



Capital Plan

Calendar Years 2017-2021

December 21, 2016

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Overview

NYCHA’s 2017 – 2021 Capital Plan provides approximately \$4.924 billion in planned commitments for infrastructure improvements, major modernization, other systemic upgrades, repair, resiliency, and fortification of developments damaged or impacted by Superstorm Sandy. The Plan is based on the current federal capital funding outlook, funding from local elected officials and the City of New York as well as expected disaster recovery in the wake of Superstorm Sandy.

The Plan includes \$2.491 billion in expected one-time disaster recovery funds to address the impacts of Superstorm Sandy. Overall, of the \$4.924 billion dollars included in this Plan, 37% is from Annual Federal Capital Grants, 50% is from funds related to disaster recovery, 12% comes from the City of New York, and 1% comes from other sources.

In Thousands

Funding Source	2016 Carry Forward Balance (As of October 2016)	2017 New Funds Available	Total Available for 2017	2018	2019	2020	2021	2017- 2021 Plan Totals
Federal	278,988	306,356	585,345	306,356	306,356	306,356	306,356	1,810,769
Bond	1,951	-	1,951	-	-	-	-	1,951
City	214,490	153,527	368,017	169,697	15,000	15,000	15,000	582,714
State	4,975	-	4,975	-	-	-	-	4,975
District Attorney Funds	32,174	-	32,174	-	-	-	-	32,174
Public Housing Development Grant	503	-	503	-	-	-	-	503
Disaster Recovery*	-	511,108	511,108	1,409,593	563,676	5,619	1,200	2,491,196
Grand Total	533,081	970,991	1,504,072	1,885,646	885,032	326,975	322,556	4,924,281

Disaster Recovery Details*	2016 Carry Forward Balance (As of October 2016)	2017 New Funds Available	Total Available for 2017	2018	2019	2020	2021	2017- 2021 Plan Totals
FEMA	-	334,622	334,622	1,304,735	506,880	2,772	-	2,149,010
Insurance	-	33,105	33,105	31,398	22,811	1,281	-	88,596
Community Development Block Grant	-	131,016	131,016	73,460	33,984	1,565	1,200	241,225
FEMA Hazard Mitigation Grant	-	12,364	12,364	-	-	-	-	12,364
Total For Disaster Recovery	-	511,108	511,108	1,409,593	563,676	5,619	1,200	2,491,196

Capital Planning Process - Capital Project Ranking ("CPR")

NYCHA’s 2017 - 2021 Capital Plan introduced the Capital Project Ranking System. The Capital Project Ranking ("CPR") system is the process NYCHA uses for evaluating, planning and scheduling capital projects. While each capital project meets a specific need, all capital plans must compete with other projects for scarce resources, receive funding in accordance with a priority rating system and be formally adopted as an integral part of the annual capital budget.

The purpose of the CPR system is to establish priorities for the 5-year capital plan, which outlines the projected capital project needs. This CPR includes a summary of the projects’ estimated costs, schedule and recommended source of funding for each project where appropriate. The CPR prioritizes the ranked projects in each year of the Capital Plan. However, because NYCHA’s goals and resources are constantly changing, the CPR is designed to be re-assessed in full annually.

Capital projects were evaluated according to the following CPR criteria:

- **Quality of Life (10%)** – is a characteristic that impacts the general well-being of our residents. For example, playgrounds, basketball courts, community centers enhance the quality of life for residents.
- **Infrastructure (20%)** – this element relates to needs such as roofs, boilers, elevators, Technology needs such as system upgrades, handheld devices, and new software would also be included in this element.
- **Economic Development (10%)** – considerations relate to projects that foster the development, re-development, or expansion of a diversified resident base that will empower residents and/or generate a positive financial contribution to NYCHA. Providing the infrastructure updates to NYCHA property to encourage quality store rentals would score high in this category. A new boiler project would likely score low in the economic development category.
- **Health/Public Safety (15%)** – includes lighting, layered Access. New layered Access would directly impact the health and safety of residents, scoring high in this category.
- **Impact on Operational Budget (20%)** – Some projects may affect the operating budget for the next few years or for the life of the improvement. Will it reduce headcount or other operational costs?
- **Regulatory Compliance (10%)** – this criterion includes regulatory mandates such as HUD mandates, City or State mandates, or Court-ordered mandates.
- **Timing and Location (15%)** – are important aspects of a project. If the project is not needed for several years it would score low in this category. If the project is for a development that has not any capital work done recently it would score high in this category.

A project's overall score is determined by calculating its score against each criterion. The scores of all projects are then compared in order to provide recommendations to the Capital Steering Committee. The components of the criteria and scoring scale are included with the recommendation. The Capital Steering Committee used this rating system to determine what projects make up NYCHA's 2017 – 2021 Capital Plan.

CPR Highlights

NYCHA utilized the CPR system in October 2016 to allocate \$34.5M in uncommitted funds and determine which projects would be included in the NYCHA's 2017 – 2021 Capital Plan. Using the methodology mentioned above the committee determined:

\$34.5M of uncommitted funds:

- \$33.5M was given to CPD for six separate projects to ensure regulatory compliance, enhance quality of life and repair infrastructure throughout NYCHA developments.
- \$900K was given to Administration and Finance combined to streamline business process and enhance the customer service experience for our residents.

New Federal Funds:

- The majority of administrative and management fees that in previous years were charged to the capital grant will be paid out of non-capital funding sources. This shift in strategy will result in an additional \$172.5M, in 2017, for construction related work such as: roofs, boilers, elevators, brick work, and technology needs such as system upgrades, handheld devices, new software.
- Operations capital plan was reduced from \$44.9M to \$5M. Work previously charged under capital such as: asbestos abatement, inspection, and monitoring, lead analysis, evaluations and abatement will be paid out of non-capital funding sources, freeing up an additional \$39.9M for construction related work.

EVP/SVP/VP	2016 Carry Forward Balance (As of October 2016)	2017 New Funds Available	Total Available for 2017	2018	2019	2020	2021	2017- 2021 Plan Totals
Administration	416	-	416	-	-	-	-	416
Capital Projects	130,705	220,844	351,549	223,788	228,283	228,667	230,443	1,262,729
IT	20,464	15,314	35,779	12,371	7,876	7,492	5,716	69,234
Finance*	85,990	65,197	151,187	65,197	65,197	65,197	65,197	411,976
Operations	29,217	5,000	34,217	5,000	5,000	5,000	5,000	54,217
Real Estate	7,465	-	7,465	-	-	-	-	7,465
Supply Management	4,732	-	4,732	-	-	-	-	4,732
Total - Federal Funds	278,988	306,356	585,345	306,356	306,356	306,356	306,356	1,810,769

Finance Details*								
CFFP Debt Service	60,500	60,500	121,000	60,500	60,500	60,500	60,500	363,000
Contingency (Non-CPD)	6,565	-	6,565	-	-	-	-	6,565
Management Fees	-	-	-	-	-	-	-	-
Reimbursement to Operating	18,440	4,697	23,137	4,697	4,697	4,697	4,697	41,926
Electronic Invoicing	485	-	485	-	-	-	-	485
Finance Total	85,990	65,197	151,187	65,197	65,197	65,197	65,197	411,976

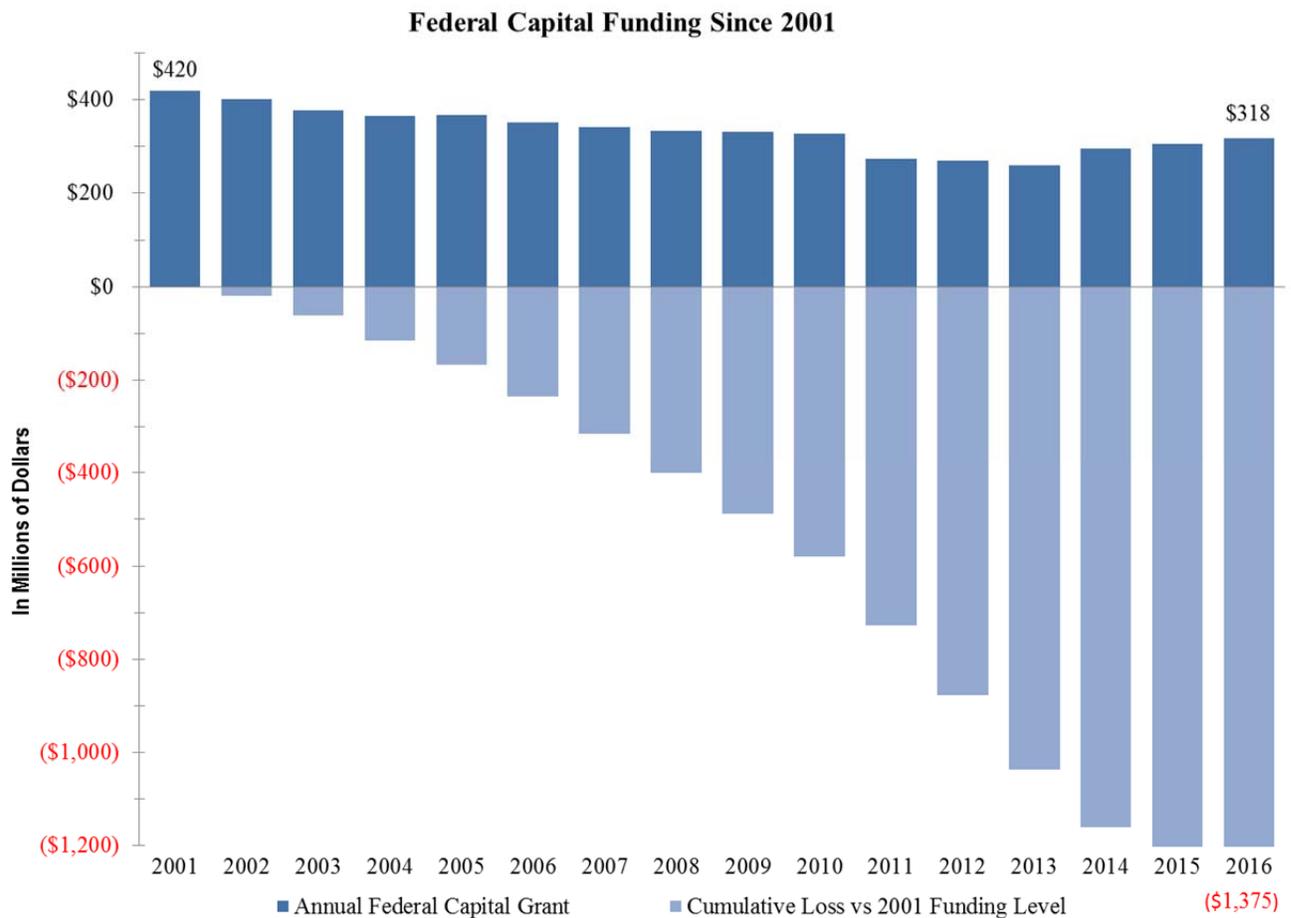
NYCHA's Chronic Funding Gap

NYCHA's aging housing stock requires far more capital investment than has been available from Federal, State, and City grants. Of NYCHA's 2,462 residential buildings 75% are more than 40 years old and have over \$16.5 billion dollars in unfunded capital needs.

Funding available to NYCHA for capital improvements has not only failed to keep pace with needs, but has dramatically declined. From 2001 to 2016, annual federal capital grants have declined \$102 million, or 24 %, from \$420 million to \$318 million. As a result, NYCHA has experienced a cumulative federal capital grant funding loss of \$1.375 billion since 2001. Even in the years of steady appropriations to the Capital Fund, rising costs have resulted in very real cuts to the program. This chronic funding gap severely constrains NYCHA's ability to make necessary repairs and upgrades to brickwork, roofs, elevators, building systems (such as heating and plumbing systems), and apartment interiors.

Federal Capital Funding Since 2001

NYCHA has experienced a cumulative federal capital grant funding loss of \$1.375 billion since 2001. Funding shortfalls have meant that only \$1.7 billion has been invested in capital improvements during the last five years. Over the last three years, there has been an increase to federal capital fund allocation. However this incremental change has not had a significant impact on the overall funding shortfall.



2016 Accomplishments

Federal Capital Funds

Federal capital grant awards require NYCHA to meet deadlines for establishing contracts to perform work (obligation deadline) and completing work (expenditure deadline). If these deadlines aren't met NYCHA may incur penalties, such as the forfeiture of funds. Accordingly, NYCHA places priority on achieving its capital plan obligation and expenditure targets. HUD requires housing authorities to obligate 90% of funds in 24 months and to expend 100% of funds in 48 months. In 2016, NYCHA completed every one of its HUD mandated deadlines ahead of schedule in order to obligate and expend federal capital funds successfully. In 2016, NYCHA continued its success of obligating within 18 months and expending within 36 months of receiving grant awards.

In 2016, NYCHA made meaningful progress towards its goals of rehabilitating and upgrading housing assets.

Completed Projects

NYCHA's Capital Projects Division succeeded in completing rehabilitation at 122 developments valued at \$339.3 million in 2016 and impacting more than 86,000 families. There is ongoing construction at 108 developments totaling \$643.3 million, impacting over 79,000 additional families.

The projects in the CPD portfolio include jobs funded by various Federal, State, and City stakeholders. The projects completed in 2016 and ongoing work includes improvements to playgrounds, security enhancements, and fortifying NYCHA's building envelopes. Below are NYCHA's selected capital project highlights of 2016.

Special Programs\Initiatives

Capital Fund Financing Program (Bond B Program):

The program funded with \$475 million affected brick and roof repairs at 319 buildings in 33 developments.

- The construction phase was completed 6 months ahead of schedule.
- 97% of the bond funds have been expended, well ahead of the expenditure deadline.

The Mayor's Action Plan:

This initiative provided funding for roof replacements, apartment renovations, and security enhancements.

- **CCTV and layered access control installations:**
 - CCTV and layered access installations valued at \$52.8 million are being performed at 16 developments. The installations are underway at 12 developments beginning in 2016.
 - CCTV installations with contract values of \$15.3 million are being performed at an additional 22 developments. The work started mid-2016 and is projected to be completed by December 2016. The majority of this work is funded through the New York City District Attorney (DANY) reinvestment.
- **Exterior Lighting:**
 - There are 16 developments that are receiving lighting upgrades under this program with a contract value of \$72.3 million. Work has begun at all locations and has been completed at 7 developments this year providing over 2,600 fixtures.
- **Roof installation:**
 - The Authority is the beneficiary of a \$300 million grant over 3 years (3 tranches) as part of the Mayor's roof initiative. The objective is to replace the worst roofs for 259 buildings at 35 developments impacting over 60,000 residents.

- The first tranche covers 67 buildings. Of these 49 buildings have already been completed at 6 developments. Full completion is scheduled for November 2017.
- The second tranche of roofs has received the first set of bids for the largest development in this portfolio, and is now in the award phase.
- **Apartment renovation:**
 - Objective of the \$15 million mayoral initiative is to return apartments to the rent roll. Thirty (30) of forty (40) apartments were completed in 2016.

Local Law 11

Pursuant to the Department of Buildings regulations, NYCHA proposes to replace the unsafe buildings and comply with NYC Local Law 11 requirements; to replace all unsafe conditions found at the exterior walls of all NYCHA owned buildings city wide.

In addition:

- Obtained approval for \$204M in Mayoral funding for façade restoration.
- Reduced the number of unsafe buildings from 961 to 300.
- Completed 81 building repairs valued at \$71.5 million.
- Removed 105,050 linear feet of sidewalk sheds.
- Hired 23 workers under the Section 3 program.

Office of Recovery and Resilience

The cost of permanent repairs and mitigation efforts for Superstorm Sandy related damage is in excess of \$3.2 billion. NYCHA has been working with funding agencies including the Federal Emergency Management Association (FEMA), the Department of Housing and Urban Development through their Community Development Block Grant Disaster Recovery program (CDBG – DR), and other funding sources which has resulted in the following efforts:

- \$2.3 billion in FEMA funding obligated (approved by FEMA) to date;
- \$317 million in CDBG – DR grants; and
- \$318 million in insurance recovery (with an additional \$131 million being negotiated).

a. Design/Procurement

- Fifteen (15) of the storm affected developments design has been completed and have been published for bid.

b. Construction

- In 2016, NYCHA started construction on 5 developments: Oceanside, Coney Island (Sites 4 & 5), Astoria, Carleton Manor, and Coney Island (Site 1B).
- Preliminary construction has been completed or is in progress at 23 developments.

c. Completion

- Lower East Side Rehab V.

d. Community Outreach

- In 2016 alone, the Sandy Community Outreach team has participated in over 1,178 meetings, and engaged with residents 64,480 times through phone calls and flyers.

Randolph Houses Mixed Finance Renovation

This Plan includes funding of \$7 million, which is the remaining allocation from a \$40 million investment in a mixed finance transaction in partnership with Housing Preservation and Development (HPD) and Housing Development Corporation (HDC) to perform a major renovation of Randolph Houses on West 114th Street in Harlem. The development includes 36 five-story walkup tenement buildings dating from the 1890s that came into NYCHA ownership in the 1970s.

In the late 1990s, NYCHA determined that major renovation work was needed to make Randolph Houses viable and began to transfer residents to other facilities to begin construction. However, by 2007 NYCHA had concluded the costs of the rehabilitation were prohibitive and initiated a Section 18 demolition application to replace Randolph Houses with two new public housing buildings. Through this process, the State Historic Preservation Office (SHPO) determined the development was part of a State and National Register eligible historic district and that alternatives to demolition should be fully explored. In September 2010, NYCHA engaged a team of architects to examine the feasibility of preserving and rehabilitating the buildings.

NYCHA's preferred design alternative yields a total of approximately 283 dwelling units of which 147 will be public housing and 2 units will be for superintendents. Construction will be completed in two phases. Phase I, completed March 2016, yields 168 affordable, low-income apartments, of which 147 are public housing units. Phase II, currently under construction, will yield 115 new low-income and very-low-income apartment units. Construction is expected to be completed on Phase II in the Second Quarter of 2018.

The 147 public housing subsidized units were first prioritized to current and former Randolph Houses families and then to NYCHA public housing waiting list families. Phase I is now fully occupied and closed on permanent financing in November of this year.

Improved Transparency via Online Self-Service Applications (Siebel and MyNYCHA)

MyNYCHA App – The app, which was first deployed in 2015, saw many enhancements in 2016, including: allowing residents to use the MyNYCHA Mobile App and its web version both in English and Spanish, view history of closed tickets, pay rent, receive enhanced building outage notifications, and subscribe to the NYCHA Journal. In addition to the new functionality, the app allows NYCHA residents to create, submit, schedule, view and update maintenance service requests, view alerts and outages related to their developments, view their scheduled inspections and maintain their contact information.

In 2016, MyNYCHA was recognized with the following awards:

- 2016 Middle Atlantic Regional Council of the National Association of Housing and Redevelopment Officials (MARC NAHRO) Merit Award for Outstanding Achievement and Administrative Innovation; and
- 2016 Best of New York City Technology Award (presented by Government Technology magazine and the Center for Digital Government in conjunction with DoITT).

Public Housing Residents – In 2016, NYCHA began deployment of the Siebel Online Public Housing Annual Review program, which allows residents to submit Annual Review information as well as view the status of their Annual Reviews, receive instant notifications of their submissions and missing documents, and upload supporting documents at their convenience through a secure online portal. Approximately 20% of public housing households have been provided access to the online program since the project’s inception, that is, approximately 36,000 public housing households. The remaining households will be provided access in 2017/2018.

Section 8 Program – In 2016, IT continued to support the Leased Housing Program by implementing enhancements and new functionality to help improve the management of the Section 8 program at NYCHA. In December, NYCHA received an “A” from HUD for its Outstanding Section 8 Program Performance.

NYCHA’s Self-Service Portal – In addition to the Public Housing and Section 8 functions indicated above, the NYCHA Self-Service portal allows residents to request apartment transfers online. Also on the portal, NYCHA applicants are able to renew applications and make development selection choices online. In October, NYCHA implemented an open user interface for the portal to allow residents, applicants and Section 8 participants to access the site, regardless of the devices they are using. In 2016, NYCHA’s Self-Service Portal was recognized with the 2016 Middle Atlantic Regional Council of the National Association of Housing and Redevelopment Officials (MARC NAHRO) Merit Award for Outstanding Achievement and Administrative Innovation.

Implemented Mobile Solution for Work Order Management (Maximo and Informer Work Management)

In 2016, NYCHA implemented a mobile solution for work order management that allows maintenance and skilled trade staff the ability to complete work orders and open new work orders at the resident’s location via a handheld device. The technology enables mobile workers to complete more work while reducing data entry errors and nonproductive paperwork. As of December, the new handheld and storeroom inventory processes were deployed to 100% of NYCHA’s developments. In the first quarter of 2017, NYCHA will focus on completing deployment to skilled trade staff and selected caretaker staff, and new functionality will be added for mobile inspections of apartments, move-outs and exterminator routine.

NYCHA also enhanced and upgraded its maintenance and asset management system (Maximo) including:

- Implemented system to support NYCHA’s overhaul of the Storeroom Inventory Management system and processes.
- Modified Maximo to support NextGen initiatives such as FlexOps and Next Generation Operations (NGO).

To safeguard and protect NYCHA’s mobile infrastructure, IT implemented Mobile Device Management Software (AirWatch) to improve security and maintenance for handheld devices.

Digitizing NYCHA's Human Resources Files

In October 2016, the conversion phase of the NextGen NYCHA project, HR Digital Records, kicked off a day ahead of schedule. This phase consists of imaging over 11,000 paper employee folders. In 2017, the conversion will be complete and NYCHA will deploy a content management system to manage these files and any new files, and will begin integrating the employee folders currently kept in the field offices.

Upgrade Business Support Systems

During the first quarter of 2016, NYCHA enhanced and upgraded its Oracle eBusiness system, which supports most of its financial processes. Highlights include:

- Implemented Automated Releases for Vendor Services. Developments can now enter Oracle iProcurement requisitions for services to generate work authorizations in Oracle. These self-service requisitions will automatically generate a vendor purchase order and also send the authorization (PO) to the vendor via email. The wait time to generate a vendor authorization has been reduced from an average of more than a day to 30 minutes, in addition to cutting down on the back and forth paper requests and emails.
- Successfully upgraded MarkView, which ensures continued support and provides new enhancements. MarkView is used for scanning and storing purchase orders and invoices.
- NYCHA also implemented a Section-3 compliance tracking application for the Supply Management Department's Compliance Division. This application helps in maintaining Section 3 hiring information on eligible contracts and helps to monitor whether vendors are meeting their contractual hiring commitments with NYCHA. This has real time integration with Oracle eBusiness applications and will provide Section 3 compliance performance inputs to the vendor evaluation process as well.

Implemented Applications for Quality Assurance Inspections

- Closed Work Orders – Deployed an application for quality assurance inspections of closed apartment Work Orders. The application allows the Leased Housing Assessment Unit inspectors to complete independent inspections and record the results via a tablet or handheld device. If work is found to have been completed unsatisfactorily, a new Work Order is created. The applications also allow for pictures to be taken and provide various reports for Development staff and management.
- Pre-PHAS – Deployed an application that allows the Leased Housing Assessment Unit to conduct Pre-PHAS inspections of Developments, Buildings and Grounds via a tablet or handheld device. The applications allow for pictures to be taken of deficiencies and provide various reports for Development staff and management.
- Janitorial – Deployed an application that allows Operations and NGO to conduct janitorial inspections of Development Buildings via a tablet or handheld device. The applications allow for pictures to be taken of deficiencies and provide various reports for Development staff and management. This is currently being used for NGO and Flex Ops developments.

Expand Use of Cloud-based Solutions

In 2016, NYCHA kicked off a pilot program for implementing cloud-based Microsoft Office 365 and Skype for Business for all NYCHA desktop, laptop, and mobile device users. Full implementation will begin during in the first quarters of 2017

2017 Capital Plan Highlights

The Capital Projects Division will receive \$1.13 billion in new Federal Funding over a period of 2017 to 2021 for investment in NYCHA's building portfolio.

Brick and Roof Projects

Approximately 32% or \$357 million of the FY 17-21 Capital Federal Plan is targeted to building exteriors including brick and roof projects. This work will ensure that building exteriors are watertight by replacing aging, deficient roofs and repairing brick façades.

A significant portion of this Federal Plan funding will support major exterior work at Sotomayor, Breukelen, Ingersoll, Throggs Neck, and Whitman developments as a priority; based upon the Physical Needs Assessment (PNA) level of deficiencies and roof ratings, as well as volume of work order tickets.

Albany, Parkside, as well as Queensbridge North and South developments have planned work or construction underway with Federal funds for brickwork; which is to be coordinated with the First Tranche of the Mayoral City Roof Initiative which fund roof projects at these same developments.

Heating Plants

The Federal Plan will fund over \$91 million or 8% in the heating plants for developments at Baruch, Pelham Parkway, Gowanus, Jackson, Marcy, McKinley, Pink, Tilden, and Two Bridges. These projects will fully replace heating plants and all ancillary equipment to optimize the total life cycle investment, as well as reduce fuel consumption. The prioritization of these selected of sites is based upon by the assessment of conditions with regard to boiler equipment age and volume of work tickets.

Elevators

The Federal Plan allocates 6% or \$69 million in funds to elevators for Atlantic Terminal, Boston Road, Carey Gardens, Coney Island (4 & 5), Coney Island 1B, Mitchel, Queensbridge North and South, and Unity Plaza developments; based on ranked conditions assessed. This work is essential to the health, safety and welfare to residents, as well as staff. One of the largest projects is a comprehensive replacement of the 98 cars at Queensbridge North and South developments.

Multi-Trade Projects

The first phase of the major renovation of the exterior brick and roof work, along with the renovation of 42 top floor apartments has been completed at the landmarked Harlem River development. Federal funds will allow for a second phase which will be used to rehabilitate the remaining top floor

apartments and kitchens, all apartment bathrooms, stair hall lighting and stair halls, underground steam piping, site improvements, as well as entrance doors, layered access control, and CCTV.

The Dyckman development is also to have a significant investment of funds to cover exterior envelop and major interior components. This multi-trade strategy will bring these development buildings up to par.

Apartment Bathrooms

The federal plan invests 25% or \$288 million in the renovation of bathrooms at Breukelen, Jefferson, Mitchel, Patterson, Pomonok, Taft Rehabs, and Wagner developments; which all have a high number of work order tickets. This investment will enhance water sustainability energy conservation measures, as well as address leaks which will positively impact air quality and mitigate one of the causes of mold. This funding reinforces the work as planned, in progress or completed at: Breukelen (brick, roof, window, and heating plant projects); Mitchell (brick and roof projects); Pomonok (roof replacement completed via the Bond B program); and at Wagner (roof replacement) that was completed in 2010. As the building envelops are secured, we can progress to rehabilitate apartment bathroom deficiencies, with assurance that the investment is protected.

Recovery & Resilience

In 2017, Recovery and Resilience expects to complete design on the remaining 17 out of 33 Disaster Recovery Projects and start construction. These plans are contingent on the overall New York City construction market and the capacity of contractors that bid on NYCHA’s construction projects.

2017-2021 Estimated Construction Schedule

Recovery Projects	Construction Est. (\$ M)	NTP	Completion
Ocean Bay Oceanside	\$54	05/03/16	06/30/17
Astoria	\$55	06/13/16	06/30/18
Smith Houses	\$51	12/05/16	12/31/17
Coney Island 4/5	\$53	06/01/16	11/30/18
Carleton Manor	\$20	10/31/16	03/31/18
Coney Island Site 1B	\$22	11/14/16	04/30/18
Rangel Houses	\$23	10/31/16	12/31/17
Coney Island Houses	\$62	02/09/17	05/31/19
Redfern	\$73	02/09/17	01/31/19
OB Bayside (Hydronics) ²	\$42	02/21/17	02/28/19
OB Bayside (Electrical) ²	\$65	02/21/17	02/28/19
OB Bayside (Dry FP) ²	\$69	02/21/17	02/28/19
OB Bayside (Roofs) ²	\$16	02/21/17	02/28/19
Gowanus	\$59	03/01/17	03/31/19
Two Bridges	\$14	03/01/17	04/30/18

East River Houses	\$42	03/21/17	03/31/19
La Guardia	\$30	04/03/17	12/31/18
Wald Ramp	TBD	01/06/17	01/31/19
Haber Houses	\$42	04/27/17	07/31/19
Campos Plaza II	\$22	05/30/17	12/31/18
Red hook E&W (Lobbies)	\$20	06/26/17	06/30/19
Red hook E&W (Roofs)	\$55	07/18/17	07/31/19
Red hook Building 29	TBD	01/09/17	01/31/19
Carey Gardens	\$96	06/15/17	12/31/20
Gravesend	\$160	07/13/17	07/31/21
Riis I	\$88	07/18/17	07/31/19
Metro North	\$40	10/23/17	10/31/19
Red hook East & West (1)	\$200	08/18/17	08/31/19
Red hook East & West (2)	\$175	08/18/17	08/31/19
Coney Island Sites	\$180	09/07/17	09/30/19
Hammel Houses	\$151	09/07/17	09/30/19
Beach 41st	\$22	09/13/17	09/30/19
Wald	\$51	09/21/17	09/30/19
Isaacs Houses	\$13	09/28/17	09/30/19
Baruch/Lavanburg	\$153	10/05/17	10/31/19
Riis II	\$32	11/06/17	11/30/19

City Capital

Security Upgrades

This portfolio consists of 16 locations in each of the five boroughs with allocations is \$7.2 million. The sixteen locations include: LES V, Samuel (City), 1020 College Avenue, Morrisania, Monroe, Bayview, Nostrand, Sheepshead, Farragut, Berry St., Todt Hill, International Towers, Leavitt 34th Avenue, Baisley, Shelton and Baychester Houses. NYCHA anticipates certificates to proceed (CP) to OMB during the second half of FY2017 with construction commencing during the first half of 2018.

State Asset Forfeiture Funds

The main type of categorical funding received by District Attorneys (DA) consists of asset forfeiture monies which stem from specific prosecutions carried out by individual DAs. Through an agreement made with the New York County Office of the District Attorney (DANY), New York City's Mayor's Office of Criminal Justice (MOCJ) and the New York City Office of Management and Budget (OMB), State Asset Forfeiture \$80.2 million in state asset forfeiture funding was allocated to NYCHA. The funding will be used to implement security and infrastructure enhancements, which will include new doors, permanent exterior lighting, upgrades to existing intercom systems,

installation of interior and exterior cameras and connectivity of such cameras to New York City Police Departments (NYPD) networks.

The Plan is to install exterior lighting during FY 2017 which should have 14 of the 15 sites with exterior lighting installed and completed by the end of 2017. CCTV and Layered Access installations in these same developments will be completed in phases through March 2019. The funds are for work at the following 15 developments: Polo, Butler, St. Nicholas, Boulevard, Bushwick, Van Dyke, Castle Hill, Stapleton, Ingersoll, Brownsville, Tompkins, Patterson, Wagner Queensbridge, and Red Hook.

Local Law 11

Pursuant to the Department of Buildings regulations, NYCHA proposes to replace the unsafe buildings and comply with NYC Local Law 11 requirements; to replace all unsafe conditions found at the exterior walls of all NYCHA owned buildings city wide. These repairs will consist of deteriorated brick walls, steel lintels, roof parapet walls, balcony walls, and fire escapes. In addition, this repair work will create optimal and safe conditions for NYCHA residents and will make NYCHA comply with New York City's Local Law 11 regulations.

NYCHA buildings are required to be inspected every five years, once unsafe conditions are found they are required to be replaced with safe conditions within the next five years from the date of inspection. To fulfill this requirement NYCHA will repair unsafe conditions at approximately 249 buildings at 82 developments, located throughout the five boroughs. The \$204 million in City Capital funds will be used to repair the 249 buildings where 62,779 linear feet (LF) of emergency sheds were installed in the Fall of 2015. For 2017 we project to remove 59,527 LF of emergency sheds.

Strategic Solutions

Information Technology (IT) will continue to explore emerging technologies that can be used to facilitate service delivery to NYCHA customers and improve their overall customer experience.

Key initiatives are listed below:

- **Continue to leverage Cloud-based options for datacenter and applications where viable for NYCHA.** Self-service and public-facing applications enrich our customers' lives by providing 24/7 availability to their information and transactions. Yet, 24/7 availability requires 24/7 reliability and 24/7 support. Using cloud-based solutions and cloud-based infrastructure help NYCHA meet these service challenges, as well as provide improved disaster recovery capabilities, improved business continuity and increased flexibility. By leveraging cloud providers, NYCHA will be able to scale up or scale down its infrastructure as needs warrant, thereby easily, quickly and transparently meeting business needs on demand. Some examples where NYCHA is seeking to implement a cloud approach are:
 - e-Builder, cloud-based construction management software for CPD.
 - Complete deployment of cloud-based Microsoft Office 365 (third quarter of 2017).
 - Complete implementation of Kronos Cloud (fourth quarter of 2017).
 - Replacing two systems (Team Connect and CLMS) used by the Law Department with a cloud-based solution used by the City and hosted by DoITT.

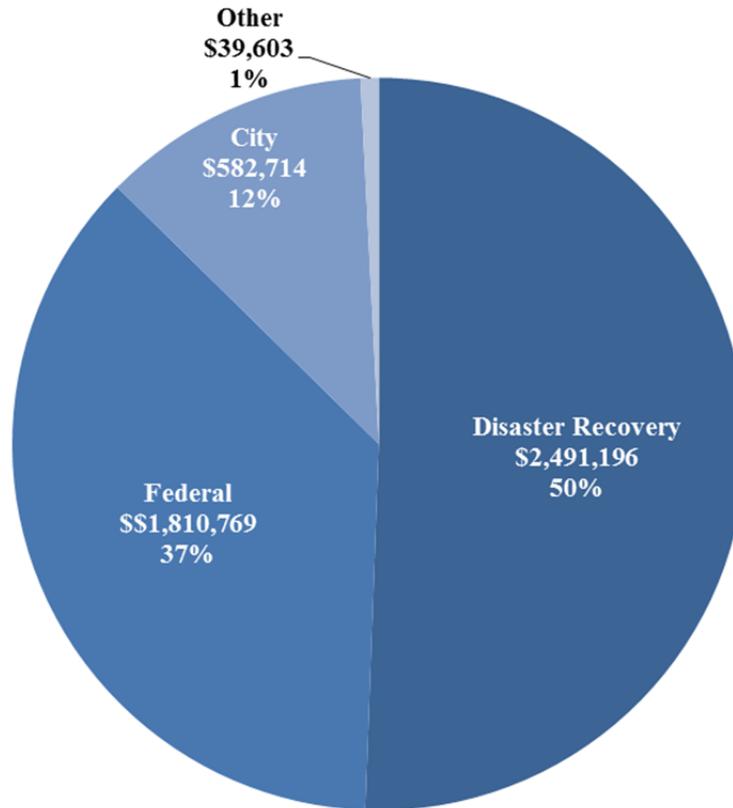
- **Modernization of NYCHA’s legacy Public Housing business systems and applications.**
 - Complete deployment to Public Housing residents the ability to complete the Annual Review process online.
 - Migrate NYCHA’s legacy tenant management and rent collection systems to Siebel, Oracle and other self-service web applications. Requirements gathering begin in Q1 2017.
 - Convert Public Housing resident folders into secure digital files, using the lessons learned from deploying HR Digital Files.
- **Continue enhancement of NYCHA’s maintenance and asset management system, both core Maximo and Informer Work Management (for handhelds) by:**
 - Completing rollout of handheld devices to skilled trade workers, supervisors of caretakers, and supervisors of grounds workers.
 - Implementing new functionality for apartments, move-outs and exterminator routine inspections.
 - Improving integration to NYCHA’s physical plant asset data with Maximo.
 - Facilitating data capture for annual HUD-required Physical Needs Assessment.
- **Upgrade and enhance various business support and infrastructure systems, which will provide added business functionality such as:**
 - Upgrade Neopost.
 - Implement Siebel enhancements to support Reasonable Accommodations and on-line applicant interview scripts.
 - Continue to integrate NYCHA data with other governmental agencies, including HUD, HRA and NYC DEEP, data to improve reporting and responsiveness.
 - Replace NYCHA’s automated forms submission software (Movaris).
 - Complete the upgrade of the Resident Economic Empowerment and Sustainability (REES) system to an eService solution that is envisioned as an integrated solution supporting NYCHA’s new Zone Model. This will increase staff efficiency and facilitate the exchange of program data between REES and other NYCHA departments and external stakeholders.
- **Complete Technology Upgrade to better support operations and technology initiatives, including:**
 - New Desktops with Windows 10 – Rollout begins March/April 2017.
 - Microsoft Office 365 – Pilot continues in January. Roll out begins March/April 2017.

- Implement Verizon Ethernet Service (E-LAN) – for improved communications links and faster performance. The increased bandwidth will support video conferencing and online learning. Rollout begins February 2017.
- VoIP for field locations, to provide more user-friendly phones. Begins June 2017.

- **Digitize NYCHA’s HR files as a first step to implementing a modern, user-accessible HR system.**
 - In 2017, the conversion of central office employee records to digital files will be completed, as well as the deployment of a content management system to support HR processes around the employee folders. During the second quarter of 2017, NYCHA will begin integrating the “location files,” which are local copies of the employee HR folders, which are maintained at the development offices.

Capital Funding Summary

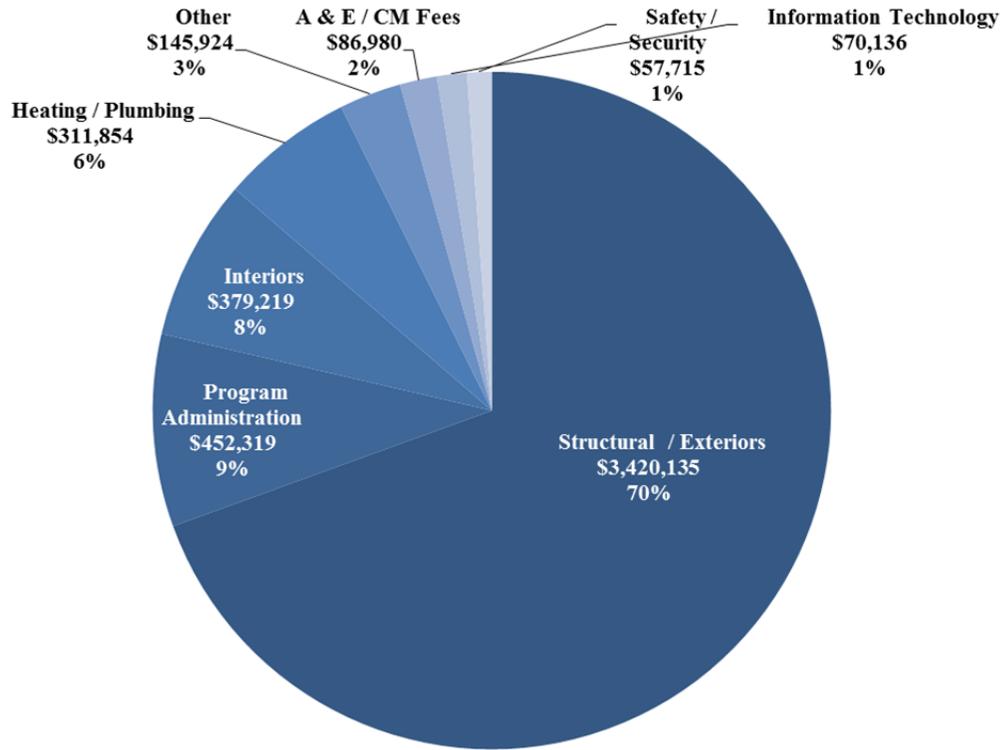
**FY 2017 – 2021 Capital Funding By Source
(Dollars in Thousands)**



Total: \$4.924 Billion

- Other includes DANY, Bond, and Public Housing Development Grant and State.

**FY 2017 – 2021 Capital Plan By Work Type
(Dollars in Thousands)**



Total: \$4.924 Billion

Other Worktypes

IT Hardware and Software	70,136	Electrical_Lighting	22,314	Ranges	2,980
CM Fees	66,645	Grounds	21,504	Entrances_Exits	2,568
Heating	61,793	A and E	19,587	Front Line Costs	2,348
CCTV_Layered Access	51,164	Kitchens	19,091	Refrigerators	1,752
Contingency	44,694	Miscellaneous	14,177	Windows	805
Reimb To Operate	44,625	Section 504	11,500	Consulting Costs	747
Energy	42,079	Painting	5,991	Interior Doors	729
Community Center Renov	38,114	FurnitureEquip	4,767	Office Upgrades	0
Garbage Disposal	32,741	Environmental	3,997	Doors_Entrances	0
Fire Safety	22,785	Intercoms_Security	3,983	Total Other	613,619



**New York City Housing Authority
Capital Plan by Category
All Awards
(\$ in thousands)**

		FY16 *	FY17 **	FY18	FY19	FY20	FY21	Total
CPD								
PR_CAPITAL PROJECTS	WT_A and E	11,337	7,500	250	250	250	0	19,587
	WT_Bathrooms	0	6,500	36,500	54,000	70,500	75,000	242,500
	WT_Boilers	62	15,500	30,300	29,600	15,769	0	91,231
	WT_Brickwork	65,629	26,000	0	0	0	0	91,629
	WT_Brickwork_Roofs	15,527	161,407	45,500	16,000	31,000	31,500	300,934
	WT_CCTV_Layered Access	45,565	5,599	0	0	0	0	51,164
	WT_CM Fees	1,622	25,690	20,959	18,375	0	0	66,645
	WT_Community Center Renov	21,819	10,333	5,292	0	0	0	37,444
	WT_Contingency	10,909	10,880	10,880	8,160	0	0	40,828
	WT_Electrical_Lighting	22,314	0	0	0	0	0	22,314
	WT_Elevators	2,226	9,640	14,900	26,787	13,935	27,086	94,574
	WT_Energy	2,026	0	35,113	0	0	0	37,139
	WT_Entrances_Exits	2,568	0	0	0	0	0	2,568
	WT_Fire Safety	8,217	3,500	3,500	2,500	2,500	2,500	22,717
	WT_Front Line Costs	2,348	0	0	0	0	0	2,348
	WT_Garbage Disposal	10,350	3,700	3,700	3,700	4,400	6,891	32,741
	WT_General Construction	32,130	487,539	1,384,304	543,691	12,169	6,750	2,466,583
	WT_Grounds	14,005	4,875	2,065	0	0	0	20,945
	WT_Heating	9,945	5,000	11,100	3,000	8,300	2,000	39,345
	WT_Intercoms_Security	2,566	1,400	0	0	0	0	3,966
	WT_Interior Doors	729	0	0	0	0	0	729
	WT_Kitchens	0	0	19,091	0	0	0	19,091
	WT_Major Renovation	49,746	35,400	38,688	57,783	68,197	68,302	318,116
	WT_Miscellaneous	8,000	1,200	1,200	1,200	1,200	1,200	14,000
	WT_Plumbing	22,950	24,800	31,600	37,000	14,000	14,000	144,350
	WT_Roofs	13,341	29,017	108,136	4,913	7,065	11,414	173,886
	WT_Section 504	1,500	10,000	0	0	0	0	11,500
	WT_Windows	805	0	0	0	0	0	805
	CPD Total	378,235	885,480	1,803,077	806,958	249,286	246,643	4,369,679
Non-CPD								
PR_ADMINISTRATION	WT_IT Hardware and Software	416	0	0	0	0	0	416
	PR_ADMINISTRATION Total	416	0	0	0	0	0	416
PR_COMMUNITY PROGRAMS	WT_Community Center Renov	875	0	0	0	0	0	875
	WT_IT Hardware and Software	1	0	0	0	0	0	1
	PR_COMMUNITY PROGRAMS Total	876	0	0	0	0	0	876
PR_ENERGY	WT_Energy	4,940	0	0	0	0	0	4,940
	PR_ENERGY Total	4,940	0	0	0	0	0	4,940
PR_IT	WT_IT Hardware and Software	20,464	15,314	12,371	7,876	7,492	5,716	69,234
	PR_IT Total	20,464	15,314	12,371	7,876	7,492	5,716	69,234
PR_OPERATIONS	WT_Boilers	91	0	0	0	0	0	91
	WT_Brickwork_Roofs	2	0	0	0	0	0	2
	WT_Elevators	11	0	0	0	0	0	11
	WT_Environmental	3,997	0	0	0	0	0	3,997
	WT_Fire Safety	68	0	0	0	0	0	68
	WT_FurnitureEquip	4,767	0	0	0	0	0	4,767
	WT_General Construction	2,056	0	0	0	0	0	2,056
	WT_Grounds	354	0	0	0	0	0	354
	WT_Heating	10,448	2,400	2,400	2,400	2,400	2,400	22,448
	WT_Intercoms_Security	17	0	0	0	0	0	17
	WT_Miscellaneous	24	0	0	0	0	0	24
	WT_Painting	5,991	0	0	0	0	0	5,991
	WT_Plumbing	1,389	2,600	2,600	2,600	2,600	2,600	14,389
	PR_OPERATIONS Total	29,217	5,000	5,000	5,000	5,000	5,000	54,217
PR_SUPPLY MANAGEMENT	WT_Ranges	2,980	0	0	0	0	0	2,980
	WT_Refrigerators	1,752	0	0	0	0	0	1,752
	PR_SUPPLY MANAGEMENT Total	4,732	0	0	0	0	0	4,732

* Carry Forward Balance
** Funds Available



**New York City Housing Authority
Capital Plan by Category
All Awards
(\$ in thousands)**

		FY16 *	FY17 **	FY18	FY19	FY20	FY21	Total
Non CPD Total		68,109	20,314	17,371	12,876	12,492	10,716	141,880
Miscellaneous								
PR_FINANCE	WT_Consulting Costs	747	0	0	0	0	0	747
	WT_Contingency	3,866	0	0	0	0	0	3,866
	WT_Debt Service	60,500	60,500	60,500	60,500	60,500	60,500	363,000
	WT_IT Hardware and Software	485	0	0	0	0	0	485
	WT_Reimb To Operate	21,139	4,697	4,697	4,697	4,697	4,697	44,625
	PR_FINANCE Total	86,737	65,197	65,197	65,197	65,197	65,197	412,723
	Miscellaneous Total	86,737	65,197	65,197	65,197	65,197	65,197	412,723
	Grand Total	533,081	970,991	1,885,646	885,032	326,975	322,556	4,924,281
	Current Available Funding	533,081	970,991	1,885,646	885,032	326,975	322,556	4,924,281
	Available/(Shortfall)	0	0	0	0	0	0	0

* Carry Forward Balance
** Funds Available



**New York City Housing Authority
Capital Plan by Category
Federal
(\$ in thousands)**

		FY16 *	FY17 **	FY18	FY19	FY20	FY21	Total
CPD								
PR_CAPITAL PROJECTS	WT_A and E	11,329	7,500	250	250	250	0	19,579
	WT_Bathrooms	0	6,500	36,500	54,000	70,500	75,000	242,500
	WT_Boilers	62	15,500	30,300	29,600	15,769	0	91,231
	WT_Brickwork	629	6,000	0	0	0	0	6,629
	WT_Brickwork_Roofs	14,323	77,000	45,500	16,000	31,000	31,500	215,323
	WT_CCTV_Layered Access	1,598	0	0	0	0	0	1,598
	WT_CM Fees	1,095	0	0	0	0	0	1,095
	WT_Community Center Renov	4,522	0	0	0	0	0	4,522
	WT_Contingency	8,846	0	0	0	0	0	8,846
	WT_Elevators	98	9,640	14,900	19,000	6,000	19,000	68,638
	WT_Fire Safety	8,217	3,500	3,500	2,500	2,500	2,500	22,717
	WT_Front Line Costs	2,348	0	0	0	0	0	2,348
	WT_Garbage Disposal	10,000	3,700	3,700	3,700	4,400	6,891	32,391
	WT_General Construction	10,776	12,200	7,750	7,750	7,750	6,750	52,976
	WT_Heating	9,445	5,000	11,100	2,000	8,300	2,000	37,845
	WT_Major Renovation	11,775	35,400	38,688	57,783	68,197	68,302	280,145
	WT_Plumbing	21,337	24,800	31,600	35,500	14,000	14,000	141,237
	WT_Roofs	12,000	4,104	0	200	0	4,500	20,804
	WT_Section 504	1,500	10,000	0	0	0	0	11,500
	WT_Windows	805	0	0	0	0	0	805
	CPD Total	130,705	220,844	223,788	228,283	228,667	230,443	1,262,729
Non-CPD								
PR_ADMINISTRATION	WT_IT Hardware and Software	416	0	0	0	0	0	416
	PR_ADMINISTRATION Total	416	0	0	0	0	0	416
PR_IT	WT_IT Hardware and Software	20,464	15,314	12,371	7,876	7,492	5,716	69,234
	PR_IT Total	20,464	15,314	12,371	7,876	7,492	5,716	69,234
PR_OPERATIONS	WT_Boilers	91	0	0	0	0	0	91
	WT_Brickwork_Roofs	2	0	0	0	0	0	2
	WT_Elevators	11	0	0	0	0	0	11
	WT_Environmental	3,997	0	0	0	0	0	3,997
	WT_Fire Safety	68	0	0	0	0	0	68
	WT_FurnitureEquip	4,767	0	0	0	0	0	4,767
	WT_General Construction	2,056	0	0	0	0	0	2,056
	WT_Grounds	354	0	0	0	0	0	354
	WT_Heating	10,448	2,400	2,400	2,400	2,400	2,400	22,448
	WT_Intercoms_Security	17	0	0	0	0	0	17
	WT_Miscellaneous	24	0	0	0	0	0	24
	WT_Painting	5,991	0	0	0	0	0	5,991
	WT_Plumbing	1,389	2,600	2,600	2,600	2,600	2,600	14,389
	PR_OPERATIONS Total	29,217	5,000	5,000	5,000	5,000	5,000	54,217
PR_SUPPLY MANAGEMENT	WT_Ranges	2,980	0	0	0	0	0	2,980
	WT_Refrigerators	1,752	0	0	0	0	0	1,752
	PR_SUPPLY MANAGEMENT Total	4,732	0	0	0	0	0	4,732
	Non CPD Total	62,293	20,314	17,371	12,876	12,492	10,716	136,064
Miscellaneous								
PR_FINANCE	WT_Contingency	3,866	0	0	0	0	0	3,866
	WT_Debt Service	60,500	60,500	60,500	60,500	60,500	60,500	363,000
	WT_IT Hardware and Software	485	0	0	0	0	0	485
	WT_Reimb To Operate	21,139	4,697	4,697	4,697	4,697	4,697	44,625
	PR_FINANCE Total	85,990	65,197	65,197	65,197	65,197	65,197	411,976
	Miscellaneous Total	85,990	65,197	65,197	65,197	65,197	65,197	411,976
	Grand Total	278,988	306,356	306,356	306,356	306,356	306,356	1,810,769
	Current Available Funding	278,988	306,356	306,356	306,356	306,356	306,356	1,810,769
	Available/(Shortfall)	0						

* Carry Forward Balance
** Funds Available



New York City Housing Authority
Capital Plan by Category
City Awards
(\$ in thousands)

		FY16 *	FY17 **	FY18	FY19	FY20	FY21	Total
CPD								
PR_CAPITAL PROJECTS	WT_Brickwork	65,000	20,000	0	0	0	0	85,000
	WT_Brickwork_Roofs	0	84,407	0	0	0	0	84,407
	WT_CCTV_Layered Access	14,879	5,599	0	0	0	0	20,478
	WT_Community Center Renov	17,297	10,333	5,292	0	0	0	32,922
	WT_Electrical_Lighting	18,074	0	0	0	0	0	18,074
	WT_Elevators	2,128	0	0	7,787	7,935	8,086	25,936
	WT_Energy	2,000	0	35,113	0	0	0	37,113
	WT_Entrances_Exits	2,568	0	0	0	0	0	2,568
	WT_Garbage Disposal	350	0	0	0	0	0	350
	WT_General Construction	21,354	2,000	0	0	0	0	23,354
	WT_Grounds	14,005	4,875	2,065	0	0	0	20,945
	WT_Heating	500	0	0	1,000	0	0	1,500
	WT_Intercoms_Security	2,500	1,400	0	0	0	0	3,900
	WT_Interior Doors	729	0	0	0	0	0	729
	WT_Kitchens	0	0	19,091	0	0	0	19,091
	WT_Major Renovation	37,971	0	0	0	0	0	37,971
	WT_Miscellaneous	8,000	0	0	0	0	0	8,000
	WT_Plumbing	45	0	0	1,500	0	0	1,545
	WT_Roofs	1,274	24,913	108,136	4,713	7,065	6,914	153,015
	CPD Total	208,674	153,527	169,697	15,000	15,000	15,000	576,898
Non-CPD								
PR_COMMUNITY PROGRAMS	WT_Community Center Renov	875	0	0	0	0	0	875
	WT_IT Hardware and Software	1	0	0	0	0	0	1
	PR_COMMUNITY PROGRAMS Total	876	0	0	0	0	0	876
PR_ENERGY	WT_Energy	4,940	0	0	0	0	0	4,940
	PR_ENERGY Total	4,940	0	0	0	0	0	4,940
	Non CPD Total	5,816	0	0	0	0	0	5,816
	Grand Total	214,490	153,527	169,697	15,000	15,000	15,000	582,714
	Current Available Funding	214,490	153,527	169,697	15,000	15,000	15,000	582,714
	Available/(Shortfall)	0	0	0	0	0	0	0



New York City Housing Authority
Capital Plan by Category
State
(\$ in thousands)

		FY16 *	FY17 **	FY18	FY19	FY20	FY21	Total
CPD								
PR_CAPITAL PROJECTS	WT_A and E	8	0	0	0	0	0	8
	WT_Electrical_Lighting	3,332	0	0	0	0	0	3,332
	WT_Plumbing	1,568	0	0	0	0	0	1,568
	WT_Roofs	67	0	0	0	0	0	67
	CPD Total	4,975	0	0	0	0	0	4,975
	Grand Total	4,975	0	0	0	0	0	4,975
	Current Available Funding	4,975	0	0	0	0	0	4,975
	Available/(Shortfall)	0	0	0	0	0	0	0



New York City Housing Authority
Capital Plan by Category
Bond
(\$ in thousands)

		FY16 *	FY17 **	FY18	FY19	FY20	FY21	Total
CPD								
PR_CAPITAL PROJECTS	WT_Brickwork_Roofs	1,204	0	0	0	0	0	1,204
	CPD Total	1,204	0	0	0	0	0	1,204
Miscellaneous								
PR_FINANCE	WT_Consulting Costs	747	0	0	0	0	0	747
	PR_FINANCE Total	747	0	0	0	0	0	747
	Miscellaneous Total	747	0	0	0	0	0	747
	Grand Total	1,951	0	0	0	0	0	1,951
	Current Available Funding	1,951	0	0	0	0	0	1,951
	Available/(Shortfall)	0	0	0	0	0	0	0

* Carry Forward Balance
** Funds Available



New York City Housing Authority
Capital Plan by Category
DANY
(\$ in thousands)

		FY16 *	FY17 **	FY18	FY19	FY20	FY21	Total
CPD								
PR_CAPITAL PROJECTS	WT_CCTV_Layered Access	29,088	0	0	0	0	0	29,088
	WT_CM Fees	527	0	0	0	0	0	527
	WT_Contingency	2,063	0	0	0	0	0	2,063
	WT_Electrical_Lighting	430	0	0	0	0	0	430
	WT_Intercoms_Security	66	0	0	0	0	0	66
	CPD Total	32,174	0	0	0	0	0	32,174
	Grand Total	32,174	0	0	0	0	0	32,174
	Current Available Funding	32,174	0	0	0	0	0	32,174
	Available/(Shortfall)	0	0	0	0	0	0	0



New York City Housing Authority
Capital Plan by Category
Comp Grant
(\$ in thousands)

		FY16 *	FY17 **	FY18	FY19	FY20	FY21	Total
CPD								
PR_CAPITAL PROJECTS	WT_Electrical_Lighting	477	0	0	0	0	0	477
	WT_Energy	26	0	0	0	0	0	26
	CPD Total	503	0	0	0	0	0	503
	Grand Total	503	0	0	0	0	0	503
	Current Available Funding	503	0	0	0	0	0	503
	Available/(Shortfall)	0	0	0	0	0	0	0

* Carry Forward Balance
** Funds Available



New York City Housing Authority
Capital Plan by Category
Disaster Recovery
(\$ in thousands)

		FY16 *	FY17 **	FY18	FY19	FY20	FY21	Total
CPD								
PR_CAPITAL PROJECTS	WT_CM Fees	0	25,690	20,959	18,375	0	0	65,024
	WT_Contingency	0	10,880	10,880	8,160	0	0	29,919
	WT_General Construction	0	473,339	1,376,554	535,941	4,419	0	2,390,253
	WT_Miscellaneous	0	1,200	1,200	1,200	1,200	1,200	6,000
	CPD Total	0	511,108	1,409,593	563,676	5,619	1,200	2,491,196
	Grand Total	0	511,108	1,409,593	563,676	5,619	1,200	2,491,196
	Current Available Funding	0	511,108	1,409,593	563,676	5,619	1,200	2,491,196
	Available/(Shortfall)	0	0	0	0	0	0	0