

HDC's Partnership with NYCHA on PACT to Preserve Public Housing

New York City Housing Development Corporation

Rental Housing: Preservation and Rehabilitation

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Over the last two decades there has been substantial disinvestment in local Public Housing Authorities (PHAs) throughout the nation. As a direct result, PHAs have found it difficult to meet their day-to-day operational expenses as well as any major capital repairs needed. In turn, the quality of life for many PHA residents has declined.

The New York City Housing Authority (NYCHA or Authority) is the largest PHA in the United States and the largest landlord in New York City with a portfolio of more than 170,000 units – the equivalent of roughly 8% of New York City’s rental housing stock. The majority of NYCHA apartments were built between 1945 and 1970 — more than 50 years ago — federal funding levels have been and remain insufficient to keep pace with capital needs of these types of properties.

Since 2014, the City of New York has made significant investments in NYCHA and in 2016 the Permanent Affordability Commitment Together (PACT) program was launched as one of three prongs of the overall NYCHA 2.0 strategy to reposition the Authority. PACT engages public-private partnerships to fund renovations and convert over the 10 years approximately 62,000 apartments from Section 9 public housing to long-term affordable housing by deploying HUD Section 8 programs, including the Rental Assistance Demonstration (RAD), Section 18 of the Housing Act of 1937, and Code of Federal Regulation (CFR) Part 200 Disposition Process.

Residents in developments participating in PACT will see their buildings and apartments rehabilitated and transformed. Renovations of individual apartments will include comprehensive work on kitchens, bathrooms, windows, and flooring. Chronic heat and gas outages will be addressed, as will renovations of interiors and common spaces. Funding generated through PACT will also support elevator repairs, roof replacements, façade upgrades, renovated hallways and stairwells, lighting, new fencing, asphalt and concrete site work. Additionally, there will be improvements to building security including entry systems and additional security cameras.

Public-private partnerships are critical to the success of PACT. Under PACT, NYCHA engages with private development partners to renovate public housing developments and make them healthier and stronger. NYCHA leases the developments, continues to own the land, and maintains oversight over all major decisions. Furthermore, contractual obligations ensure permanent affordability.

In addition to delivering repairs and renovations, PACT facilitates collaborations between development partners and community-based non-profits and service organizations who enhance the ability to connect NYCHA residents with the necessary social services and appropriate programming.

NYCHA strategically coordinated with resident leaders, housing advocacy groups, and community-based organizations to identify key issues and a set of principles to guide NYCHA’s RAD implementation. The NYC RAD Roundtable worked to ensure that all tenant protections were maintained under PACT, including restricting rents to no more than 30% of (tenant) income, automatic lease renewal for residents in good standing, continued succession rights for current public housing residents and maintaining residents’ rights to hearing to resolve grievances.

The New York City Housing Development Corporation (HDC), New York City’s municipal Housing Finance Agency, serves as the key financing partner on PACT, coordinating or providing loan financing funded by

taxable or tax-exempt bonds. In addition to assembling the financing, HDC will join NYCHA in providing asset management and compliance for PACT transactions. Similar to the role HDC plays with the NYC Department of Housing Preservation and Development (HPD) on financing privately-owned affordable housing, HDC now brings its deep experience in lending, compliance and asset management to help bring capital repairs to buildings and apartments, and improved quality of life to residents living in NYCHA’s public housing.

PACT transactions are financed through a conventional debt + equity model, with subsidy filling in gaps. In January 2020, HDC established the Multifamily Housing Impact Bonds Resolution (Impact Resolution) to finance the mortgages for the long-term preservation of NYCHA PACT developments. HDC will issue taxable and/or tax-exempt bonds to support PACT projects through this newly created bond resolution. The transactions are structured to conserve limited affordable housing resources such as low-income housing tax credits and new private activity bond volume cap. Project loans will be credit enhanced through a variety of programs, including FHA Risk-Sharing, Fannie Mae and Freddie Mac.

The public-private partnership and financing structure of PACT serve as an effective, proven, and replicable model that other municipalities can follow to bring repairs and protections to their public housing stock.

Nearly 8,000 apartments have already converted under PACT, with more than \$1 billion in funds raised towards repairs. Another 8,000 additional units are actively undergoing the conversion process, with capital repairs estimated value of approximately \$1.6 billion.

Case Study #1: Baychester-Murphy (Closed in 2018)

Baychester-Murphy involved the acquisition and rehabilitation of a Section 8 supported portfolio consisting of 722 homes in fourteen high-rise buildings (in two clusters) located in the Bronx. The unit mix includes 274 one-bedrooms, 285 two-bedrooms, 139 three-bedrooms, 19 four-bedrooms, 3 five-bedrooms (plus two live-in supers). The new management team will work to improve responsiveness and efficiency to the overall day-to-day operations.

The scope of work varies from building to building with general projected scope items to include: upgraded kitchens and baths with low-flow fixtures and high efficiency appliances; interior hallway flooring, wall improvements and doors; community center expansion and rehabilitation; mechanical and electrical upgrades; window replacements; and roof and façade repair.

Along with Citibank, HDC funded a portion of the construction loan and at conversion, plans to pay off the Citibank-funded portion of the construction loan and make the entire permanent loan, which will be FHA-insured and sold to the Federal Financing Bank (FFB / Risk-Share). No tax-exempt bond volume cap was used in this transaction. HDC Corporate Reserves were used and will be sold (reimbursed) in the permanent conversion phase via the Federal Housing Authority’s Federal Financing Bank (FFB) Risk-Share program. The development will also benefit from a 99-year residential tax abatement (coterminous with the ground lease.)

Following a Request for Proposals (RFP) released in the fall of 2017, L+M Development Partners, Camber Property Group, and nonprofit MBD Community Housing were selected as the development team.

In addition to the rehabilitation and new management of the developments, NYCHA will received a portion of the developer fee, an asset management fee, and 50% of cash flow after payment of debt service. Additionally, existing Project-Based Section 8 contracts were extended for a new 25-year term (i.e. – to 2050).

Case Study #2: PACT Brooklyn Bundle II (Closed in 2020)

The PACT Brooklyn Bundle II involved the permanent financing for the rehabilitation of 2,625 units in 39 buildings across nine New York City Housing Authority (NYCHA) public housing developments located throughout Brooklyn, which include Independence Towers, Williams Plaza, Armstrong I&II, 572 Warren Street, Weeksville Gardens, March Avenue-Green Avenue Sites A&B, and Berry Street South 9th Street. Independence Towers and Williams Plaza consist of 11 buildings and are traditional, high-rise “tower in the park” designs, and the remaining seven developments include a combination of three, four, and six-story walkup and elevator buildings. The unit mix includes 136 studios, 636 one-bedrooms, 831 two-bedrooms, 786 three-bedrooms, 160 four-bedrooms, and 78 five-bedrooms (inclusive of super units).

The scope of work varies from building to building, general projected scope items include: upgraded kitchens and baths, with low-flow fixtures and high efficiency appliances; interior hallway flooring, wall improvements and doors; community center expansion and rehabilitation; mechanical and electrical upgrades; window replacements; and roof and façade repair.

The project was financed with a \$122 million senior unenhanced nonaccelerating (“SUN”) loan originated by HDC under its Open Resolution funded with a blend of corporate reserves and taxable bonds. In addition, HDC originated a \$375 million straight-to-permanent loan issued under the new Impact Resolution, including a blend of recycled and taxable bonds. This strategy allowed HDC to allocate recycled bond prepayments to the NYCHA PACT Bundle, thus conserving new volume cap for the development of other multi-family affordable housing. The HDC straight-to-permanent loan was used in conjunction with Freddie Mac senior loan credit enhancement and a 99-year residential tax-abatement (co-terminus with the ground lease).

Following a Request for Proposals (RFP) released in late December 2018, Brooklyn Housing Preservation Experience LLC, a joint venture between The Arker Companies, Omni New York LLC, Dabar Development Partners, and (nonprofit) Bedford Stuyvesant Restoration Corporation was selected. Together they oversee the development, management and social services plans for nine developments.

In addition to the rehabilitation and new management of the developments, NYCHA will received 100% of the developer fee, an annual administration fee, an annual utility management fee, and 50% of cash flow after payment of debt service. Additionally, existing Project-Based Section 8 contracts were extended for a new 25-year term (i.e. – to 2050).

VISUAL AIDS:

CASE STUDY PHOTOS – BAYCHESTER-MURPHY



NEW YORK CITY
HOUSING DEVELOPMENT
CORPORATION

Baychester Murphy





Exterior (before)



Exterior (after)



Exterior (before)



Exterior (after)



Kitchen (before)



Kitchen (after)



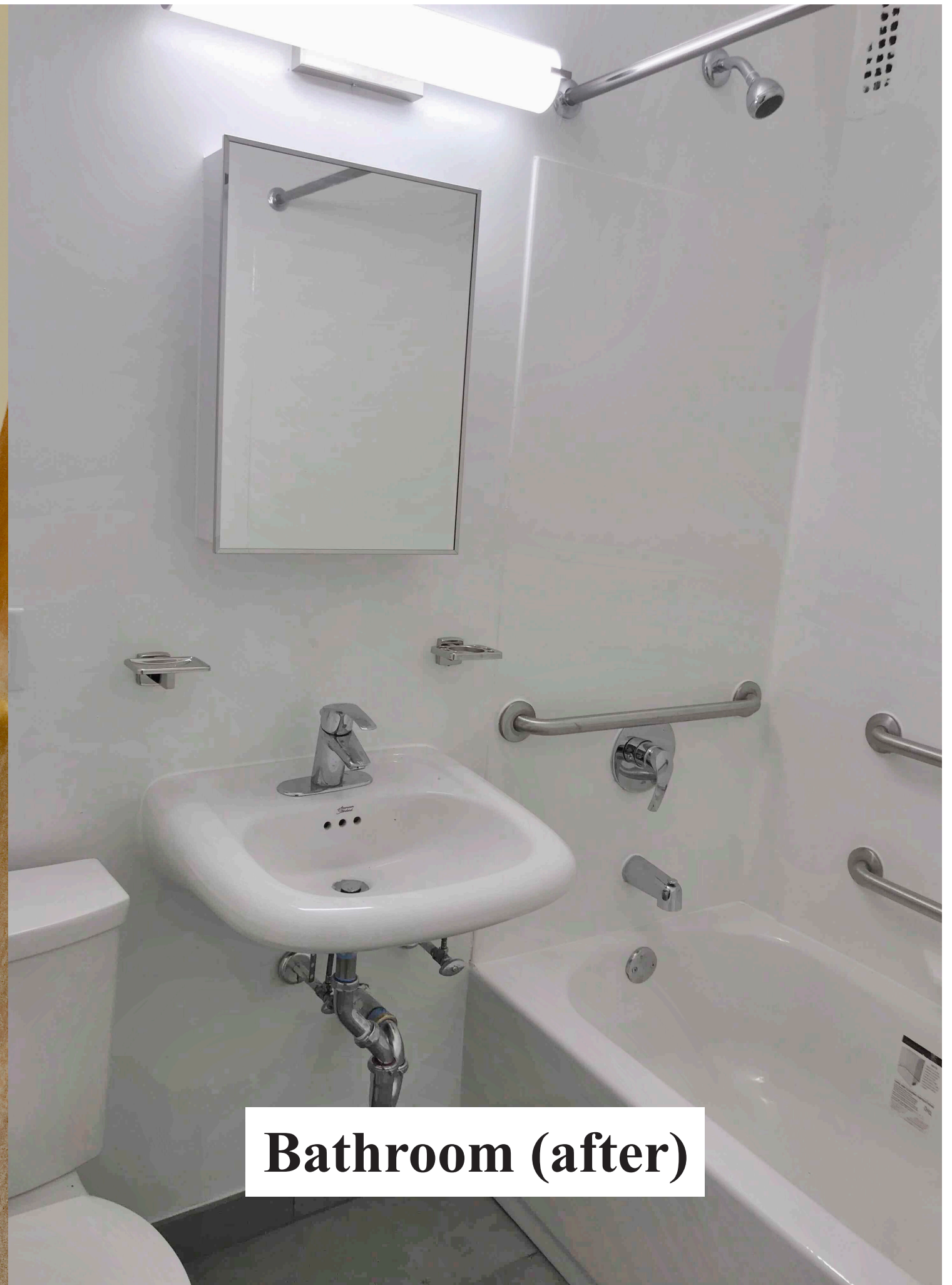
Hallway (before)



Hallway (after)



Bathroom (before)



Bathroom (after)



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HDC ANNOUNCES INAUGURAL ISSUANCE OF HOUSING IMPACT BONDS TO FINANCE LOANS FOR BENEFIT OF NYCHA RESIDENTS AND PROPERTIES

\$375 million in Housing Impact Bonds, a new category of Sustainable Development Bonds, will Finance the Preservation and Rehabilitation of 2,625 Units of Public Housing under the NYCHA PACT Plan

January 23, 2020 - The New York City Housing Development Corporation (HDC) announced the inaugural issuance of \$375 million of Housing Impact Bonds, a new category of Sustainable Development Bonds. The 2020 Series Bonds will finance the preservation and rehabilitation of 2,625 NYCHA homes across 37 tenant-occupied public housing buildings and two non-residential community centers throughout Brooklyn.

The Housing Impact Bonds Resolution (Impact Resolution) is created as part of New York City's Permanent Affordability Commitment Together (PACT) plan which aims to convert at least 62,000 public housing units to Section 8 rental housing developments by the end of 2028. PACT is a critical part of the City's 10-year strategic plan to repair public housing to bring improved quality of life to NYCHA residents, while ensuring permanent affordability, guaranteeing tenant protections, and maintaining public ownership of the land and buildings.

"We are pleased to announce this innovative investment tool which will help to rehabilitate and secure affordability of New York City's precious public housing stock," said **HDC President Eric Enderlin**. "HDC is proud to be contributing its deep experience in affordable housing finance, compliance, and asset management to help protect NYCHA residents under the PACT plan."

"It's absolutely essential that we protect and rehabilitate the City's public housing stock, both because the more than 400,000 residents who call NYCHA home deserve better apartments and because NYCHA housing is so critical to keeping the City vibrant and diverse," said **Deputy Mayor for Housing and Economic Development Vicki Been**. "I want to thank my colleagues at NYCHA, HPD, and HDC for thinking outside the box and for their hard work on behalf of NYCHA Residents."

"Today's announcement is an important step in realizing the Authority's promise to dramatically improve the quality-of-life for our residents," said **NYCHA Chairman & CEO Greg Russ**. "The funding enabled by these bonds will allow us to make wholesale capital improvements to our developments and help ensure our ability to provide permanent affordable housing for generations to come."

"The health of a building must be measured both physically and financially. The situation at hand requires meticulous coordination between all levels of government and thoughtful financing strategies to make impactful improvements in the city's precious public housing portfolio," said **HDC Board Chair and New York City Department of Housing Preservation and Development (HPD) Commissioner Louise Carroll**. "I congratulate the hardworking minds at HDC for the creation of this new financing tool that will improve the lives of those who call NYCHA their home."

The new Housing Impact Bonds are designated as Sustainable Development Bonds consistent with the goals of the International Capital Markets Association's Social Bond Principles to end poverty and to make cities inclusive, safe, resilient, and sustainable. All units funded by the 2020 Housing Impact Bonds serve low-income households at or below 60% of AMI.

The inaugural issuance includes \$296,380,000 in tax-exempt bonds under 2020 Series A and \$78,620,000 in Federally Taxable bonds under 2020 Series B. The proceeds of the bonds will be dedicated to two 2020 PACT Mortgage Loans which will respectively be secured by a standby credit enhancement from Freddie Mac and funding agreement from HDC.

The Housing Impact Bonds are anticipated to price and close in February 2020. The Series A and Series B Housing Impact Bonds have been assigned an Aa2 rating by Moody's Investors Service.

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The New York City Housing Development Corporation (HDC)

The New York City Housing Development Corporation (HDC) is the nation's largest municipal Housing Finance Agency and is charged with helping to finance the creation or preservation of affordable housing under Mayor Bill de Blasio's Housing New York plan. HDC also serves as a key financing partner in the rehabilitation of our city's public housing stock under the NYCHA Permanent Affordability Commitment Together (PACT) initiative. Since 2003, HDC has financed more than 184,000 housing units using over \$24.2 billion in bonds and other debt obligations, and provided in excess of \$3.095 billion in subsidy from corporate reserves and other available funds held by the corporation. HDC ranks among the nation's top issuers of mortgage revenue bonds for affordable multi-family housing on Thomson Reuters' annual list of multi-family bond issuers. In each of the last five consecutive years, HDC's annual bond issuance has surpassed \$1.6 billion. For additional information, visit: <http://www.nychdc.com>

NYCHA 2.0

PART 1: INVEST TO PRESERVE

ASSURING QUALITY AFFORDABLE HOUSING
FOR ALL NYCHA RESIDENTS



The City of New York
Mayor Bill de Blasio

Alicia Glen, Deputy Mayor for
Housing and Economic Development



NEW YORK CITY
HOUSING
AUTHORITY

Stanley Brezenoff, Interim Chair & CEO
New York City Housing Authority

Overview

OVERVIEW

Background

NYCHA 2.0: Part 1 – Invest to Preserve

- I. PACT to Preserve – Section 8 Conversions
- II. Build to Preserve – New Construction Expansion
- III. Transfer to Preserve – Unused Development Rights

Implementation

What this Means for NYCHA Residents

Background

NYCHA: HOUSING NEW YORKERS ACROSS THE FIVE BOROUGHES

THE NEW YORK CITY HOUSING AUTHORITY (NYCHA) IS THE LARGEST PUBLIC HOUSING AUTHORITY IN THE UNITED STATES AND THE LARGEST LANDLORD IN NEW YORK CITY

NYCHA SUPPLIES 8% OF NEW YORK CITY'S RENTAL HOUSING STOCK¹

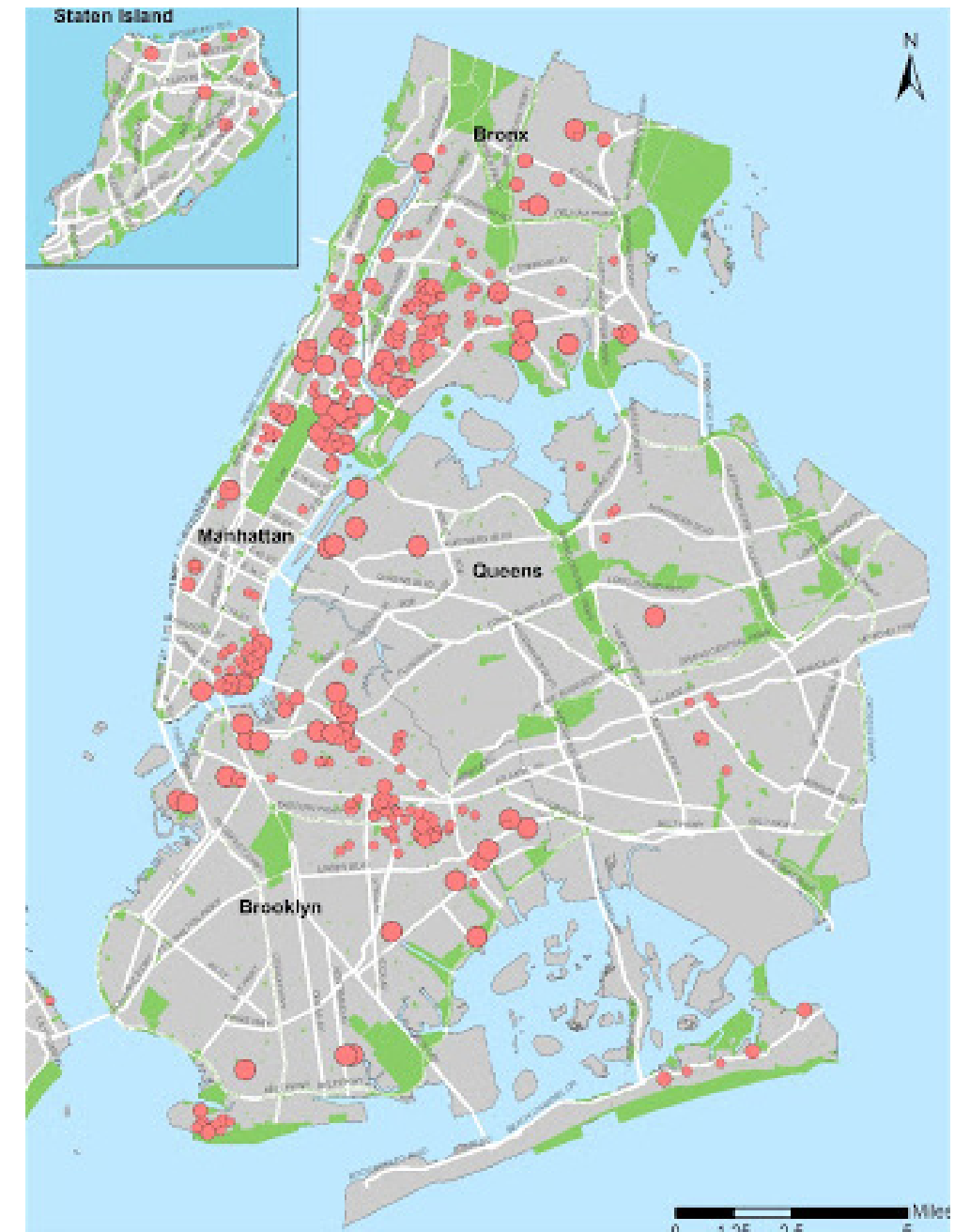
- The Authority's portfolio contains 175,000+ public housing units across 325 developments
- If NYCHA were its own city, it would rank 50th in the US in overall population
- NYCHA houses more residents than cities such as Cleveland, Tampa, and Pittsburgh

NYCHA PROVIDES A VITAL SOURCE OF LOW-RENT HOUSING

- The average monthly rent of a NYCHA apartment is \$522
- NYCHA comprises 83% of the apartments in NYC with rents less than \$500/month

NYCHA SERVES A DIVERSE ARRAY OF NEW YORKERS

- NYCHA's public housing provides housing for 1 in 22 New Yorkers
- The median income of NYCHA households is \$17,088
- Nearly 39% of NYCHA households are headed by persons age 62 and older

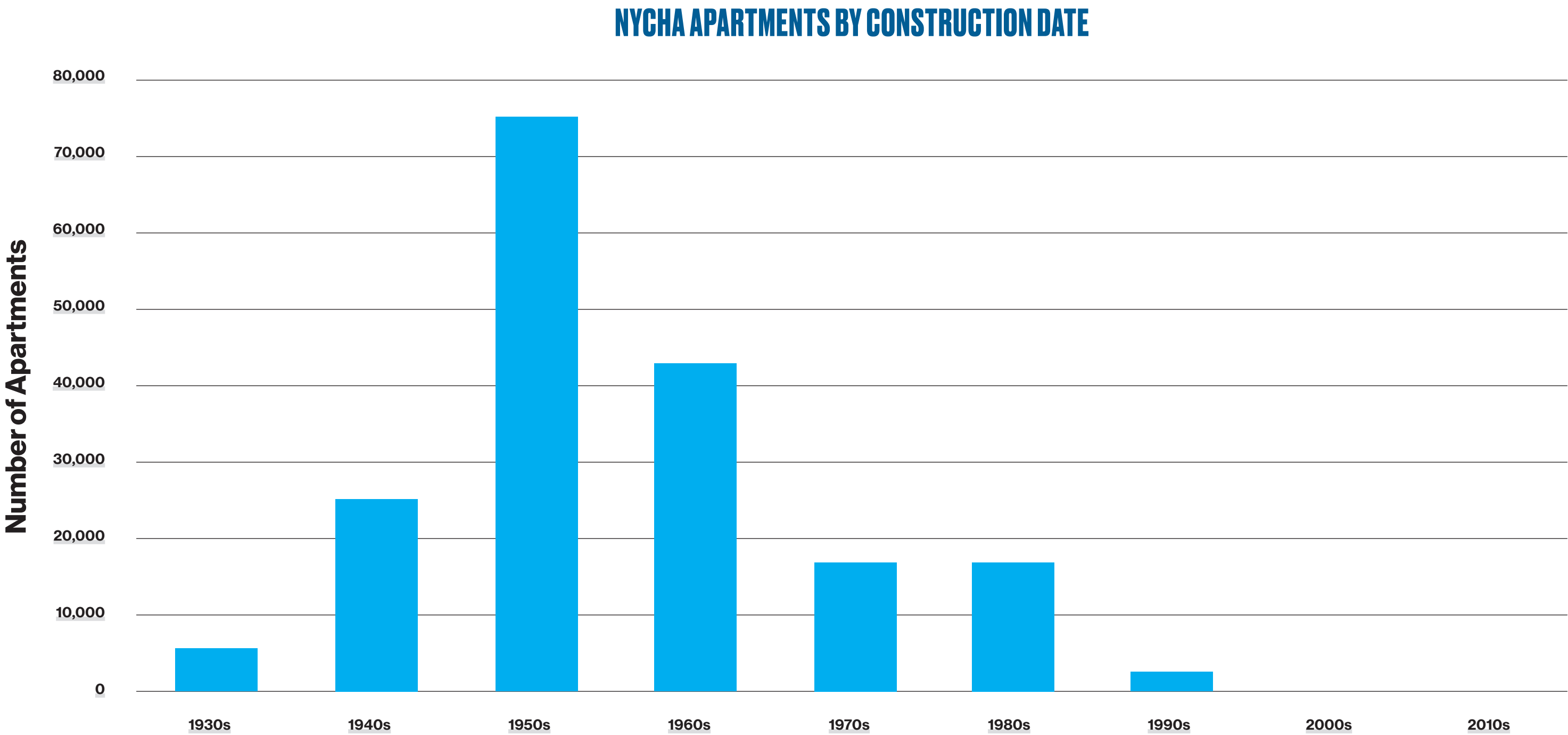


¹ Figures include developments that were converted to Section 8 in 2018. All figures referenced are accurate as of January 2018.

AGING NYCHA HOUSING STOCK

AS NYCHA PASSES ITS 80TH ANNIVERSARY, MANY OF ITS BUILDINGS ARE RAPIDLY DETERIORATING

- The majority of NYCHA apartments were built between 1945 and 1970—more than 50 years ago

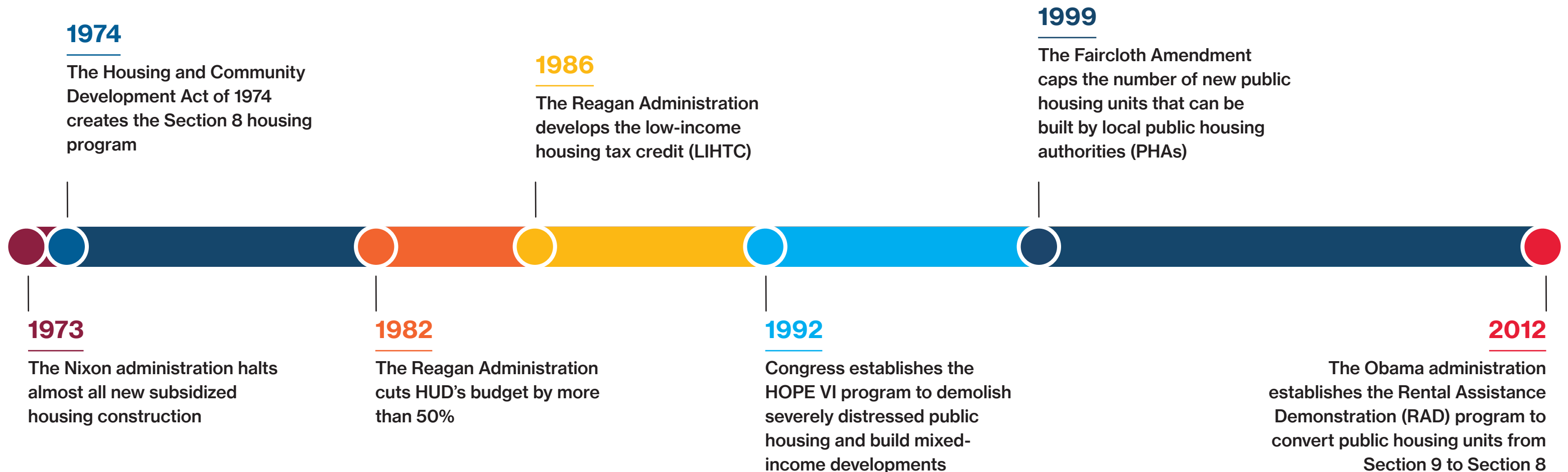


EVOLVING FEDERAL HOUSING POLICY

THERE HAS BEEN A PARADIGM SHIFT IN FEDERAL HOUSING POLICY SINCE THE 1970s

- Shifting away from a *traditional public housing* model where the federal government builds and operates housing for working and low-income families
- Moving towards a *voucher-based, privately-operated model* where the federal government provides subsidies to developers to build housing and offers vouchers for low-income families

TIMELINE OF FEDERAL HOUSING POLICY

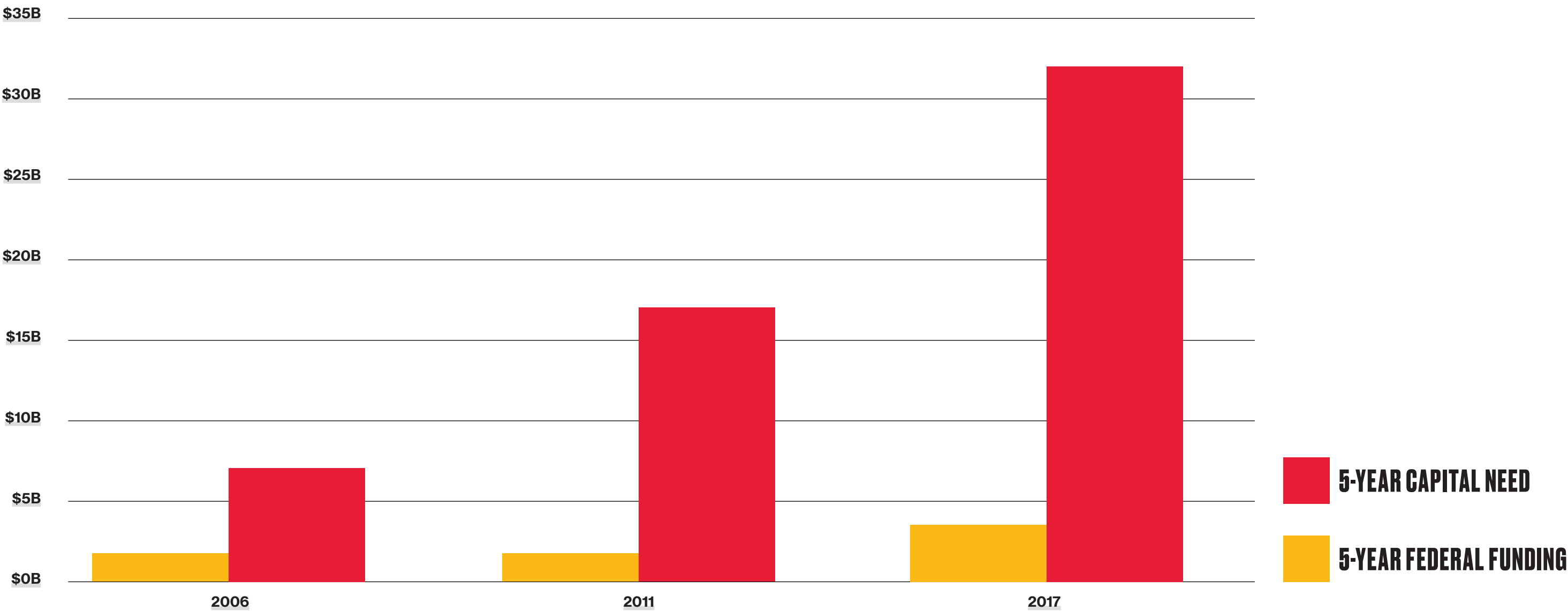


FEDERAL DISINVESTMENT

CAPITAL FUNDING HAS NOT KEPT PACE WITH CAPITAL NEEDS

- Federal capital funding has met a fraction of capital needs since 2006
- Federal funding has increased in recent years, but a substantial gap remains

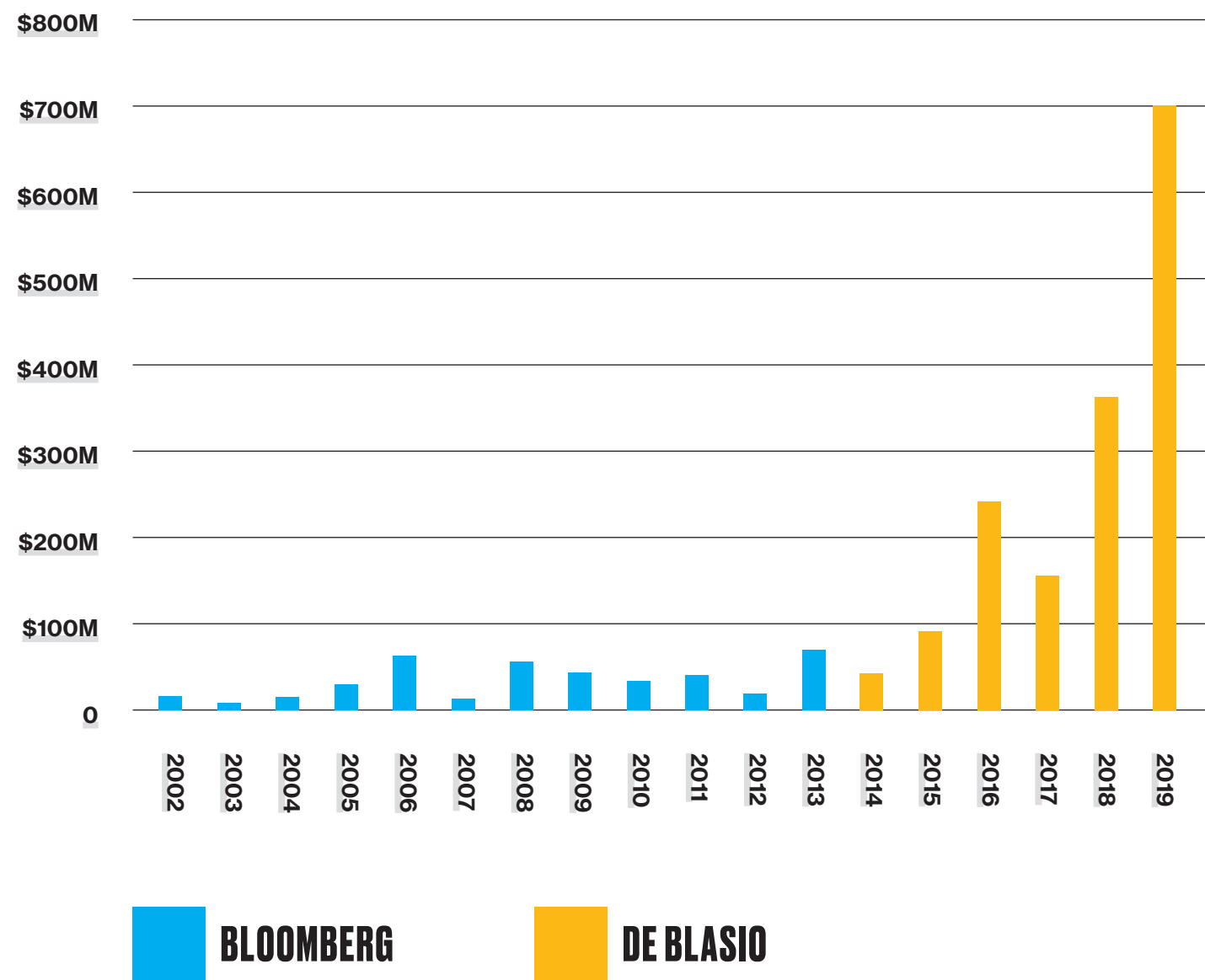
HISTORICAL FEDERAL CAPITAL FUNDING



SINCE 2014, THE CITY HAS MADE UNPRECEDENTED INVESTMENTS IN NYCHA

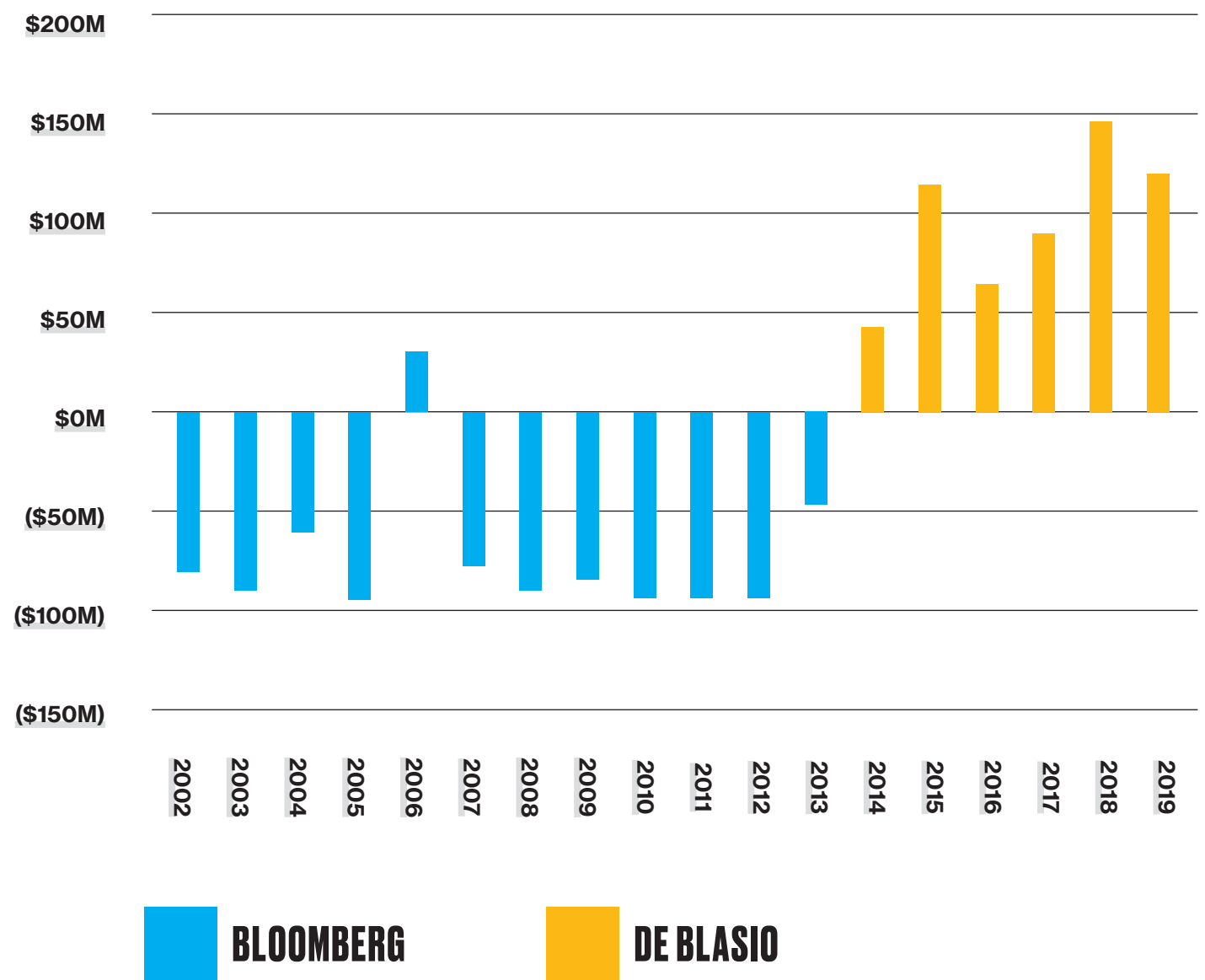
CITY CAPITAL FUNDING

- \$1.6 billion in capital funding since 2014
- Including funding for roofs, façades, security enhancements, and heating systems upgrades



CITY EXPENSE FUNDING

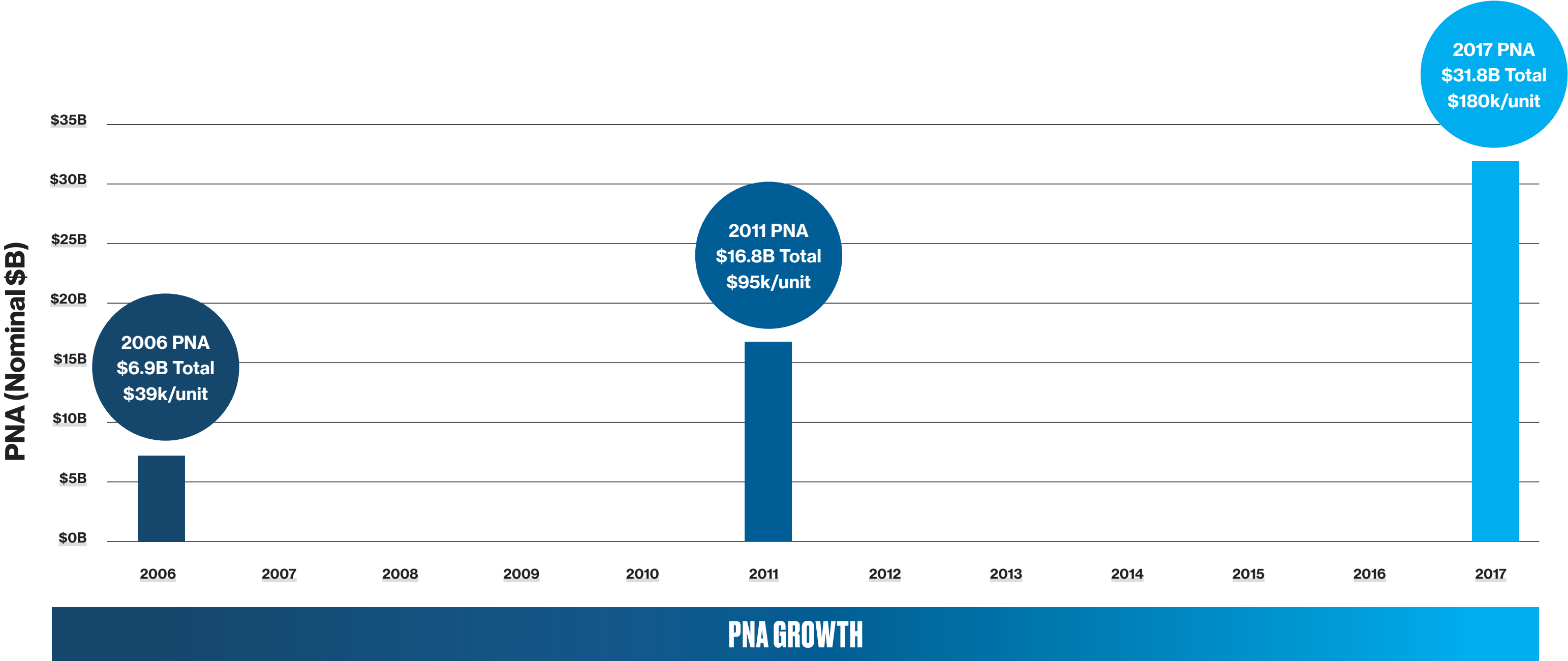
- Over \$500 million in expense funding since 2014
- Ended PILOT payments and NYPD fees



CAPITAL REPAIR NEEDS

NYCHA CONDUCTS A PHYSICAL NEEDS ASSESSMENT (PNA) EVERY 5-6 YEARS

- The PNA identifies the capital expenditure required to bring NYCHA campuses to a state of good repair
- The most recent estimate—the 2017 PNA—identified 5-year needs of \$31.8B or \$180,000/unit



CAPITAL REPAIR NEEDS: CATEGORY BREAKDOWN

CATEGORY

1

STRUCTURE/ARCHITECTURAL

- Includes roofs, façades
- \$10.69B (33% of total)

CATEGORY

2

SYSTEMS

- Includes boilers, elevators
- \$5.94B (19%)

CATEGORY

3

APARTMENTS

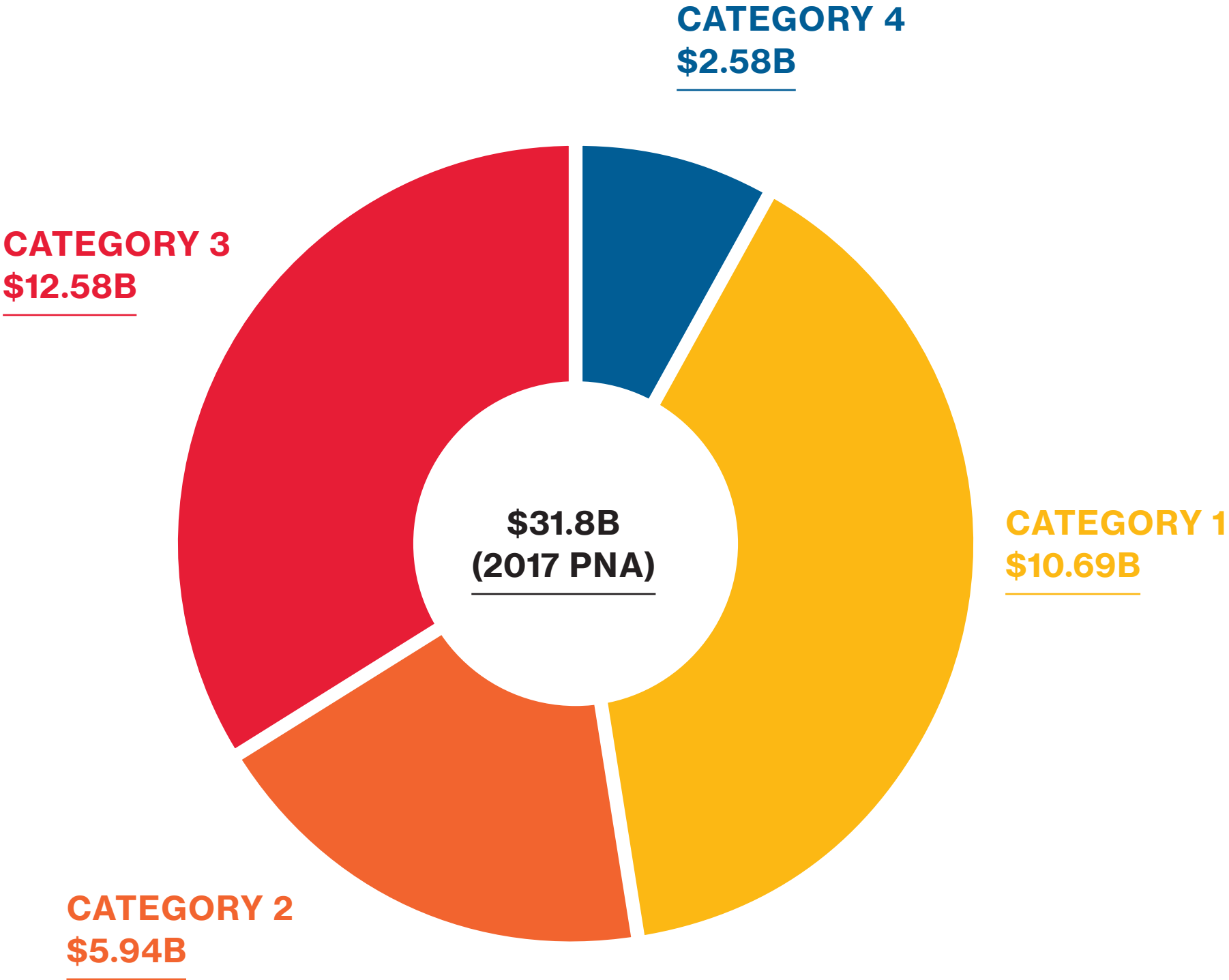
- Includes kitchens, bathrooms
- \$12.58B (40%)

CATEGORY

4

SITE/GROUNDS

- Includes playgrounds, sidewalks
- \$2.58B (8%)



NYCHA 2.0

Part 1: Invest to Preserve

OVERVIEW

NYCHA 2.0: ASSURING QUALITY AFFORDABLE HOUSING FOR ALL NYCHA RESIDENTS

PART 1: INVEST TO PRESERVE – STRATEGY OVERVIEW

1

PACT TO PRESERVE (PTP)

- Use HUD Section 8 programs, including the Rental Assistance Demonstration (RAD), to fund renovations and convert public housing (Section 9) apartments to permanently affordable housing
- Convert approximately 62,000 apartments over 10 years
- Maintain equivalent public housing tenancy rights and protections, as well as NYCHA ownership of the land and control over major decisions

2

BUILD TO PRESERVE (BTP)

- Accelerate new construction program to develop more buildings on NYCHA sites
- Develop mixed-income buildings that comply with Mandatory Inclusionary Housing (MIH) levels of affordability to generate significant revenue for NYCHA capital repairs
- Complete comprehensive renovations at adjacent NYCHA development

3

TRANSFER TO PRESERVE (TTP)

- Issue Requests for Expressions of Interest (RFEIs) to transfer air rights at high-value sites
- Generate revenue to deliver renovations at adjacent developments

PACT TO PRESERVE

OVERVIEW

- Establishes a 62,000-unit program that will address roughly \$12.8B of capital need over 10 years using HUD Section 8 conversion programs, including RAD
- Accelerates original 20,000-unit NextGen NYCHA (NGN) pipeline by 4 years (from 2026 to 2022)
- Leverages additional funding through Section 8 programs that will be used to complete comprehensive renovations at NYCHA developments

PROGRESS TO DATE

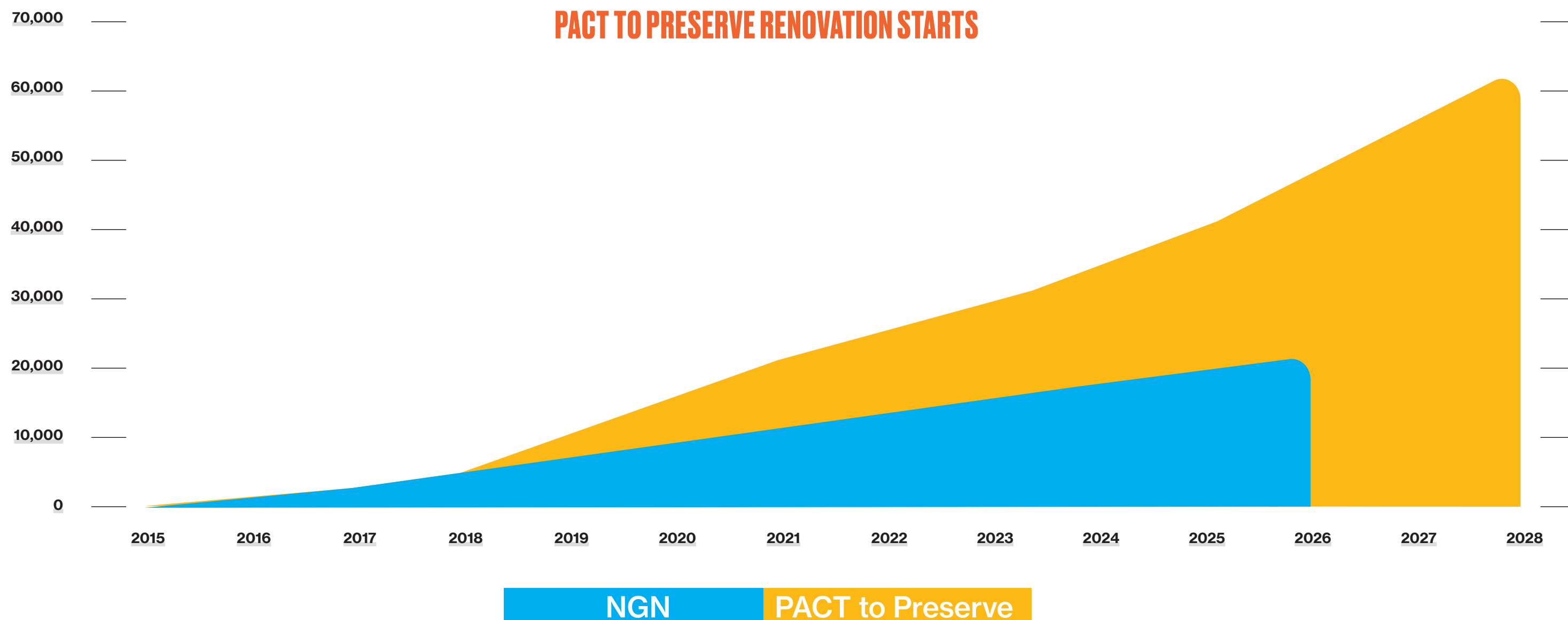
Completed renovations:

1,395 UNITS

Renovation starts:

~2,500 UNITS
in 2018

~5,000 UNITS
in 2019



PACT TO PRESERVE: RESIDENTS' BILL OF RIGHTS

PACT IS PUBLIC-PRIVATE PARTNERSHIP, NOT PRIVATIZATION

NYCHA OWNERSHIP GUARANTEES PUBLIC CONTROL

- **Ground Lease:** NYCHA ground leases its developments and continues to own the land
- **Decision Rights:** NYCHA maintains oversight over all major decisions

CONTRACTUAL OBLIGATIONS ENSURE PERMANENT AFFORDABILITY

- **Permanent Affordability:** NYCHA has approval rights over any material change in affordability
- **Contract Renewal:** PACT Section 8 contracts with HUD automatically renew every 20 years

NYCHA RESIDENTS' BILL OF RIGHTS

In 2016, leaders from NYCHA resident associations and community-based organizations formed the NYC RAD Roundtable to ensure that NYCHA residents maintain tenancy rights, including:

- **Rent** – continue paying no more than 30% of income on rent
- **Lease Renewal** – automatic if resident is in good standing
- **Resident Organizations** – establish and maintain organizations recognized by NYCHA
- **Succession Rights** – continue for current public housing residents
- **Hearings** – residents have the right to a hearing to resolve grievances

PACT TO PRESERVE: SELECTION CRITERIA

PACT TO PRESERVE WILL REPOSITION THE AUTHORITY TO BE A MORE RESPONSIVE LANDLORD

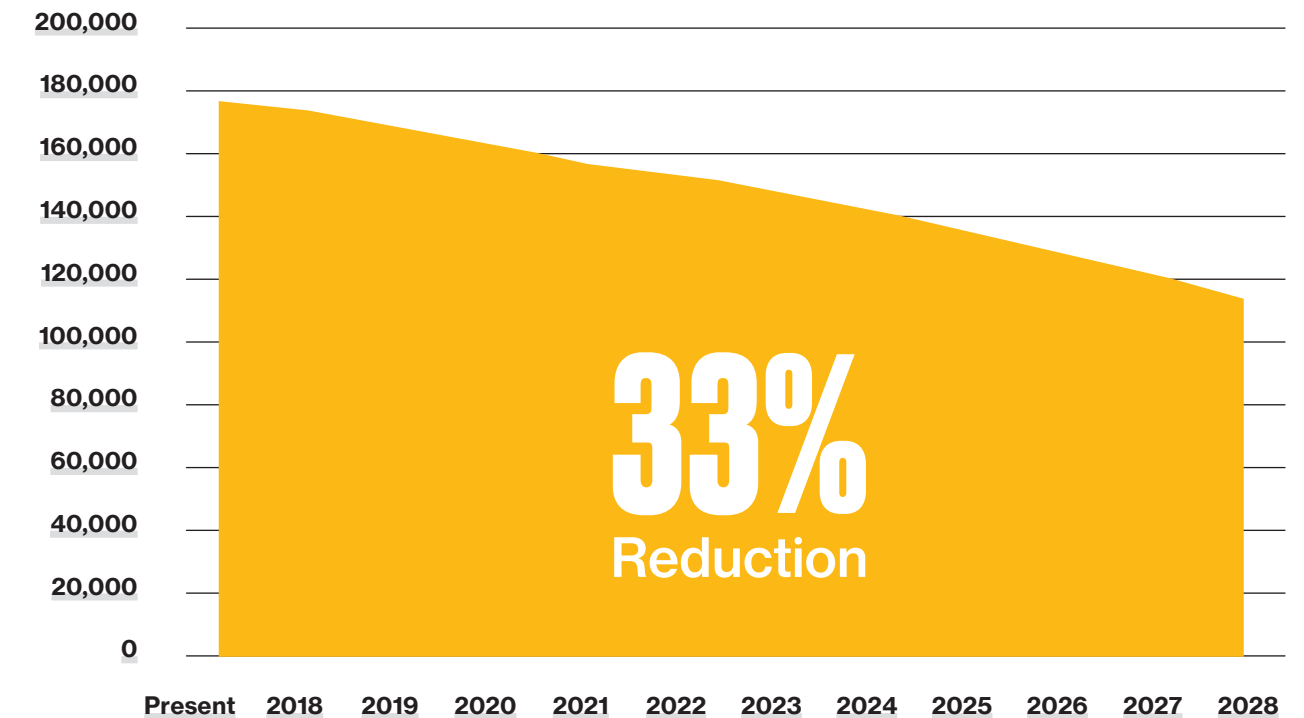
APPROACH

- NYCHA will select campuses with the highest capital needs and operating costs for the PACT pipeline
 - Scattered site developments that are isolated and over 10% more costly to operate than larger, denser developments
 - "Unfunded" units that do not receive federal subsidies
 - Developments that meet HUD's "obsolescence" criteria for high capital need

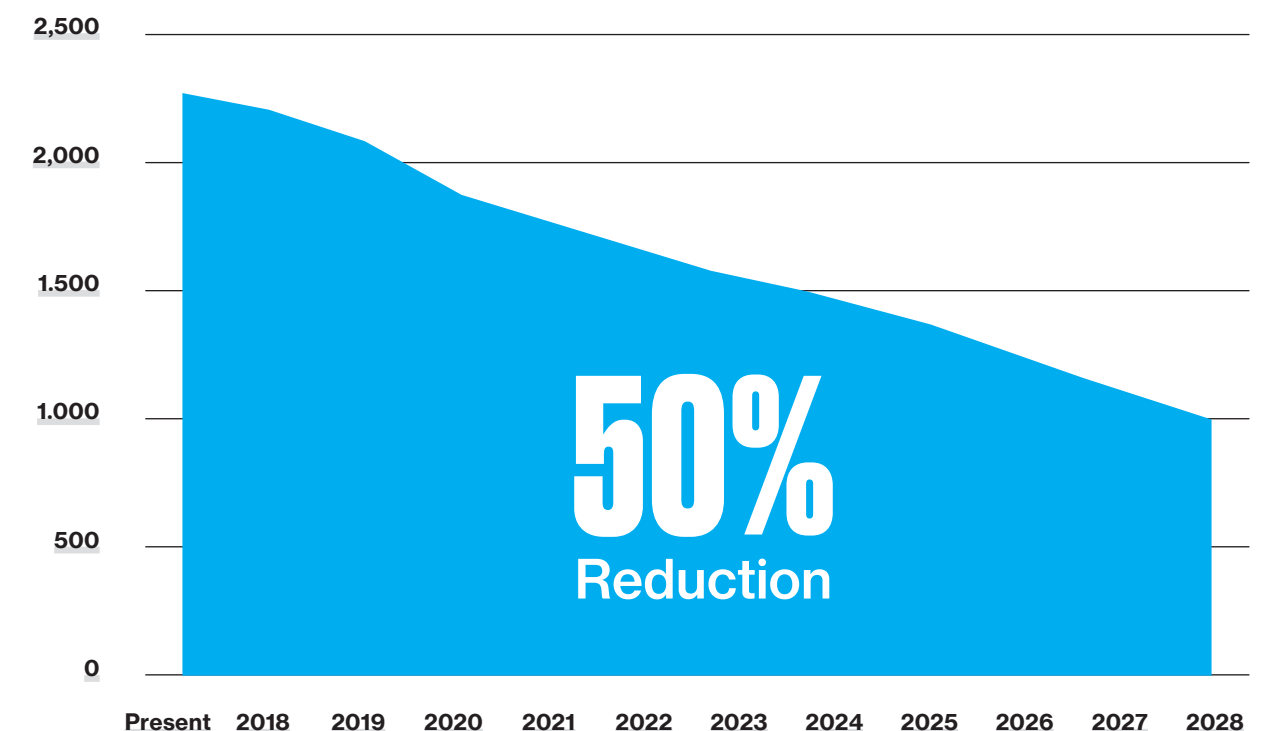
RESULTS

- The post-PACT NYCHA portfolio will be more geographically concentrated and easier to manage
 - Reduces the number of NYCHA managed buildings by over 50%, while reducing NYCHA managed units by only 33%
 - Enables NYCHA to more efficiently manage its properties and more strategically invest resources in post-PACT developments

NYCHA MANAGED UNITS



NYCHA MANAGED BUILDINGS



BUILD TO PRESERVE

OVERVIEW

- The City will replace the “50-50” new construction program with a program to develop new mixed-income buildings on select NYCHA campuses
- Proceeds from new construction will address \$2B in capital need across approximately 10,000 NYCHA apartments
- New buildings will be subject to Mandatory Inclusionary Housing (MIH) levels of affordability and increase the permanently affordable housing stock

HOW THE PROGRAM WORKS

- 100% of the funds generated by new construction will first be used to fully renovate the adjacent development and any remaining proceeds will go to repairs at other developments in the same neighborhood
- Retain ownership of the land (NYCHA will ground lease—not sell—the land)
- Create plans with community input for comprehensive campus improvements
- Issue Requests for Proposal (RFPs) for new developments that comply with MIH affordability levels
- Complete renovations at existing NYCHA public housing apartments at the same time as new buildings are constructed



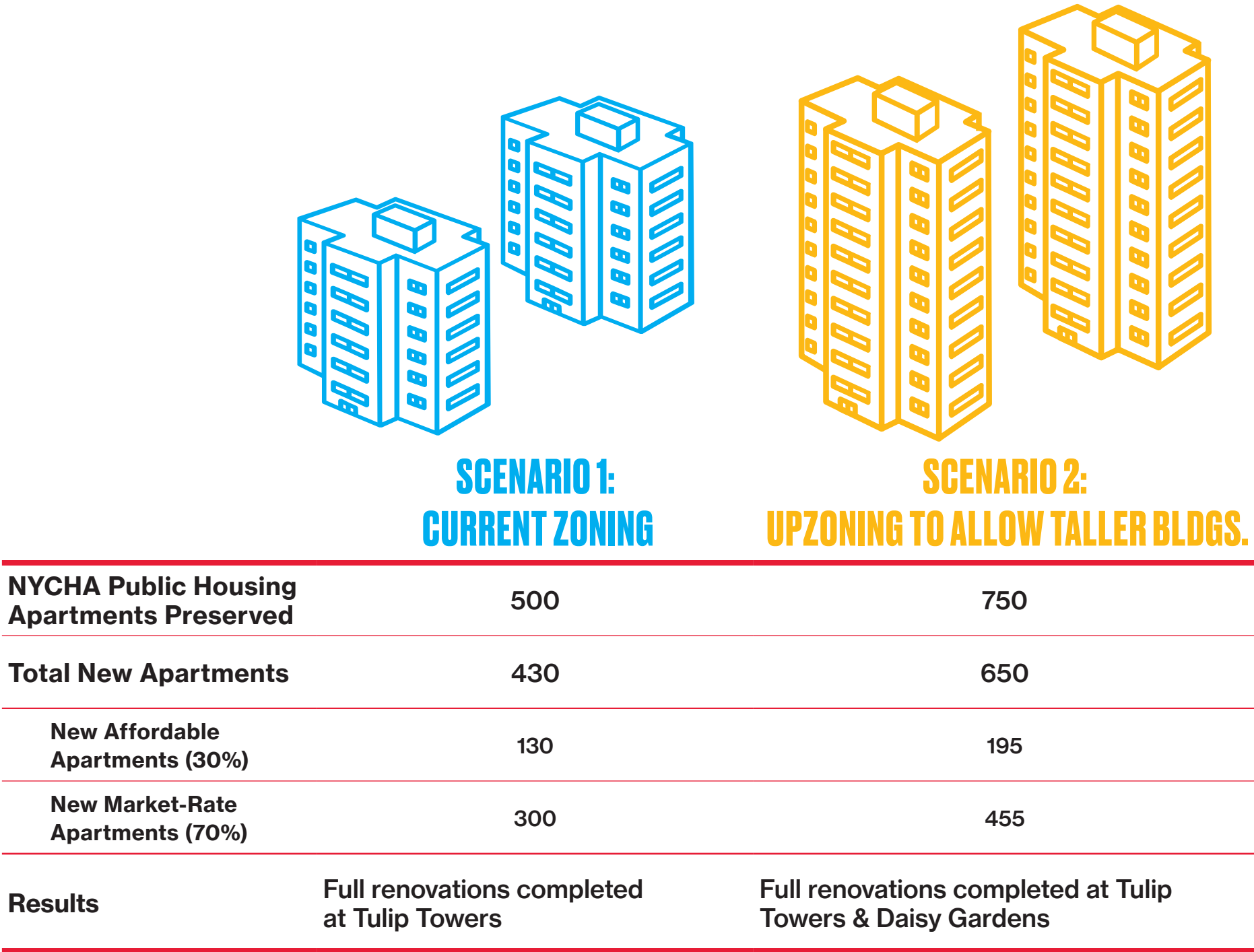
BUILD TO PRESERVE: ILLUSTRATIVE CASE STUDY

TULIP TOWERS & DAISY GARDENS

- Construct new buildings on the Tulip Towers development sites
- Use 100% of proceeds to fund comprehensive renovations at Tulip Towers
- If there are additional funds, complete comprehensive renovations at the nearby Daisy Gardens

	Tulip Towers	Daisy Gardens
Apartments	500	250
5-Year Capital Need	\$90M	\$45M
Potential Development Sites	2	0

NEW CONSTRUCTION AT TULIP TOWERS SITES



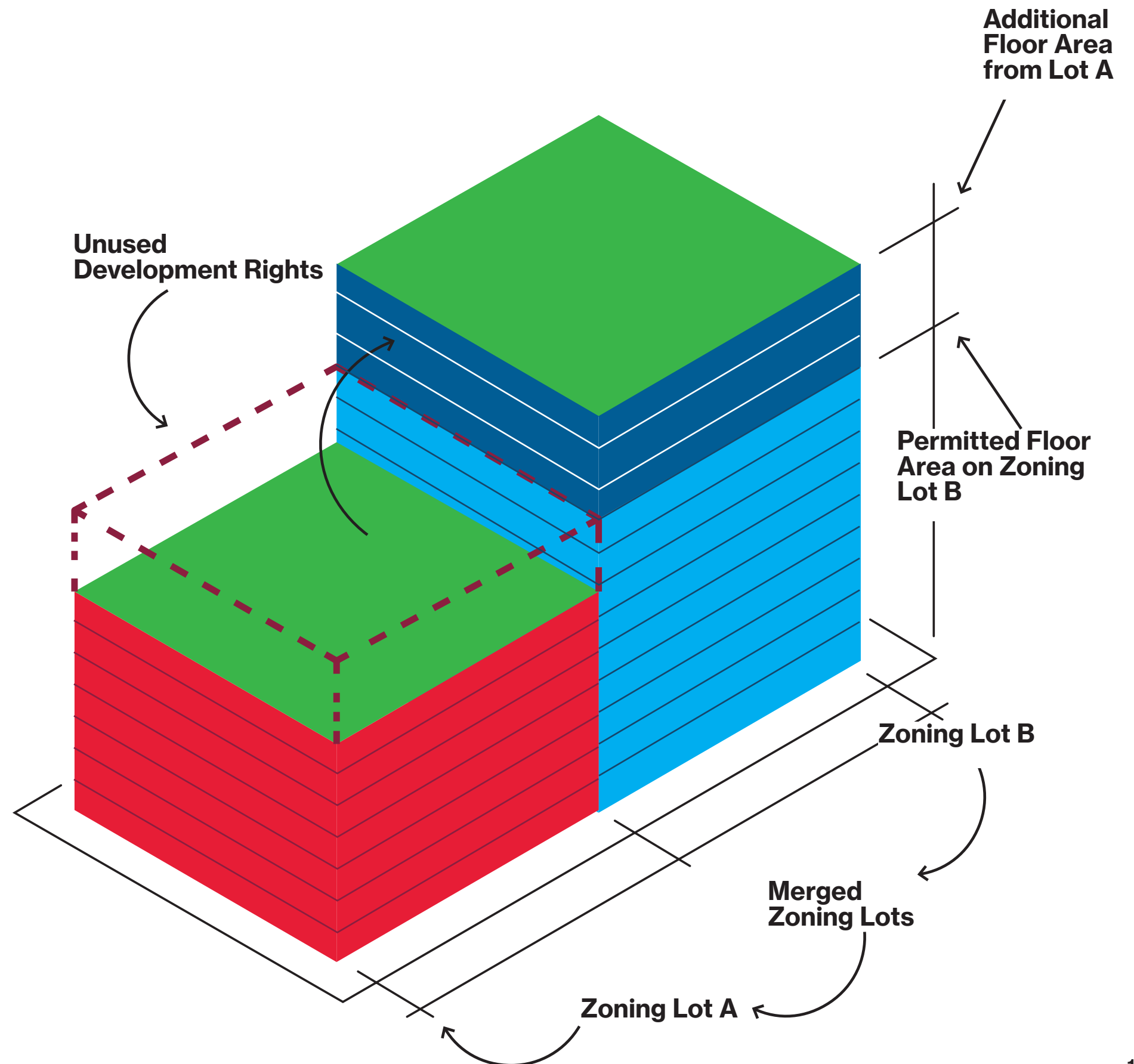
TRANSFER TO PRESERVE

OVERVIEW

- Transfer a portion of NYCHA's estimated 80 million square feet of unused development rights ("air rights") to adjacent privately-owned sites
- Generate \$1B for capital repairs at adjacent developments

HOW THE PROGRAM WORKS

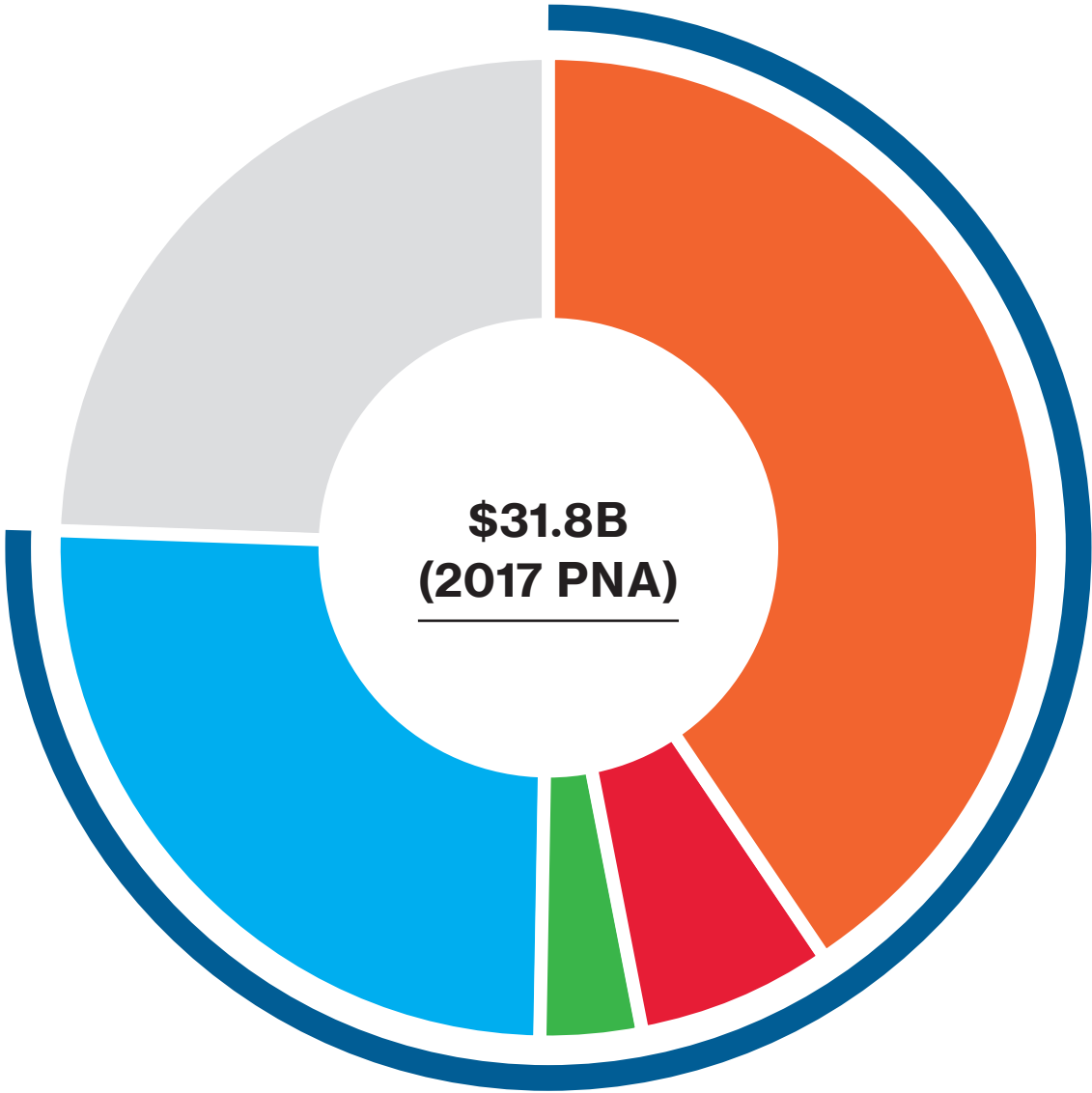
- Analyze portfolio to determine sites with viable opportunities to transfer development rights
- Issue Requests for Expression of Interest (RFEIs) to transfer development rights at high-value sites
- Deliver renovations at adjacent developments using proceeds from air rights transfers



FINANCIAL IMPACT

NYCHA 2.0 + EXISTING FUNDING WILL REDUCE \$31.8B 5-YEAR CAPITAL NEED BY UP TO **75%***

NYCHA 2.0 INITIATIVE	NEED ADDRESSED	TIMING
I. PACT to Preserve	\$12.8B	10 Years
II. Build to Preserve	\$2B	10 Years
III. Transfer to Preserve	\$1B	10 Years
Existing Funding	\$7.9B	
City (Mayor’s Initiative + City Capital)	\$1.4B	5 Years
State	\$450M	**
Federal (Capital Plan + FEMA + EPC)	\$3.6B***	10 Years
City (Consent Decree)	\$2.2B	10 Years
Total NYCHA 2.0	\$23.8B	
Remaining Need	\$8B	



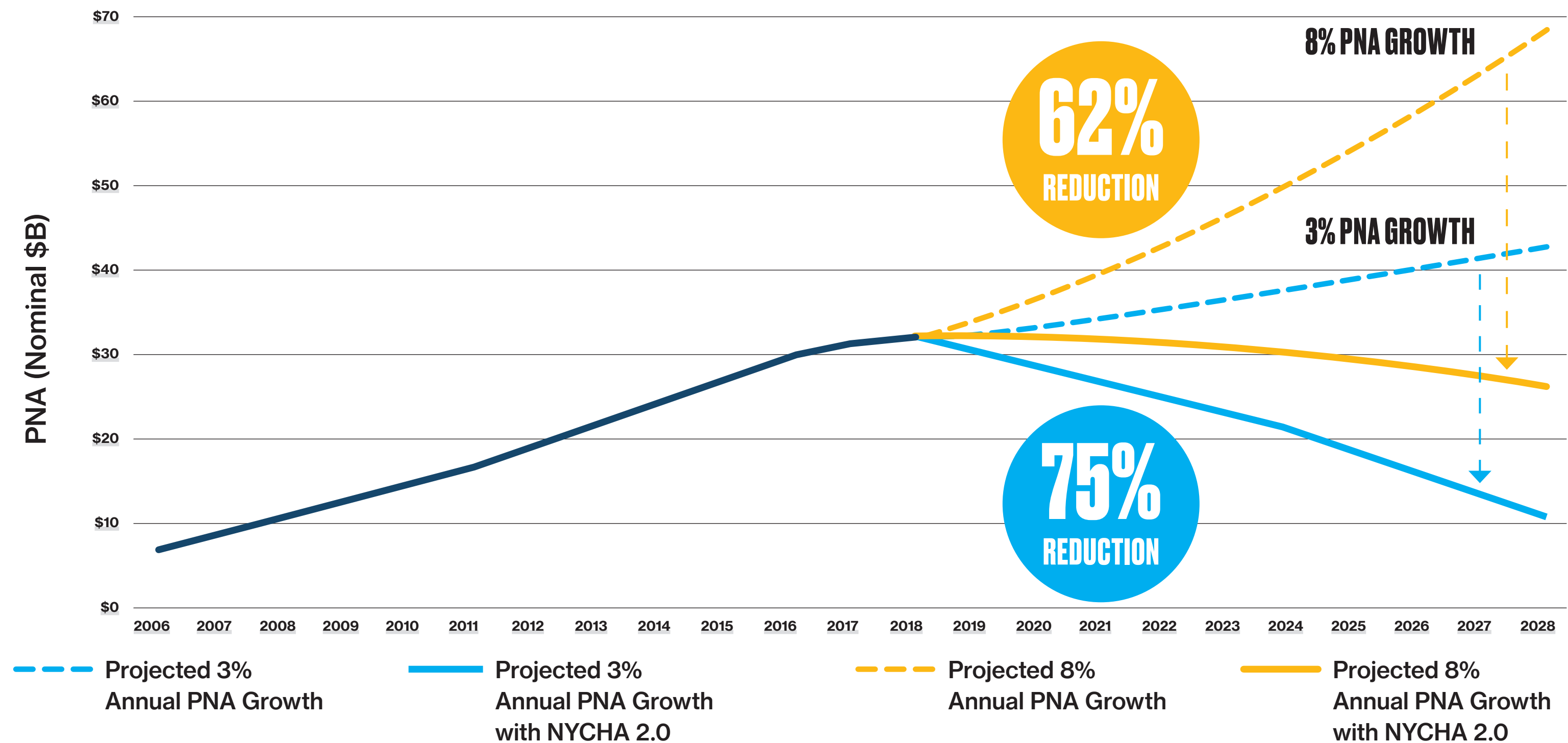
* Exact PNA reduction will likely range between 75% and 62% depending on the rate of PNA growth. Pie chart assumes that PNA grows at inflation (3% per year).

** Exact timeline to be determined.

*** 5-year funding is \$2.1B. \$3.6B is a forward-looking estimate assuming current annual funding rate.

IMPACT OF PNA GROWTH RATES

THE AMOUNT OF CAPITAL NEED ADDRESSED BY NYCHA 2.0 DEPENDS ON THE RATE OF DETERIORATION AND CONSTRUCTION COST INCREASES



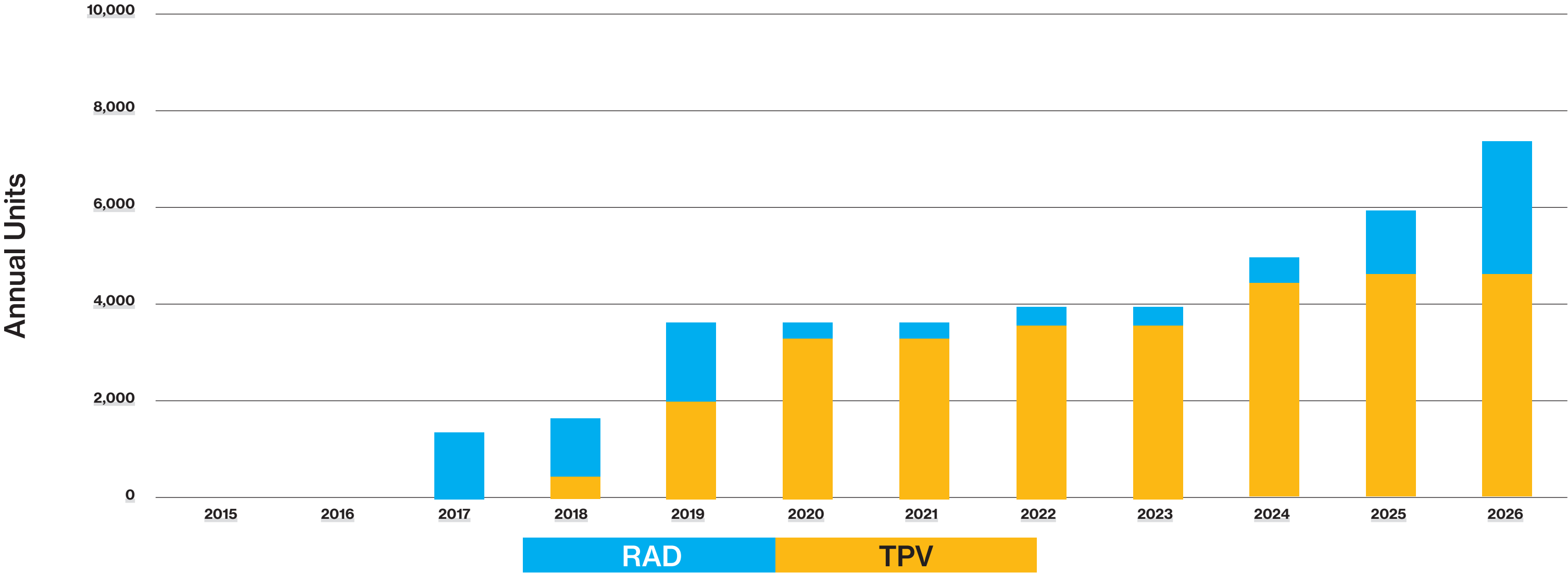
Implementation

FEDERAL RESOURCES FOR NYCHA 2.0

NYCHA AND THE CITY CALL UPON OUR FEDERAL PARTNERS TO COMMIT RESOURCES TO THE AUTHORITY

- Appropriate sufficient Tenant Protection Vouchers (TPVs)/RAD vouchers for the implementation of the PACT program
- Allocate additional capital funding to address the remaining 25% of NYCHA’s capital need
- Work with NYCHA and the City to obtain regulatory relief that will quicken repairs

TPV/ RAD VOUCHER ESTIMATES FOR PACT TO PRESERVE



DEDICATING CITY STAFF AND RESOURCES

THE CITY WILL ESTABLISH TWO DIVISIONS TO IMPLEMENT NYCHA 2.0 STRATEGIES



REAL ESTATE PLANNING AND DEVELOPMENT

- Re-structure and expand NYCHA's Department of Real Estate into a new division that will focus on (1) planning and (2) development
- Analyze NYCHA portfolio to determine PACT pipeline and closely coordinate with HDC to complete transactions
- Manage the Build to Preserve and Transfer to Preserve processes, including planning, procurement, negotiations, and pre-development



PUBLIC HOUSING RECAPITALIZATION

- Create new division at the Housing Development Corporation (HDC), the nation's preeminent municipal housing finance agency, to implement PACT to Preserve program
- Work in close coordination with NYCHA's portfolio planning and resident engagement specialists
- Utilize New York City's world-class affordable housing infrastructure and leverage HDC's balance sheet and structuring expertise, while maintaining its strong credit rating

ASSET MANAGEMENT

SAFEGUARDING NYCHA RESIDENTS THROUGH MULTIPLE LAYERS OF PROTECTIONS

- PACT developments will enter the asset management programs of both the Housing Development Corporation (HDC) and NYCHA
 - HDC will extend its asset management program – which currently oversees over 200,000 affordable units – to PACT developments
 - NYCHA will provide asset management for PACT developments in line with other project-based Section 8 developments

	ENGINEERING	PORTFOLIO REVIEW	REGULATORY & COMPLIANCE
	<ul style="list-style-type: none">– Complete annual building and unit physical inspections– Perform scope & cost review– Provide construction monitoring oversight– Create repair & improvement plans as needed	<ul style="list-style-type: none">– Analyze the financial health of the portfolio– Review annual project financial statements– Monitor project reserves– Create “watch list” of potential problems	<ul style="list-style-type: none">– Perform compliance reviews in accordance with regulations– Address applicant & resident complaints
	<ul style="list-style-type: none">– Complete Housing Quality Standards (HQS) inspections	<ul style="list-style-type: none">– Host forums for existing and new property managers	<ul style="list-style-type: none">– Approve income-eligible tenants and perform household income re-certifications– Administer housing assistance payments (HAP) contracts– Manage waiting lists

NEW JOB OPPORTUNITIES FOR NYCHA RESIDENTS: HireNYCHA

CREATING A NEW PROGRAM—HireNYCHA—TO TRAIN AND CONNECT NYCHA RESIDENTS TO JOBS

SYSTEM INTEGRATION

- Connect NYCHA-specific workforce efforts to the broader NYC workforce system
- Use model built for Sandy Recovery efforts and Workforce 1 system

COMMUNITY CONNECTIONS

- Hire new recruitment and placement staff at the NRTA
- Add new service contracts with local community organizations with deep ties to and success working with NYCHA residents

SKILLS TRAINING AND JOB PLACEMENT

- Train an additional 250 NYCHA residents per year, a 70% increase over current work done at NYCHA Resident Training Academy (NRTA)

ACCOUNTABILITY

- Create a new Section 3 JobStat tracking program to catalog real-time data on Section 3 hiring
- Partner with the Department of Small Business Services

BRIDGE EDUCATION PROGRAMS

- Deliver new preparation programs for job-readiness tests and long-term adult education for 100 residents per year



BOTTOM LINE: WHAT NYCHA 2.0 MEANS FOR NYCHA RESIDENTS

COMPREHENSIVE RENOVATIONS

- Renovated apartments (new kitchens, bathrooms, appliances)
- Comprehensive structural and systems repairs (new elevators, boilers)
- Mold eradication, lead remediation, and pest abatement

IMPROVED PROPERTY MANAGEMENT

- Better NYCHA management of a smaller, more efficient portfolio
- Best-in-class third-party management of PACT developments with oversight from both HDC and NYCHA

PERMANENT AFFORDABILITY

- Continued affordability at rent levels of no more than 30% of household income
- Long-term preservation of a vital source of low-income housing for New Yorkers

OCEAN BAY PACT CONVERSION

Before and After



NYCHA 2.0

PART 1: INVEST TO PRESERVE

DATA SOURCES

Page 4: NYCHA Performance Management and Analytics

Page 5: NYCHA Performance Management and Analytics

Page 7: NYCHA Capital Projects; NYCHA Finance

Page 8: NYCHA Finance

Page 9: NYCHA Capital Projects

Page 10: NYCHA Capital Projects

IMAGE CREDITS

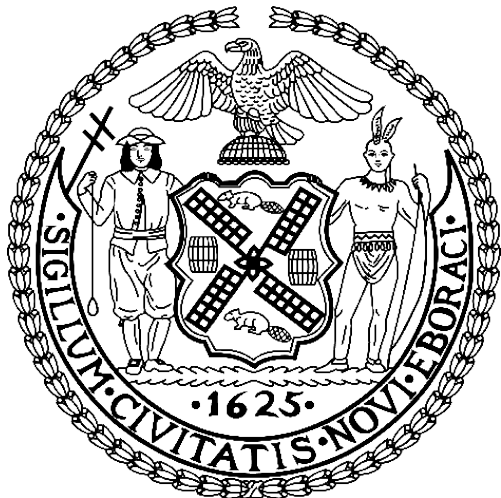
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(www.bellweather.agency)



The City of New York
Mayor Bill de Blasio

Alicia Glen, Deputy Mayor for
Housing and Economic Development



Stanley Brezenoff, Interim Chair & CEO
New York City Housing Authority



PACT RAD

Creating a Permanent Affordability Commitment *Together*

Frequently Asked Questions (FAQs)

What is Permanent Affordability Commitment Together (PACT)?

PACT is a critical part of *NextGeneration NYCHA*, the Authority's 10-year strategic plan to repair public housing to improve residents' quality of life. Under PACT, NYCHA seeks to identify resources and opportunities to make major improvements to developments, while preserving long-term affordability and maintaining strong resident rights. PACT includes portfolios under the federal Rental Assistance Demonstration (RAD) and NYCHA's Unfunded Units (also known as LLC II and PACT City/State Developments). PACT creates public-private partnerships to repair and manage the developments.

What are the goals of PACT?

- Raise money through new financing options for critically needed repairs
- Maintain long-term affordability for residents
- Protect resident rights
- Create public-private partnerships that retain NYCHA's oversight role

What is RAD?

RAD is an innovative HUD tool to preserve public housing and address capital needs (also called deferred maintenance). Under RAD, public housing authorities like NYCHA convert the funding source that supports a development from the public housing subsidy (Section 9) to the Section 8 voucher program. This conversion puts the development on a more solid financial footing since Congress typically funds Section 8 at a higher percentage of need than Section 9. Furthermore, switching to Section 8 allows NYCHA to finance major critical repairs with non-governmental funds. In New York City, RAD is a collaboration between the Authority, NYCHA residents, development partners, and community and housing advocates.

According to HUD, here are five things you should know about RAD public housing conversions (source:

<https://www.hud.gov/RAD>):

1. RAD allows public housing authorities to **leverage public and private debt and equity in order to reinvest in the public housing stock**.
2. In RAD, units move to a Section 8 platform with a long-term contract that, by law, must be renewed. This ensures that the units remain **permanently affordable to low-income households**.
3. Residents continue to pay 30% of their income towards rent and they **maintain the same basic rights** as they possess in the public housing program.
4. RAD **maintains the public stewardship** of the converted property through clear rules on ongoing ownership and use.
5. The RAD program is **cost-neutral and does not increase HUD's budget**. This program simply shifts units from the Public Housing program to the Section 8 program so that providers may leverage the private capital markets to make capital improvements.



PACT RAD

How were developments selected for PACT-RAD?

Developments currently undergoing PACT-RAD conversions are scattered sites, which are smaller than conventional NYCHA developments and are typically located away from larger “tower-in-the-park” developments. Some of these developments are already privately managed.

Is this privatization?

No, this is a public-private partnership. PACT is based on creating public-private partnerships between NYCHA and development teams. NYCHA will enter into long-term lease agreements with development partners that will repair and manage the properties and provide social services to the residents. NYCHA will continue to own the land and buildings, participate as part of the development team (typically at 50% of ownership of the lessee), and oversee major decisions as the Section 8 contract administrator, including rent determination and filling vacancies.

How will long-term affordability be guaranteed?

Like public housing, all residents will pay no more than 30% of their adjusted gross income towards rent. Long-term affordability will be required under HUD’s Section 8 contract and the NYCHA ground lease with the development partner.

What rights will residents have?

PACT residents have the same strong rights as residents in traditional public housing, including the right to a hearing to resolve any grievances along with succession rights.

What repairs will be made?

Repairs for each development will be based on that development’s physical needs assessment and resident input. Repairs could include roof replacements, façade upgrades, new kitchens and bathrooms, renovated common spaces, upgraded lighting, enhanced security features, and improved outdoor areas.

How does this affect property management?

Post-conversion, a third-party property manager, which will be part of the development team, will operate the property instead of NYCHA.

What if the new property manager is not doing a good job?

NYCHA will have an ownership interest in the development and can change property managers if the management company fails to uphold their commitments.

Will residents still be part of NYCHA?

Yes, residents will be participants in NYCHA’s Section 8 program.

How much rent will residents pay after the conversion?

Residents will pay no more than 30% of their adjusted gross income towards rent.

What if a resident earns too much to qualify for Section 8?

HUD allows residents in the converting developments to earn up to 80% of AMI and still qualify to live in a Section 8 project-based voucher development. Residents who earn more than 80% of AMI will be allowed to remain in their unit and pay 30% of their income as rent.



PACT RAD

Are the Section 8 vouchers portable?

One year after the Section 8 conversion, a family can move out of their unit with a “Choice Mobility” tenant-based voucher, subject to funding availability. The voucher program allows tenants to move anywhere in the United States where Section 8 vouchers are accepted.

How will new residents be chosen when there are vacancies?

Vacancies will be filled through a NYCHA Section 8 site-based wait list.

Will there be annual inspections?

Yes, units will be inspected according to the Section 8 Housing Quality Standards (HQS). If a unit passes inspection, it may be inspected every two years. If a unit fails inspection, it will be inspected every year. A resident can request an inspection of their unit at any time.

Will residents be forced to move under PACT-RAD?

No. Residents will not be asked to move or be displaced. No relocation is planned. Residents converting to Section 8 under RAD will not be re-screened for program eligibility. Additionally, the rehabilitation work will occur with tenants-in-place in order to minimize disruption to residents' lives. Residents with medical conditions may be accommodated during the construction period.

Can residents opt out of PACT?

No. All residents in PACT developments, both RAD and Unfunded Units, will remain in their development and convert to Section 8. Any resident who wishes to remain in the public housing program may request a transfer, but the transfer must be for a valid reason, such as that the apartment is uninhabitable due to fire or flood, the tenant has a special need due to a disability, or the apartment is under- or over-occupied. There are currently more than 203,000 families on NYCHA's public housing wait list and more than 8,000 families are awaiting a transfer. Vacancy within NYCHA's public housing developments is less than 1% and transfers are extremely difficult to fulfill.

What is the timeline for the PACT-RAD conversions?

NYCHA completed its first PACT-RAD conversion at **Ocean Bay (Bayside)** in Queens in 2016; the development partner for that conversion of 1,395 apartments is RDC Development, Catholic Charities, and Ocean Bay Community Development Corporation. NYCHA completed three additional PACT-RAD conversions in 2018 as follows:

- **Twin Parks West:** 312 apartments in the Bronx; the development partner is Gilbane Development Company, Dantes Partners, Apex Building Group, and Kraus Management, Inc.
- **Betances Houses:** 1,088 apartments in the Bronx; the development partner is RDC Development and Catholic Charities.
- **Highbridge-Franklin:** 336 apartments in the Bronx; the development partner is Gilbane Development Company, Dantes Partners, Apex Building Group, and Kraus Management, Inc.

NYCHA plans to convert 1,315 apartments at **Hope Gardens** in Brooklyn in mid-2019; the development partner is Pennrose and Acacia Network. NYCHA is also on track to convert **21 scattered site developments in Brooklyn and Manhattan**, covering 2,398 apartments in late 2019 and early 2020.



PACT RAD

NYCHA will release project solicitations in mid-2019 to include the following developments in PACT-RAD conversions for 2020:

- **Williamsburg:** 1,630 apartments
- **Harlem River:** 577 apartments
- **Harlem River II:** 116 apartments
- **Audubon:** 168 apartments
- **Bethune Gardens:** 210 apartments
- **Marshall Plaza:** 180 apartments

NYCHA will continue to share information to ensure that residents remain informed of the most current timeline.

How can I learn more about PACT?

Please attend resident meetings to engage directly with NYCHA and our development partners. For more info, please visit <http://on.nyc.gov/nycha-pact> or reach out at pact@nycha.nyc.gov or (212) 306-4036.

PRINCIPLES FOR THE RENTAL ASSISTANCE DEMONSTRATION:
SUPPLEMENTAL RESIDENT RIGHTS AND PROTECTIONS UNDER RAD CONVERSION

*Prepared by the New York City (NYC) Rental Assistance Demonstration (RAD) Roundtable on
Resident Rights and Protections*

The RAD Principles are intended as supplemental to rights and protections already provided by federal and state statute, U.S. Department of Housing and Urban Development (HUD) regulations, and HUD notices. The HUD notice related to resident protections is included as an appendix.

These Guiding Principles were developed by the RAD Roundtable in partnership with the New York City Housing Authority (NYCHA) in order to ensure that the rights of tenants are protected as NYCHA preserves properties through RAD. The RAD Roundtable included participants who are residents of NYCHA public housing and who represent community-based organizations, including:

Bernadette McNear, President, Ralph J. Rangel Houses Tenant Association, Manhattan
Lolita Miller, Treasurer, Ocean Bay (Bayside) Tenant Association, Queens
Ann Cotton Morris, President, Woodside Houses Tenant Association, Queens, and Chair, NYCHA City-Wide Council of Presidents (CCOP)
Charlene Nimmons, Resident, Wyckoff Gardens, Brooklyn, and Founder & Executive Director of Public Housing Communities, Inc.
Diana Blackwell, President, Fred Samuels Houses Tenant Association, Manhattan
Community Service Society
Community Voices Heard
Enterprise Community Partners, Inc.
FUREE
Good Ole Lower East Side
Local Initiative Support Corporation
New York Housing Conference
The Legal Aid Society
Urban Upbound

The RAD Principles have been endorsed by Roundtable participants: Bernadette McNear, President, Ralph J. Rangel Houses Tenant Association, Manhattan, Lolita Miller, Treasurer, Ocean Bay (Bayside) Tenant Association, Queens, Charlene Nimmons, Resident, Wyckoff Gardens, Brooklyn, and Founder & Executive Director of Public Housing Communities, Inc., Diana Blackwell, President, Fred Samuels Houses Tenant Association, Manhattan, Community Service Society, Enterprise Community Partners, Inc., FUREE, Good Ole Lower East Side, Local Initiative Support Corporation, New York Housing Conference, The Legal Aid Society, and Urban Upbound

PRINCIPLES FOR THE RENTAL ASSISTANCE DEMONSTRATION

Residents:

- ***Notice of RAD Candidacy***
Residents and Resident Associations (RAs) will have notice that their development is under NYCHA consideration for RAD conversion. NYCHA will begin outreach and education with residents while HUD considers NYCHA applications to ensure residents have the opportunity to learn about RAD in advance of HUD approval of developments.
- ***Resident Education***
A RAD handbook shall be distributed to all affected residents, providing comprehensive information about RAD conversion, including how RAD will differ from public housing and the potential impacts for residents and the community.
- ***Right to Organize***
Residents have the right to form a resident organization (RO) to represent all residents in the development, which the developer/property manager (PM) must recognize. If there is a RA (964-compliant and NYCHA-certified) that exists prior to RAD conversion, the RA will be recognized as the RO after conversion. If only part of the development with an RA will convert, the RA will continue to exist and the converted portion may form an RO. If no RA exists, NYCHA shall encourage the residents to form one prior to RAD conversion. If, upon conversion, there is no RO, the PM should encourage residents to form one and support them in doing so.
- ***Resident Participation Funding***
The RO will decide on how to use the RO portion of Resident Participation Funds, within the uses permitted under RAD including discretion over engaging community organizations for technical assistance and education. If the RA exists, funding should be allocated prior to conversion and transferred to the RO after conversion. If only part of a development is converting, the amount of funding to be transferred to a new RO will be prorated based on the number of units.
- ***Communications Among ROs***
In order to promote communication among ROs once a number of RAD conversions take place, NYCHA will provide ROs with contact information for other RAD property managers to enable organizations to communicate.
- ***Grievances and Lease Terminations***
NYCHA will develop a set of procedures for resident grievances and lease termination proceedings that will take effect upon conversion. The procedures will be uniform for each converted development and must be implemented by each PM. The PM must provide ongoing orientation to the procedures for residents.
- ***Succession Rights***
Households of a unit prior to conversion shall continue to have the same succession rights after conversion as NYCHA public housing residents. Persons who become residents of a unit after conversion shall have succession rights according to Section 8 rules.
- ***Resident Businesses***
Residents may engage in legal profit-making activities, including the operation of a home-based business, in their dwelling unit, provided that such activities are incidental to the primary use of the dwelling unit as a residence

RAD Developer/Property Manager (PM):

- ***RO Recognition and Meetings***
The PM must recognize a legitimate RO as the residents' representative. The PM must invite the RO to all resident engagements. The PM must meet regularly with ROs to discuss emerging property-wide issues, particularly during the construction/rehabilitation process. The PM and RA/RO should agree on

the frequency of these meetings. If there is no RA to become an RO after conversion, the PM should support residents in forming one.

- ***Right to Stay: Keeping Current Residents***
The PM shall not rescreen current households upon conversion for the purpose of maintaining tenancy including for income eligibility, income targeting provisions, criminal background, or credit history. Pets registered with NYCHA prior to conversion must also be allowed to stay.
- ***Keeping Residents Informed***
The PM must provide clear and accessible information to residents (in accord with HUD RAD guidance) regarding income recertification, eligible uses of Resident Participation Funds, rehabilitation and unit work schedules, and other PM expectations of residents. The PM should also create a system for responding to resident concerns or complaints and communicate how that process will work to residents.
- ***Language Access***
The PM will provide language assistance to residents who are Limited English Proficient (LEP) to ensure that they have meaningful access to RAD resident notifications and meetings, per RAD guidelines and HUD regulations.
- ***Plan for Resident Services***
The PM must provide a plan for assessing and responding to resident social service needs, including employment training and job opportunities. The PM must maintain community centers and the provision of services when the community center is part of the converting development. PM must consult with residents and the RO about their preferences in the choice of service providers and activities.
- ***Training and Employment Opportunities***
The PM must provide training and employment opportunities to residents both during and after construction and collaborate with NYCHA to finalize a plan. The PM must ensure that employees at the development are able to apply for positions with the new property management company.
- ***Rehabilitation Needs***
The PM should keep a record of rehabilitation needs, concerns about the structure and quality of buildings, which are raised by residents in the engagement process.
- ***Coordinated Income Reviews***
In order not to subject households to multiple income reviews—such as for HUD recertification and the Low Income Housing Tax Credit (LIHTC)—the PM and NYCHA must work to combine them into a single process where feasible.
- ***Temporary Relocation***
If any relocation is necessary, NYCHA and the PM must provide residents with the written relocation plans and inform them of their right to return and protections from relocation costs.
- ***Procedures for Handling Grievances and Lease Terminations***
NYCHA will develop a set of procedures for resident grievances and lease termination proceedings that will take effect upon conversion. The procedures will be uniform for each converted development and must be implemented by each PM. The PM must provide ongoing orientation to the procedures for residents.
- ***Language Access***
The PM will provide language assistance to residents of the project who are Limited English Proficient (LEP) to ensure that they have meaningful access to RAD resident notifications and meetings, per RAD guidelines.
- ***Enforcement of Principles***
NYCHA will implement these principles, including all items related to resident protections, services, and ongoing tenancy rights into appropriate transactional documents in consultation with the RAD Roundtable members. Tenant rights as described in these principles will be appropriately delineated in a required rider to resident leases with the PM. These rights will be part of the lease by incorporation.

NYCHA:

- ***Notice of RAD Candidacy***
NYCHA will provide residents and RAs with notice that a development is under consideration for RAD conversion. NYCHA will begin outreach and education with residents while HUD considers NYCHA applications to ensure residents have the opportunity to learn about RAD in advance of HUD approval of developments.
- ***Recognition of the RA Role***
If there is an RA prior to RAD conversion, NYCHA must involve the RA in all resident engagements. If no RA exists, prior to RAD conversion, NYCHA shall encourage the residents to form one prior to conversion.
- ***Resident Participation Funding***
RA funding should be allocated prior to conversion and transferred to the RO after conversion. If only part of a development is converting, the amount of funding to be transferred to a new RO will be prorated based on the number of units.
- ***Communications Among ROs***
In order to promote communication among ROs once a number of RAD conversions take place, NYCHA will provide ROs with contact information for other RAD property managers to enable organizations to communicate.
- ***Training and Employment Opportunities***
NYCHA will collaborate with the PM on a plan to provide training and employment opportunities to residents, both during and after construction.
- ***Coordinated Income Reviews***
In order not to subject households to multiple income reviews—such as for HUD recertification and the Low Income Housing Tax Credit (LIHTC)—the PM and NYCHA must work to combine them into a single process where feasible.
- ***Rehabilitation Needs***
NYCHA should keep a record of rehabilitation needs, concerns about the structure and quality of buildings, which are raised by residents in the engagement process or in the unit-by-unit Physical Needs Assessment.
- ***Temporary Relocation***
If any relocation is necessary, NYCHA and the PM must provide residents with the written relocation plan and inform them of their right to return and protections from relocation costs.
- ***Waiting List Responsibility***
NYCHA will administer site-based Section 8 Voucher waiting lists, which will be used to fill all vacancies in RAD-converted developments. NYCHA will notify applicants on the public housing waiting list about how to be placed on the Section 8 waiting list in accordance with HUD guidelines.
- ***Pet Policy***
NYCHA will recommend that all PMs adopt NYCHA's pet policy as a minimum standard. Residents with pets registered with NYCHA prior to conversion will be allowed to stay.
- ***Resident Selection Criteria***
NYCHA will require PMs to comply with a resident selection plan provided by NYCHA to ensure that all PMs in RAD-converted developments use standard resident selection criteria, pertaining to criminal background checks and rent payment and credit history.
- ***Processing Applications Pre-Conversion***
NYCHA will process requests for adding household members to a lease and interim re-certifications by an established deadline related to the anticipated date of conversion. NYCHA will approve requests that are eligible according to NYCHA's policy. NYCHA will announce the date in advance to RAs and residents. NYCHA will process requests for transfers in accordance with its established policies at the time.

- ***Post-Conversion Development-Wide Problems***
NYCHA will provide a contact person, with whom ROs can register development-wide, systemic problems that may emerge.
- ***Language Access***
NYCHA will provide language assistance to residents who are Limited English Proficient (LEP) to ensure that they have meaningful access to RAD resident notifications and meetings, per RAD guidelines.
- ***Security Deposits***
NYCHA will transfer the security deposits paid by residents for their public housing unit to the PM upon conversion.
- ***Utility Payments***
Utility allowances will be provided to residents where applicable in accordance with Section 8 program rules.
- ***Enforcement of Principles***
NYCHA will implement these principles, including all items related to resident protections, services, and ongoing tenancy rights into appropriate transactional documents in consultation with the RAD Roundtable members. Tenant rights as described in these principles will be appropriately delineated in a required rider to resident leases with the PM. These rights will be part of the lease by incorporation.

Attachment 1B – Resident Provisions in Conversions of Assistance from Public Housing to PBRA and PBV

This Attachment contains two sections, describing:

- 1B.1 Summary of Resident Provisions
 - 1B.2 Resident Participation and Funding
-

1B.1 Summary of Resident Provisions

The following is a summary of special provisions and alternative requirements related to tenants of public housing projects converting under RAD:

- Conversion will be considered a significant amendment to a PHA Plan (see Section 1.5(E) of this Notice);
- Notification of proposed conversion, meetings during the conversion process, written response to residents comments on conversion, and notification of conversion approval and impact (see Section 1.8 of this Notice);
- No rescreening at conversion (see Section 1.6(C)(1) of this Notice for conversions to PBV and Section 1.7(B)(1) for conversions to PBRA);
- Right to return after temporary relocation to facilitate rehabilitation or construction (see Section 1.6(C)(2) of this Notice for conversions to PBV and Section 1.7(B)(2) for conversions to PBRA);
- Phase-in of tenant rent increases (see Section 1.6(C)(4) of this Notice for conversions to PBV and Section 1.7(B)(3) for conversions to PBRA);
- Continued participation in the ROSS-SC and FSS programs (see Section 1.6(C)(5) of this Notice, for conversions to PBV and Section 1.7(B)(4) for conversions to PBRA);
- Continued Earned Income Disregard (see Section 1.6(C)(8) of this Notice, for conversions to PBV and Section 1.7.(B)(7) for conversions to PBRA);
- Continued recognition of and funding for legitimate residents organizations (see Section 1.6(C)(6) of this Notice for conversions to PBV, Section 1.7(B)(5) of this Notice for conversions to PBRA, and below in Attachment 1B.2 for additional requirements for both programs);
- Procedural rights consistent with section 6 of the Act (see Section 1.6(C)(7) of this Notice for conversions to PBV and Section 1.7(B)(6) of this Notice for conversions to PBRA); and
- Choice-mobility option allowing a resident to move with a tenant-based voucher after tenancy in the Covered Project (see 24 CFR § 983.260 for conversions to PBV and Section 1.7(C)(5) of this Notice for conversions to PBRA).

Attachment 1B: Resident Provisions in Conversions of Assistance from Public Housing

- For additional information, refer to Notice H2014-09; PIH 2014-17 for additional information on relocation requirements under RAD.

1B.2 Resident Participation and Funding⁷³

The following provisions contain the resident participation and funding requirements for public housing conversions to PBRA and PBV, respectively.

A. PBRA: Resident Participation and Funding

Residents of Covered Projects converting assistance to PBRA will have the right to establish and operate a resident organization in accordance with 24 CFR Part 245 (Tenant Participation in Multifamily Housing Projects). In addition, a Project Owner must provide \$25 per occupied unit annually for resident participation, of which at least \$15 per occupied unit shall be provided to the legitimate tenant organization at the covered property. These funds must be used for resident education, organizing around tenancy issues, and training activities.

In the absence of a legitimate resident organization at a Covered Project:

1. HUD encourages the Project Owner and residents to work together to determine the most appropriate ways to foster a constructive working relationship, including supporting the formation of a legitimate residents organization. Residents are encouraged to contact the Project Owner directly with questions or concerns regarding issues related to their tenancy. Project Owners are also encouraged to actively engage residents in the absence of a resident organization; and
2. Project Owners must make resident participation funds available to residents for organizing activities in accordance with this Notice. Residents must make requests for these funds in writing to the Project Owner. These requests will be subject to approval by the Project Owner.

B. PBV: Resident Participation and Funding

To support resident participation following conversion of assistance, residents of Covered Projects converting assistance to the PBV program will have the right to establish and operate a resident organization for the purpose of addressing issues related to their living environment, which includes the terms and conditions of their tenancy as well as activities related to housing and community development.

1. **Legitimate Resident Organization.** A Project Owner must recognize legitimate resident organizations and give reasonable consideration to concerns raised by legitimate resident

⁷³ For the purposes of this Attachment, HUD uses the term “Project Owner” to refer to the owner of a converting or Covered Project. In some instances the owner of a project could be a public, non-profit, or for-profit, e.g., mixed-finance projects).

organizations. A resident organization is legitimate if it has been established by the residents of a Covered Project, meets regularly, operates democratically, is representative of all residents in the project, and is completely independent of the Project Owner, management, and their representatives.

In the absence of a legitimate resident organization at a Covered Project, HUD encourages the Project Owner and residents to work together to determine the most appropriate ways to foster a constructive working relationship, including supporting the formation of a legitimate residents organization. Residents are encouraged to contact the Project Owner directly with questions or concerns regarding issues related to their tenancy. Project Owners are also encouraged to actively engage residents in the absence of a resident organization; and

- 2. Protected Activities.** Project Owners must allow residents and resident organizers to conduct the following activities related to the establishment or operation of a resident organization:
 - a. Distributing leaflets in lobby areas;
 - b. Placing leaflets at or under residents' doors;
 - c. Distributing leaflets in common areas;
 - d. Initiating contact with residents;
 - e. Conducting door-to-door surveys of residents to ascertain interest in establishing a resident organization and to offer information about resident organizations;
 - f. Posting information on bulletin boards;
 - g. Assisting resident to participate in resident organization activities;
 - h. Convening regularly scheduled resident organization meetings in a space on site and accessible to residents, in a manner that is fully independent of management representatives. In order to preserve the independence of resident organizations, management representatives may not attend such meetings unless invited by the resident organization to specific meetings to discuss a specific issue or issues; and
 - i. Formulating responses to Project Owner's requests for:
 - i. Rent increases;
 - ii. Partial payment of claims;
 - iii. The conversion from project-based paid utilities to resident-paid utilities;
 - iv. A reduction in resident utility allowances;
 - v. Converting residential units to non-residential use, cooperative housing, or condominiums;
 - vi. Major capital additions; and
 - vii. Prepayment of loans.

In addition to these activities, Project Owners must allow residents and resident organizers to conduct other reasonable activities related to the establishment or operation of a resident organization.

Project Owners shall not require residents and resident organizers to obtain prior permission before engaging in the activities permitted in this section.

- 3. Meeting Space.** Project Owners must reasonably make available the use of any community room or other available space appropriate for meetings that is part of the multifamily housing project when requested by:
 - a.** Residents or a resident organization and used for activities related to the operation of the resident organization; or
 - b.** Residents seeking to establish a resident organization or collectively address issues related to their living environment.

Resident and resident organization meetings must be accessible to persons with disabilities, unless this is impractical for reasons beyond the organization's control. If the project has an accessible common area or areas, it will not be impractical to make organizational meetings accessible to persons with disabilities.

Project Owners may charge a reasonable, customary and usual fee, approved by the Secretary as may normally be imposed for the use of such facilities in accordance with procedures prescribed by the Secretary, for the use of meeting space. A PHA may waive this fee.

- 4. Resident Organizers.** A resident organizer is a resident or non-resident who assists residents in establishing and operating a resident organization, and who is not an employee or representative of current or prospective Project Owners, managers, or their agents.

Project Owners must allow resident organizers to assist residents in establishing and operating resident organizations.

- 5. Canvassing.** If a Covered Project has a consistently enforced, written policy against canvassing, then a non-resident resident organizer must be accompanied by a resident while on the property of the project.

If a project has a written policy favoring canvassing, any non-resident resident organizer must be afforded the same privileges and rights of access as other uninvited outside parties in the normal course of operations. If the project does not have a consistently

enforced, written policy against canvassing, the project shall be treated as if it has a policy favoring canvassing.

A resident has the right not to be re-canvassed against his or her wishes regarding participation in a resident organization.

- 6. Funding.** Project Owners must provide \$25 per occupied unit annually for resident participation, of which at least \$15 per occupied unit shall be provided to the legitimate resident organization at the covered property. These funds must be used for resident education, organizing around tenancy issues, and training activities.

In the absence of a legitimate resident organization at a Covered Project:

- a.** HUD encourages the Project Owner s and residents to work together to determine the most appropriate ways to foster a constructive working relationship, including supporting the formation of a legitimate residents organization. Residents are encouraged to contact the Project Owner directly with questions or concerns regarding issues related to their tenancy. Project Owner are also encouraged to actively engage residents in the absence of a resident organization; and
- b.** Project Owner s must make resident participation funds available to residents for organizing activities in accordance with this Notice. Residents must make requests for these funds in writing to the Project Owner. These requests will be subject to approval by the Project Owner.



P.A.C.T. **DEVELOPMENT** **HANDBOOK:**

PERMANENT
AFFORDABILITY
COMMITMENT
TOGETHER

AUG 2019

TOOLS AND BEST PRACTICES FOR PACT CONVERSIONS IN NYC



The P.A.C.T Development Handbook was created by Enterprise Community Partners in collaboration with Hester Street.



Enterprise Community Partners (Enterprise) is a nonprofit organization that works with partners nationwide to finance, build and advocate for affordable housing for low- and moderate-income families.



Hester Street (HST) is an urban planning, design and development nonprofit that works to ensure neighborhoods are shaped by the people who live in them. Our goal is equitable, just and resilient neighborhoods and cities.

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HANDBOOK GOALS

The purpose of this handbook is to provide a resource for development teams, ensuring that the features unique to PACT and key lessons learned from the initial conversions are transferred early in the process for future PACT development teams. The Handbook describes and outlines successful approaches, considerations, useful tools and resources in order to:

- **Provide an overview of the PACT program for future development teams, highlighting best practices and lessons learned from the first four conversions;**
- **Emphasize components that are unique because of the PACT program requirements and/or the specifics of working with NYCHA and NYCHA residents compared to other affordable housing preservation projects;**
- **Highlight strategies throughout the process to maximize benefits for residents.**

The information included in this Handbook combines key takeaways from the Learning Collaborative and information collected during interviews with NYCHA staff and development team members who have participated in PACT projects. For a full list of interviewees see Acknowledgements on previous page.



Photo: NYCHA

INTRODUCTION

P.A.C.T. OVERVIEW

Public housing authorities (PHA) across the country have experienced significant disinvestment over the last two decades. The result is significant disrepair of housing developments that deeply impact residents' quality of life. In New York City alone, the New York City Housing Authority (NYCHA) has estimated its unfunded capital repair needs at \$32 billion. PACT (Permanent Affordability Commitment Together) is a key part of NextGeneration NYCHA 2.0, the Authority's 10-year strategic plan to ensure quality housing for all NYCHA residents, which is estimated to meet \$24 billion in repair needs.

PACT is New York City's program for creating public-private partnerships in order to make significant repairs and renovations to housing developments, streamline property management, and address the social service needs of NYCHA residents while ensuring ongoing affordability and maintaining resident rights. PACT is the umbrella name for three tools that enable the preservation of developments through Section 8 funding. This conversion puts developments on a more solid financial footing: Section 8 historically is a relatively stable, long-term funding source. Furthermore, leveraging the Section 8 funding platform allows NYCHA to finance critical capital repairs by accessing private debt and equity. PACT covers conversions under:

- **Rental Assistance Demonstration (RAD)**

RAD is a program of the U.S Department of Housing and Urban Development (HUD) that enables PHAs to shift a development's funding stream from Section 9 public housing funding to long-term, project-based Section 8 funding, enabling them and their development partners to leverage private debt and equity. Federal funding levels remain the same. See [HUD's RAD info page](#).

- **Section 18 Disposition and Tenant Protection Vouchers (TPVs)**

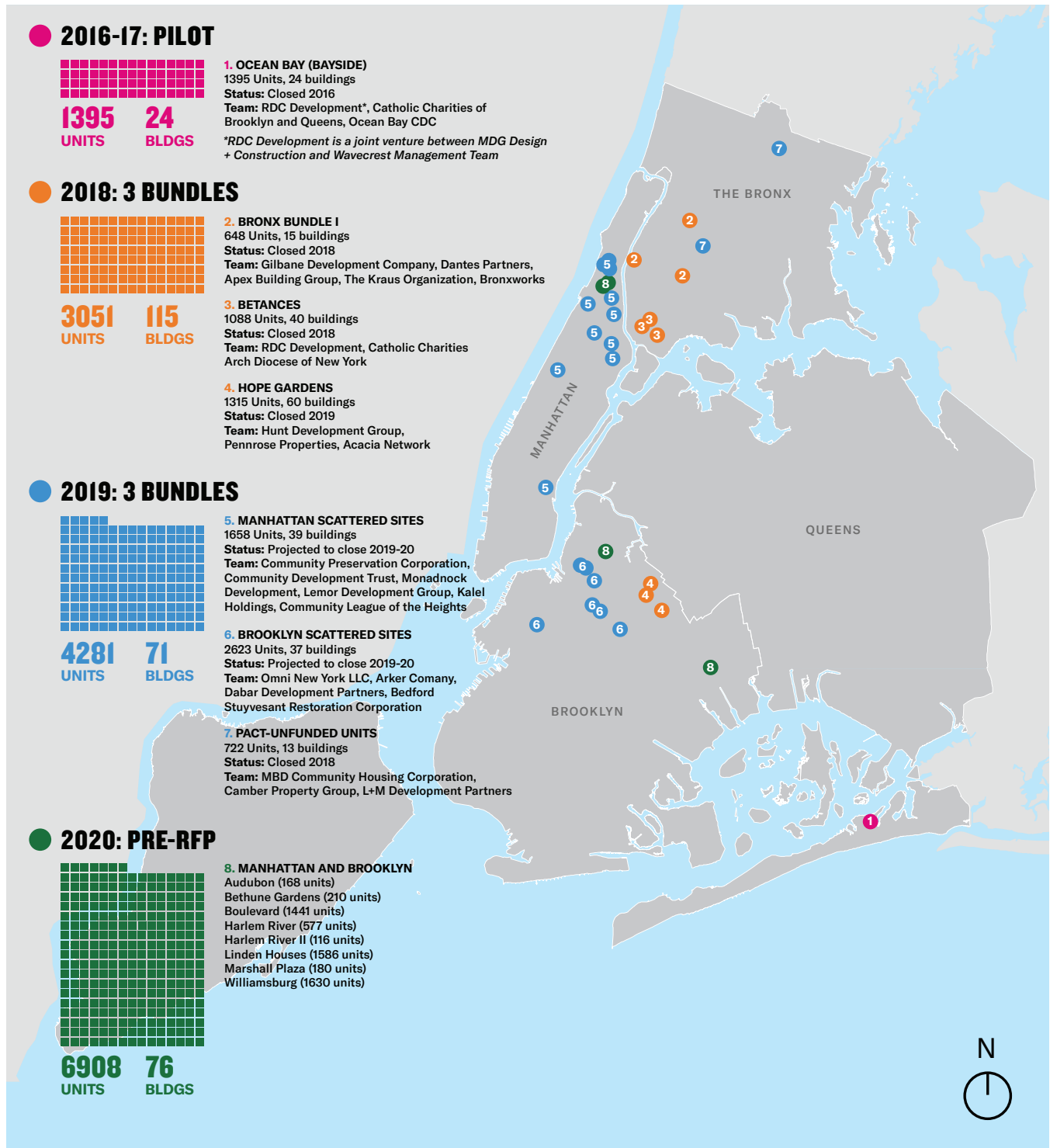
Section 18 of the Housing Act of 1937 allows PHAs to dispose of public housing units that meet specified criteria. PHAs can apply for project-based Tenant Protection Vouchers (TPVs), which provide higher levels of Section 8 funding relative to public housing funding levels (and therefore, RAD contract rents). TPVs also allow PHAs to leverage private debt and equity. See: [HUD's Section 18 info page](#).

- **Part 200 Disposition for LLC II/Unfunded Units**

NYCHA had eight (now two) developments that were originally constructed and funded by the City and State of New York but never received dedicated public housing funding after they were brought into NYCHA's portfolio. Through Part 200 disposition, HUD grants NYCHA approval to retain the Unfunded Units portfolio outside of the public housing program. Through PACT, NYCHA will use its existing Section 8 resources to convert these developments to project-based funding, which enables the Authority and its development partners to leverage private debt and equity to complete repairs. Ongoing federal funding levels are higher relative to RAD contract rents. See: [Part 200 PIH Notice](#).

PACT ROLLOUT IN NYC

In 2016, NYCHA converted its first project through PACT at Ocean Bay (Bayside) Apartments which includes 1,395 units across 24 buildings in Arverne, Queens in the Rockaways. NYCHA has since committed to preserve at least 62,000 public housing units by converting them to Section 8 by 2028 through PACT.



LEARNING FROM PAST CONVERSIONS

Since the closing of the first PACT deal and subsequent conversions, NYCHA has been updating protocols, streamlining processes and specifying details that were not foreseen in early conversions. These lessons learned are reflected in the structure of each new PACT deal and are expected to keep evolving as more developments go through the conversion process.

As NYCHA works towards its goal of preserving 62,000 units, different sites chosen for conversion will pose different challenges. NYCHA will preserve a variety of bundles, including scattered and smaller sites as well as larger, concentrated developments. This diverse portfolio will require a wide range of tools and resources for development teams. Approaches to resident engagement, communications, logistics, and construction will need to be tailored based on the particularities of each development and deal.

To date, development teams on PACT conversions have been selected by NYCHA through a competitive Request for Proposals (RFP). However, as of April 2019, NYCHA shifted towards a Request for Qualifications (RFQ) process to create a pre-qualified list of developers, property managers, general contractors, and social service providers. The list includes a mix of both large and small-scale development teams, which will enable a larger diversity of organizations to participate in PACT projects. See [NYCHA PACT Website](#) for updates on RFQ submissions and for the most recent Pre-qualified Developers List.

RAD LEARNING COLLABORATIVE

In order to help jumpstart the learning curve, provide peer support, and enable standardized protocols across sites, Enterprise Community Partners (Enterprise) convened a development team Learning Collaborative in March 2018 with NYCHA and the development teams that are preserving the first four PACT sites.

Enterprise Community Partners is a nonprofit organization that works with partners nationwide to create opportunity for low- and moderate-income people through affordable housing in diverse, thriving communities. Enterprise has worked with a broad range of stakeholders in New York City as the PACT program expands with a goal of ensuring the program is implemented in a way that maximizes protections and benefits for residents and builds on early lessons learned and best practices.

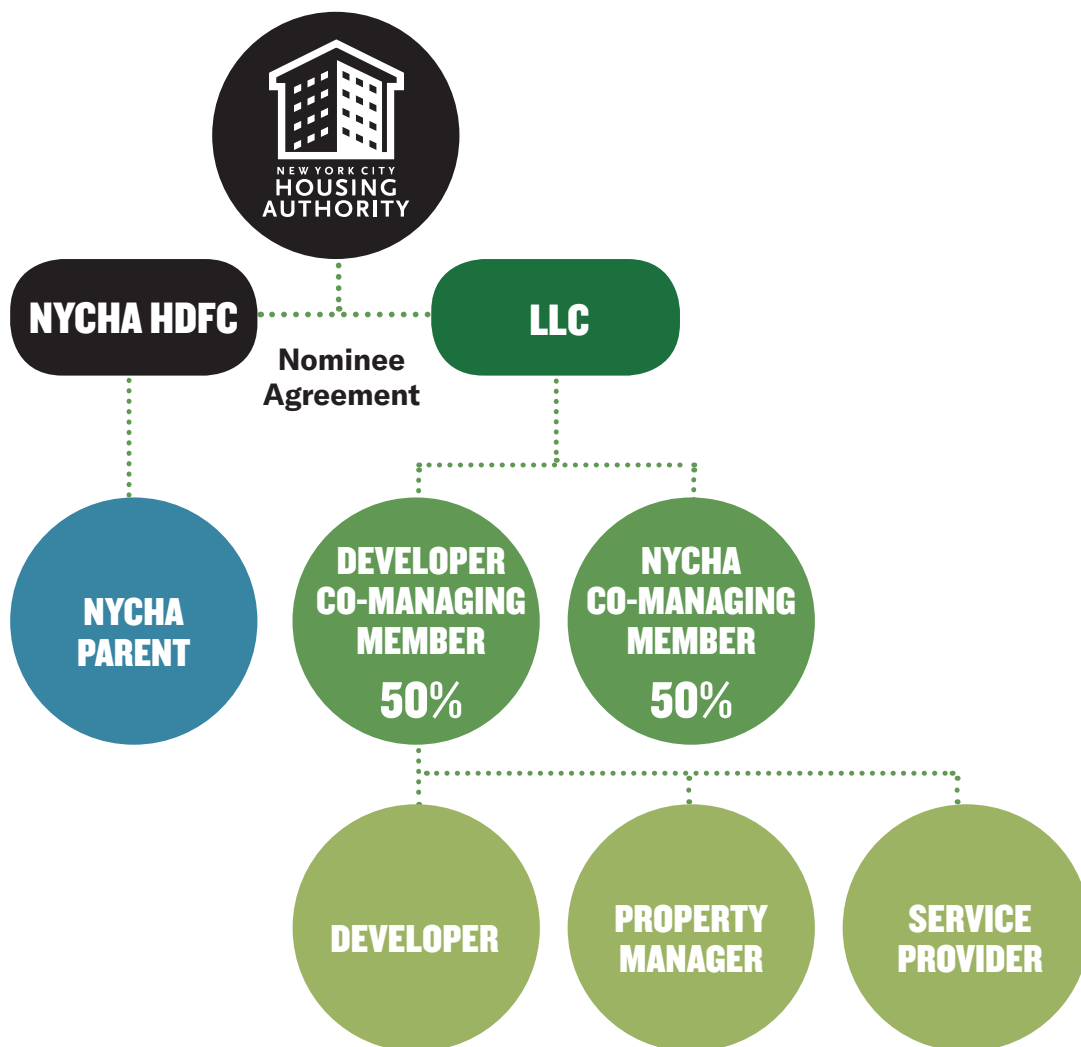
The Learning Collaborative workshops, which took place over a period of approximately ten months, provided opportunities for discussion across critical areas including resident engagement, resident employment and services, property management and construction management for tenant-in-place rehabilitation, and temporary relocation under PACT. Importantly, the workshops provided an opportunity for developers and NYCHA to learn from the first PACT project in New York City as well as hear from newly designated development teams in real time about their experiences navigating the PACT conversion process.

SECTION I:

DEAL STRUCTURE

OVERVIEW

PACT projects involve multiple stakeholders where coordination is key. Throughout the conversion process and beyond, the development team is in constant interaction with residents, HUD, local Community Based Organizations (CBOs), citywide organizations, NYCHA and other City Agencies, among others. Establishing clear roles and responsibilities and forming strong relationships is essential. The following section outlines relationships with key stakeholders within a typical organizational structure.



NYCHA

PHAs across the country that leverage RAD or other preservation tools structure ownership and management of properties in different ways. In New York City, to guarantee public control and stewardship of PACT sites, NYCHA leases the land to a development partner that will repair and manage the development. NYCHA retains ownership of the land, a significant stake in the ownership structure of the buildings, and control over affordability requirements and resident protections as the Section 8 Contract Administrator and requires a purchase option and/or right of first refusal.

In New York, PACT deals are structured as a 99-year ground lease where NYCHA takes a 50% ownership interest and forms a Housing Development Fund Corporation (HDFC) to be the fee title owner, allowing the property to qualify for full tax exemption. Housing Development Corporation (HDC) is the primary lender on the projects, Low Income Housing Tax Credit (LIHTC) financing is not currently allowed as a source for PACT sites and although city subsidy is possible, NYCHA prioritizes proposals that minimize it. Any refinancing or restructuring of permanent debt needs to be approved by NYCHA and HDC. Details on the deal structure, financing and specific underwriting standards are included in NYCHA's RFP.

Although all communication and coordination between the development team and NYCHA is facilitated by the lead Project Manager in the Real Estate Development Department, in entering this partnership, development teams should be familiar with the following [NYCHA departments](#):

- **General Manager & COO**
- **Corporate Secretary**
- **Compliance Department**
- **Capital Projects Division**
- **Community Engagement & Partnerships**
- **Environmental Health & Safety Department**
- **External Affairs**
- **Leased Housing & Tenancy Administration**
- **Legal Affairs & General Counsel**
- **Mixed Finance**
- **Public Housing Operations**
- **Real Estate Development**

HUD

Prior to closing, and as Section 8 Contract Administrator, NYCHA maintains direct contact with HUD and leads negotiations on HUD approvals. However, it is important that development teams engage in the process and participate in NYCHA-HUD conversations, even though NYCHA acts as the intermediary between development teams and HUD.

HUD's [RAD Resource Desk](#) is a useful tool for development teams. They can obtain information about RAD (both specific to the deal they are participating in and general information on RAD projects across the country) and keep track of the transaction/approval process.

WORKING WITH LOCAL ORGANIZATIONS

In PACT development projects, collaboration with local organizations that have roots in the community and ties with NYCHA residents is invaluable. There is intensive work that NYCHA and development teams need to do on the ground with residents both pre-and post-closing. Whether it is including local groups in early community engagement and education, jointly planning a social service plan, or formalizing a “Resident Liaison” role within the ownership structure (See pg. 13 for a case study on Ocean Bay’s Resident Liaison), engaging these organizations early in the process is key for any successful PACT conversion. These organizations and their staff have strong relationships in the community and in-depth knowledge of resident needs, existing site conditions, and local dynamics that are crucial for everything from community engagement to property and construction management, and social service provision. This Handbook will outline specific instances and roles where local partners and development teams can work together for the benefit of the residents and the development.

TEAM COORDINATION

Given the many stakeholders involved in PACT projects, coordination is key. Communicate early, often, and effectively with all of them, including residents, development team members, NYCHA, HUD, local community organizations, and elected officials.

- **Set recurrent meetings that ensure everyone is on the same page (in-person meetings go a long way in team building);**
- **Be proactive in flagging issues and working with the whole team to find solutions;**
- **Start early! Don’t underestimate the amount of work that goes into the conversion process and plan ahead;**
- **Be prepared to answer all questions related to the conversion or point people in the right direction even if it is not your role.**

KEY TAKEAWAYS:

DEAL STRUCTURE

1. **NYCHA plays a major role in the ownership structure to guarantee public control and stewardship of PACT sites**
2. **Establish a strong relationship with NYCHA and its different departments to make this a collaborative process**
3. **Participate in conversations and negotiations with HUD**
4. **Coordination and communication among stakeholders and different entities of the ownership structure is key**

TOOLS:

- [HUD's RAD info page](#)
- [HUD's Section 18 info page](#)
- [Part 200 PIH Notice](#)
- [NYCHA Procurement Opportunities Website](#)
- [NYCHA PACT Website](#)
- [HUD's RAD Resource Desk](#)
- [NYCHA departments](#)

SECTION 2:

RESIDENT ENGAGEMENT

OVERVIEW

A strong relationship between the development team and residents is crucial for the long-term success of the conversion process and for ensuring ongoing community support, trust and essential cooperation. Getting to know the community requires dedication and energy and will ultimately save time when it comes to thoroughly understanding repair needs and gaining access to units. Investing in relationships and communication up front will help to develop a more accurate scope of work, better tenant-developer relations and long-term stewardship of the development.

RELATIONSHIP BUILDING

In taking on a PACT conversion, the development team is launching a long-term relationship with residents. It is critical to build trust from the beginning. Since timelines are often tight, start engaging residents early and often. Schedule a resident meeting as soon as your team is selected, establish an office on-site and a dedicated Resident Liaison so that residents know exactly where and who to go to with their concerns.

It is important to proactively communicate with the wider community: Resident Organizations (RO), community-based organizations (CBOs), on-site NYCHA staff, and local elected officials. These are the groups that residents already rely on and inviting them to be a part of the process will help you disseminate accurate information and build trust. Whenever possible, formally compensate community groups or resident leaders for their time and efforts to support engagement and education.

The Resident Liaison should serve as a link between residents and all members of the development team and be a consistent presence at meetings alongside NYCHA through closing and beyond. At scattered sites where establishing an on-site office is difficult, it may be helpful for the liaison to provide office hours or offer home visits. Although the Resident Liaison is a key point in the relationship between the development team and tenants, all members of the development team need to view their role as a “relationship builder” with residents.

Also note that there should be resident meetings/handouts/other engagement opportunities post-construction to continue building a relationship with tenants. Use the intensive engagement that needs to occur because of the conversion as an opportunity to structure ongoing communication with the residents after the deal is closed and construction is completed.

OUTREACH

Outreach and engagement opportunities should be varied. Offering a range of different ways for people to be involved will help you reach a more diverse swath of the resident population – including those that don’t typically participate. Maximize and incentivize participation at meetings by providing snacks, childcare and varied meeting times, and be prepared to have translated materials and interpretation in multiple, relevant languages. For large bundles, it is helpful to hold meetings in multiple buildings to ensure that you are reaching all parts of the development. Evaluate outreach throughout the process by keeping track of who you are engaging. Via sign in sheets, surveys and other documentation methods, capture basic demographic and development-specific information and compare against overall development demographics. Adjust outreach methods accordingly as you move through the process to ensure the broadest cross-section of residents are being reached. The following is a breakdown of outreach best practices:

METHOD	WHEN + HOW TO USE
Share information with Resident Organization, CBOs, and elected officials	Before meetings or major deadlines to make sure these groups can respond accurately if residents come to them with questions. Resources such as the RAD Resident Handbook, RAD Curriculum, the Guiding Principles, and NYCHA FAQs documents can aid in the outreach process
Bulletin board notices	Regularly post notices in highly visible places around the development to make sure information is public
Flyering/door knocking	Before meetings or major deadlines to make sure residents know what is coming up
Robo calls/texts/emails	The night before and morning-of inspections or repairs to remind people of their appointment

COMMUNICATION

Creating a communications plan for your team will help ensure that everyone is able to communicate effectively with residents about upcoming changes. Provide clear, consistent and detailed messaging and materials, and avoid using jargon or highly technical language. It is important to keep in mind that this is work being done inside people’s homes, that there is significant apprehension about such a major change and that miscommunication can greatly impact people’s personal lives.

To mitigate the risk of misinformation circulating it is important to dispel myths early and often, especially around issues like displacement and affordability. Train ALL staff to respond to frequently asked questions - especially front-line social service, construction and management staff who will be interacting with residents daily before and after conversion. See the RAD resident handbook for detailed information on key resident issues.

Consider having experts in the room to answer general and specific questions about the program. Besides NYCHA, include trusted local CBOs, elected officials and resident representatives who understand the program and are familiar with resident needs and concerns.

RESIDENT LIASON

Creating a formal role for a Resident Liaison to support resident engagement can have a huge impact on the success of a conversion. A Resident Liaison can both build capacity for the development team and make sure resident needs and concerns are being heard. Prior to closing, liaisons have lent support when residents were skeptical about the process and helped to build trust. During construction and beyond, they can help manage day-to-day communication between residents and different members of the development team.

An ideal candidate for a Resident Liaison is someone who has an existing presence in the community and experience engaging residents in local initiatives, such as an organizer from a CBO or service provider. In some cases, developments may have a strong existing CBO on site that can help fill this role, or it may be necessary to look to nearby organizations.

RESIDENT ORGANIZATION

Resident Organizations (ROs) have an important role to play in resident engagement, from helping build trust with residents, to conducting outreach for meetings and supporting communication. Take the time to create a meaningful relationship with the RO president early on and get to know the board members. Talk to them about the program and make sure they understand the objectives, process and timeline. Also make sure to understand how they historically have engaged the rest of the resident population and how to best leverage their networks. Some ROs have subcommittees that deal with specific issues such as maintenance or youth development, and this specialized knowledge will provide valuable insight in assessing the property and finalizing scope.

It is also important to keep in mind that not all developments have ROs, and ROs are not representative of everyone. Work with NYCHA's Community Development team and existing CBOs to proactively identify other resident leaders such as those who participated in the Resident Leadership Academy, tenant watch groups, youth leadership groups, senior champions and other formal and informal leaders.

NYCHA'S ROLE

Prior to selecting the development team, NYCHA will have held four meetings to talk to residents about the conversion process. Understanding how NYCHA has engaged residents in the past will make it easier to build on existing communication channels and avoid confusion. Before beginning resident engagement, talk to NYCHA about what information already has been shared and what resident concerns have come up.

CASE STUDY: RESIDENT LIASON AT OCEAN BAY

Ocean Bay Community Development Corporation (OBCDC) is a social service provider that works to improve the health and safety of NYCHA residents in Far Rockaway. OBCDC is located within Ocean Bay (Bayside) Apartments, the first PACT conversion site in NYC, and is part of the ownership structure as Resident Liaison. Wavecrest Management, who specialize in managing affordable rental properties, has been managing Ocean Bay since 2016.

When NYCHA began holding town hall meetings about PACT, OBCDC began meeting with residents in smaller settings to help them understand how they would be impacted and explained the conversion to those who couldn't attend town hall meetings. As part of the development team selected, they were in regular conversation with both the team and residents, so they were able to help combat misinformation about the process.

Wavecrest Management understood the importance of OBCDC's role in the conversion process and hired a dedicated organizer who would enhance OBCDC's role. Residents already knew the organizer and felt comfortable coming to him with their concerns, which he could then bring to the development team all at once. Throughout the construction process he provided an on-the-ground perspective for the team and managed communication with residents and continues to do so in a permanent role now that construction is complete.



Photo: NYCHA

KEY TAKEAWAYS:

RESIDENT ENGAGEMENT

1. **Build trust**
2. **Plan for clear, consistent, detailed, ongoing communication**
3. **Train all staff and partners in communication and resident engagement**
4. **Establish a Resident Liaison role**
5. **Build a strong relationship with the RO**
6. **Hold meetings in different formats to reach all NYCHA residents**
7. **Engage the wider community to build trust and collaboration and ensure the spread of accurate information**

TOOLS:

- [Hope Gardens Community Outreach Website](#)
- [RAD Resident Handbook](#)
- [RAD Curriculum](#)
- [RAD Guiding Principles](#)
- [FAQs and effective responses](#)

SECTION 3:

PROPERTY MANAGEMENT

OVERVIEW

It is critical that the incoming property manager (PM) starts getting to know the site and building trust with residents as early as possible. Keep in mind that the larger and more spread out the bundle, the longer it will take to get familiar with. Coordinating with the following groups will help ensure a smooth PM transition:

- **Department of Buildings (DOB)**
In order to avoid any delays to closing, review all documents on file with DOB to ensure that Certificates of Occupancy (COs) are active and accurate. It will also be helpful to review all current building violations early on to plan proactively for repairs.
- **Existing Property Management Staff**
To leverage the institutional knowledge of the property, shadow existing PM staff and regular off-site staff (such as boiler maintenance teams) who know the buildings well. Keep track of work tickets coming in to get a sense of common issues and bring in specialized contractors to understand specific needs - for example having your exterminator or elevator consultant talk to NYCHA's team.
- **NYCHA's Operations Team**
Coordinate with NYCHA's Operations team to access tenant folders and understand if there are residents in arrears or other information that will help with inspections, financing and repairs.
- **NYC Human Resources Administration (HRA)**
HRA is the City department that administers Public Assistance Payments and is responsible for rerouting any rent benefits that residents receive to the new team. HRA uses a manual system to process benefits. In order to facilitate the transition of payments, this process should be started at least 3 months in advance of closing or as soon as the new entity name has been established and has a tax payer ID. Contact HRA as soon as you are awarded the site to promptly prepare for this process.
- **Tenant Participation Activity**
ROs are eligible to receive up to \$25 per occupied apartment each year to support resident engagement and self-sufficiency activities. After conversion, the development team must account for the \$25 per occupied unit annual resident participation fee in their management and operations budget. NYCHA is applying the same requirement to the Unfunded Developments. In some cases, NYCHA may have unused TPA funds that it will transfer to the development team at construction closing. The development team can take up to 40% (or \$10 per occupied unit) of TPA funds for administrative costs. Refer to [NYCHA's Tenant Participation Fund Guidebook](#) for a detailed information on TPA eligibility and approval of activities. For a list of activities/approved uses of the funds reference the attachments on the [RAD Guiding Principles](#). Also note that NYCHA provides TPA training for the development team to ensure program understanding and compliance.

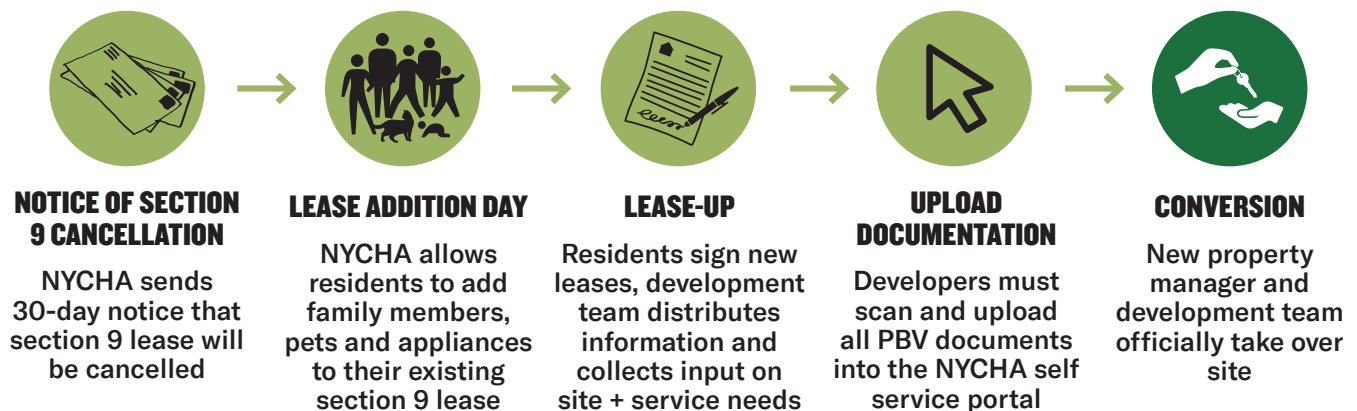
- **Resident Organization elections**

New management should be prepared to facilitate resident elections, using a neutral organization, post-conversion when RO term expires.

LEASES

Before closing, NYCHA and the development team must work together to have all residents sign new leases. This process is energy intensive but should be seen as an opportunity to continue building the relationships needed to make repairs and manage the property. Lease-up will bring up a lot of questions, and the development team should be prepared with answers. Share clear and detailed information, provide support and consider asking The Legal Aid Society and other legal service providers, NYCHA Leased Housing Department, or other experts to attend meetings.

- **Collecting other information:** Lease-up is also an opportunity to collect resident information, conduct social service needs assessments and relocation surveys, get input on the scope of work and register residents for services - for example signing up for programs such as Family Self Sufficiency (FSS).
- **Communication:** Work with the Resident Liaison or a local service provider familiar with residents to make sure everyone is aware of their rights and responsibilities in signing the new lease. This may require setting up one-on-one meetings or making home visits to residents with disabilities, so it will be helpful to have a dedicated contact number for lease-up coordination. In larger and scattered sites, developers should be prepared for more groundwork. Establish an accessible location to conduct on-site lease signing, such as a vacant apartment or an on-site office. If possible, set a location in each building or multiple locations in scattered site conversions.
- **Online rent certification:** Keep in mind that some residents might not be familiar with the online Section 8 rent certification process and it's important to provide information on how this works and offer computer literacy support if needed. For example, at Ocean Bay (Bayside), in addition to setting up computers in the management office to assist residents in navigating the recertification procedures, Wavecrest brought 10 staff members onsite during late 2016 to provide the capacity to consult with residents individually about the changes to Section 8 paperwork and income certification documentation.
- **Lease Addition Day:** Tenants, pets and appliances that are not on the current lease with NYCHA will not be transferred to the new lease. Consider holding "Lease Addition Days" before new leases are signed to give residents the opportunity to add these to their leases. See the following Lease Addition Day case study for more information.



CASE STUDY: LEASE ADDITION DAY

In the Ocean Bay (Bayside) Apartments conversion, NYCHA worked with The Legal Aid Society to organize “Lease Addition Day,” an opportunity for residents to receive legal support in adding people, pets and appliances not currently in their public housing lease in order for them to transition to the new lease when signed. Ocean Bay had a huge turnout for Lease Addition Day, and it was a successful strategy towards getting leases updated before closing.

The Legal Aid Society saw the need for legal support and pioneered Lease Addition Day at Ocean Bay. Development teams should reach out to The Legal Aid Society or other legal service providers early to plan for a Lease Addition Day and help organize it by conducting outreach with local CBOs and coordinating day-of logistics such as space and additional staffing. A good turn out at Lease Addition Day is key for preventing displacement of people who are at risk because they are not currently on the lease. It is also a great opportunity to help residents understand conversion details related to rent and recertification.

Be clear and let people know that they may need to adjust to a big rent increase if they are living with adult children that are bringing in income – property management will recertify households and raise rent to 30% of household income even if NYCHA has overlooked this. Also note that approval of requests to add additional family members isn’t guaranteed, as those requests are processed per HUD protocols.



Photo: The Legal Aid Society

STAFFING

The development team is required to provide existing NYCHA property management staff the opportunity to apply for positions with the new property management company and give them a right of first refusal for new positions for which they are qualified. Any staff members who do not wish to remain at the Properties after conversion will be redeployed to other NYCHA public housing developments at construction closing.

GRIEVANCE PROCESS

The grievance process involves steps established by NYCHA for the resident and the landlord to follow to resolve disputes that may arise. A grievance does not have to be related to an eviction. PACT requires many of the same procedural rights related to grievances to remain the same after conversion, so it is key that the new Property Managers are aware of these.

Depending on the issue, some grievances will be processed by the new property manager and some by NYCHA. Grievances concerning appliances, pets and issues in the units will be processed by the new property manager. Grievances concerning Section 8 rental assistance will continue to be processed by NYCHA.

For more information on these procedures see [NYCHA Grievance Procedures](#) document.

EVICTON PREVENTION

Development teams should make every effort to avoid displacement as a result of the conversion process. For residents that are in arrears, set up one-on-one meetings to discuss payment plans and offer referrals to service providers and city agencies who may be able to provide additional assistance. In certain instances, consider arranging to have arrears reduced in exchange for an upfront one-time payment of the remaining balance. In the Ocean Bay (Bayside) conversion, Wavecrest found it helpful to have a dedicated staff member working on rent related issues with residents to prevent the need to move to legal action. Below is a list of resources that can be provided to residents with rent arrears:

- [Housing Court Answers overview of options for assistance with rent arrears](#)
- [Coalition for the Homeless overview of one shot deals](#)
- [Mobilization for Justice overview of one shot deals](#)
- [Housing Court Answers information on getting assistance from charities for paying back rent](#)
- [Catholic Charities list of resources for avoiding eviction](#)
- [Coalition for the Homeless overview of the Bridge fund of New York City](#)

Also note that Section 8 landlords need to comply with the Eviction Proceedings per the [Williams Consent Decree](#). Eviction Certifications are available for online submission via the [NYCHA Owner Extranet](#).

KEY TAKEAWAYS:

PROPERTY MANAGEMENT

1. Get acquainted with the site, its operations and NYCHA required procedures (like the grievance process) early on for a smooth transition
2. Share accurate and detailed information regarding lease-up with residents early on
3. Assist residents in the transition through Lease Addition Days, Online Rent Certification support and eviction prevention strategies
4. Dedicated a staff person to work on lease related issues pre-conversion

TOOLS:

- [NYCHA's Tenant Participation Fund Guidebook](#)
- [NYCHA Grievance Procedures document](#)
- [Williams Consent Decree](#)
- [NYCHA Owner Extranet](#)

SECTION 4:

SOCIAL SERVICES

OVERVIEW

In addition to extensive physical rehabilitation, PACT conversions offer an opportunity to assess, restructure, and provide new social services at developments. Service providers are a crucial member of the development team who should be involved in all aspects of the conversion from the RFP response, to resident engagement and beyond.

Designing a social service plan that addresses resident needs and priorities involves significant groundwork in understanding what those needs are, what services are currently being provided, where there are gaps and which services will be phased out after conversion that might need to be replaced.

In most cases, existing service providers and new providers will jointly serve the PACT site and residents. This coordination is key in the success of a social service plan. Existing providers include those that run NYCHA community and senior centers through contracts with either New York City Department of Youth and Community Development (DYCD), the New York City Department for the Aging Funding (DFTA), or through grants, loans or other sources. After conversion, funding for social services will be provided by the project's development and operating budget.

SOCIAL SERVICE NEEDS ASSESSMENT

In order to provide services that will best serve the community you are working with, it is important to understand what services are already available and where there may be gaps. Development teams should work closely with local CBOs (both those officially on site and those nearby) to understand their menu of services and capacity. Build off any existing needs assessments done by NYCHA or local CBOs to inform your survey approach, keeping in mind that these may be assessments of the broader area and not specific to the properties being converted. [The Department of Health and Mental Hygiene's Community Health Profiles](#), and New York's [Community District Profiles](#) can be a good source of information to assist in assessing the social service needs landscape.

Besides assessing services that are being provided, to identify service gaps you should reach out to residents to understand their needs including what services they value the most, what is lacking, and what could be improved. In order to make the most of everyone's time, integrate the social service needs assessment across other forms of community engagement. Include service needs as a

topic at highly attended meetings and at lease-signings and add questions on service needs to any surveys being conducted by other members of the development team or NYCHA. Given the existing service budget, ask residents to prioritize needs and use meetings as an opportunity for local CBOs to promote existing services that residents may not be aware of (See sample Social Service needs Assessment). Design engagement so that it is interactive, clear and accessible for residents. In asking them to prioritize consider using models like that of [Participatory Budgeting](#) that encourage residents to actively propose, advocate and vote for their ideas. Also consider working closely with the Resident Organization in assessing program and service needs.

Take into consideration that different parts of the community might have different needs so make sure your reaching different demographics and locations (especially at scattered sites) during your engagement.

TRANSITION AND COORDINATION

Working with long-time existing providers is key. Existing providers often have deep and long-standing relationships with residents and other community stakeholders. They hold intimate knowledge of the community, and they have infrastructure and dynamics set in place that should be leveraged.

Once existing service providers are identified and you understand their menu of services and capacity through the social service needs assessment, incorporate them into your social service plan. Avoid duplicating the services they are already providing and instead fill in the gaps, enhance existing programs when needed, and develop a referral protocol to connect residents with the right services across the local service network. Also understand what, if any, services might be lost in the transition and prioritize filling that gap if it was well used and desired by residents (i.e. loss of ROSS grant threatened dedicated social service coordinator at Ocean Bay (Bayside) but development team filled in with new resources).

Collaborate with providers both on site, and in the broader neighborhood to create a comprehensive network of services for residents. At larger bundles with a more dispersed geography, there could be multiple service providers on the team that serve specific parts of the community based on their service area.

PACT transitions often represent a significant change for existing providers – including physical changes to their spaces, a new property manager/owner, new service partners to coordinate with, etc. Understand that there might be sensitivities regarding incoming service providers and fears around overall change. Working closely with all stakeholders and proactively engaging them to create a true partnership from the beginning is key in making of this change an opportunity to leverage new resources and collaboration. For example: in the Bronx Bundle scattered sites, BronxWorks worked with developers to use empty apartments as offices to conduct assessments and meet with tenants.

Straightforward, continuous communication and close collaboration can help create a healthy relationship and make the partnering process easier. A continuous open line of communication, assistance and resource sharing can go a long way. Think about establishing monthly meetings for the relevant service providers, and to the extent appropriate and/or necessary, also include the leadership from the RO, property management team and relevant city agencies.

KEY TAKEAWAYS: SOCIAL SERVICES

1. **Create a thorough needs assessment by understanding existing services provided and working closely with residents and local organizations**
2. **Coordinate and build partnerships with providers to create a comprehensive plan that enhances existing programs and fills in gaps**
3. **Educate all social service providers about PACT**

TOOLS:

- Sample social service needs assessment - appendix pg 38
- Sample social service needs survey - appendix pg 45
- Sample social service plan - appendix pg 46
- [The Department of Health and Mental Hygiene's Community Health Profiles](#)
- [Community District Profiles](#)

SECTION 5:

CONSTRUCTION MANAGEMENT

OVERVIEW

One of the main goals of the PACT program is to provide significant repairs and renovations relatively quickly and to improve residents' quality of life. Careful project planning, coordinating with different stakeholders, and maintaining a good relationship and effective lines of communication with tenants is key to an effective approach across the project's long-term timeline.

DEFINING THE SCOPE OF WORK

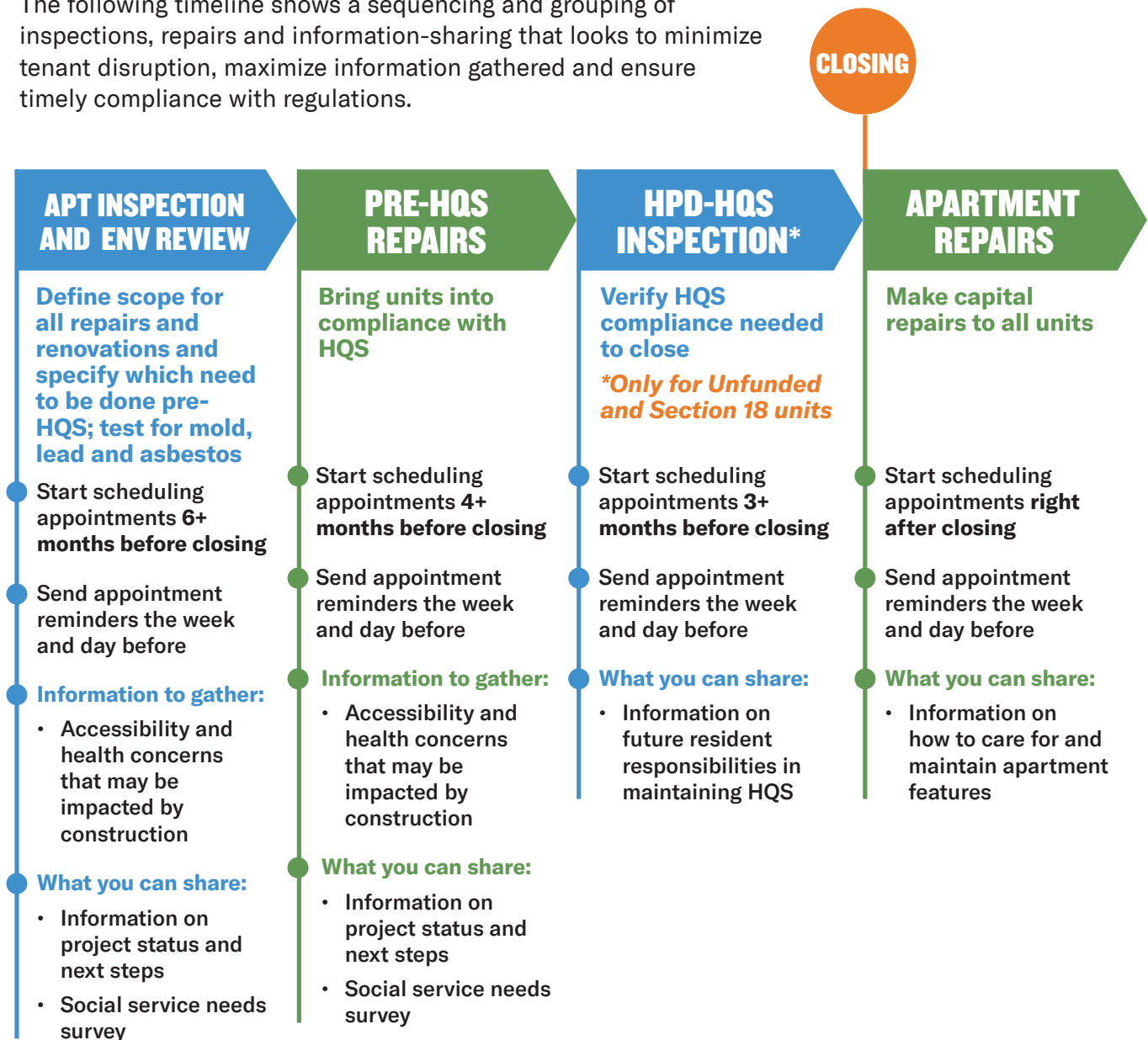
In defining the scope of work, which must, at minimum address the 20-year capital needs of the Properties as determined in the RAD Capital Needs Assessment (rCNA), development teams should use all available tools and data to gather detailed, comprehensive information on the state of the buildings and grounds. This will include information provided by NYCHA and residents as well as findings from the development team's own inquiries. The following list of tools and resources will be used throughout the process as the scope of work is developed and refined.

- **PNA (Physical Needs Assessment):** required by HUD from all PHAs every 5 years, the PNA contains data about the remaining useful life of building components. It reflects 20 years of needs and NYCHA uses it to prepare for the 5-Year Capital Plan. The development's most recent PNA should be used to determine the scope of repairs and renovations early on.
- **RCNA (RAD Capital Needs Assessment):** a detailed physical inspection of a property, required under the RAD Notice, to determine critical repair needs, short- and long-term rehabilitation needs, market comparable improvements, energy efficiency, unmet physical accessibility requirements, and environmental concerns including lead-based paint. Critical repairs are work that, in HUD's determination, address imminent health and safety threats to residents that must be completed before residents can occupy or continue to occupy the affected units. The rCNA is conducted by NYCHA and provided to the development team pre-selection and is the basis for the final scope of work.
- **IPNA (Integrated Physical Needs Assessment):** The final scope of work must also address all capital needs as identified in the IPNA, which may be a financing requirement. The IPNA is a property evaluation tool jointly developed and released by the NYC Housing Development Corporation (HDC), New York City Department of Housing Preservation and Development (HPD), and the New York State Homes and Community Renewal (HCR). The tool integrates an evaluation of energy, water and health needs into a full roof-to-cellar assessment of a property's physical conditions to ensure that the holistic needs of the property are addressed. HDC and HPD established a list of qualified providers that owners may use to complete an IPNA.

- **Enterprise Green Communities Criteria:** In April 2016, NYCHA adopted the [New York City Overlay to the Enterprise Green Communities Criteria](#) as the green standard for new construction. The Criteria provides the foundation for the [Design Guidelines for Rehabilitation of NYCHA Residential Buildings](#) and is an important part of the scope development.
- **Work tickets reports:** Residents can submit requests for repairs from NYCHA online or via telephone. Development teams can ask for weekly reports of these work tickets to better understand repair needs in the buildings.
- **Resident input:** Make sure to tap into residents' intimate knowledge of the buildings – both for input on their individual units as well as sitewide needs. They might know of things that are not apparent in inspections and can be crucial in determining the scope of work. Sending out surveys early on and scheduling large meetings as well as one-on-one conversations (during inspections) can be very helpful. The RO can also be a good source of information, especially regarding the most common and recurrent tenant complaints.
- **Site staff input:** Site staff knowledge is also invaluable. Distributing surveys, holding meetings and going on site walks with them is crucial. Consider talking to staff, especially the Property Manager, Property Maintenance Supervisor, other Maintenance Workers, Heating Plant Technicians and Caretakers. If past repairs have been made by outside vendors or NYCHA skilled trades staff, reach out to them.
- **Inspections:** A physical evaluation of the buildings and grounds is imperative in refining NYCHA's initial scope of work. Apartment inspections should be carefully planned to minimize tenant disruption and maximize information gathered. The following tips can help make the most out of the inspections:
 - Get resident buy-in! Inspections are an opportunity to build trust and inform residents about the project. Make sure inspectors accurately communicate overall project information and timeline, specific purpose of the inspection, and lay out next steps (upcoming inspections, resident meetings, general next steps, etc.). Also consider handing out this information to each unit in the form of a flier/pamphlet during inspection.
 - Get resident input! Inspections are great opportunities to get firsthand knowledge from residents about what works and what doesn't work in their development (see resident input above). Consider handing out surveys and equipping the inspector with a list of questions to ask tenants.
 - To the extent possible, streamline inspections to decrease apartment access needs and the associated disruption to tenants. (see Resident Appointments)
 - Consider having a representative from Property Management that accompanies others on the inspections. This will help maintain a consistent relationship with tenants and will ensure there is someone present that can speak to the overall project in case tenants have questions or concerns.
 - Consider formally inviting the RO leadership to join the team during the inspection which will help build trust with the tenants and address their concerns.

APARTMENT VISITS TIMELINE

The following timeline shows a sequencing and grouping of inspections, repairs and information-sharing that looks to minimize tenant disruption, maximize information gathered and ensure timely compliance with regulations.



HOUSING QUALITY STANDARDS (HQS):

These are the minimum standards established by HUD to ensure that each unit is “decent, safe, and sanitary.” HQS inspections include unit interiors, building systems, building common space and exterior, and focus on general health and safety conditions including lead-based paint and exposed electrical hazards. These are an important part of the PACT conversion process pre- and post-closing. For more information see [HUD HQS website](#)

- **Pre-closing:** All units being converted through Section 18 and all Unfunded Development units need to be HQS compliant before closing. Because of this, development teams need to budget for time and funds to address repairs in a timely manner. Having a pre-HQS inspection in addition to the inspections NYCHA or HUD might have already conducted, (see [HUD Inspection Checklist](#) to understand what makes a unit non-compliant) can be useful to identify violations and fix them before official HQS inspection, avoiding delays in overall process. Coordinate with NYCHA Leased Housing regarding on site pre-HQS inspections in preparation for HPD inspections.
- **Post-closing:** Once public housing is transferred to the Section 8 platform, HQS inspections have to be completed every two years to ensure ongoing quality long-term. Use HQS inspections to inform residents of their responsibilities in maintaining HQS and clarify that their failure to respond to an HQS inspection could result in their loss of subsidy. Because these occur recurrently every two years after construction, they are also a great opportunity for the property manager to inform residents on how to maintain and use their apartment features (especially locks and floors). Consider handing out materials that explain this.

RESIDENT APPOINTMENTS

Coordinating apartment access has been one of the biggest challenges in past conversions. Because apartments receive multiple visits for inspections, construction, HQS repairs, and post-closing project repairs and renovations, careful planning can go a long way in keeping to a tight timeline (see Example Resident Appointments Timeline on the previous page). To make the most out of apartment visits and appointment planning, it can be helpful to keep in mind:

- Apartment visits are key points in the process to build trust! These are moments in the project where residents have direct one-on-one contact with project staff so make the most out of them (see Inspections section above).
- Minimize the number of visits to each unit by combining access needs.
- Give advance notification to residents and provide clear information on what the visit will entail.
- Re-confirm visit the day before and/or the morning the day of.
- Accommodate different schedules and provide flexibility.
- Make sure your project team keeps the appointments. Demonstrating that the development team keeps its commitments is crucial to building a strong relationship with tenants.
- Given that some of the visits will be conducted by consultants (inspections) and/or subs (construction), think about creating customer service protocols/standards/expectations and training all staff that will engage with residents.

- Have one same point person on site handling inspections and resident appointments so residents know who to contact and to provide overall project consistency.
- Work with resident leaders, ROs and CBOs to minimize access-related issues when tenants don't keep appointments or don't allow access to their apartments. Depending on the reason for non-access plan for mediation or social service involvement before resorting to legal intervention.
- Use appointments to gather information/input from residents:
 - Accessibility and health issues – survey residents during inspections to understand health concerns that will be impacted during construction;
 - Distribute social service needs surveys;
 - Communicate/hand out general project information, timeline and next steps.

COMMUNICATION

It is important to maintain an open two-way flow of communication with residents. Beyond apartment visits, making sure they are aware of the construction process and where/how to get information on it is key in maintaining a good relationship. Consider:

- Continually updating and posting construction schedule, both online (see [Hope Gardens Community Outreach](#) website as an example of where this information could be posted online) and in buildings.
- Creating a list of frequently asked questions to inform residents about the construction process, including the sequencing and steps they can take if construction does not go according to plan. Example questions can include 'A construction worker entered my apartment without knocking. How do I report this?' and 'My belongings were severely damaged. What is my recourse?'

NYCHA'S TENANT-IN-PLACE REHABILITATION

For all PACT conversions so far, NYCHA has adopted a tenant-in-place rehabilitation approach and is expected to continue doing so to the extent possible in future projects. Best practices to minimize impact on tenants during this type of construction strategy include:

- Make sure residents know their rights! (see RAD Resident Handbook).
- Talk beforehand with each head of household to deliver accurate information on the process and their options within it, plan for construction jointly and ensure their needs are met while repairs and renovations are being done in their units; this could include the timeline and sequencing of construction in their unit; what they need to do to ready their apartment for construction; who to contact if anything gets damaged or they have questions or concerns about the new materials or appliances; and their rights if they choose to be temporarily relocated.
- Invite opportunities for resident feedback on the construction process and refine it, as feasible, to address resident concerns.

- Provide easily accessible and comfortable “hospitality suites” with all necessary amenities (bathroom, kitchenette, T.V. room, dining space, lounge space, etc.) for residents to use during the day while their apartments are under construction.
- Provide special accommodations to those households with special needs.
- Provide options for tenants to secure their valuables.
- To the extent in-place rehabilitation cannot be accomplished, temporary resident relocation will be the responsibility of the development team, including, obtaining any necessary service providers to facilitate temporary relocation and covering all associated costs. Any temporary relocation will be within a reasonable proximity to the resident’s property and will be subject to NYCHA’s approval.

TENANT PROTECTION PLAN

The development team is required to create a Tenant Protection Plan that outlines the specific strategies that will be used to protect tenants during construction. The New York City Department of Buildings (DOB) requires the Tenant Protection plan to include detailed and specific provisions for egress, fire safety, health requirements, compliance with Housing Standards, structural safety, noise restrictions and maintaining essential services. In addition, the Tenant Protection plan should detail any temporary resident relocations to address pertinent health issues, especially those of senior residents, that may arise during construction. For more information on Tenant Protection plans see the [DOB’s website](#).

RESIDENT INPUT ON DESIGN

Resident feedback on design throughout the process can contribute to the success of the project by gaining resident trust and buy-in and giving them opportunities to have ownership in the renovation, which could help with long-term stewardship. Residents are experts in their community’s needs and their ideas can contribute to a better-informed outcome. Landscape design and communal spaces are great opportunities to get residents’ input on design. Also consider allowing residents to choose certain details within their apartments like colors or finishes (within parameters set by development team). Moreover, the work will probably be better received if residents see their feedback reflected in the final design.

This is a great tool to build trust and build excitement about the project. However, make sure parameters are clear and only ask for ideas and feedback where you know they can be incorporated. Asking for design input that will not be incorporated in a meaningful way can be detrimental to your relationship with residents.

Be creative in the ways you engage residents about design. Other ideas for getting them excited about renovations include creating a model unit that residents can visit and taking them on site tours of other similar completed projects.

CASE STUDY: RESIDENT INPUT ON DESIGN

At Hope Gardens in Bushwick, Pennrose organized opportunities for residents to weigh in on the design of the development's public spaces. Pennrose recognized that by involving residents in a participatory process they could leverage residents' local knowledge, build a sense of ownership for the design and create a final plan would be better accepted by everyone.

The development team held a series of charette-style meetings to go over specific components of the project, including multiple weekend and evening times so that different groups would be able to participate. They started by sharing a base design with residents and asked them to help tailor it to their community, specifically asking for input on hyper-local issues with the building that they had seen over time. This allowed the architects to respond to issues that they would not have been able to anticipate otherwise - for example, residents called out problems with piping backflow that had not been in any of the inspection reports.

After each round of resident input, the team shared subsequent iterations of the design to confirm that they were addressing the points raised. The final landscape design was something that neither the development team nor residents could have anticipated, and served to build trust and stewardship for the project.



Photo: City Limits

KEY TAKEAWAYS:

CONSTRUCTION MANAGEMENT

1. **Create a thorough scope of work. Go beyond required needs assessments by speaking to residents and site staff**
2. **Consider HQS inspections and repairs in your budget and timeline**
3. **In apartment visits for inspections and repairs, plan to minimize tenant disruption and use visits as an opportunity to build trust and gather/ share information**
4. **Provide clear and frequent information on inspections, repairs and resident rights, protections and options**
5. **Get resident input on design to better address needs and to ensure outcomes are well received**

TOOLS:

- [HUD HQS website](#)
- [HUD HQS inspection checklist](#)
- [RAD Resident Handbook](#)
- [Tenant Protection Plan DOB's website](#)
- [New York City Overlay to the Enterprise Green Communities Criteria](#)
- [Design Guidelines for Rehabilitation of NYCHA Residential Buildings](#)
- Tenant Protection Plan Sample - appendix pg 49
- NYCHA Resident Needs Survey - appendix pg 51

SECTION 6:

RESIDENT TRAINING AND EMPLOYMENT

OVERVIEW

PACT projects prove to be a unique opportunity to advance NYCHA's goal of generating economic opportunities for residents because of the amount of jobs they create both in construction during rehab and in the long-term management and operations of the properties. In the Ocean Bay (Bayside) conversion there were 88 total NYCHA hires (both at Ocean Bay as well as from other NYCHA developments), out of which only 18 were temporary.

PACT projects need to comply with Section 3, which requires 30% of all hires go to low and very low income residents with a priority to PH and section 8 residents.

In addition, NYCHA requires that the development team carry out a training and employment plan that further guarantees these opportunities reach NYCHA residents. Section 3 covers construction jobs but NYCHA further requires resident hiring for permanent jobs.

The development team must take the lead in resident training and hiring both during conversion and in the long-term. This involves creating a comprehensive plan and tracking its execution, coordinating with NYCHA, partners and workforce development organizations, and communicating with residents about job openings and training opportunities.

PLANNING

The development team should understand early on what economic opportunities will open up to create a clear, comprehensive plan that includes a robust training strategy to get applicants ready early on to fill new jobs. It is important to think beyond the immediate openings that PACT conversions generate, and plan for the long-term by maintaining a system that continuously works to fill new jobs and train potential applicants. Moreover, the development team should be responsible for tracking hires internally and through partners and contractors.

In drafting and executing the plan, it is the role of the development team to take the lead in coordinating with all the relevant stakeholders, including:

- Working closely with [NYCHA's office of Resident Economic Empowerment and Sustainability Department \(REES\)](#) and utilizing all the resources they provide (see NYCHA REES below)
- Collaborating with local and citywide workforce development programs to provide training for expected positions, source potential hires and reference interested applicants - most NYCHA-based non-profits have strong partnerships with others doing workforce training and may even be willing to develop customized trainings for the types of jobs coming
- In planning for construction, working closely with the General Contractor and sub-contractors to ensure they have a clear hiring plan
- Making sure all partners have the capacity to conduct outreach and facilitate the hiring/screening process and make sure this is coordinated so people can be referred across job opportunities; and/or have one partner help coordinate hiring for all opportunities

Consider conducting a survey early on to understand existing skills and interest in training opportunities to inform the training and hiring plan. Make sure to do this as early as possible to leave enough time for training before job openings.

Keep in mind that there will be turnover in jobs as well as new and/or temporary positions which will open throughout the conversion process and in the long-term. Plan for this and include a method for continuously updating and expanding your resume database to have a ready pool of applicants.

COMMUNICATING WITH RESIDENTS

Communicating clearly, consistently and early on with residents about job openings and training opportunities is key. Be transparent about opportunities, don't promise more jobs or hires than can be delivered, and where possible, make real-time information about status of hiring process available.

In some cases, residents don't find out about hiring opportunities until after hiring is well underway. Make sure training and hiring opportunities are clearly and continuously being presented to residents. Send information through fliers, newsletters, email, and hold meetings and job fairs where residents can learn more about what opportunities are coming up, what the potential is for full time work, and how they can prepare to apply for these jobs. In previous PACT projects, job fairs proved to be an especially effective outreach strategy.

Make sure you plan the outreach, training and hiring in a way that allows time for residents to prepare for job opportunities but avoid announcing positions or collecting resumes too soon before jobs are available, since this can be frustrating for applicants. Let people know broadly that there will be job opportunities, connect them to workforce and job readiness partners; work with local workforce partners to align programs with the anticipated job pipeline (if this is possible); and start announcing positions as they open up.

NYCHA REES

NYCHA works with the development team in their training and hiring efforts through **Resident Economic Empowerment and Sustainability Department (REES)**. REES measurably supports residents' increased income and assets through programs, policies and partnerships in the areas of employment and advancement, adult education and training, financial literacy and asset building and resident business development.

REES provides training opportunities and manages partnerships with external workforce development and vocational training providers. REES is an invaluable partner in guiding development teams through the training and hiring process and remains involved after project completion. Development teams should work closely with REES to create the hiring plans (one for construction and one for management opportunities), source residents and connect to other sources for referrals.

A good resource to be connected to through REES is the **NYCHA Resident Training Academy (NRTA)**. Funded by Robin Hood, the NRTA provides employment-linked training opportunities and job placement assistance to NYCHA residents in the construction, maintenance, and janitorial fields. REES works with successful graduates of the Academy to provide job placement assistance by focusing on jobs with career paths, that lead to self-sufficiency. Past NRTA graduates have worked with REES to obtain jobs at NYCHA in positions such as Caretaker and Pest Control Technicians, and with contractors and developers in the various construction trades. However, note that currently, residents cannot participate in NRTA post-conversion so use this resource before closing.

REES can also connect residents to **HUD's Family Self Sufficiency (FSS) program**. Although typically ineligible for the **Earned Income Disallowance** after conversion¹, NYCHA Section 8 residents are eligible for the FSS program. This program provides benefits and support for residents with new jobs. It helps families in the HPD Section 8 program achieve self-sufficiency and accumulate substantial savings. The FSS program provides education, job training, job placement, and financial literacy services to participants. When household income increases from employment earnings, the increase in the tenant share of the rent is matched in a savings account that becomes available to the household upon successful completion of the program.

¹ Note that Earned Income Disallowance is carried over post-conversion if the resident is participating pre-conversion

TRAINING

When planning for resident hiring, it is crucial to allow enough time for people to obtain required certifications and training. Development teams should be able to predict job pipeline and anticipate skill gaps and provide the support to guide residents in needed training.

Work closely with REES, local CBO's and other workforce development organizations that provide training for jobs in construction trades, groundskeeping, maintenance, janitorial jobs, administrative skills (which could be useful for management of Section 3 contracts, and other construction administration positions), and also training and support for small and WMBE businesses that could be hired as contractors. Some typical entry level jobs that usually open up in PACT conversions include porter, security, janitor and office administrative positions. Types of training that can be useful for residents include OSHA trainings for construction and maintenance, Soft skills trainings, computer classes, language classes and preparation for the High School Equivalency exam among others.

Besides partnering with other organizations for training, consider setting up an in-house apprenticeship program to prepare residents to work on different parts of the project like moving and boxing people's goods during rehab, helping in the lease signing process, or coordinating resident engagement and outreach.

Make sure to provide training and support to people who are newly hired or NYCHA staff who decide to continue in their position after conversion. Support career pathways by helping them improve their skills to advance in their position. Refer them to workforce development programs, create job shadowing opportunities and make sure employees in entry level positions work directly with more experienced staff.

HIRING

Be mindful of how the hiring process can advance opportunities for residents. The following tips can help make the most of it:

- Refer applicants who aren't hired to local partners for further training or placement.
- Give feedback on interviews! Even if not hired, interviews are an opportunity for capacity building.
- Track the reasons why people aren't hired in a tracking document. Not only might elected and other local officials want to know why certain people weren't hired, but you can use that information to consider applicants for different positions. See sample Applicant Tracking Spreadsheet.
- When a new entry level hire is made, consider providing support during the first two payment periods, by assisting with lunch, transportation, uniforms, etc.
- Because there are limitations to what onsite residents can do (i.e. can't be in positions where they'd be entering their neighbor's apartment or have access to sensitive data), consider opportunities to hire residents at other sites within a scattered bundle or in the development team's portfolio.

CASE STUDY: CAREER SUPPORT AT OCEAN BAY (BAYSIDE)

At Ocean Bay (Bayside), the development team made sure to support residents in their jobs beyond the hiring and training process. They looked for opportunities to help build career pathways for residents by utilizing strategies like job shadowing, one on one mentoring by more experienced employees and connection to further training. For example, one former Ocean Bay resident was hired as a porter and within 10 months was promoted to lead porter, overseeing a staff of 23 people and leading to a 15% increase in the resident's wages.

Below is an overall breakdown of hires at Ocean Bay (Bayside):

- 70 total permanent hires
- 39 construction jobs, 31 management jobs
- 23 internships
- 374 Queens employees
- Residents in a majority of the permanent jobs received an average salary of \$15/hour
- Residents in prevailing wage construction jobs made \$41 - \$98/hour



Photo: Ocean Bay CDC

KEY TAKEAWAYS:

RESIDENT TRAINING AND EMPLOYMENT

1. **Plan ahead for resident hiring to allow time for people to get required training and certifications**
2. **Work closely with NYCHA and workforce development programs to provide training and source potential hires**
3. **Provide accurate, frequent and timely information on hiring opportunities and training programs**

TOOLS:

- [HUD's Family Self Sufficiency \(FSS\) program](#)
- Applicant Tracking Guide - appendix pg 57

APPENDIX

LINKS:

[HUD's RAD info page](#)

www.hud.gov/rad

[HUD's Section 18 info page](#)

www.hud.gov/program_offices/public_indian_housing/centers/sac/demo_dispo

[Part 200 PIH Notice](#)

www.hud.gov/sites/dfiles/PIH/documents/PIH-2016-20.pdf

[NYCHA Procurement Opportunities Website](#)

www1.nyc.gov/site/nycha/business/procurement-opportunities.page

[NYCHA PACT Website](#)

www1.nyc.gov/site/nycha/about/nycha-rad.page

[HUD's RAD Resource Desk](#)

www.radresource.net

[Hope Gardens Community Outreach Website](#)

www.hopegardenscommunity.org/rad

[RAD Resident Handbook](#)

www.enterprisecommunity.org/download?fid=9399&nid=6569

[RAD Curriculum](#)

www.enterprisecommunity.org/download?fid=8917&nid=6364

[RAD Guiding Principles](#)

www1.nyc.gov/assets/nycha/downloads/pdf/rad-principles.pdf

[FAQs and effective responses](#)

www1.nyc.gov/assets/nycha/downloads/pdf/PACT-RAD-FAQs-19.pdf

[NYCHA's Tenant Participation Fund Guidebook](#)

www1.nyc.gov/assets/nycha/downloads/pdf/tpa-guidebook-20170123.pdf

[NYCHA Grievance Procedures document](#)

www1.nyc.gov/assets/nycha/downloads/pdf/grievance-procedure_040302.pdf

[The Department of Health and Mental Hygiene's Community Health Profiles](#)

www1.nyc.gov/site/doh/data/data-publications/profiles.page

[Community District Profiles](#)

<https://communityprofiles.planning.nyc.gov/>

[HUD HQS website](#)

www.hud.gov/program_offices/public_indian_housing/programs/hcv/hqs

[HUD HQS inspection checklist](#)

www.hud.gov/sites/documents/DOC_11775.PDF

[Tenant Protection Plan DOB's website](#)

www1.nyc.gov/site/buildings/safety/tenant-protection-plan.page

[New York City Overlay to the Enterprise Green Communities Criteria](#)

www.enterprisecommunity.org/sites/default/files/media-library/solutions-and-innovation/green/2015-nyc-overlay-checklist-rev2016-08-01.pdf

[Design Guidelines for Rehabilitation of NYCHA Residential Buildings](#)

www1.nyc.gov/assets/nycha/downloads/pdf/nycha-design-guidelines.pdf

[HUD's Family Self Sufficiency \(FSS\) program](#)

www1.nyc.gov/site/hpd/section-8/tenants-family-self-sufficiency.page

ADDITIONAL RESOURCES:

pg 39	Sample social service needs assessment
pg 46	Sample social service needs survey
pg 47	Sample social service plan
pg 50	Tenant Protection Plan Sample
pg 52	NYCHA Resident Needs Survey
pg 58	Applicant Tracking Guide



NYCHA PACT – Pennrose Acacia

March 21, 2019

RE: Special Needs and Social Services - Requested Information

Dear Resident:

We realize that you are receiving a lot of notices, and appreciate your patience. The proposed is a one-page document that simplifies this request for information. **NOTE: All residents who have previously filled out and returned a survey ARE NOT obliged to fill out the simplified survey.**

Sav Enterprises, Inc. will be assisting you with the steps your household will take to prepare for the work in your apartment. We need to determine whether or not your household has any special needs. If yes, then we will provide further assistance and support prior to the start of work in your unit according to the Tenant Protection Plan in-place for your property.

If you or a family member have a special need that you feel will impact your stay throughout the renovation work in your apartment, please fill-out the attached one-page form and return it to us. We will then be ready to discuss those special needs with you when the time comes to start work in your apartment; as well as take the necessary steps to help you during that time-period.

This information will be kept confidential. You can return the form to us in one of five ways:

- 1) Drop the form off to Acacia, located at 160 MENAHAN STREET. If you need assistance filling-out the attached form, Acacia's community organizers would be happy to complete it with you;
- 2) Mail the document to **Sav Enterprises, Inc. P.O. Box 3303, Bridgeport, CT 06605.**
- 3) Fax a copy to 914-992-7187;
- 4) Email a copy to **nychapact@ajsav.com**.
- 5) Bring the form to the resident meeting on **March 28th** and give it to one of our representatives.

The purpose of the resident meeting on **March 28th** is to discuss the in-place renovation work and assistance.

NON-DISPLACEMENT NOTICE:

Under PACT, NYCHA seeks to identify resources and opportunities to make extensive, much-needed improvements to developments, while **preserving long-term affordability and maintaining strong resident rights.** **Your responses to this survey are completely voluntary, you will not be penalized for your responses and they will not affect your ability to stay in your unit.**

Thank you,

Sav Enterprises, Inc. for Pennrose-Acacia

NYCHA PACT – Pennrose Acacia

Section I: Special Needs Questionnaire

(Please print)

NAME: _____

UNIT #: _____ **PROPERTY NAME:** _____

ADDRESS: _____

CONTACT NUMBER (If we have any questions): _____

I would like to make you aware that I or a member of my household has one or more special needs. I would like to discuss this matter with you in greater detail when we meet prior to the start of work in my apartment (please check-off all special needs that apply):

- _____ **Health Issue**
- _____ **Mobility or Visually Impaired**
- _____ **Bed-ridden**
- _____ **Use of Nebulizer**
- _____ **Use of Wheelchair or Walker**
- _____ **Respirator or Oxygen Tank**
- _____ **Medical Condition. Please specify:** _____
- _____ **Life-sustaining Equipment.**
- _____ **Other: Please describe:** _____

Thank you,

Section II: Social Services Questionnaire

I would like to make you aware that I or a member of my household has one or more social service needs. I would like to discuss this matter with you in greater detail when we meet prior to the start of work in my apartment (please check-off all special needs that apply):

- ☐ After School Programs, Youth Sports or Activities *and where:* _____
- ☐ Mental Health Services: Agency: _____
- ☐ Substance Abuse services, Agency: _____
- ☐ Employment Training or Financial Counseling, Agency: _____
- ☐ Head Start/ Daycare/ Early Childhood Intervention
- ☐ Preventative Health Services
- ☐ Developmental/Physical Disability support services
- ☐ Meals on Wheels/Home Care/Health Aid. Agency: _____
- ☐ Early Childhood Intervention and/or Adoption/Foster Care services
- ☐ Other: Please describe: _____

1. Do you and/or any household member need any social service that are not currently being provided?

☐ YES ☐ NO

If yes, can you please specify which service(s) _____

2. Do you or anyone in the household currently have outside service providers that come into your home (i.e. elderly service, home health aide, personal care services, Meals on Wheels, etc.)?

☐ No

☐ Yes, if yes, please list, *for information purposes only.*

3. Are you currently receiving any kind of in-home care services?

☐ Yes, if yes, please indicate which agency: _____

☐ No

4. Have you or anyone in your household used any service(s) in the past 12 months that you feel will be affected by your rehabilitation? Such as:

21 de marzo de 2019

RE: Necesidades Especiales y Servicios Sociales - Información solicitada

Querido residente:

Nos damos cuenta de que está recibiendo muchos avisos y apreciamos su paciencia. El propuesto es un documento de una página que simplifica esta solicitud de información. **NOTA: Todos los residentes que hayan completado y devuelto una encuesta anteriormente NO ESTÁN obligados a completar la encuesta simplificada.**

Sav Enterprises, Inc. lo ayudará con los pasos que tomará su hogar para prepararse para el trabajo en su apartamento. Necesitamos determinar si su hogar tiene alguna necesidad especial. Si es así, entonces le brindaremos más asistencia y apoyo antes de comenzar a trabajar en su unidad de acuerdo con el Plan de Protección del Inquilino para su propiedad.

Si usted o un miembro de su familia tienen una necesidad especial que cree que afectará su estadía durante los trabajos de renovación en su apartamento, complete el formulario adjunto de una página y envíenoslo. Luego, estaremos listos para hablar con usted sobre esas necesidades especiales cuando llegue el momento de comenzar a trabajar en su apartamento; así como tomar las medidas necesarias para ayudarlo durante ese período de tiempo.

Esta información se mantendrá confidencial. Puede devolvernos el formulario de una de cinco maneras:

- 1) Deje el formulario en Acacia, ubicado en 160 MENAHAN STREET. Si necesita ayuda para completar el formulario adjunto, los organizadores de la comunidad de Acacia estarán encantados de completarlo con usted;
- 2) Envíe el documento por correo a **Sav Enterprises, Inc. PO Box 3303, Bridgeport, CT 06605** .
- 3) Envíe una copia por fax al 914-992-7187;
- 4) Envíe una copia por correo electrónico a nychapact@ajsav.com .
- 5) Lleve el formulario a la reunión de residentes el **28 de Marzo** Y dáselo a uno de nuestros representantes.

El propósito de la reunión de residentes el **28 de Marzo** es discutir el trabajo de renovación en el lugar y la asistencia.

AVISO DE NO DESCUENTO:

Bajo PACT, NYCHA busca identificar recursos y oportunidades para realizar mejoras extensas y necesarias para los desarrollos, al mismo tiempo que preserva la asequibilidad a largo plazo y Mantener fuertes derechos de residencia. Sus respuestas a esta encuesta son completamente voluntarias, no se le penalizará por sus respuestas y no afectarán su capacidad para permanecer en su unidad.

Gracias,
Sav Enterprises, Inc. para Pennrose-Acacia

PACTO DE NYCHA - Pennrose Acacia

Sección I: Necesidades Especiales Cuestionario

(Por favor imprimir)

NOMBRE: _____

UNIDAD#: _____ **NOMBRE DE LA PROPIEDAD:** _____

DIRECCIÓN: _____

NÚMERO DE CONTACTO (Si tenemos alguna pregunta): _____

Me gustaría informarle que yo o un miembro de mi familia tenemos una o más necesidades especiales . Me gustaría discutir este asunto con usted en mayor detalle cuando nos reunamos antes de comenzar a trabajar en mi apartamento (marque todas las necesidades especiales que correspondan):

- _____ **Problema de salud**
- _____ **Movilidad o deficiencia visual**
- _____ **Postrado en cama**
- _____ **Uso de Nebulizador**
- _____ **Uso de silla de ruedas o andador**
- _____ **Respirador o tanque de oxígeno**
- _____ **Condición médica. Por favor especifica:** _____
- _____ **Equipos de soporte vital.**
- _____ **Otro: Por favor describa:** _____

Gracias,

Sección II: Cuestionario de Servicios Sociales

Me gustaría informarle que yo o un miembro de mi familia tenemos una o más necesidades de servicio social. Me gustaría discutir este asunto con usted en mayor detalle cuando nos reunamos antes de comenzar a trabajar en mi apartamento (marque todas las necesidades especiales que correspondan):

_____ Programas después de la escuela, deportes o actividades jóvenes. y donde: _____

_____ Servicios de salud mental: Agencia: _____

_____ Servicios de abuso de sustancias, Agencia: _____

_____ Capacitación laboral o asesoramiento financiero , Agencia: _____

_____ Head Start / Guardería / Intervención Temprana en la Infancia

_____ Servicios de salud preventiva

_____ Servicios upport Desarrollo de Discapacidad Física s

_____ Comidas sobre ruedas / Inicio Cuidado / Ayuda a la Salud. Agencia: _____

_____ Servicios de intervención temprana y / o adopción / cuidado de crianza

_____ Otro : Por favor describa: _____

1. ¿Usted y / o algún miembro de la familia necesita algún servicio social que no esté siendo proporcionado actualmente?

SI _____ NO _____

En caso afirmativo, ¿ puede especificar qué servicio (s) _____

2. ¿Tiene usted o alguien en el hogar actualmente proveedores de servicios externos que ingresan a su hogar (es decir, servicio para personas mayores, asistente de salud en el hogar, servicios de cuidado personal, comidas sobre ruedas, etc.)?

___ No

___ Sí , en caso afirmativo, enumere, solo con fines informativos.

3. ¿Actualmente recibe algún tipo de servicios de atención domiciliaria?

___ Sí, en caso afirmativo, indique qué agencia: _____

___ No

4. ¿Ha utilizado usted o alguien en su hogar algún servicio en los últimos 12 meses que cree que se verá afectado por su re habilitación ? Como:

5. _____

Catholic Charities Brooklyn and Queens Ocean Bay Community Needs Assessment

Catholic Charities would greatly appreciate your input regarding your community so that together we can develop services to assist you

Gender: ☐ Male ☐ Female

Age ☐ 18-30 ☐ 31-40 ☐ 41-50 ☐ 51-65 ☐ 65 or older

Employment status:

☐ Full Time ☐ Part time ☐ Unemployed ☐ Retired

How many people currently live in your household?

☐ 1-2 ☐ 3-4 ☐ 5-6 ☐ More than 6

How many children under the age of 15, currently live in your household?

☐ 1 ☐ 2 ☐ 3 ☐ 4 ☐ 5 ☐ More than 5 ☐ None

Primary language spoken in the household:

☐ English ☐ Spanish ☐ Other _____

Has anyone in your household served in the military? ☐ Yes ☐ No

Please check all that interest you:

☐ Mentoring opportunities for young adults
☐ English classes
☐ Activities for seniors
☐ Enhancing parenting skills
☐ Nutrition and fitness awareness/activities
☐ Employment Assistance
☐ Immigration issues
☐ Volunteer opportunities

☐ Internship opportunities for youth
☐ Access to healthier food choices
☐ Services for pregnant women
☐ Individual/family counseling
☐ Benefits advocacy
☐ Anti-crime/ anti violence resources
☐ Substance abuse prevention
☐ Other: _____

Please select the time(s) of day you would attend a workshop or event

☐ Morning ☐ Afternoon ☐ Evening (after 5pm) ☐ Weekends

Thank you so much for your participation

Catholic Charities Brooklyn and Queens Ocean Bay (Bayside) Social Service Plan

I. Introduction:

For over 30 years, Catholic Charities Brooklyn and Queens (CCBQ) has provided services on the Rockaway peninsula. In addition, CCBQ operates over 130 programs throughout Brooklyn and Queens providing a wide array of services to help people be self-sufficient. We are excited that this opportunity will allow us to strengthen our connection to the Rockaways and to benefit the residents of Ocean Bay (Bayside).

II. Catholic Charities Role

The role of CCBQ is to coordinate the delivery of social services at Ocean Bay (Bayside). We recognize the importance of hearing the voice of the community and our efforts will be in partnership with the residents of Ocean Bay (Bayside). While CCBQ has an extensive array of services and expertise, we also recognize that we cannot provide all the services that may be necessary. To that end, CCBQ expects to partner with other local providers. We further expect to look at additional funding opportunities which may allow for increasing service capacity to the residents of Ocean Bay (Bayside).

III. Outreach and Engagement

CCBQ began planning outreach and engagement efforts in late July. Our original plan was to have a series of large and small meetings with residents to engage in a dialogue around the needs of the community. Due to the limited access to the community prior to closing, we were unable to engage the community to the extent desired. This resulted in an alteration of the outreach and engagement plan and further impacted the development of the social service plan.

CCBQ has presented at a number of the large community meetings held by NYCHA. At these events, we distributed surveys to solicit feedback. Furthermore, we have set up a survey drop box at the Wavecrest offices at Ocean Bay allowing residents the opportunity to complete a survey when they signed their leases. Our survey efforts will continue through the end of December.

We will further engage the residents of the community between January and June via a number of workshops and community events. This will allow us to better identify needs and develop a fuller social service plan. These efforts are being conducted through CCBQ's Community Programming Services and the Office of Planning and Evaluation

IV. Interim Service Plan

Catholic Charities of Brooklyn and Queens has formulated an interim social service delivery plan that consists of several fairs, expos, and workshops. As an introduction of services to the Ocean Bay Community we will be conducting a "Community-wide Service Provider Fair". This will serve as our kick-off event to help bring awareness of all readily available services that are easily accessible and within close proximity to Ocean Bay.

1. **Community-wide Service Provider Fair:** CCBQ will coordinate a "*Community-wide Service Provider Fair*" to which local providers will be invited. The purpose of this event is two-fold by both increasing the awareness of services along with signing up eligible individuals for affordable

health care and connecting local service providers together with the intention of strengthening community and corporate relationships beneficial to the Ocean Bay Residents. The Service Provider Fair will entail several potential screening opportunities such as Hypertension, Diabetes, Cholesterol, HIV, Dental, Vision, and Hearing. Ocean Bay residents will have access to free flu shots and interactive courses on CPR and First Aid. Local service providers will have on site opportunities to speak with Ocean Bay residents about the service they provide and how to access them.

2. **Health and Nutrition Workshops:** CCBQ will partner with local providers in a three (3) part series workshop called *Keep on Track Volunteer Blood Monitoring Program* from The New York City Department of Health (NYCDOH). This is a community-based blood pressure monitoring program that helps individuals understand the concepts of hypertension, how it relates to them, their lifestyle, and what measures need to be taken to help prevent and/or lower one's hypertensive state. At each of these series of workshops blood pressure monitoring will be conducted for the first hour followed by an informative and interactive nutrition expo. The expo will offer information and support that helps spread awareness about healthy living and blood pressure control. A demonstration of ways on preparing healthier meals along with giving away fresh produce used to create those meals helps participants recreate lessons learned at their leisure.
3. **Workforce Development:** Another high priority survey result is the need for workforce development. The three part Customer Service training tackles professional qualities, techniques of customer service including body language, telephone etiquette, business emails and making a good impression. Also covered is conflict management and Do's and Don'ts of customer service. Participants receive a Certificate of Participation at the end of successful completion of course and Customer Service Quiz. Other Workforce Development programs will include workshops on Logic and Reasoning, Non-Verbal Communication, First Impressions, Social Media Basics, and Interviewing Skills. In today's highly competitive environment, individuals on a customer service team can have a very big impact on the bottom line of businesses and customers' level of satisfaction. To exceed expectations and create loyal customers, employees often need help in developing customer service retention skills and understanding the techniques that will help them understand customers' needs and service the customer even in challenging situations.
4. **Older Adult Services:** As we discussed what challenges the Ocean Bay Residents undertake on a daily basis we came to realize that many of the grandparents are raising children. According to the United States Census (1991) 3.2 million children under the age of 18 live with their grandparents, which represents an almost 40% increase in the last ten years. Social support groups such as GAMA, focus on sharing the burdens of the member's situations through several round table discussions and activities. Some of the major components addressed at the GAMA support groups are eliminating isolation, gaining perspective, and developing a sense of empowerment. Becoming the caregiver for a grandchild impacts all aspects of a person's life. As a result, grandparents raising grandchildren face a number of challenges including personal resources stretched to the limit. Issues of health, financial stability, and parenting are salient to these individuals. Grandparents who find themselves in the position of raising their grandchildren can benefit from the CCBQ GAMA workshops and local community provider resources which will provide the support required to meet their unique needs.

5. **Disaster Preparedness:** On October 29th 2012 Ocean Bay Residences were one of the many victims whom suffered the devastating impact of Super Storm Sandy. As we embark on a new year approaching the 5th anniversary of Super Storm Sandy; one of the greatest storms to ever hit the shores of the Rockaway Peninsula, we would like to continue our efforts in supporting and preparing Rockaway Residents for hurricane preparedness and resiliency training. Catholic Charities of Brooklyn and Queens will invite both local and national disaster preparedness leaders to engage Ocean Bay residents on discussions and activities around hurricane preparedness.

VI. **Next Steps:** Based on the feedback provided, CCBQ will further develop the social service plan to address any Identified needs. While CCBQ offers many services, we recognize that we cannot provide everything. We further believe that it is in partnership that we build strong communities. To that end, CCBQ will where possible, invite other local community providers to deliver services. We expect this phase to begin in the summer of 2017.

V. **Social Service Budget:** Please see attached



TPP1: Tenant Protection Plan

Must be completed as fill in PDF



1 Location Information *Required for all applications.*

House No(s) 54-81

Street Name ALMEDA AVENUE

Number of apartments to remain occupied

Borough QUEENS

Block 16002

Lot 01

BIN 4436447

CB No. 414

2 Tenant Protection Plan *Required for all applications with occupied dwelling units. (2014 AC 28-104.8.4)*

1. **Egress** - Clarify how adequate egress will be maintained during construction.
2. **Fire Safety** - Identify safety measures to maintain fire safety of occupied dwelling during construction.
3. **Health requirements** - Specify methods to be used for control of dust, disposal of construction debris, noise control, and maintenance of sanitary facilities during construction.
4. **Compliance with housing standards** - Demonstrate compliance with NYC housing maintenance code and NYS multiple dwelling law during construction.
5. **Structural safety** - Identify specific measures to maintain structural stability during construction.
6. **Noise restrictions** - Identify measures to comply with NYC Noise control code during construction.
7. **Other requirements** - Any additional requirements to assure tenant safety during construction.

Complete all sections that apply below.

1. MEANS OF EGRESS

- Every required exit, way of approach thereto, and way of travel from the exit into the street shall be continuously maintained free of all obstructions or impediments to full instant use in the case of fire or other emergency. Every automatic sprinkler system, fire detection and alarm system, exit lighting, fire door, and other item or equipment, where provided, shall be continuously in proper operating condition.

2. FIRE SAFETY

- All required ratings will be maintained during construction and no temporary fire walls will be required. The excessive accumulation of combustible trash, rubbish, or waste materials shall be kept to a minimum. Combustible debris shall be removed from buildings as often as practical, placed in proper receptacles and removed from the job site as often as needed. It will be the responsibility of the job superintendent to see that trash accumulation is kept to a minimum and removed as needed. Trash or trash receptacles shall not block fire lanes or access easements.

3. HEALTH REQUIREMENTS

- Health Requirements specified in the 2014 code will be complied with.
- Dust and debris shall be minimized by use of shop vacuums and prompt debris removal. Debris will be discarded promptly at the end of the day and the corridor shall be kept clean during construction.
- All work will comply with applicable laws relating to asbestos and lead paint removal. If any of these materials are discovered, the contractor shall stop work and notify the architect immediately.

Continue on next page, if necessary.



2 Tenant Protection Plan (Continued)

4. COMPLIANCE WITH HOUSING STANDARDS

- All work shall comply with New York City Housing Maintenance Code and the New York state Multiple Dwelling law.

5. STRUCTURAL SAFETY

- No structural modifications are intended during construction that may endanger any occupants.

6. NOISE RESTRICTIONS

- Noise Levels will comply with all applicable aspects of Noise Control Code.

- Work within the Apartment and/or Corridors (as required) will be limited to the hours and days of the week in which construction work may be undertaken by the NYC Noise control or as limited by the NYC Department of Buildings.

- With the Assistance of the building management, tenants will be notified prior to work starting.

7. Other Requirements - N/A

Should you require additional space, please complete and submit an A11 form.

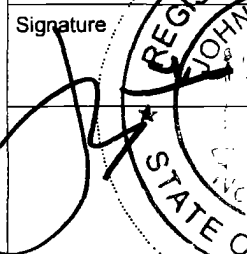
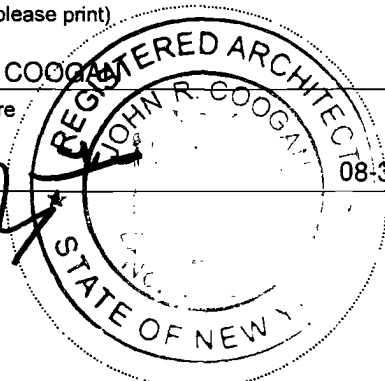
3 Tenant Protection Plan Attachments/Drawings Required for all applications where separate Tenant Protection Plan attachments/drawings are included. Please append legible 11 x 17 attachments/drawings to this document.

1. Do attachments/drawings accompany this TPP? ☐ Yes ☒ No

2. If yes, how many pages?

4 Applicant's Statements and Signatures Required for all applications.

Falsification of any statement is a misdemeanor and is punishable by a fine or imprisonment, or both. It is unlawful to give to a city employee, or for a city employee to accept, any benefit, monetary or otherwise, either as a gratuity for properly performing the job or in exchange for special consideration. Violation is punishable by imprisonment or fine or both. I understand that if I am found after hearing to have knowingly or negligently made a false statement or to have knowingly or negligently falsified or allowed to be falsified any certificate, form, signed statement, application, report or certification of the correction of a violation required under the provisions of this code or of a rule of any agency, I may be barred from filing further applications or documents with the Department.

Name (please print)	
JOHN COOGAN	
Signature	Date
	08-30-2016
	
P.E. / R.A. Seal (apply seal, then sign and date over seal)	

NYCHA Permanent Affordability Commitment Together (PACT)

Resident Needs Survey

[INSERT DATE]

RE: PACT Resident Needs Survey

Dear Resident:

As you know, your development has been selected for NYCHA's Permanent Affordability Commitment Together (PACT) program which means you can look forward to renovations and upgrades within your apartment and the entire development, a new property management company, and enhanced on-site social services.

Resident voices are an important part of PACT and we need your input to make sure this program best serves residents. In addition to regular in-person meetings, we would like to invite you to complete a brief survey. This is your opportunity to identify frequent issues or concerns you may have within your apartment and/or the development. The survey also provides an opportunity to capture household needs related to social services and special needs. Your response will aid NYCHA and the selected development team in identifying the real needs of the residents.

Please note that this information will be kept confidential. You can return the form in **one** of four ways:

- 1) **In Person**: Bring a completed survey to your management office.
- 2) **By Mail**: Return the survey to the address below using the enclosed self-addressed stamped envelope:
New York City Housing Authority
P.O. Box 3422
New York, NY 10007
Attn: Community Development – RE: PACT Survey
- 3) **By Email**: Scan the completed survey to pact@nycha.nyc.gov.
- 4) **NYCHA Community Development**: Bring the completed survey with you to the next, Development specific, PACT resident meeting.

If you have any specific questions about the survey, you can contact Brooklyn Community Development at 718-289-8130 or Manhattan Community Development at 212-306-4660.

Sincerely,

Leroy Williams
Director of Community Development

Resident Needs Survey

(Please print).

NAME (Optional): _____

DEVELOPMENT: _____

ADDRESS: _____ UNIT #: _____

CONTACT NUMBER (Optional): _____

SECTION I: Physical Conditions - Apartment

I would like to make you aware of the following item(s) within my **apartment** that are problematic and/or in need of repair (please check-off all that apply):

KITCHEN

_____ **Faucet/Pipes.** Relevant Work Order #, if applicable _____

_____ **Water - Temperature/Pressure.** Relevant Work Order #,
if applicable _____

_____ **Sink.** Relevant Work Order #, if applicable _____

_____ **Leaks.** Relevant Work Order #, if applicable _____

_____ **Cabinets.** Relevant Work Order #, if applicable _____

_____ **Floors.** Relevant Work Order #, if applicable _____

_____ **Countertop.** Relevant Work Order #, if applicable _____

_____ **Other: Please describe (include any applicable Work Order #):**

BATHROOM

_____ **Faucet/Pipes.** Relevant Work Order #, if applicable _____

_____ **Water – Temperature/Pressure.** Relevant Work Order #,
if applicable _____

_____ **Sink.** Relevant Work Order #, if applicable _____

_____ **Leaks.** Relevant Work Order #, if applicable _____

_____ **Vanity.** Relevant Work Order #, if applicable _____

_____ **Tiles/Wall.** Relevant Work Order #, if applicable _____

_____ **Bathtub.** Relevant Work Order #, if applicable _____

_____ **Floors.** Relevant Work Order #, if applicable _____

_____ **Other: Please describe (include any applicable Work Order #):**

GENERAL

_____ **Door (Entrance/Locks).** Relevant Work Order #, if applicable _____

_____ **Door (Closet/Bedroom/Bathroom).** Relevant Work Order #,
if applicable _____

_____ **Windows.** Relevant Work Order #, if applicable _____

_____ **Flooring/Tile/Wood.** Relevant Work Order #, if applicable _____

_____ **Heat.** Relevant Work Order #, if applicable _____

_____ **Hot Water.** Relevant Work Order #, if applicable _____

_____ **Ceiling.** Relevant Work Order #, if applicable _____

_____ **Peeling Paint.** Relevant Work Order #, if applicable _____

_____ **Asbestos/Lead.** Relevant Work Order #, if applicable _____

_____ **Lead.** Relevant Work Order #, if applicable _____

_____ **Mold.** Relevant Work Order #, if applicable _____

_____ **Mice/Rodents.** Relevant Work Order #, if applicable _____

_____ **Bedbugs.** Relevant Work Order #, if applicable _____

_____ **Other: Please describe (include any applicable Work Order #):**

SECTION II: Physical Conditions – Development

I would like to make you aware of the following item(s) within the **development** that are problematic and/or in need of repair (please check-off all that apply):

INSIDE THE BUILDING

_____ **Entrance/Lobby Door.** Relevant Work Order #, if applicable _____

_____ **Lobby/Hallway Flooring.** Relevant Work Order #, if applicable _____

_____ **Elevator.** Relevant Work Order #, if applicable _____

_____ **Staircase.** Relevant Work Order #, if applicable _____

_____ **Paint.** Relevant Work Order #, if applicable _____

_____ **Interior Walls.** Relevant Work Order #, if applicable _____

_____ **Building Lighting.** Relevant Work Order #, if applicable _____

_____ **Garbage Chute.** Relevant Work Order #, if applicable _____

OUTSIDE THE BUILDING

_____ **Exterior/Outdoor lighting.** Relevant Work Order #, if applicable _____

_____ **Bricks.** Relevant Work Order #, if applicable _____

_____ **Playgrounds.** Relevant Work Order #, if applicable _____

_____ **Basketball courts.** Relevant Work Order #, if applicable _____

_____ **Courtyard.** Relevant Work Order #, if applicable _____

_____ **Fences.** Relevant Work Order #, if applicable _____

_____ **Sidewalk/Curb.** Relevant Work Order #, if applicable _____

_____ **Parking Lot.** Relevant Work Order #, if applicable _____

_____ **Garage.** Relevant Work Order #, if applicable _____

_____ **Mice/Rodents.** Relevant Work Order #, if applicable _____

_____ **Other: Please describe (include any applicable Work Order #):**

COMMUNITY FACILITY SPACE, if Applicable. Please list address: _____

_____ **Bathroom.** Relevant Work Order #, if applicable _____

_____ **Kitchen.** Relevant Work Order #, if applicable _____

_____ **Windows.** Relevant Work Order #, if applicable _____

_____ **Flooring/Tile/Wood.** Relevant Work Order #, if applicable _____

_____ **Heat.** Relevant Work Order #, if applicable _____

_____ **Hot Water.** Relevant Work Order #, if applicable _____

_____ **Ceiling.** Relevant Work Order #, if applicable _____

_____ **Doors.** Relevant Work Order #, if applicable _____

_____ **Peeling Paint.** Relevant Work Order #, if applicable _____

_____ **Asbestos.** Relevant Work Order #, if applicable _____

_____ **Lead.** Relevant Work Order #, if applicable _____

_____ **Mold.** Relevant Work Order #, if applicable _____

_____ **Mice/Rodents.** Relevant Work Order #, if applicable _____

_____ **Bedbugs.** Relevant Work Order #, if applicable _____

_____ **Other: Please describe (include any applicable Work Order #):**

SECTION III: Special Needs

I would like to make you aware that I or a member of my household has one or more special needs outlined below (please check-off all that apply):

- ☐ **Health Issue**
- ☐ **Mobility or Visually Impaired**
- ☐ **Bed-ridden**
- ☐ **Use of Nebulizer**
- ☐ **Use of Wheelchair or Walker**
- ☐ **Respirator or Oxygen Tank**
- ☐ **Medical Condition. Please specify:** _____
- ☐ **Life-sustaining Equipment**
- ☐ **Other: Please describe:** _____

SECTION VI: Social Services

I would like to make you aware that I or a member of my household has one or more of the social service needs outlined below (please check-off all that apply):

- ☐ **After School Programs, Youth Sports or Activities *and where:***

- ☐ **Mental Health Services: Agency:** _____
- ☐ **Substance Abuse services, Agency:** _____
- ☐ **Employment Training or Financial Counseling, Agency:** _____
- ☐ **Head Start/ Daycare/ Early Childhood Intervention**
- ☐ **Preventative Health Services**
- ☐ **Developmental/Physical Disability support services**
- ☐ **Meals on Wheels/Home Care/Health Aid. Agency:** _____
- ☐ **Early Childhood Intervention and/or Adoption/Foster Care services**

_____ **Other: Please describe:** _____

Section V: Training and Employment Opportunities

Note: Developments that will undergo a PACT conversion are subject to a Housing & Urban Development (HUD) program and requirement known as Section 3. Under Section 3 residents of the converted development and nearby community will be entitled to training and employment opportunities.

I would like to make you aware that I or a member of my household are interested in one or more of the training and employment opportunities once the PACT Conversion occurs (please check-off all that apply):

- _____ **Occupational Safety and Health (OSHA) Training**
- _____ **Job Readiness Training**
- _____ **Computer Skills Training**
- _____ **Other Training: Please describe:** _____

- _____ **Construction Jobs**
- _____ **Property Manager Jobs**
- _____ **Administrative/Clerical Jobs**
- _____ **Porter Jobs**
- _____ **Security Jobs**
- _____ **Other Jobs: Please describe:** _____

APPLICANT TRACKING GUIDE

In order to keep track of potential hires and build a database for future hiring opportunities, we recommend keeping a spreadsheet with the following categories:

- Full Name
- Address
- Email Address
- Telephone Number
- Additional Telephone Number
- Referral Source
- Resume of File at MDG (Y/N)
- Construction Experience (Y/N)
- Management Experience (Y/N)
- Cleaning Experience (Y/N)
- Administrative Experience (Y/N)
- Security Experience/Certificate (Y/N)
- High School Education or GED (Y/N)
- College / Vocational School (Y/N)
- Driver and/or License(Y/N)
- NYCHA Resident (Per REES)