

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

PHA Plan

Annual Plan for Fiscal Year 2003

**DEPARTMENT OF HOUSING PRESERVATION
AND DEVELOPMENT**

JERILYN PERINE, Commissioner

Office of Housing Operations

DIVISION OF TENANT RESOURCES
100 GOLD STREET, NEW YORK, N.Y. 10038

JOHN WARREN, Deputy Commissioner
SHARON WURTZEL, Assistant Commissioner

NOTE: THIS PHA PLANS TEMPLATE (HUD 50075) IS TO BE COMPLETED IN ACCORDANCE WITH INSTRUCTIONS LOCATED IN APPLICABLE PIH NOTICES

PHA Plan Agency Identification

PHA Name: Department of Housing Preservation and Development

PHA Number: NY110

PHA Fiscal Year Beginning: 01/2003

Public Access to Information

Information regarding any activities outlined in this plan can be obtained by contacting: (select all that apply)

- Main administrative office of the PHA
- PHA development management offices
- PHA local offices

Display Locations for PHA Plans and Supporting Documents

The PHA Plans (including attachments) are available for public inspection at: (select all that apply)

- Main administrative office of the PHA
100 Gold Street
New York, NY 10038
- PHA development management offices
- PHA local offices (listed below)
- Main administrative office of the local government
- Main administrative office of the County government
- Main administrative office of the State government
- Public library
- PHA website
- Other (list below)

HPD's Neighborhood Planning Offices:

Bronx

151 East Tremont Avenue
Bronx, NY 10453
(718)-716-0200

North Brooklyn

315 Wyckoff Avenue
Room 501
Brooklyn, NY 11237
(718)-386-5300

South Brooklyn

1360 Fulton Street
Room 419
Brooklyn, NY 11216
(718)-398-7504

Manhattan

105 East 106th Street
Fourth Floor
New York, NY 10029
(212)-289-7582

Queens/Staten Island

144-34 Hillside Avenue
Jamaica, NY 11435
(718)-739-1054

The offices of the following community-based organizations:

**South Bronx
Action Group**

384 East 149th Street
New York, NY 10455
(718)-993-5869
**(English & Spanish)
Chinese)**

**Brooklyn
Tenants Council**

415 Albemarle Road
Brooklyn, NY 11218
(718)-435-7585
**(English, Russian, Spanish,
French, & Creole)**

**Chinese-American
Planning Council**

365 Broadway
New York, NY 10013
(212)-941-0030
(English &

New York Urban League

204 West 136th Street
New York, NY 10030
(212)-926-8000
(English Only)

**The Center for Independence
of the Disabled in NY**

841 Broadway, Suite 205
New York, NY 10003
(212)-674-2300
**(English, Spanish, & Chinese)
Chinese)**

**Asian Americans
for Equality**

108 Norfolk Street
New York, NY 10002
(212)-979-8988
(English &

The community center for HPD Section 8 recipients residing at the:

Kenmore Hotel

145 East 23rd Street
New York, NY 10010
(212)-228-4242

PHA Plan Supporting Documents are available for inspection at: (select all that apply)

- Main business office of the PHA
- PHA development management offices
- Other (list below)

Annual PHA Plan
PHA Fiscal Year 2003
[24 CFR Part 903.7]

i. Annual Plan Type:

Select which type of Annual Plan the PHA will submit.

Standard Plan

Streamlined Plan:

- High Performing PHA**
- Small Agency (<250 Public Housing Units)**
- Administering Section 8 Only**

Troubled Agency Plan

ii. Executive Summary of the Annual PHA Plan

[24 CFR Part 903.7 9 (r)]

Provide a brief overview of the information in the Annual Plan, including highlights of major initiatives and discretionary policies the PHA has included in the Annual Plan.

The New York City Department of Housing Preservation and Development (HPD) works to maximize the production of affordable housing in New York City by encouraging cost-effective development. The Department also promotes the preservation and improvement of the existing housing stock by providing loan assistance, education, and code enforcement. In conjunction with these housing objectives, the Department supports a comprehensive community development agenda by conveying City-owned properties, both occupied and vacant, to responsible private owners, while promoting retail development, homeownership initiatives, and productive community partnerships. In all of its efforts, the Department seeks to operate in an effective and judicious manner, providing a range of high quality and easily accessible services to landlords, tenants and homeowners throughout the City.

As indicated in response to i. Annual Plan Type on page 2 of the FY 2003 Annual Plan, HPD does not own or operate any public housing units and thus its role as a public housing agency (PHA) is limited to the administration of its Section 8 programs. However, HPD is unusual among local PHAs in that it is also a municipal housing agency operating a wide range of housing and community development programs funded through a variety of local, State and Federal sources.

HPD's initiatives include housing rehabilitation, new construction, economic development, real estate tax incentive, fair housing/equal opportunity, property

management and code enforcement efforts. While the following Plan is necessarily focused on HPD's role as a PHA, and consequently the operation of its Section 8 program, it also includes some information on the Agency's larger goals and its other programs. A more complete discussion of HPD's objectives and activities can be found in the New York City Consolidated Plan.

Note: Those sections of the Plan related only to public housing have been deleted.

In FY 2003, HPD intends to use its Section 8 funds to accomplish the following:

- ?? To help homeless and near homeless families secure suitable, affordable and permanent housing.*
- ?? To provide assisted families and individuals with supportive services to prevent homelessness.*
- ?? To develop homeownership opportunities for Section 8 recipients.*
- ?? To continue efforts to help families achieve economic independence through the Family Self-Sufficiency and Welfare to Work Programs.*
- ?? To prevent the economic displacement of very low-income families living in governmentally sponsored development projects through the provision of rental assistance subsidies to these occupants.*
- ?? To use project-based rental assistance to respond to the critical shortage of affordable housing in New York City.*
- ?? To streamline operations to improve effectiveness and service to both recipients and owners.*

In addition, the Agency will also be pursuing a range of other goals through its other programs, including the following:

- ?? To create greater housing opportunities for low-income families by preserving privately-owned housing and preventing abandonment through a variety of strategies, including: assessing physical and financial needs of distressed properties, outreach to owners to encourage code and tax compliance, referral to a variety of educational opportunities and loan programs to facilitate owner investment in their properties.*
- ?? To promote the development of new homeownership opportunities through the sale of vacant City-owned property and a range of new construction initiatives.*

- ?? *To combine concentrated housing and development preservation activity with intensified law enforcement efforts in targeted neighborhoods. This initiative is expected to reduce crime and promote long-term community safety, stability and renewal in neighborhoods that were previously beset by illegal drug activities.*
- ?? *To continue to return occupied City-owned property to private ownership by transferring buildings into alternative management programs and encouraging local entrepreneurs, not-for-profit community groups and tenants to participate in community development through an array of HPD programs.*
- ?? *To continue to assist with the development of supportive housing.*
- ?? *To continue to strengthen the City's inspection and litigation efforts to insure that privately owned buildings in the city comply with the Housing Maintenance Code and relevant laws.*
- ?? *To continue to reduce the hazards of lead-based paint.*
- ?? *To continue to use an array of anti-abandonment strategies to break the cycle of abandonment such as loans, technical assistance, and coordinated enforcement.*

iii. Annual Plan Table of Contents

[24 CFR Part 903.7 9 (r)]

Provide a table of contents for the Annual Plan, including attachments, and a list of supporting documents available for public inspection.

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Attachments

Indicate which attachments are provided by selecting all that apply. Provide the attachment's name (A, B, etc.) in the space to the left of the name of the attachment. Note: If the attachment is provided as a **SEPARATE** file submission from the PHA Plans file, provide the file name in parentheses in the space to the right of the title.

Required Attachments:

- Admissions Policy for Deconcentration
- FY 2003 Capital Fund Program Annual Statement
- Most recent board-approved operating budget
- A** Section 8 Homeownership Program Capacity Statement
- B** Section 8 PHA Project-Based Voucher Program Statement
- C** Announcement of Membership of the Resident Advisory Board
- D** Statement of Progress in Meeting HPD's 5-Year Plan Mission and Goals

Optional Attachments:

- Five-Year Action Plan for Capital Fund
- Public Housing Drug Elimination Program (PHDEP) Plan
- E** RAB's Comments on the PHA Plan and HPD's Responses
- F** Other (List below, providing each attachment name)
- F** Agenda of August 8, 2002 meeting with RAB members
- G** Notice of the availability of the draft agency plan for public inspection and the date and location of the public hearing
- H** PHA Management Organizational Chart (ny110a01)

Supporting Documents Available for Review

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

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
X	PHA Plan Certifications of Compliance with Regulations	5 Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
X	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's involvement.	5 Year and Annual Plans
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
NA	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
NA	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
NA	Public Housing Deconcentration and Income Mixing Documentation: 1. PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 <i>Quality Housing and Work Responsibility Act Initial Guidance; Notice</i> and any further HUD guidance) and 2. Documentation of the required deconcentration and income mixing analysis	Annual Plan: Eligibility, Selection, and Admissions Policies
NA	Public housing rent determination policies, including the methodology for setting public housing flat rents <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
NA	Schedule of flat rents offered at each public housing development <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Rent Determination
X	Section 8 rent determination (payment standard) policies <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Rent Determination
NA	Public housing management and maintenance policy documents, including policies for the prevention or	Annual Plan: Operations and Maintenance

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
	eradication of pest infestation (including cockroach infestation)	
NA	Public housing grievance procedures <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
X	Section 8 informal review and hearing procedures <input checked="" type="checkbox"/> check here if included in Section 8 Administrative Plan	Annual Plan: Grievance Procedures
NA	The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year	Annual Plan: Capital Needs
NA	Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant	Annual Plan: Capital Needs
NA	Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option)	Annual Plan: Capital Needs
NA	Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing	Annual Plan: Capital Needs
NA	Approved or submitted applications for demolition and/or disposition of public housing	Annual Plan: Demolition and Disposition
NA	Approved or submitted applications for designation of public housing (Designated Housing Plans)	Annual Plan: Designation of Public Housing
NA	Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act	Annual Plan: Conversion of Public Housing
X	Approved or submitted public housing homeownership programs/plans	Annual Plan: Homeownership
X	Policies governing any Section 8 Homeownership program <input checked="" type="checkbox"/> check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
X	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
X	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
NA	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
NA	The most recent Public Housing Drug Elimination Program (PHDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
X	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U. S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	Annual Plan: Annual Audit
NA	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs

List of Supporting Documents Available for Review		
Applicable & On Display	Supporting Document	Applicable Plan Component
NA	Other supporting documents (optional) (list individually; use as many lines as necessary)	(Specify as needed)

1. Statement of Housing Needs

[24 CFR Part 903.7 9 (a)]

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

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

Housing Needs of Families in the Jurisdiction by Family Type							
Family Type	Overall	Afford-ability	Supply	Quality	Access-ability	Size	Locat-ion
Income <= 30% of AMI	607,212	5	5	4	3	3	4
Income >30% but <=50% of AMI	310,297	5	5	4	3	3	4
Income >50% but <80% of AMI	371,600	5	5	3	3	3	3
Elderly	1,256,156	5	5	4	4	2	3
Families with Disabilities	NA*	5	5	3	4	3	3
Hispanic	555,527	5	5	4	1	3	4
African-American	582,603	5	5	4	1	3	4
Asian	148,678	5	5	4	1	3	4
White	1,204,936	5	5	4	1	3	4
Other	17,072	5	5	4	1	3	4

*Please refer to the City's Year 2002 Consolidated Plan for detailed information related to the housing needs of families with disabilities.

Note: For a complete discussion of the City's housing needs, please refer to the City's Year 2002 Consolidated Plan.

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

- Consolidated Plan of the Jurisdiction
Indicate year: **2002**
- U.S. Census data: the Comprehensive Housing Affordability Strategy (“CHAS”) dataset
- American Housing Survey data
Indicate year:
- Other housing market study
Indicate year: **1999**
1999 New York City Housing and Vacancy Survey, conducted by the U.S. Bureau of the Census as tabulated by the Department of City Planning.
- Other sources: (list and indicate year of information)

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

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

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<input checked="" type="checkbox"/> Section 8 tenant-based assistance			
<input type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	3352	100%	
Extremely low income <=30% AMI	2557	77.6%	
Very low income (>30% but <=50% AMI)	650	19.7%	
Low income (>50% but <80% AMI)	80	2.4%	
Families with children	1744	52%	
Elderly families	441	13.2%	
Families with Disabilities	568	16.9%	
Asian Families	119	3.6%	
Black Families	1531	45.7%	

Housing Needs of Families on the Waiting List			
Hispanic Families	1269	37.9%	
Caucasian Families	259	7.7%	
Other (Non-White) Families	174	5.2%	
The above data is based on the population of people who have an HPD waitlist date between 7/1/2001 and 6/30/2002, excluding those applicants who were rejected from the waitlist, those applicants with an income of zero, and those applicants who apply under the category of NWSWP (sticky voucher).			
Is the waiting list closed (select one)? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes			
If yes:			
How long has it been closed (# of months)?			
Does the PHA expect to reopen the list in the PHA Plan year? <input type="checkbox"/> No <input type="checkbox"/> Yes			
Does the PHA permit specific categories of families onto the waiting list, even if generally closed? <input type="checkbox"/> No <input type="checkbox"/> Yes			

C. Strategy for Addressing Needs

Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list **IN THE UPCOMING YEAR**, and the Agency's reasons for choosing this strategy.

(1) Strategies

Need: Shortage of affordable housing for all eligible populations

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

Select all that apply

- Employ effective maintenance and management policies to minimize the number of public housing units off-line
- Reduce turnover time for vacated public housing units
- Reduce time to renovate public housing units
- Seek replacement of public housing units lost to the inventory through mixed finance development
- Seek replacement of public housing units lost to the inventory through Section 8 replacement housing resources
- Maintain or increase Section 8 lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction
- Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required
- Maintain or increase Section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration

- Maintain or increase Section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program
- Participate in the Consolidated Plan development process to ensure coordination with broader community strategies
- Other (list below)

?? *Promote financial independence among Section 8 recipients to speed their transition off of the Program in order to use Section 8 resources to help others.*

?? *Use project-based rental assistance as a means of responding to the critical shortage of affordable housing in New York City.*

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

Select all that apply

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

?? *Provide real estate tax incentives for new construction and substantial rehabilitation of the city's housing stock.*

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

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

Select all that apply

- Exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing
- Exceed HUD federal targeting requirements for families at or below 30% of AMI in tenant-based Section 8 assistance
- Employ admissions preferences aimed at families with economic hardships
- Adopt rent policies to support and encourage work
- Other: (list below)

?? *Provide special preference for homeless families on the Section 8 Waiting List.*

?? *Develop housing for homeless and other special needs categories using McKinney funds as well as HOME and other sources.*

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

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

Select all that apply

- Employ admissions preferences aimed at families who are working
- Adopt rent policies to support and encourage work
- Other: (list below)

?? *Develop housing for these households using HOME and other funding sources.*

Need: Specific Family Types: The Elderly

Strategy 1: Target available assistance to the elderly:

Select all that apply

- Seek designation of public housing for the elderly
- Apply for special-purpose vouchers targeted to the elderly, should they become available
- Other: (list below)

?? *Provide below market land and/or buildings to promote Sec. 202 developments, which provide supportive housing for the elderly.*

Need: Specific Family Types: Families with Disabilities

Strategy 1: Target available assistance to Families with Disabilities:

Select all that apply

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

?? *Develop general use projects with "set-asides" for persons with disabilities.*

?? *Provide below market land and/or buildings to promote Sec. 811 developments, which offer supportive services for very low-income persons with disabilities.*

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

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

Select if applicable

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

Strategy 2: Conduct activities to affirmatively further fair housing

Select all that apply

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

?? *Provide training to owners/employers regarding fair housing and equal opportunity.*

Other Housing Needs & Strategies: (list needs and strategies below)

(2) Reasons for Selecting Strategies

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

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

2. Statement of Financial Resources

[24 CFR Part 903.7 9 (b)]

List the financial resources that are anticipated to be available to the PHA for the support of Federal public housing and tenant-based Section 8 assistance programs administered by the PHA during the Plan year. Note: the table assumes that Federal public housing or tenant based Section 8 assistance grant funds are expended on eligible purposes; therefore, uses of these funds need not be stated. For other funds, indicate the use for those funds as one of the following categories: public housing operations, public housing capital improvements, public housing safety/security, public housing supportive services, Section 8 tenant-based assistance, Section 8 supportive services or other.

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
1. Federal Grants (FY 2003 grants)		
a) Public Housing Operating Fund	NA	
b) Public Housing Capital Fund	NA	
c) HOPE VI Revitalization	NA	
d) HOPE VI Demolition	NA	
e) Annual Contributions for Section 8 Tenant-Based Assistance	\$131,920,000 (1)	Section 8 Housing Choice Voucher program administration
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	NA	
g) Resident Opportunity and Self-Sufficiency Grants	\$769,327	Family Self-Sufficiency program coordinators
h) Community Development Block Grant	\$191,496,000	Maintenance of low-income housing; economic and community development; housing rehab and supportive services
i) HOME	\$116,060,000 (2)	Neighborhood development and housing rehab
Other Federal Grants (list below)		
Section 8 Moderate Rehab for SROs	\$2,191,080 (3)	Rehab

Financial Resources: Planned Sources and Uses		
Sources	Planned \$	Planned Uses
Shelter Plus Care Program	\$6,321,360 (3)	Neighborhood development and housing rehab
Economic Development Initiative	\$665,000 (3)	Neighborhood development and housing rehab
Section 108 Guarantee Loan Program	\$3,265,000 (3)	Neighborhood development and housing rehab
2. Prior Year Federal Grants (unobligated funds only) (list below)		
3. Public Housing Dwelling Rental Income	NA	
4. Other income (list below)		
5. Non-federal sources (list below)		
City Capital Budget	\$368,220,000	Neighborhood development, new construction, and housing rehab
City Expense	\$89,830,975	Administration, housing preservation, and services
Total resources	\$910,738,742	

Note: Program funds other than Section 8 provide support to the PHA's mission, and are not related to the PHA's Section 8 activities.

(1) This revenue represents the amount HPD expects in program year 2003 to manage the Section 8 Program based on current funding methodology.

(2) Figures are based on HPD's actual awards for 2002. Amendments may be required when Congress makes final allocations.

(3) Programs are competitive; estimate is based on past performance.

3. PHA Policies Governing Eligibility, Selection, and Admissions

[24 CFR Part 903.7 9 (c)]

A. Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete sub-component 3A.

B. Section 8

Exemptions: PHAs that do not administer Section 8 are not required to complete sub-component 3B.

Unless otherwise specified, all questions in this section apply only to the tenant-based Section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).

(1) Eligibility

- a. What is the extent of screening conducted by the PHA? (select all that apply)
- Criminal or drug-related activity only to the extent required by law or regulation
 - Criminal and drug-related activity, more extensively than required by law or regulation
 - More general screening than criminal and drug-related activity (list factors below)
 - Other (list below)
- b. Yes No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?
- c. Yes No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?
- d. Yes No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)
- e. Indicate what kinds of information you share with prospective landlords? (select all that apply)
- Criminal or drug-related activity
 - Other (describe below)

?? If requested in writing by the landlord, HPD will provide the name, address and phone number of previous landlords of the prospective tenant.

(2) Waiting List Organization

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

- None
- Federal public housing
- Federal moderate rehabilitation
- Federal project-based certificate program
- Other federal or local program (list below)

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

- PHA main administrative office
- Other (list below)

?? HPD staff and contracted agencies conduct outreach to eligible populations and often initiate applications in the field.

(3) Search Time

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

If yes, state circumstances below:

HPD will grant one 30-day extension to the voucher if the recipient documents that (s)he has made a good faith effort to find housing within the initial term.

HPD may grant additional extensions to certain clients in special circumstances. HPD will also grant additional extensions if needed as a reasonable accommodation to make the program accessible to and usable by a person with a disability.

HPD will suspend the voucher term if the applicant has provided a request for tenancy approval until the time that HPD approves or denies the request. If a voucher has expired, the family will be required to reapply and will be placed on the waiting list if HPD is accepting applications.

(4) Admissions Preferences

a. Income targeting

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

b. Preferences

1. Yes No: Has the PHA established preferences for admission to Section 8 tenant-based assistance? (other than date and time of application) (if no, skip to subcomponent **(5) Special purpose Section 8 assistance programs**)
2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

Former Federal preferences

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

Other preferences (select all that apply)

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

?? *Homeless or near homeless*

?? *Rent burdened households that are residing in a building owned by the City of New York or by an entity designated by the city to achieve its housing goals, and is in need of substantial renovation. The voucher will be issued to allow the applicant to locate permanent, alternate housing.*

?? *Income-eligible New Yorkers impacted by the World Trade Center attack.*

?? *Income-eligible New Yorkers impacted by the crash of American Airlines Flight 587.*

?? *Eligible households residing in buildings that have been developed (newly constructed or renovated) with financial assistance from HPD or buildings for which HPD maintains regulatory responsibility.*

?? *Households in a circumstance that presents an imminent risk to life, health or safety.*

- ?? *Family Unification Program (Referred by Administration for Children's Services.)*
- ?? *Families affected by a housing conversion action in accordance with PIH Notice 2001-41.*
- ?? *Welfare-to-Work Section 8 Program*

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

Date and Time *Within preference category*

Former Federal preferences

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

Other preferences (select all that apply)

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

- 1** *Households in a circumstance that presents an imminent risk to life, health or safety.*
- 1** *Family Unification Program (Referred by Administration for Children's Services.)*
- 1** *Families affected by a housing conversion action in accordance with PIH Notice 2001-41.*
- 1** *Welfare-to-Work Section 8 Program*
- 2** *Homeless or near homeless*
- 2** *Rent burdened households that are residing in a building owned by the City*

of New York or by an entity designated by the city to achieve its housing goals, and is in need of substantial renovation. The voucher will be issued to allow the applicant to locate permanent, alternate housing.

2 *Income-eligible New Yorkers impacted by the World Trade Center Attack.*

2 *Income-eligible New Yorkers impacted by the crash of American Airlines Flight 587.*

2 *Eligible households residing in buildings that have been developed (newly constructed or renovated) with financial assistance from HPD or buildings for which HPD maintains regulatory responsibility.*

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

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

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

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

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

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

(5) Special Purpose Section 8 Assistance Programs

a. In which documents or other reference materials are the policies governing eligibility, selection, and admissions to any special-purpose Section 8 program administered by the PHA contained? (select all that apply)

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

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

- Through published notices
 Other (list below)

?? *Outreach to network of non-profit organizations*

?? *HPD case management staff outreach*

?? *Coordination with private housing units*

?? *Coordination with public and private homeless shelter operators*

4. PHA Rent Determination Policies

[24 CFR Part 903.7 9 (d)]

A. Public Housing

Exemptions: PHAs that do not administer public housing are not required to complete sub-component 4A.

B. Section 8 Tenant-Based Assistance

Exemptions: PHAs that do not administer Section 8 tenant-based assistance are not required to complete sub-component 4B. **Unless otherwise specified, all questions in this section apply only to the tenant-based Section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).**

(1) Payment Standards

Describe the voucher payment standards and policies.

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

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

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

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

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

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

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

- Annually
 - Other (list below)
- As situation merits*

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

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

(2) Minimum Rent

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

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

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

HPD has adopted a policy of allowing families with severe financial hardships to have their rent obligation reduced to a level reflecting the family’s verified income. In an appropriate case, rent could be as low as the minimum rent of \$0. However, nothing in HPD’s policy lessens the family’s obligation to cooperate and to verify the household’s then current income.

5. Operations and Management

[24 CFR Part 903.7 9 (e)]

Exemptions from Component 5: High performing and small PHAs are not required to complete this section. Section 8 only PHAs must complete parts A, B, and C(2)

A. PHA Management Structure

Describe the PHA’s management structure and organization.

(select one)

- An organization chart showing the PHA’s management structure and organization is attached.
- A brief description of the management structure and organization of the PHA follows:

B. HUD Programs Under PHA Management

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

Program Name	Units or Families Served at Year Beginning	Expected Turnover
Public Housing	NA	NA
Section 8 Vouchers	19430	950
Section 8 Certificates	NA	NA
Section 8 Mod Rehab	4867	344
Special Purpose Section 8 Certificates/Vouchers (list individually)		
Welfare-to-Work	700	56
Mainstream Vouchers	100	7
Kenmore Hotel	300	21
Subway Homeless	250	17
Family Unification Vouchers	100	7
Mod Conversions	829	58
Enhanced / “Sticky” Vouchers	371	21
Public Housing Drug Elimination Program (PHDEP)	NA	NA
Other Federal Programs (list individually)		
Project-Based	1000	30

C. Management and Maintenance Policies

List the PHA’s public housing management and maintenance policy documents, manuals and handbooks that contain the Agency’s rules, standards, and policies that govern maintenance and management of public housing, including a description of any measures necessary for the prevention or eradication of pest infestation (which includes cockroach infestation) and the policies governing Section 8 management.

- (1) Public Housing Maintenance and Management: (list below)
- (2) Section 8 Management: (list below)

See Section 8 Administrative Plan

6. PHA Grievance Procedures

[24 CFR Part 903.7 9 (f)]

Exemptions from component 6: High performing PHAs are not required to complete component 6. Section 8-Only PHAs are exempt from sub-component 6A.

A. Public Housing

B. Section 8 Tenant-Based Assistance

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

If yes, list additions to federal requirements below:

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

7. Capital Improvement Needs

[24 CFR Part 903.7 9 (g)]

Exemptions from Component 7: Section 8 only PHAs are not required to complete this component and may skip to Component 8.

8. Demolition and Disposition

[24 CFR Part 903.7 9 (h)]

Applicability of component 8: Section 8 only PHAs are not required to complete this section.

9. Designation of Public Housing for Occupancy by Elderly Families or Families with Disabilities or Elderly Families and Families with Disabilities

[24 CFR Part 903.7 9 (i)]

Exemptions from Component 9; Section 8 only PHAs are not required to complete this section.

10. Conversion of Public Housing to Tenant-Based Assistance

[24 CFR Part 903.7 9 (j)]

Exemptions from Component 10; Section 8 only PHAs are not required to complete this section.

11. Homeownership Programs Administered by the PHA

[24 CFR Part 903.7 9 (k)]

A. Public Housing

Exemptions from Component 11A: Section 8 only PHAs are not required to complete 11A.

B. Section 8 Tenant Based Assistance

1. Yes No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982 ? (If "No", skip to component 12; if "yes", describe each program using the table below (copy and complete questions for each program identified), unless the PHA is eligible to complete a streamlined submission due to high performer status. **High performing PHAs** may skip to component 12.)

Effective July 2002, HPD established a Section 8 Homeownership Option for eligible and qualified HPD voucher and certificate holders. Neighborhood Housing Services (NHS), a local housing counseling agency and lender, will help selected rental households become homeowners. Please refer to the Administrative Plan for further information related to the homeownership program.

2. Program Description:

a. Size of Program

- Yes No: Will the PHA limit the number of families participating in the Section 8 homeownership option?

If the answer to the question above was yes, which statement best describes the number of participants? (select one)

- 25 or fewer participants
 26 - 50 participants
 51 to 100 participants
 more than 100 participants

b. PHA-established eligibility criteria

- Yes No: Will the PHA's program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria?

If yes, list criteria below:

HPD will initially offer the pilot homeownership program to FSS participants who meet the following qualifications.

1) CURRENT SECTION 8 VOUCHER HOLDER. The applicant must be a current Section 8 voucher holder; in full compliance with her lease, with Section 8 requirements, with FSS requirements; and must not owe HPD any funds under a repayment agreement.

2) INCOME: The income of the Adult family member who will own the home at commencement of homeownership assistance must be, at a minimum, equivalent to 2000 hours of annual full time work at Federal minimum wage (approximately \$10,300 at \$5.15/hr rate.) Public assistance income may not be used for meeting this minimum requirement, except for households in which the head or spouse is elderly or disabled. (as defined in “2. Minimum Income Requirements” of the legislation.)

3) ASSETS: In order to build assets adequate to acquire and maintain a home, the Section 8 recipient or another adult household member must be enrolled in HPD’s Family Self-Sufficiency program for at least six months. Participants may also be required to enroll in a First Home Club and/or Home Buyers Club. The minimum homeowner down payment is 3% of the purchase price, and at least 1% of the purchase price must come from the family’s personal resources.

4) EMPLOYMENT: One or more adult members of the household who will own the home at commencement of homeownership assistance must be employed full time (30 hours or more weekly) and must be employed continuously during the year prior to commencement of Homeownership assistance. HPD has discretion concerning breaks in employment. Households with a disabled household member may receive an exemption as a reasonable accommodation if HPD agrees. Households in which the head of household or spouse is disabled or elderly are exempted from this requirement.

5) PREVIOUS DEFAULTS: The household members who will have an ownership interest in the house must not have defaulted on a mortgage to purchase a home under the homeownership option of any PHA.

6) FIRST TIME HOMEOWNERS: The applicant must be a first time homeowner. No family member may have held title to a principal residence in the previous three years. A single parent or displaced homemaker who -while married- owned a home with a spouse or resided in a home owned by a spouse is considered a first time homeowner for these purposes.

7) HOMEOWNERSHIP PARTICIPATION AGREEMENT: *If the applicant meets the minimum program requirements, the applicant will be required to sign a “Homeownership Participation Agreement” prior to referral to an HPD approved homeownership counseling agency. This agreement will describe what HPD will require for participation in the Section 8 Homeownership Program.*

8) PRE-PURCHASE COUNSELING: *Once the applicant meets the minimum program requirements described above, the applicant will be referred to an HPD approved homeownership counseling agency for pre-purchase counseling. The pre-purchase counseling will include home maintenance, budgeting and money management, credit counseling, financing options, and how to locate and negotiate the purchase of a house.*

12. PHA Community Service and Self-Sufficiency Programs

[24 CFR Part 903.7 9 (1)]

Exemptions from Component 12: High performing and small PHAs are not required to complete this component. Section 8-Only PHAs are not required to complete sub-component C.

A. PHA Coordination with the Welfare (TANF) Agency

1. Cooperative agreements:

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

If yes, what was the date that agreement was signed? **05/06/99**

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

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

B. Services and programs offered to residents and participants

(1) General

a. Self-Sufficiency Policies

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

(select all that apply)

- Public housing rent determination policies
- Public housing admissions policies
- Section 8 admissions policies
- Preference in admission to Section 8 for certain public housing families
- Preferences for families working or engaging in training or education programs for non-housing programs operated or coordinated by the PHA
- Preference/eligibility for public housing homeownership option participation
- Preference/eligibility for Section 8 homeownership option participation
- Other policies (list below)

HPD established a Section 8 Homeownership Option for eligible and qualified HPD voucher and certificate holders effective July 2002.

b. Economic and Social self-sufficiency programs

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

Services and Programs				
Program Name & Description (including location, if appropriate)	Estimated Size	Allocation Method (waiting list/random selection/ specific criteria/other)	Access (development office / PHA main office / other provider name)	Eligibility (public housing or Section 8 participants or both)
HomeBase: HPD’s Section 8 Welfare-to-Work provides community-based case management and other self-sufficiency services.	838	Waiting List	PHA Main Office	Section 8 participants

(2) Family Self Sufficiency program/s

a.

Family Self Sufficiency (FSS) Participation
--

Program	Required Number of Participants (start of FY 2002 Estimate)	Actual Number of Participants (As of: 07/01/02)
Public Housing	NA	NA
Section 8	2440	2143

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

HPD is in the midst of a concerted effort to increase the size of its FSS Program. Specific steps include:

- ?? ***HPD mails informational brochures to every household receiving HPD Section 8 assistance and conducts outreach at briefings for new HPD Section 8 recipients.***
- ?? ***HPD has contracted with community-based organizations to provide outreach to HPD Section 8 recipients in their communities regarding FSS, and are in the process of implementing a contract for training, educational and employment services.***
- ?? ***HPD will initiate shortly a collaborative program with an agency that is an affiliated Workforce Investment Act One-Stop Center.***
- ?? ***HPD is further developing governmental and non-governmental job training, education, employment and other support service resources.***

C. Welfare Benefit Reductions

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

- Adopting appropriate changes to the PHA's public housing rent determination policies and train staff to carry out those policies (***as applied to Section 8***).
- Informing residents of new policy on admission and reexamination
- Actively notifying residents of new policy at times in addition to admission and reexamination.
- Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services

- Establishing a protocol for exchange of information with all appropriate TANF agencies
- Other: (list below)

D. Reserved for Community Service Requirement pursuant to section 12(c) of the U.S. Housing Act of 1937

13. PHA Safety and Crime Prevention Measures

[24 CFR Part 903.7 9 (m)]

Exemptions from Component 13: High performing and small PHAs not participating in PHDEP and Section 8 Only PHAs may skip to component 15. High Performing and small PHAs that are participating in PHDEP and are submitting a PHDEP Plan with this PHA Plan may skip to sub-component D.

14. RESERVED FOR PET POLICY

[24 CFR Part 903.7 9 (n)]

15. Civil Rights Certifications

[24 CFR Part 903.7 9 (o)]

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

16. Fiscal Audit

[24 CFR Part 903.7 9 (p)]

1. Yes No: Is the PHA required to have an audit conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h))?
(If no, skip to component 17.)
2. Yes No: Was the most recent fiscal audit submitted to HUD?
3. Yes No: Were there any findings as the result of that audit?
4. Yes No: If there were any findings, do any remain unresolved?
If yes, how many unresolved findings remain? **4**
5. Yes No: Have responses to any unresolved findings been submitted to HUD?
In July of 2002
If not, when are they due (state below)?

Completion of the Single Audit for the City's fiscal year ending June 30, 2001 has been delayed because of the events of September 11, 2001. Once complete, HPD will provide a copy to HUD.

In keeping with the established procedure for the "Single Audit", HPD prepared a corrective action plan, which it submitted to its auditors (KPMG) in July of 2002. HPD is now in the process of implementing this plan in order to resolve these findings. This is being accomplished while the entire Single Audit for fiscal year end June 30, 2001 is being completed.

17. PHA Asset Management

[24 CFR Part 903.7 9 (q)]

Exemptions from component 17: Section 8 Only PHAs are not required to complete this component. High performing and small PHAs are not required to complete this component.

18. Other Information

[24 CFR Part 903.7 9 (r)]

A. Resident Advisory Board Recommendations

1. Yes No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?

2. If yes, the comments are: (if comments were received, the PHA **MUST** select one)

Attached as Attachment (Attachment E)

Provided below:

3. In what manner did the PHA address those comments? (select all that apply)

Considered comments, but determined that no changes to the PHA Plan were necessary.

The PHA changed portions of the PHA Plan in response to comments
List changes below:

Other: (list below)

B. Description of Election process for Residents on the PHA Board

1. Yes No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)

Due to its status as a Section 8 program administrator that does not own or operate any public housing units, HPD is not required to have a PHA Board.

2. Yes No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)

3. Description of Resident Election Process

a. Nomination of candidates for place on the ballot: (select all that apply)

- Candidates were nominated by resident and assisted family organizations
 Candidates could be nominated by any adult recipient of PHA assistance
 Self-nomination: Candidates registered with the PHA and requested a place on ballot
 Other: (describe)

b. Eligible candidates: (select one)

- Any recipient of PHA assistance
 Any head of household receiving PHA assistance
 Any adult recipient of PHA assistance
 Any adult member of a resident or assisted family organization
 Other (list)

c. Eligible voters: (select all that apply)

- All adult recipients of PHA assistance (public housing and Section 8 tenant-based assistance)
 Representatives of all PHA resident and assisted family organizations
 Other (list)

C. Statement of Consistency with the Consolidated Plan

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary).

1. Consolidated Plan jurisdiction: (provide name here) *New York City*
2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)
- The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.

- The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
- Other: (list below)

3. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: (describe below)

The Consolidated Plan clearly recognizes the importance of Section 8 rental assistance and outlines HPD's intended use of this Program.

D. Other Information Required by HUD

Use this section to provide any additional information requested by HUD.

Criteria for Significant Amendment or Modification of the Agency Plan (24 CFR 903.7(r)(ii)):

HPD will amend or modify its agency plan upon the occurrence of any of the following events during the first nine months of the term of an approved plan:

A federal statutory or regulatory change is made effective and, in the opinion of HPD, has either substantial programmatic or financial effects on the programs administered by HPD, or creates substantial obligations or administrative burdens beyond the programs under administration at the start of the PHA Plan year.

Any other event that HPD determines to be a significant amendment or modification of the approved annual plan.

An exception to this definition will be made for any of the above that are adopted to reflect changes in HUD regulatory requirements; such changes will not be considered significant amendments by HUD.

If a proposed change to the PHA Plan is considered a substantial change, it must undergo a public process that includes: consultation with the Resident Advisory Board, a public comment period, public notification of where and how the proposed change can be reviewed, and approval by HPD's governing body.

Attachments

Use this section to provide any additional attachments referenced in the Plans.

- A.** Section 8 Homeownership Program Capacity Statement
- B.** Section 8 PHA Project-Based Voucher Program Statement
- C.** Announcement of Membership of the Resident Advisory Board
- D.** Statement of Progress in Meeting HPD's 5-Year Plan Mission and Goals
- E.** RAB's Comments on the PHA Plan and HPD's Responses
- F.** Agenda of August 8, 2002 meeting with RAB members
- G.** Notice of the availability of the draft agency plan for public inspection and the date and location of the public hearing
- H.** PHA Management Organizational Chart

A. SECTION 8 HOMEOWNERSHIP PROGRAM CAPACITY STATEMENT

Effective March 2002, HPD hereby establishes a Section 8 Homeownership Option for eligible and qualified HPD voucher and certificate holders, pursuant to the HUD final rule dated 9/12/00. This option is intended to be consistent with all Federal and HUD requirements. HPD demonstrates its capacity to administer the Section 8 Homeowner Program by satisfying all three of the following criteria:

1. Establish a minimum homeowner down payment requirement if at least three percent and require that at least one percent of the down payments come from the family's resources;
2. Require that financing for purchase of a home under our Section 8 homeownership program will: be provided, insured or guaranteed by the state or Federal government; comply with secondary mortgage market underwriting requirements; or comply with generally accepted private underwriting standards.
3. Demonstrate in our Annual Plan that HPD has the capacity, or will acquire the capacity to successfully operate a Section 8 homeownership program.

For further information related to HPD's Homeownership Program, please refer to HPD's Administrative Plan.

B. SECTION 8 PROJECT-BASED VOUCHER PROGRAM STATEMENT

In accordance with Section 232 of the FY2001 VA-HUD Appropriations Act, 24 CFR Part 983, and the Notice published in 66 Federal Register 3605 on January 16, 2001, the New York City Department of Housing Preservation and Development (HPD) makes the following statement:

- 1) HPD will implement a project-based voucher program in FY 2003 by advertising the availability of 1,000 vouchers for project-based assistance. This number represents 5.25% of the total number of vouchers under the agency's administration.

- 2) HPD understands that all new project-based assistance agreements must be for units in census tracts with poverty rates of less than 20% unless HUD specifically approves an exception for a particular property. HUD will promote the availability of project-based assistance to property owners in those areas of the city that meet the poverty rate guideline. Each of the five boroughs of the city currently maintains census tracts that would qualify for project-based assistance.

- 3) The Section 8 project-based voucher program will be consistent with HPD's FY2003 Agency Plan because:
 - ?? Providing project-based assistance rather than tenant-based assistance will provide a long-term supply of affordable housing in certain locations of the city and improve the inventory of housing available for low-income families.
 - ?? Project-based assistance will augment HPD's development activities and provide for stabilized buildings that can serve extremely low-income families.
 - ?? Project-based assistance will expand the scope of HPD's programs available for property owners and low income families;
 - ?? Project-based assistance will further HPD's goal of deconcentrating poverty through the Section 8 program and expanding economic opportunities for low income families.

C. ANNOUNCEMENT OF MEMBERSHIP OF THE RESIDENT ADVISORY BOARD

As a Section 8-only PHA, HPD has discretion in the Resident Advisory Board (RAB) appointment process. A RAB comprised of twelve HPD Section 8 recipients was convened in order to assist in developing the 2003 PHA Plan. HPD's RAB is comprised of tenants who adequately reflect and represent the residents assisted by HPD in terms of place of residence, race/ethnicity, gender, age, disability status, family size, and sub-program affiliation. HPD's outreach efforts included sending letters accompanied by an informational brochure, with an enclosed application form, to approximately 2,400 HPD Section 8 recipients. HPD also conducted outreach to approximately 300 HPD Section 8 recipients residing at the Kenmore Hotel, a supportive housing facility.

HPD received over 275 applications from HPD Section 8 recipients interested in serving on HPD's RAB, and selected twelve members based on the following selection criteria:

- ?? Adequate reflection and representation of HPD Section 8 recipients.
- ?? Community service and involvement.
- ?? Level of engagement/interest in relevant issues/level of stake holding.
- ?? Status as Section 8 recipient in good standing.
- ?? Teamwork capacity.
- ?? Ability to represent HPD Section 8 recipients and address related concerns/needs.

HPD Section 8 RAB membership:

NAME	BOROUGH OF RESIDENCE
Cathaline Bradley	Manhattan
Vitali Bunos	Brooklyn
Saleema Carroll	Bronx
Virginia Corona	Bronx
Acdez Flete Gonzalez	Bronx
Dawn Harney	Bronx
Marilyn Jones	Queens
Crescencia Latimer	Bronx
Douglas Roosevelt	Manhattan
Ashwani Kumar Sharma	Brooklyn
Deidre Short	Bronx
Delores Walker	Manhattan

D. STATEMENT OF PROGRESS IN MEETING HPD'S 5-YEAR PLAN MISSION & GOALS

HPD's 5-Year Plan for 2002-2006 made reference to a number of "mission goals". Below is a restatement of those goals and a summation of the Agency's progress in meeting those goals.

Maximize the production of affordable housing in New York City by encouraging cost-effective development.

In its efforts to provide direct financial assistance to encourage the development of affordable housing in New York City, HPD began construction of 2,450 new units, and by the end of FY 2002, HPD completed work on 2,060 units, in one- to four-unit owner-occupied homes through New York City Partnership.

Promote the preservation and improvement of the existing housing stock by providing loan assistance, education, and code enforcement.

Overall, in FY 2002 the City HPD began the rehabilitation of 6,296 units, and completed work on 3,279 units, in privately owned housing through the provision of low-interest financing. This number includes completed units in programs funded from all sources (including City capital funding). In 2002, HPD continued the expansion of its Housing Education Program that teaches building owners, managers and superintendents the basic management, maintenance and building finance skills necessary to improve their properties. Through 69 course sections offered in FY 2002, the program enrolled 2,950 participants. In HPD's continuing effort to enforce compliance with housing quality standards, HPD completed 274,618 inspections in 2002. Also, HPD opened 13,630 new code compliance cases in 2002, and collected \$2.006 million in judgments and settlements in the agency's Housing Litigation Division.

Support community development by conveying City-owned property, both occupied and vacant, to responsible private owners while promoting retail development and homeownership opportunities.

HPD's Division of Alternative Management Programs (DAMP) accelerated its disposition efforts, resulting in a reduction in City-owned apartments from 44,000 units in 1994 to an all-time low of 5,439 in FY 2002, and a decrease of 34% from the FY 2001 number. As part of its Building Blocks Initiative, HPD continued to return occupied City-owned property from Central Management to private ownership by transferring buildings into alternative management programs before selling them. Building Blocks accelerates the transfer of property by encouraging local

entrepreneurs, nonprofit community groups, and tenants to participate in community redevelopment. The ANCHOR Program revitalizes local commercial development in low- and moderate-income areas that receive substantial public and private housing investment and need additional retail services. HPD completed a total of 84,000 square feet of commercial/retail space and 255 ANCHOR home-ownership units in Fiscal 2002.

The above numerical information refers to HPD's fiscal year (FY) 2002, which runs from July 01, 2001 through June 30, 2002.

E. RAB'S COMMENTS ON THE PHA PLAN AND HPD'S RESPONSES

RAB Member Comment: When a landlord becomes aware of the fact that a prospective tenant is a Section 8 voucher holder, (s)he is reluctant to rent to him/her.

HPD Response: HPD works hard to promote a positive image of the Section 8 program and to continually improve upon its relationship with prospective and current owners renting to Section 8 recipients. HPD has increased its owner outreach efforts along with distribution of marketing materials, which educate owners about the benefits of participating in the Section 8 program. HPD also has improved its Section 8 payment process and is offering landlord incentive payments to further encourage the acceptance of Section 8 in NYC's tight housing market. Moreover, HPD coordinates outreach efforts with community groups and/or organizations engaged in fair housing issues and community development activities.

In addition, HPD provides services and assistance to families that allege they have encountered discrimination during their housing search. Each tenant attends a briefing session where information on local, state and federal Fair Housing laws is provided. A HUD-903 form and a Fair Housing USA pamphlet are given to each tenant during the briefing session. In the event that a person alleges discrimination, this person is instructed to contact HPD's Office of Equal Opportunity and Community Affairs. Staff in that office will assist the tenant in filing a HUD-903 form and will conduct an investigation into the matter.

RAB Member Comment: HPD has done a wonderful job in serving the homeless and assisting people in need. In addition, I thought that the coordination of the RAB was done very well.

HPD Response: Thank you. As noted in the PHA Plan, HPD attempts to meet the increasing demand for housing through its Section 8 program. Due to the severity of housing needs in New York City, HPD employs admission preferences that can be found in the PHA Plan. Although HPD is the nation's largest municipal housing agency, we also realize that the housing needs of many New Yorkers go unserved. In addition to its Section 8 program, HPD pursues a range of other goals through its other programs.

HPD is grateful for the opportunity to work with our RAB in developing the 2003 PHA Plan. The RAB's recommendations will be incorporated into the final version of the plan that will be submitted to the U.S. Department of Housing and Urban Development (HUD).

RAB Member Comment: I am very interested in the Section 8 homeownership program. What are some of the criteria in relation to program eligibility?

HPD Response: HPD will offer the pilot Section 8 homeownership program to Family Self-Sufficiency (FSS) Program participants who meet the program eligibility qualifications, which can be found in Section 11, Part B of the draft version of the PHA Plan. To ensure its success, the initial pilot homeownership program will be closely monitored and limited in terms of size.

RAB Member Comment: Why is HPD exempt from some of the aspects of the PHA Plan?

HPD Response: There are several types of PHA Plan submission. The type of submission depends upon the public housing agency's performance designation and/or its size. HPD is a Section 8-only PHA, which is a PHA or governmental agency that administers Section 8 only. HPD does not own or operate any public housing units, and thus its role as a PHA is limited to the administration of its Section 8 programs. Therefore, HPD may complete a streamlined submission of the full PHA Plan template.

RAB Member Comment: Can you move to another state with a Section 8 voucher?

HPD Response: Yes, at any time during the period of assistance, an eligible tenant may move within or outside the geographical limits covered by HPD's jurisdiction, provided that a landlord is found who is willing to participate in the Section 8 program, and the new unit passes its housing quality standards inspection. HPD will fully comply with all existing portability requirements and ensure that families wishing to take their subsidy to another jurisdiction can do so.

Families will not be permitted to move during the first twelve months of assistance unless the move is related to a safety, health or other emergency condition. Families will not be permitted to move during the terms of their lease without consent of their landlords.

RAB Member Comment: Self-sufficiency programs can enable an increase in income and other opportunities for Section 8 recipients.

HPD Response: Approximately ten years ago, HUD created the Family Self-Sufficiency (FSS) Program as a work incentive program. FSS was established because Section 8 operated in a way that made some people view it as a disincentive to work program. FSS is

a program designed to promote employment and increase savings among families receiving Section 8 vouchers or certificates.

HPD's FSS Program assists households receiving tenant-based Section 8 rental assistance from HPD to become economically independent. The FSS Program offers participants the opportunity to accumulate substantial savings that result from earnings increases, and are available to participants upon successful graduation from the program. HPD's recent focus in terms of its FSS program has been to increase enrollment and to enhance available services to enable self-sufficiency.

While enrolled in FSS, a family's rent payment will be exactly the same as it would have been if the family was not in FSS. However, if an FSS participant increases his or her earnings from work, an amount equal to 30 percent of his or her net increase in income (or 30 percent of his or her increased earnings, whichever is lower) will be deposited in an escrow account that the participant can access if (s)he successfully completes the program. (There are slightly different rules if a family's income exceeds 50 percent of the area median income.)

If the family successfully completes the FSS program, it will be given the full amount in its escrow account, plus interest. If the family does not successfully complete the program, it will not receive the funds in the escrow account. There is no limit to the amount of savings a family may accumulate in the escrow account.

RAB Member Comment: Are there any restrictions on how the money can be used?

HPD Response: No, a FSS program graduate can use the money toward whatever (s)he wants. HPD may also allow participants to make withdrawals from their accounts prior to completion of the program to pay for education, work-related expenses, or other purposes related to the goals in the FSS contract.

RAB Member Comment: Can someone reenter the FSS program after completing it the first time?

HPD Response: No. At the end of the term, a Section 8 recipient is ineligible to re-enroll in the FSS Program. This policy affords other Section 8 recipients the opportunity to participate in the program and to achieve self-sufficiency.

RAB Member Comment: I notice that there are different types of programs and apartments for people with disabilities, people receiving SSI and other types of tenants.

HPD Response: HPD has a wide array of programs in addition to its Section 8 program. HPD attempts to address a diverse range of housing needs in New York City through its various programs and continues to innovate new techniques and strategies. A hard copy

edition of the **HPD Guide to Programs and Services**, is available by calling the agency's general information number, (212)-863-8000.

RAB Member Comment: RAB members expressed a strong level of frustration in terms of tenants' inability to effectively deal with problems with their landlords.

HPD Response: Housing Quality Standards (HQS) enforcement is important. A trained Section 8 housing quality staff-person makes an inspection using the HUD approved inspection checklist form before approving any proposed lease. HPD relies on HUD's Housing Quality Standards, as set forth in 24 CFR Part 982.401, and procedures for ensuring that that new units are inspected in accordance with 24 CFR Part 982.405. Assisted units are reinspected annually. If HQS violations are found, the owner will be given a written notice that they must be removed within 30 days or within 24 hours if life-threatening. HPD may also consider granting an extension to the 30-day period for good cause. Failure to remove HQS violations will result in suspension and, if corrections are not made within 30 days, or any HPD approved extension for good cause, termination of subsidy benefits.

A follow-up inspection will be performed once the Section 8 program is informed that the deficiency is corrected. HPD supervisory inspectors will re-inspect the number of units required by HUD, as set forth in 24 CFR Part 985.2 and in a manner consistent with this section to ensure that inspections conform to Housing Quality Standards.

When an issue is not related to discrimination, informal meetings will be held to resolve disputes and conflicts regarding the Section 8 rent subsidy and rules including disagreements between tenants and owners. HPD also sponsors training programs to educate owners on improving building management and repairs.

RAB Member Comment: Is there a way to address the needs of tenants in relation to training and access to information and resources? It would also be helpful for new Section 8 tenants to have the opportunity to learn how to be a good tenant.

HPD: We agree and HPD is committed to assisting its tenants in every possible way. The Office of Community Partnerships supervises four not-for-profit organizations that provide fair housing services including: counseling landlords and tenants on their rights and responsibilities under various housing and discrimination prevention laws; explaining Housing Court procedures; assisting senior citizens in filling out Senior Citizen Rent Increase Housing Exemption (SCRIE) applications; assisting low- and moderate-income tenants to find housing; conducting fair housing workshops; and offering assistance on various housing-related social service programs. Fair Housing Counselors also work as mediators in Housing Court Dispute Resolution Centers and assist in resolving landlord/tenant disputes. Below please find information related to the agencies providing the above-mentioned services:

BOROUGH	ORGANIZATION	NUMBER
Bronx	South Bronx Action Group (English & Spanish)	(718) 993-5869
Brooklyn	Brooklyn Tenants Council (English, Russian, Spanish, French & Creole)	(718) 435-7585
Manhattan	Chinese-American Planning Council (English & Chinese)	(212) 431-7800
Manhattan	New York Urban League (English only)	(212) 926-8000 x 39
Queens	New York Urban League (English only)	(718) 297-7272
Staten Island	New York Urban League (English only)	(718) 442-5579

RAB Member Comment: I work as a court advocate and deal with issues related to the rights of fathers. Sometimes we encounter situations where fathers are denied visitation rights with their daughters because of HUD guide lines related to unit size and opposite gender co-habitation for parents and their children of a certain age.

HPD Response: HPD would never discriminate against anyone based on gender, familial status, race, color, religion, national origin, age, or disability. Complaints from households alleging discrimination in housing will be directly referred to HPD's Division of Equal Opportunity for investigation and appropriate follow-up action. If necessary, the HPD Office of the Inspector General will also be notified. Families will be assisted with filing a HUD housing discrimination complaint.

Under the provisions of the Section 8 Program, the size of the unit appropriate for the family will depend upon the family size, the gender of the family members, the relationship of the family members and the need to maximize the use of space without creating overcrowded conditions. Generally, no more than two persons per bedroom or other sleeping area will be considered appropriate, except for families with children under 4 years of age. Children under 4 years of age may share a bedroom with two adult family members. A pregnant family member can consider her family size to be one person larger than the actual household size during her pregnancy for the purpose of occupancy standards.

On an infrequent basis, families will be permitted to occupy units that vary from these occupancy standards if HPD grants prior permission. Permission will be granted if the health, safety or other urgent circumstance is present to warrant this consideration. Applicants will be required to substantiate their conditions. If the family composition changes, the family is assigned a new certificate voucher size based on the new family

composition and, when necessary, the subsidy is re-calculated. If the unit is deemed too small for the family size, the family is given a voucher and asked to find suitable quarters. In some cases, landlords of the buildings in which these families reside are contacted and asked if suitable apartments are vacant. The subsidy continues to be paid during the search for suitable quarters as long as the current apartment passes the housing quality inspection.

RAB Member Comment: Are Section 8 applications individually screened? Past criminal activity does not automatically necessitate the rejection of Section 8 application. An ex-offender can become a productive member of society and should be entitled to fair and unbiased standards of evaluation.

HPD Response: HPD's screening of Section 8 applications in relation to criminal history is limited to the extent required by law. Private landlords have discretion to screen based on any/all criteria they see fit.

RAB Member Comment: People convicted of selling drugs should be made ineligible from receiving Section 8. Drug dealers ruin the environment for everyone.

HPD Response: After HPD conducts its criminal background check procedure, it is at the discretion of the individual landlord to decide what other types of background checks will be performed. Tenants in HPD-owned buildings are encouraged to immediately report all drug activity to HPD's Narcotics Control Unit at (212) 863-7284. To secure buildings from drug dealers and vandals, tenants should ask the building manager or area office to report broken locks or intercoms. Tenants in privately owned buildings should notify their building owners and the police of illegal activity in their building. Owners have an obligation to alert the police to any illegal activity in their building.

F. AGENDA OF 8/08/02 MEETING WITH RESIDENT ADVISORY BOARD

1. Introductions
2. RAB Purpose and Responsibilities
3. The Agency Plan Process
4. PHA Plan: Key Topics Addressed in HPD's Plan:
 - ?? *Housing Needs*
 - ?? *Financial Resources*
 - ?? *Eligibility, Selection and Admissions*
 - ?? *Rent Determination Policies*
 - ?? *Operations and Management Policies*
 - ?? *Grievance Procedures*
 - ?? *Homeownership*

- ?? *Community Service and Self-Sufficiency Programs*
- ?? *Section 8 PHA Project-Based Voucher Program Statement*
- ?? *Statement of progress in meeting HPD's 5-Year Plan mission and goals*

5. Open Discussion
6. Public Access to PHA Plan
7. Public Hearing on PHA Plan in October 2002
8. Adjournment

G. NOTICE OF THE AVAILABILITY OF THE DRAFT AGENCY PLAN FOR PUBLIC INSPECTION AND THE DATE AND LOCATION OF THE PUBLIC HEARING

***NOTICE
Availability of Public Housing Agency Plan for Public Inspection
Public Hearing***

In accordance with Section 5A of the Housing Act of 1937 as amended, the New York City Department of Housing Preservation and Development (HPD) has developed a draft Public Housing Agency Plan for the year 2003. The draft plan, which describes how HPD operates its Section 8 rental assistance programs only, and is not intended to address HPD's other programs, is being developed in consultation with HPD's Public Housing Agency Resident Advisory Board.

Availability of Plans for Public Inspection

Pursuant to this Notice, the public is advised that for 45 days, beginning on August 27, 2002, and continuing through and including October 10, 2002, the proposed plans and supporting documents will be available for public inspection at HPD's main office:

**Department of Housing Preservation and Development
100 Gold Street, 4th Floor, Room 4-Z-1
New York, New York**

This office is handicapped accessible and can be reached using public transportation.

The Plan will also be available at the following locations:

☞☞ On HPD's web-site, which can be located at: **nyc.gov/hpd**

☞☞ At HPD's Neighborhood Planning Offices listed below:

Bronx

151 East Tremont Avenue
Bronx, NY 10453
(718)-716-0200

North Brooklyn

315 Wyckoff Avenue
Room 501
Brooklyn, NY 11237
(718)-386-5300

South Brooklyn

1360 Fulton Street
Room 419
Brooklyn, NY 11216
(718)-398-7504

Manhattan

105 East 106th Street
4th Floor
New York, NY 10029
(212)-289-7582

Queens/Staten Island

144-34 Hillside Avenue
Jamaica, NY 11435
(718)-739-1054

☞☞ At the offices of the following community-based organizations:

South Bronx

Action Group
384 East 149th Street
New York, NY 10455
(718)-993-5869
**(English & Spanish)
Chinese)**

Brooklyn

Tenants Council
415 Albemarle Road
Brooklyn, NY 11218
(718)-435-7585
**(English, Russian, Spanish,
French, & Creole)**

***Chinese-American
Planning Council***

365 Broadway, 1st Floor
New York, NY 10013
(212)-941-0030
(English &

New York Urban League

204 West 136th Street
New York, NY 10030
(212)-926-8000
(English Only)

***The Center for Independence
of the Disabled in NY***

841 Broadway, Suite 205
New York, NY 10003
(212)-674-2300
(English, Spanish, & Chinese)

***Asian Americans
for Equality***

108 Norfolk Street
New York, NY 10002
(212)-979-8988
(English & Chinese)

Public Hearing

Additionally, HPD invites the public to comment on the proposed plan related to its Section 8 rental assistance program at a public hearing to be held on Thursday, October 10, 2002, from 5:00 PM to 7:00 PM at the following address:

**Department of Housing Preservation and Development
100 Gold Street, Room 8-I (Corner of Frankfort Street)
New York, New York 10038**

This office is also handicapped accessible and can be reached using public transportation.

Speakers will be limited to three minutes per person. We also suggest that speakers submit comments in writing or by mail (fax submissions will not be accepted) to the address shown below. In addition, you may e-mail your comments to: boteinh@hpd.nyc.gov. Submissions must be received no later than October 11, 2002.

**Department of Housing Preservation and Development
2003 Section 8 PHA Plan
100 Gold Street, Room 4-Z-1
New York, New York 10038**

Michael R. Bloomberg, Mayor

Jerilyn Perine, Commissioner

Date: August 26, 2002

New York City Department of Housing Preservation and Development

