

Consolidated Plan

2016
Annual Performance
and Evaluation Report

Volume 1



Bill de Blasio
Mayor, City of New York

Marisa Lago
Director, Department of City Planning

NYCPLANNING
DEPARTMENT OF CITY PLANNING CITY OF NEW YORK



Effective as of December 1, 2017

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2016 Consolidated Plan Annual Performance and Evaluation Report (CAPER)

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VOLUME 1

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 - HOPWA Project Sponsor Directory

INTRODUCTION

As a condition of receiving U.S. Department of Housing and Urban Development (HUD) Office of Community Planning and Development (CPD) formula entitlement program funds (Community Development Block Grant (CDBG), HOME Investment Partnership (HOME), Housing Opportunities for Persons With AIDS (HOPWA), and Emergency Solutions Grant (ESG) funds, respectively), the City of New York is required to submit a Consolidated Annual Performance and Evaluation Report (CAPER). The Proposed 2016 CAPER reports on New York City's one-year progress (January 1, 2016 to December 31, 2016) in using its annual entitlement grants award to address the priority needs and goals articulated in the City's Consolidated Plan Five-Year Strategic Plan for Consolidated Plan Years 2015-2019. 2016 represents the second year of the five-year strategic plan.

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

In addition, beginning 2016 localities receiving Emergency Solutions Grant (ESG) funds were required to complete and submit the ESG eCART (ESG-CAPER Annual Reporting Tool) Version 5 which supersedes the ESG-specific eCAPER module CR-65, ESG Persons Assisted, and all other previous versions of the ESG eCART. Therefore, the reader is requested to please refer to the appendix 2016 NYC eCART when reviewing ESG-related information in the respective eCAPER modules.

Similarly, as per HUD's guidance on March 4, 2016 [HOPWA Grantee Reporting in IDIS](#), the City's comprehensive HOPWA household output and accomplishment data is reported and available in the HOPWA CAPER (HUD-40110-D). Therefore, in order to facilitate a comprehensive understanding of the City's HOPWA related programmatic expenditures and accomplishments the reader is also requested to refer to appendix HOPWA CAPER NYC 2016 when reviewing HOPWA-related data.

CR-05 - Goals and Outcomes

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

91.520(a)

This module provides information on the City of New York's 2016 performance with its entitlement funds. It defines the entitlement funds expended, and programmatic accomplishments for New York City's 2016 Consolidated Plan year, January 1, 2016 to December 31, 2016. It includes: assessment of progress in fulfilling the vision of the five-year strategy; adjustments in funding; and accomplishments; and nature and reasons for changes to program objectives, if any. (Changes to the CDBG program objectives, if any, are described in module CR-45, CDBG.) The City has reviewed, as it does every year, the progress made with the entitlement funds to address the priorities and objectives stated in the five-year strategy as described in the 2016 Consolidated Plan.

The City's review of its progress in carrying out its Strategic Plan (and Action Plan) is discussed in its Assessment narrative which follows Table 1 - Accomplishments.

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

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

Goal	Category	Source / Amount	Indicator	Unit of Measure	Expected – Strategic Plan	Actual – Strategic Plan	Percent Complete	Expected – Program Year	Actual – Program Year	Percent Complete
Create Affordable Housing - New Construction	Affordable Housing	HOME: \$40,756,547	Rental units constructed	Household Housing Unit	1055	3803	360.47%	326	1544	473.62%
Create New Homeownership Opportunities-Downpymnt	Affordable Housing	HOME: \$0	Homeowner Housing Added	Household Housing Unit	0	0		0		
Create New Homeownership Opportunities-Downpymnt	Affordable Housing	HOME: \$3,000,000	Direct Financial Assistance to Homebuyers	Households Assisted	450	156	34.67%	200	141	70.50%
Emergency Shelter & Essential Services (ESG)	Homeless	ESG: \$5,691,445	Homeless Person Overnight Shelter	Persons Assisted	74000	32690	44.18%	14800	14973	101.17%
Facilitate small business development and growth	Non-Housing Community Development	CDBG: \$493,008	Businesses assisted	Businesses Assisted	29367	12233	41.66%	6105	6180	101.23%
Homeless Outreach (ESG)	Homeless	ESG: \$529,345	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	3000	548	18.27%	600	385	64.17%
Homeless Prevention (ESG)	Homeless	ESG: \$2,129,153	Homelessness Prevention	Persons Assisted	12500	18223	145.78%	2500	11727	469.08%

Improve literacy of low-skilled adults	Non-Housing Community Development	CDBG: \$1,489,152	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	8605	3750	43.58%	1730	1668	96.42%
Improve sanitary conditions throughout the City	Non-Housing Community Development Vacant Lots	CDBG: \$19,011,873	Other	Other (Vacant Lots)	15466	5618	36.32%	2986	2946	98.66%
Increase accessible hsg for people w/disabilities	Non-Homeless Special Needs	CDBG: \$118,020	Rental units rehabilitated	Household Housing Unit	23	2	8.70%	4	1	25.00%
Increase accessible hsg for people w/disabilities	Non-Homeless Special Needs	CDBG: \$0	Homeowner Housing Rehabilitated	Household Housing Unit	23	7	30.43%	5	0	0.00%
Increase capacity of local arts organizations	Non-Housing Community Development	CDBG: \$184,607	Other	Other (Organizations Assisted)	73	13	17.81%	4	12	300.00%
Increase housing stability among low-income PLWHA	Affordable Housing Non-Homeless Special Needs	HOPWA: \$49,539,276	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	0	0		197	476	241.62%
Increase housing stability among low-income PLWHA	Affordable Housing Non-Homeless Special Needs	HOPWA: \$49,539,276	Housing for People with HIV/AIDS added	Household Housing Unit	33624	34988	104.06%	2165	2339	108.04%

Increase housing stability among low-income PLWHA	Affordable Housing Non-Homeless Special Needs	HOPWA: \$49,539,276	HIV/AIDS Housing Operations	Household Housing Unit	0	0		557	610	109.52%
Independent living for the elderly and disabled	Public Housing Non-Homeless Special Needs	CDBG: \$614,796	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	22770	7155	31.42%	2454	2578	105.05%
Maintain habitability for elderly homeowners	Non-Homeless Special Needs	CDBG: \$377,212	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	11175	4407	39.44%	1900	2272	119.58%
Make the City more livable for ppl w/disabilities	Non-Homeless Special Needs	CDBG: \$154,020	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	910000	466868	51.30%	243000	197842	81.42%
Preservation of historic buildings and areas	Non-Housing Community Development	CDBG: \$24,500	Facade treatment/business building rehabilitation	Business	5	1	20.00%	0	1	
Preservation of historic buildings and areas	Non-Housing Community Development	CDBG: \$75,546	Homeowner Housing Rehabilitated	Household Housing Unit	15	5	33.33%	3	0	0.00%
Preserve and improve occupied private housing	Private Housing	CDBG: \$37,780,173	Rental units rehabilitated	Household Housing Unit	83845	81904	97.69%	60251	55317	91.81%
Preserve and improve occupied private housing	Private Housing	CDBG: \$36,859,934	Housing Code Enforcement/Foreclosed Property Care	Household Housing Unit	5645110	1293981	22.92%	885000	599448	67.73%

Prevent Displacement and Reduce Cost Burdens-TBRA	Affordable Housing	HOME: \$5,000,000	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	6945	91	1.31%	350	91	26.00%
Prevent long-term displacement and homelessness	Homeless	CDBG: \$523,785	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	0	683		884	683	77.26%
Prevent long-term displacement and homelessness	Homeless	CDBG: \$15,999,757	Homeless Person Overnight Shelter	Persons Assisted	6370	7476	117.36%	3450	3699	107.22%
Promote access to care among low-income PLWHA	Affordable Housing Non-Homeless Special Needs	HOPWA: \$49,539,276	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	0	0		197	476	241.62%
Promote access to care among low-income PLWHA	Affordable Housing Non-Homeless Special Needs	HOPWA: \$49,539,276	Housing for People with HIV/AIDS added	Household Housing Unit	33624	34988	104.06%	2165	2339	108.04%
Promote access to care among low-income PLWHA	Affordable Housing Non-Homeless Special Needs	HOPWA: \$49,539,276	HIV/AIDS Housing Operations	Household Housing Unit	0	0		557	610	109.52%
Promote justice for victims of crime and abuse	Non-Housing Community Development	CDBG: \$3,122,713	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	599000	236760	39.53%	119000	113456	95.34%

Provide community green space through gardens	Non-Housing Community Development	CDBG: \$685,849	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	123694	201571	162.96%	102800	105405	102.53%
Provide day care services to low/mod households	Non-Housing Community Development	CDBG: \$3,232,363	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	1885	382	20.27%	206	177	85.92%
Provide enrichment activities to low/mod areas	Non-Housing Community Development	CDBG: \$5,467,821	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	84000	45881	54.62%	18152	25253	139.12%
Provide recreational activities for low/mod people	Non-Housing Community Development	CDBG: \$1,582,493	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	86955438	33677599	38.73%	16836093	16832140	99.98%
Provide safe learning environment in City schools	Non-Housing Community Development	CDBG: \$3,696,601	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	779595	255075	32.72%	147295	107780	73.17%
Provide safe, accessible senior centers	Non-Housing Community Development	CDBG: \$2,326,685	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	15007	7009	46.70%	4563	5310	116.37%
Recover and rebuild after Hurricane Sandy	Affordable Housing Public Housing Homeless Non-Housing Community Development	CDBG-DR: \$403,072	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	8200000	16400000	200.00%	0	8200000	

Recover and rebuild after Hurricane Sandy	Affordable Housing Public Housing Homeless Non-Housing Community Development	CDBG-DR: \$23,736,252	Public service activities for Low/Moderate Income Housing Benefit	Households Assisted	27850	8464	30.39%	20428	8464	41.43%
Recover and rebuild after Hurricane Sandy	Affordable Housing Public Housing Homeless Non-Housing Community Development	CDBG-DR: \$53,468	Brownfield acres remediated	Acre	68	0	0.00%	69	0	0.00%
Recover and rebuild after Hurricane Sandy	Affordable Housing Public Housing Homeless Non-Housing Community Development	CDBG-DR: \$422,946,168	Homeowner Housing Rehabilitated	Household Housing Unit	32000	10501	32.82%	12000	6953	57.94%
Recover and rebuild after Hurricane Sandy	Affordable Housing Public Housing Homeless Non-Housing Community Development	CDBG-DR: \$987,323	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	300	79	26.33%	0	34	

Recover and rebuild after Hurricane Sandy	Affordable Housing Public Housing Homeless Non-Housing Community Development	CDBG-DR: \$8,031,129	Jobs created/retained	Jobs	430	285	66.28%	175	240	137.14%
Recover and rebuild after Hurricane Sandy	Affordable Housing Public Housing Homeless Non-Housing Community Development	CDBG-DR: \$7,520,419	Businesses assisted	Businesses Assisted	850	366	43.06%	255	366	143.53%
Recover and rebuild after Hurricane Sandy	Affordable Housing Public Housing Homeless Non-Housing Community Development	CDBG-DR: \$0	Buildings Demolished	Buildings	400	0	0.00%	400	0	0.00%
Reduce discrimination and promote diversity	Non-Housing Community Development	CDBG: \$0	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	435000	52138	11.99%			
Reduce homelessness	Homeless	CDBG: \$4,210,830	Homeless Person Overnight Shelter	Persons Assisted	46120	22400	48.57%	10347	10692	103.33%
Reduce homelessness among low-income PLWHA	Affordable Housing Homeless Non-Homeless Special Needs	HOPWA: \$49,539,276	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	0	0		197	476	241.62%

Reduce homelessness among low-income PLWHA	Affordable Housing Homeless Non-Homeless Special Needs	HOPWA: \$49,539,276	Housing for People with HIV/AIDS added	Household Housing Unit	33624	34988	104.06%	2165	2339	108.04%
Reduce homelessness among low-income PLWHA	Affordable Housing Homeless Non-Homeless Special Needs	HOPWA: \$49,539,276	HIV/AIDS Housing Operations	Household Housing Unit	0	0		557	610	109.52%
Reduce hunger	Non-Housing Community Development	CDBG: \$84,160	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	318931	12636	3.96%	75403	12636	16.76%
Reduce hunger	Non-Housing Community Development	CDBG: \$2,361,200	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	0	482756		278737	290628	104.27%
Reduction of blighted properties	Non-Housing Community Development	CDBG: \$914,636	Buildings Demolished	Buildings	150	0	0.00%	35	0	0.00%
Return foreclosed housing to private ownership	Affordable Housing	CDBG: \$11,801,750	Housing Code Enforcement/ Foreclosed Property Care	Household Housing Unit	3077	2823	91.75%	2592	2746	105.94%
Revitalize commercial districts in low/mod areas	Non-Housing Community Development	CDBG: \$75,886	Businesses assisted	Businesses Assisted	75	27	36.00%	23	15	65.22%

Revitalize commercial districts in low/mod areas	Non-Housing Community Development	CDBG: \$2,139,514	Other (Organizations Assisted)	Other	0	43		22	43	195.45%
Revitalize the Bronx River and the adjacent area	Non-Housing Community Development	CDBG: \$223,566	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	1440000	436845	30.34%	225000	225450	100.20%

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

Assessment of HOME Program Performance

In 2015, the New York City Department of Housing Preservation and Development (HPD) transferred HOME Program funds to the New York City Human Resources Administration (HRA) to develop a Tenant-Based Rental Assistance (TBRA) Program. In 2016, HRA provided rental assistance to 314 eligible families. An additional 765 eligible families have been approved for assistance and are currently searching for suitable housing.

New York City creates new homeownership opportunities for existing renter households by providing down payment assistance to first-time homebuyers. Eligible prospective homebuyers must qualify for a forgivable loan of up to \$25,000.00 to use toward down payment and/or closing costs on a one- to four-family home, condominium or cooperative purchased in one of the five boroughs of New York City. In 2016, down payment assistance was provided to 113 households.

While the need in New York City for affordable housing continues to grow across most income groups, some feel the pressure more than others. In 2016, financing was provided to 4 developments in order to construct or rehabilitate affordable housing units that affect the most vulnerable populations. This financing aided in the addition of 590 affordable housing units to New York City housing stock

CDBG Assessment of Program Performance

In 2016, the City's CD-funded programs generally met or exceeded their goals. However, several programs had actual accomplishments that were at least 25 percent higher or lower than their 2016 projections. Below is an explanation for each activity.

- 7A: The 7A program surpassed its projection of 26 housing units and, instead, achieved 35 housing units. The City reports housing units as complete following final payment to the vendors performing the work. In addition to completing and paying for work in 2016, the Department of Housing Preservation and Development (HPD) made final payments for work that was completed in 2015, which raised the accomplishment figures.
- Alternative Enforcement Program (AEP): AEP did not meet its projection of 425 housing units and, instead, achieved 184 housing units. The disparity between the proposed accomplishment and the actual accomplishment is due to two factors: 1) The City Council allocated \$750,000 in City tax levy for AEP, which HPD used to address 43 buildings containing 362 units. 2) Owners are allowed four months to perform necessary repairs and achieve compliance, allowing them to be discharged from the program. During this time, the CD-funded AEP staff attempts to obtain owner compliance and discharge the property. Accordingly, the primary measure of AEP's success is the number of buildings the City does not have to rehabilitate. If an owner ultimately fails to comply, HPD performs the work using either tax levy or CD funds; however, only the units that are subsequently rehabilitated with CD funds are counted toward CD accomplishments.
- Avenue NYC: The program did not meet its projection of 23 businesses provided with Facade Improvement technical assistance and instead only served 15. The Department of Small Business Services (SBS) included the number of projects expected to be underway in its

projections; however, the City only counts projects that are complete and paid in full in its actual accomplishments. This issue will be corrected going forward. The program also surpassed its projection of 22 organizations receiving Capacity Building services and instead served 43 organizations. SBS originally projected organizations receiving individual capacity building awards and did not include organizations that were participating in seminar-style sessions with other organizations.

- Code Violation Removal in Schools: The program did not meet its projection of 147,295 students served and, instead served 107,780 students. This program responds to health and safety conditions as they arise. The Department of Education (DOE) does not know far in advance which sites will receive CD-funded work or the level/cost of the rehabilitation required, which makes it difficult to project an accomplishment figure. The City uses the prior year's actual accomplishment as the next year's projections, but this is not necessarily indicative of the next year's performance.
- Community Arts Development Program (CADP): CADP contracts with consulting firms to complete capacity building projects with small arts organizations. CADP surpassed its projection of 4 organizations and, instead, assisted 12 organizations. Accomplishments are reported following final payment to the vendors providing the services. Final payments for work that was expected to be completed in 2015 were made in 2016, which raised the accomplishment figures.
- Demolition Program: The program did not complete any of its 35 projected CD-funded demolitions. During 2016, the City continued to revise the Programmatic Agreement amongst the several City, State, and Federal agencies involved in the demolition historic review process. The process of negotiating the revision of the Programmatic Agreement restricted the use of CD funds for the demolition of properties under HPD's Demolition program until October 2016. Although there were seven demolitions proposed for CD funding in 2016, these properties will not be paid for until 2017. Only demolitions that have been fully paid for with CD funds will count toward CD accomplishments. Therefore, these demolitions will be counted towards 2017 accomplishments.
- DOE School Kitchen Renovations Program (Public Facilities component): The actual accomplishment figure of 12,636 students served was significantly lower than the proposed (75,403) due to delays in the contractors' submission of invoices. While contractors have performed a significant amount of additional work, the Department of Education did not receive invoices for numerous jobs as of 12/31/16. Accomplishments for the completed jobs will be reflected when they have been paid.
- The Land Restoration Program (LRP): Due to the decline in CD-eligible vacant lots within the City, LRP's Interim Assistance component ceased operations in 2016 and did not treat any of its 45 projected vacant lots. This program is reported as complete this calendar year. The remaining Public Service and Public Facilities components of the program will be merged under the GreenThumb program moving forward.
- Landmarks Historic Preservation Grant Program: The program did not complete historic preservation projects at any of its projected three housing units in 2016. One project required the fabrication of custom historic windows, one project was delayed while the client and contractor renegotiated the work scope, and one project was delayed due to unforeseen structural deterioration that needed to be corrected before the project could proceed. All three delays have been resolved and the projects are anticipated to be completed in early 2017.
- Project Open House: The program did not meet its accomplishment of nine units (four rental units and five homeowner units) rehabilitated and only completed one rental unit. The program

had several projects that were very close to completion but had not yet been paid in full. Additionally, two projects were delayed due to contractor performance issues and one was cancelled.

- Targeted Code Enforcement: The accomplishment figure of 364,224 housing units was lower than the projected (650,000 housing units) because the units served by lead inspectors were not included. Instead of reporting only the units receiving lead inspections, HPD reported all of the units in each building, which would have greatly inflated the accomplishment figure. This issue will be corrected going forward.

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

CDBG Assessment of Addressing Specific Objectives

Program regulations state that every CD-funded activity must benefit either low- and moderate-income (low/mod) persons, prevent or eliminate slums or blight, or meet an urgent need. Further, at least 70 percent of CD program funds must benefit low/mod persons. New York City maintains discretion in using its funds for housing renovation, maintenance, and services; economic development; improvements and renovations to public facilities; and public services. The goals identified above and the programs that support them have been prioritized both for their ability to address the needs identified in the 2015-2019 Five-Year Strategic Plan and for their benefit to low/mod persons and communities. For Calendar Year 2016, 83.4 percent of CD funds were used to benefit to low/mod persons.

The CD program is also limited in the programs that it can fund by the spending caps listed below. The City is close to both caps and cannot fund additional programs that would fall into these categories.

- A 15 percent cap on Public Services, which is calculated by dividing the sum of the Public Service expenditures and unliquidated obligations by the sum of the current year's grant and prior year's program income. In 2016, the City's Public Service percentage was 13.4 percent.
- A 20 percent cap on Planning and Administration activities, which is calculated by dividing the sum of the Planning and Administration expenditures and unliquidated obligations by the sum of the current year's grant and current year's program income.

In 2016, the City's Planning and Administration percentage was 15.4 percent. In 2016, the City had a total of \$242,178,267 available from the Federal Fiscal Year 2016 Entitlement, program income, revenue credits, and accruals. Total expenditures were \$179,728,773, a 74 percent expenditure rate. The City believes this is an acceptable expenditure rate, which was achieved by the City primarily funding ongoing programs. Unlike new programs, in which expenditures are delayed because of start-up concerns (e.g., staffing, site selection, contract registration, etc.), ongoing programs do not generally experience this lag each year. One new program, the Schoolyards to Playgrounds program, is still undergoing an environmental review, but activity is expected to begin in 2017.

PR 26 - CDBG Financial Summary Report



Office of Community Planning and Development
 U.S. Department of Housing and Urban Development
 Integrated Disbursement and Information System
 PR26 - CDBG Financial Summary Report
 Program Year 2016
 NEW YORK CITY , NY

DATE: 02-27-17
 TIME: 13:13
 PAGE: 1

PART I: SUMMARY OF CDBG RESOURCES

01 UNEXPENDED CDBG FUNDS AT END OF PREVIOUS PROGRAM YEAR	173,941,809.00
02 ENTITLEMENT GRANT	151,460,389.00
03 SURPLUS URBAN RENEWAL	0.00
04 SECTION 108 GUARANTEED LOAN FUNDS	0.00
05 CURRENT YEAR PROGRAM INCOME	51,503,847.00
05a CURRENT YEAR SECTION 108 PROGRAM INCOME (FOR SI TYPE)	0.00
06 FUNDS RETURNED TO THE LINE-OF-CREDIT	0.00
06a FUNDS RETURNED TO THE LOCAL CDBG ACCOUNT	0.00
07 ADJUSTMENT TO COMPUTE TOTAL AVAILABLE	40,094.00
08 TOTAL AVAILABLE (SUM, LINES 01-07)	376,946,139.00

PART II: SUMMARY OF CDBG EXPENDITURES

09 DISBURSEMENTS OTHER THAN SECTION 108 REPAYMENTS AND PLANNING/ADMINISTRATION	156,062,422.00
10 ADJUSTMENT TO COMPUTE TOTAL AMOUNT SUBJECT TO LOW/MOD BENEFIT	(259,163.00)
11 AMOUNT SUBJECT TO LOW/MOD BENEFIT (LINE 09 + LINE 10)	155,803,259.00
12 DISBURSED IN IDIS FOR PLANNING/ADMINISTRATION	23,666,351.00
13 DISBURSED IN IDIS FOR SECTION 108 REPAYMENTS	0.00
14 ADJUSTMENT TO COMPUTE TOTAL EXPENDITURES	259,163.00
15 TOTAL EXPENDITURES (SUM, LINES 11-14)	179,728,773.00
16 UNEXPENDED BALANCE (LINE 08 - LINE 15)	197,217,366.00

PART III: LOWMOD BENEFIT THIS REPORTING PERIOD

17 EXPENDED FOR LOW/MOD HOUSING IN SPECIAL AREAS	0.00
18 EXPENDED FOR LOW/MOD MULTI-UNIT HOUSING	62,296,266.00
19 DISBURSED FOR OTHER LOW/MOD ACTIVITIES	136,625,495.00
20 ADJUSTMENT TO COMPUTE TOTAL LOW/MOD CREDIT	(69,051,951.00)
21 TOTAL LOW/MOD CREDIT (SUM, LINES 17-20)	129,869,810.00
22 PERCENT LOW/MOD CREDIT (LINE 21/LINE 11)	83.36%

LOW/MOD BENEFIT FOR MULTI-YEAR CERTIFICATIONS

23 PROGRAM YEARS(PY) COVERED IN CERTIFICATION	PY: 2014 PY: 2015 PY: 2016
24 CUMULATIVE NET EXPENDITURES SUBJECT TO LOW/MOD BENEFIT CALCULATION	482,071,773.00
25 CUMULATIVE EXPENDITURES BENEFITING LOW/MOD PERSONS	417,216,920.00
26 PERCENT BENEFIT TO LOW/MOD PERSONS (LINE 25/LINE 24)	86.55%

PART IV: PUBLIC SERVICE (PS) CAP CALCULATIONS

27 DISBURSED IN IDIS FOR PUBLIC SERVICES	23,891,181.00
28 PS UNLIQUIDATED OBLIGATIONS AT END OF CURRENT PROGRAM YEAR	3,209,056.00
29 PS UNLIQUIDATED OBLIGATIONS AT END OF PREVIOUS PROGRAM YEAR	5,217,845.00
30 ADJUSTMENT TO COMPUTE TOTAL PS OBLIGATIONS	490,859.00
31 TOTAL PS OBLIGATIONS (LINE 27 + LINE 28 - LINE 29 + LINE 30)	22,373,251.00
32 ENTITLEMENT GRANT	151,460,389.00
33 PRIOR YEAR PROGRAM INCOME	55,420,881.00
34 ADJUSTMENT TO COMPUTE TOTAL SUBJECT TO PS CAP	(39,358,748.00)
35 TOTAL SUBJECT TO PS CAP (SUM, LINES 32-34)	167,522,522.00
36 PERCENT FUNDS OBLIGATED FOR PS ACTIVITIES (LINE 31/LINE 35)	13.36%

PART V: PLANNING AND ADMINISTRATION (PA) CAP

37 DISBURSED IN IDIS FOR PLANNING/ADMINISTRATION	23,666,351.00
38 PA UNLIQUIDATED OBLIGATIONS AT END OF CURRENT PROGRAM YEAR	1,952,532.00
39 PA UNLIQUIDATED OBLIGATIONS AT END OF PREVIOUS PROGRAM YEAR	668,750.00
40 ADJUSTMENT TO COMPUTE TOTAL PA OBLIGATIONS	259,163.00
41 TOTAL PA OBLIGATIONS (LINE 37 + LINE 38 - LINE 39 +LINE 40)	25,209,296.00
42 ENTITLEMENT GRANT	151,460,389.00
43 CURRENT YEAR PROGRAM INCOME	51,503,847.00
44 ADJUSTMENT TO COMPUTE TOTAL SUBJECT TO PA CAP	(38,988,744.00)
45 TOTAL SUBJECT TO PA CAP (SUM, LINES 42-44)	163,975,492.00
46 PERCENT FUNDS OBLIGATED FOR PA ACTIVITIES (LINE 41/LINE 45)	15.37%

PR26 – CDBG Financial Summary Report Adjustments

APR 42 - Calendar Year 2016

Community Development Block Grant

Explanation of Adjustments to IDIS PR 26 Report - CDBG Financial Summary Report

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

Line 07 - Adjustment To Compute Total Available:

Adjustment of \$40,094 is the program income amount from the Neighborhood Housing Services revolving loan fund for Calendar Year 2016.

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

Line 09 amount of \$156,062,422 is incorrect. The correct amount is \$155,803,259 on Line 10 of the Status of Funds which is the Total Expenditures Reported less the Planning & Administration expenditures.

Line 09 PR 26	(156,062,422.00)
Line 10 Status of Funds	155,803,259.00
Line 10 Adjustment	(259,163.00)

Line 14 - Adjustment To Compute Total Expenditures:

Line 12 amount of \$ 23,666,351 is incorrect. The correct amount expended for Planning & Administration is \$23,925,514 on Line 9 of the Status of Funds.

Line 12 PR 26	(23,666,351.00)
Line 9 Status of Funds	23,925,514.00
Line 14 Adjustment	259,163.00

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

Line 19 amount of \$136,625,495 is incorrect. The correct amount disbursed for other Low/Mod Activities is \$67,573,544 on Line 15 of the Status of Funds.

Line 19 PR 26	(136,625,495.00)
Line 15 Status of Funds	67,573,544.00
Line 20 Adjustment	(69,051,951.00)

Line 30 - Adjustment To Compute Total PS Obligations:

Line 27 amount of \$23,891,181 is incorrect. The correct amount disbursed for Public Services is \$24,382,040 on Line 21 of the Status of Funds.

Line 27 PR 26	(23,891,181.00)
Line 21 Status of Funds	24,382,040.00
Line 30 Adjustment	490,859.00

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

Adjustment of (\$39,358,748.00) reduces the prior year's income by the value of the prior year's revenue credits, leaving just the prior year's true program income for the Public Service CAP calculation.

Line 40 - Adjustment To Compute Total PA Obligations:

Line 37 amount of \$23,666,351 is incorrect. The correct amount expended for planning and administration is \$23,925,514 on Line 31 of the Status of Funds.

Line 37 PR 26	(23,666,351.00)
Line 31 Status of Funds	23,925,514.00
Line 40 Adjustment	259,163.00

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

Adjustment of (\$38,988,744.00) reduces the current year's income by the value of the current year's revenue credits, leaving just the current year's true program income for the Planning and Administration CAP calculation. The adjustment also increases the current year's program income by the value of the program income from the Neighborhood Housing Services revolving loan fund.

2016 Revenue Credits	(39,028,838.00)
2016 NHS Program Income	40,094.00
Line 44 Adjustment	(38,988,744.00)

HOPWA Assessment of Program Performance

Assessment of HOPWA Program Performance For 2016, the HOPWA program's actual five year Strategic Plan accomplishment data represents all households served in 2015 as well as the new incremental households served in 2016, for a grand total of 34,988 households served.

ESG - Assessment of Program Performance

ESG Assessment of Program Performance New York City has made substantial progress in addressing the priority areas laid out in its 2016 ESG Action Plan, which included veteran homelessness, outreach to unsheltered homeless, homelessness prevention, and emergency shelter and essential services.

Highlights of the City's overall progress include:

- In City Fiscal Year 2016, 14,543 low-income New York City households received anti-eviction and anti-harassment legal services. In 2016, the HomeBase program enrolled 26,000 households. HomeBase is an extensive network of neighborhood-based services located in high-need areas to help residents remain in their communities and avoid entering shelter.
- In City Fiscal Year 2016, the City provided emergency rent arrears grants to nearly 57,000 households, an eight percent increase from the prior year.
- In City Fiscal Year 2016, 23,500 individuals in over 8,000 households were assisted through the New York City rental assistance and permanent housing programs to exit shelter or prevent entry into shelter.
- The City has begun work on the creation of 15,000 units of supportive housing over the next 15 years for New Yorkers in need, including homeless veterans, survivors of domestic violence, and street homeless individuals. In 2016, New York City released a request for proposals to secure the first 500 scatter site units to support this effort and projects the first move-ins beginning by mid-2017.
- In 2016, the City and its partners successfully placed over 1,200 veterans from shelter into stable, permanent housing, reducing the number of homeless veterans in the City's and the Veterans Administration's systems from 4,677 in 2011 to 449 on January 1, 2017. The following is a status update on the progress made by the Department of Social Services (DSS), Department of Homeless Services (DHS), and Human Resources Administration (HRA) and its second year accomplishments for the goals listed in the 2015-2019 Consolidated Plan Five-Year Strategic Plan and Continuum of Care. The accomplishments reflect January 1- December 31, 2016 DHS and HRA ESG activities.

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

- In 2016, New York City assisted 14,973 individuals through Emergency Shelter & Essential Services programs, which achieved 101% of the goal of 14,800 individuals. This reflects the total number of clients who were housed by the ESG-funded programs over the course of the year.
- New York City set a goal of 600 persons placed into temporary, permanent, or other housing by the three ESG-funded outreach programs. In internal DHS reporting, this goal was surpassed with 796 outreach clients placed into temporary, permanent or other housing during CY2016; the majority of these clients continue to receive services including aftercare from the Outreach programs. However, currently the HMIS-based reporting in the E-CART is not able to capture this placement activity, as it instead is only able to capture the clients exiting the program. In CY2016, the E-Cart reports that 385 clients exited the three programs, reaching only 64% of the

goal. In New York City, the Home-Stat service model continues to engage and serve the clients after placement, so not all placements will have a service end date in 2016, as many continue to receive ongoing aftercare services with the outreach provider. In future action plans and accomplishment reporting, New York City plans to adjust to better align the goals to HMIS and E-Cart reportable activities.

- New York City dramatically exceeded its ESG goals for prevention services. In 2016, the City set a target of serving 2,500 individuals in households without minor children, but actually served 11,727 individuals in households without minor children. In addition to ESG funding, the City increased City tax levy funding in City FY16 and FY17 to provide prevention services to additional households without children, contributing to the 469% of goal achieved.

CR-10 - Racial and Ethnic composition of families assisted

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

91.520(a)

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

	CDBG	HOME	HOPWA	ESG
White	194,974	3,027	0	144
Black or African American	180,659	3,452	0	546
Asian	50,594	286	0	0
American Indian or American Native	9,294	34	0	1
Native Hawaiian or Other Pacific Islander	1,651	93	0	11
Total	437,172	6,892	0	702
Hispanic	185,238	2,651	0	294
Not Hispanic	436,399	4,241	0	459

Narrative

For details on the racial and ethnic composition of families assisted with HOPWA funding in 2016, please refer to the attached HOPWA table or the *HOPWA 2016 Consolidated Annual Performance and Evaluation Report* (HOPWA CAPER).

Please note that the chart above does not contain all of the racial categories that are available to CDBG Entitlement grantees in the IDIS reporting screens. CDBG funds were used to serve a total of 621,637 people across racial and ethnic groups. Please see the CDBG Total Race and Ethnicity Table below. These are the best data currently available; however, the City is actively working to improve its data collection methods to ensure the most accurate and complete data.

A total of 806 individuals in families with children were served by ESG funded shelter programs in Calendar Year 2016. Of the 806 individuals, race information is available for 702 individuals and ethnicity information is available for 753 individuals. The majority of individuals served, seventy eight (78%), were Black or African American, and twenty one percent (21%) of the individuals were White. Additionally, sixty one percent (61%) of participants identified as Not Hispanic, while thirty nine percent (39%) identify as Hispanic. The other ESG funded programs serve adults without children.

HOPWA Racial-Ethnicity Composition of Households Assisted in 2016

Category		HOPWA Eligible Individuals	
		[A] Race All eligible individuals	[B] Ethnicity [Also identified as Hispanic or Latino]
1	American Indian/Alaskan Native	13	1
2	Asian	13	0
3	Black/African American	2,054	59
4	Native Hawaiian/Other Pacific Islander	3	0
5	White	552	232
6	American Indian/Alaskan Native & White	1	0
7	Asian & White	1	0
8	Black/African American & White	47	1
9	American Indian/Alaskan Native & Black/African American	3	0
10	Other Multi-Racial	1,060	955
11	Column Totals (Sum of Rows 1-10)	3,747	1,248

CDBG Racial-Ethnicity Composition of Households Assisted in 2016

<i>CDBG Race and Ethnicity</i>	Total	Hispanic
White:	194,974	22,131
Black/African American:	180,659	3,055
Asian:	50,594	48
American Indian/Alaskan Native:	9,294	1,311
Native Hawaiian/Other Pacific Islander:	1,651	239
American Indian/Alaskan Native & White:	17	1
Asian & White:	2	0
Black/African American & White:	29	5
American Indian/Alaskan Native & Black/African American:	53	0
Other multi-racial:	184,364	158,448
Total:	621,637	185,238

CR-15 - Resources and Investments 91.520(a)

Identify the resources made available

Table 3 – Resources Made Available

Source of Funds	Source	Resources Made Available	Amount Expended During Program Year
CDBG		242,178,267	179,728,773
HOME		162,521,823	0
HOPWA		118,635,412	49,539,276
ESG		40,877,721	9,104,668
Other	CDBG-DR	4,213,876,000	487,866,374
Other	Neighborhood Housing Services Revolving Loan	148,031	0

Narrative

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

Leveraging

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

HOPWA Leveraged Funds - 2016

In 2016, HOPWA dollars were combined with other federal resources, as well as State and City funding, to support HIV/AIDS housing and other supportive services. HASA used City Tax Levy and matching State and federal dollars to fund case management; rental assistance; permanent and transitional congregate housing; and permanent scattered-site housing for low-income individuals and families living with HIV/AIDS. Eligible clients also received medical assistance, homecare, and homemaking services funded with City, State and federal dollars. HOPWA funds distributed to community-based organizations by DOHMH augmented City and State-funded services to persons with mental illness and HIV/AIDS. In the Lower Hudson Valley and New Jersey, State, City and County funds complemented HOPWA-funded rental assistance and other supportive services. Individual-donor and private foundation dollars provided additional support to community-based organizations funded through HASA and DOHMH. In summary, the total funding leveraged across all HOPWA programs in 2016 totaled \$483,474,240.

HOME Program Matching Funds

HPD Capital matching Federal Funds

HPD's total capital budget for calendar year 2016 from all funding sources (including HUD) was approximately \$483,153,571. Of that amount \$481,001,571 came from the City. Of the City funds, \$132,912,000 was scheduled for programs that used City funds in conjunction with Federal funds (CDBG, HOME, Section 8, etc.). The remaining \$348,089,000 of City funds was used in programs that did not receive Federal funds.

The City used a portion of this \$132,912,000 figure to meet its 12.5% requirement to match HOME funds, in addition to using the appraised value of tax exemptions.

HPD Expense matching Federal Funds

HPD's total expense budget for calendar year 2016 from all funding sources (including HUD) was approximately \$764,748,218. Of that amount approximately \$87,244,610 came from the City (tax levy, Inter-Fund Agreement (IFA), and Intra-City). Of the City funds, approximately \$46,289,114 was scheduled for programs that used City funds in conjunction with Federal funds (CDBG, HOME, Section 8, etc.). The remaining approximately \$40,955,496 of City funds was used in programs that did not receive Federal funds.

HPD Capital without Federal Funds

In Calendar Year 2016, HPD committed approximately \$348,089,000 in programs that received no Federal funds.

HPD Expense without Federal Funds

In Calendar Year 2016 HPD budgeted approximately \$40,955,496 in programs that received no Federal funds.

ESG Leveraged/Matching Funds

In 2016, New York City expended \$9,104,668 of ESG funding within 5 areas. The City expended \$5,691,445 of ESG funding for emergency shelter and essential services to create or staff new programs and to provide enhancements for existing programs. The City expended \$529,345 of ESG funding through contracts with three not for profit organizations to provide street outreach services. The City expended \$2,129,153 to support seven contracted local not for profit service providers operating eleven Homeless Prevention programs known as HomeBase programs. Additionally, New York City expended \$644,530 in ESG funds to support and enhance the HMIS system, and expended \$110,195 in ESG funds on administrative support.

The City of New York provides a dollar for dollar match to the ESG award through City Tax Levy funds. In 2016, approximately \$9.1 million in City Tax Levy funds were used to match ESG funds received from HUD. In addition to the required matching funds, the City of New York provides additional City Tax Levy expense and capital funds that are used for family and adult shelters; prevention services including legal services, emergency rent arrears and community based programs; rental assistance and permanent supportive housing; and program administration.

The City also receives funding from the Federal Temporary Assistance for Needy Families (TANF) block grant and Homeless Assistance Funds through the State of New York, as well as New York State general fund dollars which are used for programs and services for families and for adults without children.

a. DHS Expense with Federal Funds

DHS expended approximately \$1.404 billion in City Fiscal Year 2016 on homeless services related to the Coalition of the Continuum of Care. Excluding CDBG and ESG funds used by DHS to provide homeless services, the total of the remaining dollars is approximately \$1.388 billion. The 1.3888 includes approximately \$9.1 million in City Tax Levy funds used to match ESG funds received from HUD. Of the \$1.388 billion, approximately \$818,921,587 was used in conjunction with U.S Department of Health and Human Services (HHS) Temporary Assistance for Needy Families (TANF) block grant. Of the \$818,921,587, approximately 61% (49% City tax levy and 12% State of New York general funds) is made up of non-federal dollars.

b. DHS Capital without Federal Funds

In City Fiscal 2016 DHS had active Capital Budget commitments of \$12,292,000 for shelter improvements and other related projects.

c. DHS Expense without Federal Funds

In addition to the approximately \$9.1 million in City tax levy funds used for the ESG match, and the \$818,921,587 used in conjunction with the TANF block grant, the City used approximately \$559,816,000 in CFY 2016 for the provision of homeless services without Federal block grant funds, such as CD, ESG or the TANF block grant. This represents, in addition to the ESG match, the City's contribution to the Continuum of Care not involving Federal funds. City tax levy funds leverage federal and New York State funds including through the City's contributions to the TANF maintenance of effort; the New York State share of the maintenance-of-effort; and New York State reimbursement for general assistance, adult shelter expenditures and permanent supportive SRO operating subsidies.

Table 4 – Fiscal Year Summary - HOME Match Report

Fiscal Year Summary – HOME Match	
1. Excess match from prior Federal fiscal year	812,568,124
2. Match contributed during current Federal fiscal year	62,260,940
3. Total match available for current Federal fiscal year (Line 1 plus Line 2)	874,829,064
4. Match liability for current Federal fiscal year	6,941,776
5. Excess match carried over to next Federal fiscal year (Line 3 minus Line 4)	867,887,288

Table 5 – Match Contribution for the Federal Fiscal Year

Match Contribution for the Federal Fiscal Year								
Project No. or Other ID	Date of Contribution	Cash (non-Federal sources)	Foregone Taxes, Fees, Charges	Appraised Land/Real Property	Required Infrastructure	Site Preparation, Construction Materials, Donated labor	Bond Financing	Total Match
2782	03/30/2016	0	68,013	0	0	0	0	68,013
3767	06/04/2015	0	818,085	519,443	0	0	40,948	1,378,476
4397	08/04/2015	0	7,665,249	2,602,332	0	0	491,607	10,759,188
4400	04/25/2016	0	982,295	480,000	0	0	256,711	1,719,006
4401	03/01/2016	0	33,915,891	0	0	0	897,069	34,812,960
5003	06/04/2015	0	1,133,296	0	0	0	203,322	1,336,618
5009	06/04/2015	0	971,974	0	0	0	0	971,974
5012	09/11/2015	0	442,780	0	0	0	259,093	701,873
5015	03/07/2016	0	1,971,628	6,194,000	0	0	69,751	8,235,379
5017	09/08/2016	0	795,698	0	0	0	323,537	1,119,235
5021	09/11/2015	0	445,676	0	0	0	61,878	507,554
5044	08/20/2016	0	151,582	0	0	0	0	151,582
5351	09/28/2016	0	499,082	0	0	0	0	499,082

HOME MBE/WBE report

Table 6 – Program Income

Program Income – Enter the program amounts for the reporting period				
Balance on hand at begin-ning of reporting period \$	Amount received during reporting period \$	Total amount expended during reporting period \$	Amount expended for TBRA \$	Balance on hand at end of reporting period \$
0	1,477,548	741,189	0	736,360

Table 7 – Minority Business and Women Business Enterprises

Minority Business Enterprises and Women Business Enterprises – Indicate the number and dollar value of contracts for HOME projects completed during the reporting period						
	Total	Minority Business Enterprises				White Non-Hispanic
		Alaskan Native or American Indian	Asian or Pacific Islander	Black Non-Hispanic	Hispanic	
Contracts						
Dollar Amount	539,596,034	0	0	0	0	539,596,034
Number	16	0	0	0	0	16
Sub-Contracts						
Number	244	0	11	3	36	194
Dollar Amount	282,855,430	0	12,699,518	5,886,000	27,542,550	236,727,362
	Total	Women Business Enterprises	Male			
Contracts						
Dollar Amount	539,596,034	0	539,596,034			
Number	16	0	16			
Sub-Contracts						
Number	244	19	225			
Dollar Amount	282,855,430	11,401,034	271,454,396			

Table 8 – Minority Owners of Rental Property

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

Table 9 – Relocation and Real Property Acquisition

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

CR-20 - Affordable Housing 91.520(b)

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

Table 10 – Number of Households

	One-Year Goal	Actual
Number of Homeless households to be provided affordable housing units	350	91
Number of Non-Homeless households to be provided affordable housing units	200	141
Number of Special-Needs households to be provided affordable housing units	326	1,544
Total	876	1,776

Table 11 – Number of Households Supported

	One-Year Goal	Actual
Number of households supported through Rental Assistance	350	91
Number of households supported through The Production of New Units	326	1,544
Number of households supported through Rehab of Existing Units	0	0
Number of households supported through Acquisition of Existing Units	200	141
Total	876	1,776

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

In developing the 2016 Consolidated Plan the City anticipated using a substantial portion of the HOME grant for Tenant Based Rental Assistance (TBRA) to address the homelessness crisis the City is experiencing. At the time of submission we estimated that 350 households could be assisted with TBRA however lease-ups took longer than expected. As such, allocated funds intended for TBRA were used on other affordable housing developments including projects serving people who are homeless and who have special needs. Additionally, it is important to note that HUD's reporting system asks localities to separately report homeless and special needs households. However, the City uses HOME funds for supportive housing that is designed for people who are both homeless and who concurrently have special needs.

Additionally, HOME has a 2 year commitment requirement. Activities funded throughout calendar year 2016 were all recorded against the 2015 grant allocation.

Discuss how these outcomes will impact future annual action plans.

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

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

Table 12 – Number of Persons Served

Number of Persons Served	CDBG Actual	HOME Actual
Extremely Low-income	0	1,208
Low-income	0	568
Moderate-income	0	0
Total	0	1,776

Narrative Information

The City's HOME grant provided TBRA assistance to 91 households which 97% went to extremely low-income households while the remaining 3% went to low-income households. HOME also provided first time homebuyer assistance to 141 households which were all low-income. Of the 1544 HOME rental units, 74% went to extremely low-income households and the remaining 26% went to low-income households, representing 35 developments serving special needs throughout New York City.

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

CR-25 - Homeless and Other Special Needs 91.220(d, e); 91.320(d, e); 91.520(c)

Evaluate the jurisdiction's progress in meeting its specific objectives for reducing and ending homelessness through:

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

ESG funds support outreach activities to street homeless persons to engage and connect them to services and help them move into transitional and permanent housing. In 2016, these funds supported three outreach teams that provide coordinated services and make placements in drop-in centers, safe havens, stabilization beds, shelters and permanent housing settings. Many of these placements also provide homeless individuals with meals, counseling, medical/psychiatric services, showers, laundry facilities, recreation space, referrals for employment, assistance in applying for benefits and other social services. Based on HMIS-driven eCART reporting, 1672 persons received services from the three ESG-funded outreach programs.

DHS deploys outreach teams 24 hours a day, seven days a week across New York City. DHS and DOHMH jointly fund four (4) street outreach programs, three of these are partially funded by ESG dollars. Additionally, the Metropolitan Transit Authority (MTA) co-funds the transit program with DHS. The scope of this outreach includes homeless services in all five boroughs of NYC and 469 stations of the NYC subway system.

HOME-STAT was launched in New York City in March 2016, and is the most comprehensive street homeless outreach initiative in any major city in the United States. The launch of HOME-STAT doubled from 191 to 387 the number of street homeless outreach staff working to regularly meet each homeless individual, gain trust and convince individuals to accept services, and then connect people to the resources they need to be placed into housing. HOME-STAT's comprehensive street homelessness outreach effort includes daily canvassing of streets in Manhattan in order to identify every individual living on the street, as well as an online dashboard system that maps requests for homeless outreach assistance from the public. Outreach services have also been expanded into indoor spaces such as libraries and hospitals.

Addressing the emergency shelter and transitional housing needs of homeless persons

Governed by a unique right-to-shelter mandate, New York City provides temporary emergency shelter to families with children, adult couples without minor children, and single adults without available housing alternatives. New York City DHS currently operates 273 shelter programs that span 647 buildings across all five boroughs, including more than 350 cluster buildings and hotels.

ESG funding provided critical support to these shelters in the following ways:

- Sixteen (16) Single Adult shelter programs, one (1) Family with children emergency shelter programs, and one (1) Adult Family Shelter program received ESG funding in 2016. DHS placed 2,294 individuals from these ESG funded shelters into permanent housing during the year.

- DHS operates several shelters specifically for clients who have substance use issues. ESG funding supported substance-use counselors as well as substance-use services to further support individuals struggling with substance-use. Acknowledging that mental health issues are a common barrier to permanency, ESG funding also supported mental health services within the shelter portfolio.
- New York City created a non-traditional model of emergency shelter for unsheltered individuals who repeatedly refused to enter shelter called a “Safe Haven” (not to be confused with HUD-funded Safe Havens). These shelters offer low-threshold rules and provide private/semi-private sleeping areas. A flexible model, it allows providers to best meet the needs of the chronically unsheltered Homeless population and are used for placement by outreach teams only. ESG funding supported three (3) NYC Safe Havens in CY2016.
- ESG funding supported two (2) Drop-In Centers in 2016. Drop-in Centers provide clients with food, shower/bathroom facilities and chairs to rest. Case managers and housing specialists work clients to obtain any needed services, medical care, mental health treatment, benefits and permanent housing.

The City is also working to improve conditions within the existing shelter portfolio. It has created a coordinated multi-agency Shelter Repair Squad that aggressively inspects homeless shelters to identify and address building violations and shelters in need of repairs, has increased City Capital budget funding for shelter upgrades and has put into place a hotline for shelter residents so that it can respond quickly to their concerns. Finally, the City continues to phase out the use of “cluster site” shelter units, returning them to the market so that the apartments can be restored as low-rent housing.

Helping low-income individuals and families avoid becoming homeless, especially extremely low-income individuals and families and those who are: likely to become homeless after being discharged from publicly funded institutions and systems of care (such as health care facilities, mental health facilities, foster care and other youth facilities, and corrections programs and institutions); and, receiving assistance from public or private agencies that address housing, health, social services, employment, education, or youth needs

The HomeBase program remains at the center of New York City’s homeless prevention efforts. Comprised of community-based organizations in areas of high-need, HomeBase assists families and individuals overcome immediate housing issues that could result in them becoming homeless and helps them stay in the community in permanent housing. With locations throughout the five boroughs, assistance is individualized to meet the needs of each household. Services include family or tenant / landlord mediation; household budgeting; emergency rental assistance; job training and placement; and benefits advocacy (child care, food stamps, tax credits, public health insurance).

The HomeBase program maintains a high success rate, as measured by the percent of clients served who do not enter the DHS shelter system within one year of enrollment. In City Fiscal Year 2016, 94% of families with children, 91% of adult families, and 91% of single adult households served by HomeBase did not enter shelter within a year of their enrollment.

The City used ESG funds to serve 11,727 persons in households without children assisted by HomeBase programs. These households include both single adults and adult couples without children. The City has increased its commitment to serve this population through a mixture of ESG funding as well as City Tax Levy funds. City funding was increased in FY2016 and allowed HomeBase to better meet the needs of this at-risk population and assist more than 469% of the 2016 goal. Given this expansion of services to households without children, the City's expanded goal for 2017 is 5200 clients assisted.

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

The City continues to help homeless individuals move to permanent housing, especially chronically homeless individuals, veterans and youth. In 2016, 2,294 individuals in ESG funded shelters were placed into permanent housing.

Employment is a cornerstone of DHS' effort to help its clients return to housing independence. ESG funds support several employment initiatives, including a program offering a substance-free environment for men that stresses the importance of saving money and self-sufficiency. This program offers career counseling, job search and placement services.

Additionally:

- Through a collaborative citywide effort, NYC achieved and the federal government certified the end of chronic veteran homelessness;
- The City's new homelessness rental assistance programs - Living in Communities (LINC), the City Family Eviction Prevention Supplement Program (CITYFEPS), the Special Exit and Prevention Supplement Program (SEPS), and HOME-Tenant Based Rental Assistance (HOME TBRA) as well as public housing access and Section 8 vouchers assisted- 13,800 households, comprised of over 39,000 individuals, in Fiscal Years 2015 and 2016 combined to exit shelter or to avoid entering shelter.

New York City is continuing to implement and refine new strategies to increase permanent housing placements and to prevent homelessness by maintaining New Yorkers in their homes. These efforts include expanding HomeBase staffing and services; streamlining access to DYCD shelter for homeless youth; continuing to utilize NYCHA placements to address homelessness; consolidating and streamlining rental assistance programs; adding additional Aftercare services, improving access to preventive emergency rent arrears, increasing anti-eviction legal services and increasing enforcement of source of income discrimination law.

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

Actions taken to address the needs of public housing

The Public Housing Reform Act of 1998 allows for the development of public housing units, either replacement or incremental, through mixed-finance transactions. Developments with public housing units recently completed or currently under construction include Prospect Plaza, Randolph and La Preciosa. Other mixed financed projects include a Rental Assistance Demonstration (“RAD”) redevelopment at Ocean Bay (Bayside) and the rehabilitation of Section 8 buildings. Additionally, new affordable housing developments with a 25% NYCHA rental preference that are recently completed or currently under construction include Stanley Commons at Linden & Boulevard Houses, Soundview Family and Soundview Senior at Soundview Houses, CAMBA Supportive Housing at Van Dyke Houses, and a mixed-income housing development at Fulton Houses.

Prospect Plaza

NYCHA and HPD selected Blue Sea and Partners to redevelop Prospect Plaza in Brooklyn as a new mixed finance, mid-rise development to be constructed in three consecutive phases. Prospect Plaza includes 80 public housing units and 284 affordable units, for a total of 364 new housing units. The project also includes a 22,000 square-foot supermarket, a 12,000 square-foot community center, and a 30,000 square-foot recreation area on a city-owned property adjacent to Prospect Plaza. The first phase closed in June 2014 and the second phase closed in December 2014. Phase I was completed in 2016. Phase II is scheduled for completion and tenanting in 2017. The third phase of development, which includes housing along with mixed-use ground floor retail space and community facility closed in March 2016 with construction scheduled for completion by March 2018. Completion of the final phase will also represent 100% completion of NYCHA’s 1999 Prospect Plaza HOPE VI Revitalization Plan.

Randolph Houses

Randolph Houses in Central Harlem is undergoing extensive rehabilitation, which will result in the rehabilitation of 147 public housing units and 155 affordable housing units, for a total of 302 units. The existing individual tenement buildings will be modified internally so that they are grouped into several larger buildings with a common circulation core with elevators. Construction closing took place in December 2013. The first phase of the development is complete with tenanting in 2016. The second phase of the development is underway and scheduled for completion by the end of 2017.

RAD at Ocean Bay (Bayside)

In December 2016, NYCHA closed its first RAD transaction at Ocean Bay (Bayside) in the Rockaways neighborhood of Queens, converting 1,395 apartments in 24 elevator buildings from public housing to Section 8. NYCHA entered into a public-private partnership with MDG Construction + Design (developer), The Wavecrest Management Team (property manager), Catholic Charities of Brooklyn and Queens (social service provider), and Ocean Bay Community Development Corporation (resident outreach and engagement). The project is being financed with Superstorm Sandy recovery funds from FEMA, along with New York State Housing Finance Agency tax-exempt bonds and equity generated from federal 4% Low Income Housing Tax Credits. Overall investment in the project is projected at \$325 million; funds are being directed to extensive capital improvements including the installation of upgraded heating and security systems, new boilers and roofs, and updated apartment interiors. No residents are being displaced by the conversion. Rehabilitation has begun and will be completed in 2019.

Linden & Boulevard Houses

The Linden and Boulevard Houses parking lot located in Brooklyn was first proposed for the construction of 53 for-sale townhouses (15 two-family and 38 three-family townhomes) containing a total of 144 units. Due to financing difficulty occasioned by the 2008-09 economic slowdown, the designated developer has recast the homeownership housing proposal with rental housing for up to 240 low-income families, along with a community facility. The project known as Stanley Commons is currently under construction and scheduled for completion for tenancing in 2017. An additional 80-unit building for seniors was developed on the southeast corner of the central parking lot with Section 202 funding. The building known as Redwood Senior Living was completed and tenanted in 2015.

Van Dyke Houses

In 2015, NYCHA conveyed to a developer a parcel of land with additional floor area for a 101-unit low-income and supportive housing development to accommodate homeless and low income families. Construction is nearing completion for tenancing in 2017. Soundview Houses The development at Soundview Houses in the Bronx consists of two 8-story rental buildings: one for families with 120 units, and the other for seniors with 86 units. Following ULURP and negotiations for financing, closing and ground breaking took place in 2013. The family rental units are affordable for households making up to 60% AMI, and the senior units with Project Based Section 8 assistance are affordable to households making up to 50% Area Median Income (AMI). Both the family and senior buildings are complete with tenancing in the first quarter of 2017. A final phase of the development which includes 16 two-family townhouses for affordable homeownership is scheduled to close on construction financing by the end of 2017.

NextGeneration NYCHA Neighborhood Development

On June 30, 2016, NYCHA and HPD released a Request for Proposals (RFP) for the development of mixed-income housing at two NYCHA developments: Holmes Towers in Manhattan and Wyckoff Gardens in Brooklyn. The projects outlined in the RFP are the outcome of extensive resident and community stakeholder engagement as part of NYCHA's NextGeneration (NextGen) Neighborhoods program, which will generate revenue to be reinvested back into the development sites and across NYCHA's portfolio by leveraging a 50-50 split of market-rate and affordable housing units. Proposals were due to be submitted by September 30, 2016.

NextGeneration NYCHA 100% Affordable Housing

On June 27, 2016, NYCHA and HPD released a Request for Proposals (RFP) for the development of 100 percent affordable housing apartments for seniors and families on the grounds of NYCHA's Betances Houses V and VI in the Mott Haven neighborhood, South Bronx. The framework for the RFP was built on the priorities identified by local residents through outreach, surveys, community visioning workshops, and NYCHA resident meetings as part of the Choice Neighborhoods Initiatives planning process, which resulted in the Make Mott Haven Transformation Plan. Proposals were due to be submitted by September 30, 2016. On May 5, 2016, NYCHA and HPD announced the selection of three development teams to expand affordable housing opportunities at three NYCHA developments: Ingersoll Houses in the Fort Greene neighborhood of Brooklyn, Van Dyke Houses in the Brownsville neighborhood of Brooklyn, and Mill Brook Houses in the Mott Haven neighborhood in the Bronx. The plan to create 100 percent affordable senior and multifamily housing on available NYCHA property was developed in response to resident and advocate calls for more affordable housing options in their communities.

Fulton Houses

In December 2006, NYCHA in collaboration with HPD issued a RFP to identify a developer to construct new affordable housing on a parking lot located on West 18th Street (mid-block) between 9th and 10th Avenues. A developer was selected in September 2007. Following ULURP in 2013, the project was agreed to serve a broad range of incomes from 50% AMI to 165% AMI. Closing of construction financing for the mixed-income project took place in December 2016. The new 160 unit, 18-story building is scheduled for completion by the end of 2018.

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

Resident Associations

Most NYCHA developments have resident associations, also known as tenant associations, resident councils, or tenant councils. These democratic organizations are dedicated to improving the quality of life in NYCHA developments and the surrounding neighborhoods. They work with NYCHA management at every level, giving residents a real voice in the operation of their developments. Each resident association's executive board is elected by association members and typically consists of a president, vice-president, secretary, treasurer, and sergeant-at-arms. NYCHA helps residents create a resident association if their development does not already have one. To find out how they can join or create a resident association, residents can contact their development's Management Office.

The Citywide Council of Presidents

Every president of a recognized resident association is a member of one of nine Citywide Council of Presidents (CCOP) districts in the city. Resident association presidents elect a Chair to represent their district. Members of the CCOP automatically become members on the Resident Advisory Board, described below. CCOP works with senior NYCHA staff on the issues affecting life in NYCHA developments, engaging with government at all levels (local, state, and federal). CCOP Executive Board officers were elected to serve an approximate three-year term. This current Board will serve from January 1, 2017 through December 2019, or until succeeding officers are elected.

The Resident Advisory Board

The Resident Advisory Board (RAB) consists of public housing and Section 8 residents. It primarily addresses various aspects of NYCHA's annual and five-year agency plans, which set forth NYCHA's priorities and policies in 18 core areas and chart the course for NYCHA's short-term and long-term future. RAB members express concerns, make recommendations, and advise NYCHA management as the plans are drafted. RAB's recommendations for the final plan are incorporated when the plan is submitted to the U.S. Department of Housing and Urban Development. RAB members are responsible for informing residents in each development/district about the plans' development at both the draft and final stages. There are more than 80 RAB members, consisting of 45 elected resident association presidents, 5 Section 8 representatives, and 31 alternates.

Resident Watch Program

For over 40 years, thousands of residents have volunteered their time to enhance the safety and security of their communities through the Resident Watch program (formerly Tenant Patrol). By patrolling their development, resident volunteers help make their homes safer and more secure while building communities and fostering pride in their development. NYCHA strongly encourages resident volunteers to implement lobby, roving or youth watch groups as part of the Resident Watch Initiative, as well as to work with their Property manager to create a safe and supportive environment for themselves, families and neighbors.

Financial Capability and Asset Building

In 2016, NYCHA's Office of Resident Economic Empowerment and Sustainability (REES) continued to offer homebuyer education as a new service offering under the financial literacy and asset building portfolio. For this work, REES maintained partnerships with Neighborhood Housing Services of Staten Island (NHS of SI), which offers general education on all aspects of the home-buying process and the First-Time Homebuyer Certificate which is required to apply for certain down-payment assistance grants. Another homeownership partner, Neighborhood Assistance Corporation of America (NACA), is a national organization that offers character-based lending and a low-interest rate fixed mortgage. To further bolster the homebuyer education service offerings, REES added new partners in 2016 including, JP Morgan Chase & Company's Office of Community Reinvestment and Community Partnerships, which offers free pre-homebuyer financial literacy workshops to educate residents on how to prepare to qualify for a mortgage.

In 2016, REES also partnered with Habitat for Humanity NYC to offer information sessions about upcoming home-buying opportunities of single-family homes. Over 400 residents attended homebuyer education events in 2016. As a next step in the home-buying journey, NYCHA residents are referred for free one-on-one financial counseling services offered through the New York City Department of Consumer Affairs' Office of Financial Empowerment and other community based partners. Of the total

resident connections made in 2016, 903 were resident referrals to financial counseling. This represents an increase of more than 60 percent over the total amount of referrals made in 2015.

Family Self Sufficiency (FSS)

The Housing Choice Voucher or Section 8 Family Self-sufficiency (FSS) Program is a HUD initiative that promotes economic self-sufficiency among participating families by referring them to educational, career counseling, money management, job training as well as job placement services. Participants receive a savings account which grows as the family's earned income increases. Upon completion of the stated goals in the FSS Contract of Participation, the family receives the money accumulated in the account, provided that no member has received cash public assistance in the preceding twelve months and that the FSS member has maintained employment. The money may be used as a down payment on a home, as payment for higher education, as start-up capital for a business or to pursue other personal goals. Participating families run no risk to their Section 8 voucher and may continue to receive Section 8 assistance upon graduation from the program as long as they continue to meet Section 8 eligibility criteria. As of December 2016, there were 675 participants in the Family Self Sufficiency program. Of those, 245, or 36 percent had active escrow accounts with an average balance of \$2,918. The cumulative amount in escrow was \$715,000. New members are recruited through mail and email campaigns, and are invited to learn about FSS through information sessions hosted by REES twice-monthly.

Actions taken to provide assistance to troubled PHAs

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

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

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

In 2016, the City enacted two major reforms to its zoning resolution designed to increase the production of permanently affordable housing, the Mandatory Inclusionary Housing Program (MIH) and Zoning for Quality and Affordability (ZQA). MIH ensures that the housing marketplace serves New Yorkers at a broad range of income levels and encourages creation of mixed income communities. It accomplishes this by requiring a portion of on-site housing be permanently affordable at any time where zoning is changed to allow for significantly more residential development rights. ZQA was enacted by the City Council to address zoning matters that previously made building affordable housing in our dense city difficult. ZQA reduces stringent parking requirements, updates rules for ground-floor retail space to allow for modern, high-quality retail space while preserving the full potential for housing development above the ground floor, and relaxes minimum unit sizes for affordable senior housing.

The elderly represent the fastest growing segment of New York City's population. The changes under ZQA will complement the City's other efforts to increase production of senior housing in addition to enhanced housing supports and services.

In 2016, the City approved Zoning Resolutions that designated 11 MIH Project Areas throughout the city. Depending on development costs, these MIH Projects Areas have the projected potential of creating 7,591 affordable units including 3,013 MIH affordable units in the next 15-20 years. Each project is designed for a mix of retail and residential uses in line with the standards created by ZQA.

In 2016, the Department of City Planning (DCP) completed an internal review process to improve the agency's strategy and effectiveness. DCP endeavors to implement new agency practices to provide greater predictability and transparency to the pre-certification review of land use and environmental review applications. In late 2016, DCP launched an Application Timeline Tool and updated the Pre-Application Statement Form to formalize the pre-filing submission process, establish timeframes for action, and provide a clear, predictable roadmap for applicants and DCP as a project moves from conception to filing.

In addition to 1,114 supportive housing units created in CY2016, the City is working on a number of initiatives meant to streamline the placement of homeless New Yorkers in supportive housing and reducing bottlenecks through the Coordinated Assessment and Placement System (CAPS), currently being piloted at six DHS shelters. The pilot is assessing families and households in shelter to determine the types of housing for which each might be eligible. The system will match the eligible applicants to vacant units. CAPS will help ensure that available units are filled quickly by efficiently matching vacant apartments to the prospective supportive housing tenant who needs it the most.

In addition to a streamlined process, the Moving On program is working to create much-needed vacancies in existing supportive housing projects. HPD has partnered with the Corporation for Supportive Housing (CSH), the Robin Hood Foundation, and five non-profit providers to help graduates

of supportive housing move on to an even greater level of independence. HPD provides Section 8 vouchers, Robin Hood is funding aftercare services, and CSH provides technical assistance to non-profit program participants. The program is currently underway; to date, HPD has issued 125 vouchers and 40 individuals have already moved on to their own apartments, freeing up apartments in the supportive housing portfolio for those currently in shelter and in need of on-site support.

HPD, DHS and the City's Human Resources Administration (HRA) began an interagency process to develop a model for financing innovative permanent housing for homeless individuals and families using dollars that would otherwise be spent on higher cost homeless shelters. HPD, DHS and HRA have continued to meet to discuss strategies for alternative financing models to more efficiently address the needs of housing homeless New Yorkers.

HPD issued requests for proposal for the first round of the NIHOP and NCP programs, and the Housing Development Corporation (HDC) will pilot the new mixed-income program. Dozens of submissions were received and reviewed and HPD is set to announce the first of three rounds of awards for the program in February of 2017.

The elderly represent the fastest growing segment of New York City's population. The City has taken action to increase production of senior housing in addition to enhanced housing supports and services. Under Housing New York, the City committed to creating or preserving 10,000 affordable apartments for seniors over 10 years. In CY2016, the City produced 1,166 senior housing units in a range of programs, spanning 29 projects. Of these, three projects with a total of 396 senior units (34% of the CY2016 total) had HOME as a funding source. In 2014, HPD launched the Senior Affordable Rental Apartments (SARA) program, which funds the construction of new affordable housing for low income seniors. SARA is modeled after the HUD Section 202 program, a Federal funding source that has not created any new units in many years. Given the number of senior citizens who are extremely rent-burdened, the City decided to move forward with a senior housing program even in the absence of HUD Section 202. The SARA program finances new construction with a capital subsidy through HPD, rental assistance through NYCHA or HPD, as well as a tenant services coordinator.

In addition to expanding the supply of affordable senior housing, the City has worked to increase enrollment in the Senior Citizen Rent Increase Exemption (SCRIE), which freezes the rent for seniors living in rent-regulated apartments, helping them to age in place. Increasing the income eligibility for SCRIE recipients from \$29,000 to \$50,000 per year has helped more seniors access this benefit. Since increasing the income ceiling for SCRIE alone, the City enrolled over 6,500 new enrollees who would not have been eligible to obtain some relief from rising rents. Department of Finance, CAU, and the Public Engagement Unit have ongoing efforts to reach eligible individuals who have yet to enroll and to help current recipients with annual recertification. HPD will continue to try to ensure that eligible seniors in Mitchell- Lama developments are receiving the benefit.

NYCHA's Accessibility and Visitability Activities

The New York City Housing Authority (NYCHA) is the largest public housing authority in North America. NYCHA's conventional Public Housing Program has 176,692 (as of January 1, 2017) apartments in 326 developments throughout the City in 2,562 residential buildings containing 3,286 elevators. In accordance with the Voluntary Compliance Agreement (VCA) signed jointly with the Department of Housing and Urban Development in 1996, NYCHA agreed to convert 5% of its total stock of units, equivalent to 8,900 apartments, into 504 accessible units available to residents or applicants with

mobility impairments. In addition, NYCHA provides accessibility via reasonable accommodations and increase accessibility to existing conventional apartments through partial apartment modifications. To date, NYCHA has converted 7,691 units and completed approximately 13,914 partial apartment 504 modifications. In 2016, NYCHA reported 2,953 units fully accessible to mobility impaired residents and improved accessibility to 463 units via partial apartment modifications. Partial modification includes, but is not limited to, widened doorways, roll in showers, modified kitchen cabinets, lowered kitchen sink counters, bathroom grab bars, raised or lowered electrical outlets, raised or lowered toilet seats as well as audio/visual alarms. NYCHA also offers reasonable accommodations in policies, procedures and practices that will make non dwelling facilities, services and programs accessible to persons with disabilities. NYCHA will continue to increase accessibility of building entrances, grounds and community centers.

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

In 2016, viral suppression emerged as a topic of interest with the Department of Health and Mental Hygiene's Division of Disease Control taking additional measures to monitor and improve this important clinical indicator. According to 2015 surveillance data, more than one-third of NYC's persons with HIV receive subsidized housing assistance, but many remain virally unsuppressed. To address this gap, the Division of Disease Control launched the *Getting to 90* initiative to assist HIV housing project sponsors introduce changes that would reduce barriers to viral suppression, by establishing a 90% suppression goal, improving data quality, and delivering technical assistance. At baseline, 73% of NYC HOPWA consumers had documented viral suppression. Within six months post-launch, project sponsors had participated in a community forum on viral suppression, a two-day data-systems training, and quarterly phone interviews. In addition, they received quarterly dashboards to track their viral suppression performance and personalized technical assistance to identify the unique barriers affecting their HOPWA consumers. Collectively, these efforts resulted in a seven percent increase in viral suppression, from 73% to 80%, with the ultimate goal of achieving 90% by November 2017.

As indicated in the City's Consolidated Plan, the City recognizes the need for more Permanent Supportive Housing (PSH). In order to meet the need for PSH, the City has taken steps to expand available supportive housing resources. In November of 2015, Mayor de Blasio announced a new plan to create 15,000 units of supportive housing over the next 15 years. The 15,000-unit plan is comprised of roughly 7,500 newly-developed, congregate units and 7,500 scattered site units. The plan will target New Yorkers in need, including homeless veterans, survivors of domestic violence, and street homeless individuals. Supportive housing is a proven, cost-effective approach to deliver stability and permanently house New Yorkers struggling with mental illness, homelessness, and substance use. At the same time, it reduces reliance on homeless shelters, hospitals, mental health institutions, and incarceration.

In 2016, New York City, released an RFP to secure the first 500 scatter site units to support this effort.

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

Housing and Preservation Development

The City operates several programs to investigate, treat and reduce lead-based paint hazards. The City investigates, abates, and removes LBP hazards in City-owned properties and in privately owned dwellings where owners are unwilling or unable to do so after receiving violations from a City agency related to lead-based paint. Where a lead-poisoned child is identified, the DOHMH orders the owner to

abate lead paint hazards. If the owner fails to do so, HPD's Emergency Repair Program (ERP) will do the work and place a lien against the property for the cost. For calendar year 2016, HPD maintained three (3) requirements-type contracts for lead hazard reduction at a cumulative total contract maximum of \$3,500,000. In addition, HPD had one (1) contract for dust wipe analysis at a total contract maximum of \$100,000.

In 2016, ERP completed 35,236 initial inspections, uncovering a total of 12,086 violations. 2,217 reinspections were performed and certified as corrected. An additional 15,318 violations were removed due to corrections by either the owner or HPD.

New York City Housing Authority

NYCHA manages various lead hazard reduction programs and projects. The following are brief descriptions of major programs and projects:

Lead-Based Paint Inspection

In response to a HUD mandate, NYCHA has conducted a Risk Assessment of its Developments built before 1978. A Risk Assessment is an on-site investigation that determines the existence, nature, severity, and location of LBP hazards. A Risk Assessment includes an Inspection. An Inspection is a surface-by-surface investigation to determine the presence of LBP. For multifamily housing, a random sample of dwelling units is inspected. NYCHA will also individually inspect Developments, dwelling units, public spaces, and common areas for LBP in response to a DOHMH Violation, Court Order or requests from any of the following parties:

- Capital Projects
- Development Manager or Resident with a child under the age of 6
- Community Operations
- Facility Planning

Lead-Based Paint Management and Maintenance Program

As a result of the initial Risk Assessment, NYCHA continues to evaluate the Developments where LBP was identified. NYCHA evaluates LBP hazards through a combination of annual Visual Assessments and biannual LBP Reevaluations. A Visual Assessment is completed to look for deteriorated paint, visible dust or debris, or failure of any previously installed lead-based paint hazard reduction measure. A Reevaluation is an on-site investigation combining a Visual Assessment with collection of environmental samples to determine if a previously implemented lead-based paint hazard control measure is still effective and if the dwelling remains lead-safe.

If LBP hazards have been identified by Visual Assessment or Reevaluation, NYCHA reduces the hazards through either interim controls or abatement. Interim controls temporarily reduce exposures to lead by correcting LBP hazards and stabilizing LBP through activities such as repainting, specialized cleaning and implementing procedures to reduce lead hazards that may be caused by operation and maintenance activities. Abatement is the elimination of LBP hazards using strategies such as paint removal, enclosure or component replacement.

As a subset of NYCHA's LBP Management and Maintenance Program, NYCHA maintains units where a child under 6 years of age lives according to Local Law 1 of 2004.

Local Law 1 of 2004

On August 2, 2004, Local Law 1 went into effect, calling for the comprehensive prevention of childhood lead poisoning through the remediation of lead-based paint hazards in housing and day care facilities. Local Law 1 applies to apartments and common areas of all buildings built before 1960, or between 1960 and 1978 if LBP is present, and where a child under 6 years of age lives. NYCHA has identified 96 Developments totaling 82,733 apartments constructed prior to 1960 or between 1960 and 1978 where LBP is present or presumed to be present. NYCHA has submitted a request for exemption of 86 developments built prior to 1960 that were identified as not containing LBP in apartments. Out of this request, 60 developments have been exempted to date.

In response to the regulation, NYCHA has tested over 27,800 apartments and abated 13,600 that tested positive for LBP since 2004. In 2016, 1,345 apartments were tested and 646 were abated. The balance was submitted immediately to HPD for exemption.

Department of Health Violations DOHMH & Litigation Support Program

The New York City Health Code defines lead poisoning as a blood lead level of 10 micrograms per deciliter (Âµg/dl) or higher. The blood lead level at which care, coordination and environmental intervention are initiated for lead-poisoned children in New York City is currently 15 Âµg/dl or greater. The NYC Health Code mandates environmental intervention at this level. The New York City DOHMH will inspect the child’s residence for the presence of LBP. The intent of the inspection is to identify if there are any sources of lead within the apartment that may contribute to the child’s elevated blood lead level (EBLL). If the DOHMH identifies LBP on friction, impact, mouthable or defective surfaces, a Health Code violation for LBP is issued to the landlord. The violation mandates the landlord to make specific corrective actions. The landlord can either implement the corrective actions or contest the violation by testing the cited surfaces. If the violation is successfully contested, DOHMH will rescind the violation. If corrections are required, once completed, DOHMH will dismiss the violation. As a landlord, NYCHA is subject to this regulation. In 2016, NYCHA had no violations which required corrective action.

Lead-Based Paint Disclosure Program

The Residential Lead-Based Paint Hazard Reduction Act of 1992 requires NYCHA to disclose to its tenants any information relevant to LBP and LBP hazards that may exist in housing built before 1978. The program is complex and requires coordination with all NYCHA Departments and Management.

Summary of Program Activities

Description	2016
New DOHMH Violations Received (elevated blood lead level, child under 18)	10
Number Of Violations Rescinded (elevated blood lead level, child under 18)	10
Number Of Violations requiring Corrective Action (elevated blood lead level, child under 18)	0
Total Number Of Apartments Abated (LBP) (all reasons)	676
Total Number Of Apartments Tested For LBP (XRF) (all reasons)	1,454
Number Of Child Occupied/ Multi-Use Facilities Inspected For LBP (Dust Wipes)	9
Number Of Apartments Tested For Elevated Lead Dust Levels (Dust Wipes)	1,076
Number Of Public Spaces Tested For Elevated Lead Dust Levels (Dust Wipes)	275

Distribute LBP Disclosure Information To Developments Constructed Prior To 1978 (Development Wide Disclosure) – all are FHA Properties	0
Distribution of Single Family LBP Disclosure Packages In Developments Constructed Prior To 1978	1,302
Development Wide Apartment Testing Of Developments Constructed Prior To 1978 For LBP (i.e., Reevaluation)	11
Local Law 1 – Move Out Apartments Tested	1,345
Local Law 1 – Move Out Apartment Lead Abatements Completed	646

Department of Homeless Services

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

All construction, renovation, and repair work at DHS’s facilities is preceded by certain lead-based paint related activity whenever disruption of any lead-based paint may be involved. Such activity may consist of inspecting, sampling, air monitoring, laboratory analysis, encapsulation or abatement. These tasks are conducted by DHS-contracted vendors. These vendors are also available on-call to respond on an as-needed basis to emergency situations. In-house staff at DHS ensures that all contracted services are conducted in conformance with HUD/EPA established guidelines through management of vendor contracts.

The Agency’s Maintenance, Repair, Capital and Construction units (MRCC) inspectors conduct lead paint hazard investigations as a part of bi-annual shelter inspections. If lead paint presence is known or detected during such inspection, remedial steps are taken to eliminate the risk of exposure. Finally, DHS responds to any reports of lead-based paint hazards identified for the Agency by any other City, State or Federal agency. Overall, for the past 12 years, New York City has addressed lead paint hazards in accordance with Local Law 1 of 2004.

MRCC maintains work orders and records of all actions assigned to contracted vendors for lead-based paint remediation activities at shelter facilities. In calendar year 2016, DHS directed construction, renovation and/or repair work at six (6) family with children facilities on thirty-four (34) occasions that required the use of contracted vendors to engage in lead-based paint related activities because such work would disturb lead-based paint in those facilities. No ESG funds were used for these remediation projects.

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

The de Blasio administration has launched transformational programs and policies including Universal Pre-K, Paid Sick Leave, the Living Wage, and major initiatives in workforce development to better train New Yorkers for good-paying jobs and help secure job placements in fast-growing fields. The Mayor is working with every city agency to bring a focus on equity to its work shifting the City’s approach to focus on skill-building and higher wage jobs that offer opportunities for advancement. Policies such as the

Career Pathways Initiative; harnessing affordable housing investments to generate quality jobs; a 10-Point Industrial Action Plan; and, the efforts of NYCHA's Office of Resident Economic Empowerment & Sustainability (REES) are designed to reduce the number of poverty-level families.

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

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

- Launch or expand Industry Partnerships with real-time feedback loops in six sectors: healthcare, technology, industrial/ manufacturing, and construction, which will focus on training more New Yorkers for jobs with career potential. Launch Industry Partnerships in retail and food service, which will focus on improving the quality of low-wage occupations.

The healthcare and tech Industry Partnerships expanded their services in 2016 (information on TTP and NYACH below). The Industrial and Manufacturing Industry Partnership, the Construction Industry Partnership, and the Food Service Industry Partnership all launched in 2016. The search for an industry leader to head the Retail Industry Partnership continues.

The NYC Tech Talent Pipeline (TTP) has begun to partner with New York City colleges to align the colleges' tech education and training with employer demand, expand the City's tech training and education opportunities by expanding TTP's training offerings, and mobilizing more New Yorkers to enter tech careers via wide-ranging outreach and offering pre-training preparation for New Yorkers interested in tech careers.

- Establish Career Pathways as the framework for the City's workforce system.

To meet the commitment to shift from a rapid-attachment model to a population-specific menu of services that emphasize education and employment skills, the Human Resources Administration released RFPs for three redesigned client service models: Career Advance, Career Compass, and Youth Pathways. These contracts begin in April 2017. The Department of Small Business Services has further raised the wage floor for employers receiving recruiting services from the Workforce1 Career Center, from \$11.50 per hour to \$13.40 per hour. The Center for Economic Opportunity (CEO) and the Department of Youth and Community Development (DYCD) have begun the evaluation of the Young Adult Literacy Bridge pilot. DYCD, in partnership with the Literacy Assistance Center, is developing a field-building document that will outline the components and costs of quality adult literacy programs.

- Invest annually in bridge programs that prepare low-skill jobseekers for entry-level work and middle-skill job training.

The New York Alliance for Careers in Healthcare (NYACH) has launched three new bridge programs – ESOL/Home Health Aide in partnership with Queens Library, ESOL/Medical Assistant in partnership with LaGuardia Community College (CUNY), and Youth HSE/Front Desk Customer Service in partnership with DOE District 79. NYACH is also developing an ESOL/Patient Care Technician bridge program.

- Triple the City's training investment to \$100 million annually by 2020 in career-track, middle-skill occupations, including greater support for incumbent workers who are not getting ahead.

In 2016, in partnership with the City University of New York, the Tech Talent Pipeline launched the Tech Jobs Academy, the TTP Residency at Queens College, and the Mobile Development Corps. TTP also launched a new cohort of the Brooklyn Tech Triangle Internship Program, tripled investment in CUNY Tech Prep, released an RFP to expand the NYC Web Development Fellowship, and developed road maps for curricular alignment for the 14 colleges of the NYC Tech Talent Pipeline Academic Council.

- Improve and expand career and technical education (CTE) and college preparedness programs, adjust CUNY's alternative credit policy, and invest in career counseling to increase educational persistence and better support students' long-term employment prospects.

Bronx Community College has launched a campus-wide ASAP expansion. Through this ambitious undertaking, most first-time freshmen will be enrolled in ASAP by academic year 2018/19.

- Increase work-based learning opportunities for youth and high-need jobseekers.

The NYC Center for Youth Employment (CYE) made significant progress toward its goals of supporting young New Yorkers. Working with its parent organization, the Mayor's Fund to Advance NYC, and the Department of Youth and Community Development, CYE helped increase to 1,538 the number of participants in Ladders for Leaders, the City's nationally-recognized, employer-paid summer internship program, and helped connect 3,050 Vulnerable Youth with summer jobs. Both figures represented 50 percent increases over the previous year. The Center wrote and released an Employer Best Practices Playbook, offering guidance to support organizations hosting summer interns. In partnership with the Department of Education's Office of Community Schools, CYE also piloted CareerCLUE (Community Learning, Understanding and Experience), a summer program offering academic enrichment, paid work experience and project based learning for at-risk high school students.

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

- Create a standard that recognizes high-road employers who have good business practices, with the goal of assessing at least 500 local businesses by the end of 2015.

In 2016, more than 600 New York City businesses completed the employer assessment, from 1,200 businesses using the online educational tool provided through Best for NYC, the City's program to support high-road business growth. Additionally, in 2016, more than 30 cities in the U.S. and around the world embarked on creating similar "Best for" campaigns modeled after NYC's efforts.

- Improve the conditions of low-wage work by expanding access to financial empowerment resources in partnership with at least 100 employers and pursuing legislative changes such as increasing the minimum wage.

In April 2016, New York State Governor Cuomo signed into law legislation which will incrementally increase the minimum wage to \$15 per hour for all workers within New York City by the end of 2019.

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

- Maximize local job opportunities through the City's contracts and economic development investments by establishing a "First Look" hiring process and enforcing targeted hiring provisions in social service contracts.

HireNYC connected 2,180 low-income New Yorkers to opportunities created by City spending, including Human Services contracts and projects led by the Economic Development Corporation. In 2016, HireNYC expanded to include HPD subsidies projects, connecting more low-income New Yorkers to opportunities in everything from construction to case management to administration. HireNYC Human Services also expanded to include positions created in contracts by DYCD, DFTA, SBS and DOHMH.

- Reimburse workforce agencies on the basis of job quality instead of the quantity of job placements by aligning service providers under a system-wide data infrastructure that measures job outcomes such as full-time work, wage growth, and job continuity.

Common Metrics were finalized and circulated to all agency commissioners. The Mayor's Office worked with DYCD, HRA, and SBS to gather information on current data collection scope and practices, request pilot data, and conduct initial analyses of integrated data. WKDEV reviews RFP drafts for inclusion of relevant common metrics. Mayor's Office of Operations signed an MOU with NYS Department of Labor to access wage record data for participants in City workforce programs.

Center for Economic Opportunity

The Center for Economic Opportunity works to reduce poverty and broaden opportunity by advancing the use of data and evidence in program and policy design, service delivery, and budget decisions. It analyzes existing anti-poverty approaches, develops new interventions, facilitates the sharing of data across City agencies, and rigorously assesses the impact of key initiatives. Originally established in 2006 as an anti-poverty innovation lab, the Center continues to manage a discrete fund and work collaboratively with City agencies to design, test and oversee new programs and digital products. The Center also produces research and analysis of poverty and social conditions, including the Center's influential annual Poverty Measure, which provides a more accurate and comprehensive picture of poverty in New York City than the official federal rate. Part of the Mayor's Office of Operations, the Center is active in supporting the de Blasio administration's priority to make equity a core governing principle across all agencies.

The Center's efforts support many of the initiatives described elsewhere in this section of this document. For example, the Center has worked with the Office of Workforce Development to support Career Pathways, through efforts such as funding training initiatives of the Industry Partnership groups, and working to implement a citywide common metrics effort to measure and collect workforce outcomes consistently across City agencies. The Center also works with NYCHA's REES and HRA on the implementation and oversight for the Jobs-Plus initiative.

Harness Affordable Housing Investments to Generate Quality Jobs

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

To improve the access to capital, the City has modified and created funding sources for M/WBEs. The New York City Acquisition Loan Fund offers low-cost financing options for site acquisition and predevelopment costs for M/WBEs. In 2016, the New York City Economic Development Corporation created the Emerging Developers Loan Fund, where M/WBE and other emerging developers can access low-interest loans for pre-development and land acquisition expenses.

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

To create pathways for qualified M/WBE professional service providers and construction contractors to work on HPD-supported affordable housing projects, HPD announced the M/WBE Build Up program in November 2016. The program requires developers to spend at least a quarter of HPD-supported costs on certified M/WBEs during design and construction of certain HPD-subsidized projects. HPD's new Division of Economic Opportunity and Regulatory Compliance will enforce compliance with the program, facilitate connections between M/WBE firms and non-M/WBE partner developers or general contractors, and identify ways to promote changes in the affordable housing industry to increase the participation of M/WBEs.

HPD and HDC completed revisions to program term sheets and they are available at:

<http://www1.nyc.gov/site/hpd/developers/development-programs.page> and

<http://www.nychdc.com/pages/Termsheets.html>

10-Point Industrial Action Plan

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

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

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

The City, in 2016, committed resources to improve and expand industrial spaces. \$100M will bring online approximately 500,000 square feet of new industrial space and 1,000 jobs, \$15M created 50,000 square feet of new food manufacturing space, and \$37M for investments in infrastructure at the Brooklyn Army Terminal (BAT).

In October 2016, industry leader TechShop was selected by the City to operate the state-of-the-art BAT Advanced Manufacturing Center. This shared workspace will provide makers and other small manufacturing firms with affordable access to 21st century equipment, as well as access to a suite of support services. The center is the cornerstone of Futureworks NYC, a network of programs and resources to support the advanced manufacturing sector in New York City, create high-skilled production jobs, and increase competitiveness for existing manufacturing companies. The new center is expected to create more than 500 jobs in the first 5 years, attract \$200 million in investment, and help launch more than 200 new industrial businesses.

A number of other initiatives have also focused on the innovation economy. For instance, the City launched UrbanTech NYC and in the summer of 2016 opened two Urban Technology Growth Hubs in Midtown Manhattan and the Brooklyn Navy Yard. UrbanTech NYC offers space, equipment, and a variety of shared resources to entrepreneurs addressing some of the City's most pressing urban challenges in sectors such as energy, waste, transportation, food, water, and the built environment. UrbanTech NYC could support up to 3,200 jobs over the next 10 years, further establishing New York City as a global leader in sustainable urban innovation. In December 2016, the first awardee of the City's \$150M Industrial Developer Fund (IDF) was announced. The awardee, Greenpoint Manufacturing and Design Center (GMDC) - a nonprofit developer of industrial space in New York City - received a \$10M grant and \$3.7M loan to develop 90,000 sq. ft. of industrial space in Ozone Park, Queens, with capacity for 24 businesses and 80 living wage jobs.

Three new Industrial and Manufacturing Workforce1 Career Centers opened in 2016 located in Southwest Brooklyn, Staten Island and the Bronx, respectively. These Centers are located in Industrial Business Zones and work as satellite branches of the current Workforce1 Industrial and Transportation Center in Jamaica, Queens.

In support of Mayor de Blasio's vision for workforce and economic development outlined in Career Pathways: One City, Working Together, SBS and the Mayor's Office of Workforce Development also announced the Industrial Industry Partnership--a public/private collaboration between industrial employers, community groups, training providers, organized labor and government. More information about this partnership is discussed above in the Career Pathways Initiative section above.

New York City Housing Authority

The NYCHA Office of Resident Economic Empowerment & Sustainability (REES) implements programs, policies and collaborations to measurably support residents' increased income and assets with a focus on employment and advancement, financial literacy and asset building, adult education and training, and business development. By using housing as a platform REES:

1. Connects residents to high quality and relevant economic opportunity services;

2. Supports economic opportunity providers to better serve NYCHA residents;
3. Attracts new resources and proven models to public housing communities; and
4. Generates economic opportunities for NYCHA residents.

REES uses a partnership and place-based service coordination model, or "Zone Model", to identify and partner with high-quality economic opportunity service providers in each key service area. This approach broadens NYCHA's scope from resident job training and employment to a more comprehensive suite of high-quality economic opportunity service providers.

A. Strategic Partnerships: REES Zone Partner Networks

To date, over sixty providers have since entered into formal partnership with REES, resulting in 7,348 resident connections in 2016 alone to workforce, training, adult education and financial counseling services. In 2016, partnership expansion brought on several new partners including adult education and training partners Central Brooklyn EDC, Columbia University's Community Impact, and CUNY's Borough of Manhattan Community College and LaGuardia Community College and young adult workforce training partner the Stanley Isaacs Center.

i. Connecting to Services: Resident Outreach, Recruitment and Referrals

In 2016, REES achieved 7,348 resident connections to economic opportunity services, of which over 3,600 came from event-based recruitment and resident information sessions. Events include twice-weekly information sessions hosted at REES's central office in downtown Brooklyn, in addition to similar sessions hosted offsite at NYCHA developments for a variety of vocational and other training programs, including educating residents on Section 3 hiring. REES also hosted employment pre-screening events with partners including NYC Small Business Services Workforce1, the New York City Fire Department, and the New York City Police Department.

In 2016, there were 520 resident class/training enrollments for services in each service area through REES recruitment efforts. Below is an overview of the enrollment outcomes for cohort-based services. Residents enrolled in training towards the end of 2016 will complete in 2017

	Enrollments	Completions	% Completed
Adult Education & Vocational Training	291	162	56%
Financial Literacy & Asset Building	150	146	97%
Business Development	79	59	75%
Grand Total	520	367	71%

In addition to event-based recruitment, REES connected residents to services through its web-based referral system that is designed to connect residents to services in 10 minutes or less. NYCHA frontline staff and REES initiate referrals through routine interactions, such as rent collections, with residents. Of the 7,348 resident connections achieved in 2016, 3,442 were from resident referrals made through the referral system.

In November 2015, REES launched a new way for residents to receive referrals through "Opportunity Connect." Opportunity Connect is a new feature of the NYCHA Self-Service Portal that allows residents to complete their own referrals for services by answering a few simple questions on a web page. Opportunity Connect is part of Doorways to Opportunity - a \$1.4 million investment in New York City

public housing residents by Citi Community Development. Of the total number of resident referrals in 2016, 311 were residents' self-referrals through Opportunity Connect.

B. Program Highlights: Financial Literacy and Asset Building

i. Financial Capability and Asset Building

In 2016, REES partnered with Habitat for Humanity NYC to offer information sessions about upcoming home-buying opportunities of single-family homes. Over 400 residents attended homebuyer education events in 2016. As a next step in the home-buying journey, NYCHA residents are referred for free one-on-one financial counseling services offered through the New York City Department of Consumer Affairs' Office of Financial Empowerment and other community based partners. Of the total resident connections made in 2016, 903 were resident referrals to financial counseling. This represents an increase of more than 60 percent over the total amount of referrals made in 2015.

ii. Free Tax Preparation

REES also continued collaboration with the Food Bank for New York City to expand the availability of free tax preparation services at 13 sites in NYCHA communities through their "Virtual Volunteer Income Tax Assistance (VITA)" program. In 2016, nearly 1,400 clients received free tax prep services capturing nearly \$2 million in aggregate EITC and other tax refunds.

iii. Family Self-Sufficiency Program (FSS)

The Housing Choice Voucher or Section 8 Family Self-sufficiency (FSS) Program is a HUD initiative that promotes economic self-sufficiency among participating families by referring them to educational, career counseling, money management, job training and job placement services. Each participant has an escrow account that grows as the family's earned income increases. Upon completion of the stated goals in the FSS Contract of Participation, the family receives the money accumulated in the account, provided that no member has received cash public assistance in the preceding twelve months and that the FSS member has maintained employment. The money may be used as a down payment on a home, as payment for higher education, as start-up capital for a business or to pursue other personal goals. As of December 2016, there were 675 participants in the Family Self Sufficiency program. Of those, 245, or 36 percent had active escrow accounts with an average balance of \$2,918. The cumulative amount in escrow was \$715,000. New members are recruited through mail and email campaigns, and are invited to learn about FSS through information sessions hosted by REES twice-monthly.

C. Program Highlights: Adult Education and Training

i. NYCHA Resident Training Academy (NRTA)

The NYCHA Resident Training Academy is a public/private initiative funded by the Robin Hood Foundation. During 2016, 281 residents completed janitorial or construction training through the NRTA with 75% moving on to placement during this time period. Late 2016 graduates will be placed in early 2017. In 2016, NYCHA established direct recruitment partnerships with DC 9 Painters, Local 3 Electricians, Local 12 Heat & Frost Insulators, and Local 8 Roofers for NRTA graduates.

D. Program Highlights: Resident Business Development

i. Program Design and Expanding Partnerships

In 2016, REES continued to grow its partnership with the NYC Department of Small Business Services (SBS) to provide NYCHA entrepreneurs (NYCHApreneurs) with direct access to the vast resources offered by SBS to build their businesses. All NYC Business Solution Centers receive NYCHA resident referrals and

provide residents with access to business development services close to their home. 2016 saw an 88% increase in the number of resident business development connections than the year prior.

ii. Food Business Pathways Program

In 2016, NYCHA, the NYC Small Business Services (SBS) and non-profit partners launched year 2 of the NYCHA Food Business Pathways Program through support from Citi Community Development. The program bridges the financial, education and access to affordable space gap for NYCHA public housing residents and NYCHA section eight voucher holders seeking to formally launch and grow their food businesses. In 2016, 79 residents enrolled and 59 completed the program throughout two cohorts. To date, 139 NYCHApreneurs have completed the program, 88 businesses have been formed, and 23 have received grants to cover approximately 5 months in a commercial kitchen incubator.

iii. Childcare Business Pathways Program

Building on the success of the Food Business Pathways program, NYCHA in conjunction with SBS, and non-profit partners Business Outreach Center Network, and Childcare Development Support Corporation, began a second business pathways program called Childcare Business Pathways (CBP), also supported by Citi Community Development. CBP is a free 10-week intensive business course tailored specifically for NYCHA residents with a passion for starting a home-based childcare business. Twenty-six (26) NYCHA residents are enrolled in Cohort 1 of CBP, which began in October 2016.

Section 3 Requirements:

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

i. Section 3/Resident Employment Program

In 2016, REES facilitated 1317 direct job placements. These job placements included 984 resident job placements leveraged through outside contractors for various projects at NYCHA developments in accordance with the employment related provisions of the US Department of Housing and Urban Development (HUD) Section 3 mandate. Of the 984 residents hired, a total of 417 hires were made through NYCHA's Resident Employment Program (REP). The Resident Employment Program (REP) is a NYCHA-sponsored program that requires that 15% of the labor costs on a contract be expended on resident hiring. With few exceptions, REP applies to construction contracts valued in excess of \$500,000.

ii. Jobs-PlusJobs-

Plus is a proven place-based employment program that provides customized employment services, financial counseling, rent-based incentives and peer-to-peer support to working age residents in twenty-three (23) NYCHA Developments. A collaboration between NYCHA, Human Resources Administration (HRA), the Center for Economic Opportunity (CEO), and the Department of Consumer Affairs (DCA), there are currently eight Jobs-Plus sites operating citywide under the Jobs-Plus expansion, a signature component of the Young Men's Initiative. There is a ninth site operating in the Bronx and supported by the Social Innovation Fund. In total, the nine Jobs-Plus sites serve nearly 25,000 working age NYCHA residents. The Jobs-Plus expansion marks a key milestone in NYCHA's new approach to better support its residents to increase their income and assets by working with public and private partners to identify gaps in service offerings and to develop strategies that attract high quality resources and proven economic opportunity models, like Jobs-Plus, into public housing neighborhoods. In 2016, Jobs Plus achieved 1420 resident placements collectively.

Below are the existing Jobs Plus sites and target developments:

Jobs-Plus Site Location	Developments Served
East Harlem (<i>Hostos Community College</i>)	Jefferson Houses
South Bronx Site 1 (<i>Bronxworks</i>)	East 152nd Street-Courtlandt Avenue, Moore, Betances Houses
South Bronx Site 2 (<i>East Side Settlement House</i>)	Mill Brook Houses
Western Queens (<i>Urban Upbound</i>)	Astoria Houses
Lower East Side (<i>Henry Street Settlement House</i>)	Wald, Riis II Houses
Central Brooklyn (<i>Bedford Stuyvesant Restoration Corporation</i>)	Armstrong I and II, Marcy, Lafayette Houses
Northwest Bronx (<i>Goodwill Industries</i>)	Sack Wern, Clason Point Gardens, Monroe Houses
Staten Island (<i>Arbor ResCare</i>)	Todt Hill, Mariner's Harbor, South Beach, West Brighton I, Stapleton, Richmond Terrace Houses
Brownsville Brooklyn (<i>DB Grant Associates</i>)	Van Dyke I, Brownsville Houses

In September 2016, NYCHA was awarded a \$2 million grant from HUD for the Jobs Plus Initiative Program. HUD's commitment will allow NYCHA will to bring the Jobs Plus program to Pennsylvania-Wortman Houses located in East New York, Brooklyn with an opening date scheduled for March 2017.

Community Development Block Grant Program

In 2016, a total of \$9,531,626 in Community Development Block Grant (CD)-funded contracts was subject to the Section 3 requirements. Three businesses with a combined contract value of \$531,613 qualified as Section 3 businesses. There were 44 new hires associated with covered projects, of which 11 persons were Section 3 residents. Please see the full "Section 3 Summary Report" for CDBG in the Appendix.

Table 13 - CDBG Section 3 New Hires in 2016

Category	New Hires	Number of Section 3 Residents
Officials and Managers	1	0
Service Workers	31	11
Professional	10	0
Technical	1	0
Clerical	1	0
Total	44	11

HPD Home Program

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

- HPD includes information on Sec. 3 requirements in the equal opportunity packages provided to HPD loan recipients, contractors and their sub-contractors at weekly Pre-Award Conferences.
- HPD includes the Section 3 clause in its HUD-funded contracts, alerting each entity of the program and its obligations. The clause also requires its placement in every subcontract subject to Section 3 regulations.
- HPD has created and posted a HUD Section 3 webpage at the HPD website. The webpage contains an explanation of the regulations, reporting forms, a Section 3 Business Concern application, a Business Concerns directory and a listing of employment/training referral sources. The webpage provides firms working with the Agency easy access the information they need to comply. It is available here: <http://www1.nyc.gov/site/hpd/developers/compliance-section3.page>
- HPD has procured and is implementing a new web based payroll management system. The LMAC (Labor Management And Compliance) service collects, stores, and manipulates business profile and certified payroll information as required by labor laws and socioeconomic mandates, including Section 3.
- HPD, in line with the policy of the City of New York, posts job notices on its website. Job notices are also available at the NYC Dept. for Citywide Administrative Services website and at public bulletin boards throughout the City.
- HPD has partnered with the NYC Department of Small Business Services (DSBS) to provide the employment and training services of DSBS's Workforce1 Centers. HireNYC is a free program designed to help New Yorkers access training and jobs through the City's purchases and investments. Under HireNYC, the NYC Department of Small Business Services' Workforce1 provides high-quality recruitment services to employers and high-quality employment services to jobseekers. HPD is now partnering with HireNYC to better connect low-income workers to construction job opportunities generated by our affordable housing development projects.

Emergency Solutions Grant

The US Congress directed HUD to take the lead in requiring all Continuum of Care jurisdictions nationwide to have unduplicated client-level data: the Homeless Management Information System (HMIS). In addition to this HUD funding requirement, the NYC Department of Homeless Services (DHS) and the NYC Coalition on the Continuum of Care (NYC-CCoC) used HMIS data to describe of the current state of homelessness in NYC. This analysis provides a greater understanding of service usage, effectiveness and potential gaps in service for CCoC planning purposes. HMIS data is also used to understand how to realign housing resources and service delivery within the NYC-CCoC, and how to create links to mainstream programs that are essential to the prevention of homelessness and to sustaining formerly homeless people in permanent housing. All of the CoC-funded projects actively participating in the NYC HMIS. The 2013 CAPER reports were generated from the NYC HMIS. Due to the transition to the 2014 data standards the 2014 CAPER was not generated from HMIS, instead the data was generated from the DHS CARES system and imported to HMIS. The 2016 CAPER reports were generated from the NYC HMIS and subsequent reporting will be from the NYC HMIS data system.

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

Housing Opportunities for Persons with AIDS

The City of New York does not use its HOPWA funds for construction or rehabilitation of permanent supportive housing. Thus there were no training, employment, and contracting opportunities generated by HOPWA funding in 2016 (Section 3-related beneficiaries).

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

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

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

There are four key elements to the City's plan, released in the spring of 2016 – prevention, rehousing, street homelessness outreach and improving shelter conditions – and a total of 46 individual systemic reforms. More information on these changes can be found in report on the Review of Homeless Service Agencies and Programs

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

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

Senior Resident Advisor Program

The Senior Resident Advisor Program consists of trained paraprofessionals who provide crisis intervention services and case management coordination. Services provided include assistance in obtaining entitlements, health services, mental health services, assistance in maintaining independent

daily living, home care services, senior legal services, outreach, meals for the homebound, and recreational activities (through NYCHA Senior Centers). Each program includes a substantial resident volunteer component (Floor Captains) to ensure daily contact with each elderly resident. NYCHA operates this program at 16 senior-only developments.

During 2016, the program provided 18,566 units of support services to an average of 539 residents monthly, and conducted 3,798 home visits.

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

Below, we detail efforts taken to overcome the effects of impediments previously identified.

The investments and policies the City advocated for in *Housing New York*, which are being implemented daily, are based on a balanced approach to affordable housing development and preservation. The *Housing New York* plan focuses both on building and preserving affordable housing in areas of higher opportunity, and on using the preservation and development of affordable housing, along with other investments, to help neighborhoods in need of revitalization. In high opportunity neighborhoods, the challenge is providing affordable housing despite very high land and other costs. Possible strategies for addressing that challenge largely involve harnessing the strong private market to provide affordable housing, through mandatory and voluntary inclusionary housing policies, tax incentives, and making regulations and regulatory processes more efficient and less costly.

In neighborhoods in need of revitalization, the challenge is that the private market generally does not invest without some type of government support. In HUD's recent clarification of the Affirmatively Further Fair Housing rule, the agency laid out a framework for investing in areas of lower opportunity. HUD defines these investments as "realistic planned activities to improve the quality of life in areas that lack public and private investment, services and amenities, have significant deteriorated and abandoned properties, or other indicators of community distress." These activities include: rehabilitating housing; offering economic incentives for housing developers/sponsors and businesses; securing financial resources to fund housing improvements, community facilities and services, and business opportunities in neighborhoods in need of revitalization; and preserving affordable housing when a community is being revitalized to promote integration.

To address both sets of challenges, Mayor de Blasio announced *Housing New York*, a five-borough, ten year plan that outlines more than 50 different initiatives to build or preserve 200,000 units of high quality housing in diverse and livable neighborhoods. Those initiatives, outlined in detail in *Housing New York*, http://www.nyc.gov/html/housing/assets/downloads/pdf/housing_plan.pdf, are meant to overcome the impediments to fair, accessible and affordable housing in the City.

A report on the progress the City has made on those initiatives can be found at <http://www1.nyc.gov/assets/hpd/downloads/pdf/about/hny-three-years-of-progress.pdf>. We describe below the most sweeping of those initiatives:

A key example of the City's work to create affordable housing in higher-opportunity neighborhoods is the passage of Mandatory Inclusionary Housing (MIH). In 2016, the local City Council adopted the City's MIH program, which is designed to increase the development of affordable housing for a wider range of

New Yorkers in every neighborhood across the entire city, thereby increasing housing choice. MIH is a requirement that whenever zoning changes create the opportunity to develop a significant amount of new housing, developers must provide 20 to 30 percent of that housing as permanently affordable housing. This action ensures that affordable housing is stitched into the fabric of growing neighborhoods and is included in private individual sites across the city – from those with the lowest crime and the best schools to those in which affordable housing can serve as an anchor for comprehensive community redevelopment.

Further, rezoning parts of the city to create additional opportunity for residential density that will trigger the new MIH, both in area-side rezonings and in site-specific rezonings, itself helps to reduce residential segregation, as it opens up areas for growth across the City. With MIH, the City is going as far as financial feasibility will allow to ensure that as neighborhoods grow, a large portion of the new housing built is mixed-income and has affordable units that are income-restricted forever. In addition, changes to the zoning resolution described below created additional opportunity for affordable housing across the city by reducing parking requirements and other regulations that increased the cost and risk of development.

HPD also revised its Qualified Action Plan to incentivize developments in neighborhoods that provide better opportunities for their residents. To ensure that everyone stays focused on the need to both improve the access households have to high opportunity neighborhoods and to make all the City's neighborhoods higher opportunity, the City now requires respondents to requests for proposals to develop affordable housing to articulate how their proposals will affirmatively further fair housing, see, e.g., [<http://www1.nyc.gov/site/hpd/developers/request-for-proposals/Dinsmore-Chestnut-RFP.page>] and looks at the neighborhood's needs and challenges. See, e.g., <http://www1.nyc.gov/assets/hpd/downloads/pdf/East-New-York-housing-plan.pdf>.

The City also adopted new financing programs designed to support mixed-income affordable housing in all types of neighborhoods. This includes reaching down to 30 and 40 percent AMI (ELI and VLI housing) using solely local funding sources. Incentivizing truly mixed-income housing ensures that even buildings with 100 percent affordable housing provide housing for a range of incomes, thereby attracting a more diverse population into every neighborhood and helping to deconcentrate poverty and reduce racial and ethnic segregation.

The City continued to promote its 421-a tax exemption reforms (which finally passed in 2017) which are specifically designed to provide a strong economic incentive for developers to build mixed-income housing. Whereas a previous version of the program allowed rental housing to be built in many areas of the City without any income restrictions, the new program incentivizes developers both to house lower income households in higher opportunity areas, and to create long-term middle-income housing in areas of the city that have been disproportionately poor and are the most segregated.

HPD adopted a variety of new preservation tools to keep buildings of all types and sizes (both subsidized and never before subsidized) across the five boroughs affordable, even in those neighborhoods in which infrastructure and other constraints prevent significant increases in density. HUD cites the “displacement of residents due to economic pressures” as a contributing factor of segregation—HPD's preservation work directly counteracts this from happening. Absent HPD's preservation financing intervention, existing affordable housing developments are sometimes able to go “market rate,” meaning that there is a tremendous economic pressure on residents to leave their apartment given

what would be the loss of strict regulatory agreements. In New York City, tenants in these buildings tend to be extremely low-, very low-, low-, and moderate-income residents. To mitigate the threat of displacement where the City helps to build new affordable housing, the City both works to preserve all existing affordable housing nearby and works to help neighborhood residents who wish to remain in their Community District secure affordable housing there.

The City's efforts to reduce impediments to fair, accessible, affordable housing are outlined in more detail below (and again, a full discussion of the recent efforts is attached).

Impediments to Affordable Housing and Actions to Remove Impediments

The City has made significant strides in removing impediments to fair housing choice over the past few years.

Mayor de Blasio's Housing New York, A Five-Borough Ten-Year Plan, identified possible impediments that, if removed, would facilitate the achievement of the Mayor's ambitious affordable housing goals, increase the affordable housing available in every neighborhood, and revitalize neighborhoods that have suffered from a lack of investment, in order to provide more opportunities for families and household to move to, or remain stably housed in the neighborhoods in which they want to live.

The Plan indicated that such impediments to new housing take a variety of forms: Certain existing regulations unduly burden or restrict the development of affordable housing. Amending regulations to remove these impediments would encourage the construction of new housing, and help to ensure that affordable housing is available in a wider range of neighborhoods.

Parking requirements:

- In "Inner Ring" neighborhoods that are located outside the Manhattan core but are accessible to transit, employment centers, and services, per-unit parking requirements for affordable housing exceed car ownership rates among low-income households. Where parking is built for affordable housing, spaces often go unused. The construction of unnecessary parking spaces increases construction costs and may deter development or reduce the number of affordable units that can be produced. Appropriate reductions in parking requirements for affordable housing developments near public transit were therefore required.

In early 2016, the Department of City Planning proposed revisions to the Zoning Resolution to address those impediments. The Department's revisions to the Zoning Resolution, commonly referred to a Zoning for Quality and Affordability (ZQA) were adopted by the Planning Commission in early February 2016 and subsequently approved by the City Council, with modifications in late March 2016. More information on these zoning text amendments is found on DCP's website: www.nyc.gov/planning.

ZQA creates a "Transit Zone" which consists of multifamily districts that have low car ownership rates, are accessible to transit, retail and other services. The purpose of the modification in parking requirements is to facilitate affordable housing development for seniors and income-restricted housing. ZQA provides for reduction or waiver of parking requirements for accessory group parking facilities, and reduction of existing parking spaces for income-restricted housing units and for affordable independent residences for seniors.

Building Envelope Constraints on Voluntary Inclusionary Housing:

- A voluntary inclusionary program adopted in 1987 to provide incentives for developers of market rate housing to build affordable housing in some of the City's most advantaged neighborhoods was not working as well as intended because the zoning resolution failed to provide sufficient flexibility in the building "envelope" to allow the additional density intended to be an incentive. Further, developers found the program's administration to be difficult and time-consuming.

Because of higher standards for housing, the rise of green technologies, and new methods including modular construction, today's residential buildings typically have higher floor-to-floor heights than the buildings of 30 years ago, when many of the height and setback regulations of zoning were established. Standards for retail space have also increased to provide an improved shopping environment and to allow space for modern ventilation and other mechanical systems. Especially when combined with the floor area bonus allowed through the Inclusionary Housing Program, these factors can make it difficult to accommodate the full amount of housing allowed within the permitted height and setback limits, and therefore defeat the intention of the voluntary inclusionary program.

The ZQA provides greater flexibility in building design and floor height requirements for Inclusionary Housing buildings. ZQA also allows more flexibility in the minimum required setback from a street line above the base height in a contextual building; and modifies the "transition rule", which limits the height of buildings in higher-density districts when they adjoin certain lower-density districts.

At the same time, HPD revised its processes for approving inclusionary housing projects, cutting the time required for the review dramatically by streamlining the review procedures, putting everything online, and making all the processes more transparent. As a result, HPD approved a record number of affordable units built through the inclusionary program, many of which are in the highest opportunity neighborhoods in the City. To date, 11,039 affordable housing units have been produced through the Voluntary Inclusionary program and 125 affordable housing units created through Mandatory Inclusionary.

Regulations that Prevented the City from Meeting the Needs of the City's Seniors:

Outdated provisions in the zoning resolution made it difficult to meet the needs of the City's senior households throughout the City. The ZQA expanded the range of facilities that can be built in the City to affordable independent residences for seniors (AIRS), and long-term care facilities (LTCF). ZQA's waiver of minimum parking requirements, and changes to allow existing affordable senior buildings with underused parking lots to reclaim those spaces for additional affordable housing also will help to open neighborhoods to more affordable and affordable senior housing.

Limits on Unit Sizes Which Impeded the City's Efforts to Meet the Needs of a Diverse Population:

- Developing housing that meets our changing demographics and the evolving ways New Yorkers live is critical. The City's housing stock currently does not adequately reflect the needs of the growing number of one- and two-person households. Moreover, many larger families face significant rent burdens because of lack of affordable two and three bedroom units.

- The City had many regulations that restricted the development of smaller housing units. Zoning regulations established a minimum unit size of 400 square feet for multifamily housing in many areas, limited the density of units based on lot area, and prevented the construction of a building consisting solely of units built at the minimum square footage. However, projects in other cities and pilots in New York City are demonstrating that developers can build compact units that are livable, safe, and healthy and contribute a new set of housing options for small households. A compact unit includes a kitchen and bathroom and is often smaller than allowed under current regulations. This housing type is likely most appropriate in highly transit-accessible neighborhoods that contain a large proportion of small households.

In 2012, the City launched a pilot to study the feasibility of allowing a building of “micro-units.” In the fall of 2016, the City’s first multifamily micro-unit residence officially opened. The micro-unit development contains 55 residential units that range from 260-360 square feet with kitchens and bathrooms, including 8 affordable units for veterans. The pilot helped the City identify zoning and other changes to allow the construction of both compact units and a greater number of small units per building.

ZQA eliminates minimum unit sizes for high density districts, with an exception for affordable independent residences for seniors where minimum unit size is reduced to 325 square feet in all districts. At the same time, HPD issued revised guidelines about unit sizes for affordable buildings, and suggestions about how to meet accessibility requirements within smaller units, at <https://www1.nyc.gov/assets/hpd/downloads/pdf/HPD-Design-Guidelines.pdf>.

Impediments to the Fair Marketing and Allocation of Subsidized Housing:

Expanding affordable housing opportunities also required reforms in the City’s tenant selection rules. In October 2016, HPD and HDC introduced new rules to make the lottery process fairer, more transparent, and more effective at targeting affordable housing to those most in need.

The new rules:

- limit the use of credit ratings and Housing Court history so that applicants who have the ability to pay rent and, by all other indicators, can be expected to be responsible tenants, are not rejected solely on the basis of a low credit score or their experiences with Housing Court;
- set new standards for homeless shelter referrals, addressing the special challenges that formerly homeless households, who are likely to have eviction histories, face in meeting eligibility criteria;
- impose far lower limits on personal assets to more accurately target the neediest households;
- set stricter guidelines to ensure that people who qualify for affordable housing will use their new home as their primary residence.

By introducing greater consistency and streamlining the process, the new rules should not only be fairer, but make leasing affordable apartments faster, improve applicants’ experience, and limit developers’ marketing costs.

To further promote equal access to opportunities for affordable housing, the lottery system, **Housing Connect**, is now available in seven languages. HPD and HDC also collaborated with the Mayor's Office for People with Disabilities (MOPD) to make the online system more accessible. HPD and HDC also launched **Mitchell-Lama Connect**, to allow electronic applications to lotteries for apartments in Mitchell- Lama developments when they open their waiting lists.

In addition, HPD has expanded its **Housing Ambassadors program** – a network of non-profit organizations that help people apply for affordable housing – to enhance support for applicants in diverse communities across the city. And based on the findings of a Citi Community Development-funded study – Improving Access to Affordable Housing Opportunities – the City released a new guide, Ready Set Apply!, designed by the Center for Urban Pedagogy (CUP).

Impediments to Helping our Tenants and Other Low-Income Households Increase Their Incomes:
The ability to secure affordable housing in inclusive mixed-income neighborhoods is based on the provision of units and the household's ability to pay affordable rents. In addition to promoting the development of new affordable housing, the City can improve the availability of housing in all neighborhoods by working to increase income and employment for New Yorkers. To this end, the City is working on several initiatives to expand workforce opportunities.

The City adopted a \$15 minimum wage for all City government employees and employees who provide contracted work for the City at social service organizations – meaning that by the end of 2018, approximately 50,000 additional employees will see their wages boosted to \$15 an hour, making New York City a national leader in the fight to raise the wage. See <http://www1.nyc.gov/office-of-the-mayor/news/019-16/mayor-de-blasio-guaranteed-15-minimum-wage-all-city-government-employees--#/0>.

The City has developed new programs coordinated through the Office of Workforce Development to ensure that our housing investments are providing jobs for residents of the surrounding communities and are helping to develop a more skilled workforce. HireNYC, for example, is a free program designed to help New Yorkers access training and jobs through the City's purchases and investments. Under HireNYC, the NYC Department of Small Business Services' Workforce1 provides high-quality recruitment services to employers and high-quality employment services to jobseekers. HPD is now partnering with HireNYC to better connect low-income workers to job opportunities generated by our affordable housing development projects. HPD requires developers, general contractors, and subcontractors working on projects receiving more than \$2 million in City subsidy to share job openings in entry- and mid-level construction positions with HireNYC and to interview the qualified candidates that HireNYC refers for those openings. For more information, see <http://www1.nyc.gov/site/hpd/developers/hirenyc.page>

Similarly, HPD now requires developers/borrowers on all projects for which HPD contributes two million dollars or more to spend at least [a quarter of HPD-supported](#) costs on certified M/WBEs over the course of design and construction of an HPD-subsidized project. All payments to certified M/WBEs performing construction or providing professional services count toward the goal. More information is available at <http://www1.nyc.gov/site/hpd/developers/mwbe-build-up-program.page>

In addition, HPD has worked to develop the capacity of MWBE developers and contractors through three path-breaking initiatives:

- [Building Capacity Workshop series](#): Builds the capacity of M/WBE and non-profit developers through professional development, networking, and mentoring programs;
- [New York City Acquisition Fund](#): Improves access to capital for M/WBE developers with low-cost financing options for site acquisition and predevelopment costs;
- [M/WBE Building Opportunity RFP](#): Enhances the ability of M/WBE developers to compete more effectively for HPD support by providing targeted new construction and preservation opportunities.

For more information about those programs, see

<http://www1.nyc.gov/site/hpd/developers/request-for-proposals/MWBE-building-opportunity-RFP.page>

To ensure that developers are designing projects with the intention of providing opportunities for low-income workers and for MWBE firms to develop better career and business trajectories, the City's Qualified Action Plan includes competitive points for increasing the participation of racial and ethnic minorities, women or local residents in the construction or management of affordable housing. See <https://www1.nyc.gov/assets/hpd/downloads/pdf/developers/2016-qualified-allocation-plan.pdf>

Similarly, competitive processes for awarding City-owned land for the development of housing and jobs-creating retail and commercial facilities provide incentives for local hiring plans and workforce development strategies. See, e.g., <http://www1.nyc.gov/site/hpd/developers/rfp-rfq-rfo.page>.

Please refer to New York City's narrative response within this eCAPER module to the question regarding the City's actions to reduce the number of poverty-level families in 2016.

Evaluation of the Current Fair Housing Complaints

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

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

Once a housing discrimination complaint has been filed, an investigation is commenced to ascertain if the complaint has merit. This section describes current status of fair housing discrimination complaints filed between January 1, 2016 to December 31, 2016 where a "probable cause" for the discrimination has been found.

A. Probable Cause Determinations Issued by the Secretary of HUD

In 1999, the New York State Division of Human Rights (NYS DHR) was accepted into the federal Fair Housing Assistance Program (FHAP) because its new fair housing law was deemed to be substantially equivalent

to the Federal Fair Housing Act. As a result, all cases received by HUD that are in the State of New York are referred to NYSDHR for investigation.

During the period of January 1, 2016 through December 31, 2016, in the New York City area there were 11 Probable Cause determinations issued by the NYSDHR under the following basis: nine (9) probable cause determinations involved claims of disability discrimination; one (1) probable cause determination involved claims of discrimination based on the complainant's race/color; one (1) involved national origin discrimination; one (1) involved claims of discrimination based on the military status of the complainant; four (4) probable cause determinations involved claims of discrimination based on familial status; two (2) probable cause determination involved claims of violation of DHR Conciliation or Mediation Agreements; one (1) involved claims of discrimination based on the complainant's creed; three (3) probable cause determinations involved a claim of retaliation for exercising the complainant's legal rights; and two (2) probable cause determination involved a claim of age discrimination.

Four (4) cases involved denial of reasonable accommodation for a disability; three (3) cases involved denial of equal terms, conditions, and privileges of tenancy; three (3) cases involved refusal to rent; three (3) cases involved evictions/threatened eviction; two (2) cases involved denial of reasonable modification; one (1) case involved refusal to sell housing; and five (5) cases involving other housing discriminatory practices.

During this time there were three (3) complaints formally settled before the Division; six (6) complaints are pending a hearing; and, two (2) complaints have been transferred to the Supreme Court for adjudication at either the complainant's or respondent's request.

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

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

Eastern District

During the time period of January 1, 2016 to December 31, 2016, the U.S. Department of Housing and Urban Development did not refer any cases to the Eastern District Office for prosecution concerning alleged instances of housing discrimination within the City of New York.

Southern District

During the time period of January 1, 2016 to December 31, 2016, the U.S. Department of Housing and Urban Development referred 3 cases to the Southern District Office for prosecution concerning alleged instances of housing discrimination within the City of New York.

The Southern District Office filed one Complaint and simultaneous Consent Decree against a Manhattan developer for failing to design and construct an apartment building that was not fully accessible to persons with disabilities (*U.S. v. Glenwood Management Corporation et al.*, (16 Civ. 836 (JPO))). Under the Consent Decree, entered February 12, 2016, the must make certain retrofits so that the buildings are accessible for people with disabilities. The settlement also provides for a fund for victims, a civil penalty, and a fund for accessibility improvements.

The Southern District Office also filed a Complaint against a second developer for failing to design and construct an apartment building that was not fully accessible to persons with disabilities (*U.S. v. Webster AV Management.*, formerly *U.S. v. Strulovitch*) 16 Civ. 9913 (PGG)). The Complaint was filed December 23, 2016 and the suit is still pending. Lastly, the District filed a Complaint against a Manhattan co-operative for failing to offer reasonable accommodations to tenant shareholders with disabilities who need service animals (*U.S. v. 111 East 88th Street Partners*, 16 Civ. 9446 (JCF)) The Complaint was filed December 7, 2016. The suit is pending.

Washington, D.C. Department of Justice Office

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

C. Fair Housing Complaints made to Local Agencies

In 2016, the Commission on Human Rights filed 275 complaints related to housing discrimination. The complaints consisted of claims involving:

Age	16
Aiding/Abetting	2
Alienage	9
Citizenship Status	22
Color	4
Disability	122
Gender	36
Interference with Protected Rights	1
Lawful Source of Income	129
Marital Status	5
National Origin	29
Partnership Status	1
Presence of Children	20
Race	65
Relationship/Association	8
Religion/Creed	18
Retaliation	27
Sexual Orientation	20
Victim of Domestic Violence/Sex Offense /Stalking	1

The Commission also engaged in 171 Commission-initiated investigations into housing discrimination in the following areas: lawful source of income (the use of government rental subsidies such as Section 8 vouchers): 137, gender: 27, disability: 6, race: 2, association: 2, national origin: 1, age: 1, and retaliation: 1.

In addition, the Commission’s Law Enforcement Bureau conducted 257 tests to investigate housing discrimination. 210 tests focused on source of income discrimination and 47 tests focused on gender identity/gender expression discrimination. The tests uncovered 75 incidents of discrimination: 53 on the basis of source of income and 22 on the basis of gender identity/gender expression.

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

Claims of source of income discrimination in housing continued to rise in 2016, following a two-year trend. In 2015, the Commission’s Law Enforcement Bureau filed 90 source of income cases, up from 22 in 2014. In 2016, there were 129 source of income complaints filed, 10 of which were Commission-initiated.

NYCHA’s Department of Equal Opportunity (DEO) investigates residents’ or applicants’ housing discrimination complaints internally and recommends corrective or conciliatory action where necessary. NYCHA DEO also investigates applicants’ claims of denial of eligibility based on disability. In 2016, NYCHA opened 24 Fair Housing investigations and reviewed 0 housing eligibility disability matters as referenced below. In 2016, NYCHA DEO reduced its backlog of Fair Housing investigations by 50%. NYCHA’s Law Department investigates complaints filed by residents and applicants with the State Division of Human Rights, the City Commissioner of Human Rights, and/or HUD.

Total number of housing discrimination complaints filed with DEO in 2016: 24

Complaint Basis	Count of Complaints Received
Multi-Basis	6
COLOR	1
DISABILITY	3
GENDER	2
LAWFUL SOURCE OF INCOME	5
RACE	3
SEXUAL HARASSMENT	1
SEXUAL ORIENTATION	2
VDV	1
Grand Total	24

Total number of probable cause determinations: 0

No applicants who were determined ineligible for public housing asserted the denial was based on disability between January 1, 2016 and December 31, 2016. The number of applications where ineligibility determination was revoked: 0.

Community Outreach by the Commission on Human Rights

In 2016, the Commission’s Fair Housing Program continued to build on its work to promote equal opportunity for housing under the New York City Human Rights Law. These activities included: providing training for housing providers and community groups, including 207 fair housing workshops and presentations to 3,574 attendees, facilitating problem-solving discussions with housing providers to resolve housing complaints; assisting the Law Enforcement Bureau in investigations of unlawful real estate practices; providing technical assistance to tenants as part of the Citywide Task Force in Housing Court; and participating in community activities which encouraged harmonious intergroup relations and neighborhood stability.

On June 15, 2016, CCHR's annual Fair Housing Symposium took place at CUNY Law School, in Queens in collaboration with NYC Housing Preservation and Development. The symposium was attended by 150 tenant advocates, attorneys, service providers, and tenant organizations. The symposium included two tracks, one for tenants and tenant organizers focusing on know your rights information, and one for advocates, attorneys, and service providers focusing on litigating claims under the NYC Human Rights Law, in two specific areas, tenant harassment and source of income discrimination. 2016 also marked the birth of the Commission's Fair Housing Pilot Project, a collaboration between the Commission's Community Relations Bureau and its Law Enforcement Bureau to respond to complaints of source of income discrimination with timely pre-complaint interventions. This work will expand in 2017.

Fair Housing Programs within the New York City Housing Authority

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

NYCHA's Non-discrimination Training

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

NYCHA's Services for People with Disabilities

Through the DEO Services for People with Disabilities Unit (SPD), NYCHA will continue to strengthen its relationships with advocates and organizations that assist people with disabilities. SPD provides assistance and information to applicants and residents with disabilities to assist them in obtaining decent, affordable and accessible housing, and assists in processing reasonable accommodation requests of NYCHA residents with disabilities. In 2016, SPD responded to or assisted with 298 reasonable accommodation matters from residents, applicants, Section 8 voucher holders and/or their respective advocates. The SPD also handled approximately 971 housing related matters from clients who either telephoned or were walk-ins. Housing applicants, residents, Section 8 voucher holders and others in need of assistance with disability issues may call the "Hotline" at (212) 306-4652 or TTY at (212) 306-4845

NYCHA Applicants, Residents and Section 8 voucher holders with a disability may request reasonable accommodations to participate in NYCHA's programs, services, or activities. Residents may contact their property management office Monday through Friday from 8:30AM to 4:30PM, or the NYCHA SPD at 212-306-4652, or TTY telephone at 212-306-4845, Monday through Friday, from 8:30AM to 5:00PM. NYCHA property management staff at these locations provides assistance to facilitate reasonable accommodation requests. Section 8 Participants and Applicants for Public Housing may contact NYCHA's Customer Contact Center at (718) 707-7771, or local NYCHA Walk-In Centers offices in the Bronx and Brooklyn New York, or NYCHA's SPD, or TTY telephone at 212-306-4845, Monday through Friday, from 8:30AM to 5:00PM for reasonable accommodation assistance. In 2016 there were 261 requests reasonable accommodations handled by the NYCHA Public Housing Reasonable Accommodation Coordinator. There were 6,788 requests for reasonable accommodations handled by the Section 8 Reasonable Accommodation Coordinator.

NYCHA's Services for Homeless Families

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

Assisting LEP Persons

In addition to its ongoing language access activities, including translating vital documents and providing interpreters at the Annual Plan public hearing and otherwise as needed, NYCHA also overhauled and updated its Language Assistance Services Implementation Plan in 2015 as part of its ongoing efforts to promote meaningful access of persons with limited English proficiency to its programs and activities

In 2016, NYCHA implemented a mandatory LEP training program for staff regarding language assistance services. NYCHA's Department of Communications also conducted briefing sessions with managerial staff servicing its developments regarding language access for NYCHA residents. NYCHA has also posted the Language Assistance Services Policy on its website.

HPD Fair Housing Services Program

HPD's Fair Housing Services Program raises public awareness of the protections available to prevent discriminatory practices and policies in the housing marketplace while also expanding housing choice.

HPD's Fair Housing Services Program effort is the result of an interagency Memorandum of Understanding (MOU) between the New York City Department of Housing Preservation and Development and the New York City Commission on Human Rights (CCHR). CCHR's mission is to enforce the most comprehensive local human rights law in the country. The mission of CCHR complements HPD's dedication to curbing housing discrimination. This mutually beneficial agreement promotes housing choice by raising awareness of discriminatory behaviors, describing managerial and legal remedies and promoting access to housing opportunities.

The City's Human Rights Law, like the Federal Fair Housing Act, prohibits housing discrimination based on a person's race, color, religion, sex, disability, national origin, familial status, sexual orientation, age, alienage and citizenship status, marital status, partnership status, lawful occupation, gender, or lawful source of income. The City's Human Rights law also prohibits discrimination based on arrest or conviction record, caregiver status, credit history, gender identity, pregnancy, unemployment status or status as victim of domestic violence, sexual violence, or stalking. Because the City's Human Rights Law is inclusive of the Federal Fair Housing Act, the MOU is compliant with HPD's Federally-mandated obligation to promote fair housing.

The Fair Housing Services Program is focused on raising the awareness of building owners and project development entities working with the Agency of their duty to comply with the Federal Fair Housing Act and the NYC Human Rights Law. CCHR and HPD staff review fair housing obligations during HPD's weekly Pre-Award Conferences, wherein recipients of HPD funding are also informed of equal opportunity, business utilization, and workforce participation provisions found in HPD contracts. In calendar year 2016 HPD conducted 51 conferences, which were attended by over 500 representatives of businesses involved with the Agency as loan or contract recipients.

HPD, in partnership with local political and community leaders, co-sponsors community forums ("Landlord Resource Fairs", "Tenant Resource Fairs" and "Small Homeowner Resource Fairs"). The forums provide information on housing rights, HPD housing lotteries, low cost repair loans, housing court procedures and rent protections. The forums also provide attendees the opportunity to meet with representatives of NYC agencies (including CCHR staff) and community based organizations with their questions and concerns. In calendar year 2016 HPD co-sponsored 24 workshops, attended by 1,911 New Yorkers.

CCHR participates in community forums ("Owners Night" and "Tenant Nights") sponsored by HPD, in partnership with local political and community leaders, to inform the public of housing opportunities and regulations, and to answer questions related to fair housing.

HPD and CCHR conducted three "Fair Housing in Practice" workshops for 101 representatives of building owner and development entities involved in Agency programs. The workshops promote understanding of how to avoid discriminatory practices and policies; provide an overview of tenant/buyer rights; and included a presentation on HPD affirmative marketing guidelines.

HPD and CCHR also collaborated to co-sponsor the fourth annual Fair Housing Symposium. This event featured panel discussions by representatives of government agencies and community based organizations before an audience of over 150 representatives of social service agencies and real estate management firms. The Symposium explored housing rights, available rental subsidies, source of income discrimination and housing litigation. The Symposium was designed to encourage sound and prompt referrals of instances involving possible discrimination.

HPD and CCHR have created a City website that promotes awareness of fair housing practices and enforcement. Fair Housing NYC is a visually appealing website that provides the public with a broad range of fair housing-related content and referral services. The site includes summaries of relevant laws, examples of discriminatory practices and policies, and links to CCHR and HPD resources. 61 complaints were reviewed by HPD and CCHR staff last year. The site can be accessed at: nyc.gov/fairhousingNYC.

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

On January 29, 2013, Congress passed the Disaster Relief Appropriations Act, 2013, which requires grant recipients to certify that they will each affirmatively further fair housing when using grant money.

Affirmatively furthering fair housing includes conducting an analysis of impediments to fair housing choice and taking actions to overcome the identified impediments.

As a Community Development Block Grant Disaster Recovery program, the Build it Back program (the "Program") seeks to meet the national objectives of benefitting low- and moderate-income (LMI)

persons, preventing and eliminating blight, and meeting particularly urgent needs of homeowners who sustained damage to their properties as a result of Hurricane Sandy. Various factors including the location of a property and the nature of damage sustained by the property result in different prospective assistance pathways for applicants including reimbursement, moderate rehabilitation, rebuild, elevation, and acquisition.

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

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

In neighborhoods affected by the storm and shifts in coastal flood hazards, which necessitate changes to the form of buildings, local planning studies and community outreach is required to identify and implement land use and zoning changes to facilitate rebuilding and increased resilience. Neighborhood studies take into account current and projected future flood hazards, land use, housing, access to shopping, services, jobs, and transportation, built form and quality of the public realm, economic challenges of rebuilding and flood insurance costs, and other factors.

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

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

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

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

219 NYCHA buildings across 33 developments sustained physical damage as a result of Hurricane Sandy in October 2012. NYCHA is utilizing its Sandy Recovery Program to rebuild better and smarter, significantly improving structural resiliency to protect residents from the effects of future disasters and climate change. The program includes a 24-member Community Outreach Team, with 13 NYCHA resident members, to communicate with residents regarding resiliency efforts and to involve them in the recovery process.

In 2015, NYCHA finalized an agreement under which it will receive a total of \$3 billion in FEMA disaster recovery funding to repair and protect its developments. NYCHA's Sandy Recovery Team completed design on a majority of its disaster recovery projects, with large construction projects anticipated to begin in 2016 and 2017. Since 2015, NYCHA began preliminary construction activities at 23 developments, including boiler demolition, replacement of electrical conduit, asbestos abatement, and apartment renovations. NYCHA also completed a smaller-scale Sandy recovery project at Lower East Side Rehab V, Manhattan, at the end of 2016.

CR-40 - Monitoring 91.220 and 91.230

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

HOME Investment Partnerships Program 2016 Monitoring Activities

File review and site visits to assure records properly collected and reserved:

The agency reviews all files of tenants selected for HOME units to assure records are properly collected and tenants meet HOME funding requirements, or when new information is discovered that demands our investigation. Staff completed a tax credit certification course in January of 2014 to ensure that they are qualified to review these files. Finally, the agency conducts site visits the year after a projects is Placed-in-Service. The agency will continue to conduct these site visits to assure records are properly collected and reserved by developers.

Suspicion of Fraud:

The agency works closely with New York City Department of Investigation (DOI) to address fraud involving HOME Program funds. If the agency is suspicious of fraud, then a further review is conducted by an agency staff member, and possible referral is made to DOI.

The Marketing Guidelines require that the Developers use certain forms during all tenant selection processes. These forms include IRS Form 4506 Request for Copy of Tax Return; IRS Form 4506-T Request for Copy of Tax Return Transcript; NYS DTF-505 Form Request for Copy of State Tax Return; as well as an Authorization to Release Information form.

If an applicant file contains inconsistent information, these forms are used by agency staff and DOI in order to clarify the information or to determine if any fraud exists. On occasions, DOI has referred matters to appropriate prosecutors' offices. Furthermore, Developers are made aware that they may forward any suspicious information directly to the agency and/or DOI. Lastly, if any inconsistent or suspicious information is brought to the agency's attention regarding a Developer and or its agent, the matter is referred to DOI for further investigation. During the year 2016, no applicant or developer referrals were made for projects involving HOME funds to DOI.

HOPWA 2016 Monitoring Activities

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

CDBG 2016 Monitoring Activities

In 2016, the NYC Office of Management and Budget's (OMB) Community Development (CD) Unit conducted the following monitoring activities:

The CD Unit attended a second Business Basics class offered through the Department of Small Business Services' (SBS) NYC Business Solutions program. After visiting a class in 2015, the CD Unit noticed that the Intake Form did not reflect the current Section 8 Income Limits or a recently-added certification clause. During the follow-up visit, the CD Unit confirmed that the form had been appropriately updated.

The CD Unit performed two equipment use and tracking monitorings: one at Prospect Park and one at the Mayor's Office for People with Disabilities (MOPD). The purpose of such visits is to ensure that CD-funded equipment is properly labeled, and to make certain that equipment is located where the each program's equipment listing (called a Property Register) indicates.

During the Prospect Park visit, the vast majority of the equipment was labeled and located in its reported place. One item was missing a serial number and a small number of computer monitor locations needed to be updated. One computer monitor purchased in 2007 for \$796.26 could not be located, and the staff pledged to continue looking for the item. Overall, the CD Unit was impressed with the accuracy of the items' locations (considering that many people, including children, use the equipment and it is spread throughout the park) and how the items are used for programming activities. The IT Manager kept a very neat and accurate storage facility that helped in finding a majority of the equipment.

During the MOPD visit, the CD Unit had the following concerns:

- Seven items had serial numbers that did not match what was listed on the Property Register;
- The Property Register mentioned one wireless keyboard purchased with CD funds, but the CD Unit learned of a second keyboard that was likely CD-funded;
- Two items, which were sent to Management Information Systems (MIS), could not be immediately located;
- MOPD did not provide detailed locations for each item; and
- An MOPD staff member was given permission to borrow one digital camera and did not return it in time for the monitoring. An additional camera was missing.

In response to these concerns, the CD Unit issued several requirements and suggestions, with which the agency has complied.

- The agency provided the CD Unit with a revised Property Register that accurately reflects the manufacturer-labeled serial number for all electronic items and includes information on the second wireless keyboard. Additionally, MOPD clearly disclosed the location of CD-funded equipment.
- MOPD properly labeled all equipment as being purchased with CD funds and instituted a new "photo log" to document all purchases and avoid confusion among the staff.
- MOPD confirmed that the laptop and the Vector Reader Stream Portable Player, which were relatively old and obsolete, had been disposed through the agency's MIS division.
- One digital camera was returned; the other was confirmed to have been destroyed in a fire that occurred in an employee's home. The agency also instituted a sign-out sheet for equipment when it is in use off-site.

In 2016, the CD Unit also began monitoring two programs in the Department of Housing Preservation and Development. The first monitoring is focused on ensuring that all sites benefitting through the Maintenance and Operation of Tax-Foreclosed Housing are residential tax-foreclosed properties. The second monitoring is focused on several aspects of the HPD Emergency Shelters program including procurement, cost reasonableness, and client eligibility. Both of these monitorings are currently underway and are expected to be completed in 2017.

Finally, the CD Unit also reviews agencies' requests to hire CD-funded staff. The CD Unit is electronically notified every time an agency requests to fill a CD-funded position. If the CD Unit determines that a position is not CD-eligible, it will not approve the hire. The requesting agency must then either use another funding source for the position or make necessary adjustments to the position's duties. Agencies are also instructed to correct positions that are CD-eligible but are not being charged to the appropriate eligibility category or national objective. In 2016, the CD Unit required that at least two positions be charged to City tax levy rather than CD, required that at least nine positions' duties were clarified before agreeing to fund with CD, and discovered that one position was proposed for CD funding by accident.

ESG 2016 Monitoring Activities

The NYC DHS receives ESG funds to engage unsheltered individuals living on the street, increase the number and quality of emergency shelters for homeless individuals and families, to operate these facilities and provide essential services to residents, and to help prevent homelessness.

The DSS Budget and Finance division is responsible for the fiscal administration of the ESG grant. These units, with input from the DSS Office of Planning and Performance Management, allocate the ESG funding and ensure that payments and claims are made in accordance with the approved uses of the grant for eligible activities.

As part of ESG monitoring plan, DHS revised its standards according to the requirements set forth in 24 CFR 576.400(e) (1) and (e) (3). The purpose of the ESG monitoring plan is to determine if the ESG-funded programs have administered and implemented ESG-funded activities in accordance with applicable Federal requirements.

If any findings or concerns are identified after a program monitoring review, DHS works with the program staff in implementing corrective actions and making improvements.

DHS utilizes HUD's standard performance measures to evaluate ESG funded provider performance. DHS shared this framework with the Continuum of Care Steering Committee and reviews periodically with the NYC CCoC Data Management Committee. DHS plans to utilize HMIS as a data source to monitor performance through the following indicators:

- Number of homeless individuals/households served
 - Number of successful placements of individuals/households into permanent housing
 - Length of time person remains homeless
- DHS works with program staff in implementing and improving ESG-funded activities in accordance with applicable Federal requirements.

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

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

In order to notify the public of the release of the Proposed CAPER for public review New York City utilized the same notification methods as it did to announce the public comment period for the formulation of its 2016 Proposed One-Year Action Plan. Over 1,900 notification letters were sent to New York City residents, organizations and public officials inviting their review and comment on the report. In addition, notices of the previously mentioned activity were published in three local newspapers, one English-language, a Spanish-language, and a Chinese-language daily, each with citywide circulation.

To provide public access to the document, copies of the Proposed 2016 Consolidated Plan Annual Performance and Evaluation Report could be obtained at the City Planning Bookstore, 120 Broadway, 31st Floor, New York, New York 10271, Phone: 212-720-3667, (Monday: 10 am until 12 noon with walk-ins from 10 am until 11 am, and Wednesday: 1 pm until 3 pm with walk-ins from 2 pm until 3 pm) or any of the New York City Department of City Planning borough offices.

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

Furthermore, the Department of City Planning posted the Proposed 2016 Performance Report on the Department's website in Adobe Acrobat format for review by the public. The Internet-based version may be accessed at: <http://www.nyc.gov/planning>.

The public comment period began May 9, 2017 and ended May 23, 2017. The public was instructed to submit their written comments on the Proposed 2016 Consolidated Plan Annual Performance and Evaluation Report by close of business, May 23, 2017 to: Charles V. Sorrentino, New York City Consolidated Plan Coordinator, Department of City Planning, 120 Broadway 31st Floor, New York, New York 10271, email: Con-PlanNYC@planning.nyc.gov.

Comments received were to be summarized and agencies' responses incorporated into the version submitted to HUD. However, no comments were received.

Summary of Citizens' Comments

1. Comments Received During the Public Comment Period on the Proposed 2016 Consolidated Plan Annual Performance and Evaluation Report, May 9, 2017 through May 23, 2017

No comments regarding the Proposed CAPER were received during the public comment period.

ESG - Citizen Participation

Please refer to the 2014 Consolidated Plan Volume 2, Part II, Section A., and Citizen Participation Plan. This section of the Plan is the most recent description of the community and citizen participation

outreach activities conducted by the Consolidated Plan Committee member agencies relating to their own agency's area of expertise. The Department of Homeless Services (DHS) as the lead agency for the New York City Coalition on the Continuum of Care (NYC CCoC), a large group of homeless service providers, consumers, advocates, representatives of the public, and government agencies, works closely with stakeholders and informs them about the EGS funding process in its scheduled meetings and solicits participation and feedback on the process. As part of the CoC, there is consumer representation by means of a consumer committee. Consumers are also voting members of the CoC and this directly associated with CoC planning and activities.

CR-45 - CDBG 91.520(c)

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

In 2016, the City closed the Land Restoration Program (LRP), which was comprised of three separate activities: an Interim Assistance component, which was tasked with cleaning unsanitary vacant City-owned lots in low- and moderate-income (low/mod) areas, and Public Service and Public Facilities components, which maintain and improve the GreenThumb program's inventory of community and school gardens. Due to the significant reduction of eligible vacant lots in the City's inventory, LRP's Interim Assistance component ceased operations in 2016 and did not achieve any accomplishments. However, because this component had historically been the primary eligibility category, there were expenditures related to the program's administrative work and staff leave time. The functions of the Public Service and Public Facilities components will continue to be CD-funded, but the activities will be fully incorporated into the GreenThumb program in 2017.

At the request of the City Council, the City also allocated \$375,000 for the Metropolitan Council on Jewish Poverty's food pantry. The organization used this allocation to purchase food, operate the pantry's warehouse, and for meal delivery. Due to issues registering the organization's 2015 contract with the Department of Youth and Community Development, the program's 2015 costs were not reimbursed until 2016. Accordingly, two years' worth of expenditures are reflected in this report.

Finally, the City added one new CD-funded program, Schoolyards to Playgrounds, which identifies schoolyards in neighborhoods most in need of parks and playgrounds, and opens them year-round for public use after school and on weekends. The initiative is a collaboration between the Department of Parks and Recreation, the Department of Education, and the School Construction Authority. In 2016, CD funds were allocated for physical improvement necessary to open two sites in Brooklyn that are both located in low/mod areas and serve high percentages of students from low/mod households. However, because the projects are still in the design phase, the program expects that it will not complete any sites until at least 2018.

Does this Jurisdiction have any open Brownfields Economic Development Initiative (BEDI) grants?	No
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CR-50 - HOME 91.520(d)

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

During 2016 there were 520 HOME projects under compliance monitoring. The projects included 1,768 buildings containing 15,924 HOME units. Of the 520 projects, 243 required physical (HQS) inspection in calendar year 2016. A sample of 1,502 apartments were inspected: 1,412 passed or were corrected; 90 failed. Notices of non-compliance have been sent to owners of units that failed, and HPD will continue to seek a satisfactory response. Please see the Appendix to this document for a detailed list of the inspected units.

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

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

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

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

HPD utilized program income on two projects in 2016. One project utilized \$198,847.98 of program income at a supportive housing project providing rental housing for 28 formerly homeless households of very low income. The second project utilized \$542,340.73 of program income also on rental units at a supportive housing project which assists 77 formerly homeless households of extremely low income.

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

Since the launch the *Housing New York* plan, the City has made incredible progress towards the goal of creating and preserving 200,000 affordable units in ten years and fostering strong, economically diverse neighborhoods across the five boroughs. *Housing New York* is a comprehensive plan, requiring the collaboration of multiple city agencies.

In 2016, the City financed 21,963 affordable apartments, of which over a third were new construction and two-thirds were preservation of existing affordable housing. The City invested \$483 million in City capital in these homes, and leveraged more than \$1.4 billion in bonds issued by the Housing Development Corporation during 2016, including \$1.2 billion in Sustainable Neighborhoods Bonds - the first social impact investment bond of its kind in the United States.

Progress in 2016 included:

More housing for seniors on fixed incomes: New programs, including the Senior Affordable Rental Apartments (SARA) program increased the new construction and renovation of affordable housing for very low-income senior citizens. 1,166 such apartments were financed in 2016.

More apartments for the very lowest-income families: HPD and HDC's new Extremely Low and Low Income Affordability (ELLA) program kicked into high gear, creating more housing opportunities for families with the lowest incomes – those making less than \$24,500 for a family of three. 4,205 such units were financed in 2016.

CR-55 - HOPWA 91.520(e)

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

Table 14 – HOPWA Number of Households Served

Number of Households Served Through:	One-year Goal	Actual
Short-term rent, mortgage, and utility assistance to prevent homelessness of the individual or family	0	21
Tenant-based rental assistance	197	476
Units provided in permanent housing facilities developed, leased, or operated with HOPWA funds	2,722	2,949
Units provided in transitional short-term housing facilities developed, leased, or operated with HOPWA funds	0	0

Narrative

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

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

In calendar year 2016, the Division of Disease Control administered the HOPWA grant to serve the NYC EMSA with permanent housing facilities, permanent housing placement assistance, TBRA, STRMU and supportive services.

In the permanent housing facilities category, HOPWA funds assisted 2,949 households with permanent supportive housing. HOPWA funds were also used to provide housing information and permanent housing placement services. In 2016, 820 households benefited from housing information services and additional funds were used to assist 327 households secure permanent housing placement (data not reflected in the table above).

Within the TBRA and STRMU categories, 476 households were served with TBRA services in 2016, and STRMU funds increased housing stability among 21 households, helping these households avoid homelessness.

For additional details on HOPWA's 2016 accomplishments, please refer to the Appendix: HOPWA 2016 Consolidated Annual Performance and Evaluation Report.

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

ESG Supplement to the CAPER in *e-snaps*

For Paperwork Reduction Act

1. Recipient Information—All Recipients Complete

Basic Grant Information

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

ESG Contact Name

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

ESG Contact Address

Street Address 1	NYC Dept of Homeless Services
Street Address 2	4 World Trade Center, 31st Fl
City	New York
State	NY
ZIP Code	10007
Phone Number	9292216183
Extension	0
Fax Number	0
Email Address	kentonm@hra.nyc.gov

ESG Secondary Contact

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

2. Reporting Period—All Recipients Complete

Program Year Start Date 01/01/2016
Program Year End Date 12/31/2016

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

Subrecipient or Contractor Name: BLACK VET. FOR SOCIAL JUST.
City: Brooklyn
State: NY
Zip Code: 11217, 1609
DUNS Number:
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 4965956

Subrecipient or Contractor Name: VOLUNTEERS OF AMERICA
City: VOLUNTEERS OF AMERICA
State: NY
Zip Code: 99999,
DUNS Number:
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 282834

Subrecipient or Contractor Name: RIDGEWOOD BUSHWICK SENIOR CITIZEN COUNCIL, INC
City: Brooklyn
State: NY
Zip Code: 11237, 5001
DUNS Number: 046254991
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 128387

Subrecipient or Contractor Name: WESTHAB
City: Elmsford
State: NY
Zip Code: 10523, 1326
DUNS Number: 137194432
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 159110

Subrecipient or Contractor Name: COMMON GROUND COMMUNITY II HDFC
City: New York
State: NY
Zip Code: 10018, 6505
DUNS Number: 806767419
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 222819

Subrecipient or Contractor Name: NEW YORK CITY DEPARTMENT OF HOMELESS SERVICES
City: New York
State: NY
Zip Code: 10004, 2736
DUNS Number: 035493646
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Unit of Government
ESG Subgrant or Contract Award Amount: 3226062

Subrecipient or Contractor Name: BRONXWORKS INC
City: Bronx
State: NY
Zip Code: 10453, 5842
DUNS Number: 133254484
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 332787

Subrecipient or Contractor Name: GODDARD RIVERSIDE COMMUNITY CENTER
City: New York
State: NY
Zip Code: 10024, 1904
DUNS Number: 131893908
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 239143

Subrecipient or Contractor Name: BOWERY RESIDENTS' COMMITTEE, INC
City: New York
State: NY
Zip Code: 10001, 7207
DUNS Number: 132736659
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 316844

Subrecipient or Contractor Name: CAMBA INC
City: Brooklyn
State: NY
Zip Code: 11226, 2630
DUNS Number: 112480339
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 686330

Subrecipient or Contractor Name: THE DOE FUND, INC
City: New York
State: NY
Zip Code: 10028, 2902
DUNS Number: 609643598
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 327911

Subrecipient or Contractor Name: GRAND CENTRAL NEIGHBORHOOD SOCIAL SERVICES CORPORATION
City: New York
State: NY
Zip Code: 10017, 4707
DUNS Number: 133534255
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 41180

Subrecipient or Contractor Name: LENOX HILL NEIGHBORHOOD HOUSE INC.
City: New York
State: NY
Zip Code: 10021, 8601
DUNS Number: 131628180
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 194542

Subrecipient or Contractor Name: PALLADIA, INC
City: New York
State: NY
Zip Code: 10035, 1217
DUNS Number: 237089380
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 336196

Subrecipient or Contractor Name: PROJECT RENEWAL INC
City: New York
State: NY
Zip Code: 10014, 4810
DUNS Number: 057841710
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 278151

Subrecipient or Contractor Name: SAMARITAN VILLAGE INC
City: Briarwood
State: NY
Zip Code: 11435, 2642
DUNS Number: 072730179
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 252030

Subrecipient or Contractor Name: URBAN PATHWAYS INC
City: New York
State: NY
Zip Code: 10018, 3011
DUNS Number: 057808784
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 186688

Subrecipient or Contractor Name: WEST SIDE FEDERATION FOR SR & SUPPORTIVE HOUSING INC
City: New York
State: NY
Zip Code: 10025, 2942
DUNS Number: 132926433
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 36278

Subrecipient or Contractor Name: NYC DEPARTMENT OF HEALTH AND MENTAL HYGIENE
City: Long Island City
State: NY
Zip Code: 11101, 4130
DUNS Number: 083489737
Is subrecipient a victim services provider: N
Subrecipient Organization Type: Unit of Government
ESG Subgrant or Contract Award Amount: 95834

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

City: New York

State: NY

Zip Code: 10038, 2609

DUNS Number: 002545379

Is subrecipient a victim services provider: N

Subrecipient Organization Type: Unit of Government

ESG Subgrant or Contract Award Amount: 98216

Subrecipient or Contractor Name: CATHOLIC CHARITIES NEIGHBORHOOD SERVICES, INC

City: Brooklyn

State: NY

Zip Code: 11201, 4306

DUNS Number: 056926215

Is subrecipient a victim services provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 271373

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

City: New York

State: NY

Zip Code: 10022, 4112

DUNS Number: 173647699

Is subrecipient a victim services provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 541170

Subrecipient or Contractor Name: HELP SOCIAL SERVICE CORPORATION

City: New York

State: NY

Zip Code: 10004, 2682

DUNS Number: 827233982

Is subrecipient a victim services provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 379621

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

8. Shelter Utilization

Table 15– Shelter Capacity

Number of New Units - Rehabbed	0
Number of New Units - Conversion	0
Total Number of bed-nights available	1,181,126
Total Number of bed-nights provided	1,114,425
Capacity Utilization	94.35%

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

DHS is also the CoC’s Collaborative Applicant and Steering Committee member and therefore DHS, the ESG recipient, coordinates extensively with NYC’s CoC and the Consolidated Plan jurisdiction. Coordination occurs through regular meetings between Collaborative Applicant and representatives of Con Plan. Efforts are made around shared goals, listed in NYC’s five year Con Plan, which are consistent with the CoC’s strategic plan: investing in proven strategies to reduce the number of homeless individuals on the streets; preventing those families and individuals at-risk of homelessness from entering shelter; and ensuring that shelter is a short-term solution to a housing crisis by rapidly re-housing families and individuals. It aims to end homelessness, with an emphasis on chronic and youth homelessness. The alignment of the Con Plan goals and the CoC’s strategic plan has led to coordinated efforts within the jurisdiction to address the needs of homeless individuals and families and those at risk of homelessness.

CR-75 – Expenditures

11. Expenditures

11a. ESG Expenditures for Homelessness Prevention

Table 16 – ESG Expenditures for Homelessness Prevention

	Dollar Amount of Expenditures in Program Year		
	2014	2015	2016
Expenditures for Rental Assistance	0	0	0
Expenditures for Housing Relocation and Stabilization Services - Financial Assistance	0	0	0
Expenditures for Housing Relocation & Stabilization Services - Services	1,257,720	1,059,686	2,129,153
Expenditures for Homeless Prevention under Emergency Shelter Grants Program	0	0	0
Subtotal Homelessness Prevention	1,257,720	1,059,686	2,129,153

11b. ESG Expenditures for Rapid Re-Housing

Table 17 – ESG Expenditures for Rapid Re-Housing

	Dollar Amount of Expenditures in Program Year		
	2014	2015	2016
Expenditures for Rental Assistance	0	0	0
Expenditures for Housing Relocation and Stabilization Services - Financial Assistance	0	0	0
Expenditures for Housing Relocation & Stabilization Services - Services	0	0	0
Expenditures for Homeless Assistance under Emergency Shelter Grants Program	0	0	0
Subtotal Rapid Re-Housing	0	0	0

11c. ESG Expenditures for Emergency Shelter

Table 18 – ESG Expenditures for Emergency Shelter

	Dollar Amount of Expenditures in Program Year		
	2014	2015	2016
Essential Services	5,689,556	5,869,987	4,864,131
Operations	409,560	410,000	827,314
Renovation	0	0	0
Major Rehab	0	0	0
Conversion	0	0	0
Subtotal	6,099,116	6,279,987	5,691,445

11d. Other Grant Expenditures

Table 14 - Other Grant Expenditures

	Dollar Amount of Expenditures in Program Year		
	2014	2015	2016
HMIS	81,775	1,161,587	644,530
Administration	112,650	126,833	110,195
Street Outreach	543,967	600,739	529,345

11e. Total ESG Grant Funds

Table 20 - Total ESG Funds Expended

Total ESG Funds Expended	2014	2015	2016
24,754,677	7,551,261	8,628,093	8,575,323

11f. Match Source

Table 21 - Other Funds Expended on Eligible ESG Activities

	2014	2015	2016
Other Non-ESG HUD Funds	0	0	0
Other Federal Funds	0	0	0
State Government	0	0	0
Local Government	9,022,057	9,316,171	9,104,668
Private Funds	0	0	0
Other	0	0	0
Fees	0	0	0
Program Income	0	0	0
Total Match Amount	9,022,057	9,316,171	9,104,668

11g. Total

Table 152 - Total Amount of Funds Expended on ESG Activities

Total Amount of Funds Expended on ESG Activities	2014	2015	2016
52,197,573	16,573,318	17,944,264	17,679,991