

Final PHA Agency Plan

Annual Agency Plan for Fiscal Year 2020

Five Year Agency Plan for Fiscal Years 2020-2024



Gregory Russ
Chair & Chief Executive Officer

Date: October 18, 2019

5-Year PHA Plan (for All PHAs)

U.S. Department of Housing and Urban Development
Office of Public and Indian Housing

OMB No. 2577-0226
Expires: 02/29/2016

Purpose. The 5-Year and Annual PHA Plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission, goals and objectives for serving the needs of low- income, very low- income, and extremely low- income families

Applicability. Form HUD-50075-5Y is to be completed once every 5 PHA fiscal years by all PHAs.

A.	PHA Information.																		
A.1	<p>PHA Name: New York City Housing Authority_____ PHA Code: NY005_____</p> <p>PHA Plan for Fiscal Year Beginning: (MM/YYYY): 01/01/2020_____</p> <p>PHA Plan Submission Type: <input checked="" type="checkbox"/> 5-Year Plan Submission <input type="checkbox"/> Revised 5-Year Plan Submission</p> <p>Availability of Information. In addition to the items listed in this form, PHAs must have the elements listed below readily available to the public. A PHA must identify the specific location(s) where the proposed PHA Plan, PHA Plan Elements, and all information relevant to the public hearing and proposed PHA Plan are available for inspection by the public. Additionally, the PHA must provide information on how the public may reasonably obtain additional information on the PHA policies contained in the standard Annual Plan, but excluded from their streamlined submissions. At a minimum, PHAs must post PHA Plans, including updates, at each Asset Management Project (AMP) and main office or central office of the PHA. PHAs are strongly encouraged to post complete PHA Plans on their official websites. PHAs are also encouraged to provide each resident council a copy of their PHA Plans.</p> <p><input type="checkbox"/> PHA Consortia: (Check box if submitting a Joint PHA Plan and complete table below)</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th rowspan="2">Participating PHAs</th> <th rowspan="2">PHA Code</th> <th rowspan="2">Program(s) in the Consortia</th> <th rowspan="2">Program(s) not in the Consortia</th> <th colspan="2">No. of Units in Each Program</th> </tr> <tr> <th>PH</th> <th>HCV</th> </tr> </thead> <tbody> <tr> <td>Lead PHA:</td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>					Participating PHAs	PHA Code	Program(s) in the Consortia	Program(s) not in the Consortia	No. of Units in Each Program		PH	HCV	Lead PHA:					
Participating PHAs	PHA Code	Program(s) in the Consortia	Program(s) not in the Consortia	No. of Units in Each Program															
				PH	HCV														
Lead PHA:																			
B.	5-Year Plan. Required for <u>all</u> PHAs completing this form.																		
B.1	<p>Mission. State the PHA's mission for serving the needs of low- income, very low- income, and extremely low- income families in the PHA's jurisdiction for the next five years.</p> <p>The PHA's mission is: The New York City Housing Authority (NYCHA)'s mission is to increase opportunities for low- and moderate-income New Yorkers by providing safe, affordable housing and facilitating access to social and community services. More than 365,000 New Yorkers reside in NYCHA's 311 public housing developments around the five boroughs, and 2,991 Section 8 families (7,976 authorized residents) live in the PACT/RAD developments formerly managed by NYCHA. In addition, 194,000 residents receive subsidized rental assistance in private homes through the NYCHA-administered Section 8 Leased Housing Program.</p> <p>To fulfill its vital mission and even better serve residents while facing dramatic reductions in traditional government funding, NYCHA is developing new financing options and building innovative partnerships across the public, private, and non-profit sectors. These strategies are helping NYCHA to address many key challenges, from preserving aging housing stock through timely maintenance and modernization of developments, to increasing resident access to a multitude of community, educational and recreational programs, as well as job readiness and training initiatives.</p>																		
B.2	<p>Goals and Objectives. Identify the PHA's quantifiable goals and objectives that will enable the PHA to serve the needs of low- income, very low- income, and extremely low- income families for the next five years.</p> <p>Please see Attachment F (Additional Information)</p>																		
B.3	<p>Progress Report. Include a report on the progress the PHA has made in meeting the goals and objectives described in the previous 5-Year Plan.</p> <p>Please see Attachment F (Additional Information)</p>																		
B.4	<p>Violence Against Women Act (VAWA) Goals. Provide a statement of the PHA's goals, activities objectives, policies, or programs that will enable the PHA to serve the needs of child and adult victims of domestic violence, dating violence, sexual assault, or stalking.</p> <p>Please see Attachment F (Additional Information)</p>																		

B.5	Significant Amendment or Modification. Provide a statement on the criteria used for determining a significant amendment or modification to the 5-Year Plan.
B.6	<p>Resident Advisory Board (RAB) Comments.</p> <p>(a) Did the RAB(s) provide comments to the 5-Year PHA Plan?</p> <p>Y N</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/></p> <p>(b) If yes, comments must be submitted by the PHA as an attachment to the 5-Year PHA Plan. PHAs must also include a narrative describing their analysis of the RAB recommendations and the decisions made on these recommendations.</p> <p>Please see Attachment N (Comments from the Resident Advisory Board)</p>
B.7	<p>Certification by State or Local Officials.</p> <p>Form HUD 50077-SL, <i>Certification by State or Local Officials of PHA Plans Consistency with the Consolidated Plan</i>, must be submitted by the PHA as an electronic attachment to the PHA Plan.</p>

Annual PHA Plan <i>(Standard PHAs and Troubled PHAs)</i>	U.S. Department of Housing and Urban Development Office of Public and Indian Housing	OMB No. 2577-0226 Expires: 02/29/2016
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Purpose. The 5-Year and Annual PHA Plans provide a ready source for interested parties to locate basic PHA policies, rules, and requirements concerning the PHA's operations, programs, and services, and informs HUD, families served by the PHA, and members of the public of the PHA's mission, goals and objectives for serving the needs of low- income, very low- income, and extremely low- income families.

Applicability. Form HUD-50075-ST is to be completed annually by **STANDARD PHAs or TROUBLED PHAs**. PHAs that meet the definition of a High Performer PHA, Small PHA, HCV-Only PHA or Qualified PHA do not need to submit this form.

Definitions.

- (1) **High-Performer PHA** – A PHA that owns or manages more than 550 combined public housing units and housing choice vouchers, and was designated as a high performer on both of the most recent Public Housing Assessment System (PHAS) and Section Eight Management Assessment Program (SEMAP) assessments if administering both programs, or PHAS if only administering public housing.
- (2) **Small PHA** - A PHA that is not designated as PHAS or SEMAP troubled, or at risk of being designated as troubled, that owns or manages less than 250 public housing units and any number of vouchers where the total combined units exceeds 550.
- (3) **Housing Choice Voucher (HCV) Only PHA** - A PHA that administers more than 550 HCVs, was not designated as troubled in its most recent SEMAP assessment and does not own or manage public housing.
- (4) **Standard PHA** - A PHA that owns or manages 250 or more public housing units and any number of vouchers where the total combined units exceeds 550, and that was designated as a standard performer in the most recent PHAS or SEMAP assessments.
- (5) **Troubled PHA** - A PHA that achieves an overall PHAS or SEMAP score of less than 60 percent.
- (6) **Qualified PHA** - A PHA with 550 or fewer public housing dwelling units and/or housing choice vouchers combined, and is not PHAS or SEMAP troubled.

A.	PHA Information					
A.1	<p>PHA Name: New York City Housing Authority PHA Code: NY005</p> <p>PHA Type: <input checked="" type="checkbox"/> Standard PHA <input type="checkbox"/> Troubled PHA</p> <p>PHA Plan for Fiscal Year Beginning: 01/2020</p> <p>PHA Inventory (Based on Annual Contributions Contract (ACC) units at time of FY beginning, above)</p> <p>Number of Public Housing (PH) Units 172,447 ; Number of Section 8 Vouchers: 85,358. Total Combined Units/Vouchers 257,805</p> <p>PHA Plan Submission Type: <input checked="" type="checkbox"/> Annual Submission <input type="checkbox"/> Revised Annual Submission</p> <p>Availability of Information. PHAs must have the elements listed below in sections B and C readily available to the public. A PHA must identify the specific location(s) where the proposed PHA Plan, PHA Plan Elements, and all information relevant to the public hearing and proposed PHA Plan are available for inspection by the public. At a minimum, PHAs must post PHA Plans, including updates, at each Asset Management Project (AMP) and main office or central office of the PHA. PHAs are strongly encouraged to post complete PHA Plans on their official website. PHAs are also encouraged to provide each resident council a copy of their PHA Plans.</p> <p><input type="checkbox"/> PHA Consortia: (Check box if submitting a Joint PHA Plan and complete table below)</p>					
	Participating PHAs	PHA Code	Program(s) in the Consortia	Program(s) not in the Consortia	No. of Units in Each Program	
					PH	HCV

B.	Annual Plan Elements
B.1	<p>Revision of PHA Plan Elements.</p> <p>(a) Have the following PHA Plan elements been revised by the PHA?</p> <p>Y N</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Statement of Housing Needs and Strategy for Addressing Housing Needs</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Deconcentration and Other Policies that Govern Eligibility, Selection, and Admissions.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Financial Resources.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Rent Determination.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Operation and Management.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Grievance Procedures.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Homeownership Programs.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Community Service and Self-Sufficiency Programs.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Safety and Crime Prevention.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Pet Policy.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Asset Management.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Substantial Deviation.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Significant Amendment/Modification</p> <p>(b) If the PHA answered yes for any element, describe the revisions for each revised element(s):</p> <p>Please see Attachment B (PHA Plan Update)</p> <p>(c) The PHA must submit its Deconcentration Policy for Field Office review.</p> <p>Please see Attachment G (Admissions Policy for Deconcentration)</p>
B.2	<p>New Activities.</p> <p>(a) Does the PHA intend to undertake any new activities related to the following in the PHA's current Fiscal Year?</p> <p>Y N</p> <p><input checked="" type="checkbox"/> Hope VI or Choice Neighborhoods.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Mixed Finance Modernization or Development.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Demolition and/or Disposition.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Designated Housing for Elderly and/or Disabled Families.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Conversion of Public Housing to Tenant-Based Assistance.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Conversion of Public Housing to Project-Based Assistance under RAD.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Occupancy by Over-Income Families.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Occupancy by Police Officers.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Non-Smoking Policies.</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/> Project-Based Vouchers.</p> <p><input type="checkbox"/> <input checked="" type="checkbox"/> Units with Approved Vacancies for Modernization.</p>

	<p><input type="checkbox"/> <input checked="" type="checkbox"/> Other Capital Grant Programs (i.e., Capital Fund Community Facilities Grants or Emergency Safety and Security Grants).</p> <p>(b) If any of these activities are planned for the current Fiscal Year, describe the activities. For new demolition activities, describe any public housing development or portion thereof, owned by the PHA for which the PHA has applied or will apply for demolition and/or disposition approval under section 18 of the 1937 Act under the separate demolition/disposition approval process. If using Project-Based Vouchers (PBVs), provide the projected number of project based units and general locations, and describe how project basing would be consistent with the PHA Plan.</p> <p>Please see Attachments C and D (HOPE VI, Mixed Finance Modernization or Development, Demolition and/or Disposition, Conversion of Public Housing, Homeownership, and Project-Based Vouchers, and Capital Improvements – Capital Fund Annual Statement).</p> <p><i>As of January 1, 2019, NYCHA has executed 120 HAP contracts for 8,975 project-based units receiving subsidy across the five boroughs in New York City. This includes project-based apartments at NYCHA's LLC mixed finance developments and a RAD conversion at Ocean Bayside.</i></p>
B.3	<p>Civil Rights Certification.</p> <p>Form HUD-50077, <i>PHA Certifications of Compliance with the PHA Plans and Related Regulations</i>, must be submitted by the PHA as an electronic attachment to the PHA Plan.</p>
B.4	<p>Most Recent Fiscal Year Audit.</p> <p>(a) Were there any findings in the most recent FY Audit? Y N</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/></p> <p>(b) If yes, please describe: The 2018 audit had two minor findings in the area of Wage Rate Compliance records.</p> <p>Please see Attachment A (PHA Plan Update)</p>
B.5	<p>Progress Report.</p> <p>Provide a description of the PHA's progress in meeting its Mission and Goals described in the PHA 5-Year and Annual Plan.</p> <p>Please see Attachment F (Additional Information)</p>
B.6	<p>Resident Advisory Board (RAB) Comments.</p> <p>(a) Did the RAB(s) provide comments to the PHA Plan? Y N</p> <p><input checked="" type="checkbox"/> <input type="checkbox"/></p> <p>(c) If yes, comments must be submitted by the PHA as an attachment to the PHA Plan. PHAs must also include a narrative describing their analysis of the RAB recommendations and the decisions made on these recommendations.</p> <p>Please see Attachment N (Comments from Resident Advisory Board Members)</p>
B.7	<p>Certification by State or Local Officials.</p> <p>Form HUD 50077-SL, <i>Certification by State or Local Officials of PHA Plans Consistency with the Consolidated Plan</i>, must be submitted by the PHA as an electronic attachment to the PHA Plan.</p>
B.8	<p>Troubled PHA.</p> <p>(a) Does the PHA have any current Memorandum of Agreement, Performance Improvement Plan, or Recovery Plan in place? Y N N/A</p> <p><input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/></p> <p>(b) If yes, please describe:</p>
C.	<p>Statement of Capital Improvements. Required for all PHAs completing this form that administer public housing and receive funding from the Capital Fund Program (CFP).</p> <p>Please see Attachment D (Capital Improvements – Capital Fund Annual Statement)</p>

C.1	<p>Capital Improvements. Include a reference here to the most recent HUD-approved 5-Year Action Plan (HUD-50075.2) and the date that it was approved by HUD.</p> <p>HUD APPROVED NYCHA'S FY 2019 CAPITAL FUND GRANT AND 5-YEAR ACTION PLAN ON JUNE 21, 2019.</p>
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Supporting Documents Available for Review

Members of the public wishing to examine the Supporting Documents may do so, during regular business hours, by contacting NYCHA's central office, located at 250 Broadway, New York, New York, at (212) 306-3701 to schedule an appointment to review the documents.

List of Supporting Documents Available for Local Review <i>(Applicable to All PHA Plan Types)</i>		
Indicate which documents are available for public review by placing a mark in the "Applicable & On Display" column in the appropriate rows. All listed documents must be on display if applicable to the program activities conducted by the PHA.		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	Form HUD-50077, <i>Standard PHA Certifications of Compliance with the PHA Plans and Related Regulations: Board Resolution to Accompany the Standard Annual, Standard Five-Year, and Streamlined Five-Year/Annual PHA Plans.</i>	5-Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan	5-Year and Annual Plans
X	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's involvement.	5-Year and Annual Plans
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments (AI) to Fair Housing Choice); and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
X	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources
X	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan (TSAP) and the Site-Based Waiting List Procedure. <i>The following Management and Maintenance Policies are available and on display:</i> <ul style="list-style-type: none"> • <i>NYCHA Management Manual</i> • <i>NYCHA Application and Tenancy Administration Manual</i> • <i>NYCHA Tenant Selection and Assignment Plan (TSAP) Manual</i> • <i>NYCHA Human Resources Manual</i> • <i>NYCHA Emergency Procedure Manual</i> • <i>NYCHA Contract Procedure Resolution</i> • <i>NYCHA General Memoranda</i> • <i>NYCHA Deputy General Manager Memoranda</i> • <i>NYCHA Standard Procedures</i> 	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies

List of Supporting Documents Available for Local Review
(Applicable to All PHA Plan Types)

Indicate which documents are available for public review by placing a mark in the “Applicable & On Display” column in the appropriate rows. All listed documents must be on display if applicable to the program activities conducted by the PHA.

Applicable & On Display	Supporting Document	Applicable Plan Component
X	Deconcentration Income Analysis <i>NYCHA’s Deconcentration Income Analysis begins on page 218 of the Final Annual Plan.</i>	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Any policy governing occupancy of Police Officers and Over-Income Tenants in Public Housing. <input type="checkbox"/> Check here if included in the public housing A&O Policy. <i>NYCHA’s policy governing the occupancy of Police Officers is available in NYCHA’s Management Manual in Chapter III, NYCHA’s Standard Procedure SP003011 and on page 48 of the Final Annual Plan.</i>	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public housing rent determination policies, including the methodology for setting public housing flat rents. <input type="checkbox"/> Check here if included in the public housing A & O Policy. <i>NYCHA’s rent determination policies are available in NYCHA’s Management Manual in Chapter III beginning on page 106 and on page 53 of the Final Annual Plan.</i>	Annual Plan: Rent Determination
X	Schedule of flat rents offered at each public housing development. <input type="checkbox"/> Check here if included in the public housing A & O Policy. <i>NYCHA’s Flat Rent schedule is on pages 54 and 55 of the Final Annual Plan and in NYCHA’s Management Manual in Chapter III beginning on page 106.</i>	Annual Plan: Rent Determination
X	Section 8 rent determination (payment standard) policies (if included in plan, not necessary as a supporting document) and written analysis of Section 8 payment standard policies. <input checked="" type="checkbox"/> Check here if included in the Section 8 Administrative Plan. <i>Section 8 rent determination (payment standard) policies are outlined in Chapter IX of the Section 8 Administrative Plan and on page 55 of the Final Annual Plan.</i>	Annual Plan: Rent Determination
X	Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation).	Annual Plan: Operations and Maintenance
X	Results of latest Public Housing Assessment System (PHAS) assessment	Annual Plan: Operations and Maintenance
X	Results of latest Section 8 Management Assessment System (SEMAP).	Annual Plan: Operations and Maintenance
X	Any policies governing any Section 8 special housing types <input checked="" type="checkbox"/> Check here if included in Section 8 Administrative Plan. <i>Section 8 special housing types are outlined in Chapter XV (B) of the Section 8 Administrative Plan.</i>	Annual Plan: Management and Operations
X	Public housing grievance procedures <input type="checkbox"/> Check here if included in the public housing A & O Policy. <i>NYCHA’s grievance procedures are outlined in Chapter IV Section IV (A) of the NYCHA Management Manual.</i>	Annual Plan: Grievance Procedures
X	Section 8 informal review and hearing procedures <input checked="" type="checkbox"/> Check here if included in Section 8 Administrative Plan.	Annual Plan: Grievance Procedures

List of Supporting Documents Available for Local Review
(Applicable to All PHA Plan Types)

Indicate which documents are available for public review by placing a mark in the “Applicable & On Display” column in the appropriate rows. All listed documents must be on display if applicable to the program activities conducted by the PHA.

Applicable & On Display	Supporting Document	Applicable Plan Component
	<i>NYCHA’s informal review and hearing procedures are outlined in Chapter XXIV (B) of the Section 8 Administrative Plan.</i>	
X	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement/Performance and Evaluation Report (form HUD-52837) for the active grant year	Annual Plan: Capital Needs
X	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
X	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
X	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
X	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act, Section 22 of the U.S. Housing Act of 1937, or Section 33 of the U.S. Housing Act of 1937.	Annual Plan: Conversion of Public Housing
X	Documentation for required Initial Assessment and any additional information required by HUD for Voluntary Conversion. <i>Please see page 120 of the Final Annual Plan for information on the Voluntary Conversion of NYCHA’s public housing.</i>	Annual Plan: Voluntary Conversion of Public Housing
X	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
N/A	Policies governing any Section 8 Homeownership program <i>NYCHA does not have a Section 8 Homeownership program at this time.</i>	Annual Plan: Homeownership
X	Public Housing Community Service Policy/Programs <input type="checkbox"/> Check here if included in the public housing A & O Policy. <i>NYCHA’s Community Service Policy is outlined in NYCHA Form 040.564 and in the Final Annual Plan on page 224.</i>	Annual Plan: Community Service & Self-Sufficiency
X	Cooperative agreement between the PHA and the TANF agency and between the PHA and local employment and training service agencies.	Annual Plan: Community Service & Self-Sufficiency
X	FSS Action Plan/s for public housing and/or Section 8.	Annual Plan: Community Service & Self-Sufficiency
X	Section 3 documentation required by 24 CFR Part 135, Subpart E for public housing.	Annual Plan: Community Service & Self-Sufficiency

List of Supporting Documents Available for Local Review

(Applicable to All PHA Plan Types)

Indicate which documents are available for public review by placing a mark in the “Applicable & On Display” column in the appropriate rows. All listed documents must be on display if applicable to the program activities conducted by the PHA.

Applicable & On Display	Supporting Document	Applicable Plan Component
X	Most recent self-sufficiency ROSS or other resident services grant) grant program reports for public housing.	Annual Plan: Community Service & Self-Sufficiency
X	Policy on Ownership of Pets in Public Housing Family Developments (as required by regulation at 24 CFR Part 960, Subpart G). <input type="checkbox"/> Check here if included in the public housing A & O Policy. <i>NYCHA’s Policy on Ownership of Pets in Public Housing Family Developments is outlined in NYCHA Form 040.537 and in the Final Annual Plan beginning on page 94.</i>	Annual Plan: Pet Policy
X	The results of the most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U. S.C. 1437c(h)), the results of that audit and the PHA’s response to any findings	Annual Plan: Annual Audit
X	Other supporting documents (optional) <i>New York Police Department Housing Bureau Strategic Plan</i>	Annual Plan: Safety and Crime Prevention

NOTICE

New York City Housing Authority Draft Significant Amendment to the FY 2019 Agency Annual Plan and the Draft Agency Plan for FY2020

The public is advised that the *Draft Significant Amendment to the FY 2019 Agency Annual Plan and the FY2020 Draft Agency Annual Plan* will be available for public inspection at NYCHA's principal office, located at 250 Broadway, New York, NY, starting May 31, 2019 between the hours of 9:30 a.m. to 4:30 p.m. Please call (212) 306-3701 to make an appointment to review the *Draft Significant Amendment to the FY 2019 Agency Annual Plan and the FY 2020 Draft Agency Plan* and supporting documents. The *Draft Significant Amendment to the FY 2019 Agency Annual Plan and the FY 2020 Draft Agency Plan* will also be available at the following locations:

- On NYCHA's webpage, which is located on: <https://on.nyc.gov/nycha-annual-plan>
- At the Management Office of *each* NYCHA public housing development during regular business hours.
- At the Community Centers/Borough Offices listed below during the hours of 9:00 am to 7:30 pm:

Manhattan Family Partnerships Borough Office 45 Allen Street New York, New York	Soundview Senior Center 1674 Seward Avenue Bronx, New York	Staten Island Family Partnerships Borough Office 90 Lafayette Avenue Staten Island, New York
Taft Senior Center 1365 5th Avenue New York, New York	Queens Community Development / Family Partnerships Borough Office 70-30 Parsons Boulevard Flushing, New York	Brownsville Senior Center 528 Mother Gaston Boulevard Brooklyn, New York
Sedgwick Senior Center 1553 University Avenue Bronx, New York		

PUBLIC COMMENT

The public is invited to comment on the *Draft Significant Amendment to the FY 2019 Agency Annual Plan and the FY 2020 Draft Agency Plan* at a public hearing to be held on **Thursday, July 18, 2019** from 5:30 p.m. to 8:00 p.m. at:

**Borough of Manhattan Community College
199 Chambers Street
New York, New York 10007**

Attendees who wish to speak at the hearing must sign up by 7:00 p.m. Photo ID advised

The location listed above is both handicapped accessible and can be reached using public transportation. For transportation information go to <http://tripplanner.mta.info> or call the MTA/NYC Transit Travel Information Line (718) 330-1234.

Written comments regarding the *Draft Significant Amendment to the FY 2019 Agency Annual Plan and the FY 2020 Draft Agency Plan* are encouraged. To be considered, **submissions must be received via United States Postal mail or fax no later than July 19, 2019.** Faxed submissions will be accepted at (212) 306-7905. Comments may be sent to the following address and comments may also be emailed to annualplancomments@nycha.nyc.gov.

**Public Housing Agency Plan Comments
Church Street Station
P.O. Box 3422
New York, New York 10008-3422**

Bill de Blasio, Mayor

Kathryn Garcia, Interim Chair and Chief Executive Officer

AVISO

Enmienda Significativa Preliminar de la Autoridad de Vivienda de la Ciudad de Nueva York al Plan Anual de la Agencia para el Año Fiscal 2019 y el Plan Preliminar de la Agencia para el Año Fiscal 2020

Se anuncia al público que la *Enmienda Significativa Preliminar al Plan Anual de la Agencia para el Año Fiscal 2019 y el Plan Preliminar de la Agencia para el Año Fiscal 2020* estarán disponibles para inspección pública en la oficina central de NYCHA ubicada en 250 Broadway, New York, NY, a partir del 31 de mayo de 2019, entre las 9:30 a.m. y las 4:30 p.m. Por favor llame al (212) 306-3701 para concertar una cita para revisar la *Enmienda Significativa Preliminar al Plan Anual de la Agencia para el Año Fiscal 2019 y el Plan Preliminar de la Agencia para el Año Fiscal 2020* y los documentos de respaldo. La *Enmienda Significativa Preliminar al Plan Anual de la Agencia para el Año Fiscal 2019 y el Plan Preliminar de la Agencia para el Año Fiscal 2020* también estarán disponibles en los siguientes lugares:

- En la Página Web de NYCHA, que se encuentra en: <https://on.nyc.gov/nycha-annual-plan>
- En la Oficina de la Administración de cada residencial de vivienda pública de NYCHA durante horas de oficina regulares.
- En los Centros Comunitarios/Oficinas Municipales que se enumeran a continuación entre las 9:00 a.m. y las 7:30 p.m.:

Manhattan Family Partnerships Borough Office 45 Allen Street New York, New York Taft Senior Center 1365 5th Avenue New York, New York Sedgwick Senior Center 1553 University Avenue Bronx, New York	Soundview Senior Center 1674 Seward Avenue Bronx, New York Queens Community Development / Family Partnerships Borough Office 70-30 Parsons Boulevard Flushing, New York	Staten Island Family Partnerships Borough Office 90 Lafayette Avenue Staten Island, New York Brownsville Senior Center 528 Mother Gaston Boulevard Brooklyn, New York
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COMENTARIOS DEL PÚBLICO

Se invita al público a comentar sobre la *Enmienda Significativa Preliminar al Plan Anual de la Agencia para el Año Fiscal 2019 y el Plan Preliminar de la Agencia para el Año Fiscal 2020* en una audiencia pública que se celebrará el **jueves 18 de julio de 2019**, de 5:30 p.m. a 8:00 p.m. en:

**Borough of Manhattan Community College
199 Chambers Street
New York, New York 10007**

Los asistentes que deseen hablar en la audiencia deben inscribirse antes de las 7:00 p.m. Se recomienda llevar identificación con foto

Todas las localidades que se mencionan anteriormente son accesibles para personas con limitaciones físicas y se puede llegar a ellas utilizando transporte público. Para obtener información sobre el transporte, vaya a <http://tripplanner.mta.info> o llame a la Línea de Información de Viajes de Tránsito MTA/NYC al (718) 330-1234.

Le animamos a hacer comentarios por escrito sobre la *Enmienda Significativa Preliminar al Plan Anual de la Agencia para el Año Fiscal 2019 y el Plan Preliminar de la Agencia para el Año Fiscal 2020*. Para ser considerados, **los comentarios deben recibirse mediante correo postal de los Estados Unidos o fax a más tardar el 19 de julio de 2019**. Los comentarios escritos pueden enviarse por fax al (212) 306-7905. Los comentarios pueden enviarse a la siguiente dirección y los comentarios también pueden ser enviados por correo electrónico a annualplancomments@nycha.nyc.gov.

**Public Housing Agency Plan Comments
Church Street Station
P.O. Box 3422
New York, New York 10008-3422**

Bill de Blasio, Alcalde

Kathryn García, Presidenta Interina y Primera Ejecutiva

通知

紐約市房屋局「2019 財政年度機構計劃」重大修正提案和「2020 財政年度機構計劃」初稿

從2019年5月31日起，各界人士可前往紐約市房屋局辦公總部查閱「2019財政年度機構計劃」重大修正提案和「2020財政年度機構計劃」初稿，地址：紐約市曼哈頓百老匯大道250號，辦公時間：上午9時30分至下午4時30分。請致電 (212) 306-3701 預約時間查閱「2019財政年度機構計劃」重大修正提案和「2020財政年度機構計劃」初稿及其它相關文件。民眾亦可通過下列方式查閱「2019財政年度機構計劃」重大修正提案和「2020財政年度機構計劃」初稿：

- 紐約市房屋局 (NYCHA) 官方網頁，網址：<https://on.nyc.gov/nycha-annual-plan>
- 於辦公時間前往紐約市房屋局的公共房屋住宅區管理處
- 於早上 9 時至晚上 7 時 30 分間前往下列社區中心/區域事務管理處：

<p>Manhattan Family Partnerships 曼哈頓家庭合作部辦公室 區域事務管理處 45 Allen Street New York, New York</p> <p>Taft Senior Center 塔夫特公房長者中心 1365 5th Avenue New York, New York</p> <p>Sedgwick Senior Center 塞奇威克公房長者中心 1553 University Avenue Bronx, New York</p>	<p>Soundview Senior Center 桑德維公房長者中心 1674 Seward Avenue Bronx, New York</p> <p>Queens Community Development / Family Partnerships 皇后區社區發展/家庭合作部辦公室 區域事務管理處 70-30 Parsons Boulevard Flushing, New York</p>	<p>Staten Island Family Partnerships 史坦頓島家庭合作部辦公室 區域事務管理處 90 Lafayette Avenue Staten Island, New York</p> <p>Brownsville Senior Center 布朗斯維爾公房長者中心 528 Mother Gaston Boulevard Brooklyn, New York</p>
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徵詢公眾意見

誠邀各界人士出席於2019年7月18日(星期四) 傍晚5時30分至晚上8時舉行的公共聽證會，對「2019財政年度機構計劃」重大修正提案和「2020財政年度機構計劃」初稿發表意見並提出建議。地點如下：

**Borough of Manhattan Community College
紐約市立大學曼哈頓社區學院
199 Chambers Street
New York, New York 10007**

希望在聽證會上發言的人士必須於傍晚 7 時前完成登記。請攜帶附照片的身份證

會議地點設有無障礙通道方便殘疾人士進出並可搭乘公共交通工具抵達。詳情請瀏覽 <http://tripplanner.mta.info> 或致電大都會捷運局 (MTA) 紐約市交通旅遊資訊熱線查詢，電話：(718) 330-1234。

歡迎各界人士對「2019財政年度機構計劃」重大修正提案和「2020財政年度機構計劃」初稿發表書面意見。我們僅會考慮於2019年7月19日前以傳真或平郵方式提交的意見書。傳真號碼：(212) 306-7905。意見書可寄至下列地址或發送電郵至 annualplancomments@nycha.nyc.gov。

**Public Housing Agency Plan Comments
Church Street Station
P.O.P.O. Box 3422
New York, New York 10008-3422**

白思豪 (Bill de Blasio)，市長

凱瑟琳·加西亞 (Kathryn Garcia)，代理主席兼行政總監

CHINESE TRADITIONAL

通知

纽约市房屋局「2019 财政年度机构计划」重大修正提案和「2020 财政年度机构计划」初稿

从2019年5月31日起,各界人士可前往纽约市房屋局办公总部查阅「2019 财政年度机构计划」重大修正提案和「2020 财政年度机构计划」初稿,地址:纽约市曼哈顿百老汇大道250号,办公时间:上午9时30分至下午4时30分。请致电 (212) 306-3701 预约时间查阅「2019 财政年度机构计划」重大修正提案和「2020 财政年度机构计划」初稿及其它相关文件。民众亦可通过下列方式查阅「2019 财政年度机构计划」重大修正提案和「2020 财政年度机构计划」初稿:

- 纽约市房屋局 (NYCHA) 官方网页,网址: <https://on.nyc.gov/nycha-annual-plan>
- 于办公时间前往纽约市房屋局的公共房屋住宅区管理处
- 于早上 9 时至晚上 7 时 30 分间前往下列社区中心/区域事务管理处:

<p>Manhattan Family Partnerships 曼哈顿家庭合作部办公室 区域事务管理处 45 Allen Street New York, New York</p> <p>Taft Senior Center 美特公房长者中心 1365 5th Avenue New York, New York</p> <p>Sedgwick Senior Center 塞奇威克公房长者中心 1553 University Avenue Bronx, New York</p>	<p>Soundview Senior Center 桑德维公房长者中心 1674 Seward Avenue Bronx, New York</p> <p>Queens Community Development / Family Partnerships 皇后区社区发展/家庭合作部办公室 区域事务管理处 70-30 Parsons Boulevard Flushing, New York</p>	<p>Staten Island Family Partnerships 史坦顿岛家庭合作部办公室 区域事务管理处 90 Lafayette Avenue Staten Island, New York</p> <p>Brownsville Senior Center 布朗斯维尔公房长者中心 528 Mother Gaston Boulevard Brooklyn, New York</p>
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征询公众意见

诚邀各界人士出席于2019年7月18日(星期四)傍晚5时30分至晚上8时举行的公共听证会,对「2019 财政年度机构计划」重大修正提案和「2020 财政年度机构计划」初稿发表意见并提出建议。地点如下:

**Borough of Manhattan Community College
纽约市立大学曼哈顿社区学院
199 Chambers Street
New York, New York 10007**

希望在听证会上发言的人士必须于傍晚7时前完成登记。请携带附照片的身份证

会议地点设有无障碍信道方便残疾人士进出并可乘搭公共交通工具抵达。详情请浏览 <http://tripplanner.mta.info> 或致电大都会捷运局 (MTA) 纽约市交通旅游信息热线查询,电话: (718) 330-1234。

欢迎各界人士对「2019 财政年度机构计划」重大修正提案和「2020 财政年度机构计划」初稿发表书面意见。我们仅会考虑于2019年7月19日前以传真或平邮方式提交的意见书。传真号码: (212) 306-7905。意见书可寄至下列地址或发送电邮至 annualplancomments@nycha.nyc.gov。

**Public Housing Agency Plan Comments
Church Street Station
P.O.P.O. Box 3422
New York, New York 10008-3422**

白思豪 (Bill de Blasio), 市长

凯瑟琳·加西亚 (Kathryn Garcia), 代理主席兼行政总监

CHINESE SIMPLIFIED

УВЕДОМЛЕНИЕ

Проект Значительной поправки Жилищного управления г. Нью-Йорка (New York City Housing Authority, NYCHA) к Годовому плану агентства на 2019 финансовый год и проекту Годового плана агентства на 2020 финансовый год

Настоящим извещаем, что *проект Значительной поправки (Significant Amendment) к Годовому плану агентства на 2019 финансовый год (FY 2019) и проекту Годового плана агентства на FY 2020* будут доступны для публичного ознакомления в главном офисе NYCHA, который находится по адресу: 250 Broadway, New York, NY, начиная с 31 мая 2019 года с 9:30 а.м. до 4:30 р.м. Для ознакомления с этими и другими сопроводительными документами позвоните по тел. (212) 306-3701 и назначьте встречу. Также эти документы можно найти:

- На вебсайте NYCHA, расположенном по следующей ссылке: <https://on.nyc.gov/nycha-annual-plan>
- В офисе управления каждого жилищного комплекса NYCHA в обычные приемные часы.
- В нижеуказанных местных Общественных центрах (Community Centers)/районных управлениях с 9:00 а.м. до 7:30 р.м.:

Manhattan Family Partnerships Районный офис 45 Allen Street New York, New York	Soundview Senior Center 1674 Seward Avenue Bronx, New York	Staten Island Family Partnerships Районный офис 90 Lafayette Avenue Staten Island, New York
Senior Center (Центр для пожилых) Taft 1365 5th Avenue New York, New York	Queens Community Development/Family Partnerships Районный офис 70-30 Parsons Boulevard Flushing, New York	Brownsville Senior Center 528 Mother Gaston Boulevard Brooklyn, New York
Sedgwick Senior Center 1553 University Avenue Bronx, New York		

КОММЕНТАРИИ ОБЩЕСТВЕННОСТИ

Общественность также приглашается предоставить комментарии по поводу *проекта Значительной поправки к Годовому плану агентства на FY 2019 и проекту Годового плана агентства на FY 2020* на публичном слушании, которое состоится в **четверг, 18 июля 2019 года** с 5:30 р.м. до 8:00 р.м. по адресу:

**Borough of Manhattan Community College
199 Chambers Street
New York, New York 10007**

Участники, которые хотят выступить на слушаниях, должны зарегистрироваться до 7:00 р.м. Рекомендуется иметь при себе документ с фотографией

Вышеуказанное место проведения мероприятия оборудовано для доступа инвалидов, и туда можно добраться общественным транспортом. Для получения информации о том, как добраться туда общественным транспортом, пользуйтесь страницей на Интернетe <http://tripplanner.mta.info> или звоните в Транспортное управление MTA/ NYC Transit Travel Information Line по тел. (718)330-1234.

Письменные отзывы по поводу *проекта Значительной поправки к Годовому плану агентства на FY 2019 и проекту Годового плана агентства на FY 2020* приветствуются. Чтобы их учли, **они должны быть получены по почте (United States Postal mail) или по факсу не позже 19 июля 2019 года.** Комментарии по факсу будут приниматься по номеру (212) 306-7905. Отзывы также можно выслать по адресам: annualplancomments@nycha.nyc.gov.

или
**Public Housing Agency Plan Comments
Church Street Station
P.O. Box 3422
New York, New York 10008-3422**

Bill de Blasio, мэр

Kathryn Garcia, и.о. председателя и исп. директор



Public Hearing on the Significant Amendment to the Fiscal Year 2019 Agency Annual Plan and the Draft Fiscal Year 2020 Annual Plan

Join the conversation and get informed on issues impacting your home and community.

Can't attend in person? Watch the LIVE video stream and read highlights of the meeting presentation at:



on.nyc.gov/nycha-public-hearing

Public Hearing

Thursday, July 18, 2019
5:30 pm to 8:00 pm

Photo ID advised

Borough of Manhattan
Community College
199 Chambers Street
New York, NY 10007

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Перевод этого документа находится в офисе управления Вашего жилищного комплекса.



Requests for reasonable accommodation for this event should be relayed to the NYCHA Public Accessibility Services Coordinator, Paola Vernelly, by July 11, 2019, at 212-306-4617 or by email at Paola.Vernelly@nycha.nyc.gov.



Audiencia Pública sobre la Enmienda Significativa Preliminar al Plan Anual de la Agencia para el Año Fiscal 2020 y el Plan Anual Preliminar para el Año Fiscal 2020

Únase a la conversación e infórmese sobre los temas que impactan a su hogar y su comunidad.

¿No puede asistir en persona? Vea la transmisión de vídeo en directo y lea los aspectos más destacados de la presentación de la reunión en:



on.nyc.gov/nycha-public-hearing

Audiencia Pública

Jueves, 18 de julio, 2019
5:30 pm a 8:00 pm

Se recomienda llevar identificación con foto

Borough of Manhattan
Community College
199 Chambers Street
New York, NY 10007

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所居公房管理处备有文件译本可供索取。
Перевод этого документа находится в офисе управления Вашего жилищного комплекса.



Las solicitudes de alojamiento razonable para este evento deben ser transmitidas a la Coordinadora de Servicios de Accesibilidad Pública de NYCHA, Paola Vernelly, hasta el 11 de julio de 2019, al 212-306-4617 o por correo electrónico a Paola.Vernelly@nycha.nyc.gov.



「2019財政年度機構年度計劃」重大修正提案和 「2020財政年度機構年度計劃」初稿公眾聽證會

踴躍參與，共同討論，關注
住房和社區發展動向。

無法親身出席會議？歡迎上網
觀看會議現場直播並查看諮
詢會議的簡報重點，網址：



on.nyc.gov/nycha-public-hearing

公開聽證會

2019年7月18日 (星期四)
傍晚5時30分至晚上8時

請攜帶附照片的身份證

Borough of Manhattan
Community College
紐約市立曼哈頓社區學院
199 Chambers Street
New York, NY 10007

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所居公房管理处备有文件译本可供索取。

Перевод этого документа находится в офисе управления Вашего жилищного комплекса.



如對這次會議活動有任何合理便利措施的要求，請於2019年7月11日前聯繫紐約市房屋局公共無障礙服務專員 Paola Vernelly，電話：212-306-4617或電郵：Paola.Vernelly@nycha.nyc.gov。



「2019财政年度机构年度计划」重大修正提案和 「2020财政年度机构年度计划」初稿公众听证会

踊跃参与，共同讨论，关注住房和社区发展动向。

无法亲身出席会议？欢迎上网观看会议现场直播并查看咨询会议的简报重点，网址：



on.nyc.gov/nycha-public-hearing

公开听证会

2019年7月18日（星期四）
傍晚5时30分至晚上8时

請携带附照片的身份证

**Borough of Manhattan
Community College**
纽约市立曼哈顿社区学院
199 Chambers Street
New York, NY 10007

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所居公房管理处備有文件譯本可供索取。
所居公房管理处備有文件译本可供索取。
Перевод этого документа находится в офисе управления Вашего жилищного комплекса.



如对这次会议活动有任何合理便利措施的要求，请于2019年7月11日前联系纽约市房屋局公共无障碍服务专员 Paola Vernelly，电话：212-306-4617或电邮：Paola.Vernelly@nycha.nyc.gov。



Публичное слушание по поводу проекта Значительной поправки к Годовому плану агентства на FY 2019 и проекту Годового плана агентства на FY 2020

Присоединяйтесь к разговору и получите информацию по вопросам, затрагивающим ваш дом и микрорайон.

Не можете присутствовать лично? Смотрите в ПРЯМОМ ЭФИРЕ видео и читайте основные моменты презентации на:



on.nyc.gov/nycha-public-hearing

Публичное слушание

Четверг, 18 июля 2019 года
с 5:30 pm до 8:00 pm

Borough of Manhattan
Community College
199 Chambers Street
New York, NY 10007

Рекомендуется иметь при себе документ с фотографией

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所居公房管理處備有文件譯本可供索取。

所居公房管理处备有文件译本可供索取。

Перевод этого документа находится в офисе управления Вашего жилищного комплекса.



Запросы на приемлемую модификацию (reasonable accommodation) во время этого мероприятия должны быть переданы координатору общественных услуг NYCHA Paola Vernelly до 11 июля 2019 года по тел. 212-306-4617 или электронной почтой по адресу Paola.Vernelly@nycha.nyc.gov.

FY 2020 Final PHA Annual Plan Table of Contents

EXECUTIVE SUMMARY	24
ATTACHMENT A: 5-YEAR PLAN	28
MISSION	28
GOALS AND OBJECTIVES	28
ATTACHMENT B: PHA PLAN UPDATE	40
PHA PLAN ELEMENTS UPDATED	40
LOCATIONS OF COPIES OF THE 5-YEAR AND ANNUAL PHA PLAN	40
PHA PLAN ELEMENTS	41
1. Eligibility, Selection and Admissions Policies.....	41
2. Financial Resources	52
3. Rent Determination	53
4. Operation and Management.....	57
5. PHA Grievance Procedures	58
6. Designated Housing for Elderly and Disabled Families.....	59
7. Community Service and Self-Sufficiency	83
8. Safety and Crime Prevention.....	90
9. Pet Policy	94
10. Civil Rights Certification.....	95
11. Fiscal Year Audit.....	95
12. Asset Management.....	96
13. Violence Against Women Act (VAWA)	96
ATTACHMENT C: HOPE VI, MIXED FINANCE MODERNIZATION OR DEVELOPMENT, DEMOLITION AND/OR DISPOSITION, CONVERSION OF PUBLIC HOUSING, HOMEOWNERSHIP, AND PROJECT-BASED VOUCHERS.....	97
<i>HOPE VI OR MIXED FINANCE MODERNIZATION OR DEVELOPMENT.....</i>	<i>97</i>
<i>DEMOLITION AND/OR DISPOSITION</i>	<i>102</i>
<i>CONVERSION OF PUBLIC HOUSING</i>	<i>120</i>
<i>HOMEOWNERSHIP</i>	<i>123</i>
<i>PROJECT-BASED VOUCHERS.....</i>	<i>124</i>
<i>RENTAL ASSISTANCE DEMONSTRATION PROGRAM (RAD)</i>	<i>125</i>
ATTACHMENT D: CAPITAL IMPROVEMENTS – CAPITAL FUND ANNUAL STATEMENT AND 5-YEAR ACTION PLAN AND P/E REPORT AND SCHEDULE.....	170
ATTACHMENT E: HOUSING NEEDS	171
ATTACHMENT F: ADDITIONAL INFORMATION.....	177
<i>STATEMENT OF PROGRESS IN MEETING MISSION AND GOALS.....</i>	<i>177</i>
<i>SIGNIFICANT AMENDMENT AND SUBSTANTIAL DEVIATION OR MODIFICATION OF THE AGENCY PLAN</i>	<i>215</i>
<i>RESIDENT ADVISORY BOARD RECOMMENDATIONS.....</i>	<i>215</i>
<i>ELECTION PROCESS FOR RESIDENTS ON THE PHA BOARD.....</i>	<i>215</i>
<i>STATEMENT OF CONSISTENCY WITH THE CONSOLIDATED PLAN.....</i>	<i>215</i>
<i>SECOND REPLACEMENT HOUSING FACTOR (RHF) FUNDING GROUPS.....</i>	<i>217</i>
ATTACHMENT G: ADMISSIONS POLICY FOR DECONCENTRATION	218
ATTACHMENT H: COMMUNITY SERVICE DESCRIPTION OF IMPLEMENTATION.....	224
ATTACHMENT I: PHA MANAGEMENT ORGANIZATION CHART.....	229
ATTACHMENT J: ASSESSMENT OF SITE-BASED WAITING LIST.....	230
ATTACHMENT K: SMOKE FREE HOUSING STATEMENT.....	231
ATTACHMENT L: PUBLIC HOUSING RESIDENT ADVISORY BOARD MEMBERS	234
ATTACHMENT M: AGENDAS OF MEETINGS HELD WITH NYCHA’S PUBLIC HOUSING	

RESIDENT ADVISORY BOARD236
ATTACHMENT N: COMMENTS FROM RESIDENT ADVISORY BOARD MEMBERS237
ATTACHMENT O: COMMENTS FROM THE PUBLIC ON THE FY20 ANNUAL PHA PLAN265
ATTACHMENT P: PIH NOTICE 2016-17-RENTAL ASSISTANCE DEMONSTRATION (RAD)
NOTICE REGARDING FAIR HOUSING AND CIVIL RIGHTS REQUIREMENTS AND
RELOCATION REQUIREMENTS APPLICABLE TO RAD FIRST COMPONENT – PUBLIC
HOUSING CONVERSION283

Executive Summary

NYCHA's Final Agency Plan for FY 2020

Federal law requires the New York City Housing Authority (NYCHA) to develop – with input from public housing residents, Section 8 participants, elected officials, and the public – a plan outlining its major initiatives for the coming year.

The Final Agency Plan for Fiscal Year 2020 is available for public review at NYCHA's Central Office and each development's management office as well as on NYCHA's website: <http://www1.nyc.gov/site/nycha/about/annual-plan-financial-information.page>. NYCHA will also provide a copy of the Final Agency Plan to each development's Resident Association President.

NYCHA held a public hearing at the Borough of Manhattan Community College in Manhattan on July 18, 2019 and accepted written comments on the Final Agency Plan through July 19, 2019. Please see the Notice on page 12. NYCHA met with the Resident Advisory Board members for their comments in four meetings in between April and September 2019.

NYCHA's Final Agency Plan was submitted to the U.S. Department of Housing and Urban Development (HUD) by October 18, 2019. Following NYCHA's submission, HUD has 75 days to review and approve the plan.

NYCHA's priorities for the coming year are outlined on pages 24 through 27.

NYCHA 2.0

Considering the multibillion-dollar decline in federal Section 9 funding and massive repair needs across its portfolio, NYCHA must pursue innovative ways to fund the building and apartment upgrades that residents deserve. Launched in December 2018, NYCHA 2.0 is the Authority's strategic roadmap; it is a comprehensive, 10-year plan to address \$24 billion in vital repairs that NYCHA's buildings desperately need. NYCHA 2.0 will deliver complete apartment renovations for 175,000 residents, fund essential capital repairs across the rest of NYCHA's portfolio and launch aggressive new repair strategies to tackle high-priority areas that impact residents' quality of life. NYCHA 2.0 includes the following programs:

PACT to Preserve

Announced in November 2018, NYCHA is addressing \$12.8 billion in overdue repairs in 62,000 apartments – a third of its units and home to approximately 140,000 New Yorkers – through public-private partnerships as part of its Permanent Affordability Commitment Together (PACT) initiative, which includes the federal Rental Assistance Demonstration (RAD) program.

All 62,000 apartments will be converted to Section 8 funding and remain permanently affordable. Section 8 funding provides a more stable flow of federal subsidy and allows NYCHA and its development partners to raise external financing to address a development's capital repair needs. Quality private managers will maintain and operate the buildings. Residents will maintain their rights as NYCHA residents, pay rent limited to 30 percent of their income, and remain in their buildings during the renovations, which will include new kitchens, bathrooms, windows, elevators, boilers, and roofs and improved common areas. RAD partnerships also deliver valuable social services from

nonprofit partners to residents. All 62,000 PACT renovations will be completed on a rolling basis – about 7,500 per year – by the year 2028. NYCHA will select sites for the PACT program that have the highest capital needs and operating challenges.

About \$236 million in renovations have already been completed at the 1,395 apartments at Ocean Bay (Bayside) in the Rockaways, and approximately 14,000 additional units are in the process of pre-development or are under construction for comprehensive capital repairs. That includes:

- Over \$270 million in major upgrades – from new kitchens and bathrooms, to new piping, facades, elevators, lobbies, and landscaping – is in progress at 2,500 apartments in the Bronx, home to more than 6,000 New Yorkers.
- Over \$210 million in major upgrades to begin the summer of 2019 at 1,315 apartments in Brooklyn, home to more than 2,700 New Yorkers.
- PACT conversion of developments totaling 2,625 apartments in Brooklyn is expected to be completed by the end of 2019, and in Manhattan, developments totaling 1,718 apartments in expected to be completed in 2020.
- RFEIs for an additional 5,908 apartments were released in 2019 with PACT conversion planned for 2020 or 2021.

Build to Preserve

With the "Build to Preserve" program, NYCHA will use a new model to build on its underused land, dedicating 100 percent of the proceeds to make repairs first at the surrounding development (any remaining funds will be invested in repairs at other NYCHA developments in the neighborhood). Build to Preserve is expected to fund approximately \$2 billion in capital repairs across approximately 10,000 NYCHA apartments. New buildings will be subject to Mandatory Inclusionary Housing levels of affordability and will increase the city's permanently affordable housing supply. NYCHA has selected developers for two Build to Preserve sites: Holmes Towers and Wyckoff Gardens, expected to raise \$62 million in total.

Transfer to Preserve

For the first time, NYCHA will tap into its extensive unused development rights, known as "air rights." By transferring only a portion of the Authority's approximately 80 million square feet of air rights, NYCHA expects to generate \$1 billion in capital repairs for adjacent apartments. The first deal is expected to be completed by the fall of 2019 at Ingersoll Houses.

Commitments to Build New 100% Affordable Housing

New York City is confronting an affordable housing crisis, and New Yorkers have called for more affordable housing. In support of Mayor de Blasio's plan to build and preserve 300,000 affordable apartments by 2026, NYCHA has pledged to provide underused land (such as parking lots and storage spaces) for the creation of 11,000 new, affordable apartments for both families and seniors – more than 3,000 of which are already in the pipeline.

Since 2015, NYCHA has begun construction on seven 100 percent affordable housing buildings. Most recently, construction has begun on a new 180-unit building at Van Dyke Houses for low-income residents, including many who were formerly homeless. Additionally, 13 sites are in pre-development and three more have been announced and are in the resident and stakeholder engagement phase. This

amounts to over 3,000 units of new affordable housing. In recognition of the city's growing senior population, an additional 1,000 units are planned for senior housing above the original 10,000-unit commitment, for a total commitment of 11,000 units.

Many of these buildings will include community facilities and neighborhood retail that will serve new and current residents. For instance, the new affordable housing at Ingersoll Houses will feature a new ground-floor senior center operated by Services and Advocacy for LGBT Elders (SAGE) that will provide supportive services for seniors. The development at Mill Brook Houses will bring a new senior center that includes a commercial kitchen, large dining room, community space, and activity rooms for programming for seniors. Other planned features across the 100% affordable housing portfolio include green roofs, upgraded basketball courts, and new community gardens and seating areas.

Fix to Preserve

“Fix to Preserve” builds on ongoing improvements to operations and maintenance at NYCHA to improve residents’ quality of life. Through the “Fix to Preserve” initiatives, NYCHA will reduce the frequency and duration of heat and elevator outages; reduce the pest population and respond to pest complaints more quickly; identify, remediate, and abate lead hazards; and accelerate the remediation of mold and prevent its recurrence. To achieve these objectives, NYCHA is making a variety of operational improvements and capital investments, some of which are outlined below.

For the 2018-2019 heat season through May 28, 2019, NYCHA brought down the time it took to resolve heat and hot water outages to 9 hours on average, down from an average of 24 hours during the previous season. This was accomplished in part by establishing a heating team dedicated to resolving service interruptions 24/7 and activating a “Situation Room” during periods of extreme cold to coordinate the response to interruptions and mobilization of resources in real time. By 2026, NYCHA will replace 297 boilers and address an additional 200 boilers through PACT, making heat more reliable for hundreds of thousands of residents.

By 2024, NYCHA will replace or address 425 elevators.

Following an integrated pest management approach, NYCHA is investing in reducing the rat population by concreting 50 dirt basements, installing 8,000 door sweeps, installing new compactors and bulk crushers at 10 developments, and hiring 20 new exterminators and an expert in pest control. At 57 developments, Health Department inspections have seen a 42 percent decline in rat burrows.

In April 2019, NYCHA kicked off an unprecedented, \$88 million effort to test approximately 135,000 apartments for the presence of lead-based paint using x-ray fluorescence (“XRF”) analyzers by the end of 2020. Testing began at Harlem River Houses on April 15, 2019, and at seven additional developments on May 1, 2019: Bronx River, Castle Hill, Johnson, Marble Hill, Red Hook West, Saint Nicholas, and Williamsburg Houses. In addition, as of October 9, 2019, NYCHA has trained 97 percent of its Maintenance Workers to visually identify lead-based paint hazards and will train the remaining maintenance staff by the end of 2019.

NYCHA is expanding its “Mold Busters” program to combat mold at developments citywide. Mold Busters involves an updated mold inspection protocol; a new and comprehensive standard remediation procedure; new hands-on training for staff; and new tools for staff to effectively and efficiently identify and remediate mold. All 2,700 applicable staff are expected to be trained on the

new tools and procedures by the end of 2019. Critical to success in eliminating mold will be NYCHA's roof replacements – the Authority aims to have all its roofs in a state of good repair by 2026, thanks in part to Mayor Bill de Blasio's \$1.3 billion investment to replace over 900 roofs.

HireNYCHA

As part of its ongoing work to connect residents to employment, NYCHA will train an additional 250 residents per year at the NYCHA Resident Training Academy. NYCHA will also deliver new prep programs for job-readiness tests and long-term adult education for 100 residents per year. Since 2014, NYCHA has facilitated approximately 15,000 job placements for residents.

Other Operational Improvements

NYCHA is bringing repairs to residents faster through its Saturday work blitzes and the “NYCHA Cares” initiative, which is reducing the backlog of skilled trades repairs (such as those required by plumbers, electricians, plasterers, carpenters, and painters). By 2021, NYCHA will close out 75,000 backlogged skilled trades work orders. In addition, NYCHA is rolling out seven-days-a-week janitorial services for the first time ever through its Alternative Work Schedule (AWS) initiative. AWS launched at 13 consolidated developments on April 1, 2019 and will be implemented at all of NYCHA's developments by early 2020.

NYCHA's Monitoring Agreement

On January 31, 2019, NYCHA signed an Agreement with HUD. The Agreement's overarching goal is to remedy the deficient physical conditions in NYCHA properties, to benefit residents across the City. It establishes a foundation for NYCHA to continue strengthening the Authority and improving residents' quality of life. The Agreement sets objectives to significantly improve in five high-priority areas: lead-based paint, mold, heat, elevators, and pests. That includes, for instance, addressing lead-based paint in apartments, improving the response time for heat and elevator outages, completing capital improvements, addressing mold, and reducing the rat population. The work under the Agreement will be overseen by a third-party Monitor.

As part of the Agreement, the City will provide \$1 billion for capital expenses over the next four years and \$200 million per year in capital funding for at least the six years following – for a total of at least \$2.2 billion in capital funding. This is in addition to Mayor de Blasio's unprecedented financial support to NYCHA, which includes approximately \$4.3 billion in capital and operating funds to replace roofs and boilers, fix facades and upgrade heating systems, and more over the next decade.

The Agreement requires NYCHA to remediate living conditions at its properties by specific deadlines and to meet strict, objective compliance standards regarding the aforementioned high-priority areas. NYCHA is setting up systems and has established a dedicated unit to track its progress on all the deadlines outlined in the Agreement. NYCHA, as required under the Agreement, also established new departments and units – a Compliance Department, an Environmental Health and Safety Department, and a Quality Assurance Unit – in support of this work.

The Agreement goals, as well as other priority areas, make up portions of NYCHA's five-year plan and are outlined in the Goals Section of the Final Agency Plan (pages 202 to 214).

ATTACHMENT A

5-YEAR PLAN

PHA FISCAL YEARS –2020-2024

[24 CFR Part 903.5]

A. Mission

State the PHA's mission for serving the needs of low-income, very low income, and extremely low-income families in the PHA's jurisdiction. (select one of the choices below)

- The mission of the PHA is the same as that of the Department of Housing and Urban Development: HUD's mission is to increase homeownership, support community development and increase access to affordable housing free from discrimination. To fulfill this mission, HUD will embrace high standards of ethics, management and accountability and forge new partnerships--particularly with faith-based and community organizations--that leverage resources and improve HUD's ability to be effective on the community level.
- The PHA's mission is: The New York City Housing Authority (NYCHA)'s mission is to increase opportunities for low- and moderate-income New Yorkers by providing safe, affordable housing and facilitating access to social and community services. More than 365,000 New Yorkers reside in NYCHA's 311 public housing developments around the five boroughs, 2,991 Section 8 families (7,976 authorized residents) live in the PACT/RAD developments formerly managed by NYCHA. In addition, 194,000 residents receive subsidized rental assistance in private homes through the NYCHA-administered Section 8 Leased Housing Program. and another 194,000 receive subsidized rental assistance in private homes through the NYCHA-administered Section 8 Leased Housing Program.

To fulfill its vital mission and even better serve residents while facing dramatic reductions in traditional government funding, NYCHA is developing new financing options and building innovative partnerships across the public, private, and non-profit sectors. These strategies are helping NYCHA to address many key challenges, from preserving aging housing stock through timely maintenance and modernization of developments, to increasing resident access to a multitude of community, educational and recreational programs, as well as job readiness and training initiatives.

B. Goals and Objectives

NYCHA is providing final updates on its current goals and is introducing new goals for the FY2020 five-year plan.

Section A: Goals Related to NYCHA's Monitoring Agreement

Lead-Based Paint

➤ **Goal: Management of Lead-Based Paint Risks**

Objectives:

- By September 30, 2019, NYCHA will train all 900 maintenance staff to conduct visual assessments to identify lead-based paint hazards.

- By 2020, NYCHA will use XRF technology to test over 134,000 apartments built before 1978. By the middle of 2019, as lead paint tests are completed, NYCHA will refresh its website on a biweekly basis with statistics on the progress of the testing initiative and its results.
- By January 31, 2024, NYCHA will abate all lead-based paint at the Harlem River Houses and the Williamsburg Houses.
- NYCHA will abate exterior common areas that contain lead-based paint. NYCHA will develop an Action Plan with an appropriate timeline for the abatement, prioritizing common areas posing a higher risk of exposure to children.

Heat

➤ Goal: Improving the Provision of Heat

Objectives:

- NYCHA will comply with N.Y.C. Admin. Code § 27-2029(a), which requires NYCHA to maintain the following temperatures in apartments during the heating season (October 1 through May 31):
 - a) between the hours of 6:00 a.m. and 10:00 p.m., a temperature of at least 68 degrees Fahrenheit whenever the outside temperature falls below 55 degrees; and
 - b) between the hours of 10:00 p.m. and 6:00 a.m., a temperature of at least 62 degrees Fahrenheit.
- By and after October 1, 2024, NYCHA will ensure that, during any given Heating Season:
 - a) no more than 15% of occupied apartments, as measured according to procedures established in an Action Plan which may include a reliable sampling method, shall have an occasion in which the temperatures fall below the legal limits, and
 - b) the temperature shall not fall below the legal limits on more than three separate occasions in a given unit.
- By December 31, 2020, NYCHA will install electronic temperature monitoring to provide the Authority with a comprehensive understanding of heating conditions in 44 developments, which will include electronic temperature monitoring in no fewer than 30% of NYCHA apartments in these developments. A schedule will be established in an Action Plan with deadlines for NYCHA to install such monitoring systems in the remainder of its developments.

➤ Goal: Improved Response to Heating Failure:

Objectives:

- By October 1, 2019, NYCHA will establish an Action Plan that identifies, for each development, how NYCHA will respond to heating outages, taking into account resident populations, historical data about prior outages, the availability of on-site and

remote maintenance personnel, and response times. The plan will include provisions for alternative heated community spaces for heating outages that are expected to last for a substantial duration. The plan will also address NYCHA's policies for closing out work orders when the resident is not available at home or otherwise does not provide access to his or her apartment to resolve a heating outage. The plan will be made available to the residents and posted online.

- Starting with the Heating Season beginning October 1, 2019, NYCHA will:
 - a) Restore heat to units affected by a heating shortage within an average of 12 hours.
 - b) During the heating season, for 85% of heating shortfalls, NYCHA will restore heat to affected units within 24 hours, and in no event more than 48 hours. NYCHA may restore heat through the use of temporary replacement heating systems that comply with the N.Y.C. Admin. Code.
 - c) In any event in which heat is unable to be restored to a particular unit within 12 hours, appropriate NYCHA personnel distinct from the NYCHA personnel responsible for the heat restoration, as identified in an Action Plan, will undertake an investigation to determine the root cause(s) of such initial failure of the heating system and the failure to achieve the restoration of service within the timeframe, identify corrections to prevent or lessen the recurrence of such failures, and track the implementation of such corrective actions. Such information will be retained in a central repository to which all applicable maintenance staff and management have access.

- Starting with the Heating Season beginning October 1, 2024, NYCHA will:
 - a) During the heating season, for 85% of heating shortfalls, NYCHA will restore heat to affected units within 12 hours, and in no event more than 24 hours. NYCHA may restore heat through the use of temporary replacement heating systems that comply with the N.Y.C. Admin. Code.
 - b) In any event in which heat is unable to be restored to the affected units within 12 hours, the Quality Assurance Unit will undertake an investigation to determine the root cause(s) of such initial failure of the heating system and the failure to achieve the restoration of service within the timeframe, identify corrections to prevent or lessen the recurrence of such failures, and track the implementation of such corrective actions. This information will be retained in a central repository to which all applicable maintenance staff and management have access.

➤ **Goal: Other Heating Obligations**

Objectives:

- In addition to meeting the goals above, NYCHA will perform the following tasks:
 - a) By March 31, 2019, NYCHA will create a 24/7 Heat Desk that will monitor heating metrics and dispatch staff to correct deficiencies during the heating season.

- b) NYCHA will replace or address approximately 500 boilers by 2026
 - 297 boilers will be replaced by December 31, 2026 through NYCHA's Capital Plan

Mold

➤ **Goal: Decreasing Mold Incidence and Recurrence**

Objectives:

- By January 31, 2024:
 - a) For 85% of verified mold complaints, there will not be a second verified mold complaint in the same unit or the same common area room or hallway within a 12-month period.
 - b) No more than 15% of verified mold complaints will be for mold covering 10 or more square feet in a unit or common area that is visible from within such unit or common area, unless NYCHA can document to the satisfaction of the Monitor that after having been advised by NYCHA to report incidences of mold, the resident did not report the incidence of mold until after the mold had reached this extent.
 - c) Mold will not appear more than three times in a year in any single unit.

➤ **Goal: Remediation of Mold and Moisture**

Objectives:

- By January 31, 2021:
 - a) For 95% of instances in which a resident reports a mold complaint that is subsequently verified or NYCHA identifies mold in a unit, consistent with the NYCHA Standard Procedure SP 040:14:1, Mold/Mildew Control in NYCHA Residential Buildings, Revised December 19, 2018, within five business days of the resident reporting or NYCHA identifying mold in the unit, NYCHA will prepare and provide a written plan for addressing the root cause to the resident. NYCHA may meet this standard by mailing a copy of the written plan to the resident via U.S. or electronic mail within the five-day period.
 - b) For 95% of instances in which a resident reports a mold complaint that is subsequently verified or NYCHA identifies mold in a unit, consistent with the NYCHA Standard Procedure SP 040:14:1, Mold/Mildew Control in NYCHA Residential Buildings, Revised December 19, 2018, within five business days of the resident reporting or NYCHA identifying mold in the unit, NYCHA will remove mold that is visible from within the unit. In the alternative, NYCHA may comply with this standard by remediating the mold and its underlying root cause (i) within 7 days, for repairs that can be performed by a Maintenance Worker or Caretaker, or (ii) within 15 days, for repairs that must be performed by skilled trades workers or other specialized staff in one or more visits.
 - c) For 95% of reports to NYCHA of floods, leaks from above, and other conditions that cause sustained or recurrent moisture to flow into a resident's unit or the walls of the unit, NYCHA will abate the condition within 24 hours

of a report of the condition to NYCHA, and NYCHA will remove any standing water that resulted from such condition within 48 hours of the report.

- By the end of 2019, train 2,900 staff to improve mold inspections and to investigate building-level systems that contribute to mold.
- Improve communication and notification to tenants regarding mold starting in 2019.
- Continue and accelerate roof repairs:
 - a) By 2019, replace 96 additional roofs, benefitting 24,000 residents.

Elevators

➤ **Goal: Improving Elevator Service**

Objectives:

- By January 31, 2022:
 - a) 70% of buildings containing more than one elevator will have no more than one instance per year where all elevators are out of service (whether planned or unplanned) at the same time, and no such building will have more than three instances in a year.
 - b) 70% of elevators in all buildings will have an unplanned outage no more than eight times per year, and no elevator will have unplanned outages more than 15 times a year.
- By January 31, 2024:
 - a) 85% of buildings containing more than one elevator will have no more than one instance per year where all elevators are out of service (whether planned or unplanned) at the same time, and no such building will have more than three instances in a year.
 - b) 85% of elevators in all buildings will have an unplanned outage no more than eight times per year, and no elevator will have unplanned outages more than 12 times a year.

➤ **Goal: Improved Response to Disruptions in Service**

Objectives:

- For the first year after January 31, 2019, NYCHA will reduce the duration of service outages by 10%, and 75% of no-service conditions will be resolved within 18 hours of the time NYCHA learns of them. The response rate will improve each year thereafter as determined by the Monitor and HUD based on the data NYCHA provides to the Monitor and HUD and the steps NYCHA has taken in executing its Action Plans.
- By January 31, 2024, NYCHA will resolve all outages within the following timeframes:

- a) For outages that result in a no-service condition:
 1. 85% will be resolved within four hours of NYCHA learning of such condition, and
 2. No no-service condition will last more than 12 hours, unless the no-service condition is in a one-elevator building and results from either (a) an outage due to an elevator rehabilitation or replacement or (b) an outage for which the industry-accepted repair time is longer than 12 hours or that requires NYCHA to order unavailable parts.

- b) For outages that do not result in a no-service condition: 85% will be resolved within 4 hours of NYCHA learning of such condition, and
 1. 85% will be resolved within 10 hours of NYCHA learning of such condition, and
 2. No outage will last more than 18 hours, unless the outage results from either (a) an outage due to an elevator rehabilitation or replacement or (b) an outage for which the industry-accepted repair time is longer than 18 hours or that requires NYCHA to order unavailable parts.

➤ **Goal: Improved Outage Identification and Notice**

Objectives:

- By July 31, 2019, NYCHA will institute and maintain a system that identifies every elevator outage and the start and end times of such outages identified by remote monitoring systems, work-order records, or any additional sources of outage information, and make that system accessible and available to all NYCHA personnel responsible for elevators and to other relevant personnel, including all development managers and the General Manager.

- By January 31, 2024, NYCHA will establish continuous remote monitoring in 70% of its elevators.

- By July 31, 2019, NYCHA will establish a system to provide residents of buildings affected by a planned outage 24-hours advance notice, and to provide residents of buildings affected by an unplanned outage notice within two hours of NYCHA learning of the outage. Such notice will include instructions regarding what assistance NYCHA has available for individuals with mobility impairments during the outage. Notice will occur by robocall and via postings within the affected building and on NYCHA's website.

➤ **Goal: Other Obligations to Improve Elevator Service**

Objectives:

- In addition to meeting the requirements above, and except where otherwise provided in an approved Action Plan, NYCHA will perform the following tasks:
 - a) NYCHA will adopt a new seven-day, extended schedule for Caretakers to enable more frequent cleaning of elevator door tracks at the start of each shift.

 - b) NYCHA will replace or address at least 425 elevators by 2024:

1. 275 elevators will be replaced by December 31, 2024, through NYCHA's capital plan.
2. NYCHA will transfer 150 additional elevators to third-party management through the PACT Section 8 conversion program by December 31, 2024. The developer selected through PACT will replace elevators as needed in buildings under its purview.

Pests

➤ Goal: Pest Population Reduction

Objectives:

- By January 31, 2022, NYCHA will achieve a 50% reduction of its rat population across its portfolio, a 40% reduction in its mice population across its portfolio, and a 40% reduction in its roach population across its portfolio. By that time, NYCHA will also achieve a percentage reduction in its bedbug population across its portfolio, to be determined by the Monitor.
- By January 31, 2024, NYCHA will achieve a further 50% reduction in each of its pest populations across its portfolio.

➤ Goal: Improved Response to Resident Complaints

Objectives:

- By January 31, 2021, NYCHA will:
 - a) Respond to 75% of all rat complaints within two business days, and to all rat complaints within five days;
 - b) Respond to 75% of all other pest complaints within seven days, and to all other pest complaints within 10 days;
 - c) Apply effective pest control methods (in compliance with applicable law, including the Federal Insecticide, Fungicide, and Rodenticide Act, 7 U.S.C. § 136 *et seq.*), to address any verified complaints within seven days; and
 - d) Provide expedited response and application of pest control methods in cases where NYCHA is aware that a resident of the unit has asthma or another condition generally recognized as being caused or exacerbated by exposure to pest infestations (for example, other respiratory illness, immune deficiency/suppression, and/or effects of certain medical treatments). In an Action Plan, NYCHA and the Monitor will establish a procedure for informing residents of a process through which residents may notify NYCHA if anyone residing in a unit has such a health condition.
- By January 31, 2024, NYCHA will:
 - a) Respond to 90% of all rat complaints within two business days, and to all rat complaints within five days;

- b) Respond to 90% of all other pest complaints within seven days, and to all other pest complaints within ten days.

➤ **Goal: Targeted Relief for Infestations**

Objectives:

- By July 31, 2019, NYCHA will, for any unit that has more than one pest infestation complaint verified by NYCHA staff within 12 months, (a) cause a professional using integrated pest management (IPM) techniques to evaluate the unit and its immediately adjacent units and common areas within 30 days to identify any circumstances specific to that unit that may have contributed to such recurrence (including, but not limited to, unaddressed leaks, proximately located trash, or holes in walls), and (b) address, consistent with IPM principles, any such circumstances within the following 30 days.

➤ **Goal: Implementation of IPM Practices**

Objectives:

- By January 31, 2020, NYCHA will incorporate industry-standard IPM practices, including Northeastern IPM Center (NortheastIPM.org and StopPests.org), Integrated Pest Management – A Guide for Affordable Housing, using the current edition at the time of the pest complaint, as developed under an interagency agreement between HUD and the U.S. Department of Agriculture for their Delivery of IPM Training to PHAs project; and current editions of other professional IPM resources as the Monitor may approve, into building operations in all NYCHA properties.
- By January 31, 2020, NYCHA will send staff appropriately trained on IPM to respond to any pest complaint.

➤ **Goal: Daily Inspections and Trash Collection**

Objectives:

- By July 31, 2019, NYCHA will, no less than once every 24 hours, inspect the grounds and common areas of each building for cleaning and maintenance needs, including pests and trash, and correct such conditions. In particular, NYCHA will ensure that trash on the grounds or common areas of each NYCHA building is collected and either removed from the premises or stored in a manner that prevents access by pests at least once every 24 hours.

➤ **Goal: Other Pest Obligations**

Objectives:

- In addition to meeting the above, and except where otherwise provided in an approved Action Plan, NYCHA will perform the following tasks:
 - a) NYCHA will install 8,000 door sweeps on basement doors with gaps by March 31, 2020.
 - b) NYCHA will install 50 rat slabs by December 31, 2020.

- c) NYCHA will dedicate 20 full-time exterminator staff to conduct ongoing, comprehensive, preventative maintenance treatments in public spaces for developments within the Rat Mitigation Zone.
- d) NYCHA will install exterior bulk crushers or retrofit exterior compactors with auger bulk crushers at 10 developments by December 31, 2022.

Annual Inspections

➤ Goal: Conduct Annual Inspections

Objectives:

- NYCHA will conduct annual inspections of developments. To complete its annual inspections, NYCHA will either: (a) inspect each occupied unit each year; or (b) inspect its units pursuant to such other program of annual inspection that is consistent with I-HUD Public Housing Management E-Newsletter, Vol. 3, Issue 1 (January 2012).
- By May 1, 2019, and thereafter, annual inspections will include having the person conducting the inspection perform any minor repairs during the inspection.
- By June 28, 2019, NYCHA will submit an Action Plan to the Monitor for complying with the requirement to conduct annual inspections and perform minor repairs during such inspections. The Action Plan will include procedures for (i) on-site completion of minor repairs during inspections, and (ii) the scheduling of other inspection-identified maintenance deficiencies for subsequent repair.

Organizational and Operational Initiatives

➤ Goal: Organizational Changes and Improvements

Objectives:

- Establish three new departments to improve compliance, accountability, and environmental health and safety:
 - a) Compliance Department
 - b) Environmental Health & Safety
 - c) Quality Assurance
- The Compliance Department will develop a framework to ensure that all workers will have the necessary certifications to perform their duties.

Section B: NYCHA 2.0 Real Estate Development Activities

➤ Goal: PACT to Preserve

Objectives:

- Establish a 62,000-unit program that will address roughly \$12.8 billion of capital needs over 10 years using HUD Section 8 conversion programs, including RAD. This accelerates the original 20,000-unit NextGeneration NYCHA goal by four years (completing 20,000 units by 2022 instead of 2026) and expands the total number of units to 62,000.

➤ **Goal: Build to Preserve**

Objectives:

- Accelerate new construction program to develop more buildings on NYCHA sites to generate significant revenue for NYCHA to complete comprehensive renovations at adjacent developments.

➤ **Goal: Transfer to Preserve**

Objectives:

- Generate \$1 billion for capital repairs through the transfer of unused development rights (“air rights”) to adjacent, privately owned sites.

Section C: HireNYCHA

➤ **Goal: HireNYCHA**

Objectives:

- Connect NYCHA-specific workforce efforts to the broader NYC workforce system.
 - a) Use the model built for Sandy recovery efforts and the Workforce1 system.
- Train an additional 250 NYCHA residents per year, a 70% increase over current efforts at the NYCHA Resident Training Academy (NRTA).
 - a) Hire new recruitment and placement staff at the NRTA.
- Deliver new prep programs for job-readiness tests and long-term adult education for 100 residents per year.
- Add new service contracts with local community organizations with deep ties to, and success working with, NYCHA residents.
- Create a new Section 3 JobStat tracking program to catalog real-time data on Section 3 hiring.
- Partner with the NYC Department of Small Business Services.

➤ **Goal: NYCHA-Stat**

Objectives:

- Continue holding NYCHA-Stat meetings, a centralized review of key performance indicators and development/departments-level management.

➤ **Goal: Investing in Our Workforce**

Objectives:

- Launch new training programs for mid-level managers.

Section D: Improving Services and Maintaining a State of Good Repair

➤ **Goal: NYCHA Cares**

Objectives:

- Create dedicated teams representing all categories of the skilled trades, through both NYCHA staff and third-party vendors, to address backlogged work orders.
 - a) By 2021, reduce the work order backlog by 75,000.
 - b) Teams of workers will be deployed to address multiple work orders in a single unit or development at the same time (and not one work order at a time).

➤ **Goal: Weekend Maintenance Blitzes**

Objectives:

- Reduce the backlog of maintenance work orders through dedicated scheduling of Saturday maintenance work order “blitzes.”

Section E: Additional Goals

➤ **Goal: Ensure Equal Opportunity in Housing for all Americans**

➤ **Goal: Violence Against Women Act (“VAWA”)**

Objectives:

- Assist residents who are victims of domestic violence, dating violence, sexual assault, and stalking to obtain an expedited confidential transfer and to enhance their safety.

Substantial Deviation

24 CFR 903.7 (r) (2) (effective November 22, 1999) requires each housing authority to identify the basic criteria that will be used to determine a substantial deviation from the five-year plan, which would necessitate an explanation to HUD in the Annual Plan. NYCHA has determined that it will use the following criteria defining "substantial deviation":

Criteria for Significant Amendment or Modification of the Agency Plan and/or Capital Fund Program Five-Year Action Plan:

NYCHA will amend or modify its agency plan and/or Capital Fund Program Five-Year Action Plan upon the occurrence of any of the following events during the term of an approved plan(s):

1. A change in federal law takes effect and, in the opinion of NYCHA, it creates substantial obligations or administrative burdens beyond the programs then under administration, excluding changes made necessary due to insufficient revenue, funding or appropriations, funding reallocations resulting from modifications made to the annual or five-year capital plan or due to the terms of a judicial decree.
2. Any proposed demolition, disposition, homeownership, Capital Fund financing, development or mixed-finance proposals.
3. Any Capital Fund project not already in the Five-Year Action Plan for an amount greater than \$500 million excluding projects arising out of federally declared major disasters.

4. Any other event that the Authority determines to be a significant amendment or modification of an approved annual plan and/or Capital Fund Program Five-Year Action Plan.
5. For purposes of any Rental Assistance Demonstration (“RAD”) project, a proposed conversion of public housing units to Project Based Rental Assistance or Project Based Voucher Assistance that has not been included in an Annual Plan shall be considered a substantial deviation.

ATTACHMENT B
PHA PLAN UPDATE

A) Identify all PHA Plan elements that have been revised by the PHA since its last Annual Plan submission:

<ul style="list-style-type: none"> • Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures • Financial Resources • Operation and Management • Community Service and Self-Sufficiency • Hope VI, Mixed Finance Modernization or Development, Demolition and Disposition, Conversion of Public Housing, Homeownership, and Project Based Vouchers 	<ul style="list-style-type: none"> • Housing Needs • Statement of Progress in Meeting Mission and Goals – FY 2015 to FY 2019 • Admissions Policy for Deconcentration • Resident Advisory Board Members • PHA Management Organizational Chart • Agendas of Meetings Held with NYCHA’s Resident Advisory Board
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A) Identify the specific locations where the public may obtain copies of the 5-Year and Annual PHA Plan.

The *Final Annual Plan for FY 2020* is available for public inspection at NYCHA’s principal office, located at 250 Broadway, New York, NY between the hours of 9:30 a.m. to 4:30 p.m. The *Final Agency Annual Plan for FY 2020* is also available at the following locations:

- On NYCHA’s webpage, which is located at: <http://www1.nyc.gov/site/nycha/about/annual-plan-financial-information.page>.
- At the Management Office of *each* NYCHA public housing development during regular business hours.

<p>Manhattan Family Partnerships Borough Office 45 Allen Street New York, New York</p> <p>Taft Senior Center 1365 5th Avenue New York, New York</p> <p>Sedgwick Senior Center 1553 University Avenue Bronx, New York</p>	<p>Soundview Senior Center 1674 Seward Avenue Bronx, New York</p> <p>Queens Community Development / Family Partnerships Borough Office 70-30 Parsons Boulevard Flushing, New York</p>	<p>Staten Island Family Partnerships Borough Office 90 Lafayette Avenue Staten Island, New York</p> <p>Brownsville Senior Center 528 Mother Gaston Boulevard Brooklyn, New York</p>
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C) PHA Plan Elements (24 CFR 903.7)

1. Eligibility, Selection and Admissions Policies, including Deconcentration and Wait List Procedures

A. Public Housing

(1) Eligibility

a. When does the PHA verify eligibility for admission to public housing? (select all that apply)

- When families are within a certain number of being offered a unit: (state number)
 When families are within a certain time of being offered a unit: (state time)

Preliminarily, within six to nine months before being offered a unit, and finally, when the family reaches the top of the waiting list.

Other: (describe)

b. Which non-income (screening) factors does the PHA use to establish eligibility for admission to public housing (select all that apply)?

- Criminal or Drug-related activity
 Rental history
 Housekeeping
 Other (describe)

NYCHA takes appropriate action before admission to verify each family's actual composition and to verify the citizenship/immigration status of each household member as required under Federal law.

c. Yes No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

d. Yes No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

e. Yes No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

NYCHA performs criminal background checks by examining the public conviction records of The New York State Office of Court Administration and the Dru Sjodin National Sex Offender Website.

(2) Waiting List Organization

a. Which methods does the PHA plan to use to organize its public housing waiting list (select all that apply)

- Community-wide list
 Sub-jurisdictional lists (*By NYC Borough*)
 Site-based waiting lists *See Attachment J*
 Other (describe)

b. Where may interested persons apply for admission to public housing?

- PHA main administrative office
- PHA development site management office
- Other (list below)

NYCHA maintains two Walk-in Customer Contact Centers serving the five boroughs of New York City. Applicants may also apply online at NYCHA's website.

<http://www1.nyc.gov/site/nycha/about/contact.page>

c. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection (3) Assignment

1. How many site-based waiting lists will the PHA operate in the coming year? **1**

2. Yes No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously-HUD-approved site-based waiting list plan)?
If yes, how many lists?

3. Yes No: May families be on more than one list simultaneously?
If yes, how many lists?

4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?

- PHA main administrative office
- All PHA development management offices
- Management offices at developments with site-based waiting lists
- At the development to which they would like to apply
- Other (list below)

NYCHA maintains two walk-in Customer Contact Centers serving the five boroughs of New York City.

d. Additional Information

NYCHA assists the management companies of the following developments with their waiting lists for the public housing units located in their developments. This assistance may include sending the management companies lists of public housing applicants that may qualify for their developments or by sending canvas letters to applicants on NYCHA's public housing waiting list to advise them of the opportunity to submit an application for these properties.

Please note that NYCHA does not own or manage the developments below and does not maintain the waiting lists for these developments itself.

- 1070 Washington Avenue (La Preciosa) (NY005024000)
- Prospect Plaza Phase I (NY005025000)
- Prospect Plaza Phase II (NY005025001)
- PSS Grandparent Family Apartments (NY005005600)

- Randolph South (NY005026000)

(3) Assignment

a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list? (Select one)

- One
 Two
 Three or More

b. Yes No: Is this policy consistent across all waiting list types?

c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

Applicants and transferees with borough choice and applicants and transfers for accessible apartments are given two apartment offers before they are removed from the waiting list.

(4) Admissions Preferences

a. Income targeting:

- Yes No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 40 percent of all new admissions to public housing to families at or below 30 percent of median area income?

While NYCHA does not plan to exceed the federal targeting requirements, slightly over 77% of the families admitted to public housing during calendar year 2018 were households with incomes at or below 30% of area median income.

b. Transfer policies:

In what circumstances will transfers take precedence over new admissions? (list below)

- Emergencies (*fire related or uninhabitable only*)
 Overhoused
 Underhoused
 Medical justification
 Administrative reasons determined by the PHA (e.g., to permit modernization work)
 Resident choice: (state circumstances below)
 Other: (list below)

Tenant transfers for reasonable accommodation.

Families displaced for development renovation.

Families displaced for development renovation and wishing to return to the development after renovation is completed.

Accessible Apartments.

Under occupied families required to move to smaller apartment as a result of Termination of Tenancy proceeding.

Currently, three out of five vacant apartments are offered to transfers and the other two apartments to new admissions. However, within equal priority transfers, residents residing within the same development as the apartment vacancy shall have preference over residents who reside at a different development.

Preferences

1. Yes No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If “no” is selected, skip to subsection (5) Occupancy)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences:

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden (rent is > 50 percent of income)

Other preferences: (select below)

- Working families and those unable to work because of age or disability
- Veterans and veterans’ families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

Intimidated Witnesses.

Legally doubled up and overcrowded in apartment subsidized by NYCHA (either public housing or Section 8)

Doubled up or overcrowded in apartment not subsidized by NYCHA.

Families headed by persons with acute immunological disorders of a degenerative nature or other disabilities or medical conditions requiring a high level of physical and supportive service accommodations, including NYCHA residents and homeless persons (Stanton Street).

Referrals from the New York City Department of Homeless Services.

Referrals from the New York City HIV/AIDS Services Administration, the Administration for Children's Services, the New York City Department of Housing Preservation and Development, or the New York City Health and Hospitals Corporation.

For single-person families: Elderly persons and persons with disabilities will be given preference over other applicants, except for emergency applicants, who will be taken in order of priority regardless of age or disability.

3. If the PHA will employ admissions preferences, please prioritize by placing a "1" in the space that represents your first priority, a "2" in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use "1" more than once, "2" more than once, etc.

Former Federal preferences:

- 1, 3** Homelessness
- 1, 3** Involuntary Displacement (Disaster, Government Action, Inaccessibility, Property Disposition)
- 2** Victims of Domestic Violence
- 3** Action of Housing Owner
- 3** Substandard Housing
- 3** High Rent Burden

Other preferences (select all that apply)

Working family priorities are assigned by income tier with the first number representing Tier III (households with incomes between 51% and 80% AMI), followed by Tier II (households with incomes between 31% and 50% AMI), and then Tier I (households with incomes less than 30% AMI).

- 1,2,3** Working families and those unable to work because of age or disability referred by the NYC Department of Homeless Services
- 1,2,3** Working families and those unable to work because of age or disability
- Veterans and veterans' families
- 1,2,3** Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- 1,2,3** Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- 3** Victims of reprisals or hate crimes
- Other preference(s) (list below)

1 – Referrals from the New York City Department of Homeless Services.

1- Referrals from the New York City HIV/AIDS Services Administration, the Administration for Children's Services, the New York City Department of Housing Preservation and Development or the New York City Health and Hospitals Corporation.

2 - Intimidated witnesses.

3 – Legally doubled up and overcrowded in apartment subsidized by NYCHA (either public housing or Section 8).

3 – Doubled up in apartment not subsidized by NYCHA.

3 – Overcrowded in apartment not subsidized by NYCHA.

3 – For single-person families: Elderly persons and persons with disabilities will be given preference over other applicants, except for emergency applicants, who will be taken in order of priority regardless of age or disability

3 - Families headed by persons with acute immunological disorders of a degenerative nature or other disabilities or medical conditions requiring a high level of physical and supportive service accommodations, including NYCHA residents and homeless persons, who are referred by designated public and private social service agencies (Stanton Street).

4 - Families headed by persons with acute immunological disorders of a degenerative nature or other disabilities or medical conditions requiring a high level of physical and supportive service accommodations, including NYCHA residents and homeless persons (Stanton Street).

Admission income limits apply at certain developments, as follows: At tax credit developments family income must not exceed 60% of area median income. At all other developments, family income must not exceed 80% of area median income.

4. Relationship of preferences to income targeting requirements:

- The PHA applies preferences within income tiers
- Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Occupancy

a. What reference materials can applicants and residents use to obtain information about the rules of occupancy of public housing (select all that apply)

- The PHA-resident lease
- The PHA's Admissions and (Continued) Occupancy policy
- PHA briefing seminars or written materials
- Other source (list)

b. How often must residents notify the PHA of changes in family composition? (select all that apply)

- At an annual reexamination and lease renewal
- Any time family composition changes
- At family request for revision
- Other (list)

(6) Deconcentration and Income Mixing

a. Yes No: Did the PHA's analysis of its family (general occupancy) developments to determine concentrations of poverty indicate the need for measures to promote deconcentration of poverty or income mixing?

b. Yes No: Did the PHA adopt any changes to its **admissions policies** based on the results of the required analysis of the need to promote deconcentration of poverty or to assure income mixing?

c. If the answer to b was yes, what changes were adopted? (select all that apply)

Adoption of site-based waiting lists
If selected, list targeted developments below:

Employing waiting list "skipping" to achieve deconcentration of poverty or income mixing goals at targeted developments
If selected, list targeted developments below:

All lower income developments.

Employing new admission preferences at targeted developments
If selected, list targeted developments below:

Other (list policies and developments targeted below)

d. Yes No: Did the PHA adopt any changes to **other** policies based on the results of the required analysis of the need for deconcentration of poverty and income mixing?

e. If the answer to d was yes, how would you describe these changes? (select all that apply)

- Additional affirmative marketing
- Actions to improve the marketability of certain developments
- Adoption or adjustment of ceiling rents for certain developments
- Adoption of rent incentives to encourage deconcentration of poverty and income-mixing
- Other (list below)

f. Based on the results of the required analysis, in which developments will the PHA make special efforts to attract or retain higher-income families? (select all that apply)

- Not applicable: results of analysis did not indicate a need for such efforts
- List (any applicable) developments below:

All lower income developments.

g. Based on the results of the required analysis, in which developments will the PHA make special efforts to assure access for lower-income families? (select all that apply)

- Not applicable: results of analysis did not indicate a need for such efforts
- List (any applicable) developments below:

7) Resident Police Officers (RPO)

Pursuant to a Memorandum of Understanding between NYCHA and the New York City Police Department (NYPD), the Authority provides apartments to Police Officers and their families at rents comparable to NYCHA resident employee rents. The presence of a Police Officer who resides in a NYCHA development enhances security, fosters a greater understanding between NYCHA residents and the Police, and provides role models for the youth residing in that development. A Resident Police Officer (RPO) is required to perform a minimum of eight hours of Community Service per month. This Community Service may not include police work, law enforcement, Tenant Patrol or other security-related work.

NYCHA currently has 10 RPOs living in the following NYCHA developments: Amsterdam, Clinton, Gowanus, Latimer Gardens, Mott Haven, Throggs Neck, Two Bridges, Vladeck, Wagner, and Wise Towers.

B. Section 8

(1) Eligibility

a. What is the extent of screening conducted by the PHA? (select all that apply)

- Criminal or drug-related activity only to the extent required by law or regulation
- Criminal and drug-related activity, more extensively than required by law or regulation
- More general screening than criminal and drug-related activity (list factors below)
- Other (list below)

b. Yes No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

c. Yes No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

d. Yes No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

NYCHA performs criminal background checks by examining the public conviction records of the New York State Office of Court Administration and the Dru Sjodin National Sex Offender Public Website.

e. Indicate what kinds of information you share with prospective landlords? (select all that apply)

- Criminal or drug-related activity
- Other (describe below)

If requested, NYCHA will provide the property owner with the voucher holder's last address.

(2) Waiting List Organization

a. With which of the following program waiting lists is the section 8 tenant-based assistance waiting list merged? (select all that apply)

- None
- Federal public housing
- Federal moderate rehabilitation

- Federal project-based certificate program
- Other federal or local program (list below)

b. Where may interested persons apply for admission to section 8 tenant-based assistance? (select all that apply)

- PHA main administrative office
- Other (list below)

NYCHA's waitlist is currently closed. However, if the waitlist were to reopen, persons interested in applying may do so online.

(3) Search Time

a. Yes No: Does the PHA give extensions on standard 60-day period to search for a unit?

If yes, state circumstances below:

NYCHA's initial voucher term is 120 days, which exceeds HUD's standard 60-day period. Voucher holders may request an extension to this term.

(4) Admissions Preferences

a. Income targeting

Yes No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 75 percent of all new admissions to the section 8 program to families at or below 30 percent of median area income?

b. Preferences

1. Yes No: Has the PHA established preferences for admission to section 8 tenant-based assistance? (other than date and time of application) (if no, skip to subcomponent (5) Special purpose Section 8 assistance programs)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard Housing
- Homelessness
- High rent burden (rent is > 50 percent of income)

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in your jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)

- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

Preferences	Description
1	Homeless Referrals from NYC agencies
2	Victim of Domestic Violence Intimidated Witness referred by prosecutorial or law enforcement agency
3	NYCHA residents required to move because their unit is not habitable, they are at risk of displacement, or they are extremely under occupied in their current apartment
4	Mobility Impaired and Residing in Inaccessible Housing
5	Elderly persons and persons with disabilities
6	All other applicants

3. If the PHA will employ admissions preferences, please prioritize by placing a “1” in the space that represents your first priority, a “2” in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use “1” more than once, “2” more than once, etc.

Former Federal preferences

- 1 Homelessness
- 2 Victims of Domestic Violence
Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
Substandard Housing
High Rent Burden

Other preferences (select all that apply)

- Working families and those unable to work because of age or disability
- Veterans and veterans’ families
- Residents who live and/or work in your jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

Preferences	Description
1	Homeless Referrals from NYC agencies
2	Victim of Domestic Violence Intimidated Witness referred by prosecutorial or law enforcement agency
3	NYCHA residents required to move because their unit is not habitable, they are at risk of displacement, or they are extremely under occupied in their current apartment
4	Mobility Impaired and Residing in Inaccessible Housing
5	Elderly persons and persons with disabilities
6	All other applicants

4. Among applicants on the waiting list with equal preference status, how are applicants selected?

(select one)

- Date and time of application
- Drawing (lottery) or other random choice technique

5. If the PHA plans to employ preferences for “residents who live and/or work in the jurisdiction”

(select one)

- This preference has previously been reviewed and approved by HUD
- The PHA requests approval for this preference through this PHA Plan

6. Relationship of preferences to income targeting requirements: (select one)

- The PHA applies preferences within income tiers
- Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

(5) Special Purpose Section 8 Assistance Programs

In which documents or other reference materials are the policies governing eligibility, selection, and admissions to any special-purpose section 8 program administered by the PHA contained?

(select all that apply)

- The Section 8 Administrative Plan
- Briefing sessions and written materials
- Other (list below)

b. How does the PHA announce the availability of any special-purpose section 8 programs to the public?

- Through published notices
- Other (list below)

NYCHA receives direct referrals for special programs. NYCHA partners with agencies such as the Department of Veterans Affairs (“VA”), New York City Department of Veterans’ Services (“DVS”), and Administration for Children Services (“ACS”) as required for the special program type.

Veterans Affairs Supportive Housing (“VASH”)

The Authority has a total allocation of 3,113 vouchers. NYCHA is administering VASH vouchers in partnership with the Department of Veterans Affairs (“VA”) and the New York City Department of Veterans’ Services (“DVS”). Applicants are identified, screened, and referred by the VA and DVS to NYCHA for eligibility certification and voucher issuance.

2. Financial Resources

[24 CFR Part 903.7 (c)]

Financial Resources: 2020 Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2020 grants)		
a) Public Housing Operating Fund	\$975,293,465	<i>Public Housing Operations</i>
b) Public Housing Capital Fund (2018 Grant)	\$548,996,647	<i>Public Housing Maintenance</i>
c) Annual Contributions for Section 8 Tenant-Based Assistance	\$1,158,386,292	<i>Section 8 Program Operations</i>
Other Federal Grants (list below)		
FSS Self Sufficiency	\$208,000	<i>Self Sufficiency Services</i>
2. Prior Year Federal Grants (unobligated funds only) (as of April 31, 2019)		
FY 2017 Capital Fund	\$28,665,144	<i>Modernization</i>
FY 2018 Capital Fund	\$165,302,837	<i>Modernization</i>
FY 2019 Capital Fund	\$542,964,897	
Replacement Housing Factor	\$2,113,970	<i>New affordable housing construction</i>
HOPE VI Revitalization	\$34,943	<i>New construction at Prospect Plaza</i>
Public Housing Development Grants	\$420,081	<i>Modernization of former City/State developments</i>
3. Public Housing Dwelling Rental Income (includes City and State Developments)	\$1,044,863,494	<i>Public housing operations, safety and security, and supportive services</i>
4. Other income (list below)		
Other Revenue from Operations (includes City and State Developments)	\$20,161,100	<i>Public Housing Operations</i>
Interest Income	\$11,834,226	<i>Public Housing Operations</i>
Other Categorical Grants	\$1,175,000	<i>Improve residents' self-sufficiency, Summer intern program, and support for Resident Watch program</i>
Miscellaneous Income (includes Debt Service)	\$255,058,834	<i>Public housing operations, safety and security, and supportive services</i>
Total Resources	\$4,726,813,786	

3. Rent Determination

[24 CFR Part 903.7 (d)]

Public Housing

a. Use of discretionary policies: (select one)

- The PHA will not employ any discretionary rent-setting policies for income-based rent in public housing. Income-based rents are set at the higher of 30 percent of adjusted monthly income, 10 percent of unadjusted monthly income, the welfare rent, or minimum rent (less HUD mandatory deductions and exclusions). (If selected, skip to sub-component (2))

---or---

- The PHA employs discretionary policies for determining income-based rent (If selected, continue to question b.)

b. Minimum Rent

1. What amount best reflects the PHA's minimum rent? (select one)

- \$0
 \$1-\$25
 \$26-\$50

2. Yes No: Has the PHA adopted any discretionary minimum rent hardship exemption policies?

c. Rents set at less than 30 percent than adjusted income

1. Yes No: Does the PHA plan to charge rents at a fixed amount or percentage less than 30 percent of adjusted income?

d. Which of the discretionary (optional) deductions and/or exclusions policies does the PHA plan to employ? (select all that apply)

- For the earned income of a previously unemployed household member

NYCHA has implemented the earned income disallowance set forth in 42 U.S.C. §1437a(d).

- For increases in earned income
 Fixed amount (other than general rent-setting policy)
If yes, state amount/s and circumstances below:
 Fixed percentage (other than general rent-setting policy)
If yes, state percentage/s and circumstances below:
 For household heads
 For other family members
 For transportation expenses
 For the non-reimbursed medical expenses of non-disabled or non-elderly families
 Other (describe below)

e. Ceiling rents

1. Do you have ceiling rents? (rents set at a level lower than 30 percent of adjusted income)
(select one)
- Yes for all developments
 - Yes, but only for some developments
 - No

f. Rent re-determinations:

1. Between income reexaminations, how often must tenants report changes in income or family composition to the PHA such that the changes result in an adjustment to rent? (select all that apply)

- Never
- At family option
- Any time the family experiences an income increase
Due to addition of a family member or when there is an interim rent reduction with income subsequently restored.
- Any time a family experiences an income increase above a threshold amount or percentage:
(if selected, specify threshold) _____
- Other (list below)
Decreases in family income must be reported as well as any change in family composition.

g. Yes No: Does the PHA plan to implement individual savings accounts for residents (ISAs) as an alternative to the required 12-month disallowance of earned income and phasing in of rent increases in the next year?

(2) Flat Rents

1. In setting the market-based flat rents, what sources of information did the PHA use to establish comparability? (select all that apply.)

- The section 8 rent reasonableness study of comparable housing
- Survey of rents listed in local newspaper
- Survey of similar unassisted units in the neighborhood
- Other (list/describe below)

NYCHA sets flat rents based on 80% of the applicable fair market rental established under 42 U.S.C. § 1437f(c). This is an allowable rent structure under 42 U.S.C. § 1437a(a)(2)(B)(i)(I)(aa).

All current public housing residents, newly-admitted public housing residents or transferring public housing residents have the option of paying either the flat rent amount shown in the table on the next page or an income-based rent (calculated at the higher of: 30 % of adjusted household income, 10% of gross household income, or the welfare rent), whichever is lower. NYCHA automatically charges residents the lower rent.

Effective January 1, 2020: Newly-admitted public housing residents or transferring public housing residents who will pay flat rent rather than income-based rent will pay the new flat rent amounts listed in the table below.

Effective 1st Quarter 2020 Annual Reviews (with a new rent effective date of May 1, 2020): Current public housing residents whose family's annual income is reviewed in this quarter who will

pay flat rent rather than income-based rent will pay the new flat rent amounts listed in the table below.

Apartment Size	FY 2020 Fair Market Rent	NYCHA's Flat Rent 80% of FY 2020 Fair Market Rent
Studio	\$1,665	\$1,332
1 Bedroom	\$1,714	\$1,371
2 Bedroom	\$1,951	\$1,561
3 Bedroom	\$2,472	\$1,978
4 Bedroom	\$2,643	\$2,114
5 Bedroom	\$3,039	\$2,431
6 Bedroom	\$3,436	\$2,749

Section 8 Tenant-Based Assistance

(1) Payment Standards

Describe the voucher payment standards and policies.

a. What is the PHA's payment standard? (select the category that best describes your standard)

- At or above 90 percent but below 100 percent of FMR
- 100 percent of FMR
- Above 100 percent but at or below 110 percent of FMR
- Above 110 percent of FMR (if HUD approved; describe circumstances below)

b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply)

- FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area
- The PHA has chosen to serve additional families by lowering the payment standard
- Reflects market or submarket
- Other (list below)

c. If the payment standard is higher than FMR, why has the PHA chosen this level? (select all that apply)

- FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
- Reflects market or submarket
- To increase housing options for families
- Other (list below)

d. How often are payment standards reevaluated for adequacy? (select one)

- Annually

Other (list below)

e. What factors will the PHA consider in its assessment of the adequacy of its payment standard?
(select all that apply)

- Success rates of assisted families
- Rent burdens of assisted families
- Other (list below)

Federal budget appropriation and standards adopted by local Section 8 administrators.

(2) Minimum Rent

a. What amount best reflects the PHA's minimum rent? (select one)

- \$0
- \$1-\$25
- \$26-\$50

b. Yes No: Has the PHA adopted any discretionary minimum rent hardship exemption policies? (if yes, list below)

Exemption policies are described in the Section 8 Administrative Plan, which is a Supporting Document available for review. Members of the public wishing to examine the Supporting Documents may do so, during regular business hours, by contacting NYCHA's central office, located at 250 Broadway, New York, New York, at (212) 306-3701 to schedule an appointment to review the documents. The document is also available on NYCHA's webpage at <http://www1.nyc.gov/assets/nycha/downloads/pdf/Housing-Choice-Voucher-Program.pdf>.

4. Operation and Management

[24 CFR Part 903.7 (e)]

A. PHA Management Structure

- An organization chart showing the PHA’s management structure and organization is attached. (**Attachment I**)

B. HUD Programs Under PHA Management

List Federal programs administered by the PHA, number of families served at the beginning of the upcoming fiscal year, and expected turnover in each. (Use “NA” to indicate that the PHA does not operate any of the programs listed below.)

Program Name	Units or Families Served at Year Beginning 2019	Expected Turnover
Public Housing	173,160	4,350
Section 8 Vouchers	85,358	4.7%
ROSS Service Coordinator Grant 2015: To enhance self-sufficiency by accessing employment and other economic-related resources and opportunities to NYCHA residents through geographically-based service coordination.	488 services provided to ROSS residents from reporting period of 01/01/18 to 12/31/18	N/A
Other Federal Programs (list individually)		
City Harvest Mobile Market Program	272,805 lbs. of produce to approximately 7,500 participants monthly	N/A
Elderly Safe at Home	An average of 176 residents served monthly	N/A
Senior Resident Advisor	An average of 439 residents are served monthly	N/A
Family Self Sufficiency Program: A HUD initiative that promotes economic self-sufficiency among participating families by referring them to educational,	950 enrollments as of 12/31/18	N/A

<p>career counseling, money management, job training as well as job placement services. Participants receive a savings account which grows as the family's earned income increases. Upon completion of the five-year FSS Contract of Participation, the family receives the money accumulated in the account, provided that the participant is employed, and no family member has received cash public assistance in the preceding twelve months.</p>		
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C. Management and Maintenance Policies

(1) Public Housing Maintenance and Management: (list below)

- NYCHA Management Manual
- NYCHA Application and Tenancy Administration Manual
- NYCHA Tenant Selection and Assignment Plan (TSAP) Manual
- NYCHA Human Resources Manual
- NYCHA Emergency Procedure Manual
- NYCHA Contract Procedure Resolution
- NYCHA General Memoranda
- NYCHA Deputy General Manager Memoranda
- NYCHA Standard Procedures

(2) Section 8 Management: (list below)

- NYCHA Leased Housing Department Memoranda
- NYCHA Section 8 Administrative Plan
- NYCHA Housing Applications Manual

Members of the public wishing to examine the Management and Maintenance Policies may do so, during Regular business hours, by contacting NYCHA's central office, located at 250 Broadway, New York, New York, at (212) 306-3701 to schedule an appointment to review the documents.

5. PHA Grievance Procedures

[24 CFR Part 903.7 (f)]

A. Public Housing

1. Yes No: Has the PHA established any written grievance procedures in addition to federal requirements found at 24 CFR Part 966, Subpart B, for residents of public housing?

If yes, list additions to federal requirements below:

2. Which PHA office should residents or applicants to public housing contact to initiate the PHA grievance process? (select all that apply)

- PHA main administrative office
- PHA development management offices
- Other (list below)

B. Section 8 Tenant-Based Assistance

1. Yes No: Has the PHA established informal review procedures for applicants to the Section 8 tenant-based assistance program and informal hearing procedures for families assisted by the Section 8 tenant-based assistance program in addition to federal requirements found at 24 CFR 982?

If yes, list additions to federal requirements below:

2. Which PHA office should applicants or assisted families contact to initiate the informal review and informal hearing processes? (select all that apply)

- PHA main administrative office
 Other (list below)

*Written request to the Leased Housing Department.
Calling the Customer Contact Center*

6. Designated Housing for Elderly and Disabled Families

[24 CFR Part 903.7 (i)]

1. Yes No: Has the PHA designated or applied for approval to designate or does the PHA plan to apply to designate any public housing for occupancy only by the elderly families or only by families with disabilities, or by elderly families and families with disabilities or will apply for designation for occupancy by only elderly families or only families with disabilities, or by elderly families and families with disabilities as provided by section 7 of the U.S. Housing Act of 1937 (42 U.S.C. 1437e) in the upcoming fiscal year?

On July 21, 2017, HUD approved NYCHA's request to continue to extend the designation of the elderly-only developments and buildings for an additional two years. NYCHA's request to renew the Designated Housing Plan was approved on July 31, 2019.

Designation of Public Housing Activity Description
1a. Development name: Louis Armstrong I 1b. Development (project) number: NY005012100
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 95 7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Baruch Houses Addition 1b. Development (project) number: NY005010600
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 197 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Mary McLeod Bethune Gardens 1b. Development (project) number: NY005010030
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>

<p>3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/></p>
<p>4. Date this designation approved, submitted, or planned for submission: July 31, 2019</p>
<p>5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?</p>
<p>6. Number of units affected: 210 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development</p>
<p>Designation of Public Housing Activity Description</p>
<p>1a. Development name: Borinquen Plaza I 1b. Development (project) number: NY005012430</p>
<p>2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/></p>
<p>3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/></p>
<p>4. Date this designation approved, submitted, or planned for submission: July 31, 2019</p>
<p>5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?</p>
<p>6. Number of units affected: 144 7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development</p>
<p>Designation of Public Housing Activity Description</p>
<p>1a. Development name: Boston Road Plaza 1b. Development (project) number: NY005010390</p>
<p>2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/></p>
<p>3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/></p>
<p>4. Date this designation approved, submitted, or planned for submission: July 31, 2019</p>
<p>5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?</p>

6. Number of units affected: 235 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Bronx River Addition 1b. Development (project) number: NY005010320
1. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
2. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
3. 4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 226 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Reverend Randolph Brown 1b. Development (project) number: NY005012520
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 200 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Cassidy-Lafayette 1b. Development (project) number: NY005011170

<p>2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/></p>
<p>3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/></p>
<p>4. Date this designation approved, submitted, or planned for submission: July 31, 2019</p>
<p>5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?</p>
<p>6. Number of units affected: 380 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development</p>
<p>Designation of Public Housing Activity Description</p>
<p>1a. Development name: Chelsea Addition 1b. Development (project) number: NY005011340</p>
<p>2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/></p>
<p>4. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/></p>
<p>4. Date this designation approved, submitted, or planned for submission: July 31, 2019</p>
<p>5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?</p>
<p>6. Number of units affected: 96 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development</p>
<p>Designation of Public Housing Activity Description</p>
<p>1a. Development name: Claremont Parkway-Franklin Avenue 1b. Development (project) number: NY005013420</p>
<p>2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/></p>
<p>3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/></p>

4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 116 7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: College Avenue-East 165th Street 1b. Development (project) number: NY005013080
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 95 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: College Point Rehab 1b. Development (project) number: NY005011860
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 13 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development

Designation of Public Housing Activity Description
1a. Development name: John Conlon LIHFE Towers 1b. Development (project) number: NY005010910
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 216 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Edward Corsi 1b. Development (project) number: NY005010640
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 171 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Davidson 1b. Development (project) number: NY005013420
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one)

Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 56 7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: East 152nd Street-Courtlandt Avenue 1b. Development (project) number: NY005010280
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 130 7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Fort Washington Avenue Rehab 1b. Development (project) number: NY005013090
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 226

7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Marcus Garvey (Group A) 1b. Development (project) number: NY005012520
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 86 7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Glebe Avenue-Westchester Avenue 1b. Development (project) number: NY005010670
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 132 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Bernard Haber 1b. Development (project) number: NY005011660
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/>

Occupancy by families with disabilities <input type="checkbox"/>
Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 380 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Harborview Terrace 1b. Development (project) number: NY005010220
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 195 7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Hope Gardens 1b. Development (project) number: NY005012470
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one)

<input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 130 7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: International Tower 1b. Development (project) number: NY005010910
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 159 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Kingsborough Extension 1b. Development (project) number: NY005010100
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 184 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Mayor Fiorello H. LaGuardia Addition

1b. Development (project) number: NY005010760
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 150 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Leavitt Street-34th Avenue 1b. Development (project) number: NY005011860
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 83 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Lower East Side I Infill 1b. Development (project) number: NY005011000
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>

4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 72 7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Justice Thurgood Marshall Plaza 1b. Development (project) number: NY005010030
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 180 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Judge Max Meltzer Tower 1b. Development (project) number: NY005011000
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 231

7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Middletown Plaza 1b. Development (project) number: NY005010340
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 179 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Mayor John Purroy Mitchel 1b. Development (project) number: NY005011450
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 165 7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Morris Park Senior Citizens Home 1b. Development (project) number: NY005012410
2. Designation type:

Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 97 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Morrisania Air Rights 1b. Development (project) number: NY005012670
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 300 7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: New Lane Area 1b. Development (project) number: NY005010350
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one)

<input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 277 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Palmetto Gardens 1b. Development (project) number: NY005012470
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 115 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: P.S. 139 (Conversion) 1b. Development (project) number: NY005011110
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 125 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Randall Avenue – Balcom Avenue

1b. Development (project) number: NY005010630
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 252 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: William Reid Apartments 1b. Development (project) number: NY005011670
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 230 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Ira S. Robbins Plaza 1b. Development (project) number: NY005011390
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>

4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 150 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Eleanor Roosevelt I 1b. Development (project) number: NY005011350
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 159 7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Shelton Houses 1b. Development (project) number: NY005010910
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 155

7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Sondra Thomas Apartments 1b. Development (project) number: NY005011270
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 87 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Peter Stuyvesant Gardens II 1b. Development (project) number: NY005012210
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 150 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Surfside Gardens 1b. Development (project) number: NY005011700
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/>

Occupancy by families with disabilities <input type="checkbox"/>
Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 270
7. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Twin Parks East (Site 9) 1b. Development (project) number: NY005012270
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 219
7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Union Avenue-East 163rd Street 1b. Development (project) number: NY005013420
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan

<input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan? 6. Number of units affected: 200 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: UPACA (Site 5) 1b. Development (project) number: NY005012410
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 200 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: UPACA (Site 6) 1b. Development (project) number: NY005012410
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 150 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
1a. Development name: Van Dyke II 1b. Development (project) number: NY005011680

<p>2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/></p>
<p>3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/></p>
<p>4. Date this designation approved, submitted, or planned for submission: July 31, 2019</p>
<p>5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?</p>
<p>6. Number of units affected: 112 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development</p>
<p>Designation of Public Housing Activity Description</p>
<p>1a. Development name: Vandalia Avenue 1b. Development (project) number: NY005011940</p>
<p>2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/></p>
<p>3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/></p>
<p>4. Date this designation approved, submitted, or planned for submission: July 31, 2019</p>
<p>5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?</p>
<p>6. Number of units affected: 293 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development</p>
<p>Designation of Public Housing Activity Description</p>
<p>1a. Development name: West Brighton II 1b. Development (project) number: NY005010130</p>
<p>2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/></p>
<p>3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/></p>
<p>4. Date this designation approved, submitted, or planned for submission: July 31, 2019</p>

<p>5. If approved, will this designation constitute a (select one)</p> <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
<p>6. Number of units affected: 144</p> <p>7. Coverage of action (select one)</p> <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
<p>1a. Development name: West Tremont Avenue-Sedgwick Avenue</p> <p>1b. Development (project) number: NY005010450</p>
<p>2. Designation type:</p> <p>Occupancy by only the elderly <input checked="" type="checkbox"/></p> <p>Occupancy by families with disabilities <input type="checkbox"/></p> <p>Occupancy by only elderly families and families with disabilities <input type="checkbox"/></p>
<p>3. Application status (select one)</p> <p>Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/></p> <p>Submitted, pending approval <input type="checkbox"/></p> <p>Planned application <input type="checkbox"/></p>
<p>4. Date this designation approved, submitted, or planned for submission: July 31, 2019</p>
<p>5. If approved, will this designation constitute a (select one)</p> <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
<p>6. Number of units affected: 148</p> <p>7. Coverage of action (select one)</p> <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description
<p>1a. Development name: Gaylord White</p> <p>1b. Development (project) number: NY005010090</p>
<p>2. Designation type:</p> <p>Occupancy by only the elderly <input checked="" type="checkbox"/></p> <p>Occupancy by families with disabilities <input type="checkbox"/></p> <p>Occupancy by only elderly families and families with disabilities <input type="checkbox"/></p>
<p>3. Application status (select one)</p> <p>Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/></p> <p>Submitted, pending approval <input type="checkbox"/></p> <p>Planned application <input type="checkbox"/></p>
<p>4. Date this designation approved, submitted, or planned for submission: July 31, 2019</p>
<p>5. If approved, will this designation constitute a (select one)</p> <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
<p>6. Number of units affected: 248</p> <p>7. Coverage of action (select one)</p> <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
Designation of Public Housing Activity Description

1a. Development name: Carter G. Woodson 1b. Development (project) number: NY005011680
2. Designation type: Occupancy by only the elderly <input checked="" type="checkbox"/> Occupancy by families with disabilities <input type="checkbox"/> Occupancy by only elderly families and families with disabilities <input type="checkbox"/>
3. Application status (select one) Approved; included in the PHA's Designation Plan <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date this designation approved , submitted, or planned for submission: July 31, 2019
5. If approved, will this designation constitute a (select one) <input type="checkbox"/> New Designation Plan <input checked="" type="checkbox"/> Revision of a previously-approved Designation Plan?
6. Number of units affected: 407 7. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development

7. Community Service and Self-Sufficiency

[24 CFR Part 903.7 (1)]

A. PHA Coordination with the Welfare (“TANF”) Agency

1. Cooperative agreements:

- Yes No: Has the PHA has entered into a cooperative agreement with the TANF Agency, to share information and/or target supportive services (as contemplated by section 12(d)(7) of the Housing Act of 1937)?

If yes, what was the date that agreement was signed?

- Data Sharing – March 28, 2001
- Electronic Funds Transfer – April 9, 1998
- Data Sharing – December 5, 2014
- Data Sharing – July 14, 2015
- Data Sharing – April 16, 2018
- Data Sharing – March 11, 2019

2. Other coordination efforts between the PHA and TANF agency (select all that apply)

- Client referrals
- Information sharing regarding mutual clients (for rent determinations and otherwise)
- Coordinate the provision of specific social and self-sufficiency services and programs to eligible families
- Jointly administer programs
- Partner to administer a HUD Welfare-to-Work voucher program
- Joint administration of other demonstration program
- Other (describe)

B. Services and programs offered to residents and participants

(1) General

a. Self-Sufficiency Policies

Which, if any of the following discretionary policies will the PHA employ to enhance the economic and social self-sufficiency of assisted families in the following areas? (Select all that apply)

- Public housing rent determination policies:

For the earned income of a previously unemployed household member, NYCHA has implemented the Earned Income Disallowance set forth in 42 U.S.C. §1437a(d).

- Public housing admissions policies:

Working family priorities are assigned by income tier with the first number representing Tier III (households with incomes between 51% and 80% AMI), followed by Tier II (households with incomes between 31% to 50% AMI), and then Tier I (households with incomes at 30% AMI or less).

- Section 8 admissions policies
- Preference in admission to section 8 for certain public housing families
- Preferences for families working or engaging in training or education programs for

non-housing programs operated or coordinated by the PHA

- Preference/eligibility for public housing homeownership option participation
- Preference/eligibility for section 8 homeownership option participation
- Other policies (list below)

b. Economic and Social self-sufficiency programs

Yes No: Does the PHA coordinate, promote or provide any programs to enhance the economic and social self-sufficiency of residents? (If “yes”, complete the following tables; if “no” skip to sub-component 2, Family Self Sufficiency Programs. The position of the table may be altered to facilitate its use.)

Program Name	Units or Families Served at Year Beginning 2019	Expected Turnover		
<p>ROSS Service Coordinator Grant 2015: To enhance self-sufficiency by accessing employment and other economic-related resources and opportunities to NYCHA residents through geographically-based service coordination.</p>	488 services provided to ROSS residents from reporting period of 01/01/18 to 12/31/18	N/A		
<p>Family Self Sufficiency Program: A HUD initiative that promotes economic self-sufficiency among participating families by referring them to educational, career counseling, money management, job training as well as job placement services. Participants receive a savings account which grows as the family’s earned income increases. Upon completion of the five-year FSS Contract of Participation, the family receives the money accumulated in the account, provided that the participant is employed, and no family member has received cash public assistance in the preceding twelve months.</p>	950 program enrollments as of 12/31/18	N/A		
Services and Programs				
Program Name & Description (including location, if appropriate)	Estimated Size	Allocation Method (waiting list/random selection/specific criteria/other)	Access (development office / PHA main office / office / another provider name)	Eligibility (public housing or section 8 participants or both)
NYCHA’s Office of Resident Economic Empowerment and Sustainability (REES) Intake & Assessment				

<p>REES and Partner Information Sessions: Participants receive an orientation to REES and REES partner services, as well as an individual assessment and referrals to REES partner providers for appropriate services</p>	<p>3,306 Public Housing residents attended an information session from reporting period 01/01/18 to 12/31/18</p>	<p>Self-referred, unemployed and under-employed public housing & Section 8 residents</p>	<p>REES offices located at central office location in Downtown Brooklyn / Offsite information sessions once a month at NYCHA community centers</p>	<p>Public Housing Residents/ Section 8 Residents</p>
<p>REES Hotline Activity: The REES hotline facilitates over the phone resident self-refers to partner programs and serves as a resource for residents to RSVP for upcoming events, testing and information sessions.</p>	<p>22,114 calls handled from reporting period 01/01/18 to 12/31/18</p>	<p>Self-referred, unemployed and under-employed public housing & section 8 residents</p>	<p>Via phone</p>	<p>Public Housing /Section 8 residents</p>
<p>REES Microsite Activity: The microsite provides information about economic opportunity services, events and job opportunities available through REES and its partners. Residents can use the site to take action and “self-refer” to programs through downloadable referral slips and RSVP for events.</p>	<p>134,558 unique visitors from reporting period 01/01/18 to 12/31/18</p>	<p>Self-referred, unemployed and under-employed public housing & section 8 residents</p>	<p>Via REES’ microsite: www.opportunitynycha.org</p>	<p>Public Housing / Section 8 residents</p>
<p>REES Job Placement</p>				
<p>Direct job placement facilitated by REES through the Section 3 mandate, the NYCHA REP policy, the NYCHA Resident Training Academy, and outside employers</p>	<p>894 direct job placements from reporting period 01/01/18 to 12/31/18</p>	<p>Self-referred unemployed and under-employed public housing residents</p>	<p>REES offices located at central office location in Downtown Brooklyn</p>	<p>Public Housing Residents</p>
<p>Section 3: A HUD-mandated regulation whose purpose is to ensure that employment and other economic opportunities generated by Federal assistance to public housing authorities shall, to the greatest extent feasible, be directed to public housing</p>	<p>397 Projected Hires on contracts award from reporting period 01/01/18 to 12/31/18</p>	<p>Public Housing and Section 3 Residents</p>	<p>REES offices at Downtown Brooklyn, Contractor and work locations throughout NYCHA</p>	<p>Public Housing & Section 3 residents</p>

<p>residents and other low and very low-income persons.</p> <p>Resident Employment Program (REP): An alternative program for implementing Section 3. Established on January 1, 2001, REP requires that 15% of the total labor cost (including fringe benefits) of a contract in excess of \$500,000 for modernization, new construction and building maintenance work taking place at public housing developments, be expended on resident hiring and/or training.</p>				
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<p>Jobs Plus: Through 10 coordinated sites, the Jobs Plus employment program seeks to raise the level of employment for the residents of selected developments by increasing family income through: Employment related services Rent incentives that help make work pay Neighbor to neighbor support to work</p> <ul style="list-style-type: none"> • Jobs-Plus is administered by NYCHA, HRA, CEO and OFE • 1 of the 10 Jobs-Plus sites is funded through the HUD Jobs Plus Initiative Grant 	<p>1,667 Placements from reporting period 01/01/18 to 12/31/18</p>	<p>Public Housing Residents</p>	<ul style="list-style-type: none"> • East Harlem – Hostos Community College • South Bronx Site I – Bronx Works • South Bronx Site II –East Side Settlement House • Western Queens – Urban Upbound • Lower East Side – Henry Street Settlement House • Central Brooklyn – Bedford Stuyvesant Restoration Corporation • Brownsville Brooklyn-Grant Associates • Northwest Bronx – Goodwill Industries • Staten Island – Arbor ResCare • Offsite location serving Penn-Wortman 	<p>Public Housing Residents</p> <p>Must be a public housing resident of target site location.</p>
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REES Connection to Services				
<p>Recruitment for Cohort Based Services and program enrollment: Services in the following categories are offered through REES partners in the five boroughs</p> <ul style="list-style-type: none"> • Vocational Training • Adult Education • Financial Education • Business Development 	870 residents enrolled in classes and trainings as of reporting period 01/01/18 to 12/31/18	Residents are recruited in time-bound, targeted recruitment campaigns that may include information sessions, pre-screening events, and targeted mailings, phone-banking and web-based outreach. Recruitment is based on minimum criteria of each program	Services provided at partner locations	Public Housing Residents/ Section 8 residents
<p>Referrals to Ongoing Services: Services in the following categories are offered through REES partners in the five boroughs</p> <ul style="list-style-type: none"> • Vocational Training • Adult Education • Financial Counseling • SNAP Access • Workforce Development • Business Planning 	1,534 unique residents were referred to ongoing services from reporting period 01/01/18 to 12/31/18	Residents are referred by NYCHA staff from multiple departments, including REES, through a web-based system that notifies providers to engage with a referred resident. There are no minimum criteria other than the resident's consent to participate in the service provision.	Services provided at partner locations	Public Housing / Section 8
<p>NYCHA Resident Training Academy (NRTA): Provides employment-focused training and job placement assistance to NYCHA residents in the constructional and janitorial fields (supported by the Robin Hood Foundation)</p>	261 graduates in the NRTA program year as of reporting period 01/01/18 to	Public housing residents are recruited through multiple outreach channels and complete an initial pre-screen with REES staff.	City Technical College/ Brooklyn Workforce Innovations	Public Housing Residents

	12/31/18	Program referrals are based on testing, pre-screening, interest, and other eligibility requirements and qualifications.		
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2) Family Self Sufficiency Program

a. Participation Description

Family Self Sufficiency (“FSS”) Participation		
Program	Required Number of Participants (start of FY 2013 Estimate)	Actual Number of Enrolled Participants (As of: 12/31/18)
Public Housing	0	0
Section 8	0	950

- b. Yes No: If the PHA is not maintaining the minimum program size required by HUD, does the most recent FSS Action Plan address the steps the PHA plans to take to achieve at least the minimum program size?
If no, list steps the PHA will take below:

Since the fall of 2010, REES has operated the Housing Choice Voucher (“HCV”) (Section 8) Family Self Sufficiency (“FSS”) program. As of December 31, 2018, the program has enrolled 950 participants, of which 418 or 44% have escrow accounts averaging over \$4,000 per participant in escrow. NYCHA was awarded a 2018 Family Self Sufficiency grant for three (3) Coordinators. In 2018, the program continued to outreach to residents participating in the HUD Family Unification Program (FUP) demonstration initiative for youth who have aged out of foster care. In addition to receiving the standard FSS benefits, FUP youth who enroll in FSS can extend the duration of their NYCHA Section 8 voucher from three to five years. Additionally, in 2018, the program increased efforts to recruit residents converted to Section 8 tenants as part of the Rental Assistance Demonstration Program (RAD).

C. Welfare Benefit Reductions

1. The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)

- Adopting appropriate changes to the PHA’s public housing rent determination policies and train staff to carry out those policies
- Informing residents of new policy on admission and reexamination
- Actively notifying residents of new policy at times in addition to admission and reexamination.
- Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
- Establishing a protocol for exchange of information with all appropriate TANF agencies
- Other: (list below)

8. Safety and Crime Prevention

[24 CFR Part 903.7 (m)]

A. Need for measures to ensure the safety of public housing residents

1. Describe the need for measures to ensure the safety of public housing residents (select all that apply)

- High incidence of violent and/or drug-related crime in some or all of the PHA's developments
- High incidence of violent and/or drug-related crime in the areas surrounding or adjacent to the PHA's developments
- Residents fearful for their safety and/or the safety of their children
- Observed lower-level crime, vandalism and/or graffiti
- People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug-related crime
- Other (describe below)

NYCHA recognizes the need to ensure the safety of public housing residents and works closely with the New York City Police Department's Housing Bureau. It is the mission of the New York City Police Department to enhance the quality of life in our City by working in partnership with the community and in accordance with constitutional rights to enforce the laws, preserve the peace, reduce fear, and provide for a safe environment. The Housing Bureau has developed a one-year plan designed to increase the safety and security of residents of public housing. The Strategic Plan for the New York City Police Department's Housing Bureau is included in the Supporting Documents of the Annual Plan.

2. What information or data did the PHA use to determine the need for PHA actions to improve safety of residents. (select all that apply)

- Safety and security survey of residents
- Analysis of crime statistics over time for crimes committed "in and around" public housing authority
- Analysis of cost trends over time for repair of vandalism and removal of graffiti
- Resident reports
- PHA employee reports
- Police reports
- Demonstrable, quantifiable success with previous or ongoing anticrime/anti-drug programs
- Other (describe below)

3. Which developments are most affected? (list below)

The Strategic Plan for the New York City Police Department's Housing Bureau is included in the Supporting Documents of the Annual Plan.

B. Crime and Drug Prevention activities the PHA has undertaken or plans to undertake in the next PHA fiscal year

1. List the crime prevention activities the PHA has undertaken or plans to undertake: (select all that apply)

- Contracting with outside and/or resident organizations for the provision of crime- and/or drug-prevention activities

- Crime Prevention Through Environmental Design
- Activities targeted to at-risk youth, adults, or seniors
- Volunteer Resident Patrol/Block Watchers Program
- Other (describe below)

2. Which developments are most affected? (list below)

The Strategic Plan for the New York City Police Department's Housing Bureau is included in the Supporting Documents of the Annual Plan.

C. Coordination between PHA and the police

1. Describe the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities: (select all that apply)

- Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plan
- Police provide crime data to housing authority staff for analysis and action
- Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)
- Police regularly testify in and otherwise support eviction cases
- Police regularly meet with the PHA management and residents
- Agreement between PHA and local law enforcement agency for provision of above-baseline law enforcement services
- Other activities (list below)

2. Which developments are most affected? (list below)

The Strategic Plan for the New York City Police Department's Housing Bureau is included in the Supporting Documents of the Annual Plan.

D. Any activities, services, or programs provided or offered by an agency, either directly or in partnership with other service providers, to child or adult victims of domestic violence, dating violence, sexual assault, or stalking;

NYCHA makes referrals to the following organizations:

- **Sanctuary for Families** is a New York City-based non-profit organization dedicated to aiding victims of domestic violence and their children. Its services include crisis intervention, emergency and transitional shelter, legal assistance and representation, adult and child counseling, and long-term follow-up. Its Legal Center is one of the largest providers of free legal services exclusively for victims of domestic violence, sex trafficking, and other forms of gender-based violence in the United States.
- **Safe Horizon** is a victim assistance organization designed to provide support, prevent violence, and promote justice for victims of crime and abuse. Its programs help survivors of domestic violence rebuild their lives through counseling, short term housing, legal and other support.
- **Queens District Attorney's Office** has a Domestic Violence Bureau, which prosecutes misdemeanor and felony cases involving domestic partners. The Bureau, in collaboration with Safe Horizon, offers a domestic violence education component to police, hospital staff and community organizations.
- **Project SAFE** offers services for those who have experienced a crime in which the security of their home has been compromised. Project SAFE will send a professional locksmith to change the lock or cylinder for free, provided the victim has the requisite police reports and qualifies for a free lock change.

- **Brooklyn Defender Services:** Their staff of 300 comprises of 180 attorneys and 120 support staff, including social workers, investigators, paralegals, re-entry specialists, jail liaisons, education, community organizers and policy specialists as well as dedicated advocates for youth, veterans and parents. They serve their clients in the courtroom and in the community, defending their rights and helping them to amplify their voices to call for the changes that they see are necessary for the health and success of their neighborhoods.
- **Prevention Assistance and Temporary Housing (PATH):** People who leave unsafe environments and need temporary shelter can get help through PATH.
- **CAMBA – Bedford-Stuyvesant Multi-Service Center:** Family Violence Prevention and Intervention: CAMBA offers a 24/7 victims’ hotline, escort services, crisis counseling, individual and group support and education, advocacy, emergency cash assistance and referrals to other services for victims of violence within the home.
- **East New York Family Center Brooklyn Community Services:** Organization providing children and families with counseling, foster care placement prevention. Services include – Local health/social services, Domestic abuse/victims' services, Home-based family services program, and child abuse and neglect preventive services.
- **Good Shepherd Services - Safe Homes Project:** The Safe Homes Project (SHP) is a community-based domestic violence advocacy and service program which provides a hotline, counseling, safety-planning and advocacy for survivors of domestic violence and runs a 20-bed shelter. Provides targeted services for special populations, including Spanish-speakers, youth, and LGBTQ survivors of partner violence.
- **Domestic Violence Aftercare Program:** The Domestic Violence Aftercare Program, operated by HRA, provides supportive services, referrals and advocacy to NYCHA tenants and their authorized family members to successfully and safely relocate to their new home through NYCHA’s Emergency Transfer Program. The services include assistance with relocation, safety planning, in-home case management, and referrals as needed; services are free, voluntary and confidential.

E. Any activities, services, or programs provided or offered by a PHA that helps child and adult victims of domestic violence, dating violence, sexual assault, or stalking, to obtain or maintain housing

NYCHA makes referrals to the following organizations:

- **New York City Family Justice Centers** are the outgrowth of the Mayor's Office to Combat Domestic Violence and the District Attorneys’ offices. There are one stop shops in every borough that provides free and confidential assistance to survivors of intimate partner violence, sex trafficking and elder abuse. They welcome people of all ages, sexual orientations and gender identities, regardless of what language or immigration status or income. All centers are open Monday through Friday 9: 00am – 5:00pm. Bronx and Brooklyn center recently extended their hours to include evening hours. Walk-ins encouraged, no appointment necessary, spoken translation at every center. Services include: case management, counseling, therapy, psychiatry, financial and budgeting assistance, lawyers, DVP officers, prosecutors and NYC sheriff’s office, and child care.
- The **Department for The Aging (DFTA)** offers funded elder abuse organizations.
- **Adult Protective Services (APS)** – Vulnerable adults who are being abuse, neglected and/or financially exploited are referred to APS for more intensive on going supports.

F. Any activities, services, or programs provided or offered by a public housing agency to prevent domestic violence, dating violence, sexual assault, and stalking, or to enhance victim safety in assisted families

NYCHA Departments:

- NYCHA's Family Partnerships department offers assistance, guidance, information and referrals to NYCHA resident survivors of intimate partner violence, sex trafficking and elder abuse.
- NYCHA's Management Services prioritizes all emergency transfer request for those NYCHA resident survivors of intimate partner violence, sex trafficking and elder abuse.

Events:

- Annual intimate partner abuse and/or elder abuse conferences.
- DV/EA agencies are routinely invited to table at NYCHA resource fairs/ outreach events / family days, etc.
- NYCHA participates in the Mayor's Office to Combat Domestic Violence Task Force

9. Pet Policy

- 1. Dog/Cat:** A household may own either one dog or one cat. Such dog or cat must be registered in accordance with NYCHA's pet registration requirements.
- 2. Weight Limits** As of February 1, 2010, residents who wish to maintain a dog in their NYCHA apartment will be permitted to register such dog, provided the adult weight of the dog does not exceed 25 pounds. Specifically, prohibited dogs (either full breed or mixed breed) include: Doberman Pinscher, Pit Bull and Rottweiler. Assistance and Service Animals are exempt from weight and breed restrictions.
- Prior to February 1, 2010, residents were permitted to register a dog, regardless of breed, provided the adult weight of the dog did not exceed 40 pounds.
- 3.Registration** Every household that owns a dog, a cat, or an Assistance or Service Animal **MUST** submit to NYCHA a registration form (available at the management office within **30** days after such dog, cat or an Assistance service animal was acquired. If tenant is adding a new pet after a pet has been removed from the household, (*e.g., the pet has passed away*), the tenant must provide proof the animal was removed from the household or complete NYCHA Form *040.299B, Animal Removal Affidavit*, if documentation cannot be provided. A dog or cat that is not registered may not reside in or visit a NYCHA apartment.
- 4.Dog Tag:** When in public or common areas, all dogs (including dogs that are Service Animals) must wear its NYCHA's tag on a collar around its neck. *Please note that this does not eliminate or replace New York City's dog license requirement (Health Code §161.04).*
- **Service and for Assistance Animals:** *A Service Animal is one that is individually trained to do work or perform tasks an individual with a disability.* One example is a guide dog for a visually impaired individual. Service animals must still be registered.
 - **Other Pets:** Reasonable quantities of other pets such as small caged birds (parakeets, canaries), fish and small caged animals (hamsters, gerbils, guinea pigs), maintained in accordance with the NYC Health Code, are permitted. These animals do not need registration. This paragraph does not apply to dogs or cats.
 - **Dangerous Pets:** Animals that are vicious, threatening, bite people or that are otherwise prohibited by law are not permitted in NYCHA apartments or on NYCHA property. Residents are not permitted to keep dangerous dogs, including fighting dogs or attack dogs, on NYCHA property.
 - **Pet Conduct:** Pets must be kept in a manner that will not create a nuisance, excessive noise or an unsafe or unsanitary condition. A pet must not injure, cause harm to, or threaten other people. A pet must not cause damage to personal property or to other animals. A pet must not damage NYCHA property or premises, including buildings (inside or outside an apartment), elevators, common grounds, trees, shrubs or ground cover.

- **Pet Waste:** Pet owners must clean up after their pets, in their apartment and in public areas. Dispose of pet waste, including cat litter box filler, in the compactor with the regular garbage, **not** in the toilet. Dogs must be curbed. Solid dog waste must be picked up.
- **Dog Leash:** A dog must always be kept on a leash, six feet long or less, while in a public area both inside and outside of NYCHA buildings.
- **Pet-Free Zone:** Pets are not allowed to enter a designated “no-pet” area, such as Management Offices, playgrounds, Community Facilities, laundry rooms, basement areas, barbecue areas, roofs or roof landings.
- **Spay/Neuter:** Dogs and cats must be spayed or neutered.
- **Vaccination:** Dogs and cats must have a current rabies vaccination.
- **Fee Exemptions:** No fees required.

10. Civil Rights Certification

[24 CFR Part 903.7 (o)]

Civil rights certifications are included in the PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations.

11. Fiscal Year Audit

[24 CFR Part 903.7 (p)]

1. Yes No: Is the PHA required to have an audit conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h))? (If no, skip to component 17.)
2. Yes No: Was the most recent fiscal audit submitted to HUD?

Yes. The most recent fiscal audit for year 2018 has been completed and the final audit report was electronically submitted to the Federal Audit Clearinghouse as well as HUD REAC on September 26, 2019.

3. Yes No: Were there any findings as the result of that audit?

Yes. The 2018 audit had two minor findings in the area of Wage Rate Compliance records.

4. Yes No: If there were any findings, do any remain unresolved?
If yes, how many unresolved findings remain? _____

5. Yes No: Have responses to any unresolved findings been submitted to HUD?
If not, when are they due (state below)?

The pertinent Corrective Action Plan for the two findings reported in the 2018 audit was included in the electronic submission to HUD REAC on September 26, 2019.

12. Asset Management

[24 CFR Part 903.7 (q)]

1. Yes No: Is the PHA engaging in any activities that will contribute to the long-term asset management of its public housing stock, including how the Agency will plan for long-term operating, capital investment, rehabilitation, modernization, disposition, and other needs that have not been addressed elsewhere in this PHA Plan?

Please see Attachment C on pages 97 to 169 for information on NYCHA's activities related mixed finance modernization and development, demolition and disposition, conversion of public housing, homeownership, project-based vouchers and RAD/PACT. Please see page 170 for the information on NYCHA's Capital Fund Grant.

2. What types of asset management activities will the PHA undertake? (select all that apply)
- Not applicable
 - Private management
 - Development-based accounting
 - Comprehensive stock assessment
 - Other: (list below)

13. Violence Against Women Act (“VAWA”)

NYCHA adheres to the federal Violence Against Women Act (“VAWA”) by providing protections to victims of domestic violence, dating violence, sexual assault, and stalking (VAWA victims). In accordance with VAWA, NYCHA (i) notifies public housing tenants and Section 8 participants of their rights under VAWA; (ii) protects eligible tenants and authorized household members from eviction or termination of Section 8 assistance based on their status as a VAWA victim; (iii) may terminate public housing tenancy or occupancy rights or Section 8 assistance to an abuser while protecting the rights of the VAWA victim and other authorized household members ; (iv) protects eligible applicants from being denied admission based on their status as VAWA victims; (v) affords eligible VAWA victims a transfer under its Public Housing and Section 8 emergency transfer plans; and (vi) links tenants to resources on safety planning, aftercare services, and alternative housing options. Additionally, NYCHA provides a transfer priority for intimidated victims, intimidated witnesses and victims of a traumatic incident as well as an admission preference for eligible victims of domestic violence and intimidated witnesses.

Additional details can be found on page 201 of Attachment F.

ATTACHMENT C
**HOPE VI, MIXED FINANCE MODERNIZATION OR DEVELOPMENT,
DEMOLITION AND/OR DISPOSITION, CONVERSION OF PUBLIC
HOUSING, HOMEOWNERSHIP, PROJECT-BASED VOUCHERS AND
RENTAL ASSISTANCE DEMONSTRATION (RAD)**

A) Hope VI or Mixed Finance Modernization or Development

- Yes No: a) Has the PHA received a HOPE VI revitalization grant? (if no, skip to question c; if yes, provide responses to question b for each grant, copying and completing as many times as necessary)
b) Status of HOPE VI revitalization grant (complete one set of questions for each grant)

1. Development name: **Prospect Plaza**
2. Development (project) number: **NY005002440**
3. Status of grant: (select the statement that best describes the current status)
 - Revitalization Plan under development
 - Revitalization Plan submitted, pending approval
 - Revitalization Plan approved
 - Activities pursuant to an approved Revitalization Plan underway

Prospect Plaza, Ocean Hill-Brownsville, Brooklyn -- The Prospect Plaza Redevelopment Project is a phased redevelopment project located in the Ocean Hill-Brownsville section of Brooklyn. The first phase was completed in 2005, which included construction of 37 two-family homes. All homes were occupied during the summer of 2005, with 32 of the homes purchased by public housing residents that were first time home buyers. The second phase was completed in the summer of 2009, which included the construction of 150 affordable rental units with 45 units set aside for relocated Prospect Plaza and other public housing residents.

In May 2011, HUD granted conditional approval of the Prospect Plaza HOPE VI Revitalization Plan Amendment, which included demolition of the three remaining vacant Prospect Plaza buildings containing 240 apartments.

The balance of the Prospect Plaza project (the “Prospect Plaza Sites”) is a mixed-finance and mixed-income development comprised of rental units and public housing units owned and managed by a private third-party development and management entity. The development includes 80 public housing units and approximately 314 affordable rental units. The non-public housing units will be affordable to households making up to 60% AMI. In addition, the project will include a supermarket, community center, and a recreation space. The design of the project was based on input from former Prospect Plaza residents and other community stakeholders during a three-day design workshop (“*Re-Vision Prospect Plaza*”) held by NYCHA in June 2010. In December 2011, NYCHA and the New York City Department of Housing Preservation and Development (“HPD”) released a Request for Proposals (“RFP”) for development. Responses to the RFP were submitted in April 2012. A development team was selected in January 2013. A demolition contractor was procured by HPD and demolition work commenced in May 2013 and ended in Spring 2014. Construction of Phase I (110 units including 38 public housing units) started in July 2014 and is now complete. Construction of

Phase II (149 units including 42 public housing units) started in March 2015 and is now complete. Closing of construction financing for Phase III (135 units, a supermarket, and a community facility) took place in March 2016 and construction is now complete.

Yes No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?

If yes, list development name/s below:

Yes No: d) Will the PHA be engaging in any mixed-finance development activities for public housing in the Plan year?

If yes, list developments or activities below:

Phillip Randolph Houses, Manhattan – A Request for Proposals (“RFP”) was issued on August 22, 2011, which called for the redevelopment of Randolph Houses in two phases: (i) Phase One as a mixed-finance transaction whereby the south side lots would be ground leased and the south side buildings conveyed to a private developer for gut rehabilitation with the creation of at least 140 public housing units and (ii) Phase Two as the conveyance of the north side properties for the redevelopment of mixed income housing.

The design yields a total of approximately 283 dwelling units of which 147 will be public housing. The New York State Historical Preservation Office (SHPO) approved this renovation plan in January 2011. Construction began on Phase I of II in March 2014. Phase I construction was completed in April 2016 for Buildings A and B respectively and public housing residents have moved in. Phase II closed on construction financing in 2016 and was completed in 2018. It is anticipated that this redevelopment project will be closed before publication of the Final 2020 Annual Plan.

Yes No: e) Will the PHA be conducting any other public housing development or replacement activities not discussed in the Capital Fund Program Annual Statement?

If yes, list developments or activities below:

Other Housing Development Initiatives

Holmes Towers, Manhattan – NYCHA intends to lease a parcel of approximately 20,660 square feet on Block 1573, Lot 20 with approximately 330,368 square feet of development rights for market rate and affordable housing development. NYCHA in collaboration with HPD issued an RFP in Spring 2016 and a developer was designated in Spring 2017. A Section 18 Application was submitted in 2019 but was subsequently withdrawn.

Wyckoff Gardens, Brooklyn – NYCHA intends to lease two (2) parcels of approximately 31,000 and 25,000 square feet respectively, both on Block 394, Lot 1, with approximately 500,000 square feet of total development rights for market rate and affordable housing development. NYCHA in collaboration with HPD issued an RFP in Spring 2016 and a developer was designated in late 2017. A Section 18 Application will be submitted in 2020.

La Guardia, Manhattan – NYCHA intends to lease a parcel of approximately 18,000 square feet on Block 256, Lot 1 with approximately 350,000 square feet of residential development rights for market rate and affordable housing development. NYCHA in collaboration with HPD issued an RFP in 2018.

Cooper Park, Brooklyn – NYCHA’s proposal to lease a parcel of land for residential and affordable housing development at Cooper Park has been withdrawn and is **NOT** included in the Final FY 2020 Annual Plan.

NextGen 100% Affordable and Seniors First Housing Initiatives

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

Ingersoll, Brooklyn – In 2017, NYCHA leased a parcel (a portion of Block 2034 Lot 134) with approximately 124,000 square feet of development rights for the construction of a 146-unit senior housing development. Construction began in 2017 and was substantially completed in 2019.

Van Dyke I, Brooklyn – In 2018, NYCHA leased a parcel of approximately 36,000 square feet on Block 3777, Lot 1, with approximately 191,500 square feet of residential development rights for construction of a 180-unit family housing development. NYCHA in collaboration with HPD issued an RFP in 2015 and a developer was designated in 2016. A Section 18 Application was submitted in 2017. A new developer was designated in late 2017 and construction began in 2019.

Betances V, Bronx – In 2019, NYCHA leased a parcel of approximately 12,600 square feet on Block 2287, Lot 26 which was merged with the adjacent HPD’s Lot 71, for construction of a 152-unit senior housing development. NYCHA in collaboration with HPD issued an RFP in 2016 and a developer was designated in 2017. A Section 18 Application was approved in 2019. A Section 18 Application was approved and construction began in 2019.

Betances VI, Bronx – NYCHA intends to lease a parcel of approximately 10,000 square feet on Block 2291, Lot 1, for construction of a 101-unit family housing development. NYCHA in collaboration with HPD issued an RFP in 2016 and a developer was designated in 2017. A Section 18 Application was submitted in 2019. Demolition of the existing one-story commercial structure and construction of the new affordable housing development is scheduled to begin in 2020.

Morrisania Air Rights, Bronx – NYCHA intends to lease a parcel of approximately 21,200 square feet on Block 2409, Lot 98, for construction of a family housing development. NYCHA in collaboration with HPD issued an RFP in 2017. A developer designation is anticipated in 2018. A Section 18 Application will be submitted in 2019 and construction is scheduled to begin in 2020.

Sumner, Brooklyn – NYCHA intends to lease a parcel of approximately 24,200 square feet on Block 1580, Lot 1, for construction of a senior housing development with approximately 190 units. NYCHA in collaboration with HPD issued an RFP in 2017. A developer was designated in 2018. A Section 18 Application will be submitted in 2019 and construction is scheduled to begin in 2020.

Twin Parks West, Bronx – NYCHA intends to lease a parcel of approximately 16,500 square feet on Block 3143, Lots 234, 236 and 240, for construction of a 182-unit family housing development.

NYCHA in collaboration with HPD issued an RFP in 2017. A developer was designated in 2018. A Section 18 Application will be submitted in 2019 and construction is scheduled to begin in 2020.

Harborview Terrace, Manhattan – NYCHA intends to lease a parcel of approximately 29,000 square feet on Block 1084, Lot 9, for construction of a new housing development. NYCHA in collaboration with HPD issued an RFP in 2017.

Baruch Houses, Manhattan – NYCHA intends to lease a parcel of approximately 6,800 square feet on Block 323, Lot 1 for construction of a senior housing development.

Bushwick II CDA (Group E), Brooklyn – NYCHA intends to lease a parcel of approximately 7,800 square feet on Block 3325, Lot 1 for construction of a senior housing development. A developer was designated in 2019. Construction is scheduled to begin in 2020 or 2021.

Justice Sonya Sotomayor Houses, Bronx – NYCHA intends to lease a parcel of approximately 13,000 square feet on Block 3730, Lot 1 for construction of a senior housing development with approximately 201 units. A developer was designated in 2019. Construction is scheduled to begin in 2020 or 2021.

Dyckman Houses, Manhattan – NYCHA intends to lease a parcel of approximately 15,000 square feet on Block 2216, Lot 1 for construction of an affordable housing development with approximately 180-250 units. NYCHA will issue an RFP in collaboration with HPD in 2020.

Morris II Houses, Bronx – NYCHA intends to lease a parcel of approximately 13,000 square feet on Block 2902, Lot 36 for construction of a senior affordable housing development with approximately 150-200 units. NYCHA will issue an RFP in collaboration with HPD in 2019. A Section 18 Application will be submitted in 2020 and construction is scheduled to begin in 2021.

Kingsborough Houses and Kingsborough Houses Extension, Brooklyn – NYCHA intends to lease a parcel of approximately 18,000 square feet on Block 1344, Lots 1 and 175 for construction of an affordable senior housing development with approximately 150-200 units. NYCHA will issue an RFP in collaboration with HPD in 2019.

West Brighton II, Staten Island- – NYCHA intends to lease a parcel on Block 196, Lot 1 for construction of a housing development. NYCHA issued an RFP in collaboration with HPD in 2019. A Section 18 Application will be submitted in 2020 and construction is scheduled to begin in 2021.

Soundview, Bronx – In 2008, NYCHA and HPD conditionally designated a developer to build affordable housing on an under-utilized parking area at Rosedale Avenue and Lacombe Avenue along Soundview Park. The plan included two eight-story buildings with 206 low income rental units for families and seniors and 16 two-family townhouses for homeownership in a multi-phased affordable housing development project. On June 27, 2013, NYCHA disposed of a 68,500 square foot lot for construction of 120 rental units for low-income households (“Phase I”). Phase I was completed in November 2015. On December 19, 2013, NYCHA disposed of a 48,452 square foot lot for construction of 86 units for low-income seniors: eighty-five Section 8 Housing Choice Vouchers were reserved for the new senior residents (“Phase II”). Phase II was completed in June 2016. Phase III consists of construction of 72 for sale cooperative units. It is anticipated that Phase III will close on construction financing in 2019.

East 173rd Street-Vyse Avenue, Bronx – NYCHA obtained HUD’s approval to dispose of land along Hoe Avenue that includes a parking lot, basketball court, and grounds to accommodate a proposal from a sponsor for a three-phase, low-income housing project. The proposal will build a total of 224 dwelling units, including 56 senior resident apartments. The project also requires the transfer of up to 60,000 sq. ft. of development rights. Conveyance of each of the three phases’ building sites is pending funding approval by the sponsor. The first parcel of land was conveyed December 21, 2009 to construct an 84-unit apartment building. Conveyance of a second parcel for another 84-unit apartment building took place in 2013. Construction and tenancing are completed for the first and second phases. The conveyance of the parcel for the final phase of the project is delayed pending demolition of an existing church and finalization of a plan to provide ground floor space within the Phase III development for the church.

East 165th Bryant Avenue, Bronx – NYCHA leased a parcel of approximately 6,000 square feet at 1071 Bryant Avenue, which was merged with an adjacent parcel owned by HPD, for development of low-income housing by a non-profit housing sponsor. The projected closed on construction financing and began construction in 2019.

Astoria, Queens – Multi-phase project for the development of two affordable housing buildings, an additional building with a program to be determined, an option for the NYC School Construction Authority to acquire a parcel to build a new school, and facilitation of the reopening of Astoria Boulevard as a private street for public access through a street easement in conjunction with a mixed-use development in Queens on the waterfront at Halletts Point. The first building for affordable housing was sold and construction began in 2019. Additionally, the School Construction Authority has been given notice that the option to acquire a school site from NYCHA is active and will remain valid to December 31, 2022.

Ocean Bay Apartments (Oceanside), Queens – NYCHA intends to dispose of parcels of land and an existing, vacant, one-story commercial building to facilitate construction of a mixed-use building. The parcels are located on Beach Channel Drive between Beach 53rd and Beach 54th Streets south of Oceanside Apartments and east of Bayside Apartments. NYCHA acquired the property, a blighted and underused shopping strip, opposite Ocean Bay Apartments consisting of seven contiguous parcels of approximately 37,111 square feet total, as part of the Ocean Bay HOPE VI Plan through eminent domain. Disposition, demolition of the existing structure, and start of construction is planned for 2020.

Other Development Activities

Easements and Transfers of Land for Improved Resiliency – To enhance coastal resiliency capabilities along vulnerable, low-lying shoreline communities, the New York City Mayor’s Office of Recovery and Resiliency (ORR) has proposed the installation and implementation of various countermeasures. Many of these communities are abutted by NYCHA housing development sites, thereby necessitating easement agreements between NYCHA and ORR. These transactions will be facilitated by the Section 18 Demolition/Disposition process and will ultimately allow for ORR to build preventative measures on NYCHA land to guard against potentially widespread flood damage. Section 18 application submission dates, as well as construction start dates, have not yet been finalized.

Transfer of Development Rights (“TDR”) - NYCHA is exploring further potential transactions to transfer development rights (TDRs) in order to raise revenue for the Authority and facilitate the

development of additional affordable housing. NYCHA will follow HUD’s direction as to any required process, notifications and engagement with respect to TDRs.

Ingersoll, Brooklyn – NYCHA intends to dispose of a parcel of approximately 6,000 square feet (part of Block 2050, Lot 1) along with an additional 90,634 square feet of surplus development rights. The parcel had previously been occupied under a license by an adjacent, privately held warehouse which will be demolished for a proposed development. The proposed disposition will generate revenue for NYCHA as well as facilitate the development of new affordable housing units in accordance with the NYC Mandatory Inclusionary Housing (“MIH”) policy. The proposed transaction is planned for 2019.

Robert Fulton, Manhattan – NYCHA intends to dispose of approximately 30,000 square feet of surplus development rights for commercial office development on 10th Avenue through a zoning lot merger. The proposed TDR will generate revenue for NYCHA. NYCHA intends to submit a Section 18 application upon receipt of lot merger consent from the intervening owners.

College Avenue – East 165 Street, Bronx – NYCHA intends to dispose of approximately 12,000 square feet of surplus development rights through a zoning lot merger. The proposed TDR will facilitate an affordable housing development and generate revenue for NYCHA. NYCHA intends to submit a Section 18 application in 2020.

Howard Houses, Brooklyn – NYCHA intends to dispose of a parcel of land of approximately 4,560 square feet, and approximately 23,360 square feet of additional surplus development rights through a zoning lot merger. The proposed land sale and TDR will facilitate an affordable housing development and generate revenue for NYCHA. NYCHA intends to submit a Section 18 application in 2020.

B) Demolition and/or Disposition

[24 CFR Part 903.7 (h)]

1. Yes No: Does the PHA plan to conduct any demolition or disposition activities (pursuant to section 18 of the U.S. Housing Act of 1937 (42 U.S.C. 1437p)) in the plan Fiscal Year? (If “No”, skip to component 9; if “yes”, complete one activity description for each development.)

Demolition/Disposition Activity Description
1a. Development name: FHA Repossessed Houses – Group V [Formerly Groups II, V, and VI] 1b. Development (project) number: NY005012090
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>NYCHA intends to dispose of six (6) units in three (3) vacant properties comprised of three two-family homes located in Queens. Due to their scattered location and wood frame construction, these properties are costly to operate as public housing and represent an inefficient allocation of housing resources within the Authority.</i> <ul style="list-style-type: none"> • <i>113-44 Springfield Boulevard, Queens Village, NY 11429, Total Units – 2 (One Bedroom = 1 and Two Bedrooms = 1)</i> • <i>144-29 105th Avenue, Jamaica, NY 11435, Total Units = 2 (3 Three-Bedroom Units)</i> • <i>69-33 Bayfield Avenue, Arverne, NY 11692, Total Units = 2 (1 One-Bedroom Unit, 1 Three-Bedroom Unit)</i>

<p>3. Application status (select one)</p> <p>Approved <input type="checkbox"/></p> <p>Submitted, pending approval <input type="checkbox"/></p> <p>Planned application <input checked="" type="checkbox"/></p>
<p>4. Date application approved, submitted, or planned for submission: Spring 2019</p>
<p>5. Number of units affected: 6</p> <p>6. Coverage of action (select one)</p> <p><input checked="" type="checkbox"/> Part of the development</p> <p><input type="checkbox"/> Total development</p>
<p>7. Timeline for activity:</p> <p>a. Actual or projected start date of activity: May 2006</p> <p>b. Projected end date of activity: Fall 2019</p>
<p>Demolition/Disposition Activity Description</p>
<p>1a. Development name: FHA Repossessed Houses – Group V [Formerly Group IX]</p> <p>1b. Development (project) number: NY005012090</p>
<p>2. Activity type: Demolition <input type="checkbox"/></p> <p>Disposition <input checked="" type="checkbox"/> <i>NYCHA intends to dispose of seven (7) units in two (2) vacant properties comprised of a vacant three-family home located at 99 Waverly Avenue, and a vacant four-family home located at 110 Waverly Avenue, both located in Brooklyn. Due to their scattered location and severely deteriorated physical state, including structural instability and fire damage, these properties are costly to operate as public housing and represent an inefficient allocation of housing resources within the Authority.</i></p> <ul style="list-style-type: none"> • 99 Waverly Avenue, Brooklyn, NY 11205, Total Units = 3 (All One-Bedroom Units) • 110 Waverly Avenue, Brooklyn, NY 11205, Total Units = 4 (All Two-Bedroom Units)
<p>3. Application status (select one)</p> <p>Approved <input checked="" type="checkbox"/></p> <p>Submitted, pending approval <input type="checkbox"/></p> <p>Planned application <input type="checkbox"/></p>
<p>4. Date application approved, submitted, or planned for submission: January 10, 2013</p>
<p>5. Number of units affected: 7</p> <p>6. Coverage of action (select one)</p> <p><input checked="" type="checkbox"/> Part of the development</p> <p><input type="checkbox"/> Total development</p>
<p>7. Timeline for activity:</p> <p>a. Actual or projected start date of activity: May 2006</p> <p>b. Projected end date of activity: Fall 2019</p>
<p>Demolition/Disposition Activity Description</p>
<p>1a. Development name: FHA Repossessed Houses – Group V [Formerly Group IX]</p> <p>1b. Development (project) number: NY005012090</p>
<p>2. Activity type: Demolition <input type="checkbox"/></p> <p>Disposition <input checked="" type="checkbox"/> <i>NYCHA intends to dispose of four (4) units in two (2) vacant properties comprised of a vacant two-family home located at 349 Berriman Street, and a vacant two-family home located at 140 East 91st Street, both located in Brooklyn. Due to their scattered location and wood frame construction, these properties are costly to operate as public housing and represent an inefficient allocation of housing resources within the Authority.</i></p>

349 Berriman Street, Brooklyn, NY 11208, Total Units – 2 (1 Two-Bedroom Unit and 1 Three-Bedroom Unit)

140 East 91st Street, Brooklyn, NY 11212, Total Units – 2 (1 One-Bedroom Unit and 1 Two-Bedroom Unit)

3. Application status (select one)
 Approved
 Submitted, pending approval
 Planned application

4. Date application approved, submitted, or **planned for submission: Spring 2019**

7. Timeline for activity:
 a. Actual or **projected** start date of activity: **Spring 2017**
 b. **Projected** end date of activity: **Summer 2019**

Demolition/Disposition Activity Description

1a. Development name: **FHA Repossessed Houses – Group V [Formerly Groups I, II, III, IV, V, VI, VII, VIII, IX, X]**

1b. Development (project) number: **NY005012090**

2. Activity type: Demolition
 Disposition *NYCHA intends to dispose of twenty-one (21) vacant single-family FHA Repossessed Houses. Due to their scattered location and wood frame construction, these properties are costly to operate as public housing and represent an inefficient allocation of housing resources within the Authority.*

Building #	Development	Address	City	Zip Code	DU Size
1	FHA (GROUP IV)	119-12 219 TH STREET	CAMBRIA HEIGHTS	11411	3 BR
2	FHA (GROUP III)	144-23 166 TH STREET	SPRINGFIELD GARDENS	11434	3 BR
3	FHA (GROUP I)	143-03 105 TH AVENUE	JAMAICA	11435	3 BR
4	FHA (GROUP VIII)	106-10 215 TH STREET	QUEENS VILLAGE	11429	3 BR
5	FHA (GROUP V)	142-06 FOCH BOULEVARD	SOUTH OZONE PARK	11436	2 BR
6	FHA (GROUP I)	100-40 202 ND STREET	HOLLIS	11423	2 BR
7	FHA (GROUP VIII)	220-23 135 TH AVENUE	LAURELTON	11413	1 BR
8	FHA (GROUP VII)	111-50 WITTHOFF STREET	QUEENS VILLAGE	11429	3 BR
9	FHA (GROUP I)	114-11 130 ^H STREET	SOUTH OZONE PARK	11420	3 BR
10	FHA (GROUP I)	114-22 166 TH STREET	JAMAICA	11434	3 BR
11	FHA (GROUP VII)	117-11 143 RD STREET	JAMAICA	11434	2BR
12	FHA (GROUP II)	126-01 116 TH AVENUE	SOUTH OZONE PARK	11420	2 BR
13	FHA (GROUP V)	133-24 135 TH PLACE	SOUTH OZONE PARK	11420	2 BR
14	FHA (GROUP I)	202-06 116 TH AVENUE	SAINT ALBANS	11412	3 BR
15	FHA (GROUP X)	214-15 HOLLIS AVENUE	QUEENS VILLAGE	11429	4 BR
16	FHA (GROUP X)	231 FERNSIDE PLACE	FAR ROCKAWAY	11691	3 BR
17	FHA (GROUP X)	118-35 153 RD STREET	JAMAICA	11434	1 BR
18	FHA (GROUP VII)	146-23 176 TH STREET	JAMAICA	11434	3 BR
19	FHA (GROUP VIII)	198-16 116 TH AVENUE	JAMAICA	11412	3 BR
20	FHA (GROUP IV)	209-26 NASHVILLE BOULEVARD	JAMAICA	11411	3 BR
21	FHA (GROUP IV)	99-19 194 TH STREET	JAMAICA	11423	4 BR

3. Application status (select one)
 Approved
 Submitted, pending approval
 Planned application

4. Date application approved, submitted, or **planned for submission: Spring 2019**

<p>5. Number of units affected: 22</p> <p>6. Coverage of action (select one)</p> <p><input checked="" type="checkbox"/> Part of the development</p> <p><input type="checkbox"/> Total development</p>
<p>7. Timeline for activity:</p> <p>a. Actual or projected start date of activity: Winter 2016</p> <p>b. Projected end date of activity: Summer 2019</p>
<p>Demolition/Disposition Activity Description</p>
<p>1a. Development name: FHA Repossessed Houses – Group V [Formerly Group IX]</p> <p>1b. Development (project) number: NY005012090</p>
<p>2. Activity type: Demolition <input type="checkbox"/></p> <p>Disposition <input checked="" type="checkbox"/> <i>NYCHA intends to dispose of one (1) vacant four-family FHA Repossessed House. Due to its scattered location and wood frame construction, this property is too costly to operate as public housing and represents an inefficient allocation of housing resources within the Authority.</i></p> <p style="margin-left: 40px;">• <i>305 Atkins Avenue, Brooklyn, NY 11208, Total Units – 4 (1 One-Bedroom Unit and 3 Two-Bedroom Units)</i></p>
<p>3. Application status (select one)</p> <p>Approved <input type="checkbox"/></p> <p>Submitted, pending approval <input type="checkbox"/></p> <p>Planned application <input checked="" type="checkbox"/></p>
<p>4. Date application approved, submitted, or planned for submission: Spring 2019</p>
<p>5. Number of units affected: 4</p> <p>6. Coverage of action (select one)</p> <p><input checked="" type="checkbox"/> Part of the development</p> <p><input type="checkbox"/> Total development</p>
<p>7. Timeline for activity:</p> <p>a. Actual or projected start date of activity: Winter 2016</p> <p>b. Projected end date of activity: Fall 2019</p>
<p>Demolition/Disposition Activity Description</p>
<p>1a. Development name: Soundview Houses</p> <p>1b. Development (project) number: NY005000710</p>
<p>2. Activity type: Demolition <input type="checkbox"/></p> <p>Disposition <input checked="" type="checkbox"/> <i>Development of two eight story buildings with approximately 206 low income rental units for families and seniors in Phases I and II, and development of 72 cooperative units for affordable homeownership in Phase III.</i></p>
<p>3. Application status (select one)</p> <p>Approved <input checked="" type="checkbox"/></p> <p>Submitted, pending approval <input type="checkbox"/></p> <p>Planned application <input type="checkbox"/></p>
<p>4. Date application approved, submitted, or planned for submission: January 30, 2013</p>
<p>5. Number of units affected: 0</p> <p>6. Coverage of action (select one)</p> <p><input checked="" type="checkbox"/> Part of the development</p> <p><input type="checkbox"/> Total development</p>

7. Timeline for activity: a. Actual or projected start date of activity: 2012 b. Projected end date of activity: 2021
Demolition/Disposition Activity Description
1a. Development name: East 173rd Street-Vyse Avenue Houses 1b. Development (project) number: NY005015300
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Development of a total 224 dwelling units, including 56 senior citizen apartments in three phases: Phase I an 84-unit apartment building, Phase II an 84-unit apartment building, and phase III a 56-unit apartment building, following relocation of an existing community facility.</i>
3. Application status (select one) Approved <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date application approved , submitted, or planned for submission: November 14, 2009
5. Number of units affected: 0 6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: November 21, 2008 b. Projected end date of activity: 2022
Demolition/Disposition Activity Description
1a. Development name: East 165th – Bryant Avenue 1b. Development (project) number: NY005015300
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease a 6,000-square foot parcel at 1071 Bryant Avenue, Block 2750, Lot 32, merged with an adjacent parcel owned by HPD, for development of low-income housing by a non-profit housing sponsor.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date application approved , submitted, or planned for submission : 2018
5. Number of units affected: 0 6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2018 b. Projected end date of activity: 2021
Demolition/Disposition Activity Description
1a. Development name: Astoria Houses 1b. Development (project) number: NY005000260

<p>2. Activity type: Demolition <input type="checkbox"/></p> <p>Disposition <input checked="" type="checkbox"/> <i>Multi-phase project for the development of two affordable housing buildings, an additional building with a program to be determined, an option for the NYC School Construction Authority to acquire a parcel to build a new school, and facilitation of the reopening of Astoria Boulevard as a private street for public access through a street easement in conjunction with a mixed-use development in Queens on the waterfront at Halletts Point. The first building for affordable housing was sold and construction began in 2019. Additionally, the School Construction Authority has been given notice that the option to acquire a school site from NYCHA is active and will remain valid to December 31, 2022.</i></p>
<p>3. Application status (select one)</p> <p>Approved <input checked="" type="checkbox"/></p> <p>Submitted, pending approval <input type="checkbox"/></p> <p>Planned application <input type="checkbox"/></p>
<p>4. Date application approved, submitted, or planned for submission: August 28, 2014</p>
<p>5. Number of units affected: 0</p> <p>6. Coverage of action (select one)</p> <p><input checked="" type="checkbox"/> Part of the development</p> <p><input type="checkbox"/> Total development</p>
<p>7. Timeline for activity:</p> <p>a. Actual or projected start date of activity: Fall 2016</p> <p>b. Projected end date of activity: Fall 2026</p>
<p>Demolition/Disposition Activity Description</p>
<p>1a. Development name: Holmes Towers</p> <p>1b. Development (project) number: NY005011390</p>
<p>2. Activity type: Demolition <input type="checkbox"/></p> <p>Disposition <input checked="" type="checkbox"/> <i>Lease of an approximate 20,660 square foot parcel on Block 1573, Lot 20 with approximately 330,368 square feet of development rights for market rate and affordable housing development.</i></p>
<p>3. Application status (select one)</p> <p>Approved <input type="checkbox"/></p> <p>Submitted, pending approval <input type="checkbox"/></p> <p>Planned application <input checked="" type="checkbox"/></p>
<p>4. Date original application approved, submitted, or planned for submission: 2019</p>
<p>5. Number of units affected: 0</p> <p>6. Coverage of action (select one)</p> <p><input checked="" type="checkbox"/> Part of the development</p> <p><input type="checkbox"/> Total development</p>
<p>7. Timeline for activity:</p> <p>a. Actual or projected start date of activity: 2016</p> <p>b. Projected end date of activity: 2023</p>
<p>Demolition/Disposition Activity Description</p>
<p>1a. Development name: Wyckoff Gardens</p> <p>1b. Development (project) number: NY005011630</p>
<p>2. Activity type: Demolition <input type="checkbox"/></p> <p>Disposition <input checked="" type="checkbox"/> <i>Lease of two (2) parcels of approximately 31,000 and 25,000 square feet respectively, both on Block 394, Lot 1, with approximately 500,000 square feet of residential development rights in total for market rate and affordable housing development.</i></p>
<p>3. Application status (select one)</p>

Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date original application approved, submitted, or planned for submission: 2019
5. Number of units affected: 0
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2016 b. Projected end date of activity: 2023
Demolition/Disposition Activity Description
1a. Development name: La Guardia Houses
1b. Development (project) number: NY005010760
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of approximately 18,000 square feet on a portion of Block 256, Lot 1, with approximately 340,000 square feet of residential development rights for market rate and affordable housing development.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date original application approved, submitted, or planned for submission: 2020
5. Number of units affected: 0
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: 2023
Demolition/Disposition Activity Description
1a. Development name: Mill Brook Houses
1b. Development (project) number: NY005010840
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of an approximate 31,735 square foot parcel on Block 2548 Lot 1 with approximately 127,000 square feet of development rights for affordable senior housing development.</i>
3. Application status (select one) Approved <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date original application approved , submitted, or planned for submission: June 5, 2017
5. Number of units affected: 0
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2016

b. Projected end date of activity: 2020
Demolition/Disposition Activity Description
1a. Development name: Ingersoll Houses
1b. Development (project) number: NY005000140
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of an approximate 11,500 square foot parcel on Block 2034 Lot 1 with approximately 112,000 square feet of development rights for a 146-unit affordable senior housing development with Project-Based Section 8 vouchers.</i>
3. Application status (select one) Approved <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date original application approved , submitted, or planned for submission: June 5, 2017
5. Number of units affected: 0
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: 2020
Demolition/Disposition Activity Description
1a. Development name: Van Dyke I Houses
1b. Development (project) number: NY005000610
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of an approximate 31,500 square foot parcel on Block 3777 Lot 1 with approximately 191,450 square feet of development rights for affordable housing development.</i>
3. Application status (select one) Approved <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input type="checkbox"/>
4. Date original application approved , submitted, or planned for submission: October 13, 2017
5. Number of units affected: 0
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2016 b. Projected end date of activity: 2021
Demolition/Disposition Activity Description
1a. Development name: Betances V
1b. Development (project) number: NY005012110
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of a parcel of approximately 12,600 square feet on Block 2287, Lot 26 to be merged with Lot 71 from HPD for the development of a 152-unit affordable senior building with Project-Based Section 8 vouchers.</i>
3. Application status (select one) Approved <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/>

Planned application <input type="checkbox"/>
4. Date application approved , submitted, or planned for submission: 2019
5. Number of units affected: 0
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: July 2009 b. Projected end date of activity: 2022
Demolition/Disposition Activity Description
1a. Development name: Betances VI 1b. Development (project) number: NY005012110
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of a parcel of approximately 10,000 square feet on Block 2291, Lot 1 for redevelopment as affordable housing with ground floor commercial. NYCHA intends to lease the site to a developer who will demolish the existing 1-story commercial structure.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input checked="" type="checkbox"/> Planned application <input type="checkbox"/>
4. Date original application approved, submitted , or planned for submission: 2019
5. Number of units affected: 0 units (commercial use, non-residential)
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2016 b. Projected end date of activity: 2022
Demolition/Disposition Activity Description
1a. Development name: Morrisania Air Rights 1b. Development (project) number: NY005012670
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of a parcel of approximately 21,200 square feet on a portion of Block 2409, Lot 98, for development of affordable housing.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date original application approved, submitted, or planned for submission : 2020
5. Number of units affected: 0 units
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: 2023
Demolition/Disposition Activity Description

1a. Development name: Sumner Houses
1b. Development (project) number: NY005010730
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of a parcel of approximately 24,200 square feet on a portion of Block 1580, Lot 1 for development of approximately 190 units of affordable senior housing with Project-Based Section 8 vouchers.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input checked="" type="checkbox"/> Planned application <input type="checkbox"/>
4. Date original application approved, submitted , or planned for submission: 2019
5. Number of units affected: 0 units
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: 2022
Demolition/Disposition Activity Description
1a. Development name: Twin Parks West (Sites 1 & 2)
1b. Development (project) number: NY005012270
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of 3 parcels of approximately 16,500 square feet total on Block 3143, Lots 234, 236, and 240 for development of 182 affordable housing units with ground floor commercial.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input checked="" type="checkbox"/> Planned application <input type="checkbox"/>
4. Date original application approved, submitted , or planned for submission: 2019
5. Number of units affected: 0 units
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: 2022
Demolition/Disposition Activity Description
1a. Development name: Harborview Terrace Houses
1b. Development (project) number: NY005010220
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of a parcel of approximately 29,000 square feet on Block 1084, Lot 9 for development of affordable housing.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date application approved, submitted, or planned for submission : TBD
5. Number of units affected: 0

6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: TBD
Demolition/Disposition Activity Description
1a. Development name: Baruch Houses 1b. Development (project) number: NY005010600
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of a parcel of approximately 6,800 square feet on a portion of Block 323, Lot 1 for development of affordable senior housing.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date original application approved, submitted, or planned for submission : TBD
5. Number of units affected: 0
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: 2023
Demolition/Disposition Activity Description
1a. Development name: Bushwick II CDA (Group E) 1b. Development (project) number: NY005012470
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of a parcel of approximately 7,800 square feet on a portion of Block 3325, Lot 1 for development of affordable senior housing.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date original application approved, submitted, or planned for submission : 2020
5. Number of units affected: 0
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: 2023
Demolition/Disposition Activity Description
1a. Development name: Sotomayor Houses 1b. Development (project) number: NY005010670
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of a parcel of approximately 13,000 square feet on a portion of Block 3730, Lot 1 for development of affordable senior housing.</i>

3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>																																
4. Date original application approved, submitted, or planned for submission: 2020																																
5. Number of units affected: 0																																
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development																																
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: 2023																																
Demolition/Disposition Activity Description																																
1a. Development name: Ocean Bay Apartments (Oceanside) 1b. Development (project) number: NY005010980																																
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>In 2003, as part of the Ocean Bay HOPE VI Plan, NYCHA acquired through eminent domain a blighted and underused shopping strip opposite Ocean Bay Apartments, consisting of seven contiguous parcels representing an area of approximately 37,111 SF.</i> <i>NYCHA needs to demolish the vacant one-story buildings as a result of unsafe conditions. NYCHA also intends to sell the parcels to a developer for the purpose of a mixed-use building. The property is located on Beach Channel Drive between Beach 53rd and Beach 54th Streets across the street south of Oceanside Apartments and across the street east of Bayside Apartments.</i> <table border="1"> <thead> <tr> <th><i>Borough</i></th> <th><i>Block</i></th> <th><i>Lot</i></th> <th><i>Address</i></th> </tr> </thead> <tbody> <tr> <td><i>Queens</i></td> <td><i>15890</i></td> <td><i>54</i></td> <td><i>360 Beach 54th Street (parcel contains a one-story retail space)</i></td> </tr> <tr> <td><i>Queens</i></td> <td><i>15890</i></td> <td><i>55</i></td> <td><i>366 Beach 54th Street (parcel contains a one-story retail space)</i></td> </tr> <tr> <td><i>Queens</i></td> <td><i>15890</i></td> <td><i>58</i></td> <td><i>53-15 Beach Channel Drive (vacant lot)</i></td> </tr> <tr> <td><i>Queens</i></td> <td><i>15890</i></td> <td><i>62</i></td> <td><i>53-13 Beach Channel Drive (vacant lot)</i></td> </tr> <tr> <td><i>Queens</i></td> <td><i>15890</i></td> <td><i>64</i></td> <td><i>53-05 Beach Channel Drive (parcel contains a one-story retail space)</i></td> </tr> <tr> <td><i>Queens</i></td> <td><i>15890</i></td> <td><i>66</i></td> <td><i>53-01 Beach Channel Drive (parcel contains a one-story retail space)</i></td> </tr> <tr> <td><i>Queens</i></td> <td><i>15890</i></td> <td><i>69</i></td> <td><i>N/A Beach 53rd Street (vacant lot)</i></td> </tr> </tbody> </table>	<i>Borough</i>	<i>Block</i>	<i>Lot</i>	<i>Address</i>	<i>Queens</i>	<i>15890</i>	<i>54</i>	<i>360 Beach 54th Street (parcel contains a one-story retail space)</i>	<i>Queens</i>	<i>15890</i>	<i>55</i>	<i>366 Beach 54th Street (parcel contains a one-story retail space)</i>	<i>Queens</i>	<i>15890</i>	<i>58</i>	<i>53-15 Beach Channel Drive (vacant lot)</i>	<i>Queens</i>	<i>15890</i>	<i>62</i>	<i>53-13 Beach Channel Drive (vacant lot)</i>	<i>Queens</i>	<i>15890</i>	<i>64</i>	<i>53-05 Beach Channel Drive (parcel contains a one-story retail space)</i>	<i>Queens</i>	<i>15890</i>	<i>66</i>	<i>53-01 Beach Channel Drive (parcel contains a one-story retail space)</i>	<i>Queens</i>	<i>15890</i>	<i>69</i>	<i>N/A Beach 53rd Street (vacant lot)</i>
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4. Date application approved, submitted, or planned for submission: 2020																																
5. Number of units affected: 0																																
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development																																
7. Timeline for activity: a. Actual or projected start date of activity: 2003 b. Projected end date of activity: 2023																																
Demolition/Disposition Activity Description																																
1a. Development name: Dyckman Houses 1b. Development (project) number: NY005000410																																

<p>2. Activity type: Demolition <input type="checkbox"/></p> <p>Disposition <input checked="" type="checkbox"/> <i>Lease of an approximate 15,000 square foot parcel on Block 2216 Lot 1 with development rights for affordable housing development.</i></p>
<p>3. Application status (select one)</p> <p>Approved <input type="checkbox"/></p> <p>Submitted, pending approval <input type="checkbox"/></p> <p>Planned application <input checked="" type="checkbox"/></p>
<p>4. Date original application approved, submitted, or planned for submission: 2020</p>
<p>5. Number of units affected: 0</p>
<p>6. Coverage of action (select one)</p> <p><input checked="" type="checkbox"/> Part of the development</p> <p><input type="checkbox"/> Total development</p>
<p>7. Timeline for activity:</p> <p>a. Actual or projected start date of activity: 2019</p> <p>b. Projected end date of activity: 2024</p>
<p>Demolition/Disposition Activity Description</p>
<p>1a. Development name: Morris II Houses</p> <p>1b. Development (project) number: NY005011020</p>
<p>2. Activity type: Demolition <input type="checkbox"/></p> <p>Disposition <input checked="" type="checkbox"/> <i>Lease of an approximate 13,000 square foot parcel on Block 2902 Lot 36 with development rights for affordable housing development.</i></p>
<p>3. Application status (select one)</p> <p>Approved <input type="checkbox"/></p> <p>Submitted, pending approval <input type="checkbox"/></p> <p>Planned application <input checked="" type="checkbox"/></p>
<p>4. Date original application approved, submitted, or planned for submission: 2020</p>
<p>5. Number of units affected: 0</p>
<p>6. Coverage of action (select one)</p> <p><input checked="" type="checkbox"/> Part of the development</p> <p><input type="checkbox"/> Total development</p>
<p>7. Timeline for activity:</p> <p>a. Actual or projected start date of activity: 2019</p> <p>b. Projected end date of activity: 2024</p>
<p>Demolition/Disposition Activity Description</p>
<p>1a. Development name: Kingsborough Houses and Kingsborough Houses Extension</p> <p>1b. Development (project) number: NY005010100</p>
<p>2. Activity type: Demolition <input type="checkbox"/></p> <p>Disposition <input checked="" type="checkbox"/> <i>Lease of an approximate 18,000 square foot parcel on Block 1344 Lots 1 and 175 with development rights for affordable housing development.</i></p>
<p>3. Application status (select one)</p> <p>Approved <input type="checkbox"/></p> <p>Submitted, pending approval <input type="checkbox"/></p> <p>Planned application <input checked="" type="checkbox"/></p>
<p>4. Date original application approved, submitted, or planned for submission: 2020</p>
<p>5. Number of units affected: 0</p>
<p>6. Coverage of action (select one)</p> <p><input checked="" type="checkbox"/> Part of the development</p> <p><input type="checkbox"/> Total development</p>

7. Timeline for activity: a. Actual or projected start date of activity: 2019 b. Projected end date of activity: 2024
Demolition/Disposition Activity Description
1a. Development name: West Brighton II 1b. Development (project) number: NY005010130
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Lease of a parcel on Block 196 Lot 1 with development rights for affordable housing development.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date original application approved, submitted, or planned for submission: TBD
5. Number of units affected: 0 6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2019 b. Projected end date of activity: TBD
Demolition/Disposition Activity Description
1a. Development name: Ingersoll Houses 1b. Development (project) number: NY005000140
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Transfer of a 6,000 square foot parcel and approximately 91,000 square feet of surplus development rights to an adjacent housing development site at Tillary Street and Prince Street (Block 2050 Lot 100) which has been rezoned with requirements for affordable housing.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date application approved, submitted, or planned for submission: 2019
5. Number of units affected: 0 6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: 2020
Demolition/Disposition Activity Description
1a. Development name: Robert Fulton Houses 1b. Development (project) number: NY005001360
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Transfer of surplus development rights to an adjacent development site for commercial</i>

<i>development.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date application approved, submitted, or planned for submission: TBD
5. Number of units affected: 0
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: TBD
Demolition/Disposition Activity Description
1a. Development name: College Avenue–East 165 Street 1b. Development (project) number: NY005013080
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Transfer of surplus development rights to an adjacent housing development site for affordable housing.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date application approved, submitted, or planned for submission: TBD
5. Number of units affected: 0
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: TBD
Demolition/Disposition Activity Description
1a. Development name: Howard Houses 1b. Development (project) number: NY005000720
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>Transfer of surplus development rights and potentially a small piece of land to an adjacent site for affordable housing development.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date application approved, submitted, or planned for submission: 2020
5. Number of units affected: 0

<p>6. Coverage of action (select one)</p> <p><input checked="" type="checkbox"/> Part of the development</p> <p><input type="checkbox"/> Total development</p>
<p>7. Timeline for activity:</p> <p>a. Actual or projected start date of activity: 2017</p> <p>b. Projected end date of activity: 2021</p>
<p>Demolition/Disposition Activity Description</p>
<p>1a. Development name: Bushwick II (Groups A & C)</p> <p>1b. Development (project) number: NY005012470</p>
<p>2. Activity type: Demolition <input type="checkbox"/></p> <p>Disposition <input checked="" type="checkbox"/> <i>Ground-lease disposition of 25 residential buildings with 300 units with the following addresses:</i></p> <ul style="list-style-type: none"> - 75 and 85 Covert Street, Brooklyn, NY 11207 - 139, 140 and 190 Harman Street, Brooklyn, NY 11221 - 140 and 160 Himrod Street, Brooklyn, NY 11221 - 155 Eldert Street, Brooklyn, NY 11207 - 250 and 270 Wilson Avenue, Brooklyn, NY 11237 - 251, 269, 270, 289, 290, and 310 Central Avenue, Brooklyn, NY 11221, and 580 Central Avenue, Brooklyn, NY 11207 - 595, 615, 670, and 690 Evergreen Avenue, Brooklyn, NY 11207 - 1229, 1240, 1259, and 1280 Greene Avenue, Brooklyn, NY 11221
<p>3. Application status (select one)</p> <p>Approved <input checked="" type="checkbox"/></p> <p>Submitted, pending approval <input type="checkbox"/></p> <p>Planned application <input type="checkbox"/></p>
<p>4. Date original application approved, submitted, or planned for submission: 2018</p>
<p>5. Number of units affected: 300</p>
<p>6. Coverage of action (select one)</p> <p><input type="checkbox"/> Part of the development</p> <p><input checked="" type="checkbox"/> Total development</p>
<p>7. Timeline for activity:</p> <p>a. Actual or projected start date of activity: 2018</p> <p>b. Projected end date of activity: 2019</p>
<p>Demolition/Disposition Activity Description</p>
<p>1a. Development name: Bushwick II CDA (Group E)</p> <p>1b. Development (project) number: NY005012470</p>
<p>2. Activity type: Demolition <input type="checkbox"/></p> <p>Disposition <input checked="" type="checkbox"/> <i>Ground-lease disposition of 5 residential buildings with 276 units with the following addresses:</i></p> <ul style="list-style-type: none"> - 172 and 176 Menahan Street, and 319, 323, and 327 Wilson Avenue, Brooklyn, NY 11237 - 226, 238, and 242 Grove Street, Brooklyn, NY, 11237, and 230 and 234 Grove Street and 339, 343, and 347 Wilson Avenue, Brooklyn, NY 11221 - 235, 239, 243, 247, and 251 Linden Street, and 524, 528, and 532 Knickerbocker Avenue, Brooklyn, NY 11221 - 220, 224, 228, 232, and 236 Linden Street, and 357, 361, and 365 Wilson Avenue, Brooklyn, NY 11221 - 1389, 1393, 1397, 1411, and 1415 Gates Avenue, and 550, 554, and 558 Knickerbocker Avenue, Brooklyn, NY 11221

3. Application status (select one) Approved <input checked="" type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date original application approved , submitted, or planned for submission: 2018
5. Number of units affected: 276
6. Coverage of action (select one) <input type="checkbox"/> Part of the development <input checked="" type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2018 b. Projected end date of activity: 2019
Demolition/Disposition Activity Description
1a. Development name: Red Hook East 1b. Development (project) number: NY005000040
2. Activity type: Demolition <input checked="" type="checkbox"/> Disposition <input type="checkbox"/> <i>In response to Hurricane Sandy, and in preparedness for future coastal storms, NYCHA has developed an expansive rehabilitation plan for Red Hook East Houses. As a result, NYCHA intends to demolish building # 28 at 590 Clinton Street with 4 residential units and commercial space at Red Hook East. This demolition will facilitate the construction of critical mechanical, electrical, and plumbing infrastructure that will serve the development. Please note that this demolition meets the de minimis exception to demolition requirements under §970.27 since it is less than 5 residential units and therefore a Section 18 demolition application is not required.</i>
3. Application status (select one) Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application <input checked="" type="checkbox"/>
4. Date original application approved, submitted, or planned for submission : 2017
5. Number of units affected: 4
6. Coverage of action (select one) <input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
7. Timeline for activity: a. Actual or projected start date of activity: 2017 b. Projected end date of activity: 2018
Demolition/Disposition Activity Description
1a. Development name: Boston Secor 1b. Development (project) number: NY005011380
2. Activity type: Demolition <input type="checkbox"/> Disposition <input checked="" type="checkbox"/> <i>NYCHA proposes to convey to the NYC School Construction Authority (“SCA”) a parcel of approximately 51,268 square feet on a portion of Block 5263, Lot 70 at Boston Secor in the Bronx. Under a ground lease with NYCHA since 1969, SCA built a one-story special education annex (P723X) on this parcel. This disposition will facilitate the on-going provision of special education programs and possible building replacement by SCA in the future. The Boston Secor Annex Site is expected to be acquired by the School Construction Authority by 2022.</i>
3. Application status (select one) Approved <input checked="" type="checkbox"/>

Submitted, pending approval

Planned application

4. Date application **approved**, submitted, or planned for submission: **May 12, 2011**

5. Number of units affected: 0

6. Coverage of action (select one)

Part of the development

Total development

7. Timeline for activity:

a. **Actual** or projected start date of activity: **July 2010**

b. **Projected** end date of activity: **2022**

C) Conversion of Public Housing

[24 CFR Part 903.7 (j)]

1. Assessments of Reasonable Revitalization Pursuant to section 202 of the HUD FY 1996 HUD Appropriations Act

1. Yes No: Have any of the PHA's developments or portions of developments been identified by HUD or the PHA as covered under section 202 of the HUD FY 1996 HUD Appropriations Act?

2. Conversions pursuant to Section 22 of the U.S. Housing Act of 1937

On September 11, 2008, HUD approved NYCHA's voluntary conversion plan ("VCP") to transition up to 8,400 public housing units to Section 8 assistance at the 21 developments that were previously developed with funding from the City or the State of New York but did not receive the benefit of federal public housing subsidies from HUD (the "City and State Developments") to close a significant gap between the cost of operating the buildings and rent collected. NYCHA has also received permission from HUD to project-base converted Section 8 units after the initial Section 8 tenant vacates.

As of October 4, 2019, there are 4,180 Section 8 conversions in the City and State-built developments (see table below). Subject to voucher and funding availability, NYCHA will continue to designate units and implement the VCP at the City and State Developments in the LLC I portfolio, while seeking a conversion for the units in the LLC II portfolio through the retention action pursuant to 2 CFR Part 200.

AMP Number	Development Name	Total Units	Number of Units to be Converted to Section 8	Number of Units Converted by 10/4/19
NY005021850	344 EAST 28TH STREET	225	225	84
NY005021870	AMSTERDAM ADDITION	175	26	26
NY005020920	BAY VIEW	1,610	340	340
NY005020460	BOULEVARD	1,441	1,424	456
NY005020860	BUSHWICK	1,220	209	209
NY005020800	CASTLE HILL	2,025	412	407
NY005021340	CHELSEA	425	68	68
NY005021110	DREW HAMILTON	1,217	276	278
NY005021400	INDEPENDENCE TOWERS	744	744	217
NY005020950	LINDEN	1,586	1,586	490
NY005020810	MANHATTANVILLE	1,272	204	204
NY005020490	MARBLE HILL	1,682	258	257
NY005020830	MARLBORO	1,765	372	352
NY005020990	RUTGERS	721	102	102

NY005020930	SAINT MARY'S PARK	1,007	211	210
NY005023770	SAMUEL (CITY)	664	105	105
NY005021140	STAPLETON	693	140	128
NY005021280	WILLIAMS PLAZA	577	577	128
NY005021270	WISE TOWERS	399	399	119
	Total	20,170	8,400	4,180

3. PACT for Unfunded Units

In July 2017, NYCHA announced that it was expanding PACT to protect the Authority’s unfunded units portfolio. This portfolio consists of eight (8) mixed-finance public housing developments known as the “LLC II developments,” which are ineligible to be included in the federal public housing operating fund and capital fund program subsidy formulas. Previously, NYCHA’s PACT initiative was synonymous with RAD. To make significant repairs, more effectively manage the developments, and strategically deploy NYCHA’s limited financial resources, NYCHA expanded PACT to create additional public-private partnerships and actively bring the unfunded units into the Authority’s Housing Choice Voucher (Section 8) project-based program.

The LLC II developments were originally built and funded by New York City and New York State subsidies but were never funded directly by HUD. These developments currently “share” in the federal funds provided for NYCHA’s public housing. This has cost NYCHA upwards of \$23 million per year in operating funds. Additionally, per the 2017 Physical Needs Assessment, the eight developments require more than \$1 billion in capital repairs, but while they remain unfunded, the buildings continue to deteriorate.

On September 11, 2008, HUD approved NYCHA’s plan to transition the unfunded public housing units to Section 8 assistance. Currently, when a resident vacates their apartment in an LLC II development, the Authority converts the unit to Section 8 project-based funding. Through this process, 1,391 units in the eight developments became part of Section 8 between 2008 and 2018. Through PACT and under 2 CFR Part 200 retention, the remaining 3,581 unfunded units will convert from public housing to Section 8. This PACT strategy is an unprecedented financing model to support these apartments, prevent them from falling into complete disrepair, and protect their affordability and residents’ rights.

Converting all of the units to Section 8 funding will bring new, stable revenue to these LLC II developments and allow for substantial improvements to be made to the apartments, buildings, and grounds. Additionally, funding previously diverted to these developments from the rest of NYCHA’s portfolio will now go towards the operation and maintenance of NYCHA’s traditional public housing developments.

On December 3, 2017, HUD approved NYCHA for a retention action pursuant to 2 CFR Part 200 for one non-dwelling building and 13 buildings with 722 apartments at Baychester Houses and Murphy Houses in the Bronx. HUD had previously approved NYCHA’s Significant Amendment to the FY 2017 Annual Plan for the retention action at Baychester and Murphy on November 22, 2017. On December 28, 2018, NYCHA closed on this PACT/Unfunded Units conversion by entering into a public-private partnership with MBD Community Housing Corporation (developer and social services provider), Camber Property Group (developer), and L&M Development Partners (developer and property manager). Social services are also being provided by BronxWorks. The project is being

financed with conventional debt with a perm takeout by the New York City Housing Development Corporation. Total renovation work for the project will be approximately \$88 million. Repairs will be completed by 2020.

As part of an Amendment to the FY 2018 Annual Plan, NYCHA requested HUD approval for a retention action pursuant to 2 CFR Part 200 for Independence Towers and Williams Plaza in Brooklyn. NYCHA began community engagement and resident conversion activities at these developments in March 2018. HUD approved NYCHA’s Significant Amendment to the FY 2018 Annual Plan for the retention action at Independence Towers and Williams Plaza on September 14, 2018. In the 2nd quarter of 2019, NYCHA selected a development to complete this project consisting of The Arker Companies, Omni New York LLC, Dabar Development Partners and Bedford Stuyvesant Restoration Corporation. The project is expected to close in December 2019.

NYCHA submitted an Amendment to the FY 2019 Annual Plan on March 21, 2019 to request HUD approval for a retention action pursuant to 2 CFR Part 200 for the remaining four developments in the LLC II portfolio, namely 344 East 28th Street, Wise Towers, Linden, and Boulevard. Through this action, all units in the developments will be operated outside of the federal public housing program under project-based Section 8. Families will be transitioned to Section 8 assistance. Families ineligible for Section 8 assistance will be allowed to remain in place and pay no more than 30% of their income for rent. Completion of the full PACT conversion is expected by 2020.

The LLC II developments are listed below:

AMP Number	Development Name	Total Units	Number of Units to be Converted to Section 8	Number of Units Converted by 10/4/19
NY005021850	344 EAST 28TH STREET	225	151	84
NY005021400	INDEPENDENCE TOWERS	744	584	217
NY005021280	WILLIAMS PLAZA	577	464	128
NY005021270	WISE TOWERS	399	291	119
NY005020460	BOULEVARD	1,441	996	456
NY005020950	LINDEN	1,586	1,103	490
Total		4,972	3,589	1,494

D) Homeownership

[24 CFR Part 903.7 (k)]

1. Public Housing

1. Yes No: Does the PHA administer any homeownership programs administered by the PHA under an approved section 5(h) homeownership program (42 U.S.C. 1437c(h)), or an approved HOPE I program (42 U.S.C. 1437aaa) or has the PHA applied or plan to apply to administer any homeownership programs under section 5(h), the HOPE I program, or section 32 of the U.S. Housing Act of 1937 (42 U.S.C. 1437z-4). (If “No”, skip to component 11B; if “yes”, complete one activity description for each applicable program/plan, unless eligible to complete a streamlined submission due to **small PHA** or **high performing PHA** status. PHAs completing streamlined submissions may skip to component 11B.)

Public Housing Homeownership Activity Description (Complete one for each development affected)	
1a. Development name: FHA Repossessed Houses Group V [formerly Groups I through X]	
1b. Development (project) number: NY005012090	
2. Federal Program authority:	<input type="checkbox"/> HOPE I <input checked="" type="checkbox"/> 5(h) <input type="checkbox"/> Turnkey III <input type="checkbox"/> Section 32 of the USHA of 1937 (effective 10/1/99)
3. Application status: (select one)	<input checked="" type="checkbox"/> Approved; included in the PHA’s Homeownership Plan/Program - <i>Section 5(h)</i> Submitted, pending approval <input type="checkbox"/> Planned application
4. Date Homeownership Plan/Program approved , submitted, or planned for submission:	9/11/2014
5. Number of units affected: 51	
6. Coverage of action: (select one)	<input checked="" type="checkbox"/> Part of the development <input type="checkbox"/> Total development
<i>The original Section 5(h) Plan Amendment approved in 2007 included 184 occupied single-family units intended for sale to public housing residents. On September 11, 2014, HUD issued a final Section 5(h) Plan Amendment granting approval for the sale of 51 units to residents under the Section 5(h) Plan and mandating Plan termination after the sale of the 51 units. Currently, 15 homes remain to be sold under the Plan.</i>	

E) Project-Based Vouchers (“PBV’s”)

Consistent with Section 232 of the *FY 2001 VA-HUD Appropriations Act* (PL 106-377), the *Notice* published in 66 Fed. Reg. 3605 (January 16, 2001) and *HUD Notice PIH 2001-4 (HA)* dated January 19, 2001, the New York City Housing Authority (hereafter “NYCHA” or “the Authority”) makes the following statement:

1. As of January 1, 2019, NYCHA has executed 120 HAP contracts for 8,975 project-based units receiving subsidy across the five boroughs in New York City. This includes project-based apartments at NYCHA’s LLC mixed finance developments and a RAD conversion at Ocean Bayside.
2. In 2019, NYCHA expects to utilize no more than 9% of the Consolidated Annual Contributions Contract (ACC) for Project Based contracts.
3. NYCHA understands that all new project-based assistance agreements must be for units within census tracts with poverty rates of less than 20%, unless HUD specifically approves an exception. 66 Fed. Reg. 3608.
4. NYCHA will carry out this program in accordance with 42 USC §1437f(o)(13), as amended by §232 of the *FY 2001 VA-HUD Appropriations Act and HUD Notice PIH 2017-21 (HA)*, and in conformity with the non-discrimination requirements specified in 24 CFR §903.7(o). In carrying out this program, the Authority will act affirmatively to further fair housing.
5. The Section 8 Project-Based Program will be consistent with NYCHA’s FY 2020 Annual Plan because:
 - a. Project-basing in certain locations is needed to assure the availability of affordable housing units for an initial period of 20 years with a renewal option of up to 20 years (maximum 40 years combined).
 - b. Project-basing broadens the scope of NYCHA’s program for applicants and landlords. It allows NYCHA to assist families who would not otherwise be eligible for assistance.
 - c. Consistent with the goals of NYCHA’s Five-Year plan, the Section 8 Project-Based Initiative:
 - i. expands the supply of assisted housing;
 - ii. increases assisted housing choice;
 - iii. ensures equal opportunity, and
 - iv. deconcentrates poverty and expands economic opportunities.
6. NYCHA will create site-based waiting lists for developments selected to receive project-based assistance. Applicants on NYCHA’s housing choice voucher waiting list will have the opportunity to apply for placement on site-based waiting lists. Placement on a site-based waiting list will not affect the applicant’s standing on the tenant-based waiting list.

F) Rental Assistance Demonstration Program (“RAD”)

1. Developments Converted under RAD

The Rental Assistance Demonstration (“RAD”) is a voluntary program administered by the United States Department of Housing and Urban Development (“HUD”). The goals of RAD are to safeguard long-term housing assistance, improve and modernize properties, and stabilize developments by placing them on more solid financial footing by converting the funding stream for such developments from Section 9 to Section 8.

PACT/RAD at Ocean Bay (Bayside)

In December 2016, NYCHA closed its first PACT/RAD transaction at Ocean Bay (Bayside) in the Rockaways neighborhood of Queens, converting 1,395 apartments in 24 elevator buildings from public housing to project-based Section 8 funding. NYCHA entered into a public-private partnership with MDG Construction + Design (developer and general contractor), The Wavecrest Management Team (property management company), Catholic Charities of Brooklyn and Queens (social services provider), and Ocean Bay Community Development Corporation (resident outreach and engagement team). The project is being financed with Superstorm Sandy recovery funds from FEMA, along with New York State Housing Finance Agency tax-exempt bonds and equity generated from federal 4% Low Income Housing Tax Credits. The project’s total development cost is \$560 million, including the FEMA-funded resiliency work. Funds are being directed to extensive capital improvements, including the installation of upgraded heating and security systems, new boilers and roofs, and updated apartment interiors that include new windows, kitchens, and bathrooms. All rehab work is occurring with tenants-in-place; no residents are being relocated or displaced as a result of the conversion. RAD repairs were completed in 2018 and the remaining FEMA work will conclude in 2019.

PACT/RAD at Scattered Sites in the Bronx

Between October 31, 2018 and November 30, 2018, NYCHA closed on three PACT/RAD conversions as outlined below. Extensive capital improvements will be undertaken at all of the sites, including upgrades to roofs, elevators, boilers, security systems, and grounds, as well as apartment interiors, including new kitchens and bathrooms. All rehab work is occurring with tenants-in-place; no residents are being relocated or displaced as a result of the PACT/RAD conversion.

- **Twin Parks West** in the Fordham Heights neighborhood of the Bronx. This conversion consists of one building with 312 apartments (including 1 superintendent unit). NYCHA entered into a public-private partnership with Gilbane Development Company (developer), Dantes Partners (developer), Apex Building Group (general contractor), and Kraus Management, Inc. (property manager). Social services are being provided by BronxWorks. The project is being financed with conventional debt. Total repair work for the project will be approximately \$38 million. Repairs will be completed by 2021.
- **Betances Houses** in the Mott Haven neighborhood of the Bronx. This conversion consisted of 40 buildings across 10 developments with 1,088 units (including 4 superintendent units). NYCHA entered into a public-private partnership with MDG Design + Construction (developer and general contractor), The Wavecrest Management Team (property manager), and Catholic Charities Community Services, Archdiocese of New York (social services provider). The project is being financed with conventional debt and developer equity. Total repair work for the project will be approximately \$120 million. Repairs will be completed by 2021.
- **Highbridge-Franklin** in the Highbridge and Claremont neighborhoods of the Bronx. This conversion included 14 buildings with 336 apartments (including 4 superintendent units).

NYCHA entered into a public-private partnership with Gilbane Development Company (developer), Dantes Partners (developer), Apex Building Group (general contractor), and The Kraus Organization (property manager). Social services are being provided by BronxWorks. The project is being financed with conventional debt and a subsidy loan from the New York City Department of Housing Preservation and Development. Total repair work for the project will be approximately \$27 million. Repairs will be completed by 2021.

- NYCHA closed on a fourth PACT/RAD conversion on July 18, 2019. The **Hope Gardens** conversion in Brooklyn’s Bushwick neighborhood consists of 60 buildings and one non-dwelling building with a total of 1,321 units (including four superintendent units and two residential units that will be created post-conversion). NYCHA entered into a public-private partnership with Pennrose LLC (developer) and Acacia Network (social services). The project was financed with a combination of as-of-right 4% Low Income Tax Credits and recycled tax-exempt bonds from the New York State Housing Finance Agency. Total repair work for the project will be approximately \$215 million. Repairs will be completed by 2021.

2. Developments Approved for Conversion

Below, please find specific information related to the public housing developments approved for conversion. On June 19, 2019, HUD approved NYCHA’s Significant Amendment to the FY 2019 Annual Plan which included a request to use the Section 18 disposition process for some or all units within the developments currently approved or being considered for RAD conversion, in order to improve the financial stability of the conversions. Resident rights will remain consistent across all developments and residents will continue to pay no more than 30% of adjusted gross income towards rent.

Name of Public Housing Development: ARMSTRONG I	PIC Development ID: NY005012100	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 371	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family/Senior	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family/Senior	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 282 = \$757,040
Bedroom Type	Number of Units Pre-Conversion 371	Number of Units Post-Conversion 371	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	61	61	0
One Bedroom	34	34	0
Two Bedroom	144	144	0

Three Bedroom	48	48	0
Four Bedroom	40	40	0
Five Bedroom	44	44	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: ARMSTRONG II	PIC Development ID: NY005012100	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 248	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 248 = \$506,054
Bedroom Type	Number of Units Pre-Conversion 248	Number of Units Post-Conversion 248	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	0	0	0
Two Bedroom	146	146	0
Three Bedroom	61	61	0
Four Bedroom	24	24	0
Five Bedroom	17	17	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: BERRY STREET-SOUTH 9TH STREET	PIC Development ID: NY005011310	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 150	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by

			total number of units in project) \$346,326,398/ 169,723 x 150 = \$306,081
Bedroom Type	Number of Units Pre-Conversion 150	Number of Units Post-Conversion 150	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	22	22	0
Two Bedroom	76	76	0
Three Bedroom	46	46	0
Four Bedroom	6	6	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: MANHATTANVILLE REHAB (GROUP 2)	PIC Development ID: NY005010810	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 46	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 46 = \$93,865
Bedroom Type	Number of Units Pre-Conversion 46	Number of Units Post-Conversion 46	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	30	30	0
Two Bedroom	6	6	0
Three Bedroom	10	10	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	

(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: MARCY AVENUE-GREENE AVENUE SITE A	PIC Development ID: NY005013590	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 48	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x48 = \$97,946
Bedroom Type	Number of Units Pre-Conversion 48	Number of Units Post-Conversion 48	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	10	10	0
Two Bedroom	13	13	0
Three Bedroom	25	25	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: MARCY AVENUE-GREENE AVENUE SITE B	PIC Development ID: NY005013590	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 30	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 30 = \$61,216

Bedroom Type	Number of Units Pre-Conversion 30	Number of Units Post-Conversion 30	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	5	5	0
Two Bedroom	10	10	0
Three Bedroom	15	15	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: WEEKSVILLE GARDENS	PIC Development ID: NY005010310	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 257	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 257= \$524,419
Bedroom Type	Number of Units Pre-Conversion 257	Number of Units Post-Conversion 257	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	21	21	0
One Bedroom	32	32	0
Two Bedroom	4	4	0
Three Bedroom	196	196	0
Four Bedroom	4	4	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		

Name of Public Housing Development: 335 EAST 111 TH STREET	PIC Development ID: NY005010640	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 66	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 66 = \$134,676
Bedroom Type	Number of Units Pre-Conversion 66	Number of Units Post-Conversion 66	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	17	17	0
One Bedroom	22	22	0
Two Bedroom	15	15	0
Three Bedroom	6	6	0
Four Bedroom	6	6	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: PARK AVENUE-EAST 122 ND , 123 RD STREETS	PIC Development ID: NY005012410	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 90	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 90 = \$183,649
Bedroom Type	Number of Units Pre-Conversion 90	Number of Units Post-Conversion 90	Change in Number of Units per Bedroom Type and Why (De

			Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	27	27	0
Two Bedroom	34	34	0
Three Bedroom	17	17	0
Four Bedroom	12	12	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: PUBLIC SCHOOL 139 (CONVERSION)	PIC Development ID: NY005011110	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 125	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Senior	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Senior	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 125 = \$255,067
Bedroom Type	Number of Units Pre-Conversion 125	Number of Units Post-Conversion 125	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	14	14	0
One Bedroom	111	111	0
Two Bedroom	0	0	0
Three Bedroom	0	0	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: SAMUEL (MHOP) III	PIC Development ID: NY005013170	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units

			transferring) No
Total Units: 10	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 10 = \$20,405
Bedroom Type	Number of Units Pre-Conversion 10	Number of Units Post-Conversion 10	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	1	1	0
Two Bedroom	9	9	0
Three Bedroom	0	0	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: GRAMPION	PIC Development ID: NY005010300	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 35	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 35 = \$71,419
Bedroom Type	Number of Units Pre-Conversion 35	Number of Units Post-Conversion 35	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of

			Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	1	1	0
One Bedroom	14	14	0
Two Bedroom	6	6	0
Three Bedroom	14	14	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: FORT WASHINGTON AVENUE REHAB	PIC Development ID: NY005013090	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 226	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Senior	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Senior	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 226 = \$461,162
Bedroom Type	Number of Units Pre-Conversion 226	Number of Units Post-Conversion 226	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	203	203	0
Two Bedroom	23	23	0
Three Bedroom	0	0	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		

Name of Public Housing Development: 572 WARREN STREET	PIC Development ID: NY005011630	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 200	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 200 = \$408,108
Bedroom Type	Number of Units Pre-Conversion 200	Number of Units Post-Conversion 200	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	54	54	0
One Bedroom	44	44	0
Two Bedroom	50	50	0
Three Bedroom	42	42	0
Four Bedroom	5	5	0
Five Bedroom	5	5	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		

3. Developments Under Consideration by HUD for Future Section 8 Conversions

Below, please find specific information related to the Public Housing Developments that are under consideration by HUD for future RAD conversions, which may involve some or all units converting to Section 8 via Section 18.

Name of Public Housing Development: CLAREMONT REHAB (GROUP 2)	PIC Development ID: NY005013080	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 107	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by

			total number of units in project) \$346,326,398/ 169,723 x 107 = \$218,338
Bedroom Type	Number of Units Pre-Conversion 107	Number of Units Post-Conversion 107	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	48	48	0
Two Bedroom	34	34	0
Three Bedroom	23	23	0
Four Bedroom	2	2	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: CLAREMONT REHAB (GROUP 3)	PIC Development ID: NY005013080	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 115	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 115 = \$234,662
Bedroom Type	Number of Units Pre-Conversion 115	Number of Units Post-Conversion 115	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	39	39	0
Two Bedroom	53	53	0
Three Bedroom	18	18	0
Four Bedroom	2	2	0
Five Bedroom	3	3	0
Six Bedroom	0	0	

(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: CLAREMONT REHAB (GROUP 4)	PIC Development ID: NY005013080	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 150	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 150 = \$306,081
Bedroom Type	Number of Units Pre-Conversion 150	Number of Units Post-Conversion 150	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	47	47	0
Two Bedroom	75	75	0
Three Bedroom	26	26	0
Four Bedroom	2	2	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: CLAREMONT REHAB (GROUP 5)	PIC Development ID: NY005013080	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 135	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 135 = \$275,473

Bedroom Type	Number of Units Pre-Conversion 135	Number of Units Post-Conversion 135	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	42	42	0
Two Bedroom	73	73	0
Three Bedroom	18	18	0
Four Bedroom	2	2	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: HARRISON AVENUE REHAB (GROUP A)	PIC Development ID: NY005013410	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 34	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 34 = \$69,378
Bedroom Type	Number of Units Pre-Conversion 34	Number of Units Post-Conversion 34	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	13	13	0
Two Bedroom	15	15	0
Three Bedroom	6	6	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		

Name of Public Housing Development: HARRISON AVENUE REHAB (GROUP B)	PIC Development ID: NY005013410	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 150	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 150 = \$306,081
Bedroom Type	Number of Units Pre-Conversion 150	Number of Units Post-Conversion 150	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	48	48	0
Two Bedroom	70	70	0
Three Bedroom	27	27	0
Four Bedroom	5	5	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: MANHATTANVILLE REHAB (GROUP 3)	PIC Development ID: NY005010810	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 51	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 51 = \$104,067

Bedroom Type	Number of Units Pre-Conversion 51	Number of Units Post-Conversion 51	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	18	18	0
Two Bedroom	25	25	0
Three Bedroom	7	7	0
Four Bedroom	1	1	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: REHAB PROGRAM (WISE REHAB)	PIC Development ID: NY005011270	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 40	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 40 = \$81,622
Bedroom Type	Number of Units Pre-Conversion 40	Number of Units Post-Conversion 40	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	21	21	0
Two Bedroom	19	19	0
Three Bedroom	0	0	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		

Name of Public Housing Development: SOUTH BRONX AREA (SITE 402)	PIC Development ID: NY005013420	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 114	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 114 = \$232,621
Bedroom Type	Number of Units Pre-Conversion 114	Number of Units Post-Conversion 114	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	0	0	0
Two Bedroom	36	36	0
Three Bedroom	66	66	0
Four Bedroom	12	12	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: STEBBINS AVENUE-HEWITT PLACE	PIC Development ID: NY005013420	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 120	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 120 = \$244,865
Bedroom Type	Number of Units Pre-Conversion 120	Number of Units Post-Conversion 120	Change in Number of Units per Bedroom Type and Why (De

			Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	30	30	0
Two Bedroom	60	60	0
Three Bedroom	30	30	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: UNION AVENUE-EAST 166TH STREET	PIC Development ID: NY005013420	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 120	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 120 = \$244,865
Bedroom Type	Number of Units Pre-Conversion 120	Number of Units Post-Conversion 120	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	27	27	0
Two Bedroom	67	67	0
Three Bedroom	26	26	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: WEST FARMS SQUARE CONVENTIONAL	PIC Development ID: NY005015310	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units

			transferring) No
Total Units: 20	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 20 = \$40,811
Bedroom Type	Number of Units Pre-Conversion 20	Number of Units Post-Conversion 20	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	6	6	0
Two Bedroom	13	13	0
Three Bedroom	1	1	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: WSUR (BROWNSTONES)	PIC Development ID: NY005011270	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 236	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.) Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 236 = \$481,567
Bedroom Type	Number of Units Pre-Conversion 236	Number of Units Post-Conversion 236	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit

			Reconfigurations, etc.)
Studio/Efficiency	124	124	0
One Bedroom	31	31	0
Two Bedroom	80	80	0
Three Bedroom	1	1	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: HOE AVENUE-EAST 173 RD STREET	PIC Development ID: NY005015300	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 65	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 65 = \$132,635
Bedroom Type	Number of Units Pre-Conversion 65	Number of Units Post-Conversion 65	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	5	5	0
One Bedroom	24	24	0
Two Bedroom	24	24	0
Three Bedroom	12	12	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: BRYANT AVENUE-EAST 174 TH STREET	PIC Development ID: NY005015300	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No

Total Units: 72	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 72 = \$146,919
Bedroom Type	Number of Units Pre-Conversion 72	Number of Units Post-Conversion 72	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	14	14	0
One Bedroom	24	24	0
Two Bedroom	22	22	0
Three Bedroom	12	12	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: EAST 173 RD STREET-VYSE AVENUE	PIC Development ID: NY005015300	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 168	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 168 = \$342,811
Bedroom Type	Number of Units Pre-Conversion 168	Number of Units Post-Conversion 168	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0

One Bedroom	42	42	0
Two Bedroom	82	82	0
Three Bedroom	44	44	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: 1010 EAST 178 TH STREET	PIC Development ID: NY005011330	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 220	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 220 = \$448,919
Bedroom Type	Number of Units Pre-Conversion 220	Number of Units Post-Conversion 220	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	20	20	0
One Bedroom	76	76	0
Two Bedroom	40	40	0
Three Bedroom	6	6	0
Four Bedroom	2	2	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: EAST 165 TH STREET-BRYANT AVENUE	PIC Development ID: NY005015300	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 111	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of

			public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 111 = \$226,500
Bedroom Type	Number of Units Pre-Conversion 111	Number of Units Post-Conversion 111	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	0	0	0
Two Bedroom	34	34	0
Three Bedroom	65	65	0
Four Bedroom	12	12	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: HUNTS POINT AVENUE REHAB	PIC Development ID: NY005015300	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 131	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 131 = \$267,311
Bedroom Type	Number of Units Pre-Conversion 131	Number of Units Post-Conversion 131	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	20	20	0
Two Bedroom	75	75	0
Three Bedroom	36	36	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0

(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: LONGFELLOW AVENUE REHAB	PIC Development ID: NY005015300	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 75	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 75 = \$153,040
Bedroom Type	Number of Units Pre-Conversion 75	Number of Units Post-Conversion 75	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	0	0	0
Two Bedroom	0	0	0
Three Bedroom	75	75	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: WEST FARMS ROAD REHAB	PIC Development ID: NY005015300	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 208	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 208 = \$424,432

Bedroom Type	Number of Units Pre-Conversion 208	Number of Units Post-Conversion 208	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	92	92	0
Two Bedroom	81	81	0
Three Bedroom	31	31	0
Four Bedroom	4	4	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: WASHINGTON HEIGHTS REHAB (GROUPS 1&2)	PIC Development ID: NY005013090	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 216	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 216= \$440,756
Bedroom Type	Number of Units Pre-Conversion 216	Number of Units Post-Conversion 216	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	96	96	0
Two Bedroom	82	82	0
Three Bedroom	33	33	0
Four Bedroom	5	5	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		

Name of Public Housing Development: WASHINGTON HEIGHTS REHAB PHASE III	PIC Development ID: NY005010030 & NY005013090	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 102	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 102 = \$208,135
Bedroom Type	Number of Units Pre-Conversion 102	Number of Units Post-Conversion 102	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	26	26	0
Two Bedroom	58	58	0
Three Bedroom	15	15	0
Four Bedroom	3	3	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: WASHINGTON HEIGHTS REHAB PHASE IV (C)	PIC Development ID: NY005013090	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 32	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 32 = \$65,297
Bedroom Type	Number of Units Pre-Conversion 32	Number of Units Post-Conversion 32	Change in Number of Units per Bedroom Type and Why (De

			Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	19	19	0
Two Bedroom	10	10	0
Three Bedroom	2	2	0
Four Bedroom	1	1	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: WASHINGTON HEIGHTS REHAB PHASE IV (D)	PIC Development ID: NY005013090	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 32	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 32 = \$65,297
Bedroom Type	Number of Units Pre-Conversion 32	Number of Units Post-Conversion 32	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	20	20	0
Two Bedroom	6	6	0
Three Bedroom	4	4	0
Four Bedroom	2	2	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: SAMUEL (MHOP) I	PIC Development ID: NY005013170	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units

			transferring) No
Total Units: 53	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 53 = \$108,149
Bedroom Type	Number of Units Pre-Conversion 53	Number of Units Post-Conversion 53	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	4	4	0
Two Bedroom	48	48	0
Three Bedroom	1	1	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: SAMUEL (MHOP) II	PIC Development ID: NY005013170	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 10	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 10 = \$20,405
Bedroom Type	Number of Units Pre-Conversion 10	Number of Units Post-Conversion 10	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit

			Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	1	1	0
Two Bedroom	5	5	0
Three Bedroom	4	4	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: 1471 WATSON AVENUE	PIC Development ID: NY005010670	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 96	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 96 = \$195,892
Bedroom Type	Number of Units Pre-Conversion 96	Number of Units Post-Conversion 96	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	12	12	0
One Bedroom	38	38	0
Two Bedroom	30	30	0
Three Bedroom	16	16	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: BOYNTON AVENUE REHAB	PIC Development ID: NY005010320	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No

Total Units: 82	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 82 = \$167,324
Bedroom Type	Number of Units Pre-Conversion 82	Number of Units Post-Conversion 82	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	25	25	0
Two Bedroom	37	37	0
Three Bedroom	17	17	0
Four Bedroom	3	3	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: WILLIAMSBURG	PIC Development ID: NY005000020	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 1,630	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 1,630 = \$3,326,079
Bedroom Type	Number of Units Pre-Conversion: 1,630	Number of Units Post-Conversion: 1,630	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)

Studio/Efficiency	45	45	0
One Bedroom	775	775	0
Two Bedroom	741	741	0
Three Bedroom	69	69	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: HARLEM RIVER	PIC Development ID: NY005010030	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 577	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 577 = \$1,177,391
Bedroom Type	Number of Units Pre-Conversion: 577	Number of Units Post-Conversion: 577	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	59	59	0
One Bedroom	257	257	0
Two Bedroom	236	236	0
Three Bedroom	25	25	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: HARLEM RIVER II	PIC Development ID: NY005010030	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No

Total Units: 116	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 116 = \$236,703
Bedroom Type	Number of Units Pre-Conversion: 116	Number of Units Post-Conversion: 116	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	42	42	0
Two Bedroom	42	42	0
Three Bedroom	29	29	0
Four Bedroom	3	3	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: AUDUBON	PIC Development ID: NY005010030	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 168	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Family	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Family	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 168 = \$342,811
Bedroom Type	Number of Units Pre-Conversion: 168	Number of Units Post-Conversion: 168	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	5	5	0

One Bedroom	46	46	0
Two Bedroom	22	22	0
Three Bedroom	63	63	0
Four Bedroom	26	26	0
Five Bedroom	6	6	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: BETHUNE GARDENS	PIC Development ID: NY005010030	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 210	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Senior	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Senior	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 210 = \$428,513
Bedroom Type	Number of Units Pre-Conversion: 210	Number of Units Post-Conversion: 210	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	42	42	0
One Bedroom	126	126	0
Two Bedroom	42	42	0
Three Bedroom	0	0	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance): 7	(Explain how transferring waiting list) N/A		
Name of Public Housing Development: MARSHALL PLAZA	PIC Development ID: NY005010030	Conversion type (i.e., PBV or PBRA): PBV	Transfer of Assistance: (if yes, please put the location if known, and # of units transferring) No
Total Units: 180	Pre- RAD Unit Type (i.e., Family, Senior, etc.): Senior	Post-RAD Unit Type if different (i.e., Family, Senior, etc.): Senior	Capital Fund allocation of Development: (Annual Capital Fund Grant, divided by

			total number of public housing units in PHA, multiplied by total number of units in project) \$346,326,398/ 169,723 x 180 = \$367,297
Bedroom Type	Number of Units Pre-Conversion: 180	Number of Units Post-Conversion: 180	Change in Number of Units per Bedroom Type and Why (De Minimis Reduction, Transfer of Assistance, Unit Reconfigurations, etc.)
Studio/Efficiency	0	0	0
One Bedroom	180	180	0
Two Bedroom	0	0	0
Three Bedroom	0	0	0
Four Bedroom	0	0	0
Five Bedroom	0	0	0
Six Bedroom	0	0	0
(If performing a Transfer of Assistance):	(Explain how transferring waiting list) N/A		

RAD Resident Rights, Participation, Waiting List and Grievance Procedures

Please note the resident rights listed below are from HUD Notice H-2019-09 PIH-2019-23 (HA), Rental Assistance Demonstration REV-4 – Final Implementation (the “Notice”), Section 1.6 C and Section 1.6 D):

1.6.C. PBV Resident Rights and Participation.

- 1. No Rescreening of Tenants upon Conversion.** Pursuant to the RAD Statute¹, at conversion, current households cannot be excluded from occupancy at the Covered Project² based on any rescreening, income eligibility, or income targeting. With respect to occupancy in the Covered Project, current households in the Converting Project³ will be grandfathered for application of any eligibility criteria to conditions that occurred prior to conversion but will be subject to any ongoing eligibility requirements for actions that occur after conversion.⁴ Post-conversion, the

¹ RAD is authorized by the Consolidated and Further Continuing Appropriations Act of 2012 (Pub. L. No. 112-55, approved November 18, 2011), as amended by the Consolidated Appropriations Act, 2014 (Pub. L. No. 113-76, approved January 17, 2014), the Consolidated and Further Continuing Appropriations Act, 2015 (Pub. L. No. 113-235, approved December 6, 2014), and Division L, Title II, Section 237 of the Consolidated Appropriations Act (Pub. L. No. 114-113, enacted December 18, 2015), collectively, the “RAD Statute.”

² *Covered Project* - The post-conversion property with assistance converted from one form of rental assistance to another under the Demonstration.

³ *Converting Project* - The pre-conversion property whose assistance is converting from one form of rental assistance to another under the Demonstration.

⁴ These protections (as well as all protections in this Notice for current households) also apply when a household is

tenure of all residents of the Covered Project is protected pursuant to PBV requirements regarding continued occupancy unless explicitly modified in this Notice (e.g., rent phase-in provisions). For example, a unit with a household that was over-income at time of conversion would continue to be treated as an assisted unit. Thus, Section 8(o)(4) of the 1937 Act and 24 CFR § 982.201, concerning eligibility and targeting of tenants for initial occupancy, will not apply for current households. Once the grandfathered household moves out, the unit must be leased to an eligible family. MTW agencies may not alter this requirement. Further, so as to facilitate the right to return to the assisted property, HUD waives Section 8(o)(4) and 24 CFR § 982.201 to the extent necessary for this provision to apply to current public housing residents of the Converting Project that will reside in non-RAD PBV units or non-RAD PBRA units placed in a project that contain RAD PBV units or RAD PBRA units. Such families and such contract units will otherwise be subject to all requirements of the applicable program, specifically 24 CFR Part 983 for non-RAD PBV units and the PBRA requirements governing the applicable contract for non-RAD PBRA units.⁵

2. Right to Return. See Section 1.4.A.5(b) of the Notice referenced below and the RAD Fair Housing, Civil Rights, and Relocation Notice (as defined below) regarding a resident’s right to return. To facilitate the uniform treatment of residents and units at a Covered Project, any non-RAD PBV units located in the same Covered Project shall be subject to the terms of this provision.

i. **RAD Fair Housing, Civil Rights, and Relocation Notice.** Relocation requirements related to public housing conversions under RAD are described in the RAD Fair Housing, Civil Rights, and Relocation Notice.⁶ The RAD Fair Housing, Civil Rights, and Relocation Notice provides PHAs and their development partners with information and resources on RAD program requirements, Uniform Relocation Act (URA) requirements, and other requirements which may be applicable such as Section 104(d) of the Housing and Community Development Act of 1974, as amended (Section 104(d)) when planning for or implementing resident moves in connection with a RAD conversion under the First Component of RAD. Specifically, the RAD Fair Housing, Civil Rights, and Relocation Notice provides guidance on relocation planning, resident right to return, relocation assistance, resident notification, initiation of relocation, and the fair housing and civil rights requirements applicable to these activities.

relocated to facilitate new construction or repairs following conversion and subsequently returns to the Covered Project.

⁵ For non-RAD PBV households, applicable program requirements include the requirement that any admission to the project must be initially eligible for a HAP payment at admission to the program, which means their TTP may not exceed the gross rent for the unit at that time.

⁶ “Rental Assistance Demonstration (RAD) Notice Regarding Fair Housing and Civil Rights Requirements and Relocation Requirements Applicable to RAD First Component – Public Housing Conversions” http://portal.hud.gov/hudportal/documents/huddoc?id=RAD_Notic2.pdf. For properties being redeveloped with funding under a Choice Neighborhoods Implementation (CNI) grant, the RAD Fair Housing, Civil Rights, and Relocation Notice is superseded by requirements regarding relocation included in the applicable CNI NOFA and applicable CNI Grant Agreement.

The appendices to the RAD Fair Housing, Civil Rights, and Relocation Notice include recommended relocation plan contents. Sample relocation notices for issuance to residents depending on RAD project characteristics are available on the RAD website at www.hud.gov/rad. The primary source for First Component relocation requirements and guidance is the RAD Fair Housing, Civil Rights, and Relocation Notice and not this Notice. In the event of a conflict between this Notice and the RAD Fair Housing, Civil Rights, and Relocation Notice, with regard to relocation requirements, the RAD Fair Housing, Civil Rights, and Relocation Notice controls.

ii. **Right to Return.** Any resident that may need to be temporarily relocated to facilitate rehabilitation or construction has a right to return to an assisted unit at the Covered Project once rehabilitation or construction is completed. Permanent involuntary displacement of residents may not occur as a result of a project's conversion of assistance, including, but not limited to, as a result of a change in bedroom distribution, a de minimis reduction of units, the reconfiguration of efficiency apartments, or the repurposing of dwelling units in order to facilitate social service delivery. Where the transfer of assistance to a new site is warranted and approved (see Section 1.4.A.12 of the Notice), residents of the Converting Project will have the right to reside in an assisted unit at the new site once rehabilitation or construction is complete. For more information on how to implement these provisions see the RAD Fair Housing, Civil Rights, and Relocation Notice.

iii. **Ineligibility of Tenant Protection Vouchers.** Conversion of assistance is not an event that triggers the issuance of Tenant Protection Vouchers to residents of public housing projects going through a RAD conversion.⁷

3. **Phase-in of Tenant Rent Increases.** If, purely as a result of conversion, the amount a tenant would pay for rent and utilities under the PBV program (the tenant's TTP) would increase the tenant's TTP by more than the greater of 10 percent or \$25, the rent increase will be phased in over 3 or 5 years. To implement this provision, HUD is specifying alternative requirements for section 3(a)(1) of the Act, as well as 24 CFR § 983.3 (definition of "total tenant payment" (TTP)) to the extent necessary to allow for the phase-in of tenant rent increases. A PHA must create a policy setting the length of the phase-in period at three years, five years or a combination depending on circumstances and must communicate such policy in writing to affected residents. For example, a PHA may create a policy that uses a three year phase-in for smaller increases in rent and a five year phase-in for larger increases in rent. This policy must be in place at conversion and may not be modified after conversion.

The method described below explains the set percentage-based phase-in a Project Owner must follow according to the phase-in period established. For purposes of this section

⁷ This provision does not preclude a PHA from receiving tenant protection vouchers for a property that has also received a Choice Neighborhoods Implementation grant.

“Calculated PBV TTP” refers to the TTP calculated in accordance with regulations at 24 CFR §5.628 and the “most recently paid TTP” refers to the TTP recorded on line 9j of the family’s most recent HUD Form 50058. If a family in a project converting from Public Housing to PBV was paying a flat rent immediately prior to conversion, the PHA should use the flat rent amount to calculate the phase-in amount for Year 1 (the first recertification following conversion), as illustrated below.

Three Year Phase-in:

- Year 1: Any recertification (interim or annual) performed prior to the second annual recertification after conversion – 33% of difference between most recently paid TTP or flat rent and the Calculated PBV TTP
- Year 2: Year 2 Annual Recertification (AR) and any Interim Recertification (IR) prior to Year 3 AR – 50% of difference between most recently paid TTP and the Calculated PBV TTP
- Year 3: Year 3 AR and all subsequent recertifications – Full Calculated PBV TTP⁸

Five Year Phase in:

- Year 1: Any recertification (interim or annual) performed prior to the second annual recertification after conversion – 20% of difference between most recently paid TTP or flat rent and the Calculated PBV TTP
- Year 2: Year 2 AR and any IR prior to Year 3 AR – 25% of difference between most recently paid TTP and the Calculated PBV TTP
- Year 3: Year 3 AR and any IR prior to Year 4 AR – 33% of difference between most recently paid TTP and the Calculated PBV TTP
- Year 4: Year 4 AR and any IR prior to Year 5 AR – 50% of difference between most recently paid TTP and the Calculated PBV TTP
- Year 5 AR and all subsequent recertifications – Full Calculated PBV TTP

Please Note: In either the three year phase-in or the five-year phase-in, once the Calculated PBV TTP is equal to or less than the previous TTP, the phase-in ends and tenants will pay full TTP from that point forward. MTW agencies must also implement a three or five-year phase-in for impacted residents, but may alter the terms above as long as it establishes a written policy setting forth the alternative terms. To facilitate the uniform treatment of residents and units at a Covered Project, any non-RAD PBV units located in the same Covered Project shall be subject to the terms of this provision.

4. Family Self Sufficiency (FSS) and Resident Opportunities and Self Sufficiency Service Coordinator (ROSS-SC) programs. Public Housing residents that are currently FSS participants will continue to participate in the PHA’s FSS program. The PHA may continue

⁸ For example, where a resident’s most recently paid TTP is \$100, but the Calculated PBV TTP is \$200 and remains \$200 for the period of the resident’s occupancy, (i.e. no changes in income) the resident would continue to pay the same rent and utilities for which it was responsible prior to conversion. At the first recertification following conversion, the resident’s contribution would increase by 33% of \$100 to \$133. At the second AR, the resident’s contribution would increase by 50% of the \$66 differential to the standard TPP, increasing to \$166. At the third AR, the resident’s contribution would increase to \$200 and the resident would continue to pay the Calculated PBV TTP for the duration of their tenancy.

to use any FSS funds already awarded to serve those FSS participants who live in units converted by RAD. At the completion of the FSS grant, PHAs should follow the normal closeout procedures outlined in the grant agreement. If the PHA continues to run an FSS program that serves PH and/or HCV participants, the PHA will continue to be eligible (subject to NOFA requirements) to apply for FSS funding. Due to the program merger between PH FSS and HCV FSS that took place pursuant to the FY14 Appropriations Act (and was continued in the subsequent Appropriation Acts), no special provisions are required to continue serving FSS participants that live in public housing units converting to PBV under RAD.

However, PHAs should note that until provisions of the Economic Growth, Regulatory Relief, and Consumer Protection Act are implemented, there are certain FSS requirements (e.g., escrow calculation and escrow forfeitures) that apply differently depending on whether the FSS participant is a participant under the HCV program or a public housing resident, and PHAs must follow such requirements accordingly. All PHAs will be required to administer the FSS program in accordance with FSS regulations at 24 CFR part 984 (current, or as amended), the participants' contracts of participation, and the alternative requirements established in the "Waivers and Alternative Requirements for the FSS Program" Federal Register notice, published on December 29, 2014, at 79 FR 78100.⁹ Further, upon conversion to PBV, if the PHA no longer has a public housing program, funds already escrowed for FSS participants shall be transferred into the HCV escrow account and be considered TBRA funds, thus reverting to the HAP account if forfeited by the FSS participant.¹⁰

For information on FSS PIC reporting requirements for RAD conversions, see Notice PIH 2016-08 at <http://portal.hud.gov/hudportal/documents/huddoc?id=pih2016-08.pdf>.

Current ROSS-SC grantees will be able to finish out their current ROSS-SC grants once their housing is converted under RAD. However, once the property is converted, it will no longer be eligible to be counted towards the unit count for future ROSS-SC grants, nor will its residents be eligible to be served by future ROSS-SC grants, which, by statute, can only serve public housing residents. At the completion of the ROSS-SC grant, PHAs should follow the normal closeout procedures outlined in the grant agreement. Please note that ROSS-SC grantees may be a non-profit or local Resident Association and this consequence of a RAD conversion may impact those entities. To facilitate the uniform treatment of residents and units at a Covered Project, any non-RAD PBV units located in the same Covered Project shall be subject to the terms of this provision.

- 5. Resident Participation and Funding.** In accordance with Attachment 1B of the Notice, residents of Covered Projects with assistance converted to PBV will have the right to establish

⁹ The funding streams for the PH FSS Program and the HCV FSS Program were first merged pursuant to the FY 2014 appropriations act. As a result, PHAs can serve both PH residents and HCV participants, including PBV participants, with FSS funding awarded under the FY 2014 FSS Notice of Funding Availability (FSS NOFA) and any other NOFA under which the combination of funds remains in the applicable appropriations act. For PHAs that had managed both programs separately and now have a merged program, a conversion to PBV should not impact their FSS participants.

¹⁰ Where the PHA maintains a public housing program, any forfeited funds that had been escrowed prior to conversion would revert to the PHA's Operating Reserves.

and operate a resident organization for the purpose of addressing issues related to their living environment and be eligible for resident participation funding. To facilitate the uniform treatment of residents and units at a Covered Project, any non- RAD PBV units located in the same Covered Project shall be subject to the terms of this provision.

6. Resident Procedural Rights. The following items must be incorporated into both the Section 8 Administrative Plan and the Project Owner’s lease, which includes the required tenancy addendum (HUD Form 52530-c), as appropriate. Evidence of such incorporation may be requested by HUD for purposes of monitoring the program.

- i. **Termination Notification.** HUD is incorporating additional termination notification requirements to comply with section 6 of the Act for public housing projects that convert assistance under RAD and to non-RAD PBV units at the Covered Project. In addition to the regulations at 24 CFR § 983.257 related to Project Owner termination of tenancy and eviction (which MTW agencies may not alter) the termination procedure for RAD conversions to PBV will require that PHAs provide adequate written notice of termination of the lease which shall be :
 - a. A reasonable period of time, but not to exceed 30 days:
 - i. If the health or safety of other tenants, Project Owner employees, or persons residing in the immediate vicinity of the premises is threatened; or
 - ii. In the event of any drug-related or violent criminal activity or any felony conviction;
 - b. Not less than 14 days in the case of nonpayment of rent; and
 - c. Not less than 30 days in any other case, except that if a State or local law provides for a shorter period of time, such shorter period shall apply.
- ii. **Grievance Process.** Pursuant to requirements in the RAD Statute, HUD is establishing additional resident procedural rights to comply with section 6 of the Act.

For the termination of assistance and several other PHA determinations, PBV program rules require the PHA to provide an opportunity for an informal hearing, as outlined in 24 CFR § 982.555. RAD will specify alternative requirements for 24 CFR § 982.555(b) in part, which outlines when informal hearings are not required, to require that:

- a. In addition to reasons that require an opportunity for an informal hearing given in 24 CFR § 982.555(a)(1)(i)-(vi),¹¹ an opportunity for an informal hearing must be given to residents for any dispute that a resident may have with respect to a Project Owner action in accordance with the individual’s lease or the contract administrator in accordance with RAD PBV requirements that adversely affect the resident’s rights, obligations, welfare, or status.
 - i. For any hearing required under 24 CFR § 982.555(a)(1)(i)-(vi), the contract administrator will perform the hearing, as is the current standard in the program. The hearing officer must be selected in accordance with 24 CFR § 982.555(e)(4)(i).
 - ii. For any additional hearings required under RAD, the Project Owner will perform the hearing.

¹¹ § 982.555(a)(1)(iv) is not relevant to RAD as the tenant-based certificate program has been repealed.

- b. There is no right to an informal hearing for class grievances or to disputes between residents not involving the Project Owner or Contract Administrator.
- c. The Project Owner gives residents notice of their ability to request an informal hearing as outlined in 24 CFR § 982.555(c)(1) for informal hearings that will address circumstances that fall outside of the scope of 24 CFR § 982.555(a)(1)(i)-(vi).
- d. The Project Owner provides opportunity for an informal hearing before an eviction.

Current PBV program rules require that hearing procedures must be outlined in the PHA's Section 8 Administrative Plan.

To facilitate the uniform treatment of residents and units at a Covered Project, any non-RAD PBV units located in the same Covered Project shall be subject to the terms of this provision.

- 7. Earned Income Disregard (EID).** Tenants who are employed and are currently receiving the EID exclusion at the time of conversion will continue to receive the EID after conversion, in accordance with regulations at 24 CFR § 5.617. Upon the expiration of the EID for such families, the rent adjustment shall not be subject to rent phase-in, as described in Section 1.6.C.4 of the Notice; instead, the rent will automatically rise to the appropriate rent level based upon tenant income at that time.

Under the Housing Choice Voucher program, the EID exclusion is limited only to persons with disabilities (24 CFR § 5.617(b)). In order to allow all tenants (including non-disabled persons) who are employed and currently receiving the EID at the time of conversion to continue to benefit from this exclusion in the PBV project, the provision in 24 CFR § 5.617(b) limiting EID to disabled persons is waived. The waiver, and resulting alternative requirement, apply only to tenants receiving the EID at the time of conversion. No other tenant (e.g., tenants that move into the property following conversion or tenants who at one time received the EID but are not receiving the EID exclusion at the time of conversion due to loss of employment) is covered by this waiver. To facilitate the uniform treatment of residents and units at a Covered Project, any non-RAD PBV units located in the same Covered Project shall be subject to the terms of this provision.

- 8. Jobs Plus.** Jobs Plus grantees awarded FY14 and future funds that convert the Jobs Plus target projects(s) under RAD will be able to finish out their Jobs Plus period of performance unless significant relocation and/or change in building occupancy is planned. If either is planned at the Jobs Plus target project(s), HUD may allow for a modification of the Jobs Plus work plan or may, at the Secretary's discretion, choose to end the Jobs Plus program at that project. If the program is continued, the Project Owner must agree to continue to implement the program according to HUD's program requirements. Jobs Plus target public housing projects must enroll public housing residents into the Jobs Plus rent incentive, JPEID, prior to conversion. Any resident of the Covered Project that had not enrolled prior to conversion is not eligible to enroll in JPEID but may utilize Jobs Plus services that predominantly benefit the former public housing residents who resided at the target project at the time of RAD conversion. To facilitate the uniform treatment of residents and units at a Covered Project, any non-RAD PBV units located in the Covered Project may voluntarily utilize Jobs Plus services that predominantly

benefit the former public housing residents who resided at the target project at the time of RAD conversion.

- 9. When Total Tenant Payment Exceeds Gross Rent.** Under normal PBV rules, the PHA may select an occupied unit to be included under the PBV HAP Contract only if the unit's occupants are eligible for housing assistance payments (24 CFR § 983.53(c)). Also, a PHA must remove a unit from the contract when no assistance has been paid for 180 days because the family's TTP has risen to a level that is equal to or greater than the contract rent, plus any utility allowance, for the unit (i.e., the Gross Rent)) (24 CFR § 983.258). Since the rent limitation under this Section of the Notice may result in a family's TTP equaling or exceeding the gross rent for the unit, for residents living in the Converting Project prior to conversion and who will return to the Covered Project after conversion, HUD is waiving both of these provisions and requiring that the unit for such families be placed on and/or remain under the HAP Contract when TTP equals or exceeds the Gross Rent. Further, HUD is establishing the alternative requirement that until such time that the family's TTP falls below the gross rent, the rent to the owner for the unit will equal the lesser of (a) the family's TTP, less the Utility Allowance, or (b) any applicable maximum rent under LIHTC regulations. During any period when the family's TTP falls below the gross rent, normal PBV rules shall apply. As necessary to implement this alternative provision, HUD is waiving the provisions of Section 8(o)(13)(H) of the Act and the implementing regulations at 24 CFR § 983.301 as modified by Section 1.6.B.5 of this Notice.¹² In such cases, the resident is considered a participant under the program and all of the family obligations and protections under RAD and PBV apply to the resident. Likewise, all requirements with respect to the unit, such as compliance with the HQS requirements, apply as long as the unit is under HAP Contract. The PHA is required to process these individuals through the Form 50058 submodule in PIC. To facilitate the uniform treatment of residents and units at a Covered Project, any non-RAD PBV units located in the same Covered Project shall be subject to the terms of this provision.

Unless a waiver is requested and approved as described below, any new admission to the Covered Project must meet the eligibility requirements at 982.201 and require a subsidy payment at admission to the program, which means their TTP may not equal or exceed the gross rent for the unit at that time. Further, a PHA must remove a unit from the contract when no assistance has been paid for 180 days. If units are removed from the HAP contract because a new admission's TTP comes to equal or exceed the gross rent for the unit and if the project is fully assisted, HUD is imposing an alternative requirement that the PHA must reinstate the unit after the family has left the property. If the project is partially assisted, the PHA may substitute a different unit for the unit on the HAP contract in accordance with 24 CFR §983.207 or, where "floating units have been permitted, Section 1.6.B.10 of the Notice.

A PHA may request a waiver from HUD for the Covered Project in order to admit otherwise eligible families whose TTP exceeds gross rent and to allow the units those families occupy to remain under the HAP contract even if the PHA has not made a

housing assistance payment for a family in 180 days.

For a Covered Project that consists of 100 percent RAD PBV units, the PHA must demonstrate that a waiver is necessary in order to avoid an undue concentration of poverty at the Covered Project. A PHA may evidence this by providing data showing, for example:

- how eligible income-certified applicants on the waiting list must be passed over because their incomes result in zero HAP at admission causing a higher concentration of poverty at the covered project; or
- how the income of newly admitted families is causing a markedly higher concentration of poverty than the PHA's non-RAD PBV projects.

The resulting impact on the property must be compared with the concentration of poverty at non-RAD PBV projects in the PHA's jurisdiction. If there are no non-RAD PBV projects in the PHA's jurisdiction, the PHA may alternatively demonstrate that the median income of families that could be admitted to the Covered Project is significantly lower than the median income of new admissions from the waiting list to the PHA's HCV program since the time of the RAD conversion.

For any other Covered Project, the PHA must demonstrate that the property contains specific units (e.g., units suitable for large families or accessible units) for which there are insufficient alternative housing opportunities.

If the waiver is approved, the new admission[s] families covered under the waiver are participants under the program and all of the family obligations and protections under RAD and PBV apply to the family, and the unit is subject to all program requirements. Such waiver requests should be submitted to the PIH Field Office in accordance with Notice PIH 2018-16.

10. Under-Occupied Unit. If a family is in an under-occupied unit under 24 CFR § 983.260 at the time of conversion, the family may remain in this unit until an appropriate-sized unit becomes available in the Covered Project. When an appropriate sized unit becomes available in the Covered Project, the family living in the under-occupied unit must move to the appropriate-sized unit within a reasonable period of time, as determined by the administering Voucher Agency. In order to allow the family to remain in the under-occupied unit until an appropriate-sized unit becomes available in the Covered Project, 24 CFR § 983.260 is waived. MTW agencies may not modify this requirement. To facilitate the uniform treatment of residents and units at a Covered Project, any non-RAD PBV units located in the same Covered Project shall be subject to the terms of this provision.

1.6.D. PBV: Other Miscellaneous Provisions

1. Establishment of Waiting List. 24 CFR § 983.251 sets out PBV program requirements related to establishing and maintaining a voucher-wide, PBV program-wide, or site-based waiting list from which residents for the Covered Project will be admitted. These provisions will apply unless the project is covered by a remedial order or agreement that specifies the type of waiting list and other waiting list policies. The PHA shall consider the best means to transition applicants from the current public housing waiting list, including:

- i. Transferring an existing site-based waiting list to a new site-based waiting list.
- ii. Transferring an existing site-based waiting list to a PBV program-wide or HCV program-wide waiting list.
- iii. Transferring an existing community-wide public housing waiting list to a PBV program-wide or HCV program-wide waiting list, an option particularly relevant for PHAs converting their entire portfolio under RAD.
- iv. Informing applicants on a community-wide public housing waiting list how to transfer their application to one or more newly created site-based waiting lists.

For any applicants on the public housing waiting list that are likely to be ineligible for admission to a Covered Project converting to PBV because the household's TTP is likely to exceed the RAD gross rent, the PHA shall consider transferring such household, consistent with program requirements for administration of waiting lists, to the PHA's remaining public housing waiting list(s) or to another voucher waiting list, in addition to transferring such household to the waiting list for the Covered Project.

To the extent any wait list relies on the date and time of application, the applicants shall have priority on the wait list(s) to which their application was transferred in accordance with the date and time of their application to the original waiting list.

If the PHA is transferring assistance to another neighborhood and, as a result of the transfer of the waiting list, the applicant would only be eligible for a unit in a location which is materially different from the location to which the applicant applied, the PHA must notify applicants on the wait-list of the transfer of assistance, and on how they can apply for residency at other sites.

If using a site-based waiting list, PHAs shall establish a waiting list in accordance with 24 CFR § 903.7(b)(2)(ii)-(iv) to ensure that applicants on the PHA's public housing community-wide waiting list have been offered placement on the Covered Project's initial waiting list. In all cases, PHAs have the discretion to determine the most appropriate means of informing applicants on the public housing community-wide waiting list given the number of applicants, PHA resources, and admissions requirements of the projects being converted under RAD. A PHA may consider contacting every applicant on the public housing waiting list via direct mailing; advertising the availability of housing to the population that is less likely to apply, both minority and non-minority groups, through various forms of media (e.g., radio stations, posters, newspapers) within the marketing area; informing local non-profit entities and advocacy groups (e.g., disability rights groups); and conducting other outreach as appropriate. Any activities to contact applicants on the public housing waiting list must be conducted in accordance with the requirements for effective communication with persons with disabilities at 24 CFR § 8.6 and with the obligation to provide meaningful access for persons with limited English proficiency (LEP).¹³

¹³ For more information on serving persons with LEP, please see HUD's Final guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons (72 FR 2732), published on January 22, 2007.

A PHA must maintain any site-based waiting list in accordance with all applicable civil rights and fair housing laws and regulations.

To implement this provision, HUD is specifying alternative requirements for 24 CFR § 983.251(c)(2). However, after the initial waiting list has been established, the PHA shall administer its waiting list for the Covered Project in accordance with 24 CFR § 983.251(c).

- 2. Choice-Mobility.** One of the key features of the PBV program is the mobility component, which provides that if the family has elected to terminate the assisted lease at any time after the first year of occupancy in accordance with program requirements, the PHA must offer the family the opportunity for continued tenant-based rental assistance, in the form of either assistance under the voucher program or other comparable tenant-based rental assistance.

If as a result of participation in RAD a significant percentage of the PHA's HCV program becomes PBV assistance, it is possible for most or all of a PHA's turnover vouchers to be used to assist those RAD PBV families who wish to exercise mobility. While HUD is committed to ensuring mobility remains a cornerstone of RAD policy, HUD recognizes that it remains important for the PHA to still be able to use tenant-based vouchers to address the specific housing needs and priorities of the community. Therefore, HUD is establishing an alternative requirement for PHAs where, as a result of RAD, the total number of PBV units (including RAD PBV units) under HAP Contract administered by the PHA exceeds 20 percent of the PHA's authorized units under its HCV ACC with HUD.

The alternative mobility policy provides that an eligible voucher agency would not be required to provide more than three-quarters of its turnover vouchers in any single year to the residents of Covered Projects. While a voucher agency is not required to establish a voucher inventory turnover cap, if such a cap is implemented, the voucher agency must create and maintain a waiting list in the order in which the requests from eligible households were received. In order to adopt this provision, this alternative mobility policy must be included in an eligible PHA's administrative plan.

To effectuate this provision, HUD is providing an alternative requirement to Section 8(o)(13)(E) of the Act and 24 CFR § 983.261(c). Please note that this alternative requirement does not apply to PBVs entered into outside of the context of RAD. MTW agencies may not alter this requirement.

By way of summary and not as a modification of the program requirements set forth in the Notice provisions referenced, please note that the foregoing tenant protections for RAD PBV residents apply to non-RAD PBV residents of the same Covered Project with the exception of Choice Mobility. Standard PBV Choice Mobility requirements apply to non-RAD PBV residents.

IV - Relocation Plans

NYCHA is pursuing a preservation plan that will allow for tenant-in-place rehabilitation, which will require no relocation. If a resident must be temporarily relocated due to medical reasons and/or reasonable accommodation, the temporary relocation will be performed at no expense to the resident. The resident may be able to relocate to a vacant unit in the same development, a vacant unit in another NYCHA development or a vacant unit in the selected developer's housing stock. Specific temporary

relocation options will be finalized after a development partner is selected for each affected development. NYCHA will submit the RAD Fair Housing, Civil Rights, and Relocation Checklist to HUD as required by *HUD Notice H-2019-09 PIH-2019-23 (HA), Rental Assistance Demonstration REV-4 – Final Implementation* and will comply with the fair housing, civil rights and relocation requirements under the RAD program as stated in Notice H 2016-17, PIH Notice 2016-17 (HA)-Rental Assistance Demonstration (RAD) Notice Regarding Fair Housing and Civil Rights Requirements and Relocation Requirements Applicable to RAD First Component – Public Housing Conversions. Please see Attachment P beginning on page 283 for the full text of this RAD Fair Housing, Civil Rights, and Relocation Notice.

V – Site Selection and Neighborhood Standards

NYCHA’s RAD conversions comply with all applicable site selection and neighborhood review standards as required by the Notice.

VI – Voluntary Compliance Agreement, Consent Order or Consent Decree

NYCHA certifies that it is currently compliant with all fair housing and civil rights requirements and is under a Voluntary Compliance Agreement and consent decrees. RAD conversion at the NYCHA developments listed on pages 126 – 158 will not have a negative impact on NYCHA’s compliance with existing voluntary compliance agreements or consent decrees.

ATTACHMENT D
CAPITAL IMPROVEMENTS

**HUD APPROVED NYCHA'S FY 2019 CAPITAL FUND GRANT AND 5-YEAR
ACTION PLAN ON JUNE 21, 2019.**

Members of the public wishing to examine the Supporting Documents may do so, during regular business hours, by contacting NYCHA's central office, located at 250 Broadway, New York, New York, at (212) 306-3701 to schedule an appointment to review the documents.

ATTACHMENT E **HOUSING NEEDS**

[24 CFR Part 903.7(a)]

1. Housing Needs of Families in the Jurisdiction/s Served by the PHA

Based upon the information contained in the Consolidated Plan/s applicable to the jurisdiction, and/or other data available to the PHA, provide a statement of the housing needs in the jurisdiction by completing the following table. In the “Overall” Needs column, provide the estimated number of renter families that have housing needs. For the remaining characteristics, rate the impact of that factor on the housing needs for each family type, from 1 to 5, with 1 being “no impact” and 5 being “severe impact.” Use N/A to indicate that no information is available upon which the PHA can make this assessment.

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Affordability	Supply	Quality	Accessibility	Size	Location
Income <= 30% of AMI	744,785	5	5	4	1	3	4
Income >30% but <=50% of AMI	423,102	5	5	4	1	3	4
Income >50% but <80% of AMI	498,309	5	5	3	1	3	3
Elderly (62+)	808,016	5	5	4	4	2	3
Families with Disabilities	461,228	5	5	3	4	3	3
Race/Ethnicity							
Hispanic	775,497	5	5	4	1	3	4
Black	679,076	5	5	4	1	3	4
White	1,219,392	5	5	4	1	3	4
Asian	366,196	5	5	4	1	3	4
Other	73,384	5	5	4	1	3	4

What sources of information did the PHA use to conduct this analysis? (Check all that apply; all materials must be made available for public inspection.)

- Consolidated Plan of the Jurisdiction
Indicate year:
- American Housing Survey data
Indicate year: **2011-2015** (1 year)
Other housing market study
Indicate year:
- Other sources: (list and indicate year of information)

Data on the Housing Needs of Families in the Jurisdiction by Family Type was compiled by the New York City Department of City Planning.

2. Housing Needs of Families on the Public Housing and Section 8 Tenant- Based Assistance Waiting Lists

State the housing needs of the families on the PHA’s waiting list/s. **Complete one table for each type of PHA-wide waiting list administered by the PHA.** PHAs may provide separate tables for site-based or sub-jurisdictional public housing waiting lists at their option.

Housing Needs of Families on the PHA’s Waiting Lists – Public Housing (As of 4/19/2019)			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input checked="" type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/sub jurisdiction:			
	# of Families	% of Total Families	Annual Turnover ¹⁴
Waiting list total	177,504		4.7%
Extremely low income <=30% AMI	133,060	75.0%	
Very low income (>30% but <=50% AMI)	34,325	19.3%	
Low income (>50% but <=80% AMI)	10,119	5.7%	
Income Not Reported	0	0.0%	
Families with children	75,072	42.3%	
Elderly families	34,081	19.2%	
Families with Disabilities ¹⁵	33,758	19.0%	
Race/Ethnicity			
White	11,937	6.7%	
Black	41,413	23.3%	
Hispanic	78,796	44.3%	
Asian	15,562	8.8%	
Native American	616	0.3%	
Native Hawaiian	616	0.3%	
Other	28,687	16.2%	
Characteristics by Bedroom Size			
0 BR	73,274	41.3%	
1BR	31,357	17.7%	
2 BR	55,550	31.3%	
3 BR	13,678	7.7%	
4 BR	3,574	2.0%	
5+ BR	71	0.0%	
Data Not Available	0	0.0%	

¹⁴ Figure represents turnover (move-outs from Public Housing) during FY 2018.

¹⁵ “Disabled” indicates a person, regardless of age, who falls within the definition of “disability” contained in §233 of the Social Security Act.

**Housing Needs of Families on the PHA's Waiting Lists – Public Housing
(As of 4/19/2019)**

Is the waiting list closed (select one)? No Yes

If yes:

HOW LONG HAS IT BEEN CLOSED (# OF MONTHS)?

Does the PHA expect to reopen the list in the PHA Plan year? No Yes

Does the PHA permit specific categories of families onto the waiting list, even if generally closed? No Yes

**Housing Needs of Families on the PHA's Waiting Lists – Section 8
(As of 4/19/2019)**

Waiting list type: (select one)

- Section 8 tenant-based assistance
 Public Housing
 Combined Section 8 and Public Housing
 Public Housing Site-Based or sub-jurisdictional waiting list (optional)

If used, identify which development/sub-jurisdiction:

	# of Families	% of Total Families	Annual Turnover
Waiting list total ¹⁶	140,905		4.7% (2018)
Extremely low income <=30% AMI	125,361	89.0%	
Very low income (>30% but <=50% AMI)	14,577	10.3%	
Low income (>50% but <=80% AMI)	455	0.3%	
Income Not Reported	512	0.4%	
Families with Children	62,415	44.3%	
Elderly Families	47,144	33.5%	
Families with Disabilities ¹⁷	33,319	23.6%	
Race/Ethnicity			
White	19,184	13.6%	
Black	45,639	32.4%	
Hispanic	61,881	43.9%	
Asian	6,865	4.9%	
Native American	436	0.3%	
Native Hawaiian	134	0.1%	
Other	6,766	4.8%	
Characteristics by Bedroom Size			
0 BR	55,177	39.2%	
1 BR	36,123	25.6%	
2 BR	39,757	28.2%	
3 BR	8,396	6.0%	
4+BR	1,239	0.9%	
5+ BR	167	0.1%	
Data Not Available	46	0.0%	

¹⁶ Waiting list total includes both *extremely low-income* (below 30 percent of Area Median Income) and *very low-income* (30 percent to 50 percent of Area Median Income) families.

¹⁷ "Disabled" indicates a person, regardless of age, who falls within the definition of "disability" contained in §233 of the Social Security Act.

**Housing Needs of Families on the PHA's Waiting Lists – Section 8
(As of 4/19/2019)**

Is the waiting list closed (select one)? No Yes

NYCHA's Section 8 Waiting List was reopened on February 12, 2007 to applicants for a ninety-day period. It closed on May 14, 2007.

If yes:

How long has it been closed (# of months)? 143 months as of April 19, 2019

Does the PHA expect to reopen the list in the PHA Plan year? No Yes

Does the PHA permit specific categories of families onto the waiting list, even if generally closed? No Yes

3. Strategy for Addressing Needs

Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list in the upcoming year, and the Agency's reasons for choosing this strategy.

(1) Strategies

Need: Shortage of affordable housing for all eligible populations.

Strategy 1. Maximize the number of affordable units available to the PHA within its current resources by:

Select all that apply

- Employ effective maintenance and management policies to minimize the number of public housing units off-line
- Reduce turnover time for vacated public housing units
- Reduce time to renovate public housing units
- Seek replacement of public housing units lost to the inventory through mixed finance development
- Seek replacement of public housing units lost to the inventory through section 8 replacement housing resources
- Maintain or increase section 8 lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction
- Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required
- Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration
- Maintain or increase section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program
- Participate in the Consolidated Plan development process to ensure coordination with broader community strategies
- Other (list below)

Strategy 2. Increase the number of affordable housing units by:

Select all that apply

- Apply for additional section 8 units should they become available
- Leverage affordable housing resources in the community through the creation of mixed - finance housing
- Pursue housing resources other than public housing or Section 8 tenant-based assistance.

Other: (list below)

Need: Specific Family Types: Families at or below 30% of median.

Strategy 1. Target available assistance to families at or below 30% of AMI:

Select all that apply

Exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing

While NYCHA does not plan to exceed the federal targeting requirements, slightly over 77% of the families admitted to public housing during calendar year 2018 were households with incomes at or below 30% of area median income.

Exceed HUD federal targeting requirements for families at or below 30 percent of AMI in tenant-based section 8 assistance

Employ admissions preferences aimed at families with economic hardships

Adopt rent policies to support and encourage work

Other: (list below)

Need: Specific Family Types: Families at or below 50% of median.

Strategy 1. Target available assistance to families at or below 50% of AMI:

Select all that apply

Employ admissions preferences aimed at families who are working

Adopt rent policies to support and encourage work

Other: (list below)

Need: Specific Family Types: The Elderly

Strategy 1. Target available assistance to the elderly:

Select all that apply

Seek designation of public housing for the elderly

On July 31, 2019, HUD approved NYCHA's request for authorization to continue to extend the designation of the elderly-only developments and buildings for an additional two years.

Apply for special-purpose vouchers targeted to the elderly, should they become available

Other: (list below)

Objective: Convert public housing units to vouchers: Maximize Section 8 rentals at the former City/State developments.

Progress: As of April 26, 2019, there were 4,078 Section 8 conversions in the 19 former city and state developments.

Need: Specific Family Types: Families with Disabilities.

Strategy 1. Target available assistance to Families with Disabilities:

Select all that apply

- Seek designation of public housing for families with disabilities
- Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing
- Apply for special-purpose vouchers targeted to families with disabilities, should they become available
- Affirmatively market to local non-profit agencies that assist families with disabilities
- Other: (list below)

Need: Specific Family Types: Races or ethnicities with disproportionate housing needs.

Strategy 1. Increase awareness of PHA resources among families of races and ethnicities with disproportionate needs:

Select if applicable

- Affirmatively market to races/ethnicities shown to have disproportionate housing needs
- Other: (list below)

Strategy 2. Conduct activities to affirmatively further fair housing:

Select all that apply

- Counsel section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units
- Market the section 8 program to owners outside of areas of poverty /minority concentrations
- Other: (list below)

(2) Reasons for Selecting Strategies

Of the factors listed below, select all that influenced the PHA’s selection of the strategies it will pursue:

- Funding constraints
 - Staffing constraints
 - Limited availability of sites for assisted housing
 - Extent to which particular housing needs are met by other organizations in the community
 - Evidence of housing needs as demonstrated in the Consolidated Plan and other information available to the PHA
 - Influence of the housing market on PHA programs
 - Community priorities regarding housing assistance
 - Results of consultation with local or state government
 - Results of consultation with residents and the Resident Advisory Board
 - Results of consultation with advocacy groups
 - Other: (list below)
-

ATTACHMENT F
ADDITIONAL INFORMATION

NYCHA is providing final updates on its current goals (FY 2015 to FY 2019) and is introducing new goals for the FY2020 five-year plan.

1. STATEMENT OF PROGRESS IN MEETING MISSION AND GOALS – FY2015 to FY2019

Goal: Increase the availability of decent, safe, and affordable housing.

PHA Goal: *Expand the supply of assisted housing.*

Objective: Apply for additional rental vouchers.

Progress: By the end of 2018, the Section 8 program had expended 97% of its HAP budget to cover new and existing rentals. In the expansion of the Section 8 program, NYCHA converted LLC II unfunded units, completed new admissions for private project-based rental units and provided tenant protection vouchers for Public Housing conversion units.

PHA Goal: *Improve the quality of assisted housing.*

Objective: Improve public housing management (PHAS score).

Progress: NYCHA will strive to be designated as a high performing PHA under HUD's Public Housing Assessment Program ("PHAS").

Objective: Improve Section 8 Management Assessment Program ("SEMAP") scores.

Progress: NYCHA continually conducts staff training to improve voucher management. The Leased Housing Department has a quality control program to identify areas for improvement. As a result, cycle times have been reduced for both Housing Quality Standards inspections and recertifications. NYCHA has filed its High Performer certifications based on its SEMAP performance for 2017 and 2018. Confirmation of the designation is pending HUD approval.

Objective: To use information technology to transform how we conduct our day-to-day business thereby improving service to all NYCHA's internal and external customers and stakeholders.

Progress: NYCHA's IT Department continues to make significant service improvements for both our internal and external customers through the implementation of advanced technologies including mobile and self-service technologies. NYCHA continues to be recognized as a technology leader. In 2018, NYCHA was recognized, this time by the Center for Digital Government, which awarded the MyNYCHA mobile and web app with a 2018 Government Experience Award.

In 2019-2020, the Authority will continue to leverage its investments in advanced technologies in support of NYCHA's business vision. The following are the major initiatives that the Authority will undertake in 2019 and 2020 in the area of information technology that improve service to our customers and stakeholders:

Operate as an efficient and effective landlord

New Computers

In 2018, IT completed the installation close to 5,700 new computers with Windows 10 and Microsoft Office 365 for all Development and Central Office desktop users. In addition, 215 VoIP phones were deployed at Borough Offices and close to 9,600 Outlook mailboxes were migrated to the cloud. In Q2 2019, IT will complete deployment of MS Teams (Skype for Business' replacement). OneDrive will also be implemented in the 2019-2020 timeframe. These updated tools will better equip our "frontline" staff to serve their customers.

Smart Screens

In Q2 2019, IT will complete installing 55-inch interactive Smart Screens at each of the Authority's developments. The devices are designed to support training, communication and collaboration for staff at the developments, thereby enabling them to have the skills and knowledge to better serve their customers.

VoIP Phones for Borough Management and Field Offices

In 2017, the update of Borough Management telephones to VoIP was completed. The next phase of this initiative, beginning in 2018 and continuing into 2019, is to upgrade the development offices to VoIP. Field office users will have direct lines for desk phones, voicemail routed to their Outlook inbox, and call forwarding, among other features.

Self Service Initiatives

MyNYCHA App

The MyNYCHA app, which was first deployed in 2015, saw new enhancements in 2018 including ability for residents to view their latest rent bills.

In 2019-2020, the MyNYCHA App will be further enhanced, including the following new functions:

- Login credentials same as NYCHA Self Service Portal
- Create work ticket follow-ups
- Submit complaints (Noise, staff, etc...)
- Submit Elevator Work Tickets
- Display "one-job" view by listing work orders to better convey hierarchical relationships between parent and child tickets.
- Report an issue with a recently closed ticket
- Push notifications

Public Housing Annual Reviews

This project was completed in Q4 2018 with the full migration of the Annual Review processes to Siebel by implementing the rent calculation and interim re-certification functions in Siebel. In 2019-2020, legacy system migration to Siebel and Oracle eBusiness will continue under the implementation of the new Tenant Management and Rent Collection System.

Self Service Portal: Opportunity Connect (Resident Economic Empowerment & Sustainability)

In 2019-2020, NYCHA IT will continue to support business initiatives that leverage the Self-Service Portal, which provides access to Opportunity NYCHA, where residents and other stakeholders can access information on training, financial services, job and business opportunities.

Section 8 Owner App and Web Enhancements

NYCHA's Owner Extranet is the online platform for over 35,000 NYCHA Section 8 Owners, who utilize it to submit lease renewals and repair certifications, apply for direct deposit, access tax documents and other functions. From 2018 to Q1 2019, a re-branded NYCHA Owner Extranet was deployed with the following new functions:

- Online contract rent change
- Inspection failure photos
- Post-voucher change notices

New functions coming to the Owner App in 2019:

- Transfers
- Online vacant apartments reporting
- Lead-based paint certification documents
- Apartment repair certifications
- Alerts for upcoming inspections
- Voucher payment suspensions and a suspension view tab

Improve Back Office Operations

Tenant Management and Rent Collection System

Development for the replacement of NYCHA's legacy tenant management and rent collection systems will begin in April 2018 and will continue into 2019. Deployment to development offices will begin in 2020. This program will replace the antiquated NYCHA Project Information Management Systems (PIMS) with new technology that will enable online self-service as well as improved reporting.

Electronic Resident Files

Starting in Q2 2019, assessment and planning for the digitizing of existing resident paper folders and files will begin. This will include documenting the current state, developing recommendations and roadmap for implementing a system to store future resident files electronically. Deployment of a solution will begin in 2020. These efforts will reduce the manual labor associated with hardcopy files and streamline the flow of information.

Compliance Management Software

In Q2 2019, NYCHA will complete implementation of SiteCompli's cloud-based system, which provides a continuous aggregation of regulatory data from City Agencies for NYCHA's properties, and which will interface with NYCHA's Maximo Asset Management system to create or update work orders related to regulatory compliance issues.

Maximo Mobile (Hand-Helds)

In 2018, Maximo Mobile added new or enhanced hand-held inspections related to critical NYCHA processes related to mold, lead, heating, and elevators. In 2019, NYCHA will complete rolling out a new Inventory mobile application to help support new storeroom inventory processes. Enhancements to inspections to support critical business initiatives around Healthy Homes initiatives will continue in 2019-2020.

Maximo System Enhancements

2018 enhancements for core Maximo included improvements for managing work orders related to lead, mold/mildew, heating, and elevators. In 2019-2020, additional functionality will be deployed for managing critical assets and warranties; enhancements to support the NYCHA's Healthy Homes initiatives will continue.

Support for Rental Assistance Demonstration Program (RAD) Initiatives

In 2019-2020, IT will continue to support the conversion of NYCHA units through HUD's Rental Assistance Demonstration program (RAD) to the Section 8 platform.

Human Resources (HR) Digital Files

In 2019, NYCHA will conduct assessment and complete the plan for integrating departments' local copies of employees' HR folders, which are known as "location folders," with the central office folders to create one comprehensive digital HR file. Once the plan is complete, NYCHA will begin the integration, and complete by Q2 2020.

Legal Case Management System

From Q2 2019 NYCHA will complete the implementation of LegalStratus, a cloud-based legal case management system, to replace two systems that do not meet the needs of the Law Department and are no longer supported by their vendors.

New Forms Management System

In 2019-2020, this project will replace NYCHA's no-longer supported forms submission software (Movaris) with a modern, customer-friendly solution.

Procurement Enhancements

In 2018, NYCHA continued to streamline processes and improve services around its procurement for materials and services, by implementing the following enhancements:

- HD Supply Integration
- Deploy Vendor Evaluation system
- Expand Receipts Dashboard to Support Services and other Central Offices areas
- Decentralize release adjustment process to the field and improve efficiency
- Replace offline databases used to track procurements and compliance
- Implemented Electronic Invoicing for select NYCHA vendors

In 2019-2020, NYCHA IT will continue to support business initiatives to improve and streamline services, including implementing the following enhancements:

- Easier, self-service procurement of Marshal services by development staff (Q1 2019)
- Added Bid Factor functionality to simplify vendors' quotation entry process on iSupplier (Q1 2019)
- Supporting City Comptroller's office efforts to publish NYCHA procurement information to CheckBook
- Onboarding additional vendors to the Electronic Invoicing system

Rebuild, expand, and preserve public and affordable housing stock

eBuilder Implementation (Primavera Replacement)

This project, to be completed by Q2 2019, replaces the project management software currently used by the Capital Projects Department by migrating functionality to eBuilder, cloud-based solution.

Virtual Hold and Workforce Management

NYCHA's Customer Contact Center (CCC) is the main point of contact for NYCHA residents, Section 8 (Leased Housing) voucher holders, and the general public. NYCHA's CCC handles approximately 12,000 calls per day with some peak days averaging at 18,000 calls. This initiative, completed in Q1 2019, optimizes CCC processes, enhancing the current Calabrio system with Virtual Hold and Workforce Management functions.

Objective: To protect NYCHA’s information technology investment by maintaining and supporting its technology infrastructure.

Progress: The key objective for the FY2019-FY2022 technology strategy is to ensure business continuity through a robust and resilient infrastructure program. The projects below are examples of enabling information technology activities that the Authority will deploy in the coming two years in support of this objective:

Expand Bandwidth and Improve Circuits at Management Offices

Several NYCHA field sites still use DSL or T1 and perform poorly when interacting with NYCHA systems like Microsoft Exchange and Maximo. This project will track action plans to ameliorate performance at those locations by implementing Verizon Ethernet Service (E-LAN) – for improved communications links and faster performance. The increased bandwidth will support video conferencing and online learning. Rollout began in 2018 and has continued into 2019. Additionally, NYCHA will seek to install improved network circuits at all NYCHA developments.

Refresh of Floor Switches

Technology refresh of aging network switches on all floors at 90 Church St, 250 Broadway, LIC and Borough Management Offices.

Improve Connectivity for NYCHA’s Mechanical Systems

Approximately 60% of NYCHA’s buildings have an active fiber network connecting them to their respective management offices. This initiative involves migrating all elevator, energy and CCTV mechanical systems to the existing active fiber to improve connectivity by replacing aging wireless bridges that are prone to malfunction.

NYCHA’s Cloud-First Strategy

Since 2014, NYCHA has espoused a “cloud-first” strategy, migrating services and infrastructure to the cloud whenever feasible, based on financial, technical, security, and business criteria. In 2019-2020, NYCHA plans to migrate the following services to cloud-based platforms:

- Kronos Time and Attendance
- Oracle Financials, Maximo, Siebel, and Data Warehouse to the Cloud

NYCHA will also continue to examine the viability and benefits of migrating other NYCHA infrastructure and application components to cloud providers on a case-by-case basis.

Objective: Demolish or dispose of obsolete public housing.

Progress: NYCHA continues to review its portfolio to identify properties that are underutilized or obsolete, and that might be brought back into service.

Objective: Implement public housing or other homeownership programs.

Progress: On September 7, 2007, HPD and NYCHA jointly issued an RFP for approximately 200 new rental units and 18 two-family townhouses at Soundview for homeownership.

In 2008, NYCHA and HPD conditionally designated a developer to build affordable housing on an under-utilized parking area at Rosedale Avenue and Lacombe Avenue along Soundview Park. The plan included two eight-story buildings with approximately 206 low income rental units for families and seniors and 16 two-family townhouses for homeownership in a multi-phased affordable housing development project.

- Phase 1 – On June 27, 2013, NYCHA disposed of a 68,500 square foot lot for construction of 120 rental units for low-income households. Phase 1 was completed in November 2015.
- Phase 2 – On December 19, 2013, NYCHA disposed of a 48,452 square foot lot for construction of 86 units for low-income seniors with rental assistance through Project Based Vouchers. Phase 2 was completed in September 2016.
- Phase 3 – Plans have been prepared for development of 72 for sale co-op apartments in four-story structures instead of 16 two-family townhouses. HPD is working with the developer on financing for the affordable homeownership project. FHA Repossessed Houses - The original Section 5(h) Plan Amendment approved in 2007 included 184 occupied single-family units intended for sale to their public housing resident occupants. On September 11, 2014, HUD issued a final Section 5(h) Plan Amendment granting approval for the sale of 51 units to residents under the Section 5(h) Plan and mandating Plan termination after the sale of the 51 units. As of February 2018, 15 homes remain to be sold under the Plan.

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Objective: Renovate or modernize public housing units.

Progress: Continued compliance with the timeframes for obligation and expenditure of capital funding as provided under 9(j) of the Housing Act of 1937, as amended 42 USC 1437G(J).

Objective: Maintain the accuracy rate of public housing tenant information in HUD’s on-line Public and Indian Housing Information Center (“PIC”) at 95% or better.

Progress: As of September 30, 2019, NYCHA’s reporting rate is at 91.5%. Currently, NYCHA is not in compliance with the obligation to provide the required timely submission of data to HUD’s 50058 PIC/IMS module. NYCHA is assessing the extent of noncompliance with this obligation and working toward compliance with the applicable requirements.

Objective: Develop and steward an Authority-wide Comprehensive Sustainability Agenda to create healthy and comfortable homes in safe, clean, and connected developments.

Progress: In May 2015, NYCHA made the commitment in the NextGeneration NYCHA 10-year strategic plan to develop and steward a comprehensive sustainability agenda to improve the quality of life of our residents. The NextGeneration NYCHA Sustainability Agenda was released on Earth Day 2016.

The Agenda is both a commitment by the Authority to take concrete steps to create healthy, comfortable homes for our residents that will withstand the challenge of climate change, and an invitation to residents, housing and environmental advocates, community-based organizations, and sister agencies to partner with NYCHA toward a shared, long-term vision of equity, sustainability, and resiliency.

By 2025 NYCHA aims to achieve the following outcomes:

- Eliminate the **root causes of mold** by fixing leaks in roofs, façades, and pipes and modernizing ventilation systems;
- Eliminate **overheating and unplanned heat and hot water outages**;
- Put its buildings on the path to meeting the City’s goal of **reducing greenhouse gases** by 80% by 2050;
- Address **climate adaptation and resiliency** in all capital planning; and
- Incorporate **sustainability into day-to-day management** of all properties.

Highlights of key initiatives:

Energy Performance Contracting (EPC) Program: The EPC program benefits NYCHA residents by investing in capital upgrades that help provide consistent and comfortable heat and hot water, and brighter, energy-efficient lighting. The EPC program allows NYCHA to use future energy cost savings to pay for these capital improvements. NYCHA set a goal of securing \$300 million in EPC funding by 2025. NYCHA is on track to exceed this goal by 2021. As of January 2019, NYCHA has received HUD approval of \$271.8 million for four EPCs serving 72 developments. In total, NYCHA has four EPCs in construction in 2019 and one EPC is in the seventh year of its thirteen-year compliance period. In Spring 2019 NYCHA issued a solicitation to Energy Service Companies (ESCOs) to provide investment grade audits for additional EPCs leveraging the Mayor’s \$200 million investment in NYCHA heating systems.

Weatherization Assistance Program: NYCHA’s scattered-site portfolio includes 659 stand-alone buildings and 1-4 family homes housing 45,000 residents. These developments differ from master-planned developments in size, construction type, and building systems. NYCHA is working with the New York State Weatherization Assistance Program (WAP) to deliver energy and water efficiency upgrades for up to 8,000 of the 25,000 scattered site units. In 2016 NYCHA set a goal of securing \$30 million in WAP by 2025. To date, NYCHA’s WAP contracts total \$9.7 million, serving residents of 2,249 apartments in 111 buildings. WAP is a program of the US Department of Energy, administered by NYS Homes and Community Renewal. WAP provides grants of up to 80% of the cost of repairs and capital improvements that improve the energy efficiency of housing serving low-income residents. For the April 2019 – March 2020 program year, 959 apartments in 9 developments are currently undergoing energy audits.

Renewable Energy Program: In 2018, NYCHA launched two Community Shared Solar programs on NYCHA roofs and parking lots: (1) the Commercial Solar Program targets large-scale solar developers and (2) the ACCESSolar Program for small buildings provides opportunities to non-profit, local, and start-up businesses. Both programs aim to provide job training and career-path green jobs to NYCHA residents, and to provide access to low-cost renewable power for low-income New Yorkers. In 2018, NYCHA awarded its first commercial-scale solar development sites, and also awarded sites for solar development on smaller buildings to five teams through its ACCESSolar program. These sites are currently undergoing design and will begin construction in 2020. Combined, these projects will provide up to 12 MW of renewable capacity, putting NYCHA well on its way toward meeting its Renew300 commitment of 25 MW of renewable energy capacity by 2025. Any associated lease revenues will be dedicated to the developments hosting the solar installations.

Ventilation Modernization: In 2017, the City committed \$20 million to modernize ventilation systems in 19 developments located in East Harlem as part of the East Harlem Rezoning portfolio. A Request

for Information was published to gauge vendor interest for ventilation work and responses were received in March 2019. As of May 2019, an engineering firm is preparing preliminary feasibility studies and cost estimates. Contractor procurement is expected to start in the second quarter of 2020.

Waste Management: In April 2019 NYCHA released the NextGeneration NYCHA Waste Management Plan, a comprehensive plan to make NYCHA buildings and grounds visibly clean and free of pests by 2025. The plan is the result of more than two years of intensive outreach, planning, and consensus building within NYCHA and with DSNY and residents. The plan also supports of Mayor Bill de Blasio’s “0x30” initiative, which calls for the reduction of the City’s solid waste by 90% by 2030. In the first phase of implementation, NYCHA has committed \$38 million to upgrade waste infrastructure at the 57 developments in the Mayor’s Neighborhood Rat Reduction areas. To date, NYCHA installed cardboard balers at 9 developments to facilitate cardboard recycling; enrolled 13 developments in the Department of Sanitation’s e-cycle NYC program; begun replacement of interior and exterior compactors; completed the installation of enlarged ground floor hopper doors at 30 developments and kicked off construction at another 17 developments. NYCHA has also begun installation of in-sink food grinders to remove food waste from the waste stream at 3 developments.

80x50: As of 2019, NYCHA’s goals of reaching 40% reduction by 2030 and 80% reduction by 2050 are mandated by New York City Local Law 97. In order to meet these goals, NYCHA is engaged in testing new technology to inform future capital investments.

NYCHA engaged Steven Winter Associates (SWA) to examine the technology shifts required to achieve 2050 goals, focusing on near-term implementation-ready strategies to replace central steam heat. SWA also examined the required timing of adoption in light of the time needed to execute large capital projects. As a result of this work, NYCHA has determined that boiler replacement projects scheduled for construction starts in 2022 and beyond must adopt a non-steam technology. NYCHA is currently developing its methodology for choosing between two replacement paths for each development: distributed hydronic heat and air source heat pumps.

In 2018 NYCHA prepared its participation in RetrofitNY, a deep-energy retrofit competition of the New York State Energy Research and Development Authority (NYSERDA). A NYCHA RetrofitNY RFP will be issued in 2019. NYCHA also developed a pilot program to provide energy-efficient, smart AC units at one development, and, through a partnership with the Mayor’s Office of Sustainability and with funding from NYSERDA, NYCHA is designing a test installation of air-source heat pumps to provide both heating and cooling in another.

Finally, five building technology firms selected through a NYCHA/MOTI Call for Innovations and a Fund for Public Housing Tech Pilot competition pursued pilot installations of smart building technology in 2018 in various NYCHA buildings. Findings are expected in 2019.

PHA Goal: *Increase assisted housing choices for Section 8 residents and applicants.*

Objective: Conduct outreach efforts to potential landlords.

Progress: Section 8 landlords can log on to the NYCHA Owner Extranet to manage their Section 8 portfolio and register vacant apartments. Section 8 landlords can also register vacant apartments on GoSection8.com. Prospective Section 8 landlords can visit the NYCHA Section 8 website for general information on the Section 8 program. Landlords also have the option to call the NYCHA Customer Contact Center (“CCC”) at 718-707-7771. Regular updates are made to the Leased Housing

Department's website, which provides information about the program, payment standards, and other general areas of concern specific to landlords.

Objective: Convert public housing units to Section 8 assistance. Maximize Section 8 rentals at the former City/State developments.

Progress: As of April 26, 2019, there were 4,078 Section 8 conversions in the 19 former city and state developments.

Goal: Improve community quality of life and economic vitality.

PHA Goal: *Provide an improved living environment.*

Objective: Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments.

Progress: NYCHA is exempt from developing an additional Deconcentration Plan because all of NYCHA's developments are part of an explicit strategy to promote income mixing in each of its developments. This strategy is detailed in NYCHA's Tenant Selection and Assignment Plan, and therefore, NYCHA already has a deconcentration plan built into its rental scheme.

See Attachment G

Goal: Reduce crime and improve quality of life of residents.

PHA Goal: *To reduce crime and improve the quality of life of our residents.*

Objective: NYCHA will seek funding in order to install additional Closed-Circuit Television ("CCTV") cameras within its developments. Small Scale Programs were initiated in 2004.

Progress: The New York City Housing Authority has installed 15 large scale CCTV systems citywide. A benefit of remotely monitoring these developments is an improved police response time. Posted signs informing residents and guests that the property is under video surveillance continue to aid in the reduction of crime and enhancing the safety and security of our residents. While the program has been very successful, funding is costly for initial equipment costs and for equipment maintenance after installation. At the initial 15 locations where NYCHA installed large scale CCTV systems the New York City Police Department provides on-site monitoring which incurs considerable costs to the NYPD.

Given the cost of installing, maintaining and operating the initial on-site monitored CCTV Systems, NYCHA modified its original program in an attempt to reduce costs while achieving the benefits of the CCTV program.

Through the innovative use of technology, police resources, and the cooperation of local government, NYCHA has created a highly successful program to install small-scale closed-circuit television systems. Since the inception of NYCHA's CCTV program, 16,580 security surveillance cameras (large and small scale) have been installed citywide.

Operation Safe Housing

In June 2004, NYCHA developed a streamlined Termination of Tenancy procedure as part of the Operation Safe Housing joint program developed by NYCHA, the New York City Police Department, and the Mayor's Office of the Criminal Justice Coordinator. The Termination of Tenancy procedure

targets a list of specified crimes designated by the Police Department as having the most serious impact on NYCHA residents. The list includes homicides, sex offenders and crimes, firearms offenses and drug sales.

In 2016, crimes previously covered under Operation Safe Housing were reclassified into new categories called “Priority” and “High Priority” and are now expeditiously processed via a SharePoint database between NYPD and NYCHA. Under these revised procedures, cases involving these serious crimes are completed quickly and contribute to a continued sense of security and safety for public housing residents. As of July 30, 2019, 8,693 tenancy proceedings have been concluded under Operation Safe Housing and the Priority and High Priority initiatives.

From inception, the Authority initiated a total of 1,172 Registered Sex Offender (“RSO”) cases, of which 40 are pending a decision, and a total of 1,132 have been closed as follows: 697 cases have resulted in Permanent Exclusion from NYCHA property; 68 have had their tenancy terminated; 20 are on probation, 7 tenancies were found eligible after a hearing, 5 were remaining family member grievants who lost their grievance cases and the apartments were recovered, and 334 cases have been withdrawn due to the RSO being incarcerated, deceased or the resident moved out of a NYCHA apartment, or a number of other reasons, and 1 exclusion was removed after the offender was no longer required to register as a sex offender.

PHA Goal: *Increase and diversify services for elderly residents to promote independence and healthy living and reduce social isolation.*

Progress: Currently NYCHA operates 14 Senior Centers which provide an array of recreational, social, and cultural services. NYCHA is working towards creating a greater network of providers, who are not exclusively on NYCHA campuses, to increase the range of services available to senior residents.

Also, there are broad initiatives and planning underway from which the seniors will benefit. As examples:

- Choice neighborhoods;
- Smoke-free housing;
- Active design planning collaborations;
- New York Academy of Medicine (“NYAM”) Age-Friendly districts;
- Senior focused Supplemental Nutrition Assistance Program (“SNAP”) outreach; and,
- Department for the Aging’s Grandparents Program offering supports for Grandparents who care for their grandchildren.
- Older Adults Technology Services (OATS)
- Presbyterian Senior Services Circle of Care
- Hudson Guild
- Project Find
- Union Settlement
- Hudson Guild
- Project Find
- Union Settlement
- Preferred Home Care

Naturally Occurring Retirement Communities (“NORC”): The NORC program provides comprehensive supportive services to residents aging in place. In partnership with the New York City Department for the Aging (“DFTA”), NYS SOFA (“State Office for the Aging”), and United Hospital Fund, NORC sites are operated within 11 NYCHA developments throughout New York City.

Examples of services include: case management, on-site nursing services, medication management, physician services, on-site assessment, information and referral services, assistance with Activities of Daily Living (“ADL”), and Instrumental Activities of Daily Living (“IADL”). Additionally, the program provides ancillary services such as: transportation, shopping, financial management, housekeeping, personal care, support groups, and intergenerational activities.

The NORC Program was developed to address the needs of concentrations of seniors who have aged in place, in non-elderly housing. The program was designed to provide comprehensive support and health care services for well and frail elderly residents, 60 years of age and older, who continue to live independently in their apartments and communities. Approximately 20.5% of the NYCHA population is over 60 years old, and not all live-in senior-designated buildings.

Based on DFTA’s reports, from January 1, 2018 to December 31, 2018, the NYCHA NORC program provided the following services:

Case Management & Assistance	-	23,301
Health Care Management & Assistance	-	5,808
Number of residents receiving at least 1 core service	-	7,367
Total Active Clients	-	9,477

In Fiscal Year 2019, DFTA awarded \$2,671,006 to 11 NYCHA NORCS, as follows:

Elliot – Chelsea	-	305,917
Smith Houses	-	282,252
CCNS	-	251,000
Lincoln/Amsterdam	-	316,721
Stanley Isaacs	-	288,654
Ravenswood	-	301,942
Vladeck	-	301,128
Pelham	-	204,894
Grand Street Settlement	-	96,000
Coney Island Active Aging NORC	-	107,594
Bushwick/Hylan NORC	-	214,904

NORC-type Initiatives:

Grand Street Settlement Baruch Elder Services Team (B.E.S.T. Program): The sponsor is committed to providing age appropriate, culturally sensitive services to senior adults residing in the NYCHA Baruch Houses with the goal of building a strong community of caring in order to foster, support and maximize each members’ overall personal well-being.

The sponsor is also committed to providing comprehensive services that will improve the quality of life for the seniors, enabling them to remain in their homes and helping them to lead independent, healthy and active life-styles within their home community. These services include advocacy, health promotions services, social work services and opportunities for socialization.

- Bilingual Social Services – case assistance, case management, entitlement/benefits assistance, service linkage and coordination, crisis intervention, support services, and advocacy.
- Recreational Services – group activities, trips, bingo, arts & crafts, physical fitness activities, dance and music activities, and light snacks.

- Bilingual Health Services – health education services, health screening, health promotion and prevention, and linkage to appropriate follow-up services.
- Services for Home-Bound Seniors – friendly visits, telephone reassurance calls, and escorts.

Based on B.E.S.T program reports from January 1, 2018 to December 31, 2018 the Grand Street Settlement NORC Program provided the following core services:

	<u>Units of Service</u>
Case management & Assistance	- 940
Health Care Management & Assistance	- 137
Residents receiving Core Services	- 610
Total Active Clients	- 903

Senior Resident Advisor (SRA): provides supportive services to elderly (ages 62 and over) and non-elderly disabled residents in select sites. This initiative helps seniors to maintain independent and dignified living by assisting them with accessing public benefits, advocating with service providers on their behalf, and a Senior Volunteer Floor Captain program, through which seniors serve as Floor Captains on their floor and meet monthly to discuss health and safety issues. Floor Captains work through a buddy system to ensure the safety and well-being of each other - especially their frail and disabled neighbors.

From January 1, 2018 through December 31, 2018 the SRA programs provided 11,739 units of supportive service to an average of 439 residents monthly and conducted 5,115 home visits. This program is funded by the Community Development Block Grant (CDBG) from HUD.

Elderly Safe-At-Home Program: provides supportive services to residents at 4 NYCHA developments in the South Bronx. The program provides crime prevention education; crisis intervention; assistance with benefits and entitlements; referral for transportation services; meals-on-wheels and homecare; and escort to medical facilities, banks and light emergency shopping. Resident volunteers augment staff support by monitoring the seniors’ well-being and engaging and assisting other residents in getting involved in community and program-related activities, thus enhancing their safety and viability. This program is funded by the Community Development Block Grant (CDBG) from HUD. From January 1, 2018 through December 31, 2018 the Elderly Safe at Home Program provided 3,027 units of supportive services to approximately 175 residents’ monthly and conducted 1,259 home visits.

Senior Companion Program: assigns Senior Companions, through a partnership with Henry Street Settlement, to help homebound or isolated fellow seniors live independently. Senior Companions provide friendly home visits, as well as escort and light shopping services, to frail and socially isolated residents at 2 NYCHA developments, 1 in Queens and 1 in Staten Island. This initiative is funded by the Corporation for National Service. From January 1, 2018 through December 31, 2018 the Senior Companion Program conducted 287 home visits and provided 69 Escorts Services to approximately 6 residents monthly.

PHA Goal: *Increase collaborative partnerships with public & private agencies to maximize and leverage resources, expand funding base and reduce service duplication.*

Progress: NYCHA’s Department of Community Engagement & Partnerships along with the Office of Public Private Partnerships has leveraged partnerships with public and private agencies to provide the following program/s:

I. In partnership with NYC Service NYCHA convened 14 **Youth Leadership Councils** (YLC’s) in the Fall of 2017 through June 2018. As part of NextGeneration (NextGen) NYCHA—the Authority’s 10-year strategic plan, across neighborhood-based “Zones,” NYCHA convenes local councils providing guidance and input to NYCHA leadership from a youth perspective. The YLCs identify priorities within their development and community and implement local and citywide community service projects throughout the school year. Additionally, youth tackle Policy, Practice, and Service, issues in bi-weekly meetings and strive to create projects that engage the community and champion change with real results and lasting impact.

- **February 2018:** NYCHA held the inaugural Speed Mentoring Event for 60 Youth Leadership Councils (YLC) members. This unique opportunity connected young NYCHA leaders to a group of approximately 60 mentors for a series of short and focused one-on-one conversations aimed at building their networking and public speaking skills. The event aimed to help NYCHA youth explore career options and the variety of paths available to achieve their educational and professional goals.
- **March 2018:** Brooklyn East YLC provide testimony during City Council hearing
- **April 2018:** Brooklyn East YLC Host 1st Youth Health/ Fitness Resource Fair. Focused on combating obesity through active movement: Zumba, Obstacle Course, Double Dutch, Push-ups, Sit-ups, Jumping Jacks Challenge, Table Tennis, Healthy drinks & Instructional Boxing.
- **April 2018:** YLC members assist with the creation of NYCHA's new smoke-free campaign.
 - NYCHA Smoke Free Campaign Video: <https://youtu.be/BHD88SM6qBQ>
- **May 2018:** YLC (Zone 15) Successfully completed job-readiness campaign for 100% of their members
- **May 2018:** Established YLC poster and t-shirt anti violence campaign. Youth partnered with social justice artist Ronny Quevedo to create art that will be distributed to residents throughout the city to raise awareness on safety issues. Youth Council members will host presentations throughout the city to encourage partnerships.
- **June 2018:** Brooklyn East YLC joins Habitat for Humanity New York City “A Brush with Kindness Program” and volunteered to paint and revitalize the Brownsville Senior Center
- **June 2018:** YLC Member Mya Pyle received \$500 scholarship from Medly Pharmacy towards her college studies. Mya will be attending law school in the fall 2018
- **June 2018:** The South Bronx YLC hosted the Second Annual Green Day, a community event held at five NYCHA developments simultaneously to highlight the importance of neighbors working together to make their community cleaner, safer, and more connected.
- **June 2018:** At the 2nd Annual YLC Summit, members participated in a full day of presentations developed during their regular bi-weekly sessions which focus on determining neighborhood priorities and moving them into action. Also, at the Summit, 175 youth were presented with a Mayoral Recognition Certificate (recognition 100 hours of community service).
- **June 2018:** “SBYLC” Video Documentary Premiere of #StandStrongMakeChange at Mott Haven Library
 - <https://youtu.be/LhLHyjBC5w4>
 - <https://youtu.be/Z-LAccNiBRQ>
- **June 2018:** Zone 9 YLC (4 the Rock Youth Leadership Council) Premiere of D.I.M.E /Drugs In My Environment - Short film to promote an anti-drug campaign to help raise awareness about some of the struggles that youth within the community face as it relates to drugs.
 - <https://youtu.be/bvar2Y5oD8U>
- **June 2018:** Established the Katherine Perez Memorial \$1,000 Scholarship - At 17, Katherine (Kathy) Perez was already beacon of hope in the community and a force for positive change. She had a vision to reshape the world’s perception of those who live in the Bronx by creating

community projects that educate and empower youth. Kathy lived at Betances Houses and was an enthusiastic participant in the South Bronx Youth Leadership Council (YLC), through which she helped plan programs to educate the community, strengthen bonds among neighbors, and have fun together.

- <https://www.fundforpublichousing.org/katherineperez/>
- **July 2018:** Higher Sales Community Art Project - youth participated in a paid internship to create art that was used to create new awnings and decor for a local restaurant in the South Bronx.
- **December 2018:** South Bronx YLC teamed up with various senior citizens from Betances, Adams, and Saint Mary's Park Houses promote community unity and anti-violence by planting and decorating a unity tree thus reviving a holiday tradition at Betances Houses.

II. NYCHA, The Fund for Public Housing and CUNY Murphy Institute launched the Resident Leadership Academy to empower the next generation of NYCHA Resident Leaders. Funding has been provided by the New York State Legislature and the New York City council which would allow the institute to provide students with small classes, pro-active counseling, specialized tutoring and an array of academic support. Participating residents will earn up to 16 free college credits through the Murphy Institute/CUNY School of Professional Studies. The Resident Leadership Academy's first course began in January 2018 and ended in May 2018 with 13 resident participants successfully completing the first semester. The full cohort completed the second semester course focused on community organizing and will progress onto the third semester course in non-profit leadership

Partnership to Strengthen NYCHA's Commitment to Health NYCHA's Department of Health Initiatives builds internal and external collaboration to advance NYCHA's work to comprehensively address health issues. Established in 2017, Health Initiatives leads and supports partnership strategies that connect residents to preventive health resources, create healthier indoor environments, and cultivate resident leadership in health. A core foundation of NYCHA's Health Initiatives work is cross-systems collaboration with the New York City Department of Health and Mental Hygiene (DOHMH) to connect public housing communities to efforts that drive health equity through programs, policy, and systems change. DOHMH's Center for Health Equity works to eliminate health inequities, which are rooted in historical and contemporary injustices and discrimination, including racism.

NYCHA Connected Communities: NYCHA's Connected Communities is a new urban design initiative to activate and improve connections among NYCHA residents and between the NYCHA community and surrounding neighborhoods. The goal of this initiative to decrease the negative effects that disconnection from the surrounding neighborhood might have on the physical and mental health of NYCHA residents. The initial phases of this project were funded by Deutsche Bank.

Urban Agriculture: Farms at NYCHA is part of Building Healthy Communities (BHC), a city-wide partnership designed to improve health outcomes in 12 neighborhoods in New York City. Through NYCHA's partnership with Green City Force, young NYCHA residents are building and maintaining farms on public housing properties across the city to serve fellow residents. There are currently six farm sites in operation. The Farms expand healthy food access, provide youth workforce and leadership development, and promote sustainable and connected public housing communities. In 2018, with six Farms at NYCHA sites active, the initiative distributed approximately 24,400 pounds of free, locally-harvested, organic produce to residents. In the past three years approximately 100 young NYCHA residents age 18-24 have been trained in urban agriculture, sustainability, and community programming.

Community-Led Playground Design/Build: In 2017, NYCHA began an initiative called NextGen Plays in partnership with KaBOOM! and the Fund for Public Housing. Through NextGen Plays, NYCHA plans to support the creation of new playgrounds at five developments. This initiative is special because it builds on the strength of NYCHA residents to organize and secure resources for their communities while contributing their vision for children’s play. Communities are selected for this initiative through KaBOOM!’s application process, which requires residents to show community interest and capacity to lead the project. Once a community is selected for a build, the project begins with a KaBOOM!-led Design Day, where NYCHA residents work together to envision their dream playground for their development. Six weeks later, after much planning, 200 volunteers join together to build the new play space in one day. Two playgrounds have been built to date on NYCHA developments. The first build took place at Pomonok Houses in November 2017, and the second build took place at Bayview Houses in June 2018.

Ideas Marketplace: NYCHA’s Office of Sustainability partnered with the Fund for Public Housing and ioby.org to launch the Ideas Marketplace. Its goal is to provide a forum for sustainability initiatives, led by NYCHA residents and community organizations, to gain greater visibility and scale through connection with like-minded efforts across NYCHA communities. The Marketplace was created to enable skill-sharing; joint, multi-year philanthropic support; and greater reach and impact. The first two Marketplace projects were completed in 2017: Ocean Bay Community Gardens, led by the Rockaway Youth Taskforce, and a community discussion event as part of WATERSHED Red Hook, led by Fifth Avenue Committee. So far this year, two projects have been completed: QB Compost Connection! and Door-to-Door Recycling Pilot. Currently, the Mill Brook Gardens Project and South Jamaica Health, Wellness, and Sustainability Festival is underway.

Food Business Pathways Kiosk Program: Beginning in October 2018, graduates of the Food Business Pathways program had the opportunity to participate in a program where they rotated selling their goods at a kiosk that was set up in the Brooklyn Navy Yard’s Building 77 food court. This provided graduates of the Food Business Pathways program with an opportunity to access the market. Funding for the programmatic portion of the kiosk project was secured through the Chase Foundation.

HUD Resident Opportunities and Self Sufficiency – Service Coordinators Program (ROSS): NYCHA was awarded \$738,000 from HUD’s 2015 Resident Opportunities and Self Sufficiency – Service Coordinators Program (ROSS) grant. This award enables NYCHA’s Resident Economic Empowerment & Sustainability (REES) to continue to employ three Service Coordinators to enhance public housing resident’s economic opportunities by coordinating services, with partner organizations, in the areas of adult education and training, employment, financial literacy and asset building. The ROSS Service Coordinators work with NYCHA residents in Coney Island, East Harlem, and the Lower East Side.

HUD Family Self Sufficiency (FSS): Since 2010, NYCHA has annually applied to HUD and been awarded grants for the Family Self Sufficiency (FSS) program. In 2017 NYCHA was awarded a FSS grant of \$208,139 to fund three FSS Coordinators. The FSS grant allows NYCHA’s department of Resident Economic Empowerment & Sustainability (REES) to work with participating residents to increase their earned income by providing opportunities for education, job training, counseling and other forms of social service assistance.

HUD Jobs Plus: In 2016, HUD awarded NYCHA a \$2,000,000 Jobs Plus grant to increase the earnings and employment of working-age residents at the Pennsylvania – Wortman Avenue development in Brooklyn. The program began serving residents in 2017 and is working the Center for Economic Opportunity (CEO), the Human Resources Administration (HRA), the Department of Consumer

Affairs' Office of Financial Empowerment (OFE), the Department of Small Business Services (SBS), and the Bedford Stuyvesant Restoration Corporation. The goal of Job Plus is to enroll Penn-Wortman residents in the program and to provide them with employment services and to increase their economic self-sufficiency.

New York City Connected Communities (NYCCC): The Mayor's Office of the Chief Technology Officer (MOCTO) has allocated funding to NYCHA in FY2019 to support broadband use among resident under the New York City Connected Communities Program (NYCCC). As a partner in Connected Communities, NYCHA has maintained broadband internet technology in 6 Community Centers in public housing developments throughout the five boroughs. These Centers allow NYCHA residents, and other members of the community, to benefit from greater access to Broadband resources, and a variety of internet employment training and job search skills. In addition, NYCHA is operating two (2) Digital Van under the FY2019 Connected Communities grant. The digital van is a mobile lab which travels developments citywide. The goal is to help visitors access technology and bridge the technology gap. Visitors can conduct job searches, check email, utilize social media, research, complete recertifications and seek out services. There is a Technology Instructor on board to help when required. Van site visits are promoted via social media and new online schedules are posted monthly. From August 2017 through May 20, 2019 the NYCC Digital van was accessed by 8,363 (non-unique) residents.

+POOL: In 2018 Friends of + POOL, the nonprofit that hopes to bring New York City's first water-filtering floating pool to the East River, once again teamed up with the New York City Housing Authority for its Summer Bluefish Swim Program. Thanks to the partnership, 86 kids aged 4 to 14 living in public and low-income housing received free swimming lessons at the Convent of the Sacred Heart Athletic Center in the Upper East Side, Manhattan and CUNY Medgar Evers Pool in Crown Heights, Brooklyn.

While NYC has swimming pools across the city, there are many families who don't have access to swimming lessons for kids. Classes are part of the non-profit's Summer Bluefish Swim Program, which aims to get kids confident in the water. It is geared on providing underserved youth with the opportunity to learn how to swim for free. Learning how to swim is a crucial step in a child's life. It fosters strong partnerships, it's an invaluable skill and it helps them connect with their community. The Kids are provided with swimsuits, swim cap, goggles, towel, T-shirt, bag and a booklet with lessons.

Friends of + POOL and the NYCHA first launched the program in 2016 and ten kids from the inaugural class have been given the chance to return last summer for advanced classes. Their mission: to someday train these students to become lifeguards at the completed + POOL in East Harlem. In addition to free swim gear participants received tuition scholarships to continue swimming at Sacred Heart Athletic Center.

City Harvest Mobile Market Program: City Harvest exists to end hunger in communities throughout New York City. They perform this service through food rescue and distribution, education, and other practical, innovative solutions. City Harvest has been distributing free produce to residents of NYCHA at the Stapleton Houses in Staten Island and Morrisania-Air Rights, Andrew Jackson, and Melrose Houses in the South Bronx, through our Mobile Markets, since 2005. Currently, the Mobile Markets operate at 8 locations throughout the five boroughs. The programs can also be found at Tompkins Houses in Brooklyn, Dyckman Houses in Manhattan, Astoria Houses and Queensbridge Houses in Queens, Mariner's Harbor on Staten Island and at St. Mary's Park in the Bronx. Food distributions take place twice monthly with the help and dedication of community volunteers from NYCHA developments, as well as general City Harvest volunteers. From July 2018 through March 2019, City

Harvest averaged a distribution rate of 209,313 lbs. of fruit and vegetables to approximately 5,000 participants monthly.

Book Rich Environments (BRE): On June 7, 2018, the Family Partnerships Department kicked-off the first of 9 citywide Book Rich Environment (BRE) events! The BRE initiative is a collaboration between non-profit organizations, national government agencies, and corporate publishers designed to encourage reading and improve literacy rates among youth, ages 0 to 18, who reside in HUD-assisted public housing. The National Book Foundation is the BRE project lead, in conjunction with the U.S. Department of Housing and Urban Development, U.S. Department of Education, National Center for Families Learning and the Urban Libraries Council. National book publishers, including Penguin Random House, Hachette Book Group, MacMillan Publishers, Simon & Schuster, HarperCollins, Workman / Algonquin, Candlewick and Scholastic donated 422,000 books to PHAs nationwide for this year's BRE events.

The 2018 BRE events were held at NYCHA community center's during the month of June. These citywide sites included Brooklyn (Farragut, Ingersoll and Carey Gardens), Bronx (Butler and Bronx River), Manhattan: (Gompers and Rutgers), Queens (Pomonok and Hammel Houses), and Staten Island (South Beach Houses). In addition to free book distributions, other BRE activities involved library-card sign-ups, face painting, and story-telling. A total of 75,000 books was distributed to the children and their families. The next BRE event will be begin in June 2019.

Teen Expansion Program (TEP): The summer of 2018 was a great one! In partnership with the Mayor's Office of Criminal Justice, 25 Community Centers located on NYCHA campuses were selected to offer the Teen Expansion Program. The TEP offers a safe, productive space for youth ages 12-24 in their community throughout the 5 boroughs, in addition to extended hours held at 94 Cornerstone Centers citywide. The program operates 7 days per week, 6:00 p.m. to 11:00 p.m. Monday - Friday, and 3:00 p.m. to 11:00 p.m., Saturday – Sunday for eight weeks starting July 9th, 2018 and ending August 31st, 2018. Each program offered a wide variety of activities such as athletic events, performing arts, field trips, creative workshops, discussion groups and violence prevention and interventions. During the months of July and August 2018, 28,802 teens participated in the Teen Expansion program.

Objective: To inform residents about personal disaster preparedness and the private and public resources and programs that can increase their ability to handle emergencies.

Progress: NYCHA's Office of Emergency Management (OEM) has participated in and invited partners (NYC Emergency Management- Ready New York & CERT, FDNY, CPC, ASPCA, and ARC) to NYCHA Family Day events and NextGen Resource Fairs, where preparedness materials were provided, and residents were engaged on topics regarding emergency preparedness and building personal, family, and community resilience. NYCHA's OEM has partnered with NYS Citizen Preparedness Corps (CPC) to provide on-going emergency preparedness training to NYCHA residents and communities hosted at the DFTA, DYCD and NYCHA-managed community and senior centers operating on NYCHA property. NYCHA's OEM has also partnered with NYCHA's Office of Safety and Security to provide training and certification to NYCHA's Resident Watch Program members, to become better versed and equipped in preparedness and response to assist NYCHA residents and communities, especially during emergency incidents. NYCHA's OEM is in the process of creating a training program for Resident Watch that includes CPR, First Aid, Emergency Management, and response trainings. NYCHA's OEM has disseminated messaging through various means; including rent bills, social media platforms and in person at family days, resource fairs and at CPC provided trainings, that provides situational and incident awareness and informs residents of preparedness actions that should be taken during various emergencies including directing residents to other resources (ARC, NYCEM, Know Your Zone, Notify NYC, 311, etc.) for additional assistance.

As of May 2019, NYCHA's OEM is working to implement and utilize a mass notification system to quickly and efficiently provide emergency messaging and relevant information to residents in four languages (English, Spanish, Chinese and Russian).

The department continues to conduct the above actions to support its objective. In addition, NYCHA OEM has partnered with the Urban Assembly School for Emergency Management (UASEM) to provide free American Heart's Association "hands only" CPR and "Stop the Bleed" trainings to NYCHA residents. The students of the school will provide these trainings at scheduled events at the developments and will also create and disseminate emergency preparedness materials to NYCHA residents. We are in the process of scheduling a demo training for NYCHA staff in October 2019 and will host an emergency preparedness resource fair at Smith Houses for FEMA Prepare-Athon in Mid-April 2020 which will include emergency preparedness partner agencies and the UASEM students.

Future initiatives include:

- Partner with FDNY to provide First Aid and Fire Safety training.
- Begin hosting emergency preparedness themed resource fairs at NYCHA developments.
- Procure and/or create additional emergency preparedness guidance materials to disseminate to residents digitally and in print.
- Create a website for NYCHA residents to visit to obtain information on hazards that can impact them, emergency preparedness guidance, and additional resources.

Reducing Exposure to Secondhand Smoke at Home:

See Attachment K for NYCHA's Smoke Free Housing Statement.

Goal: Promote self-sufficiency and asset development of families and individuals.

Family Self Sufficiency Program: NYCHA was awarded a 2017 Family Self-Sufficient grant from HUD. The FSS program is managed by NYCHA's Office of Resident Economic Empowerment & Sustainability (REES) and promotes the development of local strategies to coordinate the use of public and private resources to enable participating FSS families to increase earned income and financial literacy and make progress toward economic independence. Participation in the FSS program is voluntary and is open to families throughout the five boroughs who are unemployed or underemployed.

Objective: Develop strategic partnerships and leverage external resources to connect residents to high quality economic opportunity services that support resident economic sustainability. (Increase job placements and job training opportunities, apprenticeship and educational enrollments.).

Progress:

A. Strategic Partnerships: REES Zone Partner Networks

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

By using housing as a platform REES:

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

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

To date, over seventy providers have since entered into formal partnership with REES. In 2017, partnership expansion brought on 25 new partners including adult education and training partners Comprehensive Development Inc., Brooklyn Job Corps, Queens Community House, RiseBoro, York College, CUNY Kingsborough Community College, Lenox Hill Neighborhood Houses, RiseBoro and the Melting Pot Foundation USA, Inc., Stanley Isaacs Neighborhood Center, and YMCA of Queens; Financial Capability and Asset Building partners Neighborhood Housing Services of Brooklyn (2) and Queens; Goddard Riverside, and Westside Campaign against Hunger; and resident Business Development partners Business Outreach Center Network, Inc. and Harlem Business Alliance. In 2018, REES renewed a partnership with Workshop In Business Opportunities (WIBO).

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

Through the Zone Model, REES has created multiple platforms for performing outreach and connecting residents to services. In 2013, REES launched OpportunityNYCHA.org, a web-based platform designed to connect residents to services and provide timely information on REES and partner programs. Residents utilize the microsite to register for information sessions and connect to programs. Events include twice-weekly information sessions hosted at REES’ central office in downtown Brooklyn, in addition to similar sessions hosted offsite at NYCHA developments for a variety of vocational and other training programs, including Section 3 opportunities. REES also distributes a bi-weekly e-newsletter that reaches over 100,000 subscribers. In the past 12 months REES has hosted multiple employment pre-screening events with partners including the NYC Department of Small Business Services’ Workforce Career Centers, the New York City Police Department, the NYC Fire Department and the Employment Center at the Brooklyn Navy Yard.

ii. Financial Literacy and Asset Building Highlights:

a. Online Financial Counseling E-Referrals

In November 2015, REES launched Opportunity Connect, a web-based self-service platform that allows residents to interact electronically with REES and REES partners. Through this platform, residents can refer themselves, via an electronic referral, for economic opportunity services offered through our network of vetted workforce development, adult education, financial literacy and business development partners. From November 2015 to December 2018 there were 2,062 e-referrals by residents to REES economic opportunity providers.

Opportunity Connect also allows residents to register for information sessions and other services hosted by REES and/or our partners, as well as to directly provide information to REES, allowing staff to better connect them with economic opportunities, including employment, generated by NYCHA and its vendors. To easily access resident referrals and report results, there is a respective Partner portal for REES partners. There are plans to build out an employer portal that will allow REES contractors to upload job orders and receive resumes from qualified residents via the platform.

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

b. Financial Literacy Training

Free Tax Preparation Services in NYCHA Communities

For the 2019 tax year, Citi Community Development partnered with the Food Bank for New York City and NYCHA to continue the expansion of available of free tax prep services in NYCHA communities. For the 2019 tax season the program has provided free tax preparation services across 26 community centers, Jobs-Plus sites and other partner facilities. In the 2019 tax season, 1,845 tax returns were filed using the Virtual VITA method at NYCHA and NYCHA partner locations citywide.

c. Homebuyer Education for NYCHA Residents

REES continues to collaborate with homebuyer education partners in 2018 to host several homeownership workshops. REES is also exploring ways to help residents build positive credit history, which is essential in the home buying process, by exploring alternative means of credit. In 2017 in collaboration with REES and Credit Builder's Alliance the Urban Upbound Federal Credit Union and Brooklyn Cooperative Federal Credit Union formally launched their respective rent reporting pilots. In 2018, REES continued its collaboration with the Urban Upbound Federal Credit Union to enroll NYCHA residents in the rent reporting pilot, enrolling approximately 20 NYCHA residents by the end of the year. In 2017 and continuing in 2018, REES partnered with additional homebuyer education partners to bring homeownership classes citywide to NYCHA residents. In 2017, REES collaborated with Neighborhood Restore and Habitat for Humanity to host information sessions for affordable homes for sale in Queens. In 2018, REES continued to host information session for new affordable homes for sale (Bundle 2) with Neighborhood Restore and expanded homeownership education offerings with new HUD-certified home-education counseling partners. By the end of 2018, five NYCHA residents successfully closed and purchased their own single-family homes through Neighborhood Restore and were awarded NYCHA "homeownership rewards" through a partnership between Chase, the Fund for Public Housing and REES. As of May 2019, five new NYCHA residents are currently in contract with Neighborhood Restore to close on single-family homes in southeastern Queens by winter 2019. NYCHA plans to award five new homeownership rewards in 2019 once the residents successfully close.

iii. Employment and Advancement Highlights

d. Jobs-Plus

Jobs-Plus is a proven place-based employment program that provides customized employment services, financial counseling, rent-based incentives and peer to peer support to working age residents. A Collaboration between NYCHA, Human Resources Administration (HRA), the Mayor's Office for Economic Opportunity (NYC Opportunity), and the NYC Department of Consumer Affairs (DCA), there are currently ten (10) Jobs-Plus sites operating city-wide under the Jobs-Plus expansion - including 9 funded under the NYC Young Men's Initiative, and NYC's first Jobs-Plus funded under the US Department of Housing and Urban Development's Jobs-Plus Initiative, which opened its doors on April 1, 2017. With the addition of the HUD funded site serving the residents of Pennsylvania - Wortman Avenue Houses, in total the 10 Jobs-Plus sites serve 27 developments and nearly 25,000 working age NYCHA residents. The Jobs-Plus expansion is in alignment with NYCHA's new approach to better support its residents to increase their income and assets by working with public and private partners to identify gaps in service offerings and to develop strategies that attract high quality resources and proven economic opportunity models into public housing neighborhoods. From September 1, 2017 to December 31, 2018, Jobs Plus achieved 1,983 resident placements collectively.

Since its launch in March 2017 to end of year 2018, 252 new residents were enrolled-- 140% of the HUD end of year two cumulative goal of 180 (Note: year 2 ended 2/28/19). 127 of those members

were assessed in the areas of job readiness, financial health, and/or mental health-- 87% of the HUD end of year two goal of 146. 34 members were placed in full-time (23) or part-time employment (11). We expect to achieve greater success in job placements as we continue to address the barriers to employment with our members. Most promising the potential for gains in financial health--104 members have received financial coaching, including 41 who were referred for the Jobs Plus Earned Income Disallowance program, which will result in substantial rent savings for those who qualify.

e. NYCHA Resident Training Academy (NRTA)

The NRTA is a public/private initiative funded by the Robin Hood Foundation. The NRTA began in August 2010 as a citywide, employment-linked training program for NYCHA residents. Residents receive training from some of New York City's premier vocational training providers in preparation for jobs with NYCHA, its contractors, and the private sector. By the end of 2018, over 2,100 NYCHA residents have graduated the Academy with about 90% moving on to employment directly with NYCHA and in various construction-related positions with NYCHA contractors and external affordable housing developers. In August 2015, NYCHA was approved direct entry status for its construction track from the New York State Department of Labor (NYSDOL). Since then, NYCHA has established direct recruitment partnerships with 7 apprenticeship programs including DC 9 Painters, IBEW Local 3 Electricians and Local 8 Roofers for NRTA graduates.

In 2017, in partnership with NYC Small Business Services, NYCHA piloted two academic preparation cohorts to prepare NRTA graduates for the competitive IBEW Local 3 Electrician Apprenticeship program. To date, there have been five 70+ hour cohorts, one of which one was funded by a NYCHA contractor, and a shorter 9-hour test prep session, resulting in 34 NYCHA residents passing the rigorous IBEW Local 3 exam. As of August 2019, twenty-seven out of the 34 residents are currently employed as Electrician Apprentices while also attend evening college classes at State University of New York (SUNY), Empire State to earn an Associate's Degree with an additional three additional residents pending apprenticeship enrollment. This is a benefit offered to apprentices and all college expenses are covered by the union.

f. Zone Partner Highlight: Green City Force

Green City Force (GCF) is a NYC-based AmeriCorps program that combines national service and workforce development to reduce carbon emissions while providing urban young adults with training and leadership opportunities related to greening the economy. Green City Force has partnered with NYCHA's Office of Resident Economic Empowerment & Sustainability since 2009 to recruit qualified NYCHA Residents ages 18-24 for their full-time stipend-paid program that provides training leading to certifications, college-prep, leadership development and hands-on work experiences. REES continues to work closely with Green City Force on an initiative to recruit young adults for the Clean Energy and Urban Farm Corps. There was intensive recruitment aimed at recruiting young adults from the Mayor's Action Plan (MAP) developments. Of NYCHA's developments, there are 15 that fall under MAP and were selected due to high incidences of violent crime. The MAP initiative invests resources into these communities to increase resident access to much needed services and high-quality training programs such as Green City Force. Since 2011, there have been over 350 NYCHA young adults who have completed GCF training.

In prior report, it was noted that Green City Force and NYCHA piloted a green construction training track of the NYCHA Resident Training Academy. This pilot graduated 11 residents. As an update, two of the eleven graduates participated in the academic preparation cohort mentioned previously. Both successfully passed the IBEW Local 3 aptitude exam and are now paid apprentices with the union, recently completing their first year, as well as, pursuing an AS degree.

v. Resident Business Development Highlights

g. Food Business Pathways Program

In 2018, NYCHA, the NYC Small Business Services (SBS) and non-profit partners launched year four of the NYCHA Food Business Pathways Program through support from Citi Community Development. The program bridges the financial, education and access to affordable space gap for NYCHA public housing residents and NYCHA section eight voucher holders seeking to formally launch and grow their food businesses. In 2018, REES enrolled 78 residents in total (38 in Cohort 8 and 40 residents in Cohort 9). To date across nine cohorts, 271 NYCHApreneurs have completed the program, 189 businesses have been formed, and 43 have received grants to cover approximately five months in a commercial kitchen incubator. Additionally, in 2017, NYCHA executed an agreement with Brooklyn Navy Yard for select Food Business Pathways graduates to operate a kiosk located at the ground level in Building 77 at the Brooklyn Navy Yard. This kiosk, which launched in October 2018, provides an opportunity for eligible food businesses to identify new customers, have a physical presence to sell their products, and grow their business while increasing their revenue. Funding for the programmatic portion of the kiosk project was secured through the Chase Foundation.

h. Childcare Business Pathways Program

Building on the success of the Food Business Pathways program, NYCHA in conjunction with SBS, and non-profit partners Business Outreach Center Network, and Childcare Development Support Corporation, began a second business pathways program called Childcare Business Pathways (CBP) in late 2016, also supported by Citi Community Development. CBP is a free 10-week intensive business course tailored specifically for NYCHA residents with a passion for starting a home-based childcare business. In 2018, 40 NYCHA residents enrolled and 36 have graduated across two cohorts. Across four cohorts, 70 NYCHApreneurs have completed the program. In 2017, NYCHA secured a first-time investment by the NYC City Council Speaker's Office to enhance both Business Pathways programs. The fifth cohort and six cohorts began in February 2019 with 42 enrollees and 29 participants graduated in June 2019.

Objective: Generate jobs and other economic opportunities for NYCHA Residents (Increase Section 3- related training, employment and contracting opportunities)

Progress:

Resident Employment (Section 3 and Other Programs)

From September 1, 2017 to December 31, 2018, REES facilitated 1,127 direct job placements. These job placements include those generated by outside contractors for various projects at NYCHA developments.

Section 3 Business Concerns (S3BCs)

NYCHA will continue to work with businesses to help identify qualified S3BCs, promote registration in the NYCHA S3BC registry, link S3BCs to programs, initiatives, increase their economic opportunities and contract awards.

Please note the recent steps NYCHA has taken to enhance our S3BC outreach and efforts:

- Beginning in 2016 and continuing through 2018, S3BCs were invited to participate in NYCHA's annual M/WBE & S3BC procurement fairs held on April 19, 2016, May 4, 2017 and November 15, 2018 and May 2, 2019.
- S3BCs are invited to attend all NYC/NYS sponsored M/WBE events where NYCHA participates as exhibitor, to increase their networking and contracting opportunities

- In 2017, NYCHA participated as exhibitor at 13 procurement fairs.
- In 2018, NYCHA participated as exhibitor at 16 procurement fairs.
- As of August 7, 2019, NYCHA participated as exhibitor in 16 procurement fairs.
- NYCHA participated in speaking Engagements/Presentations/Webinars for M/WBEs and Small Businesses to educate/promote S3BC qualifications/registration and opportunities:
 - In 2017, NYCHA presented at six events.
 - In 2018, NYCHA presented at six events.
 - As of August 7, 2019, NYCHA presented at five events.
- S3BCs are referred to NYC Small Business Services for free programs and business assistance to help grow their capacity.
- As of August 7, 2019, NYCHA has 201 S3BC's registered on the NYCHA S3BC directory which is updated monthly:
 - <http://www1.nyc.gov/site/nycha/business/section3-business-concern-information.page#findS3BC>
- NYCHA provides information regarding S3BC's at pre-bid conferences to encourage prime contractors to subcontract to eligible S3BCs
- NYCHA's Supply Management Procurement Department provides continuing education "procurement roadshows" to internal NYCHA Departments to inform them of S3BC registry and promote/encourage S3BCs for bid solicitations and micro-purchases

Increasing Earned Income Disallowance ("EID") uptake

REES continues to support the application of the Earned Income Disallowance as a work-incentive for NYCHA residents. Following automation of the EID process in NYCHA tenant data systems in 2012, an increase in income now triggers additional questions during the annual income review process, making it easier for Housing Assistants to recognize when to apply the EID toward a household. REES continues to educate its self-sufficiency program partners in the EID policy and program benefits for their clients. REES also has been successful at enlisting its partners in helping to educate and orient residents about the EID. Since REES began tracking EID in March 2012, 13,281 residents have received the EID as of January 1, 2019.

Family Self-Sufficiency Program ("FSS")

The Section 8 FSS Program is a HUD initiative that promotes economic self-sufficiency among participating families by referring them to educational, career counseling, money management, job training as well as job placement services. Participants receive a savings account which grows as the family's earned income increases. Upon completion of the five-year FSS Contract of Participation, the family receives the money accumulated in the account, provided that no member has received cash public assistance in the preceding twelve months. The money may be used as a down payment on a home, as payment for higher education, as start-up capital for a business or to pursue other personal goals. Participating families run no risk to their Section 8 voucher and may continue to receive Section 8 assistance upon graduation from the program as long as they continue to meet Section 8 eligibility criteria.

As of December 31, 2018, there were 950 participants in the program. A total of 418 participants, or 44 percent, had active escrow accounts with an average balance of \$4,213. In 2018, the program continued to outreach to residents participating in the HUD Family Unification Program (FUP) demonstration initiative for youth who have aged out of foster care. In addition to receiving the standard FSS benefits, FUP youth who enroll in FSS can extend the duration of their NYCHA Section 8 voucher from three to five years. Additionally, in 2018 the program increased efforts to recruit residents participating in the Rental Assistance Demonstration Program (RAD).

Goal: Ensure equal opportunity in Housing for all Americans

Progress: NYCHA reaffirms its commitment to affirmatively further fair housing through its sustained relationships with residents, applicants, advocates, and organizations that assist people with disabilities and promote fair housing. NYCHA’s Department of Equal Opportunity (DEO), Services for People with Disabilities Unit (SPD), assists applicants and residents with disabilities in obtaining decent, affordable, and accessible housing in NYCHA developments. SPD serves as a liaison between the disabled community and NYCHA. In 2018, SPD responded to, or assisted with, 300 reasonable accommodation matters from residents, applicants, Section 8 voucher holders, and/or their respective advocates. In 2018, SPD handled approximately 1,054 matters involving a range of services, including assistance with documentation, transfer requests, modifications of priority status, and reasonable accommodation requests for remediation of mold conditions in connection with asthma. There were 395 visits to SPD, and SPD provided information to a variety of organizations, including St. Mary’s Hospital, United Cerebral Palsy, the New York City Mayor’s Office for People with Disabilities, and many others. Applicants, residents, and others in need of assistance with disability issues may call SPD’s hotline at (212) 306-4652 or TTY at (212) 306-4845.

NYCHA affirmatively furthers fair housing by providing equal housing opportunities to residents, applicants, and Section 8 voucher holders. Residents, applicants, and Section 8 voucher holders may file housing discrimination complaints with NYCHA. They are investigated internally to determine if the individual has been the subject of unlawful discrimination and whether corrective or conciliatory action is necessary. In addition, applicants who have been found ineligible for public housing and assert the denial was based on their disability can have their cases reviewed by SPD.

The DEO conducts internal investigations of complaints of fair housing discrimination by public housing residents and applicants for public housing. In 2018, DEO reviewed 17 fair housing matters and closed 15 fair housing investigations. There were no findings of housing discrimination that resulted in corrective action. In 2018, the SPD conducted zero disability-related right reviews of applications in which disabled applicants challenged their ineligibility for housing and asserted disability discrimination.

The NYCHA Fair Housing Non-Discrimination Policy Statement is available on NYCHA’s website at <https://www1.nyc.gov/site/nycha/about/policies-procedures.page> and in audio format at 212-306-4600. DEO provides annual updates to NYCHA’s non-discrimination policies, including the NYCHA Fair Housing Policy; Reasonable Accommodation Policy for Tenants, Housing Applicants and Section 8 Voucher Holders; Equal Employment Non-Discrimination Policy; and Sexual Harassment Prevention Policy. These NYCHA policies were last revised in January 2019 and include the provision of reasonable accommodations for applicable protected classifications, including disability and victims of domestic violence, under relevant federal, state, and local laws.

NYCHA’s policy is to take reasonable steps to ensure Limited English Proficient (LEP) persons may effectively participate in, and benefit from, NYCHA programs and services. The policy is in accordance with the U.S. Department of Housing and Urban Development notice entitled “Final Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient (‘LEP’) Persons.” This final notice was published in the Federal Register at 72 FR 2732 (January 22, 2007).

NYCHA’s Language Services Unit (LSU) provides interpretative and translation services to NYCHA departments to enable them to communicate effectively with residents, applicants, and Section 8 participants who have been identified as persons with LEP. NYCHA’s Language Assistance Policy takes reasonable steps to ensure that LEP persons have meaningful access to NYCHA programs and services. In support of this policy, LSU regularly assesses NYCHA’s language assistance needs and

monitors NYCHA’s language delivery assistance services in conjunction with its programs and services. LSU also makes recommendations to the Executive Department for modifications to NYCHA’s delivery of language assistance services to persons with LEP.

The LSU consists of one Spanish interpreter and two interpreters for Chinese and Russian. The LSU also manages the Language Bank, which has over 100 volunteers who speak 31 languages.

Key documents are translated and posted on NYCHA’s website and/or made available at management offices in Spanish, Russian, Chinese Simplified, and Chinese Traditional, the languages NYCHA most frequently encounters.

In 2018, NYCHA implemented a new Language Assistance Services Hotline to enable NYCHA Property Management staff to arrange for immediate, over-the-phone interpretation services from a third-party language vendor. This will improve customer service for LEP residents; reduce wait times for over-the-phone interpretations; improve tracking and reporting of language services; and make the delivery of language assistance more efficient.

NYCHA’s website also provides translations in 90+ languages using the Google Translate tool on every web page to assist LEP individuals.

“Where We Live NYC” is a collaborative, City-led process to promote fair housing, confront segregation, and take action to advance opportunity for all. Through this initiative, the City of New York and NYCHA are working with community leaders, residents, and government partners to analyze fair housing issues more thoughtfully and develop innovative goals and strategies to empower more residents to live in thriving neighborhoods. A draft report was published in June 2019; a final report will be published in October 2019 that will include policy solutions and strategies to move us toward a more just and inclusive New York City.

Goal: Violence Against Women Act (“VAWA”)

Objective: Assist residents who are victims of domestic violence obtain an expedited confidential transfer and to enhance their safety.

Progress: From January 1, 2019, through August 31, 2019, the following cases were approved for transfer:

VAWA Victim of Domestic Violence	706
VAWA Dating Violence	91
VAWA Sexual Assault (includes Child Sexual Victims)	24
VAWA Stalking	103
Intimidated Victim	345
Intimidated Witness	22
Victim of Traumatic Incident	6
Total:	1,297

2. STATEMENT OF PROGRESS IN MEETING MISSION AND GOALS – FY2020 to FY2024

NYCHA is providing final updates on its current goals and is introducing new goals for the FY2020 five-year plan.

Section A: Goals Related to NYCHA's Monitoring Agreement

On January 31, 2019, NYCHA and the City signed an Agreement with HUD, which outlines specific deadlines and objective compliance standards for making significant improvements in several high-priority areas, including heat and elevator service, pests, lead-based paint, and mold. This section sets forth a summary of specific goals and deadlines enumerated in the Agreement, as well as related strategies and goals not specifically required by the Agreement but developed to improve resident quality of life. Where provided, the “progress” sections provide information about NYCHA’s compliance with or efforts towards meeting the relevant goals and deadlines. NYCHA has also established new departments and units – including a Compliance Department, an Environmental Health and Safety Department, and a Quality Assurance Unit – as part of the Agreement. The Agreement provides an opportunity for NYCHA to work with a Monitor appointed under the Agreement (referred to as “the Monitor” below) to make significant improvements that will benefit residents. The Agreement requires the Monitor to issue quarterly reports providing further information about NYCHA’s compliance with agreement requirements.

Many of these goals will be met through Action Plans developed as required by the Agreement, strategies outlined in NYCHA 2.0, or actions mandated as part of the *Baez v. NYCHA* settlement.

Lead-Based Paint

Goal: Management of Lead-Based Paint Risks

Objective: By September 30, 2019, NYCHA will train all 900 maintenance staff to conduct visual assessments to identify lead-based paint hazards.

Progress: As of October 9, 2019, 936 maintenance workers (97% of all maintenance workers) have been trained to conduct visual assessments to identify lead-based paint hazards.

Objective: By 2020, NYCHA will use XRF technology to test over 134,000 apartments built before 1978. By the middle of 2019, as lead paint tests are completed, NYCHA will statistics on the progress of the testing initiative and its results. (<https://my.nycha.info/PublicSite/Transparency/XrfReport>)

Progress: In April 2019, NYCHA kicked off an unprecedented, \$88 million effort to test approximately 135,000 apartments for the presence of lead-based paint using high-tech XRF analyzers by the end of 2020. Testing began at Harlem River Houses on April 15, 2019, and at seven additional developments on May 1, 2019: Bronx River, Castle Hill, Johnson, Marble Hill, Red Hook West, Saint Nicholas, and Williamsburg Houses.

As of October 3, 2019, 15,740 apartments have been tested with XRF machine. NYCHA published a dashboard online that reports the progress of the XRF testing, which is available at <https://my.nycha.info/PublicSite/Transparency/XrfReport>. It is NYCHA’s goal to complete the testing by the end of 2020.

Objective: By January 31, 2024, NYCHA will abate all lead-based paint at the Harlem River Houses and the Williamsburg Houses.

Objective: NYCHA will abate common areas that contain lead-based paint. NYCHA will develop an Action Plan with an appropriate timeline for the abatement, prioritizing common areas posing a higher risk of exposure to children.

Heat

Goal: Improving the Provision of Heat

Objective: NYCHA will comply with N.Y.C. Admin. Code § 27-2029(a), which requires NYCHA to maintain the following temperatures in apartments during the heating season (October 1 through May 31):

- a) between the hours of 6:00 a.m. and 10:00 p.m., a temperature of at least 68 degrees Fahrenheit whenever the outside temperature falls below 55 degrees; and
- b) between the hours of 10:00 p.m. and 6:00 a.m., a temperature of at least 62 degrees Fahrenheit.

Objective: By and after October 1, 2024, NYCHA will ensure that, during any given heating season:

- a) no more than 15% of occupied apartments, as measured according to procedures established in an Action Plan which may include a reliable sampling method, will have an occasion in which the temperatures fall below the legal limits, and
- b) the temperature will not fall below the legal limits on more than three separate occasions in a given unit.

Objective: By December 31, 2020, NYCHA will install electronic temperature monitoring to provide the Authority with a comprehensive understanding of heating conditions in 44 developments, which will include electronic temperature monitoring in no fewer than 30% of NYCHA apartments in these developments. A schedule will be established in an Action Plan with deadlines for NYCHA to install such monitoring systems in the remainder of its developments.

Progress: NYCHA has three Energy Performance Contracts (EPC) in progress to accomplish this goal.

Goal: Improved Response to Heating Failure

Objective: By October 1, 2019, NYCHA will establish an Action Plan that identifies, for each development, how NYCHA will respond to heating outages, taking into account resident populations, historical data about prior outages, the availability of on-site and remote maintenance personnel, and response times. The plan will include provisions for alternative heated community spaces for heating outages that are expected to last for a substantial duration. The plan will also address NYCHA's policies for closing out work orders when the resident is not available at home or otherwise does not provide access to his or her apartment to resolve a heating outage. The plan will be made available to the residents and posted online.

Objective: Starting with the heating season beginning October 1, 2019, NYCHA will:

- a) Restore heat to units affected by a heating shortage within an average of 12 hours.
- b) During the heating season, for 85% of heating shortfalls, NYCHA will restore heat to affected units within 24 hours, and in no event more than 48 hours. NYCHA may restore heat through the use of temporary replacement heating systems that comply with the N.Y.C. Admin. Code.
- c) In any event in which heat is unable to be restored to a particular unit within 12 hours, appropriate NYCHA personnel distinct from the NYCHA personnel responsible for the heat

restoration, as identified in an Action Plan, will undertake an investigation to determine the root cause(s) of such initial failure of the heating system and the failure to achieve the restoration of service within the timeframe, identify corrections to prevent or lessen the recurrence of such failures, and track the implementation of such corrective actions. Such information will be retained in a central repository to which all applicable maintenance staff and management have access.

Progress: For the 2018-2019 heating season through May 28, 2019, NYCHA brought down the time it took to resolve heat and hot water outages to 9 hours on average, down from an average of 24 hours during the previous season. This was accomplished in part by establishing a heating team dedicated to resolving service interruptions 24/7 and activating a “Situation Room” during periods of extreme cold to coordinate the response to interruptions and mobilization of resources in real time.

Objective: Starting with the heating season beginning October 1, 2024:

- a) During the heating season, for 85% of heating shortfalls, NYCHA will restore heat to affected units within 12 hours, and in no event more than 24 hours. NYCHA may restore heat through the use of temporary replacement heating systems that comply with the N.Y.C. Admin. Code.
- b) In any event in which heat is unable to be restored to the affected units within 12 hours, the Quality Assurance Unit will undertake an investigation to determine the root cause(s) of such initial failure of the heating system and the failure to achieve the restoration of service within the timeframe, identify corrections to prevent or lessen the recurrence of such failures, and track the implementation of such corrective actions. This information will be retained in a central repository to which all applicable maintenance staff and management have access.

Goal: Other Heating Obligations

Objective: In addition to meeting the goals above, NYCHA will perform the following tasks:

- a) By March 31, 2019, NYCHA will create a 24/7 Heat Desk that will monitor heating metrics and dispatch staff to correct deficiencies during the heating season.
- b) NYCHA will replace or address approximately 500 boilers by 2026
 - 297 boilers will be replaced by December 31, 2026 through NYCHA’s Capital Plan

Progress:

- a) NYCHA established a 24/7 Heat Desk on January 14, 2019.

Mold

Goal: Decreasing Mold Incidence and Recurrence

Objective: By January 31, 2024:

- a) For 85% of verified mold complaints, there will not be a second verified mold complaint in the same unit or the same common area room or hallway within a 12-month period.
- b) No more than 15% of verified mold complaints will be for mold covering 10 or more square feet in a unit or common area that is visible from within such unit or common area, unless NYCHA can document to the satisfaction of the Monitor that after having been advised by NYCHA to report incidences of mold, the resident did not report the incidence of mold until after the mold had reached this extent.
- c) Mold will not appear more than three times in a year in any single unit.

Goal: Remediation of Mold and Moisture

Objective: By January 31, 2021:

- a) For 95% of instances in which a resident reports a mold complaint that is subsequently verified or NYCHA identifies mold in a unit, consistent with the NYCHA Standard Procedure SP 040:14:1, Mold/Mildew Control in NYCHA Residential Buildings, Revised December 19, 2018, within five business days of the resident reporting or NYCHA identifying mold in the unit, NYCHA will prepare and provide a written plan for addressing the root cause to the resident. NYCHA may meet this standard by mailing a copy of the written plan to the resident via U.S. or electronic mail within the five-day period.
- b) For 95% of instances in which a resident reports a mold complaint that is subsequently verified or NYCHA identifies mold in a unit, consistent with the NYCHA Standard Procedure SP 040:14:1, Mold/Mildew Control in NYCHA Residential Buildings, Revised December 19, 2018, within five business days of the resident reporting or NYCHA identifying mold in the unit, NYCHA will remove mold that is visible from within the unit. In the alternative, NYCHA may comply with this standard by remediating the mold and its underlying root cause (i) within 7 days, for repairs that can be performed by a Maintenance Worker or Caretaker, or (ii) within 15 days, for repairs that must be performed by skilled trades workers or other specialized staff in one or more visits.
- c) For 95% of reports to NYCHA of floods, leaks from above, and other conditions that cause sustained or recurrent moisture to flow into a resident's unit or the walls of the unit, NYCHA will abate the condition within 24 hours of a report of the condition to NYCHA, and NYCHA will remove any standing water that resulted from such condition within 48 hours of the report.

Objective: By the end of 2019, train 2,900 staff to improve mold inspections and to investigate building-level systems that contribute to mold.

Progress: As of September 24, 2019, NYCHA has completed training for 2,724 (92%) employees. NYCHA completed implementation of "Mold Busters" citywide (139 consolidations or all developments) on September 2, 2019. Mold Busters involves an updated mold inspection protocol; a new and comprehensive standard remediation procedure; new hands-on training for staff; and new tools for the effective and efficient identification and remediation of mold. All 2,900 applicable staff are expected to be trained on the new tools and procedures by the end of 2019. NYCHA's roof replacements will be critical to the success of NYCHA's mold elimination efforts. The Authority aims to have all its roofs in a state of good repair by 2026, thanks in part to Mayor Bill de Blasio's \$1.3 billion investment to replace over 900 roofs.

Objective: Improve communication and notification to tenants regarding mold starting in 2019.

Progress: Mold Busters is a vital part of NYCHA's commitment to providing residents with the healthy and safe homes they deserve. NYCHA launched Mold Busters in January 2019 and the initiative was fully implemented on September 2, 2019. NYCHA's work to communicate with residents about the citywide Mold Busters rollout began with an introduction to the initiative included in all rent bills at the end of 2018. In April and May 2019, NYCHA conducted two webinars for residents and health and community partners. NYCHA's Department of Resident Engagement shared a Mold Busters fact sheet with resident leaders in June 2019 and this informational resource will be shared broadly with residents throughout the year. Residents and partners can access a range of information about Mold Busters on the web page, <https://www1.nyc.gov/site/nycha/residents/mold-busters.page>. NYCHA continues to work with partners such as the NYC Department of Health to share critical information on how to

identify mold conditions and limit moisture and mold growth in resident apartments. Additional engagement activities are planned for the late summer and fall of 2019 with the goals of ensuring residents have information needed to identify and report mold conditions and promoting awareness of actions residents can take to prevent mold from reappearing.

Objective: Continue and accelerate roof repairs:

- a) By 2019, replace 96 additional roofs, benefitting 24,000 residents.

Progress: As of September 11, 2019, 60 roofs have been replaced, benefitting approximately 14,000 residents. 36 additional roof replacements will be completed by December 31, 2019.

Elevators

Goal: Improving Elevator Service

Objective: By January 31, 2022:

- a) 70% of buildings containing more than one elevator will have no more than one instance per year where all elevators are out of service (whether planned or unplanned) at the same time, and no such building will have more than three instances in a year.
- b) 70% of elevators in all buildings will have an unplanned outage no more than eight times per year, and no elevator will have unplanned outages more than 15 times a year.

Objective: By January 31, 2024:

- a) 85% of buildings containing more than one elevator will have no more than one instance per year where all elevators are out of service (whether planned or unplanned) at the same time, and no such building will have more than three instances in a year.
- b) 85% of elevators in all buildings will have an unplanned outage no more than eight times per year, and no elevator will have unplanned outages more than 12 times a year.

Goal: Improved Response to Disruptions in Service

Objective: For the first year after January 31, 2019, NYCHA will reduce the duration of service outages by 10%, and 75% of no-service conditions will be resolved within 18 hours of the time NYCHA learns of them. The response rate will improve each year thereafter as determined by the Monitor and HUD based on the data NYCHA provides to the Monitor and HUD and the steps NYCHA has taken in executing its Action Plans.

Objective: By January 31, 2024, NYCHA will resolve all outages within the following timeframes:

- a) For outages that result in a no-service condition:
 - 1. 85% will be resolved within four hours of NYCHA learning of such condition, and
 - 2. No no-service condition will last more than 12 hours, unless the no-service condition is in a one-elevator building and results from either (a) an outage due to an elevator rehabilitation or replacement or (b) an outage for which the industry-accepted repair time is longer than 12 hours or that requires NYCHA to order unavailable parts.
- b) For outages that do not result in a no-service condition: 85% will be resolved within 4 hours of NYCHA learning of such condition, and
 - 1. 85% will be resolved within 10 hours of NYCHA learning of such condition, and

2. No outage will last more than 18 hours, unless the outage results from either (a) an outage due to an elevator rehabilitation or replacement or (b) an outage for which the industry-accepted repair time is longer than 18 hours or that requires NYCHA to order unavailable parts.

Goal: Improved Outage Identification and Notice

Objective: By July 31, 2019, NYCHA will institute and maintain a system that identifies every elevator outage and the start and end times of such outages identified by remote monitoring systems, work-order records, or any additional sources of outage information, and make that system accessible and available to all NYCHA personnel responsible for elevators and to other relevant personnel, including all development managers and the General Manager.

Objective: By January 31, 2024, NYCHA will establish continuous remote monitoring in 70% of its elevators.

Objective: By July 31, 2019, NYCHA will establish a system to provide residents of buildings affected by a planned outage 24-hours advance notice, and to provide residents of buildings affected by an unplanned outage notice within two hours of NYCHA learning of the outage. Such notice will include instructions regarding what assistance NYCHA has available for individuals with mobility impairments during the outage. Notice will occur by robocall and via postings within the affected building and on NYCHA's website.

Progress: As of April 2019, NYCHA has enhanced its communications with residents regarding elevator outages. Residents of buildings affected by a planned outage are now given notice of the outage 24 hours in advance, and residents of buildings affected by an unplanned outage are notified within two hours of the time NYCHA learns of the outage.

Goal: Other Obligations to Improve Elevator Service

Objective: In addition to meeting the requirements above, and except where otherwise provided in an approved Action Plan, NYCHA will perform the following tasks:

- a) NYCHA will adopt a new seven-day, extended schedule for Caretakers to enable more frequent cleaning of elevator door tracks at the start of each shift.

Progress: The Alternative Work Schedule (AWS) for the Caretakers launched April 1, 2019, at 13 consolidated developments. Phase 2 launched on June 30, 2019 at 39 consolidations. AWS will be implemented at all developments by February 2020.

- b) NYCHA will replace or address at least 425 elevators by 2024:
 1. 275 elevators will be replaced by December 31, 2024, through NYCHA's capital plan.
 2. NYCHA will transfer 150 additional elevators to third-party management through the PACT Section 8 conversion program by December 31, 2024. The developer selected through PACT will replace elevators as needed in buildings under its purview.

Pests

Goal: Pest Population Reduction

Objective: By January 31, 2022, NYCHA will achieve a 50% reduction of its rat population across its portfolio, a 40% reduction in its mice population across its portfolio, and a 40% reduction in its roach

population across its portfolio. By that time, NYCHA will also achieve a percentage reduction in its bedbug population across its portfolio, to be determined by the Monitor.

Progress: NYCHA has begun to use an integrated pest management approach to reduce pests, which is a holistic look at pest management that focuses less on pesticides and more on excluding bugs and rodents from spaces. To that end, Health Department inspections have seen a 42 percent decline in rat burrows from the baseline measurement taken in summer/fall 2017 at the 57 developments that are part of the City’s Neighborhood Rat Reduction program.

Objective: By January 31, 2024, NYCHA will achieve a further 50% reduction in each of its pest populations across its portfolio.

Goal: Improved Response to Resident Complaints

Objective: By January 31, 2021, NYCHA will:

- a) Respond to 75% of all rat complaints within two business days, and to all rat complaints within five days;
- b) Respond to 75% of all other pest complaints within seven days, and to all other pest complaints within 10 days;
- c) Apply effective pest control methods (in compliance with applicable law, including the Federal Insecticide, Fungicide, and Rodenticide Act, 7 U.S.C. § 136 *et seq.*), to address any verified complaints within seven days; and
- d) Provide expedited response and application of pest control methods in cases where NYCHA is aware that a resident of the unit has asthma or another condition generally recognized as being caused or exacerbated by exposure to pest infestations (for example, other respiratory illness, immune deficiency/suppression, and/or effects of certain medical treatments). In an Action Plan, NYCHA and the Monitor will establish a procedure for informing residents of a process through which residents may notify NYCHA if anyone residing in a unit has such a health condition.

Objective: By January 31, 2024, NYCHA will:

- a) Respond to 90% of all rat complaints within two business days, and to all rat complaints within five days;
- b) Respond to 90% of all other pest complaints within seven days, and to all other pest complaints within 10 days.

Goal: Targeted Relief for Infestations

Objective: By July 31, 2019, NYCHA will, for any unit that has more than one pest infestation complaint verified by NYCHA staff within 12 months, (a) cause a professional using integrated pest management (IPM) techniques to evaluate the unit and its immediately adjacent units and common areas within 30 days to identify any circumstances specific to that unit that may have contributed to such recurrence (including, but not limited to, unaddressed leaks, proximately located trash, or holes in walls), and (b) address, consistent with IPM principles, any such circumstances within the following 30 days.

Goal: Implementation of IPM Practices

Objective: By January 31, 2020, NYCHA will incorporate industry-standard IPM practices, including Northeastern IPM Center (NortheastIPM.org and StopPests.org), Integrated Pest Management – A

Guide for Affordable Housing, using the current edition at the time of the pest complaint, as developed under an interagency agreement between HUD and the U.S. Department of Agriculture for their Delivery of IPM Training to PHAs project; and current editions of other professional IPM resources as the Monitor may approve, into building operations in all NYCHA properties.

Objective: By January 31, 2020, NYCHA will send staff appropriately trained on IPM to respond to any pest complaint.

Progress: NYCHA trained 189 staff members (all extermination staff, selected maintenance staff and supervisory staff) in IPM on September 16, 17, 23, and 24, 2019. There was also a 3-day DOHMH training about rat reduction on September 17, 18 and 19, 2019 for 30 NYCHA exterminators and staff managing the rat reduction program.

Goal: Daily Inspections and Trash Collection

Objective: By July 31, 2019, NYCHA will, no less than once every 24 hours, inspect the grounds and common areas of each building for cleaning and maintenance needs, including pests and trash, and correct such conditions. In particular, NYCHA will ensure that trash on the grounds or common areas of each NYCHA building is collected and either removed from the premises or stored in a manner that prevents access by pests at least once every 24 hours.

Progress: NYCHA will work to ensure that grounds and common areas are inspected for cleaning and maintenance issues at least once every 24 hours. In addition, a process was developed to allow staff to document these inspections via electronic reporting effective July 31, 2019.

Goal: Other Pest Obligations

Objective: In addition to meeting the above, and except where otherwise provided in an approved Action Plan, NYCHA will perform the following tasks:

- a) NYCHA will install 8,000 door sweeps on basement doors with gaps by March 31, 2020.
- b) NYCHA will install 50 rat slabs by December 31, 2020.
- c) NYCHA will dedicate 20 full-time exterminator staff to conduct ongoing, comprehensive, preventative maintenance treatments in public spaces for developments within the Rat Mitigation Zone.
- d) NYCHA will install exterior bulk crushers or retrofit exterior compactors with auger bulk crushers at 10 developments by December 31, 2022.

Progress: NYCHA has hired 11 of the 20 exterminators. 65% of the 50 rat slabs will be installed by the end of 2019, and the remaining 35% will be installed in 2020. NYCHA established a door sweep team and has installed 1,322 door sweeps as of October 7, 2019.

Annual Inspections

Goal: Conduct Annual Inspections

Objective: NYCHA will conduct annual inspections of developments. To complete its annual inspections, NYCHA will either: (a) inspect each occupied unit each year; or (b) inspect its units pursuant to such other program of annual inspection that is consistent with I-HUD Public Housing Management E-Newsletter, Vol. 3, Issue 1 (January 2012).

Objective: By May 1, 2019, and thereafter, annual inspections will include having the person conducting the inspection perform any minor repairs during the inspection.

Objective: By June 28, 2019, NYCHA will submit an Action Plan to the Monitor for complying with the requirement to conduct annual inspections and perform minor repairs during such inspections. The Action Plan will include procedures for (i) on-site completion of minor repairs during inspections, and (ii) the scheduling of other inspection-identified maintenance deficiencies for subsequent repair.

Organizational and Operational Initiatives

Goal: Organizational Changes and Improvements

Objective: Establish three new departments to improve compliance, accountability, and environmental health and safety:

- a) Compliance Department
- b) Environmental Health & Safety
- c) Quality Assurance

Progress: NYCHA appointed an acting Chief Compliance Officer, an acting Environmental Health and Safety Officer, and an Acting Quality Assurance Officer in April 2019. The acting leadership has established timeframes to develop procedures, hire personnel, and set priorities to carry out the responsibilities required by the Agreement.

Objective: The Compliance Department will develop a framework to ensure that all workers will have the necessary certifications to perform their duties.

Progress: As of October 9, 2019, 3,036 (93%) of NYCHA employees took the Renovation, Repair and Painting (RRP) classroom training and 1,826 (56%) took the RRP onsite training.

Section B: NYCHA 2.0 Real Estate Development Activities

Goal: PACT to Preserve

Objective: Establish a 62,000-unit program that will address roughly \$12.8 billion of capital needs over 10 years using HUD Section 8 conversion programs, including RAD. This accelerates the original 20,000-unit NextGeneration NYCHA goal by four years (completing 20,000 units by 2022 instead of 2026) and expands the total number of units to 62,000.

Progress: About \$236 million in renovations have already been completed at the 1,395 apartments at Ocean Bay (Bayside) in the Rockaways, and approximately 14,000 additional units are in the process of pre-development or are under construction for comprehensive capital repairs. That includes:

- Over \$270 million in major upgrades – from new kitchens and bathrooms, to new piping, facades, elevators, lobbies, and landscaping – is in progress at 2,500 apartments in the Bronx, home to more than 6,000 New Yorkers.
- Over \$210 million in major upgrades to begin the summer of 2019 at 1,315 apartments in Brooklyn, home to more than 2,700 New Yorkers.
- PACT conversion of developments totaling 2,625 apartments in Brooklyn is expected to be completed by the end of 2019, and in Manhattan, developments totaling 1,718 apartments in expected to be completed in 2020.
- RFEIs for an additional 5,908 apartments were released in 2019 with PACT conversion planned for 2020 or 2021.

Goal: Build to Preserve

Objective: Accelerate new construction program to develop more buildings on NYCHA sites to generate significant revenue for NYCHA to complete comprehensive renovations at adjacent developments.

Progress: NYCHA selected developers for two “Build to Preserve” sites: Holmes Towers and Wyckoff Gardens.

Goal: Transfer to Preserve

Objective: Generate \$1 billion for capital repairs through the transfer of unused development rights (“air rights”) to adjacent, privately owned sites.

Progress: NYCHA intends to complete the first air rights transfer by the end of 2019.

Section C: HireNYCHA**Goal: HireNYCHA**

Objective: Connect NYCHA-specific workforce efforts to the broader NYC workforce system.

- a) Use the model built for Sandy recovery efforts and the Workforce1 system.

Objective: Train an additional 250 NYCHA residents per year, a 70% increase over current efforts at the NYCHA Resident Training Academy (NRTA).

- a) Hire new recruitment and placement staff at the NRTA.

Objective: Deliver new prep programs for job-readiness tests and long-term adult education for 100 residents per year.

Objective: Create a new Section 3 JobStat tracking program to catalog real-time data on Section 3 hiring.

Progress: NYCHA’s Section 3 hiring report regarding closed contracts ending between January 1, 2016 and December 31, 2018 is available here: <https://www1.nyc.gov/site/nycha/about/reports.page>. NYCHA will be updating the report on a bi-annual basis for increased transparency.

Objective: Partner with the NYC Department of Small Business Services.

Progress: NYCHA has a long-standing partnership with NYC Small Business Services (SBS). NYCHA and SBS have partnered together on large scale recruitment events, such as launch hiring at the Barclay’s Center stadium, which yielded many NYCHA resident placements. NYCHA and SBS routinely work together to host the SBS RV van on NYCHA campuses and other local job recruitment events at targeted developments. In 2015, NYCHA, SBS and other partners launched the NYCHA Food Business Pathways program – a 10-week business development program customized for NYCHA residents and Section 8 voucher holders who want to start or grow their own food businesses. As of May 2019, Food Business Pathways has graduated 271 residents and registered 189 businesses. In 2016, NYCHA and SBS launched Childcare Business Pathways – for NYCHA residents who are interested in operating a licensed homebased childcare business from their NYCHA apartment. As of May 2019, Childcare Business Pathways has graduated 70 residents resulting in 29 licensed business across 4 cohorts. Cohorts 5 and 6 will graduate in June 2019.

Additionally, NYCHA and SBS have partnered to recruit residents into primer training programs offered by SBS's Industry Partnerships and in 2016 launched a 70-hour academic preparation program to support NYCHA residents who have graduated pre-apprenticeship programs but need further instruction to prepare for the competitive International Brotherhood of Electrical Workers (IBEW) Local 3 aptitude exam. As of May 2019, there have been 5 cohorts, one of which one was funded by a NYCHA contractor, resulting in 30 NYCHA residents passing the Local 3 exam. As of April 2019, 24 of the 30 residents are currently employed as Electrician Apprentices while also attend evening college classes to earn an Associate's Degree.

In FY2020, NYCHA and SBS will launch a specialized Food Business Pathways track for residents in the catering business.

Goal: NYCHA-Stat

Objective: Continue holding NYCHA-Stat meetings, a centralized review of key performance indicators and development/department-level management.

Progress: NYCHA is continuing to hold NYCHA-Stat meetings every month.

Goal: Investing in Our Workforce

Objective: Launch new training programs for mid-level managers.

Section D: Improving Services and Maintaining a State of Good Repair

Goal: NYCHA Cares

Objective: Create dedicated teams representing all categories of the skilled trades, through both NYCHA staff and third-party vendors, to address backlogged work orders.

- a) By 2021, reduce the work order backlog by 75,000.
- b) Teams of workers will be deployed to address multiple work orders in a single unit or development at the same time (and not one work order at a time).

Goal: Weekend Maintenance Work Order Blitzes

Objective: Reduce the backlog of maintenance work orders through dedicated scheduling of Saturday maintenance work order "blitzes."

Progress: The Blitz program began on December 8, 2018 and has utilized maintenance workers and skilled trades to address maintenance work orders.

Section E: Additional Goals

Goal: Ensure Equal Opportunity in Housing for All Americans

Progress: NYCHA reaffirms its commitment to affirmatively further fair housing through its sustained relationships with residents, applicants, advocates, and organizations that assist people with disabilities and promote fair housing. NYCHA's Department of Equal Opportunity (DEO), Services for People with Disabilities Unit (SPD), assists applicants and residents with disabilities in obtaining decent, affordable, and accessible housing in NYCHA developments. SPD serves as a liaison between the disabled community and NYCHA. In 2018, SPD responded to, or assisted with, 300 reasonable accommodation matters from residents, applicants, Section 8 voucher holders, and/or their respective advocates. In 2018, SPD handled approximately 1,054 matters involving a range of services, including assistance with documentation, transfer requests, modifications of priority status, and reasonable

accommodation requests for remediation of mold conditions in connection with asthma. There were 395 visits to SPD, and SPD provided information to a variety of organizations, including St. Mary's Hospital, United Cerebral Palsy, the New York City Mayor's Office for People with Disabilities, and many others. Applicants, residents, and others in need of assistance with disability issues may call SPD's hotline at (212) 306-4652 or TTY at (212) 306-4845.

NYCHA affirmatively furthers fair housing by providing equal housing opportunities to residents, applicants, and Section 8 voucher holders. Residents, applicants, and Section 8 voucher holders may file housing discrimination complaints with NYCHA. They are investigated internally to determine if the individual has been the subject of unlawful discrimination and whether corrective or conciliatory action is necessary. In addition, applicants who have been found ineligible for public housing and assert the denial was based on their disability can have their cases reviewed by SPD.

The DEO conducts internal investigations of complaints of fair housing discrimination by public housing residents and applicants for public housing. In 2018, DEO reviewed 17 fair housing matters and closed 15 fair housing investigations. There were no findings of housing discrimination that resulted in corrective action. In 2018, the SPD conducted zero disability-related right reviews of applications in which disabled applicants challenged their ineligibility for housing and asserted disability discrimination.

The NYCHA Fair Housing Non-Discrimination Policy Statement is available on NYCHA's website at <https://www1.nyc.gov/site/nycha/about/policies-procedures.page> and in audio format at 212-306-4600. DEO provides annual updates to NYCHA's non-discrimination policies, including the NYCHA Fair Housing Policy; Reasonable Accommodation Policy for Tenants, Housing Applicants and Section 8 Voucher Holders; Equal Employment Non-Discrimination Policy; and Sexual Harassment Prevention Policy. These NYCHA policies were last revised in January 2019 and include the provision of reasonable accommodations for applicable protected classifications, including disability and victims of domestic violence, under relevant federal, state, and local laws.

NYCHA's policy is to take reasonable steps to ensure Limited English Proficient (LEP) persons may effectively participate in, and benefit from, NYCHA programs and services. The policy is in accordance with the U.S. Department of Housing and Urban Development notice entitled "Final Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient ('LEP') Persons." This final notice was published in the Federal Register at 72 FR 2732 (January 22, 2007).

NYCHA's Language Services Unit (LSU) provides interpretative and translation services to NYCHA departments to enable them to communicate effectively with residents, applicants, and Section 8 participants who have been identified as persons with LEP. NYCHA's Language Assistance Policy takes reasonable steps to ensure that LEP persons have meaningful access to NYCHA programs and services. In support of this policy, LSU regularly assesses NYCHA's language assistance needs and monitors NYCHA's language delivery assistance services in conjunction with its programs and services. LSU also makes recommendations to the Executive Department for modifications to NYCHA's delivery of language assistance services to persons with LEP.

The LSU consists of two interpreters for each of the following languages: Spanish, Chinese, and Russian. The LSU also manages the Language Bank, which has approximately 140 volunteers who speak 34 languages.

Key documents are translated and posted on NYCHA's website in Spanish, Russian, Chinese Simplified, and Chinese Traditional, the languages NYCHA most frequently encounters.

In 2018, NYCHA implemented a new Language Assistance Services Hotline to enable NYCHA Property Management staff to arrange for immediate, over-the-phone interpretation services from a third-party language vendor. This will improve customer service for LEP residents; reduce wait times for over-the-phone interpretations; improve tracking and reporting of language services; and make the delivery of language assistance more efficient.

NYCHA’s website also has a translation feature on every page to assist LEP individuals.

“Where We Live NYC” is a collaborative, City-led process to promote fair housing, confront segregation, and take action to advance opportunity for all. Through this initiative, the City of New York and NYCHA are working with community leaders, residents, and government partners to analyze fair housing issues more thoughtfully and develop innovative goals and strategies to empower more residents to live in thriving neighborhoods. A draft report will be published in June 2019; a final report will be published in October 2019 that will include policy solutions and strategies to move us toward a more just and inclusive New York City.

Goal: Violence Against Women Act (VAWA)

Objective: Assist residents who are victims of domestic violence, dating violence, sexual assault, and stalking to obtain an expedited confidential transfer and to enhance their safety.

Progress: From January 1, 2019, through August 31, 2019, the following cases were approved for transfer:

VAWA Victim of Domestic Violence	706
VAWA Dating Violence	91
VAWA Sexual Assault (includes Child Sexual Victims)	24
VAWA Stalking	103
Intimidated Victim	345
Intimidated Witness	22
Victim of Traumatic Incident	6
Total:	1,297

2. SIGNIFICANT AMENDMENT AND SUBSTANTIAL DEVIATION OR MODIFICATION OF THE AGENCY PLAN

Criteria for Significant Amendment or Modification of the Agency Plan and/or Capital Fund Program Five-Year Action Plan:

NYCHA will amend or modify its agency plan and/or Capital Fund Program Five-Year Action Plan upon the occurrence of any of the following events during the term of an approved plan(s):

6. A change in federal law takes effect and, in the opinion of NYCHA, it creates substantial obligations or administrative burdens beyond the programs then under administration, excluding changes made necessary due to insufficient revenue, funding or appropriations, funding reallocations resulting from modifications made to the annual or five-year capital plan or due to the terms of a judicial decree.
7. Any proposed demolition, disposition, homeownership, Capital Fund financing, development or mixed-finance proposals.
8. Any Capital Fund project not already in the Five-Year Action Plan for an amount greater than \$500 million excluding projects arising out of federally declared major disasters.
9. Any other event that the Authority determines to be a significant amendment or modification of an approved annual plan and/or Capital Fund Program Five-Year Action Plan.
10. For purposes of any Rental Assistance Demonstration (“RAD”) project, a proposed conversion of public housing units to Project Based Rental Assistance or Project Based Voucher Assistance that has not been included in an Annual Plan shall be considered a substantial deviation.

3. OTHER INFORMATION

[24 CFR Part 903.7 9 (r)]

A. Resident Advisory Board Recommendations

1. Yes No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?
2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)
 - Attached at **Attachment N**
 - Provided below:
3. In what manner did the PHA address those comments? (select all that apply)
 - Considered comments but determined that no changes to the PHA Plan were necessary.
 - The PHA changed portions of the PHA Plan in response to commentsList changes below:
 - Other: (list below)

B. Description of Election process for Residents on the PHA Board

NYCHA’s resident Board members are not elected. As per N.Y. Public Housing Law § 402(3), the City’s Mayor appoints all seven Board members, including the three resident Board members.

C. Statement of Consistency with the Consolidated Plan

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary).

1. Consolidated Plan jurisdiction: (provide name here) *New York City*

2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)

The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.

The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.

The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.

Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)

The actions described within NYCHA's FY 2020 Annual PHA Plan and FY 2020-2024 Five-Year PHA Plan support and assist New York City's efforts in addressing seven (7) of the City's Priority Needs goals, as outlined in its Consolidated Plan Five –Year Strategic Plan (2015-2019).

- *Priority Need # 6 Public Housing*
- *Priority Need # 11 Non-Housing Community Development/Clearance*
- *Priority Need # 12 Non-Housing Community Development/Economic Development*
- *Priority Need # 23 Community Development Block Grant/Disaster Recovery*
- *Priority Need # 24 Affordable Housing for Low Income Seniors*
- *Priority Need # 28 Housing - New Construction*
- *Priority Need # 29 Housing - Rehabilitation of Existing Rental Units*

NYCHA's actions described in the FY 2020 Annual PHA Plan and FY 2020-2024 Five-Year PHA Plan also support the City's initiatives to remove regulatory barriers that impede the creation of affordable housing choices as describe in the 2014 Consolidated Plan One-Year Action Plan Addendum: Affirmatively Furthering Fair Housing (AFFH). The FY 2020 Annual Public Housing Agency Plan and FY 2020-2024 Five-Year PHA Plan also addresses "Impediments to Fair Housing and Actions to Remove Impediments" (pages AFFH 8 and 9) and "Actions to be Taken - Near-Term Actions to be Undertaken."

Other: (list below)

3. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: (describe below)

The City of New York's Consolidated Plan serves as the City's official application for the four U.S. Department of Housing and Urban Development ("HUD") Office of Community Planning and Development entitlement programs. The Consolidated Plan includes an Action Plan, which includes two elements: 1) the description of the use of federal, state, city, private and nonprofit funding for housing, homeless assistance and prevention, supportive housing services, and community development activities; and 2) the Supportive Housing Continuum of Care for Homeless and Other Special Needs Populations which describes the City's coordination of supportive housing services to the homeless and other special needs populations.

The Public Housing Agency Plan embodies, in many respects, the concepts of HUD's Consolidated Plan. The Plan provides a planning mechanism by which a housing authority can examine its long-term and short-term needs, specifically the needs of the families it serves, and design both long-term

strategies and short-term strategies for addressing those needs. Like the Consolidated Plan, the Agency Plan involves consultation with affected groups in the Plan's development.

D. Additional Information

Second Replacement Housing Factor ("RHF") Funding Groups

1) Second RHF Funding Group – First Increment RHF Plan

- NYCHA will accumulate five years of Second Funding Group, First Increment Replacement RHF grants totaling \$7,110,861 for use in up-coming mixed-finance development activities. Since annual awards are small, NYCHA accumulates these grants over several years to have sufficient funding to complete a transaction.
- NYCHA has obligated all of grant NY36R005501-08 (\$853,997), NY36R005501-09 (\$790,086), NY36R005501-10 (\$776,218) and NY36R005501-11 (\$395,955) for construction of public housing units in the Randolph South Mixed-Finance transaction.
- NYCHA has obligated all of grant NY36R005501-12 (\$1,538,254) and a portion of NY36R005501-13 (\$651,630) for Phase I of the Prospect Plaza HOPE VI Revitalization Project.
- NYCHA has obligated a portion of the NY36R005501-13 (\$628,726) and all of grant NY36R005501-14 (\$1,475,995) for Phase II of the Prospect Plaza HOPE VI Revitalization Project.
- NYCHA has transferred the entire NY36R005501-16 (\$692,021) grant for RAD rent boost.
- At this time, NYCHA is evaluating plans for the NY36R005501-15 (\$987,856) grant.

2) Second RHF Funding Group – Second Increment RHF Plan

- NYCHA will accumulate five years of Second Funding Group, Second Increment RHF grants totaling \$2,578,340 for use in up-coming mixed-finance development activities.
- NYCHA will obligate all of grant NY36R005502-10 (\$258,796), NY36R005502-11 (\$333,158), NY36R005502-12 (\$496,383), NY36R005502-13 (\$646,103) and NY36R005502-14 (\$743,900) for construction of public housing units in Phase II of the Prospect Plaza HOPE VI Revitalization Project.
- At this time, NYCHA is evaluating plans for the NY36R005502-15 (\$759,649) grant, the and the NY36R005502-17 (\$234,795) and the remaining portion of the NY36R005502-16 grant (\$131,670).

ATTACHMENT G

Admissions Policy for Deconcentration

HUD regulations (24 CFR Part 903) require a discussion of HUD's Deconcentration Requirement in NYCHA's FY 2020 Annual Plan. It was determined from the following Deconcentration Analysis that NYCHA does not need to develop an additional Deconcentration Plan for its Fiscal Year 2020 Annual Plan to comply with HUD's requirement.

Although 17 of NYCHA's qualifying 129 consolidated developments fall outside of an Established Income Range ("EIR"), NYCHA is exempt from developing an additional Deconcentration Plan to bring the 17 developments within the EIR primarily because all of NYCHA's developments are part of an explicit strategy to promote income mixing in each of its developments. This strategy is detailed in the Income Mixing Plan of NYCHA's Tenant Selection and Assignment Plan, and therefore, NYCHA already has a deconcentration plan built into its rental scheme.

Deconcentration Analysis

The Rule to Deconcentrate Poverty and Promote Integration in Public Housing applies to all Public Housing Authorities ("PHA") funded by HUD, but specifically excludes from its applications the following types of developments within a PHA:

- developments with fewer than 100 public housing units;
- developments that are designated for elderly and/or disabled persons only;
- developments that are part of a homeownership program; and
- developments that are operated in accordance with a HUD approved mixed-finance plan using HOPE VI or public housing funds.

The developments' characteristics and tenant income data are from the Tenant Data System database as of January 1, 2019. This database contains household-level data for every occupied unit within NYCHA developments.

Of the 170,740 occupied units¹⁸, there are 140,120 units within 129 consolidated developments¹⁹ that do not meet the exemption criteria and therefore, were used in this analysis.

Gross mean incomes from the excluded types of developments and units were not used in the calculation of the overall NYCHA mean. In total, 30,620 occupied units were excluded from the analysis. See the Appendix for a list of the individual excluded developments.

¹⁸ There are 170,740 public housing households as of January 1, 2019.

¹⁹ For the purposes of this analysis, there are 129 consolidated developments that have units that are not exempt from the application of the Deconcentration Rule. However, there may be units within these 129 consolidated developments that have been excluded.

As per Step 3 of the Final Rule, a development will be considered below the EIR if its mean gross household income²⁰ is less than 85% of the NYCHA mean; and a development will be considered above the EIR if its mean gross household income is above 115% of the NYCHA mean. The 2019 NYCHA mean gross household income is \$25,715, resulting in a lower EIR limit of \$21,858 and an upper EIR limit of \$29,572. In a recent amendment to the Deconcentration Rule, the definition of the EIR has changed to:

“include within the EIR those developments in which the average income level is at or below 30% of the area median income, and therefore ensure that such developments cannot be categorized as having average income ‘above’ the Established Income Range.”

30% of the 2018 HUD Area Median Income for the New York City HUD FMR Area (HMFA – includes the five boroughs and Putnam County) is \$21,090. However, this is less than 115% of the NYCHA mean gross household income, and therefore, NYCHA’s 2019 upper EIR limit remains at \$29,572.

Table I shows that out of the 129 consolidated NYCHA developments that are not exempt from the application of the Deconcentration Rule, there are 6 developments with 4,881 occupied units with gross mean household incomes below the EIR and 11 developments with 7,123 occupied units with gross mean household incomes above the EIR.

**TABLE I
Summary Table**

Development Category	LOWER INCOME DEVELOPMENTS MEAN INCOMES <\$21,858		HIGHER INCOME DEVELOPMENTS MEAN INCOMES >\$29,572		TOTAL	
	Developments	Occupied Dwelling Units	Developments	Occupied Dwelling Units	Developments	Occupied Dwelling Units
Non-exempt NYCHA Developments	6	4,881	11	7,123	129	140,120

**TABLE II
LOWER INCOME DEVELOPMENTS**

Table II lists the 6 consolidated developments with a mean gross household income of less than 85 percent (\$21,858) of the NYCHA mean of \$25,715.

Development Name	TDS #	Borough	Mean Gross Income	Occupied Dwelling Units
East River	009	Manhattan	\$21,200	1,128
Hammel	075	Queens	\$19,990	871
Mill Brook	084	Bronx	\$21,625	1,360
Pennsylvania-Wortman	194	Brooklyn	\$20,907	331
Sedgwick	045	Bronx	\$21,584	776
South Beach*	035	Staten Island	\$21,702	415
Total			\$21,181	4,881

²⁰ Mean gross household income is defined as total household income before deductions.

The table above only includes units within the consolidated developments that qualify for inclusion in the Deconcentration Analysis, i.e., it excludes units that are elderly-only, mixed-finance, FHA, Hope VI, or MHOP. *South Beach is enjoined from renting to working families and will therefore not be included in any outreach programs.

**TABLE III
HIGHER INCOME DEVELOPMENTS**

Table III lists the 11 consolidated developments with a mean gross household income greater than 115 percent (\$29,572) of the NYCHA mean of \$25,715.

Development Name	TDS #	Borough	Mean Gross Income	Occupied Dwelling Units
Armstrong I	210	Brooklyn	\$31,207	517
Astoria	026	Queens	\$29,690	1,098
Borinquen Plaza I	243	Brooklyn	\$30,703	784
Fulton	136	Manhattan	\$35,702	938
Garvey	252	Brooklyn	\$32,208	229
Lafayette	122	Brooklyn	\$30,873	875
Ocean Hill Apartments	162	Brooklyn	\$32,077	358
Park Rock Consolidated	351	Brooklyn	\$30,686	799
Stuyvesant Gardens I	221	Brooklyn	\$29,856	328
Union Avenue Consolidated	342	Bronx	\$29,783	538
Wilson	112	Manhattan	\$33,419	659
Total			\$31,520	7,123

The table above only includes units within the consolidated developments that qualify for inclusion in the Deconcentration Analysis, i.e., it excludes units that are elderly-only, mixed-finance, FHA, Hope VI, or MHOP.

Step 4 of the Deconcentration Requirement is an “option to provide reasons developments are outside of the Established Income Range.” In other words, it provides the opportunity to exclude entire developments or selected units from the application of the requirement to deconcentrate poverty and mix incomes if the income profile for these units or developments is consistent with furthering both the goals of deconcentration and the local goals and strategies contained in NYCHA’s Annual Plan. Developments and unit types that fall into this category are not limited to, but include those developments that:

- are subject to a consent decree agreement or a judicial decree covering the resident selection;
- are part of a PHA program/strategy that is specifically authorized by statute such as mixed income or mixed finance developments, a homeownership program, a strategy designed to promote income-mixing in public housing or one designed to raise the income of public housing residents;
- are designed via size, location or other configuration to promote income deconcentration;
or
- have income characteristics that can be explained by other circumstances.

All 17 NYCHA developments that have mean gross incomes outside of the EIR from the Deconcentration Requirement should be excluded, because all NYCHA developments are part of NYCHA's explicit strategy to promote income-mixing in each of its developments. That strategy is spelled out in NYCHA's Tenant Selection and Assignment Plan ("TSAP"). Under the TSAP, each development must adhere to income-mix requirements each year, renting no less than 40% of its vacancies to Very Low-Income Families (making 30% or less of area median income), but balancing that with the Working Family Preference, which gives priorities to higher-income and working families.²¹ This plan has been in place since 1998. Over time, it should produce a generally uniform and healthy income mix in all NYCHA developments. Since NYCHA already has this deconcentration plan built into its rental scheme, it need not do anything more to comply with the Deconcentration Requirement.

NYCHA has chosen, however, to be more aggressive in addressing the income mix at the Lower Income Developments. It has therefore targeted its Economic Integration Plan to those developments.

Step 5 of the Deconcentration Requirement outlines the policy for deconcentrating poverty and income mixing in developments where the developments' income profiles outside the EIR cannot be explained or justified. Step 5 also specifies that a PHA will be found in compliance with the Deconcentration Requirement if:

- all of the PHA's developments are within the Established Income Range;
- the PHA provides sufficient explanation in its Annual Plan to support the income mix of developments above or below the EIR as consistent with and furthering the goal of deconcentrating poverty, income mixing and the goals of the PHA's Annual and Five-Year Plans; or
- the agency's deconcentration policy provides specific strategies to promote deconcentration of poverty and income mixing at developments that are outside the EIR.

As explained above for Step 4, NYCHA can justify all the developments outside the EIR, because they are all part of the TSAP income-mix rental scheme. Even if this could not satisfy Step 4, however, NYCHA's TSAP rental scheme would satisfy Step 5, since it already constitutes a sufficient deconcentration plan explicitly designed to achieve a uniform and healthy income mix in each development. However, as noted above in Step 4, NYCHA has chosen to be more aggressive in addressing the income mix at the Lower Income Developments and has targeted its Economic Integration Plan to those developments. The Economic Integration Plan includes the following element:

- Applications Outreach to Tier III and Tier II applicants with incomes exceeding the "non-elderly average," informing them that they may be selected sooner for an eligibility interview if they are willing to accept one of the Working Family Priority Consolidations.

²¹ Federal law requires PHAs to rent no less than 40 percent of their vacancies to Very Low Income families, but it does not require them to apply this requirement to each development. NYCHA has chosen to apply the requirement to each development, with the explicit goal of producing a more uniform income mix. Likewise, NYCHA has designed its Working Family Preference to bring more working families into *each* development, to achieve a healthy and uniform income mix.

APPENDIX - Individual NYCHA Developments Exempt from Deconcentration Rule

Homeownership Developments

- FHA Homes

Developments with Fewer than 100 Units

- 104-14 Tapscott Street
- 1162-1176 Washington Avenue
- 131 Saint Nicholas Avenue
- 1471 Watson Avenue
- 154 West 84th Street (Dome Site)
- 335 East 111th Street
- Bedford-Stuyvesant Rehab
- Belmont-Sutter Area
- Boynton Avenue Rehab
- Bryant Avenue-East 174th Street
- Eagle Avenue-East 163rd Street
- East New York City Line
- Fenimore-Lefferts
- Frederick Samuel I, II & III (Former MHOPs)
- Grampion
- Harrison Avenue Rehab (Group A)
- Hoe Avenue-East 173rd Street
- Lenox Road-Rockaway Parkway
- Longfellow Avenue Rehab
- Lower East Side III
- Lower East Side Rehab (Group 5)
- Manhattanville Rehab (Group 2 & 3)
- Marcy Avenue-Greene Avenue (Sites A & B)
- Park Avenue-East 122nd, 123rd Streets
- PSS Grandparent Family Apartments
- Rehab Program (Wise Rehab)
- Rutland Towers
- Stanton Street
- Sterling Place Rehabs (St. Johns-Sterling)
- Teller Avenue-East 166th Street
- Washington Heights Rehab Phase III
- Washington Heights Rehab Phase IV (C & D)
- West Farms Square Conventional
- WSUR (Site A) 120 West 94th Street

Developments Designated for the Elderly Only

- Baruch Houses Addition
- Bethune Gardens
- Boston Road Plaza
- Bronx River Addition
- Brown
- Cassidy-Lafayette
- Chelsea Addition
- College Avenue-East 165th Street
- Conlon LIHFE Tower
- Corsi Houses
- Fort Washington Avenue Rehab
- Glebe Avenue-Westchester Avenue
- Haber
- International Tower
- Kingsborough Extension
- La Guardia Addition
- Leavitt Street-34th Avenue
- Marshall Plaza
- Meltzer Tower
- Middletown Plaza
- Morris Park Senior Citizens Home
- New Lane Area
- Palmetto Gardens
- Public School 139 (Conversion)
- Randall Avenue-Balcom Avenue
- Rehab Program (College Point)
- Reid Apartments
- Robbins Plaza
- Shelton House
- Stuyvesant Gardens II
- Thomas Apartments
- Twin Parks East (Site 9)
- Union Avenue-East 163rd Street
- UPACA (Site 5)
- UPACA (Site 6)
- Van Dyke II
- Vandalia Avenue
- West Brighton II
- West Tremont Avenue-Sedgwick Avenue Area
- White
- Woodson

Mixed-Finance Developments

- 344 East 28th Street
- Amsterdam Addition
- Bay View
- Boulevard
- Bushwick
- Castle Hill
- Chelsea
- Drew-Hamilton
- Independence
- Linden
- Manhattanville
- Marble Hill
- Marlboro
- Rutgers
- Saint Mary's Park
- Samuel (City)
- Stapleton
- Williams Plaza
- Wise Towers

ATTACHMENT H

Community Service Description of Implementation

NEW YORK CITY HOUSING AUTHORITY Community Service Policy Overview

According to requirements of Federal Law, all public housing residents who are not exempt must perform Community Service or Economic Self-Sufficiency activities for 8 hours each month as a condition of tenancy. This Community Service Policy Overview explains the exemptions and describes the Community Service requirement. During the Annual Review process the Authority will advise families of their Community Service status.

NYCHA will be increasing efforts to enforce this requirement and will be engaging with residents and resident leaders toward this end. NYCHA has developed strategies to provide additional assistance to help residents comply with this mandate including:

1. Trying to increase the opportunities available through resident association driven activities to fulfill this requirement;
2. Providing additional information to residents using letters, posters, and Journal articles as well as the NYCHA website (including NYCHA activities that can be used for Community Service and links to other websites where eligible activities that can be found); and
3. Making it easier to document service by working with resident associations to provide receipts for Community Service hours at suitable events/activities.
4. Updating the community service procedure; community service forms are now requested, reviewed, generated and digitally stored in NYCHA database system. This allows increased transparency and improved reporting metrics for NYCHA due to the ability to monitor the specific community service hours completed, owed as well as the different exemptions and credits for residents.
5. Reports have been created that allow NYCHA to monitor resident compliance with community service requirement
6. NYCHA residents now have the option of mailing completed community service forms and applicable supporting documents directly to NYCHA central imaging unit or submitting it to their property management office and staff will mail to the central imaging unit on their behalf.
7. Property management staff was trained on the updated community service procedure and community service forms, this will enable staff to inform and assist residents with the community service updates.
8. NYCHA will also complete systems enhancements that will allow NYCHA residents the ability to request and submit community service forms via NYCHA self-service portal. This will allow tenants the ability residents to submit and request community service forms at any time.

For those required to perform Community Service, successful documentation of the needed hours is a condition of tenancy and failure to perform this service can result in termination of tenancy.

I. EXEMPTIONS FROM COMMUNITY SERVICE

There are many exemptions which allow residents not to perform Community Service. An exemption will excuse the resident from the performance of Community Service during the tenant's one-year Lease term, unless the exemption is permanent. Some exemptions can be identified by NYCHA using information in the Annual Review or Resident file. Others may be granted only after

residents submit documentation. Forms and information are available from your RSA. When documentation is required for an exemption all forms must be filled-out and signed and returned to the development management office.

Exemptions NYCHA identifies - No Additional Documents Needed

1. **Age** - Below Age 18.
2. **Age** - Age 60 and older (permanent exemption).
3. **Employed** - An adult with no child below age 13 in the household and earning at least \$21,060 per year or working a minimum of 30 hours per week.
4. **Employed** - A single adult family with at least one child below age 13 in the household and earning at least \$14,040 per year or working a minimum of 20 hours per week.
5. **Employed** - A two adult family with at least one child below age 13 in the household: either or both adults must work and must earn at least \$24,570 per year, or either or both together must work a minimum of 35 hours per week, on the average.
6. **Disability Income** - Receiving Supplemental Security Income (“SSI”).
7. **Public Assistance** - All authorized family members living in the same apartment will be exempt from performing community service for one year if at least one family member receives welfare assistance or participates in a program that receives welfare monies and is in compliance with the rules of the program (*This exemption may require signed documentation*).

B. Other exemptions - granted only with supporting documentation

8. **Blind / Disabled** (Certification by a doctor is required).
9. **Receiving Social Security Disability** (“SSD”) Income.
10. **Primary caretaker for the blind or disabled.**
11. **Vocational educational training** (available only **one** time per resident).
12. **Job skills training** directly related to employment, including attendance in a trade school. (The resident might not be currently employed, but employment may be dependent on successful completion of job training).
13. **Education directly related to employment**, in the case of an individual who has not received a high school diploma or a certificate of high school equivalency, if employment is dependent on successful completion of job training.
14. **Satisfactory attendance at secondary school** or higher.
15. **Satisfactory attendance in a course of study** leading to a certificate of general equivalence, if the resident has not completed secondary school or received such a certificate.
16. **Work experience** (including work associated with the refurbishment of publicly assisted housing) if sufficient private sector employment is not available, e.g., Youthbuild.
17. **On-the-job** training.
18. **Childcare provider** to a NYCHA child resident age 5 or younger (including your own child), if the child's parent - also a NYCHA resident:
 - Is performing Community Service, OR
 - Is exempt by NYCHA from performing Community Service because the parent is employed;
 - Childcare provider to a child age 6 through 12 may qualify if the child does not attend school due to Home Schooling, Home Instruction or is exempted by a school from attending for that year.

II. COMMUNITY SERVICE CREDITS

The following are CREDITS that reduce or eliminate the number of community service hours that a resident must perform in one year. These credits apply to the following special circumstances or

activity. Note that the maximum number of hours that any resident must perform in one year is 96 hours (8 hours per month). One credit is equal to one hour of community service performed.

1. **Resident Association (“RA”) Officer:** A RA President, RA executive board members or Citywide Council of Presidents receive a credit of 8 hours of community service during any month in which they serve in office.
2. **Foster Parent:** A foster parent whose foster child(ren) lives in the same NYCHA apartment receives a credit of 8 hours of community service for every 30 days that the foster care relationship continues. Even if there is more than one foster child in the apartment, the credit remains at 8 hours per 30 days.
3. **Job Search and Job Readiness Assistance:** The resident is credited with **16** hours of community service (and not more than 16) for any job search activities during any lease year. This is **not** an Exemption although verified on the *Community Service Exemption Verification – Education Job Training* form.

Job readiness assistance includes any of the following criteria:

- Training in job-seeking skills;
 - Training in the preparation of resumes or job applications;
 - Training in interviewing skills;
 - Participating in a job club;
 - Other related activities that may assist an individual to secure employment;
 - Receipt of Unemployment Insurance Benefits qualifies as job search.
4. **Military Service:** Any resident performing military service who is either on Active Duty (in the: Army, Air Force, Navy, Marine Corps or Coast Guard) or in a Reserve Component (in the: Army National Guard, Air National Guard, Army Reserve, Air Force Reserve, Navy Reserve, Marine Corps Reserve or Coast Guard Reserve) receives a credit of 96 hours of Community Service.
 5. **Temporary illness:** A resident who is ill and unable to work shall receive a credit of 8 hours for every 30 days of illness.
 6. **Victims of Domestic Violence, Intimidated Victims, and Intimidated Witnesses (VDV/IV/IW):** A resident whose request to transfer to another development as a VDV/IV/IW has been approved, receives a credit of 8 hours of community service for every 30 days that the transfer request is pending, or until the resident moves out of the apartment.
 7. **Incarceration:** A resident shall be credited for 8 hours of community service for every 30 days during his/her incarceration. Upon release from jail, the resident is required to perform community service, unless otherwise exempt.

III. COMMUNITY SERVICE REQUIREMENT

Residents who are not exempt must perform Community Service or Economic Self Sufficiency activities at the rate of 8 hours per month. These hours may be performed flexibly. It is acceptable to perform less than 8 hours during any month if those hours are made up during another month. The resident **must**, however, be in compliance with the full number of hours at the annual review period, as reported on the Status Notice.

1. **Service Status Notice:** If the Service Status on the Status Notice for any household member is “Community Service Required”. The resident has to submit Community Service Performance Log or Community Service Requirement Exemption Request form within 30 days of the date of the Status Notice. If NYCHA does not receive Community Service Performance Log or Community Service Requirement Exemption Request within 60 days from the date the forms are sent. The resident will be mailed the Determination of Non-Compliance /Workout

Agreement. If the Determination of Non-Compliance /Workout Agreement is not received within 30 days from it being sent, NYCHA will initiate termination proceedings against the tenant.

2. **Performance of Community Service:** Residents may perform Community Service either at a facility located within a NYCHA development or a non-NYCHA facility. There are a wide range of providers that residents may choose from who offer many different types of Community Service eligible activities. A resident may, but does not have to, perform all Community Service activities with one provider. The resident may perform a variety of Community Service or Economic Self-Sufficiency activities.

NOTICE	NYCHA does not endorse any particular organization or assume any liability in connection with a resident's Community Service. Each resident is solely responsible for seeking an appropriate organization to fulfill this federal law requirement.
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Residents must provide verification of the services performed by submitting the *Community Service Performance Verification* form they can do this by submitting the completed forms to staff at their property management office to be mailed to NYCHA’s central imaging center or the resident can mail the forms directly to NYCHA’s central imaging center. Once the forms have been received by NYCHA central imaging center, the community service forms will be uploaded to the residents account for NYCHA staff to review and process. The resident can submit these forms at any time during the year. The resident must complete the owed hours by the date of their next annual recertification.

Definitions of Community Service and Economic Self-Sufficiency and examples of qualifying activities are:

<i>Community Service</i> is <u>defined</u> by the law as: the performance of voluntary work or duties that are a public benefit, and that serve to improve the quality of life, enhance resident self-sufficiency, or increase resident self-responsibility in the community. Community Service is not employment and may not include political activities.	
Examples of where to find Qualifying Community Service Activities	
Residents may volunteer to perform Community Service with NYCHA or any federal, state or municipal agency, or for any community or faith-based organization. Residents can visit their Property Management Office or access volunteer opportunities through the following: <ul style="list-style-type: none"> ▪ NYC Service – Located on the internet at www.nycservice.org ▪ By calling 3-1-1 the NYC Citizen Service Center ▪ The Volunteer Match database located on the internet at www.volunteermatch.org Residents can also perform service for groups not listed above. If there is any question about whether the service can be credited as Community Service, it is advised that residents ask their Property Management Office.	
Examples of NYCHA Community Service Activities	
Resident Watch <ul style="list-style-type: none"> ▪ Resident Green Committees (“RGC”) ▪ Attendance at Resident Association meetings ▪ Delegate/Alternate at RAB meetings 	<ul style="list-style-type: none"> ▪ Community Center/Senior Center volunteer ▪ Help at resident sponsored community clean-up days ▪ Attending meetings called by NYCHA

Examples of Non-NYCHA Community Service Activities

Volunteer for local government, community, or faith-based organizations that serve a public benefit

- Food Bank
- Hospital
- Nursing Home/Hospice
- Ambulance service
- Programs providing support to families with hospitalized members
- Parks Department
- Library
- Reading Program
- Parent Teacher Association (“PTA”) meetings

- School
- After School Programs
- Day Care Facility
- Habitat for Humanity
- Boys or Girls Club
- AmeriCorps
- Police Department
- Auxiliary Police
- Youth Mentoring
- Vista
- Court ordered Community Service

Economic Self-Sufficiency is defined by the law as: any program that is designed to encourage, assist, train or facilitate the economic independence of its participants and their families. An *Economic Self-Sufficiency* program can also provide work for its participants.

Examples of Qualifying Economic Self-Sufficiency Activities

- Any REES or RES program ¹
- Work placement
- Apprenticeship
- Any program necessary to prepare a participant for work (including substance abuse or mental health treatment programs)

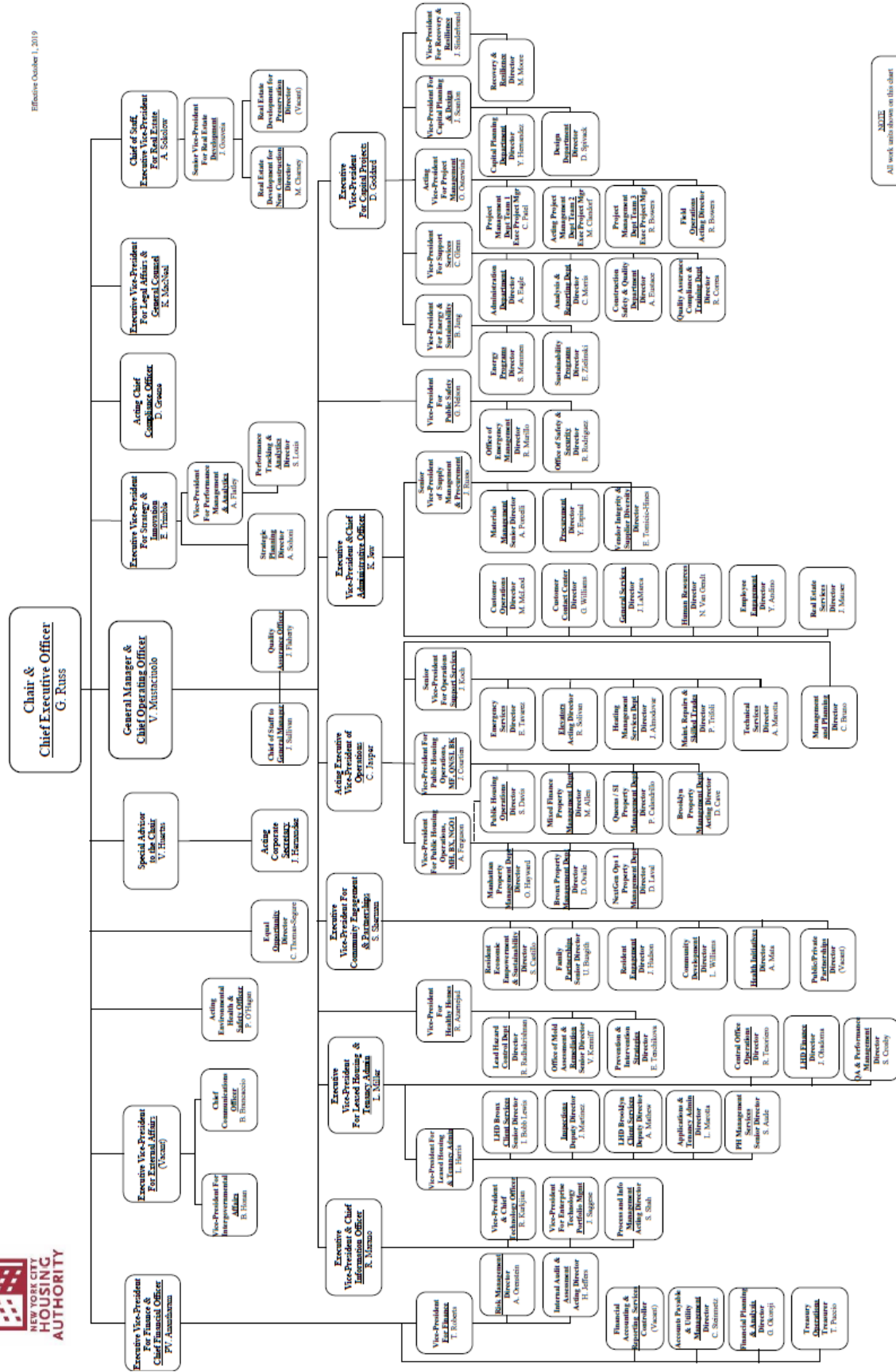
- Employment counseling
- Basic skills training
- English proficiency
- Workfare
- Financial management
- Household budgeting or management

¹ REES is NYCHA’s Resident Economic Empowerment and Sustainability



NEW YORK CITY HOUSING AUTHORITY ORGANIZATION CHART

Effective October 1, 2019



NOTE
All work units on this chart are Department units otherwise noted.

ATTACHMENT J
Assessment of Site-Based Waiting List
Development Demographic Changes

Stanton Street (NY005013590)

Stanton Street is a 13-unit public housing development located at 189-191 Stanton Street, in lower Manhattan. The development is designated to serve a special needs population involving persons with acute immunological disorders of a degenerative nature or other disabilities or medical conditions requiring a high level of physical and supportive service accommodations, including homeless persons. NYCHA administers a site-based waiting list for this development. As approved by HUD, the first priority for these apartments is given to applicant referrals from designated public and private social service agencies for Stanton Street who are homeless. The second priority is given to NYCHA residents who were originally referred by designated public and private social service agencies for Stanton Street.

Based on the data available on January 1, 2019, Stanton Street housed 13 families having the following racial/ethnic characteristics. There was no change in the race/ethnic characteristics from last year. There were 8 heads of households reporting having a disability.

<i>White</i>	<i>Black</i>	<i>Hispanic</i>	<i>Other</i>
0	5	8	0

ATTACHMENT K

SMOKE FREE HOUSING STATEMENT

The U.S. Department of Housing and Urban Development (HUD) required all public housing authorities to have a smoke-free policy in place by July 30, 2018. The HUD regulations are intended to improve indoor air quality, benefit the health of public housing residents and staff, reduce the risk of fires, and lower overall maintenance costs. Secondhand smoke increases the risk of asthma attacks, respiratory illness, stroke, heart disease, and lung cancer in nonsmoking adults and children. Children and seniors, nearly half of NYCHA residents, are often the most impacted by secondhand smoke. Eliminating smoking indoors and close to buildings is the best way to protect people from exposure to secondhand smoke.

NYCHA's smoke-free initiative, Smoke-Free NYCHA, is designed to create healthier homes for residents and healthier working environments for employees by reducing exposure to secondhand smoke and providing support to residents and employees who smoke and want to quit. The new policy took effect on July 30, 2018.

Our areas of focus for 2019 are to strengthen Smoke-Free NYCHA by establishing smoking cessation support partnerships, facilitating dialogue about policy goals, and promoting active and consistent enforcement.

NYCHA's Smoke-Free Policy

NYCHA prohibits the smoking of tobacco products inside public housing apartments; in all indoor common areas; and within twenty-five (25) feet of public housing buildings or to NYCHA's property boundary if less than twenty-five (25) feet from a NYCHA building. Smoking in these areas is a violation of the public housing lease. Prohibited tobacco products are any item that involves the ignition and burning of tobacco leaves, including cigarettes, cigars, pipes, and water pipes (hookahs).

In addition, using electronic cigarettes (also called e-cigarettes or e-cigs) in indoor common areas is prohibited under local law. Local law does not prohibit the use of electronic cigarettes outdoors or inside apartments.

It is the responsibility of residents to inform their guests and visitors of the smoke-free policy and to ensure guests and visitors do not violate the policy. Residents are accountable for their own violations of the policy, as well as violations of their guests and visitors. The policy is about the smoke, not the person who smokes. NYCHA shall not deny housing to an eligible family because a household member is a smoker.

Amending Leases

In accordance with HUD regulations, NYCHA amended its public housing lease to include smoke-free provisions, which are binding on all residents.

The smoke-free lease addendum states the following:

Your lease will be amended as follows: 12(dd): To assure that, in compliance with the Landlord's Smoke-Free Policy, the Tenant, any member of the household, a guest, or another person under the Tenant's control, shall not smoke prohibited tobacco products in restricted areas, as described in the Landlord's Smoke-Free Policy. Restricted areas include, but are not limited to, the Leased Premises, all interior areas of the Development or other developments of the Landlord, and areas within 25 feet of development buildings, or to the property boundary

where that boundary is less than 25 feet from the property line of a development building. Prohibited tobacco products include, but are not limited to, cigarettes, cigars, pipes, and hookahs (water pipes).

The Landlord's adoption of the requirements in this paragraph 12(dd) does not make the Landlord a guarantor of the Tenant's or any other resident's health or of the smoke-free condition of restricted areas. The Landlord specifically disclaims any implied or express warranties that the Landlord's public housing properties will have higher or improved air quality or will be free from secondhand smoke.

The Landlord will take reasonable steps to enforce the requirements of this paragraph 12(dd) utilizing a graduated enforcement policy, as provided in the Landlord's Smoke-Free Policy.

Graduated Enforcement

In consultation with residents, staff, and the New York City Department of Health and consistent with HUD guidance, NYCHA has formulated a graduated enforcement approach to address violations of the Smoke-Free Policy. Graduated enforcement means NYCHA will respond to violations with escalated warnings and specific, progressive enforcement remedies while also connecting residents to resources.

Violations will be documented. NYCHA staff observing violations will report them to the Property Management office. Residents may report violations by calling the Customer Contact Center or notifying the Property Management office and providing details of the violation. Property management staff will not be able to identify every violation of this policy. Failure to enforce any part of this policy does not negate NYCHA's right to enforce the lease and policy at any future time.

Property Management staff will begin an informal resolution process if one or more of the following occurs:

1. One documented observation by NYCHA employees who know or reasonably can determine the identity of the violator; of:
 - a. A household member, guest, or other visitor smoking in a restricted area; or
 - b. Evidence of use of a prohibited tobacco product in a restricted area. Some examples include: observing an ashtray containing used cigarettes or smelling tobacco smoke emanating from an apartment.
2. Three recorded resident complaints to Property Management staff and/or three calls to the Customer Contact Center regarding:
 - a. Observing a resident, guest, or other visitor smoking in a restricted area; or
 - b. Reporting the smell of tobacco smoke emanating from another resident's apartment.

After a staff member has observed a resident violating the policy, or in response to multiple resident-generated complaints that a resident has violated the policy, Property Management will conduct an informal conference with the resident to discuss the violation or violations. Property Management will provide materials to educate the resident on smoking, the health effects of secondhand smoke, strategies to take the smoking outside the buildings and the 25-foot perimeter, and available smoking cessation resources. During the meeting the lessee will agree in writing to comply with the smoke-free policy and will acknowledge that further violations can result in the commencement of termination of tenancy proceedings.

If the household attends the informal resolution meeting and complies with the smoke-free policy for one year or more from the date of the informal resolution meeting, but violates the smoke-free policy thereafter, staff starts the informal resolution process over again.

Property Management staff will commence termination of tenancy proceedings if one or more of the following occurs:

1. The household fails to appear at the informal resolution meeting and does not respond within fourteen (14) calendar days of the scheduled date; or
2. The household participates in the informal resolution meeting and a resident, guest or other visitor violates the smoke-free policy within one year of the date of the informal resolution meeting.

NYCHA will also promote employee adherence to the policy through staff training, employee communication, and other means.

Reasonable Accommodation

Use of a prohibited tobacco product in a restricted area is not a reasonable accommodation of a disability. A disabled resident who is mobility impaired and uses a prohibited tobacco product may request a transfer to a lower floor as a reasonable accommodation to enable him/her to access areas outside his/her building in which smoking is not prohibited.

Partnering with Residents, the NYC Health Department and Other Leaders

Since the release of the HUD Rule, NYCHA has engaged residents, staff, city agencies, experts in smoking cessation, and others in dialogue about smoking and health. Smoke-free housing policy is fundamentally about promoting healthy living and working environments, and NYCHA will continue to work collaboratively to develop strategies and resources to educate residents about the health risks of exposure to secondhand smoke and to connect residents to cessation services for those who want to quit.

In total, NYCHA engaged over 21,000 residents in Smoke-Free NYCHA meetings, educational events, webinars, and other outreach forums between 2017-2018. NYCHA will work to advance Smoke-Free NYCHA implementation in alignment with other agency initiatives to achieve safe, clean, and connected communities. In any residential context smoke-free policy is an important component to healthy and sustainable housing, particularly for children, seniors, and residents of all ages with vulnerable health conditions.

ATTACHMENT L
Resident Advisory Board Members
RAB DELEGATES/ALTERNATES 2019

	Delegate Name	Development	District	Delegate/ Alternate
1	Lozano, Lilithe	Parkside	Bronx North	Delegate/CCOP
2	Hawkins, Iona	Parkside	Bronx North	Delegate
3	Hall, Robert	Gun Hill	Bronx North	Delegate
4	Clayton, Marie	Gun Hill	Bronx North	Delegate
5	Butler, Harvey	Sackwern	Bronx North	Delegate
6	Daughtry, Maxine	Soundview	Bronx North	Delegate
7	Lauray, Barbara	Fort Independence	Bronx North	Delegate
8	Jamerson, Princella	Millbrook	Bronx South	Delegate
9	Peterson, Miguel	Teller Avenue	Bronx South	Delegate
10	Henry, Audrey	Findlay Avenue	Bronx South	Delegate
11	Walker, Daniel Barber	Jackson	Bronx South	Delegate/CCOP
12	Topping, Ronald	Adams	Bronx South	Delegate
13	Tull, Gloria	Claremont Parkway	Bronx South	Delegate
14	Primus, Gwendolyn	Webster/Morrisania	Bronx South	Delegate
15	Bowman, Reginald	Seth Low	Brooklyn East	Delegate/CCOP
16	Johnson, Naomi	Howard	Brooklyn East	Delegate
17	Clifton, Rose	Howard Ave Rehab	Brooklyn East	Delegate
18	Green, Desiree	Crown Heights Rehab	Brooklyn East	Delegate
19	Prince, John	Rutland Towers	Brooklyn East	Delegate
20	Marshall, Lillie	Red Hook West	Brooklyn South	Delegate/CCOP
21	Feliciano, Wanda	Unity Tower	Brooklyn South	Delegate
22	Godfrey, Vonnette	Penn Wortman	Brooklyn South	Delegate
23	Carter, Deborah	Gravesend	Brooklyn South	Delegate
24	Brown, Frances	Red Hook East	Brooklyn South	Delegate
25	Boyce, Sheryl	Bayview	Brooklyn South	Delegate
26	Keith, Leora	Tompkins	Brooklyn West	Delegate
27	Harrell, Cassandra	Bed Stuy Rehab	Brooklyn West	Delegate
28	Knox, Doretha	Berry Street South 9th	Brooklyn West	Delegate
29	Shipman, Lohoma	Bushwick	Brooklyn West	Delegate
30	Bradham, Vernona	Roosevelt	Brooklyn West	Delegate/CCOP
31	Velez, Ethel	Johnson	Manhattan North	Delegate/CCOP
32	Green, Nathaniel	Dyckman	Manhattan North	Delegate
33	Coaxum, Henry	Thurgood Marshall	Manhattan North	Delegate
34	McNear, Bernadette	Rangel	Manhattan North	Delegate
35	Javier, Abigail	Jefferson	Manhattan North	Delegate
36	Bergin, Rose	Isaacs	Manhattan South	Delegate
37	Gordon, Felicia	Hernandez	Manhattan South	Delegate

38	Quinones, Carmen	Douglass	Manhattan South	Delegate
39	Morris, Ann Cotton	Woodside	Queens	Delegate/CCOP
40	Anglero, Karen	Latimer Gardens	Queens	Delegate
41	Simpson, April	Queensbridge	Queens	Delegate
42	Coger, Claudia	Astoria	Queens	Delegate
43	Wilkins, Carol	Ravenswood	Queens	Delegate
44	Harris, Brenda	Cassidy/Lafayette	Staten Island	Delegate/CCOP
45	Parker, Geraldine	Stapleton	Staten Island	Delegate
46	Lewis-Clinton, Scherisce	South Beach	Staten Island	Delegate
47	Brown, Lorraine	334 East 92nd St.	Section 8	Delegate
48	Munroe, Carlton	75 Martense Street	Section 8	Delegate

ATTACHMENT M

Agendas of Meetings Held with NYCHA's Resident Advisory Board (RAB)

March 7, 2019 Agenda

- Current Five Year Goals FY 2015-2019
- Questions/Discussion
- RAB Internal Session
 - Form TPA Committee

April 18, 2019 Agenda

- Roll Call/Introductions
- NYCHA's Capital Planning Program – 15 minutes
- FY 2020 Capital Plan & 5-Year Action Plan – 15 minutes
- Comments and Questions – 60 minutes
- Internal RAB Discussions – 30 minutes

May 2, 2019 Agenda

- Roll Call/Introductions
- NYCHA 2.0 Overview
- PACT Updates and Annual Plan Additions
- 100% Affordable Updates and Annual Plan Additions
- Comments and Questions

September 19, 2019 Agenda

- Roll Call / Introductions
- Flat Rent Schedule – 10 minutes
- NYCHA's Capital Planning Program – 10 minutes
- FY 2020 Capital Plan & 5-Year Action Plan – 10 minutes
- NYCHA's Real Estate Activities – 15 minutes
- Comments and Questions – 45 minutes
- Internal RAB Discussions - 30 minutes

ATTACHMENT N
COMMENTS FROM RESIDENT ADVISORY BOARD MEMBERS

Capital Projects

- Please provide the names of Tenant Association leaders and/or authorized residents who participated in the inspection walk-through for the “major work” as listed for all of the developments listed on pages 18 through 42 of the Draft Significant Amendment to the FY19 Plan. Tenant Association leaders and/or approved members of its council should be present for the inspection walk through because they reside in these developments and should have first-hand knowledge regarding the issues. Please advise when the Tenant Association leaders will be part of this process.

Each of the projects listed on pages 18-42 of the Draft Significant Amendment to the Annual PHA Plan for Fiscal Year 2019 were prioritized based, in part, on NYCHA’s most recent Physical Needs Assessment (PNA). Therefore, the inspection walk-throughs at each affected development was conducted during the last PNA process. The complete 2017 PNA, including a summary by development, is available publicly on NYCHA’s website at <https://www1.nyc.gov/site/nycha/about/reports.page>.

Approximately every five years, NYCHA engages an independent team comprising technical experts in architecture and engineering to perform a physical needs assessment of the complete NYCHA portfolio of buildings. For the latest PNA, field inspections of the NYCHA properties were performed by teams of specialists totaling 140 inspectors over the 10-month period May 2016 – February 2017 covering all five boroughs. Inspectors surveyed all buildings, common areas, facilities and grounds at 325 developments, including a representative sampling of over 20,000 apartments, collected data on the physical conditions of NYCHA infrastructure, identified and quantified components in need of repair or replacement, and assigned a timeframe for addressing these components. The collected data were then evaluated through an intensive quality control/quality assurance process and costed using an expanded and updated Unit Cost Library. Given the size of the portfolio and multitude of physical needs, a systematic assessment is critical to allow NYCHA to make rigorous, data-centered decisions on major capital investments.

In addition to the inspection data collected by the third-party assessors, NYCHA’s Capital Planning group currently works very closely with property management operations staff to review needs including skilled trade work orders to prioritize investments given scarce funding resources. We recognize the desire to include resident voices in the development of this process, and as NYCHA begins to plan for the next PNA, we will consider opportunities to include Tenant Association leaders.

Currently, there are opportunities for residents to participate in the design process at the outset of projects to identify priorities and solutions. NYCHA’s “Design Guidelines for Rehabilitation of NYCHA’s Residential Buildings” outline how at project kick-off, designers present design proposals and help residents choose options that are consistent with NextGeneration NYCHA goals of creating safe, clean and connected communities. Please see this link for more information about NYCHA’s Design Guidelines: <http://www1.nyc.gov/assets/nycha/downloads/pdf/nycha-design-guidelines.pdf>.

- The RAB would like to know more about the consultants hired to conduct field inspections and the amount they were paid by NYCHA.

STV/AECOM are third party, outside consultants that conducted the field inspections for the Physical Needs Assessment (PNA). STV/AECOM are two subject matter experts in the construction field and were brought in as objective third parties. All inspections are thoroughly documented with photographs and extensive quality control. The full report that illustrates the Physical Needs Assessment methodology and findings is accessible here: <https://www1.nyc.gov/site/nycha/about/reports.page>

- The RAB would like to know who is consulted or interviewed during the process of completing the Physical Needs Assessment (PNA) inspections to determine what the needs are at various developments.

Questionnaires are developed based on specific trades, and small teams comprised of architects and engineers are sent out to interview NYCHA superintendents, property managers, and on-site staff. The inspection teams walk the development's campus to document any conditions they come across. Depending on the size of the campus, inspections take approximately 2 to 7 days to complete.

- The RAB recommends that tenant association presidents be interviewed during the process of completing the Physical Needs Assessment (PNA).

NYCHA will take this recommendation under advisement.

- The RAB would like to know why the Park Rock Rehab was not included in the Physical Needs Assessment (PNA).

The Physical Needs Assessment (PNA) is conducted every 5 years and includes all developments in NYCHA's portfolio, including Park Rock Rehab. The most recent PNA with information available by development is accessible here: https://www1.nyc.gov/assets/nycha/downloads/pdf/2017%20PNA_Development.pdf. Please see page 97 for specific information on Park Rock Rehab.

- The RAB would like NYCHA residents be on the RFP review panel for any new construction contracts or contracts given to third parties, such as the inspectors for the Physical Needs Assessment (PNA).

NYCHA will take this recommendation under advisement.

- The RAB would like to know if HUD's Federal Monitor is going to take over the Capital Planning Department.

The Capital Planning Department is working alongside the federal monitor's team to ensure the goals in the HUD agreement are met. As part of the HUD agreement, there are capital components that target replacing elevators, boilers, lead, mold, and pest management.

- The RAB would like a detailed, step-by-step description of the funding and allocation process for capital projects.

Before NYCHA receives funding from HUD, HUD must approve the way the funds will be allocated. NYCHA goes through the process of looking through all the developments and analyzing the PNA report. The Capital Projects Department ranks the various urgent issues, and then asks Operations for feedback. After receiving feedback from Operations, the Capital

Projects Department makes a final recommendation for items included in the Federal Capital Plan to the General Manager and Chair.

- The RAB would like to know why operational offices at South Beach Houses were renovated during a time when the Capital Planning Department has limited funding.

Capital funds cannot be used to renovate office spaces at NYCHA. The renovations to the South Beach Management Office were completed utilizing funding from Operations, not from the Capital Projects Department.

- The RAB would like to know why new bulk crushers and compactors have not been installed in Bushwick, even though the development received funding for them from elected officials three years ago.

The funding for Bushwick exterior compactors was received in July 2018. As of October 2019, this project is in the Design phase and is anticipated to start construction by the end of 2019.

- How long does it take for a building at Rutland Towers with a temporary, portable boiler to receive an installation for a permanent boiler?

There is currently a boiler replacement scheduled for 2022 at Rutland Towers. NYCHA is aware that this continues to be a serious challenge. Design, procurement, construction and final permitting inspections take 24 to 48 months.

- The RAB would like to know why funding allocations for the Bushwick development, which was originally for elevators, is now going to new appliances.

This is a Dormitory Authority of the State of New York (DASNY) project that was originally \$1 million for elevators at Bushwick Houses but DASNY has been repurposed the funding to refrigerators and gas ranges. DASNY had concerns that the funding level would cover only one elevator replacement and will not benefit all residents. The first round of deliveries started on June 3, 2019.

- The RAB would like to know if the infrastructure for underground fire water lines is being repaired or maintained by the FDNY, and if the FDNY receives funding from NYCHA to resolve issues related to the fire water lines.

The FDNY does not repair or maintain NYCHA's underground water lines. NYCHA does not pay the FDNY any capital funds.

- Since the Capital Planning Department does not allocate funding for appliances alone, the RAB would like to know which department is responsible for funding new appliances.

The Capital Planning Department allocates funds for gut rehabilitation projects, and supplying new appliances is a part of that process. Funding for new appliances when there is no gut rehab taking place comes from NYCHA's Operations Budget, the Dormitory Authority of the State of New York (DASNY), or a separate stream of state funding.

- Does the Dormitory Authority of the State of New York (DASNY) work separately from the Capital Planning Department?

DASNY is a state Authority separate from NYCHA. For the approximately \$100 million in funding that was appropriated in 2016 by the State to NYCHA, DASNY is completing the work for projects funded by that allotment. NYCHA's Capital Planning Department has provided DASNY with NYCHA site plans and referrals for architects for these projects, but DASNY is doing the design and installation work for these projects.

- The RAB would like improved communication between residents and the Capital Planning Department so residents can better understand how funds are allocated, and NYCHA can better understand the issues and concerns of residents. The RAB suggests that the Capital Planning Department provide an email blast to tenant leaders notifying them when funds are allocated for an item for informational purposes.

NYCHA will take this recommendation under advisement. Currently, NYCHA requires \$32 billion in funds to repair its infrastructure, but the agency is only receiving \$500 million from the federal government. NYCHA is aware there are competing, urgent needs that need to be addressed and is diligently working to maximize the impact of any capital repairs that are conducted.

NYCHA's 5-year Capital Plan is published annually on the NYC.gov website. The Capital Plan Calendar Years 2019-2023 is available here:

<https://www1.nyc.gov/assets/nycha/downloads/pdf/capital-plan-narrative-fy2019.pdf>

In addition, NYCHA updates an interactive map every quarter that provides information about capital projects at each NYCHA development. The interactive map is available here:

<http://nycha.maps.arcgis.com/apps/MapSeries/index.html?appid=a5ddb260de2469fb62bd0ea3d675e01>

- NYCHA needs to explain how lighting is prioritized compared to other needs during the Physical Needs Assessment.

Complete lighting replacement across a development is eligible for capital funds; however, these projects have a lower priority than roofs, building mechanical, electrical and plumbing systems and apartment rehab. Therefore, lighting replacement projects are usually funded by elected officials. NYCHA is in need of exterior lighting infrastructure replacements at multiple developments and works on upgrading lighting as funding is received for specified locations. Lighting repairs are not funded as capital items.

- NYCHA should communicate with property management staff and resident association leaders to find out more information about the physical needs of each building, rather than relying solely on reports from outside inspectors.

NYCHA will take this recommendation under advisement. NYCHA's 2017 Physical Needs Assessment was performed by a joint venture of STV and AECOM consultant teams totaling 140 architects and engineer inspectors over a 10-month period. The inspectors surveyed all buildings, common areas, facilities and grounds at 325 developments. The inspection began with an all-hands interview with the development manager, the maintenance foreman and sometimes other senior development staff as well. The interview posed a prescribed series of questions to the development manager and staff, many of which were intended to elicit information on current conditions, e.g., whether, say, any new boilers or windows were installed within the last five years, or whether any particular area of the grounds flooded in light rainfalls, signaling a clogged drainage system. NYCHA recognizes the desire to include

resident voices in the development of this process, and as NYCHA begins to plan for the next PNA, we will consider opportunities to include Resident Association leaders.

- The information learned during the Physical Needs Assessment (PNA) should be made more transparent, so that members of the board can utilize that information to assist in addressing problems at their development. At Gun Hill Houses, a resident leader worked a City Council Member to secure funding for constructing recreational parks at Gun Hill, and once the parks were built there were no nearby sewers to drain water from the park areas which causes flooding when it rains. NYCHA should also communicate information from the PNA to City Council Members so that they can use this information for capital projects.

NYCHA's Physical Needs Assessment (PNA) is available online here:

<https://www1.nyc.gov/site/nycha/about/reports.page>. NYCHA also provides a quarterly status report of all capital projects that receive capital funding from the New York City Council to all City Council Members.

- NYCHA makes decisions about developments without considering the needs of tenants or consulting with tenant leaders. NYCHA should consult tenant leaders further about issues relating to building repairs, such as lighting issues.

All capital projects are coordinated with the development's Property Management Office. Property Management is involved in the process from the planning process through sign-off. Many capital projects also require tenant sign off at milestones during and at completion of design and NYCHA's Resident Engagement Department works to coordinate the sign off process. Projects that require tenant sign off include projects that have been requested by tenants and are funded by the city. For other projects, such as roof and facade repairs, NYCHA's Capital Projects Department coordinates with the development's Property Management Office directly and Property Management staff keeps residents informed on these projects. Security projects, such as lighting and CCTV installations, are coordinated with the development's Property Management Office and NYCHA's Office of Safety and Security. For these projects, NYCHA's Capital Projects Department also relies on Property Management to liaise with the tenants and their representatives. The RAB requested a list of residents and tenant leaders who Capital Planning has consulted before beginning their work on specific projects.

Depending on the project type, NYCHA may reach out to resident leaders during the pre-design phase. For example, if the project is related to apartment interior work, the Capital Projects Design Department will reach out to stakeholders, which include Resident Association Presidents and their representatives, at the beginning phases of a project to determine goals and targets and to develop the project scope. The projects are then developed preliminarily to determine how to best design within the budget and reconcile that with the project's requirements. After the project scope has been developed and reconciled, the Design Department will share these findings with the stakeholders to get consensus. For other projects such as those related to roof replacement, NYCHA will not reach out to the Tenant Association.

- NYCHA needs to clarify the Federal Monitor's role in approving capital planning projects.

The Federal Monitor's role in approving NYCHA's capital planning projects is set out in the HUD Agreement. The HUD agreement is available to view here: <https://www.hud.gov/sites/dfiles/PA/documents/HUD-NYCHA-Agreement013119.pdf>.

- NYCHA should clarify who controls the quality of contractors NYCHA hires and ensures that contractors are doing a good job. Residents stated that contractors use poor quality materials when fixing bathrooms.

NYCHA Property Management staff are required to inspect contractor work to ensure the work complies with the scope outlined in the contract.

- In the past, NYCHA used to put a mesh before plastering walls and that was a barrier that prevented pests from entering apartments. NYCHA has stopped doing this.

NYCHA has not instructed staff to stop putting a mesh before plastering walls or removing the barrier that prevented pests from entering apartments. NYCHA is also in the process of adopting integrated pest management (IPM) techniques and as part of this process, NYCHA will be updating the procedures that will reiterate this protocol.

- Are contracts still awarded to the lowest bidders for NYCHA's capital projects?

HUD regulations and state law require that NYCHA award contracts to lowest responsible bidder. Our bidding process includes a review of the contractors' qualifications and prior experience with NYCHA or other agencies.

- Why does NYCHA's Capital Projects Department not address apartment interiors for NYCHA residents, even though NYCHA Management offices and other spaces used by staff have been renovated?

Capital Project Department does not allocate funds to renovate management offices. Because of the city investment in roofs and heating systems, NYCHA can now start to invest more heavily in apartments. In the current Capital Plan and in the plan for City funds under the HUD Agreement, we have allocated a higher percentage of capital funding towards apartment interior work, including several gut rehabs.

- The tiling in the bathrooms at Bedford-Stuyvesant Rehabs is extremely poor quality and even when contractors have made repairs, the tile is still falling apart. Who is charge of the oversight of the contractors, particularly for bathroom projects?

The development Superintendent is responsible for any individual or requirement contract work to ensure the contractors are performing up to standard and using the correct material that is listed in the contract. If the development Superintendent is noticing defects or problems in the workmanship and they need assistance to determine how these issues can be resolved, the development Superintendent contacts the NYCHA Skilled Trades Supervisor to conduct an inspection with them.

- Overall, the design of the apartments should be reviewed. Why is a stove placed near a radiator? There should be a vanity with storage in the bathrooms.

*Currently, there are opportunities for residents to participate in the design process at the outset of projects to identify priorities and solutions. NYCHA's "Design Guidelines for Rehabilitation of NYCHA's Residential Buildings" outline how at project kick-off, designers present design proposals and help residents choose options that are consistent with NextGeneration NYCHA goals of creating safe, clean and connected communities. Please see this link for more information about NYCHA's Design Guidelines:
<http://www1.nyc.gov/assets/nycha/downloads/pdf/nycha-design-guidelines.pdf>.*

- The roofs at South Beach Houses were under warranty for repair, but NYCHA used a different contractor and paid for the roofs rather than having them repaired under warranty. What was the reason for this?

The work performed at South Beach for Roof Replacement & Asbestos Abatement under Project 2852 at buildings numbers 1 through 8 was warranted by the manufacturer for twenty (20) years. Unfortunately, roof leaks were repaired by NYCHA without contacting the warrantor, and the warranty was voided. NYCHA's Capital Projects Department observed that the condition of all the existing roofing systems was poor. This was supported by the review of roof leak work orders that were issued from June 2009 through October 2013. Based on these observations and action, NYCHA's Capital Projects Department determined the need to replace the existing roofing systems and parapet walls at all eight buildings.

- NYCHA needs to follow-up with the contractor working on the camera upgrade at South Beach Houses and obtain a complete breakdown on how the money allocated was spent.

For the South Beach Houses CCTV Camera installations, there were a total of 49 new cameras installed: 28 interior cameras, 20 exterior cameras, 1 SOC camera, and the integration of 14 existing elevator cameras. NYCHA publicly bids the requirement contract through the NYCHA Procurement division, and then awards the contracts after NYCHA Board approval. NYCHA staff from the Office of Safety and Security, the development management office, and IT work closely with the Resident Association Leader and the NYPD on designing a security system based upon the funds available. The video management system utilized is GENETEC, which is the recommended system for use by the NYPD because it is the same system that they utilize and permits NYPD ready access to cameras.

For this project, the project sponsor is Councilman Steven Matteo and the project was originally funded in the amount of \$350,000. Councilman Matteo issued a repurpose letter on March 6, 2018 to add additional funds of \$150,000 from another project, bringing the total FY2018 budget for this project to \$500,000. During FY2019, an additional \$100,000 was allocated to this project, bringing the total budget up to \$600,000. The Construction Manager for this Project is STV Construction, Inc. under IDIQ Contract #1510755, Task Order #15. In February 2018, there were joint signoffs by NYCHA, the Office of Safety and Security, the Resident Association and NYCHA IT for the approved scope of work for this project. As of September 2019, the cameras have been installed and are currently operating. The contractor is working on the submission of required deliverables to close out the project.

- The roof at Red Hook West is under warranty, so why has a new contractor been brought in to design the roof?

A new contractor has been brought in because the parapet was being replaced, the material around the edges of the roof could not be salvaged or continued to be covered by the original

warranty. This is a comprehensive roof, parapet, and railing replacement utilizing the latest roofing insulation and waterproofing standards and comes with a 30-year warranty.

- How are residents and resident leaders involved during the RFP process for capital projects? Are resident and/or resident leaders consulted during the design of capital projects?

NYCHA's Capital Planning group currently works very closely with property management operations staff to review needs including skilled trade work orders to prioritize investments given scarce funding resources. NYCHA recognizes the desire to include resident voices in the development of this process, and as NYCHA begins to plan for the next PNA, we will consider opportunities to include Tenant Association leaders.

Currently, there are opportunities for residents to participate in the design process at the outset of projects to identify priorities and solutions. NYCHA's "Design Guidelines for Rehabilitation of NYCHA's Residential Buildings" outline how at project kick-off, designers present design proposals and help residents choose options that are consistent with NextGeneration NYCHA goals of creating safe, clean and connected communities. Please see this link for more information about NYCHA's Design Guidelines:

<http://www1.nyc.gov/assets/nycha/downloads/pdf/nycha-design-guidelines.pdf>.

Community Engagement and Partnerships

- HUD's 24 CFR 903.13(a)(2) "To ensure that RABs can be as effective as possible, the PHA must allocate "reasonable" resources to provide "reasonable" means for the RAB to become informed about programs covered by the PHA Plan, communicate with residents in writing and by telephone, hold meetings with residents, access to training conferences and the internet..." Is NYCHA going to comply with this CFR, which would include your Section 8 RAB members? If not, why not?

NYCHA is in compliance with 24 CFR 903.13(a)(2) which states the following: (2) The PHA shall allocate reasonable resources to assure the effective functioning of Resident Advisory Boards. Reasonable resources for the Resident Advisory Boards must provide reasonable means for them to become informed on programs covered by the PHA Plan, to communicate in writing and by telephone with assisted families and hold meetings with those families, and to access information regarding covered programs on the internet, taking into account the size and resources of the PHA.

At the beginning of each year, NYCHA consults with the Citywide Council of Presidents (CCOP), which is the jurisdiction-wide resident council, on the RAB meeting schedule and topics/agendas of the meetings. The RAB currently consists of 46 duly elected public housing resident leaders and two representatives from the Section 8 program. NYCHA prepares the materials for each RAB meeting and provides copies of the presentations as well as supporting documents for each RAB member. Copies of the material are also emailed to each RAB member. A stenographer is available at each meeting and meeting transcripts are also distributed each RAB member. RAB members are encouraged to provide comments and ask questions on the materials presented by the NYCHA staff. RAB members are also provided with transportation to and from NYCHA's central office for the RAB meetings as well as refreshments during the meeting and a stipend.

- Based on the above, would NYCHA set aside discretionary funds for Section 8 RAB participants with adequate resources to participate effectively in training conferences as do the Public Housing RAB members? If not, why not?

NYCHA will take this recommendation under advisement. The public housing operating fund formula provides each public housing agency (PHA) \$25 per occupied public housing unit for tenant participation activities. Currently, HUD does not have a similar program for the Section 8 program.

- Does NYCHA have a Section 3 Plan-Policy as required by HUD? This is not to be confused with the REES program. If not, why not? When will this written Plan be available on the website?

NYCHA's Section 3 Standard Procedure is currently being updated.

- Has NYCHA completed an internal audit of REES program and compared it to the Section 3 federal requirements to see if the program actually helps or hinders compliance?

NYCHA's Office of Resident Economic Empowerment and Sustainability connects residents to economic opportunity services. REES additionally supports NYCHA's Section 3 efforts by connecting residents to relevant training, including NYCHA's Resident Training Academy, and assisting contractors with sourcing qualified Section 3 candidates for local opportunities. REES does not oversee Section 3 compliance monitoring and enforcement.

- Does NYCHA have any Section 3 Resident Owned Businesses [24CFR963] as described on HUD's website? If so, please provide the number and names of the respective business by categories and how many are minority and women owned?

The NYCHA S3BC registry is posted on the NYCHA website and updated monthly. It currently lists over 200 vendors. Please visit on this link to see the registry:

<https://www1.nyc.gov/assets/nycha/downloads/pdf/Section3-Vendors-List-sept-2019.pdf>. NYCHA does not currently track whether S3BCs are minority and women owned.

- What specific steps has NYCHA taken to meet the contracting requirements of Section 3 that the Agency clearly cannot seem to meet?

NYCHA will continue to work with businesses to help identify qualified S3BCs, promote registration in the NYCHA S3BC registry, link S3BCs to programs, initiatives, increase their economic opportunities and contract awards.

Please note the recent steps NYCHA has taken to enhance our S3BC outreach and efforts:

- *Beginning in 2016 and continuing through 2018, S3BCs were invited to participate in NYCHA's annual M/WBE & S3BC procurement fairs held on April 19, 2016, May 4, 2017 and November 15, 2018 and May 2, 2019.*
- *S3BCs are invited to attend all NYC/NYS sponsored M/WBE events where NYCHA participates as exhibitor, to increase their networking and contracting opportunities*
 - *In 2017, NYCHA participated as exhibitor at 13 procurement fairs.*
 - *In 2018, NYCHA participated as exhibitor at 16 procurement fairs.*

- *As of August 7, 2019, NYCHA participated as exhibitor in 16 procurement fairs.*
 - *NYCHA participated in speaking Engagements/Presentations/Webinars for M/WBEs and Small Businesses to educate/promote S3BC qualifications/registration and opportunities:*
 - *In 2017, NYCHA presented at six events.*
 - *In 2018, NYCHA presented at six events.*
 - *As of August 7, 2019, NYCHA presented at five events.*
 - *S3BCs are referred to NYC Small Business Services for free programs and business assistance to help grow their capacity.*
 - *NYCHA has over 200 S3BC's registered on the NYCHA S3BC directory which is updated monthly:*
 - <http://www1.nyc.gov/site/nycha/business/section3-business-concern-information.page#findS3BC>
 - *NYCHA provides information regarding S3BC's at pre-bid conferences to encourage prime contractors to subcontract to eligible S3BCs.*
 - *NYCHA's Supply Management Procurement Department provides continuing education "procurement roadshows" to internal NYCHA Departments to inform them of S3BC registry and promote/encourage S3BCs for bid solicitations and micro-purchases.*
- *NYCHA is not Section 3 compliant. Under the new leadership, would NYCHA provide Section 3 training, from a third-party, to Executive and middle management staff? If not, why not?*

NYCHA provides training to staff on an ongoing basis utilizing in-house and external vendors, based on need and type of training required. NYCHA is not required to procure vendors for this training and any procurement would be subject to all applicable rules and regulations.

- *NYCHA should provide a list of developments who received funding under Section 3 for their businesses and a list of the number of residents at each development who were hired under Section 3.*

Section 3 applies to all projects that are fully or partially funded by HUD. Section 3 hiring data for 2016-2018 is available on NYCHA's website at the following link:

<https://www1.nyc.gov/assets/nycha/downloads/pdf/Section-3-Hiring-Data-for-closed-contracts-ending-btwn-Jan-2016-Jan-2019.pdf>

- *Resident leaders work to bring money to their developments, but they are not respected and are underappreciated for their efforts. Will that change in the future?*

NYCHA values the partnership with resident leaders as essential to building, strengthening and improving public housing. Strong partnerships are critical to improving the quality of life for public housing residents and the surrounding communities. NYCHA is committed to working closely with CCOP - the jurisdictional wide resident leadership body, the RAB, and development resident leaders to strengthen the partnership and ensure efforts are transparent.

- *South Beach Houses used to have a community center that is currently being leased to a daycare center named I Raise Boys and Girls, Inc. NYCHA needs to explain if I Raise Boys*

and Girls, Inc. pays any rent, and if the rent generated is being put back into South Beach Houses.

As of October 1, 2019, the lease is in the process of being finalized and provides for a market rental rate. The revenue from the rent goes into NYCHA's general revenue account(s).

- NYCHA should host two town halls per year that are intended for residents to voice their issues and have a dialogue with NYCHA representatives so that the public hearing can be used as intended which is to provide comments on the Annual Plan.

NYCHA will take this recommendation under advisement. NYCHA had stopped hosting town halls in each borough for the Annual Plan and Significant Amendments because these events were costly and not very well attended by residents. To reduce costs and increase the number of residents engaged, NYCHA continues to host a public hearing for each Annual Plan and Significant Amendment at an accessible location and livestreams the public hearing on the Internet for residents to watch remotely; residents may also submit comments via email (annualplancomments@nycha.nyc.gov). The purpose of the public hearing on the Annual Plan is to allow residents to voice concerns about NYCHA's policies and initiatives, as described in the Plan.

- NYCHA should increase the number of Section 8 representatives on the Resident Advisory Board. There are currently only 2 members.

NYCHA is open to increasing the number of Section 8 representatives on the RAB.

- How are RAB members selected to serve on the RAB? Are there term limits? If not, why not?

In accordance with federal regulations, the RAB is comprised of representatives from NYCHA's jurisdiction-wide resident associations (the Citywide Council of Presidents ("CCOP") and the District-wide Councils of Presidents ("DCOPs")) and representatives from NYCHA's tenant-based Section 8 program. The CCOP and DCOPs are comprised of the presidents of each local resident association, who are elected by the residents of their respective developments. NYCHA oversees the jurisdiction-wide and local resident councils as set forth in the federal regulations governing the resident councils. NYCHA's oversight includes, for example, monitoring the election process (24 C.F.R. 964.130(c)), providing appropriate guidance to residents to assist them in establishing and maintaining a resident council (24 C.F.R. 964.18(a)(2)), and reviewing and approving applications for tenant participation funds NYCHA receives from HUD, which NYCHA provides to officially recognized resident councils for eligible expenses (24 C.F.R. 150).

If a member of the RAB, CCOP, DCOP, or local resident council engages in fraud or any other corrupt act, any person may report the misconduct to NYCHA's Office of the Inspector General, who will investigate the complaint and provide a report and recommendations to NYCHA.

- Is the CCOP required to update its BYLAWS [latest revision is November of 2000]? If not, why not?

In accordance with federal regulations, resident councils may come together to form an organization which can represent the interest of residents residing in units under a housing authority jurisdiction. The decision to update bylaws rest with the organization (CCOP). NYCHA reviews bylaw amendments that are presented to NYCHA for certification and also reviews bylaws for newly formed resident councils. All of the existing bylaws were certified by NYCHA at the time of their creation.

- What efforts are being made to add and/or rotate new RAB members when some of the developments have not had recent elections and/or lack current bylaws? What is NYCHA's enforcement policy?

RAB appointments are currently made by CCOP. NYCHA is receptive to working with CCOP to develop a revised process to appoint RAB members that proportionately represents NYCHA's resident body.

Operation and Management

- Is NYCHA up to date with all lead based-paint abatement? If not, what is the deadline for completion and filing to HUD? Please list the developments, individually and by date that have been abated.

Please see page 202, in Attachment F – Statement of Progress in Meeting Mission and Goals FY 2020-2024 for information on the management of lead-based paint risk goals related to NYCHA's Monitoring Agreement with HUD.

Eligibility, Selection, and Admissions Policies

- The RAB wants to know the effects and/or consequences of including (or not including) a dependent on a tenant's lease.

All members living in the apartment must be reported to their management office. Not doing so makes them unauthorized and breaches the lease.

By HUD's definition, a dependent is a member of the family other than the head or spouse who is under 18 years of age, a person with a disability, or a full-time student 18 and older. This does not include foster children and adults. Dependents may affect the calculation of a household's gross income, which impacts the rent they are charged. Households receive a \$480 deduction from their total gross income for each dependent. For dependents that are full-time students ages 18 and older, up to \$480 in income is counted toward the household's total gross income. Employment income for dependents under 18 years of age is not counted in the household's total gross income. Social security disability, supplemental security income, contributions, and public assistance are counted for dependents in rent calculations.

NYCHA's apartment occupancy guidelines – the number of people that can live in an apartment of a particular size – are also considered when a household adds a dependent to the lease. If adding a dependent would cause overcrowding in the apartment based on NYCHA's occupancy standards, the household is required to request a transfer to a larger apartment. Property management cannot deny the request to add a dependent because it would create overcrowding.

- The RAB would like NYCHA to improve the income recertification process and focus on addressing privacy concerns and repairing the NYCHA kiosks.

NYCHA welcomes the RAB's feedback on the current recertification process as improving customer service is our highest priority.

The Office of the Inspector General has proposed changes in policies, procedures, and recommendations (PPRs) to better address privacy concerns for the residents. Many of these PPR's are already in place and communicated to staff, but a refresher is planned for improved confidentiality practices.

Management offices received a Kiosk training manual describing preventative maintenance and who to contact for repairs. Each development should have a Point of Contact (POC) designated to assist customers, correct paper jams, etc. Staff are directed to contact NYCHA's IT department for internet connectivity or power issues and any other issues should be reported directly to the kiosk vendor.

If a resident finds that a Kiosk is not working, the resident should alert the Housing Assistant and/or Property Manager that the kiosk is out of order. The Property Manager is directed to assist the resident with completing their Annual Recertification and to submit a request so that the Kiosk can be repaired.

Financial Resources

- The RAB wants to know how NYCHA plans to address rent increases caused by the HUD's regulatory requirement to increase the flat rent to 80% of the Fair Market Rent.

Implementation of flat rents is required by federal law. NYCHA produces annual Flat Rent schedules to establish maximum rents by apartment size as mandated by the U.S. Housing and Urban Development (HUD). NYCHA residents pay either 30% of their adjusted total gross household income towards rent or pay the flat rent amount, whichever is lower. If 30% of the family's adjusted total gross income is greater than the flat rent, the family's rent will be set at the flat rent amount. As of January 2019, less than 10,000 households (about 7% of the total households) are charged the flat rent. If you have questions about how your rent is calculated, please call your management office. Information on NYCHA's Flat Rents and the rent process overall can be found online at this link, <https://www1.nyc.gov/site/nycha/residents/pay-rent.page>.

- NYCHA needs to explain if income that comes from a pension or social security is counted toward total household income that is used when calculating a household's flat rent.

Yes, income from pensions and supplemental security income (SSI) are considered when calculating a household's total income.

Other Comments

- The RAB wants to know why NYCHA has not conducted more workshops related to the support and assistance residents who are victims of domestic violence can receive under the Violence Against Women Act (VAWA).

The Family Partnerships Department (FPD) works with the Mayor's Office to End Gender-Based Violence, Safe Horizon and other agencies to provide various trainings and workshops upon request. NYCHA also hosts an annual conference that provides resources for residents regarding domestic/gender-based violence. For the 2019 Domestic Violence Conference, FPD will work with these agencies to host workshops in October 2019 that would cover the extension of the Violence Against Women Act (VAWA), passed on 4/4/2019 for 5 years.

For questions regarding VAWA for NYCHA's Section 8 program, please call 212-306-4309 or contact your local property management office. For NYCHA's Public Housing emergency transfer program, please call 212-306-8833. For NYCHA's Public Housing applicants, please contact the Customer Contact Center at 718-707-7771. For help regarding an abusive relationship, you may call the National Domestic Violence Hotline at 1-800-799-7233. Persons with hearing impairments may call 1-800-787-3224. For help regarding a VAWA incident, you may also contact Safe Horizon's 24-hour hotlines which operate seven days a week, 365 days a year at 1-800-621-HOPE (4673). Persons with hearing impairments may call 1-866-604-5350. For help with stalking and support for other crimes, you may call Safe Horizon at 1-866-689-HELP (4357). For help regarding sexual assault, you may call Safe Horizon at 212-227-3000.

- The RAB would like to know what NYCHA is doing to ensure that Section 8 landlords will provide livable housing for their tenants.

In accordance with regulations established by the US Department of Housing and Urban Development, NYCHA enforces Housing Quality Standards (HQS) for Section 8 units. HQS establishes the minimum criteria each unit must meet before assistance can be paid on behalf of the family to the owner. NYCHA performs HQS apartment and public space rental inspections before a participant moves into a new unit, and regularly thereafter. Failure to correct HQS violations within the required timeframes will result in suspension of the subsidy payment to the owner. If the unit/building/house fails for a new rental or transfer HQS inspection, the tenant may choose to rent the apartment while the landlord makes the required repairs or search for another apartment.

Real Estate Development Activities

- The RAB wants to know what income levels will find the new NYCHA developments "affordable."

For PACT projects, most existing residents will pay no more than 30% of their adjusted gross income. Post-conversion, new residents being pulled in from the Section 8 vacancy list must be at 50% or below AMI.

For Build to Preserve mixed-income new construction projects, affordable units will align with the terms of the Mandatory Inclusionary Housing program. The terms are provided below and the Mandatory Inclusionary Housing program Fact Sheet is available here: <https://www1.nyc.gov/assets/hpd/downloads/pdf/developers/mih-fact-sheet.pdf>

	Options	Affordable Floor Area Required +5% when off-site	Weighted Average of Income Bands	Limitations
Option 1 or Option 2 will always be made available	Option 1	25% of residential floor area	60% Area Median Income (AMI) or lower	No more than 3 income bands 10% floor area at 40% AMI No income band above 130% AMI
	Option 2	30% of residential floor area	80% AMI or lower	No more than 3 income bands No income band above 130% AMI
Options 3 and/or Option 4 may be made available	Option 3	20% of residential floor area	40% AMI or lower	No more than 3 income bands No income band above 130% AMI No public funding without HPD approval
	Option 4	30% of residential floor area	115% AMI or lower	No more than 4 income bands 5% floor area at 70% AMI, 5% floor area at 90% AMI No income band above 135% AMI No public funding Not available in Manhattan south of 96th Street
Available when eligible	Affordable Housing Fund Option	-	-	Available for projects that do not exceed 25 dwelling units and 25,000 square feet Amount paid must be comparable to the cost of providing affordable floor area in the same Community District

- The RAB would like NYCHA to clarify the meaning of the phrase "obsolete housing," used in the Annual 5 Year Plan's goal to "Demolish or dispose of obsolete public housing”.

Obsolescence is a threshold, defined by HUD, that the necessary modifications and/or rehabilitation of the building or development is not cost effective. A third-party vendor assesses the condition of NYCHA’s buildings and developments and any buildings and developments that are identified as obsolete can go through the Section 18 process. In order to receive Tenant Protection Voucher Section 8 funding for all units within a building or development going through a Section 18 process, NYCHA must prove obsolescence in that building and/or development.

- The RAB suggests that the Annual 5-Year Plan goal to “Demolish or dispose of obsolete public housing,” should be rewritten without the words “demolish or dispose”.

For the FY20 Five-Year Plan, NYCHA has developed new goals and this is no longer included as a goal for NYCHA. NYCHA’s five-year goals for FY2020 – FY2024 are available in Attachment F beginning on page 177.

- Was the work that was completed by NYCHA at Randolph and Prospect Plaza considered “one for one”, or were fewer residents able to return once the new developments were completed?

The redevelopment of Randolph required substantial rehabilitation work including floor plan changes to meet building code requirements such as the addition of elevators to these walk-up buildings. One-for-one was not required and the number of public housing units was reduced. Randolph South had been vacated for a dozen years at the point of redevelopment. Former residents of Randolph South and Randolph North who still lived in their units were offered preference to move to Randolph South. Randolph South contains 147 public housing units and Randolph North contains none.

As for the Prospect Plaza Sites, Phase 1 had 109 units of which 38 were public housing, and all were Low Income Housing Tax Credit (LIHTC) housing plus one superintendent unit. Phase 2 Prospect Plaza had 148 units plus one superintendent unit, all LIHTC, with 42 also being public housing, and 20 are Project Based Vouchers. Phase 3 Prospect Plaza has 134 units plus one super unit. All of these units are LIHTC units and none are public housing.

- The RAB would like more information on when the sale of Howard Houses unutilized air rights will be finalized.

As of October 2019, NYCHA's Real Estate Development Department is working on the proposed sale of the air rights at Howard Houses which includes an environmental review. The sale will likely occur in 2020. All proceeds generated by the sale will be used to address capital repairs within Howard Houses.

- How many conversions have been completed under RAD, RAD PBV, RAD PBRA, 50/50, NextGen, Mixed Finance Modernization or Development, HOPE VI, PACT, and Section 18 programs? Please list separately with start dates, how many pre-meetings with Tenant Association Leaders, and Public Hearings—provide dates and location of each event? Please provide names of TA leaders and dates when NYCHA staff met with whom, and where? Did the Resident Leader sign-off for each converted site prior to submission to HUD? If so, please provide a copy of each sign-off sheet for converted developments? If not, why not?

NYCHA has successfully closed six transactions where public housing subsidy was converted to project-based subsidy. Below is a list of these developments and the meetings that were held with residents at each.

Ocean Bay (Bayside) (RAD)

<u>MTG #</u>	<u>MTG DATE</u>	<u>MEETING AGENDA</u>	<u>ATTENDANCE</u>	<u>FLYERS</u>
1	5/20/2015	Introduction to RAD/PACT	7 (R.A. Exec. Bd. only)	10
2	6/15/2015	Introduction to RAD/PACT	63	250
3	6/16/2015	Introduction to RAD/PACT	37	-
4	6/24/2015	Introduction to RAD/PACT (First Power Point Presentation)	103	1,400
5	8/31/2015	Overview of RAD/PACT	52	1,400
6	10/1/2015	Employment Opportunities /REES (workshop)	23	1,400
7	10/27/2015	RAD & Section 8 Roundtables	85	1,400
8	11/10/2015	Capital Improvement & FEMA Update	40	1,400
9	12/15/2015	RFP Process	22	100
10	1/12/2016	Succession Rights / Residents' Rights	40	1,400
11	2/19/2016	Employment Opportunities & TPA Funds	45	1,400

12	3/15/2016	RFP Overview / Long Term Affordability	55	1,400
13	5/4/2016	“Town Hall” hosted by Donovan Richards	15	-
14	6/9/2016	RAD/PACT Overview & Transfer Policy	43	1,400
15	7/28/2016	RAD/PACT Update & Introduction to New Partners	119	1,400
16	9/13/2016	Scope of Work	153	1,400
17	9/27/2016	New Lease Process (Session I – 7 PM)	146	1,400
	9/27/2016	New Lease Process (Session II – 8:30 PM)	140	(see above)
18	10/13/2016	Transition Timelines / New Leases	178	1,400
19	11/17/2016	Transition Timelines / Final Scope of Work	131	1,400
20	12/17/2016	Rehab Work Plans & Resident Services	77	1,400
		Totals	1,574	19,960

Betances Houses (I - VI) (RAD and Section 18)

<u>MTG #</u>	<u>MTG DATE</u>	<u>MEETING AGENDA</u>	<u>ATTENDANCE</u>	<u>FLYERS</u>
1	10/26/2016	RAD Overview at Resident Assoc. Meeting	26	N/A
2	2/22/2017	Introduction to RAD/PACT	90	343
3	4/25/2017	RAD Overview, RFP Process, Introduction to Section 8	26	343
4	7/18/2017	RAD Overview, Residents’ Rights, Transfer Policy	31	343
5	9/25/2017	RAD Overview, Economic Opportunities/REES	35	343
6	1/29/2018	RAD Developer Introduction to Betances RA Board	3	N/A
7	2/1/2018	New Developer Introduction/Initial Work Scope	31	343
8	4/4/2018	New Developer Introduction/Initial Work Scope (B-IV)**	45	282
9	4/11/2018	New Developer Introduction/Initial Work Scope (B-I, V, VI)***	83	463
10	4/19/2018	RAD Conversion Jobs and Training Opportunities	104	1088
11	5/5/2018	Scope of Work (B-III 9A, IV, V, VI)*	53	563
12	5/15/2018	Scope of Work (B-I, II 9A, II 13, II 18, III 13, III 18)*	51	525
13	6/6/2018	RAD Resident Qualification (B-III 9A, IV, V, VI)*	43	563
14	6/13/2018	RAD Resident Qualification (B-I, II 9A, II 13, II 18, III 13, III 18)*	52	525

15	8/23/2018	PHA Lease Termination/RAD Section 8 Lease signing info session	144	1088
16	10/10/2019	Final Scope of Work (Betances Comm Ctr)	128	1088
17	10/11/2018	Final Scope of Work (Mitchel Comm Ctr)	58	See above
18	10/22/2018	Transition to New Management*	60	1088
19	10/25/2018	Transition to New Management*	123	See Above
		Totals	1186	8988

- Due to the size of the Betances development, resident meetings were divided and hosted at two separate location on differing days: Betances Community Center and Mitchel Community Center.

Bushwick Rehabs/Hope Gardens (RAD and Section 18)

<u>MTG #</u>	<u>MTG DATE</u>	<u>MEETING AGENDA</u>	<u>ATTENDANCE</u>	<u>FLYERS</u>
1	3/30/2017	Introduction to RAD/PACT	113	590
2	5/25/2017	RAD Overview, RFP Process, Introduction to Section 8	133	590
3	7/27/2017	RAD Overview, Residents' Rights, Transfer Policy	83	590
4	10/26/2017	RAD Overview, Economic Opportunities/REES	55	590
5	2/6/2018	RAD Developer Introduction to Hope Gardens RA Board	8	590
6	4/12/2018	Overview of proposed Repairs & upgrades	111	590
7	4/30/2018	New Developer Introduction/Initial Work Scope	154	1212
8	6/28/2018	RAD Qualifications of Residents	115	1348
9	7/19/2018	Employment & Economic Opportunities	158	1348
10	9/27/2018	Initial Scope of Work	202	1348
11	11/29/2018	Introduction to New Management/Landscape Visioning	176	1348
12	1/31/2019	New Lease Process, Intro to Property Management	96	1348
13	2/28/2019	RAD/PACT Overview , Final Scope of Work , Preliminary Designs	200	1348
14	3/28/2019	RAD/PACT - Tenant-In-Place Rehab & Social Services Plans	210	1348
15	7/18/2019	Final Scope of work	69	127
		Totals	1883	11,492

Palmetto Gardens (RAD and Section 18)

<u>MTG #</u>	<u>MTG DATE</u>	<u>MEETING AGENDA</u>	<u>ATTENDANCE</u>	<u>FLYERS</u>
1	2/17/2018	Overview of RAD/PACT (R.A. Exec. Bd. only)	3	N/A
2	3/6/2017	Introduction to RAD/PACT	51	115
3	5/4/2018	RAD Overview, RFP Process, Introduction to Section 8	42	115
4	6/21/2017	RAD Tour @ Saratoga Square (Section 8 Recap Development)	26	0
5	7/13/2017	RAD Overview, Residents' Rights, Transfer Policy	20	115
6	2/6/2018	Introduction to Development Team (R.A. only)	1	N/A
7	2/30/2018	Introduction/Overview of RAD, Intro to Development Team, Overview of Proposed Repairs & Upgrades	42	115
8	6/15/2018	RAD Qualifications of Residents	36	115
9	9/27/2018	RAD Initial Scope Of Work	21	115
10	1/30/2019	Introduction to section 8 and New Lease Process	27	115
11	2/28/2019	Final Scope of work	23	115
12	3/28/2019	Tenant-in-Place Rehabilitation and Social Services	16	115
13	7/18/2019	Final Scope of work	35	115
		Totals	292	684

Twin Parks West (Converted 10/31/2018) (RAD and Section 18)

<u>MTG #</u>	<u>MTG DATE</u>	<u>MEETING AGENDA</u>	<u>ATTENDANCE</u>	<u>FLYERS</u>
1	2/16/2017	Introduction to RAD/PACT	47	312
2	5/18/2017	RAD Overview, RFP Process, Introduction to Section 8	44	312
3	6/12/2017	RAD Overview, Residents' Rights, Transfer Policy	33	312
4	9/28/2017	RAD Overview, Economic Opportunities/REES	43	312
5	2/8/2018	RAD Developer Introduction to Twin Parks West RA Board	4	N/A
6	2/12/2018	New Developer Introduction/Initial Work Scope	28	312
7	4/12/2018	RAD Conversion Jobs and Training Opportunities	59	312
8	5/10/2018	Scope of Work	50	312

9	9/13/2018	Transition to New Mgmt./Sec 8 & Final Scope of Work	104	312
10	9/25/2018	Transition to New Mgmt./Sec 8 & Final Scope of Work	80	312
		Totals	412	2808

Highbridge Gardens Rehabs (RAD and Section 18)

<u>MTG #</u>	<u>MTG DATE</u>	<u>MEETING AGENDA</u>	<u>ATTENDANCE</u>	<u>FLYERS</u>
1	4/6/2017	Introduction to RAD/PACT	13	215
2	5/11/2017	RAD Overview, RFP Process, Introduction to Section 8	22	430
3	6/20/2017	RAD Overview, Residents' Rights, Transfer Policy	13	215
4	10/17/2017	RAD Overview, Economic Opportunities/REES	4	215
5	3/1/2018	RAD Developer Introduction/proposed repairs & upgrades	46	215
6	4/16/2018	Job Training & placements	20	215
7	5/14/2018	Overview of proposed repairs & upgrades	21	215
8	10/2/2018	Initial Scope, Rent Collection & Calculation, Contacting NYCHA Sec. 8	38	215
9	10/16/2018	Final Scope of Work, Management & Lease Transition	25	215
		Totals	202	2150

- There is no existing Resident Association Board at this development.

Franklin Avenue Conventional (RAD and Section 18)

<u>MTG #</u>	<u>MTG DATE</u>	<u>MEETING AGENDA</u>	<u>ATTENDANCE</u>	<u>FLYERS</u>
1	2/28/2017	Introduction to RAD/PACT	18	125
2	5/16/2017	RAD Overview, RFP Process, Introduction to Section 8	10	250
3	6/15/2017	RAD Overview, Residents' Rights, Transfer Policy	15	125
4	10/18/2017	RAD Overview, Economic Opportunities/REES	13	125
5	2/27/2018	RAD Developer Introduction/proposed repairs & upgrades	18	125
6	4/18/2018	Job Training & placements	17	125
7	5/8/2018	Overview of proposed repairs & upgrades	14	125

8	10/4/2018	Initial Scope, Rent Collection, Rent Calculation, Contacting NYCHA Sec. 8	50	125
9	10/17/2018	Final Scope of Work, Lease & Management Transition	27	125
		Totals	182	1250

- There is no existing Resident Association Board at this development.

Baychester (Part 200 Conversion)

<u>MTG #</u>	<u>MTG DATE</u>	<u>MEETING AGENDA</u>	<u>ATTENDANCE</u>	<u>FLYERS</u>
1	8/21/2017	Section 8 Conversion Introductory meeting	101	281
2	8/16/2018	RA Introduction to Development Team and Social Service provider	14	N/A
3	8/22/2018	Introduction to New Developer and Social Service Provider	61	440
		Totals	176	721

- These meetings were hosted and lead by NYCHA. Additional meetings were hosted and lead by the development partners.

Murphy (Part 200 Conversion)

<u>MTG #</u>	<u>MTG DATE</u>	<u>MEETING AGENDA</u>	<u>ATTENDANCE</u>	<u>FLYERS</u>
1	10/5/2017	Section 8 Conversion Introductory meeting	35	169
2	8/20/2018	Introduction to New Developer and Social Service Provider (611 Crotona Ave.)	12	281
3	8/21/2018	Introduction to New Developer and Social Service Provider (1805 Crotona Ave.)	21	281

- First meeting was attended by only Public Housing residents. Other units were already Section 8 Tenants
- These meetings were hosted and lead by NYCHA. Additional meetings were hosted and lead by the development partners.
- Why does NYCHA continue to use all of the acronyms (RAD, PACT, etc.) —it is a distraction. Would you please use one: RAD?

NYCHA will take this recommendation into advisement. The acronyms currently distinguish between different programs. Rental Assistance Demonstration (RAD) is a program created by the federal government to convert public housing to project-based subsidy (aka Section 8). NYCHA is using RAD as part of its Permanent Affordable Commitment Together (PACT) program. NYCHA is using additional programs and tools along with RAD to accomplish the goal of converting public housing to project-based funding.

- Did NYCHA undergo the ULURP process for all of the above conversions? If so, please list and provide supporting documentation for each conversion that underwent the ULURP process. If not, why not?

None of the transactions that converted to project-based subsidy (Section 8) were subject to the Uniform Land Use Review Procedure (ULURP). The public review process for disposition of the Authority's land is governed by RAD, Part 200, and Section 18 of the U.S. Housing Act of 1937.

- Did NYCHA undergo an EIR and/or EIS process? If so, please list and provide supporting documentation for each conversion that underwent an EIR and/or EIS process. If not, why not?

PACT projects on NYCHA land may be subject to environmental review per the National Environmental Policy Act (NEPA), the State Environmental Quality Review Act (SEQR), and the New York City Environmental Quality Review (CEQR). For all previous projects that converted to project-based subsidy, NYCHA conducted a NEPA environmental review during pre-development, providing a federal analysis of the project's potential effects on the environment. Based on the NEPA, the Lead Agency, NYCHA and the Responsible Entity, HPD determined the projects would not have a significant adverse impact on the environment. Because no significant impacts were identified, the projects did not require the completion of an Environmental Impact Statement.

- Is there a mechanism for TA leaders to sign-off for each interaction with NYCHA staff with regard to capital maintenance inspections, proposed conversion and/or public hearings? If not, why not? Would NYCHA implement this procedure? If so, how long would it take to be implemented?

NYCHA will take this recommendation under advisement.

- Was each development and/or proposed site provided with technical assistance? If so, please provide the name[s] of NYCHA staff that provided said technical assistance for each development. Describe what type of technical assistance was provided. Was there a sign-off sheet from the TA President and/or Leader? If not, why not? Would a sign-off sheet be provided to resident leadership in the future? If not, why not?

NYCHA met with residents at each development converted to Section 8 through PACT as described above. Residents were also provided with the RAD Resident Handbook created by the NYC RAD Roundtable.

- What are the proposed conversions that are not included in the above Plan slated for 2020-2024? Please list.

As of October 2019, all proposed conversions slated for 2020-2024 are included in this Annual Plan.

- Is it NYCHA's plan to abandon public housing? If so, please describe the exit strategy [e.g., RAD, 50/50, NexGen, PACT, etc.]

NYCHA remains committed to public housing. A portion of NYCHA's portfolio is being converted to Section 8 site-based units which will provide funding for critical repairs while maintaining affordability.

- Is NYCHA only going to utilize Section 18 by renovating in place instead of demolition? Please provide the cost of renovating each unit versus demolition of each unit?

In general, NYCHA is completing tenant-in-place rehabilitations for its PACT conversions. In rare cases, such as Fulton Houses, NYCHA may propose to demolish units to make way for modern and more efficient buildings for residents, and to generate additional revenue for repairs. Build First is NYCHA's commitment to build replacement units and relocate residents into permanent homes prior to any demolition. Per unit costs for rehabilitation and demolition vary across the portfolio, depending upon physical needs, geography, number of stories, etc.

- Does NYCHA have an empty building to place residents while their units are being renovated or is NYCHA going to relocate a few to empty units in the respective building? If so, would this be more costly? Please provide a breakdown of cost using this method as oppose to emptying a building via "attrition." Side bar: NYCHA stock is 75+ years old and the unit walls are concrete. How effective is this type of renovation in place?

NYCHA has a very low vacancy rate across its properties; therefore, tenant-in-place rehabilitation is typically required, irrespective of cost. In select cases where a resident must be temporarily relocated due to medical reasons and/or reasonable accommodation, the temporary relocation will be performed at no expense to the resident.

Tenant-in-place rehabilitation does not inhibit development partners from completely rehabilitating NYCHA buildings, including building facades & systems, kitchens, bathrooms, common areas, and more.

- Considering the horrors-lessons; if you will of HOPE VI please provide, in writing, all of grievance and protection procedures NYCHA has in place?

NYCHA's current grievance procedures is available here:

https://www1.nyc.gov/assets/nycha/downloads/pdf/grievance-procedure_040302.pdf.

Subdivision "A" relates to tenant-initiated grievances and Subdivision "B" relates to termination of tenancy.

- Will residents who lived at the property prior to RAD and/or the above stated programs be subject to re-screening or income targeting? Please provide a copy of the written policy and/or "boilerplate" MOU. If temporary relocation is anticipated to last more than a year, please provide written "temporary" policy.

The purpose of the PACT initiative is to protect residents' rights while stabilizing the developments financially to facilitate extensive rehabilitation work, and to keep the property permanently affordable. In summary, this means that residents:

- *Have the right to stay in the development at conversion without further rescreening;*

- *Have the right to return if relocation is necessary, although the conversion will involve only tenant-in-place rehabilitation work and no relocation is contemplated to take place;*
- *Have the right to organize and continue to receive funding for tenant participation activities from the property management budget;*
- *Retain the right to a NYCHA hearing to resolve grievances;*
- *Be protected under the RAD Roundtable Guiding Principles; and*
- *Generally, pay no more than 30 percent of adjusted gross income towards their rent.*

In select cases where a resident must be temporarily relocated due to medical reasons and/or reasonable accommodation, the temporary relocation will be performed at no expense to the resident.

More information on resident rights including re-screening can be found on page 283 of the Final FY 2020 Annual Plan – “RAD Resident Rights, Participation, Waiting List and Grievance Procedures.”

- Will each development and/or proposed site under the above stated programs retain their organizing rights and right to receive resident participation funds [TPA]? If not, why not? Please provide a written copy of said plan/policy.

Residents will have continued recognition of, and funding for, legitimate resident organizations. NYCHA will ensure that the development partner sets aside funding to be accessed by the resident association for eligible activities per similar guidelines as in public housing. The resident association should remain democratically elected and follow its bylaws after the Section 8 conversion. NYCHA will no longer be the fiscal conduit for City Council or any other contributions received by the association from outside entities.

More information on resident rights can be found on page 283 of the Final FY 2020 Annual Plan – “RAD Resident Rights, Participation, Waiting List and Grievance Procedures.”

- Will NYCHA implement one-for-one unit replacement? Will there be exceptions? If so, please provide written exceptions and why.

NYCHA supports the basic concept of one-for-one replacement. In the context of RAD/PACT, there may be de minimus reductions of units that are vacant or are being used for non-resident purposes. However, demolition is not anticipated. If NYCHA needs to demolish or dispose of a public housing unit, NYCHA can transfer the unit’s RAD authorization to another public housing development under HUD’s Transfer of Assistance program.

- Are the RAD owners under the above stated programs going to receive Section 3 training [24CFR 135-24CFR961] for all work that is done via conversion to be in compliance? If not, why not?

NYCHA requires all developers, regardless of Section 3 applicability, to submit a comprehensive hiring plan to provide training and employment opportunities to NYCHA residents during and after construction. NYCHA’s development partners will collaborate with NYCHA’s Office of Resident Economic Empowerment and Sustainability (REES) to finalize an agreed-upon hiring plan that is consistent with applicable HUD and NYCHA resident hiring policies.

- Approximately 40% of all RAD conversions use LIHTC for repairs. Other funding sources can include HOME, CDBG, HUD loans and other state-local funds. That being said, how much funding is NYCHA expecting to receive from the above stated sources? Please provide breakdown from each funding source.

As of October 2019, none of the referenced capital sources are planned to be used in the NYCHA conversions.

- How are you going to message to the RAD owners that they must articulate and implement tenants' rights? Please provide your written Plan to monitor, oversee and enforce these tenants' rights.

The Department of Housing and Urban Development requires that any development team provide basic resident rights that include no re-screening of existing residents at conversions, a right for residents to return to their unit if a relocation proves necessary, and continued funding of tenant associations. These basic residents' rights are also reflected in the contents of the resident lease and documents entered into by NYCHA with the developer-partner and use agreements recorded against the property at closing of the conversion.

- How is NYCHA going to assist the elderly-disabled to adjust to the RAD owner, different method of paying rent, new leases and house rules, possibly temporary relocation? Has NYCHA created a "technical" assistance and/or training series to address these concerns? Would you consider creating and providing a training series to address these issues? If not, why not?

Before a property is converted, NYCHA hosts a series of meetings to inform residents about the PACT process, their resident rights, and any associated economic opportunities. Once a development partner is selected, the partner hosts meetings to ensure residents understand the lease terms and rehabilitation schedule. The development team will also speak to residents to assess their particular physical or health requirements, which will be accommodated during the tenant-in-place rehabilitation.

An additional set of resources were developed by Community Service Society, Legal Aid Society, Enterprise, and the members of the NYC RAD Roundtable for Resident Rights and Protection to support residents going through the Rental Assistance Demonstration (RAD). The RAD Handbook provides public housing residents with a clear and comprehensive introduction to what the RAD program is and what it means for their housing development. The handbook includes an overview of resident rights and protections under RAD and outlines how residents can prepare for a RAD conversion.

- How are the applicants on current public housing waiting lists going to be affected? Please provide written policy and/or plan.

Aside from the public housing waiting list, there is also a NYCHA Section 8 waiting list, and families on that list will move into newly vacated units in the converted RAD developments. If a family is on the public housing waiting list, the family will be provided an opportunity to add their name to the Section 8 site-based waiting list. When a Section 8 apartment becomes available, applicants will be called in by their application date and time.

Information on NYCHA's public housing admissions process is available at the following link: <https://www1.nyc.gov/site/nycha/eligibility/apply.page>.

- Does NYCHA have a home ownership program for single Section 8 voucher holders? If so, please provide written copy of said Plan. If not, why not? How many Section 8 residents have purchased homes under NYCHA's Homeownership Program? Please provide written data for single person, family size, and income for each borough

As of October 2019, NYCHA does not have a homeownership program for Section 8 voucher holders. Currently, there are insufficient resources to administer the program.

- What is the status of LLC 1 and LLC II developments? How much money has NYCHA saved under this program? Please provide data for all. List each development separately to include total units, number of units to be converted, number of units converted, occupied and/or vacant.

The LLC developments were originally comprised of 21 developments with 20,170 units which were built and funded by the city and state of New York. In 1995, HUD amended NYCHA's Annual Contributions Contract (ACC) to allow NYCHA to "share" its operating and capital subsidies with these 21 developments. The units in the 21 developments were not included in the actual formula to calculate the subsidy.

In 2010, as part of the American Recovery and Reinvestment Act of 2009 (ARRA), NYCHA transferred these developments as part of a two (2) separate mixed finance transactions commonly referred to as "federalization" to limited liability companies ("LLC") to be managed and operated by NYCHA. The LLC 1 developments are comprised of 13 developments with 14,476 units. Of these 14,476 units, 11,743 units are included the HUD public housing operating and capital subsidy formula. The remaining units in these developments are being converted to Section 8 under a previously approved conversion plan.

The units in the 8 developments in LLC 2 were either converted to Section 8 or are "unfunded" public housing units meaning they are not in the HUD operating and capital formula for subsidies. NYCHA continues to fund these units out of our current HUD subsidies. On December 28, 2018, two developments in the LLC 2 portfolio were removed from such portfolio and converted to Section 8 through a 2 CFR Part 200 retention action. Two more developments, Independence and Williams Plaza are scheduled to convert by the end of 2019 through a Part 200 retention action. Wise Towers and 344 East 28th Street are scheduled to convert in the Spring of 2020 and Boulevard and Linden by the end of 2020.

Additional information on the total number of units in the LLC developments and the number of units converted can be found on beginning on page 120 of the Final FY 2020 Annual Plan.

- Are all developers required to pay NYCHA a development fee?

Often developers are paid a fee for their work on development projects by the project's funders (not by NYCHA). For some projects, NYCHA negotiates with developers to receive a portion of that fee.

- Resident Associations should be part of the real estate RAD/PACT deals so economic development can also extend to the development.

NYCHA's Resident Associations are an integral part of the PACT/RAD projects. Before a RAD application is submitted, HUD requires that residents receive a RAD Information Notice that shares NYCHA's intent to convert the development. NYCHA consults with Resident Associations from the beginning of the project. Resident Association members are a part of the series of meetings preceding development team selection. Resident Association members also participate in the monthly meetings the development teams hold for residents before the conversion. NYCHA is committed to ensuring Resident Associations are an integral part of the PACT program and is willing to explore options for furthering their involvement.

- What are the income requirements for the new 100% affordable developments? Will NYCHA residents will be able to move into those units?

A substantial portion of new development is for Senior Housing, which is funded through Section 8. An individual must make no more than 50% of the Area Median Income ("AMI") to be eligible to move into a Section 8 funded unit. Non-senior, affordable developments have different ranges of income qualifications based on the program and funding sources. Typically, in new 100% affordable developments, 25% of the new marketed units will have a preference for existing NYCHA residents.

- A RAB member asked if 100% affordable developments will conduct credit checks.

In August 2019, the NYC Department of Housing Preservation and Development released revised guidelines for the marketing of affordable housing, including allowing applicants to provide evidence of complete monthly rent payments for the preceding 12-month period in lieu of a credit check. Revisions to the marketing guidelines can be found here:

<https://www1.nyc.gov/assets/hpd/downloads/pdf/developers/marketing-guidelines-update-08-2019.pdf>. NYCHA does not conduct credit checks in determining eligibility for rental assistance provided by NYCHA.

- Why are residents who are not members of the RAB but are residents of the proposed public housing development to be demolished not invited to the meetings where their developments are being discussed?

In general, NYCHA is completing tenant-in-place rehabilitations for its PACT conversions. In rare cases, such as Fulton Houses, NYCHA may propose to demolish units to make way for modern and more efficient buildings for residents, and to generate additional revenue for repairs. Build First is NYCHA's commitment to build replacement units and relocate residents into permanent homes prior to any demolition.

Before a RAD application is submitted, HUD requires that residents receive a RAD Information Notice that shares NYCHA's intent to convert their development. NYCHA consults with residents from the beginning of the project, holding regular meetings with residents about the RAD process before the development team is selected. Once selected, the development team holds monthly informational meetings for residents detailing the tenant-in-place renovation process, the scope of work, Section 8, rightsizing and other subjects to ensure they are prepared for the conversion.

- Does NYCHA have in its portfolio any units that fall under the "De Minimus" demolition category? If so, please name all.

NYCHA claimed 3 (three) de minimus units in the Franklin/Highbridge transaction and 5 (five) de minimus units in the Betances transaction.

- Has NYCHA submitted any demolition applications to HUD which certified that a development was “obsolete?” If so, please name all and if not, does NYCHA plan on doing so?

NYCHA has submitted Section 18 applications for three projects: the Bushwick II (Groups A & C) and Bushwick II CDA (Group E) developments in Brooklyn, the Armstrong I and 572 Warren St. developments in Brooklyn, and one building in the Twin Parks West Sites 1 & 2 development in the Bronx. The Section 18 application for Armstrong I and 572 Warren St. was submitted in October 2019. HUD deemed the developments in the Bushwick II (Groups A&C), Bushwick II CDA (Group E) and Twin Parks West Sites 1 & 2 projects obsolete due to the structures being in poor physical condition that require significant rehabilitation. The selected development teams will now complete major rehabilitations of the buildings addressing roof, façade, mechanical systems and the environmental remediation of mold, asbestos and lead, as well as updating kitchens and bathrooms. For future projects, NYCHA will continue to submit Section 18 applications for some developments since it allows NYCHA to finance a larger amount of renovation improvements in the developments.

ATTACHMENT O
COMMENTS FROM THE PUBLIC ON THE FY20 ANNUAL PHA PLAN

Capital Projects

- When will the pipes at Saint Nicholas be replaced by NYCHA?

As of October 2019, the gas riser replacement project at Saint Nicholas is in the procurement phase and is scheduled to be completed by 1st quarter of 2022.

- When will the scaffolding be removed at Saint Nicholas Houses?

As of October 2019, there is no scaffolding or sidewalk sheds at Saint Nicholas Houses.

- Saint Nicholas residents are suffering from Legionnaire’s disease and NYCHA needs to assist these residents.

As of September 2019, there are 5 copper-ionization systems installed in the buildings at Saint Nicholas identified by the NYC Department of Health and Mental Hygiene. NYCHA is currently in the process of awarding the contract to install the systems in the remaining buildings at Saint Nicholas.

- What does it cost for NYCHA to paint one wall in an apartment? The estimate of \$32 billion of capital needs seems to be too high.

The estimate of \$32 billion of capital need was determined from NYCHA’s 2017 Physical Needs Assessment, which was performed by two external consultant teams that surveyed all buildings, common areas, facilities and grounds at 325 developments. The 2017 Physical Needs Assessment is available here: <https://www1.nyc.gov/site/nycha/about/reports.page>. The estimated cost for NYCHA to paint one wall in an apartment ranges from \$117 to \$442 depending on whether the wall requires renovation, repair, and painting (RRP). RRP work requires additional time and materials to complete the treatment.

- Why hasn’t Fulton Houses received capital funds in recent years?

Fulton has received capital and city funding for multiple projects in recent years, including:

- *CCTV Installation 2013 - \$634,788 (City funding)*
- *Exterior Brickwork Repair (LL II) 2016/2017/2018 - \$3,585,607 (Capital funding)*
- *Community Center Renovation 2018 –\$7,274,866 (Capital and City funding)*
- *Gas Riser Replacement – 2018 - \$132,267 (Capital funding)*
- *Hudson Guild Fulton Center renovation – anticipated completion in 2020 - \$2,000,000 (Capital and City funding)*

Community Engagement & Partnerships

- NYCHA needs to provide support for residents with mental health challenges and residents with disabilities.

NYCHA’s Family Partnerships Department (FPD) is staffed by licensed social workers and paraprofessionals who focus on three key areas: connecting residents to best in-class services; implementing and managing formal and in-formal partnerships; and overseeing

programs for seniors and youth. Staff manage through service coordination, crisis response, and providing linkages through NYCHA's database to its partner agencies. As needed, staff conduct home visits, assess resident needs and connect to services.

The following program provides specialized services to meet a wide range of residents' needs:

Supportive Outreach Services (SOS) receives referrals from property management, resident leaders, family members, other NYCHA departments, or from residents themselves and provides supportive services so residents can remain lease compliant and manage their household needs. Staff interview each resident to assess their situation and identify helpful resources. Staff develop a service plan and makes referrals as needed. Staff also intervene in crises situations involving acute psychiatric emergencies, traumatic incidents, family crises, domestic violence (DV), child abuse/neglect, elder abuse/neglect, and substance abuse.

For more information on how to make a referral please visit:

<https://www1.nyc.gov/site/nycha/residents/family-partnerships.page>

NYCHA also provides reasonable accommodation for applicants, Section 8 voucher holders, and NYCHA residents with disabilities. A reasonable accommodation in housing is a change, modification, or alteration in policy, procedure, practice, or program that provides a qualified individual an equal opportunity to participate in, or benefit from, a program or activity. Section 8 applicants (including voucher holders who have not yet rented units) and participants who are blind or have a visual impairment may request that notices be sent to them in an alternative format.

- NYCHA should provide mandatory training for resident boards to learn how to work more effectively with residents.

In accordance with HUD regulations on leadership building, NYCHA's Resident Engagement Department hosts monthly cluster meetings to provide Resident Association (RA) board members with updates on important and relevant topics – RA leaders select the topics of these meetings, and NYCHA hosts more than 30 per month. Participation in the meeting is voluntary, and all board members who attend are equipped and expected to share the information with residents at their general body meetings. In addition to the cluster meetings, each RA has a designated NYCHA Coordinator who is assigned to provide technical assistance and leadership development for RA board members.

- NYCHA needs to be more responsive when residents complain about issues with resident leadership and provide more support to resident associations.

NYCHA responds to complaints about resident leadership by informing the complainant about NYCHA's role and the role of the Resident Association (RA) membership in addressing concerns about the board. Resident Associations are democratically elected bodies that are governed by their own bylaws, which are required to be in compliance with HUD regulations. Regarding supporting Resident Associations, each RA has a designated NYCHA Coordinator who is assigned to provide technical assistance and leadership development for RA board members. Resident Engagement Coordinators often meet one-on-one with RA presidents and their board members.

- The residents of Seward Park would like to know when the Tenant Association room will be repaired so it can be utilized again.

As of September 2019, the repairs have been made to the Tenant Association room and the Community Center has been made available as an alternate meeting space. The property manager verified with the Tenant Association that the Tenant Association is satisfied with the repairs.

- NYCHA needs to explain what outreach was done as part of Manhattan Borough President Gale Brewer’s Summer Meals Task Force. More resources need to be in place by spring of next year to ensure appropriate staffing, either with SchoolFood employees or NYCHA residents, before the program start date.

NYCHA participated on Manhattan Borough President Gale Brewer’s Summer Meals Task Force and supported outreach and information sharing about the initiative in the following ways:

- *All the participating locations received flyers to conduct outreach*
 - *Flyers were also shared with Property Management and Resident Association Presidents for distribution throughout participating developments.*
 - *NYCHA sent reminder emails to all RA Presidents to continue to promote the program.*
 - *Flyers were also shared with NYCHA’s Community Engagement and Partnerships Team to distribute at resident events/meetings throughout the summer.*
- NYCHA should develop an immediate plan to train a large pool or “pipeline” of residents for jobs to be generated by the \$10 to 12 billion in construction activity under PACT. The plan should include agreements with labor organizations for pre-apprenticeship training and pathways to apprenticeship.

NYCHA 2.0, NYCHA’s comprehensive plan to preserve public housing, includes the creation of a new employment-linked training program called HireNYCHA. HireNYCHA is an expansion of the award-winning NYCHA Resident Training Academy which has trained over 2,700 residents in the past nine years. HireNYCHA is a three-year initiative that will include job readiness training, pre-apprenticeship construction training, bridge education programming, case management support and resident employment connections via NYCHA development partners and other construction partners. HireNYCHA will launch in FY2020.

- NYCHA needs to do a better job informing residents about the public hearing and when Annual Plans and Significant Amendments are released.

After the Draft and final Annual Plans and Significant Amendments are published, residents are able to view the documents at the Management Office of any NYCHA public housing development or at NYCHA’s principal office at 250 Broadway, New York, NY, during regular office hours. They are also available to view at NYCHA’s webpage:

<http://www1.nyc.gov/site/nycha/about/annual-plan-financial-information.page>.

Information about the time and location for the public hearing is also available on NYCHA’s website in English, Spanish, Chinese (Traditional and Simplified), and Russian. In addition, flyers with information about the public hearing are distributed to and posted in all NYCHA management offices. A notice with the public hearing information is included in the rent bill in English and in Spanish. Finally, one week before the public hearing, NYCHA conducts robo-calls to all households as well.

Financial Resources

- NYCHA is increasingly relying on discretionary funds from City Council Members to foot the bill for security equipment like key fobs, intercoms, and security cameras and there is a substantial time lag between such funding being allocated and any progress on the ground. NYCHA needs to provide status updates about such cases and provide a timeframe for when projects will be realized. NYCHA should establish a master list of all discretionary spending items allocated to individual City Council Members for improvements in NYCHA buildings and the status of individual cases.

Due to continued federal disinvestment, in the sum of \$3 billion since 2001, NYCHA does not have adequate funds to repair and upkeep all of the apartments in its public housing portfolio without exploring external financing mechanisms. When City Council Members and Borough Presidents allocate discretionary capital funding, the designated projects are often ones that would not otherwise be added to NYCHA's Capital Plan due to lack of funding. Elected officials' supplemental support for these critical projects is valued and appreciated. NYCHA provides the Speaker of the New York City Council and all City Council members with a quarterly status report on projects that receive capital funding from the New York City Council. NYCHA endeavors to work closely with elected officials, community groups, resident associations, and other stakeholders to actively advance these projects to ensure that the goals of the funding are met as efficiently as possible. As of the most recent quarterly report from the 2nd quarter of the City's Fiscal Year 2019 (October 1, 2018 – December 31, 2018), there are currently 178 City Council Capital projects in NYCHA's portfolio totaling \$149,642,190.

Operations and Management

- What steps is NYCHA taking and how long will it take NYCHA to remedy the mold at Saint Nicholas?

NYCHA is taking proactive measures to meet the obligations of both the 2018 Revised Baez Consent Decree and the 2019 HUD Agreement. As part of this process, NYCHA has revised its standard procedure for addressing mold complaints and introduced "Mold Busters" – an innovative new program informed by industry standards to effectively and efficiently remediate mold. More information about Mold Busters progress can be found here: <https://www1.nyc.gov/site/nycha/residents/mold-busters.page>. The Mold Busters program was implemented at St. Nicholas on April 8, 2019. Additionally, NYC and NYCHA are investing approximately \$15 million in replacing roofs at this development.

- NYCHA needs to allow residents to have proper wiring for air conditioning units at Saint Nicholas Houses. Without the proper wiring in place, if the air conditioning unit is in use, all other appliances are unable to be used in apartments.

Management is currently using a requirement contract for air conditioner outlet installation. As residents call in for service, Maintenance staff verify and then a release is created for the outlet. If a resident has an air conditioner that requires less than 8000 BTUS, a dedicated outlet is not required. A resident is allowed up to two air conditioners per unit. A third air conditioner could be approved with supporting medical document and approval by the borough director.

- NYCHA residents believe that the new caretaker schedule is not working for Saint Nicholas Houses and the grounds are worse off than before the new schedule was put in place.

Due to the size of St. Nicholas, additional grounds staff is needed. NYCHA is currently working to come up with a solution. Three seasonal employees were moved to St. Nicholas for assistance.

- Saint Nicholas needs to increase their staff on site at the development. There are only three staff in the management office and three maintenance workers.

As of October 2019, Saint Nicholas currently has two vacancies in the management office (two housing assistants). There is currently one maintenance worker vacancy.

- Residents of Saint Nicholas Houses report seeing rats on the grounds and stated that NYCHA employees told residents traps cannot be used because they are inhumane.

NYCHA typically does not use snap traps because of the possible risk they pose to children, pets and employees who are deploying them. Saint Nicholas is part of the expanded Neighborhood Rat Reduction program (<https://www1.nyc.gov/site/nycha/about/press/pr-2019/pr-20190719.page>). NYCHA will be hiring 12 additional exterminators to treat the grounds of the 60 new sites, including Saint Nicholas, and 9 full time employees who will collapse rat burrows. Collapsing rat burrows is a form of non-toxic pest control, because rats must re-dig their homes instead of reproducing. NYCHA is also working with staff to fill in holes with concrete, prune away branches that create safe homes for rats, and improve waste management to achieve the goal of 70% rat reduction.

- A resident of Linden Houses stated that the elevators break down daily and even when they are repaired, they quickly break down again.

As soon as NYCHA is notified of an elevator outage, NYCHA verifies the outage and an elevator mechanic work order is created and NYCHA's Elevator Division addresses the issue. NYCHA has been closely monitoring all elevators and performing frequent inspections. There are no particular issues for this location. Preventive maintenance is currently 95% complete for the month of August 2019. The Elevator Service and Repair Department's Special Teams Unit began inspecting all elevators at this location on September 5, 2019 and started follow up preventative maintenance which is ongoing. All inspections and preventative maintenance are expected to be completed at the end of October 2019.

- NYCHA needs to do a better job of communicating with residents when the water is being turned off. Residents who don't regularly leave their units, such as the elderly, might not see signs about scheduled water outages and then do not know why the water is out.

If there is an outage, in conjunction with building outages being posted online, NYCHA will work to put notices under the door for more visibility. Robocalls are also made residents for planned and unplanned No Water outages.

- The elevators at 418 West 17th Street at Fulton Houses are repeatedly broken.

NYCHA's Elevator Department will continue to closely monitor these elevators at Fulton Houses to ensure the proper operational services are maintained. The outages reported at

418 West 17th Street consisted of mechanical and non-mechanical related issues which all have since been resolved.

- The stairwells at Van Dyke are very dirty and unsafe. The caretakers at Van Dyke Houses are not working their normal hours and the grounds conditions are deteriorating.

Van Dyke Houses adopted the Alternative Work Schedule (AWS) on June 30, 2019. The AWS schedule does result in fewer staff at the development on any given day, but the schedules were built to provide the same level of hours worked at each development. Van Dyke appears to have had multiple vacancies before the implementation of AWS. As of October 2019, the development has no caretaker vacancies.

- NYCHA residents would like to know when the Van Dyke Community Center air conditioning will be repaired.

As of August 16, 2019, NYCHA had a vendor restore the service for one of three central air condition units. All classrooms are at satisfactory level of cooling. The other two units need to be replaced. NYCHA has invited bid proposals for the replacement of those units. Currently, the scope of work is being drafted as part of the procurement process. In the meantime, NYCHA has rented and continues to use spot coolers for pending replacement of the units.

- The intercoms at Boulevard Houses are not working.

Boulevard Houses is a layered access development in which previously there were development-wide problems with the intercom system due to resident's telephone numbers not being updated to reflect what was in the NYCHA intercom system. Updates of the resident's telephone numbers were sent to NYCHA's Office of Safety & Security to resolve. As of September 2019, the intercoms are working but residents need a working phone line to have it connected. If a resident has a working phone line that is not connected to the intercom, the resident should call the CCC to generate a work order to have resolved.

- The annual income review process is not working with the electronic system. Some residents are being double charged and other residents are being sent letters saying that they did not submit their reviews when they already had done so.

NYCHA is currently reviewing the annual review process to identify any areas which can be streamlined.

- NYCHA needs to provide further information for residents who have received letters stating that they are over-income and their rents will be increasing over two years.

According the federal regulations, a household with a total income above 120% of AMI is considered an over-income household. When a household is first classified as over-income, the household is sent a letter that notifies the household that this is their first year as an over-income household and the rent will not be raised under the new HUD rule at that time. The letter explains that if the household income stays above 120% of AMI for two consecutive years, NYCHA will be required to raise the rent at that point in time based on a formula that has not yet been released by HUD. The HUD Federal Register Notice regarding the over-income policy titled "Housing Opportunity Through Modernization Act of 2016: Final Implementation of Public Housing Income Limit" is available here:

<https://www.gpo.gov/fdsys/pkg/FR-2018-07-26/pdf/2018-15941.pdf> and information about the over-income policy at NYCHA is available in the NYCHA Journal here:

<https://www.nychajournal.nyc/HUD-Rules-On-Over-income-Households#targetText=Notification%20to%20Over%2DIncome%20Households,level%20fo>
[r%20two%20consecutive%20years](https://www.nychajournal.nyc/HUD-Rules-On-Over-income-Households#targetText=Notification%20to%20Over%2DIncome%20Households,level%20fo). NYCHA will provide residents with more information, including the calculation of the formula, once HUD issues further guidance.

- NYCHA residents need to have access to air conditioners at home and cooling centers during the hot summer months. As of July 2019, 49 of the NYCHA community centers are currently waiting for service to their air conditioning systems - 16 of which waiting for repairs and 33 for their system to be converted from heating to air conditioning in the middle of July. NYCHA should expand its new pilot program of providing free air conditioning to not just some but all residents by the next fiscal year.

As of August 28, 2019, all systems went through the conversion to A/C. However, there are follow up repairs in progress. During the warmer months, the centers will be inspected daily to keep up with the repairs needed. During the winter months, the repairs that are needed will be taken care of to be ready for the warmer months.

- There have been rat sightings at Grant Houses and there are holes in the grounds that need to be covered up to get rid of the rats.

Grant Houses is part of the expanded Neighborhood Rat Reduction program from the City (<https://www1.nyc.gov/site/nycha/about/press/pr-2019/pr-20190719.page>). NYCHA will be hiring 12 additional exterminators to treat the grounds of the 60 newly-included sites, including Grant Houses, and 9 full time employees who will collapse rat burrows. As of August 8, 2019, NYCHA has filled 300 rat burrows at Grant Houses.

- The grounds at Grant Houses are very dirty and there is garbage along the perimeters of the buildings and campuses.

NYCHA's Regional Asset Managers reached out to property supervisors at Grant and conducted a walk through. All supervisors have been advised to ensure the grounds schedule is being adhered to daily. There was an area located in the parking lot that was not addressed. The Property Maintenance Supervisor was informed to have caretakers extend their grounds review to include the parking lots and the conditions have been corrected.

Recovery & Resiliency

- A resident of Gravesend Houses stated that the development is in disarray because of the repairs being made after Hurricane Sandy. Residents would like to know when the playground will be fixed, and the walkways will be lit.

Gravesend Houses is getting over \$160M of investment, including Sandy Recovery and Resilience work, as well as separate funding for new gas risers in every building. These improvements include major work on structure and infrastructure, including installation of new boilers, site lighting, gas piping, steam and condensate piping, eight backup generators, first floor flood protection, concrete slabs in the crawl spaces, new insulated roofs and CCTV equipment. (More information on the entire project can be found here:

<https://www1.nyc.gov/assets/nycha/downloads/pdf/14-GravesendHouses.pdf>. Several of these elements will require extensive digging throughout the site for new pipe and conduit

distribution. As a result, the playground renovation at Gravesend is scheduled towards the end of the major work, anticipated near the end of 2020.

Energy efficient LED site lighting is being installed under the Sandy project and is 90% complete as of August 2019. There are some pathway lights outside of the scope that are not currently functioning, and property management is working on getting those repaired. In addition, the energy savings from the Sandy work is being used to fund additional investments through a different contract, including new common area, apartment, and building lighting (fixtures attached to the exterior of the building). This work has begun and should be complete by the end of 2019.

Due to Department of Buildings safety requirements, some walkways are blocked. There are particular areas – by Buildings 2, 10, and 14 near the new electrical annexes – where the requirements are even more stringent. NYCHA recognizes that this is an inconvenience and NYCHA is striving to complete that work as soon as possible.

Real Estate Development Activities

- NYCHA needs to do a better job of communicating with residents about RAD transactions, particularly around the managing agents and potential jobs for NYCHA residents.

Resident engagement is a critical component of NYCHA 2.0. Done in consultation with elected Resident Association leadership, engagement occurs throughout the development process in the form of meetings with residents before and after a development team is selected. The meetings cover topics such as Section 8, social services, the tenant-in-place renovation process, training and hiring, and any other issues that residents would like to discuss.

- NYCHA and the local unions should be providing 30-40% of jobs to NYCHA residents.

The Rental Assistance Demonstration (“RAD”) requires housing rehabilitation or construction work performed as part of the work under a RAD conversion to Section 8 be subject to the requirements to “Section 3” as codified at 12 U.S.C. Section 1701u and implemented by regulations at 24 CFR Part 135, as may be amended. Under RAD, first priority for employment and other economic opportunities is given to residents of public housing or Section 8 assisted housing. Otherwise, the receipt of Section 8 rental assistance does not, in itself, trigger Section 3.

- A resident of Thurgood Marshall would like to know when their development will be going through the RAD process.

In December 2018, NYCHA launched NYCHA 2.0, a comprehensive plan to preserve public housing that includes three new programs: Build to Preserve, Transfer to Preserve, and Fix to Preserve. Thurgood Marshall Plaza is one of the developments scheduled to undergo a PACT conversion by December 2020.

- The residents of Fulton Houses do not want their buildings to be demolished and do not want to be displaced.

NYCHA is committed to ensuring that no residents are displaced. NYCHA may redevelop public housing units, in select cases, to make way for modern and more efficient buildings for residents. Build First is NYCHA’s commitment to build replacement units and relocate residents into permanent homes prior to any demolition or substantial rehabilitation projects.

At Fulton Houses, this means that if any residential buildings are proposed to be demolished, the residents of the impacted buildings would decide to move into an apartment in the new replacement building at Fulton or another existing NYCHA apartment at Fulton Houses. Either way, households would retain their rights and continue to pay only 30% of their household's adjusted gross income.

Additionally, the purpose of the PACT initiative is to protect residents' rights while stabilizing the developments financially to facilitate extensive rehabilitation work, and to keep the property permanently affordable. In summary, this means that residents:

- Have the right to stay in the development at conversion without further rescreening;*
 - Have the right to return if relocation is necessary, although the conversion will involve only tenant-in-place rehabilitation work and no relocation is contemplated to take place;*
 - Have the right to organize and continue to receive funding for tenant participation activities from the property management budget;*
 - Retain the right to a NYCHA hearing to resolve grievances;*
 - Be protected under the RAD Roundtable Guiding Principles; and*
 - Generally, pay no more than 30 percent of adjusted gross income towards their rent.*
- Who will monitor developments once a RAD conversion has taken place? What type of oversight is there for developments that have undergone a RAD conversion?

HUD oversees NYCHA and other PHAs that undergo the RAD process. Through RAD, units move to a Section 8 platform with a long-term contract that, by law, must be renewed. As the Section 8 contract administrator, NYCHA is responsible for performing regular inspections of the developments post-conversion to ensure that the buildings are being maintained in a state of good repair. The recertification of residents and right-sizing of apartment units are also managed by NYCHA. In all of these conversions, NYCHA maintains ownership of the land and buildings and has entered into contractual agreements with its developer partners to ensure among other things resident protections as required by RAD are upheld and the agreed upon rehabilitation work is completed.

NYCHA usually remains a part of the ownership structure when a RAD conversion takes place. Land and improvements are leased to a Housing Development Fund Corporation (HDFC) for 99 years (currently a NYCHA controlled HDFC) as the nominal leasehold owner. In addition, a NYCHA controlled LLC entity retains a 50% interest in the managing member or general partner of the Beneficial Leasehold Owner (the Declaration and Nominee Agreement between the HDFC as Nominee and the Beneficial Leasehold Owner transfers all the economic benefit and risk of ownership to the Beneficial Leasehold Owner (usually an LLC or LP) and is a recorded document).

NYCHA will also work collaboratively with HDC to track the short and long-term impacts of these projects as well as make sure the obligations of the development partnerships are met as agreed. These obligations include:

- Monitoring construction on the properties to confirm the rehab project scope is complete;*
- Monitoring and servicing financial obligations as agreed;*
- Tracking resident hiring;*
- Providing administrative support to internal and external partners as needed.*

- NYCHA residents do not want to be converted to the Section 8 program because they do not think that Section 8 vouchers have the same level of protections as Section 9 (public housing).

The RAD Roundtable’s “Guiding Principles” supplement the rights and protections already provided to residents when converting developments by federal and state statutes, HUD regulations, and HUD notices. The Guiding Principles were developed in 2016 by the RAD Roundtable in partnership with NYCHA to ensure that the rights of tenants are protected as NYCHA preserves properties through PACT. The Guiding Principles are available at <https://www1.nyc.gov/assets/nycha/downloads/pdf/rad-principles.pdf>.

- A resident of Fulton Houses wants to know how eliminating two buildings and 72 units will be doing anything to preserve public housing.

NYCHA 2.0 was developed to bring comprehensive repairs to NYCHA developments and improve the lives of our residents through the use of three tools: Permanent Affordability Commitment Together (PACT), Build to Preserve (BTP), and Transfer to Preserve (TTP). In spring 2019, NYCHA began conversations with residents of Fulton Houses about how to best use these tools to repair and preserve Fulton Houses as permanently affordable housing for current residents and future generations of New Yorkers.

The initial concept at Fulton includes the following: (1) first, build new replacement housing for up to 72 families; (2) relocate residents to new or existing apartments at Fulton; (3) redevelop two sites to create 700 new apartments with set-aside requirements for permanently affordable units; (4) use revenue from new construction and PACT to address the full capital needs at Fulton, with any remaining proceeds going toward repairs at other developments in the neighborhood; (5) convert Fulton units to project-based subsidy (Section 8) with a long-term contract that ensures units remain permanently affordable to low-income households. This concept would generate funding for repairs at Fulton Houses without displacing residents and would create additional affordable housing in the Chelsea neighborhood.

- Fulton Houses’ status in the RAD/PACT pipeline should be clarified.

NYCHA has presented a concept to residents at Fulton Houses that would include a PACT conversion. Once plans are finalized NYCHA will lay out a timeline for Fulton Houses.

- NYCHA residents do not have adequate opportunity to participate in and influence the processes of infill development, conversion to private management or ownership, or transfer of air rights. The Authority does not begin resident consultation at a campus until it has already decided that development will occur there. In the case of dispositions of land for infill development, the Authority has also been predetermining the affordability mix of the private building. This removes the most important decisions from the consultative process entirely and deprives resident councils of their lawful right “to advise and assist in all aspects of public housing operations.” The residents of the campuses where development will occur are the people most impacted by these decisions and must have a voice throughout the decision-making process. Residents must be involved when NYCHA selects campuses to make available for new development and when the kind of new development for each site is decided.

Resident engagement is a critical component of the NYCHA 2.0 plan. Done in consultation with elected Resident Association leadership, NYCHA has established engagement

opportunities throughout the development process, beginning with the planning stage. Before the Request for Proposals (RFP) is released for developments NYCHA hosts Visioning Sessions. The RFP is written to align with the plan developed during the Visioning Sessions, and a summary document of residents' preferences and concerns is published as an attachment to the RFP. After a development team is selected, they will be responsible for engaging with the public throughout pre-development and construction around topics such as construction safety, training and hiring, design and program development, applying for the new buildings, prioritizing capital needs, and any other issues or opportunities that the public would like to discuss.

- Residents must be able to ask NYCHA questions, provide the Authority with their feedback, and be able to receive information as it evolves for all development projects.

Resident engagement was a critical component of NextGeneration NYCHA and continues to be essential to the NYCHA 2.0 plan. Done in consultation with elected Resident Association leadership, NYCHA has established engagement opportunities throughout the development process.

- No redevelopment projects should move forward without the consent of the residents, and the RFP scoring process should give added value to development teams that include organizations in the community.

NYCHA will take this recommendation under advisement. In April 2019, NYCHA announced the release of two complementary requests for qualifications (“RFQ”) to solicit prospective large and small development, construction, property management, and social service partners. The RFQs enable NYCHA to streamline the PACT procurement process by creating pre-qualified lists that will include locally-based not-for-profit organizations.

- Residents should be given information about the physical and financial needs of their developments and an active role in the decision-making process before a plan or application is sent to HUD.

NYCHA is committed to transparency and accountability. NYCHA's Physical Needs Assessment (“PNA”) is an accounting of the short-term and long-term capital needs, including apartment, architectural, electrical, mechanical, and site needs for each development. These estimates help inform the capital planning for infrastructure improvements, modernization, and other systematic upgrades. The PNA of all NYCHA developments is performed every five years. The 2017 PNA Summary by Development is published online at

https://www1.nyc.gov/assets/nycha/downloads/pdf/2017%20PNA_Development.pdf

- NYCHA is required to comply with state and federal law which require initiation of resident-council consultation and environmental review prior to making the decision that infill, conversion, or development-rights transfers will occur on any NYCHA campus. Residents must be consulted, and an environmental review must be conducted before key decisions are made.

NYCHA consults with Resident Association leadership throughout the development process, beginning in the planning phase. All new construction projects and PACT projects on NYCHA land are subject to environmental review per the National Environmental Policy Act (NEPA),

the State Environmental Quality Review Act (SEQRA), and the New York City Environmental Quality Review (CEQR).

For NYCHA 2.0 projects, NYCHA will conduct a NEPA Environmental Assessment (“EA”), and if applicable a SEQRA and CEQR Environmental Assessment Statement (“EAS”), during pre-development. The EA and EAS provide an analysis of the project’s potential effects on the environment. Based on the EAS and EA, a determination is made as to whether or not the project will have a significant adverse impact on the environment. Mitigation measures may be required to reduce or eliminate any impacts. If impacts cannot be mitigated, a positive declaration for significant impacts is issued, requiring completion of an Environmental Impact Statement (“EIS”). If no significant impacts are identified, then a negative declaration is issued for the EAS, and a finding of no significant impact (“FONSI”) is issued for the EA. The FONSI is published in two newspapers, and the publications solicit public comments on the EA and EAS for 15 days.

- The Authority must take steps to ensure that development serves, rather than harms, the campuses and communities in which it occurs. Ideally, this would be done by allowing residents to decide for themselves what construction would occur on their campuses by, for example, voting on proposed developments and changing bidding rules to formally incorporate resident preferences. If that is not possible, NYCHA should take all necessary steps to ensure that the benefit of development accrues primarily to the residents of the campus that is being developed, including earmarking the bulk of revenue generated by new private construction or disposition for the campus on which the development takes place; and building in a revenue stream, such as annual payments, into long-term leases.

Throughout the development process, NYCHA has established engagement opportunities, in consultation with elected Resident Association leadership. Before the Request for Proposals (“RFP”) is released for infill developments, NYCHA hosts Visioning Sessions with residents. The RFP is written to align with the plan developed during the Visioning Sessions.

One hundred percent of the funds generated by NYCHA 2.0 will first be used to fully address the capital needs at the host development, and any remaining proceeds will go toward repairs at other developments in the same neighborhood.

- NYCHA should not instill fear into tenants that if they do not support NYCHA’s plans for new construction and/or a RAD conversion, they will not receive new appliances, elevators, and other capital improvement.

While NYCHA provides a vital source of low-rent housing to a diverse array of New Yorkers, many of its buildings are rapidly deteriorating and federal disinvestment has created a \$32 billion capital budget deficit. In exploring all available options to fund operations, necessary repairs, and upgrades, NYCHA 2.0 was developed to bring comprehensive repairs to NYCHA developments and improve the lives of our residents. NYCHA 2.0’s goal is to reduce the capital need Authority-wide by up to 75% by the end of 2028. Without the tools of NYCHA 2.0 to achieve these goals, the Authority cannot address the capital needs of its developments.

- When the Authority undertakes infill development that would require a zoning change, that zoning change must go through the Uniform Land Use Review Procedure (ULURP), including a City Council vote. Reliance on “mayoral zoning overrides,” which are not authorized by any State or City law, is both contrary to law and harmful to the public’s and residents’ right to contest land-use changes.

Mayoral zoning overrides are not contrary to law. If zoning changes are needed, NYCHA will determine on a case-by-case basis whether pursuit of a mayoral zoning override is appropriate.

- How many times has NYCHA used, or is intending to use, a mayoral override to bypass the ULURP process and by extension, the NYCHA residents?

NYCHA has requested overrides for a number of projects to preserve or create new affordable housing. Some examples include Soundview Senior Houses, Soundview Family Apartments, Markham Gardens Affordable Rental and Affordable Homeownership, Markham Manor Senior Housing, Mill Brook Senior Housing, Ingersoll Senior Housing, Betances V Senior Housing, Van Dyke III Affordable, Twin Parks West PACT, and Betances PACT.

Regardless of ULURP, resident engagement is a critical component of NYCHA 2.0, and is a required part of the process for HUD approval under RAD and Section 18.

- Does NYCHA plan to bypass the ULURP process for the development at Harborview if work on that project commences?

NYCHA has no immediate plans for new construction at Harborview Terrace at this time.

- Before NYCHA begins community engagement processes or puts out an RFP for new construction, NYCHA needs to hire experts to complete a thorough Environmental Review during which any/all potential environmental impacts on residents and the environment will be identified. Federal and state law requires NYCHA to prepare an environmental impact statement early in the process so that it serves as an important contribution to the decision-making process and it will not be used to rationalize or justify decisions already made. NYCHA must hold hearings that allow residents to voice their concerns about potential environmental impacts before the review is done so that resident concerns can be addressed as part of the environmental studies. Additionally, developers should be required to address any/all environmental problems that are identified in the study before any development begins. NYCHA should not take any action, including releasing an RFP for the construction of any buildings at any locations, before NYCHA completes the required environmental review.

All new construction and preservation projects on NYCHA land are subject to environmental review per the National Environmental Policy Act (“NEPA”), the State Environmental Quality Review Act (“SEQRA”), and/or the New York City Environmental Quality Review (“CEQR”). NYCHA conducts a SEQRA and/or CEQR Environmental Assessment Statement (“EAS”) and NEPA Environmental Assessment (“EA”) during pre-development, providing an analysis of the project’s potential effects on the environment. The CEQR/SEQRA EAS and NEPA EA require documentation of the proposed actions (for instance, all local, state and federal agency discretionary approvals and financing sources). The environmental review is conducted once the project sponsor is assigned, proposed discretionary actions are determined, and project design, or reasonable worst case development scenario, has been determined.

Based on the EA and EAS, a determination is made as to whether or not the project will have a significant adverse impact on the environment. Changes or mitigation measures may be required to reduce or eliminate impacts. If significant impacts that cannot be mitigated are identified, a positive declaration is issued, requiring completion of an Environmental Impact Statement.

- What are the City’s parameters for selling unused air rights? What will NYCHA’s community engagement process look like at Ingersoll Houses, one of the first developments chosen by NYCHA for the sale of unused air rights?

As part of the NYCHA 2.0 plan, NYCHA is analyzing the portfolio to determine sites with viable opportunities to transfer unused development rights to adjacent privately-owned sites to generate up to \$1B for capital repairs. NYCHA will issue Request(s) for Expression of Interest (“RFEI”) to cultivate potential projects. All the proceeds from these transfers will be used first for repairs to the adjacent developments.

NYCHA is committed to transparent resident engagement and community outreach. The 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. Pursuant to the Section 18 application submissions, 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 with meetings held with the Resident Advisory Board (“RAB”). 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 45 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. As part of the Section 18 process, NYCHA must consult with residents on specific proposals, and obtain NYCHA Board approval, prior to submitting an application to HUD.

The community engagement process for Ingersoll Houses has included the following meetings, with additional meetings planned for Fall 2019 and beyond:

DATE	MEETING	SUBJECT
3/29/18	Presentation to Resident Advisory Board (RAB) and Citywide Council of Presidents (CCOP)	Inclusion of Project in NYCHA 2019 draft Annual Plan
5/22/18	2019 Draft Annual Plan Public Hearing	Inclusion of Project in NYCHA 2019 draft Annual Plan
2/25/19	Resident Association Meeting	General Overview on Project
5/23/19	Section 18 Meeting with Resident Association	Project Proposal
6/24/19	Meeting with Local Elected officials	General Overview on Project
7/23/19	Meeting with Resident Association leadership and Local Elected officials	General Overview on Project
7/24/19	Meeting with Resident Association leadership and Local Elected officials	General Overview on Project
Fall 2019 (upcoming)	Resident Association Meeting	Use of Proceeds

- NYCHA needs to ensure that the income range of “affordable” units that a developer will be allowed to build, will be set aside for and made accessible to current Cooper Park residents who are underutilizing their units.

Please note that the Cooper Park proposal is no longer under consideration.

- NYCHA needs to set a minimum dollar amount that developers need to respond to for RFPs. NYCHA needs to ask for annual payments from every developer in addition to the “up front ground lease payments” that NYCHA is intending to receive.

NYCHA will take this recommendation under advisement. The ability to do this will vary by project. The main goal of NYCHA 2.0 is to generate revenue for repairs to existing NYCHA buildings.

- NYCHA should ask for ground lease payments that are least 75% of the capital repair needs at each of the developments included in proposed infill projects, along with mandated annual payments thereafter.

NYCHA will take this recommendation under advisement. The main goal of the Build to Preserve program is to generate revenue for repairs to existing NYCHA buildings.

- NYCHA should set 70% as an upper limit, not a fixed proportion, to the number of market rentals in mixed-income Infill projects. The proportion of market rentals should be lowered, where feasible, when the revenue generated is sufficient to meet the capital needs of the host development. The revenue generated for the host development should be placed in a special capital reserve account dedicated to capital improvements, so that the funds can be accounted for, separate from other NYCHA capital funds, and suitably allocated as planned. The account should be transparent, open to the resident association leaders and community stakeholders.

NYCHA will take this recommendation under advisement. The main goal of the Build to Preserve program is to generate revenue for repairs to existing NYCHA buildings. While affordable housing units provide a great benefit to the community, additional affordable units reduce the potential proceeds that can be used for repairs to existing NYCHA buildings. HUD requires that all proceeds from Section 18 dispositions be held in separate accounts, and HUD must approve of any use of these funds.

- NYCHA must contract with nonprofit developers for all PACT projects. NYCHA must adjust its PACT requirements so that development teams selected for future RFPs include local nonprofits that already serve each of the neighborhoods covered within a bundle. These nonprofits must also be equity partners that can make rehab and management decisions for the entire project.

As part of NYCHA 2.0, NYCHA has increased its PACT pipeline from 20,000 units to 62,000 units over 10 years. To achieve this goal, NYCHA is looking to partner with traditional large-scale development teams as well as local non-profits and M/W/SBE partners with roots in their respective communities. In April 2019, NYCHA announced the release of two complementary requests for qualifications (“RFQ”) to solicit prospective development partners. The RFQs enable NYCHA to streamline the PACT procurement process by creating pre-qualified lists of small-scale and large-scale developers, property managers, general contractors, and social service providers to partner on forthcoming conversions.

- NYCHA needs to prioritize nonprofit developers and locally-based community development corporations for Section 8 conversion projects.

NYCHA aims to ensure that all businesses have an equal opportunity to participate in all aspects of NYCHA projects. As such, RFP applicants are encouraged to take affirmative steps to include local non-profits and M/W/SBEs in their development team. Proposals with such partners will be scored favorably.

Additionally, in April 2019, NYCHA announced the release of two complementary requests for qualifications (“RFQ”) to solicit prospective large and small development, construction, property management, and social service partners. The RFQs enable NYCHA to streamline the PACT procurement process by creating pre-qualified lists that will include locally-based not-for-profit organizations.

- NYCHA should reconsider the bundled approach for PACT projects and pursue a more neighborhood-based process towards development. Having a locally based CDC is a must-have for the success of Section 8 conversions.

Under PACT, NYCHA bundles developments to ensure projects reach an appropriate economy of scale and in some cases, include enough units eligible for the more lucrative Tenant Protection Vouchers to ensure there is no gap in the financing of the projects.

- The capacity threshold for developers eligible to bid on RFPs needs to be lowered to allow for a wider range of community-based, mission-oriented organizations to participate. Recent “mega bundles” in Manhattan and the Bronx have been very large. Proposed conversion bundles need to be smaller in size, to open opportunities to a wider range of bidders.

NYCHA is looking to partner with traditional large-scale development teams as well as local non-profits and M/W/SBE partners with roots in their respective communities. In April 2019, NYCHA announced the release of two complementary requests for qualifications (“RFQ”) to solicit prospective large and small development, construction, property management, and social service partners. The RFQs enable NYCHA to streamline the PACT procurement process by creating pre-qualified lists that will include locally-based not-for-profit organizations.

- If an insufficient number of local CDCs responded to RFP #68035 for coverage in each of the targeted neighborhoods, NYCHA should draw from the first group of CDCs that receive prequalification to cover the RFP #68035 developments.

NYCHA uses a competitive process called a Request for Proposals (“RFP”) to select the development team that will renovate a property. For RFP #68035, development teams submitted proposals containing detailed information about its team members including the developer, social service provider, contractor, architect and property manager. Scoring takes into account locally based development team members and experience working in the neighborhoods where the developments are located.

- At each near-future candidate development, a Joint Planning Council (JPC) should be formed at the start of the planning process to explore available preservation options and propose a plan to meet the capital needs of the development. The JPC should include resident leaders,

community stakeholders, and relevant NYCHA staff. Ideally, an independent facilitator should moderate the discussions. Enough time should be provided to educate members about available preservation strategies; determine the scope of repairs, new construction (if any), amenities, and community services that are to be included; and arrive at a consensus proposal.

For PACT projects, engagement occurs throughout the development process in the form of meetings with residents before and after a Development Team is selected. The meetings cover topics such as Section 8, social services, the tenant-in-place renovation process, training and hiring, and any other issues that residents would like to discuss.

- NYCHA has responded to requests to identify in advance those developments that are candidates for PACT conversion. It should do the same for Infill candidates. For both programs a timeline should be projected, indicating which developments are near-future candidates and which are to be considered at a later point.

NYCHA will take these recommendations under advisement.

- Residents should be permitted to register their preferences for the development team. These preferences should be seriously considered in scoring bidders on PACT or Infill projects.

NYCHA will take this recommendation under advisement.

- Resident support for an Infill or PACT proposal should be a pre-condition before NYCHA moves forward with its plans. Majority resident consent should be required, as determined by a systematic ballot among residents.

NYCHA will take this recommendation under advisement.

- Residents should be able to register their preferences among developer/manager teams being considered by NYCHA. The RFP scoring process should give added value to development teams that include organizations with long-standing relationships in the community.

NYCHA will take this recommendation under advisement.

- NYCHA will have a presence in the LLC public-private partnership entity as a limited partner. A resident presence in that entity will provide a direct channel for resident feedback and initiative. Resident leaders—elected by resident ballot—should also have a seat in the new ownership entity.

NYCHA will take this recommendation under advisement.

- The Annual Plan does not mention Section 18 Tenant Protection Vouchers or the extent to which they will be used in PACT conversions, in addition to RAD. Where possible, specifics should be provided by development. RAD and Section 18 are not interchangeable.

NYCHA's FY 2020 Annual Plan includes information about when Section 18 applications for NYCHA projects were or will be submitted. Approved Section 18 applications may receive Tenant Protection Vouchers in the context of a RAD conversion.

- Ongoing monitoring and evaluation of the PACT conversion process—before and after conversion—is essential. NYCHA should commission an independent organization to monitor and evaluate PACT conversions, both during and post-conversion. The effort would

assess compliance with federal law, HUD regulations, and NYCHA guideline principles for resident rights and protections, as well as report on resident satisfaction and concerns. An evaluation report, with recommendations to improve the conversion process, should be released to the public every year.

NYCHA will take these recommendations under advisement.

ATTACHMENT P

**PIH NOTICE 2016-17-RENTAL ASSISTANCE DEMONSTRATION (RAD)
NOTICE REGARDING FAIR HOUSING AND CIVIL RIGHTS
REQUIREMENTS AND RELOCATION REQUIREMENTS APPLICABLE TO
RAD FIRST COMPONENT – PUBLIC HOUSING CONVERSION**



U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
Office of Public and Indian Housing
Office of Housing

Special Attention of:	Notice	H 2016-17 PIH 2016-17 (HA)
Public Housing Agencies		
Public Housing Hub Office Directors		
Public Housing Program Center Directors	Issued:	November 10, 2016
Multifamily HUB Directors		
Multifamily Program Center Directors	Effective:	November 10, 2016
Regional and Field Office Directors		
Regional Administrators	Expires:	This Notice remains in effect until amended, superseded, or rescinded
Performance Based Contract Administrators		
RAD Transaction Managers		
Regional Relocation Specialists	Supplements:	PIH Notice 2012-32 (HA) REV-2
	Supersedes:	H 2014-09/PIH 2014-17

SUBJECT: Rental Assistance Demonstration (RAD) Notice Regarding Fair Housing and Civil Rights Requirements and Relocation Requirements Applicable to RAD First Component – Public Housing Conversions.¹

SECTION 1. Purpose, Applicability and Major Provisions of this Notice

1.1. Purpose

This notice (Notice) provides PHAs,² Project Owners, and their RAD development partners with guidance regarding key fair housing and civil rights statutory and regulatory requirements, explains the situations in which HUD is requiring front-end fair housing and civil rights reviews, and provides information regarding the types of information that must be submitted to facilitate HUD’s review of certain fair housing and civil rights requirements in connection with public housing conversions under the First Component of RAD. This Notice also includes guidance

¹ While this Notice addresses fair housing and civil rights requirements and relocation requirements, the fair housing and civil rights requirements are not limited to relocation issues.

² Consistent with PIH Notice 2012-32 (HA) REV-2 (PIH 2012-32 (HA) REV-2) (the “RAD Notice”), this Notice uses the term “PHA” to refer to the owner of the project prior to the RAD conversion and “Project Owner” to refer to the owner of the project after the RAD conversion.

regarding key relocation statutory and regulatory requirements, and details relocation requirements under RAD. This Notice only applies to projects converting under the First Component of RAD; it does not apply to the Second Component of RAD.³

The RAD program was established as a tool for preserving and improving low-income housing stock. RAD is intended to facilitate reinvestment in or redevelopment of the long-term-affordable stock of HUD-assisted housing properties. RAD also provides mobility benefits for assisted residents of converted properties through the choice mobility option, allowing these households to access tenant-based Housing Choice Vouchers. In some cases, RAD can be a tool for transfer of rental assistance from distressed or poorly selected sites to new sites in high opportunity areas. In all cases, the objective is to better serve low-income residents and the broader community in complying with fair housing, other civil rights, and relocation laws.

This Notice provides PHAs and Project Owners with guidance relating to planning and implementing public housing (First Component) RAD conversions in a manner consistent with existing fair housing and other civil rights requirements, including, but not limited to, those associated with the Fair Housing Act, Title VI of the Civil Rights Act of 1964, Executive Order 11063, Section 504 of the Rehabilitation Act of 1973, Titles II and III of the Americans with Disabilities Act, the Architectural Barriers Act of 1968, and their implementing regulations. Section 4 of this Notice summarizes key provisions of existing law applicable to RAD transactions.

To further compliance with these existing requirements, PIH 2012-32 (HA) REV-2, issued June 15, 2015 (the “RAD Notice”) established that specific PHA decisions and activities planned to be part of a First Component RAD conversion must be reviewed by HUD prior to implementation (the “front-end” fair housing and civil rights reviews). Through a front-end review of the enumerated PHA decisions, HUD seeks to assist PHAs and Project Owners in meeting their fair housing, other civil rights, and relocation obligations. Section 5 of this Notice explains the situations in which HUD is requiring front-end fair housing, other civil rights, and relocation reviews, details the procedures for HUD’s front-end review and the type of information that must be submitted for these reviews, and the timeframes for these reviews.

Finally, in Sections 6 and 7 this Notice provides PHAs and Project Owners with guidance regarding RAD program and other statutory and regulatory relocation assistance requirements when planning for or implementing resident moves as a result of a conversion of a public housing project under RAD. This guidance includes reiterated and new requirements, the corresponding required reviews, and explanation of the interaction between RAD relocation procedures and certain existing public housing requirements. PHAs and Project Owners implementing RAD transactions may be subject to (a) the requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, (URA),

³ Important fair housing, other civil rights, and relocation considerations apply also to the Second Component of RAD as provided in the RAD Notice. Participants in the Second Component of RAD must continue to comply with applicable fair housing, civil rights, and relocation statutes and regulations, and HUD may, at any time, initiate compliance or enforcement actions in connection with such requirements. The RAD Notice will continue as the primary source of information on fair housing and other civil rights requirements covering the Second Component of RAD without any change until further notice.

(b) the requirements of Section 104(d) of the Housing and Community Development Act of 1974 (Section 104(d)) if CDBG or HOME funds are included as part of the project, (c) fair housing and other civil rights considerations implicated by relocation activities, and (d) requirements for relocating residents under the RAD Notice.

1.2. PHA and Project Owner Responsibilities

This Notice explains RAD's front-end fair housing and other civil rights review requirements in greater detail than was provided in the RAD Notice and this Notice restates and revises RAD's relocation requirements. However, the fair housing, other civil rights, and relocation requirements that apply to RAD conversions are neither limited to those discussed in this Notice, nor to those specifically reviewed by HUD in the front-end review.

MEETING HUD'S PROCESS AND REVIEW REQUIREMENTS NEVER CONSTITUTES COMPLIANCE WITH SUCH LAWS. THE OBLIGATION TO COMPLY WITH APPLICABLE FAIR HOUSING, OTHER CIVIL RIGHTS, AND RELOCATION LAWS REMAINS WITH THE PHA AND PROJECT OWNER.

The fair housing and civil rights requirements that apply to RAD conversions are not limited to those discussed in this Notice. PHAs and Project Owners are responsible at all times for ensuring that their RAD activities (including those activities implemented by their agents, consultants, contractors, or other RAD team members) comply with all applicable fair housing and civil rights requirements. PHAs and Project Owners shall be accountable for all fair housing and civil rights compliance issues with respect to their RAD activities, whether those activities are undertaken directly or through agents, consultants, contractors, or other RAD team members. While HUD provides this non-exhaustive guidance to assist PHAs and Project Owners during transactions, complying with the requirements set forth in this Notice does not necessarily mean that they, or their agents or consultants, are in compliance with fair housing and civil rights requirements.⁴

This Notice is not intended to, and shall not be construed to, reduce or in any way limit the application of fair housing, other civil rights, and relocation laws and regulations to RAD transactions. For example, HUD's reliance on a PHA's certification that a site meets the site and neighborhood standards required by the RAD Notice is not a determination of compliance with the duty to affirmatively further fair housing or other fair housing and civil rights requirements. As another example, HUD's approval of a site for new construction does not, by itself, constitute a determination of the PHA's compliance with all provisions of Title VI and its duty to affirmatively further fair housing found in the Fair Housing Act and other fair housing and civil rights requirements, nor indicate HUD's approval of the PHA's or locality's overall housing strategy. HUD's approval of a RAD conversion after front-end review reflects only that the project may proceed through the RAD conversion process; it does not constitute a determination

⁴ The PHA's or Project Owner's agents, consultants, contractors, and other RAD team members may also have fair housing and other civil rights obligations (whether under this Notice or otherwise) and the forgoing does not, in any way, limit the independent obligation of any such parties to ensure their own compliance with applicable fair housing and other civil rights laws.

that the project is in compliance with applicable fair housing, civil rights, and relocation requirements.

HUD's approval of a front-end review submission is based on limited information and is intended to assist the PHA or Project Owner in meeting their fair housing, civil rights, and relocation obligations.⁵ The PHA is responsible for ensuring that its RAD conversion is consistent with its certification to affirmatively further fair housing and complies with applicable civil rights laws.⁶ The front-end reviews described in this Notice shall not be construed to limit other fair housing and civil rights investigations that HUD may conduct. HUD retains all compliance and enforcement authority.

HUD's determination that the PHA or Project Owner has failed to meet submission, certification, or approval requirements with respect to fair housing, other civil rights, or relocation requirements is grounds for terminating a Commitment to enter into a Housing Assistance Payments Contract (CHAP), denying the issuance of a RAD Conversion Commitment (RCC), or denying authority to convert under RAD.

1.3. Applicability

The content of this Notice should not be relied upon in carrying out any other activities funded under any other HUD program, except where specifically directed by HUD.

This Notice supplements the RAD Notice with respect to fair housing and civil rights requirements applicable to public housing properties converting under RAD and with respect to all matters related to the relocation of residents as a result of RAD public housing conversions. To the extent that there is a conflict between this Notice and the RAD Notice, this Notice shall govern. This Notice replaces and supersedes Notice H 2014-09/PIH 2014-17 (issued July 14, 2014).

Upon issuance, the terms of this Notice will apply to all projects that have applied for conversion of assistance under the First Component of RAD but have not yet converted. As this Notice provides guidance, clarification, and explanation regarding fair housing and civil rights requirements that are already applicable to RAD conversions, this Notice shall not affect any front-end civil rights approvals provided by HUD prior to the effective date of this Notice and otherwise shall be effective with respect to front-end civil rights approvals without exception. However, with respect to relocation activities for Converting Projects under the First Component where a PHA has already submitted a Financing Plan pursuant to the RAD Notice at the time of issuance of this Notice, and provided that the Financing Plan has been accepted for full review after initial screening for completeness, the PHA may, within sixty (60) days after issuance of this Notice, request (in writing uploaded to the RAD Resource Desk) to be governed by H 2014-

⁵ For example, the front-end review is specific to an individual site. A PHA that does not promote fair housing choice outside areas of minority concentration and continues to site affordable housing in minority concentrated areas may be in noncompliance with the duty to affirmatively further fair housing and other fair housing and civil rights obligations, even if the specific site is approved based on the information provided and pursuant to the front-end review of the PHA's site and neighborhood standards submission.

⁶ See 24 C.F.R. § 5.105 and, as applicable, 24 C.F.R. § 983.57(b)(2) or Appendix III of the RAD Notice.

09/PIH 2014-17. For such projects and where otherwise appropriate in cases of hardship as determined by HUD, HUD may apply the terms of H 2014-09/PIH 2014-17 with respect to relocation activities, but not with respect to fair housing and civil rights requirements.

RAD projects which have been awarded Choice Neighborhoods Implementation (CNI) grants are subject to the provisions of the applicable Choice Neighborhoods Notice of Funding Availability (NOFA) and grant agreement regarding site and neighborhood standards and are not subject to the RAD front-end civil rights transaction reviews described in this Notice. For properties being redeveloped with funding under a CNI grant, the relocation requirements set forth in this Notice are superseded by guidance regarding relocation included in the CNI NOFA. Permanent involuntary displacement of public housing or Section 8 assisted residents may not occur as a result of a Choice Neighborhood project's conversion of assistance.

1.4. Explanation of Major Provisions

This Notice adds to and revises pre-existing guidance related to fair housing, civil rights, and relocation (as contained in the RAD Notice and H 2014-09/PIH 2014-17) with respect to RAD transactions. Among the key provisions and changes are the following:

Fair Housing & Civil Rights

- Reaffirms the applicability of fair housing and civil rights requirements to all RAD-related activities (see, e.g., Section 3.3 and Section 4);
- Reiterates when HUD front-end civil rights review (originally outlined in the RAD Notice) is required in addition to the PHA's analysis and certification of compliance, to assist the PHA and Project Owner to comply with fair housing and civil rights requirements (see Section 5.3);
- Outlines certain conditions under which HUD will conduct a front-end review to determine whether the site is in an area of minority concentration relative to the site's housing market area (see Section 5.4(A));
- Provides guidance, for purposes of the RAD front-end civil rights review, on the concepts of "area of minority concentration" and "housing market area" that are reviewed when determining whether a site is in an area of minority concentration (see Section 5.4(B));
- Elaborates on specific information that HUD will consider, and that PHAs should provide evidence of, in order for a proposed site to meet the existing exceptions to permit new construction in an area of minority concentration, identifies presumptions for meeting the sufficient comparable opportunities exception and describes factors that HUD may consider in evaluating the overriding housing needs exception (see Section 5.4(C) and Section 5.4(D));
- Articulates issues that HUD will consider in completing the front-end civil rights review for transfers of assistance, including, for example, accessibility and minority concentration (see Section 5.5);
- Outlines the information to be submitted for HUD's front-end civil rights review of transactions where unit reductions, unit reconfigurations, or changes in occupancy are proposed (see Section 5.6);
- Identifies the situations where front-end civil rights reviews are required when changes in the accessibility features of a site are made (see Section 5.7(B)); and

- Prohibits the Project Owner of a Converted Project with a PBRA HAP contract from initiating any new leasing or marketing activities (other than leasing and outreach to households holding a right to return to the Covered Project), including the solicitation, distribution or acceptance of applications or development of a waiting list, until HUD has approved the Affirmative Fair Housing Marketing Plan (“AFHMP”) (see Section 5.8).

Relocation

- Requires PHAs or Project Owners to prepare a written relocation plan for all transactions that involve permanent relocation or temporary relocation anticipated to exceed 12 months (see Section 6.1);
- Requires PHAs to provide residents with a RAD Information Notice (RIN) in order to ensure that residents are informed of potential project plans and of their rights in connection with RAD prior to submission of the RAD application (see Section 6.6(A));
- Clarifies that the General Information Notice (GIN), when applicable, should be provided as soon as feasible and no later than 30 days following the issuance of the CHAP (see Section 6.6(B));
- Requires Project Owners to provide a notification of Return to the Covered Project, when applicable (see Section 6.6(F));
- Moves the date before which PHAs are prohibited from beginning any physical relocation earlier in the conversion process (specifically, from the date of Closing to the later of the effective date of the RCC and the expiration of the 30- or 90-day RAD Notice of Relocation period, as applicable) (see Section 6.8);
- Clarifies the specific requirements applicable to different types of relocation (e.g., moves within a property, temporary relocation of less than 12 months, etc.) (see, e.g., Section 6.4);
- Provides enhanced guidance on the right to return requirements, any offers of alternative housing options and the documentation that must be retained when tenants choose an alternative housing option and decline their right to return (see, e.g., Section 6.2 and Section 6.10);
- Describes how HUD has administratively implemented URA requirements and URA relocation assistance and payments for displaced persons, when applicable, to residents who choose to decline the right of return and, instead, choose voluntary permanent relocation (see, e.g., Section 6.4(C) through (F) and Section 6.10);
- Requires PHAs to maintain detailed data regarding each household that will be relocated, with key dates of notices and moves (see Section 6.9); and
- Identifies key fair housing and civil rights requirements applicable during relocation (see, e.g., Section 4).

1.5. Request for Public Comment

HUD acknowledges the complexity of the issues addressed in this Notice. This Notice is effective immediately upon issuance, but HUD also seeks comment from the public regarding the clarity and organization of the Notice and regarding areas where the policies and procedures described are unclear or ambiguous. HUD will consider whether changes in response to comments are justified and will implement any appropriate changes in a revision of this Notice. Please submit all comments to RAD@hud.gov within 30 days of the issuance of this Notice.

1.6. Paperwork Reduction Act

In accordance with the Paperwork Reduction Act (PRA), HUD may not conduct or sponsor, and a person is not required to respond to, a collection of information unless the collection displays a currently valid OMB control number. OMB approved information collection forms will be posted on the RAD website and the Federal Register.

SECTION 2. Table of Contents

The contents of this Notice are divided into the following parts:

SECTION 1. Purpose, Applicability and Major Provisions of this Notice	1
1.1. Purpose.....	1
1.2. PHA and Project Owner Responsibilities	3
1.3. Applicability	4
1.4. Explanation of Major Provisions	5
1.5. Request for Public Comment.....	6
1.6. Paperwork Reduction Act.....	7
SECTION 2. Table of Contents.....	8
SECTION 3. Background.....	10
3.1. RAD Authority.....	10
3.2. Definitions.....	10
3.3. Applicable Legal Authorities.....	10
3.4. Further Information.....	11
SECTION 4. Generally Applicable Fair Housing and Civil Rights Requirements Relevant Throughout the RAD Conversion Process.....	11
SECTION 5. Application of Key Fair Housing and Civil Rights Requirements to RAD Transactions	17
5.1. RAD Eligibility Review.....	17
5.2. PHA’s Proposed Site Selection and Certification.....	18
5.3. RAD Front-End Civil Rights Transaction Review	20
A) Activities Subject to Front-End Civil Rights Review	20
B) Fair Housing, Civil Rights, and Relocation Checklist	22
C) Timing of Front-End Review Submissions	23
D) Completion of HUD’s Front-End Review.....	23
5.4. Front-End Civil Rights Review for RAD Transactions Involving New Construction ..	24
A) Conditions Triggering Review	24
B) Analysis of Areas of Minority Concentration	25
C) The Sufficient Comparable Opportunities Exception	26
D) The Overriding Housing Needs Exception	30
5.5. Front-End Civil Rights Review for RAD Transactions Involving Transfer of Assistance	32
A) Applicable Standards.....	32
B) Analysis of Transfers of Assistance	33
5.6. Front-End Civil Rights Review for RAD Transactions Involving Reduction in Number of Units, Changes in Bedroom Distribution of Units and Changes in Occupancy Requirements	34
A) Review of Reductions in the Number of Units, Reductions or Increases in the Number of UFAS Accessible Units or Changes in Bedroom Distribution	34
B) Review of Changes in Occupancy Type	36
5.7. Other Front-End Civil Rights Review for RAD Transactions.....	36
A) Conversions of Assistance in Which the Construction Schedule Indicates that Relocation is Likely to Exceed 12 Months.	36

B)	Conversions of Assistance Involving New Construction or Substantial Alteration, as those terms are defined by Section 504.	36
C)	Remedial Agreements and Orders.....	37
5.8.	Affirmative Fair Housing Marketing Plan (AFHMP) Requirements for Projects Converting to PBRA Assistance.....	37
SECTION 6. RELOCATION REQUIREMENTS		38
6.1.	Planning	39
6.2.	Resident Right to Return.....	41
6.3.	Admissions and Continued Occupancy Requirements	43
6.4.	Types of Moves and Relocation	43
A)	Moves within the same building or complex of buildings	43
B)	Temporary relocation lasting one year or less.....	44
C)	Temporary relocation initially expected to last one year or less, but which extends beyond one year	44
D)	Temporary relocation anticipated to last more than one year	44
E)	Permanent moves in connection with a transfer of assistance	45
F)	Voluntary permanent relocation.....	46
6.5.	Initiation of Negotiations (ION) Date.....	46
6.6.	Resident Relocation Notification (Notices).....	46
A)	RAD Information Notice.....	47
B)	General Information Notice (49 C.F.R. § 24.203(a)).....	48
C)	Notice of Intent to Acquire (49 C.F.R. § 24.203(d)).....	49
D)	RAD Notice of Relocation	49
E)	URA Notice of Relocation Eligibility – for residents whose temporary relocation exceeds one year (49 C.F.R. § 24.203(b)).....	52
F)	Notification of Return to the Covered Project.....	53
6.7.	Relocation Advisory Services.....	53
6.8.	Initiation of Relocation	54
6.9.	Records and Documentation; Resident Log	54
6.10.	Alternative Housing Options	56
A)	Requirements for Any Offer of Alternative Housing Options	56
B)	Assisted Housing Options as Alternatives	57
C)	Monetary Elements Associated With Alternative Housing Options.....	58
D)	Disclosure and Agreement to Alternative Housing Options	58
6.11.	Lump Sum Payments	60
SECTION 7. APPLICABILITY OF HCV AND PUBLIC HOUSING REQUIREMENTS		60
7.1.	HCV Waiting List Administration Unrelated to the RAD Transaction.....	60
7.2.	HCV Waiting List Administration Related to the RAD Transaction	61
7.3.	Public Housing Transfers Unrelated to the RAD Transaction.....	61
7.4.	Resident Initiated Public Housing Transfers Related to the RAD Transaction.....	62
7.5.	Public Housing as a Temporary Relocation Resource.....	62
7.6.	Terminations (Including Evictions) and End of Participation Unrelated to the RAD Transaction	63
7.7.	Right-Sizing.....	63

SECTION 3. Background

3.1. RAD Authority

RAD is authorized by the Consolidated and Further Continuing Appropriations Act of 2012 (Pub. L. No. 112-55, enacted November 18, 2011), as amended by the Consolidated Appropriations Act, 2014 (Public Law 113-76, enacted January 17, 2014), the Consolidated and Further Continuing Appropriations Act, 2015 (Public Law 113-235, enacted December 6, 2014), and the Division L, Title II, Section 237 of the Consolidated Appropriations Act (Public Law 114-113, enacted December 18, 2016), collectively and as it may be further amended from time to time, the “RAD Statute.” RAD allows certain eligible properties to convert assistance to long-term project-based Section 8 contracts and has two separate components. The First Component allows projects funded under the public housing program to convert their assistance to long-term, project-based Section 8 rental assistance contracts. Under this component of RAD, public housing agencies (PHAs) may choose between two different Section 8 housing assistance programs: project based vouchers (PBVs) or project-based rental assistance (PBRA). The “Second Component” of RAD allows owners of projects funded under the Rent Supplement (Rent Supp), Rental Assistance Payment (RAP), and Moderate Rehabilitation programs to convert certain units to PBV or PBRA Section 8 units following certain contract expirations or terminations. The RAD Statute is implemented by the RAD Notice.

3.2. Definitions

All capitalized terms defined in the RAD Notice, as amended, shall have the definitions ascribed to them therein unless otherwise specifically noted in this Notice.⁷ Pre-conversion projects whose assistance is converting from public housing to Section 8 under RAD are referred to in the RAD Notice and in this Notice as “Converting Projects.” Post-conversion projects are referred to in the RAD Notice and this Notice as “Covered Projects.”

3.3. Applicable Legal Authorities

Appendix I to this Notice identifies key legal authorities with respect to fair housing, civil rights, and resident relocation. Part 2 of Appendix I provides greater detail regarding federal accessibility requirements set forth in three of the legal authorities described in Appendix I,

⁷ Many of the fair housing and civil rights concepts used throughout this Notice are terms of art that are defined in applicable statutes and regulations identified in Appendix I of this Notice, while others have been developed through judicial interpretation. PHAs and Project Owners should familiarize themselves with these terms of art and should consult 42 U.S.C. § 3602 (Fair Housing Act); 24 C.F.R. §§ 5.152-100.20 (Fair Housing Act); 42 U.S.C. §§ 2000d-2000d-4a (Title VI of the Civil Rights Act of 1964); 24 C.F.R. § 1.2 (Title VI); 29 U.S.C. § 705 (Rehabilitation Act); 24 C.F.R. § 8.3 (Section 504); 42 U.S.C. §§ 12102, 12132, 12181 (Americans with Disabilities Act (ADA)); 28 C.F.R. § 35.104 (Title II of the ADA); and 28 C.F.R. § 36.104 (Title III of the ADA). In addition, many of the relocation concepts are terms of art that are defined in 42 U.S.C. § 4601 *et seq.* (Uniform Relocation Act (URA)), Section 104(d) of the Housing and Community Development Act of 1974 codified at 42 U.S.C. § 5304(d), and their implementing regulations at 49 C.F.R Part 24 and 24 C.F.R. Part 42 subpart C.

Part 1. PHAs and Project Owners must be familiar with these legal authorities and must evaluate, based on the facts of their situation, which legal authorities are applicable in which situations. **Failure to comply with any legal authority as applicable to the PHA's or Project Owner's actions or inactions may result in liability under such authority.** Appendix I does not attempt to provide a complete and exhaustive explanation of the legal authorities, nor to fully inventory the situations in which each legal authority is applicable. Instead, Appendix I is an overview intended to serve as a general introduction or reminder for PHAs and Project Owners of these fair housing, other civil rights, and relocation authorities and to facilitate their identification of appropriate topics for further research or expert counsel. The recitation of these legal authorities neither expands nor diminishes their applicability to the PHA's and Project Owner's activities in connection with their RAD conversion.

The RAD Statute authorizes the Secretary of HUD to waive or specify alternative requirements for certain provisions of law, except for requirements related to, among others, fair housing and nondiscrimination.⁸ In addition to the general application of various federal statutes and their implementing regulations as discussed in Appendix I, below, HUD regulations at 24 C.F.R. § 5.105 apply such authorities to all HUD programs, including RAD.

3.4. Further Information

Because each RAD proposal varies in its scope, this Notice may not address each PHA's or Project Owner's specific circumstances. PHAs and Project Owners should carefully review the laws, regulations, notices, and guidance material referenced in this Notice. Any questions related to the administration of the RAD program should be referred to the appropriate RAD Transaction Manager (TM) or may be emailed to rad@hud.gov.

SECTION 4. Generally Applicable Fair Housing and Civil Rights Requirements Relevant Throughout the RAD Conversion Process

This Section provides a summary overview of key principles regarding program implementation and an overview of generally applicable fair housing and civil rights requirements. Appendix I identifies the key legal authorities from which these principles are derived. These key principals, together and with the legal authorities identified in Appendix I, frame the PHA's efforts to implement a RAD conversion. In some cases, these requirements are particularly relevant to the process of planning the RAD conversion, while in others they have particular relevance for the structure of the RAD transaction itself, and in yet other cases, both. Elements of RAD transactions that have civil rights implications include, but are not limited to, transfers of assistance, temporary and permanent relocation, demolition, site selection, new construction, occupancy policies, changes in unit configuration, increases or reductions in units, waiting list administration policies, policies regarding return of temporarily relocated tenants, substantial rehabilitation or alteration, program accessibility, tenant selection policies and priority transfers, providing information to and communicating with persons with Limited English Proficiency (LEP) and persons with disabilities, reasonable accommodation policies, and Affirmative Fair

⁸ See Pub. L. No. 112-55, as amended.

Housing Marketing Plans (AFHMPs). All PHAs must consider civil rights when structuring these and other elements of their RAD transaction.

RAD transactions are governed by the same civil rights authorities that govern HUD-assisted activities generally.⁹ Converting Projects are subject to civil rights and equal opportunity requirements under the public housing regulations, and Covered Projects are subject to civil rights and equal opportunity requirements under the PBV regulations or the PBRA regulations, as applicable.¹⁰ As described further below, the Fair Housing Act prohibits discrimination in housing¹¹ and requires all federal executive departments and agencies to “administer their programs and activities relating to housing and urban development ... in a manner affirmatively to further” fair housing.¹² In addition, all programs or activities receiving Federal financial assistance are subject to Title VI of the Civil Rights Act of 1964 forbidding discrimination on the basis of race, color, and national origin¹³ and Section 504 of the Rehabilitation Act of 1973, which forbids discrimination on the basis of disability and requires that programs or activities receiving Federal financial assistance make such programs or activities “when viewed in its entirety” readily accessible to persons with disabilities and make reasonable accommodation to the needs of persons with disabilities.¹⁴ RAD transactions are also subject, as applicable, to the requirements of Titles II and III of the Americans with Disabilities Act, Executive Order 11063, and HUD regulations at 24 C.F.R. part 107. Thus, as with the administration of all HUD programs and all HUD-assisted activities, fair housing and civil rights issues must be considered in the administration of the RAD program. PHAs must not implement actions and policies that may have a discriminatory effect on the basis of race, color, sex, national origin, religion, disability, or familial status or that may impede, obstruct, prevent, or undermine efforts to affirmatively further fair housing.¹⁵ Note, in particular, the following requirements:

- **Affirmatively Furthering Fair Housing (AFFH):** The Fair Housing Act requires that HUD administer its programs and activities in a manner that affirmatively furthers the purposes of the Fair Housing Act. The Fair Housing Act not only prohibits discrimination but, in conjunction with other statutes, directs HUD’s recipients, including PHAs, to take significant actions to overcome historic patterns of segregation, achieve truly balanced and integrated living patterns, promote fair housing choice, and foster inclusive communities that are free from discrimination. Through various statutes, regulations, and executive orders, PHAs must take various actions in accordance and in conjunction with their Fair Housing Act obligation to affirmatively further fair housing. For example, under regulations implementing the United States Housing Act of 1937 (the Act), HUD recipients must, among other requirements, certify that they will affirmatively further fair housing. In addition, under HUD’s Affirmatively Furthering Fair Housing (AFFH) rule promulgated July 16, 2015, PHAs must periodically conduct an Assessment

⁹ See 24 C.F.R. § 5.105.

¹⁰ See, e.g., 24 C.F.R. §§ 880.601, 881.601 and 983.8 for civil rights related regulations applicable to PBV and PBRA transactions.

¹¹ See 42 U.S.C. §§ 3601 *et seq.*, and HUD regulations in 24 C.F.R. part 100

¹² 42 U.S.C. § 3608(d) and (e).

¹³ See 42 U.S.C. §§ 2000d *et seq.*, and HUD regulations in 24 C.F.R. part 1.

¹⁴ See 29 U.S.C. §§ 701 *et seq.*, and HUD regulations in 24 C.F.R. part 8.

¹⁵ See 24 C.F.R. part 1 and part 100 subpart G.

of Fair Housing (AFH) as set out by the rule, either individually or in collaboration with other program participants.¹⁶ Under the AFFH rule, in order to develop a successful affirmatively furthering fair housing strategy, the PHA must assess the elements and factors that cause, increase, contribute to, maintain, or perpetuate segregation, racially or ethnically concentrated areas of poverty, significant disparities in access to opportunity, and disproportionate housing needs. PHAs must ensure that their activities in connection with a RAD conversion are consistent with their AFH, including any applicable joint or regional AFH in which they are a joint participant, and with any applicable Analysis of Impediments to Fair Housing Choice (AI), Fair Housing Equity Assessment, PHA 5-Year Plan, PHA Annual Plan, Moving to Work (MTW) Plan, or related planning documents and other regulatory and programmatic requirements implementing the obligation to affirmatively further fair housing to which they are a party.¹⁷

- **Nondiscriminatory Site Selection:** HUD’s site and neighborhood standards require that the proposed site is suitable from the standpoint of facilitating and furthering full compliance with the applicable provision of Title VI of the Civil Rights Act, the Fair Housing Act, Executive Order 11063, and Department regulations implementing these authorities. The site must meet the Section 504 site selection requirements in 24 C.F.R. § 8.4(b)(5). Additional provisions appear in 24 C.F.R. § 983.57(b) of the PBV rules and, for PBRA, in Appendix III of the RAD Notice. HUD’s Title VI regulation specifically prohibits site selection that has the “purpose or effect of excluding individuals from, denying them the benefits of, or subjecting them to discrimination” on the basis of race, color, or national origin.¹⁸ The Title VI regulations also impose an obligation on the part of an applicant or recipient of HUD financial assistance to take actions to overcome the effect of prior discrimination or conditions that limit participation by persons of a particular race, color, or national origin.¹⁹ In addition, HUD’s Section 504 regulation prohibits recipients from selecting sites the purpose or effect of which would (1) exclude qualified individuals with disabilities from or deny them the benefit of a program or activity, or otherwise subject them to discrimination; or (2) defeat or substantially impair the accomplishment of the objectives of the program or activity with respect to qualified individuals with disabilities.²⁰ ADA regulations likewise prohibit site selections that have the purpose or effect of excluding individuals with disabilities (including members of the public with disabilities), denying them benefits, or subjecting them to discrimination.²¹ Finally, the Fair Housing Act prohibits discriminatory site selection, including perpetuation of segregation in transfers of assistance and new construction.
- **Meaningful Access for Persons with Limited English Proficiency (LEP):** The PHA or Project Owner is required to take reasonable steps to ensure (a) they provide meaningful access to programs and activities for persons who have a limited ability to read, speak, or understand English; (b) any person with LEP who will be temporarily relocated or

¹⁶ 24 C.F.R. § 5.150 *et seq.*

¹⁷ *See* 24 C.F.R. § 5.150 *et seq.* and 24 C.F.R. §§ 91.225, 91.325, or 91.425.

¹⁸ *See* 24 C.F.R. § 1.4(b)(3).

¹⁹ *See* 24 C.F.R. § 1.4(b)(6).

²⁰ *See* 24 C.F.R. § 8.4(b)(5).

²¹ *See* 28 C.F.R. § 35.130(b)(4); 28 C.F.R. § 36.301.

permanently displaced has meaningful access to any public meetings regarding the project; and (c) they provide meaningful access to LEP persons to any information provided to residents including, but not limited to, any relocation notices. Generally, the PHA or Project Owner will be responsible for providing oral interpreters at meetings, including ensuring their competence, and covering any associated translation and interpretation costs.²²

- **Effective Communication for Persons with Disabilities:** Communications and materials must be provided in a manner that is effective for persons with hearing, visual, and other communication-related disabilities consistent with Section 504 of the Rehabilitation Act of 1973 (24 C.F.R. § 8.6) and with 49 C.F.R. § 24.5, and as applicable, the Americans with Disabilities Act. This includes ensuring that, unless such actions would result in undue financial and administrative burdens or fundamental alterations, notices and resident meetings are provided in appropriate alternative formats as needed, e.g., Braille, audio, large type, accessible electronic communications, assistive listening devices, and sign language interpreters. Even in cases where the proposed actions may result in undue financial and administrative burdens or fundamental alterations, certain actions must still be taken. Specifically, appropriate auxiliary aids and services that would not result in such undue burdens or fundamental alterations must still be provided to ensure effective communication.
- **Accessible Meeting Facilities for Persons with Disabilities:** Pursuant to regulations implementing Section 504 of the Rehabilitation Act of 1973 and the Americans with Disabilities Act of 1990, as applicable, all programs and activities must be held in accessible locations unless doing so would result in an undue financial and administrative burden on the PHA and/or Project Owner, in which case the PHA or Project Owner must take any action that would not result in such undue burden but would nevertheless ensure that individuals with disabilities receive the benefits and services of the program or activity, e.g., briefings at an alternate accessible site or in-home briefing.²³ Individuals with disabilities must receive services in the most integrated setting appropriate to their needs. The most integrated setting appropriate to the needs of qualified individuals with disabilities is a setting that enables individuals with disabilities to interact with persons without disabilities to the fullest extent possible.²⁴

²² For more information about LEP obligations, see HUD's Limited English Proficiency (LEP) Frequently Asked Questions guidance at

http://portal.hud.gov/hudportal/HUD?src=/program_offices/fair_housing_equal_opp/promotingfh/lep-faq#q26.

²³ In selecting locations for consultation with residents, the PHA and/or Project Owner shall be guided by the goal of maximizing participation in an integrated setting so that residents with disabilities and residents without disabilities may hear and consider each other's views. Priority shall be given to using on-site accessible locations (including, e.g., TV rooms or informal gathering places), even if doing so may require multiple sessions with smaller groups of residents. In addition, Title III of the Americans with Disabilities Act requires private entities that operate places of public accommodation, including social service establishments, leasing offices of private housing developments, and certain private housing providers, to comply with certain physical accessibility requirements which are similar to the requirements under Section 504 and Title II.

²⁴ See 28 C.F.R. part 35, Appendix B.

- **Accessibility for Persons with Disabilities Throughout the Planning and Implementation Process:** A number of accessibility requirements, including but not limited to site selection, apply to all RAD conversions, as they do to the PHA's activities regardless of the PHA's participation in RAD.²⁵ PHAs and Project Owners should also be aware that state or local laws, regulations, and codes may contain greater accessibility requirements. This Notice provides, in Appendix I, Part 2, an overview of accessibility requirements under existing law. The information in Appendix I, Part 2 is intended to assist with the PHA's or Project Owner's compliance with accessibility requirements. PHAs and Project Owners must review Appendix I, Part 2 early-on in planning for the RAD transaction. PHAs and Project Owners may determine that it is most efficient to address accessibility matters early in the project planning. In addition, PHAs and Project Owners must evaluate, throughout the transaction and based on the facts of their situation, which requirements are applicable in which situations to ensure they appropriately address accessibility requirements. PHAs and Project Owners are responsible for ensuring that the architectural drawings and construction comply with the PHA's and Project Owner's obligations and all Federal civil rights requirements, including accessibility requirements under the Fair Housing Act, Section 504, and the ADA.

Accessibility requirements also apply during all stages of a RAD transaction, including during relocation. Existing information (e.g., resident characteristics forms, including identification of the need for accessible unit features; records of approved reasonable accommodations; and records of the presence of accessible unit features) and the residents themselves should be consulted throughout the process of developing and implementing a RAD conversion. Related activities include, but are not limited to:

- Identifying and maintaining existing and pending reasonable accommodations, including the need for larger units to accommodate live-in aides or special equipment;
- Determining what direct services may be needed as a reasonable accommodation (e.g., packing, moving, identification of temporary housing);
- Identifying accessible unit features and assuring that temporary or permanent replacement housing contains comparable features;
- Budgeting appropriately to ensure that reasonable accommodations are addressed.

For more information about compliance with accessibility requirements, the PHA or Project Owner should refer to appropriate notices concerning civil rights requirements and may contact HUD's Office of Fair Housing and Equal Opportunity in either the Washington, D.C. or applicable field offices for more specific guidance. For additional, non-exhaustive guidance on providing relocation assistance to persons with disabilities, see Exhibit 3-1 in HUD Handbook 1378.

²⁵ For more detailed information on these laws and their requirements, see PIH Notice 2010-26, issued July 26, 2010 (available at <http://www.hud.gov/offices/pih/publications/notices/10/pih2010-26.pdf>). While this notice has an expiration date in 2011, because the notice summarizes and discusses regulatory requirements, the information in the notice provides helpful guidance.

- Reasonable Accommodations in Rules, Policies, Practices and Services:** Under the Fair Housing Act, the PHA or Project Owner must make reasonable accommodations in rules, policies, practices, and services when such accommodations may be necessary to afford a person with a disability an equal opportunity to use and enjoy a dwelling.²⁶ Under Section 504, the PHA or Project Owner must also make reasonable accommodations to residents with disabilities, which may include providing and paying for structural modifications to dwelling units and public or common use areas. Titles II and III of the ADA provide similar requirements. Common examples of reasonable accommodations that may occur during relocation are permitting an individual with a disability to relocate near public transportation, providing a unit larger than otherwise permitted for a live-in aide, and making exceptions to no-animal rules for assistance and service animals. Accommodations generally need not be made where providing such an accommodation would be an undue financial and administrative burden or a fundamental alteration of the nature of the service. However, reasonable accommodations must be made to the extent the accommodation does not impose an undue financial and administrative burden or a fundamental alteration of the nature of the service. Reasonable accommodations must follow the individual with the disability throughout the RAD process, including during relocation. Furthermore, PHAs and Project Owners may be required to provide particular reasonable accommodations during relocation, such as assistance moving household items.²⁷
- Physical Changes to Dwelling Units, Public and Common Use Areas and Other Facilities for Accessibility:** Under the Fair Housing Act, the PHA or Project Owner may be required to permit reasonable modifications. A reasonable modification is a structural change made to existing premises, occupied or to be occupied by a person with a disability, in order to afford such person full enjoyment of the premises. Reasonable modifications can include structural changes to interiors and exteriors of dwellings and to common and public use areas. A request for a reasonable modification may be made at any time during the tenancy. When relocating an individual with a disability who has such modifications in their dwelling unit or public and common use areas because of the individual's disability, regardless of who made them, the PHA or Project Owner has an obligation to provide and pay for such modification in the new dwelling. When considering requests by individuals with disabilities for structural changes to units or public and common use areas, PHAs and Project Owners should take particular note that they may be required to make and pay for such structural modifications as reasonable

²⁶ For additional information regarding reasonable accommodations under the Fair Housing Act, *see* the Joint Statement of the Department of Housing and Urban Development and the Department of Justice, Reasonable Accommodations Under the Fair Housing Act (May 17, 2004), at <http://www.hud.gov/offices/fheo/library/huddojstatement.pdf>.

²⁷ *See* 49 C.F.R. part 24, Appendix A, § 24.2(a)(8)(vii), which states that under the URA, "Reasonable accommodation of a displaced person with a disability at the replacement dwelling means the Agency is required to address persons with a physical impairment that substantially limits one or more of the major life activities. In these situations, reasonable accommodation should include the following at a minimum: Doors of adequate width; ramps or other assistance devices to traverse stairs and access bathtubs, shower stalls, toilets and sinks; storage cabinets, vanities, sink and mirrors at appropriate heights. Kitchen accommodations will include sinks and storage cabinets built at appropriate heights for access. The Agency shall also consider other items that may be necessary, such as physical modification to a unit, based on the displaced person's needs."

accommodations under Section 504 and because of similar requirements under the ADA even though the Fair Housing Act may only require the owner to allow such changes to be made and paid for by the individual with a disability. Before determining that they are not required to make or pay for structural changes, PHAs and Project Owners are encouraged to consider carefully their obligations under each applicable statute.

SECTION 5. Application of Key Fair Housing and Civil Rights Requirements to RAD Transactions

The generally applicable fair housing and other civil rights requirements described above, and in Appendix I, apply throughout the planning and implementation of a RAD transaction and the PHA is responsible for ensuring compliance with these requirements. As key requirements may be misunderstood, the RAD program has established specific additional procedures to assist RAD participants to ensure they comply with the applicable requirements. Specifically, the RAD Notice established a civil rights eligibility review and criteria for front-end civil rights reviews.

This Section elaborates on these requirements from the RAD Notice. The front-end review procedures described below establish procedures and criteria for the supplemental front-end review and technical assistance, criteria which are specific to the RAD program. Criteria for this supplemental front-end review are informed by, but not the same as, fair housing or civil rights rules and policies generally.

This Section is organized to loosely follow the stages of a RAD conversion transaction, beginning with RAD eligibility and continuing through site selection, transfer of assistance, unit design requirements and marketing. In addition, this Section describes the timing and procedures for submitting data and documents to HUD so that HUD may complete its front-end review. The submission procedures are also designed to serve as a tool for PHAs to identify issues of potential concern at appropriate stages of the RAD conversion and as a tool for HUD to identify potential needs for technical assistance.

5.1. RAD Eligibility Review

To be eligible for RAD, the PHA must meet all eligibility requirements set forth in Section 1.3 of the RAD Notice, including the civil rights threshold requirements found at Section 1.3.G of the RAD Notice. A PHA must not have a charge, cause determination, lawsuit, or letter of findings, referenced in Section 1.3.G of the RAD Notice, against the PHA itself, its transferees, proposed development partners, or sub-recipients that has not been resolved, or is not in the process of being resolved, to HUD's satisfaction. This determination shall be made prior to issuance of the CHAP.

The CHAP may be revoked by HUD if HUD determines that the terms of the conversion would be inconsistent with fair housing and civil rights laws or a fair housing or civil rights court order, settlement agreement, or voluntary compliance agreement. HUD may terminate a CHAP or RCC if it determines that the terms of the conversion would be inconsistent with fair housing or civil rights laws or is inconsistent with, would hinder, or would delay satisfaction of a fair housing or civil rights court order, settlement agreement, or voluntary compliance agreement.

HUD may terminate an approval to proceed with a RAD conversion if it determines that the terms of the conversion would be inconsistent with fair housing or civil rights laws or a fair housing or civil rights court order, settlement agreement, or voluntary compliance agreement.

5.2. PHA's Proposed Site Selection and Certification

For all RAD conversions, the PHA must comply with all applicable site selection requirements as set forth in this Notice and the RAD Notice and in accordance with any additional applicable published guidance provided by HUD. As set forth in the RAD Notice, conversions of assistance to PBV involving new construction, whether on a new site or on a current site, are subject to the site selection standards set forth in 24 C.F.R. § 983.57(a), (b), (c) and (e), but excluding 24 C.F.R. § 983.57(b)(1) and (c)(2). All other conversions to PBV, including transfers of assistance to an existing property other than the Converting Project, are subject to the standards set forth in 24 C.F.R. § 983.57(a), (b), (c) and (d), but excluding 24 C.F.R. § 983.57(b)(1) and (c)(2).²⁸ Site selection requirements set forth at Appendix III of the RAD Notice apply to RAD conversions to PBRA assistance, as does the requirement not to place housing in neighborhoods with highly concentrated poverty based on the criteria formulated for transfers under Section 8(bb) of the United States Housing Act of 1937.²⁹ PBV and PBRA site selection must also be consistent with the requirements of the Fair Housing Act, Title VI, Section 504, the ADA and their implementing regulations.

It is the PHA's responsibility to ensure that the site selection complies with all applicable site selection requirements, including the requirements of this Notice and the RAD Notice. Pursuant to the RAD Notice, the PHA must certify with the submission of its Annual Plan, Significant Amendment to its Annual Plan, or MTW Plan that it complies with the applicable site selection requirements and must maintain records of its analysis and the data relied upon in making its determination of compliance. The PHA must also determine and subsequently state in the certification that the site is "suitable from the standpoint of facilitating and furthering full compliance with the applicable provisions of Title VI of the Civil Rights Act of 1964, Title VIII of the Civil Rights Act of 1968, Executive Order 11063, and HUD regulations issued pursuant thereto."³⁰ Although this Notice provides detail regarding certain civil rights-related site and neighborhood standards, PHAs must certify compliance with all applicable site and neighborhood standards.³¹

The PHA must also certify that, in conducting its review of site selection for the proposed project, the PHA completed a review with respect to accessibility for persons with disabilities and that the proposed site is consistent with applicable accessibility standards under the Fair Housing Act, Section 504, and the ADA. The site and neighborhood standards for PBV and PBRA require the site to be "suitable from the standpoint of facilitating and furthering full compliance with" the Fair Housing Act and require the site to meet the Section 504 site selection

²⁸ See the provisions of Section 1.6.A.4 of the RAD Notice.

²⁹ 42 U.S.C. § 1437f(bb).

³⁰ For RAD conversions to PBRA, the RAD Notice uses the term "the site and neighborhood is suitable," rather than "the site is suitable." See Appendix III of the RAD Notice, paragraph (a).

³¹ See 24 C.F.R. § 983.57 and the RAD Notice at Section 1.4(A)(7)

requirements described in 24 C.F.R. § 8.4(b)(5).³² The Fair Housing Act, as implemented at 24 C.F.R. § 100.205, requires “covered multifamily dwellings” built for first occupancy after March 13, 1991, to contain accessible design features. HUD’s Section 504 regulations at 24 C.F.R. § 8.4(b)(5) require that, in determining the site or location of a federally assisted facility, an applicant for assistance or recipient may not make selections the purpose or effect of which would: (i) exclude qualified individuals with disabilities from, deny them the benefits of, or otherwise subject them to discrimination under, any program or activity that receives Federal financial assistance from HUD, or (ii) defeat or substantially impair the accomplishment of the objectives of the program or activity with respect to qualified individuals with disabilities. Title II of the ADA contains a similar requirement that a public entity, such as the PHA, may not, in determining the site or location of a facility, make selections (i) that have the effect of excluding individuals with disabilities from, denying them the benefits of, or otherwise subjecting them to discrimination; or (ii) that have the purpose or effect of defeating or substantially impairing the accomplishment of the objectives of the service, program, or activity with respect to individuals with disabilities.³³ Factors relevant to a site review under these standards may include, among others:

- Site features, such as inaccessible slopes in routes, lack of accessible sidewalks, curb ramps, accessible parking spaces, and placement of dumpsters or other physical features that would impede access to and movement within the site;
- Building features, such as inaccessible building entrances, other methods of ingress and egress, public and common use areas (e.g., the rental office, parking areas, mail areas, trash areas, community rooms, shared use toilet rooms, laundry facilities and walkways inside and outside that connect these public and common use areas to units), and barriers to access by members of the public; and
- Lack of accessible transit or para-transit and accessible public sidewalks and accessible transportation stops.

When such conditions are present at the site and would exclude individuals with disabilities from, deny them the benefits of, or otherwise subject them to discrimination, or would defeat or substantially impair the accomplishment of the objectives of the program or activity with respect to individuals with disabilities, the site must not be selected unless the proposal includes remediation of the barriers to achieve compliance with accessibility requirements (including identification and remediation of any nonconforming design and construction conditions in “covered multifamily dwellings” under the Fair Housing Act). Remediation of the barriers may include, for example, physical accessibility improvements to the site, arrangements for access to accessible supportive services, or reasonable accommodations for current or prospective residents with disabilities, including members of the public. The Financing Plan submitted to HUD must describe and document resources sufficient to pay for the remediation of accessibility barriers.³⁴

³² See 24 C.F.R. § 983.57(b)(2) (PBV conversions); *see also*, Appendix III (a) of the RAD Notice (PBRA conversions).

³³ See 28 C.F.R. § 35.130(b)(4).

³⁴ In conducting its review prior to certification, and in preparing for the certification, PHAs and Project Owners may find it useful to consult with their local or regional FHEO office, the United States Access Board, local or state

While all PHAs must certify their compliance with applicable site selection requirements as described in this Section, some RAD transactions will also be subject to a front-end review of the site selection. For transactions involving activities that present site selection issues of greater complexity, as described in Sections 5.3 through 5.5 below, front-end review will allow HUD's Office of Fair Housing and Equal Opportunity (FHEO) to assist the PHA to consider relevant laws and regulations while completing its site selection review and certification.

5.3. RAD Front-End Civil Rights Transaction Review

Fair Housing Act and other civil rights issues may arise throughout a RAD transaction. Under the Fair Housing Act, an assessment of site suitability includes an analysis of the impact that the siting of the project would have on patterns of segregation for protected classes. The Fair Housing Act is of particular importance when a RAD proposal concerns site selection for new construction or reconfiguration of housing on the original public housing site – for example, the unit size distribution (e.g., conversion of larger bedroom size units to one-bedroom units, which may have an adverse impact on housing opportunities for families with children) or a reduction in the number or distribution of accessible units (which may have an adverse impact on housing opportunities for persons with disabilities). RAD conversions involving new construction must also comply with the Fair Housing Act's accessibility requirements.

Compliance with all applicable fair housing and civil rights requirements is the responsibility of both the PHA and the Project Owner. However, to assist with compliance, HUD's Office of Fair Housing and Equal Opportunity (FHEO) will conduct a front-end civil rights review of project proposals containing activities identified as particularly at risk of violating applicable fair housing and civil rights laws. The activities that must be submitted for front-end civil rights review are listed in Section 5.3(A), below.

A) Activities Subject to Front-End Civil Rights Review

All RAD conversions that include one or more of the activities listed below (Sections 5.3(A)(1) through 5.3(A)(9)) are subject to a front-end review for compliance with certain civil rights and fair housing requirements. The specific items that HUD will review in the front-end review will depend on which activities are involved in the specific transaction. A RAD conversion may not include one of the activities below without prior written approval from HUD. All Financing Plans must include evidence that the PHA has secured written approval from HUD for any of the following activities that are included in its RAD conversion:

- (1) Conversions of assistance involving new construction, whether on a new site or on a current site, in an area of minority concentration. Front-end review of this activity shall be pursuant to Section 5.4(B), below and, in addition, the PHA shall

architectural access board or other accessibility authority for information on accessibility standards. Other sources of information on accessibility requirements may include protection and advocacy organizations or independent living centers. In addition, the non-HUD resources may provide advice on how to assess accessibility needs and formulate physical accessibility strategies.

certify in its Annual Plan compliance with site and neighborhood standards applicable to new construction as described in Section 5.2.

- (2) Transfers of assistance where all or a portion of the Converting Project's assistance is transferred to a new site(s) (either new construction or to an existing project) as part of the subject transaction. Front-end review of this activity shall be pursuant to Section 5.5(B), below and, in addition, the PHA shall certify in its Annual Plan compliance with site and neighborhood standards applicable to existing housing as described in Section 5.2.
- (3) Conversions of assistance where the total number of units in the Covered Project is less than the original number of units in the Converting Project (this includes de minimis reductions). Front-end review of this activity shall be pursuant to Section 5.6.
- (4) Conversions of assistance where the Covered Project's unit configuration is different from the unit configuration of the Converting Project. Front-end review of this activity shall be pursuant to Section 5.6.
- (5) Conversions involving a change in occupancy, where the Covered Project serves a different population from the one served by the Converting Project (e.g., when a Converting Project serves families but the Covered Project is subject to an elderly preference or introduction of restrictions or preferences based on age or disability that will change the occupancy of the property). Front-end review of this activity shall be pursuant to Section 5.6.
- (6) Conversions of assistance in which the construction schedule indicates that relocation is likely to exceed 12 months. Front-end review of this activity shall be pursuant to Section 5.7(A).
- (7) Conversions of assistance involving new construction or substantial alteration,³⁵ as those terms are defined in Section 504 of the Rehabilitation Act of 1973. Front-end review of this activity shall be pursuant to Section 5.7(B).
- (8) Conversions of assistance involving a Converting Project subject to a Voluntary Compliance Agreement or Conciliation Agreement with HUD or a Consent Decree or Settlement Agreement with the U.S. Department of Justice or HUD, or where the PHA is subject to such an agreement affecting its entire housing portfolio or otherwise related to the Converting Project. Front-end review of this activity shall be pursuant to Section 5.7(C).

³⁵ Section 504 defines substantial alteration of a housing project as alterations where a housing project has 15 or more units, and the rehabilitation costs will be 75% or more of the replacement cost of the completed facility. *See* 24 C.F.R. § 8.23 (a).

- (9) Conversions of assistance where HUD has identified potential fair housing and civil rights concerns or a history of such concerns. Front-end review of this activity shall be pursuant to Section 5.7(C).

PHAs should note that a proposed RAD conversion may trigger front-end review regarding more than one of the activities listed in subsections (1) through (9) of this Section. For example, depending on the details of the proposal, a new construction on-site project could require review under subsections (1), (3), (4), (5), (6), and (7), or could require review under only subsections (1) and (7).

As part of HUD's review of these elements of the RAD conversion plans, HUD may require that PHAs that are carrying out portfolio or multi-phased conversions provide information on their conversion plans for other projects or subsequent phases to ensure that the overall plans for RAD conversion are consistent with civil rights and fair housing.

B) Fair Housing, Civil Rights, and Relocation Checklist

In connection with HUD's front-end fair housing and civil rights and relocation reviews described in this Section 5 and in Section 6, HUD is requiring submission of a Fair Housing, Civil Rights, and Relocation Checklist (the "Checklist"). The Checklist will facilitate the PHAs' and Project Owners' submission of necessary information to complete these reviews.³⁶ HUD anticipates that a revised Checklist, when available following Paperwork Reduction Act approval, will be separated into parts which can be submitted incrementally as the PHA and Project Owner develop the RAD transaction plans, with different elements of the Checklist applicable at different stages of the transaction planning process. For example, submissions regarding site selection for a RAD transaction involving new construction may occur well before submissions regarding a proposal to change the unit configuration.

The Checklist will outline the minimum information or documentation which HUD will need in order to review each part of the Checklist. After HUD's initial review of any portion of the Checklist, HUD may determine that the data provided in the Checklist is insufficient for HUD to complete its review, in which case HUD may require the PHA or Project Owner to provide supplemental information. The PHA should submit each part as early as possible once the information covered in the applicable part is known. All information specified in the applicable

³⁶ The Checklist is available at www.hud.gov/rad. As of the publication of this Notice, references to the Checklist refer to the existing FHEO Accessibility and Relocation Plan Checklist under OMB Approval 2577-0276. The PHA shall use the existing Checklist to provide information related to demonstrating compliance with fair housing, other civil rights, and relocation requirements (including accessibility requirements) and, as necessary, may require additional materials for HUD to complete its review, which the PHA may provide in such form as the PHA determines appropriate. Also at www.hud.gov/rad, HUD has provided a listing of information that, depending on the circumstances, HUD may require to complete different components of its front-end review. The Checklist is being revised to fully capture the submission requirements described in this Notice. The revised Checklist will be subject to Paperwork Reduction Act approval and will be posted at the website listed above when available for use.

part of the Checklist must be submitted to HUD for HUD to begin its civil rights review – partial submissions of any applicable part of the Checklist will not be accepted.³⁷

C) Timing of Front-End Review Submissions

PHAs and Project Owners are encouraged to submit applicable portions of the Checklist and information associated with a particular activity subject to front-end review as early as possible in the development of their plans. The PHA must ensure that HUD has approved all applicable parts of the Checklist prior to submission of the Financing Plan. Upon request from the PHA, HUD may, at HUD's sole discretion, permit submission of the Financing Plan prior to receipt of approval of the applicable parts of the Checklist and conditioned upon subsequent receipt of such approvals, in which event the PHA and Project Owner may proceed at their own risk.

Early approval of the site of the Covered Project is critical for RAD transaction proposals subject to front-end civil rights review involving site selection standards, specifically new construction in areas of minority concentration (see Section 5.3(A)(1)) and transfers of assistance (see Section 5.3(A)(2)). The PHA must conduct its own assessment of the site during the early stages of planning its RAD transaction. The guidance in this Notice and the Checklist are tools intended to assist the PHA in conducting its own assessment of the site.

The PHA must provide HUD with the Checklist and backup information sufficient for HUD to review the site with respect to the applicable standards. The site selection information should be provided to HUD no later than ninety (90) days following the issuance of the CHAP or, if the CHAP has already been issued as of the publication of this Notice, within ninety (90) days following publication of this Notice. In the event of a change in plans for the Converting Project that would require a front-end review of the site selection standards, the PHA must provide the Checklist and backup documentation within sixty (60) days of the change in plans. PHAs are strongly encouraged to provide front-end review submissions and secure HUD approval prior to applying for LIHTCs or taking action the reversal of which (in the event of non-approval of the site) would be detrimental to the PHA or the Project Owner. PHAs are also encouraged to contact FHEO for technical assistance prior to submission of these materials.

All PHAs shall submit a certification consistent with the requirements of Section 5.2, above. This certification may be prepared specifically in connection with the Checklist or as part of the PHA Annual Plan or Significant Amendment. However, HUD will not consider a submission complete for front-end civil rights review without this certification. All RAD conversions must submit the PHA certification described in Section 5.2 no later than at the time of submission of the Financing Plan.

D) Completion of HUD's Front-End Review

HUD will not approve a RAD conversion if HUD determines that the conversion would operate to discriminate in violation of applicable fair housing and civil rights laws. HUD will not approve proposals that have the purpose, intent, or effect of discriminating on the basis of

³⁷ The Checklist refers to the existing FHEO Accessibility and Relocation Checklist until a revised Checklist is approved for use pursuant to the Paperwork Reduction Act.

protected class (*i.e.*, race, color, national origin, religion, sex, disability, and familial status). If HUD does not approve a proposed activity based on a front-end review, then it will provide a written description of concerns or deficiencies. The PHA may resubmit the front-end review materials with a changed proposal and/or with additional information addressing HUD's concerns and any deficiencies in the proposal or the submission.

In some circumstances, a special condition to the transaction's RCC will be necessary to ensure that a RAD transaction conforms to fair housing and civil rights requirements. Special conditions to the RCC reflect the conditions necessary in order to complete the RAD conversion. For example, if there is an outstanding remedial agreement or order requiring particular development activities or operating policies to correct a violation of a fair housing or other civil rights requirement, the RCC generally will condition participation in RAD upon agreement by the PHA or the Project Owner, as applicable, to comply with the provisions of such agreements or orders after conversion.

5.4. Front-End Civil Rights Review for RAD Transactions Involving New Construction

A) Conditions Triggering Review

If the proposed project is located in an area of minority concentration, the new site may be approved only if it falls under a permitted exception and meets the other site selection requirements described in Section 5.2. Under the PBV and PBRA site and neighborhood standards, HUD may approve new construction in an area of minority concentration, consistent with the regulatory requirements cited above, only if:

- a. Sufficient, comparable housing opportunities for minority families in the income range to be served by the proposed project exist outside areas of minority concentration; or
- b. The project is necessary to meet overriding housing needs that cannot be met in that housing market area.³⁸

As described in the RAD Notice and in Section 5.3(A) of this Notice, above, HUD will conduct a front-end civil rights review of the PHA's proposed site in certain circumstances. This Notice specifies that for conversions of assistance involving new construction where there are indications that the site may be located in an area of minority concentration per the criteria in subsections (i), (ii), or (iii), below (whether the construction is located on the existing public housing site or on a new site), HUD will conduct a front-end civil rights review of the site to determine whether the site is in an area of minority concentration and, if so, whether it meets one of the exceptions that would allow for new construction in an area of minority concentration.

The PHA shall submit for HUD front-end review the PHA's findings, together with backup documentation, regarding site selection when the site meets any of the following criteria:

- i. The PHA self-identifies the area of the site as an area of minority concentration,

³⁸ 24 C.F.R. § 983.57(e)(3) and Appendix III of the RAD Notice, paragraph (e).

- ii. The census tract of the site meets the extent of minority concentration described in Section 5.4(B)(1), below, or
- iii. An area comprised of the census tract of the site together with all adjacent census tracts, analyzed as a whole, meets the extent of minority concentration described in Section 5.4(B)(1), below.

If any of these three criteria is applicable, HUD will conduct a review to determine whether the site is in an area of minority concentration and, if applicable, whether the proposed site fits one of the exceptions permitting new construction in an area of minority concentration described in this Section 5.4. A proposed RAD transaction which does not meet one of these triggers must still be evaluated by the PHA and the PHA must certify compliance with the site selection requirements as described in Section 5.2, above.

A PHA seeking to undertake new construction must receive written approval from HUD of any site selection subject to front-end review prior to entering into any construction contract for that new construction.

B) Analysis of Areas of Minority Concentration

This Section sets forth the methodology that HUD will use in the analysis of the extent of minority concentration, the area of the site, and the housing market area for purposes of the RAD front-end civil rights review. As noted below, this analysis is fact specific and PHAs may submit documentation to inform HUD's analysis in cases where there is strong evidence that an alternative methodology would be more appropriate.

- (1) For purposes of RAD, a site is considered to be in an area of minority concentration when either (i) the percentage of persons of a particular racial or ethnic minority within the area of the site is at least 20 percentage points higher than the percentage of that minority group in the housing market area as a whole or (ii) the total percentage of minority persons within the area of the site is at least 20 points higher than the total percentage of minorities in the housing market area as a whole.³⁹
- (2) For purposes of RAD, the analysis of an area of minority concentration will use census tracts to approximate the "area" of the site but the analysis may consider alternate proposed geographies instead of the census tract in instances where there is strong evidence that such geography is more appropriate. Strong evidence that an alternative geography is more appropriate includes: (i) that the site is close to the edge of the census tract, (ii) that the population of the census tract is heavily influenced by the size of the Converting Project, or (iii) that the local community

³⁹ The percentage of minorities shall be calculated by subtracting the percentage of White Non-Hispanic persons in the relevant area from 100%. The analysis shall be based on the most recently available decennial census data found at http://factfinder.census.gov/faces/tableservices/jsf/pages/productview.xhtml?pid=DEC_10_DP_DPDP1&src=pt. However, if such data is more than five years old, and if either the PHA or HUD requests the use of more recent data based on such party's awareness of significant and material shifts in the demographics of the relevant area in the intervening years, the analysis shall be based on the most recent American Communities Survey data.

understanding of the immediate neighborhood dictates a different boundary. Local community understanding of the immediate neighborhood is often informed by factors such as patterns of housing stock (such as different residential densities in different areas or differential housing prices for similar properties), community facilities and amenities (such as schools and commercial areas) or major geographic barriers (such as rivers or interstate highways), among other factors.⁴⁰ HUD will determine the site's "area" using the best available evidence and following the legal standards set forth in applicable case law.

- (3) For purposes of the RAD analysis under this Section 5.4, a "housing market area" is the geographic region from which it is likely that residents of housing at the proposed site would be drawn for a given multifamily housing project. A housing market area generally corresponds to, as applicable: (i) the Metropolitan Statistical Area (MetroSA); (ii) the Micropolitan Statistical Area (MicroSA); or (iii) if the site is in neither a MetroSA nor a MicroSA, either (x) the county or statistically equivalent area, or (y) the PHA's service area, whichever is larger.⁴¹ The analysis may consider a larger or smaller housing market area in instances where there is strong evidence that such housing market area is more appropriate. Strong evidence that an alternative housing market area is more appropriate may include factors such as regional employment centers and commuting patterns serving such employment centers. A PHA seeking to use an alternative housing market area must consult with HUD and establish to HUD's satisfaction that the methodology for identifying and documenting the alternative housing market area is warranted and sound.

C) *The Sufficient Comparable Opportunities Exception*

As required by the RAD Notice and noted in Section 5.4(A), one of the exceptions under which the site and neighborhood standards permit new construction in areas of minority concentration is if sufficient, comparable housing opportunities for low-income minority families exist outside areas of minority concentration. This section clarifies HUD's procedures for assessing comparable housing opportunities and evaluating how the proposed new construction will impact the balance of housing choices within and outside areas of minority concentration. It also includes a list of the information PHAs should submit to inform HUD's assessment of relevant factors, and key considerations guiding HUD's analysis of each factor.

Under the governing PBV and PBRA requirements, units are considered comparable opportunities if they are the same household type (e.g., elderly, disabled, family, large family), tenure type (owner, renter), require approximately the same total tenant payment toward rent,

⁴⁰ For further explanation, see, e.g., *King v. Harris*, 464 F.Supp.827, 839-41 (E.D.N.Y. 1979).

⁴¹ Items (i) and (ii) are consistent with a Core Based Statistical Area as defined by the Office of Management and Budget. For reference, a Core Based Statistical Area consists of the county or counties or equivalent entities associated with at least one core (urbanized area or urban cluster) of at least 10,000 population, plus adjacent counties having a high degree of social and economic integration with the core as measured through commuting ties with the counties associated with the core.

serve the same income group, are located in the same housing market area, and are in standard condition.⁴²

It is important to note that the sufficient comparable housing opportunities exception “does not require that in every locality there be an equal number of assisted units within and outside of areas of minority concentration. Rather, application of this standard should produce a reasonable distribution of assisted units each year, that, over a period of several years, will approach an appropriate balance of housing choices within and outside areas of minority concentration. An appropriate balance in any jurisdiction must be determined in light of local conditions affecting the range of housing choices available for low-income minority families and in relation to the racial mix of the locality’s population.”⁴³

HUD will assess “the overall impact of HUD-assisted housing on the availability of housing choices for low-income minority families in and outside areas of minority concentration, and must take into account the extent to which the following factors are present, along with other factors relevant to housing choice.”⁴⁴ Under this exception, it is not sufficient for one factor to be present, nor is it required that all factors be present, as the analysis must consider all relevant facts and evaluate the totality of the circumstances.

- “A significant number of assisted housing units are available outside areas of minority concentration.”⁴⁵ While HUD must consider all factors relevant to housing choice, 30% or more of deeply subsidized housing units for very low-income persons would be a significant number. To facilitate HUD’s consideration of this factor, a PHA should provide the number, occupancy type, and location of all comparable assisted units.⁴⁶
- “There is significant integration of assisted housing projects constructed or rehabilitated in the past 10 years, relative to the racial mix of the eligible population.”⁴⁷ To facilitate HUD’s consideration of this factor, a PHA should provide the name and location of assisted housing projects constructed or rehabilitated in the PHA’s jurisdiction in the past 10 years and the demographic characteristics of the residents of each of these projects;
- “There are racially integrated neighborhoods in the locality.”⁴⁸ To facilitate HUD’s consideration of this factor, a PHA should provide the name and census tracts where these racially integrated neighborhoods are located. In general, HUD will consider a neighborhood racially integrated if the neighborhood does not have a high concentration of persons of a particular race or ethnicity when compared to the housing market area in which the neighborhood is located.

⁴² See 24 C.F.R. § 983.57(e)(3)(iv) and Appendix III of the RAD Notice, paragraph (e)(1)(A).

⁴³ 24 C.F.R. § 983.57(e)(3)(iii); *see also* Appendix III of the RAD Notice, paragraph (e)(1).

⁴⁴ 24 C.F.R. § 983.57(e)(3)(v); *see also* Appendix III of the RAD Notice, paragraph (e)(1)(B).

⁴⁵ 24 C.F.R. § 983.57(e)(3)(v)(A) and Appendix III of the RAD Notice, paragraph (e)(1)(B)(i).

⁴⁶ Note that this factor is in reference to comparable assisted units that may or may not be in the PHA’s portfolio. The presumption stated at the end of this Section (i.e., that sufficient comparable opportunities exist if at least 50% of the comparable hard units in the PHA’s portfolio, including PBV developments using the PHA’s subsidy, are outside areas of minority concentration) is focused on units within the PHA’s portfolio.

⁴⁷ 24 C.F.R. § 983.57(e)(3)(v)(B) and Appendix III of the RAD Notice, paragraph (e)(1)(B)(ii).

⁴⁸ 24 C.F.R. § 983.57(e)(3)(v)(C) and Appendix III of the RAD Notice, paragraph (e)(1)(B)(iii).

- “Programs are operated by the locality to assist minority families that wish to find housing outside areas of minority concentration.”⁴⁹ Such programs may include measures such as increasing payment standards in excess of 110% of FMR or the use of Small Area FMRs, including in setting exception rents, or reservation of a percentage of HCVs dedicated to support choice mobility selections or implementation of proven mobility counseling and supports for residents, provided the PHA provides sufficient evidence that it will continue such measures. To facilitate HUD’s consideration of this factor, a PHA should provide the names of the applicable program(s); the entity responsible for implementing the program(s) (e.g., city, county, state government); and any information demonstrating that the program(s) has been successful or predictably will achieve success in assisting persons who wish to move to non-concentrated areas.
- “Minority families have benefited from local activities (e.g., acquisition and write-down of sites, tax relief programs for homeowners, acquisitions of units for use as assisted housing units) undertaken to expand choice for minority families outside of areas of minority concentration.”⁵⁰ To facilitate HUD’s consideration of this factor, a PHA should provide the names of the applicable activity(s); the entity responsible for implementing the activity(s) (e.g., city, county, state government); and any information demonstrating that the activity(s) has been successful in expanding choice for minority families outside of areas of minority concentration;
- “A significant proportion of minority households has been successful in finding units in non-minority areas under the tenant-based assistance programs” (e.g., the Housing Choice Voucher programs).⁵¹ To facilitate HUD’s consideration of this factor, a PHA should provide the number of minority households receiving Housing Choice Vouchers; the number of minority households using HCVs in non-minority areas; and the non-minority census tracts where the HCVs are being used. While each local situation is distinct and HUD must consider all factors relevant to housing choice, 30% or more of new leases signed by minority heads of household using HCVs located in non-minority areas over a period greater than three years prior to the date of HUD’s analysis would be a significant proportion.
- “Comparable housing opportunities have been made available outside areas of minority concentration through other programs.”⁵² To facilitate HUD’s consideration of this factor, a PHA should describe the opportunities that have been made available, the location of those opportunities, and the number of minority families that have benefitted from the program in recent years. Such programs could include choice mobility strategies, acquisition strategies to acquire and add to the PHA’s portfolio existing apartments in high opportunity areas and transfers of assistance to high opportunity areas.

HUD may consider evidence based on a reliable housing market analysis in evaluating the foregoing factors, along with other factors relevant to housing choice. In the event HUD

⁴⁹ 24 C.F.R. § 983.57(e)(3)(v)(D); *see also* Appendix III of the RAD Notice, paragraph (e)(1)(B)(iv).

⁵⁰ 24 C.F.R. § 983.57(e)(3)(v)(E); *see also* Appendix III of the RAD Notice, paragraph (e)(1)(B)(v).

⁵¹ 24 C.F.R. § 983.57(e)(3)(v)(F); *see also* Appendix III of the RAD Notice, paragraph (e)(1)(B)(vi).

⁵² 24 C.F.R. § 983.57(e)(3)(v)(G) and Appendix III of the RAD Notice, paragraph (e)(1)(B)(vii).

determines such an analysis would assist in this evaluation, HUD will consult with appropriate parties to establish or accept an appropriate methodology for such an analysis to address HUD's civil rights concerns and to ensure appropriate independence between the analyst and the PHA or Project Owner commissioning and paying for the study.

Absent information to the contrary, for purposes of HUD's front-end review of the PHA's analysis, HUD will apply a presumption that sufficient comparable opportunities exist if at least 50% of the comparable hard units in the PHA's portfolio, including PBV developments using the PHA's subsidy, are outside areas of minority concentration.⁵³ The PHA's portfolio includes all public housing, PBV and PBRA hard units (including those developed under HOPE VI or Choice Neighborhoods) controlled by the PHA and its instrumentalities or funded using PHA-controlled subsidy. Upon adequate documentation of this presumption, the PHA need not provide additional documentation for HUD's front-end review of the sufficient comparable opportunities exception. This presumption may be rebutted by information to the contrary, including information regarding the preceding factors. In assessing whether sufficient comparable opportunities exist when the presumption does not apply, HUD will consider the factors listed above.

Absent information to the contrary, for purposes of HUD's front-end review of the PHA's analysis, HUD will apply a presumption that sufficient comparable opportunities exist if a set of RAD conversions from a single public housing property, individually or in a combination of transactions, will result in the creation of as many similarly-affordable housing units outside areas of minority concentration as are constructed on the original public housing site. To evaluate the creation of similarly-affordable units, HUD will compare (i) the number of affordable units that will be redeveloped on site, to (ii) the number of similarly-affordable housing units that will be created through new construction, imposition of new long-term affordability restrictions or transfer of RAD assistance to one or more sites outside areas of minority concentration.⁵⁴ Similarly-affordable shall mean RAD units compared to RAD units and LIHTC/non-RAD units compared to LIHTC/non-RAD units. The newly created similarly-affordable units must be owned, controlled, sponsored, under common ownership, control or sponsorship, or financially supported by the PHA or by an entity with a managing ownership interest in the Project Owner. When a PHA seeks to claim this exception, HUD prefers that the transaction creating the similarly-affordable units on the site outside areas of minority concentration close (with an immediate or delayed HAP effective date, if applicable) prior to the closing of the RAD conversion in the area of minority concentration. However, if the PHA determines that such a sequence is not reasonably possible, unless otherwise approved by HUD the PHA must provide evidence to HUD that the transfer of assistance to a site outside areas of

⁵³ When determining the percentage of units outside of areas of minority concentration, the PHA must include the number of units planned at the proposed site in its calculations. While not required, PHAs or Project Owners may assist HUD in consideration of this presumption by submitting to HUD a map produced by the Affirmatively Furthering Fair Housing Data and Mapping Tool ("AFFH-T"), as may be available on the HUD website from time to time, showing the location of publicly assisted housing.

⁵⁴ For example, if the PHA proposes to build 25 RAD units, 20 non-RAD LIHTC units and 15 unrestricted units on-site, such a plan could be acceptable if paired with creation of 15 RAD units at one site and 10 RAD units plus 20 non-RAD LIHTC units at a second site. The 15 unrestricted units in the minority concentrated area are not part of the analysis as they are not affordable units.

minority concentration is highly likely to occur and the PHA must contractually agree with HUD to create such units. Evidence that the transfer is highly likely to occur must include:

- The project name and property address of the site of the similarly-affordable units to be created,
- The census tract and data to confirm that it is not in an area of minority concentration,
- Evidence of site control,
- Evidence of zoning to permit construction of the similarly-affordable units if the affordable units are to be created through new construction,
- A reasonable and feasible sources and uses statement for the transaction, and
- Evidence of financing commitments exceeding 90% of the necessary sources to complete the transaction. Evidence of financing commitments must include an LIHTC allocation if the use of LIHTCs is projected.

D) The Overriding Housing Needs Exception

As noted in Section 5.4(A), the second exception under which the site and neighborhood standards permit new construction in areas of minority concentration is if the project is necessary to meet overriding housing needs that cannot be met in that housing market area. The new construction site selection standards under RAD⁵⁵ outline two examples of circumstances, consistent with fair housing and other civil rights objectives, that would permit the application of the overriding housing needs exception: (1) when the site is “an integral part of an overall local strategy for the preservation or restoration of the immediate neighborhood;” or (2) when the site is “located in a neighborhood experiencing significant private investment that is demonstrably improving the economic character of the area (a “revitalizing area”).”⁵⁶

(1) Establishing that a Site is an Integral Part of an Overall Local Strategy for the Preservation or Restoration of the Immediate Neighborhood

To establish that a site is an integral part of an overall local strategy for the preservation or restoration of the immediate neighborhood, a PHA must document that the locality has a demonstrated commitment to revitalization that includes or is in addition to the RAD conversion, as demonstrated by the following:

- i. The site is located in a defined geographic area that is the subject of an official, currently operational and realistically achievable plan for the improvement or revitalization of the immediate neighborhood (which plan may include areas beyond the immediate neighborhood); and
- ii. The Covered Project conforms to, and the site is integral to, the goals, strategies, and objectives of the improvement or revitalization plan.

⁵⁵ See 24 C.F.R. § 983.57(e)(2) for PBV transactions and paragraph (e) of Appendix III of the RAD Notice for PBRA transactions.

⁵⁶ 24 C.F.R. § 983.57(e)(3)(vi); see also Appendix III of the RAD Notice, paragraph (e)(1)(B)(viii)(2). In demonstrating an overriding housing need, the “neighborhood” is determined in each situation based on the overall facts and circumstances and cannot be mechanically determined. The “immediate neighborhood” is generally a smaller geographic area than the “neighborhood.”

In determining whether such an official, currently operational and realistically achievable plan for the improvement or revitalization of the area exists, HUD will consider relevant factors including, for example, whether:

- The strategy itself, or a plan supporting the strategy, has been enacted, adopted, or ratified by a municipal, county, or state legislative body;
- There has been progress to implement the plan, or the strategy as a whole.⁵⁷
- The plan or strategy as a whole, or the elements applicable to the Covered Project, are consistent with the jurisdiction's land use or zoning code, development regulations, or other official body of laws or rules;
- Strategies or activities under the plan are incorporated in current public, quasi-public agency or major institutional work plans;
- The plan, or the strategy as a whole, includes objectives and initiatives related to the preservation or restoration of a geography larger than the Converting Project and any associated public housing site;
- A jurisdiction has published solicitations or incentives for development projects in the improvement or revitalization area;
- The plan is incorporated in the applicable jurisdiction's Consolidated Plan or other comprehensive community development plan;
- A jurisdiction has explicitly designated the geographic area for improvement or revitalization (e.g., Business Improvement District; Enterprise Zone designation; Promise Zone designation; Choice Neighborhoods designation);
- An implementing agency has retained a construction firm to break ground on the improvement or revitalization; and/or
- An implementing agency has secured financing, such as the issuance of bonds or final approval for tax increment financing.

(2) Establishing that the Site is Located in a "Revitalizing Area"

Evidence that the site is located in a revitalizing area experiencing significant private investment that is demonstrably improving the economic character of the area is also an example of a site which meets an overriding housing need. HUD will consider all relevant factors in making a determination that the site is located in a "revitalizing area" but in particular will consider whether:

- i. The neighborhood has demonstrated signs of revitalization, through indicators such as low or declining census tract poverty rates, low or declining violent crime rates or evidence of high or increased educational opportunity, high or increasing median

⁵⁷ Indicators of progress should be appropriate to the amount of time since the plan or strategy was developed and there must be a reasonable, supportable expectation that the plan will continue to be implemented. For example, if a plan was launched 3-4 years prior and the initial steps of the plan required implementation of an initiative (such as real estate development) which has a long pre-development planning period, HUD may consider whether there has been activity to seek land development approvals or to develop construction drawings or to secure funding commitments or other activities providing evidence that one or more material elements of the plan or strategy are actually being implemented.

- household income, high or increasing homeownership rates and/or high or increased employment; and
- ii. There is high private and public investment in retail, commercial, or housing development that has occurred or will imminently occur in the area which may include, among other considerations:
 - Evidence of new or improved retail centers, grocery stores, pharmacies, healthcare facilities, community centers, educational and recreational facilities, municipal services, and transportation serving the neighborhood;
 - Evidence of private and public investment or housing development that has occurred or will imminently occur in the area;
 - Evidence of economic conditions that are impacting the preservation of affordable housing in the neighborhood, including indicators of gentrification such as housing costs rising more sharply in the neighborhood than in the jurisdiction overall, accelerated rates of homeownership in the neighborhood, and disproportionate depletion of larger dwellings for families with children.

(3) Circumstances in Which an Overriding Housing Needs Exception Does Not Apply

A PHA cannot establish that a site meets the overriding housing needs exception if the only reason the need cannot otherwise be feasibly met is that discrimination on the basis of race, color, religion, sex, national origin, age, familial status, or disability renders sites outside areas of minority concentration unavailable or if the use of this standard in recent years has had the effect of circumventing the obligation to provide housing choice.⁵⁸ For example, the overriding housing needs exception may not be applied if the reason that the project cannot be sited outside of an area of minority concentration is due to community opposition to the project based on the actual or perceived protected characteristics of the residents or prospective residents of the project. In addition, a recipient may not exclusively rely on this exception as a means of siting projects without creating housing opportunities outside of areas of minority concentration or without preserving existing housing outside of areas of minority concentration.

5.5. Front-End Civil Rights Review for RAD Transactions Involving Transfer of Assistance

A) Applicable Standards

Transfers of assistance are subject to the site selection standards for existing or rehabilitated housing set forth in 24 C.F.R. § 983.57(a)-(d), with the exception of 24 C.F.R. § 983.57(b)(1) and (c)(2), for PBV conversions and Appendix III of the RAD Notice for PBRA conversions. All transfers of assistance to a new site(s) are subject to front-end review by HUD, as required by the RAD Notice and noted in Section 5.3(A)(2) of this Notice. Conversions involving a transfer of assistance may also involve one or more of the other activities which trigger front-end review as described in Section 5.3(A). In transfers of assistance involving any of these activities, HUD

⁵⁸ 24 C.F.R. § 983.57(e)(3)(vi) and Appendix III of the RAD Notice, paragraph (e)(2). The PBRA site and neighborhood standards use the phrase “on the basis of race, color, creed, sex or national origin.” See Appendix III of the RAD Notice.

will conduct a front-end review based on the requirements applicable to each activity. A PHA must submit documentation for the front-end civil rights review of each specific activity as required by the relevant sections of this Notice.

B) Analysis of Transfers of Assistance

Through the front-end review of transfers of assistance by FHEO, HUD seeks to assist the PHA in avoiding discrimination on the basis of race, color, national origin, religion, sex, disability or familial status. The front-end review of transfers of assistance will apply the site selection standards for existing/rehabilitated housing.⁵⁹ This review shall consider:

- (1) The accessibility of the proposed site for persons with disabilities;
- (2) The ability of the RAD conversion to remediate accessibility concerns;
- (3) Whether the transfer of assistance would result in assisted units being located in an area where the total percentage of minority persons is significantly higher than the total percentage of minority persons in the area of the original public housing site or in an area where the percentage of persons of a particular racial or ethnic minority is significantly higher than the percentage of that minority group in the area of the original public housing site.⁶⁰ For purposes of this analysis, HUD will examine the minority concentration of:
 - (a) the census tract of the original public housing site compared to the census tract of the proposed site; and
 - (b) an area comprised of the census tract of the original public housing site together with all adjacent census tracts compared to an area comprised of the census tract of the proposed site together with all adjacent census tracts.
- (4) Whether the site selection has the purpose or effect of:
 - (a) Excluding individuals from, denying them the benefits of, or subjecting them to discrimination under the RAD program or the applicable rental assistance program;
 - (b) Excluding qualified individuals with disabilities from or denying them the benefit of the RAD program or the applicable rental assistance program, or otherwise subjecting them to discrimination;
 - (c) Defeating or substantially impairing the accomplishment of the objectives of the RAD program or the applicable rental assistance program with respect to qualified individuals with disabilities; and

⁵⁹ 24 C.F.R. § 983.57(d) and Appendix III of the RAD Notice, paragraphs (a) through (d). The site selection standards for existing/rehabilitated housing do not apply the minority concentration test used for new construction found at 24 C.F.R. § 983.57(e)(3) and Appendix III of the RAD Notice, paragraph (e).

⁶⁰ While this review is not explicitly called out in 24 C.F.R. § 983.57(d) and Appendix III of the RAD Notice, it is derived from HUD's and the PHA's obligations to comply with civil rights laws and regulations, including those referenced in 24 C.F.R. § 983.57(b)(2) and Appendix III of the RAD Notice.

- (d) Excluding individuals with disabilities (including members of the public with disabilities), denying them benefits or subjecting them to discrimination.

Under the RAD Notice, there are other standards for review of a transfer of assistance which are not examined as part of the front-end civil rights review but are examined as part of the RAD Financing Plan review (e.g., criteria formulated for transfers under Section 8(bb) of the United States Housing Act of 1937 regarding neighborhoods with highly concentrated poverty). Identification of considerations for the front-end review do not preclude review by HUD of all standards referenced in the RAD Notice.

5.6. Front-End Civil Rights Review for RAD Transactions Involving Reduction in Number of Units, Changes in Bedroom Distribution of Units and Changes in Occupancy Requirements

The RAD Notice allows PHAs to reduce the number of units, change the bedroom distribution of units, or change the occupancy of projects as part of their RAD conversion.⁶¹ However, the RAD Notice also provides that such changes (including de minimis changes) must undergo a front-end civil rights review and receive approval from HUD prior to submission of the Financing Plan. The Checklist will require data for review along with an explanation, backed by sufficient evidence, of how the PHA determined that that the proposed change will not result in discrimination on the basis of race, color, national origin, religion, sex, disability, familial status, actual or perceived sexual orientation, gender identity or marital status.⁶²

A) Review of Reductions in the Number of Units, Reductions or Increases in the Number of UFAS Accessible Units or Changes in Bedroom Distribution

This Section describes the considerations relevant to a front-end review of reductions in units, changes in the number of UFAS accessible units or changes in bedroom distribution. Such changes must not be the result of an intentional effort to discriminate against members of a protected class. For example, reductions or changes, including reductions in UFAS accessible units or which would impede residents with disabilities from having live-in aides, that intended to exclude persons with disabilities would be unlawful discrimination because of a disability.

⁶¹ See Sections 1.4.A.4 and 1.4.A.10 of the RAD Notice.

⁶² Reductions in the number of units, changes in the bedroom distribution of units, or changes in occupancy violate the Fair Housing Act (the Act) if they have a discriminatory effect on the basis of race, color, national origin, religion, sex, disability, or familial status. Unlawful housing discrimination may be established by a policy's or practice's discriminatory intent or by its discriminatory effect, even if not motivated by discriminatory intent, consistent with the standards outlined in 24 C.F.R. § 100.500. A policy or practice can have an unjustified discriminatory effect, even when the provider had no intent to discriminate. Under this standard, a facially-neutral policy or practice that has a discriminatory effect violates the Act if it is not supported by a legally sufficient justification. In addition, the policy or practice violates the Act if the housing developer or provider intentionally discriminates, including for example, by reducing the number of bedrooms with the intent of limiting families with children. Furthermore, the policy or practice may also violate the Act where it creates, increases, reinforces, or perpetuates segregated housing patterns because of race, color, religion, sex, handicap, familial status, or national origin. In addition, any changes must conform with the Equal Access rule requirement that determinations of eligibility for housing that is assisted by HUD or subject to a mortgage insured by the FHA shall be made in accordance with program eligibility requirements, and the housing must be made available, without regard to actual or perceived sexual orientation, gender identity or marital status. 24 C.F.R. § 5.105(a)(2).

Similarly, replacing larger units with smaller units so as to exclude families with children would be unlawful discrimination because of familial status.

Additionally, reductions in units or changes in bedroom distribution must not have an unjustified discriminatory effect on members of a protected class. For example, a reduction in units could have a discriminatory impact if it excludes members of a particular race or religion. Reductions or changes that have a disparate impact on a protected class are unlawful under the Fair Housing Act if they are not necessary to achieve a substantial, legitimate, nondiscriminatory interest of the developer or housing provider, or if such interest could be served by another practice that has a less discriminatory effect.

The RAD Notice allows for a de minimis reduction in units at Converting Projects, which includes both a small number of units as well as the reduction of certain units that have been vacant for 24 months prior to application, that are being or will be used for social service delivery, or efficiencies that will be reconfigured to one-bedroom units.⁶³ In addition, a PHA converting multiple properties can consolidate the de minimis reductions derived from multiple properties at a small number of sites. The RAD Notice also allows for changes in bedroom distribution. Such de minimis reductions are still subject to front end civil rights review and applicable fair housing and civil rights laws.

HUD shall conduct a front-end civil rights review if the plan for a Converting Project results in:

- A reduction in the number of dwelling units in any of the following categories: (i) units with two bedrooms, (ii) units with three bedrooms or (iii) units with four or more bedrooms.
- A reduction in the number of UFAS accessible units;
- An increase in the number of UFAS accessible units for persons with mobility impairments beyond 10% of the units in the Covered Project or 1 unit, whichever is greater.
- An increase in the number of UFAS accessible units for persons with vision and hearing impairments beyond 4% of the units in the Covered Project or 1 unit, whichever is greater.

When a Converting Project is subject to a front-end civil rights review under this subsection, the PHA shall submit to HUD the relevant part of the Checklist together with a justification which must demonstrate that the changes are not the result of discriminatory intent and will not have a discriminatory effect on members of protected classes, particularly families with children and individuals with disabilities. Relevant data for this analysis of the proposed change at the project may include the PHA's overall affordable housing stock, the demand for affordable housing in the market as evidenced by information such as the overall jurisdiction and regional demographic data available from the AFFH Data and Mapping Tool (e.g., both basic demographic and disproportionate housing needs data), the PHA's waiting list or a reliable market study of households seeking assisted housing, compared to the relative proportions of

⁶³ See Section 1.4.A.4 of the RAD Notice.

units serving any particular household type in the proposed project, the PHA's total housing stock or all assisted housing in the area.

For any increase in UFAS units subject to front-end review, HUD will assess indicators of local need (see Section 5.7(B), below) and whether the change would operate to concentrate individuals with disabilities in a particular property or to exclude individuals with certain types of disabilities from a particular property.

B) Review of Changes in Occupancy Type

RAD conversions that result in the implementation of an admissions preference (e.g., residency preferences or restrictions) at the Covered Project that would alter the occupancy of the property (e.g., family units converting to elderly units, elderly/disabled units converting to elderly only units) are subject to a front-end civil rights review by HUD pursuant to the RAD Notice and Section 5.3(A). A PHA must demonstrate that the proposed change in occupancy type is consistent with the demand for affordable housing in its jurisdiction as demonstrated by factors such as the demographics of its current occupancy, the demographics of its waiting list or a market study. Such preferences, restrictions, or geographic residency preferences must be reflected in a PBRA project's Affirmative Fair Housing Marketing Plan (AFHMP) or, for a PBV project, the PHA's Administrative Plan.

5.7. Other Front-End Civil Rights Review for RAD Transactions

A) Conversions of Assistance in Which the Construction Schedule Indicates that Relocation is Likely to Exceed 12 Months.

The front end civil rights review shall focus on whether the relocation will result in discrimination on the basis of race, color, national origin, religion, sex, disability, and familial status, based primarily, but not exclusively, on the data required in the Checklist.

B) Conversions of Assistance Involving New Construction or Substantial Alteration, as those terms are defined by Section 504.

While the PHA is responsible for compliance with all requirements described in Section 4, above and in this subsection, the front-end review will be conducted based on a review of the Checklist and shall include confirming the provision of any required accessible units and confirming the PHA is applying the appropriate accessibility standards. HUD will require the PHA to provide information regarding the provision of at least the minimum number of units accessible for persons with mobility impairments and units accessible for persons with hearing and vision impairments as required by applicable law (generally 5% of units accessible for persons with mobility impairments and an additional 2% of units accessible for persons with hearing and vision impairments). For purposes of establishing an upper threshold of accessible units below which RAD front-end review will not be required, HUD will accept that up to 10% of units accessible for persons with mobility impairments and up to 4% of units accessible for persons with hearing and vision impairments is consistent with local need, without further review, absent information to the contrary. HUD will consider a PHA's request for higher percentages based, to HUD's satisfaction, on reliable indicators of local need, such as census data or other available current data. HUD is available to assist PHAs in determining appropriate indicators of local

need for units with accessible features. The RAD conversion scope of work submitted with the Financing Plan must reflect the construction or retrofitting of residential units and public and common use areas to comply with all applicable accessibility requirements.

C) Remedial Agreements and Orders.

Front-end review in situations where the Converting Project or PHA is subject to enforcement actions or binding voluntary compliance agreements, settlement agreements, conciliation agreements, or consent decrees or orders of the nature described in Sections 5.3(A)(8) and 5.3(A)(9) shall be conducted on a case-by-case basis as appropriate to the specific situation.

5.8. Affirmative Fair Housing Marketing Plan (AFHMP) Requirements for Projects Converting to PBRA Assistance

For all projects converting to PBRA assistance, a PHA or Project Owner must complete form HUD-935.2A, the Affirmative Fair Housing Marketing Plan (AFHMP) - Multifamily Housing, and submit it to HUD for approval with the RAD Financing Plan.⁶⁴ Affirmative Fair Housing Marketing requirements are designed to achieve a condition in which individuals of similar income levels in the same housing market area have similar housing choices available to them regardless of their race, color, national origin, religion, sex, disability, or familial status.⁶⁵ They are also a means to carry out the mandate of Section 808(e)(5) of the Fair Housing Act that HUD administer its programs and activities in a manner to affirmatively further fair housing. These requirements mandate that PHAs or Project Owners identify groups that are least likely to apply for upcoming housing opportunities and to implement special marketing and outreach activities to ensure that these groups are aware of these opportunities.

The AFHMP must be submitted to HUD with the Financing Plan. A separate AFHMP is required for each distinct PBRA HAP contract. The PHA must submit an AFHMP even if the project has an existing waiting list and is not accepting new applicants. The PHA or Project Owner should consult the instructions in the form HUD 935.2A and HUD's Implementing Affirmative Fair Housing Marketing Requirements Handbook (HUD Handbook 8025.1) for guidance on completing the AFHMP and carrying out an affirmative marketing program. The Handbook provides a detailed resource on the content of the AFHMP, which includes marketing activities, residency preferences, and staff training.

When submitting an AFHMP for HUD approval, the PHA or Project Owner must ensure that the occupancy designation and any residency preferences are consistent with the PHA Plan or Significant Amendment to the PHA Plan, that such designation and preferences are consistent with the Checklist submitted to HUD and that the AFHMP includes affirmative marketing

⁶⁴ The most recent version of the AFHMP is HUD Form 935.2A, OMB Approval Number 2529-0013. *See* 24 C.F.R. § 880.601(a)(2) and 24 C.F.R. § 200.615; *see also* Section 10.8 of the Multifamily Accelerated Processing (MAP) Guide. The PHA or its management agent should consult the instructions in the form HUD 935.2A and HUD's Implementing Affirmative Fair Housing Marketing Requirements Handbook (HUD Handbook 8025.1) for guidance on completing the AFHMP and carrying out an affirmative marketing program. The Handbook provides a detailed resource on the content of the AFHMP, which includes marketing activities, residency preferences, and staff training.

⁶⁵ *See* 24 C.F.R. § 200.610.

activities that are consistent with its occupancy designation and the populations identified as least likely to apply. Any subsequent changes to occupancy designation or residency preferences shall be proposed, submitted and reviewed in accordance with standard PBRA requirements. If a PHA or Project Owner plans to adopt any local or residency preferences, the Project Owner must submit its Tenant Selection Plan along with the AFHMP (see HUD Handbook 4350.3, page 4-4).

The Multifamily Housing Office of Asset Management and Portfolio Oversight and the Office of Fair Housing and Equal Opportunity (“FHEO”) review the AFHMP. FHEO issues HUD’s official letter of approval or disapproval. Disapproval letters will specify the reason a plan was rejected and the revisions required. The PHA or Project Owner must make the required changes and resubmit a corrected plan to HUD for approval.

The PBRA contract becomes effective on the first day of a month, following closing. Approval of the AFHMP is not a condition to closing of the RAD conversion. When the project is preparing to accept applications, it must follow its approved AFHMP to ensure that groups least likely to apply are aware of the housing opportunities. The Project Owner is responsible for ensuring that the AFHMP is in place throughout the life of any FHA mortgage or PBRA contract. The Project Owner may not market or lease any unit not occupied by a household exercising its right to remain in or return to the Covered Project prior to approval of the AFHMP. Marketing or leasing includes the solicitation, distribution or acceptance of applications or development of a waiting list.

SECTION 6. RELOCATION REQUIREMENTS

In some cases, as explained in this Section, the activities associated with the RAD transaction may require the relocation of residents. In the event of acquisition, demolition, construction or rehabilitation activities performed in connection with a RAD conversion, the PHA and/or Project Owner⁶⁶ should plan such activities to reasonably minimize any disruption to residents’ lives, to ensure that residents are not exposed to unsafe living conditions and to comply with applicable relocation, fair housing and civil rights requirements. As discussed in Section 6.1, below, a written relocation plan is required in some circumstances and strongly encouraged for any conversion resulting in resident moves or relocation. Further, the obligations due to relocating residents under RAD are broader than URA relocation assistance and payments and RAD specifies requirements which are more protective of residents than standard URA requirements, including additional notices (see Section 6.6) and a right to return (see Section 6.2). This Notice requires that certain information be provided to all households, beginning prior to submission of the RAD application.

Any resident who moves as a direct result of acquisition, rehabilitation or demolition for an activity or series of activities associated with a RAD conversion may, depending on the circumstances and length of time of the relocation, be eligible for relocation assistance and payments under the URA. Additionally, Section 104(d) relocation and one-for-one replacement

⁶⁶ Under the URA, the term “displacing agency” refers to the agency or person that carries out a program or project which will cause a resident to become a displaced person. Projects vary and, for any specific task described in this Notice, the displacing agency may be either the PHA or the Project Owner, as determined by the allocation of roles and responsibilities between the PHA and Project Owner.

housing requirements may also apply when CDBG- or HOME-funds are used in connection with a RAD conversion. The applicability of the URA or Section 104(d) to RAD conversions is fact-specific, which must be determined in accordance with the applicable URA and Section 104(d) regulations.⁶⁷

Eligibility for specific protections under this Notice applies to any person residing in a Converting Project who is legally on the public housing lease, has submitted an application to be added to an existing lease, or is otherwise in lawful occupancy at the time of the issuance of the CHAP and at any time thereafter until conversion of assistance under RAD. All such residents of a Converting Project have a right to return and are eligible for relocation protections and assistance as provided by this Notice. The eligibility criteria set forth in this paragraph apply to the protections under this Notice regardless of whether residents or household members meet the statutory and regulatory requirements for eligibility under URA.⁶⁸

6.1. Planning

If there is a possibility that residents will be relocated as a result of acquisition, demolition, or rehabilitation for a Converting Project, PHAs must undertake a planning process in conformance with the URA statutory and regulatory requirements in order to minimize the adverse impact of relocation (*see* 49 § C.F.R. 24.205). PHAs must also ensure that their relocation planning is conducted in compliance with applicable fair housing and civil rights requirements.

The PHA shall prepare a written relocation plan if the RAD conversion involves permanent relocation (including, without limitation, a move in connection with a transfer of assistance) or temporary relocation anticipated to last longer than one year. While a written relocation plan is not required for temporary relocation lasting one year or less, HUD strongly encourages PHAs, in consultation with any applicable Project Owners, to prepare a written relocation plan for all RAD conversions to establish their relocation process clearly and in sufficient detail to permit consistent implementation of the relocation process and accurate communication to the residents. Appendix II contains recommended elements of a relocation plan.

During the planning stages of a RAD transaction and based on the results of this planning process, a PHA must submit applicable portions of the Checklist described in Section 5.3(B) to HUD, together with any required backup documentation, as early as possible once the information covered in the applicable part is known.⁶⁹ All parts of the Checklist must be submitted to HUD prior to submission of the Financing Plan. The Checklist will allow HUD to assist the PHA to comply, and to evaluate the PHA's compliance, with relocation requirements, including civil rights requirements related to relocation.

⁶⁷ 42 U.S.C. § 4601 *et seq.*, 42 U.S.C. § 5304(d), and their implementing regulations at 49 C.F.R Part 24 and 24 C.F.R. Part 42 subpart C.

⁶⁸ A nonexclusive listing of persons who do not qualify as displaced persons under URA is at 49 C.F.R. 24.2(a)(9)(ii). See also, Paragraph 1-4(J) of HUD Handbook 1378. See Section 6.5 of this Notice for discussion of the date of "initiation of negotiations."

⁶⁹ The Checklist refers to the existing FHEO Accessibility and Relocation Checklist until a revised Checklist is approved for use pursuant to the Paperwork Reduction Act.

The following presents a general sequencing of relocation planning activities within the RAD conversion process for informational and planning purposes only. Specific requirements are set forth in the provisions of this Notice.

Stage	Activities
1. Prior to submission of RAD application	<ul style="list-style-type: none"> • Determine potential need for relocation in connection with proposed conversion plans. • Meet with residents to discuss proposed conversion plans, communicate right to return, and solicit feedback. • Provide the <i>RAD Information Notice</i> (RIN) to residents as described in Section 6.6(A) of this Notice.
2. After submission of RAD application	<ul style="list-style-type: none"> • Assess the need for relocation planning in connection with proposed conversion plans. Determine if technical assistance would be beneficial to ensuring compliance with relocation requirements. • Survey residents to inform relocation planning and relocation process. • Develop a relocation plan (see Appendix II for recommended content). • Prepare Significant Amendment to PHA Plan and engage with the Resident Advisory Board, residents and the public regarding Plan amendment.⁷⁰
3. Following issuance of the CHAP, or earlier if warranted	<ul style="list-style-type: none"> • Provide the <i>General Information Notice</i> (GIN) to residents when the project involves acquisition, rehabilitation, or demolition as described in Section 6.6(B) of this Notice and relocation may be required.
4. While preparing Financing Plan	<ul style="list-style-type: none"> • Discuss the outlines of the conversion plans and their impact on relocation with the HUD transaction manager. • Refine the plan for relocation and integrate the construction schedule into the relocation strategy; seek to minimize off-site or disruptive relocation activities. • Identify relocation housing options . • Budget for relocation expenses and for compliance with accessibility requirements. • Submit the Checklist and, where applicable, the relocation plan. • If the conversion involves acquisition, at the discretion of the Project Owner issue Notice of Intent to Acquire (NOIA). • If a NOIA is issued, at the discretion of the Project Owner provide residents with appropriate relocation notices as

⁷⁰ Alternatively, the PHA may submit a new PHA Five-Year or Annual Plan, especially if it is on schedule to do so. Under any scenario, the PHA must consult with the Resident Advisory Board and undertake the community participation process.

Stage	Activities
	described in Section 6.6(C) through 6.6(E) of this Notice at this time.
5. From RAD Conversion Commitment (RCC) to Closing	<ul style="list-style-type: none"> • Meet with residents to describe approved conversion plans and discuss required relocation. • The effective date of the RCC marks the date of “Initiation of Negotiations” (ION), as defined in the URA (49 § C.F.R. 24.2(a)(15)). • If no NOIA was provided while preparing the Financing Plan, provide residents with appropriate relocation notices as described in Section 6.6(C) through 6.6(E) of this Notice. • Resident relocation may begin following the effective date of the RCC, subject to applicable notice requirements.
6. Post-Closing	<ul style="list-style-type: none"> • Ongoing implementation of relocation • Notify the residents regarding return to the Covered Project as described in Section 6.6(F) of this Notice • Implementation of the residents’ right to return

6.2. Resident Right to Return

Any public housing or Section 8 assisted resident that may need to be relocated temporarily to facilitate rehabilitation or construction has a right to return to an assisted unit at the Covered Project once rehabilitation or construction is complete.⁷¹ Permanent involuntary displacement of public housing or Section 8 assisted residents may not occur as a result of a project’s conversion of assistance. The Project Owner satisfies the RAD right to return to a Covered Project if the Project Owner offers the resident household either: a) a unit in the Covered Project in which the household is not under-housed; or b) a unit in the Covered Project which provides the same major features as the resident’s unit in the Converting Project prior to the implementation of the RAD conversion. In the case of a transfer of assistance to a new site, residents of the Converting Project have the right to reside in an assisted unit meeting the requirements set forth in this paragraph at the Covered Project (the new site) once the Covered Project is ready for occupancy in accordance with applicable PBV or PBRA requirements.

If proposed plans for a Converting Project would preclude a resident from returning to the Covered Project, the resident must be given an opportunity to comment and/or object to such plans. Examples of project plans that may preclude a resident from returning to the Covered Project include, but are not limited to:

- Changes in bedroom distribution which decrease the size of units such that the resident would be under-housed;⁷²

⁷¹ The right to return is not a right to any specific unit in the Covered Project. Tenancies other than public housing or Section 8 assisted residents (such as commercial tenants) do not hold a right to return and are subject to standard relocation requirements applicable to such tenants under the URA.

⁷² See the RAD Notice for a description of the procedures that must be undertaken if a resident is over-housed.

- Where a) the PHA is reducing the number of assisted units at a property (if authorized to do so under Section 1.5.B of the RAD Notice) and b) the resident cannot be accommodated in the remaining assisted units;
- The imposition of income eligibility requirements, such as those associated with LIHTC or other program financing, under which the current resident may not be eligible;⁷³ and
- Failure to provide reasonable accommodation to an individual with disabilities, in violation of applicable law, which reasonable accommodation may include installation of accessibility features that are needed by the individual with disabilities.⁷⁴

If the resident who would be precluded from returning to the Covered Project objects to such plans, the PHA must alter the project plans to accommodate the resident's right to return to the Covered Project.

If the resident who would be precluded from returning to the Covered Project prefers to voluntarily and permanently relocate rather than object to the project plans, the PHA must secure informed, written consent to a voluntary permanent relocation in lieu of returning to the Covered Project and must otherwise comply with all the provisions of Section 6.10, below, regarding alternative housing options. The PHA cannot employ any tactics to pressure residents into relinquishing their right to return or accepting alternative housing options. A PHA may not terminate a resident's lease if the PHA fails to obtain the resident's consent and the resident seeks to exercise the right to return.

In the case of a multi-phase transaction, the resident has a right to return to the Covered Project or to other converted phases of the property which have converted and are available for occupancy at the time the resident is eligible to exercise the right to return. A relocated resident should get the benefit of improvements facilitated by the resident's relocation and conversion and completion of future phases cannot be assured. In most cases, this means that the resident's right to return must be accommodated within the Covered Project associated with resident's original unit. However, in those cases where improvements to multiple phases of a site are occurring simultaneously, the PHA or Project Owner may treat multiple Covered Projects on the same site as one for purposes of the right to return. If the PHA or Project Owner seeks to have the resident exercise the right of return at a future phase, the PHA or Project Owner would need to secure the resident's consent to such plan as an alternative housing option pursuant to Section 6.10, below.

In implementing the right of return, the Project Owner shall comply with all applicable fair housing laws and implementing regulations, including, but not limited to, the Fair Housing Act,

⁷³ In these cases, a PHA may elect to exclude some units from the applicable financing program, for example, claiming LIHTC for a subset of the units and not claiming tax credits in connection with the units occupied by households over the LIHTC maximum eligibility of 60% of AMI.

⁷⁴ Refer to the Joint Statement of the Department of Housing and Urban Development and the Department of Justice, Reasonable Modifications Under the Fair Housing Act (March 5, 2008), at http://www.hud.gov/offices/fheo/disabilities/reasonable_modifications_mar08.pdf for additional detail regarding applicable standards for reasonable accommodations and accessibility features which must be provided. If the resident has paid for installation of accessibility features in the resident's prior unit, the PHA or Project Owner shall pay for the installation of comparable features in the new unit. Violations of law may also result in other sanctions.

Title VI of the Civil Rights Act, Section 504 of the Rehabilitation Act, and Titles II and III of the Americans with Disabilities Act.

6.3. Admissions and Continued Occupancy Requirements

Resident households may not be denied relocation housing or the right to return based on rescreening, income eligibility, or income targeting. PHAs may only offer housing options with screening, income eligibility or income targeting requirements if the impacted residents meet the admission and occupancy policies applicable to such housing. However, whether or not in a temporary relocation situation, the household remains subject to the applicable program policies regarding continued occupancy of an assisted unit by an incumbent resident of the unit.

6.4. Types of Moves and Relocation

Any time project plans require a resident to move from their current unit, the resident is eligible for assistance as described in this Notice. Assistance may vary depending on the options provided to residents, whether the relocation is temporary or permanent and, if applicable, the length of time the resident is in temporary accommodations.⁷⁵ In all circumstances, the move or relocation must be in compliance with applicable requirements of this Notice and consistent with applicable fair housing and civil rights requirements. Each type of move is discussed below.

A) Moves within the same building or complex of buildings⁷⁶

Temporary or permanent moves within the same building or complex of buildings may be appropriate given the extent of work to be completed to permit phasing of rehabilitation or construction. Moves within the same building or complex of buildings are not considered relocation under RAD and a tenant generally does not become displaced under the URA. Whether permanent (i.e., the tenant will move to and remain in an alternative unit) or temporary (i.e., the tenant will move to another unit and return to their original unit), the PHA or Project Owner must reimburse residents for all reasonable out-of-pocket expenses incurred in connection with any move and all other terms and conditions of the move(s) must be reasonable.⁷⁷ The final move must be to a unit which satisfies the right to return requirements specified in Section 6.2 of this Notice.

⁷⁵ PHAs should note that the definitions of “permanent” vary between the URA and RAD. For example, “permanent displacement” under the URA includes moves from the original building or complex of buildings lasting more than one year. The RAD Notice, meanwhile, considers “permanent relocation” to be separation from the RAD-assisted unit upon completion of the conversion and any associated rehabilitation and construction. The duration of a temporary move may exceed one year. In the case of a transfer of assistance, it is not permanent relocation under RAD when the resident must move from the original complex of buildings to the destination site in order to retain occupancy of the RAD-assisted unit.

⁷⁶ An example of relocation within the same building or complex of buildings would be if one floor of a multi-story building is vacant, and the PHA is moving residents from another floor to the vacant units.

⁷⁷ Failure to reimburse residents for moving or other out-of-pocket expenses and any other terms and conditions of the move which may be unreasonable may result in the resident becoming a displaced person under the URA if the resident subsequently moves from the property.

B) Temporary relocation lasting one year or less

If a resident is required to relocate temporarily, to a unit not in the same building or complex of buildings, for a period not expected to exceed one year in connection with the RAD conversion, the resident's temporarily occupied housing must be decent, safe, and sanitary and the resident must be reimbursed for all reasonable out-of-pocket expenses incurred in connection with the temporary relocation. These expenses include, but are not limited to, moving expenses, increased housing costs (e.g., rent and utilities), meals if the temporary housing lacks cooking facilities (e.g., during a short hotel stay, whether or not on an emergency basis) and other applicable expenses.⁷⁸

C) Temporary relocation initially expected to last one year or less, but which extends beyond one year

In the event that a resident has been temporarily relocated, to a unit not in the same building or complex of buildings, for a period which was anticipated to last one year or less but the temporary relocation in fact exceeds one year, the resident qualifies as a "displaced person" under the URA and as a result immediately becomes eligible for all permanent relocation assistance and payments as a "displaced person" under the URA, including notice pursuant to Section 6.6(E). This assistance would be in addition to any assistance the person has already received for temporary relocation, and may not be reduced by the amount of any temporary relocation assistance.

In such event, the PHA or Project Owner shall offer the resident the opportunity to choose to voluntarily permanently relocate with the offered URA assistance or to choose to remain temporarily relocated based on updated information from the PHA or Project Owner about when they can return to the completed RAD unit. The PHA or Project Owner must present this opportunity to the resident when the temporary relocation extends beyond one year and each time thereafter that the temporary relocation extends beyond the previously anticipated duration. In presenting such opportunity, the PHA or Project Owner must inform the resident in writing that his or her acceptance of voluntary permanent relocation, with the associated assistance, would terminate the resident's right to return to the Covered Project. The PHA or Project Owner must provide the resident with at least 30 days to decide whether to remain in temporary relocation status or to voluntarily relocate permanently.

D) Temporary relocation anticipated to last more than one year

When the PHA anticipates that the temporary relocation, to a unit not in the same building or complex of buildings, will last more than one year, but the resident is retaining the resident's right to return to the Covered Project, the resident is considered temporarily relocated under RAD and is eligible to receive applicable temporary relocation assistance and payments. Under the URA, the resident becomes eligible to receive applicable relocation assistance and payments as a "displaced person" when the temporary relocation period exceeds one year and each time thereafter that the temporary relocation extends beyond the previously anticipated duration, at

⁷⁸ HUD Handbook 1378, Chapter 2, Section 2-7 governs activities subject to URA requirements and informs, but is not binding upon, any RAD activities not governed by the URA. PHAs may also refer to HUD Form 40030.

which time the PHA or Project Owner shall offer the resident the opportunity to choose to voluntarily permanently relocate or to remain temporarily relocated, as described in Section 6.4(C), above.

In order to allow residents to make the election earlier than required under the URA (thereby avoiding a year in temporary relocation housing prior to electing voluntary permanent relocation), if the PHA or Project Owner anticipates that temporary relocation will last more than one year, the PHA or Project Owner shall provide the resident with an initial option to (a) be temporarily relocated, retain the right to return to the Covered Project when a unit becomes available and receive assistance, including temporary housing and reimbursement for all reasonable out-of-pocket expenses associated with the temporary relocation, or (b) accept RAD voluntary permanent relocation assistance and payments equivalent to what a “displaced person” would receive under the URA. The PHA or Project Owner must inform the resident in writing that his or her acceptance of voluntary permanent relocation, with the associated assistance, would terminate the resident’s right to return to the Covered Project. The PHA or Project Owner must provide the resident with at least 30 days to decide whether to remain in temporary relocation status or to voluntarily relocate permanently.

E) Permanent moves in connection with a transfer of assistance

In cases solely involving a transfer of assistance to a new site, resident relocation from the Converting Project to the Covered Project is not, by itself, generally considered involuntary permanent relocation under RAD. However, the URA and/or Section 104(d) is likely to apply in most cases. In cases of a transfer of assistance to a new site where it has also been determined that the URA and/or Section 104(d) apply to the transfer of assistance, residents may be eligible for all permanent relocation assistance and payments for eligible displaced persons under the URA and/or Section 104(d). If the URA applies to a move of this type, the PHA or Project Owner must make available at least one, and when possible, three or more comparable replacement dwellings pursuant to 49 C.F.R. § 24.204(a). However, provided the transfer of assistance unit meets the URA definition of a comparable replacement dwelling pursuant to 49 C.F.R. § 24.2(a)(6), that unit could in fact represent the most comparable replacement dwelling as determined by the agency for purposes of calculating a replacement housing payment, if any, under 49 C.F.R. § 24.402.

Whether or not the URA and/or Section 104(d) apply, under RAD the residents are entitled to relocation assistance and payments, including counseling in preparation for the relocation, written notices of the relocation (including a 90-day RAD Notice of Relocation), and reimbursement for all reasonable out-of-pocket expenses, including moving expenses, incurred in connection with the move. It should be noted that the RAD relocation assistance and payments provided to transferring residents in this paragraph differ from those required under the URA and/or Section 104(d) as described above. Where both frameworks apply, the residents must receive the more extensive protections offered under either framework.

If HUD determines that the distance from the Converting Project to the site of the Covered Project is significant and the resident could not reasonably be required to move to the new site, then HUD will require the PHA to adjust project plans to accommodate the resident in an assisted unit (e.g., a public housing unit, some other project-based Section 8 unit or a market unit

with a housing choice voucher) within a reasonable distance of the site of the Converting Project. HUD will evaluate whether this requirement applies on a case by case basis, considering whether the distance would impose a significant burden on residents' access to existing employment, transportation options, schooling or other critical services. Accommodating the resident may also be satisfied by the resident's consent to an alternative housing option pursuant to Section 6.10. The requirement set forth in this paragraph is in addition to all protections, including, for example, the offer of comparable replacement dwellings, which are required in all instances where a transfer of assistance is subject to the URA and/or Section 104(d).

F) Voluntary permanent relocation

A resident may elect to relinquish their right of return and consent to voluntary permanent relocation pursuant to an alternative housing option offered and accepted according to the procedures described in Section 6.10, which Section specifies protections to ensure the resident's decision is fully informed. By selecting voluntary permanent relocation, the resident is electing to receive RAD permanent relocation assistance and payments which are equivalent to the relocation payments and assistance required to be provided to a "displaced person" pursuant to the regulations implementing the URA.

6.5. Initiation of Negotiations (ION) Date

Eligibility for URA relocation assistance is effective on the date of initiation of negotiations (ION) (49 C.F.R. § 24.2(a)(15)). For Converting Projects, the ION date is the effective date of the RCC. The ION date is also typically the date when PHAs can begin to issue RAD Notices of Relocation (except in the case of acquisitions when the PHA can issue a Notice of Intent to Acquire and RAD Notices of Relocation prior to the ION date). Any person who is in lawful occupancy on the ION date is presumed to be entitled to relocation payments and other assistance.

PHAs and Project Owners should note that prior to the ION date, a resident may be eligible as a displaced person for permanent relocation assistance and payments under the URA if HUD determines, after analyzing the facts, that the resident's move was a direct result of the project. However, resident moves taken contrary to specific instructions from the PHA or Project Owner (for example, contrary to instructions not to move if contained in a General Information Notice) are generally not eligible as a displaced person under the URA.

6.6. Resident Relocation Notification (Notices)

PHAs and Project Owners are encouraged to communicate regularly with the residents regarding project plans and, if applicable, the resulting plans for relocation. When residents may be relocated for any time period (including, without limitation, a move in connection with a transfer of assistance), written notice must be provided to the resident heads of households, including the notices listed below as applicable.⁷⁹ PHAs and Project Owners are also encouraged to provide

⁷⁹ The notices required under Sections 6.6(B) through 6.6(E) must be delivered in accordance with URA resident notification requirements, including the requirement that the notice be personally served or delivered by certified or registered first class mail return receipt requested. All notices must be delivered to each household (i.e., posting in

additional relocation notices and updates for the residents' benefit as appropriate for the specific situation.

To ensure that all residents understand their rights and responsibilities and the assistance available to them, consistent with URA requirements at 49 C.F.R. § 24.5 and civil rights requirements, PHAs and Project Owners must ensure effective communication with individuals with disabilities, including through the provision of appropriate auxiliary aids and services, such as interpreters and alternative format materials. Similarly, PHAs and Project Owners are required to take reasonable steps to ensure meaningful access for LEP persons in written and oral materials. Each notice shall indicate the name and telephone number of a person to contact with questions or for other needed help and shall include the number for the telecommunication device for the deaf (TDD) or other appropriate communication device, if applicable, pursuant to 24 C.F.R. §8.6(a)(2).

The purpose of these notifications is to ensure that residents are informed of their potential rights and, if they are to be relocated, of the relocation assistance available to them. Two initial notices launch this effort and provide critical information regarding residents' rights. The first, the RAD Information Notice, is to be provided at the very beginning of the RAD conversion planning process in order to ensure residents understand their rights, to provide basic program information and to facilitate residents' engagement with the PHA regarding project plans. The GIN, meanwhile, provides information specifically related to protections the URA provides to impacted residents. Subsequent notices provide more detailed information regarding relocation activities specific to the household, including tailored information regarding eligibility and timelines for relocation.

PHAs should note that a resident move undertaken as a direct result of the project may be eligible to receive relocation assistance and payments under the URA even though the PHA has not yet issued notices to them. Sample notices which may be used as-is or modified to fit the peculiarities of each situation are provided on the RAD website at www.hud.gov/rad.

A) *RAD Information Notice*

The RAD Information Notice is to be provided to residents at the very beginning of the RAD conversion planning process in order to convey general written information on potential project plans and residents' basic rights under RAD, and to facilitate residents' engagement with the PHA regarding the proposed RAD conversion. The PHA shall provide a RAD Information Notice to all residents of a Converting Project prior to the first of the two meetings with residents required by the RAD Notice, Section 1.8.2, and before submitting a RAD Application. This RAD Information Notice shall be provided without regard to whether the PHA anticipates any relocation of residents in connection with the RAD conversion. The RAD Information Notice must do the following:

common areas is insufficient) and methods of delivery (e.g., certified mail, U.S. mail, or hand delivery) must be documented in the PHA's or Project Owner's files.

- Provide a general description of the conversion transaction (e.g., the Converting Project, whether the PHA anticipates any new construction or transfer of assistance, whether the PHA anticipates partnering with a developer or other entity to implement the transaction);
- Inform the resident that the early conceptual plans are likely to change as the PHA gathers more information, including, among other items, resident opinions, analysis of the capital needs of the property and financing options;
- Inform the resident that the household has a right to remain in the unit or, if any relocation is required, a right to return to an assisted unit in the Covered Project (which may be at the new site in the case of a transfer of assistance);
- Inform the resident that they will not be subject to any rescreening as a result of the conversion;
- Inform the resident that the household cannot be required to move permanently without the resident's consent, except in the case of a transfer of assistance when the resident may be required to move a reasonable distance, as determined by HUD, in order to follow the assisted unit;
- Inform the resident that if any relocation is involved in the transaction, the resident is entitled to relocation protections under the requirements of the RAD program and, in some circumstances, the requirements of the URA, which protections may include advance written notice of any move, advisory services, payment(s) and other assistance as applicable to the situation;
- Inform the resident that any resident-initiated move from the Converting Project could put any future relocation payment(s) and assistance at risk and instruct the resident not to move from the Converting Project; and
- Inform the resident that the RAD transaction will be completed consistent with fair housing and civil rights requirements, and provide contact information to process reasonable accommodation requests for residents with disabilities during the relocation.

B) General Information Notice (49 C.F.R. § 24.203(a))

The purpose of the General Information Notice (GIN) is to provide information about URA protections to individuals who may be displaced as a result of federally-assisted projects involving acquisition, rehabilitation or demolition. A GIN provides a general description of the project, the activities planned, and the relocation assistance that may become available.

A GIN shall be provided to any person scheduled to be displaced *as soon as feasible* based on the facts of the situation. In certain instances, such as when the PHA knows that a project will involve acquisition, rehabilitation or demolition, "as soon as feasible" may be simultaneous with issuance of the RAD Information Notice. For any RAD conversion involving acquisition, rehabilitation or demolition, "as soon as feasible" shall be no later than 30 days following the issuance of the CHAP. In instances where acquisition, rehabilitation or demolition is not anticipated at the time of the CHAP but project plans change to include such activities, pursuant to this Notice the PHA shall provide the GIN as soon as feasible following the change in project plans.

For RAD, the GIN must do at least the following:

- Inform the resident that he or she may be displaced for the project and generally describe the relocation payment(s) for which the resident may be eligible, the basic conditions of eligibility, and the procedures for obtaining the payment(s);
- Inform the resident that, if he or she qualifies for relocation assistance as a displaced person under the URA, he or she will be given reasonable relocation advisory services, including referrals to replacement properties, help in filing payment claims, and other necessary assistance to help the displaced resident successfully relocate;
- Inform the resident that, if he or she qualifies for relocation assistance as a displaced person under the URA, he or she will not be required to move without 90 days advance written notice;
- Inform the resident that, if he or she qualifies for relocation assistance as a displaced person under the URA, he or she cannot be required to move permanently unless at least one comparable replacement dwelling has been made available;
- Inform the resident that any person who is an alien not lawfully present in the United States is ineligible for relocation advisory services and relocation payments, unless such ineligibility would result in exceptional and extremely unusual hardship to a qualifying spouse, parent, or child (see 49 C.F.R. § 24.208(h) for additional information);
- Describe the resident's right to appeal the PHA's determination as to a resident's eligibility for URA assistance; and
- Inform the resident that the RAD transaction will be completed consistent with fair housing and civil rights requirements, and provide contact information to process reasonable accommodation requests for residents with disabilities during the relocation.

Because of the potential confusion caused by evolving policy directions in the RAD program regarding delivery of the GIN, for actions taken prior to the issuance of this Notice, HUD will consider the facts and circumstances of each conversion, with emphasis on the underlying URA requirements, in monitoring and enforcing a PHA's compliance with this requirement.

C) Notice of Intent to Acquire (49 C.F.R. § 24.203(d))

For conversions involving acquisition, the Project Owner (the "acquiring agency") may provide to residents of the Converting Project a Notice of Intent to Acquire (NOIA).⁸⁰ The NOIA may be provided no earlier than 90 days prior to the PHA's reasonable estimate of the date of submission of a complete Financing Plan. While eligibility for URA relocation assistance is generally effective on the effective date of the RCC (the ION date), a prior issuance of a NOIA establishes a resident's eligibility for relocation assistance and payments on the date of issuance of the NOIA and prior to the ION date.

D) RAD Notice of Relocation

If a resident will be relocated to facilitate the RAD conversion, the PHA shall provide written notice of such relocation by means of a RAD Notice of Relocation. The RAD Notice of

⁸⁰ Acquisition includes a new ownership entity's purchase of the Covered Project from the PHA, such as a purchase by a single purpose entity, an affiliate or a low-income housing tax credit ownership entity.

Relocation may not be issued until: 1) the effective date of the RCC (the ION date) if the conversion does not involve acquisition; or 2) the earlier of the issuance of the Notice of Intent to Acquire (see Section 6.6(C)) or the effective date of the RCC (the ION date) if the conversion involves acquisition. Prior to issuance of the RAD Notice of Relocation, PHAs and Project Owners should meet with each resident household to provide preliminary relocation advisory services and to determine their needs and preferences.⁸¹

A RAD Notice of Relocation is not required for residents who will not be relocated. As a best practice, PHAs or Project Owners should notify residents that they are not being relocated once that determination has been made if they were previously informed by the GIN and/or by other methods that relocation was a possibility.⁸²

A RAD Notice of Relocation shall provide either: 1) 30-days' notice to residents who will be relocated for twelve months or less; or 2) 90-days' notice to residents who will be relocated for more than twelve months.⁸³ The RAD Notice of Relocation must conform to the following requirements:

- (1) The notice must state the anticipated duration of the resident's relocation.
- (2) The notice must specify which entity (the PHA or the Project Owner) is primarily responsible for management of the resident's relocation and for compliance with the relocation obligations during different periods of time (i.e., before vs. after Closing).
- (3) For residents who will be relocated for twelve months or less:
 - The PHA or Project Owner must provide this notice a minimum of 30 days prior to relocation.⁸⁴ PHAs or Project Owners may deem it appropriate to provide longer notice periods for persons who will be temporarily relocated

⁸¹ PHAs and Project Owners should note the URA relocation advisory services requirement for personal interviews. *See* Section 6.7 of this Notice. In sequencing the RAD Notice of Relocation, PHAs and Project Owners wishing to offer alternative housing options pursuant to Section 6.10 should also note the additional complexity in the timeline of notices. Pursuant to Section 6.10(D), the resident can consent to an alternative housing option only after issuance of the NOIA or the effective date of the RCC and 30 days after presentation of the alternative housing options. In some cases, for example, when the resident would not otherwise be relocated for over twelve months, the RAD Notice of Relocation must include both the information described in Section 6.6(D)(3) and the information in Section 6.6(D)(4). The PHA or Project Owner should consider discussing the alternative housing options prior to issuing the RAD Notice of Relocation so that the RAD Notice of Relocation can be tailored to the resident's situation.

⁸² The RAD program does not require a "notice of non-displacement," which HUD relocation policy generally uses for this purpose.

⁸³ The 90-day notice is required for residents relocated for more than twelve months, whether or not they intend to return to the Covered Project and whether or not they are eligible for assistance and payments as a displaced person under URA. Recipients of the 90-day notice would include those residents who have voluntarily accepted a permanent relocation option as well as those residents who are relocated within the same building or complex of buildings.

⁸⁴ Note that residents may elect to move to the relocation housing before the 30 days have elapsed. However, a PHA may not require a resident to move prior to this time.

for an extended period of time (over 6 months), or if necessary due to personal needs or circumstances.

- The notice must explain that the PHA or Project Owner will reimburse the resident for all reasonable out-of-pocket expenses incurred in connection with any temporary move (including, but not limited to, increased housing costs and moving costs).
- The notice must explain the reasonable terms and conditions under which the resident may exercise the right to return to lease and occupy a unit in the Covered Project.

(4) For residents who will be relocated for more than twelve months, including for residents who may wish to voluntarily accept a permanent relocation option:

- The PHA or Project Owner must provide this notice a minimum of 90 days prior to relocation of residents.⁸⁵
- The notice must offer the choice to be temporarily relocated, thereby preserving the resident's right to return, or the choice to be voluntarily permanently relocated pursuant to the procedures set forth in Section 6.10, together with guidance that the resident has at least thirty (30) days to consider the choice.
- For residents who voluntarily elect to be permanently relocated, the 90-day notice period may only begin once the PHA or Project Owner has made available at least one comparable replacement dwelling consistent with 49 C.F.R. § 24.204(a).⁸⁶
- The notice must describe the available relocation assistance, the estimated amount of assistance based on the individual circumstances and needs, and the procedures for obtaining the assistance. The notice must be specific to the resident and his or her situation so that the resident will have a clear understanding of the type and amount of payments and/or other assistance the resident household may be entitled to claim.
- The notice must comply with all requirements for a URA Notice of Relocation Eligibility as described in 49 C.F.R. § 24.203(b).

(5) The notice must inform the resident that the relocation will be completed consistent with fair housing and civil rights requirements, and it must provide contact information to process reasonable accommodation requests for residents with disabilities during the relocation.

For short-term relocations, the RAD Notice of Relocation may also contain the information required in the Notice of Return to the Covered Project (see Section 6.6(F)).

⁸⁵ Note that residents may elect to move to the relocation housing before the 90 days have elapsed. However, a PHA may not compel a resident to move prior to this time.

⁸⁶ PHAs should note that URA regulations also require, where possible, that three or more comparable replacement dwellings be made available before a resident is required to move from his or her unit.

E) URA Notice of Relocation Eligibility – for residents whose temporary relocation exceeds one year (49 C.F.R. § 24.203(b))

After a resident has been temporarily relocated for one year, notwithstanding a prior issuance of a RAD Notice of Relocation, the PHA or Project Owner must provide an additional notice: the notice of relocation eligibility in accordance with URA requirements (“URA Notice of Relocation Eligibility”). The URA Notice of Relocation Eligibility is not required if the resident has already accepted permanent relocation assistance.⁸⁷

The URA Notice of Relocation Eligibility must conform to URA requirements as set forth in 49 C.F.R. part 24 and shall:

- Provide current information as to when it is anticipated that the resident will be able to return to the Covered Project.
- Give the resident the choice to remain temporarily relocated based upon the updated information or to accept permanent URA relocation assistance at that time instead of exercising the right to return at a later time.

If the resident chooses to accept permanent URA relocation assistance and this choice requires the resident to move out of their temporary relocation housing, the URA requires that the PHA or Project Owner make available at least one, and when possible, three or more comparable replacement dwellings pursuant to 49 C.F.R. § 24.204(a), which comparability analysis is in reference to the resident’s original unit. The URA further requires that the resident receive 90 days’ advance written notice of the earliest date they will be required to move pursuant to 49 C.F.R. § 24.203(c).

⁸⁷ To illustrate, consider the following examples.

- Example 1: The household is expected to be relocated for 11 months. The resident would receive a RAD Notice of Relocation offering only temporary relocation. Construction delays result in the extension of the relocation such that, in fact, it exceeds 12 months. When the temporary relocation exceeds 12 months, the resident must receive a URA Notice of Relocation Eligibility offering a choice between continuation in temporary relocation status and permanent relocation.
- Example 2: The household is expected to be relocated for 14 months. The resident would receive a RAD Notice of Relocation offering a choice between temporary relocation status and permanent relocation. If the household elects temporary relocation, the URA Notice of Relocation Eligibility is required as an additional notice following twelve months in temporary relocation status.
- Example 3: The household is expected to be relocated for 14 months. The resident would receive a RAD Notice of Relocation offering a choice between temporary relocation status and permanent relocation. If the household elects permanent relocation, the URA Notice of Relocation Eligibility is not required.
- Example 4: The household can be accommodated with temporary relocation of 3 months, but has been offered and seeks to accept permanent relocation pursuant to an alternative housing option. This resident would receive a RAD Notice of Relocation under Section 6.6(D)(4) offering a choice between temporary relocation status (the default option) and permanent relocation (the alternative housing option), instead of the RAD Notice of Relocation under Section 6.6(D)(3) which would be expected absent a permanent relocation option. The URA Notice of Relocation Eligibility is not required in either case because a temporary relocation exceeding 12 months was never anticipated nor experienced.

F) Notification of Return to the Covered Project

With respect to all temporary relocations, the PHA or Project Owner must notify the resident in writing reasonably in advance of the resident's expected return to the Covered Project, informing the resident of:

- The entity (the PHA or the Project Owner) with primary responsibility for managing the resident's relocation;
- The address of the resident's assigned unit in the Covered Project and, if different from the resident's original unit, information regarding the size and amenities of the unit;
- The date of the resident's return to the Covered Project or, if the precise date is not available, a reasonable estimate of the date which shall be supplemented with reasonable additional notice providing the precise date;
- That the PHA or Project Owner will reimburse the resident for all reasonable out-of-pocket expenses incurred in connection with the return relocation; and
- The resident's options and the implications of those options if the resident determines that he or she does not want to return to the Covered Project and wants to decline the right of return.⁸⁸

Reasonable advance notice shall be 15% of the duration of the resident's temporary relocation or 90 days, whichever is less. For short-term relocations, the PHA or Project Owner may include this information within the RAD Notice of Relocation.

6.7. Relocation Advisory Services

Throughout the relocation planning process, the PHA and Project Owner should be in communication with the residents regarding the evolving plans for relocation. Notwithstanding this best practice, certain relocation advisory services, described below, are required by the URA.

The URA regulations require the PHA or Project Owner to carry out a relocation assistance advisory program that includes specific services determined to be appropriate to residential or nonresidential displacements. The specific advisory services to be provided, as determined to be appropriate, are outlined at 49 C.F.R. § 24.205(c). For residential displacement under the URA, a personal interview is required for each displaced resident household to determine the relocation needs and preferences of each resident to be displaced. The resident household shall be provided an explanation of the relocation payments and other assistance for which the resident may be eligible, the related eligibility requirements, and the procedures for obtaining such assistance. Advisory counseling must also inform residents of their fair housing rights and be carried out in

⁸⁸ If the resident declines to return to the Covered Project upon completion of the period of temporary relocation, the resident shall be considered to have voluntarily moved out of the property, without the benefit of further relocation assistance. For example, a PHA or Project Owner may have rented a market-rate apartment as a temporary relocation resource for a six-month period. In such a situation, the resident may decline to return to the Covered Project and choose to remain in the market-rate apartment at the expiration of the six-month period, but shall not be eligible for any further relocation assistance and payments (including rent differential payments) under this Notice, the URA or Section 104(d), if applicable, in connection with the resident's decision to remain in the temporary housing and not return to the Covered Project.

a manner that satisfies the requirements of Title VI of the Civil Rights Act of 1964, the Fair Housing Act, and Executive Order 11063 (49 C.F.R. § 24.205(c)(1)).⁸⁹ Such advisory services under the URA may include counseling to ensure that residents affected by the project understand their rights and responsibilities and the assistance available to them (49 C.F.R. § 24.205(c)). In addition, the PHA or Project Owner should inform residents that if they believe they have experienced unlawful discrimination, they may contact HUD at 1-800-669-9777 (Voice) or 1-800-927-9275 (TDD) or at <http://www.hud.gov>.

6.8. Initiation of Relocation

PHAs and Project Owners **may not initiate any involuntary physical relocation until both the RCC is in effect and the applicable RAD Notice of Relocation period has expired** (i.e., after either 30 or 90 days' notice as applicable depending on nature of the relocation, as described above). This prohibition applies to all types of RAD transactions, regardless of whether the RAD Notice of Relocation is provided after issuance of a NOIA (for conversions involving acquisition) or following the effective date of the RCC (for all other conversions). PHAs are advised to account for the required 30-day or 90-day written notice periods in their planning process, to ensure that notices which satisfy all applicable requirements are issued prior to taking any action to initiate relocation.

Neither involuntary nor voluntary relocation for the project shall take place prior to the effective date of the RCC, unless moves are authorized under Section 7, below (“Applicability of HCV and Public Housing Requirements”) or unless HUD provides explicit approval which will only be provided in extraordinary circumstances. The PHA must wait until the RAD Notice of Relocation period has expired before it may initiate any involuntary relocation. However, a resident may request to move voluntarily, and the PHA may honor a resident’s request to move, before the applicable 30-day or 90-day period has elapsed, provided that the PHA may not take any action to encourage or coerce a resident to make such a request. If a resident has elected an alternative housing option, PHAs are advised to ensure that any consent to voluntary permanent relocation does not expire prior to the date of the relocation, as described in Section 6.10.

HUD may use administrative data to identify and investigate projects where relocation may be occurring prior to RCC.

6.9. Records and Documentation; Resident Log

HUD may request from the PHA or Project Owner written records and documentation in order to evidence the PHA’s and/or Project Owner’s compliance, as applicable, with this Notice and the URA.⁹⁰ HUD may request to review some or all of such records in the event of compliance

⁸⁹ For example, under fair housing and civil rights laws, the PHA and Project Owner may be required to inform residents about and provide reasonable accommodations for individuals with disabilities, such as search assistance; take appropriate steps to ensure effective communication with individuals with disabilities, such as through the provision of auxiliary aids and services, such as interpreters and alternate format documents; provide advisory counseling services in accessible locations and in an accessible manner for individuals with disabilities; and take reasonable steps to ensure meaningful access for LEP persons. See Section 4 of this Notice for more information on these requirements.

⁹⁰ Chapter 6 of HUD Handbook 1378 includes guidance on URA recordkeeping requirements.

concerns, in the event a project is identified for additional review based on administrative data, in the event of audits for purposes of monitoring the RAD program as a whole, upon selection of a random sample of projects and/or at other times at HUD's sole discretion. The records shall include resident files for all households relocated in connection with RAD and a resident log as described in this Section.

As part of such written record, the PHA or Project Owner must maintain data sufficient to deliver to HUD a resident log of every household that resides at the Converting Project at the time of the first required resident meeting on the proposed conversion pursuant to Section 1.8 of the RAD Notice (the "First Resident Meeting") and of every household that moves into the Converting Project after the First Resident Meeting and before the conversion of assistance under RAD. If any relocation is required, the log shall track resident status through completion of rehabilitation and construction, including re-occupancy after relocation. The resident log must include, but need not be limited to, the following information:

- Name of head of household
- PHA's resident identification number and/or the last four digits of the head-of-household's Social Security Number
- The head of household's race and ethnicity as reported on the HUD Form 50058 or the HUD Form 50058 MTW (the "Form 50058"). For purposes of the resident log, all references to the Form 50058 shall be to the form most recently prepared at the time of the First Resident Meeting or, for residents who moved in after the First Resident Meeting, the form most prepared at the time of the resident's initial occupancy.
- A Yes/No indication if there is any household member reported as having a disability on the Form 50058.
- A Yes/No indication if there is any household member reported as under the age of 18 on the effective date of action of the Form 50058;
- The household's relevant unit address, unit size and household size at the following times:
 - The time of the First Resident Meeting or the time of a resident's initial occupancy if after the First Resident Meeting
 - The time of the issuance of the CHAP or the time of a resident's initial occupancy if after the issuance of the CHAP
 - Proximate and prior to the PHA or Project Owner having authority to initiate involuntary relocation activities (i.e., at the time of issuance of the RCC unless otherwise approved by HUD upon extraordinary circumstances)
 - Completion of the relocation process following construction or rehabilitation and with return of all households exercising the right of return
- The household's residence status at the time of issuance of the RCC (e.g., in residence at the Converting Project, transferred to other public housing, moved out, evicted or other with explanation)
- The household's residence status upon completion of re-occupancy (e.g., in residence at the Covered Project/never relocated, in residence at the Covered Project/temporarily relocated and returned, transferred to other public housing, moved out, evicted, permanently relocated or other with explanation)
- The following dates for each resident household, as applicable:
 - Date of the RAD Information Notice

- Date of the GIN
- Date of the CHAP
- Date of NOIA
- Date of RAD Notice of Relocation
- Date of URA Notice of Relocation Eligibility
- Date of most recent consent to voluntary permanent relocation⁹¹
- Date of relocation away from the Converting Project or Covered Project
- Dates of any intermediate relocation moves
- Date of return to the Covered Project or to the household's post-closing permanent address.⁹²
- The following information for each resident household, as applicable:
 - The type of move (e.g., the types identified in Section 6.4, above)
 - The form of any temporary relocation housing (e.g., hotel, assisted housing, market-rate housing)
 - The address and unit size of any temporary relocation housing
 - Whether alternative housing options were offered consistent with Section 6.10, below
 - Any material terms of any selected alternative housing options
 - The type and amount of any payments for
 - Moving expenses to residents and to third parties
 - Residents' out-of-pocket expenses
 - Rent differential payments or other payments for temporary or permanent rental assistance, together with the rent and utilities (if applicable) that were the basis for the calculations
 - Any other relocation-related compensation or assistance

6.10. Alternative Housing Options

Under the RAD Notice, “involuntary permanent relocation” is prohibited and each resident must be able to exercise his or her right of return to the Covered Project. A PHA or Project Owner is permitted to offer a resident alternative housing options when a resident is considering his or her future housing plans, provided that at all times prior to the resident's decision, the PHA and Project Owner preserve the resident's ability to exercise his or her right of return to the Covered Project.

A) Requirements for Any Offer of Alternative Housing Options

All residents who are similarly situated must be given the same offer of alternative housing options. If the PHA or Project Owner seeks to limit the number of households that accept the

⁹¹ The most recent consent must be within 180 days of the actual relocation date, as discussed in Section 6.10(D).

⁹² In the case of voluntary permanent relocation, the date of “return” may be the same as the date of relocation away from the Converting Project.

offer of alternative housing options, the PHA or Project Owner shall determine a fair and reasonable method for selection among similarly situated residents.⁹³

In connection with any offer and acceptance of alternative housing options, the PHA or Project Owner must ensure that the residents' decisions are: 1) fully informed; 2) voluntary; and 3) carefully documented. Any alternative housing option must include, at a minimum, all relocation assistance and payments required under this Notice, the URA and Section 104(d), as applicable, and may include other elements. Funds administered by HUD may not be used to pay any monetary elements not required under this Notice, the URA or Section 104(d).

Acceptance of an alternative housing option is considered voluntary permanent relocation and the accompanying RAD relocation assistance and payments for which the resident may be eligible must be administered in accordance with all requirements for an eligible displaced person under the URA and its implementing regulations and, where applicable, Section 104(d) and its implementing regulations.

PHAs may not propose or request that a displaced person waive rights or entitlements to relocation assistance under the URA or Section 104(d). The PHA must provide a written notice of URA or Section 104(d) relocation assistance and payments for which the resident may be eligible so that the resident may make an informed housing choice. The resident must be provided at least thirty (30) days to consider the offer of voluntary permanent relocation and the resident's acceptance of the PHA's offer of voluntary permanent relocation must be in writing signed by the head of the household for that unit.

B) Assisted Housing Options as Alternatives

Alternative housing option packages may include a variety of housing options and PHAs and Project Owners shall take particular care to ensure program compliance with the regulations applicable to the alternative housing options. Examples of alternative housing options may include:

- Transfers to public housing
- Admission to other affordable housing properties subject to the program rules applicable to such properties
- Housing Choice Vouchers (HCVs) subject to standard HCV program administration requirements. PHAs must operate their HCV programs, including any HCVs offered as an alternative housing option, in accordance with their approved policies as documented in their Section 8 Administrative Plan and HUD regulations at 24 C.F.R. part 982. Any offer of an HCV as an alternative housing option must be made consistent with the

⁹³ For example, if the RAD conversion is financed by LIHTC and a few residents would not meet LIHTC program requirements, the PHA and Project Owner may want to offer these household alternative voluntary permanent relocation options. However, they must offer the same alternative housing options to all such households. As a second example, if the PHA and Project Owner seek to create two on-site vacancies of a particular unit size in order to facilitate temporary relocation on-site, the PHA may offer an alternative housing option of a housing choice voucher to all residents of applicably sized units (assuming that to do so is consistent with the PHA's voucher administration policies), and conduct a lottery to select the two households which will receive the vouchers.

PHA's admission preferences and other applicable policies and procedures set forth in the Section 8 Administrative Plan.

- Homeownership programs subject to the applicable program rules
- Other options as may be identified by the PHA and/or Project Owner

C) Monetary Elements Associated With Alternative Housing Options

A PHA or a Project Owner may include a monetary element in an alternative housing option package, provided that:

- Any monetary element associated with the alternative housing option shall be completely distinct from and in addition to any required RAD, URA or Section 104(d) relocation payments and benefits for which the resident is eligible ("Required Relocation Payments").
- No funds administered by HUD may be used to pay for any monetary element associated with the alternative housing option other than Required Relocation Payments.
- Any monetary element associated with the alternative housing option other than Required Relocation Payments must be the same amount offered to all similarly situated households.⁹⁴
- Any alternative housing option package must comply fully with the disclosure and agreement provisions of this Notice.

D) Disclosure and Agreement to Alternative Housing Options

In providing an offer of alternative housing options to a resident, the PHA or Project Owner must inform the resident in writing of: a) his or her right to return;⁹⁵ b) his or her right to comment on and/or object to plans which would preclude the resident from returning to the Covered Project; c) the requirement that if the resident objects to such plans, the PHA or Project Owner must alter the project plans to accommodate the resident in the Covered Project; and d) a description of both the housing option(s) and benefits associated with the right of return and the alternative housing options and benefits being offered. In the description of the available housing options and benefits, the PHA or Project Owner shall include a description of any temporary housing options associated exercising the right of return and a description of any permanent alternative housing options as well as a reasonable estimate of the financial implications of all temporary and permanent options on the resident long-term.

⁹⁴ Monetary payments other than Required Relocation Payments are considered "temporary, nonrecurring or sporadic income" pursuant to 24 C.F.R. § 5.609(c)(9) and consequently are excluded from income for purposes of eligibility and assistance calculations under certain HUD programs. Residents should be reminded that monetary payments other than URA relocation payments may be taxable under the Internal Revenue Code, that monetary payments, including required relocation payments, may affect residents' eligibility for other assistance programs and that the resident should seek knowledgeable guidance on these matters, including guidance on the taxation of monetary payments under state law.

⁹⁵ In the case of a transfer of assistance to a new site a significant distance from the Converting Project as described in Section 6.4(E), the resident shall be informed of the resident's right to return to the Covered Project at the new site and of the resident's right to an assisted unit within a reasonable distance of the site of the Converting Project, as described in Section 6.4(E).

The written notification may request written consent from the resident to exercise the alternative housing option and receive permanent relocation assistance and payments pursuant to RAD, the URA and/or Section 104(d), as applicable, in addition to any benefits associated with the alternative housing option. As part of any voluntary consent, the resident head of household must acknowledge in writing that acceptance of such assistance terminates the resident's right to return to the Covered Project. In order to ensure that the resident has sufficient time to seek advice and consider the alternative housing options, any consent to an alternative housing option executed within 30 days of the written presentation of the options shall be invalid.

Any offer of alternative housing options must be made in writing and the acceptance of the alternative must be voluntary and in writing. The offer of an alternative housing option must contain the following elements:

- The resident is informed of his or her right to return to the Covered Project and that neither the PHA nor the Project Owner can compel the resident to relinquish his or her right to return. The offer of alternative housing options must clearly state that acceptance of any alternative would relinquish the resident's right to return to the Covered Project.
- The offer of an alternative housing option must be accompanied by identification of comparable housing units which the resident may use to understand the nature of housing options available to them and the rent and estimated utility costs associated with such housing options. This information must also be accompanied by a reasonable estimate of any replacement housing payment or "gap payment" for which the resident may be eligible.
- The offer of an alternative housing option must be accompanied by information regarding moving payments and assistance that would be available if the resident exercises the right of return and if the resident accepts the alternative housing option.
- Residents must be offered advisory assistance to consider their options.
- To be fully informed, the offer must outline the implications and benefits of each alternative housing option being made available (i.e., of accepting each alternative housing option as compared to exercising his or her right to return) as well as a reasonable estimate of when the resident's relocation might occur. Implications and benefits include payment amounts, differences in rent calculations, differences in program rules, housing location, and potential long-term implications such as household housing expenses multiple years in the future.
- To be fully voluntary, the resident must have at least thirty (30) days following delivery of the written offer to consider their options. LEP persons must be provided a written translation of the offer and oral interpretation of any meetings or counseling in the appropriate language. In addition, PHAs must comply with their obligation to ensure effective communication with persons with disabilities.
- The resident cannot be asked to make a decision which will be implemented at a distant future time. Consequently, the resident may not provide written consent to an alternative housing option (and consequently, consent to voluntary permanent relocation) until after

the earlier of issuance of the NOIA or the effective date of the RCC.⁹⁶ If a resident signs a written consent to accept an alternative housing option, that written consent is valid for 180 days. If relocation (after the applicable notice periods) has not occurred within this 180 day period, then the PHA or Project Owner must secure a new consent to accept an alternative housing option. New relocation notices are generally not required.

- The acceptance must be in writing signed by the resident head of household, including a certification of facts to document that the household is relinquishing its right to return and that the decision and the acceptance of the alternative housing option was fully informed and voluntary.
- Residents accepting alternative housing options to relinquish their right to return will be considered to have voluntarily and permanently relocated. Such residents are to be provided applicable RAD, URA and/or Section 104(d) relocation assistance and payments.

The information included with the offer of alternative housing options is to aid the resident in making decisions regarding the desirability of the alternative housing options and neither satisfies nor replaces the relocation notices and information required to be provided to residents pursuant to this Notice, the URA or Section 104(d).

While HUD does not require PHAs to submit documentation of alternative housing options offered to residents or the residents' elections, PHAs must keep auditable written records of such consultation and decisions. HUD may request this documentation at any time, including as part of a review of the Checklist or if relocation concerns arise.

6.11. Lump Sum Payments

PHAs and Project Owners should note that certain relocation payments to displaced residential tenants may be subject to 42 USC § 3537c ("Prohibition of Lump-Sum Payments") and must be disbursed in installments. The PHA or Project Owner may determine the frequency of the disbursements which must be made in installments. Handbook 1378, Chapter 3-7(D) provides guidance on the manner and frequency of disbursing payments subject to this requirement.

Any monetary element beyond Required Relocation Payments which may be associated with an alternative housing option described in Section 6.10, above, is not relocation assistance and is therefore not subject to the requirements regarding lump sum payments.

SECTION 7. APPLICABILITY OF HCV AND PUBLIC HOUSING REQUIREMENTS

7.1. HCV Waiting List Administration Unrelated to the RAD Transaction

From time to time, a resident of a Converting Project may place themselves on the PHA's waiting list for HCVs independent of any planned RAD transaction. With respect to residents of a Converting Project prior to the effective date of the HAP contract, PHAs should continue to

⁹⁶ The PHA and Project Owner should note that securing resident consent to an alternative housing option may delay the issuance of the RAD Notice of Relocation. The RAD Notice of Relocation must be specific to whether the resident will be temporarily or permanently relocated.

administer their HCV waiting list in accordance with their Section 8 Administrative Plans. Residents who rise to the top of the HCV waiting list independent of any preference for relocating RAD residents or other RAD provisions and accept an HCV are not considered to be relocated as a result of the RAD conversion. Standard administration of the PHA's HCV waiting list is not considered relocation.

7.2. HCV Waiting List Administration Related to the RAD Transaction

From time to time, a PHA may wish to use HCV resources as a relocation option in connection with a RAD transaction. In order to do so, a PHA must modify its Section 8 Administrative Plan to provide a preference for relocating RAD residents and the PHA is subject to Section 6.8 of this Notice relating to initiation of relocation. Further, if a PHA provides a preference for relocating RAD residents, the PHA must be explicit regarding the nature of the HCV as a relocation resource. If the PHA anticipates using the HCV as a temporary relocation resource, the PHA must recognize that it cannot rescind an HCV once issued to the resident (i.e., the family would have to voluntarily relinquish their voucher and may choose to remain in the HCV program indefinitely). The PHA must also provide a preference for admission to the Covered Project in order to satisfy the right to return. Alternatively, if the PHA anticipates using the HCV as a voluntary permanent relocation resources, the PHA must comply with the alternative housing options provisions of Section 6.10.⁹⁷

7.3. Public Housing Transfers Unrelated to the RAD Transaction

From time to time, a resident of a Converting Project may request a transfer to another public housing property independent of any planned RAD transaction. With respect to residents of a Converting Project prior to the effective date of the HAP contract, PHAs must continue to administer their admissions and occupancy procedures as adopted. Any prohibitions in this Notice on implementing relocation do not apply to residents requesting public housing transfers, moves pursuant to the Violence Against Women Act (VAWA)⁹⁸ or reasonable accommodation moves. Standard administration of the PHA's admissions and occupancy policy is not considered relocation.⁹⁹ Transfers not undertaken for the RAD project are not subject to URA. However, it is recommended that the PHA document the transfer carefully, including an acknowledgement by the resident that the transfer is not undertaken for the RAD project, is not

⁹⁷ PHAs and Project Owners should note that while in most cases, there is no rent differential between the tenant paid rent in a public housing unit and in an HCV, there are some situations (such as flat rent households) where a difference does exist. Rental assistance payments under the URA are required if there is a difference between these two amounts.

⁹⁸ Title IV, section 40001-40703.

⁹⁹ Standard administration of the PHA's admissions and occupancy policy is permitted. However, HUD is sensitive to concerns that discussion of the planned RAD conversion and construction activities may cause residents to perceive a pressure to transfer without the counseling and moving assistance which would be available were the household to wait until relocation. If relocation at the Converting Project is planned, PHAs are strongly advised to document any such transfers carefully and to provide any households moving under standard admissions and occupancy policies with additional notices referencing the assistance and payments which would be available if the household were to remain in place until the relocation plan is implemented.

subject to URA requirements and that the resident is moving notwithstanding the guidance in the GIN or other relocation guidance from the PHA.

7.4. Resident Initiated Public Housing Transfers Related to the RAD Transaction

Pursuant to Section 1.8 of the RAD Notice, households in the Converting Project who do not want to transition to the Section 8 program may be offered, if available, the opportunity to move to other public housing owned by the PHA. Such move shall be implemented as a transfer and shall be prioritized equivalent to a “demolition, disposition, revitalization or rehabilitation transfer” as described in Section 11.2 of the applicable Public Housing Occupancy Guidebook. Transfers for this purpose do not require any modification to the PHA’s admissions and occupancy policy and may occur at any time pursuant to the PHA’s admissions and occupancy policy. Transfers for this purpose, while initiated by the resident, are the result of the PHA-initiated RAD transaction and the PHA must bear the reasonable costs of transfer. The reasonable cost of the transfer includes not just the cost of packing, moving, and unloading, but also the cost of disconnecting and reconnecting any existing resident-paid services such as telephone and cable television. The PHA must also document that the resident’s transfer request is fully informed and fully voluntary, which documentation must include an acknowledgement by the resident that the transfer is not undertaken at the request of the PHA or under pressure from the PHA, that the resident is moving notwithstanding the guidance in the GIN or other relocation guidance from the PHA and that the resident is withdrawing from participation in the RAD program and consequently losing rights, including the right to return, which accrue to residents participating in the RAD program. A public housing resident who voluntarily seeks a public housing transfer is generally not considered to be displaced under the URA or Section 104(d), where applicable.

7.5. Public Housing as a Temporary Relocation Resource

PHAs and Project Owners may wish to mitigate the relocation budget associated with the RAD conversion by using units within the PHA’s portfolio as relocation resources. In light of its mission to serve as many low-income households as possible, including its need to accommodate emergency transfers (such as moves pursuant to VAWA), the PHA should minimize the use of the public housing units not converting under RAD for temporary relocation of RAD impacted residents. HUD has a strong preference that the PHA use the units within the PHA’s Converting Projects as a temporary relocation resource prior to using units in the remainder of the PHA’s public housing portfolio. PHAs may elect not to lease units within the Converting Projects or, if necessary, the remainder of its portfolio, for this purpose only to the extent reasonably necessary to facilitate construction or rehabilitation.

Upon the effective date of the HAP contract (usually also the effective date of the RAD conversion), each resident of a Covered Project becomes a participant in the Section 8 program and is no longer part of the public housing program. A PHA may use public housing as a temporary relocation resource if approved by HUD, which approval shall depend on the proposed structure. PHAs wishing to use public housing units as a temporary relocation resource must consult with HUD’s Office of Public and Indian Housing (PIH) prior to the formal request for HUD approval. It is unlikely that HUD would approve a request to use public housing units

as a relocation resource for a period exceeding one year after the effective date of the HAP contract.

If HUD grants approval, HUD shall provide alternative requirements regarding PIH Information Center (PIC) documentation of the occupancy of these temporary relocation resources. PHAs must follow any guidance or instructions regarding treatment of the public housing units in HUD's data systems as may be provided from time to time.

PHAs and Project Owners should note that, absent written approval, if a resident seeks to occupy a public housing unit after the effective date of the HAP contract, the resident would need to be readmitted to public housing in a manner consistent with the waitlist and admissions policies and must exit the Section 8 program.

7.6. Terminations (Including Evictions) and End of Participation Unrelated to the RAD Transaction

Public housing program requirements related to continued occupancy and termination, including rules on grievances and related hearings, remain in effect until the effective date of a new PBV or PBRA HAP contract. If a resident is evicted in accordance with applicable state and local law and the eviction is not undertaken for the purpose of evading the obligation to make available RAD relocation and URA payments and other assistance, the resident is generally not entitled to relocation assistance and payments under this Notice or the URA (49 C.F.R. § 24.206). If a resident voluntarily ends his or her participation in the public housing program, in the absence of evidence that the end of participation was induced by the PHA for the purpose of evading the obligation to make available RAD relocation and URA payments and other assistance, the resident is generally not entitled to relocation assistance and payments under this Notice or the URA.

7.7. Right-Sizing

Public housing, PBV and PBRA requirements mandate that, upon the availability of a unit which is appropriate for the household size, the PHA or Project Owner must transfer a household that is under- or over-housed into the unit appropriate to the household's size. However, accommodating all residents pursuant to the right of return has primacy over right-sizing requirements and may, in some cases, require temporarily over-housing households. In such circumstances, the PHA or Project Owner shall subsequently transfer the household to an appropriate size unit when available, as is required by the applicable program regulation. Such actions shall be governed by the applicable program regulation and shall not be considered relocation under this Notice.

Lourdes Castro-Ramirez
Principal Deputy Assistant Secretary for
Public and Indian Housing

Edward L. Golding
Principal Deputy Assistant Secretary for
Housing

APPENDIX I: Applicable Legal Authorities

APPENDIX II: Recommended Relocation Plan Contents

APPENDIX I: Applicable Legal Authorities

Part 1

This Appendix to the Notice identifies key legal authorities with respect to fair housing, civil rights, and resident relocation. This Appendix is not exhaustive of applicable legal authorities, which authorities may also include other Federal statutes, regulations and Executive Orders, and civil rights provisions related to other programs (including funding programs) associated with the RAD transaction.

Fair Housing Act (Title VIII of the Civil Rights Act of 1968, as amended)

The Fair Housing Act, 42 U.S.C. § 3601 et seq., and its implementing regulations, 24 C.F.R. part 100, prohibit discrimination in the sale, rental, and financing of dwellings, and in other housing-related transactions, based on race, color, national origin, religion, sex, disability, or familial status. The Fair Housing Act applies to for-sale and rental housing, whether the housing is privately or publicly funded, including housing supported by tax credits. Single family homes, condominiums, apartment buildings, time-shares, dormitories, transitional housing, homeless shelters that are used as a residence, student housing, assisted living housing, and other types of housing are all covered by the Fair Housing Act.

Among its substantive provisions, the Fair Housing Act requires “covered multifamily dwellings,” designed and constructed for first occupancy after March 13, 1991, to be readily accessible to and usable by persons with disabilities. In buildings with four or more dwelling units and at least one elevator, all dwelling units and all public and common use areas are subject to the Act’s design and construction requirements. In buildings with four or more dwelling units and no elevator, all ground floor units and public and common use areas are subject to the Act’s design and construction requirements.¹⁰⁰ In addition, the Fair Housing Act requires that housing providers make reasonable accommodations in rules, policies, and services, when such accommodations may be necessary to afford a person with a disability equal opportunity to use and enjoy a dwelling unit, including public and common use areas, and that housing providers permit reasonable modifications of existing premises for persons with disabilities.

The Fair Housing Act also requires HUD to administer HUD programs and activities in a manner that affirmatively furthers fair housing (42 U.S.C. § 3608(e)(5)). HUD’s affirmatively furthering fair housing (“AFFH”) rule in 24 C.F.R. §§ 5.150-5.180 will apply to PHAs (except for qualified PHAs) for the PHA’s fiscal year that begins on or after January 1, 2018 for which a new 5-year plan is due, as provided in 24 C.F.R. § 903.5. The affirmatively furthering fair housing regulations will apply to qualified PHAs, for the PHA’s fiscal year that begins on or after January 1, 2019 for which a new 5-year plan is due, as provided in 24 C.F.R. § 903.5.¹⁰¹

¹⁰⁰ See 42 U.S.C. § 3604(f)(3)(c) and 24 C.F.R. § 100.205.

¹⁰¹ For purposes of the AFFH rule, “[a]ffirmatively furthering fair housing means taking meaningful actions, in addition to combating discrimination, that overcome patterns of segregation and foster inclusive communities free from barriers that restrict access to opportunity based on protected characteristics. Specifically, affirmatively furthering fair housing under the AFFH rule means taking meaningful actions that, taken together, address

Additional detail and discussion of the interplay between the Fair Housing Act, Section 504, and Titles II or III of the Americans with Disabilities Act as these authorities relate to accessibility requirements is described in Part 2 of this Appendix.

United States Housing Act of 1937 (1937 Act)

The United States Housing Act of 1937 (1937 Act) (42 U.S.C. § 1437c-1(d)(15)) requires PHAs to submit a 5-year plan and an Annual Plan. Pursuant to HUD regulations, the Annual Plan includes a certification by the PHA that the PHA will affirmatively further fair housing.

Title VI of the Civil Rights Act of 1964

Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d *et seq.*) and HUD's implementing regulation (24 C.F.R. part 1) prohibit recipients of Federal financial assistance from discriminating, excluding from participation, or denying benefits to, any person on the basis of race, color, or national origin. In addition, Title VI regulations prohibit HUD recipients of Federal financial assistance from utilizing criteria or methods of administration which have the effect of subjecting individuals to discrimination because of their race, color, or national origin (24 C.F.R. § 1.4(b)(2)(i)). When determining the site or location of housing, recipients may not make selections with the purpose or effect of excluding individuals from, denying them the benefits of, or subjecting them to discrimination on the ground of race, color, or national origin (24 C.F.R. § 1.4(b)(3)). An applicant or recipient of HUD financial assistance also has an obligation to take reasonable action to remove or overcome the consequences of prior discriminatory practices regardless of whether the recipient engaged in discriminatory conduct (24 C.F.R. § 1.4(b)(6)).

Recipients of Federal financial assistance are required to take reasonable steps to ensure meaningful access to their programs and activities for persons who have limited ability to read, speak, or understand English – i.e., individuals who have limited English proficiency (LEP). This includes oral and written communications during relocation and throughout a RAD transaction. Such language assistance may include, but is not limited to, providing written translation of notices regarding the plans for the project and relocation and oral interpretation at meetings. Otherwise, LEP persons may be denied participation in, and the benefit of, the recipients' program or activity. On January 22, 2007, HUD issued "Final Guidance to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons" (LEP Guidance), available at: http://www.lep.gov/guidance/HUD_guidance_Jan07.pdf.¹⁰²

significant disparities in housing needs and in access to opportunity, replacing segregated living patterns with truly integrated and balanced living patterns, transforming racially and ethnically concentrated areas of poverty into areas of opportunity, and fostering and maintaining compliance with civil rights and fair housing laws." 24 C.F.R. § 5.150. Meaningful actions means significant actions that are designed and can be reasonably expected to achieve a material positive change that affirmatively furthers fair housing by, for example, increasing fair housing choice or decreasing disparities in access to opportunity. See 24 C.F.R. § 5.152.

¹⁰² See also Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, which requires recipients of Federal financial assistance to take reasonable steps to provide meaningful access to

Section 504 of the Rehabilitation Act of 1973

Section 504 of the Rehabilitation Act of 1973 provides: “No otherwise qualified individual with a disability in the United States ... shall, solely by reason of her or his disability, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program, service or activity receiving Federal financial assistance.”¹⁰³

Among other things, HUD’s regulations implementing Section 504 (in 24 C.F.R. part 8) prohibit recipients of Federal financial assistance, in determining the site or location of a facility receiving such assistance, from making site selections the purpose or effect of which would (1) exclude qualified individuals with disabilities from or deny them the benefits of a program or activity, or otherwise subject them to discrimination; or (2) defeat or substantially impair the accomplishment of the objectives of the program or activity with respect to qualified individuals with disabilities.¹⁰⁴ These prohibitions apply to both determining the site of permanent facilities and a site for relocation of residents.

Furthermore, HUD’s implementing regulations prohibit discrimination, the denial of benefits, or the exclusion of participation of individuals with disabilities from the programs or activities of recipients of federal financial assistance because a recipient’s facilities are inaccessible. Such recipients must provide qualified individuals with disabilities with program access, which may require modification of architectural features of facilities in RAD transactions for individuals with disabilities to have access to the program. Certain architectural specifications apply to facilities that are altered or newly constructed with HUD financial assistance, such as facilities where assistance is transferred and facilities used as temporary or permanent relocation sites for residents of a project undergoing a RAD conversion. If alterations are made to a housing facility, the alterations to dwelling units in the facility are required, to the maximum extent feasible (i.e., if doing so would not impose undue financial and administrative burdens on the operation of the project), to be made readily accessible to and usable by individuals with disabilities. If alterations taken to a development that has 15 or more units and the cost of the alterations is 75% or more of the replacement cost of the completed facility (except when it requires removal of structural load-bearing members), or if the facility is newly constructed, then a minimum of 5% of the total dwelling units, or at least one unit in a development, whichever is greater, must be made accessible for persons with mobility impairments. An additional 2% of the units, but not less than one unit, in a development must be accessible for persons with hearing and vision impairments.

In addition, regulations implementing Section 504 require recipients to make reasonable accommodations for persons with disabilities. A reasonable accommodation is a change, adaptation, or modification to a policy, program, service, or workplace which will allow a qualified person with a disability to participate fully in a program, take advantage of a service, or perform a job. Section 504 also includes effective communication requirements, such as

their programs and activities for LEP persons. E.O. 13166 directs all Federal agencies, including HUD, to issue guidance to help recipients of Federal financial assistance in providing such meaningful access to their programs.

¹⁰³ 29 U.S.C. § 794. HUD’s Section 504 regulation that applies to recipients of Federal financial assistance, including PHAs and Project Owners, is located at 24 C.F.R. part 8.

¹⁰⁴ 24 C.F.R. § 8.4(b)(5).

providing interpreters and alternate format documents (e.g., Braille, large print, accessible electronic communications) for persons with disabilities.

Additional detail and discussion of the interplay between Section 504, the Fair Housing Act, and Titles II or III of the Americans with Disabilities Act as these authorities relate to accessibility requirements is described in Part 2 of this Appendix.

Titles II and III of the Americans with Disabilities Act

Title II of the Americans with Disabilities Act (ADA) prohibits discrimination on the basis of disability in all services, programs, and activities provided or made available by public entities. Title II of the ADA applies to housing developed or operated by state and local governments, which includes a PHA. Title III of the ADA prohibits discrimination on the basis of disability by public accommodations and requires places of public accommodation and commercial facilities to be designed, constructed, and altered in compliance with established accessibility standards. For example, Title III applies to rental offices, sales offices, homeless shelters, hotels and motels, and commercial spaces associated with housing, such as daycare centers, social service offices, and sales and retail establishments. Titles II or III also will generally apply to community spaces and facilities, such as neighborhood networks, to computer centers (including the computers in the centers), and to transportation services and conveyances provided by PHAs and Project Owners.

Additional detail and discussion of the interplay between Titles II and III of the Americans with Disabilities Act, the Fair Housing Act, and Section 504 of the Rehabilitation Act as these authorities relate to accessibility requirements is described in Part 2 of this Appendix.

Section 109

Section 109 of the Housing and Community Development Act of 1974 (HCDA of 1974), Title I, prohibits discrimination on the basis of race, color, national origin, disability, age, religion, and sex in Community Development Block Grant (CDBG) programs and activities. Section 109 applies to RAD projects that receive CDBG or other assistance under Title I of the HCDA of 1974.

In addition to its responsibility for enforcing other Federal statutes prohibiting discrimination in housing, HUD has a statutory obligation under Section 109 to ensure that individuals are not subjected to discrimination on the basis of race, color, national origin, disability, age, religion, or sex by recipients of CDBG funds. Section 109 charges HUD with enforcing the right of individuals to live in CDBG-funded housing and participate covered programs and activities free from such discrimination. However, this additional statutory authority only applies to programs authorized under Title I of the HCDA of 1974, such as CDBG and programs, such as Section 108 loan guarantees and the Historically Black Colleges and Universities program.

Equal Access to HUD-assisted or HUD-insured Housing

HUD requires its housing programs to be open to all eligible individuals and families regardless of sexual orientation, gender identity or marital status. HUD recipients and subrecipients must comply with 24 C.F.R. § 5.105(a)(2) when determining eligibility for housing assisted with HUD

funds or subject to an FHA-insured mortgage, and when making such housing available. This includes making eligibility determinations and making housing available regardless of actual or perceived sexual orientation, gender identity, or marital status, and prohibiting inquiries about sexual orientation or gender identity for the purpose of making eligibility determinations or making housing available. Applicants are encouraged to become familiar with these requirements, HUD's definitions of sexual orientation and gender identity at 24 C.F.R. § 5.100, clarifications to HUD's definition of family at 24 C.F.R. § 5.403, and other regulatory changes made through HUD's Equal Access Rule, published in the Federal Register at 77 FR 5662 (Feb. 3, 2012).

Section 3: Economic Opportunities for Low- and Very Low-income Persons.

Certain HUD programs require recipients of assistance to comply with Section 3 of the Housing and Urban Development Act of 1968 (Section 3), 12 U.S.C. § 1701u (Economic Opportunities for Low- and Very Low-Income Persons in Connection with Assisted Projects), and the HUD regulations at 24 C.F.R. part 135. The regulations at 24 C.F.R. part 135 implementing Section 3 ensure, to the greatest extent feasible, that training, employment, contracting and other economic opportunities be directed to low- and very low-income persons, especially recipients of government assistance for housing, and to businesses that provide economic opportunities to low- and very low-income persons where proposed project is located. Recipients of funds covered by Section 3 must comply with 24 C.F.R. part 135, particularly subpart B-Economic Opportunities for Section 3 residents and Section 3 Business Concerns, and Subpart E-Reporting and Recordkeeping. HUD encourages recipients to search the national Section 3 Business Registry to find local businesses that prioritize hiring Section 3 residents.

Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970

The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended, 42 USC § 4601 *et seq.* (URA) is a Federal law that establishes minimum standards for programs or projects receiving Federal financial assistance that include the acquisition of real property (real estate) and/or displace persons from their homes, businesses, or farms as a result of acquisition, rehabilitation, or demolition.¹⁰⁵ The URA implementing Federal regulations can be found at 49 C.F.R. part 24. Project-Based Voucher (PBV) and Project-Based Rental Assistance (PBRA) are considered Federal financial assistance for purposes of the URA. As a result, the URA will apply to acquisitions of real property and relocation of persons from real property that occur as a direct result of acquisition, rehabilitation or demolition for a project that involves conversion of assistance to PBV or PBRA programs under RAD.

¹⁰⁵ For additional guidance, see HUD Handbook 1378 Tenant Assistance, Relocation, and Real Property Acquisition), available at: http://portal.hud.gov/hudportal/HUD?src=/program_offices/comm_planning/library/relocation/policyandguidance/handbook1378.

Section 104(d) of the Housing and Community Development Act of 1974

Section 104(d) of the Housing and Community Development Act of 1974, as amended, 42 USC § 5304(d), (Section 104(d)), is a Federal law that applies when a lower-income dwelling is demolished or converted (as conversion is defined in accordance with 24 C.F.R. § 42.305) to a use other than lower-income housing in connection with a Community Development Block Grant Program (CDBG) or HOME Investment Partnerships Program (HOME) funded activity. Under Section 104(d), a lower-income person is considered displaced and, therefore eligible for Section 104(d) relocation assistance if the person permanently moves from real property or permanently moves personal property from real property as a direct result of the demolition or conversion of a lower-income dwelling to a use other than lower-income dwelling unit in connection with a CDBG or HOME funded activity. The Section 104(d) one-for-one replacement housing requirements may apply with respect to occupied and vacant occupiable lower-income dwelling units that are demolished or converted to a use other than lower-income dwelling units in connection with CDBG or HOME funded activity. Section 104(d) implementing regulations can be found at 24 C.F.R. part 42, Subpart C. Additional HUD policy and guidance for Section 104(d) is available in HUD Handbook 1378, Chapter 7.

Part 2 – Accessibility Requirements

Federal accessibility requirements apply to all RAD projects – whether they include new construction, alterations, or existing facilities. Applicable laws include, but are not limited to, the Fair Housing Act, Section 504 of the Rehabilitation Act, and Titles II or III of the Americans with Disabilities Act (ADA). A PHA or Project Owner must comply with each law that applies to its project and with the requirement that provides the most accessibility when two or more laws apply. All three laws include new construction requirements. Substantial alterations, additions, rehabilitation and existing facilities must be in compliance with applicable requirements of Section 504 and the ADA.¹⁰⁶ All three laws may also require reasonable accommodations or modifications.

Accessibility Requirements for New Construction

The Fair Housing Act requires all “covered multifamily dwellings” designed and constructed for first occupancy after March 13, 1991, to be readily accessible to and usable by persons with disabilities. In buildings with four or more dwelling units and at least one elevator, all dwelling units and all public and common use areas must meet the Fair Housing Act’s design and construction requirements. In buildings with four or more dwelling units and no elevator, all ground floor units and public and common use areas must meet the Fair Housing Act’s design and construction requirements. The Fair Housing Act requires that all covered multifamily dwellings be designed and constructed so that public and common use areas are readily accessible to and usable by persons with disabilities; all doors are sufficiently wide to allow passage by persons using wheelchairs; all units contain accessible routes into and through the dwelling unit; light switches, electrical outlets, thermostats, and other environmental controls are in accessible locations; reinforcements are installed in bathroom walls to allow later installation

¹⁰⁶See 24 C.F.R. § 100.205 (Fair Housing Act) and 24 C.F.R. §§ 8.22 and 8.23 (Section 504). See also 28 C.F.R. § 35.151(b) and 28 C.F.R. part 36 (ADA Titles II and III regulations, respectively).

of grab bars; and kitchens and bathrooms are usable such that a person in a wheelchair can maneuver about the space.¹⁰⁷ These design and construction requirements apply whether the housing is privately or publicly funded, including housing supported by tax credits.¹⁰⁸

New construction of a multifamily housing project containing five or more dwelling units is also subject to physical accessibility requirements under Section 504. Under Section 504, a “project” includes all residential and appurtenant structures, equipment, roads, walks, and parking lots which are covered by a single contract or application for Federal financial assistance, or are treated as a whole for processing purposes, whether or not they are located on a single site.¹⁰⁹ The accessibility standards for new construction under Section 504 are the Uniform Federal Accessibility Standards (UFAS).¹¹⁰ HUD recipients may also use the 2010 ADA Standards for Accessible Design under title II of the ADA, except for certain specific identified provisions, as detailed in HUD’s Notice on “Instructions for use of alternative accessibility standard,” published in the Federal Register on May 23, 2014 (“Deeming Notice”). This option exists until HUD formally revises its Section 504 regulation to adopt an updated accessibility standard. Refer to HUD’s Deeming Notice for more information.

Section 504 also requires that a minimum of 5% of the total dwelling units or at least one unit, whichever is greater, is required to be accessible for persons with mobility impairments. An additional 2% of the total dwelling units or at least one unit, whichever is greater, is required to be accessible for persons with vision and hearing impairments.¹¹¹ HUD may prescribe a higher percentage or number of units upon request by any affected recipient or by any State or local government or agency based upon demonstration to the reasonable satisfaction of HUD of a need for a higher percentage or number, based on census data or other available current data, or in response to evidence of a need for a higher percentage or number received in any other manner. In reviewing such request or otherwise assessing the existence of such needs, HUD shall take into account the expected needs of eligible persons with and without disabilities.¹¹²

Title II of the ADA prohibits discrimination on the basis of disability in all services, programs, and activities provided or made available by public entities. Title II of the ADA applies to housing programs, including housing developed or operated by state and local governments, which includes PHAs. Title III of the ADA prohibits discrimination on the basis of disability by public accommodations, including rental offices, and requires places of public accommodation and commercial facilities to be designed, constructed, and altered in compliance with established accessibility standards. All newly constructed or altered facilities, including facilities altered to

¹⁰⁷ See 24 C.F.R. § 100.205.

¹⁰⁸ For more information about the design and construction provisions of the Fair Housing Act, see www.fairhousingfirst.org. See also the Joint Statement of the Department of Housing and Urban Development and the Department of Justice, Accessibility (Design and Construction) Requirements for Covered Multifamily Dwellings Under the Fair Housing Act (April 30, 2013), available at: www.hud.gov/offices/fheo/library/hudjointstatement.pdf.

¹⁰⁹ See 24 C.F.R. § 8.3.

¹¹⁰ The UFAS are available at <https://www.access-board.gov/guidelines-and-standards/buildings-and-sites/about-the-aba-standards/ufas>). See also 24 C.F.R. § 8.32.

¹¹¹ See 24 C.F.R. § 8.22.

¹¹² See HUD regulation at 24 C.F.R. § 8.22(c).

comply with program access and readily achievable barrier removal obligations that exist under Titles II or III of the ADA, must comply with the U.S. Department of Justice's ADA architectural accessibility standards as described in the following U.S. Department of Justice Technical Assistance document ADA Requirements, Effective Date/Compliance Date (Feb. 2011), http://www.ada.gov/revised_effective_dates-2010.htm.

Accessibility Requirements for Alterations

If a building was constructed for first occupancy after March 13, 1991, the building must be in compliance with, and all alterations must maintain the building's accessible features so that the building continues to meet, the Fair Housing Act's accessibility requirements. In addition, without regard to the date of construction for first occupancy, certain alterations may be required under the Fair Housing Act if requested by a resident as a reasonable accommodation or modification or otherwise required to remediate accessibility deficiencies in the design and construction of the building.

Under HUD's Section 504 regulation, alterations include any structural change in a facility or a change to its permanent fixtures or equipment. If alterations are undertaken to a project that has fifteen or more units and the cost of the alterations is 75% or more of the replacement cost of the completed facility, this qualifies as "substantial alterations," in which the new construction provisions of 24 C.F.R. § 8.22 apply.¹¹³

When alterations are made that do not qualify as substantial alterations, alterations to dwelling units in a multifamily housing project shall, to the maximum extent feasible, be made to be readily accessible to and usable by individuals with disabilities.¹¹⁴ If alterations of single elements or spaces of a dwelling unit, when considered together, amount to an alteration of a dwelling unit, the entire dwelling unit shall be made accessible. Once 5% of the dwelling units in a housing project are readily accessible to and usable by individuals with mobility impairments, no additional elements of dwelling units or entire dwelling units are required to be accessible under this provision. However, alterations to meet ongoing accessibility needs are always required, for example, in response to a reasonable accommodation request. Alterations to common areas or parts of facilities that affect accessibility of existing housing facilities shall, to the maximum extent feasible, be made to be accessible to and usable by individuals with disabilities. For purposes of this paragraph, the phrase "to the maximum extent feasible" shall not be interpreted as requiring that a recipient (including a PHA) make a dwelling unit, common area, facility or element thereof accessible if doing so would impose undue financial and administrative burdens on the operation of the multifamily housing project.¹¹⁵

All altered facilities covered by Titles II or III of the ADA must be altered in accordance with the U.S. Department of Justice's 2010 ADA Standards for Accessible Design and applicable ADA

¹¹³ See 24 C.F.R. § 8.23(a). The sole exception is that load bearing structural members are not required to be removed or altered.

¹¹⁴ HUD may require a higher number or percentage of accessible units pursuant to 24 C.F.R. § 8.22(c) and 24 C.F.R. § 8.23(b)(2).

¹¹⁵ 24 C.F.R. § 8.23(b).

regulations, unless subject to certain safe harbors identified in the 2010 ADA revised regulations for Titles II and III, as applicable.¹¹⁶

HUD will consider on a case-by-case basis a PHA's request to undertake limited new construction on the site of a Covered Project undergoing rehabilitation to comply with accessibility requirements on the site.

Additional Accessibility Requirements for Both New Construction and Alterations

Accessible units must be distributed throughout projects and sites and be available in a sufficient range of sizes and amenities so that a qualified individual with disabilities' choice of living arrangements is, as a whole, comparable to that of other persons eligible under the same program.¹¹⁷ This provision shall not be construed to require provision of an elevator in any multifamily housing project solely for the purpose of permitting location of accessible units above or below the accessible grade.

PHAs are encouraged to use universal design principles, visitability principles and active design guidelines in planning new construction or retrofit work, wherever feasible. However, adherence to universal design principles does not replace compliance with the accessibility requirements of Section 504, the ADA and the Fair Housing Act.

Program Accessibility Requirements

Under Section 504, recipients must operate each existing housing program or activity receiving Federal financial assistance so that the program or activity, when viewed in its entirety, is accessible to and usable by individuals with disabilities. Title II of the ADA also includes a program access requirement, while Title III of the ADA requires readily achievable barrier removal.¹¹⁸ Further, Section 504, the Fair Housing Act, and the ADA require that reasonable accommodations/modifications be granted to address disability-related needs of individuals with disabilities.¹¹⁹

¹¹⁶ See <http://www.ada.gov/regs2010/2010ADASTandards/2010ADASTandards.htm>.

¹¹⁷ See 24 C.F.R. §§ 8.26 and 8.27.

¹¹⁸ See 28 C.F.R. § 35.150; 28 C.F.R. § 36.304.

¹¹⁹ For more information on reasonable accommodations, see the HUD/DOJ Joint Statement on Reasonable Accommodations Under the Fair Housing Act at <http://portal.hud.gov/hudportal/documents/huddoc?id=JOINTSTATEMENT.PDF>. While this joint statement focuses on the Fair Housing Act, the principles discussed in the statement generally apply to requests for reasonable accommodation under Section 504, except, for purposes of Section 504, HUD recipients are required to provide and pay for structural modifications as a reasonable accommodation.

APPENDIX II: Recommended Relocation Plan Contents

While RAD mandates written relocation plans only for projects which involve permanent relocation (including, without limitation, a move in connection with a transfer of assistance) or temporary relocation anticipated to last longer than one year, HUD strongly encourages PHAs to document their relocation planning process and procedures in a written relocation plan. The following provides suggested content for required and recommended relocation plans. In the case of any discrepancy between this description of the recommended relocation plan contents and the provisions of the Notice to which this Appendix is attached or any applicable laws or regulations with respect to the URA or Section 104(d), the provisions of the Notice or applicable laws and regulations shall govern.

The basic elements of the relocation plan include:

- A general description of the project and project elements that may create relocation needs;
- Information on residents of the project and eligibility for relocation assistance and payments;
- Information regarding how the project will address the RAD right to return requirements and the project's re-occupancy policies;
- A detailed discussion of plans for temporary relocation assistance;
- A detailed discussion of any transfer of assistance;
- A detailed discussion of any offers of alternative housing options and plans for voluntary permanent relocation assistance;
- A detailed discussion of compliance with fair housing and civil rights requirements, including accessibility requirements;
- The relocation budget; and
- The appeals process.

The plan as a whole should discuss the specific steps to be taken to minimize the adverse impacts of relocation on the residents.

I. Project Summary

The Relocation Plan should provide a general description of the property (e.g., year built, location, number of units, configuration, resident population served). The project summary should also identify the nature of the activities to be undertaken, including acquisition, demolition, rehabilitation, and construction activities and additional detail regarding the project scope (e.g., gut rehab, systems replacement, modest in-unit renovations, transfer of assistance). The project summary should also discuss how any construction activities are to be implemented (i.e., vacate the property entirely, vacate specific floors or buildings, rehabilitation with residents in place). The summary should also discuss the overall theory of relocation, for example, whether a few households will be relocated off-site and the vacant units will be used as temporary housing before other households move back to their original units (a "hoteling" approach), or whether the vacant units will be permanently occupied, with the residents vacating other units to be renovated (a "domino" approach).

The relocation plan should also identify the funding sources which may trigger relocation requirements, with particular attention to the potential presence of HOME or CDBG funds which may trigger Section 104(d) requirements.

II. Project Occupancy

The Relocation Plan should provide information on occupancy of the property including the number of residents, their household type (family, elderly), any non-residential (commercial) occupants, and should identify how any routine needs (such as continuation of utilities such as telephone service) and civil rights compliance issues (for example, limited English proficiency, disabilities, reasonable accommodations and unit modifications that have been or may be necessary) shall be identified and addressed. The Relocation Plan may specify the community meetings, interviews and/or other processes that will be undertaken to assess the residents' needs.

The Relocation Plan should also address eligibility for relocation assistance and payments, applying the rules of the Notice to the particularities of the project.

III. Resident Return and Re-occupancy Policies

The Plan should address how the project will honor the RAD right to return requirements and the “no re-screening upon conversion” policy. With respect to residents who will be temporarily relocated, the Plan should include the methodology that will be used to determine the sequence in which residents will re-occupy units at the project after rehabilitation, demolition, and/or construction is completed, and to determine how residents are matched with units if the residents are not able to return to their original unit. For example, if units will come online in stages, the plan should outline how the PHA or Project Owner will determine when each resident will return to the property.

IV. Temporary Relocation Assistance

The plan should detail the temporary housing resources to be used, the anticipated duration of temporary relocations, notices to be provided and the temporary relocation assistance the PHA or Project Owner will provide for residents (Paragraph 2-7 of HUD Handbook 1378). Topics to be addressed in the Plan include:

- Temporary Housing Resources. The Plan should identify the nature and availability of the temporary housing resources the PHA or Project Owner anticipates using. On-site resources are generally preferred. However, in some cases, PHAs or Project Owners may need to use hotel rooms for short-term relocations, or market-rate apartments. If the PHA or Project Owner anticipates using other assisted housing resources (such as HCVs, public housing or other properties with regulatory restrictions), the PHA or Project Owner should take particular care to address regulatory issues.
- Allocation of Temporary Relocation Resources. The Plan should describe a fair and reasonable methodology for allocating temporary relocation housing to residents on a nondiscriminatory basis.
- Duration of Temporary Relocation. In the event that the Plan includes relocation which is anticipated to exceed one year, it should detail the requirements which apply to those

residents (such as the issuance of a *Notice of Relocation* to the resident covering eligibility for URA relocation assistance, the offer of permanent relocation assistance and payments at URA levels and, if conditions warrant, the subsequent issuance of a *Notice of Eligibility*) as distinct from requirements that apply to residents who are not relocated for more than one year.

- Packing and Moving Assistance. The Plan should address how the PHA or Project Owner intends to provide or reimburse for packing and moving services and expenses. Considerations the Plan may want to address include:
 - Instructions and supplies (e.g., boxes, markers, tape) to be provided if residents prefer to pack their own personal possessions and items of value;
 - Assistance in packing to be provided if residents need assistance or prefer not to pack their personal possessions;
 - Guidance on how residents request to pack their own possessions or to receive packing assistance; and
 - How the PHA or Project Owner intends to provide or reimburse for moving services and expenses. The PHA or Project Owner can choose to do one or more of the following:
 - Undertake the moves itself, using employees of the PHA or Project Owner or “force account labor”¹²⁰
 - Use a contractor or moving company
 - Reimburse residents for all actual, reasonable and necessary moving expenses.
- Storage. The Plan should address whether storage of the resident’s personal property is necessary and the arrangements for such storage.
- Damage or Loss. The Plan should address Insurance for the replacement value of the property in connection with the move and necessary storage and/or the replacement value of property lost, stolen, or damaged in the process of moving (not through the fault or negligence of the displaced person, his or her agent, or employee) where insurance covering such loss, theft, or damage is not reasonably available.
- Out-of-Pocket Expenses. The nature of out of pocket expenses vary based on the nature of the temporary relocation moves. For example, hotel stays or in-place renovation may trigger the need for reimbursement of meals while a kitchen is unavailable. The Plan should outline the anticipated out-of-pocket expenses and the PHA’s or Project Owner’s plans and budget with respect to these expenses.
- Leasing Arrangements. The Plan should address whether the resident will have a direct lease or other contractual relationship with the owner of the temporary relocation resource or whether the PHA or Project Owner will hold the lease and the resident will maintain a contractual relationship with the PHA or Project Owner.
- Utility Costs. The Plan should address whether residents will need to disconnect and reconnect necessary utilities and, if so, how the PHA or Project Owner anticipates managing this process and any associated expenses. Necessary utilities may include telephone, cable service, Internet access or other items. The Plan should address payment of utility deposits, if required at the temporary relocation housing (HUD Handbook 1378, paragraph 2-7(A)(3)).

¹²⁰ Defined at 24 C.F.R. 905.108.

- Reasonable Accommodations. The plan should address whether residents with disabilities will require reasonable accommodations during temporary relocation and, if so, how the PHA or Project Owner anticipates ensuring the provision of reasonable accommodations and any associated expenses. Reasonable accommodations may include, among other items, the provision of transportation assistance, relocation to locations which are physically accessible and located near public transportation, and modifications to policies to allow individuals with disabilities to reside with a live-in aide.

V. Transfer of Assistance

Relocation planning in the context of transfer of assistance is particularly complex. The PHA should address how RAD, URA and Section 104(d) requirements each apply, as the same activity may be treated differently under each regulatory framework. The Plan should specifically outline the PHA's procedures to ensure that the applicable requirements are applied to each situation appropriately. The Plan should also address whether relocation is required for any businesses or residents at the destination site. Finally, the Plan should address whether two moves – from the public housing site to an intermediate site and then to the transfer of assistance site – are necessary while the Covered Project is being constructed or rehabilitated.

VI. Alternative Housing Options and Voluntary Permanent Relocation Assistance

If the PHA or Project Owner seeks to offer alternative housing options, the Plan should identify those options and the manner in which they are presented to residents for decision. The plan should also outline the counseling the PHA or Project Owner will provide to assist the residents in determining what options may be available and the financial implications of those options, for example,

1. Discussion of whether units available in the market (either in the affordable market or the unrestricted market) will meet the financial and dwelling requirements of relocated residents;
2. The general area or location of unit(s);
3. Where applicable, the accessibility of such units for individuals with disabilities;
4. Criteria for receiving relocation assistance; and
5. Any other information that might benefit residents in their consideration of housing choices.

The Plan should identify how the PHA or Project Owner will work with any residents who have elected voluntary permanent relocation. The Plan should further include a description of the permanent relocation assistance the PHA or Project Owner will provide to such residents. Topics to be addressed in the Plan include:

- Replacement Housing. The Plan should address the availability of comparable replacement housing, the notices to be provided and the provisions to ensure that appropriate accessibility features are available in compliance with applicable laws and regulations.

- Fair housing considerations. The Plan should address referrals to housing not located in areas of minority concentration and compliance with requirements regarding accessible housing for persons with disabilities. The Plan should address how the PHA or Project Owner will determine if residents have paid for the acquisition and/or installation of accessible features in the housing from which they are being relocated and how the PHA or Project Owner will ensure that the replacement housing contains required and comparable accessible features or that the resident is appropriately compensated for the cost of acquiring and/or installing required and comparable accessible features.
- Packing and Moving Assistance. The Plan should address how the PHA or Project Owner intends to provide or reimburse for packing and moving services and expenses. Considerations the Plan may want to address include:
 - Instructions and supplies (e.g., boxes, markers, tape) to be provided if residents prefer to pack their own personal possessions and items of value;
 - Assistance in packing to be provided if residents need assistance or prefer not to pack their personal possessions;
 - Guidance on how residents request to pack their own possessions or to receive packing assistance; and
 - How the PHA or Project Owner intends to provide or reimburse for moving services and expenses consistent with 49 C.F.R. § 24.301 or, at the resident's option, 49 C.F.R. § 24.302.
- Storage. The Plan should address whether storage of the resident's personal property is necessary and the arrangements for such storage. See 49 C.F.R. § 24.301(g)(4).
- Damage or Loss. The Plan should address Insurance for the replacement value of the property in connection with the move and necessary storage and/or the replacement value of property lost, stolen, or damaged in the process of moving (not through the fault or negligence of the displaced person, his or her agent, or employee) where insurance covering such loss, theft, or damage is not reasonably available.
- Dislocation Allowance. The Plan should address when the resident is entitled to a dislocation allowance and the amount of such dislocation allowance, consistent with the URA Fixed Residential Moving Cost Schedule available at: www.fhwa.dot.gov/real_estate/uniform_act/relocation/moving_cost_schedule.cfm.
- Appliances. The Plan should address disconnecting, dismantling, removing, reassembling, and reinstalling relocated household appliances and other personal property.
- Security Deposits and Utility Costs. The Plan should address how the PHA or Project Owner anticipates managing transfer of utility arrangements, security deposits and any associated expenses. Utilities may include telephone, cable service, Internet access or other items that may have been in place in the resident's original home. See 49 C.F.R. § 24.301(h)(12).
- Replacement Housing Payment. The Plan should address the circumstances in which displaced residents may be entitled to a replacement housing payment (RHP) to cover the

increase, if any, in monthly housing costs for a 42-month period pursuant to URA requirements or a 60-month period pursuant to Section 104(d).¹²¹

VII. Relocation Budget

Based on the results of the planning process, the PHA or Project Owner should create a relocation budget that includes the following six components:

- 1) The cost of administering the plan and providing assistance and counseling.
- 2) Reasonable moving expenses for a person with disabilities, which may include the cost of moving assistive equipment that is the personal property of the residents, the furnishings and personal belonging of a live-in aide, and/or other reasonable accommodations (HUD Handbook 1378, Paragraph 3-2).
- 3) The cost of the physical move of the residents' belongings. (It is suggested that the move costs be broken down by average cost per move type multiplied by the number of moves.) This physical move cost total should be based on the move scenarios anticipated or projected by the resident survey. The move costs should consider:

For temporary relocation moves:

- Number and cost of two-way moves (i.e., a move to another unit and then a return move) within the same building/complex.
- Number and cost of two-way moves to a unit not in the same building/complex

For permanent moves:

- Number and cost of one-time moves into another unit in the same building/complex.
- Number and cost of one permanent move to a unit not within the same building/complex
- Any required dislocation allowance

- 4) The estimated cost of projected increases in monthly housing costs and other expenses for temporary relocation (if applicable).
- 5) The estimated cost of projected replacement housing payments (RHP) (42-month period for URA or 60-month period if Section 104(d) applies).
- 6) Contingency costs estimated for carrying out the relocation process necessary to complete the proposed project.

¹²¹ See also, CPD Notice 2014-09 "Effective Date of Moving Ahead for Progress in the 21st Century Act (MAP-21) Changes to Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (URA) Payment Limits and Replacement Housing Payment Eligibility Criteria."

VIII. Written and Oral Communications with Individuals with Disabilities and LEP Persons and Use of Accessible Meeting Locations

The Plan should identify how the PHA or Project Owner will take appropriate steps to ensure effective communication with residents and other individuals with disabilities involved in the relocation, such as through the provision of sign language and other interpreters and large print, Braille, accessible electronic, and other alternate format written communications. The Plan should identify the measures to be taken to ensure the most integrated meeting settings appropriate to individuals with disabilities. The Plan should identify how the PHA or Project Owner will ensure meaningful access for LEP persons, such as through written materials and oral communications provided in languages other than English.

IX. Appeal Process

The Plan should specify the procedures to be followed if a resident disagrees with the PHA's or Project Owner's decision as to the resident's eligibility to receive relocation assistance, the amount of a relocation payment, or the adequacy of a comparable replacement dwelling offered to a resident. These procedures should include the process for filing a written appeal to the displacing agency and the specific appeal procedures to be followed consistent with 49 C.F.R. 24.10 (and 24 C.F.R. § 42.390 if Section 104(d) is involved).

X. Certification

The Plan should contain a certification of compliance with this Notice (or H 2014-09/PIH 2014-17, if applicable), the URA, fair housing and civil rights requirements and, if applicable, Section 104(d).

Technical Assistance

For detailed technical assistance regarding the contents or provisions of a written relocation plan, the PHA or Project Owner should direct questions to their RAD Transaction Manager or email rad@hud.gov.