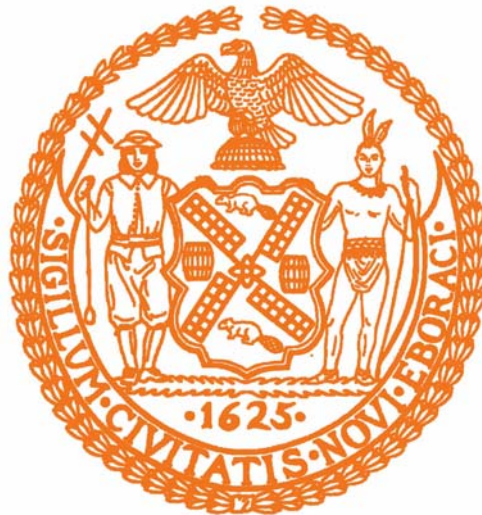


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**The City of New York
Mayor's
Management
Report**



Fiscal 2001

Volume I – Agency Narratives

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POLICE DEPARTMENT

The Police Department's mission is to reduce crime, 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: 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.

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.

Increase use of civil remedies to reduce narcotics transactions inside private buildings.

Goal: Implement the Department's strategy to reduce the number of traffic accidents, injuries and deaths, and make the City's neighborhoods safer, cleaner and quieter.

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.

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.

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Goal: Decrease illegal gang activity and improve gang intelligence.

Objective
Streamline the investigation and intelligence sharing of 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.
Implement a comprehensive training program 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.
Develop and maintain accurate statistical data on school crime and other school security incidents.

HIGHLIGHTS AND ACHIEVEMENTS

CRIME

- In Calendar 2000, 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 4.7 percent from 4,070.9 crimes per 100,000 during Calendar 1999 to 3,881.5 per 100,000 in Calendar 2000.
- Comparing total FBI index crime rates for each city per 100,000 of population and listed in descending order, New York ranked 163rd out of the 215 U.S. cities with a population over 100,000 reporting preliminary data to the FBI during Calendar 2000. In Calendar 1993, New York ranked 88th out of 182 cities. New York ranked 165th out of 217 U.S. cities during Calendar 1999. New York is the safest U.S. city with a population over 1 million.

FISCAL YEAR COMPSTAT 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 Fiscal 2001 to the New York City Police Department (NYPD) declined by 7.7 percent compared to Fiscal 2000 and declined 57.6 percent compared to Fiscal 1994.
- Based on preliminary statistics, murder decreased by 6.7 percent from Fiscal 2000 to Fiscal 2001; murder decreased 66.1 percent from Fiscal 1994 to Fiscal 2001.
- Crimes against persons fell by 8.4 percent from Fiscal 2000 to Fiscal 2001 and 54.8 percent from Fiscal 1994 to Fiscal 2001. Crimes against property declined by 7.4 percent from Fiscal 2000 to Fiscal 2001 and 58.8 percent from Fiscal 1994 to Fiscal 2001.
- From Fiscal 1994 to Fiscal 2001, major declines were also recorded in incidents of:
 - grand larceny motor vehicle, which fell by 68.7 percent;
 - burglary, which fell by 64.2 percent;

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- robbery, which fell by 63.2 percent;
 - grand larceny, which fell by 39.7 percent;
 - felonious assault, which fell by 38.2 percent;
 - forcible rape, which fell by 36.7 percent.
- NYPD preliminary estimates for total narcotics arrests indicate a 10.5 percent decrease in Fiscal 2001 compared to Fiscal 2000, and a 90 percent increase compared to Fiscal 1993. Felony narcotics arrests decreased 7.9 percent in Fiscal 2001 compared to Fiscal 2000, and decreased 8.9 percent compared to Fiscal 1993. Misdemeanor narcotics arrests decreased 11.8 percent in Fiscal 2001 compared to Fiscal 2000, and increased 248 percent compared to Fiscal 1993. In Fiscal 2001 arrests for narcotics violations increased 8.3 percent compared to Fiscal 2000, and increased 620 percent compared to Fiscal 1993.
 - 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. Reports of major felony complaints in housing developments dropped 6.7 percent from Fiscal 2000 to Fiscal 2001 and 46.8 percent from Fiscal 1995 to Fiscal 2001. From Fiscal 2000 to Fiscal 2001 reports of murder increased by 19.2 percent. Reports of forcible rape in housing developments decreased by 13.8 percent, burglary decreased by 12.4 percent, robbery decreased by 8.6 percent, felonious assault decreased by 4.2 percent, grand larceny decreased by 5.9 percent and grand larceny motor vehicle decreased by 5.7 percent.
 - In Fiscal 2001 reductions in major felony crime in housing developments decreased 6.7 percent; major felony crime citywide decreased 7.7 percent during the same period.
 - Reports of major felonies in the transit system decreased 6.2 percent from Fiscal 2000 to Fiscal 2001. During the same period reports of murder occurring in the transit system decreased from two murders to one murder. Reports of forcible rape in the transit system remained the same with four in Fiscal 2000 and four in Fiscal 2001; burglary increased by 78.6 percent (from 14 in Fiscal 2000 to 25 in Fiscal 2001); grand larceny decreased by 0.7 percent; felonious assault decreased by 17.5 percent; and robbery decreased by 12.7 percent.

ENFORCEMENT

Narcotics Initiative

- The Northern Manhattan Initiative (NMI), which began in Fiscal 1997, pioneered the concept of concentrating anti-drug efforts in precincts that have severe narcotics problems. As of Fiscal 2001 there were narcotics initiatives in 37 precincts: eight in the Bronx, 15 in Brooklyn, seven in Manhattan, six in Queens and one in Staten Island. Each initiative targets all available police resources to eliminate the drug problem from its precinct.
 - In Fiscal 2001 officers assigned to the Central Bronx Initiative made 6,366 drug arrests, and executed 158 search warrants.
 - In Fiscal 2001 officers assigned to the East Harlem Initiative made 3,411 drug arrests, and executed 93 search warrants.
 - In Fiscal 2001 officers assigned to the Northwest Queens Initiative made 3,089 drug arrests, and executed 138 search warrants.

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- During Fiscal 2001 officers assigned to the Brooklyn South Initiative made 2,280 drug arrests, and executed 87 search warrants.
- During Fiscal 2001 officers assigned to the Northern Manhattan Initiative made 8,181 drug arrests, and executed 212 search warrants.
- During Fiscal 2001 the Brooklyn North Initiative made 15,863 drug arrests, and executed 613 search warrants.
- During Fiscal 2001 the South Bronx Initiative made 4,819 drug arrests, and executed 233 search warrants.
- During Fiscal 2001 the Southeast Queens Initiative made 4,944 drug arrests, and executed 201 search warrants.
- During Fiscal 2001 the Central Harlem Initiative made 3,499 drug arrests, and executed 217 search warrants.
- During Fiscal 2001 the Staten Island Initiative made 2,802 arrests, and executed 97 search warrants.
- The Department's intense focus on narcotics trafficking has forced drug dealers to adopt new tactics, such as finding less visible and more remote locations to conduct their activities. This recent shift in tactics has increased the need for more complex and lengthy investigations and is reflected in lower felony arrest numbers in the Department.
- During the reporting period NYPD's Organized Crime Control Bureau (OCCB) Narcotics Division deployed 2,999 investigators and supervisors to conduct drug enforcement activities throughout the City, compared to 3,501 in Fiscal 2000, a 14.3 percent decrease.
- During Fiscal 2001 the Narcotics Division of OCCB made 86,437, or 71 percent, of the City's estimated 122,253 drug arrests. The Division executed 4,169 warrants, and confiscated approximately \$14 million in currency from drug-related offenses, down 70 percent from the \$47 million seized during Fiscal 2000.
- During the reporting period NYPD seized 11,815 pounds of marijuana, 1,495 pounds of heroin and 10,660 pounds of cocaine. This represents a decrease of 39 percent from the 19,269 pounds of marijuana confiscated, a 29 percent increase from the 1,155 pounds of heroin confiscated, and an 11 percent decrease from the 11,986 pounds of cocaine confiscated during Fiscal 2000.

Closed-Circuit Television Program

- During Fiscal 2001, NYPD expanded its use of closed-circuit television (CCTV) technology to help produce significant changes in criminal activity within housing developments.
 - The Grant Houses in Manhattan have 105 cameras installed. During the reporting period major felony crime in the Grant Houses decreased by 1.4 percent compared to Fiscal 2000, and by 44.4 percent compared to Fiscal 1997, the year prior to CCTV installation.
 - The South Jamaica Houses in Queens have 260 cameras installed. During the reporting period major felony crime in the South Jamaica Houses increased by 3.1 compared to Fiscal 2000, and decreased by 32.7 percent compared to Fiscal 1999, the year prior to CCTV installation.

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- During Fiscal 2001 the Department completed the installation of 135 cameras in the Bronx River Houses. The Bronx River Houses experienced a 29.8 percent decrease in major felony crime compared to Fiscal 2000.
- The Wald Houses in Manhattan is operational with 204 cameras installed. During the reporting period major felony crime in the Wald Houses experienced a 38.2 percent decrease in crime compared to Fiscal 2000.
- NYPD completed installation of 125 cameras in the Stapleton Houses in Staten Island during Fiscal 2001. The Stapleton Houses experienced a 17.2 percent increase in crime compared to Fiscal 2000, and a 50 percent decrease in crime from Fiscal 1999 to Fiscal 2000.
- The CCTV system at the Albany Houses in Brooklyn is now fully operational with 101 cameras installed. During Fiscal 2001 major felony crime in the Albany Houses increased by 27.1 percent compared to Fiscal 2000, and decreased by 3.8 percent compared to Fiscal 1998, the year prior to CCTV installation.
- In July 2000 NYPD began installing a CCTV system at Van Dyke Houses in Brooklyn, with 196 of 225 cameras presently installed. The remaining cameras will be installed upon completion of elevator renovations being conducted by the New York City Housing Authority (NYCHA). During the reporting period the Van Dyke Houses experienced a 29.4 percent decrease in crime compared to Fiscal 2000.
- Currently 11 housing developments have operational CCTV systems, with a total of more than 1,800 cameras installed. It is projected that all 15 CCTV systems will be operational within the first half of Fiscal 2002.
- 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 targeted developments through a four-phase program of targeted enforcement, maintenance of crime reduction gains, community involvement and facility improvement. In addition, each development will be equipped with its own CCTV system. The following developments have been chosen to participate in the Model Development Program: Morris Houses in the Bronx, Wagner Houses in Manhattan, Carey Gardens in Brooklyn, Ravenswood Houses in Queens and Richmond Terrace in Staten Island.
- NYCHA has reported to the Housing Bureau that the total number of graffiti incidents occurring in the eight fully operational CCTV developments has decreased 37.5 percent in Fiscal 2001, compared to Fiscal 2000.

Gang Initiative

- The Department has recently consolidated the activities of gang investigation and gang intelligence gathering and sharing under the aegis of the Detective Bureau. Using the gang database, the Gang Division identified and classified a total of 15,074 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 Fiscal 2001 the Gang Division recorded 3,388 arrests, of which 847 were gang members, and seized 237 guns and 76 vehicles.

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- 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. As a result, the Gang Division identified 7,509 gang-related incidents in Fiscal 2001, compared to 4,620 incidents in Fiscal 2000. This process also provided information linking to the arrest of 8,532 suspected gang members, an increase of 57 percent compared to 5,447 in Fiscal 2000..
- The Homicide Squad Model has been instituted for all gang-related and gang-motivated homicides and non-fatal shootings. This creates a joint partnership with precinct detectives that works exceptionally well as all units share resources and knowledge of the involved gang elements.

Intelligence Division

- In March 2001 NYPD expanded and re-engineered the Criminal Intelligence Section (CIS) of the Intelligence Division and placed the Intelligence Division under the direct command of the Chief of Department. The mission of the revamped CIS is to provide a comprehensive, integrated intelligence picture throughout the City in order to make effective and efficient enforcement decisions. Over 300 members of the service were added to the Intelligence Division, with 98 members assigned as Field Intelligence Officers in precincts, housing police service areas and transit districts.
 - The key to the success of this re-engineering has been the debriefing of persons arrested, performed by CIS's Borough Intelligence Teams (BIT) and Field Intelligence Officers (FIO), who have conducted over 9,100 debriefings since the expansion in March 2001, resulting in 199 search warrants executed, 441 arrests, and 113 illegal firearms removed.

School Safety Division

- In December 1998 the Board of Education's (BOE) Division of School Safety was merged into NYPD through the interagency transfer of over 3,500 employees. The Department is now responsible for selecting, hiring, training, supervising and disciplining the School Safety Agents (SSAs) assigned to public schools citywide. Since the merger, all SSAs who were subject to interagency transfer have received training in the 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.
- The purpose of the merger and the intent of NYPD and the Board of Education is not to criminalize minor student misbehavior and misconduct. BOE retains sole authority over discipline and conduct in NYC schools and NYPD will intervene only in criminal incidents.
 - In August 2000, 273 SSAs graduated from the Police Academy and 411 graduated in October 2000. An additional 123 SSAs graduated in March 2001, 188 graduated in May 2001 and 350 were hired in May 2001. As of the end of Fiscal 2001, staffing of the School Safety Division is comprised of 4,162 managers, supervisors and agents.
 - In Fiscal 2002 NYPD plans to hire 800 School Safety Agents to both increase staffing and address attrition in the School Safety Division.
 - The merger has not resulted in the deployment of additional police officers to City schools. The 155 police officers assigned to 145 schools citywide is the same amount as prior to the merger.

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Quality-of-Life Strategy

- The Department is expanding the successful CompStat computer crime tracking capabilities to identify problem quality-of-life locations and conditions. Information received via the Mayor's Quality-of-Life Hotline and other available data 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. In Fiscal 2001 NYPD reported a 13 percent decrease in grand larceny motor vehicle complaints compared to Fiscal 2000 and, as noted previously, a 68.7 percent decrease compared to Fiscal 1994.
- Using the Nuisance Abatement Law, the NYPD Legal Bureau's Civil Enforcement Initiative implemented 594 court-ordered closings of illegally run businesses during Fiscal 2001, compared to 671 closings during Fiscal 2000. 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.
- In Fiscal 2001 NYPD made 1,480 graffiti arrests, a 10.7 percent decrease from 1,657 arrests during Fiscal 2000.
 - The Anti-Graffiti/Vandalism Unit (AGVU) made 20 percent of the Department's 1,480 graffiti arrests, or 296 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.
- Arrests for prostitution increased 6.6 percent, from 3,557 arrests during Fiscal 2000 to 3,790 arrests during Fiscal 2001. Arrests for patronizing prostitutes increased 1.6 percent, from 2,576 arrests during Fiscal 2000 to 2,616 arrests during Fiscal 2001.
- 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 Fiscal 2001 the Hate Crimes Task Force database registered 475 cases of bias incidents, compared to 400 cases in Fiscal 2000, a 19 percent increase.
- Citywide bias-related arrest activity increased 51 percent in Fiscal 2001, to 223 arrests, compared to 148 arrests in Fiscal 2000. This increase was partially attributed to the publicity associated with the expansion and passage of new hate crime legislation in October 2000 and a new Hate Crime Hotline (888-440-HATE) that was established in January 2001 to facilitate the reporting of bias-related incidents.
- Beginning June 8, 2001, the Hate Crimes Task Force launched "Walk and Talk," a special proactive initiative in Prospect Park, Brooklyn, in response to a series of attacks in the park against homosexuals. Detectives are assigned to Prospect Park to talk to the community in an attempt to ascertain information regarding attackers and warn the community about such attacks.

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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 4,021 vehicles. In Fiscal 2001 NYPD made 5,030 drunk-driving arrests, an increase of 6 percent compared to 4,748 drunk-driving arrests during Fiscal 2000, which led to the seizure of 1,709 vehicles in Fiscal 2001. These seizures resulted in the commencement of 1,381 forfeiture cases by the Civil Enforcement Unit.
 - During Fiscal 2001, 34 drunk-driving fatalities occurred, compared to 28 in Fiscal 2000, a 21.4 percent increase.
 - Drunk driving-related traffic accidents increased 27 percent, from 1,576 accidents in Fiscal 2000, to 2,002 accidents in Fiscal 2001.
- 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 eight months of Calendar 2001 drunk driving-related accidents decreased 1.5 percent and drunk driving-related fatalities decreased 4.6 percent, compared to the first eight months of Calendar 2000. During the same period, drunk driving arrests increased 8.7 percent from 3,174 arrests to 3,451 arrests.

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 14,649 motorists. In Fiscal 2001 the HELP program aided 6,021 motorists on area highways.
- During the reporting period the Department installed mobile video and audio recording equipment in 90 NYPD Highway Patrol vehicles. The equipment, which is used to record evidence of reckless driving, was installed in both marked and unmarked patrol cars.
- In May 2001 a pilot program was initiated in one precinct per patrol borough, eight vehicles in total, in which the Department installed mobile video and audio recording equipment in marked patrol cars.
- 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 June 30 2001, a total of 110,340 summonses have been issued, including 8,199 speeding tickets and 6,749 jaywalking summonses.
 - "Matinee" targets illegally parked vehicles and idling buses in Manhattan's theater district during matinee hours. During Fiscal 2001 NYPD issued 10,499 summonses.

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- “On Board” targets violators of bus lane regulations. NYPD traffic enforcement agents riding City buses issued 10,444 summonses and arranged for the towing of 572 vehicles during Fiscal 2001.
- “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 104,526 summonses.
- “Don’t Block the Box” targets vehicle spillback in intersections. There were 30 operations in Fiscal 2001 that resulted in 22,161 summonses issued.
- “Move Along” targets double parking, unauthorized use of bus lanes and other offenses that cause traffic congestion. There were 25 operations in the reporting period that resulted in 140,630 summonses issued, 376 vehicles booted and 6,317 vehicles towed.
- “Buckle Up” targets drivers who do not use seatbelts. Operations in Fiscal 2001 resulted in 32,351 summonses issued.
- “Safe Transportation” addresses moving and parking violations along primary City roadways. There were 35 operations during Fiscal 2001 that resulted in 49,750 summonses issued, 151 arrests and 2,739 vehicles seized.
- During Calendar 2000 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 2,367 summonses and made three arrests from July to December 2000.
- During Fiscal 2001 NYPD’s Surface Transportation Enforcement District coordinated 11 Operation Safe Taxi initiatives in Manhattan, which encourage all police personnel to address unsafe driving offenses by medallion taxi drivers. The initiatives resulted in 8,430 summonses and 29 arrests.
- During the reporting period NYPD’s Taxi Unit issued 8,196 summonses to drivers and 16,222 to owners, for a total of 24,418 summonses. In comparison, there were 10,776 summonses to drivers and 22,321 to owners, for a total of 33,097 summonses issued during Fiscal 2000. The decrease in summonses issued to drivers was due to a new procedure implemented in April 2000, which eliminated the need to issue both TLC and traffic court summonses for the same offense. This enables NYPD to issue summonses more efficiently and increase the availability of personnel.
- The Department issued approximately 1.41 million moving violation summonses during the reporting period, compared to approximately 1.39 million summonses issued during Fiscal 2000.

Fugitive Enforcement Strategy

- In January 2001 Mayor Giuliani allocated \$4 million to enable the implementation of Operation Discover, which bolstered the Warrant Section with a personnel increase of 47 percent. This enables warrant teams to aggressively target and apprehend known, wanted criminals. The Warrant Section prioritizes its cases based on the severity of crimes and precinct conditions. This influx of personnel allowed a greater focus to be placed on trends, through the use of module concepts such as Worst of the Worst; Felony; Gang/Gun; and Joint Absconder Warrants/Parole Squad (J.A.W.S.), which was expanded operationally to all five boroughs in April 2001 to target specific crimes.
- The NYPD Warrant Section made 72,224 arrests during Fiscal 2001, compared to 44,953 warrant arrests during Fiscal 2000, a 61 percent increase.

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- In April 2001 the Joint Absconder Warrants/Parole Squad (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.
- Operation Nightlight was established in October 1997 to enhance cooperation between the NYPD 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. In Fiscal 2001, 1,440 wanted persons were apprehended, compared to 1,002 apprehensions during Fiscal 2000. Since the program's inception in October 1997, 3,410 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 Fiscal 2001 TOP was responsible for the arrest of 186 parole violators, seized 25 guns and made approximately 346 arrests for other offenses.

Anti-Gun Strategy

- During Fiscal 2001 reports of shooting incidents decreased to 1,604, compared to 1,789 during Fiscal 2000. This represents a 57.2 percent decrease from Fiscal 1995.
- 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 inception through June 30th, Operation GUNSTOP has received 344 tips that have led to 130 arrests and the seizure of 74 guns. The program has paid \$9,500 in rewards for information.
- NYPD seized 10,122 weapons during Fiscal 2001, down 2.4 percent from the 10,372 weapons seized during Fiscal 2000.
 - During the second half of Fiscal 2001 NYPD confiscated 5,079 weapons, compared to 4,808 for the same period of Fiscal 2000, a 5.6 percent increase.
- NYPD, in conjunction with the Brooklyn District Attorney's Office, conducted a Gun Amnesty Initiative from July 1 through July 30, 2000 in which the public was encouraged to anonymously surrender all types of firearms including rifles, shotguns, handguns and assault weapons. A total of 534 weapons were surrendered, 86 percent of which were revolvers or semi-automatic handguns.
- The Department conducted a gun amnesty program in the Bronx from April 4 through July 15, 2000. A total of 279 firearms were surrendered during the program.
- In October 1999 the Department's Street Crime Unit was decentralized from one citywide command to seven borough-based units to improve responsiveness to local conditions. During the reporting period, members assigned to the borough units, in aggregate, made 3,353 felony arrests, 798 misdemeanor arrests and recovered 443 guns.
- In March 2000 the Narcotics Division established a Firearms Investigations Unit (FIU) to identify and pursue gun traffickers within New York City, whenever an illegal gun is bought, sold or used in the City. Since its inception, FIU has seized over 327 firearms and nearly 6,440 rounds of ammunition.

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Enforcement Efforts Against Child Abuse

- During Fiscal 2001, 4,150 child abuse cases were referred to the Detective Bureau's Special Victims Squads, compared to 4,298 cases during Fiscal 2000.
- In Fiscal 2001 NYPD Special Victims Squad detectives conducted 822 child abuse investigations through the Instant Response Team protocol, compared to 899 investigations during Fiscal 2000. A total of 219 arrests resulted during the reporting period, compared to 544 in Fiscal 2000. In December 1998 the Department established a procedure that assigns police officers to assist Administration for Children's Services caseworkers in field investigations that may involve the potential for violence as well as the alleged abuse.
- In conjunction with the Mayor's Child Abuse Task Force, Safe Horizon (formerly known as Victim Services), the Kings County District Attorney and NYPD's Child Abuse Squad, located at the Brooklyn Child Advocacy Center, investigated 2,146 cases during the Fiscal 2001, compared to 2,003 cases during Fiscal 2000. The investigations resulted in 264 arrests during Fiscal 2001, compared to 351 arrests during Fiscal 2000.
- The Child Advocacy Center in Staten Island conducted 246 investigations of child abuse and made 52 arrests during the reporting period, compared to 229 investigations resulting in 45 arrests during Fiscal 2000.
- The Child Advocacy Center in Brooklyn conducted 1,207 investigations of child abuse and made 123 arrests during Fiscal 2001, compared to 1,493 investigations resulting in 213 arrests for Fiscal 2000.
- In conjunction with Safe Horizon and the Queens County District Attorney, NYPD is participating in the establishment of a Queens Child Advocacy Center, which will open in Calendar 2001.

Domestic Violence Strategy

- In Fiscal 1998 a Respondent Information Sheet was developed to help NYPD officers identify and locate subjects of orders of protection. This Information Sheet improves the Department's ability to assist victims by increasing the rate by which orders of protection are served. As a result, during Fiscal 2001, 95 percent of the orders of protection received by the Department were served.
- In Fiscal 2001 Community Police Officers assigned to the Housing Bureau visited 16,914 residences from which reports of domestic violence had been issued, compared to 10,426 residences visited during Fiscal 2000. Family members were interviewed during 10,707 contacts, and informative literature was given to them; calling cards and informative literature were also distributed at 6,207 additional locations.
- In April 2000 NYPD expanded the Combating Domestic Violence Teams project to 15 additional precincts, in each of the 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.
 - In Fiscal 2001 officers assigned to the original 15 precincts made 11,179 domestic violence arrests, compared to 11,334 arrests made in the previous fiscal year. During the same period officers assigned to the original 15 precincts also made 13,704 home visits to victims of domestic violence, compared to 12,157 visits during Fiscal 2000.

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- Officers assigned to the 15 new precincts of the expanded Combating Domestic Violence Teams project made 7,541 arrests in Fiscal 2001 compared to 5,460 arrests in Fiscal 2000, a 38 percent increase. In Fiscal 2001 officers in the 15 new precincts conducted 6,306 successful victim contacts, compared to 4,499 contacts in Fiscal 2000.
- During Fiscal 2000 the Department received a grant to develop a program in Strategic and Tactical Command (SATCom) Brooklyn North to address the crime of stalking. New protocols and training programs focusing on risk assessment, workplace violence and the development of new investigative techniques to address both stalking and violation of Order of Protection cases. The program became fully operational on November 13, 2000. On January 17, 2001, Operations Order #10 was created to reduce incidents of stalking through a coordinated investigative process undertaken by various units, upon receipt of a complaint. Victim information, input into the communications database, now provides detailed information of facts as they pertain to the victim. This increased knowledge will give units with initial contact an opportunity to strategically plan courses of action as the information warrants. This program, slated to end on May 15, 2001, was extended until January 2002. Since the inception of the program, 24 stalking cases have been identified; 22 led to arrest and two are pending further investigation.
- In cooperation with the Human Resources Administration and the Mayor's Commission to Combat Family Violence, in June 1999 NYPD implemented the first phase of the expanded Mayor's Alternative to Shelter (ATS) program in the 105th Precinct in Queens. Victims of domestic violence participating in ATS receive home and personal alarm systems, telephone answering machines, caller ID boxes and preprogrammed cellular telephones that can be used to contact 911 in the event of an emergency. The Department has established special protocols for high-priority response to ATS alarms. During Fiscal 2000 the program was expanded to nine additional precincts throughout the City. At the end of Fiscal 2001, there were 36 participants in the program.
- During Summer 1999 NYPD developed special response protocols for the Juris Monitor program in Brooklyn, which was established by the Department of Probation and the Kings County District Attorney's Office to protect domestic violence victims and deter further violence.
- Project Lifenet, a referral service for persons in need of counseling for mental illness or substance abuse, was instituted as a pilot program in eight precincts citywide. Informative literature and referrals are provided by police officers to individuals or families requesting assistance.

Youth Strategy

- During the reporting period NYPD's Community Organization Youth Diversion Program diverted 2,232 young offenders to youth programs. The program offers juveniles an alternative to arrest for misdemeanor offenses by diverting them to designated social service agencies that offer counseling and post-program monitoring.
- In cooperation with the Kings County District Attorney, the Board of Education, the Administration for Children's Services 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. In Fiscal 2001 TRACK expanded to a total of 11 sites citywide, with five more opening in Fall 2001. In the future, 11 more sites will be added, making a total of 27 TRACK sites. 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.
- NYPD officers returned 118,493 truants to school in Fiscal 2001, a 3.2 percent decrease from the 122,392 truants in Fiscal 2000.

POLICE DEPARTMENT

- As part of the Mayor's initiative to remove drugs from City neighborhoods and schools, NYPD's Housing Bureau continues to conduct the After-School Program for Interactive Recreation and Education (ASPIRE) for children living in or near City housing developments. During Fiscal 2001 there were 1,157 children ages 9 through 12, and 594 teens ages 13 through 19, enrolled in ASPIRE.
- NYPD's 17-week Drug Abuse Resistance Education (DARE) program covers topics such as stranger danger, gun safety, and resisting drugs and violence. During Fall 2000, 102 DARE-certified police officers visited 274 schools and instructed 60,000 children.
- A joint effort between the U.S. Bureau of Alcohol, Tobacco and Firearms and NYPD, the Gang Resistance Education and Training (GREAT) program for 7th and 8th grade students is designed to decrease violence and gang-related behavior. During Fiscal 2001 GREAT personnel instructed 1,700 children in topics such as conflict resolution, cultural sensitivity and victims' rights.
- In a joint effort with the United States Attorneys of the Eastern and Southern districts, NYPD implemented a summer youth program in July 2000, Drug Education For Youth (DEFY), in which 150 young people participated. 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 for by the United States Attorney's Weed and Seed program.
- Training on gang-related topics has been established and included in courses for Youth Officers, School Safety Officers, and officers in GREAT/DARE programs. The object of this training is to educate officers to effectively focus efforts at educating parents, clergy and the community on gang-related issues.
- In May 2001 the Department concluded a six-month pilot parental notification project conducted in the 83rd and 90th precincts. The pilot required officers to make a parental notification when an individual, age 16 or 17, is issued a Criminal Court summons for quality-of-life offenses, such as alcohol-related violations, in an effort to reduce the frequency of youth-related quality-of-life offenses. In June 2001 the Department expanded the pilot project to two precincts from each patrol borough, including two Housing Bureau police service areas, for another six-month period. After the six-month period, the project will be evaluated to determine if there have been positive results in the following areas: reduction in quality-of-life summonses issued to individuals in this age group; an improvement in court appearances by these individuals; and a decrease in the number of civilian complaints received from parents of individuals issued Criminal Court summonses.

RECRUITMENT AND TRAINING

- The Department's recruitment drive for its June 2001 Police Officer examination produced an applicant pool 4 percent larger than the filing period for the December 2000 exam. Of the 12,652 filers for the June 2001 examination, the percentage of applicants identifying themselves as City residents who filed to take the exam increased from 67 percent during the previous recruitment drive, to 68 percent during the most recent drive. Applicants identifying themselves as members of a minority group increased to 62 percent of those who filed, compared to 61 percent during the previous filing period.
- A total of 1,115 recruits graduated from the Police Academy in May 2001, and as a result of the Department's citywide recruitment drive, this class was comprised of 62 percent New York City residents. Approximately 52 percent of the graduates were from minority groups, a greater percentage than any recruitment drive since 1995.

POLICE DEPARTMENT

- Police Officer examinations are now offered three times a year: February, June and October. The Police Academy graduates from the October 2000 and May 2001 classes provided additional staff at precincts, transit districts and housing service areas, as well as support for traffic safety initiatives.
- The Department hired 1,542 new recruits who entered the Police Academy on July 2, 2001, of which 62.6 percent are City residents. This increased the uniformed headcount to 40,729 as of July 2, 2001, enabling the Department to maintain its federal funding.
- In Fiscal 2001 NYPD, in coordination with the New York City Police Foundation, worked directly with the private sector to gain insight in the areas of leadership, customer service and community relations. As a result of this partnership, innovative training for NYPD personnel has begun. Additionally, a collaboration between the Police Foundation and a pharmaceutical company resulted in the development of a training program for first-line supervisors on creating a culture of accountability, leadership and coaching for improving performance. Police Academy staff also attended so that the Department's training could be updated to reflect these new concepts.
- Additional efforts to increase the applicant pool for police officers included extended outreach efforts at New York City college campuses and military installations located in North Carolina, Kentucky and Texas. These outreach efforts were followed by on-site testing administered with the assistance of the NYPD Testing and Research Unit. The Department's Citywide Recruitment and Retention Unit was provided with increased personnel and expanded resources to increase the Department's recruitment efforts, which were refocused to target City residents.
- In Fiscal 2001 the Board of Visitors continues to be used by NYPD as a valuable tool in updating and evaluating the Police Academy and the Department's in-service curriculum. Created in Fiscal 1999, the 17-person Board includes members of the business, legal and academic communities; former high-ranking members of NYPD and community leaders. The Board continues to meet periodically with the Police Commissioner to make recommendations on training issues, including methods of instruction, discipline and morale.
- 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. The Department hired a combined total of 415 cadets and trainees in Fiscal 2001 and plans to hire approximately 600 cadets and trainees in the various programs in Fiscal 2002. Sixty-six cadets were hired during Fiscal 2001.

POLICE DEPARTMENT

COURTESY, PROFESSIONALISM, RESPECT STRATEGY

- In September 1999 the State Regional Community Policing Institute (RCPI) received approval for grant funding for a third fiscal year until September 30, 2000, due in large part to its successful 1998 and 1999 training program, entitled "Streetwise." The grant was used to expand cultural diversity training for recent City Police Academy graduates and field training supervisors. The Institute was granted a 90-day extension for the training until the end of Calendar 2000. In addition to covering Spanish, Haitian, Chinese, African/Caribbean-American, and Russian languages and cultures, this diverse curriculum was expanded in Calendar 2000 to include new curriculum on South Asian cultures such as Indian, Bangladeshi, Sikh and Pakistani communities. RCPI has also included an innovative curriculum on the gay, bisexual and transgender communities in which, for the first time, community trainers joined with Police Department instructors. To develop this curriculum, 16 focus groups were held; eight in relevant communities and eight in designated precincts. Between October 23 and November 17, 2000, over 2,300 police officers from the March and October 2000 police academy classes received "Streetwise" training in one of the seven diversity curricula. In May 2001 an additional 49 members of the service were trained to be "Streetwise" instructors, resulting in a total of 1,100 police academy graduates educated in "Streetwise."
 - In Summer 2000 NYPD received a Cultural Awareness and Diversity Training Program grant through the Bureau of Justice Assistance (BJA) to expand the Department's cultural awareness training. BJA cited NYPD's already-established "Streetwise" training program as the reason for awarding the grant. The grant will be used primarily to expand "Streetwise" into a comprehensive ongoing in-service training program.
- The Department is currently working with its institute partner, the Citizens Committee for New York City, to develop and pilot interactive workshops for young people and police officers. A Police/Youth Team Building Workshop was piloted in Washington Heights in Manhattan between October and December 2000, involving officers from the local precincts and a neighborhood youth group, the Fresh Youth Initiatives. This pilot program, which is designed to foster good community relations and dialogue with youth, was expanded to Crown Heights with the Crown Heights Youth Collective and officers from Brooklyn's 71st Precinct in February and March 2001, respectively.
- NYPD commanding officers are responsible for addressing crime and quality-of-life conditions. In addition, commanders are held accountable for establishing and maintaining positive relationships with the communities they serve. Crucial to the success of this mission is outreach and communication between the commanding officers and members of the community. In Fiscal 2001 NYPD implemented Commanding Officers Meeting Reports to ensure community concerns are addressed and to keep management informed of issues that are important to the community. These reports have been incorporated into the CompStat process to ensure commanding officer accountability.
- In Fiscal 2001 the Community Notification Protocol was developed and implemented to improve information sharing with community leaders and organizations. The protocol requires that community leaders and organizations be informed promptly of local conditions, activities and events of concern to their communities.
- The Model Block Strategy is designed to strengthen, stabilize and eliminate drug and criminal activity on the proposed 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: four blocks have achieved Model Block status and 24 are proposed Model Blocks.

POLICE DEPARTMENT

- During December 2000, five Model Block holiday parties were sponsored by the Deputy Commissioner of Community Affairs. These holiday parties involved Model Blocks in Manhattan and Queens. During these parties nearly 3,000 children from eight Model Blocks received gifts distributed by the Police Department.
- In Fiscal 2001 the Gang Division created a position of Community Relations Sergeant whose duties include conducting presentations on gang awareness and prevention at community-based meetings.
- 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 targeted clergy to distribute information about the fireworks campaign within their communities.

RESPONSE TIME TO CRIMES-IN-PROGRESS

- During Fiscal 2001 average reported response time to crimes-in-progress calls was 10 minutes, 6 seconds, a decrease of 36 seconds, or 5.6 percent, compared to Fiscal 2000. During the same period, the number of radio runs increased approximately 5.6 percent, from 4.1 million during Fiscal 2000 to 4.33 million during Fiscal 2001.
- Average response time to crimes-in-progress calls has been reduced 31 percent, to 8 minutes, 12 seconds for the month of June 2001, compared to 11 minutes, 54 seconds in June 2000.
- During Fiscal 2001 reported response time for critical crimes including robbery, shots fired, burglary and assault with a weapon averaged 6 minutes, a decrease of 24 seconds compared to Fiscal 2000.
- During Fiscal 2001 reported response time for noncritical crimes, including graffiti and automobile stripping, averaged 17 minutes, a decrease of 2 minutes and 12 seconds compared to Fiscal 2000.

ARREST-TO-ARRAIGNMENT

- Average arrest-to-arraignment (ATA) time for Fiscal 2001 was 22 hours, a slight increase from 21 hours, 54 minutes in Fiscal 2000. ATA time begins at arrest and ends at the appearance of an 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, remained the same at an average of 2 hours, 18 minutes during Fiscal 2001 as compared to Fiscal 2000.
- During the reporting period NYPD installed three new LIVESCAN terminals in Housing and Transit locations. These terminals capture digitized fingerprints and interface with State Division of Criminal Justice Services (DCJS) records in Albany. As a result of processing enhancements, in Fiscal 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.

POLICE DEPARTMENT

- 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. By the end of Fiscal 2002 NYPD will equip every precinct, housing police service area and transit district with handheld digital cameras to capture electronic images of suspects.
- In Fiscal 2001 NYPD implemented the use of electronic signature pads for District Attorney affidavits in all precincts in Queens.

PARADE/SPECIAL EVENTS

- During Fiscal 2001 NYPD completed a comprehensive review of its policies and procedures for handling parades and post-parade crowds. As a result of the assessment, the Department has implemented a number of operational and administrative changes for policing these events, such as dispatching 911 calls to parade personnel and providing stricter oversight. The amended procedures were incorporated into the Department manual in April 2001.

CIVILIANIZATION

- Using federal funds provided by COPS MORE, by the end of Fiscal 2000 the Department civilianized all of the planned 500 administrative positions that were staffed by police officers. Those officers whose administrative positions were filled with civilian employees were transferred to enforcement positions. During Fiscal 2001 the Office of Civilianization continued to backfill, track, and update civilian personnel hired under COPS MORE '96 and '98 as well as uniformed personnel transferred to enforcement duties. All Smart II databases were redesigned with updated technology to provide more efficient reporting functions and easier information retrieval to enhance tracking of personnel.

CRIME LEGISLATION

- The Department has supported legislation for a tougher New York State gun law. During Fiscal 2000 a gun law was enacted that requires background checks on prospective purchasers for all sales at all gun shows, bans assault weapons, requires all firearms to be sold with child safety locks, raises the minimum age to 21 to obtain a permit to purchase a handgun, implements a DNA for Handguns program, establishes a gun trafficking interdiction program and directs a study to be done on smart gun technology.
- During Fiscal 2001 the License Division amended its rules. These rules took effect on June 30, 2001 and will improve the operation of the License Division in its regulation of firearms licenses. Some changes include the elimination of target licenses, which closed a loophole preventing licensees from being charged criminally when they carried a handgun on their persons in violation of the rules; the introduction of a gun inspection plan, requiring that every handgun licensee execute a notarized affidavit when they renew their license, listing all handguns they possess, and further be subject to random inspection of their handguns upon renewal; and a strengthening of the rules regulating the transport of weapons in New York City. The changes also reflect the incorporation of applicable laws such as the City's gunlock law, modern disability law, and the federal prohibition on gun possession for those who are convicted of misdemeanor crimes of domestic violence. These changes will articulate clear standards for the application, suspension and revocation of licenses.

POLICE DEPARTMENT

- The Department has advocated a bill to expand DNA testing. During Fiscal 2000 a bill was signed that expanded the DNA sample pool to include a sample from any person who is convicted of a violent offense as defined in Section 70.02 of the New York State Penal Law. Offenses include, but are not limited to: murder; manslaughter; rape/sodomy; kidnapping; arson, second degree; burglary; robbery, second degree; assault, second degree; criminal possession of a controlled substance, second degree; grand larceny, property taken from the person; and all criminal sales of a controlled substance. This legislation also applies retroactively to all inmates currently serving a sentence for any of the aforementioned violent crimes, and it applies prospectively for those convicted of nonviolent crimes. Under this law, the offender must “provide a sample appropriate for DNA testing” that includes, but is not limited to, submitting to a blood test.

HEALTHSTAT

- In April 2000 the Mayor created HealthStat, a comprehensive citywide initiative to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor’s Office of Health Insurance Access, over 20 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 150,000 individuals have been enrolled in public health insurance programs.
 - In Fiscal 2001 NYPD assisted the Mayor in his challenge to provide health insurance to all eligible children by embarking on a multifaceted HealthStat campaign. On October 4, 2000 the Police Commissioner distributed a departmentwide order to describe the citywide HealthStat initiative to all NYPD personnel. Promotion of the HealthStat initiative is directed in all public interactions including patrol, community affairs, domestic violence, crime prevention, youth programs and other contacts with the community (i.e. complainant walk-ins to the station house).
 - The NYPD HealthStat initiative was expanded to include all patrol precincts, transit districts and housing police service areas. Other Department units participating in HealthStat include Traffic Control Division, Applicant Processing Division, Special Operations Division Homeless Outreach Unit, Criminal Justice Bureau, Auxiliary Force Section and the Police Cadet Corps. HealthStat statistics are reported daily to the Office of the Chief of Patrol. In all cases, families indicating an interest in children’s health insurance are referred to convenient community-based enrollers.
 - On April 9, 2001, the Police Commissioner distributed a follow-up departmentwide order to expand the focus of the citywide HealthStat initiative to include hosting HealthStat enrollment events to directly enroll the city’s children into Child Health Plus. A HealthStat event protocol booklet was developed and distributed to all commands in June 2001.
- NYPD has an Adopt-A-School program furthering the Department’s commitment to the welfare of our City’s children. Two of its adopted schools, PS 86 in the 107th Precinct and PS 130 in the 5th Precinct, partnered to host HealthStat enrollment events. On June 28, 2001 both schools received the Mayor’s Incentive Award of \$25,000 for enrolling 70 percent of their eligible children into Child Health Plus.
 - Since the inception of HealthStat, NYPD has referred 11,168 families to community-based organizations and Health Care Enrollers. During Fiscal 2001 NYPD has hosted a number of events resulting in the enrollment of many children into Child Health Plus. Many of the events included partnerships with other City agencies, such as the Department of Parks and Recreation, the Department of Correction and the Department of Health (DOH).

POLICE DEPARTMENT

- Most recently, NYPD has partnered with a pharmaceutical company and DOH to conduct community outreach for health education and to facilitate HealthStat enrollment.

CUSTOMER SERVICE

- The Department's strategy, published in "Policing NYC: 2001," established three priorities for NYPD. The three main goals are to continue crime reduction, improve community relations and increase the morale of Department members. In order to attain the goal of improved community relations, NYPD has adopted a Customer Service Model of policing, in which success is measured in terms of community satisfaction. The Customer Service Model requires every command to provide professional and courteous service to the public. All NYPD personnel are being held to the highest standards with related Quality Assurance Division testing.
- In November 1999 the Department held a Precinct Community Council (PCC) symposium at the Borough of Manhattan Community College. The new PCC rules and regulations, which went into effect January 2000, were given to all PCC presidents in attendance. PCCs, which are comprised of precinct residents and business owners, meet once a month with key precinct personnel to discuss crime prevention and local quality-of-life concerns. Ongoing meetings are held by members of the various PCC executive boards and presidents during each month to discuss issues such as rules, regulations and advertising to increase Council membership. In June 2000 the City Council provided funding to increase membership and attendance and to enhance police, community and youth relations. In July 2000, under the direction of the Office of the Deputy Commissioner for Community Affairs, Council presidents were notified of the funding. As a result, 83 of the 86 PCCs applied for and individually received a grant from the City Council.
- 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 Fiscal 2001 the NYPD Detective Bureau's Crime Stopper unit received 13,902 calls at its 1-800-577-TIPS hotline; cleared 143 violent felony crime complaints, including 26 homicides; made 108 arrests; and authorized the payment of \$76,900 in rewards. In Fiscal 2000 the unit received 17,502 calls; cleared 168 violent felony crime complaints, including 30 homicides; made 99 arrests; and authorized the payment of \$62,750 in rewards.

TECHNOLOGY

- NYPD's Web pages 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 3,762,350 views during Fiscal 2000 to 5,418,951 views during Fiscal 2001.
- In June 1999 NYPD established 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 Fiscal 2001, 1,256 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.
- The Department is in its final stages of negotiations with prospective Computer Aided Dispatch (CAD) system vendors. When completed, the CAD system will be installed in Public Safety Answering Centers I and II. It is anticipated that a CAD system vendor will be selected before the end of Calendar 2001.

POLICE DEPARTMENT

- The Police Department's second Public Safety Answering Center (PSAC II) project is currently in the last stage of schematic design. Construction will begin at 109 Park Row in Manhattan on September 13, 2001, with substantial completion slated for June 2005.
- In Fiscal 2001 the Department introduced a wireless handheld computer device about the size of a standard pager, weighing only four ounces and worn on an officer's gun belt. This miniature computer device contains a modem and keyboard, and information is displayed on an LCD screen. This device has the same functionality as its larger Mobile Data Terminal counterparts that is used in Department vehicles. The project was conceived with the goal of providing police officers and investigators with real-time access to critical investigative information while performing field duties. With 30 devices distributed during Fiscal 2001, the pilot project has proven itself worthy in assisting officers in performing investigations and making arrests.
- 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 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). 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, in compliance with the Electronic Records and Signature Act (ESRA). This statute sets the legal standard governing digital signatures in the State of New York for government transactions. It is anticipated that Phase I of the project (which involves a pilot period to evaluate the effectiveness of the system) will begin in Fall 2001, and Phase II (full implementation and large-scale use) will begin by January 2002.
- To address the ever-increasing demand to collect and analyze DNA evidence, NYPD and the Office of Chief Medical Examiner (OCME) started a two-phase plan to expand the capacity of OCME to conduct such analysis in Fiscal 2001. The first phase, construction of a high sensitivity DNA laboratory that will be used to analyze DNA evidence collected from primarily property-related crime scenes, such as burglary, robbery and grand larceny motor vehicle, started in August 2000 and is scheduled for completion in Spring 2002. Current analysis is limited to DNA evidence collected from the scenes of sexual assaults and homicides. The second phase, which involves the construction of a state-of-the-art, high-capacity DNA laboratory, is scheduled to start in October 2001 with completion in Fall 2004.
 - In the first quarter of Fiscal 2001 the Department received a State grant to develop a state-of-the-art, top-down training initiative regarding the recognition, collection and preservation of DNA evidence at crime scenes. In addition to imparting a functional expertise to all NYPD personnel regarding DNA evidence and sample collection, this program has served as a model for other law enforcement agencies to emulate as the use of DNA evidence and sampling intensifies throughout the world.
 - NYPD will continue its efforts to increase the use of DNA evidence to solve crimes. During Fiscal 2001 NYPD coordinated DNA analysis of its rape kits and continues to advocate expanding the DNA databanks to include all those arrested for a fingerprintable offense.

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Department's expenditures were \$3.42 billion, compared to its plan of \$3.40 billion; headcount was 48,004, compared with its plan of 48,461. The Department's Fiscal 2000 expenditures were \$3.2 billion, and headcount was 49,269.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$3.29 billion and a planned headcount of 49,296.

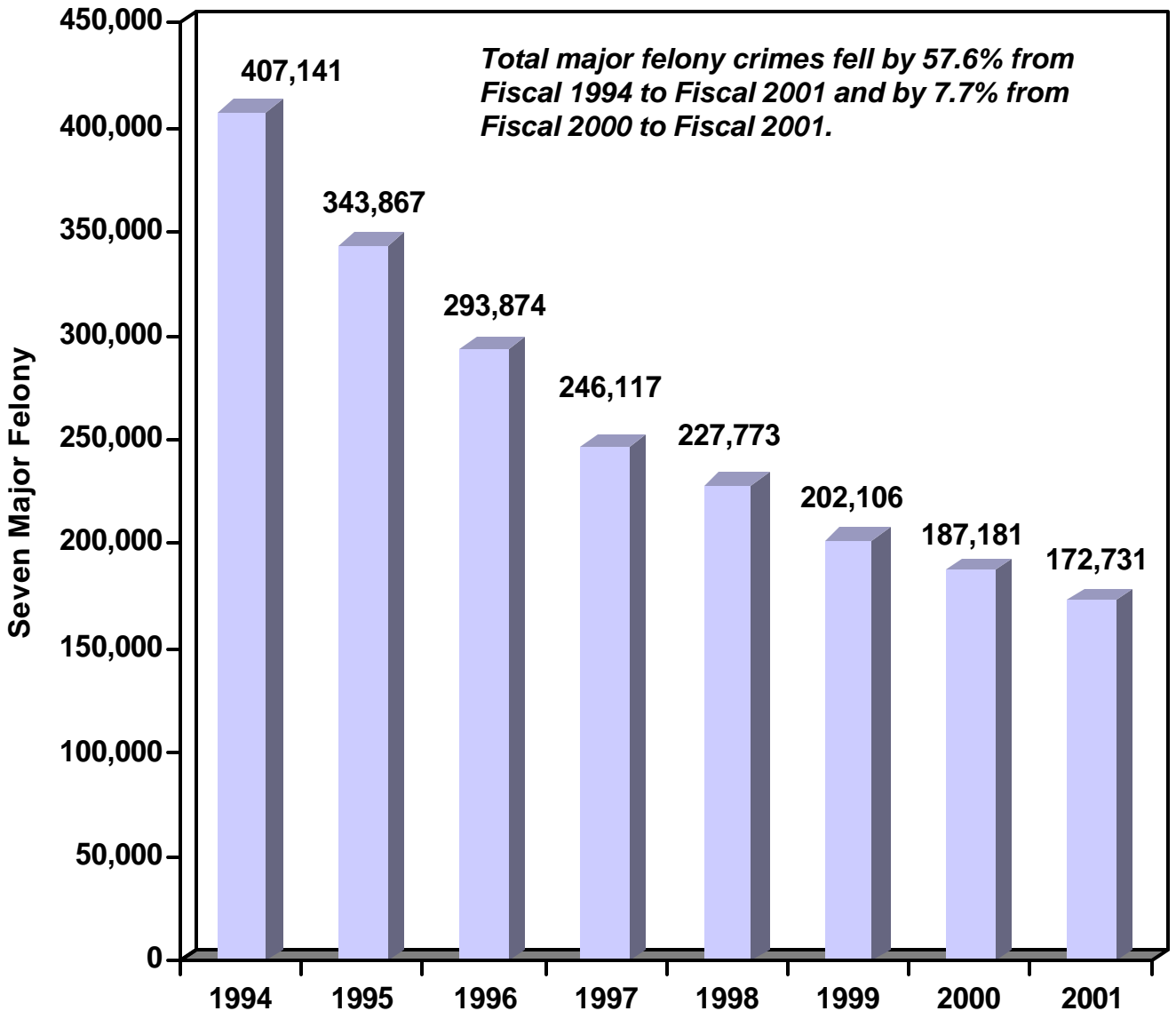
POLICE DEPARTMENT

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001
CPR Strategy – Total Tests Conducted	3,428	7,053	6,390	6,363	7,297
Average Vehicle Speeds Midtown Avenues (MPH)	7.6	8.4	8.2	8.1	10.2
Major Felony Crimes Total	246,117	227,773	202,106	187,181	172,731
Murder & Non-Negligent Manslaughter	829	673	661	671	626
Forcible Rape	1,993	1,996	1,653	1,462	1,398
Robbery	45,162	41,792	37,514	34,045	29,787
Felonious Assault	30,214	29,549	27,676	25,656	24,799
Burglary	57,181	52,053	43,751	39,176	34,968
Grand Larceny	56,619	53,500	50,812	48,818	48,747
Grand Larceny Motor Vehicle	54,119	48,210	40,039	37,353	32,406

New York City Police Department

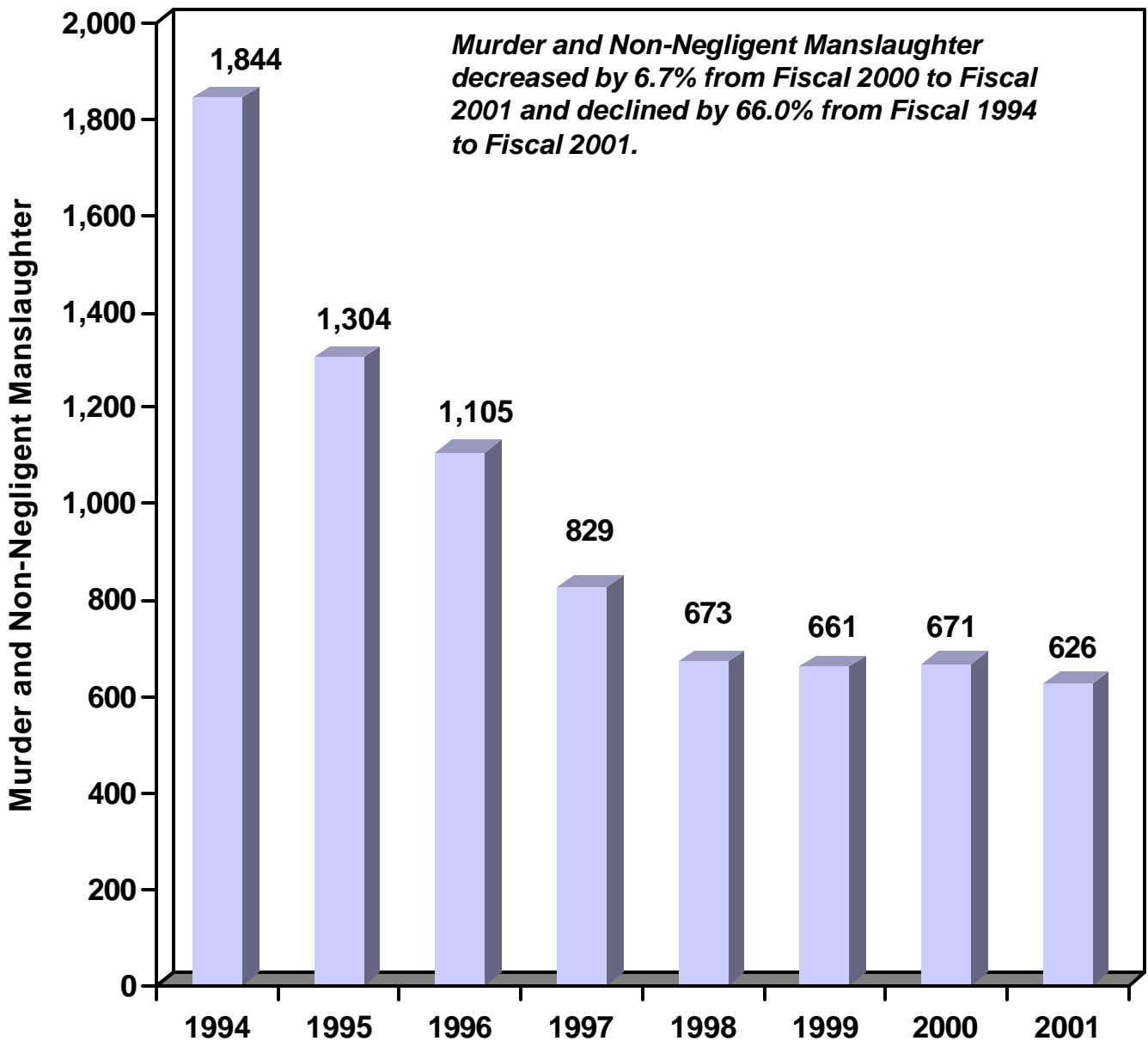
Seven Major Felony Categories* Fiscal 1994-2001



*Murder, Robbery, Rape First Degree, Felonious Assault, Burglary, Grand Larceny, and Grand Larceny Auto.
Figures are based on preliminary data.

New York City Police Department

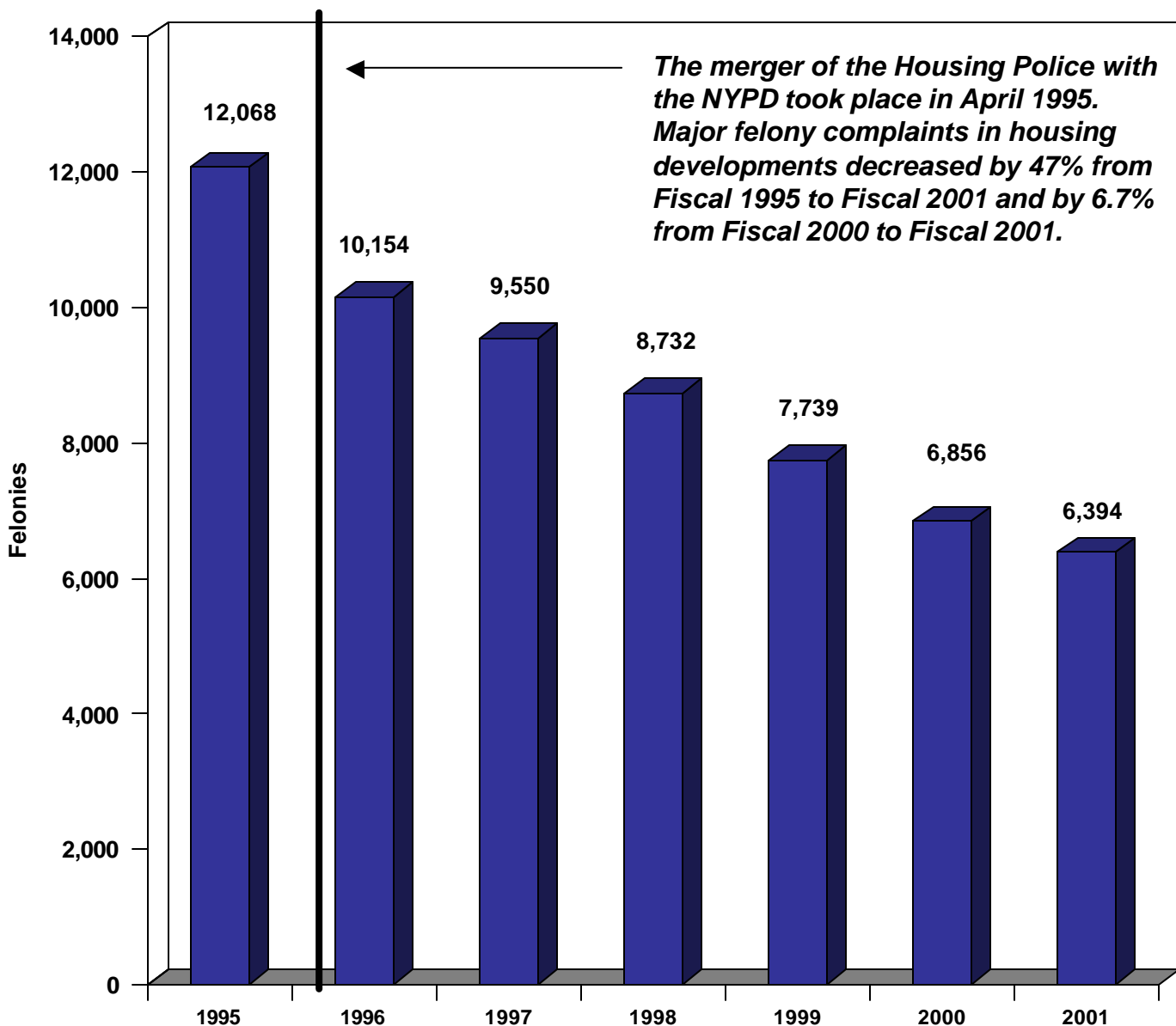
Murder and Non-Negligent Manslaughter Fiscal 1994-2001



Figures are based on preliminary data.

New York City Police Department

Crime in Housing Developments Seven Major Felonies* Fiscal 1995-2001



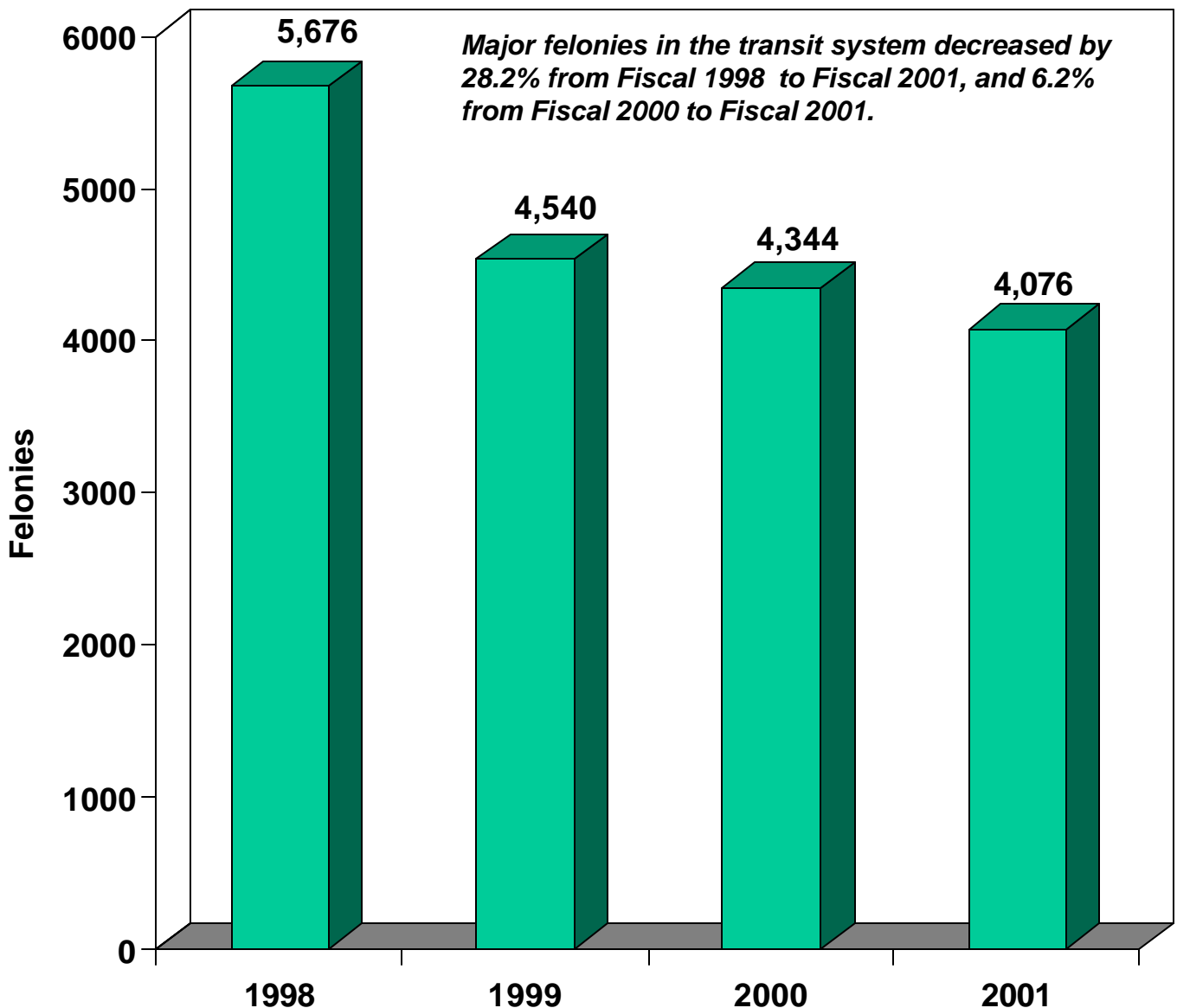
The merger of the Housing Police with the NYPD took place in April 1995. Major felony complaints in housing developments decreased by 47% from Fiscal 1995 to Fiscal 2001 and by 6.7% from Fiscal 2000 to Fiscal 2001.

*Murder, Robbery, Rape First Degree, Felonious Assault, Burglary, Grand Larceny, and Grand Larceny Auto.

Figures based on preliminary data.

New York City Police Department

Crime in the Transit System Major Felonies* Fiscal 1998-2001

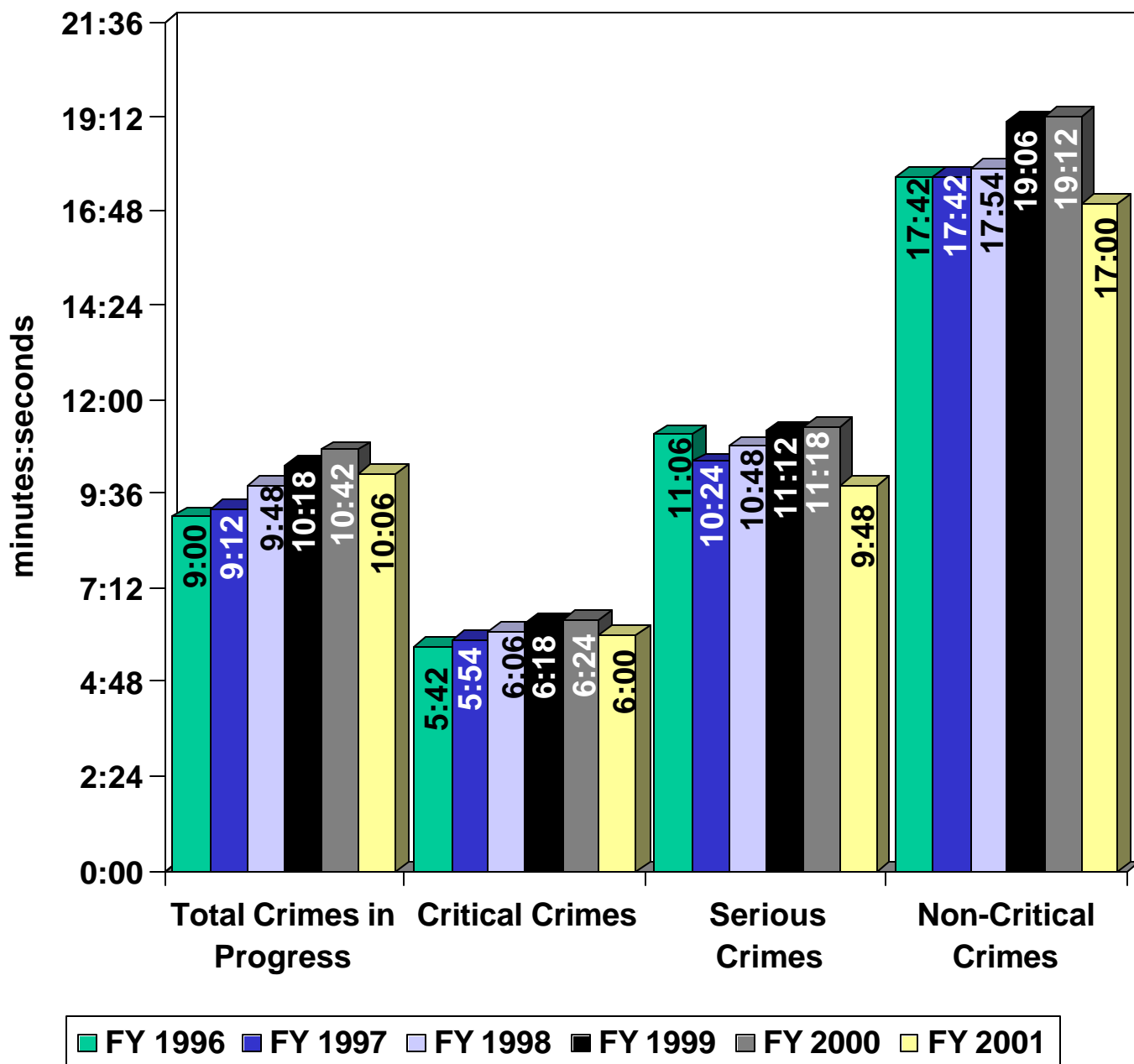


*Murder, Robbery, Rape First Degree and attempts, Felonious Assault, Burglary, and Grand Larceny.

Figures based on preliminary data.

New York City Police Department

Average Response Time to Crimes in Progress Fiscal 1996-2001



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	FY 01 Actual	FY 02 Plan
Maintain an average response time to structural fires of under 5 minutes in all five boroughs.	3:50 to 4:47	Under 5 minutes

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

Objective	FY 01 Actual	FY 02 Plan
Maintain an average response time to life-threatening incidents by Certified First Responder-Defibrillation Units of under 5 minutes in all five boroughs.	4:00 to 4:42	Under 5 minutes

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

Objective	FY 01 Actual	FY 02 Plan
Achieve a 7-minute, 16-second Emergency Medical Service average response time to life-threatening Segments 1-3 incidents.	7:04	7:16
Achieve a 10-minute-or-less Emergency Medical Service Advanced Life Support unit response to 90% of Segments 1-3 incidents.	54%	90%
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.	60%	90%
Achieve a 10-minute-or-less Emergency Medical Services Basic Life Support unit response to 90% of non-life-threatening Segments 4-8 incidents.	72%	90%
Reduce the number of ambulance accidents per 10,000 ambulance runs to 6.5 or fewer.	9.2	6.5

FIRE DEPARTMENT

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

Objective	FY 01 Actual	FY 02 Plan
Conduct 62,000 building inspections throughout the five boroughs by the Apparatus Field Inspection Duty units.	68,021	62,000
Conduct 4,100 fire safety education presentations throughout the five boroughs.	3,357	4,100
Conduct 203,400 fire prevention inspections.	210,904	213,000
Conduct an ongoing citywide fire prevention campaign.		

HIGHLIGHTS AND ACHIEVEMENTS

RESPONSE TO FIRES

- During Fiscal 2001 there were 28,459 structural fires in the City, a 3 percent decrease compared to 29,281 structural fires in Fiscal 2000.
- The Fire Department of the City of New York (FDNY) average response time to structural fires, expressed in minutes and seconds, was 4:16 during the reporting period. This is a 2 percent decrease compared with 4:20 in Fiscal 2000.
- During the reporting period there were 29,889 nonstructural fires, a 4 percent decrease compared to 31,058 nonstructural fires in Fiscal 2000.
- Average response time to nonstructural fires was 4:44 during Fiscal 2001. This is a decrease of 3 percent compared with 4:53 in Fiscal 2000.
- During Fiscal 2001 there were 107 civilian fire fatalities, compared with 133 civilian fire fatalities in Fiscal 2000.

RESPONSE TO MEDICAL EMERGENCIES

- There were 1,091,343 Emergency Medical Service (EMS) incidents during Fiscal 2001, compared with 1,064,591 incidents during Fiscal 2000, an increase of 3 percent.
- During Fiscal 2001 there were 386,680 Segments 1-3 life-threatening medical emergencies (such as cardiac arrest and major trauma), compared to 388,760 during Fiscal 2000, a decrease of 1 percent.
- In Fiscal 2001 the average EMS response time to Segments 1-3 incidents was 7:04, compared to 7:48 during Fiscal 2000, a 9 percent decrease.
- During the reporting period the Certified First Responder-Defibrillation (CFR-D) unit average response time to Segments 1-3 incidents was 4:15, a 5 percent decrease compared to 4:28 during Fiscal 2000.
- EMS and CFR-D combined average response time to Segments 1-3 incidents was 6:00 during Fiscal 2001. This is a decrease of 37 seconds compared with Fiscal 2000, and a decrease of 2 minutes, 47 seconds compared to Fiscal 1995, the year before the merger of EMS and the Department.

FIRE 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 PHASE II project. PHASE II 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 (CFR-Ds).
 - PHASE II will have 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 conduct a parallel pediatric study to evaluate out-of-hospital cardiac arrest in children. In addition, PHASE II will also gather information for three future projects that might play a role in the chain of survival for cardiac arrest. These future projects will focus on the placement of Automatic External Defibrillators (AEDs) throughout the City; the start of a national multicenter clinical trial of Public Access Defibrillation (PAD); and the implementation of Operation Heartbeat, an American Heart Association nationwide public education program.
 - 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 accomplish PHASE II. This study has been awarded over \$1 million for research funding, including a grant from the American Heart Association.
- In Fiscal 2001 the Department designed, tested and implemented a new call-receiving protocol to prioritize stroke calls from patients who have a very narrow window of opportunity for aggressive pharmacological intervention in the emergency department. By providing a higher priority 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.
- During Fiscal 2001 the Department entered into contract with the 28 voluntary hospitals in the 911 system. A contract is mandatory for any voluntary hospital to participate in the system. The contract covers requirements for service operation, performance measures, responsibilities and quality assurance oversight by the Department. All 28 voluntary hospitals that are currently in the 911 system have signed the contract. The contracts will be renewed every two years from the date of expiration.

RESPONSE TO NONFIRE AND NONMEDICAL EMERGENCIES

- During the reporting period there were 175,265 nonfire and nonmedical emergencies, compared with 174,620 such emergencies during Fiscal 2000, less than a 1 percent increase.
- Average response time to these emergencies decreased from 5:21 during Fiscal 2000 to 5:13 during Fiscal 2001, a 2 percent decrease.
- The number of malicious false alarms decreased by 8 percent, from 58,806 in Fiscal 2000 to 54,206 in Fiscal 2001. Malicious false alarms have decreased 64 percent since Fiscal 1993.

FIRE DEPARTMENT

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 goals within the Department. 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.

DISPATCH/COMMUNICATIONS

- The Fire Department is in the design phase of a project to rehabilitate the physical plants of the existing five borough communications offices and replace and upgrade its emergency communications systems. This project will also 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, the Bronx and Staten Island in Spring 2002 and will be completed by Fall 2003. Phase II, which encompasses Manhattan and Brooklyn, will begin construction upon completion of Phase I in Fall 2003 and be completed by Spring 2004. The communications systems phase will begin shortly after structural and systems work is complete.

NEW AMBULANCE SUPPORT STATIONS

- In Fiscal 2001 the Fire Department began construction of two new ambulance support stations: Bathgate and University Heights in the Bronx. The Department anticipates substantial completion of both facilities by December 2001. Design and Land Use Review are currently underway for a new combined Fire/EMS facility in the Rockaway section of Queens; construction is expected to begin in late Fiscal 2002. The design process is currently underway for the Springfield Gardens site in Queens and the design for the facility to be located on the campus of Queens General Hospital began in August 2001. The renovation of the existing Maspeth facility on 52nd road in Queens is expected to commence in early Calendar 2002. The design phase is in progress for two new support stations in Brooklyn: Kings County Hospital and Brooklyn Heights. The designs for both stations will be completed by Fall 2001, with construction anticipated to begin in Calendar 2002. In addition, the Department of Citywide Administrative Services will be entering into contract on a new ambulance support station in the Greenpoint section of Brooklyn. During Fiscal 2001 DCAS had anticipated entering into contract on a new facility in the New Lots section of Brooklyn. However, due to a need for additional environmental testing of the site, the acquisition of the New Lots facility will occur in Fiscal 2002.

AMBULANCE BILLING AND COLLECTION

- In Spring 2001 the Department released a Request for Proposals (RFP) to obtain a vendor that will process all ambulance service billing and collections. The responses were returned and the contractor selection will take place in September 2001. The contract will be put into place by the end of Calendar 2001.

FIRE DEPARTMENT

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. Construction for Engine Company 282 in Brooklyn will begin in December 2001, and is expected to be completed in December 2002. The design phase for Engine Company 1 in Manhattan began in January 2001 and construction is slated to begin in February 2002. Engine Company 1 is expected to be completed by February 2003. Ladder Company 25 in Manhattan is slated to begin construction in February 2002, with completion expected in February 2003.
- 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, with completion to occur in Summer 2003.
- The Department opened a bid to paint all alarm boxes in the City. FDNY completed reviewing bids and the chosen vendor commenced work in Spring 2001. As of June 2001, 3,000 alarm boxes were painted.

WELLNESS/FITNESS INITIATIVE

- In Fiscal 2001 the Department developed a comprehensive Wellness/Fitness initiative. This initiative was created as part of a commitment to maintaining an annual medical exam 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.
 - 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 of all “stations” 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 the member is using 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.

FIRE DEPARTMENT

- 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 at Education Day, the Bureau of Health Services has the opportunity to 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 is currently working toward an electronic transfer of blood result data from the laboratory. 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 and will be completed in December 2001.

DEPARTMENT OF BUILDINGS/FDNY MERGER

- In June 2001 the Enforcement Division of the New York City Department of Buildings (DOB) was relocated to the Fire Department's headquarters at 9 MetroTech in Brooklyn. DOB's Enforcement Division will work closely with the Fire Department's Bureau of Legal Affairs staff, as well as with the DOB Deputy Commissioner for Inspections and Enforcement. To date, efforts have been undertaken to address areas of mutual concern, including Environmental Control Board issues, audit and certification of correction procedures, and computerized record keeping.

COMMUNITY SERVICE INITIATIVES

- During Fiscal 2001 the Department conducted 3,357 fire prevention and public safety presentations, a 15 percent decrease from 3,940 fire prevention and public safety presentations conducted during Fiscal 2000. In Fiscal 2000 the Department instituted a special program, Operation Firestop due to the increased number of fatal fires that occurred early in Calendar 2000. This initiative resulted in more presentations during Fiscal 2000 than normally anticipated.
- In Fiscal 2001 the Department made 60 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.
- During Fiscal 2001 the Department distributed 7,025 smoke detectors and 5,560 batteries to residents in high fire-fatality communities.
- The Department, in conjunction with the Fire Safety Education Fund, a nonprofit foundation, designed a fire safety learning center, which was completed in October 2000. The FDNY Fire Zone, 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 exhibits, including 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.

FIRE DEPARTMENT

- The FDNY Fire Zone has been featured on three local news programs in Fiscal 2001. Since opening, almost 10,000 people have experienced the Fire Zone first hand, including over 4,800 children, teachers and parents from over 100 New York City schools and community organizations.
- The Fire Zone stirred interest from fire departments around the country, including Maryland, California, Florida and Long Island, who are using the Fire Zone as a model to improve their own fire safety programs. In addition, the National Safe Kids Campaign has endorsed the fire safety curriculum taught at the Fire Zone.
- In Spring 2000 the Mayor, the Staten Island Borough President and the Fire Commissioner unveiled plans 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, lags behind the citywide average in fire response time and is experiencing a steady increase in EMS call volume. The land use review process that began in Summer 2000 is now completed and the Department expects to begin construction in September 2001. The combined facility is expected to be completed by Spring 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. In August 2001, 36 Cadets graduated from the February 2001 class and will begin working in the field as EMTs. In October 2001 a new class of 70 Fire Safety Cadets will begin training. Both groups will be eligible to take the upcoming Promotion to Firefighter Exam; filing for the exam will occur in Fall 2001.
 - 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, anaerobic and strength training, as well as including practice runs on actual test events.
- In April 2000 the Mayor created HealthStat, a comprehensive citywide initiative to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, over 20 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 150,000 individuals have been enrolled in public health insurance programs.
 - The Fire Department, in conjunction with the Fire Safety Education Unit, is educating 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. The Department's innovative approaches to continue its public education activities in conjunction with HealthStat include 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, 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.
 - In addition, as of Fall 2001, the Department will issue HealthStat health insurance cards in English and Spanish to all Emergency Medical Service Command and Voluntary Hospital Units. These cards will provide detailed information to uninsured individuals on how to obtain low-cost medical insurance for their 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. There has been progress on several initiatives during the reporting period, including the ongoing development of a Leadership Management Academy to better train firefighters, EMS personnel and civilian managers. In addition, an administrative center that will more efficiently integrate and provide support services to FDNY instructional and educational services is currently undergoing renovation at Fort Totten in Queens and will be ready for occupancy in late Calendar 2001.
 - Relationships with numerous metropolitan-area colleges and universities continue to develop. Some of the benefits for FDNY employees interested in furthering their education include tuition discounts, Web-based coursework, streamlined admissions procedures and transfer policies that include college credits for FDNY training. In addition the Department has begun to develop training partnerships with numerous agencies and Fire and Public Safety departments both nationwide and globally. To further enhance educational opportunities the Department is committed to the recruitment of nationally recognized educational leaders to assist in the continuation of planning and development.
- 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. This catalog, along with the Web-based companion, will offer a full description of all Department courses, related educational opportunities, and financial aid and scholarship information. During Fiscal 2002 the Department will continue to refine current courses as well as to develop a wider range of new courses whenever the need arises.
- The Promotion to Firefighter exam, originally scheduled for Spring 2001, has been postponed until December 2001, pending the New York State Civil Service Commission's determination of the City's request for the noncompetitive status of the title, "Fire Safety Cadet."

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 150,000 certificate holders. In January 2001 FDNY received approval of budgetary funds to allow approximately 150,000 certificate holders to renew their COFs via the Internet. The Committee recommended that FDNY prepare a proposal to include both badging for current certificate holders and plans to allow renewals via the Internet. After the proposal is finalized in October 2001, the Department will be able to bid for final design development and implementation of the new project.
- The Technology Steering Committee is also funding 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. Originally slated to begin in January 2001, firefighters will now be trained to use the new fire reporting system in October 2001. This application will allow firefighters to electronically enter fire reports into a centrally located system. This system will help to create a secure, reliable database for the Department. In addition, the Department began work on Internet access of fire reports for the public; public access will take approximately one year from the time the training is complete.

FIRE DEPARTMENT

- In order to enhance the use of instructional facilities as well as online learning, in Fiscal 2001 the Department introduced a variety of new initiatives including a new comprehensive computer training program and distance learning opportunities for all training activities at the Department's Leadership Academy; online registration for training courses with electronic mail confirmations; an improved scheduling system that will allow the Department to utilize 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.
- The automation of Ambulance Call Reports (ACRs) using mobile data terminals has been postponed in anticipation of a scanable ACR project that will begin in September 2001. The new scanable ACR will capture vital information and incorporate data into the FDNY Enterprise Data Warehouse. If successful, this additional program can act as a backup to the handheld mobile data terminals or can be used alone if necessary.
- 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 (AVL) 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 anticipates choosing a vendor by Fall 2001 with a contract to be put into place by the end of Calendar 2001. In addition, the Department is in the process of developing an RFP to obtain a vendor that will provide an AVL system that will be integrated into CAD. The Department hopes to procure an AVL system in Spring 2002.
- The Department has been funded to purchase infrared cameras. These cameras will assist firefighters by pinpointing the source of the fire, and alerting firefighters to the location of people in the building. To date, 159 infrared cameras have been purchased and distributed to field units.
- During Fiscal 2001 page views of the Department's home page on NYC.GOV, the City's official Web site, increased from 1,060,642 views in Fiscal 2000 to 1,288,721 in Fiscal 2001.

BUDGET HIGHLIGHTS

- During Fiscal 2001 the Department's expenditures were \$1.1 billion, the same as planned; headcount was 15,642, compared with its plan of 15,703. The Department's Fiscal 2000 expenditures were \$1.1 billion, and headcount was 15,987.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$1.1 billion and a planned headcount of 16,015.

FIRE DEPARTMENT

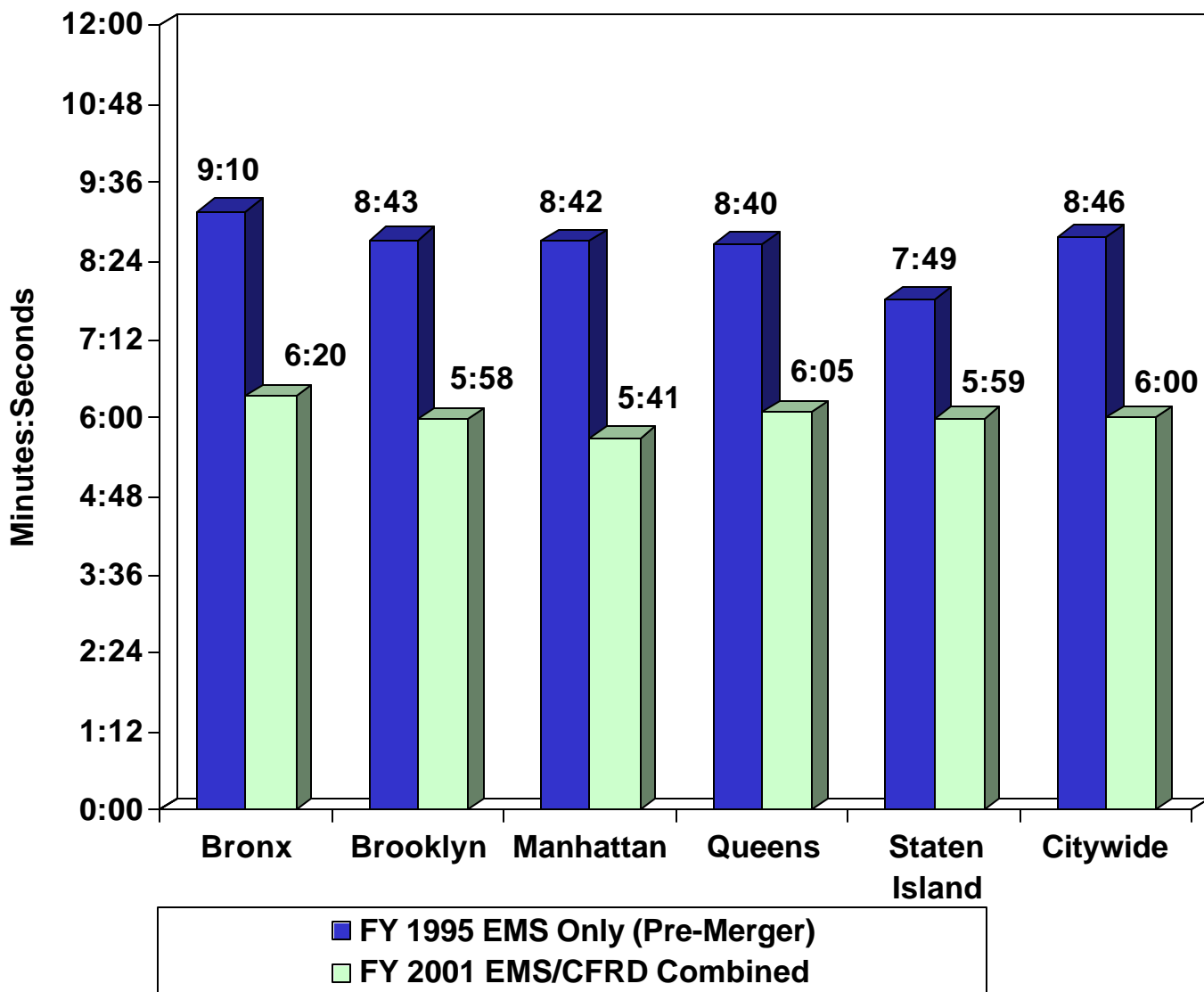
LONG-TERM TRENDS IN AGENCY OBJECTIVES

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

- (a) The February 1996 Memorandum of Understanding between the Mayor and the City Council sets a goal of 90 percent for this indicator; attainment of these goals is long term and contingent on the construction of ambulance stations.

Fire Department

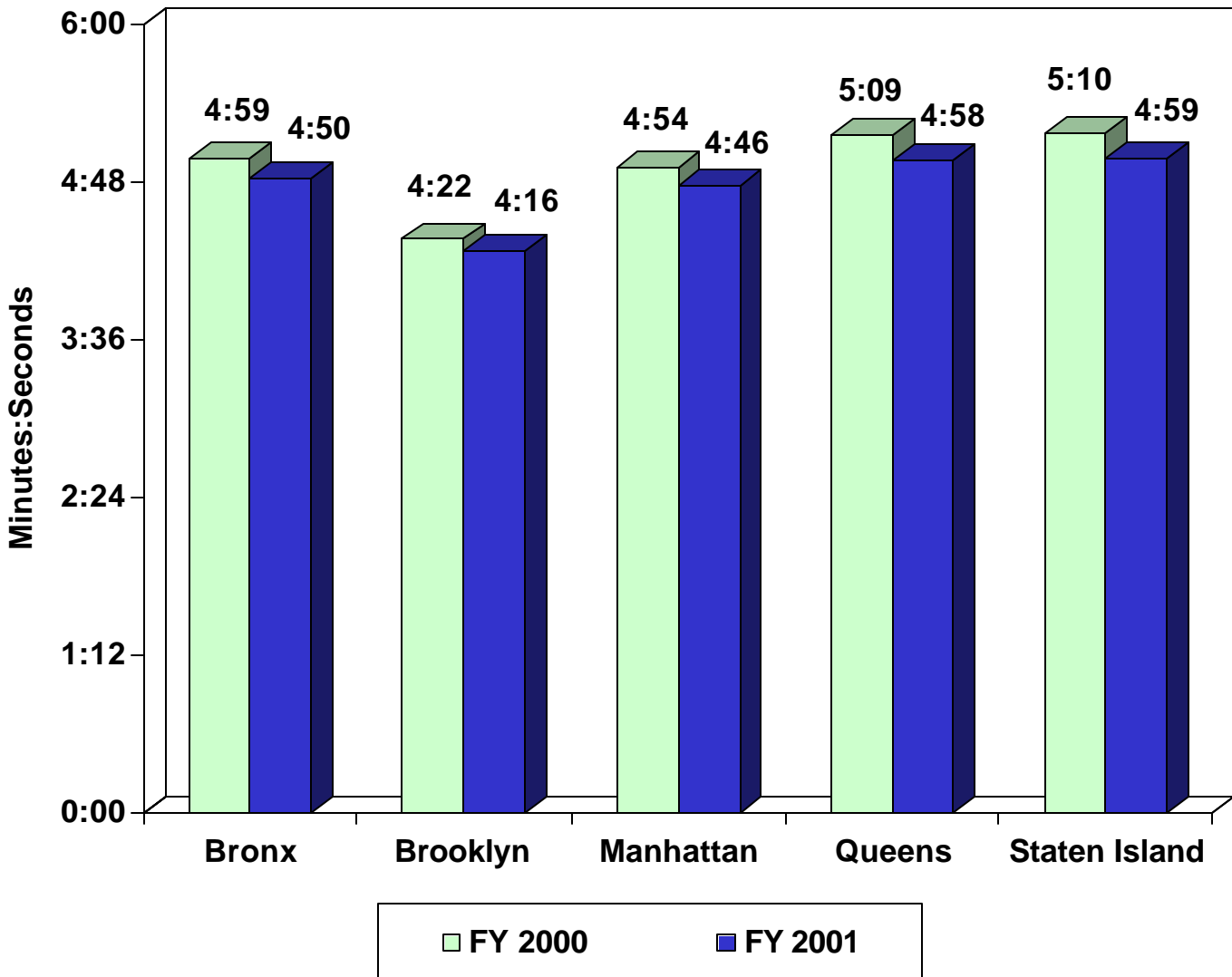
Response Time to Segment 1-3* Life-Threatening Medical Emergencies (Combined EMS/Fire) by Borough Fiscal 1995 (Pre-Merger) vs. 2001 (Combined EMS/CFR-D)



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

Fire Department

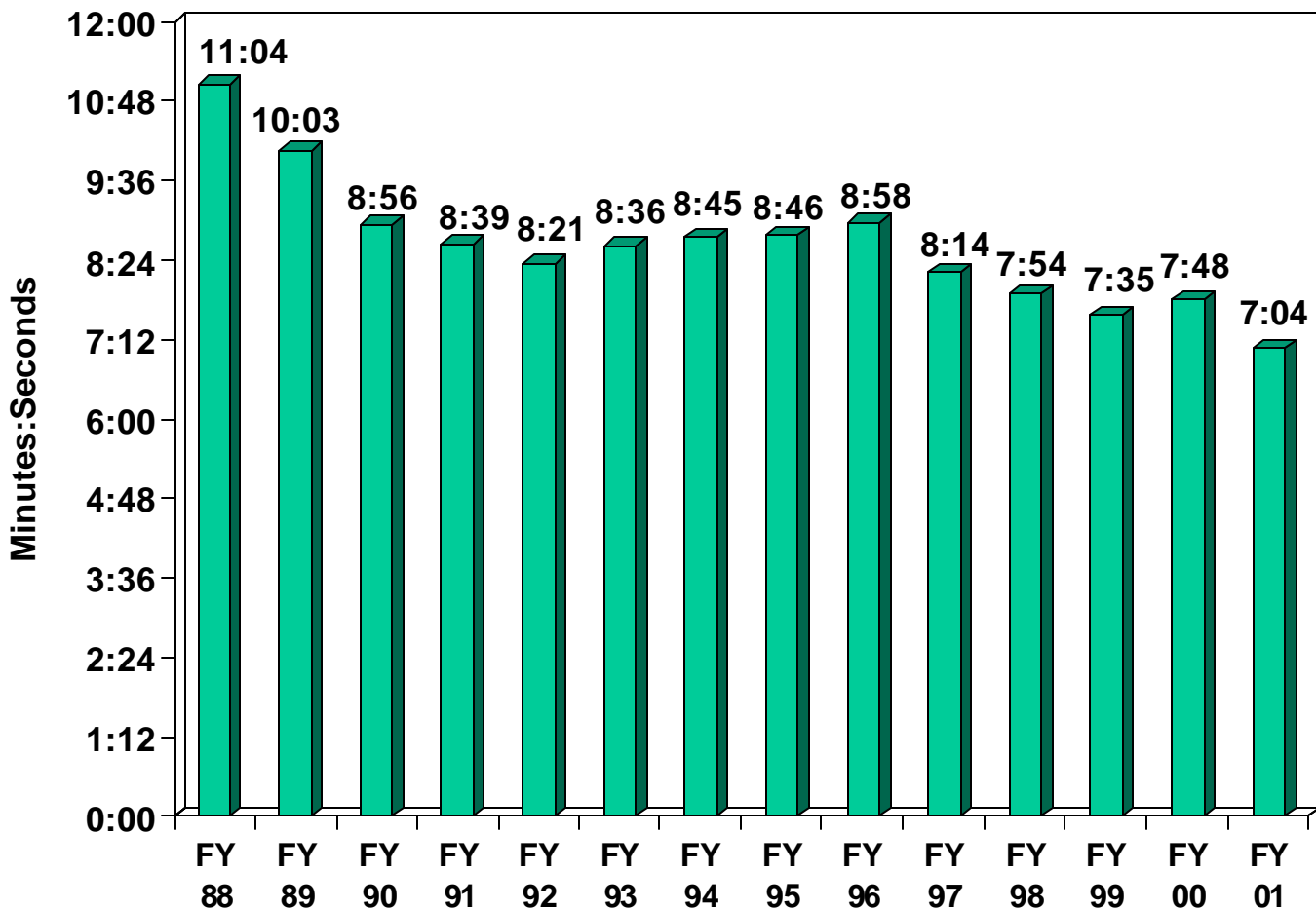
Average Response Time by Fire Units Only to All Emergencies by Borough Fiscal 2000-2001



Fire Department

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

EMS Units Only
Fiscal 1988-2001

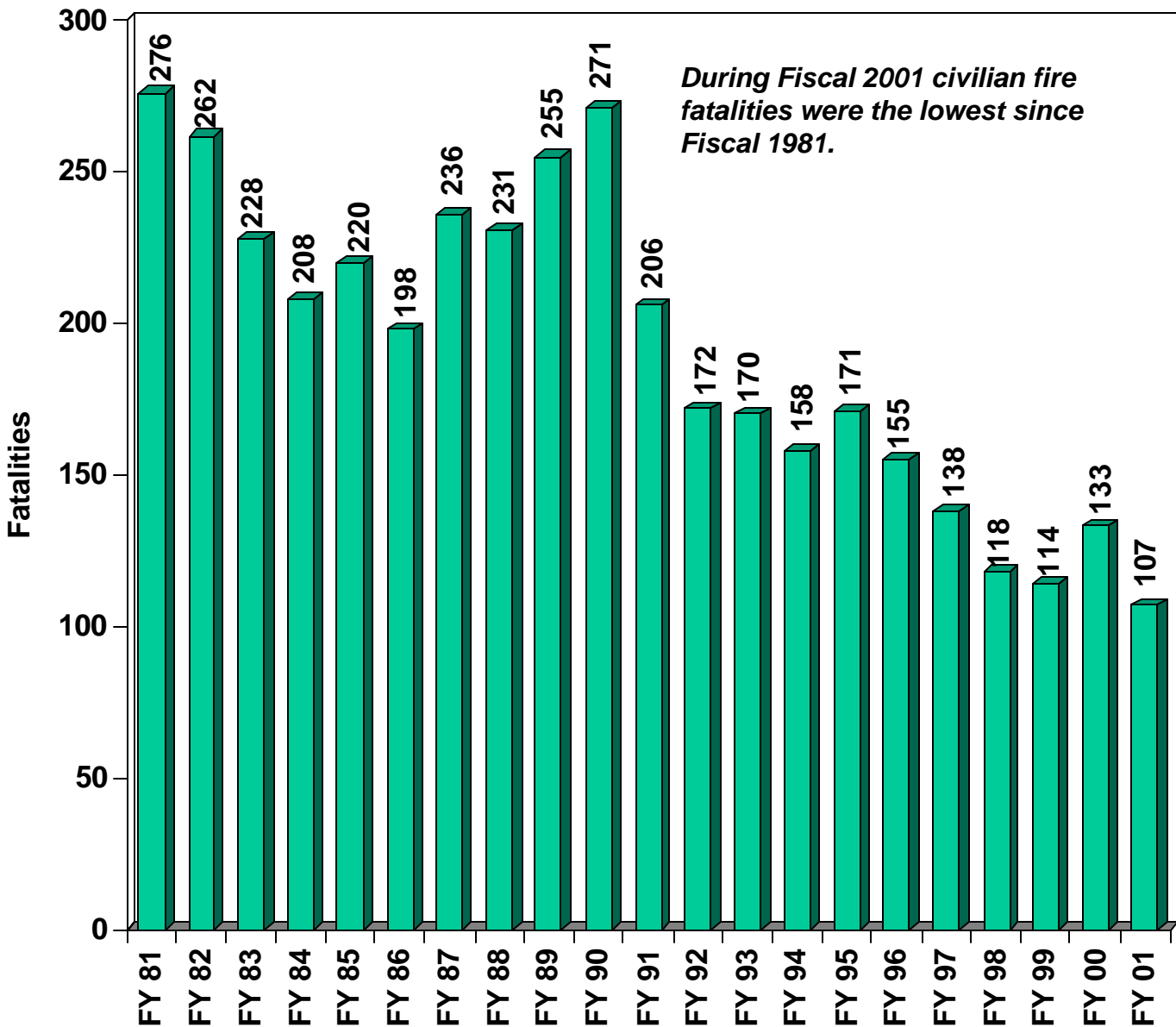


No comparable data prior to Fiscal 1988.

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

Fire Department

Civilian Fire Fatalities Fiscal 1981-2001



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 and mental health care, opportunities for religious observance, educational instruction, vocational training and substance abuse counseling are provided. 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	FY 01 Actual	FY 02 Plan
House the inmate population at between 96% and 100% of available capacity.	97.7%	96%-100%
Achieve an overall on-time delivery rate of 83% for inmates who are scheduled for court appearances.	89.5%	83%
Conduct a minimum of 1,470 scheduled and 10,000 random weapons searches each month to reduce the incidence of inmate violence.	1,444 Scheduled 24,020 Random	1,470 Scheduled 10,000 Random
Maintain at 1% or lower the number of jail cells systemwide that are unavailable due either to damage by inmates or to nonroutine maintenance.	<1%	1%

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

Objective	FY 01 Actual	FY 02 Plan
Achieve an average daily attendance of 1,400 in the education program.	1,220	1,300
Administer the General Equivalency Diploma Exam to 500 inmates, achieving a passing rate of at least 65%.	641 / 59%	500 / 65%
Achieve an 80% inmate graduation rate in both the High Impact Incarceration Program (HIIP) and the Self-Taught Empowerment and Pride (STEP) Program.	91% HIIP 73% STEP	80% HIIP 80% STEP
Place at least 10,514 inmates in the Substance Abuse Intervention Division program.	10,723	10,514
Maintain an occupancy rate of at least 96% for jail beds in housing areas that are reserved for the Substance Abuse Intervention Division program.	97%	96%
Place over 2,630 inmates into post-release, community-based transitional drug treatment programs.	4,505	2,630

DEPARTMENT OF CORRECTION

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

Objective	FY 01 Actual	FY 02 Plan
Achieve a vehicle readiness rate of 90%.	87%	90%
Utilize a revised minimum of 4,700 inmates per week in supervised jail-based work assignments to reflect lower inmate population and closed-bed capacity.	4,837	4,700
Reduce the average length of stay for pretrial detainees through case-processing reform and technology initiatives.		

HIGHLIGHTS AND ACHIEVEMENTS

CAPACITY MANAGEMENT

- The Department of Correction (DOC) admitted 120,157 inmates in Fiscal 2001, a decrease of 4,344 inmates from the 124,501 admitted during Fiscal 2000.
- The average daily inmate population (ADP) during the reporting period decreased to 14,490, compared to an ADP of 15,530 in Fiscal 2000.
- The incarceration rate during Fiscal 2001 was 26.5 percent, a decrease of 0.9 percent from the rate recorded in Fiscal 2000. 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 44.1 days, a 3.7 percent decrease from the 45.8-day average length of stay recorded in Fiscal 2000. Three factors in the reduction in the average length of stay are: new State regulations and procedures that streamlined the parole revocation hearing process; a dramatic reduction in State contract inmates during the reporting period; and an increase in misdemeanor arrests, which typically have a shorter length of stay.
- During the reporting period the Department had a monthly average of 2,716 beds out of service for capital improvement repair and maintenance, compared to 2,036 beds in Fiscal 2000. The 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 416 uniformed recruits graduated from the Department's Correction Academy during the reporting period. Since Fiscal 1996, 3,291 new correction officers have joined the Department. This total includes 359 new recruits projected to graduate on September 28, 2001.

TRANSPORTATION

- In Fiscal 2001 the Department delivered 349,189 inmates to court, a 4.5 percent decrease compared to the 365,678 inmates delivered in Fiscal 2000.
- The Department delivered 99 percent of on-trial inmates on time during the reporting period, compared with an on-time delivery rate of 99.8 percent during Fiscal 2000.

DEPARTMENT OF CORRECTION

VIOLENCE REDUCTION

- In Fiscal 2001, 54 inmate slashings/stabbings were recorded systemwide, a 22.9 percent decrease compared to 70 slashings/stabbings in Fiscal 2000.
- The Department recorded a total of 1,772 Use of Force incidents during the reporting period, compared to 1,941 incidents in Fiscal 2000. 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 stab-resistant vests; this initiative is ongoing. 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. Currently, 7,600 such vests have been issued to members of the uniformed staff. The Department expects that by the end of December 2001 all DOC officers will have received their vests.
- In Fiscal 2001 the Department recovered 3,291 weapons from inmates, a decrease of 17.3 percent from the 3,981 weapons recovered during Fiscal 2000. The Department conducted 312,671 searches during the reporting period, compared with 276,571 searches conducted in Fiscal 2000.
- In-house arrests of inmates for criminal offenses by the Gang Intelligence Unit decreased 16.9 percent in Fiscal 2001, from 1,026 arrests in Fiscal 2000 to 853 arrests during the reporting period.

HEALTH CARE AND MENTAL HEALTH SERVICES

- The average daily number of inmates in medical/surgical hospital beds dropped to 26 in Fiscal 2001, compared to 35 in Fiscal 2000. The decrease is due to the efficient use of the North Infirmary Command (NIC) and the Urgi-Care center on Rikers Island by all medical staff.
- The average number of hospital runs increased 11 percent, from 3,536 in Fiscal 2000 to 3,937 in Fiscal 2001. The increase in hospital runs is due to mental health staff referring 40 percent more inmates in need of acute care psychiatric evaluation and treatment.
- The average daily number of inmates in acute care psychiatric hospital beds during the reporting period was 54, an increase of 3.8 percent from 52 inmates in Fiscal 2000. 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 (CASACS) 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 the Mayor created HealthStat, a comprehensive citywide initiative to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, over 20 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 150,000 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 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 9,520 individuals to community-based enrollers and enrolled over 2,500 children during Fiscal 2001.

CORRECTIONAL PROGRAM SERVICES

- The average daily attendance in the Department's school program declined 3.6 percent, from 1,265 in Fiscal 2000 to 1,220 in Fiscal 2001. The percentage of inmates who attend school daily rose from 8.1 percent in Fiscal 2000 to 8.4 percent in Fiscal 2001, despite a 7.3 percent decrease in the adolescent population for whom school is mandated. The decrease in adolescent school attendance was offset by an increase in participation in the voluntary adult education program provided by LaGuardia Community College.
- 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.
- In Fiscal 2001, 540 new inmates participated in the High Impact Incarceration Program (HIIP), a decrease of 1.3 percent from the 547 inmates who enrolled in Fiscal 2000. 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 (STEP) program remained approximately the same, from 74 percent in Fiscal 2000 to 73 percent in Fiscal 2001.
- 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 34,048 youth, and since its inception in March 1998 the program has served over 120,000 youth.

DEPARTMENT OF CORRECTION

SUBSTANCE ABUSE INTERVENTION DIVISION

- The number of inmates participating in DOC's Substance Abuse Intervention Division (SAID) increased 4.7 percent, from 10,238 in Fiscal 2000 to 10,723 in Fiscal 2001. The Department identified inmate-housing areas in Fiscal 2001 for SAID that allowed inmates with higher security classifications to enter the program. This contributed to the increased enrollment in the program.

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 Police 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 845 blood samples in Fiscal 2001.
- Since its inception in October 1997, approximately 8,818 victims have registered with the Victim Identification 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 3,703 calls were placed to VINE in Fiscal 2001.
- 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 Fiscal 2001 there were monthly averages of 89 court appearances, 161 attorney/client interviews, 82 program interviews and 70 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's Web pages on NYC.GOV, the City's official Web site, received 322,590 page views in Fiscal 2001, compared with 279,686 views during Fiscal 2000. 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 e-mail forum for communication with Department officials.

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Department's expenditures were \$835.5 million, compared to its plan of \$837.8 million; headcount was 12,176, compared to its plan of 12,544. The Department's Fiscal 2000 expenditures were \$834.2 million, and headcount was 12,411.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$871.4 million and a planned headcount of 12,667.

DEPARTMENT OF CORRECTION

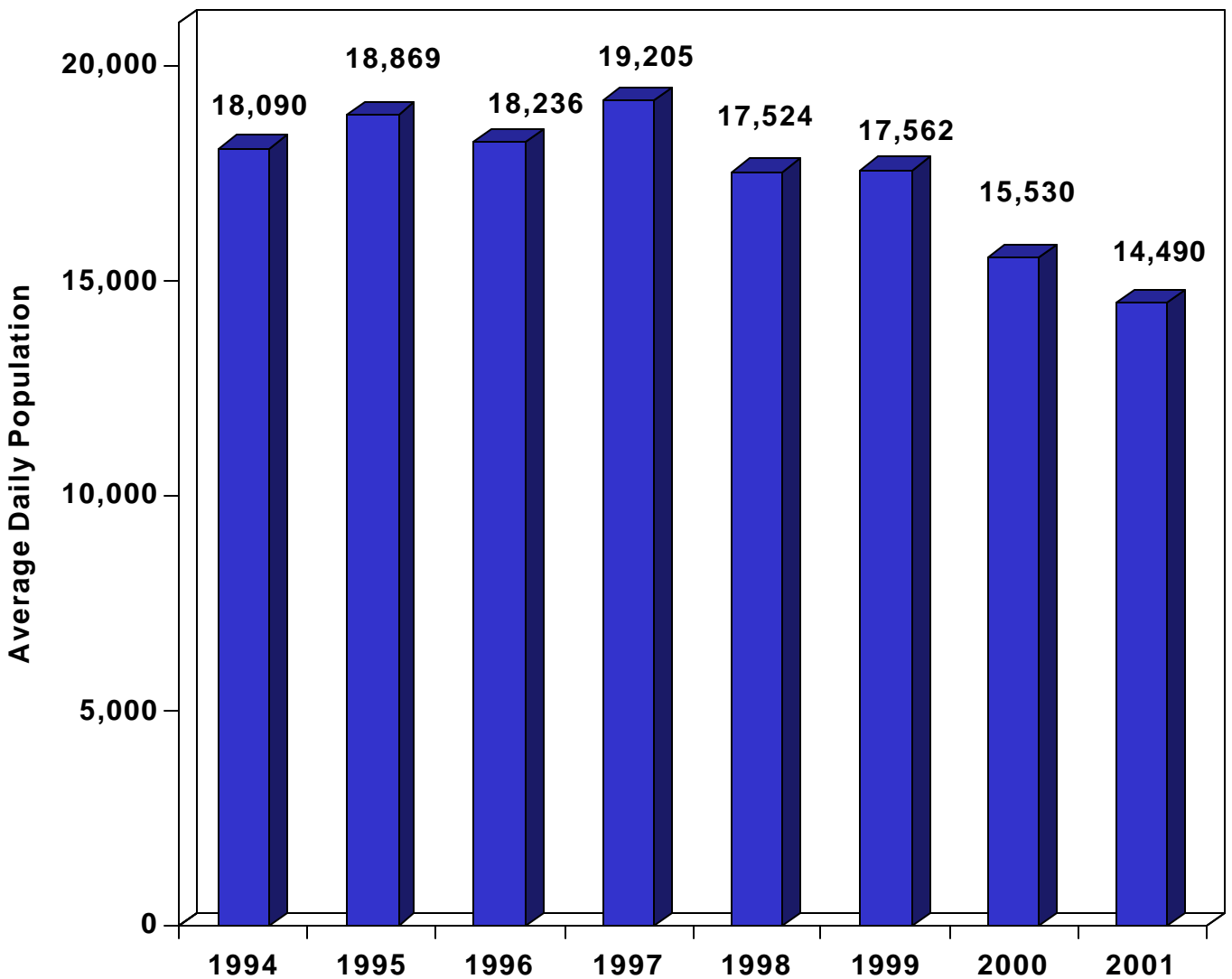
LONG-TERM TRENDS IN AGENCY OBJECTIVES

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

- (a) The 15 percent increase in the number of inmates taking the General Equivalency Diploma Exam (GED) is attributed to the Board of Education schools being more aggressive in their GED administration by providing more trained proctors, who in turn were able to administer GED exams more frequently. By administering this exam more frequently, teachers ensure that those incarcerated for short terms get the opportunity to sit for the exam before they are discharged.

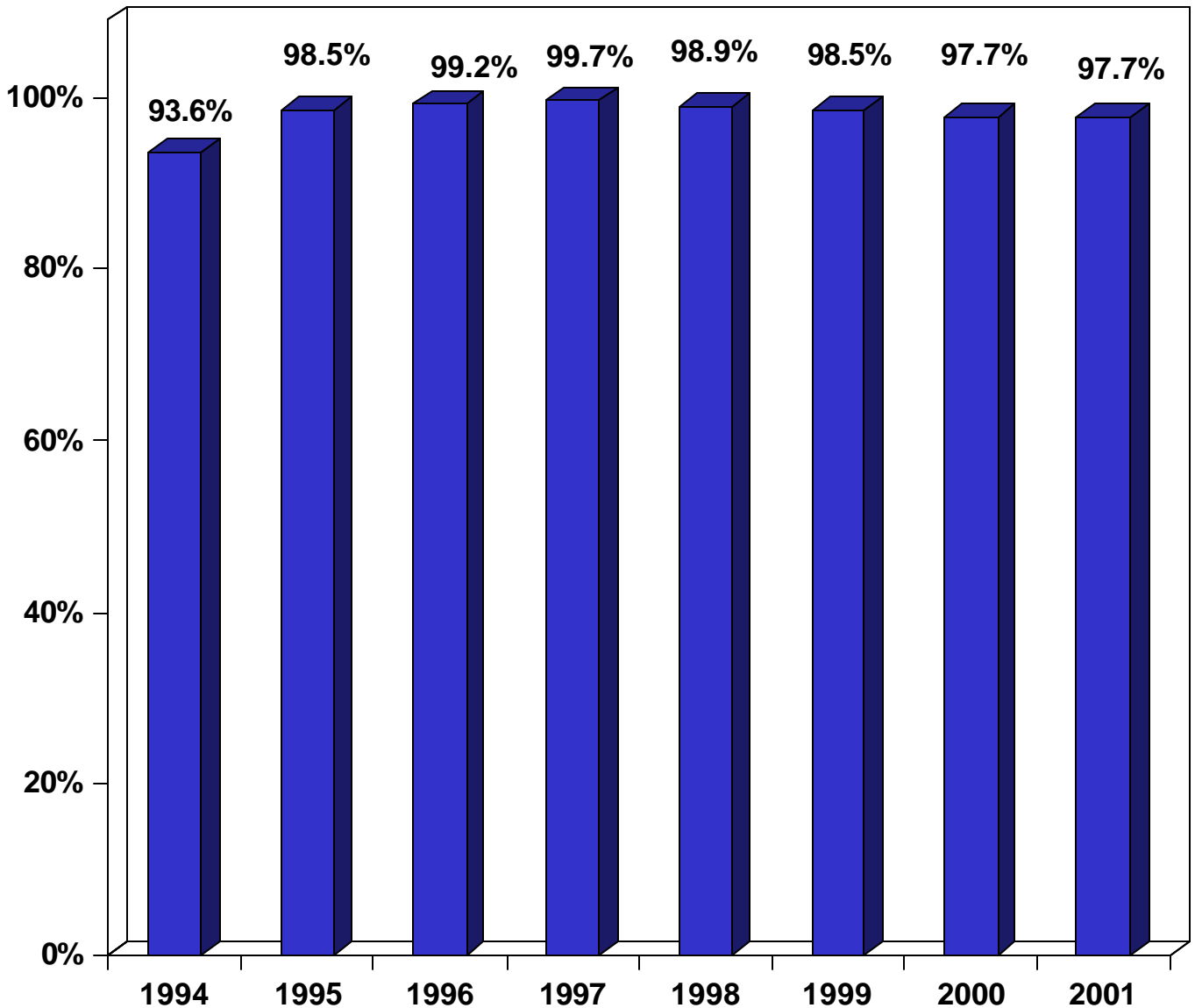
Department of Correction

Average Daily Inmate Population Fiscal 1994-2001



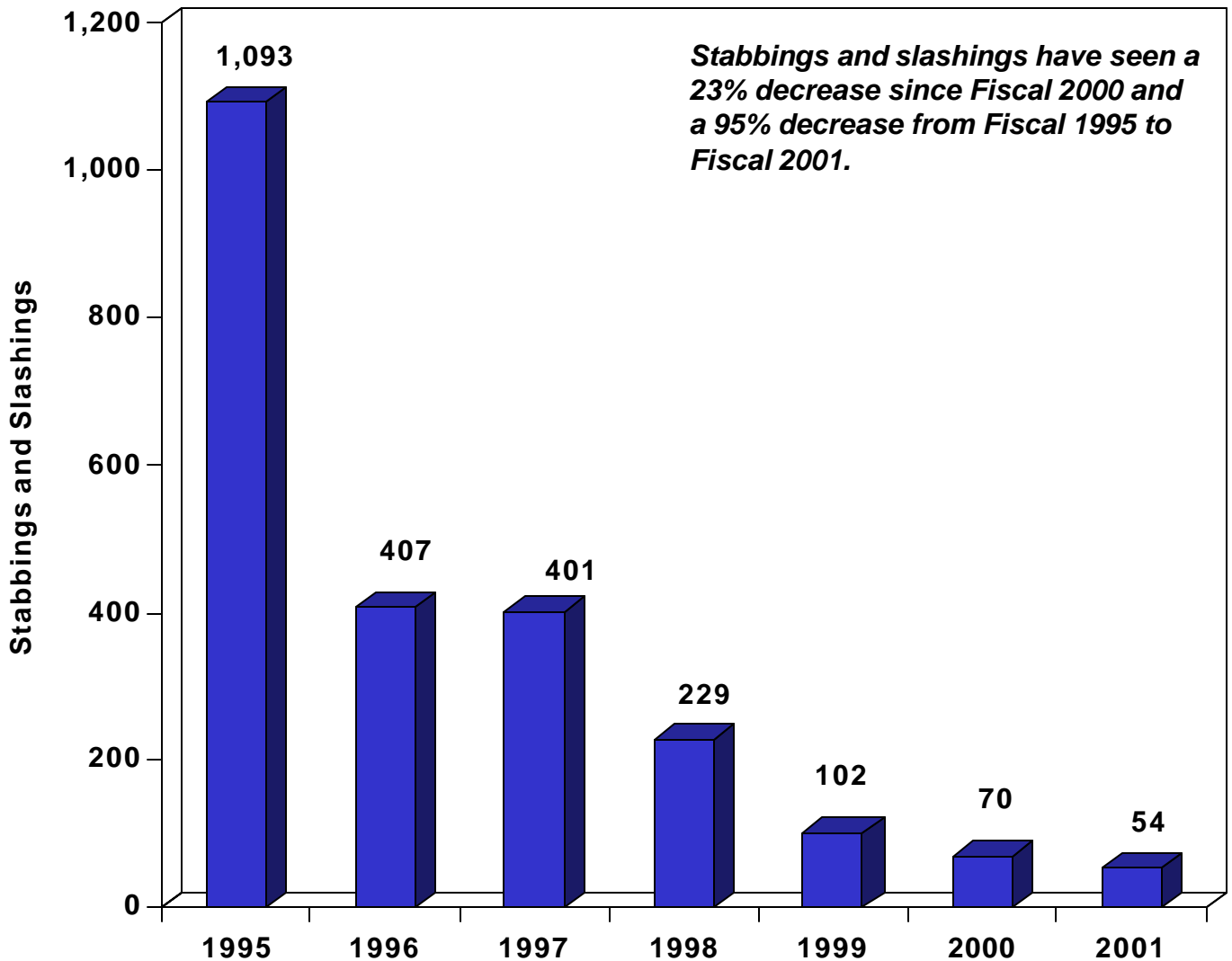
Department of Correction

Population as Percent of Capacity Fiscal 1994-2001



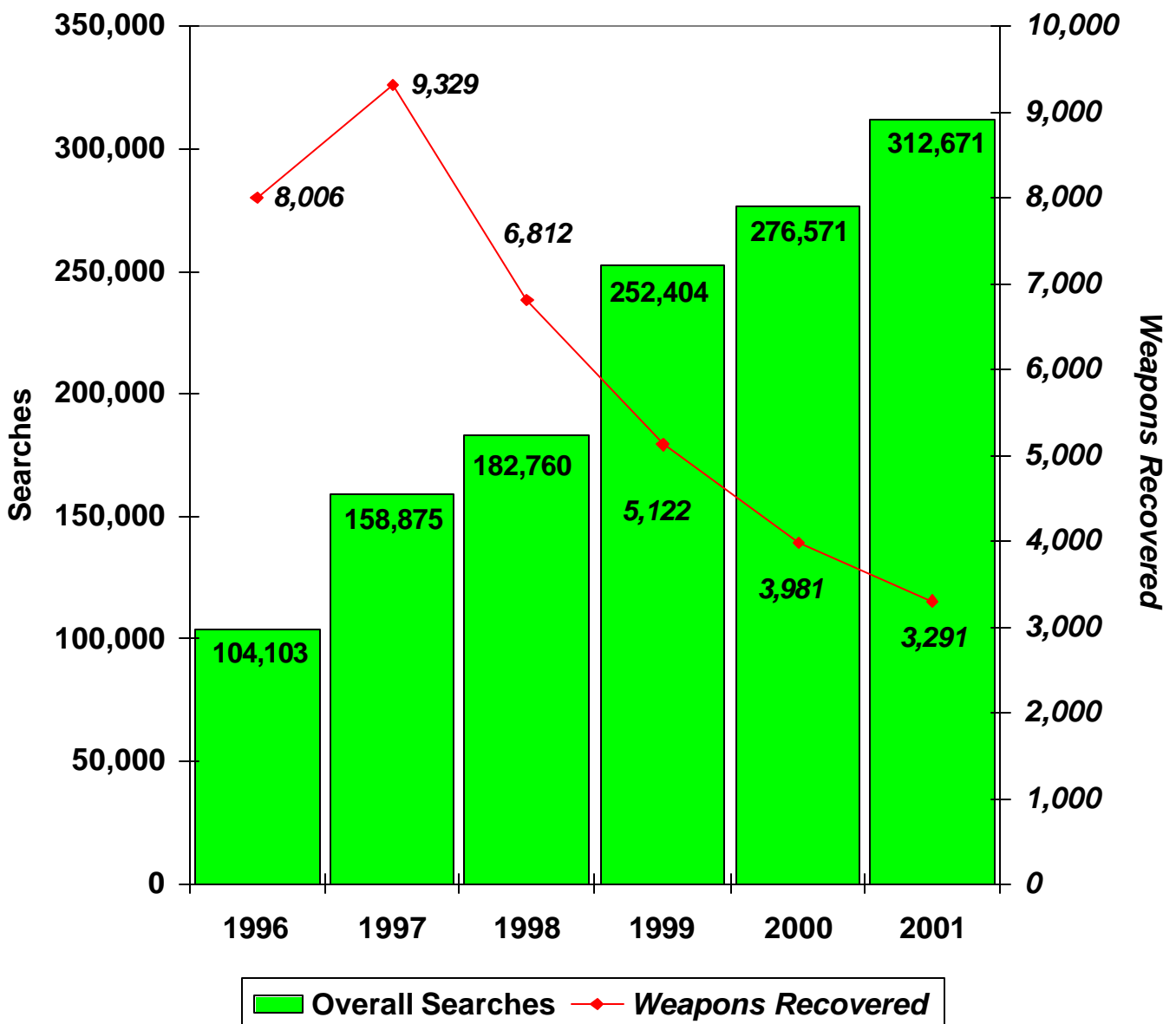
Department of Correction

Violence Incidents (Stabbings and Slashings) Fiscal 1995-2001



Department of Correction

Number of Searches vs. Weapons Recovered Fiscal 1996-2001



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	FY 01 Actual	FY 02 Plan
Clear 90% of warrants for probation violators in Adult Court Supervision.	80.1%	85%
Conduct 40,000 field visits to enforce the conditions of probation through Operation Nightwatch.	35,326	25,000

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

Objective	FY 01 Actual	FY 02 Plan
Provide intensive supervision for 1,176 probationers in the Blue Unit Enforcement Track.	1,500	1,600
Evaluate the effectiveness and efficiency of the Automated Reporting Management System (ARMS) for low-risk probationers.		

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

Objective	FY 01 Actual	FY 02 Plan
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 (JISP).	1,533 / 594	1,600 / 650
Supervise 650 probationers in the Short-Term Alternative to Remand Treatment (START) program.	626	
Supervise 275 probationers in the Intensive Supervision Program-Electronic Monitoring (ISP-EM).		275
Supervise 1,000 youth in the Alternative to Detention program, and achieve a retention rate of 85% or better for participants.	1,068 / 90%	1,000 / 85%
Supervise 330 youth in the Expanded Alternative to Detention program, and achieve a retention rate of 82% or better for participants.	205 / 89%	330 / 82%

DEPARTMENT OF PROBATION

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.

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

HIGHLIGHTS AND ACHIEVEMENTS

ADULT SERVICES

Adult Supervision

- Using the Adult Supervision Restructuring (ASR) initiative, the Department of Probation (DOP) is concentrating its resources on those probationers at high risk for violent behavior and recidivism. The backbone of this supervision model is the Adult Restructuring Tracking System (ARTS), a database that tracks the progress of probationers. The Department divides probationers into three tracks to distinguish those probationers who are prone to violence from those who are less at risk for violent recidivism. The most high-risk probationers are placed on the Enforcement Track into one of four specialized Units: the Blue Unit, the Amber Unit, the Green Unit and the Red Unit. The Special Conditions Track supervises nonviolence-prone probationers with Court-ordered Special Conditions, violence-prone probationers who have graduated from the Green Unit and special target populations. The Reporting Track supervises offenders who present a low risk for violent recidivism and violence-prone offenders who have graduated from the Enforcement Track.
- 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 Fiscal 2001, 1,500 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.
- The Blue Unit also supervises Interim Supervision cases. These are individuals who have pled guilty to either a felony or 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.
- 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). At the end of Fiscal 2001, 13,517 probationers were enrolled and reported to the Department through ARMS, compared to 8,055 probationers at the end of Fiscal 2000. The Department plans to register all Reporting Track cases in ARMS by the end of Calendar 2001.

DEPARTMENT OF PROBATION

- The Department's Field Services Unit (FSU) is charged with the execution of probation warrants. The Department's FSU executed 5,381 warrants for probation violators during Fiscal 2001, a 4.6 percent increase above the 5,144 warrants executed in Fiscal 2000.
- During the reporting period, the Field Services Unit received 6,720 warrants, a 16 percent increase over the 5,811 warrants received during Fiscal 2000. Although the number of warrants executed during Fiscal 2001 was greater than the number executed during Fiscal 2000, the significant increase in the actual number of warrants received resulted in an overall decrease in the rate of clearances, from 88.5 percent to 80.1 percent.
- In partnership with the New York City Police Department (NYPD), during the reporting period the Department continued Operation Neighborhood Shield in two precincts, the 75th in East New York, Brooklyn and the 120th on the north shore of Staten Island, and 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 6,980 unannounced field visits, 415 arrests and issued 431 summonses in Fiscal 2001. In the 120th Precinct, CBRT units made 6,852 unannounced field visits, 224 arrests and issued 482 summonses in Fiscal 2001.
- Operation Neighborhood Shield is designed to target the high-risk, violence-prone probationers with disproportionately high rates of recidivism within the first 120 days of supervision. During Fiscal 2001, a total of 923 high-risk probationers (737 adults and 186 juveniles) were supervised through Operation Neighborhood Shield in the 75th and 120th precincts. The citywide compliance rate for such high-risk offenders is 49.2 percent, as compared to a citywide compliance rate of 72.7 percent for the general Probation population. The exit compliance rate for the program is 87.4 percent, higher than the rate for the general Probation population. Operation Neighborhood Shield 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 takes an average of 88 days to schedule a violation hearing for a probationer. Under this new initiative, violations 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, Operation Neighborhood Shield 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.
- Operation Neighborhood Shield will expand into the 44th and 47th precincts in the Bronx in Fall 2001. This initiative will expand into the 67th Precinct in Brooklyn in June 2002.

DEPARTMENT OF PROBATION

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 18 cases each. In Fiscal 2001 the Department prepared 1,300 Pre-Sentence Investigation reports for domestic violence offenders, compared with 1,098 reports in Fiscal 2000. 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 the Bronx, the Department served 393 individuals in the Stop Violence Against Women project during the reporting period, compared to 314 individuals in Fiscal 2000. The project provides emergency assistance to domestic violence victims. The Stop Violence Against Women grant coordinator enlisted the assistance of the director of Safe Horizons, who was instrumental in securing support from the Bronx police precincts, thereby increasing the number of referrals. The grant terminated in April 2001. Through the CDV program, the Department will continue to assist domestic violence victims in the Bronx as well as in the other boroughs.
- 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. In October 2000 the Queens Stop Grant project became part of the citywide domestic violence program. From October 2000 through June 2001, 27 male probationers attended the Queens Batterer's Group. For Fiscal 2002 the Department is in the process of revising the Batterer's Program curriculum. Beginning in January, the Department expects to run two 12-week cycles with a membership of 14 probationers for each cycle. The Department projects approximately 28 probationers will participate in the program.
- In Brooklyn, the Department's Juris Monitor program utilizes electronic monitoring equipment to target domestic violence offenders for whom community supervision is considered appropriate by the District Attorney. During Fiscal 2001, three individuals were sentenced to take part in Juris Monitor, compared to 16 individuals during Fiscal 2000. The number of probationers registered for the Juris Monitor program has fallen steadily over the past years. The Juris Monitor program has been merged into the citywide domestic violence program.

Adult Rehabilitative Programs

- In Fiscal 2001 the Department supervised 1,533 probationers in the Intensive Supervision Program, 664 of whom were newly enrolled, compared to the 1,643 probationers supervised in Fiscal 2000, of whom 642 were newly enrolled.
- During Fiscal 2001 the Short-Term Alternative to Remand Treatment (START) program supervised 626 individuals, compared to 782 individuals during Fiscal 2000. The 20 percent decrease is due to the difference in administering the START program, which was closed to new cases as of October 2000. Ninety additional, pre-existing cases were then transferred to the START program as it operated under the new protocol.

DEPARTMENT OF PROBATION

- During the reporting period DOP restructured START, 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 is now known as Intensive Supervision Program with Electronic Monitoring (ISP-EM). Implementation of the new program began in Fiscal 2001. DOP Adult Investigations officers screen eligible candidates with promises of split sentences from 90 days to six months of incarceration and five years of probation, and refer those candidates to the ISP-EM Investigations Review Officer (IRO) for further investigation. Defendants found appropriate for ISP-EM intervention are then sentenced to ISP-EM. These defendants are then required to wear a bracelet that permits them to be electronically monitored by DOP; they are held under house arrest for a period equivalent to the jail term they would have received had there been no ISP-EM intervention. The Fiscal 2002 Plan number has also been revised to 275 to reflect the nature of this change to ISP.
- Case managers monitor compliance with electronic monitoring equipment and maintain close supervision of these cases. The Department's Field Services Unit (FSU) was deployed to perform field contacts and respond to alerts from the electronic monitoring equipment to ensure strict adherence to home confinement.
- With the expansion of Operation Neighborhood Shield into three additional precincts in Fiscal 2002, a redeployment of FSU resources is anticipated. To prevent any negative effects on the electronic monitoring program and to ensure public safety, a further restructuring of the program is now being planned. In Fiscal 2002 the electronic monitoring program will no longer exist as a separate entity. It will be fully absorbed into ISP where judges will use it as an additional layer of control for those alternatively sentenced to probation in lieu of incarceration. Field contacts will be completed by ISP staff, which will also respond in a timely fashion to alerts. ISP staff will also keep sentencing judges fully informed 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.
- The Department's Nova Ancora Vocational Training and Employment Program served 1,403 probationers during the reporting period, a 5.2 percent decrease from 1,480 probationers during Fiscal 2000, due to the relocation of administrative offices. 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.

Citywide Anti-Drug Initiative

- In Fiscal 2001 DOP continued working with NYPD to contact probationers through the Operation Nightwatch enforcement program. During the reporting period DOP conducted 35,326 field visits and 25,131 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 decrease in field visits, 11.7 percent below the Fiscal 2001 planned figure of 40,000, was due to an increased emphasis on arrests, especially arrests made as part of joint operations with NYPD. The Department made 1,307 arrests of probation violators and nonprobationers for new crimes, a 30.4 percent increase, compared with the 1,002 arrests made in Fiscal 2000. As part of the expansion of Operation Neighborhood Shield (ONS), Nightwatch Units were planned for redeployment to ONS. Staten Island Nightwatch was merged into ONS during Fiscal 2001; Bronx Nightwatch staff will be redeployed to ONS in the first half of Fiscal 2002; Kings County Nightwatch will be reassigned to ONS in the second half of Fiscal 2002.

DEPARTMENT OF PROBATION

- 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 was designed as a preview of universal testing and the results were compared to those from the other four boroughs for the same period. Over 4,000 tests were conducted in Brooklyn during the study, and more than 5,200 tests were conducted throughout the rest of the City. The study confirmed the preponderance of marijuana use among probationers. In Brooklyn, 42.3 percent of tests were positive compared with 39.7 percent in the other boroughs, with 74.2 percent of the positive tests indicating marijuana as one of the substances. Of the tests indicating marijuana as one of the substances, 81.7 percent were positive for marijuana only. These figures contrast sharply with only 14.8 percent of the total positive tests showing cocaine use. The Department is using these findings to revise its approach to clinical services. Many of the Department's contract service providers have instituted specialized tracks for probationers who use marijuana. The Department is also assessing additional interventions, such as 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 pressure on scarce treatment slots. Specialized service tracks for these probationers will be included in the Department's contract requirements for treatment services.
- During the reporting period the Department began a review of its drug testing protocols. Potential 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 also require testing prior to transfer between supervision tracks. The revised protocol will also allow DOP to better monitor vendor performance.
- DOP will establish one or more new contracts for the delivery of drug testing technology, including the purchase of substance abuse measurement instruments, breath analysis and other instant-result testing kits. An initial contract for delivery of on-site drug-testing kits was awarded in Fiscal 2001. In addition, DOP will develop a Request for Proposals (RFP) for the procurement of drug treatment services under contract. Current contracts for outpatient services have been extended to April 2002 to allow for completion of the RFP process, which is anticipated to result in the establishment of performance-based contracts.
- 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 and Staten Island in Fiscal 2001 and will be introduced in the Bronx by the end of Calendar 2001. It is anticipated that this initiative will be operational citywide by the end of Fiscal 2002.
- 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 Fiscal 2001 the Voice Track beeper system monitored 702 probationers, comprised of 248 adults and 454 juveniles. This is an increase of 10.9 percent, compared with the 633 probationers comprised of 268 adults and 365 juveniles monitored during Fiscal 2000. The number of sites with Voice Track monitoring equipment was increased from three to seven, allowing Adult and Family Court Probation staff to enroll more probationers on the Voice Track system.

DEPARTMENT OF PROBATION

FAMILY COURT SERVICES

Family Court Programs

- During Fiscal 2001 the Alternative to Detention program, operational in Brooklyn, Queens, Manhattan and the Bronx, supervised 1,068 youth, compared to 1,213 youth in Fiscal 2000. The number of youth served during the reporting period exceeded the planned goal of 1,000.
- The Expanded Alternative to Detention (EATD) program, a 12-hour-per-day reporting center for prescreened youth, supervised 205 youth during Fiscal 2001, compared to 226 youth during Fiscal 2000. The decrease in the number of probationers supervised in the EATD program resulted from the limited availability of both assessment services and space. However, EATD attained an 89 percent retention rate during the reporting period as compared with 86 percent during Fiscal 2000. Currently operational in Manhattan and the Bronx, the Department plans to expand EATD to Brooklyn in Fiscal 2002.
- The Juvenile Intensive Supervision Program (JISP), which offers a detention alternative for youth who would otherwise be placed with the State Office of Children and Family Services (OCFS), supervised 594 juveniles in Fiscal 2001, compared to 643 in Fiscal 2000. The decrease in cases supervised can be attributed to the courts alternatively referring youth to nonprofit community-based programs that serve the same target population.
- During Fiscal 2001 the Department enrolled 101 youth in the Post-Residential Supervision project, compared to 104 youth in Fiscal 2000. 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 63 percent during the reporting period, compared to 72 percent during Fiscal 2000. The decrease in retention rate can be attributed to older youth and their noncompliance with the terms of their after-care, and the increasing number of youth with multiple revocations.
- In January 1999 the Department launched Victim Awareness, a cognitive group program that teaches accountability and responsibility to youth at all levels of the Family Court process. During Fiscal 2001 the program served 330 juveniles, compared to 105 juveniles in Fiscal 2000. 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 alternative to detention locations in each borough.
- The Department continued to provide services through the Juvenile Substance Abuse and Violence Deterrence (JSAVD) program until January 2001, when these strategies were incorporated into Family Court Intake Units. This programming style will soon include education and needs assessment in working with high-risk youth and their families. The technique is currently operational in Family Court Services Intake in Manhattan and Brooklyn, with use of this technique citywide under consideration. During Fiscal 2001, 159 youth were referred for JSAVD services; of these, 11 failed to cooperate with program requirements, which resulted in their cases being referred back to the court. During Fiscal 2000 JSAVD received 272 cases, 14 of which were remanded to the court.

DEPARTMENT OF PROBATION

OTHER PROGRAMS

Community Service

- Department staff in the Community Service Unit supervised 208,172 hours of community service performed by probationers in Fiscal 2001, compared to 188,560 hours during Fiscal 2000. Probationers are placed in hospitals, senior centers, churches, synagogues, day-care facilities, shelters and community centers. Typical jobs include park and vacant lot clean-up, meal service in soup kitchens, maintenance work and clerical work.
- During Fiscal 2001 the Community Service Unit continued to remove graffiti in all boroughs. Through the Mayor's Anti-Graffiti Task Force, probationers have successfully removed 1,322,163 square feet of graffiti in neighborhoods such as Inwood in Manhattan; Coney Island, Sheepshead Bay and East New York in Brooklyn; Hunts Point in the Bronx; and Staten Island. This total represents more than three times the amount of graffiti removed in Fiscal 2000. In Queens the Community Service Unit works with a local coalition to discourage new acts of vandalism after a targeted area is cleared of graffiti. As a result of the partnership, in October 2000 Queens North reported making 17 arrests in the targeted area, six of which were on graffiti-related charges.
- During the last six months of the reporting period, the Central Community Service Unit began tracking the compliance rate as it pertained to the special court-imposed condition of community service. Preliminary results indicate that 94 percent of probationers have complied with their community service function during this period. 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 Fiscal 2001 the DOP Restitution Unit collected 13,410 restitution payments, compared to 12,689 payments in Fiscal 2000. In addition, 19,322 beneficiaries received compensation during the reporting period, compared to the 17,511 beneficiaries who received compensation during Fiscal 2000. The dollar amount collected during the reporting period was \$4,417,496, a 5.4 percent increase compared to the \$4,192,860 collected in Fiscal 2000.

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.
- In addition, DOP is planning 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. During the reporting period DOP began designing enhancements to ARTS. Implementation of these enhancements began in Fiscal 2001 and will continue. Probation officers now have the ability to display and print photo images of probationers, and database fields will be added to include information related to CBRT. Probation officers are able to print caseload lists from an automated roll book rather than rely on manual sheets and case folders. Supervisors and managers will be able to track Probation officers' viewing of cases through an enhanced audit trail. The program also includes a form-printing feature to facilitate the generation of required documents and import data from ARTS into these forms.

DEPARTMENT OF PROBATION

- The Criminal Justice Information System (CJIS), which has been in operation since November 1999, provides critical information about 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 network is projected for the end of Calendar 2002.
- The Department's home pages on NYC.GOV, the City's official Web site, received 37,788 page views during Fiscal 2001, an increase of 71 percent, compared to 22,051 views in Fiscal 2000. 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. During Fiscal 2001 the Department added a multimedia video presentation to its home page, which gives an overview of its operations, an employment section and a page covering its key indicators.

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Department's expenditures were \$93 million, compared to its plan of \$90 million; headcount was 1,525, compared to its plan of 1,678. The Department's Fiscal 2000 expenditures were \$84 million, and headcount was 1,645.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$93 million and a planned headcount of 1,679.

DEPARTMENT OF PROBATION

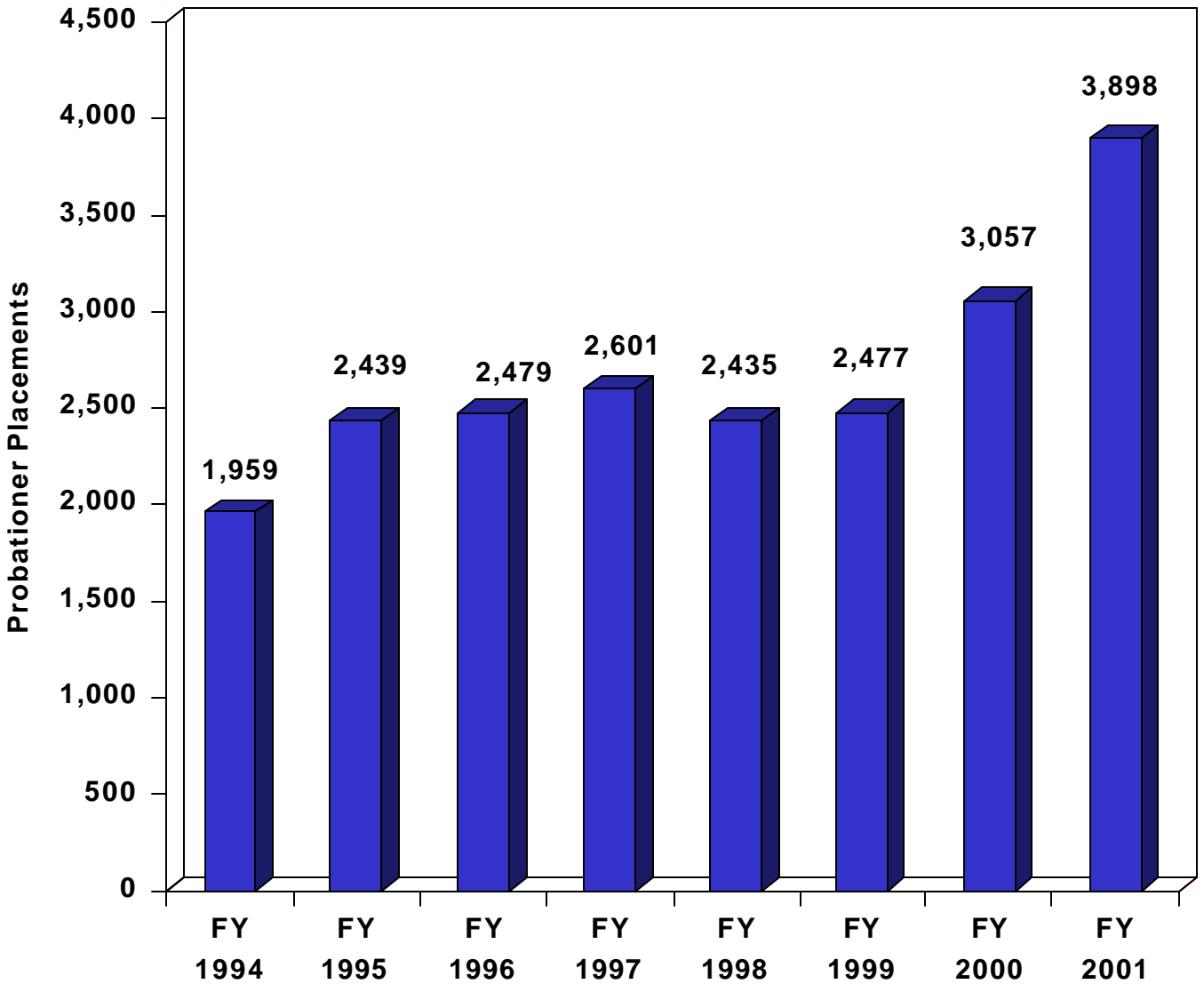
LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001
Probationers Receiving Intensive Supervision in the Blue Unit of the Adult Supervision Restructuring Initiative's Enforcement Track (a)	NI	NI	NI	NI	1,500
Probationers Supervised in the Juvenile Intensive Supervision Program	571	681	690	643	594
Probationers Supervised in the Intensive Supervision Program	1,541	1,817	1,862	1,643	1533
Probationers Supervised in the Short-Term Alternative to Remand and Treatment Program	603	845	859	782	626
Probationers Supervised in the Alternative to Detention Program	1,178	1,187	1,080	1,213	1068
Probationers Supervised in the Expanded Alternative to Detention Program	NI	330	298	226	205
Probationers Supervised in the Expanded Alternative to Detention Program – Retention Rate	NI	82%	85.5%	86%	89%

(a) This new indicator now includes all high-risk probationers over the age of 16.

Department of Probation

Probationer Placements in Substance Abuse Treatment Services Fiscal 1994-2001



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 State Office of Children and Family Services facilities. The Department operates secure and nonsecure detention facilities that admit over 5,200 youth each year and a Community-Based Intervention program that serves approximately 1,100 youth each year.

GOALS AND OBJECTIVES

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

Objective	FY 01 Actual	FY 02 Plan
Conduct at least 2,400 scheduled and unscheduled searches per month for contraband in secure and nonsecure detention facilities.	2,724	2,400
Limit the nonsecure detention abscond rate to 4% or less.	3%	4%
Enhance the Department's standardized intake and assessment process to improve the coordination of the delivery of detention-based services and the continuum of care for residents upon discharge.		
Implement substance abuse intervention and treatment services.		

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

Objective	FY 01 Actual	FY 02 Plan
Maintain the efficiency of secure detention facilities by keeping the population between 95% and 100% of available capacity.	93%	95% - 100%
Maintain a nonsecure detention occupancy rate of at least 85%.	92%	85%
Complete the design phase of the Horizon and Crossroads Juvenile centers' expansion.		
Collaborate with the State Office of Children and Family Services to ensure the timely transfer of juveniles to State facilities.		

Goal: Provide delinquency prevention and specialized services aimed at reducing youth violence and recidivism.

Objective	FY 01 Actual	FY 02 Plan
Serve 1,100 juveniles in the Community-Based Intervention program.	1,190	1,250
Ensure that 35% of Community-Based Intervention clients in the Department's directly operated sites with serious attendance problems improve school attendance.	40%	35%
Maintain a successful completion rate of at least 65% for the Community-Based Intervention program.	63%	65%

DEPARTMENT OF JUVENILE JUSTICE

Goal: Promote workforce and management development.

Objective	FY 01 Actual	FY 02 Plan
Strengthen the Department's absence control policy and reduce the absence rate to 4%.	4.6%	4%
Implement and institutionalize competency-based training for childcare staff who work with youth in detention.		
Enhance information and quality assurance systems throughout the Department to monitor appropriate staff and service levels.		

HIGHLIGHTS AND ACHIEVEMENTS

DETENTION POPULATION

- During Fiscal 2001 the Department of Juvenile Justice (DJJ) admitted 5,313 youth to secure and nonsecure detention, a decrease of less than 1 percent from the 5,361 admissions recorded during Fiscal 2000.
 - There were 540 juvenile offender (JO) admissions into secure detention during Fiscal 2001, a 6 percent decrease from the 573 admissions during Fiscal 2000. This is attributed to a decrease in arrests of juvenile offenders. Juvenile offenders are youth, age 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 adult courts.
 - The total number of juvenile delinquent (JD) admissions to secure and nonsecure detention (NSD) decreased 1.1 percent to 4,733 admissions during Fiscal 2001, from 4,788 admissions during Fiscal 2000. 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 357 during Fiscal 2001, a 6 percent decrease from the ADP of 379 during Fiscal 2000.
- The ADP for nonsecure detention increased 11 percent during Fiscal 2001 to 140 youth, from 126 youth during Fiscal 2000. This increase is primarily attributable to the expansion of NSD bed capacity. At the end of the reporting period the total NSD capacity was 152 beds, compared to Fiscal 1999 when the capacity was 115 beds.
- The overall average length of stay (ALOS) in secure and nonsecure detention was 34 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 29 days, compared to 127 days for juvenile offenders held on two or more cases, whether or not the additional case(s) was also for a juvenile offender offense.

DEPARTMENT OF JUVENILE JUSTICE

- The new Comprehensive Justice Information System (CJIS) allowed DJJ to develop new ALOS indicators. DJJ is now able to compare ALOS of youth with multiple cases to youth with only one case. Youth with a single case had only one case heard or tried during their entire stay in detention. Youth with multiple cases had two or more cases heard or tried at some point during their stay in detention; these youth are further categorized by whether all cases were for JD charges or at least one was for a JO charge.

CAPACITY MANAGEMENT

- In Spring 2000 the Department of Design and Construction 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 expansion is necessary to meet long-term capacity needs based on growth trends in the detention population. The contract for the design consultant was registered in August 2000. The City is in the process of contracting with a construction management firm. DJJ expects the design phase to be completed by early Fiscal 2003.
- In October 2000 the Department transferred operation of a nine-bed facility in Flushing, Queens to another contractor, and converted it from a boys' to a girls' home, maintaining NSD capacity at 152 beds. DJJ also plans to contract out one of its agency-operated NSD facilities; a Request for Proposals (RFP) was released on June 26, 2001 with operation of the newly privatized facilities expected in early Calendar 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, responding to pages from DJJ and being accountable for absconders. The remaining two contracts will be revised to include performance standards at the time of renewal by December 2001.
- On April 1, 2000 the Department implemented an overtime control and allocation policy emphasizing the equitable distribution of overtime among staff. During Fiscal 2001 DJJ employees earned \$5.3 million in overtime, 2 percent less than the amount earned in Fiscal 2000. In Fiscal 2001 DJJ enhanced its overtime monitoring at the facility level to hold managers accountable, implement an aggressive hiring plan for Juvenile Counselor positions and closely monitor staff deployment to ensure appropriate use of overtime.
- DJJ received funds for Fiscal 2001 to hire 76 additional child-care staff members who work with youth in detention. Fifty-nine were hired in October 2000 and the remaining 17 were hired in Spring 2001.
- The Department created a centralized intake model under which all admissions, housing, case management, health, mental health and substance abuse assessments now take place in one location during a resident's first days in detention.

DEPARTMENT OF JUVENILE JUSTICE

- In June 2000 DJJ began holding regular meetings with the State Office of Children and Family Services (OCFS). At these meetings, all OCFS-ready youth are reviewed to assure that they are transferred to OCFS facilities within the mandated time periods. One result of these meetings was that the number of OCFS overstays decreased from 17 youth at the beginning of June 2000 to seven at the end of June 2001. In addition, the Department maintains daily contact with OCFS regarding the timely movement of State-ready youth.
- In Spring 2000 the Department began operation of two new computerized databases. A 24-hour Incident Reporting System records all incidents in detention, and a Management Indicator Reporting System tracks the Agency's operational performance on close to 200 measures. These developments are some of the positive outcomes of Group-Oriented Analysis of Leadership Strategies (GOALS), an agencywide managerial system implemented by DJJ in 1998. Under GOALS, the Commissioner and executive staff hold monthly meetings where management staff must account for changes in performance indicators, describe related issues and discuss strategies to address identified problems. The Department then uses these results to plan operational improvements.

SERVICE AND TRAINING ENHANCEMENTS

- During Fiscal 2001 DJJ began to restructure its training program for new Juvenile Counselors to focus more on skills building. In August 2000, the Department implemented a new pretraining curriculum that contained competency-based, operations-based and on-the-job training. The program also provided mentoring for new Juvenile Counselors by experienced staff. Training modules cover topics such as the history of DJJ and juvenile justice, adolescent development, crisis intervention and managing youth with mental health issues. In June 2001 DJJ started operation of a new Management Training Academy where facility managers are schooled in supervisory, fiscal, planning and other management-related skills. A new in-service training is scheduled for Fall 2001 on the topic of report writing.
- The Department has recognized that mental health needs are an emerging problem among youth in detention. In response, in June 2000 the Department doubled the hours of the psychiatrist; additionally, it selected a contractor to provide mental health case management services. The new contractor will develop discharge plans and enroll at least 200 youth per year in a community-based mental health treatment program. By the end of Fiscal 2001 the contractor had assessed 48 youth, 12 of whom were referred to community-based mental health treatment. Of the 12 youth in the caseload, three were actually enrolled in the treatment program.
- 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 June 2001.

DEPARTMENT OF JUVENILE JUSTICE

COMMUNITY-BASED INTERVENTION

- The Department's Community-Based Intervention (CBI) program provides comprehensive preventative and post-detention services to youth and their families. CBI employs a strength-based, family-driven case management approach to divert young people from entering or returning to the juvenile justice system. During Fiscal 2001, 1,190 juveniles were served, a 4 percent increase from the 1,146 juveniles served during Fiscal 2000. Of the juveniles served during Fiscal 2001, the Department provided prevention services for 656 youth from public housing developments through a grant from the New York City Housing Authority. DJJ currently contracts with six community-based organizations to operate two post-detention, four delinquency prevention and one truancy prevention site citywide. The Department also directly operates two post-detention and 11 delinquency prevention sites.
 - In April 2000 DJJ contracted with a community-based organization in Brooklyn to provide truancy prevention services. Staff are stationed in four schools and in Truancy Reduction Alliance to Contact Kids (TRACK) centers in Crown Heights and downtown Brooklyn to receive referrals and provide case management and educational support services.
 - CBI has contracted with a private criminal justice organization to provide delinquency prevention services in Sunset Park, Brooklyn. As a result of this program, during Fiscal 2001 staff was assigned to the 72nd precinct to provide outreach for youth identified by the New York City Police Department as needing support services. Youth have been referred to the range of programs currently existing at the organization's community court in Red Hook, Brooklyn.
- Using federal funds, in Fiscal 2000 DJJ created the Transition Counselor position to work as a liaison between detention and CBI to engage youth in post-detention services prior to their release. They inform residents and their parents about post-detention services and the court process, follow-up with medical referrals from detention, and facilitate group sessions for all residents on accountability and victim empathy.

TECHNOLOGY

- During Fiscal 2001 the Department added Local Area Networks at its NSD intake facility for boys and also at two CBI locations. As a result, all DJJ sites are completely integrated into the Department's Wide Area Network.
- The Department's home pages 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 Fiscal 2001 there were 92,798 page views, an increase of nearly 210 percent, compared to 29,993 views in Fiscal 2000.

BUDGET HIGHLIGHTS

- During Fiscal 2001 the Department's expenditures were \$109.3 million, compared with its plan of \$104 million; headcount was 800, compared with its plan of 824. The Department's Fiscal 2000 expenditures were \$102.5 million, and headcount was 762.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$106.2 million and a planned headcount of 815.

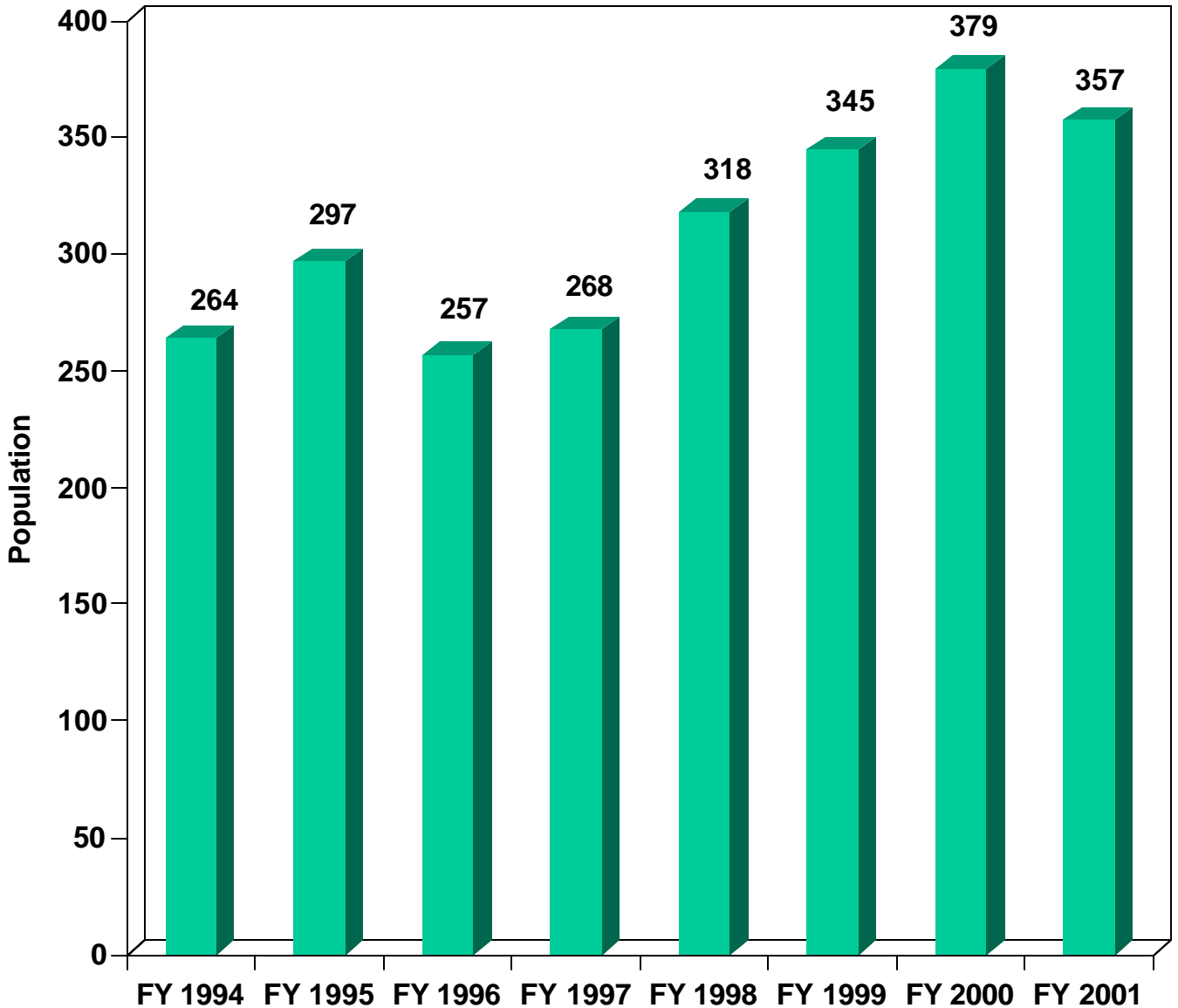
DEPARTMENT OF JUVENILE JUSTICE

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001
Scheduled and Unscheduled Searches for Contraband in Secure and Nonsecure Detention Facilities Per Month	NI	NI	NI	NI	2,724
Secure Detention Occupancy Rate	NI	NI	99%	104%	93%
Nonsecure Detention Occupancy Rate	NI	100%	90%	89%	92%
Nonsecure Detention Abscond Rate	4%	3%	1%	3%	3%
Days Absent Per Year	13.4	12.8	10.5	10.8	11.3
CBI – Juveniles Served	NI	NI	NI	1,146	1,190
CBI – Percent of Juveniles Who Improve School Attendance	NI	NI	NI	NI	40%
CBI – New Participants in Community Services	NI	NI	NI	169	163

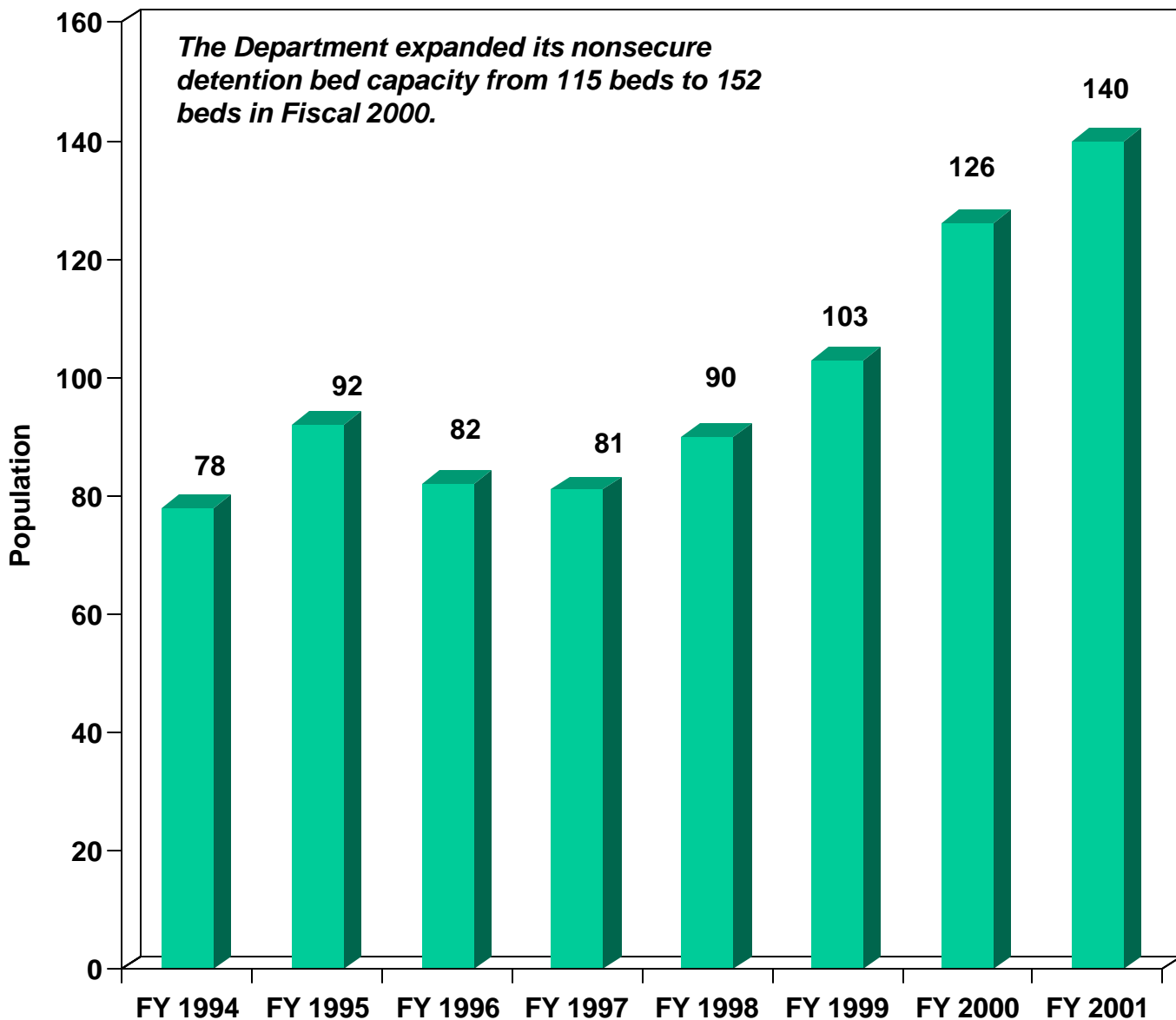
Department of Juvenile Justice

Average Daily Population in Secure Detention Fiscal 1994-2001



Department of Juvenile Justice

Average Daily Population in Nonsecure Detention Fiscal 1994 - 2001



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 trust in the Civilian Complaint Review Board by the citizenry.

GOALS AND OBJECTIVES

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

Objective	FY 01 Actual	FY 02 Plan
Close 500 cases each month.	422	500
Reduce operational backlog to 650 cases.	423	650
Reduce average completion time for full investigations to 204 days.	275	204

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

Objective	FY 01 Actual	FY 02 Plan
Achieve a 59% proportion of fully investigated cases to total cases closed.	50.1%	59%
Achieve a 40% proportion of truncated cases to total cases closed.	48.5%	40%
Increase the number of affirmative dispositions by the Board, including substantiated, unfounded and exonerated findings, to 55% of fully investigated cases.	59.4%	55%
Maintain the number of cases 13 months or older from date of incident at no more than 5% of total caseload.	3%	5%

Goal: Improve the Alternative Dispute Resolution Program.

Objective	FY 01 Actual	FY 02 Plan
Conduct a revised 65 mediations.	40	75

Goal: Expand community awareness regarding the Board's mission in Fiscal 2001.

Objective	FY 01 Actual	FY 02 Plan
Conduct 60 interactive public presentations by Board members and representatives at community-based organizations.	75	60

CIVILIAN COMPLAINT REVIEW BOARD

HIGHLIGHTS AND ACHIEVEMENTS

CASE MANAGEMENT

- During Fiscal 2001 the Civilian Complaint Review Board (CCRB) received 4,627 complaints falling within its jurisdiction, a 7.8 percent decrease from the 5,017 complaints received during Fiscal 2000.
- In Fiscal 2001 CCRB closed 5,062 cases, an increase of 2.7 percent from the 4,930 cases closed during Fiscal 2000.
- During the reporting period, cases with affirmative dispositions increased to 59 percent of fully investigated cases, compared to 53.6 percent during Fiscal 2000.
- As of the end of Fiscal 2001, 97 percent of CCRB's cases were less than 13 months old; cases less than five months old represented 71 percent of its docket. At the end of Fiscal 2000, 92 percent of CCRB's cases were less than 13 months old and cases less than five months old represented 54 percent of its docket.
- As of the end of Fiscal 2001, 31 substantiated cases, or 13.7 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; 42 cases, or 18.6 percent, had four to six months remaining; 119 cases, or 52.8 percent, had seven to 12 months remaining; and 33 cases, or 14.6 percent, had 13 months or more remaining.
- In Fiscal 2001 CCRB received 2,176 unnecessary force primary allegations, a decrease of 3.7 percent from a total of 2,260 primary allegations received during Fiscal 2000.
- During Fiscal 2001 CCRB received 2,335 primary abuse of authority allegations, down 1 percent from a total of 2,362 primary allegations received during Fiscal 2000.
- During the reporting period CCRB received 1,536 primary discourtesy allegations, a decrease of 14.8 percent from 1,804 primary allegations received during Fiscal 2000.
- During the reporting period CCRB received 286 primary offensive language allegations, an increase of 21.1 percent from 236 primary allegations received during Fiscal 2000.
- During Fiscal 2001 the Board recruited all 18 of its planned Senior Investigators and 101 of its 111 planned Confidential Investigators.
- In June 2001 the Board and the New York City Police Department (NYPD) signed a Memorandum of Understanding 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. However, the initiative is pending resolution of litigation.

COMMUNITY OUTREACH/CUSTOMER SERVICE

- In Fiscal 2001 CCRB personnel made presentations at 75 community meetings on topics such as the Board's mission, jurisdiction and process for filing complaints, compared with 129 presentations in Fiscal 2000.
- In order to give CCRB presentations to immigrant groups throughout the City, Board staff sent 521 requests to these groups during Fiscal 2001.

CIVILIAN COMPLAINT REVIEW BOARD

- In order to make CCRB presentations to other groups throughout the City, CCRB sent out 213 requests to high schools and 357 requests to hospitals.

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 40 cases during Fiscal 2001, a decrease of three cases compared to Fiscal 2000. CCRB plans to increase the number of mediations to 75 by the end of Fiscal 2002 and to 100 in Fiscal 2003.

TECHNOLOGY

- The Board's home pages on NYC.GOV, the City's official Web site, received 109,393 page views during Fiscal 2001, an increase of 70 percent, compared to 64,337 page views during Fiscal 2000.
 - Beginning in September 1999 the option to file complaints online through the Board's home pages became available. During Fiscal 2001, 80 complaints were submitted online.

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Department's expenditures were \$9.19 million, compared to its plan of \$9.01 million; headcount was 161, compared with its plan of 187. The Department's Fiscal 2000 expenditures were \$7.73 million, and headcount was 162.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$11 million and a planned headcount of 209.

CIVILIAN COMPLAINT REVIEW BOARD

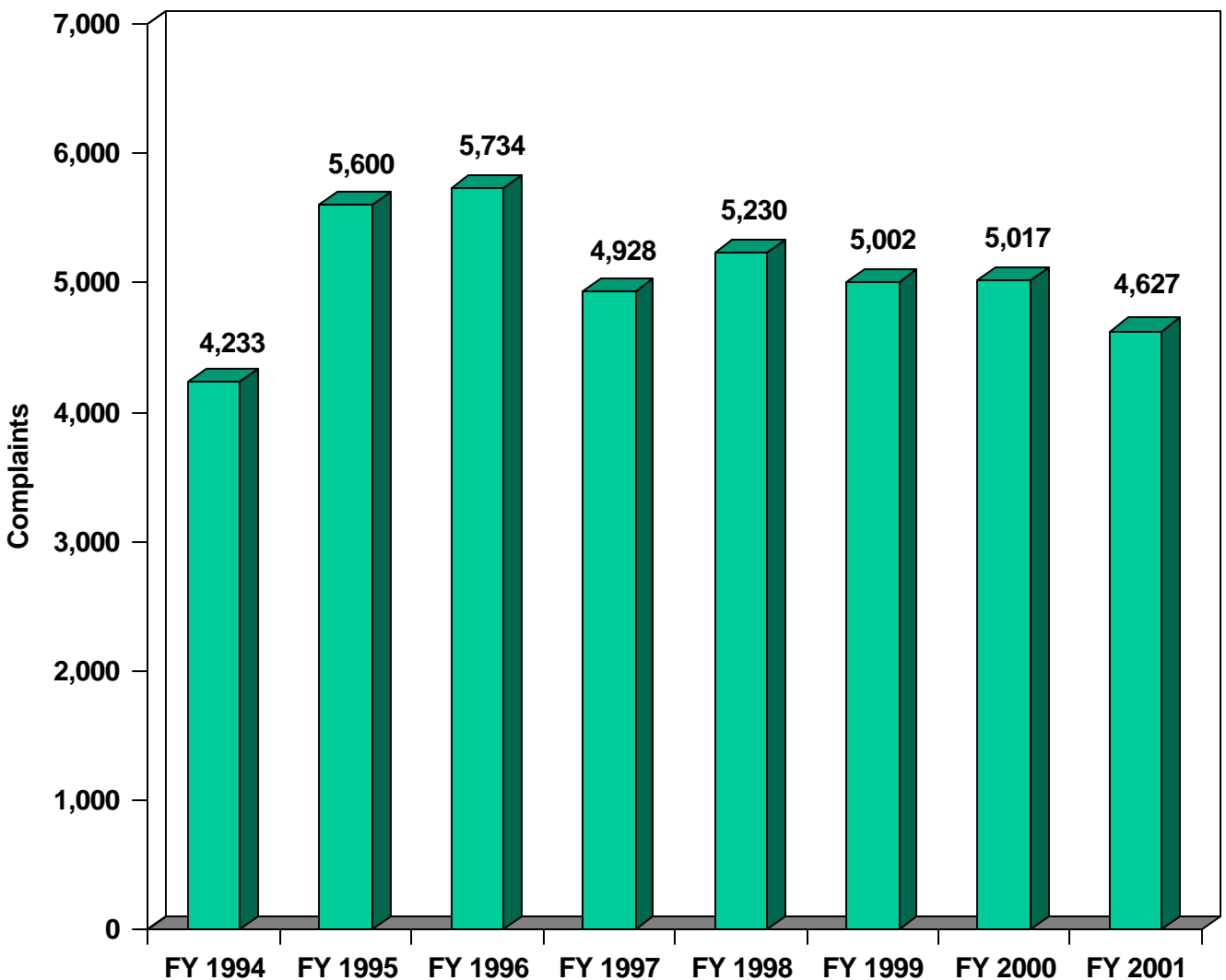
LONG-TERM TRENDS IN AGENCY OBJECTIVES

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

- (a) Procedural changes, which enhanced the thoroughness and quality of case investigations, and an increase in complaints negatively affected the number of cases CCRB was able to close.
- (b) The Board suspended conciliation at its May 1999 meeting until the end of the year. These 10 cases had been approved for conciliation before May. The Board deferred a decision on reinstating conciliation at its January 2000 meeting.
- (c) The Board deferred a decision on reinstating conciliation at its January 2000 meeting.

Civilian Complaint Review Board

Total Complaints Received Within Jurisdiction* Fiscal 1994 -2001



*Figures show complaints in the categories falling within CCRB's jurisdiction (Force, Abuse of Authority, Discourtesy, Offensive Language).

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 759 bridge structures and 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 franchised 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	FY 01 Actual	FY 02 Plan
Repair 100% of Priority Regulatory Signs (such as Stop, Yield, Do Not Enter and One Way signs) within nine days.	100%	100%

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

Objective	FY 01 Actual	FY 02 Plan
Complete 200 signal modifications (such as timing, sequencing and linkage to a central computer).	250	200
Maintain the percentage of operable parking meters at 90%.	90.7%	90%
Install 5,000 electronic parking meters.	5,479	5,000
Install 95% of new traffic signals within six months of approval.	96.9%	95%
Repair 99% of traffic signals within 48 hours.	99.2%	99%
Repair 95% of street lights within 10 days.	96.1%	95%

Goal: Rehabilitate and maintain the City's bridges.

Objective	FY 01 Actual	FY 02 Plan
Ensure that a minimum of 31.5% of bridges are rated either in Good or Very Good condition.	34.9%	33.5%
Complete rehabilitation work on 36 bridges.	21	by 1/02
Eliminate 1,200 flags (red, yellow and safety) on active bridges.	1,250	1,200
Remove debris from 3,200 routes; remove 13,000 cubic yards of debris from City bridges.	4,271 / 11,746	3,200 / 13,000
Complete the rehabilitation of the south outer roadway of the Queensboro Bridge in August 2001.		

DEPARTMENT OF TRANSPORTATION

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

Objective	FY 01 Actual	FY 02 Plan
Ensure that a revised 84.4% of street surfaces are maintained with a pavement condition rating of Good.	82.5%	82.5%
Resurface 694.4 lane miles of streets and arterial roadways using in-house crews.	717.2	794.4
Increase the use of recycled asphalt pavement to achieve a 43% recycled content in asphalt produced in-house.	37%	38%
Reconstruct 1,060,000 square feet of deficient sidewalks under the Prior Notification Sidewalk Program.	732,000	by 1/02
Complete the conversion of 6,300 pedestrian ramp street corners so that they are compliant with the federal Americans with Disabilities Act.	3,993	by 1/02
Facilitate the adoption of 14 additional miles of highway so that a total of 345 miles are adopted by the end of Fiscal 2002.	337	340
Inspect adopted arterial miles at a rate of 15% per week.	20%	15%

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

Objective	FY 01 Actual	FY 02 Plan
Construct 30 lane miles of new bicycle routes; install 500 racks for bicycle parking.	4.6 / 727	24 / 1,000
Expand ferry service by licensing new ferry operators, upgrading the ferry infrastructure and completing ferry landing improvements.		

Goal: **Emphasize customer service.**

Objective	FY 01 Actual	FY 02 Plan
Repair 65% of small street defects within 30 days of identification.	70%	65%
Remove 5.5 million square feet of graffiti on the City’s highways and bridges.	7.1 million	6.1 million
Respond to 300,000 transportation-related calls for information from the public.	374,283	300,000

DEPARTMENT OF TRANSPORTATION

HIGHLIGHTS AND ACHIEVEMENTS

PUBLIC SAFETY INITIATIVES

- The Department of Transportation's (DOT'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 Department anticipates that the contractor will begin work by Fall 2001, delayed from Spring 2001 due to contract renegotiations.
 - As part of this initiative, the Department upgraded the City's 18,617 school-crossing signs by replacing them with new fluorescent yellow-green school-crossing signs. Work was completed in Summer 2001. The Department also installed 11,191 "SCHOOL XING" word messages in front of school crosswalks as of the end of June 2001. DOT will install these roadway markings at an estimated total of 18,000 lanes approaching school crosswalks citywide by the end of Fiscal 2002. Installation of the "SCHOOL X-ING" word messages has been completed in Brooklyn, the Bronx and Staten Island. Installation of the messages in Queens will be completed in Fall 2001 and in Manhattan in Summer 2002. Delays are due to extended surveys, inclement weather 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 were implemented during the reporting period:
 - In Fall 2000 DOT installed oversized 12-inch red lenses on traffic signals, and improved pavement markings and signs, high visibility crosswalks and international pedestrian crossing signals on the Grand Concourse at East 170th and East 183rd streets. These measures further enhance the Department's pedestrian safety demonstration project on the Grand Concourse between East 165th and East 170th streets. This pilot program resulted in the reduction of pedestrian accidents by 36 percent, as well as the reduction of vehicular speeds on the northbound service road by 36 percent, and on the southbound service road by 11 percent. These results differ from those previously published because they are based on a comparison of 10 months of data rather than a comparison of six months of data.
 - 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.
 - During Fiscal 2001 the Department continued to implement measures to improve safety on Hylan Boulevard in Staten Island. In July 2000 DOT installed rush hour regulations creating curbside travel lanes in the morning and evening peak periods on Hylan Boulevard between Steuben Street and Guyon Avenue.

DEPARTMENT OF TRANSPORTATION

- The left-turn bay on Hylan Boulevard was extended by 100 feet in the westbound direction to accommodate five additional vehicles, or 200 vehicles per hour. Additionally, the raised center median from New Dorp Lane to Jacques Street was removed and replaced with a Qwick Kurb center divider. The roadway was also resurfaced between New Dorp Lane and Jacques Street.
- The Department coordinated with other agencies to implement additional improvements. Working with the Metropolitan Transportation Authority (MTA), five bus stops were relocated from near-side to far-side locations to improve traffic flow; three bus stops were lengthened to provide more space for buses to unload passengers. MTA also helped ensure that buses pull closer to the curb to pick up and discharge passengers. The Department joined efforts with the New York City Police Department (NYPD) to increase enforcement of parking regulations along Hylan Boulevard. These improvements resulted in afternoon/evening peak travel time savings of approximately six minutes, from 10.5 minutes to 4.5 minutes, on southbound Hylan Boulevard between Jefferson Avenue and Beach Avenue. This represents a 57 percent reduction in travel time.
- During Fiscal 2001 DOT implemented additional safety measures in the vicinity of Eastern Parkway and Utica Avenue in Brooklyn. In May 2001 signal operation was modified by ending the service roads before the mainline as a pedestrian safety enhancement at nine locations on Eastern Parkway. In conjunction with the signal modifications, parking regulations were changed from 'No Parking, 8 A.M. - 6 P.M.' to standard one-and-a-half-hour street sweeping regulations. This allows parking on both sides of the service roads, which tends to decrease the incidence of speeding. In addition, the B46 southbound bus stop was extended the full length of the block between Eastern Parkway and Union Street to reduce conflicts between buses and vans.
 - In December 2000 DOT completed a safety improvement program in Grand Army Plaza in Brooklyn with the installation of 20 directional signs in the area approaching and around the Plaza. These signs properly guide motorists, reduce conflicts and minimize weaving movements.
 - In June 2001 the bus stop/layover location for the B14 and B17 routes on the south side of Eastern Parkway, between Utica and Schenectady avenues, was extended to allow buses to pull closer to the curb and make pedestrian movement safer. In addition, DOT extended the existing priority bus lanes on both the east and west sides of Utica Avenue, between Eastern Parkway and Union Street to Carroll Street, and replaced metered parking with rush hour 'No Standing' and midday truck loading regulations.
- The Department continues to implement measures to improve pedestrian safety on Queens Boulevard. In Fall 2000 DOT installed midblock signalized crosswalks at 68th and 70th avenues and relocated vehicular slip ramps away from newly installed pedestrian crossings. Additional capital improvements implemented as of December 2000 included median extensions, median widenings, pedestrian ramp modifications and neckdowns at selected intersections on Queens Boulevard between 67th and 70th roads. The Department is also installing fencing to discourage jaywalking. In March 2001 DOT completed installation of 3,700 linear feet of fencing between 68th and 70th avenues.
 - In late August 2000 the Department converted 57th and 59th avenues to one-way operation as recommended in the Environmental Impact Statement for the Queens Center Mall expansion. This conversion has improved traffic circulation in the vicinity of the mall as well as both vehicular and pedestrian safety at the Woodhaven Boulevard intersection, which was cited as one of the top 10 high-vehicle-accident locations in the City in recent years.

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- In January 2001 the Department implemented new off-peak and weekend traffic signal coordination between 50th Street and 57th Avenue, completing both signal retiming and adjustments from Van Dam Street to Union Turnpike. The new timing is designed to discourage speeding and allow additional pedestrian crossing time.
- Beginning in January 2001 DOT personnel were deployed at five locations to educate the public on how to safely cross Queens Boulevard. In February 2001 the Department installed 406 signs at 36 intersections that encourage pedestrians to cross with care and remind the public of locations where fatalities have occurred. Also in February 2001 DOT reduced the speed limit from 35 to 30 miles per hour between Roosevelt Avenue and 51st Avenue. This change resulted in a uniform speed limit along the entire eight-mile length of Queens Boulevard.
- The Department designed a "Pedestrians: Be Alert" flyer and postcard. The flyer, which is available in English, Russian, Chinese, Korean and Spanish, provides tips on crossing at signalized intersections. The postcard was mailed to over 40,000 older adults living in the vicinity of Queens Boulevard. The same information is also being distributed from the "Take One" boxes on the Q60 bus, which travels along Queens Boulevard.
- In March 2001 DOT increased the length of the traffic signal cycle from 120 seconds to 150 seconds during the morning and afternoon peak periods between 63rd and 83rd avenues. This change provides sufficient time for pedestrians to cross the full width of Queens Boulevard in one signal cycle.
- 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 on the service roads from two to one. This will further reduce travel speeds and shorten crossing distance. In June 2001 approximately 400 word message pavement markings advising pedestrians to "Wait for Walk Signal" were installed at an estimated 40 intersections.
- In June 2001 the Department began implementing similar 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. Additionally, in Fall 2001 installation will begin of approximately 12,000 linear feet of fencing from Elliot Avenue to 67th Road and from 70th Road to Union Turnpike. The Department also installed two red-light cameras on Queens Boulevard in July 2001, delayed from Spring 2001 due to late registration of the contract.
- 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 (PDI) component that more quickly advances the project to final implementation of capital improvements. The traffic planning study will begin in Fall 2001 and is expected to be completed in Winter 2002-2003.
- In Fall 2001 DOT will complete the installation of energy-saving Light Emitting Diode (LED) traffic signals and international pedestrian signals at all intersections along Queens Boulevard. Additionally, in Fall 2001 DOT will install eight permanent, mounted speed detector boards to inform motorists of their travel speeds.

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- The Department continues to work with NYPD to improve safety at dangerous locations, each of which typically consists of several blocks and intersections. By the end of June 2001 DOT's investigations had identified the necessity for installing 1,431 new or replacement signs, installing 12 new signals, modifying 17 existing signals and installing pavement markings at 242 locations.
- The Department installed 54 speed humps citywide during Fiscal 2001, compared to 132 speed humps during Fiscal 2000; three speed humps were installed at the end of Fiscal 2000 and not accounted for in the Fiscal 2000 Mayor's Management Report. 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 June 2001 the total number of speed humps citywide was 555. Of those, 282 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 23,477 signs in six community boards in the Bronx, Brooklyn, Manhattan and Queens during Fiscal 2001. Since the initiative began in Fiscal 1994, DOT has replaced a total of 209,878 signs. Forty-one community boards have had all signs replaced. By the end of Fiscal 2003 the Department will replace all signs in the remaining 11 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 initial findings will be released in September 2001. Meanwhile, the improvement plan remains in effect.
- 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 in order 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 will be 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, to be implemented in September 2001, 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.
- 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. By October 2001 the Department will install international pedestrian traffic signals along the entire corridor.
- During Fiscal 2001 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 Safe Walker/Safe Driver Pledge for children and adult caregivers, the "Seniors Out for Safety" newsletter, "YES for KIDS" magazine, the "2001 Traffic Safety Calendar," the "It All Adds Up to Scooter Safety" bookmark and the "Traffic Safety Education on the Road" brochure.

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- The Safe Walker/Safe Driver Pledge was created especially for use during “Walk Your Child to School Week” to address school drop-off and pick-up safety issues. The material includes a certificate listing pedestrian safety tips and a statement that the child has helped the adult learn how to be a safer driver.
- The “Seniors Out for Safety” newsletter contains traffic safety information, tips and activities aimed at older New Yorkers and is distributed at senior centers. “YES for KIDS” has articles, games, artwork and writing by and for children and will be distributed at City schools and in public libraries.
- A new “Traffic Safety Calendar,” which features winning entries by New Yorkers of all ages, was created for 2001. In response to the recent popularity of scooters among children, DOT has created a bookmark, “It All Adds Up to Scooter Safety,” available in English and Spanish. The bookmark will be distributed at school presentations and in libraries. The “Traffic Safety Education on the Road” brochure highlights DOT’s educational programs for children in kindergarten through second grade.
- During Fiscal 2001 a total of 104,903 elementary school students participated in DOT’s educational programs, including 25,111 who visited one of the five Safety City educational centers. There were 13,989 middle school students, 18,029 high school students and 4,368 senior adults who also attended safety programs. In comparison, during Fiscal 2000, 110,706 elementary school students participated in these programs, including 18,048 who visited Safety City educational centers. There were also 17,074 middle school students, 19,751 high school students and 6,142 senior adults who attended safety programs. In Fiscal 2001 DOT’s Safety Education Unit also conducted two child passenger safety training workshops in which 38 community coordinators, health care workers, police officers and firefighters were trained to install child car seats. The Safety Education Unit operates five car seat fitting stations where families can make an appointment to learn how to correctly install their child car seats.
- In October 2000 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. In October 2000 AAA also presented DOT with the Best Practices Award for its Youth Educating for Safety program and an Outstanding Achievement Award for its Traffic Safety program. In addition, DOT received the Traffic Safety Diversity Award at the World Traffic Safety Symposium at the New York International Auto Show in April 2001. The award recognizes DOT’s efforts to increase traffic safety awareness among New York City’s diverse populations.
- 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 the end of Calendar 2001 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 25 miles per hour. Finalization of criteria is pending the results of a slow speed zone measure implemented as part of the downtown Brooklyn Traffic Calming pilot program.

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- 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. The program has been delayed due to design improvements.
- 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 decreased from 197,325 during Fiscal 2000 to 191,200 during Fiscal 2001. In July 2001 DOT began operating 20 new cameras, increasing the total to 50 cameras citywide. Installation of the cameras was delayed by two months due to late registration of the contract.
- In October 2000 the Department installed signs and pavement markings, including bicycle and pedestrian symbols, along the entire length of the Brooklyn Bridge promenade. This work was completed to conform to the new design on the Manhattan end of the promenade, which changed the bicycle lane to the north side of the promenade and pedestrian lane to the south side. The Department distributed flyers to advise the public of the changes.
- 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 by the Mayor 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.
- In Fiscal 2001 the City continued its rodent control and eradication efforts. In June 2000 the Deputy Mayor for Operations established the Rodent Control Task Force, comprised of over 15 City agencies and quasi-governmental agencies. Chaired by the Mayor's Office of Emergency Management, the Mayor's Office of Operations and DOH, meetings are held weekly to coordinate 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.

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SIGNALS, SIGNS AND LIGHTING

- In Fiscal 2001 DOT received 766 signal study requests, compared to 803 signal study requests received in Fiscal 2000. The Department's goal is to complete each study within 12 weeks of the request. During the fiscal year DOT completed 718 signal studies, compared to 797 completed during Fiscal 2000. At the end of June 2001, 157 signal studies remained pending within the 12-week period, compared to 126 at the end of June 2000. Eighteen studies were pending for more than 12 weeks at the end of Fiscal 2001; one was pending beyond 12 weeks at the end of Fiscal 2000.
- The Department installed 224 traffic signals during Fiscal 2001, compared to 203 signals installed during Fiscal 2000. In Fiscal 2002 the Department plans to install a total of 180 signals. The number installed depends on the number of locations for new traffic signals approved by DOT's Division of Traffic Operations.
 - The Department installed 96.9 percent of new signals within six months of approval during Fiscal 2001, surpassing its objective of 95 percent.
- The Department manufactured 49,694 and installed 126,091 new traffic signs in Fiscal 2001, compared to 60,823 signs manufactured and 129,698 signs installed in Fiscal 2000.
- During Fiscal 2001 the Department replaced and repaired 451 existing bus stop markers, primarily in Manhattan, compared to 118 replaced and repaired during Fiscal 2000. In conjunction with New York City Transit (NYCT), the Department installed two new bus stop markers, one in Queens and one in Manhattan, during Fiscal 2001. In July 2000 the Department solicited bids for a new contract for bus stop marker installation in Brooklyn and Staten Island. The contract award was finalized in December 2000 and the installation of approximately 5,000 bus stop markers in Brooklyn began in April 2001; expected completion of the Brooklyn installations is February 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 Fiscal 2001 the Department removed stickers from 20,698 signs and poles, compared to 21,829 signs and poles during Fiscal 2000. 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 9,840 calls during Fiscal 2001 with an average of 40 calls per day.
- During Fiscal 2001 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 2000 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.

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- In conjunction with the City's Convention and Visitors Bureau, motorists who parked at Shea Stadium on Wednesdays were offered a free MetroCard Fun Pass, valued at \$4.00, for each individual in their car. Since Wednesdays are typically considered gridlock alert days in Manhattan, this program was in place every Wednesday from late November 2000 to early January 2001.
- 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 more than 86 traffic-monitoring cameras and disseminates information to the public traveling to the City through 29 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.

BRIDGE MAINTENANCE AND REHABILITATION

- In Fiscal 2001 DOT completed construction of an entrance ramp to the Belt Parkway from Cropsey Avenue in Brooklyn; landscaping will be completed in Spring 2002. The completion date for landscaping has been pushed forward to accommodate the planting of additional trees. In addition, DOT completed the rehabilitation of the ramp to the George Washington Bridge opposite West 171st Street and Riverside Drive in Manhattan.
- In Fiscal 2001 DOT completed reconstruction work on the bridge structures of Jerome Avenue over Moshulu Parkway, West 205th Street over NYCT, East 178th Street over Metro North and Gun Hill Road over NYCT-Dyre Avenue in the Bronx; 11th Avenue over Long Island Railroad (LIRR) and Bay Parkway over NYCT in Brooklyn; Northern Boulevard over the Cross Island Parkway, Forest Park over LIRR, Forest Park over an abandoned railroad, Forest Park over Myrtle Avenue and 65th Street over LIRR in Queens; and South Avenue over an abandoned railroad in Staten Island. The Jerome Avenue Bridge was opened to traffic nine months ahead of schedule. The Department included an incentive/disincentive clause in the Gun Hill Road contract to ensure early completion of the work. The contractor earned the maximum incentive payment; the City saved approximately \$250,000 in railroad contracts and resident engineering costs and the bridge was completed four months ahead of schedule. The 11th Avenue Bridge opened two weeks ahead of an accelerated schedule. The South Avenue Bridge was opened six weeks ahead of schedule.

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- 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 is preparing for Stage II, which will entail installation of structural components and deck replacement of the middle one-third of the bridge, and is scheduled to begin in October 2001, immediately after the conclusion of the Yankees baseball season. As part of this project, the historic Hooper Fountain, which dates from 1894, was fully renovated in Fall 2000. Completion of the entire reconstruction is expected in Spring 2003.
- 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 contract was extended due to ongoing, complex bearing replacement work.
- 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 and are scheduled for completion by December 2002. The north outer roadway and the north inner roadway are scheduled to open by January 29, 2002 and July 29, 2002, respectively.
- The rehabilitation of the lower outer roadways on the Queensboro Bridge continued during Fiscal 2001. Planned construction, including the south outer roadway, was completed in July 2000, one month ahead of schedule. The change in traffic patterns, including designation of the north outer roadway as a pedestrian and bicycle path and designation of the south outer roadway for Queens-bound vehicular traffic only, began in mid-September 2000. The underdeck lighting of the First Avenue Arch of the Queensboro Bridge was completed in January 2001. Rehabilitation of the City Shops on the Manhattan side of the bridge and the installation of truss covers to prevent debris falling on the roadways was completed in August 2001, with the exception of minor work items. The coordination between the contractor and the various utility companies for the City Shops work was complex, and the truss covers were atypical and therefore took longer to fabricate. Bulkhead repairs on the Queens side of the East River, under the Queensboro Bridge, were completed in August 2000. The final work item, rehabilitation of the necklace lighting, will be completed by the end of December 2001. The scheduled completion of this work is consistent with the approved construction change order requiring nighttime work, which extends the schedule.
- In Fiscal 2001 the Department continued 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 August 1999 the Department awarded a Design-Build contract for the rehabilitation of two masonry arch bridges over Shore Road Drive in Brooklyn. Erection of the road decks and supporting structures was completed in Fall 2000. As a result of the City-imposed accelerated schedule, the two bridges were opened to traffic six weeks ahead of schedule in mid-February 2001. Shore Road Drive was completely reopened in March 2001.

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- 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 widening and lengthening the bridge to provide shoulders and a new configuration of the cloverleaf interchange. Three of the six traffic lanes will be maintained in each direction during all stages of construction. The project is scheduled for completion in October 2004. Because of the federal funding associated with this project, extra levels of review were required, thereby causing a delay in the issuance of the RFP. The scheduled project completion date has been pushed forward due to several factors, including a request from potential bidders for additional time to draft their proposals.
- DOT used a Design-Build contract for the replacement of the deck of the Brooklyn Bridge. In June 2000 the contract was amended to include additional repairs and all work was completed in October 2000, within the one-month extension granted to accommodate the extra work.
- In December 2000 DOT in-house carpenters completed replacement of the Brooklyn Bridge promenade deck and beams parallel to the span used to support the road deck. The replacement of the deteriorated sections of promenade railing with replicas of the existing steel 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 continued during Fiscal 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. Work on the colonnade was completed in December 2000. The south lane of the lower roadway was reopened to traffic in June 2001. The contractor was given a time extension to complete ongoing painting and track work on the south side of the bridge. The new pedestrian and bicycle path on the south side of the bridge officially opened on June 25, 2001. This path is a new link between Manhattan's Chinatown and downtown Brooklyn. The entire bridge project is over 90 percent complete and should be completed by the end of September 2001. The contractor has been unable to complete the work on time and assessed \$10,000 liquidated damages per day since June 25, 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 is a mirror image of the work completed on the south side, which includes replacement of subway track and framing, painting, construction of a new bikeway, a new traffic surveillance system, and a state-of-the-art structural system to reduce bending of the bridge. The work is scheduled for completion by September 2004, instead of the previously published date of May 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 2004.
- The design of the reconstruction of the Third Avenue Bridge over the Harlem River was completed in October 2000. Work is scheduled to begin in Fall 2002. 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.

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- 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 October 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 October 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 Fiscal 2001 the Department removed 7.1 million square feet of graffiti from bridges, arterial highways and neighborhoods in all five boroughs, compared with 6.8 million square feet during Fiscal 2000. As of June 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.
- As part of a contract to study the City’s 25 movable waterway bridges, in February 2001 DOT completed a preliminary study of eight bridges over the Harlem River, six bridges over Newton Creek and five bridges over the Gowanus Canal. The goal was to determine which of these movable bridges could be converted to fixed bridge status and no longer open to waterway traffic, or modified to reduce the number of bridge openings. In June 2001 the Roosevelt Island Bridge, previously converted to fixed bridge status, was reclassified as a movable bridge. In October 2000 the Department implemented United States Coast Guard-approved changes to the bridge regulations governing the movable bridges, changing the status of certain bridges from “open on demand” to requiring two-hour advance notice. The change allows DOT to comply with regulations requiring use of mobile crews. The reduction in planned personnel will save approximately \$650,000 annually.
- The implementation of the federally funded East River bridges preventive maintenance program continued during Fiscal 2001.
 - The Department had planned to install a Road Weather Information System (RWIS) on the Brooklyn Bridge by December 2001. RWIS was initially designed to collect data on weather and bridge pavement conditions using atmospheric and pavement sensors. It has since been determined that a potentially greater benefit may be achieved by using information collected by RWIS to automate the operation of a Fixed Anti-Icing Spray Technology (FAST) system. Therefore, DOT is studying its anti-icing operation and the East River bridges program to determine which bridge will be most appropriate for installation of an integrated RWIS/FAST system.
 - 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 spray trucks and 10 plow trucks, and by December 2001 will have 10 additional trucks that can both spray and plow.

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- The reconstruction of the Williamsburg Bridge subway structure was selected as the 2000 Bridge Project of the Year by a major construction industry publication. The award recognizes the contribution of key development team members and the innovative solutions implemented by DOT. The reconstruction of the Williamsburg Bridge subway structure was also 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," and in July 2001 the bridge was selected by the National Steel Bridge Alliance to receive the Prize Bridge Award in its Movable Span Category.
- Rehabilitation work on the Battery Park Underpass, Park Avenue and First Avenue tunnels in Manhattan is scheduled for completion in July 2002. A delay resulted, in part, from additional time required by the contractor to procure the necessary materials and subcontractors. The contract includes the rehabilitation of the mechanical and electrical systems including the ventilation, fire, lighting and drainage systems. The project is now approximately 50 percent complete.
- 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 solution to detect overheight vehicles by the end of June 2002, delayed due to late registration of the contract, which took place in July 2001. 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.
- 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 March 2004.

STREET AND ARTERIAL HIGHWAY MAINTENANCE

- During Fiscal 2001 DOT resurfaced 717.2 lane miles, compared with 707.8 lane miles during Fiscal 2000, revised from 712.3 lane miles published in the Fiscal 2000 Mayor's Management Report. The Department plans to resurface 794.4 lane miles in Fiscal 2002, a 100-lane mile increase over last year's target.
- During Fiscal 2001 the Department received 31,913 pothole complaints and repaired 121,331 potholes citywide, compared with 24,672 complaints and 84,810 repairs during Fiscal 2000. The Department repaired 70 percent of pothole complaints within 30 days during Fiscal 2001, compared to 65 percent during Fiscal 2000. Additionally, in October 2000 the Department began an aggressive 10-week pothole repair campaign. By the conclusion of the campaign in December 2000, DOT repaired a total of 17,717 potholes, surpassing its goal of 14,500 pothole repairs.
- As of the end of June 2001, 337 or 93 percent of a total of 362 adoptable miles in the Adopt-a-Highway program were adopted by sponsors, the same as at the end of June 2000. During Fiscal 2001, 20 percent of adopted miles were inspected weekly for quality assurance, compared to 19 percent during Fiscal 2000.

DEPARTMENT OF TRANSPORTATION

- Repair of a street collapse on Saint Felix Street in Brooklyn is expected to be completed by October 2001. Once this project is completed, the street and the houses will be restored to landmark condition. Street paving was completed in November 2000. Interior work was completed in January 2001. All stucco crack repairs began in late Spring 2001. These repairs will be completed by October 2001. Work on the areaways and balustrades was completed by the end of February 2001. Remaining work on this project, including window replacement and some miscellaneous repairs, is expected to be completed by the end of October 2001.
- As of June 2001 the Hamilton Asphalt Plant produced asphalt with an average recycled content of 37 percent, compared to 38 percent as of June 2000. The plant's production was 354,859 tons in Fiscal 2001, compared with 355,053 tons in Fiscal 2000.
- In Fiscal 2001 the Department continued performing litter and weed removal on the service roads of the City's arterial highways. DOT removed 110,968 cubic yards of debris from the highways, compared to 159,090 cubic yards in Fiscal 2000.
- The Department issued a total of 15,576 permits for emergency street work during Fiscal 2001, a 6.4 percent increase from the number of permits issued in Fiscal 2000. On average, DOT issued 1,298 emergency permits per month during Fiscal 2001, compared to 1,220 emergency permits per month during Fiscal 2000. In Fiscal 2001 DOT's Highway Inspection and Quality Assurance unit made 19,390 visits to emergency sites and issued 483 summonses to contractors for violating the terms of an emergency permit, compared to 21,930 inspections and 330 summonses during Fiscal 2000. There are more site visits than emergency permits issued because a night crew inspects some sites to ensure that the work is done properly and continuously until the sites are made safe. During Fiscal 2001 a total of 153 summonses were issued for performing nonemergency work with an emergency permit, compared to 178 summonses issued in Fiscal 2000.
- The Department continued its initiative to increase the compliance of contractors working on the arterial highways. During Fiscal 2001 the Department issued 49 summonses to contractors in violation of the stipulations of their DOT permits, compared to 41 summonses issued during Fiscal 2000. 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.
- The Department is working to ensure that telecommunications franchise installations under the City's streets be accomplished with a minimal amount of excavation and disruption to the public.
 - All telecommunication franchises operating in Manhattan and the Bronx are requested to gain access to main line conduits from two major providers to prevent unnecessary excavation. DOT is continuing to permit the telecommunication franchises holding main line conduits to install "lateral" conduits that connect directly into a building, although the Department may reevaluate individual buildings that have many franchises providing services. DOT has also requested that one major provider expand its main line conduit system in a timely fashion to accommodate additional franchises or consider other alternatives to expedite the conduit system's expansion.
 - In Brooklyn, Queens and Staten Island, DOT has permitted franchises to install conduits, contingent upon a signed agreement to install additional conduit capacity for future use by other franchises.
- In October 2000 the Department completed construction of a new 400-foot access road from northbound Stillwell Avenue to the main eastbound roadway of Pelham Parkway in the Bronx. The \$150,000 roadway project was designed and built by in-house personnel to ease congestion on Eastchester Road, the area surrounding several major health care, emergency service and police facilities. Motorists now can easily access the Hutchinson River Parkway, the Bruckner Expressway and the New England Thruway.

DEPARTMENT OF TRANSPORTATION

PARKING INITIATIVES

- The number of operational electronic parking meters citywide at the end of June 2001 was 36,901, compared to 32,089 meters as of the end of June 2000. Meters are often removed during reconstruction projects but are eventually reinstalled, either at their original locations or at new locations.
- Approximately 58 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 Fiscal 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 pay the standard three-hour limit and are charged \$1.00 for the first hour, \$3.00 for the second hour and \$6.00 for the third hour. The rates published in the Preliminary Fiscal 2001 Mayor's Management Report were incorrect. As part of the implementation of this initiative, uniformed DOT parking personnel were deployed to these sites during the hours of operation to assist the public with the new meter technology and parking regulation changes. A total of 5,000 flyers were disseminated to local merchants and truckers to notify them of the new parking regulations.
 - 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 \$110,000 in parking cards to some 350 commercial fleets that use this area.

BICYCLE PROGRAM

- In Spring 2002 the Department anticipates opening nine miles of new Class II bicycle lanes/Class III bicycle routes on City streets connecting the Mosholu-Pelham Greenway with the Macombs Dam Bridge in the Bronx. A delay from Spring 2001 was experienced as a result of unanticipated data collection and analysis, and design and community issues.
- In June 2001 DOT opened 3.6 miles of new Class II bicycle lanes/Class III bicycle routes along Richmond Terrace in Staten Island connecting the Staten Island Ferry with Sailors' Snug Harbor Cultural Center. The Richmond Terrace facility opened in coordination with the opening of the new Yankees minor league baseball stadium in Staten Island. The previously published figure of seven miles has been revised.

DEPARTMENT OF TRANSPORTATION

- In Fall 2001 the Department anticipates installing 6.3 miles of new Class II bicycle lanes on City streets connecting an existing bicycle path along Shore Parkway to Fourth Avenue and Owls Head Park in Bay Ridge and to Prospect Park, Brooklyn. The delay from Spring 2001 and the decision not to install two miles of Class II bicycle lanes on Avenue P between Flatbush and Nostrand avenues in Bensonhurst, Brooklyn were the result of community concerns.
- 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 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 installed 727 bicycle racks citywide during Fiscal 2001 and anticipates the installation of 1,000 more racks in Fiscal 2002. 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 Department awarded the design and construction management contract in June 1999. It is anticipated that construction of the first ferry will begin by the end of Calendar 2001 and be completed by the end of Calendar 2003, pending selection of a contractor. The development and approval processes for contract specifications required more time than originally anticipated. Bid documents were made available in April 2001 and were opened in August 2001. The new boats will provide capacity for 800 to 900 more passengers on four decks 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 Fiscal 2001. During Fall 2000, two ferry companies transported a total of 2,606 passengers to World Series games; 1,230 passengers to Yankee Stadium and 1,376 passengers to Shea Stadium, compared to 1,700 passengers transported to the World Series at Yankee Stadium by one company in Fall 1999. 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. Service to weekend games from the St. George Terminal in Staten Island and from Bayonne, New Jersey has been discontinued. Ferry service is available to Shea and Yankee stadiums from Highlands, New Jersey for most weekend and some weekday games. This service was previously offered infrequently and only on weekends.
- The Department extended Staten Island ferry service to every half hour on weekend nights of Staten Island Yankees home games, from 7:00 P.M. until 11:00 P.M. 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.

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- A groundbreaking ceremony for construction of the Whitehall Ferry Terminal was held in September 2000. Construction will continue in multiple phases so that two of three ferry slips will remain available at all times. Improvements to the terminal include pedestrian circulation and connections to subways and buses. 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, installation of air conditioning in the waiting room and the addition of 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.
- Ferries began operating from the new Wall Street Ferry Pier at Pier 11 in December 1999. DOT assessed a problem it discovered with the system used to secure several of the barges, or floating docks, and is working with the Economic Development Corporation (EDC) to correct the problem. The Wall Street Ferry Terminal building was officially opened to the public in November 2000. Preliminary hours of operation are 1:00 P.M. to 8:00 P.M., Monday through Friday.
- The Department has been working closely with the Mayor's Office of Transportation, 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.
- In August 2000 ferry service began operating between Liberty Landing, New Jersey and Battery Park City, Manhattan. The Delta Water Shuttle and the ferry from Hunters Point to East 34th Street suspended service in Fiscal 2001. In May 2001 ferry service commenced between Glen Cove, Long Island and Pier 11.

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 one 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. Design work for the remaining three depots is delayed pending discussions with the bus depot operators.
- In an effort to expand the City's Electric Vehicle program, the Department is working closely with electric vehicle manufacturers, the New York Power Authority (NYPA) and the State Office of General Services to lease/purchase additional electric vehicles for the City's fleet. Eleven minivans were delivered in October 2000. In Fiscal 2001 the Department received 43 hybrid vehicles operating on both gasoline and battery power. The loan of two delivery vans to the United States Postal Service for use in Manhattan has been extended until another private fleet operator can be identified to use these vehicles.

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- DOT, in conjunction with the Metropolitan Transportation Authority, NYPA and the Lower Manhattan Business Improvement District, will purchase eight electric shuttle buses for use in the downtown route. An RFP for the manufacture and purchase of the buses was released as planned in February 2001. Specifications for the buses are being negotiated with the bus manufacturer. Because of the unique technology used by this industry, vehicle manufacturing is limited to a few vendors who can meet the specifications. Six proposed bus routes through Lower Manhattan are currently under review by local community groups. The Department estimates that an operator will be selected by April 2002, delayed from September 2001 due to technology issues.
 - DOT is also working jointly with NYPA to use an electric school bus with a Board of Education school bus service provider to demonstrate the economic and environmental benefits of this technology. This project was delayed due to bus modifications required by the New York State Department of Transportation. The bus entered service in January 2001.
- 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 number of buses to be purchased is lower than originally planned due to funding constraints. The solicitation is due to be released by the end of September 2001 with a delivery schedule estimated to begin in Calendar 2003. The solicitation was delayed three times from early Calendar 2000 due to specification development issues. Fueling station work was delayed by pipeline provider concerns and CNG project construction issues.
- As a result of the Mayor's successful One City, One Fare program, DOT estimates that ridership on the City's seven franchised bus lines increased by 4.3 percent during Fiscal 2001. More than 112.4 million passengers rode these buses during Fiscal 2001, compared to 107.8 million during Fiscal 2000.

MANAGEMENT INITIATIVES

- In December 2000 the Department implemented a comprehensive management accountability program known as MOVE (Management, Ownership, Vision, Empowerment). This program holds managers accountable 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 24 sessions have been held, examining DOT operations in various areas. Results of the program include major Staten Island Ferry customer service improvements, decreased processing time for personnel paperwork and a more efficient system for tracking traffic sign requests.
- In Fiscal 2001 DOT consolidated the management of the Private Ferry Operations, Staten Island Ferry, Pre-Kindergarten Transportation, Franchised Buses and Alternative Fuel Vehicle programs under a new Passenger Transport Division.

DEPARTMENT OF TRANSPORTATION

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 three years ago. Of the 374,283 calls received in Fiscal 2001, the Interactive Voice Response (IVR) system, an automated telephone system that answers frequently asked questions and/or directs callers to appropriate sources, handled 52 percent or 194,627 calls; Call Managers handled 48 percent or 179,656 calls.
 - 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.
 - 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 August 2001, the Call Center staff had made 9,985 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 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 August 2001, the Call Center staff had made 278 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 the end of August 2001, the Call Center staff had received 2,230 online requests for pothole repairs.
 - 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 August 2001, the Call Center staff had made 1,623 return calls to customers.
- The Department continues to coordinate with DOH and Bellevue Hospital in Manhattan on issuing Parking Permits for People with Disabilities (PPPD). PPPD allows permit 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 for a permit has been reduced from six months to three months as of the end of June 2001.
- DOT continued its participation in the national "It All Adds Up to Cleaner Air" initiative. Several nonprofit and private organizations in the New York City area are sponsoring events and disseminating messages to promote public awareness about air pollution and suggest actions New Yorkers can take to reduce the adverse effects of air pollution from vehicles. Air quality awareness messages continue to be posted on billboards and advertisements installed on 200 bus stop shelters citywide. Messages were also placed on electronic billboards at Times Square, Shea Stadium and Yankee Stadium, and on DOT's home page and the Call Center's IVR system. In addition, the air quality awareness message has been incorporated into DOT's Safety Education Program curriculum. In October 2000 the Department received a Certificate of Appreciation jointly signed by the United States Environmental Protection Agency and the United States Department of Transportation in recognition of the City's efforts to promote awareness of the links between travel choices and air quality. Over the next year, DOT will continue targeted distribution of the message through Agency mailings as well as at strategic locations.

DEPARTMENT OF TRANSPORTATION

TECHNOLOGY

- In Fiscal 2001 DOT continued to participate in a Permit Coordination initiative with NYPD; the Fire Department; the Mayor's Community Assistance Unit Street Activity Permit Office; the departments of Environmental Protection, Parks and Recreation, 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, as of January 2000 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.
- 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 should be Internet-enabled by the end of September 2001.
- During Fiscal 2001 DOT received 3.92 million page views on NYC.GOV, the City's official Web site, compared with 2.32 million views during Fiscal 2000. Over 30 percent of the total page views in June 2001 focused on the interactive transportation maps. The real-time traffic cameras received 22 percent of total page views in June 2001.
 - DOT posted new information and features to its site, including the full text of the New York City Traffic Rules in September 2000; an online form to order traffic safety educational materials in October 2000; and comprehensive information on special events, such as July's OpSail 2000, October's World Series and November's New York City Marathon. Real-time traffic cameras, offering streaming video and frequently updated still photos of traffic conditions at 50 locations throughout the City, were added in December 2000. In addition, an online form to report potholes was added in January 2001 and a Staten Island Ferry survey form was added in April 2001. An online form to report construction-related problems on streets or highways was added in May 2001.
- 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 Department continues to develop specifications and plans to begin procurement by Fall 2001.

DEPARTMENT OF TRANSPORTATION

- 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 in December 2001. 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 in September 2001.
 - Contracting with a consultant, DOT has developed a state-of-the-art map application for use by the Street Assessment Unit. In July 2000 the Street Assessment Unit began using the new system to fulfill its Charter-mandated assessment of the condition of all City streets every two years. The system operates on a laptop computer, allowing inspectors to view their route on a map and record information about each street segment in the database.
- The Department regularly receives motor vehicle accident data from the New York State Department of Transportation. In October 2000 DOT coordinated with NYPD to access its Online Accident Index System, which provides data about motor vehicle accidents entered by police officers. Access by DOT will decrease the lag between the time an accident occurs and the point when DOT engineers and planners are able to view accident data in order to improve safety measures at high-accident locations.

BUDGET HIGHLIGHTS

- During Fiscal 2001 the Department's expenditures were \$18.8 million, compared with its plan of \$520.4 million; headcount was 3,941, compared with its plan of 4,370. The Department's Fiscal 2000 expenditures were \$464.8 million, and headcount was 3,945.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$175.2 million and a planned headcount of 3,972.

DEPARTMENT OF TRANSPORTATION

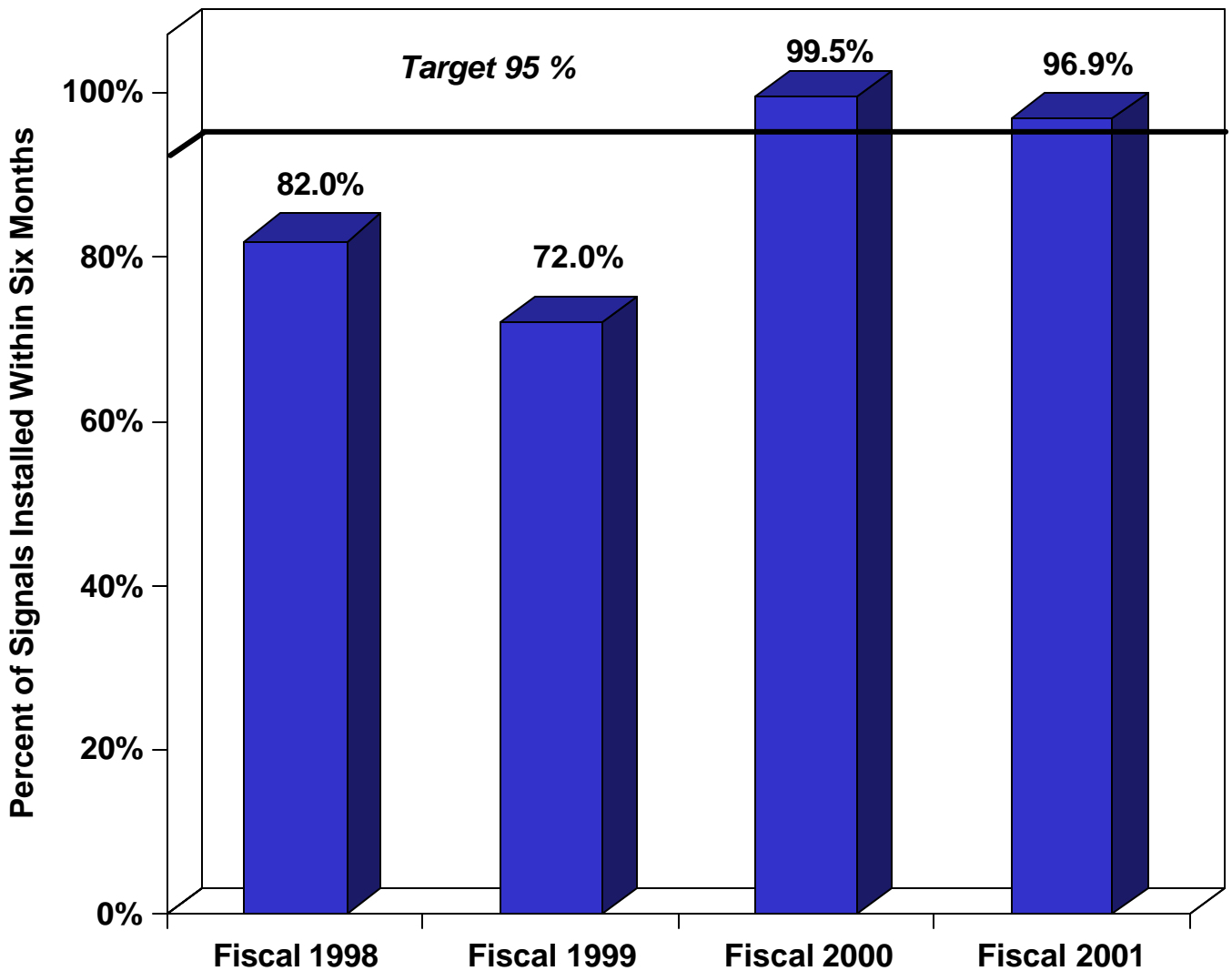
LONG-TERM TRENDS IN AGENCY OBJECTIVES

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

(a) Data has been updated from the Fiscal 2000 and Preliminary Fiscal 2001 Mayor's Management Reports.

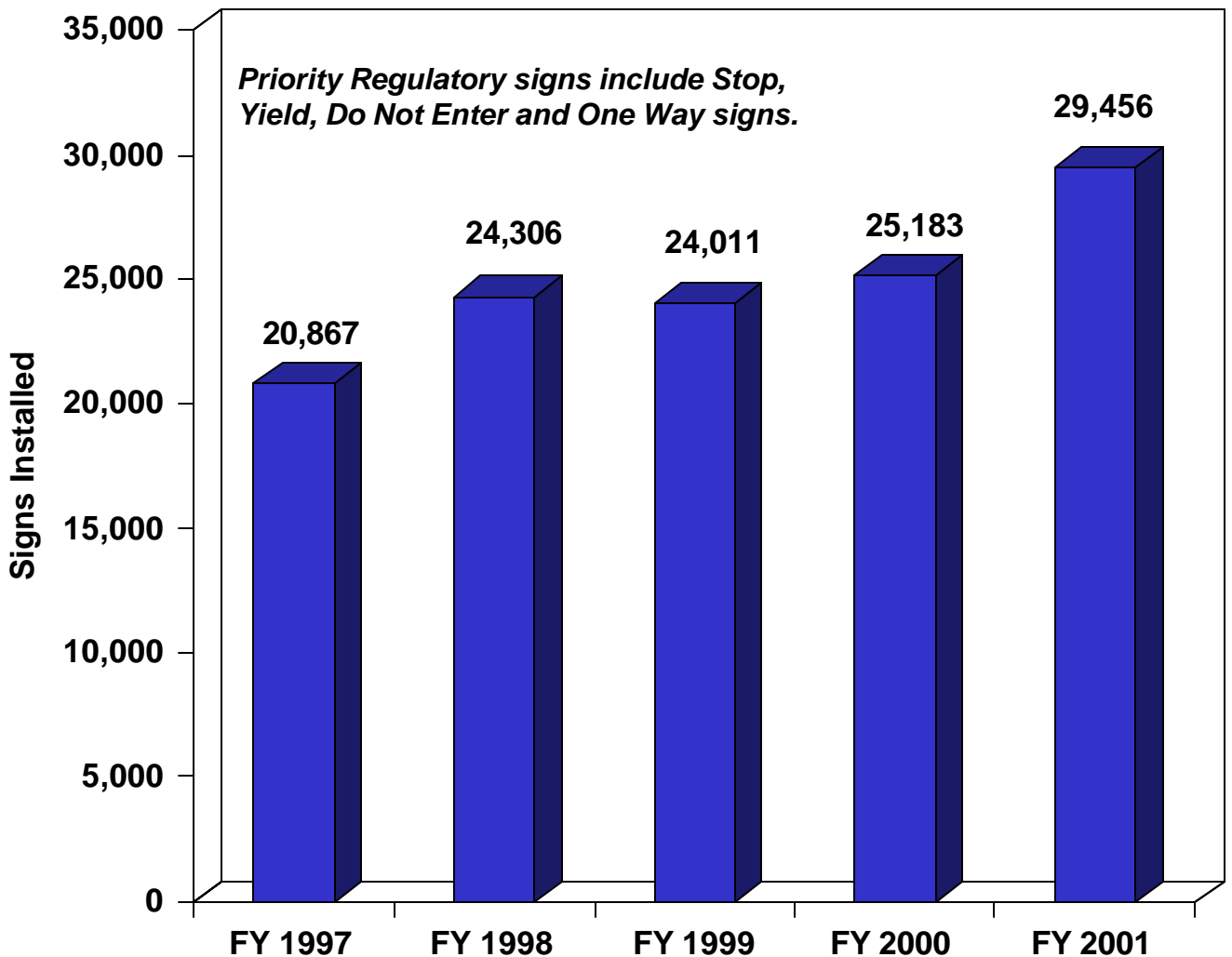
Department of Transportation

Percent of Traffic Signals Installed Within Six Months of Approval Fiscal 1998 - 2001



Department of Transportation

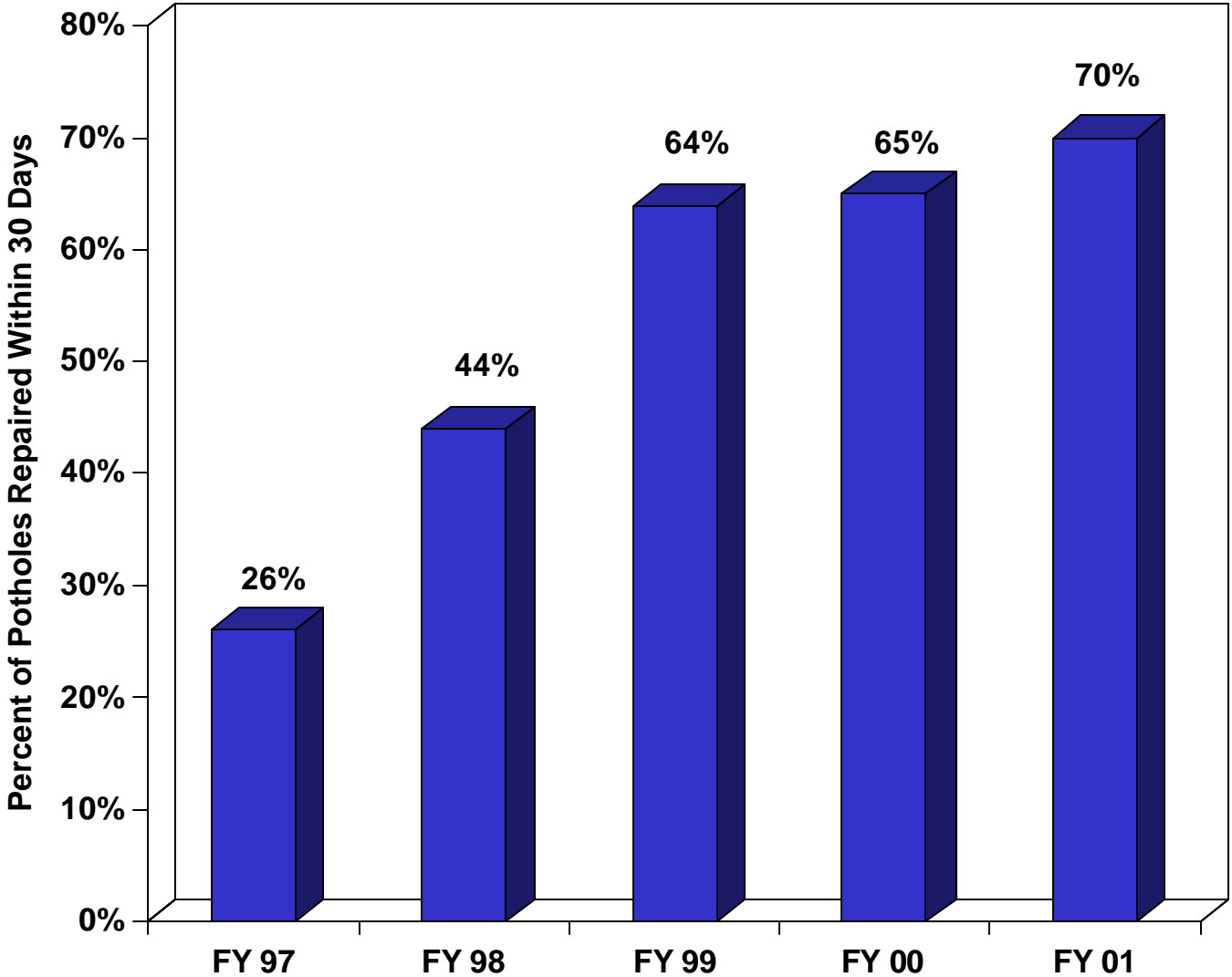
Priority Regulatory Sign Installation Fiscal 1997-2001



From Fiscal 1997 to Fiscal 2001, 100% of priority regulatory signs have been replaced or repaired within nine days. Priority regulatory sign repair/replacement data was first reported in Fiscal 1997.

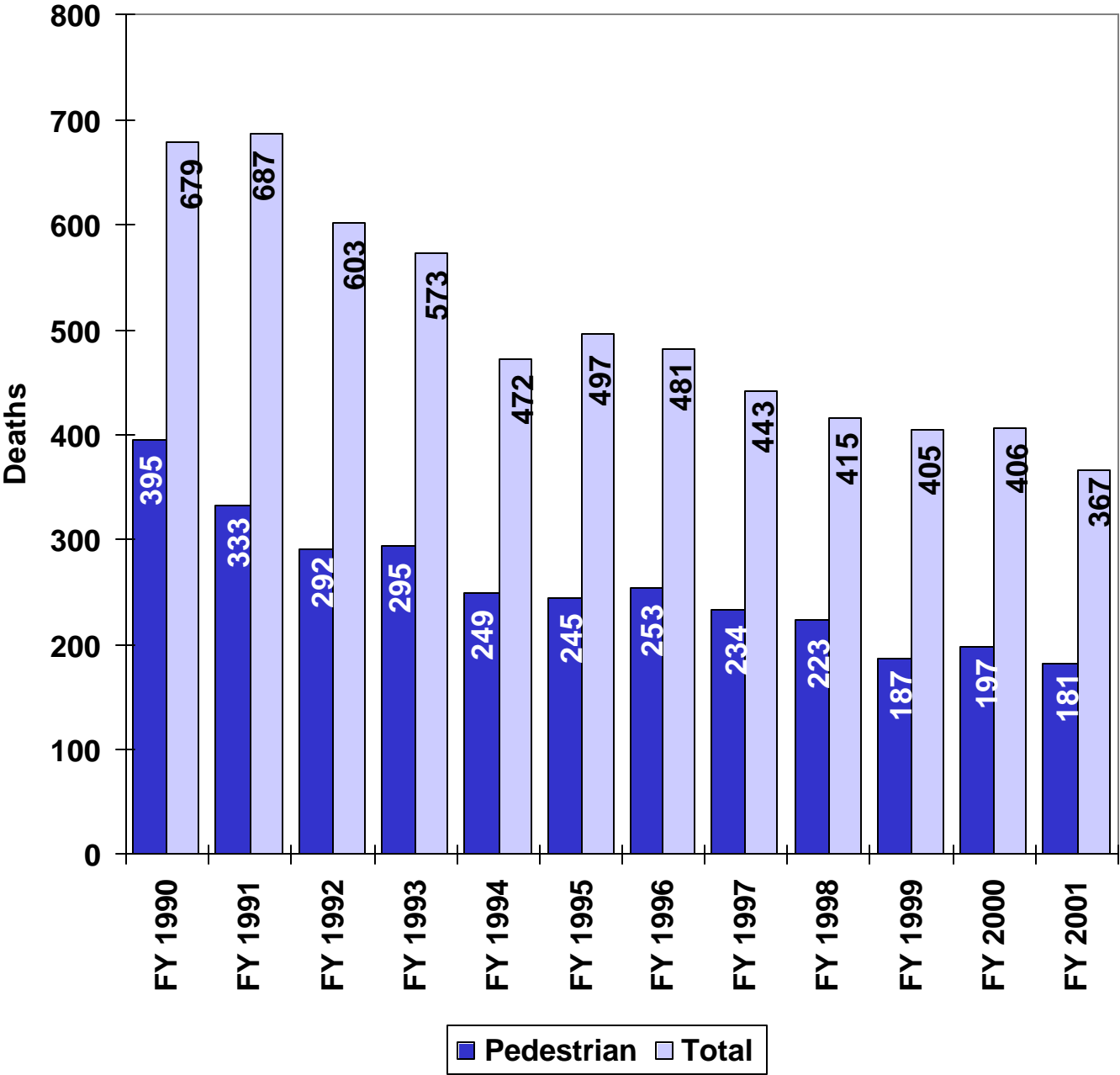
Department of Transportation

Pothole Repairs Completed Within 30 Days Fiscal 1997 - Fiscal 2001



Department of Transportation

Traffic Deaths Fiscal 1990-2001



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 828,000 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	FY 01 Actual	FY 02 Plan
Solicit the purchase of approximately 52,846 acres of watershed land and enter into contracts to purchase 8,500 additional acres from January 2000 to January 2001.		
Analyze 65,000 water samples for compliance with federal and State standards.	65,371	65,000
Complete 32 Whole Farm Plans in the Watershed Agricultural Program for a total of 105 participating farms by December 2001.		

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

Objective	FY 01 Actual	FY 02 Plan
Resolve 85% of leak complaints requiring excavation within 30 days.	90%	85%
Repair or replace 16,000 hydrants.	14,912	16,000
Clean 43,000 catch basins.	41,323	41,000
Resolve 90% of catch basin complaints within 30 days.	95.2%	90%
Resolve 98% of sewer backup complaints within 24 hours.	99.9%	98%

DEPARTMENT OF ENVIRONMENTAL PROTECTION

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

Objective	FY 01 Actual	FY 02 Plan
Ensure that 100% of effluent meets federal standards.	100%	100%
Complete 69% of scheduled monthly preventive maintenance at wastewater treatment plants.	68.5%	69%
Comply with the State standard for Dissolved Oxygen at 89% of survey stations in New York harbor.	94%	89%

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

Objective	FY 01 Actual	FY 02 Plan
Install 50,000 water meters.	34,377	35,000
Maintain the percentage of adjusted water/sewer bills at 4%.	4%	4%
Reduce the percentage of estimated water/sewer bills to 15%.	15%	15%
Perform 12,000 residential water surveys and distribute 6,000 home water saving kits.	42,699 / 21,289	20,000 / 15,000

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

Objective	FY 01 Actual	FY 02 Plan
Respond to 96% of air quality, noise and asbestos complaints.	98%	97%

HIGHLIGHTS AND ACHIEVEMENTS

WATER QUALITY PROTECTION

- During Fiscal 2001 the Department of Environmental Protection (DEP) issued 25 notices of violation and 79 notices of failure for individual residential septic systems, 117 environmental summonses, 595 penal law summonses and 134 notices of warning throughout the watershed region. In comparison, the Department issued a total of 32 notices of violation and 70 notices of failure for individual residential septic systems, 64 environmental summonses, 613 penal law summonses, and 152 notices of warning throughout the watershed region in Fiscal 2000.
- DEP reviewed more than 2,000 projects for compliance with the requirements of the Watershed Rules and Regulations. In Calendar 2001 DEP has made 453 determinations on various projects, including Stormwater Pollution Prevention Plans, compared with 292 determinations in Calendar 2000.
- The City is committed to soliciting the purchase of 350,000 acres of watershed land within a 10-year period under the 1997 Memorandum of Agreement (MOA), which established the Land Acquisition and Stewardship Program (LASP). Since that time DEP has solicited the purchase of more than 232,140 acres, 54,056 of which were solicited during Fiscal 2001.

DEPARTMENT OF ENVIRONMENTAL PROTECTION

- During Fiscal 2001 DEP entered into 110 contracts to purchase a total of 7,139 acres of watershed land and the City acquired title to 83 parcels, totaling 4,591 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 29,700 acres of land in the watershed.
- During Fiscal 2001 DEP funded 224 septic system remediations through the Septic Rehabilitation and Replacement Program, compared to 281 remediations in Fiscal 2000. The original goal of the program was to seek out and fund repair work of failed septic systems throughout the West of Hudson watershed area. However, as the funds allotted to this program are rapidly being disbursed, the scope of the program has narrowed, focusing only in areas critical to water quality.
- In Fiscal 2001 DEP continued its efforts with the Watershed Agricultural Council to administer the City's Watershed Agricultural Program, which provides for pollution prevention planning programs designed to improve farming practices and water quality on farms in the watershed. A total of 320 farms have entered into agreements with the Watershed Agricultural Council 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 Fiscal 2001 DEP assisted 73 participating farms to complete Whole Farm Plans.
 - Under the MOA, 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 production and establish forested riparian buffers. As of July 2001, 45 CREP contracts were completed, with 460.5 acres of riparian buffers planned, and 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 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 flow generated by these wastewater treatment plants, the majority comes from three plants in the villages of Walton, Delhi and Stamford. By the end of July 2001, those plants responsible for 80.6 percent of the total wastewater flow in the West of Hudson watershed had submitted preliminary upgrades. DEP projects that 83 percent of the wastewater flow in the Catskill/Delaware watersheds, those covered by EPA's Filtration Avoidance Determination (FAD), will be upgraded to tertiary treatment by the end of the second quarter of Calendar 2002, in substantial compliance with FAD mandates.
 - DEP has conducted outreach to the additional non-City-owned plants that were not among the original 102. This includes providing information on the program and owners' responsibilities.
- 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 August 2001 there were 105 employees.

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- DEP must comply with the federal consent order 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. Historically, the Croton system provides, on average, 10 percent of the City's needs in periods of normal rainfall, and up to 30 percent in periods of below normal rainfall. In the event that the State Legislature does not authorize use of the Mosholu Golf Course site in Van Cortlandt Park, DEP is investigating the possibility of siting a filtration plant at the Jerome Park Reservoir in the Bronx, or at one of several sites in Westchester County.
- In Calendar 2000 DEP hired a consultant engineering firm to develop a comprehensive watershed protection plan for the Croton watershed. This two-year contract will integrate the results of the many diverse pollution-prevention programs active in the Croton watershed, as well as gather new information to assist in watershed planning and management.
 - The Croton Plan is an existing joint Westchester/Putnam County program funded by the City in accordance with the 1997 MOA. In December 2000 the Croton Plan initiated a two-year contract to evaluate and review water quality, natural resources, demographics, population growth patterns and land use, and zoning in terms of how they affect watershed protection.
- DEP has put into place 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 conducted a house-to-house survey and found no additional failing septic systems.
 - Stormwater runoff and pollutants from corporate parks and the Westchester County Airport are closely monitored. In Calendar 2000 DEP began collecting groundwater samples at various locations at the County Airport to test for any possible substances that may affect the water supply.
 - These programs have been effective in maintaining the high quality of the City's water; the Catskill and Delaware waters that flow into Kensico actually improve in quality as they pass through the Kensico Reservoir. DEP's efforts to acquire additional protective lands in the basin will only enhance the protection afforded by the programs that are already in place.
- In December 2000 Shaft 6 of the Delaware Aqueduct, a vertical tunnel providing access into the Delaware Aqueduct from the surface, was repaired. DEP executed a contract for the construction of an autonomous underwater vehicle (AUV) that will inspect the Roundout-West Branch section of the Aqueduct while it is filled with water. Design is proceeding and the AUV is expected to be ready for inspection of the Aqueduct in October 2002.

CUSTOMER SERVICES

- The Department's automated Customer Information System manages 827,991 water/sewer customer accounts. There are 752,557 metered accounts and 75,434 flat-rate accounts.
- During Fiscal 2001 DEP's Water and Sewer Billing Call Center received an average of 28,176 calls each month, a 15 percent decrease from Fiscal 2000. However, the average waiting time to speak with a customer service agent increased to seven minutes and eight seconds in Fiscal 2001, compared to five minutes and nine seconds in Fiscal 2000. The greatest increases in waiting time were in the first four months of Fiscal 2001, when customers were still reacting to the first surcharges issued to unmetered properties. The average length of the calls increased by approximately 29 percent. The increase in waiting time is also a result of the Department's continuing efforts to improve billing, such as adjusting

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accounts previously billed based on estimated consumption, and requesting updated name and address information from customers to ensure that bills are delivered to property owners.

- The total number of water/sewer bills that are estimated has dropped steadily, from approximately 42 percent at the end of Fiscal 1996, to 15 percent by the end of Fiscal 2001.
- The Department continues to work with the Law Department and the Department of Finance (DOF) to sell delinquent water/sewer liens. DEP received \$41.5 million in payments from lien sales during Fiscal 2001. DEP refunded \$1.4 million in payments for readjusted lien sales from previous years.
 - In June 2001 the Mayor signed new legislation granting the Water Board permission to sell water liens even when property owners have paid their property taxes to avoid a tax lien.
- During Fiscal 2001 the Department continued to develop collection programs. Over 4,000 delinquent account holders received calls and letters from DEP. DEP and the Sheriff's Office jointly sent letters to 1,089 accounts. Sixty-three cases were referred to a private law firm to pilot test securing personal judgments against property owners. These programs have yielded over \$40 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 effectively process larger volumes of delinquent account cases.
- DEP continued its privatized meter reading program in Staten Island and the Bronx during Fiscal 2001, saving approximately \$480,000 annually. The Department awarded a contract in August 2001 to expand the program to all boroughs by the end of Calendar 2001.
- During Fiscal 2001 the Department continued its residential water survey program, offering a range of free services that help customers conserve water in their homes. During the reporting period 42,655 water surveys were completed and 21,289 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 Fiscal 2001 DEP and contractors installed 34,377 water meters, compared to 40,972 in Fiscal 2000. Of the 827,991 accounts in the City, 75,434 accounts were not metered by the end of Fiscal 2001. Most of those were in the process of metering, with active work orders in queues with DEP contractors. There were 25,449 accounts surcharged as of July 2001 for failing to take appropriate steps to have a meter installed.
- In continuing its goal to promote water conservation, DEP and the New York City Housing Authority (NYCHA) signed a Memorandum of Understanding in March 2000 to install meters in all of NYCHA's properties, beginning in Fiscal 2001. Installations have begun in Staten Island and are expected to expand to all five boroughs during Fiscal 2002; a contract has been awarded for Queens. In conjunction with the meter installations, NYCHA will incorporate an automated meter reading system into its water meters to establish a new, comprehensive database for billing and auditing water consumption at all developments.
- During Fiscal 2001 DEP Help Center customer service agents answered 94 percent of incoming calls, compared with 93 percent during Fiscal 2000. A total of 73 percent of the calls were answered within 20 seconds during Fiscal 2001, compared with 77 percent in Fiscal 2000.

RESERVOIR CAPACITY AND CONSUMPTION

- Precipitation in the watershed was 39.56 inches during Fiscal 2001, compared to 54.55 inches during Fiscal 2000. The reservoir system was at 95.2 percent of capacity at the end of Fiscal 2001, compared to 98.9 percent at the end of Fiscal 2000.
- The average daily water consumption within the City was 1.201 billion gallons per day (BGD) during Fiscal 2001, compared with 1.232 BGD during Fiscal 2000.
- As part of its water quality monitoring program, DEP collected 65,371 water samples during Fiscal 2001, compared to 66,977 samples during Fiscal 2000.

CITY TUNNEL No. 3

- City Tunnel No. 3 is the largest capital construction project in the history of the City and will serve 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 commenced in 1970. Stages I and II are devoted to the improvement of the distribution capability of the system and will not provide any additional supply of water.
 - Stage I improved the distribution capability of the water system and 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.
 - 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. The Manhattan leg will extend down the West Side to the City Hall area, and continue north along the East Side, and terminate in Midtown. 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 and lined. Bids for part of the Manhattan leg were opened in August 2001.
 - A site near the Van Cortlandt Valve Chamber in the Bronx was selected in October 2000 as a memorial to 23 tunnel workers who lost their lives during its construction. Work on the memorial is expected to begin in late Calendar 2001.

WATER AND SEWER OPERATIONS

- During Fiscal 2001 the Department's leak-detection crews surveyed 23.4 million linear feet of water main, compared with 20.6 million linear feet during Fiscal 2000. As a result, 22 potential water main breaks and 232 leaks were detected, saving 12.3 million gallons of water per day during Fiscal 2001. DEP leak detection crews discovered 82 water main breaks during Fiscal 2001, compared to 102 breaks during Fiscal 2000.
- The Department received 9,888 catch basin complaints during Fiscal 2001 and resolved 95.2 percent of the complaints within 30 days. In comparison, it received 8,675 complaints during Fiscal 2000, resolving 95.4 percent within 30 days.

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- During Fiscal 2001 DEP cleaned 41,323 catch basins, compared with 42,256 catch basins during Fiscal 2000. A contract to inspect, repair and clean catch basins with a private vendor, which supplemented DEP's catch basin cleaning, concluded in Fiscal 2000. DEP's in-house personnel will continue to inspect the catch basins until another private vendor contract is negotiated.
- 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 by the Mayor 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 began weekly sampling for mosquito larvae at all wastewater treatment plants. The results indicated low levels of larval activity, which is normal for the season.
 - During the reporting period DEP fumigated wastewater treatment plants to kill any mosquito breeding colonies. 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. In June 2000 DEP purchased 125 mosquito traps. These traps are placed at various DEP facilities throughout the City.
- In Fiscal 2001 the City continued its rodent control and eradication efforts. In June 2000 the Deputy Mayor for Operations established the Rodent Control Task Force comprised of over 15 City agencies and quasi-agencies. Chaired by the Mayor's Office of Emergency Management, the Mayor's Office of Operations and DOH, meetings are held weekly to coordinate Integrated Pest Management practices, including assessment, abatement and eradication activities.
 - As a participant in this Task Force, DEP inspected catch basins to insure they are not clogged or filled with debris. Where necessary, DOH baited the cleaned catch basins.
 - DEP added requirements in its contracts to insure that contractors address rodent issues before and during construction.

LANDFILL REMEDIATION

- The Department is remediating four former Department of Sanitation landfills, located at Pelham Bay in the Bronx, Pennsylvania Avenue and Fountain Avenue in Brooklyn and Brookfield Avenue in Staten Island. As a result of illegal disposal practices that occurred while the landfills were active, the sites are on both the State's list of inactive hazardous waste sites and the federal Environmental Protection Agency's (EPA) Superfund list.
 - DEP completed remediation activities at the Pelham Bay Landfill in June 1998. The Department worked with its contractor to determine the most successful way to promote plant growth at the site. As part of this effort, approximately 30 acres were reseeded in Fall 2000. The Department will continue to implement a State-approved operations and maintenance program at the landfill.

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- 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. The contract for closure of the Pennsylvania Avenue Landfill was bid in February 2001 and award/registration is expected in late September 2001. The landfill closure work consists of remediation, capping and planting. DEP expects to complete closure of this landfill by Calendar 2005.
- Construction of the Fountain Avenue Pier began in July 2001 and is expected to be completed by March 2002. The contract for closure of the Fountain Avenue Landfill was bid in February 2001 and is expected to be awarded in late September 2001. Work on the closure of the Fountain Avenue Landfill will begin upon completion of the pier. DEP expects to complete the closure in Calendar 2006.
- The New York State Department of Environmental Conservation (DEC) is expected to issue a Final Remedial Action Plan for the Brookfield Avenue Landfill when the community boards resume business in Fall 2001. DEC, in consultation with the New York State Department of Health, developed the Preliminary Remedial Action Plan (PRAP) in May 2001. The PRAP identifies a preferred remedy and summarizes other alternatives considered by DEP. When the final PRAP is issued, the project will move into the Remedial Design Phase. Further investigation and remediation of the contaminated surface water, sediment and associated wetlands along Richmond Creek will be addressed separately through a supplemental Remedial Investigation/Feasibility Study.

ENVIRONMENTAL REVIEW

- Acting as the lead agency, the Department initiated 31 new and completed 34 pending environmental reviews in accordance with City Environmental Quality Review (CEQR) procedures during Fiscal 2001, compared with 30 reviews initiated and 33 reviews completed during Fiscal 2000.
 - During Fiscal 2001 DEP received 67 requests for technical assistance and completed 70 requests for technical assistance for which it did not act as lead agency. In Fiscal 2000 the Department received 52 requests for technical assistance and completed 33 requests for technical assistance.
- 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.
- In Fiscal 2001 DEP completed environmental reviews for upgrades to the Bowery Bay Water Pollution Control Plant and for additional water supply shafts needed for City Water Tunnel No. 3.
- The Department plans to continue environmental assessment work for water quality improvement projects in Fiscal 2002, such as the combined sewer overflow (CSO) 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. Construction of the interim upgrade began in 1994 and will continue until Calendar 2003. The interim upgrade includes measures to reduce odor and air emissions and tests of pollutant removal efficiencies. Final upgrade construction began in Calendar 1998 and will conclude in Calendar 2012. Upon completion of the final upgrade, the Newtown Creek Plant will provide full secondary treatment and improve nitrogen removal, which reduces oxygen deprivation and improves water quality.
- In addition, the following plants are either in the facility planning, design or construction phase of capital projects: Wards Island in Manhattan; Tallman Island, Jamaica Bay and Bowery Bay, in Queens; Hunts Point in the Bronx; and the 26th Ward in Brooklyn. The upgrade of these facilities, which includes equipment replacement and the installation of additional controls, will improve performance and reliability. As part of the upgrade, the nitrogen removal capability at these plants will be improved. Hunts Point is in the design phase, and the remaining plants are in design and construction phases. In Fiscal 2001 DEP began the facility planning stage for the Staten Island Treatment Plants (Port Richmond and Oakwood Beach) and the Rockaway Treatment Plant in Queens.
- To reduce the nitrogen loadings in Long Island Sound, DEP will bid a two-year contract in Fiscal 2002 for hauling centrate, a sludge residual, between wastewater treatment plants. This contract, made necessary by the nitrogen discharges from dewatering facilities located on the Upper East River and Jamaica Bay, will allow centrate to be removed to treatment plants on less sensitive receiving waters, those 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 Fiscal 2001 DEP continued the program to control CSO. In wet weather the City's sewer system receives rainwater drained from streets. The rainwater 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. By Calendar 2000, the City captured and treated 55 percent of the wet weather flow.
 - 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 abate combined sewer discharges into Flushing Bay. As part of the last phase of the project, DEP bid a contract to complete tank construction and equip the CSO facility in Fiscal 2001. The award of the contract was delayed due to an increase in the scope of work at the facility. Work is expected to begin in Fiscal 2002.
 - The design of an underground tank that will abate CSO into the Paedergat Basin in Brooklyn, a tributary of Jamaica Bay, is also underway. DEP will complete construction of influent channel structures by the end of Calendar 2001. In Fiscal 2002 DEP will advertise and bid out a contract for the foundation and substructure of the underground tank.
- During Fiscal 2001 DEP continued two pilot projects and began evaluation of a third pilot concerning the cost effectiveness of making wastewater treatment plant operations more efficient.

DEPARTMENT OF ENVIRONMENTAL PROTECTION

- 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. DEP is developing lists of critical equipment for DEC to review prior to expansion.
- 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 Fiscal 2001 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 produced a series of brochures and pamphlets that detail dumping penalties and step-by-step instructions for compliance, and distributed them to the public at outreach meetings.
 - As of June 2001, 1,907 restaurants were inspected in targeted areas citywide, resulting in the issuance of 1,345 warning letters. The warnings advise restaurant owners to install grease traps. Additionally, 102 notices of violation were issued for failure to properly maintain grease traps. DEP reinspected all of the restaurants within 90 days after they were originally inspected and found 97 percent compliance.
 - As of August 2001, an additional 44 restaurants at City Island in the Bronx had been inspected and approximately 169 restaurants in the Sunset Park area of Brooklyn were in the process of being inspected.
- DEP's federally approved Industrial Pretreatment Program (IPP) regulates the discharge of waterborne contaminants from approximately 350 significant industrial sources. IPP has four principal functions: to protect the sewer system from impairment by substances such as corrosive and explosive chemicals; to protect the biological processes used at wastewater treatment plants from disruption caused by high concentrations of harmful chemicals; to maintain the quality of biosolids by keeping harmful chemicals out of biosolids, which are marketed for beneficial reuse as compost and fertilizer; and to protect the City's harbors from harmful chemicals, which if disposed into the sewers, would eventually turn up in the City's surrounding waters. During the reporting period DEP inspected wastewater samples and approved pretreatment plans in order to limit the pollutant content in wastewater.

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ENVIRONMENTAL COMPLIANCE

- A total of 2,397 inspections were conducted through the City's Right-to-Know Law program during Fiscal 2001, compared with 2,838 inspections during Fiscal 2000. The Department's citywide facility inventory database records the quantity and location of hazardous chemicals at 5,397 locations.
- The Department is continuing its Multiple Agency Response to Community Hotspots (MARCH) initiative, which coordinates agency responses to quality-of-life problems in locations identified by communities. DEP is working 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 68 MARCH inspections citywide during Fiscal 2001. The Department has participated in a total of 229 inspections since the inception of MARCH in Calendar 1997.

ENVIRONMENTAL CONTROL BOARD

- During Fiscal 2001 the Environmental Control Board (ECB) streamlined its operations by implementing new systems and several policy and procedural changes.
 - ECB coordinated with other agencies to ensure that respondent appearances for violations are staggered throughout the day, reducing respondent wait time. For the more complex cases, ECB held conferences with respondents. Respondents are advised of ECB procedures and can contest the violation, plead guilty or adjourn for a later hearing date. Cases are then referred to specific judges who have expertise in certain areas, to allow for expedited processing. During the reporting period ECB met with agencies that issue violations to discuss strategies that will improve the flow of cases. ECB has been working with the Department of Sanitation (DOS) to handle the increased volume in illegal posting violations. This has resulted in the implementation of a series of procedures to decrease respondents' waiting time and increase efficiency for ECB and DOS staff.
 - In Fiscal 2001 ECB continued training its Administrative Law Judges to hear all types of cases, thereby increasing their availability.
 - ECB expects to begin computer training for all staff in Fall 2001.
 - In Fiscal 2001 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 expected to begin in Fall 2001 and completion is expected in Spring 2002.

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 began 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.
- 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. Negotiations are underway and implementation should begin in Fall 2001.

DEPARTMENT OF ENVIRONMENTAL PROTECTION

- Beginning in May 2001 the complaint and asset data maintained within DEP's automated complaint system will be linked to the new Geographic Information System (GIS). It is expected to be completed in Fiscal 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 and will expand this service to the remaining interested community boards by October 2001. The Department also plans to provide Web-based access to all community boards in the first quarter of Fiscal 2003. The e-mail service provides a convenient alternative to the telephone for community boards wishing to report complaints to DEP. 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 Fiscal 2001 DEP received 1,273,408 page views on NYC.GOV, the City's official Web site, a 35 percent increase compared to 943,180 page views during Fiscal 2000. The site has become an integral part of the Department's public information efforts.
 - DEP continued to make site improvements and significant content additions to its Web pages in the areas of customer service, outreach and research.
 - In July 2000 DEP published the Asbestos Rules and Regulations online, followed in March 2001 by downloadable and printable versions of the Asbestos Control Program Forms. The forms were designed to be completed online and printed.
 - DEP updated the site with the latest publications of the 2000 Annual Drinking Water Supply and Quality Report, the 2000 Harbor Water Quality Survey Report, and the 2000 Waterborne Disease Risk Assessment Program Annual Report. A schedule of Water Conservation Seminars, a joint series with DEP and the Department of Housing Preservation and Development, was posted in April 2001.
 - In May 2001 DEP published a Guide to Watershed Conservation Easements, an integral part of the City's Land Acquisition and Stewardship Program. The Guide provides information on the tax benefits of easements and solicits landowners to join the program.
 - DEP continued using the Web for both in-City and upstate education and outreach with the publication of the Floatables Reduction Program and the Kensico Environmental Enhancement Program.
- DEP expanded its Interactive Voice Response telephone system to allow customers to obtain water billing meter readings, balances and payment history. In Fiscal 2001 over 10,000 callers made use of these new features.
- 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. During Fiscal 2001 DEP continued the pilot program with a private company to use remote sensors on large mains and power grids. This early detection equipment allows DEP to analyze data, make repairs prior to major leaks or pipe failure, and reduce repair costs.

DEPARTMENT OF ENVIRONMENTAL PROTECTION

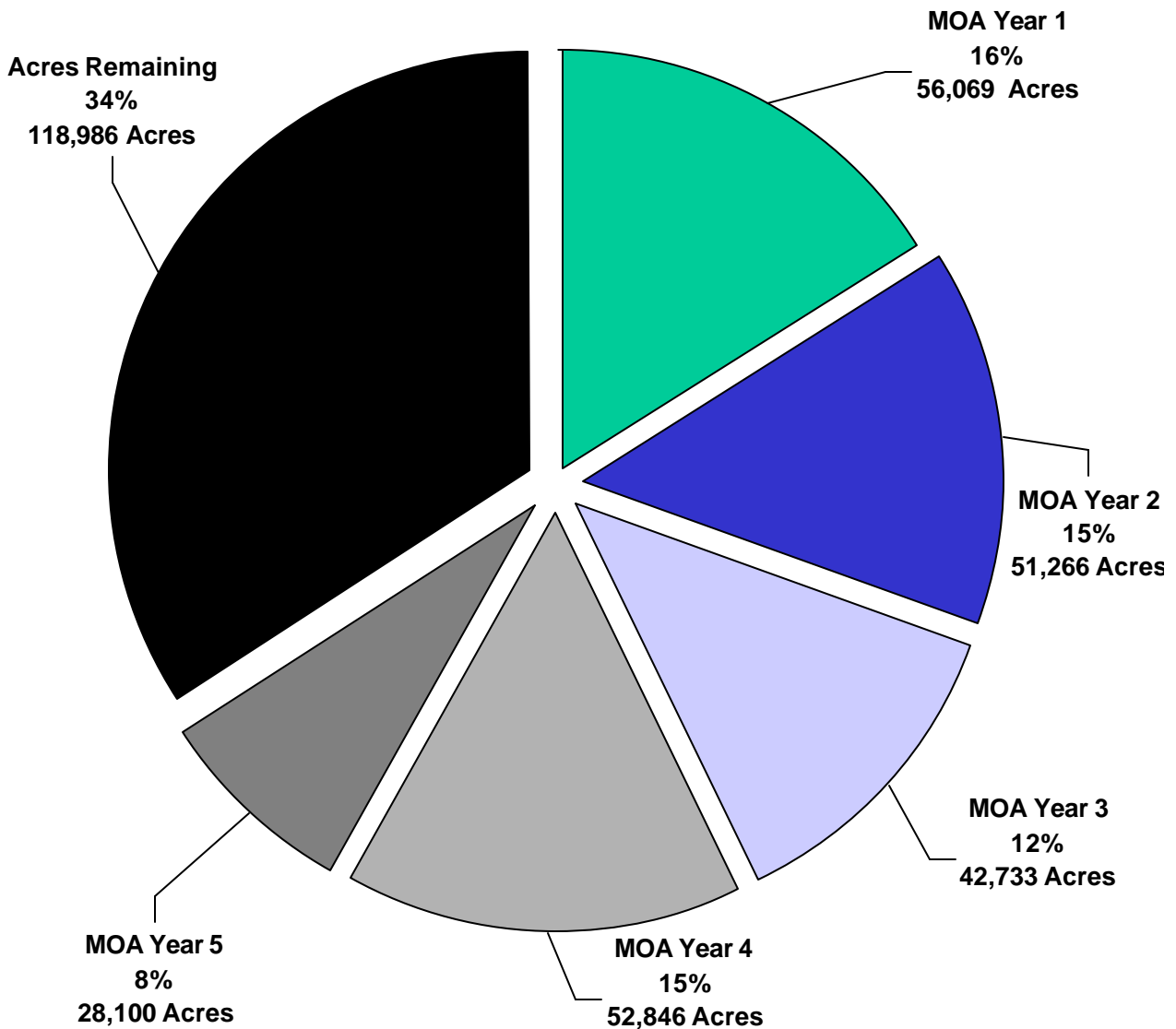
- Since the inception of the pilot project, DEP has detected three leaks using the system, and has been able to make repairs while the leaks are relatively small and without disruption to commerce or traffic along Fifth Avenue.
- In May 2000 DEP launched an expanded pilot program with Con Edison, Brooklyn Polytechnic University and the New York City Water Board. This pilot will telemeter signals from the sensors directly to a designated server, which is accessible by computer using real-time data. The telemetry system will incorporate the use of Con Edison's electric cables as data transmitters to use the power lines rather than dedicated phone lines.
- In Fiscal 2001 DEP successfully piloted its Design and Construction Management System on the Newtown Creek construction project. The Management System increases management effectiveness by providing a complete, searchable database of all project information for authorized users; 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; staff training is ongoing. Implementation of the module began in August 2001.
- DEP is currently 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. Project scope and cost estimates are being prepared for development and implementation of an automated Web-based permit issuance and tracking system accessible to the public and DEP enforcement staff to replace the current manual system.

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Department's expenditures were \$659.68 million, compared with its plan of \$671.49 million; headcount was 5,414, compared with its plan of 5,998. The Department's Fiscal 2000 expenditures were \$600.16 million, and headcount was 5,565.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$697.83 million and a planned headcount of 6,064.

Department of Environmental Protection

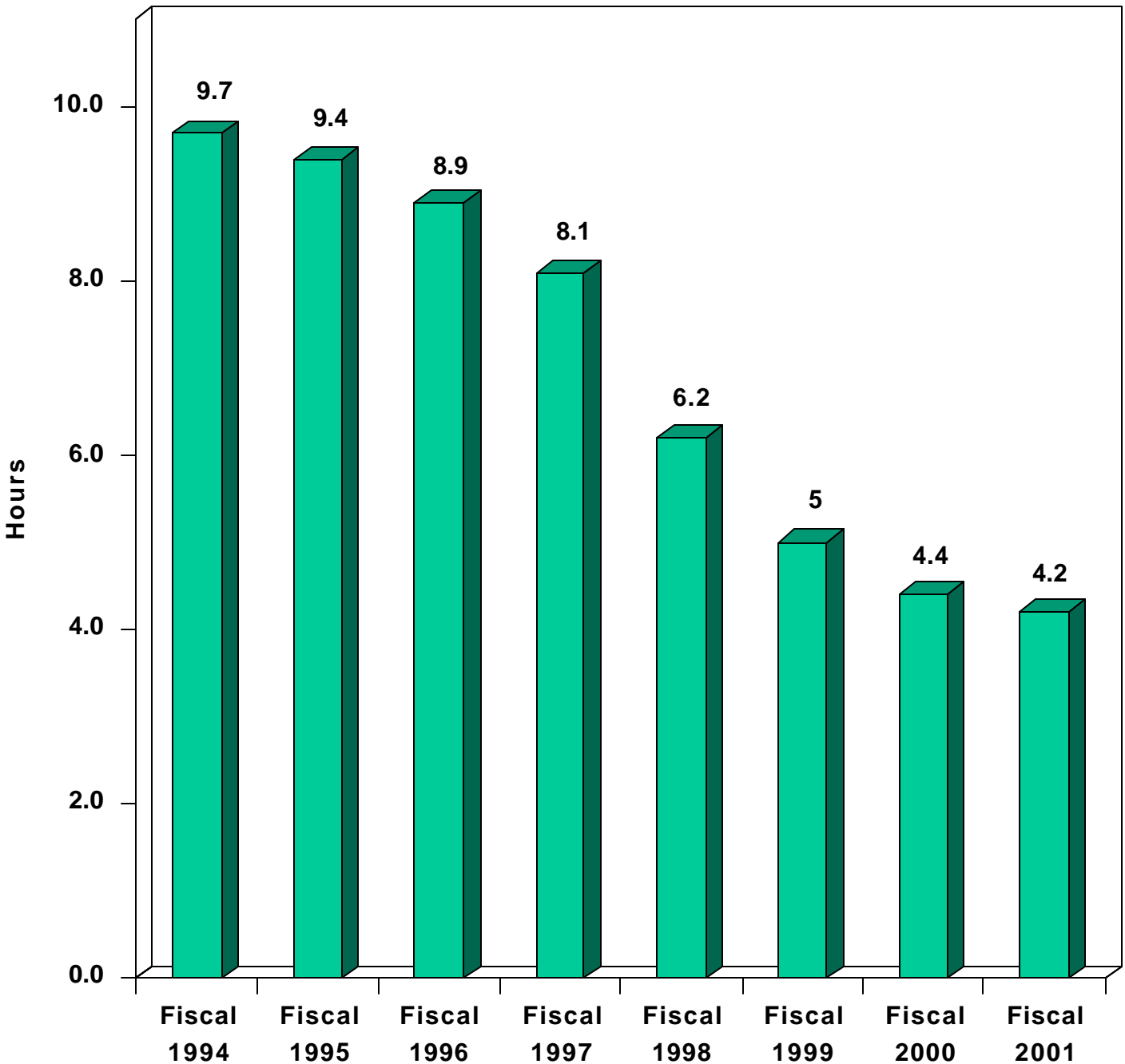
Land Acquisition and Stewardship Program Acres Solicited Memorandum of Agreement (MOA) Years 1-5*



*MOA Year 5 data is as of August 2001. The MOA Year begins on January 21st and ends January 20th. The City is committed to soliciting the purchase of 350,000 acres of watershed land within a 10-year period under the 1997 MOA. During Fiscal 2001 the City solicited 52,147 acres of watershed land.

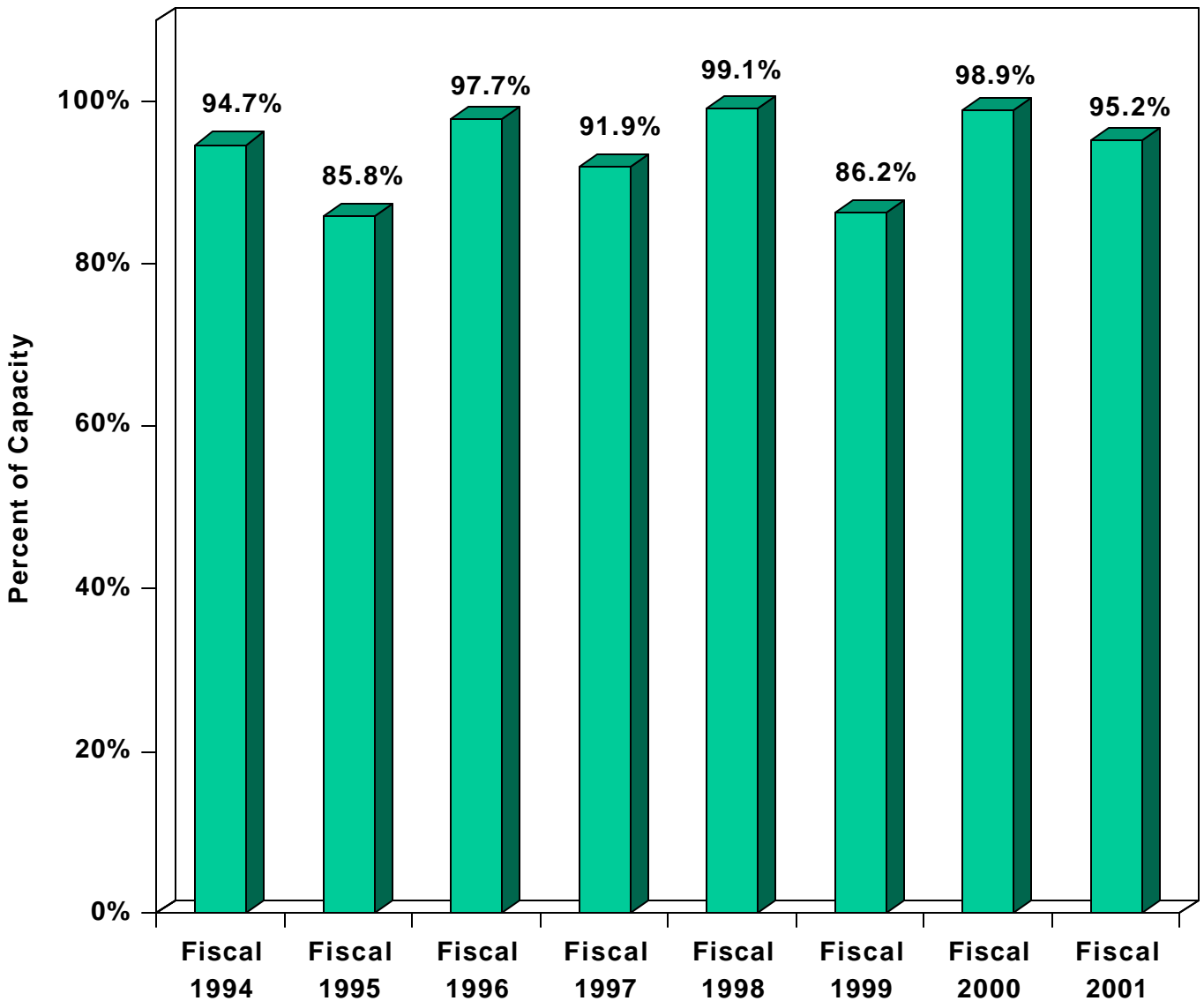
Department of Environmental Protection

Average Response Time (Hours) to Sewer Backup Complaints Fiscal 1994-2001



Department of Environmental Protection

Reservoir Levels Fiscal 1994 - 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	FY 01 Actual	FY 02 Plan
Reduce the number of units in occupied buildings in Central Management to 10,504.	8,299	5,695
Sell a total of 252 buildings, primarily occupied, comprised of 2,696 units, through the City's various disposition programs to private owners.	321 / 3,209	246 / 2,704
Through the Building Blocks! Initiative sell 2,546 units to private management and take in 3,393 units from Central Management.	2,859 / 4,741	2,689 / 2,322
Reduce the number of units in vacant buildings in Central Management to 5,741.	4,979	4,389
Sell 120 vacant buildings with 295 units through the CityHome, HomeWorks and StoreWorks programs.	118 / 328	73 / 192

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

Objective	FY 01 Actual	FY 02 Plan
Begin the rehabilitation of 6,240 units, and complete 2,523 units, in privately owned housing through the provision of low-interest financing.	6,733 / 2,516	5,660 / 3,149
Begin the construction of 1,146 new units, and complete 1,303 units, in one- to four-unit owner-occupied homes through New York City Partnership New Homes and other programs.	1,146 / 1,276	1,183 / 1,255

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

Goal: Enforce compliance with housing quality standards.

Objective	FY 01 Actual	FY 02 Plan
Conduct 2,200 field inspection visits per each code enforcement team.	2,207	2,200
Ensure that a minimum of 70% of emergency conditions (Class C violations) in private dwellings are either verified as corrected by owners or corrected by the Department.	74%	70%
Open 12,000 new code compliance cases and close 10,000 cases.	13,445 / 10,270	12,000 / 10,000
Collect \$1.8 million in judgments and settlements in the Housing Litigation Division.	\$1.9 million	\$1.8 million

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

Objective	FY 01 Actual	FY 02 Plan
Initiate four <i>in rem</i> actions under the modified <i>in rem</i> statute against 350 properties to encourage private investment in the upgrading of distressed properties.	4 / 392	5 / 400
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

ANTI-ABANDONMENT

- During Fiscal 2001 the Department of Housing Preservation and Development (HPD) continued its proactive preservation strategy 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 despite HPD's efforts. HPD identifies, assesses and remediates at-risk buildings.
- 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. When the owners do not pay the arrears, the properties are transferred to responsible new owners. In Fiscal 2001 the Anti-Abandonment program transferred 86 properties to new owners. Owners paid their taxes in full or arranged installment agreements and prevented their buildings from being transferred for 174 of the 298 buildings that were eligible for the program. An additional 12 properties are in litigation and may be transferred once litigation is completed. By June 2001 a total of \$15.6 million was collected for these properties through owners' tax payments and other liens.
- In October and November 2000 the City initiated a third round of targeted *in rem* foreclosure actions against 392 tax lots comprising 412 properties. This action is still underway and, thus far, 180 properties remain active in the action. By June 2001 a total of \$10.9 million was collected for properties in this round through owners' tax payments.

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

- In Fiscal 2001 HPD continued the expansion of its Housing Education Program (HEP) that teaches building owners, managers and superintendents the basic management, maintenance and building finance skills necessary to improve their properties. Through 62 course sections offered in Fiscal 2001 HEP enrolled 2,092 participants, compared to 2,019 in Fiscal 2000. 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.
 - HEP continued using interactive television and video technology to increase the number of owners who are able to participate in its training programs. Through this technology, HEP is linking classrooms throughout the City and enabling 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. In Fiscal 2001 a total of 294 students participated in the course, Introduction to Building Management and Systems for Residential Property Owners. In Fiscal 2002 HEP plans to offer Advanced Building Management as an interactive course.
- In Fiscal 2001 HPD and the Department of Health (DOH) started the Child Health initiative. This collaborative initiative teaches owners and managers about the potential hazards to children that exist in apartments, such as lead poisoning, as well as other environmental hazards including mold, mildew, rodent and roach infestation and asbestos in public areas. Two six-hour classes started in October 2000. In Fiscal 2001 a total of 16 classes were held and 307 participants attended.
- HPD's Housing Litigation Division (the Division) opened 13,445 cases against owners in Fiscal 2001, compared to 12,733 cases in Fiscal 2000.
- Maintaining its focus on preservation efforts, the Division opened 480 comprehensive actions against owners with buildingwide problems in Fiscal 2001, compared to 516 actions in Fiscal 2000.
- The Division supported 10,071 tenant-initiated actions in Fiscal 2001, compared to 10,214 in Fiscal 2000.
- The Division initiated 2,511 heat and hot water cases in Fiscal 2001, compared to 1,740 cases initiated in Fiscal 2000.
- The Division collected \$1.91 million in judgments and settlements in Fiscal 2001, compared to \$1.84 million in Fiscal 2000.

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

SAFE AT HOME

- Safe At Home, a component of Mayor Giuliani'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 was designed to promote 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. A national nonprofit organization provided three-year funding for each of these community partners. In September 2001 the funding commitment will end for the Morrisania project, where Safe At Home began in September 1998. HPD has either rehabilitated, sold and rehabilitated, or is preparing for the disposition of all the City-owned properties in Morrisania.
- During the next two fiscal years 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 previous commitments to the target areas, the City investment totals more than \$184 million. In Fiscal 2001 HPD committed a total of \$15.6 million to the Safe At Home initiative and started construction on a total of 306 units, compared to \$18 million and 434 units in Fiscal 2000.
- The Anti-Abandonment program has continued to evaluate privately owned buildings in the Safe At Home areas. Those buildings found to be in poor condition received a range of Anti-Abandonment interventions such as Voluntary Repair Agreements and Orders to Correct serious housing conditions. Properties in good or fair condition have also received a diverse array of services, such as low-interest loan information and housing education courses.

BUILDING BLOCKS! INITIATIVE

- By the end of Fiscal 2001 the number of units in occupied buildings in Central Management was reduced to 8,299, a decrease of 39 percent from the same period last year and 73 percent below the Fiscal 1994 level. HPD plans to further reduce this number to 5,695 by the end of Fiscal 2002. HPD decreased the number of units in Central Management by more than planned because of the increase in buildings transferred to the Division of Alternative Management Program (DAMP). The increase in intake into DAMP was due to a decision by HPD to accelerate intake in the Neighborhood Entrepreneurs Program (NEP) and Neighborhood Redevelopment Program (NRP), as well as an increase in buildings applying for the Tenant Interim Lease program (TIL).
- 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. Building Blocks! accelerates the transfer of property by encouraging local entrepreneurs, nonprofit community groups, and tenants to participate in community redevelopment through NEP, NRP, TIL and the Neighborhood Homes Program (NHP). In Fiscal 2001, 262 buildings with 2,859 units were sold through Building Blocks!, compared to 119 buildings with 1,743 units in Fiscal 2000.
- HPD transferred 389 buildings with 4,741 units from Central Management into Building Blocks! programs during the reporting period, compared to 113 buildings with 1,492 units in Fiscal 2000.
- In Fiscal 2001 HPD sold 126 buildings with 1,456 units through NEP, compared to 34 buildings with 607 units in Fiscal 2000. An additional 174 buildings with 2,358 units were transferred from Central Management into NEP in Fiscal 2001, compared to eight buildings with 173 units in Fiscal 2000.

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

- During Fiscal 2001 HPD sold 70 buildings with 804 units to nine nonprofit organizations through NRP, compared to 39 buildings with 691 units during Fiscal 2000. In Fiscal 2001, 84 buildings with 1,157 units were transferred from Central Management into NRP, compared to 36 buildings with 675 units in Fiscal 2000.
- HPD sold 22 buildings with 377 units through TIL in Fiscal 2001, compared to 21 buildings with 386 units in Fiscal 2000. An additional 90 buildings with 1,083 units were transferred from Central Management into TIL during Fiscal 2001, compared to 44 buildings with 585 units transferred during Fiscal 2000.

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. In Fiscal 2001 HPD sold 118 vacant buildings with 328 units through these home-ownership programs, compared to 59 buildings with 152 units during the same reporting period last year.

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 9,800 square-feet of commercial/retail space is currently under construction through the ANCHOR Program.
- In Fiscal 2001 HPD did not start construction of any commercial/retail space or ANCHOR home-ownership units. Construction of 164,000 square-feet of commercial/retail space and 425 ANCHOR home-ownership units is expected to begin in Fiscal 2002.
- HPD completed a total of 80,000 square feet of commercial/retail space and 257 ANCHOR home-ownership units in Fiscal 2001. There is no planned completion of commercial/retail space or ANCHOR home-ownership units for Fiscal 2002.

IN REM BUILDINGS

- As part of the Department's ongoing efforts to upgrade its *in rem* housing stock in anticipation of disposition, in Fiscal 2001 the Department committed \$10.1 million to replace or repair 594 critical building systems, including elevators, boilers, roofs and entrance doors. In comparison, the Department committed \$11.9 million to repair and replace a total of 489 systems in Fiscal 2000. HPD expects to spend \$6.84 million for the replacement or repair of 400 systems in Fiscal 2002.
- In Fiscal 2001 the Department completed 1,033 heating-plant inspections of City-owned buildings, as required by the Department of Buildings, compared to 775 inspections in Fiscal 2000. The Department plans to inspect all of its buildings by October 2001.
- During Fiscal 2001 HPD restored the operation of 412 heating plants through contractor repair, compared to 469 in Fiscal 2000. The number of restorations is expected to decrease each year as a result of the continued disposition of *in rem* properties.

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

NARCOTICS CONTROL UNIT

- In Fiscal 2001 staff of HPD's Narcotics Control Unit (NCU) screened and referred 403 formal complaints to the New York City Police Department, compared to 404 complaints in the previous fiscal year. NCU also initiated 145 eviction cases by referring the evidence to HPD's Landlord Tenant Litigation Division, compared to 161 cases in Fiscal 2000.
- In Fiscal 2001 the Department brought 220 evictions of known drug traffickers and others involved in criminal activity to closure, compared to 185 evictions during Fiscal 2000. HPD also reclaimed an additional 583 apartments in City-owned buildings from illegal occupants as a result of its investigations of trespass actions, compared to 820 trespass actions in Fiscal 2000. As the number of centrally managed properties decreases, it is likely that these numbers will decline.
- In Fiscal 2001 NCU continued to conduct special training sessions for owners and property managers, including one session in the new Brooklyn Safe At Home area and two sessions for TIL cooperatives and Housing Development Fund Corporations (HDFCs). 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 program 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 new Bushwick Safe At Home area.
- In Fiscal 2001 NCU staff worked with 58 private-property owners of residential buildings within Safe At Home areas, as well as owners of 109 other buildings in areas identified by the Anti-Abandonment program and 7A properties, compared to 53 private-property owners in Fiscal 2000. 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

- In Fiscal 2001 the Department conducted 115,979 building visits during evening and weekend hours, compared to 104,652 such visits in Fiscal 2000.
- In Fiscal 2001 the Department conducted 5,336 violation dismissal request inspections at the request of building owners who had corrected prior HPD violations, compared to 5,782 in Fiscal 2000.
- The Department's Emergency Services Bureau verified the correction of 74 percent of emergency conditions during the reporting period, compared to 65 percent in Fiscal 2000. Correction of an emergency condition is verified when the tenant confirms that the landlord has corrected the condition, the violation is reinspected or when the necessary repairs are made through HPD's Emergency Repair Program.

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

LEAD PAINT

- On July 12, 1999 Mayor Giuliani signed Local Law 38 that repealed Local Law 1 and provides a new lead paint poisoning prevention program in the City. HPD created and implemented an enforcement program for Local Law 38 that included the design of new enforcement protocols, the promulgation of extensive regulations, and the 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, HPD will undertake the repairs and bill the owner.
 - In order to meet the inspection and repair requirements, HPD has authorized hiring 129 staff members to enforce the law. In Fiscal 2000 a total of 134 staff members, including lead testers, lead abatement workers, case managers and supervisors, were trained.
 - HPD has issued 13 contracts, averaging \$1 million each, for lead hazard reduction work; another two contracts are pending registration. Three additional contracts were issued for laboratory analysis.
- 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 filed a motion for confirmation of a statutory stay pending appeal, or for a discretionary stay. In May 2001 the Appellate Division granted the City's motion for a discretionary stay, provided that the City perfects its appeal for the October 2001 term. The City is working on the October 2001 appeal. In the meantime, the Department continues to enforce Local Law 38.
- 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 for the inspection and testing of housing units prior to any federally funded repairs to determine the extent of lead hazards.
 - In November 2000 HPD requested a six-month extension from the federal Department of Housing and Urban Development (HUD) for implementing these rules. In December 2000 HPD submitted a plan to meet the federal Title X requirements. This submission had the effect of giving HPD a deferral of implementation until March 15, 2001.
 - In March 2001 HUD notified the affected parties that it would entertain requests for a further extension of time to comply based upon a representation by the jurisdiction that it continued to have inadequate capacity to comply. In April 2001 HPD accordingly submitted an updated plan indicating a continued shortfall in contractor capacity and secured an extension until August 10, 2001. The Agency is now enforcing and complying with all applicable requirements of Title X rules.

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

- A \$1.6 million grant, awarded in 1996 from HUD, enabled the City's Primary Prevention Program to complete the lead reduction treatment of the final 30 units in the grant in Fiscal 2001. This brought the total number of completed units funded by the grant to 220. Along with required City matching funds, the grant was used to treat units in the Bedford-Stuyvesant section of Brooklyn, the Washington Heights/Hamilton Heights sections of Manhattan and the West Tremont section of the Bronx.
 - In October 2000 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.

SPECIAL INITIATIVES

- In his January 2001 State of the City Address, Mayor Giuliani proposed a major \$1.3 billion investment to build, renovate and preserve housing units, contingent on several key reforms to reduce the cost of construction. The Mayor pledged to the City Council that if it committed to working with the Administration to implement these reforms, the City would commit to an ambitious \$1.3 billion housing plan, with \$688 million in government funds leveraging \$603 million in private investment to create or preserve more than 10,100 units of affordable housing.
 - The Mayor pledged to rehabilitate and return to responsible private ownership the 1,100 units that are remaining in HPD's inventory of buildings and are not currently assigned to a program.
 - To ensure that the City never again loses a massive amount of its affordable housing stock to abandonment, the City will expand the Third-Party Transfer program to take away an additional 6,000 deteriorating units, currently at risk of abandonment, from tax-delinquent landlords. The City will then transfer the buildings to responsible owners who will rehabilitate and maintain them, and preserve affordability for the existing tenants.
 - The Department will build on the existing ANCHOR program to add more than 3,000 additional units of affordable housing throughout the City, as well as another 875,000 square feet of newly constructed commercial space.
- The Department continued its efforts to remove graffiti on City-owned buildings by power-washing or painting over graffiti on buildings with painted exteriors. In Fiscal 2001, 39 buildings received power-washing treatments and 146 buildings were treated using the paint-over method. Since the program's inception in Fiscal 1997, 148 buildings have received power-washing treatments; another 506 buildings have been treated using the traditional paint-over method, for a total of 654 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.

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- In early Fiscal 2000 HUD approved HPD's application for 700 Welfare-to-Work Section 8 Housing Vouchers. Submitted in conjunction with the Human Resources Administration, HPD's application enables a select group of very low-income New Yorkers to have access to better housing as well as training and employment opportunities. The program is made available on a priority basis to eligible families currently living in City-owned (*in rem*) housing or emergency housing. Participants receive help finding a new apartment and receive training, job placement assistance, career development and support services. In Fiscal 2001 HPD issued all 700 Welfare-to-Work vouchers and converted 274 of the Agency's regular Section 8 vouchers; this resulted in a total of 974 vouchers issued under the Welfare-to-Work Section 8 program. Of the 974 households issued vouchers, 798 successfully leased apartments.
- 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 devoted to promoting home ownership in New York City. Both feature information about owning or purchasing a home in the City, as well as highlighting neighborhoods in each borough. HPD and the Department's community partners have distributed 10,000 copies of the "8 Steps to Homeownership" brochure. HPD anticipates another printing in time for distribution at the September home-ownership events. Since December 2000, there have been more than 96,000 visits to NYCHOME.ORG.
 - In September 2001 HPD's Homeownership Month will feature a variety of events such as a ribbon-cutting and the opening of two residential developments in Manhattan and a ground-breaking in the Bronx; distribution of the "8 Steps to Homeownership" brochure; and a "cyber" event that will showcase the newly redesigned HPD Web site, NYC.GOV/HPD, and the home ownership site, NYCHOME.ORG. On September 22nd HPD will also take part in the annual Fannie Mae home-ownership fair at Madison Square Garden.
- 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 by the Mayor 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 Fiscal 2001 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 2,800 lots under its jurisdiction, and has written 370 open market orders for rubbish removal, weed removal and lot cleaning. The extensive nature of this work addressed the more serious conditions that contributed to the mosquito population.
 - HPD reinspected all 2,800 lots in May, June and July 2001, followed by routine maintenance work on 613 lots performed by Support Work Groups.
- In Fiscal 2001 the City continued its rodent control and eradication efforts. In June 2000 the Deputy Mayor for Operations established the Rodent Control Task Force comprised of over 15 City agencies and quasi-agencies. Chaired by the Mayor's Office of Emergency Management, the Mayor's Office of Operations and DOH, meetings are held weekly to coordinate Integrated Pest Management practices, including assessment, abatement and eradication activities.

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

- 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 reporting period HPD exterminated 27 vacant City-owned buildings and issued 1,285 violations for privately owned buildings.
- In April 2000 the Mayor created HealthStat, a comprehensive citywide initiative to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, over 20 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 150,000 individuals have been enrolled in public health insurance programs.
 - Since July 2000 HPD has organized and participated in 68 community events throughout the City to facilitate HealthStat enrollments. These events have included church festivals, ethnic festivals and a tenant appreciation day. Additionally, HPD has made 851 referrals, mailed 141,568 informational materials, responded to 19,600 telephone contacts and enrolled 185 children.
 - As a marketing strategy, HPD purchased promotional bags, folders, balls and calculators displaying the HPD/HealthStat logo to distribute to applicants attending special events. HPD also partnered with the Taxi and Limousine Commission for a HealthStat mailing to 125,000 taxi and limousine drivers.
- 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.
- 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 representing 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.
 - In December 2000 HPD released a Request for Proposals (RFP) to select a development team for the 100-acre western portion of the site. Proposals were received in April 2001 and a development team will be designated in Calendar 2001.
 - HPD expects to release an RFP for the central and eastern portions of the site in Fall 2001 for development financed largely from private sources.
 - An initial phase of housing development, consisting of 40 two-family homes, sold out completely in Fiscal 2001. It was the first housing development in Arverne in over 25 years.
- 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 over 600 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.

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

- 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. Construction is expected to begin in Spring 2002.
- 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. The agency began the ULURP process in Spring 2001 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.
 - 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 150 units of new ownership and rental housing 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. Streets and new underground utilities will also be constructed.
- In December 2000 Congress passed legislation increasing the Low Income Housing Credit authority available to states in Calendar 2001 from \$1.25 to \$1.50 per capita. The State of New York has increased HPD's credit authority for Calendar 2001 from \$8.5 million to \$10.2 million, exactly parallel to the 20 percent increase enacted by Congress. This increase enables HPD to provide tax credit assistance to 1,400 low-income units instead of 1,200 units per year.
- In Fiscal 2002 HPD plans to receive over \$10 million in new City and federal funding to improve the quality and effectiveness of housing and services provided to singles and families displaced by fire and City agency vacate orders. HPD's new initiatives will help the Department provide a multi-pronged response to address emergency housing issues by increasing HPD's capacity to monitor and assess the "vacate" process and to help displaced households find immediate alternative housing. The improvements will also help displaced households return to their units by increasing housing counseling and assistance to landlords and legal enforcement of tenant rights. Improvements will be made to the four family centers through capital repairs and increased maintenance and security services. Finally, the Department will increase the number of permanent housing units made available to clients in emergency housing by establishing a program to identify and utilize private market apartments for families in the HPD shelter system.

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

CUSTOMER SERVICE AND TECHNOLOGY

- Established in November 1997, the Department's Emergency Response Unit responds to emergency complaints around the clock. In Fiscal 2001 housing inspectors attempted 7,688 inspections, 2,260 of which were in response to emergency calls and/or heat or hot water complaints, compared to 14,457 attempted inspections of which 3,765 were in response to emergency calls and/or heat or hot water complaints in Fiscal 2000.
- The HPD home page received 1,172,372 views in Fiscal 2001, compared to 487,740 views during Fiscal 2000, a 140 percent increase. During the reporting period, HPD redesigned the site and added a self-guided walking tour of Harlem, a "Before and After" Photo Gallery of HPD's work, RFPs for Arverne and HomeWorks, and information about Section 8 for tenants and building owners.
- In Fiscal 2001 HPD organized 75 public events such as information nights, home-ownership fairs, ribbon cuttings, groundbreakings and the City's fourth annual Homeownership Month. In addition to public outreach through the Department's Web pages and events, HPD distributed more than 15,000 home-ownership kits, 10,000 copies of the pamphlet, "8 Steps to Becoming a NYC Homeowner," and 10,000 guides to HPD's programs and services. HPD also launched a new public information document called, "Housing Rules and Regulations: Useful Information for Tenants and Building Owners."
- In Fiscal 2001 HPD hosted site visits by international housing and community development policymakers and practitioners. Delegations from Northern Ireland, England, Germany, France, Denmark, Sweden, Japan and Taiwan met with their counterparts at HPD and participated in site visits.
- In October 2001 HPD is planning to host its second international housing and community development conference. The conference is entitled "Housing the Next Generation: Step into the Future of Housing and Community Development" and will cover the impact of demographic and economic change.
- HPDInfo is a comprehensive agencywide management information system. It is being developed as a central clearing house 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 applications for lead remediation, Work Order Tracking System for repairs in City-owned buildings, and the Anti-Abandonment program.
- Starting in Calendar 2001 and continuing through Calendar 2002, HPD plans to expand 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 currently 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 Nights," 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 Nights" in Washington Heights and East Harlem in Manhattan and Bushwick in Brooklyn. Approximately 500 owners have attended the three events.

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Department's expenditures were \$494.5 million, compared with its plan of \$440.6 million; headcount was 2,379, compared with its plan of 2,708. The Department's Fiscal 2000 expenditures were \$384.1 million, and headcount was 2,465.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$431.7 million and a planned headcount of 2,711.

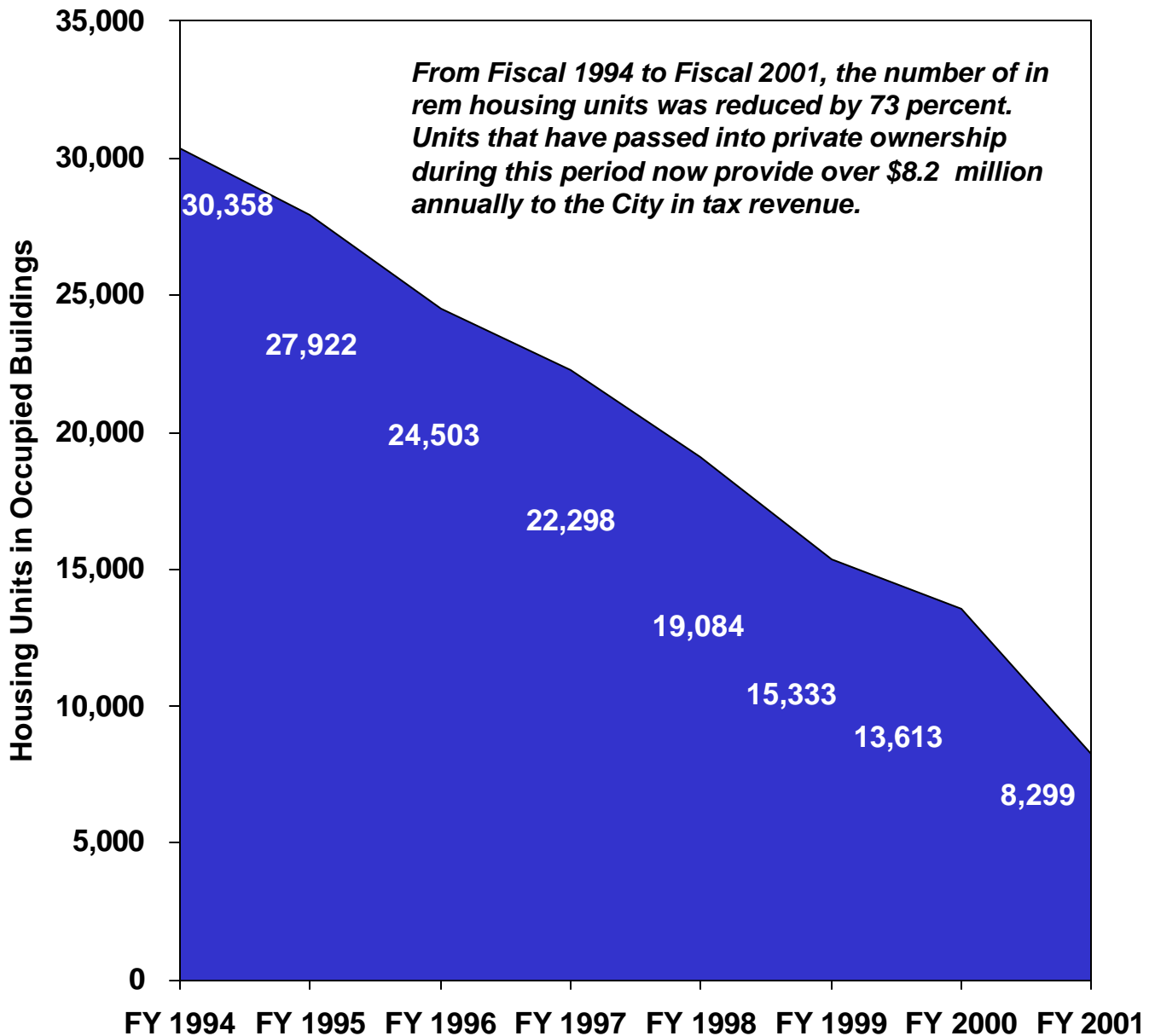
LONG-TERM TRENDS IN AGENCY OBJECTIVES

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

- (a) From Fiscal 1997 to Fiscal 2001 HPD has successfully reduced the number of units in occupied and vacant City-owned buildings by 63 percent and 39 percent, respectively. Through its Building Blocks! Initiative, HPD has transferred buildings into alternative management programs before returning them to private ownership.
- (b) In Fiscal 2000 the Agency's *in rem* actions included actions initiated for special programs. The number of eligible properties vary by geographic area.

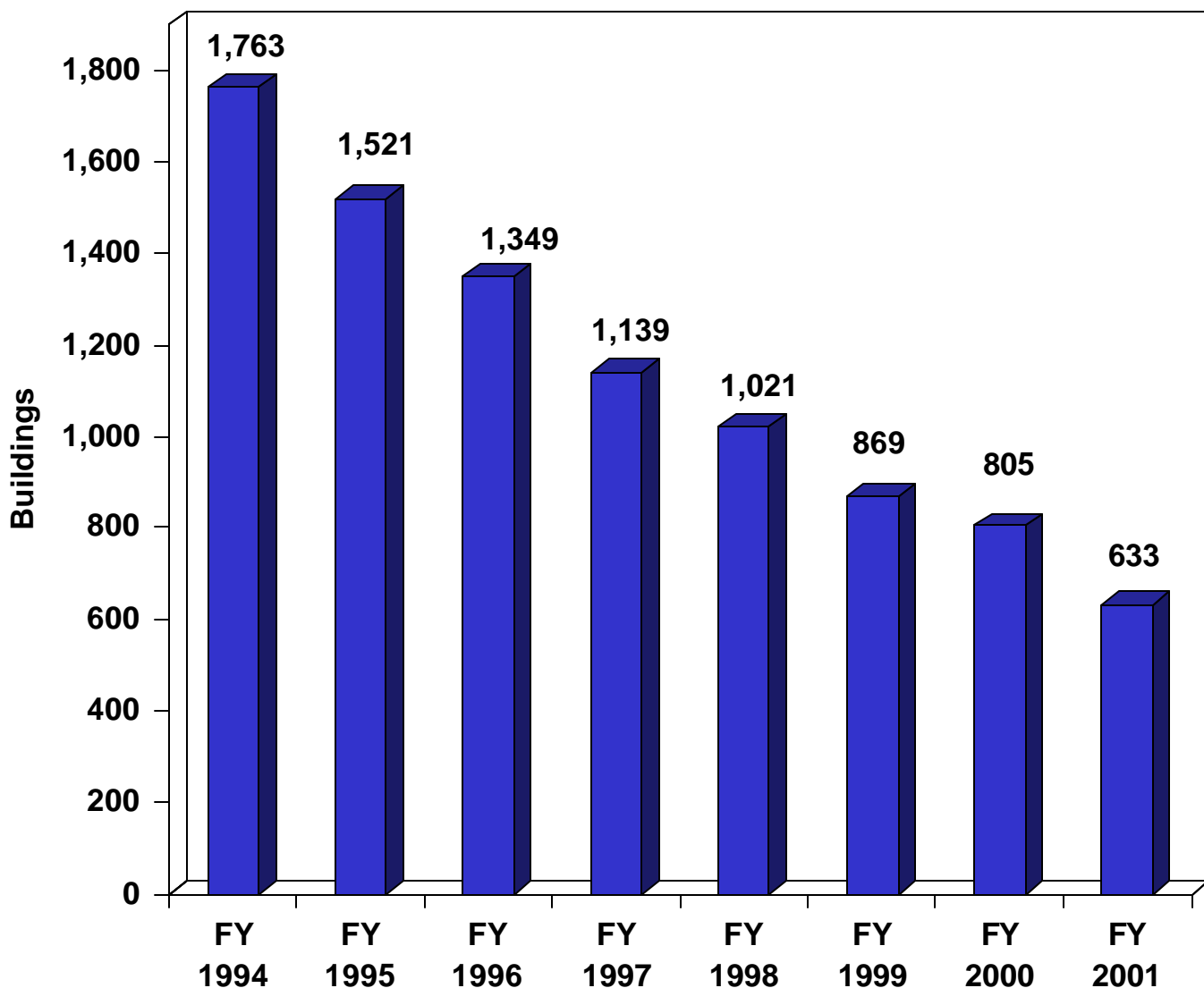
Department of Housing Preservation and Development

In Rem Housing Units Fiscal 1994 - 2001



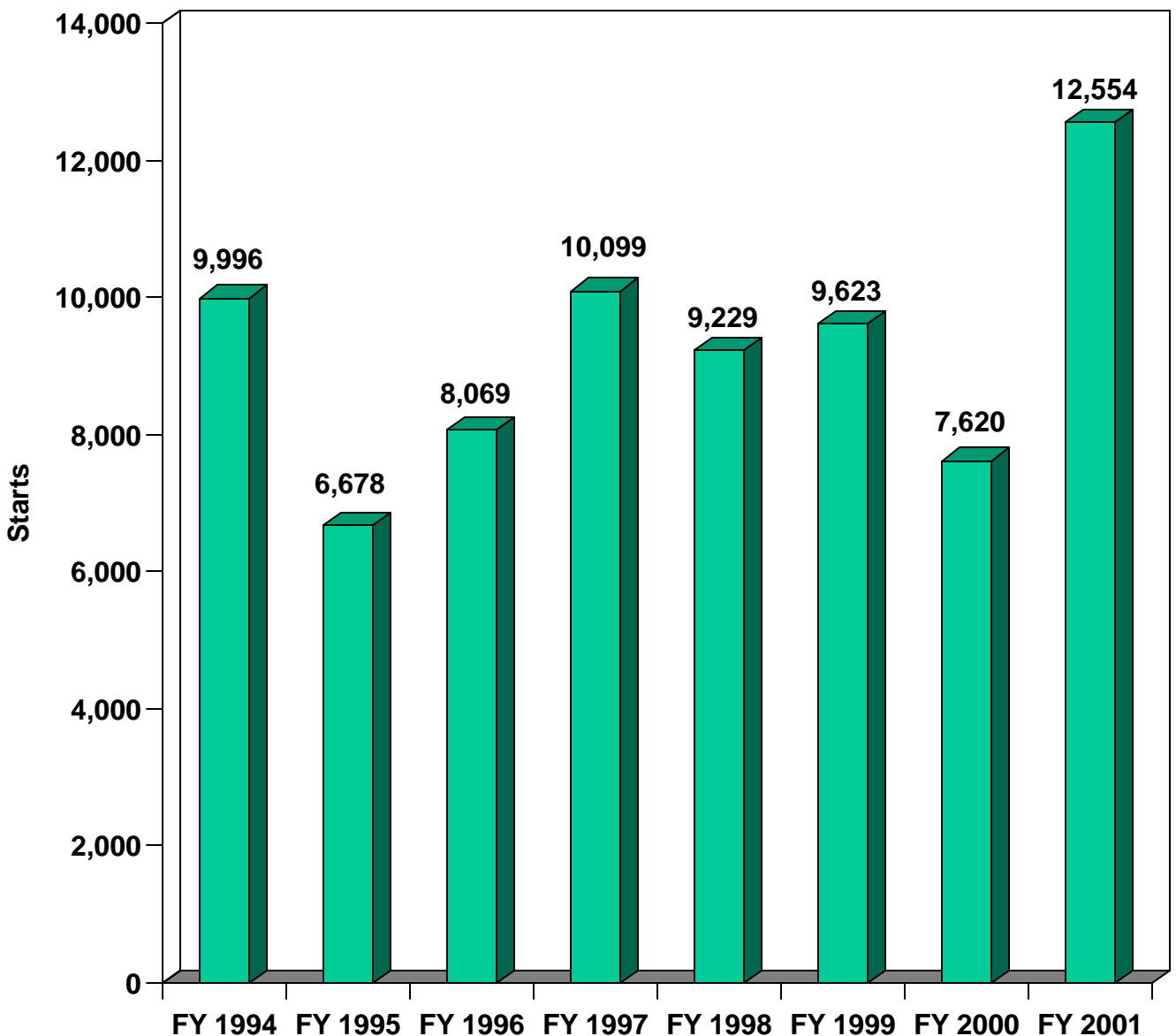
Department of Housing Preservation and Development

Vacant Buildings in Central Management Fiscal 1994-2001



Department of Housing Preservation and Development

HPD Housing Starts Total Starts* Fiscal 1994-2001



*Total starts includes moderate rehab of City and privately owned buildings, gut rehab of City and privately owned buildings, and new construction.

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	FY 01 Actual	FY 02 Plan
Provide 1,133 new seats through the completed construction of three new schools.	1,109 seats/ 3 schools	6,152 seats/ 7 schools
Complete 1,092 new seats through the completion of five additions.	980 seats/ 4 additions	2,562 seats/ 10 additions

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

Objective	FY 01 Actual	FY 02 Plan
Start construction of 71 exterior modernizations.	30	26
Complete 58 exterior modernizations.	58	24

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

Objective	FY 01 Actual	FY 02 Plan
Ensure that 75% of completed construction projects remain within a 10% contingency for change orders (excluding programmatic scope and asbestos-related changes).	78%	75%
Ensure that 75% of completed design and construction projects are finished on time or ahead of schedule (excluding delays due to programmatic changes and funding holds).	72%	75%

SCHOOL CONSTRUCTION AUTHORITY

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

Objective	FY 01 Actual	FY 02 Plan
Continue Fiscal 1999 rehabilitation projects, including replacement of windows and roofs, exterior masonry, heating plants and science labs, for 114 projects at 60 schools using \$131 million in funds.	107 completed/ 7 in construction	By 1/02
Complete Fiscal 2001 rehabilitation projects, including replacement of windows and roofs, exterior masonry, heating plants and science labs, for 32 projects using \$74 million.	8 completed/ 23 in construction/ 1 cancelled by the Board of Education	By 1/02

HIGHLIGHTS AND ACHIEVEMENTS

- In conjunction with the Board of Education (the Board), the School Construction Authority (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.
 - SCA created 1,986 seats in Queens, 58 seats in Brooklyn, 441 in Manhattan and 300 seats in Staten Island.
 - For the fifth consecutive year, SCA delivered all seats requested by the Board on time or early.
 - 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.
- The \$7.1 billion Five-Year Capital Plan for Fiscal 2000-2004 was adopted by the Board in May 1999.
- As stated in the Mayor's 2001 State of the City Address, SCA accelerated its schedule and began the construction of 12 new school facilities before the end of Fiscal 2001. The construction of these schools was originally scheduled to begin later in the Five-Year Capital Plan. This includes seven new buildings and five new additions, 11 of which are in Queens and one in the Bronx.
 - Construction began in May 2001 on a high school in Queens that will give students an opportunity to pursue a career in law enforcement. The 897-seat high school will be equipped with an Emergency Medical Service training lab, a courtroom, and the first forensic lab in a New York City school; it also will have a community center in the same building that will be open at night and on weekends. The school is projected to be completed by September 2003 and was one of the schools targeted for accelerated construction by the Mayor.

SCHOOL CONSTRUCTION AUTHORITY

FUNDING INITIATIVE

- 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. Fiscal 1999 MAC funding has been allocated to SCA for 114 rehabilitation projects. By the end of Fiscal 2001 SCA completed 107 projects and seven are in construction. These projects include replacement of windows and roofs, exterior masonry, heating plants and science lab improvements.
 - Although in Fiscal 2000 the Department of Design and Construction (DDC) was designated to undertake all future MAC projects, the Board allocated \$74 million to SCA to complete 32 Fiscal 2001 MAC projects, out of a total of 118. By the end of Fiscal 2001, SCA completed eight projects, 23 are in construction and one has been cancelled by the Board.
- In Fiscal 2001 SCA received \$48 million in funds from the City Council and Borough Presidents for a revised total of 229 projects in 197 schools. By the end of Fiscal 2001, two have been completed, 71 are in construction, 13 are in the bid/award phase, and 41 are in the design phase. A total of 102 projects are for equipment purchase only.
 - In Fiscal 2000 the City Council and Borough Presidents allocated \$48 million for a revised number of 175 projects. By the end of Fiscal 2001, 82 projects have been completed, 26 are in construction, five are in the bid/award stage, and a revised number of 62 are for equipment purchase only.
 - In Fiscal 1999 the City Council and Borough Presidents allocated \$18.7 million to SCA for a revised number of 133 projects in 114 schools. By the end of Fiscal 2001, 62 have been completed, 16 are in construction, four are in the bid/award phase, 11 are in the design phase, and a revised number of 40 are for equipment purchase only.
 - In Fiscal 1998 the City Council and Borough Presidents allocated \$33.3 million for a revised number of 186 projects in 164 schools. By the end of Fiscal 2001, 114 projects have been completed, five are in construction, one is in the bid/award phase, and a revised number of 66 are for equipment purchase.

DESIGN AND PROCESS REFORM

- In Fiscal 2001 SCA continued to use Design/Build contracting to reduce the time needed to design and construct new schools and additions. 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. As of June 2001, 63 percent of all major projects under construction use this method, as compared to 59 percent as of June 2000.
- As planned, in Fiscal 2001 SCA implemented revised policies and procedures for the Prequalification Unit to ensure that contractors are fully investigated before they are accredited to work on school projects, including investigation of their financial records, safety records and overall industry experience.
 - In July 2001 a revised prequalification application that has more extensive questions about applicants' safety and financial history was mailed to every contractor in the SCA database. SCA also set up a dedicated phone line and phone number for assisting applicants and is developing new procedures to address the issues that emerge through this process. Beginning in July 2001 all new applications must be submitted in the new format, and contractors in the database prior to July 2001 will submit the new application when they reapply at the end of their three-year time limit, as dictated by SCA regulations.

SCHOOL CONSTRUCTION AUTHORITY

- In Fiscal 2001 SCA implemented several measures to strengthen and improve the contractor qualification review process. These include increasing scrutiny of contractor performance evaluations.
 - In September 2000 SCA trained its in-house analyst for the position of Safety Manager to review the applicant firms' safety records. The presence of the Safety Manager in SCA's newly named Contractor Qualification Unit ensures that safety issues are carefully and knowledgeably considered throughout the qualification evaluation process.
 - In the first quarter of Fiscal 2001 SCA hired two accountants for the Contractor Qualification Unit to conduct and oversee the financial analysis of the applicant firms during the qualification process and throughout the award process. These staff members increase the scrutiny of the qualification process for applicant firms.
- In July 2000 SCA began a project to speed the processing of qualification applications by refocusing existing staff to more efficiently undertake application processing. The backlog of applications has been reduced from 1,457 in July 2000 to 302 at the end of Fiscal 2001, a 79 percent reduction. As a result, newly received applications are processed in no more than three months. 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

- All 148 coal boiler conversion projects that SCA was responsible for in Fiscal 2001 were completed by August 2001. By the beginning of the 2001 heating season, all New York City schools will be using modern, dual fuel (gas/oil) boilers. 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/women-owned and locally based firms. In Fiscal 2001, 242 firms were identified as eligible, including an additional 67 firms certified for participation in the Mentor Program during this period. SCA awarded 149 contracts totaling \$36.8 million to participants in the program during Fiscal 2001, compared to \$64.5 million in Fiscal 2000. Although this is a significant decline, SCA's Fiscal 2000 performance was more than twice as large as any previous year. The Fiscal 2001 figure is more representative of SCA's expected performance.

SAFETY

- In Fiscal 2001 SCA's Safety Unit employed 12 full-time safety inspectors, the same number as were employed during Fiscal 2000. SCA plans to hire a revised number of three additional safety inspectors by a revised date of January 2002. Qualifications for safety inspectors have become more stringent in Fiscal 2001, specifically regarding the level of in-depth knowledge of current safety and health procedures, and New York City's requirement that inspectors be certified by the Department of Buildings. Additionally, all inspectors are licensed asbestos supervisors and project monitors. The current staff includes a master electrician, licensed scaffold rigger, electrical engineer, civil engineer and an asphalt/concrete certified inspector.

SCHOOL CONSTRUCTION AUTHORITY

- In Fiscal 2001 the Safety Unit performed 7,226 inspections. As a result, a total of 11,858 notices of safety violations were issued to contractors, with only 2,548 repeat notifications issued, compared to 4,318 inspections, 6,517 notices of violations, and 2,754 repeat notifications issued in Fiscal 2000. As a result of the scrutiny of the Safety Unit, the firms achieved an approximate 87 percent compliance rate with SCA's safety recommendations in Fiscal 2001, compared to 80 percent in Fiscal 2000. 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 regulation 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.
- In Fiscal 2001 the Safety Unit introduced attendance at the standard Protocol, Pre-Construction and Technical Information meetings as part of each safety officer's responsibility for a project. Attendees at the meetings include project managers and representatives of the company responsible for the work. Required attendance for safety officers has encouraged an open line of communication and understanding among all the parties. Safety requirements are explained in detail to the contractors so that all parties are aware of their individual safety responsibilities prior to the start of the project.
- In Fiscal 2001 the Safety Unit increased the number of scheduled Occupational Safety and Health Administration (OSHA) safety classes to one course every month, from one course each quarter in Fiscal 2000. New courses offered in Fiscal 2001 include specialized training in City Fire Safety Codes, fall protection, job site risk assessment and hazard analysis. The target audience for the OSHA classes is contractors, subcontractors and SCA project officers.
- In April 2001 the SCA Safety Unit began providing free technical assistance to contractors whose site safety plans have been rejected. Safety plans, which must be approved by SCA before the contractor begins the project, include sidewalk bridging for all exterior projects, fire safety plans, and scaffold and crane safety plans. Inspectors walk the site with the contractor and review the rejected plan for appropriate revisions.
- In Fiscal 2001 the Safety Unit standardized its reporting format so that all safety officer reports contain the same information and have a uniform appearance, making the reports easier to read and analyze.

CUSTOMER SATISFACTION INITIATIVES

- In October 2000 SCA mailed customer satisfaction surveys to school principals for SCA projects completed in Fiscal 2000. Of the 1,063 surveys mailed, 433, or 40 percent, were returned, compared to 925 surveys mailed and 224, or 24 percent, returned for Fiscal 1999 projects. The improved response rate is due, in part, to the fact that SCA mailed the surveys later than in the past, allowing principals to settle into the school year before having to respond to the survey. Only 90 of the returned surveys required corrective action and they were promptly resolved. A total of 61 percent of principals expressed satisfaction with the work of SCA in Fiscal 2000, compared to only 43 percent in Fiscal 1997 when SCA initiated the survey.
- In Fiscal 2001 SCA received 190 complaints from the community about SCA projects, of which 188 were resolved and two are pending. Since Fiscal 1999 SCA has tracked complaints to identify and promptly handle community concerns about SCA projects.

SCHOOL CONSTRUCTION AUTHORITY

- In January 2001 SCA implemented a Project Health assessment review process 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. Since the program's beginning, 252 meetings have been held with contractors and stakeholders.

TECHNOLOGY

- During Fiscal 2001 SCA continued to install the Enterprise Resource Planning (ERP) process. ERP will integrate SCA's project management and financial systems and will provide detailed reporting capability. Design and implementation of ERP has been divided into two parts, based on functionality: financial systems and project management systems.
 - The financial systems component of the ERP process was operational by July 2001. This phase consisted of replacing all of SCA's core financial systems, including the General Ledger, Accounts Payable, Fixed Assets, Purchasing, Project/Grants Accounting, and the Requirements Contracting systems. The new financial system is integrated with the City's Financial Management System, which allows SCA access to daily transactions for purchase orders, contracts and invoices, and payment information. The implementation of this system includes converting and storing financial data going back to Fiscal 1989, when SCA was established, to enable consistent reporting on all information that is relevant to the current Five-Year Capital Plan.
 - The project management component of the ERP process, which will be executed in conjunction with the Board of Education's Division of School Facilities, is still being scoped. This portion of ERP will include the creation of a data warehouse to store all SCA project information. SCA is still analyzing its needs to carry out this component of the ERP process and expects to issue a Request for Proposals by November 2001. The 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.
 - By the end of Fiscal 2001 SCA began technical training for staff that will be using ERP.
- In Fiscal 2001 SCA's Web site received 5,815 visits to its home page on NYC.GOV, the City's official Web site. This compares to 6,708 visits in Fiscal 2000.

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Authority's commitments were \$2.37 billion, compared with its plan of \$1.8 billion; headcount was 925, compared with its plan of 1,039. Fiscal 2000 commitments were \$1.3 billion, and headcount was 845.
- The Fiscal 2002 Adopted Budget includes planned commitments of \$1.2 billion and a planned headcount of 1,039.

SCHOOL CONSTRUCTION AUTHORITY

LONG-TERM TRENDS IN AGENCY OBJECTIVES

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

- (a) 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 346 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 76,093 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	FY 01 Actual	FY 02 Plan
Provide 78,684 Section 8 families with access to affordable private units.	76,093	81,500
Place 15,500 new residents in public and leased housing.	13,581	17,500
Place an additional 3,500 working families on the public housing waiting list.	3,274	3,500

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, encourage resident involvement and provide economic opportunities.

Objective	FY 01 Actual	FY 02 Plan
Place a total of 110 officers in 110 developments through the Police Residency Program.	46 / 38	125 / 125
Expand the pilot anti-graffiti task force to two additional developments for a total of 65.	4 / 67	5 / 72
Complete maintenance work tickets within an average of 25 days citywide.	11	15
Abate emergency conditions within an average of one day citywide.	1	1

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

Objective	FY 01 Actual	FY 02 Plan
Save a projected \$10 million in energy management programs through operational, rate and maintenance cost reductions.	\$13 million	\$12 million
Contract with a private management company for the management and maintenance of 313 units in 277 one- and two-family homes.	0 / 0	

NEW YORK CITY HOUSING AUTHORITY

Goal: Maintain and enhance social services to meet the changing needs of public housing and Section 8 residents.

Objective	FY 01 Actual	FY 02 Plan
Maintain and run 117 community centers and 37 senior citizen center programs.	117 / 37	121 / 37
Provide daily services to an average of 5,500 residents and 4,500 senior citizens at community centers.	5,494 / 4,500	5,800 / 4,500

HIGHLIGHTS AND ACHIEVEMENTS

OUTREACH TO WORKING FAMILIES

- The New York City Housing Authority (NYCHA) continued implementing the Local Preference Policy for working families during Fiscal 2001. The 3,274 working families placed represent 43.4 percent of total NYCHA admissions, compared to 40.1 percent of total admissions placed last year. Working families now occupy 35.5 percent of all NYCHA units, the same percentage as during Fiscal 2000.
- The Authority added 5,185 working families to its public housing waiting list during Fiscal 2001, compared to 4,708 such families during Fiscal 2000.
- 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. NYCHA appealed, and the Second Circuit Court of Appeals reversed the decision of the District Court, but remanded the case to the District Court for further proceedings, leaving the preliminary injunction in place. In August 1999 the District Court made the injunction permanent, although it now affects only 15 of the original 21 developments. NYCHA again appealed to the Second Circuit and a decision is imminent.

PROPERTY MANAGEMENT AND MAINTENANCE

- A total of 3,997 Authority-owned units in 35 developments citywide, representing 10.2 percent of all Authority developments, are under private management. During Fiscal 2001, two buildings at the Madison Avenue development in Manhattan, consisting of 14 units, were transferred to a resident-owned cooperative through the Multi-Family Home Ownership Program.
- NYCHA issued a Request for Qualifications (RFQ) to contract with a private management firm for the management and maintenance of 313 units in 277 one- and two-family Federal Housing Administration (FHA) homes in April 2000. There were three responses to the RFQ; however, none of them were deemed qualified. NYCHA released a second RFQ in late July 2000; however, none of the three responses were deemed qualified. As a result, the Authority will explore alternative programs, including home sales to residents and funding grants for property rehabilitation.
 - The Project Home program is a joint venture between the Neighborhood Housing Services (NHS) and NYCHA to rehabilitate 70 vacant FHA single-family buildings in southern Queens and sell them to NYCHA residents. NHS served as NYCHA's partner and project manager, offering pre-purchase and post-purchase counseling, and coordinating the closings on these houses. The program is now closed and the 70 families who purchased homes moved in by June 2001.

NEW YORK CITY HOUSING AUTHORITY

- 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 complete by Spring 2002. This development will be privately managed; support services will be provided by the Henry Street Settlement House. A Memorandum of Understanding (MOU) between NYCHA and the Human Resources Administration (HRA) will establish a site-based waiting list in accordance with a federal Department of Housing and Urban Development (HUD)-approved plan.
- NYCHA continues to evaluate joint ventures with private entrepreneurs to develop new and/or replacement housing. Through new construction, substantial rehabilitation of units or master leasing of existing units, housing will be made available to public housing residents or other eligible applicants. NYCHA is reviewing various proposals to revitalize other properties and provide mixed-income housing as well as community and retail space. In February 2000 NYCHA issued a Letter of Solicitation (LOS) to implement a Master Lease program that would provide operating subsidies to owners of private buildings in Spring 2000. There were two responses to the LOS; neither was qualified. Based upon the 1998 Quality Housing and Work Responsibility Work Act, NYCHA is working with HUD to implement the Master Lease Program through options that broaden opportunities for the private development community to work with NYCHA as a development partner.
- NYCHA is also developing rental and home-ownership opportunities in connection with the Prospect Plaza HOPE VI revitalization plan in Brooklyn. In the immediate vicinity of Prospect Plaza, a minimum of 126 units will be rehabilitated and an additional 92 new units will be built. Construction is expected to start in Summer 2002. In addition, NYCHA is planning to develop a senior housing building at the Arverne and Edgemere HOPE VI site in Queens, with at least 24 new units. Construction is expected to start in mid-Calendar 2003.
- In Fiscal 2001 the City continued its rodent control and eradication efforts. In June 2000 the Deputy Mayor for Operations established the Rodent Control Task Force comprised of over 15 City agencies and quasi-agencies. Chaired by the Mayor's Office of Emergency Management, the Mayor's Office of Operations and the Department of Health (DOH), meetings are held weekly to coordinate Integrated Pest Management practices, including assessment, abatement and eradication activities.
 - As a participant in this Task Force, 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 by the Mayor 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.

NEW YORK CITY HOUSING AUTHORITY

- In August 2000 NYCHA identified 10 of the most marketable sites citywide for potential development of ground floor spaces for commercial and retail use. NYCHA is recruiting businesses that would be quality tenants and have the ability to hire NYCHA residents.

RECYCLING AND REFUSE MANAGEMENT

- The Authority installed five new centralized refuse collection compounds in its developments during Fiscal 2001, bringing the total number of compounds to 234 in 105 developments.
- The Authority is moving forward with its plan to install exterior compacting machines at its developments. As of June 30, 2001, 138 compacting machines at 57 developments have been installed. NYCHA plans to install an additional 123 compactors at 51 developments by Fiscal 2006.
- Residents in both scattered-site and conventional developments continued to receive literature, published in both English and Spanish, that focuses on recycling efforts in Fiscal 2001. Recycling information will continue to be disseminated to residents through NYCHA's newspaper, "The Housing Journal"; management newsletters; the resident associations and staff meetings.

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 Fiscal 2001, 21 developments, representing all five boroughs, began using the fully automated boiler/building controls. CHAS will be installed at an additional 13 boiler plants during Fiscal 2002.
- 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, and is expected to save \$300,000 to \$400,000 annually for the pilot site. 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.
- Since its inception in 1996, NYCHA's nine-year \$1 billion energy contract with the New York Power Authority (NYPA), which included a rate freeze, has saved a total of \$18.4 million in energy costs. In addition, as a result of a provision that allows NYCHA to share in any NYPA operational savings, the Authority received approximately \$7.2 million in electrical rebates in the last three fiscal years. The operating savings have significantly decreased, since NYPA recently sold its nuclear power plants. NYCHA expects to receive \$125,000 in electrical rebates during Fiscal 2002.
- 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 rate savings on heating gas from November 1998 through June 2001 totaled \$3.6 million for 61 participating developments, an average savings of 8 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, which ended in August 2001, saved NYCHA approximately \$150,000.

NEW YORK CITY HOUSING AUTHORITY

- Through a two-year contract signed with two utility companies in December 1998, NYCHA has saved \$3.3 million, or approximately 17.9 percent, on the purchase of cooking gas for all of its developments. In March 2001 NYCHA initiated a similar contract with KeySpan, which resulted in approximately \$100,000 in savings in Fiscal 2001.
- NYCHA, in conjunction with the New York State Energy Research Development Authority, is initiating 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 will be fully operational in October 2001.
- NYCHA has converted or is in the process of converting 59 developments 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. 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 \$5.6 million since the inception of the first contract in 1996.
- The Authority continued to use its new computerized monitoring and alarm system for selected heating plants during Fiscal 2001. This telephone warning system improves service to tenants by monitoring boiler room functions and alerting staff of any malfunctions between midnight and 6 A.M. NYCHA has implemented the sensing program at 282 developments. During Fiscal 2001 NYCHA saved approximately \$3 million in reduced operating costs through this initiative.
- During Fiscal 2001 NYCHA installed 25,324 environmentally safe, energy-efficient refrigerators in its developments, bringing the total to over 120,876 refrigerators. By the end of Calendar 2001, NYCHA will have 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 program to eight years.
- In Calendar 1997 KeySpan Energy began managing boiler rooms in five NYCHA developments as part of a two-year pilot that included a reduced-rate package for heating gas and maintenance. The Authority saved approximately \$3 million in rate reductions and approximately \$200,000 in maintenance and repair costs since the inception of the program. Following the successful completion of the pilot in February 2001, NYCHA granted KeySpan Energy the third of eight possible one-year extensions for the operation and maintenance of the five developments' heating plants. The third extension, which will end in February 2002, will result in projected annual savings of approximately \$3 million in rate savings and \$200,000 in operations and maintenance.
- 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.

NEW YORK CITY HOUSING AUTHORITY

HOUSING FAMILIES

- During Fiscal 2001 NYCHA rented a total of 1,509 public housing units to homeless families and individuals referred by City agencies, compared to 1,417 units during Fiscal 2000. Placements were as follows: 1,115 Department of Homeless Services (DHS) referrals, compared to 920 referrals during Fiscal 2000; 291 Department of Housing Preservation and Development (HPD) referrals, compared to 427 referrals during Fiscal 2000; and 103 Human Resources Administration HIV/AIDS Services Administration (HASA, formerly DASIS) placements, compared to 70 HASA placements during Fiscal 2000. The Authority also provided 917 apartments to homeless families who were not referred by City agencies, compared to 177 during Fiscal 2000.
- The Emergency Assistance Rehousing Program, which locates housing for those who have been forced to vacate their dwellings due to safety concerns, placed 1,738 families in privately owned housing using Section 8 subsidies during the reporting period, compared to 2,417 families during Fiscal 2000.
- In Fiscal 2001 the Authority provided Section 8 subsidies for private housing to an additional 1,023 homeless families who were initially housed in shelters, but who then found housing without the assistance of City agencies. In comparison, 115 such families were provided with Section 8 subsidies during Fiscal 2000.
- In October 1999 HUD announced that NYCHA received 275 Section 8 Rental Assistance Vouchers valued at \$2.06 million through the Designated Housing and Mainstream Programs. The Designated Housing Program provides rental assistance to nonelderly disabled persons, who might have been housed in developments designated for occupancy by the elderly, to find housing in the private market. The Mainstream Program allows low-income persons with disabilities to rent apartments in the private market. NYCHA again applied for 275 Rental Assistance Vouchers during Fiscal 2001 and was awarded 200 vouchers in November 2000 and 75 vouchers in January 2001.
- 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. In collaboration with the Human Resources Administration (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 662 placements in this program.
- In an effort to support Section 8 rentals, NYCHA's Leased Housing Department has implemented several initiatives to assist landlords and applicants during Fiscal 2001.
 - Section 8 Program administrative fees will now be used to pay authorized, licensed real estate brokers for services in assisting NYCHA Section 8 applicants to find appropriate apartments for rent. Currently, the average Section 8 applicant is unable to use real estate brokers due to the fees associated with the service. If NYCHA covers the broker cost, a higher percentage of applicants will take advantage of the services, and increase the possibilities of identifying suitable apartments.

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- Currently, landlords have to wait approximately 30 days for NYCHA to process a lease. NYCHA will begin 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 will require 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.

RESIDENT INITIATIVES

- The Partners in Reading Year-Round Program started on September 25, 2000 and ended on June 15, 2001. This program expanded to 120 developments during Fiscal 2001; it served approximately 7,000 children ages 6 through 8. 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.
- The Alternative High School program, a collaborative effort between NYCHA and the Board of Education, is operating at 22 sites. A total of 918 students enrolled in the program in Fiscal 2001, 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 the Mayor created HealthStat, a comprehensive citywide initiative to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor’s Office of Health Insurance Access, over 20 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 150,000 individuals have been enrolled in public health insurance programs.
 - A HealthStat Unit was established under the direction of the Department of Community Operations.
 - All NYCHA community centers and management offices are utilized as HealthStat information and referral stations. Parents can go to their local community center and/or management office to receive a referral to a local community-based organization or health plan for enrollment. A HealthStat point person is located in every community center and management office.
 - To date, NYCHA has successfully referred 7,554 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. Forty-three community centers are utilized 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.
 - Various enrollment agencies are participating 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.

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- Mayor Giuliani and NYCHA Chairman Hernandez recently announced the 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 will be 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.
- 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-six 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 between 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.
- In collaboration with the New York City Police Department (NYPD) and several community-based organizations, NYCHA continued its mentoring program during Fiscal 2001, matching 195 mentors with 201 NYCHA residents in grades 1 through 6. In comparison, a total of 165 mentors with 159 NYCHA residents participated in the program during Fiscal 2000. 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. In Manhattan, NYCHA launched the program at Two Bridges Houses in October 2000 and at Rutgers Houses in April 2001.
- In Fiscal 2001 the After School Program for Interaction, Recreation and Education (ASPIRE), a collaborative effort among NYCHA, the Mayor's Office and NYPD, operated at 45 locations. Traditionally, the ASPIRE Program has operated in three cycles with 30 sites served in each cycle. The second cycle, which started in December 2000, accommodated only 15 locations due to funding issues. However, the third cycle, which started in February 2001, accommodated 30 locations because funding was restored. The program served approximately 2,000 youth in Fiscal 2001, compared to 1,950 youth in Fiscal 2000. ASPIRE sessions emphasize preventing illicit drug use; encouraging peaceful resolution of conflicts; and fostering leadership, communication and decision-making skills.
- During Fiscal 2001, 40,287 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 38,784 individuals participated during Fiscal 2000.
- During the reporting period, 15,586 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, 13,000 individuals participated during Fiscal 2000.

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- In September 2000 NYCHA youth from 25 developments citywide, ages 9 to 12, participated in an after-school computer technology-training program, FutureKids @ NYCHA. The 22-week program was a joint venture among the Mayor's Office, the Department of Information Technology and Telecommunications, Public Private Initiatives and NYCHA. Of the approximately 1,100 registered participants, NYCHA served an average of 750 youth on a weekly basis. The program ended in early February 2001. Currently, the Department of Community Operations is working on a new Request for Proposals (RFP) with HRA to provide another year of computer technology training.
- 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 better deliver services in a coordinated fashion, NYCHA merged the Department of Special Projects and the Office of the Aging into the Department of Community Operations and implemented a number of new initiatives and programs, including the following:
 - NYCHA contracted with Mount Sinai Hospital in June 2000 to complete a health-care needs assessment survey of residents 60 years and over in 16 NYCHA sites located in East Harlem, and two in Central Harlem. A total of 3,280 senior residents or 45 percent responded to the study. Subsequently, at NYCHA's request, two additional surveys were conducted. One follow-up survey of 300 seniors evaluated the need for Assistance in Daily Living (ADL) and Instrumental Assistance in Daily Living (IADL) programs. The ADL program assists the elderly with activities such as bathing, dressing, toileting, continence and feeding. The IADL program assists the elderly with such activities as telephone, shopping, food preparation, laundry, taking medication, using transportation and handling finances. The second survey of 100 seniors evaluated the need for geriatric screening. These surveys were invaluable in obtaining a more accurate picture of the conditions and issues that seniors face on a daily basis. This data was used to revise the original Mt. Sinai proposal, which recommends services such as an on-site physician, house calls, on-site health education, on-site intensive outreach, a near-site primary care facility, care coordination, primary medical care and gero-psychiatric services. NYCHA is currently in the final negotiation stage of the agreement for Phase II implementation.
 - 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.
 - The NORC programs are fully staffed and in operation at all NYCHA sites except at Sheepshead/Nostrand, where the nonprofit organization recently moved into its own space. 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.
 - The New York City Department for the Aging (DFTA) has awarded \$1.33 million in grants to nonprofit agencies to deliver NORC services at the Pelham Parkway Houses in the Bronx; the Sheepshead/Nostrand Houses in Brooklyn; the Lincoln Square Neighborhood Center at Amsterdam and Amsterdam Addition, the Stanley Isaacs Houses Neighborhood Center at Isaac/Holmes Houses and the Henry Street Settlement at Vladeck Houses in Manhattan; the Forest Hills Community House at Forest Hills Cooperative and the Ravenswood Houses in Queens.

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- In addition, the United Hospital Fund (UHF), through its Aging In Place Initiative, coordinated access to philanthropic funds and awarded the following direct grants: \$87,500 to Amsterdam Houses, \$50,000 to the Forest Hills Community House, \$50,000 to Pelham Parkway Houses, \$28,400 to Sheepshead/Nostrand Houses and \$60,000 to Ravenswood Houses.
- In January 2001 NYCHA staff participated in a NORC training workshop developed by DFTA. The purpose of the workshop was to define NORC's mission and goals by assisting each designated site and its partners to develop effective collaborations and define their respective roles and expectations.
- 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 Fiscal 2001 NYCHA transferred 444 households to new housing through ETP, with a total of 3,706 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. During Fiscal 2001 the Authority referred 358 cases to the Aftercare Program, with a total of 2,076 cases since the inception of the program in 1997.
 - In October 2000 NYCHA held its Fourth Annual Domestic Violence Conference entitled, "Domestic Violence: The Next Generation." The conference centered on the detrimental effects spousal abuse has on children. Approximately 400 participants attended.
 - In October 2001 the Fifth Annual Domestic Violence Conference will be held. The theme of this conference is "Elder Abuse." Over 450 participants are expected to attend.

JOB TRAINING AND PLACEMENT INITIATIVES

- In cooperation with HRA, NYCHA deployed 1,557 Work Experience Program (WEP) participants at NYCHA facilities during Fiscal 2001, compared with 4,430 participants during Fiscal 2000. Since the inception of this program in November 1996, 32,487 WEP participants have been assigned to work in NYCHA developments throughout the City.
- 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 1,686 residents received job training and other employment assistance during Fiscal 2001. In comparison, 1,862 residents received job training and other employment assistance during Fiscal 2000.
- 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 Fiscal 2001, 281 residents were placed in jobs or training programs, compared to 110 residents during Fiscal 2000. 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 127 residents secured employment through NYCHA's Family Investment Center, compared to 151 residents during Fiscal 2000. The Center, which provides employment assessment and counseling, prepares NYCHA residents for employment opportunities through training, resume and interview workshops, education and job referrals.

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- The Recruitment Unit performs employability assessments and refers clients to the appropriate educational, vocational, training and job placement programs. Referrals during Fiscal 2001 are as follows: 130 clients to educational programs, compared to 239 in Fiscal 2000; 830 clients to NYCHA job training programs, compared to 671 during Fiscal 2000; 287 clients to job training outside of the Authority's programs, compared to 302 clients during Fiscal 2000; and 31 clients to employment in Fiscal 2001, compared to 548 during Fiscal 2000.
- NYCHA's Wildcat Limited Work Experience Training Program provides on-the-job and classroom training in clerical and computer skills. The program was not active during Fiscal 2001. An agreement is being finalized with the contractor to reinstate the program in Fiscal 2002.
- NYCHA's Housing Youth Training Program provides on-the-job and classroom training in maintenance and heating plant operations to NYCHA youth. In Fiscal 2000 the program was suspended for reevaluation. The next cycle of the program started in August 2001 with 52 enrollees and is open to the Rockaway developments in Queens and the Randolph Houses in Manhattan.
- In collaboration with contractors at NYCHA sites, the Youthbuild program offers youth hands-on training in all aspects of the construction trades, while providing them with GED preparation. During Fiscal 2001, 46 youth were enrolled; 29 of whom graduated in December 2000 and 13 graduates were placed in jobs.
- During Fiscal 2001, 275 WEP participants were placed in full-time jobs at NYCHA; 99 are NYCHA residents.
- In October 1999 NYCHA signed a five-year license agreement with a major soft drink company to install vending machines throughout NYCHA developments. The agreement provides for an annual revenue stream to NYCHA estimated at \$262,000 for 200 machine placements and up to \$1.3 million for 1,000 machines. To date, 378 vending machines have been installed at NYCHA developments, and a total of \$248,990 in revenue was collected. In addition, the company has 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. During Fiscal 2001 the vendor hosted five job fairs, one per borough, and one resident was hired.
 - In addition, NYCHA has reviewed proposals to install public pay telephones on development properties and has selected a vendor. The terms of the agreement are being prepared for submission to NYCHA's Board for approval.
- 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 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. As of June 30, 2001, 85 residents started and 44 residents completed this training; 17 residents have been employed to date.
- 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.

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- On April 5, 2001 NYCHA held a ribbon-cutting ceremony to officially open the Department of Economic and Business Initiatives' (DEBI) field office in the Randolph Houses in Manhattan. The DEBI field office will offer residents of Randolph and neighboring developments individualized assessments, career planning and referrals to vocational and educational programs, and information on employment opportunities.
- In May 2001 NYCHA launched a new apprenticeship program with a major construction firm at the Arverne and Edgemere Houses in Queens. Participants will attend classes in carpentry, masonry, plastering, electrical techniques and equipment safety. The program consists of standard curriculum instruction and hands-on laboratories.
 - Five, two-day skills enhancement seminars were conducted by the State University of New York Maritime in May 2001 and cover carpentry, plumbing, masonry, welding and electricity. Thirty-four residents attended at least one of these two-day seminars.
 - The first of the six-week classroom sessions was held from June 4 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, two are already employed. Orientation for the second series of six-week sessions was held on July 24th, 25th and 31st and approximately 30 residents attended.

SECURITY INITIATIVES

- In Calendar 2000 NYCHA developments experienced a 6.6 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 nine closed circuit television (CCTV) systems that are operational, and over 1,600 cameras installed. CCTV systems are fully operational at the following sites: the South Jamaica Houses and Astoria Houses in Queens, the Bronx River Houses and Castle Hill Houses in the Bronx, the Stapleton Houses in Staten Island, the Albany Houses and Van Dyke Houses in Brooklyn, and the Grant Houses and Wald Houses in Manhattan.
 - At the Morrisania Air Rights development in the Bronx, a contractor was selected to install a digital CCTV surveillance system. Installation of 225 cameras at the Van Dyke Houses in Brooklyn began in July 2000, with 196 completed to date. Installation of cameras at the Astoria Houses in Queens began in October 2000, with 236 completed to date. Installation of 301 cameras at the Castle Hill Houses in the Bronx began in December 2000, with 239 completed to date; and installation of 94 cameras at the West Brighton Houses in Staten Island began in April 2001.
- NYCHA completed installation of the new high security stainless steel doors and frames at 152 developments; entrances at 46 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.
- During the reporting period 46 officers in 38 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, 181 new officers have applied for this program.

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- NYCHA added four developments with 17 buildings to its Anti-Graffiti/Vandalism program during Fiscal 2001; this increases the total to 67 developments and 250 buildings. NYCHA expects to add five developments and 30 buildings to the program during Fiscal 2002.

FIRE SAFETY INITIATIVES

- In Fiscal 1999 NYCHA launched an aggressive program to improve the safety of residents, employees and others in the event of a fire. 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. Throughout the year, a consultant provided additional training to NYCHA personnel on fire codes, fire suppression and alarm systems. Participants have included managers and assistant managers, building superintendents and assistant superintendents, and borough management administrators. The classes concluded in March 2000. During the reporting period NYCHA began to prepare an RFP for additional courses for grounds supervisors and a second round of training for managers, building superintendents, assistant superintendents and borough management administrators. Issuance of the RFP has been delayed; classes are not expected to begin until July 2002.
- 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 to fire alarm systems. A total of 10,392 work orders were issued for inspections, surveys, tests and repairs under the sprinkler/standpipe contracts, and 2,227 work orders were issued under the fire alarm contracts. The contracts were awarded for a three-year period; replacement contracts will be rebid in Fall 2001.
- 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; 4,738 smoke detectors were installed during Fiscal 2001. A total of 12,764 additional units are scheduled to have battery-operated detectors replaced with hard-wired models as part of the planned modernization. During Fiscal 2001 NYCHA installed 2,700 audio/visual smoke detectors. These devices warn hearing-impaired residents of smoke with a bright strobe light.

CUSTOMER SERVICE AND TECHNOLOGY

- During Fiscal 2001 the public made approximately 35,000 inquiries at NYCHA kiosks, compared to approximately 37,000 inquiries during Fiscal 2000. The five kiosks, located in the borough application offices, provide information on the application process, apartment layouts in various developments and other general information in both English and Spanish.
- During the reporting period NYCHA received 489,276 views of its home page on NYC.GOV, the City's official Web site, compared to 261,910 views received during the same period in Fiscal 2000. This represents an 86.8 percent increase.
- 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 December 2001.

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- 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. Due to the expansion of this program, the rent delinquency rate among tenants receiving public rent subsidies was 4.2 percent in Fiscal 2001, compared to 4.6 percent in Fiscal 2000.
- 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, a sample rental lease, an English and Spanish version of the Authority's Resident's Guide, applications for public housing and Section 8, a listing of all 346 developments with addresses and travel directions, a listing of the NYCHA community and senior centers with addresses, telephone numbers and the name of the center directors and various employment opportunities are posted on NYCHA's home page.
- In January 2000 NYCHA's Department of Public and Community Relations initiated the Ombudsman Program. The Department 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 Fiscal 2001 the ombudsmen received a total of 9,005 inquiries. Most of the inquiries concerned administrative and maintenance issues, transfer requests, and heat and hot water complaints. Of those inquiries, 1,757 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 2,967 inquiries concerned housing applications, such as housing eligibility, and the Tenant Selection and Assignment Plan program.
- In March 2001 NYCHA extended office hours at all development management offices. Three staff persons, including a development supervisor, are available to see residents every Wednesday from 4:30 PM until 7:30 PM. These extended office hours accommodate residents whose work, school or other personal commitments prevent their visiting the office during regular hours.

BUDGET HIGHLIGHTS

- During Fiscal 2001 the Authority's expenditures were \$2.1 billion, compared with its plan of \$1.92 billion; headcount was 14,704, compared with its plan of 14,920. Fiscal 2000 expenditures were \$1.87 billion, and headcount was 14,867.
- The Authority has planned expenditures of \$2.02 billion for Fiscal 2002; planned headcount is 14,680 in Fiscal 2002.

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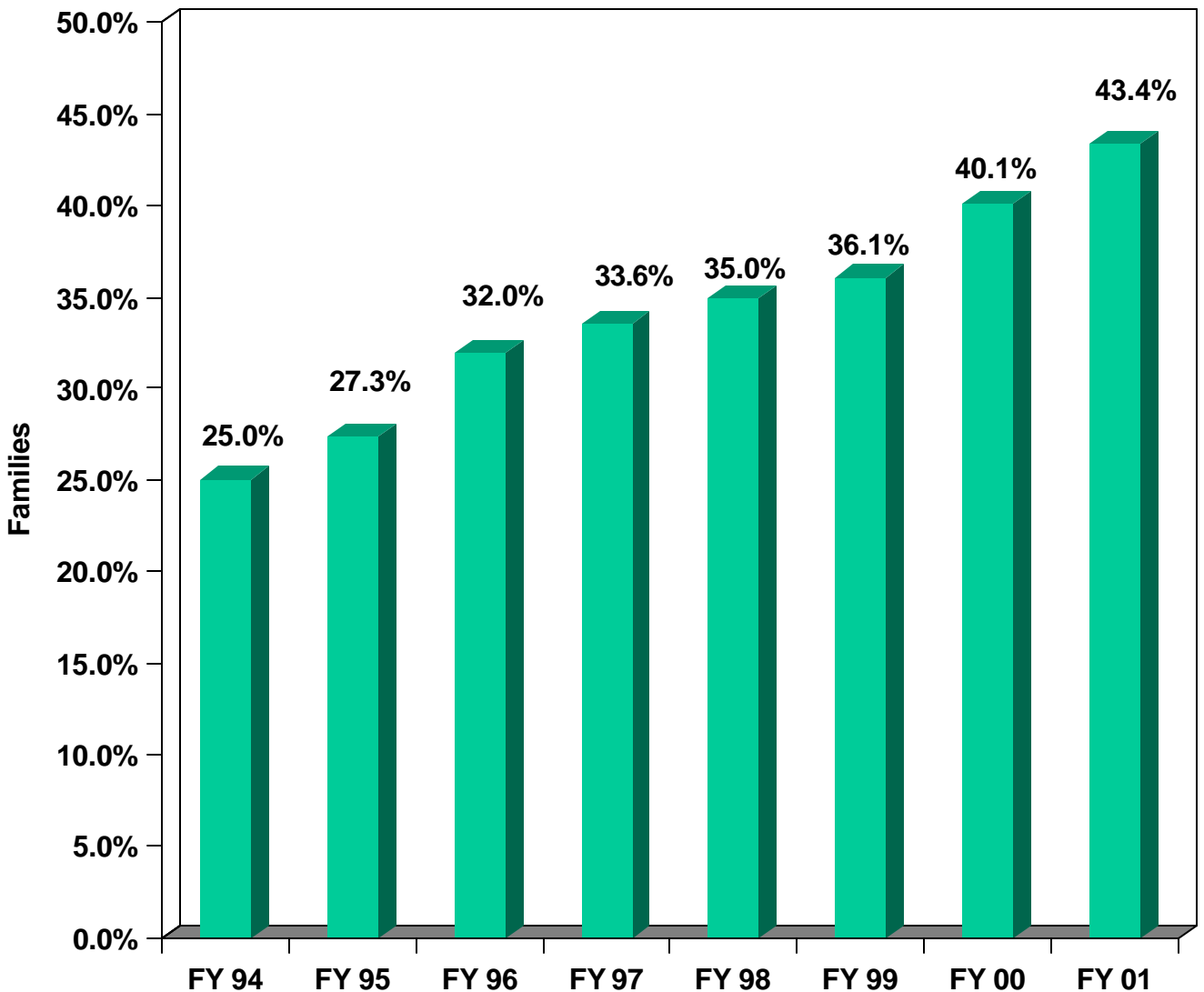
LONG-TERM TRENDS IN AGENCY OBJECTIVES

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

- (a) The average time to resolve/abate complaints decreased due to increased efforts.
- (b) Attendance increased without any special initiatives or outreach.

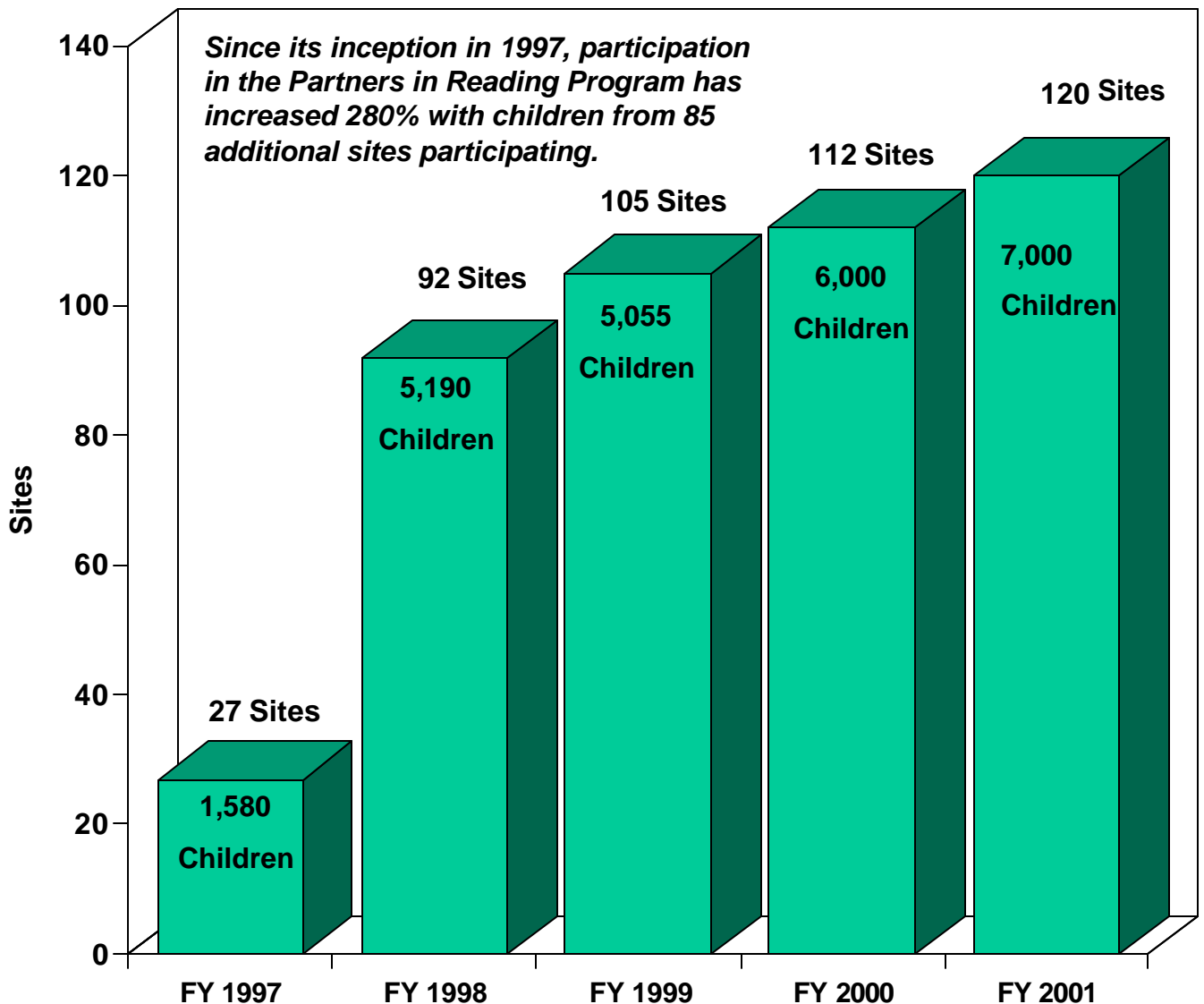
New York City Housing Authority

Percent of Families Placed in NYCHA Developments Who Are Working Families Fiscal 1994-2001



New York City Housing Authority/ Board of Education

Partners in Reading Program Fiscal 1997-2001



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	FY 01 Actual	FY 02 Plan
Ensure that 77% of projects are completed on time or ahead of schedule (excluding delays due to programmatic changes).	85%	80%
Ensure that 85% of completed construction projects remain within a 10% contingency for cost overruns (excluding programmatic scope changes).	96%	85%
Commit 30% of the capital commitment plan target in the first half of each fiscal year by distributing bidding of construction contracts more efficiently.	33%	32%
For construction change orders under \$50,000, achieve a processing time of no more than 60 days from initiation to registration.	88	80

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

Objective	FY 01 Actual	FY 02 Plan
Design 94 infrastructure projects.	95	81
Start 74 infrastructure construction projects.	93	93
Complete 85 infrastructure construction projects.	89	88

DEPARTMENT OF DESIGN AND CONSTRUCTION

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	FY 01 Actual	FY 02 Plan
Design 31 human services projects.	27	30
Start 51 human services construction projects.	45	34
Complete 46 human services construction projects.	40	38
Design 19 public safety projects.	32	24
Start 49 public safety construction projects.	63	27
Complete 70 public safety construction projects.	92	38
Design 49 cultural projects.	45	58
Start 71 cultural construction projects.	68	49
Complete 43 cultural construction projects.	49	36
Design 54 school projects.	67	0
Start 59 school construction projects.	68	0
Complete 81 school construction projects.	99	55

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

Objective	FY 01 Actual	FY 02 Plan
Perform site audits that rate staff and contractor performance on 65% of construction projects.	96%	85%

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

Objective
Implement an Interactive Voice Response (IVR) system that enables contractors and consultants to obtain information on the progress of payment requisitions.
Implement a process-oriented system to track the life cycle of a change order.
Pilot state-of-the-art project management tools to provide improved access to project information and project team communications via the Internet.
Pilot new ultra-light dynamic penetrometer technology to monitor backfill compaction during trench restoration.
Continue development of a computer application to automate the work flow of the Competitive Sealed Proposal procurement processes.

HIGHLIGHTS AND ACHIEVEMENTS

INFRASTRUCTURE DIVISION

- In Fiscal 2001 the Department of Design and Construction (DDC) completed the design of 95 infrastructure projects, compared to 107 projects in Fiscal 2000.
- In Fiscal 2000 DDC began the design for new sanitary and storm sewers for the areas of Lighthouse Avenue and Rockland Avenue in the Richmondtown section of Staten Island. Phase I includes the installation of sewers on Lighthouse Avenue and London Road. Design was completed in March 2001; construction is expected to begin in March 2002 pending acquisition of property along St. Andrews Road. Phase II includes the realignment of Rockland Avenue, which will provide a wider travel lane and a smoother curve from the intersection at Meisner Avenue to Richmond Road, improving traffic flow and sight distance. Based on a request from the client agency and the community, DDC will perform an Environmental Assessment Study for this project. Design is now scheduled for completion in March 2003; construction will begin in October 2003.
- 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 March 2001 DDC completed the design for the widening and reconstruction of 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 is scheduled to start in Spring 2002 pending acquisition of property; 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; completion is expected in late Fall 2001.
- The reconfiguration of Columbus Circle is a joint initiative with the departments of City Planning, Transportation (DOT), Parks and Recreation (DPR), and Environmental Protection (DEP) for the permanent redesign of Columbus Circle and its monument area. A consultant team was selected in August 1999 and the design began in February 2000. In March 2001 Mayor Giuliani reconvened the Columbus Circle Advisory Panel to review current plans and assist in developing a world class design for Columbus Circle. The committee met in June 2001, and will be issuing its recommendations to the Mayor by Fall 2001.
- 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 December 2001.
- 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, and which includes sewer and water main installation, is scheduled to begin in September 2001 with completion planned for March 2004.

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- In March 2001 DDC completed design for street reconstruction in the Bergen Avenue area of East Flatbush, Brooklyn. Construction for this project, valued at \$27.7 million, and which includes sewer and water main installation, is scheduled to begin in September 2001 with completion planned for September 2003.
- In April 2000 DDC completed the design of two water main projects in the Bronx. The projects will improve the reliability of the water distribution system.
 - A 20-inch main has been installed along Stillwell Avenue, from the Pelham Parkway north service road to Ely Avenue, running under the Hutchinson River Parkway. Construction began in November 2000 and the water main component of the project was completed in August 2001. Restoration of the roadside where work was performed will be completed by the contractor in November 2001.
 - Two 24-inch mains along the Hutchinson River Parkway and City Island Road will be installed. The project is scheduled to begin in Fall 2001; completion is scheduled for Winter 2002-2003.
- In Fiscal 2001 DDC started 93 new infrastructure construction projects, compared to 89 in Fiscal 2000.
- In Fiscal 2001 the Department began 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, will replace 782 obsolete hydrants with new ones that can be locked in the summer. Completion is planned for October 2001.
- In July 2000 DDC began the reconstruction of the South Jamaica area in Queens, including street reconstruction and replacement of water mains, storm sewers and sanitary sewers. The project is scheduled for completion in January 2002.
- In April 2001 construction began on the installation of a trunk water main on Cropsey Avenue in the Bath Beach section of Brooklyn. This \$12.5 million project is scheduled for completion in September 2002.
- The Department began a project in November 1999 to upgrade a combined sewer system in Dyker Heights, Brooklyn. The new sewer system runs along 10th Avenue, from 63rd Street to 77th Street. On 63rd Street it runs across to 9th Avenue, and along 9th Avenue to 62nd Street. Completion of this \$13.5 million project, originally planned for May 2001, is now scheduled for January 2002, with the sewer ready to accept flow by Fall 2001.
- 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.

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- 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, catch basins 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 with fence installation planned for completion by late Fall 2001. Parking meters were installed by DOT along the median side of the service roads within the limits of this project. DOT is currently evaluating whether a third phase of this project will include the remainder of Queens Boulevard, west of Eliot Avenue.
- 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 the installation of new reinforced concrete pavement, granite curbs, concrete sidewalks, new traffic signs, traffic signals and street lighting. DDC is working with DOT to maintain a flow of traffic in this critical midtown location. The project is scheduled for completion in October 2001.
- During Fiscal 2000 DDC completed three shaft connection designs for the Brooklyn portion of Water Tunnel No. 3. Construction of two of the projects, totaling \$18 million, began in August and October 2000. Completion for both projects is scheduled for Spring 2002. Construction of the connections to the third shaft, valued at \$6 million, began in June 2001 and is scheduled for completion in June 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. Completion is planned for Fall 2002.
- In January 2000 DDC began reconstruction of Manhattan Avenue, between Commercial Street and Driggs Avenue, in the Greenpoint section of Brooklyn. Completion of this \$10 million project, which includes sewer and water main installation and curb and sidewalk replacement, is scheduled for September 2001.
- In Fiscal 2001 DDC began construction on two major projects on the south shore of Staten Island:
 - In January 2001 construction began on the installation of a new trunk sewer system in the Lamoka Avenue area, north of Amboy Road, in the Eltingville section of Staten Island. This \$7.8 million project is scheduled for completion in August 2002.
 - In April 2001 construction started on the installation of new sanitary and storm sewers in the Foster Road area of Prince's Bay, Staten Island. This \$20.2 million project, which 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, is scheduled for completion in April 2003.
- In Fiscal 2001 DDC completed the construction of 89 infrastructure projects, compared to 87 projects in Fiscal 2000. Projects completed include the construction of new sanitary and storm sewers in the St. George area of Staten Island; installation of water mains on Bay Ridge Parkway and 21st Avenue in Brooklyn; construction of combined sewers on Murray Street between Northern Boulevard and 35th Avenue, and on Carlton Place between Linden Place and Leavitt Street in Queens; and the installation of sanitary sewers on Dean Avenue between Philip Avenue and Lafayette Avenue in the Bronx.

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- In November 2000 the Department completed a quality-of-life initiative to remove obsolete high-pressure water hydrants and valves in Lower Manhattan. The removal has created new parking spaces in some areas, or has been followed by the installation of low-pressure hydrants. DDC removed a total of 1,777 high-pressure hydrants.
- In March 2001 the Department completed the reconstruction of Liberty Avenue from Mother Gaston Boulevard to Linwood Street in Brooklyn. The project, totaling \$8 million, included the reconstruction of roadway pavement, curbs, sidewalks, pedestrian ramps, catch basins, hydrants, street lights, traffic signals, sewers and water mains.
- In August 2000 the Department completed the reconstruction of Stone Street from William Street to Coenties Alley in Manhattan. Work included the installation of new granite block roadway pavement, granite curbs, bluestone sidewalks, street lighting, catch basins, a new 12-inch water main and the rehabilitation of sidewalk vault roofs.
- In August 2000 DDC completed the reconstruction of Chatham Square in Manhattan. The project, totaling \$8.9 million, included the replacement of water mains, roadway reconstruction and the landscaping of a new sidewalk plaza at the intersection of Division Street and the Bowery.
- In August 2000 DDC completed the construction of new sanitary and storm sewers on St. George Road in the Lighthouse Hill section of Staten Island. The project, totaling \$20 million, included environmental landscaping, stream bank stabilization of Richmond Creek and the installation of new specialized retention basins and sediment traps designed to filter storm-sewer water flowing into the Creek.
- In March 2001 DDC completed construction of new sanitary and storm sewers in the Quintard Street area in the South Beach section of Staten Island. This \$10.3 million project included new roadway, sidewalks, signals and pavement markings.
- In October 2000 DDC completed construction of new sanitary and storm sewers in Sharott Avenue on the south shore of Staten Island. This \$29 million project included the reconstruction of Amboy Road Bridge, and environmental landscaping with special plants that absorb and filter water as it passes through the soil.
- In December 2000 DDC completed the construction of a new trunk storm-sewer system in Netherland Avenue on the north shore of Staten Island. This \$22.5 million project, designed to alleviate a chronic flooding problem, included upgrades to existing sanitary sewers and water mains.
- In April 2001 DDC completed the roadway reconstruction in the Newtown area of Queens. This \$12 million project included new sewers, water mains, curbs and sidewalks.
- In December 2000 DDC completed the \$4 million reconstruction of Hoffman Drive in the Elmhurst section of Queens.
- In December 2000 DDC completed the reconstruction of Jamaica Avenue between 127th Street and Sutphin Boulevard in Queens. This \$11 million project included new roadways, sewers and water mains.

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STRUCTURES DIVISION

- During Fiscal 2001 the DDC Structures Division designed 171 projects, compared to 578 projects during Fiscal 2000; began construction on 244 projects, compared to 502 projects in Fiscal 2000; and completed construction on 280 projects, compared to 554 projects in Fiscal 2000.

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.
 - 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.
 - Of the 44 BOE assigned schools, design for masonry, parapet and roof rehabilitation work valued at \$116 million, plus an accelerated window program at one school, valued at \$2 million, was completed in April 2001. Construction began in June 2001 on approximately 44 schools, valued at approximately \$102 million, and was completed by September 2001.
 - Approximately \$98 million in work is currently assigned and forecast for construction during Summer 2002. This includes \$16 million in long lead-time roof, masonry and parapet rehabilitation work at 10 schools and \$82 million in window repair and replacement work at 26 schools.
- In June 2001 construction began for window repair and replacement work valued at approximately \$44 million at 19 schools, including one accelerated school project. Construction also began on masonry and parapet work at seven other schools for long lead-time items such as terra-cotta work, valued at approximately \$27 million; work at six of the schools was completed by September 2001. The remaining school is scheduled for completion in October 2001.
- Prior to the start of the school year in September 2000, DDC completed roof, parapet and masonry repair projects at 29 schools valued at approximately \$109 million. Window repair and replacement projects at 19 schools, valued at approximately \$41 million, were also completed in September 2000.

Health and Human Services

- During Fiscal 2001 the Structures Division designed 27 health care and human services facility projects, compared to 34 projects in Fiscal 2000. Projects designed included the Woodside, Queensbridge/Riis and Ravenswood senior centers in Queens; the Willoughby Avenue and George Conliffe playgrounds in Brooklyn and the Bronx respectively; and the new Open Door Senior Center located at 240 Centre Street in Manhattan, a landmark building that was the former police headquarters.
 - Design for Phase II of the Jamaica Communi-Care Center project in Queens, which includes adding a floor to the existing health center, is scheduled for completion in December 2001. Construction completion is planned for June 2004. The delay is due to a change in scope by the client agency.

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- The Structures Division started 45 new health and human services projects in Fiscal 2001, compared to 32 projects in Fiscal 2000. The projects included boiler replacements at seven health centers citywide, demolition of the 9th floor at Bellevue Hospital in Manhattan for reconstruction of a high sensitivity DNA lab and Phase II of the Davidson Avenue Community Center in the Bronx.
 - 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 (ACS). 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 is scheduled for completion in December 2001. Phase III, including installing utilities and landscaping, is in final design. Construction is expected to begin by the end of September 2001, with completion scheduled for May 2002.
 - In November 2000 DDC began installation of a new fire alarm system at the Rockaway Health Center in Queens and completed the installation in May 2001, three months earlier than planned.
 - In July 2001 DDC began construction on the Chelsea Recreation Center in Manhattan. The building will house a new pool, fitness center, locker rooms, restaurants, 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 April 2002.
 - 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; the two remaining locations are scheduled for completion in late September 2001 and November 2002, respectively.
- During Fiscal 2001 the Structures Division completed 40 health care and human services facility projects, compared to 39 projects during Fiscal 2000. The projects included Phase II of the Maspeth Town Hall restoration in Queens, the Concourse Village East Day Care Center in the Bronx and the Beach Channel Day Care Center in Queens. The latter two day care facilities will serve 195 and 180 children respectively, ages 3 through 12, with preschool day care and after-school programs. Other projects include the Bushwick, Brownsville and Hunts Point Multi-Service Centers for HRA.
 - Renovation of the tuberculosis clinics at the Brownsville Health Center in Brooklyn, the Chelsea Health Center in Manhattan and the Corona Health Center in Queens continued during Fiscal 2001; construction of the Brownsville and Chelsea facilities is scheduled for completion in October 2001 and completion of the Corona Center is scheduled for February 2002. Construction at the Bedford tuberculosis clinic in Brooklyn is scheduled for completion in October 2001. Construction delays at the Bedford, Chelsea and Brownsville centers are due to increased scope of work 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.

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- In May 2001 DDC completed the new Children's Center for ACS. This facility serves as an intake center for children waiting to be placed into foster care and also serves as a center for ACS' training academy. The building, located on the Bellevue Hospital campus, is equipped with an auditorium, computer classrooms, sleeping areas, play areas, mock apartments for training exercises, dining areas and office space. This project was a complete gut renovation of a landmark building.

Public Safety

- During Fiscal 2001 DDC designed 32 new public safety projects citywide, compared to 63 projects in Fiscal 2000.
 - 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 a combined EMS/Fire Station on Rockaway Beach Boulevard in Queens began in May 2001, with completion scheduled for January 2002. Construction is expected to start by April 2002 and is scheduled for completion in July 2003. This project replaces the rehabilitation of Engine Company 265, which was canceled.
 - Design for the total rehabilitation of Engine Company 282 in Brooklyn and Ladder Company 25 in Manhattan began in December 2000, with completion scheduled for December 2001. Construction of these facilities is anticipated to begin by Spring 2002, with completion scheduled for Spring 2003.
 - 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 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. Design is expected to be completed in February 2002. Construction, which may be affected by a court-issued temporary restraining order, is scheduled to begin by the end of September 2001 with completion planned for Summer 2005.
 - 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 is expected to start by November 2001 and is scheduled for completion in January 2003.
 - In June 2000 DDC began design on upgrades to the Fire Department's Training Academy on Randall's Island in Manhattan. Phase I of the project, including site preparation, street widening and the installation of underground utilities, began in February 2001 and 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 January 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. Design completion is scheduled for early Fiscal 2003; construction is expected to begin at that time.

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- 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. This option will add 23 new court parts at a construction cost of approximately \$125 million. Preliminary design has recommenced; design completion and construction start are scheduled for Fiscal 2003.
- 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 Detention Center and an 800-bed facility at the Rose M. Singer Center for Women. Design completion is scheduled for early Fiscal 2003.
- During Fiscal 2001 DDC started 63 new public safety construction projects citywide, compared to 80 projects during the same period in Fiscal 2000.
- 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.
 - As of June 2001 fire/life safety upgrades were completed at the following borough facilities: Manhattan Detention Complex, Brooklyn Correctional Facility and the Queens Detention Complex.
 - Projects at the Adolescent 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.
- During Fiscal 2001 the Structures Division completed 92 public safety construction projects, compared to 84 projects in Fiscal 2000.
 - During the reporting period DDC completed kitchen and rest room rehabilitation at five firehouses, electrical rehabilitation at three firehouses, waterproofing at three firehouses and window replacement at two firehouses.
 - In October 2000 the Department completed a major 177,600 square-foot roof replacement at the Eric M. Taylor Center at Rikers Island in the Bronx.

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.

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- 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 July 2001 the Department has installed or upgraded a total of 122 and closed a total of 138 emergency generator tanks, waste oil tanks, hoist oil tanks, motor oil tanks and other petroleum product tanks.
- During Fiscal 2001 the program expanded to include pressure testing of heating oil tanks. As of July 2001 the Department tested 216 heating oil tanks and is on schedule to replace 86 heating oil and emergency generator tanks by June 2002.

Cultural Institutions and Libraries

- In Fiscal 2001 the Structures Division designed 45 cultural institutions and libraries projects, compared to 72 projects in Fiscal 2000.
 - Design for the renovation of the Poppenhusen Branch Library in Queens was completed in August 2001. Construction is scheduled to begin in January 2002.
 - Design for the new College Point Sports Park in Queens was completed in June 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 rest rooms; 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 sewer and water connections and pilings for the field house, began in July 2001 and is scheduled for completion in November 2001. Phase II, which includes construction of the field house, hockey rink, ball fields, roadways and landscaping, is expected to begin in December 2001 and be completed in June 2002.
 - 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; construction is expected to begin in Spring 2003.
 - 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 September 2002.
 - In October 2000 the Department began design for an \$8.4 million project at the Queens Botanical Garden. The scope includes a new administration/reception building, a new maintenance building and new landscaping. Design is scheduled for completion in April 2002 and construction is expected to start in October 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.

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- DDC, in coordination with DPR, is developing new recreational facilities for 38 acres of the eastern portion of Bloomingdale Park in Staten Island, with minimal disturbance to woodland and wetlands. Facilities include walking/bicycle trails, baseball/softball fields, soccer fields, tennis courts, basketball courts, two comfort stations and a playground. Construction of MacGuire Avenue will also be completed. 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. Due to a court-issued temporary restraining order, construction was delayed and is now scheduled to begin in September 2001; completion is expected in February 2002. Phase II design, which includes construction of ball fields, comfort stations, a playground, path lighting and bridges, was completed in August 2001 with construction to begin in February 2002 and be completed by Fall 2002.
- 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 September 2001 and March 2002, respectively; design for the Kensington Library in Brooklyn is scheduled for completion in December 2001.
- 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 work storage area. Construction is scheduled to begin in December 2001; completion is scheduled for February 2003.
- During Fiscal 2001 DDC started 68 new projects at cultural institutions and libraries, compared to 57 projects in Fiscal 2000.
 - Construction of Phase I of the Staten Island Children's Museum, which includes the gut renovation of an historic barn, is slated for completion in late September 2001. Phase II of the project, the construction of a connector building between the barn and existing museum, is expected to begin in late October 2001.
- During Fiscal 2001 the Department completed 49 projects at cultural institutions and libraries, compared to 94 projects in Fiscal 2000.
 - In May 2001 DDC started a new design contract for the \$17 million Brooklyn Children's Museum Master Plan to improve the museum's image and visibility and provide needed renovations. The plan includes a substantial new building addition that will provide larger and more flexible exhibition spaces, and improve visitor amenities including a café, museum shops and parking. Design is scheduled for completion in October 2002. Construction is expected to begin in April 2003 and be completed by January 2006.
 - The Department completed construction on total renovations of the Coney Island and Gravesend branch libraries in Brooklyn and the Woodlawn Heights Branch Library in the Bronx. Also completed were partial renovations of the Hunts Point and Mosholu branch libraries in the Bronx, and the Flatlands, East Flatbush, Mill Basin and Gerritsen Beach branch libraries in Brooklyn.

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 by the Mayor 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.
- In Fiscal 2001 the City continued its rodent control and eradication efforts. In June 2000 the Deputy Mayor for Operations established the Rodent Control Task Force comprised of over 15 City agencies and quasi-agencies. Chaired by the Mayor's Office of Emergency Management, the Mayor's Office of Operations and DOH, meetings are held weekly to coordinate Integrated Pest Management practices, including assessment, abatement and eradication activities.
 - As a participant in this Task Force, 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.

DEPARTMENT OF DESIGN AND CONSTRUCTION

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 Fiscal 2001 a total of 3,512 quality assurance and site safety inspections were performed on 424 projects, representing 96 percent of DDC's Fiscal 2001 ratable construction projects.
- The Department continues to track and report Key Performance Indicators (KPI) for design and construction projects in its Structures and Infrastructure divisions. Project-specific data regarding schedule, budget, payments, change orders and the commitment plan are extracted from the Agency's databases; the data is used to produce monthly reports that highlight performance by division, unit and individual, as well as by the entire Department. In Fiscal 2000 KPI reporting was developed for DDC's Chief Contracting Office, Information Technology Unit, Legal Department and for the Survey Unit of the Technical Support Division. Indicators for the Personnel Unit, which track the hiring process for civil service list and non-list actions, were implemented in March 2001. 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.
- 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. These systems, which guide all parties involved with the project through essential activities that involve communication, collaboration and approval, can be made available through DDC to anyone using a Web browser. As the current pilot continues, DDC is planning to review an additional product from a new vendor.
- During Fiscal 2001 DDC continued auditing selected projects. When an unsafe condition is identified, on-site project management staff is notified to correct the deviation. DDC also publishes safety advisories on the Department's intranet, describing the most common safety issues, along with photographs from work sites illustrating the safety issues. To support this effort, DDC has developed a software application for laptop computers to deliver real-time site safety information from the field to DDC and back to the contractor for resolution. Phase I, completed in Summer 2000, enables site safety staff to generate safety reports via laptop computers to distribute to resident engineering staff at the work site. Phase II, which includes a link to project and personnel information in DDC's existing databases and the capability to e-mail senior staff at DDC headquarters, was completed in April 2001.

Design and Process Reform

- In June 2000 DDC took a major step towards streamlining the default process by creating the new Office of Default Management. This unit is responsible for expediting the steps necessary to execute a default. Seven major milestones that encompass the default process were identified and an internal procedure manual for project managers and DDC staff was drafted. A database that is integrated with other agency contract and program data was developed to track assignments and defaults. It was implemented in June 2001.

DEPARTMENT OF DESIGN AND CONSTRUCTION

- 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 10 projects currently in design. An additional six projects that are in the predesign 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.
 - To date there have been 10 Peer Reviews, all of which have had a positive effect on the quality of the project. The plan is to have one presentation a month, with projects being chosen for their cost, visibility or importance.
- In Fiscal 2001 DDC completed seven projects using the “Percent for Art” program, which provides City agencies with the opportunity to acquire or commission works of art for City-owned buildings throughout the five boroughs. Under the auspices of DCLA, 1 percent of the budget for eligible construction projects is spent on works of art for those facilities. DDC has worked closely with client agencies to ensure the integration of the art work within the fabric of the building and provide quality design, attested to by three Art Commission awards for excellence in design received this year.
- In Fiscal 2001 the Department, in partnership with DCLA and the Queens Museum of Art, 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 are asked to submit design concepts. A panel of judges will select five finalists who will develop more detailed designs for the final selection. By sponsoring a design competition, DDC hopes to identify new design talent, provide architects with greater access to City projects, and create new opportunities to respond to architectural innovation. The registration period closed on July 16, 2001 with over 300 architects having submitted applications. Finalists will be announced in December and an exhibition of entries is planned for early Calendar 2002.
- In April 2001 the Department implemented the “DDC Talks” lecture series providing Agency staff with the opportunity to hear leading design and engineering professionals discuss their work. This program enables DDC professional staff to learn about new practices in their fields and encourages better understanding among engineers, architects, landscape architects and support staff. It also encourages employees to see the City’s accomplishments in a wider context as speakers present public and private sector work, conduct question-and-answer sessions and give feedback on DDC as a client.

CUSTOMER SERVICE AND TECHNOLOGY

- During Fiscal 2001 DDC received 351,475 page views on NYC.GOV, the City's official Web site, compared to 228,879 views in Fiscal 2000.
 - The online Bidder's Application offers contractors a convenient means to request inclusion on the Department's bid list, through which they receive notification of bid opportunities. Contractors submit the forms online and receive an electronic reply from DDC confirming receipt. During Fiscal 2001 DDC received approximately 527 online requests for forms.
 - DDC further enhanced its Web pages by offering a new 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. The subconsultant can then contact the firm and offer their services. During Fiscal 2001 this site received 552 visits and initial feedback from subconsultants has been favorable.
- The Department developed an automated Interactive Voice Response (IVR) system that enables contractors to link to DDC's telephone system and obtain information on the progress of payment requisitions as they pass through DDC's internal check and balance systems. IVR provides contractors 24-hour, seven-day-a-week access to the status of their payments. Better access to payment information will help ensure strong business relationships with contractors. The system was fully operational in November 2000. Notification to vendors via outreach to industry trade associations was completed in February 2001. During the first six months of Calendar 2001 the IVR received approximately 2,450 calls.
- 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. Phase III, which includes vendor performance tracking and enhanced historical information on contracts to help DDC better evaluate the qualifications of prospective contractors, has been delayed due to the upgrade of the Agency's application environment.
- 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 roll out of the application were completed in January 2001. To date, more than 800 Change Orders have been entered into the system. Preliminary plans for Phase II include an expanded link to capital budget screens and the ability to download current contract totals.
- During the reporting period DDC continued to conduct outreach to contractors and prequalified consultants, requesting their email addresses. When added to CDS, this information will enable DDC to begin sending contract and bid information via e-mail. The project was completed in January 2001.
- DDC implemented a protocol to transmit notices of payment deductions, from the Engineering Audit and Chief Financial Office accounting units, directly to contractors and consultants via e-mail. The initiative has improved communication with the Agency's vendors by enabling more timely and accurate notification.

DEPARTMENT OF DESIGN AND CONSTRUCTION

- 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, beginning with one utility company, is being planned. Due to DDC's application environment upgrade and enhanced security requirements, which DDC is currently working with the Department of Investigation to implement, the roll-out is now scheduled to begin in Fall 2001.
- In November 2000 DDC began a pilot of new ultralight dynamic penetrometer technology to monitor the compaction of backfill during trench restoration, such as the backfill of street excavations. This equipment can measure the density of a compacted trench, layer by layer, up to 30 feet in depth and transfer 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. Equipment was received in July 2000; staff was trained from August through November 2000. This pilot, which is expected to continue through Fall 2001, has included testing on more than 10 active projects as well as forensic evaluation on a previously completed project with signs of settlement.
- 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 will support Competitive Sealed Bid processing, is scheduled for completion in December 2001.
- DDC is 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, will enable project managers to place project locations onto an electronic map for all DDC projects.
 - Plans for the next phase include 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. Design began in June 2001.
- To ensure integrity and maximize the usefulness of DDC's data, the Department developed the DDC Data Connections program to reengineer and link the Agency's stand-alone databases in order to reduce data entry and improve reporting capabilities. DDC Data Connections also included an initiative to educate Agency staff on the major DDC computer applications and to emphasize the importance of timely and accurate data entry into all systems. The Data Connections program is also paving the way for the development of more sophisticated applications including workflow systems that automate business processes.

DEPARTMENT OF DESIGN AND CONSTRUCTION

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Department's expenditures were \$85.4 million, compared with its plan of \$82.6 million; headcount was 1,253, compared with its plan of 1,334. The Department's Fiscal 2000 expenditures were \$77.3 million, and headcount was 1,235.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$85.4 million and a planned headcount of 1,334.

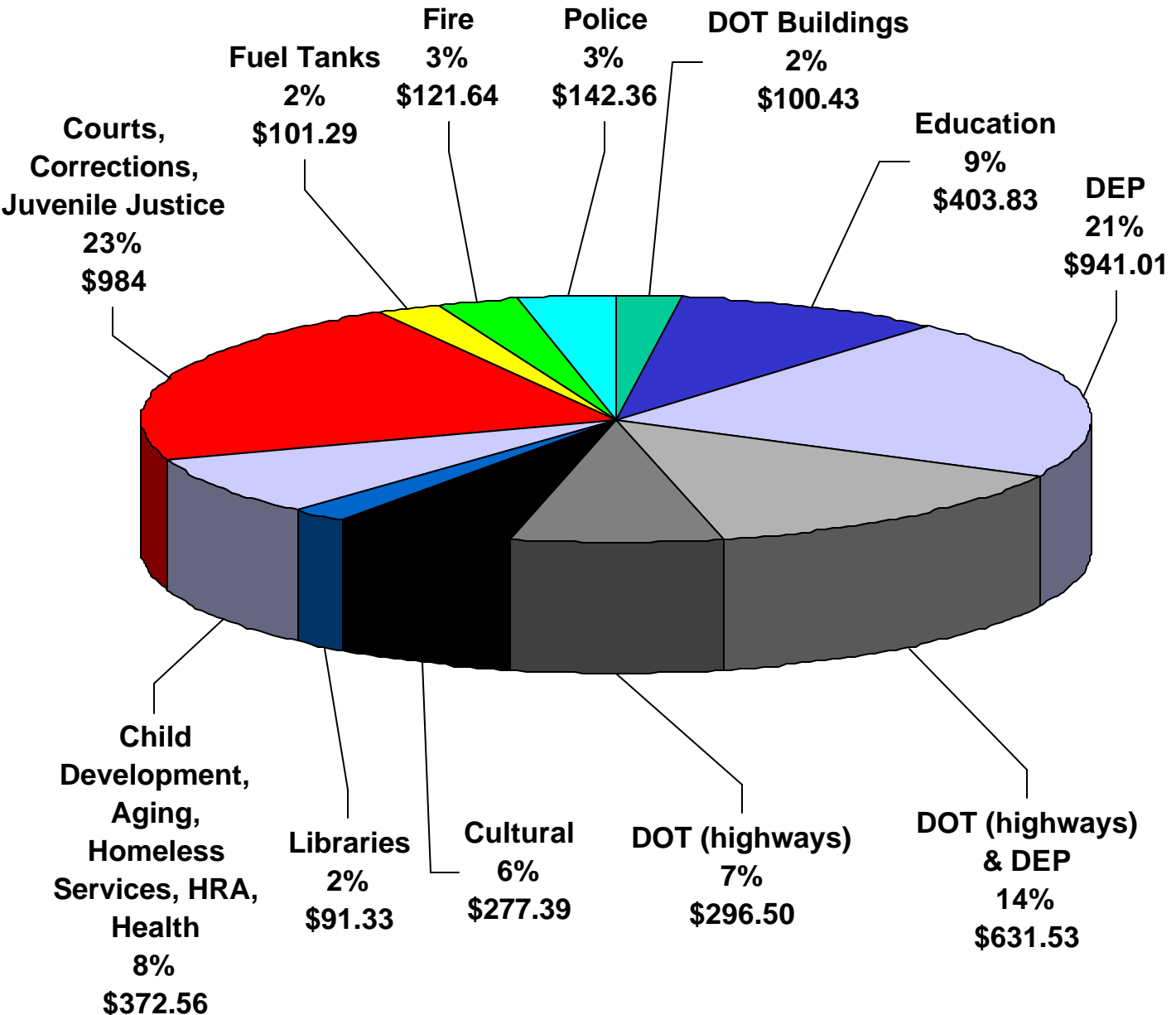
LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001
Percent of Projects Audited	9%	34%	58%	68%	96% (a)
Percent of Projects Completed Early or On Time	47%	64%	77%	88%	85%

- (a) The increase in the percentage of projects audited was due to the use of new technology for preparing and transmitting reports, resulting in greater efficiency.

Department of Design and Construction

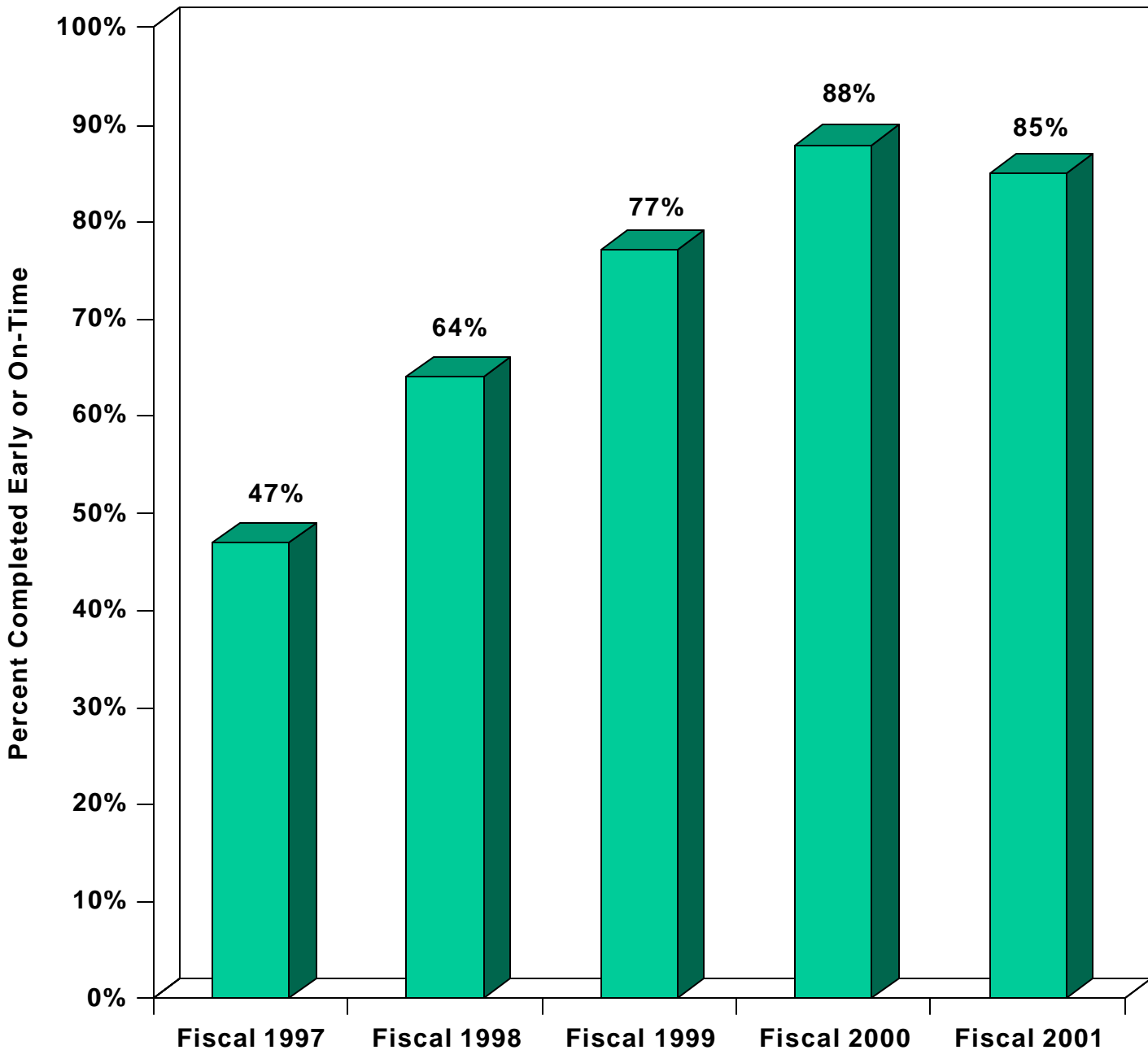
Dollar Value (in millions) of Projects in Portfolio by Client Agency Fiscal 2001



Total Value of Projects: \$4.46 Billion

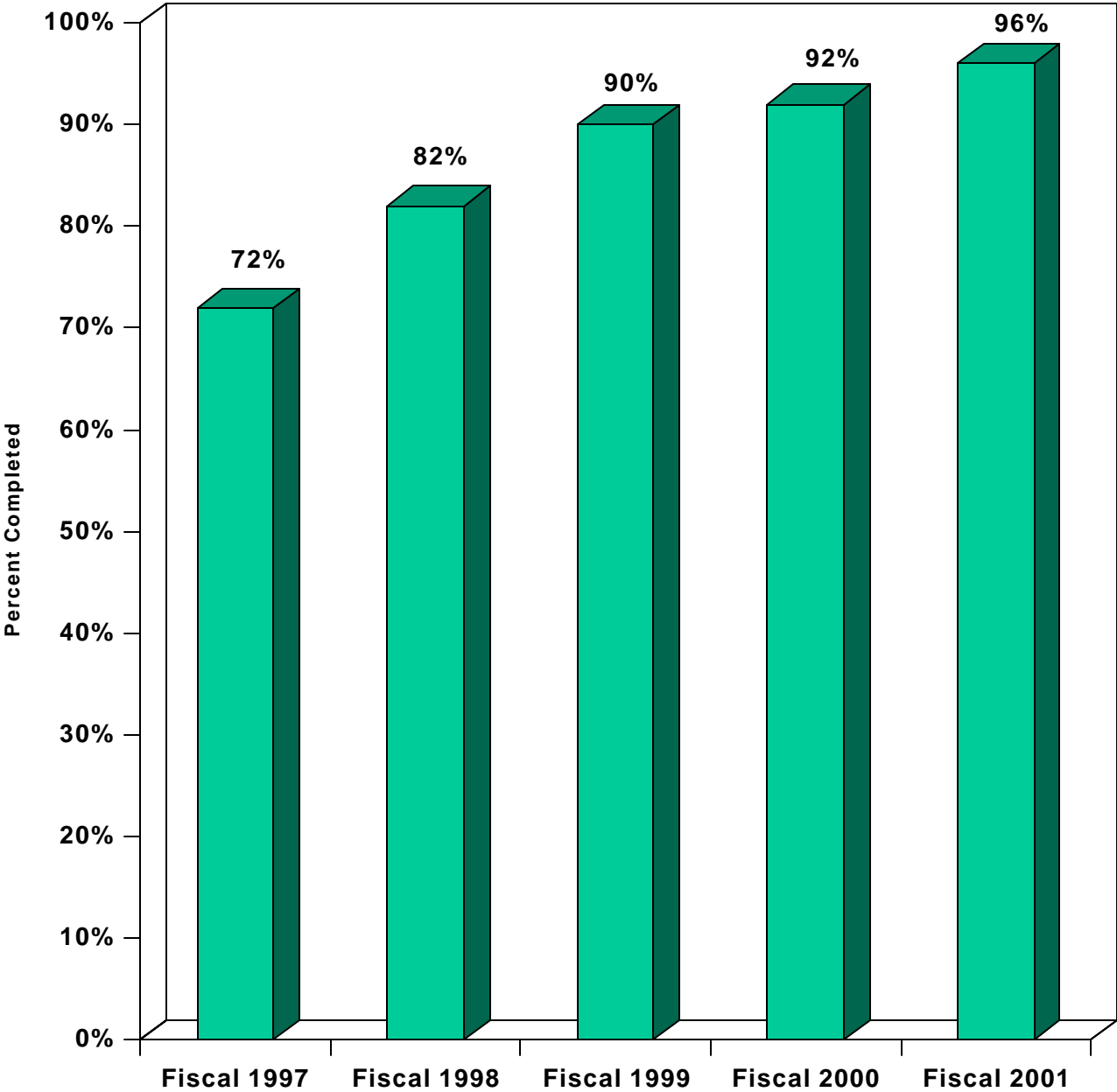
Department of Design and Construction

Percent of Total Projects Completed Early or On Time Fiscal 1997-2001



Department of Design and Construction

Percent of Construction Projects Completed Within Budget Fiscal 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	FY 01 Actual	FY 02 Plan
Collect 3 million tons of household and institutional refuse.	3 Million	3 Million
Dispose of 3.7 million tons of household and institutional refuse.	3.5 Million	3.4 Million
Purchase 300 and deploy 220 dual-bin collection trucks.	Purchased 300 Deployed 251	Deploy 49

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

Objective	FY 01 Actual	FY 02 Plan
Recycle 20.2% of the City's residential waste stream.	20.1%	25%
Enforce the City's recycling-related administrative code provisions by issuing over 69,000 Notices of Violation returnable to the Environmental Control Board.	75,663	69,316
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 collected.		
Continue to promote waste prevention and composting through outreach, education and technical assistance programs targeted at City agencies, businesses and the general public.		

DEPARTMENT OF SANITATION

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 end of Fiscal 2001 obtain New York State Department of Environmental Conservation approval of the City's Comprehensive Solid Waste Management Plan Draft Modification and supporting Final Environmental Impact Statement.
By the end of Fiscal 2001 release a Request for Proposals (RFP) for professional services to support the implementation of long-term waste export projects and begin the development of the next 10-year Solid Waste Management Plan. By December 2001 select a vendor to provide professional services that will support the implementation of long-term barge- and rail-based waste export projects as well as a comprehensive study of commercial waste management in the City.
By the end of Fiscal 2001 obtain the necessary permits and Uniform Land Use Review Procedure approval for the Staten Island Transfer Station to be constructed at the Fresh Kills Landfill site, for the long-term export of Department-managed waste from Staten Island. By December 2001 select a vendor to begin the construction of the new Staten Island waste transfer facility.
By a revised date of June 2002 release three RFPs 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 the first half of Fiscal 2002 select a consultant for professional services, and begin the design of a waste transfer facility at the site of the former Southwest Brooklyn Incinerator.
By the revised date of June 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.

Goal: Administer the interim contracts for alternative refuse disposal in preparation for the closure of the Fresh Kills Landfill.

Objective	FY 01 Actual	FY 02 Plan
Continue to reduce waste disposed at the Fresh Kills Landfill by exporting 1,900 tons per day of Bronx refuse, 3,700 tons per day of Brooklyn refuse, 2,300 tons per day of Manhattan refuse and 900 tons per day of Staten Island refuse.	1,830-Bronx 3,292-Brooklyn 2,100-Manhattan 892-Staten Island	1,900-Bronx 3,700-Brooklyn 2,300-Manhattan 900-Staten Island
Begin fully exporting 3,000 tons per day of Queens-generated refuse no later than December 31, 2001.	2,855 by April 2001-Queens	3,000-Queens

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

Objective	FY 01 Actual	FY 02 Plan
Continue to enforce efforts to enhance the City's quality of life by issuing 332,000 Notices of Violation returnable to the Environmental Control Board.	474,183	355,611

DEPARTMENT OF SANITATION

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

Objective	FY 01 Actual	FY 02 Plan
Achieve Scorecard ratings of acceptably clean for 83% of streets.	85.9%	83%
Allow no districts to be rated less than 67% clean.	0	0
Allow no sections to be rated less than 67% clean.	11	0
Reach 99% of tagged vehicles within three workdays.	99%	99%

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

Objective	FY 01 Actual	FY 02 Plan
Respond to written and verbal complaints within eight and two days respectively.	Written / 7.8 days Verbal / 1.9 days	Written / 8 days Verbal / 2 days

HIGHLIGHTS AND ACHIEVEMENTS

CLOSING THE FRESH KILLS LANDFILL

- The closure of the Fresh Kills Landfill has been a major goal of the Giuliani administration and the Department of Sanitation (DOS). Through the phased implementation of interim waste exportation contracts, the Landfill closed approximately nine months ahead of the December 31, 2001 deadline. Since the decision in May 1996 to close Fresh Kills, the Department focused on developing and implementing comprehensive Solid Waste Management Plan (SWMP) objectives to meet the City's current and future waste management needs. These objectives were realized both in the interim export contracts that allowed for the early orderly closure of Fresh Kills and in the long-term plan for an environmentally sound and efficient Department-managed waste handling system.
 - In June 1996 the Mayor and Governor Pataki established the Fresh Kills Task Force to explore options available to the City to manage its solid waste. Specifically, the Task Force, comprised of City, State and federal government officials and representatives of environmental organizations, focused on waste disposal options that did not utilize the Fresh Kills Landfill as well as alternatives to accelerate its closure. Based on the recommendations of the Fresh Kills Task Force, a long-term borough-based export plan was developed that results in the export of all non-recyclable Department-managed waste out of the City by barge or rail and ensures that all such waste generated within a borough is not delivered to transfer facilities in other boroughs.
 - During Fiscal 2001 the Department finalized a number of strategies to meet the challenges of redirecting and reducing Department-managed waste. The major milestones in this effort include the identification of future waste transfer sites for the long-term processing of City waste; the approval of the SWMP Modification in February 2001, commencement of the Queens interim waste export contract in February 2001; and the continuation of the City's waste prevention, recycling, reuse and composting programs.

DEPARTMENT OF SANITATION

- In March 2001 Mayor Giuliani, Governor Pataki, Staten Island Borough President Guy V. Molinari, Sanitation Commissioner Farrell and many other government officials attended a ceremony marking the arrival of the last barge of Department-managed garbage to the Fresh Kills Landfill. During February 2001, the last complete month of Fresh Kills operations, the Landfill received 2,429 tons per day of refuse as compared to 13,583 tons per day received when the closure was originally announced in May 1996.
- On February 27, 2001 the New York State Department of Environmental Protection approved the City's Comprehensive SWMP Draft Modification, which proposes the implementation of a long-term barge and rail system to export Department-managed waste. The SWMP Modification and supporting documents are available on the Department's home page on NYC.GOV, the City's official Web site, and on compact disc.
- Subsequent to the approval of the SWMP Modification, in April 2001 the Department released a Request for Proposals (RFP) to obtain professional waste management services, and in August 2001 selected the vendor. The vendor will 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 the development of a new comprehensive solid waste management plan for the City, covering the period of Calendar 2003 through Calendar 2013.
 - Beginning in the first half of Fiscal 2002, the professional services consultant will provide 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 end of Fiscal 2002 the Department will release an 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 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 Fiscal 2001 the Department began 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 April 2001 the Department received approval of its Uniform Land Use Review Procedure (ULURP) application for the selection of a site for the Staten Island Transfer Station, which will be constructed at the Fresh Kills Landfill. The Department released a bid for the construction of the facility in June 2001 and received responses in August 2001. A vendor to construct the facility will be selected by September 2001 and construction is expected to begin by December 2001.

DEPARTMENT OF SANITATION

RECYCLING AND WASTE PREVENTION

- The Giuliani administration has made recycling and waste prevention a central component of the Department's strategy for reducing disposable waste. In Fiscal 2001 the City's curbside and containerized residential recycling rate was 20.1 percent, 7.4 percentage points higher than 12.7 percent diversion rate in Fiscal 1995.
 - Between Fiscal 1995 and Fiscal 1997 the Department expanded its recycling collection program to include mixed paper, regular cardboard (greyboard), beverage cartons and household and bulk metal items. The expanded materials were first collected in Staten Island in November 1995; by September 1997, all five boroughs were recycling these materials.
 - In Fiscal 1996 the Sanitation Department worked with the Mayor's Office and the City's Economic Development Corporation to implement a recycled paper supply contract with a private vendor, who built and currently operates a recycled paper mill in Staten Island. The mill receives over 150,000 tons a year of Department-collected paper of which approximately 110,000 tons are delivered through the Department's marine-based transport system, thereby reducing truck traffic.
 - During Fiscal 1997 the Department expanded the collection of recyclables from alternate week to weekly recycling pick-up, and in January 1997 introduced dual-bin collection trucks, which allow for simultaneous pick-up of metal, glass, plastic and paper. In Fiscal 2001 the Department purchased an additional 300 dual-bin collection trucks, bringing the total active fleet to 330.
- During Fiscal 2001 the Department continued to work toward achieving the maximum diversion of recyclable materials from the City's waste stream. For Fiscal 2001, 37.2 percent of the Department-managed curbside residential, institutional, and other generated waste was diverted from exportation or disposal. The Fiscal 2001 total recycling diversion rate of 37.2 percent was 9.2 percentage points higher than the 28 percent total diversion rate in Fiscal 1995.
- The Department has increased public awareness of its recycling program through subway, bus and television advertisements, and annual fall and spring public information campaigns that underscore the importance of recycling. In Fiscal 2001 the Department provided institutional outreach to 40 New York City branch libraries and seven privately managed New York City Housing Authority (NYCHA) sites, and reviewed as well as approved the placement of recycling containers. In addition, the Department supplied decals and educational material, and followed-up its outreach with letters to management re-emphasizing the importance of these programs.
- In February 2001 Mayor Giuliani and Sanitation Commissioner Farrell announced the expansion of the School Recycling Enhancement Program, an initiative designed to increase recycling in public schools through the provision of additional collection services, outreach and education.
 - Begun as a pilot program in November 2000 the program increased school collection frequencies from one time per week to six times per week. In addition, in cooperation with the Board of Education and local school officials, DOS personnel set up recycling receptacles, conducted informational sessions with students and school staff and distributed instructional videos and literature. The pilot program will end by October 2002.

DEPARTMENT OF SANITATION

- During Fiscal 2001 the Department released its “NYC Teachers RRResource Kit: RRR You Ready?,” which allows teachers to present recycling and waste prevention information in a fun and interactive way to elementary school students. It contains detailed activity guides that comply with the Board of Education’s new curriculum standards, as well as original videos, helpful resources, and ideas for long-term activities and projects. Also during Fiscal 2001 the Department launched the annual Golden Apple Awards that promote the three Rs (Reducing, Reusing, and Recycling) as well as neighborhood beautification for grades K through 12. Winning schools received up to \$7,500 in prize money and winning students attended a special reception that involved the comic book characters Spider-Man, Spider-Girl and Wolverine.
- By the end of the 2000-2001 school year, the average school recycling rate was 20.5 percent, 18.4 percentage points higher than the 2.1 percent rate when the program began in the 1999-2000 school year. The 20.5 percent school recycling diversion rate is approximately the same level as the citywide curbside and containerized recycling rate of 20.1 percent. The pilot program also resulted in a 983 percent increase in recycling tonnage over last year’s school recycling levels, to 123.5 tons in Fiscal 2001 from 11.4 tons in Fiscal 2000.
- In Fiscal 2001 the Department published new brochures to further promote its composting programs. The “New York City Composting Guide” explains the mechanics of outdoor composting, while the updated “Leave it on the Lawn” brochure explains proper grass mulching methods.
 - The Compost Giveback Program, which takes place each spring and fall, continues to provide nutrient-rich compost to New York City households, community gardens and parks. In Spring Fiscal 2001, 7,940 people attended the Giveback Program. In Fiscal 2000, 7,894 attended the program.
- In coordination with the Department of Citywide Administrative Services’ Procurement Training Institute (PTI), in May 2001 the Department supported an Environmentally Preferable Purchasing training course for agency procurement personnel. The course covered such topics as purchasing less toxic products and writing bid specifications that integrate environmental considerations. The Department will sponsor four PTI classes during Fall 2001 and additional classes will be integrated into the PTI curriculum.
- During Fiscal 2001 the New York City Stuff Exchange telephone hotline continued to promote the reuse of secondhand goods by providing information regarding businesses and organizations that buy, sell, repair or accept donated goods for reuse. Over 15,000 businesses and organizations are listed on the telephone service, and beginning in Fiscal 2001, civic and nonprofit groups can announce short-term donation drives and special collections as part of the hotline menu. In addition, in April 2001 a citywide publicity campaign began promoting the service through advertisements in subway cars and stations, bus shelters and the Staten Island Ferry.

STREET CLEANING AND COLLECTION

- The improved cleanliness of New York City streets remains a major component of the Department’s mission. In Fiscal 1999 City residents were able to schedule bulk pick-up appointments on the Internet. The Department established an Adopt-a-Basket Program in Fiscal 1996 to reduce street litter and supplied participating merchants and groups with a new litter basket and bags to encourage cleanliness in commercial and residential areas. Currently over 850 baskets have been adopted.
- In Fiscal 2001 an average of 85.9 percent of City streets were acceptably clean, compared to the Fiscal 2000 average of 86.7 percent. The overall Fiscal 2001 cleanliness rating reflects a minimal increase to 11 marginal sections, from seven in Fiscal 2000. The Fiscal 2001 average is 20 percent higher than the Fiscal 1994 average rating of 71.6 percent.

DEPARTMENT OF SANITATION

- 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 by the Mayor 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 Fiscal 2001 the Department worked closely with DOH to clean vacant lots that were deemed to be a West Nile virus hazard. The Department cleaned 1,444 private lots, a 25 percent increase from the 1,157 private lots cleaned in Fiscal 2000. In addition, during the West Nile virus 2001 season the Department has carried out the street catch basin larvicide application program and provided DOH with daily reports regarding program progress. During the 2001 West Nile virus season the Department will provide three to four rounds of treatment to each of the 135,000 street catch basins.
- In Fiscal 2001 the City continued its rodent control and eradication efforts. In June 2000 the Deputy Mayor for Operations established the Rodent Control Task Force comprised of over 15 City agencies and quasi-agencies. Chaired by the Mayor's Office of Emergency Management, the Mayor's Office of Operations and DOH, meetings are held weekly to coordinate Integrated Pest Management practices, including assessment, abatement and eradication activities.
 - During Fiscal 2001 the Department worked with NYCHA to control rodent infestation in City housing complexes. NYCHA has equipped building basements with self-compacting sealed refuse containers and has coordinated pick-up times and frequencies with the Department. In addition, the Department increased its illegal dumping enforcement.

TECHNOLOGY

- In March 2001 the first phase of the Department's e-government project for conducting customer interactions on the Department's home page was completed. In addition to requesting ChloroFluoro Carbon- (CFC) removal appointments, literature and recycling decals, customers can now report derelict vehicles, vacant lots that need to be cleaned, missed collections, and many other categories of service requests and complaints that could formerly be completed only by letter or telephone. Since the service was made available to the public, over 6,570 service requests have been processed.
- During Fiscal 2001 the Department's home page on NYC.GOV received 654,369 page views, compared to 382,722 views during Fiscal 2000.

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Department's expenditures were \$943.9 million, compared with its plan of \$940.6 million; headcount was 10,166, compared with its plan of 10,696. The Department's Fiscal 2000 expenditures were \$838.3 million, and headcount was 9,977.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$993.4 million and a planned headcount of 10,223.

DEPARTMENT OF SANITATION

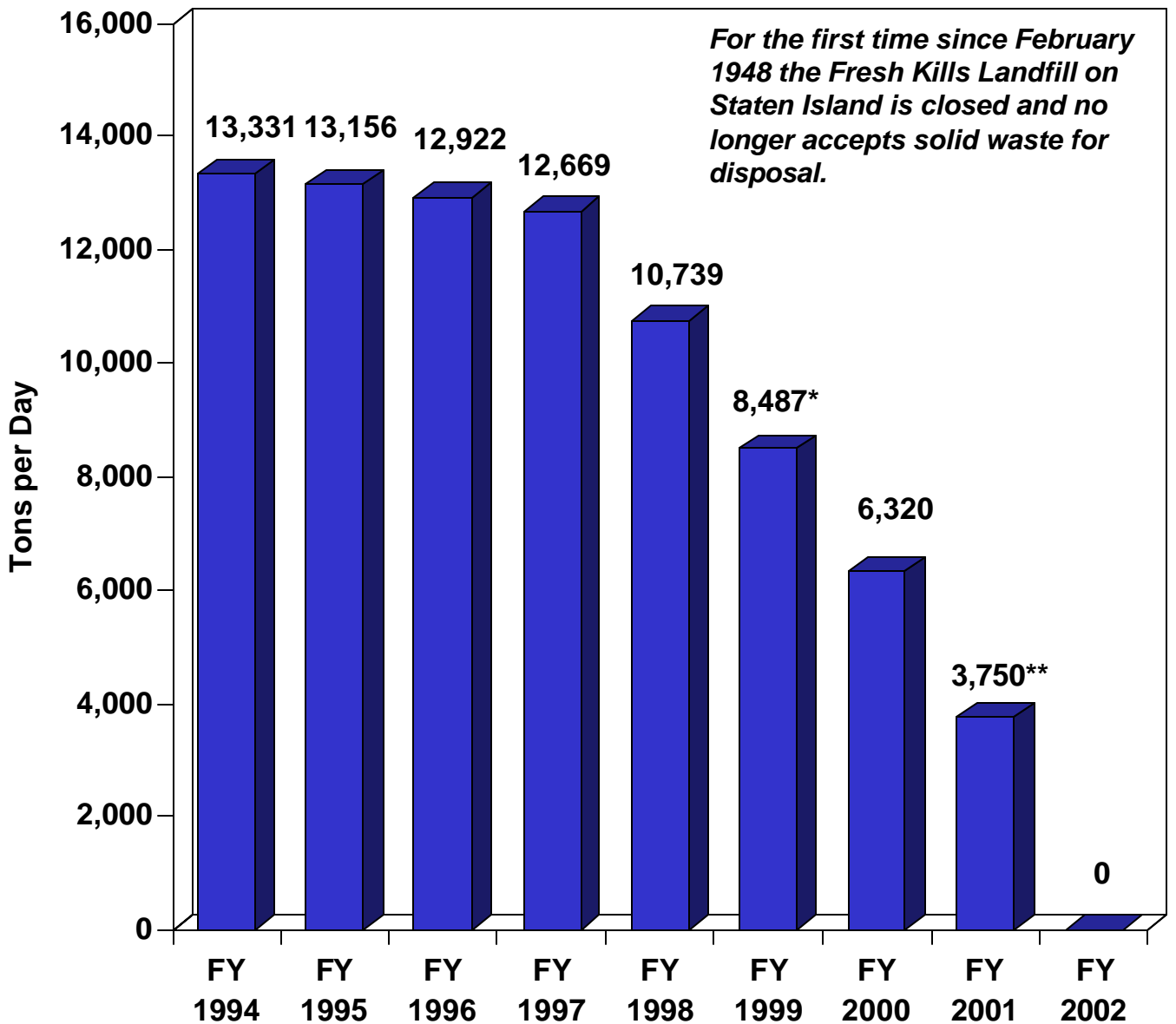
LONG-TERM TRENDS IN AGENCY OBJECTIVES

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

(a) The amount of total recyclables depends upon the state of the economy, the status of construction contracts, and curbside and containerized collections.

Department of Sanitation

Average Daily Tonnage Disposed at Fresh Kills Fiscal 1994 - 2002

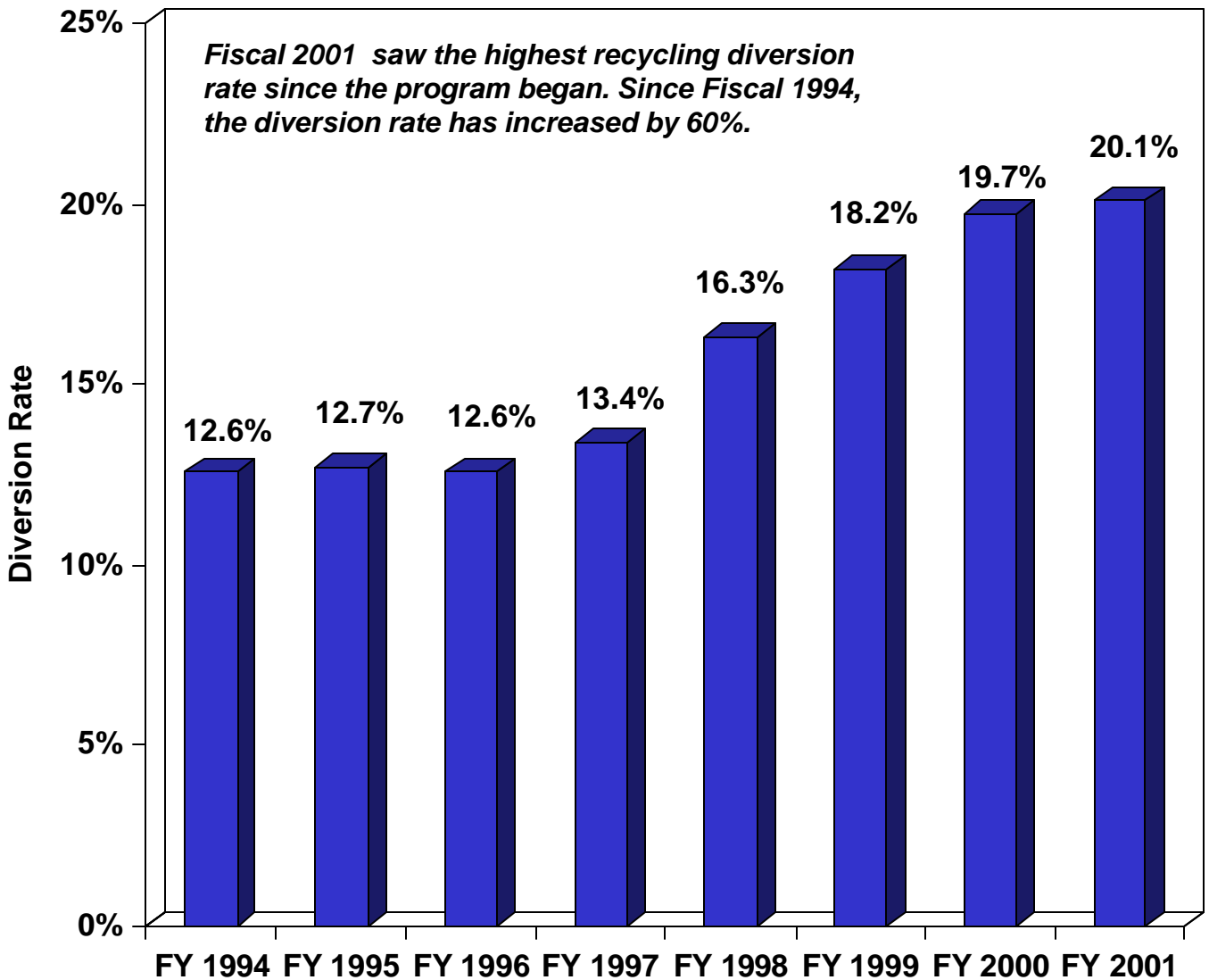


*Average daily disposed tonnage for June Fiscal 1999.

**The Fiscal 2001 average is for July 1, 2000 through March 22, 2001, the last day that the Landfill accepted solid waste.

Department of Sanitation

Curbside and Containerized Residential Recycling Diversion Rate Fiscal 1994 - 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 1,725 Greenstreet sites, 614 turf ball fields, 550 tennis courts, 33 outdoor swimming pools, 10 indoor swimming pools, 35 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	FY 01 Actual	FY 02 Plan
Ensure that at least 80% of inspected small park sites are rated acceptable for overall condition.	88%	80%
Ensure that at least 93% of inspected small park sites are rated acceptably clean.	93%	93%
Ensure that at least 70% of inspected large park sites are rated acceptable for overall condition.	70%	70%
Ensure that at least 75% of inspected large park sites are rated acceptably clean.	79%	75%

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

Objective	FY 01 Actual	FY 02 Plan
Start 91 construction projects in large, major and regional parks.	105	104
Complete 74 construction projects in large, major and regional parks.	76	64
Start 73 construction projects in neighborhood parks and playgrounds.	93	77
Complete 72 construction projects in neighborhood parks and playgrounds.	68	72
Ensure that at least 80% of play equipment is rated acceptable.	87%	80%

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

Objective	FY 01 Actual	FY 02 Plan
Ensure that at least 90% of dead trees are removed within 30 days of being reported.	99%	90%
Maintain an annual dead tree backlog of zero in both Fiscal 2001 and Fiscal 2002.	0	0
Plant 12,000 trees citywide.	13,321	12,000
Prune 45,000 trees citywide.	50,520	45,000

DEPARTMENT OF PARKS AND RECREATION

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

Objective	FY 01 Actual	FY 02 Plan
Attract 2,000,000 visitors to recreation centers.	3,103,009	2,000,000
Hold 1,000 special events and tournaments in parks and recreation centers.	1,414	1,000

HIGHLIGHTS AND ACHIEVEMENTS

PARK MAINTENANCE

- In Fiscal 2001, 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 89 percent in Fiscal 2000. In addition, 93 percent of inspected small parks were rated acceptable for Cleanliness, compared to 96 percent in the last fiscal year. Litter was the most problematic feature, with a rating of 84 percent during the reporting period, compared to 87 percent during the previous reporting period.
- DPR continued its inspections of the City's large parks. Of the 500 total large park zones, 350 are now inspected under the Parks Inspection Program, including all large park zones from the City's 11 flagship parks. In Fiscal 2001, 70 percent of large parks were rated acceptable for Overall Condition, and 79 percent were rated acceptable for Cleanliness. Since large parks were not rated separately in Fiscal 2000, a comparison of ratings will appear in the Preliminary Fiscal 2002 Mayor's Management Report. Structural Features, such as paved surfaces, benches and fences, was the most problematic category during the reporting period.
- In Fiscal 2001 the Department conducted 3,488 inspections of large and small parks and playgrounds, compared to 2,956 inspections during Fiscal 2000. DPR completed more inspections due to the overall expansion of the program.
- During Fiscal 2001 DPR completed 201 site renovations through the Requirements Contract Unit. Improvements include the reconstruction of playground equipment, safety surface and pavement, such as the renovations in Linden Playground in Brooklyn; Coleman Square Playground in Manhattan; Vleigh Playground in Queens; Marble Hill Playground in the Bronx and Willowbrook Park in Staten Island.
- In Fiscal 2001 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, was expanded to include 44 lawns. In addition, seasonal Class A lawn inspections were implemented. During Fiscal 2001 DPR completed the installation of irrigation systems at six golf courses in Queens and Staten Island. Construction of irrigation systems for five golf courses in the Bronx and Brooklyn is ongoing. Weather delayed the completion of these projects, which will be finished by November 2001.
- In Fiscal 2001 DPR launched the Shops Initiative in order to improve the performance of its six skilled trade shops. A manager was dedicated to each shop for a six-month period, and weekly work order reports began to be distributed at top-level management meetings. Biweekly work order reports also began to be distributed to field managers, keeping them informed of the status of each work order submitted. 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

DEPARTMENT OF PARKS AND RECREATION

over 1,000 incomplete tradesperson work orders more than 30 days old. By the end of the reporting period, this number had been reduced to under 100.

- To improve the durability of park name signs, known as routed signs, DPR purchased an advanced routing machine and began making the signs out of plastic instead of wood in Fiscal 1999. This reduced costs by 29 percent and reduced production time from three days to 15 minutes. The Agency plans to replace all wooden routed signs with plastic signs by December 31, 2001.
- In Fiscal 2001 DPR provided work experience for a biweekly average of 2,469 Work Experience Program (WEP) participants, compared to 4,197 in Fiscal 2000.
- During Fiscal 2001 a biweekly average of 368 of DPR's most motivated WEP participants were enrolled in the Parks Career Training (PACT) program, compared to an average of 436 during Fiscal 2000. 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 preparation, and English as a Second Language, as well as receive training toward 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 264 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 80 percent were placed in private sector jobs. In comparison, PACT found employment for 300 participants, 83 percent in the private sector, with a 90-day retention rate of 86 percent in Fiscal 2000. Since the program's inception in April 1994, PACT has placed a total of 1,846 participants in full-time employment.
- Since March 2001, DPR has been piloting the Human Resources Administration's new 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 a subsidized job with the Department. As of August 31, 2001, there were 1,806 participants in this program working citywide in Parks in six-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 aid with job training. They work 40 hours a week; four days in their regular park assignment 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 four recreation centers in Brooklyn, the Bronx, Manhattan and Queens. Every two weeks, a group of 10 to 20 participants begins classes at each center. JAC placed 201 WEP participants in full-time jobs during Fiscal 2000. A total of 182 of these placements were in private-sector jobs. During Fiscal 2001 JAC placed 170 WEP participants in full-time jobs, 141 of which were in the private sector.

FORESTRY

- During Fiscal 2001 the Department removed a total of 7,508 dead trees. Ninety-nine percent of the trees were removed within 30 days of being reported to DPR and at the end of Fiscal 2001 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 Fiscal 2001 DPR pruned 50,520 trees, compared to 50,454 trees during Fiscal 2000.

DEPARTMENT OF PARKS AND RECREATION

- In Fiscal 2001 the Department planted 13,321 trees, compared to 19,235 trees during Fiscal 2000. In Fiscal 2000, trees were planted using Fiscal 2000 and all remaining Fiscal 1999 funds. The 13,321 trees planted in Fiscal 2001 expended all Fiscal 2001 funding.
- DPR's Natural Resources Group continues to manage over \$70 million in grants for various forest restoration and acquisition projects, including salt marsh restoration at Inwood Hill Park in Manhattan 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. In Fiscal 2001 the Natural Resources Group forest restoration team planted over 10,000 trees in three watersheds within New York City. Plantings occurred in Inwood Hill Park in the Hudson River Watershed, Alley Pond Park in the Long Island Sound Watershed, and the Teleport Magnolia Preserve in the Arthur Kill Watershed.
- The Asian Longhorned Beetle's first infestation was in Brooklyn in August 1996. A second infestation occurred in Queens in February 1999. In August 1999 a beetle infestation was found in a privately owned playground in the Upper East Side of Manhattan; a fourth infestation was discovered in the Lower East Side of Manhattan near the Williamsburg Bridge in June 2000 and a fifth infestation was seen at Flushing Meadows-Corona Park in Queens in July 2000. Since July 2000 no new infested areas were discovered; however, DPR continues to survey parkland and remove trees in the five known infested areas. DPR's role in eradicating the Asian longhorned beetle is part of a cooperative program among DPR, the Animal and Plant Health Inspection Service of the United States Department of Agriculture, and the New York State Department of Agriculture & Markets. In Fiscal 2001 DPR removed 142 infested trees. Since August 1996 over 3,200 infested trees have been removed from public and private property.

RECREATION/YOUTH PROGRAMS

- The Department now has 17 Computer Resource Centers (CRC) citywide. During Fiscal 2001, five new centers were opened within Sunset Park and Fort Hamilton recreation centers in Brooklyn and the Pelham Fritz, Hansborough and Hamilton Fish recreation centers in Manhattan. An additional seven centers are scheduled to open by the end of Calendar 2002. CRC has successfully used volunteer instructors from NY Cares, a nonprofit organization, in both the Hansborough and Pelham Fritz recreation centers in Manhattan.
- DPR continues to manage after-school programs at 27 recreation centers citywide. In Fiscal 2001 the Department began an enhanced arts program at four centers. As a result of its success, DPR expanded the Enhanced After-School Program to seven centers citywide, featuring instruction in literacy, drama, visual arts, dance, music and karate. Over 1,000 children take part in the program.
- The Department continues its sports tournaments and instructional clinics for children.
 - The Third Annual Evergreen Cup, a basketball tournament, was held from December 27-29, 2000; 480 youth ages 17 and under participated on 48 teams. Championship games were held at the Al Smith Recreation Center in Manhattan.
 - Children 12 and under competed in the flag football league between October and November 2000; 1,140 children competed during the season and 800 children attended the mid-season festival. Championships were held in November at Van Cortlandt Park in the Bronx.
 - DPR, through a partnership with Derek Jeter's Turn 2 Foundation, offered instructional baseball clinics for over 2,000 children citywide between May and July 2001. The Derek Jeter Festival was held June 29th at Van Cortlandt Park.

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- A total of 968 children participated in Learn-To-Play-Soccer clinics from September through November 2000.
- In Fiscal 2001, 16 Summer Festivals took place citywide and offered 10,875 children and adults carnival-like atmospheres with free food and activities such as dance contests, inline skating and face painting.
- In Fiscal 2001 the Department coordinated several special events.
 - On January 6, 2001, 10,000 people attended the Winter Festival in the East Meadow of Central Park. The event included free cross-country skiing, free snow-shoeing, snow tubing and a snow sculpture contest.
 - Every Thursday night in August 2000 the Department held a free roller disco party. Rock 'n' Rollerblade travels to each of the five boroughs and is attended by over 5,000 people at each site. Participants enjoy free rollerblade rentals, the East Coast's largest disco ball, and summer music and performances.
 - In July 2000 over 147 teams took part in the citywide beach volleyball tournament. This tournament is one of the largest free beach volleyball tournaments on the East Coast.
 - In April 2001 approximately 30,000 people attended the Department's annual Easter Eggstravaganza in Central Park. The event included an Easter egg hunt, egg roll and a build-your-own basket venue.
- On June 8, 2001 DPR held The Citywide Talent Show at Lost Battalion Hall in Queens. Over 400 youth competed for a chance to win the event. Special guests included Miss New York of the Teen USA Pageant.
- The Brooklyn stadium for the Mets' minor league affiliate opened on June 25, 2001. The stadium contains approximately 6,500 seats, with an additional 1,000 bleacher seats. DPR recently awarded the parking concession for the stadium, and the area designated for parking will be comprised of Steeplechase Park, the Abe Stark Sports & Recreation Center and two existing parking lots between West 19th and West 22nd streets between Surf Avenue and the Riegelmann Boardwalk. Approximately 1,150 parking spaces will be available.
- Between July 1, 2000 and June 30, 2001 the Urban Park Rangers held special events in City parks that reached over 60,000 people. A major new event, Biodiversity Awareness Day, was held for the first time, heralding new partnerships between the Urban Park Rangers and the American Museum of Natural History, the Nature Conservancy and a major publishing house. The event highlighted the biological diversity thriving in New York City's parklands and featured live specimens, hands-on activities, and information about different species and ecosystems.
- In Fiscal 2001 the Department expanded and enhanced its lifeguard recruitment program. In an attempt to train more lifeguards for Summer 2001, DPR again operated four training centers and offered conditioning classes and qualifying testing at the Boys & Girls Variety Club in Astoria. The Department also expanded its traditional recruitment methods by advertising on NYC Transit buses and on the radio, and by distributing lifeguard literature at Shea Stadium. DPR also mailed letters to all of last year's lifeguards, thanking them for the remarkable job they did in Summer 2000 and asking for their assistance in recruiting lifeguards for the 2001 beach and pool season. Lastly, DPR contacted all high schools and colleges in NYC, especially schools with competitive swimming programs.

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- In May 2001 DPR began coordinating with the Mayor's Office of Emergency Management (OEM) to implement the public access defibrillation program, a mayoral initiative. Under this initiative, easy-to-use defibrillators, which are portable medical devices that monitor and correct arrhythmia, are strategically placed in City buildings. The Department began training employees and had defibrillators in place at recreation centers, Olympic-size pools, and golf courses by August 2001. DPR also began working with the Fire Department of the City of New York, which is providing medical control for the program, and private vendors to develop an Automatic External Defibrillation Response Plan and quality assistance assurance program for each individual facility where a device will be placed.
- The Teens At Parks (TAP) program is a partnership between DPR and the Administration for Children's Services. The TAP program introduced 300 youth to physical, artistic, educational and vocational programs, while providing a safe environment. The program operates at 14 locations citywide, Monday through Thursday from 6:00 P.M. to 10:00 P.M. 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 and drama.
- During the reporting period, DPR continued its senior citizen swim program at the Asser Levy and Carmine recreation centers in Manhattan and the Astoria Pool in Queens. The program includes water exercises, swimming instruction, lap swimming and synchronized swimming; over 300 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, shuffleboard, 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 Fiscal 2001 DPR improved the evaluation of the PA program by performing inspections and site visits. Evaluations are based on the PAs' effective interaction skills with children as well as playground maintenance.

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 Spring 2001 DPR completed construction on 308 Greenstreet sites. To date, a total of 1,725 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. The annual "It's My Park!" Day was held on May 19, 2001. Over 4,000 volunteers participated at 167 parks citywide.
- In Fiscal 2001 Partnerships for Parks continued to coordinate the Bronx River Corridor Project. This project, which involves educating riverside communities about the Bronx River and supporting community-led clean-up efforts, began in Fall 1997 and is comprised of over 60 community groups, nonprofit organizations and government agencies at the City, State and federal levels. In May 2000 Partnerships for Parks received a \$450,000 grant from the National Oceanic and Atmospheric Administration for regranting programs to complete coastal habitat restoration projects. In addition, through Community Development Block Grant funding and private donations, Partnerships for Parks launched a Bronx River Education Program to engage students in the restoration of the Bronx River and to include it in the classroom curriculum.

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- On August 10, 2000 the Urban Park Rangers officially opened its 10th nature center, The Salt Marsh Nature Center at Brooklyn's Marine Park, at the same time announcing a new partnership with the prestigious National Geographic Society. The National Geographic Society formally agreed to contribute \$200,000 to sponsor three new Ranger initiatives at Marine Park: The Natural Classroom (school programs), Explorer (community programs) and the Ranger Conservation Corps (after-school programs). The Society also committed to partner in raising a total of \$2 million to expand these Ranger programs citywide.
- The newly-developed Urban Park Rangers Biodiversity Team coordinates the Urban Park Rangers' programs to increase biodiversity and biodiversity awareness in City parks. The Team has formed a ground-breaking partnership with Fordham University to conduct wildlife surveys. In its sixth year, Project X reintroduced native species of plants and animals into the parks, including Wild Lupine in Marine Park, Brooklyn, and Painted Turtles in Central Park. The AmeriCorps program planted over 1,000 plants from over 40 different native species throughout parks in the five boroughs, and built American Kestrel nest boxes in Pelham Bay Park, Bronx; Eastern Bluebird nest boxes in Van Cordlandt Park, Bronx; and Flying Squirrel nest boxes in Forest Park, Queens. The Ranger Conservation Corps program, an after-school program for teens, restored a salt marsh in Marine Park, Brooklyn, and surveyed the turtle population of Blue Heron Park, Staten Island among other projects. The Parks Conservation Corps, a summer youth employment program, provided high school students a paid opportunity to restore parkland throughout the City.
- During Fiscal 2001 the Department acquired 74.35 acres of parkland, bringing its total parkland holdings to 28,358.32 acres citywide. These acquisitions included, among others, the 2.73-acre Edgewater Park in the Bronx; the 0.92-acre Bushwick II Ballfields, the 0.04-acre Hull Street Garden Addition and the 0.18 Mother Cabrini Park Addition in Brooklyn; the 5.13-acre Seagirt Avenue Wetlands Park Addition in Queens; and the 19.83-acre Long Pond Park Additions and the 1.11-acre Blue Heron Park Addition in Staten Island.
- In Fiscal 2001 DPR continued the Historical Signs Program in which interns 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 over 1,500 signs had been drafted. The program is expected to generate 2,001 signs by the end of Calendar 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 handball court walls and fill expansion joints and cracks in concrete and asphalt surfaces. By the end of the reporting period, DPR achieved its goal of renovating 500 handball courts. DPR will complete renovations of the remaining 1,000 handball courts by Fiscal 2003.
- 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 by the Mayor 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, 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.

DEPARTMENT OF PARKS AND RECREATION

- In Fiscal 2001 the City continued its rodent control and eradication efforts. In June 2000 the Deputy Mayor for Operations established the Rodent Control Task Force comprised of over 15 City agencies and quasi-agencies. Chaired by the Mayor's Office of Emergency Management, the Mayor's Office of Operations and DOH, meetings are held weekly to coordinate 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 identified problem parks, such as Union Square Park in Manhattan and Cadman Plaza in Brooklyn, with weekly baiting and regular trash removal. DPR also hired nine new exterminators and targeted Riverside Park in Manhattan, John Mullaly Park in the Bronx and Little Bay Park in Queens. The Department has also trained the exterminators in mosquito abatement and larvicide application.
- In April 2000 the Mayor created HealthStat, a comprehensive citywide initiative to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, over 20 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 150,000 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, all recreation center patrons are asked if they have health insurance. Through these screening efforts in Fiscal 2001, DPR referred 1,906 families to health insurance enrollment organizations.
 - Part-time DPR employees were notified of the availability of free or low-cost health insurance for their children.
 - The Department began enrollment efforts in March, launching a Little League initiative, which paired health insurance enrollers with Little League fields across the City.
 - The Department is working with health insurance enrollers at special events in parks and inviting them to Parks-sponsored events. The Department has partnered with health insurance enrollers at the following venues: beaches, pools, special events at parks, Playground Associate sites and Summer Fun sites.
 - In Fiscal 2001 the Department's enrollment events resulted in 348 applications for 592 children.
 - 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 250 signs have been produced to inform the public of these sites. DPR's goal is to have one sign per 200 feet around the perimeter of each site citywide.
- During Fiscal 2001 DPR's Parks Enforcement Patrol continued to combat quality-of-life violations in City parks by issuing 6,712 Environmental Control Board summonses. A total of 2,020 summonses were issued for unleashed canines, 1,143 for illegal vending, 244 for damage to trees and 572 for the consumption of alcohol in public. Another 2,733 summonses were issued for various other infractions of park rules and regulations.

DEPARTMENT OF PARKS AND RECREATION

- In addition to tracking membership and attendance, DPR also performs annual inspections of 27 recreation centers. Each center is rated for safety, cleanliness, structural condition, exterior presentation, equipment, atmosphere, customer service and programming. During Fiscal 2001 DPR increased the frequency of its inspections and follow-up inspections. DPR focused on the availability and diversity of center programming as well as exercise equipment.
- The contract for operation of a restaurant at South Beach in Staten Island was awarded to a private vendor for a term of 20 years. The vendor will convert an existing unused comfort station into the new restaurant at a cost of \$1.25 million. Construction will begin in Fall 2001; the restaurant will open by Summer 2002.

CAPITAL PROJECTS

- A total of 183 project designs and 198 construction projects began in Fiscal 2001. The Department completed 144 capital projects during Fiscal 2001. The Department committed \$248 million in capital projects for Fiscal 2001, compared to \$138 million in Fiscal 2000.
- The Department is leading an effort by multiple City and State agencies to establish a greenway along the Bronx River. DPR 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. DPR 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. Work began 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.
- With \$5 million from the Mayor, additional funds from the New York City Council, and a Clean Water/Clean Air Bond Act grant, DPR is expanding the upper promenade at Battery Park. The work, which covers the entire promenade end-to-end, will alleviate the congestion of the lower promenade, simplifying the circulation of pedestrians, bicyclists and others. Handicapped ramps, lighting, benches, water fountains, shade trees and other plantings will be added. The construction began in September 2000, and the completion is expected in late Fall 2001.
- In April 2001 DPR completed the design for a reconstruction of the Brooklyn Heights Promenade from Clark Street to Orange Street, and a construction start is imminent. The project, funded with nearly \$1.5 million from the Council, will include new decorative block pavers, drinking fountains, lighting, fences, bike racks and plantings. Drainage and irrigation systems will be installed to protect the capital investment.
- Mayor Giuliani 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 has begun on the project and should be completed in December 2001. 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, enhanced and interpreted. Project elements will include the establishment of a park perimeter with signage, lighting, barrier rails, planting and plant trimming; interpretive signage; 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.

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- In Fiscal 2001 Madison Square Park in Manhattan underwent substantial reconstruction of lawns, pathways, drainage, lighting, signage, entrance gates, plantings and benches. 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 provided by the Mayor, City Council, and Manhattan Borough President. A separate reconstruction of the playground, funded by the Mayor, began in April and is slated for completion in late Fall 2001.
- The construction project at Clove Lakes Park in the Sunnyside section of Staten Island was completed in June 2001. Work included a walking path, gardens, benches, marble tables topped with chess and checker boards, and gaming facilities such as horseshoe pits and courts for shuffleboard and boccie. Completion of the project was delayed due to a modification of the original design plan, which required change orders.
- Development has begun on the eastern side of Ferry Point Park in the Bronx into an 18-hole Jack Nicklaus-designed golf course facility, which will include a new 19.5 acre waterfront park and seven-acre community park. Following the completion of the required Uniform Land Use Review Procedure and City and State environmental reviews, the New York State Department of Environmental Conservation issued a permit for the fill work required to build the golf course. Construction began in August 2000, and will be completed in Calendar 2003. The other components of the facility, including the driving range, catering hall and restaurant, will also be completed in or before Calendar 2003.
- With funding provided by the Department of Environmental Protection (DEP), DPR has nearly completed work on the new Flushing Bay Promenade in Queens. Rehabilitation of the 1.7 mile promenade 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 views 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. Construction began in May 1999 and was completed in June 2001.
- 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. DPR is coordinating with DEP and DOT to ensure that a water main is repaired before reconstruction of the park is completed. Construction began in October 2000 and is scheduled for completion in March 2002.
- In Queens, the Flushing Meadows-Corona Park Pool and Ice Rink is to be the first new public pool opened in four decades. The 82,000 square foot building will contain a 10-lane, Olympic-size public pool and 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.
- 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. Phase I, which includes the pool and the gymnasium, is scheduled for completion in December; the remainder of the building will be completed by May 2002.

DEPARTMENT OF PARKS AND RECREATION

- In June 2001 DPR began construction on the Brooklyn Bridge Park project, which will include a waterfront park with a playground. Brooklyn Bridge Park is expected to provide 70 acres of open space, replacing underutilized and derelict commercial waterfront property in downtown Brooklyn.

TECHNOLOGY

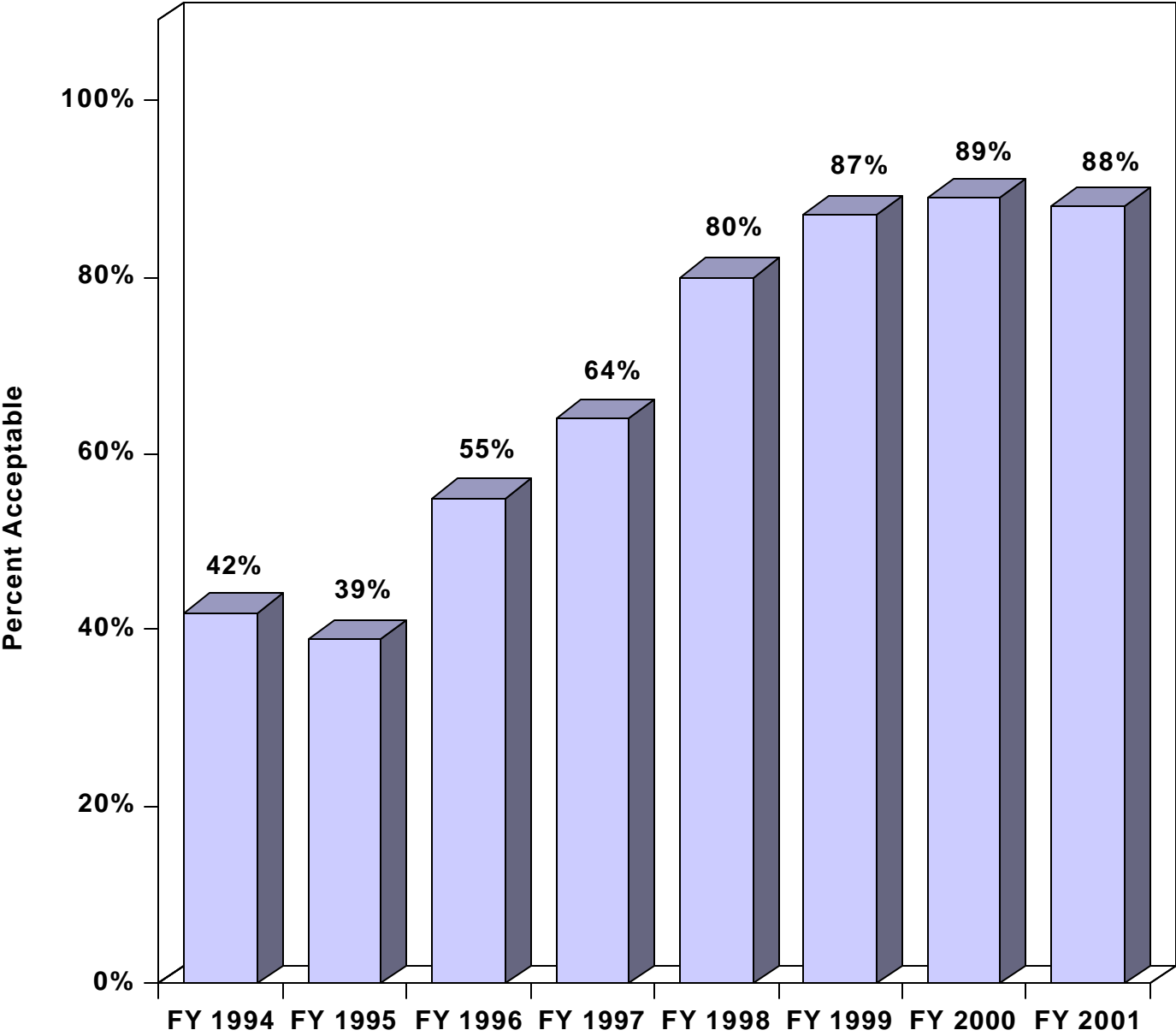
- In Fiscal 2001 DPR received 1.7 million views on NYC.GOV, the City's official Web site, compared with 1.28 million page views in Fiscal 2000. Four new online forms were added: dead tree removal requests, street tree requests, sports permit applications and lifeguard applications.
- Geographic Information 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.

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Department's expenditures were \$215 million, compared with its plan of \$201 million; headcount was 1,965, compared with its plan of 2,068. The Department's Fiscal 2000 expenditures were \$198 million, and headcount was 2,025.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$210 million and a planned headcount of 2,042.

Department of Parks and Recreation

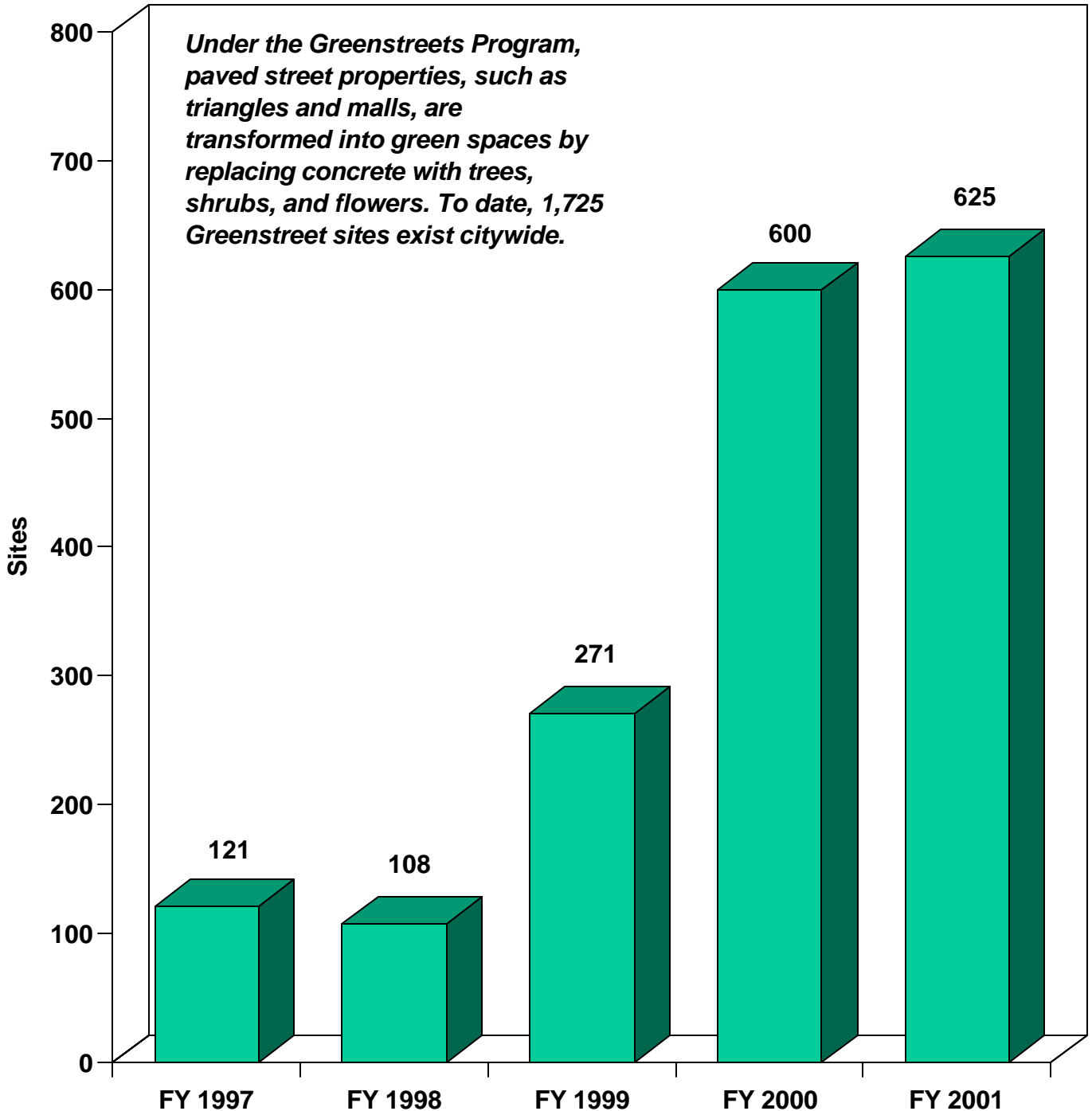
Overall Condition Rating for Small Parks, Playgrounds, Sitting Areas and Greenstreets Fiscal 1994-2001



*The Greenstreets Program was launched in 1996 but ratings began in 1998.

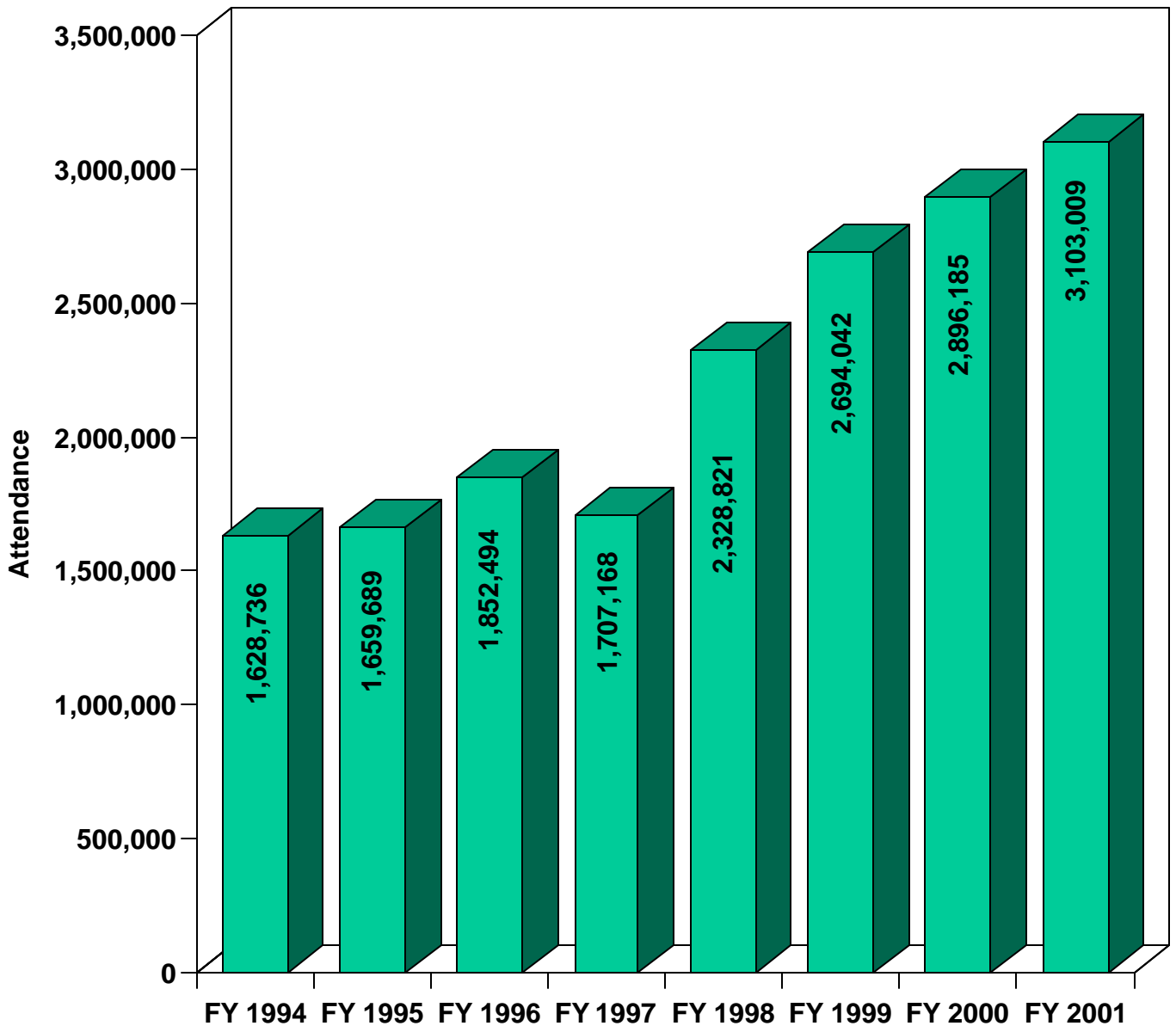
Department of Parks and Recreation

Greenstreet Sites Created



Department of Parks and Recreation

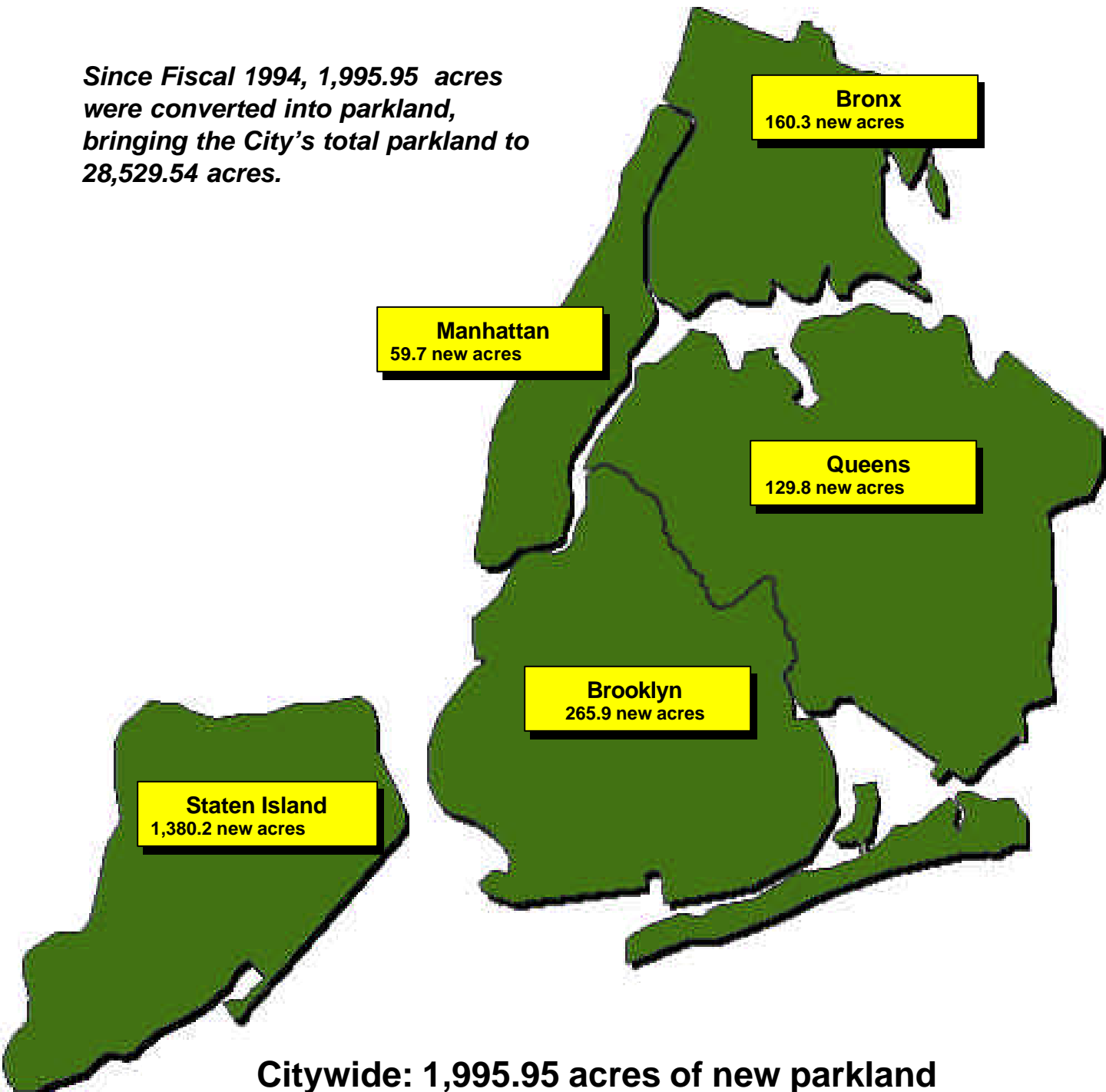
Total Attendance at Recreation Centers and Senior Citizen Centers Fiscal 1994-2001



Department of Parks and Recreation

New Parkland January 1, 1994 – August 31, 2001

Since Fiscal 1994, 1,995.95 acres were converted into parkland, bringing the City's total parkland to 28,529.54 acres.



LANDMARKS PRESERVATION COMMISSION

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

GOALS AND OBJECTIVES

Goal: Protect historic buildings through landmark designations.

Objective	FY 01 Actual	FY 02 Plan
Identify and designate 25 landmarks and two historic districts.	25 / 2	12 / 4
Conduct public outreach on, and hold community meetings for, two new historic districts.	7	4

Goal: Improve regulatory efficiency.

Objective	FY 01 Actual	FY 02 Plan
Process 100% of Expedited Certificates of No-Effect within two days of the receipt of completed applications.	100%	100%
Process 80% of Certificates of No-Effect within 10 days and 60% within five days of the receipt of completed applications.	81% / 67%	80% / 60%
Amend two existing rules and enact two new rules.	0 / 1	1 / 1
Implement one districtwide master plan.	1	2

Goal: Increase the effectiveness of the enforcement program.

Objective	FY 01 Actual	FY 02 Plan
Work to educate the public about the Commission's civil fines policy.		
Remedy 20% of violations at the warning-letter stage.	10%	20%

HIGHLIGHTS AND ACHIEVEMENTS

DESIGNATIONS

- During the reporting period the Landmarks Preservation Commission (LPC) designated 25 new individual landmarks citywide. These designations bring the number of individual City landmarks to 1,075 and the total number of properties protected under the Landmarks Law to 21,951.
- In November 2000 the Commission designated the Stockholm Historic District in Ridgewood, Queens, containing 39 properties. In June 2001 the Commission designated the Madison Square North Historic District, containing 96 properties. These designations bring the City's total number of historic districts to 78.

LANDMARKS PRESERVATION COMMISSION

REGULATION

- The Commission amended the Historic Preservation Grant Program Rule in August 2001. The Commission anticipates creating the Window Rule in Summer 2002.
- During Fiscal 2001 the Commission reviewed 7,824 applications for work on designated properties, compared to 7,933 applications reviewed during Fiscal 2000.
- In Fiscal 2001 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, the same as in Fiscal 2000. LPC issued 81 percent of Certificates of No-Effect within 10 days of receipt of completed applications, compared to 87 percent in Fiscal 2000; and 67 percent of Certificates of No-Effect within five days of receipt of completed applications, compared to 75 percent in Fiscal 2000.
- During Fiscal 2001 the Commission received and reviewed applications for the construction of 13 new buildings within historic districts. A total of 14 applications for new buildings were approved, including eight applications pending from Fiscal 2000. The approved applications included four new buildings in the SoHo-Cast Iron Historic District, one each in the TriBeCa West, South and North historic districts, one in the Ladies' Mile Historic District, one in the South Street Seaport Historic District in Manhattan, one each in the Clinton Hill, Fort Greene, and Greenpoint historic districts in Brooklyn, one in the Douglaston Historic District in Queens, and one in the New York City Farm Colony-Seaview Hospital Historic District in Staten Island.
- The Commission voted on and approved the proposed rules relating to the installation of bracket signs in the TriBeCa, Greenwich Village, SoHo, NoHo and Ladies' Mile historic districts in May 2001.
- The Commission worked with the community to draft the rules for the Douglaston Master Plan in Queens and intends to implement the plan for the Douglaston Historic District in Fiscal 2002. The plan will govern alterations to existing buildings and landscape features. The Commission staff will have the authority to approve work that otherwise would have required full Commission review.
- Pursuant to the Commission's rule for historic district master plans, the Commission held two public hearings on a proposal for a new rule regulating changes to storefronts on Madison Avenue within the Upper East Side, Metropolitan Museum and Carnegie Hill historic districts. This master plan will allow the staff to issue permits expeditiously for new storefronts and storefront modifications. The Commission approved the Madison Avenue Storefront Master Plan in November 2000. The plan became effective in December 2000.
- The Commission also intends to work with the community to draft a storefront master plan for specified streets in the Upper West Side/Central Park West Historic District. This master plan will allow staff to issue permits expeditiously for new storefront modifications.

ENFORCEMENT

- On July 6, 1998 the Landmarks Protection Bill went into effect, enabling the Commission to impose civil fines for violations of the City's Landmarks Law.
 - One of the Commission's primary goals is to increase public awareness of the law. The Commission published a brochure entitled, "The Landmarks Preservation Bill: Summary of the New Enforcement Program for Violations of the New Landmarks Law," and in February 2001 included it on the Agency's home page on NYC.GOV, the City's official Web site.

LANDMARKS PRESERVATION COMMISSION

- The goal of the civil fines system is to increase compliance with the Landmarks Law. The Commission first serves people with a warning letter. If the illegal condition is addressed expeditiously, then no notice of violation is served and no penalty imposed. In Fiscal 2001 the Commission resolved 10 percent of all illegal conditions at the warning-letter stage. Since there is a delay between the time a warning letter is sent and the time violations are corrected, because the property owner needs to assess the extent of the work required and hire contractors to perform the work, LPC did not reach its Fiscal 2001 goal. LPC expects the correction rate to reach 20 percent by the end of Fiscal 2002. A total of 68 percent of the individuals issued warning letters have applied to address the illegal conditions.

CUSTOMER SERVICE/EDUCATION

- In June 2001 the Commission published its third issue of “Landmarks Commission News,” a newsletter that reports on recent landmark designations and other LPC initiatives. The newsletter became available on the Commission’s home page at the end of Fiscal 2001.
- In September 2000 the Commission published a brochure entitled, “Historic Preservation Grant Program: Help for Your Historic Building.” The Commission’s Grant Program is a federally funded program that provides grants to restore severely deteriorated façades of designated buildings. Grants are available for both nonprofit organizations and low- and moderate-income home owners. The brochure explains the application process, the review process and requirements. It became available on the Commission’s home page in January 2001.
- The Commission plans to publish a new brochure entitled, “Landmark Storefronts: A Guide for Owners and Tenants” in February 2002. The guide will help store owners understand how the Commission regulates storefront alterations. Originally, the brochure was expected to be completed in Fall 1999; however, there have been delays due to other initiatives.
- In conjunction with the New York Landmarks Preservation Foundation, landmark district residents and elected officials, LPC coordinates 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. Street signs were installed in the NoHo Historic District in Manhattan, the Hardenbergh-Rhineland Historic District in Manhattan and the Douglaston Historic District in Queens in Spring 2001.
- The Commission and the Foundation 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.
- As part of its ongoing community outreach efforts, LPC convenes 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.
 - During Fiscal 2001 LPC held four meetings with the Hamilton Heights/Sugar Hill Historic District Work Group to discuss further historic district designations.
 - During Fiscal 2001 LPC held two informational meetings with building owners in the Madison Square North Historic District.
 - LPC held one community meeting in conjunction with the Murray Hill Neighborhood Association in July 2001 to discuss the regulatory impact of designation on property owners and tenants in the proposed Murray Hill Historic District.

LANDMARKS PRESERVATION COMMISSION

GRANTS

- During Fiscal 2001 LPC received and reviewed 39 new grant proposals under the federally funded Historic Preservation Grant Program. Of those, 13 new grants were awarded totaling \$230,000. In addition, five previously approved restoration grants were awarded increases totaling \$41,000.

ARCHAEOLOGY

- In late Calendar 1999 the Commission completed a draft of guidelines that will standardize policies and procedures for the archaeological studies and tests required for 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 impact of the draft guidelines. The guidelines have 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.

TECHNOLOGY

- During Fiscal 2001 there were 186,508 page views of LPC's home page, a 139 percent increase from 78,007 page views during Fiscal 2000.
- The Commission launched its new home page on NYC.GOV in January 2001. The 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 September 2000 agencywide email connectivity was fully implemented. The Commission now has the ability to communicate via email with other City agencies and members of the general public.
- In coordination with LPC's move to new offices at the end of August 2001, the network upgrade project provides one-third of the staff with new computers and all staff members with an updated operating system. The upgrade also provides a more stable and secure operating system, better backup and disaster recovery tools, as well as an enhanced network faxing system that includes integration into the agency e-mail system.

BUDGET HIGHLIGHTS

- During Fiscal 2001 the Commission's expenditures were \$3.6 million, compared with its plan of \$3.5 million; headcount was 45, the same as planned. The Commission's Fiscal 2000 expenditures were \$3.1 million and headcount was 44.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$3.3 million and a planned headcount of 45.

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. All local libraries are open at least six days a week.

GOALS AND OBJECTIVES

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

Objective	FY 01 Actual	FY 02 Plan
Update collections through the purchase of a revised 2.9 million new items.	2.9 million	2.8 million
Serve the public an average of 42.6 scheduled hours per week per library.	42.6	42.6
Circulate approximately 42.1 million items citywide, representing 5.7 items per capita.	41.7 million / 5.4 per capita	41.8 million / 5.4 per capita
Respond to an estimated 15.7 million reference and information queries.	15.4 million	15.9 million

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

Objective	FY 01 Actual	FY 02 Plan
Serve 470,000 students in 1,070 schools in all 33 school districts through the Connecting Libraries and Schools Program.	620,793 students / 1,278 schools / All school districts	580,000 students / 1,125 schools / All school districts

HIGHLIGHTS AND ACHIEVEMENTS

BROOKLYN PUBLIC LIBRARY

Branch Programs

- Throughout the Giuliani administration, the Brooklyn Public Library (BPL) has continued to develop and implement cultural and educational programs for children and adults. During Fiscal 2001 BPL conducted 43,514 program sessions covering a wide variety of topics, including technology, arts, education and business assistance. More than 740,000 patrons attended BPL program sessions.

PUBLIC LIBRARIES

- During Fiscal 2001, 351,567 children and teens attended 27,055 programs throughout BPL branches and the Central Library's Youth Services Division. Activities included preschool story hours, after-school programs, teen time and career information for teens, and cultural and literature-based programs for all ages. Each BPL branch offers a variety of children's programs that reinforce and enhance reading skills and respond to the needs and interests of children in their communities. While the focus and orientation of these programs is literature-based, the content ranges from story telling, puppet shows, and arts and crafts, to more structured homework assistance and computer skills training.
 - BPL's Library Early Enrichment Program (LEEP) provides an introduction to the Library through book-related programs for babies, toddlers, preschool children and their parents/caregivers. Over 80 Children's Services specialists have been trained in delivering these programs. LEEP was offered at 20 branches in Fiscal 2000 and expanded in Fiscal 2001 to 45 branches and the Central Library. These programs are offered at each neighborhood branch once a week and average attendance was 15 participants per session.
 - During Fiscal 2001 BPL offered Early Childhood Learning Programs at most branches at least once a week. These programs included, "Parents, Babies and Books" for ages 9 to 24 months, "Toddler time" for ages 2 to 3 years and "Pre-School Story Time" for ages 3 to 5 years. The most popular preschool programs, "Pre-School Story Time" and "Arts and Crafts" were attended by 15 and 20 children respectively per session.
 - During Fiscal 2001 BPL offered more than 6,000 After-School Assistance Program (ASAP) sessions and reached over 70,000 children. ASAP provides services and programs geared toward children ages 6 to 12, combining after-school homework help, reading incentives, vocabulary building, use of computer technology and library resources, and outreach to parents, schools and other community groups. Three core ASAP programs are Reading Partners, Science Partners and Homework Helpers. Reading Partners are literature-based, small group programs created for elementary school children, grades 1 through 6, which enhance and improve reading skills through structured activities in a noncritical environment. Science Partners introduce elementary school children to elements and concepts of science through interactive hands-on workshops. Homework Helpers assist elementary school children one-on-one and in small groups with their homework assignments.
 - During Fiscal 2001, 19 BPL branches provided Education Assistance Programs for children ages 6 to 12. BPL conducted surveys of local communities to determine which communities would most benefit from this program at its local branch. "Homework Helpers" and "Science Partners" are two of BPL's most popular programs, with an attendance of five to 10 students and 15 to 20 students respectively attending each program session. "Homework Helpers" provides students with volunteer tutors to help clarify questions regarding assignments and guide them in developing their approach to completing homework. "Science Partners" provides children with interactive science programs conducted by various institutions at BPL branches.
 - BPL's Summer Reading Program, "2001: A Reading Odyssey" began in June 2001 and is expected to reach over 12,000 Brooklyn children by the program's end. 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.

PUBLIC LIBRARIES

- In Fiscal 2001 BPL's Business Library presented educational programs, including informational workshops, seminars and presentations, about how to start or expand a business. Fiscal 2001 programs also included a three-part financial series on income investing and retirement savings; "Get Web Wise," a program teaching how to build smart Web pages and Internet marketing; "Made in Brooklyn," a panel discussion regarding the latest trends in the music industry and how to market and finance music businesses; and the Business Library's Annual Entrepreneur Series, "You Can Do It, Too." Additionally, during Fiscal 2001 the Business Library presented its "Road Show" at five BPL branches, including the Dekalb, Saratoga, Sunset Park, Kings Bay and Borough Park branches. These programs included two presentations at each branch for a total of 10 programs in each community and featured speakers covering topics such as marketing and the Internet.
- During Fiscal 2001 BPL branches offered over 232 technology-based instructional programs, which were attended by over 1,500 patrons. These free programs cover the basics of computer and Internet use, such as navigation tips and search techniques, as well as useful sites for job searches, homework help or investment management.
- In Fiscal 2000 BPL introduced the English for Speakers of Other Languages (ESOL) program to enhance literacy and education in Brooklyn communities. This free program offers English language instruction for non-English speakers to help them build the language skills needed to succeed in their communities and work environment. In Fiscal 2001 BPL's ESOL program conducted eight classes during a 12-week semester; each class was four hours per week. The program offers beginning and intermediate classes taught by professional ESOL teachers in eight branch locations. The program employs six teachers and has served 699 students in Fiscal 2001.
- In Fiscal 2001 approximately 12,000 adults attended BPL-sponsored programs celebrating literature and cultural heritage, including a tribute to Pulitzer prize winner Gwendolyn Brooks, a reading by novelist Jonathan Lethem, and a three-part "Writing on Art" discussion by Rosalyn Krauss and Arthur Danto. In addition, in Fiscal 2001 the Central Library's Lobby Gallery had about 75,000 viewers, the Grand Lobby exhibitions had approximately 1,125,000 viewers and the Brooklyn Collection had approximately 150,000 viewers.

Library Services and Facilities

- BPL has steadily increased the average weekly hours of service in its branches by 3.6 hours, from 39.5 hours in Fiscal 1996 to 43.1 hours in Fiscal 2001. Correspondingly, BPL increased its circulation by 11.4 percent, from 10.18 million in Fiscal 1996 to 11.34 million in Fiscal 2001. In addition, in Fiscal 2001 BPL expanded Sunday service hours by a total of 48 hours per week, permitting 17 branches to be open from noon until 4 P.M. from September 2000 through June 2001.
- In Fiscal 2001, 7,159 children and 1,328 adults visited the BPL Kidsmobile. The Kidsmobile is a mid-size van staffed with experienced library personnel, who travel to schools, parks and shopping malls across Brooklyn with a collection of over 3,000 books, laptop computers and special programs for children. In Fiscal 2001 Kidsmobile personnel conducted 195 children's programs, such as arts and crafts, storytelling, sing-alongs, puzzles and games, and made 1,564 visits to schools, parks, community events and street fairs. During the 2000 – 2001 school year, Kidsmobile personnel also made 159 class visits to schools that find it difficult to bring children to the library due to location or traffic barriers, as well as to schools for the profoundly disabled.

PUBLIC LIBRARIES

- During Fiscal 2001 the BPL's Service to the Aging's "Book by Mail" program provided service to 117 homebound people. This service provides library materials to patrons who are unable to use the library due to temporary, or long-term physical or mental disabilities. Participants must be certified as eligible by a health care professional. Additionally, in Fiscal 2001 BPL's "Books to Go" program provided over 70,000 library materials to 151 nursing homes, adult day care centers and senior centers. Materials included books, videos, books on tape, magazines, ESOL materials and foreign language materials.
- BPL's Education and Job Information Center (EJIC) offers a wide variety of printed materials to aid patrons in accessing job information. During Fiscal 2001 EJIC assisted over 87,436 patrons and continued to offer various workshops, including a series sponsored by the Five O'Clock Club to improve job search skills, and a series entitled, "How to Find a Summer Job for Young Adults." Workshops were held at the Jamaica Bay, Saratoga and Leonard branches and the Central Library. EJIC is a resource center that provides information about government and community-based organizations that assist individuals in finding employment. In Fiscal 2001 the division also worked with the New York State Department of Labor and the New York State Department of Education to offer 16 workshops on how to effectively use the CareerZone Web site.
- BPL has continuously been dedicated to renovating its facilities to provide a safe, clean, accessible, aesthetically pleasing and technologically proficient environment for its patrons. In September 1999 BPL reopened the DeKalb branch after extensive restoration and renovation. In February 2000, after a \$3 million renovation, BPL reopened the Flatbush branch. In May 2000 BPL held a reopening celebration for the new Youth Services Division at its Central Library. This major capital project renovated and expanded the Children's and Young Adult's Services area. In June 2000 the New Utrecht library, which is one of BPL's four regional libraries, reopened after its first major renovation since opening in 1955. In Fiscal 2001 the Bushwick branch received a new heating, ventilation and air conditioning system, the East Flatbush branch received a new floor, the Flatlands branch had new lighting and ceilings installed, the New Lots branch Children's Reading Room was renovated and the Gravesend branch was completely renovated. BPL also began capital projects at the Bushwick, Crown Heights, Gerritson Beach, Jamaica Bay, Marcy, Mill Basin, Rugby and Ryder branches.

Technology

- In Fiscal 1999 the Library upgraded telephone equipment at all branches. Patrons can renew materials by telephone 24 hours a day, among other services. Currently approximately 15 percent of all renewals are processed by telephone.
- Technology Resource Centers (TRCs), available for public use in every branch, are equipped with new computers that provide Internet access and standard PC-based software applications. In Fiscal 2001 BPL patrons logged approximately 1.7 million half-hour sessions at TRC computers. TRCs continue to be used near 100 percent capacity and expanded weekend programming has increased their use by families. Additionally, eight public access Internet-connected computers were added in Fiscal 2001.
- In Fiscal 2000 BPL began offering online access to the CareerZone Web site, an independent site unaffiliated with BPL. This site provides occupational and labor market information on more than 1,100 jobs, a self-assessment interest module, a user's guide and interactive tutorial, and a lesson plan for teachers to help students best use the Web site. The Library's Education and Job Information Center also offers a wide range of printed materials to aid in accessing job information.
- In Fiscal 2001 BPL made available a total of 52 electronic databases to BPL card holders via the library's home page, www.brooklynpubliclibrary.org, and 36 additional databases via on-site terminals.

PUBLIC LIBRARIES

- During Fiscal 2001 BPL's two redesigned Web sites for children, www.bplkidzone.org, and teens, www.bplinfozone.org, received about 20,000 information requests per day. These sites contain information, resources and links for children and teens including book reviews, trivia and library information, and can also be accessed through BPL's home page, www.brooklynpubliclibrary.org.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

Brooklyn Public Library	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001
Circulation (000)	10,150	10,317	10,078	10,917	11,340
Circulation per Capita	4.4	4.5	4.4	4.7	4.7
Items Purchased (a)	426,667	507,018	895,345	1,052,485	1,028,512
Average Weekly Hours	39.5	40.1	41.1	41.9	43.1
Reference and Information Queries (000)	5,320	6,192	6,032	5,918	5,532
Connecting Libraries and Schools Projects – Students Reached (b)	37,210	59,237	72,899	217,998	255,105
Connecting Libraries and Schools Projects – Schools (b)	102	120	124	362	377
Connecting Libraries and Schools Projects – School Districts (b)	4	4	4	13	13

- (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) 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.

NEW YORK PUBLIC LIBRARY/THE BRANCH LIBRARIES

Branch Programs

- Throughout the Giuliani administration, the New York Public Library (NYPL) continued developing and implementing new programs and initiatives for children and adults. During Fiscal 2001 NYPL conducted 27,553 program sessions covering a wide variety of topics, including literature, technology, the arts and business assistance. More than 500,000 patrons attended NYPL program sessions.
- During Fiscal 2001, 16,436 children and teens attended programs throughout NYPL branches. These programs included preschool and toddler storytimes, picture book programs, after-school programs, author/illustrator programs, storytelling, chess and stamp collecting workshops, music concerts and sing-alongs, magic and puppet shows, story and craft activities. NYPL also offered teen time and career information for teens as well as cultural and literature-based programming for all ages.

PUBLIC LIBRARIES

- NYPL's Preschool Family Literacy Programs work with parents of preschool children to encourage them to read with their children. The workshops involve reading aloud, simple arts and crafts, and parenting information on how to involve young children in reading readiness activities. Each of the 500 participating families at the Woodstock, West Farms, Francis Martin, High Bridge, Baychester, and Belmont branches in the Bronx received hardcover books to start their own home reading library.
- NYPL's Early Childhood Resource and Information Center (ECRIC), located at the Hudson Park branch library, has collections and programs geared to parents, teachers and child-care providers for all aspects of child development and parenting. ECRIC also has a preschool book collection, a resource collection of scholarly and in-depth materials for adults, and offers workshops for parents and early childhood professionals.
- In Fiscal 2001 the Donnell Library Center's Central Children's Room presented "Babies and Books: Lap Time Programs for Children." The program was presented on Saturday mornings once a month for babies ages 9 to 18 months and their parents, and included stories, music and puppet shows. Toddler programs for ages 18 months to 3 years were also held once a month and included arts and crafts woven into the curriculum of stories and songs. Additionally, the Donnell Library presented weekly preschool programs for ages 3 to 5 and featured guest performer Lou Ann Adams who combined songs, stories and age-appropriate activities. During Fiscal 2001 there were a total of 743 programs offered by NYPL branches to toddlers and preschoolers.
- In Fiscal 2001 the Center for Reading and Writing at the Fordham Library Center offered basic math classes and Internet tutorials; the classes will continue throughout Fiscal 2002. The basic math class, lead by a volunteer tutor, was offered once a week to an average class size of 15 students. It covered addition, subtraction, multiplication, division and basic fractions. Students use basic math competency software to practice concepts learned in class. Volunteer tutors also conducted Internet tutorials two times per month, providing intensive instruction on searching the Internet around a variety of themes related to student interests and goals. An average of 12 students participated at each Internet tutorial.
- NYPL's Summer Reading Program, "2001: A Reading Odyssey" began in June 2001. In preparation for "2001: A Reading Odyssey" NYPL distributed to elementary schools and the branch libraries 650,000 copies of the suggested summer reading materials and mailed over 363,000 postcards to elementary schoolchildren in NYPL's cardholder database inviting them to sign up for the Summer Reading Program. In addition, NYPL participated with the Board of Education in a direct mail campaign to parents of all public school students in grades 3 through 5 to encourage children to participate in the Summer Reading Program. NYPL's On-Lion for Kids Web site was revamped this year and, as part of the 2001 Summer Reading Program, the Library had 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 Fiscal 2001 NYPL sought to promote access to business information and support entrepreneurship on Staten Island. Through the St. George Library Center on the North Shore, NYPL is now able to offer borough residents an expanded collection of business information resources, public programs on a variety of business topics and trained professional librarians to assist patrons with their reference needs. Through September 2000, 18 librarians in Staten Island branches were trained to provide service to patrons seeking business information resources, and 541 people attended 51 public programs conducted by Library staff and small business organizations.

PUBLIC LIBRARIES

- During Fiscal 2001 NYPL offered 108 English as a Second Language (ESOL) classes that were attended by 2,717 adults at 16 locations. Classes were held twice weekly for two and one-half hours over three 10-week periods in Fall 2000, Winter 2000-2001, and Spring 2001. NYPL implemented "Bridging the Digital Divide for ESOL Students," at the Aguilar Branch Library in Manhattan and the Fordham Library Center in the Bronx; a total of 378 students attended 15 classes during Fiscal 2001. The Melrose and Washington Heights branches conducted Saturday classes during the same period. Students were taught hands-on basic computer skills and Internet access after which they were given on-site access to English language software that promoted practice in listening, speaking and writing skills. This enabled students to improve their language skills.
- During Fiscal 2001 the Donnell Library Center presented "Four Corners: A Celebration of the New Millennium," a series of performance pieces, exhibitions, film/video screenings and lectures focusing on the arts and cultures of Greece, China, Brazil and sub-Saharan Africa. The program's mission was to foster global understanding and to provide outreach to the multicultural communities that reside in New York. Exhibitions and programs have attracted full-capacity audiences, and free tickets were distributed on a first-come, first-served basis before each program.
- In Fiscal 2001 NYPL continued to work with Poets House in the Poetry in the Branches program for adults, and featured programs that examined the common elements of music and poetry. These programs included talks, concerts and readings on "Decima," the opera libretto, and the poetry of Pablo Neruda set to music. Writing workshops for teens and adults also continued, including a poetry writing workshops for young adults who worked with published poets to learn to express their feelings through their poems.

Library Services and Facilities

- NYPL has steadily increased the average weekly hours of service in its branches by 3.2 hours, from 38.5 hours in Fiscal 1996 to 41.7 hours in Fiscal 2001. Correspondingly, NYPL increased its circulation by 21.1 percent, from 11.14 million items in Fiscal 1996 to 13.49 million items in Fiscal 2001. Additionally, in October 2000 NYPL added Sunday hours at five branches, increasing the number of branches with Sunday hours to eight, and in February 2001 NYPL added four additional evening hours per week at the Mid-Manhattan branch.
- The NYPL Adopt-a-Branch Program combines private donations with City monies to fund urgently needed renovations at various branches. Twelve of the Library's 85 branches are undergoing major renovations, including six receiving Adopt-a-Branch support: the Chatham Square, Inwood, George Bruce, Muhlenberg and Ottendorfer branches in Manhattan, and the Mott Haven branch in the Bronx. As of June 2001 private donations totaling \$7.7 million have been raised for the Adopt-a-Branch Program.
- During Fiscal 2001 Books-by-Mail circulation was 7,261 items to the approximately 400 registered borrowers. The service was enhanced this year by offering videos in addition to printed materials. The Books-by-Mail service is available to homebound people of all ages who reside in Manhattan, the Bronx, or Staten Island and are unable to leave their homes. To qualify for the service, a physician, nurse or social worker must certify the person as homebound on a Books-by-Mail application.
- During Fiscal 2001 NYPL staff visited 27 nursing homes and eight senior centers and spoke to seniors about the wide range of services that the Library offers, including Internet access, large-print books and programs. Staff members also conducted reading sessions with nursing home residents. The Library also circulates Bi-Folkal Kits and Multisensory Programming Kits to nursing homes and senior centers. Donations of large-print books are also placed at approximately 23 nursing homes and eight senior centers.

PUBLIC LIBRARIES

- During the first six months of 2001, 213 patrons received assistance through 48 résumé and career counseling sessions, and 1,102 patrons attended 19 workshops conducted by certified career counselors at NYPL's Job Information Center (JIC). JIC, which is located at the Mid-Manhattan Library, serves the career-related needs of 3,000 people each month. In addition to its extensive collection of job information resources, JIC offers career programming between January and June. In Fiscal 2001 the Library began expanding JIC's electronic resources, increasing the variety and number of public workshops, offering programs on a regular basis and providing on-site résumé preparation assistance.
- In June 2001 the Donnell Media Center completed an extensive film preservation project for a total of 127 films, exceeding the Library's initial goal of including 90 films in this effort. The Media Center's film collection includes over 6,000 titles, and is especially well known for its holdings of independent films. In recent years, the Center's collection has become a resource for research and study. The Center frequently holds the best or only copy of a given film.
- NYPL has been dedicated to renovating its facilities to provide a safe, clean, accessible, aesthetically pleasing and technologically modern environment for its patrons. During Fiscal 1999 the Bronx's Francis Martin and Wakefield Centers for Reading and Writing were renovated. During Fiscal 2000 NYPL reopened the newly expanded Kips Bay Branch in Manhattan and opened the new South Beach Branch on Staten Island. In Fiscal 2001 NYPL reopened six fully renovated branches: Chatham Square, Inwood, George Bruce, Muhlenberg, and Ottendorfer in Manhattan, and New Dorp on Staten Island. The Donnell Media Center, a state-of-the-art facility, is nearing the completion of a full renovation. Additionally, during Fiscal 2001 renovations began at the Sedgewick branch in the Bronx and the Webster branch in Manhattan. In May 2001 NYPL announced the new location of the future Bronx Borough Center that includes a Puerto Rican and Latino Cultural Center. In early Fiscal 2002, the Library will reopen the fully renovated Woodlawn Heights, Mott Haven and Mosholu branches. In addition, the new Morningside Heights branch will open, replacing the old Columbia branch.
- NYPL has created a program of "Spruce-Up Projects," which provides limited building renovations for branches in need of repair but not scheduled for full renovation under the NYPL Capital Construction Program. "Spruce-Up Projects" completed during Fiscal 2001 include the 125th Street branch in Manhattan, Castle Hill and Francis Martin branches in the Bronx, and the St. George Library Center on Staten Island.

Technology

- Patrons are increasingly using LEOLine, NYPL's automated telephone access service. LEOLine allows borrowers to renew library materials, review items they have on loan, cancel holds on reserved items and find out the total amount of fines that they owe. The system logged 736,963 calls in Fiscal 2001, a 38 percent increase from the previous fiscal year, including 688,070 renewals, 2,299 hold cancellations and 153,172 account reviews, as compared to Fiscal 2000 when the system logged 535,422 calls, including 411,921 renewals, 1,773 hold cancellations and 120,045 account reviews. LEOLine is available in English and Spanish, 24 hours a day, seven days a week by calling 212-262-7444.

PUBLIC LIBRARIES

- In July 2000 NYPL initiated a new pilot program that provided e-books through netLibrary, a collection of online books offered in full text from a variety of publishers on an extensive range of subjects. An online book is an electronic version of a printed book that can be read or borrowed through the Library on any computer with Internet access from within the Library or from a home or office. The service is available at all times and users can either read the books online or download them to be read off line. The program can be reached by clicking the netLibrary logo located on the Branch Libraries' Web page, www.nypl.org/branch/iresources.html. The service was offered for a trial period of six months. In January 2001 NYPL began offering a selection of netLibrary e-books tailored to branch and central library collection needs. These selections include a substantial number of computer books and business books, which are difficult to stock in sufficient paper quantities. At the conclusion of Fiscal 2001, 1,010 ebooks were available with a circulation of 4,287.
- In October 2000 NYPL launched "Click on @ the library," an ongoing initiative that bridges the digital divide by educating people about technology and information resources. "Click on @ the library" workshops are taught in NYPL's state-of-the-art technology training centers in the Bronx, Manhattan and Staten Island, and provide students with hands-on instruction and the opportunity to practice what they learned by reserving blocks of time in the training centers.
 - Classes for children and young adults are being developed and will be available during Fiscal 2002. From March 2001 when NYPL began offering the public training classes and online reservation hours, through June 2001, NYPL offered 372 classes with 720 class hours, and trained 3,042 students. Additionally, 2,084 individuals reserved computers during 503 online reservation hours. A new Web site, designed for this initiative, is available at www.nypl.org/clickon.
- In October 2000 NYPL implemented "Ask Librarians Online," an interactive reference service that provides its extensive reference experience in an online setting, and allows NYPL Web site visitors to send reference inquiries to professional librarians by e-mail as well as consult a searchable database of reference information based on frequently asked questions located at <http://ask.nypl.org>. By the end of Fiscal 2001, 643 questions were submitted by patrons through the Web site and by e-mail.
- In Fiscal 2001 NYPL made available a total of 24 licensed electronic databases to NYPL card holders via the library's home page, www.nypl.org, and 73 additional databases via onsite terminals.

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. During Fiscal 2001, 4,603 patrons attended 114 workshops. In Spring 2001 SIBL offered a series of Monday-night lectures on various aspects of astronomy, featuring speakers such as the Vatican astronomer, who is assigned to New York University and Columbia University faculty, and NASA and the American Museum of Natural History scientists. Additionally, in Fiscal 2001 SIBL offered customized training to groups of secondary school and college-level educators and students, government workers and corporate employees, which included 726 free training classes, attracting 5,282 patrons.

PUBLIC LIBRARIES

- During Fiscal 2001 the Humanities and Social Science Library's Public Education Program presented 41 programs, attended by more than 10,000 patrons, and included discussions by authors and public figures, featuring interviews by Leonard Lopate with William Vollmann, Susan Minot, Michael Cunningham, John Updike, Tom Disch, Colm Toibin and other notables. Some of the Fiscal 2001 presentations at the Library also included panel discussions with playwright David Auburn, actress Johanna Day, and producers Daryl Roth and Barry Grove from the play "Proof"; three flute and piano concerts with Eugenia Zukerman and Anthony Newman; and "Pulp Fictions: Reading, Collecting, and Preserving Popular Culture," a series of five illustrated lectures on popular literature, including talks by cartoonist Ben Katchor, and scholars Elaine Freedgood, J. Randolph Cox, Marvin Taylor and Deidre Johnson.
- The Library for the Performing Arts (LPA) Calendar 2000/2001 series of public programs began in November 2000. During Fiscal 2001 LPA presented its free public programs to approximately 9,000 individuals in seven venues around Manhattan, including the Donnell Library Center in Midtown, the Jefferson Market Regional Library in Greenwich Village, the U.S. Custom House at Bowling Green, the Spanish Institute on the Upper East Side, the Irish Repertory Theatre in Chelsea, the New 42nd Street Studios, and La Guardia High School for the Performing Arts at Lincoln Center. The series marked the centennial of the death of Oscar Wilde, staged its annual concert featuring the percussionists of the Metropolitan Opera Orchestra, and led a panel discussion featuring leading French choreographers.
- During Fiscal 2001 the Schomburg Center for Research in Black Culture presented 95 programs, which were attended by more than 80,000 people. The Center, which celebrated its 75th Anniversary, sponsored various public programs including six special Anniversary events, the 27-event Africana Heritage Festival, three major exhibitions, 15 theater performances and readings, two conversation programs, 11 concerts, a conference, 12 forums, eight film and video screenings, three special events and eight book signings. Additionally, in Fiscal 2001 another 30,000 patrons attended events sponsored by outside organizations at Center facilities.
- In September 2000 the Library's Center for Scholars and Writers admitted its second class of 15 scholars, which included novelist Andre Aciman, legal scholar Jonathan Bush, author and editor Steve Frasier, and award winning writer Philip Lopate. All were in residence through Spring 2001. In September 2001 the third class of 15 fellows, including novelists Effery Allen and Andrea Barrett, writer Carmen Boullosa, science historian Claudine Cohen, literary scholars Thadious Davis and Carla Peterson, and historian Mike Wallace, will begin their tenure in the Center. All will be in residence through May 2002.

Library Services and Facilities

- During Fiscal 2001 the Research Libraries in the NYPL system were open an average of 47.8 hours per week. In Fiscal 2001 SIBL added seven hours per week and now opens daily at 10 A.M. and has longer hours three days per week.
- Renovations of the Library for the Performing Arts, located in Manhattan, continue and the Library's reopening is scheduled for October 2001. The planned LPA renovation includes larger and more accessible galleries, an enhanced performing environment in the Bruno Walter Auditorium, and a new technology training room for public instruction. In addition, renovations continue at the Humanities and Social Sciences Library. The infill building under construction in the south courtyard will be completed by the end of Calendar 2001. The Miriam and Ira D. Wallach Division of Art, Prints and Photographs is undergoing a complete renovation, encompassing two public reading rooms, collection storage areas and staff offices. The first of these reading rooms opened in November 2000. The new building is scheduled to open in Fiscal 2002.

PUBLIC LIBRARIES

Technology

- During Fiscal 2001, 3,829,528 Internet users accessed NYPL's Web site. In addition, NYPL patrons logged 5,254,522 user sessions on NYPL public computer terminals in Fiscal 2001.
- In Fiscal 2001 NYPL introduced receipt printers at all circulation desks in order to improve the due date notification process for borrowers. The new printers work with NYPL's system to produce a printed slip for each item borrowed that shows the title of the item, borrower and due date. Slips may also be produced at borrower request, for returned items and paid fines and fees.
- During Fiscal 2001 NYPL initiated two new online services, "Ask a Librarian," an electronic reference request service and the Humanities and Social Sciences Library's public program brochure, which includes the opportunity to purchase tickets for listed programs.
- In Fiscal 2001 SIBL launched the New York Small Business Resource Center on its Web site, which provides information to users interested in starting small businesses in the City. The Web site includes a searchable database of small business service agencies and organizations in New York City and an e-reference service for Web site users, which includes users' answered questions by SIBL's Small Business Team librarians.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

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

PUBLIC LIBRARIES

QUEENS BOROUGH PUBLIC LIBRARY

Branch Programs

- During the Giuliani administration the Queens Borough Public Library (QBPL) developed and implemented a variety of programs for children and adults. During Fiscal 2001 QBPL conducted more than 27,000 program sessions covering a wide variety of topics, including multilingual studies, technology, cultural and business assistance. During Fiscal 2001 QBPL's programs were attended by 591,375 patrons.
- During Fiscal 2001, 432,664 children and teens attended 19,120 programs throughout the Queens Borough Public Library (QBPL) branches and the Central Library's Youth Division. Activities included preschool story hours, after-school programs, teen time and career information for teens, as well as cultural and literature-based programming for all ages.
 - During Fiscal 2001 QBPL offered several major programs for children, including the Summer Reading Club, in which over 17,000 children and an estimated 1,750 teens participated, an increase of 23 percent from Fiscal 2000. This reading enrichment program for children and teens encouraged participants to read for pleasure and participate in library "club" activities, including arts and crafts, creative dramatics, story hours and science workshops.
 - During Fiscal 2001 QBPL sponsored several early childhood programs such as the Summer 2000 "Read-To-Me-Club," for 3,999 preschoolers who are read to regularly by adults or older children. Additionally, over 18,000 preschoolers ages 2½ to 4 participated in QBPL's Toddler Time and 5,030 parents and children attended the Toddler Learning Center workshop series. During Fiscal 2001 QBPL also expanded its Connecting Libraries and Schools Program (CLASP) program to support universally available Pre-Kindergarten. This effort included 83 early education programs, reaching 1,651 preschoolers with the four largest programs being kindergarten open houses that attracted 255 persons. QBPL also expanded early childhood learning programs, which were attended by 192 patrons, and included family literacy workshops and day-care provider training.
 - In Fiscal 2001 QBPL's education assistance programs were facilitated through CLASP's boroughwide implementation, providing 720 programs that were attended by 156,285 participants. In addition, "After School Science Plus," pre-packaged hands-on science enrichment programs, were offered at the Flushing Library. The Open School Nights program, which was held at the start of the school year and assisted parents by acquainting them with local schools, teachers and curriculums, attracted an average of 61 patrons per session for each of 30 sessions participated in by QBPL.
 - QBPL's Latchkey Enrichment Program attracted 131,003 children in Fiscal 2001, compared to 124,324 children in Fiscal 2000. The program was offered in 7,023 sessions at 33 of QBPL's 63 libraries.
 - During Fiscal 2000 QBPL launched an innovative program to keep young adults in school and out of trouble. The program targets young adults who have the potential to succeed in school, but whose environment may not be supportive. Participants attend an after-school Homework Assistance Program three afternoons a week at the Arverne Branch; the program is monitored by a certified teacher with a doctorate in education.

PUBLIC LIBRARIES

- QBPL's Summer Reading Program, "2001: A Reading Odyssey" began in June 2001 and reached over 20,000 children and an estimated 1,750 teens. QBPL's Summer Reading 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. It was also featured in "Kids World Queens," a brochure listing children and family events; the brochure is used by nearly 1 million readers throughout the borough.
- The Job Information Center (JIC), located in the Central Library, has a variety of services for people who are unemployed, underemployed or searching for new career directions. In Fiscal 2001 JIC conducted 47 Career Exploration Inventory programs, based upon an adult self-scored evaluation to help people select careers that best suit their interests; and 52 "Résumé Writing and Job Interview" workshops used by more than 600 patrons, which also included Chinese language workshops and 17 JIC orientation presentations to more than 200 patrons. A second JIC, opened at the Flushing Library, became operational in January 2001. During Fiscal 2001, 12,686 adults used JIC, including 252 CEI participants.
- During Fiscal 2001 QBPL offered programs to assist new and developing businesses in the Queens community. Four community-based programs provided 165 participants with instruction on writing grant proposals and two series offered basic business classes to 189 patrons in 14 sessions. A series of classes instructing teen entrepreneurs on business basics was held at the Central Library. QBPL also provided a series of programs on entrepreneurial skills, such as "Marketing Your Business" at the Central Library and the Far Rockaway Small Business Resource Center. In addition, QBPL prepared a guide, in four languages, to library resources for business. The guide was widely distributed through direct mail and in library branches. QBPL also provided a multilingual guide for doing business in Queens in English, Chinese, Spanish and Korean, and on the Library Web site for easy access.
- During Fiscal 2001 QBPL offered programs to assist its patrons in learning and navigating the Web. The Senior Net Mentor Program, implemented in five branch locations, employed seniors and targeted senior customers for peer-to-peer support; it assisted seniors in developing skills necessary to search the Internet, navigate the Library's Web site and locate materials through QBPL's online catalog. The Central Library and the Jackson Heights CyberCenter offered training in standard office programs, typing tutorials and the World Wide Web. The Flushing Library held weekly classes in multiple languages in searching the library's catalog and WorldLinQ. Far Rockaway's "Summer Computer Camp" for children met weekly during Summer 2001 and offered children an introduction to Web design, graphics and publishing. During Fiscal 2001 QBPL also introduced e-books, which are available 24 hours a day, seven days a week.
- During Fiscal 2001 QBPL continued to offer cultural programs to Queens residents, including 102 programs that were offered by the New Americans Program (NAP) and the International Resource Center; these programs reached 7,667 patrons. The most popular programs were the Chinese New Year Festival, which was attended by 1,300 patrons, and the Hispanic Heritage Festival, which had 275 participants. Both festivals included craft programs, dance and music, story telling and puppetry. In addition, QBPL's Haitian mini-festival, which included an author presentation, attracted over 250 patrons. The "Dancing Swords: Marital Arts in Chinese Opera" cultural arts programs, which are promoted through local newspapers, flyers in QBPL agencies and are presented free of charge, were attended by 227 patrons.

Multilingual Services

- QBPL's NAP offers several coping skills programs in multiple languages on topics such as preparing for high school, job-hunting skills, how to become a home health aide, understanding the managed health care system and adjusting to cultural differences in gender roles. In Fiscal 2001, 296 patrons attended 10 coping skills programs.

PUBLIC LIBRARIES

- QBPL's Adult Learner Program (ALP) and Adult Learning Centers (ALC) offer free English for Speakers of Other Languages (ESOL) courses for individuals age 16 and over at the Central Library and 28 branches throughout the borough. During Fiscal 2001 ALP offered 99 ESOL classes with an estimated enrollment of 2,862 students, representing 85 countries and 47 languages. ALP also offered seven ESOL literacy classes with an estimated total enrollment of 109 students. In Fiscal 2001 more than 232,000 patrons visited ALCs, including 713 literacy and 2,862 ESOL students, compared to more than the 200,000 patrons who visited ALCs in Fiscal 2000.

Library Services and Facilities

- QBPL has steadily increased the average weekly hours of service in its branches by 1.4 hours, from 41.5 hours in Fiscal 1996 to 42.9 hours in Fiscal 2001. Correspondingly, QBPL increased its circulation by 12 percent, from 15.03 million items in Fiscal 1996 to 16.83 million items in Fiscal 2001.
- During Fiscal 2001 QBPL offered two books-by-mail programs. QBPL's traditional Mail-a-Book services served 634 homebound customers and NAP mail-a-book program provided 15 customers with materials in Chinese, French, Greek, Italian, Korean, Russian and Spanish. This service is targeted to new immigrants as an introduction to public library services.
- In Fiscal 1999 the Long Island Division of the Queens Library opened to the public its print and digital archives of the four counties of Long Island: Kings, Queens, Nassau and Suffolk. In Fiscal 2000 QBPL opened the new 23,000-square-foot Langston Hughes Community Library and Cultural Center in Corona and the new 13,500-square-foot South Jamaica branch. In addition, in Fiscal 2000 the Woodside and the Fresh Meadows branches were reopened following major renovations. In Fiscal 2001 the design phase continued for two new branches of approximately 18,000 square feet each in Long Island City and Cambria Heights. This 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.

Technology

- Since 1996 WorldLinQ™ has brought international Web sites to library customers. Recent improvements to the Web site include better organization, the addition of a common subject heading scheme used throughout the language sites and user-interface upgrades. In June 2000 the Spanish, Russian, Korean, Taiwan and Chinese links were updated. During Fiscal 2001 QBPL added subscriptions to databases located in China, Hong Kong and Korea.
- In Fiscal 2000 videoconferencing increased QBPL program participation by greatly expanding and enhancing the programs offered, including live and interactive programs for children. During Fiscal 2001 more than 70 children from Astoria and Jackson Heights participated in an interactive program featuring California-based author Gary Soto.
- QBPL is working to enable access to InfoLinQ™, the library's catalog, in multiple languages, including those that are not based on the Roman alphabet. English, French, Spanish, Chinese and Korean have already been enabled. In the future, readers of Russian, Japanese and other non-Romance languages can access InfoLinQ™ in their preferred language. Staff will be able to add bibliographic references that use Cyrillic letters as well as other characters as they are made available by the Library's vendor.

PUBLIC LIBRARIES

- During Fiscal 2001, 172,728 customers used the public computer workstations at the Central Library's Cyber Center, which continued community outreach training programs, including an introduction to computers and the World Wide Web as well as basic word processing and spreadsheet applications. A total of 2,651 participants attended these programs.
- In Fiscal 2001 QBPL provided access to 17 reference databases, which offer a full range of databases covering alternative health, business, biographies, literature and a full text Spanish Language database. Other databases include New York Online Access to Health; NoveList, a reader's advisory tool that helps patrons select fiction; eLibrary, a student database; and Poem/Story Finder, which provides full texts of short stories and poems. Patrons with a QBPL card may now search these databases from a computer at home, work or school. Databases also include photo files, full-text articles from thousands of newspapers and periodicals in English, Spanish and other languages, maps, and other frequently used resources.
- In December 2000 QBPL computer systems were upgraded to enable library personnel to accept and respond to reference inquiries via e-mail through the new InfoLine/Ask-A-Librarian e-mail reference service. Between December 2000 and June 2001 approximately 1,000 customers used the service, which helps make library services available to additional users from Queens and around the world. In addition, a reference database in Russian was added to the research suite in Fiscal 2001.
- In Fiscal 2001 QBPL made available a total of 15 electronic databases to QBPL card holders via the library's home page, www.queenslibrary.org, and 206 additional databases via on-site terminals. QBPL estimates during Fiscal 2001 more than 375,000 unique visitors have used the QBPL Web site, and between December 2000 and June 2001 approximately 1 million repeat visitors per month returned to use QBPL's Internet site.
- In February 2001 QBPL initiated an On-Line Book Club as part of its Web site. The book club allows patrons to register online for the service and then e-mails them segments of electronic books on a regular basis. Additionally, in June 2001 QBPL began making e-books available via its netLibrary.

PUBLIC LIBRARIES

LONG-TERM TRENDS IN AGENCY OBJECTIVES

Queens Public Libraries	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001
Circulation (000)	15,550	16,065	17,534	17,239	16,829
Circulation per Capita	8	8.2	8.9	8.8	7.5
Items Purchased (a)	601,098	1,032,569	1,018,095	964,172	871,902
Average Weekly Hours	41.5	42.5	42.5	42.5	42.9
Reference and Information Queries (000)	2,485	2,507	2,524	2,960 (b)	3,345
Connecting Libraries and Schools Projects – Students Reached (c)	31,764	64,368	81,109	133,074	156,285
Connecting Libraries and Schools Projects – Schools (c)	50	111	141	227	411
Connecting Libraries and Schools Projects – School Districts (c)	1	3	3	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 is due to 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 CLASP expanded to serve students in private and parochial schools

CONNECTING LIBRARIES AND SCHOOLS PROGRAM (CLASP)

- In Fiscal 2001 the Connecting Libraries and Schools Program (CLASP) was expanded to reach all 33 school districts through 16,101 CLASP programs at 1,278 schools for 620,793 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, 24,967 teachers, administrators and parents participated in CLASP-sponsored workshops, parenting programs or family literacy events. For Fiscal 2001 the Libraries received \$15.1 million in City funding for CLASP.
- The number of students being reached by the CLASP program has dramatically increased over the previous seven fiscal years: 66,965 in Fiscal 1995, 118,072 in Fiscal 1996, 113,498 in Fiscal 1997, 185,931 in Fiscal 1998, 235,131 in Fiscal 1999, 442,836 in Fiscal 2000 and 620,793 in Fiscal 2001.

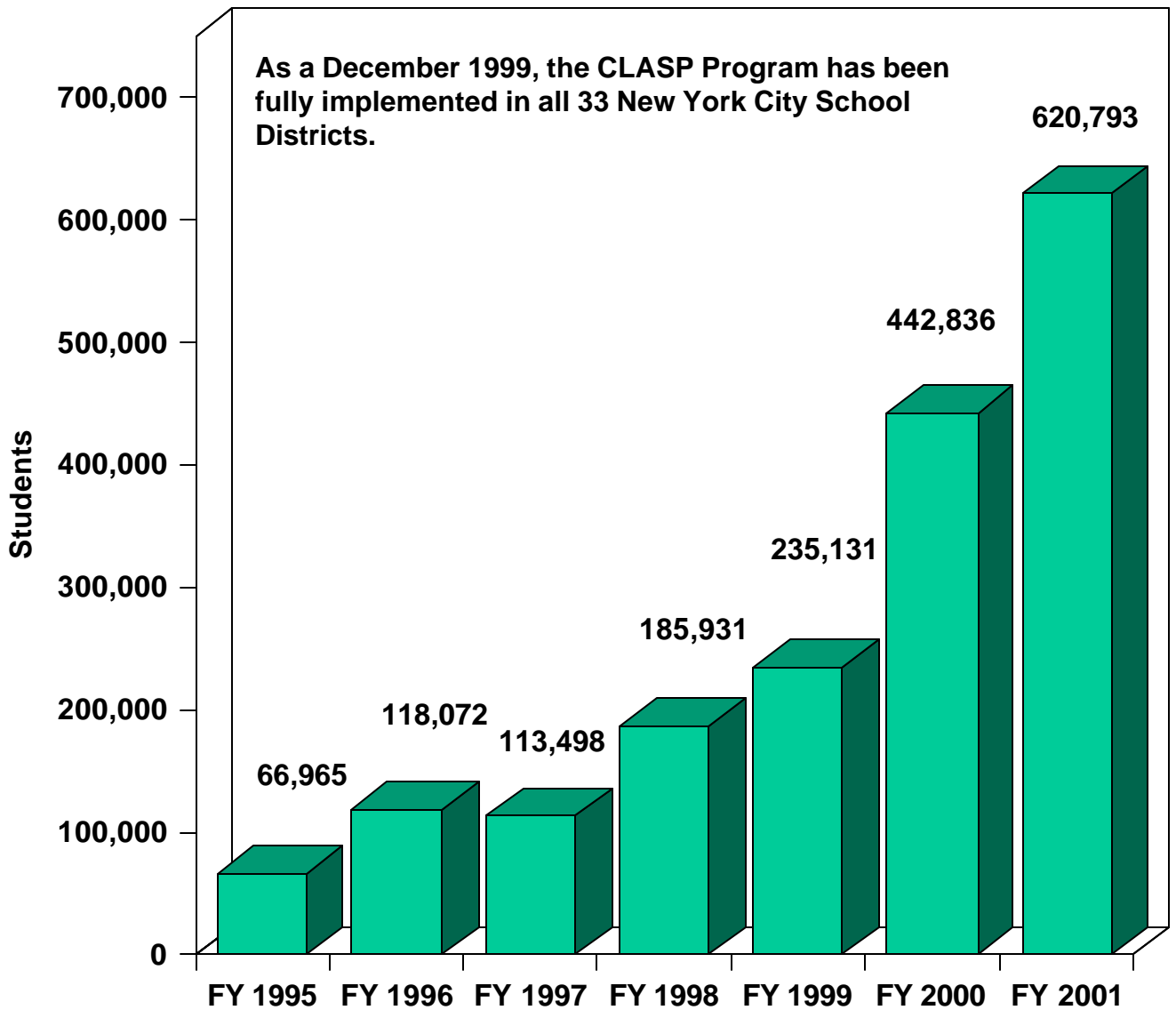
PUBLIC LIBRARIES

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Libraries' combined City-funded expenditures were \$383 million, compared with its plan of \$244.7 million; headcount was 3,929 compared with its plan of 3,974. Its Fiscal 2000 expenditures were \$232.5 million, and headcount was 3,964.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$131.4 million and a planned headcount of 4,036.

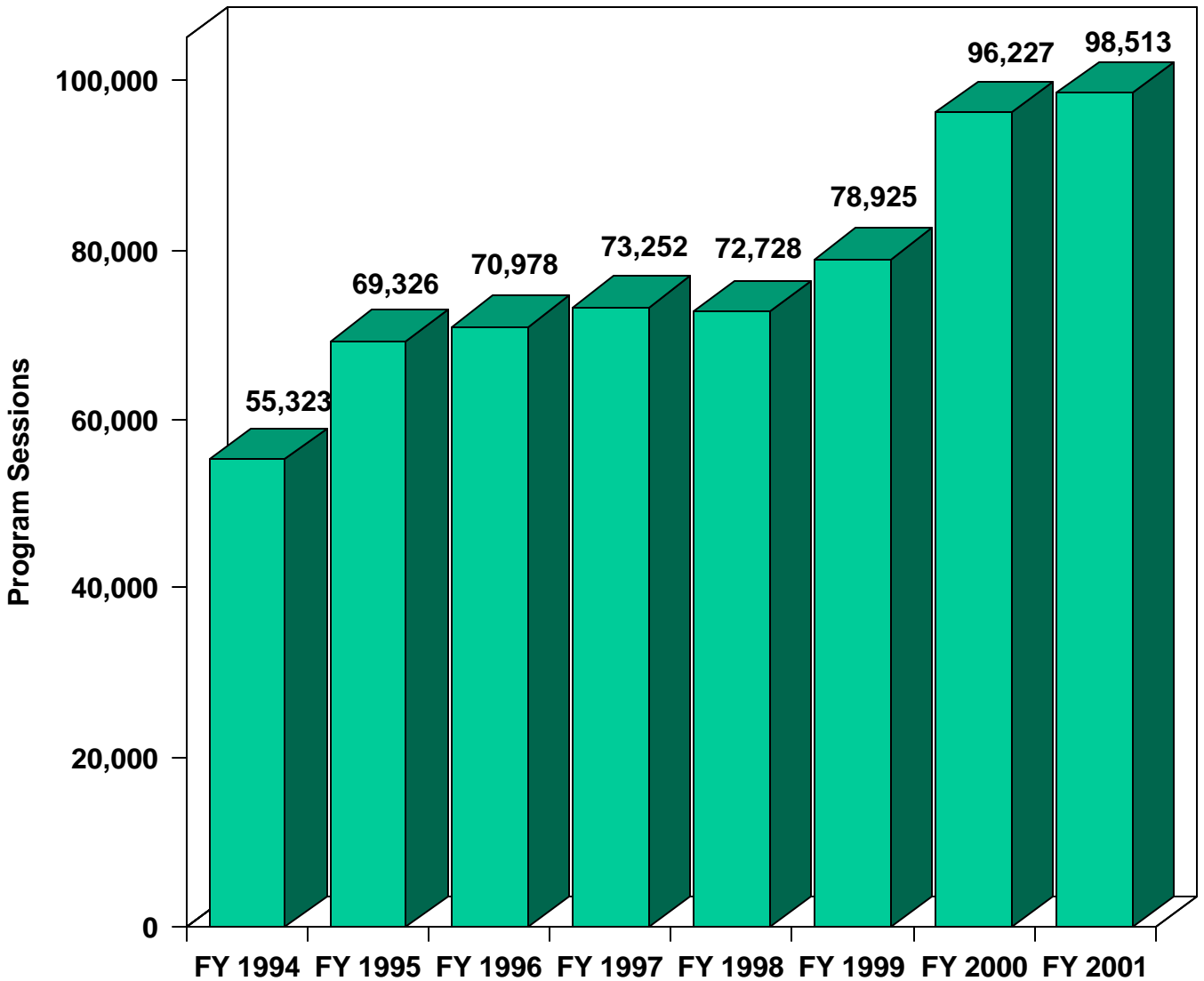
Public Libraries

Connecting Libraries and Students Project (CLASP) Students Reached Fiscal 1995 - 2001



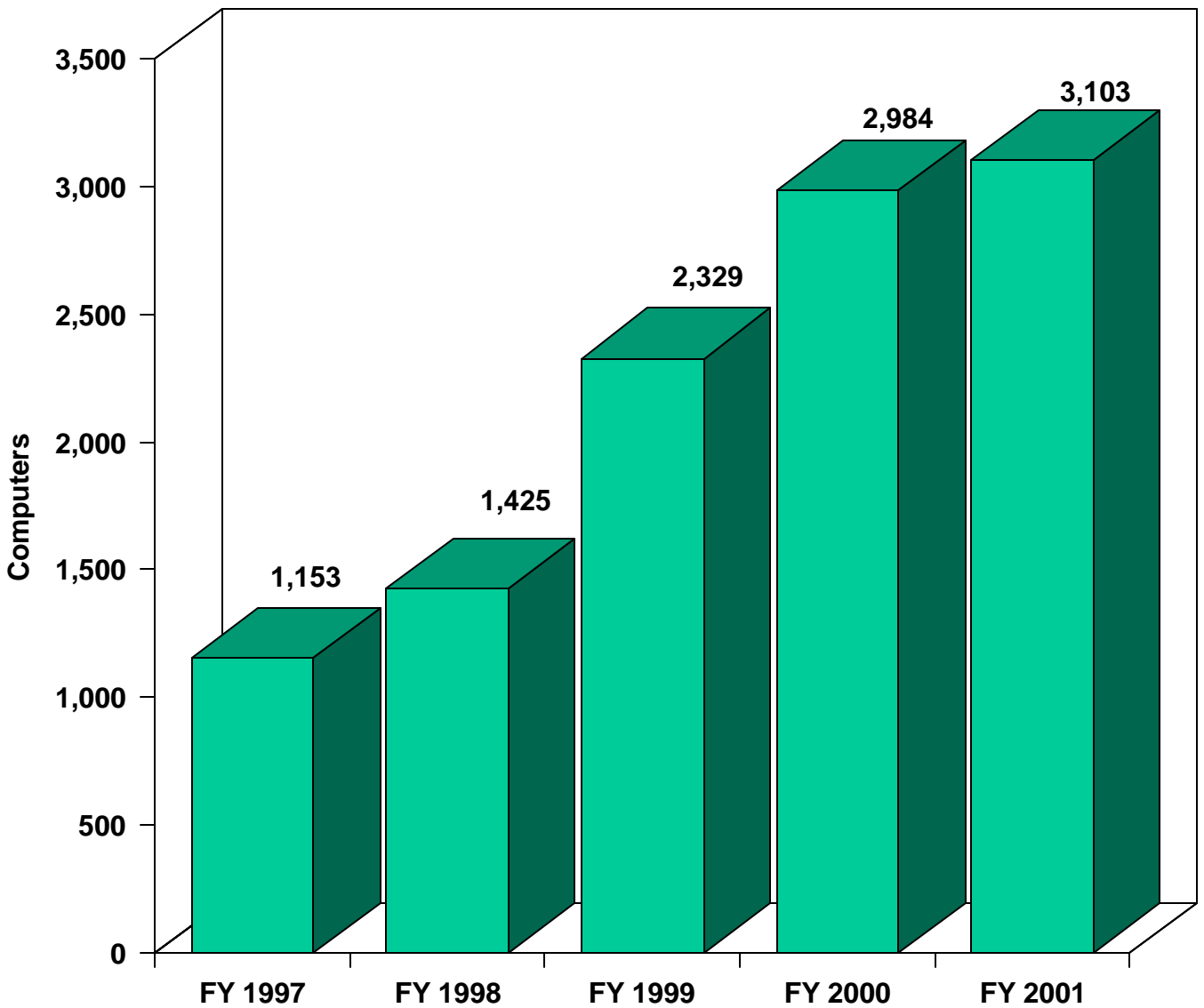
Public Libraries

Program Sessions Conducted Fiscal 1994-2001



Public Libraries

Internet-Connected Computers Fiscal 1997-2001



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 to 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	FY 01 Actual	FY 02 Plan
Conduct outreach to 7,000 businesses through cold calling, business seminars and visits to local business and community organizations.	5,184	6,000
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.	1,626	1,900
Resolve 100% of registered business assistance requests within 30 days.	97%	100%

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

Objective	FY 01 Actual	FY 02 Plan
Provide \$3.5 million in Energy Cost Savings Program benefits, helping 130 businesses that employ approximately 7,000 workers.	\$4.0 million / 109 firms / 6,745 workers	\$4.0 million / 130 firms / 7,000 workers
Approve 10 commercial office towers for Lower Manhattan Energy Program benefits.	5	10

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

Objective	FY 01 Actual	FY 02 Plan
Certify 20 businesses as eligible to participate in the Locally Based Enterprise program.	33	40
Assist 800 companies in securing bid information and increase participation of City agencies in the Bid-Match process.	915	1,000
Conduct 500 initial counseling sessions with prospective firms to provide marketing and technical assistance.	1,000	1,000

DEPARTMENT OF BUSINESS SERVICES

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

Objective	FY 01 Actual	FY 02 Plan
Assist three potential Business Improvement District sponsors to develop proposals.	3	1
Continue providing oversight and technical assistance for the operation of all Business Improvement District programs and services.	100%	100%
Evaluate all Business Improvement Districts' effectiveness based in part on the Mayor's scorecard (cleanliness), marketing and promotion efforts, and increase in new businesses or increase in retail sales as reported by individual businesses.	100%	100%
Fund 80 local development programs with \$5 million in tax levy and Community Development Block Grant revenues.	92 programs / \$5.6 million	92 programs / \$5.6 million

HIGHLIGHTS AND ACHIEVEMENTS

BUSINESS ASSISTANCE AND OUTREACH

- During the Giuliani administration the Department of Business Services' (DBS) City Business Assistance Program (CBAP) broadened the type of information distributed to merchants and retailers. In Fiscal 2001 this included the City Tax Benefit Guide, the Retail Benefits Guide, the Recycling Information Fact Sheet, the Small Business Administration's Resource Guide, the Economic Development Corporation's Business Essentials Guide and the Business Outreach Center's borough-specific business information. CBAP also developed a library of information from other public and private sources to support businesses, which includes brochures and pamphlets covering topics such as anti-graffiti initiatives, licensing and permits, procurement opportunities, recycling rules and regulations, and Internet uses for businesses. CBAP's agents continue to contact businesses through "cold-calling," and visiting businesses in commercial areas to introduce themselves and DBS services. Additionally, CBAP staff coordinates anti-graffiti programs, distributes information to businesses regarding street and sidewalk reconstruction projects, and collaborates with City agencies regarding business concerns.
 - Beginning in Fiscal 1997 DBS introduced an initiative to help business owners comply with City regulations and avoid summonses. CBAP agents visit commercial districts to advise business owners on City rules and procedures governing stoopline laws, sidewalk laws, sidewalk cleaning and outside vending. DBS expanded the initiative to Chinatown, Brighton Beach, Jackson Heights, Woodside, Rockaway and 86th Street in Bensonhurst during Fiscal 1998. By the end of Fiscal 2001 DBS implemented the initiative in Jamaica, Washington Heights, Central and East Harlem, Fordham, Flushing, Bedford-Stuyvesant and Flatbush. These efforts continue to improve the business environment and keep businesses informed of their obligations.
 - In October 2000 CBAP staff coordinated an effort with the Mayor's Anti-Graffiti Task Force to contact over 330 businesses in Manhattan's East Village to obtain graffiti removal waivers from property owners. In Fiscal 2001 CBAP also conducted seminars with merchant associations to promote and explain City services.

DEPARTMENT OF BUSINESS SERVICES

- In January 1998 DBS created the Emergency Response Unit (ERU), which works directly with the Mayor's Office of Emergency Management (OEM) to respond to disasters in the five boroughs, assist businesses affected by disasters to help them obtain information necessary for insurance claims and relocation efforts, if necessary, as well as retrieve merchandise and important documents from the disaster area. Eligible businesses can also receive up to \$1,000 through the City's Business Emergency Grant program. Additionally, ERU assists businesses in receiving Federal Emergency Management Administration (FEMA) low-interest loans by compiling evidence in support of business assistance claims due to economic injury.
 - During Fiscal 1998 ERU responded to 16 business-related disasters, including coordination of efforts to help 70 businesses affected by the Fifth Avenue water main rupture in January 1998. In Fiscal 1999 ERU assistance included providing critical aid to 272 businesses forced to close due to the July 1998 Times Square scaffolding collapse. During Fiscal 2000 ERU responded to 27 disasters citywide and assisted over 500 businesses, including 134 businesses affected by the 14th Street flooding and over 50 businesses affected by a water main break in Lower Manhattan. In Fiscal 2001 ERU responded to 19 City disasters, including commercial fires, falling façades, building collapses and water main breaks and assisted over 325 businesses.
 - In Fiscal 2001 ERU, in conjunction with OEM, adopted a new initiative, the Corporate Emergency Access System, which identifies employees whose functions are considered critical to businesses' ongoing viability and permits their access to disaster sites to allow operations to continue until normal conditions are restored. ERU and OEM also collaborated in composing a Business Owner's Guide to Small Business Administration Economic Injury Disaster Loans brochure, which outlines information when a business qualifies for Economic Injury Disaster Loan assistance.
- In Fiscal 2001 the Vendor Initiative Division (VID) offered free business basics and computer classes to street vendors and micro-entrepreneurs. The courses are part of VID's efforts to upgrade prospective entrepreneurs' knowledge of business operation. The computer course offers hands-on instruction in using word processing and spreadsheet software, e-mail and the Internet, and is promoted through DBS' home page on NYC.GOV, the City's official Web site, and Agency brochures. During Fiscal 2001 VID conducted 29 business basics courses with an attendance of approximately 1,200 clients, 52 computer classes with an attendance of over 1,500 clients and three technical assistance classes with an attendance of approximately 800 clients. VID promoted these courses by flyers, newsletters, brochures and radio ads.
- The Bid-Match program enhances contracting opportunities for certified small businesses by providing notice of contracts valued at under \$25,000. Using e-mail and facsimile machines, the Bid-Match program reduces the cost of providing bid information from the 24 participating City agencies to prospective vendors and contractors. In addition, the program offers training on proper bidding procedures and assists companies with payment resolution. In Fiscal 2000 the Bid-Match system was upgraded to offer increased accuracy and efficiency in tracking and disseminating bid opportunities. At the conclusion of Fiscal 2001, there were 915 firms in the Department's new Bid-Match database, 34.6 percent more than the 680 firms in Fiscal 2000. During Fiscal 2001 DBS assisted more than 900 companies in obtaining bid information.
- In April 2000 the Mayor created HealthStat, a comprehensive citywide initiative to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, over 20 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 150,000 individuals have been enrolled in public health insurance programs.

DEPARTMENT OF BUSINESS SERVICES

- DBS has disseminated information about HealthStat to the business community through a variety of means. DBS worked with Business Improvement Districts, Local Development Corporations, and other business groups to sponsor “Health Enrollment Days,” which offered businesses and merchants direct information on HealthStat coverage from HealthStat enrollers. At the request of DBS, organizations also included articles describing the HealthStat initiative in issues of their newsletters and newspapers. DBS also distributed HealthStat information packets at business seminars, conferences and forums. In partnership with local retail businesses, health insurance information was distributed in customer shopping bags and on countertops. In January 2001 HealthStat posters became available and DBS distributed posters to local businesses directly and through local business groups. During May 2001 DBS began coordinating with local business groups for participation in street festivals and fairs to provide enrollment opportunities for participating health plans.

BUSINESS DEVELOPMENT

- During the Giuliani administration DBS worked to provide entrepreneurs the fundamental principles necessary to start and operate a business through the Business Basics Course. In Fiscal 2001 more than 3,500 clients attended 84 sessions of the Business Basics Course. The curriculum includes developing a business plan, marketing and managing a business, business operations, bookkeeping and accounting fundamentals, and business financing. Course materials include the “Business Owner’s Tool Kit – Launching Your First Small Business,” and graduates receive ongoing access to DBS computer labs and technical assistance.
- In Fiscal 2001 the City renewed seven Business Improvement District (BID) contracts. During Fiscal 2001 the City Council and Mayor Giuliani approved the creation of a new BID in Kingsbridge, the Bronx and a new BID in Bay Ridge, Brooklyn. DBS anticipates another BID, to be located in East Mid-Manhattan, will complete the approval process by the end of September 2001, for a total of 44 BIDs. During Fiscal 2001 DBS added another level of ensuring BID accountability by implementing the use of a BID compliance checklist as an additional oversight tool. The compliance checklist provides information on the BID’s District Management Association’s compliance to contract requirements and includes reviews of the BID’s supplemental services, general liability insurance, annual and audit reports, and conflict of interest issues.
- In Fiscal 2001 DBS’ Commercial Revitalization Program (CRP) contracted with 92 local development corporations to implement commercial revitalization efforts in targeted commercial strips throughout the City. Revitalization efforts include façade improvement, capital improvements, marketing and merchant organizing. Approximately \$5 million has been designated for this effort. During Fiscal 2001 CRP funded 14 programs in the Bronx, 35 in Brooklyn, 15 in Manhattan, 21 in Queens, six in Staten Island and one citywide. All programs provided revitalization initiatives to merchants in the programmatic area, including improvements to public areas, promotional events, merchant organizing and technical assistance.
- DBS is responsible for providing security, supervision and enforcement at designated City wholesale markets, including the Fulton Fish Market. The administration’s first annual report to the City Council regarding “Activities at the Fulton Fish Market,” dated October 31, 1996, reported that City efforts have resulted in a 2 percent decrease in wholesale prices. The report, which relies on information from the United States Department of Commerce, compared the average price for the 20 fish with the highest sales volume from September 1994 to August 1995, to the average price for the same fish from September 1995 through August 1996.

DEPARTMENT OF BUSINESS SERVICES

- In Fiscal 2001 DBS certified 121 companies, including a Hunt's Point food-processing equipment manufacturer employing approximately 100 people, as eligible to participate in the Empire Zones (EZ) program. This increases the total number of EZ certified companies to 792. Certification requires companies to have their business credentials verified by the State and be physically located in EZ areas. Employers annually increasing 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, that 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 cause in commercial areas. In Fiscal 2001 VOC coordinated over 20 enforcement sweeps against illegal vendors, including Fulton Street in Lower Manhattan, Fulton Street in Brooklyn, Jamaica Avenue in Queens, Chinatown, Midtown, Harlem, and portions of the Bronx.
- In Fiscal 2001 more than 200 vendors were using the three vendor markets located at Flatbush/Caton in Brooklyn, West 116th Street in Harlem and Fordham in the Bronx. Due to the development of an enclosed facility, the Flatbush/Caton market was closed in February 2001 and is scheduled to reopen in Fall 2001. The markets were established by DBS' VID; each market has a nonprofit manager who oversees the daily operation of the market. During Fiscal 2001 DBS, as part of the Mayor's Fulton Street revitalization initiative, identified a site for the placement of vendors on Fulton Street in the Bedford-Stuyvesant section of Brooklyn. A local sponsor was chosen and the new market opened on Memorial Day weekend, accommodating 60 vendors.
- The Executive Volunteer Corps (EVC) Business Action Center and NY*MAGIC Hotline, which are part of the Business Development Center (BDC), provide a full range of business development services. In Fiscal 2001 EVC provided counseling to nearly 4,000 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, as well as provide information on licensing, developing business plans, and marketing and promotions. In addition, EVC provides listings of sites for businesses to locate or expand their operations. In November 2000 the program began an initiative 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. By a revised date of October 2001 EVC will establish the same online information service with 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 Fiscal 2001 ECSP approved 109 projects affecting 6,745 jobs.

TECHNOLOGY

- During Fiscal 2001 the Department continued to make Bid-Match information more accessible. The Bid-Match System allows selected City agencies to post bid solicitations via the City's intranet and distributes these solicitations via Internet e-mail. In coordination with the E-Government Office, in Fiscal 2001 the Department began to evaluate the feasibility of making this information widely available through the Department's home page on NYC.GOV. The Bid-Match system operates on the intranet, but the 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.

DEPARTMENT OF BUSINESS SERVICES

- During Fiscal 2001 the number of visits to the Department's home page on NYC.GOV increased by 73 percent, from 38,752 views during Fiscal 2000 to 67,033 views in Fiscal 2001. In addition, the DBS Guide to Business Services is now fully accessible on the Internet via the NYC.GOV Web site.

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Department's expenditures were \$45.2 million, compared with its plan of \$51.9 million; headcount was 145, compared with its plan of 155. The Department's Fiscal 2000 expenditures were \$53 million, and headcount was 152.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$43.9 million and a planned headcount of 151.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

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

- (a) The decrease was due to delays in the enactment of new legislation to allow the approval of more projects by the Energy Cost Savings program.
- (b) The higher number for ECSP in estimated annual savings for Fiscal 1997 reflect a large number of applicants with larger-than-average energy loads.
- (c) The increase in both Fiscal 1999 and Fiscal 2000 is attributable to several large employers, such as warehouses, receiving ECSP benefits.
- (d) CBAP/ERU experienced staff attrition during this period.
- (e) The increase in both Fiscal 1999 and Fiscal 2000 is attributable to several large disasters, such as the Times Square scaffolding collapse, which affected a large number of businesses.
- (f) 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	FY 01 Actual	FY 02 Plan
Approve 25 Financing Initiatives Industrial Development Bond applications.	49	30
Close 15 Financing Initiatives Industrial Development Bond transactions with a total value of \$700 million.	31 transactions / value of \$255 million	20 transactions / value of \$1.6 billion

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

Objective	FY 01 Actual	FY 02 Plan
Approve 21 Small Industry/Industrial Incentive Program applications.	21	22
Close 20 Small Industry/Industrial Incentive Program transactions with a total value of \$50 million.	18 transactions / value of \$67 million	20 transactions / value of \$50 million

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

Objective	FY 01 Actual	FY 02 Plan
Begin 15 capital projects.	15	25
Complete 14 capital projects.	15	18

HIGHLIGHTS AND ACHIEVEMENTS

BUSINESS RETENTION AND RECRUITMENT

- During the Giuliani administration the Economic Development Corporation (EDC) secured commitments from a total of 76 major companies to stay in the City for 10 to 50 years. These commitments represent an estimated 117,249 jobs retained, 92,346 jobs created and City tax revenue of \$1.8 billion annually over the next 10 to 50 years.
 - The total number of retained companies increased during the previous five fiscal years: eight each in Fiscal 1997 and Fiscal 1998, 11 in Fiscal 1999, 27 in Fiscal 2000 and eight in Fiscal 2001, for a total of 62 companies.
 - In March 2001 the Business Retention Division retained a Canadian-based bank, resulting in 2,712 retained jobs and creating 2,800 new jobs over the next 18 years.
 - In April 2001 the Division retained a major American life insurance provider, retaining 1,750 jobs and creating 558 jobs over the next 20 years.
- Since its inception in April 1996 the Recruitment Division has focused its marketing efforts on bringing a total of 179 businesses and 3,701 jobs to the City by the end of Fiscal 2001. The total number of businesses recruited to the City has grown from four in Fiscal 1997 to 179 in Fiscal 2001. Correspondingly, the number of jobs recruited during the last five fiscal years has also increased from 85 in Fiscal 1997 to a five-year total of 3,943 in Fiscal 2001.

NEW BUSINESS DEVELOPMENT

- In Fiscal 2001 the Giuliani administration continued to focus 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. These programs provide a variety of services, which include arranging for tax exemptions and waivers as well as issuing low-cost tax-exempt bonds.
 - During Fiscal 2001 IDA, which provides low-cost financing for manufacturers, 501(c)(3) nonprofit entities and special exempt facilities, closed 31 transactions for a total amount exceeding \$255 million. Financing was extended to firms in the medical and social service industries. Improvements permitted by this financing affected 26,989 jobs, retained 1,110 jobs and will create 679 jobs during the next three years.
 - During Fiscal 2001 the IDA enhanced its Civic Facility Pooled Bond Program, an initiative to assist agencies serving individuals with developmental disabilities. The pooled approach combines financing for eligible projects to expedite the approval process and lower borrowing costs. In Fiscal 2001 IDA closed projects representing \$10.4 million in financing, affecting 3,026 existing jobs and creating an estimated 109 jobs within three years.

NYC ECONOMIC DEVELOPMENT CORPORATION

- During Fiscal 2001 SI/IIP closed 18 transactions for a total amount of \$67 million. SI/IIP provides eligible industrial companies with a partial exemption of real property taxes. Assistance in the form of tax exemptions was provided to companies, thereby retaining 610 jobs and creating 359 new jobs during the next three years.
- During Fiscal 2001 New York City Capital Access, which is a public-private lending program that enables banks and community development credit unions to make loans to small and medium-size businesses that fall below the criteria for conventional bank loans, assisted 33 businesses, retained 292 jobs and will create 183 jobs during the next three years. Term loans and lines of credit, ranging from \$1,500 to \$1 million, may be used for working capital, real estate acquisitions, machinery and equipment, and physical improvements to real estate. Assisted industries include media and new technology, computer services, textiles and fashion.
- The Emerging Industries Fund (EIF) is a \$25 million fund that provides debt and/or equity financing to small, promising hi-tech and biotechnology-related companies in New York City. During Fiscal 2001, 91 firms submitted plans for review and EIF approval. In June 2001 EIF's advisory board approved investment of approximately \$600,000 in a growing biotechnology company. This financing package will close by the end of Summer 2001.
- EDC has been especially successful in attracting the new media industry through its national and international marketing campaign. "Digital NYC: Wired to the World," a program to support digital high-technology zones, is promoted through the marketing campaign. In Fiscal 2001 there were eight active high-technology districts. These districts cluster high technology and related businesses in nontraditional business communities by adapting or constructing buildings for large-scale technology needs. Since the start of the program in Fiscal 2000, 58 new businesses leasing 418,000 square feet have been established in these districts, helping to retain and create 745 jobs.
- During Fiscal 2001 EDC granted low-cost electricity benefits to 41 small manufacturing and industrial companies that promised to invest in their facilities and create new jobs. These energy assistance programs enabled companies to lower their electricity costs by up to 20 percent and helped them create over 600 new jobs in the City. Businesses receiving assistance included manufacturers, printers and wholesale distributors.
- In January 2001 EDC closed a \$2.5 million Urban Development Action Grant loan with a start-up business that manufactures and sells glass-based, synthetic stone building tiles, which are made from recycled glass and concrete. The facility, located at the Brooklyn Navy Yard, promotes the environmental benefits of waste reduction and recycling by creating a market for discarded glass, and will create 56 jobs by December 2002.
- The \$8 million Printer's Relocation Fund (PRF) assists commercial printers and graphic arts companies committed to locating within New York City. Eligible businesses can obtain reimbursement for up to 50 percent, or \$200,000, for their moving costs. In Fiscal 2001 PRF accepted applications from 37 printing and graphic arts companies that are relocating within the City. PRF has reserved \$1.5 million in relocation assistance for these companies and this assistance is expected to result in the direct retention of 590 jobs.

TRANSPORTATION INFRASTRUCTURE AND WATERFRONT REVITALIZATION

- The Giuliani administration focused on improving and revitalizing the City's waterfront and rail infrastructure, including the Howland Hook Marine Terminal and the Staten Island Railroad (SIR). Howland Hook Shipping Terminal, the City's largest container terminal with 2,200 feet of berthing space, reopened in September 1996. Its 152 acres of upland and shed storage space represents the culmination of significant investments in the Marine Terminal. Investments included \$14 million in City funds to dredge the terminal's berth to enable the facility to receive the industry's largest containerships. In Fiscal 2001 the terminal handled 350,000 containers. Additionally, SIR, which was purchased by EDC in October 1994 and rehabilitated by April 1998, provides dockside rail service to the Howland Hook Marine Terminal and the a recycling plant. The rehabilitation lowers the cost of transporting goods in and out of New York City, boosts the local economy and reduces the City's reliance on goods transported by roads and bridges. A portion of \$11.5 million in City funds designated for SIR is being used to prepare the final engineering design for an extension of rail service to the Fresh Kills Transfer Facility and the paper recycling plant. Final design of the rail extension is expected to be completed by the end of Calendar 2001 and construction will commence in Spring 2002.
- In December 1999, as part of finalizing the Strategic Plan for the Redevelopment of the Port of New York, the U.S. Army Corps of Engineers completed its Harbor Navigation Study and recommended deepening New York Harbor shipping channels 50 feet to accommodate larger vessels. EDC is part of a regional consortium guiding the development efforts, which will incorporate the Strategic Plan into a Comprehensive Port Improvement Plan.
- The City is negotiating with a firm for the long-term management, operation and development of John F. Kennedy International and La Guardia airports. The two City-owned airports are managed by the Port Authority of New York and New Jersey and operate under a lease that will expire in Calendar 2015.
- In June 2001 EDC began the Environmental Impact Study (EIS) related to the recommendations made in the Cross Harbor Freight Movement Major Investment Study. EDC is co-leading the EIS with the Federal Highway and the Federal Railroad Administrations. The EIS will be completed in June 2003. Upon completion of the EIS, firm federal, State and local funding commitments will be sought for related construction.
- In March 2001 EDC designated a private operator of the 65th Street Rail Yard and is in negotiation for a three-year operating agreement for the facility, which includes a new rail float bridge. The agreement with the private operator will increase the rail yard's operational efficiency, enhance freight activity on the Brooklyn waterfront, increase jobs and revenue, and alleviate traffic congestion, air pollution and major City infrastructure deterioration due to truck traffic.
- In Fiscal 2001 EDC designated a leading port engineering firm and advanced the planning and design of Brooklyn waterfront rail improvements. This work will realign and modernize railroad tracks along First Avenue between the 65th Street Rail Yard and the South Brooklyn Marine Terminal, the Red Hook rail facility and its new rail float bridge. The rail float bridge will reestablish rail service to the Red Hook Marine Terminal and surrounding businesses. Construction is expected to begin in late Fiscal 2002. Additionally, two new container cranes were delivered in June 2001.

STADIUM PROJECTS

- On June 24, 2001 the stadium at St. George, Staten Island hosted opening day as the permanent home of the Staten Island Yankees minor league team. The stadium will host approximately 40 games per year and will be used for other entertainment, sporting, cultural, recreational, community and civic events. The games and events will serve as a catalyst for economic development in the St. George area.
- On June 25, 2001 the stadium at Steeplechase Park, Coney Island hosted opening day as the permanent home of the Brooklyn Cyclones, a Mets' minor league team. In addition to the new stadium, approximately \$11 million will be invested in boardwalk area improvements, including the installation and renovation of public bathrooms, changing facilities and sitting areas.

LOCAL NEIGHBORHOOD DEVELOPMENT

- The 42nd Street Project is the largest redevelopment project ever undertaken jointly by the City and the State, as well as one of the largest urban renewal projects in the nation. Once the entire project is completed, it will create more than 35,000 permanent jobs in the City and generate over \$4 billion in annual economic activity for the City and State. During the past six years, the City has made commitments of approximately \$110 million toward condemnations and renovations in the project area, which will be supplemented by private sector commitments of \$2 billion. The New Amsterdam Theater on 42nd Street was completed in March 1997 and opened to the public in May 1997. 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. Upon completion, the project will consist of more than 7 million square feet of new commercial space and two new hotels, which add more than 1,200 hotel rooms to the City.
- In September 1997 the only minority-owned commercial bank chartered in New York State relocated its corporate headquarters from Southern Boulevard to East 149th Street in the Bronx and opened a branch in the Third Avenue hub section of the South Bronx. The new branch replaced a branch of a large national bank that closed in March 1997. As a preferred small-business lender, this bank makes low-cost interest loans available to companies in the area it serves. The bank has also helped nonprofit organizations finance housing developments. Its agreement with EDC ensures that the bank will remain in the City for the next 20 years.
- In June 1998 Renaissance Plaza, the first hotel to be built in Brooklyn in more than half a century, opened its doors on downtown Adams Street. Planned for more than a decade, the complex contains the hotel and a conference center, a 31-story office building, retail shops and a garage. The building will also house a major insurance company that had planned to relocate from the City. The insurance company's 736 jobs will now stay in the City, and an additional 50 new jobs are projected over the course of the next 20 years. The hotel hired 250 employees to begin its operations; it is expected to increase both business activity and tourism in Brooklyn. Other space in the complex was occupied by City and community offices in Fiscal 1999. Renaissance Plaza is expected to generate \$306 million in economic activity each year, and as much as \$9.9 million in direct and indirect tax revenues annually.
- In June 2000 a developer broke ground on a 400,000 square foot mixed-use retail and entertainment project in Jamaica, Queens. The City provided \$11 million in capital budget funds towards the \$80 million project, which includes the construction of a two-level parking lot, a 15-screen state-of-the-art multiplex theater and 130,000 square feet of retail space. The project is expected to create 300 permanent jobs and will open in April 2002.

NYC ECONOMIC DEVELOPMENT CORPORATION

- In Fiscal 2000 EDC closed on the sale of approximately 900,000 square feet of land in Staten Island Corporate Park (SICP). In May 2000 a major hotel corporation began construction of a hotel with 150 rooms and 9,000 square feet of banquet space. The hotel, located adjacent to SICP and scheduled to open in late Fall 2001, will be part of a complex that also 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.
- The architectural and engineering design process for the St. George ferry terminal in Staten Island is nearing completion and construction will begin by the end of September 2001. In May 2001 bids were sought for the terminal's advance work, including abatement, demolition, utilities and foundation work. Construction is expected to begin by the end of September 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 will be released by October 2001 for construction to begin in early Calendar 2002.
- During Fiscal 2001 EDC continued to work with the Department of Transportation 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 the establishment of a construction work site, demolition of the slip number three portion of the terminal building, relocation and protection of public and private utility lines, installation of steel pipe piles and commencement of structural steel erection. Completion of this phase is scheduled for October 2001.
- In July 2000 EDC issued a Request for Expressions of Interest (RFEI) to manage and/or acquire the City's Off-Track Betting (OTB) franchise. Ten entities submitted responses to the RFEI and in October 2000 EDC issued a Request for Proposals (RFP) for the acquisition of the City's OTB franchise. In August 2001 the City accepted an offer to sell OTB for a projected sale price of up to \$389 million. The offer also provides for \$50 million in capital improvements to OTB locations throughout the five boroughs. The transaction is subject to approval and authorization by the State legislature and if approved, will be one of the largest and most profitable privatization deals in the City's history.
- In August 2000 EDC issued an RFP for the redevelopment of unused portions of a major hospital in Jamaica, Queens. The project will include renovations of existing buildings as well as new construction. Proposals may include age-restricted and medically supportive housing, biomedical research, residences and day-care facilities. Responses were received in October 2000 and a developer will be designated in late September 2001.
- During Fiscal 2001 EDC continued negotiations with a nationwide firm to develop a light- or medium-performance manufacturing area under a long-term lease in the Bathgate In-Place Industrial Park in the Bronx. The lease will be offered for a term of 10 years, however the exact duration of the lease will be determined by the extent of the development proposed.

NYC ECONOMIC DEVELOPMENT CORPORATION

- In December 2000 the New York Stock Exchange (NYSE), the City and the State entered into a Letter of Intent for the retention of NYSE in Lower Manhattan. The City and the State will construct a new state-of-the-art 600,000 square foot facility to house trading and other NYSE operations across from its current location on Broad Street. A modern office tower of approximately 1.3 million square feet may be constructed above the trading facility. Demolition of the new site will begin in January 2002 and construction of the new facility is expected to begin in January 2003. This project is estimated to generate an economic impact of \$12.7 billion in the City and retains one of the City's most important economic engines as well as the City's appellation of "Financial Capital of the World."
- In 1998 EDC issued an RFP for the development of Piers 9, 13 and 14 in Manhattan. In November 2000 EDC selected the Guggenheim Foundation to develop a museum in downtown Manhattan. This new downtown Guggenheim will transform the area into a mixed-use, 24-hour neighborhood, and contribute to the cultural diversity of the City. EDC and the developer are in design development and expect construction to be completed within six years.
- In September 2000 EDC, in cooperation with the Health and Hospitals Corporation, designated a major Manhattan university and medical school to develop the northern, surplus areas of the Bellevue Hospital campus as a biotechnology research center, which will be known as the East River Science Park. The Science Park, to be developed by the university and a private development partner, will include three buildings, primarily dedicated to commercial biotechnology research and development. Additionally, this facility will include an academic library that will serve medical institutions along the east-side corridor. The university will also rehabilitate the historic former Bellevue Psychiatry Building to contain postgraduate and staff housing, a conference center and a day-care facility.
- 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 the end of October 2001 and construction will be completed by December 2002.
- During Fiscal 2001 EDC began the development of the Harlem Piers Master Plan, which was designated pursuant to a 1998 RFP and will revitalize West 125th Street in the Harlem Piers area and provide waterfront access to local residents. The Plan features linear open space connections, adjacent park areas and revenue-generating components to sustain maintenance costs. The Plan also reviews the feasibility of constructing a new pier on the waterfront. Construction is scheduled to begin in Summer 2002.
- In April 2001 the City released a RFP for three Board of Education (BOE) buildings in downtown Brooklyn. The buildings, which comprise approximately 700,000 square feet of commercial office space, are located at 131 Livingston Street, 110 Livingston Street and 65 Court Street. The City also released a RFEI to lease or develop a new state-of-the-art building in downtown Brooklyn that will house BOE's headquarters, which will include a new public school. The consolidation of its headquarters in one location will allow BOE to streamline operations and reduce central staff. EDC has received responses for the redevelopment of these buildings and proposals for the construction of the new Board headquarters building. EDC is currently reviewing all proposals.

NYC ECONOMIC DEVELOPMENT CORPORATION

- In March 1999 EDC began the restoration of the Tweed Courthouse in Manhattan to its original grandeur. Renovations include bringing the building into compliance 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; completion is scheduled for December 2001. Upon completion, the Museum of the City of New York will move to the site.
- In April 2001 EDC issued an RFEI to buy or lease the building currently housing the Museum of the City of New York, which will be relocated to the renovated Tweed Courthouse in downtown Manhattan. The building that currently houses the museum was constructed in 1931 and has approximately 63,000 square feet of floor space, plus a 7,500 square foot courtyard. The responses were received at the end of June 2001 and EDC is reviewing these proposals.
- The Queens West General Project Plan (QWGP) provides for the development of a community on 75 acres of former manufacturing land along the Queens side of the East River opposite the United Nations. The project includes the development of 19 parcels with approximately 6,400 residential units, 2.5 million square feet of office, retail and hotel space, two public schools and 19.2 acres of public park space. Development of the project is proceeding in four stages. In Fall 2000 the designated developer for Stage I began construction on new residential housing adjacent to existing buildings. In January 2001 and February 2001 developers were designated for Stage II, which will include seven residential buildings with a total of more than 3,000 apartment units, and Stage IV, known as the commercial core, will include the 2.5 million square feet of commercial space.
- In December 2000 the City sold a 10-acre site in the West Farms section of the Bronx for development of a \$30 million shopping center, which will include a supermarket, a video rental store, a shoe store and a pet supply store. The center will be completed in late Calendar 2001 and will create approximately 120 full- and part-time jobs.

TECHNOLOGY

- In February 2001 EDC launched a completely redesigned and expanded home page, located at www.newyorkbiz.com. The redesigned home page has been made more user friendly and was expanded to include a virtual tour of Digital NYC high-tech real estate, more business assistance programs and information on the Commercial Expansion program. Additionally, EDC's home page still provides EDC's VisionNYC, New York Port Currents and the Cross Harbor Freight Movement Major Investment Study newsletters, information on EDC incentive programs, records of recent transactions and business links. During Fiscal 2001 EDC reported 64,050 visitors to its site, which is promoted in advertising in airports, publications, in online newsletters and on Web sites.

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Corporation's adopted Capital Budget was \$557.7 million. The Corporation committed \$202 million during Fiscal 2001, 36.2 percent of target. The Corporation's proposed budget for Fiscal 2002 is \$381 million.

NYC ECONOMIC DEVELOPMENT CORPORATION

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001
Financing Initiatives – Bond Applications Approved by IDA Board (a)	26	30	37	36	49
Financing Initiatives – Bond Transactions Closed	21	17	36 (b)	19	31 (c)
Financing Initiatives – Dollar Value of Bonds Issued (000)	\$258,315	\$450,489	\$410,048	\$142,978 (d)	\$225,183 (c)
Small Industry/Industrial Incentive Program – Applications Approved (e)	15	21	21	37	21
Small Industry/Industrial Incentive Program – Transactions Closed (e)	9	18	25	30	18
Small Industry/Industrial Incentive Program – Dollar Value (000) (e)	\$12,421	\$27,976	\$42,131	\$154,901	\$67,342

- (a) The growth can be attributed to more aggressive marketing and the strong local real estate market.
- (b) 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.
- (c) 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 in the human services area.
- (d) The Fiscal 2000 dollar amount is less than the two previous years because a significant number of transactions did not close until Fiscal 2001.
- (e) 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	FY 01 Actual	FY 02 Plan
Provide for a minimum of 20,000 film and video production shooting days in the City.	19,508	20,000

HIGHLIGHTS AND ACHIEVEMENTS

INDUSTRY GROWTH

- During the eight years of the Giuliani administration, the Mayor's Office of Film, Theatre and Broadcasting focused on attracting the film industry to the City and enhancing community relations.
- Each year since the beginning of the Giuliani administration in 1994, the City has reached historic levels of film and television production. Direct expenditures for film and television productions on location reached \$2.5 billion in Calendar 2000, compared to \$1.4 billion in Calendar 1993. Overall production shooting days increased by 40 percent from 15,262 days in Calendar 1993 to 21,393 days in Calendar 2000. During this period, the primary growth was in feature films and prime-time television series. Prime-time series grew from one in Calendar 1993 to 12 in Calendar 2001.
- During the Giuliani administration, the Office expanded its level of incentives, which include free permits, free locations and free police services; this package is not offered by any other city or state in the country. In addition, in Calendar 1996 the Giuliani administration successfully lobbied the State Legislature to remove the 4 percent City sales tax on film and television production consumables, thereby generating substantial savings in the building of sets, and the purchase of many goods and services, from equipment rentals to costumes. Also, in March 1998 the Giuliani administration established the removal of the 4 percent City sales tax on theatre production consumables, thereby matching the incentive granted to the film and television industries two years earlier. Through the reductions to the Commercial Rent Tax and its complete elimination in Manhattan north of 96th Street and in the City's other boroughs, investors were encouraged to expand their participation in theatre productions.
- The development of large studio and sound stages increased during the Giuliani administration to accommodate the higher volume of film and television productions. Construction of a new large soundstage is planned for Astoria, Queens; five large studio sound stages were built in Long Island City, Queens; and the Brooklyn Navy Yard will offer the biggest group of large sound stages on the East Coast.

MAYOR'S OFFICE OF FILM, THEATRE AND BROADCASTING

OUTREACH AND COMMUNITY RELATED SERVICES

- The Office expanded its administrative process to include detailed examinations of each permit applicant's financial and production support documents. Comprehensive permit regulations were introduced in Calendar 1995, along with a code of conduct for production casts and crews to improve relationships between production companies and the communities that host them.
- In August 1996 the Office implemented a program to make parking for communities and production crews more efficient. The program allows communities to use street parking until just prior to actual filming activity. In combination with parking tags that were introduced during the first four months of Fiscal 1996, the program increased the number of parking spaces available to neighborhood residents by approximately 50 percent and substantially decreased the amount of restricted parking time.
- In Calendar 1994 the Office improved community relations by spearheading new notification procedures between production companies and the affected communities. Due to record-breaking production levels, in Calendar 1999 the Office added field representatives to its staff who provide on-site, same day problem solving citywide. In addition to notification provided by production companies, the Office alerts local officials and community boards of upcoming productions in their respective areas.
- Responding to both the high volume of film and video production in the City and the importance of maintaining good relationships with host communities, the Office introduced procedures in August 1998 whereby neighborhoods that have been frequent sites for film crews are excluded as possible filming sites for several consecutive months.
- In November 2000 the Office held a reception at Gracie Mansion to honor the casts and producers of the 16 prime-time television series produced in the City. The Mayor presented honorees with medallions in recognition of their contributions to the growth of the City's prime-time television programming.
- In May 2001 the Office held the fourth annual ceremony honoring the City's daytime Emmy nominees at City Hall. The Mayor was joined by a National Academy of Television Arts and Sciences official and the Commissioner when he presented official Academy nomination certificates to New York area nominees.
- Also in May 2001 the Office held the annual Salute to the Theatre party at Gracie Mansion. Mayor Giuliani honored a major entertainment company for its commitment to the theatre.
- In June 2001 the Mayor honored leaders in the film and television industry at the 18th Annual Crystal Apple Awards ceremony at Gracie Mansion. The Crystal Apple is awarded annually by the City to industry leaders in film and television who have made outstanding progress in their fields and notable contributions to the City's production industry.

PRODUCTION IN NEW YORK CITY

- During Fiscal 2001 the Office facilitated 19,508 total production shooting days and 8,053 total productions, compared to 19,876 total production shooting days and 8,384 total productions during Fiscal 2000.

MAYOR'S OFFICE OF FILM, THEATRE AND BROADCASTING

- Currently, 12 prime-time television series are shooting entirely in the City. Overall, the City has 107 national television shows in production, including prime-time, late right, daytime drama, talk and children's shows.
- During Fiscal 2001 a total of 211 feature films and 448 broadcast and cable network television programs were produced, resulting in 4,240 and 4,447 shooting days, respectively. In comparison, during Fiscal 2000, 201 feature films and 547 broadcast and cable network television programs were produced, resulting in 4,096 and 4,985 shooting days, respectively.
- In the 2000-2001 season, Broadway box office gross receipts continued to climb, reaching an all-time high. A national trade organization reports that from June 2000 through May 2001 Broadway box office gross receipts totaled \$666.2 million, a 10 percent increase over the \$603 million reported last season. Attendance during the same period increased by 4.4 percent, to 11.9 million, compared to 11.4 million reported last season.

ATTRACTING NEW BUSINESS TO NEW YORK CITY

- By the end of Fiscal 2001 a contractor completed 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 the second half of Calendar 2002.
- A studio located in Long Island City, Queens has expanded its operations to include five new sound stages.
- 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 in Summer 2002.

TECHNOLOGY

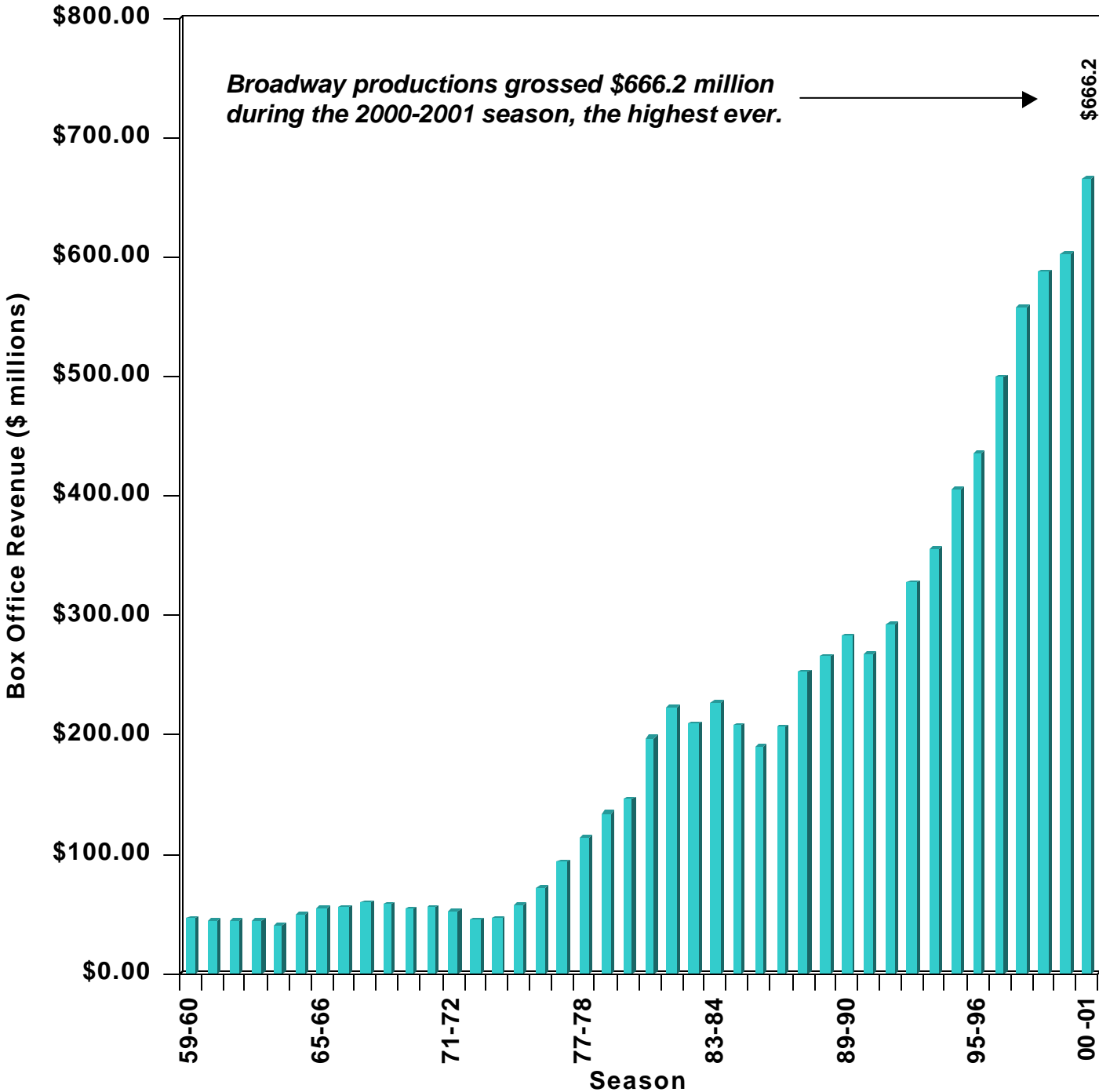
- The Office has developed and continually expanded two 24-hour information services for the production community, Web pages and a "faxback" system, from which resource documents can be accessed and printed from fax machines. Through its home page on NYC.GOV, the City's official Web site, and the faxback system, the Office provides City production news and statistics; permit guidelines and other resources, including the Office's Hotel Discount Program; guild and union contacts; production guides; and tax forms. The Web pages feature the Tech List, which contains production information for job seekers.
- The Office continues to make information about the film, theatre and broadcast industry available through its home page on NYC.GOV. During Fiscal 2001 the Department's home page had 640,012 views, compared to 464,491 views during Fiscal 2000.

BUDGET HIGHLIGHTS

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

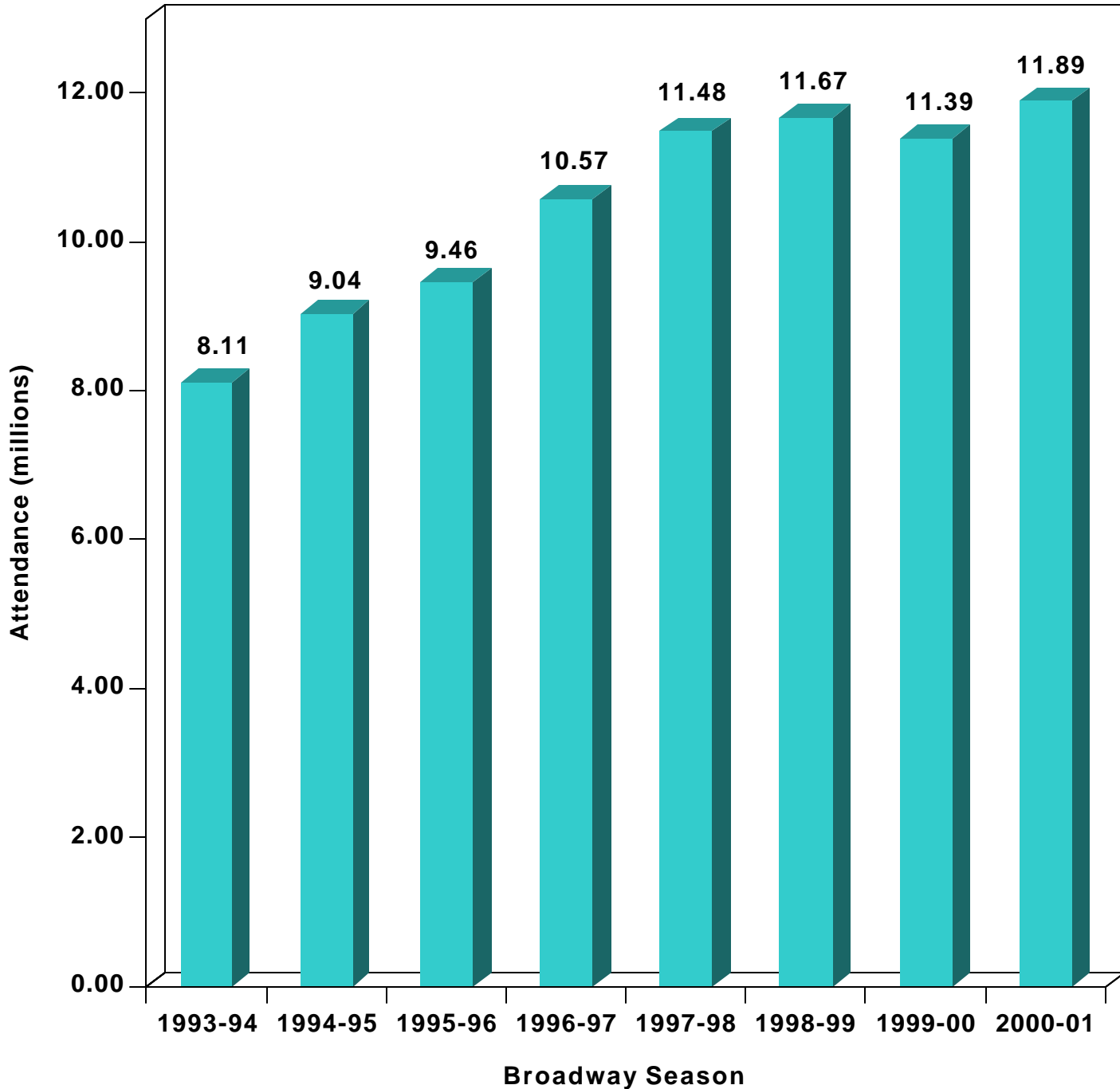
Mayor's Office of Film, Theatre and Broadcasting

Gross Revenue for Broadway Productions



Mayor's Office of Film, Theatre and Broadcasting

Broadway Attendance



Source: The League of American Theatres and Producers, Inc.

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 New York 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	FY 01 Actual	FY 02 Plan
Award a total of \$5 million in City funding to 200 organizations to encourage private funding through the Cultural Challenge Program.	\$5 million to 192 organizations	\$5 million to 185 organizations
Through the Materials for the Arts (MFA) Program, receive 2,423 visits to the MFA warehouse from arts organizations, arts and cultural programs and public schools, and divert 453 tons of solid waste valued at \$2.5 million from the City's waste stream to them.	2,000 visits/ 380 tons/ \$2.6 million	2,800 visits/ 500 tons/ \$3 million

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

Objective	FY 01 Actual	FY 02 Plan
Award 525 Public Service grants totaling \$18.6 million.	539 grants/ \$18.5 million	525 grants/ \$18.5 million
Award 140 grants totaling \$1 million for the competitive portion of the Program Development Fund.	149 grants/ \$1 million	140 grants/ \$1 million
Complete 23 Community Arts Development Program projects.	24 projects	9 projects
Provide a total of \$101 million in funding to cultural institutions for maintenance, security, energy and other general operating costs.	\$109.3 million	\$111.8 million

DEPARTMENT OF CULTURAL AFFAIRS

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

Objective	FY 01 Actual	FY 02 Plan
Provide funding for 58 capital projects including renovation, construction and expansion.	61	48
Award nine pass-through contracts that allow cultural institutions to manage their own capital projects.	9	8
Initiate 20 and complete 16 permanent Percent for Art Program projects.	Initiate 25/ Complete 8	Initiate 6/ Complete 3

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.
 - In Fiscal 2001 DCLA disbursed \$82.8 million for operating support and approximately \$26.5 million for energy costs to cultural institutions, compared to \$73.5 million and \$18.3 million respectively during Fiscal 2000.
- A major focus of the Giuliani administration has been public/private partnerships to foster the long-term financial stability of the City's cultural institutions. In keeping with this policy, during the period of Fiscal 1994 through Fiscal 2000, CIG increased its non-DCLA support from \$296 million to \$577 million and reduced its reliance on DCLA support from 24 percent to 16 percent.
- During Fiscal 2001 several members of CIG celebrated milestones and events:
 - In Fiscal 2001 the Bronx Museum of Art's annual exhibition of its Artist in the Marketplace (AIM) program featured works in a broad range of media by 36 up-and-coming artists from the New York metropolitan area. The AIM program provides emerging artists with career development seminars and a venue to exhibit their work.
 - In an effort to reach and serve the local Queens audience, The American Museum of the Moving Image developed its popular new series, "Repertory Nights," featuring weekend evening screenings of international and American film classics.
 - In April 2001 the Metropolitan Museum of Art opened an exhibition entitled, "Jacqueline Kennedy: The White House Years," featuring examples of Mrs. Kennedy's wardrobe, accessories, photographs and videos. On the weekend of April 27 to 29, 2001, the museum set a record for attendance, when 24,000 members visited the exhibit.
 - In June 2001 the Snug Harbor Cultural Center hosted the Harmony Street Fair, a multicultural festival with performances on six stages simultaneously.

DEPARTMENT OF CULTURAL AFFAIRS

- In July 2001 P.S. 1 Contemporary Arts Center hosted "Warm Up 2001," a music event in the outdoor courtyard, which attracts audiences every Saturday throughout the summer. This program demonstrates the success of the historic partnership between the Museum of Modern Art (MoMA) and P.S. 1, which began in Fiscal 1999 when the P.S. 1 Board of Directors approved the Memorandum Of Understanding concerning the proposed affiliation between P.S. 1 and MoMA.

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 (DDC), Economic Development Corporation or Department of Housing Preservation and Development, oversees their design and construction.
- During the Giuliani administration, the Unit's main focus has been the upgrade and renovation of major cultural venues as well as community cultural facilities, thereby enabling cultural organizations to increase access and provide better service to the public. To further this goal, the Unit has committed funding to reconstruct existing cultural facilities, upgrade mechanical systems, restore landmark structures, make American Disabilities Act (ADA) improvements, install new technology and equipment, as well as increase exhibition, gallery, performance and storage space at those sites.
 - In Fiscal 2001 the City increased its financial commitment to Jazz at Lincoln Center's new education/performance/broadcast facility on Columbus Circle from \$18 million to \$19 million. The 100,000 square foot facility will include a 1,200-seat concert hall, a 600-seat performance venue, a jazz café, rehearsal space and educational center, a jazz hall of fame and a full recording/broadcasting/Web-casting facility. The new facility at Columbus Circle will open in late 2004.
 - In Fiscal 2001 the American Museum of Natural History moved its collection and staff into the new 80,000 square foot Natural Sciences Building located in the interior courtyard of the Museum campus. Scientific, educational, retail and administrative functions, and temporary public exhibition spaces will be served by this new structure. The new facility is a direct response to the challenge of providing adequate and quality program space, thereby allowing the Museum to continue its mission of public understanding of the natural sciences.
 - In Fiscal 2001 Carnegie Hall continued its delicate excavation of 6,900 cubic yards of schist for the 40,100 square foot Judy and Arthur Zankel Hall project beneath the landmark Isaac Stern Auditorium. This third stage facility, which will be a dynamic and flexible performance space equipped with state-of-the-art technology, will allow Carnegie Hall to provide more on-site educational and family programs, community and international outreach, and long distance learning capabilities. The new facility will open in December 2002.
 - In Fiscal 2001 at the El Museo del Barrio, a museum of Latin American art and culture, DCLA contributed \$5 million to renovate the 599-seat Heckscher Theater to enhance El Museo's programmatic offerings and generate earned income. Plans are now underway for a \$3 million renovation of the outside of the current building and courtyard, as well as plans for a new café, gift shop and lobby. In the last three years, the Museum's operating budget has increased 60 percent, and only 20 percent of its funding now comes from government as compared to 80 percent six years ago.

DEPARTMENT OF CULTURAL AFFAIRS

- By a revised date of Fall 2001 Lincoln Center anticipates completing its draft Master Plan, for which the City has committed \$240 million of a \$1.5 billion project over the next 10 years, to maintain its status as a world-class center for the arts by preserving and modernizing its facilities. The preliminary proposal includes reconstructing Avery Fisher Hall to improve its acoustics, renovating the Metropolitan Opera to provide better public space, renovating Alice Tully Hall to enhance visitor amenities and provide more programming capabilities, upgrading public open space, adding more visitor amenities and upgrading the New York State Theater.
- In May 2001 the Department awarded the Museum of Modern Art (MoMA) a pass-through contract, which allows MoMA to manage its own capital projects. As part of the contract, DCLA, in coordination with DDC, contributed to a new project to double the exhibition space of MoMA. The project is a public/private partnership that will also increase the museum's space for education and research and provide a new entrance, new lobby and new galleries, enabling MoMA to serve all of the New York City public schools. MoMA is simultaneously developing a temporary exhibition venue and storage facility at a factory building in Queens, where its exhibitions will be held beginning in Summer 2002. The new facility is slated to open in Calendar 2004, in conjunction with MoMA's 75th anniversary.
- In January 2001 the Mayor announced a commitment of \$50 million to the Brooklyn Academy of Music Local Development Corporation to help develop a cultural district in Fort Greene, Brooklyn. The cultural district will attract new cultural organizations and create new cultural facilities, studios, rehearsal spaces, and housing and also attract commercial and retail activity to the area. The Master Plan for the district is expected to be completed in Fall 2001.
- In November 2000 the New-York Historical Society opened the fourth floor of the Henry Luce III Center for the Study of American Culture to the public. This unique display consists of a 21,000 square foot visible study/storage center for which the City has contributed \$4.5 million. The Center houses 40,000 museum objects previously held in off-site storage not accessible to the public and allows visitors a behind-the-scenes look at a working museum collection.
- In July a design consultant completed construction documents for the restoration and upgrade of the Louis Armstrong House in Queens. The Armstrong House, a designated City landmark listed on the National Register of Historic Places, will be restored to its 1960s appearance and will include a new visitors' center and gallery. The Department is in the process of selecting a qualified historic restoration construction manager and anticipates construction to begin no later than a revised date of January 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.

DEPARTMENT OF CULTURAL AFFAIRS

- During Fiscal 2001 the Department awarded 539 Public Service grants totaling \$18.5 million, compared to 510 grants totaling \$14.6 million in Fiscal 2000. Organizations receive grants for a wide range of activities, including the following: Music Outreach served over 40,000 New York City elementary and junior high school students through a citywide, comprehensive Arts-in-Education Program, consisting of classroom workshops coupled with a series of orchestral demonstration concerts; the Brooklyn Council for the Arts provided programs and services to that borough's artists and arts organizations and the Richmond Choral Society's 50th Anniversary Concert took place at St. Peter's Church on Staten Island.
- In May 2001 the Department awarded 149 Program Development Fund grants totaling \$1 million, compared to 134 grants totaling \$830,000 in Fiscal 2000. This fund is a competitive awards program that uses a peer panel to review proposals and make recommendations for funding. A total of 270 organizations were considered for awards ranging from \$6,000 to \$10,500. Program funds were awarded in support of organizations as diverse as the Frederick Douglass Creative Arts Center, the African Film Festival, the Sunset Park School of Music and the Jewish Heritage Writing Project.
- 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. Of the 304 groups that applied in Fiscal 2001, 192 were awarded funds, compared to 186 out of 268 groups in Fiscal 2000. Challenge projects for Fiscal 2001 must be completed by January 2002.

SERVICES FOR YOUTH

- During the Giuliani administration, the Department has played a key role in developing educational programs that have exposed parents and their children to arts.
 - In Fiscal 2001, 57 New York City public schools were awarded approximately \$300,000 in total 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). Parents as Arts Partners seeks to increase parental support of arts education by involving them in hands-on activities and including them in their children's arts experiences.
 - In March 2001 the Annenberg Foundation provided another \$12 million challenge grant to revitalize arts education in New York City's public schools through collaborations with museums, dance troupes, orchestras and other cultural organizations. This grant raises the total that the Foundation has contributed to this effort to \$24 million. The latest installment will spur private contributions and will expand several programs. These include internship programs for public school students in the arts-related industries, and curriculum initiatives that will enable successful NYCPAE schools to share their methods with other schools.
 - Through Project ARTS, another initiative to further the restoration of arts education throughout the New York City public school system, approximately 1,100 schools received funding for instruction, arts and cultural services, materials, equipment and staff development in the arts. Over the 2000-2001 school year the administration committed \$75 million to the program, which is administered by the Board of Education.

DEPARTMENT OF CULTURAL AFFAIRS

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 Fiscal 2001, 30 CADP projects were completed and three are nearing completion. The projects included installation of a computer art laboratory on Staten Island specifically designed for people with disabilities, an infrared listening system at an off-Broadway theatre to assist theatergoers with impaired hearing, a code-compliant electrical upgrade and emergency lighting project in a small performing arts center/memorabilia museum in Brooklyn, a lighting system for an Hispanic children's theater, choral risers for a youth chorus and photographic enlargers for an art center in the Bronx. A CADP work of art produced by CityArts, a nonprofit visual arts organization, will be completed in Fiscal 2002; the National Park Service has matched funding for this project.
 - During Fiscal 2001 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. The project will continue in Fiscal 2002.

PERCENT FOR ART

- The Percent for Art Program 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. The Percent for Art Program administers the commissioning, creation and installation of the artwork.
 - In Fiscal 2001 Percent for Art completed eight projects, including three with the Board of Education/School Construction Authority. Completed projects include a paving and seating design at the Department of Parks and Recreation's Flushing Bay Promenade in Queens; flooring designs for two childcare centers located at Beach Channel Drive in Queens and Second Street in Brooklyn; a gazebo at the East River Esplanade Pier #11 in Manhattan; the installation of a granite sculpture at Foley Square Park in Manhattan; and the completion of a three panel mosaic, a series of four art quilts and an entry mural at the new Children's Center at Bellevue Hospital in Manhattan.
 - In Fiscal 2001 Percent for Art initiated and/or completed artist selections for 25 projects of which 19 were Board of Education/School Construction Authority projects, including the new building of Midwood High School in Brooklyn, the new High School of Architecture and Urban Planning in Queens, and the knitted Mylar wall mural for P.S. 263 in Queens.
 - Among 19 projects started in Fiscal 2001, Percent for Art also continued its collaboration with the Health and Hospitals Corporation and Dormitory Authority of the State of New York at the Jacobi Medical Center in the Bronx. In addition, projects with artists were initiated at two new childcare centers, the LaVaughn Robert Moore Center in Brooklyn and the Seabury Center in the Bronx. Another artist was chosen for the new Cambria Heights Library in Queens and artist selection continues for the first merged Fire Department/Emergency Medical Service (EMS) Station house on Staten Island.

DEPARTMENT OF CULTURAL AFFAIRS

- Three Percent for Art projects received awards at the Art Commission's Annual Design Awards ceremony: a light wall planned for the new building of the Queens-based New York Hall of Science, a series of four art quilts by for the new Administration for Children's Services Center at Bellevue Hospital in Manhattan, and the design of manhole covers for the Sequine Avenue Sewer Replacement project on Staten Island. The Mayor's Art Commission makes awards for design excellence at civic sites and for works of art throughout the City.

MATERIALS FOR THE ARTS

- Materials for the Arts (MFA) is a program that supports the arts through the distribution of reusable materials. While promoting reuse and waste reduction, MFA offers recipient organizations access to supplies that support their programming. Materials 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.
 - In Fiscal 2001 MFA received 1,323 donations, valued at \$2.6 million and weighing 380 tons. In Fiscal 2000 MFA received 1,404 donations valued at \$2.4 million. The total amount of tonnage diverted from the waste stream in Fiscal 2000 was 328 tons.
 - In March 2001 Materials for the Arts moved into a renovated 21,000 square foot facility located at 33-00 Northern Boulevard, Long Island City. This long awaited move resulted in the doubling of MFA's warehouse space, thereby enabling the program to fully serve the more than 1,000 registered schools as well as 1,200 other registered organizations. MFA has received support from the private sector and by October 2001 will be in receipt of a final strategic plan, which will help the program maximize its potential in operational, developmental and programmatic areas.
 - In May 2001 MFA worked closely with the Long Island City Business Development Corporation and the Queens Council on the Arts in support of Art Frenzy. This four-day arts festival was held from May 17 to May 20, 2001, at locations throughout Queens to promote Long Island City's growing cultural community. MFA staffed a booth at Court Square and provided hands-on art making for over 100 children and adults.

TECHNOLOGY

- The Department continues its progress on the New York City Arts Online cultural database project. The Department has conducted extensive outreach to arts organizations, including the formation of a working group from the cultural community to oversee the development of the data model, the promotional campaign and the efficiency of the design. The database will hold two types of information, programmatic and quantitative, which will be made available to the public via three separate Web sites. The programmatic section will include details on cultural events and arts education programs throughout the City, while the quantitative section will include financial data and event attendance figures. Due to the project expansion and an increase in City capital funding, a vendor will be selected by a revised date of Spring 2002.
- In March 2001 the American Museum of the Moving Image (AMMI) in Queens announced that it had codeveloped eDocent, its prototype wireless information system, which transmits information about displayed objects from its own database into wireless devices. By the end of Calendar 2001, patrons will be able to travel throughout the museum with a wireless device that will allow them to browse text images and receive audio and video transmissions associated with the 80,000 objects, which are displayed and archived by AMMI.

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	FY 01 Actual	FY 02 Plan
Ensure that 70% of suspected or confirmed DOH-treated tuberculosis patients citywide receive Directly Observed Therapy.	55.7%	70%
Ensure that 75% of high-risk (infectious/pulmonary) tuberculosis patients citywide receive Directly Observed Therapy.	59.9%	75%
Ensure that 90% of DOH-treated drug-sensitive tuberculosis patients complete treatment.	90.5%	90%
Ensure that 80% of DOH-treated drug-resistant tuberculosis patients complete treatment.	86.6%	80%
Provide treatment for a revised number of 38,600 sexually transmitted disease cases.	41,928	40,100
Begin seasonal West Nile virus surveillance activities at targeted hospitals in June 2001.		

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

Objective	FY 01 Actual	FY 02 Plan
Ensure that a minimum of 95% of all two-year-olds seen at Child Health Clinics are immunized appropriately.	99.3% as of 3/01	95%
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 4,000.	2,818	1,200
Conduct 14,370 health and safety inspections at child-care sites.	17,926	26,364
Ensure that physician-reporting to the Citywide Immunization Registry reaches 90%.	87%	90%
Educate and train 500 medical providers, nurses, social workers and other ancillary staff in reducing childhood asthma.	387	250
Educate and train at least 5,000 people, including parents, children and staff at various schools and community-based organizations, on reducing asthma.	5,024	5,000

DEPARTMENT OF HEALTH

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

Objective	FY 01 Actual	FY 02 Plan
Within seven business days successfully conduct initial inspections at the primary addresses of 90% of the new cases of childhood lead poisoning (blood levels ≥ 20 mcg/dL or two blood levels 15-19 mcg/dL at least three months apart) identified.	95%	90%
Respond to 85% of complaints about unsafe work practices on potential lead-based paint hazards within two days.	100%	85%
Inspect 7,000 apartments for window guard compliance.	7,805	7,000
Perform 100% of initial inspections of all permitted food establishments to ensure compliance with health and sanitary codes.	99.9%	100%
Perform 22,000 inspections of sites identified in the Enhanced Pest Control Program.	28,095	28,500
Place larvicide in 100% of identified catch basins in City streets.	100%	100%

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

Objective	FY 01 Actual	FY 02 Plan
Maintain the average waiting time of no more than 15 minutes for customers who apply in person for birth certificate copies.	8 minutes	15 minutes
Complete implementation of handheld computers for food establishment inspections by a revised date of Winter 2001-2002.		
Begin pilot testing of the Electronic Death Registration System by a revised date of the third quarter of Fiscal 2002, with full implementation beginning by a revised date of the first quarter of Fiscal 2003.		

HIGHLIGHTS AND ACHIEVEMENTS

COMMUNICABLE DISEASE PREVENTION

- In Fiscal 2001 the Department of Health (DOH) continued to implement a 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 infection among humans, dead birds and mosquitoes; and outreach to both the public and health care professionals. In November 2000 the Department convened a West Nile virus planning session with over 40 key Department staff. Using the results of the session along with guidance from the State Department of Health (SDOH), the State Department of Environmental Conservation (SDEC) and the federal Centers for Disease Control (CDC), the Department formulated the steps for Spring 2001.
 - In May 2001 the Department released the 2001 Comprehensive Arthropod Surveillance and Control Plan. The goal of this plan is to prevent and contain disease through aggressive source reduction and larvicide application to minimize the adult mosquito population and through the rapid detection of mosquito-borne viruses in the environment before humans are infected.

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- In February 2001 the Department began developing a new comprehensive West Nile virus database system and interactive Web site. In May 2001 the Department made new online forms available to its operators for taking reports of standing water and dead birds. These forms are linked to the central West Nile database and allow real time updates. Final security approval is pending for these forms to be available to the public on NYC.GOV, the City's official Web site. This will enable 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 with increased virus activities.
- In June 2001 the Department implemented a hospital- and lab-based enhanced surveillance system for West Nile viral encephalitis in individuals of all ages and for viral meningitis, especially in adults. Suspected cases of West Nile virus are tested at DOH Public Health Laboratories.
- Beginning in May and extending through October 2001 the Department is undertaking weekly mosquito trapping and testing with over 190 mosquito traps at more than 90 locations throughout the five boroughs, compared to 180 traps at 90 locations during the same period in 2000. The Department developed the capacity to conduct mosquito testing at its Public Health Laboratories for the Summer 2001 West Nile virus season, from May through October 2001, resulting in more timely results and control decisions.
- With the assistance of the Department of Environmental Protection (DEP), the New York City Housing Authority (NYCHA), and the Department of Parks and Recreation (DPR), DOH is treating approximately 150,000 street and park catch basins using federal Environmental Protection Agency and SDEC-approved larvicides to prevent mosquito breeding. Treatment began in May 2001, and will continue, weather permitting, through September 2001. For the 2001 season every street and park catch basin will be treated three to four times, compared to two times per catch basin during the 2000 season.
- The Department completed an Environmental Impact Statement (EIS) for its Adult Mosquito Control Programs. The EIS assessed potential environmental and public health effects of applying pesticides to control adult mosquitoes. In June 2001 the Department issued a Notice of Completion and in July 2001 issued a Statement of Findings. The Final EIS, the Notice of Completion and the Statement of Findings is available on the Department's home page at NYC.GOV.
- In May 2001 the Department continued its multimedia "Mosquito-Proof NYC" public education campaign to alert City residents about the risk of West Nile virus, the need to take personal precautions and the need to eliminate potential mosquito breeding grounds in their communities. In June 2001 the Department established a summer youth corps, comprised of 100 high school and college interns to assist the City in disseminating information to community residents about prevention activities.
- In April 2001 the Department activated its toll-free West Nile Virus Information Line, which provides comprehensive information about the virus, including updated information about spraying schedules in English and Spanish. The hotline received 21,728 calls between April and August 2001, compared to 79,252 during the same period last year. Since May 2001, approximately 4,300 reports of dead birds and 2,200 reports of standing water were received, including 345 reports of dead birds and 512 reports of standing water received from the public through NYC.GOV. The Department also provides updated information through NYC.GOV, fact sheets and press releases.

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- 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 by the Mayor in June 2000, the Task Force enhances coordination between the Department of Health 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.
 - Between May and August 2001 the Department received approximately 2,200 reports of standing water and issued 193 letters to property owners and others requesting them to address standing water on their property. During the Summer 2000 season the Department received approximately 9,000 reports of standing water.
- In October 2000 the Department, with assistance from the federal CDC, conducted the Staten Island West Nile Virus Serosurvey. The survey involved a door-to-door survey of a revised 637 households, consisting of a revised 879 participants, in randomly selected Staten Island neighborhoods. Participants anonymously responded to a questionnaire and provided blood samples. Four of the 879 participants who volunteered to be interviewed as part of the Staten Island survey tested positive for the West Nile virus. From these results, the Department estimates that the approximately 0.4 percent of Staten Island residents age 12 and older were infected with West Nile virus in Calendar 2000, which is an estimated 1,276 Staten Island residents. While the results of the survey cannot be projected onto the City as a whole, it is estimated that West Nile virus infection rates elsewhere in the City were probably lower because fewer humans, birds and mosquitoes tested positive for the virus in other boroughs in Calendar 2000, compared to Staten Island.
- In Spring 2000 the Department began planning an Adult Immunization Initiative, which was expanded in response to warnings during Summer 2000 of an impending nationwide delay in the availability of the influenza vaccine. These efforts were designed to ensure that New Yorkers at high risk of developing medical complications from influenza received the flu shot as early as possible in Winter 2000-2001. Similar activities are planned for Fall 2001 and will be expanded to include NYCHA as part of the outreach that had been previously conducted at senior centers.
 - In October 2000 the Department established an automated hotline with live operators and launched a Web page on NYC.GOV. The Web page has a facility locator that provided the public with up-to-date information on the influenza vaccine delay and helped people identify locations where they could receive a flu shot. During the 2000-2001 flu season, there were nearly 12,500 calls to the hotline and approximately 8,500 visits to the Web page.
 - The Department reached out to local area corporations for loans or donations of the vaccine to ensure that high-risk people, such as nursing home residents and persons over 65 years of age were vaccinated. In total, approximately 115,000 doses were distributed by the Department to facilities serving the elderly, homeless individuals, and people with HIV/AIDS, and to the general public through the Department's clinics, Health and Hospitals Corporation (HHC) facilities, physician practices and SDOH facilities, as well as to City employees.
- During Fiscal 2001 there was a significant increase in total cases of infectious syphilis reported to the Department. For Fiscal 2001 there were 187 cases of infectious syphilis reported to the Department, compared to a revised number of 130 new reported cases during Fiscal 2000. Although this is an increase, it represents a 78 percent decrease from Fiscal 1994 when there were 864 new cases. For the first six months of Calendar 2001, there were 134 new infectious syphilis cases reported to DOH, compared to 64 cases for the corresponding time period in Calendar 2000. Preliminary analysis of the available data for the 134 infectious syphilis cases reported indicate that approximately 90 percent were among males. Approximately 50 percent of these cases were among white men reporting having sex with men, with 25 percent of these individuals acknowledging being HIV positive.

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- The increase in infectious syphilis can amplify the acquisition and transmission of HIV infection. During Fiscal 2001 the Department undertook a syphilis awareness campaign, including disseminating educational palm cards and posters to community-based organizations (CBOs) serving high-risk individuals. The Department continued its physician visitation program aimed at increasing physician awareness of proper clinical management of syphilis. In Fiscal 2002 the Department will expand its syphilis screening activities from two to three CBOs.
- In Fiscal 2001 the Department conducted 728 educational workshops for adolescents and young adults at public schools, youth organizations, drug treatment facilities, CBOs, hospitals and correctional facilities, compared to 759 workshops in Fiscal 2000. These workshops focused on promoting safer sexual practices and reducing sexually transmitted disease among these at-risk populations.
- In Fiscal 2001, 2,832 people received one-on-one educational services, which included a full screening, history and plan of action from the Department's three Mobile Health Education and Life Program (HELP) vans, compared to 1,988 people served during Fiscal 2000. This increase was attributed to the continued provision of counseling and testing services and the increased outreach activities and coordination with CBOs. Clients served by the Mobile HELP vans received counseling and testing for HIV, tuberculosis, sexually transmitted diseases and Hepatitis B. They also received other health education and risk reduction services.

ACCESS TO CARE

Medicaid Managed Care

- During Fiscal 2001 the Department continued to work in collaboration with the Human Resources Administration (HRA) and SDOH on mandatory Medicaid Managed Care Phase II and Phase III activity. The federal Center for Medicare and Medicaid Services (CMS), formerly known as the Health Care Financing Administration, conducted the Mandatory Medicaid Managed Care Phase II on-site readiness review in February 2001. Phase II implementation began in April 2001 with 190,839 potential enrollees in northeast and central Queens and the northern Bronx. CMS will conduct a Phase III on-site readiness review in Fall 2001 and implementation is anticipated to begin later in Fall 2001 with 349,234 potential enrollees in the southern Bronx, northwest Brooklyn and northwest Queens.
- Since January 1999 the Department's Division of Health Care Access has contracted with a nonprofit organization to establish the Managed Care Consumer Assistance Program (MCCAP). The program covers consumers enrolled in managed care plans regardless of payor-type (Medicare, Medicaid, other government subsidized plan or commercial insurance) and is designed to assure that consumers can receive information about education and advice on all aspects of managed care. MCCAP targets vulnerable populations, such as non-English-speaking consumers, individuals with chronic illness, mental illness, substance abuse problems, low-income individuals and those with physical or cognitive disabilities. In Fiscal 2002 the Department will continue its activities to further integrate the MCCAP program into community education needs of managed care.

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Insurance Initiatives

- In April 2000 the Mayor created HealthStat, a comprehensive citywide initiative to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, over 20 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 150,000 individuals have been enrolled in public health insurance programs.
 - In Fiscal 2001 under the HealthSTAT initiative, children not covered by insurance were identified and assisted in enrollment by service coordinators and Early Intervention staff. These staff members have received additional training to promote awareness and clarify enrollment procedures.
 - The Department's Division of Health Care Access serves as the quality assurance unit for all applications processed by City enrollers outside of HRA.
 - As part of the HealthStat initiative, DOH has distributed 220,157 brochures and pamphlets and has made 26,028 referrals through its School Health, Tuberculosis, Sexually Transmitted Diseases, and Immunization programs, as well as NYCHA.
 - In addition, during Fiscal 2001 the Department developed its enrollment capacity. In December 2000, five DOH-run clinics were selected for facilitated enrollment activities. Presently, 10 DOH clinics serve as facilitated enrollment sites. In addition, the Department hired and trained 24 facilitated enrollers to identify and enroll eligible individuals in DOH clinics, schools and housing developments. These enrollers have enrolled approximately 2,500 individuals to date in Calendar 2001. For Fiscal 2002, DOH-facilitated enrollers will be able to enroll eligible adults into Medicaid and Child Health Plus.
 - In May 2001 DOH completed the development of the HealthStat Provider Directory and made it available in print and on NYC.GOV. The HealthStat Provider Directory helps families select medical providers and enables community-based organizations and facilitated enrollers to advise families seeking health insurance to locate providers that meet their needs. The online database formats the information alphabetically by borough or neighborhood and recipients can search for providers by name, location, medical plan and/or languages spoken. Providers' practice specialty, current status with regard to the acceptance of new patients and wheelchair accessibility are also available.
- Working with a nonprofit business organization, the Mayor's HealthPass program, overseen by the Department, improves access to health insurance for employees of small businesses, which are comprised of two to 50 employees. In July 2001, the program completed its first year and a half of enrollment. A total of 2,810 employees from 490 small businesses have enrolled in the program; these employees have access to four leading health plans and 20 benefit options through HealthPass. More than half of the businesses enrolled in HealthPass did not offer health insurance to their employees previously.

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CHILDHOOD ASTHMA INITIATIVE

- In August 2001 the Mayor and the Department released data showing that asthma hospitalizations for children up to age 14 declined 35.4 percent between Calendar 1997 and Calendar 2000, and has declined 25.3 percent between Calendar 1999 and Calendar 2000. The number of hospitalizations fell from a rate of 9.94 per 1,000 children in Calendar 1997 to 6.42 per 1,000 children in Calendar 2000. This current rate represents the lowest asthma hospitalization rate among children in the City since Calendar 1988. Low-income neighborhoods throughout the City experienced some of the most significant decreases in childhood asthma hospitalizations during this period. The asthma hospitalization rate declined 55.3 percent in the Hunts Point-Mott Haven section of the Bronx. The Department's comprehensive community-based asthma management program is credited for these declines.
- In Fiscal 2001 the Department continued surveillance activities at hospital Emergency Departments (ED) in an effort to understand the prevalence of asthma in New York City. An evaluation of ED billing data is continuing to determine its quality as a source of asthma surveillance and could help the Department identify communities where asthma is poorly managed and/or where there is inadequate access to nonemergency medical care.
 - In Fiscal 2001 the Department continued work on a study, launched in March 1999, to assess ED chart data and hospital billing data from the 11 HHC hospitals. Overall, results demonstrated that HHC billing data can be used in identifying approximately 76 percent of ED visits for asthma. The Department is completing follow-up data collection to accurately compare the ED chart data to the HHC billing data. This data is expected to be incorporated into the study findings by a revised date of October 2001. In Fiscal 2002 the Department will incorporate ED data into its asthma surveillance system.
 - In November 2000 the Department received \$200,000 from SDOH to replicate the assessment of ED data currently underway in HHC hospitals in a sample of 14 private hospitals in the City. Data collection is expected to begin by a revised date of Fall 2001. The Department expects the results of the study to be completed by April 2002.
- In Fall 2000 the Department undertook a pilot evaluation of school admissions form data from the 1998-1999 school year for three public elementary schools in the Hunts Point neighborhood of the Bronx to determine if the form can provide adequate estimates of asthma prevalence among New York City kindergartners. This form was revised for the 1998-1999 school year to include six asthma-specific questions. Preliminary analyses suggest the form is useful for showing trends and may provide an estimate of prevalence; however, it may undercount the actual rate of asthma. While 19 percent of the kindergarten sample had asthma recorded on the form, 24 percent were reported as having a current diagnosis and symptoms of asthma, according to the asthma prevalence survey conducted in Hunts Point schools during the 1997-1998 school year. The Department expects to complete the evaluation by a revised date of December 2001 and will use the estimates of the prevalence of asthma among City schoolchildren to provide baseline data for future program planning and evaluation.

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- In Spring 2001 additional school-based surveys were conducted to assess asthma prevalence in four other communities in New York City: Bedford-Stuyvesant, Brooklyn; Jamaica, Queens; North Shore, Staten Island; and Central Harlem, Manhattan. These surveys were administered among students in kindergarten, first grade and third grade in three public elementary schools in each community. In addition, pre-kindergarten was included in one Central Harlem school, and second grade in all Central Harlem schools. Preliminary results are expected by January 2002. Asthma prevalence rates from these surveys will also be used in evaluating the school admissions form data.
- During Fiscal 2001 the Department continued to work on the Hunts Point Childhood Health Promotion Initiative. A total of 86 new families were enrolled in case management services, which include home visits, home environmental assessments and abatement activities, and social service referrals, compared to 80 during Fiscal 2000, for a total of 282 families served since the program's inception in 1997. This decrease in new families enrolled is due to saturation in the targeted area and staff vacancies. In Fiscal 2002 the Department expects only six new families will be enrolled.
 - In Fiscal 2001 the DOH Hunts Point staff made 18 asthma education presentations to CBOs, compared to a revised 32 presentations during Fiscal 2000. Fewer presentations were made in Fiscal 2001 because of staff vacancies. In Fiscal 2002 the Department expects to make 20 asthma education presentations.
- In Fiscal 2001 the Department continued to implement Asthma SMART (Symptom Management and Referral for Treatment), a two-year pilot program in East Harlem. 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 Emergency Department. The Department is developing a computerized notification system that provides links among health care providers, school nurses and families to ensure that all members of the child's "asthma team" are activated when a child has asthma symptoms. In September 2000 the system became operational. During Fiscal 2002 the Department will continue to make enhancements to the system to maximize its usefulness. A corps of community health workers, funded by a contract with a CBO, provide asthma case management services, including home visiting, to bolster the notification system. The program is funded as a pilot through the end of Fiscal 2002; at that time, the Department will evaluate the system and assess its effectiveness and the feasibility of expansion. The evaluation of Asthma SMART is part of a larger-scale evaluation of the entire Asthma Initiative being undertaken by the Department.
 - In Fiscal 2001, seven sites participated in the program, including two hospital Emergency Departments and five school nurses. Each site receives notification of emergency room or school nurse visits, and is responsible for providing appropriate medical care to children and preparing an Asthma Action Plan, which guides a family in managing a child's asthma. Staff training for the case management component of the project began in September 2000 and case management activities for children identified with asthma symptoms began in October 2000. In Fiscal 2001, 436 families were identified through the notification system and of these, 212 families including 217 children were enrolled in the case management program. During Fiscal 2002 the Department expects to provide case management services to 300 children.
- During Fiscal 2001 the Department launched three new programs to deliver asthma education and case management in high-risk neighborhoods in East Harlem in Manhattan, the North Shore in Staten Island and Bedford-Stuyvesant in Brooklyn. Programs have been underway in Jamaica, Queens and the South Bronx since Spring 2000. During Fiscal 2001 these programs provided case management services to 452 children. In Fiscal 2002 an estimated 450 children will receive case management services through these contracts. All contracts are for a two-year period, with a possible renewal for a third year.

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- In Fiscal 2001 the Department continued its media campaign activities to enhance public awareness of asthma in the City.
 - In September, October and December 2000 and January 2001, posters using the “Strike Out Asthma” campaign appeared on the outside of City buses, and in May and June 2001 the posters appeared on approximately 200 community billboards in the targeted high-risk neighborhoods.
 - From July through September 2000 and May and June 2001, a full-page ad with the message of “Strike Out Asthma” was published in the Yankees and Mets baseball program booklets. A similar ad appeared in the programs from April through June 2000.
 - In Fiscal 2002 the Department plans to implement the third phase of its media campaign, focusing on the use of asthma self-management plans. The new campaign, “Every Asthma Action Hero Has An Asthma Plan” will appear in the subway system and on community billboards and posters throughout the City.
- In Fiscal 2001 the Department also conducted a variety of staff training and community education activities. In Fiscal 2002 the program will continue to work with CBOs and day-care programs licensed under the Department.
 - During Fiscal 2001 training sessions in reducing childhood asthma were conducted at 53 CBOs, compared to 48 CBOs in Fiscal 2000, reaching a total of 5,024 people, including staff and parents. In addition, the Department participated in 31 asthma health fairs throughout the City.
 - Training sessions in reducing childhood asthma were conducted for 387 physicians and ancillary health professionals at 14 sites.
- In September 2000 the Department concluded contract negotiations with New York University for a three-year evaluation of the effectiveness of the Childhood Asthma Initiative. The evaluation plan was completed in June 2001 and components of the evaluation, including surveys, review of baseline data, pilot surveys, and attendance at community and Initiative-sponsored meetings began in April 2001. The evaluation is expected to be completed by Fiscal 2004. Interim reports will be made at one-year intervals.

COMMUNITY HEALTH COLLABORATIONS

- In January 2001 the Department’s Turning Point Initiative was awarded a grant of \$100,000 from a philanthropic foundation and the National Association of County and City Health Officials. The additional funding will enable the program to further develop its five borough planning committees during Fiscal 2002, including expanding membership in the committees, improving communication among partners by developing borough communication networks and facilitating partner access to the five community health profiles that were created in conjunction with the community health forums.
 - In July 2000 the Department launched the Turning Point Partners newsletter. During Fiscal 2001, five issues were distributed to over 300 partner organizations. The newsletter is also available on the Department’s home page on NYC.GOV. In Fiscal 2002 the Department plans to evaluate the newsletter for overall impact and determine future newsletter plans.
- In Fiscal 2001 the Department undertook a number of activities using \$13 million of the funds that the State received from the settlement with tobacco manufacturers.

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- In January 2001 the Department launched a citywide multimedia advertising campaign, “Quit Yet?” to encourage New Yorkers to quit smoking. The Quitline has received more than 15,000 calls since the campaign aired in February. A six-month follow-up survey found that about 12 percent of smokers who called the Quitline had quit smoking.
- In Fall 2000 the Department conducted the youth tobacco survey using a survey instrument designed in Summer 1999. As of Spring 2001 over 20,000 ethnically and racially diverse students in grades 3 through 9, in 16 of the 32 school districts, were surveyed regarding tobacco use behaviors, attitudes and knowledge about tobacco. Preliminary results became available in May 2001. The Department will continue to conduct the survey each year for the next three years. Results from the survey will allow the Department to evaluate the effect of the school-based tobacco control funding.
- In May 2001 the Department awarded five public school districts and the Diocese of Brooklyn school-based contracts to develop programs to discourage children from smoking. The contract will begin during the 2001-2002 school year.
- In Fiscal 2001 the Department continued to plan the Behavioral Risk Factor Survey, which will assess adult tobacco use from data on the health behaviors of approximately 3,000 individuals. The Department will work in collaboration with SDOH and expects to conduct the survey by a revised date of Fall 2002 due to delays in securing a contract with an appropriate vendor.
- In September 2000 the Department entered into a contract with the Columbia University Mailman School of Public Health to conduct a study of lung cancer in Staten Island and to develop a health promotion and risk reduction program on 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. A press conference was held on Staten Island in July 2001 to inform the public of the three main components of the study and to encourage participation in the baseline risk factor survey and educational components of the project. Recruitment of study participants is scheduled to begin in October 2001 and conclude in June 2003.
- In September 2001 the Department will launch a Senior Health Task Force (SHTF) to increase the Department’s capacity to address health issues facing senior citizens. Participants in the task force will include the Department for the Aging (DFTA), the Department of Mental Health (DMH), and NYCHA, in addition to academic institutions, CBOs, service and health care providers and professional organizations.
 - The primary objectives of SHTF will be to create an external inventory of senior health information to help inform DOH’s programmatic priorities; coordinate DOH programs that currently address senior health and services; undertake a health promotion program for seniors who use NYCHA senior centers; and enhance DOH’s existing program serving seniors, the Adult Immunization Program, by closing gaps in program design and delivery.

TUBERCULOSIS CONTROL

- In Calendar 2000 New York City had the lowest tuberculosis (TB) case rate ever recorded in the City: 16.6 cases per 100,000 persons. The previously lowest rate of 17.2 was recorded in 1978. During Calendar 2000, 1,332 new cases of tuberculosis were reported in New York City, an 8.8 percent decrease from the 1,460 cases reported in 1999 and a 65 percent decrease from the 3,811 cases reported in 1992, the peak of the epidemic.

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- In Calendar 2000, 61.1 percent of the reported individuals with tuberculosis with a known country of origin were born outside of the United States. In Calendar 2000 among immigrants with tuberculosis, 34 percent had entered the United States within the past five years; of these, 22.2 percent had been in the United States for less than one year. To address this growing problem, the Department's Tuberculosis Control Program began targeted tuberculin skin testing in immigrant communities throughout the City. Those individuals found to be infected with tuberculosis are offered treatment to prevent the development of active disease.
- There were 14 newly reported cases with multi-drug resistant TB (MDRTB) in New York City during Fiscal 2001. There were a total of 59 patients with MDRTB receiving treatment in the City at the end of Fiscal 2001, compared with 54 MDRTB patients receiving treatment at the end of Fiscal 2000.
- 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 Bushwick Chest Center in Brooklyn opened in June 2001. The renovation of the Corona Chest Center will be completed by a revised date of November 2001. Renovations at the Bedford and Brownsville Chest centers in Brooklyn are expected to be finished by a revised date of Fall 2001. Renovations have been on hold at the Chelsea Chest Center in Manhattan since November 2000 primarily due to efforts to repair the roof.

HIV/AIDS SERVICES

- From the beginning of the AIDS epidemic in 1981 through December 2000, 122,616 AIDS cases have been reported to DOH. During Calendar 2000 a revised total of 6,075 new AIDS cases were reported, compared to a revised number of 6,224 cases in Calendar 1999. During Calendar 2000, a revised number of 25 new pediatric HIV/AIDS cases were reported, compared to a revised number of 27 cases in Calendar 1999.
 - Despite continuing declines in the number of newly reported AIDS cases, studies conducted by the Department 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.
- The preliminary number of deaths from HIV/AIDS in Calendar 2000 is 1,957, compared to a revised number of 2,020 deaths in Calendar 1999.
- 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 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. During the period of March 2000 through February 2001, there were 33,824 new clients enrolled in Title I Ryan White services, and the active client enrollment at the end of February 2001 was 80,666 compared to a total of 53,966 individuals enrolled at the end of February 2000. In Fiscal 2002 a portion of the increased funds will be targeted to improve the health outcomes among HIV-infected members of minority communities.

MATERNAL, INFANT AND REPRODUCTIVE HEALTH SERVICES

- The citywide infant mortality rate for Calendar 2000 was 6.7 deaths per 1,000 live births. This represents a decrease from the Calendar 1999 rate of 6.9 deaths per 1,000 live births and the lowest rate since the City began collecting this data in 1898. In Calendar 2000 there were 839 infant (under one year of age) deaths and 125,563 live births.

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- In Calendar 2000 the infant mortality rates were 5.1 deaths per 1,000 live births in Manhattan, 7.4 in the Bronx, 5.8 in Queens, 6.9 in Brooklyn and 6.1 in Staten Island.
- During Fiscal 2001 DOH served an average active caseload of 1,149 women and infants in five field sites in Manhattan, Brooklyn, Queens and the Bronx, compared with 1,095 clients in Fiscal 2000. 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.
- The Women's Healthline received 27,312 calls during Fiscal 2001, a decline from 34,548 calls in Fiscal 2000 due to the relocation of the call center and staffing shortages.
- In November 2000 the Department's Pregnancy Risk Assessment Monitoring System (PRAMS), a project funded by the federal CDC, received approval from its Institutional Review Board (IRB) to collect maternal behavioral risk factor data and analyze its relationship to poor pregnancy outcomes and events occurring in early infancy. In April 2001 the Department received an additional five years of funding from the federal CDC for the PRAMS project. In April 2001 the federal CDC installed the software necessary for PRAMS and in May 2001, data collection began. The first sample consisted of 319 women who gave birth in January and February 2001. Subsequent samples of about 170 women were selected monthly 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.
- In Calendar 2000 the Department convened a cross-cutting task force to develop a plan for infant mortality reduction. The goal is to reduce infant mortality rates and lessen the citywide racial, ethnic and geographic disparities. Since September 2000, the beginning of the implementation phase of the initiative, the Department has reached out to community-based organizations in Central Brooklyn through collaboration on special projects, infant mortality data-sharing presentations and a partnership-building meeting.
 - In September 2000 the program implemented a pilot project to reduce the racial, ethnic and neighborhood disparities in infant mortality through partnership development, community involvement and the collaboration of a cross-section of health and related programs and services. The project targets community districts in Central Brooklyn: Brownsville, Bedford, Crown Heights, South Crown Heights, Bushwick and East Flatbush. The project will be expanded to target other communities in the City, based on their infant mortality rates, socioeconomic factors, and other indicators of health and community resources. In Fiscal 2002 the project will further its community-planning activities by conducting a media campaign, implementing a provider and community education program, and establishing an infant mortality review initiative to examine the occurrences of infant deaths and the possible contributing factors, and recommending actions to improve birth outcomes.
 - In June and July 2001, 12 focus groups were held with Caribbean- and US-born women to determine infant mortality awareness and health behaviors before and during pregnancy. During the same time period, focus groups and interviews were conducted with community providers. By Fall 2001 and Winter 2001-2002 respectively, information gathered in the focus groups will be used to create messages for a media campaign and provider and community education curricula. The media campaign is expected to begin November 2001 and the Department expects to begin holding community education sessions by January 2002.

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PUBLIC HEALTH SERVICES FOR CHILDREN

- In Fiscal 2001 the Early Intervention Program, which provides contracted services to developmentally delayed infants and toddlers, received 17,453 referrals compared to a revised number of 15,317 in Fiscal 2000, an increase of 14 percent. At the end of June 2001, 14,703 children were receiving services, compared to a revised number of 13,709 at the end of Fiscal 2000. The number of referrals to the program is expected to rise to 19,717 children in Fiscal 2002.
- In October 2000 the City cosponsored a conference with a nonprofit health organization, convening pediatric primary care providers to disseminate information regarding available services and ways to engage families in order to raise awareness and promote partnerships among the nonprofit health organization, the Early Intervention Program and pediatric primary care providers to improve service quality.
- In Fiscal 2001 the Department continued to develop the Child Health Initiative (CHI), an integrated approach to addressing issues facing children in high-risk communities. The purpose of the initiative is to reduce childhood morbidity due to lead poisoning, asthma, vaccine-preventable illness and injury. The initiative's components will include three community resource teams deployed in identified neighborhoods, and provider education and quality improvement efforts.
 - As of July 2001, two of the three community-based offices have been opened. The Bedford-Stuyvesant and Jamaica offices opened in Spring 2001, and the Bushwick office is scheduled to open by Fall 2001. During Fiscal 2001, staff worked through a variety of venues to engage community residents on the CHI topic areas. During Fiscal 2001, CHI staff also worked in collaboration with the Department's Office of Minority Health, using that program's mobile van to engage community residents in each of the three CHI neighborhoods to conduct outreach and one-to-one education on childhood asthma, lead poisoning prevention, home injury prevention and childhood immunization. DOH expects to begin providing CHI services through three mobile outreach/education vans in early Fiscal 2002.
 - In early Fiscal 2001 community resource team staff began to meet with community leaders and health care providers in Bedford-Stuyvesant and Bushwick to enlist support for the program as well as gain insight into the communities' needs. Similar efforts began in Jamaica in Spring 2001, earlier than planned. In Fiscal 2002 the Department will continue engaging community leaders and expand its partnerships with CBOs in an effort to develop a comprehensive set of prevention and health promotion activities in the communities.
 - By the end of Calendar 2001, 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 with regard to childhood immunizations, lead poisoning, asthma and home injury prevention. The Department has begun to identify clinical providers in the target neighborhoods to participate in this component.
- During Fiscal 2001, 99.5 percent of all public and private hospitals and clinics (202 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 202 public and private hospitals and clinics reporting to the CIR, 101 reported electronically and 101 through paper reports.
 - During Fiscal 2001, 87 percent of private physician practices, representing 857 sites, reported to CIR, with 114 reporting electronically and 743 through paper reports.

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- At the end of Fiscal 2001 a cumulative total of 2,083,959 children with 11.9 million immunizations were recorded in the CIR, compared with 1,801,176 children and 9.9 million immunizations recorded in the CIR at the end of Fiscal 2000.
- In Fiscal 2001 the Department provided a daily health presence in 623 out of 657 public elementary schools and 162 out of 171 public intermediate schools, compared to 633 elementary schools and 159 intermediate schools during Fiscal 2000. The decrease in daily health presence in the elementary schools is due to delays in hiring nursing staff during the school year. These schools have adequate medical rooms and are not served by school-based clinics.
- During Fiscal 2001 the Department continued to work with the Board of Education to identify suitable space for health services in a revised number of 28 elementary and four intermediate schools/annexes.

LEAD POISONING PREVENTION

- The number of new childhood lead poisoning cases declined by 20 percent, from a revised 922 cases in Fiscal 2000 to 741 cases in Fiscal 2001. Additionally, the number of children 6 months to less than 6 years of age with blood lead levels of 10 µg/dL or higher continued its dramatic decline from 9,332 in Calendar 1998 to 6,233 in Calendar 2000, a decline of 33 percent. The continuing decline in childhood lead poisoning mirrors the nationwide trend of reduced lead poisoning prevalence and is also due, in part, to increased awareness by the public and building owners of risk factors and protective methods.
- During Fiscal 2001 the Department continued its activities associated with the implementation of Local Law 38 of 1999. The Department continued to develop computer software that will allow information sharing between the Department of Housing and Preservation Development (HPD) database and LeadQuest, the Department's Lead Poisoning Prevention Program surveillance and tracking database. The first phase of development was completed by the end of Calendar 2000 and enabled the Department to view HPD data on dwelling units where a Local Law 38 violation was issued, extract information on the children residing in these dwelling units, match the children's records to existing DOH data records to avoid duplication, prompt DOH staff to send correspondence to the children's families to recommend follow-up blood lead testing, monitor follow-up blood test reports and prompt DOH staff to send a follow-up letter for any child whose blood lead test was not received four months from the time of the first letter.
- As of October 2000 the Department established four contracts for lead-safe houses to provide shelter for families whose homes are being treated for lead paint hazards. In September 2001, five dwellings will be operational in Brooklyn and Queens. In October 2000 a fifth contract was awarded to a CBO located in the South Bronx to work with the Department's Child Health Initiative. The CBO has purchased a large van that it is using to conduct the same type of community activities the Department has planned for the communities targeted in the Child Health Initiative. In April 2001 the CBO began providing health assessments emphasizing asthma, and health education and literature dissemination on various child health issues such as asthma, lead prevention and immunization. In Fiscal 2002 it will continue to provide these activities.
- In December 2000 the Department launched television advertisements informing families that building owners are required by law to remediate lead paint hazards such as chipped and/or peeling lead-based paint in homes.

DEPARTMENT OF HEALTH

HEALTH AND SAFETY INSPECTIONS

Pest Control

- In Fiscal 2001 the City continued its rodent control and eradication efforts. In June 2000 the Deputy Mayor for Operations established the Rodent Control Task Force comprised of over 15 City agencies and quasi-agencies. Chaired by the Mayor's Office of Emergency Management, the Mayor's Office of Operations and the Department of Health, meetings are held weekly to coordinate Integrated Pest Management practices, including assessment, abatement and eradication activities.
- In Fiscal 2001 the Department's Enhanced Program, combined with the regular complaint-based program, conducted 49,902 inspections including complaint-compliance inspections, and 64,892 exterminations, compared to 37,089 inspections and 51,262 exterminations during Fiscal 2000. The increase in inspections and exterminations is due principally to increased baiting of catch basins in rodent-infested areas. The Department billed noncompliant property owners for 137,865 hours of clean-up work generated from all of its pest control activities, compared with 139,077 hours of clean-up work during Fiscal 2000. In Fiscal 2002 the Department plans to continue to provide clean-up assistance to other City agencies through the Rodent Task Force as well as to inspect and clean up properties of noncompliant owners.
- During Fiscal 2001 the Department received 19,358 rodent complaints, compared to 16,442 received last year, due to increased public awareness resulting from the Department's rodent prevention multimedia campaign and heightened media attention. In July 2000 the Department made rodent complaint forms available to the public through its home page on NYC.GOV. Prior to the Web page complaint form, the public was able to register complaints three ways: through e-mail via NYC.GOV, through DOH's central complaint telephone line, and by mail. As of the end of June 2001, DOH has received 1,301 rodent complaints through the Web.
- In Fiscal 2001 the Department conducted 28,095 inspections as part of the Enhanced Pest Control Program, compared to 22,833 inspections in Fiscal 2000. This rise is due to increased productivity on behalf of the public health sanitarians. The Enhanced Program, which identifies strategic geographic areas with rodent problems and develops customized plans to address the problem, was launched in October 1999.
 - In Fiscal 2001, 77 percent of all initial inspections and 55 percent of all compliance inspections produced by the Enhanced Program resulted in violations. In comparison, the failure rate for inspections of the Enhanced Program's predecessor, the Comprehensive Pest Control Initiative, was 38 percent and 53 percent respectively. The high percentage of violations associated with the Enhanced Program is a result of the Department focusing its inspection resources on geographic areas of highest need.
- In Fiscal 2001 the Department received 165 new rodent bite reports, compared to 157 reports in Fiscal 2000.
- In October 2000 the Department launched a new Rodent Prevention public education and community outreach campaign, "You Feed Them, You Breed Them: Help NYC Send Rats Packing," to increase public awareness of methods that reduce the rodent population. The campaign includes an animated television spot; outdoor posters for placement on buses, bus shelters and sanitation trucks; and brochures and posters for distribution to community organizations citywide.

DEPARTMENT OF HEALTH

- In August 2000 the Department also organized a Speaker's Bureau to provide speakers to community groups, schools and other venues throughout the City to present more detailed information on how individuals and communities can help the Department reduce the rodent population.

Restaurant and Mobile Food Vending Inspections

- During Fiscal 2001 the Department performed 22,848 initial food establishment inspections to ensure compliance with sanitary codes, compared to 22,895 inspections in Fiscal 2000.
- The Department's unit of inspectors for a program of evening and weekend inspections, formed in October 1999 to ensure that establishments that open late receive an inspection, conducted 4,024 inspections in Fiscal 2001.
- During Calendar 2000 the Department performed full initial inspections on 99.9 percent of the City's 21,130 permitted and/or regulated food service establishments. This is the third consecutive year that the Department has completed inspections of over 99 percent of all food service establishments.
- In Fiscal 2001 the Department reported an average of 54 calendar days for the elapsed time between a failed initial cycle inspection and the completion of the requisite follow-up inspection, compared with 63 days reported during Fiscal 2000.
- In Fiscal 2001 the Department performed 8,246 inspections of mobile food vendors to ensure compliance with health regulations, compared with 8,889 inspections during Fiscal 2000.

VETERINARY PUBLIC HEALTH

- In Fiscal 2001 DOH'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. The first van became operational at the Manhattan shelter in January 2001. The second van, which provides services at the Brooklyn and Staten Island shelters, became operational by a revised date of July 2001.
- In Fiscal 2001, 22.5 percent of animals were adopted directly from CACC shelters or returned to owners and rescue placements, compared to 23.4 percent of animals during Fiscal 2000.
- In Fiscal 2001 CACC continued design work for the expansion and renovation of the Manhattan shelter. Site work began in July 2001, earlier than planned, and the groundbreaking is expected in Fall 2001.
 - Since the inception of CACC in 1995, it has operated full-service shelters in Manhattan and Brooklyn and pet receiving facilities in Staten Island, the Bronx and Queens. In Fiscal 2001 the Department of Citywide Administrative Services continued a site search for full-service shelters in the Bronx and Queens. In Fiscal 2002 CACC is preparing a scope of work to upgrade the medical facilities at the Staten Island location and has begun operating it as a full-service shelter.

CUSTOMER SERVICE

- In January 2001 the Department launched the "Provider Access Line," which serves as a single point of contact to the Department for health care providers in New York City. 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.

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- Construction of space for the Call Center was completed and the first phase of relocating staff into the new location began in June 2001. The second phase of relocating staff is scheduled for Fall 2001. Staff will be cross-trained and implementation will begin by a revised date of Fall 2001, with full implementation expected by Spring 2002.
- In Fiscal 2001 the Department received 37 patient complaints and nine patient compliments through its Patient Complaint and Compliment form. The form became available in the Department's walk-in clinics in February 2000 and tracks patient feedback. All complaints were responded to within the 30-day time period mandated by the State's Patient Bill of Rights initiative.
- In Fiscal 2001 the Department's Bureau of Medical and Professional Education and Training (MPET) provided continuing education training in current public health issues to 3,452 physicians and allied health professionals and 1,069 nurses, compared to 1,848 physicians and allied health professionals and 871 nurses during Fiscal 2000. MPET consolidates and strengthens the Department's capacity to increase collaboration between DOH and the medical community through public health education and training activities. In addition, in Fiscal 2001 the Department trained 9,722 food service industry workers at 284 food protection courses and 2,729 HIV/AIDS service providers.
- Through the City Health Information publication, a bulletin for health care providers created in 1982, DOH provides timely public health information to the medical community. In Fiscal 2001 the Department published six issues, including the Annual Summary of Reportable Diseases and Conditions in New York City, covering public health topics such as Hepatitis C, TB, West Nile virus, and school admissions requirements. Each issue is sent to approximately 46,000 health care providers throughout the City.

TECHNOLOGY

Electronic Death Registration System

- In Fiscal 2001 the Department began work with a new vendor on the Electronic Death Registration System (EDRS). EDRS, which must meet stringent requirements of confidentiality, accuracy, and security, will be an Extranet application that will allow the Office of Chief Medical Examiner, hospitals, physicians, funeral homes and DOH staff to register deaths electronically. Full implementation of EDRS is expected to begin by a revised date of Fall 2002. As part of this project, in Fall 2001 DOH plans to implement a new system for Vital Records staff to enter death certificates into EDRS.
 - In April 2001 the Office of Vital Records piloted an Internet-based e-commerce application for funeral directors. This electronic payment system eliminates the need for checks so that a funeral director may file a death certificate and pay for certified copies without going back to the office. The system is the first step in the delivery of EDRS and will provide funeral directors and the Department with experience in electronic payments.

Person Registry Information Management Environment (PRIME) Database

- In Fiscal 2001 the Department continued testing the PRIME system within its Communicable Disease program. This system 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 establishment of the final rules of the federal Health Insurance Portability and Accountability Act (HIPAA), promulgated in April 2001, and the National Electronic Disease Surveillance System (NEDSS).

DEPARTMENT OF HEALTH

- HIPAA requires new safeguards to protect the security and confidentiality of all medical records and other individually identifiable health information used or disclosed in any form, whether electronically, on paper or orally. The Department has until April 2003 to comply with the final rule's provisions. The law gives the federal Department of Health and Human Services the authority to make appropriate changes to the rule prior to the compliance date. 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. This will facilitate more accurate and timely reporting as well as enhanced public health use of disease information.
- The Department's assessment of the impact of HIPAA and NEDSS on the development of PRIME is expected to be completed by Spring 2002.

HEALTHTRAC (Health Tracking, Review, and Accountability)

- In keeping with the Mayor's Citywide Accountability Program (CAP), HealthTrac is a system for using performance data to improve the day-to-day management of the Department. It will be used to enhance senior level staff oversight of major programs in the Department, and also to track the implementation of the cross-cutting infant mortality initiative.
 - The first HealthTrac meeting will take place in September 2001, bringing together the Commissioner and Deputy Commissioners with selected program managers and their key staff. Initially, data will consist of Mayor's Management Report indicators and related indicators currently collected by the Department. It is expected that as new priorities emerge, these indicators will change. Indicators related to each program's support of the Infant Mortality Initiative will be a significant part of the HealthTrac meetings. In Fiscal 2001 the Department began development of an automated system for increasing accessibility of indicator information, which will be used to support HealthTrac.
 - HealthTrac data for June 2001 concerning four priority areas was posted on the City's Web site. Data for HealthTrac areas, which currently include pest control, tuberculosis control, food service establishment inspections and day care, will be reported monthly.

Restaurant Inspection Handheld Computer Project

- In Fiscal 2001 the Department continued to implement the handheld computer project for restaurant inspections. Field testing of hardware and software began in July 2000. In May 2001, 10 additional public health sanitarians were trained to use handheld units. The Department expects that by a revised date of March 2002, all public health sanitarians performing cycle 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 1.6 million during Fiscal 2000 to approximately 3.2 million during Fiscal 2001, an almost 100 percent increase.
- The Department's interactive application, available through its home page on NYC.GOV, allows the public to search restaurant inspection results. Launched in May 2000, it received between 25,000 to 35,000 visitors each month in Fiscal 2001.
- During Fiscal 2001 the Department launched several new functions on NYC.GOV.

DEPARTMENT OF HEALTH

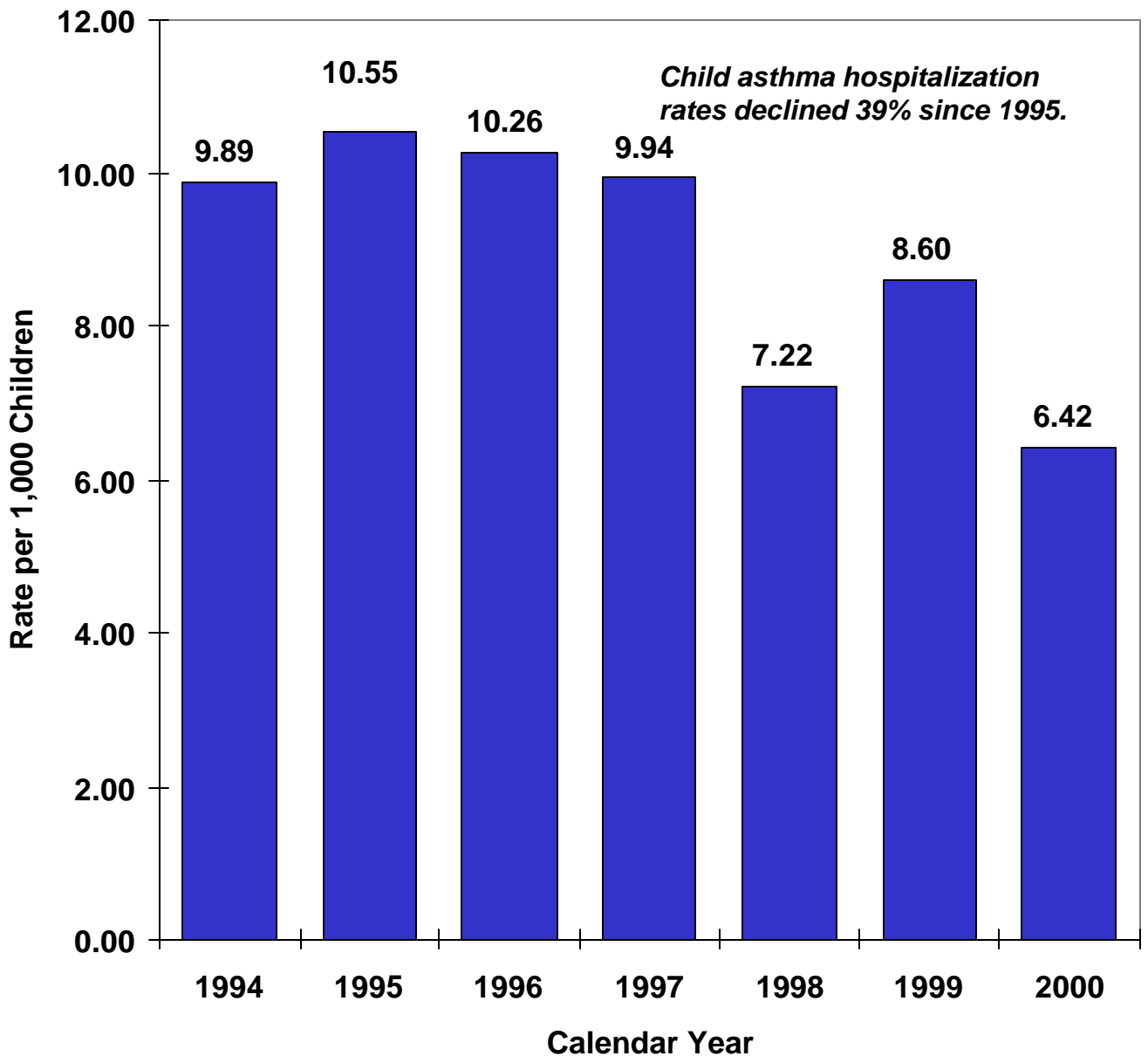
- The HealthStat Provider Directory enables Medicaid Managed Care and Child Health Plus recipients and facilitated enrollers to select health plans by finding qualified medical providers who best match their needs. A geographic locator can search for a provider by name, location, medical plan and languages spoken. Also available are the provider's practice specialty, current status with regard to the acceptance of new patients and wheelchair accessibility.
- In March 2001 the Department launched an online birth certificate ordering system. The system is being enhanced with an improved, more intuitive design and will be re-released in Fall 2001.
- The online flu shot facility locator was first launched in October 2000 during last year's national vaccine shortage as an effective tool for the public to learn of vaccine availability in their neighborhood. This successful model will be used by the Department in Fall 2001 as part of its enhanced flu campaign.
- In September 2001 the Department began an Internet Website Expansion (IWE) project to create a strategic blueprint for further expansion of its Internet site and develop a set of recommended activities and policies to foster that development. The project will address issues such as what the users of the DOH Web site will see and experience and the role of the Web site in fostering communication and information sharing among the public, health providers and other organizations that are concerned with health issues. As part of this expansion, the Department will initiate NYCMed, a Web portal on NYC.GOV for New York City medical providers. The portal, to be launched in Summer 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.

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Department's expenditures were \$951.33 million, compared with its plan of \$900.24 million; headcount was 2,864, compared with its plan of 3,537. The Department's Fiscal 2000 expenditures were \$792.13 million, and headcount was 2,984.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$958.11 million and a planned headcount of 3,294.

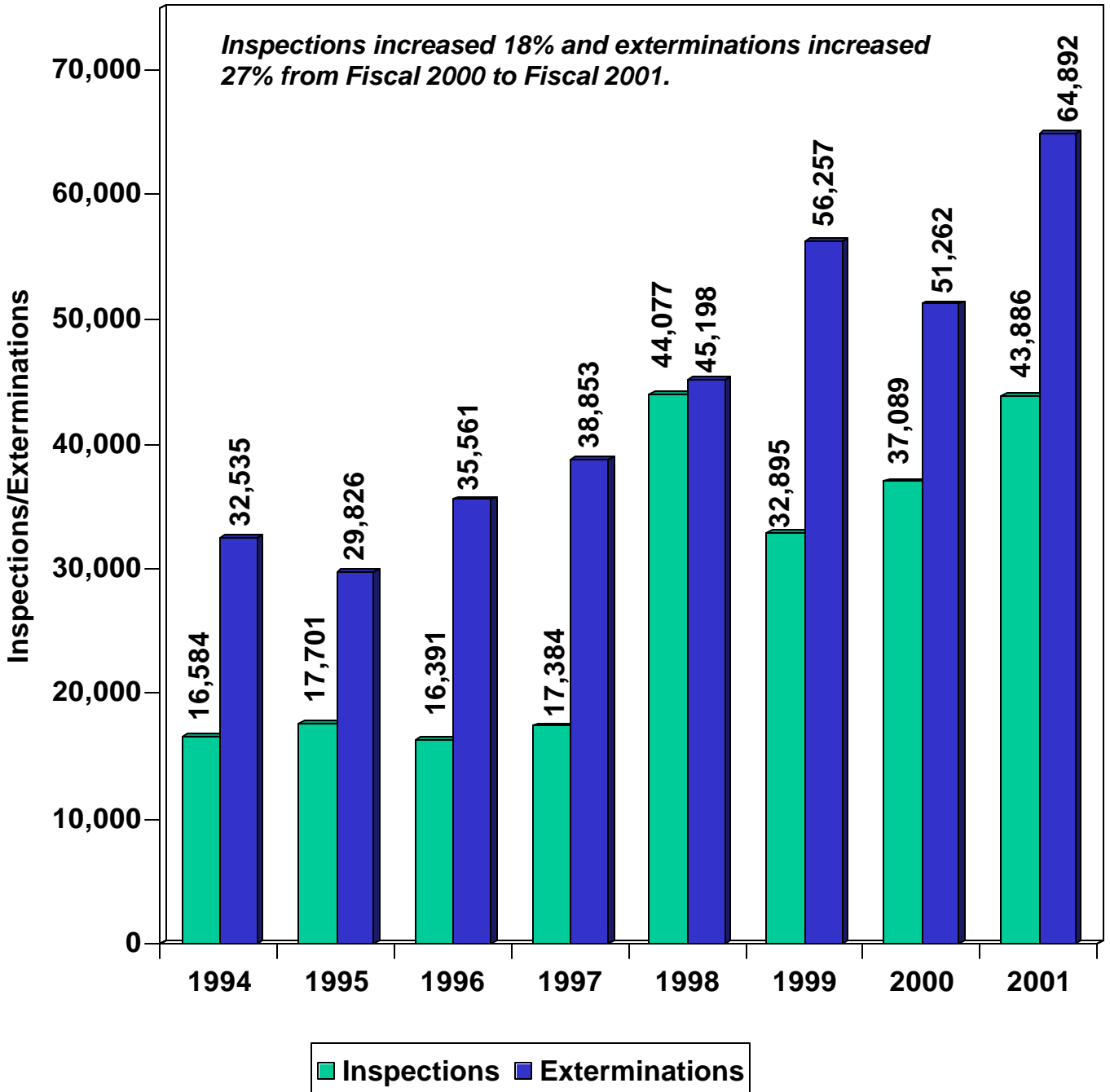
Department of Health

Asthma Hospitalization Rates Per 1,000 Children Children Ages 0-14 Calendar 1994-2000



Department of Health

Citywide Pest Control Programs Total Inspections and Exterminations Fiscal 1994-2001



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	FY 01 Actual	FY 02 Plan
Release decedents for burial within a revised average of 17.5 hours.	17.7 hours	17 hours
Complete a revised 72% of autopsy reports within 90 days.	67%	75%

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

Objective	FY 01 Actual	FY 02 Plan
Reduce medicolegal investigator overtime to a revised level of 9,200.	10,501	8,500 hours

HIGHLIGHTS AND ACHIEVEMENTS

INVESTIGATION AND AUTOPSIES

- In Fiscal 2001 the Office of Chief Medical Examiner (OCME) released decedents for burial within an average of 17.7 hours, a decrease of 6.8 percent from the average of 19 hours during Fiscal 2000. During Fiscal 2001 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 67 percent of autopsy reports within 90 days, compared to 72 percent during Fiscal 2000. The decrease in reports produced in 90 days is due to the delay in hiring clerical staff. The percentage of reports completed will improve when additional clerical support becomes available for the production of toxicology and autopsy reports. Implementation of Voice-to-Text technology for the production of autopsy reports has been delayed due to continued staff shortages in the computer unit, which has only four of the nine authorized positions filled. Despite the staff shortages, this unit has completed upgrading all the network connections between the Manhattan office and the other borough offices. Improving the network infrastructure was a critical first step to implementing new technologies.

OFFICE OF CHIEF MEDICAL EXAMINER

FORENSIC DNA TESTING

- During Fiscal 2001 the Forensic DNA Testing Laboratory performed 365,574 tests on the 3,015 cases received from the New York City Police Department (NYPD), a 42 percent increase from the 257,493 tests on 3,191 cases received in Fiscal 2000. The 3,015 cases received from NYPD produced 13,814 DNA profiles. Since April 2000 the laboratory has uploaded 1,530 DNA profiles to the New York State Combined DNA Index System databank. This has produced 67 "hits," including five on the national level. A "hit" is a match between a DNA profile of a known offender 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 June 2001 upload, which produced 11 of the 67 hits. The New York State databank has 47,426 convicted offender and casework profiles. Of these profiles 1,996 resulted from DNA casework performed by DNA laboratories. Of the 1,996 profiles from casework, the OCME DNA laboratory is responsible for 1,530 or 77 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.
- In cooperation with NYPD, the Office started construction of a High Sensitivity DNA Laboratory in August 2000. The project is scheduled for completion in Spring 2002. 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, the Office has started the process of designing 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. Detailed design drafts of the building have been completed, and construction is scheduled to start in October 2001 with completion in Fall 2004. The design process for this cutting-edge forensic laboratory included a review by an international team of forensic scientists. Many of the recommendations of this team have been implemented in the final building design.

AGENCY OPERATIONS

- During Fiscal 2001 OCME used 10,501 hours of Medicolegal Investigator (MLI) overtime in support of investigative operations, which is above the 9,200 hours planned for Fiscal 2001. The increased usage is attributed to the delayed hiring of one MLI candidate, the loss of a per diem MLI in Queens and other vacancies. Additional overtime hours were necessary for the management of the Communications Unit. The Office currently has a full headcount of 24 full-time MLI positions filled with trained staff. During 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 nearing completion and construction is scheduled to begin by November 2001. The Office will also start construction of a new combined Medical Examiner and County Mortuary Facility in Queens at Queens County Hospital by December 2001.

OFFICE OF CHIEF MEDICAL EXAMINER

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 will be completed by November 2001 and will result in a Request for Proposals (RFP) for the procurement of an agency LIMS system. This will provide an integrated system to manage forensic DNA casework and medical examiner casework. Installation of LIMS will start in Spring 2002 and will be phased in over two years. The final phase of installation will expand the system to the new DNA building when it opens in Fiscal 2004.
- In cooperation with DOH, the Office began work with a new vendor on the Electronic Death Registration System (EDRS). 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. Full implementation of EDRS is expected to begin by a revised date of Fall 2002.

BUDGET HIGHLIGHTS

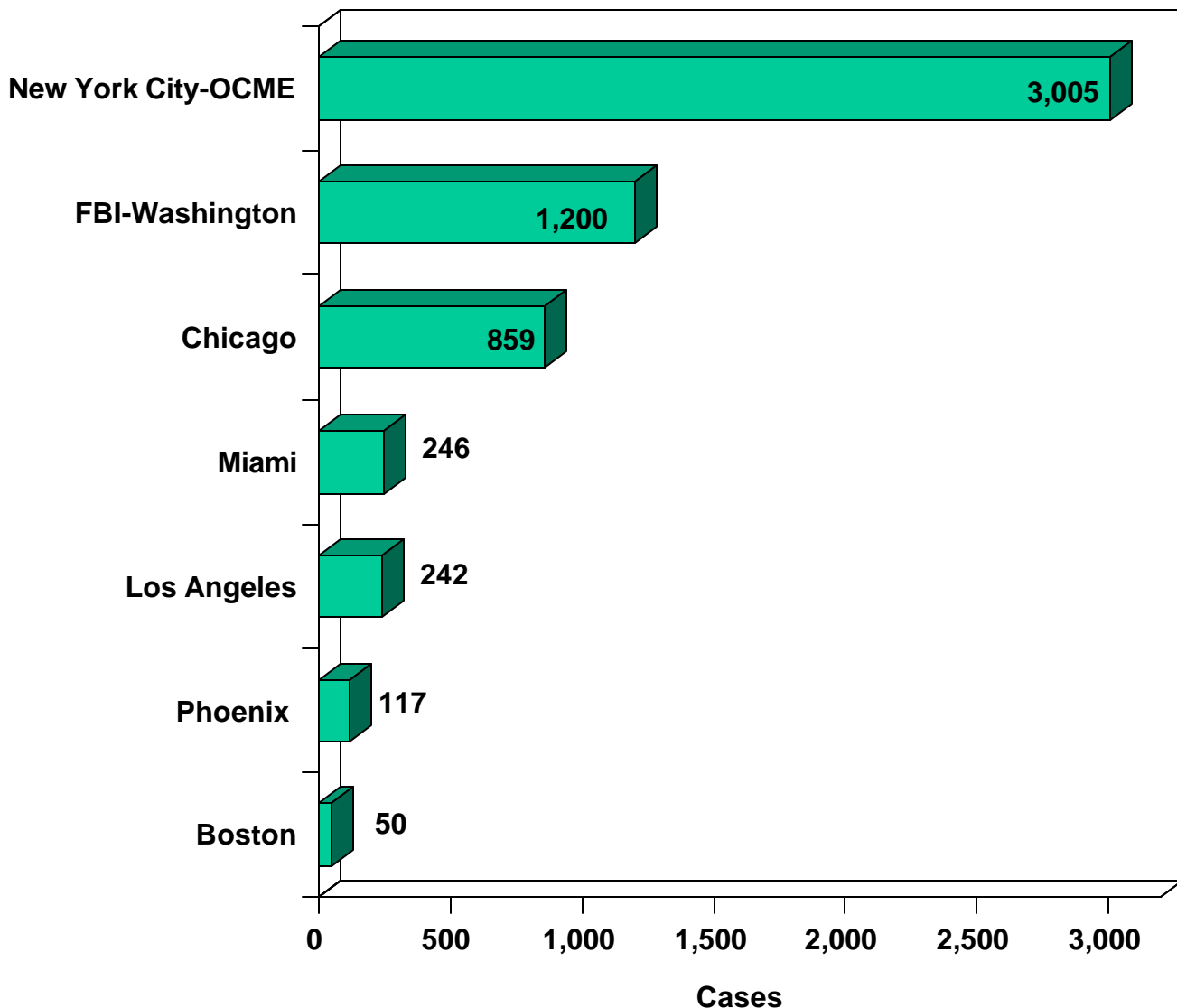
- In Fiscal 2001 the Office's expenditures were \$29.8 million, compared with its plan of \$23.8 million; headcount was 269, compared with its plan of 354. The Office's Fiscal 2000 expenditures were \$18.2 million, and headcount was 238.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$31.2 million and a planned headcount of 354.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

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

Office of the Chief Medical Examiner

DNA Cases Received in New York City, Miami, Phoenix, Los Angeles, Washington D.C., Chicago, and Boston Calendar 2000



Source: FBI Forensic DNA Laboratory.

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	FY 01 Actual	FY 02 Plan
Achieve 1,900,000 primary care visits.	1,956,703	1,900,000
Provide 980,800 emergency room visits.	1,001,279	973,800
Achieve an average length of stay of 5.5 days for general care beds.	5.3	5.5
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.		
Continue to include eligible Human Resources Administration clients in the Corporation's chemical dependency programs.		

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

Objective	FY 01 Actual	FY 02 Plan
Achieve full three-year accreditation for all facilities that will be surveyed by the Joint Commission on the Accreditation of Health Care Organizations.	100%	100%
Provide initial family planning appointments within seven days.	6	7
Provide initial gynecology appointments within eight days.	10	8
Provide initial mammography screening appointments within seven days.	4	7
Achieve or better the percentage of women entering prenatal care during the first trimester of pregnancy to 60%.	64%	60%
Achieve or better compliance rates for childhood immunization to 95% of two-year-olds, surpassing the federal Healthy People 2000 goal of 90%.	99.3% as of 3/01	95%
Incorporate self-sufficiency and employment into outcome objectives for all patients in outpatient chemical dependency treatment programs.		

HEALTH AND HOSPITALS CORPORATION

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

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

HIGHLIGHTS AND ACHIEVEMENTS

HOSPITAL MANAGEMENT AND PROGRAM UTILIZATION

- In Fiscal 2001 the Health and Hospitals Corporation (HHC) saw an increase in primary care visits to 1,956,703, compared with 1,887,443 in Fiscal 2000, and an increase in emergency room visits (including those resulting in admission) from 984,988 to 1,001,279 during the same reporting periods.
- In Fiscal 2001 HHC reduced its average length of stay for general care patients to 5.3 days, excluding psychiatry and rehabilitation, from 5.4 days in Fiscal 2000 and decreased the general care occupancy rate from 88.1 percent to 85.7 percent. During the same period, hospital discharges increased from approximately 212,600 to 213,400.
- In an effort to control the rising costs of medical malpractice, the City will enter into a Memorandum of Understanding with the Corporation to transfer management and financial responsibilities for medical malpractice to HHC during Fiscal 2002. During Fiscal 2001 the City on behalf of HHC paid approximately \$166.5 million in settlements and judgments related principally to medical malpractice claims, representing an increase of 49 percent from \$111.8 million in Fiscal 1998. HHC recognizes that there are steps that can be taken to better manage malpractice claims and to further enhance patient safety. Such steps, together with measures to increase individual provider accountability, should moderate the increase in malpractice costs over the long term.
 - In May 2001 the Corporation devised a plan to institute the industry's "best practices" for control of medical malpractice risk and associated claims-related loss. This comprehensive approach will include 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 corporatewide claims and risk management databases. The Corporation expects to fully implement the plan by the end of Fiscal 2002 after selecting a vendor.
 - In June 2001 the Corporation issued a Request For Proposals (RFP) to identify an experienced claims management organization. The organization will be responsible for the 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. HHC anticipates selecting a vendor by October 2001, beginning contract services by January 2002 and being fully operational by July 2002.

HEALTH AND HOSPITALS CORPORATION

SPECIAL CORPORATE INITIATIVES

HealthStat Initiative

- In April 2000 the Mayor created HealthStat, a comprehensive citywide initiative to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, over 20 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 150,000 individuals have been enrolled in public health insurance programs.
 - In July 2000, HHC's Woodhull Medical and Mental Health Center in Brooklyn was selected as one of 10 citywide sites for enrollment for Child Health Plus. In September 2000 HHC expanded its efforts to enroll uninsured individuals and children in Medicaid and Child Health Plus citywide. Presently, HHC's 11 acute facilities and six diagnostic and treatment centers are participating in the HealthStat initiative.
 - In an effort to increase enrollment, HHC staff and contracted HMO staff are assisting uninsured patients to complete applications for Child Health Plus or Medicaid. In Fiscal 2001, 97,945 applications have been completed for Medicaid or Child Health Plus (CHP), of which HHC staff completed 75,479 applications and on-site health plans completed 22,466 applications.
 - HHC facilities hosted various events and health fairs throughout the fiscal year in partnership with other City agencies in an attempt to aggressively enroll the uninsured.

Asthma Initiative

- Asthma is the leading cause of hospitalizations for New York City's children and represents the number one HHC pediatric admission diagnosis. During Fiscal 2001 the management of asthma continued to be one of HHC's top priorities. HHC continued its initiative to help patients manage asthma through a variety of education and disease management programs.
 - The Corporation has made significant strides in reducing the number of emergency room (ER) revisits for pediatric and adult asthma patients. The rate of pediatric asthma ER revisits declined from 5.9 percent in Calendar 1994 to 3.7 percent in Calendar 2000. The rate of adult asthma ER revisits declined from 10.2 percent to 7.1 percent during the same time period.
 - In Fall 1999 HHC incorporated an asthma action plan in every asthma patient's medical record. The purpose of the plan is to assist patients in self-management. Patients are instructed on how to monitor breathing with the regular use of a peak flow meter, how to anticipate asthma flare-ups, and how to communicate their conditions to their providers. Each HHC facility provides asthmatic patients with medical equipment to monitor their breathing.
- In a collaborative effort with the Department of Health, all HHC facilities have devised strategies, including expansion of community-based asthma health education, outreach and prevention, geared to decreasing asthma hospitalization rates and improving the management of this disease.
 - In November 2000 HHC purchased 12 customized vans to provide asthma screenings, counseling, education and referrals in high-need communities. The vans are staffed with health educators, nurses and respiratory therapists. Each van is equipped with a telephone, a video system, written materials for asthma education 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.

HEALTH AND HOSPITALS CORPORATION

- During Fiscal 2001 several HHC facilities have developed their own asthma programs for asthma treatment and education.
 - Harlem Hospital Center in Manhattan developed an asthma prevention program that provides patients and their families with education and appropriate treatment regimens.
 - Kings County Hospital Center in Brooklyn partnered with the Caribbean Women's Health Association to identify patients in need of case management and home visits.
 - Metropolitan Hospital Center in Manhattan created the Family Center Asthma Program that offers treatment and education for moderately to severely ill children and adults with asthma.
 - In August 2000 Woodhull Medical and Mental Health Center in Brooklyn developed a community asthma demonstration project, "Attack Back," which is an intensive school-based asthma initiative consisting of 18 schools, exceeding a plan of 10 for the end of Fiscal 2001. The schools are electronically linked to Woodhull's primary care clinics, pediatric clinics and inpatient units.

The Community Health Partnership Program

- During Fiscal 2001 HHC, through its Community Health Partnership (CHP), implemented a variety of initiatives funded by approximately \$85 million, the first cycle of a five-year, \$500 million State Department of Health (SDOH) grant to prepare for the transition to Medicaid managed care. HHC has implemented primary care expansion, managed care readiness and worker retraining activities that 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.
 - Examples of primary care service expansion activities using CHP funds include the opening of a primary care site in Springfield Gardens in Queens in August 2000 and the completion of renovations to an historic landmark bank building in Greenpoint, Brooklyn to house the North Brooklyn Greenpoint Health Center in October 2000.
 - In Fiscal 2001 the Corporation completed its installation in all HHC facilities of a managed care eligibility database, a component of HHC's financial management system, which enables staff to verify patient Medicaid and insurance eligibility status and identify primary care provider information online, as planned.
 - The Corporation continued to enhance the local area network (LAN) and wide area network (WAN) infrastructure through the development of technology linkages to Family Health Services and other extension clinics, which enables facilities and these sites to electronically access patient information.
 - During Fiscal 2001 the Corporation continued to implement worker retraining programs across all HHC networks, including customer relations and cultural competence training, as well as various other clinical, administrative and computer-related training initiatives to promote employee development and professional growth.

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- In January 2001 SDOH awarded HHC approximately \$174 million, the second and third cycles of CHP, to bring the total CHP award to HHC to approximately \$277 million through Fiscal 2001. As of June 2001, approximately \$128 million of this award was received by HHC. The Corporation will use these funds in Fiscal 2002 to support existing CHP activities as well as implement new initiatives such as the extension of "Open Access" at Bellevue Hospital and at Gouverneur Diagnostic & Treatment Center in Manhattan. "Open Access," a new outpatient model, will provide patients with access to their provider by matching the supply of providers with anticipated visit demand. Bellevue Hospital Center and Gouverneur Diagnostic & Treatment Center will decrease scheduling backlogs and reduce demand for unnecessary visits.

Community Access Program

- In October 2000 HHC received a \$1.3 million federal Community Access Program (CAP) grant from the Department of Health and Human Services/Health Resources and Services Administration (HRSA). The program supports innovative and collaborative approaches for integrating health care delivery systems that serve the uninsured and underinsured. The goals of the program 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. For Fiscal 2001 HHC partnered with a revised number of nine community-based organizations to implement this program.
 - During Fiscal 2001 HHC 's three perinatal network CAP partners conducted the Sister/Friend program in northern Manhattan, the south Bronx, southern Queens, and north and central Brooklyn. Approximately 50 pregnant women were identified and are currently engaged in this family-based care management program that provides support services, individual case management, clinic referrals and coordinating services to promote optimal birth outcomes.
- During Fiscal 2001 HHC researched and designed technology linkages between HHC facilities and community-based primary care and behavioral health CAP providers. The linkages, which will be implemented in Fiscal 2002, will provide real-time sharing of the patient financial screening, the scheduled appointment and clinical consultation information. This new development will help to coordinate comprehensive care for patients who traditionally cannot access a full range of care services on a nonemergency basis.

NETWORK INITIATIVES

Primary and Ambulatory Care

- During Fiscal 2001 HHC expanded its primary care capacity by opening the Sunnyside Medical Center in Queens.
- In March 2001 the Lincoln Medical and Mental Health Center in the Bronx opened the Comprehensive Cancer Prevention and Treatment Center. To serve cancer patients more efficiently, all oncology services offered by the hospital have been consolidated on-site. The multidisciplinary approach integrates surgical oncology, hematology, breast cancer servicing, colorectal oncology, radiation oncology, nutritional services, pain management and other cancer related services. The newly renovated Cancer Center is equipped with state-of-the-art medical equipment.
- In April 2001 Harlem Hospital Center opened the Lenox Avenue Health Center. This family health clinic is housed in a newly renovated space and will accommodate up to 13,000 visits a year.

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Patient and Administrative Support Services

- During Fiscal 2001 the Corporation completed the consolidation of administrative, clinical and ancillary services throughout its six healthcare networks to achieve cost efficiencies and strengthen its integrated continuum of care.
 - In May 2001 the North Brooklyn Health Network consolidated the finance departments at Woodhull Medical and Mental Health Center and Cumberland Diagnostic and Treatment Center to a single site at Woodhull.
 - In November 2000 the North Brooklyn Health Network completed an intra-network consolidation of the payroll department. The processing of payroll transactions was shifted from Cumberland Diagnostic and Treatment Center in Brooklyn to Woodhull Medical and Mental Health Center. Staff at Woodhull Hospital are processing all payroll transactions.
 - In August 2000 the Queens Hospital Center consolidated transportation services. The Central Transportation Office, using a computerized system, provides reports on scheduling and patient needs. As a result of this consolidation, waiting times for ambulettes and ambulances have decreased from three hours to one hour.
- In Fiscal 2001 HHC received several awards for outstanding achievement in community health services.
 - In April 2001 HHC received semi-finalist recognition in the Innovations in American Government Awards Program from Harvard University's John F. Kennedy School of Government for the Team/Technology Enhanced Medical Interpretation System (TEMIS) at Gouverneur Diagnostic & Treatment Center. TEMIS provides quality-controlled, remote simultaneous medical interpretation services to the facility's multilingual community by electronically connecting patients and providers to trained interpreters. The Innovations Award Program seeks to highlight public programs that are novel, significant, effective and transferable to other public agencies. HHC was one of 99 semifinalists selected from over 1,300 applicants.
 - In May 2001 HHC received the Safety Net Healthy Communities Award from the National Association of Public Hospitals (NAPH). The award recognized HHC innovations in its Asthma Initiatives and the Asthma Van program. The award recognized the combined efforts of the HHC Board of Directors, the Office of Medical and Professional Affairs, the Office of Operations, and the Office of Communications and Marketing. HHC was selected from 23 applicants nationwide.
 - In May 2001 HHC received the Jim Wright Vulnerable Populations Award from the National Association of Public Hospitals, for the Bellevue Hospital Center/New York University Program for Survivors of Torture. The award recognized humanitarian efforts in health care delivery. HHC was the single winner of this year's award and was selected from 60 applicants nationwide.
 - In October 2000 HHC received the 2000 Community Health Improvement Award, for Harlem Hospital's Pediatric Injury Prevention Program from the Healthcare Association of New York State (HANYS). The program, which has become a model nationwide, has led to dramatic reductions in injuries among children and adolescents in the Harlem community. The award recognized health care providers who collaborate with other local organizations to improve the health and well-being of their communities. Factors contributing to the program's success include education, elimination of community hazards, creation of safe play areas and development of safe activities for children that are supervised by adults.

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- In May 2001 HHC received the Big Apple Award for excellence in public relations, for the publication of its asthma health education magazine, "Healthy Habits and Choices" from the New York Chapter of the Public Relations Society of America (PRSA). The award recognized superior communications programs that solve problems, change opinions and create opportunities.
- In April 2001 HHC received four awards for excellence in the graphic arts from the Association of Graphic Communications. HHC received the Showcase Awards for its annual report publication "21st Century HHC/Financial Statement" and for its Corporation Web site, as well as Achievement Awards for the design of the HHC Asthma Van and for the "Healthy Habits and Choices" magazine.

Capital Plan Projects

- The rebuilding projects at Queens Hospital Center and Kings County Hospital Center, Phase I, continue ahead of schedule. The Dormitory Authority of the State of New York is managing these projects for HHC. Both projects, originally scheduled to be completed in Calendar 2002, are now both anticipated to be completed in Fall 2001. Phase I of the Kings County modernization project involves the construction of a new 340-bed general care facility. The rebuilding of Queens Hospital includes the construction of a 200-bed acute care hospital.
- HHC began design for the Kings County Hospital Center Phase II modernization. Phase II includes building a new diagnostic center and emergency department, and renovating the ambulatory care facilities. Excavation and construction on the project is anticipated to begin during the first quarter of Calendar 2002.
- In September 2000 Jacobi Medical Center in the Bronx and Bellevue Hospital Center received the State Department of Health's approval for major reconstruction projects. The Jacobi modernization includes a new inpatient bed tower, emergency room and diagnostic floors. Design for this project began in July 2000 and excavation began in August 2001. The Bellevue modernization includes building a new ambulatory care center and renovating three inpatient floors. Design for this project began in November 2000 and excavation is anticipated to begin in Fall 2001.
- In December 2000 HHC received approval from SDOH for major inpatient and outpatient capital improvements at Coney Island Hospital in Brooklyn. The Coney Island modernization includes a new seven-story bed tower for inpatient services and renovation of its ambulatory care facilities. Design for this project began in December 2000 and excavation is anticipated to begin in November 2001.

ACCREDITATION AND QUALITY ASSURANCE

Accreditation

- In Fiscal 2001 the Joint Commission on Accreditation of Healthcare Organizations (JCAHO) surveyed four HHC facilities: Coney Island Hospital, Kings County Hospital Center, Lincoln Medical and Mental Health Center, and Sea View Hospital Rehabilitation Center and Home in Staten Island. JCAHO evaluates hospitals against a revised 518 standards in several distinct areas, including assessment and care of patients, education, medical staff, nursing, infection control, management of human resources, patients' rights and organization ethics, leadership, information management, improving organizational performance and management of the care environment.

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- Between November 2000 and January 2001 JCAHO awarded full three-year accreditation to Coney Island Hospital, Kings County Hospital Center, Lincoln Medical and Mental Health Center and Sea View Hospital Rehabilitation Center & Home with scores ranging from 93 to 97 out of a possible 100. HHC's average score increased from 92.5 in Calendar 1994 to 95 in Calendar 2000. Consistent with HHC's performance in the past, the facilities surveyed demonstrated a high degree of excellence in providing quality patient care and compliance with the JCAHO standards.
- In Fall and Winter 2001 JCAHO will survey Elmhurst Hospital Center in Queens, Jacobi Medical Center, Metropolitan Hospital Center, Queens Hospital Center, Gouverneur Skilled Nursing Facility and the Dr. Susan Smith McKinney Nursing & Rehabilitation Center in Manhattan. Survey preparation efforts began in Calendar 2000 and have continued through Calendar 2001.

Customer Service

- During Fiscal 2001 HHC expanded its Web site by adding and updating over 80 Web pages with detailed information about events and programs, such as HHC's asthma program and the modernization of HHC hospitals. Bellevue Hospital Center and Jacobi Medical Center published an additional 60 new Web pages and nine HHC hospitals and clinics are developing Web pages to be unveiled in Fiscal 2002. All HHC facilities have home pages and are continuing development to expand their Web site presences.
- The total number of visits to HHC's home page on NYC.GOV, the City's official Web site, increased from 135,461 in Fiscal 2000 to 394,341 in Fiscal 2001, representing a 191 percent increase.
- In Fiscal 2001 HHC implemented several Web-based, service-oriented initiatives to provide information to the public, reduce costs and improve business operations. These initiatives include posting employment opportunities, making Requests for Proposals (RFPs) available on the Web site and promoting educational outreach programs such as the HHC Asthma Van Initiative.
- To improve HHC's Customer Service Delivery Systems, each Network conducted several Customer Service Initiatives to enhance, improve and appropriately meet the needs of HHC customers.
 - Key elements of the Network customer service delivery programs include employee training and team building, employee recognition, communication, employee performance evaluation, recruitment, customer relations and staff development.

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. As of December 2000 these affiliates were in full or significant compliance with all performance indicators. Data for the balance of Fiscal 2001 will be reported in the Preliminary Fiscal 2002 Mayor's Management Report.
- In Fiscal 2001 HHC's Board of Directors approved two new performance-based affiliation agreements.
 - In May 2001 a three-year agreement with New York Medical Alliance, P.C. for general care and behavioral health services at Jacobi Medical Center and North Central Bronx Hospital was approved.

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- In July 2001 a three-year agreement with St. Vincent Catholic Medical Centers of New York for limited services, including radiology, rehabilitation, gynecology and urology at Sea View Hospital Rehabilitation Center and Home in Staten Island was approved. This is the first affiliation agreement at Sea View Hospital Rehabilitation Center and Home.
- In Fiscal 2002 the Corporation expects to renegotiate agreements for Queens Hospital Center and Elmhurst Hospital Center with Mt. Sinai School of Medicine; for Metropolitan Hospital Center, Morrisania Diagnostic and Treatment Center, and Segundo Belvis Diagnostic and Treatment Center with New York Medical College; for Woodhull Medical and Mental Health Center and Cumberland Diagnostic and Treatment Center with the Woodhull Medical Group, P. C., and for Woodhull Medical and Mental Health Center with the Dental Associates of Woodhull, P. C.
- Estimated affiliation expenses for Fiscal 2001 were \$485 million, higher than a revised \$462 million planned for Fiscal 2000, primarily due to cost of living adjustments, productivity gains at facilities, and enhanced and additional services. By implementing performance-based agreements, the Corporation reduced annual affiliation costs in Fiscal 2001 by an estimated \$49 million, compared to Fiscal 1995 when expenses totaled a revised approximate of \$534 million. Cumulative reductions total \$406 million since Fiscal 1995.

WOMEN'S HEALTH SERVICES

- HHC continues to enhance its services to address the needs of women in underserved communities.
 - The number of prenatal visits in Fiscal 2001 increased to 245,471 from 211,999 in Fiscal 2000 due to extensive outreach and education. Additionally, visits to new and renovated birthing centers have increased. In Fiscal 2001, 64 percent of pregnant women received prenatal care in the first trimester of pregnancy, above the planned level of 60 percent. The percent of women entering prenatal care in the second trimester remained at 25 percent in Fiscal 2001. The percent of women receiving late or no prenatal care continues to remain steady.
 - In Fiscal 2001 the average wait time for an obstetrical appointment remained at four days. The average wait time for a gynecological appointment was 10 days in Fiscal 2001, compared to eight days in Fiscal 2000. Wait time for initial family planning appointments remained at six days in Fiscal 2001.
 - The total number of women who received mammography screening in Fiscal 2001 increased to 80,371 from 70,972 in Fiscal 2000 and average wait time for mammography appointments was four days, compared to three days in Fiscal 2000. The increase in women receiving screening in Fiscal 2001 was attributed to an increase in awareness and an aggressive education campaign, stressing the importance of annual mammograms. The increase in wait time is directly related to the increase in visit volume. However, at four days, the wait time for mammography appointments is considerably lower than the industry standard.
 - In August 2000 HHC opened the Queens Health Network Women's Medical Center at South Conduit in Springfield Gardens. Women's services include prenatal and postpartum care, gynecology services, pap smears, breast exams, colposcopic exams, pregnancy testing, as well as preventive and primary care. The Center is a joint venture with a community pediatrician who provides care to children at the same site.

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- In October 2000 the Women's Health Ambulatory Care Clinic moved to newly renovated space at Kings County Hospital Center. The facility offers approximately two exam rooms per provider for a total of 27 exam rooms, three new procedure rooms, a patient education classroom, and administrative offices for breast health and family planning. The Center will accommodate 55,000 visits annually in fully code-compliant, centrally air-conditioned facilities, designed upon a modular concept to maximize patient privacy and comfort.
- In October 2000 Lincoln Medical and Mental Health Center of the Generations+ Network, opened its newly renovated Women's Health Center that provides 16 exam rooms, a treatment room and a reception area. The renovation of the Women's Health Center is part of a larger effort to modernize its primary care clinics. During the last two years, the Network invested more than \$5 million to renovate Pediatric, Medicine and Women's Health services, as well as the Pharmacy and other specialty clinics at Lincoln Medical and Mental Health Center.
- In April 2001 Woodhull Medical and Mental Health Center opened a renovated labor and delivery suite, which includes six new labor and delivery rooms and two renovated delivery rooms. This new unit provides a more comfortable setting with improved privacy and enhanced patient care.
- In May 2001 Jacobi Medical Center opened the Center for Maternal and Newborn Care. The center includes eight new state-of-the-art labor, delivery and recovery suites with homelike finishes. There are two fully equipped caesarian 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.
- In August 2001 Bellevue Hospital Center opened a newly renovated obstetric unit. The unit includes 24 in-patient beds and nine labor and delivery recovery rooms.
- The "Guidelines for the Identification, Treatment and Prevention of Family Violence" will be published by a revised date of October 2001. The Guidelines were reviewed by the Administration for Children Services, the Department for the Aging, the Mayor's Commission to Combat Family Violence and the Corporation Counsel.

Services For Children and Adolescents

- In Fiscal 2001 the Child Health clinics and Pediatric Communicare Centers handled a total of 174,446 clinical visits, compared with a revised number of 182,163 visits in Fiscal 2000.
- In November 2000 the Child Protection and Development Team at Bellevue Hospital Center consolidated program services to a dedicated area. This program for physically abused, sexually abused and neglected children provides medical and psychological evaluation and treatment, communication with law enforcement officials for investigative interviews and court proceedings, counseling to children and nonoffending caregivers, and training and education of hospital staff and community groups. The program evaluates and treats approximately 400 children per year and reviews approximately 2,200 cases per year for possible abuse and neglect.

HEALTH AND HOSPITALS CORPORATION

COMPREHENSIVE HEALTH CARE DELIVERY THROUGH MANAGED CARE

MetroPlus Health Plan and Other HMOs

- In Fiscal 2001 HHC served as the provider network for 137,112 enrollees of the MetroPlus Health Plan, HHC's health maintenance organization, and other contracted managed care plans, a 4 percent decrease in overall plan enrollments from 142,787 in Fiscal 2000.
 - Enrollment in MetroPlus Health Plan decreased to 67,903 members in Fiscal 2001, from a revised number of 70,960 in Fiscal 2000. However, enrollment in Child Health Insurance Program (CHIP) grew to 23,058 members in Fiscal 2001, from 21,427 in Fiscal 2000 and a fourfold increase in enrollment since February 1999 when MetroPlus started enrolling children in this plan. The increase is consistent with HHC's objective to expand enrollment in Child Health Plus.
- MetroPlus Health Plan continues to score significantly above the State average for the following indicators based on the New York State 2000 Report on Managed Care Performance, released in May 2001: alcohol/substance abuse, tobacco screening, childhood immunizations, well child visits, cervical cancer screening, checkups after delivery, care of diabetics and lead testing.
 - MetroPlus' Care Management Programs that provide member outreach, education and care coordination continue to meet success. As a result of MetroMom, a maternal education and high-risk obstetrics program, MetroPlus experienced a 44 percent decline from Fiscal 2000 in the rate of births requiring admission to the neonatal intensive care unit.
- 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.
- During Fiscal 2001 HHC engaged in 168 Medicaid managed care contracts with 14 Medicaid managed care health plans, compared to 138 contracts with 14 Medicaid managed care health plans in Fiscal 2000. In addition, during Fiscal 2001 HHC engaged in 281 commercial insurance carrier contracts with 23 health plans, compared to 28 contracts in Fiscal 2000.

SPECIAL POPULATIONS

Mental Health Services

- In August 1999 the New York State Legislature established the Assisted Outpatient Treatment (AOT) program as required by Kendra's Law. Administered by the Department of Mental Health, Mental Retardation, and Alcoholic Services (DMH) 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. Four AOT teams operate out of HHC facilities: Bellevue Hospital Center serving Manhattan, Elmhurst Hospital Center serving Queens, North Central Bronx serving the Bronx, and Woodhull Medical and Mental Health Center serving both Brooklyn and Staten Island.
 - In Fiscal 2001 DMH assigned a lawyer to work with each of the four HHC AOT teams to facilitate the timely review of eligibility criteria and to provide court representation.

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- In Fiscal 2001 there were 11,978 inquiries regarding AOT, 9,068 referrals to AOT, 1,077 petitions filed and 968 petitions granted. Comparatively, in Fiscal 2000 there were 5,281 inquiries, 815 referrals, 192 petitions filed and 158 petitions granted. Due to increased awareness of AOT in the mental health community, HHC expects continued increases in referrals, inquiries and petitions.

Substance Abuse Services

- The Cumberland Family Health and Support Center 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 239 women during Fiscal 2001, compared to 218 women during Fiscal 2000. A total of 13 percent of the women were engaged in work-readiness training within the program, 31 percent were engaged in skills-training programs, 18 percent were engaged in education programs and 19 percent were engaged in job placement services. Twenty-seven women were involved in the City's Work Experience Program (WEP) through the Human Resources Administration (HRA) and 19 women obtained full-time competitive employment. Twenty-nine women have met all or some of their treatment goals, completed treatment and have been discharged. An additional 11 women have been transferred to a more intensive level of care. Since the opening of the Center, 57 women have obtained full-time employment and 62 women have been reunited with their children.
- As a result of the success of the Cumberland program, Queens Hospital Center opened a similar program modeled after the Cumberland program in February 2000. In Fiscal 2001 the Queens Hospital Center program received 133 referrals from the Administration for Children Services, the criminal justice system and local substance abuse providers; completed 175 assessments; and admitted 134 individuals to treatment.
- HHC continues to restructure its methadone treatment programs to encourage individuals to move towards abstinence, self-sufficiency and employment. Vocational goals are incorporated into the treatment plans of all patients. All patients now have access to expanded individual and group counseling as well as vocational services that emphasize basic life and work-readiness skills.
- During Fiscal 2001 HHC continued to enhance its substance abuse programs in its acute care hospitals.
 - In Fiscal 2001 the Growth & Recovery Project at Jacobi and North Central Bronx hospitals received 535 referrals, compared to 443 in Fiscal 2000; completed 243 assessments, compared to 146 in Fiscal 2000; and admitted 99 individuals to treatment, compared to a revised 89 in Fiscal 2000. This program provides assessment and referrals, integrated case management and ongoing treatment services to clients with alcohol and drug problems.
 - In Fiscal 2001, 1,023 individuals were referred to Bellevue Hospital's Central Intake Program primarily from inpatient medical and mental health units, compared to 503 in Fiscal 2000. This increase is due to HHC's aggressive outreach and the public's enhanced awareness of programs. After assessment, 257 individuals were referred and accepted into treatment, compared to 213 individuals in Fiscal 2000. Of these individuals, 25 percent were referred to an outpatient drug-free counseling program, compared to 32 percent in Fiscal 2000; 51 percent were referred to an outpatient alcohol program, compared to 28 percent in Fiscal 2000; 11 percent were referred to a methadone program, compared to 9 percent in Fiscal 2000; and 13 percent were referred to residential programs, compared to 8 percent in Fiscal 2000.

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- In June 2000 Harlem Hospital Center opened a new prevention and treatment program targeted to youth ages 13 to 18. In Fiscal 2001 the program initiated approximately 7,300 outreach contacts and generated 178 admissions to the program. As of June 2001, 156 clients were in the program, above the 100 clients planned. In October 2000 the Department of Mental Health, Mental Retardation, and Alcoholism Services (DMH) allocated \$790,000 to Lincoln Hospital and Mental Health Center to develop a new substance abuse prevention and treatment program similar to that of Harlem Hospital Center. The program targets chemically dependent and at-risk youth, ages 12 to 18. The program uses a multidisciplinary team approach within an integrated treatment setting. The program became operational in March 2001, as planned. As of the end of June 2001, the program served 24 clients. In Fiscal 2002 the program plans to serve 100 clients.
- In August 2000 HHC, in partnership with a nonprofit organization, opened a 24-bed residential, therapeutic community at Kings County Hospital Center for patients in methadone treatment programs who desired to become abstinent. As of the end of Fiscal 2001, the program was able to maintain a retention rate of 90 percent.

HIV Services

- In July 2000 the federal Health Resources and Services Administration (HRSA) conducted site visits to Elmhurst and Queens hospitals to evaluate the facilities' Ryan White program. Since 1995 both hospitals have been funded by this grant to provide HIV early intervention primary care services. In August 2000 HRSA notified the Queens Health Network that its HIV program was a model for the nation.
- During Fiscal 2000 HHC continued to expand the first hospital-based comprehensive HIV case management community follow-up program (COBRA) in New York State. As of Fiscal 2001 this State-approved Medicaid program now operates in all six HHC Networks. In the first six months of Calendar 2001, a total of 665 HIV clients were active in this program, compared to 464 clients during a revised time span of the first six months of Calendar 2000. During Calendar 2001 HHC expects to serve 764 clients in the program. Depending on the intensity of cases, each Network plans for an increase of up to an additional 80 clients per Network for a total of up to 1,254 clients planned annually.
- In June 2001 HHC participated in the United Nations Special Session on the Global Impact of HIV/AIDS. HHC showcased its HIV/AIDS programs and the Generations+/Northern Manhattan, Queens and North Brooklyn networks organized a panel presentation and other activities for over 250 international participants.
- In April 2000 MetroPlus was awarded conditional certification to operate a Special Needs Plan (SNP), a Medicaid managed care plan for people with HIV infection. In Fall of 2001 MetroPlus will complete a SDOH Readiness Review process, allowing patients to begin enrolling in the SNP in Fiscal 2002. In addition, in Fall 2001 HHC will apply for Designated AIDS Center (DAC) status for its acute care hospitals.

Tuberculosis

- During Fiscal 2001, 174 patients participated in the Corporation's six Directly Observed Therapy (DOT) programs, compared to 238 participants in Fiscal 2000. The decrease is attributed to the overall decline in tuberculosis citywide.

HEALTH AND HOSPITALS CORPORATION

TECHNOLOGY

- HHC completed the last laboratory and radiology system replacements at Queens and Coney Island hospitals for outpatient prescription writing in June 2001, as planned. Since November 2000 outpatient prescription writing has been implemented at all 11 acute care hospitals. The system eliminates handwriting legibility problems and can warn the physician if a particular patient should not use the prescribed drug.
- In August 2000 HHC completed development of a database containing a subset of clinical information for population analysis and planning by the end of December 2001. HHC began piloting the system at Bellevue Hospital Center in January 2001. Following completion of the pilot in December 2001, HHC will be evaluating the progress of this effort.
- HHC's efforts to install an integrated computerized radiology Picture Archiving and Communication System (PACS) are proceeding on schedule with installations completed at Jacobi Medical Center, Bellevue Hospital Center and Queens Hospital Center in December 2000; installations at North Central Bronx Hospital, Metropolitan Hospital, Harlem Hospital and Lincoln Hospital were completed in Fiscal 2001; and installations at Kings County Hospital Center and Woodhull Medical and Mental Health Center will be completed by the end of Fiscal 2002.

CORRECTIONAL HEALTH

- In November 2000, HHC's Board of Directors approved a three-year contract with a new vendor to provide health care services to New York City inmates on Rikers Island and the Manhattan Detention Complex; the contract began in January 2001.
 - Contract highlights include establishing specific staff levels for all job titles and mandating the presence of certain practitioners for each facility. The contract provides for the payment of damages for failure to comply with staff requirements and if vacancies are not filled within specified timeframes.

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Corporation's expenditures were \$3.67 billion, compared with its plan of \$3.66 billion; headcount was 38,790, compared with its plan of 38,820. The Corporation's Fiscal 2000 expenditures were \$3.47 billion, and headcount was 39,320.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$3.90 billion and a planned headcount of 38,320.

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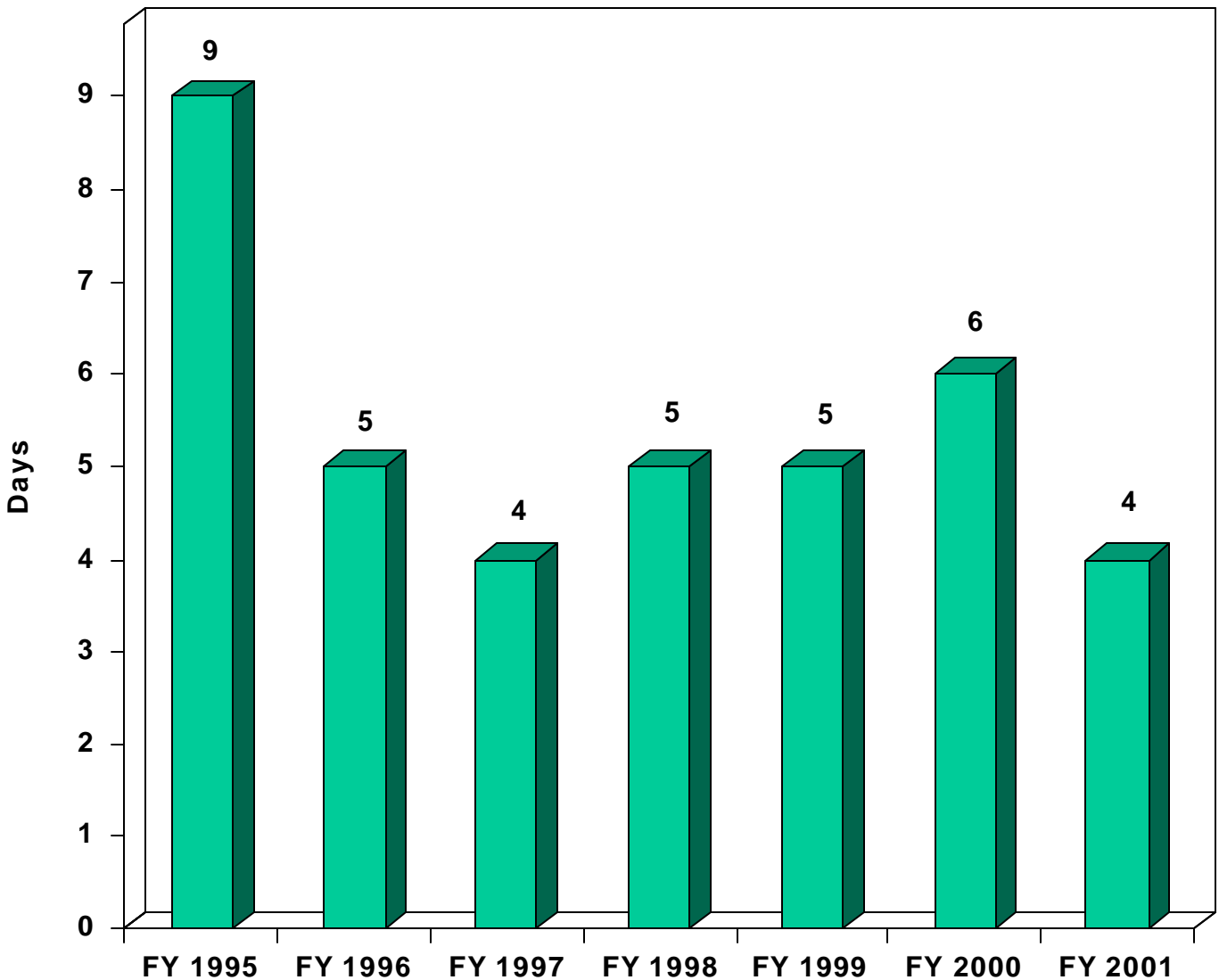
LONG-TERM TRENDS IN AGENCY OBJECTIVES

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

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

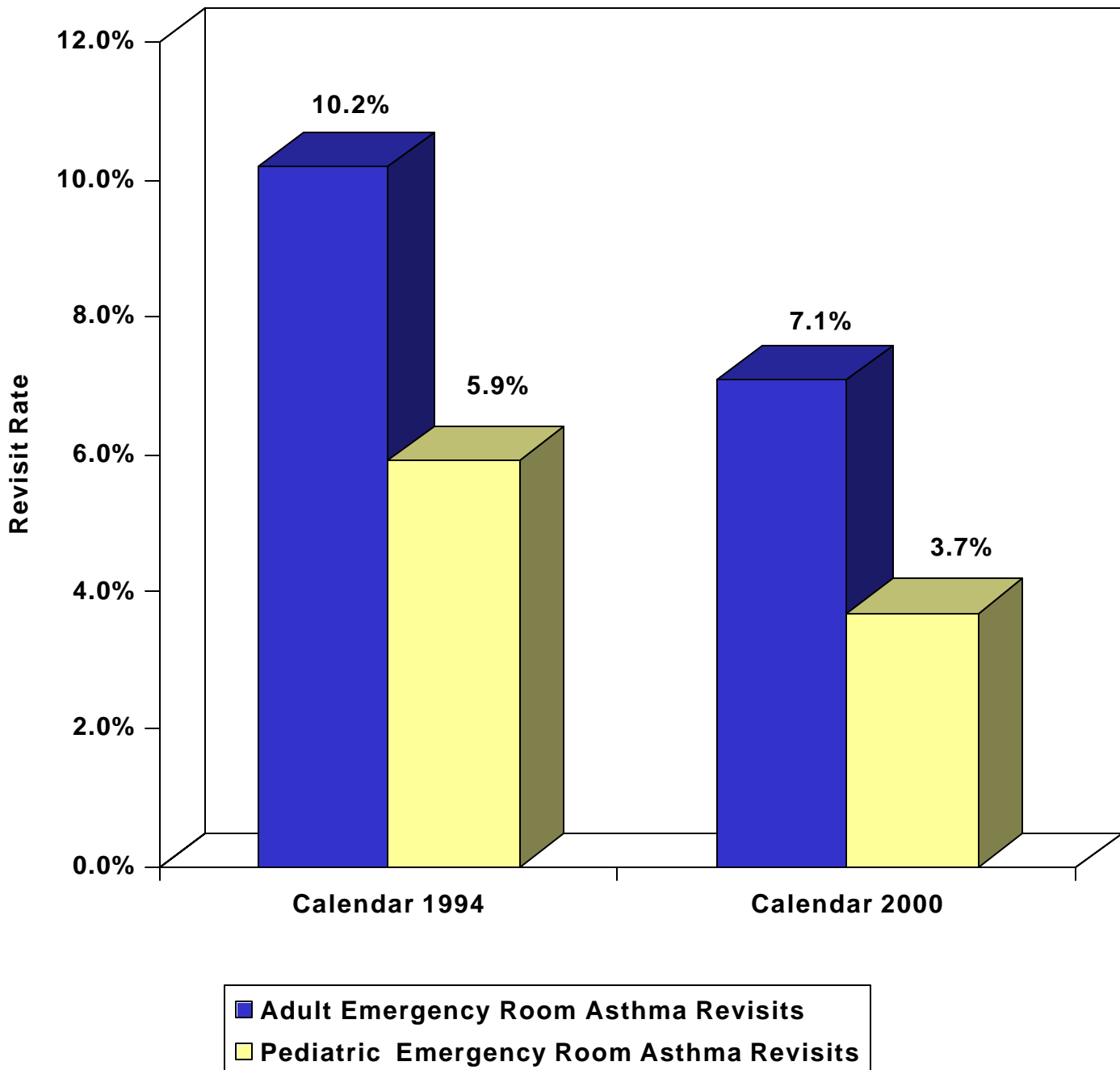
Health and Hospitals Corporation

Initial Prenatal Care Appointment Waiting Time Fiscal 1995-2001



Health and Hospitals Corporation

Trend in Pediatric and Adult Emergency Room Asthma Revisits



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	FY 01 Actual	FY 02 Plan
Provide funding and oversight for 957 mental health programs serving 291,298 clients.	988 / 294,257	1,005 / 297,318
Provide funding and oversight for 172 mental retardation programs serving 41,926 clients.	172 / 42,005	172 / 42,005
Provide funding and oversight for 133 alcoholism and substance abuse programs serving 55,819 clients.	137 / 56,173	137 / 56,173

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
Develop plans for the use of Reinvestment Year VII funds in Fiscal 2001.
Implement performance-based contracts with 32 mental health vocational programs.
Implement performance-based contracts with mental health clinical treatment programs and mental health community support programs.

HIGHLIGHTS AND ACHIEVEMENTS

ADMINISTRATION OF PROGRAMS

- In Fiscal 2001 the Department of Mental Health, Mental Retardation, and Alcoholism Services (DMH) continued to expand its performance-based contract system by implementing contracts with 32 mental health vocational programs, 14 intensive case management and 13 supportive case management programs.
 - In Fiscal 2002 the Department will begin implementing performance-based contracts for 26 supported housing programs, 10 child day treatment programs and 22 continuing day treatment programs.
 - During Fiscal 2001 the Department evaluated the first year of performance data, following start-up pilot periods, for three program types: 11 Assertive Community Treatment (ACT) teams, 28 alcoholism treatment clinics and 15 Psychosocial Clubhouse programs. In Fiscal 2000, 92 percent of ACT teams and 74 percent of alcoholism treatment clinics fully met program performance standards. One-third of the Clubhouse programs met all of the standards, and the remaining programs met 50 percent or more of the program performance measures. During Fiscal 2002 the Department will continue to work with provider agencies to strengthen performance.

DEPARTMENT OF MENTAL HEALTH, MENTAL RETARDATION, AND ALCOHOLISM SERVICES

- In Fiscal 2001 the Department's LifeNet helpline for persons with emotional, drug or alcohol problems received a total of 36,140 calls, a 4 percent increase over the 34,659 calls reported in Fiscal 2000. Calls to Ayudese, the Spanish-language helpline increased to 3,295 in Fiscal 2001, up from 2,312 in Fiscal 2000, a 43 percent increase. This increase is due to greater outreach to the Spanish-speaking community. Asian LifeNet, launched in June 2000, received 2,095 calls. Assistance is now readily available in Mandarin and Cantonese, and translations into other languages such as Taiwanese, Fuzhou and Korean are arranged as needed.
- In conjunction with a local nonprofit health organization and the New York City Police Department (NYPD) in Fiscal 2001 the Department developed written curricula and videos, and in Spring 2001 completed the training of all NYPD sergeants to ensure that police officers are able to effectively handle situations involving individuals with mental illness. The protocols are now a standard part of the NYPD Training Academy curricula and officers are issued cards to refer individuals to LifeNet where additional police action is unwarranted.
- In Fiscal 2001 the Department continued its "Treatment Is Working" public education campaign. Posters were displayed throughout the transit system to promote workplace acceptance for individuals with mental illness. In Fiscal 2001, five focus groups were convened consisting of consumers, providers and employers to assist the development and distribution of new brochures and posters.
- In May 2001 the Department launched the "Golden Years Don't Have to Be Blue" campaign in an effort to further educate the public about the mental health needs of seniors. In conjunction with the Department for the Aging and the Department of Health, mailings, posters and radio spots were developed. The campaign's early effectiveness in reaching seniors appears to be substantial as measured by calls to the LifeNet helpline regarding senior depression, loneliness and other mental health issues related to aging. In June 2001, the campaign's first full month, LifeNet received 236 calls from and on behalf of seniors, nearly two and a half times the number received in the prior month.
- The State's Fiscal 2001 budget provides for substantial expansion of case management services in the City; the Department has begun to develop a Single Point of Entry (SPOE) system to ease access to case management programs by those most in need of the services. High-need clients include individuals in the Assisted Outpatient Treatment (AOT) Program and repeat users of psychiatric inpatient, emergency and mobile crisis services, as well as clients known to the criminal justice system. An SPOE will be developed for both adults and children and the State is developing a companion SPOE for mentally ill individuals in need of residential treatment. In Fiscal 2002 the Department expects to identify a vendor to implement the system by April 2002 and manage it.

MENTAL HEALTH PROGRAM SERVICES

- In Fiscal 2001 the Department continued to enhance the AOT program, or Kendra's Law, which became effective in November 1999. Under AOT, court orders to ensure compliance with mental health treatment can be sought for those whose histories of noncompliance have had negative consequences. A total of five AOT teams have been established, one each in Bellevue Hospital in Manhattan, Woodhull Hospital in Brooklyn, Elmhurst Hospital in Queens and North Central Bronx Hospital; and a team was created solely to assist individuals incarcerated at Riker's Island Correctional Facility.
 - In Fiscal 2001 the program received 6,697 referrals and inquiries. Since the inception of the program in November 1999, 11,978 referrals and inquiries have been received. Of these, 2,910 warranted investigation and 2,651 investigations have been concluded. A total of 1,148 petitions have been filed with the courts and 1,031 petitions have been granted. Only 30 petitions have been denied.

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- In October 2000 the Department worked with State officials to develop protocols to ensure service coordination for potential AOT patients upon discharge from State-operated inpatient facilities in the City. Similar protocols were also put in place in Spring 2001 with State prison officials.

Forensic Programs

- Since the establishment of the first Community LINK transition program in Fiscal 1996, the Department has continued its comprehensive reform of community-based service provision to persons with mental illness known to the criminal justice system.
 - In Fiscal 2001 the Community LINK transition program, started in Manhattan, was expanded to the remaining four boroughs. The program provides short-term case management services to mentally ill adults transitioning from correctional institutions to the community. During Fiscal 2001 services were provided to 528 mentally ill adults. Resources were added to the program to expand and enhance services for up to 3,000 clients in Fiscal 2002.
 - The citywide Adolescent LINK program, formerly called the citywide Juvenile LINK program, was established in Fiscal 1998 to provide both discharge planning and transition case management services to adolescents in the juvenile detention system. In Fiscal 2001 the citywide program received 161 referrals from the correctional system and the Department of Juvenile Justice. Of these, 61 were eligible and successfully linked to after-school, recreational and mental health services, compared to 55 in Fiscal 2000. A new program was opened in January 2001 to serve 90 Brooklyn adolescents annually. During its start-up phase between January and June 2001, 27 adolescents were served.
 - In Fiscal 2001 the Department's new forensic ACT team, established in June 2000, provided intensive long-term community-based treatment to 40 mentally ill adults released from correctional institutions, as planned. In Fiscal 2002 up to 40 individuals will continue to be served.
 - In Fiscal 2001 the Department also worked with other City and State agencies to develop New York State's first Mental Health Arraignment Court and Court Diversion Service. Located in Brooklyn, this specialized service identifies persons with mental health problems who are charged with nonviolent offenses. With the approval of the prosecutor and the judge, defendants are diverted to mental health and housing services directly from the courtroom rather than adjudication and confinement. Between April 2001 when the program began and the end of June 2001, 27 defendants were enrolled in the program and diverted to community services.
- In Fiscal 2001 the Department undertook planning for the Service Planning and Assistance Network (SPAN) to provide borough-based information, referral and discharge planning services to detainees who present themselves following release from courts or correctional institutions. Court-adjacent offices in each borough are being established and services will begin in Fall 2001.
- In February 2001 the Department began implementation of the State-funded Medication Grant Program to provide payment for medication and psychiatric support services for individuals with mental illness released from correctional custody during the Medicaid approval process. By June 2001 enrollment in the program had reached 138. In Fiscal 2002 the Department will integrate the service into other components of the forensic program system.

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Housing Programs

- The New York/New York II housing program is a joint City/State initiative begun in 1999 to create 1,500 additional housing units in the City for homeless mentally ill individuals over a five-year period. In Fiscal 2001, 35 new rental units were made available, as planned, completing the commitment for 500 new rental units. Additional programs are in early stages of development to construct another 1,000 units by the end of Calendar 2005.
- In Fiscal 2001 an \$80 million City/State match program was initiated to provide new supportive housing over the next five years. The State authorized \$40 million in matching funds for capital development of 400 supportive housing units for mentally ill persons in the City and made awards to 18 nonprofit agencies to develop 320 service-enriched units for single adults and 80 community residence units for youth. The City match of \$40 million underwrites another 400 units for adults to be developed by the Department of Housing Preservation and Development.
- In Fiscal 2001 the Department allocated \$1.47 million in State Reinvestment Year VI funds to develop 138 new rental housing units throughout the City. Target populations include mentally ill chemical abusers, mentally ill adults with dependent children and clients in the AOT program. The Department expects to finalize awards for development of these units by the end of December 2001.
- In Fiscal 2001 the Department awarded a contract to develop a 30-bed housing program in Brooklyn, funded by a federal Housing and Urban Development Housing Opportunities for Persons With AIDS grant. The permanent housing program for single women and mothers with dependent children who have both HIV/AIDS and serious mental illness is expected to be fully implemented in Fall 2001. A second program will be solicited in early Fiscal 2002 to provide an additional 46 units of scattered-site permanent housing for other single adults with this dual diagnosis.

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. The Department has expended \$80.7 million since 1993 to improve core 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).
 - In addition, \$7 million for 28 new or enhanced programs such as residential and employment services, MICA rehabilitation and peer advocacy, has been allocated to the City from the State's Commissioner's Performance Pool. The State's Commissioner's Performance Pool represents monies awarded by the State Commissioner of Mental Health for the development of innovative programs.
- The spending plan for the Reinvestment Year VI allocation of \$8.7 million provides for the development or expansion of 60 programs including 17 adult outpatient programs targeted to AOT and clients known to the criminal justice system, as well as MICAs; 16 youth programs; five programs for elderly individuals; seven housing programs; and three employment programs. Twelve additional programs will provide a variety of community support services including crisis intervention, supportive case management and peer advocacy. The implementation plan calls for opening 24 programs before the end of Calendar 2001. Among these are 19 programs for adults, including supported housing, case management, employment, outpatient and community support programs, plus five youth programs.

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- The Reinvestment Year VII plan provides for \$2.2 million in expanded services. In Fiscal 2001 the Department developed plans for these monies and is awaiting State approval. The plan includes \$1.6 million for community support programs. The remaining funds will be allocated to three supported housing programs for clients known to the criminal justice system and three outpatient program enhancements.

ALCOHOLISM AND SUBSTANCE ABUSE PROGRAM SERVICES

- During Fiscal 2001 the Cumberland Family Health and Support Center, established in February 1998, provided case management services that integrate substance abuse, primary care and mental health services to 239 women, compared to 218 women in Fiscal 2000. A total of 13 percent of the women were engaged in work readiness training within the program, 31 percent were engaged in skills-training programs, 18 percent were engaged in education programs and 19 percent were engaged in job placement services. Twenty-seven women were involved in the City's Work Experience Program (WEP) through the Human Resources Administration (HRA) and 19 women obtained full-time competitive employment. Twenty-nine women have met all or some of their treatment goals and were discharged as having completed treatment. This center, established jointly by the Department, the Health and Hospitals Corporation (HHC) and the Administration for Children's Services (ACS), is a substance abuse treatment program for mothers of children at risk of out-of-home placement. Since the opening of the Center, 57 women have obtained full-time employment and 62 women have been reunited with their children.
 - In Fiscal 2001 State funds were allocated to replicate the model for recipients of Temporary Assistance for Needy Families in order to assist women with substance abuse disorders. These women are being helped to move toward employment. During Fiscal 2001 the Queens Hospital Center program, modeled after the Cumberland program, received 133 referrals from ACS, the criminal justice system and local substance abuse providers; completed 175 assessments; and admitted 134 individuals to treatment. A similar program became operational in Fiscal 2001 in the northeast section of the Bronx. Since its inception, the program referred and screened 152 women and enrolled 124 women for program services.
- In Fiscal 2001 the Department continued to collaborate with HHC on restructuring methadone treatment programs to encourage individuals to move towards abstinence, self-sufficiency and employment. Vocational goals are incorporated into the treatment plans of all patients. All patients now have access to expanded individual and group counseling as well as vocational services that emphasize basic life and work readiness skills.
- In Fiscal 2001 the Department continued to provide funding to HHC for continued enhancement of its substance abuse programs at Jacobi, North Central Bronx, Bellevue, Harlem, Kings County, Coney Island, Elmhurst, Lincoln and Woodhull hospitals.
 - In Fiscal 2001 the Growth & Recovery Project at Jacobi and North Central Bronx hospitals received 535 referrals, compared to 443 in Fiscal 2000; completed 243 assessments, compared to 146 in Fiscal 2000; and admitted 99 individuals to treatment, compared to a revised 89 in Fiscal 2000. These programs provide assessment and referrals, integrated case management and ongoing treatment services to clients with alcohol and drug problems.
 - In Fiscal 2001, 1,023 individuals, compared to 503 in Fiscal 2000, were referred to Bellevue Hospital's Central Intake Program primarily from inpatient medical and mental health units. After assessment, 257 individuals were referred and accepted into treatment, compared to 213 individuals in Fiscal 2000. Of these 257 individuals, 25 percent were referred to an outpatient drug-free counseling program; 51 percent were referred to an outpatient alcohol program; 11 percent were referred to a methadone program; and 13 percent were referred to residential programs.

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- In June 2000 Harlem Hospital Center opened a new prevention and treatment program targeted to youth ages 13 to 18. In Fiscal 2001 the program initiated approximately 7,300 outreach contacts and generated 178 admissions to the program. As of June 2001, 156 clients were in the program. In October 2000 DMH allocated \$790,000 to Lincoln Hospital and Mental Health Center to develop a new substance abuse prevention and treatment program similar to that of Harlem Hospital Center. The program targets chemically dependent and at-risk youth, ages 12 to 18. The program uses a multidisciplinary team approach within an integrated treatment setting. The program became operational in March 2001, as planned.
- In August 2000 HHC, in partnership with a nonprofit organization, opened a 24-bed residential, therapeutic community at Kings County Hospital Center for patients in methadone treatment programs who desired to become abstinent. As of the end of Fiscal 2001, eight patients have graduated and the program has a retention rate of 90 percent.
- In Fiscal 2001 the Department, in collaboration with the State, developed and implemented the Statewide Dual Recovery Coordination Project designed to strengthen the City's systemic response to mentally ill chemical abusers. An intensive 10-month training series began in March 2001 for 400 experienced clinicians, case managers and supervisors.
- 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 between the Department, the Mayor's Commission to Combat Family Violence, HRA 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.

MENTAL RETARDATION/DEVELOPMENTAL DISABILITIES PROGRAM SERVICES

- By the end of Fiscal 2001, community residential homes for 634 individuals with developmental disabilities were developed in the City under Phase I of the New York State Creating Alternatives in Residential Environments and Services (NYS CARES) program. Sites for another 855 individuals were identified in Fiscal 2001, are currently in development and are expected to be completed by the end of Fiscal 2002. The City expects to receive a revised number of 1,708 beds in Phase I of this five-year program.
- In Fiscal 2001 the Department expanded five after-school respite services for adolescents and their families through an allocation of \$250,000 in new City funds. An additional 20 youth were served in each of the five boroughs. Work Readiness programs to prepare young people for employment were also started in each of the five boroughs. Each program provides services to a maximum of 10 people at any given time.
- In March 2001 the Department cosponsored a conference with a local university on inpatient care for those with a dual diagnosis of mental retardation and mental illness; the conference was attended by approximately 400 practitioners. It is estimated that 20 to 25 percent of those with developmental disabilities also have a psychiatric illness.
- In June 2001 the Department promoted activities to raise the public's awareness and acceptance of persons with developmental disabilities. Events included a month-long art exhibition, cosponsored by a large provider agency, featuring the artwork of individuals with developmental disabilities.

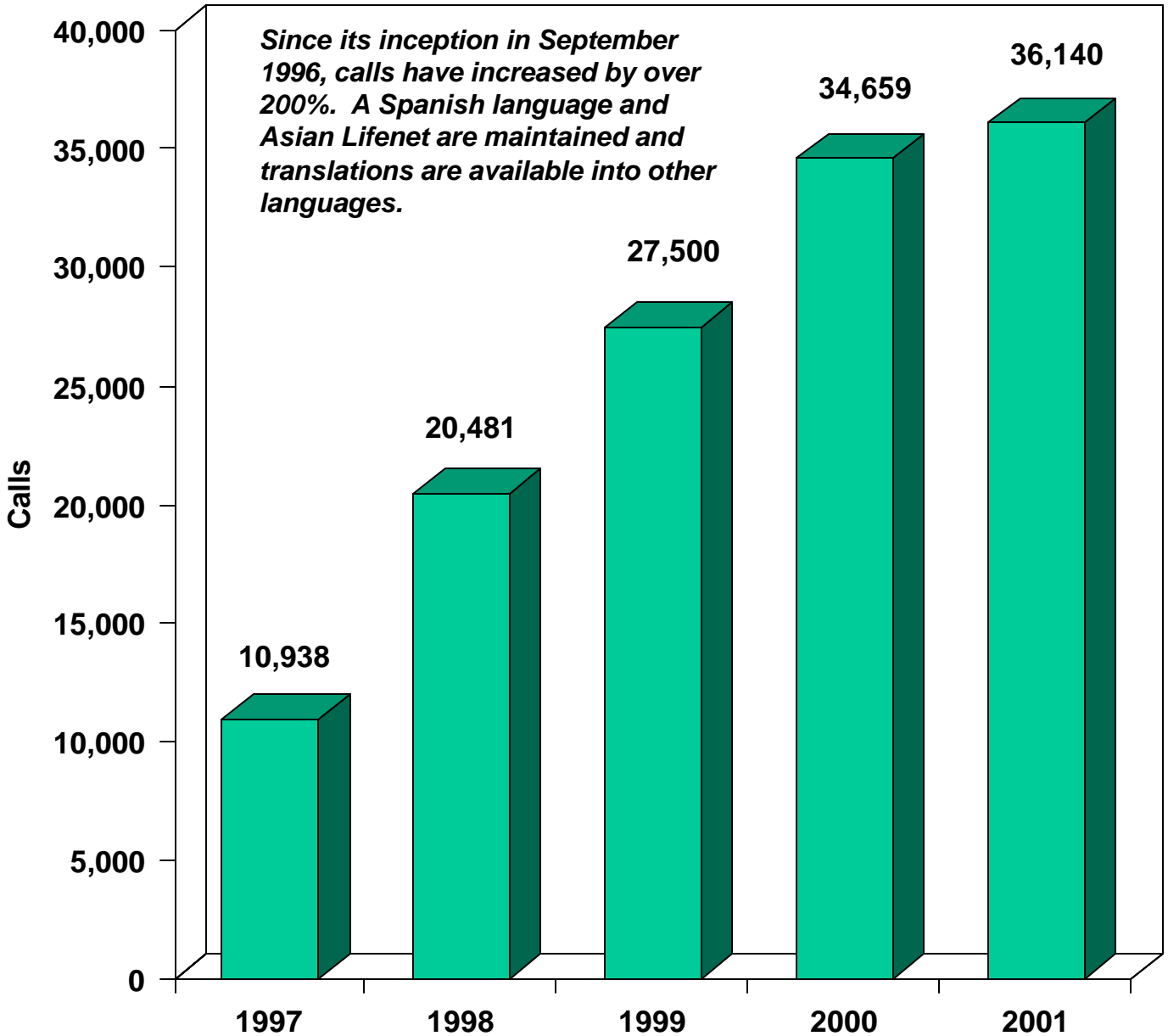
DEPARTMENT OF MENTAL HEALTH, MENTAL RETARDATION, AND ALCOHOLISM SERVICES

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Department's expenditures were \$610.8 million, compared with its plan of \$587.52 million; headcount was 213, compared with its plan of 256. The Department's Fiscal 2000 expenditures were \$506.46 million, and headcount was 220.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$588.99 million and a planned headcount of 241.

Department of Mental Health

Calls to Lifenet Fiscal 1997 - 2001



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
Convert all Income Support Centers into Job Centers on a timetable consistent with pending federal judicial action.
Continue to support the requirement that eligible public assistance applicants participate in job search activities while their applications are being processed at Job Centers.
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.

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	FY 01 Actual	FY 02 Plan
Achieve overall work participation of a revised 13,000 Safety Net participants in accordance with State guidelines.	11,721	11,400
Achieve overall work participation of a revised 52,000 Family Assistance Program participants in accordance with federal and State guidelines.	43,962	41,500

Goal: Promote employment and reduce public assistance recidivism.

Objective	FY 01 Actual	FY 02 Plan
Achieve a revised 31,050 reported job placements by Safety Net participants.	45,494	45,000
Achieve a revised 83,950 reported job placements by Family Assistance Program participants.	95,643	95,000
Achieve 10,000 reported job placements by non-public assistance food stamp participants.	10,239	10,000

HUMAN RESOURCES ADMINISTRATION

Goal: Administer Workforce Investment Act funds for adult services.

Objective
Administer funding for adult workers under the new workforce system.
Develop voucher evaluation and payment systems by the end of Fiscal 2001.
Expand the One-Stop system by the end of Calendar 2001.

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	FY 01 Actual	FY 02 Plan
Ensure that 90% of public assistance fair hearing decisions received are implemented within 30 days.	74.6%	90%
Ensure that 90% of food stamp fair hearing decisions received are implemented within 15 days.	96.5%	90%
Ensure that 85% of the families who are referred to the Agency and who are at imminent risk of homelessness remain housed.	94%	90%

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

Objective	FY 01 Actual	FY 02 Plan
Expand the emergency shelter bed capacity for victims of domestic violence by 98 beds, for a total of 1,463 beds.	1,450	1,856
Expand transitional housing for victims of domestic violence by 15 units, for a total of 155 units.	155	195

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

Objective
Establish Medicaid offices citywide for the HealthStat regions by the end of Fiscal 2001.
Develop and implement an automated tracking system for HealthStat Medicaid referrals by a revised date of September 2000.
Implement a citywide HealthStat Helpline by the end of November 2000.

Goal: Improve access to medical care for children.

Objective	FY 01 Actual	FY 02 Plan
Begin processing applications for the transition to Medicaid by children currently enrolled in Child Health Plus by October 2000; continue processing up to 54,000 applications.	47,400	18,000
Simplify Medicaid recertification for children by implementing a mail recertification pilot program.		

HUMAN RESOURCES ADMINISTRATION

Goal: Implement Medicaid managed care mandatory enrollment.

Objective
Update and modify operating protocols and policies for the mandatory Medicaid Managed Care Phase II implementation readiness review.
Monitor the enrollment broker contract to ensure compliance with mandatory Medicaid managed care enrollment requirements.

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
Complete the development of quality assurance performance measures that monitor processing and service delivery time frames, required by Local Law 49, by a revised date of June 2001.
Implement central intake automation by a revised date of December 2001; implement housing and three field offices' automation by a revised date of June 2002.

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

Objective	FY 01 Actual	FY 02 Plan
Enroll an additional revised 150 clients in the voluntary Work Opportunity Program by the end of June 2001, for a total of 300 new clients.	330	425
Expand housing for individuals with AIDS and their families.		

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
Expand the eviction court pilot, which evaluates potential clients for Adult Protective Services, from a revised one to three days a week in a revised two boroughs by December 2000 and to two additional boroughs by July 2001.

HUMAN RESOURCES ADMINISTRATION

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

Objective	FY 01 Actual	FY 02 Plan
Ensure that 100% of human service contracts continue to have performance measures.	100%	100%
Complete agencywide implementation of the automated time-keeping system by June 2001; transmit 50% of staff time sheets to the Financial Information Services Agency by the end of December 2000.	40%	60%
Develop and implement computer system support for the receipt of automated Medicaid application submissions by the end of June 2001.		
Expand Professionalism, Accountability and Integrity training of all staff.		

HIGHLIGHTS AND ACHIEVEMENTS

REPLACING WELFARE WITH WORK AND SELF-SUFFICIENCY

- Continuing the trend that began in March 1995, the number of persons receiving public assistance (PA) decreased to 475,463 at the end of August 2001, the lowest level since February 1966 and a decline of over 685,100 persons and 59 percent since March 1995. The Human Resources Administration (HRA) anticipates that this downward trend will continue, due to a greater emphasis on job placements and work activities combined with training, education and substance abuse treatment services when appropriate.
- During Fiscal 2001 HRA introduced JobStat, CenterStat, and VendorStat; completed the conversion of its Job Centers; achieved 151,376 job placements for public assistance (PA) applicants and recipients and for non-PA food stamp recipients; and entered into performance-based contracts for employment preparation and employment services for PA clients with special needs and substance abuse problems. In addition, the Agency continued to maintain the Mayor's goal of engaging all PA clients in work, work-related activities, work assessment or the work assignment process, or appropriately exempting them from work requirements. During Fiscal 2001 the number of unengaged PA cases remained at zero, which the Agency has maintained since December 1999. In addition, HRA developed innovative programs designed to work with individuals who are close to using five years of cash assistance.
- Under the federal Personal Responsibility and Work Opportunity Reconciliation Act of 1996, families 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. 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. SNA also includes certain categories of non-citizens who are not eligible for TANF; certain parolees; other persons in the household where a member fails to participate in an alcohol or substance abuse screening; all members of the household where a person is in an alcohol or substance abuse treatment program; and families otherwise ineligible for TANF-funded welfare, including those families who have received TANF for longer than 60 months. Under a separate State rule, recipients are not eligible for cash assistance if they receive SNA for two years. Under State rules, 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 a small cash allowance to individuals on assistance.

HUMAN RESOURCES ADMINISTRATION

- Between December 2000 and June 2001 HRA reduced the number of PA cases that are in the first cohort facing the five-year limit in December 2001 by 21.3 percent, from 55,086 cases to 43,373 cases. Of these cases, 12,058 were employed but did not have sufficient earnings to close their PA cases; 11,609 were engaged in one or more work activities including WEP, job search, education, training or were needed at home to care for incapacitated relatives; 3,699 cases were awaiting their WEP assignments; 10,957 cases were in the sanction process for failure to comply with work requirements; 2,616 cases were temporarily exempted from work requirements due to health reasons; and 2,434 cases were indefinitely exempted from work requirements because they were over 60 years of age or received Supplemental Security Income (SSI).
- 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.
 - Beginning in August 2001 HRA published performance indicators on NYC.GOV, the City's official Web site, as part of the mayoral initiative entitled, "Citywide Accountability Program." The indicators include the reported job placement rate; the three-month PA recidivism rate, which is defined as the return rate to welfare after leaving for employment; the rate at which the Agency wins fair hearings; the PA caseload increase or decrease rate; the percentage of City residents who receive PA; and the total amount of cash benefits provided to PA recipients exclusive of the value of food stamps, Medicaid and housing. "HRA Facts" is also online and includes monthly, comparative and historical information about PA, job placements, food stamps, Medicaid, AIDS Services, Home Care, Adult Protective Services, Homelessness Prevention Services, and Domestic Violence Prevention and Emergency Intervention. Data is updated monthly.
 - In October 2000 the Agency introduced CenterStat, a localized version of JobStat. CenterStat helps staff evaluate case documentation and increases communication and accountability towards achieving desired center performance outcomes. By the end of Fiscal 2001 CenterStat operated in 18 Job Centers and, by August 2001, it operated in 23 Job Centers. The Agency will implement CenterStat at the remaining four Job Centers by the end of Fall 2001.
- During the first six months of Calendar 2001 HRA began focusing on reducing incidences of welfare recidivism. The Agency monitors the recidivism rate through JobStat and ensures that Job Centers make available needed benefits and services such as child care and health care, which will help individuals sustain employment.
 - During Fiscal 2000 HRA placed retention requirements in its job placement contracts. Vendors receive partial payment when individuals are placed in jobs. Skills Assessment and Placement (SAP) vendors receive full payment only if individuals are still working 90 days after being placed in jobs; Employment Services and Placement (ESP) vendors receive full payment only if individuals are still working 180 days after being placed in jobs.
 - In August 2000 HRA introduced VendorStat, which allows the Agency to monitor and compare the performance of its contracted vendors for the job placement and retention of PA applicants and recipients, and is used as a basis for weekly discussions with vendors.
- During Fiscal 2001 HRA developed strategies to meet the particular needs of each segment of the PA population facing the loss of benefits as a result of the five-year PA time limit.

HUMAN RESOURCES ADMINISTRATION

- In March 2001 the Agency began offering six-month subsidized employment to PA recipients who approached the five-year PA limit and complied with welfare work requirements, but were unable to find employment. As of the end of August 2001 over 1,800 PA recipients received subsidized employment at the Department of Parks and Recreation and the Department of Transportation. Individuals work four days a week and participate in a job search for unsubsidized employment for one day a week.
- HRA called in approximately 5,000 sanctioned individuals for medical assessments to determine if there are physical or mental barriers that prevent them from participating in work or work-related activities.
- Under another initiative, beginning in September 2000 faith-based providers under contract with the State University of New York provided outreach by visiting or talking with individuals who were sanctioned for failure to participate in employment activities. After voluntarily meeting with these providers, 877 individuals returned to work activities.
- During Fiscal 2001 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. 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.
 - During Fiscal 2001 CUNY offered courses in the evenings and on weekends to accommodate the schedules of 222 working individuals, 21.8 percent less than the revised 284 individuals who participated during Fiscal 2000. The Agency calculates that after participation in the INVEST program, the average hourly salary of individuals who obtained upgraded employment rose by approximately 39.7 percent, from \$6.75 when they started the program to \$9.43 after participation; the average number of hours worked per week increased by 27.6 percent, from 28.3 hours when they started the program to 36.1 hours after participation; and the average yearly salary rose by 79.7 percent, from \$9,626 to \$17,300. As of June 2001, 63 individuals found better employment and of these, 42 individuals were able to close their PA cases.
 - During Fiscal 2002 the Agency will determine what barriers prevent employed Family Assistance Program (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 Agency plans to serve up to 600 participants by the end of Fiscal 2002.
- During Fiscal 2001 the Agency continued to implement and develop work-related training activities to move PA recipients to self-sufficiency.

HUMAN RESOURCES ADMINISTRATION

- By the end of June 2001, 1,796 Family Assistance Program (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 four CUNY campuses. This was 28.3 percent more than the Fiscal 2001 planned enrollment of 1,400 participants due to the implementation of a new POISED intake process that assesses program eligibility and eliminates barriers for POISED participation. 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 Fiscal 2001, 386 POISED participants reported employment. In September 2000 POISED added job search activities for participants who gave birth and who completed 13 weeks of the program. In Fall 2001 the Agency will implement POISED-At-Home, a voluntary program, which will provide 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. By the end of Fiscal 2002 the Agency will serve up to 1,800 POISED participants.
- The Agency's Personal Roads to Individual Development and Employment (PRIDE) 2000 program began in July 1999. PRIDE helps physically and mentally disabled PA recipients to maximize their employment potential or obtain SSI and Supplemental Security Disability Income (SSDI) benefits if they cannot work. Between July 2000 and June 2001 HRA provided approximately 12,060 PRIDE 2000 participants with intensive case management services. This is 10.5 percent less than the 13,478 participants served during Fiscal 2000 due to the PA caseload decline. The Agency also referred 7,985 PRIDE 2000 participants to service providers for assessment and work activities such as educational and office skills instruction. This was an 8.9 percent decrease from the 8,769 participants referred during in Fiscal 2000. By the end of Fiscal 2002 the Agency plans to refer approximately 6,000 additional participants to these contractors.
- By the end of Fiscal 2001 HRA enrolled 11,699 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, 28.2 percent less than the 16,284 students enrolled at the end of Fiscal 2000. This decrease was due to the continued FAP caseload decline and an increase in the variety of programs into which participants were placed, such as Wage Subsidy and ESP programs. The Agency expects to serve 10,500 FAP participants in these concurrent WEP activities during Fiscal 2002.
- During Fiscal 2001 HRA continued the integration of substance abuse treatment services with welfare-to-work activities.
 - PA participants who may be substance abusers according to State criteria are referred for drug treatment assessment and subsequently assigned to concurrent WEP activities and drug treatment as appropriate. During Fiscal 2001 HRA assessed 36,549 individuals for substance abuse after which 16,593 persons, or 45.4 percent, were referred for intensive substance abuse treatment; 15,176 persons, or 41.5 percent, were referred for substance abuse treatment and work assignments concurrent with WEP assignments. There were 4,108 persons, or 11.2 percent, who did not need substance abuse treatment and were assigned for full-time WEP participation. The remaining were 58 clients who did not complete assessments and 614 individuals who refused treatment after assessment and were either found ineligible for PA or sanctioned. During Fiscal 2000 there were 27,327 individuals who were assessed for drug treatment.

HUMAN RESOURCES ADMINISTRATION

- As promised in the Preliminary Fiscal 2001 Mayor's Management Report, in Spring 2001 HRA's contracted case management program began providing clinical case management services to 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 Agency expects to provide these services to 1,000 PA recipients by the end of Calendar 2001 and expand services for up to 3,000 PA recipients beginning by a revised date of Calendar 2003. 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.
- In collaboration with the Department of Mental Health, Mental Retardation, and Alcoholism Services (DMH), during Fiscal 2001 HRA served 293 clients at two substance abuse treatment programs in Queens and the Bronx. The programs provided intensive case management to assist families receiving TANF, who 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.
- During Fiscal 2001 the Department of Probation (DOP) referred 310 probationers to ESP vendors as part of a joint pilot program in Manhattan that assists both PA and non-PA probationers, some of whom receive services from both DOP and HRA, in finding employment and obtaining substance abuse treatment. By an earlier date of March 2001 DOP and HRA evaluated the ongoing pilot project and determined the program's effectiveness based upon the 158 probationers who were referred to ESP vendors and found jobs or were accepted into vocational programs or school. During Fiscal 2002 DOP and HRA will expand the program to two additional boroughs.
- In collaboration with the Department of Correction (DOC), by a revised date of the end of Fiscal 2002 HRA will open a center on Rikers Island, which will provide vocational assessment, identify job opportunities, and process participants in DOC substance abuse treatment for Medicaid and food stamps to facilitate their enrollment into community-based treatment upon their release. Case managers will monitor their treatment participation and link participants to services such as housing, job training and employment that support reentry into the community. HRA expects the program to serve 2,750 individuals annually.
- In October 2000 HRA published a booklet entitled, "Leaving Public Assistance and Keeping Your Job: Hints, Shortcuts and Tips to Help You and Your Family As You Enter the World of Work" to assist working individuals in obtaining benefits such as child care, food stamps, public housing and earned income credits. During Fiscal 2000 and Fiscal 2001 HRA distributed a total of 120,000 copies of the English-language version to all of its Job and Income Support Centers, food stamp offices and employment vendors. The document was translated into Russian, Arabic and Chinese. The Spanish translation was completed by a revised date of August 2001.
- As of July 2000 the federal Workforce Investment Act (WIA) replaced the Job Training Partnership Act (JTPA). WIA restructures the provision of employment and training services provided by HRA to adults through a one-stop delivery system. During Fiscal 2001 HRA and its partners continued to implement the City's WIA system.

HUMAN RESOURCES ADMINISTRATION

- 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 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. Additional One-Stop Centers are planned in other boroughs.
- Under WIA regulations, potential training providers must submit applications to the local Workforce Investment Board (WIB), the City's WIA oversight board, to be on the Eligible List of Providers (ELP), which allows them to receive WIA funds through Individual Training Accounts (ITAs), also known as vouchers, for those adults and dislocated workers who select their training courses. In November 2000 the City's ELP applications became available over the Internet. As promised, the Agency began issuing vouchers to adults in Spring 2001. The Agency trained staff from the City's One-Stop Center and its affiliates in the use and distribution of ITAs during April 2001. By the end of Fiscal 2001, WIB approved 137 training providers and 910 training courses.
- In Summer 2001 HRA negotiated contracts with 29 providers for intensive and appropriate 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. In July 2001, 13 of the 29 providers became operational; HRA estimates that the remaining 16 contractors will become operational in October 2001.
- During Fiscal 2001 HRA's 15 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. SAP contractors provided 37,331 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 5.9 percent more than the planned level of 35,260 PA participants. These contractors will provide services to 40,000 individuals in Fiscal 2002. ESP contractors provided 40,425 PA and 4,105 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. This was 5.1 percent more than the planned level of 38,480 PA participants. These contractors will provide services to 38,480 PA and 4,300 non-PA participants in Fiscal 2002.
 - During Fiscal 2001 SAP vendors achieved 7,386 job placements and ESP vendors achieved 8,353 job placements for a total 15,739 job placements, 766.2 percent more than the 1,817 placements achieved in Fiscal 2000. During Fiscal 2001 SAP and ESP vendors were fully operational.
- At the end of Fiscal 2001, 43.9 percent of FAP families participated in work activities. HRA estimates that after the City's FAP participation rate is recalculated by the State in Fall 2001 to include caseload reductions, the participation rate will meet State requirements.
 - The planned FAP participation rate increases by 5 percentage points annually to a maximum of 50 percent beginning in October 2001, and is adjusted for caseload reductions like those achieved by the City for each of the past six years.

HUMAN RESOURCES ADMINISTRATION

- HRA completed the conversion of its Job Centers, from 17 centers in August 2000 to 27 centers by mid-July 2001.
 - Learning Labs are located in Job Centers and provide clients with training and job search activities to develop their work-related skills. Ten Learning Labs were operational by the end of Fiscal 2001; three additional Labs will become operational by the end of December 2001; and two more Labs will become operational by the end of Fiscal 2002, for a revised total of 15 Labs.
 - In conjunction with the New York City Housing Authority (NYCHA), during Fiscal 2001 HRA served 636 welfare families at the Red Hook development in Brooklyn by helping the public housing residents on PA locate and keep employment; this was 10.9 percent more than the 573 families served during Fiscal 2000 and 48.9 percent more than the revised planned number of 427 families. The Agency also provided intensive case management as well as child-care referrals and individually tailored programs for them to create independence and achieve self-sufficiency. In addition, during Fiscal 2001, 45 residents found employment or reported income, 9.8 percent more than in Fiscal 2000. The Agency plans to serve a total of 500 families in Fiscal 2002. By the end of Fiscal 2001 HRA replicated this model to three additional housing developments in the South Bronx. The Agency expects to serve approximately 600 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 and the South Bronx housing developments refer residents to the Melrose Job Center in the Bronx.
- During Fiscal 2001 every parent who needed child care to leave welfare for work or engage in a work activity received a child-care subsidy and help in locating care.
 - During Fiscal 2001, 356 informal care providers were enrolled in the federal Child and Adult Care Food Program (CACFP), 4 percent less than planned. The program enables providers to receive reimbursement for the meals served to the children in their care. CACFP requires three inspection visits during each federal fiscal year by HRA staff to ensure adherence to CACFP rules and regulations. By the end of Fiscal 2002, HRA plans to enroll approximately 160 additional providers in CACFP for a total of 516 providers.
 - In collaboration with the Administration for Children's Services (ACS), during Fiscal 2001 the Agency began the implementation of the Automated Child Care Information System (ACCIS), a system that improves the timeliness of child-care payments and manages the transition to child care for PA families who are employed or participate in work-related activities. Families eligible for child care provided by ACS are assured continuity of care as they transfer from HRA to ACS. Payments are issued directly to child-care programs and providers once a month. By the end of Fiscal 2001, 15,547 families in four boroughs were placed in ACCIS; the Agency anticipates that 6,453 families will be placed in ACCIS by the end of Fiscal 2002, for a citywide total of 22,000 families.
 - With the implementation of ACCIS, beginning in Fiscal 2001 the continuity of child-care benefits improved for participants whose PA benefits are reduced due to increased earnings. By the end of Calendar 2001 ACCIS will automatically transition child-care payments for participants who leave PA for work. When their cases are closed, ACCIS will provide 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 will automatically transfer eligible families to ACS under the Low Income Working Child Care category.

HUMAN RESOURCES ADMINISTRATION

- The Electronic Benefit Transfer (EBT) system allows PA and food stamp recipients to receive their benefits at food stores authorized by the federal Department of Agriculture (USDA) through a debit card system at automated teller machines (ATM), food stores and other locations. By the end of Fiscal 2001 this State-run system allowed recipients to obtain PA cash benefits up to four times each month without incurring a service charge at 794 ATM locations with 1,814 machines, a 19.8 percent increase in locations and a 10.8 percent increase in machines from Fiscal 2000. Participants could also obtain PA cash benefits at 3,817 food stores, a 2.6 percent decrease from Fiscal 2000.

FOOD STAMPS AND FOOD PROGRAMS

- The number of persons receiving food stamps declined by 6.8 percent, from 896,789 at the end of Fiscal 2000 to 836,158 at the end of Fiscal 2001. This change is consistent with the decline in the overall PA caseload, which HRA projects will continue through Fiscal 2002. However, the proportion of non-PA food stamp recipients rose to 42.5 percent of all food stamp recipients at the end of Fiscal 2001, up from 21.5 percent at the end of Fiscal 1995.
 - During Fiscal 2001 non-PA food stamp recipients who are elderly or disabled were able to recertify their eligibility by mail and conduct all other food stamp transactions at any City food stamp center.
- 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 15.5 million pounds of food during Fiscal 2001, 6.9 percent more than the revised 14.5 million pounds distributed during Fiscal 2000. HRA will distribute 15 million pounds of food in Fiscal 2002.

DOMESTIC VIOLENCE

- The domestic violence shelter capacity increased by 6.2 percent, from 1,365 beds at the end of Fiscal 2000 to 1,450 beds at the end of Fiscal 2001. By Fall 2001 capacity will increase by 98 additional beds for a total of 1,548 beds, and will expand in late Fiscal 2002 by approximately 308 beds.
 - As promised in the Preliminary Fiscal 2001 Mayor's Management Report, HRA completed 15 additional units of transitional housing for a total of 155 units by the end of Fiscal 2001. The Agency will add another 40 units for a total of 195 units in Fiscal 2002.
- During Fiscal 2001 HRA's 11 contracted nonresidential domestic violence programs provided telephone hotlines, counseling, safety planning, information and referrals, and advocacy and community education services to 15,813 victims of domestic violence, less than 1 percent more than the 15,794 persons served during Fiscal 2000. The programs continued outreach efforts such as community presentations and participation in community events, which increased community awareness of these programs. By Fall 2001 HRA will expand the nonresidential domestic violence program capacity by 575 cases.

HUMAN RESOURCES ADMINISTRATION

- During Fiscal 2001 the Adopt-A-School program served an average of 160 victims of teen relationship abuse per month at five Bronx and five Brooklyn high schools. In collaboration with the Mayor's Commission to Combat Family Violence, the Board of Education, and other City and nonprofit agencies, three community-based contractors provided comprehensive teen relationship abuse services including prevention, intervention, professional development, community outreach and parent education. The Agency completed the planned expansion of the program to five Brooklyn high schools by the end of Fiscal 2001 and expects to continue the expansion to Manhattan, Queens and Staten Island during Fall 2001. The program evaluation will be completed by a revised date of December 2001 due to data collection delays.
- During Fiscal 2001 the Agency began the implementation of the Anti-Domestic Violence Eligibility Needs Team (ADVENT). The Team called in 165 Manhattan PA clients who were victims of domestic violence to assist them in accessing services and resources while they adhere to federal work requirements. The Team also identifies 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 from harm, out of the welfare sanction process for failure to comply with work requirements and move them towards independence. HRA will expand teams to the remaining four boroughs by the end of Fiscal 2002.
- In collaboration with the Mayor's Office to Combat Family Violence, DMH, and the State Office of Alcoholism and Substance Abuse Services, during Fiscal 2001 HRA 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

- In March 2001 HRA implemented the Employment Incentive Housing Program (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.
- By the end of Fiscal 2001 the Rent Arrears Alert (RAA) program, which identifies tenants who receive PA and have rent arrears, operated at 24 Job Centers. By Fall 2001 RAA will operate in 25 Job Centers.
 - During Fiscal 2001 Homelessness Prevention Units entered into early negotiations with landlords and helped 2,208 tenants remain housed, 4.5 percent less than the 2,312 tenants during Fiscal 2000 due to complex case situations that required more time to find affordable housing.

MEDICAL ASSISTANCE PROGRAMS: MEDICAID/HOME CARE

- In April 2000 the Mayor created HealthStat, a comprehensive citywide initiative to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access (MOHIA), over 20 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 150,000 individuals have been enrolled in public health insurance programs.
- During Fiscal 2001 the Medical Assistance Program (MAP) increased enrollment by linking Medicaid (MA) with other benefit programs.

HUMAN RESOURCES ADMINISTRATION

- By providing stronger linkages between food stamp and MA, MAP enrolled over 42,000 individuals in MA.
- Beginning in June 2000 the Medical Assistance Program (MAP) stationed workers at the Administration for Children's Services child-care offices to prescreen for Medicaid (MA) eligibility.
- During Fiscal 2001 MAP expanded HealthStat outreach by creating additional enrollment opportunities.
 - HRA used a mobile van for 108 enrollment events throughout the City.
 - At the direction of MOHIA and in order to support the outreach efforts of other agencies, MAP established a revised four MA offices, one each in the Bronx, Brooklyn, Manhattan and Queens. In Spring 2001 MAP converted these stationary offices into mobile groups. These groups facilitate enrollment, review prescreened MA applications from other City agencies, and process MA eligibility determinations.
 - As planned, in September 2000 HRA implemented a HealthStat automated tracking system, which identifies sources of application referrals and eligibility outcomes and is used by all City agencies. By the end of Fiscal 2001 MAP processed approximately 58,000 referrals through the automated system.
 - In November 2000 the Mayor launched a new HealthStat automated touch-tone phone line that prescreens families for Medicaid and Child Health Plus eligibility and refers them to convenient community locations for enrollment. The phone line, 1-888-NYC-6116, operates 24 hours a day, seven days a week; features include both an interactive voice response (IVR) and operator-assisted system in Spanish and English. By the end of Fiscal 2001 the phone line received 28,943 calls. The Agency completed IVR translations in other languages such as Mandarin Chinese, Russian and Haitian Creole, which will be available to callers by a revised date of November 2001.
 - During Fiscal 2001 MAP processed approximately 47,400 MA applications for children presently enrolled in Child Health Plus (CHP) and are also eligible for Medicaid. Federal regulations require that Medicaid be the plan of choice if children are eligible for both MA and CHP. The State Department of Health (SDOH) continues to project an estimated 6,000 CHP recertifications per month through September 2001 when HRA will complete the CHP to MA transition. In addition, Medicaid community offices became full-service offices with the capability of processing applications for Medicaid and Child Health Plus.
 - During Fiscal 2001 MAP began negotiations with SDOH to implement a mail recertification pilot program in Queens for children under 19 years. MAP determined that many Medicaid families whose cases are composed only of children do not complete the recertification process. The initiative will help retain Medicaid coverage for these children. In April 2001 MAP mailed recertification notices to approximately 3,100 cases and will continue negotiations with the State for full implementation of the pilot during Fiscal 2002. In October 2001 MAP will expand the Queens pilot to include telephone recertifications.
 - In February 2001 MAP began a pilot combining food stamp and Medicaid recertifications at its Dyckman Center in Manhattan, thereby allowing families to recertify for both programs in one visit using one set of documents. By the end of Fiscal 2001 the pilot, which improved recertification rates, expanded to five food stamp offices; expansion to a total of 10 sites is expected by the end of Fiscal 2002.

HUMAN RESOURCES ADMINISTRATION

- The number of persons receiving non-PA Medicaid increased by 13.4 percent, to 663,728 at the end of Fiscal 2001 from 585,472 at the end of Fiscal 2000; the number of persons certified eligible by Medicaid increased by 1 percent, to 1,608,707 at the end of Fiscal 2001 from 1,593,490 at the end of Fiscal 2000. MAP expects that the non-PA Medicaid caseload will continue to increase because of the HRA and HealthStat outreach efforts that are encouraging parents whose children are without medical insurance to enroll in Medicaid. Also, some individuals, who no longer receive PA, meet the eligibility requirements for non-PA Medicaid.
- In November 2000 MAP updated and modified operating protocols and policies in preparation for the mandatory Medicaid Managed Care (MMC) Phase II implementation readiness review that the federal Health and Human Services Center for Medicare and Medicaid Services (CMMS), formerly known as the Health Care Financing Administration, conducted in April 2001. This resulted in MMC expansion to the North Bronx, and Northeast and Central Queens for approximately 121,000 individuals.
 - MAP will assist in the preparation of the MMC Phase III implementation readiness review that CMMS will conduct by the end of Fiscal 2002. Phase III will expand MMC to the South Bronx, Northwest Queens and Northwest Brooklyn for approximately 298,000 individuals.
- During Fiscal 2001 the Home Care Services Program (HCSP) authorized and processed the enrollment of 1,915 new clients in the State Department of Health's Long-Term Managed Care Demonstration programs, which 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. During Fiscal 2000 HCSP authorized the enrollment of 2,000 new clients in these programs and anticipates the enrollment of an additional 2,000 new clients in Fiscal 2002.

AIDS SERVICES

- At the end of Fiscal 2001 the HIV AIDS Services Administration (HASA) caseload rose to 28,462 cases, a 2.7 percent increase from the 27,707 cases at the end of October 2000. HASA expects the caseload to increase to 29,801 by the end of Fiscal 2002.
- During Fiscal 2001 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. HASA released two quarterly performance reports by the end of June 2001. The third quarterly report was released in August 2001; the fourth and final Fiscal 2001 quarterly report will be released in October 2001.
 - During Fiscal 2001 HASA continued to implement its automated case management system, which computerizes most HASA client-related program and service delivery tasks, including intake, client assignments, client assessments, service plan development, referrals and reassessments. In addition, the system will generate management and statistical reports that will better enable HASA to monitor its operations. The Administration's central intake unit, ServiceLine, will begin using this system by a revised date of December 2001. The HASA housing unit and three field locations will use the system by a revised date of June 2002.

HUMAN RESOURCES ADMINISTRATION

- During Fiscal 2001 HASA expanded its current housing contract portfolio for three types of housing for individuals with AIDS and their families. By the end of Fiscal 2001, 78 clients were placed in NYCHA housing, 385 clients were placed in scatter-site housing, 3,935 clients were placed in supportive congregate housing and 8,168 clients were placed in transitional housing. Nine additional scatter-site housing contracts became operational in April 2001 for a total of 35 programs. Scatter-site housing programs provide intensive case management, counseling, and referrals for individuals and families who live in private apartments. Transitional and permanent congregate supportive housing for families and single adults provide intensive case management, counseling and referrals for individuals who live in congregate care facilities.
 - During Fiscal 2001 HASA developed two housing databases, which automate the tracking of homeless clients and permanent housing placements as well as increase HASA's ability to use vendor resources for the timely delivery of housing services to its clients.
 - By the end of Fiscal 2001 the HASA Work Opportunity Program served 330 new voluntary participants, 45.5 percent less than the 606 participants served at the end of Fiscal 2000 due to some HASA clients volunteering to enroll in State-sponsored training programs. All the HASA program individuals received employment counseling, 35 individuals participated in job readiness training, 157 individuals participated in computer and basic business skills, 21 individuals enrolled in internship programs and 38 individuals received part-time or full-time employment. 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. The program has served 936 participants since its inception in Fiscal 2000. The Administration projects that 425 additional participants will enroll in the program by the end of Fiscal 2002.

ADULT PROTECTIVE SERVICES

- In May 2001 the Agency changed the name of Protective Services for Adults to Adult Protective Services (APS), which conforms to similar programs nationwide. In addition, the Mayor's Office of Operations and HRA revised, developed and added to Volume II of the Fiscal 2001 Mayor's Management Report indicators that better reflect APS services.
- During Fiscal 2001 APS' Housing Court pilot program served 462 individuals, 32.8 percent more than the 348 individuals served during Fiscal 2000 due to the program expansion to an additional borough. 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 promised in the Preliminary Fiscal 2001 Mayor's Management Report, by July 2001 APS expanded the eviction court pilot from a revised one to three days a week in four boroughs.
- During Fiscal 2001 APS' community guardianship and protective service contractors served 1,304 individuals, 15 percent less than planned, due to the complexity of cases. APS expects that these contractors will serve a revised 1,400 individuals by the end of Fiscal 2002.

HUMAN RESOURCES ADMINISTRATION

- In August 2001 APS implemented a three-month pilot of its automated financial management system for a limited number of cases. When fully implemented, the system will provide better tracking, monitoring and execution of financial processes. It replaces three APS budgeting, accounting, and manual ledger systems with computerized accounts receivable and accounts payable, which process deposits from APS client resources such as SSI and generate vendor payments for client expenses. HRA estimates that the system will be completely operational by a revised date of June 2002.
 - By a revised date of August 2001 APS began implementing electronic deposits for its new banking system that allows Social Security Administration funds to be deposited into APS' financial management clients' accounts; these funds are then distributed by APS to appropriate vendors such as landlords, utility companies and home care agencies. The system will speed the processing and delivery of over 4,000 monthly checks to provide clients and their vendors with funds in a more timely and efficient manner. HRA estimates that the system will be completely operational by a revised date of June 2002 after the resolution of transmission issues by the electronic vendor.

TECHNOLOGY

- AUTOTIME replaces time clocks and forms with computer and card-swipe technologies to monitor employees' attendance and leave electronically. By the end of Fiscal 2001 AUTOTIME processed and sent 40 percent of all HRA timesheets to the Financial Information Services Agency (FISA) without a timekeeper having to make any entries, 10 percentage points lower than planned due to the complexity of programming leave-processing functions and overtime requests. The Agency will transmit 60 percent of its time sheets to FISA by the end of Fiscal 2002.
- During Fiscal 2001 HRA continued to implement the Paperless Office System (POS) for both application and recertification functions at two additional Job Centers, as planned, for a total of four centers. The Agency plans to add six centers to POS during Fiscal 2002.
- During Fiscal 2001 the Agency added 40 more sites to its Wide Area Network (WAN) for a total of 111 sites, 44.2 percent more than the planned 77 sites. In addition, from Fiscal 1998 to the end of Fiscal 2001, HRA connected approximately 12,000 computers to the WAN. By the end of Fiscal 2002 HRA will integrate new network technology into its WAN to increase bandwidth, which will increase network capacity.
- As part of the plan to install personal computers at every worker's desk, the Agency added or replaced approximately 5,000 computers, for a total of approximately 15,000 computers, 15.4 percent more than planned. By the end of Fiscal 2002 HRA expects to add or replace approximately 9,000 computers for a total of approximately 21,000 computers.
- During Fiscal 2001 HRA continued to implement the electronic Imaging Project, which has significantly improved 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 Fiscal 2001 HRA completed the imaging of all active files at 13 Job Centers, the entire MAP caseload as well as three non-PA food stamp centers and other HRA sites for a total of 53 million documents, 77 percent more than the 30 million documents imaged in Fiscal 2000 due to an accelerated timetable. The Imaging Project also bar coded over 7 million closed case records, all of which are stored off site by an HRA vendor. Through these efforts, HRA improved its employee work environment, reduced space costs and improved service to clients. By the end of Fiscal 2002 HRA plans to image an additional 40 million documents throughout the Agency.

HUMAN RESOURCES ADMINISTRATION

- During Fiscal 2001 HRA implemented a six-month Fair Hearing Imaging System (FHIS) pilot at three sites. 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. As promised, by the end of Fiscal 2001 the Agency evaluated the program based on the documents' accessibility, retrieval rate and accuracy, and found the system to be favorable based upon the clarity, timeliness and accuracy of retrieved documents that were added to electronic folders for presentation at fair hearings. The Agency will implement the system at all Job Centers by the end of Calendar 2002.
- During Fiscal 2001 HRA began the process to automate MA eligibility actions, such as registering applications on the State's Welfare Management System, cross-referencing information with other data systems, and determining financial eligibility and budgets. HRA expects to award a contract to streamline the workflow for routing eligibility transactions to appropriate workers by a revised date of June 2002 due to contract delays; completion is expected by a revised date of December 2002.
- During Fiscal 2001 HRA continued to work on several Agency intranet applications and an Internet project.
 - During Fiscal 2001 the Agency continued to pilot 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 their compliance with treatment and rehabilitation plans more effectively. By the end of Fiscal 2001 HRA made the Substance Abuse Tracking and Reporting System (STARS) available to a revised 60 substance abuse treatment programs over the Internet from NYC.GOV. The Agency will add 30 organizations to STARS by the end of Fiscal 2002, for a total of 90 programs.
 - During Fiscal 2001 HRA implemented functionality in 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 NYCWAY to streamline client activity management, expand case management functions, and consolidate employment placement and reporting. NYCWAY is composed of two automated systems that verify PA client information and documents as well as monitor PA clients' work or work-related activities as a condition for continued eligibility.
- During Fiscal 2001 HRA developed automated procedures to improve services at the WIA One Stop Center.
 - Beginning in March 2001 the Eligible List of Providers (ELP) and a preliminary performance report are available on the Internet. This gives specific training provider performance data, thereby helping individuals make informed decisions about which training provider to select. Training providers can also use the Internet to apply for inclusion in the ELP.
 - During Fiscal 2001 HRA began developing a new citywide WIA Web site that will allow job seekers and employers to access key employment information online. This Web site will serve as a virtual One Stop Center, linked to automated job banks, service directories and labor market data. Completion is expected by the end of Fiscal 2002.
- During Fiscal 2001 HRA continued to update its home pages on NYC.GOV to provide comprehensive information about HRA programs, including Welfare-to-Work, Food Stamps, Medicaid, Home Care, AIDS Services, Protective Services for Adults, and Domestic Violence Prevention and Emergency Intervention. The number of visits to the Agency's home page increased by 269 percent from 62,216 during Fiscal 2000 to 229,876 during Fiscal 2001.

HUMAN RESOURCES ADMINISTRATION

CUSTOMER SERVICE

- During Fiscal 2001 HRA's Award Program, which is part of the Professionalism, Accountability and Integrity (PAI) Civility Values Program, ensured that civility and professionalism are characteristic of each interaction among staff and the public. The Award Program acknowledged 1,042 staff members who exemplified these values, 332 percent more than the 241 staff members rewarded during Fiscal 2000. The program operated for a full year in Fiscal 2001.
 - By the end of Fiscal 2001 over 14,000 employees participated in expanded PAI training that addressed cultural diversity, communication skills and employee accountability. The Agency's Fiscal 2002 PAI training will consist of stress management and the creation of positive work environments.
- During Fiscal 2001 the Interactive Voice Response System for HRA's Infoline received over an estimated 1.1 million calls, the same number of calls as in Fiscal 2000. During Fiscal 2001 HRA experienced a delay in the installation of its new system as well as malfunctions with the current system. HRA will pilot the new system by a revised date of October 2001; completion is expected by December 2001.

AGENCYWIDE

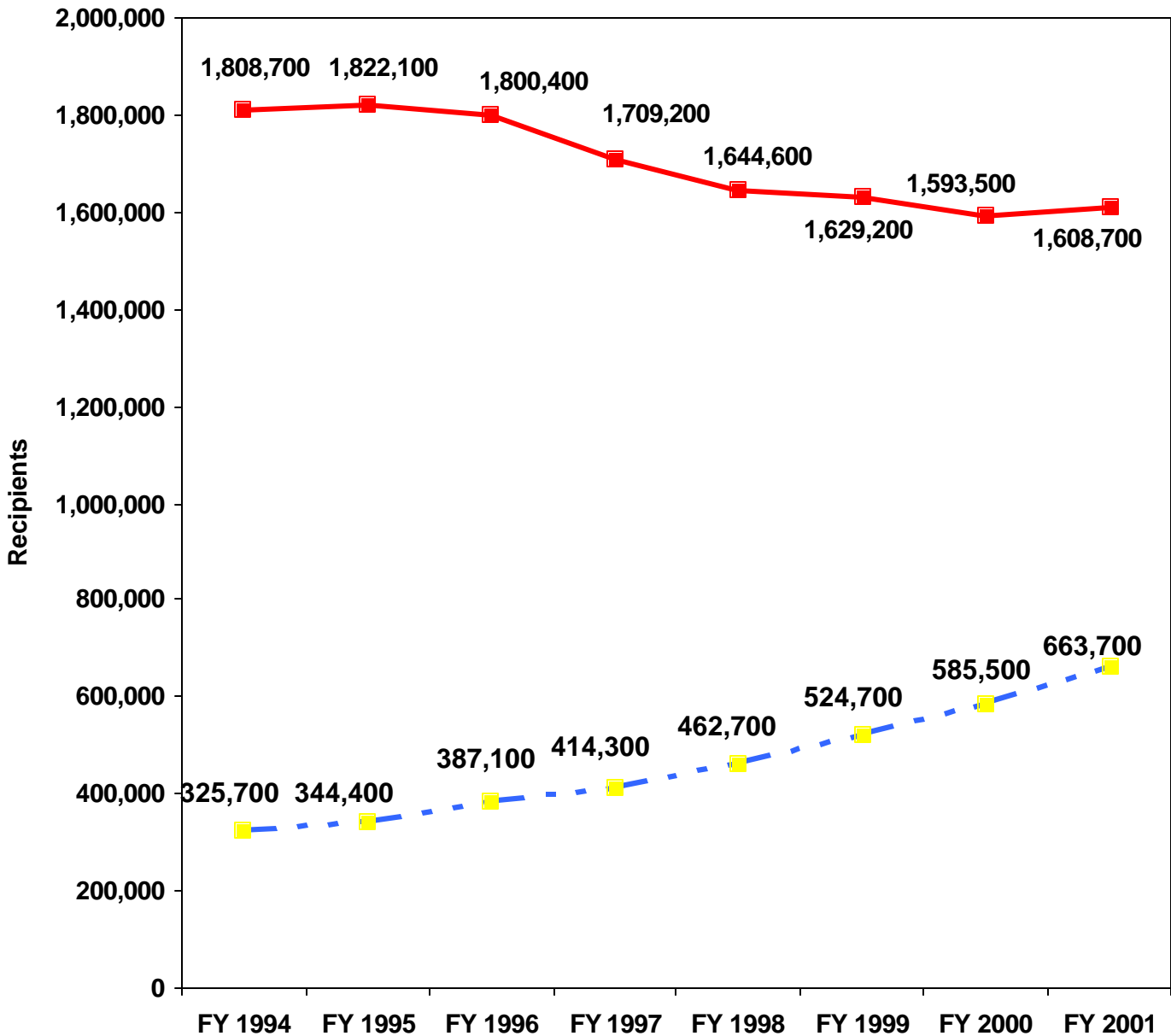
- During Fiscal 2001 the Agency continued to include performance measures in 100 percent of its human service contracts.

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Agency's expenditures were \$5.6 billion, compared with its plan of \$5.5 billion; headcount was 12,624, compared with its plan of 13,403. The Agency's Fiscal 2000 expenditures were \$5.4 billion, and headcount was 13,154.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$5.7 billion and a planned headcount of 12,976.

Human Resources Administration

Medicaid Recipients Fiscal 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 community-based network of services.**

Objective	FY 01 Actual	FY 02 Plan
Complete implementation of neighborhood-based service contracts citywide in Fiscal 2001.		
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 2001.		
Continue training 455 new caseworkers in the casework practice guide, investigative skills, Instant Response procedures, permanency planning assessment and the recording of child protective case information.	455	175
Continue to expand quality assurance strategies, which include random reviews of foster care cases, and monitor compliance with foster home recertifications.		
Ensure that all foster care contracts developed are outcome-based.		
Continue to expedite permanent families for children by reducing the length of time children remain in foster care prior to family reunification or adoption.		
Complete 4,500 adoptions.	2,715	3,300

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	FY 01 Actual	FY 02 Plan
Respond to 100% of all abuse and neglect allegations within 24 hours.	97%	100%
Complete the implementation of 30-day Family Permanency Conferences citywide in Fiscal 2001.		
Assign an average of five new cases per worker per month.	6.9	5

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

Objective
Continue to collaborate with the Department of Probation, the Department of Juvenile Justice and other law enforcement agencies on Project Confirm.
Continue to collaborate with the Department of Mental Health, Mental Retardation, and Alcoholism Services and the Health and Hospitals Corporation to provide substance abuse treatment and counseling to women whose children are at risk of being placed in foster care.
Continue to collaborate with the Department of Probation to refer Administration for Children's Services' families to the Juvenile Substance Abuse and Violence Deterrence Program to help prevent dysfunctional and unlawful behavior.
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.

Child-Care Services

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

Objective	FY 01 Actual	FY 02 Plan
Enroll 19,388 children in Head Start programs.	17,148	19,421
Enroll 65,059 children in day-care programs.	61,553	69,254
Continue to collaborate with the Human Resources Administration to make day care available as needed for welfare reform participants.		
Provide an additional 2,131 slots to existing group and family day-care contracts through a federally funded expansion of publicly subsidized day care.	1,614	279

Child Support Services

Goal: Insure the timely receipt of court-ordered child support payments.

Objective	FY 01 Actual	FY 02 Plan
Collect a total of \$450 million in child support.	\$447 million	\$500 million
Collect \$100 million in child support for Temporary Assistance to Needy Families recipients.	\$96.5 million	\$95 million
Obtain a total of 25,000 new support orders.	21,329	24,000
Attain a total of 216,000 cases with active orders.	208,251	220,000

Technology Initiatives

Goal: In coordination with the State, implement tracking and automated payment systems to streamline operations.

Objective
Develop additional CONNECTIONS functions during Fiscal 2001.
Develop the Outcome and Compliance Reporting System during Fiscal 2001.

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HIGHLIGHTS AND ACHIEVEMENTS

SERVING CHILDREN AT RISK

Transforming Child Welfare

- In May 2001 the Administration for Children's Services (ACS) issued a draft plan for the next phase of reform of the City's children's services system. In July 2001 a final plan was issued. 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; 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 March 2001 the Agency hosted a two-day conference to review ACS' reform efforts over the past five years and draft a blueprint for further reform efforts in the next five years. More than 500 representatives of the City's child-care and child-welfare communities, including staff from ACS, contract agencies, other City and State agencies, the Family Court, the District Attorneys offices, and parents and children, participated.
- In April 2001 ACS announced that 603 Child Protective and Child Welfare Specialist caseworkers and supervisors were awarded 7 percent merit-based pay increases for outstanding job performances. The increases ranged from \$2,416 to \$3,742 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.
- In March 1999 a settlement agreement was approved by the Court, calling for the dismissal and resolution of the federal class action lawsuits *Marisol v. Giuliani* and *Wilder v. Bernstein*. The settlement agreement created a Special Child Welfare Advisory Panel, comprised of a team of child welfare experts, to assess the Agency's progress in reforming child welfare in the City and present recommendations for continued improvement. In December 2000 the Panel issued a final report which found that ACS had acted in good faith and proposed additional steps needed to continue ACS' reform efforts. The expiration of the *Marisol* agreement in December 2000 marked the first time in 12 years that the City's child welfare system operated without a court order or stipulation. Although no longer mandated by the court, ACS requested that the Panel serve in an advisory capacity for an additional year through December 2001. In September 2001 the Panel will issue its first supplementary report to review ACS' work since December 2000.
- The Administration's new Children's Center was dedicated in November 2000 and opened for use in June 2001. The new Children's Center, located on the Bellevue campus in Manhattan, houses ACS' Emergency Children's Services, Placement and Evaluation Services, Pre-Placement Services and the Satterwhite Training Academy. The facility serves as the initial intake and processing center for abused and neglected children entering the Agency's care during nonbusiness hours and houses ACS' state-of-the-art training facility.

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- In December 2000 ACS issued a 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. ACS will reissue the RFP in September 2001 because it did not receive proposals from sufficiently qualified vendors during the original solicitation to begin providing services to 250 children by July 2002. In order to prevent a gap in services, ACS has extended all current contracts through June 2002.
- During Fiscal 2001 ACS continued operating Neighborhood-Based Services citywide through 55 foster care contract agencies and 92 preventive contract agencies. Neighborhood-Based Services include programs to help families and children obtain the assistance they need in their own communities 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 communities to prevent placement.
 - During Fiscal 2001, 7,908 children were placed in foster care, compared to 8,912 in Fiscal 1996 when the agency was created. Approximately 15.6 percent of the 3,284 children placed in foster boarding homes were placed in neighborhood-based boarding homes and 31.9 percent of the 1,025 children placed in kinship foster care homes were placed in neighborhood-based kinship homes, compared to 29.7 percent in Fiscal 2000. In Fiscal 2002 ACS expects that 50 percent of the children placed in foster boarding homes will be placed in neighborhood-based boarding homes and 60 percent of the children placed in kinship foster care homes will be placed in neighborhood-based kinship homes.
- In August 2001 ACS began rewarding contractors who achieve positive results related to quality practice and the recruitment of neighborhood resources. Contractors were evaluated through the Evaluation and Quality Improvement Protocol (EQUIP), a comprehensive process that evaluates programs and agencies that provide services to children and families.
 - As a result of ACS' review of contract and direct foster boarding home programs, the top four rated agencies were assigned 95 percent of their initial contract allocation; the four lowest scoring agencies were assigned 60 percent of their initial contract allocation and immediately engaged in extensive corrective action plans. The remainder were assigned between 70 and 80 percent of their initial allocation and the smallest programs were assigned 90 percent of their initial contract allocations, with corrective action plans initiated where needed. 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.
 - With EQUIP, ACS is able to evaluate foster care services, programs and agencies on three levels: process, outcomes and quality. Agencies' capacities are adjusted based on their performance on two specific components of EQUIP: the Performance Evaluation System (PES) and the Neighborhood-Based Services Indicator (NBSI). PES is a qualitative research methodology that allows ACS to rank programs in order of quality based on children's basic welfare, normal growth and development, and achievement of positive outcomes. NBSI rates agencies' ability to recruit foster homes in conjunction with ACS' Neighborhood-Based Services system. Scores on NBSI for foster boarding homes ranged from 50 to 88 and for congregate care from 63 to 97 based on their performance during Calendar 2000.
- As of June 2001, 40 out of 44 contract agencies that provide foster boarding home services are voluntarily participating in the Safe and Timely Adoptions and Reunifications (STAR) program, which began in April 2000. This program offers financial incentives to contract agencies that reduce children's length of stay in foster care while ensuring safety.

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- In July 2001 ACS released performance reports for the first year of the STAR Program. Between April 2000 and March 2001 children from participating agencies spent an average of 185,000 fewer days in care than ACS predicted based on each agency's historical performance in discharging children to permanent homes. In addition, the agencies' efforts to place children in permanent homes more quickly yielded systemwide savings of \$8 million, based on the number of days in care saved multiplied by the per diem rates paid to each agency. Following agencies' development of spending plans and ACS' review and approval of these plans, in September 2001 awards will be available to agencies for reinvestment into programs such as prevention and aftercare. The awards will consist of State and City funds, and depending on eligibility, some federal funds.
- In the second year of the STAR Program, ACS will continue monitoring agencies' performance in discharging children to permanent homes and begin a similar analysis of reentry rates for children discharged in the first year of the program.
- In Fiscal 2001 ACS completed the development of STARDAT, a database to help contract agencies monitor their own progress and understand the important trends in their cases and performances. ACS piloted STARDAT in May 2001 in seven sites and implemented it for contractor use in June 2001. ACS provided initial training to agencies in navigating the Web site, and continues to provide ongoing technical assistance. During Fiscal 2002 ACS will implement STARDAT internally, including in direct foster care programs. This database is available through a secure Internet site and enables each contract agency to view data on its own cases and generate reports for analysis.
- In Fiscal 2001 ACS' Office of Quality Improvement continued its team-based comprehensive quality improvement initiative comprising 18 program areas. The teams, known as Quality Leadership Teams (QLT), collaborate with senior management to develop quality improvement projects that strengthen case practice and other identified program activities. During Fiscal 2001, 16 of the 18 program teams were operational. The remaining two teams will be operational by a revised date of June 2002 due to lack of available staff. Examples of QLT achievements include implementing a tracking system for adoption case management, developing a survey that details the barriers for foster parents attending service plan reviews, increased timeliness of transfers of Court Ordered Supervision cases from the Office of Contract Agency Case Management to the Court Ordered Supervision Unit, developing the timekeeping and leave procedures manual, the "Time and Leave Handbook," for all ACS staff, and improved documentation of child protective services investigations. In Fiscal 2002 ACS will continue to ensure implementation of projects initiated by QLT teams, recruit new members as the terms of existing participants expire, and develop new teams.
- In Fiscal 2001, 96 new first- and second-year scholarships were awarded to ACS employees participating in the Masters of Social Work (M.S.W.) program, compared to 100 during the same period in Fiscal 2000. During Fiscal 2001 approximately 257 staff were enrolled in M.S.W. programs through ACS' \$2.9 million scholarship program and an additional 382 staff were self-financed M.S.W. students, compared to 209 staff enrolled in M.S.W. programs through ACS scholarships and 112 self-financed students during the same period in Fiscal 2000. 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 293 staff members have been awarded scholarships and 730 staff members have benefited from this program. In August 2001 ACS awarded 100 scholarships.
 - In Fiscal 2001 ACS also awarded partial M.S.W. scholarships for amounts up to \$10,000 to 77 staff members in contract foster care, congregate care and preventive services agencies. A total of \$475,000 was awarded in Fiscal 2001, compared to \$304,000 to 58 staff members in Fiscal 2000.

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- 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 a video network. In the 2000-2001 academic year videoconferencing reached 389 staff members, compared to 486 during the previous year.

Legal Services

- During Fiscal 2001 the Family Court Workgroup, created in May 2000, began developing a proposal to enhance the efficiency of the flow of all abuse and neglect cases from intake to permanency. The Workgroup drafted a bill to reform the court process by allowing cases to remain in front of one judge for their duration and enabling parties to be represented by one attorney until the child attains permanency. ACS' proposed legislation was adopted as a City legislative proposal and introduced in the State Senate in July 2001. In Fiscal 2002 the Workgroup will address issues regarding implementing continuous scheduling of cases and getting more case coordinators and referees in court. The Workgroup is a high-level group established 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.
- The Court Document Dissemination Project (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. As of July 2001, three CDDP units were operational in Manhattan, Brooklyn and Queens. Due to delays in the recruitment of staff and technological difficulties, the remaining units in the Bronx and Staten Island will be operational by a revised date of October 2001.

Protective Services

- During Fiscal 2001 the Agency responded to 57,224 reports of suspected child abuse and neglect involving 88,312 children, compared to 53,540 reports and 81,673 children during Fiscal 2000.
- During Fiscal 2001, 5,068 72-Hour Child Safety Conferences (CSCs) were held citywide, including 1,242 elevated risk conferences. Since CSCs were first implemented in October 1999, there have been 8,842 conferences, including 1,642 elevated risk conferences. During Fiscal 2001, 58 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 a revised 52 percent in Fiscal 2000. Parents attended 71 percent of the conferences held in Fiscal 2001; consensus among all participants on a service plan was reached and contracts signed by parents in 92 percent of the conferences they attended.
 - The 72-Hour Child Safety Conferences is a Division of Child Protection (DCP) 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 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. Elevated risk conferences began in November 1999.
 - 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, 1,322 thirty-day conferences were held.

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- During Fiscal 2001 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. Of the 58 parents who returned surveys on conferences they attended between September 2000 and February 2001, 88 percent said that the conferences were beneficial to their families and 81 percent reported that they were treated "with fairness and respect." Beginning in August 2000 ACS made changes based on the 10 Action Recommendations listed in the overall evaluations, including clarifying the role of the Child Evaluation Specialist, distributing an updated family team conference protocol, providing family team conference training to caseworkers in the Satterwhite Training Academy, and increasing the use of elevated risk conferences. ACS expects to provide guidelines for conferences on Persons in Need of Supervision (PINS) and voluntary cases in Fiscal 2002.
- In an effort to address the link between child maltreatment and domestic violence, during Fiscal 2000 ACS partnered with the New York City Police Department (NYPD) and a nonprofit entity to develop the Domestic Violence Coordinated Response Pilot. The pilot, which involved developing a protocol for sharing information and coordinating activities between ACS and NYPD on domestic violence cases, testing a domestic violence assessment tool and assigning a domestic violence specialist to assist ACS staff, was implemented in the ACS Manhattan Protective Services Office from July through December 1999. During this period 177 cases were referred. The offender was arrested in 50 percent of the cases, an order of protection was issued in 42 percent of the cases and protective removals were necessary to ensure child safety in only 3 percent of the cases. As a result of the pilot, the assessment tool and ACS' domestic violence curriculum used in the Satterwhite Training Academy were revised. By February 2002 domestic violence specialists will be available citywide as part of clinical consultation teams to assist ACS protective services staff.
- During Fiscal 2001 Instant Response Teams (IRTs) handled 3,793 referrals, compared with 2,099 referrals in Fiscal 2000. This increase is due to the full implementation of the IRT procedure, which includes a new category of less severe cases that require coordination around the investigation but not joint interviews, and widespread program training and education during Fiscal 2001. Joint interviews were held in 55 percent of the cases, compared to 60 percent of the cases in Fiscal 2000. Joint interviews took place in an ACS office, police precinct stations, schools, at the child's home and/or at the Child Advocacy Centers. In 92 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 a revised 90 percent of the cases during Fiscal 2000. 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 July 2000, seven out of 43 Family Services units that manage Court Ordered Supervision cases began piloting a new set of case practice requirements. During the period of July 2000 through August 2001, 134 cases were handled. Between March and June 2001 staff training for citywide implementation of the new case practice requirements was conducted. The underlying principles of the pilot are early family engagement, a focus on child safety and increased support and guidance for frontline casework staff. In Fall 2001 a tracking system is being implemented to obtain information on casework contacts, services provided and other case-related information.
 - Innovations include a joint visit to the family's home with the family's previous ACS worker within seven days of a case assignment; a conference with family members, individuals whom the family relies on for support and service providers within 45 days; and the completion of monthly safety assessments for the duration of the intervention.

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Preventive Services

- During Fiscal 2001, 27,595 families received preventive services, either directly or through contracted organizations, compared to 25,564 families during the previous fiscal year.
- During Fiscal 2001, 3,062 families were referred to Designated Assessment Services programs from Family Court Probation, compared to 3,030 in Fiscal 2000. Designated Assessment Services/Persons In Need of Supervision (DAS/PINS) programs are mandated by the State legislature and funded by ACS with the goal of diverting 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.
- During Fiscal 2001 the Juvenile Substance Abuse and Violence Deterrence Program (J-SAVD) served 136 participants referred from ACS, compared to 376 participants in Fiscal 2000. The decrease is due to the program ending in December 2000 because of a loss of State funding. J-SAVD was a Department of Probation (DOP) program to reduce or prevent dysfunctional and criminal behavior in children considered PINS. J-SAVD was offered to families and respondents at the first level of involvement with DOP and the Court, generally before any arrestable conduct has taken place. J-SAVD programs accepted children who have been through DAS/PINS two or more times.
- During Fiscal 2001 the Cumberland Diagnostic and Treatment Center in Brooklyn, established in February 1998 by an agreement among the Department of Mental Health, Mental Retardation, and Alcoholism Services; the Health and Hospitals Corporation (HHC) and ACS, served 239 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, 62 mothers were reunited with their children.
- The Family Violence Prevention Project (FVPP) 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.
 - Through a three-year contract with a nonprofit entity to provide domestic violence services throughout ACS, a revised 44 preventive programs are receiving ongoing training and education on how to determine whether there is domestic violence and provide appropriate services to families. In addition, the Abusive Partners Prevention Project, which began in March 1998 as part of the FVPP, trains preventive program staff to provide 26-week counseling groups for abusive partners whose families are involved in the child welfare system.
- In December 2000 ACS finalized its "Principles for Addressing Domestic Violence in Children's Services" and distributed them internally and externally. 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, will advise ACS in developing a strategic plan by December 2001 and implementing new initiatives such as citywide training of child welfare workers and enhanced screening and assessment of ACS clients around these principles.

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- In Fiscal 2001 the housing subsidy program assisted 1,618 families, compared to a revised 1,364 families in Fiscal 2000. Data for both Fiscal 2000 and Fiscal 2001 reflects cumulative cases rather than active cases. From July to March 2001 there were 476 new housing subsidy referrals. Data on new referrals between March and June 2001 is not available. ACS' database system will track all new referrals in Fiscal 2002. 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 900 families.
- In Fiscal 2001 the Administration continued to collaborate with the Department of Housing, Preservation and Development (HPD) to identify and address the housing needs of ACS families. In conjunction with HPD, during Fiscal 2001 ACS assisted 44 families in securing housing through Section 8 Family Unification Vouchers. These vouchers are used for families with children in care where the only barrier to reunification is housing or to prevent placement due to housing issues. Since the program's inception in 1999, a total of 156 vouchers have been distributed to ACS families.

Youth Development

- In an effort to broaden support for teenagers in the child welfare system, in May 2001 ACS transferred the Office of Independent Living to the Division of Foster Care and Preventive Services, creating a new Office of Youth Development (OYD). OYD plans, coordinates and implements services for adolescents. Its mission is to ensure youth involvement in the development of ACS programs; support youth leadership and community service activities; strengthen and monitor educational, skill-building, mentoring, employment and aftercare programs; maintain focus on family connections; and provide youth with the tools and resources to live independently after being discharged from foster care.
 - OYD collaborates with, and provides technical assistance to, direct care and contract agency staff to ensure that adolescents receive community-based preventive services when appropriate and facilitate the successful transition from foster care to adulthood. Staff provide adolescents with referrals to community-based resources such as colleges and vocational training, mentoring, employment, housing, and basic life skills; they also provide case management services to youth seeking emergency assistance.
 - By December 2001 OYD will develop strategies to reinforce families and youth development in a new ACS Youth Development Plan. Working closely with the ACS Office of Advocacy, in Fiscal 2002 OYD will develop a plan for a new Teen Hotline run by and for teenagers in foster care; they will also begin a program to train young people to advocate for themselves and their peers. By June 2002 ACS will expand community-based services, initially by modifying existing independent living programs, to include new program models to keep or return teens home, including those in PINS programs.
- In September 2000 ACS and the New York City Housing Authority began a pilot project to expedite the process of obtaining Section 8 vouchers and public housing units for youth ages 18 to 21 who are about to be, or recently were, discharged from foster care. Since the program's inception, ACS has submitted 274 Section 8 applications and 185 public housing unit applications for this population. ACS expanded this project throughout the Agency by providing training to 70 staff members between February and June 2001. The program was fully implemented in June 2001 with a goal of submitting up to 1,300 Section 8 applications and 1,300 public housing unit applications each year.

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- During Fiscal 2001 ACS and HPD began developing a housing project to provide transitional, supportive housing for young adults transitioning from foster care to independent living. The program will offer services, including counseling and job training, to young adults ages 18 to 23 for up to two years. Forty units are expected to be available in July 2002.
- During Fiscal 2001 Project Confirm screened 8,429 referrals from the Department of Juvenile Justice, DOP and NYPD, compared to a revised 4,007 referrals in Fiscal 2000. The number of referrals in Fiscal 2000 was revised to reflect the entire 12-month period. As a result, the program succeeded in notifying child welfare officials about juvenile arrests in 561 cases involving children in foster care, compared to 280 in the previous fiscal year. Due to the appearance of child welfare officials in court, in Fiscal 2001, 95 percent of youth arrested were returned to the foster care agencies that previously cared for them, thereby avoiding unnecessary emergency replacements through new agencies.
 - Project Confirm acts quickly to substantiate the foster care status of an adolescent when arrested, eliminating an unnecessary stay in a Department of Juvenile Justice facility for foster care youth who cannot be released due to the absence of a guardian.
- In Fiscal 2001 ACS trained an additional 166 staff on how best to provide appropriate and equal services for all gay and lesbian youth involved in child welfare, for a total of 416 staff trained. Through a contracted organization, ACS provided training on the topic of gay and lesbian youth to both its own and contract agency staff. 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 Fiscal 2001 the average number of children in foster care was 30,858, including 8,088 children in kinship care. In comparison, there were 34,354 children in foster care, including 9,354 in kinship care, during Fiscal 2000. The City's foster care population has declined 31 percent from 41,669 in December 1996 to 29,705 in June 2001; it has declined 40 percent since the record high of 49,163 in December 1991. This is the lowest foster care population since December 1988 when the number of children was 29,319. For Fiscal 2002 an increase of \$3.1 million in total funds will 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, including babysitting stipends, as well as supports a media campaign.
- An essential part of the continuing implementation of the Adoption and Safe Families Act (ASFA) of 1999 is the participation of ACS' Office of Contract Agency Case Management (OCACM) and Adoption Case Management (ACM) staff in service plan reviews (SPRs) for children in foster care. 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. Between January and March 2001 OCACM staff attended SPRs for 74 percent of the children whose cases OCACM monitors and 77 percent between April and May 2001; ACM staff attended SPRs for 93 percent of the children it monitors.
- In November 2000 ASFA training was conducted at three contracted foster care agencies on enhancing caseworker/supervisor skills related to permanency planning and the decision-making process. Training for eight additional agencies will be conducted through Fiscal 2003. In addition, beginning in February 2001 supervisory training and technical assistance on achieving permanency for adolescent foster children was provided to 25 agencies. Training will be made available to all other contract foster care agencies by the end of Fiscal 2003.

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- In December 2000 ACS issued best practice guidelines on parent and sibling visits for children in foster care. This includes a systemwide guideline of weekly visiting between children and their parents when the goal is reunification, and addressing issues such as the frequency, duration, location, and level of supervision of family visits. The guidelines were the result of the ACS Visiting Improvement Project (VIP) Task Force, an interdisciplinary team of ACS staff and representatives from a number of contract agencies and Family Court formed in April 2000, and focus groups held with parents, youth, foster parents, and casework and supervisory staff in June and July 2000.
 - In May 2001 the VIP Task Force and the ACS Centralized Sibling Unit (CSU) trained ACS and contract agency staff and informed ACS' Division of Legal Services (DLS) attorneys and Family Court staff of the new guidelines.
 - In order to evaluate and monitor contract agencies' use of these guidelines, in December 2000 ACS incorporated questions concerning sibling visits into the Program Evaluation System; in February 2001 ACS received descriptions of agencies' internal systems for tracking visits. Using results from this evaluation, in September 2001 ACS will begin working with small groups of agencies on implementing improvement plans.
 - During Fiscal 2001 CSU began developing a new curriculum to train foster parents on the issue of sibling visits; the curriculum will be implemented in October 2001.
- During Fiscal 2001 ACS continued an initiative, the Children of Incarcerated Parents Program (CHIPP), begun in Fiscal 2000 to focus on helping staff better serve foster care children whose parents are incarcerated. In June 2000 ACS began offering weekly van service to children and their care providers to the Rose M. Singer Center, the female facility on Rikers Island; ACS also supplied toys to the visiting room. In November 2000 ACS expanded this program to serve incarcerated fathers on Rikers Island and their children. In addition, in May 2001 ACS began providing van service to children and their care providers to upstate facilities upon request and also included case conferences, such as the 72-Hour Child Safety Conference, during these visits. Since its inception in Fiscal 2000, this program has facilitated over 400 child-parent visits and involved over 40 different agencies.

Medical Services

- In December 2000 ACS issued an RFP 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. By a revised date of the end of September 2001 vendors will be selected. These services will be available to ACS caseworkers and supervisory staff and contract agency staff citywide by February 2002, which is later than planned due to delays in the procurement process.
- In September 2000 ACS, in conjunction with the State Office of Mental Health's Home- and Community-Based Services (HCBS) Waiver Program, launched a mental health pilot program for children and adolescents in foster care with serious and complex emotional needs. As of June 2001 ACS had referred 45 children to the program, 16 of whom began receiving services. This program provides intensive, in-home services to children to avoid residential placement or hospitalization. In Fiscal 2002 ACS will finalize an operational protocol and offer training to foster care staff to better identify and refer eligible children to the program.
- In conjunction with the State Office of Alcohol and Substance Abuse Services (OASAS) and community-based addiction treatment providers, during Fiscal 2001 ACS initiated several collaborative projects to develop best practice guidelines and training on how to most effectively refer and coordinate service planning for families affected by both systems.

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- In January 2001 ACS and OASAS held a Cross-Systems joint training conference on blending the perspectives of child welfare and substance abuse systems. The conference was attended by over 350 community-based child welfare and substance abuse treatment organizations. In August 2001 the Child Welfare/Substance Abuse Cross-Systems Desk Aid was issued to further support the collaborations at the practice level.
- In January 2001 ACS began developing policies and standards for the operation of substance abuse treatment programs in direct and contracted congregate care facilities. The final draft of ACS' congregate care substance abuse standards is expected to be released in September 2001.
- In May 2001 ACS, OASAS and community-based providers issued the Child Welfare and Substance Abuse Cross-Systems Operational and Communication Protocol. In September 2001 ACS and OASAS will begin training community-based organizations on implementation of the Protocol.
- In Fiscal 2002 ACS is developing an application system to enable casework staff to search a database of treatment providers when making referrals. This system will be completed by December 2002.
- In March 2001 ACS and New York University (NYU) began a collaborative program in which registered professional nurses in NYU's Nurse Practitioner Master's degree program provide services to children entering foster care at ACS' Preplacement Intake Medical Unit. By September 2001 ACS expects to have up to four nurses from NYU in this program.
- In anticipation of the move of pre-placement services to the new Children's Center in April 2001, ACS, in partnership with HHC's Bellevue Hospital Center, developed a plan to enhance current pre-placement service interventions for children at the point of entry into foster care. A dedicated mental health team, consisting of child and adolescent psychiatrists and psychologists, will provide screening services for developmental and mental health issues, provide clinical opinions with respect to recommendations for appropriate type and level of placement, determine the need for further evaluation and/or ongoing intervention and provide on-site mental health training for social services staff. In Fiscal 2002 ACS is working with the mental health staff of Bellevue Hospital Center to develop an operational protocol for providing these services.
- In April 2000 the Mayor created HealthStat, a comprehensive citywide initiative to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, over 20 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 150,000 individuals have been enrolled in health insurance programs.
 - In June 2000 ACS established a management team responsible for HealthStat activities. The management team oversees staff training and health insurance outreach efforts.
 - ACS has incorporated HealthStat principles into several daily operating activities. Since December 2000 individuals who apply or request recertification for day-care services at each of the Day 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.

ADMINISTRATION FOR CHILDREN'S SERVICES

- Similarly, individuals who file claims for child support collection with the ACS Office of Child Support Enforcement (OCSE) are asked whether their children need health insurance and are referred to enrollers when appropriate. Parents indicating a need for children's health insurance are referred to community-based enrollers convenient to them. In August 2001 ACS' Office of Child Support Enforcement (OCSE) sent out a mailing to 180,000 custodial parents with active child support cases. The mailing provided information about child health insurance enrollment at OCSE borough offices.
- In September 2001 ACS' Division of Legal Services will begin working with the Office of Court Administration to do outreach and enrollment in Family Court in the Bronx, Brooklyn, Manhattan and Queens.
- ACS Child Advocacy, Foster Care, Adoption and Child Protection staff have also been trained to refer families to enrollers to sign up for child health insurance.
- In August 2001 ACS began working with managed care plans to set up enrollment drives at various Agency-sponsored and community-sponsored events for individuals who may not be eligible for public health insurance programs.
- As of November 2000 all nursing positions for the Medical Services Management Unit (MSMU) Brooklyn site have been filled, making all sites in each borough fully operational. During Fiscal 2002 staff within each MSMU site are implementing the Health Information Profile System (HIPS), a database system.
 - The purpose of MSMUs is to support casework staff who address the medical and mental health needs of children in directly operated foster care.
- In Fiscal 2000 ACS' Office of Medical Services Planning (MSP) finalized the medical record review tool and protocols. MSP began the official medical record review with Special Medical and HIV programs in November 2000. The results of this review were incorporated into the EQUIP scores and used to initiate corrective action plans. In April 2001 MSP began the review of all other agencies. As of July 2001, MSP had completed the review of 31 of 63 contract agencies.
- In late September 2001 ACS will begin providing developmental and mental health screening and assessments to all children in direct foster care programs. Senior social work students, supervised by three field instructors and a clinical psychologist, will provide screenings, often in foster homes, make referrals for further assessment and mental health services, and provide short-term counseling for children awaiting treatment.

Quality Improvement

- As promised in the Fiscal 2001 Preliminary Mayor's Management Report, in April 2001 ACS' Brooklyn Office of the Division of Foster Care Services was selected to implement a set of uniform guidelines for supervision throughout the life of a case, along with indicators and measures of supervisory involvement. Following the training of 10 supervisors and five area administrators, 96 cases from Brooklyn were reviewed and indicators of supervisory guidance and involvement were measured. The results of the case review will be released by October 2001.
 - Through Fiscal 2000 the Office of Quality Improvement worked with the State Division of Foster Care Services to develop these guidelines for measuring supervisory performance.

ADMINISTRATION FOR CHILDREN'S SERVICES

- In Fiscal 2001 the Office of Quality Improvement initiated Supervisory Conferences (SupCon) in the Division of Child Protection. SupCon staff collaborated with the Division of Child Protection to select specific case practice indicators to assess the thoroughness of case documentation. Between May 2000 and April 2001, conferences were held with a total of 169 supervisors and 59 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.

Adoptions

- In June 2001 the Office of Adoption Services became part of the Division of Legal Services (DLS). DLS will build on its relationship with the Family Courts to improve the timeliness of the adoption legal process.
- During Fiscal 2001, 2,715 adoptions were finalized, compared to 3,148 adoptions during Fiscal 2000, a decrease of 13.8 percent. Since the creation of ACS, 19,352 children have been adopted, with the majority being children who have been awaiting finalization for a long period of time. This has left a greater proportion of children in the adoption pool who recently began the process; this shift in the pool make-up has resulted in fewer children being adopted in Fiscal 2001 than in previous years. In addition, the City's foster care population, which includes the pool of children eligible for adoption, has continuously declined since 1996, resulting in fewer children available for adoption. In Fiscal 2002 ACS plans to finalize 3,300 adoptions.
- Since its premiere in April 1999 through June 2001, Wednesday's Child, a weekly television feature, has aired 141 segments covering 143 hard-to-place children in need of adoptive homes. During this period, approximately 3,299 prospective adoptive and foster parents contacted the Agency through telephone calls or emails to the Parent Recruitment Hotline regarding children featured in these segments. Families have adopted four of the featured children and more children are awaiting finalization dates. Approximately 25 featured children have visited or are being considered by families who learned about adoption through Wednesday's Child.
- In May 2000 the Direct Foster Care Services Unit began holding pre-adoption conferences in its Brooklyn, Bronx and Queens offices. Since the inception of the program through June 2001, 100 pre-adoption conferences were held for 130 children, including 103 children whose foster parents want to adopt them and 10 siblings reunited in pre-adoptive homes following different foster care placements. Training for staff of the Manhattan/Staten Island division was completed in December 2000. Pre-adoption conferences in these offices began in January 2001. As a result of poor performance, in August 2001 the Manhattan/Staten Island division was closed. Foster homes managed by this division will be transferred to other direct and contract foster care agencies by the end of September 2001.
 - 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.

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- During Fiscal 2001 an operational procedure manual was developed for post-adoption support services. In May 2001 the Post-Adoptive Services program became operational in the Office of Adoption Services, which is later than planned due to difficulties in hiring staff. The objective of the post-adoption support conference is to provide services and information to empower adoptive parents to address their family's specific needs, to provide lifelong outreach to adoptive families and to facilitate use of community resources throughout the adoption process. Between May and July 2001, post-adoption services were provided to 17 families, including 31 children.

CHILD CARE SERVICES

- During Fiscal 2001, 78,701 children were enrolled in ACS/Agency for Child Development (ACD) child care programs, including 61,553 children in ACS/ACD contracted or voucher care programs and 17,148 children in Head Start programs. In comparison, there were 73,905 children enrolled in ACS/ACD child care programs, including 56,549 children in ACS/ACD contracted or voucher programs and 17,356 in Head Start programs during Fiscal 2000.
- In September 2000 ACS convened a subcommittee of the Commissioner's Advisory Board to draft a reform plan for child care and Head Start services. The final plan, which will address professional development, facilities, quality improvement, innovative program models, family engagement and fiscal issues, will be released in Fiscal 2002.

Day Care

- During Fiscal 2001 ACS/ACD continued a major expansion of publicly subsidized day care begun in Fiscal 2000, using additional federal Child Care Block Grant funds, which will enable approximately 11,000 additional children to receive subsidized child care through the expansion of existing contracts, new contracts and the issuance of additional vouchers.
 - After receiving State approval in July 2000 to expand existing child care contracts by up to 10 percent, ACS/ACD added capacity for an additional 1,614 children, with an additional 279 slots expected to become available by December 2001.
 - As a result of the expansion RFP issued in April 2000, new contracts for more than 3,800 expansion slots are expected to be awarded by a revised date of the second quarter of Fiscal 2002. The majority of the slots will go to respondents who will serve families in high-priority areas. Service is expected to begin during a revised date of the third quarter of Fiscal 2002. The revised dates are due to complexities in the procurement process.
 - Between January 2000 and June 2001 ACD issued new day-care vouchers for 15,417 children who were previously on the waiting list. Of these, 6,883 children have enrolled in voucher care and 3,689 have enrolled in contracted care with 115 vouchers still outstanding. The great majority of vouchers have been issued to children in low-income families with high-priority reasons for child care, such as public assistance (PA) recipients, and low-income working families who need child care to participate in work and job readiness activities. By the end of Fiscal 2001 a total of 17,549 children were enrolled in voucher programs.
 - In Fiscal 2002 ACD anticipates that an additional 5,000 children will be enrolled in voucher programs. In order to provide continuous care, in Fiscal 2002 ACD will issue vouchers for the first time to 1,800 children graduating from preschool programs.

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- By November 2001 ACS/ACD plans to release an RFP to expand ACD and Head Start slots in Fiscal 2003. In addition, based on \$25 million in City funding, the RFP will also seek proposals for child care facilities development and renovation. The RFP will emphasize innovative program models and encourage public-private partnerships to make full-day care available for children in part-day Head Start and Universal Pre-Kindergarten programs.

Head Start

- During Fiscal 2001 ACS Head Start assessed space requirements with Head Start providers interested in converting part-day programs to full-day programs to better meet the needs of working families and families on public assistance engaged in work activities; ACS Head Start also identified resources for renovations to increase the number of licensable classrooms. During Fiscal 2002 approximately 1,200 slots are expected to be converted from part-day to full-day through the use of federal quality enhancement funds. ACS Head Start will enroll children previously in part-time programs into full-time programs by October 2001.
- In September 2000, two Head Start providers were selected in Queens as a result of a competitive solicitation, released in Fiscal 1999, to expand Head Start Services. Services for 177 slots are expected to begin by a revised date of December 2001 due to delays in the completion of site renovations. In June 2001 ACS Head Start applied for \$6.3 million in federal expansion funds to add 726 additional full-day Head Start slots.
- In September 2000 ACS Head Start completed its initial screening of all current Head Start sponsors interested in providing Early Head Start services to infants, toddlers and pregnant women. By a revised date of September 2001 ACS will begin distributing applications to potential providers and make its final recommendations for selections by October 2001, which is later than planned due to negotiations with the federal Department of Health and Human Services regarding the use of City funding to increase the number of families to be served.
 - Depending on program design and modality, ACS Head Start anticipates that the federal grant of \$510,000 will support services to approximately 60 children ages 3 and under and their families. Early Head Start services will begin by a revised date of Spring 2002.
- In October 2000 Columbia University and ACS Head Start were awarded another three-year grant to build on previous research by conducting a comprehensive assessment of the effect of community, elementary school and Head Start programs on the early school performance of a group of New York City children. Using data from Head Start records, Board of Education records and birth certificate files, this project will focus on the relationship between a child's social environment and participation in the Head Start program. In February and June 2001 initial planning sessions took place and are scheduled to continue through December 2001.

CHILD SUPPORT ENFORCEMENT

- During Fiscal 2001 the ACS Office of Child Support Enforcement (OCSE) collected approximately \$446.9 million in child support payments for City and non-City families, an increase of 11 percent compared to \$403.6 million during Fiscal 2000, and an increase of 114 percent compared to \$209.3 million in Fiscal 1994. Since 1992 OCSE has collected over \$2.8 billion in child support payments.
- In conjunction with the Sheriff's Office, in Fiscal 2001 OCSE began implementing summons service improvements to establish more support orders. In addition to summons service for PA clients, in September 2001 the Sheriff's Office will begin serving summonses for non-public assistance OCSE clients at no charge.

ADMINISTRATION FOR CHILDREN'S SERVICES

- During Fiscal 2001 OCSE continued the mandatory employment program begun in 1998 with HRA's welfare-to-work program. Three of HRA's contract agencies provided employment services to child support respondents on an ongoing basis, resulting in 414 noncustodial delinquent respondents being placed in mandatory work programs. Of the 414 placed, 57 began paying child support, 98 were referred to court for violations, one arrest warrant was issued, 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.
- During Fiscal 2001 paternity was voluntarily acknowledged for 39,126 children or 71 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 2001 the OCSE Paternity and Community Outreach Unit, established in August 1999, worked closely with hospitals and the Department of Health to do outreach and intensify its focus on pregnant women and noncustodial parents.
 - As of June 2001, 43 of the 49 birthing centers citywide have 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. Of the remaining six birthing centers, one declined participation in the program and OCSE is currently conducting outreach with the other five. In December 2000 OCSE held a training session for birthing centers with low performance rates. As a result of the training, performance rates increased from 3 percent to 11 percent.
 - In October 2000 OCSE also began working with HRA and the City University of New York on an initiative called Project Poised for Success (POISED). The program promotes parenting skills, employment skills and self-sufficiency, and targets PA recipients who are pregnant or have young children. In Fiscal 2001 OCSE completed training for POISED staff and parenting instructors on the process of establishing paternity and obtaining child support orders as well as training for staff who will provide information at participant orientations. During Fiscal 2002 OCSE will conduct follow-up with participants and evaluate the success of the program.
 - During Fiscal 2001 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 300 low-income fathers with information about the child support process and employment services.
- In January 2001 OCSE and HRA established a sanction unit in its Court Services Unit staffed by HRA's Family Independence Agency (FIA) to improve the appearance rate among public assistance clients at support and paternity hearings. As of July 2001 this initiative resulted in over 1,300 sanctions being imposed and nearly 323 sanctions being lifted.
- In February 2001 OCSE conducted a pilot in the Queens HRA Job Center to provide HRA clients with information about child support during the application and eligibility process. As a result of the success of the pilot, OCSE began assisting HRA in incorporating a child support component in the training for staff in other HRA Job Centers.

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- In Fiscal 2001 OCSE and HRA began providing services to clients expected to move off public assistance in January 2002 because of the five-year limit mandated by the federal Welfare Reform Act of 1996. These clients represent approximately 51,140 potential child support cases. This initiative is intended to enable this population to obtain additional support orders and paternity establishments and to enforce existing orders, thereby assisting these families in obtaining additional income once they transition off public assistance. As of July 2001 OCSE had called in 2,227 of the 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 8,500 of the approximately 12,000 cases without support orders were referred for location investigation to determine the whereabouts of the noncustodial parent, which resulted in 926 noncustodial parents being located. OCSE also reviewed all 16,000 support order cases for enforcement through court action if payments are not being made or modification of payments according to updated wage data. OCSE expects to complete these activities by October 2001.
- In January 2001 OCSE began processing and developing leads regarding the location of non-custodial parents for former public assistance cases without support orders. As of July 2001, 15,194 location leads were identified for former public assistance cases, of which approximately 9,700 were verified. Subsequently, OCSE sent letters to the custodial parents to begin the process to obtain child support. OCSE expects this service change to result in a substantial number of additional non-public assistance paternity and support order establishments.
- In response to problems establishing and enforcing child support orders in Family Court, in October 2001 OCSE, State Division of Child Support Enforcement (DCSE) and the Office of Court Administration (OCA) will begin 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. The expedited process is expected to result in thousands of additional orders being established and enforced over the next several years. Priority mail service for PA cases began in July 2001.
- During Fiscal 2001 OCSE expanded its ability to seize financial assets of delinquent parents through the Financial Institution Data Match System (FIDMS). FIDMS is an automated process whereby assets in federal and State banks, brokerage houses, and credit unions are identified and seized to satisfy past due obligations. In Fiscal 2001 OCSE collected almost \$2.5 million in child support through these sources, compared to approximately \$368,000 in Fiscal 2000.

CUSTOMER SERVICE

- During Fiscal 2001 OCSE upgraded and expanded its call center, walk-in center and correspondence unit to accommodate the increasing child support caseload. As of March 2001 the OCSE call center's capacity was increased from 14 to 32 telephone lines and 7 to 28 staff members.
- In Fiscal 2000 OCSE was awarded a Mayor's Office of Operations Customer Service grant for the purchase of an electronic queuing management system. The system will help decrease customer waiting time and will permit the more efficient use of staff. As planned, in June 2001 ACS/OCSE completed the contracting process. During the first quarter of Fiscal 2002 ACS/OCSE will complete installation of the system.

ADMINISTRATION FOR CHILDREN'S SERVICES

TECHNOLOGY

- During Fiscal 2001 ACS staff joined with representatives from other local districts and 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. The workgroups will focus on implementing the remaining case management and financial management functions. ACS is working to ensure that the resulting application, scheduled for completion by November 2003, meets the needs of the City's child welfare system.
- In December 2000 ACS Medical Services Office implemented the first phase of the Health Information Profiling System (HIPS). 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. ACS completed HIPS training for 37 contract agencies and ACS staff in Spring 2001. In June 2001 ACS began developing the second phase of HIPS, which will include 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 of HIPS is expected to be completed by December 2002.
 - 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. This provider database is expected to be completed by December 2002.
- ACS launched its new Adoption Web page in March 2001, as planned. It provides the public with information about adoption and foster care and enables the public to register online for adoption events. By September 2001 the site will also include a database, consisting of a photo album and biographies of children available for adoption.
- During Fiscal 2001 ACS completed redesigning its home page on NYC.GOV, the City's official Web site. The new design and content provide locations of and directions to ACS affiliated sites; contact information for ACS services; management statistics; a calculator that estimates expected child support payments based on income level; press releases and policy statements; and volunteer program information.
 - The number of visits to the Agency's home page increased from 194,667 during Fiscal 2000 to 311,282 during Fiscal 2001, a 60 percent increase.
- During Fiscal 2001 OCSE began upgrading its computer systems to ensure that all child support staff have computers, integrate City and State systems, and establish electronic case records. OCSE will have 400 additional desktop computers by September 2001 and the City and State systems will be fully integrated and accessible via these computers by November 2001. In addition, OCSE will deploy an additional 575 computers by April 2002 in order to increase access to the City system for all areas of OCSE and enhance communication and reporting capabilities. Integration of the State system for these additional computers will be completed by June 2002.
 - OCSE is currently developing 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. The first phase of the system is expected to begin by a revised date of the end of Fiscal 2002 following the integration of the State and City systems.

ADMINISTRATION FOR CHILDREN'S SERVICES

BUDGET HIGHLIGHTS

- During Fiscal 2001 the Agency's expenditures were \$2.36 billion, compared with its plan of \$2.23 billion; headcount was 7,121, compared with its plan of 7,395. During Fiscal 2000 the Agency's expenditures were \$2.17 billion, and headcount was 7,121.
- The Fiscal 2002 Adopted Budget includes expenditures of \$2.44 billion and a planned headcount of 7,619.

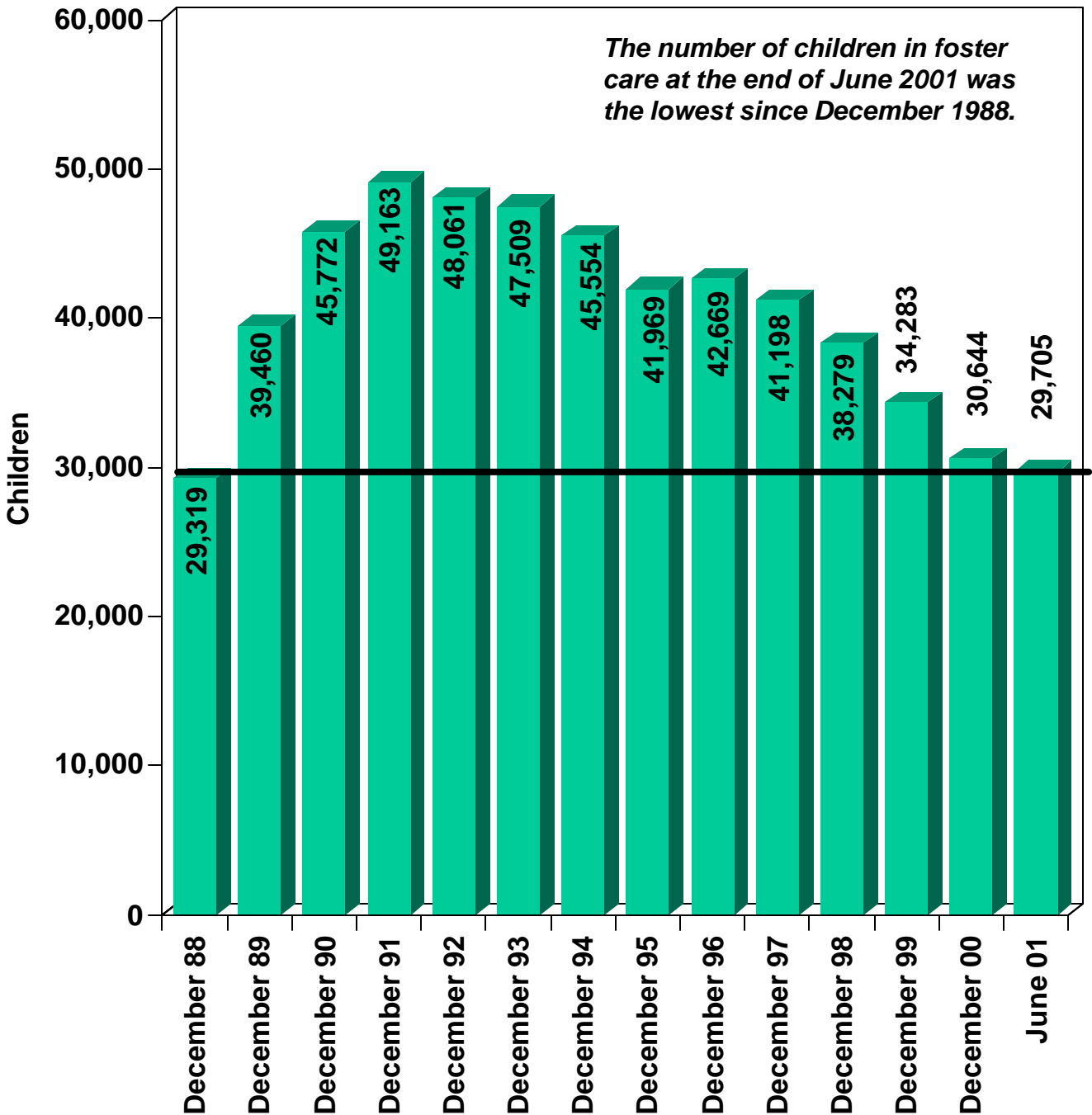
LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 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%
Abuse and Neglect – New Cases per Worker per Month	7.3	7.3	7.8	6.7	6.9
Children Adopted	4,009	3,848	3,800	3,148	2,715 (a)
Total Enrollment in Publicly Subsidized Day Care	58,927	63,613	59,743	56,549	61,533
Head Start Enrollment	16,239	17,710	17,409	17,356	17,148
Child Support Collected – Public Assistance (b) (000)	\$100,746	\$101,240	\$97,849	\$99,673	\$96,504 (c)
Child Support Collected – Non-Public Assistance (000)	\$182,843 (d)	\$216,605	\$253,848	\$303,974	\$350,398
New Support Orders Obtained – Public Assistance	13,881	15,813	11,746	11,164	8,354 (c)
New Support Orders Obtained – Non-Public Assistance	7,434	9,857 (d)	11,410	12,225	12,580

- (a) The decrease in adoptions is due to the Agency's emphasis on finalizing adoptions for children in care the longest. In addition, the City's foster care population has continuously declined since 1996, resulting in fewer children available for adoption.
- (b) This indicator has been renamed to more accurately reflect the different types of public assistance programs, including Safety Net and the Family Assistance Program.
- (c) The continued decline in child support ordered by the court for public assistance (PA) clients and public assistance support orders obtained are the result of the general decline in the PA caseload.
- (d) Data for this indicator has been revised to reflect the most current and accurate information.

Administration for Children's Services

Foster Care Population December 1988 - June 2001



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	FY 01 Actual	FY 02 Plan
Provide temporary housing to an average of 5,075 families each day.	5,563	6,858
Provide temporary housing to an average of 7,013 single adults each day.	7,187	7,743

Goal: Provide comprehensive eligibility reviews for families seeking Agency services to determine their need for temporary housing accurately and promptly.

Objective	FY 01 Actual	FY 02 Plan
Ensure that no families requesting temporary housing at the Emergency Assistance Unit are processed outside the court-mandated 24 hours after arrival.	23 families per day	0 families per day
Ensure that all families complete the eligibility review process within 10 days of arrival at the Emergency Assistance Unit.	10 days	10 days

Goal: Provide services more effectively by contracting for the operation of New START Centers and offering more specialized programs.

Objective
Continue implementation and refinement of the performance-based incentive program for all New START Centers, drop-in centers and outreach teams.
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	FY 01 Actual	FY 02 Plan
Relocate families to 4,230 units of subsidized housing.	3,349	3,930
Relocate single adults to 1,350 units of subsidized housing.	1,404	1,350
Begin start-up phase of the Family Rental Assistance Program (FRAP) and the Rental Assistance Program (RAP) by the second quarter of Fiscal 2001. Serve 90 families and 77 single adults through FRAP and RAP.	8 families 62 single adults	106 families 319 single adults

DEPARTMENT OF HOMELESS SERVICES

Goal: Provide services more efficiently through the use of new and improved technology in the New START Center system.

Objective

Enroll all clients in the single adult New START Center system in the Automated Finger Imaging System by January 2001 and continue to enroll all new single adult clients.

Implement the first phase of the Client Tracking System (CTS) by a revised date of the end of first quarter Fiscal 2002 and complete implementation by the end of Fiscal 2002.

Connect all directly operated New START Center sites to the Department's Wide Area Network (WAN) by a revised date of the end of first quarter Fiscal 2002 and connect at least 60 contracted New START Center sites to the WAN by a revised date of the end of third quarter Fiscal 2002.

Complete development of the Claiming Report System software application by a revised date of January 2002. Develop the Payments to Provider software application during Fiscal 2001 and complete development by December 2001.

HIGHLIGHTS AND ACHIEVEMENTS

PRIVATIZING NEW START CENTER OPERATIONS

- Privatization of the Department of Homeless Services' (DHS) facilities has allowed the Department 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.
 - From Fiscal 1994 through Fiscal 2001 there has been an 18 percent increase in the number of New START Centers operated by nonprofits and a 62 percent decrease in the number of City-operated New START Centers. The percent of nonprofit-operated New START Centers is revised from the percent reported in the Fiscal 2001 Preliminary Mayor's Management Report because DHS no longer includes per diem facilities as part of its contracted facilities.
- The Department continues to move forward with plans to replace the 30th Street Men's New START Center in Manhattan with smaller facilities and relocate DHS operations at this site, such as system-wide men's intake and outreach, as well as transportation to Camp La Guardia. The 850-bed 30th Street facility will be phased out gradually by a revised date of first quarter Fiscal 2003 through a contract awarded to a nonprofit provider and the Request For Proposals (RFP) process.

NEW INITIATIVES

- In April 2000 the Department replaced the 90-day assessment model in the adult New START Centers with a 21-day model, which was fully implemented by the end of Fiscal 2001. Under the new model, clients are evaluated by case management, medical and mental health staff to ensure proper placement either outside the DHS system or in an appropriate DHS facility. DHS tracks whether clients remain in assessment for longer than 21 days, and each case is investigated and resolved individually.
- By July 2001 the Department expanded the Step Forward Project to six New START Centers out of the nine facilities planned for the program. From September 2000 to July 2001, 42 clients were scheduled to appear at Midtown Community Court and 36 appeared before the court. Of the 36 clients who appeared, 34 clients had their warrants cleared and two had their cases transferred to criminal court. Of the 34 clients whose warrants were cleared, 29 clients attended a Quality of Life Group counseling session, four had their cases dismissed and one received a \$25 fine.

DEPARTMENT OF HOMELESS SERVICES

- The Department will expand the program to the three remaining New START Centers by a revised date of the end of first quarter Fiscal 2002. Expansion of the program into these remaining facilities was rescheduled because of the small number of eligible clients for this program housed in the three facilities. The Department continues to work closely with the Midtown Community Court on this initiative.
- The Department began the Step Forward Project in September 2000. The project is a voluntary program designed 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

- Since February 2001 Camp La Guardia, located in Orange County, has been used at maximum capacity for the first time in four years; this allows the Department to ensure assessment and general bed availability in New START Centers in New York City. Accomplished in major part by the design and implementation of the automated Camp Tracking and Reporting system, this achievement assisted the Department in making room for new clients entering the system daily, and permitted DHS to avoid the use of surge beds for the second winter in a row. Surge beds are temporary beds used in New START Centers when all other beds are filled.
- In Fiscal 2001 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. Fiscal 2001 incentives emphasized placing chronically homeless clients into permanent housing and employment placements. Performance incentive awards for single adult New START Centers in Fiscal 2001, and for family New START Centers in Fiscal 2000, will be reported in the Fiscal 2002 Mayor's Management Report.
 - During Fiscal 2001 the Department paid a revised total of \$735,000 to 90 percent of single adult New Start Centers for achieving high performance levels in Fiscal 2000, compared to \$685,000 paid to 77 percent of single adult New START Centers in Fiscal 2000 for Fiscal 1999 performance.
 - During Fiscal 2001 the Department paid a total of \$591,515 to 64 percent of family New START Centers for achieving high performance levels in Fiscal 1999, compared to a total of \$1.06 million paid to 90 percent of family New START Centers in Fiscal 1998. As part of its continuous improvement efforts, DHS increased the threshold for reaching performance goals, which resulted in smaller incentive payments awarded to providers in Fiscal 1999 than in Fiscal 1998.
 - Fiscal 2002 performance incentives will continue to emphasize placements into employment and permanent housing.

DEPARTMENT OF HOMELESS SERVICES

FAMILY SYSTEM AND SUPPORT SERVICES

- In Fiscal 2001 the Department provided temporary housing to an average of 5,563 families each day, compared to 5,029 families each day in Fiscal 2000. The Fiscal 2002 Plan of 6,858 families represents a 23 percent increase from the Fiscal 2001 Actual. The increase is due to the notable rise in families applying for temporary housing in the homeless system during Fiscal 2001 and the projected continuation of this trend.
- In Fiscal 2001 the Department's 24-hour, seven-day-a-week automated hotline received 57,768 calls, compared to 42,658 calls in Fiscal 2000. The increase in callers reflects the increase in the 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.
- In Fiscal 2001 the Department continued to reconfigure the office space and hire the necessary staff for the Learning Independence & Family Empowerment (LIFE) program. The Manhattan facility, formerly known as the Catherine Street Shelter, is now called LIFE and houses a maximum of 94 homeless families. LIFE is an intensive independent living and employment skills development program. On-site job skill workshops, educational programs and health initiatives provided by DHS and other agencies meet clients' employment and educational needs while developing their confidence, self-esteem and work ethic. DHS has continued to work collaboratively with community organizations as well as the Board of Education and the Health and Hospitals Corporation to offer additional workshops for residents.
- In February 2001 the Division of Family Services conducted the "Building Blocks to Permanent Housing" conference. The purpose of this conference was to share current and pertinent information that can enhance the ability of the Tier II staff to better assist homeless families in securing permanent housing. There were approximately 200 staff participants from Tier II and conditional placement facilities, as well as from DHS.

HOMELESS PREVENTION AND ELIGIBILITY SCREENING

- Local Law 19 requires that families with children applying at the Emergency Assistance Unit (EAU) by 10 P.M. are provided with overnight sleeping accommodations and returned to EAU the next morning.
 - In Fiscal 2001 an average of 62 families applied for temporary housing at EAU each day and an average of four families with children spent the night at EAU. However, for 66 percent of nights in Fiscal 2001, no families with children spent the night at EAU. This compares to 57 families applying to EAU each day and no families spending the night during Fiscal 2000. 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 application process and eligibility investigation.
 - The Department continues to review the reasons for the increased number of requests for temporary housing at EAU during Fiscal 2001. Throughout Fiscal 2001 and the upcoming 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 eligibility determination and families found eligible who are awaiting placement into Tier II facilities.

DEPARTMENT OF HOMELESS SERVICES

SINGLE ADULT SYSTEM AND OUTREACH SERVICES

- In Fiscal 2001 the Department provided temporary housing to an average of 7,187 single adults each day, compared to 6,792 single adults each day during Fiscal 2000. The Fiscal 2002 Plan of 7,743 single adults represents an 8 percent increase from the Fiscal 2001 Actual. The increase is due to the rise in the single adult population in the homeless system during Fiscal 2001, and the expectation of the trend continuing. The Department will ensure that sufficient capacity is available to accommodate this expected increase.
- During the second quarter of Fiscal 2001 DHS, in conjunction with the Department of Mental Health, Mental Retardation, and Alcoholism Services (DMH), implemented a protocol to help New START Centers refer and monitor clients under Assisted Outpatient Treatment (AOT) orders. The AOT protocol describes Kendra's Law and outlines the specific responsibilities of DMH AOT teams, DMH-funded Intensive Case Management Programs, and DHS family and single adult New START Centers, drop-in centers, and outreach teams with regard to eligibility of clients, referrals, and contacts. Information-sharing between DHS and DMH about AOT clients residing in the DHS system promotes continuity and quality of care and enhances the client's adherence to a court-ordered treatment plan. By the second quarter of Fiscal 2001 the protocol was distributed to all family and single adult New START Centers, as well as all drop-in centers and outreach teams. Additionally, the protocol was introduced at DHS-sponsored meetings of New START Center directors, directors of social services, and outreach and drop-in center staff.
- In Fiscal 2001 DHS expanded outreach efforts to encourage people living on the streets and in other public places to accept transitional housing services by increasing nonprofit providers' outreach staff on late night shifts and adding additional psychiatric and clinical social work staff to outreach teams. This has resulted in 10,798 referrals for services and 6,191 placements in temporary housing in Fiscal 2001, compared to 19,556 referrals for services and 5,069 placements in temporary housing in Fiscal 2000. The increase in clinical staff on outreach teams allowed the Department to switch its focus from service referrals to actual placements off the street. Referrals are for services such as medical treatment, a soup kitchen or food pantry, or a drop-in center, while placements admit individuals to temporary housing facilities such as New START Centers, or medical, mental health or substance abuse treatment facilities. For both referrals and placements to be counted, verification that the individual arrived and, when appropriate, stayed, must be provided to the outreach provider. Outreach is provided by DHS directly and by six nonprofit providers.
 - As a result of the Department's review of the programmatic and staffing needs for outreach, during the fourth quarter of Fiscal 2001 DHS began recruiting more staff for the directly-operated outreach teams.

APARTMENTS FOR HOMELESS FAMILIES AND INDIVIDUALS

- The total allocation of subsidized apartments for homeless families and individuals is 4,692 for Fiscal 2001 and 4,935 for Fiscal 2002. This allocation represents the City's total commitment of housing units for homeless families and single adults served by DHS, the Human Resources Administration or the Department of Housing Preservation and Development (HPD).
- In Fiscal 2001 the Department relocated 3,349 families and 1,404 single adults to permanent subsidized apartments, compared to 3,787 families and 1,439 single adults placed in Fiscal 2000.

DEPARTMENT OF HOMELESS SERVICES

- In Fiscal 2001 the Department enhanced the Emergency Assistance Rehousing Program (EARP) in an effort to increase landlord interest. EARP is a program that uses financial incentives for landlords to assist homeless families in relocating to private apartments. Fewer families were placed in EARP apartments because fewer apartments were offered to the program by landlords. The Department plans to increase the number of placements into EARP apartments during Fiscal 2002 by encouraging more landlords to participate in the program. The Department implemented an incentive campaign that included an increase in the one-time rental bonus from \$3,000 to \$4,500 for a family of four to landlords who participate in the program and financial assistance up to \$2,500 for landlords with apartments needing minor repairs to meet compliance requirements.
 - With the assistance of the Department of Finance, in the last quarter of Fiscal 2001 a mass mailing was sent to over 35,000 landlords and real estate brokers, and advertisements were placed in newspapers citywide to publicize the benefits to landlords of participating in the EARP program and the fact that the EARP bonus has been increased.
 - The “Rehousing Reengineering” system, an automation of the current manual system used by the Rehousing unit to process landlord and family applications to the EARP program, will be completed by a revised date of the first quarter of Fiscal 2002. The delay in implementation is due to unexpected problems during conversion from a manual system to a computerized one.
- By the second quarter of Fiscal 2001, three providers were selected to administer the Family Rental Assistance Program (FRAP), a permanent housing program for homeless, employed families; and six providers were selected to administer the Rental Assistance Program (RAP), a permanent housing program for homeless, employed single adults. The contractors began providing services during the third quarter of Fiscal 2001, as planned.
 - The Department served eight families, 82 fewer than planned due to difficulty in identifying eligible families, and 62 single adults, 15 fewer than planned, through these programs in Fiscal 2001, and expects to serve a revised plan of 106 families and 319 single adults in Fiscal 2002.
 - FRAP and RAP assist homeless families and individuals in locating and retaining permanent housing in the private market by providing rent subsidies and supportive services for up to 24 months. All program participants are assessed by the contracted providers to determine their ability to earn sufficient income and assume responsibility for rent payments by the end of the subsidy period. After clients move into permanent housing, additional services are provided to assist them in achieving self-sufficiency and stabilization in the community.
 - The Mayor and City Council allocated \$3.2 million in Fiscal 2001 and \$3.2 million in Fiscal 2002 for FRAP and RAP. Contracted providers obtain additional funding directly from the State to provide follow-up case management for families who have completed FRAP to assist them in maintaining both employment and housing.
- In October 1999 the City signed a Memorandum of Understanding with the State to expand the New York/New York housing program for mentally ill homeless individuals. A total of 35 units became available for occupancy and were filled by the second quarter of Fiscal 2001, earlier than planned, for a total of 500 by the end of Fiscal 2001. The program will create 1,000 more City units to serve approximately 2,300 mentally ill homeless people by Fiscal 2005.
- Construction on the last of the six funded projects under the DHS/HPD \$21 million Single Room Occupancy capital loan project began in May 2000 and is scheduled for completion by a revised date of November 2001. The six projects will create 304 new units of permanent housing for needy and homeless adults.

DEPARTMENT OF HOMELESS SERVICES

TECHNOLOGY

- Since January 2001 all single women residing in DHS facilities were enrolled in the Automated Finger Imaging System (AFIS), a client identification system that can be used on laptop computers. The system is being used at all intake sites. By the end of Fiscal 2000 all single men in the DHS system were enrolled in AFIS.
- In October 2000 the Department began design of the database and programs for the new Client Tracking System (CTS). The initial phase of the system, including data collection of client identification and client placement information, will be completed by a revised date of the end of first quarter Fiscal 2002. Delays are due to mandated changes in the eligibility tracking section of the operating software application, such as the inclusion of a date-time stamp for each stage of eligibility, which had to be included into the new system. The system will be fully operational by the end of Fiscal 2002 when the final phase is completed. The Department continues to use its existing system until the new one is completed.
- In Fiscal 2001 the Department continued to work closely with the Human Resources Administration on the transition to the Claiming Report System, an internal-use software program that will provide a wide range of information to assist in program planning and policy development. The transition will be completed by a revised date of January 2002 due to State requirements for changes in the program.
 - The Claiming Report System will generate public assistance reports and State reimbursement reports by a revised date of June 2002. It will also allow the Department to set its own priorities and timetables for making changes to the reports in response to new regulations and court-ordered mandates.
- In Fiscal 2001 the Department continued to redesign its Personal Computer LAN/WAN network structure. The remaining directly operated sites will be connected by a revised date of first quarter Fiscal 2002, and at least 60 contracted sites will be connected by a revised date of third quarter Fiscal 2002. The delay is due to time-consuming installation and staff training. Most directly operated sites were connected in Fiscal 2000. This redesign and upgrade will improve network speed, functionality and connectivity to internal DHS users, other City and State agencies and outside organizations.
 - In Fiscal 2001 the Department began the design of the Payments to Provider system, which will operate on the LAN/WAN network and reduce the amount of time necessary to process service provider invoices. The Payments to Provider system will be completed by December 2001 and begin operation immediately thereafter.

CUSTOMER SERVICE

- During Fiscal 2001 the Department continued to offer special programs to residents of homeless facilities.
 - The Department hosted the Visions II Art Show from April through May 2001, exhibiting more than 60 pieces of art created by New START Center clients. During the exhibition, members of the public had the opportunity to participate in a silent bid to purchase the art. The event raised more than \$6,400 to directly benefit the resident artists.

DEPARTMENT OF HOMELESS SERVICES

- During Fiscal 2001 the Department increased the number of corporate partners actively involved in sponsoring events for homeless families, such as clothing drives, trips to cultural events, sports activities, school supply and toy donations, and job training seminars for homeless parents. With the participation of these private corporations, there was a 25 percent increase in participation by New START Center families and individuals in special activities from December 2000 to the end of Summer 2001.
- In Fiscal 2001, working closely with several professional sports organizations in the City and the New York City Sports Commission, DHS was able to send more than 3,000 homeless children to women's professional basketball and soccer games, and to men's professional baseball and basketball games. This represents a 200 percent increase from Summer 2000 in seats to athletic events made available for homeless children. In July 2001 DHS began cosponsoring a series of hiking trips for approximately 100 children to a New York State park.
- During Fiscal 2001 the City's cultural institutions and arts organizations continued to work with DHS in expanding the opportunities for cultural education, such as musical performances and museum tours, for homeless children. In Fiscal 2002 these activities will be broadened to include year-round programs, including hands-on art activities, with special museum representatives assigned to work with groups of children.
- In Fiscal 2001 the Department updated its home page on NYC.GOV, the City's official Web site, to include information about the EARP program and a downloadable application for landlords. Visits to the EARP pages have more than doubled since this update. The number of visits to the Department's home page increased from 20,603 during Fiscal 2000 to 62,892 during Fiscal 2001, a 205 percent increase.

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Department's expenditures were \$494.1 million, compared with its plan of \$480.4 million; headcount was 1,564, compared with its plan of 1,692. The Department's Fiscal 2000 expenditures were \$433.5 million, and headcount was 1,697.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$497 million and a planned headcount of 1,570.

DEPARTMENT OF HOMELESS SERVICES

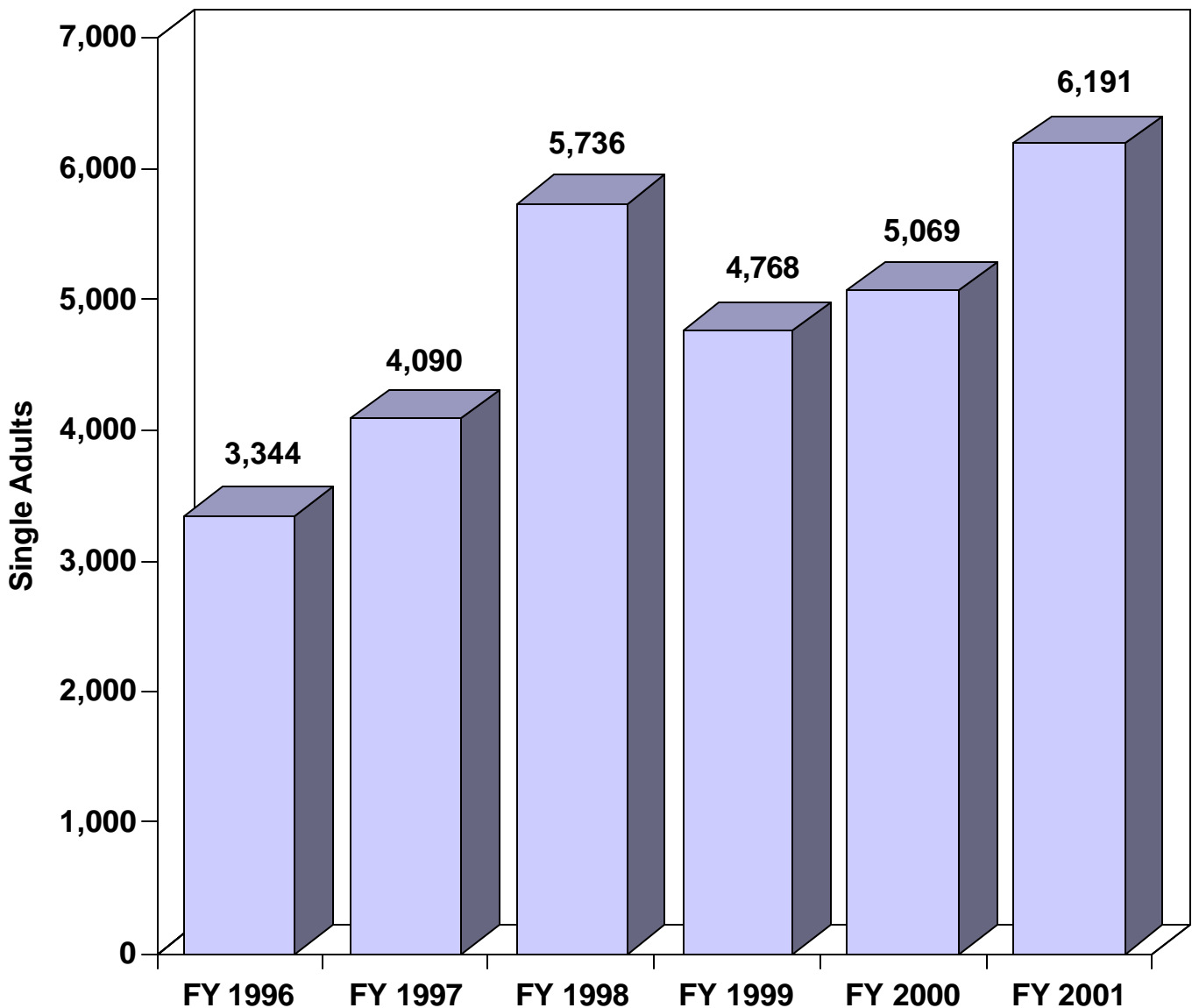
LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001
Families at the Emergency Assistance Unit for over 24 Hours	NI	0	3	8	23 (a)
Families in New START Centers (Average per Day)	5,325	4,508	4,802	5,029	5,563
Families Relocated to Permanent Housing	4,285	4,178	3,569	3,787	3,349
Adults Relocated to Permanent Housing	1,407	1,236	1,337	1,439	1,404
Total Adults Lodged per Night	7,119	6,996	6,775	6,792	7,187

- (a) More families applied for temporary housing at the Emergency Assistance Unit (EAU) during Fiscal 2001 than during Fiscal 2000. As a result, the number of people per day for whom it took more than 24 hours to process and place increased.

Department of Homeless Services

Placements in Temporary Housing Resulting from Outreach Efforts Fiscal 1996-2001



Placements in temporary housing include: medical facilities, mental health and substance abuse facilities, and New START Centers.

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 the 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 new workforce system for dislocated workers and youth under the federal Workforce Investment Act.

Objective
Work with the Local Workforce Investment Board and legislatively mandated partners to submit a final Workforce Investment Act service plan to the State by the end of September 2000.
Work with relevant City agencies and legislatively mandated partners to ensure a seamless transition from the Job Training Partnership Act to the new workforce system by the end of September 2000 and administer Workforce Investment Act funds for dislocated workers and youth in Fiscal 2001.
Work with the Local Workforce Investment Board and legislatively mandated partners to expand the One-Stop System and develop voucher evaluation and payment systems by the end of Fiscal 2001.

Goal: Provide training and employment opportunities for unemployed and underemployed adults, including public assistance recipients.

Objective	FY 01 Actual	FY 02 Plan
Provide core and intensive services under the Workforce Investment Act to 3,390 dislocated workers.	4,636	8,100
Provide training services to 1,407 dislocated workers and achieve a 70% job placement rate for Calendar 2000 and 578 dislocated workers and a job placement rate of 70% in the first half of Calendar 2001.	1,000 / 66.9% 483 / 63.1%	
Provide assessment, training and placement services to 187 participants in the Department's mature worker programs and achieve a 60% job placement rate in Fiscal 2001.	167 / 64.1%	
Provide assessment, training and placement services to 2,022 refugees and achieve a 70% job placement rate from November 1999 to October 2000.	1,950 / 84.4%	
Issue a Request for Proposals to serve a revised 2,790 dislocated workers with special needs under the Workforce Investment Act in October 2000 and select providers by Spring 2001.		

DEPARTMENT OF EMPLOYMENT

Goal: Prepare City youth for entry into the workforce by providing educational, training and employment opportunities.

Objective	FY 01 Actual	FY 02 Plan
Provide occupational and job-readiness skills training to 2,259 out-of-school/older youth ages 16 to 21 under the Department's youth occupational training program, achieving a revised placement rate of 52% and a revised credential attainment rate of 25%.	2,182/ 67.8% / 35.5%	1,960/ 54% / 38%
Provide summer job opportunities and educational and support services to 44,000 youth through the Summer Youth Employment Program and Job Opportunities for Youth Programs.	39,610	50,000
Issue a Request for Proposals and select contractors to provide work-readiness training, leadership development, career exploration, instructional and tutorial educational courses, support services, and summer work experience opportunities to in-school/younger youth under the Department's Youth Employment Program in Fiscal 2001.		

Goal: Improve program performance and service delivery.

Objective
Modify the Automated Case Management System to meet Workforce Investment Act reporting requirements in Fiscal 2001.

HIGHLIGHTS AND ACHIEVEMENTS

WORKFORCE INVESTMENT ACT

- As of July 2000 the federal Workforce Investment Act (WIA) replaced the Job Training Partnership Act (JTPA) as the Department of Employment's (DOE) primary funding source. WIA restructures the provision of employment and training services provided by DOE to dislocated workers and youth through a one-stop delivery system.
- During the reporting period DOE and its partners continued to implement the City's WIA system.
 - 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 DOE, the State Department of Labor, the State Education Department, the Department for the Aging and the Human Resources Administration (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. Additional One-Stop Centers are planned in other boroughs.

DEPARTMENT OF EMPLOYMENT

- Under WIA regulations, potential training providers must submit applications to the local Workforce Investment Board (WIB), the City's WIA oversight board, to be on the Eligible List of Providers (ELP), which allows them to receive WIA funds through Individual Training Accounts (ITAs), also known as vouchers, for those adults and dislocated workers who select their training courses. ITAs have been available through the One-Stop and affiliate centers, including the Worker Career Centers (WCCs), for dislocated workers since July 2000. In November 2000 the City's ELP applications became available over the Internet. By the end of Fiscal 2001, WIB approved 137 training providers and 910 training courses. In July 2001 the Department provided training for staff in the WCCs on issuing ITAs for dislocated workers under the WIA system.
- During Fiscal 2001 the Department worked with WIB and HRA to submit a WIA service plan to the State. The City's plan is available on NYC.GOV, the City's official Web site.

Dislocated Worker Program

- During Fiscal 2001 the Department served dislocated workers under WIA through the Jamaica One-Stop Center and the Worker Career Centers (WCCs), which operate as one-stop centers for dislocated workers. During Fiscal 2001 the Department enrolled 4,612 new dislocated workers and served a total of 9,903 dislocated workers. A total of 4,636 received core and intensive services, compared to 3,390 planned, of which 1,245 were placed in jobs through WCCs. The Fiscal 2001 numbers enrolled, served and placed are not comparable to those in Fiscal 2000 due to the shift from JTPA to WIA.
 - Core services include outreach and intake, determination of eligibility for WIA employment or training services, initial assessment of skill levels and supportive service needs, job search and placement assistance, and career counseling. Intensive services include comprehensive assessment, development of an individual employment plan, case management, group career counseling, individual career counseling, career planning and guidance, short-term prevocational services, and follow-up and retention services. These services differ from those provided under JTPA in that services are tailored to meet individual customer needs and facilitate long-term employment retention.
 - In August 2001 DOE issued a Request for Proposals (RFP) to provide workforce development services to both job seekers and businesses through the WCCs under WIA. By the end of December 2001 DOE expects to select providers to begin services in January 2002.
- During Fiscal 2001, 1,721 participants were enrolled in the Department's training programs for dislocated workers, compared to 2,792 participants during Fiscal 2000. Of the total enrolled in Fiscal 2001, 1,036 participants completed the program, of which 716 or 69.1 percent, were placed in full-time, unsubsidized technological and administrative jobs, compared to 1,660 participants who completed the program and 1,016, or 61.2 percent, who were placed in the same types of positions during Fiscal 2000. The decrease in enrollment from Fiscal 2000 to Fiscal 2001 is due to the shift from JTPA to WIA. The increase in the percentage of placements is attributed to WIA's emphasis on performance.
 - Beginning in July 2001 the Department's retraining programs were replaced by a new training program for dislocated workers with special needs under WIA. In October 2000 the Department issued an RFP to provide training services to dislocated workers with special employment needs, as well as customized employer training and on-the-job training under WIA requirements. As planned, the Department selected 19 providers in Spring 2001. Ten began training services for a planned 1,528 dislocated workers in July 2001 and the remaining nine providers began serving a planned 1,514 participants in September 2001. In order to prevent a gap in services, existing contracts were extended through June 2001.

DEPARTMENT OF EMPLOYMENT

- In accordance with WIA emphasis on customer choice, the Department has offered Individual Training Accounts (ITAs) in the Re-employment Assistance Through Training and Education (RATE) system to dislocated workers at the WCCs since July 2000. During Fiscal 2001 the Department issued ITAs to 1,774 participants, compared to 2,071 participants during Fiscal 2000. The decrease in vouchers issued was due to managers and other professionals being able to obtain jobs without further training. In Fiscal 2001 ITAs were used for training in areas such as computer science, software engineering and Internet technology. Tuition assistance vouchers allow participants to attend the training programs of their choice. During the first half of Fiscal 2002, the Department will issue ITAs to 1,042 participants. The WIA system will replace the RATE system at the WCCs in Fiscal 2002.
- 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 Fiscal 2001 PROS provided services to 926 participants, of which 255 participants completed the program and 228 were placed into jobs, compared to a revised 971 participants served, a revised 782 who completed the program and a revised 659 professionals placed during Fiscal 2000. Under WIA, in Calendar 2001 PROS will provide services to a planned 1,000 dislocated workers, of which approximately 800 participants are expected to complete the program and 660 participants will be placed into jobs.

In-School/Younger Youth

- In July 2001, later than planned, the Department began a year-round program to provide economically disadvantaged in-school youth with WIA services, including work-readiness training, leadership development, career exploration workshops, computer-assisted instruction and tutoring in educational courses, support services, paid and unpaid work experience opportunities and follow-up services for a minimum of 12 months. These services are available to youth during both the school year and summer, and are customized to meet the individual needs of participants. In August 2000 DOE issued an RFP for this program and in April 2001 selected 53 organizations. In Fiscal 2002 the year-round program will serve 11,730 youth, who began registering in September 2001.
 - These contracts operate under a combined line-item and performance-based system. Because this program model requires extensive follow-up services for youth, in some instances up to 24 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 such as attainment of basic or work readiness skills; completion of or return to school; achievement of a high school diploma or equivalent; placement into employment, the military, an apprenticeship, advanced training or post-secondary education; and retention in these placements in the first and third quarters after exiting the program.
- Beginning in Fiscal 2001 under WIA there was no longer separate funding for a stand-alone Summer Youth Employment Program. Given the demand for a stand-alone summer program, for Summer 2001 the City reinstated a stand-alone program using City and other funds. WIA funds were not used for the Summer 2001 program. By June 2001 DOE received 66,556 applications from young people interested in a summer job. As of August 2001 the Department provided an estimated 49,848 youth with work experience opportunities. 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. Updated information on the Summer 2001 Program will be presented in the Preliminary Fiscal 2002 Mayor's Management Report.
 - For Summer 2000 DOE provided a total of 39,610 youth with work experience opportunities. As promised, participants funded under WIA received follow-up services from all contractors within 12 months of completing the program, including invitations to career and college fairs.

DEPARTMENT OF EMPLOYMENT

Out-of-School/Older Youth

- During Fiscal 2001 DOE continued to provide occupational training services to 2,921 youth ages 16 to 21 through contracts with 23 providers. Services include work experience and classroom training. Under these contracts, 2,182 new youth were enrolled in occupational training services in Fiscal 2001, compared with 2,259 planned. Of the 1,047 participants who completed the program, 710 or 67.8 percent were placed into jobs, compared with 52 percent planned.
 - In the beginning of Fiscal 2001 the Department amended these contracts to incorporate WIA performance standards such as completion of training; attainment of a high school diploma or equivalent; placement in unsubsidized employment, post-secondary education or advanced training; placement retention; skill and credential attainment. Credentials refer to the achievement of documented recognition of the attainment of skills in a specific occupation. In Spring 2002 the Department plans to issue an RFP 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 extended through June 2002.
- Fiscal 2001 was the fourth year of the Department's Opportunity Areas for Out-of-School Youth Demonstration grant, funded by the U.S. Department of Labor (USDOL). During Fiscal 2001 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 June 2001, 706 youth were enrolled, 331 youth had graduated from job-readiness training and/or received a General Equivalency Diploma (GED), and 339 had been placed into jobs. This is an increase from October 2000, when 613 youth were enrolled, 251 had graduated from job-readiness training and/or received a GED, and 260 had been placed into jobs. In Fiscal 2002 the Department will expand the program to include in-school youth, ages 14 to 21, in the target area.
 - In July 2001 the Department began operating a comprehensive employment and education program in Upper Manhattan within the City's Empowerment Zone, the Upper Manhattan Youth Opportunity Project, which is later than planned due to difficulties in securing a site. This project is based on a \$1 million grant from USDOL and an RFP issued by the Department in November 2000. In Fiscal 2002 the program, which is expected to offer employment and educational services to 250 in-school and out-of-school youth, will link with the Department's current Out-of-School Youth Demonstration Project in the South Bronx and the WIA One-Stop Center serving the area, when it is established.
- In May 2001 the Department received an approximately \$950,000 Rewarding Youth Achievement grant from USDOL to provide enriched summer jobs and follow-up mentoring services to a planned 400 students from high schools in the Youth Opportunity Areas. As of July 2001, 329 students were placed in jobs at law firms, computer companies, cultural institutions, Department of Parks and Recreation sites, and the New York City Police Department's Youth Police Academy, and enrolled in summer math and science courses through the City University of New York. This is less than planned due to late notification regarding funding and difficulties recruiting youth after the school year ended.

Mature Workers

- During Fiscal 2001 DOE continued to provide classroom-based training and employment services to individuals 55 years of age and older under the Department's Mature Workers Program. Participants were trained in computer skills, clerical skills, home health care and the hospitality industry.

DEPARTMENT OF EMPLOYMENT

- During Fiscal 2001 the Department provided training to 167 new participants, compared to 294 in Fiscal 2000 and 187 planned. Of the 329 participants enrolled, 192 participants completed the training and 123 participants were placed into employment, compared to 404 participants enrolled, 234 who completed training and 156 who were placed into jobs during Fiscal 2000. The decrease in enrollment and placements is due to a decrease in the number of contractors from four to two. For the 123 participants placed in employment in Fiscal 2001, the average hourly wage at placement was \$8.93, compared to \$8.12 in Fiscal 2000.
- The Department's Mature Workers contracts ended in June 2001. This population is potentially eligible to participate in DOE's training program for dislocated workers with special needs or other services offered by One-Stop partners under WIA.

NEW INITIATIVES

HealthStat

- In April 2000 the Mayor created HealthStat, a comprehensive citywide initiative to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, over 20 City agencies and hundreds of community groups were mobilized to enroll eligible families and children in Child Health Plus. As a direct result of HealthStat activities, over 150,000 individuals have been enrolled in public health insurance programs.
 - During Fiscal 2001 the Department coordinated outreach efforts with the Youth Employment Program (YEP), youth training, dislocated workers, WCC, employer-link, the Refugee Targeted Assistant Program (RETAP) and Opportunity Areas for Out-of-School Youth Demonstration Project providers to distribute HealthStat information and coordinate referral of program participants and their children for health insurance enrollment. From June 2000 to June 2001 the Department held more than 1,000 HealthStat informational and training sessions for these providers, program participants and their families. As a result the Department has distributed over 125,000 pieces of HealthStat information through YEP paysites, training classes, events, mailings, site visits and personal outreach. In addition, as amended or incorporated into their contracts, providers are now required to conduct HealthStat outreach and referrals.
 - In Summer 2001 the Department provided health insurance enrollment opportunities to youth who applied for the Summer 2001 employment program. To capture eligible participants, the Department included a question on the program application related to the participant's health insurance status and was successful in obtaining approximately 4,000 responses. The Department then partnered with enroller agencies and providers to contact families and complete the enrollment process where eligible.

CUSTOMER SERVICE

- In Fiscal 2001 the Department continued to work with the Office of New Media to update information on its home page on NYC.GOV, including publishing available solicitations and information about the Rewarding Youth Achievement and Summer 2001 employment programs. The site provides the public with information about the Agency and allows employers to request information on prospective employees and employee training online. In Fiscal 2001 the Department responded to 284 online requests and inquiries from the public, for a total of 470 online requests and inquiries since the Department implemented online assistance in April 1999.

DEPARTMENT OF EMPLOYMENT

- Of the 284 online requests and inquiries in Fiscal 2001, the Department responded to 84 Business Benefits requests for assistance from employers, bringing the total employer requests for assistance to 122. Business Benefits are online forms that allow employers to submit requests to the Department electronically regarding gaining access to potential new employees through the Department's contracted training programs.
- The number of visits to the Department's home page increased from 48,239 during Fiscal 2000 to 100,930 during Fiscal 2001, a 109 percent increase.

TECHNOLOGY

- During Fiscal 2001 the Department continued to modify the Automated Case Management System (ACMS).
 - In Spring 1999 the Department began enhancing the performance-based contracts module of ACMS to include customer record validations and tracking performance-based contracts. In Fiscal 2001 the Department refocused its priorities to ensure meeting WIA reporting requirements and is currently reevaluating this project given current staff levels and the continued demands of WIA.
 - During Fiscal 2001 the Department added components to ACMS to capture data such as quarterly earnings in order to meet WIA reporting requirements. In addition, the Department worked with HRA to implement a data reporting system in accordance with WIA requirements in Fiscal 2001.
- During Fiscal 2001 the Department developed an automated fiscal reporting system to enable contractors to submit monthly budget reports online and piloted the system with eight contractors. The Department plans to implement the system by the end of Fiscal 2002. This system allows the Department to manage budget modifications electronically. In addition, HRA has access to the system to perform fiscal reporting functions for DOE contracts. During Fiscal 2002 the Department will further enhance the system to allow for accounting functionality.

BUDGET HIGHLIGHTS

- During Fiscal 2001 the Department's expenditures were \$139.8 million, compared with its plan of \$140.1 million; headcount was 118, compared with its plan of 164. The Department's Fiscal 2000 expenditures were \$133.9 million, and headcount was 143.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$98.6 million and a planned headcount of 164.

DEPARTMENT OF EMPLOYMENT

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001
Adult Enrollment	2,909	4,750	5,014	NA (a)	NA (a)
Adult Participants Placed Into Employment	61%	65.1%	63.5%	NA (a)	NA (a)
Adults Working at 90 Days	45%	46.3%	50%	NA (a)	NA (a)
Youth Enrollment (ages 16-21)	701	1,296	1,443	2,456	2,182
Youth Placed into Employment	54.4%	64.4%	51.3%	55.5%	67.8%
Percentage of Credentials Attained (Youth) (b)	NI	NI	NI	NI	35.5%
Percentage of Employability Enhancements (Youth)	48.9%	69%	78%	60.5%	NA (b)
Summer Youth Employment Program/Job Opportunities for Youth (Summer)	29,328	40,259	44,724	50,499	39,610 (c)

- (a) Responsibility for adult program contracts was transferred to HRA beginning July 1999.
- (b) Beginning in Fiscal 2001, under WIA older youth are required to attain credentials instead of employability enhancements. See Narrative.
- (c) 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 developed a new Youth Employment Program (YEP) model and maximized the available resources to support year-round employment 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.
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 a revised date of 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.

Goal: Provide quality services to the City's youth through educational, counseling and recreational programs.

Objective	FY 01 Actual	FY 02 Plan
Serve 970,000 youth and adults through Youth Development and Delinquency Prevention programs.	1,043,144	980,000
Serve 185,000 youth and adults through 81 Beacons.	186,512/ 80 Beacons	185,000/ 81 Beacons

Goal: Provide services that help New York City's low-income residents to become self-sufficient through the Federal Community Action Program.

Objective	FY 01 Actual	FY 02 Plan
Serve 71,633 individuals through the federally funded Community Services Block Grant programs, which include the Neighborhood Development Area programs.	89,418	89,100
Through the Community Service Block Grant-funded and community action-funded adult education and employment programs, provide training and job placement services to 6,316 adults.	7,277	7,400
Serve 11,540 adults through New York City adult literacy and basic education programs.	11,775	11,540
Achieve positive program outcomes, including attaining a higher educational level, receiving United States citizenship and obtaining a job, for 9,430 participants engaged in literacy and basic education programs.	7,653	9,430

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

Develop a Site Visit Module to track monitoring efforts and corrective action plans in Fiscal 2001.

Implement the Outcome Reporting system by a revised date of the end of Fiscal 2002.

Begin using the Comprehensive Contract Management System by a revised date of Fiscal 2002 to allow program assessment and Internet-based information retrieval from contract agencies.

HIGHLIGHTS AND ACHIEVEMENTS

CITIZENSHIP NEW YORK CITY

- During Fiscal 2001 the Department of Youth and Community Development's (DYCD's) Citizenship New York City (CNYC) contacted 70,751 immigrants to explain services and schedule appointments, bringing the total number contacted since the program's inception in July 1997 to 219,955. In Fiscal 2001 the Department increased outreach to immigrant parents and their children through the New York City public school system and religious organizations.
 - In November and December 2000 the Department established two additional outreach offices, one in a church and one in a housing development, for a total of nine citywide. In Fiscal 2001 CNYC gave presentations at 32 schools and 24 churches and temples, and met with 1,650 parents and 600 guidance counselors.
 - During Fiscal 2001 CNYC assisted clients in filing 10,273 applications with the federal Immigration and Naturalization Service (INS), and referred 779 applicants for legal assistance and 1,807 applicants for educational assistance. In comparison, there were 7,772 applications, 609 applicants referred for legal assistance, and 1,768 applicants referred for educational assistance in Fiscal 2000. The increase in applications filed is due to increased outreach targeting eligible immigrants. Since the program's inception in July 1997 through June 2001, CNYC filed 31,387 applications with INS and made 11,808 referrals to community-based organizations for legal assistance and education.
- In March 2001 the Mayor designated CNYC's multilingual telephone bank as the City's official hotline regarding the Legal Immigration and Family Equity (LIFE) Act, a change in federal immigration law that went into effect in December 2000. LIFE allowed immigrants who were unlawfully present in the U.S., but eligible for an immigrant visa, to adjust their status without leaving the country if they filed an application by the end of April 2001.
 - In April 2001 CNYC began scheduling application assistance appointments at its five field offices to assist U.S. citizens and permanent legal residents in preparing petitions for their immigrant family members to become permanent legal residents. As of the end of April 2001, 6,938 calls were received and 271 clients were assisted in filing petitions for their family members to become permanent legal residents.
- During Fiscal 2001 CNYC made presentations at 23 schools in conjunction with a new outreach campaign to youth. This is more than the 20 schools planned; in Fiscal 2002 CNYC will make presentations at 30 schools.

DEPARTMENT OF YOUTH AND COMMUNITY DEVELOPMENT

- This project is a collaboration with the Immigration and Nationality Law Committee of the Association of the Bar of the City of New York and the Board of Education to inform youth about the immigration consequences of criminal activities. CNYC developed a flyer to explain how committing crimes can permanently bar immigrant youth from becoming green card holders or U.S. citizens or cause deportation.
- During Fiscal 2001 the Agency continued its outreach efforts to specific immigrant groups in New York City. 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, 8,454 people were contacted and 2,828 appointments were scheduled between June 1998, when the program started, and June 2001.
 - During Fiscal 2001 the Agency continued its 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 Fiscal 2001 CNYC visited Chinese organizations 17 times and assisted 403 Chinese immigrants applying for citizenship, for a total of 589 applications since the program's inception in January 2000. Also during Fiscal 2001, CNYC assisted 521 Korean immigrants at 10 Korean organizations in applying for naturalization, for a total of 1,368 Korean immigrants assisted since the program's inception in May 1999.

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 Fiscal 2001 Beacons served 142,253 youth and 44,259 adults for a total of 186,512 participants, compared to 183,700 participants during Fiscal 2000. In Fiscal 2002 the Department plans to serve 185,000 participants. Since Fiscal 1994 the number of Beacons has increased from 37 to 80.
 - Although there were 81 Beacons opened at the end of Fiscal 2000, 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 and the Department plans to release a Request for Proposals (RFP) by a revised date of Fall 2001 to relocate the program in the same community, which is later than planned due to delays in the procurement process. A new provider is expected to begin delivering services by Summer 2002.
 - A final report of the three-year Beacon evaluation will be released by a revised date of Fall 2001. The analysis and draft report are in the process of being completed. The evaluation analyzes the impact 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.

DEPARTMENT OF YOUTH AND COMMUNITY DEVELOPMENT

COMMUNITY DEVELOPMENT PROGRAMS

- During Fiscal 2001 the Department's Neighborhood Development Area (NDA) programs administered 454 contracts and served 89,418 individuals, compared with 92,320 individuals served during Fiscal 2000 and 71,633 planned. As a result of the conversion to outcome-based contracts in July 2000, there was a planned decrease in enrollment for Fiscal 2001 because of the lack of history and uncertainty in projecting customer outcomes. In Fiscal 2002 NDA programs will serve 89,100 individuals. All Community Development programs are now in full compliance with the federally mandated Results Oriented Management and Accountability (ROMA) requirements.
 - During Fiscal 2001 Community Service Block Grant program contracts assisted participants in obtaining a total of 22,769 outcomes, compared to 19,950 in Fiscal 2000. Outcomes are defined as a customer's progress in achieving a targeted goal, such as attaining a General Equivalency Diploma (G.E.D.) in adult literacy programs, securing adequate and safe housing in homeless programs or gaining legal residency status in immigration programs, measured in terms of defined milestones. A total of 10 percent of contractors' payments rely on meeting these targeted outcomes.
- During Fiscal 2001 a total of 5,698 youth were served in DYCD's Youth Violence Intervention programs, compared to 9,400 youth planned. In February 2000 DYCD began operating Youth Violence Intervention programs to help young people ages 9 to 21 practice alternatives to violence. Two types of programs are provided: citywide programs that serve schools in every borough throughout the City and community-specific programs. As of July 2001, 10 programs were running and the Agency plans to serve a revised 7,000 youth in Fiscal 2002.
 - In May 2001 an evaluation study of these programs by an experienced youth-serving organization was completed. The study assessed which program models are most effective in achieving the goals of the program, such as improved conflict resolution and mediation skills, improved control of anger and depression, and an improved ability to recognize and handle violent situations. Results of this study suggest that despite the wide variety of successful program models, they all struggle with common problems such as high attrition rates among program participants. In response to this study, in Fiscal 2002 DYCD plans to provide technical assistance to community-based organizations on developing better outreach and retention strategies and intensifying services for a smaller planned service level.
- In January 2001 the Department released an RFP for additional Youth Development Delinquency Prevention (YDDP) programs. DYCD expects to select providers to begin serving youth in December 2001. 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. Programs will involve either one activity or a mix of different types of activities designed to meet the needs of the target population. In order to prevent a gap in services, the Department extended existing YDDP contracts through November 2001.
 - The Community Share initiative will focus on neighborhood and community-based YDDP programs serving youth in specific community districts. Each community board will receive an allocation based on the youth population in the district according to the most recent census population data provided by the Department of City Planning.
 - The Youth Special Needs initiative will focus on serving special needs populations such as youth at risk of becoming truant or high school dropouts in entire boroughs or in one or more neighborhoods within a borough.
 - The Public-Private Initiative will focus on encouraging organizations to obtain private funding equal to 50 percent of the total cost of a YDDP program. These programs will serve one or more neighborhoods within a borough, an entire borough or all five boroughs.

DEPARTMENT OF YOUTH AND COMMUNITY DEVELOPMENT

- In April 2001 DYCD's Literacy Unit issued an RFP for comprehensive adult literacy services, including Basic Education, English for Speakers of Other Languages, and Basic Education in Native Language. Of the 92 proposals received from 91 community-based organizations, DYCD selected 36 providers to begin serving 11,540 participants in October 2001.

SERVICES FOR YOUTH AND FAMILIES

Anti-Gang Citywide Task Force

- During Fiscal 2001 the Department launched a campaign to combat gangs by providing conferences to focus on this problem in Crown Heights, Brooklyn. As of August 2001, two conferences were held in Brooklyn at City University of New York's Medgar Evers College to engage youth.
 - In Summer 2001 an Anti-Gang Task Force, consisting of DYCD and four community-based organizations, was established. In Fiscal 2002 the Task Force will hold similar conferences, workshops and seminars in communities in the Bronx and Queens.

The After School Corporation

- Between September 2000 and June 2001 DYCD provided after-school activities to 21,455 youth at 80 schools through a \$10.5 million contract with The After School Corporation (TASC), compared to a revised 21,500 youth planned at 80 schools, which includes only TASC sites funded by DYCD. In Fiscal 2002 DYCD plans to serve 21,500 youth through 80 TASC sites.
 - TASC was established by an international foundation in April 1998 to enhance the quality and availability of after-school programs in New York City and New York State. In conjunction with the Board of Education and other local school systems in the State, TASC programs are designed to enrich the lives of children and make after-school programs a public service.

Runaway and Homeless Youth

- During Fiscal 2001 DYCD increased the number of crisis beds operated from 40 to 61 and served 1,642 youth. The further expansion to 66 beds has been delayed due to additional construction, fire inspection and State certification requirements. The five additional beds are now expected to be operational by Fall 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 Fiscal 2001 DYCD operated 57 independent living beds, which is less than the 75 planned due to several contracts ending in Fiscal 2000, a new contractor who did not follow procurement guidelines and therefore was unable to open 30 beds, and subsequent delays in the completion of site renovations involving seven beds. Eighteen additional beds are expected to be available in January 2002. In Fiscal 2001, 184 youth were served. 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. The Department plans to issue a new RFP in Fall 2001 to expand these programs.

DEPARTMENT OF YOUTH AND COMMUNITY DEVELOPMENT

- In October 2000 the Department issued an RFP to provide Runaway Homeless Youth (RHY) Street Outreach and Referral Services in Queens, Brooklyn and Staten Island to cover previous borough gaps in service. In December 2000 the Department awarded contracts to two providers that began services in March 2001. In Fiscal 2001 a total of 7,173 youth were served through three contracts. 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.
- The Department's new RHY Drop-In Center served 1,022 youth, including 327 referrals and 127 crisis beds filled as a result, between its opening in October 2000 and June 2001. 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 noncrisis RHY service programs.
 - In October 2000 DYCD implemented a special RHY Hotline located at the Drop-In Center. 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. Since its inception the Hotline has received 187 calls and made 187 referrals, of which 159 were to the DYCD network of RHY program service providers.

NYC YOUTHLINE

- During Fiscal 2001 NYC YOUTHLINE received 18,863 calls, as compared to a revised 31,426 calls during Fiscal 2000. The Fiscal 2000 number of calls was revised because it included face-to-face requests for information at workshops. The decrease in the number of calls received in Fiscal 2001 is attributed to the Agency no longer reporting on hang-up calls or face-to-face requests for information at workshops.
- During Fiscal 2001 NYC YOUTHLINE expanded its activities to emphasize community involvement. The program provided 125 workshops to community-based organizations, public schools and various City programs, compared to 84 workshops during Fiscal 2000. Topics covered at these workshops included teen violence prevention; peer pressure; conflict mediation; grief, loss and bereavement; youth and depression; and relationship issues. In addition, YOUTHLINE staff attended 51 community events and responded to requests for information about services in their communities, YOUTHLINE services and peer education training programs.
- In July 2001 the Department held the first Youth Week, which consisted of a series of events for youth centered around six themes: college and careers; the environment; the arts; community service and volunteerism; health and fitness; and technology. Twenty community-based organizations and other City agencies participated. Youth Week events included activities such as college and career fairs, and teams of youth filming events related to Youth Week itself. Youth Week drew approximately 10,000 participants.

DEPARTMENT OF YOUTH AND COMMUNITY DEVELOPMENT

HEALTHSTAT

- In April 2000 the Mayor created HealthStat, a comprehensive citywide initiative to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, over 20 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 150,000 individuals have been enrolled in public health insurance programs.
 - In Fiscal 2001 the Department hired nine Neighborhood Development Area (NDA) HealthStat coordinators to assist families in enrollment. These coordinators, working in diverse community-based organizations throughout the City, have enrolled over 2,500 children to date. The liaisons are responsible for canvassing their local communities for enrollment opportunities and coordinating enrollment events with enrollers.
 - In conjunction with the Children's Defense Fund and the Mayor's Office of Health Insurance Access, in Fiscal 2001 the Agency trained CNYC and YOUTHLINE staff as well as staff in 235 DYCD-funded community-based organizations, including The After School Corporation, on identifying clients without health insurance and referring them to community-based enrollers.
 - In Fiscal 2001 DYCD-funded community-based organizations held 154 special events to provide information to families regarding HealthStat and distributed over 60,000 flyers and posters. In Fiscal 2001 DYCD referred over 5,000 individuals to community-based enrollers for children's health coverage, including immigrants applying for naturalization assistance.

A.C.H.I.E.V.E. Stat

- In Fiscal 2001 the Department developed a data-driven accountability system, A.C.H.I.E.V.E. Stat, which stands for Active, Comprehensive, Holistic, Indicative, Educational, Validated Excellence, as part of the Mayor's citywide accountability program. Based on the Department of Correction's TEAMS model, its purpose is to measure the Agency's performance over time using 10 indicators, including the number of new enrollees in YDDP programs, the cumulative number of participants served by the Beacon programs and the number of community-based organizations attending DYCD technical assistance workshops. The indicators are tracked through the Department's Comprehensive Contract Management System (CCMS) and individual program areas' monitoring systems. Beginning in July 2001 the Department started holding monthly meetings as part of this initiative.

TECHNOLOGY

- The number of visits to the Department's home page on NYC.GOV, the City's official Web site, increased from 21,831 during Fiscal 2000 to 38,155 during Fiscal 2001, a 75 percent increase.
- During Calendar 2000 the Department completed planning and preparation necessary for the implementation of 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. The implementation of this component has been rescheduled to a revised date of Fiscal 2002 due to the complexity of hosting an Internet Web application. In Fiscal 2002 DYCD will work with the Human Resources Administration to host this new component of CCMS. CCMS automates all aspects of contract management, including the solicitation of services, program planning, tracking, evaluating and reporting expenses, and making payments to contract agencies.

DEPARTMENT OF YOUTH AND COMMUNITY DEVELOPMENT

- In February 2001 DYCD implemented an electronic interface between the Financial Management System (FMS) and CCMS. This interface streamlines the contract agency payment process by enabling DYCD to enter contract agency program expense data once, rather than into both FMS and CCMS.
- In Fiscal 2001 DYCD implemented a Site Visit Module in CCMS to track monitoring efforts and corrective action plans. This function allows DYCD staff to record information such as enrollment, participation and ratings relating to monitoring contracted service providers. In May 2001 in response to user modification requests, DYCD revised the module. In Summer 2001 a total of 64 staff were trained in this function.
- In August 2001 DYCD implemented a customer service initiative to allow community-based organizations to electronically obtain their expense and payment history reports in order to improve their record-keeping ability. Information is generated through CCMS and sent to recipients via e-mail.

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Department's expenditures were \$159.6 million, compared with its plan of \$157.9 million; headcount was 213, compared with its plan of 300. The Department's Fiscal 2000 expenditures were a revised \$128.6 million and headcount was 195.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$163 million and a planned headcount of 294.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001
Number of Youth Served (a)	950,000	957,155	998,594	914,511	1,043,144 (b)
BEACONS – Number of Programs	41	41	76	81	80
BEACONS – Number of Youth and Adults Served	90,580	110,000	152,856	183,700	186,512
Neighborhood Development Area Programs – Total Participants	113,600	76,034	92,858	92,320	89,418
Adult Education/Employment Programs – Participants	8,283	5,278	6,895	6,592	7,277
English for Speakers of Other Languages – Number of Students Served	4,097	6,093	7,678	8,269	8,230
Adult Basic Education – Number of Students Served	1,470	2,472	2,588	2,927	2,978
Basic Education in a Native Language – Number of Students Served	423	677	693	604	567

(a) "Number of Youth Served" includes both youth and adult Beacon participants.

(b) The number of youth served increased due to an increase in City funding.

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 340 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	FY 01 Actual	FY 02 Plan
Provide 1.8 million hours of home care to 5,300 clients.	1.59 million hours 4,833 clients	1.6 million hours 5,000 clients
Provide 32,000 hours of legal counseling to 3,800 clients.	38,174 hours 4,467 clients	35,000 hours 4,200 clients
Maintain the time necessary to process complete Senior Citizen Rent Increase Exemption program applications with documentation from seniors at an average of 34 days.	34 days	34 days
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.	29,518	29,000

Goal: Increase the automation of contractor reporting, benefit and entitlement applications, and eligibility determinations.

Objective	FY 01 Actual	FY 02 Plan
Improve client access to benefits by automating eligibility determinations through implementing the UNIFORM Benefit Assessment System at 142 sites.	163	
Expand the Provider Data System to 416 contracted service sites.	413	
Complete distribution of bar-coding technology for tracking congregate services to 332 sites.	316	

HIGHLIGHTS AND ACHIEVEMENTS

PROGRAM SERVICES

- During Fiscal 2001 the Department for the Aging (DFTA) provided 1.59 million hours of home care to frail seniors, compared to 1.33 million hours during Fiscal 2000. This 20 percent increase in hours is due to the allocation of an additional \$5 million in City funding in Fiscal 2000. The hours provided are 12 percent below the plan of 1.8 million because of a shortage of home care workers. In Fiscal 2002 DFTA plans to provide 1.6 million hours of home care to 5,000 seniors.
- During Fiscal 2001 the Department provided 38,174 hours of legal services to the elderly, compared to 40,705 hours in Fiscal 2000. This represents a 6 percent decrease in hours, but a 19 percent increase over the plan of 32,000.

DEPARTMENT FOR THE AGING

- During Fiscal 2001, in partnership with the Department of Cultural Affairs (DCLA), DFTA developed a senior cultural discount program called, "Tickets to Go." With \$500,000 in Fiscal 2001 City funds, this program offers seniors discounts to a variety of cultural events, including classical music, dance, theater and opera. For Fiscal 2001 "Tickets to Go" made discounted tickets available to over 100 performances for New York City residents 60 years of age or older. During Fiscal 2001 over 28,000 seniors registered for the program and over 7,500 tickets were sold. Beginning in Fiscal 2002, DFTA will transfer the responsibility for the administration of the program to DCLA.
 - In January 2001 a free resource guide entitled, "On The Go," which contains information regarding discounts available to seniors, was published. As of the end of Fiscal 2001, over 60,000 copies of the guide had been distributed to registered participants and public officials, as well as senior centers, libraries and other public places throughout the City.
- In July 2001 the Department received \$3.2 million in new federal funding for Fiscal 2002 to provide assistance and services to caregivers. 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 September 2001 the Department expects to issue a Request for Proposals (RFP) for the majority of these services.
- From June 2000 to May 2001 the Department's Caregiver's Assistance Demonstration Program provided 247 caregivers with respite, home training and adaptive equipment, 23 percent more than the planned level of 200 clients. This is due to heightened public awareness now that the program is in its second year, and the program receiving more referrals from community-based service organizations than anticipated. The program was funded by a 12-month federal grant and was operated in conjunction with a major New York hospital and a leading academic research center.
 - The grant funds were also utilized to update and translate "Caring – A Guide to Caring for Persons with Alzheimer's Disease in New York City." Originally produced in 1998, the guide was updated in Spring 2001 to reflect national trends and new information, and now includes community resource information for caregivers. The updated guide has been translated into Spanish, Chinese and Russian. One thousand copies of each of the translations will be available in October 2001 and distributed upon request. The Department will make the English version of the guide available on the DFTA Web site in September 2001.
- In Fiscal 2001 DFTA's social adult day service programs provided 16,056 days of social adult day services to participants, compared to 24,000 days planned. Days of service provided did not meet the plan due to delays in starting new programs and slow client recruitment. Nine programs were in operation the entire fiscal year and two additional programs were awarded contracts in September 2000. One began serving clients in Spring 2001 and the second site has experienced delays with site renovations and is expected to begin serving clients in Fall 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.

DEPARTMENT FOR THE AGING

- In Fiscal 2000 the Department received \$3.15 million in Mayoral and City Council funding to establish nine new senior centers in underserved areas of the City. Six of the contracts were awarded in September 2000 and two programs began operating in Spring 2001. Renovations to the remaining four sites that were awarded contracts in September 2000 were more extensive than anticipated and three of the programs are now expected to begin operations in Fall 2001. The fourth program is expected to open for service by the end of Fiscal 2002. Of the three remaining centers to be awarded contracts, two were resolicited in Fall 2000 as planned and the third will have a timetable for opening after an appropriate site is identified. Of the two resolicited centers, one received no viable bids and was solicited for a third time in June 2001 while the other contract was awarded in Spring 2001, with an expected opening date of Fall 2001.
- In response to rising energy costs, the Department received \$3 million in City funds for Fiscal 2001 to supplement the federal Home Energy Assistance Program (HEAP). HEAP provides direct payments to assist low-income seniors with energy bills. The City funding was distributed to over 20,326 households that are currently receiving HEAP benefits.
- In Fiscal 2001 the Department's Elderly Crime Victims Resource Center provided casework assistance to 1,264 seniors experiencing physical, emotional or financial abuse, a 10 percent increase from the 1,145 clients served last fiscal year. With a full staff in Fiscal 2001, the resource center was able to conduct trainings for professionals in the community, thus increasing referrals. In Fiscal 2002, the Department plans to serve 1,050 clients.
- For Fiscal 2001 DFTA received \$750,000 in City funds to provide English as a Second Language (ESL) and citizenship assistance at senior centers. DFTA's ESL Project assists legal immigrants in improving their English-language skills, enables them to function more independently in their local communities and encourages them to become naturalized citizens. The program consists of two cycles of courses per year at 38 sites. Each cycle served approximately 2,500 immigrants in Fiscal 2001. The program served fewer immigrants than planned because many students have become citizens and opted not to attend further ESL classes. In addition, in Fiscal 2001 the Department began encouraging centers to reduce class sizes in order to provide a richer, more structured learning experience to attendees. The programs plan to serve 2,300 immigrants per cycle in Fiscal 2002.
- In Fiscal 2001 the Department participated 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." The P.H.O.N.E.S. initiative is led by the Mayor's Commission to Combat Family Violence. Since August 2000, DFTA has distributed phones to 433 elderly crime victims, elder abuse survivors and grandparents raising grandchildren with special needs. The Department has also received requests from seniors who would benefit from access to a phone due to health problems or other circumstances. During Fiscal 2002 the Department plans to distribute approximately 350 additional cell phones to these seniors on a first come, first served basis.
- During Fiscal 2001 DFTA completed and issued revised 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. Compliance is evaluated through a program assessment conducted by DFTA staff annually. DFTA also introduced outcome and consumer satisfaction measures, such as the use of client surveys, and where possible stratified the indicators to distinguish minimal compliance from better-than-satisfactory performance. The Department also provided training to DFTA staff and contractors on the new standards. The new service standards were available in printed format beginning in March 2001 and beginning in Fiscal 2002 will be made available online on the DFTA home page of NYC.GOV, the City's official Web site. The standards went into effect July 1, 2001.

DEPARTMENT FOR THE AGING

- In addition, DFTA is designing a revision of its Program Assessment System (PAS), a computer system that automates the assessment process, to reflect the above changes in service standards. The Department is currently identifying potential vendors for this project and a plan for design completion will be provided in the Preliminary Fiscal 2002 Mayor's Management Report. PAS scores will also be converted to the City's rating system to ensure consistency between the two rating systems.
- In Fiscal 2001 the Department moved its case management contracts from a cost-reimbursement basis to a performance-based system of reimbursement. Under performance-based contracting, providers receive a negotiated per-unit rate for services delivered. DFTA now contracts for the following services on a performance basis: home care, legal services, social adult day-care services and case management. The Department is currently developing plans to move its senior center contracts to a performance basis by Fiscal 2004.

NUTRITION SERVICES

- By the end of Fiscal 2001 the Department was providing approximately 12,000 take-home weekend meals per week for senior center participants, compared to the 10,000 meals per week expected. The positive variance is due to the fact that more programs than originally anticipated wished to participate in the new program. During Fiscal 2001 the Department worked with 181 centers to determine their capacity to provide weekend meals. A total of 124 sites began serving meals in January 2001, and as planned, 25 more sites were phased in by the end of Fiscal 2001. Four of the original programs opted not to participate in Fiscal 2002 and 32 additional programs will be phased in during Fiscal 2002, bringing the total number of programs to 177. The sites are currently being evaluated and a plan for Fiscal 2002 will be included in the Preliminary Fiscal 2002 Mayor's Management Report. All meals meet federally mandated nutrition requirements.
- In response to a decline in senior center use, especially at congregate meals, in August 1999 the Department contracted with faculty from Ithaca College and Fordham University to study the situation. A final report expected in February 2001 has been delayed due to delays in coding focus group data into a qualitative software program for analysis. The draft report is currently under final review and the report is expected in Fall 2001.
 - Preliminary results presented to DFTA executive staff in August 2000 identified several factors that may affect meal participation, including center location, the quality of the facility, food variety and presentation, and a range of misperceptions about center regulations. In Fiscal 2001 the Department's training on service standards addressed some of these issues with DFTA staff and contractors. The new standards require that senior center participants be involved in menu planning and allow centers to provide more options for meal planning, including cold meals. The Department also received an additional \$4 million in City funding for Fiscal 2002 to address facility improvements.
 - The final draft will include recommendations for steps the Department and contractors can take to improve senior center use, such as more flexible menus, meal service styles, physical site improvements, and efforts to attract and retain quality kitchen staff.
 - In Fiscal 2001 the Department completed the first of two reports based on a survey of seniors at 40 senior centers citywide. Findings show 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. The report was distributed to all 340 DFTA senior centers. A second report, focusing on the relationship between service use and demographic characteristics, is expected to be released in Fall 2001.

DEPARTMENT FOR THE AGING

- In June 2001 the Department's Research Unit distributed a 22-page initial analysis of 2000 Census data on the elderly in New York City. The report summarized the changes in the size and age of New York City's senior population in a concise format. The Department plans to release future reports as more data becomes available from the United States Census Bureau, including analyses of racial and ethnic composition, gender and income. The first report was distributed to over 2,400 interested organizations and individuals, including provider organizations, academics and elected officials.
- In Fiscal 2001 over 25,000 seniors were screened by DFTA contract case management staff for possible risk of malnutrition. Case management agencies have been required to perform a nutrition risk screening as part of their in-home assessment of individual clients since April 1999. DFTA's Provider Data System (PDS), which compiles clients' nutrition risk scores, identified 5,418 clients at risk during Fiscal 2001. This figure includes clients who were at high risk the previous year and already received nutrition counseling. 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 Unit provided 2,488 in-home nutrition counseling visits in Fiscal 2001, compared to a revised 2,036 visits in Fiscal 2000. An additional 1,206 visits were provided by contract agencies, compared to 640 in Fiscal 2000. The clients counseled included all the at-risk clients identified in Fiscal 2000 who agreed to receive counseling but were not served in Fiscal 2000. In Fiscal 2002 the Department plans to provide 2,600 visits, with an additional 800 visits provided by contracted agencies.
- During Spring 2001 the Department began planning its participation in the Farmer's Market Nutrition program. 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. The Department will distribute over 19,000 coupon booklets through 126 participating senior centers during Fiscal 2002.

HEALTH CARE AND HEALTH PROMOTION

- In Fiscal 2001 the Department received \$250,000 in City funding for 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 Fiscal 2001 the program offered six three-day core training cycles plus 14 full-day elective courses. A total of 235 health care professionals attended the core trainings and 1,075 attended one or more of the elective courses. A similar schedule of trainings will be conducted in Fiscal 2002.
- In collaboration with the Department of Mental Health, Mental Retardation and Alcoholism Services (DMH) and the Department of Health, in Fiscal 2001 DFTA developed the City's first public information campaign to address the issue of depression as a public health concern for seniors. The program was launched in May 2001, and campaign posters were displayed throughout New York City in public buildings and on public transportation through the end of July. The Department has mailed over 20,000 campaign packets, including informational brochures and posters, to senior centers and senior service organizations. In June 2001, the campaign's first full month, there were 236 calls to a hotline funded by DMH from or on behalf of seniors requesting information on depression, nearly two and one half times more calls than received in the prior month.
- In August 2001 the Mayor held a press conference to raise awareness about the "Health Record for Older New Yorkers" booklet, 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.

DEPARTMENT FOR THE AGING

- Beginning in October 2000, the Department began distributing the “Health Record for Older New Yorkers.” To date, the Department has distributed over 120,000 copies of the pamphlet 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 at least 80,000 additional copies during Fiscal 2002.
- In July 2001 the Department released Chinese, Russian and Korean translations of the “Complete Guide to Health Coverage for Older New Yorkers,” a 40-page book of information on health care programs. The release of the book was delayed because new State and federal guidelines regarding income thresholds for healthcare benefits had to be incorporated into the book and translated into the different languages. The updated Spanish and English versions of the guide were released in March 2001, slightly later than planned.
- 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. A hearing services contractor and a vision services contractor began planning the programs at each of the four housing complexes in Spring 2001. In Fiscal 2002 the programs will offer seniors in the housing sites free vision and hearing screenings; educational seminars; apartment safety assessments to identify clutter, dangerous appliances, or other conditions that put seniors at risk of injury; and special adaptive equipment assessments. In addition, housing staff and social workers at the sites will receive training pertaining to vision and hearing.

HOUSING SUPPORT FOR SENIOR CITIZENS

- In Fiscal 2001, 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. In Fiscal 2001 these NORC programs provided 32,879 hours of casework services to NORC residents. The Department expects to provide 37,000 hours of casework services in Fiscal 2002. One additional program experienced delays renovating its site, and will open by the end of September 2001 rather than Spring 2001 as planned.
 - In Fiscal 2001 the Department's Housing and Training Units worked together to develop a leadership-training curriculum for NORC providers. The Department offered nine one-day sessions of training throughout Spring 2001. The training covered the specific skills necessary for this new service delivery model, such as NORC program development and evaluation, partnership building, outreach and marketing strategies, developing and maintaining successful volunteer networks, and working with an advisory board. NORC program directors were required to attend if they had been in the job less than one year, but more experienced directors also attended on a voluntary basis.
- In Fiscal 2001 the Department maintained the average processing time of 34 days for completed Senior Citizen Rent Increase Exemption Program (SCRIE) applications and expects to maintain this level of performance in Fiscal 2002.
 - The number of households participating in SCRIE remained stable throughout the year, rising slightly from 44,467 at the end of Fiscal 2000 to 44,997 at the end of Fiscal 2001.
 - In Fiscal 2001 the Department received 7,908 initial applications for SCRIE, a 19.4 percent increase from the 6,622 initial applications received in Fiscal 2000. The increase in initial applications was due to greater outreach efforts and publicity about the availability of the benefit, including over 17,000 informational packets mailed to Social Security offices, community case management services agencies and elected officials, as well as additional mailings by public officials to their constituents.

DEPARTMENT FOR THE AGING

- During Fiscal 2001 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. In response to a request from landlords, the Department concentrated its efforts on developing an electronic process to clear audit appeals on tax abatements issued prior to computerization. This component of the system was fully operational by April 2001. The component of the system that will review routine audits for current program participants is now projected for completion in Spring 2002. 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.
 - In Fiscal 2001 the SCRIE unit performed 29,518 audits of residential units to ensure that landlords receive the appropriate level of tax abatement. This represents a 1 percent increase from the 29,277 audits performed in Fiscal 2000.

EMPLOYMENT AND TRAINING

- As part of the City's One-Stop delivery system, in Fiscal 2001 the Department designed and built a resource room in Lower Manhattan where seniors can independently research available job options via the Internet, newspapers and other resources. The resource room's opening, which was originally scheduled for December 2000, was delayed due to construction problems such as site wiring. The new resource room opened for use in July 2001.
- 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. In Fiscal 2001, 130 PCA trainees completed training and 118 of those graduates were placed with home health care agencies. This is 42 fewer graduates placed than planned and 33 fewer placed than in Fiscal 2000. This 22 percent decrease in placements from the previous year is a result of a decrease in the number of trainees who were referred to the program by the Human Resources Administration due to the decline in the public assistance caseload.

TECHNOLOGY

- During Fiscal 2001 the Department installed the UNIFORM system at 55 new sites, bringing the total number of UNIFORM sites to 163 and exceeding the plan by 21 sites. The increase is due to a larger number of contractors requesting the program than anticipated. UNIFORM is a computer program that screens applicants for multiple benefits and entitlements using a single interface.
 - In addition, in June 2001 the City's Technology Steering Committee awarded DFTA's Director of the Office of Information Technology and several members of his staff the 2001 Excellence in Technology Award for Best In-House Developed Application for UNIFORM.
 - The Department has 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. 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 also is currently working with the E-Government Office and the Technology Steering Committee to explore the possibility of using UNIFORM as the standard benefit-screening tool for all City human service agencies.

DEPARTMENT FOR THE AGING

- During Fiscal 2001 the Department expanded its Provider Data System (PDS) to 36 program sites, bringing the total number of DFTA sites with PDS to 413, slightly below the plan of 416. PDS automates service provider operations and manages client and employee data. The Department has fully completed the distribution of the system at slightly fewer sites because several sites opted to share the database with another site rather than install their own. The Department received approval to integrate PDS and UNIFORM in July 2001 and is currently developing plans for the project. A timetable for completion will be provided in the Preliminary Fiscal 2002 Mayor's Management Report.
- In collaboration with the Department of Information Technology and Telecommunications, the Department has forged a partnership with a major cable company. 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 will include the installation of cable lines, as well as free ongoing service for at least 10 years. The Department anticipates that over 225 sites will be served.
- During Fiscal 2001 the Department began developing plans for a Web-based system to manage the Department's core business functions, including contract management, budgeting, accounting and claims. The Web-based system will be accessible to the Department's contracted service providers, who will be able to access, review and modify their budget information online. The Department is identifying appropriate vendors for the project and an expected completion date for the design of this system will be reported in the Preliminary Fiscal 2002 Mayor's Management Report.
- During Fiscal 2001 the Department continued to develop a plan for a new electronic imaging module for the Senior Citizen Referral and Entitlement Network (SCREEN), an automated system that streamlines SCRIE application processing. The Department is currently examining an existing imaging software system that might be appropriate for DFTA's needs and expects to select a system by Fiscal 2002.

CUSTOMER SERVICE

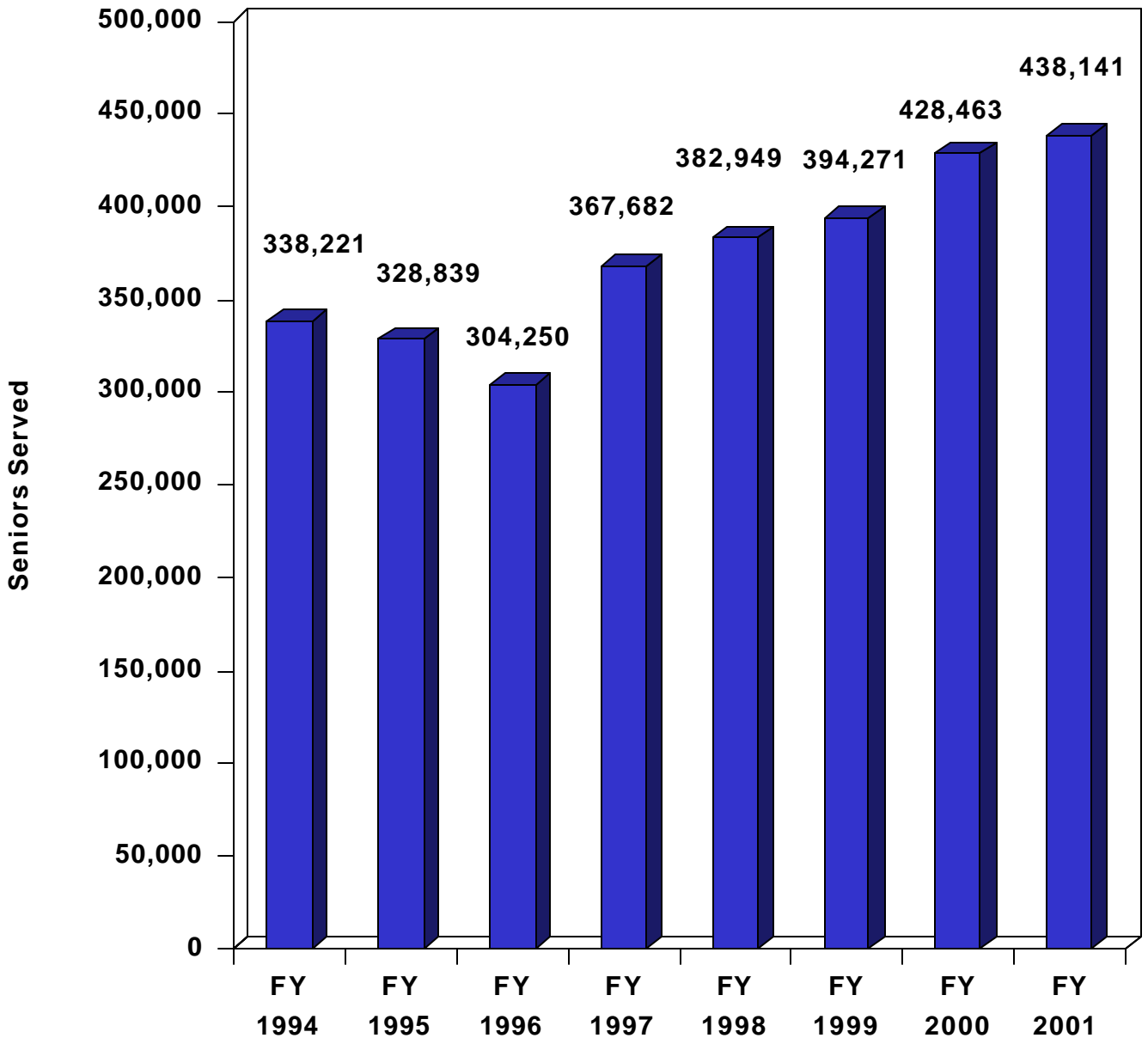
- In Fiscal 2001 the Department's Information and Referral unit handled 263,294 calls to DFTA's 24-hour Helpline (212-442-1000), a 2 percent increase from the 258,844 calls handled in Fiscal 2000.
- The number of visits to the Department home page on NYC.GOV increased from 82,832 in Fiscal 2000 to 130,963 in Fiscal 2001, a 58 percent variance. The increase is due in part to the expansion of DFTA's home page to include 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.

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Department's expenditures were \$241 million, compared with its plan of \$228.8 million; headcount was 375, compared with its plan of 390. The Department's Fiscal 2000 expenditures were \$215.1 million and headcount was 361.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$245.6 million and a headcount of 385.

Department for the Aging

Total Seniors Served Fiscal 1994-2001



Data include all DFTA contracted services and major Department programs such as SCRIE and HEAP.

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	FY 01 Actual	FY 02 Plan
Ensure that at least 34.5% of students in grades 3-8 achieve the mathematics proficiency standard.	by 1/02	37.5%
Ensure that at least a revised 45.8% of students in grades 3-8 achieve the English Language Arts proficiency standard.	by 1/02	48.8%
Increase overall student attendance to 90%.	88%	90.1%
Increase the nonviolent conflict resolution program to 637 schools.	637	
Ensure that a minimum of 63.5% of English Language Learners in grades 1 through 5 achieve the required normal curve equivalent unit gain on the English Language Assessment Battery Test.	65.5%	67%
Ensure that a minimum of 53% of English Language Learners in grades 6 through 8 achieve the required normal curve equivalent unit gain on the English Language Assessment Battery Test.	54.5%	56%
Ensure that a minimum of 62.5% 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.	65.2%	66.2%
Ensure that a minimum of 55% 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.	56%	57%
Implement the first stages of the New Continuum of Special Education by creating Pupil Personnel Teams and Least Restrictive Environment Planning Committees in all schools in Fiscal 2001.		
Continue a program to reduce class size in kindergarten through grade 3 during the 2000-2001 school year.		
Implement pre-kindergarten educational standards that are applicable to public school and community-based settings in Fiscal 2001.		
Continue to increase the number of special education students served in less-restrictive settings in Fiscal 2001.		
Continue instructional programs that ensure effective transition of decertified students back to general education during the 2000-2001 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.		
Develop a new version of the Language Assessment Battery Test for initial identification of English Language Learners.		

BOARD OF EDUCATION

Goal: Ensure that all students meet high academic standards through the recruitment, hiring and retention of highly qualified teachers.

Objective	FY 01 Actual	FY 02 Plan
Increase the number of certified teachers by 1% to 66,750.	0.3% to 66,278	1.7% to 67,425
Continue expansion of the NYC Teacher Fellowship Program by hiring 1,500 new Fellows.	349	1,140
Create a unit to provide professional development for principals and newly hired teachers in Fiscal 2001.		

Goal: Develop relationships with the private sector to enhance student academic performance.

Objective
Identify existing partnerships and develop corporate partnerships for individual schools by the end of Fiscal 2001.

Goal: Assist parents in becoming involved and informed to support high academic achievement by all students.

Objective
Implement "Building Capacity for Parent Involvement" protocol and develop comprehensive district parent involvement programs in Fiscal 2001.
Develop and implement a parent satisfaction survey in Fiscal 2001.

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 SCA's Enterprise Resources Planning system by the end of Fiscal 2002.
Evaluate the effectiveness of the pilot program of preventative school maintenance by a revised date of the end of Fiscal 2002.
Continue implementation of the State-funded District Maintenance program in Fiscal 2002.
Complete the final stage of data verification for an integrated management information system to monitor the leasing of buildings and sites by a revised date of Spring 2001.

Goal: Expand the capacity for technology to ensure connectivity throughout the school system.

Objective	FY 01 Actual	FY 02 Plan
Provide Internet access to 237 additional schools, annexes and off-site locations.	111	86
Provide Internet access to 13,016 additional classrooms.	21,065	11,323
Expand the Board of Education's Internet Web site to provide training and ongoing professional development for teachers.		
Issue a Request for Proposals for vendors to create an Internet portal and wireless computing network in Fiscal 2001.		
Create a data analysis unit that will coordinate, disseminate and analyze all relevant Board of Education data during Fiscal 2001.		

BOARD OF EDUCATION

HIGHLIGHTS AND ACHIEVEMENTS

STUDENT ENROLLMENT

- During the 2000-2001 school year 1,105,045 students were enrolled in the City's public school system, compared to 1,100,312 students enrolled during the 1999-2000 school year. This represents a 0.4 percent increase. The Board of Education (the Board) has experienced a decrease in the rate of growth in student enrollment every year since the 1995-1996 school year, and now projects enrollment will remain at virtually the same level for the 2001-2002 school year.
- The Universal Pre-Kindergarten program provides four-year-old children with the opportunity to enroll in age-appropriate pre-kindergarten educational programs. During the 2000-2001 school year 35,422 students were enrolled in the program, compared to 24,948 students enrolled during the 1999-2000 school year. A lack of classroom space, student transportation and certified teachers, as well as an inability to create full-day classes and insufficient State funding, contributed to the Board not achieving its planned enrollment of 38,303 students for the 2000-2001 school year. There was an increase in partnerships with contracted early childhood community-based providers, from 317 providers representing 15,108 students in the 1999-2000 school year to a revised 452 providers representing a revised 22,793 students in the 2000-2001 school year. During the 2001-2002 school year the Board anticipates serving 44,000 children in Universal Pre-Kindergarten, with approximately 75 percent of the children being served in partnerships through approximately 560 providers and contracts.
 - The Principles of Learning for Early Childhood is a Board document that sets the instructional standards for pre-kindergarten. During the 2000-2001 school year the Board used the document for professional development activities in the pre-kindergarten programs. The Board's Office of Early Childhood Education presented the principles at the New York State Education Department's (SED) Interagency Annual Early Childhood Conference in January 2001 and at the Second Annual Citywide Universal Pre-Kindergarten Conference in May 2001. Community provider staff were in attendance at both events.
- In conjunction with the School Construction Authority (SCA), the Board created 5,964 seats between October 2000 and September 2001. In addition, since Fiscal 1994 a total of 135,759 new seats have been built throughout the five boroughs, helping to alleviate the historical gap between enrollment growth and the need for additional seats.
 - 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 and seven projects will be completed by September 2003. The original plan projected completions between June 2003 and April 2006.

EDUCATIONAL PERFORMANCE AND STANDARDS

- In February 2001 an independent evaluation of the Board's Summer 2000 program found the Board carried out the logistics of organizing the program in an effective and efficient manner. The evaluation also showed that summer school aided those mandated to attend.

BOARD OF EDUCATION

- Of the elementary and middle school students mandated to attend, a revised 64.5 percent were promoted. There was a strong relationship between meeting promotion requirements and summer school attendance at all levels. Students attending summer school in districts that implemented a five-day-per-week model generally did better in both reading and math than those students in districts implementing a four-day-per-week model. Students attending summer school in districts staffed with higher proportions of certified teachers outperformed students from other districts.
- In support of the Board’s promotion policy adopted in Fall 1999, in early Fiscal 2001 the Board launched a Summer School 2001 outreach and awareness campaign aimed at parents of students in grades 3 through 12 whose promotion to the next grade was in doubt. This “Step UP” Summer School 2001 outreach campaign used a wide variety of communication tools that included notification letters written in the language spoken in the student’s home, multilingual phone calls, a toll-free information hotline, print and broadcast public service announcements and a poster campaign.
 - In February 2001, approximately 319,517 “promotion in doubt” letters in six languages were mailed to parents indicating that their child may not be promoted and may be required to attend Summer School 2001. There were 320,029 students whose parents received a “promotion in doubt” letter during the 1999-2000 school year.
 - In May 2001 community-based organizations were asked to help with outreach to parents and to create “wraparound programs” that would provide activities and instructional support to ensure full day activities for students after their school day ends. In collaboration with a City foundation as well as 60 Human Resources Administration’s (HRA) Summer in the City childcare programs, the Board participated in a total of 110 wraparound programs. These programs were funded through private entities, as well as through the Administration for Children Services’ Agency for Child Development and HRA.
 - Of the 330,000 total students registered in the Summer 2001 program, 72,125 were students in grades 3 through 8 who were mandated to attend. Of the mandated students, 89 percent or 64,220 students attended the summer program, an increase from a revised 87.9 percent or a revised 54,996 students who were mandated to attend Summer 2000.
 - By June 2001 parents of students in grades 3 through 8 were notified whether their child was mandated to attend summer school because of persistently low performance or attendance during the school year. The letters were in eight languages and included a stub with a return receipt that parents were required to tear off and return to the principal of their child’s school. Those parents who did not return the stub were sent a subsequent letter by return receipt mail.
 - For the first time, in Summer 2001 the Board tracked high school students mandated to attend summer school and those performing at or above level and seeking educational enrichment. The number of mandated high school students was not tracked previously because high school promotion is based on credit accumulation. High school students who have not accumulated the number of course credits required for promotion are now identified as mandated students. Students entering grade 12 are now identified as mandated if they have not passed the requisite SED Regents examinations to earn a high school diploma. Preliminary Board data indicates 60,613 mandated high school students were enrolled in Summer School 2001.
 - In January 2001 the Mayor committed an additional \$25 million to extend the Summer 2001 program to an additional 50,000 students in grades kindergarten through 12 for enrichment programs. This included instruction in English as a Second Language, mathematics, English Language Arts and content areas such as science, social studies and applied technology, to better prepare these students to achieve proficiency of at least level three on City and State examinations and meet Regents standards.

BOARD OF EDUCATION

- The Mandated Summer Program for English Language Learners (ELLs) initially identified 30,305 students who had failed to meet promotion criteria in Grades 3 through 12. Enrichment/Intensive English program served an additional 10,000 ELLs who met promotion standards or who are exempt since they have been in an English Language School System less than two years.
- All Summer 2001 students in grades 3 through 8 were assessed at the end of the summer session. English Language Arts, mathematics and 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.
- Preliminary data for the Summer 2001 program indicates that the percent of students in grades 3 through 8 passing the promotion level in reading tests increased to 43.5 percent, while the number passing the promotion level in math tests declined to 36.5 percent. Approximately 54,000 students took the end-of-summer tests in reading, math, or both. The most positive results for Summer 2001 were demonstrated by progress in test scores compared with previous scores by the same students. In reading, 40.6 percent of students in grades 3 through 8 who took the end-of-summer test scored at a higher proficiency level than in the spring, compared with 36.1 percent of students who improved during Summer 2000. In math, 35 percent of students in grades 3 through 8 tested in Summer 2001 scored higher, compared with 27.6 percent in Summer 2000.
- In August 2001 high school students took the Regents tests and English Language Learner students took the reading exam. Results of both tests will be discussed in the Preliminary Fiscal 2002 Mayor's Management Report.
- Preliminary data indicates that 46,319 students, or 64.2 percent of mandated grade 3 to 8 students, were promoted; 24,370 students, or 33.8 percent, were retained; and 1,436 students, or 2 percent, were pending promotion decisions that were made prior to the beginning of school. Outcomes and promotion decisions are subject to final analysis by the Board and will be updated in the Preliminary Fiscal 2002 Mayor's Management Report.
- In addition, during Summer 2001, 101 Breakaway Camps served approximately 10,000 students, compared to the 87 camps that served 6,775 students in Summer 2000. These camps, which are operated by the Board in partnership with existing residential camps, community-based day camps and New York area universities, serve students in an enrichment program.
- As of July 2001 the Board assigned 15,705 teachers to Summer 2001, compared to 15,457 teachers in Summer 2000. Of this number 12,593, or 80.2 percent, were certified, compared to 12,272, or 79.4 percent, certified in Summer 2000.

BOARD OF EDUCATION

- The Eight Plus program was implemented at the start of the 2000-2001 school year. A total of 2,292 grade 8 students who did not meet promotion standards during the 1999-2000 school year were enrolled in the program, which was offered at more than 75 sites. Eight Plus emphasizes intensive academic interventions covering all four core curriculum areas in reduced class sizes of 15 to 20 students. It provides intensive attendance and guidance support services to meet the students' educational, emotional and social needs. By June 2001, 1,543 students, or 67.3 percent, were promoted to grade 9 based on standardized assessments, attendance and classwork and 272 students have left the public school system. The remaining 477 Eight Plus students were mandated to attend Summer School 2001. At the end of Summer School 2001, there were 285 mandated students registered in the Eight Plus Program. Preliminary results show that 86 of these students met promotion requirements and were promoted to Grade 9 as a result of their progress in summer school. The remaining 199 students will continue to be participants in the Eight Plus program. The educational gains for students who participated in the Eight Plus program will be reported in the Preliminary Fiscal 2002 Mayor's Management Report.
- The Board administers the reading, writing and math tests mandated by the City and State to students in grades 3 through 8.
 - In Fiscal 2001 the percentage of students meeting or exceeding grade standards in English Language Arts continued to increase. For grades 3, 4, 5 and 7 together, the percentage of all students scoring at either proficient or advanced levels (levels 3 and 4) in reading was 42.2 percent, a 1.9 percentage point increase from Fiscal 2000 and a 5.5 percentage point increase from Fiscal 1999. The percentage of grade 6 students scoring in levels 3 and 4 in Fiscal 2001 was 30.9 percent, a 2.3 percentage point increase from Fiscal 1999. As recommended by the testing service used by the Board, comparative results for grade 6 are reported based on changes from Fiscal 1999 due to anomalies in the Fiscal 2000 results. Combined data for grade 3 through 8 students will be included in the Fiscal 2002 Preliminary Mayor's Management Report after the State Education Department (SED) releases test results for grade 8 in Fall 2001.
 - In Fiscal 2001 students continued to show difficulty in meeting grade level standards in mathematics. Of all students in grades 3, 5, 6 and 7, 31.7 percent scored in levels 3 and 4 combined, 1.1 percentage points lower than Fiscal 2000 and 0.2 percentage points lower than Fiscal 1999. The percentage of students meeting or exceeding grade standards increased in grades 3 and 6 and decreased in grades 5 and 7. Combined data for grades 3 through 8 will be included in the Fiscal 2002 Preliminary Mayor's Management Report after SED releases test results for grades 4 and 8 in Fall 2001.
- In Fall 2000 the Chancellor established a Commission on Mathematics Education to evaluate and redirect the content of mathematics instruction in the schools. The Commission examined the alignment between the Board's mathematics instructional content and the City and State mathematics assessments in grades kindergarten to 12, in addition to examining the alignment among mathematics assessments required by the Board, SED and CUNY. In May 2001 the Commission released its report to the Chancellor. In the report, the Committee recommends: 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. Additionally, the report stresses the critical importance of recruiting and retaining highly qualified mathematics instructors, and the need for continuous professional development.
 - In response to the Commission on Mathematics Education's report, the Board will launch an initiative aimed at improving student achievement and performance in mathematics. In Fiscal 2002 the Board will establish a committee of mathematics experts to give advice on implementing the recommendations.

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- Also recommended was the creation of credit-bearing courses for teachers through affiliations with CUNY, and possibly other city universities and colleges, to enable teachers to be certified and licensed in mathematics, and the development of a program modeled after the CUNY Teaching Opportunity Program (TOP) at City College, Lehman College and Brooklyn College. TOP trains prospective teachers and retrains current teachers to become State-certified mathematics teachers.
- The Board tracks the graduation and dropout rates of groups of students who entered the public high school system at the same time. Students who entered the public high school system in September 1996 and were scheduled to graduate in June 2000 were tracked for four years to evaluate their graduation and dropout rates. While a revised 33,489 students, or a revised 49.9 percent, graduated by end of the 1999-2000 school year after four years of high school, a revised 12,951 students, or a revised 19.3 percent of the Class of 2000, dropped out of high school by the end of the 1999-2000 school year. This is the second 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, 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

- In Fall 2000 the Board began systemwide implementation of Academic Intervention Services (AIS) in response to more stringent promotional standards and new State regulations. AIS are 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. AIS helps students achieve the learning standards in English Language Arts and mathematics in grades kindergarten through 12, and in social studies and science in grades 4 through 12. During the 2000-2001 school year intervention services were provided in the form of additional, supplementary instruction and/or student services such as school guidance and counseling. One such service is Project Read, which provides instruction for students in grades 1 through 4 who are at risk of not meeting performance standards. The Board expects to continue AIS during the 2001-2002 school year.
- The Partners in Reading After-School Literacy Program, a collaborative program of the Mayor's office, the New York City Housing Authority (NYCHA) and the Board, provides literacy instructional support for students who reside in NYCHA housing and attend grades 1 through 3. The 2000-2001 Partners in Reading After-School Literacy Program operated at 118 NYCHA sites throughout the five boroughs. The program served approximately 7,380 students, including 5,550 students four days a week throughout the school year and 1,830 students during the summer months.
 - In July 2001 the Board implemented the 2001 Partners in Reading Summer Program in 80 NYCHA sites to provide 36 hours of literacy instruction for the duration of the summer. Student enrollment increased from a revised 1,740 students served during the 2000 Partners in Reading Summer Program to 1,830 students served in the 2001 summer program.
- In collaboration with the Mayor, in March 2001 the Board began coordinated Saturday programs aimed at students having difficulty achieving proficiency in math and science, as well as students needing extra help in English. This new weekend program offers intensive science and math instruction to students and an after-school and weekend high intensity English instruction program for English Language Learners who have been in Bilingual/English as a Second Language programs for three or more years or are making insufficient progress towards English proficiency.

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- By Spring 2001 more than 33,000 students in grades 2 through 12 attended school an extra day each week for the remainder of the 2000-2001 school year. Beginning in Fiscal 2002 a voluntary sixth school day will become part of the school week for approximately 95,000 at-risk students and those interested in advanced work.
- In conjunction with CUNY, during Fiscal 2001 the Board administered the College Now program, which provides high school students remedial instruction in reading, writing and math and affords students who are academically prepared an opportunity to take courses for college credit. During the 2000-2001 school year a total of 18,850 students from 161 high schools were enrolled at 17 CUNY campuses, compared to approximately 11,000 students from 110 high schools enrolled at 13 CUNY campuses during the 1999-2000 school year. In collaboration with the Mayor, in Fiscal 2002 College Now will be expanded to serve 28,800 students from all high schools.
 - In September 2001 the College Now Program, which had been serving students in grade 9, expanded to 3,750 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 will focus on Regents Exam preparation.
- 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. With the February 2001 opening of two new centers in Manhattan and Staten Island, the Board has a total of 10 Post-Five Young Adult Borough Centers citywide.
 - The program served a total of 3,631 students in Fiscal 2001, compared to 3,185 students served in Fiscal 2000. In Fiscal 2001 a total of 918 students graduated from Post-Five Young Adult Borough Center high schools, compared to the 804 students who graduated from these centers in Fiscal 2000.
- During Fiscal 2001 Project ARTS (Arts Restoration Throughout the Schools) was implemented in all schools. Project ARTS is a Board initiative funded by the Mayor's Office to support instructional programs in art, music, dance and theatre.
 - Since its inception in 1997, 1,250 teachers of art, music, dance and theatre were hired, including approximately 100 teachers hired for grades 11 and 12 during the 2000-2001 school year.
 - In February 2001 the Board implemented the Comprehensive Teacher Arts Licenses for grades pre-kindergarten through 12, providing sequential instruction in art, music and dance.
- In May 2001 the Chancellor announced the creation of a task force that will tackle declining performance in the City's middle schools. This task force will review standardized test scores, attendance and promotion figures for the City's approximately 200,000 students in grades 6 through 8. The task force's recommendations, expected in November 2001, will be discussed in the Fiscal 2002 Preliminary Mayor's Management Report.

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ADMINISTRATIVE INITIATIVES

- At the beginning of the 2000-2001 school year, the Board created the Office of Corporate Partnerships (OCP) to support initiatives that enhance public education by establishing comprehensive, long-term partnerships between the City's business community and the public school system. During Fiscal 2001 OCP identified corporate partners for individual schools, secured resources for broad-based systemwide initiatives and developed a system to track activities systemwide. Examples of school-business partnership initiatives include mentoring; literacy programs; professional development opportunities; technology and instructional resource support; career exploration for students; developing resources for the improvement of school facilities and physical resources, such as gymnasiums, libraries and music rooms; and after-school programs.
- During the 2000-2001 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. During the 2000-2001 school year the Board created approximately 1,563 new classrooms, where space was available, compared to 900 classrooms created during the 1999-2000 school year. In addition, schools have provided 848 additional teachers for small group instruction, where space was not available to create additional classrooms.
 - In Fiscal 2002 State and federal funds will support 1,589 classes and 1,006 teachers for small group instruction.
- Since the Charter School initiative was introduced in February 1999, a total of 14 charter schools have opened citywide, serving 3,300 students. In September 2000, 10 charter schools opened, compared to four schools in September 1999. During Fiscal 2001, two schools relinquished their charter status and converted to regular Board schools in September 2001. These converted schools will be part of a newly established Board Learning Zone, which provide high-performing schools with a regulatory and contractual autonomy from the Board in return for increased responsibility and accountability for student achievement. During the 2001-2002 school year 17 charter schools are scheduled to be in operation; this includes five schools authorized to open in Fall 2001. Four 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.
- In August 2001 the Chancellor announced a plan developed with the support of business leaders appointed in February 2001 to reorganize the staff of the Central Board. The plan recommends increased responsibility and greater accountability at the district level through comprehensive district performance profiles and regular meetings with superintendents to review performance; the elimination of more than 600 positions at the central staff level in Fiscal 2002, with a total of 1,225 positions to be eliminated over three years, and more than 300 positions eliminated at the district level in Fiscal 2002; and a new seven day-a-week parent information hotline. The Chancellor expects to begin implementation of the plan during the 2001-2002 school year.
- In April 2001 the City issued a Request for Proposals (RFP) from developers interested in purchasing the Board's headquarters at 110 Livingston Street, 131 Livingston Street and 65 Court Street. In conjunction with this sale, the City also released a Request for Expressions of Interest (RFEI) to lease or develop a new state-of-the-art building in downtown Brooklyn that will house a new smaller headquarters and include a new 800-seat public high school. The consolidation of Board headquarters into one location will allow it to streamline its operations and further trim its central staff. The City had issued an RFEI in March 2000 for the sale of the headquarters in an effort to redirect the central Board's resources from the bureaucracy to the classroom.

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- Since 1989 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 Fiscal 2001 the Board had a total of 98 SURR schools. In October 2000, 18 new schools were added to the SURR list and a revised 16 schools were removed. Of the 18 that were added, three are elementary schools, 12 are middle schools and three are high schools. Five of the schools had previously appeared on the 1999 SURR list.
 - During the 2000-2001 school year the Board continued to administer the Extended Time Schools program (ETS). Since September 1999 the same 40 SURR schools took part in ETS. The school day 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 and a uniform 90-minute reading block. The Board expects there will be five additional SURR schools participating in ETS during the 2001-2002 school year.
 - As required by SED, in Fiscal 2001 the Board undertook a campaign to recruit and place State certified teachers within the Chancellor's District and all SURR schools. As a result of the effort, there are 2,018 certified teachers in the Chancellor's District, an increase of 10.9 percent from Fiscal 2000, and 5,600 certified teachers in SURR schools citywide, an increase of 8.6 percent from Fiscal 2000.
 - In July 2000 the Board issued an RFP for qualified management organizations to convert up to 20 SURR schools into charter schools. In December 2000 the Board selected an organization to be matched with five low-performing schools in the Chancellor's District. In March 2001 parents voted not to allow the organization to take over the five schools. One of the schools closed in June 2001 and another school is scheduled for closure in June 2002. New reorganized schools will open in those sites.

PARENT INVOLVEMENT

- In Fiscal 2001 the Board's Office of Parent Advocacy (OPAE) continued its commitment to assist parents in being involved and informed in supporting student academic achievement.
 - In November 2000 OPAE developed a diagnostic tool, "Building Capacity for Parent Involvement," for use by new parent liaisons to assess and improve their parent-involvement programs. In September 2001 the document will be available on the Board's Web site, which can be accessed through NYC.GOV, the City's official Web site. During Fiscal 2002 the document will be used to provide technical assistance to all of the Board's parent liaisons, parent council presidents and parent associations.
 - In Spring 2001 OPAE distributed the first edition of the "New York Parent News," a quarterly newspaper for parents highlighting new initiatives at the Board. The premiere edition featured articles on the Campaign for Fiscal Equity, Summer School 2001, the new Special Education Continuum, and school reform for English Language Learners. The second edition will be released in September 2001 and feature back-to-school articles. The newspaper is available on the Board's Web site, which can be accessed through NYC.GOV.
 - In August 2001 OPAE created a comprehensive database to log parent complaints received through its office. The database enables OPAE staff to determine the responsiveness of central offices and community school districts to referrals.

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- In June 2000 the Board undertook a survey of School Leadership Team (SLT) involvement in educational planning and development of schools' Comprehensive Educational Plan (CEP). 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. Ninety-one percent of the schools responded to the survey.
 - A total of 99 percent of the responding schools had teams in place.
 - In the area of educational planning, 93 percent of the teams stated that they are familiar with the school goals; 92 percent have reviewed school data; and 90 percent have worked on developing their school's CEP.
 - Of the schools with SLTs responding to the survey, 96 percent have bylaws and 91 percent have spending plans for their allocations. In addition, 68.6 percent have teams with equal numbers of parents and staff. The average team size was 13.4 members.
 - A total of 84 percent of the SLTs responding to the survey have received professional development from their districts.
 - In Fiscal 2002 SLTs will continue to work on developing school CEPs and align them to their school's budget. In addition, based on the results of the survey, during the 2001-2002 school year the Board will offer professional development to the teams in the areas of computer training, parent involvement, assessing program effectiveness, and using data for planning and aligning the school's budget with CEP.
- In Summer 1999 the Board contracted with a large citywide nonprofit organization to provide comprehensive educational and professional development for parents. In January 2001 a coalition of five nonprofit organizations collaborated on an interim program report on the status of this initiative. The report highlighted a multimedia public awareness campaign started in Spring 2001, which included electronic bulletin boards, an outreach campaign and the opening of a parent resource center.
- Since May 2000 OPAE and the Chancellor have hosted, "A Conversation with the Chancellor" forums in every borough. These two-hour forums, in which the Chancellor and Board staff meet directly with parents and the community at large to respond to concerns and inquiries, were held 11 times, at least twice in every borough throughout the school year. The forums were attended by over 2,500 parents and were televised locally on WNYE.
- In Fiscal 2001 the Board began working with a consultant to develop a Parent Satisfaction Survey to identify current levels of parent satisfaction as well as parental priorities and concerns in actionable areas. In May 2001 the Board distributed the survey, available in a variety of languages, including English, Spanish, Cantonese, Russian and Haitian Creole, to 125,000 parents. Preliminary data indicates that the response rate was 18 percent; approximately 22,500 parents completed and returned the surveys. The Board is reviewing the data and will discuss the results of the parent survey in the Preliminary Fiscal 2002 Mayor's Management Report.
- In June 2001 the Board implemented an automated telephone-messaging system to increase communications between the Board and parents. The system was first used in June 2001 for delivering approximately 325,000 summer school messages in 11 different languages to parents informing them that their children might be required to attend summer school. A second round of calls was made in July 2001 to more than 100,000 parents requesting their assistance in improving their children's attendance in summer school. It is anticipated that the system will be used throughout the 2001-2002 school year to inform parents about parent-teacher conferences, and to meet other parent outreach needs.

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BILINGUAL/ENGLISH AS A SECOND LANGUAGE INSTRUCTION

- In December 2000 the Mayor's Task Force on Bilingual Education released its recommendations for immediate reform. The Task Force analyzed the bilingual and English as a Second Language (ESL) services provided by the Board and developed strategies to enhance instruction to English Language Learners (ELLs).
 - The Task Force recommended meeting and surpassing the State presumptive standard of three years for exiting bilingual and ESL classes; creating an additional program, the Accelerated Academic English Language Acquisition model, which aims to immediately place students in English-speaking classrooms when they first enter school; establishing a summer school English language acquisition program; ensuring informed parental choice of available programs; improving the quality of instruction through teacher recruitment and professional development; revising the entry and exit criteria for bilingual and ESL programs; reviewing the status of ELLs in special education to ensure they are not unnecessarily referred; and continuously measuring student achievement.
- In February 2001 the Central Board adopted the Chancellor's recommendations on the Education of ELLs in accordance with the recommendations of the Task Force. A February to September 2001 timeline was implemented to assist superintendents in organizing and documenting the activities required to execute the recommendations.
 - In May 2001 the Board began development of an Accelerated Academic English Language Model (AAELM); sometimes called "High Intensity English." AAELM 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 will offer additional instructional support through extended school days, summer school, Saturday classes, the use of online technology for students, and ongoing professional development for teachers. The accelerated program will specifically target ELLs in grades 4 through 9 with the greatest language needs, that is, students at the beginning or intermediate levels of English language proficiency, as determined by the results of the Language Assessment Battery (LAB). The new model will be piloted in up to 40 schools serving a planned level of 800 students beginning in September 2001.
 - Starting in the 2001-2002 school year parents will receive orientations describing available bilingual and ESL programs and models to assist them in making a program choice among those available in the district. These programs and models include the transitional bilingual program, the dual-language bilingual program, the freestanding ESL program and AAELM. Students who are in the bilingual program are taught in their native language and are provided ESL instruction; their use of English through ESL increases slowly over time as students gain proficiency in the language. Students who are in the freestanding ESL program are taught in English; classes often include speakers of different native languages.
 - In Fall 2001 the Board will begin the parent choice initiative for ELLs new to the system. Prior to placement of newly identified ELLs, parents will be given a letter from the Chancellor providing them with an overview of program choices and explaining their options. In addition, parents will be advised to examine carefully the program information provided to them by the school and to discuss their concerns and options with school staff. Districts will also be held accountable for providing clear, detailed information on all available programs and parent options. Program descriptions will include the philosophy, the goal, the instructional methods, any special services and any target populations within each program. The descriptions will also include the exit rate, academic performance during the program and academic performance after exiting the program.

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- The Board has established a goal to develop English proficiency in three years for all ELL students. Pending further discussions, including legal implications, all districts and schools will restructure programs so that students will then exit bilingual and ESL programs, with the exception of those in dual-language programs, within the three year goal. At the end of the three years, parents of ELLs who have not reached the program exit criterion will be given the opportunity to decide whether to continue their children in a bilingual program or to place them in a mainstream English classroom, an option not available to them in the first three years.
- In Fiscal 2002 the Board's Bilingual Advisory Council, established in February 2001, will address the practice of changing students' educational programs from year to year with the goal of either 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.
- During the 2001-2002 school year, the Board's Division of Assessment and Accountability (DAA) will develop a study to further analyze the disproportionately high percentage of ELLs served in special education classes. District superintendents are responsible for ensuring that ELLs are not misidentified as students with disabilities because of their limited English proficiency. In addition, District Comprehensive Education Plans (DCEP) must include objectives and strategies for improving instructional and related services for ELLs as well as address any disproportionately high ELL referrals to special education or placements in more restrictive settings.
- During the 2001-2002 school year, funds were allocated to implement an ESL summer program in Summer 2001 for approximately 10,000 ELLs who were served in bilingual or ESL programs for more than three years and who did not meet the English language progress standard. Actual enrollment for this program will be reported in the Preliminary Fiscal 2002 Mayor's Management Report once the final evaluation of the summer program is completed.
- The Language Assessment Battery (LAB) test will be replaced by two exams that are under development: the revised LAB test and the New York State Education Spanish Language Assessment Test (NYSESLAT). These exams are designed to be used in tandem.
 - In collaboration with SED, 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. It will be given to all newly admitted students in kindergarten to grade 12 beginning September 2002.
 - Also in collaboration with SED, the Board is developing the NYSESLAT for use to determine students' progress in learning English and to assess whether they have met program exit criteria. The Board plans to implement this test in Spring 2003.
- In Fiscal 2001 the Board pilot-tested a performance-based assessment in Spanish, called El Sistema de Observación de la Lecto-Escritura (El Sol), to measure the language arts progress of Spanish-speaking ELLs in the early grades. The assessment is being implemented citywide during the 2001-2002 school year. 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. During the 2001-2002 school year the Board will provide training to Spanish bilingual teachers and school administrators in the use of the El Sol. Both ECLAS and El Sol will be administered individually, twice a year, to students in kindergarten to grade 3.

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- In Fiscal 2001 the Board made the recruitment, training and retention of bilingual and ESL teachers a priority of the new Center for Recruitment and Professional Development.

SPECIAL EDUCATION

- In June 2000 the Board adopted a new continuum of special education services entitled, "Special Education Services as Part of a Unified Service Delivery System." The continuum places emphasis on the creation and expansion of intervention and prevention activities designed to maintain students at risk of referral to special education in the general education classroom. Its implementation represents the final phase of restructuring special education services that began with the Mayor's Task Force on Special Education Reform in 1998. The new continuum takes effect in the 2001-2002 school year, after training staff members involved in the new initiative and completing the review of each student's Individualized Education Program (IEP). By June 2002 all students with disabilities will have a program recommendation consistent with the new continuum. The Board's Office of Monitoring and School Improvement will oversee districts to ensure all students' IEPs are reviewed prior to June 2002.
- During the 2000-2001 school year there were 167,787 students receiving special education services, compared to 168,172 students during the 1999-2000 school year. The 2000-2001 school year marks the first time there has been a reduction in special education enrollment since Fiscal 1986.
- With the implementation of the new continuum, in Fiscal 2001 the Board experienced a significant decrease in initial referrals to special education. The number of initial referrals decreased by 14 percent from 34,222 referrals in Fiscal 2000 to 29,434 referrals in Fiscal 2001, and decreased by 24 percent from 38,785 in Fiscal 1998, prior to the implementation of the Task Force's recommendations.
 - During the 2000-2001 school year 5,511 students were decertified from special education to general education, compared to 5,190 students in the 1999-2000 school year and 4,667 during the 1997-1998 school year.
 - During the 2000-2001 school year 70,415 students' placements were in a less restrictive environment, compared to 69,362 students in the 1999-2000 school year and approximately 65,300 during the 1997-1998 school year.

OPERATIONS

Health Initiatives

- In April 2000 the Mayor created HealthStat, a comprehensive citywide initiative to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, over 20 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 150,000 individuals have been enrolled in public health insurance programs.

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- The Mayor’s School Incentive Program is mobilizing schools and communities throughout the City to help provide children with health insurance and proper health care. The program rewards schools for enrolling eligible children in Child Health Plus, the health insurance program for children. Schools can earn up to \$50,000, depending on the number of children they enroll. In June 2001 the Mayor awarded three schools with grants: PS 130 in Chinatown received \$25,000; PS 86 in Jamaica, Queens received \$25,000; and PS 29 in College Point, Queens received \$4,000. Schools are free to use these grants for any educational purpose. Many more schools are expected to qualify for these awards before the end of the calendar year.
- All families are being asked whether their children have health insurance as a regular part of school operations. A children’s health insurance status question was added to free school lunch applications and to the computerized school registration system. Starting September 2001, schools will be collecting this information through the emergency home contact cards, which schools must have on file for all students.
- HealthStat information is being distributed to parents and students on a regular basis. Enrollment tool kits, posters and referral forms have been distributed to all schools. An informational mailing went to parents of all students. In addition, parents are alerted to enrollment opportunities through an automated phone system. All parents indicating interest in Child Health Plus are referred to community-based enrollers convenient to them.
- The Board has provided HealthStat training to family workers, social workers, early education specialists and district health coordinators. In addition, presentations on HealthStat were made to groups such as the Chancellor’s Parent Advisory Council.
- In June 2000 the Chancellor established a School Health Advisory Commission and in November 2000 created the position of Chief Physician for School Health. The Chief Physician will release the Commission’s report by a revised date of Winter 2001-2002.
 - Using preliminary recommendations from the Advisory Commission and the Chief Physician, the Board has begun to assess the management and resources for school health programs such as asthma, vision and hearing, mental health, nutrition, physical fitness, health promotion and education, and the computerized information systems to support school health.
- During the 2000-2001 school year there were approximately 115 School-Based Health Centers (SBHCs) affiliated with 37 State-licensed hospitals and community health centers. The clinics provide students with various health, dental and mental health services; 37 SBHCs also provide dental services and 75 SBHCs provide mental health services. In most schools the majority of students are registered for the clinic; unregistered students are served by SBHC staff for first aid, emergencies and mandated screenings.

Teacher Recruitment Initiatives

- At the end of the 2000-2001 school year the Board had 79,115 teachers, of which 84 percent were certified, compared to 77,020 at the end of the 1999-2000 school year, of which 85 percent were certified. This includes 9,092 new teachers who were hired by the Board for the 2000-2001 school year.
- In September 2000 the Board created the Center for Recruitment and Professional Development (CRPD). The Center is responsible for the recruitment and hiring of new teachers. In addition, it is responsible for professional development for principals and teachers, particularly newly hired teachers.

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- During Fiscal 2002 the Board plans to hire recruitment firms to assist in its efforts to hire teachers in math, science and special education. For the 2001-2002 school year the Board has offered positions to approximately 900 certified teachers from Canada, Austria, Italy, Spain and Caribbean countries, such as Trinidad, Jamaica and Barbados. As of September 2001 the Board has hired approximately 700 international teachers and an additional 500 international teachers have been hired for the 2002-2003 school year.
- In Fiscal 2001 the Board expanded its media campaign for recruiting teachers by initiating a multimedia advertising effort. The Board developed videos, CD-ROMs and an interactive Web site. Approximately 35,250 responses were received through the media outreach, which included 1,800 inquiries. The expanded recruitment media campaign resulted in 7,000 new teachers hired for September 2001.
- During the 2000-2001 school year, 4,357 new uncertified teachers were counseled by approximately 2,208 mentors. The mentors were comprised of approximately 900 retired teachers and 100 full-time teachers. In anticipation of the large number of new teachers hired for the 2001-2002 school year, letters and applications were sent to approximately 2,000 recent retirees and the Board anticipates approximately 7,000 retirees to become mentors for the Fall 2002 program.
- In response to the State Education Department and Regents regulations requiring all teachers to be certified by September 2003, the Board has initiated several strategies. During the 2001-2002 school year the Board will establish a Call Center to screen, refer and respond to telephone inquiries. The Board will also organize recruitment staff on a borough basis to gain greater efficiency and to improve knowledge of individual districts and schools; hire additional recruiters to attend local and out-of-town job fairs; train recruiters on presentation and communication skills, curricula and instructional programs as well as professional development to support new teachers; and reorganize the Office of Applicant Services.
- In Fiscal 2000 the Board introduced the NYC Teaching Fellows, a collaborative alternative certification program with CUNY. During the 2000-2001 school year, the pilot program brought 394 new teachers to the public school system. By the end of the school year, 349 Fellows were still teaching in the system.
 - Building on the success of the pilot program during the 2000-2001 school year, the Board implemented target advertising and marketing strategies to attract college graduates with a grade point average of 3.0 and a record of high achievement; career-changers and young professionals; bilingual and ethnically diverse candidates; and members of the school community who were actively involved in the schools. During the 2000-2001 school year CRPD recruited approximately 1,140 new Fellows for the Fall 2001 term.
 - For the 2001-2002 school year an expanded consortium of six CUNY institutions and seven private colleges and universities will participate in the Fellows program. 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 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.

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Student Support

- In collaboration with the Mayor, during Fiscal 2001 the Truancy Reduction Alliance to Contact Kids (TRACK) program expanded throughout the City for a total of 11 TRACK centers: seven in Brooklyn, two in Staten Island, and one in Queens and Manhattan. In late September 2001, one center will open in the Bronx. TRACK is a collaborative effort with the District Attorney's offices, the New York City Police Department (NYPD), and the Board to reduce and prevent truancy. It was initiated by the Brooklyn District Attorney's Office in April 1998 and has been in operation in Brooklyn since that time. The Board anticipates the number of TRACK centers to increase by at least one site each in Queens, Manhattan and the Bronx during the 2001-2002 school year.
- In January 2001 the Mayor committed to assist the Board in creating three new Second Opportunity Schools (SOS). The schools, to be located in Manhattan, Brooklyn and Queens, opened in September 2001 as planned and are in addition to the SOS program operating in the Bronx. In collaboration with three community-based organizations, the Board will operate the SOS program. The program provides 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.
- Beginning Fiscal 2002 the Board will introduce In-School Suspension Centers to the school system. In conjunction with the Mayor, the Board is designating 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. The centers will provide support services to help students develop skills in interpersonal relationships and in understanding how to appropriately handle situations, thereby preventing future suspensions. Students will be provided with schoolwork assignments from their regular classroom teachers to ensure academic continuity.
- During Fiscal 2001 the Court Involved Youth Program was developed as an interagency initiative involving the Department of Juvenile Justice, the Department of Probation, the Office of Children's Services, the Administration for Children's Services and the judiciary. In September 2001 the Board opened a pilot site in Manhattan. The goal of the program is to create a center to address school placement support issues of students returning from correctional detention or foster care. The center will facilitate the school placement of this high-risk population by identifying appropriate school settings and providing counseling, support, referral and follow-up services to ensure continued school attendance and attainment of either a high school diploma or its equivalent.

Safety

- During Fiscal 2001, 995 SSAs graduated from the New York City Police Department's Police Academy. In addition, NYPD hired 350 more SSAs. SSAs ensure the safety of students, faculty and visitors in school buildings by patrolling assigned areas, operating scanning equipment, confiscating contraband and checking in visitors. As of August 2001 there were 3,876 active School Safety Agents.
- During the 2000-2001 school year the Board designed and implemented an online School Safety Plan system allowing school administrators to electronically enter information to create a customized School Safety Plan. Once a School Safety Plan is completed, it is immediately available to the superintendent to review and approve online, and it is ultimately forwarded electronically to NYPD for final approval. 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. As a result of this initiative, 100 percent of the schools in the system now have Safety Plans approved by their superintendents. Plans initiated in the 2000-2001 school year will be edited during September 2001 for final NYPD approval by November 2001.

BOARD OF EDUCATION

- To further enhance its Emergency Information Center (EIC), in Fall 2001 the Board plans to create one centralized system for the data collection of all incidents, injuries and accidents from the City's public schools system. The Online Occurrence Reporting System will enable school-based personnel to report unusual occurrences through an automated system that will be available to provide data and information to Board officials and outside monitoring and oversight agencies. The Board piloted a modified version of the online system during a Summer 2001 program. This will be followed by a school level phase-in program during the 2001-2002 school year.
 - In Fiscal 2000 the Board created EIC to receive early notification about noteworthy incidents in and around schools. This notification is an immediate telephone call from a school or district-based administrator to a trained receptionist at EIC who classifies the incident, and then forwards a summary to the Chancellor's Office, selected senior staff and members of the Central Board for their necessary follow-up and information.

CUSTOMER SERVICE

- In Fiscal 2000 the Board worked with consultants to develop and implement a Field Satisfaction Survey for those departments and divisions dealing with the Board's central operations. The purpose of the survey was to determine if these central departments and divisions are delivering services in a professional and effective manner. The study recommended more training to increase courtesy and professionalism, along with a new tracking system for all requests and expanded use of online services to answer questions. The study also suggested a "one-stop shopping" phone number that would allow the Board to monitor requests for information and get questions answered faster. The Board implemented these recommendations during the 2000-2001 school year. In addition, the Chancellor has asked community school districts superintendents to rate the central offices' responsiveness as an accountability mechanism for the 2001-2002 school year.

TECHNOLOGY

- In January 2001 the Chancellor announced plans to connect all 1,196 public schools to the Internet by the end of June 2001, and provide Internet access to every public school classroom by June 2003, through Project Connect. Project Connect, which began in Fall 1998, had an initial goal of connecting five to 10 classrooms, a library and an administrative area in each school to the Board's Wide Area Network for monitored Internet access.
 - During Fiscal 2001 the Board's Division of Instructional and Information Technology (DIIT) connected 21,065 classrooms to the Internet for a total of 29,918 classrooms connected by the end of June 2001. This represents 62 percent of the revised 48,079 public school classrooms. The Board plans to wire an additional 11,323 classrooms by the end of June 2002 and the remaining 6,838 classrooms by Fiscal 2003.
 - All 1,196 schools and 78 annexes and off-sites were connected to the Internet at the end of June 2001. This represents an additional 46 new schools and 65 school annexes and off-sites from Fiscal 2000.
 - During the 2000-2001 school year DIIT brought full voice/data infrastructure to 132 schools, 22 more than planned. The Board expects to expand full voice/data infrastructure by wiring an additional 18,000 classrooms by June 2003.
- The Board's Office of Instructional Technology (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. The Board plans to have the entire document by January 2003, with sections to be published as they are completed, beginning in Fiscal 2002.

BOARD OF EDUCATION

- In January 2001 the Board released a Request For Proposals (RFP), seeking partners to design, implement and maintain an Internet portal. This initiative is supported by an overarching goal that seeks to integrate state-of-the-art technology into the teaching and learning experience of every member of the Board's educational community. This portal would include the provision of e-mail accounts and Internet service for more than 2.2 million students, parents, staff and affiliates within the Board community. The portal is also intended to increase the amount of educational content available to students from online sources, improve communication among students, parents and teachers, and enable distance learning and e-commerce opportunities for parents. The RFP requested plans for deploying Internet or computing devices for free or at substantially reduced cost.
 - During Spring 2001 the Board received 36 responses of which 11 proposals were deemed to meet the minimum qualifications set forth in the RFP, and are being evaluated. During Fiscal 2002 the Board plans to award the contract to begin working on the planning and analysis stage.
- During Fiscal 2001 the Board created a Web site to provide training and ongoing professional development for teachers. The site is linked to the Board's existing Web site, which can be accessed through NYC.GOV. During the 2000-2001 school year the Board's Office of Instructional Technology (OIT) Web site underwent enrichment and expansion. The Web site now features numerous instructional resources for teachers, including technology standards for students, best practices in the use of instructional technology, online instructional projects, resource guides for using technology to support instruction in Language Arts, science, and mathematics, as well as professional development items such as tutorials in using the Internet for lesson planning, creating Web pages and using digital video for instruction.
 - In Fiscal 2001 the Board selected a service provider to help establish the professional development portal as a result of an RFP released in early Fiscal 2000. In Fall 2001 a demonstration site will be launched, with a final implementation anticipated for Spring 2002.
- Since 1996 BOE has been creating "Galaxy" to enable schools to develop and manage their own budgets in conjunction with their community school districts and to meet the Chancellor's Performance Driven Budgeting (PDB) directive. "Galaxy" is a multifaceted front-end computer system that enables school and community school district staff to create and manage their budgets online. With the use of Galaxy, community school districts now 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. In Fiscal 2000 Galaxy was successfully piloted in five community school districts that were selected based upon their participation in the PDB initiative. In Fiscal 2002 a total of 21 districts will run it.
- In August 2001 the Board released a redesigned home page on its Web site as part of its reorganization efforts to move from being system-centered to school-centered. New links on the home page are listed under headings entitled Our Schools' Students, Teachers, Family and Community, Staff and Administration. Previous links on the home page were listed under headings entitled District and School Web Pages, School Community, Teaching and Learning, Central Offices, News, BOE Information and Web Pages, Forms and Help.

BOARD OF EDUCATION

SCHOOL FACILITIES

- Since Spring 2000 the Board has worked closely with a nonprofit corporation to establish priorities and develop the initial list of seven field facilities for renovation as part of the Take the Field program initiative. The Mayor allocated \$9 million in Fiscal 2001 for the Board to use as matching funds with the corporation. The nonprofit corporation completed all seven field facilities during the 2000-2001 school year: George Washington High School and Seward Park High School in Manhattan, Port Richmond High School in Staten Island, Technical High School in Brooklyn, William C. Bryant High School and Far Rockaway High School in Queens, and South Bronx High School in the Bronx.
 - In Fiscal 2002, seven additional Take the Field projects are in design. These include renovations at 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. Six other high school field facilities are currently being surveyed for possible inclusion in the Take the Field Fiscal 2002 program. The current estimate for the Fiscal 2002 program is \$36 million, including \$27.5 million in City funding. 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 Mayor's Office and a private nonprofit foundation, the Board is developing a program to renovate elementary school libraries and staff them with certified librarians. In October 2000, 10 schools were identified, covering all five boroughs. Two school libraries will be completed by September 2001. Work on eight school libraries is scheduled to begin in mid-September 2001. The Board expects to complete these eight school libraries by January 2002.
 - In addition, in January 2001 the Mayor committed \$31.5 million to create classroom libraries, of 300 books each, in all 21,000 kindergarten through grade 8 classrooms. All kindergarten to grade 3 classrooms will have books for their libraries by September 2001. All grade 4 to grade 8 classrooms will have books for their libraries by December 2001.
- In July 2001 the Board hired a consulting firm to assist in amending its Fiscal 2000-2004 \$7.1 billion Capital Plan process. The Plan had incurred increased construction estimates, costs and project schedule changes. The Board expects to amend the Plan during Fiscal 2002. In developing the amendment, construction projects will be prioritized by each overcrowded district's capacity needs and renovation projects will be prioritized by their severity. Project identification and prioritization will be aligned with the Board's educational priorities.
 - In addition, 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.
- In Fiscal 2000 the Board engaged a consultant to assist in the development of its capital project tracking system to enable the Board to interface with the planned capital planning systems of the School Construction Authority (SCA), Department of Design and Construction and of the New York Power Authority. In conjunction with SCA's initiative, the Board completed the identification of initial operational and data interface requirements for its capital tracking systems and participated in the design and development of SCA's Enterprise Resource Planning (ERP) system. Through this new system the Board is able to initiate and approve capital projects electronically. The Board will be able to query project data during Fiscal 2002. By Spring 2002 the capital planning systems used by the Board will be able to receive data from the agencies to support enhanced capital tracking and financial reporting.

BOARD OF EDUCATION

- The Board received an additional \$33.3 million for Fiscal 2001 from the State Legislature to continue the District Maintenance Program. These funds allow school-based teams to select from a menu of repair options including interior repairs, electrical upgrades, site improvements and plumbing work. Under this program, contractors completed 1,801 work request tasks in Fiscal 2001. In addition, the Board's Skilled Trades completed 2,360 work request tasks during the same period. Fiscal 2002 funds for the program are contingent upon future State funding.
 - In addition, \$5 million in federal community funds was provided to the Board and spent in Fiscal 2001 to correct and remove hazardous and nonhazardous building violations. The work included correction of kitchen violations, leaking roofs, windows, exterior building repairs and cement work. During Fiscal 2001, 4,002 violations were corrected.
 - In Fiscal 2002 the Board will receive an additional \$5 million in federal community funds for violation corrections. Also, \$7 million was provided to school facilities by the Board in Fiscal 2001 for emergency stabilization of schools and to make repairs to prevent exterior building deterioration.
- In February 2001 the school Preventive Maintenance (PM) program was implemented at Intermediate School 5 in Queens. This pilot site has a fully functional PM database system that issues, tracks and records all maintenance work orders and associated labor costs for each piece of critical building equipment and activity. Routine maintenance performed by school custodial staff is tracked daily and PM work orders issued for skilled trade or contract work are entered into the Board's PassPort database. In Fiscal 2002 the Board will compare all maintenance repairs performed at IS 5 with similar schools without preventive maintenance programs to determine PM's costs and benefits.
- In Summer 2001 the Board created an integrated management information system to monitor the leasing of buildings and sites. The database contains all terms and conditions, such as amount of rent and length of contract, for all sites.

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Board's expenditures were \$11.3 billion, the same as planned; headcount was 138,531. The Board's Fiscal 2000 expenditures were \$10.8 billion, and headcount was 136,885.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$11.5 billion.

BOARD OF EDUCATION

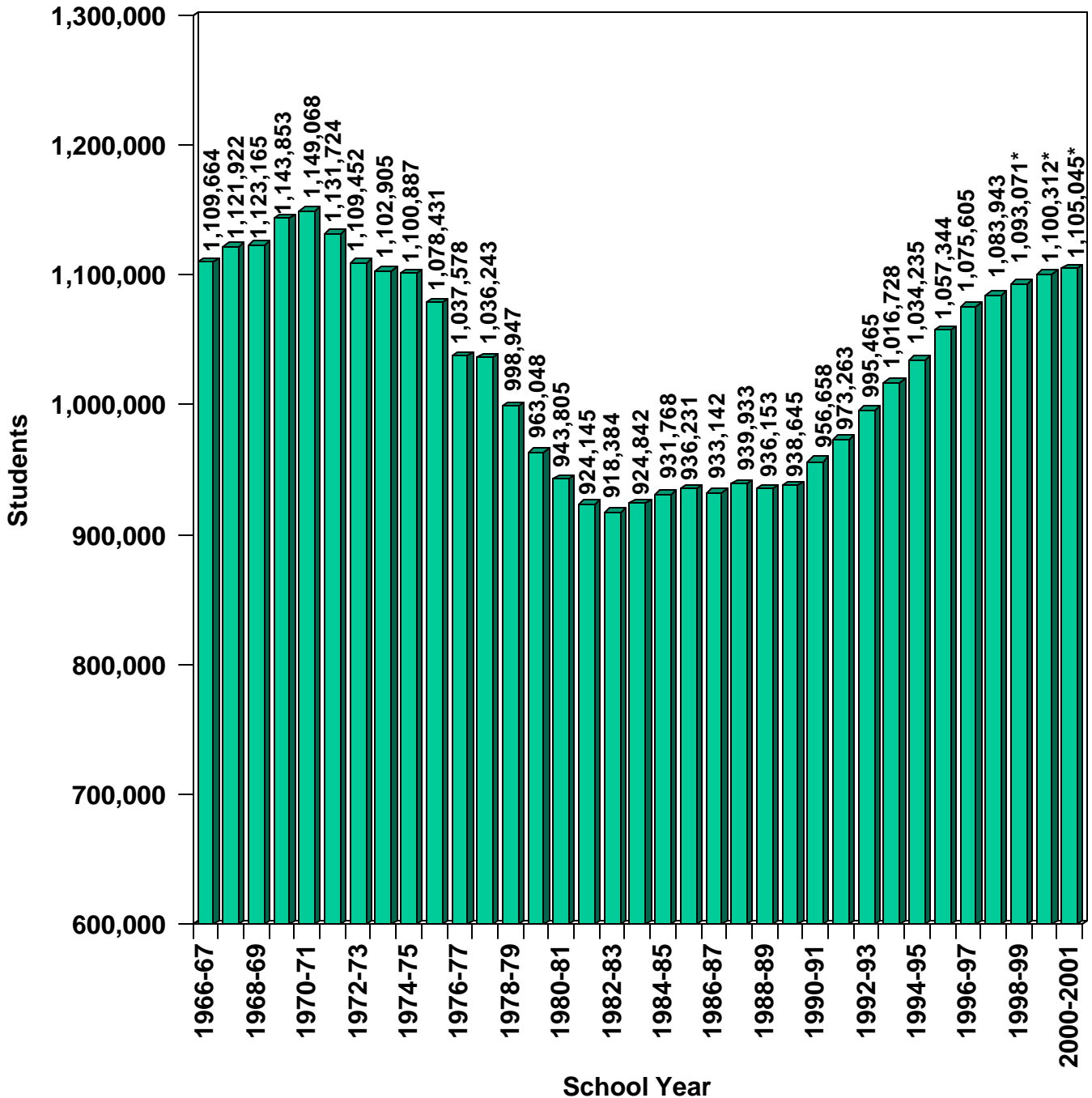
LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 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
General Education and Resource Room Pupils At or Above Grade Level in Reading – All Levels	47.3%	43.6%	48.5% (a)	NA	NA
General Education and Resource Room Pupils Meeting and Exceeding Standards in Mathematics – All Levels (b)	NI	NI	33.7%	33.7%	by 1/02
General Education and Resource Room Pupils Meeting and Exceeding Standards in English Language Arts – All Levels (b)	NI	NI	35.1%	39.8%	by 1/02
Attendance	87.1%	87.9%	88%	88.1%	88%
Students Achieving ELL Progress Standards Elementary Schools – Language Assessment Battery Test (English LAB)	59.2%	58.9%	60.5%	63%	65.5%
Students Achieving ELL Progress Standards Elementary Schools – Native Language Reading (Spanish)	59.2%	60.4%	61.1%	61.8%	65.2%
Students Achieving ELL Progress Standards Middle Schools – Language Assessment Battery Test (English LAB)	54.1%	48.4%	54.4%	51.4%	54.5%
Students Achieving ELL Progress Standards Middle Schools – Native Language Reading (Spanish)	53.2%	53.3%	53.8%	54%	56%

- (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.
- (b) The name of this indicator was renamed from “General Education and Resource Room Pupils Achieving Basic Proficiency or Above in English” or “General Education and Resource Room Pupils Achieving Basic Proficiency or Above in Mathematics” to “General Education and Resource Room Pupils Meeting and Exceeding Standards in English Language Arts” or “General Education and Resource Room Pupils Meeting and Exceeding Standards in Mathematics.”

Board of Education

School Enrollment 1966-2001



No comparable data is available prior to the 1966-67 school year.

*Figures include 35,422 children in Universal Pre-Kindergarten for the 2000-2001 school year, 24,948 children in Universal Pre-Kindergarten for the 1999-2000 school year and approximately 13,500 children in this program for the 1998-99 school year.

CITY UNIVERSITY OF NEW YORK

The City University of New York consists of 10 senior colleges, six community colleges, one technical college, a graduate center and a law school. 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	FY 01 Actual	FY 02 Plan
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 1049 in Fall 2000 and 1059 in Fall 2001, excluding students admitted to the SEEK program.	1055	1059
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 84.8 in Fall 2000 and 85.3 in Fall 2001, excluding students admitted to the SEEK program.	84.3	85.3
Assess the validity of CUNY/American College Testing reading and writing skills assessment tests by correlating test scores with course work performance.		
Establish a research program to evaluate current minimum passing scores on CUNY/American College Testing reading and writing tests.		

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	FY 01 Actual	FY 02 Plan
Enroll 200 participants in the Teaching Opportunity Program.	100	200
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 2000-2001 graduates, and to an average of 84% for 2001-2002 graduates.		
Expand the Teaching Fellows program to 1,000 new Fellows and an additional 1,000 employed uncertified teachers in Master's programs by Summer 2001. Maintain the program at 1,200 new Fellows by Summer 2002.		

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Goal: Attract and admit students who are prepared to do college-level work.

Objective	FY 01 Actual	FY 02 Plan
Enroll a revised 25,485 first-time freshmen in Fall 2000 and 25,835 freshmen in Fall 2001.	24,967	25,835
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 a revised number of three pilot pre-college remedial programs to provide year-round instruction in basic skills during the 2001-2002 academic year.		
Establish the Honors College University Scholars Program during the 2000-2001 academic year and admit the first class of 200 freshmen in Fall 2001.		

Goal: Improve the academic performance of CUNY's undergraduates.

Objective
Assess the validity of the CUNY Proficiency Examination and the appropriateness of the passing score.

Goal: Promote systemwide and campus accountability through performance assessment, performance-based budgeting and increased access to student information.

Objective
Refine the indicators used to measure the progress of each CUNY college toward University goals.
Evaluate the progress of all CUNY colleges toward common objectives during both the 2000-2001 and 2001-2002 academic years.
Create campus access to a systemwide student data warehouse by a revised date of the end of the 2000-2001 academic year; add admissions and skills data to a systemwide student data warehouse; and continue training central and college administration during Fiscal 2002.

HIGHLIGHTS AND ACHIEVEMENTS

- CUNY is the largest municipal university system in the nation and ranks third in the number of students among the nation's public university systems. In Fall 2000 enrollment was 195,403, with 132,308 students in the senior colleges, which include graduate schools and professional programs, and 63,095 students in the community colleges. During the 1999-2000 academic year CUNY conferred 28,079 degrees ranging from certificates to doctorates.
- During Fiscal 2001 CUNY continued to implement reforms identified by the Mayor's Advisory Task Force on the City University of New York in its comprehensive report, "The City University of New York: An Institution Adrift," issued in June 1999. The Task Force recommended that CUNY implement clear objective standards for college admissions, remediation and graduation; redesign the delivery of remediation; establish systematic, academic and financial performance standards with incentives; develop an integrated universitywide management information system; and forge new partnerships with the Board of Education (BOE).

CITY UNIVERSITY OF NEW YORK

- CUNY continued to accomplish several key objectives during the 2000-2001 academic year and in preparation for the 2001-2002 academic year. CUNY adopted new reading and writing assessment tests based on nationally accepted standards to measure readiness for college-level work and assess remedial needs. The University implemented the CUNY Proficiency Exam, designed to assess readiness for study in the junior and senior year of baccalaureate programs. Beginning in Fall 2001 CUNY will have completed its phase out of remedial instruction in its baccalaureate programs.

TRANSFORMING THE UNIVERSITY

Redesigning Remedial Education

- During the 2000-2001 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 84.5 percent. This marked an increase from 73 percent in Fall 1999 and an increase from 63.6 percent in Fall 1998. This improvement can be attributed to CUNY's collaborative work with BOE on programs such as College Now and the intensified basic skills programs for pre-freshmen students, and the use of an index to identify students who are most capable of succeeding in college-level study.
- In Fall 2001 CUNY will complete the phase-in of its new remedial education policy in the baccalaureate programs at all of its colleges by phasing out remediation at City, Lehman, Medgar Evers and York colleges. 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 will not be 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.
- Students who require basic skill instruction have several options. Once remedial course work has been completed successfully, the student can transfer to baccalaureate-level study.
 - The Prelude to Success program, for students whose test results indicate they require one semester of remedial instruction, was in place at four colleges in Fall 2000. By the end of the Fall 2000 program 66 percent of the revised 228 participating students were proficient in reading, writing and math. In Fall 2001 the program will be expanded to three additional colleges: City, Lehman and York. The program provides basic skills taught by community college faculty at senior colleges. The program expanded to four senior colleges in Fiscal 2001: Baruch, Brooklyn, Hunter and Queens.
 - The University Summer Immersion Program (USIP) provides intensive instruction in reading, writing, math and ESL. Preliminary estimates of enrollment for Summer 2001 indicate an enrollment of approximately 17,600 students, compared to a revised figure of 15,548 students in Summer 2000. 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. Results of the Summer 2001 program will be available in the Preliminary Fiscal 2002 Mayor's Management Report.
 - The CUNY Language Immersion Program (CLIP) served 2,829 students at eight CUNY colleges during the 2000-2001 academic year. The Program offers intensive noncredit English language instruction to ESL students. Results of CLIP will be available in the Preliminary Fiscal 2002 Mayor's Management Report. CUNY plans to continue the program's policy of accommodating all students who wish to participate in CLIP.

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- In Spring 2001, as a result of a Request For Proposals (RFP) issued in October 2000, CUNY selected a revised number of three pilot operators to provide general instruction in reading, writing, math and ESL. Two programs will begin during the 2001-2002 academic year at City and York Colleges. The third program will be offered jointly by Lehman College and Bronx Community College during the 2001-2002 academic year. These Bridge to College programs will serve English proficient applicants to CUNY who fail two or more of the freshman assessment examinations, as well as applicants referred to the program by employers, unions or community-based organizations.
- In December 2000 CUNY administered the American College Testing's (ACT's) ASSET Reading Skills Test to approximately 6,500 students who were enrolled in remedial reading courses. In addition, approximately 9,700 remedial writing students took ACT's Essay Test. The pass rate on the reading test was 60 percent and the pass rate on the writing test was 47 percent.
 - In Spring 2001 CUNY began to run a pilot to assess the appropriateness of the tentatively set minimum passing scores. These passing scores are used to determine whether new students must take remedial or ESL course work and whether students in remediation or ESL are ready for regular courses. The result of this assessment will be available in the Preliminary Fiscal 2002 Mayor's Management Report.
 - Beginning in Fall 2001 CUNY will administer computer adaptive versions of the ACT reading and writing tests to enhance the security of the testing process and reduce the amount of time required by students for testing. During Fiscal 2002 CUNY plans to install computer labs dedicated to testing in all 17 undergraduate colleges.
 - In Fall 2000 CUNY redesigned its data systems to allow for test scheduling, processing of the new tests, transmission of the results, and storage of the results in a central database as well as in the student information systems of each CUNY college. In Fiscal 2002 CUNY plans to continue redesigning its data systems in order to accommodate the new computer adaptive tests.

Admissions and Enrollment Management

- In Fall 2000 CUNY enrolled 24,967 first-time freshmen, an increase of 3.8 percent from 24,042 in Fall 1999.
- CUNY's recruitment strategies for the 2000-2001 academic year included increased and more focused direct mail to local high school juniors and seniors, students who have taken the PSAT, and prospective students who have requested information from the admissions office. CUNY also advertised frequently in print and radio, and more aggressively recruited transfer students and adult employees of local corporations and City agencies.
 - During Fall 2000 "Study with the Best," a new 16-page publication about opportunities at CUNY, was included as a supplement in the Sunday Daily News and New York Times; in Winter 2000-2001 a foreign language version was circulated in Spanish, French, Chinese, Korean and Russian through community ethnic newspapers and organizations.
 - In Fiscal 2001 CUNY also completely revamped its Web site, www.cuny.edu, adding news about the University and information on academic programs, admissions, scholarship opportunities, and financial aid, while also making the individual college home pages more accessible.

CITY UNIVERSITY OF NEW YORK

- Beginning in Summer 2000, the University launched a series of weekend CUNY Information Fairs throughout New York City that brought CUNY college recruiters into communities through events cosponsored by elected officials and boards of directors of major apartment complexes (such as Co-Op City in the Bronx and Rochdale Village in Queens). Ten large CUNY Fairs, with special emphasis on academic programs, financial aid and immigration counseling, were offered during the 2000-2001 academic year, serving thousands of New Yorkers.
- During the 2001-2002 academic year CUNY plans to continue these initiatives and conduct market research using census and other data to map where potential CUNY students live. The information will be used to guide recruiting and outreach efforts.
- Beginning in Fall 2000 all recent high school graduates applying for admission to CUNY's baccalaureate programs were required to submit SAT scores, as planned. For students entering in Fall 2000, 98.6 percent took the SAT, compared to 92.9 percent in Fall 1999. Results for Fall 2001 will be available in the Preliminary Fiscal 2002 Mayor's Management Report.
 - The planned average SAT score for recent graduates of high schools regularly admitted to Baruch, Brooklyn, City, Hunter, Lehman, Queens and York colleges in Fall 2001 is 1059. This score is out of a potential score of 1600. Comparatively, the Fall 2000 average was 1055.
- As planned, in Fall 2000 CUNY began admitting recent high school graduates to its baccalaureate programs on the basis of a new admissions index that measures academic promise. A separate index was developed for each college. The indexes were developed with the use of multivariate statistical techniques designed to identify the best predictors of first-year grades at CUNY. The indexes may be adjusted from time to time as appropriate to maximize their ability to identify students who will succeed academically at CUNY.
 - In Fall 2000 CUNY admitted students to Baruch, Brooklyn, City, Hunter, Lehman, Queens and York colleges whose high school average in college preparatory course work was 84.3 out of a potential 100, compared to planned average of 84.8. For Fall 2001 CUNY plans to admit students with a college preparatory course average of 85.3.
- In Fall 2001 applicants were admitted to the first three colleges for which they are eligible. Applicants can continue to apply for admission to up to six CUNY colleges and rank their preferences. In the past, applicants were admitted to one college. Under the new system, each college must compete with up to two other colleges to enroll each admitted applicant.

Instructional Initiatives

- CUNY is continuing to target academic areas for cluster hiring, that is, hiring a significant amount of new faculty over a three- to five-year period. During the past two academic years, CUNY targeted the following areas: foreign languages; computer/new media; photonics, in which scientific research on light is applied to laser and fiber optic technologies; and teacher education. During the 2001-2002 academic year, CUNY will begin to target art history and biology programs for cluster hiring.
 - As of June 2001 CUNY made six new faculty hires in foreign languages, seven in photonics, 19 in new media and 23 in teacher education. In January 2001 the Mayor announced the allocation of \$5.5 million to CUNY for 100 new full-time faculty at community colleges to strengthen the University's full-time faculty.

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- In Fiscal 2001 CUNY encouraged its colleges to schedule additional offerings of required courses at convenient times so that students can satisfy degree requirements without delay. During the 2000-2001 academic year CUNY established a weekend alternative for six degree programs. During Fiscal 2002 weekends students will be able to study criminal justice at John Jay College (B.S.); computer information systems at New York City Technical College (A.A.S.); liberal arts and sciences at the Borough of Manhattan Community College, Kingsborough Community College, Queensborough Community College (A.A.), and the College of Staten Island (A.A.S.). Queens College has extensive weekend programs and will offer five programs at the baccalaureate level. During the 2001-2002 academic year CUNY will emphasize the development of weekend graduate and professional programs.
- In Fiscal 2001 CUNY completed the CUNY Proficiency Examination (CPE) pilots. The first part of the exam requires students to write an essay about two reading selections. In Spring 2001 an additional component was added to the new CPE that tests students' ability to interpret quantitative information. This test component asks students to read a short passage and write an essay based on its relationship to two given charts or tables.
 - Beginning in Fall 2001 freshmen and transfer students are required to pass the 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 Spring 2001 CUNY administered the CPE to 3,595 students and trained 100 faculty readers to grade the examination. In Spring 2001 90 percent of students taking the exam achieved a passing score. In Fiscal 2002 CUNY will continue to evaluate the efficacy of the CPE and correlate test scores with course grades to assess the validity of the test.
- Established during the 1999-2000 academic year, Writing Across the Curriculum (WAC) integrates intensive writing instruction into courses across the regular curriculum. During the 2000-2001 academic year 375 faculty, and 104 CUNY doctoral students specially trained in the Writing Fellows Program, participated in WAC and reached approximately 17,000 undergraduate students. In addition, six colleges included writing-intensive courses as part of their graduation requirements. CUNY plans to increase the number of faculty, writing fellows and writing-intensive courses in WAC during Fiscal 2002.
- In Fall 2000 CUNY began a three-year pilot of the Part-time Tuition Assistance Program (P/TAP), 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. In Fall 2000, 135 students received P/TAP grants, as did 551 students in Spring 2001. CUNY will evaluate the program during the 2001-2002 academic year based on students' retention rates and degree progress.
- In Fall 2001 the first Honors College University Scholars Program class of 200 freshmen will be admitted to five CUNY colleges, out of approximately 1,400 applicants. Students were selected for the program using an admissions index, an essay and interviews. Baruch, Brooklyn, City, Hunter and Queens colleges will 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 will work with faculty and receive special attention and academic support throughout their college careers. The program will also offer students a "Cultural Passport." The "Passport" will offer an array of enriched educational opportunities to students through Honors College Seminars that will incorporate contacts with cultural institutions and professionals in New York City, counseling, and the opportunity to take courses throughout the University. During the 2001-2002 academic year CUNY will continue its efforts to attract talented students to the program and to expand the curricular and cultural opportunities for Honors College students.

Collaboration with the Board of Education and Teacher Training

- During the 2000-2001 academic year the College Now program, a collaborative initiative of CUNY and BOE, reached 18,850 students at 161 high schools, compared to 11,000 juniors and seniors from 110 high schools during the 1999-2000 school year. The program offers students the opportunity to receive remedial instruction in reading, writing and math. Another component of College Now is that students who demonstrate mastery of the basic skills can take college-level courses for credit.
 - In Fall 2001 the College Now program will include 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 will consist of 1,850 students continuing from last year's ninth grade program. The tenth-grade program aims to prepare students for Regents examination. Total Fall 2001 enrollment will be 3,750 ninth and tenth grade students in 19 high schools.
 - During the 2001-2002 academic year CUNY plans to implement the College Now program at all City public high schools to serve approximately 28,800 students.
- In its Executive Compensation Plan, for the 2000-2001 academic year CUNY mandated an 80 percent pass rate on the State Teacher Certification Examination (Liberal Arts and Sciences Test) by graduates of all CUNY teacher education programs. Of the eight CUNY colleges offering teacher education, six met this standard on the most recent test reports for students who completed teacher education programs during the 1999-2000 academic year. The pass rates at York and Medgar Evers colleges were below 80 percent. The pass rate is planned to increase to an average of 82 percent across all programs while maintaining a minimum pass rate of 80 percent for 2000-2001 graduates. The 2000-2001 results will become available in April 2002 and will be reported in the Fiscal 2002 Mayor's Management Report.
- During the 1999-2000 academic year CUNY and BOE collaborated to develop the Teaching Fellows Program, an alternative teacher certification program. In January and February 2001 CUNY enrolled 100 Fellows into the preparatory program to begin teaching in Schools Under Registration Review (SURR) in February 2001. SURR schools are low-performing schools that have failed to meet State Department of Education criteria in reading and mathematics. For the Summer 2001 Teaching Fellows program, 900 Fellows enrolled at CUNY and 300 Fellows enrolled at private colleges under CUNY coordination. This total of 1,200 Fellows was 200 more than planned. A total of 330 Fellows participated in the program in Summer 2000.
 - Of the 330 fellows who entered the program in Summer 2000, 323 successfully completed the program, passed the State Teacher Certification examinations and were placed in the City's SURR schools. During the 2001-2002 academic year 285 fellows will continue in CUNY Masters' Degree programs.
 - Along with the Teaching Fellows program and CUNY graduates from traditional programs, CUNY will provide all schools throughout the City approximately 3,000 newly certified teachers for the start of the 2001-2002 school year, as compared to approximately 2,500 teachers during the 2000-2001 school year.
- In Summer 2001, 160 participants of the Teacher Opportunity Program (TOP) attended summer teacher preparation programs offered at Brooklyn, Hunter and Lehman colleges, an increase of 60 participants compared with Summer 2000. CUNY plans another group of 40 TOP students for midyear Fiscal 2002. This program provides scholarships and training to graduates of CUNY baccalaureate programs who wish to pursue a career in teaching. The program focuses on recruiting candidates who have degrees in math, science, Spanish or Education with a specialization in literacy to address the shortage of teachers in these disciplines.

CITY UNIVERSITY OF NEW YORK

- In Summer 2001 the Summer Intensive English Language Program served 556 middle school students at three CUNY campuses, compared to approximately 300 students during Summer 2000. The program helps limited English proficient students enter high school with the reading, writing, oral communication and research skills needed to pass Regents exams required for graduation from high school. Students are offered continued instruction on Saturdays during the school year.

Governance Initiatives

- In Fiscal 2001 CUNY continued to strengthen the ranks of its leadership, both at the colleges and within the central administration. Two presidents were appointed during the 2000-2001 academic year, in addition to the five presidents appointed during the 1999-2000 academic year. Since July 2000 CUNY has also appointed three vice chancellors, three university deans and a chief operating officer.
- Fiscal 2001 marks the first year CUNY used its new 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. These objectives are designed to raise academic quality, improve student success, and enhance financial and management effectiveness. Examples of indicators include enrollment; retention, transfer and graduation rates; pass rates on licensure examinations; and fund-raising from alumni and other sources. In Fall 2000 a committee of administrative and academic officers from the colleges and the CUNY central office began to review these indicators for appropriateness and scope. This committee issued a revised set of indicators in Spring 2001. In June 2001 the progress of each college in meeting its targets was reviewed, together with targets and plans for the next year. CUNY will continue to evaluate the progress of all CUNY colleges toward common objectives during the 2001-2002 academic year.

ECONOMIC DEVELOPMENT

- During the 2000-2001 academic year, the University established a new CUNY Economic Development Corporation (EDC) to better accomplish its economic development goals. The University was awarded a \$400,000 grant from a private foundation, contingent on funding from New York State, to support the new CUNY EDC. A main project of EDC, in partnership with a private investment fund, is to initiate a Business Incubator Network at the University to prepare students for jobs by establishing relationships between CUNY and the business community. The pilot for the planned network, the New York TeleMedia Accelerator, which is affiliated with the Borough of Manhattan Community College, has been operating since Fiscal 2000.
 - In Fiscal 2002 CUNY will work with a private investment fund to expand the Business Incubator Network. Each incubator facility will be located on or near a CUNY campus, and will be structured as a separate joint venture between a nonprofit corporation that has a relationship with the local CUNY college and a for-profit business incubator holding company. The holding company will be responsible for overall management of the network and for providing every incubator with management, venture capital expertise and operating funds. It will also provide the business development services and seed capital required to attract entrepreneurial ventures to locate in CUNY-based incubators.
- During Fiscal 2001 CUNY's Workforce Development Initiative (WDI) funds were utilized to develop credit-bearing certificates and employer-sponsored internship programs. 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.

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- During Fiscal 2001 CUNY's relationship with labor unions was enhanced through partnerships with a consortium of labor unions to address the retraining needs of dislocated workers and low-income adults, and with a City union to address the training and retraining needs of the hospital industry.
- During the 2000-2001 academic year, working with a trade association for the software industry, CUNY developed the Institute for Software Design and Development. The institute advances the growth of the software/Internet development industry in the City by combining the expertise of CUNY's faculty with that of the industry to develop innovative software and encourage job growth.
- During Fiscal 2002 CUNY committed \$1 million to the development of a variety of campus-based and Universitywide programs that strengthen the relationship between the University and employers, by developing new courses and internship programs that meet employers' workforce needs, especially through credit-bearing and industry-approved certificate programs.
- During Fiscal 2001 CUNY took the initial steps toward creating a Labor Market Intelligence Network (LMIN). The first eight industry-specific labor market reports will be written through the Institute for Business Trends Analysis at the Borough of Manhattan Community College and LaGuardia Community College's Center for Labor Force Studies. Reports will cover the publishing, telecommunications, manufacturing, broadcast television, and sound design industries; restaurants/food services; new media in outer boroughs; and print media/ethnic presses sectors.
 - During the 2001-2002 academic year the initial set of industry-specific LMIN reports will be augmented by printing, public relations, management consulting, financial services and nonprofit organization industry studies; and the entire series will be made available through the Internet to program planners at CUNY and other education and training institutions, and to job-seekers at the City's One-Stop employment service centers.
 - In May 2001 a separate study of Bronx employers' workforce education needs and their attitudes toward CUNY and its graduates was undertaken as a pilot project for subsequent borough-based employer surveys.

CAPITAL PROJECTS

- During the 2001-2002 academic year, the fourth year of its \$1 billion five-year plan, CUNY will continue work on a \$57 million renovation of Powdermaker Hall at Queens College, which is expected to be completed in Fiscal 2003. Construction of two buildings at Kingsborough Community College began in January 2000, and is scheduled for completion by a revised date of May 2003. The first building is 40,000 square feet and will contain facilities for the college that will be available for use by the neighboring community. The second is a \$45.4 million structure that will house the Leon Goldstein High School for the Sciences, to be operated jointly with BOE. In addition, in Fiscal 2001 CUNY began the design for John Jay College's Phase II, Haaran Hall Extension, and the new West Quad Building at Brooklyn College. In August 2001, two projects were completed: a revised \$319 million Academic Center at Baruch College and the \$72 million addition to the library at Brooklyn College.

CUSTOMER SERVICE

- In Fiscal 2002 CUNY will again administer the National Survey of Student Engagement (NSSE), which surveys baccalaureate students to elicit their perceptions about the faculty and quality of their education. A similar survey, the Community College Survey of Student Engagement (CCSSE) will be given to community college students. In the 2002-2003 academic year, after the results of the survey have been reported, CUNY will convene workshops for college administrators and faculty to discuss the results and consider implications for policy.
 - Final survey results of the Spring 2000 NSSE were published in November 2000. The results cited Medgar Evers College as a particularly strong performer in terms of academic challenge, based on time spent preparing for class, number of assigned readings and papers, and emphasis on analysis and synthesis of ideas in course work. Overall, CUNY colleges consistently scored below the national benchmark on measures of student interaction with faculty and the degree to which the campus environment is supportive. Survey results were distributed to college presidents and chief academic officers for review.

TECHNOLOGY

- In Fall 2000 CUNY began to expand the Transfer Information and Program Planning System (TIPPS), a feature on CUNY's Web site since Fall 1999, which makes information on programs of study and transfer more readily available to current and prospective CUNY students. TIPPS now lists whether course work can be transferred among colleges, programs, degrees and departments. Agreements among programs, detailing which courses are transferable, facilitate students transferring from community to senior colleges and detail the course of study to be followed to transfer into a specific program for a baccalaureate degree. In Fiscal 2002 CUNY will expand TIPPS to include information on transfer between senior colleges. During the 2001-2002 academic year CUNY will also automate the process by which TIPPS data is collected from the campuses. Course information will be uploaded from campus files, eliminating the need for manual data input. Because the system will be Web-based, faculty on each campus will be able to evaluate courses online.
- Since Fiscal 1999 CUNY has developed online courses as part of a pilot project funded by a private foundation. The CUNY Online project provides training in instructional technology needed for online courses. The project created 57 online courses during the 1999-2000 academic year and 113 courses during the 2000-2001 academic year. An additional 127 courses will be offered during the 2001-2002 academic year to encourage classroom use of Web-based resources. During Fiscal 2002, 20 online writing-intensive courses will be offered at six campuses: John Jay College, Kingsborough Community College, Lehman College, New York City Technical College, Queensborough Community College and LaGuardia Community College. These courses use a computer to facilitate communication by class members. An additional 17 courses will be offered at 14 colleges, as part of the U.S. History Initiative, which is focused in the development of Web-based resources and instructional techniques in U.S. History.
- In Spring 2001 CUNY retained a private corporation to conduct a major review of the University's administrative systems, including the financial system, human resources and student information. The purpose of the review was to document information needs in these areas, evaluate the ability of existing systems to address requirements, describe current business practices and suggest efficiencies, identify best practices from other universities and recommend strategies for acquiring or building improved software applications to better manage CUNY's administrative systems. CUNY will receive the corporation's final report in Fall 2001. During Fiscal 2002 CUNY will review the report and develop a plan for revamping these systems.

CITY UNIVERSITY OF NEW YORK

- CUNY began building two software projects during the 2000-2001 academic year as part of an automated commerce project. CUNY will implement both projects during the 2001-2002 academic year.
 - During Fiscal 2001 CUNY designed an e-procurement project to upgrade the procurement process, replacing existing manual requisition and purchase order forms with an electronic purchasing process common to all CUNY campuses. The procurement system will be piloted in several central administration offices for eight weeks beginning September 2001.
 - In addition, during Fiscal 2001 CUNY worked on a project to allow students to register and obtain records through a Web-based interface with CUNY's student information system. A Web-based interface is being developed that can be added to the Student Information Management System (SIMS). Students will be able to conduct the following transactions through a Web site: locate an open course section, register for courses and drop them, view tentative schedules and retrieve transcript and financial information. The e-SIMS application was configured and is being tested on several campuses beginning August 2001.
- During the 2000-2001 academic year CUNY began implementation of the Institutional Research Database, which integrates student information in a variety of performance indicators and facilitates long-term tracking of students by central and college administrators. The Database will provide the central administration and the colleges with improved access to student performance information, such as credit accumulation, grades, retention, graduation and transfer. By Spring 2001 institutional research officers from 15 CUNY campuses had received training that enables them to access key data fields through a Web interface. In Fiscal 2002 CUNY will enhance the reporting capabilities of the Database by adding students' admissions and skills data.

BUDGET HIGHLIGHTS

- In Fiscal 2001 CUNY's expenditures, consisting primarily of community colleges and the Hunter-campus schools, were \$439.3 million, compared with its plan of \$441.9 million; headcount was 3,763 compared with its plan of 3,569. CUNY's Fiscal 2000 expenditures were \$397.2 million, and headcount was 3,756.
- The Fiscal 2002 Adopted Budget includes planned expenditures consisting primarily of community colleges and Hunter-campus schools of \$445 million and a planned headcount of 3,687.

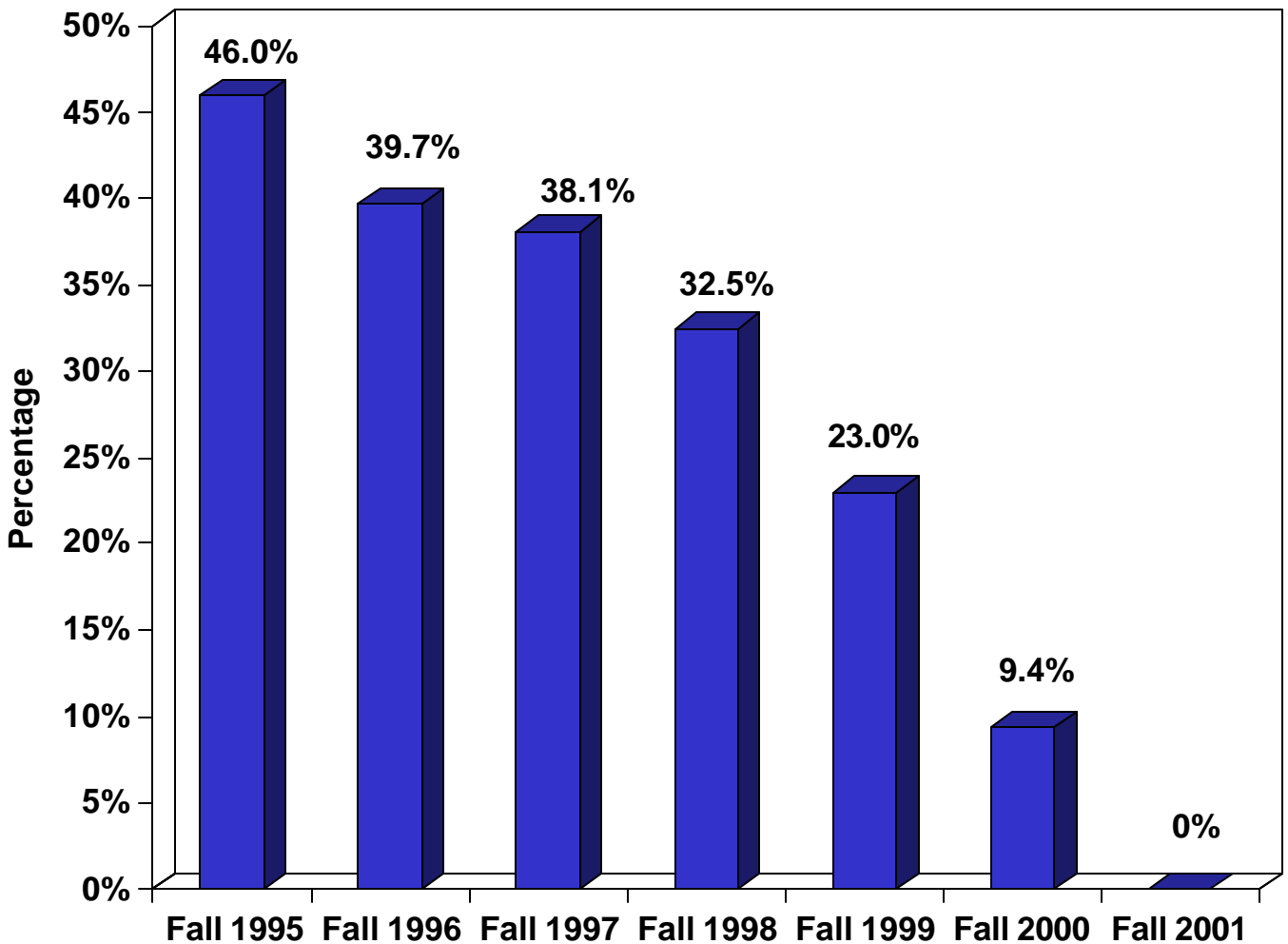
CITY UNIVERSITY OF NEW YORK

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001
Enrollment of First-time Freshmen (Fall)	26,513	25,326	24,817	24,042	24,967
Total Enrollment (Fall)	204,023	201,185	198,737	194,994	195,403
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%
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%	84.5%
Total Baccalaureate Degrees Granted	13,607	13,105	13,332	13,331	by 1/02
Total Associate Degrees Granted	9,305	8,995	9,129	8,421	by 1/02

City University of New York (CUNY)

Percent of Regularly Enrolled Freshman Baccalaureate Degree Candidates Required to Take Remedial Courses* Fall 1995-2001



*Does not include SEEK first-time freshman students.

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	FY 01 Actual	FY 02 Plan
Conduct 55,000 license law inspections at the rate of 9.5 per person-day.	64,991 / 13 ppd	55,000 / 9.5 ppd
Perform 36,000 weights and measures and consumer protection law inspections.	42,404	36,000
Conduct 7,000 inspections of tobacco retailers.	16,596	8,000

Goal: Respond to the licensing needs of businesses that the Department regulates.

Objective	FY 01 Actual	FY 02 Plan
Process 98% of accepted applications for new licenses within 30 days.	97% in 30 days	98% in 30 days
Ensure that the average applicant waiting time at the Citywide Licensing Center does not exceed 15 minutes.	14.3 Minutes	15 Minutes

Goal: Provide consumer information and respond to their complaints.

Objective	FY 01 Actual	FY 02 Plan
Process consumer complaints filed against electronics stores in an average of 35 days.	26 days	35 days
Process consumer complaints filed against unlicensed home improvement contractors in an average of 30 days.	23 days	30 days
Process consumer complaints filed against licensed home improvement contractors in an average of 35 days.	29 days	35 days

Goal: Educate businesses and the public about consumer issues, and consumer protection rights and laws.

Objective	FY 01 Actual	FY 02 Plan
Hold 20 events to publicize consumer issues.	30 events	20 events

DEPARTMENT OF CONSUMER AFFAIRS

HIGHLIGHTS AND ACHIEVEMENTS

REGULATORY REFORM

- During the Giuliani administration improvements in the quality and scope of services became a central component of the Department of Consumer Affairs' (DCA) operations. By eliminating unnecessary licensing requirements, assuming new licensing responsibilities and expanding the scope of its enforcement efforts, the Department streamlined and simplified City licensing processes and increased customer service levels.
 - Beginning in Fiscal 1994 the administration focused on eliminating regulatory and licensing requirements for businesses that historically have not generated significant levels of consumer complaints. In Fiscal 1995 legislation deregulated licenses for 11,156 local businesses or individuals covering 21 types of business activities and 11 license categories. This initiative saved small businesses approximately \$2.2 million annually and helped streamline licensing processes.
- In January 2001 Local Law 3 was enacted that requires sightseeing buses that were not equipped with engines that conformed to federal Environmental Protection Agency emissions standards at the time of construction to become equipped with engines compliant with standards specified under the law. Such buses will have to be in compliance in order to be issued a new license or to be issued a renewal license when the current licenses expire on March 31, 2002. As a result of Local Law 3, 84 vintage sightseeing buses were removed from tour operation in Fiscal 2001, and the remaining dozen noncompliant vintage buses will be taken out of service by the time their current licenses expire.
- In January 2001 the Mayor's Office of Transportation convened a task force consisting of DCA, the Taxi and Limousine Commission, the Department of Transportation (DOT), the Mayor's Office of Transportation, and the Law Department to recommend and propose legislation for the regulation of the City's sightseeing tour bus industry in New York City. The Task Force offered a comprehensive framework of recommendations for regulating the operation of sightseeing buses. Legislation to implement the recommendations was introduced to the New York State Senate on June 13, 2001 and the New York State Assembly on June 19, 2001 to require DCA licensing for both sightseeing buses and bus line operators, DCA monitoring of sightseeing bus traffic congestion and conditions, and the preapproval of all tour bus routes, stops and layovers by DOT.
- In June 2001 the Giuliani administration introduced a bill to the City Council Consumer Affairs Committee to ban the sale of mercury clinical thermometers. The ban would eliminate health and environmental hazards such as accidental mercury ingestion and mercury spills. DCA will discuss the importance of approving the legislative ban during public hearings in Fall 2001.
- In August 2000 DCA became the licensing agency for all retail cigarette dealers that were previously licensed by the Department of Finance. Between May and December 2000 DCA informed businesses of its new licensing jurisdiction. By the end of Fiscal 2001 DCA issued or renewed 12,901 cigarette dealer licenses. Of the remaining cigarette retailers, DCA cited 582 retailers for unlicensed tobacco sales.

DEPARTMENT OF CONSUMER AFFAIRS

ENFORCEMENT OF LICENSING AND CONSUMER PROTECTION LAWS

- During the Giuliani administration DCA concentrated on the enforcement of license and consumer protection laws covering those business practices that generate the most serious or widespread consumer abuses and complaints. Businesses that violate laws under DCA jurisdiction incur fines and potential license revocations. In addition, new City legislation further expands the Department's authority to investigate and prosecute vendors who engage in the sale of dangerous products to minors or continually mislead or defraud the public.
 - The City Council enacted Local Law 80 in 1995 that bans the sale of box cutters to persons under the age of 18 and makes such sales a crime. The Department declared such sales an unconscionable trade practice and a violation of the City's Consumer Protection Law, thereby allowing the Department to fine and withhold business licenses of repeat violators. Due to the Department's continued enforcement efforts, the percent of merchants who violated the box cutter ban decreased from 59 percent in Fiscal 1997 to 27 percent in Fiscal 2000.
 - In Fiscal 1997 the Department declared the sale of any item prohibited by law to minors unscrupulous and a Consumer Protection Law violation. Through consistent undercover inspection programs, merchant compliance rates have improved. The violation rate of merchants caught selling spray paint to minors decreased from 44 percent in Fiscal 1998 to 18 percent in Fiscal 1999. The violation rate for realistic toy guns declined from 28 percent in Fiscal 1998 to 18 percent in Fiscal 2001.
 - The Department has made consumer protection law enforcement against electronics stores an integral part of its operations. From Fiscal 1998 to Fiscal 2001 DCA inspected 9,548 electronic stores and issued a total number of 7,896 violations.
- Through undercover enforcement operations, DCA continues to target local merchants who illegally sell tobacco products to minors. During Fiscal 2001 DCA inspected 9,524 stores and issued 1,380 violations. The Fiscal 2001 compliance rate was 85.5 percent, as compared to the 49 percent compliance rate in Fiscal 1998.
- The Department's Home Improvement Contractor (HIC) Task Force continues to target unlicensed contractors who have been the subject of consumer complaints. During Fiscal 2001 the Department seized 77 HIC vehicles, as compared with 55 vehicle seizures in Fiscal 2000.
- Due to the increased cost of fuel, and 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. DCA inspected 1,600 meters in Fiscal 2001, an increase of 46.8 percent from the 1,090 inspections conducted in Fiscal 2000. In February 2001 the Department achieved a 90 percent compliance rate, the highest in the history of these inspection activities, when 140 of the 155 trucks inspected were in compliance.
- During Fiscal 2001 DCA has continued to intensify its enforcement against repeat violators of the electronic store licensing law by specifically targeting repeat offenders. The Department conducted 3,588 inspections in Fiscal 2001, 5.5 percent more than the 3,402 inspections conducted in Fiscal 2000. In Fiscal 2001 the Department issued 4,169 Consumer Protection Law (CPL) violations, an increase of 48 percent from the 2,818 issued in Fiscal 2000.

DEPARTMENT OF CONSUMER AFFAIRS

CONSUMER EDUCATION AND PROTECTION

- In order to educate and inform the public, the Department tracks and examines consumer complaints and concerns. The Department releases the findings through press conferences and reports to alert the consumers as to which businesses were involved in unscrupulous practices; DCA also details how to find the best product prices by borough.
 - In December 2000 the Department released the Home Heating Oil Report, which focused on the rising costs of home heating oil in the Northeast and included recommendations for coping with the soaring home heating oil prices.
 - Since December 1996 the Department has conducted an annual visa lottery educational campaign to protect lottery participants from immigration services providers who charge exorbitant fees and falsely guarantee citizenship for their clients. The Department publishes pamphlets that describe the lottery process and how to avoid lottery fraud. The pamphlets are printed in nine languages and distributed through community-based organizations and the Mayor's Office of Immigrant Affairs.
- In March 2001 the Department released a report on the findings of its undercover Air Gun Investigation detailing how readily Web sites sell and ship air guns to young people, despite strict laws prohibiting this practice in the City. The report also identified the names and addresses of the five Web sites that sell air guns to minors and provided a list of stores in each borough that violated the City's ban. In addition, the Department requested that the Manhattan District Attorney, the City's Corporation Counsel, and the Federal Postmaster prevent Internet vendors from violating City, State, and federal laws when selling and shipping air guns. The findings of the Air Gun Investigation are available to consumers on the Department's home page on NYC.GOV, the City's official Web site.
- In February 2001 the Department released the findings of its Undercover Locksmith Operation and the citywide Locksmith Price Survey, which found that 41 percent of the locksmiths responding to the Department's calls for service were unlicensed. As a result, the Department proposed a new rule to reduce unlicensed activity by requiring all businesses to list at their place of business the licensed locksmiths they employ. This rule would provide DCA with the ability to monitor and ensure the employment of only licensed locksmiths at businesses where they offer their services. The Department expects the rule to become effective by December 2001. The Locksmith Price Survey details the average boroughwide cost of installing a standard door lock, and lists the five most- and least-expensive locksmiths citywide. The findings of the Locksmith Price Survey are available to consumers online on the Department's home page on NYC.GOV.
- In January 2001 DCA conducted its seventh citywide Prescription Drug Price Survey and released its findings at a press conference. The survey included 72 pharmacies detailing citywide and borough average prices for individual drugs and for "market baskets." Each market basket consists of a predetermined list of drugs – 17 brand-name and three generic drugs. The survey covered two types of market baskets, one was comprised of drugs frequently prescribed to adults, the other comprised of drugs commonly prescribed to seniors. The survey also describes the benefits associated with using generic drugs as well as information on how to ask for generic drugs when filling prescriptions. The findings of the Prescription Drug Price Survey are available to consumers online on the Department's home page on NYC.GOV.

DEPARTMENT OF CONSUMER AFFAIRS

CUSTOMER SERVICE

- Under the Giuliani administration the Department increased the efficiency of its operations and customer service levels through the restructuring of Agency functions and application of computerized systems.
 - In Fiscal 1994 DCA implemented an Integrated Voice Response (IVR) system at its call center, trained DCA Customer Service Representatives on making proper referrals, and developed a consumer relations manual. Since DCA implemented these initiatives the wait times for consumers calling the complaint call line have been reduced from 20 minutes in Fiscal 1994 to two minutes in Fiscal 2000.
 - In order to better facilitate the handling of complaints, in Fiscal 1996 the Department established closeout timeframes for specific types of complaints. Subsequent to these closeout targets DCA created a manual that outlined the Customer Service Division's policies and procedures, established training seminars, and streamlined the data entry process. Due to DCA's efforts, the average complaint resolution times for high volume complaint categories such as electronics stores, and licensed and unlicensed home improvement contractors, have decreased from an average of 43 days in Fiscal 1997 to 26 days in Fiscal 2001.
 - In Fiscal 1996 the Department created a separate Citywide Licensing Center to expedite services to the business community. The Department established a Q-matic system for monitoring wait times and provided one application for a number of different licenses and processes. As a result, by June 1997 DCA was able to serve all applicants within 15 minutes from when they took a number from the Q-matic system, compared to previous wait times of up to 45 minutes.
- In June 2001 DCA installed a new photo imaging system to provide faster license processing at its Licensing Center. The new system allows for the immediate digital processing of new and renewal licenses without paper photographs, which has resulted in improved operational efficiency and better customer service.

TECHNOLOGY

- The Department has used technological innovations to improve its effectiveness and efficiency.
 - In Fiscal 1997 the Department improved its computer processing capability by purchasing and installing 250 personal computers, 100 printers and a Local Area Network (LAN) system. This has resulted in improved data processing ability and increased staff access to critical research tools supporting its consumer protection mandate.
- In May 2001 the Department began testing its new Report Writer, which allows DCA to generate and quickly access a number of critical reports, documents and data from existing City Agency Management Information System (CAMIS) data fields. The Report Writer will also decrease the amount of programming currently necessary to obtain information from CAMIS. DCA expects the Report Writer to be fully operational during the first quarter of Fiscal 2002.
- During Fiscal 2001 the Department's home page on NYC.GOV received 769,282 page views, a 119 percent increase from the 351,276 views during Fiscal 2000.

DEPARTMENT OF CONSUMER AFFAIRS

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Department's expenditures were \$13.9 million, compared with its plan of \$13.6 million; headcount was 233, compared with its plan of 245. The Department's Fiscal 2000 expenditures were \$12.8 million, and headcount was 238.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$14.3 million and a planned headcount of 245.

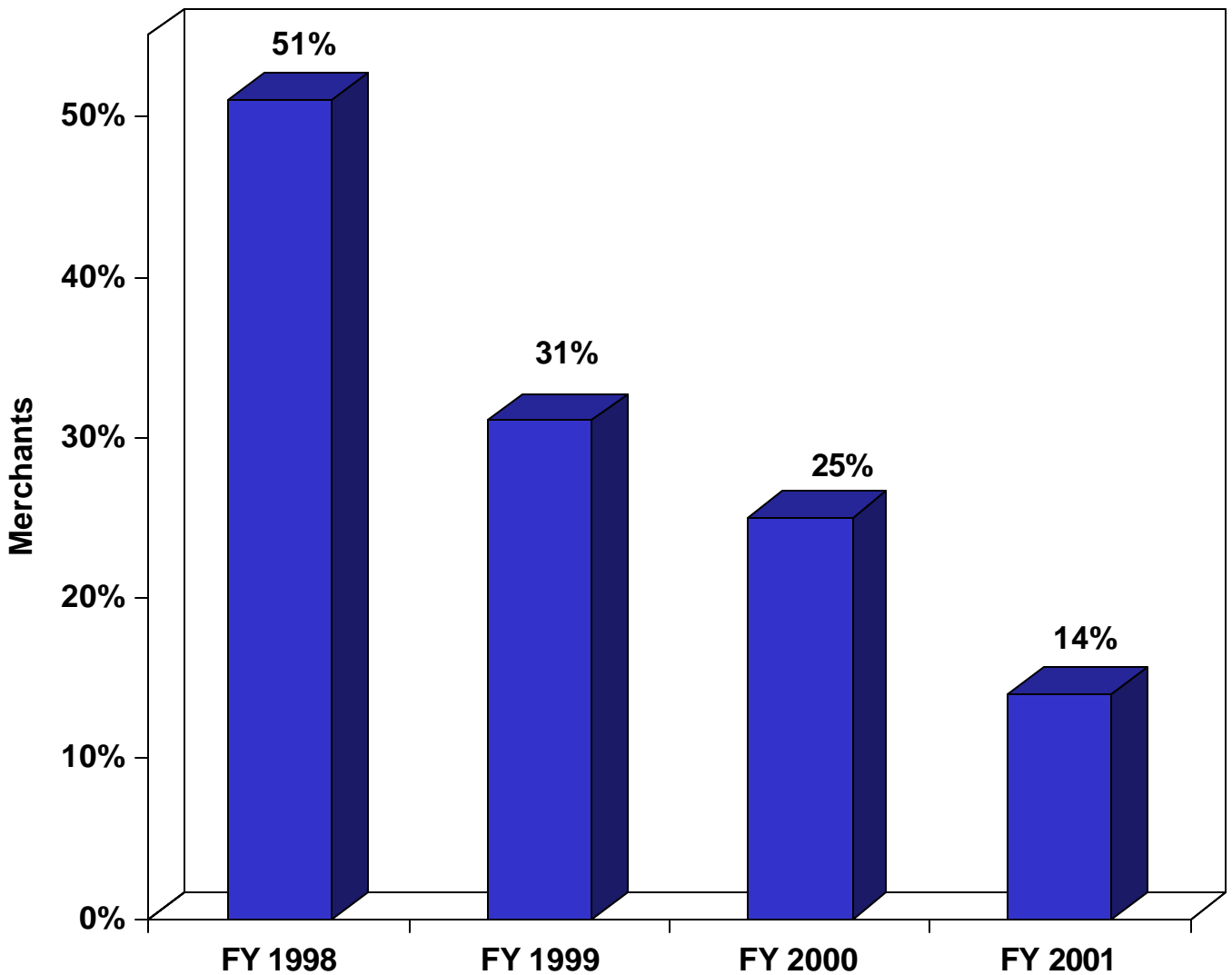
LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001
License Law and Padlock Law License Inspections Performed (a)	53,763	52,774	59,459	59,897	64,991
Weights and Measures Law And Consumer Protection – Inspections Performed	32,244	35,199	43,641 (b)	41,042	42,404
Sale of Tobacco to Minors (Inspections) (c)	429	4,400	7,857	6,522	16,596
Tobacco Fines (000) (c)	\$66	\$154	\$654	\$398	\$792
New Applications for Licenses And Permits Processed	98%	99%	97%	98%	97%
Average Applicant Waiting Time (Minutes) (d)	15	13	9.2	9.1	14.3
Average Complaint Processing Time (Days) (e)					
– Electronics Stores	41	37	28	29	26
– Unlicensed HICs	26	30	22	26	23
– Licensed HICs	61	52	30	29	29

- (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) 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.
- (c) The increase is due to hiring additional summer inspection staff through the State-funded Tobacco Enforcement Program grant and in Fiscal 2001 the transfer of licensing authority for 12,901 retail cigarette dealers from the Department of Finance to the Department of Consumer Affairs.
- (d) "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 12,901 new retail cigarette dealer licenses issued.
- (e) 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.

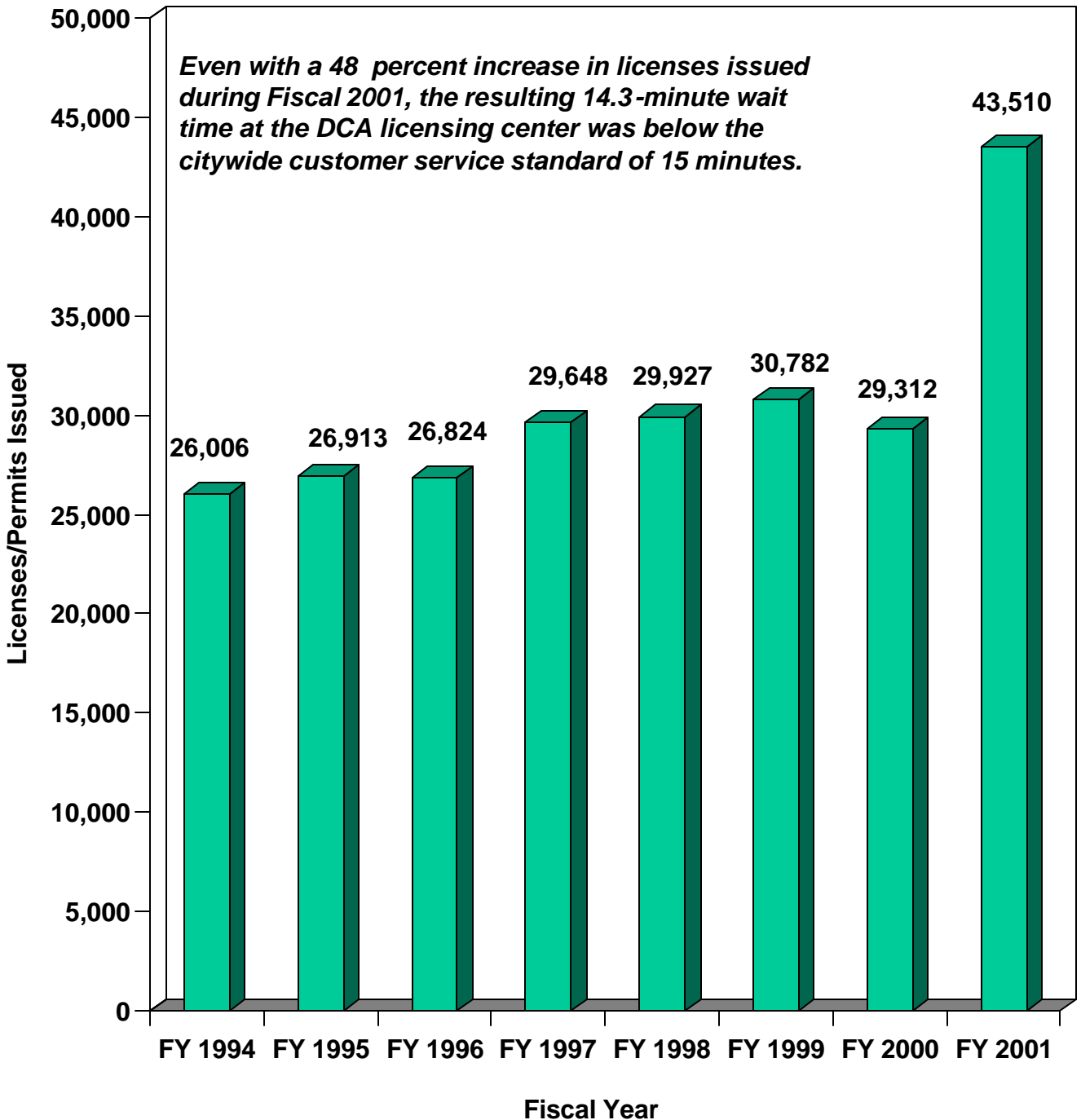
Department of Consumer Affairs

Percentage of Merchants Making Illegal Tobacco Sales to Minors Fiscal 1998 - 2001



Department of Consumer Affairs

Licenses and Permits Issued Fiscal 1994 - 2001



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	FY 01 Actual	FY 02 Plan
Perform first examination of all building applications (including new building, Alteration I, II and III) for proposed construction within 5.5 working days.	6.1	5.5
Perform first examination of all applications for new buildings within 13.6 working days in Fiscal 2002.		13.6
Perform first examination of all building applications for Alteration I within 8.2 working days in Fiscal 2002.		8.2
Perform first examination of all building applications for Alteration II and III within 2.7 working days in Fiscal 2002.		2.7
Enter 90% of all new building applications into the Department's database within 2 days in Fiscal 2002.		90% / 2 days
Continue to promote PC Filing to expand its use to 50% of all applications submitted citywide.	51.8%	60%
Develop a central plan examination appointment system for all boroughs by December 2001.		
Create a new permit renewal program in Fiscal 2002.		

Goal: Conduct safety inspections and implement strategic quality-of-life enforcement initiatives.

Objective	FY 01 Actual	FY 02 Plan
Investigate Priority A complaints within 1.5 working days, and Priority B complaints within 30 working days in Fiscal 2001 and 25 working days in Fiscal 2002.	1.62 / 19.12	1.5 / 25
Conduct inspections of all residential buildings with active permits in Fiscal 2002.		All
Conduct inspections of all New York City public school buildings.	All (1,486)	All
Centralize the management of the plumbing and construction inspection units by Fiscal 2002.		

DEPARTMENT OF BUILDINGS

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 (DEAR) 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 October 2001.

Improve public accessibility of agency informational resources through technological improvements.

HIGHLIGHTS AND ACHIEVEMENTS

QUALITY OF LIFE

- Local Law 14 of 2001 will substantially enhance the Department of Buildings' (DOB) 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 is pending. DOB is preparing to implement the law upon resolution of that litigation, expected in late September 2001. Ten new positions have been funded, effective October 1, 2001, to enforce Local Law 14.
- During Fiscal 2001 the Department received 13,483 illegal conversion complaints, compared to 12,268 complaints during Fiscal 2000. The Department's inspectors made 16,156 field visits and issued 6,090 violations in the fiscal year, compared to 16,505 field visits and 9,217 violations in Fiscal 2000. Approximately 50 percent of inspector field visits resulted in no access, which caused a decrease in the number of violations issued for illegal conversions.

PERMIT ISSUANCE / PLAN EXAMINATION

- During Fiscal 2001 the Department eliminated the backlog of construction permit renewals. In March 2001 when the backlog was at its peak, the average time for DOB to process a permit renewal application was 32 days. By July 2001 the average turnaround time was one day. The Department eliminated the backlog by temporarily distributing renewal requests among the borough offices for processing, increasing the staff of the Central Processing Unit from three to seven employees and providing extensive procedural training to the staff.
- Beginning 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.

DEPARTMENT OF BUILDINGS

- To assist the public, DOB developed an informational publication called, “Tips for Easier and Faster Permit Renewal.” This publication, additional instructions and the renewal form are available at the Department’s executive and borough offices and on the Web page.
- 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 get a rejection from the centralized unit and then go to the borough office to get an approval. Now, the staff of the Permit Renewal 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.
- In Fiscal 2001 the Department processed 57,172 permit applications and issued 87,822 work permits, compared to 55,295 and 81,706 respectively in Fiscal 2000. In addition, there were 15,957 permits renewed in Fiscal 2001, compared to 13,004 in Fiscal 2000. Despite these increases, the average number of days to perform a first review of the plans submitted with applications in Fiscal 2001 remained the same as in Fiscal 2000 at 6.1 days. A more efficient plan review process was achieved as a result of the increased use of the Phase II version of PC Filing and the training of new and existing plan examiners during Fiscal 2001.
- During the reporting period 51.8 percent of all new permit applications were filed using PC Filing, an increase of 12.8 percent from Fiscal 2000. PC Filing gives applicants the option of submitting filings on computer diskette instead of submitting paper forms.
 - In December 2000 the Department launched Phase II of PC Filing for the Manhattan borough office; it was fully operational in the other borough offices by February 2001. Phase II enables DOB to accept cluster (one application for several buildings with similar designs) and subsequent filings (more than one professional submits plans for one project) and allows permit applications to be edited on any personal computer.
 - During Fiscal 2002 DOB will begin development of Phase III of PC Filing, which will provide for the acceptance of 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.
- In September 2000 DOB began an initiative to eliminate the plan examination backlog.
 - The Department hired seven additional full-time plan examiners in Fiscal 2001. DOB expects to hire an additional five plan examiners in Fiscal 2002 for a total of 66 plan examiners citywide. The new staff will be assigned throughout the borough offices.
 - In Fiscal 2001 plan examiners were trained on new materials and practices used in the industry, including cold-formed steel construction, seismic restraint, zoning amendments, site safety, amusement ride safety, fire-stopping, fee estimation, quality housing and other related areas. In Fiscal 2002 DOB plans to expand its training program for all plan examiners covering mandatory topics such as equal employment opportunity requirements, right-to-know, anti-corruption, and customer service, as well as provide a series of technical courses with the Department’s inspectors in Administrative Code compliance and egress requirements. Current plan examiners will receive ongoing training two days a month for a 12-month period in topics vital to their profession. Many of these technical training sessions will be held at the Fire Department training facility in Brooklyn. The Department will also be working with professional organizations to give DOB engineers and architects continuing education credits for technical training provided by DOB.

DEPARTMENT OF BUILDINGS

- In April 2001 the Department completed and distributed a new information card entitled, “Top 10 Reasons That Cause Delays in Application Approval.” This list reminds architects, engineers and plan examiners of the most common errors or omissions that cause a plan application to be disapproved. The list is posted on the Department’s Web page, is available in the borough offices and is distributed with every building plan application.
- 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.
- 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 plans to expand the new system to the Manhattan and Queens borough offices in Fiscal 2002.
- In Fiscal 2001 DOB introduced revised procedures for registering expeditors. The procedures will enable the office of Investigation and Discipline (IAD) to perform a review of all applications prior to issuing the registration. The Department plans to further amend the procedure to include a background investigation by IAD by December 2001.

INSPECTIONS/ENFORCEMENT

- The Department has been collaborating with the Fire Department of the City of New York (FDNY) to utilize its management expertise and resources to improve its inspections and enforcement functions in the following areas: verification and monitoring of unsafe buildings; emergency notification and coordination; reorganization and realignment of reporting structures; standardization of procedures; development of audit and quality assurance protocols; establishment of a single telephone number for scheduling building inspections (718-INSPECT); and development and delivery of management and technical training. During the remainder of Calendar 2001, the Department plans to continue this collaboration to support the improvement of its inspection and enforcement units.
 - In June 2001 DOB’s Enforcement Division was relocated from 60 Hudson Street in Manhattan to the FDNY facility at 9 Metrotech in Brooklyn, where it can better coordinate its initiatives with the Fire Department through regular communication and reporting. The Division plans to continue improving its enforcement efforts by reviewing and incorporating applicable FDNY procedures that will improve enforcement-related forms, enhance records management and provide better customer service.
 - In July 2001 DOB created a new position responsible for oversight of all Department inspections. The chief inspector in each borough will now report to the Director of Citywide Inspections, resulting in a streamlined reporting process.
 - 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 Fiscal 2002 the Department will continue this effort by physically relocating residential, façade, boiler and elevator inspection units to the borough offices. As a result of these changes and the change in reporting structure, DOB expects faster response times and a reduction in the number of days for inspections.

DEPARTMENT OF BUILDINGS

- The Department is in the process of constructing locker rooms in all borough offices in preparation for distributing uniforms to the inspectorial workforce. The lockers will be installed in Fiscal 2002; once completed, DOB inspectors will be required to wear uniforms. The new uniforms will help the public identify inspectors, create a more professional appearance and assist the Department in controlling corruption.
- In Fiscal 2002 inspectors will receive technical and managerial training. DOB and FDNY will handle the training curriculum and instruction jointly. In September 2001 DOB inspectors began managerial training at FDNY. Subjects included conflict resolution, customer services, verbal and written communication skills, decision-making, performance evaluation and time management.
- The Department conducted a total of 351,633 inspections and issued 55,821 violations during the reporting period, compared with 332,852 inspections and 51,295 violations during Fiscal 2000.
 - During the reporting period DOB conducted 162,551 construction inspections, including those performed by the Quality of Life Team, and issued 33,473 violations, compared to 137,715 inspections and 26,473 violations during Fiscal 2000. The Department performed more construction inspections because of new initiatives to inspect all residential construction projects and perform citywide “sweeps” of sidewalk sheds.
 - In January 2000 the Department implemented the Residential Active Permit Sweep program for all residential buildings under construction. The initiative helps ensure that construction work is being conducted according to plan. During Fiscal 2001 the Department conducted 18,804 inspections, issued 3,357 violations and placed 1,776 stop work orders.
 - A team of four DOB inspectors perform annual comprehensive construction inspections of all the City’s public school buildings. Between January and June 2001 the team performed 1,486 necessary inspections and issued 4,744 violations, compared to 1,444 inspections and 916 violations in Fiscal 2000. The increase in the number of violations issued was due to the Department’s issuance of one violation for each condition, as of January 2001. Previously, the Department issued a single violation for multiple conditions.
 - The Department performed 64,004 elevator inspections and issued 7,741 violations during Fiscal 2001, including 1,317 inspections for amusement park devices. In Fiscal 2000 the Department completed 68,855 elevator inspections and issued 12,032 violations, which included 979 inspections for amusement park devices. The decrease in elevator inspections can be attributed to fewer inspectors during the reporting period.
 - Since Fiscal 1997, three private companies conduct a portion of required elevator inspections on DOB’s behalf. In Fiscal 2001 the companies performed 39,665 inspections and issued 13,867 notices of defect, averaging approximately 3,305 inspections each month. The companies completed 36,150 inspections, issued 14,348 notices of defect and averaged 3,010 inspections each month during Fiscal 2000.
 - In Fiscal 2001 the Department received 114 self-certified final-use elevator permits, conducted 949 expedited elevator inspections and imposed penalties for 331 missed elevator inspection appointments.
 - During Fiscal 2001 DOB performed 17,108 boiler inspections and issued 2,183 violations, compared to 15,527 inspections and 2,374 violations during Fiscal 2000. The Department had more inspectors on staff in Fiscal 2001 than in the previous year.

DEPARTMENT OF BUILDINGS

- During Fiscal 2001 DOB conducted 42,847 electrical inspections and issued 7,500 violations, compared to 45,121 inspections and 8,129 violations during Fiscal 2000.
- The Department performed 57,806 plumbing inspections and issued 1,124 violations during Fiscal 2001, compared to 58,096 inspections and 1,161 violations during Fiscal 2000.
- During Fiscal 2001 DOB conducted 7,317 crane and derrick inspections and issued 126 violations, compared to 7,538 inspections and 144 violations during Fiscal 2000.
- During Fiscal 2001 DOB performed 4,039 inspections regarding illegally erected signs, resulting in the issuance of 2,605 violations.
- The Department's Padlock Unit prosecutes violations that prohibit commercial and manufacturing uses in residential zones. During Fiscal 2001 DOB conducted 954 inspections, which resulted in a total of 127 illegal commercial and manufacturing use closures.
- During Fiscal 2001 the Department responded to all Priority A (potentially severe) complaints in an average of 1.62 business days, compared to 3.5 days during Fiscal 2000. It took an average of 19.1 business days for DOB to respond to Priority B complaints during Fiscal 2001, compared to 34.1 business days during Fiscal 2000. The decrease was the result of operational changes brought by the implementation of the centralized call center and the recoding and reprioritization of complaints, which made response procedures more efficient.
- DOB responded to 3,997 Priority A complaints and issued 1,991 violations in Fiscal 2001, compared to 2,618 complaints and 1,282 violations in Fiscal 2000. DOB responded to 23,000 Priority B complaints and issued 8,392 violations in Fiscal 2001, compared to 22,941 complaints and 8,342 violations in Fiscal 2000. The Department received more complaints in Fiscal 2001 as a result of greater public knowledge of the Department's call center and the availability of the complaint form on the DOB home page on NYC.GOV, the City's official Web site.
- The Administrative Enforcement Unit (AEU) is responsible for processing and prosecuting Environmental Control Board violations written by DOB inspectors. In Fiscal 2001 AEU received 42,064 violations from inspectors, compared to 36,339 in Fiscal 2000. AEU approved 13,412 certificates of corrections in Fiscal 2001, compared to 14,076 in Fiscal 2000.
- The Special Enforcement Unit (SEU) targets violations warranting special enforcement, such as illegal conversions and false certifications, 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.
 - During Fiscal 2001 SEU continued to target seven illegal conversion major offenders and 72 of their properties. By the end of the reporting period 58 of the properties with violations had been brought into compliance. DOB will work to bring the remaining 14 properties into compliance during Fiscal 2002.
 - During Fiscal 2001 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 continues to work with the federal Internal Revenue Service and the New York State Department of Taxation and Finance to initiate investigation of potentially unreported rental income from illegal conversions. SEU also began issuing ECB violations, which are enforceable as tax liens against individual properties.

DEPARTMENT OF BUILDINGS

- During Fiscal 2001 SEU wrote 37 violations for false certifications and failures to certify correction, issued six criminal court summonses, enforced eight vacate orders, referred one case to the District Attorney's Office, referred 120 access warrants to the City's Law Department, and coordinated the issuance of 79 violations enforceable as tax liens. SEU's inspectors conducted 1,017 inspections and wrote 182 violations during the reporting period.
- SEU initiated two pilot projects during Fiscal 2001 designed to promote correction of DOB-issued ECB violations. First, in June 2001 the unit began 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, in June 2001 SEU began a pilot program to notify mortgagees of buildings with serious conditions of violation, in an effort to strengthen enforcement actions against property owners. If the pilots are successful, SEU will recommend the computer programming and other procedural changes that would enable Departmentwide implementation. DOB plans to evaluate both pilots in Fiscal 2002.

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. In Fiscal 2002 the Department plans to hire records room managers for the Bronx and Brooklyn borough offices. In addition, the Department created 31 per diem positions to implement the new records room programs. The new staff will ensure the maintenance and security of Department records for all borough offices and make the processing of 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 the public's use. In Fiscal 2002 DOB will install 16 new personal computers in the borough offices records rooms for staff to track and ensure the security of records through a records retention database.
- In Fiscal 2002 all records room personnel in all five boroughs will receive training in records management and the use of technical equipment. New employees in all five boroughs will receive introductory personal computer classes.
- In October 2001 DOB will release a new Policy and Procedure Notice (PPN) for the building plan records room. The new PPN will establish uniform procedures for the maintenance and security of application folders after Department approval and eliminate the handling of original documents and folders by the public. Only DOB personnel will have access to the Department's records rooms. Viewing of the Department's records will only be through film-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. The new PPN will be distributed throughout the industry by mail and will also be available on the DOB Web page.
- In order to improve uniform records retention throughout the borough offices, DOB instituted a policy establishing procedures for microfilming all applications after issuing a Certificate of Occupancy, letter of completion or final sign-off. The procedure will enhance the Department's records storage efforts as well as improve the public's access to property files.

DEPARTMENT OF BUILDINGS

- In addition to microfilm, DOB is planning to store only building plans that are actively in review on site in the borough offices; inactive plans will be kept in an off-site storage facility. The Department is temporarily transferring all inactive files in Manhattan and Queens to a storage facility prior to microfilming them. Once the records have been microfilmed, they will be permanently stored in an off-site storage facility. Expected completion for this project is the end of Fiscal 2003. In Fiscal 2002 the Department plans to select a vendor to transfer all files to either temporary or permanent storage facilities.

MANAGEMENT INITIATIVES

- In September 2000 Mayor Giuliani created a Task Force chaired by a private citizen and consisting of the heads of the Mayor's Office of Operations, the Department of Buildings, the Fire Department, the Law Department, the Department of Investigation and the Department of Information Technology and Telecommunications. In April 2001 the Report of the Mayor's Task Force Examining Operations of the Department of Buildings was released. The Task Force presented recommendations to reform and professionalize DOB. Key recommendations included streamlining the plan examination and permit process; transferring inspection and enforcement functions from DOB to the Fire Department; reviewing the administration of the licensing examinations for tradespeople; instituting anticorruption measures within the Department; and implementing technological innovations to improve efficiency and customer service delivery throughout DOB.
- During Fiscal 2001 the Department implemented a comprehensive management accountability program known as BUILD (Building Understanding, Integrity, Leadership, Dedication). This program holds managers accountable for performance in specific areas and seeks to improve productivity by extending direct accountability to every area that supports a critical Department function. BUILD goes beyond analyzing trends in performance to examining and ultimately improving the Department's business practices and its service to the public.
- The Department also convened a number of new internal committees to identify problems and implement Task Force recommendations and other 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.

CUSTOMER SERVICE

- During Fiscal 2001 the Department made numerous improvements to its borough offices.
 - In order to create a positive and professional atmosphere, each borough office, including the Bureau of Electrical Control, was freshly painted and new, comfortable, modular seating was installed. New informational and directional signs were installed and suggestion boxes are now available in every borough office. Finally, uniformed security guards are now in place at every borough office.
 - 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 plans to complete the upgrade by Fiscal 2002.
- In Fiscal 2001, 242,142 customers were served in the borough offices and the average wait time, expressed in minutes and seconds, was 24:01.

DEPARTMENT OF BUILDINGS

- The Department developed new customer service standards in Fiscal 2001. These standards reflect the minimum standards DOB employees must maintain when interacting with the public. To ensure that these standards are enforced, the Department will conduct surveys and spot checks of the borough offices and executive offices.
- 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 October 2001.
- In Fiscal 2002 DOB plans to give all call center staff customer service training as well as an overview of the Department's many units. In addition, all staff will receive a review of the goals and mission of the Department. They will also be instructed in necessary computer training, business writing, grammar and usage, and basic staff supervision.

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 Fiscal 2001 the Department issued a total of 833 new licenses and 12,342 renewals for all 13 classifications, compared to 1,099 original licenses and 10,382 renewals in Fiscal 2000.
 - During Fiscal 2001 the Department suspended, revoked or obtained the permanent surrender of 34 licenses and started 126 criminal court cases, compared to suspending or revoking and obtaining the permanent surrender of 11 licenses and starting 183 criminal court cases in Fiscal 2000.
 - In August 2001 the Department's Plumbing Task Force, which investigates unlicensed activity and illegal plumbing work, added a supervising attorney. The attorney, along with a plumbing inspector and several IAD investigators, will develop and prepare cases for referral to the District Attorney's office for criminal prosecution.
- In July 2001 IAD concluded disciplinary proceedings against a licensed plumber resulting in the largest fine ever assessed against a licensed plumber in a disciplinary proceeding. In addition to the \$100,000 fine, the plumber will be placed on probation for three years.
- Based on information gathered by IAD, on July 16, 2001 the Queens District Attorney's office arrested a contractor for forging the name of a deceased plumber on numerous DOB applications. The contractor was charged with several felony counts and faces up to seven years in jail.
- DOB plans to work 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. Two Site Safety Manager exams were successfully administered and a third is planned for September 2001. The first Private Elevator Inspector exam is also scheduled for September 2001.

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- In December 2000 IAD began posting on the Department's Web pages the results of disciplinary actions. IAD has posted actions that occurred in Calendar 1998, 1999, 2000 and 2001. These actions were against DOB-licensed as well as unlicensed individuals, including professional architects and engineers, plumbers and electricians. The information is intended to discourage others from engaging in illegal activity.

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 21.3 percent of the self-certified plans submitted by registered architects and professional engineers during Fiscal 2001, compared to 15.85 percent of self-certified plans submitted in Fiscal 2000. As a result of the Department's audits, one self-certified application was permanently denied, compared to two self-certified applications that were permanently denied in Fiscal 2000.
- Serious discrepancies in self-certified work, which are referred to DOB's IAD, may warrant an investigation of the licensed professional involved. During Fiscal 2001 the Department opened 18 investigations of 13 architects and five engineers; six of these investigations were opened as a result of the professional certification programs' audits. In Fiscal 2000 the Department opened 43 investigations of 26 architects and 17 engineers and 20 of these were opened as a result of the professional certification programs. Investigations can lead to fines and/or exclusion from DOB's self-certification programs.
 - During Fiscal 2001, 10 engineers and 11 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 43 such referrals since the self-certification programs were implemented in May 1994.
- During Fiscal 2001 DOB audited 9,441, or 24.5 percent, of the 38,590 self-certified elevator inspections, compared to 9,161, or 24.7 percent, of the 37,034 self-certified inspections during the prior reporting period. These audits resulted in 892 violations issued, compared to 946 violations issued during Fiscal 2000. The majority of these violations were for minor maintenance issues that did not affect public safety.
- For the third consecutive year the Department exceeded the New York State requirement of auditing a minimum of 5 percent of all boiler applications. During Fiscal 2001 the Department conducted audits of 7,770, or 9.9 percent, of the 78,132 boiler self-certifications submitted, compared to 8,277, or 10 percent, of the 82,810 boiler self-certifications submitted during Fiscal 2000.
- During the reporting period the Department audited 19.9 percent of all plumbing self-certifications, compared to 23.1 percent during Fiscal 2000. Of the 2,220 plumbing audits conducted, the Department found 363 discrepancies in self-certifications, compared to 497 discrepancies in the 2,569 plumbing audits conducted in Fiscal 2000. The majority of the Fiscal 2001 discrepancies consisted of minor deviations from either initial building plans or DOB procedures.

DEPARTMENT OF BUILDINGS

TECHNOLOGY

- DOB plans to fully integrate the Electrical Inspection Control System (EICS) computer database with the Building Information System (BIS) computer database by Fiscal 2003. 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 by Fiscal 2005.
- During Fiscal 2001 the Department received 716,155 views of its home page on NYC.GOV, compared to 203,106 views received in Fiscal 2000. This represents a 253 percent increase. In addition, DOB continued to enhance its home page in order to provide easily accessible information to the public.
 - The Department's Web pages have been greatly enhanced. The New York City Building Code, with amendments through 1998, and Reference Standards are now available. DOB rules will be available by late September 2001.
 - The Web pages were also redesigned to enhance its user-friendly features and promote the new image of the Department. They are being further enhanced for easier navigation and compliance with Americans with Disabilities Act (ADA) requirements, such as formatting the pages so that individuals with visual impairments can use text-reading software when accessing them.
 - The Department posted all Operational Policy and Procedure Notices (OPPNs), Administrative Policy and Procedure Notices (APPNs) and Technical Policy and Procedure Notices (TPPNs) issued from 1987 to the present on the home page. These notices represent the Department's official policies and assist customers in following various operational, administrative and technical procedures, such as guidelines for obtaining emergency plumbing permits and sidewalk shed applications.
 - By September 2001 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.
 - In December 2000 the Department posted an alphabetical listing of Frequently Asked Questions on its home page. The listing provides the public with specific information, such as where to purchase the Building Code, how to remedy a building violation and how to obtain a building permit. In July 2001 the Department also placed complaint forms online; customers can complete the form online and either mail or fax it to the Department.
- Customer service kiosks will be installed in all borough offices by October 2001. 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. Callers also have the option of speaking directly with trained representatives during regular business hours. During Fiscal 2001 the call center handled 51,664 calls, of which 2,313 were requests for a plan examination appointment.

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- The Department worked with the Department of Information Technology and Telecommunications 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.

BUDGET HIGHLIGHTS

- During Fiscal 2001 the Department's expenditures were \$49 million, compared with its plan of \$50.2 million; headcount was 685, compared with its plan of 763. The Department's Fiscal 2000 expenditures were \$42.3 million, and headcount was 692.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$30.1 million and a planned headcount of 377.

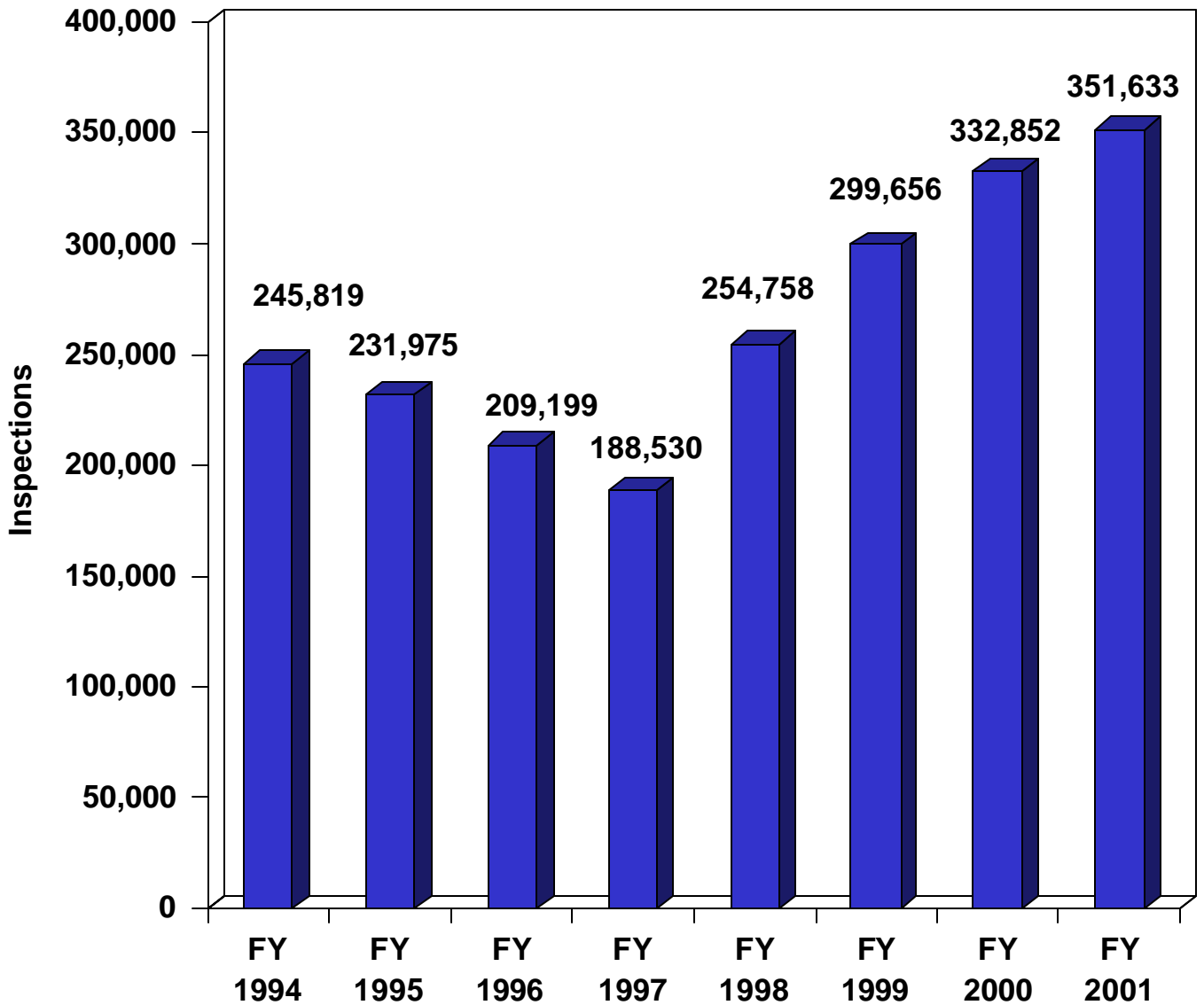
LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001
Plan Examinations – Average Days to First Examination	6.8	8.2	8.2	6.1	6.1
Plan Examinations – Average Days to First Examination: New Buildings	13	15	14.3	10.9	13.6 (a)
Plan Examinations – Average Days to First Examination: Alteration I	12.3	15	15	10.9	10.9
Plan Examinations – Average Days to First Examination: Alteration II and III	4.7	8.9	6.1	4.8	4.8
Average Working Days to Investigate Priority A Complaints	1.8	2	1.76	3.5	1.62 (b)
Average Working Days to Investigate Priority B Complaints	30	23.4	48.15	34.1	19.1 (b)

- (a) The average days to first examination for new buildings increased due to an increase in the number of applications filed in Fiscal 2001.
- (b) In Fiscal 2001 the Department recoded and reprioritized complaints to make the Department's response more efficient.

Department of Buildings

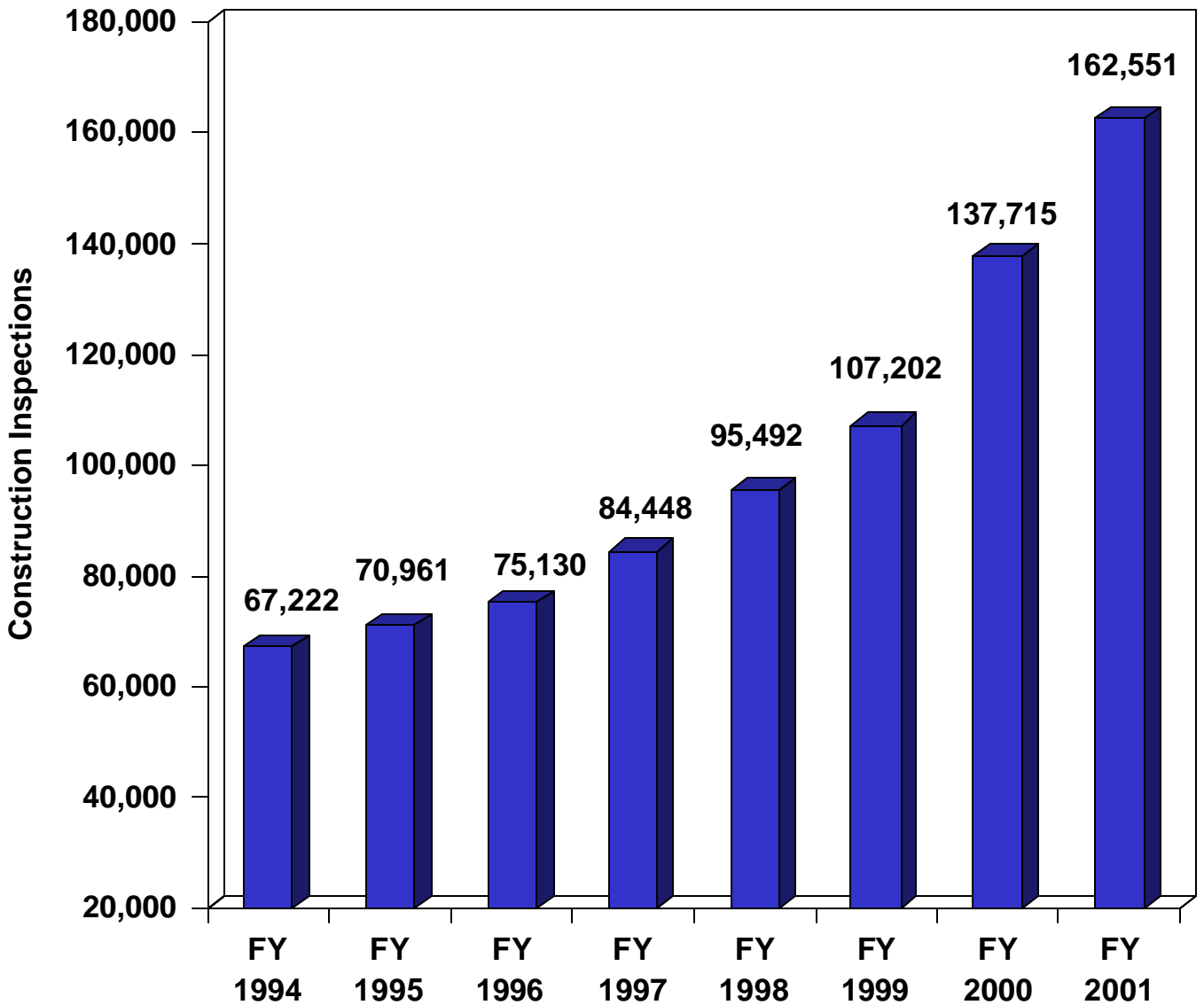
Total Inspections Fiscal 1994-2001



Total inspections include construction, elevator, plumbing, boiler, electrical and crane and derrick inspections.

Department of Buildings

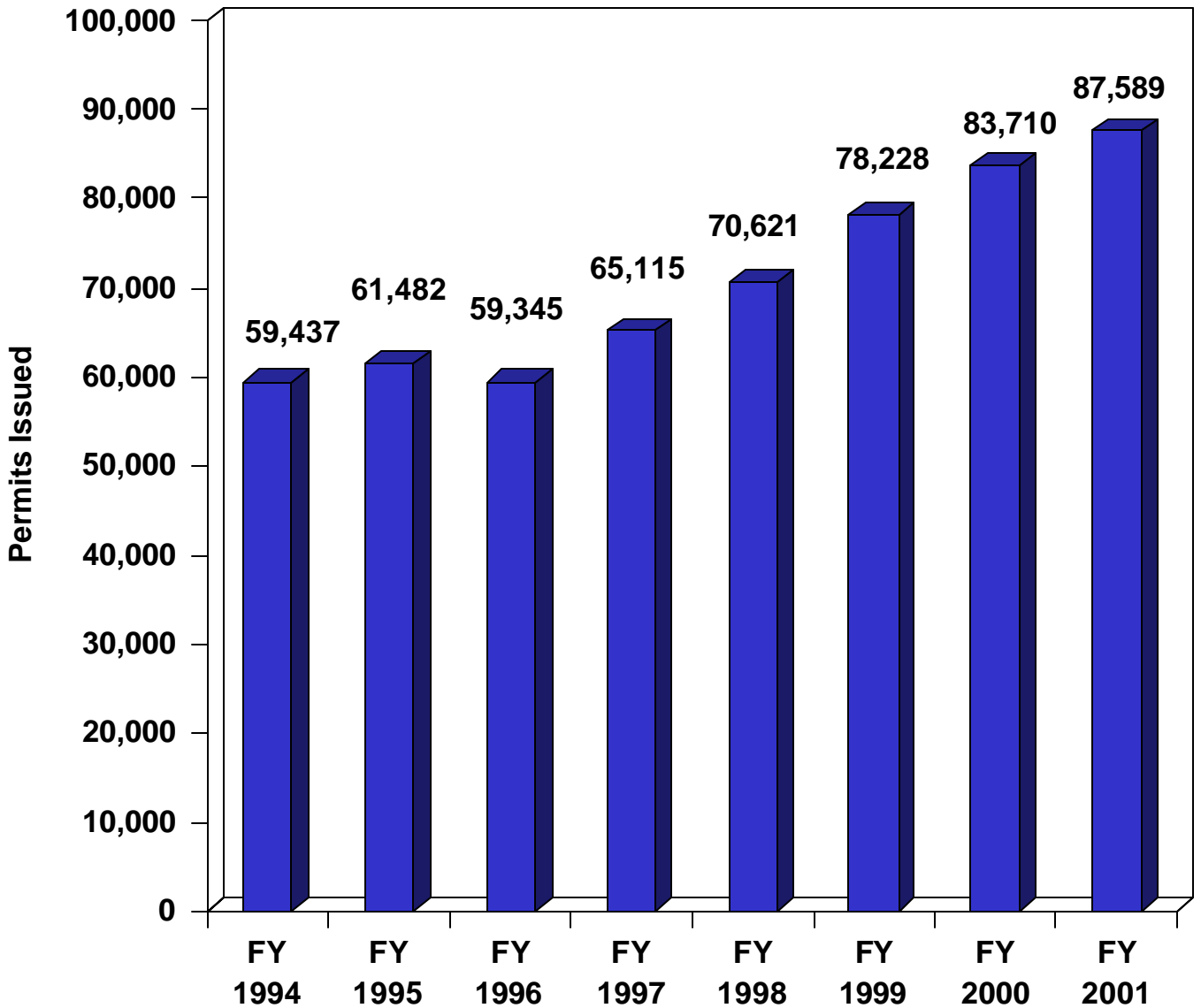
Construction Inspections Fiscal 1994-2001



Construction inspections include Quality of Life Team field inspections.

Department of Buildings

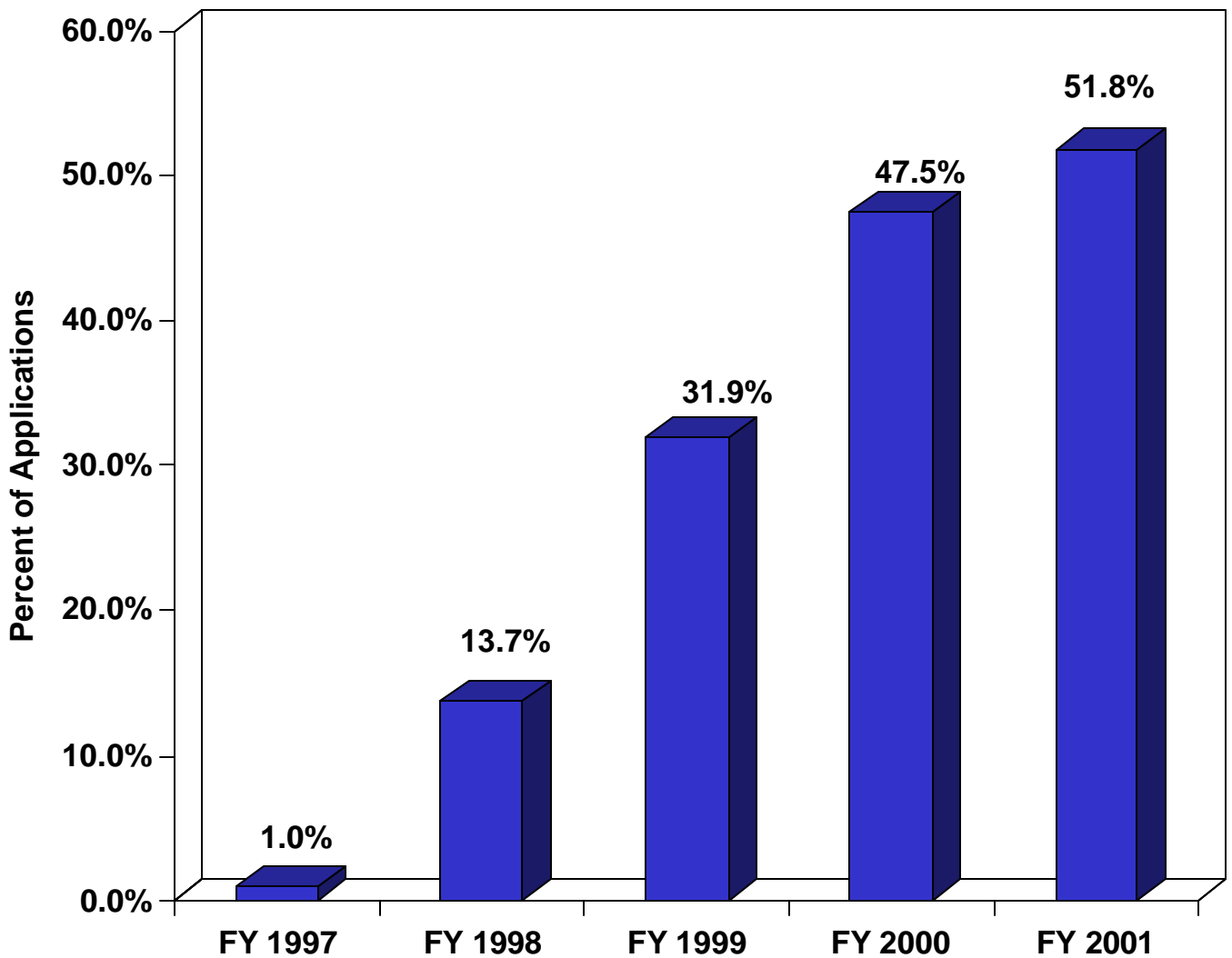
Building Permits Issued* Fiscal 1994-2001



*This includes the categories other than New Buildings, Alteration I, and Alteration II and III permits, such as places of assembly, sign and demolition.

Department of Buildings

Percent of New Permit Applications Using Computer Disk Filing Fiscal 1997-2001



Computer Disk Filing (PC Filing) was implemented citywide in October 1997.

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 and their base stations to ensure a sound vehicle-for-hire industry and to protect the public. There are currently over 150,000 active licensees that the Commission is responsible for maintaining. The Commission is responsible for setting the medallion taxicab fare rate and enforcing all rules and laws related to service standards.

GOALS AND OBJECTIVES

Goal: Ensure that taxicabs meet all safety requirements.

Objective	FY 01 Actual	FY 02 Plan
Conduct approximately 57,000 safety and emissions inspections.	52,044	55,000
Verify that 15,500 safety conditions are corrected as a result of notices of violation.	14,540	15,000

Goal: Maintain high industry standards through enforcement and prevention programs.

Objective	FY 01 Actual	FY 02 Plan
Safeguard the public by seizing 6,500 unlicensed for-hire vehicles.	5,051	5,500
Initiate padlock proceedings against 16 unlicensed bases.	31	31
Ensure service to passengers by testing 4,000 vehicles under Operation Refusal.	4,000	4,000
Protect the public by issuing summonses to 15,500 for-hire vehicle owners, 9,500 for-hire drivers and 3,000 for-hire bases.	17,034 / 8,189 8,838	15,500 / 8,000 5,000

Goal: Provide an effective process of adjudicating summonses and public complaints.

Objective	FY 01 Actual	FY 02 Plan
Process approximately 12,000 consumer complaint cases to completion.	15,241	13,000
Improve the public complaint process by scheduling hearings within 40 days.	40.8	40
Adjudicate 80,000 violations through final disposition.	105,795	100,000

TAXI AND LIMOUSINE COMMISSION

Goal: Provide an effective licensing process to support the industry.

Objective	FY 01 Actual	FY 02 Plan
Issue approximately 19,750 new and renewal licenses to medallion drivers.	18,555	19,750
Issue 24,100 new and renewal licenses to for-hire vehicle drivers.	26,940	27,000
Issue 29,000 new and renewal licenses to for-hire vehicle owners.	24,310	32,000
Issue approximately 320 new and renewal licenses to for-hire base owners.	273	320

HIGHLIGHTS AND ACHIEVEMENTS

INDUSTRY AND REGULATORY REFORM

- Under the Giuliani administration the Taxi and Limousine Commission (TLC) established a comprehensive set of industry and regulatory reforms affecting medallion taxicabs and for-hire vehicles. These measures were directed toward improving safety and levels of service.
 - In March 1996 the Commission implemented the Taxicab Vehicle Retirement Program to create a newer, safer and more efficient medallion taxicab fleet in the City. Under the mandatory retirement program, medallion taxicab owners must comply with maximum vehicle usage standards such as three years for multiple shift/fleet-operated taxicabs and five years for single shift/independently owned taxicabs. Since the introduction of the retirement program approximately 9,000 vehicles have been retired.
 - In response to increasing numbers of violations issued by TLC and complaints received from consumers, in June 1999 the Commission developed and passed comprehensive rules and regulations for the previously unregulated taximeter industry. These rules require TLC licensure for businesses that manufacture, install or repair taximeters used in licensed New York City taxicabs. Important aspects of this reform for businesses that handle taximeters include mandatory financial disclosure, criminal background investigations, stricter reporting and increased liability in the case of meter tampering. In addition, these reforms require manufacturer certification of meter shop employees responsible for the repair and installation of taximeters.
- During Fiscal 2001 the safety and viability of the taxicab industry in New York City continued to improve as a result of the Giuliani administration's Comprehensive Taxicab and Livery Industry Reform Package. These reforms ensure public and consumer safety 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. These reforms allow the Commission to take action against drivers who repeatedly violate TLC rules and traffic regulations.
 - Since the inception of mandatory drug testing in October 1998, 1,030 licensees have tested positive for illegal substances, and as a result 983 have had their licenses revoked. Since the inception of the Probationary License Rule in July 1998, 146 drivers have had their licenses revoked or have not been permitted to renew. Through the Persistent Violator Program, which began in July 1998, 547 drivers have had their licenses suspended and 116 drivers have had their licenses revoked, while the Critical Driver Program, which began in February 1999, has seen 1,668 drivers suspended and 316 drivers' licenses permanently revoked.

TAXI AND LIMOUSINE COMMISSION

- In April 2001 TLC acquired online access to the New Jersey Department of Motor Vehicles (NJDMV) database, allowing TLC to confirm the status of approximately 5,600 licensees who maintain licenses in New Jersey but serve passengers in New York City. With access to NJDMV records, the TLC Enforcement Division is now able to verify New Jersey registrations and drivers' licenses during vehicle stops, thereby enhancing public safety and enforcement efficiency. This online access will benefit the performance of TLC's Licensing Division by eliminating the need for NJDMV driver applicants and licensees to provide abstracts of their records.
- In connection with TLC's program to place wheelchair-accessible vehicles into service throughout the for-hire vehicle and medallion taxicab industries, the Commission unanimously voted in November 2000 to adopt an amended rule requiring all licensed for-hire vehicles to provide wheelchair-accessible service on demand as of October 31, 2001. Each base must either dispatch an accessible vehicle affiliated with the base, or contract with another licensed base for the provision of service to its customers.
 - In Fiscal 2001 the City of New York established a \$1 million fund to reimburse medallion and for-hire vehicle owners who purchase wheelchair-accessible vehicles or have their vehicles retrofitted. Of the \$1 million allocated to the program, \$750,000 was assigned to the for-hire vehicle industry and \$250,000 to the medallion taxicab industry. The program's specifications require allocation of funds by borough, according to the percentage of bases in each borough compared to the City as a whole. TLC continues to test wheelchair-accessible medallion taxicabs to determine their safety, reliability, comfort and versatility.

MEDALLION TAXICAB INITIATIVES

- During 2001 the Giuliani administration focused on standardizing and improving the quality of service offered by medallion taxicabs to consumers. Safety and quality of transportation to and from destinations, and the education of passengers regarding their rights are among the quality measures used to improve the medallion taxicab industry.
 - In Fiscal 1997 the Commission began medallion taxicab driver initiatives to improve driver awareness and education. At that time TLC instituted a mandatory four-hour course that included driver conduct standards, as well as vehicle and customer service standards. As part of the Industry Reform Package, in Fiscal 1998 the Commission increased the minimum mandatory taxi driver-training curriculum from 40 to 80 hours. In addition, each driver is now mandated to take a four-hour refresher class at the end of their medallion driver license one-year probationary period.
 - In Fiscal 1996 the Commission established the Taxicab Rider's Bill of Rights and required its posting in each taxicab. The Bill of Rights sets standard levels of service to which passengers are entitled, and outlines the circumstances under which they should alert TLC to possible violations of Agency rules and regulations.
- During Fiscal 2001 TLC continued to address passenger service refusals through its Operation Refusal. Begun as a pilot program in Fiscal 1996 and funded as a permanent part of TLC's mission in Fiscal 1997, Operation Refusal uses undercover TLC Inspectors as prospective taxicab passengers who test taxicab drivers' compliance with the rules and laws against all forms of passenger service refusal. During Fiscal 2001 TLC tested 4,000 taxicab drivers through Operation Refusal, resulting in 215 service refusal summonses and 2,194 summonses for other violations. Since the introduction of the program in Fiscal 1996, TLC tested 14,024 taxicab drivers, resulting in the issuance of 1,392 violations.

TAXI AND LIMOUSINE COMMISSION

- In Fiscal 2000 the Commission passed a rule requiring all medallion taxicabs to be enrolled in the New York EZ-Pass system. The rule further requires the use of EZ-Pass at all bridge and tunnel toll crossings. Discounts associated with EZ-Pass usage must be passed along to consumers. During Fiscal 2001 TLC's Uniformed Services Bureau conducted 31 enforcement operations at the toll plazas of the Tri-Borough Bridge and the Mid-Town Tunnel to ensure compliance. This resulted in 1,309 medallion taxicab violations of the EZ-Pass requirements, as well as the issuance of 1,309 driver summonses and 550 owner summonses. Since the introduction of the program in Fiscal 2000, 1,986 medallion taxicabs have been tested and a total of 1,800 driver summonses and 805 owner summonses have been issued.

FOR-HIRE VEHICLE INITIATIVES

- The Commission has identified safety and higher licensing standards as the main areas of focus for the for-hire vehicle industry. Bullet-resistant partitions and in-vehicle digital security cameras, as well as information sharing of driver and licensing information with other municipalities, demonstrate the Commission's innovative technological achievements for passenger and driver safety.
 - Through the efforts of the Giuliani administration, Local Law 51 of 1996 established higher standards and criteria for all prospective for-hire vehicle base station license applicants seeking to renew or acquire operating licenses. The central components of the Law require all base station applicants to pass background checks. In addition, all bases must comply with off-street parking requirements and demonstrate proper licensing for vehicles, as well as a minimum number of vehicles affiliated with the base. TLC issues violations, and suspends or revokes base licenses when a base violates one or more of the rules contained in Local Law 51.
- In February 2001 TLC entered into an agreement with the Westchester County Taxi and Limousine Commission (WCTLC) that permits the reciprocal recognition of licenses issued by these two jurisdictions. Under this agreement, Westchester County for-hire vehicle licensees are no longer required to obtain TLC Tier II permits to transport passengers from New York City to points outside the City. As a result, new and renewal Tier II license applications declined by more than 60 percent from Fiscal 2000 levels. TLC licensees are also permitted to accept passengers, by prearrangement, for trips that originate within Westchester County.
- In Fiscal 2001 TLC's Uniformed Services Bureau continued Operation City Sweep, its expanded citywide quality-of-life enforcement initiative. This 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 throughout the borough of Manhattan. During Fiscal 2001 the Uniformed Services Bureau conducted 36 enforcement operations, issued 1,872 summonses and seized 272 unlicensed vehicles. Since the inception of Operation City Sweep in January 2000 the Uniformed Services Bureau conducted a total of 54 enforcement operations, issued 4,234 summonses and seized 516 unlicensed vehicles.
- In February 2001, as a result of TLC's collaborative efforts with the Department of Transportation (DOT) and the New York City Police Department (NYPD), four curbside loading/unloading sites were installed in downtown Brooklyn for authorized commuter vans. Traffic congestion and user activity at the stops were closely monitored by the agencies involved, and feedback from the relevant commuter van operators was obtained. As a result of the study, all but one of the four sites was discontinued for insufficient use. DOT has identified three replacement sites along Schermerhorn Street, which is a wider and more accessible main thoroughfare.

TAXI AND LIMOUSINE COMMISSION

TECHNOLOGY

- In April 2001 TLC implemented the Management Accountability and Productivity Program (MAPP) to improve Agency productivity and service delivery. A centralized management and analysis unit will operate MAPP. Specifically, the unit will monitor and analyze critical operational and enforcement data in order to identify and anticipate performance trends, enhance agency communication and ensure accountability.
- In February 2001 TLC implemented a six-month pilot program for a new style of medallion taxicab rooftop advertising that can be programmed and upgraded via the Internet/radio for specific geographic areas. In June 2001 the 50-vehicle pilot program was evaluated and deemed successful. The Commission approved this advertising installation for any interested medallion taxicab owner in July 2001.
- In conjunction with NYPD, in April 2001 TLC implemented videoconferencing at its Adjudication Division. This system permits TLC hearings generated from summonses issued by NYPD Taxi Squad officers to be adjudicated using live, interactive telecasts from any Taxi Squad Unit location. Officers, respondents and the Administrative Law Judges have visual and verbal contact with each other during the hearings. Videoconferencing is expected to decrease officer travel time and overtime costs related to TLC enforcement initiatives.
- 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. TLC's Base-Licensing unit began issuing passwords to base owners in February 2001. Since the program's inception TLC issued 400 passwords and received 4,000 page views of the application. In July 2001 TLC implemented Phase II, which extends for-hire vehicle base application to approximately 200 paratransit bases; 78 van authorities; and 79 medallion agents, fleets and taxi industry organizations. Phase III will extend this application to approximately 12,187 medallion vehicle owners, 50,429 for-hire vehicles, 2,294 paratransit vehicles, 37,545 medallion drivers, 52,970 for-hire vehicles drivers, 1,114 paratransit drivers and 391 commuter van drivers.
- During Fiscal 2001 the Department's home page on NYC.GOV, the City's official Web site, received 301,664 page views, compared to 160,182 views during Fiscal 2000.

BUDGET HIGHLIGHTS

- During Fiscal 2001 the Department's expenditures were \$23.5 million, compared with its plan of \$25.1 million; headcount was 367, compared with its plan of 399. The Department's Fiscal 2000 expenditures were \$21.6 million and headcount was 370.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$24.9 million and a planned headcount of 404.

TAXI AND LIMOUSINE COMMISSION

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001
Consumer Relations – Number of Completed Cases	12,845	13,737 (a)	14,681 (a)	16,627 (a)	15,241
Average Time to Adjudicate Complaints (Days) (b)	40	27.7 (c)	25 (c)	26.6 (c)	NA
Average Time to Schedule a Hearing (Days) (b)	NI	NI	NI	NI	40.8
Adjudications – Hearings to Final Disposition (d)	67,386	79,971	81,430	77,025	NA
Adjudications – Total Violations Adjudicated to Final Disposition (d)	NI	NI	NI	NI	105,795
Licensing – Medallion Drivers Licenses	45,266	40,592	50,812	35,160 (e)	18,555 (e)
– For-Hire Vehicle Drivers Licenses	NI	34,980	34,764	45,262 (f)	26,940(e)
For-Hire Base Licenses					
– New Licenses Issued	40	6 (g)	23 (g)	28	32
– Renewal Licenses Issued	239	146 (h)	244 (h)	425 (h)	241 (h)
– License Renewals Pending (i)	489	589	437	NA	NA
For-Hire Vehicles Licenses Issued	NI	NI	45,904	48,271	24,310 (e)
Inspections – Total Inspections Conducted	60,658	59,807	59,544	54,695	52,044
For-Hire Vehicle Patrol Summonses					
– Owner	10,846	12,900	11,429	17,228	17,034
– Driver	7,042	8,128	8,230	7,945	8,189
– Bases	1,041	1,226	4,362 (j)	9,825 (j)	8,838
Vehicles Seized (k)	7,124	7,407	6,459	5,335	5,051

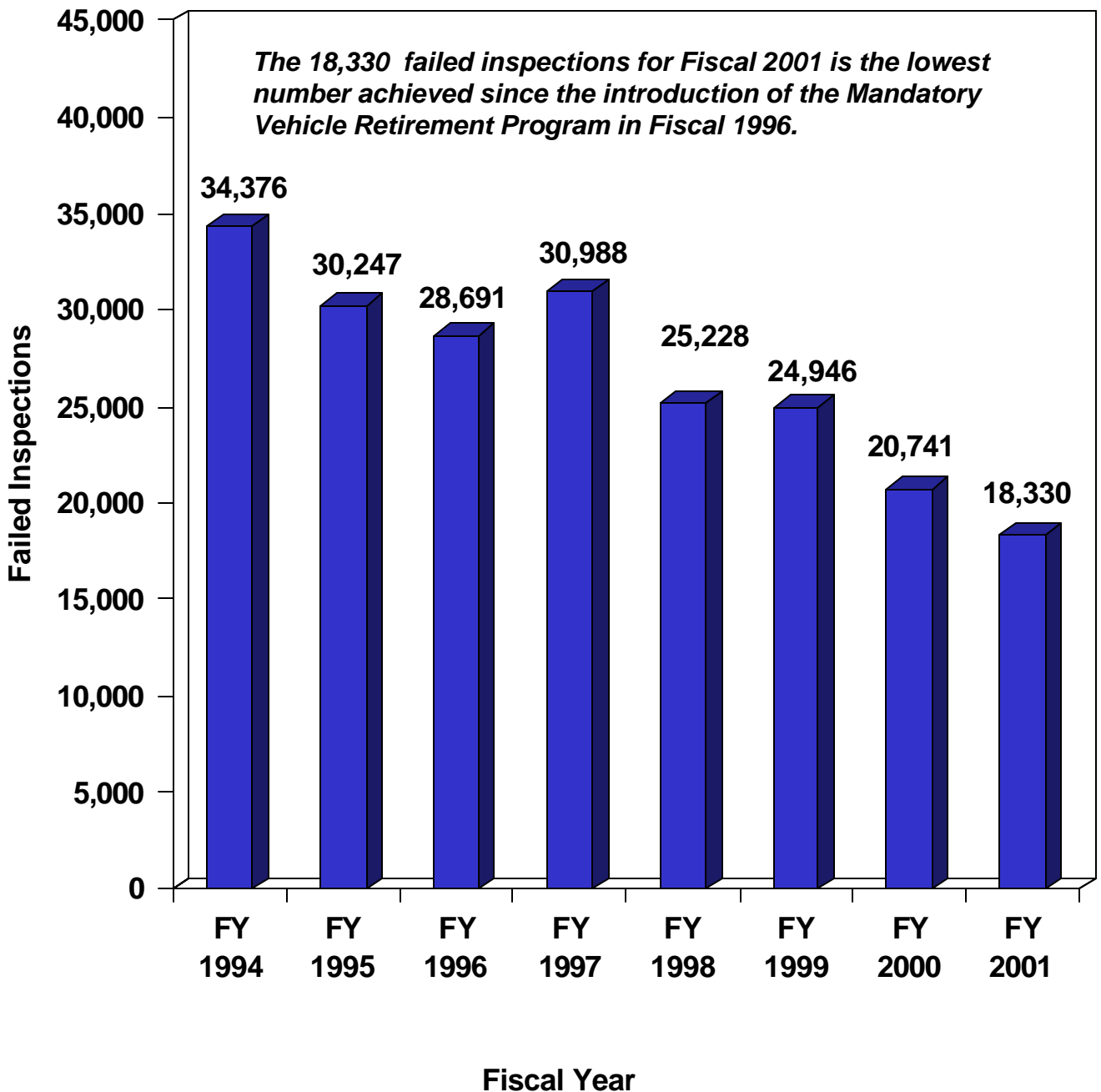
- (a) Increased hiring in the customer services division and other productivity enhancements contributed to an increase in the number of cases completed.
- (b) The indicator is no longer being tracked; instead “Average Time to Schedule a Hearing” will be reported to more accurately reflect the interaction between the complainant and the adjudication process.
- (c) Due to an error in tracking since Fiscal 1998 these numbers do not accurately reflect this indicator. The data to determine the correct Fiscal 2000 average is no longer available. Therefore, TLC cannot provide a revision as stated in the Fiscal 2001 Preliminary Mayor’s Management Report.
- (d) Due to the implementation of the Citywide Administrative Management Information System (CAMIS), “Total Violations Adjudicated to Final Disposition” will now be reported instead of “Hearings to Final Disposition.” This indicator more accurately reflects the number of summonses and violations processed by the Adjudication Unit.
- (e) 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.

TAXI AND LIMOUSINE COMMISSION

- (f) The variance is due to an increase in for-hire vehicle renewal applications received and greater efficiency within the for-hire vehicle licensing unit.
- (g) 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.
- (h) 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 background checks and criminal investigations. In Fiscal 1999 and 2000 the backlog in renewal licenses was completed.
- (i) TLC is no longer tracking this indicator.
- (j) Enforcement personnel targeted community quality-of-life complaints in addition to regular patrols.
- (k) Enforcement personnel found fewer unlicensed for-hire vehicles and greater compliance with TLC rules and regulations.

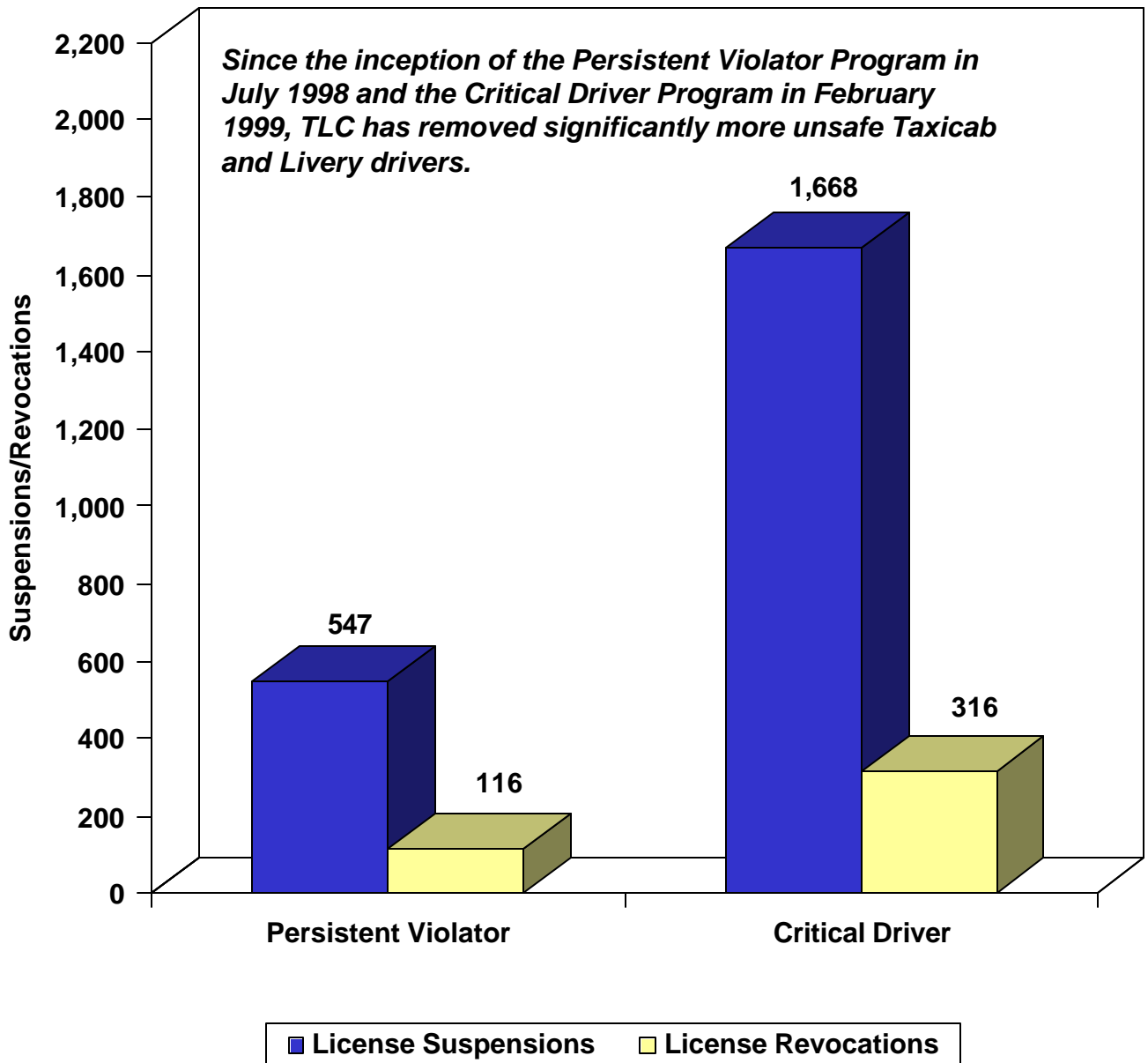
Taxi and Limousine Commission

Safety and Emissions Medallion Failed Inspections Fiscal 1994-2001



Taxi and Limousine Commission

Regulatory Reform Persistent Violator and Critical Driver Programs



Data for the Persistent Violator and Critical Driver programs is through Fiscal 2001.

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	FY 01 Actual	FY 02 Plan
Increase early settlements in the Early Intervention Unit by 5%.	-7%	5%
In Fiscal 2001 increase by 15% settlements of cases in the borough offices or through court programs, excluding the Early Intervention Unit, before they are placed on the trial calendar.	-8%	15%

Goal: Aid the City's efforts to increase public safety by prosecuting juvenile criminal cases in Family Court.

Objective	FY 01 Actual	FY 02 Plan
Maintain the percentage of criminal juvenile arrests filed for prosecution at 65%.	68%	65%
Maintain the conviction rate of criminal juvenile cases at 80%.	77%	80%
Maintain at no more than four weeks the average time needed to initiate delinquent out-of-state child support payment proceedings.	Same Day Service	4 Weeks

HIGHLIGHTS AND ACHIEVEMENTS

TORT LIABILITY

- During Fiscal 2001 the Department resolved 9,858 cases and opened 8,677 cases, compared to 10,804 cases resolved and 9,343 cases opened during Fiscal 2000. Of the 9,858 cases closed, 3,323 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 10,804 cases closed during Fiscal 2000, 4,156 were disposed before discovery began.
- During Fiscal 2001 the Division filed 1,848 affirmative motions, a 3 percent decrease compared to the 1,915 affirmative motions during Fiscal 2000. Affirmative motions are motions made on a question of law, which, if successful, completely dispose of the case.

LAW DEPARTMENT

- 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 321 insurance takeovers during Fiscal 2001, 4.5 percent more than the 307 takeovers during Fiscal 2000. This increase is attributed to greater processing efficiencies developed during the reporting period.
- EIU settled 1,664 cases during the reporting period, a 7 percent decrease from the 1,783 cases settled during Fiscal 2000. During Fiscal 2001 the average settlement amount for cases in the Early Intervention Unit was \$9,415, compared to \$10,668 during Fiscal 2000.
- During Fiscal 2001 the Department continued to see significant results from early settlement initiatives, separate from EIU, conducted and handled in the pretrial stages in the City courts. The Tort Division attained 916 Pre-Note-of-Issue settlements during the reporting period, an 8 percent decrease compared to 998 early settlements during Fiscal 2000. Significantly, the average settlement amount for cases in this category decreased from \$13,342 in Fiscal 2000 to \$12,473 in Fiscal 2001. This represents about one-third of the citywide average tort settlement amount of \$36,238 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 of the case on the trial calendar.
- During the reporting period the Tort Division attained 363 early Post-Note-of-Issue settlements, a decrease of 60 percent compared to the 914 settlements during Fiscal 2000. This decrease is partially attributed to the illness of conferencing judges. 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 7,732 during Fiscal 2001, compared to 8,519 settlements during Fiscal 2000. In Fiscal 2001 total City tort payout, including settlements and verdicts, was approximately \$512 million. This increase over the Fiscal 2000 total City tort payout of \$410 million is the result of several factors. First, the courts have exerted tremendous pressure over the past three to four years toward the resolution of 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. Secondly, the courts have required the City to try other long-pending high-exposure cases and doubled the number of cases being set out to trial each week. Lastly, settlement amounts in high-exposure cases have been influenced by the Appellate Division, First and Second departments' proclivity to sustain increasingly high awards. For example, cases involving plaintiffs who suffered brain damage were previously reduced by the court to \$5 to \$6 million, but now are sustained at \$14 million.

FAMILY COURT

- During Fiscal 2001, 7,469 child support cases were filed, compared to 8,000 cases during Fiscal 2000.
- During Fiscal 2001 the trial conviction rate for juvenile criminal cases in Family Court was 82 percent, compared to 81 percent during Fiscal 2000. The overall conviction rate, including plea bargains, settlements and trials, was 77 percent, compared to 81 percent during Fiscal 2000.
- The Family Court Division's rate of cases accepted for prosecution for Fiscal 2001 was 68 percent, compared to 65 percent during Fiscal 2000.

LAW DEPARTMENT

- Due to the transition and transfer of data to the new 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.

ECONOMIC DEVELOPMENT

- In September 2000 the Department drafted and negotiated the lease for the new minor league stadium facility for the Staten Island Yankees, known as Richmond County Savings Bank Ballpark. The facility was constructed in a formerly abandoned rail yard next to the Staten Island Ferry terminal and opened with a game against the Hudson Valley Renegades on Sunday, June 24, 2001.
- Attorneys in the Commercial and Real Estate Litigation Division successfully defended an action that sought to prohibit the City from constructing, or authorizing the construction of, the minor league stadium in Coney Island, Brooklyn to be used by the Brooklyn Cyclones, an affiliate of the New York Mets. The Federal District Court in the Eastern District of New York dismissed the action in its entirety on July 13, 2000. The new baseball stadium, known as Keyspan Park and located at Steeplechase Park next to the boardwalk, opened on June 25, 2001 with a game against Ohio's Mahoning Valley Scrappers.
- The Division represented the City in the drafting and negotiation of a complex set of documentation for a new courthouse condominium to be contained within a private office building as part of MetroTech Center in downtown Brooklyn. The facility will result in a major contribution to the quality and character of the administration of justice in Kings County and will provide a home for other City agencies.
- The Division represented the City in structuring and documenting the funding of the first phase of the physical renovation and modernization of the Lincoln Center complex. This first phase funding of the modernization is in the amount of \$24 million.
- The Division represents the City in connection with the development of a new trading facility for the New York Stock Exchange, together with an office tower over it, which would be built on an entire City block in the financial district in Lower Manhattan.
- The Division represented the City in documenting, negotiating and closing a major land sale deal in the East New York section of Brooklyn for a new regional shopping center near Starett City to be known as Gateway Center. The transaction also requires the developer to complete and deliver substantial off-site infrastructure improvements to the area, which will reinforce existing public services.
- The Division represents the City in an effort to realize a new headquarters building for a major New York newspaper within the 42nd Street Project. The new headquarters would be included within a mixed-use tower at the southwest corner of the 42nd Street Project between 41st and 42nd streets on Eighth Avenue. The office tower is to be built according to a bold new design by the world famous architect, Renzo Piano.

LAW DEPARTMENT

MANDATE RELIEF

- In Fiscal 2001, Affirmative Litigation Division attorneys pursued the City's lawsuit against gun manufacturers for lax marketing and distribution practices that contribute to the 80 to 85 percent of guns used in the commission of crimes that come into the City from other states. The case is currently in discovery in the Eastern District.
- In the wake of the U.S. Department of Justice Antitrust Division's criminal prosecution of food vendors who perpetrated a multi-year price fixing and bid-rigging conspiracy against the New York City Board of Education and the City of New York, the New York City Law Department's Affirmative Litigation Division has recovered about \$3.5 million thus far in restitution on the public school system's behalf. Both the Justice Department and the Board of Education supplied the evidence, testimony, and other information and perspectives necessary to obtain convictions and the Affirmative Litigation Division assisted in the recovery of restitution of the loss due to illegally inflated food prices. The Justice Department has negotiated plea agreements with most of the food vendors and has tried one case successfully, with sentencing ongoing through September 2001. The City is optimistic that full cash restitution will result from the sentencing process.

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 \$3.1 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. Although pleased with the cash settlement, the City is challenging the amount of fees sought by the outside class counsel at the Third Circuit Court of Appeals. A decision is expected by Fall 2001.

LEGISLATION

- Attorneys in the Legal Counsel Division, working with the Department of Finance and the Office of Management and Budget, drafted Local Law No. 37 of 2001, which reduces the City's personal income tax, and Local Law No. 38 of 2001, which reduces the City's commercial rent tax. Local Law No. 37 reduces the rate of the additional tax on personal income tax, depending on filing status and income. Local Law No. 38 extends earlier reductions in the commercial rent tax, which now applies only to certain tenants in Manhattan.
- Attorneys in the Legal Counsel Division drafted State legislation, enacted as Chapter 88 of the Laws of 2001, which authorized the City of New York to lease part of the parkland known as Steeplechase Park to the Brooklyn Baseball Company, LLC. The lease is in connection with the construction, operation and maintenance of a stadium for the Brooklyn Cyclones, a professional minor league baseball team, which is the Class A New York-Penn League affiliate of the New York Mets.
- Attorneys in the Legal Counsel Division worked with the New York City Police Department (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.

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. The Law Department is now in the process of implementing a pilot document management imaging system in the Commercial Litigation and Affirmative Litigation divisions. By the end of Calendar 2001 the Department plans to have at least 25 of the 115 pilot users online for the purpose of improving the efficiency with which research, new document composition and the sharing of discovery documents is performed.
- By the first quarter of Fiscal 2002 the Department plans to expand Internet-based research capabilities to all personal computers used by lawyers and investigators. 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.
- In October 2000 the Department began publishing the Juvenile Justice Reporter (JJR) on the Law Department's Web page. JJR is a monthly publication of the Family Court Division that references recent criminal cases and provides comments relating to the cases. These comments will soon be searchable, providing attorneys access to the Web site for legal research in the area of juvenile justice.
- 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 Fiscal 2001 there were 215,195 page views, an increase of 239 percent, compared to 63,444 views during Fiscal 2000.

BUDGET HIGHLIGHTS

- During Fiscal 2001 the Department's expenditures were \$97.2 million, compared to its plan of \$92.8 million; headcount was 1,151, compared to its plan of 1,188. The Department's Fiscal 2000 expenditures were \$91.7 million and headcount was 1,171.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$98.2 million and a planned headcount of 1,152.

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	FY 01 Actual	FY 02 Plan
Collect a revised \$8 billion in property and \$5.1 billion in non-property tax for a revised total of \$13.1 billion in City-administered tax revenues.	\$13.7 billion	\$13.6 billion
Serve each Borough Payment and Adjudication Center customer in a revised average of 15 minutes.	8.9 minutes	10 minutes
Process 8.5 million parking tickets.	8.2 million	8.3 million
Process 320,000 parking ticket, real estate and water payment transactions and collect \$44 million in revenue through the Neighborhood Payment Center program.	383,814/ \$37.2 million	350,000/ \$34.3 million
Expand electronic methods of payment by allowing payment of multiple parking tickets over the Internet and electronic funds transfer for property tax payments in January 2001.		
Through the NYCSERV project, provide real-time online inquiry to real estate account information by January 2001.		
Determine the assessed value for all property classes by May 2001.		
Open Manhattan Business Center by February 2001.		

Goal: Improve compliance with New York City tax laws.

Objective	FY 01 Actual	FY 02 Plan
Complete over 23,000 desk audits and 2,300 field audits.	20,277 desk/ 1,987 field	20,300 desk/ 1,980 field
Complete implementation of the Collector's Workbench and Phase I of the Professional Audit Support System (PASS) in Fiscal 2001.		
Commence sixth round of tax lien sales by April 2001.		

Goal: Maintain public land records (deeds, mortgages, etc.) and personal property (Uniform Commercial Code) filings.

Objective	FY 01 Actual	FY 02 Plan
Record 325,000 real property documents and over 75,000 Uniform Commercial Code (UCC) filings.	361,363 real property/ 156,431 UCC	325,000 real property/ 75,000 UCC
Begin the design of the Automated City Register Information System for real and personal property records by February 2001.		

DEPARTMENT OF FINANCE

Goal: Process parking summonses and provide a fair and impartial adjudicatory forum for motorists to contest them.

Objective	FY 01 Actual	FY 02 Plan
Hold 1.1 million hearings to adjudicate 2.5 million summonses.	859,000 hearings/ 2.2 million summonses	947,000 hearings/ 2.4 million summonses
Process 100,000 parking ticket payments over the Internet.	134,399	150,000
Maintain a processability rate of 90 percent for parking violations issued to New York State (NYS) registered vehicles and 81 percent overall.	92 percent NYS/ 83 percent overall	93 percent NYS/ 84 percent overall
Adjudicate 500,000 parking summons hearings by mail.	395,000	371,000
Handle over 1.2 million parking violation-related phone calls.	1.3 million	1.3 million

Goal: Provide enforcement services for collection of court-ordered private and public sector debt.

Objective	FY 01 Actual	FY 02 Plan
Collect \$26 million in revenue from the Marshals' tow program.	\$31 million	\$26.6 million
Collect \$21.5 million in revenue from the Sheriff's Scofftow program.	\$17.7 million	\$18.4 million
Execute 15,000 private sector court orders.	13,565	13,500

HIGHLIGHTS AND ACHIEVEMENTS

TAXATION POLICY

- During Fiscal 2001 the Giuliani administration continued to emphasize the overall reduction and simplification of taxes to revitalize the economy. Following the complete elimination in September 1995 of the Commercial Rent Tax (CRT) in all areas except Manhattan south of 96th Street, the administration began a series of reductions to the tax rate beginning in March 1996. In June 2001 City legislation increased the CRT exemption for commercial tenants and granted partial credit for those still subject to the tax. As of June 2001 CRT only applies to tenants paying \$250,000 or more in annual rent; tenants paying between \$250,000 and \$300,000 now receive a partial credit. The recent legislation removed 3,000 more firms from the CRT rolls and benefited an additional 900 taxpayers.
 - The number of businesses subject to CRT was reduced by almost 94 percent, from approximately 80,000 in Fiscal 1996 to 5,000 in Fiscal 2002, and those subject to the tax have benefited from a reduction in CRT's effective tax rate from 6 percent in Fiscal 1996 to 3.9 percent in Fiscal 2001. These reductions save City businesses more than \$450 million annually.
- In March 2000 the Mayor eliminated the sales tax on clothing items costing less than \$110, resulting in savings to consumers of \$240 million in Fiscal 2001, which is triple the \$80 million residents saved during Fiscal 2000.

DEPARTMENT OF FINANCE

- In Fiscal 2001 the City's Co-op/Condo Abatement Program generated an additional \$173 million in tax savings for owners of 303,000 cooperative/condominium units. The Department continues to encourage owners of these properties to apply to the Program.
- In Fiscal 1999 the Department initiated the enhanced portion of the School Tax Relief (STAR) Program for senior citizens. The Program provides school property tax exemptions to owners of one-, two- and three-family homes, co-ops and condominiums if the properties are the primary residence of the owner. The basic exemption, which is available to all eligible owner-occupied primary residences, began in July 1999. In Fiscal 2001 the STAR Program resulted in over \$89 million in property tax savings for 516,000 City owner-occupied primary residences.
- In June 2001 with Mayoral support and State authorization, the City enacted legislation that reduced personal income tax withholding brackets from 7 percent to 3.5 percent for single filers with taxable incomes of up to \$50,000 or joint filers with taxable incomes of up to \$90,000 and from 14 percent to 10.5 percent for those earning taxable incomes above the aforementioned levels, effective July 2001. This initiative will save each taxpayer approximately \$49 in Fiscal 2002.
- With State authorization, during Fiscal 2001 the Mayor implemented the City's new Commercial Expansion Program (CEP), an extension of the Commercial Revitalization Program (CRP). By incorporating various tax exemptions and abatements, the Program encourages businesses to expand or relocate away from the central business district, south of 96th Street in Manhattan, to eligible properties in designated manufacturing and commercial areas across all five boroughs.
 - CEP, which began in July 2001, increases tenant occupancy while reducing vacancies in underutilized office space. By the end of July 2001, 19 companies, representing almost 400,000 square feet of office space, had applied to the program and five were already receiving benefits.
- In March 2001 the administration announced an extension of the Lower Manhattan Commercial Lease Abatement Program 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.

REVENUE COLLECTIONS

- During Fiscal 2001 the City and State collected \$23.2 billion in taxes payable to the City treasury, compared with a revised \$22.2 billion during Fiscal 2000. Of this total, the City collected \$13.7 billion, compared with collections of a revised \$13.1 billion during Fiscal 2000.
 - The City collected \$8.2 billion in property tax revenues in Fiscal 2001, compared to \$7.8 billion in Fiscal 2000.
 - A total of \$15 billion in non-property tax revenues was collected in Fiscal 2001, compared to a revised \$14.4 billion in Fiscal 2000.
- In Fiscal 2001 the Department collected \$371.5 million in parking fines and processed 8.2 million summonses, compared to \$358.6 million in fines and 8.6 million summonses during Fiscal 2000.
- In Fiscal 2001 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.

DEPARTMENT OF FINANCE

- In Fiscal 2001 the Department's Parking Violations payment centers completed 68,210 credit card transactions, and collected a total of \$12.8 million in revenue. During Fiscal 2000 the centers completed over 52,000 transactions, representing a total of \$9.5 million in revenue.
- During Fiscal 2001 customers made 170,000 payments totaling \$10.7 million through the IVR system for parking fines, as compared to nearly 112,000 payments totaling \$7.2 million during Fiscal 2000.
- During Fiscal 2001 customers paid 134,000 parking summonses over the Internet for a total of \$8.3 million. In Calendar 2000, the first full year for which data was available, 46,575 transactions were completed for a total of over \$3 million. Since April 2001 monthly Internet payments have exceeded \$1 million.
- In July 2001 the Red Light Camera Program, a Department of Transportation (DOT)-funded initiative, expanded its complement of cameras by 20 for a total of 50 cameras. After DOT issues the initial Notice of Violation, the Department of Finance is responsible for processing payments, conducting hearings and providing customer service. In Fiscal 2001 revenues from the Program totaled \$10.5 million, compared with \$8.3 million in Fiscal 2000.
- The Department's Treasury Division is responsible for daily cash management, banking relations, trust fund management and Payment in Lieu of Taxes (PILOT) collections. In Fiscal 2001 the Treasury earned \$284 million in investment income as a result of cash management activities and provided over \$16 million in banking services to City agencies through its lockbox contracts and banking relationships. In Fiscal 2000 the Treasury earned \$235 million in investment income and provided over \$13 million in banking services.

AUDIT AND ENFORCEMENT

- During Fiscal 2001 the Department continued work on its Professional Audit Support System (PASS), an audit selection and case management computer application that allows auditors to handle a greater number of cases. Phase I, focused on modeling, was implemented in April 2001, allowing auditors to better target potential audit cases. Phase II, which began in April 2001 with the determination of system requirements, will be completed in the first half of Fiscal 2003. Phase II focuses on case tracking, automating the manual search activities currently required, and supporting desk and field auditors with laptop computers. When PASS is fully implemented, the Department expects to realize \$50 million in additional annual revenue.
- In March 2001 the Department updated its Delinquent Disclosure Program by adding 12 new business tax judgment debtors. Through the Program, the Department lists both major business tax judgment and parking violations debtors on its Web page. Since its inception in September 1999 this Program has directly contributed to the payment and/or resolution of \$15.5 million in delinquent business tax or parking violation debt. By the end of August 2001 the Department had collected \$6 million in delinquent debt.
- In March 2001 the Department began its Spring 2001 lien sale with the initial publication of 15,238 parcels. The Department's Office of Taxpayer Assistance distributed lien lists and explanatory brochures to elected officials, community boards, housing and advocacy groups, all City Collector and City Register Offices and the Staten Island County Clerk. In addition, taxpayers affected by the sale, as well as interested third parties, were informed of the City's intent to sell the outstanding liens. In June 2001 the Department concluded the sale of liens valued at over \$50 million. During Fiscal 2001 the Department collected \$22.9 million in presale payment revenue. To date, lien sales have generated a total of \$1.4 billion, including presale payments and actual liens sold. Since the Department began the lien sale program, the City has experienced a 42 percent reduction in the real property tax delinquency rate, from 4.87 percent in Fiscal 1995 to 2.81 percent in Fiscal 2001.

DEPARTMENT OF FINANCE

- In an effort to collect delinquent rent stabilization administration fees dating back to 1984, in March 2001 the Department mailed consolidated rent stabilization fee delinquency notices to owners of rent stabilized apartments. In June 2001, in response to various concerns voiced by property owners, agents and real estate industry associations, the Mayor proposed and the City Council subsequently passed legislation that authorized the Department to waive outstanding rent stabilization fees and accrued 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 of June 2001 the Department received 11,796 payments, totaling \$2.6 million.

PROPERTY

- In Fiscal 2001 the Department continued work on the Automated City Register Information System (ACRIS), an electronic records management and document imaging system for real and personal property records. In March 2001 the Department appointed a project manager and in June 2001 received a Business Process Reengineering (BPR) document from its vendor. The BPR recommended overall operational and procedural changes from the Department's original Request for Proposal, as well as workflow, networking, imaging and system enhancements. Also in June 2001 the Department began design negotiations and in July 2001 the vendor began converting City Register index books and microfilm to an electronic format. By the end of Fiscal 2002 the Department expects to complete the conversion of the Manhattan real property index, from Calendar 1946 to the present. 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 May 2001 the Department released the final real property assessment roll for Fiscal 2002. The total assessed value of the City's taxable properties grew by 6 percent to \$88.3 billion, over \$5 billion more than the Fiscal 2001 assessment role of nearly \$83.3 billion. This growth reflects gains in full market value, which grew by approximately 11 percent to \$392.4 billion in Fiscal 2001 from \$354.3 billion in Fiscal 2000.

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 Fiscal 2001 the Sheriff's Office recovered 2,867 vehicles and returned 2,297 vehicles to their legal owners. During Fiscal 2000, 3,429 vehicles were recovered and 2,671 vehicles were returned. Since the Program's inception in August 1996 through June 2001, the Sheriff's Office has returned 7,761 vehicles to owners, or 79 percent of the 9,882 recovered stolen vehicles.
- In Fiscal 2001 the Sheriff's Office served 10,725 summonses and arrested 215 individuals through the Deadbeat Parents Program, which executes court-ordered summonses for delinquent child support payments. The Office of the Sheriff served 48.6 percent of the 22,071 summonses received, which included 20,897 cases referred by the Administration for Children's Services and 1,174 cases referred by private citizens. During Fiscal 2000 the Office of the Sheriff received 22,839 cases, served 10,134 summonses and arrested 237 individuals.
- In Fiscal 2001 the Office of the Sheriff's Scofftow Program initiated a new procurement procedure that included performance incentives for vendors, as well as operational enhancements like a bar code identification system for impounded vehicles. In July 2001 the Department determined the lowest bidder for each borough's tow contracts. In the second quarter of Fiscal 2002 the Department will review the responsiveness of the low bidders and then select vendors.

DEPARTMENT OF FINANCE

- By a revised date of August 2001 the Department implemented the Sheriff's Scofftow Program component of the NYCSEV project, which automated the entire back office business process for the towing of parking violation judgment vehicles – from seizure through vehicle redemption or sale. The Scofftow Program allows the Office of the Sheriff to manage its personnel, vehicle inventory, revenue data and correspondence functions more efficiently. The Program is also expected to reduce significantly the paperwork required by the Scofftow support units by generating forms and letters to the vehicle owners and maintaining information on revenue generated through vehicle auction sales.

CUSTOMER SERVICE AND PAYMENT OPERATIONS

- During Fiscal 2001 the Treasury Division continued to expand the use of electronic funds transfer (EFT) payments in lieu of issuing paper checks to pay City vendors. To facilitate vendor enrollment in the EFT Payment Program, in February 2001 all vendor check stubs were printed with an EFT enrollment contact number. During Fiscal 2001 the Department enrolled 2,264 vendors in the EFT Payment Program, bringing the total number of enrollees to 4,381 by the end of Fiscal 2001.
- In February 2001 the Department opened the new Manhattan Consolidated Business Center at 66 John Street. The new center is the third of five planned borough Business Centers. Like its predecessors in Queens and Staten Island, the new center offers "one-stop shopping" for taxpayers and citizens who need to conduct business with the City. Under one roof, citizens can pay a property tax bill and any of several types of fines, file a deed and obtain an administrative hearing on a parking, health, consumer affairs or Environmental Control Board violation.
- In May 2001 the Department of Citywide Administrative Services (DCAS) chose a City-owned site at Crossroads Plaza for the new Bronx Business Center. DCAS is currently negotiating with a developer to design the space and draft a lease.
- By a revised date of December 2001 the Department expects to implement a new agreement with two vendors for authorizing and processing the City's credit card payment transactions. Through this new contract, the public will continue to have the ability to pay a wide variety of City charges and fees to various City agencies with all major credit cards.
- During Fiscal 2001 the Department continued to expand the availability of new payment methods. In December 2000 the Department amended its rules to authorize payment of real property taxes by electronic funds transfer. To address taxpayers' concerns over the loss of mail "float," the interest revenue saved or generated while the payment is in transition, the rules provide that the Department wait 48 hours after the tax due date before debiting the taxpayer's account.
 - In January 2001 the Department initiated an electronic payment pilot program. A total of 14 property owners are currently participating in the program, covering 563 properties with billing amounts totaling \$356 million for the July 2001 tax period.
- In March 2001 the Department launched NYCeFile, an Internet application enabling taxpayers to submit estimated tax payments and applications for automatic extensions for business income taxes, such as the Unincorporated Business Tax and the General Corporation Tax. As of the end of Fiscal 2001 the Department's vendor had registered 175 taxpayers to file electronically, and had developed NYCeFile marketing materials to assist the City in promoting this new electronic filing option. The Department's Webmaster also established a link to NYCeFile from the Federation of Tax Administrators' electronic filing page, thereby making it easier for taxpayers to find out about the NYCeFile program.

DEPARTMENT OF FINANCE

- In March 2001 the Department launched the Undeliverable Refunds Inquiry application, enabling taxpayers to determine if there is an income or excise tax refund due them that was not delivered by the U.S. Post Office. Taxpayers can now correct their address information online, enabling the Department's staff to update their records and issue new refund checks to the correct addresses. By the end of June 2001 the Department identified 1,890 undeliverable refunds retroactive to January 1998, with a value of more than \$4.3 million.
- The Department oversees 406 Neighborhood Payment Centers (NPC) in the City and outlying suburbs. These centers offer taxpayers and motorists the convenience of paying parking summonses, real estate taxes or water bills in a variety of neighborhood locations.
 - During Fiscal 2001 NPCs processed 375,362 parking summons payments totaling more than \$19.2 million, 947 real estate payments totaling more than \$16.5 million and 7,505 water bill payments totaling more than \$1.3 million. In Fiscal 2000 NPCs collected over \$15 million from 299,400 parking summons payments, \$22 million from 863 real estate payments and over \$250,000 from 1,245 water bill payments.
- In April 2000 the Mayor created HealthStat, a comprehensive citywide initiative to provide uninsured New Yorkers with access to public health insurance programs. Under the direction of the Mayor's Office of Health Insurance Access, over 20 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 150,000 individuals have been enrolled in public health insurance programs. As a participant in HealthStat, the Department has helped to promote the program by distributing HealthStat promotional posters, brochures and palm cards in all of its public offices throughout the five boroughs.
- During Fiscal 2001 the Department continued its multi-agency consolidation technology project, known as NYCSEV. The current phase of the NYCSEV project includes the design, development and integration of technology enhancements to consolidate payments, licensing, collection and adjudication processes across several City agencies. In addition, NYCSEV will allow taxpayers to receive tax assistance over the Internet or through an automated telephone system as well as pay parking fines and real estate taxes over the Internet. During Fiscal 2001 the following applications were added to the NYCSEV system:
 - In December 2000 the Department of Transportation, in conjunction with the Department of Finance, introduced an online program allowing City agencies to apply for a business parking permit for government cars over the City's intranet using a Web-based browser. To date, DOT has issued 5,020 permits and plans to launch an Internet version of the application for State agencies and nonprofit organizations in the first quarter of Fiscal 2002.
 - In January 2001 the Department commenced its Internet Property Tax Inquiry application. Using this real-time application, taxpayers can enter their addresses, or borough, block and lot numbers, to access mainframe data regarding taxes due, last payment, amount needed to bring installment agreements up to date and interest forecasts through a specified date.
 - In January 2001 the Department successfully launched a new seamless inquiry and payment system for parking violations. The improved application allows motorists to search for summonses by license plate, and then select those they want to pay online by credit card. This application enhances the Internet payment method by allowing motorists to query the Summons Tracking and Account Receivable System (STARS) database for any outstanding summonses and also pay multiple parking tickets in a single transaction.

DEPARTMENT OF FINANCE

- In February 2001 the Department and its vendor completed design of the Revenue Information Database (RID) component of NYCSERV. 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. In March 2001 the Department formally accepted the vendor's RID design; the Department began loading New York State tax return data into the database in June 2001.
- In March 2001 the Department implemented the Collector's Workbench portion of NYCSERV, which provides a research tool that helps collectors better target their collection activities and identify new assets of taxpayers.
- In March 2001 the Department of Environmental Protection's (DEP) records of outstanding water and sewer charges were added to the Property Tax Inquiry application, so that the public can access this data online to check their charge and payment histories. The information is searchable by the taxpayer's DEP account number.
- In March 2001 the Department entered into an agreement with a vendor to provide electronic checking services. The electronic checking feature, to be implemented by the end of Calendar 2001, will give taxpayers an electronic check payment option, allowing them to pay a parking ticket, property and water charges, as well as obligations to the departments of Health and Consumer Affairs through an Internet transaction, thereby eliminating the need for the Department to process a paper check.
- In May 2001 the Department posted the final real property assessment roll for Fiscal 2002. For the first time, the assessment roll was produced exclusively in electronic format. As a result, the Department saved 45 boxes of paper and was able to keep the property tax roll open to changes 10 days later than in prior years. This extended review period facilitated the inclusion of accepted roll adjustments, eliminating the need to process them later.

TECHNOLOGY

- During Fiscal 2001 the Department introduced its "Virtual Agency" initiative. This project endeavored to deliver services 24 hours a day, seven days a week; expand service delivery options; improve current business processes; and save money and resources. To that end, the Department inventoried every one of its points of public interaction with a view toward identifying both short- and long-term electronic alternatives for each transaction. The process resulted in a list of 130 short-term "Virtual Agency" initiatives that leveraged a range of existing technologies, from the telephone and the fax to e-mail and fully interactive Web pages. To date, the Department has implemented approximately 70 percent of these initiatives. Various forms can now be distributed or received by fax; reports via e-mail and databases are now available on the Web. Highlights of some specific initiatives implemented include:
 - In August 2000 the Department initiated the Hearings by Web Program to allow respondents to present a written defense for parking summonses over the Internet. Since the launch of the application, the Department has conducted 6,002 hearings over the Internet.
 - In November 2000 the Department ceased printing its Tax Policy Division's annual reports and distributed the Fiscal 2001 Tax Expenditure Report electronically. A downloadable copy was also posted on the Internet.
 - In November 2000 the Department began online acceptance of vendor enrollment in the City Electronic Funds Transfer Payment Program.

DEPARTMENT OF FINANCE

- In February 2001 the Department began offering parking violation appeals via telephone conference call. In addition, the new parking violation Notice of Appeals form containing the telephone appeal request option is now mailed to all parking violators. While phone appeals still account for only 6 percent of overall appeals, they now account for almost 50 percent of all scheduled hearings.
- In March 2001 the Department began posting "fill-in" forms on its Web site. Among the types of forms available are: Application for Tax Status Report, Tax Appeals Tribunal Exception to ALJ Determination Form, Tax Appeals Power of Attorney Form and Application for Partial Exemption for Disabled Homeowners. In May 2001 the Department expanded this Web site to include forms for Senior Citizen Exemption, Disabled Homeowner Exemption, Third Party Notification Requests, Conciliation Conference Requests and Tribunal Petitions.
- In April 2001 the Department posted its first procurement document on the Internet for download, a Request for Proposals for maintenance of the Summons Tracking and Accounts Receivable System.
- In June 2001 the Department finalized a Statement of Audit Procedure that defines procedures for e-mail communications between auditors and taxpayers or their representatives.
- To date the Department has also created over 60 Web customer service forms that elicit the taxpayer/respondent information necessary to investigate the inquiry, and which produce a formatted e-mail that is sent directly to the staff responsible for that function.
- In June 2001 the City's Technology Steering Committee selected the Department's Virtual Agency Project for a Development Award, as the City's "Best e-government Initiative Serving the Public." In addition, the Committee chose the Department to receive its first overall "Excellence in Technology Award."
- In October 2000 the Department launched Finance*Stat, a management performance indicator initiative modeled after the New York City Police Department's COMPSTAT. Finance*Stat is an important internal management tool that helps identify potential operational concerns and solutions early on. Major operational divisions within the Department compile and publish indicators that focus specifically on staff productivity and customer service. Each month, division heads report and review their Finance*Stat indicators with the Commissioner, and senior staff also review and discuss them collectively at the Commissioner's monthly Agency cabinet meetings. In September 2001 the Department will post all Finance*Stat indicators to its Web site.
- During Fiscal 2001 the Department's home page on NYC.GOV, the City's official Web site, had 3.14 million views, an increase of 173 percent over the 1.15 million views during Fiscal 2000. In addition, 703,110 forms and guides were downloaded from the Department's home page in Fiscal 2001, compared to 258,870 in Fiscal 2000. This represents an increase of 172 percent.

BUDGET HIGHLIGHTS

- During Fiscal 2001 the Department's expenditures were \$182.9 million, compared with its plan of \$190.3 million; headcount was 2,023, compared with its plan of 2,147. DOF's Fiscal 2000 expenditures were \$169 million and headcount was 2,142.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$209 million and a planned headcount of 2,138.

DEPARTMENT OF FINANCE

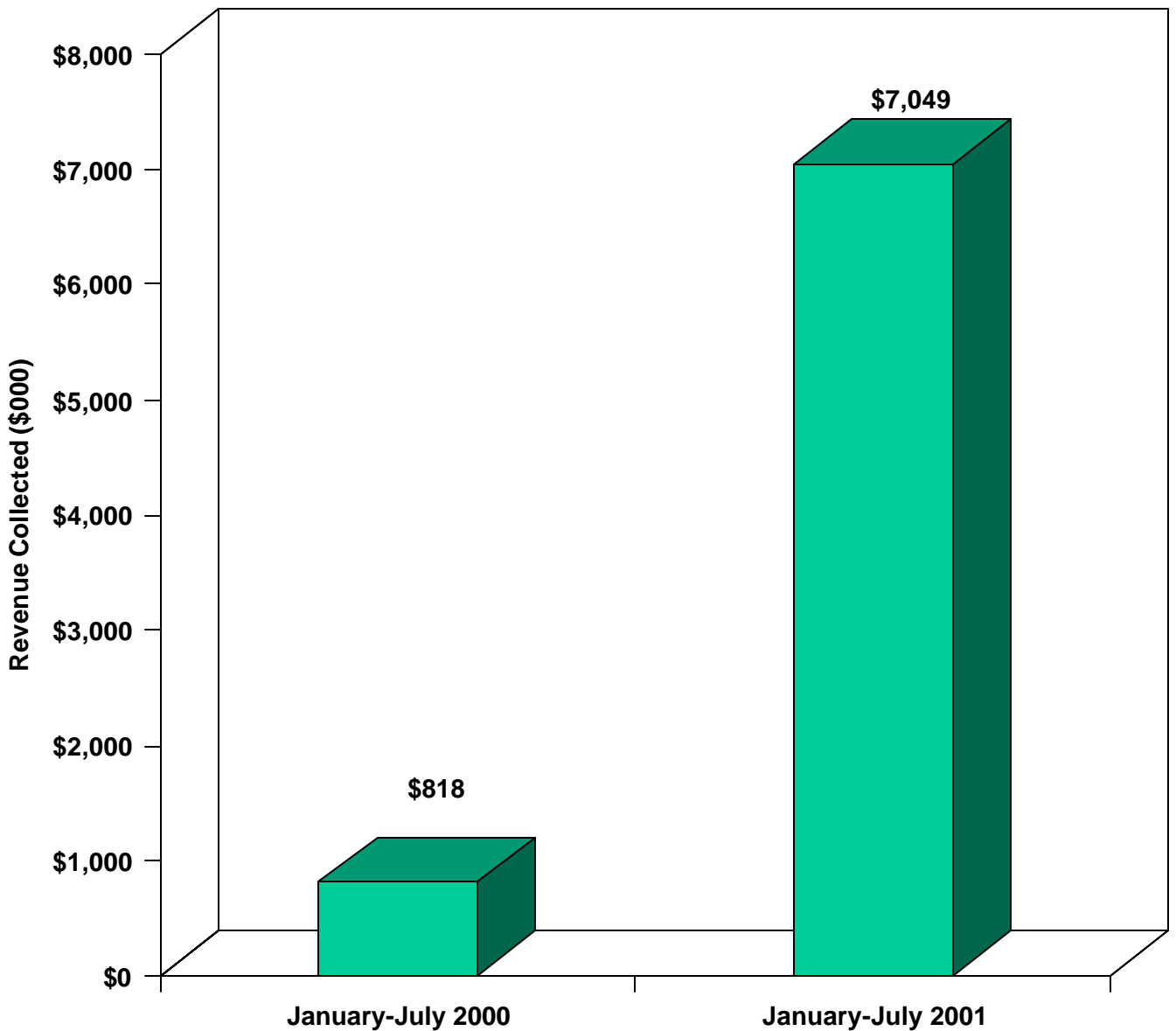
LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001
Total Tax Collected (Billions) (a)	\$11.9	\$12	\$12.3	\$13.2	\$13.7
Parking Violations – Summonses Processable	79%	80%	82%	80%	83%
Parking Violations Help Center Average Processing Time (Minutes)	33	32	29	28	9.7 (b)
Adjudications – Hearings Held (000) (c)	1,414	1,328	1,220	993	859
Summonses Adjudicated (000) (c)	2,578	2,504	2,369	2,339	2,164
Summonses Received (Millions) (d)	8.9	9.1	8.9	8.6	8.2

- (a) Increased collections are mainly due to the strong performance of Wall Street firms.
- (b) Figure represents new survey methodology announced in previous reports. Data now indicates customer time of entrance to time of service and not total customer time spent in the Center.
- (c) The redesign of the parking summons in Fiscal 1996 and overall decreasing issuance has contributed to a decrease in the number of hearings held. This redesign involved changing the summons format from handwritten to check-box, eliminating the confusion that had previously caused respondents to request hearings.
- (d) Summonses received are directly related to issuance by other agencies, such as NYPD.

Department of Finance

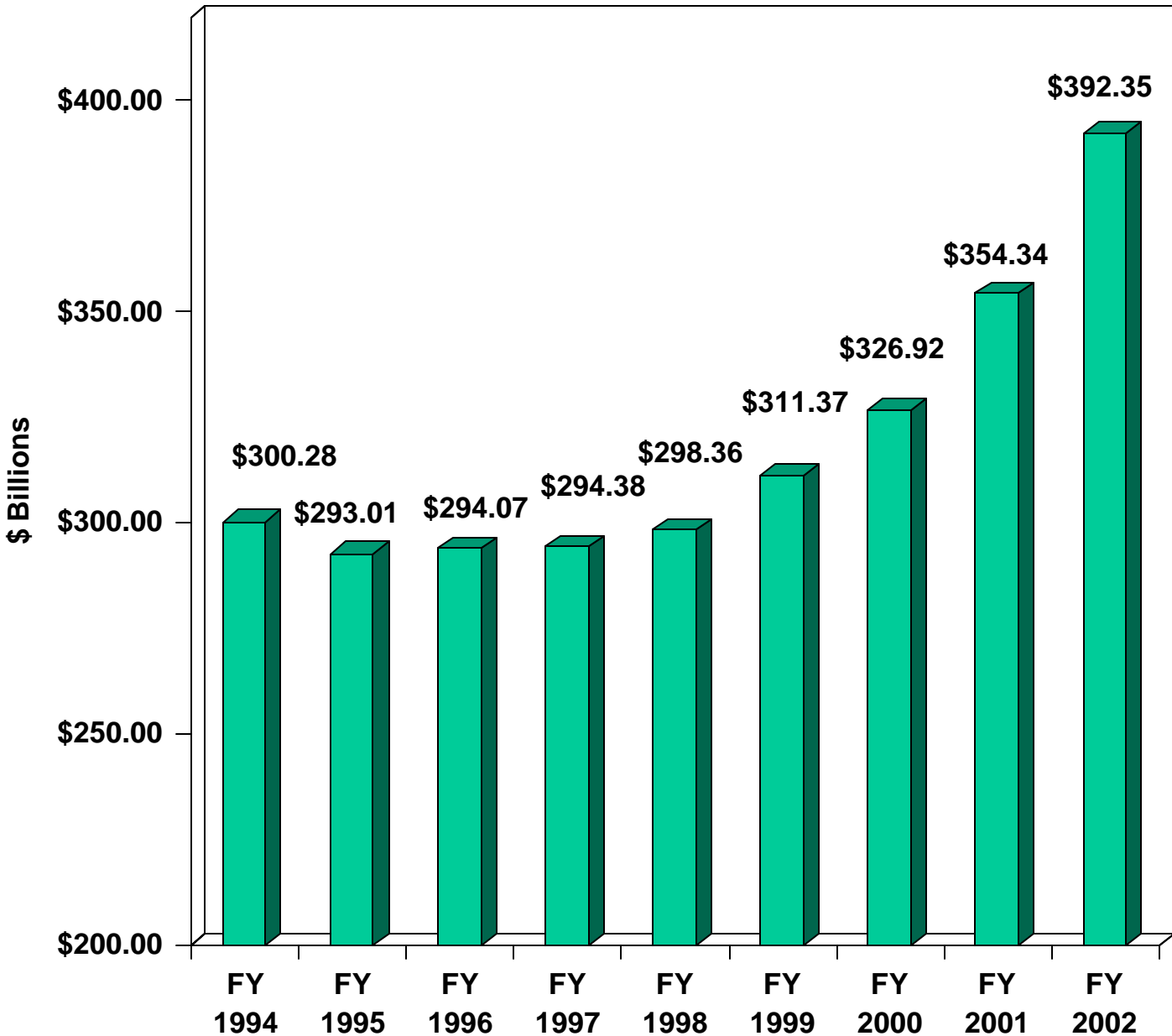
Parking Ticket Payments Through the Internet



Source: Office of Management and Budget

Department of Finance

Total Fair Market Value Fully and Partially Taxable Properties (in Billions) Fiscal 1994-2002



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	FY 01 Actual	FY 02 Plan
Eliminate six competitive civil service titles.	15	10
Consolidate four exams for titles that require similar knowledge and skills into two exams.	13 / 6	9 / 4
Summon at least 11,000 candidates for the entry-level Firefighter Physical Exam by June 2000; issue a preliminary list of those who passed to the Fire Department by November 2000; establish eligible list for the Fire Department by November 2000.		
Administer six Police Officer Exams at satellite locations, including military bases and colleges.	6	6
Expand the use of videoconferencing to a total of 12 sites to support training, educational and business process applications.	12	14
Complete four orientation sessions for new employees.	4	4
Conduct training courses for 7,500 City employees.	9,026	7,500
Conduct 80 Equal Employment Opportunity training sessions for 1,200 employees.	81 / 1,795	80 / 1,200
Monitor agencies' compliance with the City's Equal Employment Opportunity policy through 38 on-site visits and 152 desk reviews.	41 / 154	38 / 152
Provide additional Continuing Legal Education credit course opportunities for City attorneys through accredited law schools.		

Goal: Provide goods and services to City agencies in a timely and responsive manner.

Objective	FY 01 Actual	FY 02 Plan
Replace the Commodity Line Item Purchasing System with the new Financial Management System by the end of July 2000.		
Complete implementation of the Maintenance Control and Management System at the Department of Sanitation by Spring 2002.		
Ensure an average vehicle downtime for client agencies of no more than 3%.	3%	3%
Implement a system that allows City agencies to order office supplies via the Internet.		

DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES

Goal: Design, construct, operate and maintain City-owned public spaces efficiently and effectively.

Objective	FY 01 Actual	FY 02 Plan
Complete renovations at 66 John Street for the Manhattan Finance Business Center by December 2000.		
Complete construction at 250 Livingston Street for the Human Resources Administration's Eligibility and Verification Review Unit and the Department of Environmental Protection's Bureau of Customer Services by July 2000.		
Ensure 60 Broad Street is ready for occupancy by the Department of Probation by September 2000.		
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 2001.	1 / 7	3 / 3
Survey 26 DCAS-operated court facilities and ensure 85% receive acceptable ratings.	78%	85%
Begin construction on elevators in three City-owned buildings.	3	3
Complete design and construction of four public restrooms at 100 Centre Street in Fiscal 2001.		
Complete 70% of work order requests received within 30 days.	84%	70%
Reduce annual energy consumption by an additional \$1 million through the ENCORE lighting, air cooling and boiler efficiency program.	\$1.1 million	\$2.7 million

Goal: Efficient and effective disposal, cost recovery and management of goods and property.

Objective	FY 01 Actual	FY 02 Plan
Generate \$11.3 million in bids through the sale of surplus commercial property.	\$15.2 million	\$7 million
Solicit successful bids on 350 parcels in the City's real estate portfolio.	174	200
Recover \$300,000 in vehicle repair costs from private drivers liable for accidents involving City vehicles.	\$300,271	\$435,000

Goal: Improve the Agency's provision of administrative services through technology.

Objective
Complete initial implementation of an off-the-shelf software product for the New York City Automated Personnel System (NYCAPS) by July 2001.
As part of the New York City Automated Personnel System (NYCAPS), develop an online application system for civil service examinations. Complete Phase I by July 2001.
Create a CD-ROM version of the Green Book, and make it available by Fiscal 2002.
Complete development of an electronic application that allows City agencies to search the database of requirement contracts by May 2001. Review Internet availability of this information.
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.

DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES

HIGHLIGHTS AND ACHIEVEMENTS

CITYWIDE PERSONNEL SERVICES

- During Fiscal 2001 the Department of Citywide Administrative Services (DCAS) eliminated 15 competitive job titles through consolidation, attrition and broadbanding, compared to 11 in Fiscal 2000. Four Transit Maintainer titles were consolidated into the existing title of Car Inspector. Senior X-Ray Technician and Supervisor of X-Ray Services were consolidated into the existing title of X-Ray Technician. In addition, nine titles were deleted due to attrition.
- In Fiscal 2001 DCAS administered 107 civil service exams and 35 license exams, compared with 138 exams and 36 exams respectively in Fiscal 2000. Exams included Traffic Enforcement Agent, Public Health Advisor, Public Health Assistant, Public Health Sanitarian, Assistant Bridge and Tunnel Maintainer, Police Officer, Associate Staff Analyst, Caseworker, Probation Officer, Associate Park Service Worker, Police Communication Technician, and the practical test for Auto Mechanic.
- In Fiscal 2000 DCAS summoned approximately 15,000 candidates for the entry-level Firefighter Exam and in Fiscal 2001 established an eligible list to meet the hiring needs of the Fire Department.
- During Fiscal 2001 DCAS administered two large-scale examinations for Police Officer, as well as six examinations at satellite locations: military bases in North Carolina, Kentucky and Texas, and three colleges in New York City. This was the first time that DCAS administered examinations to candidates outside of New York City. Application fees have been waived for the most recent examinations to attract more candidates.
- The Bureau of Personnel Development offered 150 multi-agency training courses to employees in eligible City agencies during Fiscal 2001, compared to 84 training courses during Fiscal 2000. Among the courses offered during the reporting period were Managing Multiple Priorities, Fundamentals of Supervision, Advanced City-Specific Contracting and Negotiation Techniques, The Auditor's Legal Tool Kit, Auditing in a Paperless Environment, Successful Workplace Communication, Negotiating Win-Win Agreements, Environmentally Preferred Purchasing, and Purchasing Off New York State Office of General Services Contracts.
- During Fiscal 2001 the Bureau of Personnel Development raised \$80,000 from private foundations to fund and expand both Urban Fellows and Government Scholars program activities and events.
- The Department's Procurement Training Institute (PTI), in conjunction with accredited law schools, provided Continuing Legal Education (CLE) credit courses for City attorneys during Fiscal 2001. City-Specific Contracting was offered in both September and October 2000, and Advanced City-Specific Contracting was offered in October 2000. Four additional PTI courses have obtained CLE accreditation for Fiscal 2002. These are Competitive Sealed Proposals, Sole Source Contracting, Contracting Via Competitive Sealed Bid, and Negotiation Techniques.

DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES

- In conjunction with several City agency information technology and personnel professionals, a study to assess the City's computer title structure was conducted. The study indicated that existing job descriptions capture most of the agencies' needs; however, hiring qualified candidates to fill the needs in a timely fashion remains a problem in this rapidly changing field. DCAS determined that streamlining the competitive hiring process would help resolve the problem. Education and Experience Examinations continue to be designed for computer titles and are offered every two years. By administering these examinations more frequently, DCAS has been able to target candidates who have specific skills that are needed at the time of recruitment. This streamlined process was used for software titles in Fiscal 2000 and was used for computer operations and technical support titles in Fiscal 2001, specifically Computer Aide, Computer Associate (Operations), Computer Specialist (Operations), and Computer Associate (Technical Support).
- The Department's emphasis on the use of technology to enhance and expand training and educational opportunities available to City employees continued during Fiscal 2001. A range of new interactive video programs was offered, including a customer service training program targeted to Human Resources Administration employees. Also, two new videoconferencing facilities were brought online.
- Applications for civil service examinations were expected to be available on the Internet by July 2001. Due to legal issues surrounding the interpretation of relevant e-signature laws, online applications have been delayed and are expected to be available by January 2002.
- The Department is currently developing the New York City Automated Personnel System (NYCAPS). NYCAPS 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. The Department purchased a software product in March 2000 and began to conduct a requirements analysis. An initial test of the first module, which allows City agencies to access basic information about employees, became available in July 2001.
- The Division of Citywide Personnel Services is now 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 the public to obtain interactive information about their civil service examination application, examination results, and eligible list status in addition to information currently available through 487-JOBS. The public will be able to speak to a representative of each functional area in order to clarify information or answer questions. The IVR is expected to be operational by December 2001.

CITYWIDE EQUAL EMPLOYMENT OPPORTUNITY

- During Fiscal 2001 the DCAS Office of Citywide Equal Employment Opportunity (OCEEO) conducted 81 training sessions for City employees, compared to 72 training sessions during Fiscal 2000.
- OCEEO conducted 41 on-site visits, including five briefings for newly appointed agency heads, and 154 desk reviews to monitor agencies' compliance with the City's Equal Employment Opportunity (EEO) Policy during Fiscal 2001, compared to 44 on-site visits and 151 desk reviews during Fiscal 2000.

DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES

REAL ESTATE SERVICES

- The Department's Division of Real Estate Services (DRES) negotiated 63 transactions, totaling approximately 2.46 million square feet, in Fiscal 2001. Of the 63 transactions, 20 involved the assistance of tenant representatives (commercial real estate brokers who act on behalf of the City). The tenant representatives' input on these projects provided private sector expertise, architectural services and other resources that assisted DCAS in expediting these projects without cost to the City. Sixteen construction projects in leased space totaling approximately 950,000 square feet were also completed in Fiscal 2001.
 - The 66 John Street lease in Manhattan included an option for an additional 105,180 square feet for the Agency for Child Development of the Administration for Children's Services (ACS), which will be moving from 30 Main Street in Brooklyn. This option was exercised in January 2000. The renovations were completed for two floors on April 30, 2001 and for the last floor on June 4, 2001.
 - In July 2000 construction was completed at 250 Livingston Street for occupancy by the Human Resources Administration's (HRA) Eligibility and Verification Review Unit and the Department of Environmental Protection's (DEP) Bureau of Customer Services.
 - 60 Broad Street was completed and ready for occupancy by the Department of Probation in September 2000.
 - In December 2000 DCAS executed lease amendments totaling 268,045 square feet at 2 Washington Street and 17 Battery Place in Manhattan. This space will house ACS, the Department of Correction, HRA and DCAS' own offices.
 - In March 2001 DCAS expected to execute a new lease for a new DEP central repair facility and the Department of Finance's Sheriff's Scofflaw Unit at 30-03 Review Avenue in Queens. Due to extensive last-minute negotiations, the lease execution was delayed to July 2001, and construction is now expected to begin in early Calendar 2002.
 - 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. Completion of the renovation work is planned for Spring 2002.
- The Department planned to conduct two auctions in Fiscal 2001. The first auction, conducted in March 2001, generated \$15.2 million in bids through the sale of surplus property; successful bids were solicited on 174 parcels from the City's real estate portfolio. This auction exceeded the \$11.3 million target for projected bids in Fiscal 2001. A second auction was not held due to the number of properties disapproved through the Uniform Land Use Review Procedure (ULURP) and therefore not available for sale. For Fiscal 2002, one auction was held in July 2001 and one is planned for early Calendar 2002.
- The Department continued to audit City leases to identify overcharges by landlords. During the reporting period DCAS recovered approximately \$1.1 million. Since Fiscal 1994, over \$10.4 million in overcharges have been recovered.

DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES

- 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 by the Mayor 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.
 - DCAS continues to work as an active member of the West Nile Virus Task Force. In Fiscal 2001, seven DCAS property managers were trained by DOH staff 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.
- In Fiscal 2001 the City continued its rodent control and eradication efforts. In June 2000 the Deputy Mayor for Operations established the Rodent Control Task Force comprised of over 15 City agencies and quasi-agencies. Chaired by the Mayor's Office of Emergency Management, the Mayor's Office of Operations and DOH, meetings are held weekly to coordinate 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 13,895 square feet of graffiti from City buildings and facilities during Fiscal 2001. Since the graffiti removal team was created in Calendar 1995, over 198,775 square feet of graffiti have been removed from City facilities.
- During Fiscal 2001 the Department reduced energy consumption by an additional \$1.09 million through the Energy Cost Reduction (ENCORE) program.
- Through its work order tracking system, the Department completed 84 percent of work orders within 30 days in Fiscal 2001, compared to 91.2 percent in Fiscal 2000.
- In Fiscal 2001, 12 agencies enrolled in the Property Management Account Program (PMAP). Through PMAP, agencies deposit funds into a charge account system that DCAS uses to pay for facility services rendered on the agencies' behalf.
- The Americans with Disabilities Act (ADA) compliance project, an effort to bring DCAS-managed court buildings into adherence with federal ADA legislation, was delayed one year due to problems with its previous contractor. In August 2000 DCAS assigned new contractors. All issues regarding the previous contractor have been resolved. Work on the remaining ADA projects is currently being performed by DCAS Requirement Contractors.
 - DCAS began construction on three court facilities. Construction on the Queens Summons Division and Marriage License Bureau was completed in November 2000. Construction at the Staten Island Supreme Court and Surrogate Court at 18 Richmond Terrace will be completed by December 2001. Construction at the Bronx Family Court started in November 2000 and the first phase of the project is complete. The second phase of the project is expected to be completed by the end of Fiscal 2002.

DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES

- The 18 Richmond Terrace interior renovation was completed, and the Surrogate Courtroom at this location was completed in August 2001. The construction at 10 Richmond Terrace was completed in August 2001. ADA ramp and upgrading of the Plaza area at this building is at the end of the design phase.
- Bronx County/Supreme Court construction modifications began in March 2001 and Local Law 10 building exterior rehabilitation has successfully been completed.
- Consultants completed design modifications on the Manhattan Appellate Court in September 2000. The interior restoration of the Main Courtroom 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.
- An historic preservation design contract was registered and design modifications for four historically significant buildings began in January 2000. Designs for the Brooklyn Appellate Court and Staten Island Family Court have been completed and construction has begun.
- In Fiscal 2001 the Department and the Office of Court Administration (OCA) conducted building cleanliness surveys in 28 court facilities maintained by DCAS. Each court facility was surveyed four times and 78 percent of the buildings received satisfactory ratings.
- DCAS continued the upgrade of elevators in City-managed buildings during Fiscal 2001. These upgrades will increase elevator capacity, speed and reliability, while bringing the City into compliance with Local Laws 5 and 16 and the ADA. Construction began on elevators in 2 Lafayette Street, 346 Broadway and 125 Worth Street in Manhattan and the Brooklyn Municipal Building. Design began 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.
- Public rest rooms at 100 Centre Street in Manhattan continue to be upgraded to make them more serviceable and vandal-proof. Work on two additional rest rooms was completed in October 2000. All other rest rooms are under design and work should be bid out during Fall 2001. As a result of court schedules, consultants who prepared design documents had restricted access to the courts, causing delays in bidding out the contract.
- By November 2000 DCAS completed 85 percent of planned renovations at One Centre Street, and work has been ongoing, with construction projected to be completed by the close of Calendar 2001. A comprehensive buildingwide toilet upgrade for all remaining rest rooms 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.
- Construction work at 4101 White Plains Road in the Bronx will be completed by late September 2001.

MUNICIPAL SUPPLY SERVICES

- In Fiscal 2001, the Department increased its advertising efforts for auctions targeting the heavy equipment refuse collection and removal companies in order to address the high volume of heavy-duty vehicles currently being relinquished by DOS. Increased marketing efforts have resulted in maximum product turnover and higher revenue per item sold.

DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES

- The Department has not yet replaced the Commodity Line Item Purchasing System with the Financial Management System. After extensive evaluation during the reporting period, DCAS determined that further software development is necessary to meet the City's needs. The Department will address the issues identified during Fiscal 2002.
- During Fiscal 2001 the Department worked with a major office supplies contractor to enable City agencies to order office supplies over the Internet. Delivery of goods will occur within 48 hours. A pilot with seven agencies to test this program began in March 2001; citywide implementation began in August 2001. Full implementation is dependent on agencies having Internet access.

CUSTOMER SERVICE AND TECHNOLOGY

- During the reporting period DCAS began a project to replace the Procurement Bulletin Board System (PBBS) on the Mayor's Office of Contracts home page. PBBS posted solicitation and award notices for goods and services over \$25,000 and construction-related services over \$50,000. As of December 2000 PBBS was replaced by an online version of the procurement section of the publication, "The City Record."
- During Fiscal 2001 the Division of Municipal Supply Services' (DMSS) database of citywide Requirement Contracts (RC) was made available on the City's intranet. The intranet application allows all City agency users to search the RC database by keywords, contract number or vendor; reports of all active contracts can be sorted and printed. Copies of the actual contract summaries, which have historically been mailed to every agency, can also be viewed and printed if desired. The DMSS Storehouse catalog, from which agencies order supplies, can also be accessed from the site and can be searched and sorted similarly. All database information is updated weekly.
- The Maintenance Control Management System (MCMS) has improved citywide vehicle maintenance and management by enabling agencies to schedule preventive maintenance, manage parts and track parts' 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 City's official Web site, the Department is finalizing negotiations to offer online purchasing with credit cards by October 2001. Customers will be 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. This application is expected to be available on the City's intranet by Fall 2001.
- In September 2000 DCAS completed the redesign of the Agency intranet, D2D (Division to Division). Information will be cross-referenced by function and division, allowing users to quickly find and access content. During Fiscal 2001 DCAS began and completed implementation. The Department also intends to make more information, such as divisional directories from the D2D site, available on the City's intranet.

DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Department's expenditures were \$635 million, compared with its plan of \$646 million; headcount was 1,583 compared with its original plan of 1,575; however, the authorized headcount was increased in the April 25th Executive Budget by 121 State-funded positions. The Department's Fiscal 2000 expenditures were \$565 million, and headcount was 1,455.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$681 million and a planned headcount of 1,733.

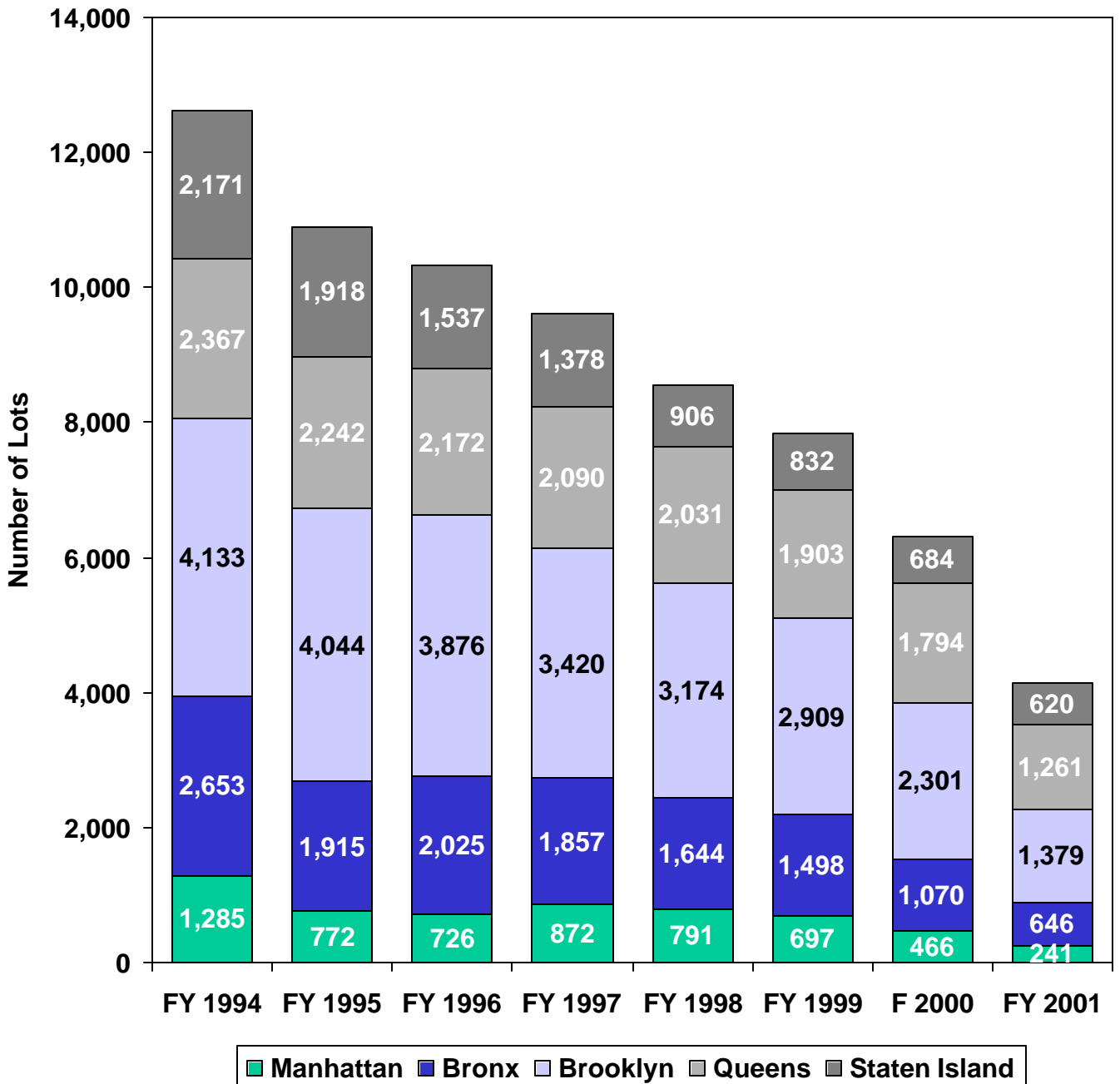
LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001
Total Auction Bids (000)	\$13,703	\$14,337	\$46,595	\$34,033	\$15,211 (a)
Fleet-Hours Unavailable (Downtime)	2%	2%	2.5%	2.5%	3%
Equal Employment Opportunity – Training Sessions	81	93	87	72	81
Equal Employment Opportunity – Agencies Monitored – On- Site Visits	38	64	52	44	41
Equal Employment Opportunity – Agencies Monitored – Desk Reviews	152	155	153	151	154

- (a) Only one auction was held during Fiscal 2001; total auction bids exceeded the Fiscal 2001 Plan of \$11.3 million.

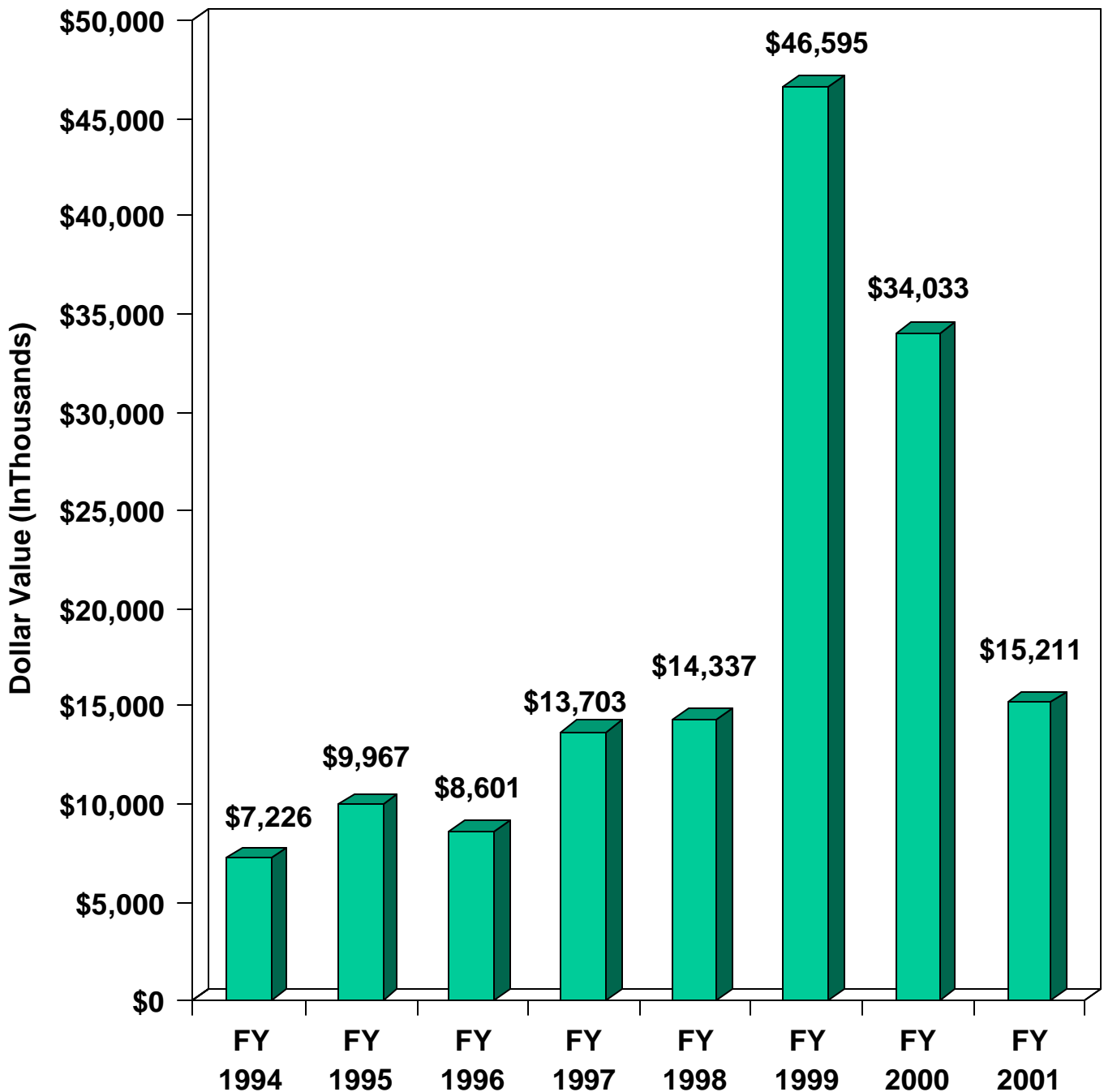
Department of Citywide Administrative Services

Vacant Lots Managed Fiscal 1994-2001



Department of Citywide Administrative Services

Bids from Auctions Fiscal 1994 - 2001



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	FY 01 Actual	FY 02 Plan
Promote the use of settlement conferences and other alternatives to trial to achieve a settlement rate of at least 50%.	50%	50%
Offer trial calendar dates within 15 business days of request.	14	15
Limit the number of business days associated with adjournments to 22.	27	22
Issue decisions within 27 business days from closure of the record.	39	27
Achieve an adoption rate of 95% for facts and conclusions.	96%	95%
Achieve an adoption rate of 90% for recommended penalties.	90%	90%
Identify opportunities for additional consolidations of agency internal adjudication units.		

HIGHLIGHTS AND ACHIEVEMENTS

- The Office of Administrative Trials and Hearings (OATH) received 2,239 cases for adjudication during Fiscal 2001, compared to 2,456 cases received during Fiscal 2000. The breakdown of cases is as follows: 1,904 personnel cases, 100 license cases, five regulatory cases, 191 real estate and land-use cases, 27 contract cases, and 12 discrimination cases referred by the City Commission on Human Rights.
- The Office completed 2,303 cases in Fiscal 2001, compared to 2,422 cases in Fiscal 2000. The decrease in cases completed is due to fewer cases received. In Fiscal 2001 OATH completed more cases than it received, due to work on cases received at the end of Fiscal 2000.
- During the reporting period the Office offered trial calendar dates within an average of 14 business days of request, compared to 16 days during Fiscal 2000. The decrease in the number of business days is due to cases being settled or withdrawn by the parties, thereby creating earlier openings on the calendar.
- On average OATH issued decisions within 39 business days during Fiscal 2001, compared to 27 business days during Fiscal 2000. The increase is due to a very busy calendar, which diverts the judges' time away from writing decisions.
- OATH achieved a settlement rate of 50 percent during the reporting period, compared to 49 percent during Fiscal 2000.
- The average delay attributable to adjournments increased to 27 business days in Fiscal 2001, from 24 business days in Fiscal 2000. The increase is due to increased calendar congestion.

OFFICE OF ADMINISTRATIVE TRIALS AND HEARINGS

- In July 1999 the Procurement Policy Board adopted rules that designate OATH to administer and conduct the Contract Dispute Resolution Board proceedings that decide claims arising from City contracts, including construction contracts. During Fiscal 2001, 23 appeals with claims ranging from \$4,896 to \$966,183 were filed; four have been resolved. Of the appeals, 22 involve construction and one involves a contract for goods and services.
- In October 1999 the Department of Housing Preservation and Development (HPD) designated OATH to conduct proceedings to determine whether Single Room Occupancy (SRO) tenants have been harassed to induce them to vacate or waive their tenancy rights in connection with an owner's application to alter or demolish SRO buildings. The hearings are held in cases where HPD has made a preliminary finding of reasonable cause that harassment has occurred. This consolidation has eliminated internal hearings at HPD of these cases. In Fiscal 2001 OATH handled eight SRO cases, compared to three SRO cases in Fiscal 2000. Of these eight cases, five have been resolved and three are pending.
- 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

- In Fiscal 2001 OATH continued to enhance its home page on NYC.GOV, the City's official Web site, by adding 58 more OATH decisions in full text and maintaining the annotation of the online version of its Rules of Practice with reference to pertinent OATH decisions. The full text of over 594 OATH decisions is now available on its Web site. The number of page views increased to 144,746 during Fiscal 2001, compared to 66,721 during Fiscal 2000.
- Rec-Tech, an interagency working group established in Fiscal 1997, was created to enhance the use of technology by, and to share resources among, six City agencies located at 40 Rector Street. Installation of a new security access system was completed in June 2001. The system was integrated into the existing Rec-Tech computer network and allows local administration by the six user agencies.
- 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 online. 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 online to over 6,000. Phase III of this project will make decisions from related City agencies available online. Implementation of this phase is dependent on funding.
- During the reporting period OATH initiated e-mail communication with the Investigations and Trials Division at the Department of Correction to facilitate the exchange of case processing information.

BUDGET HIGHLIGHTS

- 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	FY 01 Actual	FY 02 Plan
Certify or refer at least 70% of applications received.	73.2%	70%
Simplify and accelerate land use and environmental review processes.		

Goal: Encourage housing and economic development through zoning changes and other actions.

Objective	FY 01 Actual	FY 02 Plan
Initiate public review of at least two citywide zoning amendments to facilitate housing production and commercial development.	2	2
Initiate public review of at least three local area proposals to promote new housing, commercial and mixed-use development.	4	3

Goal: Improve the quality of life for City residents.

Objective	FY 01 Actual	FY 02 Plan
Initiate public review of at least three local area or citywide zoning changes to preserve neighborhood character.	4	3
Complete at least four studies proposing enhanced streetscapes and improved pedestrian, bicycle and vehicular circulation.	4	3

Goal: Provide policy analysis and technical support to City agencies and the public.

Objective	FY 01 Actual	FY 02 Plan
Prepare and disseminate New York City Census 2000 data.		
Complete four reports mandated by the City Charter or required for federal assistance.	5	4
Complete at least four technical reports relating to demography, housing, community facilities, transportation or open space.	4	4

DEPARTMENT OF CITY PLANNING

HIGHLIGHTS AND ACHIEVEMENTS

REGULATORY REVIEW

- During Fiscal 2001 a total of 745 applications were submitted for City Planning Commission review, compared with 709 applications during Fiscal 2000. The Department of City Planning (DCP) certified or referred for public review 545, or 73.2 percent, of the applications received in Fiscal 2001, compared with 486, or 68.5 percent, during Fiscal 2000. During Fiscal 2001 the Department also certified or referred 203 applications from previous years, reducing the backlog by 53 percent. In comparison, 217 applications from previous years were certified or referred during Fiscal 2000, reducing the backlog by 56 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, will be updated to reflect current policies and practices. DCP has proposed 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 is proposing changes to the Environmental Assessment Statement form, required of all actions subject to environmental review, to facilitate its use by applicants. Both the updated manual and form are expected to be available in Fiscal 2002.

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 July 2001 the Commission initiated public review of the Department's proposal to facilitate development of new housing using private roads, in lieu of City streets, in low-density zoning districts. The zoning text amendment, with the approval of the City Council, would establish new regulations for residential development on private roads, specifying minimum street widths and building setbacks, and requiring sidewalks, planting strips and street trees. The regulations would apply only to new developments with five or more units located at least 50 feet from a street line. Since private roads are generally used to provide access to multifamily developments on large properties with insufficient access to the City street system, the new regulations would primarily affect Staten Island and, to a lesser extent, Queens.

DEPARTMENT OF CITY PLANNING

- 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. Rezoning that increase permitted residential floor area or facilitate conversions to residential use also encourage new residential development. Since 1994, 60 of these zoning changes have been adopted, resulting in construction of nearly 13,000 new housing units and the potential for another 13,000 in the future.
 - In April 2001 the Commission referred for public review zoning amendments that would allow for legalization of loft residences in specified manufacturing areas in Brooklyn. The proposal, pending City Council approval, would permit occupants of illegal loft residences in those areas to remain while their residences are brought up to code. The neighborhoods – DUMBO, Williamsburg, East Williamsburg, Greenpoint and an area south of the Navy Yard – are located in Brooklyn Community Districts 1, 2 and 4. In conjunction with this action, the City has proposed State legislation to provide rent protections to loft tenants and a more effective code compliance procedure.
 - In May 2001 the City Council adopted zoning changes for a 15-block area along Flushing and Bedford avenues in Brooklyn. The rezoning allows for new residential development north of Flushing Avenue and, in a new mixed-use district south of Flushing Avenue, provides for new and expanded industrial uses as well as opportunities for new housing. Along with the zoning action, DCP and the Department of Housing Preservation and Development developed a series of measures to address displacement concerns of residents in and around the rezoning area.
- 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 are now prohibited.
- 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.

NEIGHBORHOOD PRESERVATION AND QUALITY OF LIFE

- In February 2001 the City Council adopted regulations that better control the proliferation of oversized advertising signs and their negative effects on the City's neighborhoods, roadways and waterfront. The changes limit the size, height and location of signs in manufacturing districts and are accompanied by rigorous enforcement legislation.
- In March 2001 the Commission initiated public review of zoning text amendments to tighten regulation of adult entertainment establishments. The definitions of adult bookstores, eating and drinking establishments and theaters would be clarified to prevent sham compliance with the zoning regulations adopted in 1995. The proposed amendments, which require approval by the City Council, would establish objective criteria, relating principally to physical layout and method of operation, to define establishments subject to the regulations.

DEPARTMENT OF CITY PLANNING

- In June and July 2001 the Commission initiated public review of 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. During Fiscal 2001 the City Council adopted six similar rezonings in Staten Island Community Districts 1 and 3, covering more than 470 blocks in the Woodrow, West Brighton, Arden Heights, Annadale, Snug Harbor and Great Kills/Eltongville areas.
- In Fiscal 2001 the Department completed four studies to enhance the streetscape and improve pedestrian, bicycle and vehicular circulation.
 - In November 2000 the Department released the “East River Crossings Alternatives Study.” The study examines a wide range of options for vehicular and transit use of the Williamsburg and Manhattan bridges to satisfy growing and/or changing mobility demands. For example, the study suggests altering the proportion of space on each bridge devoted to vehicular and transit use.
 - In support of the City’s greenway plan for continuous public access around the island of Manhattan, in November 2000 the Department released the “Harlem River Greenway Master Plan,” which describes how a continuous 4.5-mile route for bicyclists and pedestrians could be established along the waterfront between West 140th and West 201st streets in Manhattan. The plan provides for on-street access to the new or improved waterfront path from inland neighborhoods and for connections to the Bronx.
 - In June 2001 the Department released “Taxi Stands in Times Square and the Theater District,” a report analyzing how well taxi stands in Midtown Manhattan are used and the actions needed to improve their visibility and use. After consideration by an interagency group representing DCP, the Department of Transportation, the Taxi and Limousine Commission, the Times Square Business Improvement District and Con Edison, many of the recommended actions described in the report were implemented in January 2001, before its official publication.
 - In June 2001 DCP completed the “Grand Central Underground” report, which describes the history and current condition of the linked passageways beneath Grand Central Terminal and nearby buildings. The report proposes that the passageways be improved through the addition of shops and the installation of uniform signage, upgraded lighting, attractive materials, public art and security cameras. Such enhancements, as well as standard hours of operation, should increase use of the underground passageways, alleviate street-level pedestrian congestion and encourage mass transit use.
- 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. The panel is expected to make its recommendations to the Mayor by Fall 2001 so that construction can begin in Fiscal 2002. 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. In November 2000 a groundbreaking ceremony for the 2.1 million square-foot development, known as AOL Time Warner Center, was held. The center 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 initial release of census data for the City, the boroughs and more than 2,200 census tracts is underway. Data posted on DCP's Web site includes downloadable spreadsheet files, a graph comparing the City's 1990 and 2000 population by race and Hispanic origin, as well as maps and explanations interpreting the population trends. The most recent additions to the Web site are demographic profiles of each census tract by race, sex, age, household type and housing occupancy. Borough maps by census tract show population density, population changes from 1990 to 2000 and various ethnic changes. Users can zoom in on these maps for closer examination of an area. A schedule for the release of additional 2000 Census data is also provided.
- In October 2000 the Department released the proposed "Consolidated Plan 2001" and in January 2001 released the final "Consolidated Plan 2001," which details the City's planned allotment of its federal assistance for housing, homeless assistance, supportive housing services and community development programs.
- In December 2000 the Mayor issued the "Citywide Statement of Needs for Fiscal Years 2002 and 2003." 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 September 2000 DCP released "Community District Needs for Fiscal Year 2001," five borough reports that include updates of DCP's demographic and land-use profiles of each district; new maps showing the district's day care and senior centers, libraries and cultural institutions; and each community board's assessment of its needs.
- In April 2001, pursuant to the City Charter, the Commission transmitted its comments on the "Preliminary Ten-Year Capital Strategy for Fiscal Years 2002-2011" to the Mayor, the City Council and the Borough Presidents.
- In June 2001 the Department released the "1999 Report on Social Indicators," an annual report providing data on economic, demographic, social, physical and environmental conditions in the City.
- In Fiscal 2001 DCP completed four technical reports.
 - In October 2000 a major publisher released "Privately Owned Public Spaces: The New York City Experience," a collaboration of DCP, Professor Jerold S. Kayden and the Municipal Art Society. The book describes the history of incentive zoning, the evolution of the City's public space zoning regulations since 1961, and the features of 503 public spaces at the 320 buildings that were permitted additional building area in exchange for providing public spaces. In conjunction with the Law Department and the Department of Buildings, DCP has mounted an enforcement effort to ensure that all such spaces are in compliance with applicable public access and amenities standards.
 - In May 2001 the Department released a report proposing a prototypical database for facilitating coordination of Intelligent Transportation System (ITS) projects deployed in the New York City area. ITS projects use technology, such as electronic toll collection or variable message signs, to increase the efficiency of existing transportation systems. The report includes a user guide for application of the demonstration database and a literature review of similar applications in other cities.

DEPARTMENT OF CITY PLANNING

- In Fiscal 2001 the Department reached a major milestone in its Fresh Kills Planning Study by launching an international design competition to develop a conceptual master plan for use of the Fresh Kills Landfill site, which officially closed in July 2001. A Request for Proposals (RFP) for the design competition, together with detailed descriptions of conditions affecting the 2,200-acre site, were posted on a specially created Web site in June 2001. 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. Selection of three top-ranked design and planning teams eligible for a City master plan contract is expected by the end of Calendar 2001.
- In Spring 2001 the Department completed its “City Island Maritime Heritage Preservation Study,” initiated in response to the Island’s designation as one of 17 historic maritime communities in New York State. A summary report examines the Island’s resources and issues, and recommends measures to strengthen marine industries, protect neighborhood character, address traffic issues and enhance public access to the waterfront. Related reports provide greater detail on the history of the Island’s development and its maritime industry, as well as a detailed assessment of its marinas and yacht clubs.

CUSTOMER SERVICE AND TECHNOLOGY

- In October 2000 the Department expanded its home page on NYC.GOV, the City’s official Web site, with the addition of demographic profiles from the latest Community District Needs Statements and land-use maps for each community district. Users can select a community district from a City map to view a land-use map and obtain statistical information about the district. In November 2000 election districts for Calendar 2000 were posted on the Department’s Web site in two Geographic Information System (GIS) formats within the City’s computerized geographic base map files, known as “Bytes of the Big Apple.” In addition to Census 2000 data, in Fiscal 2001 the Department posted two planning proposals: the Special Long Island City Mixed-Use District proposal and the Brooklyn Loft Legalization proposal.
- In June 2001 the Department posted the Fresh Kills Landfill to Landscape International Design Competition at www.nyc.gov/freshkills, with the pro-bono assistance of an e-business consulting group. In that month alone, there were 38,000 page views of the site, which was developed by DCP in collaboration with DOS, DPR, DCLA; the Department of Environmental Protection; the State Department of Environmental Conservation and Office of Parks, Recreation and Historic Preservation; the New Jersey Department of Environmental Protection; Rutgers University; and the Municipal Art Society. The site is designed in two formats: one taking advantage of technology suitable for a design competition, and the other consisting of a simple text format to comply with the Americans with Disabilities Act. The site includes:
 - An “About Fresh Kills” section in which extensive and detailed information is provided about the history, environment, transportation access and other aspects of the landfill site; the landfilling process; and the surrounding Staten Island neighborhoods. This section includes photographs and a map of the area that can be manipulated to add and subtract layers of information and 360-degree panoramic views of landfill sections.
 - An “About the Competition” section, which was the primary means of reaching an international audience who wished to participate in the contest. Interested persons were able to register for and access the RFP online. In response to the RFP, 46 first-round proposals were submitted by June 29, 2001. Of those, 15 competitors were invited to submit second-round proposals, and six competition finalists were announced in August 2001. They will present their plans to the competition jury before the end of Calendar 2001.
 - A “Public Forum” section in which a continuously updated list of public meetings, exhibitions and conferences is presented. The public can also submit questions about Fresh Kills and the competition and can read the Frequently Asked Questions page.

DEPARTMENT OF CITY PLANNING

- During Fiscal 2001 there were 1.8 million page views of DCP's home page on NYC.GOV, compared to 727,303 page views during Fiscal 2000.

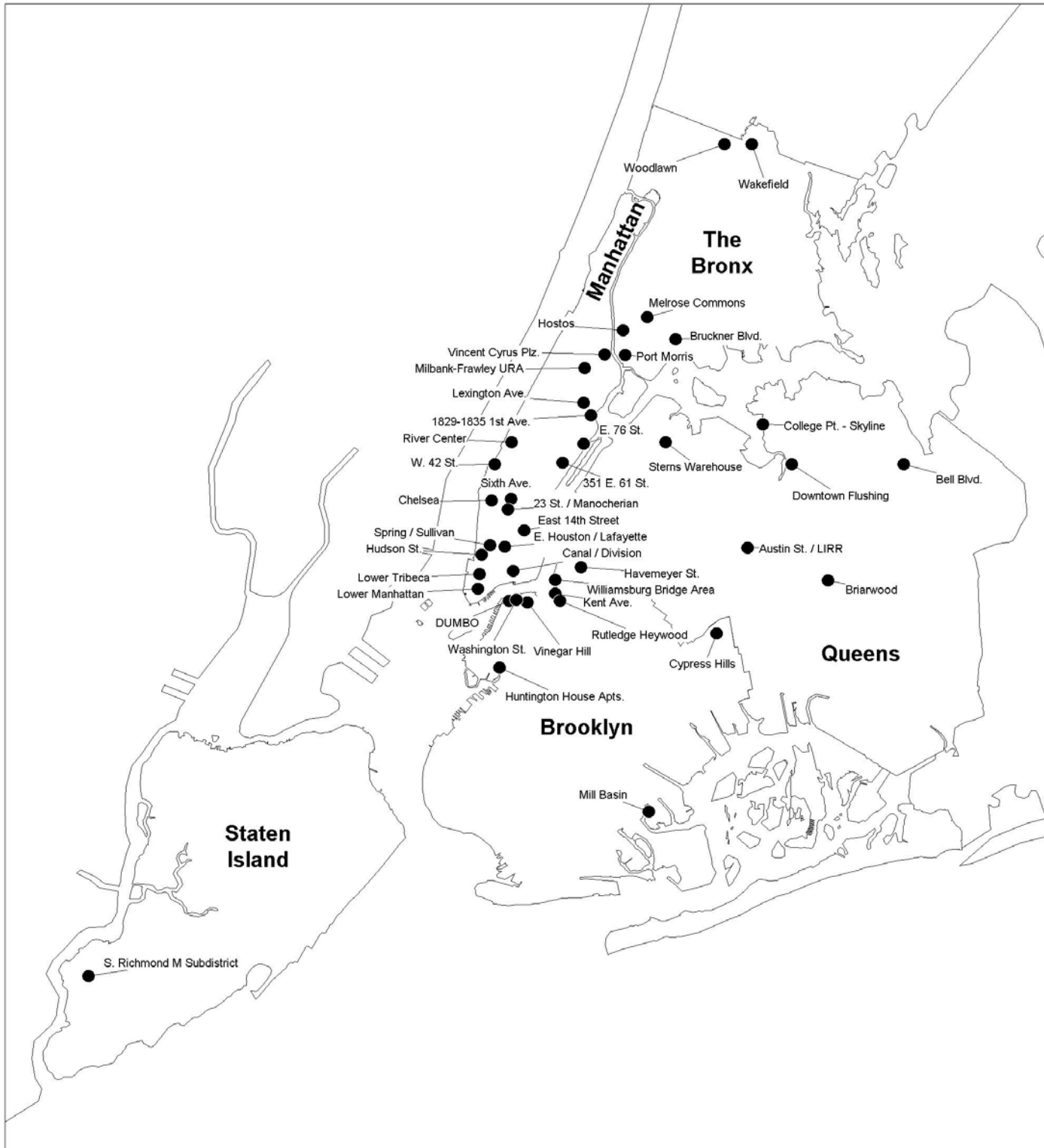
BUDGET HIGHLIGHTS

- During Fiscal 2001 the Department's expenditures were \$21.3 million, compared with its plan of \$19.3 million; headcount was 244, compared with its plan of 258. The Department's Fiscal 2000 expenditures were \$17.6 million and headcount was 260.
- The Department's Fiscal 2001 expenditures were supplemented by the addition of State and federal grants, which were received in September 2000.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$17.9 million and a planned headcount of 255.

Department of City Planning

Rezoning to Facilitate Residential Development

Calendar 1994 – July 2001



NOTE: These rezonings were initiated by both the Department and private applicants.

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	FY 01 Actual	FY 02 Plan
Provide training on records scheduling and disposition to 300 records personnel in 55 City agencies and offices.	310 / 55	300 / 55
Ensure that at least 25 applications are submitted by City agencies for \$1 million in Local Government Records Management Improvement funding.	29	25
Help agencies with the disposal of 50,000 cubic feet of government records.	69,078	50,000
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	FY 01 Actual	FY 02 Plan
Respond to 70,000 research and reference requests through the Municipal Archives Division and the Municipal Reference and Research Center offices.	94,169	70,000
Arrange for the storage of 30,000 cubic feet of government records.	29,144	28,000
Move 3,000 cubic feet of backlogged archives from the Queens Storage Facility to the archives at the Bush Terminal Storage Facility.	1,554	3,000

HIGHLIGHTS AND ACHIEVEMENTS

RECORDS MANAGEMENT

- In Fiscal 2001 the Department of Records and Information Services (DORIS) Grants Analysis Unit helped 23 agencies prepare grant applications totaling \$1.55 million for \$1 million in funding from the Local Government Records Management Improvement Fund. Of the 23 agencies that filed applications, six agencies filed two applications each for a total of 29 applications.
- In Fiscal 2001 the DORIS disposal program eliminated 21,149 cubic feet of records within the Department and 69,078 cubic feet of records citywide, including court records, compared to 21,462 cubic feet of records within the Department and 86,329 cubic feet of records citywide eliminated in Fiscal 2000. The decrease in the number of records disposed is due to fewer agencies requesting disposal in Fiscal 2001 than in Fiscal 2000.

DEPARTMENT OF RECORDS AND INFORMATION SERVICES

- 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 147 records retention schedules and created 205 new records retention schedules during the reporting period, compared to 149 revised schedules and 197 new schedules created during Fiscal 2000. Due to a fewer number of revised schedules, the Department disposed of 16,000 cubic feet of records, compared to 17,000 cubic feet of records in Fiscal 2000. Fewer agencies requested to revise their retention schedules; however, more agencies requested new records retention schedules during Fiscal 2001 compared to Fiscal 2000.
- During Fiscal 2001 the DORIS Records Management Division accessioned 29,144 cubic feet of government records, compared to 28,190 cubic feet during Fiscal 2000. The total number of records accessioned during the reporting period increased compared to Fiscal 2000 because client agency files were better organized in accordance with the City's records management policy and therefore more easily accessed.
- During the reporting period the Department reclassified 1,554 cubic feet of records as archival and transferred them from the Queens Storage Facility to the archives at the Bush Terminal Storage Facility. Fewer records were eligible for archival and transfer during Fiscal 2001 compared to Fiscal 2000.
- During Fiscal 2001 the Department completed its review of a citywide Records Management Manual, which provides general records retention guidelines and best practices for records management. This manual, the first of its kind, includes a policy on the retention and disposal of electronic records. The manual is currently under legal review.
- DORIS hired an electronic records analyst to address electronic records management issues. The analyst will assist City agencies in establishing and implementing electronic records policies.

MUNICIPAL ARCHIVES

- During Fiscal 2001 the Municipal Archives Division responded to 76,394 research requests, compared to 74,507 requests during Fiscal 2000. The research requests include in-person, telephone and mail requests, most of which are for vital records, such as birth, death and marriage certificates. There were 9,071 requests for birth certificates, 14,040 for death certificates and 6,993 for marriage certificates. The response time was reduced to an average of 18 days in Fiscal 2001, compared to an average of 25 days in Fiscal 2000. Due to the installation of an automated telephone answering system in Fiscal 2000, staff was free from telephone answering duties and was reassigned to vital records processing resulting in a reduction in response time.
- During Fiscal 2001, 65 percent of the applications for birth, death and marriage certificate requests received by mail were electronically downloaded from the DORIS home page, compared to 48 percent during Fiscal 2000.
- During the reporting period revenue from the Municipal Archives Division was \$321,552, compared to \$327,782 during Fiscal 2000.
- In Spring 1998 the National Endowment for the Humanities (NEH) awarded the Municipal Archives Division a grant to microfilm a portion of the files pertaining to Robert Moses' tenure as Parks Commissioner, which spanned the years 1934 to 1959. During Fiscal 2001 the Division microfilmed 164 of the 197 reels, compared to 33 reels during Fiscal 2000. The project was completed in October 2000.

DEPARTMENT OF RECORDS AND INFORMATION SERVICES

- In October 2000 DORIS displayed photographs of houses in New York City at the Family History Fair, which was held at the Fashion Institute of Technology in Manhattan. Attended by more than 700 people, the event was sponsored by the Archivists Round Table of Metropolitan New York.
- In June 2001 DORIS completed a collaborative project with the Department of Parks and Recreation (DPR) to microfilm the Brooklyn Borough files of the Municipal Archives' collection of Parks Records (1934-1966). DPR secured a SARA Local Government Records Management Improvement Fund (LGRMIF) grant for this project. A total of 110 rolls of 16mm microfilm were produced.
- 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 NEH and an annual grant of \$75,000 from the New York State Archives LGRMIF. Microfilming began in November 2000. To date, 58 rolls of microfilm have been produced comprising 46,751 images.

MUNICIPAL REFERENCE AND RESEARCH CENTER

- In Fiscal 2001 the Municipal Reference and Research Center (MRRC) responded to 2,986 research and reference requests from City employees and elected officials and 17,775 reference requests from the public, compared to 4,950 and 18,929 requests respectively during Fiscal 2000. DORIS does not have control over the number of requests received.
- In June 2000 MRRC was awarded a grant from the State Library Conservation/Preservation Program to microfilm the New York City Board of Estimate proceedings. The paper volumes from 1871 through 1988 chronicle important, unique information concerning New York City's history and are in fragile condition due to old age and constant use. DORIS purchased the Library of Congress' microfilm collection of the Board of Estimate proceedings from 1873 to 1941 in November 1999. The project to microfilm the collection from 1942 to 1947 was completed by DORIS in May 2001.

CUSTOMER SERVICE AND TECHNOLOGY

- As part of its effort to improve public access to research and reference sources, the Department completed its three-year project to convert MRRC's manual card catalog to an electronic system in June 2001.
 - The software and hardware needed to make the catalog electronically accessible will be installed by December 2001 and staff training will be completed by January 2002. The change in completion dates is due to the need to update specifications for the project to take advantage of newer technology that has become available in the three years since the Request for Proposals was originally circulated.
- 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. The project is behind schedule due to contractor delay.
- The automated telephone system in the Municipal Archives Division's public reference unit handles approximately 85 percent of all incoming calls. As of mid-August 2001 a total of 32,334 calls were handled by the telephone system, compared to 10,167 calls as of mid-August 2000.
- DORIS will redesign its home page on NYC.GOV, the City's official Web site, with technical assistance from the Department of Information Technology and Telecommunications. The expected completion was delayed due to procurement issues and is planned for December 2001.

DEPARTMENT OF RECORDS AND INFORMATION SERVICES

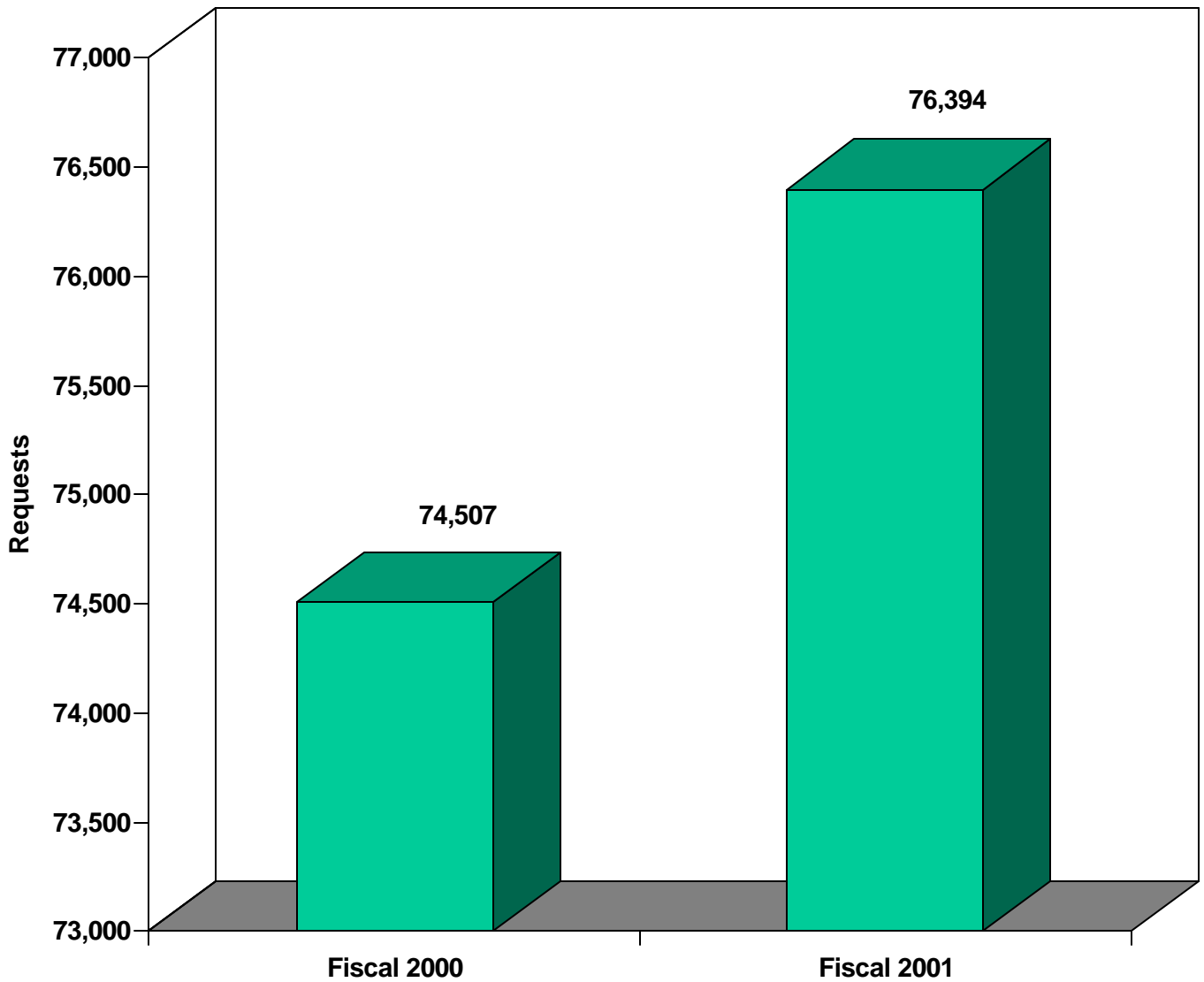
- During Fiscal 2001 a vendor was selected to replace DORIS' obsolete Records Management Information System (RIMS). The hardware for the new system, known as RIMS II, has been installed while the software is under development. Completion is expected by June 2002.

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Department's expenditures were \$4.3 million, compared with its plan of \$4.2 million; headcount was 45, compared with its plan of 53. The Department's Fiscal 2000 expenditures were \$3.9 million, and headcount was 47.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$3.8 million and a planned headcount of 44.

Department of Records and Information Services

Research Requests Received Fiscal 2000-2001



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 plans for Fiscal 2002.
Implement a citywide information technology awards program in Fiscal 2001.
Develop and implement a project management reporting system for capturing and tracking progress of DoITT, e-government, and Agency Technology Fund projects in Fiscal 2001.
Develop an Information Technology (IT) Project Management Certification Program that will institutionalize the standard project management methodology for the City through the introduction of IT project management professionals within each agency.

Goal: Expand the City's information technology infrastructure.

Objective
Continue to leverage the DoITT mainframe environment by increasing client processing power and storage capacity in Calendar 2001 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 Calendar 2001 to further enhance the availability and reliability of the City's Web site.
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 2001.
Integrate telephone Help Desk services into the DoITT Call Center in a continuing effort to provide a single platform for users requesting DoITT assistance and services.
Plan an upgrade of the 800 MHz trunked radio networks in Fiscal 2001.

Goal: Provide electronic access to City government.

Objective
Redesign the City's Internet Web site (www.nyc.gov) to support e-government initiatives and to serve as a central portal for all online services.
Develop a citywide intranet strategy.
Award the CityAccess kiosk project contract in Fiscal 2001 and begin to place a total of 59 kiosks in the five boroughs in Fiscal 2001, with one kiosk in every community board.
Develop a plan to use Internet technology to link human service contractors with the City's eight human services agencies in Fiscal 2001.
Build a citywide geographic information systems utility and use it to develop critical e-government applications in Fiscal 2001.

DEPARTMENT OF INFORMATION TECHNOLOGY AND TELECOMMUNICATIONS

Goal: Negotiate, administer and monitor franchises that provide cable television, high-capacity telecommunications and public pay telephone services for the City.

Objective
Award seven new high-capacity telecommunications franchises in Fiscal 2001.
Issue a Request for Proposals for conversion of unused water pipes to telecommunications use in Fiscal 2001.
Complete the registration process, where appropriate, for the remaining public pay telephone contracts by the end of the first quarter of Calendar 2001.
Enhance the enforcement effort to remove illegal public pay telephones (PPT) from City streets by awarding a service contract to a private vendor in Fiscal 2001 for the removal, storage and disposition of such PPTs.

HIGHLIGHTS AND ACHIEVEMENTS

TECHNOLOGY MANAGEMENT

- During Fiscal 2001 the Department of Information Technology and Telecommunications (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. Project management titles with accompanying job descriptions are being developed. Requirements to administer the program have been identified and will be submitted to the appropriate oversight agencies by December 2001. A Request for Proposals (RFP) is being prepared to develop the full NYC Project Management curriculum and to deliver the training. The Department expects to issue the RFP in December 2001.
- DoITT introduced a Web-enabled system in the first half of Calendar 2001, as planned, to more efficiently track the progress of all approved agency annual technology plans, including procurement and deployment. This system is being used by the submitting agencies, DoITT, the Office of Management and Budget, and the Mayor's Office of Operations to assist in providing recommendations regarding the funding required to implement the approved plans.
- In June 2001 the City of New York held its inaugural citywide Excellence in Technology Award Program (ETAP). The Technology Steering Committee (TSC) was mandated to launch a recognition program as part of its responsibilities under Executive Order 43, issued by Mayor Giuliani in October 1998. ETAP was designed to salute the City's IT professionals and managers for their dedication and hard work. Agency heads throughout the City were invited to submit nominations, with a formal nomination committee reviewing each submission and selecting a winner in each category. From the winners, a single entrant was chosen to receive the overall ETAP Award for the project that exemplified the very best of IT for the City. Awards were given to 65 employees in eight categories, with over 750 people attending the ceremony.

DEPARTMENT OF INFORMATION TECHNOLOGY AND TELECOMMUNICATIONS

TECHNOLOGY INFRASTRUCTURE

- The Department's planned upgrade of the City's Internet is underway and on schedule to be completed by the end of Calendar 2001. 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 agency business partners such as banks, contractors and vendors to exchange large data files with City agencies via the Internet. The third project, upgrading of 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 by more than 100 times, from the current 10 megabits (one million bits per second) to a gigabit (one 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. It is expected that the installation and configuration of all network components will be fully operational by December 2001.
- In Fiscal 2001 DoITT continued to work with agencies toward citywide adoption of an industry standard e-mail protocol — the Simple Mail Transport Protocol — using username@agency.nyc.gov as its standard address, and supporting all electronic mail services with attachments, including documents and graphics files. In order to assist agencies in this conversion process, DoITT developed "migration guidelines" based on specific mail servers used by each agency. These guidelines were distributed to each agency and a migration schedule was developed.
 - To date, over 40 agencies and other organizations have successfully completed this migration. The remaining agencies are scheduled to be migrated by October 2001.
- As planned, integration of the voice help desk into DoITT's Call Center was completed in Fiscal 2001. As a result of the integration, staff members have been cross-trained in both data and voice communications technology. Centralizing the function has enabled the Department to handle both types of call volume with current staff.
 - In Fiscal 2002 the Department began to develop a plan to expand the services provided by the Call Center to include mainframe, Local Area Network, Internet and intranet problems. This will include an expansion of the Call Center's hours of operation from the current 7:30 A.M. to 5:00 P.M. to 7:00 A.M. to 8:00 P.M. with no increase in staff.
- During Fiscal 2001 DoITT negotiated and registered a contract with a vendor to upgrade the City's analog 800 MHz radio system to digital, as well as provide ongoing maintenance. DoITT is currently performing a strategic analysis to be completed prior to the upgrade and conversion of its 6,800 users in 25 agencies. The analysis will determine the optimal allocations to City agencies for the various wireless radio bandwidths that are presently in use or are planned in the City. Following completion of the analysis in early Fiscal 2002, the upgrade to the 800 MHz infrastructure will begin.

ELECTRONIC GOVERNMENT

- In May 2001 the City launched a newly redesigned NYC.GOV, the City's official Web site, as a portal-based Web site providing individuals and businesses with easy-to-use navigation features. The portal design makes it easier to effectively access the more than 50,000 pages of content and 100 online transactions currently available on the site. It provides direct and intuitive access to information based on categories of services. Users have four distinct methods to access government:

DEPARTMENT OF INFORMATION TECHNOLOGY AND TELECOMMUNICATIONS

- service-based – quick access to the 12 most frequently accessed service areas;
 - "I Want To" – a listing of services organized by user needs, such as paying parking tickets or viewing Sanitation collection schedules;
 - agency-based – services provided by agencies and agency Web pages;
 - customizable "MyNYC.gov" – a user-designated profile specifying areas of interest.
- NYC.GOV won top honors in the 2001 "Best of the Web" contest out of nearly 400 State and local government Web site entries. The contest is sponsored by various public and corporate entities and a leading government technology magazine. Web sites were judged on their innovation and use of Web-based technology to deliver government services, efficiency and time saved, economy and money saved, and functionality of improved citizen access. This year's contest marks the third time that the City has received "Best of the Web" recognition. The City earned first place in 1997 and third place in 1996.
 - In addition to extensive information, NYC.GOV provides important online transaction services. Examples of the wide range of services currently available through NYC.GOV include viewing real-time traffic cameras; accessing property tax records and water/sewer statements; paying a parking ticket or locating a towed vehicle; accessing building code, inspection and violation information; reviewing restaurant inspection reports; ordering birth certificates; viewing crime statistics; requesting Sanitation services; looking up Sanitation collection schedules; searching the City's medical Provider Directory; and accessing services provided by other regional governments.
 - In July 2001 DoITT deployed the City's new intranet, CityShare. This "virtual workspace" is the employees' common gateway for access to interagency communications, job-related tools and personnel information. CityShare is the first phase of the City's intranet strategy and serves as a foundation on which to build future applications. Currently, CityShare provides access to applications such as the Department of Citywide Administrative Services' Requirements Contract System, the Department of Transportation's E-Permits system and the City's new Geographic Information System (GIS) "Everyone Map." As CityShare expands, it will offer activities such as "employee communities," so that employees from multiple agencies can share information on similar job functions via the intranet.
 - In Fiscal 2001 DoITT established the E-Procurement Task Force to focus on technology-based procurement solutions. The overall goal of the task force is to provide a comprehensive citywide procurement strategy that lowers the cost of goods and services, shortens the purchasing cycle, reduces the cost of administering procurements and reduces inventory.
 - In Fiscal 2001 the E-Procurement Task Force began a Procurement Card pilot project in three City agencies. The pilot will be completed and a report presented to the Task Force by the second quarter of Fiscal 2002. The pilot program is receiving a favorable reception in the central procurement and field offices of the pilot agencies.
 - 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 has implemented an e-recruitment system. The e-recruitment system utilizes a Web-based resume review system. The RRT Unit plans to pilot the e-recruitment system within DoITT, and implement it in other City agencies in the second quarter of Fiscal 2002.

DEPARTMENT OF INFORMATION TECHNOLOGY AND TELECOMMUNICATIONS

- In Fiscal 2001 the E-Government Office completed the first phase of a cooperative project with the Department of Sanitation, designed to support Web-enabled service requests for derelict vehicle removal, lot cleaning, missed collections, and miscellaneous service requests. A high-level design was completed for a fully automated service request process, and interim manual procedures were developed.
- In Fiscal 2001 the E-Government Office and the Department of Business Services developed a Business Resource Guide, allowing users interested in starting or developing a business to identify existing business incentives that may be applicable to their specific situation. After providing the user with a brief online questionnaire, the application sorts through more than 150 different incentives offered by various agencies and provides online links for the user to access the appropriate information.
- In collaboration with the Department of Parks and Recreation, in Fiscal 2001 the E-Government Office redesigned and developed seven online forms, including applications for tennis permit renewals and for employment as a lifeguard; requests for planting a new tree; sports permit applications; requests for dead tree removal; and special events permits. In addition, technology was implemented that allows for the secure transmission of online payments.
- In September 2000 Mayor Giuliani created a Task Force chaired by a private citizen and consisting of the heads of the Mayor's Office of Operations, the Department of Buildings, the Fire Department, the Law Department, the Department of Investigation, and DoITT. In April 2001 the Report of the Mayor's Task Force Examining Operations of the Department of Buildings was released. The Task Force presented recommendations to reform and professionalize the Department of Buildings. Key recommendations included streamlining the plan examination and permit process; transferring inspection and enforcement functions from the Department of Buildings to the Fire Department; reviewing the administration of the licensing examinations for tradespeople; instituting anticorruption measures within the Department of Buildings; and implementing technological innovations to improve efficiency and customer service delivery. In Fiscal 2001 the E-Government Office and the Department of Buildings (DOB) completed development of an online application that Web-enables a portion of DOB's Building Information System. The Web-enabled portion of the application contains information that is most frequently requested by the public and the building industry. This application allows the public to access building code, inspection and violation information via the Internet. The Web-enabled version of the application became available to the public in Summer 2001.
- The City continues to work closely with the team that implemented a Human Services Extranet system in New Jersey, similar to the system planned for New York City. The City is currently compiling statistics on the number of City agencies and nonprofit organizations that will require access to the network. 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. During the next project-planning phase, the team will develop and formalize nonprofit participation in the project. This includes the development of work teams to guide the development of the Extranet for New York City, the distribution of a survey to assess the needs and technological capacity of the organizations in the District, and collaboration and communication with other emerging IT projects in the human services provider community.
- In Fiscal 2001 the City began enhancement of its 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. Working closely with the Department of City Planning, DoITT is working to equip the GIS Utility with information taken from other computer files, such as street centerlines with address ranges and tax block and lot numbers. This will enable City data to be linked to address and property information.

DEPARTMENT OF INFORMATION TECHNOLOGY AND TELECOMMUNICATIONS

- "Everyone Map," the GIS application that presents GIS Utility data, is now available to City workers through the City's intranet. DoITT expects to make the application available over the Internet to the public in Fiscal 2002.
- DoITT, working with the Office of Emergency Management, has developed Internet applications using the basemap that informs the public what to do and where to go in case of a hurricane or summer heat emergency. These applications were made available online in the first quarter of Fiscal 2002. Another application, for winter storm emergencies, will be online by the second quarter of Fiscal 2002. Additionally, a West Nile Virus application using the basemap has been in use by the Department of Health since Spring 2001.
- Plans call for the GIS Utility to be equipped with a routing function to allow City vehicle fleets and field workers to be efficiently directed to their destinations.
- As planned, DoITT's CityAccess kiosk contract was registered by the Office of the Comptroller on February 1, 2001 for the development and provisioning of public access kiosks in each of the City's 59 Community Boards. The automated kiosks will offer online access to NYC.GOV, helping to provide e-government services for citizens without personal computer access. In conjunction with the Community Boards, Borough Presidents' Offices and the City Council, the identification and securing of appropriate locations for the deployment of CityAccess kiosks is underway. By the end of Fiscal 2001, 39 sites were identified and kiosk deployments are scheduled to begin in December 2001.

FRANCHISING

- During Fiscal 2001 the Department completed high capacity telecommunications franchise agreements with six companies, all of which have been registered. In early Fiscal 2002 the Department completed negotiations with an additional company and the franchise agreement was approved by the Franchise and Concession Review Committee.
- In April 2001 an RFP for the conversion of unused, below-street water pipes to telecommunications conduits was issued. DoITT received a number of proposals and they are currently under review.
- In Fiscal 2000, 102 public pay telephone franchises were approved by the Franchise and Concession Review Committee to provide public pay telephone (PPT) service to the City. During Fiscal 2001 the PPT industry underwent consolidation through mergers and buyouts, and by DoITT's termination of a number of franchises. The City currently has a competitive PPT services market consisting of 78 PPT franchisees. The approved contracts that remained unregistered in Fiscal 2000 have been either registered, withdrawn, or remain pending due to extended review.
- In Fiscal 2001 responsibility for inspection of public pay telephones was transferred to DoITT from the Department of Consumer Affairs. DoITT now maintains a staff of five inspectors and two investigators. In addition to responding to consumer complaints, the inspectors have begun a citywide survey of all payphones to ensure that the phones are legally permitted by the City, and to identify for removal those payphones that are not properly permitted. The comprehensive survey will be completed during Fiscal 2002.
- In Fiscal 2001 DoITT developed a competitive sealed bid for illegal PPT removal and storage services. This service contract was awarded as planned and work commenced during the last quarter of Fiscal 2001. The contract allows DoITT to respond promptly when PPT removal by the City is required. DoITT expects compliance with contract provisions to increase as a result, since noncompliance may now result in the loss of a company's PPTs.

DEPARTMENT OF INFORMATION TECHNOLOGY AND TELECOMMUNICATIONS

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Department's expenditures were \$155.8 million, compared with its plan of \$149.4 million; headcount was 286, compared with its plan of 308. The Department's Fiscal 2000 expenditures were \$177.6 million, and headcount was 261.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$150.4 million and a planned headcount of 307.

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 of 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: Enforce the City's Human Rights Law to redress and prevent illegal discrimination by prohibiting discrimination and retaliation in employment, housing and public accommodations.

Objective	FY 01 Actual	FY 02 Plan
In the Law Enforcement Bureau, complete 5.75 investigations per investigator per month.	5.79	5.75
In the Office of Mediation and Conflict Resolution, settle 3.5 cases per mediator per month.	1.75	3.5

Goal: Increase community awareness of the Commission's mission through public outreach and improve relations among the City's diverse groups.

Objective	FY 01 Actual	FY 02 Plan
Conduct 350 conferences, workshops and community training sessions.	237	350
Provide technical assistance to 1,100 merchant and community organizations.	875	1,100
Conduct 325 school-based training sessions.	646	325

HIGHLIGHTS AND ACHIEVEMENTS

LAW ENFORCEMENT

- During Fiscal 2001 the City Commission on Human Rights (CCHR) recorded 1,060 complaints, an increase of 6 percent compared to the 1,002 complaints filed during Fiscal 2000. The number of cases filed each year is not within the Commission's control.
- CCHR's Law Enforcement Bureau (LEB) closed 660 cases during Fiscal 2001, a 5 percent decrease from the 694 cases closed during Fiscal 2000. In addition, LEB completed 495 investigations, an 8 percent decrease from the 538 investigations completed during Fiscal 2000. These decreases are attributed to staff shortages. One supervising attorney has been on a leave of absence, a second supervising attorney is employed part-time, and three Human Rights Specialists resigned over the course of one year. One vacancy was filled in August 2001 and the other two vacancies are in the process of being filled. The Commission's total end-of-period caseload for Fiscal 2001 increased 12 percent, to 3,925 cases, compared to the end-of-period caseload of 3,500 cases for Fiscal 2000.

CITY COMMISSION ON HUMAN RIGHTS

- The Bureau referred 115 complaints to mediation during the reporting period, 49 percent less than the 226 complaints during Fiscal 2000. One of two attorneys, whose principal responsibility is to mediate cases, took a leave of absence in October 2000. Prior to the attorney's departure the attorney's case referrals were reduced. In addition, LEB has amended its referral policies. The Bureau no longer refers cases to the Office of Mediation and Conflict Resolution unless and until the parties to the complaint have agreed to participate in the mediation. This change has resulted in fewer referrals, however the changes have increased the likelihood of a positive outcome in those cases that receive mediation.
- In November 2001 the Commission will cosponsor 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 are comprised of nationally recognized experts in these complex and rapidly developing areas of law.

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.

CRIME PREVENTION

- During Fiscal 2001, 623 bias investigations were completed, compared to the 1,444 complaints recorded. During Fiscal 2000, 476 bias investigations were completed, compared to 1,163 complaints recorded. There were more bias complaints referred by the New York City Police Department during Fiscal 2001 than in Fiscal 2000. Also, because of increased outreach, more complaints came directly to several field offices. Because more bias complaints were received, more bias investigations were completed.

MEDIATION AND CONFLICT RESOLUTION

- During Fiscal 2001 mediators in CCHR's Office of Mediation and Conflict Resolution (OMCR) settled 63 cases, or 55 percent of the cases referred to OMCR from the Law Enforcement Bureau. During Fiscal 2000, 85 cases, or 38 percent of referred cases, were settled by OMCR. In addition, 58 mediation conferences were conducted during the reporting period, compared to 69 conferences during Fiscal 2000.

CUSTOMER SERVICE

- The Commission has completed updating its publication entitled, "Tenants' and Owners' Manual" (formerly titled the "The Tenants' Rights Manual"). This 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.

CITY COMMISSION ON HUMAN RIGHTS

- CCHR's Public Information Office is redesigning and revising all brochures. The Law Enforcement Bureau has revised "Tips for Taxi Riders," "Legal Guide for Merchants," "Employment Discrimination," "How to File a Complaint," and "What You Should Know About Mediation." In addition, LEB completed two new brochures entitled, "Reasonable Accommodations in Housing" and "Reasonable Accommodations in Public Places." The new brochures have been delivered to many City and community-based organizations, resulting in numerous requests for additional distribution.
- 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.

COMMUNITY RELATIONS BUREAU

- The Community Relations Bureau's (CRB's) Neighborhood Human Rights Program (NHRP) served 239,874 individuals during the reporting period, compared to 223,293 individuals during Fiscal 2000. The number of individuals served is not within the Commission's control.
- CRB conducted 237 conferences, workshops and training sessions during Fiscal 2001, compared to its plan of 350 sessions, and 288 actual sessions during Fiscal 2000. An increase in requests from schools for School Partnership and other youth-based trainings, which are recorded separately from conferences, workshops and training sessions, required considerable time on the part of the field offices.
 - Of the 237 total activities CCHR presented, 166 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. Sessions on cultural diversity were held for the maintenance staff of a local college in Manhattan, and in Brooklyn for a community-based organization serving low-income and immigrant communities. The Brooklyn West Office 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 several situations in which education with respect to intergroup tensions was required. The North Bronx field office was called upon to help determine whether a series of robberies against people in a Bangladeshi community was bias related. The Brooklyn West office also helped alleviate tensions between Russian merchants and their non-Russian customers.

CITY COMMISSION ON HUMAN RIGHTS

- In addition, 71 of the 237 total activities presented were fair housing workshops held for community groups, tenants' associations, college organizations, and at local libraries in the City. The Brooklyn East field office, with the assistance of CCHR's Research Division, continued to provide home mortgage information to organizations that work with banks to promote stable neighborhoods in Cypress Hills and City Line. The Office encourages lending by local banks so that sub-prime lenders, whose mortgages are more prone to foreclosure, will not become the major lenders in these neighborhoods. In September 2000 a staff member of the Brooklyn East field office made a presentation at a neighborhood conference on predatory lending, and in Queens several first-time home buyer workshops were held in which predatory lending was discussed. In December 2000 the Brooklyn East field office helped organize a tour for the New York State Banking Department and a bank in Cypress Hills to demonstrate ideas on how banks could offer mortgages to a broader spectrum of individuals. The South Bronx field office concentrated on monthly meetings with tenant groups to present information on the Human Rights Law. In addition, several field offices continue to have a regular presence in housing court where they distribute information on housing discrimination and answer constituents' questions.
- The Research Division also worked with the Flushing, Queens office to assist with mapping locations of residents participating in an ongoing campaign to prevent illegal solicitations by real estate brokers. In such an effort, brokers are forbidden to solicit homeowners who register with the New York State Division of Licensing Services to sell their homes.
- NHRP conducted 646 School Partnership training sessions, doubling its goal of 325 for the reporting period. This number increased 58 percent, compared to the 408 training sessions held during Fiscal 2000. In addition to conducting first time training at schools, many of the schools previously involved in the School Partnership program invited CCHR field office staff back to conduct sessions. Some field offices also organized sessions with parents and teachers in addition to working with students. School Partnership outreach and training began earlier this year, and some field offices were able to conduct double sessions in schools.
 - After a series of violent encounters between Albanian and Latino communities at one Bronx high school, CCHR arranged to have a staff member stationed at the school one day per week in order to conduct ongoing antiviolence activities.
 - The Flushing, Queens field office has successfully incorporated a movie about Ruby Bridges, a young African American female who played a part in the school integration movement, into its School Partnership curriculum.
 - The Manhattan field office has expanded its School Partnership programs by meeting at various cultural locations throughout the borough, including the Museum of Jewish Heritage.
 - CRB conducted 875 technical assistance sessions to merchant and community organizations during the reporting period, 4 percent less than the 908 sessions reported during Fiscal 2000. In Queens, offices have worked with several community organizations to help alleviate ethnic tensions arising from activities to prevent illegal conversions of single-family houses to multiple family dwellings as well as assisting in a workshop presented on behalf of the Disability Task Force of the Queens Borough President's Office. In addition to serving organizations, NHRP also assisted a number of individuals, including mortgage foreclosure counseling for 671 people, during the reporting period. CCHR staff received additional mortgage foreclosure training in Spring 2001 from internal sources and from the Department of Housing and Urban Development. The staff also attended a conference on predatory lending, sponsored by the Federal Trade Commission.

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- NHRP continued its investigations of public accommodations and housing to determine where modifications could make housing accessible to persons with disabilities. During Fiscal 2001 NHRP staff facilitated the modifications of 31 public accommodations and 29 residences. During Fiscal 2000, 47 public accommodations and 22 residences were made accessible.
 - One accommodation was made to a large health food store in Downtown Manhattan, after a customer asked for assistance in convincing the store to eliminate the five steps that kept her from being able to enter in her wheelchair. As a result, a 30-foot ramp was constructed to replace the steps.
- During Fiscal 2001 the HIV Prison Project held graduations at one male and one female correctional facility. Graduates of the Project completed the six-month, 18-hour Life Management Skills series entitled, “Character Building for Positive Living.”
 - In Fiscal 2001 the Prison Project had planned to expand “Character Building for Positive Living” to include family relations issues, such as the loss of relationships between incarcerated parents and their children, their significant others and parents of inmates. This segment has been postponed until Fiscal 2002 due to staff shortages.

TECHNOLOGY

- During Fiscal 2001 CCHR staff members began testing access to the shared directory that was created on the Commission’s Wide Area Network. The directory will contain the Commission’s employee manual and a new procedures manual as well as payroll, personnel, and benefits forms. Commission staff will be able to research, keep records and transfer information electronically. In addition, updates of manuals, forms and other documents can be distributed more efficiently. Efforts are underway to integrate all material into the system.
- During the reporting period CRB upgraded its Bias Case Tracking System. The application was tested and is currently installed in all Agency field offices. Additional enhancements for the application are planned for Fiscal 2002.
- LEB’s Case Tracking System is in the process of being modified to incorporate desired changes. The final step in the implementation process will be to train the Information Technology staff in administering the Case Tracking System software and database. The project is expected to be completed by the end of Calendar 2001.
- The Information Technology Department currently is staffed to its maximum capacity. The remaining positions within the Department were filled in February 2001. The new employees perform a wide range of tasks enabling the unit to focus on long-range planning as well as daily needs.
- The Commission’s home pages on NYC.GOV, the City’s official Web site, are updated quarterly. 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 Fiscal 2001 there were 31,092 page views, an increase of 36 percent, compared to 22,830 views during Fiscal 2000.

CITY COMMISSION ON HUMAN RIGHTS

BUDGET HIGHLIGHTS

- During Fiscal 2001 the Department's expenditures were \$7.4 million, compared to its plan of \$7.2 million; headcount was 115, compared to its plan of 120. The Commission's Fiscal 2000 expenditures were \$7.2 million and headcount was 119.
- The 2002 Adopted Budget includes planned expenditures of \$7.26 million and a planned headcount of 115.

LONG-TERM TRENDS IN AGENCY OBJECTIVES

	FY 1997	FY 1998	FY 1999	FY 2000	FY 2001
Law Enforcement Bureau – Investigations Closed per Investigator per Month	5.74	6.29	6.96	6.01	5.79
Office of Mediation and Conflict Resolution – Cases Settled per Mediator per Month	3.46	4.18	3.21	2.93	1.75 (a)
Conferences, Workshops, and Training Sessions Conducted	344	424	437	288	237 (b)
Merchants and Community Organizations Technically Assisted	1,216	1,176	967	908	875 (c)
School Based Training Sessions Conducted	345	340	369	408	646 (d)

- (a) Based on an evaluation of the supervision of OMCR by the General Counsel's Office, it was decided that OMCR would revert to its prior status. Supervision of OMCR was assigned to an experienced mediator at the end of Fiscal 2001. The new OMCR director has initiated programs to enhance managerial oversight and refine productivity standards in Fiscal 2002.
- (b) An increase in requests from schools for School Partnership and other youth-based trainings, which are recorded separately from conferences, workshops and training sessions, required considerable time on the part of the field offices.
- (c) The increased amount of staff time spent on School Partnership and other youth-based trainings reduced the amount of time spent on technical assistance. In addition to conducting first time training at schools, many of the schools previously involved in the School Partnership program invited Commission field office staff back to conduct sessions. Some field offices also organized sessions with parents and teachers in addition to working with students. School Partnership outreach and training began earlier this year, and some field offices were able to conduct double sessions in schools.
- (d) In addition to conducting first time training at schools, many of the schools previously involved in the School Partnership program invited CCHR field office staff back to conduct sessions. Some field offices also organized sessions with parents and teachers in addition to working with students. School Partnership outreach and training began earlier this year, and some field offices were able to conduct double sessions in schools.

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	FY 01 Actual	FY 02 Plan
Analyze at least 3,700 criminal and noncriminal complaints for investigation.	3,825	3,700
Complete 700 investigations and evaluate each closed case for indications of continued agency hazards or vulnerability.	840	700
Complete investigations within an average of 280 days.	305	280
Make the maximum number of criminal referrals permitted by the facts of cases investigated.	951	
Make the maximum number of referrals for civil and administrative action warranted by the facts of cases investigated.	888	

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	FY 01 Actual	FY 02 Plan
Recommend appropriate corrective actions and changes in policy and procedure to limit opportunities for waste and misconduct.	148	
Initiate and complete reviews and analyses of agency operations to assess the potential for corruption and recommend improvements.	9	

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	FY 01 Actual	FY 02 Plan
Complete 70% of background investigations within six months of opening a case.	82%	70%
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.	6 days	10 days
Complete 90% of VENDEX name checks received within 30 days.	90%	90%

DEPARTMENT OF INVESTIGATION

HIGHLIGHTS AND ACHIEVEMENTS

CRIMINAL INVESTIGATIONS AND PROSECUTIONS

- In Fiscal 2001 the Department of Investigation (DOI) received 8,616 complaints, compared with 9,177 complaints during Fiscal 2000.
- The Department's investigators disposed of 8,573 complaints during the reporting period, including 733 complaints pending at the end of Fiscal 2000, compared with 9,058 complaints disposed of during Fiscal 2000.
- During Fiscal 2001, 41 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 37 percent of the complaints reviewed in Fiscal 2000.
- Active cases increased slightly during the reporting period, as compared to Fiscal 2000. The Department's inventory of cases in Fiscal 2001 was 1,665 cases, which included 830 ongoing cases and 835 new investigations. During Fiscal 2000 the case inventory was 1,661 cases, which included 775 ongoing cases and 886 new investigations.
- A total of 840 cases were closed in Fiscal 2001, compared to 804 cases closed in Fiscal 2000.
- Cases closed in Fiscal 2001 took an average of 305 days to complete, two days longer than the average of 303 days required for closure during Fiscal 2000. 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 951 criminal referrals were made, compared to 591 criminal referrals made in Fiscal 2000, an increase of 61 percent. Of the criminal referrals made during Fiscal 2001, 307 resulted in arrests, compared with 252 arrests made during Fiscal 2000.
- In addition to criminal referrals and recommendations for changes in operations, the Department refers subjects for civil and administrative action. The Department made 888 such referrals during Fiscal 2001, compared to 2,141 such referrals during Fiscal 2000. The decrease in the number of criminal referrals during the reporting period is due to the conclusion of several major investigations at the end of Fiscal 2000.
- Approximately 74 percent of the investigations closed in Fiscal 2001 resulted in either a referral for criminal, civil or administrative action, or a recommendation for policy or procedural changes, compared with 64 percent during Fiscal 2000.

DEPARTMENT OF INVESTIGATION

SELECTED INVESTIGATIONS

- In September 2000 Mayor Giuliani created a Task Force chaired by a private citizen and consisting of the heads of the Mayor's Office of Operations, the Department of Buildings (DOB), the Fire Department, the Law Department, the Department of Investigation, and the Department of Information Technology and Telecommunications. In April 2001 the Report of the Mayor's Task Force Examining Operations of DOB was released. The Task Force presented recommendations to reform and professionalize DOB. Key recommendations included streamlining the plan examination and permit process; transferring inspection and enforcement functions from DOB to the Fire Department; reviewing the administration of the licensing examinations for tradespeople; instituting anticorruption measures within DOB; and implementing technological innovations to improve efficiency and customer service delivery.
- In December 2000 the Department delivered to Mayor Giuliani and the Civilian Complaint Review Board (CCRB), a report concerning the circumstances surrounding 82 "missing" substantiated cases, and an additional 130 improperly closed cases, of alleged police misconduct involving charges of excessive or unnecessary force, abuse of authority, discourtesy, or the use of offensive language. The 65-page report entitled, "A Limited Investigative Review of CCRB Case Processing Procedures: Missing and Mishandled Cases," was the result of an inquiry which was undertaken by DOI in December 1998. The inquiry followed earlier media reports describing some 100 CCRB cases, in which purportedly substantiated complaints of misconduct against police officers had allegedly been "lost" or otherwise not forwarded to the New York City Police Department (NYPD) for its consideration of appropriate disciplinary action.
- In December 2000 the Manhattan District Attorney's Office announced the arrests of 16 individuals in connection with the criminal abuse of mortgage loan programs administered by the United States Department of Housing and Urban Development (HUD). The schemes resulted in mortgage defaults on more than \$70 million in loans guaranteed by HUD involving more than 250 properties in New York City and Long Island. The schemes involved real estate investors, nonprofit organizations, bank loan officers, property appraisers, attorneys and others. The defendants engaged in a coordinated effort to subvert HUD's programs to rehabilitate distressed properties in economically disadvantaged neighborhoods and reaped substantial illicit profits. The arrests were the result of an 18-month long joint investigation by the District Attorney's Office, the United States Attorney's Office for the Eastern District of New York, HUD's Inspector General's Office, and the New York City Department of Investigation. The United States Postal Inspector's Office and the Federal Bureau of Investigation also assisted in the investigation.
- In December 2000 the Department announced that, as part of an ongoing investigation, 29 City employees, including nine parks workers, eight school nurses, seven school crossing guards, three highway repair workers, and two City Department of Employment workers, had been charged with illegally collecting nearly \$80,000 in unemployment insurance benefits while also receiving City salaries. The investigation focused on corrupt "seasonal" City workers who regularly return to the City payroll after their off-season, but fraudulently continue to collect unemployment benefits.
- In March 2001 the Department announced that the former president of the Little Italy Chamber of Commerce (LICC), had been sentenced to a 10-month federal prison term for embezzling \$70,000 to \$120,000 in payments from local merchants to the City for charges and fees involving the Mulberry Street Mall in Little Italy. The defendant was sentenced to serve five months in the custody of the Bureau of Prisons, five months' home confinement, and three years' supervised release. She also was directed to make \$84,764 in restitution.

DEPARTMENT OF INVESTIGATION

- In March 2001 the Manhattan District Attorney's Office announced the arrest and guilty plea of the former President of the New York City Off-Track Betting (OTB) Corporation on charges of stealing almost \$5,000 from the Corporation. The defendant pleaded guilty to one count of offering a False Instrument for Filing in the Second Degree. He was sentenced to a conditional discharge and ordered to pay restitution to OTB. The arrest, guilty plea and sentencing stemmed from an investigation by DOI and the OTB Inspector General.
- In March 2001 the Department announced the felony arrest of the Engineer-in-Charge of the City Department of Transportation's \$127 million Manhattan Bridge Reconstruction project, for soliciting a 1 percent payoff from a contractor performing work on the project, and offering, in return, to help the firm increase its project profits by allowing assignment of more workers. The arrest was the result of an ongoing joint investigation by DOI and the Manhattan District Attorney's Office.
- In April 2001 the Office of the State Attorney General, together with the New York State Welfare General Inspector's Office and Department of Investigation, announced that a former Executive Deputy Commissioner-designate of the City's Human Resources Administration (HRA) had been indicted on charges of stealing some \$300,000 in welfare housing funds from HRA, as well as a State agency. The defendant was a consultant hired by the HRA Commissioner in April 1999. Nine months later, in February 2000, the HRA Commissioner had designated the consultant to fill the post of Deputy Commissioner for New Initiatives. Although the defendant served in the role until June 2000, the City never formally appointed her. The indictment charged that the defendant and two co-defendants used a nonprofit group as a front to steal money from a program designed to prevent welfare recipients from being evicted by their landlords for failure to pay rent.
- In May 2001 the Office of the Queens District Attorney, joined by the Department of Investigation, the Department of Sanitation, the Department of Environmental Protection, and the New York City Trade Waste Commission, announced the indictment of three individuals, and the three corporations allegedly controlled by them, on charges of illegally dumping more than 36,700 cubic yards of demolition debris at a College Point, Queens site leased by a local civic group from the City to build athletic fields – a so-called "Field of Dreams" – for the use of neighborhood residents and their children.
- In May 2001 the Department of Investigation announced the arrest on federal mail and wire fraud charges of the Clothing Bank distribution manager at the Mayor's Voluntary Action Center (MVAC), for taking cash payoffs from a Department undercover 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. The Clothing Bank, which is administered by MVAC, was established in 1986 to distribute new apparel to benefit the City's homeless and needy. The Clothing Bank stocks irregular and out-of-season clothing, as well as counterfeit designer garments seized by police and no longer needed as evidence, together with other surplus or overstocked merchandise that is donated by more than 800 local and national manufacturers and retailers. The Clothing Bank's citywide distribution network includes over 400 nonprofit charities, which pay an annual membership fee to make warehouse pickups. A charity pays MVAC a minimum \$300 a year membership fee to be allowed to make four annual pickups of clothing and merchandise totaling \$18,000 in value – \$60 worth of goods for each \$1 in membership fees.

DEPARTMENT OF INVESTIGATION

- In June 2001 the United States Attorney for the Southern District of New York, the Department of Investigation, and the New York Field Office of Internal Revenue Service Criminal Investigation (IRS), announced that a 21-count indictment had been unsealed charging four plumbers with conspiracy, fraud, bribery, money laundering and tax fraud related to a massive scheme to defraud the Department of Environmental Protection (DEP) of more than \$1.5 million in connection with its operation of a water conservation program called the Toilet Rebate Program (TRP). The code name of the investigation was "Operation Super Bowl." According to the indictment, TRP – which was run by DEP between 1994 and 1997 – encouraged owners of buildings in the City to install on their premises low-flush toilets, that is, toilets that use substantially less water per flush. During the course of TRP, DEP paid rebates totaling approximately \$300 million. The defendants were charged with causing DEP to issue to themselves and others checks worth hundreds of thousands of dollars to pay for low-flush toilets that in fact had not been installed, and which the defendants knew had not been installed.

BACKGROUND INVESTIGATIONS

- During Fiscal 2001 the Department completed 82 percent of 1,842 background investigations in six months or less, compared to 71 percent of the 2,027 background investigations closed during Fiscal 2000.
- Background investigations closed during the reporting period took an average of 128 days to complete, a decrease of 11 percent compared to the average of 144 days to complete an investigation in Fiscal 2000.
- During Fiscal 2001 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 six days of receipt of the information from the State Division of Criminal Justice Services (DCJS) compared to four days in Fiscal 2000. In all instances, affected programs received telephone notification within 24 hours, regarding workers with criminal records. During Fiscal 2001 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 enables them to better protect the City's information assets.
 - CISAFE is comprised of three groups: Security Architecture, Formulation and Enforcement. The Security Architecture Group provides security consulting to City agencies, assists agency security groups and performs technical reviews of the agencies' security infrastructures. The Formulation Group is developing citywide information security policies, standards and guidelines, as well as promoting security awareness programs. The Enforcement Group assists the DOI Inspectors General in the investigation of information technology-related fraud and corruption, and performs compliance reviews of security infrastructures.

DEPARTMENT OF INVESTIGATION

- CISAFE is a member of the New York Electronic Crimes Task Force (NYECTF), an inter-agency initiative pooling the resources of federal, State and local government with those of the private sector and academia in the tracking and investigation of information technology offenses. NYECTF has provided agent support to CISAFE for DOI-executed search warrants in seizing computer-related evidence.
 - CISAFE is engaged in many agency information security projects, including reviews of Internet connectivity proposals from 30 City agencies and 18 reviews of Web-based application deployments. CISAFE has additionally executed Network Vulnerability Scans (NVA) on 10 City agency Internet connections.
 - With the assistance of a renowned consulting firm, CISAFE has begun the development of a Citywide Information Security Policy and associated standards.
 - CISAFE's Enforcement group has completed a review of 47 agencies' compliance with the Anti-Virus Standard for computer protection.
 - CISAFE, in support of the City's e-government initiative, executed an in-depth security review of the new NYC.GOV Web site portal prior to implementation.
- 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, which takes four to six weeks to be returned after their receipt. The Livescan system, which has been implemented at NYPD precincts throughout the City, captures and transmits fingerprint images electronically. Implementation of 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 new system is scheduled to be fully operational in Fiscal 2002, pending the purchase of Livescan equipment and establishing the requisite electronic link with DCJS.
 - During Fiscal 2001 the Department received 236 inquiries through its home pages, compared with 85 inquires in Fiscal 2000.
 - Views of the Department's home pages on NYC.GOV, the City's official Web site, increased 79 percent to 278,559 views in Fiscal 2001, compared to 155,550 views in Fiscal 2000.

BUDGET HIGHLIGHTS

- In Fiscal 2001 the Department's expenditures were \$23.4 million, compared with its plan of \$21.9 million; headcount was 342, compared with its plan of 357. The Department's Fiscal 2000 expenditures were \$21 million, and headcount was 341.
- The Fiscal 2002 Adopted Budget includes planned expenditures of \$23.6 million and a planned headcount of 357.