

Consolidated Plan

2019

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 17, 2020

Proposed Consolidated Plan

2019

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Evaluation Report**

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120 Broadway, 31st Floor, New York, NY 10271

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Proposed 2019 Consolidated Plan Annual Performance and Evaluation Report (CAPER)

December 24, 2020

VOLUME 1

Table of Contents

Introduction

CR-05 Goals and Outcomes [91.520(a)]	5
CR-10 Racial and Ethnic composition of (person/households/families) Assisted	19
CR-15 Resources and Investments [91.520(a)]	21
CR-20 Affordable Housing [91.520(b)]	29
CR-25 Homeless and Other Special Needs [91.220(d, e); 91.520(c)]	31
CR-30 Public Housing [91.220(h)]	35
CR-35 Other Actions [91.220(j)-(k)]	40
CR-40 Monitoring [91.220(d, e); 91.520(c)]	74
CR-45 CDBG (specific) [91.520(c)]	79
CR-50 HOME (specific) [91.520(d)]	80
CR-55 HOPWA (specific) [91.520(e)]	82
ESG-specific	
CR-60 Subrecipient Information	84
CR-70 Assistance Provided and Outcomes	86
CR-75 Expenditures	87

VOLUME 2

(This information is provided for reference)

Table of Contents

Appendices

- NYC Section 3 Reports
- 2019 NYC HOME Program Inspection Report
- ESG eCART (ESG-CAPER Annual Reporting Tool)
- 2019 NYC HOPWA Consolidated Annual Performance and Evaluation Report (HOPWA CAPER) (form HUD-40110-D);
 - 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), the City of New York is required to submit a Consolidated Annual Performance and Evaluation Report (CAPER). The Proposed 2019 CAPER reports on New York City's one-year progress (January 1, 2019 to December 31, 2019) 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. 2019 represents the fifth 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 2019 CAPER 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)

HOPWA

In calendar year 2019, the Division of Disease Control of the New York City Department of Health and Mental Hygiene administered the HOPWA grant to serve a total of 3,150 households across the NYC EMSA with permanent housing facilities, permanent housing placement assistance, TBRA, STRMU assistance, and supportive services.

In addition to providing stable, safe and affordable housing, the HOPWA program also contributed to improved quality of life indicators for HOPWA beneficiaries. The Division of Disease Control carefully tracks and measures client outcomes such as retention in care; treatment adherence; viral load suppression and housing stability, among others. In 2018, the year for which we have the most up to date surveillance data for HOPWA consumers residing in New York City, 99% of HOPWA consumers were linked to care; 99% remained engaged in care; 96% of those retained in care were started on ART treatment; and 88% of those on treatment were virally suppressed.

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

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

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: \$16,955,639	Rental units constructed	Household Housing Unit	1055	4211	399.15%	637	86	13.50%
Create New Homeownership Opportunities- Downpayment	Affordable Housing	HOME: \$1,071,908	Direct Financial Assistance to Homebuyers	Households Assisted	450	601	133.56%	100	61	61.00%

Goal	Category	Source / Amount	Indicator	Unit of Measure	Expected – Strategic Plan	Actual – Strategic Plan	Percent Complete	Expected – Program Year	Actual – Program Year	Percent Complete
Emergency Shelter & Essential Services (ESG)	Homeless	ESG: \$	Homeless Person Overnight Shelter	Persons Assisted	65900	61347	93.09%	12100	15238	125.93%
Homeless Outreach (ESG)	Homeless	ESG: \$	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	3000	1870	62.33%	600	482	80.33%
Homeless Prevention (ESG)	Homeless	ESG: \$	Homelessness Prevention	Persons Assisted	20600	34522	167.58%	3000	5731	191.03%
Improve literacy of low-skilled adults	Non-Housing Community Development	CDBG: \$1,268,231	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	8605	9608	111.66%	1702	1998	117.39%
Increase accessible housing for people w/disabilities	Non-Homeless Special Needs	CDBG: \$2,845	Public service activities for Low/Moderate Income Housing Benefit	Households Assisted	0	1		1	1	100.00%
Increase accessible housing for people w/disabilities	Non-Homeless Special Needs	CDBG: \$36,226	Rental units rehabilitated	Household Housing Unit	23	11	47.83%	10	3	30.00%
Increase accessible housing for people w/disabilities	Non-Homeless Special Needs	CDBG: \$221,590	Homeowner Housing Rehabilitated	Household Housing Unit	23	18	78.26%	7	6	85.71%
Increase capacity of local arts organizations	Non-Housing Community Development	CDBG: \$195,570	Other	Other	73	13	17.81%			
Increase housing stability among low-income PLWHA	Affordable Housing Non-Homeless Special Needs	HOPWA: \$48,092,404	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	0	0		436	402	92.20%

Goal	Category	Source / Amount	Indicator	Unit of Measure	Expected – Strategic Plan	Actual – Strategic Plan	Percent Complete	Expected – Program Year	Actual – Program Year	Percent Complete
Increase housing stability among low-income PLWHA	Affordable Housing Non-Homeless Special Needs	HOPWA: \$48,092,404	Housing for People with HIV/AIDS added	Household Housing Unit	32677	37062	113.42%	2106	2183	103.66%
Increase housing stability among low-income PLWHA	Affordable Housing Non-Homeless Special Needs	HOPWA: \$48,092,404	HIV/AIDS Housing Operations	Household Housing Unit	0	0		230	301	130.87%
Increase housing stability among low-income PLWHA	Affordable Housing Non-Homeless Special Needs	HOPWA: \$48,092,404	Other	Other	0	0		390	270	69.23%
Independent living for the elderly and disabled	Public Housing Non-Homeless Special Needs	CDBG: \$675,000	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	22770	16853	74.01%	3693	3703	100.27%
Maintain habitability for elderly homeowners	Non-Homeless Special Needs	CDBG: \$375,002	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	11175	11496	102.87%	2100	2551	121.48%
Make the City more livable for ppl w/disabilities	Non-Homeless Special Needs	CDBG: \$180,286	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	910000	1518829	166.90%	363345	392900	108.13%
Preservation of historic buildings and areas	Non-Housing Community Development	CDBG: \$54,931	Facade treatment/business building rehabilitation	Business	5	3	60.00%	1	1	100.00%
Preservation of historic buildings and areas	Non-Housing Community Development	CDBG: \$8,750	Homeowner Housing Rehabilitated	Household Housing Unit	15	11	73.33%	3	1	33.33%

Goal	Category	Source / Amount	Indicator	Unit of Measure	Expected – Strategic Plan	Actual – Strategic Plan	Percent Complete	Expected – Program Year	Actual – Program Year	Percent Complete
Preserve and improve occupied private housing	Private Housing	CDBG: \$41,969,011	Rental units rehabilitated	Household Housing Unit	83845	255692	304.96%	56025	58958	105.24%
Preserve and improve occupied private housing	Private Housing	CDBG: \$44,166,334	Housing Code Enforcement/Foreclosed Property Care	Household Housing Unit	5645110	3228198	57.19%	646750	663204	102.54%
Prevent Displacement and Reduce Cost Burdens-TBRA	Affordable Housing	HOME: \$5,385,421	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	6945	2582	37.18%	385	1177	305.71%
Prevent long-term displacement and homelessness	Homeless	CDBG: \$1,071,170	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	0	6799		1632	2350	144.00%
Prevent long-term displacement and homelessness	Homeless	CDBG: \$33,035,785	Homeless Person Overnight Shelter	Persons Assisted	6370	16,747	262.90%	4200	3271	77.88%
Promote access to care among low-income PLWHA	Affordable Housing Non-Homeless Special Needs	HOPWA: \$48,092,404	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	0	0		436	402	92.20%
Promote access to care among low-income PLWHA	Affordable Housing Non-Homeless Special Needs	HOPWA: \$48,092,404	Housing for People with HIV/AIDS added	Household Housing Unit	32677	37062	113.42%	2106	2183	103.66%

Goal	Category	Source / Amount	Indicator	Unit of Measure	Expected – Strategic Plan	Actual – Strategic Plan	Percent Complete	Expected – Program Year	Actual – Program Year	Percent Complete
Promote access to care among low-income PLWHA	Affordable Housing Non-Homeless Special Needs	HOPWA: \$48,092,404	HIV/AIDS Housing Operations	Household Housing Unit	0	0		230	301	130.87%
Promote access to care among low-income PLWHA	Affordable Housing Non-Homeless Special Needs	HOPWA: \$48,092,404	Other	Other	0	0		390	270	69.23%
Promote justice for victims of crime and abuse	Non-Housing Community Development	CDBG: \$4,376,783	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	599000	560821	93.63%	107000	110075	102.87%
Provide community green space through gardens	Non-Housing Community Development	CDBG: \$1,190,220	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	123694	256851	207.65%	21665	17720	81.79%
Provide community green space through gardens	Non-Housing Community Development	CDBG: \$92,945	Other	Other	0	53		40	37	92.50%
Provide day care services to low/mod households	Non-Housing Community Development	CDBG: \$2,043,708	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	1885	876	46.47%	173	179	103.47%
Provide enrichment activities to low/mod areas	Non-Housing Community Development	CDBG: \$4,996,114	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	84000	97550	116.13%	12000	19515	162.63%
Provide recreational activities for low/mod people	Non-Housing Community Development	CDBG: \$0	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	0	0		0	0	

Goal	Category	Source / Amount	Indicator	Unit of Measure	Expected – Strategic Plan	Actual – Strategic Plan	Percent Complete	Expected – Program Year	Actual – Program Year	Percent Complete
Provide recreational activities for low/mod people	Non-Housing Community Development	CDBG: \$2,062,051	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	86955438	84396874	97.06%	16898111	16905680	100.04%
Provide safe learning environment in City schools	Non-Housing Community Development	CDBG: \$509,892	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	779595	1485114	190.50%	143689	0	0.00%
Provide safe, accessible senior centers	Non-Housing Community Development	CDBG: \$733,744	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	15007	9571	63.78%	9500	434	4.57%
Provide safe, accessible senior centers	Non-Housing Community Development	CDBG: \$0	Other	Other	16	9	56.25%	5	1	20.00%
Rapid Re-housing (ESG)	Homeless	ESG: \$	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	1400	0	0.00%			
Recover and rebuild after Hurricane Sandy	Affordable Housing Public Housing Homeless Non-Housing Community Development	CDBG-DR: \$50,015,907	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	0	0		0	0	

Goal	Category	Source / Amount	Indicator	Unit of Measure	Expected – Strategic Plan	Actual – Strategic Plan	Percent Complete	Expected – Program Year	Actual – Program Year	Percent Complete
Recover and rebuild after Hurricane Sandy	Affordable Housing Public Housing Homeless Non-Housing Community Development	CDBG-DR: \$133,239,028	Rental units rehabilitated	Household Housing Unit	0	6327		450	0	0.00%
Recover and rebuild after Hurricane Sandy	Affordable Housing Public Housing Homeless Non-Housing Community Development	CDBG-DR: \$589,255,092	Homeowner Housing Rehabilitated	Household Housing Unit	32000	29069	90.84%	1500	230	15.33%
Recover and rebuild after Hurricane Sandy	Affordable Housing Public Housing Homeless Non-Housing Community Development	CDBG-DR: \$8,243,135	Businesses assisted	Businesses Assisted	850	1829	215.18%	350	474	135.43%
Reduce homelessness	Homeless	CDBG: \$156	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	0	0		9200	0	0.00%
Reduce homelessness	Homeless	CDBG: \$4,976,038	Homeless Person Overnight Shelter	Persons Assisted	46120	51090	110.78%	10097	9577	94.85%

Goal	Category	Source / Amount	Indicator	Unit of Measure	Expected – Strategic Plan	Actual – Strategic Plan	Percent Complete	Expected – Program Year	Actual – Program Year	Percent Complete
Reduce homelessness among low-income PLWHA	Affordable Housing Homeless Non-Homeless Special Needs	HOPWA: \$48,092,404	Tenant-based rental assistance / Rapid Rehousing	Households Assisted	0	0		436	402	92.20%
Reduce homelessness among low-income PLWHA	Affordable Housing Homeless Non-Homeless Special Needs	HOPWA: \$48,092,404	Housing for People with HIV/AIDS added	Household Housing Unit	32677	37062	113.42%	2106	2183	103.66%
Reduce homelessness among low-income PLWHA	Affordable Housing Homeless Non-Homeless Special Needs	HOPWA: \$48,092,404	HIV/AIDS Housing Operations	Household Housing Unit	0	0		230	301	130.87%
Reduce homelessness among low-income PLWHA	Affordable Housing Homeless Non-Homeless Special Needs	HOPWA: \$48,092,404	Other	Other	0	0		390	270	69.23%
Reduce hunger	Non-Housing Community Development	CDBG: \$514,278	Public Facility or Infrastructure Activities other than Low/Moderate Income Housing Benefit	Persons Assisted	318931	184769	57.93%	4268	27199	637.28%
Reduce hunger	Non-Housing Community Development	CDBG: \$925,948	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	0	706106		48414	54268	112.09%

Goal	Category	Source / Amount	Indicator	Unit of Measure	Expected – Strategic Plan	Actual – Strategic Plan	Percent Complete	Expected – Program Year	Actual – Program Year	Percent Complete
Reduction of blighted properties	Non-Housing Community Development	CDBG: \$22,304,440	Other	Other	0	49707		5000	49707	994.14%
Reduction of blighted properties	Non-Housing Community Development	CDBG: \$12,072,910	Buildings Demolished	Buildings	150	57	38.00%	12	25	208.33%
Return foreclosed housing to private ownership	Affordable Housing	CDBG: \$16,905,344	Housing Code Enforcement/Foreclosed Property Care	Household Housing Unit	3077	2823	91.75%	2035	2128	104.57%
Revitalize commercial districts in low/mod areas	Non-Housing Community Development	CDBG: \$2,287,808	Other	Other	0	182		57	53	92.98%
Revitalize the Bronx River and the adjacent area	Non-Housing Community Development	CDBG: \$250,872	Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	1440000	1224025	85.00%	270000	280500	103.89%

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

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 CDBG Program Performance

In 2019, 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 2019 projections. Below is an explanation for each activity.

- **Alternative Enforcement Program:** The program rehabilitated 159 housing units in 2019. Only units that are rehabilitated with CD funds are counted toward the reported accomplishment. While the proposed accomplishment was 275 housing units, the primary measure of the program's success is the number of buildings the City does not have to rehabilitate due to owner compliance. In 2019, HPD discharged 4,379 units from the program due to owner compliance.
- **Beacon School Program:** The program surpassed its projection of 12,000 people, ultimately serving 19,515 in 2019. New provider contracts commenced on 9/1/2017, and these providers were steadily encouraged to increase outreach efforts through active recruitment drives and community events, which led to increased enrollment.
- **Code Violation Removal in Schools:** The Department of Education (DOE) did not expend CD funds for rehabilitation work due to compliance concerns. Upon identifying the issue, the City provided intensive technical assistance to bring DOE's programs into compliance. The compliance concerns were fully addressed so DOE will resume spending in 2020.
- **Demolition Program:** The program completed 25 demolitions, compared to the proposed accomplishment of 12 demolitions. The number of buildings demolished is beyond HPD's control. Buildings are demolished pursuant to a Declaration of Emergency issued by the Department of Buildings. Furthermore, HPD gives property owners the opportunity to correct the conditions on their own or pay for the work once completed with City resources. Only demolitions that have been fully paid for with CD funds count toward CD accomplishments.
- **DFTA Senior Center Improvements:** DFTA projected five renovation projects with approximately 9,500 seniors to be served in 2019. The accomplishment number is lower than proposed due to the need for asbestos removal at one site, architectural drawings being delayed at another site, and because a final payment for one site was not made within the calendar year. Work is either underway or complete at all of these sites and they will be counted as completed next year.
- **Food Pantry Services Program:** The combined projected accomplishment number for all three organizations in 2019 was 3,150 persons. The actual number of persons served was 9,235. Due to delays in registering the organizations' contracts in 2018, the reported accomplishment for 2019 is higher than expected because it includes persons served from Calendar Year 2018 and 2019.
- **Landmarks Historic Preservation Grant Program:** The program's Residential component estimated it would complete three historic preservation projects but accomplished one in 2019. Only two additional grants were awarded to homeowners in 2019. Once an appropriate contractor was located for one of the projects, work could not begin due to unfavorable weather. The work is projected to be completed in 2020.

- School Kitchen Renovations Program: This program served 27,199 people under its Public Facilities component, and 45,033 people under its Public Services component in 2019. These accomplishments exceeded the projections, which were zero for both components, because these funds were allocated in a previous year, and therefore the City was unable to project accomplishment for 2019.
- Inspections in City Shelters: The City did not draw down on any federal expenditures in 2019. Although work is on-going, the City was in the process of completing a desk review of the program's procurement procedures. Expenditures and accomplishments are expected to be reflected in 2020.

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 in this module 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 2019, 77.4 percent of CD funds were used to benefit 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 2019, the City's Public Service percentage was 6.8 percent due to the one-time infusion of a significant amount of program income in 2018.
- 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 2019, the City's Planning and Administration percentage was 17.0 percent.

In 2019, the City had a total of \$438,203,935 available from the Federal Fiscal Year 2019 Entitlement, program income, revenue credits, and accruals. Total expenditures were \$229,373,318. This is an expenditure rate of 52 percent.

Although this expenditure rate is low, the City expended approximately \$30 million more than in 2018, at which point the expenditure rate was 35 percent. The low expenditure rates for these two years are due to three primary factors:

- On 12/31/18, the CD program received approximately \$235.4 million in program income from the sale of a Federal Urban Renewal property. The City allocated \$162.0 million of these funds in

the amended 2018 Consolidated Plan and \$73.4 million in the Proposed 2019 Consolidated Plan. Since these funds were received on the last day of 2018, the newly-funded programs, most of which were construction-related, faced start-up delays.

- The Public Housing Rehabilitation Program was delayed due to completing the necessary subrecipient agreement between the City and the New York City Housing Authority. The agreement was executed in the summer of 2019. In 2019, NYCHA only expended funds related to staffing.
- The Department of Education (DOE), which operates several CD-funded construction projects, did not undertake CD-funded construction work due to the compliance concerns mentioned previously. The expenditure rate is expected to improve when NYCHA and DOE perform CD-funded work.

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 2019
 NEW YORK CITY , NY

DATE: 04-09-20
 TIME: 10:22
 PAGE: 1

PART I: SUMMARY OF CDBG RESOURCES

01 UNEXPENDED CDBG FUNDS AT END OF PREVIOUS PROGRAM YEAR	496,384,518.00
02 ENTITLEMENT GRANT	166,843,617.00
03 SURPLUS URBAN RENEWAL	0.00
04 SECTION 108 GUARANTEED LOAN FUNDS	0.00
05 CURRENT YEAR PROGRAM INCOME	229,373,318.00
05a CURRENT YEAR SECTION 108 PROGRAM INCOME (FOR SI TYPE)	0.00
06 FUNDS RETURNED TO THE LINE-OF-CREDIT	30,329.00
06a FUNDS RETURNED TO THE LOCAL CDBG ACCOUNT	0.00
07 ADJUSTMENT TO COMPUTE TOTAL AVAILABLE	(172,259,928.00)
08 TOTAL AVAILABLE (SUM, LINES 01-07)	720,371,854.00

PART II: SUMMARY OF CDBG EXPENDITURES

09 DISBURSEMENTS OTHER THAN SECTION 108 REPAYMENTS AND PLANNING/ADMINISTRATION	199,643,438.00
10 ADJUSTMENT TO COMPUTE TOTAL AMOUNT SUBJECT TO LOW/MOD BENEFIT	(165,241.00)
11 AMOUNT SUBJECT TO LOW/MOD BENEFIT (LINE 09 + LINE 10)	199,478,197.00
12 DISBURSED IN IDIS FOR PLANNING/ADMINISTRATION	29,699,551.00
13 DISBURSED IN IDIS FOR SECTION 108 REPAYMENTS	0.00
14 ADJUSTMENT TO COMPUTE TOTAL EXPENDITURES	195,570.00
15 TOTAL EXPENDITURES (SUM, LINES 11-14)	229,373,318.00
16 UNEXPENDED BALANCE (LINE 08 - LINE 15)	490,998,536.00

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	70,446,230.00
19 DISBURSED FOR OTHER LOW/MOD ACTIVITIES	139,528,989.00
20 ADJUSTMENT TO COMPUTE TOTAL LOW/MOD CREDIT	(55,655,109.00)
21 TOTAL LOW/MOD CREDIT (SUM, LINES 17-20)	154,320,110.00
22 PERCENT LOW/MOD CREDIT (LINE 21/LINE 11)	77.36%

LOW/MOD BENEFIT FOR MULTI-YEAR CERTIFICATIONS

23 PROGRAM YEARS(PY) COVERED IN CERTIFICATION	PY: 2017 PY: 2018 PY: 2019
24 CUMULATIVE NET EXPENDITURES SUBJECT TO LOW/MOD BENEFIT CALCULATION	524,176,381.00
25 CUMULATIVE EXPENDITURES BENEFITING LOW/MOD PERSONS	407,470,077.00
26 PERCENT BENEFIT TO LOW/MOD PERSONS (LINE 25/LINE 24)	77.74%

PART IV: PUBLIC SERVICE (PS) CAP CALCULATIONS

27 DISBURSED IN IDIS FOR PUBLIC SERVICES	23,320,253.00
28 PS UNLIQUIDATED OBLIGATIONS AT END OF CURRENT PROGRAM YEAR	12,586,180.00
29 PS UNLIQUIDATED OBLIGATIONS AT END OF PREVIOUS PROGRAM YEAR	7,956,018.00
30 ADJUSTMENT TO COMPUTE TOTAL PS OBLIGATIONS	1,074,015.00
31 TOTAL PS OBLIGATIONS (LINE 27 + LINE 28 - LINE 29 + LINE 30)	29,024,430.00
32 ENTITLEMENT GRANT	166,843,617.00
33 PRIOR YEAR PROGRAM INCOME	73,522,002.00
34 ADJUSTMENT TO COMPUTE TOTAL SUBJECT TO PS CAP	186,787,901.00
35 TOTAL SUBJECT TO PS CAP (SUM, LINES 32-34)	427,153,520.00
36 PERCENT FUNDS OBLIGATED FOR PS ACTIVITIES (LINE 31/LINE 35)	6.79%

PART V: PLANNING AND ADMINISTRATION (PA) CAP

37 DISBURSED IN IDIS FOR PLANNING/ADMINISTRATION	29,699,551.00
38 PA UNLIQUIDATED OBLIGATIONS AT END OF CURRENT PROGRAM YEAR	5,123,822.00
39 PA UNLIQUIDATED OBLIGATIONS AT END OF PREVIOUS PROGRAM YEAR	2,373,871.00
40 ADJUSTMENT TO COMPUTE TOTAL PA OBLIGATIONS	195,570.00
41 TOTAL PA OBLIGATIONS (LINE 37 + LINE 38 - LINE 39 +LINE 40)	32,645,072.00
42 ENTITLEMENT GRANT	166,843,617.00
43 CURRENT YEAR PROGRAM INCOME	229,373,318.00
44 ADJUSTMENT TO COMPUTE TOTAL SUBJECT TO PA CAP	(204,255,164.00)
45 TOTAL SUBJECT TO PA CAP (SUM, LINES 42-44)	191,961,771.00
46 PERCENT FUNDS OBLIGATED FOR PA ACTIVITIES (LINE 41/LINE 45)	17.01%

PR 26 - CDBG Financial Summary Report Adjustments

APR 45 - Calendar Year 2019
 Community Development Block Grant
 Explanation of Adjustments to IDIS PR26 Report - CDBG Financial Summary Report

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

Line 07 - Adjustment To Compute Total Available:

Adjustment of \$ (\$172,259,928) is the program income used from sale of the Urban Renewal site at 101 Barclay Street, NY in Calendar Year 2019.

2019 Program Income Used-Urban Renewal land sale	(172,259,928.00)
Line 5a Status of Funds- 2019 NHS Program Income	0.00
Line 7 PR 26 Adjustment	(172,259,928.00)

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

Line 09 amount of \$199,643,438 is incorrect. The correct amount is \$199,478,197 on Line 10 of the Status of Funds, which is the Total Expenditures Reported less the Planning & Administration expenditures.

Line 09 PR 26	(199,643,438.00)
Line 10 Status of Funds	199,478,197.00
Line 10 PR 26 Adjustment	(165,241.00)

Line 14 - Adjustment To Compute Total Expenditures:

Line 12 amount of \$29,699,551 is incorrect. The correct amount expended for Planning & Administration is \$29,895,121 on Line 9 of the Status of Funds.

Line 12 PR 26	(29,699,551.00)
Line 9 Status of Funds	29,895,121.00
Line 14 PR 26 Adjustment	195,570.00

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

Line 19 amount of \$139,528,989 is incorrect. The correct amount disbursed for other Low/Mod Activities is \$83,873,880 on Line 15 of the Status of Funds.

Line 19 PR 26	(139,528,989.00)
Line 15 Status of Funds	83,873,880.00
Line 20 PR 26 Adjustment	(55,655,109.00)

Line 30 - Adjustment To Compute Total PS Obligations:

Line 27 amount of \$23,320,253 is incorrect. The correct amount disbursed for Public Services is \$24,394,268 on Line 21 of the Status of Funds.

Line 27 PR 26	(23,320,253.00)
Line 21 Status of Funds	24,394,268.00
Line 30 PR 26 Adjustment	1,074,015.00

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

Adjustment of \$186,787,901 is a sum of reducing the prior year's program income by the value of the prior year's revenue credits (\$47,875,053), increasing the prior year's program income by the value of the prior year's program income from the NHS Revolving Loan Fund (\$3,926), and adding the program income the City received from the sale of the Barclay Street Urban Renewal site (\$234,662,954) at the end of Calendar Year 2018.

Adjustment Components:

(47,875,053)	Revenue Credits Prior Year
3,926	NHS prior year program income
234,659,028	Barclay Sale Program Income received on 12/31/18
186,787,901	Adjustment to PR26 PS CAP calculation

Line 40 - Adjustment To Compute Total PA Obligations:

Line 37 amount of \$29,699,551 is incorrect. The correct amount expended for planning and administration is \$29,895,121 on Line 31 of the Status of Funds.

Line 37 PR 26	(29,699,551.00)
Line 31 Status of Funds	29,895,121.00
Line 40 PR 26 Adjustment	195,570.00

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

Adjustment of (\$204,255,164) is the sum of reducing the current year's program income by the value of the revenue credits and the value of the program income used from the Urban Renewal land sale leaving just the current year's true program income for the Planning and Administration CAP calculation.

2019 Revenue Credits	(31,995,236.00)
2019 Program Income Used-Urban Renewal land sale	(172,259,928.00)
Line 5a Status of Funds- 2019 NHS Program Income	0.00
Line 44 PR 26 Adjustment	(204,255,164.00)

CR-10 - Racial and Ethnic composition of families assisted

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

Please see tables below in the narrative section.

Narrative

HOPWA

Since the above table does not capture all the racial and ethnic reporting categories available to HOPWA, please refer to the attached HOPWA table for a comprehensive break down of the racial and ethnic composition of households assisted with HOPWA funding in 2019. Moreover, you can refer to the HOPWA 2019 Consolidated Annual Performance and Evaluation Report (HOPWA 2019 CAPER) for race and ethnicity details for both HOPWA eligible individuals and their beneficiaries.

Category		HOPWA Eligible Individuals		All Other Beneficiaries	
		[A] Race [all individuals reported in Section 2, Chart a, Row 1]	[B] Ethnicity [Also identified as Hispanic or Latino]	[C] Race [total of individuals reported in Section 2, Chart a, Rows 2 & 3]	[D] Ethnicity [Also identified as Hispanic or Latino]
1.	American Indian/Alaskan Native	7	3	3	0
2.	Asian	15	0	0	0
3.	Black/African American	1683	400	218	28
4.	Native Hawaiian/Other Pacific Islander	1	0	0	0
5.	White	454	249	82	68
6.	American Indian/Alaskan Native & White	2	2	1	0
7.	Asian & White	1	0	0	0
8.	Black/African American & White	112	17	16	0
9.	American Indian/Alaskan Native & Black/African American	8	0	0	0
10.	Other Multi-Racial	867	444	159	148
11.	Column Totals (Sum of Rows 1-10)	3,150	1,115	479	244
<i>Data Check: Sum of Row 11 Column A and Row 11 Column C equals the total number HOPWA Beneficiaries reported in Part 3A, Section 2, Chart a, Row 4.</i>					

**Reference (data requested consistent with Form HUD-27061 Race and Ethnic Data Reporting Form)*

Community Development Block Grant

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 140,180 people of multiple races. Please see the following CDBG Total Race and Ethnicity Table.

ALL PROGRAMS		
<i>CDBG Race and Ethnicity</i>	<u>Total</u>	<u>Hispanic</u>
White	21,291	3,754
Black/African-American	46,515	1,587
Asian	15,351	11
American Indian/Alaska Native	991	74
Native Hawaiian/Other Pacific Islander	604	121
American Indian/Alaska Native & White	6	1
Asian & White	2	0
Black/African-American & White	8	1
American Indian/Alaska Native & Black/African-American	32	2
Other Multi-Racial	55,380	2,450
Total:	140,180	8,001

HOME

Please note that the chart above does not contain all of the racial categories available to HOME grantees in the IDIS reporting system. HOME funds were used to serve 1,418 households of multiple races. Please see the tables below for the Racial and Ethnic Categories assisted through the HOME program in 2019.

Home Unit Completions by Racial / Ethnic Category

	Rentals		TBRA Families		First Time Homebuyers	
	Units Completed	Units Completed - Hispanics	Units Completed	Units Completed - Hispanics	Units Completed	Units Completed - Hispanics
White	79	71	284	216	5	0
Black/African American	90	7	754	118	30	0
Asian	1	1	74	8	21	0
American Indian/Alaskan Native	6	1	12	7	0	0
Native Hawaiian/Other Pacific Islander	0	0	6	2	0	0
American Indian/Alaskan Native & White	1	1	2	2	0	0
Black/African American & White	1	0	3	0	0	0
Other multi-racial	33	33	11	9	5	4
Total	211	114	1,146	362	61	4

	Total, Rentals and TBRA		Total, Homebuyers and Homeowners		Grand Total	
	Units Completed	Units Completed - Hispanics	Units Completed	Units Completed - Hispanics	Units Completed	Units Completed - Hispanics
White	363	287	5	0	368	287
Black/African American	844	125	30	0	874	125
Asian	75	9	21	0	96	9
American Indian/Alaskan Native	18	8	0	0	18	8
Native Hawaiian/Other Pacific Islander	6	2	0	0	6	2
American Indian/Alaskan Native & White	3	3	0	0	3	3
Black/African American & White	4	0	0	0	4	0
Other multi-racial	44	42	5	4	49	46
Total	1,357	476	61	4	1,418	480

CR-15 - Resources and Investments 91.520(a)

Identify the resources made available

Source of Funds	Source	Resources Made Available	Amount Expended During Program Year
CDBG	public - federal	345,783,000	229,373,318
HOME	public - federal	70,098,795	23,412,968
HOPWA	public - federal	44,033,544	48,092,404
ESG	public - federal	14,126,459	9,878,323
Competitive McKinney-Vento Homeless Assistance Act	public - federal	117,583,916	
LIHTC	public - state	18,120,357	
Section 8	public - federal	439,768,999	
Other	private	200,000	0
Other	public - federal	4,214,076,000	780,753,162

Table 2 - Resources Made Available

Narrative

In Fiscal Year 2019, New York City expended \$9,878,323 of ESG funding within five areas. The City expended \$7,116,396 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 \$668,151 of ESG funding through contracts with three not-for-profit organizations to provide street outreach services. The City expended \$1,452,220 to support seven contracted local not-for-profit service providers operating 16 Homeless Prevention programs known as Homebase. New York City expended \$188,125 in ESG funds to support and enhance the HMIS system, and expended \$453,431 in ESG funds on administrative support.

Community Development Block Grant

The CD regulations restrict CD-funded Code Enforcement activities to areas that are "deteriorated or deteriorating" as defined by the locality. In NYC, these areas are defined as sub-borough areas where:

1. At least 15 percent of the occupied residential units in multiple dwellings have three or more maintenance deficiencies;
2. At least 51 percent of the area's population is at or below 80 percent of the Area Median Income; and
3. At least 50 percent of the built floor area is residential in nature.

CD funds pay for the time 311 operators spend on housing complaints from tenants in multiple dwelling buildings within the eligible sub-borough areas, the time spent by Code Inspectors on these complaints, and support staff.

The areas listed below were eligible for CD-funded Code Enforcement efforts throughout 2019:

Bronx

- Highbridge/South Concourse
- Kingsbridge Heights/Mosholu
- Morrisania/East Tremont
- Mott Haven/Hunts Point
- Pelham Parkway
- Riverdale/Kingsbridge
- Soundview/Parkchester
- University Heights/Fordham
- Williamsbridge/Baychester

Brooklyn

- Bedford Stuyvesant
- Brownsville/Ocean Hill
- Bushwick
- East Flatbush
- East New York/Starrett City
- North Crown Heights/Prospect Heights
- South Crown Heights

Manhattan

- Central Harlem
- East Harlem
- Lower East Side/Chinatown
- Morningside/Hamilton Heights

The areas listed below were eligible for CD-funded Code Enforcement efforts between January 1 and June 30, 2019. Due to improving housing conditions identified in the 2017 Housing and Vacancy Survey (HVS), the percentage of occupied residential units in multiple dwelling buildings with three or more maintenance deficiencies no longer meets the 15 percent threshold. As of July 1, 2019, City tax levy funds support Code Enforcement efforts in these areas.

Bronx

- Throggs Neck/Co-op City

Brooklyn

- Borough Park
- Flatbush
- Park Slope/Carroll Gardens
- Sheepshead Bay/Gravesend
- Sunset Park

- Williamsburg/Greenpoint

Queens

- Rockaways

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.

The New York City Department of Social Services (DSS), which includes the Human Resources Administration (HRA) and the Department of Homeless Services (DHS), provides a dollar for dollar match of the ESG award using City Tax Levy (CTL) funds. Approximately \$9.9 million of CTL funds were used to match the ESG funds received from HUD, for City Fiscal Year 2019. In addition to the required matching funds, DSS provides additional CTL funds 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. DSS also receives Federal funding, including the Temporary Assistance for Needy Families (TANF) block grant, and New York State funding, which is used for programs and services for families and adults without children.

HOPWA

In 2019, HOPWA dollars were combined with other federal resources, as well as State and City funding, to support HIV/AIDS housing and other supportive services. HASA used City Tax Levy and matching State and federal dollars to fund case management; rental assistance; permanent and transitional congregate housing; and permanent scattered-site housing for low-income individuals and families living with HIV/AIDS. Eligible clients also received medical assistance, homecare, and homemaking services funded with City, State and federal dollars. HOPWA funds distributed to community-based organizations by DOHMH augmented City and State-funded services to persons with mental illness and HIV/AIDS. In the Lower Hudson Valley and New Jersey, State, City and County funds complemented HOPWA-funded rental assistance and other supportive services. Grant and private foundation dollars provided additional support to community-based organizations funded through HASA and DOHMH. In summary, the total funding leveraged across all HOPWA programs in 2019 equaled to \$672,890,639.

HPD Capital matching Federal Funds

HPD's total capital commitments for calendar year 2019 from all funding sources (including HUD) was approximately \$1,261,473,111. Of that amount \$1,226,668,057 came from the City. Of the City funds, \$975,880,000 was committed for programs that used City funds in conjunction with Federal funds (CDBG, HOME, Section 8, etc.). The remaining \$250,788,000 of City funds was used in programs that did not receive Federal funds.

The City used a portion of this \$975,880,000 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 spending for calendar year 2019 from all funding sources (including HUD) was

approximately \$993,969,349. Of that amount, approximately \$123,969,527 came from the City (tax levy, Inter-Fund Agreement (IFA), and Intra-City). Of the City funds, approximately \$83,624,650 was scheduled for programs that used City funds in conjunction with Federal funds (CDBG, HOME, Section 8, etc.). The remaining approximately \$40,344,877 of City funds was used in programs that did not receive Federal funds.

HPD Capital without Federal Funds

In Calendar Year 2019, HPD committed approximately \$250,788,000 in programs that received no Federal funds.

HPD Expense without Federal Funds

In Calendar Year 2019 HPD spent approximately \$40,344,877 in programs that received no Federal funds.

Fiscal Year Summary – HOME Match	
1. Excess match from prior Federal fiscal year	945,513,868
2. Match contributed during current Federal fiscal year	5,867,851
3. Total match available for current Federal fiscal year (Line 1 plus Line 2)	951,381,719
4. Match liability for current Federal fiscal year	3,597,982
5. Excess match carried over to next Federal fiscal year (Line 3 minus Line 4)	947,783,737

Table 3 – Fiscal Year Summary - HOME Match Report

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
5618	04/01/2019	127,802	72,971	1,575,960	0	0	0	1,776,733
5906	04/01/2019	0	25,470	0	0	0	0	25,470
5908	04/01/2019	0	440,310	421,788	0	0	0	862,098
5772	06/01/2019	41,368	1,124,871	0	0	0	0	1,166,239
5775	06/01/2019	362,487	1,125,727	549,097	0	0	0	2,037,311

Table 4 – Match Contribution for the Federal Fiscal Year

HOME MBE/WBE report

Program Income				
Balance on hand at beginning of reporting period	Amount received during reporting period	Total amount expended during reporting period	Amount expended for TBRA	Balance on hand at end of reporting period
\$	\$	\$	\$	\$
5,847,141	6,066,025.06	3,724,122.54	3,491,922.54	8,189,043.42

Table 5 – Program Income

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	\$649,292,954	0	0	0	0	\$649,292,954
Number	20	0	0	0	0	20
Sub-Contracts						
Number	197	0	8	3	6	180
Dollar Amount	\$232,383,449	0	\$2,353,885	\$695,513	\$2,970,304	\$226,363,747
	Total	Women Business Enterprises	Male			
Contracts						
Dollar Amount	\$649,292,954	0	\$649,292,954			
Number	20	0	20			
Sub-Contracts						
Number	197	15	182			
Dollar Amount	\$232,383,449	\$7,113,495	\$225,269,954			

Table 6 - Minority Business and Women Business Enterprises

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 7 – Minority Owners of Rental Property

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

Table 8 – Relocation and Real Property Acquisition

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.

	One-Year Goal	Actual
Number of Homeless households to be provided affordable housing units	385	211
Number of Non-Homeless households to be provided affordable housing units	100	61
Number of Special-Needs households to be provided affordable housing units	637	1,146
Total	1,122	1,418

Table 9 – Number of Households

	One-Year Goal	Actual
Number of households supported through Rental Assistance	385	211
Number of households supported through The Production of New Units	637	1,146
Number of households supported through Rehab of Existing Units	0	0
Number of households supported through Acquisition of Existing Units	100	61
Total	1,122	1,418

Table 10 – Number of Households Supported

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

In developing the 2019 Consolidated Plan, the City allocated a small portion of the HOME grant for Tenant Based Rental Assistance (TBRA) due to the remaining funding available in prior year's grants as a result of the challenges that the program encountered with lease-ups.

Additionally, it is important to note that HUD's reporting system asks localities to separately report homeless and special needs households. However, the City uses HOME funds for supportive housing that is designed for people who are both homeless and who concurrently have special needs. The City assisted 68 of those Special Needs households in 2019 with HOME funds, falling short of our target, but we have consistently exceeded the annual targets for the previous years as established in the 2015 Strategic Plan, and as such we ended 2019 399% over the 5 year goal. Our commitment to and success

in addressing the housing needs of homeless and disabled New Yorkers continues to be reliant on the availability of HOME funds.

Discuss how these outcomes will impact future annual action plans.

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

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

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

Number of Households Served	CDBG Actual	HOME Actual
Extremely Low-income	0	1,144
Low-income	0	274
Moderate-income	0	0
Total	0	1,418

Table 11 – Number of Households Served

Narrative Information

Community Development Block Grant

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 by HUD.

HOME

HOME provided TBRA assistance to 1,146 households of which 86% went to extremely low-income households, 12% went to very low-income households and the remaining 2% went to low-income households. HOME also provided first time homebuyer assistance to 61 households of which 2% were extremely low-income, 8% were very low-income, and 90% were low-income households. Of the 211 HOME rental units, 74% went to extremely low-income households, 19% went to very low-income households and the remaining 7% went to low-income households.

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 2019, these funds supported three outreach programs that provide coordinated services and make placements in drop-in centers, safe havens, stabilization beds, shelters and permanent housing settings. Many of these placements also provide homeless individuals with meals, counseling, medical/psychiatric services, showers, laundry facilities, recreation space, referrals for employment, assistance in applying for benefits and other social services. ESG funding also supported two Drop-In Centers in 2019. Drop-in Centers provide street homeless clients with food, shower/bathroom facilities and chairs to rest. Additionally, case managers and housing specialists work with clients to obtain any needed services, medical care, mental health treatment, benefits and permanent housing.

HOME-STAT was launched in New York City in March 2016, and is the most comprehensive street homeless outreach initiative in any major city in the United States. The launch of HOME-STAT doubled the number of street homeless outreach staff working to regularly meet each homeless individual, gain trust and convince individuals to accept services, and then connect people to the resources they need to be placed into housing. HOME-STAT's comprehensive street homelessness outreach effort includes daily outreach in order to identify every individual living on the street, as well as an online dashboard system that maps requests for homeless outreach assistance from the public. At the end of calendar year 2019, the Mayor released "the Journey Home" plan to end long-term street homelessness, building on the progress of the HOME-STAT program through which more than 2,450 people have come off the streets and remained off since 2016.

In the 2019 Action Plan, the City set a goal of making 600 placements into temporary or permanent housing. In 2019, ESG-funded Drop-In Centers placed 141 individuals and ESG-funded outreach programs placed 341 individuals. In total, ESG-funded Drop-In Centers and other outreach programs made 482 placements into temporary and permanent housing, achieving 80.3% of the goal. Additionally, based on SAGE HMIS reporting, a total of 2,744 persons were engaged by ESG outreach services. Of that total, 2,199 persons were engaged by one of the three ESG-funded outreach programs and 545 were served at one of the two ESG-funded Drop-In Centers.

Addressing the emergency shelter and transitional housing needs of homeless persons

Governed by a unique right-to-shelter mandate, New York City provides temporary emergency shelter to families with children, adult couples without minor children, and single adults without available housing alternatives. DHS collaborates with not-for profit partners to provide temporary shelter and services that homeless New Yorkers need to achieve and maintain housing permanency. In April 2016, Mayor de Blasio announced a major restructuring of homeless services in NYC, followed by a release of a

comprehensive plan in February 2017 to turn the tide on homelessness, neighborhood by neighborhood. The plan's guiding principle is community and people first; giving homeless New Yorkers, who come from every community across the five boroughs, the opportunity to be sheltered closer to their support networks and anchors of life in the communities they called home in order to more quickly stabilize their lives.

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

In 2019, ESG funding provided critical support to emergency shelter and essential services in the following ways:

- Nineteen Single Adult shelter programs and one Adult Family Shelter program received ESG funding in 2019.
- DHS operates several emergency shelters specifically for single adult clients who have substance use issues. ESG funding supported substance-use counselors as well as substance-use services to further support individuals struggling with substance use. Acknowledging that mental health issues are a common barrier to housing permanency, ESG funding also supported mental health services within the funded shelters.
- New York City created a non-traditional model of emergency shelter for unsheltered individuals who repeatedly refused to enter shelter called a "Safe Haven" (not to be confused with HUD-funded Safe Havens). These shelters offer low-threshold rules and provide private/semi-private sleeping areas. A flexible model, it allows providers to best meet the needs of the chronically unsheltered homeless population and are used for placement by outreach teams only. ESG funding supported three NYC Safe Havens in 2019. Based on HMIS data from the E-Caper SAGE report, the City served 15,238 clients across the 20 ESG-funded emergency shelters, which is 125.9% of the annual goal of 12,100 clients served.

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

The Homebase program remains at the center of New York City's homeless prevention efforts. Homebase's community-based prevention has expanded to ensure that Homebase is the first point of entry for those at risk of homelessness and that people can be served in their home borough. ESG funds for prevention services are allocated to sixteen Homebase contracts covering all five boroughs.

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

In the 2019 Action Plan, the City set a goal of assisting 3,000 persons in households without children in Homebase programs with the support of ESG funds. In 2019, the ESG-funded Homebase programs assisted 5,731 persons in households without children, achieving 191.0% of the goal.

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

New York City continues to make strides since the launch of the Five-year Consolidated Strategic Plan (2015-2019) in assisting homeless persons transition to permanent housing and stabilizing in the community to avoid future homelessness. The City local housing voucher program, CityFHEPS was created in 2018 to better serve the community as a streamlined program that replaced three existing voucher programs - Living in Communities (LINC), City Family Eviction Prevention Supplement/Family Exit Plan Supplement (CityFEPS) and the Special Exit and Prevention Supplement (SEPS), all of which provided rental assistance options to people leaving shelter and prevented families and individuals from entering shelter. These programs marked the first time since 2011 that the City or State had offered this kind of rental assistance to families, and the first time ever that the City created its own rental assistance programs. New York City has coupled this with funding and incentives for landlords and brokers to rehouse homeless persons.

Further, New York reopened Section 8 housing vouchers and New York City Housing Authority (NYCHA) apartments to a targeted number of homeless families. From July 2015 through December 2019, a total of 8,269 formerly homeless individuals in 4,122 households were placed into permanent housing as part of the Section 8 program administered by NYCHA.

New York City has also launched the largest municipal commitment ever to build and expand supporting housing. Supportive housing integrates case management and connection to mental health and substance use disorder treatment along with referrals to counseling, medical care, and other social and

supportive services as needed. It has a proven record of helping stabilize lives and reducing reliance on homeless shelters, hospitals, mental health institutions and jail. In 2016, after the Mayor's commitment to fund 15,000 units over 15 years, the Mayor created a Task Force of nonprofit providers that were charged with analyzing the best way to develop and deliver on the plan. The Task Force developed essential recommendations for operationalizing the plan, including the prioritization of these units for those most in need. Through the Administration's ambitious NYC 15/15 plan the City has awarded over 4,700 15/15 units to providers. As of June 2020, across all City agencies, more than 2,000 people have moved into their own homes.

In 2017, the City enacted a local law committing to provide universal access to legal services for all New York City tenants facing eviction in housing court, to be phased in over five years. At full implementation, all tenants facing eviction in court with household incomes at or below 200% of the federal poverty guidelines will have access to full legal representation, with those making more receiving brief legal assistance. The City estimates that at full implementation approximately 400,000 New Yorkers facing eviction each year will have access to free high-quality legal assistance when this initiative is fully operational.

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

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

Further, New York reopened Section 8 housing vouchers and New York City Housing Authority (NYCHA) apartments to a targeted number of homeless families. From July 2015 through December 2019, a total of 8,269 formerly homeless individuals in 4,122 households were placed into permanent housing as part of the Section 8 program administered by NYCHA.

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

Actions taken to address the needs of public housing

NYCHA 2.0

In December 2018, Mayor Bill de Blasio and NYCHA announced NYCHA 2.0, a comprehensive plan to address New York City's aging public housing and ensure residents have the safe, decent and affordable homes they deserve. The 10-year plan aims to deliver and fund comprehensive renovations at NYCHA's developments and launch aggressive new repair strategies to tackle lead paint, mold, elevators, heat and vermin.

NYCHA 2.0 includes three programs to assure quality affordable housing for NYCHA's residents – Permanent Affordability Commitment Together (“PACT”), Build to Preserve (“BTP”), and Transfer to Preserve (“TTP”). PACT is the conversion of public housing units from Section 9 funding to Section 8 funding via federal programs such as HUD's Rental Assistance Demonstration (“RAD”). PACT facilitates major improvements to NYCHA's developments while preserving long-term affordability and maintaining strong resident rights through public-private partnerships. Transfer to Preserve is a program that generates revenue for capital repairs through the sale of unutilized development rights, also known as air rights. Build to Preserve is a program to develop revenue for capital repairs through development of mixed-income, mixed-use buildings on select NYCHA campuses. Additionally, new 100% affordable housing developments on underutilized NYCHA land are also underway.

I. First PACT Conversion at Ocean Bay (Bayside)

In December 2016, NYCHA closed its first PACT transaction at Ocean Bay (Bayside) in the Rockaways neighborhood of Queens, converting 1,395 apartments in 24 buildings. NYCHA entered into a public-private partnership with MDG Construction + Design (developer/general contractor), the Wavecrest Management Team (property management), Catholic Charities of Brooklyn and Queens (social services), and Ocean Bay Community Development Corporation (resident outreach/engagement). The project was 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. Total repair work for the project was \$560 million, including the FEMA-funded resiliency work. All rehab work occurred with tenants in-place; no residents were permanently displaced as a result of the conversion. Repairs were completed in 2018 and the remaining FEMA work concluded in 2019.

II. PACT Conversions in the Bronx and Brooklyn

Between October 2018 and February 2020, NYCHA closed on five PACT conversions as outlined below. Extensive capital improvements are under construction at all the sites, including upgrades to roofs, elevators, boilers, security systems, and grounds, as well as apartment interiors, including new kitchens and bathrooms. All rehab work is occurring with tenant in-place; no residents are being permanently relocated or displaced.

- **Twin Parks West** (Fordham Heights, Bronx) – Conversion of one building with 312 apartments. NYCHA entered into a public-private partnership with Gilbane Development Company (developer), Dantes Partners (developer), Apex Building Group (general contractor), and Kraus

Management, Inc. (property manager). Social services are being provided by BronxWorks. The project is being financed with conventional debt. Total repair work for the project will be approximately \$38 million. Repairs are planned for completion by 2021.

- **Betances Houses** (Mott Haven, Bronx) – Conversion of 40 buildings across 10 developments with 1,088 units. NYCHA entered into a public-private partnership with MDG Design + Construction (developer and general contractor), The Wavecrest Management Team (property manager), and Catholic Charities Community Services, Archdiocese of New York (social services). The project is being financed with conventional debt and developer equity. Total repair work for the project will be approximately \$120 million. Repairs are planned for completion by 2021.
- **Baychester and Murphy** (Edenwald and Crotona, Bronx) – Conversion of one non-dwelling building and 13 buildings with 722 apartments at Baychester Houses and Murphy Houses in the Bronx. NYCHA closed on this PACT 200 conversion by entering into a public-private partnership with MBD Community Housing Corporation (developer and social services provider), Camber Property Group (developer), and L&M Development Partners (developer and property manager). Social services are also being provided by BronxWorks. The project is being financed with conventional debt with a permanent takeout loan by the New York City Housing Development Corporation. Total renovation work for the project will be approximately \$88 million. Repairs are planned for completion by 2021.
- **Highbridge-Franklin** (Highbridge/Claremont, Bronx) – Conversion of 14 buildings with 336 apartments. NYCHA entered into a public-private partnership with Gilbane Development Company (developer), Dantes Partners (developer), Apex Building Group (general contractor), and The Kraus Organization (property manager). Social services are being provided by BronxWorks. The project is being financed with conventional debt and a subsidy loan from the New York City Department of Housing Preservation and Development. Total repair work for the project will be approximately \$27 million. Repairs are planned for completion by 2021.
- **Hope Gardens** (Bushwick, Brooklyn) – Conversion of 60 buildings with 1,315 apartments. NYCHA entered into a public-private partnership with Pennrose Properties (developer), Procida Construction (general contractor), Pinnacle City Living (property manager), and Acacia Network (social services). Total repair work for the project will be \$215 million. Repairs are planned for completion by 2021.
- **Brooklyn PACT II** (Bedford-Stuyvesant, Boerum Hill, Crown Heights, and Williamsburg, Brooklyn) – Conversion of 38 buildings with 2,625 apartments. NYCHA entered into a public-private partnership with the Arker Companies, Omni NY LLC, Dabar Development Partners, and Bedford Stuyvesant Restoration Corporation (developer joint venture), Chateau GC and Renewal Construction Services LLC (general contractor), Progressive Management (property manager), and El Puente, Nan Newark Tech World, Parcare Community Health Network (social services). Repairs are planned for completion by 2022..

III. PACT Conversions of LLCII/Unfunded Units in the Bronx

In July 2017, NYCHA announced that it would use PACT to protect the Authority's unfunded unit portfolio, which consists of eight conventional public housing developments and currently receiving no public housing funding.

In December 2018, NYCHA closed on a PACT conversion of 722 units across 14 developments at Baychester and Murphy Houses in the Bronx. NYCHA entered into a public-private partnership with MBD Community Housing Corporation (developer/social services provider), Camber Property Group (developer), and L+M Development Partners (developer, general contractor, property manager). The

project is being financed with conventional debt. Total repair work for the project will be \$88 million. Repairs are planned for completion by 2021.

Additionally, the Brooklyn PACT II project mentioned in Part II above included Independence Towers and Williams Plaza, both LLC II unfunded developments.

IV. Recently Completed “Transfer to Preserve” Air Rights Transfer

Hobbs Court, Manhattan – In March 2020, NYCHA completed its first Transfer to Preserve transaction. NYCHA received \$2,664,000 from an adjacent property owner for 9,000 square feet of unused development and parking rights at Hobbs Court in Upper Manhattan. Hobbs Court is not a public housing development. As such, proceeds from this transaction will be used to make repairs at nearby Metro North Plaza. The development and parking rights will facilitate construction of a 115,000 square foot mixed-used building with 185 apartments and 13,000 square feet of commercial space. The project will provide affordable housing for 30% of the new units under the Affordable New York Housing Program. Construction is anticipated to begin in 2020.

V. Recently Completed New Housing Construction

Ingersoll, Brooklyn – In 2017, NYCHA leased a portion of Block 2034 Lot 134 with approximately 124,000 square feet of development rights for the construction of a 146-unit senior housing development. The project, known as Stonewall House, opened in 2019 as the City’s first LGBT-friendly senior development for persons aged 62 or older.

Mill Brook, Bronx – In 2017, NYCHA leased Block 2548 Lot 2 with approximately 126,055 square feet of development rights for the construction of a 159-unit senior housing development. Construction began in 2017 and construction was completed in 2019.

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

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

Resident Associations

Most NYCHA developments have resident associations, also known as tenant associations, resident councils, or tenant councils. These democratic organizations are dedicated to improving the quality of life in NYCHA developments and the surrounding neighborhoods. Resident councils may actively participate through a working partnership with NYCHA giving residents a voice in the operation of their developments. Each resident association’s executive board is elected by association members and

typically consists of a president, vice-president, secretary, treasurer, and sergeant-at-arms. NYCHA helps residents create a resident association if their development does not already have one.

The Citywide Council of Presidents

Every president of a recognized resident association is a member of the City-Wide Council of Presidents which is geographically structured into 9 District Committees in the city. Resident association presidents elect an Executive Board to represent their district. Members of the CCOP's district Executive Boards 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).

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. The RAB consists of 44 elected resident association presidents and two Section 8 representatives.

Financial Capability and Asset Building

Family Self-Sufficiency (FSS)

The Housing Choice Voucher 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. Participants receive a savings account which grows as the family's earned income increases. Upon completion of educational and employment goals, the family receives the money accumulated in the account, provided that no member received cash public assistance over the preceding 12 months and the head of household is employed. The money may be used as a down payment on a home, payment for higher education, startup capital for a business or to pursue other personal goals. Participating families do not jeopardize their Section 8 vouchers and may continue to receive Section 8 assistance upon graduation from the program if they continue to meet Section 8 eligibility criteria.

As of December 31, 2019, there were 998 participants in the program. A total of 412 participants, or 41%, had active escrow accounts with an average balance of \$5,474. In 2019, the program continued to outreach to residents participating in the HUD Family Unification Program (FUP) demonstration initiative for youth who have aged out of foster care. In addition to receiving the standard FSS benefits, FUP youth who enroll in FSS can extend the duration of their NYCHA Section 8 voucher from three to five years.

For the 2019 tax year, Citi Community Development renewed an investment to continue the expansion of available of free tax prep services in NYCHA communities. As a result, REES continued its collaboration with the Food Bank for New York City to provide free tax preparation services across 26 community centers and Jobs-Plus sites. In the 2019 tax season, 1,845 tax returns were filed via Virtual VITA at NYCHA locations.

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)

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 169,820 (as of January 1, 2020) apartments in 302 developments throughout the City in 2,252 residential buildings containing 3,193 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 five percent of its total stock of units, currently equivalent to 8,800 units, into Section 504 fully accessible units available to residents or applicants with mobility impairments.

In addition, NYCHA provides accessibility via reasonable accommodations and greater accessibility to existing conventional apartments via accessibility features.

- As of April 2020, the New York City Housing Authority has converted 7,746 units this includes buildings NYCHA no longer operates that have gone through a PACT conversion) of which 4,564 units are fully accessible. NYCHA also has completed about 18,776 apartment modifications to conventional units to aid residents with mobility impairments.
- NYCHA also offers reasonable accommodations in policies, procedures and practices that will make non dwelling facilities, services and programs accessible to persons with disabilities.
- In 2019, NYCHA added 170 fully accessible units citywide via its grounds improvement initiative. The grounds improvement initiative seeks to bring grounds, walkways, common areas, parking lots, basketball courts and play areas to full accessibility for use by mobility impaired residents.

NYCHA also provides housing assistance through the Section 8 (Housing Choice Voucher) program to an additional 200,000 New Yorkers, in cooperation with nearly 25,000 private property owners. Over 550,000 people in New York City are served by NYCHA's Public Housing and Section 8 programs.

As of January 2020, NYCHA owns and operates a total of 7,699 fully converted apartments for people with mobility impairments, which includes apartments in developments that have undergone PACT conversions.

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

HPD

Since Mayor de Blasio launched the Housing New York plan in 2014, New York City has accelerated the creation and preservation of affordable housing to levels not seen in 30 years. It has financed over 165,000 affordable units. In 2017, Mayor de Blasio committed to accelerating and expanding the pace of Housing New York to achieve 300,000 affordable apartments by 2026 — 100,000 more than initially planned. Nearly 40 percent of the units financed are reserved for very low-income households, also surpassing initial projections.

The de Blasio administration is proud to have passed the most aggressive Mandatory Inclusionary Housing (MIH) policy in the nation, requiring developers whose properties were rezoned to allow additional capacity to dedicate a portion of the new housing to be permanently affordable. Zoning for Quality and Affordability removed many regulatory barriers (e.g., parking requirements, impractical height limits) that significantly constrained the creation of affordable and senior housing projects. A reformed 421a program requires affordable housing in rental properties using the exemption, and eliminates tax breaks for luxury condos. Taken together, the City is in a position to reach a sustained goal of 25,000 affordable units preserved or constructed per year — a rate it has never before achieved.

The full *Housing New York* plan can be found here:

http://www.nyc.gov/html/housing/assets/downloads/pdf/housing_plan.pdf

The expansion of the original *Housing New York* plan can be found here:

<http://www1.nyc.gov/assets/hpd/downloads/pdf/about/hny-2.pdf>

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

HPD has accelerated its Request for Proposals (RFP) pipeline for new construction, ensuring that underused developable land is transformed into residential and mixed-use development that contributes to broader community revitalization efforts. RFPs have been issued for 79 projects across approximately 213 sites that will generate nearly 12,000 affordable homes. To help accomplish these goals, HPD has revamped the RFP document to more clearly communicate its requirements and preferences, as well as open up the process to a broader range of developers.

The City has enacted zoning changes in several neighborhoods, including Jerome Avenue in the Bronx, East New York, East Harlem, Inwood, Downtown Far Rockaway, and the Bay Street Corridor in Staten Island. Together, these zoning changes will allow the creation of thousands of new affordable homes over the next 15 years over what could have been built under previous zoning.

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

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

The Brownsville Plan is the result of a community-driven process to identify neighborhood goals, form strategies to address local needs, and find resources to fill gaps in service in this low-income community. The Brownsville Plan will result in the creation of over 2,500 new affordable homes representing over one billion dollars of investment in housing in the neighborhood. HPD announced the designation of the development teams identified through the Brownsville Request for Proposals (RFP), for over 880 affordable homes to be built on three City-owned sites. In addition, the Brownsville Plan will coordinate over \$150 million in City investments, including renovations of Brownsville's parks, improvements to the open spaces on NYCHA developments, a new community center for teens at Brownsville Houses, and a new Neighborhood Health Action Center.

HPD launched the Bed-Stuy Housing Initiative in the Spring of 2019 to evaluate and improve upon the agency's affordable housing investments in Bedford-Stuyvesant. By working with local community groups and coordinating housing-related city agencies, the initiative is designed to ensure that HPD programs and investments are working towards common objectives for the neighborhood and that housing developed on public land responds to local needs. As part of the initiative HPD has hosted a series of public workshops and roundtable events to engage residents, elected officials, community-based organizations, and housing-related government agencies. At the end of the process the agency will publish a housing plan summarizing the community's goals for affordable housing development, plans for future development of affordable housing on City-owned land, and strategies for supporting tenants and homeowners across the neighborhood.

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

In 2016 the DOHMH's HOPWA program launched the Getting to 90 initiative to expand the role of HIV/AIDS housing providers in Ending the Epidemic (EtE) efforts as part of NY State's strategy to end AIDS by 2020. By setting a 90% viral suppression goal, the Getting to 90 initiative delivered a programmatic, data-driven approach to help thirteen (13) HOPWA-funded permanent supportive housing providers and one (1) long-term rental assistance provider introduce changes that would increase viral suppression rates among their consumers. Our goal was to strengthen the role of HOPWA-funded housing agencies in reducing barriers to viral suppression; and improve electronic

documentation of viral load results among HOPWA consumers in eCOMPAS --an RDE Systems' web-based reporting platform for NYC HOPWA data—to monitor rates of HIV care engagement and viral suppression. The year-long initiative involved enhancing the eCOMPAS reporting system, training all providers on the new system features, developing and circulating six agency-level dashboards with engagement in care and viral suppression data, conducting quarterly phone interviews and providing hands-on technical assistance. After the Getting to 90 intervention DOHMH found viral suppression, as measured by viral load tests reported to surveillance, increased from 82% to 83%.

In our continued efforts to achieve and sustain viral suppression, the HOPWA program continued interventions as part of the second iteration of Getting to 90, Race to End the Epidemic (R2EtE). Because our HOPWA Case Managers are in the front lines and in the best position to reach non-suppressed consumers, R2EtE interventions focused on building their capacity to help consumers achieve viral suppression. Throughout 2019, DOHMH hosted HOPWA case managers at training events covering topics such as: Mental Health First Aid, Promoting Care and Treatment Adherence, Motivational Interviewing and Emerging Trends in Substance Use.

In addition to these trainings, HOPWA continued to support agencies by circulating six agency-level dashboards with engagement in care and viral suppression data, conducting quarterly phone interviews and providing hands-on technical assistance and resources around treatment adherence and access to care in a quarterly resource bulletin.

On September 27, 2019 the R2EtE program culminated with a ceremony to celebrate viral suppression achievements during the 14-month long intervention. As a result of continued efforts, viral suppression increased in populations that historically have lower rates of viral suppression, closing gaps and improving health in these populations. At the conclusion of R2EtE, increase in viral suppression rates were highest among the following populations:

- Non-Hispanic Blacks from 83% at baseline to 85%
- Transgender Women from 83% to 96%
- Soft Substance Users from 83% to 86%
- Consumers with Mental Health diagnosis from 85% to 88%
- Young adults ages 18-24 from 85% to 91%

On an agency level, of the 14 participating agencies, five achieved or exceeded the 90% goal, and three achieved at least 85% of consumers virally suppressed.

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

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. However, ESG funding allocated through DHS is not used for any maintenance or operation of shelters for Families with Children.

NYC Housing Authority

Currently, NYCHA is not in compliance with a number of federal regulations with respect to lead-based paint (LBP) and LBP hazards. This section will describe some of the main steps NYCHA is taking to address LBP hazards and to attempt to improve its compliance.

Actions Under the HUD Agreement

The first major overall action to reduce LBP hazards and to improve overall compliance is to continue to work to fulfill the LBP requirements set forth in the January 31, 2019 settlement agreement with HUD, the U.S. Attorney's Office for the Southern District of New York ("SDNY") and the City of New York to fix the physical conditions in NYCHA properties, including LBP, mold, heat, elevators and pests ("HUD Agreement").

The HUD Agreement aims to ensure that NYCHA provides decent, safe and sanitary housing for all NYCHA residents. Bart Schwartz was appointed to serve as the Monitor (Section IV.A paragraph 16). The purpose of the Agreement is to ensure that NYCHA complies with its obligations under federal law, reform the management structure of NYCHA, and enable cooperation and coordination between HUD, NYCHA and the City during the term of this agreement (Section I paragraph 8).

Exhibit A of the HUD Agreement sets forth NYCHA's responsibilities with respect to LBP. Exhibit A includes the following requirements:

- Continuous, ongoing compliance with HUD's Lead Safe Housing Rule, EPA's Renovation Repair and Painting (RRP) Rule, and EPA's Abatement Rule, and twice-yearly certifications describing NYCHA's compliance with these rules;
- Performance of certain lead hazard remediation work in specific priority apartments (apartments with children under age six);
- Abatement of NYCHA apartments with LBP and associated interior common areas by 2039 (with specified interim deadlines);
- Performance of biennial risk assessment reevaluations by January 31, 2021;
- Establishment of a Memorandum of Agreement with the New York City Department of Health and Mental Hygiene (DOHMH) regarding elevated blood lead level (EBLL) cases to facilitate ongoing reporting of EBLL cases to HUD;
- Specific obligations to enhance compliance with EPA's RRP Rule;
- Disclosure of LBP information in accordance with HUD's Lead Disclosure Rule.

NYCHA is developing an LBP Action Plan that sets forth the steps that NYCHA will take to meet its obligations under Exhibit A of the Agreement. The Action Plan was submitted to the Federal Monitor, SDNY, and HUD in March 2020 and NYCHA is awaiting comments as of September 2020.

The HUD Agreement also requires NYCHA to establish a Compliance Department (“Compliance”) and an Environmental Health and Safety Department (“EH&S”), both of which are currently operational. Together, Compliance and EH&S will provide oversight of NYCHA’s LBP programs and identify areas of non-compliance.

To date, NYCHA has not been able to certify under the HUD Agreement to full compliance with the Lead Safe Housing Rule or the RRP and Abatement Rules, or the above-described requirements of the Agreement. In 2019, NYCHA made two submittals under paragraph 30 of Exhibit A which documented certain areas of non-compliance, and areas of progress.

In 2019, NYCHA has taken specific steps to provide LBP-related training to its work force, improve its compliance with lead safe work practices, implement IT controls geared towards better and more reliable lead compliance, and devote resources to field and documentary monitoring and oversight. NYCHA still has much work to do to meet its compliance obligations, and NYCHA will continue to work with the Federal Monitor to address compliance shortfalls and craft a proactive and protective LBP Action Plan.

NYCHA XRF Initiative

The second major overall action to ultimately reduce LBP hazards is NYCHA’s ongoing initiative to perform LBP inspections in approximately 134,000 apartments using XRF analyzer devices. The goal of this project is to definitively identify which apartments do and do not contain LBP and, if the apartments do contain LBP, which specific components in each apartment contain LBP. These testing results will be shared with residents and uploaded into an online portal. The results will also be integrated into NYCHA’s Maximo work order system, further improving NYCHA’s ability to implement lead safe work practices.

As of September 15, 2020, NYCHA has completed LBP inspections in 41,630 apartments and, of these, received the testing results for 40,537 apartments. Of the 40,537 apartments, 21,918 have tested positive for LBP components and 18,619 have tested negative.

HUD Visual Assessments and Interim Controls

Under the Lead Safe Housing Rule, NYCHA must conduct visual assessments of all apartments in “target housing” unless otherwise exempt under 24 CFR §35.115. Target housing means any housing constructed prior to 1978, except housing for the elderly or persons with disabilities (unless a child of less than six years of age resides or is expected to reside in such housing for the elderly or persons with disabilities) or any zero-bedroom dwelling.

2019 Activity	Date Started	Number as of 9/15/2020
Interim Controls to Correct Paint Deficiencies Identified in 2018 Visual Assessments	2018	23,861 (out of 39,602 apartments where interim controls are required) ¹
Interim Controls to Correct Paint Deficiencies Identified in 2018 Visual Assessments	NYCHA did not perform interim controls on paint deficiencies in common areas. This was not in compliance with the Lead Safe Housing Rule.	

2019 Activity	Date Started	Number as of 12/31/2019
Visual assessments of apartments completed	April 2019	37,179 (out of 44,225 apartments where visual assessments are required) [1] [1] Note, a certain number of these units have subsequently tested negative through the NYCHA XRF initiative.
Interim Controls to Correct Paint Deficiencies Identified in 2019 Visual Assessments	2019	6,704 (out of 13,268 apartments where interim controls are required) [1] [1] As NYCHA has disclosed in prior submittals under the HUD Agreements, NYCHA did not comply with HUD regulations on final clearance examinations in its performance of interim controls

¹ As NYCHA has disclosed in prior submittals under the HUD Agreements, NYCHA did not comply with HUD regulations on final clearance examinations in its performance of interim controls during 2019.

		during 2019.
Visual assessments of common areas completed	NYCHA did not conduct visual inspections of common areas in 2019. This was not in compliance with the Lead Safe Housing Rule.	

In 2020, NYCHA commenced interim controls arising from these visual assessments. As NYCHA has previously disclosed, NYCHA is not in compliance with applicable lead-based paint requirements but is working toward improving compliance.

Local Law 1 of 2004 Apartment Abatement

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

2019 Activity	Numbers
Apartments tested upon turnover in 2019	1,718
Apartments tested negative upon turnover	1,046
Apartments tested positive upon turnover	672
Apartments abated upon turnover in 2019	446
Apartments abated in 2019 based on testing done 2018	159
Total Apartments abated in 2019 irrespective of testing year	605

Department of Health Orders to Abate

NYCHA also responds to Commissioner Orders to Abate (COTA) issued by the New York City Dept of Health and Mental Hygiene arising from elevated blood lead levels in children under 18 residing in NYCHA developments. Statistics regarding blood lead levels for children under the age of 18 are available in the Childhood Blood Lead Level Surveillance reports for 2019.

Housing and Preservation Development

The City operates several programs to investigate, treat and reduce lead-based paint hazards. The City investigates, abates, and removes LBP hazards in City-owned properties and in privately owned dwellings where owners are unwilling or unable to do so after receiving NYC Local Law 1 of 2004 lead paint violations. Where a lead-poisoned child is identified, the DOHMH orders the owner to abate lead

paint hazards. If the owner fails to do so, HPD's Emergency Repair Program (ERP) will do the work and place a lien against the property for the cost. For fiscal calendar year 2019, HPD maintained three requirements-type contracts for lead hazard reduction at a cumulative total contract maximum of \$3,500,000. In addition, HPD had one contract for dust wipe analysis at a total contract maximum of \$99,999.

In FY2019 HPD's Division of Code Enforcement attempted 40,790 inspections, issuing a total of 13,771 violations. There were 2,712 reinspections were performed. There were 3,445 violations were certified as corrected; 9,469 violations (includes violations issued in prior years) were removed due to corrections by either the owner or HPD.

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

Poverty in the City, Policy Responses, and the Path Forward

In his State of the City address in January 2019, Mayor de Blasio declared that New York City is committed to being "the fairest big city in America." Reducing poverty and increasing opportunity are an important part of that vision. The City has been making steady progress in this area through a variety of measures. This reduction puts the City on course for the goal announced in 2015 in One New York: The Plan for a Strong and Just City to move 800,000 people out of poverty or near poverty by 2025.

The City continues to launch ambitious programs. In this year's State of the City, Mayor de Blasio made a number of bold new commitments. These include a guarantee of health care for every New Yorker and a requirement that all workers in the city receive two weeks of paid personal time. The mayor and the City Council have also launched a new "Fair Fares" program to provide reduced-cost mass transit to low-income New Yorkers.

The City has launched, expanded, or maintained in the past year, as well as some that are currently being developed. The focus is on programs that stand out because of their size, innovation, or potential to have a major impact on poverty and opportunity among New Yorkers.

The initiatives below were highlighted in an April 2019 poverty report from the Mayor's Office for Economic Opportunity https://www1.nyc.gov/assets/opportunity/pdf/19_poverty_measure_report.pdf

Increasing Income

The most direct way of reducing poverty and expanding opportunity in the city is to increase income among New Yorkers. The de Blasio administration has made this a high priority through a variety of approaches. Several initiatives seek to support income growth, including: **Increasing the Minimum Wage** The New York City minimum wage has been increasing annually as part of a planned phase-in. Since 2013, the minimum wage increased from \$7.25 to \$11 in 2017. (In 2019, it increased to \$15). In December 2018 the City established the nation's first minimum pay rate for appbased drivers.

The Newly Expanded Department of Consumer and Worker Protection

An important part of fighting poverty and promoting opportunity is protecting workers' rights, such as ensuring that overtime is properly calculated and compensated. In many cases this directly translates into higher incomes.

Paycheck Plus

The program simulated an expanded EITC for single working people with no dependent children. The Paycheck Plus increased post-tax earnings and reduced severe poverty.

Catalyzing Good Jobs

The City has made a priority of increasing New Yorkers' access to well-paying jobs. It has done so by working to expand the number of good jobs in the city. The City is working to accelerate growth through investments, tax incentives, physical space, and workforce training in key sectors including cybersecurity, life sciences and health care, industrial and manufacturing, and culture. In June 2018 the City issued a one-year progress report detailing steps that have been taken to make City-owned land available, to invest directly in high-growth industries, and to work with the New York City Industrial Development Agency (NYCIDA) while laying groundwork for or facilitating the creation of nearly 19,000 good-paying jobs. In the category of making City-owned property available, the update included opening a one million square foot manufacturing facility at the Brooklyn Navy Yard, opening 500,000 square feet of space at the Brooklyn Army Terminal, and completing a real estate deal to create an office building on the Staten Island Teleport campus. In the category of investment and support, the City launched a \$20 million City University of New York (CUNY) 2X Tech initiative, selected an operator for the LifeSci NYC incubator, launched an internship program, and provided grants for opening new community health centers.

Benefits Access

Benefits such as housing subsidies and SNAP can make a considerable difference in lifting people out of poverty. The City uses a number of innovative approaches to connect New Yorkers with the help to which they are entitled, including improved technological tools and new outreach methods for informing people about eligibility and helping them with application processes.

ACCESS NYC & HRA

ACCESS NYC is an online tool that allows New Yorkers to determine their eligibility for a variety of federal, state, and City benefits and to apply for them. New capabilities have been added, including the ability to receive eligibility results by text message or email. Access HRA is a mobile responsive application and website allowing New Yorkers to apply for SNAP benefits or recertify for SNAP or Cash Assistance using a mobile phone.

The Public Engagement Unit and Benefits Enrollment

Proactively engages and connects New Yorkers with a variety of social services such as health care and tenant support. Outreach specialists use data-driven door knocking and also reach out through neighborhood events with community partners.

New Benefits

The City has been designing and launching new benefits programs to provide additional support for low-income New Yorkers, including:

Universal Retirement Fund/Portable Benefit

In his 2019 State of the City address, the mayor announced plans to establish a City-managed retirement fund for all New Yorkers who lack access to an employer sponsored plan.

Guaranteed Two Weeks Paid Personal Time & Sick Leave

Mayor de Blasio also announced his intention to make New York City the first city in the nation to require private employers with five or more employees to offer paid personal time annually. All workers in New York City have been eligible for paid sick leave since 2014. All workers in New York City have been eligible for paid sick leave since 2014 – a result of legislation developed by Mayor de Blasio and the City Council. The law applies to all employers with five or more employees and requires those with fewer employees to provide unpaid sick leave. Employees begin accruing sick days on their first day of employment at a rate of one hour for every 30 hours worked.

Increasing Educational Opportunity

Education is one of the most important factors in lifting people out of poverty and into the middle class. Early education has been shown to play a major role in improving life outcomes, including adult employment and earnings levels. The City has invested heavily in improving educational opportunities for all New Yorkers, from their earliest years through college.

Universal Pre-K & Expanded 3-K

The City now offers free, high-quality pre-K to every four-year-old New York City resident. In the fall of 2019, about 70,000 students were enrolled in pre-K. In February 2019 Mayor de Blasio and Schools Chancellor Richard Carranza announced 47 new pre-K dual language programs spread across all five boroughs. The 3-K for All program is the nation’s most ambitious initiative to provide universal free full-day, high-quality early childhood education to all three-year-olds. The City is planning to bring total enrollment up to 20,000 in the 2019–2020 school year.

Equity and Excellence for All Initiative

This initiative works to accelerate learning and instruction, partner with communities, develop people, and advance equity. Its goals are that by 2026, 80 percent of students will graduate from high school on time with two-thirds of graduates college ready.

College Success

College graduates are significantly less likely to be in poverty or near poverty than adults without a college diploma. The City has a variety of programs designed to help New Yorkers gain admission to and complete college.

CUNY Accelerated Study in Associate Programs

Takes a comprehensive approach in the support it provides to students. It encompasses dedicated academic advising, career development counseling, and financial support, including summer and winter scholarships, tuition gap waivers, textbook vouchers, and MetroCards.

The Accelerate, Complete, and Engage Program

In May 2018 NYC Opportunity announced that it would provide additional financial support to the Accelerate, Complete, and Engage (ACE) program at CUNY’s John Jay College of Criminal Justice. ACE uses the ASAP model to promote graduation of four-year baccalaureate students. The new funding will allow an additional 275 to 300 students to participate in the program for up to five years.

In the fall of 2019 with support from the Robin Hood Foundation, ACE will expand to CUNY’s Lehman College where it will serve 125 first-time, full-time freshmen and 125 full-time transfer students who enter with associate degrees. CUNY aims to expand the program to other senior colleges in the future.

Increasing Access to Opportunity

In its work to promote opportunity for all New Yorkers, the City provides extra support for groups that face special burdens. It also develops new tools that can help remove obstacles to economic success.

Immigrant Assistance

Immigrants are more likely to be in poverty and near poverty than other New Yorkers, and in many cases have greater difficulty in the labor market, particularly if they are undocumented. ActionNYC, Through Know Your Rights forums, and We Speak NYC are two programs aimed at helping immigrants regardless of their immigration status.

Fair Fares Program

Transportation is a key element of opportunity. People rely on public transportation to find work, to commute to work, to access services and enrichment, and to maintain social ties with friends and family. In January 2019 Mayor de Blasio and City Council Speaker Corey Johnson jointly announced the development of a half-price MetroCard program to reduce the financial burden of public transit on low-income New Yorkers. In March 2019 Mayor de Blasio and Speaker Johnson announced plans to expand Fair Fares in the fall of 2019 to eligible New Yorkers in NYCHA housing, students enrolled at CUNY, and military veterans below 100 percent of the poverty line.

Increasing and Maintaining Available Affordable Housing

Affordable housing is one of the greatest unmet needs in New York City, and the cost of housing is often a major factor in pushing New Yorkers into poverty or near poverty. The City has made expanding the supply of affordable housing one of its highest priorities.

Neighborhood Pillars Program

Preserves affordable housing by helping nonprofit and mission-driven organizations acquire rent stabilized and unregulated buildings.

New York City Housing Authority

Job Training and Placement Overview

The Office of Resident Economic Empowerment & Sustainability (REES) implements programs, policies and collaborations to measurably support residents' increased income and assets with a focus on employment and advancement, financial literacy and asset building, adult education and training, and business development. REES uses a partnership and place-based service coordination model, or "Zone Model", to identify and partner with high-quality economic opportunity service providers in each key service area. This approach broadens NYCHA's scope from resident job training and employment to a more comprehensive suite of high-quality economic opportunity service providers. As of June 2020, over 70 providers have since entered into formal partnership with REES, resulting in **over 6,600** resident connections in 2018 to workforce, training, adult education and financial counseling services. In 2019 there were **over 440** resident class/training enrollments for services in each service area through REES recruitment efforts. Residents enrolled in training towards the end of 2019 will complete in 2020.

In November 2015, REES launched Opportunity Connect, a web-based self-service platform that allows residents to interact electronically with REES and REES partners. Through this platform, residents can electronically refer themselves for economic opportunity services offered through NYCHA's network of vetted workforce development, adult education, financial literacy and business development partners. The initiative allows resident to register for information sessions and other services hosted by REES

and/or NYCHA's partners, as well as to directly provide information to REES, allowing staff to better connect them with economic opportunities, including employment, generated by NYCHA and its vendors. To easily access resident referrals and report results, there is a respective Partner portal for REES partners. In 2020 REES and NYCHA IT will build out an employer portal that will allow REES contractors to upload job orders and receive resumes from qualified residents via the platform.

Opportunity Connect has allowed REES to reach a more diverse and higher volume of residents across the city, connecting them to local resources. The tool has also helped NYCHA continue to improve its relationship with residents by providing 24/7 access to REES partner services, allows for greater transparency on upcoming opportunities, as well as provides a comprehensive tracking and performance management tool.

Section 3 Requirements

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

i. Section 3/Resident Employment Program

In 2019, NYCHA facilitated **902** direct job placements. These job placements included **515** resident job placements leveraged through outside contractors for various projects at NYCHA developments in accordance with the employment-related provisions of the Housing and Urban Development (“HUD”) Section 3 mandate and NYCHA’s Resident Employment Program (“REP”). The Resident Employment Program (REP) is a NYCHA-sponsored program that requires that 15% of the labor costs on a contract be expended on resident hiring. With few exceptions, REP applies to construction contracts valued more than \$500,000.

ii. Jobs-Plus is a proven place-based employment program that provides customized employment services, financial counseling, rent-based incentives and peer to peer support to working age residents in 27 NYCHA Developments. There are currently 10 Jobs-Plus sites operating city-wide under the Jobs-Plus expansion. The 10th site is operated through New York City’s first HUD Jobs Plus initiative grant which was awarded to NYCHA in 2016. The 10 Jobs-Plus sites serve over 25,000 working age NYCHA residents. The Jobs-Plus expansion marks a key milestone in NYCHA’s new approach to better support its residents to increase their income and assets by working with public and private partners to identify gaps in service offerings and to develop strategies that attract high quality resources and proven economic opportunity models, like Jobs-Plus, into public housing neighborhoods.

In September 2016, NYCHA was awarded a \$2 million grant from HUD for the Jobs Plus Initiative Program. HUD’s commitment allows NYCHA to bring the Jobs Plus program to the 687 residents of the Pennsylvania-Wortman Houses located in East New York, Brooklyn. Since its launch in March 2017 to end of year 2019, 348 new residents were enrolled—151.3% of the HUD end of year three cumulative goal of 230 (Note: year 3 ended 2/28/20). Of those members, 192 were assessed in the areas of job readiness, financial health, and/or mental health—103.23% of the HUD end of year 3 goal of 186. The program continues to work to connect members to job opportunities and/or address the barriers to employment. This has resulted in 54 members being placed in full-time (34) or part-time employment (20) from inception to year end 2019. In addition, 17 members who were already employed have moved to a new job or from part-time to full-time employment.

There are 161 members who have received financial coaching, including 42 who are currently receiving the Jobs Plus Earned Income Disallowance program benefits, which has resulted in a combined \$131,349 cumulative rent savings for those residents.

iii. The **NYCHA Resident Training Academy** is a public/private initiative funded by the Robin Hood Foundation. The NRTA began in August 2010 as a citywide, employment-linked training program for NYCHA residents. Residents receive training from some of New York City's premier vocational training providers in preparation for jobs with NYCHA, its contractors, and the private sector. By the end of 2019, **over 2,500** NYCHA residents have graduated the Academy with **about 90%** moving on to employment directly with NYCHA and in various construction-related positions with NYCHA contractors and external affordable housing developers. In August 2015, NYCHA was approved direct entry status for its construction track from the New York State Department of Labor (NYS DOL). Since then, NYCHA has established direct recruitment partnerships with nine apprenticeship programs including DC 9 Painters, IBEW Local 3 Electricians and Local 8 Roofers for NRTA graduates.

iv. Zone Partner Highlight: Green City Force

Green City Force (GCF) is a New York City-based AmeriCorps program that combines national service and workforce development to reduce carbon emissions while providing urban young adults with training and leadership opportunities related to greening the economy. Green City Force has partnered with REES since 2009 to recruit qualified NYCHA Residents ages 18-24 for their full-time stipend-paid program that provides training leading to certifications, college-prep, leadership development and hands-on work experiences. Specifically, NYCHA conducted intensive recruitment aimed at reaching young adults from the 15 high crime Mayor's Action Plan (MAP) developments. The MAP initiative invests resources into these communities to increase resident access to much needed services and high-quality training programs. REES and GCF hold weekly information sessions at REES's central office and at various NYCHA campuses during recruitment season. NYCHA has worked with GCF to recruit for two tracks, Urban Agriculture and Energy Corps. Participants benefit by learning new skills and training necessary for in demand green jobs and the curriculum is aligned with New York City's waste reduction initiative. Under the new program model GCF Corp Members are exposed to both tracks as they build dedicated hours of service which range from 450, 900, or 1,700 service hours. In 2019 approximately 50 NYCHA residents graduated from Green City Force over two cohorts.

Community Development Block Grant Program

The City has included its CDBG "Section 3 Summary Report" in the Appendix. Please note this is a report showing combined accomplishments for both Calendar Years 2018 and 2019. Due to a technical problem with HUD's Section 3 reporting software, the City was unable to enter information into the 2019 template for CDBG. In order to meet the reporting deadlines, HUD allowed the City to add its 2019 accomplishments to its previously-submitted report for 2018. Accordingly, the breakout of accomplishments by year is as follows:

	<u>2018</u>	<u>2019</u>	<u>Combined Total</u>
Dollar value of CD-funded contracts awarded during program year that were subject to Section 3:	\$ 4,556,354	\$16,074,577	\$ 20,630,931
<i>Of those:</i>			
- Dollar value of contracts awarded to Section 3 businesses:	\$ 494,800	\$ 173,990	\$ 668,790
- Number of contracts awarded to Section 3 businesses:	2	1	3
Number of new hires associated with Section 3 covered projects:	87	129	216
Of those, hires that were Section 3 residents.	33	11	44

HPD HOME Program

Harness Affordable Housing Investments to Generate Quality Jobs

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

To build the capacity of M/WBEs, HPD partnered with the NYC Small Business Services to create a program specially designed for affordable housing developers. To date, HPD's capacity building program has graduated more than 90 M/WBEs and non-profit development firms.

To create pathways for qualified M/WBE professional service providers and construction contractors to work on HPD-supported affordable housing projects, HPD created its M/WBE Build Up program. The program requires 25% of all City supported cost in any new construction or preservation project receiving \$2 million or more from the City be spent on M/WBEs businesses during the design or construction phase of an affordable housing project. To date, 174 projects are now subject to these program requirements and it is projected that approximately \$820 million dollars will be contracted to M/WBE businesses. HPD has a Build-Out program, which provides networking opportunities between development teams and qualified M/WBE and small business contractors interested in working on affordable housing projects in addition to providing a seminar series to increase the business acumen and capacity of these M/WBE and local firms.

HPD's Division of Economic Opportunity and Regulatory Compliance enforces compliance with the program, facilitates connections between M/WBE firms and non-M/WBE partner developers or general contractors, and identifies ways to promote changes in the affordable housing industry to increase the participation of M/WBEs.

HPD 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: <https://www1.nyc.gov/site/hpd/services-and-information/hud-section-3.page>.
- 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.

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

New York City Housing Authority

As of November 2020, the NYCHA Board is comprised of seven members appointed by the mayor, including three resident members. The mayor designates one of the board members as the Chair. The Chair is the Chief Executive Officer of NYCHA and has general purview over the business and affairs of NYCHA. The members elect from amongst themselves one member to serve as Vice-Chair. In the event of a vacancy in the office of Chair, or during the Chair's inability to act, the Vice-Chair presides at meetings for NYCHA. The duties of the Board Members include: voting on contracts, resolutions, policies, motions, rules and regulations at no fewer than ten regularly scheduled meetings per year.

NYCHA's General Manager/Chief Operation Officer and Executive Vice-Presidents are responsible for the day to day operations. A majority of the departments within NYCHA are clustered into one of nine groups, each headed by an Executive Vice President reporting to the Chair or General Manager: Capital Projects, Administration, Finance, Community Engagement & Partnerships, Leased Housing, Information Technology, Legal Affairs, Real Estate, and Strategy & Innovation. Several other departments comprising the Executive Group report directly to either the Chair or General Manager. We are reviewing our current organizational and governance structures as part of the organizational planning efforts under

way in collaboration with the Monitor. Those changes are expected to be finalized and implemented at the end of 2021 or later.

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

New York City Housing Authority

Family Partnerships Elderly Safe at Home

The Elderly Safe-at-Home program provides services geared towards enhancing the general quality of life of elderly and non-elderly disabled residents who reside in 11 NYCHA developments (Bronx 7, Brooklyn 1, Manhattan 2, Queens 1). This program employs dedicated employees that provide on-site social services to help improve safety and security and enhance health and well-being. As a result, residents continue to live independently in their homes and prevent premature placement in nursing homes or other forms of institutionalization.

This program provides support and crime prevention services, crisis intervention, and crime victim assistance to address and prevent crimes perpetrated against this vulnerable population. The program also assists residents with maintaining daily life, accessing public entitlements, and coordinating services with outside providers. Residents can meet with the assigned worker in the social service office or in their homes. Workers are also expected to conduct regular home visits and telephone reassurance.

This program also recruits and trains resident volunteers who are organized into a floor captain/buddy system and maintain daily contact with residents in their respective developments. The floor captains are the eyes and ears of the program. They are often the first to detect if something is wrong or identify an incident requiring immediate attention and are obligated to report back to program staff. This program also offers workshops on crime prevention, safety and security, and crime victims' rights and the criminal justice process. Information on these and other topics is disseminated through pamphlets and regularly scheduled meetings at program sites. Residents who need more comprehensive crime victim services are referred to community-based organizations and/or City agencies that specialize in this field.

During 2019, the program provided **30,902** units of support services to approximately **968** residents monthly and conducted **7,561** home visits.

Naturally Occurring Retirement Community (NORC) Program

The NORC Program was developed to address the needs of concentrations of seniors who have aged in place, in non-elderly housing. The program was designed to coordinate a broad range of health and social services to help support well and frail elderly residents, 60 years of age and older who continue to live in their own homes. Approximately 20.5% of the NYCHA senior population does not live in senior-

designated buildings.

The NORC program concept is to provide “client-directed,” bilingual supportive services to the elderly who do not live in units built for the elderly through building community infrastructure. The program helps to identify needed services and service providers that embodies the needs of the residents. The NORC program services provides: Bilingual on-site assessment, information and referral services, case management, counseling, education/ prevention/wellness programs, recreational/socialization programs, and volunteerism. One of the key components is the assistance to access needed health care services, which includes nursing, health screenings, in-home assessments, medication management, and home visits by doctors, when needed. Additionally, the program provides ancillary services such as transportation, shopping, financial management, housekeeping, personal care, support groups, and intergenerational activities, among many others.

Based on DFTA’s reports, from January 1, 2019 to December 31, 2019, the NYCHA NORC program provided services to nearly **10,291** active clients. In Fiscal Year 2020, DFTA awarded **\$2,988,492** to 11 NYCHA NORCS- (Bronx 1, Brooklyn 3, Manhattan 6, Queens 1).

Coordination

NYCHA Re-Entry Program

The NYCHA Family Re-Entry Program (FRP) was launched in November 2013 and is designed to reunite formerly incarcerated individuals with their families in Public Housing and provide them the opportunity to be permanently added to the family composition. The goal of the FRP is to address admissions for individuals with a history of criminal justice involvement at a unique juncture and people who are close to release from incarceration, and thus in greatest need of supportive services to prevent recidivism and find stability.

Program participants are provided case management services geared to help them reunite with their families and build supportive social networks. After program completion, the participant can be added to the lease. One of the challenges faced by the program is providing these individuals with opportunities for obtaining economic stability that will enable them to maintain their viability. In order to meet this challenge, the Program is seeking to partner with Community-Based Organizations that have funding, or are in the process of obtaining funding, to provide services. NYCHA is also continuing to advocate for public and private funding for the program and/or our external partners. This new funding will give service providers and NYCHA the ability to enhance and expand services to more NYCHA families.

As of June 2020, the Family Re-Entry Program currently has 287 applications and has reunited 158 people with their families. Of those, 108 have completed the program, 29 have been added to the lease and less than 10 or 2% have had new convictions.

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

HPD

The City of New York follows a balanced approach to advancing fair housing. The City makes substantial housing, infrastructure, and service investments in under-resourced neighborhoods and facilitates the construction and preservation of affordable housing opportunities in amenity-rich neighborhoods. Together, such investments are designed to empower New Yorkers with realistic choices to live in thriving, integrated neighborhoods and to ensure that no one is deprived of access to fundamental resources because of their race, ethnicity, disability, religion, or other protected characteristic.

In October 2020, the City released the *Where We Live NYC* plan, a blueprint to advance fair housing over the next five years. The plan is a culmination of a two-year process led by the Deputy Mayor's office, the New York City Department of Housing Preservation and Development (HPD), and the New York City Housing Authority (NYCHA), and involved more than 30 City agencies. *Where We Live NYC* is the City's five-year plan to break down barriers to opportunity and build more integrated, equitable neighborhoods, which includes crucial recovery efforts in response to the disproportionate impact the COVID-19 pandemic has had on low-income communities of color.

One crucial aspect of the balanced approach is the *Housing New York* plan, which has built on the previous year's successes by continuing to build and preserve affordable housing in areas of higher opportunity, and use the preservation and development of affordable housing, along with other investments, to help neighborhoods in need of revitalization and residents at risk of displacement. In high opportunity neighborhoods, land and other costs of development remain extremely high, presenting a challenge to providing affordable housing in these areas. The City's strategies for addressing that challenge leverage the strong private market to provide affordable housing through mandatory and voluntary inclusionary housing policies, tax incentives, and making regulations and regulatory processes more efficient and less costly.

In neighborhoods in need of revitalization, the City's investment strategy includes rehabilitating housing; offering economic incentives for housing developers/sponsors and businesses; securing financial resources to fund housing improvements, community facilities and services, and business opportunities in neighborhoods in need of revitalization; and preserving affordable housing when a community is being revitalized to promote integration. The City's prior CAPERs described some of the largest *Housing New York* initiatives that have helped to overcome impediments to fair housing choice, including the passage of Mandatory Inclusionary Housing (MIH), development of new financing programs to create mixed-income housing, and development of new preservation tools to keep buildings affordable. In 2019, the City continued to implement this work, and advanced new initiatives

to address impediments to fair housing, including efforts to fight displacement due to economic pressures, promote mixed income housing and affordable homeownership, and educate residents and building owners about their rights and responsibilities under fair housing laws.

Over the past 20 years, housing costs in New York City have significantly outpaced income growth, contributing to a lack of housing choice and higher displacement risk. Even as some neighborhoods have become more integrated and poverty levels have decreased, low-income residents risk being priced out and forced to move to more segregated and higher poverty areas. To address this issue, the City is making a significant effort to fight displacement through a range of efforts. HPD's preservation work directly combats displacement by securing affordability agreements for existing affordable housing at risk of going "market rate," counteracting the enormous economic pressure on existing affordable housing that threatens to displace low-income residents. In areas where the City supports the development of new affordable housing, the City works to preserve nearby affordable housing. In fiscal year 2019 alone, the City preserved 16,180 affordable apartments, out of a total 114,934 affordable apartments preserved since the inception of the *Housing New York* plan. The City has continued implementation and expansion of several important anti-harassment measures such as the CONH program, Speculation Watchlist, and Universal Access to Counsel.

NYCHA's Responses to Allegations of Housing Discrimination

NYCHA's Department of Equal Opportunity (DEO) investigates residents' or applicants' housing discrimination complaints internally and recommends corrective or conciliatory action where necessary. NYCHA DEO also investigates applicants' claims of denial of eligibility based on disability. In 2019, NYCHA received 39 new complaints and opened 13 Fair Housing investigations. NYCHA DEO closed 31 matters during 2019. NYCHA DEO reviewed no housing eligibility disability matters, as referenced below.

Total number of housing discrimination investigations opened by DEO in 2019: **13**

Complaint Basis - Number of Cases

Multi-Basis – 2
Race - 2
Sexual Harassment- 8
Sexual Orientation - 1

Grand Total 13

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, 2019 and December 31, 2019. The number of applications where ineligibility determination was revoked by DEO: 0.

NYCHA's Non-Discrimination Training

Fair Housing Programs Within the New York City Housing Authority

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

NYCHA's Non-discrimination Training

DEO also conducts mandatory training for 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. In 2019 NYCHA DEO trained 1404 new employees on our EEO, Fair Housing, and Sexual Harassment Prevention Policies at New Orientation Training and over 259 additional employees with refreshers in various areas.

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 2019, SPD responded to or assisted with 308 reasonable accommodation matters from residents, applicants, Section 8 voucher holders and/or their respective advocates. The SPD also handled approximately 900 housing related matters from clients who either telephoned or were walk-ins. Housing applicants, residents, Section 8 voucher holders and others in need of assistance with disability issues may call the "Hotline" at (212) 306-4652 or TTY at (212) 306-4845.

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

NYCHA'S Services for Homeless Families

In 2014, NYCHA reinstated the highest housing priority for homeless families in NYC Department of Homeless Services (DHS) shelters, upgrading their need-based priority from N-4 to N-0 (the highest Need-Based priority). NYCHA also gives preference to DHS homeless families on the NYCHA Working Family list for public housing apartments available for new rentals. NYCHA's plan not only addresses local housing needs but is also in line with the national objectives of using existing housing assistance programs as an essential part of achieving former President Obama's goals of the 2010 Federal Strategic Plan to End Homelessness. In further support of the Mayor's Housing Plan, NYCHA also connected homeless families holding top priority on the Section 8 waiting list with available Section 8 project-based units in the Authority's 19 LLC developments. NYCHA will continue to prioritize homeless individuals for the Section 8 wait list.

NYCHA Assisting LEP Persons

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

NYCHA's Language Services Unit (LSU) consists of two interpreters for each of the following languages: Spanish, Chinese, and Russian. LSU also administers a Language Bank, with over 120 NYCHA employee volunteers who speak 34 languages, to provide language services to LEP individuals. In addition, LSU continuously assesses NYCHA's language assistance needs, and monitors NYCHA's language delivery assistance services in conjunction with its programs and services for residents, applicants, and Section 8 voucher holders. LSU also makes recommendations for modifications to NYCHA's language services-related activities, as appropriate.

NYCHA translates vital documents into the languages it most frequently encounters (Spanish, Russian, Chinese Simplified, and Chinese Traditional). NYCHA posts various translated documents on its public-facing website, and all the information on its website can be translated via the "Translate this Page" feature.

NYCHA's Language Assistance Services Hotline enables NYCHA Property Management staff to arrange for immediate *over-the-phone* interpretation services from a third-party language vendor. This has improved customer service for LEP residents; reduced wait times for over-the phone interpretations; improved tracking and reporting for language services; and streamlined the delivery of language assistance.

NYCHA Hurricane Sandy Recovery Efforts

New York City Housing Authority Program

In December 2015, NYCHA gained access to \$3 billion, the largest grant in Federal Emergency Management Agency (FEMA) history. Since then, NYCHA has been moving full steam ahead to get shovels in the ground on all critical Recovery and Resilience projects. To date, three developments have

had major Sandy Recovery Projects substantially completed covering 27 residential buildings. As of the end of December 2019, NYCHA has awarded over \$2.98 billion in contracts related to Sandy Recovery and spent over \$1.7 billion. Every day, NYCHA is making tremendous strides to ensure its developments are protected in the face of climate change and that projects are progressing as quickly as possible. As of the end of 2019, NYCHA had active construction benefitting 218 buildings. NYCHA anticipates completing all Sandy related construction by 2023.

CCHR/HPD

The New York City Commission on Human Rights (CCHR) is the agency responsible for enforcing New York City's anti-discrimination and anti-harassment law, the New York City Human Rights Law (NYCHRL), the most comprehensive local human rights law in the country. The mission of CCHR complements HPD's dedication to curbing housing discrimination.

The New York City Human Rights Law (NYCHRL) prohibits housing discrimination based on age, color, disability, gender, gender identity, immigration status, lawful occupation, lawful source of income (including housing subsidies), marital or partnership status, military service, national origin, pregnancy, presence of children in the home, race, religion/creed, sexual orientation, and status as victim of domestic violence, sexual violence, or stalking. As of October 2018, the NYCHRL also provides a distinct legal claim against housing providers who fail to engage with residents with disabilities in a cooperative dialogue about their need for a reasonable accommodation. Because the NYCHRL is inclusive of the protected categories covered by the federal Fair Housing Act, the agencies' coordinated efforts are compliant with HPD's federally-mandated obligation to promote fair housing.

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

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

Community Outreach by the Commission on Human Rights

In 2019, the Commission's Community Relations Bureau conducted 136 workshops and presentations on housing protections. Through these workshops, 3,974 housing providers and community group members were informed on their rights and responsibilities. In addition, 474 people received assistance from the Commission during our mobile clinics.

During April 2019, the Commission celebrated Fair Housing Month, in recognition of the Fair Housing Act and the addition to the NYCHRL of housing protections based on lawful source of income. During that month, the Commission's Community Relations collaborated with community based organizations to provide trainings and presentations throughout New York City. Commission staff hosted our annual Fair

Housing Symposium and also partnered with Chhaya CDC for their annual Homebuyer's Fair. In total, for Fair Housing Month, 756 people attended the Commission's various programming.

In addition to public trainings and workshops, the Commission has issued various fact sheets to help housing providers and tenants better understand their rights and obligations under the NYCHRL. Specifically, the Commission issued updated fact sheets aimed at tenants, landlords, and brokers, describing its broad interpretation of the lawful source of income provision of the NYCHRL.

Community Outreach as part of *Where We Live NYC*

Where We Live NYC is an inclusive, comprehensive, collaborative planning process to build the next chapter of fair housing policy for New York City. As part of this process, the City engaged in extensive analysis and public participation to better understand how fair housing challenges like segregation, discrimination, and access to thriving neighborhoods impact New Yorkers' lives and how the City can eliminate barriers that currently impede fair housing.

Outreach included the creation of a Fair Housing Stakeholder Group of more than 150 advocates, service providers, housing developers, researchers, and community leaders who were invited to participate in each part of the *Where We Live NYC* process, from understanding existing fair housing conditions to brainstorming goals and strategies.

The planning process also included Community Conversations to learn directly from more than 700 residents across the five boroughs through 60 focus-group-style conversations in 15 different languages, hosted in partnership with community-based organizations. These events included educational information on fair housing rights and resources on how to file complaints.

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 that 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 that are used as a primary residence including rental properties that provide housing to New Yorkers.

This ensures that properties that 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 owners who 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 that 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 that 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 that are repaired by the Program.

Additionally, 219 buildings across 33 developments owned by the New York City Housing Authority (NYCHA) sustained physical damage as a result of Hurricane Sandy in October 2012. NYCHA is utilizing its Sandy Recovery Program to rebuild better and smarter, significantly improving structural resiliency to protect residents from the effects of future disasters and climate change. The program includes a 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. The CDBG-DR grant is contributing \$317 million to cover the local match requirement and other recovery activities for NYCHA and its residents.

Fair Housing Complaints made to Local Agencies

The Commission on Human Rights filed 157 housing discrimination complaints in 2019. It should be noted that because each complaint may allege discrimination based on more than one protected class, the total number of claims in the list below is more than the number of complaints filed in 2019.

Age	5
Aiding/Abetting	1
Alienage Status	1
Citizenship Status	6
Color	5
Creed	5
Disability	72
Gender	13
Lawful Source of Income	73

Marital Status	2
National Origin	8
Race	15
Retaliation	12
Sexual Orientation	9
Uniformed Services Member	1
Victims of Domestic Violence	1

The Commission also affirmatively engaged in Commission-initiated investigations into housing discrimination based on lawful source of income, disability, and immigration status, and other protected classes. In its efforts to affirmatively root out housing discrimination, the Commission tested 258 entities for violations of several protected classes, including 176 tests on lawful source of income, 130 on disability, 28 and 22 on citizenship and alienage status, as well as 15 on presence of children, 13 on race, and four on gender. Note, that some entities are tested for more than one protected class.

In 2019, the Commission's dedicated Source of Income Unit and an Early Intervention Unit successfully negotiated 350 pre-complaint resolutions in 2019, helping New Yorkers to find housing or obtain reasonable accommodations for their disabilities without having to file a formal legal complaint.

Claims of housing discrimination continued to comprise a large portion of the Commission's caseload in 2019, accounting for more than 20% of complaints filed in 2019. Within those housing claims, the largest number of claims by protected class in 2019 were for disability, lawful source of income, race, and gender.

U.S. Department of Justice - Southern District of New York

This Office filed two Fair Housing Act cases in the year 2019 relating to properties in the City of New York:

1. The Office continued to litigate a major initiative in filing lawsuits against real estate developers and architects to remedy patterns and practices of inaccessible design and construction of New York City apartment buildings. The Office continued to litigate one lawsuit in connection with this initiative: U.S. v. Atlantic Dev., 17 Civ. 332 (LJL)(RWL), relating to two buildings in a developer's portfolio. In 2019, the Office filed a second case, U.S. v. Atlantic Dev. & Fine, 19 Civ. 9551 (LJL)(RWL), relating to an additional 68 buildings.
2. The Office successfully sued and settled with the owners and property managers of three apartment buildings to prevent the eviction of persons with disabilities because they had service dogs. U.S. v.

Higgins et al., 19 Civ. 3083 (JSR); U.S. v. 111 East 60th Street et al., 19 Civ. CR-40 - Monitoring 91.220 and 91.230 2640 (ALC); U.S. v. Glenwood et al., 19 Civ. 1596 (AJN).

U.S. Department of Justice Civil Rights - Division of Housing and Civil Enforcement Section

In 2019, the Department filed four cases and three settlements in Fair Housing Act cases arising from conduct in New York City.

- In February, 2019, the United States filed and settled United States v. Glenwood Management (SDNY)
- In March, 2019, the United States filed and settled United States v. 118 East 60th Owners, Inc. (SDNY)
- In April, 2019, the United States filed, and in November, 2019, settled, United States v. Higgins (SDNY) 2
- In October, 2019, the United States filed United States v. Atlantic Development Group, LLC (SDNY)

These cases were litigated primarily by the United States Attorney's Office. Additionally, the Department initiated investigations into alleged housing discrimination based on two matters referred by HUD.

New York State Division of Human Rights

There were a total of eight final orders and settlements in housing cases within the City of New York at the Division in 2019.

One was a final order after hearing sustaining the complaint:

Index Number 10186900, Nicole Flores v Big Six Towers, Inc.; David Becker; Lorraine McAndrews; Douglas Elliman Property Management

The complainant was found to have been subjected to unlawful discrimination and was awarded a total of \$15,000 in monetary damages and \$24,987.50 in attorney's fees. Additionally, the respondent was ordered to pay a civil fine and penalty of \$5,000 to the State of New York and ordered to offer the complainant a newly constructed parking spot.

Six were stipulations of settlement as noted below:

10189113, Delia A. Awusi v Crystal Collins

The complainant received a monetary settlement of \$10,000.

10194167, Nuryani Asari-Vojka v Coldwell Banker Mid Plaza Real Estate Inc.; David Elliott

The complainant received a monetary settlement of \$3,000.

10194192, Jaylene Vailes v Devaki Ramratan; Alvista Towers; 94th Avenue Jamaica, LLC; K&R Realty Management, Inc.

The complainant received a monetary settlement of \$40,000. Additionally, the respondent agreed to provide anti-discrimination training to all its employees and prominently display the Division's anti-discrimination poster in their offices.

10183310, Christy DeMaria v A Class Realty; Tony Mazzara; Ann Peralta
The complainant received a monetary settlement of \$3,000.

10197812, Peter Chmiel v Ciampa Metropolitan LLC; Ciampa Management Corp.; Ciampa 162 LLC
The complainant received a monetary settlement of \$40,000. Additionally, the respondent agreed to display the Division’s anti-discrimination poster in their premises.

10192550, Louise Gallagher, individually and on behalf of her minor child, Aeden Pignoloni v Samson Management LLC; Deslyn Neil; 610 Victory Boulevard LLC
The complainant received a monetary settlement of \$10,000, and the return of her security deposit of \$1,547.26, and agreed to vacate the apartment in question.

One was a settlement that came about during the litigation process:

10171242, Alaba K. Hamzat v City of New York Housing Authority; Shola Olatoye
The complainant received a monetary settlement of \$12,000.

NYC Housing Discrimination Complaint Data 2019

HUD DC Closing Report Urban Development - By County									
Year 2019									
Complainant ID	Federal Status	Jurisdiction	Name	Determination Date	Determination	Post-investigation outcome date	Post-investigation outcome	Basis	Acts of Alleged Discrimination
10195222	HUD	Housing	Glenda Y. Tabora v Mott Haven Victory Housing Development Fund Corporation; Nidia Garcia; Finger Management Corp.; Gregory Finger	3/28/2019	Probable Cause Determination Issued		Respondent elected to go to Supreme Court	Disability;	Denial of reasonable accommodation for disability; Eviction/Threatened Eviction; Other Housing Discrimination
10198143	HUD	Housing	Shadae Bogle v Lalmatie Ramrup; Rudolph M. Ramrup	2/11/2019	Probable Cause Determination Issued	3/4/2020	Order After Stipulation of Settlement	Familial Status; Pregnancy-related condition;	Refusal to rent; Denial of equal terms, conditions, and privileges of tenancy;

1019824 4	HUD	Housing	Sytira James v New York City Housing Authority; Celeste Segure; Monique McLeod	12/4/2019	Probable Cause Determination Issued		Pending hearing	Disability; Race/color; Sex;	Other Housing Discrimination; Denial of reasonable accommodation for disability
1019907 3	HUD	Housing	Jacqueline Goris v New York City Housing Authority; Shirelle Williams; Jane Cooper, true first name unknown; Linda Martinez	4/24/2019	Probable Cause Determination Issued		Respondent elected to go to Supreme Court	Race/color; Retaliation; National Origin;	Eviction/Threatened Eviction; Denial of equal terms, conditions, and privileges of tenancy
1019914 0	HUD	Housing	Rina Sencion; Gavina Sencion Agramonte v New York City Housing Authority; Kraus Management Inc.	5/31/2019	Probable Cause Determination Issued		Pending hearing	Age; Disability; Sex; National Origin;	Denial of equal terms, conditions, and privileges of tenancy; Denial of reasonable accommodation for disability
1019924 8	HUD	Housing	Corine A. Ombongo-Golden v 124 East 176th Street LLC; David Kleiner; Yona Roth; Jay Zigger; William Hernandez; David David; David Green	7/10/2019	Probable Cause Determination Issued		Pending hearing	Marital Status; Race/color; Sex; Retaliation; National Origin;	Denial of equal terms, conditions, and privileges of tenancy; Other Housing Discrimination

10201450	No Federal Status	Housing	Marie Caballero, individually and on behalf of Tionne Murray v Hunts Point Housing Development Fund Corporation; Sebco Development, Inc.; Jamie Diaz; Building Management Associates, Inc.	11/6/2019	Probable Cause Determination Issued		Pending hearing	Disability;	Eviction/Threatened Eviction; Denial of reasonable accommodation for disability
Kings	2								
Complaint ID	Federal Status	Jurisdiction	Name	Determination Date	Determination	Post-investigation outcome date	Post-investigation outcome	Basis	Acts of Alleged Discrimination
10193845	HUD	Housing	Marina Abramycheva v Unique People Services, Inc.; Lincoln Towers Management LLC; Confesora Castoire; 1068 Winthrop Street LLC	1/4/2019	Probable Cause Determination Issued		Hearing held	Disability; Race/color;	Denial of equal terms, conditions, and privileges of tenancy; Denial of reasonable accommodation for disability; Other Housing Discrimination
10196763	HUD	Housing	Inna Lipkina v Leemar Management Corp.; Megan McConville; Abingdon Owners Corp.; Abingdon Realty Company, LLC; Deborah Rosenblum	1/28/2019	Probable Cause Determination Issued	10/3/2019	Final Order After Hearing Dismissing Complaint	Disability;	Denial of reasonable accommodation for disability; Eviction/Threatened Eviction
New York	6								

Complaint ID	Federal Status	Jurisdiction	Name	Determination Date	Determination	Post-investigation outcome date	Post-investigation outcome	Basis	Acts of Alleged Discrimination
10195359	HUD	Housing	Binta P. Hassan v Breaking Ground Housing Development Fund Corporation; Rachel Reid; Debra Dickey; American Copper Buildings; 616 First Realty Company, LLC	4/30/2019	Probable Cause Determination Issued		Respondent elected to go to Supreme Court	Creed; Marital Status; National Origin;	Refusal to rent; Denial of equal terms, conditions, and privileges of tenancy;
10195567	HUD	Housing	Jamillah Cooper on behalf of Maribel Cooper v 149th Partners, L.P.; Beach Lane Management, Inc.; Mitchell Rothken; Mark Sherfman; Michelle McKay	3/27/2019	Probable Cause Determination Issued		Pending hearing	Disability; Retaliation;	Eviction/Threatened Eviction; Refusal to rent; Denial of equal terms, conditions, and privileges of tenancy; Other Housing Discrimination
10197632	HUD	Housing	Chaim Y. Katz v New York City Housing Development Corporation; Site 5 Residential Owner LLC	3/27/2019	Probable Cause Determination Issued		Order Preparation	Creed; Familial Status;	Refusal to rent;
10198535	HUD	Housing	Joshua Alec Frischer v Beach Lane Management, Inc.; Mitchell Rothken; Pablo Bone; 41-47 Nick, L.L.C.; Mark Scharfman	3/14/2019	Probable Cause Determination Issued		Respondent elected to go to Supreme Court	Disability; Sexual Orientation;	Other Housing Discrimination; Eviction/Threatened Eviction

1019889 4	HUD	Housing	Jeff A. Stier v 41 West 96th Street Corp.; Orsid Realty Corp.; Dennis DePaola; Harold Wilson	8/9/2019	Probable Cause Determinati on Issued		Respondent elected to go to Supreme Court	Creed; Disability;	Denial of equal terms, conditions, and privileges of tenancy; Denial of reasonable accommodation for disability; Eviction/Threatened Eviction; Other Housing Discrimination;
1020130 5	HUD	Housing	Sharon Perry-Davis v Terrace Apartments Buildings Company, Inc.; Andre Mongouge; Baxter Lanius; CK Cummings	9/20/2019	Probable Cause Determinati on Issued		Respondent elected to go to Supreme Court	Disability;	Denial of reasonable accommodation for disability;
Queens	6								
Complain t ID	Feder al Status	Jurisdiction	Name	Determinati on Date	Determinati on	Post- investigati on outcome date	Post- investigati on outcome	Basis	Acts of Alleged Discrimination
1019427 0	HUD	Housing	New York State, Division of Human Rights v Parsons 88 Realty LLC; Zara Realty Holding Corp.; Jairaj Sobhraj; Kenneth Subraj; Rajesh Subraj; Rudolph Perumal; Tulsieram Singh	4/30/2019	Probable Cause Determinati on Issued		Pending hearing	Retaliatio n; National Origin;	Refusal to rent; Discriminatory Advertising, Statement or Notice; Other Housing Discrimination;
1019777 6	No Feder al Status	Housing	Marilyn Hall v Victor Scarlett; Sylvia Jones Scarlett	3/4/2019	Probable Cause Determinati on Issued	12/4/2019	Consent to Discontinua nce	Sex;	Sexual harassment; Eviction/Threatened Eviction

10197812	Title VII	Housing	Peter Chmiel v Ciampa Metropolitan LLC; Ciampa Management Corp.; Ciampa 162 LLC	3/6/2019	Probable Cause Determination Issued	10/10/2019	Order after Stipulation of Settlement	Age;	Refusal to rent;
10197871	HUD	Housing	Saundra Barnes v Valerie Nelson a/k/a Valerie Orithenter a/k/a Rose Nelson	4/24/2019	Probable Cause Determination Issued		Stayed	Disability;	Denial of reasonable accommodation for disability;
10199008	HUD	Housing	Karolina Chodorowska; v 29th Street PVP LLC; Paulette Pappas	2/28/2019	Probable Cause Determination Issued		Pending hearing	Disability;	Denial of reasonable accommodation for disability; Eviction/Threatened Eviction;
10199089	HUD	Housing	Sigrid Alexander v Silvershore Properties 95 LLC; Alex Cohn; J. Wasser & Co. Inc.; Bob Meier; Roxy Schwatz	10/30/2019	Probable Cause Determination Issued		Pending hearing	Disability; Retaliation;	Denial of reasonable accommodation for disability; Other Housing Discrimination;
Staten Island	1								
Complaint ID	Federal Status	Jurisdiction	Name	Determination Date	Determination	Post-investigation outcome date	Post-investigation outcome	Basis	Acts of Alleged Discrimination
10198454	HUD	Housing	Jaime Pachon, on behalf of Roger Pachon v Lyceum Estates Homeowners Association, Inc.; Jalen Management Corp.	4/24/2019	Probable Cause Determination		Respondent elected to go to Supreme Court	Disability;	Denial of reasonable accommodation for disability; Other Housing Discrimination;

Total Complaints Filed	22							
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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

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

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

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

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

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

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

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

HOPWA:

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

CDBG Monitoring Activities

In 2019, the NYC Office of Management and Budget's (OMB) Community Development (CD) Unit conducted the following monitoring activities in compliance with its responsibilities under 2 CFR §200.331:

The CD Unit performed an equipment use and tracking monitoring for the GreenThumb Program at NYC Parks. The purpose of these visits is to ensure CD-funded equipment is properly labeled and located where each program's equipment listing (called a Property Register) indicates.

GreenThumb was selected because its Property Register had not been monitored since the program, and its associated equipment, merged with the formerly CD-funded Land Restoration Program. The current Property Register had items purchased under both programs, and is one of the most extensive Registers within the CD program. The CD Unit made the following recommendations:

- Labeling the equipment "Purchased with CD Funds" where possible. For larger items, a labeled item may be more difficult but use of paint/ and or stencil work would suffice.

- Verifying items that no longer have a visible serial number are labeled with an internal recording number and that number is used on the Register.
- Use a two-party signing system to ensure the Property Register reflects all requirements.
- Filing a police report immediately if an item is missing for an extended period of time.
- Use the City's process of relinquishing equipment in a timely manner.

In 2019, the CD Unit continued a monitoring of the Department of Housing Preservation and Development (HPD) that began in 2016. The monitoring is focused on ensuring that all sites benefitting through the Maintenance and Operation of Tax-Foreclosed Housing are residential tax-foreclosed properties. This monitoring is substantially complete and will be finalized in 2020.

The CD Unit began a new monitoring process for the MOTH program as a result of the MOTH monitoring. Starting in 2019, the program will submit a bi-annual list of Third Party Transfer buildings that received CD-funded fuel and utilities. Sites that are not located in a CD-eligible area will have their charges moved to City Tax Levy before the City fiscal year is closed.

The CD Unit continued its monitoring of the Mayor's Office for People with Disabilities' (MOPD) Project Open House program. This monitoring focuses on client eligibility, program efficiency, adequacy of MOPD's policies and procedures, and procurement. This monitoring is nearing completion.

Additionally in 2019, the CD Unit continued its monitoring of the Metropolitan Council on Jewish Poverty's Food Pantry, which includes review of the reimbursement process, client and cost eligibility documentation, and the Department of Youth and Community Development's oversight of the contract registration process. The CD Unit took a particularly close look at the voucher and reimbursement process through retrieval and review of extensive backup documentation. All relevant parties provided the necessary information and the CD Unit expects to issue a draft memo for comment and subsequent final draft in 2020.

The CD Unit began a monitoring of the Mayor's Office of Criminal Justice's (MOCJ) program Safe Horizon. The monitoring includes review of the organization's procurement and financial policies, the program's Court-Based service's invoicing process, the domestic violence hotline's translation services, as well as OTPS and PS costs. The monitoring also includes review of MOCJ's effort to review invoices and validate the program spending. The CD Unit expects to issue a draft monitoring report and subsequent final draft in 2020.

The CD Unit also began and completed a desk review of the Department of Homeless Services' Shelter Renovations Project Support program. The monitoring determined that several employees were primarily responsible for maintenance and minor repairs of City-owned facilities, which are not CD-eligible. As a result, the City reimbursed HUD for the charges and removed the ineligible workers from the CD-funded headcount.

The CD Unit also reviews agencies' requests to hire CD-funded staff throughout the year as an ongoing monitoring activity. The Unit is electronically notified every time an agency requests to fill a CD-funded position. If the CD Unit determines that a position is not CD-eligible, it will not approve the hire. The

requesting agency must then either use another funding source for the position or make necessary adjustments to the position's duties. Agencies are also instructed to correct positions that are CD-eligible but are not being charged to the appropriate eligibility category or national objective. In 2019, the CD Unit required that at least 14 positions' duties were clarified before agreeing to fund with CD. The Unit determined one position's duties primarily entailed maintenance activities and were not-CD eligible.

Finally, the CD Unit continued a monitoring process for the Demolition Program. The program submits a biannual list of every site where CD funds were used. The new process allows the CD Unit to reverse any ineligible charges before the fiscal year is closed. The CD Unit also continued to monitor City-owned seal-up activities conducted by Maintenance and Operation of Tax Foreclosed Housing (MOTH). Sites that were not approved for CD funding will have their charges journaled to City tax levy.

HOME Monitoring Activities

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

Suspicion of Fraud:

HPD 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.

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.

The City notified the public of the CAPER for review, utilizing the same notification methods as it did to announce the public comment period for the 2019 Proposed One-Year Action Plan. Over 1,700 notification letters were sent to New York City residents, organizations and public officials inviting their review and comment on the report.

In addition, notices regarding the public hearing were published in three local newspapers: an English-, a Spanish-, and a Chinese-language daily, each with citywide circulation. Furthermore, the notice was posted on the Department of City Planning and NYC Office of Management and Budget websites.

A dedicated email address is provided along with a webpage that allow citizens to provide comments. Publication of amended and proposed documents will be posted on DCP's dedicated webpage that linked documents to the language translation tool.

The Department of City Planning posted the Proposed 2019 Performance Report on the Department's website and may be accessed at: <http://www.nyc.gov/planning>.

The 15-day public comment period began Decemer 24, 2020 and ends January 7, 2021. The public is instructed to submit their written comments on the Proposed 2019 Consolidated Plan Annual Performance and Evaluation Report by close of business, January 7, 2021 to: Lisa Rambaran, New York City Consolidated Plan Program Manager, Department of City Planning, 120 Broadway 31st Floor, New York, New York 10271, email: Con-PlanNYC@planning.nyc.gov.

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

CR-45 - CDBG 91.520(c)

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

Below are highlights of programmatic changes made in 2019:

- At the end of Calendar Year 2018, the City's CDBG program received \$235.4 million (\$235.4M) in program income from the sale of a Federal Urban Renewal property. The City allocated \$162.0M of that amount in the amended 2018 Consolidated One-Year Action Plan and the remaining \$73.4M in the 2019 Plan. These funds were primarily allocated to the following programs:
 - The Department of Education's (DOE) Accessibility Improvements in City Schools program received approximately \$66.2M to increase the number of City schools that are accessible to persons with disabilities.
 - The Department of Parks and Recreation received \$3.9M for the Parks Construction and Renovation Program to create new or renovate existing parks.
- The Department of Housing Preservation and Development (HPD) decided to no longer use CD funds for the HPD Shelter Modernization Program. HPD will use alternate funding sources to allow the staff to work on additional projects that may not be CD-eligible.
- Through the Targeted Code Enforcement program, HPD uses CD funds for code enforcement initiatives in deteriorated and deteriorating neighborhoods. Due to improving housing conditions, several sub-borough areas were no longer eligible for CD-funded code enforcement efforts. As of July 1, 2019, CD funds approximately 65 percent of the general code enforcement efforts, a reduction from the previous 75 percent (City tax levy pays for activities in ineligible areas). The program's lead-based paint inspections are still 100 percent CD-funded.
- HPD reallocated CD funds from its general code enforcement efforts to fund part of Mayor de Blasio's *LeadFreeNYC* initiative, through which the City is enhancing the enforcement of laws and regulations to eliminate childhood lead exposure. HPD targeted additional CD funds to the following programs to address lead-based paint: the Emergency Repair Program, the Primary Prevention Program, and Targeted Code Enforcement.
- The DCP Comprehensive Planning program was renamed DCP Comprehensive Planning, Data, and Tools. Due to similarity in program missions, the DCP Information Technology program's functions and the remainder of its 2019 allocation were combined into DCP Comprehensive Planning, Data, and Tools and the individual program entry for DCP Information Technology was discontinued.
- Similarly, the Senior Resident Advisor program's functions and full 2019 allocation were combined into the Elderly Safe-at-Home program. The individual program entry for Senior Resident Advisor was discontinued.

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

No.

CR-50 - HOME 91.520(d)

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

Please list those projects that should have been inspected on-site this program year based upon the schedule in §92.504(d). Indicate which of these were inspected and a summary of issues that were detected during the inspection. For those that were not inspected, please indicate the reason and how you will remedy the situation.

HPD

During 2019 there were 510 HOME projects under compliance monitoring. The projects included 1,622 buildings containing 16,375 HOME units. Of the 510 projects, 244 required physical (HQS) inspection in calendar year 2019. A sample of 1,678 apartments were inspected: 1,505 passed or were corrected; 173 failed. Notices of non-compliance have been sent to owners of units that failed, and HPD will continue to seek a satisfactory response.

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 the New York City Continuum of Care (NYC CoC) rents up permanent supportive housing (PSH) units, some of which are partially funded with HOME, through a Coordinated Entry (CE) process. PSH providers receiving HOME funds must follow the Policies and Procedures of NYC's CE process, called Coordinated Assessment and Placement System (CAPS). CAPS ensures eligible applicants are prioritized based on a standardized assessment and vulnerability index. PSH projects must follow a housing-first, low threshold intake process that does not screen out potential tenants for income, criminal justice involvement, substance use disorder, lack of adherence to mental health treatment and PSH providers must maintain satisfactory records evidencing adherence to these policies.

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

HPD did not utilize program income on any projects in 2019.

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

91.320(j)

The housing related activities within the Consolidated Plan support the broader housing strategy articulated in the Mayor's Housing New York, and Housing New York 2.0 plan, which expanded the housing plan to 300,000 units by 2026. At the close of New York City's 2019 Fiscal Year, the Housing Plan had financed over 165,000 affordable apartments and homes for New Yorkers. In 2019, the various

New York City agencies that administer the City's federally-funded Consolidated Plan housing and supportive housing programs continued to work toward the Mayor's Housing Plan objectives and goals.

During the 2019 funding grant year, we utilized approximately \$1,476,007,964 in local capital funds, along with our HOME allocation and tax credit and bond authority to support new construction efforts including permanent supportive housing, senior housing, multifamily rental housing serving a wide variety of income levels, 1-4 family rental buildings, and down payment assistance for qualified low income homebuyers. In addition to new construction, the preservation of existing affordable units is a key priority of the Mayor's Housing Plan. The City's preservation strategies include enforcement of the Housing Maintenance Code, outreach to owners about how to proactively address maintenance and financial challenges, and providing local financing and tax exemptions to rehabilitate properties in return for a regulatory agreement that guarantees long-term affordability.

CR-55 - HOPWA 91.520(e)

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

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

Number of Households Served Through:	One-year Goal	Actual
Short-term rent, mortgage, and utility assistance payments	10	12
Tenant-based rental assistance	436	402
Units provided in transitional housing facilities developed, leased, or operated with HOPWA funds	2336	2484
Units provided in permanent housing facilities developed, leased, or operated with HOPWA funds		0
Total	2782	2898

Table 12 – HOPWA Number of Households Served

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.

In calendar year 2019, the Division of Disease Control administered the HOPWA grant to serve the NYC EMSA with permanent housing facilities, permanent housing placement assistance, tenant-based rental assistance (TBRA), short-term rental, mortgage and utility (STRMU) assistance and supportive services. In the permanent housing facilities category, HOPWA funds assisted 2,484 households with permanent supportive housing. HOPWA funds were also used to provide housing information and permanent housing placement services. In 2019, 657 households benefited from housing information services and additional funds were used to assist 270 households secure permanent housing placement (**data not reflected in the table above).

Within the TBRA and STRMU categories, 402 households were served with TBRA services in 2019, and STRMU funds increased housing stability for 12 households, helping these households avoid homelessness.

*Since the IDIS CR-55 HOPWA table does not reflect all of the HOPWA Housing Subsidy Assistance categories such as permanent housing placement services and housing information services nor account for duplication, the total number of households served above (i.e., 2,898) does not match the total of 3,150 reported in the *HOPWA 2019 Consolidated Annual Performance and Evaluation Report* (HOPWA 2019 CAPER).

To address this, please refer to the attached CR-55 HOPWA table, which provides all of these outcomes and is consistent with the data reported in the *HOPWA 2019 Consolidated Annual Performance and Evaluation Report* (HOPWA 2019 CAPER).

1. HOPWA Performance Planned Goal and Actual Outputs

HOPWA Performance Planned Goal and Actual		[1] Output: Households			
		HOPWA Assistance		Leveraged Households	
		a.	b.	c.	d.
		Goal	Actual	Goal	Actual
HOPWA Housing Subsidy Assistance		[1] Output: Households			
1.	Tenant-Based Rental Assistance	436	402	0	18,214
2a.	Permanent Housing Facilities: Received Operating Subsidies/Leased units (Households Served)	2,387	2,484		3,084
2b.	Transitional/Short-term Facilities: Received Operating Subsidies/Leased units (Households Served) (Households Served)				779
3a.	Permanent Housing Facilities: Capital Development Projects placed in service during the operating year (Households Served)				
3b.	Transitional/Short-term Facilities: Capital Development Projects placed in service during the operating year (Households Served)				
4.	Short-Term Rent, Mortgage and Utility Assistance	10	12		
5.	Permanent Housing Placement Services	330	270		
6.	Adjustments for duplication (subtract)		18		
7.	Total HOPWA Housing Subsidy Assistance (Columns a – d equal the sum of Rows 1-5 minus Row 6; Columns e and f equal the sum of Rows 1-5)	3,163	3,150		22,077

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

ESG Supplement to the CAPER in *e-snaps*

For Paperwork Reduction Act

1. Recipient Information—All Recipients Complete

Basic Grant Information

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

ESG Contact Name

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

ESG Contact Address

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

ESG Secondary Contact

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

2. Reporting Period—All Recipients Complete

Program Year Start Date	01/01/2019
Program Year End Date	12/31/2019

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

Subrecipient or Contractor Name
City
State
Zip Code
DUNS Number
Is subrecipient a victim services provider
Subrecipient Organization Type
ESG Subgrant or Contract Award Amount

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

10. Shelter Utilization

Number of New Units - Rehabbed	0
Number of New Units - Conversion	0
Total Number of bed-nights available	1,272,593
Total Number of bed-nights provided	1,169,471
Capacity Utilization	91.90%

Table 24 – Shelter Capacity

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

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

CR-75 – Expenditures

11. Expenditures

11a. ESG Expenditures for Homelessness Prevention

	Dollar Amount of Expenditures in Program Year		
	2017	2018	2019
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	3,047,150	2,436,945	1,452,220
Expenditures for Homeless Prevention under Emergency Shelter Grants Program	0	0	0
Subtotal Homelessness Prevention	3,047,1500	2,436,945	1,452,220

Table 25 – ESG Expenditures for Homelessness Prevention

11b. ESG Expenditures for Rapid Re-Housing

	Dollar Amount of Expenditures in Program Year		
	2017	2018	2019
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

Table 26 – ESG Expenditures for Rapid Re-Housing

11c. ESG Expenditures for Emergency Shelter

	Dollar Amount of Expenditures in Program Year		
	2017	2018	2019
Essential Services	7,466,493	7,441,652	7,116,396
Operations	0	0	0
Renovation	0	0	0

Major Rehab	0	0	0
Conversion	0	0	0
Subtotal	7,466,493	7,441,652	7,116,396

Table 27 – ESG Expenditures for Emergency Shelter

11d. Other Grant Expenditures

	Dollar Amount of Expenditures in Program Year		
	2017	2018	2019
Street Outreach	693,544	733,892	668,151
HMIS	1,917,841	1,700,010	188,125
Administration	166,126	962,838	453,431

Table 28 - Other Grant Expenditures

11e. Total ESG Grant Funds

Total ESG Funds Expended	2017	2018	2019
	13,291,154	13,275,337	9,878,323

Table 29 - Total ESG Funds Expended

11f. Match Source

	2017	2018	2019
Other Non-ESG HUD Funds	0	0	0
Other Federal Funds	0	0	0
State Government	0	0	0
Local Government	13,291,154	13,275,337	9,878,323
Private Funds	0	0	0
Other	0	0	0
Fees	0	0	0
Program Income	0	0	0
Total Match Amount	13,291,154	13,275,337	9,878,323

Table 30 - Other Funds Expended on Eligible ESG Activities

11g. Total

Total Amount of Funds Expended on ESG Activities	2017	2018	2019
	13,291,154	13,275,337	9,878,323

Table 31 - Total Amount of Funds Expended on ESG Activities