NYCHA Transformation: Phase 1 Implementation Plan

February 2022

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Chapter 1.**Introduction**

On March 8, 2021, the New York City Housing Authority ("NYCHA") released the Transformation Plan, which outlined an unconstrained vision for the agency's future and introduced several specific reforms to realize that vision. This package of reforms was designed to improve the Authority's day-to-day operations and help the agency meet the requirements of the 2019 Agreement ("The Agreement") signed by the agency, the US Department of Housing Urban Development ("HUD"), and the City of New York.

Under Paragraphs 46 and 47 of the Agreement—and further memorialized through a separate agreement between NYCHA, the Monitor, HUD, and the US Attorney's Office for the Southern District of New York ("SDNY")—NYCHA committed to an "Organizational Plan," which includes the Transformation Plan and two implementation plans that detail the activities NYCHA will take to execute on the Transformation programs.

This first Implementation Plan ("The Plan"), developed with participation from NYCHA residents, the federal oversight team, and other partners, details the specific organizational changes and process improvements the agency has identified as priorities.

This Plan begins to reconcile multiple NYCHA plans, including the Action Plans produced by the six Pillar teams established under the Agreement—Heat, Elevators, Lead, Mold, Pests & Waste, and Apartment Inspections ("pillars"). Continued reconciliation will occur through the writing of the subsequent implementation plan, which will include updated Action Plans.

Each Action Plan details the specific activities the agency will take to meet the requirements on that specific topic. The Agreement's requirements—reflected both in the Action Plans and the Transformation Plan—have added to the frontline workload, requiring a reconciliation of responsibilities and staff capacity. This Plan reconciles those requirements, offering a single view of the agency's end-to-end operations.

1. **Structure of the Implementation Plan**

The Implementation Plan is focused on the Transformation's priority projects—the programs that the agency has identified as most critical to improving service levels and living conditions at developments—along with other activities that enable or enhance the Transformation's goals. A full list of all Transformation programs—including their priority status—is included in Chapter 2. Many Transformation priority projects, including Work Order Reform and Janitorial Reform, have direct impacts on the Agreement's requirements, while the Neighborhood Model, described in Chapter 3, is designed not only to enable general improvements in agency operations but also to achieve the performance improvements dictated by the terms of the Agreement.

The document is organized into six chapters:

- **Chapter 1: Introduction**—describes the scope of the document and the process for approvals, amendments, and subsequent editions.

- **Chapter 2: NYCHA Transformation**—describes the vision, mission, and values driving NYCHA's future. Includes early Transformation governance changes.

- **Chapter 3: The Neighborhood Model**—describes NYCHA's new operating model, core processes, challenges, and planned changes.

- **Chapter 4**: **Resident-Facing Functions**—describes the eight primary resident-facing function NYCHA performs under regulatory or contractual obligation. The two functions aligned with Transformation priority projects—performing in-unit repairs and maintaining common areas—include a narrative of the end-to-end process, along with specific challenges the agency faces in service delivery and any actions taken to address those challenges.[1] Two additional functions that align with the pillars—maintaining building systems and mitigating hazards—are treated with brief discussions of how the functions interact with the Transformation operating model and how each part of the agency works together to deliver the service. Pillar-specific actions are not included in this Plan but can be found in action plans and standard procedures as indicated throughout.

- **Chapter 5**: **Enabling Functions**—describes the enabling functions and processes that support NYCHA's day-to-day service delivery. The Plan captures each enabling function's relationship with the new operating model, along with more detailed descriptions of any priority projects within the function.

- **Chapter 6: Implementation Plan Delivery**—describes how NYCHA will manage, document, and sustain the Transformation program.

- **Chapter 7: Plan Governance and Future Plans**—commits NYCHA and the oversight partners to an agreement on a Phase II plan.

2. **Process and Approval Mechanisms**

The Organizational Plan—which includes the Transformation Plan and two subsequent implementation plans—is defined under Paragraphs 46 and 47 of the Agreement. NYCHA submits this first plan for approval pursuant to Paragraph 51. NYCHA will submit the second plan for approval pursuant to Paragraph 51 in 2022.

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[1] Each Challenge and Action has a descriptive title heading, which will not necessarily match any specific Transformation strategy. Individual actions are more specific than the Transformation strategies and may reside within one or multiple Transformation working groups.

3. **Update and Review Process**

The scope and structure of the 2022 implementation plan will be agreed to by NYCHA, the Monitor, HUD, and SDNY.

Chapter 2. **NYCHA's Transformation**

1. **NYCHA's Vision**

NYCHA's Transformation Plan offers an ambitious vision for a modern housing authority—an agency that learns from past mistakes and positions itself to deliver consistent, high-level service to its residents for decades to come. This vision places the agency and its residents side-by-side as partners to lead the organization through the most challenging moment in its history.

Aside from initial construction financing, NYCHA was designed as a self-sustaining agency, with resident rents sufficient to capitalize buildings and finance component replacements. While most privately held multifamily buildings are capitalized on 20-year cycles, NYCHA rents began to stagnate as many of the developments were reaching their first or second capital cycles, requiring a federal subsidy to keep the program afloat, but leaving the buildings systemically undercapitalized for the future.

By 2019, conditions had deteriorated beyond basic standards of acceptability, as evidenced by the lengthy list of findings the 2018 SDNY investigation preceded the Agreement.[2] The Agreement was the nadir for an agency long in decline. Once held up as a model of public housing for the rest of the country, NYCHA struggled through the last 25 years, with the weight of capital disinvestment slowly crushing a weakening management structure. While an influx of capital funds—over $40 billion to restore the buildings to par—is a necessary condition for the agency's long-term viability, it is not sufficient.[3] NYCHA's management must change too.

Lead paint, pervasive mold, heating outages, elevator outages, and pest infestations were the focus of the Agreement, but other issues like long wait times on basic repairs and the unsanitary conditions proliferating inside and outside the buildings present a daily challenge for the agency.

The Transformation Plan was the first step in addressing these challenges, acknowledging the agency's recent failures and detailing the structure and processes that will address the management issues that have plagued the agency. The Plan took an expansive view of NYCHA's role in the city and adopted a lofty view of what the agency is capable of achieving.

The Transformation's core principles are site-level control and independence, paired with strong central standards—empowering the developments by pushing resources and decision-making away from the central office and into the hands of those who know the most about the properties: the on-site Property Management staff. Starting with resident needs, NYCHA built the Transformation structure from the development up, with a focus on building robust local teams that can operate as quasi-independent, with sufficient and appropriate oversight.

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[2] https://www.justice.gov/usao-sdny/press-release/file/1070581/download.

[3] The Agreement did not include the provision of any additional federal capital funds.

Decentralizing authority and resources is not revolutionary in property management, public housing, or even at NYCHA. For decades, NYCHA has shifted between periods of decentralized authority and periods of highly centralized authority. Many of the centralized periods corresponded to times of intense budgetary pressures, forcing a constriction of the employee base and creating the need for shared services to cover previously local services.

NYCHA has remained highly centralized since the early 2000s, with a central office that grew distant from the on-the-ground needs of the developments. The "district" model, which placed operational resources in nine hubs across the city, was replaced with a borough structure that spread limited resources across all the developments. Residents who may have had plumbers, painters, and plasterers on site were now forced to navigate a city-wide repair system that allocated staff from the Boroughs. With accountability moved off-site, wait times increased and quality suffered, frustrating residents who simply wanted the agency to fulfill its obligations under the lease. Staff morale suffered as the scale of the challenge surpasses the agency's resources and ability to manage it.

To meet the needs of our residents and the terms of the Agreement, we must invest in the developments and enable our staff to provide the level of service they work so hard to do. The Transformation envisions developments where repairs are addressed quickly, the grounds free of trash and debris; developments where residents feel safe and secure coming and going at all times of the day and night. This Plan is the map to that vision—detailing how NYCHA will achieve this level of service again despite the current constraints on the agency.

2. NYCHA's Mission

As part of the Transformation, NYCHA introduced a new mission statement, which codifies the agency's purpose:

> *NYCHA's mission is to provide quality housing for New Yorkers that is sustainable, inclusive, and safe, while fostering opportunities for economic mobility.*

Each piece of the mission captures a key component of NYCHA's future success. "Quality housing" includes all the requirements of the Agreement and the need to ensure each unit is kept to a basic standard of repair and habitability. No NYCHA resident should live with pervasive leaks, peeling paint, or creeping mold on their ceiling. That they do only reinforces the amount of work ahead for the agency.

The second half of the mission dates back to the agency's founding—connecting residents with economic opportunities and enabling mobility were part of the state Public Housing Law and the US Housing Act of 1937. Public Housing Authorities ("PHAs") have historically struggled with this concept—even more in the last 45 years as public housing became intergenerational amongst wage stagnation and reduced economic mobility. Those challenges only elevate NYCHA's need to deliver on this second half of the mission. Empowering our residents as people—not simply as tenants—is part of NYCHA's role and must remain so.

The Transformation is designed to meet this mission. This Plan, outlining the agency's priorities in executing the Transformation, uses the mission as a decision-making guide. Each action item described in this Plan furthers the mission. Priority projects were chosen partially for the potential to deliver on this mission.

3. **NYCHA's Values**

As part of the Transformation Plan's engagement efforts, NYCHA worked with residents and staff to identify a set of six values that would guide the Transformation and ongoing work of our project teams.

These core values drove the process of developing the Transformation Plan, and will continue to drive its implementation by acting as a benchmark and guide for how to measure the success and relevancy of a change. During Customer Service Week in October 2021, NYCHA distributed the table below to all employees as a resource for how to apply our core values in our work every day.

Exhibit 1: Transformation Plan Values

Value	What it means	Making it work for you
Culture of Service	Having a resident-first mindset and treating our fellow colleagues with dignity and respect.	Was the issue resolved? Did the customer feel listened to?
A partnership with Residents	Meaningful engagement with residents as we make decisions on the management of our properties.	Did our decision-making consider the resident's perspective?
Empowering our Staff	Investing in employee careers, showing appreciation for hard work, and rewarding quality performers.	Are staff empowered in their work? Are they recognized for their efforts?
Breaking Down Silos	Cross-departmental planning, learning, and transparency.	Who else should provide input in the decision-making process? Who can assist me with this problem?
Data Driven Decision Making	Basing management choices on accurate and reliable data.	How is this decision being made? Is their information that should be included in our decision making?
Becoming a Better Partner	Making it easier for public, private, and non-profit stakeholders to work with us.	Who can we partner with to improve our programs or services? Who else would benefit from our work?

i. **Culture of Service:**

Under this plan, NYCHA will organize and recommit to a culture of service—service to our residents, Section 8 participants, to the City, and to each other. Every employee must have a customer service mindset, a desire to go above and beyond for residents and their colleagues, leading to a foundational change in culture. We will address our culture challenges with training, communications, and implementation support. Culture of Service requires an empowered workforce who understand their role in the organization's overall mission, have a clear set of norms they can draw from, and are motivated to act daily in a manner that results in resident satisfaction.

- To understand the current culture and to envision a culture of service we want to adopt, we asked the Employee Engagement Committee (EEC)—a group of volunteer employees from across NYCHA charged with tackling tough problems around NYCHA culture—to share their experiences with the current organizational culture and identify some key strategies we can take to build a culture of service:

    a. **Prioritize Workplace Culture** where leadership sets expected norms and behaviors to create a positive, transparent, communicative, and fair workplace.

    b. **Invest in the Workforce** through mentorship and coaching programs, seeking feedback from staff both on workplace concerns and policy creation, improving supervisory training, and using internal staff for special projects.

    c. **Hold Staff Accountable** by accurately evaluating performance, acknowledging positive and negative outcomes, establishing a fairer disciplinary action process, and surveying residents more frequently.

    d. **Change the Look and Feel of NYCHA Developments** with positive visual updates such as a fresh coat of paint and NYCHA branded posters to increase staff self-esteem and to communicate uniform messaging around the agency's mission and vision to staff, residents, and visitors.

ii.   A Partnership with Residents:

NYCHA's relationship with residents has soured over the past two decades, with distrust swelling from continued disappointment and a lack of communication. Under the Transformation, NYCHA is working in new and different ways with residents, including resident voices on all Transformation working groups and soliciting resident input on a wider set of topics than ever before.

- **Priority Project: Strengthen Engagement Under 24 CFR 964 (Transformation Strategy 7.F.1):** In September 2021, NYCHA signed a Memorandum of Agreement ("MOA") with the Citywide Council of Presidents, the duly elected representatives of NYCHA residents. The MOA outlines a mutual commitment to an enhanced partnership on matters of management, maintenance, security, and resident employment. The MOA also establishes new mutual commitments for NYCHA and all Local Resident Councils ("LRCs"), the elected representation of a particular development.

    The commitments in the MOA are strengthened by the Neighborhood Model and other programs that now integrate resident input into ongoing operations. Under the Neighborhood Model, each Neighborhood Administrator and Property Manager will meet with resident leaders and all residents on a regular, pre-scheduled basis. These meetings will formalize the relationship between local staff and residents, creating a true partnership to lead each development.

iii.   Empowering our Staff:

Most NYCHA employees care deeply about the mission and want to provide residents with quality service. Years of centralization and underfunding, however, have disempowered our staff—removing ownership and control from those best positioned to exercise it. As part of the Transformation Plan engagement process, the Employee Engagement Committee and the Change Ambassadors have begun to outline strategies for building a more empowered staff and these will be further refined through implementation.

- **Priority Project: Neighborhood Model (5.A):** the premise of the agency's new operating model—detailed in Chapter 3—is a return of decision-making and control to the development level. The Neighborhood Model empowers local managers to make decisions in the best interest of their sites, with minimal central office interference. Other operational programs, including Work Order Reform and Janitorial Reform, are designed to re-empower local staff while providing them with the requisite resources to do their jobs.

iv.   Breaking Down Silos:

NYCHA needs a culture of cross-functional collaboration and continuous improvement, starting with a commitment from every employee to the mission and values of the organization. NYCHA as a series of vertical silos with little systemic connection between and among them. Plans and programs were designed in isolation, leading to duplicative or incompatible efforts. Gaps between Capital Projects and Property Management lead to a divided understanding of physical asset management. Gaps between Resident Outreach and Property Management often leave residents, partners and advocates confused when looking for an appropriate point of contact.

To break down these silos NYCHA's new operating model must create natural points of interaction—including matching territories across departments. We will empower existing and new program management offices to facilitate information sharing up, down, and across the organization. All Transformation working groups are cross-functional, bringing different departments together with residents to solve the agency's most pressing problems.

- **Priority Project: Develop Asset Information Management Strategy (8.A.1):** the implementation of the asset information system has already begun to bridge key gaps between capital programs and operations and will improve the use of data for decisions in both areas (another key NYCHA value). In addition, the implementation of borough administration teams has highlighted key gaps between our central office and property management functions. The goal of these programs is to close these gaps and create stronger connections through NYCHA departments that will result in better service for our residents.

v. Data-Driven Decision-Making:

The Transformation Plan emphasizes the need to create new "key performance indicators" to measure our progress. NYCHA will establish clear management structures so individuals can be measured against clearly defined goals. For example, developing NYCHAStat at the Neighborhood level and empowering Neighborhood Administrators to review performance metrics specific to their portfolio will allow for more targeted and refined responses from Operations.

Data will also be integrated into the Transformation Plan's new operating model and the new governance structure in order to hold employees at all levels of NYCHA accountable for making improvements where we are falling short.

- **Priority Projects: Establish Data Governance (7.I.1) and Develop New Organization KPIs (7.I.3):** NYCHA is committed to developing a comprehensive data governance strategy, ensuring that all information produced and disseminated by the agency is accurate and consistent. Many of the Transformation programs will also necessitate new performance measures and KPIs, forcing the agency to tighten its approach to metrics and program evaluation.

vi. Becoming a Better Partner:

NYCHA is not easy to work with. Community-based organizations ("CBOs") and vendors consistently cite the agency's slow procedures and shifting priorities as explanations for fraught relationships or an unwillingness to engage with the agency at all.

- **Priority Project: Redesign the Procurement and Vendor Management Process (7.C.2):** NYCHA's end-to-end procurement reform effort—which includes changes to contracting, vendor management, and the accounts payable process—is designed around this value, transforming the way NYCHA participates in the market. To meet the terms of the Agreement and execute on the Transformation, NYCHA needs consistently high-performing vendors.

4. **The HUD Agreement**

As describe above, Paragraph 46 of the HUD Agreement requires the Monitor and NYCHA to collaboratively prepare an "Organizational Plan" "setting forth changes to NYCHA's management, organizational and workforce structure…" The Organizational Plan must design and implement an organizational structure that will support the accomplishment of the explicit obligations described in the HUD Agreement and all Monitor-approved Action Plans. The strategies outlined in the Transformation Plan and further refined in the Implementation Plan are intended to position NYCHA to achieve compliance with the HUD Agreement and provide the foundation to sustainably deliver the services required.

As part of the Agreement, five key organizational principles were identified to ensure compliance. The Transformation programs were developed with these principles in mind.

1. **Policy and Procedures.** NYCHA will change the way it does business by implementing new policies and procedures across the portfolio.

2. **Nimble, Responsive Operations.** NYCHA must be nimble enough to respond quickly to conditions at the property.

3. **Monitoring Ourselves.** NYCHA will monitor itself to ensure quality at the point of service.

4. **Delivering Large-scale Projects.** NYCHA will create and deliver large-scale projects on time.

5. **Establishing Clear Management Structures.** NYCHA will measure departments and individuals against clearly articulated metrics and performance measures.

5. **Accountability**

The Transformation Plan set forth a series of changes to NYCHA's management and organizational structure and identified other strategies that would strengthen NYCHA's accountability across the organization. The Plan described how NYCHA will enhance its governance and leadership structure. It described a neighborhood-based operating model that—in its fully-developed state—will achieve better accountability and supervision at the property level and improve service delivery for residents. And it focused on achieving the compliance goals and performance metrics of the HUD Agreement. To satisfy those requirements, the HUD Agreement required that NYCHA establish three new departments - Compliance, Environmental Health & Safety, and Quality Assurance. These three departments create a new accountability backbone for NYCHA. Already, they have played a critical role and have helped drive improvements within Operations by establishing clear procedures and oversight, at individual properties, and within individual devices or systems. Implementation of this vision through organizational changes and business process changes will be an ongoing and continuous effort.

Accountability is more than just regulatory compliance or audit. Accountability is the relationship between the agency, its residents, its employees, HUD and the City of New York. It does not and cannot exist only in its three accountability departments. To be accountable, NYCHA must set and strengthen goals, develop an organizational culture that embraces accountability and then report on its progress truthfully and consistently.

Accountability is the responsibility of all employees. For NYCHA to fulfill its mission, employees are expected to complete the tasks they are assigned, to perform the duties required by their job, and to be present for their proper shifts. NYCHA, as an organization, is accountable to its employees. They are expected to provide employees with the necessary tools and organizational structure to be successful and accountable. That structure includes well defined job duties and performance standards, the proper tools and equipment to do the job and training in all aspects of the job, including, but not limited to training on job specific topics as well as topics such as customer service, fair housing, unlawful harassment, and cyber security awareness, etc.

Accountability happens when there is proper supervision and oversight of people and processes. Progressive and appropriate corrective actions must be taken when people and processes don't meet expectations. The people who meet and exceed expectations must be acknowledged and recognized. With these tools, skills and support systems employees will be empowered to perform a quality job thereby creating a positive work environment.

All Transformation priority projects are designed to create and reinforce accountability at different levels of the organization. The Neighborhood Model, for example, creates cleaner lines of responsibility, allowing each layer of supervision to hold individuals accountable for performance under their control.

The process and structural improvements in Work Order Reform enable new accountability for the maintenance line—Maintenance Workers, Superintendents, and the Neighborhood Planner will be accountable to clear metrics. The program's hands-on roll-out has instilled new oversight from supervisory layers and central office both.

Janitorial Reform is adding accountability to the agency's maintenance of common areas, changing shift and building schedules to enable performance measurement at the development and individual level. New inspection protocols will capture performance issues earlier, allowing for quick intervention and remediation.

These programs are not, however, the end of NYCHA's new accountability needs. With working structures and processes in place, the agency will focus on developing individual performance reviews, holding each employee accountable for the performance under their control. The agency will begin exploring these additional accountability measures in 2022.

Exhibit 2: NYCHA Accountability Approach
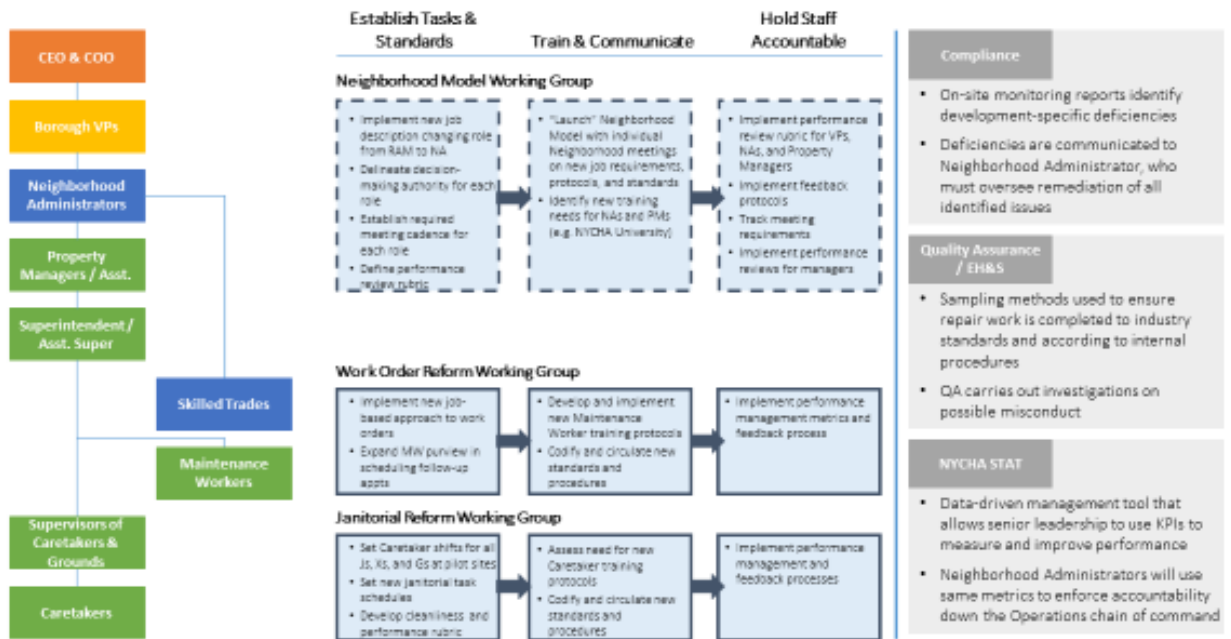
6. **Priority Projects**

This Implementation Plan is focused on the 16 Transformation programs designated as "priority projects." The priority designation, set by NYCHA leadership with resident and oversight input, was reserved for projects with the highest potential impact on the resident experience and the most urgent need for immediate action. NYCHA has committed staff time and financial resources to these programs first, establishing cross-functional working groups—including residents—to manage the design and execution.

Within the Plan, Priority Projects are described in detail commensurate with the planning and resources attached to the project. Work Order Reform and Janitorial Reform—Strategies 5.C and 5.D in the Transformation Plan—are the two most developed and resource-intensive Transformation programs and are treated with more depth within the Plan. These two programs also address the two most consistent resident complaints raised in the Transformation engagement sessions—frustration with the repair process and concern about deterioration of common area cleanliness at developments. Other Priority Projects are described in some depth, while Non-Priority Projects are referenced, but not detailed. Details on Non-Priority Projects will be included in the 2022 Implementation Plan as described in Chapter 7.

Exhibit 3: Transformation Projects[4]

Strategy	Project Title	Stage
Strategy 4	**Governance Structure**	**Implementation**
Strategy 5.A	**Neighborhood Model**	**Implementation**
Strategy 5.B	**Borough Administration Teams**	**Implementation**
Strategy 5.C	**Work Order Reform**	**Implementation**
Strategy 5.C	**Closing Work Tickets**	**Implementation**
Strategy 5.D	Alternative Work Schedules (Maintenance)	On Hold
Strategy 5.D	**Janitorial Reform**	**Implementation**
Strategy 5.E	**Property Based Budgeting (Phase 1)**	**Complete**

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[4] Highlighted rows indicate a Priority Project. Strategy numbers refer to the relevant Transformation Plan chapters. Stages are determined by the Strategy & Operations Project Management Office based on the project's current status.

Strategy 5.E	Property Based Budgeting (Phase 2)	Implementation
Strategy 5.H	**Annual Recertification**	**Complete**
Strategy 5.J	Create Program Management Office in QA Department	Complete
Strategy 7.A.1	**Implement a Human Capital Management System**	**Implementation**
Strategy 7.A.2	Enhanced Employee Engagement & Recognition Efforts (Phase 1)	Implementation
Strategy 7.A.2	Enhanced Employee Engagement & Recognition Efforts (Phase 2)	Not Started
Strategy 7.B.1	Launch a Learning Management System (LMS)	Not Started
Strategy 7.B.2	Align training with the Neighborhood Model	Not Started
Strategy 7.B.3	Regularly evaluate NYCHA managerial job performance against core competencies and goals	Not Started
Strategy 7.C.1	Create Procurement Role	Complete
Strategy 7.C.2	**Re-Design the Procurement and Vendor Mgmt. Process**	**Implementation**
Strategy 7.E.1	Develop a holistic strategic direction for IT	Complete
Strategy 7.E.2	Close the inter- and intra-departmental divide across major IT services and engagements	Implementation
Strategy 7.E.3	Buildout a cybersecurity program and enhance testing function	Complete
Strategy 7.E.4	Standardize around IT Service Management (ITSM) processes	Complete
Strategy 7.F.1	**Strengthen engagement under 24 CFR §964**	**Complete**
Strategy 7.F.2	Strengthen Engagement with Community Partners	Not Started
Strategy 7.F.3	**Develop an advisory Resident Roundtable**	**Implementation**
Strategy 7.F.3	Community Centers	Not Started

Strategy 7.I.1	**Establish Data Governance**	**Initiation**
Strategy 7.I.3	**Develop New Organization KPIs**	**Implementation**
Strategy 7.I.4	Empower NYCHA-Stat	Implementation
Strategy 7.J.1	**Lease Enforcement Process**	**Implementation**
Strategy 8.A.1	**Develop AIM Strategy**	**Implementation**
Strategy 8.A.2	Invest in an AIM system	Not Started
Strategy 9.A.1	Ongoing Internal CPD Re-Organization	Implementation
Strategy 9.A.2	Data-Driven Capital Planning	Implementation
Strategy 9.A.3	Continued adoption of e-Builder	Implementation
Strategy 9.A.4	Request Utility Waiver from HUD to Capture Savings	Implementation
Strategy 9.A.5	Other changes (KPMG org. ass.)	Implementation

7. **NYCHA's Governance**

The underlying conditions that led up to the HUD Agreement, coupled with the scope and complexity of the tasks ahead to achieve compliance, underscored the need to strengthen the agency's governance structure and build a more effective, accountable and nimble executive leadership team. Towards this end, the Transformation Plan proposed changes to the NYCHA Board and executive leadership structure.

In order to implement these changes, NYCHA proposed amended and updated By-Laws for the Board of Directors, which were approved by the Board in April 2021. NYCHA's By-Laws were amended to reflect the new executive management structure shown below, while also providing the flexibility to adapt it as needed over time.

The new By-Laws strengthen governance by clarifying the roles and responsibilities of the Chair and Chair as Chief Executive Officer and aligning to this new organizational structure. The By-Laws include naming three Officers for the Authority: Chief Operating Officer, Executive Vice President (EVP) for Legal Affairs who will be the General Counsel, and Chief Financial Officer. Those Officers are described below.

A. **Chief Operating Officer (COO)**

Reporting to the CEO, the COO assumes a substantial portion of the existing General Manager structure. The COO's primary responsibility is to oversee all organizational units involved with implementing the new Neighborhood Model of operations including Property Management & Maintenance, Community Engagement & Partnerships, and Public Safety. As required under the HUD Agreement, Quality Assurance continues reporting to the COO as it previously reported to the General Manager.

B. **EVP Legal Affairs/General Counsel (GC)**

The EVP for Legal Affairs and General Counsel and the attorneys of the Law Department provide legal counsel and representation to NYCHA. The Law Department is divided into the following practice groups: Strategic Initiatives and Special Policies; Appeals; Corporate Affairs; Real Estate and Economic Development; Commercial Litigation; General Litigation; Civil Litigation; Employee Discipline; Housing Litigation; and Torts.

C. **Chief Financial Officer (CFO)**

The CFO is responsible for all budget, accounting and financial planning, and risk management functions for NYCHA, reporting to the CEO. The role includes developing and maintaining appropriate financial policies and procedures to manage working capital effectively and providing sound advice on the financial implications of Board decisions. The CFO also oversees NYCHA's transition to property-based budgeting, providing Property Managers with more control over their development resources.
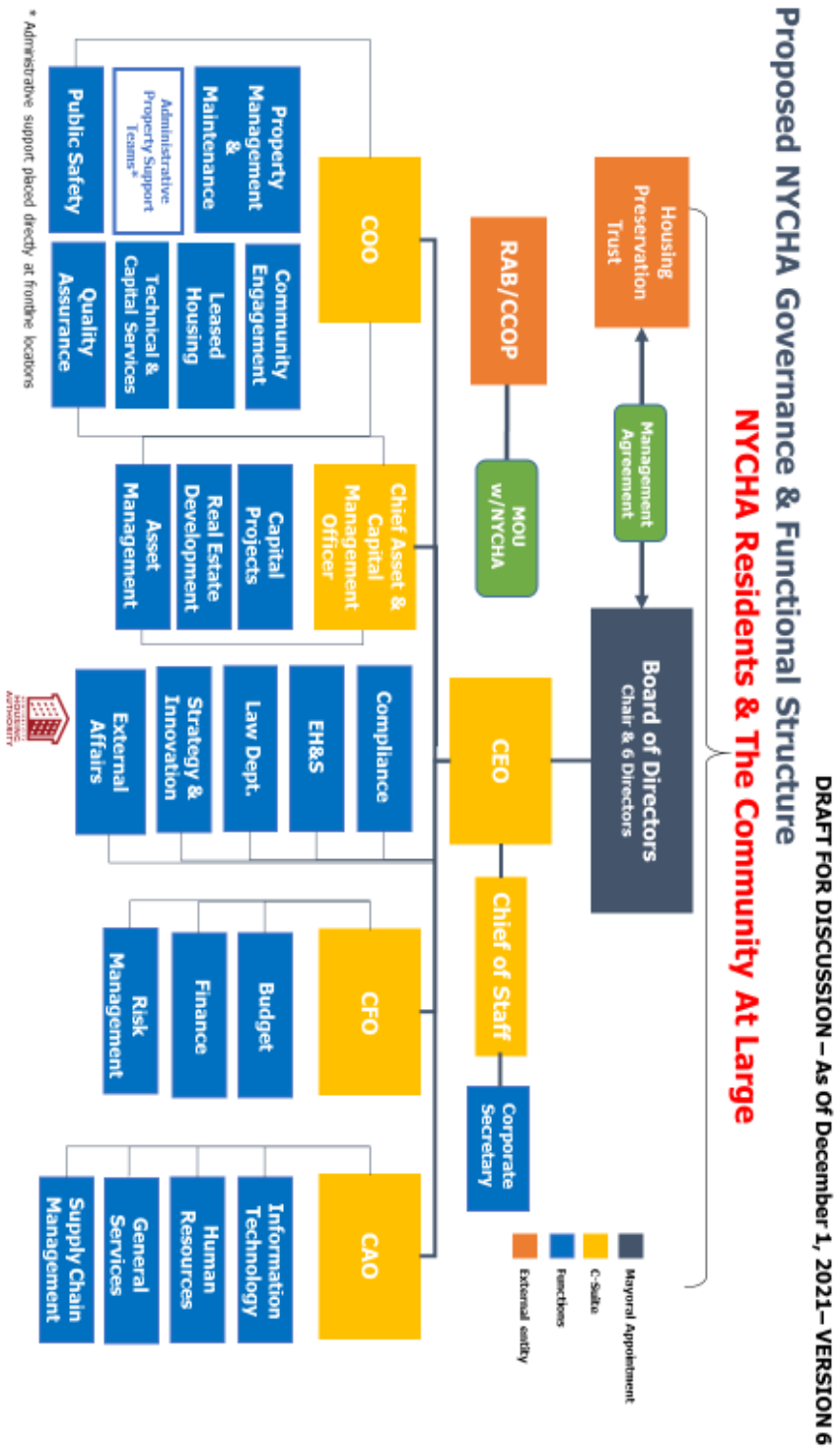
D. **Role of the Board**

The role of the Chair and the full Board is to set policy and provide oversight over the organization. In order to facilitate that function, NYCHA's By-Laws establish two Standing Committees: a new combined Audit & Finance Committee and a Resident and Community Affairs Committee. At the April 2021 Board meeting, NYCHA's Board also approved the creation of two Special committees: Operations, Compliance & Capital Committee, and Governance Committee. The committees are described briefly below.

- The *Audit & Finance Committee* is tasked with ensuring sound financial practices and policies, ensuring the integrity of NYCHA's financial reporting, tracking financial performance, coordinating with internal and external auditing entities, and working closely with NYCHA's Finance Department.

- The *Resident & Community Affairs Committee* is tasked with reviewing NYCHA resident and community affairs. This committee will help foster ideas for improving our partnership with residents as well as help to address safety and security issues across the portfolio.

- The *Operations, Compliance & Capital Committee* is tasked with reviewing the ongoing operations and capital work of NYCHA, reviewing that operations of NYCHA are in compliance with statutory and regulatory requirements, as well as the HUD Agreement, and generally tracking performance of operations and capital projects, and providing recommendations on long-term portfolio planning.

- The *Governance Committee* is tasked with informing the Board on current best practices in corporate governance as it pertains to the public sector and applicability to NYCHA and providing recommendations on Board Member training and development, consistent with current best practices. Our goal is to institute annual Board Member training that aligns with HUD and industry best practices.

In addition to the new board committees, NYCHA is investing in a new board training curriculum to ensure the board is best positioned to guide the agency in turbulent times. The agency has leveraged best practices from high performing public housing authorities to develop a new program, with development and training support from outside experts.

Exhibit 4: Proposed NYCHA Governance Structure

Proposed NYCHA Governance & Functional Structure

NYCHA Residents & The Community At Large

DRAFT FOR DISCUSSION – As Of December 1, 2021– VERSION 6

Chapter 3.**The Neighborhood Model**

The Neighborhood Model is NYCHA's new structural foundation—reorienting the agency around the developments, where NYCHA delivers most of its services. The Neighborhood Model is a three-year plan to redeploy resources and move additional decision-making authority from the central office to the agency's boroughs, neighborhoods and 290 developments. The Model sets new standards for the staff at each development, neighborhood, and borough, while allowing for discretion in managing each site to the specific needs of its residents and physical environment.

At full strength, the Neighborhood Model will shift the central office's focus to two categories of functions: enabling day-to-day operations through functions like HR, IT, and procurement, and setting and enforcing standards. The developments will become largely independent entities, each operating with their own budget and staff. The Property Manager and his or her staff become the node for all resident interaction—any on-site issue, even those that require a third-party vendor or centralized service, will run through the management office. No official activity will occur on-site without knowledge and approval from the Property Manager.

The Neighborhood Model is a variation of a franchise model, used by many large logistics, retail, and food-service companies, with the central office is the franchisor and the development the franchisee.[5] Franchise models set centralized standards and requirements for their franchisees. While the standards are enforced by the central organization, the day-to-day work is managed by a local staff that retains flexibility as long it works within the bounds of the standards. Fee schedules and revenue sharing agreements govern the relationship, with explicit roles and responsibilities for all parties. Social franchising—an emerging movement amongst geographically disparate non-governmental organizations—is a similar application of the concept without the presence of a profit motive. The Neighborhood Model does the same, setting centralized standards for performance while delegating day-to-day decision-making to local staff, working in partnership with resident leaders.

Unlike private sector franchises, in which the franchise owner has a strong financial incentive to maintain performance, the Neighborhood Model will require stronger central accountability structures to ensure consistency and quality across the city. This will include direct lines of authority from the COO, through Borough Vice Presidents and Neighborhood Administrators, to Property Managers on-site. Civil service restrictions heighten the difficulty of executing a strong accountability scheme, but the agency will develop the strongest protocols allowable within current restrictions while exploring possible changes to the restrictions themselves.

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[5] Admittedly, for-profit corporations are a limited analogy in the public housing context. However, there are few if any useful comparisons available in multifamily housing. NYCHA's extraordinary scale and unique position require a wider aperture in looking for applicable principles.

Exhibit 5: NYCHA Management Challenges

Why is NYCHA so hard to manage?
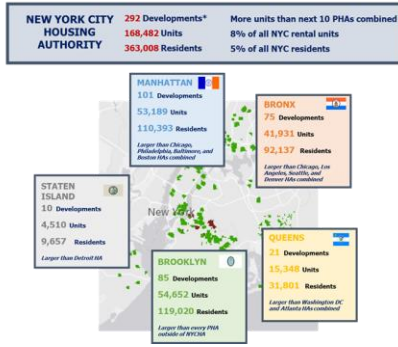
1. **Neighborhood Model Goals and Objectives**

The goal of the Neighborhood Model—and the Transformation—is to increase the quality and timeliness of NYCHA's property management services for residents. NYCHA has designed the Neighborhood Model to provide enhanced local management of each development, with more decisions and control allocated to local Property Managers in lieu of central control.

The purpose of the Neighborhood Model is to deliver higher quality service at faster speeds for NYCHA residents. The Neighborhood Model is also built to meet the requirements—and spirit—of the HUD Asset Management Rule, which requires that every public housing authority institute site-level funding, budgeting, accounting, management, and oversight.

NYCHA will phase in the Neighborhood Model until 2024, with structural and process changes paired with complementary changes from other Transformation or Pillar programs when possible. Activities will be sequenced to add more decision-making and responsibility at the neighborhood and development levels at a manageable pace.

Exhibit 6: Neighborhood Model Phasing

Neighborhood Model – Timeline of changes

2020	*AUGUST: Initial Neighborhood Model design* *DECEMBER: Work Order Reform (WOR) Pilot in Western Queens*	**2023**	*JANUARY: All Service Agreements implemented; new training tracks implemented* *JULY: Deconsolidation and neighborhood restructuring*
2021	*JANUARY: 30 Neighborhood structure implemented* *DECEMBER: WOR rollout in Queens/SI*	**2024**	*JANUARY: Re-evaluation and adjustment to Service Agreements*
2022	*MARCH: Neighborhood Model Roles & Responsibilities rollout* *APRIL: WOR rollout in The Bronx* *JULY: WOR rollout in Brooklyn; Additional budget and personnel control implemented* *OCTOBER: WOR rollout in Manhattan*		

2. **Organizational Structure of Neighborhood Model**

The Neighborhood Model solidifies the two promotional lines that NYCHA operations were built on in the 1950s and 1960s. The management line—which includes Housing Assistants, Assistant Property Managers, Property Managers, Neighborhood Administrators, and Borough Vice Presidents—has ultimate responsibility for all aspects of the operation. The maintenance line—which includes Caretakers, Maintenance Workers, Superintendents, Neighborhood Planners, and Skilled Trades Deputies—performs on-site repair and upkeep work and provides subject-matter expertise on all physical aspects of the development.

In decades past, NYCHA had a regional superintendent who would advise the development Superintendent on more complex repairs and provide support as needed. With the addition of the Neighborhood Planner role, discussed in the In-Unit Repair section, NYCHA is creating a role that will similarly enhance the agency's maintenance capabilities.

Exhibit 7: Neighborhood Model Organizational Structure
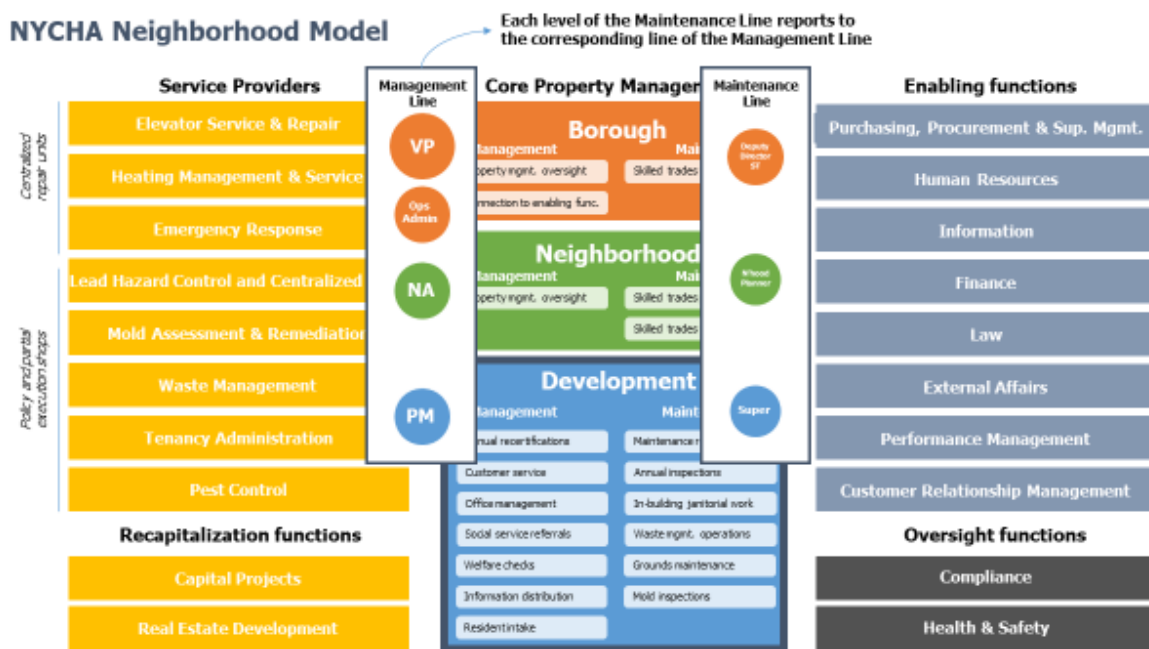
The first step of the Neighborhood Model—completed in January 2021—was to collapse two functional management structures that were created in the last decade. The first, Mixed Finance, was a collection of 21 state and city-built developments that were "federalized" in 2010.[6] Prior

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[6] The American Recovery and Reinvestment Act (ARRA) temporarily suspended the Faircloth Amendment, which precludes public housing authority's from adding new units to their existing Section 9 rolls.

to federalization, these 21 sites received no federal operating or capital subsidy, forcing NYCHA to spread existing operating and capital dollars to manage these unfunded sites.

The second structure, Next Generation Operations 1 ("NGO1"), was a pilot structure developed under the 2015 NextGeneration NYCHA program, which is now defunct. NGO1 deployed additional resources to a small set of developments in Brownsville, East Harlem, and the South Bronx. NYCHA also granted these developments additional control over their budgets and day-to-day operations, principles extended through the Neighborhood Model.

The non-geographic nature of these borough structures led to inefficient resource deployment, with trades staff and other works shuffling between disparate sites. Under the Transformation, NYCHA shuttered the Mixed Finance and NGO1 management departments, moving all developments from those portfolios into their geographic boroughs.

The Neighborhoods replace NYCHA's "Regional Asset" model, which placed a Regional Asset Manager (RAM) at the helm of a 7,000-9,000-unit portfolio. Regional portfolios were not optimized for geography, with the most disparate portfolio requiring two hours of driving time between sites. With geographic proximity and smaller portfolios—each Neighborhood has between 4,000 to 6,000 units—the Neighborhoods contemplate more hands-on management.

The closing of Mixed Finance and NGO1 enabled the creation of 30 Neighborhood clusters, which group developments based on geographic proximity, led by a Neighborhood Administrator. Each Neighborhood Administrator reports to Vice President overseeing a borough: Manhattan, The Bronx, Brooklyn, and Queens/Staten Island.

Exhibit 8: Neighborhood Model v. Old Regional Model
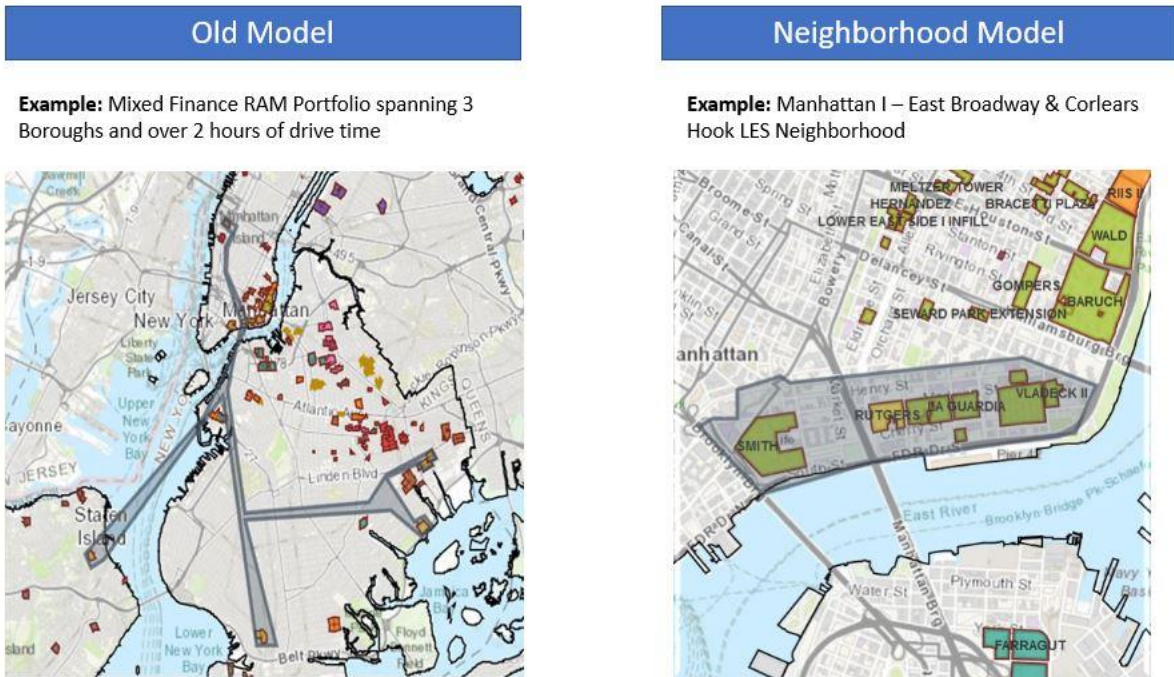
The boundaries of the 30 Neighborhoods will require continuous refinement and adjustment as the agency learns more about each neighborhood and additional developments are converted through the Permanent Affordability Commitment Together program.[7] The group will use neighborhood performance metrics and input from residents to change boundaries as needed.

In addition, the Neighborhood Model presents an opportunity to reassess the agency's consolidation structure, which pairs smaller, scattered developments with larger sites for management purposes. While most consolidations are a result of necessity—NYCHA cannot afford full management offices at every site, especially at sites with fewer than 100 units—the agency may explore alternative methods of staffing satellite sites, including partial teams or required days-in-office for management staff. In some cases, deconsolidation may be appropriate if two sites can both sustain a full-time development staff.[8]

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[7] For more details on PACT, see https://www1.nyc.gov/site/nycha/about/pact.page

[8] NYCHA consolidations align to HUD Asset Management Projects, with each consolidation managing its own budget. The Neighborhood Model emphasizes independent budget control, but any deconsolidation proposal must account for the financial solvency of deconsolidated sites as standalone entities.

3. **The Neighborhood Model in Practice**

Exhibit 9: Neighborhood Model Functional Chart
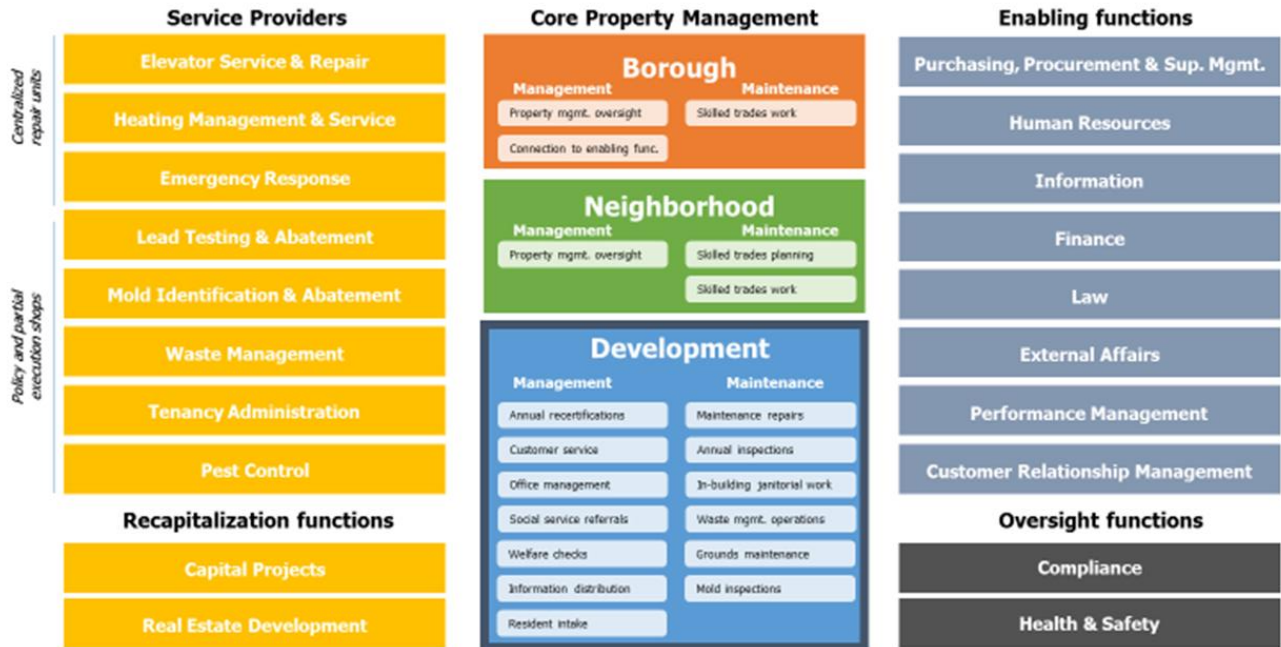
In the Neighborhood Model, the development is the node of all activity. The development holds an individual budget and provides services to residents, using either local staff or services provided by another function inside—or outside—the agency. For example, NYCHA's elevator repair function sits outside the vertical Property Management structure. When a development needs corrective maintenance performed on an elevator, they must rely on the service provided by the Elevator Service and Repair Department (ESRD), which can—but at the moment does not—charge fees directly to the development. [9]

The Neighborhood Model divides NYCHA's functions into three categories—Core Property Management, Service Providers, and Enabling Functions. Core Property Management includes the on-site development staff, neighborhood office staff, and borough office staff, all of whom perform direct service tasks

Relationship Between Property Management and Service Providers

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[9] In the future, the Neighborhood Model could be expanded to either bring elevator service and heat management within the property management purview or allow Property Managers and Superintendents to contract with outside vendors if they are dissatisfied with service provided by internal divisions.

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NYCHA Neighborhood Model—Service Providers
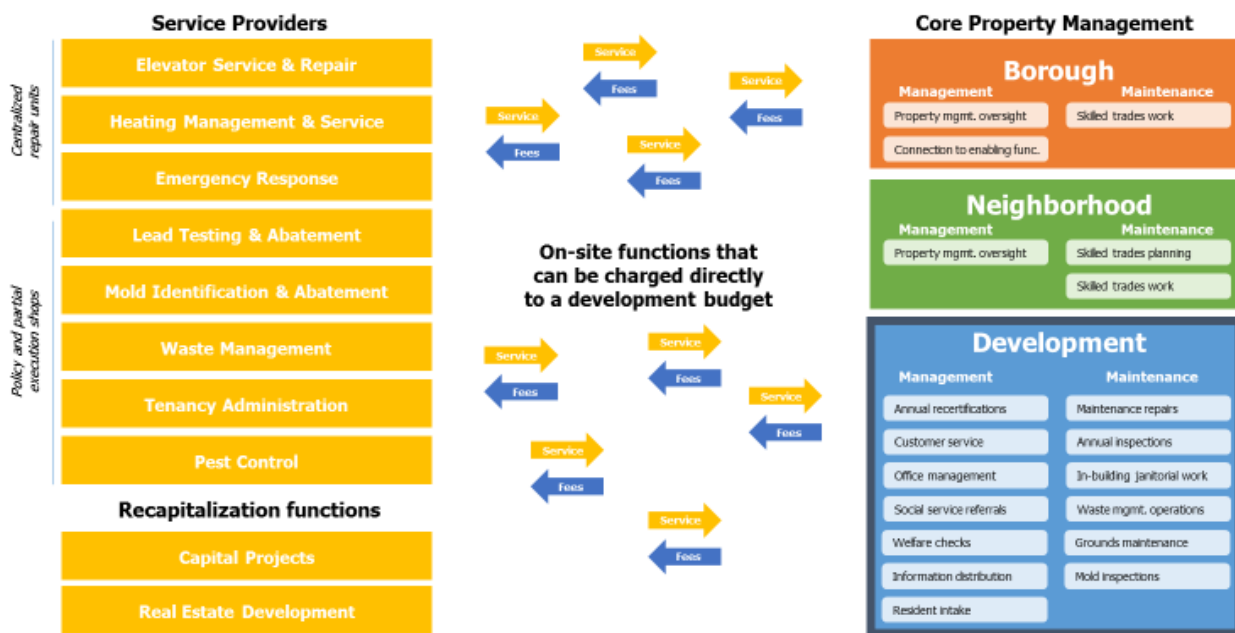
The service provider functions, by definition, operate independent of the Property Management function, by creating policy, developing strategy, and allocating central office resources to address discrete operational needs.

These relationships may create communication gaps and occasional confusion over responsibilities. Under the Neighborhood Model, while these functions will remain outside of Property Management, we will better define the interplay between the service providers and local property management staff, creating a new, stronger, relationship with the development.

The Neighborhood Model will eventually change each service provider into a fee-for-service shop, levying direct charges to the development budget for services rendered. Today, given the centralized control of these functions, direct fee-for-service charges are difficult to determine and often precluded by the HUD Asset Management Rule.

A central team will create Service Agreements that define how central service providers and the borough and neighborhood teams will operate together to deliver these services into the neighborhoods and developments, considering mandates from the HUD Agreement and other applicable consent decrees.

This effort will include the working relationship between the functions, roles and responsibilities, interactions with the Property Management function, decision-making authority, communication channels, and business processes. Each Service Agreement will

highlight a direct line of communication from the function to Property Managers for any and all changes that affect on-site operations.

Each Service Agreement will uphold and advance the values and principles of the Transformation, with the express goal of enabling clear provision of services from Central teams which can be charged to developments from each service provider. These agreements will not be extensive legal documents, but a simple articulation defining the functions and of responsibilities for each party, including decision-making authority and communication channels

The Neighborhood Model Working Group will lead development of the Service Agreements, starting in Q2 2022, with full implementation by the end of 2022. Service Agreements will be approved by the CEO and COO.

Relationship Between Property Management and Enabling Functions

Exhibit 11: Neighborhood Model—Enabling Functions
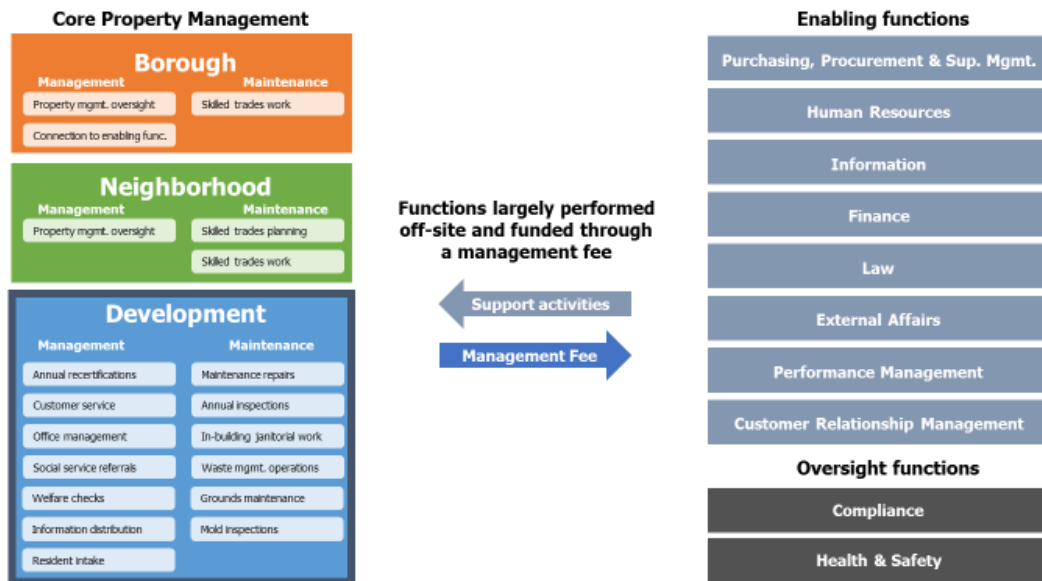
As opposed to the service providers, the enabling functions are largely performed off-site and funded by a single management fee from the development to the central office. The Enabling Functions include human resources, finance, law, and external affairs. These functions can be resident-facing but are more fluid than the discrete tasks associated with the service providers. While repairing an elevator or heating plan can be bundled into labor and materials cost to charge a development, costing the work of IT programmers or HR analysts is not as simple and has little

benefit to the agency. Most organizations, including NYCHA, choose to allocate these costs through one bundled management fee.

Like the Service Providers, NYCHA will require each department to develop a Service Agreement for its interactions with Property Management, codifying communication channels, decision-making authority, business processes, and defining the function and responsibilities for each party. Each Service Agreement will highlight a direct line of communication to Property Managers for any changes that affect on-site operations.

4. **Roles and Responsibilities within the Neighborhood Model**

Only once roles and responsibilities are clearly communicated across staff levels can the organization begin to effectively hold individuals and developments to those standards. The Neighborhood Model Working Group—one of ten active Transformation Working Groups, made up of residents and staff—is responsible for developing the roles and responsibilities, which the agency will activate in March 2022.

In the Model, the Property Manager is the on-site franchisee, the person with control over most aspects of the development's day-to-day operation. The Neighborhood Administrator supervises the Property Manager but is primarily an enabler. The Neighborhood Administrator role was created to help Property Managers navigate the complexity of the agency's central standards and requirements. The Borough Vice President, conversely, provides an oversight function, holding developments and neighborhoods accountable to the agency's standards.

Exhibit 12: Property Management Reporting Structure
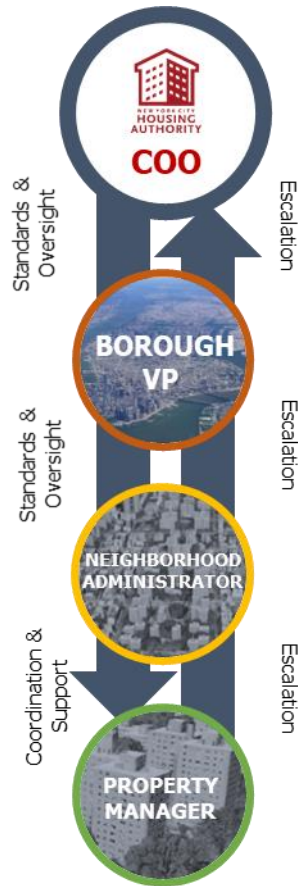
As part of the 2022 rollout of roles and responsibilities, the Neighborhood Model Working Group is also developing new communication protocols, including required meetings between Property Managers, Neighborhood Administrators, and Resident Council Presidents. Resident leaders are partners at the development and increasing their involvement in the management process will strengthen that partnership. The protocols will also include the beginnings of the Service Agreement process between departments.

Exhibit 13: Neighborhood Model Meeting Requirements[10]

Meeting Type	Participants	Frequency
Resident Leadership Check-in	Property Manager Superintendent Resident Council President	Monthly
Resident Town Hall	Property Manager All Residents	Quarterly
Internal Neighborhood Check-in	Neighborhood Administrator Property Manager	Weekly
Neighborhood Resident Meeting	Neighborhood Administrator Property Manager Resident Council President	Quarterly
Borough Wide Town Hall	Borough Vice President All Residents	Annually
Monthly Neighborhood NYCHAStat Meeting	Neighborhood Administrator	Monthly

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[10] Each meeting type is described for a single development. For example, the Borough VP responsibility to attend one all-resident town hall will result in 30-40 annual meetings, depending on the borough.

	Property Managers	

5. **Ongoing Improvements and Development of the Neighborhood Model**

With all the additional authority and control placed within Property Management, the Neighborhood Model requires a highly-capable group of Property Managers and Neighborhood Administrators. Currently, skill sets differ widely between Property Managers at different sites. Similarly, Neighborhood Administrators may have advanced at NYCHA through the management vertical or maintenance vertical, resulting in our staff having differing strengths and weaknesses. Property Managers are also promoted more quickly than ever before, placing less experienced staff in critical roles before they may be ready.

The Neighborhood Model requires a professionalization of the Property Management team. NYCHA must attract, train, and retain the top property management talent in the city, but cannot do so consistently. Many talented Property Managers and Superintendents leave the positions for central office roles that pay more and carry less stress. Civil service restrictions keep salaries uncompetitive relative to the private sector and force the agency to select candidates from lists, determined by exams that are poor proxies for on-the-job performance.

While the Neighborhood Model Working Group will explore long-term changes to the agency's civil service approach for these titles, it will also immediately explore partnerships with property management institutes and training facilities, along with creative approaches to recruitment.

Training, whether internal or in partnership with a third-party, is critical to the success of the Neighborhood Model. Without Property Managers and Neighborhood Administrators who are prepared to do the difficult job of overseeing one or many NYCHA developments, the best-designed structure will fail. NYCHA will conduct a competency assessment for roles identified above, evaluate our current staff, and develop a training plan for all newly appointed/assigned staff to ensure our staff are equipped to competently perform their roles.

6. **Full List of Actions**

To develop and execute the Neighborhood Model, NYCHA is undertaking the actions below. Each action has an associated internal owner, a start and end date, its current status, and any associated cost.

To reach full strength, the Neighborhood Model still requires a series of critical design and operational decisions. Each new phase of the model moves NYCHA closer to development-level control, with additional responsibilities and resources allocated at a consistent pace to avoid overwhelming staff and structures.

Exhibit 14: Neighborhood Model Actions

Activity	Owner	Date	Status	Cost
Close Mixed Finance and NGO1 management boroughs. Move all staff to other boroughs and move Mixed Finance tax credit compliance unit to Management Services Department	Management & Planning[11]	November 1, 2020 January 1, 2021	**Complete**	Staff time only
Create 30 neighborhoods to organize developments in tightly bound geographic structures.	Strategy & Operations	October 1, 2020 January 1, 2021	**Complete**	Staff time only
Create Neighborhood Administrator role to replace Regional Asset Manager. Add nine new positions to match 30 neighborhoods.	Management & Planning	December 1, 2021 March 1, 2021	**Complete**	$1.6M
Develop new responsibilities by title for	Strategy & Operations	October 1, 2021	**In Progress**	Staff time only

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[11] While each action item lists a single owner, most actions are managed by cross-functional teams working together. Transformation working groups have staff, residents, and members of the oversight team working collaboratively to design the implementation steps.

Superintendent, Property Manager, Neighborhood Administrator, and Borough Vice President		January 1, 2022		
Rollout new responsibilities across developments. Develop communications plan to ensure all staff understand new responsibilities.	Strategy & Operations	January 1, 2022	**Not Started**	Staff time only
		April 1, 2022		
Assess current neighborhood structure for possible boundary modifications. Assessment will include neighborhood performance metrics and resident input	Strategy & Operations	January 1, 2022	**Not Started**	Staff time only
		April 1, 2022		
Evaluate whether new responsibilities are adequately defined, modify/revise; identify performance metrics to further develop accountability framework	Strategy & Operations	April 1, 2022	**Not Started**	Staff time only
		July 1, 2022		
Develop new policy on consolidation, including identification of sites for immediate deconsolidation.	Strategy & Operations	June 1, 2022	**Not Started**	Staff time only[12]
		January 1, 2023		
Analyze cost-benefit of aligning HUD Asset Management Projects to	Financial Planning & Analysis	Jan 1, 2023	**Not Started**	Staff time only[13]

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[12] Deconsolidation may require additional expense if additional staff are required to cover newly deconsolidated sites.

[13] The value of aligning AMPs to the neighborhoods will fluctuate as the Neighborhood Model develops. If the Model achieves its goal of moving most direct services to development budgets, there may be little need for alignment between AMPs and neighborhoods.

new 30 neighborhood structure. Interdependent with deconsolidation policy.		June 1, 2023		
Develop individual Service Agreements for each service provider function and Property Management, outline terms of engagement and mutual expectations.	Strategy & Operations	January 1, 2022	**Not Started**	Staff time only
		December 1, 2022		
Develop catalog of training needs for Property Managers and Neighborhood Managers. Explore internal and external training options. Develop current staff capability assessment to pair with training program.	Strategy & Operations	January 1, 2022	**Not Started**	Staff time only
		August 1, 2022		

Chapter 4. **Resident-Facing Functions**

NYCHA performs eight resident-facing functions, each sourced from the New York State Public Housing Law, the HUD Annual Contributions Contract, the NYCHA Public Housing lease, 42 USC §1437, or other relevant state and local laws.[14]

Exhibit 15: NYCHA's Resident-Facing Functions

Each of the eight resident-facing functions has a lengthy list of sub-functions, five (5) of which are detailed in the sections below. The topics that have been identified, but not addressed, are listed in Chapter 7 and will continue to be developed as a part of the June 2022 Implementation Plan. These functions form the core of NYCHA's service delivery to its residents. Improvement—or lack thereof—in these functions is how residents will judge the success or failure of the Transformation.

To support these primary functions, NYCHA also performs a set of enabling functions, including personnel management, procurement management, and financial planning. The

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[14] For decades, NYCHA also performed a ninth function—building new units—which is now largely precluded by federal law. NYCHA is still able to build or facilitate building of non-Public Housing units on its property through the Build to Preserve program.

enabling functions, less visible to residents on a daily basis, but nevertheless important, are discussed in Chapter 5.

Given NYCHA's scale—the country's largest single-city landlord—and the state of its buildings—over $40 Billion in capital needs—even seemingly basic functions are extraordinarily complex in their execution. The Transformation is especially focused on two functions—performing in-unit repairs and maintaining common areas—the two functions residents identify as concerns most often. For those two functions, the full end-to-end business process is described below, along with the challenges facing the agency and any actions being taken to address those challenges. Descriptions of other functions—also important to the agency's mission—are more narrowly focused on how the agency's new operating model enables enhanced performance of that function.

1. **Performing In-Unit Repairs**

NYCHA residents and staff open 2.5 million work tickets on average each year, with the majority for in-unit repairs. Every New York landlord, public or private, is responsible for in-unit repairs, but with an aging housing stock and limited capitalization, NYCHA's volume of in-unit repair work is high, requiring a large maintenance and skilled trades staff to keep pace.[15] NYCHA's obligation and power to perform in-unit repairs flows from the NYS Public Housing Law, along with the 1937 Housing Act, the NYS Multiple Dwelling Law, the HUD Annual Contributions Contract, and the lease NYCHA signs with each resident household.

In-unit repairs at NYCHA developments are currently managed and performed by the maintenance line of the agency, as described in Chapter 3. After the janitorial staff, the in-unit repair staff is the second largest portion of NYCHA's workforce.

The high volume of repairs—and the unreliable process to complete them—has become an increasingly public challenge for the agency over the past decade. In 2011, NYCHA announced a repair backlog of 423,000 tickets. As of October 1, 2021, NYCHA has over a half million open repair tickets.[16]

There are four primary steps to the in-unit repair process: identifying required repairs, scheduling and assigning work, performing repairs, and overseeing and reviewing repairs. Each step in the end-to-end process is discussed below, along with the challenges and any actions NYCHA is taking to address the challenges.

In November 2020, NYCHA launched a pilot in Western Queens to test several in-unit repair changes prior to a full citywide rollout. Many of the action items listed below were first tested in that pilot, with sufficiently positive results to justify expansion to other boroughs. The pilot tested changes across all four of the steps in the in-unit repair process, but the two primary changes were a shift from task-based scheduling to job-based scheduling and the redeployment of skilled trades staff from the borough level to the development or neighborhood levels. Individual action items below will reference the pilot results where relevant.

The results of the pilot were used to inform the design of the Work Order Reform program that was first deployed in Queens and Staten Island in November 2021. NYCHA anticipates a full roll-out of that program by the end of 2022.

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[15] Trades staff is also supplemented by a large vendor pool.

[16] NYCHA's work order backlog is a significant challenge, with many residents waiting upwards of a year for repairs that would not take as long in most private sector buildings. A specific focus on backlog reduction starting in 2012 had some success, but created poor incentives for workers to close tickets quickly regardless of the work status. The Work Order Reform program is designed to change those incentives while still targeting the backlog.

Performing In-Unit Repairs

Capital Projects	Property Management	Enabling Functions
• Replace failing assets that cannot be managed through ongoing maintenance	• Monitor performance at neighborhood and development level, measured against set centralized standards • Deploy additional resources if necessary **Borough** • Oversee performance at development level, providing additional support to underperforming sites • Manage, schedule, and deploy skilled trades staff for all repairs that require a sequence of multiple trades • Deploy additional resources as necessary **Neighborhood** • Perform all in-unit repair work within the scope of the Maintenance Worker title • Perform in-unit repair supervisory inspections after maintenance or skilled trades work is completed • Inspect all in-unit repairs and identify which skilled trades may be required to complete a job • Manage and approve all materials purchases for maintenance work • Communicate updates to residents when requested **Development**	**HR** • Manage job descriptions and civil service process • Manage training programs **Finance** • Work with PM to prepare annual budget request • Communicate FY budget and ongoing spend against • Conduct annual maintain v. replace analysis **Procurement** • Manage on-site store rooms and inventory • Manage solicitation and contracting process • Work with Neighborhood to manage vendors **Perf. Mgmt.** • Develop and manage data governance principles • Oversee NYCHAStat process for ongoing accountability **IT** • Manage and update Maximo work order system, including all system enhancements • Manage MyNYCHA app **Ext. Affairs** • Manage complaints from external parties • Communicate with residents **Compliance EH&S QA** • Perform on-site monitoring and work with NAs and PMs to remedy deficiencies • Perform sample inspections on in-unit work orders • Draft standard procedures

· A. **Creation of Repair Work Orders**

No repair can take place without the agency's knowledge of its need, necessitating an intake process to identify the need for a specific repair. As with most private landlords, NYCHA's two primary methods of identifying repair needs are resident-initiated requests and staff-initiated requests, with the majority coming from the former.

Given the backlog of repair work and the increasingly dire capital condition within the buildings, NYCHA also receives numerous repair inquiries from elected officials, community-based organizations, and members of the media.

A functioning intake process is critical to ensure all repair needs are identified as soon as possible and establish a clear line of communication with residents about how and when the staff will complete the needed repairs. The longer a maintenance issue goes unidentified, the more challenging the repair. Left alone too long, maintenance issues quickly become capital issues, outside the reach of even the most skilled repair staff.

i. **Resident-initiated repairs**

Most in-unit repair requests in NYCHA buildings are resident initiated, through one of two channels: the Customer Contact Center (CCC) and the MyNYCHA app. The CCC is a centralized call center that all residents can reach by calling (718) 707-7771. NYCHA opened

the CCC in 2005 to provide a single point of contact across the city. The CCC receives nearly 10,000 resident calls a day, ranging from heat complaints to plumbing issues to annual recertification questions. For resident calls that require repair work, the CCC triggers the repair intake process.

- The CCC Operator follows a script to determine whether the complaint is new or a duplicate of a complaint previously logged. If the issue is new, the Operator must determine whether the request is an emergency or can be scheduled for a later date.[17]

- The Operator creates a Service Request in Siebel, NYCHA's customer relationship management system and labels the request "Emergency" or "Scheduled," depending on the determination above.

- The Operator verbally conveys the work order or service request number to the Resident.

- **Siebel** then pushes the request to **Maximo**—NYCHA's work-order management system—where a new work order is created. The system assigns the work order a priority level based on the information the Operator entered into Siebel.

◄ *Challenge: Residents do not receive full information on repair status*

Residents receive no other record of their interaction with the CCC operator unless they also use the MyNYCHA app and see a new ticket created in their account. If a new work order is opened, The CCC Operator will dictate the number to the resident, forcing them to write down the number for reference. In some cases, only a Service Request number is transmitted—which will not match a work order number created later in Maximo.

Without a reference number, residents can struggle to follow-up on unfulfilled repair requests, leaving them frustrated when tickets are rescheduled or closed without their knowledge. As a result, many long-time residents preferred the older method of intake that was driven by the Property Management Office on site. Repair requests were handled locally instead of through a centralized call center.

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[17] For in-unit heat complaints, residents can bypass a live operator and enter details through the CCC's interactive voice response (IVR) system. The IVR system allows NYCHA to capture large volumes of information without overburdening the live CCC system.

▸ *Action: Modifying resident communication protocols [Closed Worked Tickets & Work Order Reform]*

As part of the Closed Work Ticket program, NYCHA is changing the resident communications process to address this challenge. These changes will allow residents to track the status of their repair request from creation to completion, a feature unavailable today. Residents will receive notifications by email or text when the status of a ticket changes—when it is changed to "closed," for example—and users of the MyNYCHA App will be able to check the status each time they log into the system.

Exhibit 17: Modifying Resident Communication Actions

Activity	Owner	Date	Status	Cost
Develop IT scope of work to enable automatic email and text to residents after Maximo ticket creation	Strategy & Innovation	October 1, 2021 June 1, 2022	**In Progress**	Staff time only
Modify CCC script to notify residents of information they will receive through automatic email and text	Strategy & Innovation	October 1, 2021 June 1, 2022	**In Progress**	Staff time only

The second method for residents to directly trigger repair requests is the MyNYCHA app, which was created in 2015 to provide residents with additional transparency and a more efficient work order creation process. MyNYCHA also has a desktop feature for residents to use it as a website instead of a phone-based app.

- The Resident opens MyNYCHA app, enters their login information, and selects "Request Repair" from the app home screen.

Exhibit 18: MyNYCHA App Home Screen
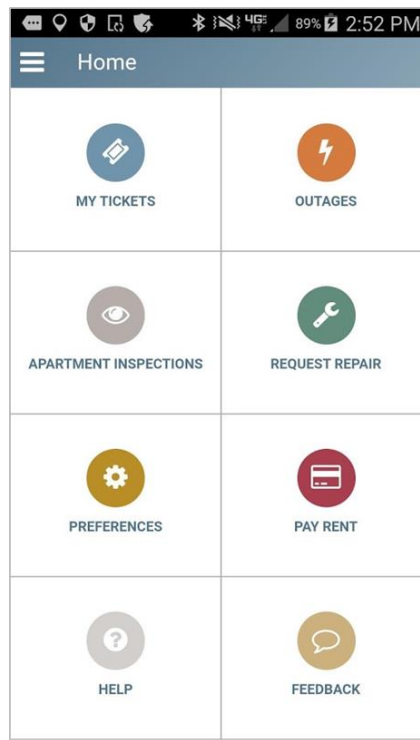
- The Resident then selects the nature of their repair request from a series of dropdown menus, which include the location, and two layers of specifications on the problem.

Exhibit 19: MyNYCHA App Dropdown Screens
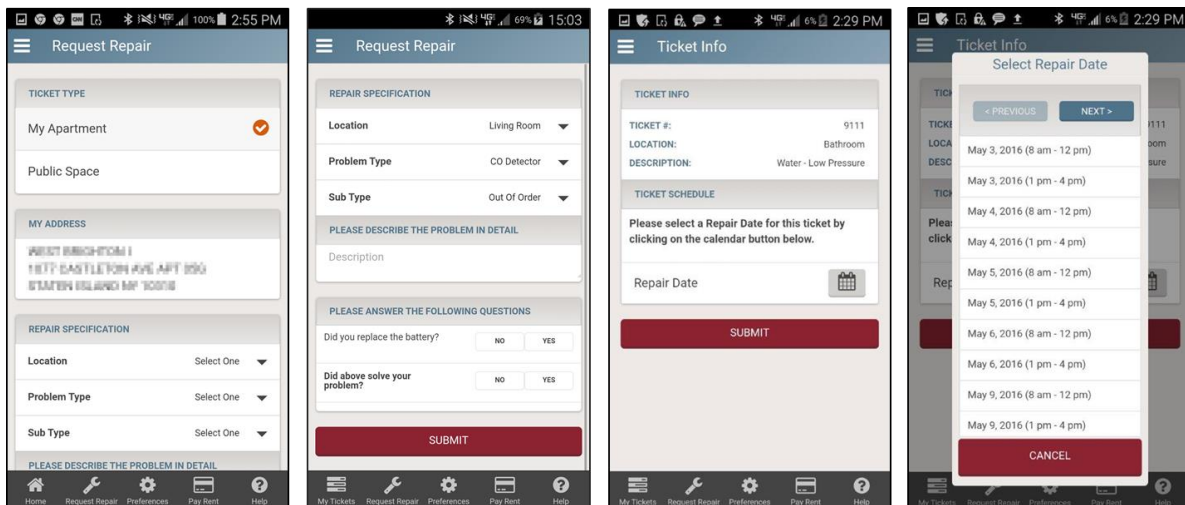
- The App will prompt resident to describe the repair need in detail and answer specific questions based on the problem type previously selected.

- The App will provide a ticket number, which the resident can use for reference

- The App will provide several possible dates and times for the repair to occur.

◀ ***Challenge: Residents cannot convey full information through the app***

Residents submitting a repair request through MyNYCHA are limited by the prompts and categories pre-loaded into the app, requiring them to self-diagnose some issues that may be ambiguous. Residents cannot upload pictures, for example, which may help planners and maintenance staff better identify a problem and a solution.

▸ ***Action: Changing the MyNYCHA App to take in more information***

The MyNYCHA App is managed by the IT Department, which takes requests from business leaders on required modifications to products, services, and processes. To address the intake challenges in MyNYCHA, the agency is adding two pieces of functionality to the App: the ability to upload images associated with a request and the ability for residents and others to create work orders for common area needs.

Exhibit 20: MyNYCHA App Actions

Activity	Owner	Date	Status	Cost
Develop IT scope of work to expand MyNYCHA App functionality to include image uploads	Management & Planning	October 1, 2021 March 1, 2022	**In Progress**	Staff time only
Develop IT scope of work to allow residents and Community Based Organizations working in developments to create work orders for common area repairs	Strategy & Operations	August 1, 2021 March 1, 2022	**In Progress**	Staff time only

ii. Staff-initiated repairs

In addition to resident-initiated repair requests, NYCHA staff can also create repair requests. These work orders are created either in the course of an annual apartment inspection or while inspecting or performing a different repair. Under the Work Order Reform program, discussed in detail below, Maintenance Workers will also create new tickets for the full slate of repairs required for a single job.

Under HUD regulations, every public housing authority is required to perform an annual inspection of each public housing unit under its management each year.

- At NYCHA, these inspections are performed every other year, with half of the agency's units inspected in a given year. Annual inspections were also a requirement of the Agreement, triggering an Action Plan that was approved on December 9, 2020.[18]

- During the Annual Inspections, Maintenance Workers inspect a prepopulated list of over 100 items in the apartment. For each item on the list, the worker marks whether it is "satisfactory" or "unsatisfactory," and notes whether they have taken any corrective action.

- Under The Agreement, Maintenance Workers are required to perform any minor repairs required in the course of their inspection.[19] All minor repairs completed during the inspection—and all major repairs sequenced to a later time—require the creation of new child work order tickets.[20] In 2019, Maintenance Workers opened 13,560 work orders in the course of their inspections, 6,911 of which were closed on the same day. By the end of the year, 13,000 of the work orders had been closed.

- Work orders not completed on the same day are then routed into the queue as all other work orders.

When Maintenance Workers or skilled trades staff are completing repairs in a unit, they may notice additional, unrelated repair needs within the unit. Under current protocols, workers are to instruct the resident to call the CCC to open a separate ticket for that separate repair need.

◂ *__Challenge: No authorization to create ancillary work order tickets__*

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[18] https://nychamonitor.com/wp-content/uploads/2020/12/Annual_Inspection_Action_-Plan_DEC2020.pdf

[19] For a full list of "minor repairs," see Appendix 2 of the Annual Inspection Action Plan.

[20] Child work orders are subordinate to "parent" work orders in the Maximo system.

Current standard procedures for in-unit repair work dictate that Maintenance Workers must instruct residents to call the CCC or use the MyNYCHA app to request any ancillary repairs identified by NYCHA staff in the course of a prior repair. Maintenance Workers are not allowed to create new parent work orders. This adds an unnecessary transaction to the repair process, forcing a resident to make a phone call that will have the same result as the worker creating a new work order on their handheld device.

Superintendents and other supervisors do have the ability to create new parent work orders in Maximo, but only use that functionality in exceptional cases.

▶ *Action: Require staff to open ancillary parent tickets when needed*

Under the Work Order Reform program, repair staff will be required to open tickets when repair needs are observed. This will require changes to the standard procedure and a communications plan to explain the new requirements to Maintenance Workers.

Exhibit 21: Ancillary Work Ticket Actions

Activity	Owner	Date	Status	Cost
Change Standard Procedures to require Maintenance Workers and skilled trades workers to create ancillary repair tickets if they are made aware of ancillary needs in the course of their work.	Strategy & Operations	March 1, 2022 August 1, 2022	**Not Started**	Staff time only
Integrate new ticket creation protocol to new Maintenance Worker training	Strategy & Operations	December 1, 2021 March 1, 2022	**Not Started**	Staff time only

iii. External party-initiated repairs

With a heightened public focus on the agency in the past decade, there are an increasing number of externally-triggered repair requests that come from elected officials, community organizations, or members of the media. Most external requests come through a small set of internal NYCHA channels, including the Office of Intergovernmental Affairs, the Office of the Chief Operating Officer, and the Resident Engagement Department.

In most cases, these referrals relate to existing repair issues previously recorded in the system. If a new work order is required, the receiving office contacts the Borough Vice President or

their designee, who then instructs the development Superintendent—or Deputy Director of Skilled Trades, depending on the repair type—to open a new ticket.

Once the ticket is created, it joins the other tickets in the queue awaiting scheduling.

B. **Scheduling and Assigning Repair Work**

i. **Assigning workers to tasks**

Throughout the day, the development's Superintendent and Assistant Superintendent monitor Maximo for any new work orders assigned to the development. The Superintendent will review all new work orders and assign them to Maintenance Workers depending on their urgency. Emergency work orders receive priority and an immediate response, while other work orders are scheduled for later dates. As detailed below, Maintenance Workers are the first to respond to almost all work orders, either to complete the work or to identify all the trades required to complete a job.

Under the old system—prior to any changes from the Work Order Reform program or the Neighborhood Model—for work orders routed to skilled trades, a Borough Planner oversees the scheduling and assignment of work orders to individual members of the staff. In most Boroughs, Planners cover a small number of trades and do not always have visibility across the entire job. Trades repairs are scheduled based on Borough-level availability without direct input from residents.

◄ *Challenge: Borough-based planning leads to a disconnect between trades and between levels of the Property Management organization*

Borough-based planning creates several challenges for the agency, including a disconnect between trades within a single job and a lack of communication with residents. Under the current system, there is no single view of a repair job, leading to trade-specific scheduling that is not optimized and occasionally misordered.

Without resident input for specific access dates and times, rates of "resident not home" are high, as many residents are unaware their repair has been scheduled. Superintendents have little to no control over trades work and often lack complete information on repair dates or coordination challenges.

Borough-based planning removes personal accountability from the process, with residents further removed from the process. Each time a resident contacts the planning unit or the CCC, they are unlikely to reach the same person twice. Without case continuity, details are lost and no one is held accountable.

▸ *Action: Create Neighborhood Planner role to manage trades sequencing at neighborhood level*

Neighborhood-level planning will enable better control over skilled trades sequencing and provide better service to residents. Neighborhood Planners will have an end-to-end view of the repair need and the authority to make resource decisions, including the authority to bring in properly procured outside vendors, to optimize the process. The proximity of the planning

function to the developments will also provide Superintendents and Property Managers with better information in real-time.

Exhibit 22

Activity	Owner	Date	Status	Cost
Create new Neighborhood Planner role to manage and schedule all trades work	Strategy & Operations	May 1, 2021 October 1, 2021	**Completed**	$6.5M
Hire Neighborhood Planners for Queens/Staten Island	Human Resources	November 1, 2021 December 1, 2021	**Completed**	Staff time only[21]
Hire Neighborhood Planners for The Bronx	Human Resources	December 1, 2021 March 1, 2022	**In Progress**	Staff time only
Hire Neighborhood Planners for Brooklyn	Human Resources	January 1, 2022 April 1, 2022	**Not Started**	Staff time only
Hire Neighborhood Planners for Manhattan	Human Resources	January 1, 2022 June 1, 2022	**Not Started**	Staff time only

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◄ *__Challenge: Borough-based Trades staffing is inefficient__*

Similar to Borough-based planning, borough-based staffing is also an inefficient approach to managing the agency's repair system. Individual trades teams drive long distances across Boroughs to complete tasks in the same day. In Queens, for example, a painter with a morning task in Queensbridge and an afternoon task in Redfern may spend 90 minutes commuting between the sites.

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[21] Salary for each borough's Neighborhood Planners included in the $6.5M figure above.

For decades, trades staff were stationed at developments or at regional clusters that served a small number of developments. With staff cuts over the last 20 years, the agency was forced to consolidate its trades staff in wider coverage areas, reducing efficiency and increasing repair times.

Moving trades to the borough level also created customer service challenges—residents who previously knew the names and faces of their trades repair staff no longer had that familiarity with the broader pool of workers, increasing the incidence of resident-not-home issues. Resident distrust with the agency is high, precluding the agency from doing much in-unit work when the resident is not home, unlike decades past where residents would allow local staff to perform repairs by leaving keys with the management office or in a lockbox.

Trades staff no longer knew the intricacies of the buildings they worked in, including the location of supply rooms, the specs of various in-unit components, or the layout of buildings.

▸ *Action: Move high-volume trades to developments and neighborhoods [Work Order Reform]*

In conjunction with the creation of the Neighborhood Planner, NYCHA is moving high-volume trades from the borough level to the neighborhood and development. Moving Carpenters, Painters, Electricians, and Plumbers will enhance coordination between trades and improve customer service.

These ideas were first tested in the Western Queens Pilot.

Exhibit 23: Western Queens Pilot Trades Locations

The Western Queens Pilot dedicated trades staff to four sites—Astoria, Ravenswood, Queensbridge North, and Queensbridge South. Carpenters, Painters, and Plasterers were staffed

locally at each site, while Electricians and Plumbers were staffed at the Neighborhood level and shared between sites.

Exhibit 24: Neighborhood-based Skilled Trades Actions

Activity	Owner	Date	Status	Cost
Pilot neighborhood and development-based skilled trades in Western Queens.	Strategy & Operations	December 1, 2020	**Completed**	$1.5M[22] Staff time
		February 1, 2021		
Analyze pilot results for possible citywide rollout and adjustments	Strategy & Operations	February 1, 2021	**Completed**	
		April 1, 2021		

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[22] This cost was accrued in FY21 for a consulting contract.

Develop initial skilled trades staffing model based on work volumes.	Strategy & Operations	March 1, 2021	**Completed**	
		July 1, 2021		
Refine skilled trades staffing model with Neighborhood Administrators, Property Managers, Borough VPs, and Skilled Trades leadership.	Strategy & Operations	July, 2021	**Completed**	
		October 1, 2021		
Develop Neighborhood-specific skilled trades staffing model that uses work order volumes by trade and by development.	Strategy & Operations	July, 2021	**Completed**	
		October 1, 2021		

ii.   Initial work inspection

For most in-unit repair work orders that are routed to a development, the Superintendent will assign a Maintenance Worker to conduct an initial inspection to identify all repair needs. The initial inspection is critical to enabling a job-based approach to scheduling, discussed below. Maintenance Workers are staffed on site at developments and have a high familiarity with the nuances of the buildings and units under their purview, making them the ideal candidates for the initial work inspection. Maintenance Workers can also complete simple repairs in the unit while performing this initial inspection.

◄ *Challenge: confusion in scopes of work between Maintenance Workers and Trades*

Current scopes of work for Maintenance Workers and trades staff are often muddled and inconsistent between boroughs—the line between tasks performed by one or the other is not clear. Without a clear understanding of what repairs are the Maintenance Worker's responsibility, initial post-inspection sequencing can be faulty—the Maintenance Worker may incorrectly sequence a work order they should complete themselves or may sequence the work to the incorrect trade. Worse still, disagreements on repair purviews can also lead to a repair going unaddressed if no worker believes it to be within their scope.

Ambiguous scopes of work also prevent worker-level accountability, since Maintenance Workers, Trades staff, and supervisors cannot point to a single authority on responsibility for different repairs. Combined with current service level agreements—discussed later in

this chapter—Maintenance Workers have an incentive to overly sequence work to improve their on-paper performance metrics.

▸ *Action: Review and refine scope of work for Maintenance Workers and trades workers*

To decide on an authoritative demarcation between Maintenance Workers' scope of work and trades work, NYCHA has begun a review of current practices across the agency. The analysis includes a review of current labor agreements, work rules, and past practices. Upon review, the agency will determine if changes in scope are required and develop a plan to integrate the new scope of work into ongoing training programs and standard procedures. The agency will also develop a process to manage disputes between maintenance and trades staff.

Exhibit 25: Maintenance Worker Scope of Work Actions

Activity	Owner	Date	Status	Cost
Analyze current labor agreements, work rules, and past practices	Strategy & Operations	December 1, 2021 February 1, 2022	**In Progress**	Staff time only
Develop proposed scope of work and performance standards for Maintenance Workers (possible collective bargaining implications)	Strategy & Operations	January 1, 2022 April 1, 2022	**Not Started**	Staff time only
Integrate new Maintenance Worker scope and performance standards into ongoing MW training	Learning & Development	April 1, 2022 Jul 1, 2022	**Not Started**	Staff time only

◂ *Challenge: Maintenance Workers not sufficiently trained to identify all repair needs upon initial inspection*

Despite their knowledge of the buildings on site, Maintenance Workers must also hold basic knowledge of other trades work to properly identify the full scope of required repairs. Currently, not all Maintenance Workers can properly diagnose complex repair issues, leading to improper delegation of work or the incorrect sequencing between trades.

Misdiagnosing or improperly delegating repairs can be a costly error, forcing Trades staff to return multiple times to the same unit if it is sequenced incorrectly. For example, if a leak is ultimately responsible for a faulty cabinet door, a Maintenance Worker who incorrectly identifies only a carpentry need sets the process back to the beginning. The Maintenance Worker must properly identify the need for a Plumber, Plasterer, Painter, and Carpenter—in the correct sequence—to ensure the work is completed correctly.

◀ *Challenge: Some maintenance and trades staff are unable to complete repairs within their scope of work.*

With staff turnover and a rollback in NYCHA's training regiment, some Maintenance Workers and trades staff do not have the requisite skills to complete repairs within their title. The inability to complete a repair within the appropriate title then requires a supervisor or secondary team to complete the work, adding time and complexity to the process.

Theories abound for the skills gap that NYCHA has experienced over the past 20 years, including an overly-aggressive promotional structure and changing standards for entry-level hires. In either case, NYCHA must ensure that all workers performing in-unit repairs are capable of performing their duties as required.

▸ *Action: Develop and implement new Maintenance Worker training*

Training is a critical component of the Transformation's success and Maintenance Worker training is among the highest needs. Work Order Reform adds new responsibilities to the Maintenance Worker duties, including the identification of all required trades needs and the opening of all associated work orders.

Maintenance Worker training is dependent on the Maintenance Worker scope of work analysis. Without a clear demarcation between skilled trades and Maintenance Worker responsibilities, the agency cannot develop an effective training program.

New training protocols will include a return to in-person instruction, which Maintenance Workers have consistently stated as a requirement for effective instruction. In-unit repair work is a tactile, hands-on exercise that cannot be taught properly in a virtual setting.

Exhibit 26: Maintenance Worker Training Actions

Activity	Owner	Date	Status	Cost
Develop new comprehensive	Learning & Development	January 1, 2022	**Not Started**	

Maintenance Worker training curriculum, working with current Maintenance Workers and outside experts		April 1, 2022		TBD[23]
Hire a team of retired Maintenance Workers to lead in-person training for all new Maintenance Workers (and refresher training as required)	Learning & Development	January 1, 2022	**Not Started**	TBD
		April 1, 2022		
Integrate new Maintenance Worker scope into ongoing MW training	Learning & Development	April 1, 2022	**Not Started**	Staff time only
		June 1, 2022		

iii.   Scheduling

For the last decade, NYCHA has used task-based scheduling to manage its in-unit repair work. Task-based scheduling breaks each repair issue into its component parts and allows each trade to schedule its portion of the work independently.

- The initial work order the Maintenance Worker responds to is known as a parent work order, which governs the end-to-end repair in the Maximo system.

- Once the Maintenance Worker completes their initial inspection—and determines that additional Trades work is required—they close the parent work order and open a "child" work order, associated with a task for a specific skilled trade.

- Each individual trade-based child work order is scheduled by the Borough Planner, based on that skilled trade staff's availability.

- When each skilled tradesperson arrives at the apartment, they complete their portion of the work and close out the associated child work order.

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[23] The Learning & Development team may leverage a third-party consulting contract to develop the Maintenance Worker training curriculum.

- If additional trade work is required, the skilled tradesperson then creates a new child work order for the second trade, leading to a secondary scheduling process with the Borough Planner.[24]

- Throughout the scheduling process, residents are not typically consulted for access dates.

◀ *Challenge: Task-based scheduling is inefficient, even if it minimizes current Trades Service Level Agreements*

Task-based scheduling limits the ability to coordinate across trades to complete an entire job. Each trade is focused on their particular portion of the work, without full consideration of how their work fits into the end-to-end repair process. Waiting to create subsequent child work orders creates unnecessary delays in the scheduling process.

The task-based approach to scheduling also incentivizes Maintenance Workers and Trades to over-sequence to other Trades or close their portion of the work without any work completed. Since individual worker Service Level Agreements measure the duration of the child work order, workers do not necessarily consider the full life of the job, instead focusing only on the portion that affects their perceived performance.

▸ *Action: Implement one-call job-based scheduling*

In lieu of task-based scheduling, NYCHA is moving to job-based scheduling, which presents a holistic, single view of the end-to-end repair need. Once a resident makes the initial repair request, a Maintenance Worker will be scheduled to assess the job. If the job is within the scope of the Maintenance Worker, they will complete the work and close the ticket. If the job requires additional trades, the Maintenance Worker will open all required trades tickets and provide the resident with the phone number of the Neighborhood Planner.

In a single phone call—the "one-call" approach—the Neighborhood Planner will work with the resident to schedule all required access dates. The Planner will have sufficient knowledge of trades sequencing to schedule in a logical manner.

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[24] As noted in the action tables, this describes a process that the agency is actively changing.

Exhibit 27: One Call System

Exhibit 28: Job-Based Scheduling Actions

Activity	Owner	Date	Status	Cost
Create new Neighborhood Planner role to manage and schedule all trades work	Strategy & Operations	August 1, 2021 November 1, 2021	**Completed**	$XM in new headcount costs Staff time only
Train Queens/Staten Island Neighborhood Planners on new scheduling protocols	Strategy & Operations	November 1, 2021 February 1, 2022	**In Progress**	Staff time only
Train Queens/Staten Island Maintenance Workers on new approach to opening trades work tickets	Strategy & Operations	November 1, 2021 February 1, 2022	**In Progress**	Staff time only

◄ ***Challenge: The parent and child work order system adds complexity to the process***

While Maximo is a robust work order management tool, NYCHA's use of the parent and child relationship can cause confusion. As noted above, the initial work order is considered a parent ticket, while any associated tickets created by the Maintenance Worker upon an initial inspection are children. But for an individual worker receiving an assigned work ticket on their handheld device, they are unable to see the relationship between an individual child work order and other child work orders associated with the repair. The overall job is broken down into its components, making it difficult to understand the end-to-end status.

The Maintenance Worker closes the parent ticket once their inspection is complete, but the children live on, awaiting trades staff to complete work and close them. Under this approach, no single ticket measures the end-to-end duration of the repair issue, requiring back-end analysis to measure complete job duration.

▸ *Action: NYCHA will explore the possibility of ending the parent and child work order taxonomy*

While the Work Order Reform program—and many of the Agreement pillars—is built on the existing parent-child work order relationship, the agency will explore the possibility of replacing the existing system with a more conventional task-job hierarchy. The agency is in the process of assessing the cost-benefit of making such a change.

iv. Staffing and Availability

NYCHA's high volume of in-unit repair requires an extensive Maintenance and skilled trades staff to complete those repairs. Staffing levels should correspond to work volumes, based on reliable assumptions of worker productivity.

The complexity of the operation also requires real-time visibility into staffing levels and locations. Effective assignment and scheduling require supervisors to know which workers are assigned to each development, neighborhood, and borough, and to have access to real-time vacancy or absence information.

Currently, Maintenance Workers and skilled trades are staffed based on rigid formulas that allocate workers depending on the number of units in a development or borough.

◂ *Challenge: NYCHA is understaffed to meet the high demand of repairs*

NYCHA is understaffed relative to the volume of in-unit repair work generated each year. As part of the Work Order Reform program, NYCHA analyzed work volumes to determine an optimal staffing model to manage the repair workload. The analysis was built by borough at the trade level, using work volumes by trade to determine the levels required to keep pace. For example, to determine the number of Carpenters needed at each development or neighborhood in Brooklyn, the working group looked at all carpentry work orders by development, determining where the work volumes justify on-site personnel.

The results of that exercise were shared at borough-level workshops, in which the agency's skilled trades leadership was able to provide their input and make their case for changes in existing allocations.

The current formulas apply a one-size-fits-all approach that is antithetical to the Neighborhood Model's commitment to local control and customized service. Each development must be staffed based on its specific needs, not simply the number of units, acres, or residents.

▸ *Action: Increase staffing levels for Maintenance Workers and skilled trades*

NYCHA is investing in its maintenance program by adding hundreds of additional workers to perform in-unit repairs. For example, NYCHA employed 787 Maintenance Workers in FY21 and is planning to add 82 more between FY22 and FY24.

Each borough and neighborhood's staffing needs were modeled individually, with additional input from trades supervisors, Neighborhood Administrators, and Borough Vice Presidents.

The initial model was based on work demand volumes. For example, if a development produced enough plumbing work orders to occupy a plumbing team full time, the model would allocate that team to the development. If developments within a neighborhood did not have sufficient demand for on-site staff, that trade was allocated to the development.

Exhibit 29: Queens Neighborhood 1 Staffing Model Results

For the first two boroughs scheduled for implementation of the Work Order Reform program—Queens-Staten Island and The Bronx—NYCHA held staffing workshops with trades and development leadership to determine the level of trades staffing required for each site and neighborhood. The results of QS1—a neighborhood in Western Queens—are below.

QS1

	QS1 Requests							
	QS1 total		Ravenswood		Queensbridge South		Queensbridge North	
	Model	ST Super	Model	ST Super	Model	ST Super	Model	ST Super
Carpenter	8	8	4	4	2	2	2	2
Electrician	4	6	2	1 team (2 people)		1 team		1 team
Painter	6	8	2	2	2	3	2	3
Plumber	6	4	2	2	2	2	2	2
Plasterer	6	8	2	2	2	3	2	3
Plasterer helper	6	8	2	2	2	3	2	3

RAVENSWOOD

QUEENSBRIDGE NORTH

QUEENSBRIDGE SOUTH

Exhibit 30: Skilled Trades and Maintenance Worker Hiring Actions

Activity	Owner	Date	Status	Cost
Develop initial skilled trades staffing model based on work volumes.	Strategy & Operations	March 1, 2021	Completed	$1.5M[25]
		July 1, 2021		
Plan for and hold staffing workshop with borough	Strategy & Operations	April 1, 2021	Completed	Staff time only

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[25] This cost was accrued in FY21 for a consulting contract.

leadership in Queens/Staten Island		May 1, 2021		
Hire Maintenance Workers and trades staff for Queens/Staten Island	Human Resources	November 1, 2021	In Progress	$37M (citywide, borough TBD)[26]
		April 1, 2022		
Plan for and hold staffing workshop with borough leadership in The Bronx	Strategy & Operations	April 1, 2021	Completed	Staff time only
		May 1, 2021		
Hire Maintenance Workers and trades staff for The Bronx	Human Resources	January 1, 2022	In Progress	$37M (citywide, borough TBD)
		April 1, 2022		
Hold staffing workshop with borough leadership in Brooklyn	Strategy & Operations	April 1, 2021	Completed	Staff time only
		May 1, 2021		
Hire Maintenance Workers and trades staff for Brooklyn	Human Resources	April 1, 2022	Not Started	$37M (citywide, borough TBD)
		July 1, 2022		

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[26] $37M funds 251 additional Maintenance Workers and trades staff in FY22. This is above the 211 incremental hires funded through the FY21 budget.

Hold staffing workshop with borough leadership in Manhattan	Strategy & Operations	April 1, 2021	**Completed**	Staff time only
		May 1, 2021		
Hire Maintenance Workers and trades staff for Manhattan	Human Resources	July 1, 2022	**Not Started**	$37M (citywide, borough TBD)
		October 1, 2022		

Exhibit 31: FY22 Staffing Model Output—DRAFT; PENDING BUDGET APPROVAL

In FY21, NYCHA approved 211 additional positions for in-unit repairs, spread across Maintenance Workers and trades staff. The Work Order Reform Working Group estimates another 251 heads are required to manage the agency's workload. In FY22, NYCHA has approved 50% of those 251 hires, with an additional 62 hires in FY23 and FY24 each. The breakdown of the 251 hires is below, along with the run-rate cost at full strength.

- 2021 staff approved: 211

- Combined Work Order Reform investment = 462 new staff

- Finance has applied a phasing schedule over three years:
  50% - 75% - 100%

- Roll out schedule:
  - Qns/SI Q4 2021
  - Bronx Q1 2022
  - Brooklyn Q2 2022
  - Manhattan Q3 2022

		2022
WOs	1 Year Demand	1,496,030
Units	Total Units	153,535
Staff	Supervisory	24
	Skilled Trades	145
	Maintenance	82
	Headcount Change (to FY21)	251
Cost	Supervisory	$4.6M
	Skilled Trades	$21.8M
	Maintenance	$11.1M
	1 Year Cost	$37.4M

◄ *Challenge: Limited visibility into current staffing locations*

NYCHA's central office—and in some case the borough offices—does not always know where all of its employees are staffed, leading to confusion when it comes time to assign and schedule work. During the preliminary analysis conducted by the Work Order Reform team, numerous employees were assigned to one site in the back end system while being assigned to another site in reality.

Misinformation or missing employees make it difficult for supervisors to schedule and assign work effectively. It also impacts supervisory oversight and accountability.

▸ *Action: Explore real-time staff visibility tools to enable better decision-making [Work Order Reform]*

NYCHA will explore the potential of real-time visibility applications that would allow development and other Property Management leaders to see where individual staff members are assigned on a given day. Currently, the agency has no centralized method to track where employees are assigned and whether they have consistently reported to the correct location. Enhanced visibility will allow for better resource allocation and more proactive planning.

Exhibit 32: Real-time Visibility Actions

Activity	Owner	Date	Status	Cost
Host interagency workshop with NYC agencies that use geolocation technology to manage staff allocations (DSNY, Parks)	Strategy & Operations	December 1, 2021	In Progress	Staff time only
		February 1, 2022		
Develop initial business requirements for geolocation solution specific to NYCHA needs	Strategy & Operations	February 1, 2022	Not Started	Staff time only
		April 1, 2022		
Present investment case for possible solutions to Chair for go/no-go decision	Strategy & Operations	April 1, 2022	Not Started	Staff time only
		July 1, 2022		

‣ *Action: Acquire new human capital management system [Human Capital Management Systems]*

NYCHA has issued an RFP for a new comprehensive human capital management system (HCMS), which will include a suite of HR-related services. Services include recruiting management, timekeeping, payroll management, employee transfers, learning management, and reporting. A new HCMS will enable the agency to make better real-time personnel decisions and reduce employee frustration with internal processes that can be slow.

Exhibit 33: Human Capital Management System Actions

Activity	Owner	Date	Status	Cost
Develop and issue RFP for new Human Capital Management System	Enterprise IT	May 1, 2021 / October 4, 2021	**Completed**	Staff time only
Award HCMS contract to selected respondent	Human Resources	October 4, 2021 / March 1, 2022	**In Progress**	TBD
Implementation and integration of HCMS into/in lieu of legacy systems	Human Resources	March 1, 2022 / March 1, 2023	**Not Started**	TBD

◂ *Challenge: High vacancy rate and long lead time to fill vacancies*

When a worker retires or goes on leave, NYCHA struggles to cover or replace that worker in a timely manner, often leaving a site without a critical member of their team for months. The current vacancy process requires the Property Manager to submit a personnel form informing Human Resources of a vacancy. Human Resources then begins the process of finding a replacement, which can be arduous and slow under strict civil service restrictions.

On two occasions in the past two years, the agency has been forced to terminate pools of provisional employees in critical roles, in one case after a full year on the job, due to the City's civil service restrictions. Provisional employees were removed in favor of candidates from a civil service list, as established by the City's examination process. However, presence on a civil service list is not an indication of interest in the role or specific

qualifications required to execute the role on the daily basis, leading to lengthy vacancies and less qualified candidates replacing more qualified employees.

As of December 1, 2021, 18 of NYCHA's 136 Property Management offices did not have a Property Manager on site, due to an unfilled vacancy. Some sites have neither a Property Manager nor a Superintendent. The success of the Work Order Reform effort—and the Transformation—will require a full staff and a dramatic reduction in the agency's vacancy rate.

▸ *Action: Move some HR support to borough offices*

Under the Borough Administration Teams program, NYCHA is moving a portion of four support functions from the downtown headquarters to borough offices, where that staff will work closely with Property Management to ensure needs are met quickly. This program is part of the agency's reorientation around the developments. Central office departments are moving closer to the development to improve their understanding of development needs and, ultimately, to provide better service.

Exhibit 34: Human Resources Borough Administration Team Actions[27]

Activity	Owner	Date	Status	Cost
Identify HR functions best suited for borough office staffing	Human Resources	March 1, 2021	**Completed**	Staff time only
		May 1, 2021		
Move first Human Resources Administrative Staff Analyst to Manhattan office	Human Resources	May 1, 2021	**Completed**	Staff time only
		August 1, 2021		
Move addition Human Resources staff into other borough offices	Human Resources	August 1, 2021	**In Progress**	Staff time only
		February 1, 2022		

v. **Equipment and supplies**

For many repairs, equipment and supplies are required, adding a second layer of complexity to the scheduling process. Scheduling a worker for a specific task within a job—even if executed

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[27] As described in Chapter 5, NYCHA believes there are additional reforms required within various Human Resources processes. These reforms will be detailed in the 2022 Implementation Plan.

perfectly and in sequence—will not matter if the parts and supplies needed for that repair are not available for the worker to use.

Currently, development storerooms are managed by a Caretaker-I, who oversees the storage of everything from lead paint renovation, repair, and paint (RRP) supplies to extra doors, cabinets, and appliances. While supply rooms ultimately report up through the Procurement department, developments are individually responsible for ordering supplies needed for day-to-day business.

◀ *Challenge: current storeroom practices are inefficient and costly*

NYCHA carries a large inventory of spare parts and tools, but supply rooms are not optimized for highest volume uses. Carrying low-usage items is unnecessarily costly, especially if vendors can quickly supply the same parts while assuming risk. NYCHA storerooms are full of out-of-date, worn, or otherwise unusable parts, and often poorly organized for easy use.

▸ *Action: Move storeroom management to Purchasing, Logistics, and Inventory (PLI) team*

As part of the agency's procurement transformation, storeroom operations have moved to a new Logistics & Inventory Unit under the Vice President of Purchasing, Logistics, and Inventory. The PLI team is disposing of obsolete items in warehouses across the portfolio and introducing new technology as the function transitions to the National Institute of Governmental Purchasing (NIGP) code system. For more discussion of procurement changes, *see Chapter 5.*

◀ *Challenge: Work orders do not capture number of parts or items for repairs*

Currently, a job requiring a single door replacement and a job requiring five doors will not appear different on a handheld. The job plan will also appear identical, leading to difficulty in scheduling when workers discover that a job they've been assigned to for one hour requires five. Without better information on what parts are needed—and how many— planners continue to run the risk of misallocating staff.

▸ *Action: Modify work order process to capture number of replacement parts or items needed for a job*

Addressing this challenge will require a change to the Maximo process. The Work Order Reform team will develop a proposed change to ensure all work orders capture an estimate of materials required for a job. The team will submit the proposal through IT intake process.

Exhibit 35: Maximo Detail Capture Actions

Activity	Owner	Date	Status	Cost

Develop business requirements to identify number of parts or volume of work required within Maximo system	Strategy & Operations	January 1, 2022	**Not Started**	Staff time only
		May 1, 2022		
Initiate IT intake process to determine solutions and required resources	Strategy & Operations	May 1, 2022	**Not Started**	Staff time only
		July 1, 2022		

C. **Performing Repairs**

i. **Resident access**

To successfully complete in-unit repairs, a Maintenance Worker or tradesperson needs access to the apartment. In NYCHA buildings, access is not necessarily guaranteed and many repairs are thwarted by residents who are not home or otherwise refuse access. For complex repair jobs, a missed access date can require a complete rescheduling of all subsequent work.

While access stats prior to 2017 are unreliable, most veteran staff members believe access rates have declined since the late 1990s, when most workers conducting repairs in units were based at the development. Access rates dropped even further during the first wave of the COVID-19 pandemic in 2020.

‣ *Challenge: NYCHA needs to increase apartment access rates*

To effectively manage a repair program at NYCHA's volume, the agency must increase access rates to avoid costly and inefficient changes to schedules.

Low access rates are a function of pervasive distrust between residents and staff and the agency's failure to consult with resident for access dates that accommodate their schedule. Without asking for resident input on access dates, low access rates are no surprise.

For emergency work orders—including leaks from one unit that are cascading into other units—NYCHA has a contractual and legal right to enter, but is often slow to use it for safety and trust concerns.

During the Western Queens pilot, residents were 44 percent more likely to grant access to their apartment than a year prior.[28]

‣ *Actions: See "Implement one-call job-based scheduling" and "Move high-volume trades to developments and neighborhoods"*

ii. Standard procedures and training

Once a Maintenance Worker or skilled tradesperson arrives at the unit, they perform a safety check before confirming the need for the work and commencing the repair. If the repair is within the worker's purview, he or she will complete it and close the work order ticket accordingly. If, in the course of the repair, the worker identifies the need for additional work, they can create a new child work order to sequence the repair to another trade, as noted above. There are no Standard Procedures that dictate specific practices for maintenance or trades work. The only applicable SP is *040:09:7 Managing Maintenance Work Orders*, which details how to manage work orders within the Maximo system. It was issued in 2009 and has not been amended since. For years, work orders were treated as an IT issue, but require far more than IT procedures.

◂ *Challenge: No standard procedure for in-unit repair work*

Many NYCHA standard procedures are dated, reflecting old policy choices that have been formally or informally overruled. The mismatch between practice and policy renders many of the SPs unusable and leaves the agency without a single reference for how a process of function is supposed to be performed. For in-unit repairs, there is no Standard Procedure that details how to manage the end-to-end process.

‣ *Action: Create repair and work order Standard Procedure [Work Order Reform]*

Under the Work Order Reform program, NYCHA will create a new standard procedure that captures the agency's new approach to in-unit repairs and work orders. In the meantime, the agency is working to update existing standard procedures to reflect interim changes.

Exhibit 36: Work Order Standard Procedure Actions

Activity	Owner	Date	Status	Cost
Update standard procedure 040:09:7 to reflect current in-unit repair practices	Compliance	December 1, 2021	**In Progress**	Staff time only
		February 1, 2022		

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[28] The pilot's three-month term in 2020 did coincide with the second wave of the COVID-19 pandemic in New York, but NYCHA believes the access rate improvement was also due to direct scheduling with residents.

Create new standard procedure to reflect all changes from Work Order Reform program	Compliance	February 1, 2022	**Not Started**	Staff time only
		August 1, 2022		
Implement new standard procedure, including integration with ongoing training and communications	Strategy & Operations	August 1, 2022	**Not Started**	Staff time only
		December 1, 2022		

iii. Resident communication

While the work order ticket is open—and even while workers are in the process of completing or sequencing a repair—NYCHA must communicate with residents to provide updates on the state of the repair and the anticipated time of completion. For residents who use the MyNYCHA app, these updates are displayed when they select a ticket within their account. For other residents, though, there is little to no direct communication that informs them of changes or complicating factors that have extended a repair window.

◂ *Challenge: residents do not know the status of their repairs*

Because NYCHA repairs can remain open for so long and require so many different trades, residents need repeated updates to know the status of their repair. But if a resident does not use the MyNYCHA app, their only recourse is to call the CCC or contact a member of the staff, who can then manually look up the ticket. This can cause particular frustration when it leads to NYCHA not arriving at a scheduled time or when a ticket is closed without any work being done.

▸ *Action: Analyze current protocols for work ticket communication with residents and develop a set of process changes*

In addition to the Work Order Reform program, NYCHA is also pursuing an adjacent program on work tickets that are closed without any work performed, a frequent source of resident frustration. The Closed Work Ticket program is focused on resident communication and seeks to identify gaps in the process where NYCHA can and should communicate more information to residents about the status of their repair.

Exhibit 37: Closed Work Ticket Actions

Activity	Owner	Date	Status	Cost

Onboard third party advisor to conduct analysis on closed worked ticket program	Strategy & Innovation	May 1, 2021	**Completed**	$XM
		July 1, 2021		
Hold workshops with residents, CCC staff, and development staff to identify process challenges	Strategy & Innovation	October 1, 2021	**Completed**	Staff time only
		December 1, 2021		
Develop list of proposed changes to existing ticket closing process	Strategy & Innovation	December 1, 2021	**In Progress**	Staff time only
		February 1, 2022		

D. **Reviewing and Completing Repairs**

i. **Work performance**

A well-run maintenance operation—especially one of this size—requires effective tools to measure performance against set standards. The shift to the Neighborhood Model only heightens this need, as we push decision-making and day-to-day authority outside the central office. Successful franchises rely on strict standards and regular measurements against those standards. If the franchise is not meeting the centrally-set standards, the central authority must intervene to improve performance.[29] In this case, the Work Order Reform Working Group will lead those interventions, in partnership with the Borough VPs.

Holding an organization accountable, however, is not effective without holding individuals accountable. In the Neighborhood Model, individual Property Managers are the franchisees, overseeing service delivery at a site and ultimately responsible for meeting all applicable performance standards. To hold the development accountable is to hold the Property Manager accountable. As the agency moves more decision-making authority to the Property Manager, a greater portion of the development's performance falls under his or her control, enabling better performance measurement. and improved accountability.

Holding individuals accountable for in-unit repairs, however, is a more complicated proposition given that repair staff are located at different levels of the organization. As noted above, the Transformation does move many skilled trades from boroughs to neighborhoods or developments, but without all repair staff reporting to a development, holding the leader of development repairs—the Property Maintenance Superintendent—accountable for all repairs is difficult.

With the changes in staffing, Superintendents will remain accountable for all repair work performed under their purview, including all work by Maintenance Workers and any development-based trades. Property Managers and Neighborhood Administrators will retain supervisory accountability to ensure development repairs are completed according to standards. Superintendents, in turn, are responsible for holding their workers accountable through several quantitative and qualitative methods.

◄ *Challenge: NYCHA's Service Level Agreements are imperfect tools for measuring and enforcing performance*

NYCHA has used SLAs, which set a standard for repair times by type, to measure and enforce performance standards. SLA's, however, can provide a false sense of

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[29] In most private franchise agreements, the franchisor can revoke the franchisee's authority to operate if they fail to meet the terms of the contract. NYCHA operates under a different regulatory framework, necessitating intervention to ensure all developments meet standards.

accountability, incentivizing workers to close out work orders without work or overly sequence work to clear it from their queue.

Overreliance on SLAs, at the expense of other measures, has not proven effective in reducing repair times or improving customer service.

▸ *Action: Review existing service level agreements and key performance indicators and assess their effectiveness [Work Order Reform, Closed Worked Tickets, and KPIs]*

The Work Order Reform program will change the usability of many existing service level agreements. Since the Maintenance Worker will now open all required tickets upon an initial inspection, many trades tickets will remain open for a longer period than they do currently. Existing SLAs will rise and—without context—it will appear that Maintenance Workers and trades staff are completing repairs slower than before the program.

Once the program is implemented, the Work Order Reform Working Group will re-evaluate the existing SLAs and will propose new performance measures that more accurately measure performance against the agency's goals and values. KPIs will cover not only speed, but quality too, through measures like "percentage of work orders requiring repeat work." The working group will work closely with the Key Performance Indicators Working Group to integrate new measures into ongoing performance management tools.

Exhibit 38: Work Order Metrics Actions

Activity	Owner	Date	Status	Cost
Evaluate existing SLAs for usability and effectiveness	Strategy & Operations	December 1, 2021	In Progress	Staff time only
		April 1, 2022		
Propose new SLAs or alternative metrics to measure repair performance	Strategy & Operations	April 1, 2022	In Progress	Staff time only
		June 1, 2022		
Integrate new metrics into ongoing performance management tools	Performance Management	June 1, 2022	Not Started	Staff time only
		August 1, 2022		
Integrate new work order performance measures in NYCHAStat program	Performance Management	June 1, 2022	Not Started	Staff time only
		August 1, 2022		

Expand NYCHAStat access and responsibility to neighborhoods and developments	Performance Management	April 1, 2022	Not Started	Staff time only
		August 1, 2022		

◀ *Challenge: NYCHA does not have standardized performance evaluations for individual employees*

While the agency does use SLAs and KPIs to measure performance, there is no formal evaluation process for staff at any level, leaving managers to implement their own accountability approach. The haphazard approach to evaluations is not effective and does not allow the agency to hold employees accountable to set standards. The Neighborhood Model cannot realize its full potential without standardized evaluations. Any new evaluations for represented employees will be reconciled with existing labor agreements.

▸ *Action: Implement standardized performance evaluations for all repair staff [Work Order Reform]*

NYCHA will explore a standardized performance evaluation for Maintenance Workers and skilled trades staff. Performance evaluations will use data and supervisor observations to hold employees accountable to the clearly articulated standards. NYCHA will work with our labor partners to ensure all new evaluations are within existing contract terms or collectively bargain to include them.

Exhibit 39: Performance Evaluation Actions

Activity	Owner	Date	Status	Cost
Create performance evaluation working group with representatives from Property Management, HR, and Strategy & Innovation	TBD	February 1, 2022	Not Started	Staff time only
		April 1, 2022		
Develop proposed evaluation criteria and	TBD	April 1, 2022	Not Started	Staff time only

formal evaluation process by title, starting with high-volume titles like Caretaker J and Maintenance Worker		August 1, 2022		
Implement new performance evaluations by title	TBD	August 1, 2022[30] December 1, 2022	**Not Started**	Staff time only

ii.   Work inspections

After repair work is completed, supervisors—including Superintendents and trades supervisors—are required to conduct inspections to ensure the work is done to the agency's standards. Inspections provide multiple levels of quality control, ensuring that residents are satisfied with the work done, that work is completed to the quality and standard required, and no repair issues go unaddressed. Despite the current regime of inspections, many repairs needs do go unfulfilled, leading to resident frustration and external pressure from elected officials and members of the media.

- Prior to closing repair work tickets—especially for complex multi-trade repairs—a final inspection of the work is done prior to the ticket being closed. These inspections are occasionally performed by a Paint Supervisor, but many are performed by the last trade to complete work.

- Post-closing, at some developments, Superintendents perform sample inspections on work orders, calling residents to gauge their satisfaction with a repair need. If the work is not done to their satisfaction, the Superintendent can reopen a ticket or create a new one to remedy the deficiency.

- The Quality Assurance Department performs post-closing sample inspections, but on a relatively smaller set of work orders. The QA apparatus is not a replacement for development-level inspections, but an extra layer of review.

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[30] If any title-specific performance evaluation requires collective bargaining, this timeline may be extended.

- The Compliance Department conducts on-site monitoring reviews of sites on a rolling basis, identifying systemic issues that often include repair challenges. The monitoring reports are also not a replacement for development-level inspections, but an independent evaluation of site conditions.

◂ *Challenge: NYCHA's current layers of work inspections do not catch many deficiencies that linger in units*

While development-level and centralized inspections do catch many repair issues, the layers of review are not designed in concert to catch all issues. The pre-closing work inspection varies by geography. At some developments, a Paint Inspector will review multi-trade work thoroughly to ensure the job is complete. At some, it is a Maintenance Worker. At some others, the last trade to complete their work simply closes the ticket with no review at all.

Supervisory inspections by a Superintendent or trades supervisor are also inconsistent across developments. At some sites, Superintendents are highly vigilant, calling 10-12 residents a day to check on repair satisfaction. At others, Superintendents do not consider this a function of their role.

QA and Compliance inspections are relatively new to NYCHA's management approach and require further integration to ensure they're designed to complement the development-level inspections occurring prior.

▸ *Action: Review the in-unit repair inspections for effectiveness [Work Order Reform]*

NYCHA will review the existing set of in-unit repair inspections, including development-level inspections, post-closing supervisory inspections, Quality Assurance inspections, and Compliance inspections. The Work Order Reform Working Group will propose changes to inspection protocols to ensure sufficient oversight of the in-unit repair process.

Exhibit 40: In-Unit Repair Inspection Actions

Activity	Owner	Date	Status	Cost
Assess existing in-unit repair inspection processes performed by Property Management	Strategy & Operations	February 1, 2022 April 1, 2022	**Not Started**	Staff time only
Assess existing non-Property Management in-unit repair inspection process for overlap and	Strategy & Operations	February 1, 2022 April 1, 2022	**Not Started**	Staff time only

effectiveness (Compliance, QA, EH&S)				
Propose changes to the comprehensive in-unit repair inspection regime	Strategy & Operations	April 1, 2022 June 1, 2022	**Not Started**	Staff time only

2. **Maintaining Common Areas**

Common area maintenance—including internal and external janitorial work, waste management, and landscaping—is a standard legal and contractual responsibility among all landlords in New York City. The state of common areas sends a message to residents and guests alike, a reflection on the site's management. Well-kept common areas can trigger the start of a virtuous cycle, with residents and visitors respecting the space and doing their part to maintain it. Poorly-kept common areas can do the opposite, starting a downward spiral to continuous mistreatment of the space.

NYCHA's physical environment—long, winding hallways in buildings with relatively low lot coverage—increases the volume of common area work required.[31] Each additional stairhall, stairwell, hallway, compactor, and acre of open land adds to the common area workload for NYCHA staff.

Exhibit 41: Common Area Maintenance Interaction Model

Maintaining Common Areas

Waste Management	Property Management	Enabling Functions
• Set cleanliness standards and inform oversight inspections • Communicate with DSNY on development pick-up needs and adjustments • Develop and manage individual waste action plans for each development • Repair interior compactors • Manage bulk ticket process	• Monitor performance at neighborhood and development level, measured against set centralized standards • Deploy additional resources if necessary **Borough**	HR • Manage job descriptions and civil service process • Manage training programs
	• Oversee performance at development level, providing additional support to underperforming sites • Perform waste management inspections on a monthly basis • Deploy additional resources as necessary • Work with PMS to set development-specific schedules **Neighborhood**	Finance • Work with PM to prepare annual budget request • Communicate FY budget and ongoing spend against • Conduct annual maintain v. replace analysis
		• Manage on-site store rooms and inventory • Manage solicitation and contracting process • Work with Neighborhood to manage vendors
Capital Projects	• Perform all in-building janitorial work • Perform all waste management work, including operation of interior compactors and clearing of exterior trash receptacles • Perform all exterior grounds maintenance work • Inspect in-building janitorial, waste management, and exterior grounds work • Manage slop sinks and garages, ensuring machinery and equipment is in good working order **Development**	Perf. Mgmt. • Develop and manage data governance principles • Oversee NYCHAStat process for ongoing accountability
• Replace interior and exterior compactors when required		IT • Develop and manage Caretaker task tracking solutions
		Ext. Affairs • Manage complaints from external parties
		Compliance EH&S QA • Perform on-site monitoring and work with NAs and PMs to remedy deficiencies • Perform waste management inspections • Drafting standard procedures

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[31] At most NYCHA developments, lot coverage—the total area of the residential buildings divided by the total area of the lot—is between 20 and 30 percent, leaving 70 to 80 percent of the land as common space that required staff upkeep. At NYCHA's lowest coverage development—Boston Secor in the Bronx—the buildings only cover eight percent of the available lot.

21% lot coverage leaves 30 open acres to maintain

31 buildings with 45 stairhalls and 45 trash compactors
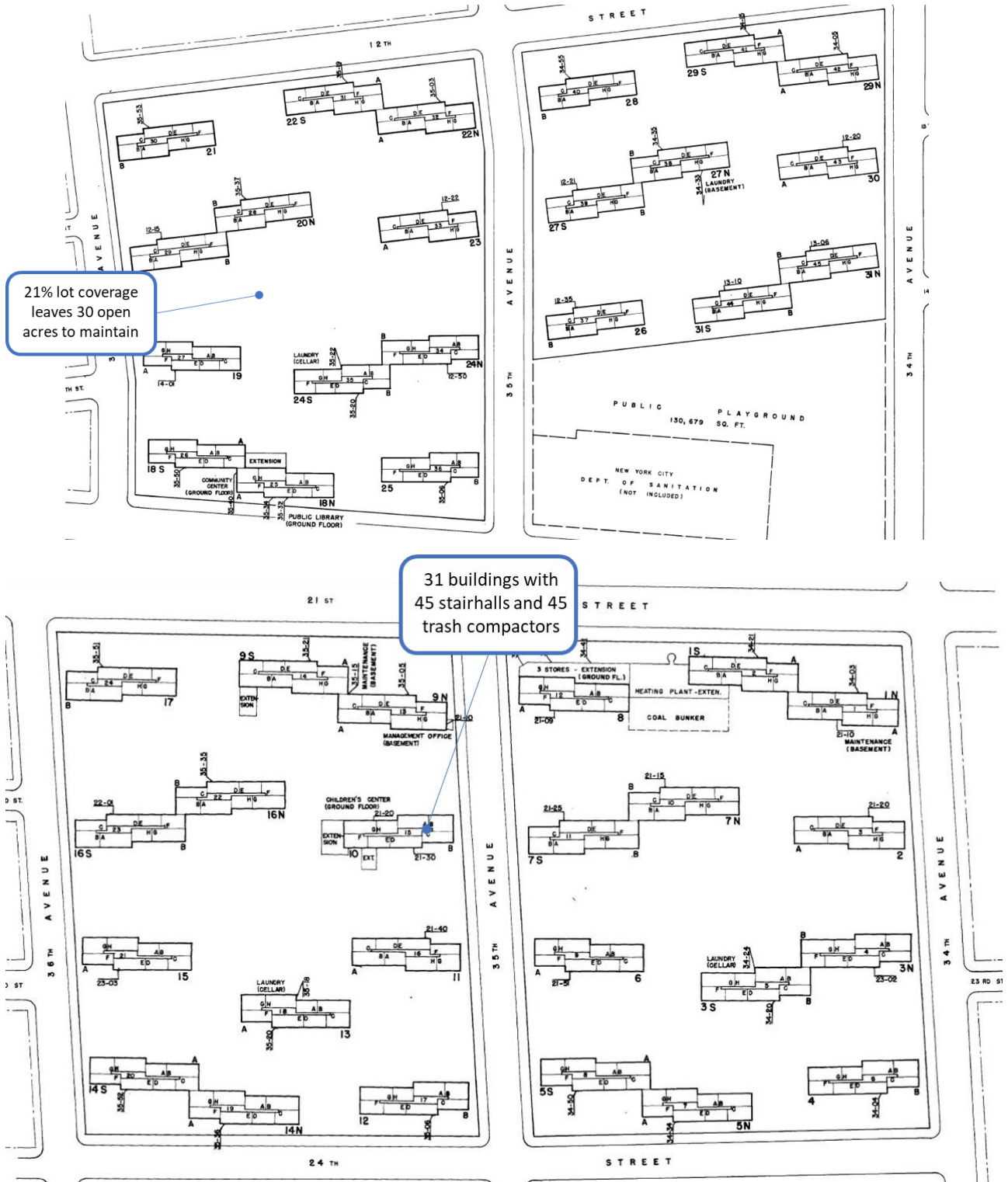
A. **Identifying Needs**

The first step in maintaining common areas is identifying the daily, weekly, monthly, quarterly, and annual maintenance needs for each development. Identification of these needs requires a set of clear standards for each component—defining cleanliness for a hallway, stairwell, or lobby, for example—before identifying the tasks required to ensure that standard is met on a regular basis.

Unlike in-unit repairs, which rely on a single process applied to different circumstances, common area maintenance requires defining standards and tasks for three different sub-functions: in-building janitorial work, waste management, and grounds maintenance.

i. **Setting tasks and standards**

Prior to identifying tasks, NYCHA must identify the standards to which its common areas must be kept. Without clearly articulated standards, the agency cannot effectively plan its work nor hold its staff accountable. NYCHA's common area standards must meet the agency's extensive legal and contractual obligations, including the terms of the HUD Agreement.

- For **in-building janitorial work**, NYCHA tasks and standards are captured in *Standard Procedure 060:67:1*, last revised in 2007. In-building tasks include: sweeping and mopping public places, washing windows, cleaning ramps and drains, cleaning roofs and canopies, polishing and waxing floors, performing daily safety checks of elevator hatch doors, cleaning elevator tracks, and other duties as required. The Supervisor of Caretakers is responsible for instructing Caretakers on NYCHA procedures and holding staff accountable to those procedures.

Exhibit 43: In-Building Janitorial Task List

In-building tasks	Description
Floor sweeping	All floors must be swept prior to mopping. All gum and other substances are removed using a hand-held scraper.
Floor mopping	Floors are mopped from side to side using a figure 8 pattern, with the mop flipped over every five feet. For resilient, painted, unpainted cement, or epoxy floors: • A detergent solution is applied with a saturated mop ("wet mopping")

	- The mop is wrung and a detergent solution is applied to the edge of the floor ("cutting the floor") - Detergent solution is applied, using a wet mop - The utility scrubbing pad is used to remove heavy dirt build up. - The hand scraper to clean out the corners - The mop is dry wrung and used to pick up the detergent solution, beginning with the edge of the floor ("dry mopping") - The floors are not rinsed, but left to air dry instead For Terrazzo floors: - Floors are mopped, as instructed for resilient floors, but only with clean water. No detergent is used.
Floor finishing	A regular schedule of scrubbing and buffing floors is required to ensure they stay in a waxed and polished condition.
Painted wall cleaning	Walls are washed using an all-purpose cleaner, starting from the bottom to avoid streaking. A sponge or sponge mop is used and rubber gloves and face shields must be used to protect their hands and face.
Tiled wall cleaning	A scrubbing brush is used with warm water and an all-purpose cleaner to remove marks. Unglazed tiles often require additional scrubbing.
Graffiti removal	Graffiti is removed from wall surfaces using a graffiti removing solution. If the graffiti is affixed to a wall with fire-retardant paint—like those in development stairwells—requires special treatment and should not be removed using traditional cleaners.
Stainless steel wall cleaning	Stainless steel wall panels are washed, including elevator panels, mailboxes, and lobby doors, with a detergent solution and dry with a clean rag. Surfaces are polished

	with a light coat of lemon oil, using a clean damp rag or sponge.
Elevator cab cleaning	All marks inside elevator cabs are removed using an all-purpose cleaner. Floors are mopped and swept, and the trim is polished. Elevator tracks must be cleaned using a standard flathead screwdriver to remove built-up dirt or small objects.
Window cleaning	Dirt is removed by using a window brush, followed by a sponge with glass cleaning solution to remove dirt. A squeegee and cloth is used to remove excess water.
Lighting fixture cleaning	Each light fixture is dusted.
Brass and chrome fixture cleaning	All chrome fixtures are washed with an all-purpose cleaner and rinse with a soft cloth. All brass fixtures are polished with a non-abrasive metal polish and rub with a soft cloth.
Hopper door cleaning	All hopper doors and pans are removed and scraped with a 4" hand scraper. Broken or malfunctioning doors must be escalated for possible capital repairs.

- NYCHA's **exterior grounds maintenance** tasks and standards are set by Standard Procedures 040:09:2 and 040:62:1.

- NYCHA owns 2,400 acres of land—nearly four square miles—with just under 2,000 open acres that require grounds maintenance. Over 90 years, NYCHA made architectural and design choices to build hundreds of large lot sites, with relatively low building coverage. The largest NYCHA site by area—the Breukelen Houses in Canarsie, Brooklyn—has 57 open acres, which must be managed by the development staff.

- Maintaining the exterior grounds involves snow removal, trimming plants and trees, and raking leaves, in addition to routine policing of the grounds, and collection of trash from exterior walkways and open space. These activities also require heavy machinery, including Bobcats, trucks, skid steers, tractors, and sweepers. On-site equipment repair is also often required.

Exterior grounds maintenance tasks	Description
Policing grounds	All exterior grounds are policed to identify litter, debris, tripping hazards, and any other condition that may require immediate resolution or escalation.
Landscaping	Minor trees, plants, and lawns are inspected and managed. Landscaping tasks include mowing lawns, setting sprinkler timers, maintaining shrubs and shrub beds, and trimming plants and hedges. Seasonal activities include leaf removal, lime application, and fertilizer application.
Exterior waste collection	Exterior wastebaskets are emptied on a regular basis, with bags tied and transported to drop sites or exterior waste yards.
Fence, bench, and playground repairs.	Minor repairs to fences, benches, playgrounds, and other exterior fixtures are performed as necessary.
Snow removal	Removal of snow and ice receives priority over all other janitorial and grounds work. Each development has a snow removal plan that indicates high-priority areas which must be cleared first. Snow is removed from maintenance area entrances, front entrances, and all interior walkways—and transferred onto lawn areas. Snow from exterior sidewalks are transferred towards the street curb to avoid runoff and icing. Front-end loaders, walk-behind plows, snow blowers, shovels, salt spreaders, and sanders are all used in the snow removal process.
Deicing operations	Deicing is performed after snow removal is complete. Maintenance ramps, front entrances, interior walkways, and exterior walkways are all treated.

◀ ***Challenge: NYCHA's grounds maintenance standards are inconsistently applied and enforced across geographies.***

Like in-building janitorial work and waste management, NYCHA's exterior grounds maintenance standards are not consistently enforced and have wide variation in application across the city. Without a single standard procedure or a clear articulation of what "clean" exterior grounds look like, developments are free to interpret and apply standards as they wish, compromising any effort at accountability.

As a result, the maintenance and cleanliness of NYCHA developments' exterior grounds vary widely. At some sites, grounds are routinely well kept, with well-manicured landscaping and minimal loose waste. Other sites are less so, with grounds that appear neglected and worn.

▸ ***Action: See "Develop single reconciled common area maintenance standard procedure" [AWS Reform]***

NYCHA's tasks and standards for **waste management** come from Standard Procedure 060:67:1, with additional guidance from Standard Procedure 040:09:2. NYCHA developments produce a lot of household waste, requiring daily operation of the interior compactors, daily emptying of exterior wastebaskets, and frequent pickups from the Department of Sanitation ("DSNY").[32] As part of the Transformation, NYCHA created the Waste Management Department ("WMD") to oversee waste policy and coordination with DSNY. WMD does not have oversight responsibility for Caretakers or development performance but are charged with setting new standards and working with the Borough VPs and Neighborhood Administrators to ensure accountability protocols are developed.

Exhibit 45: Waste Management Task List

Waste management tasks	Description
Interior compactor operations	Compactors compress household waste from each unit disposed through the garbage chute. After compressing waste into a manageable size, the compactor is used to load the waste into a bag of no more than 45 pounds and no more than two feet in length. Compactor rooms must be maintained in good condition—clean, dry, and well-

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[32] According to DSNY, the volume of household waste produced by NYCHA developments suggests a population closer to 600,000 residents, rather than the 380,000 officially listed on active leases.

	lighted. Floor drains should be covered and working properly. Compactor rooms should be scrubbed weekly using a deck brush.
Transporting compactor bags to drop sites or exterior compactors	Compactor bags are pushed up a ramp from the compactor room to the ground level, where they are loaded on trucks for transfer to a centralized drop site or exterior compactor.
Interior compactor maintenance	Interior compactors can break down, requiring maintenance or capital repairs. Repairs may include welding, electrical, plumbing, or mechanical work.
Bulk item disposal	Bulk items—including mattresses, couches, and other pieces of furniture—require separate collection. Some developments have bulk crushers to compress these items. Developments require "bulk tickets" to manage collection of these items.
Exterior wastebasket emptying	Developments have exterior wastebaskets that collect trash and recycling. Each basket is lined with bags that must be collected and transported to the centralized drop-off site or exterior compactor.
Loose bag collection	Residents and guests often leave bags of trash outside designated receptacles or in other locations across the grounds. These bags must be transferred to an exterior compactor or to a DSNY curbside pickup site.

◀ *Challenge: NYCHA's in-building janitorial standards are inconsistently applied and enforced across geographies.*

NYCHA's in-building janitorial standards, while well-developed and comprehensive on paper, are not applied consistently across sites, leading to wide disparities in performance against the standards.

At many sites, a weekday visit will show hallways that have not been mopped or swept, cobwebs lining the stairwell, and elevator cabs covered in markings and urine. Many of these site deficiencies are the result of scheduling challenges, discussed below, but some are the result of poor administration of the standards. Many of the tasks listed in the standard

procedure are not performed regularly, and in some cases not performed at all. Wall cleaning, for example, required by the procedure, is not regularly performed, with staff opting for spot treatments when issues arise.

▸ *Action: Develop single reconciled common area maintenance standard procedure*

NYCHA will develop a single authoritative standard procedure for all in-building janitorial, exterior grounds, and waste management work, reconciling the disparate processes captured in SP 060:67:1, SP 040:62:1, and SP 040:09:2. Once the standard procedure is drafted and adopted, NYCHA will integrate it into ongoing training efforts for Caretakers and development leadership.

Exhibit 46: Common Area Maintenance Standard Procedure Actions

Activity	Owner	Date	Status	Cost
Develop new single standard procedure for all in-building janitorial, exterior grounds, and waste management work	Compliance	February 1, 2022 August 1, 2022	**Not Started**	Staff time only
Integrate new standard procedure into Caretaker training protocols and supervisory instruction	Strategy & Operations	August 1, 2022 October 1, 2022	**Not Started**	Staff time only

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◂ ***Challenge: NYCHA's waste management standards are inconsistently applied and enforced. Waste management operations require cooperation of outside agencies and contractors.***

Under Paragraph 45 of the HUD Agreement, each development must "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." The 24-hour standard is a challenge at many NYCHA sites under existing waste management practices.

NYCHA's large volume of household waste is an intrinsic challenge, exacerbated by inconsistent application of agency standards across boroughs and neighborhoods. Additionally, NYCHA sites are not consistent in their waste management needs—many larger sites have exterior compactors that contain waste until DSNY arrives for pick up,

while many smaller sites have curbside pickup that looks more like traditional multifamily collection in New York.

As a result, many NYCHA developments suffer from debilitating waste management challenges, with household waste littered in front of the main entrance and individual pieces of waste strewn about the grounds. Trash uncontained across a development can be a dispiriting sight for residents and development staff alike.

Unlike in-building janitorial work and grounds maintenance, NYCHA's waste management operation is highly dependent on an outside agency—DSNY. Coordination with DSNY adds complexity to the operation and requires individual sites to implement bespoke waste solutions that enable pickup. Most large sites have separate waste yards with exterior compactors that "containerize" the development waste—keeping it protected from rats, roaches, and other pests. Most smaller sites do not have waste yards and rely on curbside pickup, requiring development staff to transport trash bags to a set drop off point on set days.

Trash is also not the only type of waste discarded at NYCHA sites. Recycling is separated and picked up by DSNY at different intervals. Even at sites with separate waste yards, DSNY often picks up recycling at different curbside locations. Bulk waste is often handled by private carters—for-profit companies who manage waste removal for most New York commercial businesses. Bulk removal requires the use of bulk tickets that are managed by the Waste Management Department.

Moving waste to waste yards is laborious. Not only is trash transported from each interior compactor to waste yards or drop off sites, Caretakers must empty each individual trash can and recycling bin across the site and transport them to the site. Ravenswood, for example, has 45 interior compactors, four exterior compactors, one bulk container, one mattress container, and 22 recycling bins.

▸ *Action: Develop individual waste management action plans for each consolidation*

When the Waste Management Department was created through the Transformation Plan, one of the first activities transferred to the department was the creation of individual waste management action plans, which were started by the Strategy & Operations team in 2020. Individual action plans capture all aspects of a development's waste operation, including the flow of garbage across the grounds, identification of all pickup and drop-off sites, and an inventory of all equipment.

Activity	Owner	Date	Status	Cost
Create Individual Action Plan (IAP) prototype for waste management activities	Strategy & Operations	May 1, 2021 August 1, 2020	**Completed**	Staff time only
Complete all 136 consolidation Individual Action Plans	Waste Management Department	August 1, 2020 June 1, 2021	**Completed**	Staff time only
Train development leadership on IAPs and integrate into day-to-day operations	Waste Management Department	February 1, 2022 August 1, 2022	**Not Started**	Staff time only

Exhibit 48: Ravenswood Waste Management Map (from Individual Action Plan)
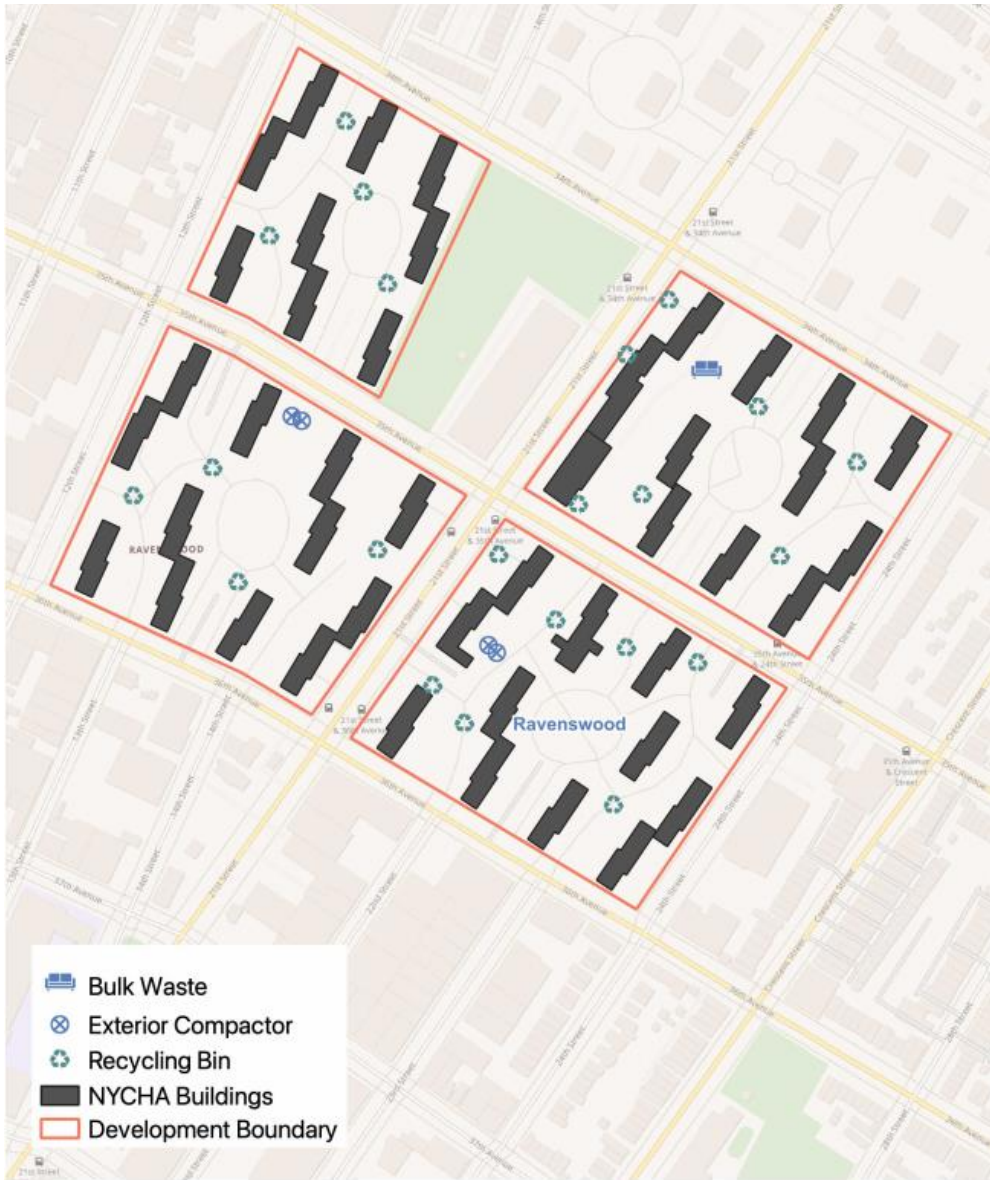
B. **Scheduling and Assigning Work**

Once tasks and standards are set, each development must assign staff to the various tasks and ensure supervisors are in place to enforce standards. Common area maintenance at developments is led by Caretakers, who perform most in-building janitorial work, grounds maintenance, and waste management work. Supervisors of Grounds—and some Supervisors of Caretakers—also perform on-site work.[33]

There are four different classes of Caretaker, each with a specific function.[34] Caretakers are the most common entry level title for new employees at NYCHA.

i. **Roles and responsibilities—by title**

Exhibit 49: Common Area Roles & Responsibilities

Title / Department[35]	Description
Caretaker J	Caretakers J are responsible for all in-building janitorial work, including sweeping and mopping floors, cleaning windows and walls, and cleaning elevator tracks. Caretakers J also manage the interior compactors, running the machines on a regular basis and transporting bags to drop sites or exterior compactors.
Caretaker G	Caretakers G are responsible for all exterior grounds maintenance, including mowing lawns, trimming plants, policing the grounds, and removing trash from exterior walkways and open space.
Caretaker X	Caretakers X are responsible for operating any on-site vehicles or machinery that require a commercial driver's license, including any pick-up or flatbed trucks used for moving compactor bags to drop sites or exterior compactors.

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[33] Supervisor of Grounds is a "working" title, while Supervisor of Caretakers is not. SOGs, therefore, are expected to spend half their time performing Caretaker duties.

[34] There is a fifth category of Caretaker—the Caretaker E—specifically for elevator maintenance support. The Caretaker E does not manage any of the common area maintenance work and is not discussed in this chapter.

[35] There is also a Caretaker I title, responsible for managing local storerooms and overseeing the on-site inventory process, including all inbound shipments and all outbound parts used.

Supervisor of Caretakers	The Supervisor of Caretakers (SOC) oversees the Caretakers J and Caretakers X. The SOC is not a working title and is purely supervisory in function, ensuring that the Caretakers are performing work to NYCHA's set standards. SOCs are responsible for ensuring Caretakers are working against set task, building, and shift schedules.
Supervisor of Grounds	The Supervisor of Grounds (SOG) oversees the Caretakers G. The SOG is a working title and also performs some caretaker-level work and is often responsible for repairing horticultural equipment. SOGs are also responsible for making real-time adjustments to the grounds maintenance schedule as necessary.
Superintendent	The Resident Building Superintendent oversees the SOC and SOG, ensuring that all janitorial, waste management, and grounds maintenance work is performed at the agency's standards. Many long-term problems—including broken hopper doors and stairwell graffiti—are escalated to the Superintendent to coordinate with other parts of the agency. The Superintendent is responsible for setting the development's building and grounds schedules.
Waste Management Department	The Waste Management Department (WMD) was created by the Transformation Plan in 2020, with a mandate to manage NYCHA's interactions with DSNY and to set waste management policies across the organization. The WMD also oversees the bulk ticket process, which enables development disposal of larger items, and the creation of individual development-level waste management plans.
Compactor Repair Unit	The Compactor Repair Unit was transferred from the Capital Projects Department to the Waste Management Department in 2020 and is responsible for all major repairs required for interior compactors. Interior compactors are complex machines, often requiring a

	mix of welding, electrical, plumbing, and mechanical repairs.

ii.   Task schedules—how work is scheduled by site

Each development requires basic task schedules, using time and motion studies to estimate the time to complete specific tasks. Task schedules will be used to estimate the total staffing needs for a development.[36] Given NYCHA's complex portfolio of low and high-rise buildings in hundreds of different configurations, task schedules are only a baseline estimate of how long the work may take at a given site. Task schedules are also limited to in-building janitorial work and waste management. Exterior grounds maintenance is too specific by development to allow for any general estimates.[37]

iii.   Building schedules – how tasks are applied to a building

Each development also requires building schedules that describe when each task is performed in each building on a daily or weekly basis. Developments have leeway in setting building schedules to ensure optimal coverage for the site. Building schedules do, however, require some logical sequence of work to avoid wasted work and meet resident needs. For example, sweeping and mopping of building lobbies should be prioritized in the morning to provide residents with a clean exit when they leave the building.

Building schedules also differ between high-rise and low-rise buildings. With high-rises—the tallest of which is Atlantic Terminal Site 4B at 31 stories—the additional floors require more sweeping and mopping time. Below are example building schedules for high-rise and low-rise buildings, followed by a schedule of general tasks that take place inside and outside buildings.

◀ *__Challenge: NYCHA building schedules do not always reflect realistic timelines or staffing levels__*

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[36] As described below, NYCHA is currently assessing its Caretaker staffing needs, using task schedules as a baseline.

[37] In general, exterior grounds maintenance is more variable by site than in-building janitorial work. While the volume of in-building janitorial work can change depending on the size and configuration of a development, the nature of exterior grounds maintenance can change between sites, depending on acreage, coverage, foliage, and neighborhood context.

Some sites are unable to follow the overly generalized building schedules NYCHA has developed in the past. Most often, a site cannot follow the schedule because the schedule is impossible to achieve with the staff allocated to the site.

For example, sweeping down the hallways and staircases in a single stairhall may be realistic for a single Caretaker J in a six-story building at Ravenswood. But across the river at the Stanley M. Isaacs Houses, a single Caretaker cannot sweep down a 24-story building in the same amount of time. Without two or more Caretakers assigned to that building—or additional time built into the schedule—the staff at Isaacs will struggle to meet a standardized building schedule.

▸ *Action: See "Pilot new shift and building schedules in Brooklyn"*

iv. Setting shift schedules

Shift schedules, which dictate when each individual Caretaker must be on site—must match the building schedules, ensuring developments have the right complement of staff at the right time to complete the work required.

In 2019, NYCHA began a new program called Alternative Work Schedules, which provided extended-hours coverage before 8:00AM and after 4:30PM by moving Caretakers to extended shifts over the course of fewer days. A Caretaker J who previous worked Monday through Friday, 8:00 AM to 4:30 PM, may now work Monday, Tuesday, Wednesday, Thursday from 6:00 AM to 4:30 PM. Weekend shifts were also altered with the goal of reducing overtime.

Exhibit 50: Shift Schedule Comparison

- Traditional Schedule: 8:00-4:30 with additional weekend overtime assigned (25% of staff)

- AWS Schedule I: 6:00 - 4:30 pm (30% of staff)

- AWS Schedule II: 8:30am - 7:00pm (30% of staff)

- AWS Schedule III: 6:00 a.m.- 4:30pm (7.5% of staff)

- AWS Schedule IV: 6:00am - 4:30pm (7.5% of staff)
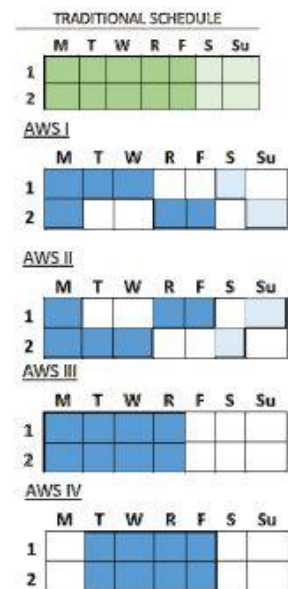
◀ *__Challenge: Alternative Work Schedules have not worked as intended__*

The AWS program was designed with two express goals: provide extended-hour coverage before 8:00 AM and after 4:30 PM and reduce development overtime spend. While the program does provide some extended hour coverage, it has not reduced overtime and—without the additional staff the program initially required—developments are left with skeleton Caretaker crews on Thursdays and Fridays, leading to conditions that deteriorate by week end.

Residents and development staff began to raise alarms on the AWS program in early 2020, pointing to poor conditions and an overburdened staff that was struggling with the new shift schedules. In the 2020 Transformation resident engagement sessions, the AWS program was the most common resident complaint.

The new schedules were not ideal for the staff either—the early morning shift, starting at 6:00 AM, presented childcare, transit, and safety issues. For the morning and late shifts, Caretakers work in pairs, reducing overall productivity, and do not work within the buildings due to safety concerns. Many Caretakers congregate near management offices, performing work that does not contribute to site cleanliness or the resident experience.

The distribution of staff over the week led to uneven shifts in each seven-day period. Mondays were staffed at 92.5 percent of full capacity, but the staff would taper for each subsequent day into the weekend. On Fridays, only 62.5 percent of the Caretaker staff were scheduled to be on site. By the following Monday, some buildings may not have been cleaned for four full days.

The AWS program was designed to reduce overtime spend but has increased it, driven by unscheduled supervisor overtime. In a 2020 employee survey, 90 percent of employees—and 70 percent of residents—said that AWS had not benefitted their development. Seventy percent of employees said their developments did not have adequate staffing to successfully implement the program.

Exhibit 51: Supervisory Overtime Analysis under AWS schedule
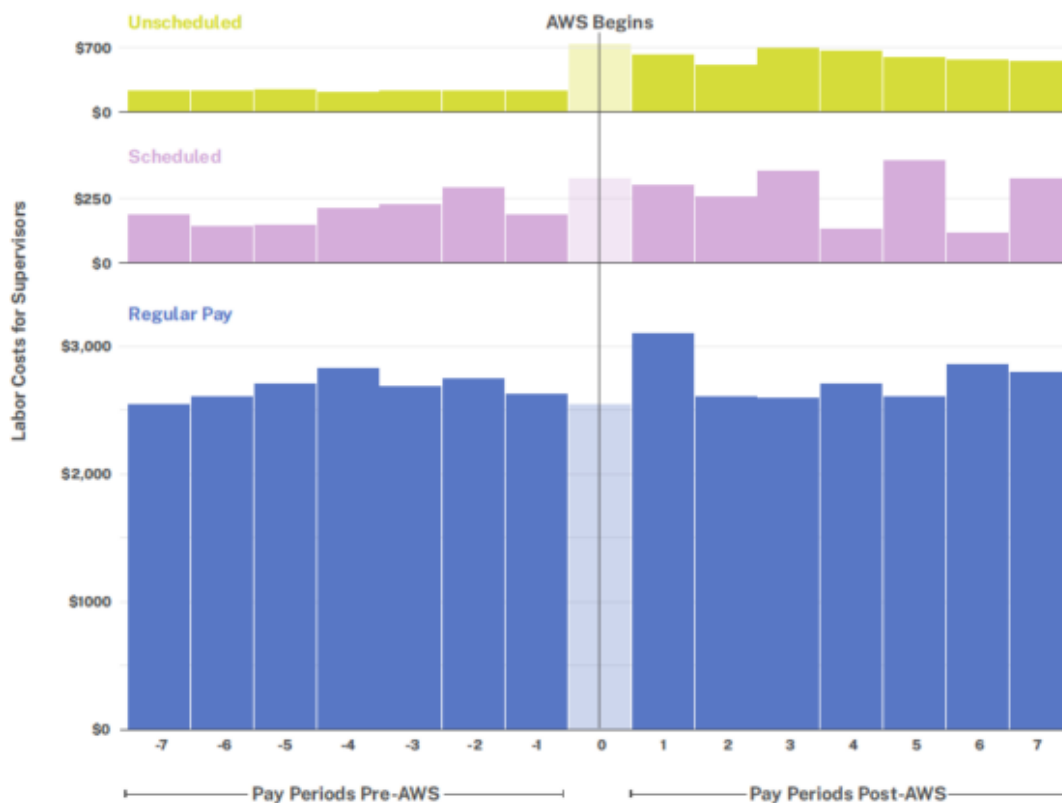
▶ *Action: Pilot new shift and building schedules in Brooklyn*

In response to the consistent concerns raised by residents and staff over the AWS program, NYCHA prioritized an assessment of the program as an early activity under the Transformation. The assessment provided a set of observations and recommendations that the agency has used to develop a pilot at three sites in Brooklyn. The pilot tests a set of changes to the janitorial building and shift schedules, along with new approaches to supervisory inspections. As the pilot comes to a close in the first quarter of 2022, the agency will prepare a possible citywide rollout.

Exhibit 52: Janitorial Schedule Reform Actions

Activity	Owner	Date	Status	Cost
Assess current impact and performance of the AWS program against stated program objectives. Develop recommendations for changes to janitorial shift and building schedules.	Strategy & Operations	June 1, 2020 September 1, 2020	**Completed**	$0.6M[38]
Develop pilot proposal at three sites in Brooklyn (Breukelen, Wyckoff Gardens, and Sumner). Pilot includes moving Caretakers J to traditional 8-4:30 shift, with some additional from a Caretaker X.	Strategy & Operations	February 1, 2021 June 1, 2021	**Completed**	Staff time only
Launch pilot at Breukelen	Strategy & Operations	August 16, 2021	**Completed**	Staff time only
Launch pilot at Wyckoff Gardens	Strategy & Operations	September 13, 2021	**Completed**	Staff time only
Launch pilot at Sumner	Strategy & Operations	October 18, 2021	**Completed**	Staff time only

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[38] Third-party advisory contract

Develop new approach to supervisory inspections and day-to-day task tracking	Strategy & Operations	December 1, 2021	**In Progress**	Staff time only
		February 1, 2022		
Ongoing monitoring of pilot performance across all three sites	Strategy & Operations	August 16, 2021	**In Progress**	Staff time only
		February 1, 2022		
Evaluate janitorial pilot against predetermined criteria (including Quality Assurance inspections) for possible citywide expansion.	Strategy & Operations	January 1, 2022	**In Progress**	Staff time only
		February 15, 2022		
Develop citywide expansion plan for new shift, task, and building schedules based on AWS pilot results	Strategy & Operations	January 1, 2022	**Not Started**	Staff time only
		March 1, 2022		
Develop individualized building schedules with development leadership, including SOCs, SOGs, Superintendents, Property Managers, and Neighborhood Administrators	Management & Planning	February 1, 2022	**Not Started**	Staff time only
		April 1, 2022		
Renegotiate existing contract with Teamsters Local 237 to include proposed citywide changes.	Human Resources	January 1, 2022	**In Progress**	Staff time only
		March 1, 2022		

Exhibit 53: Janitorial Reform Shift Schedules

Larger Sites (6 or more supervisors)

Late Shift 2 Driving Teams (1 X, 1 J each)	8:00 AM – 6:30 PM, 4 days/week
Early Shift 2 Driving Teams (1 X, 1 J each)	7:00 AM – 5:30 PM, 4 days/week
Traditional Shift Remaining Caretaker Xs Remaining Caretaker Gs Remaining Caretaker Js	8:00 AM – 4:30 PM, 5 days/week + approximately every third weekend

Smaller Sites (< 6 supervisors)

Late Shift 2 Driving Teams (1 X, 1 J each)	8:00 AM – 6:30 PM, 4 days/week
Traditional Shift Remaining Caretaker Xs Remaining Caretaker Gs Remaining Caretaker Js	8:00 AM – 4:30 PM, 5 days/week + approximately every third weekend

C. **Performing Work**

Executing on in-building janitorial work, waste management, and exterior grounds maintenance—once the task schedules, building schedules, and shift schedules are set—is still a challenge. Maintaining NYCHA's common areas is laborious work, requiring physical strength and endurance. Individual compactor bags, for example, can weigh as much of 45 lbs. each. To meet their schedules, Caretakers often stack multiple bags onto a rolling cart, which they then push up a steep ramp from the basement to the street level. Malfunctioning equipment—like a broken cart—can make the work more difficult, requiring Caretakers to improvise.

Given the volume of common area maintenance work at NYCHA, the agency employs over 3,800 Caretakers, more than any other title but still insufficient to meet current needs.

◀ *__Challenge: NYCHA does not have enough Caretakers to complete janitorial work to a consistent standard.__*

NYCHA allocates Caretakers to developments based on total dwelling units and acres. This approach does not account for on-site idiosyncrasies that increase or reduce Caretaker needs at specific developments. For example, 300 units spread across eight buildings and 300 units within a single building require very different Caretaker support, even if the acreage is the same. Eight buildings will require Caretakers to manage eight separate compactors, while a single building will have one, albeit one that must be serviced more frequently. Denser, taller buildings require vertical transport as Caretakers sweep and mop each floor, starting at the top.

Conditions at NYCHA developments are more challenging than when the formulas were first implemented. Seemingly simple tasks—sweeping and mopping a single hallway, for example—can take much longer than the formulas assume. As a result, NYCHA's janitorial, waste management, and grounds maintenance work is understaffed.

▸ *__Action: Increase Caretaker staffing levels to meet new standards of cleanliness [AWS Reform]__*

Independent of the shift and building schedules, NYCHA does not have enough Caretakers to keep pace with the demands of the sites. NYCHA will analyze current Caretaker needs across the portfolio, using time and motion studies and individual development needs instead of rigid allocation formulas.

Exhibit 54: Caretaker Staffing Level Actions

Activity	Owner	Date	Status	Cost
Set new standards for Caretaker staffing levels, based on existing Time and Motion studies (standards described below in Exhibit 55)	Management & Planning	October 1, 2021 February 1, 2022	**In Progress**	Staff time only
Develop FY22 budget proposal for additional Caretakers	Management & Planning	October 1, 2021 February 1, 2022	**In Progress**	Staff time only
Set new standards for Caretaker supervisory levels	Strategy & Operations	November 1, 2021 February 1, 2022	**In Progress**	Staff time only
Hire Caretakers to fill new roles and allocate staff to sites as required	Human Resources	February 1, 2022 December 1, 2022	**Not Started**	$XM

Exhibit 55: Proposed Caretaker Staffing Approach

Caretaker Function & Type	New Proposed Metric
Building Based (Js)	Average time in motion by development category (*see table below*)
Grounds (G)	1 per 10 acres
Move Out (X)	1 per consolidation

Driver (X)	1 per consolidation
Garbage Driving Teams (X/J)	2 teams (4 total) for every consolidation under 1,500 units, 4 teams (8 total) for every consolidation above 1,500 units
Utility (J)[39]	1 per every 10 Caretakers J

Exhibit 56: Caretaker J Time and Motion Study Output

Building Type	Time and Motion Average
Low-rise buildings: 5 or fewer floors	2.8 hours for daily tasks
Mid-rise buildings: 6-9 floors	4 hours
Mid-rise buildings: 10-13 floors	6.3 hours
High-rise buildings: 14-17 floors	8.6 hours
High-rise buildings: 18+ floors	11.7 hours
Utility (J)	1 per every 10 Caretaker Js

◄ *__Challenge: Local Law 11 sidewalk sheds and scaffolds are an additional burden on NYCHA's exterior grounds maintenance efforts.__*

In 1998, the New York City Council adopted Local Law 11, mandating regular façade inspections for brick buildings and the erection of sidewalk sheds in the event of a failed

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[39] The Utility J is a Caretaker J by title but performs non-building duties at most developments. This can include additional support on compactor duties or on the driving team.

inspection and inability to immediately correct the deficiency. NYCHA currently maintains sidewalk sheds at 428 buildings across its portfolio, covering 23 linear miles of sidewalk and pathways. Sidewalk sheds—and the attached fencing and netting—make exterior grounds maintenance difficult by creating hard-to-reach crevices where trash can enter but is only removed with difficulty.

The canopies above the sheds also become a refuge for wayward trash, including any waste thrown from windows above. Shed vendors are responsible for removing any debris or waste in a timely manner, but often do not do so without proactive outreach from development staff.

v.   Training protocols

◄ *Challenge: New Caretakers are not fully trained on tasks & standards, building schedules, and expectations*

While new Caretakers do receive training upon starting at NYCHA, some Caretakers do not have a full understanding of their job expectations and required tasks. As a result, performance against standards varies across developments, often dependent on the presence of an experienced SOC or Superintendent who can re-train the staff in an effective method of work. Training protocols are insufficient to ensure a fully-prepared staff across the city.

▸ *Action: Develop and implement new Caretaker training*

As noted in the in-unit repair section, in-person training is a critical component of the Transformation's success. NYCHA has a training backlog for Caretakers, with many unable to operate the interior compactors because they have not been trained to use them. The AWS Reform program will alter some responsibilities, but Caretaker training requires a holistic review to ensure standards are met. Developing this training is another opportunity to work closely with our labor partners at Teamsters Local 237, who have been an essential partner in the Brooklyn Pilot. NYCHA will solicit and incorporate the Teamsters' ideas on training needs as any new materials are created.

Exhibit 57: Caretaker Training Actions

Activity	Owner	Date	Status	Cost
Enhance in-person training capabilities to clear Caretaker training backlog	Learning & Development	February 1, 2022	**Not Started**	TBD
		June 1, 2022		
Develop new comprehensive Caretaker	Learning & Development	February 1, 2022	**Not Started**	TBD

training curriculum, including compactors, in-building janitorial procedures, and grounds (if applicable)		June 1, 2022		
Integrate standard procedures and other policy changes into ongoing training protocols	Learning & Development	June 1, 2022	**Not Started**	TBD
		December 1, 2022		

vi.   Equipment and supplies

◄ *Challenge: Development slop sinks and store rooms are not always fully equipped, leaving Caretakers without necessary equipment. Equipment is sometimes in poor repair.*

In order to perform janitorial, waste management, and grounds maintenance work effectively, Caretakers need fully equipped slop sinks and unfettered access to supplies like brooms, mops, cleaning solutions, and protective equipment. At some developments, some equipment and supplies are stored in slop sinks while others are stored in basements, with little standardization of which items should be where.

At one pilot site, many slop sinks did not have soap available. Other sites did not have the correct brooms or mops required for that development. Without these tools and supplies available for Caretakers, even the best task, building, and shift schedules are ineffective in delivering high-quality janitorial service for NYCHA residents.

Grounds and landscaping equipment is occasionally in disrepair, reducing the effectiveness of the Caretakers G. One broken truck, tractor, or bobcat can have a material negative impact on the staff's ability to deliver service at the standards set forth in the Transformation Plan.

Exhibit 58: Ravenswood Waste Management Assets

3 Truck(s)   2 Skid Steer(s)   2 Tractor(s)   1 Sweeper(s)   1 Toolcat(s)

- ▸ ***Action: See "Move store room management to Purchasing, Logistics, and Inventory (PLI) team"***

D. **Overseeing and Reviewing Work**

    i.   **Supervisory inspections—new inspections instituted in AWS pilot**

At each site, the Supervisor(s) of Caretakers is responsible for performing regular inspections of in-building janitorial and waste management work. SOCs complete daily and monthly checklists of common area conditions, entering results manually into Maximo. Given the size of most NYCHA sites, supervisory inspections are a critical oversight layer to ensure Caretakers are performing duties as expected and to the agency's standards.

◀ *Challenge: Janitorial supervisory inspections are not efficient, placing heavy time burden on SOCs*

At some sites, SOCs are performing multiple daily inspections and entering their inspection data manually into a desktop computer. At one pilot site, the staff was completing three inspections:

- o Daily "Caretaker Checklist for Daily Building and Grounds Inspections" (Revised 040.691) - paper form filled out by SOC during walkdown and manually entered into Maximo on desktop

- o Daily Caretaker Checklist (old 040.691) - older version of paper form completed by SOC during walkdown and manually entered into desktop

- o Monthly "Building Inspection Report" - paper form completed by SOC during walkdown and manually entered into desktop

At this site, the SOC would spend an entire day completing these inspections alone, leaving no time for in-person supervision of the staff. Given the heavy workload—and geographic dispersal of the work—in-person supervision is particularly important for Caretaker work.

▸ *Action: Focus supervisory inspections on critical areas [AWS Reform]*

NYCHA will evaluate the existing set of supervisory Caretaker inspections and propose modifications to reduce the burden on SOCs. This may include reductions in inspection frequency or a change in which items are inspected. NYCHA will not sacrifice oversight, however, and will only implement a change if there is no harm to oversight needs.

Exhibit 59: Common Area Maintenance Inspection Activities

Activity	Owner	Date	Status	Cost
Assess existing common area maintenance		March 1, 2022	**Not Started**	

inspection processes performed by Property Management	Associate, Strategy & Operations	May 1, 2022		Staff time only
Assess existing non-Property Management common area inspection process for overlap and effectiveness (Compliance, QA, EH&S)	Associate, Strategy & Operations	March 1, 2022	**Not Started**	Staff time only
		May 1, 2022		
Propose changes to the comprehensive common area maintenance inspection regime	Associate, Strategy & Operations	May 1, 2022	**Not Started**	Staff time only
		July 1, 2022		

ii. Quality Assurance and Compliance inspections

In addition to the supervisory and Waste Management Department inspections, the Quality Assurance (QA) and Compliance teams also perform janitorial inspections at different intervals. Compliance inspections are performed as part of the On Site Monitoring (OSM) program, which identifies systemic issues at each site. OSM reports are a point-in-time measure, with an accompanying corrective action plan for the site to follow.

QA janitorial inspections are conducted by stairhall, with a 44-item list for the assessor to evaluate. Each item has a specific weight attached, which is used to calculate an overall score for the building. These inspections are an additional layer of accountability—and one that sits outside the Property Management chain of command to avoid any conflict of interest. An example QA inspection is below:

Exhibit 60: Quality Assurance Inspection Report Example

Building 1, Stairhall 1				
Grouping	**Item**	**Weight**	**Rating**	**Remarks**
A. Building Entrance	Canopy	3.2	Fair	-
	Ceiling	4.2	Fair	-
	Entrances	4.2	Fair	-
	Floor	4.2	Fair	-

	Smoke Free	0	Excellent	-
	Wall Tiles	4.2	Fair	-
B. Elevators	Ceilings	3	Unsatisfactory	Graffiti on Ceiling
	Floors	3	Fair	-
	Lighting	3	Fair	-
	Smoke Free	0	Excellent	-
	Tracks	2	Fair	-
	Vents	2	Fair	-
	Walls-Doors	3	Fair	-
C. Roof	Janitorial Condition	3	Unsatisfactory	Need cleaning
	Roof Landing	3	Unsatisfactory	Feces on B side
	Smoke Free	0	Excellent	-
D. Stair Halls	Floors	4	Fair	-
	Lighting	4	Fair	-
	Smoke Free	0	Unsatisfactory	Signs of smoking
	Steps	4	Fair	-
	Walls	4	Fair	-
E. Corridors	Base Tiles	1.5	Fair	-
	Ceilings	1.5	Fair	-
	Floor Tiles	2.4	Fair	-
	Hopper	2.4	Fair	-

	Lighting	2.4	Fair	-
	Smoke Free	0	Excellent	-
	Wall Tiles	2.4	Unsatisfactory	Graffiti on 3rd floor
	Windows	2.4	Fair	-
F. Basement Areas	Compactor Room	2	Not Applicable	-
	Corridors	2	Not Applicable	-
	Meter Room	2	Not Applicable	-
	Ramp Drain	2	Not Applicable	-
	Skilled Trades Shop	0	Not Applicable	-
	Smoke Free	0	Not Applicable	-
	Store Room(S)	0	Not Applicable	-
	Tank Room - Boiler Room	2	Not Applicable	-
G. Building Exterior	Graffiti	2	Fair	-
	Smoke Free	0	Unsatisfactory	Signs of smoking
H. Grounds	Lawn (Litter)	4	Fair	-
	Smoke Free	0	Unsatisfactory	Signs of smoking
	Storm Drainage	3	Fair	-
	Trash Collection Area	4	Unsatisfactory	Excessive trash
	Walkways (Litter)	4	Fair	-
			Total:	
			66.58	

3. **Maintaining Building Systems**[40]

The maintenance of NYCHA building systems, Elevators and Heating is managed, planned, and delivered through two NYCHA wide divisions, HMSD (Heating Management Service Division) and ERSD (Elevator Repair Service Division). In the Neighborhood Model as currently proposed, HMSD and ESRD are service providers, where the responsibility for maintaining heat and elevator service remains in a central function. Their interaction with borough level staff will need to adjust to align with the Boroughs. As NYCHA explores opportunities to further decentralize services to the core property management they roles and responsibilities of these divisions may be adjusted. As described in section 3, each service provider will work with Property Management to develop a Memorandum of Understanding (Operating Procedure) that outlines the working relationship between the functions. Each Operating Procedure will uphold and advance the values and principles of the Transformation, with the express goal of enabling more direct charges to developments from each service provider.

Exhibit 61: Neighborhood Model & Building Systems

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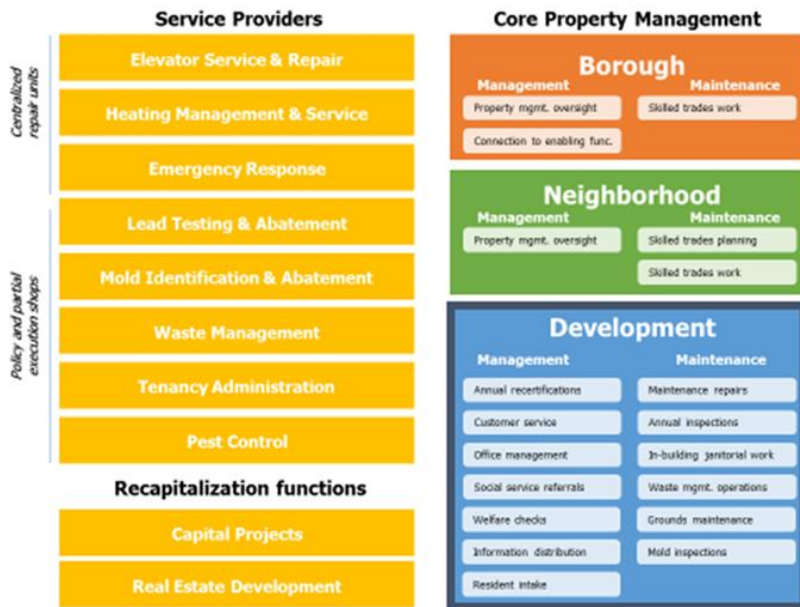
[40] Gas risers and water pipes are also critical systems that deliver required services to NYCHA residents. While this plan does not focus on gas and water pipe challenges, a secondary Implementation Plan in 2022 will include both for discussion.

As a requirement of the HUD Agreement Action Plans have been developed for HMSD and ESRD that identify activities NYCHA is to undertake to improve the delivery of these services and to meet the performance requirements of the agreement. This Plan identifies additional challenges NYCHA continues to face to deliver these services and to do so in the context of the neighborhood model. Additional service enhancements have been identified to address these challenges; these will be incorporated into a supplemental Action Plan.

A. **Maintaining Elevators**

NYCHA owns and operates over 3,000 **elevators** across over 250 individual developments. These elevators make over 3 million trips a day, transporting residents from lobbies to residential floors and back down again. Functioning elevators are an important element of many multi-family housing complexes, but are critical in NYCHA developments given the large number of mobility-impaired and senior residents across the city. Elevators are particularly important at NYCHA's high-rise developments, where most residents cannot reach their apartments through any other means of transport.

NYCHA elevators experience intermittent outages—disruptions in service for a single elevator that prevents a resident from using that particular elevator car to reach their floor. If all elevators that provide access to a residential floor are experiencing simultaneous outages, it is called a no-service condition. Maintaining this fleet of elevators is a complex task, led by NYCHA's Elevator Service and Repair Department (ESRD). ESRD teams—one elevator mechanic and one elevator mechanic's helper—respond to individual developments to repair the equipment, but do not report through the Property Management organizational chain.

The HUD Agreement included 14 elevator-related metrics and requirements. To respond to these metrics and requirements, NYCHA issued an Elevator Action Plan, which details all actions taken to meet the Agreement's metrics.[41]

To make sure the services delivered by the Core Property Management and ESRD are aligned, coordinated and meet the performance levels in the Agreement and support the Values, the following framework defines how each division will work together.

i.   **ESRD Responsibilities and the Neighborhood Model**

ERSD are responsible for delivering elevator services to provide all residents in high rise blocks with consistent service to reach their apartment and ensure compliance with applicable laws

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[41] For details on each of the Agreement's elevator-related metrics and obligations—and NYCHA's specific plans to address each—see the NYCHA Elevator Action Plan. The Action Plan includes additional details on NYCHA's current elevator procedures and a comprehensive list of capital repairs planned for the next five years.

and regulations. ERSD manage and maintain directly all elevators so they are operational and efficient 365 days a year. Key responsibilities of ESRD are to:

- Set policies and service, productivity, and quality standards
- Draft actionable Standard procedures and ensure compliance
- Perform Preventive Maintenance
- Liaise with HR to ensure staff competencies, training & certifications
- Respond to On-site Monitoring Findings
- Provide input into Capital Investment plan development for elevators
- Manage and oversee vendors and suppliers contracted to support elevator maintenance and capital projects such as REMS installations
- Accountable for meeting the performance requirements as set out in the HUD Agreement and action plans.

To plan for, manage and ensure provision of Elevator services, and to ensure that Property Management can be accountable to their residents and to overall performance and condition of their buildings at the neighborhood level, ESRD and Core Property Management will need to modify how they currently communicate and work together.

At the **Borough level**, both the Borough VP and ESRD will work together to review elevator performance metrics, develop strategies to address problem areas, and coordinate and prioritize capital requirements.

At the **Neighborhood level**, ESRD and the Neighborhood Planner will co-ordinate work to ensure proper communication to residents regarding elevator outages and repairs and mitigate resident complaints.

At the **Development level**, the ESRD will coordinate with the local managers and maintenance teams to support resident communications. Communication channels will be established to expedite response times. ESRD will also serve as SME to caretakers who are responsible for cleaning elevators and ensuring tracks are free of debris.

ii.   Roles and Responsibilities

Exhibit 62 set out the roles and responsibilities of each part of NYCHA and how they all contribute to delivery of elevator services. The activities in yellow define the activities that the ESRD are responsible for delivering. The activities in the blue boxes are the responsibility of the property management team, split between the Borough, Neighborhood and Development teams. The activities in gray are those which the Central Services will provide to enable the Heat services to perform.

Maintaining Building Systems—Elevators

Elevator Service and Repair Dept	Property Management	Enabling Functions
• Perform repairs, preventative maintenance, and inspections on NYCHA's elevator stock • Manage the dispatch of Elevator Mechanic teams for all outages and no-service conditions • Develop SPs and repair guidelines • Monitor elevator performance through REMS • Develop training requirements and programs • Monitor parts inventory • Work with CPD on annual capital prioritization • Manage and monitor third-party vendors	• Monitor performance across all neighborhoods • Deploy additional resources if necessary • Dispatch skilled trades staff as needed to assist ESRD mechanics • Assist Property Managers and Superintendents in coordinating with enabling functions • Monitor performance across all developments	**HR** • Manage job descriptions and civil service process • Manage training programs **Finance** • Work with ESRD to prepare annual budget request • Communicate FY budget and ongoing spend against • Conduct annual maintain v. replace analysis • Manage on-site store rooms and inventory • Manage solicitation and contracting process • Work with ESRD to manage vendors **Perf. Mgmt.** • Develop and manage data governance principles • Oversee NYCHAStat process for ongoing accountability
Capital Projects Division	• Clean elevator tracks on a daily basis • Direct communication with HMSD on current plant conditions and outage status • Communicate outages with residents as required by Elevator Action Plan • Conduct wellness checks if necessary for senior or otherwise impaired residents	**IT** • Develop and manage dashboards • Manage and execute on system enhancements related to elevator workflows **Ext. Affairs** • Manage complaints from external parties **Compliance, EH&S, QA** • Perform root-cause analysis on elevator outages • Perform on-site monitoring and work with NAs and ESRD to remedy deficiencies • Draft standard procedures
• Prioritize capital replacement pipeline within and across asset classes • Manage and execute individual component replacements		
Emergency Services Department		
• Respond to after-hours elevator outages to take cars out of service and prevent resident injuries		

This model begins to demonstrate the interactions and touchpoints across NYCHA that are necessary to ensure the effective delivery of elevator services. This model will enable:

- Resources, processes, and communication channels to be aligned to the Borough, neighborhood, and property.
- Establish an understanding of accountability and decision-making authority at each level
- Borough supervisors and neighborhood leaders to support the oversight of heating teams meeting their responsibilities.
- Gather and analyze a common set of elevator metrics – both systemic and unit-based – and use the information to monitor performance, strengthen Neighborhood practice and guide capital planning.

Two Action Plans previously approved and transmitted by the Monitor – the Elevator Action Plan approved on January 30, 2020, and the City Capital Action Plan approved on May 8, 2021 – discuss the maintenance and replacement of elevator systems in detail. The Elevator Action Plan also discusses NYCHA Standard Procedure 060:62:1, "Elevator Service, Maintenance, and Repair," which governs NYCHA's maintenance of its aging elevator stock. The graphic below illustrates, at a high level, how the Elevator Service and Repair Department and Emergency Services Department are supported by and work with property management and

other central office functions to provide consistent elevator service to NYCHA's residents. The Elevator Action Plan includes significant detail on NYCHA's challenges, and the specific actions being taken to improve maintenance of NYCHA's elevators.

B. **Maintaining Heating Plants and Systems**

Each NYCHA development also maintains an extensive **heating operation**, which provides heat and hot water to the apartments on site. At most sites, heat is generated by large central boilers, before it is distributed through a maze of pipes to individual buildings and units. Heating is highly regulated by New York City. Between October 1 and May 31, internal temperatures must meet specific temperature thresholds:

Exhibit 63: New York City Heating Requirements

Time of Day	If Temperature Falls Below:	Required Minimum Internal Temperature:
6:00 AM to 10:00 PM	55	68
10:00 PM to 6:00 AM	ANY TEMP	62

To meet these standards, NYCHA operates over 1,500 boilers, 1,400 vacuum tanks, and 800 instantaneous water heaters. These systems are managed by the Heating Management Services Department (HMSD). Given the age of these systems, NYCHA developments do experience heat and hot water outages at some frequency during the winter months. An outage is defined as the failure of the heating system to provide heat as required to by law. Outages can affect a full development, a set of buildings, a single building, or a single line of units.

The HUD Agreement included 10 heating-related metrics and requirements. To respond to these metrics and requirements, NYCHA issued a Heating Action Plan, which is referred to throughout this section.

To make sure the services delivered by the Core Property Management and HMSD are aligned, coordinated and meet the performance levels in the Agreement and support the Values, the following framework defines how each division will work together.

i. **HMSD Responsibilities and the Neighborhood Model**

HMSD are responsible for delivering heating services to provide adequate heat and hot water to all residents consistent with applicable laws and regulations. HMSD manage and maintain, both directly and through third party vendors, all NYCHA's heat and hot water systems so they are operational and efficient 365 days a year. Key responsibilities of HMSD are to:

- Set policies and service, productivity, and quality standards
- Draft actionable Standard procedures and ensure compliance

- Perform Preventive Maintenance
- Liaise with HR to ensure staff competencies, training & certifications
- Response to On-site Monitoring Findings
- Provide input into Capital Investment plan development for heat
- Manage supplies and third-party vendor support contracts

Working within the Neighborhood Organization

To plan for, manage and ensure provision of Heat services, and to ensure that Property Management can be accountable to their residents and to overall performance and condition of their buildings at the neighborhood level, HMSD and Core Property Management will need to modify how they currently communicate and work together.

- At the **Borough level**, both the Borough VP and HMSD will work together to review performance metrics of the Heating system, develop strategies to address problem areas, and coordinate and prioritize capital requirements.
- At the **Neighborhood level**, HMSD and the Neighborhood Planner will co-ordinate work to ensure proper communication to residents and mitigate resident.
- At the **Development level**, the HMSD will co-ordinate with the local managers and maintenance teams to support resident communications. Communication channels will be established to expedite response times. HMSD will also serve as SME to maintenance staff who respond to heat outage on third party-controlled properties.

ii.   Roles and Responsibilities

Exhibit 64 set out the roles and responsibilities of each part of NYCHA and how they all contribute to delivery of heat services. The activities in yellow define the activities that the HMSD are responsible for delivering. The activities in the blue boxes are the responsibility of the property management team, split between the Borough, Neighborhood and Development teams.   The activities in gray are those which the Central Services will provide to enable the Heat services to perform.

Maintaining Building Systems—Heating

Heating Management Services Dept.	Property Management	Enabling Functions
• Perform most repairs and preventive maintenance on heat plants and distribution systems • Operate the Heat Desk and dispatch roving teams as required by outages • Develop SPs and repair guidelines • Monitor heating plants through BMS, CHAS, and other dashboards • Develop training requirements and programs • Dispatch and install mobile boilers as required • Monitor parts inventory • Work with CPD on annual capital prioritization list and offseason investment priorities • Manage and monitor third-party vendors	• Monitor performance across all neighborhoods • Deploy additional resources if necessary • Dispatch skilled trades staff as needed for heating plant and distribution repairs • Assist Property Managers and Superintendents in coordinating with enabling functions • Monitor performance across all developments • Respond to in-unit heat complaints at third-party managed sites • Open all necessary work tickets • Direct communication with HMSD on current plant conditions and outage status • Communicate outages with residents as required by Heating Action Plan	**HR** • Manage job descriptions and civil service process • Manage training programs **Finance** • Work with HMSD to prepare annual budget request • Communicate FY budget and ongoing spend against • Conduct annual maintain v. replace analysis • Manage on-site store rooms and inventory • Manage solicitation and contracting process • Work with HMSD to manage vendors **Perf. Mgmt** • Develop and manage data governance principles • Oversee NYCHAStat process for ongoing accountability **IT** • Develop and manage dashboards • Manage and execute on system enhancements related to heat workflows **CEP** • Coordinate with community centers in event of the need for warming centers • Wellness checks for vulnerable residents **Ext. Affairs** • Manage complaints from external parties • Perform root-cause analysis on heating outages • Perform on-site monitoring and work with NAs and HMSD to remedy deficiencies • Drafting procedures

Capital Projects Division

• Prioritize capital replacement pipeline within and across asset classes
• Manage and execute individual component replacements

This model begins to demonstrate the interactions and touchpoints across NYCHA that are necessary to ensure the effective delivery of heating services. This model will enable:

• Resources, processes, and communication channels to be aligned to the Borough, neighborhood, and property.
• Establish an understanding of accountability and decision-making authority at each level
• Borough supervisors and neighborhood leaders to support the oversight of heating teams meeting their responsibilities.
• Gather and analyze a common set of heating metrics – both systemic and unit-based – and use the information to monitor performance, strengthen Neighborhood practice and guide capital planning.

Two Action Plans previously approved and transmitted by the Monitor – the Heat Action Plan approved on December 4, 2019 and the City Capital Action Plan approved on May 8, 2021 – discuss the maintenance and replacement of heat systems in detail. The Heat Action Plan also discusses NYCHA Standard Procedure 060:63:1, "Heating and Domestic Hot Water," the Standard Procedure that governs NYCHA's maintenance of its aging heat systems. The graphic below illustrates, at a high level, how the Heating Management Services Department and Capital Projects Division are supported by and work with Property Management and other central office functions to provide consistent heat service to NYCHA's residents. The Heat

Action Plan includes significant detail on NYCHA's challenges and the specific actions being taken to improve maintenance of NYCHA's heat systems.

4. **Mitigating and Abating Hazards**

The control, maintenance, mitigation, and abatement of hazards are managed, planned, and delivered through various functions within NYCHA. Developments and skilled trades staff assigned to neighborhoods and boroughs have certain responsibilities, and central functions (such as the Office of Lead Hazard Control and the Office of Mold Assessment and Remediation) have others. The four central functions are:

- The Office of Mold Assessment and Remediation (OMAR), focusses on NYCHA's compliance with the Consent Decree in the *Baez* class action case in the Sothern District of New York, and also executes special assignments such as complex mold repairs.

- The Lead Hazard Control Department is responsible for certain specific lead-related activities, including visual assessments, biennial risk assessments, EBLL responses and lead abatement. However, corrective maintenance and renovation, repair and general painting work that disturbs – or is presumed to disturb - more than two square feet of lead paint are the responsibility of developments and skilled trade staff and may also be managed by the Office of Management and Planning.

- The Central Waste function is responsible for development and implementation of portfolio-wide waste policy and procedures, co-ordination and oversight of waste capital projects, provision and implementation of waste assets and day-to-day management and oversight of NYCHA 3rd party waste collection contracts.

- The Central Pest Control Department provides training and expertise to the borough exterminators in performing their functions, operates its own pest remediation group principally focused on rat reduction, performs other specialized pest remediation activities throughout the portfolio (e.g., installation of door sweeps and window well treatments), and manages four pest control vendors, including quality assurance for same. The Pest Control Department supplies and manages four pesticide storage depots spread strategically throughout the City.

As NYCHA continues to shift services to the core property management, the aforementioned roles and responsibilities of these functions may be adjusted.

NYCHA Neighborhood Model

Service Providers

Centralized repair units
- Elevator Service & Repair
- Heating Management & Service
- Emergency Response

Policy and partial execution shops
- Lead Testing & Abatement
- Mold Identification & Abatement
- Waste Management
- Tenancy Administration
- Pest Control

Recapitalization functions
- Capital Projects
- Real Estate Development

Core Property Management

Borough

Management	Maintenance
Property mgmt. oversight	Skilled trades work
Connection to enabling func.	

Neighborhood

Management	Maintenance
Property mgmt. oversight	Skilled trades planning
	Skilled trades work

Development

Management	Maintenance
Annual recertifications	Maintenance repairs
Customer service	Annual inspections
Office management	In-building janitorial work
Social service referrals	Waste mgmt. operations
Welfare checks	Grounds maintenance
Information distribution	Mold inspections
Resident intake	

As a requirement of the HUD Agreement, Action Plans have been developed for each of the Hazard areas that identify activities NYCHA is to undertake to improve the delivery of these services and to meet the performance requirements of the Agreement. This Plan identifies additional challenges NYCHA continues to face to deliver these services and to do so in the context of the neighborhood model. Additional service enhancements have been identified to address these challenges; these will be incorporated into a supplemental Action Plan.

A. **Lead-based paint**

Prior to 1978, many NYCHA developments—and many American homes—had **lead-based paint** coating various surfaces, including walls, railings, and window sills. Lead paint was moisture resistant and dried faster than other alternatives, leading to its proliferation in residential building use. Lead is also a dangerous environmental hazard, especially for children. In 1978, the Consumer Product Safety Commission promulgated regulations to ban residential use of lead-based paint, effectively ending the widespread practice.

Several federal regulations apply to NYCHA's management of lead-based paint, including the Lead Safe Housing Rule, the Renovation, Repair, and Painting Rule, the Lead-Based Paint Activities Rule, and the Lead Disclosure Rule.[42] NYCHA is also subject to New York City's Local Law 1. The HUD Agreement outlines metrics, milestones, and requirements related to NYCHA's compliance with these regulations.

To make sure the services delivered by the Core Property Management and OMAR and LHC are aligned, coordinated and meet the performance levels in the Agreement and support the Values, the following framework defines how each division will work together.

i. **Lead Hazard Control Responsibilities and the Neighborhood Model**

The Lead Hazard Control Department manages lead-related activities including visual assessments, biennial risk assessments, EBLL responses and lead abatement. Remediating paint deficiencies and other work involving lead is managed by either the Office of Management and Planning or Neighborhood maintenance staff and skilled trades.

Much of the abatement work is completed by vendors. It requires highly trained and certified staff and careful oversight of the quality of individual jobs and vendors. Because lead control and abatement are such a highly regulated and technical function, it is best managed by the Central unit. The Responsibilities for Lead Hazard Management and Control are divided among Central and Neighborhood groups as follows.

Central roles

- Maintain Central control of lead inspections, abatement planning and execution, including contracting and oversight of abatement vendors.
- Share information on lead abatement and schedules with Neighborhood leaders and residents.

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[42] For a more detailed discussion of NYCHA's lead-based paint regulatory requirements, see the NYCHA Initial Lead Action Plan.

The Core Property Management function plays a critical role in relation to Lead Hazard control.

- At the **Borough level**, both the Borough VP and Lead will work together to review performance metrics associated with the lead mitigation and abate projects. They will also work together to assess the changes to resident tenancy in apartments which have either not been remediated or assessed for Lead.

- At the **Neighborhood and Development level**, the Neighborhood Planner will co-ordinate work being undertaken by the Lead team to ensure proper communication to residents and mitigate resident impacts and co-ordinate with the local managers and maintenance teams to support resident communications. The Developments are responsible for the managing and maintenance the records and certifications of all lead related work that is undertaken either by the neighborhood maintenance works or the LHCD.

ii. Roles and Responsibilities

Exhibit 66 set out the roles and responsibilities of each part of NYCHA and how they all contribute to delivery of LHC and Mold management and mitigation/abatement services. The activities in yellow define the activities that the Lead and Mold divisions are responsible for delivering. The activities in the blue boxes are the responsibility of the property management team, split between the Borough, Neighborhood and Development teams. The activities in gray are those which the Central Services will provide to enable the Lead and Mold teams to perform.

Mitigating Hazards—Lead

Two Action Plans previously approved and transmitted by the Monitor – the Initial Lead Based Paint Action Plan approved on January 19, 2021 and the City Capital Action Plan approved on May 8, 2021 – discuss NYCHA's work to comply with the HUD Agreement's lead-based paint requirements. The Initial Lead Based Paint Action Plan also discusses NYCHA Standard Procedure 050:20:1, the "Lead Safe Housing Procedure," which is the Standard Procedure that governs NYCHA's work to assess, disclose, remediate and abate lead-based paint, among other tasks. The graphic below illustrates, at a high level, how various departments across NYCHA are supported by and work with property management and other central office functions to achieve compliance with lead-based paint requirements. The Initial Lead Based Paint Action Plan also contains significant detail on NYCHA's challenges and the specific actions being taken to improve its compliance with lead-based paint requirements.

B. **Mold**

In April 2014, Judge William H. Pauley of the Southern District of New York approved a settlement between NYCHA and a class of plaintiffs who had filed suit under the Americans with Disabilities Act due to the presence of extensive **mold** in their apartments. While the *Baez* settlement was to become the agency's new commitment to better managing mold abatement and remediation, the court found NYCHA out of compliance within 20 months of the settlement. The court appointed a special master in 2015 and later approved an amended settlement in November 2018. Mold metrics, milestones, and requirements were included in the 2019 HUD Agreement and the court later appointed an independent ombudsman.

Exposure to mold can be dangerous, especially for those with an allergy. Breathing in mold spores can cause asthmatic episodes, leading to airway constriction, coughing, sneezing, and eye irritation. Mold grows in damp environments on organic materials. NYCHA developments, which feature old pipes and pervasive leaks, are an easy host.

i. **Office of Mold Assessment and Remediation and the Neighborhood Model**

NYCHA established a central Office of Mold Assessment and Remediation (OMAR) to oversee Baez compliance and maintain responsibility for complex mold repairs. The agency instituted standardized training and certification for staff who work on mold remediation.

Neighborhood staff complete initial inspections of mold complaints and generate work orders for remediation from the root cause level up. Root causes for mold include poor bathroom ventilation, leaking roofs, and uninsulated pipes – each of which needs to be addressed in the short-term through Neighborhood maintenance responses and over the long-term through capital repairs. Inspection and repair practices are inconsistent and often deficient.

Central roles

- Maintain and strengthen OMAR's role in establishing policies and procedures, training and certifying staff, and supervising and completing complex repairs.

The Core Property Management function plays a critical role in relation to mold management

At the **Borough level**, both the Borough VP and OMAR will work together to review performance metrics associated with the mold mitigation and abatement work orders. They will also define the capital project priorities, conjunction with CPD, for each of the developments in the Borough.

At the **Neighborhood and Development level**, Neighborhood Planner will co-ordinate inspections and work required to by the maintenance and skilled trade teams' team to ensure effective repairs are completed in line with the timescales set out in the Agreement. The Planner

will also support the management and maintenance of regular communication to residents in relation to work being undertaken.

ii. Roles and Responsibilities

Exhibit 67 set out the roles and responsibilities of each part of NYCHA and how they all contribute to delivery of LHC and Mold management and mitigation/abatement services. The activities in yellow define the activities that the Lead and Mold divisions are responsible for delivering. The activities in the blue boxes are the responsibility of the property management team, split between the Borough, Neighborhood and Development teams. The activities in gray are those which the Central Services will provide to enable the Lead and Mold teams to perform.

Exhibit 67: Mold Interaction Model

Mitigating Hazards—Mold

Office of Mold Assessment and Remediation
- Design and then manage special initiatives and Action Plan projects related to mold and leaks
- Develop SPs and Maximo business rules for dashboards and IT enhancements
- Run the Ombudsperson Call Center
- Develop campaign materials related to mold and perform resident outreach
- Perform repairs directly in units with verified mold conditions
- Develop trainings for property management on proper assessment and remediation practices
- Draft and provide quarterly reporting on mold and leaks.

Capital Projects Division and REDD
- Manage large scale projects to address the root cause of mold and leaks (e.g. roofing, comprehensive renovations etc.)

Property Management
- Monitor performance across all neighborhoods
- Deploy resources if necessary

- Dispatch skilled trades to units with verified mold complaints
- Monitor performance across all developments

- Perform mold inspections in compliance with the Mold Busters SP
- Deploy Caretakers or Maintenance Workers to the extent necessary
- Communicate with residents as necessary when work is taking place
- Assist with relocation of residents in certain circumstances

Enabling Functions

HR
- Manage job descriptions and civil service process
- Manage training programs

Finance
- Work with departments to prepare annual budget request
- Communicate FY budget and ongoing spend against

- Manage on-site store rooms and inventory
- Manage solicitation and contracting process
- Work with departments to manage vendors

IT
- Develop and manage dashboards
- Manage and execute on system enhancements related to mold workflows

Perf. Mgmt
- Develop and manage data governance principles
- Oversee NYCHAStat process for ongoing accountability

CSP
- Coordinate with OMAR on public campaigns to raise awareness on mold

DOC
- Manage public facing website
- Develop other written materials (e.g. annual notices and surveys)

Compliance (EHS, QA)
- Draft and establish SPs and other guidance
- On-site monitoring and exceptions based reporting
- Reporting on compliance with all rules and regulations

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The Mold Action Plan was also previously approved and transmitted by the Monitor on March 11, 2021 and discusses NYCHA's work to comply with the HUD Agreement's mold related requirements. The graphic below illustrates, at a high level, how the Office of Mold Assessments and Remediation, a unit within Healthy Homes, works across NYCHA and is supported by the work of Operations, Property Management and other central office functions to address the HUD Agreement's mold related requirements. The Mold Action Plan also contains significant detail on NYCHA's challenges, and the specific actions being taken to improve its compliance with lead-based paint requirements.

C. **Pests and Waste**

The presence of **pests**—rats, mice, roaches, and beg bugs—also present a health hazard to NYCHA residents. Pests often thrive at NYCHA developments due to waste management challenges, leaks, and holes in exterior masonry.

In New York, all landlords are responsible for pest control under the habitability standard of the Multiple Dwelling Law. The HUD Agreement also imposes a set of metrics, milestones, and requirements on NYCHA's pest management protocols.

i. **Pest Control, Waste Management, and the Neighborhood Model**

To ensure that the services delivered by the Core Property Management and Waste and Pest Management are aligned, coordinated and meet the performance levels in the Agreement, the following framework defines how these groups will work together.

Waste Management

NYCHA's current waste management structure is divided between Central management and the neighborhoods. Centrally led initiatives support local efforts, including a pilot to add NYCHA-managed waste collection routes to increase collection to six days per week in curbside pick-up locations that need this service.

- The Central Waste Management team is responsible for defining the policies and procedures for the end-to-end management of waste at NYCHA. This includes providing independent assurance that waste management functions properly, reviewing and updating the process and procedures deployed for same, and negotiation and consummation of agreements between NYCHA, on the one hand, and DSNY and private carters, on the other, for removal of stored garbage, curbside bagged garbage and bulk trash, including mattresses and cardboard, at developments.
- Central Waste Management also fosters improvement in waste collection and disposal at developments through collection and disposal management planning and training, training local staffs in effective waste management practices, and active oversight of Neighborhood implementation of best practices. Finally, Central Waste Management works with CPD to identify and develop the capital projects necessary for modernizing and upgrading NYCHA's waste assets.

At the **Borough level**, the function will review waste collection and management and assure that all Neighborhoods and Developments are managing waste collection and disposal properly.

At the **Neighborhood level**, the management team is responsible for assuring that each development is proactively managing the waste collection processing and promoting effective resident waste management practices.

At the **Development level**, Caretakers are responsible for day-to-day waste collection, storage, and preparation for collection. The Development management is also responsible for ensuring that the development staff manage the waste collection and disposal in accordance with the NYCHA policies and procedures. The local teams are also responsible for reporting any issues with the waste collections services managed by the Central Waste Management team.

The Waste function has written an Action Plan to meet the performance requirements of the Agreement. This Plan contains several services improvements to address the challenges the Waste function has faced. The tables below identify the challenges currently faced and the actions the Waste team has identified to support service improvement.

Pest control

NYCHA manages pest control today through a blend of Central, Neighborhood and contracted vendor work. Neighborhood-based exterminators provide most pesticide applications in-unit, while Central Pest Control is responsible for treatments on the common grounds, at the outer perimeter of each building, and in the basements. Both the Neighborhoods and Pest Control contract with third-party pest control vendors and order pesticide and application materials.

NYCHA has also adopted Integrated Pest Management ("IPM"). IPM shifts NYCHA's pest management focus to prevention and directs resources to address the root causes of infestations by ensuring that NYCHA timely collects and properly stores and disposes of waste while limiting the use of toxic pesticides to the minimum necessary to achieve pest control.

Central Pest Control is responsible for:

- Execution and management of contracts with third-party vendors contracted by Central Pest Control.
- Management of Pest Control staff, including hiring, training, deployment, supervision and performance; development and updating of standard operating procedures for pest remediation to be employed portfolio-wide; planning; quality assurance; and materials management covering both NYCHA and vendor work.
- Working with Neighborhoods to plan, evaluate, and strengthen Development pest control practices.

At the Borough level, management works with Central Pest Control to assure that the developments are properly employing standard operating procedures; reviews performance metrics associated with pest control actions and associated work orders; and develops strategies for improvement in performance where needed. Borough management, in conjunction with CPD and Central Pest Control, also helps identify capital project priorities in the Borough. At the Neighborhood level, the Management team is responsible for management of dedicated neighborhood pest control staff, including Neighborhood-based exterminators, and for overseeing developments' management of their individual pest remediation programs.

At the **Development level**, the day-to-day management of internal pest control for move outs and preventive and ongoing pest control within apartments uses a mix of maintenance staff, Neighborhood-based exterminators, Central Pest Control exterminators and third party vendors retained either at the local level or by Central Pest Control.

This model facilitates

- Alignment of resources to the Borough.

- Preparation of understandable standard operating procedures; establishment of productivity and quality standards and ability to track results; upgrading of staff competencies and certifications.

- Training new staff who are involved in waste management before they begin work in the field.

- Development of Borough supervisors and Neighborhood leaders to help oversee local staff and assure that they are doing their jobs properly.

- Gathering and analyzing data, and using the information to monitor performance, strengthen Neighborhood practice and guide capital planning.

Exhibit 68: Pests & Waste Interaction Model

Two Action Plans previously approved and transmitted by the Monitor – the Pests and Waste Management Action Plan approved on January 26, 2021, and the City Capital Action Plan approved on May 8, 2021 – discuss NYCHA's work to comply with the HUD Agreement's

pests and waste management related requirements. The Pests and Waste Management Action Plan also discusses NYCHA's new Standard Procedure 040:49:6, "Pest Prevention and Control in NYCHA Residential Buildings," which is the Standard Procedure that governs NYCHA's work to inspect and treat units for pest conditions. The graphic below illustrates, at a high level, how various departments across NYCHA are supported by and work with property management and other central office functions to address the HUD Agreement's pest and waste management requirements. The Pests and Waste Management Action Plan and the City Capital Action Plan also contain significant detail on NYCHA's challenges, and the specific actions being taken to improve its compliance with the Agreement's requirements.

The primary challenge is assuring accountability for job performance at the Borough, Neighborhood and Development levels. Especially at the Neighborhood and Development levels, the quality of pest control and waste management activities are highly dependent on the caliber of local supervision. Where local management do their jobs conscientiously, the result is a development where the pests are under control and the grounds and buildings are clean. Conversely, where local management does a poor job, the staff responds in kind, and the developments reflect it.

Examples of both types of developments abound throughout the portfolio. Moreover, in instances where competent leadership is transferred from a successful development to a poor-performing one, the condition of the latter improves dramatically. The disparity in performance is caused by the failure to enforce standards of accountability from the top on down, at every level. Thus, management at every level is left to its own devices; good managers who are self-starters and take pride in their work get good results. But there is no sanction for bad managers who simply clock through the day and fail to actively supervise their staff. To solve this problem, NYCHA must identify clear standards for accountability at every level, clear sanctions for failure to meet those standards, and the will to enforce those sanctions.

Chapter 5.**Enabling Functions**

While the functions in Chapter 4 are NYCHA's legal and regulatory obligations, the enabling functions detailed in this chapter are required only insofar as they support the agency's performance of a primary function. For example, there is no legal or regulatory obligation to maintain a procurement or information technology function, but both are needed to aid the agency in delivering services like in-unit repairs and common area maintenance.

The Neighborhood Model is a codification of this relationship, defining enabling functions relative to their impact on Property Management. As discussed in Chapter 3 the agency will create internal service agreements between these functions that define the functional relationship, lines of reporting, and accountability structures between enabling functions ran through the central office and Core Property Management. These agreements will eventually inform the terms of the management fee.

This chapter does not detail the end-to-end process for each. Instead, the primary activities of each enabling function are captured through a brief description and any associated Priority Projects are detailed below.

Exhibit 69: Enabling Functions
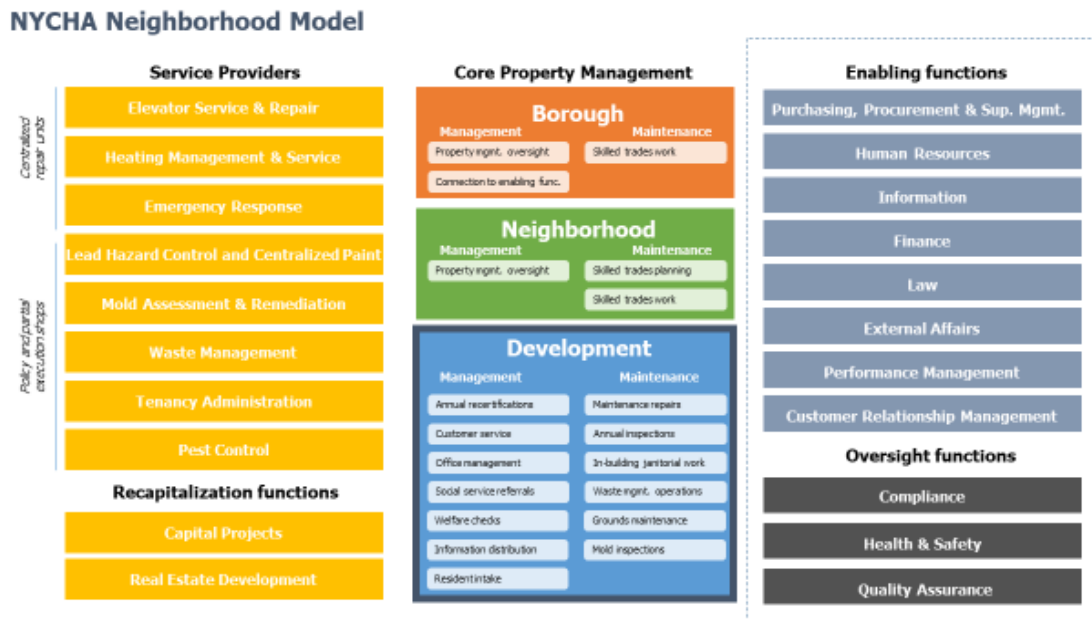
1. **Procurement and Supply Management**

In 2020, NYCHA spent nearly $400 million in contracts, with an additional $80 million on supplies. Managing that volume of external spend puts strain on the agency, which struggles to manage contracts and attract good vendors. For years, NYCHA's procurement of goods and services has borne the burden of the agency's scale but reaped few of the benefits. Despite being a formidable buyer in most markets, the agency often overpays because of the artificially small market its policies create.

Each development and Service Provider function has service and materials needs sourced from third parties, all of which are routed through some portion of the agency's procurement or purchasing processes. The interaction between these operating functions and the procurement function has been a consistent source of frustration, with development leadership often feeling hamstrung by contracts and processes that are suboptimal for the agency's work.

In late 2020, the agency hired a Chief Procurement Officer, who has taken the helm of the reform effort and continues to drive change. Under the Transformation, NYCHA identified a comprehensive review of all procurement practices as a Priority Project. The challenges and actions associated with that review are detailed below.

Priority Project: Redesign the Procurement and Vendor Management Process (7.C2)

NYCHA Procurement Strategic Plan

MISSION
The Supply Management and Procurement Department supports NYCHA's mission to provide affordable, quality housing be ensuring the effective and efficient procurement of goods and services while also supporting the organization's broader environmental, sustainability, supplier diversity and inclusion, and related social equity initiatives.

VISION
We value and envision an approach to procurement and supply management that is ethical, cooperative, and aims to serve the needs of the greater NYCHA community, in a timely manner.

VALUES

- Focus on customer service
- Start with the resident
- Foster a culture of empowerment
- Procure as one NYCHA
- Use data to plan and evaluate
- Enhance NYCHA's appeal as a partner

GOALS	OBJECTIVES
1. Transform procurement structure	• 1.1: Implement procurement team (p-team) model • 1.2: Restructure the procurement department to advance a more strategic procurement function • 1.3: Clarify procurement roles and responsibilities across stakeholder groups
2. Improve processes	• 2.1: Streamline and implement the end-to-end procurement process, from requisition to contract award • 2.2: Build out processes to ensure vendor integrity and responsibility • 2.3: Support NYCHA-wide procedural changes for effective contract management
3. Expand staff capabilities	• 3.1: Develop comprehensive, NYCHA-wide procurement training strategy with clear training outcomes • 3.2: Improve existing and develop new training resources • 3.3: Implement feedback and knowledge surveys NYCHA-wide to continuously improve training resources
4. Broaden and improve NYHCA's vendor pool	• 4.1: Enhance the vendor experience by promoting transparency of procurement processes and decisions • 4.2: Develop diverse pool of high-performing vendors with focus on outreach to MWBE and Section 3 businesses • 4.3: Implement a comprehensive annual procurement plan
5. Implement enabling technology	• 5.1: Identify and implement end-to-end eProcurement system • 5.2: Improve iSupplier, NYCHA's vendor-facing procurement system • 5.3: Improve procurement's technology integration with other NYCHA systems
6. Source procurements strategically	• 6.1: Develop robust catalog of centrally available contracts • 6.2: Plan for future procurements • 6.3: Create tools to support data-driven, strategic decision-making

Milestones & key performance indicators

i. Structural reforms

NYCHA's Supply Management Department—previously divided into a Procurement team, and Materials Management team, and a Vendor Integrity team—was not well-suited for the Neighborhood Model, which requires all support functions to orient themselves around development-level service delivery. Among development staff, procurement is a consistently cited challenge, slowing down day-to-day operations and fueling resident frustration.

NYCHA has restructured the Supply Management and Procurement Department to include teams focused on previously missing functions, including strategic sourcing and performance management and analytics. The re-designed organizational chart also includes the new Purchasing, Logistics & Inventory (PLI) Department, which contains the new Purchasing Unit – a team of staff that sit at each of the borough offices and oversee purchasing of smaller services/goods for the relevant developments (this is aligned with the borough admin model).

ii. Contract management reforms

NYCHA's current contract management approach has created multiple challenges, including: contract scoping and requirements that do not fill actual needs of the business, gaps in services

and delivery because of delays, and chronic vendor underperformance. With decision-makers from across the organization, the Procurement team is working to identify and implement improvements to the Authority's contract management function, from scope writing to contract closeout. This also includes a Procurement planning exercise to catalog existing active contracts and future procurements for 2022.

iii.   Vendor management reforms

With NYCHA's extensive need for goods and services, the agency needs the best vendors to work with the agency. NYCHA's procurement process is a challenge for vendors to navigate, with a heavy administrative burden and high degree of frustration. As a result, many qualified vendors to not participate in NYCHA procurements.

Under the guidance of the Procurement team, NYCHA is adding transparency to the procurement process for vendors. This includes multiple initiatives designed to open NYCHA's doors to the best vendors in every category, including enhanced transparency in the procurement process and an annual procurement plan that outlines opportunities for the year ahead.

Exhibit 71: Procurement Reform Actions

Activity	Owner	Date	Status	Cost
Create new Purchasing, Logistics & Inventory (PLI) Department, which oversees borough level purchasing teams	Procurement	July 1, 2021 / August 1, 2021	**Completed**	TBD
Create a quarterly newsletter featuring announcements, updates, and resources designed to help vendors partner with NYCHA	Procurement	May 1, 2021 / October 1, 2021	**Completed**	Staff time only
Create and publish an annual procurement plan that lists all planned procurements for the next year	Procurement	October 1, 2021 / January 1, 2022	**In Progress**	Staff time only

Update external-facing vendor website to create more intuitive, helpful resources	Procurement	January 1, 2022	**Not Started**	Staff time only
		March 1, 2022		
Publish Procurement Policy Manual (PPM) on external-facing website	Procurement	January 1, 2022	**Not Started**	Staff time only
		March 1, 2022		
Introduce new Dun & Bradstreet vendor screening tool to assess vendor responsibility regardless of award value	Procurement	January 1, 2022	**Not Started**	Staff time only
		March 1, 2022		

2. **Information Technology**

Over the last 30 years, most NYCHA processes previously performed or documented on paper are now rooted in technology systems. Work orders are now managed through the Maximo system, customer relationship data is stored in Siebel, and all financial transactions take place within the Oracle business suite. Technology plays a central role in enabling NYCHA's day-to-day operations and—if not managed correctly—can also hinder progress if it grows too distant from business needs.

The Transformation Plan emphasized the role of technology in ushering sustainable change at NYCHA. NYCHA has long maintained an extensive IT organization, but it was not designed to support needs as the point of service, the developments. The IT organization was operating an outdated government IT model, which was no longer effective for the agency's goals. With the adoption of the Neighborhood Model, the IT department's structure was ill-suited to meet the new operating model.

NYCHA's IT Department launched an IT organizational change management effort to establish a new mission and guiding principles for IT, redesign its reporting structure, operating model, engagement model, and manage the implementation of new supporting functions and processes. The redesign objectives are to modernize our IT organization and support NYCHA's Transformation strategy by:

- Increasing investments in planning, strategy, and architecture;
- Streamlining and optimizing existing IT resources and processes;
- Increasing IT's focus on customer engagement and partnership;
- Adopting best practice and ITSM and Cybersecurity frameworks; and
- Prioritizing staff development and empowerment

In January 2021, NYCHA IT launched a new relationship management program within the IT Strategy and Planning division. This program will place relationship managers in strategic roles where they can directly work with business customers, helping them to achieve their departmental goals. A new IT team titled Business Client Services (BCS), has the day-to-day objective and responsibility for maintaining trusting relationships with our department customers and supporting the implementation of key best practice functions including business relationship management (BRM), demand management and customer experience management.

This new approach to serving the needs of developments and Service Provider functions is a critical component of the Neighborhood Model's success.

No Transformation Priority Projects within Information Technology

3. **Human Resources**

With nearly 11,000 employees, NYCHA's talent management challenges are immense, with high turnover and high vacancy rates driving a large volume of human resources work, including recruitment, labor relations, timekeeping, and professional development. Human Resources is critical to many of the Transformation's key programs, including Work Order Reform and the Neighborhood Model. Without the ability to hire quickly, train effectively, and manage performance, many of these programs will struggle to meet their stated objectives.

As noted in Chapter 4, NYCHA struggles to fill vacancies in a timely manner, leaving developments or departments systemically understaffed. As of October 1, 2021, over 10 percent of NYCHA sites did not have a Superintendent in place due to an unfilled vacancy. Some sites have neither a Property Manager nor a Superintendent.

As discussed later in this chapter, NYCHA is moving a portion of Human Resources support from the downtown Manhattan headquarters to borough offices, where that staff will work closely with Property Management to ensure needs are met quickly.

Priority Project: Implement a Human Capital Management System (7.A.1)

NYCHA Human Resources' business processes are largely manual, paper-based and rely on custom-built databases that don't easily integrate with other key systems of Finance and Operations. In order to address these issues, NYCHA has begun the process to implement a secure cloud-based commercial off-the-shelf Human Capital Management (HCM) system to replace the existing HR system and manual, paper-based business processes to automate and streamline current processes by adopting best business practice solutions.

Benefits of this new system include:

- Streamline business process and reduce duplication of work
- Reduce technology footprint, retire redundant systems and reduce system maintenance requirements
- Improve data quality and reliability
- Minimize the use of paper
- Speed up decision-making and processing times
- Provide robust standard and ad hoc reporting
- Provide robust self-service inquiry and reporting, including mobile access
- Improve communications and collaboration within HR areas and processes

The HCMS is also an opportunity to break down silos as well. The project committee includes staff from IT, Finance, HR, Strategy & Innovation and Procurement. The Request for Proposals (RFP) was initially released in Summer 2021. Unfortunately, while we received five cost proposals all were deemed non-responsive. NYCHA agreed it was best to revise the RFP to better meet industry needs and release it again. Procurement conducted vendor outreach to

potential bidders who didn't respond to obtain feedback on vendor concerns. The revised RFP was released in October 2021 and we hope to have a vendor on board in early winter.

Exhibit 72: Human Capital Management System Actions

Activity	Owner	Date	Status	Cost
RFP proposal submission deadline	Enterprise IT	October 4, 2021	**Completed**	Staff time only
		October 28, 2021		
Evaluate RFP proposals and select vendor	Enterprise IT	October 28, 2021	**In Progress**	Staff time only
		February 1, 2022		
Implement HCMS solution and integrate into other systems as required	Enterprise IT	February 1, 2022	**Not Started**	Staff time only
		February 1, 2023		

4. **Asset Management**

NYCHA has no Asset Management department, as the function is distributed across multiple departments, including Capital Projects, Operations, Performance Tracking and Analytics, Real Estate Development, and others.[43] Given the size and complexity of the agency's portfolio and asset holdings, a centralized effort is critical to managing performance, ongoing maintenance, and investment decisions. Under the Transformation, NYCHA committed to developing an Asset Information Strategy, described below.

Priority Project: Develop AIM Strategy (8.A.1)

NYCHA maintains an extensive balance sheet, with billions of dollars of physical assets, including equipment, structures, and building systems. The agency does not, however, have a comprehensive strategy to manage those assets. Information on these assets sits in many platforms, including Maximo, e-Builder, ArcGIS shapefiles and personal geodatabases, Tridium Niagara, and Building Management Systems. The disparate sources and stores of information can cause confusion and reinforce silos, as different departments rely on different systems for information on the same assets. Without a single view of the asset, the agency cannot make fully informed investment decisions.

Exhibit 73: NYCHA Asset Management Systems

Activity	Owner
Maximo Asset Management	The Maximo system is NYCHA's centralized asset management system. Maximo schedules and tracks all inspections, corrective maintenance and preventative maintenance for all NYCHA owned property.
Maximo Inventory-Core Maximo	Maximo Inventory
Maximo Mobile/Handheld App IWM	Interloc Mobile app that integrates with Maximo Asset Management
Maximo Mobile Inventory App IIM	Interloc Mobile app that integrates with Maximo for Inventory Management
Zlink DMAS	Contract Document (Drawings & Specs) archive System

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[43] The Real Estate Development Department does have a team named "Asset Management," but the team focuses on financial oversight of PACT sites post-conversion.

MyNYCHA Mobile App	Phone app that allows PH residents to enter, schedule, and view workorders in Maximo.
Computerized Heating Automation System (CHAS)	Computerized Heating Automation System reads status on heating equipment/Boilers and centralizes reporting.
NYCHA Connect	NYCHA's intranet Website.
Data Warehouse (Excl Siebel, Maximo, APEX)	Application environment consisting of reports, dashboards and data centric apps.
EBuilder	Capital Projects Management software
Niagara Tridium	NYCHA's Building Management System, currently being used for heat sensor monitoring
Physical Needs Assessment (PNA)	NYCHA's primary tool for property condition assessment. The PNA derives from property inspections conducted in 2017. NYCHA will update the data in 2022.
Emergency Fuel System	Emergency Fuel System is used by Energy Department for monitoring fuel on hand for oil boilers. Oil deliveries are also entered into the system. It is used mainly during the heating season to monitor oil level for oil and dual (gas and oil) boilers and to prioritize oil delivery for various developments.
Geographic Information Systems	NYCHA shapefiles and personal geodatabases, most of which are managed by NYCHA's Performance Management and Analytics Department.
Hyperion Budgeting Software	Hyperion is a budgeting system from Oracle. It will be used to replace Public Sector Budgeting, and Position Control as well as budgeting for Capital Plan.
Dashboards/Oracle Business Intelligence (OBIEE)	Dashboards/Business Intelligence Reporting Tool for various departments across NYCHA. This includes Strategic, Tactical and Operational reporting

Oracle Financials E Business Suite	Oracle E-Business Suite supports NYCHA's accounting and financial functions, including the following modules: Purchasing, iProcurement, iSupplier, Sourcing, Procurement Contracts, Inventory, Order Management, Accounts Payable, Accounts Receivable, Cash Management, Grants, Property Manager, Fixed Assets, General Ledger, Public Sector Budgeting, Various Reporting Tools
Quality Inspections System	The QIS system contains a number of inspections that the field can use. QIS is available as both an internal and internet facing application. Current Inspections types include Pre-PHAS, RAM Review, Boiler Plates, Work Orders, Playground, and Janitorial.
Remote Elevator Monitoring System (REMS)	Remote Elevator Monitoring identifies elevator malfunctions and causes of interrupted elevator service
Site Compli	NYCHA's cloud-based Violation Tracking software.
Tenant Data System (TDS)	The Tenant Data System (TDS) maintains data on approximately 365,000 residents living in Public Housing. It is the basis for reporting to Federal, State and City funding agencies. The system maintains the resident characteristics information , i.e., names, social security number, age, sex, race, income, etc. TDS is also used to calculate anticipated income, set the rents for and certify eligibility of participating tenants. It tracks new admissions, move-outs, transfers from one dwelling unit to another and allows Management Operations to track and control vacant apartments.
Technical Services Tracking System	Technical Services Tracking databases
Utility Management Information System	Utility Management Information System (SAAS)
Warranty Tracking	Tracks Warranties on Roofs, Boilers, etc..

In the Transformation Plan, the agency outlined a new Asset Information Management (AIM) program, designed to achieve:

- Cross-functional, informed decision-making by stakeholders in maintenance and capital planning.

- Data-driven root cause analysis using spatial awareness to inform predictive maintenance and investment planning.

- Work order optimization informed by geospatial data, supplies and equipment inventories, and building sensors.

- Asset information governance throughout asset lifecycles.

- Single source of truth for asset performance, condition, and attribute information with master data that is accessible, accurate, and complete.

Because of the disparate systems used to store NYCHA's asset information, the agency struggles to use information across systems to make operational and capital investment decisions. This presents a particular challenge for an agency of NYCHA's scale, with billions of dollars in physical assets spread across 290 individual sites.

NYCHA has started the process of securing a vendor to advise on the agency's five-year Asset Information Management Strategy. The vendor will perform a current state assessment of the agency's asset information practices prior to developing a comprehensive AIMS solution and building a five-year plan to execute.

Outside of the AIMS program, NYCHA is also pursuing other projects to enhance AIMS capabilities, including a new Physical Needs Assessment and the creation of Building Information Modeling. The program will ensure coordination across all efforts.

Exhibit 74: Asset Information Management Strategy Activities

Activity	Owner	Date	Status	Cost
Work with all agency departments to determine needs and refine scope of services required.	Strategy & Operations	March 1, 2021	**Completed**	Staff time only
		October 15, 2021		
Select model neighborhood for early		August 1, 2021	**Completed**	

deployment, based on Pillar and Transformation programs.	Strategy & Operations	October 15, 2021		Staff time only
Procure vendor to provide services related to the development of an Asset Information Management Strategy (AIMS)	Strategy & Operations	October 15, 2021	**In Progress**	$XM
		February 1, 2022		
Perform current state assessment of NYCHA's AIM processes and responsibilities of NYCHA staff involved in AIM.	Strategy & Operations	February 1, 2022	**Not Started**	Staff time only[44]
		May 1, 2022		
Design an AIM solution and five-year strategic plan. The solution must include an integrated enterprise asset management system, incorporating geospatial awareness and digital twin technology, along with the organizational structure and processes to allow NYCHA to effectively manage its assets.	Strategy & Operations	February 1, 2022	**Not Started**	Staff time only
		July 1, 2022		

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[44] This work will be performed in part by the procured vendor, but all costs are consolidated in the first line item.

5. **Law**

NYCHA's Law Department provides legal counsel to each agency department and employee.[45] Given the layers of regulation under which NYCHA operates—federal, state, and municipal law, along with numerous court decisions, stipulations, and agreement—the Law Department is a critical component of the agency's day-to-day work. Property Management, Service Providers, and other Enabling Functions all rely on the Law Department to advise on legal questions and ensure the agency follows all applicable laws and regulations.

In addition, the Law Department manages all matters of lease enforcement and represents the agency in all housing court or administrative hearings. These functions require consistent coordination with Property Managers, Superintendents, Housing Assistants, and Neighborhood Administrators. This coordination—or lack thereof—has long been a source of frustration for the Property Management function. Housing Assistants, in particular, were spending too much time in housing court as fact witnesses, rendering them unable to perform the customer service functions of their job.

Before the COVID-19 pandemic, NYCHA required that Housing Assistants, Assistant Property Managers and Property Managers initiate termination of tenancy proceedings against residents for non-payment of rent and other violations of the lease. NYCHA's centralized departments, including the Law Department, Family Partnerships, Finance and Public Housing Tenancy Administration, had little visibility into which cases were brought and why, which led to inconsistency across developments. In addition, compiling files and showing up in court, both of which require a high degree of familiarity with the legal process, were responsibilities often imposed on Housing Assistants and Property Managers who then were forced to decide between a focus on their other tasks at the properties or a focus on enforcing the lease.

The eviction moratorium implemented during the COVID-19 pandemic created an opportunity for NYCHA to reimagine how it will prioritize lease enforcement going forward.

The lease enforcement project has a short-term and a long-term component:

- Short-Term, COVID-19 Eviction Moratorium Re-Set: As a foundational matter the project team included two tracks - (1) a group that is working to assess a smarter, data-driven approach to non-payment actions in Housing Court; and (2) a group that is working to develop an approach to administrative actions that prioritizes resident quality of life and emphasizes the use of alternative interventions before bringing a termination of tenancy proceeding against a NYCHA public housing resident.
- Long-Term, New Business Process and Law Department Re-Organization: After accounts are stabilized, the project team will assess what worked and what did not work

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[45] Law Department representation of employees is limited to actions in the individual's capacity as a NYCHA employee.

coming out of the moratorium. The project team will then use those lessons learned to develop a new business process and re-organize the Law Department to align with that process.

Priority Projects: Lease Enforcement (7.J.1)

◄ *Challenge: NYCHA did not use data in a uniform way to set priorities for non-pay actions in order to improve rent collection*

To analyze the present state, NYCHA's lease enforcement working group built a data model that pulled data from multiple sources including (1) rent arrears aging reports from four points in time – end of February 2020, end of February 2021, end of June 2021 and end of November 2021; (2) the New York State Unified Court System's list of active cases where NYCHA was the petitioner, (3) demographic information related to each account, and (4) information on whether an interim recertification or a grievance was pending, among other items. In reviewing this data, NYCHA found that non-pay actions were often not coordinated so the same resident may have had multiple filings against them. In addition, residents with larger dollar amounts owed or a long duration of non-payment were not prioritized relative to other residents for non-pay actions.

▸ *Action: Establish prioritization criteria for non-pay actions and discontinue previously active cases that were not a priority for immediately after the moratorium is lifted*

The lease enforcement working group then decided on various methods of prioritization – including which residents would be prioritized for referrals to a social worker, which accounts should be prioritized for a non-pay action based on the duration and amount of arrears, and which accounts had arrears considered "de minimis" for the purpose of filing a legal action. Based on the data and the prioritization criteria, NYCHA then discontinued tens of thousands of non-pay actions where the account (1) had multiple cases filed against it, (2) had no outstanding arrears or (3) arrears that did not exceed 12 months in duration as of the date cases were discontinued.

After this process, NYCHA was left with a few thousand priority active cases and a set of an additional approximately 1,600 accounts that, based on the duration of arrears and the amount owed, would be the first priority for a non-payment action when the eviction moratorium is lifted. NYCHA will then test this prioritization criteria and determine whether it should be formalized or made permanent.

Exhibit 75: Non-Pay Prioritization Actions

Activity	Owner	Date	Status	Cost

Complete data model, pulling in various sources of data	Strategy & Innovation, MSD, Law, Finance	May 2021	**Completed**	$XM
		December 2021		
Run analytics using the data model and then establish prioritization criteria and decision tree	Strategy & Innovation, MSD, Law, Finance	May 2021	**Completed**	$XM
		August 2021		
Discontinue cases and establish a set of priority non-pay actions for immediately after the eviction moratorium is lifted	Strategy & Innovation, MSD, Law, Finance	August 2021	**Completed**	$XM
		January 2022		
As the eviction moratorium is lifted, communicate prioritization criteria and begin process of litigating priority cases	Strategy & Innovation, MSD, Law, Finance	January 2022	**In Progress**	
		December 2022		
Analyze effectiveness of prioritization criteria	Strategy & Innovation, MSD, Law, Finance	December 2022	**Not Started**	
		March 2022		

◄ _**Challenge: NYCHA struggled to utilize tools besides legal action to re-set balances for accounts in arrears and stabilize households**_

Based on the circumstances of each case, other interventions, including grants, payment plans, rent adjustments (based on interim recertifications or rent grievances) or social services may be a more appropriate intervention relative to a non-pay action to ensure the rules of the lease are enforced. While there is limited capacity and the legal process requires a lot of staff time, these other interventions can and should take place before NYCHA gets to court.

__Action: NYCHA began rolling out a set of tools and worked with outside stakeholders to establish alternative interventions to stabilize households__

NYCHA first worked directly with the State of New York to set up a program that would help residents more easily access the Emergency Rental Assistance Program. NYCHA worked with the Office of Temporary and Disability Assistance (OTDA) to simplify the application process by allowing NYCHA to apply on the household's behalf, with consent, instead of a household having to submit an individual application. NYCHA also submitted landlord documents in bulk after an extensive outreach campaign encouraging residents to apply. In the end, before the program closed, NYCHA submitted documents for more than 27,000 households adding up to a total dollar amount of more than $102.7 million.

NYCHA also began designing additional interventions, including the use of retroactive credits and updated uniform payment plans, that will be rolled out in 2022. NYCHA also submitted data directly to the Human Resources Administration to evaluate non-payment among more than 10,000 residents who receive assistance but are in arrears due to issues transferring funds or another underlying issue.

Exhibit 76: Non-Pay Prioritization Actions

Activity	Owner	Date	Status	Cost
Scale up Emergency Rental Assistance Program	Strategy & Innovation, MSD, Law, Finance	May 2021 / November 2021	**Completed**	$XM
Design Alternative Interventions	Strategy & Innovation, MSD, Law, Finance	May 2021 / August 2021	**Completed**	$XM
Work with HRA to identify and resolve issues associated to full welfare and dual income accounts	Law, Finance	August 2021 / January 2022	**In Progress**	$XM
Begin Roll-Out of Other Alternative Interventions	Strategy & Innovation, MSD, Law, Finance	April 2022 / December 2022	**Not Started**	$XM
Analyze effectiveness of alternative interventions		December 2022	**Not Started**	

	Strategy & Innovation, MSD, Law, Finance	March 2023		

◀ ***Challenge: NYCHA's resident leaders feel that certain breaches of the lease, like unauthorized occupancy, subletting or non-desirability should be prioritized relative to other types of administrative actions***

The lease enforcement working group included resident association presidents and members of the Resident Roundtable. This group met each week for a period of six months. As an initial matter, the group walked through the nine most typical types of administrative actions. Eventually, the group drafted and agreed upon a "vision statement" for lease enforcement.

In the end, the group felt that NYCHA should prioritize actions that impact residents' quality of life including – (1) non-desirability, (2) subletting, and (3) unauthorized occupancy actions. Before the COVID-19 pandemic, the two most common types of actions were – (1) chronic rent delinquency and (2) non-verifiable income actions. Residents do not think NYCHA needs to bring *more* administrative actions. Instead, the group emphasized that NYCHA should *re-prioritize* its caseload to emphasize the identified types of actions, while utilizing other interventions to emphasize the payment of rent and the completion of recertifications.

▸ ***Action: Re-organize the Law Department to adjust focus and prioritize these actions***

The Law Department has been actively re-structuring to position its staff to be generalists who can handle a wide range of case types, rather than distinct units that focus on chronic rent delinquency, non-verifiable income, and permanent exclusion related actions. For example, NYCHA collapsed investigators and Housing Assistants previously assigned to the Anti-Narcotics Strike Force and the CRD/NVI Unit into a larger pool that can assist on a wide range of cases. Attorneys previously assigned to unique units are also now all assigned to an "Administrative Hearings Division" that can prioritize cases based on need rather than case type.

Exhibit 77: Law Department Reorganization Action

Activity	Owner	Date	Status	Cost
Review types of administrative actions and draft vision statement with resident leaders	Strategy & Innovation, Resident Engagement	May 2021	**Completed**	$XM
		October 2021		

Re-organize Law Department to align with administrative action priorities	Law	March 2021	**Completed**	$XM
		December 2021		
As the eviction moratorium is lifted, communicate prioritization criteria and begin process of litigating priority actions	Strategy & Innovation, MSD, Law, Finance	January 2022	**In Progress**	$XM
		December 2022		
Analyze effectiveness of execution and prioritization criteria	Strategy & Innovation, MSD, Law, Finance	December 2022	**Not Started**	
		March 2022		

The vision statement includes six major policy principles:

- NYCHA Should Prioritize Subletting, Unauthorized Occupancy and Non-Desirability Actions Instead of Chronic Rent Delinquency and Non-Verifiable Income Actions

- The City and Other Community Based Organizations Must Do More When It Comes to Mental Health Care Among NYCHA Residents

- Guides on Available Social Services for Residents

- To Initiate and Succeed in a Termination of Tenancy Action, NYCHA and the Residents Must Work Together Throughout the Process

- Allocation of Safety and Security Resources

- NYCHA Must Use Alternative Interventions to Curb Quality of Life Infractions:
    - Trash disposal
    - Battery-powered bicycles
    - Smoking within 25 feet of the building
    - Noise complaints
    - Unauthorized dogs
    - Stoppages
    - Illegal appliances

◄ *Challenge: Sometimes, an underlying mental health condition may be the root cause of certain breaches of the lease*

In cases involving hoarding, destruction of property and harassment of another tenant, rather than initiating a termination of tenancy action or relying on traditional lease enforcement mechanisms, it is sometimes critical that a third-party mental health professional be called upon to help provide stability and care to NYCHA's residents. This principle is especially important as New York City and NYCHA's residents recover from the COVID-19 pandemic, which has led to worse mental health outcomes and increased rates of substance abuse across many communities.

Simultaneously, NYCHA will need to address mental health conditions by training property management staff on how to make referrals and how to identify potential issues and leverage other resources.

▸ *Action: In collaboration with residents and the Department of Community Mental Health, NYCHA is planning to design a mental health training that is unique to NYCHA*

NYCHA has begun working with the Department of Community Mental Health on designing a training for NYCHA residents that will be piloted and tested at three developments. The training will include NYCHA specific scenarios and a reference to services in the area.

Exhibit 78: Mental Health Training Actions

Activity	Owner	Date	Status	Cost
Review common scenarios with resident leaders and begin to design potential training	Strategy & Innovation, Resident Engagement, Resident Leaders, Dept. Community Mental Health	August 2021 December 2021	**Completed**	$XM
Initiate three trainings with Resident Leaders at one site each in Brooklyn, Bronx and Manhattan and solicit feedback	Strategy & Innovation, Resident Engagement, Resident Leaders, Dept. Community Mental Health	January 2022 February 2022	**In Progress**	$XM
Design training for larger roll-out	Strategy & Innovation, Resident Engagement, Resident Leaders,	March 2022 December 2022	**Not Started**	$XM

	Dept. Community Mental Health			

6. **Community Engagement and Partnerships**

NYCHA's Community Engagement and Partnerships Department (CEP) oversees resident engagement, family partnerships, health initiatives, community development, and resident economic empowerment. CEP is responsible for helping residents navigate NYCHA's often-complex policies and procedures, and connecting residents with opportunities and services.

Given the growing distrust between residents and the agency, investing in new resident engagement platforms was a critical part of the Transformation, creating new ways of working that would engage residents as partners.

Priority Project: Strengthen Engagement under 24 CFR §964 (7.F.3)

NYCHA's Chair began discussions on a possible Memorandum of Agreement with the Citywide Council of Presidents in January 2020, hoping to formalize how NYCHA and Resident Leadership will collaborate under the terms of 24 CFR §964. The goal of these discussions was codification of a partnership between NYCHA and residents.

In October 2021, the NYCHA Chair and CCOP Chair signed a Memorandum of Agreement, the culmination of 20 months of discussions and negotiations. The MOA details new rights and responsibilities for both parties, including regular working sessions between Local Resident Councils and Property Managers. These new requirements have been included in the expectations and responsibilities within the Neighborhood Model, as discussed in Chapter 3. The MOA expands resident input in NYCHA's policymaking and operational decisions. This enhanced partnership will strengthen every program within the Transformation and help NYCHA deliver on its lofty mission and goals.

The MOA covers six policy topics:

- Compliance with laws and rules and recognition—recognition of CCOP as the duly elected jurisdiction-wide representative and a commitment to the terms of §964.

- Meeting cadence—frequency of meetings between residents and staff

- Contract review—input on resident hiring and local community facility providers

- Resident Council Operating Principles—governance rules for Local Resident Councils and CCOP.

- Resident Satisfaction—development of a new customer service satisfaction score card

- Resident Management Corporations—exploring the concept of resident-managed developments as defined under §964.

Priority Project: Develop an Advisory Resident Roundtable (7.F.1)

The Transformation Plan included a new Resident Roundtable, which would enable Transformation leaders to solicit specific feedback from a group of 32 residents—one for each neighborhood and two residents from PACT sites—serving two year terms in the role. Recruitment for the Roundtable began in April, with multiple town halls and email communications to solicit applications. Roundtable members were selected by lottery in the summer of 2021, with initial meetings held in July.

The Roundtable is now meeting on a monthly basis, with each member serving on one policy subcommittee, along with one or more Transformation Working Groups. Roundtable residents have quickly become great partners for the Transformation team, offering insightful feedback and pushback on changes as appropriate. The full Roundtable meets monthly as does each separate subcommittee. Each subcommittees scope was designed by the resident members of the roundtable themselves.

The subcommittees are:

- Safety & Security: focused on new solutions to keep NYCHA residents safe in their homes. Working closely with NYCHA's Office of Safety and Security and the NYPD Housing Bureau.

- Management Practices: focused on three specific aspects of NYCHA property management: inspections, the management office experience, and resident procedures.

- Quality of Life: focused on day-to-day challenges within NYCHA buildings, including hazards, pests, and resident behavior.

- Quality Assurance: focused on ensuring high-quality work by NYCHA staff and third party vendors. Exploring new feedback mechanisms and oversight protocols.

Each subcommittee is working to develop their own policy recommendations, which will be incorporated into the 2022 Implementation Plan.

Exhibit 79: Resident Roundtable Actions

Activity	Owner	Date	Status	Cost
Solicit resident applicants from all 30 neighborhoods and manage selection process	Resident Engagement	April 1, 2021 June 30, 2021	Completed	$77K/yr for monthly stipends
Develop subcommittee structure with resident members and assign members to	Resident Engagement	June 30, 2021 October 1, 2021	Completed	Staff time only

Transformation working groups				
Subcommittees develop policy proposals and programs to present to Transformation leadership	Roundtable members	October 1, 2021	**In Progress**	Staff time only
		March 1, 2022		
Incorporate subcommittee actions into ongoing Transformation program	Strategy & Operations	March 1, 2022	**In Progress**	Staff time only
		May 1, 2022		

7. **Finance**

NYCHA's Finance function oversees the agency's accounting, financial planning, treasury, risk management, and budget processes. The Finance Department develops policies and procedures to manage the Authority's working capital effectively. With the Property Management Department, Finance works to manage individual budgets by site, per HUD's Asset Management Rule. Each development—or group of developments if sites are consolidated—is considered an Asset Management Project (AMP), with a separate budget based on its rent rolls, direct costs, and allocations.

Under the Transformation, NYCHA committed to reinforcing its approach to property-based budgeting, beginning a process that will slowly add more discretion for Property Managers in setting, modifying, and managing their site's budget.

Priority Projects: Property-based Budgeting Phase I (5.E)

Phase I of the property-based budgeting program was designed to achieve three goals: providing Property Managers with an ownership approach to managing AMP budgets, managing the shift of skilled trades to the neighborhood level, and reviewing the possibility of using excess cash to fund AMP operating deficits.

Property Managers were trained on the new budget process, with additional control over specific Budget Responsibility Groups (BRGs) like maintenance materials and contracts.

Exhibit 80: Property Based Budgeting Actions

Activity	Owner	Date	Status	Cost
Train Property Managers on FY 2021 budget process	Finance	September 1, 2020 / September 30, 2020	**Completed**	Staff time only
Property Managers participate in FY21 budget process with specific budget line item control	Finance	October 1, 2020 / December 10, 2020	**Completed**	Staff time only
Review method of cost allocation for non-direct service activities	Finance	October 1, 2020 / March 31, 2021	**Completed**	Staff time only

Train Property Managers on interpreting monthly financial reports and KPIs	Finance	January 1, 2021	Completed	Staff time only
		March 31, 2021		

8. **Performance Management**

NYCHA's performance management, data analysis, and external reporting functions are housed within the Performance Tracking and Analytics Department ("PTAD"). PTAD is responsible for ad hoc analysis as required by other departments and also leads the development and management of various reporting dashboards that ensure the agency is sharing accurate data through transparent channels. The department leads the agency's efforts to promote a data-driven culture and improve decision-making.

PTAD manages the NYCHAStat program, loosely modeled after the New York Police Department's COMPSTAT program that uses precinct-level data to drive accountability. NYCHAStat has traditionally rotated topics on a monthly basis, with the agency's full leadership team invited to participate.

Under the Transformation, NYCHA plans to expand the role of NYCHAStat beyond the traditional monthly all-staff meeting. As part of the Neighborhood Model, each Neighborhood Administrator will use the NYCHAStat system to manage the developments in their portfolio, hosting regular meetings to ensure all sites are meeting agency standards.

Priority Projects: Data Governance (7.I.1), Develop New Organization KPIs (7.I.3)

The Key Performance Indicators (KPIs) project consists of an in-depth review of NYCHA's external and internal KPIs. The project will focus on the dashboards and reports used by NYCHA departments to determine the most important metrics that drive performance and should be monitored consistently to achieve the desired outcomes.

PMA / PTAD will solicit input from NYCHA employees at various levels of the organization, residents, and the Monitor to ensure that the correct metrics are being tracked.

At the conclusion of the project, NYCHA will adopt a set of holistic KPIs that accurately reflect performance for its core property management and central office functions, compliance with its various obligations, and the achievement of the transformation plan objectives.

Exhibit 81: Key Performance Indicators Universe

KEY PERFORMANCE INDICATORS (KPIs) UNIVERSE

HUD Public Housing Assessment System (PHAS)

•HUD Agreement (mold, heat, pests, elevators, lead, apt inspections)

External KPIs

Baez Mold Settlement

NYC Mayor's Management Report

Property Management KPIs (rent collection, annual reviews, work orders, etc.)

•Operations Support Departments KPIs (Emergency Services, Elevators, Heating, Management and Planning)

Internal KPIs

Central Office Support Department KPIs (IT, HR, Finance, Procurement, etc.)

Transformation Plan KPIs

Performance, Customer Satisfaction, Service Quality, Compliance, Day to Day Management, Employee Accountability

Exhibit 82: KPI Program Timeline

PROJECT HIGH LEVEL TIMELINE AND TASKS

Phase 2: TBD based on scope

Submit intake forms for dashboard changes → Develop Business Requirement Documents (BRDs → Create, test, and validate new dashboards → Develop user training materials → Publish new dashboards and conduct training → Track dashboard usage and obtain user feedback

- Include key stakeholders in the dashboard review and testing process
- Engage key stakeholders to review the training materials before publication
- Determine channels for tracking user feedback and follow-up

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9. **Borough Administration Teams**

Each of the four geographic borough organizations will be supported by a team of staff representing essential central office support functions—human resources, information technology, procurement, and finance, among others." This is a zero-cost initiative that is designed to complement the Neighborhood model and other initiatives such as improved performance management.

The Borough Administration Teams' goal is to coordinate NYCHA's Central Office administrative functions at the borough-level to build rapport across departments, streamline and prioritize task requests, reduce transaction time, and thereby deliver improved service to NYCHA public housing employees and residents. These work objectives are accomplished by co-locating support service staff at borough offices and by facilitating regular meetings to proactive plan for and resolve issues related to financial planning, human resources, vendor management, and IT. Furthermore, the Borough Administration Teams will develop performance metrics to align support services' performance evaluation with operational outcomes to foster a culture of service.

Exhibit 83: Borough Administration Teams Interaction Model
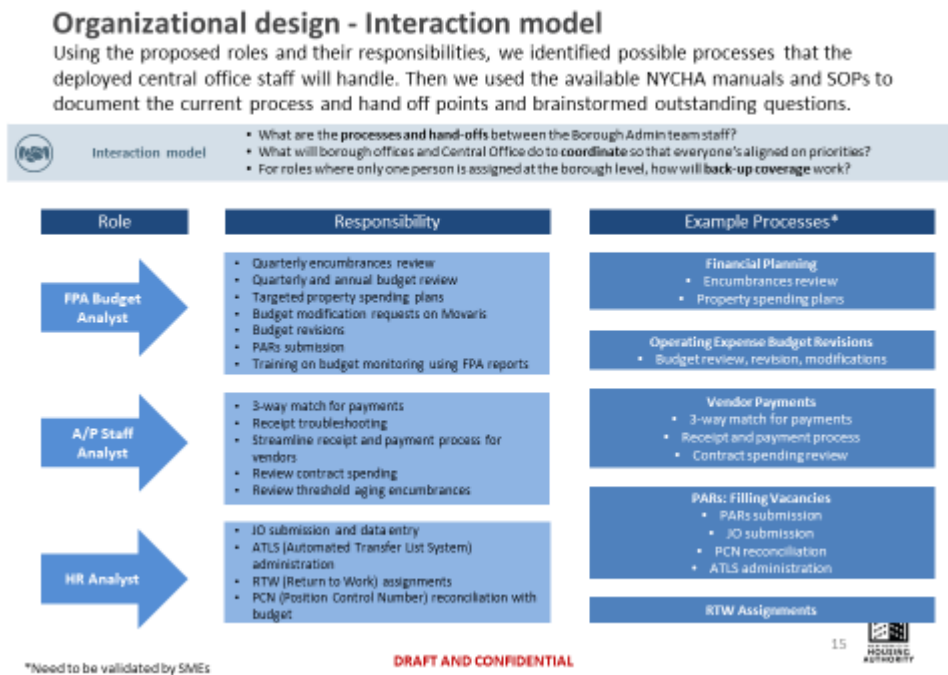
Each department participating in the Borough Administration Teams program is on a different schedule depending on current capacity and development needs. Procurement, as described above, has moved buyers into the borough structure, directly supporting developments in there most critical needs. Human Resources has moved its first employee to a borough office, helping

the property management team oversee the vacancy and hiring process. IT and Finance—in partnership with Strategy & Innovation—continue to explore the proper configuration for their Borough Administration Teams.

Approach to developing the Borough Admin Teams

In order to develop the Borough Admin Teams each Central Office function should follow the below approach:

Approach:

- Requested Central Office departments to perform the following activities:
  - Consider feedback they may have received from development level staff about their needs
  - Review their current organizational chart and consider which titles and roles currently within their department might be best suited to be a part of the Borough Admin Teams based off understanding of Property Management needs

- Met with IT, HR, Finance, and CEP regarding those titles/roles identified, job descriptions, and # of existing head count

- Organized information together and identified gaps and next steps

Proposed borough organizational chart
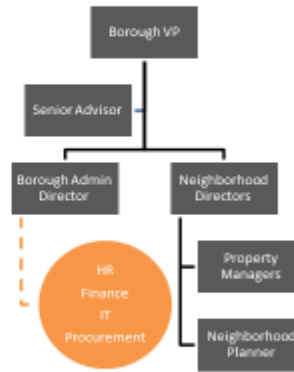
Key:
- Operations staff
- Central Office department deploying staff

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10. Capital Projects

The Capital Projects Division ("CPD") oversees the development and execution of NYCHA's multi-billion-dollar capital plan. CPD is responsible for delivering capital projects safely, on-time, within budget, and in accordance with the work quality dictated by contract documents. CPD provides design, construction management, project management, and support services for all component replacement and comprehensive modernization projects across the agency.

NYCHA's physical assets are in desperate need of capital injections, heightening the importance and urgency of an effective capital program. As part of the Neighborhood Model, NYCHA continues to develop new interaction models between CPD, Property Management, and other service provider functions. Property Managers and Superintendents will once again produce capital priority lists of their own, working with CPD to set development-level lists that meet resident needs. Communication between CPD and Property Managers during on-site work will be a particular focus for the Neighborhood Model Working Group in 2022.

While no CPD projects were designated as Transformation priority projects, updates on each CPD Transformation strategy are included below:

Exhibit 85: CPD Internal Reorg Status

9.A.1- Ongoing Internal Re-Organization & Capacity Building

CURRENT STATUS	NEXT STEPS
Determine if Capital is managing the lead abatement program as outlined in draft City Agreement Action Plan. ✓ Completed as of January 2021	› VP of Environmental Projects hired as of September 2021. › RFP for Project Management Services related to lead abatement program released in October 2021. Four proposals received in Dec. Evaluation underway.
Determine if Capital is absorbing the Scoping Department from MRST ✓ Completed as of January 2021	› The former "Scoping Department" was absorbed and have cleared the backlog of requested contracts for continued operations and are currently writing IDIQ contracts for general areas of operations work, leaving behind single-area contracts for long term.

IMPLEMENTATION STEPS

Exhibit 86: CPD Planning Status

9.A.2 - Data-Driven and Strategic Capital Planning
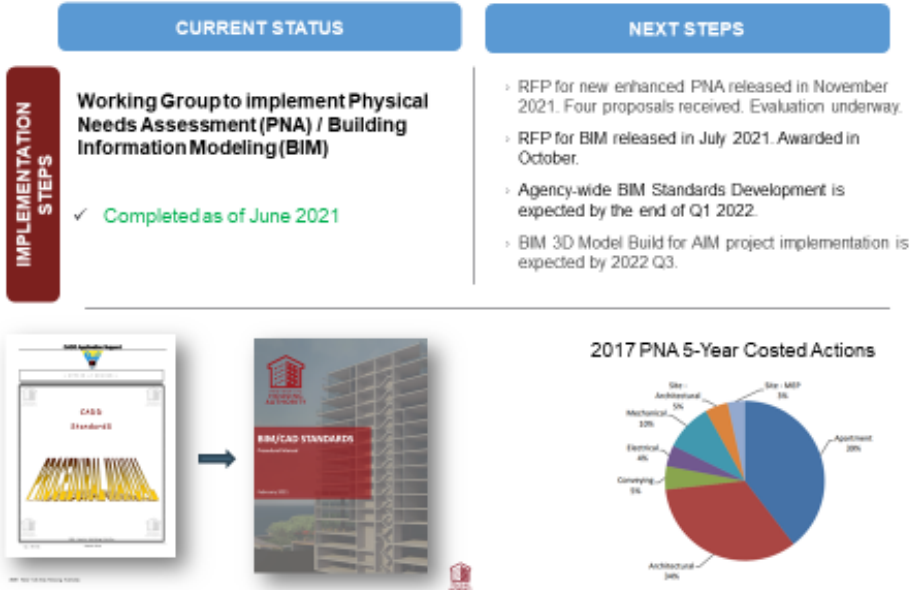
Exhibit 87: CPD e-Builder Status

9.A.3 - Continued Adoption of e-Builder

Exhibit 88: CPD eBuilder Status
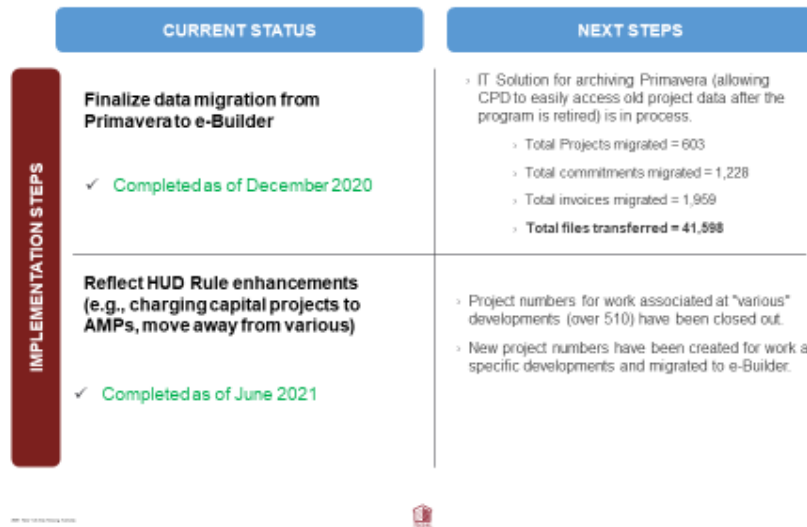
9.A.3 - Continued Adoption of e-Builder
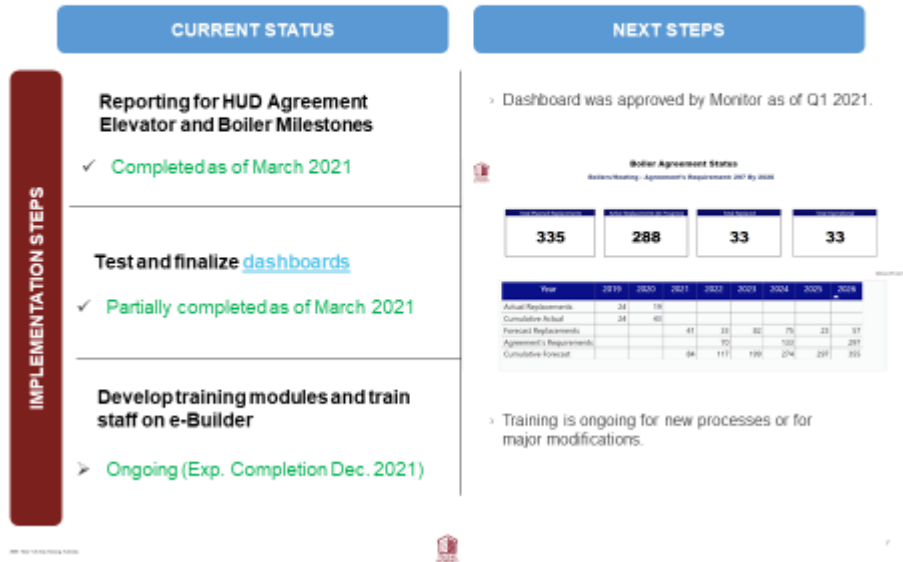
Exhibit 89: CPD eBuilder Status

9.A.3 - Continued Adoption of e-Builder

Exhibit 90: CPD Utility Waiver Status
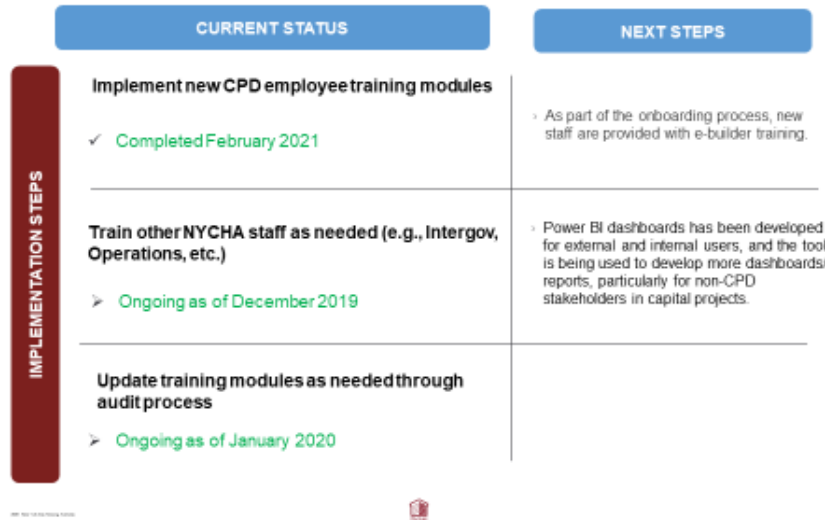
9.A.4 - Utility Waiver from HUD

CURRENT STATUS	NEXT STEPS
Request Utility Waiver from HUD to Capture Savings ➢ Ongoing as of August 2021	› The Chair officially submitted the Utility Waiver letter to HUD. HUD informed NYCHA that they cannot give a waiver on the RRI and other items in the letter (besides water baselines request). The Chair requested an official HUD OGC opinion on why RRI waiver is not accepted. › CPD Energy Department continues to work with HUD Energy Center staff on establishing water baselines in upcoming EPC projects.

(IMPLEMENTATION STEPS)

Exhibit 91: CPD Projects Manual

9.A.5 - Other Changes Identified in the KPMG Organizational Assessment: *Capital Projects Procedure Manual*

CURRENT STATUS	NEXT STEPS
Develop an updated capital projects procedure manual ✓ Completed as of October 2021	› Final Draft reviewed by CPD all-staff and other stakeholders. › Completed and posted to Forms and References Library
Consolidate Information from stakeholders ✓ Completed as of October 2021	
Develop and implement training program ➢ Ongoing as of November 2021	› Training program in development.

(IMPLEMENTATION STEPS)

Exhibit 92: CPD KPI Status

9.A.5 - Other Changes Identified in the KPMG Organizational Assessment: *Expand Use of KPIs*

CURRENT STATUS	NEXT STEPS
Evaluate the portfolio and business requirements to identify additional KPIs ✓ Completed as of June 2021	› KPIs are coordinated with PTAD reporting.
Develop visualizations through reports and dashboards in e-Builder ➤ Ongoing as of June 2021	› With KPIs finalized, reporting via dashboards and additional reports in e-Builder will be completed.
Train staff on the new reports in e-Builder ➤ Ongoing as of XX	› Training will commence once reports are finalized.

IMPLEMENTATION STEPS

Exhibit 93: CPD Quality and Safety Team Separation Status

9.A.5 - Other Changes Identified in the KPMG Organizational Assessment: *Separate quality & safety inspection team*

CURRENT STATUS
Separate quality and safety inspection team   ✓ Completed as of January 2020
Identify and Document Objectives and Job Descriptions   ✓ Completed as of January 2020
Modify Existing Templates and Processes   ✓ Completed as of January 2020

IMPLEMENTATION STEPS

9.A.5 - Other Changes Identified in the KPMG Organizational Assessment: *Project Strategy Documents*

CURRENT STATUS	NEXT STEPS

Develop a Project Charter (e-Builder Details Page)
 	
✓ Completed as of February 2021
	› Project Charters are used to create a business justification for decision maker(s) to approve a project and funding.
	
	› At NYCHA, City and State funding is typically restricted; the current 5-Year Federal plan is directly or indirectly tied to the HUD Agreement. Therefore, a business justification via a Project Charter is moot by the time a project comes to CPD.
	
	› Still, e-Builder Project Details page contains standard Capital Project Charter information including:
	  • Scope and Overview
	  • Funding / Resources (Federal, State, City) and Budget
	  • Funding Approval
	  • Environmental Review
	  • Schedule with Milestones and Phasing
	  • Project Organization & Stakeholders (including all electeds)
	  • Backup Information and Updated Tracking (bi-weekly).

Train CPD staff on e-Builder project charter ➤ Ongoing as of February 2021	› Training is provided on an ongoing basis as e-Builder improvements are made, including for the e-Builder Project Details page.
Project Delivery Execution Plan for select projects (GDA Portfolio) ➤ Ongoing as of October 2020	

IMPLEMENTATION STEPS

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Chapter 6.**Implementation Governance**

1. **Program Management Office (PMO)**

i. **Purpose and Vision**

The Transformation Plan Program Management Office, or "PMO", is charged with managing and governing the complex organizational reforms undertaken by the Organizational Plan. The Transformation Plan PMO is different from traditional PMOs in that its sole edict is not simply to define the standard roles, processes, and deliverables of projects across an organization. Instead, the Transformation Plan PMO's purpose is greater: to ensure the success of the Transformation Plan by managing the portfolio of projects and coordinating activities in the following areas:

- Transformation Plan Governance
- Project Management Standards and Support
- Cross-Project Integration and Risk Management
- Stakeholder Management and Compliance
- Change Management

These activities of the PMO are led by the Deputy Director of Strategic Planning, under the direction of the EVP of S&I and VP of Strategy and Operations, supported by staff and consultants in S&I, and advised by the Federal Monitor.

Exhibit 95: PMO Structure
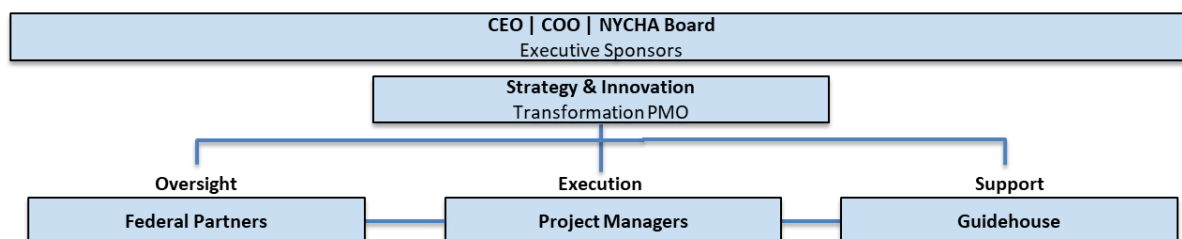
In total there are 38 Organizational Plan strategies/projects,[46] all of which are assigned one of the following stages:

- **Not Started** – The project is defined in the Organizational Plan but has not yet been started by NYCHA. Authorization of any required funding is in the adopted budget for

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[46] Previous documents and presentations from S&I have indicated 39 total projects. For tracking purposes, the PMO combines the Chair and Board of Directors project (Strategy 4.A) with the rest of the Governance Structure changes (Strategies 4.B through 4.G)

the project to start. A project is moved to initiation when a Project Manager is assigned by the Project Sponsor, typically the EVP of the lead department.

- I**nitiation** –The Project Manager assembles a project team and coordinates with business leads and other critical stakeholders in support departments such as IT or Procurement to further define the scope, detailed requirements (including specific KPIs used to measure desired future-state outcomes), schedule, budget, risks, procurement strategy, and staff resourcing, in a Project Management Plan. Approval of the Project Management Plan by the stage gate review team, is required for the project to move to Implementation. Not all Transformation Priority Projects have a Project Management Plan as of January 2022.
- **Implementation** – The project team executes work on the technical deliverables defined in the Project Management Plan. The project's performance baseline is monitored by Project Manager and Transformation PMO. Change control and iteration of the project plan are performed as necessary. The Project Manager manages the project schedule and documents the fulfillment of all requirements, including regulatory, procurement, and KPI tracking. As the project nears completion, the Project Manager defines continuous improvement activities and facilitates Lessons Learned sessions. A signed Project Completion form[47] indicating that the project requirements have been met and continuous improvements are in place is required for project completion.
- **Complete** – Project requirements have been met, procedures and controls are in place, and continuous improvements are ongoing
- **On-hold** – The project is unable to move to the next stage and project activities are paused until further notice from the business owner.

Exhibit 96: Full List of Transformation Projects

Strategy[48]	Project Title	Stage
Strategy 4	Governance Structure	Implementation
Strategy 5.A	Neighborhood Model	Implementation
Strategy 5.B	Borough Administration Teams	Implementation
Strategy 5.C	Work Order Reform	Implementation
Strategy 5.C	Closing Work Tickets	Implementation

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[47] Project Completion form is still under development.

[48] Strategy numbers refer to the relevant Transformation Plan chapters

Strategy 5.D	Alternative Work Schedules (Maintenance)	On Hold
Strategy 5.D	Alternative Work Schedules (Caretaker)	Implementation
Strategy 5.E	Property Based Budgeting (Phase 1)	Complete
Strategy 5.E	Property Based Budgeting (Phase 2)	Implementation
Strategy 5.H	Annual Recertification	Complete
Strategy 5.J	Create Program Management Office in QA Department	Complete
Strategy 7.A.1	Implement a Human Capital Management System	Implementation
Strategy 7.A.2	Enhanced Employee Engagement & Recognition Efforts (Phase 1)	Implementation
Strategy 7.A.2	Enhanced Employee Engagement & Recognition Efforts (Phase 2)	Not Started
Strategy 7.B.1	Launch a Learning Management System (LMS)	Implementation
Strategy 7.B.2	Align training with the Neighborhood Model	Not Started
Strategy 7.B.3	Regularly evaluate NYCHA managerial job performance against core competencies and goals	Not Started
Strategy 7.C.1	Create Procurement Role	Complete
Strategy 7.C.2	Re-Design the Procurement and Vendor Mgmt. Process	Implementation
Strategy 7.E.1	Develop a holistic strategic direction for IT	Complete
Strategy 7.E.2	Close the inter- and intra-departmental divide across major IT services and engagements	Implementation
Strategy 7.E.3	Buildout a cybersecurity program and enhance testing function	Complete
Strategy 7.E.4	Standardize around IT Service Management (ITSM) processes	Complete
Strategy 7.F.1	Strengthen engagement under 24 CFR §964	Complete
Strategy 7.F.2	Strengthen Engagement with Community Partners	Not Started

Strategy 7.F.3	Partnering with Residents to (Resident Roundtable)	Implementation
Strategy 7.F.3	Community Centers	Not Started
Strategy 7.I.1	Establish Data Governance	Initiation
Strategy 7.I.3	Develop New Organization KPIs	Implementation
Strategy 7.I.4	Empower NYCHA-Stat	Implementation
Strategy 7.J.1	Lease Enforcement Process	Implementation
Strategy 8.A.1	Develop AIM Strategy	Implementation
Strategy 8.A.2	Invest in an AIM system	Not Started
Strategy 9.A.1	Ongoing Internal Re-Organization	Implementation
Strategy 9.A.2	Data-Driven Capital Planning	Implementation
Strategy 9.A.3	Continued adoption of e-Builder	Implementation
Strategy 9.A.4	Request Utility Waiver from HUD to Capture Savings	Implementation
Strategy 9.A.5	Other changes (KPMG org. ass.)	Implementation

ii.   Organizational Plan Governance

To help manage the Organizational Plan portfolio, the PMO is developing a governance structure that supports decision making, escalation, and accountability for project changes. Relative to governance, the key responsibilities are as follows:

- **Executive Sponsor/Chair** - Approve of high-level policy and strategic decision making; set the vision and priorities for Organizational Plan implementation; and secure resources for Transformation Implementation.
- **Transformation PMO** - Manage the portfolio of projects and coordinate activities. Track cross-project risks and dependencies and escalate issues and concerns to senior leadership and Executive Sponsor as needed; track project changes and oversee stage gating process; manage stakeholder engagement and change management activities; and provide access to PMO artifacts to the Federal Monitor and coordinate any information requests.

- **Project Manager** - Responsible for the completion of projects. Manage the implementation of individual Project Team strategies; track individual project risks and dependencies and escalate issues and concerns to Transformation PMO; and report out during PMO meeting roll-call and escalate all issues or concerns to the PMO.
- **Federal Monitor -** Oversee governance activities on behalf of Federal partners and coordinate with the PMO for any information requests.

As indicated in section A.i, all projects are assigned a stage by the PMO: Not Started, Initiation, Implementation, Complete, and On Hold. PMO tracking of a project begins with the Initiation stage and continues through Implementation to Completion. The PMO facilitates "stage gate" review meetings required for the project to advance at **Initiation Complete** and **Implementation Complete**. Reviewers include, at minimum, the EVP of S&I, VP of Strategy and Operations, Senior Deputy Director of Strategy and Operations, Federal Monitor, Project Manager, the Business Sponsor.

All projects will adhere to the stage gate review process beginning in Q1 of 2022, including the completion of Project Management Plans and Project Completion Forms. For in-flight projects being grandfathered into the process, the PMO will only require Project Management Plans for a subset of projects.

Project Management Plans will be made available to NYCHA staff and the Federal Monitor as required.

iii.   Project Management Standards and Support –

One of the key roles of the PMO is to support project managers by providing project management tools and templates within NYCHA's project management software, ServiceNow. The standard but customizable functionality of ServiceNow enables project managers to:

- Create project schedules to track tasks and milestones
- Track project requirements
- Develop stakeholder, resource, and benefits plans
- Track risks, issues, decisions, and actions in a RAID log
- Report on project status at frequencies set by the PMO

The PMO will work with each project manager to migrate existing project management artifacts into ServiceNow and provide technical support and training.

Additionally, a bi-weekly PMO meeting will serve as a key touchpoint between the PMO and Project Managers. Prior to this meeting, Project Managers are required to submit project status reports bi-weekly and update the PMO on project status in a bi-weekly PMO meeting attended by all of the project managers with projects in implementation. The bi-weekly updates provide an avenue for project managers to communicate issues, risks, or critical project changes. A sample report of the bi-weekly status tracker is below. Currently, Project Managers use the

Project Health column to indicate to the PMO if a project is experiencing delays in schedule or risks to the budget, but the goal is for the Overall Health column to be automated based on the project's schedule, indicating if a project is on schedule (green), delayed but not enough to impact the overall project schedule (yellow), or delayed enough to impact the overall project schedule (red).

Exhibit 97: Biweekly Status Tracker

▲ Project	Last Week's Achievements	Key Activities planned in the next two weeks	Overall health
AWS - Janitorial Schedule	- Distributed results of latest resident survey to residents via email - Completed preparations for launch at Sumner Consolidation on 10/18 - Met with IT to discuss current state of caretaker task tracking solution; learned that solution agreed to in August for late-September delivery will not be available during pilot window - Arranged for filling of vacancies at three sites; some vacancies outstanding due to ongoing HR processes	- Program launch at Sumner Consolidation (10/18) - Site visit with CCOP at Breukelen Houses (week of 10/18; likely on 10/20) - 12-month check-in with Public Policy Lab regarding outcomes of AWS Evaluation engagement - Finalize participation in first resident focus group	Green
Borough Administration Teams	No activity this week	Meeting with HR was moved from 10/13 to 10/20. Meeting is to discuss progress of Manhattan Borough Liaison and next steps for HR business process changes. Considering coordinating a meeting with HR, Procurement and Borough VPs to discuss possible changes.	Green
Closing Work Tickets	Last week (10/6-10/8) LeanFirm attended QA inspections to better understand the process. LeanFirm also held meetings with IT, CCC, and property management to continue to finalize the process map.	Continue with data analytics and plan for follow-up meeting with all stakeholders to present preliminary recommendations.	Green

In addition to the bi-weekly status updates, the PMO maintains a consolidated PMO tracker to track action items, risks and issues, key decisions, and stakeholder contact information identified during the bi-weekly meeting and any offline conversations with project managers. The tracker does not track individual project action items, risks, and decisions, only those items that impact the entire portfolio of projects. In time, the consolidated PMO tracker will be migrated into ServiceNow.

iv.   Cross-project Integration and Risk Management

Integration

Rooted in S&I, the PMO is responsible for ensuring that the overall strategic objectives of the Organizational Plan drive the ongoing implementation of projects, and more importantly, fuel the integration of project teams. The Operating model, for example, relies on integration of Neighborhood Model changes, Work Order Reform, Alternate Work Schedules, and Borough Administration Teams, but as more projects are initiated, the PMO, with its view of the full portfolio, identifies key dependencies that may require project teams to coordinate on changes.

To support this effort, the PMO will develop a master schedule, inclusive of key milestones across all projects. Stored in ServiceNow, the master schedule will provide the PMO with a

view of how dependent projects align via dashboards that show monthly and quarterly calendars of milestones and activities.

Escalation

Each project manager is responsible for managing the process of escalation for their individual project, and the PMO supports that process with its understanding of how to best access the Board, Chair, COO, and Executive Team. Additionally, the PMO can escalate issues that may be affecting multiple projects and facilitate a decision on behalf of multiple project managers. The mechanism for identifying these risks is primarily the bi-weekly status report, though the PMO may also identify risks when validating schedule or project health with project managers. Portfolio risks will be tracked in the consolidated PMO project tracker.

Resource Management

Project managers must access many of the same resources in IT, HR, Procurement, and other administrative departments to execute on their projects, which adds a level risk that must be managed by the PMO. As a mitigation, the PMO must understand resource request processes across all departments to help project managers make requests or, if need be, prioritize the deployment of resources across projects.

Additionally, Operations has limited resources to act as business owner during project development. The PMO must also assist project managers in navigating how to hone requirements and gather institutional knowledge with Operations, as well as how to navigate the decision-making process. This includes providing project managers with organizational charts and walking them through roles and responsibilities relevant to their project, making connections with Operations subject matter experts, providing relevant documentation such as process maps or standard procedures.

KPI Tracking

Beginning in Q1 of 2022, the PMO will begin aggregating individual project KPIs to ensure alignment with the values and objectives of the Transformation Plan, as well as with the NYCHA-wide KPI initiative (Strategy 7.I.3), an enterprise-wide assessment of NYCHA's data, dashboards, and KPIs.

v.   Stakeholder Management and Compliance

With a portfolio view of the Organizational Plan implementation, the PMO is well suited to manage external stakeholders at a high level. While a project manager may be responsible for the specific resident engagement at a project-level, resident engagement activities for the whole Organizational Plan, or for a program of projects, can be facilitated by the PMO. This may include assisting with accessing the Resident Roundtable, creating a public Town Hall series, assisting with survey development or other engagement methodologies, and helping to sequence resident engagement work amidst other non-Transformation Plan engagement.

NYCHA must also engage with community partners such as elected officials, community-based organizations, or agency partners, which the PMO can help to facilitate.

The PMO also facilitates any requirements of NYCHA's Federal stakeholders, namely the Federal Monitor, which may include information requests to specific project managers or meeting requests to discuss project details and cross-project issues and concerns.

vi.   Change Management

Change management is a critical component of project implementation. The PMO oversees change management activities and the standardization of methodologies across projects, which are detailed in the following chapter.

vii.   Resources

The PMO and Change Management Team are staffed primarily by the Senior Deputy Director of Strategy and Operations and three consultants from Guidehouse who are assisting with the stand up of the PMO and developing and implementing the change management activities below. Additional leadership support and oversight is provided by the Executive Vice President of Strategy & Innovation and the Vice President of Strategy and Operations.

2. **Change Management**

    i.   **Introduction/Context**

As stated earlier in the Plan, the core principle of NYCHA's Transformation is local control—empowering frontline employees at the Developments by transferring resources and decision-making from central office and into the hands of those who know the most about our properties. This approach to decentralization is not a new concept at NYCHA, nor is a fundamental restructuring of the Authority. In fact, NYCHA endeavored to fundamentally restructure operations, achieve significant cost savings, and alleviate a budgetary crisis as recently as 2015 through its *NextGeneration ("NextGen") NYCHA* initiative[49].

Similar to the Transformation Plan, *NextGen* set out to resolve the Authority's deepening financial and infrastructure crisis through bold policy and operational changes, with a primary focus on resident input, intergovernmental partnership, and reducing an outsized central office workforce that limited NYCHA's ability to invest in staffing at the developments. The cornerstones of this initiative – achieve short-term financial stability and diversify funding for the long term, operate as an efficient and effective landlord, preserve public and affordable housing, and engage residents and connect them to best-in-class social services – are not far removed from the core values outlined in NYCHA's Transformation Plan.

NYCHA, along with the City of New York, dedicated significant resources to ensure that NextGen leveraged seasoned leaders with the institutional knowledge necessary to make change happen. The City of New York committed to helping NYCHA reassign central office staff to other agencies, and efforts began immediately to identify resources for the ambitious objectives of this Authority-wide initiative. Unfortunately, NextGen did not achieve the outcomes envisioned during a significant, lengthy, and participatory planning process. Derailed by a series of organizational shortfalls and scandals that culminated in the HUD Agreement, the initiative ultimately fell flat.

In an effort to leverage the lessons learned from *NextGen* and in support of NYCHA's efforts to meet the obligations under the HUD Agreement, NYCHA launched a new initiative in 2018: *NYCHA 2.0*.[50] This initiative focuses primarily on shifting 62,000 NYCHA apartments away from a traditional public housing model to Section 8, leveraging special voucher programs like HUD's Rental Assistance Demonstration (RAD) project to raise much needed capital and make necessary improvements over approximately 10 years . *NYCHA 2.0* also seeks to raise additional funding through various means, such as the leasing of air rights. The merits of this initiative are many, coinciding with a series of achievements for the Authority: successfully creating new internal departments for Compliance, Quality Assurance, and Environmental

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[49] https://www1.nyc.gov/assets/nycha/downloads/pdf/nextgen-nycha-web.pdf

[50] https://www1.nyc.gov/assets/nycha/downloads/pdf/NYCHA-2.0-Part1.pdf

Health & Safety, implementing new mold abatement strategies and improved PHAS inspections, and renovating and converting thousands of apartments in Manhattan and Brooklyn through the RAD program. The fact that much of *NYCHA 2.0* is loosely replicated within the *Blueprint for Change* to cover the remainder of NYCHA's housing stock is a testament to these achievements, marking a clear effort to align stated goals with tangible action.

These achievements notwithstanding, the fact remains that the Organizational Plan represents NYCHA's third attempt in less than a decade to fundamentally restructure its position as a landlord and address a cultural, organizational, and financial crisis through creative and bold policy changes. Despite planning efforts that have prioritized resident feedback and engagement, it is no surprise that most employees have experienced significant change fatigue as a result.

One of the critical shortfalls of the *NextGen* era, highlighted earlier in this Plan, was that at the time of the HUD Agreement NYCHA remained highly centralized and siloed despite trumpeting efforts to streamline service delivery and reduce the size of central office operations. This culture of "downtown" vs. "frontline" has persisted to present day and is a testament to the timely nature of NYCHA's transformation, but one question remains: How will NYCHA ensure that transformation is successful and avoids the same fate?

ii.   Organizational Change Management

Effective change management is essential given the high cost when change efforts go wrong, not only financially, but in terms of increased confusion, lost opportunity, wasted resources, diminished morale, and impacts to reputation and external stakeholder perception. Many change initiatives are unsuccessful due to an insufficient focus on the impact the change has on key stakeholders or they experience short-term success but ultimately fail due to a lack of sustained commitment by the organization.

A one-size fits all organizational change management approach, strategy, and framework will not be effective in enabling sustainable change at NYCHA. To ensure that the Organizational Plan is successful, NYCHA recognizes that its change management efforts must focus on optimizing engagement and acceptance from 11,000 employees across a range of departments, located in disparate locations, in different roles, with different tenures and experiences, and employees who are residents, where this strategy takes on a different meaning. NYCHA must combine change management knowledge, workplace transformation experience, and an appreciation for NYCHA's culture.

To address these concerns and facilitate positive attitudes and culture around change, NYCHA has committed significant resources to change management, including procurement of a contractor with extensive Organization Change Management (OCM) experience and expertise to help facilitate change efforts. Since being procured in 2020, the contractor, Guidehouse, has

worked closely with every department at the Authority to develop an overarching approach and map a path to achieve specific goals and outcomes for NYCHA's Transformation. The following chapter describes these efforts in detail.

iii.   Change Management Framework

The Organizational Plan lays out NYCHA's change management approach in the following four phases:

1. *Understanding change readiness and the current state* – Foster engagement and develop a deeper understanding of where NYCHA has been, where it is, and where it wants to go.
2. *Align on future state* – Define the ideal future state for NYCHA and design the change management strategy and plan
3. *Executing on the change* – Carry out change management activities and update strategy as needed based on feedback and lessons learned.
4. *Reinforcing the change* – Maintain and strengthen change and the desired behaviors across NYCHA by monitoring KPIs, evaluating change management approaches and studying lessons learned.

The outlined phases represent NYCHA's enterprise-level change management framework. Given the scope and scale of the Transformation Plan, we will be conducting change management across three dimensions:

- Department-based
- Project-based and
- Role-based.

These dimensions provide the appropriate scope of stakeholder analysis to focus on for any given phase of the overall approach.

Exhibit 98: Stakeholder Dimensions

Department
• Perform high-level assessment of change impact by department
• Department leadership can help support and guide change
• Department structure provides a constant throughout change

Project
• Perform deeper dive into change impact by project
• Projects often overlap departments and affect them in different ways
• Projects will impact departments and roles at different times

Role
• Review impact to roles across projects and departments
• Break down changes to the most granular level for common roles across NYCHA

Understanding Change Readiness and the Current State

During the first few months of Transformation Plan development and roll-out, change management efforts focused on *understanding change readiness and the current state*. This phase lays the groundwork for change management activities to follow. These efforts included conducting the Transform NYCHA Survey, stakeholder interviews, a robust public comment period prior to the release of the Transformation Plan, resident townhalls and employee brown bag sessions. Conducted at the enterprise and department levels, our team utilized these findings to understand overall organizational change readiness, department characteristics, and stakeholder engagement strategies. Ultimately, these activities established a baseline for change readiness against which we will measure the effectiveness of our approaches. They also helped us identify key projects that require more targeted change management support due to high change impact and lower change readiness.

Central to this phase was an all-staff "Transform NYCHA Survey" conducted in January 2021 to assess change readiness across capacity, commitment, and culture dimensions. NYCHA staff rated 22 positive statements about NYCHA's change readiness on a scale of 1-5. Nearly 40% of NYCHA's workforce completed the survey with 9 departments achieving over 90% response rate. The high response rate signifies that new and existing communications channels are effective in encouraging participation. For example, nearly everyone who attended the all-staff townhall completed the survey.

2021 Transform NYCHA Survey Key Takeaways

- ***Development-based staff expressed less familiarity with the Plan:*** *23% of development-based staff have not received communication to help them understand the Transformation Plan compared to just 10% of Central Office staff. Relatedly, they are also less supportive of the Plan*
- ***Staff perceive that the leadership is committed to the Plan:*** *Very few people disagree that NYCHA leadership is committed to the Transformation Plan (< 8% for direct supervisor, departmental leadership, GM, and Chair).*
- ***Staff have not yet made up their mind about the impact of the Plan:*** *Over 40% of all respondents chose "Neutral" for questions about their own support of the Plan, their colleagues' support, and the Plan's overall impact on NYCHA employees.*
- ***Executive respondents held a more critical view of NYCHA's culture:*** *Only 34% of executive respondents agreed that there is a culture of customer service at NYCHA compared to 57% NYCHA-wide. Similarly, the percentage of "Agree" responses for executives were 14% lower on issues like resident engagement and D&I.*

Location   *Leadership*   *Moveable*   *View on*

To arrive at these results, the change management team analyzed available data to assess change readiness, developing a Change Management Decision Matrix and department-specific profiles as outputs. This allowed NYCHA to estimate change impact at the Department level by comparing the number of Transformation strategies each department will participate in and validating their level of involvement with department leaders through a series of interviews.

Exhibit 100: Change Management Decision Matrix

The following department specific change management recommendations are typical of the findings identified during this process:

Operational Analysis & Contract Management (OACM) - medium low readiness, medium high impact, medium Senior Leadership Transformation Plan involvement

Exhibit 101: Next Steps in Change Management—OACM

Next Steps in Change Management

For Leadership:
• As needed, help communicate more broadly about the re-org and its implication in the context of the Plan
• Solicit feedback on what resources are useful to help them relay the Transformation Plan information
• **For Employees:**
• Meet with Change Ambassadors to understand low response rate and engagement in Transformation Plan related events and Transform NYCHA survey
• Utilize more concentrated communications such as Brown Bag sessions, text messages, muster/regular meeting announcements. Once it's safe to do so, plan in-person outreach sessions
Change Management Activities:
• Prioritize meeting with OACM leaders along with Support Services leaders to share survey results and discuss next steps to increase buy-in
• Conduct more in-depth analysis of survey results to identify any notable variations within sub-units
• Conduct a change readiness interview with department leaders to understand experience with recent change
• Prioritize change impact assessment for strategies affecting department
• Work with leaders to develop "Success Stories" to highlight accomplishments and support for the Neighborhood Model and other accompanying strategies

Property Management – low readiness, high impact, medium Senior Leadership Transformation Plan involvement

Next Steps in Change Management

For Leadership:
- Once hired, hold focus groups with Neighborhood Administrators to establish communication channels and brainstorm how to reach staff with various technology access levels
- Solicit feedback on what resources are useful to help them relay the Transformation Plan information to their staff across all levels of the departmental hierarchy

For Employees:
- Utilize more concentrated communications such as Brown Bag sessions, text messages, muster/regular meeting announcements. Once it's safe to do so, plan in-person outreach sessions
- Actively recruit more Change Ambassadors from developments without any representation and track participation and engagement levels
- Hold interviews and focus groups with smaller groups of employees by title, particularly managerial/supervisory

Change Management Activities:
- Prioritize meeting with the 4 VPs to share survey results and next steps to gain buy-in
- Further analyze change readiness results by Borough and by Neighborhood to better customize CM approach
- Prioritize change impact assessment for strategies affecting department
- Review training attendance and experience to help guide training activities
- "Success Stories" to highlight accomplishments and support for new strategies and generate excitement

Support Services - low readiness, medium impact, low Senior Leadership Transformation Plan involvement

Exhibit 103: Next Steps in Change Management—Support Services

Next Steps in Change Management

For Leadership:
- Solicit feedback on what resources are useful to help them relay the Transformation Plan information to their staff. Understand existing communication channels and how to reach floater staff

For Employees:
- Utilize more concentrated communications such as Brown Bag sessions, text messages, muster/regular meeting announcements
- Consider recruiting more Change Ambassadors
- Hold interviews and focus groups with smaller groups of employees by title, particularly managerial/supervisory

Change Management Activities:
- Prioritize meeting with leaders on survey results and next steps to gain buy-in along with OACM senior leaders
- Prioritize meeting with the new VP once hired to form partnership
- Conduct more in-depth analysis of survey results to identify any notable variations within sub-units
- Include directors on current Transformation Plan leadership updates
- Prioritize change impact assessment for strategies affecting department
- Review training attendance and experience to help guide training activities
- "Success Stories" to highlight accomplishments and support for new strategies and generate excitement

Procurement – medium low readiness, high impact, high Senior Leadership Transformation Plan involvement

Exhibit 104: Next Steps in Change Management—Procurement

Next Steps in Change Management

For Leadership:
- Prioritize meeting with department leaders to share survey results and discuss next steps to increase buy-in
- Hold staff townhalls with new CPO to provide updates on proposed changes and future implementation
- As needed, help communicate more broadly about the re-org and its implication in the context of the Plan
- Solicit feedback on what resources are useful to help them relay the Transformation Plan information

For Employees:
- Continue encouraging staff to actively participate in Transformation Plan activities and opportunities
- Meet with Change Ambassadors to understand low response rate and engagement in Transformation Plan related events and Transform NYCHA survey
- Hold focus groups and smaller role-specific or sub-unit specific meetings to discuss challenges and upcoming changes

Change Management Activities:
- Conduct a change readiness interview with department leaders to understand experience with recent change
- Conduct more in-depth analysis of survey results to identify any notable variations within sub-units
- Prioritize change impact assessment for strategies affecting department
- Work with leaders to develop "Success Stories" to highlight accomplishments

Department of Administration - medium readiness, high impact, high Senior Leadership Transformation Plan involvement

Exhibit 105: Next Steps in Change Management--Administration

Next Steps in Change Management

For Leadership:
- Congratulate staff on their high rate of survey responses and relatively positive responses
- Prioritize meeting with department leaders to share survey results, discuss next steps to increase buy-in, and address any concerns about the Transformation Plan

For Employees:
- Continue encouraging staff to actively participate in Transformation Plan activities and opportunities
- Hold focus groups and smaller role-specific or sub-unit specific meetings to discuss challenges and upcoming changes

Change Management Activities:
- Conduct more in-dept analysis of survey results to identify any notable variations within sub-units
- Conduct change impact assessment of various Admin staff role to better understand people side of change, particularly HR support staff who will be affected by HCMS and Borough Admin teams
- Create interactive engagement opportunities on new strategies to demonstrate value in the weeks prior to launch of a new strategy
- Work with leaders to develop "Success Stories" to highlight accomplishments

iv.   Lessons Learned: Cultivating NYCHA-wide communications and engagement channels

In addition to the change readiness activities, we learned how communications should be developed, reviewed, and disseminated from our experience rolling out far-reaching initiatives like the Transformation Plan public comment period and the launch of the Transformation Plan. The outputs of these lessons learned include:

- Designed a NYCHA-specific communications collateral review process with input from various departments (e.g., Employee Engagement, Resident Engagement, Intergovernmental Affairs);
- Developed a general sequence for distributing critical information that considers key stakeholder groups (e.g., impacted employees or all employees, resident leaders or all residents); and
- Solicited feedback on employee-facing communications from Change Ambassadors and created a process for incorporating employee feedback in the development of key communications materials.

The change management team also cultivated a number of specific channels through which information about Organizational Plan projects can be shared:

- The **Transformation Plan webpage on NYCHA Connect** serves as a repository of up-to-date resources including townhall recordings, FAQs, survey results, and project-specific information;
- The **Change Network,** comprised of NYCHA leaders and 250+ Change Ambassadors, provides a two-way feedback channel for Organizational Plan and various other strategic initiatives; and
- Enhanced employee townhalls through customizing information by department groupings as needed, making meeting recordings readily available, and using polling features to gain live feedback.

Spotlight on NYCHA Change Network

The Change Network is a cross-functional group of stakeholders organized to assist in the implementation of change initiatives. Starting in December 2020, over 250 staff have been meeting monthly to learn about the Transformation Plan and other strategic initiatives, diagnosing pain points, concerns, and issues association with Transformation projects, and promoting change within their spheres of influence. To date, Change Ambassadors have:

- Established themselves as a source of up-to-date information on Transformation Plan
- Served as focus groups and subject matter experts for various Transformation Plan projects
- Helped share opportunities like public comment and Transform NYCHA Survey
- Provided feedback on employee-facing communications and customer service training
- Over 100 Change Ambassadors received the Exceptional Customer Service Training

Envisioned as an enduring structure that can be leveraged for future initiatives, Change Ambassadors represent the proactive, dedicated, and mission-aligned NYCHA employees striving to foster an employee-empowered culture.

v. Project-based Change Management Framework

As Transformation strategies evolve into specific projects, the change management team developed a project-based change management framework to develop a replicable process through customizable change management support is provided to support implementation and rollout.

The Transformation Plan contains a litany of strategies with vastly different scopes and implementation timeframes. Some are discrete functional updates affecting a limited number of business units while others are ambitious operating model changes impacting a majority of NYCHA's workforce.

Project-based change management framework

Lifecycle:

Understand: Define scope and objectives	Assess: Analyze impact of the project	Plan: Create change management plan	Execute: Conduct change management	Evaluate: Monitor feedback and iterate

Activities:

• Review project plan • Review implementation plan • Draft messaging documents • Participate in project workstreams	• Conduct change impact interviews and build out impact tool • Develop stakeholder engagement strategy • Analyze project impact against other projects and dependencies	• Develop communications plan • Provide collateral templates • Develop training plan • Develop change management roadmap	• Finalize change management roadmap • Support targeted engagement activities • Sequence activities to organize across projects	• Analyze participation and engagement data • Monitor feedback channels including the Change Network • Track progress using annual Transform survey

Outcomes:

- Increased transparency
- Enhanced employee experience and buy-in through Transformation Plan successes
- Improved ongoing change efforts
- Repeatable approach that NYCHA can implement in the future

This framework works in parallel to the enterprise framework phases *Align on Future State, Executing on the Change, and Reinforcing the Change*. Given the scale of NYCHA, the project-based model helps us further breakdown the steps needed to realize the vision of a specific project. By understanding the goals and objectives of each project, the change impact by roles, gaps in knowledge, skills, and behaviors, and communications needs, the change management team can develop customized plans.

Perhaps most importantly, project-based data can be aggregated by staff role to help project owners understand the overall change impact on the target stakeholder group, streamline communications and engagement efforts, and ultimately, make the employee experience more seamless. For example, the "Assess" phase of the Work Order Reform project revealed changes to Neighborhood Administrator responsibilities that will be invaluable to ongoing efforts to ensure local control and autonomy within NYCHA's new operating model.

The Change Management team will provide plans, templates, and a core package of communications collateral templates to other projects to support implementation. The team will train project owners on the tools, hold brainstorming sessions to identify appropriate change management activities and communications to deploy, and help execute these tools at the project-level. Given the iterative nature of Transformation Plan implementation, the team will continuously improve upon this framework and distill learning for NYCHA to ultimately deliver replicable processes and tools for future change initiatives. The graphic below illustrates the five components of the change management plan.

Change management plan components

Change Impact Tool

Identifies what roles and departments may be impacted by comparing current and future states

Identifies potential risks that may prevent successful project implementation

Stakeholder Engagement Strategy

Helps project managers understand how best to interact with impacted stakeholders

Provides a list of engagement best practices to deploy by stakeholder type

Communications Plan

Documents a list of communications collaterals to develop to inform, and garner buy-in from stakeholders

Training Plan

Provides list of recommended trainings to enable stakeholders to succeed in their updated roles

Change Management Roadmap

After validating the previous plan components with the project team, the roadmap further defines change management milestones and action items to achieve those milestones

Process

To facilitate this framework, the change management team will engage project managers in an iterative process across a series of touchpoints to validate findings and finalize each component of the change management plan.
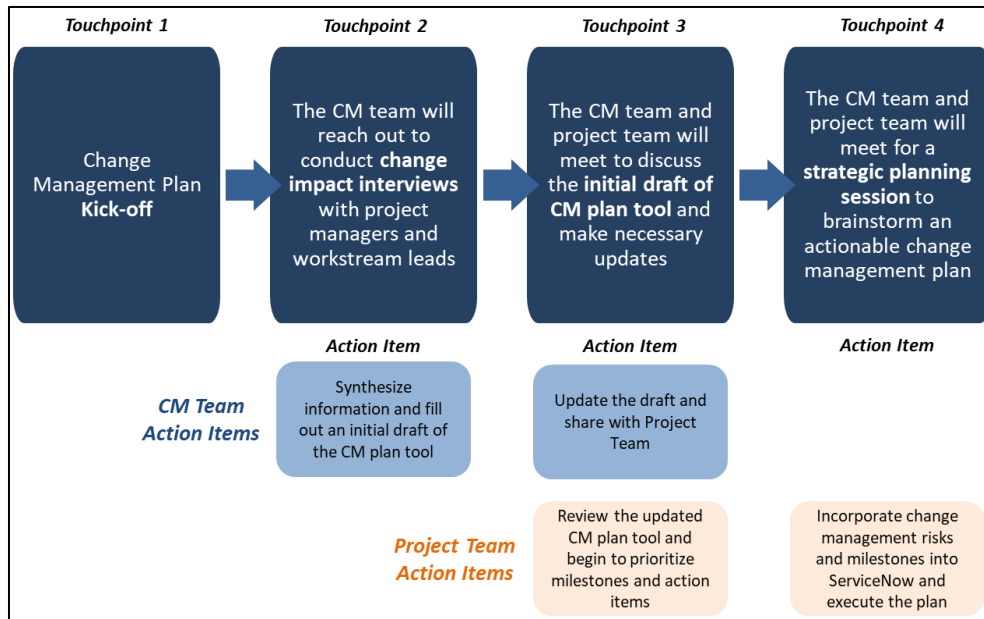
In the sections that follow, we will describe the stages of the Project-Based Change Management framework and the associated components in more detail.

◀ *Understand*

In the *understand* phase of the change management lifecycle, the team set out to define the scope and objectives for the change management plan. To do this, a thorough understanding of the organization and the Transformation Plan was established. The change management team took a detailed approach. First, the team outlined the goals and challenges of the larger organization, then zoomed in to understand the department, and role-based goals and challenges by outlining the priority projects, their goals, and key stakeholders.

At the organization level, the team conducted a thorough review of key documents and artifacts. These included NYCHA's Blueprint for Change, the 2021 Transformation Plan, and NYCHA's organizational structure. At the project-level, the change management team will review project charters, attend key project team meetings, and review accompanying project artifacts, like meeting minutes, presentations, and key milestones and objectives for the project. Then, the team will identify key people driving the projects' implementation, along with their project-level roles and organization-level roles. These key stakeholders are usually project managers,

workstream leads, or project-level subject matter experts. The team will then interview these key stakeholders to collect further data. Data collected from interviews and document review will be analyzed in the *assess* phase of the change management lifecycle.

◄ *Assess*

Understand: Define scope and objectives	Assess: Analyze impact of the project	Plan: Create change management plan	Execute: Conduct change management	Evaluate: Monitor feedback and iterate
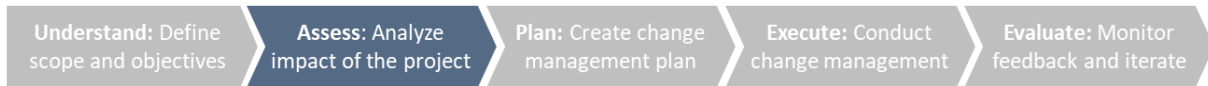
In the *assess* phase of the change management lifecycle, the team analyzes the data collected during the *understand* phase, using the Change Impact Tool. The Change Impact Tool was created to help analyze role-based impact due to projects' implementation. This tool identifies stakeholders that are key to project success and establishes how they will be affected by the project's implementation. It also provides each stakeholder with an overall "impact rating," which feeds directly into the Stakeholder Engagement Plan in the *planning* phase. Finally, it identifies potential risks to change management objectives that may arise for each stakeholder during project rollout. Risks identified as part of this process will be tracked throughout the change management process, and will carry through all change management efforts to guide how each tool is developed. The inputs for this tool include the following:

- **Role:** Stakeholders who are key to project implementation success
- **Current state:** Identifies current state roles and responsibilities
- **Target State:** Identifies what the stakeholder's role will look like after project implementation, broken down into four categories
    - **Staffing:** Identifies changes to staffing levels or civil service titles
    - **Structure:** Identifies changes to organizational structure that will impact the stakeholder
    - **Process:** Identifies changes in how stakeholders perform their jobs
    - **Skills:** Identifies changes to daily skills that the stakeholder will need to succeed in their position
- **Overall Impact Rating:** Each stakeholder group will be given an impact rating (high or low) dependent on how impacted they are by the change. If two or more of the fields in the Target State portion are filled, the stakeholder will be rated as High impact. This impact rating flows directly into the Stakeholder Engagement Plan to help measure the necessary level of engagement
- **Potential Risks:** Identifies risks that could hinder or delay facilitating target state changes.

Future State
Indicates how each role will operate as a result of the project

Impact Rating
High: 2 or more preceding columns are filled
Low: Less than 2 preceding columns are filled

Need for Support Departments
Highlights support department needs to implement future state changes

Role
Impacted stakeholders, often identified by staff title

1. Role-based Change Impact Assessment

[Enter Project Name]

Role	Current state	Future State				Impact Rating	Need for Support Department(s)	Potential Risks
		Staffing	Structure	Process	Skills			
Who is impacted here?	What is the current state of this role that will be changed because of the project?	Will the role require changes to staffing or changes to civil service titles?	Will the organizational structure or reporting structure change?	Will there be changes to how this role performs their job?	Will there be skills necessary to perform the job change?	Is the impact to the role/title high or low?	What support departments are needed to support these changes?	What impediments could arise and what dependencies exist regarding role-based change management?

Current State
Stakeholders' current responsibilities, reporting structure, and required skills

Future State Change Impact Category
Staffing – Indicates changes to staffing levels or civil service titles
Structure – Indicates changes to organizational or reporting structures
Process – Indicates changes to how the role performs their job
Skills – Indicates changes to skills necessary to perform job

Potential Risks
Flags possible impediments and dependencies regarding role-based change management

The Change Impact Tool helps both the change management team and project managers understand risks associated with key changes by role. Further, it identifies the impact rating of each key stakeholder, providing insight into the future stakeholder needs. This is then elaborated upon in the stakeholder engagement plan.

‹ *Plan*

Understand: Define scope and objectives ⟩ **Assess**: Analyze impact of the project ⟩ **Plan:** Create change management plan ⟩ **Execute:** Conduct change management ⟩ **Evaluate:** Monitor feedback and iterate

As part of the *planning* phase, the change management team has created three tools that comprise the Change Management Plan for each project: the Stakeholder Engagement Strategy, the Communications Plan, and the Training Plan. These tools help project managers understand the needs of their stakeholders and prepare them for success. The Change Impact Tool provides the background necessary to create these components of the Change Management Plan.

These tools are interminably connected. The Change Impact Tool feeds directly into the Stakeholder Engagement Strategy, which in turn directly influences the Communications Plan. The "impact rating" from the Change Impact Tool feeds into the Stakeholder Engagement Strategy, which utilizes the level of influence rating to develop an engagement category. Each stakeholder is designated as a Player, Context-Setter, Operator, or Crowd. This engagement category provides project managers with a set of communications best practices that are elaborated on and tailored to the project in the Communications Plan.

In addition to directly influencing the Stakeholder Engagement Strategy, the Change Impact Tool provides insights into the knowledge, skills, and behaviors that each Stakeholder needs

for successful change. The Training plan helps project managers implement training resources to ensure stakeholders are prepared for change and identified gaps in knowledge, skills, and behaviors are mitigated.
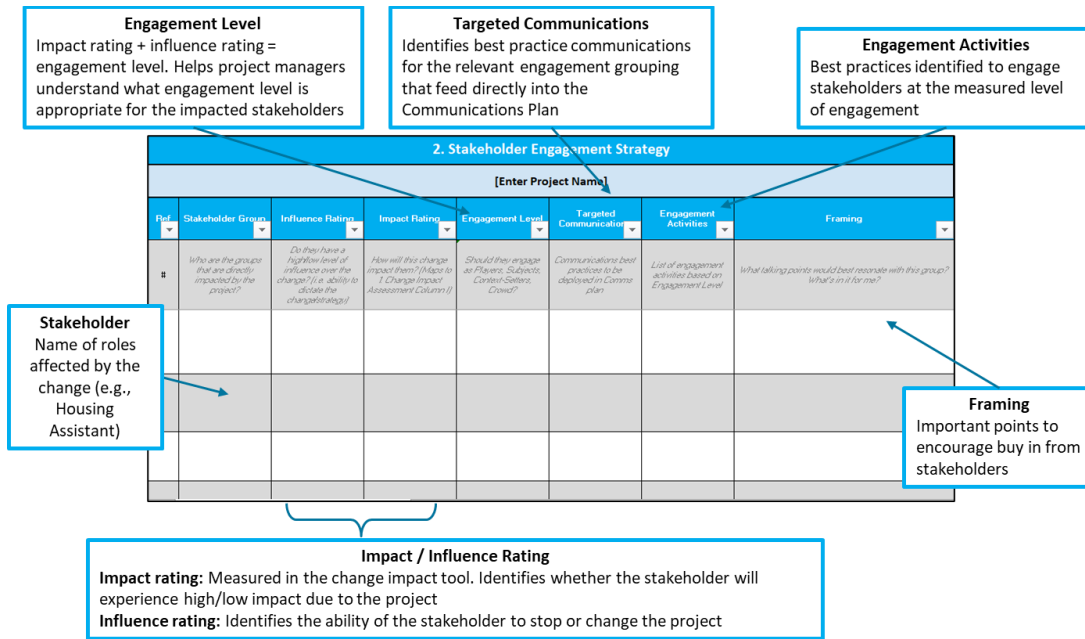
In sum, the Change Management Plan provides project managers with an assessment of impacted stakeholders and recommendations for encouraging effective and strategic implementation of the project. The components of the Change Management Plan are elaborated on below.

Stakeholder Engagement Strategy

Following the Change Impact assessment, each stakeholder is designated with an engagement level in the Stakeholder Engagement Strategy. The engagement level is formulated using a level of impact rating, measured in the Change Impact Tool, and a level of influence rating. The Stakeholder Engagement Plan accounts for:

- **Stakeholder group:** Impacted stakeholders as identified in the Change Impact Tool
- **Level of Influence:** Measures the capacity of a stakeholder to influence, delay, or change a project's implementation (high/low)
- **Level of Impact:** From the Change Impact Tool. Measures how the project's implementation will impact the stakeholder (high/low)
- **Level of Engagement:** Group's stakeholders into four levels depending on the level of influence and impact ratings (crowd, operators, context-setters, players)
- **Communication Best Practices:** Provides a list of recommended best practices to communicate project implementation based on engagement level
- **Engagement Best Practices:** Identifies general best practices to engage the stakeholders based on engagement level
- **Framing:** Notes key points to show the stakeholder's benefits of the project's implementation

Exhibit 111: Stakeholder Engagement Plan Components

Engagement Level
Impact rating + influence rating = engagement level. Helps project managers understand what engagement level is appropriate for the impacted stakeholders

Targeted Communications
Identifies best practice communications for the relevant engagement grouping that feed directly into the Communications Plan

Engagement Activities
Best practices identified to engage stakeholders at the measured level of engagement

2. Stakeholder Engagement Strategy

[Enter Project Name]

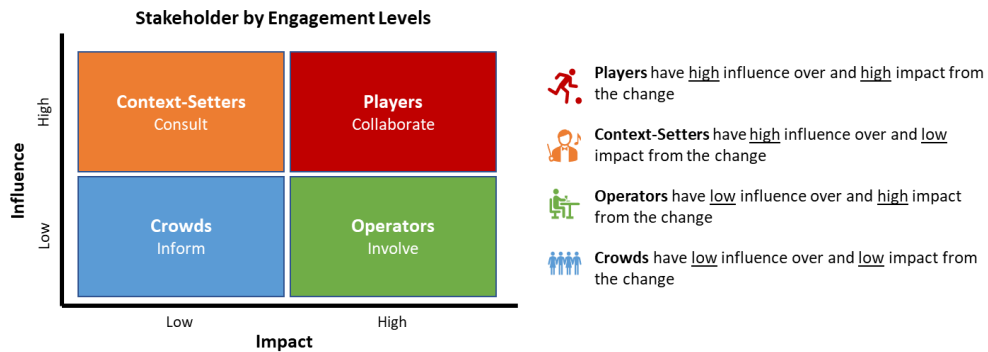| Ref	Stakeholder Group	Influence Rating	Impact Rating	Engagement Level	Targeted Communications	Engagement Activities	Framing
#	Who are the groups that are directly impacted by the project?	Do they have a high/low level of influence over the change? (i.e. ability to dictate the change strategy)	How will this change impact them? (Maps to 1. Change Impact Assessment Column I)	Should they engage as Players, Subjects, Context-Setters, Crowd?	Communications best practices to be deployed in Comms plan	List of engagement activities based on Engagement Level	What talking points would best resonate with this group? What's in it for me?

Stakeholder
Name of roles affected by the change (e.g., Housing Assistant)

Framing
Important points to encourage buy in from stakeholders

Impact / Influence Rating
Impact rating: Measured in the change impact tool. Identifies whether the stakeholder will experience high/low impact due to the project
Influence rating: Identifies the ability of the stakeholder to stop or change the project

Stakeholder engagement level is identified according to the following formula:

Exhibit 112: Engagement Level Formula

Impact Rating
Measures if the stakeholder will experience high or low impact from the project implementation. Data from the Change Impact Tool.

+

Influence Rating
Measures how much influence the stakeholder has over the project implementation and decision-making. Identified from interviews, document review, etc.

=

Engagement Level
Groups stakeholders into four engagement levels. Helps project managers understand how best to engage with each type of stakeholder.

Once the level of engagement is calculated, stakeholders are grouped into four categories:

Exhibit 113: Stakeholder Engagement Categorization Matrix

Stakeholder by Engagement Levels

Influence	Impact: Low	Impact: High
High	Context-Setters Consult	Players Collaborate
Low	Crowds Inform	Operators Involve

Players have <u>high</u> influence over and <u>high</u> impact from the change

Context-Setters have <u>high</u> influence over and <u>low</u> impact from the change

Operators have <u>low</u> influence over and <u>high</u> impact from the change

Crowds have <u>low</u> influence over and <u>low</u> impact from the change

Engagement categories provide a roadmap for the Communications Plan. It also links to a list of communication and engagement best practices to help project managers determine how, when, and at what cadence to communicate with impacted stakeholders. Stakeholder groups that are impacted by multiple, interdependent projects can also be identified so that cross-project communications can be coordinated.

Appendix A. Recommended Change Management Activities				
Engagement Level	**Cadence**	**Engagement Strategy**	**Communications**	**Engagement Activities**
Players (High influence, High impact)	Daily, weekly	**Direct and Personal**: It's important that players feel informed of, connected to, and excited about the change	Regular Email Communications Briefing Deck Briefing Talking Points Role-Based Fact Sheets	Invite as project team member Briefing Document review as SMEs Workshops Focus Groups In-person Roadshow Progress Update Activities
Context - Setters (High influence, Low impact)	Monthly	**Informative and Targeted:** It's important that contact-setters are informed of the change and understand the benefits	Press Release InterGov Newsletter Success Updates	Site Visits Briefings
Operators (Low influence, high impact)	Daily, Weekly	**Direct and Informative:** It's important that subjects clearly understand how the change will impact them, what they will gain out of it, and how they will receive support through its implementation	Targeted Email Campaign Project FAQs Reference Cards Communications Project level Flyers Supervisor Talking Points Role-Based Fact Sheets	Impacted Staff Brown bags Appreciation Week Update at Standing Meetings Project Manager / Business Manager Office Hours Progress Update Activities
Crowd (Low influence, Low impact)	Monthly or less	**Informative:** It's important the crowd is informed to prevent the rumor mill from spreading	Newsletters All Staff Email Blast NYCHA Connect Webpage Updates to TP FAQs	All Staff Town Hall

The recommended engagement activities are split into two parts: communications best practices and engagement best practices. Targeted activities ensure stakeholders are getting the right type of engagement at the right time. Communications best practices feed directly into the Communications Plan where generalized best practices are tailored to the stakeholder, project, and NYCHA processes. For example, if a stakeholder is grouped as an "Operator," (high impact, low influence) they will benefit from direct and informative feedback on a regular basis. It is also important for this type of stakeholder to understand what's in it for them. Some communication best practices for engaging this stakeholder include a role-based fact sheet, targeted email, and Frequently Asked Questions (FAQ) documents. These will directly populate the Communications Plan, where they will be further elaborated and tailored to the project. Further, engagement strategies will come to fruition in the Roadmap, where change management milestones are created to implement the communications plan, training plan, and engagement strategies identified in the tool.

Communications Plan

The stakeholder engagement category identifies the type and frequency of communication for the stakeholder group generally. The Communications Plan builds upon that foundation to tailor the communication needs to NYCHA-specific communications channels, processes, and templates. Inputs for the Communications Plan include:

- **Collateral Type:** Identifies what format the communication will take on (i.e., newsletter, email)
- **Topic:** Identifies what the communication will be about
- **Stakeholder:** Identifies which stakeholder is receiving the communication
- **Delivery Channel:** Identifies how best to reach the stakeholder. For example, email versus printed materials
- **Person(s) to Deliver Message:** Identifies who should deliver the message (i.e.., COO, project manager, property manager)
- **Review Process:** Notes who should review the collateral or approve the channel before it is released
- **Review by Date:** Date by which the collateral should be reviewed
- **Distribution Date:** Identifies what date the communications should be released to ensure maximum change management impact
- **Frequency:** Identifies how often the message should be delivered (e.g., weekly, monthly, annually)
- **Collateral Owner:** Identifies who is responsible for creating the deliverable and moving it through the proper review process

The Communications Plan provides project managers with a roadmap to plan stakeholders' communications needs for project implementation. Delivery of the Communications Plan includes a core communications collateral template package that project managers and project teams can use to craft and tailor their collateral for distribution. These templates enable project managers to deploy communications in a seamless, formulaic manner. By utilizing the same collateral templates across projects, NYCHA will deliver a unified brand across all Transformation project communications.

The Communications Plan ensures project managers understand their stakeholders' communications needs to help plan for implementation and rollout of their project. The communications plan is directly populated from the communications best practices identified by engagement level in the Stakeholder Engagement Plan. Using the aforementioned "Operator" as an example, this stakeholder group may benefit from a role-based fact sheet, targeted email, and FAQ document. As part of the Communications Plan, these collaterals would be tailored to the stakeholder group and project. In this instance, it would be recommended that a role-based fact sheet be created by the project team, approved by the project manager, and then approved by the Department of Communications before it is released to the relevant stakeholder, a process noted in the Review Process column.

The Communications Plan also helps identify the best way to distribute collateral. For example, it may be better for a role-based fact sheet to be printed and distributed at standing meetings if the target stakeholder group does not have ready access to email. This distribution channel would be noted in the Communications Plan. Additionally, the Communications Plan helps project managers plan for when they want collateral to be released by sequencing review dates and distribution dates.

Exhibit 115: Communications Plan Components
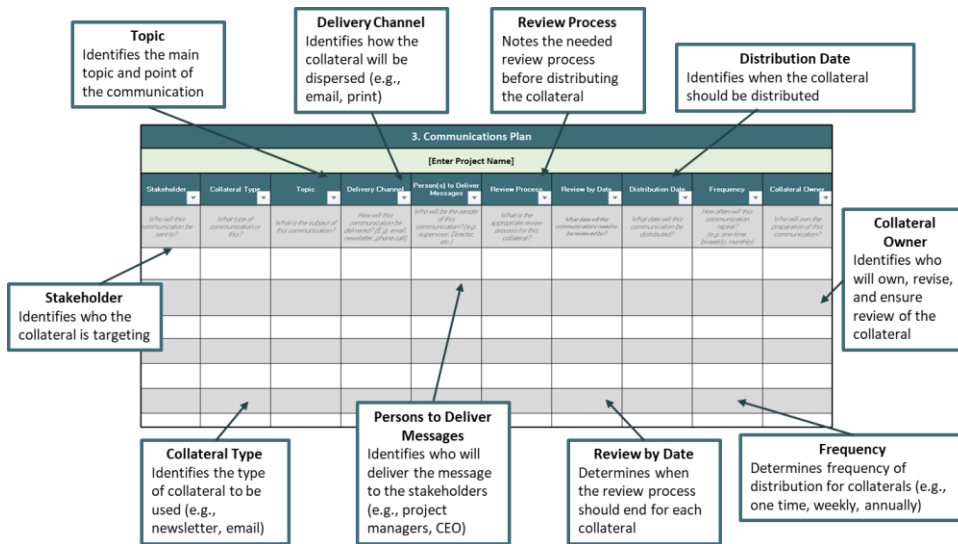
Training Plan

In planning for training needs, the training plan identifies gaps in knowledge, skills, and behaviors ("KSB") that stakeholders may need to mitigate for their updated job roles and responsibilities. The training plan then recommends trainings to fill these gaps, which are mapped to current resources at NYCHA or encouraged for development. The change impact tool provides background information for the training plan by carefully documenting how stakeholders' jobs are going to change and what potential risks are involved with that. The training plan seeks to support these affected stakeholders with all necessary support.

- **Stakeholder Group:** Identifies the impacted stakeholder group
- **Capabilities Needed:** Determines if the capability gap is related to knowledge, skills, or behaviors
- **Topic:** Identifies the topic of this training to fill any potential KSB gaps
- **Recommended Training:** Identifies what type of training would be useful to fill these gaps. These could be in person trainings, job-aids, online modules, etc.
- **New or Existing:** Maps whether this training exists in current NYCHA training offerings or if it needs to be developed
- **Prioritization:** Determines the prioritization for development of this collateral (high/medium/low)
- **Owner:** Identifies who should own, develop, and deploy training collateral

Exhibit 116: Training Plan Components
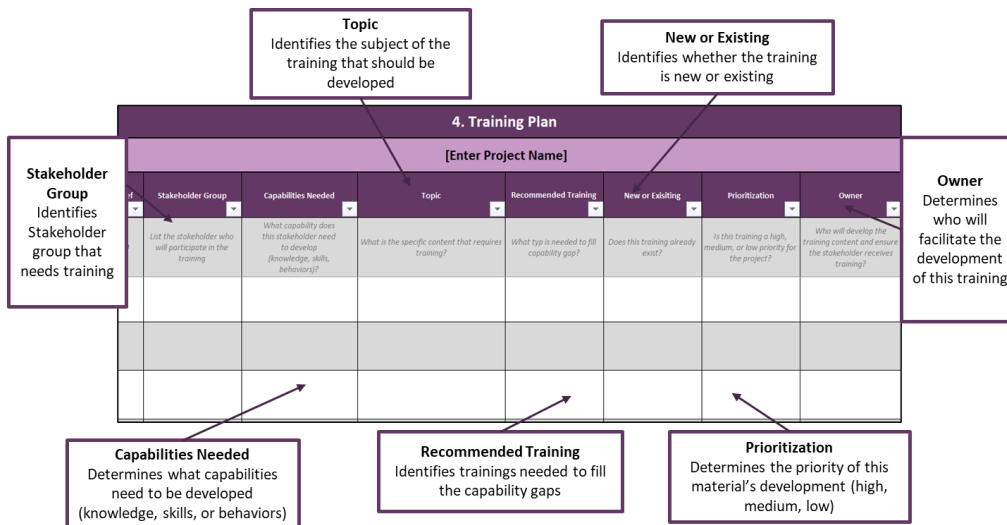
Knowledge, Skills, Behaviors Framework

The training plan defines capabilities needed by a "knowledge, skills, or behaviors" framework. It is important to define the components of this framework to ensure project managers understand what the training plan is trying to accomplish.
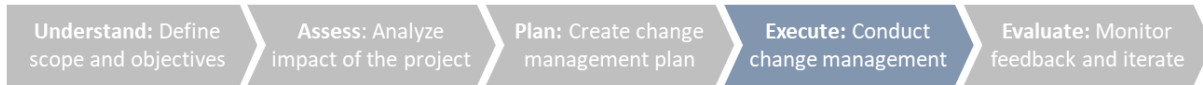
- **Knowledge:** The employee has the technical "know-how" to understand and carry out duties assigned to them. This is informed in the process column of the Change Impact Tool. Process changes require the stakeholder to develop new knowledge
- **Skills:** The employee has the practical "know-how" to carry out their duties. This is informed in the skills column of the Change Impact Tool. Changes to technical aspects of duties, requires stakeholders to learn new skills
- **Behaviors:** The employee has the mentality that is required for the duties they conduct. This is informed in the behavior column of the Change Impact Tool. Changes to duties may mean stakeholders need to interact with different types of people in their impacted role, meaning their duties require new behaviors

Developing the training plan around the KSB model ensures that stakeholders have a comprehensive understanding of their updated job roles, responsibilities, and feel confident that they can carry out their role. When stakeholders are prepared for their jobs, it encourages smoother transition for change and enhances buy-in for new initiatives at NYCHA.

Ultimately, the recommendations in the Training Plan are not exclusively traditional in-person training recommendations. Instead, knowledge, skills, and behavior gaps can be mitigated through alternate educational materials such as job-aids or pre-recorded videos. In addition to recommending trainings and education materials, the Change Management team will map

recommendations to existing materials at NYCHA, where possible. These will then be woven into the change management roadmap with the intention of filling KSB gaps prior to executing the change.

◀ *Execute*

Understand: Define scope and objectives	Assess: Analyze impact of the project	Plan: Create change management plan	Execute: Conduct change management	Evaluate: Monitor feedback and iterate

Change Management Roadmap

After validating the previous plan components, the change management team will work collaboratively with the project team to develop the change management roadmap. This roadmap further defines change management milestones and action items to achieve those milestones, while considering the lessons learned and change management risks identified earlier in the process. The change management roadmap is a tool that project managers can utilize to implement change initiatives set forth in the stakeholder engagement strategy, communications plan, and training plan. Although each change management milestone or action item may not be directly relevant to project implementation, key change management milestones that are critical to project success, such as trainings for key staff impacted by the change, may be incorporated into the overall project plan and tracked by NYCHA's Transformation Program Management Office. Inputs for this tool include the following:

- Change Management Milestone: Identifies change management goals to implement change initiatives
- Action Item: Breaks each milestone into actionable steps to successfully reach change management goals
- Owner: Identifies who is responsible for ensuring the action item is started, implemented, completed, and tracked
- Status: Tracks the status of the milestone or action item
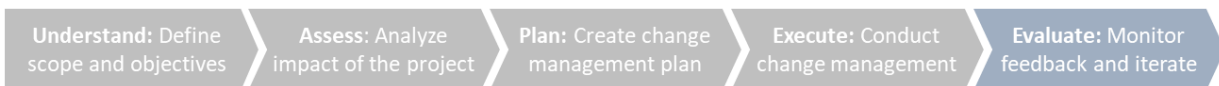- Timeline Tracking: Identifies target and actual start and end dates for each milestone or action item

Exhibit 117: Change Management Roadmap
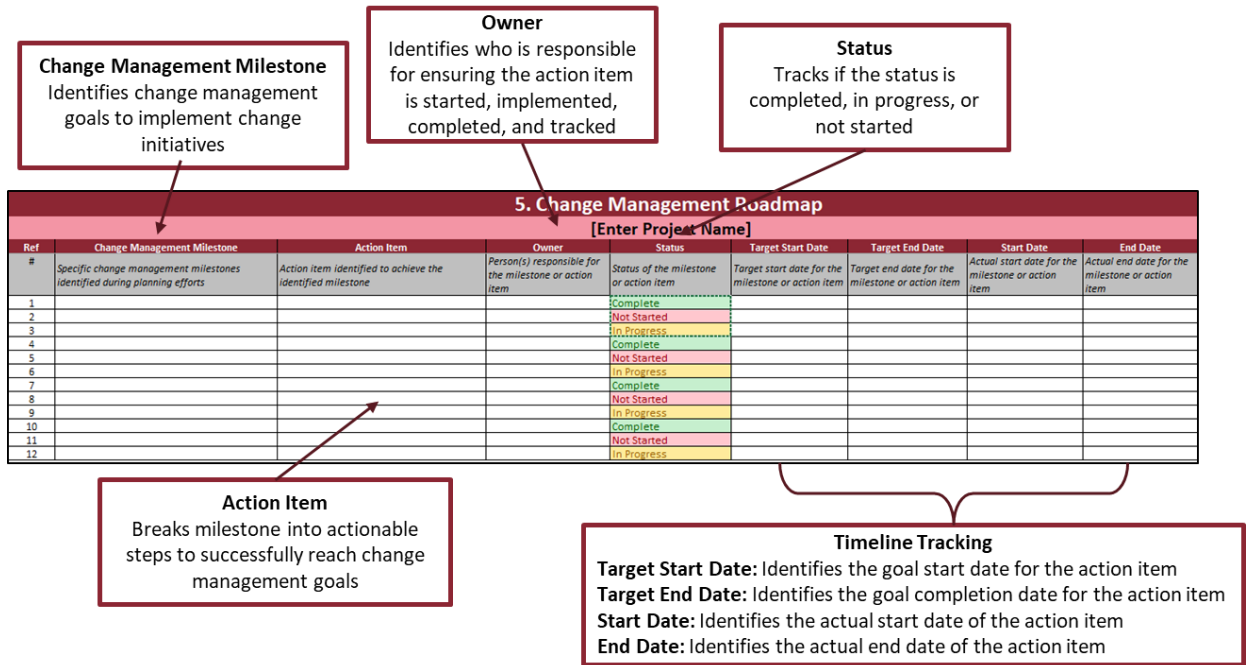
Priority project dependencies

As mentioned earlier, the Neighborhood Model, or NYCHA's new operating model, along with Work Order Reform, Alternative Work Schedules, and Borough Administration Teams were selected first to prioritize and actively deploy the project-based framework. The changes resulting from these projects all have a significant impact on overlapping roles and job titles. For example, Alternative Work Schedules and Work Order Reform will both have a significant impact on property management staff. The Change Management Plan provides project managers with an overview of the impact on specific roles, serving as a cross reference for project managers and NYCHA leadership to identify dependencies and risks, ensure resources are appropriately deployed to support change, and prevent change fatigue for employees impacted by dependent projects.

◄ *Evaluate*

| Understand: Define scope and objectives | Assess: Analyze impact of the project | Plan: Create change management plan | Execute: Conduct change management | Evaluate: Monitor feedback and iterate |

Evaluating change management efforts is critical to the success of the initiatives outlined in the Transformation Plan. Performance metrics provide transparency into change management efforts. We approach evaluation both in the project-based change management framework as well as organizational change management framework.

Evaluating project-based change management

In the *Evaluate* stage of the project-based change management lifecycle, the team will measure the effectiveness of deployed change management activities by the success of the project implementation, feedback from project team, and engagement levels.

Individual project teams will define what success looks like for them during project initiation and iterate on performance metrics as they design the program for NYCHA. The change management team will help the project team monitor the directly-impacted roles' commitment to change by tracking their progress towards expected performance metrics. Additionally, project's success may be measured by evaluating adherence to project plan and implementation timeline, timeliness of communication deliveries, and training completion.

These successes can also be measured qualitatively by asking questions like the below to the project team throughout our engagement.

- Did you feel supported by our team?
- Did most stakeholders feel included by the project planning and implementation process?
- Did most stakeholders receive timely and relevant information?

The performance of change management activities can be measured directly by tracking engagement levels and feedback from directly impacted staff. Various engagement and feedback channels were created to set up two-way communication between staff and the project team such as staff brown bag, focus groups, and in-person roadshows. For example, to reach NYCHA colleagues in Public Housing Operations, the project team can present during the monthly borough meeting, prepare printed materials to be shared during daily morning musters, and hold an in-person brown bag sessions as needed. To better understand how different strategies must be framed for each impacted role, the project team can hold a focus group with selected Change Ambassadors holding those positions to provide feedback and help articulate "what is in it for me?" for their colleagues.

These channels will be released according to the Stakeholder Engagement Strategy and Communications Plan throughout the implementation, encouraging iterative data collection. Attendance and participation data from these events will provide further evidence of staff awareness and buy-in in transformation efforts. This helps NYCHA understand what efforts are and are not working, allowing the team to tweak the process for individual project needs.

One major feedback channel is the Transform NYCHA inbox, which provides staff with regular opportunities to submit questions, concerns, or issues throughout project implementation. This helps the project team and the change management team understand where stakeholder gaps are and pivot change efforts accordingly. By encouraging two-way feedback channels, NYCHA will understand the successes and shortfalls of change management efforts. These feedback channels will also allow impacted stakeholders to have a voice in NYCHA's Transformation.

Evaluating at the Enterprise Level

At the enterprise-level, the change management team committed to setting NYCHA up for iterative and quantifiable feedback. The primary method is through the annual employee survey called the Transform NYCHA survey. This survey provides NYCHA with numerical scores for change capacity, commitment, and culture that are then distilled down to the department, title, and tenure level. They help the change management team and NYCHA understand where implementation and change management efforts are succeeding and what areas require additional focus and attention. Below lists selected survey questions and the full list is in

Capacity
- % increase in respondents that know how to get information about the Transformation Plan
- % increase in respondents who understand their role in the Transformation Plan

Commitment
- % increase in respondents who believe the Plan will be good for both employees and residents

Culture
- % increase in respondents who deem that their department embraces change and can openly communicate
- % increase in respondents who agree with positive statements about NYCHA's values and culture

In addition to the survey results, the response rates provide insight into staff and NYCHA leaders' awareness and buy-in of Transformation efforts. The team will track response rates by across respondent characteristics such as tenure, title, and department unit and will share these data with senior leaders for greater accountability and transparency.

Exhibit 118: Change Readiness Questions in NYCHA Transform Employee Survey

Annual All-Employee Transform NYCHA survey – Change Readiness Questions

Below 22 questions are measured on a 5-point scale (Strongly Disagree to Strongly Agree) with an N/A option

Capacity
- I have received communication to help me understand the Transformation Plan (TP)
- I have sufficient training and development opportunities to do my current job
- I have the skills, tools and knowledge to be successful as the TP is implemented
- I know where to go or who to speak with to get information about the TP
- I understand how my job and day to day activities will change as a result of the TP
- NYCHA uses data effectively in decision-making, and measures and tracks its performance

Commitment
- I support the changes within the Transformation Plan (TP)
- The TP will have a positive impact on NYCHA employees
- The TP will have a positive impact on NYCHA residents
- The Chair is fully committed to the Transformation Plan
- The GM is fully committed to the Transformation Plan
- My department is committed to fully implementing the TP changes
- My department leadership is fully committed to the TP
- My direct supervisor is fully committed to the TP

Culture
- I am encouraged to have open conversations and voice my concerns about any issue
- NYCHA is an organization that is able to change
- NYCHA is dedicated to diversity and inclusion
- I'm encouraged to collaborate with other teams within and outside NYCHA
- My department embraces change
- There is a culture of service at NYCHA
- NYCHA adequately engages with residents
- My colleagues support the Transformation Plan

Other evaluation metrics include engagement in enterprise-level change management activities such as Change Ambassadors recruitment, renewal, and participation, all employee town hall attendance and feedback, and engagement data with distributed communications when feasible. While many of these immediately measurable data points are simple outputs, positive responses in these arenas will contribute to the successful implementation of various projects within the Transformation Plan and improvements in NYCHA's culture and service that the Plan fosters. Over time, we expect to see positive improvements in year-over-year employee and resident survey results and enhanced employee experience.

Reinforcing the Change

As NYCHA increases its internal change management capacity, it needs to develop a systematic approach to measuring the success of change initiatives, particularly around employee experience and culture.

From the onset of the project, the change management team has been working with the Human Resources Department to brainstorm and solicit HR metrics that may serve as a proxy for organizational change capacity such as voluntary and involuntary turnover rates, retention rates, number of EEO and union grievances, and average tenure. A preliminary set of relevant metrics are in the table below.

Exhibit 119: Sample HR Metrics for Evaluating Change Capacity

Staffing and Resource Capacity	Employee Experience and Culture
• Approved vs. actual staffing levels • Approved vs. actual operating expenses	• Voluntary and involuntary turnover rates • Absenteeism rate

• Year-over-year changes in staffing levels • Year-over-year changes in budget • Vacancy rate • Turnover rate • Retention rate	• Average tenure • Number of promotions • Number of disciplinary actions • Number of EEO and union grievances

When adopted, these key performance indicators (KPIs) will provide insights at the enterprise and department levels. For example, at the organization level, approved operating expenses versus actual operating expenses provide important insight into how NYCHA is distributing scarce resources. Ultimately, for this KPI to be valuable in assessing Transformation success it must be distilled down to the department level to understand where best practices are in use and where changes need to be made. Over time, these KPIs will reveal trends in positive impact on organizational change capacity and culture resulting from change management efforts.

This work coincides with three other Transformation Plan projects:

- o New Organizational KPIs
- o Implementation of a Human Capital Management System and
- o Expanded Employee Engagement efforts.

The change management team will participate in these ongoing discussions and recommend a comprehensive set of best practices KPIs to measure improvements in organizational culture and change capacity.

Chapter 7. **Phase II Implementation Plan**

Concurrent with submission of this Phase I plan, NYCHA and the oversight partners will come to an agreement on the terms of the Phase II plan by the end of February 2022. This agreement will be captured in a separate document.