVR system. Callers also have the option of speaking directly with trained representatives during regular business hours. During the first four months of Fiscal 2002 the Call Center handled 20,298 calls, compared to 14,671 calls in the same period last year.

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- The Department worked with the Department of Information Technology and Telecommunications (DoITT) to provide Internet accessibility to the BIS database. The new application allows the public, through DOB's Web site, to view property profiles, the status of complaints made with the Department and individuals' licensing status under DOB jurisdiction. Access to BIS was made available online in August 2001. The Department is currently working with DoITT's E-Government Office to expand accessibility for the remaining public access screens.
- In February 2002 the Department implemented an online complaint system through its Web site on NYC.GOV. Members of the public are able to complete a complaint form electronically and submit it directly to the Department's Call Center. Once received, the Department issues a complaint number, which can be tracked through BIS on the Web, borough kiosks, the interactive voice response system, public access terminals or through the Department's Call Center staff.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Department's expenditures were \$21.2 million, compared with its plan of \$22.9 million. The Department's Fiscal 2001 expenditures were \$48.5 million.
- The City's Financial Plan of February 2002 outlines increased revenue of \$3.4 million in Fiscal 2002 and \$6.5 million in Fiscal 2003 primarily through the standardization of collection procedures for fines, system integration and improved billing by DOF and additional revenue by auditing alteration applications to minimize the underestimation of filing fees. The Department has planned expenditures of \$57.9 million in Fiscal 2002 and \$45.1 million for Fiscal 2003.

DEPARTMENT OF BUILDINGS

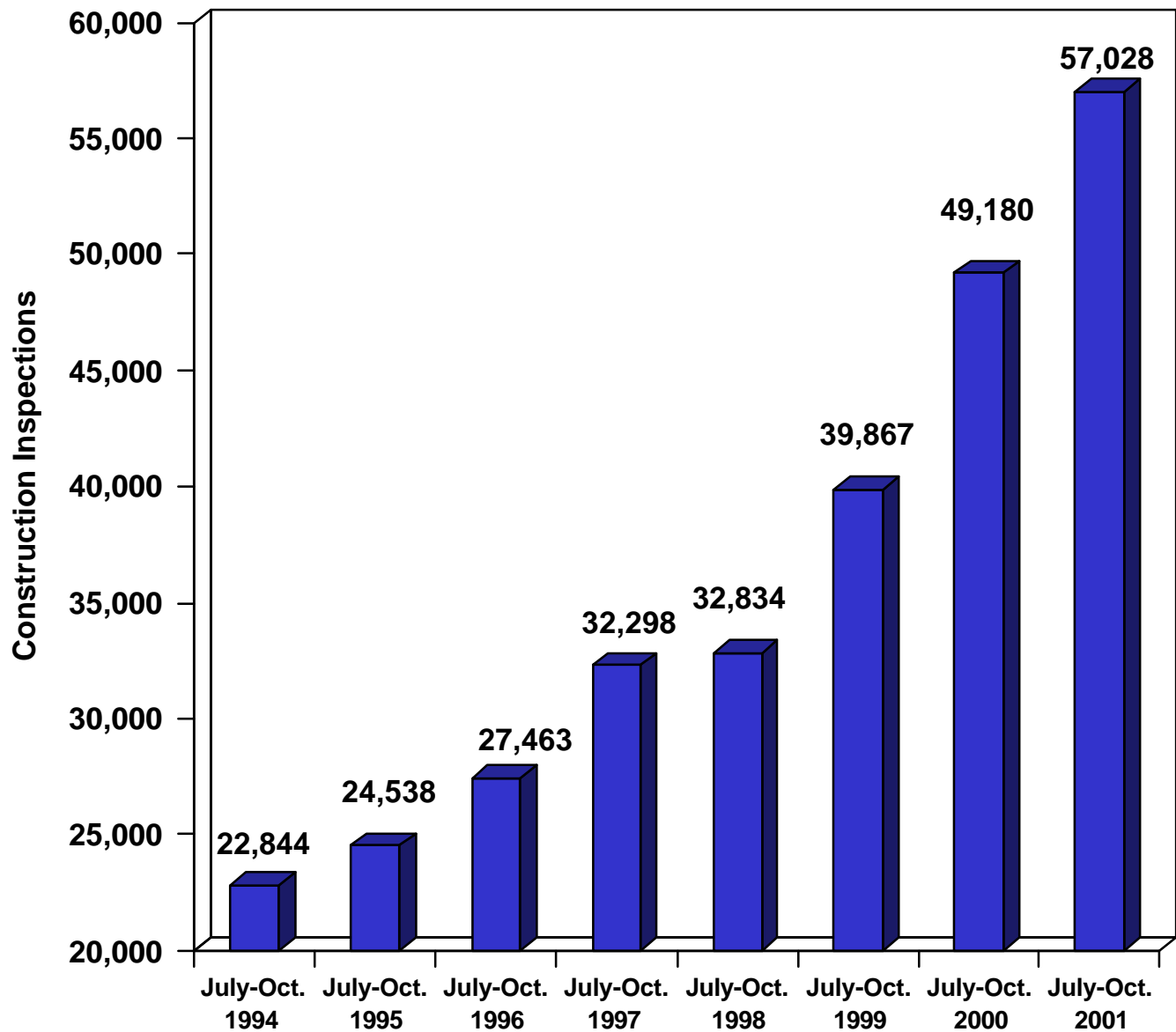
LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Plan Examinations – Average Days to First Examination	6.8	8.2	8.2	6.1	6.1	7.5	6.1 (a)
Plan Examinations – Average Days to First Examination: New Buildings	13	15	14.3	10.9	13.6	17.7	8.8 (a)
Plan Examinations – Average Days to First Examination: Alteration I	12.3	15	15	10.9	10.9	9.2	10.9 (b)
Plan Examinations – Average Days to First Examination: Alteration II and III	4.7	8.9	6.1	4.8	4.8	4.8	4.1
Average Working Days to Investigate Priority A Complaints	1.8	2	1.76	3.5	1.62	2.17	4.58 (c)
Average Working Days to Investigate Priority B Complaints	30	23.4	48.15	34.1	19.1	15.3	33.64 (c)

- (a) DOB decreased plan examination review times by hiring additional plan examiners during the first four months of Fiscal 2002. The Department expects average days to first examination to decrease further as the new plan examiners gain more experience.
- (b) The increase in the average days to first examination is due primarily to an increase in the number of Alteration I applications filed during the first four months of Fiscal 2002, compared to the first four months of Fiscal 2001.
- (c) Increased response times were directly caused by the temporary assignment of many of the Department's inspectors to conduct Lower Manhattan construction, elevator and electrical inspections in response to the September 11th disaster.

Department of Buildings

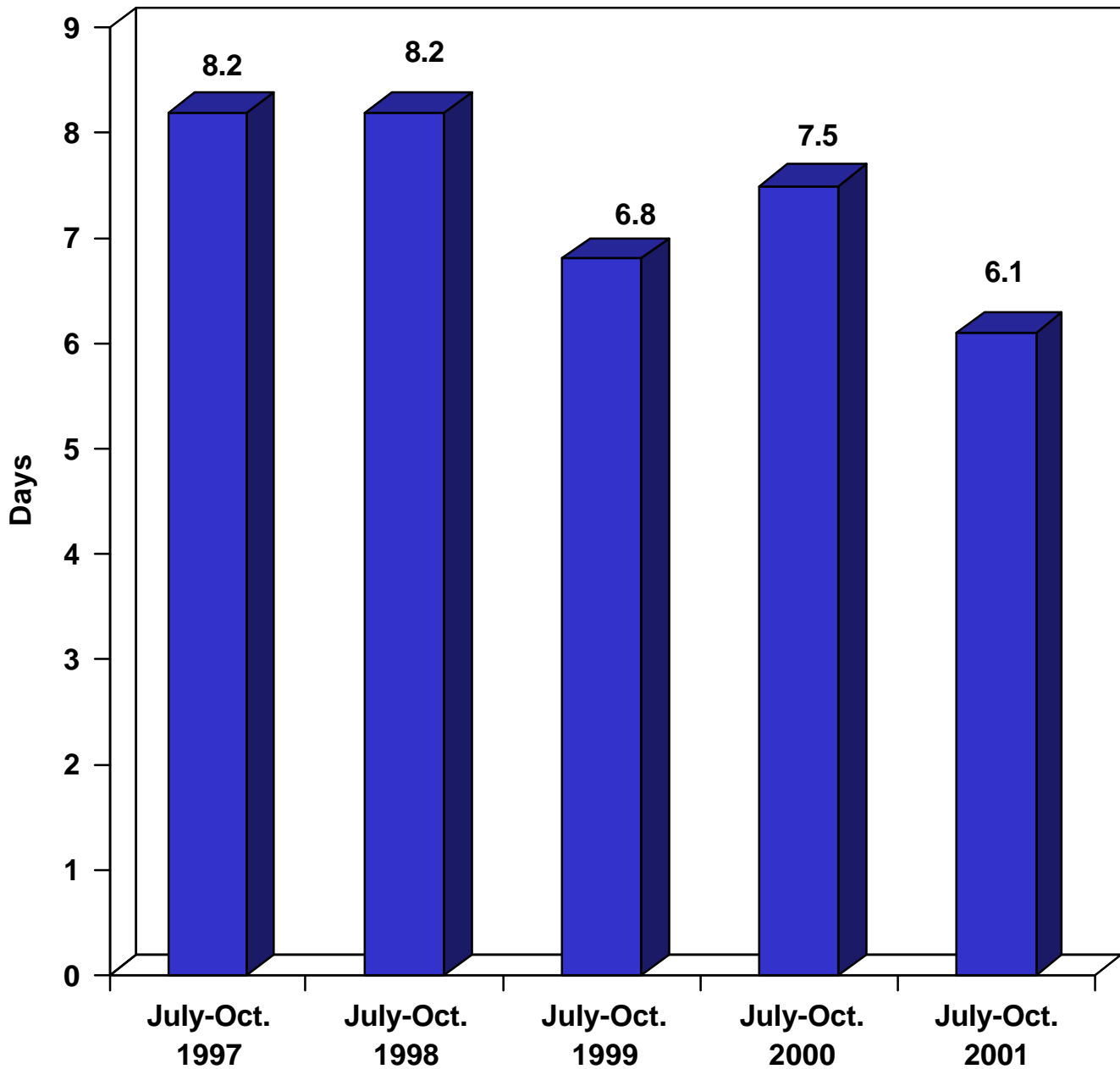
Construction Inspections* July - October 1994 - 2001



*Construction inspections include Quality of Life Team field inspections.

Department of Buildings

Average Days to First Examination July - October 1997 - 2001



This includes New Buildings, Alteration 1, and Alteration 2 and 3.

TAXI AND LIMOUSINE COMMISSION

The Taxi and Limousine Commission licenses and regulates medallion taxicabs, for-hire vehicles, paratransit vehicles, commuter vans, the drivers of these vehicles, taximeter businesses, taxicab brokers and their agents, for-hire vehicle base stations and commuter van authorities to ensure public safety, a sound vehicle-for-hire industry, and adequate service to the public. There are currently over 150,000 active licensees that the Commission is responsible for maintaining. The Commission is responsible for setting medallion taxicab rates and enforcing all rules and laws related to licensing criteria and standards of service.

GOALS AND OBJECTIVES

Goal: Ensure that taxicabs meet all safety requirements.

Objective

Conduct approximately 55,000 safety and emissions inspections in Fiscal 2002.

Verify that a revised 12,000 safety conditions are corrected as a result of notices of violation in Fiscal 2002.

Goal: Maintain high industry standards through enforcement and prevention programs.

Objective

Safeguard the public by seizing a revised 3,800 unlicensed for-hire vehicles in Fiscal 2002.

Identify and commence padlock proceedings against a revised 16 unlicensed bases in Fiscal 2002.

Ensure service to passengers by testing a revised 3,200 vehicles under Operation Refusal in Fiscal 2002.

Protect the public by issuing summonses to 15,500 for-hire vehicle owners, 8,000 for-hire drivers and a revised 6,000 for-hire bases in Fiscal 2002.

Goal: Provide an effective process of adjudicating summonses and public complaints.

Objective

Process a revised 11,500 consumer complaint cases to completion in Fiscal 2002.

Improve the public complaint process by scheduling hearings within 40 days in Fiscal 2002.

Adjudicate a revised 92,000 violations to final disposition in Fiscal 2002.

Goal: Provide an effective licensing process to support the industry.

Objective

Issue 19,750 new and renewal medallion operator licenses in Fiscal 2002.

Issue 27,000 new and renewal for-hire vehicle driver licenses in Fiscal 2002.

Issue 32,000 new and renewal for-hire vehicle owner licenses in Fiscal 2002.

Issue approximately 320 new and renewal for-hire base owner licenses in Fiscal 2002.

TAXI AND LIMOUSINE COMMISSION

HIGHLIGHTS AND ACHIEVEMENTS

INDUSTRY AND REGULATORY REFORM

- Due to the economic losses sustained by its regulated industries as a result of the September 11th disaster, in September 2001 the Taxi and Limousine Commission (TLC), provided information about obtaining vehicle loans and other financial relief. In October 2001 TLC expedited its licensing procedure, which reduced the time to process new license applications from three weeks to five business days, and simplified a procedure that allows for previously licensed individuals to apply for renewal licenses rather than new licenses. In October 2001 the Commission voted to provide hardship exemptions for taxicab owners who were unable to replace their vehicles, as TLC rules require, due to demonstrable financial difficulties or other hardships. TLC is working with the New York State Division of Criminal Justice Services to continue the expedited licensing program.
- During the first four months of Fiscal 2002 the Commission continued to ensure the safety and viability of the taxicab industry in the City through its enforcement of comprehensive taxicab and livery industry reform initiatives. Through mandatory annual drug testing, increased liability insurance coverage, a probationary period for licensees, and stricter guidelines through the Persistent Violator and Critical Driver Programs, the Commission is able to take action against drivers who repeatedly violate TLC rules and traffic regulations.
 - During the first four months of Fiscal 2002, 14 licensees had their TLC licenses revoked for drug test failure. Through the Critical Driver Program, TLC has suspended 469 drivers since February 1999.
- In connection with TLC's program to place wheelchair-accessible vehicles into service throughout the for-hire vehicle and medallion taxicab industries, the Commission extended the deadline of the amended rule requiring all licensed for-hire vehicles to provide wheelchair-accessible service on demand from October 31, 2001 to a revised date to be determined by TLC.

MEDALLION TAXICAB INITIATIVES

- Due to the September 11th disaster, in October 2001 TLC enacted a rule amendment that will allow owner drivers of medallion taxicabs to apply for a one-year vehicle operation extension beyond the five-year mandatory retirement age if they are able to prove economic difficulty or other hardship.
- During the first four months of Fiscal 2002 TLC continued to address passenger service refusal issues through the continued application of its Operation Refusal, which uses undercover TLC Inspectors as prospective taxicab passengers to test taxicab drivers' compliance with the rules and laws against all forms of passenger service refusal. During the reporting period TLC tested 849 taxicab drivers through Operation Refusal, resulting in 28 service refusal summonses and 445 summonses for other violations, compared with 60 service refusal summonses and 629 summonses for other violations during the first four months of Fiscal 2001. Since the introduction of the program in Fiscal 1996, TLC tested 14,873 taxicab drivers, resulting in the issuance of 1,420 summonses.

TAXI AND LIMOUSINE COMMISSION

- During the first four months of Fiscal 2002, TLC's Uniformed Services Bureau (USB) conducted six enforcement operations at the toll plazas of the Tri-Borough Bridge and the Queens-Midtown Tunnel to ensure compliance with the rule requiring all medallion taxicabs to be enrolled in the New York E-ZPass system and use E-ZPass at all bridge and tunnel toll crossings. This resulted in 362 medallion taxicab violations of the E-ZPass requirement, as well as the issuance of 275 driver summonses and 87 owner summonses, compared to the first four months of Fiscal 2001 when USB conducted three enforcement operations, and issued 338 E-ZPass violations. Since the introduction of the program in Fiscal 2000, 2,195 medallion taxicabs have been tested and a total of 1,978 driver summonses and 826 owner summonses have been issued.

FOR-HIRE VEHICLE INITIATIVES

- During the first four months of Fiscal 2002 TLC made enforcement against unlicensed for-hire vehicle bases, vehicles and drivers a critical component of its for-hire vehicle initiative.
 - During this period, the Commission confiscated 1,265 unlicensed vehicles. TLC Administrative Law Judges rendered decisions recommending that five unlicensed bases cease and desist from engaging in unlicensed activity. In addition, 10 unlicensed for-hire vehicle bases were closed after TLC targeted for-hire bases that are illegally occupying residential locations.
- In the first four months of Fiscal 2002, TLC's USB conducted seven enforcement operations, issued 566 summonses and seized 63 unlicensed for-hire vehicles as part of the Commission's Operation City Sweep. This citywide quality-of-life initiative targets for-hire vehicle drivers responding to street hails, which are illegal, as well as traffic and quality-of-life violations committed by for-hire vehicle operators. Since its inception in January 2000, USB has conducted a total of 66 enforcement operations, issued 4,835 summonses and seized 579 unlicensed vehicles.

AGENCYWIDE

- Immediately after the September 11th disaster, TLC responded to the needs of the public for transportation to and from hospitals, bereavement centers, Ground Zero and other critical locations by coordinating and implementing a comprehensive plan to provide free taxicab, for-hire vehicle, paratransit and commuter van transportation by licensed volunteer drivers. In addition, the Commission worked closely with transportation planners and businesses to expedite the reopening of Lower Manhattan to TLC-licensed vehicles.
- The Commission was temporarily displaced from its Rector Street headquarters from mid-September through October 2001, during which time it addressed the September 11th disaster aftermath transportation issues by providing staff and other assistance, such as traffic control and logistical advice, to the Office of Emergency Management.

TECHNOLOGY

- In Fiscal 2001 TLC established the Management Accountability and Productivity Program (MAPP) Analysis Unit to identify and anticipate performance trends, enhance intra-agency communication, ensure accountability, and improve productivity and service delivery. Weekly MAPP meetings provide a forum for intra-agency dialogue to address, discuss and target critical issues such as budgeting, enforcement, licensing and adjudications. Each MAPP meeting introduces several nonmanagement staff members to discuss their duties and provide managers with updates on critical field operation issues.

TAXI AND LIMOUSINE COMMISSION

- In February 2001 the Commission implemented a new for-hire vehicle base Internet application, which allows for-hire vehicle base station operators to access current licensing and adjudication information. During the first four months of Fiscal 2002, 502 out of 1,169 passwords were issued. The Internet application had 7,186 views during the first four months of Fiscal 2002.
- During the first four months of Fiscal 2002 the Commission's home page on NYC.GOV, the City's official Web site, received 140,158 page views, 90 percent more than the 73,812 page views received during the first four months of Fiscal 2001.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Commission's expenditures were \$8.7 million, compared with its plan of \$10.5 million. The Commission's Fiscal 2001 expenditures were \$22.9 million.
- The City's Financial Plan of February 2002 outlines \$1.9 million in Fiscal 2002 and \$3 million in Fiscal 2003 in expenditure savings and revenue initiatives primarily through reduced purchases of supplies and services, decreased per diem hours, and the issuance of two-year medallion licenses. The Commission has planned expenditures of \$23.4 million for Fiscal 2002 and \$22.1 million for Fiscal 2003.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Consumer Relations – Number of Completed Cases	12,845	13,737 (a)	14,681 (a)	16,627 (a)	15,241	4,400	3,741 (b)
Average Time to Schedule a Hearing (Days)	NI	NI	NI	NI	40.8	41.6	30.5 (b)
Adjudications – Total Violations Adjudicated to Final Disposition	NI	NI	NI	NI	105,795	33,168	28,799 (b)
Licensing – Medallion Drivers Licenses	45,266	40,592	50,812 (c)	35,160 (d)	18,555 (d)	6,625	7,027
– For-Hire Vehicle Drivers Licenses	NI	34,980	34,764	45,262 (e)	26,940 (d)	8,982	9,525
For-Hire Base Licenses							
– New Licenses Issued	40	6 (f)	23 (f)	28	32	7	7
– Renewal Licenses Issued	239	146 (g)	244 (g)	425 (g)	241 (g)	72	73
For-Hire Vehicle Licenses Issued	NI	NI	45,904	48,271	24,310 (d)	6,772	7,229
Inspections – Total Inspections Conducted	60,658	59,807	59,544	54,695	52,044	17,593	16,568
For-Hire Vehicle Patrol Summonses							
– Owner	10,846	12,900	11,429	17,228	17,034	5,364	5,185
– Driver	7,042	8,128	8,230	7,945	8,189	2,198	2,321
– Bases	1,041	1,226	4,362 (h)	9,825 (h)	8,838	2,471	2,864 (h)
Vehicles Seized	7,124	7,407	6,459	5,335	5,051	1,718	1,265 (i)

- (a) Increased hiring in the customer services division and other productivity enhancements contributed to an increase in the number of cases completed from Fiscal 1997 to Fiscal 2000.

TAXI AND LIMOUSINE COMMISSION

- (b) The decrease is due to fewer summonses issued and the suspension of hearings from mid-September to December 2001.
- (c) The increase is due to TLC's intensified efforts to address incomplete renewal applications.
- (d) The variance is due to the issuance of new and renewal two-year licenses, which began in June 1999. The overall number of medallion taxicab license applications received also decreased in Fiscal 2000 and Fiscal 2001.
- (e) In Fiscal 2000 there was an increase in for-hire vehicle renewal applications received and greater efficiency within the for-hire vehicle licensing unit.
- (f) The decrease in Fiscal 1998 was due to stricter licensing criteria pursuant to Local Law 51 of 1996. The increase in Fiscal 1999 was due to more new for-hire vehicle base applicants satisfying licensing criteria.
- (g) The decreases in Fiscal 1998 and Fiscal 2001 are a result of stricter licensing criteria pursuant to Local Law 51 of 1996 that established extensive criminal background investigations. In Fiscal 1999 and 2000 the backlog in renewal licenses was completed.
- (h) Enforcement personnel targeted community quality-of-life complaints against for-hire vehicle bases in addition to regular patrols.
- (i) Enforcement personnel were deployed to World Trade Center recovery operations.

LAW DEPARTMENT

The Law Department is headed by the Corporation Counsel, who is the attorney and counsel for the City and every City agency, certain non-City agencies and pension boards, and has charge and conduct of all the legal business of the City and its agencies. In this capacity, the Law Department litigates on behalf of the City in all State and federal courts. It pursues affirmative actions that seek to recover damages the City has suffered, fines that are uncollected and other amounts owed to the City. It protects the City's interest by defending the City against lawsuits of all types, including personal injury and breach of contract suits. It also prosecutes juvenile crime cases in Family Court. The Department prepares local and State legislation; approves leases, contracts and financial instruments for the sale of bonds and notes; and serves as counsel on sales and leases of City-owned property and economic development projects.

GOALS AND OBJECTIVES

Goal: Limit the City's liability and increase affirmative recovery.

Objective

Maintain early settlements in the Early Intervention Unit at 23% of total settlements and settlements in the borough offices and through court programs at 13% of total settlements in Fiscal 2002; increase the number of high-exposure cases settled at an early stage in litigation by working with the Comptroller's Office to increase the number of claims settled before they become lawsuits in Fiscal 2002.

Meet with the various agencies by the end of the year to identify areas where potential liabilities can be avoided and to identify additional areas where affirmative suits can be brought in Fiscal 2002.

Goal: Aid the City's efforts to increase public safety by prosecuting juvenile criminal cases in Family Court.

Objective

Maintain the percentage of criminal juvenile arrests filed for prosecution at 65% in Fiscal 2002.

Maintain at no more than four weeks the average time needed to initiate delinquent out-of-state child support payment proceedings in Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- In September 2001 the Legal Counsel and Affirmative Litigation Divisions established and implemented an expedited procedure for the issuance of death certificates for missing persons believed to have perished in the September 11th disaster and whose remains have not been identified. The procedure was developed in cooperation with the Office of the Criminal Justice Coordinator, the Department of Health, the Office of Chief Medical Examiner, and the New York State Office of Court Administration. The program operated at the Family Assistance Center at Pier 94 in Manhattan. In the program's first four months of operation, the Law Department submitted approximately 2,300 death certificate applications to court, of which nearly 2,000 have resulted in the issuance of a death certificate. Additionally, Law Department attorneys worked closely with the New York City Police Department (NYPD) to ascertain the number of attack victims as well as to investigate and identify fraudulent applications. In January 2002 death certificate intake was moved from Pier 94 to the Law Department's temporary headquarters.
- Attorneys in the Legal Counsel Division worked with attorneys from the Pensions Division to draft State legislation providing enhanced pension and other benefits for survivors of public employees who died as a result of the September 11th disaster.

LAW DEPARTMENT

- Noting the effect the September 11th disaster had on the City's economy attorneys in the Legal Counsel Division drafted Mayor's Executive Order No. 52 relating to restrictions upon agency expense budget administration. The order, signed on October 9, 2001, directs that necessary reserves of \$1 billion be set aside from agency allotments in the City's Fiscal 2002 expense budget and restricts agency hiring and certain funding commitments. Attorneys in the division have assisted the Office of Management and Budget regarding implementation of the Executive Order and the related budget issues.
- Attorneys in the Legal Counsel Division analyzed the Air Transportation Safety and System Stabilization Act signed by President Bush in September 2001, and assisted the City's legislative representative in seeking an amendment to that law, signed by the President in November, that will afford the City some protection from liability arising from the September 11th disaster. The enacted amendment, however, only protects the City from liability for amounts exceeding \$350 million.
- The Law Department's Affirmative Litigation Division, along with the Legal Counsel and Tort Divisions, are leading the City's effort to purchase billions of dollars of insurance coverage needed to protect the City and its contractors in connection with the World Trade Center debris removal project. The insurance industry has proven unable to provide such coverage. Now, working with the Mayor's Office in Washington, D.C., the Law Department and representatives of the City's contractors are promoting legislation to provide up to \$1 billion in federal indemnification for debris removal claims and to facilitate the purchase of additional insurance.

OPERATIONS

- As a result of the events of September 11th, the Law Department was displaced from its headquarters at 100 Church Street. Approximately 1,000 employees had to be temporarily relocated and the Department's files became inaccessible, greatly affecting the daily operations and productivity of the Department during the first four months of Fiscal 2002. In November 2001 the Department gained limited access to its files, and is working towards bringing operations and productivity back to normal at its temporary headquarters and its three dozen other temporary offices.

TORT LIABILITY

- During the first four months of Fiscal 2002 the Department resolved 2,311 cases and opened 2,371 cases, compared to 2,936 cases resolved and 2,806 cases opened during the first four months of Fiscal 2001. Of the 2,311 cases closed during the first four months of Fiscal 2002, 719 were disposed of before the process of discovery began, thus saving large amounts of attorney labor and allowing attorneys to focus on more substantial cases. Of the 2,936 cases closed during the first four months of Fiscal 2001, 984 were disposed of before discovery began.
- Affirmative motions are motions made on a question of law, which, if successful, completely dispose of the case. During the first four months of Fiscal 2002 the Division filed 578 affirmative motions, a 7 percent decrease compared to the 622 affirmative motions filed during the first four months of Fiscal 2001.
- Insurance takeovers occur when private insurance carriers take over on City cases, thereby reducing the City's liability. In these cases, the City successfully obtains indemnification from private insurance carriers. The Early Intervention Unit (EIU) secured 61 insurance takeovers during the first four months of Fiscal 2002, 40 percent less than the 102 takeovers during the first four months of Fiscal 2001.

LAW DEPARTMENT

- EIU settled 355 cases during the reporting period, a 35 percent decrease from the 549 cases settled during the first four months of Fiscal 2001. During the first four months of Fiscal 2002, the average settlement amount for cases in the EIU was \$9,930, compared to \$9,476 during the first four months of Fiscal 2001.
- During the first four months of Fiscal 2002 the Department continued to see results from early settlement initiatives, separate from EIU, conducted and handled in the pretrial stages in the City courts. The Tort Division attained 264 Pre-Note-of-Issue settlements during the reporting period, a slight decrease compared to 273 early settlements during the first four months of Fiscal 2001. The average settlement amount for cases in this category increased from \$12,051 in the first four months of Fiscal 2001 to \$12,867 during the reporting period. This amount represents about one-third of the citywide average tort settlement amount of \$34,622 for cases that are settled closer to trial for less than \$1 million. The Division has been able to settle a broader range of low-exposure cases, particularly those involving motor vehicle accidents and injuries in schools, which tend to decrease settlement amounts. These settlements occur prior to the process of discovery and placement on the trial calendar.
- During the reporting period the Tort Division attained 98 early Post-Note-of-Issue settlements, a decrease of 24 percent compared to the 129 settlements attained during the first four months of Fiscal 2001. These settlements occur after the discovery process is complete and the case is placed on the trial calendar, but prior to commencement of the trial.
- Settlements for all tort cases totaled 1,573 during the first four months of Fiscal 2002, a 33 percent decrease compared to the 2,356 settlements during the first four months of Fiscal 2001. In the first four months of Fiscal 2002 total City tort payout, including settlements and verdicts, was approximately \$127 million. This increase over the total City tort payout of \$113 million for the first four months of Fiscal 2001 is the result of several factors. First, the courts have exerted tremendous pressure over the past three to four years toward resolving long-pending medical malpractice cases, resulting in high-exposure cases being forced out to trial in a relatively short period of time. Cases that were not settled went to verdict. Those cases in which the Department was not successful at trial or on appeal have now become due for payment. Second, the courts have required the City to try other long-pending high-exposure cases, resulting in the doubling of the number of cases being sent out to trial each week. Finally, the Appellate Division and First and Second Departments' proclivity to sustain increasingly high awards has influenced settlement amounts in high-exposure cases.

FAMILY COURT

- During the first four months of Fiscal 2002, 2,450 child support cases were filed, compared to 2,700 cases during the same period in Fiscal 2001.
- During the first four months of Fiscal 2002 the trial conviction rate for juvenile criminal cases in Family Court was 76 percent, compared to 75 percent during the same period in Fiscal 2001. The overall conviction rate, including plea bargains, settlements and trials, was 77 percent, compared to 80 percent during the same period in Fiscal 2001.
- The Family Court Division's rate of cases accepted for prosecution for the first four months of Fiscal 2002 was 61 percent, compared to 63 percent during the same period in Fiscal 2001.
- Due to the transition and transfer of data to the Criminal Justice Information System (CJIS) computer case tracking system, the trial conviction rate, overall conviction rate and rate of cases accepted for prosecution are estimates and are subject to revision. The actual numbers on CJIS are within 2 to 3 percentage points of the Department's listed figures.

LAW DEPARTMENT

ECONOMIC DEVELOPMENT

- Attorneys in the Commercial and Real Estate Litigation Division successfully defended a proceeding brought by members of a local community group seeking to prevent the City from constructing a state-of-the-art forensic biology laboratory on the Bellevue Hospital Center campus. Petitioners argued that the new DNA Laboratory, which will be administered by the Office of Chief Medical Examiner, required land use review as a site selection for a capital project under the New York City Charter's Uniform Land Use Review Procedure (ULURP). In a decision dated November 21, 2001, the State Supreme Court, New York County dismissed the proceeding holding that ULURP was not triggered since the use of part of Bellevue's campus as a laboratory would not alter the character and use of the premises as a health facility.

COLLECTION REVENUES

- In Fiscal 2000 Affirmative Litigation Division attorneys, working with outside counsel representing the City's pension funds, achieved an historic settlement with a large private corporation and an accounting firm in a securities class-action lawsuit. In addition to a cash settlement of \$3.2 billion, the corporation agreed to revise its corporate governance provisions primarily involving the appointment of independent directors. Proceeds from the lawsuit will be returned to the City's pension funds. The City challenged the amount of fees sought by the outside class counsel at the Third Circuit Court of Appeals and succeeded in reducing attorneys' fees by at least \$76 million, all of which will go to the class. The issue of the attorneys' fees has been sent back to The United States District Court for the District of New Jersey.

LEGISLATION

- Attorneys in the Legal Counsel Division assisted the 2001 Charter Revision Commission by providing staffing and advice to the Commission. Staff participated in drafting and reviewing the preliminary recommendations and final report of the Commission, together with proposed Charter amendments, abstracts of the proposals, and the form of the five questions that were submitted to the voters. The voters approved all five questions at the general election in November. Division attorneys are currently advising the Mayor's Office of Operations and the Office of Management and Budget regarding implementation of the proposals. The approved changes include establishment of the Administration for Children's Services, the Department of Emergency Management, the Organized Crime Control Commission, the City Commission on Human Rights, the Office to Combat Domestic Violence Services and the Office of Immigrant Affairs as charter agencies and offices; the merger of the departments of Health and Mental Health into a Department of Public Health; and the expansion of the Board of Health. Other major provisions include creating gun-free school safety zones, prohibiting the sale of guns to persons under the age of 21 and required reporting of suspected crimes committed in public schools.
- Attorneys in the Legal Counsel Division worked with NYPD and the Civilian Complaint Review Board (CCRB) on a Memorandum of Understanding (MOU) between the two agencies concerning procedures for administrative prosecutions of NYPD uniformed officers for civilian complaints substantiated by CCRB. Litigation concerning implementation of the MOU is now pending in the Appellate Division, First Department.

LAW DEPARTMENT

TECHNOLOGY

- In June 2001 the Law Department received funding for a pilot project to develop a data document imaging system. Through the electronic input of case files, briefs and memoranda of law, the system will improve the efficiency with which the Department researches, writes new legal documents and searches for previously written documents on related cases. Because of the closing of the Law Department's headquarters, these initiatives were temporarily suspended. The Department restarted these initiatives in January 2002.
- By the third quarter of Fiscal 2002 the Department plans to expand Internet-based research capabilities to all personal computers used by lawyers and investigators. The temporary closing of the Department's headquarters, where the Internet computer connection and equipment are located, has delayed this project. When implemented, attorneys will be able to file claims and briefs electronically as mandated by the Eastern District Court in Brooklyn and the United States Bankruptcy Court of the Southern District of New York in Manhattan and, voluntarily, in commercial cases in the State Supreme Court in Manhattan. The Law Department will also be able to communicate with appropriate partners and stakeholders by using the Internet to do factual research, and to integrate legal research with document creation and e-mail tasks.
- The Department's home pages on NYC.GOV, the City's official Web site, are updated on a timely basis. Viewers will find information pertaining to Department Divisions, branch office locations, the Department's tort reform initiative, and recruitment and training. During the first four months of Fiscal 2002, there were 101,354 page views, an increase of 113 percent, compared to 47,592 views during the first four months of Fiscal 2001.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Department's expenditures were \$35.8 million, compared to its plan of \$38.8 million. The Department's Fiscal 2001 expenditures were \$96.7 million.
- The City's Financial Plan of February 2002 outlines expenditure and revenue initiatives of \$21 million in Fiscal 2002 and \$2.5 million in Fiscal 2003 through administrative cost savings and increased revenues. The Department has planned expenditures of \$95.8 million for Fiscal 2002 and \$102 million for Fiscal 2003.

DEPARTMENT OF FINANCE

The Department of Finance administers and enforces tax laws; collects taxes, judgments and other charges; educates the public about its rights and responsibilities with regard to taxes and tax benefit programs to achieve the highest level of voluntary compliance; provides service to the public by assisting in customer problem resolution; and protects the confidentiality of tax returns. The Department processes parking summonses and provides an adjudicatory forum for motorists to contest them. The Department also provides enforcement services for collection of court-ordered private and public sector debt.

GOALS AND OBJECTIVES

Goal: Collect New York City revenues with the highest standards of customer service.

Objective

Collect a revised \$8.5 billion in property and a revised \$4.9 billion in nonproperty City-administered tax revenues for a revised total of \$13.4 billion in Fiscal 2002.

Serve each Borough Payment and Adjudication Center customer in an average of 10 minutes in Fiscal 2002.

Process 8.3 million parking tickets in Fiscal 2002.

Process 350,000 parking ticket, real estate and water payment transactions and collect \$34.3 million in revenue through the Neighborhood Payment Center program in Fiscal 2002.

Through the NYCserv project, allow taxpayers to make property tax and parking ticket payments by electronic checks over the Internet by the end of Fiscal 2002.

Determine the assessed value for all property classes by May 2002.

Goal: Improve compliance with New York City tax laws.

Objective

Complete 20,300 desk audits and 1,980 field audits in Fiscal 2002.

Complete Phase II of the Professional Audit Support System in Calendar 2002.

Commence seventh round of tax lien sales by April 2002.

Goal: Maintain public land records (deeds, mortgages, etc.) and personal property (Uniform Commercial Code) filings.

Objective

Record 325,000 real property documents and over 75,000 Uniform Commercial Code filings in Fiscal 2002.

Complete conversion of the Manhattan real property index, part of the Automated City Register Information System for real and personal property records, by the end of Fiscal 2002.

Goal: Process parking summonses and provide a fair and impartial adjudicatory forum for motorists to contest them.

Objective

Hold 947,000 hearings to adjudicate 2.4 million summonses in Fiscal 2002.

Process a revised 450,000 parking ticket payments over the Internet in Fiscal 2002.

Maintain a processability rate of 93 percent for parking violations issued to New York State registered vehicles and 84 percent overall in Fiscal 2002.

Adjudicate 371,000 parking summons hearings by mail in Fiscal 2002.

Handle over 1.3 million parking violation-related phone calls in Fiscal 2002.

DEPARTMENT OF FINANCE

Goal: Provide enforcement services for collection of court-ordered private and public sector debt.

Objective
Collect \$26.6 million in revenue from the Marshals' tow program in Fiscal 2002.
Collect a revised \$9.2 million in revenue from the Sheriff's Scofftow program in Fiscal 2002.
Execute 13,500 private sector court orders in Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

TAXATION POLICY

- By incorporating various tax exemptions and abatements, the City's new Commercial Expansion Program (CEP), an extension of the Commercial Revitalization Program (CRP), encourages businesses to expand or relocate to eligible properties in designated manufacturing and commercial areas in Manhattan above 96th Street and in the City's remaining boroughs.
 - CEP, which began in July 2000, increases tenant occupancy while reducing vacancies in underutilized office space. By the end of Calendar 2001, 31 companies, representing almost 445,000 square feet of office space, had applied to the Program and 25 were already receiving benefits.
- In Summer 2001 the Lower Manhattan Commercial Lease Abatement Program was extended from March 2001 until March 2004. This Program provides a package of tax incentives aimed at increasing tenant occupancy in office buildings and retail stores in downtown Manhattan. Based on leasing activity over the past two years, the Department estimates that 1 million square feet will qualify for the abatement during each year the Program is extended.
- In September 2001 the City Council passed legislation conforming certain technical provisions of the City's General Corporation Tax and the Bank Tax to their State counterparts to ease the tax compliance burden of businesses and their tax representatives. The legislation eliminates minor disparities between City and State filing requirements, thereby simplifying taxpayers' filing responsibilities.
- In September 2001 the Governor signed legislation extending the City's Cooperative/Condominium Abatement Program through Fiscal 2004. The Program reduces the disparity of the tax burden between owners of cooperatives and condominiums and other residential homeowners. The Program saved cooperative/condominium owners \$173 million on 303,000 units in Fiscal 2001 and is expected to save owners approximately \$185 million on 308,830 units in Fiscal 2002.

REVENUE COLLECTIONS

- During the first four months of Fiscal 2002 the City and State collected \$7.9 billion in taxes payable to the City treasury, compared with \$8.1 billion during the same period in Fiscal 2001. Of this total, the City collected \$5.5 billion, compared with collections of \$5.6 billion during the same period in Fiscal 2001.
 - The City collected \$4.5 billion in property tax revenues during the reporting period in Fiscal 2002, compared to \$4.2 billion during the same period in Fiscal 2001.
 - A total of \$3.4 billion in nonproperty tax revenues was collected during the first four months of Fiscal 2002, compared to \$3.9 billion during the same period in Fiscal 2001.

DEPARTMENT OF FINANCE

- In the first four months of Fiscal 2002 the Department collected \$115.1 million in parking fines and fees and processed 2.5 million summonses, compared to \$125.5 million in fines and fees and 2.8 million summonses during the first four months of Fiscal 2001.
- In late September 2001 the Governor extended business and property tax payment deadlines for individuals and businesses that were directly affected by the World Trade Center disaster. Property tax payments previously due on October 1, 2001 were extended until January 2, 2002; business tax deadlines were extended to December 17, 2001, by which time DOF received and processed over 10,000 World Trade Center-related documents.
- In the first four months of Fiscal 2002 the Department continued to accept credit card payments for parking fines over the Internet, through its Interactive Voice Response (IVR) telephone system and at all payment centers.
 - In the first four months of Fiscal 2002 the Department's Parking Violations payment centers completed 22,492 credit card transactions, and collected a total of \$4.03 million in revenue. During the same period in Fiscal 2001 the centers completed 20,758 transactions, representing a total of \$3.7 million in revenue.
 - During the first four months of Fiscal 2002 customers made 51,928 payments totaling \$3.15 million through the IVR system for parking fines, compared to 50,506 payments totaling \$3.1 million during the same period in Fiscal 2001.
 - During the first four months of Fiscal 2002 customers paid 84,728 parking summonses over the Internet for a total of \$5.2 million. In the first four months of Fiscal 2001, 22,883 transactions were completed for a total of \$1.38 million.
- In January 2001 the New York City Police Department (NYPD) released a Request for Proposals to develop and implement a Parking Ticket Device System that uses computer technology to reduce illegible, inaccurate or missing parking summons data and improve the processing of parking summonses. Through the deployment of handheld ticketing devices, enforcement agents will be able to obtain vehicle information by key entry or, depending upon equipment tests, scanning the registration sticker. Subsequently, all information will be downloaded to NYPD and the Department of Finance. DOF will retain the electronic parking tickets, along with security information to validate original issuances and to ensure that original summonses do not contain any undetectable alterations in compliance with the Electronic Signature and Records Act (ESRA). ESRA sets the legal standard governing digital signatures in the State of New York for governmental transactions. Phase I field testing, which entails a pilot to evaluate systems operations, began in January 2002; full implementation is expected by Spring 2002.

AUDIT AND ENFORCEMENT

- During the first four months of Fiscal 2002 the Department continued work on Phase II of its Professional Audit Support System (PASS), an audit selection and case management computer application that allows auditors to handle a greater number of cases and better target potential audits. Specifically, the Department began 46 audits on candidates identified by the PASS model. The Department also continued loading New York State tax data into its PASS Datamart, a subset of the Revenue Information Database that serves as the principal data storage facility of PASS. When PASS is fully implemented, the Department expects to realize a revised total of \$25 million in additional annual audit revenue.

DEPARTMENT OF FINANCE

- In October 2001 the Department's Office of Tax Enforcement completed a multi-state/federal undercover operation that targeted cigarette smuggling in Brooklyn. Part of the operation involved a wholesale cigarette business in Virginia as well as a series of local buy-and-bust operations where smugglers were arrested after they purchased untaxed cigarettes from undercover agents. The United States Attorney's Manhattan Office is prosecuting resultant cases.
- In October 2001 the Governor signed City-sponsored legislation that authorizes the imposition of triple fines on vehicle owners who fraudulently obtain dismissal of parking tickets by submitting misleading photos, altering summons or vehicle data, or submitting false mechanic work receipts. Since 1996, the Department has reinstated over 10,000 parking tickets that it determined were fraudulently dismissed.
- In July 2001 the Department mailed consolidated rent stabilization fee delinquency notices to owners of rent-stabilized apartments. As reported in the Fiscal 2001 Mayor's Management Report, the City Council passed legislation giving the Department greater latitude in waiving delinquent fees and interest under certain circumstances. Specifically, the legislation allowed the Department to waive interest on delinquent rent stabilization fees paid within 90 days of the billing date, and also deemed paid any outstanding fees prior to 1993 if owners had made timely payments from 1993 through 1998. As a result, in the first four months of Fiscal 2002 the Department collected \$4.7 million in rent stabilization fees.
- The Department will commence its seventh round of lien sales in Spring 2002. To date, the Department has collected \$1.4 billion in lien sale revenue and pre-sale payments from delinquent taxpayers. Since the Department began the lien sale program, the City has experienced a 42 percent decrease in the real property tax delinquency rate.

PROPERTY

- During November 2001 the Department successfully completed the user acceptance and volume testing of the image conversion module of the Automated City Register Information System (ACRIS). ACRIS is an electronic records management and document imaging system for real and personal property records. In addition, the Department began quality control inspections to ensure that the computer index of the imaged files and the electronic images are accurately linked together. The Department is currently conducting quality control checks on the conversion of the Manhattan real property index for the years 1946 through 1981 and expects completion of this review by the third quarter of Fiscal 2002. This will allow Manhattan real property records within this period to be viewed in FAIRTAX, the Department's mainframe tax and property records system.
- In January 2002 the Department released the tentative property assessment roll for Fiscal 2003. The tentative total fair market value of the City's taxable properties grew by 9.6 percent to approximately \$430 billion for Fiscal 2003, \$37.6 million more than the final Fiscal 2002 total fair market value of \$392.4 billion.
- The World Trade Center attacks also had an effect on the Fiscal 2003 tentative assessment roll. While overall the tentative roll reflected a growth due to increases in fair market value, assessment values for many properties in the affected area declined from the Fiscal 2002 final roll.
 - In Fall 2001 the Department made revisions for Fiscal 2003 property assessments after soliciting updated Real Property Income and Expense (RPIE) data from owners of income-producing properties in the World Trade Center vicinity. This data is usually due each September for the previous calendar year's reporting period. The Department also accepted information from owners of other properties not directly in the World Trade Center vicinity, who were able to show a decline in revenue since the previous year's reporting period.

DEPARTMENT OF FINANCE

- In October 2001 the Department continued its outreach efforts to taxpayers who have not renewed or applied for the School Tax Relief (STAR) exemption by providing a unit breakdown of exemption and abatement benefits to all cooperative buildings. In November 2001 the Department also provided STAR exemption information to all elected officials, community boards and real estate taxpayers and included brochures in water and sewer bills and in its real estate bill mailings.

CITY SHERIFF

- The Department's Office of the Sheriff removes stolen vehicles from City streets and works to return them to their legal owners through its Stolen Vehicle Recovery Program. In the first four months of Fiscal 2002 the Sheriff's Office recovered 657 vehicles and returned 528 vehicles to their legal owners. During the first four months of Fiscal 2001, 949 vehicles were recovered and 765 vehicles were returned. The decrease is due to the redeployment of City Sheriff deputies to other duties, such as providing transportation services for critical personnel and security coverage at City municipal buildings after the September 11th disaster. From the program's inception in August 1996 through October 2001, the Sheriff's Office has returned 8,223 vehicles to owners, or 78.3 percent of the 10,500 recovered stolen vehicles.
- In the first four months of Fiscal 2002 the Sheriff's Office served 2,450 summonses and arrested 65 individuals through the Deadbeat Parents Program, which executes court-ordered summonses for delinquent child support payments. The Office of the Sheriff served 42.4 percent of the 5,777 summonses received, which included 5,455 cases referred by the Administration for Children's Services and 322 cases referred by private citizens. During the first four months of Fiscal 2001 the Office of the Sheriff received 8,064 cases, served 3,292 summonses and arrested 58 individuals.

CUSTOMER SERVICE AND PAYMENT OPERATIONS

- The Department continues its multi-agency consolidation technology project, known as NYC Serv.
 - During the reporting period, the Department continued loading New York State (NYS) tax files into the Revenue Information Database (RID) component of NYC Serv. RID is a central database that stores all taxpayer return data and allows Department auditors greater flexibility in examining taxpayer information, thereby increasing the efficiency of the audit selection process. The Department began loading New York State tax return data into the database in June 2001 and completed loading the data in January 2002.
 - During the first four months of Fiscal 2002 the Department continued to develop both the Payments and Adjudications applications of NYC Serv. In July 2001 the Department began scripting for the Adjudications portion of the application and conducted testing of its Calendaring and Hearings by Mail applications. By the end of October 2001 the Department began various cycles of user testing, reviewed NYC Serv's Internet payment design and also conducted an operational review of workflow to accommodate the new system. In January 2002 the Department introduced the walk-in portion of the payments application in a controlled setting at the Manhattan Business Center, thereby allowing payments to be processed through NYC Serv.
 - By a revised date of the first half of Fiscal 2003 the Department will implement an electronic checking feature, allowing taxpayers to pay parking tickets, property, water and sewer charges, as well as payments of fines to the departments of Health and Consumer Affairs and the Environmental Control Board through an Internet transaction, thereby reducing the volume of mailed paper checks.

DEPARTMENT OF FINANCE

- In October 2001 the Department began accepting parking violations credit card payments through its collections noticing contractor. Motorists receiving summonses or notices or wishing to resolve more complicated parking violation issues may transact their business through this vendor instead of being redirected to the Department's Integrated Voice Response system or the Web site.
- In September 2001 the Department published its Finance*Stat indicators on its Web page and worked with the Department of Information and Telecommunication Technology to create a link from the Citywide Accountability Web page. Customer service indicators, such as phone wait times for parking violations and taxpayer assistance, were reduced from nearly four minutes and six minutes, respectively, in October 2000 to under one minute and four minutes, respectively, in October 2001.
- In April 2000 HealthStat began to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, all City agencies and hundreds of community groups were mobilized to enroll eligible families and children in Child Health Plus and Medicaid. As a direct result of HealthStat activities, over 200,000 individuals have been enrolled in public health insurance programs. As a HealthStat participant, in December 2001 the Department made space available in three of its borough payment offices to a managed care organization associated with the program.

TECHNOLOGY

- During the first four months of Fiscal 2002 the Department implemented several enhancements to its Web site.
 - In July 2001 the Department redesigned its home page to provide taxpayers with a more user-friendly interface. In order to maximize clarity and speed visitors through the site, the Department added drop-down menus, scrolling messages and new "special announcement/services" buttons.
 - In July 2001 the Department posted the first issue of the new quarterly business income tax newsletter.
 - In July 2001 the Department posted the 2000 Real Property Income and Expense files, allowing the public to check on the status of these filings online.
 - In October 2001 the Department posted an online questionnaire for new business owners. After providing basic business information, the viewer receives a series of "stock" responses with links to appropriate City and State agencies, tax forms and publications.
 - In October 2001 the Department posted a Web page with information as well as filing and payment deadline extensions related to the World Trade Center disaster, including links to the Internal Revenue Service and New York State Web sites.
- In Fall 2001 the Department enhanced NYCefile, an Internet application allowing taxpayers to submit estimated tax payments and applications for automatic extensions for business income taxes. In September 2001 the Department added an electronic filing and payment feature for the commercial rent tax. In October 2001 the Department made electronic audit payments available to taxpayers.
- During the first four months of Fiscal 2002 the Department's home page on NYC.GOV, the City's official Web site, had 1,342,241 views, an increase of 165 percent over the 507,376 views during the same period in Fiscal 2001.

DEPARTMENT OF FINANCE

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Department's expenditures were \$88.9 million, compared with its plan of \$97.1 million. The Department's Fiscal 2001 expenditures were \$180 million.
- The City's Financial Plan of February 2002 outlines revenue and expenditure initiatives, which total \$28.9 million in Fiscal 2002 and \$17.2 million in Fiscal 2003, including expenditure savings from the NYC Serv project and other nonpersonnel costs, as well as improved collections of parking summons amounts. The Department has planned expenditures of \$192.8 million for Fiscal 2002 and \$185.4 million for Fiscal 2003.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Total Tax Collected (Billions) (a)	\$11.9	\$12	\$12.3	\$13.2	\$13.7	\$8.1	\$7.9
Parking Violations – Summonses Processable	79%	80%	82%	80%	83%	DNA	81%
Parking Violations Help Center Average Processing Time (Minutes)	33	32	29	28	9.7 (b)	38	8.4 (b)
Adjudications – Hearings Held (000) (c)	1,414	1,328	1,220	993	859	287	287
Summonses Adjudicated (000) (c)	2,578	2,504	2,369	2,339	2,164	719	655
Summonses Received (Millions) (d)	8.9	9.1	8.9	8.6	8.2	2.8	2.5

- (a) Increased collections are mainly due to the strong performance of Wall Street firms from Fiscal 1997 through Fiscal 2001.
- (b) The decrease reflects new survey methodology. Data now reflects the customer's wait time for service instead of total time spent in the Center.
- (c) The redesign of the parking summons in Fiscal 1996 and the overall decrease in ticket issuance has contributed to a decline in the number of hearings held. This redesign involved changing the summons layout from a fill-in to a check-box format, thereby eliminating the illegible handwritten summonses that had previously caused respondents to request hearings.
- (d) Summonses received are directly related to issuance by other agencies, such as NYPD.

DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES

The Department of Citywide Administrative Services, established by Local Law 59 of 1996, provides personnel and support services to City agencies. Its personnel management functions include personnel development, civil service administration, license issuance as required by law, oversight of the citywide equal employment opportunity program and policies, and classification of positions and salary levels. Citywide support functions include the acquisition and distribution of supplies and equipment; maintenance and operation of the City's vehicle fleet; energy conservation; maintenance, operation and reconstruction of City-owned public buildings; purchase, sale and lease of City-owned nonresidential real property; publication of "The City Record" and other official documents; and management of the CityStore.

GOALS AND OBJECTIVES

Goal: Provide City agencies with the necessary support services to hire and train City employees.

Objective
Eliminate 10 competitive civil service titles by the end of Fiscal 2002.
Consolidate nine exams for titles that require similar knowledge and skills into four exams by the end of Fiscal 2002.
Administer six Police Officer Exams at satellite locations, including military bases and colleges, in Fiscal 2002.
Expand the use of videoconferencing to a total of 14 sites to support training, educational and business process applications in Fiscal 2002.
Complete four orientation sessions for new employees in Fiscal 2002.
Conduct training courses for 7,500 City employees in Fiscal 2002.
Conduct 80 Equal Employment Opportunity training sessions for 1,200 employees in Fiscal 2002.
Monitor agencies' compliance with the City's Equal Employment Opportunity policy through 38 on-site visits and 152 desk reviews in Fiscal 2002.

Goal: Provide goods and services to City agencies in a timely and responsive manner.

Objective
Begin development of eCLIPS, an Internet-based procurement and inventory management application, to replace the current Commodity Line Item Purchasing System application and enhance functionality of procurement software.
Complete implementation of the Maintenance Control and Management System at the Department of Sanitation by Spring 2002.
Ensure an average vehicle downtime of no more than 3% for client agencies in Fiscal 2002.
Implement a system that allows City agencies to order office supplies via the Internet in Fiscal 2002.

DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES

Goal: Design, construct, operate and maintain City-owned public spaces efficiently and effectively.

Objective
Complete both exterior and interior renovations of 280 Broadway by Spring 2002.
Complete Americans with Disabilities Act (ADA) construction at three court facilities; complete ADA construction design for three additional court facilities by June 2002.
Survey 28 DCAS-operated court facilities and ensure 85% receive acceptable ratings for cleanliness and maintenance in Fiscal 2002.
Begin construction on elevators in three City-owned buildings in Fiscal 2002.
Begin construction of over 200 restrooms at 100 Centre Street in Fiscal 2002.
Complete 70% of work order requests received within 30 days in Fiscal 2002.
Reduce annual energy consumption by an additional \$2.7 million through the Energy Cost Reduction lighting, air-cooling and boiler efficiency program in Fiscal 2002.

Goal: Efficient and effective disposal, cost recovery and management of goods and property.

Objective
Generate \$7 million in bids through the sale of surplus commercial property in Fiscal 2002.
Solicit successful bids on 200 parcels in the City's real estate portfolio in Fiscal 2002.
Recover \$435,000 in vehicle repair costs from private drivers liable for accidents involving City vehicles in Fiscal 2002.

Goal: Improve the Agency's provision of administrative services through technology.

Objective
Complete initial implementation of the New York City Automated Personnel System (NYCAPS) by July 2001.
As part of NYCAPS, develop an online application system for civil service examinations. Complete Phase I by March 2002.
Post the Green Book on the City's intranet by December 2001.
Review Internet availability of the searchable Requirement Contracts database application that has been in service via the City's intranet since May 2001.
Develop an application that will use handheld and wireless technology for quality assurance and vehicle inspections to allow access to vendor data, Internet resources and in-house database information on site. Pilot the new technology in Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- The Department of Citywide Administrative Services (DCAS) was one of the first providers of food, water and other emergency supplies to rescue workers at Ground Zero through its Municipal Supplies Storehouse. DCAS processed over 1,200 emergency orders with approximately 300 vendors; items ranged from tyvek suits used by decontamination workers to memorial flags, heavy equipment and vehicles.

DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES

- On September 13th the Department's Bureau of Quality Assurance established a fuel depot at Ground Zero for emergency vehicle and generator refueling. The station continues to operate 24 hours a day, seven days a week.
- The Division of Real Estate Services (DRES) communicated and coordinated with landlords to prepare buildings for reoccupancy and to obtain additional leased space in Lower Manhattan. DRES identified space for the Federal Emergency Management Agency and the National Guard, coordinated donated space, and reacquired its former surplus warehouse to be used as a staging area for supplies and a mail processing facility. In addition, DRES helped to relocate the Law Department, the Office of Management and Budget, State Legislative Affairs, City Legislative Affairs, the Office of Emergency Management (OEM), and the Office of Administrative Trials and Hearings.
- On September 11th the Division of Facilities Management and Construction (DFMC) surveyed City-owned buildings for damage, established inspection criteria and conducted safety inspections of mechanical operating systems and structures. In addition, DFMC cleaned City Hall and 12 additional DCAS-managed buildings in the restricted area, performed construction work at command centers and other staging locations around the City, and set up the public address system at Ground Zero for use by rescue workers.
- The Department's Division of Administration and Security (DAS) established and operated a staging area for the receipt of emergency supplies at the Municipal Building for two weeks beginning September 11th. Due to severely restricted access to Lower Manhattan, this ad hoc supply staging area received emergency supplies from vendors and from the City's Central Storehouse, and facilitated delivery to the designated area or Ground Zero location. Simultaneously, the Municipal Building was kept open with 24-hour security. DAS provided increased security at the Municipal Building and other City-owned buildings, including the warehouse.
- On September 20, 2001 the Division of Citywide Personnel Services (DCPS) coordinated a citywide personnel meeting for all agencies at the Municipal Building to answer questions on personnel, space and procurement issues. DCPS assisted in locating fingerprint files to assist with the identification of missing employees, amended the Fire Department of the City of New York Notice of Examination to help with emergency hiring needs, and assisted the Mayor's Office in sorting and responding to the influx of mail. In addition, DCPS issued a formal Time and Leave Policy, a Bereavement Leave Policy and an Extended Military Benefits Policy in response to the disaster.
- Several other DCAS divisions were also involved in emergency work in response to the September 11th disaster:
 - The Office of Citywide Occupational Safety and Health, in conjunction with the Department of Health (DOH), performed air quality testing and fit-testing of respirators at Ground Zero.
 - The New York City Automated Personnel System (NYCAPS) and the DCAS Management Information Systems staff provided computer equipment, and helped network computer systems at the Police Academy and at Pier 92, Pier 94 and Intermediate School 89.
 - The Department's special events staff helped set up tented areas around the City, and worked with the Mayor's Office to coordinate memorial services and other special events.
 - The Division of Fiscal Management and Operations (DFMO) worked as the liaison between OEM and the various DCAS divisions and ensured adequate staffing of the various command centers. Additionally, DFMO expedited and processed payments for emergency procurements.

DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES

CITYWIDE PERSONNEL SERVICES

- During the first four months of Fiscal 2002 DCAS eliminated two competitive job titles through continued consolidation, compared to four job titles in the first four months of Fiscal 2001. Three Transit Maintainer titles were consolidated into the new title of Transit Electro-Mechanical Maintainer.
- In the first four months of Fiscal 2002 DCAS administered 11 civil service exams and two license exams, compared with 11 exams and five exams respectively during the same period in Fiscal 2001. Exams included Probation Officer Trainee, Assistant Civil Engineer, Senior Consultant (Mental Health Standards and Services), Supervisor of Electrical Installations and Maintenance, as well as practical tests for Secretary, Car Inspector, Structure Maintainer – Groups B and C, Bus Maintainer, and Ventilation and Drainage Maintainer.
- DCAS delayed administering large-scale examinations for police officers or examinations at satellite locations from October to November as a result of the September 11th disaster. Application fees were waived for the most recent examinations to attract more candidates.
- The Bureau of Personnel Development offered 11 multi-agency training courses to employees in eligible City agencies during the first four months of Fiscal 2002, compared to 29 training courses during the same period in Fiscal 2001. Among the courses offered were Train the Trainer, Advanced Negotiation Techniques, introductory and intermediate courses in spreadsheet applications and Public Procurement Officer Certification. The number of training courses decreased as a result of the September 11th disaster. Contracts with vendors that conduct training were delayed and fewer employees were available to attend. Furthermore, many training sites were not available because of restricted access to Lower Manhattan.
- During the first four months of Fiscal 2002 the Bureau of Personnel Development raised \$45,000 from private foundations to fund and expand both Urban Fellows and Government Scholars program activities and events.
- The Department's emphasis on the use of technology to enhance and expand training and educational opportunities available to City employees continued during the first four months of Fiscal 2002. New initiatives include development and delivery of a collaborative statewide Master's in Social Work course, in which City employees may participate. Further initiatives include expansion of a customer service program targeted towards Human Resources Administration (HRA) employees and the development of a pilot training program that will employ interactive videoconferencing and computer-based learning, allowing employees to participate at their convenience. In addition, two new videoconferencing facilities were opened.
- Applications for civil service examinations were expected to be available on the Internet by July 2001. The online applications initiative was delayed and is expected to be available by March 2002. The delay is due to legal issues surrounding the interpretation of relevant e-signature laws and complications regarding approval of contracts for credit card use.
- The Department is currently developing NYCAPS, which will store personnel data, including information integrated from the Citywide Human Resources Management System, in a central location. This will permit oversight agencies and all agency personnel divisions to share and access data easily. The system will simplify both workflow and system management, resulting in more accurate and accessible personnel-related information. In Fiscal 2002 the first phase of the system will be implemented using a two-track approach.

DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES

- The personnel track provides human resource professionals in City agencies with access to NYCAPS functions. During Fiscal 2002 DCAS will conduct a pilot program to track employee training, assignment of shields or badges to civilian and uniformed employees, and other human resources functions such as personnel actions and information included in the Payroll Management System.
- The self-service track provides employees and the public with limited access to NYCAPS data. In Fiscal 2002 the self-service track will allow employees to maintain their own emergency contact information and to access electronic pay stubs. It will also provide access to online civil service exam applications for employees and the public.
- The Division of Citywide Personnel Services is in the process of developing an Interactive Voice Response (IVR) system to replace the current 487-JOBS system that gives callers recorded civil service information. The new IVR system is an e-government effort that will allow individuals to obtain information about their civil service examination applications, examination results and eligible list status, in addition to information currently available through 487-JOBS. The public will be able to speak with a representative from each area to clarify information or answer questions. The IVR system is expected to be operational by April 2002.

CITYWIDE EQUAL EMPLOYMENT OPPORTUNITY

- During the first four months of Fiscal 2002 the DCAS Office of Citywide Equal Employment Opportunity (OCEEO) conducted eight training sessions for City employees, compared to four training sessions during the first four months of Fiscal 2001.
- OCEEO conducted eight on-site visits, including one briefing for a newly appointed agency head, and 47 desk reviews to monitor agencies' compliance with the City's Equal Employment Opportunity (EEO) Policy during the first four months of Fiscal 2002, compared to six on-site visits and 53 desk reviews during the same period in Fiscal 2001.

REAL ESTATE SERVICES

- The Department's Division of Real Estate Services negotiated 10 transactions, totaling approximately 5.97 million square feet, in the first four months of Fiscal 2002. Of the 10 transactions, three involved the assistance of tenant representatives (commercial real estate brokers who act on behalf of the City). Tenant representatives provide private sector expertise, architectural services and other resources to assist DCAS in expediting lease projects without cost to the City.
 - In Fiscal 2001 DCAS executed lease amendments totaling 268,045 square feet at 2 Washington Street and 17 Battery Place in Manhattan. This space houses the Administration for Children's Services, the Department of Correction, HRA and certain DCAS offices. Bids were approved for the landlord to renovate approximately 58,000 square feet of additional space for HRA's Office of Purchasing and Materials Management, which will be relocating from 30 Main Street in Brooklyn. The renovations are expected to be completed by Spring 2002.
 - In July 2001 DCAS executed a new lease for the Department of Environmental Protection's central repair facility and the Sheriff's Scofflaw Unit of the Department of Finance at 30-03 Review Avenue in Queens. Construction is expected to begin in April 2002 and be completed by December 2002.

DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES

- In May 2001 DRES executed a lease for 13,905 square feet of space for the Department of Design and Construction, and a lease for 20,198 square feet of space for the Department of Transportation at 16 Court Street in Brooklyn. The space is for the relocation of offices currently located at 248 Duffield Street in Brooklyn. Due to the delayed submission of plans by the landlord, bids will be approved in early Spring 2002 and renovations are expected to be completed by the end of Calendar 2002.
- Three construction projects in leased space, totaling approximately 106,446 square feet, were completed by private contractors in the first four months of Fiscal 2002.
- On July 18, 2001 DCAS conducted the first of two real property auctions planned for Fiscal 2002; \$17 million in bids were generated at the auction. The second auction is planned for May 2002.
- The Department continued to audit City leases to identify overcharges by landlords. During the reporting period DCAS recovered approximately \$197,000. Since Fiscal 1994, over \$10.6 million in overcharges have been recovered.
- In April 2001 the City reactivated the West Nile Virus Task Force, a multi-agency effort chaired by the Mayor's Office of Operations. Originally established in June 2000, the Task Force enhances coordination between DOH and 22 other City and quasi-governmental agencies in responding to standing water complaints, develops strategies to remediate large properties that are potential mosquito breeding grounds, provides integrated enforcement and prevention capabilities, and takes other actions to minimize the threat of the virus.
 - DCAS continues to work as an active member of the West Nile Virus Task Force. DCAS property managers continue to conduct larval testing and to test standing water on DCAS-managed property for the presence of mosquito larvae. Positive findings are referred to DOH.
- DCAS, as part of the Rodent Control Task Force, continued its efforts during the reporting period. Established in June 2000, the Task Force is comprised of over 15 City agencies and quasi-agencies and is chaired by OEM, the Mayor's Office of Operations and DOH. It coordinates Integrated Pest Management practices, including assessment, abatement and eradication activities.
 - DCAS continues to work as an active member of the Rodent Control Task Force. Property managers inspect DCAS-owned lots for the presence of rodent activity. DCAS contract exterminators are dispatched when appropriate. Lots that provide harborage are referred to the Department of Sanitation's (DOS) Lot Cleaning Unit.

FACILITIES MANAGEMENT AND CONSTRUCTION

- As part of the Mayor's Anti-Graffiti Task Force, DCAS removed 38,216 square feet of graffiti from City buildings and facilities during the first four months of Fiscal 2002. Since the graffiti removal team was created in Calendar 1995, over 231,315 square feet of graffiti have been removed from City facilities.
- During the first four months of Fiscal 2002 the Department reduced energy consumption by an additional \$160,000 through the Energy Cost Reduction (ENCORE) program.
- Through its work order tracking system, the Department completed 77 percent of work orders within 30 days in the first four months of Fiscal 2002, compared to 80 percent in the first four months of Fiscal 2001.

DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES

- The Americans with Disabilities Act (ADA) compliance project, an effort to bring DCAS-managed court buildings into adherence with federal ADA legislation, continued during the first four months of Fiscal 2002. Work is being performed by DCAS Requirement Contractors.
 - Construction at the Staten Island Supreme Court and Surrogate Court at 18 Richmond Terrace was substantially completed in October 2001.
 - The first phase of the project at the Bronx Family/Criminal Court at 215 East 161st Street is complete. The second phase of construction is expected to be completed by the end of Fiscal 2003.
 - The 18 Richmond Terrace interior renovation and the Surrogate Courtroom at this location were both completed in August 2001. The interior construction at 10 Richmond Terrace was completed in August 2001. The design phase of ADA accessibility to the building was completed in August 2001 and construction will begin during Fiscal 2002.
 - Design and construction continue at four historically significant buildings. DCAS continued construction at the Staten Island Family Court at 100 Richmond Terrace and the Brooklyn Appellate Court at 45 Monroe Place. The Manhattan Supreme Court located at 60 Centre Street is in the design phase. ADA work at 27 Madison Avenue in Manhattan is in the bid process.
- The interior restoration of the Manhattan Appellate Court at 27 Madison Avenue has been completed. Additional lobby work requested by the court was completed in August 2001. Exterior landmark rehabilitation started in March 2001, and completion is scheduled by July 2003.
- In the first four months of Fiscal 2002 the Department and the Office of Court Administration (OCA) surveyed 28 court facilities for building cleanliness and maintenance; these facilities are maintained by DCAS. Each court facility was surveyed at least one time and 100 percent of the buildings received satisfactory ratings.
- DCAS continued the upgrade of elevators in City-managed buildings during the first four months of Fiscal 2002. These upgrades will increase elevator capacity, speed and reliability while bringing the City into compliance with Local Laws 5 and 16, and ADA. Construction continued on elevators in 2 Lafayette Street, 346 Broadway and 125 Worth Street in Manhattan and is scheduled for completion by the end of Calendar 2002. Work at the Brooklyn Municipal Building will be completed in Fiscal 2004. In the first four months of Fiscal 2002 DCAS completed design work on elevator upgrades in 100 Centre Street and 60 Lafayette Street in Manhattan; 120 Schermerhorn Street in Brooklyn; and 1932 Arthur Avenue and 215 East 161st Street in the Bronx. Construction on elevators in these buildings is expected to begin by the end of Calendar 2002.
- Restrooms at 100 Centre Street in Manhattan continue to be upgraded to make them more serviceable and vandal-proof. Design work for 14 public restrooms, 155 restrooms in judges' chambers and 38 restrooms in District Attorney offices was completed. Construction is expected to begin during Fall 2002.
- By November 2000 DCAS completed 85 percent of planned renovations at One Centre Street, and work has been ongoing. The remaining 15 percent of the work is in the design phase; construction is projected to be completed by the end of Fiscal 2003. A comprehensive buildingwide toilet upgrade for all remaining restrooms will be bid out by the end of Fiscal 2002.
- Interior renovation work at 280 Broadway in Manhattan began in April 2000 and is scheduled for completion in Spring 2002.

DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES

- Construction work at 4101 White Plains Road in the Bronx was completed in September 2001.

MUNICIPAL SUPPLY SERVICES

- The Department will be replacing the Commodity Line Item Purchasing System (CLIPS) with eCLIPS. Research is being conducted on Internet-based procurement and inventory management applications to replace the current mainframe CLIPS application. Full-scale demonstrations of potential software applications are expected to be evaluated by a citywide committee; evaluations are projected for completion by June 2002.
- During the first four months of Fiscal 2002 the Department continued to work with a major office supplies contractor to expand the City's Internet-based office supplies ordering program. Delivery of goods occurs within 48 hours. A pilot project to test this program was successfully conducted with seven agencies from March to July 2001. Citywide implementation began in August 2001.

CUSTOMER SERVICE AND TECHNOLOGY

- In the first four months of Fiscal 2002 DCAS received 1,230,815 page views on NYC.GOV, the City's official Web site, compared to 641,351 views during the same period in Fiscal 2001.
- The Maintenance Control Management System (MCMS) has improved citywide vehicle maintenance and management by enabling agencies to schedule preventive maintenance, manage vehicle parts and track vendor information, and input repair information directly via handheld computers. Installation of MCMS is entering its final stage with implementation at DOS. Implementation has been expanded to include both DOS district and borough shops, with completion expected by Spring 2002. DCAS experienced a one-year delay due to both the relocation of DOS' main warehouse and longer than expected entry of DOS data into MCMS.
- In addition to redesigning the CityStore home page on NYC.GOV, the Department finalized negotiations to offer online purchasing with credit cards in December 2001. Customers are able to purchase CityStore items at any time over the Internet.
- In conjunction with the Department of Information Technology and Telecommunications, DCAS developed online and CD-ROM versions of the Green Book, the official New York City directory. The Green Book was made available on the City's intranet in December 2001; updates will be implemented throughout the fiscal year. Full implementation, which will allow users to search the database and allow the online version to be updated as necessary, will be completed in late Fiscal 2002.

FINANCIAL PLAN

- In the first four months of Fiscal 2002 the Department's expenditures were \$540 million, compared with its plan of \$516 million. The Department's Fiscal 2001 expenditures were \$624 million.
- The City's Financial Plan of February 2002 outlines expenditure savings of \$9.7 million in Fiscal 2002 and \$7.3 million in Fiscal 2003 through energy savings, lease adjustments and restructuring of the defibrillator program. Increased revenues of \$33.6 million in Fiscal 2002 and \$9.7 million in Fiscal 2003 will be obtained from sources including property auctions, salvage and land sales, release of escrow monies and additional hotel rents. The Department has planned expenditures of \$688 million for Fiscal 2002 and \$697 million for Fiscal 2003.

DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Total Auction Bids (000)	\$13,703	\$14,337	\$46,595	\$34,033	\$15,211	0	\$17,329 (a)
Fleet-Hours Unavailable (Downtime)	2%	2%	2.5%	2.5%	3%	3.07%	3%
Equal Employment Opportunity – Training Sessions	81	93	87	72	81	4	8 (b)
Equal Employment Opportunity – Agencies Monitored – On-Site Visits	38	64	52	44	41	6	8
Equal Employment Opportunity – Agencies Monitored – Desk Reviews	152	155	153	151	154	53	47

- (a) On July 18, 2001 DCAS conducted one auction that generated \$17.3 million. The Fiscal 2001 auctions were not held in the first four months of the fiscal year.
- (b) The number of training sessions increased as a result of a training contract between the Office of Citywide Equal Employment Opportunity and the New York City Employees Retirement System. The contract required Equal Employment Opportunity training of the entire agency in early Fiscal 2002.

OFFICE OF ADMINISTRATIVE TRIALS AND HEARINGS

The Office of Administrative Trials and Hearings is a central, independent, administrative tribunal authorized by the City Charter to conduct adjudicatory hearings for all City agencies, except where otherwise provided by law, rule, executive order or collective bargaining agreement. The Office adjudicates matters referred to it by a City agency or other body involving issues such as personnel discipline, license and regulatory enforcement, real estate and contract disputes, human rights violations and loft law violations.

GOALS AND OBJECTIVES

Goal: To resolve administrative disputes by settlement or trial in an impartial, fair, professional and efficient manner.

Objective
Promote the use of settlement conferences and other alternatives to trial to achieve a settlement rate of at least 50% in Fiscal 2002.
Offer trial calendar dates within 15 business days of request in Fiscal 2002.
Limit the number of business days associated with adjournments to 22 in Fiscal 2002.
Issue decisions within 27 business days from closure of the record in Fiscal 2002.
Achieve an adoption rate of 95% for facts and conclusions in Fiscal 2002.
Achieve an adoption rate of 90% for recommended penalties in Fiscal 2002.
Identify opportunities for additional consolidations of agency internal adjudication units.

HIGHLIGHTS AND ACHIEVEMENTS

- The Office of Administrative Trials and Hearings (OATH) received 425 cases for adjudication during the first four months of Fiscal 2002, compared to 717 cases received during the same period of Fiscal 2001. The breakdown of cases is as follows: 321 personnel cases, 71 license cases, three regulatory cases, 24 real estate and land-use cases, five contract cases, and one discrimination case referred by the City Commission on Human Rights.
- The Office completed 451 cases during the first four months of Fiscal 2002, compared to 773 cases in Fiscal 2001. The decrease in cases completed is due to limited access to case files and other essential office resources after OATH's office building was evacuated for six weeks following the September 11th disaster. In the first four months of Fiscal 2002 OATH completed more cases than received due to work on cases received at the end of Fiscal 2001.
- During the reporting period the Office offered trial calendar dates within an average of 12 business days of request, compared to 14 days during the same period of Fiscal 2001. The decrease in the number of business days is due to more dates available on the calendar as agencies adjourned or withdrew cases after the September 11th disaster.
- On average, OATH issued decisions within 51 business days during the first four months of Fiscal 2002, compared to 33 business days during the same period of Fiscal 2001. The increase in the number of business days is due to limited access to case files and curtailed office services after OATH's office building was evacuated for six weeks following the September 11th disaster.
- OATH achieved a settlement rate of 37 percent during the reporting period, compared to 51 percent during the same period of Fiscal 2001. The decrease in the settlement rate is due to scheduling only priority or critical cases at OATH's temporary headquarters. These cases do not typically result in settlement agreements.

OFFICE OF ADMINISTRATIVE TRIALS AND HEARINGS

- The average delay attributable to adjournments increased to 40 business days during the first four months of Fiscal 2002, from 27 business days during the same period of Fiscal 2001. The increase in business days is due to the cancellation of most trial and conference dates after OATH had to evacuate its offices. Subsequently, OATH was able to reschedule only priority cases due to the limited resources at its temporary office space.
- In June 2001 OATH was given jurisdiction over all the Civilian Complaint Review Board (CCRB) cases brought against uniformed police personnel, up to the rank of captain. Previously, OATH had jurisdiction over CCRB cases for police officers only. This change reduces the number of cases that the New York City Police Department adjudicates. This initiative is pending resolution of litigation.

CUSTOMER SERVICE AND TECHNOLOGY

- During the first four months of Fiscal 2002 there were 55,081 page views of OATH's home page on NYC.GOV, the City's official Web site. In comparison, there were 37,764 page views during the first four months of Fiscal 2001.
- OATH and the Center for New York City Law collaborated on a project to develop a new Web site, www.citylaw.org, to make the full text of all OATH decisions available and searchable on line.
 - Phase I of this project, posting 1,000 of the most recent OATH decisions, was completed in October 2000.
 - Phase II, which made the remainder of all OATH decisions available through the Web site, was completed in March 2001. This brings the number of full text decisions available on line to over 4,000.
 - Phase III of this project, to make decisions from related City agencies available on line, will be managed directly by the Center for New York City Law.

FINANCIAL PLAN

- Budget highlights for the Office of Administrative Trials and Hearings are included in the Department of Citywide Administrative Services' section of the Mayor's Management Report.

DEPARTMENT OF CITY PLANNING

The Department of City Planning is responsible for the City's physical and socioeconomic planning, including land use and environmental review; preparation of plans and policies; and provision of technical assistance and planning information to government agencies, public officials and community boards. The responsibilities of the Director of City Planning, who also serves as Chair of the City Planning Commission, include advising and assisting the Mayor, the Borough Presidents and the City Council in regard to all matters related to the development and improvement of the City, as well as assisting the Mayor in preparing strategic plans that have long-term implications for the City.

In accordance with the City Charter and the Uniform Land-Use Review Procedure, the Department is responsible for land-use analyses in support of the Commission's review of proposals for zoning map and text amendments, special permits under the Zoning Resolution, changes in the City map, the acquisition and disposition of City property, the acquisition of office space for City use, site selection for public facilities, urban renewal plans and amendments, landmark and historic district designations, and community-initiated plans under Section 197-a of the City Charter.

GOALS AND OBJECTIVES

Goal: Streamline the City's land-use regulatory practices.

Objective

Certify or refer at least 70% of applications received in Fiscal 2002.

Simplify and accelerate land-use and environmental review processes.

Goal: Encourage housing and economic development through zoning changes and other actions.

Objective

Initiate public review of at least two citywide zoning amendments to facilitate housing production and commercial development in Fiscal 2002.

Initiate public review of at least three local area proposals to promote new housing, commercial and mixed-use development in Fiscal 2002.

Goal: Improve the quality of life for City residents.

Objective

Initiate public review of at least three local area or citywide zoning changes to preserve neighborhood character in Fiscal 2002.

Complete at least three studies proposing enhanced streetscapes and improved pedestrian, bicycle and vehicular circulation in Fiscal 2002.

Goal: Provide policy analysis and technical support to City agencies and the public.

Objective

Complete four reports mandated by the City Charter or required for federal assistance in Fiscal 2002.

Complete at least four technical reports relating to demography, housing, community facilities, transportation or open space in Fiscal 2002.

DEPARTMENT OF CITY PLANNING

HIGHLIGHTS AND ACHIEVEMENTS

REGULATORY REVIEW

- During the first four months of Fiscal 2002, 181 applications were submitted for City Planning Commission review, compared with 191 applications during the same period in Fiscal 2001. The Department of City Planning (DCP) certified or referred for public review 108, or 59.7 percent, of the applications received during the reporting period, compared with 83, or 43.5 percent, during the first four months of Fiscal 2001. During the first four months of Fiscal 2002 the Department also certified or referred 80 applications from previous years, reducing the backlog by 21.7 percent. In comparison, 114 applications from previous years were certified or referred during the same period in Fiscal 2001, reducing the backlog by 30.3 percent.
- Working with the Mayor's Office of Environmental Coordination to streamline the City's environmental review process, the Department drafted revisions to several chapters of the City Environmental Quality Review (CEQR) Technical Manual during Fiscal 2001. The manual, which was originally issued in 1993, has been updated to reflect current policies and practices. DCP contributed changes to clarify and simplify guidelines for analyzing potential effects on land use and public policy, socioeconomics, community facilities, urban design, neighborhood character and the Waterfront Revitalization Program.
 - In conjunction with this effort, the Department made changes to the Environmental Assessment Statement form, required of all actions subject to environmental review, to facilitate its use by applicants. In December 2001 both the updated manual and form went into effect.

HOUSING AND ECONOMIC DEVELOPMENT

- In July 2001 the City Council approved a portion of the Department's zoning reform proposal. The amendments create a unified set of standards for controlling residential density, or number of dwelling units permitted on a zoning lot, replacing complex and often overlapping regulations. The approved amendments also establish a unified set of balcony standards and require Commission review of any elimination or reduction of public open space for which building floor area bonuses were permitted. The amendments, simplifying and clarifying more than 160 pages of the Zoning Resolution, also include provisions for a new higher-density contextual district permitting a mix of uses, a new Special Downtown Brooklyn District, and Special Midtown District boundary modifications. Other portions of the Department's wide-ranging zoning reform proposal remain before the Commission for further study and public discussion.
- In December 2001 the Commission approved the Department's proposal to facilitate development of new housing using private roads, in lieu of City streets, in low-density zoning districts. Subject to City Council approval, the zoning text amendment establishes site planning and streetscape regulations for private roads, including minimum roadway widths and building setbacks, and requires landscaping and sidewalks. Private roads had previously not been subject to zoning regulations. Since the regulations would apply only to new developments with five or more units accessed by private roads, they would primarily affect multifamily developments on large properties in Staten Island and, to a lesser extent, Queens.
- In July 2001 the City Council approved the zoning map changes proposed by the Department in conjunction with the text amendment establishing a new Special Downtown Brooklyn District. Covering all or parts of 98 blocks, the zoning changes encourage development in Brooklyn's central business district and surrounding area by providing a more flexible building envelope, by increasing the permitted size of residential buildings in four sub-areas, and by permitting residential, office or retail uses at certain locations where they had been prohibited.

DEPARTMENT OF CITY PLANNING

- In July 2001 the City Council adopted the Department's modified proposal to facilitate a new central business district in Long Island City, Queens. The zoning text and map changes establish a special district that would allow for a mix of commercial, industrial and residential uses and encourage development of the largest office buildings near transit stations. The text also includes urban design requirements and offers incentives for new public open spaces.
- In December 2001 the Department released, "Far West Midtown: A Framework for Development," a comprehensive plan for the area between 28th and 42nd streets west of Eighth Avenue. With the appropriate infrastructure investment, particularly extension of the Number 7 subway line, this area has the potential to accommodate expansion of the Midtown Central Business District and new sports and entertainment facilities. The study recommends land-use and density changes, transportation and infrastructure investments, new regional and neighborhood open spaces, opportunities for new housing developments, and innovative strategies for financing the proposed improvements.
- To provide new opportunities for residential and economic development, DCP and private applicants seek to rezone vacant or underused areas zoned for manufacturing to districts that allow residential or mixed use. Zoning changes that increase permitted residential floor area or facilitate conversions to residential use also encourage new residential development. Since 1994, 65 of these zoning changes have been adopted, resulting in construction of nearly 13,000 new housing units and the potential for another 14,000 units in the future.

NEIGHBORHOOD PRESERVATION AND QUALITY OF LIFE

- In October 2001 the City Council adopted zoning text amendments to tighten regulation of adult entertainment establishments. The definitions of adult bookstores, eating and drinking establishments and theaters were clarified to prevent sham compliance with the zoning regulations adopted in 1995. The amendments establish objective criteria, relating principally to physical layout and method of operation, to define establishments subject to the regulations.
- In November 2001 the Commission approved two zoning changes to preserve neighborhoods characterized by one- and two-family homes in Staten Island Community District 1, covering a total of 89 blocks in Mariners Harbor and Rosebank.
- In December 2001 DCP released the "New York City Bicycle Lane and Trail Inventory, Phase II." Based on field surveys, the report describes bicycle usage at 43 locations as well as the condition of new bicycle lanes. From Calendar 1999 to 2000, ridership increased on all lanes in Manhattan, most dramatically on the Hudson River Greenway, which experienced a 300 percent increase.
- To implement the traffic and pedestrian plan for the proposed reconfiguration of Columbus Circle, DCP is working with the departments of Transportation, Environmental Protection, Parks and Recreation, and Design and Construction to refine the Circle's permanent design, subject to review by the Art Commission. In June 2001 the Mayor's Advisory Panel on Columbus Circle met to review landscape design proposals for the Circle. As a result of that review, a modified landscape design is scheduled for completion in Spring 2002 so that construction can begin in Fiscal 2003. The rebuilt Columbus Circle will improve traffic flow, create a new public space, enhance pedestrian access and harmonize with the redevelopment planned for the Coliseum site. The AOL Time Warner Center, a 2.1 million square-foot development, is expected to open in Calendar 2003 and contain a new concert hall for Jazz at Lincoln Center, a hotel, and commercial and residential space.

DEPARTMENT OF CITY PLANNING

POLICY ANALYSIS AND TECHNICAL SUPPORT

- As a result of DCP's collaboration with the Census Bureau, together with high levels of immigration and natural increase, the 2000 Census enumerated 8,008,278 people, the largest population in the City's history. The release of census data for the City, the boroughs and more than 2,200 census tracts is well underway. Recent additions to DCP's Web pages include:
 - "Population Growth and Race/Hispanic Composition," which provides context for the City's 2000 Census numbers with historical information on race/Hispanic composition and population changes in other major American cities.
 - Census data for community districts, including tables on population (by race/Hispanic origin, age and sex) and housing units (renter or owner occupied, household size, household type and living arrangements); maps depicting 1990 to 2000 population changes by race/Hispanic origin; and a discussion of the factors affecting population growth in the community districts between 1990 and 2000.
 - A schedule for the release of additional 2000 Census data, along with the latest information on the status of the Census Bureau's position on adjustment of Census results.
- In November 2001 the Department released the proposed "Consolidated Plan 2002," which details the City's planned allotment of its federal assistance for housing, homeless assistance, supportive housing services and community development programs.
- In December 2001 the "Citywide Statement of Needs for Fiscal Years 2003 and 2004" was issued. This annual report, prepared by DCP and the Department of Citywide Administrative Services, describes the facilities that City agencies propose to open, close or significantly alter in size during the next two fiscal years.
- In December 2001 DCP released "Community District Needs for Fiscal Years 2002 and 2003," five borough reports that include updates of DCP's demographic and land-use profiles of each district, including 2000 Census summary data, and each community board's assessment of its needs.
- In September 2001 the Department completed a report on the feasibility and estimated costs of implementing a pilot off-street parking information system in downtown Flushing, Queens. An Intelligent Transportation System initiative designed to reduce traffic delay and parking search time, the system would include static and variable signs with maps and parking space availability, a counting mechanism at parking facilities, a data control center and a telecommunications network.
- As part of its Fresh Kills Planning Study, in August 2001 the Department released two competition design briefs: "Rules and Procedures" and "Technical Planning and Design Report." Both volumes provide background information for an international design competition to develop a conceptual master plan for use of the Fresh Kills Landfill site, which officially closed in July 2001. These reports expand on the information already posted on the special Fresh Kills Web page and include detailed descriptions of conditions affecting the 2,200-acre site. DCP, along with the Municipal Art Society and the departments of Sanitation (DOS), Parks and Recreation (DPR), and Cultural Affairs (DCLA), is coordinating the competition.
 - The proposals of the six design and planning teams chosen to participate in the competition went on public display in St. George, Staten Island in December 2001. Also in December 2001, the three top-ranked teams eligible for a City master plan contract were selected by a jury of internationally renowned design professionals as well as government and community representatives.

DEPARTMENT OF CITY PLANNING

CUSTOMER SERVICE AND TECHNOLOGY

- In October 2001 the Department expanded its home page on NYC.GOV, the City's official Web site, with the addition of the "Bytes of the Big Apple" basemap files of streets, tax blocks and administrative and political districts for downloading and use with Geographic Information Systems.
 - In November 2001 the Department posted the entire text of the proposed "Consolidated Plan 2000" and the "1999 Report on Social Indicators."
 - In December 2001 the Department posted the planning and design proposals of the six teams chosen to participate in the Fresh Kills Landfill to Landscape International Design Competition and announced the selection of the three top ranked teams on the competition's site at www.nyc.gov/freshkills.
- During the first four months of Fiscal 2002 there were 962,054 page views of DCP's home page on NYC.GOV, compared to 407,274 page views during the same period in Fiscal 2001.
- In September 2001 the Department released updated address directories for the City's five boroughs that identify each street, the address range on each block face and the corresponding 1990 and 2000 census tract, zip code, community district, school district, police precinct and health district.

FINANCIAL PLAN

- In the first four months of Fiscal 2002 the Department's expenditures were \$6.3 million, compared with its plan of \$8.4 million. The Department's Fiscal 2001 expenditures were \$18.4 million.
- The City's Financial Plan of February 2002 outlines net expenditure savings and increased revenue of \$754,000 in Fiscal 2002 and \$839,000 in Fiscal 2003. The Department has planned expenditures of \$21.8 million for Fiscal 2002 and \$17.6 million for Fiscal 2003.

DEPARTMENT OF RECORDS AND INFORMATION SERVICES

The Department of Records and Information Services maintains the City's historical documents, responds to reference and research requests from City officials and the public, and provides records management services to City agencies. The Department is comprised of the Municipal Archives Division, the Records Management Division and the Municipal Reference and Research Center.

GOALS AND OBJECTIVES

Goal: Provide assistance to City agencies, improving their ability to maintain records.

Objective

Provide training on records scheduling and disposition to 300 records personnel in 55 City agencies and offices in Fiscal 2002.

Ensure that at least 25 applications are submitted by City agencies for \$1 million in New York State Local Government Records Management Improvement funding in Fiscal 2002.

Help agencies with the disposal of 50,000 cubic feet of government records in Fiscal 2002.

Work with the Law Department to create a revised general retention schedule for City agencies.

Goal: Store records and respond efficiently and effectively to reference and research requests from City agencies, elected officials and the public.

Objective

Respond to 70,000 research and reference requests through the Municipal Archives Division and the Municipal Reference and Research Center offices in Fiscal 2002.

Arrange for the storage of 28,000 cubic feet of government records in Fiscal 2002.

Move 3,000 cubic feet of backlogged archives from the Municipal Records Center to the Municipal Archives Center in Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RECOVERY EFFORTS

- The Department of Records and Information Services (DORIS) held a Disaster Recovery Training Session on October 25, 2001 to provide assistance to agencies with records issues caused by the September 11th disaster. The topics included damage assessment, recovery services, funding, records disposal and records retention schedules. Fifty-three personnel from 28 agencies attended the training.
- DORIS provided the New York City Police Department and the Fire Department of the City of New York with 300 personnel records from the Queens Records Storage Facility.

RECORDS MANAGEMENT

- During the first four months of Fiscal 2002 DORIS provided two training sessions on Records Management and Records Disposition; 36 agency personnel attended.
- During the first four months of Fiscal 2002 the DORIS Grants Analysis Unit helped 12 agencies prepare grant applications totaling \$500,000 for \$1.5 million in available funding from the New York State Local Government Records Management Improvement Fund (LGRMIF). Additional City agencies have to apply for the remainder of the grant money by March 2002.

DEPARTMENT OF RECORDS AND INFORMATION SERVICES

- In the first four months of Fiscal 2002 the DORIS disposal program eliminated 660 cubic feet of records within the Department and 778 cubic feet of records citywide, including court records, compared to 13,074 cubic feet of records within the Department and 7,275 cubic feet of records citywide eliminated during the first four months of Fiscal 2001. The decrease in the number of records disposed is due to disruption in communication between DORIS and other City agencies after the September 11th disaster.
- In conjunction with the Law Department and consultants funded by a grant from the New York State Archives and Records Administration (SARA), the Department revised 14 records retention schedules and created 28 new records retention schedules during the reporting period, compared to 46 revised schedules and 57 new schedules created during the first four months of Fiscal 2001. As a result of these revised schedules, the Department disposed of 255 cubic feet of records, compared to 3,950 cubic feet of records during the first four months of Fiscal 2001. Fewer requests were received and fewer cubic feet of records were destroyed due to the disruption in communication between DORIS and City agencies after the September 11th disaster.
- During the first four months of Fiscal 2002 the DORIS Records Management Division accessioned 4,146 cubic feet of government records, compared to 10,673 cubic feet during the same period of Fiscal 2001. The total number of records accessioned during the reporting period decreased, compared to the first four months of Fiscal 2001, due to disruption in communication and limited access to City agencies located downtown resulting from the September 11th disaster.
- During the reporting period the Department reclassified 225 cubic feet of records as archival and transferred them from the Municipal Records Center to the Municipal Archives Center. Fewer records were eligible for archival and transfer during the first four months of Fiscal 2002 compared to the first four months of Fiscal 2001 because the Department was unable to access necessary data due to nonfunctional computer systems resulting from the September 11th disaster.

MUNICIPAL ARCHIVES

- During the first four months of Fiscal 2002 the Municipal Archives Division responded to 24,611 research requests, compared to 27,152 requests during the same period of Fiscal 2001. These include in-person, telephone and mail requests, most of which are for vital records and related information. There were 2,742 requests for birth certificates, 4,602 for death certificates and 2,444 for marriage certificates. The response time was an average of 10 days during the first four months of Fiscal 2002, the same as in the first four months of Fiscal 2001.
- During the first four months of Fiscal 2002, 70 percent of the applications for birth, death and marriage certificate requests received by mail were electronically downloaded from the DORIS home page, compared to 60 percent during the same period of Fiscal 2001.
- During the reporting period revenue from the Municipal Archives Division was \$110,024 compared to \$105,579 during the same period of Fiscal 2001.
- In Fiscal 2000 the Division began a three-year project to catalog and microfilm all the mayoral papers prior to 1934. The project is funded through a \$98,000 grant from the National Endowment for the Humanities and an annual grant of \$75,000 from the New York State Archives LGRMIF. Microfilming began in November 2000. To date, 158 rolls of microfilm have been produced comprising 149,444 images.

DEPARTMENT OF RECORDS AND INFORMATION SERVICES

MUNICIPAL REFERENCE AND RESEARCH CENTER

- During the first four months of Fiscal 2002 the Municipal Reference and Research Center (MRRC) responded to 266 research and reference requests from City employees and elected officials and 2,658 reference requests from the public, compared to 1,439 and 6,297 requests respectively during the first four months of Fiscal 2001. DORIS does not have control over the number of requests received.

CUSTOMER SERVICE AND TECHNOLOGY

- During the first four months of Fiscal 2002 there were 149,735 page views of DORIS' home page on NYC.GOV, the City's official Web site. In comparison, there were 142,188 page views during the first four months of Fiscal 2001.
- As part of its effort to improve public access to research and reference sources, the Department completed Phase I of its three-year project to convert MRRC's manual card catalog to an electronic system in June 2001. Phase II will make the catalog electronically accessible to the public. The software and hardware needed will be installed by June 2002 and staff training will be completed by September 2002.
- In February 2000 the Department selected a contractor for the Vital Records Index Automation Project. The project will automatically index the birth, death and marriage records transferred to the Municipal Archives Division from the Department of Health and the Office of the City Clerk. Due to contractor issues a new Request for Proposals will be issued for the project by March 2002.
- The automated telephone system in the Municipal Archives Division's public reference unit handles approximately 85 percent of all incoming calls. As of mid-January 2002 a total of 13,672 calls were handled by the telephone system, compared to 16,037 calls as of mid-January 2001. The automated telephone system handled fewer calls because the system was inaccessible for over a month after the September 11th disaster.
- DORIS will redesign its home page with technical assistance from the Department of Information Technology and Telecommunications. The expected completion was delayed due to procurement issues and is planned for the end of Fiscal 2002.
- During Fiscal 2001 a vendor was selected to replace DORIS' obsolete Records Information Management System (RIMS). The hardware for the new system, known as RIMS II, has been installed while the software is under development. Completion is expected by June 2002.

FINANCIAL PLAN

- In the first four months of Fiscal 2002 the Department's expenditures were \$1.8 million, compared with its plan of \$1.7 million. The Department's Fiscal 2001 expenditures were \$4.1 million.
- The City's Financial Plan of February 2002 outlines expenditure savings and revenue of \$52,000 in Fiscal 2002 and \$540,000 in Fiscal 2003. The Department has planned expenditures of \$4.5 million for Fiscal 2002 and \$4.4 million for Fiscal 2003.

DEPARTMENT OF INFORMATION TECHNOLOGY AND TELECOMMUNICATIONS

The Department of Information Technology and Telecommunications is responsible for the City's effective use of existing and emerging voice, video and data technologies. The Department also operates Crosswalks, the City's cable television network, and administers telecommunications franchises and agreements for cable television, public pay telephones and high-capacity telecommunications networks.

GOALS AND OBJECTIVES

Goal: Provide leadership and coordination of the City's technology initiatives.

Objective
Review all Mayoral agency annual technology project plans for Fiscal 2003. Implement a Web-enabled system in Fiscal 2002 for capturing and tracking progress of Department, e-government, and Mayoral agency annual technology project plans.
Develop and release a Request for Proposals in Fiscal 2002 to implement an Information Technology (IT) Project Management Certification Program and training curriculum that will institutionalize the standard project management methodology for the City, introducing IT project management professionals within each agency.
Continue the recovery of the City's telecommunications infrastructure in Lower Manhattan that was lost or damaged due to the September 11 th disaster.

Goal: Expand the City's information technology infrastructure.

Objective
Continue to leverage the Department's mainframe environment in Calendar 2002 by increasing client processing power and storage capacity to support e-government and other client agency initiatives.
Implement an environment on the mainframe that will allow clients to Web-enable mainframe applications for e-government projects.
Upgrade the City's Internet infrastructure in the first quarter of Calendar 2002 to further enhance the availability and reliability of NYC.GOV.
Continue to support the citywide implementation of an e-mail system that utilizes the NYC.GOV domain name and supports all electronic mail services, including attachments, in Fiscal 2002.
Develop the appropriate infrastructure to provide City employees with limited Internet access through the intranet in the first quarter of Calendar 2002.
In Fiscal 2002 perform an analysis of City agencies' radio networks prior to upgrading the current 800 MHz radio network.
In Fiscal 2002 develop engineering specifications and design for a citywide Channel 16 public safety radio network and issue a Request for Proposals in Fiscal 2003.

DEPARTMENT OF INFORMATION TECHNOLOGY AND TELECOMMUNICATIONS

Goal: Provide electronic access to City government.

Objective
Continue to enhance NYC.GOV to support e-government initiatives and to serve as a central portal for all online services.
Continue to develop a plan to use Internet technology to link human service contractors with the City's eight human services agencies in Fiscal 2002; initiate a survey of municipalities that use the proposed software in early Calendar 2002.
Improve online customer service through the implementation of an Electronic Citizen Service Request Management capability in early Calendar 2002. By late Calendar 2002 develop an approach for the use of natural language searches and interactive help functions.
Develop a payment solution that allows all City agencies to accept payment transactions through NYC.GOV in Fiscal 2002.
Develop a Web application service provider-based approach that allows all 59 community boards to establish an Internet presence as part of the service offerings of NYC.GOV in Fiscal 2002.
Continue to enhance the citywide geographic information systems utility and develop geographic e-government applications in Fiscal 2002.

Goal: Negotiate, administer and monitor franchises that provide cable television, high-capacity telecommunications and public pay telephone services for the City.

Objective
Award three new high-capacity telecommunications franchises in Fiscal 2002.
Complete the evaluation of proposals for the conversion of unused water pipes to telecommunications conduits in Fiscal 2002.
Enhance compliance with public pay telephone (PPT) franchise contracts in Fiscal 2002 through inspector training, increased use of Notices of Violation and the removal of noncompliant pay phones.
Issue a Request for Proposals for audit services related to PPT franchise contracts in Fiscal 2002.
Complete negotiations with cable television, telephone and high-capacity telecommunications providers to establish guidelines for street-mounted electronics enclosures in Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

WORLD TRADE CENTER RESPONSE EFFORTS

- The events of September 11, 2001 caused a major impact on the City's telecommunications infrastructure in Lower Manhattan. Scores of buildings including Police Headquarters, City Hall, the Municipal Building and others lost telecommunications service. This failure was the direct result of major damage to the Verizon West Street Central Office caused by the collapse of 7 World Trade Center. As many as 50,000 telephones on the desks of City employees and thousands of data communication links that provided critical data access for daily operational requirements became inoperable. The Department of Information Technology and Telecommunications (DoITT) played a major role in facilitating the restoration of telecommunications services as quickly as possible to high-priority buildings.
 - DoITT immediately convened the Mutual Aid and Restoration Consortium (MARC) as the primary vehicle to address the task of bringing alternate telecommunications carrier services to office buildings housing City agencies. MARC is a public/private initiative comprised of the telecommunications carriers serving the New York City metropolitan area whose members cooperate to restore services in times of catastrophic failure.

DEPARTMENT OF INFORMATION TECHNOLOGY AND TELECOMMUNICATIONS

- Twice daily teleconference meetings with MARC members and non-MARC members with telecommunications assets in the City were held to organize restoration of voice and data services to City government buildings. Priority restoration sites were identified by the Mayor's Office of Emergency Management's Emergency Operations Center. Alternate carriers with the greatest ability to bring service to these buildings quickly and efficiently were identified and restoration work began immediately.
- In Fiscal 2002 DoITT plans to enhance the City's telecommunications outage/disaster preparedness by revising and updating the language of the City's MARC agreement. DoITT will work with the current signatories to the agreement, as well as the City's telecommunications franchisees, to incorporate experiences in restoring telecommunications services to affected businesses and residential customers following the disaster.
- DoITT currently holds a daily teleconference with Verizon to review the status of voice and data restoration activities in the high-priority buildings as well as other outage situations where restoration is critical. The Department and Verizon set objectives for full restoration, targeting one or two buildings at a time; review status daily to assess progress, problems and estimated completion time; utilize DoITT field technicians as necessary; and coordinate with the users to replace the alternate service with the original Verizon service.
- NYC.GOV, the City's official Web site, was a key factor in the City's distribution of critical public health and safety information to the public. However, it too was affected by the crisis on September 11th, as the City's Internet connection was damaged, with only enough backup power to last through the evening of September 11th. DoITT worked to physically reroute the Internet connection and completed this task in a matter of hours. NYC.GOV was then fully operational as the central facility for providing official City public health and safety information and services to the public on an up-to-the-minute basis.

TECHNOLOGY MANAGEMENT

- As part of the Mayor's Open Government Initiative, the City of New York will establish a Citizen Service Center to provide New Yorkers with a single point of telephone entry—311—one easy-to-remember phone number, to access all nonemergency City services including street repairs, tax information, heat and noise complaints, and health issues. This center will facilitate interaction between the government and the public, and enable the City to use its resources more efficiently. It will measure accountability and feedback, and deliver timely, consistent and personalized customer service to all callers.
 - Under an Executive Steering Committee, a management structure in the form of a group of representatives from DoITT and the Mayor's Office of Operations is working on the initial phase of the 311 call center. The group is currently focused on determining best practices in cities that have already implemented 311 solutions, identifying a call flow to determine how calls will be managed and how agency interfaces will occur, detailing current call center functionality across scores of City agencies, and identifying space requirements and site alternatives for the 311 call center facility. DoITT is working to identify suitable technologies that can be leveraged to implement the 311 solution and develop a long-term deployment strategy. DoITT is also engaged in dialog with the telecommunications industry to ensure that they will support the City's 311 capability in a timely fashion. The City plans to implement the initial rollout of the 311 system by the end of Calendar 2002.
- During Fiscal 2001 DoITT developed a technology management plan with three key deliverables: an Information Technology (IT) Project Management title series to provide a career path in project management and enable agencies to attract and develop skilled project managers; a customized project management methodology that incorporates standard City IT processes and practices; and a citywide IT Project Management Training program. Upon review and approval by the Technology Steering Committee (TSC) and the oversights, a Request for Proposals (RFP) to develop the full New York City Project Management curriculum, including training, will be issued.

DEPARTMENT OF INFORMATION TECHNOLOGY AND TELECOMMUNICATIONS

- DoITT initiated a Web-enabled system, the Electronic Strategic Plan (eSP) system, to assist the Technology Steering Committee in its mandate to review and approve agency technology project plans on an annual basis. This tool will enable TSC to more effectively manage IT projects on a citywide enterprisewide level; to reach more informed IT budget and resource allocation decisions; and to achieve economies of scale by consolidating IT project data from all agencies into one database, regardless of funding source. In January 2002 all mayoral agencies were required to submit their Fiscal 2003 annual agency technology project plans through this system.

TECHNOLOGY INFRASTRUCTURE

- In October 2001 DoITT completed the upgrade of all three MetroTech mainframe processors. The upgrade doubles the processing power and memory, and adds 50 percent more online disk storage. In addition, the speed of the network connections from the mainframe to the Internet/intranet were enhanced sixfold. The machines now process more than 2 billion instructions per second, have 38 gigabytes of random access memory (RAM), 10,000 gigabytes of disk storage, and move Internet/intranet data at a rate of 1 gigabyte per second. The upgrades have provided the capacity needed to develop new e-government applications, including the City's Electronic Citizen Service Request Management (eCRM) system and the Department of Finance's (DOF) Borough, Block, and Lot application, which enables users to obtain block and lot information upon entering a street address.
- During the first four months of Fiscal 2002 the mainframe operating systems that provide the environment to run both mission critical computer-based systems for City agencies and Web-publishing software were upgraded. Major performance enhancements were realized, allowing faster processing time and reduced transaction response times. In addition, the Web-enabling software is now significantly more robust and efficient. The citywide intranet (CityShare) and three e-government Internet applications are running on the new MetroTech mainframe processors, two others are in development, and many more are planned. DoITT now has the capacity and the operating environment to consolidate other platforms onto the City's mainframes and realize true economies of scale, in terms of backup/recovery, disaster recovery, reduction in operational and technical support costs and reduced maintenance costs.
- The Department's planned upgrade of the City's Internet telecommunications infrastructure, which had been proceeding on schedule, has been delayed due to the events of September 11, 2001. DoITT expects to complete this project in the first quarter of Calendar 2002. This initiative includes three projects. The Virtual Private Network (VPN) will bring additional services to City agencies by providing a secure method for remote users to access the City's databases and other information systems over the Internet. The File Transfer Program (FTP) will allow business partners such as banks, contractors and vendors to exchange large data files with City agencies via the Internet. The third project, upgrading the City's Internet infrastructure, will more than double the City's capacity to add application servers to the Internet, enabling the expected growth of e-government services.
 - Collectively, these projects will increase data carrying capacity, from the current 100 megabits (100 million bits) per second to a gigabit (1 billion bits) per second. The infrastructure upgrades include automatic recovery and redundancy features to reduce the effect of connection failures, significantly improving the availability of Internet applications.
 - An additional benefit of the Internet infrastructure upgrade will be to enable DoITT to provide City employees with limited Internet access through the intranet to sites specifically designated by management. Currently, City employees are not approved for Internet access, and are unable to reach any externally hosted Web sites through the intranet, such as health insurance providers' Web sites, even though these are related to employee benefits or information.

DEPARTMENT OF INFORMATION TECHNOLOGY AND TELECOMMUNICATIONS

- During the first four months of Fiscal 2002 DoITT continued to work with agencies to finalize citywide adoption of an industry standard email protocol using username@agency.nyc.gov as its standard address format, and supporting all electronic mail services with attachments, including documents and graphics files. To date, 51 of 53 agencies and other organizations have successfully completed this migration.
- City agencies have radio systems that field personnel use to communicate with other staff and supervisors. Although a vendor was selected to upgrade the City's analog 800 MHz radio system to digital, an analysis of City agencies' trunked radio systems needs to be made to determine the feasibility of consolidation before the upgrade can begin. A staff shortage has delayed this project and completion is subject to the Department's ability to secure the technical expertise necessary.
- During the first four months of Fiscal 2002 DoITT engaged a consultant to develop engineering specifications and a design for a citywide Channel 16 public safety radio infrastructure. DoITT expects to issue an RFP for this radio network by the beginning of Fiscal 2003, with project work expected to take one year. Once Channel 16 is operational, all of the City's public safety functions will communicate using the same infrastructure and will be managed to ensure the highest levels of interoperability.

ELECTRONIC GOVERNMENT

- Within 15 minutes of the September 11th disaster, NYC.GOV was used to provide emergency information to the public as soon as it became available. NYC.GOV provided information regarding health and safety issues and available services, including a Hospital Patient Locator system, missing persons information, DNA collection, counseling information, residential and business assistance resources, health and transportation information, and death certificate applications and information. In addition, to meet the numerous offers of service and equipment donations, NYC.GOV created an online form for this purpose.
- Prior to the September 11th disaster, an average day would yield approximately 350,000 page views on NYC.GOV. On September 14, 2001, 1.66 million page views were received as the public became aware through the media that NYC.GOV contained the most timely, accurate and official information regarding the disaster and available services. During the first four months of Fiscal 2002 NYC.GOV received approximately 39.4 million page views, compared to 14.7 million for the same period of Fiscal 2001. In addition, the month of September 2001 averaged 19.1 million page views, compared to 5.2 million for September 2000.
- In August 2001 the Department successfully launched the Emergency Management Online Locator System (EMOLS) on NYC.GOV. This system was developed to assist the public during coastal storms and in heat waves. The application allows the public to determine if they are in a hurricane zone, identify hurricane shelters, and locate routes to those shelters by private and public transportation. In addition, the application can be used to locate cooling centers. During the period following the September 11th attack, this application was successfully customized to meet the needs of the disaster recovery. Specifically, the application was modified to provide citizen, business and vehicle access information, as well as provide the status of infrastructure in the area affected by the disaster.
- In November 2001 DoITT completed the development of contingency operation plans for the NYC.GOV portal environment. This solution provides the capability for continuing to operate the portal in the event of a major disaster or outage affecting the primary hosting provider.

DEPARTMENT OF INFORMATION TECHNOLOGY AND TELECOMMUNICATIONS

- With the introduction of the redesigned NYC.GOV portal, users are now given the opportunity to sign up for e-mail notifications of events and information specific to their individual interests. This capability was first used in August 2001 by the Department of Health (DOH) to send e-mails to registered users that indicated their residency in a neighborhood that would be undergoing West Nile Virus spraying. These e-mails informed users of spraying schedules and directed them to the NYC.GOV Web pages that contained maps and locations of specific spraying zones. The Department is working with other agencies to expand the use of this feature.
- During the first four months of Fiscal 2002 the Department worked with the Department of Buildings (DOB) to publish a Web-enabled version of its Building Information System (BIS). This application provides the public with access to specific information related to buildings and contractors. DoITT plans to continue working with DOB to Web-enable the remaining 22 BIS transactions, providing online access to all public information currently available on BIS.
- The Department is currently working with DOF to develop a payment solution that allows all City agencies to accept payment transactions through NYC.GOV. The purpose of the project is to create one standard system for accepting payments from the public through the City's Web site. It is expected that by creating an enterprise solution, the City will realize savings and avoid duplication of work associated with multiple development projects.
- DoITT is working with the Mayor's Office of Operations to improve online customer service through the implementation of the eCRM system. When fully completed, the system will improve the processing of constituent correspondence received through NYC.GOV by automatically routing and tracking all service requests, complaints and agency head correspondence.
 - During the first four months of Fiscal 2002, a software product was selected and technical architecture was designed. This solution leverages the City's capital investments already made in e-government hardware and infrastructure. It utilizes DOF's NYCServ architecture to host the eCRM server application and the DoITT mainframe to host the application's database. NYCServ will use technology enhancements to consolidate payments, licensing, collection and adjudication processes across several City agencies.
 - Implementation of the new correspondence system will occur in two separate phases. The preliminary phase, implemented in January 2002, included basic functions to support the routing of Web-based service requests and agency head messages, including duplicate checking and rerouting of incorrectly routed correspondence. The final phase is scheduled to be deployed in April 2002 and will include the ability to track agency responses.
- In light of the increasing public access to the Internet, the Department no longer plans to deploy automated information kiosks citywide. This was reflected in the Department's planned expenditure savings measures in the City's Financial Plan of February 2002.
- During the reporting period the E-Procurement Task Force, which was established to focus on technology-based procurement solutions, completed a Procurement Card pilot project in three City agencies. A report will be presented to oversight units by the end of March 2002. Preliminary results indicate that dramatic cost reductions and increased efficiency in core services can be achieved through procurement cards (p-cards). Across the three pilot agencies—the departments of Juvenile Justice, Transportation, and Parks and Recreation—the pcard significantly reduced administrative costs associated with processing small purchases, and substantially improved the time for delivery of goods. In addition, the pilot program has been favorably received by both City personnel and local suppliers.

DEPARTMENT OF INFORMATION TECHNOLOGY AND TELECOMMUNICATIONS

- As part of an initiative to address the City's IT Recruitment needs, in Fiscal 2001 the Department's Recruitment, Retention and Training (RRT) staff implemented an e-recruitment system. The e-recruitment system uses a Web-based resume review system. The RRT unit continues to pilot the e-recruitment system within DoITT before seeking to expand it. Currently, there are over 15,000 resumes in the system. Training of additional agencies in the use of the tool was postponed due to the events of September 11th. The Technology Steering Committee will consider combining this application with NYCAPS (New York City Automated Personnel System) currently in development by the Department of Citywide Administrative Services.
- The City continues to work closely with the team that implemented a Human Services Extranet system in New Jersey, which uses Internet technology to link human service contractors or community-based organizations with the City's human service agencies, similar to the system planned for New York City. DoITT, in partnership with the Human Services Council (HSC), which is made up of social service providers contracted by the City, has met with Queens Community District 12 and made several presentations to introduce the concept of the Extranet in the project pilot area.
 - Because of the close synergy between the Human Services Extranet project and the Workforce Investment Act (WIA) system, the City is contemplating the use of the same unique software for both. A survey instrument has been developed and is being reviewed by oversight units to look at how municipalities across the country are meeting the human services data-reporting mandates. DoITT and HSC expect to initiate the survey in the first quarter of Calendar 2002.
- In Fiscal 2002 the City continues to enhance its Geographic Information Systems (GIS) Utility, which is based on an accurate physical basemap of the City developed through the use of aerial photography. The map is the most accurate representation of the City ever created.
 - Since September 11th all work associated with the citywide GIS Utility has focused on disaster recovery. Geographic imagery and data were in high demand by first responders and by all other agencies called upon to manage the incident. GIS managers set up an Emergency Mapping and Data Center (EMDC) at the Office of Emergency Management's Emergency Operations Center and responded to more than 1,500 requests for information from the New York City Police Department, the Department of Design and Construction, the Department of Environmental Protection, DOH, and other City, State and federal agencies. EMDC staff initiated and helped coordinate data gathering efforts, including identifying the locations affected by the September 11th disaster and determining the status of buildings south of Canal Street. The EMDC team also arranged for the use of innovative ground-penetrating radar—a gift from the Swedish government—to provide in-depth information about the area surrounding the World Trade Center site. The bulk of the disaster-related GIS work is currently nearing completion.
 - The "Everyone Map," the application that presents GIS Utility data, is currently available to City workers through the City's intranet. DoITT expects to make the application available to the public over the Internet in Fiscal 2002.

FRANCHISING

- During the first four months of Fiscal 2002 the Department completed one high-capacity telecommunications franchise agreement. The Department completed negotiations with an additional company and the franchise agreement has been scheduled for review by the Franchise and Concession Review Committee. Negotiations are underway with a third prospective franchisee.
- In April 2001 an RFP for the conversion of unused, below-street water pipes to telecommunications conduits was issued. DoITT is also considering other possible uses for the water pipes.

DEPARTMENT OF INFORMATION TECHNOLOGY AND TELECOMMUNICATIONS

- In Fiscal 2001 DoITT's Public Pay Telephones (PPT) inspectors began a citywide survey of all pay phones to ensure that the phones are legally permitted by the City, and to identify for removal those pay phones that are not properly permitted. The inspectors have completed approximately 17,000 inspections to date and DoITT expects the survey to be substantially completed by the end of Fiscal 2002, despite delays experienced due to the events of September 11th.
- As illegal pay phones are identified either through the current survey underway or by community notice, DoITT will continue to utilize its contractor to remove them. To date in Fiscal 2002, the contractor has completed 420 removals.
- To date in Fiscal 2002, four PPT inspectors completed initial training on the interpretation of code, rule and contract provisions on PPT siting and maintenance in connection with issuing violations. Inspectors were also trained in evaluating cleanliness and appearance of pay phones. In February 2002 DoITT began issuing Notices of Violation with relation to cleanliness and operability. To date, DoITT has issued five Notices of Violation.
- In order to ensure that revenue is being remitted to the City by PPT franchisees in the proper amounts, periodic audits of franchisee receipts are necessary. An RFP for audit services is currently being prepared and DoITT expects it to be issued in Fiscal 2002.
- The Department of City Planning and DoITT have developed specifications for the installation of cable television, telephone, and high-capacity telecommunications equipment on City sidewalks in locations where it is not possible for companies that provide telecommunications service to use poles or off-street locations. DoITT expects to review proposed locations and designs from four companies that provide cable television, telephone and high-capacity telecommunications services in the City to ensure that they meet these specifications. DoITT is working with the companies to place company logos and telephone numbers on all electronic enclosures, clean them on a regularly scheduled basis and report the results.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Department's expenditures were \$44.3 million, compared with its plan of \$121.4 million. The Department's Fiscal 2001 expenditures were \$162.6 million.
- The City's Financial Plan of February 2002 outlines increased revenue and expenditure savings of approximately \$35.3 million in Fiscal 2002 and \$16.8 million in Fiscal 2003, which includes World Trade Center reimbursements in Fiscal 2002, other increased revenue and expenditure savings for contracted services, reductions in Other Than Personal Services (OTPS) and the elimination of the automated kiosk program. The Department has planned expenditures of \$163.9 million for Fiscal 2002 and \$155.9 million for Fiscal 2003.

CITY COMMISSION ON HUMAN RIGHTS

The New York City Commission on Human Rights investigates, mediates and prosecutes complaints of discrimination, and seeks to foster positive relations among the City's diverse groups. The City Human Rights Law affords protection against discrimination in employment, housing and public accommodations, and prohibits bias-related harassment on the basis of actual or perceived race, color, creed, age, national origin, alienage or citizenship status, gender, sexual orientation, disability, marital status, family status in housing, lawful occupation, retaliation and record of conviction or arrest, and status as victims of domestic violence in employment. The Human Rights Law also requires the Commission to foster mutual understanding and respect, to study problems of intolerance and to develop techniques for achieving harmonious intergroup relations.

GOALS AND OBJECTIVES

Goal: Increase enforcement of the Human Rights Law to redress and prevent illegal discrimination by prohibiting discrimination and retaliation in employment, housing and public accommodations, and seeking investigations and prosecutions where appropriate.

Objective

In the Law Enforcement Bureau, complete at least 5.75 investigations per investigator per month in Fiscal 2002.

Goal: Increase community awareness of the Commission's mission through public outreach, and improve relations among the City's diverse groups.

Objective

Conduct 350 conferences, workshops and community training sessions in Fiscal 2002.

Provide technical assistance to 1,100 merchant and community organizations in Fiscal 2002.

Conduct 325 school-based training sessions in Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

LAW ENFORCEMENT

- During the first four months of Fiscal 2002 the City Commission on Human Rights (CCHR) recorded 215 complaints, a decrease of 38 percent compared to the 348 complaints filed during the first four months of Fiscal 2001. The number of cases filed each year is not within the Commission's control.
- CCHR's Law Enforcement Bureau (LEB) closed 135 cases during the first four months of Fiscal 2002, a 48 percent decrease from the 259 cases closed during the first four months of Fiscal 2001. In addition, LEB completed 118 investigations, an 18 percent decrease from the 143 investigations completed during the first four months of Fiscal 2001. The Commission was temporarily relocated for six weeks due to the September 11th disaster. As a result of the relocation, Commission files were inaccessible, making it impossible to actively pursue investigations of complaints.
- The Bureau referred 17 complaints to mediation during the reporting period, 78 percent less than the 76 complaints referred during the first four months of Fiscal 2001. The inaccessibility of the files made it impossible for mediators to contact complainants and respondents in order to schedule mediations.

CITY COMMISSION ON HUMAN RIGHTS

- In November 2001 the Commission cosponsored a conference with the New York Law School Journal of Human Rights, the New York Law School Center for City Law, and the New York Law School Justice Action Center on the implications of genetic research in employment and on the criminal justice system. Panels were comprised of nationally recognized experts in these complex and rapidly developing areas of law. New York Law School's Journal of Human Rights plans to publish the symposium proceeding in Calendar 2002.

NEW LEGISLATION

- In January 2001 the New York City Human Rights Law was amended to prohibit employment discrimination against victims of domestic violence. The legislation makes it unlawful for an employer to refuse to hire, discharge from employment, or to otherwise discriminate in the terms and conditions of employment against actual or perceived victims of domestic violence. The law defines a victim of domestic violence as anyone who has been subjected to acts or threats of violence by a current or former spouse, partner, boyfriend, girlfriend, or person with whom the victim shares a child in common, or by a person who is cohabiting or has cohabited with the victim.
- The Charter Revision Commission's recommendation to establish the City Commission on Human Rights as a Charter agency was adopted by the voters on Election Day 2001.

CRIME PREVENTION

- During the first four months of Fiscal 2002, 148 bias investigations were completed, compared to the 385 complaints recorded. During the first four months of Fiscal 2001, 249 bias investigations were completed, compared to 517 complaints recorded. Bias complaints decreased because damage to the Commission's telephone lines was so extensive following the September 11th disaster that it was virtually impossible for the Commission to receive bias complaints from the New York City Police Department or the bias hotline for over six weeks.

MEDIATION AND CONFLICT RESOLUTION

- During the first four months of Fiscal 2002 mediators in CCHR's Office of Mediation and Conflict Resolution (OMCR) settled 16 cases, or 94 percent of the cases referred to OMCR from the Law Enforcement Bureau. During the first four months of Fiscal 2001, 22 cases, or 29 percent of referred cases, were settled by OMCR. In addition, 12 mediation conferences were conducted during the reporting period, compared to 18 conferences conducted during the first four months of Fiscal 2001. The Commission was temporarily relocated for six weeks due to the September 11th disaster. Files were inaccessible, making it impossible for mediators to contact complainants and respondents in order to schedule mediations.

CUSTOMER SERVICE

- The Commission's updated publication, "Tenants' and Owners' Manual" (formerly entitled "The Tenants' Rights Manual"), was distributed to the public in December 2001. The sixth edition, produced in collaboration with the South Bronx Legal Services and the Rent Stabilization Association, incorporates new rent laws and vacancy decontrol regulations, giving tenants and housing providers a well-balanced explanation of their rights and responsibilities. In addition, the Commission's Calendar 2001 Annual Report was distributed in early January 2002.

CITY COMMISSION ON HUMAN RIGHTS

- CCHR's Public Information Office provides a variety of brochures to the public. They include "Tips for Taxi Riders," "Legal Guide for Merchants," "Employment Discrimination," "How to File a Complaint," "What You Should Know About Mediation," "Reasonable Accommodations in Housing" and "Reasonable Accommodations in Public Places." In addition, a flyer explaining the status of a domestic violence victim as a new protected class under the employment provisions of the law has been prepared in both English and Spanish, and is now available for general distribution.
- In compliance with Local Law 29, the Commission continues its commitment to distribute voter registration forms with the intake documents given to those individuals who appear at the office of the Law Enforcement Bureau to file a discrimination complaint.
- As a result of the September 11th disaster, in October 2001 building management imposed building access restrictions at the Commission's central office. The Commission announced that all individuals wishing to file a complaint must first schedule an appointment with CCHR. The change was announced with a press release, on the Commission's home page and on the telephone voice directory. In addition, a bilingual flyer pertaining to the change was included in all information packages released by the Commission's Public Information Office.

COMMUNITY RELATIONS BUREAU

- The Community Relations Bureau's (CRB's) Neighborhood Human Rights Program (NHRP) served 55,933 individuals during the reporting period, compared to 79,414 individuals during the first four months of Fiscal 2001. The number of individuals served is not within the Commission's control.
- CRB conducted 64 conferences, workshops and training sessions during the first four months of Fiscal 2002, compared to its plan of 70 sessions, and 49 actual sessions during the first four months of Fiscal 2001. The increase is attributable to increased outreach by the Commission, additional requests for workshops and the assignment of additional staff to conduct the workshops.
 - Of the 64 total activities CCHR presented, 41 were education sessions on cultural sensitivity and the New York City Human Rights Law for City residents. CCHR conducted education sessions explaining the Human Rights Law for English as a Second Language classes, and for a new citizen program at a local immigration organization. The Brooklyn West office again assisted with Redhook Old Timer's Day, in which older residents of Redhook educate newer residents about the cultural history of the community. The Commission assisted with and made presentations at several events focusing upon intergroup relations. In Brooklyn, a conflict resolution workshop was conducted for grade school teachers. The Manhattan field office began working with a Staten Island organization to address problems affecting the Mexican-American immigrant community. The Queens field office helped to organize "Rhythms Around the World," a multicultural music program. Following the September 11th disaster, many of the field offices visited their communities' merchants and organizations to provide information on potential bias issues.
 - In addition, 23 of the 64 total activities presented were fair housing workshops held for community groups, tenants' associations, college organizations and at local libraries in the City. Queens and Bronx field offices presented information on fair housing for a variety of tenants and block associations. The Brooklyn East office continued its work with the Commission's Research Division to provide information on potential predatory lending and discriminatory lending practices for a local development corporation and participated in a banking forum sponsored by that corporation. The Jamaica, Queens office counseled 211 individuals in danger of losing their homes in mortgage foreclosures. In addition, the Research Division worked extensively with the Jamaica office to establish a program that will create a database of the mortgage foreclosure counseling cases handled by that office, and which will be handled by other field offices.

CITY COMMISSION ON HUMAN RIGHTS

- NHRP conducted 107 School Partnership training sessions, 65 percent more than its goal of 65 for the reporting period. This number increased 18 percent, compared to the 91 training sessions held during the first four months of Fiscal 2001. The increase is attributable to the assignment of additional staff as well as increased outreach by the Commission, which resulted in the involvement of additional school enrollment in the program.
 - During Fiscal 2001, after a series of violent encounters between Albanian and Latino communities at one Bronx high school, CCHR arranged ongoing antiviolence activities. During Fall 2002 the Commission reestablished a partnership with the school to ensure a safe educational environment.
 - All Commission field offices gathered materials on issues related to the September 11th disaster and its aftermath for incorporation into discussions with students participating in the School Partnership Program.
 - CRB conducted 316 technical assistance sessions to merchant and community organizations during the reporting period, 7 percent more than the 294 sessions reported during the first four months of Fiscal 2001.
- NHRP continued its investigations of public accommodations and housing to determine where modifications could make housing accessible to persons with disabilities. During the first four months of Fiscal 2002 NHRP staff facilitated the modifications of 15 public accommodations and 10 residences. During the first four months of Fiscal 2001, 10 public accommodations and 12 residences were made accessible.
- In the first four months of Fiscal 2002 HIV Prison Project (HIVPP) staff completed 22 field visits to City and State correctional facilities to conduct presentations of the “Character Building for Positive Living” program to 739 inmates.
- During the first four months of Fiscal 2002, 19 inmates from the Sullivan Annex Facility and 17 inmates from the Eastern Facility graduated after completing the six-month, 18-hour Life Management Skills program developed by HIVPP for HIV+/AIDS inmates.
- HIVPP staff began development of a family relations presentation to incorporate into the Life Management Skills series. The Commission staff is working with two inmate focus groups to test out the new material.

TECHNOLOGY

- The Commission’s Information Technology Department is in the process of completing changes to the Law Enforcement Bureau Case Tracking System. In addition to a variety of changes, two Information Technology staff members will be trained in basic maintenance for the system. The Commission anticipates that this knowledge will enhance the application of the current system.
- The Information Technology Department is working towards finalizing the construction of a plan to upgrade the entire computer network including software, e-mail, infrastructure, and to link the Commission to CityMail.
- The Information Technology Department is testing a new tape back-up unit. The unit will be used as a backup to the network servers, and the tapes will be stored off-site for further protection.
- Future changes are necessary to the Commission’s Bias Case Tracking System. The Information Technology Department will conduct interviews with Commission management and staff to document the desired changes. The estimated cost will then be generated and the Commission will seek funding to incorporate the desired changes.

CITY COMMISSION ON HUMAN RIGHTS

- The Commission's home pages on NYC.GOV, the City's official Web site, are updated on a timely basis. Viewers will find CCHR-specific information, as well as general information pertaining to human rights. The Office of Mediation and Conflict Resolution, the Community Relations Bureau and the Law Enforcement Bureau all have their own sections; the latter includes complaint-filing instructions. During the first four months of Fiscal 2002 there were 15,729 page views, an increase of 96 percent, compared to 8,006 views during the first four months of Fiscal 2001.

FINANCIAL PLAN

- During the first four months of Fiscal 2002 the Department's expenditures were \$3.1 million, compared to its plan of \$3.3 million. The Commission's Fiscal 2001 expenditures were \$7.2 million.
- The City's Financial plan of February 2002 outlines \$302,000 in salary accrual savings in Fiscal 2002. The Department has planned expenditures of \$7.8 million for both Fiscal 2002 and Fiscal 2003.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001	Jul-Oct 2000	Jul-Oct 2001
Law Enforcement Bureau – Investigations Closed per Investigator per Month	5.74	6.29	6.96	6.01	5.79	5.05	3.63 (a)
Conferences, Workshops, and Training Sessions Conducted	344	424	437	288	237	49	64 (b)
Merchants and Community Organizations Technically Assisted	1,216	1,176	967	908	875	294	316
School Based Training Sessions Conducted	345	340	369	408	646	91	107 (b)

- (a) The Commission was temporarily relocated for six weeks due to the September 11th disaster. As a result of the relocation, Commission files were inaccessible, making it impossible to actively pursue investigations of complaints. The Law Enforcement Bureau closed 7.09 investigations per investigator for the months of July and August, when the Commission was fully operational.
- (b) The increase is attributable to the assignment of additional staff and further outreach by the Commission.

DEPARTMENT OF INVESTIGATION

The Department of Investigation promotes and maintains integrity and efficiency in City government operations. Through its Inspectors General and other investigative staff, the Department investigates and refers for prosecution City employees and contractors engaged in corrupt or fraudulent activities or unethical conduct. Investigations may involve any agency, officer or employee of the City, as well as those who do business with, or receive benefits from, the City. The Department also analyzes and studies various aspects of the operation of City government to identify management practices, operations and programs that can be improved. The Department provides the Mayor with recommendations for corrective actions to assist City agencies in the design and implementation of strategies to limit opportunities for criminal misconduct and waste.

GOALS AND OBJECTIVES

Goal: Investigate and refer for prosecution cases of fraud, corruption and unethical conduct committed by City employees, contractors and others who receive City money.

Objective

Analyze at least 3,700 criminal and noncriminal complaints for investigation in Fiscal 2002.

Complete 700 investigations and evaluate each closed case for indications of continued agency hazards or vulnerability in Fiscal 2002.

Complete investigations within an average of 280 days in Fiscal 2002.

Make the maximum number of criminal referrals permitted by the facts of cases investigated in Fiscal 2002.

Make the maximum number of referrals for civil and administrative action warranted by the facts of cases investigated in Fiscal 2002.

Goal: Study agency procedures to identify corruption hazards and recommend improvements in order to reduce the City's vulnerability to fraud, waste and corruption.

Objective

Recommend appropriate corrective actions and changes in policy and procedures to limit opportunities for waste and misconduct in Fiscal 2002.

Initiate and complete reviews and analyses of agency operations to assess the potential for corruption and recommend improvements in Fiscal 2002.

Goal: Investigate the backgrounds of candidates selected to work in decision-making or sensitive City jobs, as well as those who do business with the City, to determine if they are suited to serve the public trust.

Objective

Complete 70% of background investigations within six months of opening a case in Fiscal 2002.

Process fingerprint checks of child-care workers with positive results, and notify affected agencies of workers with criminal records, within 10 days of receipt from the Division of Criminal Justice Services in Fiscal 2002.

Complete 90% of VENDEX name checks received within 30 days in Fiscal 2002.

DEPARTMENT OF INVESTIGATION

HIGHLIGHTS AND ACHIEVEMENTS

CRIMINAL INVESTIGATIONS AND PROSECUTIONS

- In the first four months of Fiscal 2002 the Department of Investigation (DOI) received 2,658 complaints, compared with 2,817 complaints during the first four months of Fiscal 2001.
- The Department's investigators disposed of 2,681 complaints during the reporting period, including 804 complaints pending at the end of Fiscal 2001, compared with 2,901 complaints disposed of during the first four months of Fiscal 2001.
- During the first four months of Fiscal 2002, 39 percent of the complaints reviewed within the Department's jurisdiction were analyzed for further investigative action and either merged with pending matters, filed for future reference, or opened as either a preliminary investigation or a case, compared with 42 percent of the complaints reviewed in first four months of Fiscal 2001.
- Active cases decreased by 3 percent during the reporting period, as compared to the first four months of Fiscal 2001. The Department's inventory of cases in the first four months of Fiscal 2002 was 1,050 cases, which included 813 ongoing cases and 237 new investigations. During the first four months of Fiscal 2001 the case inventory was 1,085 cases, which included 822 ongoing cases and 263 new investigations.
- A total of 239 cases were closed in the first four months of Fiscal 2002, compared to 304 cases closed in the first four months of Fiscal 2001.
- Cases closed in the first four months of Fiscal 2002 took an average of 309 days to complete, 30 days longer than the average of 279 days required for closure during the first four months of Fiscal 2001. The length of time to complete a case depends on such factors as the complexity of the matter, the type of investigative strategies employed and the number of investigative personnel available for each case.
- During the reporting period 94 criminal referrals were made, compared to 175 criminal referrals made in the first four months of Fiscal 2001, a decrease of 46 percent. Of the criminal referrals made during the first four months of Fiscal 2002, 33 resulted in arrests, compared with 72 arrests made during the first four months of Fiscal 2001.
- In addition to criminal referrals and recommendations for changes in operations, the Department refers subjects for civil and administrative action. The Department made 255 such referrals during the first four months of Fiscal 2002, compared to 230 such referrals during the first four months of Fiscal 2001.
- Approximately 67 percent of the investigations closed in the first four months of Fiscal 2002 resulted in either a referral for criminal, civil or administrative action, or a recommendation for policy or procedural changes, compared with 73 percent during the first four months of Fiscal 2001.

DEPARTMENT OF INVESTIGATION

SELECTED INVESTIGATIONS

- In August 2001 the Department and the New York City Housing Authority announced amnesty from prosecution for public housing residents who had concealed the true amounts of their household incomes from the City, State, and federal governments in order to pay lower rents, if they voluntarily came forward between September and November 2001 and paid back rent. Due to the September 11th disaster, the November 2001 deadline was extended through January 2002.
- In August 2001 the president of a construction company in Floral Park, Queens was sentenced to prison for 37 months in Brooklyn Federal Court. The defendant was charged with defrauding the New York City Off-Track Betting Corporation (OTB) of more than \$200,000. In February 2001 the defendant was found guilty of submitting inflated estimates and fictitious invoices for the installation of steam and hot-water heating, ventilation systems and air-conditioning equipment at various OTB locations throughout the City.
- In September 2001 the Department undertook the assignment, and continuing supervision, of four Integrity Compliance Monitors, responsible for receiving and investigating allegations of fraud, theft, abuse and misconduct at Ground Zero. Under the direction of the Department, and with cooperation of major site contractors and involved government agencies, the compliance monitors perform detailed reviews and oversight of Ground Zero operations and personnel, to ensure the integrity of the operation.
- In October 2001 the Department announced that a New York City Fire Department Emergency Medical Service Lieutenant from the Bronx was arrested for stealing over \$13,000 in City funds. The Lieutenant was charged with altering her time sheets and fraudulently claiming over 500 hours of time, including straight time, overtime, holiday time, shift differential time and compensatory time.
- In October 2001 the former distribution manager of the Mayor's Voluntary Action Center (MVAC) Clothing Bank pled guilty to federal mail and bank fraud charges involving receiving cash payoffs from an undercover DOI agent to enable bogus charities to get two van loads of donated garments, including overcoats, denim jeans, dresses, shirts and shoes, and other new merchandise from the Clothing Bank's Brooklyn Navy Yard warehouse. In addition, the defendant pled guilty to stealing 12 blank MVAC checks, forging the MVAC director's signature, and unlawfully cashing 11 of the checks, which totaled over \$10,000. His arrest in May 2001 was the result of a joint investigation by the Department and the Federal Bureau of Investigation.

BACKGROUND INVESTIGATIONS

- During the first four months of Fiscal 2002 the Department completed 71 percent of 461 background investigations in six months or less, compared to 82 percent of the 660 background investigations closed during the first four months of Fiscal 2001.
- Background investigations closed during the reporting period took an average of 151 days to complete, an increase of 15 percent compared to the average of 131 days in the first four months of Fiscal 2001. The increase is attributable to the disruption of normal business operations following the September 11th disaster.

DEPARTMENT OF INVESTIGATION

- During the first four months of Fiscal 2002 the Fingerprint Unit processed all fingerprint rap sheets of proposed child-care workers with criminal records and provided written notification to the affected programs within three days of receipt of the information from the State Division of Criminal Justice Services (DCJS), compared to six days in the first four months of Fiscal 2001. In all instances, affected programs received telephone notification within 24 hours regarding workers with criminal records. During the first four months of Fiscal 2002 the Fingerprint Unit also processed 100 percent of fingerprint checks of all prospective child-care workers and notified affected agencies and programs of the results within 30 days of receipt of information from DCJS.

TECHNOLOGY

- In Fiscal 1998 the Department was charged with the design and implementation of an information security and risk management program for the City and its constituent agencies. In response, during Fiscal 1998 DOI created the Citywide Information Security Architecture, Formulation and Enforcement Unit (CISAFE), which is responsible for the development of standardized security procedures to ensure the confidentiality, integrity and controlled accessibility of all electronic information that is processed by the City. This creates the framework upon which City agencies can identify information risks and exposures, and enable them to better protect the City's information assets.
 - CISAFE has managed a project with a renowned consulting firm to develop and deliver a Citywide Information Security Policy and a set of Citywide Information Security Standards that will direct the security posture for City agency computer systems. The documents have been delivered by the consultant to CISAFE and have been posted on the City's intranet in draft form, for the use of, and for comment from, affected City agencies.
 - As a member of the New York Electronic Crimes Task Force (NYECTF), CISAFE participates in an interagency initiative, pooling federal, State and local government resources with those of the private sector and academia in tracking and investigating information technology offenses. NYECTF has provided support to CISAFE in the seizure and analysis of computers and computer-related evidence in agency investigations. The ability to use resources and staff from NYECTF has augmented the investigative and analytical resources of CISAFE, resulting in significant cost savings to the City.
 - In the first quarter of Fiscal 2002 the Department set up CISAFE's computer forensics laboratory. The laboratory has enabled the agency to begin in-house computer forensic reviews of evidence obtained during investigations. This new capability will serve to increase both the efficiency and scope of the Department's efforts.
 - CISAFE is engaged in many agency information security projects, including 36 City agency reviews of Internet connectivity proposals and 19 Web-based application deployment reviews. CISAFE has executed network or application vulnerability scans on 13 City agency Internet connections and application systems. The outsourcing of these scans to private vendors would have cost the City hundreds of thousands of dollars. CISAFE will conduct over 20 additional scans during the remainder of Fiscal 2002.
 - NYC.GOV is the City's official Web site. CISAFE, in support of the City's egovernment initiative, executed an in-depth security review of the NYC.GOV Web site portal prior to implementation. Beginning in the second quarter of Fiscal 2002, CISAFE will conduct quarterly reviews of the NYC.GOV portal as part of its ongoing commitment to high-level security.

DEPARTMENT OF INVESTIGATION

- CISAFE has guided and managed the municipal response to three major virus infection attacks against the City's networks and successfully overseen the restoration of all computer and network functions. Affected agencies were disconnected from the City's backbone network until CISAFE certified each agency's computer environment as being clean of the virus infection and able to protect itself against future attacks. CISAFE's enforcement group has completed over 100 compliance reviews, involving 56 separate agencies using the Anti-Virus Standard for computer protection. This effort has resulted in increased reliability within the City's computer systems and less downtime attributable to virus attacks in a way that is cost effective for the City.
- The Department was allocated funding for implementing the Livescan fingerprint imaging system at the Department's Fingerprint Unit. The current fingerprint process entails manually fingerprinting clients and then mailing fingerprint cards to DCJS via regular U.S. Postal Service. Under this process, it takes approximately four to six weeks for fingerprint results to be returned from DCJS to DOI. The Livescan system, which has been implemented at New York City Police Department precincts throughout the City, captures and transmits fingerprint images electronically. This system will significantly reduce the turnaround time, and eliminate the need to resubmit fingerprints that have been rejected due to poor image quality. The Department has finalized system development and continues to work towards full implementation of this initiative.
- Views of the Department's home pages on NYC.GOV increased 126 percent to 161,278 views in the first four months of Fiscal 2002, compared to 71,338 views in the first four months of Fiscal 2001.

FINANCIAL PLAN

- In the first four months of Fiscal 2002 the Department's expenditures were \$9 million, compared with its plan of \$9.4 million. The Department's Fiscal 2001 expenditures were \$23 million.
- The City's Financial Plan of February 2002 outlines \$867,000 in expenditure savings in Fiscal 2002 and \$1.3 million in Fiscal 2003 through accruals, lease savings, productivity savings and other administrative cost savings. The Department has planned expenditures of \$22.8 million in Fiscal 2002 and \$22.3 million in Fiscal 2003.