

Capital Funds Program (CF)

Part II: Supporting Pages

Office of Public and Indian Housing

FFY 2000

Development Number/ Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Quantity	Total Estimate Cost		Total Actual Cost		Status of Proposed Work
				Original	Revised	Funds Obligated	Funds Expended	
Operations	Agency Operations	1406.01	Total 1406	\$156,496.00	\$142,178.00	\$0.00	\$0.00	
				\$156,496.00	\$142,178.00	\$0.00	\$0.00	
Management Improve	Preventative Maintenance	1408.01	Total 1408	\$212,992.00	\$212,992.00	\$0.00	\$0.00	
				\$369,488.00	\$355,170.00	\$0.00	\$0.00	
HA-Wide Admin	Funding for comp grant staff CEO, Director of Finance, etc. Salaries, benefits and sundry	1410.01	Total 1410	\$156,496.00	\$142,178.00	\$0.00	\$0.00	
				\$156,496.00	\$142,178.00	\$0.00	\$0.00	
Audit Fees	CGP portion of audit fes	1411.01	Total 1411	\$3,000.00	\$3,000.00	\$3,000.00	\$0.00	
				\$3,000.00	\$3,000.00	\$3,000.00	\$0.00	
Fees and Cost	Professional Services	1430.01	Total 1430	\$60,000.00	\$60,000.00	\$0.00	\$0.00	
				\$60,000.00	\$60,000.00	\$0.00	\$0.00	
Site Improve	Replace underground utilities	1450.01	Total 1450:	\$231,000.00	\$231,000.00	\$0.00	\$0.00	
VA4-3	Replace retaining wall and correct structural damages	1450.02		\$375,478.00	\$375,478.00	\$0.00	\$0.00	
				\$606,478.00	\$606,478.00	\$0.00	\$0.00	

Signature of Executive Director and Date

Signature of Public Housing Director or Office of native American Programs Administrator and Date

**X**

**X**

## PHA Plan Agency Identification

**PHA Name:** Department of Housing Preservation and Development

**PHA Number:** NY110

**PHA Fiscal Year Beginning:** 01/2005

**PHA Programs Administered:**

**Public Housing and Section 8**

Number of public housing units:  
Number of S8 units:

**Section 8 Only**

Number of S8 units: 26017

**Public Housing Only**

Number of public housing units:

**PHA Consortia: (check box if submitting a joint PHA Plan and complete table)**

Participating PHAs	PHA Code	Program(s) Included in the Consortium	Programs Not in the Consortium	# of Units Each Program
Participating PHA 1:				
Participating PHA 2:				
Participating PHA 3:				

**Public Access to Information**

Information regarding any activities outlined in this plan can be obtained by contacting:

- 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:

- 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)

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)

**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)**

**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 & Chinese)**

**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)**

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

**Kenmore Hotel**

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

## Streamlined Five-Year PHA Plan PHA FISCAL YEARS 2005 - 2009

### A. Mission

- The mission of the PHA is the same as that of the Department of Housing and Urban Development: To promote adequate and affordable housing, economic opportunity and a suitable living environment free from discrimination.
- The PHA's mission is: *Using a variety of preservation, development and enforcement strategies, HPD strives to improve the availability, affordability and quality of housing in New York City. As the nation's largest municipal housing agency, HPD works with private, public and community partners to strengthen neighborhoods and enable more New Yorkers to become homeowners or to rent well-maintained, affordable housing.*

### B. Goals

#### **HUD Strategic Goal: Increase the availability of decent, safe, and affordable housing.**

- PHA Goal: Expand the supply of assisted housing  
Objectives:
- Apply for additional rental vouchers:
  - Reduce public housing vacancies:
  - Leverage private or other public funds to create additional housing opportunities:
  - Acquire or build units or developments
  - Other (list below)
- PHA Goal: Improve the quality of assisted housing  
Objectives:
- Improve public housing management: (PHAS score)
  - Improve voucher management: (SEMAP score)
  - Increase customer satisfaction:
  - Concentrate on efforts to improve specific management functions:  
(list; e.g., public housing finance; voucher unit inspections)
  - Renovate or modernize public housing units:
  - Demolish or dispose of obsolete public housing:
  - Provide replacement public housing:
  - Provide replacement vouchers:
  - Other: (list below)
- PHA Goal: Increase assisted housing choices  
Objectives:
- Provide voucher mobility counseling:
  - Conduct outreach efforts to potential voucher landlords

- Increase voucher payment standards
- Implement voucher homeownership program:
- Implement public housing or other homeownership programs:
- Implement public housing site-based waiting lists:
- Convert public housing to vouchers:
- Other: (list below)

**HUD Strategic Goal: Improve community quality of life and economic vitality**

- PHA Goal: Provide an improved living environment  
Objectives:
  - Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments:
  - Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments:
  - Implement public housing security improvements:
  - Designate developments or buildings for particular resident groups (elderly, persons with disabilities)
  - Other: (list below)

**HUD Strategic Goal: Promote self-sufficiency and asset development of families and individuals**

- PHA Goal: Promote self-sufficiency and asset development of assisted households  
Objectives:
  - Increase the number and percentage of employed persons in assisted families:
  - Provide or attract supportive services to improve assistance recipients' employability:
  - Provide or attract supportive services to increase independence for the elderly or families with disabilities.
  - Other: (list below)  
*Increase participation in the FSS Program.*

**HUD Strategic Goal: Ensure Equal Opportunity in Housing for all Americans**

- PHA Goal: Ensure equal opportunity and affirmatively further fair housing  
Objectives:
  - Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability:
  - Undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion national origin, sex, familial status, and disability:
  - Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required:
  - Other: (list below)

**Other PHA Goals and Objectives: (list below)**

**Annual PHA Plan**  
**PHA Fiscal Year 2005**  
[24 CFR Part 903.7]

**i. Annual Plan Type:**

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)]

*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 above, 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 2005, HPD intends to use its Section 8 funds to accomplish the following:*

- *To help homeless and near homeless households in need of enhanced services 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.

#### **Table of Contents**

	<u>Page #</u>
i. Executive Summary	4
ii. Table of Contents	6
1. Housing Needs	10
2. Financial Resources	15
3. Policies on Eligibility, Selection and Admissions	17
4. Rent Determination Policies	22
5. Operations and Management Policies	23
6. Grievance Procedures	25
7. Capital Improvement Needs	25
8. Demolition and Disposition	25
9. Designation of Housing	25
10. Conversions of Public Housing	25
11. Homeownership	26
12. Community Service Programs	28
13. Crime and Safety	30
14. Pets (Inactive for January 1 PHAs)	31
15. Civil Rights Certifications (included with PHA Plan Certifications)	31
16. Audit	31
17. Asset Management	31
18. Other Information	32
• Criteria for significant amendment or modification of the PHA Plan	

**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:

- A** Admissions Policy for Deconcentration
- FY 2005 Capital Fund Program Annual Statement**  
*This is not applicable to HPD because it is a Section 8 only agency.*
- B** Most recent board-approved operating budget
- C** Section 8 Homeownership Program Capacity Statement
- D** Section 8 PHA Project-Based Voucher Program Statement
- E** Announcement of Membership of the Resident Advisory Board
- F** 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
- Other (List below, providing each attachment name)
  - 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.

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
<b>X</b>	PHA Plan Certifications of Compliance with Regulations	5 Year and Annual Plans
<b>X</b>	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
<b>X</b>	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	5 Year and Annual Plans

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
	housing that require the PHA's involvement.	
<b>X</b>	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
<b>X</b>	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
<b>X</b>	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 eradication of pest infestation (including cockroach infestation)	Annual Plan: Operations and Maintenance
NA	Public housing grievance procedures <input type="checkbox"/> check here if included in the public housing A & O Policy	Annual Plan: Grievance Procedures
<b>X</b>	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

<b>List of Supporting Documents Available for Review</b>		
<b>Applicable &amp; On Display</b>	<b>Supporting Document</b>	<b>Applicable Plan Component</b>
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
NA	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 (PHEDEP) 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
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	<b>702,217</b>	<b>5</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>3</b>	<b>4</b>
Income >30% but <=50% of AMI	<b>399,901</b>	<b>5</b>	<b>5</b>	<b>4</b>	<b>3</b>	<b>3</b>	<b>4</b>
Income >50% but <80% of AMI	<b>527,891</b>	<b>5</b>	<b>5</b>	<b>3</b>	<b>3</b>	<b>3</b>	<b>3</b>
Elderly	<b>644,409</b>	<b>5</b>	<b>5</b>	<b>4</b>	<b>4</b>	<b>2</b>	<b>3</b>
Families with Disabilities	<b>NA*</b>	<b>5</b>	<b>5</b>	<b>3</b>	<b>4</b>	<b>3</b>	<b>3</b>
Hispanic	<b>664,833</b>	<b>5</b>	<b>5</b>	<b>4</b>	<b>1</b>	<b>3</b>	<b>4</b>
African-American	<b>714,576</b>	<b>5</b>	<b>5</b>	<b>4</b>	<b>1</b>	<b>3</b>	<b>4</b>
Asian	<b>266,922</b>	<b>5</b>	<b>5</b>	<b>4</b>	<b>1</b>	<b>3</b>	<b>4</b>
White	<b>1,334,138</b>	<b>5</b>	<b>5</b>	<b>4</b>	<b>1</b>	<b>3</b>	<b>4</b>
Other	<b>21,850</b>	<b>5</b>	<b>5</b>	<b>4</b>	<b>1</b>	<b>3</b>	<b>4</b>

\*Please refer to the City's Year 2003 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 2003 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: **2003**
- U.S. Census data: the Comprehensive Housing Affordability Strategy ("CHAS") dataset
- American Housing Survey data  
Indicate year:
- Other housing market study  
Indicate year: **2002**  
**2002 New York City Housing and Vacancy Survey, conducted by the U.S. Bureau of the Census as tabulated by the Department of Housing Preservation and Development. Income data are for calendar year 2001.**

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.

<b>Housing Needs of Families on the Waiting List</b>			
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	<b>1686*</b>	<b>100%*</b>	
Extremely low income <=30% AMI	<b>1138</b>	<b>67.00%</b>	
Very low income (>30% but <=50% AMI)	<b>329</b>	<b>20.00%</b>	
Low income (>50% but <80% AMI)	<b>182</b>	<b>11.00%</b>	
Families with children	<b>585</b>	<b>34.00%</b>	
Elderly families	<b>383</b>	<b>22.72%</b>	
Families with Disabilities	<b>118</b>	<b>7.00%</b>	
Asian Families	<b>40</b>	<b>2.37%</b>	
Black Families	<b>735</b>	<b>43.59%</b>	
Hispanic Families	<b>597</b>	<b>35.41%</b>	
Caucasian Families	<b>899</b>	<b>53.32%</b>	
Other (Non-White) Families	<b>12</b>	<b>.70%</b>	
The above data is based on the population of people who have an HPD waitlist date between 7/1/2003 and 6/30/2004, excluding those applicants who were rejected from the waitlist and those applicants who applied for an enhanced voucher.			
* Total does not include population with incomplete income information due to system conversion issues.			

### Housing Needs of Families on the Waiting List

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

If yes:

How long has it been closed (# of months)?

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

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

### 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 through increased participation in the FSS program among Section 8 recipients to speed their transition off of the Program.***

- *Maintain the affordability of converted Mitchell Lama properties by offering residents enhanced vouchers.*

**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 households in need of enhanced services on the Section 8 Waiting List.*

**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.

<b>Financial Resources: Planned Sources and Uses</b>		
<b>Sources</b>	<b>Planned \$</b>	<b>Planned Uses</b>
<b>1. Federal Grants (FY 2005 grants)</b>		
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	\$185,878,245 (1)	Section 8 Housing Choice Voucher program administration
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	NA	
g) Housing Choice Voucher Family Self-Sufficiency (FSS) Program Coordinators	TBD	Family Self-Sufficiency
h) Community Development Block Grant	\$218,835,000	Maintenance of low-income housing; economic and community development; housing rehab and supportive services
i) HOME	\$128,608,784 (2)	Neighborhood development and housing rehab
j) Section 8 Moderate Rehab for SROs	\$0 (3)	Rehab
k) Shelter Plus Care Program	\$3,877,980 (3)	Neighborhood development and housing rehab
l) Continuum of Care	\$64,203,802 (3)	
m) Lead Outreach	TBD	Education and Outreach
n) Lead Hazard Reduction Demonstration	TBD	Treatment and Remediation
o) Section 8 Mainstream Vouchers	TBD	Rental Assistance for People with Disabilities
<b>2. Prior Year Federal Grants (unobligated funds only) (list below)</b>		

<b>Financial Resources: Planned Sources and Uses</b>		
<b>Sources</b>	<b>Planned \$</b>	<b>Planned Uses</b>
<b>3. Public Housing Dwelling Rental Income</b>	<b>NA</b>	
<b>4. Other income</b> (list below)		
<b>5. Non-federal sources</b> (list below)		
City Capital Budget	<b>\$230,485,000</b>	<b>Neighborhood development, new construction, and housing rehab</b>
City Expense	<b>\$90,704,052</b>	<b>Administration, housing preservation, and services</b>
<b>Total resources</b>	<b>\$922,592,863</b>	

**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 2005 to manage the Section 8 Program based on current funding methodology.*
- (2) Figures are based on HPD’s actual awards for 2004. Amendments may be required when Congress makes final allocations.*
- (3) Programs are competitive; estimate is based on past performance.*

**TBD:** Grant applications were submitted to HUD, but funding awards have not yet been announced.

**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).**

### (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 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 two 30-day extensions 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 for that preference category.***

**(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)

- ***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.***
- ***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.)***

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***
- 2 ***SRO Re-Rentals***
- 3 ***Family Unification Program (Referred by Administration for Children's Services.)***
- 4 ***Homeless or near homeless households in need of enhanced services.***
- 5 ***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.***
- 6 ***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.***

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*
- *Coordination with other city governmental agencies*

#### **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).**

##### **(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)

***HPD coordinates the local Payment Standard with the New York City Housing Authority, which operates a Housing Choice Voucher program in the same jurisdiction.***

## **(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 \$50. 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.)

<b>Program Name</b>	<b>Units or Families Served at Year Beginning</b>	<b>Expected Turnover</b>
Public Housing	NA	NA
Section 8 Vouchers	21952	1668
Section 8 Certificates	NA	NA
Section 8 Mod Rehab	3772	194
Section 8 Supportive Housing	1226	36
Special Purpose Section 8 Certificates/Vouchers (list individually)		
Welfare-to-Work	613	41
Mainstream Vouchers	100	7
Kenmore Hotel	190	13
Subway Homeless	250	17
Family Unification Vouchers	187	14
Mod Conversions	809	32
Enhanced / “Sticky” Vouchers	2703	81
Public Housing Drug Elimination Program (PHDEP)	NA	NA

These numbers reflect the families in each program as of 10/1/04. Thus, there will be a minimum of this many families as of 1/1/05.

**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 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 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)
<b>HomeBase:</b> HPD’s Section 8 Welfare-to-Work provides community-based case management and other self-sufficiency services.	<b>613*</b>	<b>Waiting List</b>	<b>PHA Main Office</b>	<b>Section 8 participants</b>

\*This is the current number of participants as of 10/1/04.

**(2) Family Self Sufficiency program/s**

a.

Family Self Sufficiency (FSS) Participation		
Program	Required Number of Participants (start of FY 2004 Estimate)	Actual Number of Participants (As of: 07/01/04)
Public Housing	<b>NA</b>	<b>NA</b>
Section 8	<b>2440</b>	<b>2294</b>

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 is further developing governmental and non-governmental job training, education, employment and other support service resources.***
- ***Ongoing mailings.***

### **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)

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

### **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?

*Because the HPD Section 8 program is audited during the New York City "Citywide Single Audit" for federal programs, which is conducted at the end of each City Fiscal Year of July to June, the results of the FY '04 (July 2003 – June 2004) audit have not yet been finalized by the City auditor, Deloitte and Touche. The most recent audit submitted to HUD is the FY '03 audit (July 2002 – June 2003).*

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

*In keeping with the established procedure for the "Citywide Single Audit", HPD is preparing a corrective action plan for the preliminary findings that its auditors (Deloitte and Touche) drafted for the FY '03 audit. HPD will revise its corrective action plan if these draft findings will change significantly in the final audit report.*

## **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**

*HPD is in the process of receiving comments from the Resident Advisory Board. This draft version of the PHA Plan will be updated after the public review and hearing process and feedback from the Resident Advisory Board.*

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

### **D. Section 8 PHA Project-Based Voucher Program Statement**

In 2005, depending on turnover and the availability of vouchers, HPD may make available up to 10% of our total vouchers to be attached as Project Based Vouchers to affordable housing projects throughout New York City. These vouchers may be devoted to either of the following two categories: 1. existing projects which now meet or substantially meet HQS in order to ensure that those units are made available to low income households; and/or 2. qualified non-profit entities, in conjunction with HPD's own development assistance, in order to stimulate the production of new units for people with special needs – through either new construction or substantial rehabilitation of vacant or substantially vacant properties. HPD notes that these levels (even if attained in full) are well short of the established cap, limiting project based units to no more than 20% of a Public Housing Authority's total vouchers.