

FY 2022 Borough Budget Consultations

Manhattan - New York City Housing Authority

Meeting Date 9/18/2020

AGENDA ITEM 1: General Agency Funding Discussion

The purpose of holding the Borough Budget Consultations is to provide Community Boards with important information to assist in drafting their statement of District Needs and Budget Priorities for the upcoming fiscal year. As you know, Community Board Members are volunteers who may not be familiar with the budget process and how agencies' programs are funded. At the same time, Community Board members are very knowledgeable about local service needs.

This year's Manhattan agendas have three sections:

- I. Agencies faced unprecedented cuts and new funding requirements this year due to COVID 19. Can you list the previously unplanned cuts to the FY 21 budget due to COVID and the new initiatives necessitated by the emergency? Please discuss the expected timeline for the new initiatives. What programs and capital projects will be continued uncut. Of the cuts in spending for FY 2021, please identify the most significant cuts that are currently expected to be permanent [or continued at the reduced level into FY 2022].

As a result of COVID, NYCHA has instituted a host of initiatives including, hiring contractors to sanitize public areas in NYCHA developments 3-5 times a week, installing fencing around NYCHA playgrounds to maintain social distancing rules, hiring additional 750-900 temporary staff to maintain grounds and NYCHA building cleanliness, purchasing IT equipment for NYCHA staff for teleworking to continue serving residents from home, purchasing of PPE for NYCHA staff, purchasing and installing of 20,000 A/Cs for NYCHA seniors and high risk residents, and other expenses. All of these initiatives have already begun and have timelines driven by the pandemic.

NYCHA capital projects have been deemed essential and are ongoing. There have been project delays due to COVID. No permanent cuts or reductions are planned at this time.

What is the overall budget decrease for FY 21 adopted budget compared to FY20 budget?

NYCHA budgets on a calendar-year basis (January through December). The 2020 Board-adopted budget has a modest \$90 million surplus in 2020 and a balanced budget for 2021, but we anticipate deficits in the out-years. In 2020, we will engage in a restructuring exercise to lower administrative

expenses and enhance property management.

The 2020 Budget projects an Operating surplus of \$91 million. NYCHA expects to receive \$3.837 billion in revenue and have \$3.746 billion in expenses. NYCHA's expenses are divided into two major areas: Personnel Services (PS) and Other Than Personnel Services (OTPS):

The PS budget, which is \$1.422 billion, pays for salaries and fringe benefits for all NYCHA's workforce. Approximately 11,339 full-time NYCHA employees are responsible for all service delivery within NYCHA developments, including: building maintenance, rent collection, administration of the Section 8 program, annual inspections and certifications, grounds maintenance, community center staffing, social services, and administrative services.

The \$2.33 billion OTPS budget pays for the non-personnel costs of running the Authority, including payments for utilities such as water, electricity, heating fuels, and cooking gas for NYCHA residents; payments to vendors who provide painting, elevator maintenance, fire safety, plumbing and heating services; all insurance costs; consulting services; the purchase of machines and equipment used by development staff to maintain the buildings and grounds; and, payments to private landlords participating in the Section 8 Housing Choice Voucher Program.

- II. Then, the agenda continues with Community Boards asking about specific program funding.

- III. Lastly, the agendas include Boards' requests on district-specific budget questions. We request that the agency respond in writing, but have any further discussions on these items with the Community Boards outside of the consultation.
For the first section, please present on the four topics below for 10-15 minutes at the beginning of our Consultation. Also, please provide written responses or even a PowerPoint presentation that we can use to fully and accurately educate our Board Members.
 1. What are your priorities and operational goals for FY21 and projected priorities and operational goals for FY22?
 2. What are the current proposed FY21 and FY22 service and operational goals and proposed funding?
 3. Which programs is the agency adding, dropping, or changing for FY21 and projected for FY22?

4. What are your benchmarks for new and existing programs and what are your benchmarks/key performance indicators for measuring success?

AGENCY RESPONSE:

Please see attached *Blueprint for Change* as our goals for FY '22

MEETING NOTES:

COMMENTS: NYCHA has been holding town halls and publicly presenting *Blueprint for Change* over the past two months, as well as engaging with elected officials, residents, and relevant stakeholders.

A unit is considered to meet "obsolescence" criteria if its repair needs are greater than a certain percentage of what it would cost to build a new unit in that property. Once a unit meets "obsolescence" threshold, that unit is eligible for TPV funds (elaboration on presentation p. 6, item #2).

State legislation is needed to establish the NYC Public Housing Preservation Trust. NYCHA is continuing conversations with State officials on this.

NOTES: No follow-up item.

AGENDA ITEM 2: Waste Management Funding

1. What is the funding for waste management (garbage disposal, recycling) in Manhattan by categories in FY21?

NYCHA's budget follows the Calendar Year. Below are budget figures for 2021 and 2022.

WT_Interior Compactors		
Development	FY21	FY22
Property Mgt Dept-Clinton Houses	391,773.38	-
Mgt Dept-De Hostos Apts	65,295.56	-
Property Mgt Dept-Douglass Houses	-	742,539.88
Property Mgt Dept-Jefferson Houses	-	2,295,123.25
Property Mgt Dept-Johnson	1,110,024.56	-
Mgt Dept-King Towers	652,955.63	-
Mgt Dept-Morris Park Senior Citizens' Home	65,295.56	-
Property Mgt Dept-Taft Houses	-	1,215,065.25
Mgt Dept-Wilson	195,886.69	-
Manhattan Org	2,481,231.38	4,252,728.38
WT_Exterior Compactors		
Development	FY21	FY22
Mgt Dept-Elliott	1,200,385.53	-
Property Mgt Dept-Polo Grounds Towers	-	15,048,000.00
Mgt Dept-Riis I	754,034.28	-
Mgt Dept-Robbins Plaza	1,200,385.53	-
Property Mgt Dept-Straus	1,200,385.53	-
Mgt Dept-Vladeck I	-	1,240,978.27
Mgt Dept-White	1,200,385.53	-
Manhattan Org	5,555,576.40	16,288,978.27

1A. Projected for FY22?

Please see above

2. What funding has been applied to increase compliance, by district?

All of the indicated work here is part of the HUD Pest and Waste Action Plan.

3. Is there new specific funding for waste management on large NYCHA campuses?

Please see attached "Waste Mgt – New Funding" Excel document

AGENCY RESPONSE:

MEETING NOTES:

COMMENTS: No new information presented.

NOTES: No follow-item item.

AGENDA ITEM 3: Door Repairs and Upgrades

1. What is the FY21 budget for repairs and upgrades of doors, locks and intercoms, both for Manhattan buildings and individual apartments?

1A. Projected for FY22?

2. Please provide a priority list by development.

AGENCY RESPONSE:

MEETING NOTES:

COMMENTS: Beyond FY20's allocation, which is provided in the annual plan, NYCHA has capital allocations for work on entrances in future years at various developments across Manhattan. But the allocations are not broken down by developments because CCT installation funding is provided by local elected officials' capital allocations.

NOTES: No follow-up item.

AGENDA ITEM 4: NextGen Sustainability Program

1. What funding is allocated for the NextGen Sustainability Program in Manhattan for FY21?

1A. Please break down by program initiatives.

2. Which Manhattan developments are participating?

3. When will all of the Manhattan developments be participating?

4. What is projected for FY22?

5. How much funding has been allocated for resident engagement and tenant technical assistance in FY21, projected for FY22?

Below is the adopted budget for the Resident Engagement department

Resident Engagement	2020	2021
Personnel Service	\$7,588,203	\$7,351,797

Other than Personnel Service	\$2,406,131	\$2,332,031
Total	\$9,994,334	\$9,683,828
Headcount	76	73

6. What are the long-term anticipated savings?

AGENCY RESPONSE:

Please see attached Manhattan Energy & Sustainability Excel Spreadsheet

MEETING NOTES:

COMMENTS: No new information presented.

NOTES: No follow-up item.

AGENDA ITEM 5: PACT Timeline

1. Which buildings/developments are going into the Permanent Affordability Commitment Together (PACT) and Rental Assistance Demonstration (RAD) programs?

Please see below

2. What is the timeline for implementation?

Project Name	# Units, Buildings, Developments	Anticipated Closing Date
Manhattan	Conversion of 1,718 units across 33 buildings at following developments: 335 East 11th Street; Park Avenue-East 122nd, 123rd Sts; Manhattanville Rehab (Group 2); Public School 139 (Conversion); Samuel (MHOP) III; Fort Washington Avenue Rehab; Grampion; Manhattanville Rehab (Group 3); Washington Heights Rehab, Groups 1 & 2, Phase 3, Phase 4 (C), Phase 5 (D); Samuel (MHOP) 1 & 2; 344 East 28th St; Wise Towers	Q4 2020
Boulevard	Conversion of 1,441 units across 18 residential buildings	Q1 2021
Harlem River	Conversion of 693 units across 8 residential buildings	Q1 2021
Audubon, Bethune Gardens, Marshall Plaza	Conversion of 558 units across 3 residential buildings	Q1 2021
Linden	Conversion of 1,586 units across 19 residential buildings	Q1 2021
Williamsburg	Conversion of 1,630 units across 20 residential buildings	Q1 2021

3. What is the funding for resident engagement in FY21? Projected for FY22?

For all of NYCHA – the total Resident Engagement Department 2020 budget is \$9.994 Million

AGENCY RESPONSE:

MEETING NOTES:

COMMENTS: NYCHA recently announced plans to convert Fred Samuel (in CB10) to Section 8. There is not yet any timeline, but NYCHA expects an RFEI in November. NYCHA has introduced the idea to the Tenants Association and to elected officials, and will have broader engagement soon.

NOTES: No follow-up item.

AGENDA ITEM 6: Unmet Major Infrastructure Needs

1. How much of NYCHA’s unmet major infrastructure needs are in Manhattan?

1A. Describe the Manhattan funding needs by category: plumbing, electric, roofs, facades, elevators.

Manhattan has a total 5-Year need of \$8,994,687,932.81 which represent 28% of total capital needs.

Five-Year need by category:

- Apartments: \$ 3,749,945,487
- Architectural: \$ 3,077,813,385
- Conveying: \$ 371,219,374
- Mechanical: \$901,720,465
- Electrical: \$ 271,324,594
- Site: \$622,664,625

2. Until NextGen and PACT are fully implemented, how much funding is budgeted for these needs in FY21?

2A. Projected for FY22?

3. Please provide this information by district.

A Mod report for Manhattan planned projects by district.- see attached excel worksheet prepared by A&R

AGENCY RESPONSE:

MEETING NOTES:

COMMENTS: No new information presented.

NOTES: No follow-up item.

AGENDA ITEM 7: Staff Funding

1. What is the FY21 budget for staff in Manhattan developments by category: grounds maintenance, building maintenance, and skilled trades? NYCHA's budget follows the calendar year budget cycle (January - December), NYCHA's current (2020) and upcoming (2021) budget cycle details are below.

1A. Projected for FY22?

CY2020 Adopted Budget	2020	2021
Grounds Maintenance	183	175
Building Maintenance	933	901
Skilled trades	323	323
Total Headcount	1,439	1,399
Residents in MN Public Housing	51,351	51,351
Resident to Staff Ratio	36	37

2. What is the ratio of workers to residents for each category? 2020- 1:36, 2021- 1:37

3. Given the backlog of repairs, how many additional staff are needed in each category?

4. What is the projected cost?

5. Were NYCHA's staffing requests for FY21 fully met?

AGENCY RESPONSE:

MEETING NOTES:

COMMENTS: No new information presented.

NOTES: NYCHA will follow up with answers to questions 3, 4, and 5.

AGENDA ITEM 8: Funding for Tenant Association (TA) Presidents

1. How much funding has NYCHA allocated in FY21 for Manhattan TA Presidents, TA participation activity funds, and resident engagement? 1A. Projected for FY22?

NYCHA's budget follows the calendar year. NYCHA's 2020 adopted budget for Manhattan properties (including rollover budget from prior year) is \$4.626 Million

1B. Please describe the various programs that include a resident engagement aspect.

2. What percentage of resident engagement is required to ensure that programs are successful?

3. How many developments are receiving TA funds?

102 developments will receive funding

4. How many TA's applied for this funding? How many developments have functioning TA's?

102 developments will receive funding

5. What criteria does NYCHA use to determine which TA applications are approved for funding?

AGENCY RESPONSE:

MEETING NOTES:

COMMENTS: TPA funds are used for a wide variety of programs, such as Family Days, and toward other programming as requested by TAs (e.g., classes on using computers). There is a guidebook that helps TAs through the process of accessing TPA funds. TAs are assigned coordinators to assist them with submitting proposals to request funds.

TA members can receive up to \$200 of stipend a month for their time spent on Board meetings, general membership meetings, meetings with property managers, and other meetings.

TPA funds are allocated by Congress every year to housing authorities throughout the country.

Usage of TPA funds is guided by HUD rules; a manual is provided to TA presidents. Trainings are offered.

Funds are meant for tenant empowerment activities, such as classes on tenant organizing. There is sometimes frustration about not being able to use funds on popular activities (like outings) because those activities are not allowed under HUD rules.

NYCHA has made it faster for TA leaders to access TPA funds by moving to a credit card system. TA submits a proposal, NYCHA reviews it and, if approved, a TA leader can use the funds with their card.

NOTES: No follow-up item.

AGENDA ITEM 9: Technology Funding

1. Is there a new contract to fund for technology to improve efficiency of maintenance and skilled trades workers in FY21?

1A. Projected for FY22?

There are no specific contracts for technology to improve the efficiency of Maintenance and Skilled Trades workers. However NYCHA is working with the Federal Monitor on numerous system enhancements related to heating, mold, lead, pests, and maintenance. NYCHA has also contracted with a company called Carpedia to review our business processes surrounding the work-order process. They will be making process improvement recommendations in the 3rd quarter of 2020.

2. What is the projected cost for provided handheld computers to all Manhattan maintenance and skilled trades staff?

The hardware and software cost is \$1,238,000.

AGENCY RESPONSE:

MEETING NOTES:

COMMENTS: Patti Bayross is NYCHA's new CTO.

NYCHA uses a system called Maximo to track work orders, including using handheld devices.

NOTES: No follow-up item.

AGENDA ITEM 10: Increased State Funding

1. How will funding for NYCHA be allocated in the Borough of Manhattan?

Public Housing Operating subsidy is allocated based on the # of units. NYCHA funds each property based on historical expense levels, new need requests, and based on approved projects.

AGENCY RESPONSE:

MEETING NOTES:

COMMENTS: No new information presented.

NOTES: No follow-up item.

AGENDA ITEM 11: District Specific Question

1. What is the status of the request for proposals (RFP) for the Harborview development?

NYCHA is still evaluating options at Harborview.

2. Campos Plaza Community Center Cornerstone program run by University Settlement has been in dire need of repairs for several years. DYCD provides only programmatic expense funding; this is a NYCHA property. How are capital funds obtained for Cornerstone programs and what is the status of funding for this specific program?

Please see attached Cost Estimate Excel Sheet. Please note this does not include lead abatement costs. There is no allocated funding at this time.

AGENCY RESPONSE:

MEETING NOTES:

COMMENTS: No new information presented.

NOTES: No follow-up item.

AGENDA ITEM 12: Budgeting Process and CB Support

Please explain any particular features of your budgeting process that CBs should take into account when formulating their requests.

AGENCY RESPONSE:

1) NYCHA's budget cycle follows the calendar year (January-December) and we start working on the annual budget in the Fall.

2) NYCHA has a legal obligation to complete HUD-SDNY agreement work and that will be prioritized

MEETING NOTES:

COMMENTS: No new information presented.

NOTES: No follow-up item.

AGENDA ITEM 13: CB Priorities

1. What budget priorities would NYCHA like Community Boards to support?

AGENCY RESPONSE:

Please see attached *Blueprint for Change* for FY '22 items to support

MEETING NOTES:

COMMENTS: There are two items to consider for how CBs can decide to support: the full *Blueprint for Change* presentation and consideration that, under the HUD-SDNY Agreement, NYCHA has to reorganize itself from top to bottom. NYCHA can provide clearer guidance on what CBs can support

once it can present on these two things.

NYCHA will need State legislation in order to implement the *Blueprint*, would like to explain it to CBs for potential support.

Traditionally, many of NYCHA's capital items are so expensive that it is difficult for CBs to ask for anything beyond smaller projects such as security cameras.

NOTES: NYCHA will coordinate with MBPO to present *Blueprint for Change* in full at the next Manhattan Borough Service Cabinet meeting.

Community Board 11 Questions:

1. Agencies faced unprecedented cuts and new funding requirements this year due to COVID19. Can you list the previously unplanned cuts to the FY21 budget due to COVID and the new initiatives necessitated by the emergency? Please discuss the expected timeline for the new initiatives. What programs and capital projects will be continued uncut?

In response to the coronavirus pandemic, NYCHA has instituted a host of initiatives including: hiring contractors to sanitize high-touch areas in NYCHA developments 3-5 times per week, installing fencing around playgrounds to maintain social distancing rules at the height of the pandemic, hiring additional 750-900 temporary staff to maintain grounds and clean developments, purchasing IT equipment for remote work to enable staff to continue serving residents from home, purchasing of PPE for staff safety, purchasing and installing air conditioners for NYCHA seniors and high risk residents. All of these initiatives have already begun and have timelines driven by the pandemic.

NYCHA capital projects have been deemed essential and are ongoing. There have been project delays due to COVID.

2. To what extent have NYCHA capital rehabilitation plans for East Harlem properties been impacted by the cuts in the FY21 municipal budget? Please provide an updated timeline for all current and planned capital projects in East Harlem.

The budget was not cut, it was placed on hold due to the City moratorium currently in place. Please see the attached MOD report for a full readout.

3. In March 2020, NYCHA announced the finalization of an agreement to transfer approximately 9,000 square feet of development and parking rights at the Hobbs Court development, located at 315 E 102nd Street in East Harlem, Manhattan. NYCHA has since announced a citywide Request for Expressions of Interest to purchase unused

development rights from NYCHA. Please provide a detailed list of NYCHA owned properties in East Harlem that are subject to this RFEI?

All of the NYCHA developments in East Harlem are subject to the RFEI; however, NYCHA has not performed an exhaustive feasibility study identifying all potential transfers. Per the terms of the RFEI, parties interested in applying to purchase unused NYCHA air development rights must propose possible "as-of-right" zoning lot mergers to facilitate the transfer of development rights to neighboring privately-owned land in accordance with the current provisions of New York City's Zoning Resolution.

Please see attached the full RFEI document for more information.

4. How will NYCHA ascertain funding to combat the rodent infestation, which continues to plague NYCHA developments? Will NYCHA continue to receive funding to receive services and training from the Department of Health and Mental Hygiene's (DOHMH) Rat Academy?

Due to COVID related cuts we will be seeing a \$3.2 Million reduction in funds for the neighborhood rat reduction program. However, there is still \$5.7 million roll over from other years. Over all the 114 NYCHA developments in the NRR program collectively have seen a rat burrow reduction of 68%. DOHMH continues to inspect NYCHA property and hold bi-monthly meetings with us and city hall about rats. Specific impacts to staff have not been worked out. So far there has been no impact on the staffing for NRR. We are still making progress reducing rats.

5. Please explain how NYCHA will continue to partner with organizations to fund contaminated needle pick up initiatives in and outside of NYCHA developments?

NYCHA is in the process of establishing an operations department exclusively focused on waste management. Once formed, this department will work with NYCHA Health Initiatives and other citywide partners (including the Health Department and their syringe service programs) to strengthen our coordinated response to syringe litter and community needs regarding people using drugs in public spaces.

6. Please provide clarification for your agency's response (in BOLD) in the Register of Community Board Requests for Adopted Budget Fiscal Year 2021:

Expense

311202110E - Other public housing maintenance, staffing, and management requests. Provide funding for the purchase of additional services vans to aid residents and annual online Recertification and maintenance requests.

Approval of this request depends on sufficient federal/ state funds

Public Housing operating expenses are primarily based on federal funding and program-specific allocations from the City. If we receive more federal funding or a City allocation, we will be able to fund additional initiatives.

It would cost on average \$124K a year for each additional maintenance worker hired. 88% of maintenance workers earn \$65K. In 2019, “all-in” PS costs per Maintenance worker was \$123,400. This includes regular pay, OT, other salaries and fringe.

MEETING NOTES:

COMMENTS: On capital rehabilitation projects in East Harlem: there was no cut; OMB's moratorium delayed projects for six months. On timeline: NYCHA will have conversation with OMB once it opens back up.

NYCHA's RFEI on transfer of development rights is a citywide RFEI, not just limited to East Harlem.

Cuts to the Neighborhood Rat Reduction program impacted items on the capital side and not on staffing, for example, the cuts affected expanding hopper doors in lobbies.

NYCHA's culinary training program is still ongoing through REES.

NOTES: NYCHA's sustainability team to provide a list of capital projects that were cut in specific developments.

Campos Plaza
 Community Center - 611
 East 12th Street

DATE: 1/2/2020

DEVELOPMENT :

CONTRACT # :

PROJECT # :

CONTRACT TITLE : Community Center Renovation

NOTE: ALL GENERAL REQUIREMENTS, GENERAL CONDITIONS, BOND, INSURANCE AND OH&P ARE INCLUDED IN EACH INDIVIDUAL LINE ITEM

Sr	Work Description :	Qty	UOM	Total \$:	
				U/Cost:	T/Cost:
Campos Plaza - 611 East 12th Street : Community Center Renovation					
1	Gymnasium entry door replacement	2.00	EA	\$14,000.00	\$28,000.00
2	Gymnasium floor including border replacement	2,871.00	S.F.	\$112.00	\$321,552.00
3	Gymnasium emergency exit doors replacement	3.00	EA	\$14,000.00	\$42,000.00
4	Fire suppression system	1.00	LS	\$35,000.00	\$35,000.00
5	Kitchen ceiling replacement	285.00	S.F.	\$70.00	\$19,950.00
6	Gymnasium light fixture replacement	34.00	EA	\$1,484.00	\$50,456.00
7	Basketball backboard replacement	2.00	EA	\$13,300.00	\$26,600.00
TOTAL					\$523,558.00
Note : Total Cost Includes Hard and Soft Cost					

DISTRICT	PROJ NO.	TDS	DEVELOPMENT	BOROUGH
03	10026	264	BRACETTI PLAZA	MANHATTAN
03	10444	192	SEWARD PARK EXTENS	MANHATTAN
03	10537	018	RIIS	MANHATTAN
03	10560	006	VLADECK	MANHATTAN
03	10580	265	45 ALLEN STREET	MANHATTAN
03	9432	027	SMITH	MANHATTAN
03	9574	060	BARUCH	MANHATTAN
03 Total				
04	10146	136	FULTON	MANHATTAN
04	10571	015	ELLIOTT	MANHATTAN
04	10594	176	CHELSEA ADDITION	MANHATTAN
04 Total				
06	10573	153	STRAUS	MANHATTAN
06 Total				
07	10207	082	DOUGLASS I	MANHATTAN
07	10208	582	DOUGLASS II	MANHATTAN
07	10305	178	WSUR (BROWNSTONE)	MANHATTAN
07	10311	268	THOMAS APARTMENT	MANHATTAN
07	10456	155	DE HOSTOS APARTMEI	MANHATTAN
07	10473	082	DOUGLASS I	MANHATTAN
07	10541	082	DOUGLASS I	MANHATTAN
07	9291	022	AMSTERDAM	MANHATTAN
07 Total				
08	10569	218	ROBBINS PLAZA	MANHATTAN
08 Total				
09	10407	087	GRANT	MANHATTAN
09	9952	087	GRANT	MANHATTAN
09 Total				
10	10628	030	KING TOWERS	MANHATTAN
10	10156	154	131 SAINT NICHOLAS #	MANHATTAN
10	10412	038	SAINT NICHOLAS	MANHATTAN
10	10460	149	POLO GROUNDS TOWE	MANHATTAN
10 Total				
11	10256	123	CLINTON	MANHATTAN
11	10308	241	ROBINSON	MANHATTAN
11	10626	123	CLINTON	MANHATTAN
11	10627	017	JOHNSON	MANHATTAN
11	10629	064	JEFFERSON	MANHATTAN
11	10631	097	TAFT	MANHATTAN
11	10297	112	WILSON	MANHATTAN
11	10342	062	WASHINGTON	MANHATTAN
11	10368	074	WAGNER	MANHATTAN
11	10406	009	EAST RIVER	MANHATTAN

11	10454	112	WILSON	MANHATTAN
11	10514	277	MORRIS PARK SENIOR	MANHATTAN
11	10572	124	WHITE	MANHATTAN
11	9256	064	JEFFERSON	MANHATTAN
11	9309	097	TAFT	MANHATTAN
11	9433	074	WAGNER	MANHATTAN
11	9958	058	CARVER	MANHATTAN

11 Total

12	10435	041	DYCKMAN	MANHATTAN
12	10464	041	DYCKMAN	MANHATTAN
12	9151	041	DYCKMAN	MANHATTAN
12	9954	041	DYCKMAN	MANHATTAN

12 Total

VARIOUS	8843	999	TBD (208 Developmen	CITYWIDE
VARIOUS	8897	999	VARIOUS	CITYWIDE
VARIOUS	9869	999	VARIOUS	CITYWIDE
VARIOUS	9919	999	VARIOUS	CITYWIDE

VARIOUS Total

Grand Total

PROJECT DESCRIPTION	Fund	Year 2021
BRICKWORK/LOCAL LAW 11	Federal	\$1,800,000
"504" HANDICAPPED ACCESS	Federal	\$75,073
NEW WASTE YARD W/ 1 BULK AUGER COMPACTOR	Federal	\$754,034
NEW WASTE YARD W/ 2 AUGER COMPACTORS	Federal	
ENTRANCES & CCTV/SECURITY	Federal	
SMITH HOUSES INSTALLATION OF GAS RISERS #7	Mayoral	
FIRE ALARM SYSTEMS	Federal	
		\$2,629,108
BRICKWORK/LOCAL LAW 11	Federal	\$2,700,000
NEW WASTE YARD W/ 2 AUGER COMPACTORS	Federal	\$1,200,386
ROOF TANKS	Federal	
		\$3,900,386
NEW WASTE YARD W/ 2 AUGER COMPACTORS	Federal	\$1,200,386
		\$1,200,386
BRICKWORK/LOCAL LAW 11	Federal	\$6,300,000
BRICKWORK/LOCAL LAW 11	Federal	\$4,500,000
BRICKWORK/LOCAL LAW 11	Federal	\$5,400,000
BRICKWORK/LOCAL LAW 11	Federal	\$1,800,000
INTERIOR COMPACTORS	Federal	\$65,296
INTERIOR COMPACTORS	Federal	
RETROFIT NY	Federal	\$1,856,922
AMSTERDAM HOUSES ELEVATOR UPGRADE	Mayoral	
		\$19,922,218
NEW WASTE YARD W/ 2 AUGER COMPACTORS	Federal	\$1,200,386
		\$1,200,386
BOILER REPLACEMENT	Federal	\$1,398,541
ELEVATOR REPLACEMENT	Federal	
		\$1,398,541
INTERIOR COMPACTORS	Federal	\$652,956
BRICKWORK/LOCAL LAW 11	Federal	\$1,800,000
BOILER REPLACEMENT	Federal	\$12,586,865
1 BULK AUGER COMPACTOR + PNEUMATIC SYSTEM	Federal	
		\$15,039,821
BRICKWORK/LOCAL LAW 11	Federal	\$3,600,000
BRICKWORK/LOCAL LAW 11	Federal	
INTERIOR COMPACTORS	Federal	\$391,773
INTERIOR COMPACTORS	Federal	\$1,110,025
INTERIOR COMPACTORS	Federal	
INTERIOR COMPACTORS	Federal	
BRICKWORK/LOCAL LAW 11	Federal	\$3,600,000
BRICKWORK/LOCAL LAW 11	Federal	\$7,200,000
PROJECT MANAGEMENT SERVICES FOR EPC	Federal	\$3,541,878
BOILER REPLACEMENT	Federal	\$8,391,240

INTERIOR COMPACTORS	Federal	\$195,887
INTERIOR COMPACTORS	Federal	\$65,296
NEW WASTE YARD W/ 2 AUGER COMPACTORS	Federal	\$1,200,386
RISERS/ BATHROOM RENOVATION	Federal	\$4,730,712
TAFT HOUSES ELEVATOR REHABILITATION	Mayoral	
WAGNER HOUSES GAS RISER REPLACEMENTS	Mayoral	
BOILER REPLACEMENT	Federal	\$10,017,000
		\$44,044,196
UNDERGROUND STEAM DISTR.	Federal	\$6,362,650
BOILER REPLACEMENT	Federal	\$10,489,054
DYCKMAN HOUSES ELEVATOR REPLACEMENT	Mayoral	\$6,000,000
ELEVATOR REPLACEMENT	Federal	\$4,230,000
		\$27,081,704
CCTV/SECURITY	Federal	\$3,215,625
ROOF WORK TO PREVENT MOLD AT VARIOUS DEVELOPMENTS	Mayoral	\$61,000,000
Plumbing repairs at six developments citywide	Mayoral	\$10,000,000
BUILDING IMPROVEMENTS	Mayoral	\$250,000,000
		\$324,215,625
		\$440,632,367

Year 2022	Notes
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\$1,240,978

\$1,140,200

\$250,000

\$185,000

\$2,816,178

\$2,700,000

\$1,000,000

\$3,700,000

\$0

\$6,300,000

\$4,500,000

\$742,540

\$4,355,030

\$10,500,000

\$26,397,570

\$0

\$12,586,865

\$1,520,000

\$14,106,865

\$15,048,000

\$15,048,000

\$3,600,000

\$2,013,439

\$2,295,123

\$1,215,065

\$7,200,000

\$1,441,716

\$15,373,351
\$250,000
\$4,000,000

\$37,388,694

\$0

\$3,215,625

\$111,000,000 Placeholder for funds

\$10,000,000 Was broken down into 6 projects ---AF 12/18/2018

\$250,000,000 Placeholder SDNY Funds

\$374,215,625

\$473,672,932

Development Name**Scope of Work**

LA GUARDIA	New Waste Yard w/ 3 auger compactors
POLO GROUNDS TOWERS	New Waste Yard w/ 1 bulk auger compactor + pneumatic system
RANGEL	New Waste Yard w/ 1 bulk auger compactor + pneumatic system
RIIS	New Waste Yard w/ 1 bulk auger compactor
DOUGLASS I	New Waste Yard w/ 1 bulk auger compactor
TAFT	New Waste Yard w/ 1 bulk auger compactor
AMSTERDAM	New Waste Yard w/ 4 auger compactors
LINCOLN	New Waste Yard w/ 3 auger compactors
JOHNSON	New Waste Yard w/ 3 auger compactors
KING TOWERS	New Waste Yard w/ 1 bulk auger compactor
JEFFERSON	New Waste Yard w/ 5 auger compactors
SMITH	New Waste Yard w/ 1 bulk auger compactor
GOMPERS	New Waste Yard w/ 1 bulk auger compactor
WILSON	New Waste Yard w/ 3 auger compactors
DYCKMAN	New Waste Yard w/ 1 bulk auger compactor
HARBORVIEW TERRACE	New Waste Yard w/ 2 auger compactors
RANGEL	New Waste Yard w/ 4 auger compactors
LEHMAN VILLAGE	New Waste Yard w/ 1 bulk auger compactor
CARVER	New Waste Yard w/ 4 auger compactors
GRANT	New Waste Yard w/ 5 auger compactors
BARUCH HOUSES ADDITION	New Waste Yard w/ 2 auger compactors
SAINT NICHOLAS	New Waste Yard w/ 1 bulk auger compactor
DOUGLASS II	New Waste Yard w/ 2 auger compactors
HOLMES TOWERS	New Waste Yard w/ 2 auger compactors
131 SAINT NICHOLAS AVENUE	New Waste Yard w/ 2 auger compactors
MANHATTANVILLE	New Waste Yard w/ 4 auger compactors
RUTGERS	New Waste Yard w/ 2 auger compactors
RANGEL	Interior Compactors
SAINT NICHOLAS	Interior Compactors
BARUCH	Interior Compactors
BARUCH HOUSES ADDITION	Interior Compactors
WSUR (SITE A) 120 WEST 94TH STREET	Interior Compactors
AMSTERDAM	Interior Compactors
LINCOLN	Interior Compactors
TAFT	Interior Compactors
DOUGLASS I	Interior Compactors
DOUGLASS II	Interior Compactors
JEFFERSON	Interior Compactors
WAGNER	Interior Compactors
WILSON	Interior Compactors
HOLMES TOWERS	Interior Compactors
LEHMAN VILLAGE	Interior Compactors

131 SAINT NICHOLAS AVENUE
DYCKMAN
CARVER
MANHATTANVILLE

Interior Compactors
Interior Compactors
Interior Compactors
Interior Compactors

FY20	FY21	FY22	FY23	FY24	FY25
\$2,091,143.93					
	\$16,394,400.00				
		\$10,000,000.00			
	\$ 1,457,622.32				
	\$ 1,457,622.32				
	\$ 1,457,622.32				
			\$2,678,443.05		
			\$2,303,288.96		
			\$2,303,288.96		
			\$1,552,980.79		
			\$3,053,597.14		
			\$1,552,980.79		
			\$1,552,980.79		
			\$2,303,288.96		
				\$1,600,660.03	
				\$2,123,866.26	
				\$2,760,675.95	
					\$1,648,339.26
					\$2,842,908.85
					\$3,241,098.72
					\$2,187,130.36
					\$1,648,339.26
				\$2,760,675.95	
	\$ 587,660.06				
	\$ 914,137.88				
	\$ 1,110,024.56				
	\$ 65,295.56				
	\$ 65,295.56				
		\$ 1,620,087.00			
		\$ 1,350,072.50			
			\$1,254,810.38		
			\$ 766,828.56		
			\$ 418,270.13		
			\$2,370,197.38		
				\$1,582,234.50	
				\$ 215,759.25	

\$ 405,021.75

FY26

FY27

FY28

\$2,250,394.46

\$2,250,394.46

\$2,313,658.57

\$2,250,394.46

\$ 152,671.75

\$ 305,343.50

\$ 76,335.88

\$ 549,807.56

\$1,049,776.00

Borough	Program	Development
Manhattan	Energy Performance Contract	Washington
Manhattan	Energy Performance Contract	Carver
Manhattan	Energy Performance Contract	Taft
Manhattan	Energy Performance Contract	Vladeck
Manhattan	Energy Performance Contract	Vladeck II
Manhattan	Energy Performance Contract	Vladeck I & II
Manhattan	Energy Performance Contract	SMITH
Manhattan	Energy Performance Contract	RANGEL
Manhattan	Energy Performance Contract	EAST RIVER
Manhattan	Energy Performance Contract	SMITH
Manhattan	Energy Performance Contract	RANGEL
Manhattan	Energy Performance Contract	EAST RIVER
Manhattan	Energy Performance Contract	LA GUARDIA
Manhattan	Energy Performance Contract	LA GUARDIA ADDITION
Manhattan	Energy Performance Contract	LOWER EAST SIDE REHAB (GROUP 5)

Manhattan	Energy Performance Contract	CAMPOS PLAZA II
Manhattan	Energy Performance Contract	TWO BRIDGES URA (SITE 7)
Manhattan	Energy Performance Contract	Lincoln
Manhattan	Energy Performance Contract	Saint Nicholas
Manhattan	Energy Performance Contract	King Towers
Manhattan	Energy Performance Contract	Jefferson
Manhattan	Energy Performance Contract	Corsi Houses
Manhattan	Energy Performance Contract	Lincoln
Manhattan	Energy Performance Contract	Saint Nicholas
Manhattan	Energy Performance Contract	King Towers
Manhattan	Energy Performance Contract	Jefferson
Manhattan	Energy Performance Contract	Corsi Houses
Manhattan	Energy Performance Contract	Lincoln
Manhattan	Energy Performance Contract	Saint Nicholas
Manhattan	Energy Performance Contract	Jefferson

Manhattan	Energy Performance Contract	Corsi Houses
Manhattan	Energy Performance Contract	King Towers
Manhattan	Energy Performance Contract	Lincoln
Manhattan	Energy Performance Contract	Corsi Houses
Manhattan	Weatherization	WASHINGTON HEIGHTS REHAB (GROUPS 1&2) building 1, 2 and 3
Manhattan	Weatherization	WSURA Site A -120 West 94th Street 1 building
Manhattan	Weatherization	WSURA Brownstones -124-134 West 90th Street 10 buildings
Manhattan	Weatherization	REHAB PROGRAM (WISE REHAB) 1 building
Manhattan	Weatherization	MANHATTANVILLE REHAB (GROUP 2) 3 buildings
Manhattan	Weatherization	LOWER EAST SIDE I INFILL
Manhattan	Weatherization	ROBBINS PLAZA
Manhattan	Weatherization	MANHATTANVILLE REHAB (GROUP 3)
Manhattan	Weatherization	WASHINGTON HEIGHTS REHAB (GROUPS 1&2) building 4 and 5
Manhattan	Weatherization	WSURA Brownstones -15-23 West 90th Street, 22-42 West 91th Street 16 buildings
Manhattan	Weatherization	PUBLIC SCHOOL 139 (CONVERSION)
Manhattan	Weatherization	LOWER EAST SIDE I INFILL (3 Building)
Manhattan	Pilot Programs	Meltzer Tower
Manhattan	Community Shared Solar	Carver

Manhattan	Waste Management	45 ALLEN STREET
Manhattan	Waste Management	BARUCH
Manhattan	Waste Management	GOMPERS
Manhattan	Waste Management	LOWER EAST SIDE I INFILL
Manhattan	Waste Management	RIIS
Manhattan	Waste Management	SEWARD PARK EXTENSION
Manhattan	Waste Management	TWO BRIDGES URA (SITE 7)
Manhattan	Waste Management	WALD
Manhattan	Waste Management	HERNANDEZ
Manhattan	Waste Management	VLADECK II
Manhattan	Waste Management	DREW-HAMILTON
Manhattan	Waste Management	GRANT
Manhattan	Waste Management	MANHATTANVILLE
Manhattan	Waste Management	SAINT NICHOLAS
Manhattan	Waste Management	LINCOLN

Description of Work	Total Contract Amt	Status
Apartments/common area lighting improvements.	\$ 1,519,879.26	Complete
Apartments/common area lighting improvements and water conservation measures.	\$ 1,174,889.00	Complete
Apartments/common area lighting improvements and water conservation measures.	\$ 1,662,974.63	Complete
Apartments/common area lighting improvements and water conservation measures.	\$ 1,150,606.83	Complete
Apartments/common area lighting improvements and water conservation measures.	\$ 182,383.68	Complete
Heating Controls upgrade and apartment temperature sensors	\$ 4,459,217.00	Complete
Apartment and common area lighting upgrades	\$ 1,426,376.86	Complete
Apartment and common area lighting upgrades	\$ 998,510.85	Complete
Apartment and common area lighting upgrades	\$ 1,306,203.67	Complete
Heating Controls upgrade and apartment temperature sensors	\$ 2,235,745.04	In Process
Heating Controls upgrade and apartment temperature sensors	\$ 1,688,881.14	In Process
Heating Controls upgrade and apartment temperature sensors	\$ 1,972,367.96	In Process
Heating Controls upgrade and apartment temperature sensors	\$ 1,723,484.99	In Process
Heating Controls upgrade and apartment temperature sensors	\$ 266,421.18	In Process
Heating Controls upgrade and apartment temperature sensors	\$ 265,500.39	In Process

Heating Controls upgrade and apartment temperature sensors	\$ 466,365.68	In Process
Heating Controls upgrade and apartment temperature sensors	\$ 217,205.91	Complete
Apartments/common area lighting improvements	\$ 1,170,268.06	Complete
Apartments/common area lighting improvements	\$ 1,377,799.33	Complete
Apartments/common area lighting improvements	\$ 1,243,714.44	Complete
Apartments/common area lighting improvements	\$ 1,283,457.55	Complete
Apartments/common area lighting improvements	\$ 255,324.95	Complete
Water conservation measures	\$ 98,349.31	Complete
Water conservation measures	\$ 121,504.24	Complete
Water conservation measures.	\$ 85,974.26	Complete
Water conservation measures.	\$ 142,287.35	Complete
Water conservation measures.	\$ 9,414.24	Complete
Temperature controls	\$ 2,840,345.53	In Process
Temperature controls	\$ 3,022,539.28	In Process
Temperature controls	\$ 3,600,673.41	In Process

Temperature controls	\$ 454,451.42	In Process
Temperature controls	\$ 2,564,306.03	In Process
Ventilation improvements	\$ 318,821.21	In Process
Ventilation improvements	\$ 262,343.18	In Process
Boiler replacement, window upgrades, lighting upgrades and ventilation improvements.	\$ 428,531.00	Complete
Lighting upgrades and ventilation improvements.	\$ 39,311.27	Complete
Window Replacements, lighting upgrades and ventilation improvements.	\$ 66,988.90	Complete
Boiler replacement lighting upgrades and ventilation improvements.	\$ 55,673.87	Complete
Boiler replacement and lighting upgrades.	\$ 90,137.00	Complete
Boiler replacement, lighting upgrades and ventilation repairs.	\$ 82,559.44	Complete
Lighting upgrades and ventilation improvements.	\$ 86,870.30	Complete
Boiler room replacements, lighting upgrades and ventilation improvements.	\$ 80,701.79	Complete
Boiler room replacements, lighting upgrades, windows and ventilation improvements.	\$ 197,422.50	Complete
Lighting upgrades and ventilation improvements.	\$ 99,738.00	Complete
Lighting upgrades and ventilation improvements.	\$ 97,670.30	Complete
Boiler Replacements, Lighting upgrades, window replacements and ventilation improvements	\$ 450,000.00	In Process
Replace resident window A/C units with new NYCHA-owned "smart" A/Cs and network them for demand management controls.	\$ 300,000.00	In Process
Lease agreement to install solar PV array on four rooftops for community shared solar	N/A	Lease signing in progress

Enlarge Hopper Door	\$ 8,465.48	In Process
Enlarge Hopper Door	\$ 143,913.17	In Process
Enlarge Hopper Door	\$ 33,861.92	In Process
Enlarge Hopper Door	\$ 8,465.48	In Process
Enlarge Hopper Door	\$ 152,378.64	In Process
Enlarge Hopper Door	\$ 16,930.96	In Process
Enlarge Hopper Door	\$ 8,465.48	In Process
Enlarge Hopper Door	\$ 135,447.69	In Process
Enlarge Hopper Doors	\$ 8,465.48	In Process
Enlarge Hopper Doors	\$ 67,723.83	In Process
Cardboard Baler Installation	\$ 14,868.00	In Process
Cardboard Baler Installation	\$ 12,333.00	In Process
Cardboard Baler Installation	\$ 19,262.00	In Process
Cardboard Baler Installation	\$ 18,417.00	In Process
Cardboard Baler Installation	\$ 24,332.00	In Process

A Blueprint for Change

New York City Housing Authority (NYCHA)

August 2020



Overview of Initiatives

NYCHA's challenges

Initiatives under development

Organization poorly suited to operational and capital delivery challenges

Organizational Strategy

Investing in the organization

- Focus on compliance
- Create culture of service
- Improve service delivery

\$40B capital need and limited resources to address it

Stabilization Strategy

Investing in the properties

- Create a plan for every building
- Raise capital funds to reinforce operational improvements
- Address all elements of compliance and basic housing quality standards



Residents face unprecedented health and economic crisis

Jobs & Recovery Strategy

Investing in people

- Expand & deepen economic opportunities
- Strengthen Section 3 & M/WBE programs
- Enhance health connections & improve environmental health

Background: NYCHA Current State

Urgent needs for NYCHA's 175,000 apt portfolio

- **\$40 billion** to address full PNA plus lead, asbestos, ADA
- Capital needs grow by at least **\$1+ billion/year**

Full repairs on the way for 62,000 apartments

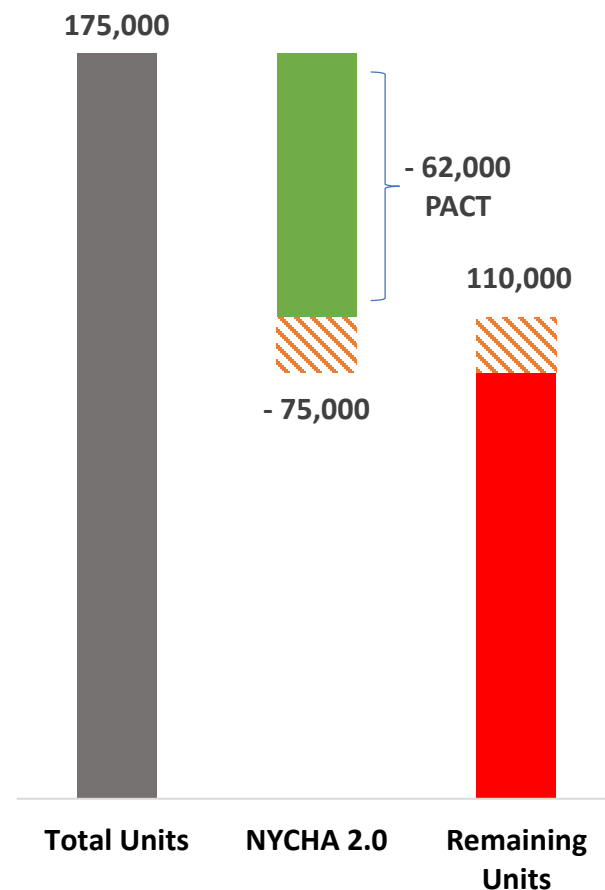
- PACT program is financing full renovations for 62k apts
- Other NYCHA 2.0 programs will fund add'l repairs

But 110,000 apartments need capital investment

- Need **\$18B** to stabilize these apts (i.e. address HUD Agreement pillars – lead, mold, pests, elevators, heat)
- NYCHA only has **\$3.3B** in capital funding secured

NYCHA needs a comprehensive plan that addresses the physical needs at every building in the NYCHA portfolio

NYCHA Portfolio



What's Needed to Stabilize 110,000 Apartments

NYCHA needs **\$18B** to achieve compliance with the HUD Agreement & meet basic Housing Quality Standards (HQS) at the 110,000 apartments – near term stabilization to prevent further decline

Mold: \$9.5 Billion

- Replace piping; full kitchens & baths; ventilation

Lead Abatement: \$1 Billion

- Full abatement across 110,000 units

Heat: \$4.1 Billion

- Prevent outages & improve heat delivery

Elevators: \$1.6 Billion

- Dramatically reduce outages

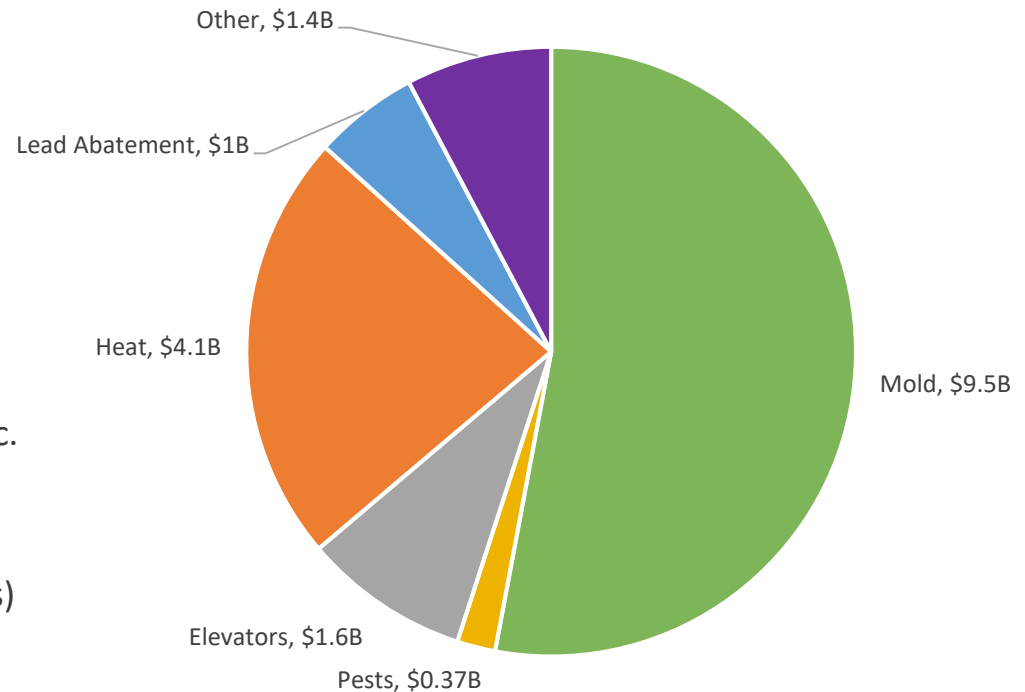
Pests: \$370 Million

- New waste yards, interior compactor work, etc.

Other: \$1.4 Billion

- Correct other HQS items (e.g. safety)
- Invest in security (incl. CCTV, main door access)
- Address gas risers

Stabilization Costs - \$18B



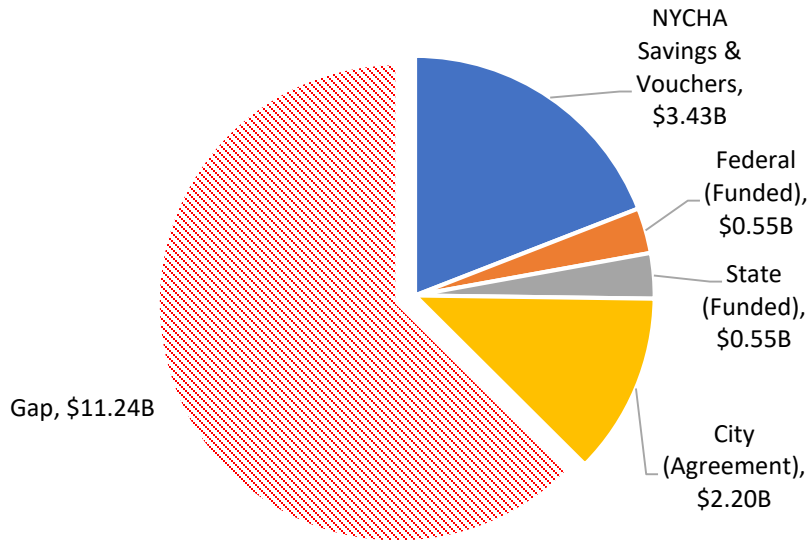
But to **fully revamp** the properties (e.g. to address community centers, grounds, cladding, etc.), NYCHA would need an **additional ~\$7B** – for a **total of \$25B**

Current Funding Gap

NYCHA Projected Capital Gap

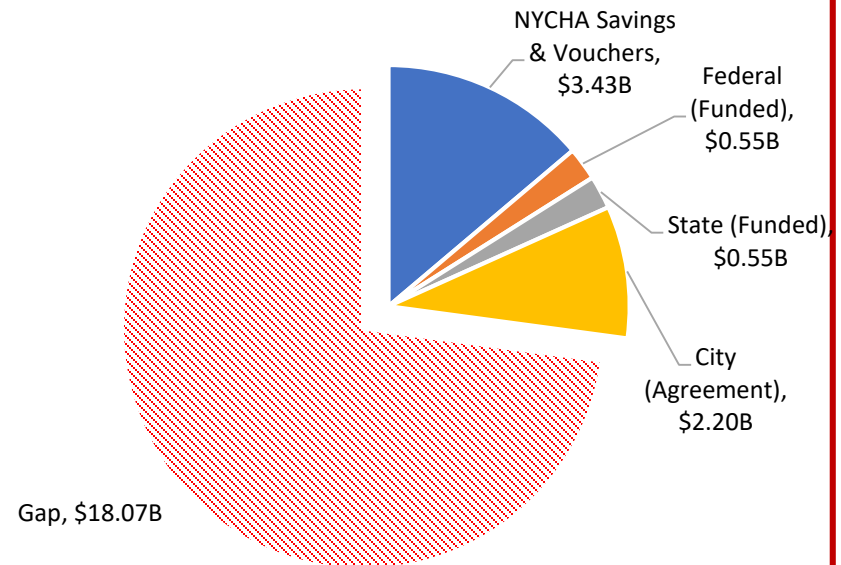
	Stabilization	Full Scope
Total Costs	\$17.97B	\$24.80B
Total Secured	\$6.73B	\$6.73B
NYCHA Savings & Vouchers	\$3.43B	\$3.43B
Federal (Funded)	\$0.55B	\$0.55B
State (Funded)	\$0.55B	\$0.55B
City (Agreement)	\$2.20B	\$2.20B
Projected Gap	\$11.24B	\$18.07B

Stabilization Costs - Total \$18B



Projected Gap = \$11.24B

Full Scope Costs - Total \$25B



Projected Gap = \$18.07B



Stabilization Overview

1
CREATE

NYC Public Housing Preservation Trust

- Use School Construction Authority model & create NYCHA-run **public** entity
- Provide procurement structure to expedite massive levels of construction
- Use a public entity to access Tenant Protection Vouchers (TPVs) for repairs
- NYCHA enters into a long-term ground lease with Trust
- Trust contracts back to NYCHA for management/operations & retains union workforce

+
2
FUND
||

Interim Use of Tenant Protection Vouchers (TPVs)

- Based on HUD notices, NYCHA has 110K apts likely to meet “obsolescence” criteria
- Apartments are eligible for TPVs when they meet this “obsolescence” criteria
- Ask for HUD and Federal Appropriators:
 - Allow NYCHA to “pool” TPVs before attaching the vouchers to specific apts, so NYCHA can use the subsidy to raise upfront funds for capital repairs
 - Appropriate additional TPVs and capital funding for PHA stabilization efforts

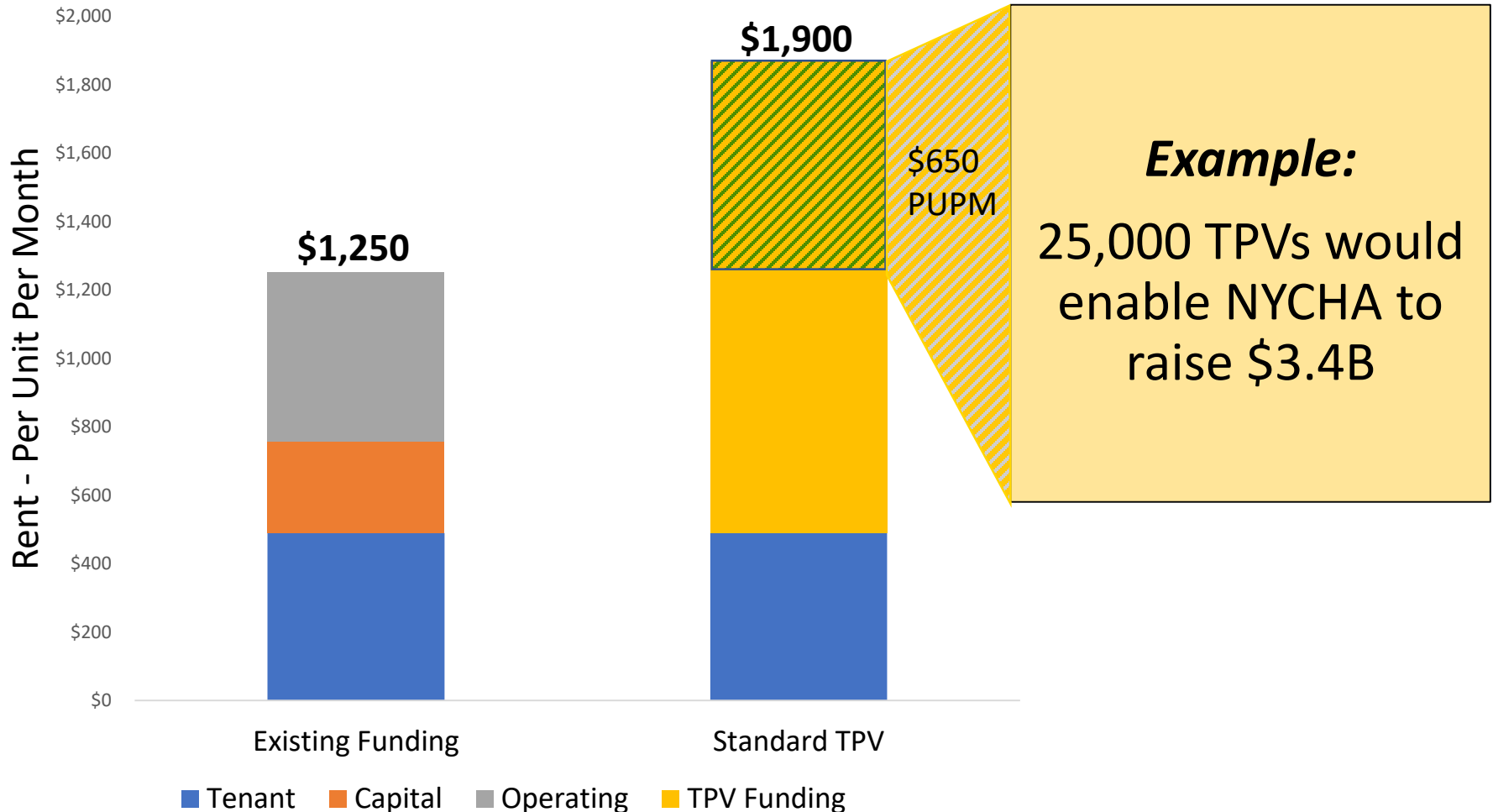
3
PRESERVE

Stabilization & Recovery

- Fulfill **all compliance requirements** of HUD agreement & basic housing standards
- Protect resident rights & affordability in perpetuity – same rent calculations
- Position properties for future financing options to address **full** PNA over time
- Access upfront capital through a public entity
- Catalyze economic recovery through investing in public housing as infrastructure

Tenant Protection Vouchers (TPVs) are Valuable

Unit Rents by Type (2019)
Per Unit Per Month



Leveraging Tenant Protection Vouchers (TPVs)

Using TPVs for Upfront Repairs

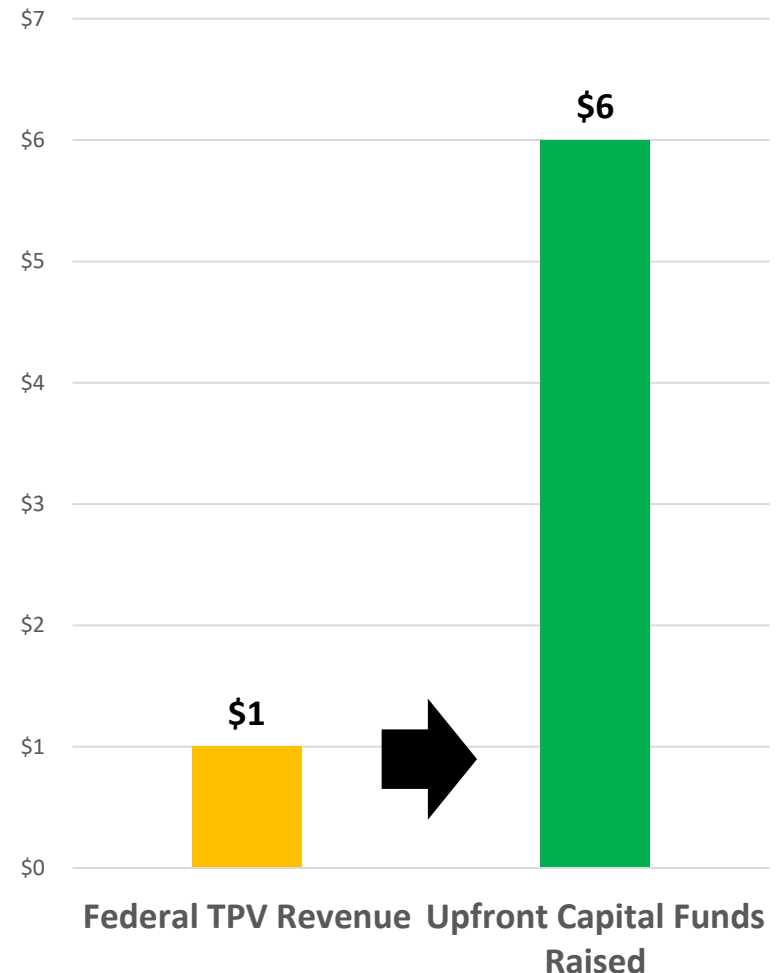
- NYCHA seeks the ability to “pool” TPVs together before project-basing them to specific units
- This “interim use” of the TPVs would enable NYCHA to raise funds to do upfront repairs **now**

6-to-1 Multiplier Effect

- By leveraging TPVs, NYCHA can complete more projects with a given allocation of funds
- NYCHA is able to leverage **every \$1 in federal TPV revenue** to complete **\$6+ in capital repairs**

To ensure full end-to-end public control, NYCHA would use a new public entity – a **Public Housing Preservation Trust**

Multiplier Effect of Federal TPV Revenue



NYC Public Housing Preservation Trust

Public Benefit Corporation

A **fully public entity** that will enable NYCHA to use TPVs, facilitate historic levels of construction, and preserve long-term public ownership

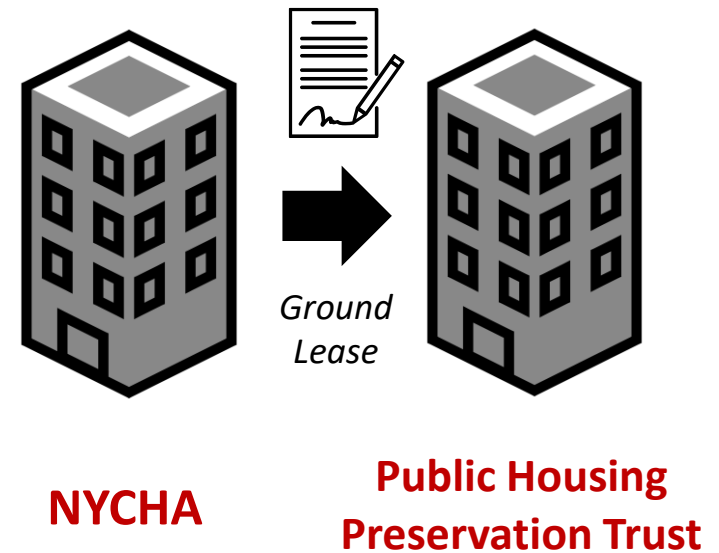
How It Works

- Use the School Construction Authority / DOE model
- NYCHA enters into long-term ground lease with Trust
- Trust oversees construction management contracts
- Trust contracts back to NYCHA for management & maintenance services

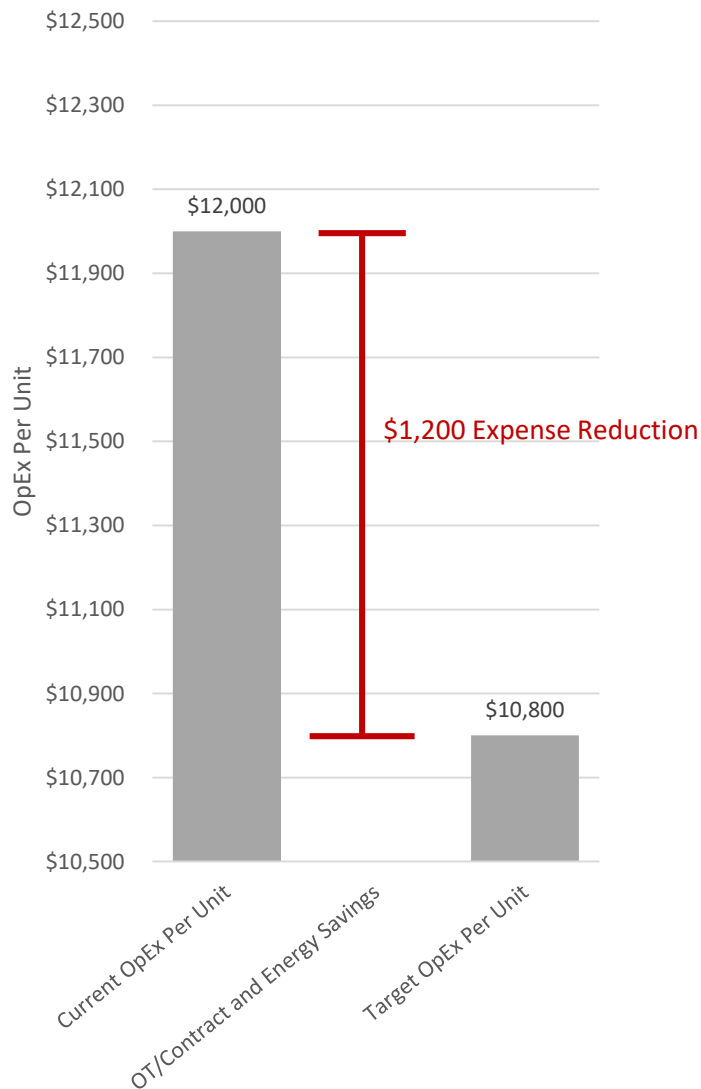
Results

- Properties under **end-to-end public control**
- Capital work **fulfills all compliance requirements** of HUD Agreement, stabilizes apts to HQS, and positions units for future investment options to meet full PNA
- State legislation codifies **full** resident protections & affordability in perpetuity
- **Significant** energy efficiency achieved
- Trust retains **public, represented** workforce

A Public to Public Process



Reducing NYCHA's Operating Expenses



Stabilized Properties = Less Emergency Work

- **Short term** savings from less OT and vendor spending
- **Long term** savings from reinvesting in preventative maintenance

Energy Savings

- Much of NYCHA's annual energy costs are wasted through system inefficiencies (underground steam leaks, open windows, etc.)
- Energy/cost savings from converting central steam systems to more efficient space heating, such as hydronic boilers for each building

Organizational Strategy

- Financial accountability at the property level
- Improved support functions (procurement, HR, etc.)

Organizational Changes to Improve Operations

Improve accountability and span of authority & control

- Re-align property portfolios & management structure

Bring “line of sight” into the field – faster response to conditions

- Shift towards property based budgeting
- Provide central office support in the field

Enhance resource allocation through efficient staffing & scheduling of work

- Evaluate Alternative Work Schedule (AWS)
- Assess work order sequencing

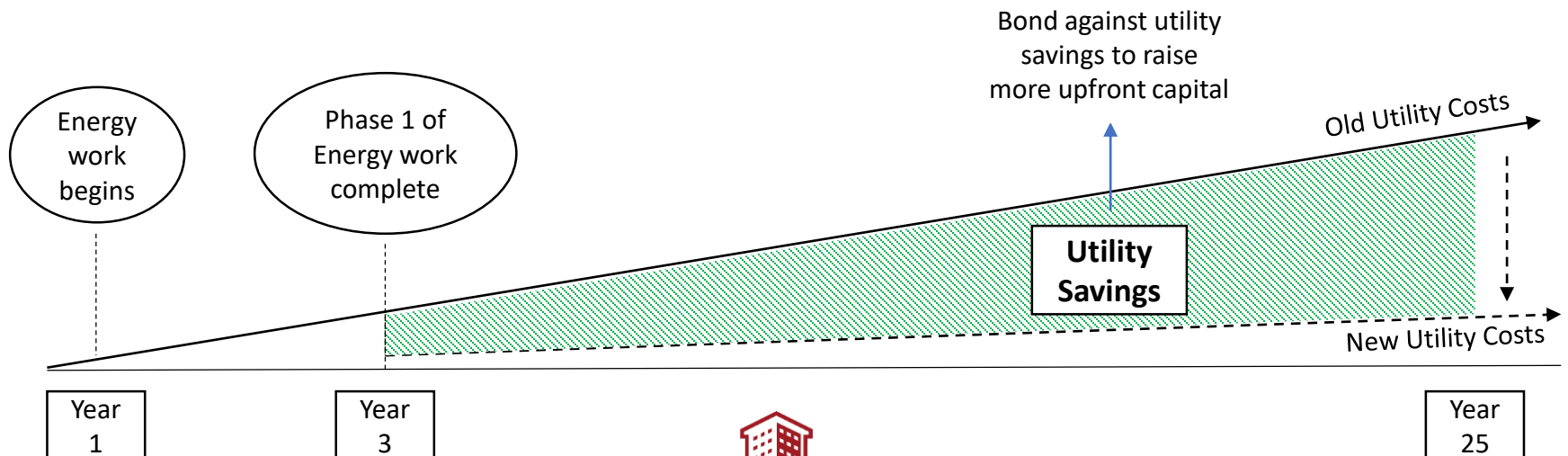
Beyond Capital Repairs: Energy, Jobs, Health, Recovery

NYCHA Stabilization would mean **greater energy efficiency**

1) Use green building technology to drive down utility costs and de-carbonize NYCHA

- Transform heating systems (e.g. decouple heat plants, install point-source heat)
- Re-clad exteriors, replace windows, and install solar panels where possible
- Install energy-efficient appliances (refrigerators, induction stoves, toilets, etc.)
- Explore “cap and trade” agreements with private owners to raise capital
- Start with energy work and use utility savings to leverage more upfront capital

Leveraging Utility Savings



Beyond Capital Repairs: Energy, Jobs, Health, Recovery

NYCHA Stabilization would mean **new, high-paying jobs**

2) Create quality jobs, prioritizing NYCHA residents & other low-income individuals

- Spur **thousands** of near-term construction jobs to complete capital repairs
- Link with local manufacturing firms to support **hundreds** of industry jobs, especially in locations such as the Brooklyn Navy Yard & Brooklyn Army Terminal
- Create long-term pipeline of **1-2K skilled jobs** for maintaining new building technology in NYCHA facilities
 - New heating systems, new doors, new electrical systems, and other building improvements will all require skilled labor to maintain
 - NYCHA will provide training and link these jobs to residents
- Prioritize **NYCHA residents** for jobs & strengthen Section 3 + M/WBE programming

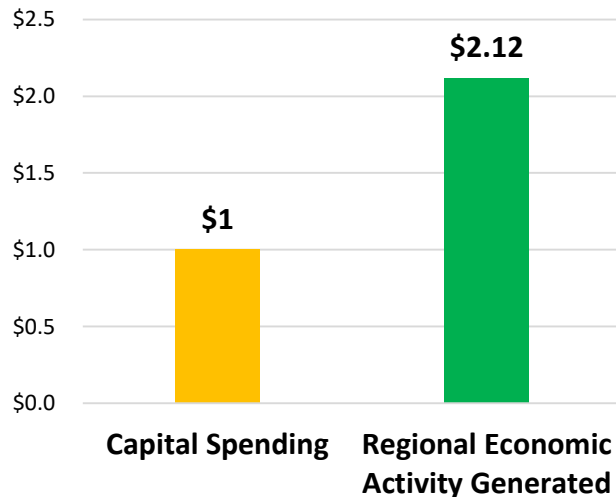
Beyond Capital Repairs: Energy, Jobs, Health, Recovery

NYCHA Stabilization would mean **a healthier NYC & regional recovery**

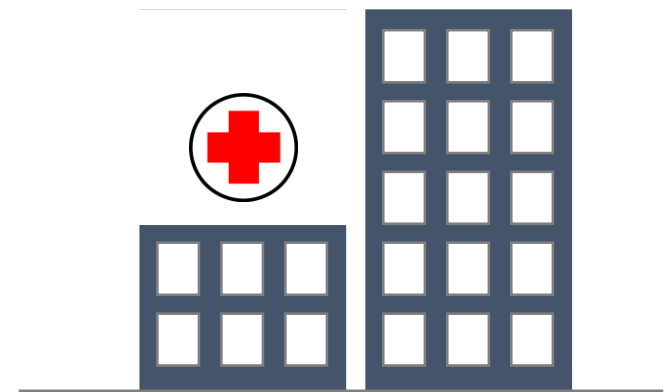
3) Catalyze NYC's recovery efforts by improving health and boosting the local economy

- Mold, lead, and other capital improvements will improve housing conditions, which creates healthier environments for NYCHA residents
- Explore co-location of medical services in NYCHA community facilities
- Capital spending has 2-to-1 multiplier effect on regional economic activity
- More business activity can help tax revenues recover

**Impact of Public Housing
Capital Spending**



**Investing in NYCHA creates
healthier conditions**



Looking Ahead

NYCHA is in the process of engaging residents, stakeholders, and elected officials to gather feedback around Stabilization.

Discussions/briefings to date:

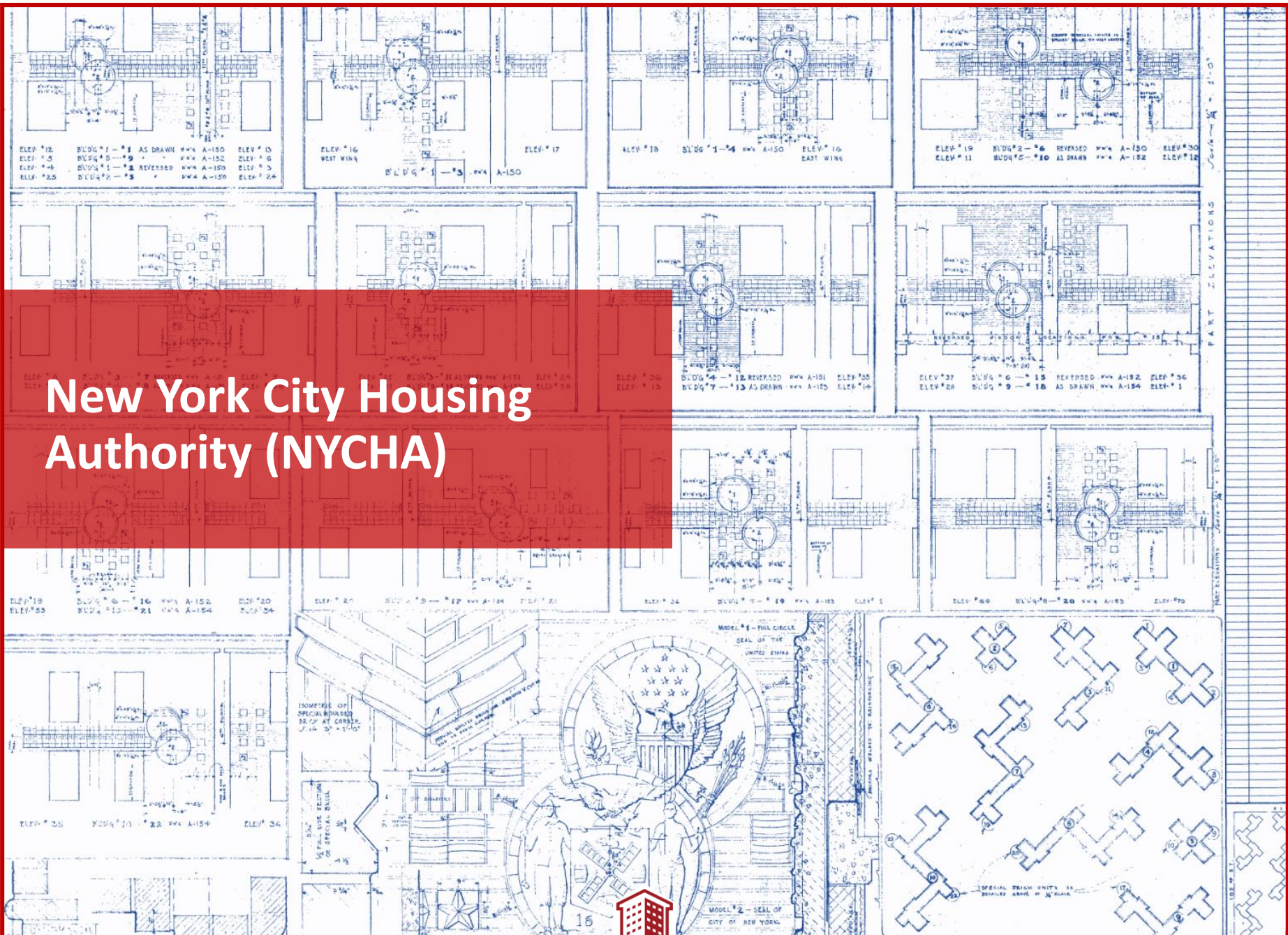
- Small groups of resident leaders (with more small group discussions scheduled)
- Federal officials (HUD, SDNY, and Monitor)
- Labor partners
- Over a dozen local and national advocate and policy organizations
- Federal, State, and City elected officials

NYCHA will continue and expand these conversations over the coming weeks & months, including a focus on:

- Engaging and building partnerships with residents, elected leaders, & advocates
- Working with the State Legislature on authorizing the NYC Public Housing Preservation Trust
- Working with federal partners on TPV appropriations and financing mechanisms



New York City Housing Authority (NYCHA)



NYCHA 2.0

TRANSFER TO PRESERVE

REQUEST FOR EXPRESSION OF INTEREST
RFEI #110832

EVENT	DATE	TIME
PUBLIC ISSUE	MARCH 10, 2020	1:00PM
PROPOSERS' QUESTIONS DUE DATE	APRIL 1, 2020	1:00PM
PRE-SUBMISSION CONFERENCE DATE	APRIL 6, 2020	1:00PM
RESPONSES TO QUESTIONS DUE DATE	APRIL 15, 2020	5:00PM
SUBMISSION DEADLINE (ROLLING)	APRIL 20 - JULY 31, 2020	7/31 @ 2:00PM



The City of New York
Mayor Bill de Blasio

Vicki Been, Deputy Mayor for
Housing and Economic Development



Gregory Russ, Chair & CEO
New York City Housing Authority

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I. INTRODUCTION

In December 2018, Mayor de Blasio unveiled *NYCHA 2.0*, a comprehensive plan to preserve public housing. This plan will provide \$24 billion in vital repairs to New York City's aging public housing and ensure residents have the safe, decent and affordable homes they deserve. The ten-year plan will deliver top to bottom renovations for 175,000 residents, fund essential capital repairs across the rest of NYCHA's portfolio and launch aggressive new repair strategies to tackle lead paint, mold, elevators, heat and vermin. One of the strategies outlined in *NYCHA 2.0*, Transfer to Preserve ("TTP"), will deliver approximately \$1 billion in capital repairs through the sale of unused development rights.

The TTP strategy will sell unused development rights from NYCHA properties to facilitate development on private lots that are located on the same block as a NYCHA property using "as-of-right" transfer mechanisms. Potential buyers should maximize their bids to provide revenue that NYCHA can use to make much needed capital repairs.

The New York City Housing Authority is pleased to release this Request for Expression(s) of Interest ("RFEI") to propose possible "as-of-right" zoning lot mergers to facilitate the transfer of development rights to neighboring privately-owned land to be used for new construction or for increasing the size of an existing structure. All proposals should contemplate use of current development rights transfer mechanisms in accordance with the provisions of New York City's Zoning Resolution ("Zoning Resolution"). This RFEI is not seeking proposals that suggest new mechanisms or the creation of new districts to transfer development rights. Proposals should offer maximum bids for NYCHA's unused development rights and develop preliminary concepts for a development. In addition, Applicants should consider how their proposed project will enhance the surrounding area and the respective NYCHA campus.

Proposal selection through this RFEI indicates NYCHA's willingness to engage in negotiations and a cooperative process to assist with projects, as needed. Selected projects will be prioritized in NYCHA's TTP pipeline to the extent that project readiness and the availability of resources permits. Submissions to the RFEI may contribute to a report on the findings of this RFEI. NYCHA may select one, more than one, or none of the proposals received through this RFEI. Selection through this RFEI is in no way an obligation on the part of NYCHA or the Applicant to enter into an agreement for a proposed development rights transfer.

II. GOALS OF THE RFEI

NYCHA seeks to select proposals that fulfill the agency's goals in four key areas: Financial return to NYCHA; Development that benefits NYCHA and the City; Applicant Team Experience; and Urban Design.

1. FINANCIAL RETURN TO NYCHA

Competitive offers that maximize return to NYCHA to put towards comprehensive repairs.

2. DEVELOPMENT THAT BENEFITS NYCHA AND THE CITY

Development that contributes positively to NYCHA and the surrounding community.

3. APPLICANT TEAM EXPERIENCE

Applicant Team that has identified a feasible site for the development and brings the resources, understanding, and experience to implement the proposed Project.

4. URBAN DESIGN

Well designed building massing(s) that addresses site conditions and relates to the surrounding NYCHA development.

III. DEFINITIONS

For the purpose of this document the terms not otherwise defined herein shall have the definitions given below:

Applicant

An individual, partnership, limited liability company, corporation, joint venture, or other entity that submits a Proposal in response to this RFEI.

City Environmental Quality Review (“CEQR”)

New York City’s process for implementing the State Environmental Quality Review Act (SEQRA), by which agencies of the City of New York review proposed discretionary actions to identify and disclose the potential effects those actions may have on the environment. The CEQR Technical Manual defines how environmental testing should be conducted in order to satisfy the legal requirements of New York State’s SEQRA.

City

The City of New York

Developer

Any Applicant(s) selected by NYCHA to commence negotiations regarding the transfer of development rights proposed in response to this RFEI.

Development Team

The Developer and the professional, technical, and construction entities (e.g. general contractor, architect, engineer, legal counsel, marketing, and managing agents) that will participate in the design, development, construction, marketing, and/or management of the Project.

Discretionary Action

A discretionary action requires the review and approval of the City Planning Commission or the Board of Standards and Appeals. Zoning amendments, special permits, authorizations and variances are discretionary actions.

Floor Area

The floor area of a building is the sum of the gross area of each floor of the building, excluding mechanical space, cellar space, floor space in open balconies, elevators or stair bulkheads and, in most zoning districts, floor space used for accessory parking that is located less than 23 feet above curb level.

HUD

United States Department of Housing and Urban Development

Mandatory Inclusionary Housing (“MIH”)

As a key initiative of Mayor de Blasio’s housing plan, enacted in March 2016, MIH requires a share of new housing in medium- and high-density areas that are rezoned to promote new housing production—whether rezoned as part of a city neighborhood plan or a private rezoning application—to be permanently affordable.

Negotiation Letter

The letter sent to the selected Developer by NYCHA regarding the commencement of negotiations for the development of a Project.

National Environmental Policy Act (“NEPA”)

Signed into law on January 1, 1970, NEPA requires federal agencies to assess the environmental effects of their proposed actions prior to making decisions. Using the NEPA process, NYCHA evaluates the environmental and related social and economic effects of any proposed actions.

NYCHA

The New York City Housing Authority

Principal

An individual, partnership, limited liability company, corporation, or other not-for-profit or for-profit entity that will act as the general partner, officer, or managing member of the Applicant, or any entity, known limited partner, or other member that has at least a 10% ownership interest in the Applicant.

Resident Economic Empowerment and Sustainability (“REES”)

REES supports residents to increase their income and assets through programs, policies, and collaborations through employment and career advancement, training, financial empowerment, and business development. REES will collaborate with selected applicant teams to finalize an agreed upon hiring plan that is consistent with applicable HUD and NYCHA resident hiring policies.

Resident Engagement

The process of sharing information and gathering input from residents and other community stakeholders.

Section 18 Disposition Approval

Conveyance of a property interest in NYCHA Development Rights typically requires HUD approval under Section 18 of the United States Housing Act of 1937, as amended. HUD has promulgated regulations at 24 C.F.R. Part 970, detailing the administrative steps required for its approval of any demolition/disposition activity affecting covered public housing property. The Section 18 regulations may be found at:

http://www.hud.gov/offices/pih/centers/sac/demo_dispo/24cfr970.pdf

State Environmental Quality Review (“SEQR”)

New York State’s policy requiring state and local agencies to assess the environmental impacts of certain discretionary actions.

Transferable Development Rights (“TDR”)

Development rights generally refer to the maximum amount of floor area permissible on a zoning lot. The difference between the maximum permitted floor area and the actual built floor area is referred to as “unused development rights”. Unused development rights can be sold to an adjacent property owner to facilitate a larger development, when in accordance with the Zoning Resolution.

Uniform Land Use Review Process (“ULURP”)

The process, set forth in the City Charter, prescribing the City’s land use review process, including public hearings and several levels of government approvals. Actions requiring ULURP include, among others, changes to the City Map, designation or change of zoning districts, and Special Permits within the Zoning Resolution requiring approval of the New York City Planning Commission (CPC).

Lot or Zoning Lot

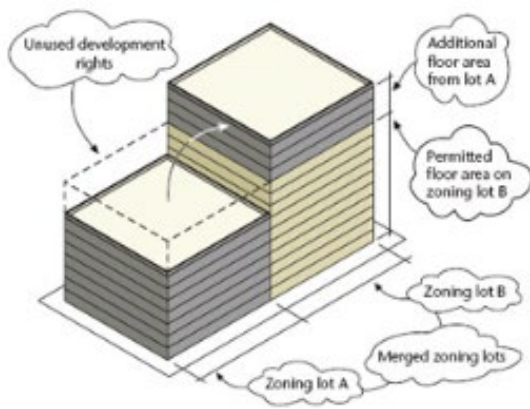
A lot or zoning lot is a tract of land comprising a single tax lot or two or more adjacent tax lots within a block. An apartment building on a single zoning lot, for example, may contain separate condominium units, each occupying

its own tax lot. Similarly, a building containing a row of townhouses may occupy several separate tax lots within a single zoning lot, or two or more detached homes on one zoning lot may each have its own tax lot.

The zoning lot is the basic unit for zoning regulations and may be subdivided into two or more zoning lots, and two or more adjoining zoning lots on the same block may be merged, provided that all resulting zoning lots comply with applicable regulations.

Zoning Lot Merger (“ZLM”)

A zoning lot merger is the joining of two or more adjacent zoning or tax lots into one zoning lot. Unused development rights may be shifted from one lot to another, as-of-right, through a zoning lot merger. Property owners that are not immediately adjacent to a NYCHA-controlled lot, but are within the same block, may pursue purchasing NYCHA development rights, if the merged zoning lot contains contiguous parcels.



IV. RFEI PROCESS

Please follow the instructions and information provided in this section to ensure a complete RFEI proposal is submitted to NYCHA for review. Proposals that are not complete or not in conformance with the requirements of this RFEI will be eliminated from further consideration.

A. DEADLINE & DELIVERY

Submission Window: April 20, 2020 – July 31, 2020

Final Deadline: July 31, 2020, 2:00 p.m.

On or before the submission deadline, the Applicant must submit a Proposal in accordance with the instructions and attachments contained in this RFEI, as well as in any addenda that may be issued to the RFEI. All submissions become the property of NYCHA. Late submissions will not be accepted.

Submissions must be delivered by hand to:

New York City Housing Authority
Procurement Department
90 Church Street, 6th FL
New York, NY 10007
Attention: Yesenia Rosario

B. PACKAGE FORMAT

Title

Printed on front cover:

NYCHA TTP RFEI; Applicant Name; Project Site; Submission Date

Format

The following must be provided separately for each Site the Applicant intends to submit:

- One (1) bound original, signed by an authorized representative of the Applicant
- One (1) bound copy, tabbed with tabs running down the right-hand side. The folders should be named according to the listed titles (i.e. *TAB A – Completeness Checklist and Applicant’s Letter*).
- Two (2) flash drives containing folders with all components of the submission, and a complete searchable PDF file named according to the following convention:
YYMMDD – TTP RFEI – Applicant Name.pdf

Forms

All forms associated with the Proposal must follow the format included in this RFEI. All Forms included in *Exhibits* will be made available for download on the NYCHA website. Form B-1 (Proposal Summary), Form C-1 (Zoning Analysis), and Form H-2 (Applicant Respondent Description, if applicable) must be submitted as Excel files and in original formatting on the flash drive.

C. PRE-SUBMISSION CONFERENCE

Date: Monday, April 6, 2020

Time: 1:00-4:00pm

Location: 90 Church Street

RSVP: Please send an email to development@nycha.nyc.gov by 12:00 PM on Wednesday, April 1, 2020. RSVPs must include the name(s), email address(es), and name of affiliated organization of all individuals who will attend the conference. Please include the subject line "TTP RFEI Pre-Submission RSVP".

NYCHA strongly recommends that interested Applicants attend this pre-submission conference, as this will be an opportunity to ask questions and receive answers in person. Responses to all inquiries will be collectively provided at the pre-submission conference and in an addendum, posted on NYCHA's Website and sent to all prospective Applicants. Any updates and/or additional communications regarding this RFEI will also be posted to: <http://www1.nyc.gov/site/nycha/business/request-development-proposals.page>

D. COMMUNICATIONS AND INQUIRIES

All communications and inquiries regarding this RFEI are to be directed in writing, via email, to development@nycha.nyc.gov

Responses to all inquiries will be collectively provided in an addendum that will be posted on NYCHA's website and sent to all registered prospective Applicants after the pre-submission conference. All written questions must be submitted by April 1, 2020 to be included in the RFEI addendum.

E. MODIFICATIONS

An Applicant may submit a complete modified Proposal to replace all or any sections of a previously submitted Proposal up until the submission deadline. Neither NYCHA personnel will insert pages or otherwise modify the Applicant's Proposal. The Applicant has the full responsibility for ensuring that its final Proposal has been submitted in the desired form by the submission deadline. The front cover of a modified Proposal must identify the submission as a modified proposal and include the date on which the modified Proposal is submitted.

Modifications received after the submission deadline due date will not be considered. If NYCHA determines, upon review of a Proposal, that any items are missing and/or incomplete, NYCHA, in their sole discretion, by written notification given to the Applicant, may permit the Applicant to provide or clarify such items. Failure to provide complete information in a timely fashion could result in rejection of the Proposal.

F. RFEI ADDENDA

NYCHA reserves the right to amend or withdraw this RFEI at any time. In order to be considered, Proposals must conform to any amendments that may be issued to this RFEI. Amendments may include, without limitation, any requirements and terms or conditions contained in this RFEI. NYCHA will advise each Applicant of any clarifications or revisions. If, in NYCHA's judgment, additional time is required for Applicants to prepare their Proposals, NYCHA reserves the right to grant an extension of the deadline for submission of a Proposal, and such extension will then be granted to all Applicants.

G. REFERENCES AND REQUESTS FOR FURTHER INFORMATION

Submission of a Proposal shall constitute permission from the Applicant for NYCHA to make such inquiries concerning the Applicant as NYCHA deems necessary. NYCHA reserves the right to communicate with any of the Applicants, but NYCHA is not obligated to do so. NYCHA may discuss the Proposals of any Applicants concurrently or sequentially, as NYCHA may determine. No Applicant has any rights against NYCHA solely arising from any such invitation to a discussion, or from any negotiations that may arise pursuant to the discussions.

Applicants must comply with all requests for information and, if requested by NYCHA, appear for presentations or discussions. If any Applicant fails to do so within the time period given (or within any time extension that NYCHA may grant), NYCHA may deem this as a failure and act of non-compliance with the RFEI, which will permit NYCHA to select another Applicant or to solicit new Proposals. In furtherance and not in limitation of the foregoing, before a final selection is made, an Applicant may be required to produce more detailed information concerning the professional background of those persons who own and manage such Applicant, a report on the financial background of such Applicant, and information concerning the nature and status of any past or pending threatened charges or actions (including lawsuits, criminal or disciplinary actions, administrative proceedings by any governmental or regulatory agency or bankruptcy action) against such Applicant or any of its partners, directors, officers, employees, shareholders, subsidiaries, or affiliates, as the case may be.

H. SELECTION

Selection of an Applicant under this RFEI means only that NYCHA will commence negotiations with such Applicant regarding the Proposal for the as-of-right transfer of unused development rights.

I. LOBBYING AND ADVOCACY

In order to preserve and maintain the integrity of the selection process, NYCHA will not consider or accept any advocacy or letters of support from any person or organization, including elected officials, attempting to influence the selection process.

J. NEGOTIATION LETTER

Upon such selection, NYCHA will send written notification (“Negotiation Letter”) to the Developer regarding the commencement of negotiations. This Negotiation Letter will set forth certain information regarding the Project and procedures that will form the basis for such negotiation.

Each Proposal must include an Applicant’s Letter (Form A-2), signed on behalf of the Applicant by a Principal. NYCHA reserves the right to terminate negotiations with or without cause after the issuance of such Negotiation Letter.

K. DISCLOSURE

The Developer who receives a Negotiation Letter from NYCHA must thereafter disclose all previous participation in NYCHA and City-assisted projects. Such entity or entities and all Principals thereof will each be required to submit completed Entity and Individual Disclosure Statements. NYCHA will provide copies of these forms upon request to any Applicant.

L. NO OBLIGATION

This RFEI does not represent any obligation or agreement whatsoever on the part of NYCHA, nor does it represent any obligation on the part of NYCHA to issue a Negotiation Letter, to enter into negotiations with a Developer, and/or to award an agreement pursuant to this RFEI. Any obligation, commitment, or agreement on the part of NYCHA may only be incurred after NYCHA and the Developer enter into a written agreement(s) approved by the NYCHA Board and HUD for the conveyance of the unused development rights at closing. NYCHA may use the Proposals submitted pursuant to this RFEI as a basis for negotiation with Applicants as they deem appropriate and may use the Proposals solely as basis for gauging interest in the conveyance of the unused development rights and determining whether to issue a subsequent RFP or RFEI for the conveyance of the unused development rights. NYCHA may reject at any time any or all Proposals, amend or withdraw this RFEI in whole or in part, negotiate with one or more Applicants, and/or negotiate and dispose of the unused development rights on terms other than those set forth herein (including to parties other than those responding to this RFEI). NYCHA may also, at any time, waive compliance with, or change any of the terms and conditions of this RFEI, and allow, and consider, modifications or additions to selected Proposals. All determinations as to the completeness or compliance of any Proposals with the requirements of this RFEI, or as to the eligibility or qualification of any Applicant, will be within the discretion of NYCHA.

M. FOIL

All Proposals and other materials submitted to NYCHA in response to this RFEI may be disclosed in accordance with the standards specified in the Freedom of Information Law, Article 6 of the Public Officers Law ("FOIL"). The Applicant submitting a Proposal must designate those portions of the Proposal that it believes are exempt from FOIL. This characterization shall not be determinative but will be considered by NYCHA when evaluating the applicability of any exemptions in response to a FOIL request.

N. REVIEW CRITERIA

NYCHA will review proposals comprehensively based on the goals of the RFEI with a focus on financial return to NYCHA. Details on specific aspects of each criteria are outlined in the Review Criteria Table on the next page.

REVIEW CRITERIA TABLE

Financial Return to NYCHA

Proposals will be evaluated principally on the amount of revenue generated for NYCHA from the disposition of development rights to be used for NYCHA capital repairs.

Development that benefits NYCHA and the City

Proposals will be evaluated on:

- The implications of the disposition on any possible future development scenarios for NYCHA (i.e. ability to develop a new building and/or redevelop within the campus); and
- How the disposition of development rights would facilitate a development that contributes to the NYCHA campus and surrounding community; and
- How the building program furthers citywide housing, economic development and other goals.

Applicant Team Experience

Previous development experience will be evaluated as it reflects the Applicant's demonstrated ability to successfully carry out a quality project of this type, size, and complexity in a timely manner. Among the factors that will be considered are:

- Applicant's history of delivering quality projects on time and within budget;
- Quality of construction and design in projects completed or currently being built by the Applicant and/or its Principals;
- Demonstrated commitment and successful track record of tangible investments in community and economic development;
- Design experience of the Applicant will be taken into consideration.

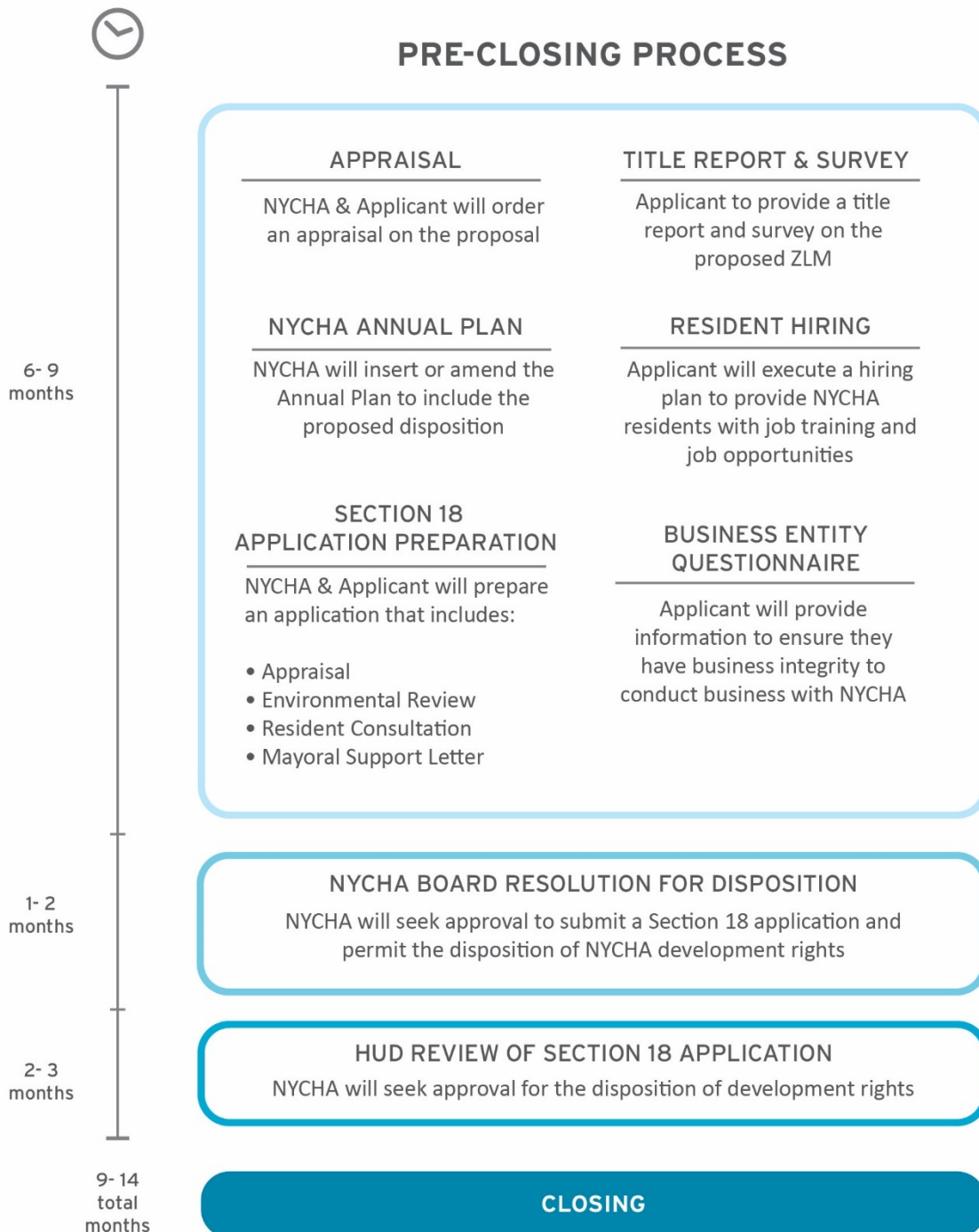
Urban Design

Proposals will be evaluated on how the new development integrates and responds to the surrounding area and the existing NYCHA campus. Site planning, building arrangement, massing, and streetscape treatment will be considered.

- If optional items are submitted, additional consideration will be given to the proposals on quality of design, to the extent which they demonstrate creativity and insight in their solution to site conditions, relationship to the surrounding NYCHA development, quality of construction, innovative use of materials and construction technology, sustainability, and potential long-term viability within reasonable cost parameters.

V. PRE-CLOSING AND APPLICANT OBLIGATIONS

After proposals are selected, Applicants will begin pre-closing. The diagram below shows the general pre-closing process; however, the negotiation letter may change, alter or account for any exceptions to the process. The Applicant will be responsible to all costs associated with pre-closing. Further details on each item are explain in this section.



A. APPRAISAL

A Fair Market Value (FMV) appraisal of the value of the unused development rights proposed for disposition, with the cost of appraisal to be covered by the developer, is required. Additional appraisals may be warranted if an extended amount of time (approximately 12 months) passes between the date that the appraisal was issued and the closing date, or otherwise at NYCHA's sole discretion.

B. TITLE REPORT

The Applicant is responsible for providing a title report for the properties within the proposed ZLM, including NYCHA land.

C. SURVEY

The Applicant is responsible for surveying the properties within the proposed ZLM, including NYCHA land.

D. NYCHA ANNUAL PLAN INSERTIONS AND AMENDMENTS

NYCHA is required to submit a statement of planned disposition activities that encompass the proposed project in the Annual Plan. The process for developing the Annual Plan begins the year prior with meetings held with the Resident Advisory Board (RAB) that usually start in January. NYCHA must present projects subject to the Section 18 regulations to the RAB before they are released for public review in a draft Annual Plan. The Annual Plan, including any proposed disposition activities, must be made available for public review for 4 days before the public hearing. After the public hearing, the Annual Plan is submitted to the NYCHA Board for review and approval and are then submitted to the local HUD office for approval. NYCHA must include the agency's responses to the comments from the RAB and the public on the proposed activities in a required attachment in the Annual Plan.

The Section 18 Application can only be submitted for a project with a description of the proposed development that has been included in an approved Annual Plan. In rare cases, NYCHA may expedite a Section 18 application for a worthwhile project not yet listed in the Annual Plan, in such a case, however, NYCHA is required to make a significant amendment to the Annual Plan, that follows the same process described above. The significant amendment process can run concurrently with the Annual Plan process (use the same RAB meetings and public hearing) or can be held at any other time of the year. The significant amendment process requires meeting with the RAB, releasing the significant amendment for a public review period of 45 days, conducting a public hearing and a board resolution approved by NYCHA's Board of Directors.

E. BUSINESS ENTITY QUESTIONNAIRE (BEQ) AND VENDOR NAME CHECK (VNC)

The BEQ form collects information from Applicants seeking to participate in a NYCHA proposed project to ensure that NYCHA selects entities that have the requisite business integrity to conduct business with the agency. In addition to the Principals listed on the form for the BEQ, individuals on the Housing Committee of the Board of Directors (or those responsible for overseeing real estate transactions or housing decisions) will also be reviewed by NYCHA's Inspector General ("IG"). The General Contractor, Managing Agent, and any Social Services Providers must also complete the BEQ/VNC process. Entities created for the sole purpose

("SPEs") of the proposed project are not required to complete the BEQ/VNC process so long as all interested parties in the SPEs have been vetted.

F. SECTION 18 APPLICATION

Disposition of public housing assets, including buildings, vacant land and development rights owned by NYCHA, is subject to Section 18 of the U.S. Housing Act of 1937, as amended and 24 CFR 970.

G. ENVIRONMENTAL REVIEW

To submit a Section 18 application, NYCHA must undergo an environmental review process to ensure that the proposed project will not have an adverse impact on the residents, community, and surrounding environment. Because NYCHA is both a New York State public-benefit corporation and a federally funded Public Housing Authority, it is subject to the State Environmental Quality Review Act ("SEQRA") and the National Environmental Policy Act ("NEPA"). As mandated by SEQRA, the City Environmental Quality Review (CEQR) is the process by which New York City agencies determine what effect, if any, a discretionary action may have upon the environment. For conservative analysis purposes, NYCHA will require that the proposed project be assessed in accordance with CEQR methodologies as per the 2014 CEQR Technical Manual.

NYCHA works closely with the New York City Department of Housing Preservation and Development (HPD) throughout the environmental review, in part because under 24 CFR Part 58, HPD is required to serve as the Responsible Entity for any federal actions undertaken by NYCHA as Lead Agency. These three environmental processes—SEQRA, CEQR, and NEPA—have overlapping requirements, and NYCHA will coordinate with Applicants to ensure a timely review. The attainment of environmental clearance is typically the longest step in the Section 18 approval timeline.

1. CLASSIFICATION OF ACTION

The first step of the process is to determine what level of environmental review is needed. Under SEQRA and CEQR, proposed actions are classified as either Type I, Type II or Unlisted. Most development projects are classified as Unlisted or Type I and require the completion of a SEQRA and CEQR Environmental Assessment Statement (EAS) forms.

NEPA has its own classification system to determine the level of federal review: Exempt; Categorically Excluded Not Subject To 58.5 ("CENST"); Categorically Excluded Subject To 58.5 ("CEST"); or Environmental Assessment (EA). Most development projects require the completion of a NEPA EA, which triggers further environmental review in the form of a statutory checklist, an environmental review, and other required forms.

2. ENVIRONMENTAL ASSESSMENT STATEMENT

The NEPA EA and SEQRA and CEQR EAS forms describe the proposed action and provide an initial analysis of its potential effects on the environment. The Applicant will be responsible for retaining a reputable environmental consultant, preparing and submitting all environmental documents, and funding the cost of the studies and analyses required for completion of CEQR, SEQRA and NEPA. The CEQR assessment must consider all city, state and federal discretionary approvals including ULURP approvals. When

necessary, the Applicant will be responsible for preparing associated environmental studies which could include, but are not limited to, Phase I and Phase II Environmental Site Assessments, Phase IA and IB archaeological assessments, and noise/acoustical studies.

The purpose of the EA and EAS is to assist the lead agency, in this case NYCHA, in screening for technical areas which warrant further analysis. After environmental assessments are completed for such technical areas, the Applicant is responsible for creating a remediation plan to address any environmental impacts. If no significant impacts are anticipated after remediation, a Negative Declaration (“NegDec”) is issued, signaling completion of the CEQR/SEQRA process. Positive declarations trigger the Environmental Impact Statement (“EIS”) process, which requires further assessment of the cumulative impacts of the proposed project.

3. ENVIRONMENTAL CLEARANCE

NYCHA and HPD must review all corresponding environmental review documents. If the proposed action is found to not have significant adverse impacts on the environment, NYCHA creates a Negative Declaration letter for the CEQR/SEQRA and HPD creates a Finding of No Significant Impact (“FONSI”) letter for the NEPA EA. The developer must then publish the FONSI in a Spanish and an English newspaper for one day and solicit public comments for 15 days. If substantive CEQR-related public comments are received, the developer and all involved agencies must consider the public comments before issuing the final EAS documents. If no comments are received, HPD will complete the Request of Release of Funds (“RROF”) and send the RROF package to HUD. HUD then has 15 days to review and approve the Environmental Review Record (“ERR”), as well as, provide an Authority to Use Grant Funds (“ATUGF”). The ATUGF finalizes the environmental review process and acts as the environmental clearance document necessary for the submission of the Section 18 application.

4. ENVIRONMENTAL IMPACT STATEMENT

If NYCHA and HPD determine that the proposed action will result in significant adverse impacts, NYCHA will create a Positive Declaration (“PosDec”) letter and HPD will create a Finding of Significant Impact (“FOSI”) letter. This results in further scoping of the proposed project’s technical areas in an EIS. An EIS is a much more comprehensive document. An EIS requires a much more comprehensive discussion of the reasonable alternatives, and a look at the cumulative impacts of the proposal along with all existing and reasonably foreseeable future development within the project area.

The Developer will be responsible for implementing all remedial measures identified in connection with the redevelopment of the Development Site as determined by NYCHA or any applicable governmental authority having jurisdiction. NYCHA does not make any representation or warranty whatsoever regarding the condition of the Development Site or the suitability for the uses contemplated by this RFEI.

H. RESIDENT CONSULTATION

Section 18 requires NYCHA to consult the resident association on the disposition of land or unused development rights. Evidence of consultation, which includes meeting minutes, written questions and answers, and a Letter of Acknowledgement of Consultation, are required in the Section 18 application. NYCHA will coordinate with Applicants to schedule resident consultation meetings with the Resident Association and

the Citywide Council of Presidents (CCOP). The Applicant will be responsible for creating presentation materials that summarize the project and leading the meeting with support from NYCHA.

I. MAYORAL SUPPORT LETTER

NYCHA is required to submit proof of consultation with local elected officials, generally evidenced to HUD by a letter from the Deputy Mayor.

J. RESIDENT HIRING

The Applicant is responsible for executing a NYCHA approved hiring plan to provide NYCHA residents with construction job training and employment opportunities as well as permanent jobs in construction or building/community facility operation. NYCHA's Office of Resident Economic Empowerment and Sustainability ("REES") will work with the Applicant on resident recruitment, training and employment in accordance with applicable HUD and NYCHA resident hiring policies.

K. NYCHA BOARD RESOLUTION

Approval Section 18 requires NYCHA board approval to permit submission of a Section 18 application and, subsequent to HUD approval, to permit the disposition or lease conveyance.

L. HUD APPROVAL

1. PARTIAL RELEASE OF DECLARATION OF TRUST

Upon receipt of Section 18 approval from HUD, NYCHA will request HUD NY Office to issue a Partial Release of Declaration of Trust for the area or unused development rights approved for disposition. This item is required as part of the closing documentation.

2. CERTIFICATION OF COMPLETED DISPOSITION

Upon completion of disposition, NYCHA is required to provide the HUD NY Office with a letter certifying completion of the approved disposition.

M. OTHER APPLICANT OBLIGATIONS AND REGULATIONS

1. COMMUNITY OUTREACH

NYCHA is committed to transparent resident engagement and community outreach. The Applicant will participate in required public forums, hearings, and briefings with NYCHA residents, the Community Board, elected officials, City agencies, and other organizations, as needed.

2. PUBLIC LAND USE APPROVALS

Where applicable, NYCHA may be the co-applicant for the Developer's ULURP application, aiding the Developer in preparing the land use application and supporting documentation for the Project. ULURP is not triggered by the disposition of NYCHA development rights or land but may be required for other types

of land use actions. Pre-Closing process and timeline will be adjusted to account for discretionary approval processes.

3. FAIR HOUSING REQUIREMENTS

The Applicant is required to comply with all applicable Federal, State, and local laws, orders, and regulations prohibiting housing discrimination.

VI. RFEI SUBMISSION REQUIREMENTS

Each Applicant must submit the forms and supporting documentation described below. Each copy of the submission must be tabbed as indicated below, with tabs running down the right-hand side of the binder. Submissions that are incomplete or not in conformance with the requirements of this RFEI will be eliminated from further consideration.

A. CONTENT OVERVIEW

TAB	CONTENT	FORMS
A	Completeness Checklist and Applicant's Letter	A-1, 2
B	Proposal Summary and Narrative	B-1
C	Zoning Analysis	C-1
D	Site Plan and Massing Diagram	
E	Area Map and Tax Map	
F	Deed Copy and Owner's Consent	
G	Zoning Lot Merger Consent Letters (if applicable)	
H	Applicant Description	H-1, 2
I	NYCHA General Resident Hiring Plan	I-1
J	NYCHA Business Entity Questionnaire	J-1
K	Architectural and Urban Design Drawings	(OPTIONAL)
L	Other Members of Development Team Information	(OPTIONAL)

- Tabs must be in the order specified above and run down the right-hand side of the bound original and copy.
- Forms are available for download from the NYCHA website
- All forms must comply with the format associated with said form.
- All architectural plans must be on paper no larger than 11" x 17," and must be legible.
- Plans and documents must be in formats and paper size that are simple to copy/reproduce.

B. CONTENT DETAILS

TAB A – Completeness Checklist and Applicant's Letter

- Form A-1.* Completeness Checklist
- Form A-2.* Applicant's Letter printed on Applicant's letterhead and signed by an authorized representative.

TAB B – Proposal Summary and Narrative

- Form B-1.* The Proposal Summary must provide a complete synopsis of the submission's major elements: information on the development site and NYCHA campus, proposed transaction, proposed development and design.

NOTE: Submit Proposal Summary in excel format.

- The Narrative must provide a comprehensive overview of the salient elements of the proposal and explain how the project achieves the goals of the RFEI. Narrative must be limited to five (5) pages maximum. The narrative should describe the various components including:
 - Competitive offer for the proposed transaction and requested amount of unused development rights.
 - Development program, including residential, commercial/community facility (if applicable), open space (if applicable), and other land uses.
 - Design description of the preliminary design that succinctly articulates the design approach to achieving the Project vision and goals. The narrative may cite various elements or illustrations within the submission package.
 - Development Experience that makes the team suited to developing, operating and managing urban projects
 - Special considerations explaining any unique circumstances, additional requests or other actions needed to facilitate the transaction.

TAB C – Zoning Analysis

- *Form C-1.* A detailed zoning computation with an analysis to demonstrate compliance with the assumed zoning. The analysis must cite pertinent sections of the zoning resolution. The analysis must include, at a minimum, the assumed zoning and uses; and the proposed and allowable/required (1) floor area ratio and zoning floor area (total and by use); (2) height and setbacks; (3) lot coverage/open space; (4) yard requirements; (6) unit density and (7) parking and loading, etc.

NOTE: The zoning analysis must be certified by a registered architect prior to closing.

TAB D – Site Plan and Massing Diagram (Axonometric)

- Site Plan Diagram that is clearly illustrates a dimensioned zoning lot; building foot prints; yards; wide and narrow streets; zoning districts; street trees; open space, plazas; curb cuts; and parking areas. For detailed guidance on formatting, please use NYC DOB’s Zoning Diagram Guide: (https://www1.nyc.gov/assets/buildings/pdf/zd1_guide.pdf)
- Massing Diagram (Axonometric) that depicts dimensioned building height, dimensioned street wall heights and setbacks, permitted obstructions, and sky exposure plane. For detailed guidance on formatting, please use NYC DOB’s Zoning Diagram Guide: (https://www1.nyc.gov/assets/buildings/pdf/zd1_guide.pdf)

NOTE: The site plan and massing diagram must be certified by a registered architect prior to closing.

TAB E – Area Map and Tax Map

- Area Map. The Area Map is used to understand the land uses and zoning districts within the proposed development site and the surrounding 600 feet. The maps should include: the NYCHA campus and the proposed development site; land uses (following NYC DCP land use colors); zoning district boundaries, commercial overlay zoning districts and zoning special districts; streets, highways, railroads, and other public ROW and Waterways; sidewalks; building footprints; tax lots; tax block numbers; parks and open spaces; and transit information. Furthermore, within the 600-foot boundary only, please include: street widths and directions; and the number of floors for buildings. For detailed guidance on formatting, please use NYC DCP’s Standards: (https://www1.nyc.gov/assets/planning/download/pdf/applicants/applicant-portal/area_map_standard.pdf)

- Tax Map. The Tax Map is an official document published by the NYC Department of Finance (DOF) that show a block, or pertinent portion of a tax block, with all official tax lots displayed. Each tax lot is displayed with the appropriate tax lot number and is dimensioned. A tax map must be secured from the NYC DOF website in digital or printed format. The Tax Map should not be modified to change the area shown on the map; however, the tax map must be modified with symbols to note where the proposed receiving site and NYCHA campus are located.

TAB F – Deed Copy and Owner’s Consent

- Provide evidence of proof of ownership for the proposed development site by submitting a copy of the deed.
- If the Applicant is not the property owner, a notarized authorization by the property owner must be submitted. The owner’s statement should explain that he/she is fully aware of the actions concerning the property that is being requested by the Applicant.

TAB G – Zoning Lot Merger Consent Letters (if applicable)

- Zoning Lot Merger Consent Letters. If the proposed ZLM includes additional tax lots, not controlled by the Applicant, to facilitate the transfer of development rights from NYCHA to the subject development site, the Applicant is required to provide notarized authorization by each property owner within the proposed ZLM boundary. These letters should explain that respective property owners are fully aware of the proposed ZLM concerning their property.

NOTE: The zoning lot merger must be executed prior to closing.

TAB H – Applicant Description

- Form H-1.* Development Team Information and Applicant Questionnaire, signed by Principal (if joint venture, principal of each entity must sign)
- Form H-2.* Development Experience

TAB I – NYCHA Resident Hiring Plan

- Form I-1.* NYCHA promotes generating economic opportunities for its residents. Applicants should share their initial ideas on the types of employment and training that may be created from the project and available for NYCHA residents.

NOTE: The form is a draft for the RFEI submission and will be finalized prior to closing.

TAB J – NYCHA Business Entity Questionnaire (“BEQ”)

- Form J-1.* The BEQ form collects information from Applicants seeking to participate in a NYCHA proposed project to ensure that NYCHA selects entities that have the requisite business integrity to conduct business with the agency. Owners of the proposed development site should complete the form.

NOTE: The form is a draft for the RFEI submission.

TAB H – Architectural and Urban Design Drawings (OPTIONAL)

Preliminary plans and drawings must provide a clear understanding and comprehensive illustration of the design approach. Plans and drawings are to be at a concept design level typically included as part of the preliminary Schematic Design phase for architectural services. All materials must be on paper size of 11” by 17”, or smaller, and must be easily reproducible. Additional drawings may include:

- o Site Plan

- Site Connectivity Plan
- Circulation and Open Space Plan
- Floor Plans and Typical Unit Plans
- Elevation Drawing
- Site Section Drawings
- Building Section Drawings
- Illustrative Renderings

TAB K – Other Members of Development Team, if known (OPTIONAL)

- Submit marketing materials, narrative statements, and/or portfolio list in graphic format that clearly describes relevant experience and work on similar projects completed within the last seven (7) years. Other Member of Development Team may include, if known:
 - Architect and Engineer, other members of the Design Team
 - Construction Manager
 - Real Estate Attorney and Land-Use Attorney
 - Community Service or Program Provider
 - Affordable housing marketing and Leasing/Sales Agent

VII. RFEI CONDITIONS, TERMS, AND LIMITATIONS

The submission is subject to the specific conditions, terms, and limitations stated below: All determinations regarding this RFEI are at the sole discretion of NYCHA.

The proposed Project must conform to, and be subject to, the provisions of the Zoning Resolution, Building Code, and all other applicable laws, regulations, and ordinances of all Federal, State, and City authorities having jurisdiction, as the same may be amended from time to time.

Valid permits and approvals, as required by City, State, and Federal agencies, must be obtained by the Applicant prior to commencing work.

The commencement of negotiations with an Applicant will depend on satisfaction of the additional documentation and review requirements described in this RFEI, and will be subject to the subsequent approval of the Mayor.

No transaction will be consummated if any Principal of any selected Applicant is in arrears, or in default upon any debt, lease, contract, or obligation to the City or NYCHA, including without limitation, real estate taxes and any other municipal liens or charges. NYCHA may refuse to review any submission by any such Applicant.

The Applicant and any contractor it retains must pass any applicable government background check before closing.

No commission for brokerage or any other fee or compensation will be due or payable by the City and/or NYCHA, and the submission to this RFEI will constitute the Applicant's undertaking to indemnify and hold the City and NYCHA harmless from and against any such claim for any such fee or compensation based upon, arising out of, or in connection with any action taken by the Applicant, the selection of the Applicant's submission and invitation to the Applicant to respond to this RFEI, the conditional designation of an Applicant pursuant to this RFEI, or the sale of the Site(s).

The City and/or NYCHA is not obligated to pay, nor shall in fact pay, any costs or losses incurred by any Applicant at any time, including the cost of responding to the RFEI.

This RFEI and subsequent submission do not represent any obligation or agreement whatsoever on the part of the City and/or NYCHA. Any obligation or agreement on the part of the City and/or NYCHA may only be incurred after the City executes a written agreement approved as to form by the Corporation Counsel and/or NYCHA's Law Department. NYCHA is under no legal obligation to convey the unused development rights through a competitive process. NYCHA may use the submissions pursuant to this RFEI as a basis for negotiation with Applicants as NYCHA deems appropriate. NYCHA may reject at any time any or all submissions, amend or withdraw this RFEI in whole or in part, negotiate with one or more Applicants, and/or negotiate and dispose of the unused development rights on terms other than those set forth herein (including to parties other than those responding to this RFEI). NYCHA may also, at any time, waive compliance with or change any of the terms and conditions of this RFEI, entertain modifications or additions to selected submissions.

All determinations as to the completeness or compliance of any submissions, or as to the eligibility or qualification of any Applicant, will be within the sole discretion of NYCHA.

This RFEI and any agreement resulting there from are subject to all applicable laws, rules, and regulations promulgated by any Federal, State, or municipal authority having jurisdiction over the subject matter thereof, as the same may be amended from time to time.

VIII. CONFLICTS ON INTEREST

Current and former employees of the City of New York may respond to this RFEI only in accordance with Chapter 68 of the New York City Charter governing ethics and conflicts of interest affecting City personnel. Section 2604(c) (7) of the City Charter contains specific prohibitions that exclude enumerated groups of employees from participating in the sales process. In addition, current NYCHA employees may not respond to this RFEI.

Persons in the employ of the City considering a submission are advised that opinions regarding the propriety of their purchase of City-owned property may be requested from the New York City Conflicts of Interest Board. This body is empowered, under Section 2602 of the City Charter, to issue advisory opinions on conflict of interest questions and other matters of ethical considerations. It is not necessary, however, that such an opinion be obtained prior to responding to this RFEI.

Former employees of the City of New York are also advised that the City Charter imposes certain restrictions on post-employment and business relationships with the City. Such individuals are advised to consult the specific provisions on this issue contained in the City Charter.

IX. EXHIBITS - PROPOSAL FORMS

FORM A-1 COMPLETENESS CHECKLIST

FORM A-2 APPLICANT'S LETTER

FORM B-1 PROPOSAL SUMMARY

FORM C-1 ZONING ANALYSIS

SITE PLAN DIAGRAM SAMPLE (DOB STANDARD FORMAT)

MASSING DIAGRAM SAMPLE (DOB STANDARD FORMAT)

AREA MAP SAMPLE (DCP STANDARD FORMAT)

TAX MAP SAMPLE (DOF MAP)

FORM H-1 DEVELOPMENT TEAM INFORMATION AND APPLICANT
QUESTIONNAIRE

FORM H-2 DEVELOPMENT EXPERIENCE

FORM I-1 NYCHA GENERAL RESIDENT HIRING PLAN

FORM J-1 NYCHA BUSINESS ENTITY QUESTIONNAIRE

Form A-1: Completeness Checklist

Before completing the following forms, please see instructions in **RFEI Submission Requirements**.

Tab	Form	X
A	Completeness Checklist and Applicant's Letter	
	1. Completeness Checklist (Form A-1)	
	2. Applicant's Letter (Form A-2)	
B	Proposal Summary and Proposal Narrative	
	1. Proposal Narrative (provided by Applicant)	
	2. Proposal Summary (Form B-1)	
C	Zoning Analysis (Form C-1)	
D	Site Plan and Massing Diagram	
	1. Site Plan Diagram (DOB standard format)	
	2. Massing Diagram (DOB standard format)	
E	Area Map and Tax Map	
	1. Area Map (DCP standard format)	
	2. Tax Map (DOF Map)	
F	Deed Copy and Owner's Consent	
	1. Deed Copy for evidence of proof of ownership (provided by Applicant)	
	2. Notarized Authorization letter from Owner (provided by Applicant)	
G	Zoning Lot Merger Consent Letters (if applicable)	
H	Applicant Respondent Description	
	1. Development Team Information and Respondent Questionnaire (Form H-1)	
	2. Development Experience and Current Workload (Form H-2)	
I	NYCHA General Resident Hiring Plan (Form I-1)	
J	NYCHA Business Entity Questionnaire (Form J-1)	
K	OPTIONAL - Architectural and Urban Design Drawings (provided by Applicant)	
L	OPTIONAL - Other Members of Development Team (provided by Applicant)	

NYCHA 2.0: Transfer to Preserve

Form A-2: Applicant's Letter

New York City Housing Authority
Procurement Department
90 Church Street, 6th Floor
New York, New York 10007

Re: Proposal in Response to *Transfer to Preserve* RFEI

Dear Mr. Jonathan Gouveia:

This letter is being submitted in connection with the undersigned Applicant's proposal ("Proposal") submitted in response to the Request for Expression of Interest ("RFEI") issued by the New York City Housing Authority ("NYCHA") for the Transfer to Preserve RFEI. Capitalized terms used in this letter and not otherwise defined shall have the meanings assigned to them in the RFEI.

The Applicant confirms that it has received, read, and understands the provisions of the RFEI. The Applicant further acknowledges, agrees, and understands that if the Applicant is selected as the Developer under, and pursuant to the terms of, the RFEI for disposition of unused development rights ("Development Rights") such selection will mean only that NYCHA will commence negotiations with such Developer regarding the sale of development rights.

The Applicant acknowledges, agrees, and understands that any negotiations with NYCHA pursuant to the RFEI will be subject to the following terms and conditions:

1. The commencement of negotiations will not represent any obligation or agreement on the part of the City and NYCHA, which may only be incurred or entered into by a written agreement which has been (i) approved as to form by the Corporation Counsel and/or NYCHA's Law Department, (ii) approved by HUD, and (iii) duly executed by the Applicant and NYCHA.
2. The Applicant will not have permission to enter upon NYCHA land without NYCHA's prior written approval, which permission will only be granted, if at all, in the form of a license agreement duly executed by the Applicant and NYCHA. The execution of any such license agreement, if it occurs, will only indicate that NYCHA has granted permission for the Applicant to enter onto NYCHA land for the limited purposes set forth therein, and will not indicate that NYCHA reached any other agreement with the Applicant regarding the Project.
3. The following requirements will have to be satisfied prior to the disposition of the Development Rights:
 - a. The Applicant and their respective Principals must successfully undergo a background check concerning their suitability to do business with the City and NYCHA.
 - b. The Applicant must execute legal documents in form and substance acceptable to NYCHA and in form approved by Corporation Counsel and/or NYCHA's Law Department.

4. During negotiations, the Applicant must diligently, competently, and expeditiously comply with all requirements communicated to the Applicant by NYCHA.
6. NYCHA or the Applicant may terminate negotiations at any time with or without cause.
7. If negotiations are terminated by NYCHA or the Applicant, whether with or without cause, or if negotiations terminate automatically, then neither NYCHA nor the Applicant will have any rights against or liabilities to the other.
8. NYCHA is not obligated to pay, nor will it in fact pay, any damages, costs or losses incurred by the Applicant at any time, including, but not limited to, the damages, cost, or losses incurred in: (i) any prior actions by the Applicant in order to prepare its Proposal and to comply with the selection process in the RFEI, or (ii) any future actions by the Applicant in connection with the negotiations, including, but not limited to, actions to comply with requirements of NYCHA, the City, or any applicable laws, (iii) any deviation or change by NYCHA from the terms of the RFEI, or (iv) the decision by NYCHA to terminate negotiations and/or select another Applicant as the Developer.
9. The acknowledgments, terms, and disclaimers set forth in this letter are not exhaustive of all of NYCHA's rights and remedies with respect to the RFEI and the negotiations and selection of a Developer, as set forth in the RFEI or otherwise, and NYCHA reserves, and does not waive, any such rights and remedies.

Very truly yours,

Signature

Name and Title

Applicant

NYCHA 2.0 Transfer to Preserve
Form B-1: Proposal Summary

Name of Project			
Applicant/ Developer			
		[Insert Reference Aerial of Block, include Development Site and NYCHA campus]	
		[Insert Reference Image of Proposed Development]	
SITE			
Development Site (Receiving Site)			
Address			
Community District			
Block			
Lot(s)			
Zoning Section Map No.			
Zoning Lot Area			
Zoning District			
NYCHA Campus (Generating Site)			
Campus Name			
Block			
Lot(s)			
Zoning Section Map No.			
Zoning Lot Area			
Zoning District			
	Residential	Commercial	CF
Floor Area Ratio (FAR) Permitted			
Existing Built Floor Area (SF)			
Available Floor Area (SF)			
Requested Amount of Unused Development Rights (SF)			
Proposed Zoning Lot Merger			
Block			
Lots			
TRANSACTION			
Available Development Rights on NYCHA (Estimate)		(sf)	
Requested Development Rights from NYCHA		(sf)	
Offer for Unused Development Rights Per Square Foot		(\$/sf)	
Total Offer for Unused Development Rights			
Timeline			

State a preferred month/year to close and briefly specify any unique or mitigating circumstances.

DEVELOPMENT PROPOSAL			
Area	Square Footage	Percent	
Commercial			
Residential			
Community Facility			
Total			
Affordability (if applicable)	Units	Percent	
Formerly Homeless			
< X0% AMI			
< X0% AMI			
< X0% AMI			
< X0% AMI			
Total (Super's unit not included)	0		
Unit Mix	Units	Percent	
Market Rate Housing Units			
Supportive Housing Units (if applicable)			
Senior Housing Units (if applicable)			
Affordable Rental Multi-Family Units (if applicable)			
Super's Unit			
Total			
ARCHITECTURE AND URBAN DESIGN			
Height			
Floors			
Ground Floor Height			
Discretionary Actions (if applicable)			
Construction System (Optional)			
HVAC (Optional)			
Facade Materials (Optional)			
Sustainability Features (Optional)			
Site Improvements (Optional)			
Building Amenities (Optional)			
DEVELOPMENT TEAM			
Membership			
Developer / Equity Partners	Name	Percent Interest	
Architect (if applicable)			
General Contractor (if applicable)			
Marketing / Management Agent (if applicable)			
Social Service Provider (if applicable)			
Community Facility Operator (if applicable)			
Other (please specify role)			
Other (please specify role)			
Development Experience	Affordable	Market-Rate	Commercial
Units Constructed Since 1/2013			(sf)
Buildings Constructed Since 1/2013			

NYCHA 2.0 Transfer to Preserve
Form C-1: Land Use and Zoning Analysis

Name of Project				
Applicant / Developer				
Proposed Development				
Zoning Requirements	PERMITTED			Compliance/ Notes
	Zoning Section	[INSERT Zoning District]	Proposed	
USE GROUP				
FAR				
Residential				
Commercial				
Community Facility				
FLOOR AREA				
Residential				
Commercial				
Community Facility				
HEIGHT & SETBACK				
Max Building Height				
Max Height of Front Wall				
Sky Exp Plane				
(INSERT REGULATIONS, AS NEEDED)				
LOT COVERAGE				
OPEN SPACE				
YARD REQUIREMENTS				
DENSITY REGULATIONS				
PARKING				
LOADING				
[INSERT SECTIONS, AS NEEDED]				

SITE PLAN DIAGRAM

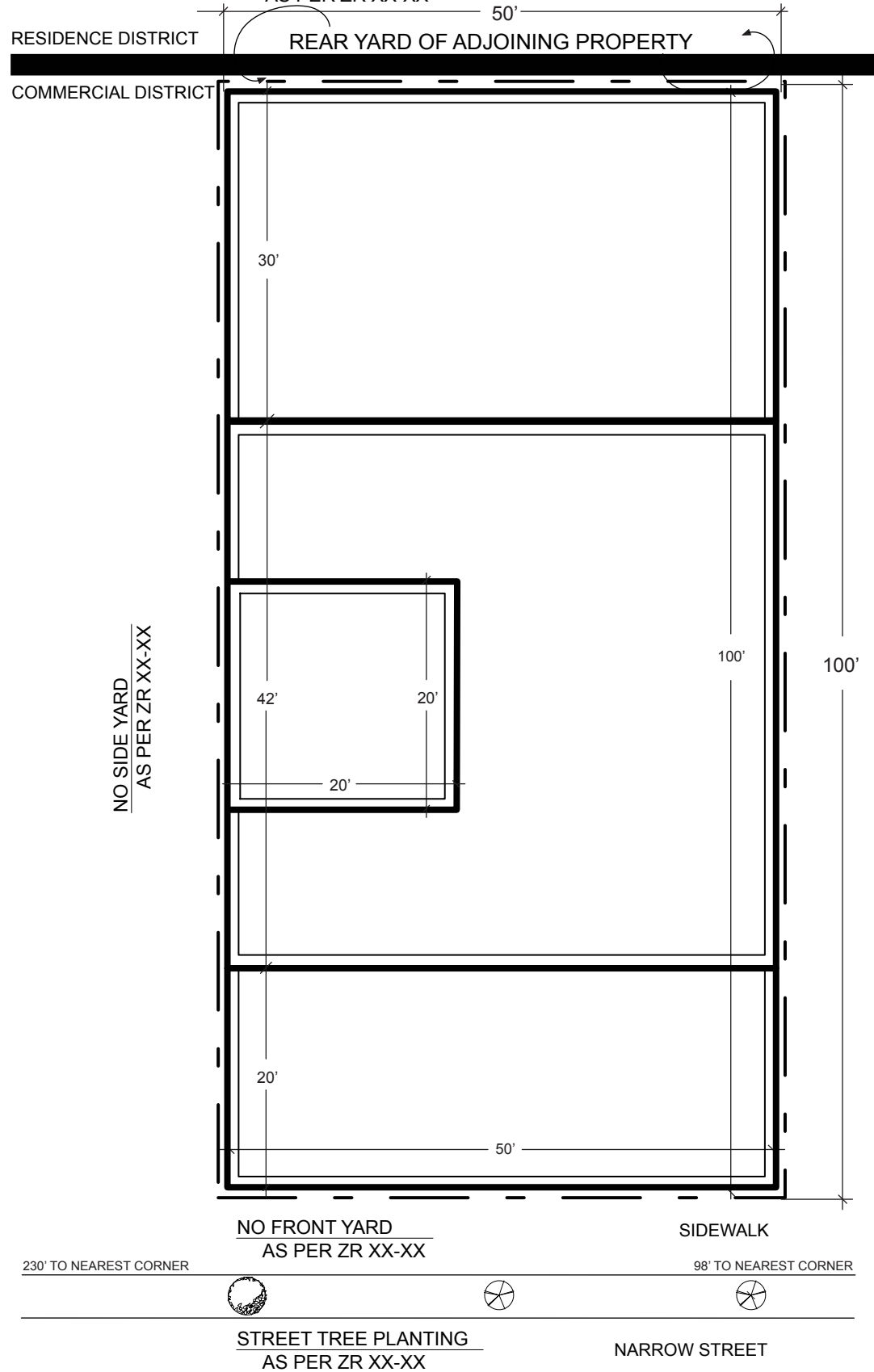
1/16" = 1'0"



LOT AREA _____ SQ.FT.

LOT COVERAGE _____ %
AS PER ZR XX-XX

NO REAR YARD
AS PER ZR XX-XX



LEGEND

C4-4
RESIDENTIAL DISTRICT EQUIVALENT R7

PROPOSED BUILDING

ZONING LOT LINE

DISTRICT BOUNDARY

SKY EXPOSURE PLANE

EXISTING TREE

PROPOSED TREE

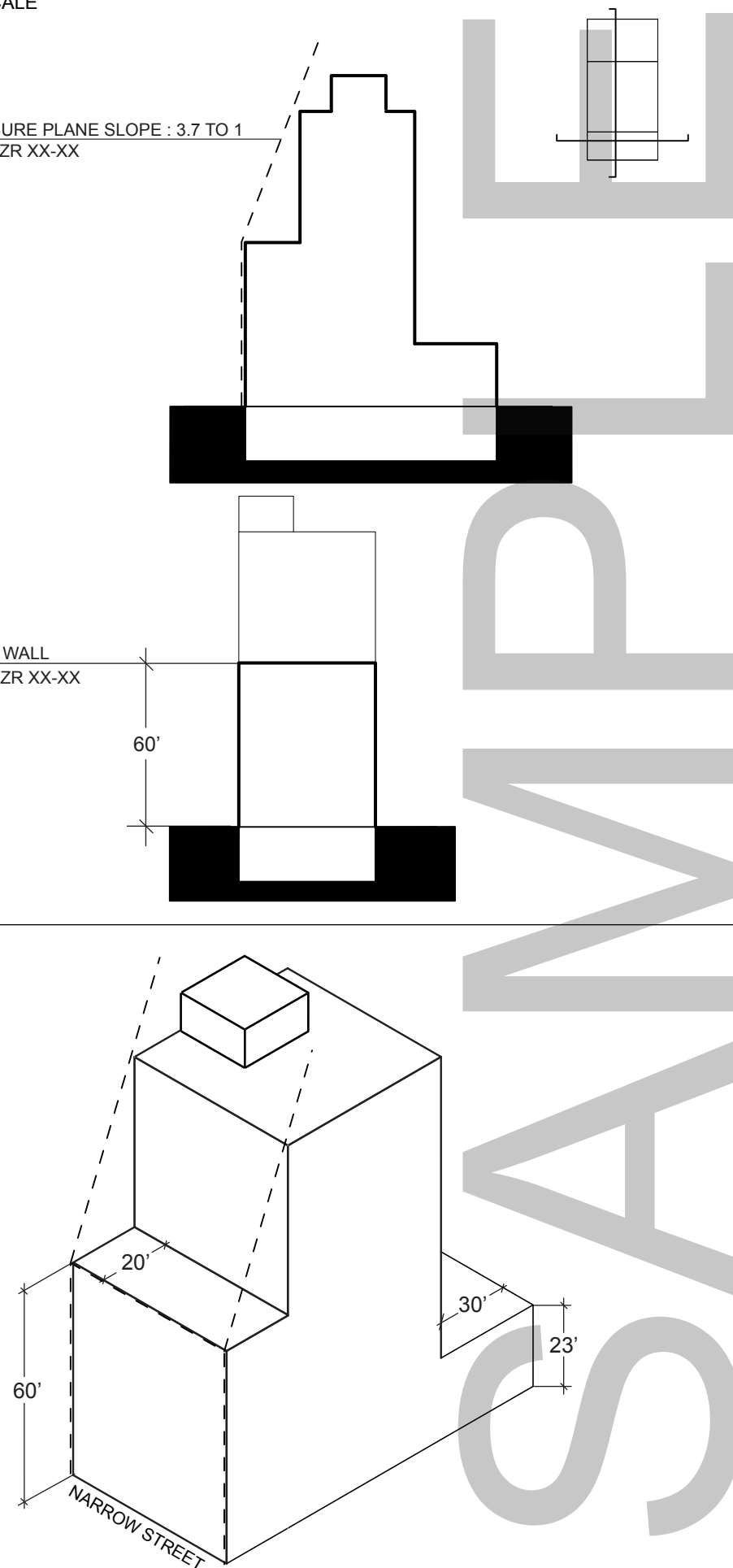
SECTION DIAGRAM

NOT TO SCALE

SKY EXPOSURE PLANE SLOPE : 3.7 TO 1
AS PER ZR XX-XX

60' STREET WALL
AS PER ZR XX-XX

60'



AXONOMETRIC DIAGRAM

NOT TO SCALE

REQUIRED SETBACKS
FRONT : AS PER ZR XX-XX
REAR : AS PER ZR XX-XX
SIDE : AS PER ZR XX-XX

60' STREET WALL
AS PER ZR XX-XX

SKY EXPOSURE PLANE
AS PER ZR XX-XX



ZD1 Zoning Diagram

Must be typewritten.

Orient and affix BIS
job number label here

Submitted to resolve objections stated
in a notice of intent to revoke issued
pursuant to rule 101-15.

Yes No

Location Information

House No(s) _____

Street Name _____

Borough _____

Block _____

Lot _____

BIN _____

Falsification of any statement is a misde-
meanor and is punishable by a fine or im-
prisonment, or both. It is unlawful to give to
a city employee, or for a city employee to
accept, any benefit, monetary or otherwise,
either as a gratuity for properly performing
the job or in exchange for special consid-
eration. Violation is punishable by impris-
onment or fine or both. I understand that if
I am found after hearing to have knowingly
or negligently made a false statement or to
have knowingly or negligently falsified or
allowed to be falsified any certificate, form,
signed statement, application, report or
certification of the correction of a violation
required under the provisions of this code
or of a rule of any agency, I may be barred
from filing further applications or docu-
ments with the Department.

NAME (PLEASE PRINT)

SIGNATURE _____ DATE _____

P.E./A. SEAL (APPLY SEAL; SIGN AND DATE OVER SEAL)

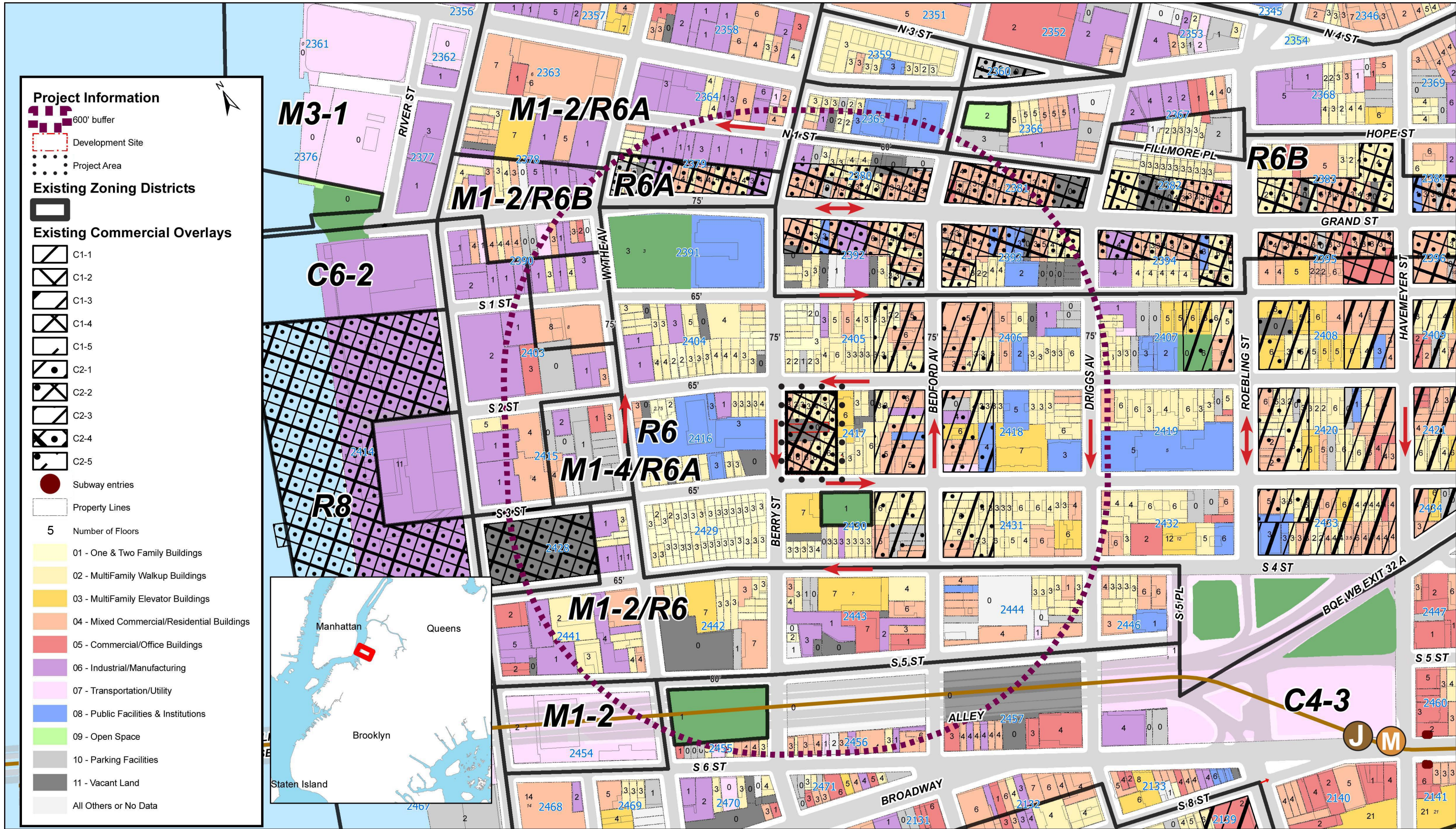
Internal Use Only

BIS Doc # _____

PLAN EXAMINERS SIGN AND DATE

Draft Sample Area Map

DCP Sample:
For Use as a Reference Document Only



0 200 400 600 Feet

NYC Digital Tax Map

Effective Date : 12-05-2008 10:12:52

End Date : Current

Brooklyn Block: 2050



- Legend**
- Streets
 - Miscellaneous Text
 - Possession Hooks
 - Boundary Lines
 - Lot Face Possession Hooks
 - Regular
 - Underwater
 - Tax Lot Polygon
 - Condo Number
 - Tax Block Polygon
 - Receiving Site
 - NYCHA Campus



NYCHA 2.0: Transfer to Preserve

Deed Copy and Owner's Consent

- Provide evidence of proof of ownership for the proposed development site by submitting a copy of the deed.
- If the Applicant is not the property owner, a notarized authorization by the property owner must be submitted. The owner's statement should explain that he/she is fully aware of the actions concerning the property that is being requested by the Applicant.

NYCHA 2.0: Transfer to Preserve

ZLM Letter(s) of Consent

Zoning Lot Merger Consent Letters. If the proposed ZLM includes additional tax lots, not controlled by the Applicant, to facilitate the transfer of development rights from NYCHA to the subject development site, the Applicant is required to provide notarized authorization by each property owner within the proposed ZLM boundary. These letters should explain that respective property owners are fully aware of the proposed merger concerning their property.

NOTE: The zoning lot merger must be executed prior to closing.

Form H-1: Development Team Information and Applicant Questionnaire

Name of Applicant: _____

Name of Contact Person: _____

E-mail: _____

Mailing Address: _____

Telephone No: _____

Alternate Phone: _____

1. Type of organization of Applicant (i.e. partnership, corporation, limited liability company, joint venture):

2. Provide the following information about the Principals of the Applicant (see *Section III: Definitions*): for corporations, provide the names of the officers and any shareholders owning 10% or more; for partnerships, provide the names of all general partners. Also, state the role(s) that each Principal and/or member thereof would play in the development of the sites.

ENTITY # 1: _____

Percent Interest in Applicant: _____ %

Is the Entity a Registered Not-for-Profit? Yes [] No []

Is the Entity a Registered M/WBE? Yes [] No []

PRINCIPALS: Name/Position/Title	Address	Role	% Interest in Entity

ENTITY # 2 (IF APPLICABLE): _____

Percent Interest in RFP Applicant: _____ %

Is the Entity a Registered Not-for-Profit? Yes [] No []

Is the Entity a Registered M/WBE? Yes [] No []

PRINCIPALS: Name/Position/Title	Address	Role	% Interest in Entity

ENTITY # 3 (IF APPLICABLE): _____

Percent Interest in RFP Applicant: _____ %

Is the Entity a Registered Not-for-Profit? Yes [] No []

Is the Entity a Registered M/WBE? Yes [] No []

PRINCIPALS: Name/Position/Title	Address	Role	% Interest in Entity

ENTITY # 4 (IF APPLICABLE): _____

Percent Interest in RFP Applicant: _____ %

Is the Entity a Registered Not-for-Profit? Yes [] No []

Is the Entity a Registered M/WBE? Yes [] No []

PRINCIPALS: Name/Position/Title	Address	Role	% Interest in Entity

3. Provide the names, addresses, e-mail addresses, and telephone of members of the Development Team to the extent that these have been decided; if unknown, enter "N/A".

<u>Architect:</u>	<u>Marketing Agent:</u>
<u>General Contractor:</u>	<u>Managing Agent:</u>
<u>Legal Counsel:</u>	<u>Social Service Provider:</u>
<u>Other:</u>	<u>Other:</u>

4. Is there an identity of interest between any Principals of the Applicant and any other entities that make up the Development Team? If yes, please explain. Yes [] No []

5. Has any Principal identified above, or any organization in which the Principal is or was a general partner, corporate officer, or owned more than 10% of the shares of the corporation, been the subject of any of the following:

a. Conviction of, or charges currently pending for, arson, fraud, bribery, or grand larceny any felony or crime of dishonesty? Yes [] No []

b. Noncompliance with fair housing or anti-discrimination laws, any applicable codes or ordinances, labor laws, or construction laws? Yes [] No []

c. Had an ownership or management interest in real property that was the subject of a tax lien sale, was or is the subject of tax, mortgage, or lien foreclosure or enforcement proceedings, or is currently in tax or mortgage arrears? Yes [] No []

d. Had an ownership or management interest in a property with respect to which HPD commenced an action in the Housing Part of the Civil Court, or with respect to which an administrator was appointed pursuant to Article 7-A of the Real Property Actions and Proceedings Law?

Yes [] No []

- e. Denial of a certification of no harassment or any administrative or judicial finding of harassment?

Yes [] No []

- f. Default or poor performance rating under any agreement with, or suspension or debarment by, any governmental entity?

Yes [] No []

- g. In the last seven years, filed a bankruptcy petition or been the subject of involuntary bankruptcy proceedings?

Yes [] No []

- h. In the last five years, failed to file any required tax returns, or failed to pay any applicable Federal, State of New York, or City taxes or other charges?

Yes [] No []

- i. Had any negative findings from the City's Department of Investigation?

Yes [] No []

If the answer to any question is yes, provide the following information about each instance: name of Principal(s); name(s) of organization(s) or corporation(s); Principal's status in the organization or corporation (e.g. officer), the date of the action, status and disposition.

CERTIFICATION

[This certification must be signed by each of the Principals listed above; if the applicant is a joint venture, it must be signed by a principal of each entity that comprises the joint venture.]

I certify that the information set forth in this application and all attachments and supporting documentation is true and correct. I understand that the City of New York will rely on the information in or attached to this document and that this document is submitted to induce the City of New York to select this proposal for development of a site.

I understand that this statement is part of a continuing application and that until such time that the subject project is finally and unconditionally approved by the City of New York, I will report any changes in or additions to the information herein, and will furnish such further documentation or information as may be requested by the City of New York or any agency thereof.

I understand that if I receive preliminary designation to develop this site, I must submit all additional disclosure forms required.

Name of Entity 1

Name of Entity 3 (If Applicable)

Signature

Signature

Print or Type Name and Title

Print or Type Name and Title

Date

Date

Name of Entity 2 (If Applicable)

Name of Entity 4 (If Applicable)

Signature

Signature

Print or Type Name and Title

Print or Type Name and Title

Date

Date

Form I-1: General Hiring Plan Form

COMPANY CONTACT INFORMATION:

- Company Name:
- Federal Tax ID number
- Business Address:
- Business Phone #:
- NYCHA Development (where work is being performed):
- Company Officer Name:
- Company Officer Email and Phone #:

EMPLOYMENT AND TRAINING OPPORTUNITIES:

NYCHA Resident Order of priority:

- Category 1 residents: Residents of the housing development(s) where work is being performed
- Category 2 residents: Residents of other housing developments managed by the housing authority

1. CONSTRUCTION POSITIONS (NON-SECTION 3 PROJECTS ONLY)

This section should be completed by development teams without a Section 3 requirement. If the project is subjected to Section 3 requirements, the development team must submit a separate Section 3 hiring plan for construction positions.

Please provide a breakdown on the total number of positions by titles and the number committed to the hiring of NYCHA residents on this project.

Projected Titles	Training Provided (Y/N)	Projected # of NYCHA Resident Hires	Projected # of New Hires

2. POST- CONSTRUCTION (PERMANENT) POSITIONS

This section should be completed by development teams for post-construction position such as permanent positions with the management team or other selected vendors. Development teams with a Section 3 requirement are also expected to complete this section for post-construction positions.

Please provide a breakdown on the total number of positions by titles and the number committed to the hiring of NYCHA residents on this project. If the development team will be providing training for any of the available positions, please indicate so under the "Training Provided" column. The training should be further broken out under the "Training Opportunities" section.

Projected Titles	Training Provided (Y/N)	Projected # of NYCHA Resident Hires	Projected # of New Hires

3. TRAINING OPPORTUNITIES (ALL TRAINING OFFERED INCLUDING CONSTRUCTION RELATED TRAINING)

Please list all training that will be provided to NYCHA residents by the development team for both construction and post-construction (permanent) opportunities. These should be separate from general on-boarding training provided by the company to all employees.

Projected Training	Length of training	Certificates/licenses obtained	Projected # of training slots

RECRUITMENT AND OUTREACH STRATEGIES:

What actions will your company take to recruit NYCHA residents for training and employment opportunities listed above?

- Do you commit to working with the NYCHA’s office of Resident Economic Empowerment & Sustainability (REES) to source Category 1 & 2 residents?
- Do you commit to interviewing qualified Category 1 & 2 residents who are graduates of the NYCHA Resident Training Academy and other REES partners?
- What other tools will you use to market job opportunities?
- In which locations will you hang recruitment posters/flyers?
- Do you commit to working with property managers to post available opportunities?
- Which Resident Association/Organizations will you contact?
- How else do you plan to inform the NYCHA community regarding job opportunities?
- How else will you recruit NYCHA residents?

Form J-1: Business Entity Questionnaire

The New York City Housing Authority (“NYCHA”) designed this Business Entity Questionnaire to collect information from entities seeking to participate in a NYCHA development transaction to ensure that NYCHA selects entities that have the requisite business integrity to conduct business with the agency.

GENERAL INSTRUCTIONS

In this Questionnaire, unless otherwise stated, “you,” “your,” or “the “Applicant,”” refers to the entities and the associated officers or principals seeking to do business with NYCHA.

Only a duly authorized individual who is knowledgeable about the past and present operations and policies of Applicant should complete this Questionnaire.

NYCHA will accept your Questionnaire only if you have answered EVERY question completely and signed this form as required. NYCHA will not consider a “not applicable” notation to be a response. When a question relates to a span of years (e.g., “within the last five years...”), part of which predates your organization, respond to the question for the years the organization has been active. If you fail to provide a complete Questionnaire, NYCHA may decide not to do business with you.

Where your response to a question exceeds the space provided in this form, you must make a copy of the applicable section of the form and continue your response on the “copy” page. Make certain to attach all copy pages to the Questionnaire prior to submitting the Questionnaire to NYCHA. Use letter-size paper, marking each photocopy or page with the firm’s name and Tax Identification Number (“TIN”), the same number you provide in response to Question 1c. Indicate on each page the number of the question and the specific matter, as stated in the Questionnaire, for which you are providing information.

Once you have completed this Questionnaire, all current Principals of Applicant (as defined on page 7) are responsible for reading this Questionnaire, correcting errors or omissions, if any, and each must file with NYCHA a completed certification on the form provided at the end of this Questionnaire. If any Principals of Applicant or affiliate firm fails to file a certification, NYCHA will consider your submission incomplete.

An organizational chart of the entities involved in the proposed transaction and their Principals (as defined on page 7) must be included with this document.

By signature here, I confirm that I have the authority to bind the Applicant to the representations made herein, and that I have read and understand the above instructions.

(Signature)

(Date)

(Print)

TYPE OF FILING

You are filing an (check one) original completed questionnaire

a revised questionnaire; the original was submitted on ____/____/____

GENERAL INFORMATION ABOUT THE APPLICANT

1a. Name of Applicant: _____

1b. Does the Applicant currently do business by any other name(s)? **YES** **NO**

If Yes, list them here: _____

1c. Provide the Applicant's Tax Identification Number ("TIN"):

This number is the Employer Identification Number, or Social Security Number

1d. Applicant's New York Metropolitan area (local) address:

Name: _____

Street: _____

City/State/Zip: _____

1e. Applicant's primary/principal address (if different):

Name: _____

Street: _____

City/State/Zip: _____

1f. Local telephone No.: () _____ Fax No.: () _____

Contact Person: _____ Title: _____

1g. Dun and Bradstreet number: _____ None

Other credit service name and number: _____ None

2. Based upon the information you provided in Question 1, in the past five years:

2a. Has the Applicant's New York metropolitan area address changed? **YES** **NO**

2b. Has the Applicant operated under any other name(s) or trade name(s), or abbreviation(s), not given above?
 YES NO

2c. Has the Applicant used another TIN (EIN or SSN)? YES NO

2d. If Applicant was acquired, by purchase or otherwise, from someone else, or if Applicant is the successor to a "predecessor firm" acquired from someone else, provide seller's or predecessor firm's information below.
 YES NO

If Yes to Questions 2a, b, c, or d, give details below.

NAME	ADDRESS/TELEPHONE	TIN	FROM/TO (MO/YR)

BUSINESS ORGANIZATION AND HISTORY

3a. Date the Applicant was formed ____/____/____

3b. Type of organization (check one and answer all related questions)

- Sole Proprietorship
- Partnership
- Limited Liability Partnership
- Limited Liability Company
- Corporation
- Other

3c.

Formed/Incorporated in the State of: _____

If Corporation, Number of shares authorized to the corporation: _____

If Corporation, Number of shares issued to individuals or entities: _____

3d. Was the Applicant entity purchased as an existing business by its present owner(s)? YES NO

If Yes, provide the date of purchase ____/____/____ and name of the previous owner:

3e. Does any Applicant, Principals (as identified on page 7), or any member of Applicant's immediate family have an ownership interest in any business that holds the title or lease to any real property used, or intended for use under the proposed contract by the applicant contractor/firm in the New York Metropolitan area? ["Immediate family" is a current or former spouse and natural or adopted children, of any age.]

YES NO

If Yes to Questions 3d or e, provide the information below.

NAME AND ADDRESS OF BUSINESS AND/OR NAME OF PROPERTY OWNER/LESSOR	TIN OF OWNER OR LESSOR	TYPE OF SHARING, OR INDICATE IF OWNER OR LESSOR

AFFILIATE FIRMS

[Affiliate Firms are all firms that you list in response to Question 4.]

4. At present, or during the past five years:

4a. Has the Applicant been a subsidiary of any other firm? [A "subsidiary" is a business or company whose majority of voting stock is owned by another business or company.]

YES NO

4b. Has the Applicant consisted of a partnership or joint venture in which one or more partners are other firms?

YES NO

4c. Has any other firm owned ten percent or more of the Applicant? YES NO

4d. Has any shareholder or partner of the Applicant owned ten percent or more of another firm?

YES NO

4e. Does another business direct or have the right to direct daily operations of the Applicant? YES NO

If Yes to Question 4a, b, c, d, e or g, list the other firms below and provide all information.

	FIRM #1	FIRM # 2
TIN		
FIRM'S NAME AND ADDRESS		
RELATION TO APPLICANT (partner, co-owner, etc.)		
% OF APPLICANT OWNED		
FROM/TO (dates)		
NAME/TITLE OF \ REPRESENTATIVE*		

*** IMPORTANT: A representative of each firm listed above whose affiliation continues to the present must file with NYCHA the attached certification and have it notarized. A representative is a person authorized to bind the firm to contractual agreements.**

4f. At present, or in the past five years, has the Applicant had any subsidiaries? (A "subsidiary" is defined in Question 4a, above.) **YES** **NO**

4g. At present, or in the past five years, has the Applicant owned ten percent or more of any other firm? **YES** **NO**

4h. At present or in the past five years, has the Applicant directed or does it have the right to direct daily operations of any other business? **YES** **NO**

4i. Does any individual or firm have the right to acquire ownership of an amount of stock of the Applicant stock, pursuant to any stock option, arrangement, warrant, right, or otherwise which if combined with such individual's or firm's current holding, would constitute ten percent or more of the outstanding stock? **YES** **NO**

If Yes to Questions 4f, g, h, or i, list such firms below and provide the required information.

FIRM'S NAME AND ADDRESS	FIRM'S TIN	% APPLICANT FIRM OWNS

*** IMPORTANT: A representative of each firm listed above whose affiliation continues to the present must file with NYCHA the attached certification and have it notarized.**

PRINCIPALS OF APPLICANT:

Includes all persons and entities with (i) an ownership interest in or ability to control Applicant; and/or (ii) an ability to make day-to-day decisions. If the Applicant is a Corporation, LLC, or Limited Liability Partnership, then "Principal of Applicant" includes, as applicable, proprietors, owners, partners, directors, officers; shareholders of ten percent or more of the Applicant's issued stock, including owners of other securities (e.g., stock options, secured or unsecured bonds, warrants and rights, etc.) that can be converted to stock that, if exercised, would constitute ten percent of the Applicant's issued stock; each manager or individual who participates in overall policy-making or financial decisions for the Applicant; and each person in a position to control and direct the firm's overall operations. Applicant firms that are publicly held corporations should list as Principals of Applicant the president, treasurer, shareholders of ten percent or more of the firm's issued stock, and only those officers and managers who will have direct responsibility concerning the proposed lease. Partnerships should list only the partners who will have direct responsibility. Principals of Applicant include, without limitation, any individuals who have the right to acquire ownership of an amount of the Applicant's stock, pursuant to any stock option, arrangement, warrant, right, or otherwise, which if combined with such individual's current holdings, would constitute ten percent or more of the outstanding stock].

5. Provide below the required information on all current Principals of Applicant and those who have served as Principals of Applicant in the past five years. Copy/duplicate the table below if more space is required. Complete all areas.

	NAME, TITLE & HOME ADDRESS (BUSINESS NAME IF APPLICABLE & ADDRESS)	BIRTH DATE & SOCIAL SECURITY #	% OF OWNERSHIP	# OF SHARES OWNED AND HOW ACQUIRED *	FROM/TO (dates)
Person 1		DOB SSN			
Person 2		DOB SSN			
Person 3		DOB SSN			
Person 4		DOB SSN			
Person 5		DOB SSN			
Person 6		DOB SSN			
Person 7		DOB SSN			
Person 8		DOB SSN			

IMPORTANT: Each current Principals of Applicant must file with NYCHA a NOTARIZED certification on the form attached at the end of the Questionnaire.

* Include information regarding the right to acquire ownership of shares.

6. At present or during the past five years have any of the Principals of Applicant served as a principal of another entity, or owned ten percent or more of any other firm, including firms that are inactive or have been dissolved?

YES NO

If Yes, list below.

FIRM'S NAME AND ADDRESS	TIN	PRINCIPALS OF APPLICANT - NAME	POSITION HELD	% OWNED

7. Has any current or past Principals of Applicant now or within the past five years been:

7a. An employee or elected official of the City or State of New York, an employee of NYCHA, or a paid or unpaid political party officer, community board officer, or non-elected governmental appointee? YES NO

7b. Related by kinship or marriage to any present or past employee of NYCHA? YES NO

If Yes to Questions 7a and b, provide the following information.

NAME	RELATIONSHIP/POSITION & ORG.	FROM/TO (dates)

FINANCIAL INFORMATION

8. At present, or in the past five years:

8a. Has Applicant or any Principal of Applicant been indebted to an individual or entity, other than a commercial lending institution, in the cumulative amount of \$50,000 or more, for the benefit of the Applicant? YES NO

8b. Has Applicant pledged any of its assets, stock or profit to guarantee any debt or obligations? YES NO

8c. Has any individual or firm been a guarantor, co-maker or co-signer of any obligations on behalf of the Applicant? YES NO

If Yes to any portion of Question 8, provide details below.

NAME OF CREDITOR	NAME OF BORROWER	AMOUNT OF LOAN \$	TERMS OF PLEDGE OR LOAN	GUARANTOR OR CO-SIGNER'S NAME

9. At present, or in the past seven years; has the Applicant or any Principal of Applicant been a party to a bankruptcy or reorganization proceeding? YES NO

If Yes to Question 9, provide the following information.

CAPTION OR ACTION	DATE	DOCKET #	COURT	COUNTY

COMPLIANCE INFORMATION

10. Currently or at any time in the past five years has the Applicant or any Principal of Applicant been the subject of any of the following actions by any government agency ["government agencies" include City, State & Federal public agencies, quasi-public agencies, authorities & corporations, public development corporations and local development corporations], whether pending or finalized:

10a. Suspended, debarred, disqualified, found non-responsible, had a prequalification revoked, or otherwise been declared ineligible to do business with a government agency for any reason? YES NO

10b. Barred as a result of refusal of Principals of Applicant to testify before a grand jury or administrative board? YES NO

10c. Barred as a result of failure to meet statutory affirmative action or MBE/LBE requirements? YES NO

10d. Defaulted on any contract? YES NO

If Yes, to any portion of Question 10, provide details below.

AGENCY	CONTRACT #	DATE OF ACTION	DESCRIBE ACTION	AGENCY CONTACT PERSON'S NAME/PHONE

LITIGATION ACTIVITY

11. At the present time, is the Applicant or any of its affiliate firms engaged in any litigation with or against NYCHA, the City of New York, or another government agency? **YES** **NO**

If Yes to Questions 11, provide the information below. Indicate in the "P/D" column whether the Applicant, Principals of Applicant or affiliate firms were plaintiffs ("P") or defendants ("D").

CAPTION OR ACTION	P/D	COURT	INDEX/DOCKET #	DATE	STATUS

INTEGRITY INFORMATION

12. Now or in the past five years, has the Applicant or any Principal of Applicant:

12a. Been the subject of an investigation involving any alleged violation of criminal law? **YES** **NO**

- "Investigation" includes:
- 1) an appearance before a Federal or State grand jury
 - 2) any oral or written inquiry including subpoena
 - 3) review of the documents by a public agency
 - 4) questioning of employees

12b. Been the subject of an investigation of any alleged violation of a civil antitrust law or other Federal, State or local civil law, including prevailing wage investigations? **YES** **NO**

12c. Been the subject of an investigation of any alleged violation of a Federal, State or local regulation by any public or governmental agency, including prevailing wage investigations? **YES** **NO**

12d. Been arrested, indicted or named as an unindicted co-conspirator in any indictment or other accusatory instrument? **YES** **NO**

12e. Entered into a consent decree? YES NO

12f. Been granted immunity from prosecution for any business-related conduct constituting a crime under State or Federal law? YES NO

12g. Asserted the Fifth Amendment privilege while being questioned regarding any business-related charge constituting a crime under State or Federal law? YES NO

If Yes to any portion of Question 12, supply details below.

AGENCY OR COURT	NATURE OF ACTION	PERSON AND TITLE OR ENTITY NAME	DATE	STATUS OF OUTCOME

13. In the past five years, or at the present, has or does the Applicant or any of its current or past Principals of Applicant:

13a. Been convicted, after trial or by plea, of any felony under State or Federal law? YES NO

13b. Been convicted of any misdemeanor involving business-related crimes? YES NO

13c. Have pending against them any felony or misdemeanor charges or any other crime, including such charges that were filed either before, during or after their employment with the Applicant or affiliate firm?

YES NO

13d. Been found to have violated Federal, State or local environmental protection laws? YES NO

13e. Been found in violation of, or have charges currently pending related to, any administrative, statutory or regulatory provisions? YES NO

13f. Had any sanction imposed as a result of judicial or administrative proceedings with respect to any professional license held? YES NO

13g. Entered a plea of nolo contendere to a charge of embezzlement, theft, forgery, bribery, falsification or destruction of records, receiving stolen property or a violation of the antitrust law? YES NO

If Yes to any part of Question 13, supply details below.

AGENCY OR COURT	FIRM OR PERSON NAMED	NATURE OF THE CHARGES OR INVESTIGATION	DATE	STATUS OR OUTCOME

14. In the past ten years, or at the present, has the Applicant, or any of its current or past Principals of Applicant engaged in any of the following practices:
- 14a. Filed with a government agency or submitted to a government employee a written instrument known to contain false statements or information? **YES** **NO**
- 14b. Falsified business records? **YES** **NO**
- 14c. Excluding an official agency filing fee, given, or offered to give, money or any other benefit to a public servant? **YES** **NO**
- 14d. Given, or offered to give money, or other benefit to an official or employee of a private business with intent to induce that official or employee to engage in unethical or illegal business practices? **YES** **NO**

If Yes to any part of Question 14, explain below.

DESCRIBE ACTION	NAMES OF THOSE INVOLVED	DATES	RESULTS

15. For the past ten years, has the Applicant, failed to file any required tax returns or failed to pay any applicable Federal, State or New York City taxes, or other assessed New York City charges, including but not limited to water and sewer charges? **YES** **NO**

If Yes to Question 15, provide details.

TAX YEAR	FAILURE	EXPLANATION
	TO FILE TO PAY	
	TO FILE TO PAY	
	TO FILE TO PAY	

IMPORTANT: THE APPLICANT MUST APPEND TO THIS QUESTIONNAIRE NOTARIZED CERTIFICATIONS ON THE PART OF EACH AND ALL OF THE PRINCIPALS OF APPLICANT IDENTIFIED IN QUESTIONS 4 AND 5. NYCHA WILL NOT ACCEPT QUESTIONNAIRES THAT LACK ANY OF THE REQUIRED CERTIFICATIONS.

