



NEW YORK STATE

Consolidated Annual Performance and Evaluation Report Program Year 2012

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NEW YORK STATE DIVISION OF
HOUSING AND COMMUNITY RENEWAL

NEW YORK STATE HOUSING TRUST FUND CORPORATION

NEW YORK STATE OFFICE OF TEMPORARY AND
DISABILITY ASSISTANCE

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NEW YORK STATE 2012 PERFORMANCE REPORT

1. Executive Summary and Introduction

This Consolidated Annual Performance and Evaluation Report (CAPER) summarizes activities undertaken by New York State agencies during Program Year 2012 (1/1/12 – 12/31/12) in the administration of the following four programs:

- **CDBG – Community Development Block Grant Program**
The NYS CDBG program provides grants and technical assistance to nonentitlement units of general local government who are developing projects that provide decent and hazard-free affordable housing, provide access to safe drinking water, provide proper disposal of household wastewater, provide access to community-needed services in local facilities, and expand economic self-sufficiency for low- and moderate-income persons by supporting development projects which are designed to create or retain jobs or foster microenterprise activities. The NYS CDBG program is administered by the New York State Housing Trust Fund Corporation (HTFC).
- **HOME – HOME Investment Partnerships Program**
The HOME program funds the acquisition, construction, and rehabilitation of affordable housing and assists renters and first-time home buyers. HOME is administered by the New York State Housing Trust Fund Corporation (HTFC).
- **ESGP – Emergency Shelter (Solutions) Grants Program**
The ESGP program provides funds for essential social services, street outreach, emergency shelters and rapid re-housing for homeless persons, and homelessness prevention. ESGP is administered by the New York State Office of Temporary and Disability Assistance (OTDA) which supplements the funding with NYS funds through a program entitled Solutions to End Homelessness Program (STEHP).
- **HOPWA –Housing Opportunities for Persons with AIDS Program**
The HOPWA program aids localities and not-for-profit organizations in meeting the housing and social service needs of persons with AIDS and HIV-related illnesses and their families. HOPWA is also administered by OTDA.

Each of these programs is funded by formula grants from the United States Department of Housing and Urban Development (HUD). To maintain its eligibility to administer these programs, New York State must periodically prepare and submit a series of documents for HUD approval. In addition to an annual CAPER, these documents include a five-year Consolidated Plan and annual one-year Action Plans.

This CAPER summarizes activities taken to implement New York State's Consolidated Plan for 2011-2015 and the Annual Action Plan for 2012. The organization of this CAPER document corresponds to the HUD review factors as summarized in the crosswalk preceding this Introduction.

New York State's Consolidated Plan for 2011-2015 and all associated documents, including its Annual Action Plan for 2012 and this Consolidated Annual Performance and Evaluation Report for 2012, are prepared in accordance with a HUD-approved Citizen Participation Plan. The full text of this Citizen Participation Plan is included as Appendix I of this document and should be referenced for information about how to access Consolidated Plan documents and how to participate in the Consolidated Planning process through which these documents are developed.

1.1 New York State's Overall Goals

New York State's five-year Consolidated Plan for 2011-2015 states overall goals in each of three areas of interest as follows:

- Affordable Housing - Create decent housing for low- and moderate-income New Yorkers.
- Homelessness and Other Special Needs - Address the shelter, housing, and service needs of the homeless, those

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threatened with homelessness, and others with special needs.

- Community Development - Create suitable living environments and economic opportunities for low- and moderate-income New Yorkers.

1.2 Measuring and Reporting Performance

1.2.1 The HUD Performance Measurement System

In 2006, HUD implemented a performance measurement system in which states and localities, in preparing Consolidated Planning documents, must relate CDBG, HOME, ESGP and HOPWA-funded activities to a matrix of objectives and outcomes created by HUD. HUD specifies three broad objectives for the CDBG, HOME, ESGP and HOPWA programs: decent housing; suitable living environment; and economic opportunity. In addition, HUD specifies three outcomes of CDBG, HOME, ESGP and HOPWA-funded activities: availability/accessibility (hereinafter cited as availability); affordability; and sustainability. Cross classifying these objectives and outcomes, HUD created the following matrix:

**TABLE 1
HUD MATRIX OF
OBJECTIVES AND OUTCOMES**

Objective ↓ \ Outcome →	Availability 1	Affordability 2	Sustainability 3
Decent Housing DH	DH-1	DH-2	DH-3
Suitable Living Environment SL	SL-1	SL-2	SL-3
Economic Opportunity EO	EO-1	EO-2	EO-3

HUD asks states and localities to attribute each CDBG, HOME, ESGP and HOPWA-funded activity to one of the nine objective/outcome pairs defined by the matrix. For example, home ownership rehabilitation activities are attributed to DH-1, rental rehabilitation activities are attributed to DH-2, and rehabilitation of “eyesore” properties are attributed to DH-3.

1.2.2 New York State's Objectives, Outcomes and Activities

New York State has undertaken a variety of activities in pursuit of its general goals. Table 2 integrates these activities into HUD's classification method for objectives and outcomes as follows:

TABLE 2

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HUD MATRIX OF OBJECTIVES, OUTCOMES AND ACTIVITIES

OBJECTIVE	OUTCOME	CODE	ACTIVITY
Decent Housing	Availability	DH-1	Owner-occupied Rehabilitation (HOME) Homeless Prevention (ESGP) Housing Rehabilitation (CDBG)
	Affordability	DH-2	Purchase Assistance (CDBG & HOME) Tenant-based Rental Assistance (HOME & HOPWA) Rental Rehabilitation/New Construction (HOME) Homebuyer Acquisition/Rehabilitation (HOME) Congregate Housing (HOPWA) Short Term Rental Assistance (HOPWA)
Suitable Living Environment	Availability	SL-1	Essential Services (ESGP) Maintenance and Operations (ESGP) Supportive Services (HOPWA)
	Affordability	SL-2	Infrastructure Improvements (CDBG)
	Sustainability	SL-3	Public Facility Improvements (CDBG)
Economic Opportunity	Availability	EO-1	Job Creation/Retention Assistance (CDBG)
	Affordability	EO-2	Business Assistance (CDBG)

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2. Assessment of Progress toward Goals and Objectives

2.1 Progress toward the Five-Year Goals

2012 constituted the second year in the five-year (2011–2015) Consolidated Plan for the State of New York. New York State, through its administration of the CDBG, HOME, ESG and HOPWA programs and other State and federal housing and community development programs, pursues its goals of creating:

- decent housing
- a suitable living environment
- economic opportunity

In its five-year Consolidated Plan for 2011 through 2015, New York State specified objectives and outcomes it would seek to reach in furtherance of these goals. New York State is well on its way to achieving the goals as outlined in the 2011-2015 Consolidated Plan. For each of the specified objectives and outcomes, with the exception of the reported homebuyer and housing rehabilitation units, the New York CDBG program met or exceeded the annual proposed goals. If New York maintains this level of accomplishments for the remaining three years of the Consolidated Planning period, New York will meet or exceed all estimates.

With respect to the goal of creating and preserving decent housing, it is estimated in the five-year Consolidated Plan that NYS CDBG funds would be used to improve the availability of affordable housing by rehabilitating approximately 3,500 units. At the same time, HOME funds would make decent housing more available by funding the rehabilitation of 3,450 owner-occupied units. During the second year of the planning period, NYS CDBG funds have been used to rehabilitate 585 affordable housing units for a two year total of 1,293 rehabilitated and HOME funds have been used to rehabilitate 694 units of owner-occupied affordable housing. It was also estimated over the five-year planning period that the NYS CDBG program would provide homeownership assistance to approximately 575 households and the HOME program would fund a variety of activities that would make decent housing more affordable for approximately 8,445 households. The NYS CDBG program has made decent housing more affordable by providing homeownership assistance to 69 households in 2012 for a two year total of 175 and the HOME program has made decent housing more affordable for 1,230 households by funding homebuyer assistance, housing construction, housing rehabilitation and multi-family rental programs. In 2012, the ESG/STEHP program provided assistance which made decent housing more available through rapid rehousing and homelessness prevention for 20,024 individuals and HOPWA-funded assistance made decent housing more affordable for 400 households.

With respect to the goal of creating suitable living environments, in 2012, ESGP/STEHP funds increased the availability of suitable living environments for 9,552 individuals and an additional 687 individuals were served with HOPWA-funded assistance. In addition, it was estimated that the NYS CDBG program would fund 125 public facilities and infrastructure projects. During the second year of the planning period, NYS CDBG funds have funded 26 public facilities and infrastructure projects in which 76,985 individuals benefited from NYS CDBG-funded infrastructure and public facility projects for a two year total of 53 projects with 155,696 benefiting and 687 individuals assisted with HOPWA-funded supportive services.

Finally, with regard to the goal of creating economic opportunities, the State's five-year Consolidated Plan estimated that NYS CDBG-funded economic development activities would create or retain approximately 5,000 jobs. During the second year planning period, NYS CDBG-funded economic development activities have resulted in the creation or retention of 876 full-time jobs and 186 part-time jobs with the first two years creating 2,256 full-time and 335 part-time jobs.

2.2 Progress toward the One-Year Goals

In this section, New York State summarizes, for CDBG, HOME, ESGP and HOPWA, its 2012 commitment and expenditure of funds and its estimated and actual program accomplishments. A more detailed analysis of progress by each of the four programs is provided in Sections 2.3 thru 2.6.

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2.2.1 Summary of Resources Committed and Expended by Objective

To achieve the goals, objectives, and outcomes described above, New York State committed and expended the following federal funds in Program Year 2012:

**TABLE 3
PROGRAM YEAR 2012
FUNDS COMMITTED AND EXPENDED
BY PROGRAM, OBJECTIVE/OUTCOME CODE AND ACTIVITY**

PROGRAM	CODE	ACTIVITY	RESOURCES [in Dollars]	
			COMMITTED	EXPENDED
CDBG	DH-1	Housing Rehabilitation	\$8,740,583	\$10,543,005
	DH-2	Purchase Assistance	\$1,392,668	\$1,785,813
	EO-1	Job Creation/Retention Assistance	\$9,387,500	\$11,163,835
	EO-2	Business Assistance	\$226,000	\$992,073
	SL-2	Infrastructure Improvements	\$10,858,758	\$8,907,413
	SL-3	Public Facility Improvements	\$400,000	\$605,881
	N/A	General Program Administration*/TA	\$2,041,664	\$3,620,330
HOME	DH-1	Owner-occupied Rehabilitation		\$9,329,130
	DH-2	Home Ownership Assistance Tenant-based Rental Assistance Rental Rehabilitation/New Construction		\$12,934,484
ESGP/STEHP	DH-1	Homeless Prevention	\$4,183,584	\$3,062,427
	DH-1	Rapid Re-housing	\$702,884	\$313,384
	SL-1	Essential Services Maintenance and Operations	\$2,631,176	\$1,907,717
HOPWA	DH-2	Tenant-based Rental Assistance Congregate Housing Short Term Rental Assistance	\$1,657,258	\$1,303,549
	SL-1	Supportive Services	\$336,433	\$322,845

*The CDBG funds committed and expended for general program administration are the funds used by recipients to administer the NYS CDBG program at the local level in addition to funds used by the State to administer the program.

Table 3 reports resources committed and expended during the Program Year 1/1/12 – 12/31/12, regardless of the Program Year in which the funds were awarded to the State. Depending on the activity and the lag time between commitment and actual expenditures, the reported PY 2012 expenditures do not correspond to PY 2012 commitments, as some of the expenditures reflect prior Program Year commitments.

2.2.2 Estimated and Actual Accomplishments in Affordable Housing and Community Development

Table 4 displays New York State's commitment of NYS CDBG, HOME, ESGP and HOPWA accomplishments in furtherance of affordable housing objectives. In 2012, the number of low- and moderate-income households and persons assisted through the four programs of CDBG, HOME, ESGP and HOPWA appear in the program-specific sections that follow.

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**TABLE 4
PROGRESS TOWARD ONE-YEAR GOALS
ESTIMATED AND ACTUAL ACCOMPLISHMENTS IN 2012
BY PROGRAM, OBJECTIVE/OUTCOME CODE AND ACTIVITY**

PROGRAM	OBJECTIVE- OUTCOME CODES	ACTIVITIES	2012 ACCOMPLISHMENTS	
			Estimated	Actual
CDBG	DH-1	Housing Units Rehabilitated	650	585
	DH-2	Households Receiving Home Ownership Assistance	115	69
	EO-1	Permanent Jobs Created or Retained	1,000	1,042
	EO-2	Businesses Assisted	30	25
	SL-2 SL-3	Persons Benefiting from Infrastructure Improvements Persons Benefiting from Public Facility Improvements	50,000 10,000	57,693 19,292
HOME	DH-1	Owner-occupied Housing Units Rehabilitated	780	694
	DH-2	Households Receiving Home Ownership Assistance Households Assisted with Tenant-based Rental Subsidies Existing Rental Housing Units Rehabilitated New Housing Units Constructed	315	536
ESGP/ STEHP	DH-1	Individuals Assisted to Prevent Homelessness	15,005	18,869
	DH-1	Individuals Assisted with Rapid Re-housing		1,155*
	SL-1*	Individuals Provided Essential Services Individuals Assisted by Maintenance & Operations Funding	25,336	9,552**
HOPWA	DH-2	Households Assisted with Tenant-based Rental Subsidies Households Assisted with Congregate Housing Households Assisted with Short-term Rental Subsidies	440	400
	SL-1	Individuals Assisted with Supportive Services	800	687

*152 rapid rehousing individuals were also served in shelter.

**The large discrepancy in suitable living environment is due to now receiving an unduplicated HMIS count of drop-in center participants and the ability to prevent more evictions than expected.

2.2.3 Geographical Distribution of CDBG, HOME, ESGP and HOPWA Funds

Table 5 shows the geographic distribution of the funds awarded for these four programs in Program Year 2012.

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TABLE 5
2012 CDBG, HOME, ESG AND HOPWA PROGRAMS
FORMULA FUNDS AWARDED
SUMMARY OF GEOGRAPHIC DISTRIBUTION
[In Dollars]

COUNTY	CDBG	HOME	ESG/STEHP	HOPWA	TOTAL
ALBANY*	0	950,000	880,875	231,734	2,062,609
ALLEGANY	1,000,000	0	0	0	1,000,000
BRONX	0	0	948,545	0	948,545
BROOME	0	400,000	0	170,210	570,210
CATTARAUGUS	0	300,000	0	0	300,000
CAYUGA	0	0	0	0	0
CHAUTAUQUA	400,000	399,950	250,894	67,689	1,118,533
CHEMUNG	0	0	246,443	0	246,443
CHENANGO	0	0	0	0	0
CLINTON	400,000	400,000	158,351	0	958,351
COLUMBIA	0	0	0	0	0
CORTLAND	1,272,703	0	0	0	1,272,703
DELAWARE	2,400,000	400,000	0	0	2,800,000
DUTCHESS	0	0	49,640	0	49,640
ERIE*	0	0	0	111,120	111,120
ESSEX	2,555,200	0	0	0	2,555,200
FRANKLIN	0	0	0	0	-
FULTON	400,000	400,000	0	0	800,000
GENESEE	1,000,000	0	0	0	1,000,000
GREENE	1,180,000	0	0	0	1,180,000

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COUNTY	CDBG	HOME	ESG/STEHP	HOPWA	TOTAL
HAMILTON	0	283,000	0	0	283,000
HERKIMER	641,000	183,800	0	0	824,800
JEFFERSON	1,550,000	00	219,552	0	1,769,552
KINGS	0	0	948,545	0	948,545
LEWIS	0	0	48,880	0	48,880
LIVINGSTON	69,000	400,000	70,848	0	469,000
MADISON	0	400,000	3,475	0	403,475
MONROE*	0	0	304,068	97,063	401,131
MONTGOMERY	1,935,000	0	0	0	1,935,000
NASSAU	0	0	0	0	0
NEW YORK	0	0	671,299	0	671,299
NIAGARA	516,000	0	35,000	0	551,000
ONEIDA	250,000	0	0	0	250,000
ONONDAGA	0	0	0	833,861	833,861
ONTARIO	1,350,000	0	0	0	1,350,000
ORANGE	594,000	0	75,957	0	669,957
ORLEANS	316,000	0	0	0	316,000
OSWEGO	572,500	0	268,887	0	841,387
OTSEGO	0	0	145,747	0	145,747
PUTNAM	0	0	0	0	0
QUEENS	0	0	438,668	0	438,668
RENSSELAER	0	250,000	214,405	0	464,405
RICHMOND	0	0	0	0	0

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COUNTY	CDBG	HOME	ESG/STEHP	HOPWA	TOTAL
ROCKLAND	750,000	0	408,347	0	1,158,347
SARATOGA	0	1,320,000	189,402	0	1,509,402
SCHENECTADY	275,000	0	0	0	275,000
SCHOHARIE	1,600,000	400,000	0	0	2,000,000
SCHUYLER	0	0	0	0	0
SENECA	1,150,000	324,000	139,817	0	1,613,817
ST. LAWRENCE	1,421,018	800,000	408,347	0	2,629,365
STEUBEN	1,165,000	0	189,808	0	1,354,808
SUFFOLK	0	0	0	0	0
SULLIVAN	1,197,109	400,000	0	273,676	1,870,785
TIOGA	0	0	0	0	0
TOMPKINS	404,800	700,000	288,534	0	1,393,334
ULSTER	1,950,000	0	74,788	304,812	2,329,600
WARREN	400,000	150,000	0	0	550,000
WASHINGTON	1,170,000	473,500	0	0	1,643,500
WAYNE	1,650,000	0	0	0	1,650,000
WESTCHESTER	0	0	246,869	0	246,869
WYOMING	600,000	0	0	0	600,000
YATES	0	0	0	0	0
NEW YORK STATE	0	0	0	0	0
Multi-County	0	0	0	0	0
TOTAL	32,134,330	10,534,250	7,517,644	2,090,165	52,276,389

* Albany, Erie and Monroe counties are located within HOPWA eligible metropolitan services areas. Funds were allocated to agencies headquartered within those counties to serve surrounding counties outside the EMSA. Additionally, funds were awarded to an Albany-based agency which is not eligible to receive direct HOPWA entitlement funds.

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2.2.4 Assistance to Minorities

The following four tables summarize NYS CDBG, HOME, ESGP and HOPWA assistance provided in 2012 to households and individuals by the race and ethnicity of those assisted.

TABLE 6
2012 NYS CDBG PROGRAM
RACE/ETHNICITY OF THOSE ASSISTED
TOTALS FOR ALL OBJECTIVES/OUTCOMES

RACE	HOUSEHOLDS		PERSONS	
	TOTAL	HISPANIC	TOTAL	HISPANIC
WHITE	31,235	2,267	73,044	4,525
ASIAN	360	10	696	23
ASIAN AND WHITE	28	1	62	2
BLACK/AFRICAN AMERICAN	1,389	46	2,816	107
BLACK/AFRICAN AMERICAN AND WHITE	56	11	119	28
AMERICAN INDIAN/ALASKAN NATIVE	138	2	324	3
AMERICAN INDIAN/ALASKAN NATIVE/WHITE	10	0	20	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	17	0	21	0
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	25	0	52	0
OTHER MULTI-RACIAL*	1,050	72	2,476	307
TOTAL	34,308	2,409	79,630	4,995

Some activities are not required to report racial information by household. Therefore, household data and persons' data may appear to be inconsistent.

*Recipients of NYS CDBG funds are not obligated to provide racial data. In such instances where racial data has not been provided, the households and persons are captured under "Other Multi Racial" per HUD guidance.

TABLE 7
2012 HOME PROGRAM
RACE/ETHNICITY OF HOUSEHOLDS ASSISTED
TOTALS FOR ALL OBJECTIVES/OUTCOMES

RACE	TOTAL	HISPANIC
WHITE	955	37
ASIAN	12	0
BLACK/AFRICAN AMERICAN	205	4
BLACK/AFRICAN AMERICAN AND WHITE	2	0
AMERICAN INDIAN/ALASKAN NATIVE	6	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	1	0
OTHER MULTI-RACIAL	38	35
Native Hawian/Other Pacific Islander	2	0
TOTAL	1,221	76

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TABLE 8
2012 ESG/STHP PROGRAM
RACE/ETHNICITY OF INDIVIDUALS SERVED
TOTALS FOR ALL OBJECTIVES/OUTCOMES

RACE	TOTAL	HISPANIC
WHITE	5,634	3,208
BLACK/AFRICAN AMERICAN	14,398	548
ASIAN	49	2
AMERICAN INDIAN/ALASKAN NATIVE	63	11
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	26	3
AMERICAN INDIAN/ALASKAN NATIVE AND WHITE	5	1
ASIAN AND WHITE	12	0
BLACK/AFRICAN AMERICAN AND WHITE	72	4
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	0	0
OTHER MULTI-RACIAL	2,766	2,622
TOTAL	23,025	6,399

TABLE 9
2012 HOPWA PROGRAM
RACE/ETHNICITY OF INDIVIDUALS SERVED
TOTALS FOR ALL OBJECTIVES/OUTCOMES

RACE	TOTAL	HISPANIC
WHITE	373	32
BLACK/AFRICAN AMERICAN	217	1
ASIAN	0	0
AMERICAN INDIAN/ALASKAN NATIVE	2	0
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	2	1
AMERICAN INDIAN/ALASKAN NATIVE AND WHITE	0	0
ASIAN AND WHITE	0	0
BLACK/AFRICAN AMERICAN AND WHITE	40	1
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	0	0
OTHER MULTI-RACIAL	53	12
TOTAL	687	47

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2.3 New York State Community Development Block Grant (NYS CDBG) Program

The NYS CDBG program provides grants and technical assistance to units of general local government who are developing projects that provide decent and hazard-free affordable housing, access to safe drinking water, proper disposal of household wastewater, access to community-needed services in local facilities, and expansion of economic self-sufficiency for low- and moderate-income persons by supporting development projects which are designed to create or retain jobs or foster microenterprise activities. The NYS CDBG program is administered by the New York State Housing Trust Fund Corporation (HTFC). Eligible applicants are cities, towns and villages under 50,000 in population, and counties under 200,000 in population, excluding: metropolitan cities, urban counties, units of government which are participating in urban counties or metropolitan cities even if only part of the participating unit of government is located in the urban county or metropolitan city, and Indian tribes eligible for assistance under Section 106 of the HUD Act.

2.3.1 Availability of NYS CDBG Funds in Program Year 2012

Program Year 2012 marks the thirteenth full year of New York State's administration of the NYS CDBG program. For Program Year 2012, \$ 40,642,169 was allocated to the State for the NYS CDBG program, less prior set-aside obligations for Section 108 loans/grants of \$2,000,000 leaving \$38,642,169 of PY 2012 funds for housing, public infrastructure and facilities and economic development programs as well as state administration. In addition to the \$38,642,169 available from the 2012 HUD allocation, an additional \$17,289,599 was available from prior year funds. These funds include unobligated, deobligated, and returned funds from Program Years 2000 through 2011 funding. 62 grants in the Housing, Public Infrastructure, Public Facilities and Economic Development categories, 2 Imminent Threat grants were awarded during the 2012 Program Year. The total amount of funds awarded in Program Year 2012 is \$32,134,330, excluding state administration, Technical Assistance and Section 108 loan repayments.

2.3.2 Distribution of NYS CDBG Funds in Program Year 2012

Program Year 2012 marks the thirteenth annual round of the NYS CDBG competitive awards for Housing, Public Infrastructure and Public Facilities grants and the eleventh year in which some Economic Development awards were made on an open round (non-competitive) application cycle. Beginning in PY 2011, a portion of the CDBG Economic Development funds were allocated to Governor Cuomo's Consolidated Funding Application (CFA) Initiative. The competitive CFA provides for a single point of application for a variety of grant programs offered through various State agencies with funds provided through State or Federal resources. In PY 2012, the CFA was expanded to include the categories of public infrastructure and facilities. In PY 2012, 33 economic development, public infrastructure and public facilities awards totaling \$16,126,090 were made through the CFA. This report reflects achievements of NYS CDBG recipients awarded between 2005 and 2012 with accomplishments of the NYS CDBG program recipients as of December 31, 2012 including, the housing units rehabilitated, households provided with home ownership opportunities, persons benefiting from completed public infrastructure and facilities projects, businesses assisted, and jobs created and retained for low- and moderate-income persons. The Method of Distribution adopted for Program Year 2012 was based on input from public hearings held in conjunction with the development of the State's Consolidated Plan and Action Plan, local government consultations, input from conference calls and informal communications with recipients, potential applicants, and various community development professionals around the State.

2.3.2.1 2012 Distribution of NYS CDBG Funds by Function and Activity

In 2012, HTFC expended \$912,843 from its administrative allocation from Program Year 2012. At the end of PY 2012, New York State has just over \$1 million in administrative funds available to be allocated. These funds plus any future funds allocated for administration will be used by the State for its program administration costs. Table 10 shows NYS CDBG administration funding for the thirteen years the program has been administered by New York State.

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TABLE 10
NYS CDBG PROGRAM
ADMINISTRATION FUNDING
[In Dollars]

PROGRAM YEAR	CDBG ALLOCATION ADMINISTRATION FUNDING	CDBG ADMINISTRATION FUNDS DRAWN DOWN	AVAILABLE BALANCE OF CDBG ADMINISTRATION FUNDS
2000	1,017,980	1,017,980	0
2001	1,247,060	1,247,060	0
2002	1,131,340	1,131,340	0
2003	1,146,600	1,146,600	0
2004	1,145,807	724,667	421,140
2005	1,088,472	683,808	404,664
2006	970,394	970,394	0
2007	976,075	976,075	0
2008	949,427	949,427	0
2009	967,540	967,540	0
2010	1,051,411	1,051,411	0
2011	980,648	980,648	0
2012	1,279,265	912,843	366,422
TOTAL	13,952,019	12,759,793	1,192,226

In the New York State Program Year 2012 Annual Action Plan, the State anticipated the following allocation of program resources (Table 11):

TABLE 11
2012 NYS CDBG PROGRAM
ALLOCATION OF FUNDS BY CATEGORY

CATEGORY	PERCENT
HOUSING, PUBLIC INFRASTRUCTURE/FACILITIES/ECONOMIC DEVELOPMENT CFA	79%
ECONOMIC DEVELOPMENT (OPEN ROUND)	13%
IMMINENT THREAT/CONTINGENCY	6%
ADMINISTRATION	2%
ALL RESOURCES	100%

Based on the needs identified over the course of the Program Year 2012, the State allocated its 2012 resources as outlined below in Table 12:

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TABLE 12
2012 NYS CDBG PROGRAM
GRANT REQUESTS AND AWARDS

CATEGORY	REQUESTS		AWARDS	
	AMOUNT [in Dollars]	NUMBER OF GRANTS	AMOUNT [in Dollars]	NUMBER OF GRANTS
TOTAL HOUSING	30,924,123	78	9,906,221	24
Housing Rehabilitation	27,544,423	71	7,912,703	19
Home Ownership	3,379,700	7	1,993,518	5
TOTAL PUBLIC INFRASTRUCTURE & FACILITIES	23,362,920	45	10,855,909	20
Water	10,743,909	21	4,536,909	8
Sewer	8,809,000	17	5,619,000	10
Community Facilities/Other	2,810,011	7	700,000	2
ECONOMIC DEVELOPMENT (CFA/ Small Business)	5,896,474	20	5,271,000	14
ECONOMIC DEVELOPMENT – Open Round	4,166,000	5	4,166,000	5
COMMUNITY PLANNING	183,400	1	0	0
IMMINENT THREAT	1,935,200	2	1,935,200	2
GRAND TOTAL	65,468,117	151	32,134,330	65

The NYS CDBG program provides funding under the three main grant categories of Housing, Public Infrastructure and Facilities, and Economic Development, shown in the table above. A range of activities are funded under each of these three broad grant categories.

In PY 2012, 78 applicants who requested funds through the Housing category proposed activities that included housing rehabilitation, homeownership, and private water/wastewater assistance including replacement of wells and septic systems and the installation of water and sewer laterals. HTFC awarded 24 housing grants totaling \$9,906,221 in 2012. Of these, 19 (\$7,912,703) were housing rehabilitation projects.

Predominant in the Public Infrastructure and Facilities category are activities to supply safe drinking water and to collect and treat wastewater. Of the 20 public infrastructure and facilities grants awarded in 2012, 18 were for public water and sewer activities totaling \$10,155,909. In addition to public infrastructure projects, HTFC also awarded 2 grants totaling \$700,000 for the construction of facilities in underserved areas that will provide a range of public services that are funded by other public and private funding sources.

Economic development funds were awarded to projects involving activities that support the expansion of existing industries and businesses with the primary intent of supporting job creation/retention for low- and moderate-income persons. Economic development funds are used to assist traditional economic development projects and small businesses (businesses with 25 or fewer employees). For PY 2012, the microenterprise assistance program was eliminated as a funding category. This was due in part to the slow progress made on existing microenterprises and the impact of the economic downturn on the success rate of such businesses. Funds were awarded to small business owners to assist in the expansion of job opportunities for low- and moderate-income persons. Many of New York State's eligible jurisdictions are located in rural areas characterized by dependence on a single primary employer. In order to maintain and enhance job security for the adult population as well as to ensure that local youth will have access to new jobs that promote long-term careers, an essential role of the NYS CDBG program is to support a range of job training, infrastructure creation, financing, industrial modernization, and business development activities. Finally, through the State's Imminent Threat funding category, New York continued to provide housing, public facilities and economic development assistance to communities hard hit by Hurricane Irene and Tropical Storm Lee in 2011.

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During Program Year 2012, 19 awards totaling \$9,437,000 were made for economic development activities. Of the 19, three (3) were small business assistance projects.

Table 13 shows a breakdown of activities funded by grant awards made in PY 2012.

TABLE 13
2012 NYS CDBG PROGRAM
AWARDS BY ACTIVITY
[In Dollars]

ACTIVITY TYPE	TOTAL FUNDING	NUMBER OF ACTIVITIES
HOUSING	9,946,121	84
Housing Rehabilitation	8,448,603	74
Homeownership	1,497,518	10
New Construction	0	0
PUBLIC FACILITIES	10,816,009	30
Water	4,518,009	13
Sewer	5,598,000	15
Community Facility/Other	700,000	2
ECONOMIC DEVELOPMENT	9,437,000	32
Small Business/ED CFA	5,271,000	24
Economic Development (Open Round)	4,166,000	8
COMMUNITY PLANNING	0	0
TECHNICAL ASSISTANCE	0	0
INNOVATIVE PROJECTS	0	0
IMMINENT THREAT	1,935,200	11
TOTAL	32,134,330	157

2.3.2.2 2012 Distribution of NYS CDBG Funds by Use and HUD Objective and Outcome

Under HUD's Performance Measurement framework, the HTFC has determined that:

- Housing rehabilitation activities meet the objective and outcome of increasing the availability and accessibility of decent housing. **Objective/Outcome Code DH-1**
- Homeownership activities meet the objective and outcome of increasing the affordability of decent housing. **Objective/Outcome Code DH-2**
- Economic development activities, including microenterprise and small business activities that create or retain jobs (LMJ), meet the objective and outcome of increasing the availability and accessibility of economic opportunities. **Objective/Outcome Code EO-1**
- Microenterprise activities that limit assistance to low- and moderate-income businesses or persons (LMCMC) meet the objective and outcome of providing affordable economic opportunities. **Objective/Outcome Code EO-2**
- Public infrastructure activities (public water/sewer) meet the objective and outcome of providing affordable suitable living environments. **Objective/Outcome Code SL-2**

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- Public facility activities (senior centers, etc.) meet the objective and outcome of improving the sustainability of suitable living environments. **Objective/Outcome Code SL-3**

Table 14 shows how 2012 NYS CDBG funds were distributed according to categories of use and the objectives of the five-year Consolidated Plan.

TABLE 14
2012 NYS CDBG PROGRAM
DISTRIBUTION OF AWARDS BY USE AND OBJECTIVE

CODE	HOUSING	PUBLIC FACILITIES	ECONOMIC DEVELOPMENT	TECHNICAL ASSISTANCE	IMMINENT THREAT	COMMUNITY PLANNING
DH-1	25%					
DH-2	6%					
EO-1			29%			
EO-2			1%			
SL-2		31%				
SL-3		2%				
N/A					6%	

2.3.2.3 Types of Households Assisted in 2012 with NYS CDBG Funds, by HUD Objectives/Outcomes

The following tables identify the very low-, low- and moderate-income beneficiaries of NYS CDBG funds in 2012 according to the Consolidated Plan objectives and outcomes addressed. Beneficiaries have only been counted once unless they have benefited from two or more major activities.

OBJECTIVE/OUTCOME = DH-1 (increase the availability/accessibility of decent housing)

Under HUD's Performance Measurement framework, HTFC has identified that housing rehabilitation activities meet the objective and outcome of increasing the availability and accessibility of decent housing (DH-1).

TABLE 15
2012 NYS CDBG PROGRAM
INCOME AND TENURE OF HOUSEHOLDS ASSISTED
OBJECTIVE/OUTCOME = DH-1

	VERY LOW-INCOME 0-30% HAMFI		LOW-INCOME 31-50% HAMFI		MODERATE-INCOME 51-80% HAMFI		TOTAL	
	HH	P	HH	P	HH	P	HH	P
RENTERS	10	17	18	37	5	7	33	61
OWNERS	106	191	149	353	183	419	438	963
TOTAL	116	208	167	390	188	426	471	1024

HH = Households P = Persons

TABLE 16
2012 NYS CDBG PROGRAM
FEMALE HEAD OF HOUSEHOLDS
OBJECTIVE/OUTCOME = DH-1

TOTAL BENEFICIARIES
207

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TABLE 17
2012 NYS CDBG PROGRAM
RACE/ETHNICITY OF THOSE ASSISTED
OBJECTIVE/OUTCOME = DH-1

RACE	HOUSEHOLDS		PERSONS	
	TOTAL	HISPANIC	TOTAL	HISPANIC
WHITE	461	6	1176	20
ASIAN	2	0	7	0
ASIAN AND WHITE	0	0	0	0
BLACK/AFRICAN AMERICAN	0	0	0	0
BLACK/AFRICAN AMERICAN AND WHITE	2	0	3	1
AMERICAN INDIAN/ALASKAN NATIVE	0	0	0	0
AMERICAN INDIAN/ALASKAN NATIVE/WHITE	1	0	2	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	0	0	0	0
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	0	0	0	0
OTHER MULTI-RACIAL*	4	1	11	3
TOTAL	470	7	1,199	24

* Recipients of CDBG funds are not obligated to provide racial data. In such instances where racial data has not been provided, the households and persons are captured under "Other Multi-Racial" per HUD guidance.

OBJECTIVE/OUTCOME = DH-2 (increase the affordability of decent housing)

Under HUD's Performance Measurement framework, HTFC has identified that home ownership activities meet the objective and outcome of increasing the affordability of decent housing (DH-2).

TABLE 18
2012 NYS CDBG PROGRAM
INCOME AND TENURE OF THOSE ASSISTED
OBJECTIVE/OUTCOME = DH-2

	VERY LOW-INCOME 0-30% HAMFI		LOW-INCOME 31-50% HAMFI		MODERATE-INCOME 51-80% HAMFI		TOTAL	
	HH	P	HH	P	HH	P	HH	P
OWNERS	2	7	12	32	53	142	67	181

HH = Households P = Persons

TABLE 19
2012 NYS CDBG PROGRAM
FEMALE HEAD OF HOUSEHOLD
OBJECTIVE/OUTCOME = DH-2

TOTAL BENEFICIARIES
33

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TABLE 20
2012 NYS CDBG PROGRAM
RACE/ETHNICITY OF THOSE ASSISTED
OBJECTIVE/OUTCOME = DH-2

RACE	HOUSEHOLDS		PERSONS	
	TOTAL	HISPANIC	TOTAL	HISPANIC
WHITE	65	1	175	2
ASIAN				
ASIAN AND WHITE				
BLACK/AFRICAN AMERICAN	1	0	2	0
BLACK/AFRICAN AMERICAN AND WHITE				
AMERICAN INDIAN/ALASKAN NATIVE				
AMERICAN INDIAN/ALASKAN NATIVE/WHITE				
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN				
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER				
OTHER MULTI-RACIAL	1	0	4	0
TOTAL	67	1	181	2

OBJECTIVE/OUTCOME = EO-1 (increase the availability/accessibility of economic opportunities)

Under HUD's Performance Measurement framework, HTFC has identified economic development activities, including microenterprise and small business activities that create or retain jobs (LMJ), meet the objective and outcome of increasing the availability and accessibility of economic opportunities (EO-1).

TABLE 21
2012 NYS CDBG PROGRAM
INCOME OF THOSE ASSISTED
OBJECTIVE/OUTCOME = EO-1

	VERY LOW-INCOME 0-30% HAMFI	LOW-INCOME 31-50% HAMFI	MODERATE-INCOME 51-80% HAMFI	TOTAL
BENEFICIARIES	256	350	184	790

TABLE 22
2012 NYS CDBG PROGRAM
FEMALE HEAD OF HOUSEHOLD
OBJECTIVE/OUTCOME = EO-1

TOTAL BENEFICIARIES
117

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TABLE 23
2012 NYS CDBG PROGRAM
RACE/ETHNICITY OF PERSONS ASSISTED
OBJECTIVE/OUTCOME = EO-1

RACE	TOTAL	HISPANIC
WHITE	819	47
ASIAN	8	0
ASIAN AND WHITE	1	0
BLACK/AFRICAN AMERICAN	33	0
BLACK/AFRICAN AMERICAN AND WHITE	8	0
AMERICAN INDIAN/ALASKAN NATIVE	5	0
AMERICAN INDIAN/ALASKAN NATIVE/WHITE	0	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	0	0
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	0	0
OTHER MULTI-RACIAL*	150	122
TOTAL	1024	169

* Recipients of CDBG funds are not obligated to provide racial data. In such instances where racial data has not been provided, persons are captured under "Other Multi-Racial" per HUD guidance.

OBJECTIVE/OUTCOME = EO-2 (increase the affordability of economic opportunities)

Under HUD's Performance Measurement framework, HTFC has identified that microenterprise activities that limit assistance to low- and moderate-income business owners or persons (LMCMC) meet the objective and outcome of providing affordable economic opportunities (EO-2). HTFC has also determined that façade activities meet the objective of providing affordable economic opportunities (EO-2). When reporting income, female head of household status and racial data for façade projects, recipients provide data on the residential characteristics of the area within which the façade project is located.

TABLE 24
2012 NYS CDBG PROGRAM
INCOME OF PERSONS ASSISTED
OBJECTIVE/OUTCOME = EO-2

	VERY LOW-INCOME 0-30% HAMFI	LOW-INCOME 31-50% HAMFI	MODERATE-INCOME 51-80% HAMFI	TOTAL
BENEFICIARIES	150	51	74	275

TABLE 25
2012 NYS CDBG PROGRAM
FEMALE HEAD OF HOUSEHOLD
OBJECTIVE/OUTCOME = EO-2

TOTAL BENEFICIARIES
24

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TABLE 26
2012 NYS CDBG PROGRAM
RACE/ETHNICITY OF PERSONS ASSISTED
OBJECTIVE/OUTCOME = EO-2

RACE	TOTAL	HISPANIC
WHITE	264	1
ASIAN	4	0
ASIAN AND WHITE	0	0
BLACK/AFRICAN AMERICAN	0	0
BLACK/AFRICAN AMERICAN AND WHITE	3	0
AMERICAN INDIAN/ALASKAN NATIVE	0	0
AMERICAN INDIAN/ALASKAN NATIVE/WHITE	0	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	0	0
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	0	0
OTHER MULTI-RACIAL*	8	0
TOTAL	279	1

* Recipients of CDBG funds are not obligated to provide racial data. In such instances where racial data has not been provided, persons are captured under "Other Multi-Racial" per HUD guidance.

OBJECTIVE/OUTCOME = SL-2 (increase the affordability of suitable living environments)

Under HUD's Performance Measurement framework, HTFC has identified that public infrastructure activities (public water/sewer) meet the objective and outcome of providing affordable suitable living environments (SL-2).

TABLE 27
2012 NYS CDBG PROGRAM
INCOME OF HOUSEHOLDS AND PERSONS ASSISTED
OBJECTIVE/OUTCOME = SL-2

	VERY LOW-INCOME 0-30% HAMFI		LOW-INCOME 31-50% HAMFI		MODERATE-INCOME 51-80% HAMFI		TOTAL	
	HH	P	HH	P	HH	P	HH	P
BENEFICIARIES	5,383	16,443	3,391	10,410	5,310	12,210	14,684	39,063

HH=Households P=Persons

TABLE 28
2012 NYS CDBG PROGRAM
FEMALE HEAD OF HOUSEHOLD
OBJECTIVE/OUTCOME = SL-2

TOTAL BENEFICIARIES
4,546

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TABLE 29
2012 NYS CDBG PROGRAM
RACE/ETHNICITY OF THOSE ASSISTED
OBJECTIVE/OUTCOME = SL-2

RACE	HOUSEHOLDS		PERSONS	
	TOTAL	HISPANIC	TOTAL	HISPANIC
WHITE	19,629	1,672	52,104	3,861
ASIAN	256	10	571	23
ASIAN AND WHITE	27	1	57	2
BLACK/AFRICAN AMERICAN	1,138	46	2,490	106
BLACK/AFRICAN AMERICAN AND WHITE	41	11	96	28
AMERICAN INDIAN/ALASKAN NATIVE	138	2	311	3
AMERICAN INDIAN/ALASKAN NATIVE/WHITE	9	0	18	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	9	0	13	0
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	25	0	52	0
OTHER MULTI-RACIAL*	970	71	2,212	182
TOTAL	22,242	1,813	57,924	4,205

* Recipients of CDBG funds are not obligated to provide racial data. In such instances where racial data has not been provided, households and persons are captured under "Other Multi-Racial" per HUD guidance.

OBJECTIVE/OUTCOME = SL-3 (increase the sustainability of suitable living environments)

Under HUD's Performance Measurement framework, HTFC has identified that public facility activities (senior centers, etc.) meet the objective and outcome of improving the sustainability of suitable living environments (SL-3).

TABLE 30
2012 NYS CDBG PROGRAM
INCOME OF HOUSEHOLDS ASSISTED
OBJECTIVE/OUTCOME = SL-3

	VERY LOW-INCOME 0-30% HAMFI		LOW-INCOME 31-50% HAMFI		MODERATE-INCOME 51-80% HAMFI		TOTAL	
	HH	P	HH	P	HH	P	HH	P
BENEFICIARIES	2,141	5,690	1,454	2,190	4,199	6,457	7,794	14,337

HH=Households P=Persons

TABLE 31
2012 NYS CDBG PROGRAM
FEMALE HEAD OF HOUSEHOLD
OBJECTIVE/OUTCOME = SL-3

TOTAL BENEFICIARIES
5,027

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TABLE 32
2012 NYS CDBG PROGRAM
RACE/ETHNICITY OF THOSE ASSISTED
OBJECTIVE/OUTCOME = SL-3

RACE	HOUSEHOLDS		PERSONS	
	TOTAL	HISPANIC	TOTAL	HISPANIC
WHITE	11,080	588	18,506	594
ASIAN	102	0	106	0
ASIAN AND WHITE	1	0	4	0
BLACK/AFRICAN AMERICAN	248	0	285	0
BLACK/AFRICAN AMERICAN AND WHITE	15	0	15	0
AMERICAN INDIAN/ALASKAN NATIVE	4	0	8	0
AMERICAN INDIAN/ALASKAN NATIVE/WHITE	0	0	0	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	8	0	8	0
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	0	0	0	0
OTHER MULTI-RACIAL*	75	0	91	0
TOTAL	11,533	588	19,023	594

* Recipients of CDBG funds are not obligated to provide racial data. In such instances where racial data has not been provided, households and persons are captured under "Other Multi-Racial" per HUD guidance.

2.3.2.4 2012 Geographic Distribution of NYS CDBG Funding

In its annual funding rounds the State of New York does not typically allocate or reserve funds by geographic area or region, but awards projects throughout the state. However, in PY 2012, approximately \$13 million in CDBG funding was remaining after all qualified applications were awarded through the CFA. In order to fully allocate funds by the State's deadline, New York established a Regional Economic Development Council Community Renewal Fund (CRF) which sets aside \$2.5 million to the Western New York Regional Economic Development Council (REDC), \$1.5 million to the Central New York REDC, \$8 million to the Mohawk Valley REDC, and \$1 million to the North Country REDC. The CRF will allow the Regional Councils, in coordination with the Office of Community Renewal, to make funding available to address NYS CDBG eligible housing, economic development, and public infrastructure and facilities priority projects that were not able to be met through the other funding rounds. The CRF set-aside is available to 21 of the State's 48 non-entitlement counties.

HUD's definition of non-entitlement communities eligible for NYS CDBG funding corresponds with a vast expanse of territory encompassing most of the State's land mass and includes 48 of the State's 62 counties. In addition, six entitlement counties (Dutchess, Nassau, Orange, Rockland, Suffolk, and Westchester) each contain municipalities which have opted to compete in the non-entitlement pool. The remaining eight metropolitan counties are Entitlement Jurisdictions (the five boroughs of New York City, Erie, Monroe and Onondaga Counties). There are nearly 1,300 eligible non-entitlement jurisdictions (Cities, Villages, Towns, and Counties). Table 33 shows the distribution of funding by county in Program Year 2012(Committed):

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TABLE 33
2012 NYS CDBG PROGRAM
GEOGRAPHIC DISTRIBUTION OF FUNDING
[In Dollars]

COUNTY	FUNDING BY ACTIVITY					COUNTY TOTAL	OBJECTIVE/ OUTCOME
	HOUSING	PUBLIC FACILITIES	ECONOMIC DEVELOPMENT	COMMUNITY PLANNING	TECHNICAL ASSISTANCE		
ALBANY	0	0	0	0	0	0	
ALLEGANY	400,000	600,000	0	0	0	1,000,000	DH-1,SL-2
BROOME	0	0	0	0	0	0	
CATTARAUGUS	0	0	0	0	0	0	
CAYUGA	0	0	0	0	0	0	
CHAUTAUQUA	400,000	0	0	0	0	400,000	DH-1
CHEMUNG	0	0	0	0	0	0	
CHENANGO	0	0	0	0	0	0	
CLINTON	400,000	0	0	0	0	400,000	DH-1,DH-2
COLUMBIA	0	0	0	0	0	0	
CORTLAND	137,703	0	1,135,000	0	0	1,272,703	EO-1,DH-1
DELAWARE	400,000	0	2,000,000	0	0	2,400,000	EO-1,DH-1
DUTCHESS	0	0	0	0	0	0	
ESSEX	1,221,000	1,334,200	0	0	0	2,555,200	DH-1,DH-2,SL-2
FRANKLIN	0	0	0	0	0	0	
FULTON	400,000	0	0	0	0	400,000	DH-1
GENESEE	0	0	1,000,000	0	0	1,000,000	EO-1
GREENE	897,500	0	282,500	0	0	1,180,000	EO-1,EO-2,DH-1, DH-2
HAMILTON	0	0	0	0	0	0	
HERKIMER	0	225,000	416,000	0	0	641,000	EO-1,SL-2
JEFFERSON	1,550,000	0	0	0	0	1,550,000	DH-1
LEWIS	0	0	0	0	0	0	
LIVINGSTON	0	0	69,000	0	0	69,000	EO-1
MADISON	0	0	0	0	0	0	
MONTGOMERY	400,000	1,200,000	335,000	0	0	1,935,000	EO-1,DH-1,SL-2
NIAGARA	0	0	516,000	0	0	516,000	EO-1
ONEIDA	0	0	250,000	0	0	250,000	EO-1
ONTARIO	0	600,000	750,000	0	0	1,350,000	EO-1,SL-2
ORANGE	0	594,000	0	0	0	594,000	SL-2
ORLEANS	0	0	316,000	0	0	316,000	EO-1
OSWEGO	572,500	0	0	0	0	572,500	DH-1,DH-2
OTSEGO	0	0	0	0	0	0	

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COUNTY	FUNDING BY ACTIVITY					COUNTY TOTAL	OBJECTIVE/ OUTCOME
	HOUSING	PUBLIC FACILITIES	ECONOMIC DEVELOPMENT	COMMUNITY PLANNING	TECHNICAL ASSISTANCE		
PUTNAM	0	0	0	0	0	0	
RENSSELAER	0	0	0	0	0	0	
ROCKLAND	0	0	750,000	0	0	750,000	EO-1
SARATOGA	0	0	0	0	0	0	
SCHENECTADY	275,000	0	0	0	0	275,000	DH-1
SCHOHARIE	1,200,000	0	400,000	0	0	1,600,000	EO-1,DH-1
SCHUYLER	0	0	0	0	0	0	
SENECA	400,000	0	750,000	0	0	1,150,000	EO-1,DH-1
ST. LAWRENCE	1,421,018	0	0	0	0	1,421,018	DH-1,DH-2
STEUBEN	0	1,165,000	0	0	0	1,165,000	SL-2
SULLIVAN	0	1,197,109	0	0	0	1,197,109	SL-2
TIOGA	0	0	0	0	0	0	
TOMPKINS	0	404,800	0	0	0	404,800	SL-2
ULSTER	750,000	1,200,000	0	0	0	1,950,000	DH-1,SL-2
WARREN	0	400,000	0	0	0	400,000	SL-3
WASHINGTON	18,900	1,151,100	0	0	0	1,170,000	DH-1,SL-2
WAYNE	0	900,000	750,000	0	0	1,650,000	EO-1,SL-2
WYOMING	0	600,000	0	0	0	600,000	SL-2
YATES	0	0	0	0	0	0	
NEW YORK STATE	0	0	0	0	0	0	
TOTAL	10,843,621	11,571,209	9,719,500	0	0	32,134,330	

2.3.3 NYS CDBG Program Accomplishments and Progress toward Goals

This section is an evaluation of the State's progress in meeting its specific community development objectives. Accomplishments achieved in PY 2012 under the HUD-administered NYS CDBG program. Grants awarded to New York jurisdictions prior to PY 2000 are not included.

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**TABLE 34
2012 NYS CDBG PROGRAM
ACCOMPLISHMENTS**

ACTIVITY	2012 PROJECTIONS	2012 ACCOMPLISHMENTS				
		Units	Projects	Persons	Jobs	Businesses
Housing						
Rehabilitation	650- units	585	N/A	1,025	N/A	N/A
Home Ownership	115 households	69	N/A	160	N/A	N/A
Public Facilities	60,000 people		26	76,985	N/A	N/A
Water & Sewer Improvements	50,000	N/A	20	57,693	N/A	N/A
Public Works		N/A	0	0	N/A	N/A
Community Facilities		N/A	6	19,292	N/A	N/A
Economic Development	1,000 - jobs 30 - businesses					
Economic Development		N/A	N/A	N/A	FT-831/PT-122	20
Microenterprise and Small Business		N/A	N/A		FT-45/PT-64 35 – Training	4
Technical Assistance	N/A	N/A	N/A	N/A	N/A	N/A
Community Planning	N/A	N/A	N/A	N/A	N/A	N/A
TOTAL		654	26	78,170	FT-876/PT-186 35 – Training	25

* FT = full time jobs, PT = part time jobs

The majority of recipients awarded during the PY 2000 through PY 2010 annual grant cycles have completed their projects and the associated grant funds have been fully expended. The projects that have not been completed are delayed primarily due to other funding involved in the projects. In most cases, the full amount of CDBG funds has been expended, but accomplishments cannot be documented until the project is online and operational or until jobs or housing units are filled. Recipients of CDBG grants awarded in December 2012 are working on their environmental reviews, client intake, engineering/permitting, and preliminary administrative and program delivery work. Site visits and other technical assistance are used to help projects overcome hurdles that can impede timely completion.

Actions have been taken to increase timeliness of project completion and to actively troubleshoot on behalf of recipients who encounter permitting hurdles or need approvals from other state or federal funding agencies before proceeding with their projects.

Housing

The 2012 Action Plan had estimated that 650 housing units would be rehabilitated and 115 homes purchased for first-time home buyers in PY 2012. For the period January 1, 2012 - December 31, 2012, 585 units of housing were fully rehabilitated and 69 families completed home purchases. Accomplishments for housing rehabilitation and homeownership assistance were reduced in PY 2012 partially due to the economic conditions throughout the State. However, based upon the 2 year accomplishments, at this time it appears that the State is still on target to meet its five year goals as outlined in the 2011-2015 Consolidated Plan.

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Public Facilities

The 2012 Action Plan had estimated that projects serving 60,000 persons would be completed during the program year. In addition to safe drinking water and wastewater infrastructure projects, this category includes such projects as street improvements, community facility projects, and handicap accessibility improvements. For the period January 1, 2012 - December 31, 2012 recipients completed 26 public facilities activities and reported serving 76,985 persons, exceeding the State's goals for 2012 and on target to exceed its five year goals as outlined in the 2011-2015 Consolidated Plan.

Economic Development

During the period January 1, 2012- December 31, 2012, 19 awards were made to communities for the purpose of assisting businesses and industries to obtain machinery, conduct retrofits, train employees, and build infrastructure needed to create and retain jobs. Of these, 16 were awarded for traditional economic development enterprises and 3 were awarded under the small business assistance category.

The Program Year 2012 Action Plan predicted that 1,000 jobs would be created and/or retained through all economic development activities. In addition, it was estimated that 30 businesses would be assisted through microenterprise activities funded in 2011 or earlier or by small business. For the period January 1, 2012 to December 31, 2012, 831 full-time jobs and 122 part-time jobs were actually retained or created from economic development activities and 45 full-time jobs and 64 part-time jobs through microenterprise and small business activities. Additionally, 22 low-and moderate-income persons received training or technical assistance under the Microenterprise National Objective of LMCMC. Under the Microenterprise National Objective of LMJ, 1 business was assisted and 13 persons completed the training program. Under the Small Business Program for the period of January 1, 2012 – December 31, 2012, 3 businesses were assisted and 14 full-time and 5 part-time jobs were created or retained.

2.4 HOME Investment Partnerships Program (HOME)

The HOME Investment Partnerships Program (HOME) was established by Title II of the National Affordable Housing Act (NAHA) of 1990 to provide funds to acquire, rehabilitate and/or construct affordable housing and to assist renters and first-time home buyers. The State of New York's HOME program is administered by the New York State Housing Trust Fund Corporation (HTFC).

2.4.1 Availability of HOME Funds in Program Year 2012

During 2012, the federal government allocated \$19,238,101 to the State HOME program. In addition, there was also \$500,000 available in prior year funds. The total amount of HOME funds available for commitment in 2012 was \$17,814,291 (2012 HOME allocation minus 10% administrative allowance plus prior years' deobligated funds.)

2.4.2 Distribution of HOME Funds Committed in Program Year 2012

HOME program funds are provided to eligible applicants to acquire, construct and/or rehabilitate affordable housing, including both owner-occupied and rental housing; for tenant-based rental assistance; and for administrative expenses of public entities and not-for-profit organizations that undertake program activities.

New York State uses a competitive process for distributing its HOME funds. In this process:

- 15 percent of each annual allocation is reserved for Community Housing Development Organizations (CHDO's);
- 80 percent of the remaining funds are reserved for projects and local programs located within non-participating jurisdictions (local governments which do not participate directly in the HOME program); and
- All remaining funds are distributed on a statewide basis.

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2.4.2.1 2012 Distribution of HOME Funds by Use and HUD Objectives and Outcomes

Under HUD's Performance Measurement framework, New York State has determined that:

- Rehabilitation of owner-occupied housing meets the objective and outcome of increasing the accessibility of decent housing. **Objective/Outcome Code DH-1**
- Single and multi-family housing production through construction, rehabilitation, and acquisition meets the objective and outcome of increasing the affordability of decent housing, as does purchase assistance and rental assistance. **Objective/Outcome Code DH-2**

Table 35 shows how 2012 HOME funds were distributed according to categories of use and the objectives of the five-year Consolidated Plan.

**TABLE 35
2012 HOME PROGRAM
DISTRIBUTION OF FUNDS BY USE AND OBJECTIVE**

OBJECTIVE/OUTCOME CODE	REHABILITATION	NEW CONSTRUCTION	OPERATING COSTS	ACQUISITION
DH-1	8,634,250			
DH-2		1,900,000		

New York State's distribution of HOME funds among uses and objectives is influenced by applicants' decisions about which activity to apply for, based on their analysis of local needs. The State's Unified Funding process is designed to respond to local needs but not to otherwise favor one HOME-eligible activity over another.

OBJECTIVE/OUTCOME = DH-1 (increase the availability/accessibility of decent housing)

In 2012, New York State committed approximately \$8.6 million in HOME funds to the rehabilitation of owner-occupied, single family (1-4 units) housing, an activity intended to increase the availability/accessibility of decent housing.

**TABLE 36
2012 HOME PROGRAM
TYPES OF HOUSEHOLDS ASSISTED
OBJECTIVE/OUTCOME = DH-1**

	VERY LOW-INCOME 0-30% HAMFI	LOW-INCOME 31-50% HAMFI	MODERATE-INCOME 51-80% HAMFI	TOTAL
HOMEOWNER	195	295	202	692
RENTER IN HOMEOWNER BUILDING				
TOTAL	195	295	202	692

OBJECTIVE/OUTCOME = DH-2 (increase the affordability of decent housing)

In 2012, New York State HOME Program committed approximately \$1.9 million to a variety of activities intended to increase the affordability of decent housing. These activities include home ownership assistance (including downpayment and closing cost assistance for single family housing) and assistance with the costs of acquisition and minor rehabilitation of existing housing (including 2-4 unit buildings that contain rental units) and creating new rental housing.

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TABLE 37
2012 HOME PROGRAM
TYPES OF HOUSEHOLDS ASSISTED
OBJECTIVE/OUTCOME = DH-2

	VERY LOW-INCOME 0-30% HAMFI	LOW-INCOME 31-50% HAMFI	MODERATE-INCOME 51-80% HAMFI	TOTAL
RENTER	214	113	58	385
HOMEBUYER	4	40	100	144
TOTAL	218	153	158	529

TABLE 38
2012 HOME PROGRAM
TYPES OF HOUSEHOLDS ASSISTED
OBJECTIVE/OUTCOME = DH-1 + DH-2

	VERY LOW-INCOME 0-30% HAMFI	LOW-INCOME 31-50% HAMFI	MODERATE-INCOME 51-80% HAMFI	TOTAL
RENTER	214	113	58	385
HOMEOWNER/HOMEBUYER	199	335	302	836
TOTAL	413	448	360	1,221

The State is committed to serving its neediest households. As can be seen from the above table, 70 percent of the households assisted with HOME funds had incomes at or below 50% of area median income. In addition, more than one-quarter of assisted households had incomes below 30 percent of area median income. The table also shows that 50% of the 1,221 owner-occupied and home buyer assistance units are occupied by very low-income and low-income home owners and home buyers, reflecting the great need for home ownership assistance in non-participating jurisdictions and the State's commitment to home ownership assistance, both for rehabilitation of existing owner-occupied housing and for assistance to new home buyers.

2.4.2.2 2012 Distribution of HOME Funds by Race/Ethnicity of Head of Household

The HOME program primarily serves non-metropolitan areas, where minority populations are lower than in urban areas. Overall, the results of the State's affirmative marketing efforts in furthering fair housing are positive. This is reflected by data which indicates approximately 17% minority participation in the HOME program, with approximately 7% of Hispanic ethnicity. Tables 39 and 40 display, for all HOME funds committed in 2012, the race/ethnicity of the head of assisted households.

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TABLE 39
2012 HOME PROGRAM
RACE/ETHNICITY OF HOUSEHOLDS ASSISTED
OBJECTIVE/OUTCOME DH-1

RACE	TOTAL	HISPANIC
WHITE	608	10
ASIAN	2	0
BLACK/AFRICAN AMERICAN	62	1
BLACK/AFRICAN AMERICAN AND WHITE	0	0
AMERICAN INDIAN/ALASKAN NATIVE	1	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	0	0
OTHER	0	0
Native American/Other Pacific Islander	2	0
OTHER MULTI-RACIAL	17	16
TOTAL	692	27

TABLE 40
2012 HOME PROGRAM
RACE/ETHNICITY OF HOUSEHOLDS ASSISTED
OBJECTIVE/OUTCOME DH-2

RACE	TOTAL	HISPANIC
WHITE	347	27
ASIAN	10	0
BLACK/AFRICAN AMERICAN	143	3
BLACK/AFRICAN AMERICAN AND WHITE	2	0
AMERICAN INDIAN/ALASKAN NATIVE	5	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	1	0
OTHER	0	0
OTHER MULTI-RACIAL	21	19
TOTAL	529	49

2.4.2.3 2012 Geographical Distribution of HOME Funds

New York is committed to distributing affordable housing resources in a manner that responds to local needs. A competitive application process (Unified Funding) is used to allocate available program resources to meet housing needs. Applications that will produce a quality housing product that most efficiently provides the greatest number of units for the longest period of time, for the lowest-income New Yorkers, and which respond to a strategy to address housing needs, and will have the greatest likelihood of being funded.

In 2012, the State received competitive proposals for projects or local programs that will provide HOME funds in 27 of the State's 62 counties. Table 41 displays the distribution of New York State's HOME funds:

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TABLE 41
2012 HOME PROGRAM
GEOGRAPHIC DISTRIBUTION OF FUNDING
BY OBJECTIVE AND OUTCOME
[In Dollars]

COUNTY	DH-1	DH-2	TOTAL
ALBANY		950,000	950,000
ALLEGANY			
BRONX			
BROOME	400,000		400,000
CATTARAUGUS	300,000		300,000
CAYUGA			
CHAUTAUQUA	399,950		399,950
CHEMUNG			
CHENANGO			
CLINTON	400,000	400,000	800,000
COLUMBIA			
CORTLAND			
DELAWARE	800,000		800,000
DUTCHESS			
ERIE			
ESSEX			
FRANKLIN			
FULTON	400,000		400,000
GENESEE			
GREENE			
HAMILTON	283,000		283,000
HERKIMER	183,800		183,800
JEFFERSON			
KINGS			
LEWIS			
LIVINGSTON	800,000		800,000
MADISON	400,000		400,000
MONROE			
MONTGOMERY			
NASSAU			
NEW YORK			
NIAGARA			
ONEIDA			
ONONDAGA			
ONTARIO			
ORANGE			
ORLEANS			
OSWEGO			
OTSEGO			

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COUNTY	DH-1	DH-2	TOTAL
PUTNAM			
QUEENS			
RENSSELAER	250,000		250,000
RICHMOND			
ROCKLAND			
SARATOGA	1,320,000		1,320,000
SCHENECTADY			
SCHOHARIE	400,000		400,000
SCHUYLER			
SENECA	324,000		324,000
ST. LAWRENCE	800,000		800,000
STEUBEN			
SULLIVAN	400,000		400,000
SUFFOLK			
TIOGA			
TOMPKINS	300,000	400,000	700,000
ULSTER			
WARREN		150,000	150,000
WASHINGTON	473,500		473,500
WAYNE			
WESTCHESTER			
WYOMING			
YATES			
TOTAL	8,634,250	1,900,000	10,534,250

2.4.3 HOME Program Assessment of Progress toward Goals

The New York State HOME program has become one of the primary tools for achieving affordable housing, community development, and neighborhood revitalization goals in New York. In making funding decisions, the State gives preference to those proposals that will use HOME funds as part of a larger community needs strategy. These needs vary considerably across the State, and even from one community to another within a given region. The State has been successful in providing resources to meet locally-identified needs in a timely manner, without creating unnecessary regulatory barriers. The following sections provide an overview of the use of Program Year 2012 funds by region.

In the Albany region, disinvestment, high vacancy rates due to foreclosure, and abandoned housing are more typical. State HOME funds are being used to promote neighborhood revitalization through acquisition and rehabilitation assistance. Approximately 6.2 million in HOME program funds was invested in this region in 2012. These Funds will be used by community housing development organizations, non-profit housing providers and local municipalities to promote new home ownership and housing rehabilitation opportunities in distressed communities, primarily through the acquisition, rehabilitation, new construction and resale of units of affordable housing.

In the Buffalo Region, State HOME funds are being used to promote housing rehabilitation, primarily of owner-occupied housing, and homeownership.

In the Syracuse Region, 2.4 million in State HOME funds was invested to promote housing rehabilitation, primarily of owner-occupied housing.

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2.4.4 Manufactured Housing Replacement

DHCR/HTFC is responding to an important need in rural communities with an initiative to provide safer, more affordable homes for low-income individuals and families by replacing severely substandard and dilapidated mobile and manufactured homes with new ENERGY STAR qualified manufactured housing.

In 2010, the statewide Manufactured Home Replacement Initiative (MHRI) targeted \$5 million in NYS HOME Program funds for the replacement of dilapidated owner-occupied mobile and manufactured homes that are sited on land owned by the homeowner. The initiative was supported in 2012 and applicants were encouraged to include the replacement of substandard mobile homes as part of any owner occupied rehabilitation program. It is anticipated that approximately \$1.1 million of the total funds allocated to the rehabilitation of owner occupied units will replace dilapidated mobile homes with new ENERGY STAR qualified manufactured homes.

2.5 The Emergency Solutions Grants Program (ESGP)

The New York State Office of Temporary and Disability Assistance (OTDA) administers the Emergency Solutions Grants Program (ESGP) for the State of New York. ESGP funding is combined with New York State funding to form the Solutions to End Homelessness Program (STEHP). The STEHP Program coordinates activities to enhance the quality and quantity of homeless facilities and services for homeless individuals and families, and funds certain operational costs and social services expenses relating to homeless shelters. In addition, STEHP funds a variety of homelessness prevention and rapid rehousing activities. The STEHP Program is administered in accordance with ESGP Federal Regulations. New York State received \$3,292,159 in ESGP FFY 2011 funds which were allocated to groups in FFY 2012. NYS also received FFY 11 Phase II funds in mid-2012 which will be distributed in and reported on in the 2013 CAPER.

2.5.1 Availability of STEHP Funds in Program Year 2012

During Program Year 2012, OTDA awarded \$3,127,552 in ESGP funds and \$4,185,092 in New York State funds for a total of \$7,517,644 to support eligible activities under its Solutions to End Homelessness Program (STEHP). Thirty seven (37) not-for-profit corporations and local social service districts received awards. Additionally, New York State maintained the allowable 5% of ESGP funds toward administration, (\$164,607).

2.5.2 Distribution of STEHP Funds in Program Year 2012

The New York State Office of Temporary and Disability Assistance awards the ESGP as part of the STEHP Program through a competitive Request for Proposals (RFP) process. OTDA released a Request for Proposals in July 2011 in order to make STEHP awards which commenced October 1, 2011. Proposals were solicited from local social services districts, not-for-profit corporations, and charitable organizations, including faith-based organizations. Proposals described street outreach, emergency shelter, essential service, rapid rehousing and homelessness prevention programs. All proposals received in response to the RFP were subjected to a rigorous review and selection process. While keeping with Emergency Shelter Grant regulations, OTDA incorporated elements from the Homeless Emergency Assistance and Rapid Transition to Housing (HEARTH) Act in preparation for Emergency Solutions Grant Program regulation changes. While continuing to provide Essential Services, Maintenance and Operations and Prevention services, New York State has used its own funds to provide Rapid Re-Housing services in an effort to continue Homeless Prevention and Rapid Re-Housing (HPRP) stimulus activities while waiting for interim ESG regulations to include these activities. In total, thirty seven (37) contractors were awarded STEHP funds. The first year of the contract ran from October 1, 2011 to September 30, 2012.

The following is a listing of some of the criteria established for funding under New York State's STEHP Program:

- The applicant agency must show the ability to meet all State and federal requirements.
- Demonstration of need within the proposed project area for the type of housing and/or services proposed.
- Evidence of the applicant's understanding of the needs of the homeless population and those at risk of homelessness.

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- Evidence of measurable and quantifiable results.
- Evidence of the applicant's ability to develop the proposed project, expend all funds within the required timeframes, and operate the project over the required contract period.
- Evidence of the applicant's ability to provide, either directly or through referral, the appropriate support services.
- The appropriateness of plans for the participant selection and the consistency of these plans with the intent of ESGP.
- The reasonableness of the total project cost and the ESGP fund request and the eligibility of proposed expenditures.
- Evidence that matching funds are firmly committed and available for obligation and expenditure.
- Evidence that the applicant has local support including from the Continuum of Care.
- Evidence that the focus of the project is on enabling participants to achieve the highest level of self-sufficiency possible.
- Evidence of the financial feasibility of the project over the required operating period.
- The appropriateness of the qualifications and backgrounds of the personnel and staff to be assigned to the project.
- Willingness to participate in the Homeless Management Information System (HMIS).

OTDA awarded ESGP funds for the following eligible activities:

- Provision of essential services to the homeless including, but not limited to: employment, physical health, mental health, substance abuse, and education services.
- Payment for shelter maintenance, operation, rent, repairs, security, fuel, equipment, insurance, utilities, food and furnishings.
- Development and implementation of homelessness prevention activities such as legal services, mediation programs and short term subsidies for individuals and families at-risk of homelessness.
- Rapid Re-housing into community-based housing for homeless individuals and families.

2.5.2.1 2012 Distribution of STEHP Funds by Function

During Program Year 2012, STEHP funds were allocated for purposes noted in Table 42.

**TABLE 42
2012 STEHP PROGRAM
FUNDS BY USE**

ESSENTIAL SERVICES	PREVENTION	MAINTENANCE AND OPERATING COSTS	RAPID REHOUSING	ADMINISTRATION
24%	54%	11%	9%	2%

2.5.2.2 2012 Distribution of STEHP Funds by Race and Ethnicity

During Program Year 2012, STEHP funds assisted persons of various races and ethnicities as noted in Table 43. The STEHP Program assisted 29,424 unique individuals with essential services, shelter operations, rapid re-housing and homelessness prevention services.

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TABLE 43
2012 ESG/STEHP PROGRAM
RACE/ETHNICITY OF PERSONS ASSISTED

RACE	TOTAL Not Hispanic	HISPANIC
WHITE	5,634	3,208
BLACK/AFRICAN AMERICAN	14,398	548
ASIAN	49	2
AMERICAN INDIAN/ALASKAN NATIVE	63	11
NATIVE AMERICAN/OTHER PACIFIC ISLANDER	26	3
AMERICAN INDIAN/ALASKAN NATIVE AND WHITE	5	1
ASIAN AND WHITE	12	0
BLACK/AFRICAN AMERICAN AND WHITE	72	4
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	0	0
OTHER MULTI-RACIAL	2,766	2,622
TOTAL	23,025	6,399

2.5.2.3 2012 Geographical Distribution of STEHP Funds

The State of New York awards funding to projects through a competitive statewide process and does not allocate or reserve funds by geographic area or region. OTDA has, however, consistently sought to allocate its funds equitably to all parts of the State that have identified gaps in the emergency housing continuum for homeless individuals and their families. First consideration is given to those locations demonstrating an urgent need, especially areas not receiving direct entitlement funding through the ESGP. Twenty-six (26) counties received STEHP funds in 2012. Table 44 reflects the geographic distribution of STEHP funds by county.

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TABLE 44
2012 STEHP PROGRAM
GEOGRAPHIC DISTRIBUTION OF FUNDING
[In Dollars]

COUNTY	AMOUNT
ALBANY	880,875
ALLEGANY	
BRONX	948,545
CATTARAUGUS	
CHAUTAUQUA	250,894
CHEMUNG	246,443
CLINTON	158,351
DUTCHESS	49,640
ERIE	
GREENE	
JEFFERSON	219,552
KINGS	948,545
LEWIS	48,880
LIVINGSTON	70,848
MADISON	3,475
MONROE	304,068
NEW YORK	671,299
NIAGARA	35,000
ONONDAGA	
ONTARIO	
ORANGE	75,957
OSWEGO	268,887
OTSEGO	145,747
PUTNAM	
QUEENS	438,668
RENSSELAER	214,405
RICHMOND	
SARATOGA	408,347
SCHENECTADY	189,402
ST. LAWRENCE	139,817
STEUBEN	189,808
SUFFOLK	
TOMPKINS	288,534
ULSTER	74,788
WESTCHESTER	246,869
TOTAL	7,517,644

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**TABLE 45
2012 STEHP PROGRAM
ACCOMPLISHMENTS**

Objective-Outcome Category	Performance Indicator	Expected Number	Actual Number	Activity Description
DH-1	Total Individuals Served	15,005	18,869	Homelessness Prevention
DH-1	Total Individuals Served		1,155*	Rapid Re-housing
SL-1	Total Individuals Served	13,292	9,552**	Essential Services
SL-1	Total Individuals Served	12,044		Maintenance and Operations

**152 rapid rehousing individuals were also served in shelter.*

***The large discrepancy in suitable living environment is due to now receiving an unduplicated HMIS count of drop-in center participants and the ability to prevent more evictions than expected.*

2.6 Housing Opportunities for Persons with AIDS Program (HOPWA)

The HOPWA program aids localities and not-for-profits in devising long-term, comprehensive strategies for meeting the housing and social service needs of persons with AIDS and HIV-related illnesses and their families. HOPWA is administered by the New York State Office of Temporary and Disability Assistance (OTDA).

2.6.1 Availability of HOPWA Funds in Program Year 2012

During HOPWA Program Year 2012, the period covered by this 2012 CAPER, the federal government allocated \$2,154,810 to New York State for the Housing Opportunities for Persons with AIDS Program. New York State maintained the allowable 3% toward administration; therefore \$2,090,165 was made available to eligible grant applicants to support eligible HOPWA activities.

2.6.2 Distribution of HOPWA Funds in Program Year 2012

The Office of Temporary and Disability Assistance (OTDA) distributes its annual HOPWA allocation to underserved areas of the State to strengthen the continuum of care serving the special needs of low-income persons living with HIV/AIDS-related illness and their families. Due to limited federal funding available for distribution statewide, localities receiving direct HOPWA allocations from HUD are not eligible for HOPWA funding through OTDA. Specifically, each year, the State contracts with not-for-profit corporations to provide housing and related support services under HOPWA.

Since the start of its HOPWA program in 1993, OTDA has distributed its funds through a periodic competitive bid process. Typically, the State issues a HOPWA Request for Proposals (RFP) and selects funding applications submitted in response to the RFP. Contracts are established for an initial period and may be renewed in each of two subsequent years, presuming satisfactory performance by the contractor and continued availability of HOPWA funds.

The distribution of HOPWA funding by OTDA lags one year behind the federal fiscal cycle. In June of 2009, an RFP was issued for Rounds 18-20 of HOPWA funds for the grant period of January 1, 2010 to December 31, 2012. Contracts will continue in 2013 given the availability of federal funding and the contractors' satisfactory performance. A total of 13 projects were selected using the following criteria:

- Need for the type of housing proposed.
- Continuity of housing availability for those already being served under the program.
- Appropriateness of the site (if applicable).
- Appropriateness of the program design and/or support services proposed.
- Reasonableness of the total project cost.
- Evidence of strong linkages with community-based providers.

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In accordance with HOPWA regulations promulgated by the United States Department of Housing and Urban Development (HUD), a broad range of housing-related activities may be funded. In HOPWA Rounds 18-20, the State gave priority to projects that would:

- Continue successful operations previously funded by OTDA.
- Expand housing units and critical support services for persons with HIV/AIDS and their families.
- Serve under-served geographic areas.
- Fill gaps in housing and support services.
- Help create an integrated, comprehensive approach to meeting the housing needs of persons with HIV/AIDS within a given geographic area.

The following activities were funded:

- Tenant-based rental assistance.
- Short-term rent, utilities, or mortgage payment to prevent homelessness.
- Supportive services.
- Housing information and assistance in establishing, developing, maintaining, and coordinating housing resources.
- Resource identification to expand the number of HIV/AIDS housing units that are available on a statewide basis.

The majority of funded contracts focused on the provision of long-term rental assistance, short-term rental assistance, and support services. Due to limited federal funding available for distribution statewide, localities receiving direct HOPWA allocations from HUD are not eligible for HOPWA funding through OTDA. For the past twenty years OTDA has contracted with providers to ensure that services for clients and their families living with HIV/AIDS are accessed.

2.6.2.1 2012 Distribution of HOPWA Funds by Function

During Program Year 2012, HOPWA funds were allocated for purposes noted in Table 46.

**TABLE 46
2012 HOPWA PROGRAM
DISTRIBUTION OF FUNDS BY FUNCTION**

HOUSING ASSISTANCE	SUPPORT SERVICES	RESOURCE IDENTIFICATION AND HOUSING INFORMATION	GRANTEE ADMINISTRATIVE COSTS	SPONSOR ADMINISTRATIVE COSTS
77%	17%	<1%	2%	3%

2.6.2.2 2012 Distribution of HOPWA Funds by Race and Ethnicity

During Program Year 2012, HOPWA funds assisted persons of various races and ethnicities as noted in Table 47.

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TABLE 47
2012 HOPWA PROGRAM
RACE/ETHNICITY OF PERSONS ASSISTED

RACE	TOTAL	HISPANIC
WHITE	373	32
BLACK/AFRICAN AMERICAN	217	1
ASIAN	0	0
AMERICAN INDIAN/ALASKAN NATIVE	2	0
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	2	1
AMERICAN INDIAN/ALASKAN NATIVE AND WHITE	0	0
ASIAN AND WHITE	0	0
BLACK/AFRICAN AMERICAN AND WHITE	40	1
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	0	0
OTHER MULTI-RACIAL	53	12
TOTAL	687	47

2.6.2.3 2012 Geographical Distribution of HOPWA Funds

OTDA has consistently sought to allocate its HOPWA funds equitably to all parts of the State that have identified gaps in the continuum of care for housing persons with HIV/AIDS and their families. Because of the extensive need in upstate areas and the limited availability of HOPWA funds, OTDA limits the distribution of the State's HOPWA allocation to those areas that do not have direct access to HOPWA funds from HUD. Therefore, during the 2012 reporting period, funding did not support any projects in the following Eligible Metropolitan Services Areas (EMSA): New York City (including Westchester and Rockland counties), Long Island (Nassau and Suffolk counties), Rochester, Buffalo, Albany, and Poughkeepsie (including Orange and Dutchess Counties).

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TABLE 48
2012 HOPWA PROGRAM
GEOGRAPHICAL DISTRIBUTION OF FUNDING
[In Dollars]

COUNTY*	AMOUNT
ALBANY**	231,734
BROOME	170,210
CHAUTAUQUA	67,689
ERIE**	111,120
MONROE**	97,063
ONONDAGA	833,861
SULLIVAN	273,676
ULSTER	304,812
TOTAL	2,090,165

*Counties listed denote the organizations' home-base. Most contractors provide services in several surroundings.

Thirty-five (35) counties throughout New York State receive services through this grant.

**Albany, Erie, and Monroe counties are located within HOPWA eligible metropolitan services areas. Funds were allocated to agencies headquartered within those counties to serve surrounding counties outside the EMSA. Additionally, funds were awarded to an Albany-based agency which is not eligible to receive direct HOPWA funds due to a conflict of interest.

2.6.3 2012 HOPWA Accomplishments

Tables 49 through 56 display HOPWA accomplishments in Program Year 2012.

TABLE 49
2012 HOPWA PROGRAM
UNITS AND PERSONS ASSISTED

	HOUSING ASSISTANCE	SUPPORT SERVICES ONLY	TOTAL
NUMBER OF UNITS	400	N/A	400
NUMBER OF PERSONS ASSISTED	687	0	687

TABLE 50
2012 HOPWA PROGRAM
SUPPORTED HOUSING UNITS ASSISTED
[Funding in Dollars]

TYPE OF UNIT	UNITS ASSISTED	HOPWA FUNDING*
RENTAL ASSISTANCE	273	935,282
SHORT-TERM/EMERGENCY HOUSING PAYMENTS	82	59,105
UNITS IN FACILITIES SUPPORTED WITH OPERATING COSTS	48	309,162
TOTAL	403**	1,303,549

* Reflects actual amount of funds reimbursed to HOPWA sponsors for the period covered by this performance report.

**Total figure reflects 3 households that received both short-term payments and rental assistance.

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**TABLE 51
2012 HOPWA PROGRAM
LEVERAGED DOLLARS***

Sources of Leverage		Amount of Leveraged Funds
1	Federal government	2,203,840
2	State government	352,382
3	Local government	199,221
4	Foundations and other private cash resources	2,416
5	In-kind Resources	700
6	Resident rent payments by client to private landlord	473,084
7	Grantee/project sponsor (Agency) cash	145,857
8	TOTAL (Sum of 1-7)	3,377,500

* The leveraged sources and amounts are for the current operating year and are as stated by HOPWA providers contracting with NYS OTDA.

**TABLE 52
2012 HOPWA PROGRAM
COMPARISON TO PLANNED ACTIONS**

TYPE OF UNIT	ESTIMATED UNITS	ACTUAL UNITS
RENTAL ASSISTANCE	270	273
SHORT-TERM/EMERGENCY HOUSING PAYMENTS	140	82
UNITS IN FACILITIES SUPPORTED W/ OPERATING COSTS	30	48
TOTAL	440	403*

*Total includes 3 households who received both rental assistance and short-term housing payments

Project Outcomes: 96% of clients receiving tenant-based rental assistance maintained stable housing conditions.

95% of clients receiving facility-based housing assistance maintained stable housing conditions.

98% of clients receiving short-term rent, mortgage, and utility assistance maintained stable housing conditions.

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**TABLE 53
2012 HOPWA PROGRAM
PERFORMANCE OUTCOMES FOR HOUSING STABILITY**

**Section 1
Housing Stability: Assessment of Client Outcomes on Maintaining Housing Stability
(Permanent Housing and Related Facilities)**

[A] Permanent Housing Assistance	[1] Total Number of Households Receiving Housing Assistance	[2] Assessment: Number of Households Continuing with this Housing (per plan or expectation for next year)		[3] Assessment: Number of Exited Households and Housing Status	
Tenant-based Rental Assistance	273		225	1 Emergency Shelter/Streets	= 1
				2 Temporary Housing	= 3
				3 Private Housing	= 21
				4 Other HOPWA	= 0
				5 Other Subsidy	= 17
				6 Institution	= 0
				7 Jail/Prison	= 1
				8 Disconnected/Unknown	= 2
				9 Death	= 3
Permanent Supportive Housing Facilities / Units	16		12	1 Emergency Shelter/Streets	= 0
				2 Temporary Housing	= 0
				3 Private Housing	= 2
				4 Other HOPWA	= 0
				5 Other Subsidy	= 0
				6 Institution	= 0
				7 Jail/Prison	= 2
				8 Disconnected/Unknown	= 0
				9 Death	= 0
[B] Transitional Housing Assistance	[1] Total Number of Households Receiving Housing Assistance	[2] Of the Total Number of Households Receiving Housing Assistance this Operating Year		[3] Assessment: Number of Exited Households and Housing Status	
Transitional / Short-term Supportive Housing Facilities / Units	32	Total number of households that will continue in residences	6	1 Emergency Shelter/Streets	= 0
			0	2 Temporary Housing	= 0
				3 Private Housing	= 23
				4 Other HOPWA	= 0
				5 Other Subsidy	= 2
				6 Institution	= 1
				7 Jail/Prison	= 0
				8 Disconnected/unknown	= 0
				9 Death	= 0

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**TABLE 53
2012 HOPWA PROGRAM
PERFORMANCE OUTCOMES FOR HOUSING STABILITY**

**Section 2
Prevention of Homelessness: Assessment of Client Outcomes on Reduced Risks of Homelessness
(Short-Term Housing Assistance)
Assessment of Households Receiving STRMU Assistance**

[1] STRMU Housing Assistance	[2] Assessment of Housing Status		[3] HOPWA Client Outcomes
82	Maintain Private Housing without subsidy (e.g. Assistance provided/completed and client is stable, not likely to seek additional support)	24	Stable/Permanent Housing (PH)
	Other Private Housing without subsidy	4	
	Other HOPWA support (PH)	1	
	Other housing subsidy (PH)	6	
	Institution (e.g. residential and long-term care)	0	
	Likely to maintain current housing arrangements, with additional STRMU assistance	46	Temporarily Stable with Reduced Risk of Homelessness
	Transitional Facilities/Short-term (e.g. temporary or transitional arrangement)	0	
	Temporary/non-permanent Housing arrangement (e.g. gave up lease, and moved in with family or friends but expects to live there less than 90 days)	0	
	Emergency Shelter/Streets	0	Unstable Arrangements
	Jail/Prison	1	
	Disconnected	0	
	Death	0	Life Event
1a. Total number of households that received STRMU assistance in the prior operating year that also received STRMU assistance in the current operating year.			32
1b. Total number of those households that received STRMU assistance in the two prior operating years that also received STRMU assistance in the current operating year.			21

NEW YORK STATE 2012 PERFORMANCE REPORT

**TABLE 53
2012 HOPWA PROGRAM
PERFORMANCE OUTCOMES FOR HOUSING STABILITY**

**Section 3
Determining Housing Stability Outcomes**

Permanent Housing Assistance	Stable Housing (# of households remaining in program plus 3+4+5+6=#)	Temporary Housing (2)	Unstable Arrangements (1+7+8=#)	Life Events (9)
Tenant-based Rental Assistance (TBRA)	263	3	4	3
Permanent Facility-based Housing Assistance/Units	14	0	2	0
Transitional/Short-term Facility-based Housing Assistance/Units	32	0	0	0
Total Permanent HOPWA Housing Assistance	309	3	6	3
Reduced Risk of Homelessness: Short-term Assistance	Stable/Permanent Housing	Temporarily Stable, with Reduced Risk of Homelessness	Unstable Arrangements	Life Events
Short-Term Rent, Mortgage, and Utility Assistance (STRMU)	35	46	1	0
Total HOPWA Housing Assistance	344	49	7	3

Background on HOPWA Housing Stability Codes

Stable Permanent Housing/Ongoing Participation

3 = Private Housing in the private rental or home ownership market (without known subsidy, including permanent placement with families or other self-sufficient arrangements) with reasonable expectation that additional support is not needed.

4 = Other HOPWA-funded housing assistance (not STRMU), e.g. TBRA or Facility-based Assistance.

5 = Other subsidized house or apartment (non-HOPWA sources, e.g., Section 8, HOME, public housing).

6 = Institutional setting with greater support and continued residence expected (e.g., residential or long-term care facility).

Temporary Housing

2 = Temporary housing - moved in with family/friends or other short-term arrangement, such as Ryan White subsidy, transitional housing for homeless, or temporary placement in institution (e.g., hospital, psychiatric hospital or other psychiatric facility, substance abuse treatment facility or detox center).

Unstable Arrangements

1 = Emergency shelter or no housing destination such as places not meant for habitation (e.g., a vehicle, an abandoned building, bus/train/subway station, or anywhere outside).

7 = Jail /prison.

8 = Disconnected or disappeared from project support, unknown destination or no assessments of housing needs were undertaken.

Life Events

9 = Death, i.e., remained in housing until death. This characteristic is not factored into the housing stability equation.

Tenant-based Rental Assistance: **Stable Housing** is the sum of the number of households that (i) remain in the housing and (ii) those that left the assistance as reported under items: 3, 4, 5, and 6. **Temporary Housing** is the number of households that accessed assistance, and left their current housing for a non-permanent housing arrangement, as reported under item 2.

NEW YORK STATE 2012 PERFORMANCE REPORT

Unstable Situations is the sum of numbers reported under items: 1, 7, and 8.

Permanent Facility-based Housing Assistance: Stable Housing is the sum of the number of households that (i) remain in the housing and (ii) those that left the assistance as shown as items: 3, 4, 5, and 6. **Temporary Housing** is the number of households that moved in with family or friends or into another short-term arrangement as shown in item 2.

**TABLE 54
2012 HOPWA PROGRAM
SUPPORTIVE SERVICES PROVIDED**

	Supportive Services	Households Receiving HOPWA Assistance	HOPWA Funds Expended [in Dollars]
1	Adult day care and personal assistance	0	0
2	Alcohol and drug abuse services	0	0
3	Case management/client advocacy/ access to benefits and services	171	313,782
4	Child care and other child services	0	0
5	Education	0	0
6	Employment assistance and training	0	0
7	Health/medical/intensive care services, if approved*	0	0
8	Legal services	0	0
9	Life skills management (outside of case management)	0	0
10	Meals/nutritional services	0	0
11	Mental health services	0	0
12	Outreach	0	0
13	Transportation	0	0
14	Other Activity: Site Inspection	66	9,063
15	Adjustment for Duplication (subtract)	66	N/A
16	TOTAL Households receiving Supportive Services (unduplicated)	171	322,845

* Client records must conform with 24 CFR §574.310

**TABLE 55
2012 HOPWA PROGRAM
HOPWA OUTCOMES ON ACCESS TO SUPPORTIVE SERVICES**

**Part 1A
Status of Households Accessing Care and Support by Project Sponsors Delivering HOPWA Housing Assistance/Housing Placement/Case Management**

Categories of Services Accessed	Households Receiving Housing Assistance within the Operating Year	Outcome Indicator
1 Has a housing plan for maintaining or establishing stable on-going housing	344	<i>Support for Stable Housing</i>
2 Has contact with case manager/benefits counselor consistent with the schedule specified in client's individual service plan	318	<i>Access to Support</i>
3 Had contact with a primary health care provider consistent with the schedule specified in client's individual service plan	343	<i>Access to Health Care</i>
4 Has accessed and can maintain medical insurance/assistance	368	<i>Access to Health Care</i>
5 Successfully accessed or maintained qualification for sources of income	400	<i>Sources of Income</i>

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Part 1B Number of Households Obtaining Employment

Categories of Services Accessed	Number of Households that Obtained Employment	Outcome Indicator
Total number of households that obtained an income-producing job	13	<i>Sources of Income</i>

Part 2A Status of Households Accessing Care and Support through HOPWA-funded Services Receiving Housing Assistance from Other Sources

Categories of Services Accessed	Households Receiving HOPWA Assistance within the Operating Year	Outcome Indicator
1 Has a housing plan for maintaining or establishing stable on-going housing	N/A	<i>Support for Stable Housing</i>
2 Successfully accessed or maintained qualification for sources of income	N/A	<i>Sources of Income</i>
3 Had contact with a primary health care provider consistent with the schedule specified in clients individual service plan	N/A	<i>Access to Health Care</i>
4 Has accessed and can maintain medical insurance/assistance	N/A	<i>Access to Health Care</i>
5 Has contact with case manager, benefits counselor, or housing counselor consistent with the schedule specified in client's individual service plan	N/A	<i>Access to Support</i>

Part 2B Number of Households Obtaining Employment

Categories of Services Accessed	Number of Households that Obtained Employment	Outcome Indicator
Total number of households that obtained an income-producing job	N/A	<i>Sources of Income</i>

NEW YORK STATE 2012 PERFORMANCE REPORT

TABLE 56
2012 HOPWA PROGRAM
PERFORMANCE PLAN GOALS AND ACTUAL OUTPUT

HOPWA Performance Planned Goals and Actual Outputs		Output Households				Funding	
		HOPWA Assistance		Non-HOPWA			
		a.	b.	c.	d.	e.	f.
		Goal	Actual	Goal	Actual	HOPWA Budget	HOPWA Actual
Housing Subsidy Assistance		Output Households				Funding	
1	Tenant-based Rental Assistance	270	273	8	8	1,234,145	935,282
2a	Households in permanent housing facilities that receive operating subsidies/leased units	10	16	16	16	137,755	132,534
2b	Households in transitional/short-term housing facilities that receive operating subsidies/leased units	20	32	0	0	179,386	176,628
3a	Households in permanent housing facilities developed with capital funds and placed in service during the program year	0	0	0	0	0	0
3b	Households in transitional/short-term housing facilities developed with capital funds and placed in service during the program year	0	0	0	0	0	0
4	Short-term Rent, Mortgage and Utility Assistance	140	82	13	13	105,972	59,105
5	Adjustments for duplication (subtract)	0	3	0	0	0	0
6	Sub-Total	440	400	37	37	1,657,258	1,303,549
Housing Development (construction and stewardship of facility-based housing)		Output Households				Funding	
7	Facility-based units being developed with capital funding but not opened (units of housing planned)	0	0	0	0	0	0
8	Stewardship Units subject to 3 or 10 year use agreements	0	0	0	0	0	0
9	Sub-Total	0	0	0	0	0	0
Supportive Services		Output Households				Funding	
10a	Supportive Services provided by project sponsors also delivering HOPWA housing assistance	119	171	0	0	336,433	313,782
10b	Supportive Services provided by project sponsors that only provided supportive services.	0	0	0	0	0	0
11	Adjustment for duplication (subtract)	0	0	0	0	0	0
12	Sub-Total	119	171	0	0	336,433	313,782
Housing Placement Assistance Activities		Output Households				Funding	
13	Housing Information Services	N/A	66	N/A	N/A	9,063	9,063
14	Permanent Housing Placement Services	N/A	0	N/A	N/A	0	0
15	Adjustment for duplication	N/A	0	N/A	N/A	N/A	0
16	Sub-Total	N/A	66	N/A	N/A	9,063	9,063
Grant Administration and Other Activities		Output Households				Funding	
17	Resource Identification to establish, coordinate and develop housing assistance resources	N/A	N/A	N/A	N/A	32,967	32,689
18	Technical Assistance (if approved in grant agreement)	N/A	N/A	N/A	N/A	0	0
19	Grantee Administration (maximum 3% of total HOPWA grant)	N/A	N/A	N/A	N/A	64,644	43,859
20	Project Sponsor Administration (maximum 7% of portion of HOPWA grant awarded)	N/A	N/A	N/A	N/A	54,445	52,896
21	Sub-Total	N/A	N/A	N/A	N/A	152,056	129,444
Total Expenditures*		N/A	N/A	N/A	N/A	2,154,810	1,755,838

*For Program Year 2012 (Sum of rows 6, 9, 12, 16, and 21)

NEW YORK STATE 2012 PERFORMANCE REPORT

TABLE 57
2012 HOPWA PROGRAM
ASSESSMENT OF UNMET NEEDS

1 Total number of households that have unmet housing needs	
2.4.3 From Item 1, identify the number of households with unmet housing needs by type of housing assistance	
a Tenant-based Rental Assistance (TBRA)	180
b Short-term Rent, Mortgage and Utility payments (STRMU)	0
c Housing Facilities, such as community residences, SRO dwellings, other housing facilities	0

*Represents the number on wait lists for housing assistance across New York State as of 12/31/12.

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3. Actions to Affirmatively Further Fair Housing

New York State Homes and Community Renewal (HCR) includes the integration of the following state major housing and community renewal agencies: Housing Finance Agency (HFA), Affordable Housing Corporation (AHC), Division of Housing & Community Renewal (DHCR), Housing Trust Fund Corporation (HTFC), State of New York Municipal Bond Bank Agency (MBBA), State of New York Mortgage Agency (SONYMA), SONYMAs Mortgage Insurance Fund (MIF) and the Tobacco Settlement Financing Corporation (TSFC). HCR is charged with and committed to affirmatively furthering fair housing. It is integral to our core mission and goal to ensure that all citizens of New York State have equal access to safe, decent and affordable housing and to fair housing choice.

HCR's Office of Fair Housing and Equal Opportunity (OFHEO) has the responsibility to ensure that fair housing laws are followed pursuant to:

- Fair Housing Act of 1968 - Title VIII.
- Presidential Executive Order #11063 (requires equal opportunity in housing).
- Presidential Executive Order #11246 (requires affirmative action programs in federally-assisted construction projects).
- Section 3 of the Housing and Urban Development Act of 1968 (12 U.S.C. 1701u, Section 3).
- NYS Executive Law Article 15-A (requires employment and business opportunities for Minority and Women Owned Businesses [M/WBEs] in all State agencies and authorities on contracted projects. Additionally, it is important to note that the Office of the Governor has mandated that State agencies and authorities increase M/WBE participation by 20%).
- Executive Order #6 (ensures equal employment opportunities for minorities, women, disabled persons and Vietnam veterans in state government employment).
- Executive Order #19 (prohibits sexual harassment and intimidation in the workplace).

Please note: An emerging opportunity to advance fair housing

Hurricane Sandy significantly changed the way HCR views current housing needs and how the destruction of the hurricane has forced many of our citizens to become virtually homeless. New York City was one of the hardest hit regions and many housing structures were damaged or completely destroyed.

It is encouraging to note that the Governor announced the creation of a new \$1 billion House NY Program to create new or preserve over 14,000 housing units over the next five (5) years. This multi-year initiative will include the revitalization of 45 Mitchell-Lama affordable housing projects that suffer from significant physical deterioration, the creation and preservation of over 5,000 affordable housing units through various housing and community development programs, and other initiatives. As part of the House NY Program, the Mitchell-Lama affordable housing asset portfolio will be transferred from Empire State Development Corporation to HCR. These initiatives will enhance HCR's responsibility to ensure safe, decent and affordable housing for all New Yorkers, and will also increase the obligation to enforce rules, regulations and laws to protect them. In light of these challenges, HCR is committed and will continue to work aggressively to address and aid in the elimination of discriminatory actions which may impact on housing choices.

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3.1 Affirmative Marketing Plans (AMPs)

OFHEO is responsible for responding to the HCR's ever expanding role of reviewing and approving Affirmative Marketing Plans (AMP) which are required by awardees of capital program funding and tax credit projects for compliance with State, Federal and Civil Rights Laws. The AMP is a very useful tool that can be utilized to monitor the progress of fair housing and ensures that appropriate initiatives are continually being utilized in housing markets. Our role falls under the auspices of the Fair Housing Act, its amendments; Section 504 of the Rehabilitation Act and the NYS Human Rights Law. These statutes prohibit discrimination in the sale or rental of housing based on race, religion, color, national origin, sex, familial status, age, disability, sexual orientation, military status and/or marital status. OFHEO continues to work proactively with awardees and their representatives on the preparation of the AMP to meet the criteria developed in order to comply with applicable State and Federal laws. OFHEO reviews, evaluates and approves the awardees' AMPs to ensure compliance with outreach, marketing/advertising, accessibility/adaptability requirements, special needs populations, least-likely-to-apply (LLA) populations, community contacts, tenant selection procedures, staff training, marketing strategies, record keeping and Title VIII of the Federal Fair Housing Act. The AMPs must contain marketing strategies to target minority groups including the disabled community, which will assist with outreach and placement. Advertisements for rentals and sales must contain the fair housing and accessibility logos as well as language stating the accessibility/adaptability of any units. OFHEO also provides technical assistance to awardees with respect to marketing, particularly in the areas of outreach to the LLA populations. Each Plan must adhere to the following:

- Register the project with www.NYHousingSearch.gov
- Document the number of accessible/adaptable units available for visually and hearing impaired persons.
- Describe the process for handling reasonable accommodations request(s).
- Indicate if the project has a Telecommunication Device for the Deaf (TDD) or an equally effective communication system (If Sec. 8 assistance is received from HUD, the complex is required to have a TDD).
- Provide descriptions of any procedures to aid the hearing and sight impaired.
- Provide a listing of efforts to market special needs units to the identified LLA populations.
- State management's policy to verify a person's disability.
- Discuss provisions for disabled persons who require service and/or companion animals.
- Demonstrate that persons with disabilities are granted the same choices as other applicants.
- State how the project will be marketed, including, but limited to commercial media to be used; newspapers/publications, etc. and identify the publications that circulate to the LLA populations.
- Ensure the Fair Housing and Accessibility Logos are included on all print materials.
- List community contacts and organizations serving LLA populations.
- List organizations serving populations served.
- Ensure that Tenant Selection procedures are made on a random basis through the use of a lottery system, if applicable.
- Describe how applications are made available to prospective tenants.
- Ensure that NO fees are assessed to prospective applicants including, but not limited to application/credit report.
- Applicant must identify any fair housing training conducted or attended by their employees.
- Provide management policy on smoking.
- Maintain complete and accurate project records as outlined in the AMP recognizing that those records may be required for auditing purposes.

In addition to the required review and approval of the AMPs, the agency's Housing and Asset Management unit performs site visits to monitor project compliance. As part of that review, the staff takes copies of the Regulatory Agreement which contains a copy of the OFHEO approved AMP to determine if the Awardee is complying with the AMP and applicable fair housing laws.

In 2012, 71 AMPs were evaluated and approved.

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3.2 Update of the Analysis of Impediments

HCR and the Division Human Rights (DHR) entered into a Memorandum of Understanding (MOU) affirming both agencies' commitment to develop and implement strategies and actions to overcome impediments to fair housing. The agencies will work collaboratively to eliminate and prevent discrimination in housing on the basis of race, creed, color, national origin, sex, age, disability, familial status or any other characteristic protected by law. Together, HCR and DHR will provide education and conduct outreach activities to the general public, as well as provide technical training for housing industry representatives and other organizations.

Although those impediments which were identified by HCR in the approved 2011-2015 Consolidated Plan still exist, (Social Attitudes, Discriminatory Lending Practices, Regulatory Barriers and Foreclosures), we have identified additional impediments which continue to exist. These barriers include but are not limited to the following:

- Homeowners/renters paying housing expenses which exceed their available housing income.
- Need for additional affordable homeownership options.
- Poorly maintained housing which has a significant impact on federal protected class individuals.
- Lack of sufficient Accessible/Adaptable Housing for persons with disabilities.
- Citizens lack of knowledge and understanding of fair housing laws and requirements.
- Discriminatory practices which impact fair housing choices.

An analysis of the impediments to fair housing suggests that a lack of information and understanding of the complex systems of support and services limit the achievement of fair housing and fair housing choices.

HCR will continue to focus on preventing barriers to fair housing through the many programs it implements which serve citizens of the state. These services and programs include, but are not limited to the following:

Capital Programs

- Farmworker Housing Program (FWH)
- Homes of Working Families Initiative (HWF)
- Housing Development Fund (HDF)
- Legislative Member Item Program (MIP)
- Low-Income Housing Trust Fund Program (HTF)
- New York State HOME Program (HOME)
- Rural Rental Assistance Program (RRAP)

Tax Credit/Capital Programs

- Low-Income Housing Credit Program (LIHC)
- New York State Low-Income Housing Tax Credit Program (SLIHC)

SONYMA

- SONYMA Products for First-Time Homebuyers

Locally Administered Programs

- Access to Home Program
- Greater Catskills Flood Remediation Program
- National Foreclosure Mitigation Counseling (NFMC)
- Neighborhood Preservation Companies Program (NPP)
- New York Main Street (NYMS)

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- NYS Community Development Block Grant (CDBG)
- Manufactured Home Replacement Initiative (MHRI) Rural Area Revitalization Projects (RARP)
- Residential Emergency Services to Offer (Home) Repairs to the Elderly (RESTORE)
- Rural Preservation Companies Program (RPP)
- Urban Homeownership Assistance Program (UHAP)
- Weatherization Assistance Program (WAP)

State Managed Programs

- Anti-Drug Program
- Assets for Independence (AFI) Program
- Asset Management
- Manufactured Home Park Program
- Mitchell-Lama Housing Program
- Nursing Home Transition and Diversion Housing Subsidy Program (NHTD)
- Public Housing
- Section 8 Housing Choice Voucher Program
- Section 8 Project-Based Contract Administration

Suggested strategy: It is recommended that all of the above housing programs be presented at various times and in all communities of the State such as, town hall meetings, local civic groups, community organizations, churches, senior centers programs, neighborhood groups and other associations to provide training, information and education on the wide range of programs and essential services that HCR has to offer.

3.3 Analysis of Impediments – Priority Issues

Based on previous analogies, HCR identified a lack of affordable housing for large families, the disabled and other groups; lack of education on fair housing; and the need for local governments to address barriers. The Affirmative Marketing Plan administered by the agency is used to ensure awardees market projects effectively to minority and majority populations including the “least likely to apply” from the same income group in a broad market area. The AMP guideline was amended to better assist awardees in completing non-discriminatory plans. OFHEO specifically addresses existing impediments which discriminate on the basis of race, color, religion, sex, national origin, familial status, age or disability as stated in the agency’s Affirmative Marketing Plan.

3.3.1 Create More Affordable Units

HCR continued to expand its efforts to acquire additional financing for the development of affordable housing. Funding to support affordable housing initiatives and awards for development, rehabilitation, home buyer assistance and tax credit programs have generated greatly increased housing development activity statewide. Funds assist not-for-profits and private developers in the creation of safe, decent and affordable housing for seniors, people with disabilities and working families throughout the State.

NYHousingSearch.gov continues to provide an affordable, accessible housing listing and locator service. The site provides free listing services for owners and free searching services for potential tenants. The directory search criteria can be performed by area, number of bedrooms and various other amenities.

NYHousingSearch.gov allows people to locate available housing that meets their individual and family needs at a rent they can afford. It can be accessed online 24-hours a day and is supported by a toll-free, bi-lingual call center Monday-Friday, 9am-8pm Eastern Time. The fast, easy-to-use free search allows people look for rental housing using a wide variety of criteria and special mapping features. Housing listings display detailed information about each unit. The service also provides links to housing resources and helpful tools for renters such as an affordability calculator, rental checklist and information about renter rights and responsibilities.

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Property owners and managers, including housing authorities and private landlords, can use this service to manage their property listings free of charge. Listings can include pictures, maps, and information about nearby amenities. Property owners and housing authorities can register and manage their listings online or via phone and fax. The site uses software created by Socialserve.com, a national non-profit provider of housing locator services. Socialserve.com is responsible for maintaining the site and providing toll-free call center support.

NYHousingSearch.gov is a partnership of New York State Homes and Community Renewal, the New York State Department of Health's Money Follow the Person Rebalancing Demonstration Program, and the Office of Persons with Developmental Disabilities Real Choice Initiative. This initiative has been recognized as a model collaboration activity by the Centers for Medicaid Services.

Mixing Tenant Income Groups - Mixing low, moderate, and middle income residents will make housing developments more financially viable, as well as meet the gap in affordable housing for New York's moderate and middle income families and seniors.

Assisting with Closing Costs - Many items cited are eligible to be funded under the Affordable Homeownership Development Program and are eligible costs under the SONYMA Forward Commitment Program, the HOME program, or the NYS CDBG program.

Reducing Energy Costs - Faced with the highest heating costs in the country, New York State administers several programs aimed at helping low-income households reduce their heating costs. The Low Income Home Energy Assistance Program provides assistance to low-income households by paying heating costs. Also, the Weatherization Assistance Program has saved billions of dollars for low-income households and made significant advances in conservation technology. The program may be used with HOME, the NYS CDBG Program, and other housing repair programs.

Developing Portable Accessory Apartments and Elder Cottages – The respective State-enabling statutes specifically confer the power to zone on cities, towns, and villages as part of the general police powers of the municipalities. They provide that for the purpose of promoting public health, safety, morals or general welfare, a local legislature may regulate and restrict the height, bulk, and location of buildings, the area of yards and open spaces, the density of population in certain areas, and the locations of buildings intended for particular uses. Elder Cottage Housing Opportunities (ECHO) units are feasible only in those municipalities where local zoning permits.

3.3.2 Provide More Education on Fair Housing Laws

OFHEO will continue to provide training and educational forums to awardees for compliance and updates regarding fair housing laws. Staff members will provide information and answer questions from participants on the Affirmative Marketing Plan Guidelines. In addition, staff will continue to provide guidance on affirmatively furthering fair housing to members of the affordable housing community doing business in New York State. OFHEO staff will participate in appropriate fair housing training and develop a fair housing training manual to be used in future workshops, forums and symposiums.

As stated in HCR's Analysis of Impediments to Fair Housing, OFHEO monitors HCR's policies and procedures used in various housing programs to ensure that housing discrimination does not occur within these programs. OFHEO supports the agency's goal of providing housing opportunities to households of all ages, races and income levels throughout New York State's housing markets and strives for change to eliminate policies, regulations, and programs that have a disparate impact on groups identified by race, ethnicity, economic status, or disability.

For Program Year 2012 the NYS CDBG program continued to award points to applicants toward their total score in housing applications for their efforts to provide assisted housing to low- and moderate-income families in ways that promoted housing choice. In PY 2012, the State's scoring allowed for up to 5 points on a 100 point scale to be provided to municipalities who could demonstrate that they had established and formally adopted a fair housing plan that was periodically updated and who provided a description of fair housing activities that clearly demonstrated compliance with their established plan.

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In addition to the above, NYS CDBG program recipients are responsible for taking specific actions to affirmatively further fair housing practices in their communities. Participants must affirmatively further fair housing in soliciting participating households, determining eligibility, and in conducting all transactions. The Grant Administration Manual explicitly outlines the fair housing provisions and steps which must be taken by communities to achieve “good faith efforts” in their public outreach to ensure fair housing compliance. Recipients are required to document all actions taken, and the results of those actions, in developing a fair housing/affirmative marketing program. To ensure compliance, recipients are monitored for compliance with Fair Housing requirements at least once during the life of a grant.

3.3.3 Support Local Government Initiatives to Affirmatively Further Fair Housing

HCR continues to support the efforts and programs implemented by local governments, as well as provide assistance in identifying impediments to housing choice where they may occur. The State continues to vigorously monitor and analyze impediments and barriers.

Rural Zoning Issues - The State encourages the development of affordable housing and provides technical assistance in accordance with local zoning laws. Rural housing providers need to discuss zoning issues with municipalities that affect the cost of housing, and they must educate officials about problems they encountered.

3.4 Fair Housing Outreach and Response

With the integration of the housing programs, OFHEO has assumed a greater focus on housing issues and staff training on all facets of fair housing.

OFHEO receives housing complaints and inquiries from complainants throughout the State. The complaint/inquiry is reviewed, documented and directed to the appropriate federal, State and/or local government entity for resolution.

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4. Progress in Providing Affordable Housing

It is New York State's goal to create decent housing that is available, affordable, and sustainable for its residents. There is a shortage of affordable housing in New York State as evidenced by generally low vacancy for both rental and home ownership housing. This shortage creates a range of problems including cost burden and overcrowding. The State seeks to increase the number of decent and affordable housing units, thereby addressing the problems of overcrowding, substandard units, and cost burden.

The State's activities under this objective have increased the supply of affordable housing through the use of the HOME program. The impact depends on the amount of HOME funds made available by the federal government to New York. Assisted households and families are provided a new opportunity to access affordable housing. The HOME program is operating more efficiently than in the past, but a 43% reduction in the state's annual allocation for 2012 has seriously hurt our progress in providing affordable Housing. The State anticipates adjustments to its five year production goals.

The State has funded more family housing and more small projects sponsored by community-based housing organizations. These projects tend to take longer to develop (especially family projects, where local opposition is often encountered), and as a result unit completions were somewhat lower than expected. Still, in 2012, the State completed 313 rental units, (compared with the Action Plan goal of assisting 280 rental units).

Among other things, New York State provides rental subsidies to extremely low- and low-income households. HCR operates a statewide Section 8 rental assistance program. Unfortunately, there are very long waiting lists across the State indicating a strong unmet demand for this type of assistance. Even with vouchers, households may still have cost burdens if decent, affordable units are not available and the household must pay 30 percent of its income for rent.

New York State also provides mortgages with below market interest rates to first-time home buyers. Down payment and closing cost assistance, and mortgage guarantees are additional forms of assistance which help enable those with low- incomes to afford homes. All of the State's assistance activities are aimed at low and moderate income households.

The impact on addressing this need is dependent upon the amount of resources discussed earlier, primarily HOME funds and the ability to leverage and match resources. Assistance with HOME funds makes housing more affordable for many low-income persons and families. Such resources allow the State to impact on the accessibility of affordable housing by low -income New Yorkers.

In furtherance of this objective, during Program Year 2012, the HOME program provided 65 families the opportunity to become homeowners. This years' number is lower than anticipated due to market changes resulting from the foreclosure crisis and significant cuts in HOME program funds.

The NYS CDBG program is on track to achieve the goal of 3,500 units of rehabilitation as set forth in the 2011-2015 Consolidated Plan. In PY 2012 a total of 585 units of housing were rehabilitated from funding provided under the Competitive Round for a total of 1,293 units rehabilitated during the first two years of the Consolidated Plan.

Through funding for home ownership activities, the NYS CDBG program is on track to meet the goal of 575 low-and moderate-income homebuyers as outlined in the 2011-2015 Consolidated Plan. In PY 2012, 69 households were assisted with home ownership opportunities for a total of 175 households assisted during the first two years of the Consolidated Plan.

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4.1 Addressing Worst Case Needs

The NYS CDBG program is a funding source used by New York's smaller municipalities and rural areas for housing rehabilitation to meet worst-case needs: helping low-income households who either pay more than half their income towards housing costs or who live in seriously substandard housing.

The majority of units rehabilitated under the NYS CDBG program contain multiple hazardous conditions due to their age and lack of routine maintenance/replacement of mechanical components. Lack of full-function plumbing and heating components, extremely hazardous electrical systems, leaky roofs and windows, and severe structural deficiencies are common in the older housing typically occupied by low-income owners/tenants. Recipient municipalities use their grants to help restore this housing to code and eliminate the substandard condition of the units, vastly improving the impoverished living conditions of the inhabitants while preventing widespread deterioration of neighborhoods (in undertaking "target area" projects) or scattered site, affordable housing (in non-target area projects).

Such efforts also forestall the loss of the stock of older housing affordable for rent by lower income residents in rural and suburban areas and small towns. Few government-subsidized apartments exist in the localities eligible for the NYS CDBG program. The rising cost of land makes construction of affordable units for rent or purchase very difficult, so retention of the older housing stock is often the more viable option.

Housing Choice Vouchers

HCR has statewide responsibility for the administration of 41,117 Section 8 Housing Choice Vouchers allocated by HUD. Each year, these vouchers provide assistance to thousands of income-eligible households. Through its own Subsidy Services Unit and/or via subcontracts with a network of Local Administrators, the program is delivered to extremely-low, very-low and low-income families in 50 of the State's 62 counties.

As compared to 2010, the overall level of Housing Assistance Payments increased by \$17.7 million dollars. The increase is reflective of continued economic difficulties facing program participants. Although the average monthly number of families assisted by only 1.7%, the 6.9% increase in housing assistance outlay suggests that average incomes of assisted families has decreased over the period.

4.2 Addressing Persons with Disabilities and Other Special Needs

It is New York State's goal to address the shelter, housing, and services needs of the homeless, those threatened with homelessness and those with other special needs. New York pursues this goal through a variety of activities which make decent housing more available/accessible (Objective/Outcome DH-1) and affordable (DH-2) and suitable living environments more available/accessible (SL-1).

The need for housing and supportive housing for the homeless, the frail elderly, persons with disabilities, and other segments of the New York's population is well documented. To address this objective, New York continues to use a variety of federal and State programs to provide shelter, housing and/or services. The programs that further this priority use a range of activities including: acquisition; new construction and rehabilitation to develop shelters; SRO developments; community residences; and traditional housing accommodations.

The Emergency Solutions Grants (ESG) and the Housing Opportunities for Persons with AIDS (HOPWA) Programs are having an impact by helping the State achieve this objective. These programs fund many organizations that provide housing for those who are homeless and for persons with special needs. The five year goals outlined in the Consolidated Plan, under this objective, will be achieved. Awarding of grants and expenditures of funds are in line with projections. These programs, and achievements of this objective, further the goal of providing decent housing.

Proposals to address the shelter needs of homeless persons, prevent very low-income persons from becoming homeless, and assist special needs persons are welcomed by the HOME program. Information about applications received in PY 2012 which

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included such activities is available upon request.

Most Integrated Setting Coordinating Council (MISCC)

Chapter 551 of the Laws of 2002 created a Most Integrated Setting Coordinating Council (MISCC) within the Executive Department to develop and oversee the implementation of a comprehensive statewide plan for providing services to disabled individuals in the most integrated setting possible. Specifically, the Council is comprised of eleven agency heads and nine external Gubernatorial and Legislative appointees. The Division of Housing and Community Renewal is a participating member of this Council. The Council is required to meet at least quarterly and produce a Comprehensive Plan for services to disabled New Yorkers in the most integrated setting possible.

In addition to the initial report, the Council must provide annual updates to the Governor and Legislature reporting implementation, outcomes, updates, and future actions planned. MISCC must contract with an independent organization with expertise in community-based services and program evaluation research to evaluate the initial plan and its implementation. Each member of MISCC who is a commissioner or director must ensure implementation of every aspect of the plan which falls under his or her area of responsibility. MISCC must oversee overall plan implementation and revision, as needed to ensure that persons on waiting lists are placed in most integrated settings at a reasonable pace.

The Nursing Home Transition and Diversion Housing (NHTD) Subsidy Program

The NHTD Housing Subsidy is funded through an annual State appropriation of approximately \$2.3 million to the Department of Health (DOH) to be administered in partnership with DHCR. DHCR has been able to offer this housing opportunity in every county in the State by utilizing HCR Section 8 Local Administrators (LAs) under contract in 50 counties in conjunction with Section 8 PHAs in counties outside of HCR's Section 8 Jurisdiction. The NHTD Housing Subsidy is administered in a manner parallel to the Section 8/Housing Choice Voucher Program in coordination with the DOH Regional Resource Development Centers. In a historic partnership that evolved through the MISCC Housing Committee, DOH providers and HCR housing experts are working together in a new and innovative manner to transition and divert individuals from institutional settings. The program grew significantly in 2012, and as of January 1, 2013, a total of 330 households participate in the subsidy program. The program participants include a mix of those transitioning from nursing homes and being diverted from nursing home placement.

The Olmstead Plan Development and Implementation Cabinet

The August 2012 Executive Order #84 established the Olmstead Plan Development and Implementation Cabinet (the "Cabinet") to provide guidance and advice to the Governor. The Order identified the Commissioner of HCR as one of twelve State agency Cabinet members.

The Cabinet shall make recommendations to the Governor concerning the development, implementation and coordination of an Olmstead Plan (the "Plan") for the State of New York. In making such recommendations, the Cabinet shall consider potential elements of the Plan, including but not limited to:

- Identification of the essential requirements of compliance with Olmstead and the Americans with Disabilities Act.
- Assessment procedures to identify people with disabilities who could benefit from services in a more integrated setting and the development of a coordinated assessment process for individuals of all ages with disabilities in need of services.
- Measurable progress goals for achieving integrated residential living, including transition goals from segregated to residential housing and employment opportunities for people with disabilities.
- measurable goals for providing supports and accommodations necessary for successful community living;
- Statutory and regulatory changes to implement the Plan.
- A coordination strategy for the work of state agencies and authorities to implement the Plan, including specific and reasonable timeframes for implementation.
- Actions to promote community understanding of and support for integrated residential living for people with disabilities.
- other appropriate measures to achieve and implement a comprehensive and unified Plan; and
- How best to maximize available resources in support of the Plan.

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In developing recommendations for the development of the Olmstead Plan and its implementation and coordination, the Cabinet shall consult with the Most Integrated Setting Coordinating Council and other relevant entities and stakeholders concerned with development and implementation of the Olmstead Plan.

Supportive Housing Agreement between New York State and New York City (NY/NY III)

NY/NYIII commits five New York State and five New York City agencies to develop a total of 9,000 supportive housing units within New York City over the next ten years. Supportive housing is defined as the pairing of rental assistance and supportive services in either a congregate building constructed or renovated for this purpose or in scattered-site apartments acquired for the purposes of housing. The target populations for housing developed under NY/NY III are individuals and families with serious mental illness, persons with disabling substance abuse disorders, persons with HIV/AIDS, medically frail and elderly persons, and young adults who have left the foster care system. All are chronically homeless or at risk of becoming chronically homeless. During 2012, additional projects funded brought the to-date total to 472 units for eligible NY/NYIII populations.

Developmental Disabilities Planning Council (DDPC)

The New York State Developmental Disabilities Planning Council (DDPC) is a federally-funded State agency responsible for developing new ways to improve the delivery of services and supports to New Yorkers with developmental disabilities and their families. The Council focuses on community involvement, employment, recreation, and housing issues faced by New Yorkers with developmental disabilities and their families. To a large extent, DDPC programs are developed in direct response to the concerns and ideas voiced by consumers, families, service providers, policy-makers, and other professionals.

HCR is one of ten State agency members of the DDPC, which also includes persons with developmental disabilities or their parents/guardians and non-governmental organizations. Council members meet quarterly to discuss issues such as policy and funding decisions that affect the lives of individuals with developmental disabilities. Council Members determine which demonstration programs will be funded and participate in the Committees that develop requests for proposals for new projects. HCR participates on the Adult Issues Committee, which includes issues related to housing for adults with disabilities.

Access to Home Program

In 2005, the "Access to Home" program was created to provide up to \$10 million to not-for-profit organizations to administer local programs to make the homes and apartments of low- and moderate-income New Yorkers with disabilities more accessible. The Program is administered by the Division of Housing and Community Renewal and the Housing Trust Fund Corporation. In July 2006, the Private Housing Finance Law was amended to establish the Access to Home program as a statutory program in New York State and to allow municipalities in addition to not-for profits to participate as local program administrators.

Under Access to Home, residential adaptations and modifications are made to enable persons with disabilities to remain or return to their own homes rather than enter or stay in more costly and more intrusive institutional settings. Providing assistance with the cost of adapting homes to meet the needs of those with disabilities enables individuals to safely and comfortably live in their residences and avoid institutional care. This assistance also allows individuals currently living in institutional settings to transition back to their homes once they are appropriately adapted. Grants are made to eligible not-for-profit entities with substantial experience in adapting or retrofitting homes for persons with disabilities. In Program Year 2012, 25 awards totaling \$3.4 million in funds were made to eligible not-for-profit organizations to provide assistance to individuals to address their accessibility needs.

Other Accomplishments to Serve Persons with Disabilities

DHCR/HTFC has responded to the needs of persons with disabilities with a number of program and policy adjustments. In 2004, a requirement under DHCR/HTFC's 2005 Unified Funding Round for the State-funded Low Income Housing Trust Fund (HTF) Program mandated that a minimum of 5% of the total units in a new construction multi-family project (five units or more), or one unit whichever is greater, shall be made accessible for and marketed to persons with mobility impairments and an additional 2% of the total project's units or one unit, whichever is greater, shall be made accessible for and marketed to persons with visual or hearing impairments. The project owner will be responsible for the reasonable costs of any alterations necessary to

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accommodate an eligible tenant. This requirement was continued under the 2012 Funding Round.

As the State actively encourages new housing opportunities for persons with disabilities, DHCR/HTFC's funding process includes rating and ranking criteria to increase opportunities for affordable, accessible housing for a variety of populations. The rating and ranking allows applicants proposing a housing project or program which targets persons with special needs to be eligible for scoring points to set-aside units for persons with disabilities. This set-aside includes 15% or more of the total project's units and allows owners to reserve units outside of the application system, thereby providing access to units that may have otherwise been included in a lottery system.

In the 2008 funding round, DHCR/HTFC included a scoring incentive which provided maximum points for applicants exceeding 5% of the total projects units as fully accessible, move-in ready for persons with a mobility impairment and 2% of the units as fully accessible, move-in ready for persons who have a hearing or vision impairment to 10% and 4% respectively. This scoring incentive continued through the 2012 Funding Round.

Medicaid Redesign Team

The Executive Budget continues the commitment to the Medicaid Redesign Team's efforts to reform the Medicaid system and reduce costs. In 2012, HCR made \$25 million of a \$75 million appropriation available to accelerate the State's commitment to affordable housing under the NY/NYIII Agreement with New York City, and additional \$7.3 million in capital funds resulted in 175 permanent supportive housing units.

4.3 Section 215 Housing Opportunities

Section 215 of NAHA defines housing opportunities as meeting the HOME requirements. For purposes of reporting, all HOME units by definition are Section 215 units. While some CDBG and HOPWA units might meet Section 215 requirements, it is not by regulation or regulatory agreement that they do so. Therefore, reporting of Section 215 housing opportunities is limited to HOME units.

Proposals to address the shelter needs of homeless persons, prevent very low-income persons from becoming homeless, and assist special needs persons are welcomed by the HOME program. Information about applications received in PY 2012 which included such activities is available upon request.

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5. Progress in Addressing the Needs of the Homeless

The Office of Temporary Disability Assistance (OTDA) administers several programs designed to alleviate homelessness and provide low-income households support services necessary to build self-sufficiency. These range from programs to prevent homelessness before it occurs to the actual construction of housing for homeless persons. In addition, a number of programs provide ancillary services to the homeless citizens of New York State.

To address the identified needs of the homeless and special needs populations, New York State outlined a strategic objective in the State's Consolidated Plan to address the shelter, housing, and service needs of the homeless poor and others with special needs (2011 – 2015 Consolidated Plan). Various activities were described in support of this objective. The programs that further this objective use a range of activities, including acquisition, new construction, and rehabilitation, to develop shelters, single room occupancy (SRO) units, community residences, and traditional housing accommodations. Other key program strategies include: rental assistance to prevent homelessness; assistance in locating and securing affordable housing; the provision of administrative funds and planning grants to organizations that provide support services; and the provision of operating subsidies for shelters and housing facilities serving homeless and special needs populations. Programs administered by various State agencies develop and supervise residential treatment and licensed care facilities for both adults and youths. The accomplishments of the HOPWA and ESG/STEHP programs, as well as other programs, have significantly furthered the State's efforts in this area.

Examples of other programs funded by OTDA in support of this objective include:

- Homeless Housing Assistance Program;
- Homelessness Intervention Program;
- Supplemental Homelessness Intervention Program;
- New York State Supportive Housing Program;
- Operational Support for AIDS Housing Program;
- Family Shelter Program;
- Home Energy Assistance Program;
- Emergency Assistance Rehousing/Rent Supplement Program;
- Negotiated Rates Program;
- Emergency Shelter Allowance for Persons with AIDS;
- Emergency Needs for the Homeless Program; and
- Homelessness Prevention and Rapid Rehousing Program.

OTDA has taken full advantage of the flexibility of ESGP to fund a wide variety of support services and to address critical gaps in the housing continuum of care across New York State, including:

- Outreach and assessment - street outreach programs, mobile outreach vans, food pantries and soup kitchens (with outreach components), storefront operations, etc.
- Emergency - food pantries, soup kitchens, day drop-in centers, emergency shelters, overnight accommodations, drop-in medical care, short-term cash assistance for utilities and rent, etc.
- Transitional - transitional housing programs, relocation services, homeless rehousing assistance, support services, etc.
- Permanent - legal interventions to prevent eviction; support services in permanent housing programs, especially HHAP projects.

Proposals to address the shelter needs of homeless persons, prevent very low-income persons from becoming homeless, and assist non-homeless persons with special needs are welcomed by the Housing Trust Fund Corporation (HTFC). HTFC encourages applicants to structure housing programs that ensure long-term affordability to low- and moderate-income households by stressing the need to design housing programs that provide assistance that is affordable to the beneficiary.

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Examples of such design include rent restrictions for investor properties receiving assistance and grants or zero interest loans to low- and moderate-income owners. The NYS CDBG housing rehabilitation program continues to encourage the prevention of homelessness and allows families to remain in safe and affordable living environments. Since its takeover of the NYS CDBG program in 2000, HTFC has funded projects involving components that have addressed homeless needs including construction of homeless shelters. Although these types of applications are encouraged, HTFC receives very few applications.

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6. Other Actions

New York State also takes a wide variety of other actions to facilitate community development and the creation and preservation of affordable housing.

6.1 Addressing Obstacles to Meeting Underserved Needs

The State of New York is committed to maximizing limited federal resources. The State maximizes these limited resources by working with lenders, landlords, not-for-profit corporations, private developers, real estate, municipalities, and multiple affordable housing programs that require beneficiaries to help themselves to the extent possible by contributing both time and funds to an affordable housing opportunity.

Many of the awardees of the NYS CDBG program supplement their awards with loans or grants from State and federal housing, environmental health, mental health, and other programs in order to achieve the full scope of the community development project they have planned. Private sector contributions, foundation grants, and self-help contributions of local labor force and equipment also help stretch a CDBG grant.

After years of concerted effort working with national organizations, such as the National Council of State Housing Agencies, and with other states, New York State benefited from increases in the per capita cap for the federal Low-Income Housing Credit program (LIHC) which were approved by Congress in December 2000. The per capita LIHC amount has increased each year since 2001. Further, the federal Housing and Economic Recovery Act of 2008 increased the per capita allocation by an additional \$0.20 per year for 2008 and 2009 or more than \$3.8 million in additional allocation authority per year. This added tax credit resource has greatly expanded the volume and types of projects which the State has been able to assist and will extend the impact New York State will have on the needs outlined in the 2011-2015 Consolidated Plan.

In 2000, New York joined several other states in authorizing a State tax credit program on a demonstration basis. Since then, the New York State Low-income Housing Credit (SLIHC) program has received an annual authorization of credit authority and is under consideration to become a permanently funded program. SLIHC differs from the LIHC program in two ways: 1) it serves households with incomes of up to 90 percent of area median income, whereas LIHC serves households with incomes up to 60 percent of the area median income, and 2) it provides investors with relief from certain NYS tax liabilities. The SLIHC program facilitates an increased level of rental housing production by addressing the needs of a higher income band than is served by some of the State's other housing programs. The result is a more diversified project which serves households with a variety of income levels, which may be more desirable to local communities.

Each year, the State of New York exceeds the required HOME match; cumulatively, the State has over \$65 million in matching funds that is being carried forward to address underserved needs. The State of New York identifies underserved needs through its Unified Funding application process. One part of the allocation rates all proposals on the basis of statewide criteria, such as percent of households below the poverty level; a second asks applicants to demonstrate how the application is part of a strategy for meeting identified affordable housing and community needs.

Encouraging home ownership among long-term renters is a goal of the NYS CDBG program, which results in stabilization of the affordable housing stock and increases the welfare and safety of lower income families and neighborhood stability. In addition to working toward meeting the goals as outlined in the State's 2011-2015 Consolidated Plan, the NYS CDBG program is working toward achieving the overall objectives of New York State regarding housing goals. In the area of housing rehabilitation, standard and decent living conditions are created for a significant number of previously underserved households. Many of these households are occupied by the working poor or retirees on low, fixed incomes, and are not served by existing social services, senior services and other governmental programs. Likewise, public infrastructure projects funded through the NYS CDBG program bring clean drinking water and sewage treatment to many rural and village dwellers who previously had no public

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infrastructure, and often went years with failing private septic systems and wells that present real health hazards and require thousands of dollars to upgrade. Such projects often have a multiplier effect as the availability of public infrastructure attracts new businesses and spurs private housing development in existing population centers.

New York State is committed to ongoing analysis and improvement of the State's performance in satisfying priority housing and community development needs. The State will respond to underserved needs as they are identified, either through self-evaluation or citizen participation. The State will amend its administrative rules, Consolidated Plan and/or Action Plan as necessary to implement program changes designed to better satisfy underserved needs.

Developing Affordable Housing in Rural Areas

The Housing Trust Fund Corporation (HTFC), Division of Housing and Community Renewal (DHCR) and U.S. Department of Agriculture's New York Rural Development Office (RD) continue to collaborate on the development of rural multifamily housing projects. On a number of occasions in 2012 capital funds from HTFC's HOME or Housing Trust Fund Programs, DHCR's Low-Income Housing Tax Credit Program, RD's Section 515 Rural Rental Housing Program, and rental assistance have been combined to support the development of affordable housing.

6.2 Fostering and Maintaining Affordable Housing

The HOME Program certifies Community Housing Development Organizations (CHDOs) to take on the risk of affordable housing development by requiring an ownership interest in the units they develop. The HOME program is required by HUD to set aside 15% of the annual HOME allocation for CHDO developed affordable housing initiatives. The HOME program requires that CHDOs retain board members that reside in the community they serve. This local representation ensures that the community is involved in the decision making about the development of affordable housing.

Additionally, the State continues to monitor HOME-funded affordable housing projects for the required period of affordability. The monitoring helps ensure housing units built or rehabilitated with HOME dollars remain available, affordable, safe, and sanitary.

HTFC encourages applicants in the housing category to structure their programs to ensure long-term affordability to low- and moderate-income households. Competitive applications in this category provide assistance that is affordable to low- and moderate-income owners and includes rent restrictions on investor-owned properties.

The NYS CDBG program helps New York's smaller municipalities and rural areas achieve their goals to rehabilitate existing affordable housing and to encourage stable neighborhoods through increased home ownership among low- and moderate-income households. New York State is continuing an interagency approach to harness federal, State, and local resources to encourage the viability of existing commercial and residential districts.

New York State Legislative Campaign

In 2012, New York State continued to face tough economic challenges and the State's housing officials were confronted with another difficult year due to flat funding levels and increased housing needs throughout the state. Three historic weather events, Hurricane Irene and Tropical Storm Lee in the summer of 2011, and Super Storm Sandy in late October 2012, caused millions of dollars of widespread damage to homes and businesses across the state. The State was faced with a multi-billion dollar budget deficit, a slow recovering economy and an unprecedented need to provide assistance to significant number residents whose homes and businesses were either lost or severely damaged by the devastating storms.

The State received, in 2012, \$71 million dollars in federal CDBG disaster funding from HUD to assist the hardest-hit areas struggling to recover from Hurricane Irene and Tropical Storm Lee. New York State Homes and Community Renewal (HCR), in partnership with the Governor's office, and our fellow State agencies, worked collaboratively and swiftly on critical recovery initiatives. Emphasis on executive leadership, inter-agency cooperation, legislative engagement, stakeholder support and effective communications were never more important.

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In 2011, the Governor and his administration proposed and implemented a new process of evaluating and distributing funding for economic development and job creation through ten Regional Economic Development Councils (REDCs). In 2012, the REDCs, through a second round of funding, awarded a total of \$738 million, which included \$41.2 million in HCR's CDBG, Main Street Program, Urban Initiative and Rural Area Revitalization Programs for community development. Through the agency's Unified and Community Renewal funding, which included Low Income Housing Tax Credit, HOME and all other programs, a total of \$80.5 million was awarded.

The Commissioner/CEO of HCR met with State legislators, local elected officials, developers, stakeholders, and advocacy organizations to discuss State's housing agenda, including the storm recovery and the funding challenges faced by the state. These meetings were important because they provided opportunities to discuss and promote the development of affordable housing as an engine for economic development and job creation, helping to strengthen families and communities and improving the quality of life for working families, senior citizens and people living with disabilities.

HCR, which administers the federal Weatherization Assistance Program (WAP) in New York, received \$396 million in WAP stimulus funding from the American Recovery and Reinvestment Act (ARRA) of 2009 and will fulfill its WAP ARRA weatherization goals by March 2012, the deadline by which stimulus-related weatherization work must be completed. By the end of ARRA reporting period on March 31, 2012, more than 60,000 homes will have been weatherized and 1,400 jobs created.

During the summer of 2011, New York State was devastated by Hurricane Irene and Tropical Storm Lee. The destruction was widespread, leaving homes, businesses and farms destroyed and municipal water supplies and sewer system in complete ruin. In response to the disaster and urgent need of communities, HCR committed \$10 million towards the Governor's Agricultural and Community Recovery Fund. This included funding from the Community Development Block Grant program to assist farmers to continue operations, and funding from New York Main Street Program for assistance to small business in communities devastated by the storms. In 2012, HCR, received \$71 million in federal CDBG disaster funding from HUD to assist the hardest-hit areas still struggling to recovery from Hurricane Irene and Tropical Storm Lee. In the fall of 2012, New York State was hit by another disaster, Hurricane Sandy, which devastated downstate areas, including New York City and Long Island. New York State has allocated non-CDBG state resources in the recovery efforts, but anticipates receiving additional Disaster Recovery funds to assist in the recovery and rebuilding efforts in the areas impacted by this storm.

6.3 Eliminating Barriers to Affordable Housing

In Program Year 2012, the State of New York continued its efforts to eliminate barriers to affordable housing by developing and implementing new initiatives and by maximizing limited federal funding resources.

In 2011, HCR and HTFC announced the availability of funds and invited applications for affordable housing assistance through the Unified Funding process. Unified Funding enables eligible applicants to submit a single application for funding from several DHCR/HTFC administered programs, under the categories of capital programs and local programs. The Unified Funding process was made more efficient and transparent by creating an online application system whereby applicants can submit applications electronically. This online application is posted on HCR's website. A Frequently Asked Questions section regarding various HCR funding programs was also made available online, as well as access to application workshops. In 2011, applications were also received via the Consolidated Funding Application process and made the 2011 application awards that year. Awards were made to four (4) multi-family projects in 2012 because of the altered (CFA) application process in 2011. DHCR/HTFC applications will no longer be submitted via the CFA, but under the standard Unified Funding process. Well over one-hundred applications were received in 2012 which will fall under Unified Funding 2012. Awards for the 2012 applications are anticipated to be made in 2013.

The Office of Fair Housing and Equal Opportunity (OFHEO) was created to promote the participation of minority and women-owned businesses in contracts let by DHCR, and to provide oversight of fair housing activities and monitoring.

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Those opposed to affordable housing use a wide range of tactics including writing letters to owners, politicians, lobbying officials, forming opposition groups and circulating petitions to oppose the housing or needed zoning and/or regulatory change.

OFHEO has also identified actions to aide in eliminating the identified impediments:

- Provide of education, outreach and enforcement of fair housing standards.
- Eliminate or revise of discriminatory housing and zoning policies.
- Commit funds to programs and projects that produce fair housing.
- Expand affordable housing in areas where opportunities for low income, minority, and disabled housing are limited.
- Develop housing in areas where job opportunities are greater and provide low interest mortgages or deferred payment loans to impacted groups.
- Institute homeless prevention and rapid re-housing programs.
- Consider the President's proposal for the Refinance Program and the Mortgage Modification Program.

The NYS CDBG program, through its housing rehabilitation and home ownership funding, supports eligible municipalities in their efforts to maintain the stock of affordable housing and encourages the purchase of existing affordable homes by new owners, who otherwise would be unable to purchase homes. Without such funding, it is likely that many households would face insurmountable barriers to home purchase and decent rentals and be forced to live in inadequate shelters or even become de-facto homeless, which in non-entitlement communities usually means living with relatives for extended periods in crowded conditions.

New York's communities have made great strides in neighborhood revitalization and in reducing these barriers to affordable housing. The State of New York continues to work closely with communities, councils of local government, agencies, and others to educate New Yorkers about affordable housing.

6.4 Filling Gaps in the Institutional Structure

In support of the general effort of New York State agencies to collaborate, integrate and coordinate services and funding, the Housing Trust Fund Corporation (HTFC) partners with the State Departments of Health and Environmental Conservation, the Environmental Facilities Corporation (a public benefit corporation managing revolving loan funds for water and sewer development), and USDA Rural Development in a funding coordination committee that helps to ensure optimum funding potential and assistance in financing water and wastewater projects.

This initiative brings a concentrated, multi-pronged community development focus to some of the neediest localities and focuses on revitalizing town centers, protecting open space, and improving the use of technology in ways that complement the priorities of individual communities. The New York Main Street Program, which is also administered by DHCR and HTFC, complements this endeavor.

With the implementation of New York Main Street, HTFC assembled a team of cooperating State agencies. In addition to HTFC, the Departments of Parks, Recreation and Historic Preservation, Transportation, and State, and the Empire State Development Corporation have all contributed to New York Main Street (NYMS). NYMS makes financial and technical assistance available to local communities to preserve and renovate local business districts, with an emphasis on the residential component of such districts.

HTFC partners with other (non-housing) federal, State and local agencies to co-fund projects, helping to stretch CDBG funds as well as those of cooperating agencies. Most notably, the CDBG funds for Economic Development, Public Infrastructure and Facilities are included in the State's CFA in an effort to encourage cooperative funding of priority projects. Examples include projects funded jointly with the Empire State Development Corporation, New York State Department of Agriculture and Markets, the Environmental Facilities Corporation, the USDA Rural Development Rural Utilities Service, the New York State Office of

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Parks, Recreation and Historic Preservation, county Industrial Development Agencies and many others. While each agency still must observe applicable federal/State/local requirements, their cooperation not only brings very expensive projects to fruition that each agency could not fund alone, but also fosters greater cooperation among agencies to ensure a proper funding sequence and more rapid disposition of project permitting and review hurdles.

Weatherization Assistance (WAP) and HOME program coordination continued in 2012, as significant progress was made to integrate energy conservation practices into HOME-funded rehabilitation programs. A number of sub-recipients in each region have established formal relationships with their local Weatherization providers to provide coordinated services to clients. In the 2012 HOME Local Program Application and RFP, applicants are again required to provide a description of their procedures for evaluating the energy efficiency of units to be assisted with HOME funds. Applicants are also required to specify the typical energy conservation measures that will be performed on assisted units, and to describe the process for incorporating energy conservation measures into the work scope. The statewide network of Weatherization service providers has entered into agreements to assist HOME sub-recipients by providing energy efficiency audits and other expertise to HOME-assisted projects.

HCR closely coordinates the WAP with the NYS Office of Temporary and Disability Assistance Low Income Home Energy Assistance Program (HEAP). In 2012, systems were continued by the WAP network to target and prioritize HEAP households that have excessively high energy use and whose ratio of energy costs per monthly income is very high.

HCR continued its efforts in 2012 to collaborate with the New York State Energy Research and Development Authority (NYSERDA) to bring utility-funded System Benefits Charge funds into HOME-assisted and other subsidized housing. Starting in the summer of 2005, the Weatherization Program worked with NYSERDA to have electric reduction measures (ERMs) installed in previously weatherized units that were completed at a time when ERMs were not eligible. In 2012, the Weatherization Program continued to work with NYSERDA to continue this initiative and leverage additional funds to expand project work scopes that lead to greater energy and dollar savings for residents. There remains great potential for achieving greater affordability in DHCR, HTFC and other publicly-assisted projects through this coordinated approach.

Administering Section 8 Rental Assistance

HCR administers both tenant-based and project-based Section 8 rental assistance.

Housing Choice Vouchers

HCR has statewide responsibility for the administration of over 42,000 Section 8 Housing Choice Vouchers allocated by HUD. Each year, these vouchers provide assistance to thousands of income-eligible households. Through its own Subsidy Services Unit and/or via subcontracts with a network of Local Administrators, the program is delivered to extremely-low, very-low and low-income families in 50 of the State's 62 counties.

**TABLE 58
SECTION 8
HOUSING CHOICE VOUCHERS**

	NUMBER OF FAMILIES ASSISTED*	HOUSING ASSISTANCE PAYMENTS** [in Dollars]
TOTALS	39,726	368,157,885

*This is a monthly average computed by adding together each month's specific unit months of assistance and dividing that sum by twelve (12). The aggregate assistance for 2012 totaled 476,711 unit months.

** This twelve month cumulative summary of Housing Assistance Payments (HAP) includes rental and home ownership assistance payments to owners on behalf of eligible participating families.

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Compared to 2011, overall Housing Assistance Payment levels increased by \$12.7 million dollars. The increase is almost entirely a result of increased utilization of HUD-allocated Vouchers. Although Voucher budget authority received from HUD still does not allow for utilization of all Vouchers allocated, average monthly program utilization increased by more than 850 Vouchers per month. This is a 2.2% increase in utilization as compared to 2011.

Section 8 Home Ownership Assistance

Local Administrators (LAs) authorized to implement the home ownership option are responsible for determinations of family eligibility and home ownership assistance levels, home ownership counseling (either in-house or referral to community partners), home inspections, and post-purchase follow-up. LAs and housing counselors follow through the process to make sure the participants are mortgage ready, all financing meets Section 8 requirements, and that the home meets all standards of safe, decent and affordable.

HCR has achieved full statewide implementation of the home ownership program option. Successful real estate closings have been realized in 41 out of 50 local program jurisdictions in which the program option is being offered. All programs continue to outreach to eligible participants and offer assistance in overcoming barriers to achieving home ownership.

Since home ownership activity commenced in 2000, 423 families have purchased homes utilizing ongoing Section 8 homeownership assistance payments or via the use of Family Self-Sufficiency escrow funds realized during their tenure as a Section 8 participant. As of December 2012, a total of \$1,829,563 of home ownership assistance payments were paid for the year on behalf of participating families.

Statewide monthly average home ownership assistance payments (\$565) continue to be less than corresponding average rental assistance payments (\$770). With continued federal concerns focused on reducing Section 8 Voucher Program outlay, HUD will hopefully encourage public housing authorities to expand implementation of the Section 8 home ownership option.

Section 8 Family Self-Sufficiency Coordinators

The Family Self-Sufficiency (FSS) Program is an important component of the Section 8 Housing Choice Voucher Program. It encourages the development of local strategies to help assisted families obtain employment that will lead to economic independence and self-sufficiency. Public Housing Agencies (PHAs) work with welfare agencies, schools, businesses, and other local partners to develop a comprehensive program that gives participating FSS family members the skills and experience to enable them to obtain viable employment. HCR received \$1,224,755 in FSS Program funding in calendar year 2012. These funds allowed for the retention of local FSS Coordinators who provide important case management services to FSS participants.

Section 8 Project-based Contract Administration

As Performance-Based Contract Administrator (PBCA) for the Section 8 Project-Based portfolio in New York State since 2000, HCR is responsible to HUD for all program functions and reporting requirements, provides general program oversight and input on policy development and performs quality assurance for all assigned tasks.

At the end of 2012, the assigned portfolio stands at 999 contracts covering 97,732 units which is a significant increase from the initial assignment in 2000 of 624 contracts covering 51,077 units. The average gross monthly Housing Assistance Payments for 2012 (prior to mortgage or other offsets) is approximately \$95 million.

Day-to-day functions involved in the PBCA initiative include the following duties for the contracts assigned to the Section 8 Project-Based portfolio:

- Conduct management and occupancy reviews.
- Adjust contract rents.
- Process Housing Assistance Payments (HAP) contract renewals, terminations, and/or opt-outs.
- Pay monthly HAP vouchers submitted by project owners.

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- Respond to project health and safety issues.
- Follow up on results of physical inspections of Section 8 projects.

Since initiating PBCA activities in December 2000, HCR has engaged a private sector partner (PSP) to assist in the performance of the day-to-day responsibilities of contract administration. CGI is the current PSP and completed its 7th year in this capacity at the end of 2012.

In February 2011, HUD rebid the PBCA contracts but HUD's Invitation to Bid was subsequently withdrawn. HUD then issued a Notification of Funding Availability (NOFA) in March of 2012 for PBCA services. HCR submitted a proposal to both of HUD's invitations. Numerous entities filed protests with the Government Accountability Office against HUD's decision to issue a NOFA as the procurement mechanism for PBCA services. When HUD announced its decision to go ahead with contract awards, a number of entities filed lawsuits in the U.S. Court of Federal Claims to stop HUD's action. The Federal court is scheduled to announce its decision on these lawsuits in February 2013.

During this interim period of re-procurement, HUD has extended HCR's ACC to continue providing contract administration services to the HUD assigned Section 8 portfolio and amended the contract work scope to remove the performance of management and occupancy reviews for these properties. HCR continues to provide contract administration services on HUD's behalf to the 999 contracts covering 97,732 units of subsidized housing.

6.5 Public Housing Initiatives and Working with Public Housing Authorities

Public Housing Restructuring

Following a successful pilot plan, New York State continued efforts to restructure State-assisted public housing projects. DHCR and HTFC worked with private developers to research and develop restructuring strategies to further this initiative. Resources committed to restructuring efforts have included tax credit proceeds and Public Housing Modernization Funds. When completed, the housing remains as affordable housing, but is privately-owned for low-income families subject to tax credit compliance. The plans for redevelopment typically include substantial rehabilitation and reconfiguration of units to meet market demands.

The current status of New York State's restructuring is as follows:

- Oswego H.A. – Hamilton Homes (Phase 3 of construction underway)
- Rome HA – Liberty Apts (Construction underway)
- Auburn H.A. – Brogan Apts. (Awaiting legal documents, scope of work and cost estimates)

Public Housing Modernization Program

DHCR and HTFC continued to work with Housing Authorities to develop long-range plans and funding strategies for the repair, replacement, or renovation of defective, deteriorating, or deficient structural and physical building systems. This work leads to the upgrade and modernization of State-assisted public housing projects. For Housing Authorities with non-assisted projects, DHCR and HTFC continued assistance with the identification of means for necessary financial and technical assistance.

Energy Conservation in Mitchell-Lama Housing

HCR's Office of Housing Management remains involved in assisting Mitchell-Lama developments to develop and package projects that will improve their energy performance. Measures under consideration or in progress include: heating system improvements, conversions of heating systems from electric to gas, lighting retrofits, water conservation, and elevator upgrades, as well as advanced measures such as cogeneration. While the estimated cost of work to implement these energy improvement projects remains high, the potential energy savings could make a significant contribution to the overall affordability of the Mitchell-Lama developments.

The Office of Housing Management has also continued to strengthen monitoring procedures for accurate and reliable reporting

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of energy utilization information by the housing developments. Required energy performance, energy cost, and building systems reporting forms which are required to be submitted annually, are available in an electronic format on the HCR website. Housing Management has been working with Weatherization Services to use the data to track the portfolio's energy performance in terms of BTU/Square Feet/Heating Degree Day.

6.6 Reducing the Hazards of Lead-Based Paint

New York State Department of Health (NYSDOH), in collaboration with its strategic partners including HCR, are continuing the positive trends toward achieving elimination of childhood lead poisoning in NYS. Lead is among the most common environmental toxin for young children in NYS. Although the number of cases of lead exposure has steadily declined, NYS continues to have the greatest number of cases of childhood lead poisoning in the nation. In 2010, there were over 2,900 children under age six years diagnosed with lead poisoning (BLL \geq 10 mcg/dL) compared to 11,643 children in 1998. Between 2006 and 2008, 80 percent of these children resided in the thirteen highest incidence counties (ordered from high to low): Kings, Queens, Erie, Bronx, Monroe, New York, Onondaga, Westchester, Oneida, Orange, Nassau, Albany and Richmond. New York's comprehensive lead poisoning elimination approach includes strategies to advance:

- Partnerships and community engagement.
- Primary prevention.
- Surveillance and data analysis.
- Laboratory reporting and data quality assurance.
- Blood lead testing & screening.
- Follow up/management of children with elevated blood lead levels (EBLLs).

Since 2007, NYSDOH has undertaken a Childhood Lead Primary Prevention Program (CLPPP) in selected communities with older, deteriorated housing and with significant concentrations of children newly identified with elevated blood-lead levels. A *primary prevention* approach is used to reduce or eliminate lead exposures or risk factors before a child is exposed. Funding for this initiative has increased steadily, with a total of \$10.0 million allotted to 14 counties and NYC in the 2012 – 2013 grant year. Expectations of the grantees continue to include:

- Identifying housing at greatest risk of lead-paint hazards.
- Developing partnerships and community engagement to promote primary prevention.
- Promoting interventions to create lead-safe housing units.
- Building a knowledgeable and certified Lead-Safe Work Practice (LSWP) workforce.
- Identifying community resources for lead-hazard control.

Since its inception on October 2007, over 12,000 children have been directly reached through the Primary Prevention Program through visits to their homes, and nearly 6,900 have been referred for blood lead testing as a result of those home visits. Grantees continue to make steady progress toward housing inspection goals reaching a total of 25,982 housing units visited to conduct inspection for lead-based paint using a combination of inspection strategies.

- Visited and inspected 24,493 housing units.
- Inspected 11,346 units with confirmed or potential lead-based paint hazards. (Potential lead hazards are those identified through visual assessment alone. Confirmed lead hazards are hazards identified through sampling or testing, such as XRF measurement, paint chip sampling, etc.).
- Made lead – safe at least 6,605 units through remediation of hazards and 'clearing' as free of lead-based paint dust hazards, with 4,741 units undergoing work to remediate hazards.

NYSDOH has also promoted development of skilled and/or a certified workforce for lead remediation activities while increasing availability of lead safe work practices training for property owners, contractors, and residents. NYS grantees continue to use various techniques to facilitate training among a diverse population. Most grantees offered training for free or at reduced cost and took steps to schedule the training when it would be most convenient for participants to attend. Some offered incentive packages to participants who completed the training. Others conducted training sessions in Spanish and used modified course

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testing procedures to address low literacy levels. In the last eighteen months (Oct 1, 2010 to March 30, 2012) there were 391 course offerings reaching the following:

- 1,090 property owners, contractors, and do-it-yourselfers for training in Lead Safe Work Practices.
- 2,763 contractors and property owners trained in the EPA Renovation, Remodeling, and Painting rule (8 hour and refresher course)

In addition to the LPPP, the NYSDOH Healthy Neighborhoods Program (HNP) is a door-to-door outreach program in targeted high-need areas that provides residents with practical information and tools to reduce environmental hazards in their homes, including risks for lead-based paint exposure. The program currently operates in Clinton County, Niagara County, Erie County, Monroe County, Tompkins County, Onondaga County, Schenectady County, Orange County, Rockland County, and Westchester County. Residents of the dwellings are interviewed to determine their individual needs and a room-by-room visual inspection is conducted to identify peeling paint, carbon monoxide hazards, asthma triggers and fire hazards. Smoke detectors are tested and batteries and/or a detector are provided when needed. In the 2012 period included in this report, a total of 14,535 dwelling units were approached by HNPs statewide and 5,951 (41%) households had a home assessment initiated; 3,323 (56%) of the dwellings visited had a minority respondent; 2,059 (35%) of dwellings visited did not have a functional smoke alarm on floors with living space; 1,880 (32%) households had children younger than six years old. A total of 1,650 (28%) dwelling units had deteriorated paint. In terms of the HNP intervention, all families were educated on the dangers of lead paint, some referrals were made to the landlord, and others were referred for enforcement. Within 90 days, 74 deteriorated paint conditions were corrected. HNP assesses whether each child has had a blood lead test and makes the appropriate referrals to ensure that all children have been tested. 1,113 homes or 19% of homes visited in upstate New York contained someone with asthma. Finally, in cooperation with the Bureau of Environmental Radiation Protection, HNP provided 334 radon test kits through a federal Environmental Protection Agency (EPA) grant to homes in low socio-economic status (SES) areas that request one.

NYSDOH has received a federal Housing and Urban Renewal (HUD) Healthy Homes Technical Studies program, which focuses on our Healthy Neighborhoods Program (HNP) which seeks to advance the recognition and control of residential health and safety hazards. The HNP's strong emphasis on addressing asthma as part of a comprehensive healthy homes approach has received national recognition, including the 2011 National Environmental Leadership Award in Asthma Management. It has a number of distinguishing factors that make it an ideal model for addressing the research gaps outlined above. The NYSDOH HNP:

- Is managed at the state level and implemented at the community level.
- Is unique in scale and geographic scope, serving over 5000 homes and 13,000 individuals in high-risk urban and rural communities each year.
- Has a primary emphasis on management of the home environment that enhances case management and clinical care provided by partners.
- Has innovative partnerships that improve delivery of services and integration of environmental management throughout the continuum of clinical care.
- Has a robust and dynamic program evaluation that allows for assessment of improvement in individual patients, but also across differences in delivery systems.

NYS has a particular interest in conducting a cost-benefit analysis of reductions in asthma morbidity due to improvements in indoor environmental quality at home. The second research component involves creating a "hazard score" that quantifies the magnitude of housing hazards per dwelling to allow for a cost-effectiveness analysis that expresses the reduction in hazard score per unit cost. NYS created a rough version of the hazard score for programmatic use, but a more robust and systematic method is required to make this hazard score useful for policy development. The NYSDOH project is titled, "*Measuring the asthma-related costs and benefits of a large-scale, state-funded healthy homes program to inform Medicaid policy for residents with asthma*".

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6.7 Implementing an Anti-Poverty Strategy

The four federal programs covered by the New York State Consolidated Plan (NYS CDBG, HOME, ESGP and HOPWA) directly support the overall State anti-poverty strategy by addressing the housing or non-housing community development needs of persons at the poverty level.

OTDA, which administers the ESG and the HOPWA programs, oversees the New York State Temporary Assistance for Needy Families (TANF) program. The intent of the program is to promote individual responsibility and family independence. It is described fully in the State's 2011-2015 Consolidated Plan.

The NYS CDBG program, through its housing rehabilitation, home ownership, public infrastructure, public facilities, and economic development funding improves the quality of housing and sanitation and reduces unemployment and underemployment. Housing conditions for renters and homeowners are improved, tenants are empowered to become new home owners, and projects to bring safe drinking water to, and treat wastewater for low- and moderate-income residents are funded. Centers are constructed to provide services to persons in predominantly low- and moderate-income areas. Economic development projects create or retain jobs for low- and moderate-income persons who may have been formerly unemployed or underemployed. Job training to a skill level that will raise employees out of poverty is often a component of CDBG-funded economic development and microenterprise projects.

While the HOME program does not provide income or operating assistance, the program attempts to serve the lowest possible income levels and supports programs that are designed to achieve or sustain self-sufficiency among extremely low-income households.

Reducing Energy Costs

HCR assists low-income New Yorkers in a number of ways as they face high energy costs.

Weatherization Assistance Program (WAP)

HCR administers the federally-funded Weatherization Assistance Program (WAP). WAP provides grants to local governments, community action agencies and other non-profit agencies to install energy conservation measures in housing units occupied by low-income households. This assistance is provided to reduce energy consumption and lower monthly energy bills. Typical measures consist of: air sealing; adding insulation; heating system repair or replacement; window and door repair or replacement; providing high-efficiency lighting fixtures, energy star refrigerators and other electric base load reduction; and, work items that mitigate energy-related health and safety concerns.

HCR closely coordinates WAP resources with other HCR programs to improve energy efficiency and affordability in assisted projects. WAP funds are made available by formula to non-profit subgrantees in each county in the State, and an annual competitive solicitation is held to provide funding for assisted multifamily projects and other housing in areas known to have high needs.

6.8 Ensuring Compliance and Monitoring

DHCR, HTFC and OTDA are individually responsible for ensuring compliance in the programs they administer. During 2012, each agency implemented the monitoring plan that was outlined in the 2012 Annual Action Plan.

6.8.1 HOME Program Monitoring

In 2012, HCR regional offices conducted on site and desk monitoring events for 86 sub-recipients and State recipients. There were a total of 165 HOME sub-recipients and State recipients statewide in 2012, making the total monitored 52% of total recipients HCR regional office staff will conduct additional monitoring of sub-recipients of concern, and provide technical assistance where indicated, to ensure that actions are taken to address those concerns that were identified. The results of on-site inspections are reported in Section 7.2.4. The contractual agreement requires grantees to submit annual reports, describe a

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project's progress during the year through a detailed narrative describing contract activities and the results achieved. Guidelines or criteria, which new grantees developed for eligibility and participant selection, are also appended to the first quarterly report.

6.8.2 HOPWA Monitoring

All HOPWA contracts entered into by OTDA are subject to on-going monitoring throughout the term of the contract. The primary methods of monitoring include:

- review of narrative and tabular quarterly reports (due two calendar weeks after the end of each quarter);
- review of final reports (due 30 days after the expiration of the contract);
- periodic site visits, including review of randomly-selected case files; and
- on-going telephone contact with program staff.

Grantees must ensure that books, records, documents, and other evidence pertaining to costs and expenses under the grant are maintained to reflect all costs of materials, equipment, supplies, services, building costs, and all other costs and expenses for which reimbursement is claimed or payment is made. All expenditures are reported on an accrual basis.

OTDA has direct access to any records relevant to the project, including books, documents, photographs, correspondence and records to make audits, examinations, transcripts, and excerpts. All records pertaining to the grant including financial audits, budget, plans/drafts, supporting documents, statistical records, etc. are retained for a period of at least four years following submission of the final expenditure report. In the event that any claim, audit, litigation, or State/federal investigation is started before the expiration of the record retention period, the records are retained by the grantee until all claims or findings are resolved.

The contractual agreement requires grantees to submit quarterly and final reports. Quarterly reports describe a project's progress during the quarter through a detailed narrative describing contract activities and the results achieved. Guidelines or criteria, which new grantees developed for eligibility and participant selection, are also appended to the first quarterly report. Significant obstacles or problems in carrying out the contractual obligations are identified along with plans to overcome these obstacles. Changes in contract staffing are addressed and resumes provided for new staff. To meet HUD reporting requirements, statistical data is also reported to track the type of activity carried out and the number of individuals and families assisted, including data on the racial/ethnic characteristics of the participants.

Final reports verify fulfillment of all contractual requirements and tabulate final demographic data on the program participants. They also trigger final reimbursement for contractual activities. The narrative follows the basic format established for quarterly reports, but emphasizes final outcomes. As outlined in the contract, a percentage of the grant award is withheld until the final report is received and approved. Grantees are advised that unless all reporting requirements are met satisfactorily, vouchers are not processed for payment.

Site visits by OTDA staff are a critical component of project monitoring activities. Subsequent to a monitoring visit to OTDA by HUD in 1999, a new monitoring system for ESGP and HOPWA (as well as other OTDA housing services programs) was fully implemented. In keeping with this system, monitoring visits for all housing services programs (including both HOPWA and ESGP) administered by the Bureau of Housing and Support Services (BHSS) take place regularly using the pooled staff resources of the BHSS Unit. At a minimum, each multi-year contract is monitored at least once during the life of the contract.

The site visits usually consist of an overview of the agency and the program, a tour of the site, observation of direct service provision, review of files and records, and meetings with accounting staff. Extensive questions are asked based on the information contained in quarterly reports and on the HOPWA program coordinator's knowledge of the program. Following each monitoring site visit, a formal letter is sent to the grantee relating findings and requesting a formal response when corrective action is needed.

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Another aspect of monitoring is frequent telephone conversations between program staff and the program coordinator. Contractors call with questions about changes in their programs, contract requirements, vouchering, and other issues concerning their program. The program coordinator also initiates telephone calls to question information contained in reports. In unusual circumstances, programs may be requested to submit special reports or any media coverage the program has received.

6.8.3 CDBG Monitoring

HTFC has established a process to ensure compliance with program requirements by its grant recipients which includes: recipient training; desk monitoring which entails review of expenditure types; expenditure rates; performance reports; and a combination of technical and monitoring visits. Communities are contacted regularly by HTFC staff for status updates on their projects and for program compliance and statutory requirement assistance. As disbursements are submitted for review, CDBG program staff conducts a desk monitoring of the Recipient's projects to ensure that the project is on schedule and on target for meeting its goals. Technical assistance visits are conducted when a recipient is not performing according to its schedule or have encountered particular difficulties in advancing their project. At least once during the life of a grant, a comprehensive on-site monitoring of the recipient's project is conducted. This monitoring visit ensures that recipients of CDBG funds adhere to state and federal regulatory requirements as well as all program requirements. Comprehensive monitoring includes a review of all project files including, but not limited to, financial records, procurement files, individual case files, National Objective compliance documentation, and environmental review files. A Grant Administration Manual that outlines the program requirements and provides compliance guidance is available to the grant recipients on our website. Additionally, our website contains updates, policies, procedures and program requirements and easy access to vital information which ensures compliance with program regulations.

6.8.4 ESGP Monitoring

All STEHP contracts entered into by OTDA are subject to on-going monitoring throughout the term of the contract. The primary methods of monitoring include:

- Review of narrative and tabular quarter reports (due 20 days after the end of each quarter).
- Review of final reports.
- Periodic site visits, including review of randomly-selected case files.
- On-going telephone and email contact with program staff.

Grantees must ensure that books, records, documents, and other evidence pertaining to costs and expenses under the grant are maintained to reflect all costs of materials, equipment, supplies, services, building costs and all other costs and expenses for which reimbursement is claimed or payment is made. All expenditures are reported on an accrual basis.

OTDA has direct access to any records relevant to the project, including books, documents, photographs, correspondence and records to make audits, examinations, transcripts, and excerpts. All records pertaining to the grant including financial audits, budget, plans/drafts, supporting documents, statistical records, etc., are retained for a period of at least four years following submission of the final expenditure report. In the event that any claim, audit, litigation, or State/federal investigation is started before the expiration of the record retention period, the records are retained by the grantee until all claims or findings are resolved.

The contractual agreement requires grantees to submit quarterly and final reports. Quarterly reports describe a project's progress during the quarter through a detailed narrative describing contract activities and the results achieved. Guidelines or criteria, which new grantees developed for eligibility and participant selection, are also appended to the first quarterly report. Significant obstacles or problems in carrying out the contractual obligations are identified, along with plans to overcome these obstacles. Changes in contract staffing are addressed and resumes provided for new staff. To meet HUD reporting requirements, statistical data is also reported to track the type of activity carried out and the number of individuals and families assisted, including data on the racial/ethnic characteristics of the participants. Other related data that is required by the Integrated Disbursement and Information System (IDIS) is also collected.

Final Reports verify fulfillment of all contractual requirements and tabulate final demographic data on the program participants.

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They also trigger final reimbursement for contractual activities. The narrative follows the basic format established for quarterly reports, but emphasizes final outcomes. As outlined in the contract, a percentage of the grant award is withheld until the final report is received and approved. Grantees are advised that unless all reporting requirements are met satisfactorily, vouchers are not processed for payment.

Site visits by OTDA staff are a critical component of project monitoring activities. The site visits are usually a couple of hours in duration, and consist of an overview of the agency and the program, a tour of the site, observation of direct service provision, and meetings with accounting staff. Extensive questions are asked based on the information contained in quarterly reports and on the coordinator's knowledge of the program.

Another aspect of monitoring is frequent telephone conversations between program staff and the program coordinator. Contractors call with questions about changes in their program, contract requirements, vouchering, and other issues concerning their program. The program coordinator also initiates telephone calls to question information contained in reports. In unusual circumstances, programs may be requested to submit special reports or any media coverage the program has received.

Finally, prior to renewal of their contracts, all grantees funded under STEHP undergo a self-evaluation of the benefits realized by homeless and near-homeless households as a result of funding. The evaluation also examines the expansion of service capacity, the utilization of services, and the quantifiable impact of the project. The evaluation seeks to determine whether the project would be viable in other locations across the State. It also examines the overall homeless population within a given community and the continued need for the type of assistance being provided.

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7. Program-Specific Requirements

This section addresses program-specific requirements that were not directly covered by other sections.

7.1 CDBG Program Requirements

7.1.1 Relationship of Expenditure to Performance Measurements

As part of the 2011-2015 Consolidated Plan, approved by HUD on December 30, 2010, the State developed a Strategic Plan delineating its objectives for assisting low- and moderate-income residents based on the analysis of housing and community development needs and the housing market and inventory conditions in New York. These objectives were developed to further the overall goal of the housing and community planning and development programs included in the Consolidated Plan to create viable communities by providing decent housing, economic opportunities and a suitable living environment principally for low- and moderate-income persons. Additionally, the State incorporated the requirements of HUD's performance measurements system into its Strategic Plan, and the State conducted an analysis based on the HUD Performance Measurement matrix. By evaluating the State's accomplishments by objective, future plans and needed changes can be determined.

Community Development

The NYS CDBG program is on its way to meeting the goals outlined in the 2011-2015 Consolidated Plan, as follows:

DH-1 – Increasing the Availability/Accessibility of Decent Housing

The NYS CDBG program is on track to achieve the goal of 3,500 units of rehabilitation as set forth in the 2011-2015 Consolidated Plan. HTFC reports that recipients are well on their way to accomplishing the goals predicted in their individual grant applications. In PY 2012, a total of 585 units of housing were rehabilitated through projects awarded under the competitive round.

DH-2 – Increasing the Affordability of Decent Housing

Through funding for home ownership activities, the NYS CDBG program is on track to meet the goal of 575 low- and moderate-income homebuyers as outlined in the 2011-2015 Consolidated Plan. In PY 2012, 69 households were assisted with home ownership opportunities.

EO-1 – Increasing the Availability/Accessibility of Economic Opportunities and

EO-2 – Increasing the Affordability of Economic Opportunities

In PY 2012, a total of 876 FT and 186 PT jobs were created and/or retained, and 25 businesses were assisted either through economic development funding, microenterprise, small business initiatives or façade assistance. With the job creation/retention activities at its current levels, the NYS CDBG program will meet its goal of 5,000 jobs and 150 businesses assisted as outlined in the 2011-2015 Consolidated Plan.

SL-2 – Improving the Affordability of Suitable Living Environments and

SL-3 – Improving the Sustainability of Suitable Living Environments

During the 2011-2015 Consolidated Plan period, it is estimated that the construction of 125 public facility projects will receive assistance from the NYS CDBG program. In PY 2012, 26 projects were completed that involved public facilities activities that benefited 76,985 persons. At this rate of accomplishment, the goals of the 2011-2015 Consolidated Plan will be met.

Additional CDBG Achievements

A CDBG grant is often the spur to stimulate parallel private-sector investments and other neighborhood revival projects which are not CDBG-eligible. An important effort is reaching out to municipalities which have not formerly or recently participated in order to attract new kinds of proposals, new partners, and better socioeconomic strategies to alleviate a variety of conditions facing the

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low- and moderate-income populations of eligible jurisdictions.

Except in relation to the share of funding allocated to each category, no priorities among objectives are established by HTFC. Rather, it is felt that the applicant jurisdictions are best positioned to weigh and prioritize local needs, both via the citizen participation process and through local officials' assessment of conditions that impede the health and welfare of their residents. Local officials also have to match their needs to the host of local, county, State, and federal funding sources to see where best to apply for assistance with particular challenges.

Due to the devastating effects of Hurricane Irene and Tropical Storm Lee, New York State used a portion of its 2011 allocation as well as prior year unobligated, deobligated and recaptured funds to assist business owners in Main Street areas and farmers throughout the counties who were impacted by the storms. These funds are being used to assist the businesses and farms in recovering from the effects of the storm and to make them solvent.

Further discussion of the NYS CDBG program addressing housing and community development priority needs is contained in Section 2.3.3.

Summary

New York State's affordable housing goal is addressed by activities pursuant to Objective/Outcome DH-1 which seeks to provide decent housing that is available/accessible and DH-2 objectives and outcomes of DH-1 and DH-2. New York State addresses the needs of the homeless, those in danger of becoming homeless, and persons with other special needs through a variety of activities pursuant to its objectives of decent housing availability/accessibility (DH-1) and affordability (DH-1), and the availability/accessibility of suitable living environments (SL-1). In addition, the economic opportunity objectives and outcomes of EO-1, EO-2, and the suitable living environment objectives SL-2 and SL-3 incorporate the needs and requirements of the Community Development Block Grant Program. Goals outlined in the State's Consolidated Plan and annual Action Plan are being achieved. No significant problems were encountered, and New York State does not anticipate major changes in its program administration.

7.1.2 Amendments and Other Program Changes

HTFC objectives and program design stated in the 2011-2015 Consolidated Plan and the 2012 Annual Plan did not change, and HTFC does not anticipate any changes.

7.1.3 Providing Certifications of Consistency with the Consolidated Plan

A Certificate of Consistency is issued by DHCR which states that activities being approved are consistent with the objectives of the State's Consolidated Plan. During Program Year 2012, the State of New York issued Certificates of Consistency to:

Public Housing Authorities (PHAs)

- 1 Cohoes Housing Authority
- 1 Watervliet Housing Authority
- 1 Village of Manlius
- 1 Cortland Housing Authority
- 4 TOTAL**

Non- PHAs

- 1 Village of Scotia
- 1 Village of Highland Falls
- 1 Village of Fort Plain
- 1 Village of Corinth
- 1 Village of Ballston Spa
- 1 Town of Rotterdam

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- 1 Town of Guilderland
- 1 Town of Colonie
- 1 Mechanicville PHA
- 1 Gloversville PHA
- 1 City of Cohoes
- 1 City of Johnstown
- 1 Kiryas Joel HA
- 1 Chautauqua Opportunities
- 14 TOTAL**

- Consortium Certifications
- 1 City of Schenectady
- 1 Dutchess County
- 2 TOTAL**

7.1.4 National Objective Failures

None were identified.

7.1.5 Actions Taken to Avoid Displacement and Compliance with the Uniform Relocation Act (URA)

It is not anticipated that NYS CDBG funds will result in the displacement of residents. However, recipients who propose activities that have the ability to result in permanent or temporary displacement including housing rehabilitation activities must ensure that steps are taken to avoid displacement and meet the needs of households who must be moved during activities. In doing so, recipients must demonstrate that funds have been allocated to cover costs and that specific procedures are being followed to prevent or minimize the impact of relocation/displacement and to ensure that participating landlords are cooperating. HTFC does not encourage wholesale demolishing of housing units. Yet there are cases where the most cost-effective approach is to replace severely dilapidated houses and mobile homes. There are also instances where businesses must be relocated when buildings are proposed for demolition as part of community revitalization projects. Recipients are monitored for compliance with the URA and must demonstrate that proper procedures to protect the rights of tenants and owners are being followed.

In all cases involving temporary or permanent displacement/relocation, all required steps are taken and award recipients are monitored for compliance with all requirements under CDBG regulation 570.606 either during desk monitoring or site visits.

7.1.6 Low/Mod: Jobs and Limited Clientele Activities

Under New York's criteria for assessing applicants for economic development grants, the applicant must provide evidence that at least 51 percent of jobs created will be filled by or made available to low- to moderate-income persons. However, applicants are encouraged to seek projects where a business will guarantee that greater than 51 percent of the jobs will be filled by or made available to low- and moderate-income persons. The majority of the economic development recipients work with the NYS Department of Labor regional offices and Workforce Development Boards for assistance with identifying and hiring low and moderate income persons. In order to ensure that at least 51 percent of the jobs qualify, HTFC enforces strict requirements for hiring practices. These requirements include specific advertisements and language that must be included in advertisements for hiring of individuals for low- and moderate-income jobs. Although ultimately the job may be filled by a non-income-eligible individual, businesses must be able to document that all jobs were made available to low- and moderate-income individuals. During the hiring process, businesses must ensure that all applicants are assessed as to the extent and quality of training to be offered to new hires, with the expectation that a level of skill can be attained to raise these individuals well above minimum wage earning power.

Under the economic development category, microenterprise assistance may be provided to microenterprise businesses where the business owner qualifies as a low- and moderate-income business owner (limited clientele microenterprise). Applicants proposing projects that meet this criterion must retain evidence that demonstrates that a business owner's family income does

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not exceed the low- and moderate-income limits for the area.

Limited Clientele activities generally involve the construction of sites in which services are offered and funded by other State and federal agencies serving low- to moderate-income persons. Reporting accomplishments in 2012 are projects such as a child care facilities, senior centers and projects that involve activities that provide handicapped access to public places as well as access to health services. Limited clientele activities may often meet the presumed benefit criterion by assisting persons who meet the definition. For those projects where the beneficiaries cannot be presumed to be low- and moderate-income, recipients must clearly document through income data collection that at least 51 percent of the people being served by the facility qualify as low- and moderate-income.

7.1.7 Rehabilitation Accomplishments and Expenditures

The 2012 Action Plan had estimated that 650 housing units would be rehabilitated in PY 2012. For the period January 1, 2012 - December 31, 2012, 585 units of housing were fully rehabilitated which is slightly less than the goals projected. If the State continues to reach this level of accomplishments for the next four years, New York will meet its goals as estimated in the 2011-2015 Consolidated Plan.

A fair estimate of the average cost required to bring a substandard unit into standard condition is \$20,228.

7.1.8 Community Revitalization Strategy Areas (CRSA)

No CRSAs were approved during 2012.

7.2 HOME Program Requirements

7.2.1 Distribution of Funds Among Identified Needs

The general Consolidated Plan program assessment in Section 2.4 contains a discussion of distribution of funds among identified needs.

7.2.2 2012 HOME Matching Funds

Match contributions reported in Table 61 are based on the federal fiscal year that began October 1, 2011 and ended September 30, 2012 pursuant to HOME statute and HUD guidance. Match contributions are provided by New York State Housing Trust Fund grants, for projects that qualify as affordable housing pursuant to Section 215 of the National Affordable Housing Act.

**TABLE 59
2012 HOME PROGRAM
MATCHING FUNDS
[In Dollars]**

EXCESS MATCH (previous year)	MATCH CONTRIBUTION	MATCH LIABILITY	EXCESS MATCH CARRYOVER
\$71,883,549	\$4,411,873	\$4, 328, 572	71,916,850

7.2.3 Contracting Opportunities for Minority and Women-Owned Business Enterprises and Section 3 Compliance

Table 60 demonstrates the State's efforts to secure the participation of Minority and Women-Owned Business Enterprises (M/WBEs) in the completion of HOME program activities.

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TABLE 60
2012 HOME PROGRAM
LOCAL PROGRAM ADMINISTRATORS (LPAs)
PARTICIPATION BY MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES

FILED BY	CONTRACTS				SUB-CONTRACTS			
	Ethnicity	Women-Owned*	Ethnicity	Women-Owned*				
TOTAL # OF CONTRACTS	398	24	22	1				
TOTAL \$ OF CONTRACTS	\$8,072,887	\$1,309,637	\$1,018,855	\$252,800				
<i>Contracts Awarded by Population</i>								
	#	%	\$	%	#	%	\$	%
ALASKAN/NATIVE AMERICAN	3	0.8	113,475	1.4	0	0	0	0
ASIAN/PACIFIC ISLANDER	1	0.3	12,600	0.2	0	0	0	0
BLACK/NON-HISPANIC	13	3.2	112,920	1.4	4	18.2	176,600	17
HISPANIC	9	2.2	1,155,138	14.3	1	4.5	38,035	4
WHITE/NON-HISPANIC	370	93.0	6,372,554	78.9	16	77.3	551,420	79
HASIDIC JEWS	2	.5	306,200	3.8	0	0	0	0
WOMEN-OWNED*	24	6.0	1,309,637	16.2	1	4.5	252,800	25

*Women-owned totals included within the five racial/ethnic population totals.

The Office of Fair Housing and Equal Opportunity was created to promote the participation of minority and women-owned businesses in contracts led by HCR and to provide oversight of fair housing activities and monitoring. OFHEO participates annually in fair housing training provided by HUD and is working with HUD officials for additional training and workshops pertaining to the Section 3 Program. The Program applies to all recipients of housing and community development assistance in excess of \$200,000 and subcontracts in excess of \$100,000 awarded in connection with Section 3-covered activities. OFHEO developed and disseminated the "Utilization of Section 3 Residents and Businesses" reporting form. The form requires all recipients to provide documentation of all good faith efforts undertaken to utilize area residents as trainees and employees and to award contracts to businesses located within the Section 3-covered project area.

The Office of Fair Housing and Equal Opportunity (OFHEO) continued its monitoring of Minority and Women-Owned Business Enterprises (M/WBE) participation for project sponsors receiving HOME funds. Each recipient of HOME funding is required to take actions to increase M/WBE participation in its projects. Participation goals are established and evaluated by OFHEO and are incorporated into all HOME contracts. Participation goals are based on the HOME funding amount, local availability of M/WBEs and the geographical location of the project. As part of our continuing effort to maximize the participation of State-certified M/WBEs in HOME projects, OFHEO conducts annual workshops, offers technical assistance, and supplies informational materials to encourage greater participation. The Department of Housing and Urban Development (HUD) mandates that DHCR comply with Section 3 of the HUD Act of 1968. The purpose of Section 3 is to ensure that employment and other economic opportunities generated by HUD financial assistance or HUD-insured projects, shall, to the greatest extent feasible, be directed to low- and very low-income persons residing in the community where the project is being developed, particularly persons who are recipients of HUD assistance for housing. Non-compliance with Section 3 may result in sanctions, termination, debarment or suspension from future HUD-assisted contracts.

7.2.4 On-site Inspections of HOME Rental Units

Assisted rental units fall into two categories. For multi-family rental projects directly administered by DHCR/HTFC, DHCR's Asset Management Bureau monitors compliance during the affordability period. For smaller rental projects, which are administered by sub-recipients and State recipients, the responsibility for monitoring compliance during the affordability period

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rests with the sub-recipient or State recipient. In turn, their systems for ensuring compliance with program regulations are monitored annually by DHCR regional office staff.

During the period of January 1, 2012 through December 31, 2012, DHCR's Asset Management Bureau conducted on-site inspections of 103 HOME-assisted projects (containing a total of 3,561 units). Compliance monitoring of a project that is in service consists of a physical inspection of the property, an analysis of administrative operations and a review of tenant eligibility for a minimum of 20% of assisted units. Regulatory requirements on both the State and federal level are covered, with particular emphasis on Sections 92.508 and 92.351 of the Final HOME Rule.

7.2.5 Assessment of Affirmative Marketing Plans

In accordance with the State's Consolidated Plan, DHCR requires all sponsors to fully comply with all federal and State fair housing and nondiscrimination laws and enforces affirmative fair housing marketing requirements on all capital development projects containing five or more HOME-assisted housing units. OFHEO has developed an Affirmative Marketing Guideline to assist recipients with the compilation of an Affirmative Marketing Plan (AMP). DHCR documents and monitors the marketing outreach efforts of all HOME recipients. All HOME recipients are required to develop and submit for approval an AMP prior to the commencement of any marketing campaign. OFHEO approved 71 Affirmative Marketing Plans during the 2012 program year.

Should it be determined that a HOME recipient is not in compliance with affirmative marketing requirements, the recipient will be required to demonstrate that it took or will take corrective action to bring itself into compliance for any future marketing activities. In the event that a recipient fails to comply or take corrective action, DHCR may impose appropriate sanctions, including the assessment of negative scoring on future applications, recapture of funds and repayment of expended funds.

7.3 ESG Program Requirements

ESG activities and their relationship to the Consolidated Plan objectives and outcomes are described in Section 2.5.2. The relationship to serving persons within the Continuum is discussed in Section 5. Leveraging of ESG funds is discussed in Section 8.3. The self-evaluation is contained in Section 2.5.

7.4 HOPWA Program Requirements

The description of activities and improvements needed is provided in Section 2.6. The compliance and monitoring procedures are presented in Section 6.8.2. Leveraging is discussed in Table 51.

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8. Leveraging Resources

New York State leverages CDBG, HOME and ESGP funds in a variety of ways.

8.1 Leveraging of NYS CDBG Program Funds

Although leveraging is not a requirement of the NYS CDBG program, recipients often leverage CDBG funds with other State, Federal, local, and public funding. For housing rehabilitation projects, HOME, Weatherization, USDA Rural Housing and various other State-funded housing program grants are frequently combined with CDBG funds to co-fund housing units that are in severe substandard condition and where the costs to rehabilitate the property well exceeds the program limits of their CDBG program or provides the financial support needed to meet the needs of the very low income population. Leveraging funds also addresses a larger need and increases recipient accomplishments. Recipients with the appropriate capacity can undertake more units or a larger project or create more jobs.

In the Public Infrastructure category, USDA Rural Development and the New York State Environmental Facilities Corporation and Departments of Health, State and the Office of the Comptroller, as well as the Appalachian Regional Commission, may co-fund a project with the Office of Community Renewal to aid in making a project affordable to the low and moderate income residents and to provide an opportunity to expand the project to address additional health, safety and welfare issues.

Many economic development projects funded with NYS CDBG funds include significant partnering with the New York State Empire State Development Corporation, the federal Small Business Administration, and regional or county economic development agencies, as well as banks and private equity.

Occasionally, projects to rehabilitate or construct community facilities' programs receive construction funding from a NYS CDBG grant, and operating funds from other regular State, local or federal funding sources. Health and human services funding streams will typically create guaranteed, long-term viability for such projects.

The Office of Community Renewal encourages applicants to address community development needs through a targeted approach that will facilitate the use of several funding sources that may address needs such as housing rehabilitation, home ownership, public infrastructure and economic development in a particular area of need. Resources for a multi-need targeted project may require funding from other NYS Homes and Community Renewal sources as well as other state, federal, local and private funding sources.

8.2 Leveraging of HOME Funds

8.2.1 2012 HOME Matching Funds

Match contributions reported in Table 61 are based on the federal fiscal year that began October 1, 2011 and ended September 30, 2012, pursuant to HOME statute and HUD guidance. Match contributions are provided by New York State Housing Trust Fund grants, for projects that qualify as affordable housing pursuant to Section 215 of the National Affordable Housing Act.

TABLE 61
2012 HOME PROGRAM
MATCHING FUNDS
[In Dollars]

EXCESS MATCH (previous year)	MATCH CONTRIBUTION	MATCH LIABILITY	EXCESS MATCH CARRYOVER
\$71,883,549	\$4,328,572	\$4,328,572	\$71,916,850

8.2.2 2012 HOME Program Income

As of January 1, 2012, New York State and its HOME program recipients had a combined program income balance of

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\$1.00. During the reporting period, \$266,271.38 was received and \$266,270.38 was expended. Recipients who have active HOME programs may be permitted to retain program income received, but must use it for HOME eligible activities, before any regular HOME funds are drawn.

8.3 Leveraging of Funds for ESGP

The Emergency Solutions Grants Program requires a one hundred percent (100%) match by non-McKinney funds. STEHP awards were funded with \$3,127,552 in ESG funds and \$4,185,092 in New York State funds. With these State funds, New York State provided a 100% match. Grantees were also required to provide a twenty five percent (25%) match to their STEHP award. Table 62 describes the contractors' contributions.

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TABLE 62
2012 STEHP PROGRAM
MATCHING FUNDS
[In Dollars]

PROJECT	OTHER FEDERAL	LOCAL GOVERNMENT	PRIVATE	TOTAL
Addictions Care Center of Albany	0	22,045	0	22,045
Albany County DSS	0	71,997	0	71,997
BronxWorks	4,946	192,580	39,611	237,137
CAMBA		237,137		237,137
CAPTAIN Youth and Family Services, Inc.	0	0	86,301	86,301
Catholic Charities Archdiocese of New York			167,825	167,825
Catholic Charities of Chemung/Schuylar	0	61,611.00	0	61,611
Chances and Changes	0	17,712	0	17,712
Chautauqua Opportunities	0	0	62,724	62,724
Community Action Program Madison County	0	0	869	869
Domestic Violence and Rape Crisis Services of Saratoga County	0	0	15,786	15,786
Equinox, Inc.	0	30,239	2,937	33,176
ETC Housing Corporation	0	0	39,588	39,588
HONOR ehg (A Friend's House)	0	0	18,990	18,990
Hudson River Housing, Inc.	0	12,410	0	12,410
Interfaith Partnership for the Homeless, Inc.	0	22,895	0	22,895
Jefferson County DSS		54,888		54,888
Joseph's House & Shelter, Inc.	0	26,025	0	26,025
Legal Aid Society of Northeastern NY		25,671		25,671
Massena Independent Living Center		34,060	895	34,955
Opportunities for Otsego	0	36,437	0	36,437
Oswego County Opportunities	0	29,002	38,220	67,222
Queens Community House		99,910	9,757	109,667
Rural Ulster Preservation Company	0	18,697	0	18,697
SAFE, Inc.	0	12,500	0	12,500
Schenectady Community Action Program, Inc.	0	34,851	0	34,851
Snow Belt Housing		12,220		12,220
Spiritus Christi Prison Outreach, Inc.	0	9,500	0	9,500
St. Peter's Hospital Foundation	0	44,437	0	44,437
Steuben County DSS	0	22,452	25,000	47,452
The Salvation Army - Rochester	0	51,067	0	51,067
The Sharing Community, Inc.	0	36,705	0	36,705
Tompkins County DSS	0	72,134	0	72,134
Unity House of Troy, Inc.	0	9,511	18,066	27,577
Volunteers of America of WNY, Inc.	0	15,450	0	15,450
Westhab, Inc	0	25,013	0	25,013
YWCA of Niagara, Inc.	0	8,750	0	8,750
TOTALS	4,946	1,347,906	526,569	1,879,421

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8.4 Leveraging Funds for HOPWA

The State of New York has long demonstrated leadership and commitment to housing homeless persons with HIV/AIDS. This is most clearly demonstrated in the State's Homeless Housing and Assistance Program (HHAP). Leveraging of funds is demonstrated in Table 51.

The HHAP is a State-funded program providing capital grants and loans to not-for-profit corporations, charitable and religious organizations, municipalities and public corporations to acquire, construct or rehabilitate housing for homeless individuals and families. The program provides capital funding for the development of a broad range of housing options for the very diverse homeless population in the State. The goal of HHAP is to respond to the need for affordable housing for homeless and at risk homeless persons and to provide appropriate support services to help individuals/families achieve the highest level of independence they are capable of achieving.

Annually, HHAP receives an allocation of \$30 million in State operating funds of which \$5 million is specifically set aside for the development of housing for persons with HIV/AIDS. Since the inception of the program in 1983 through State Fiscal Year 2012-13, \$818,500,000 million has been appropriated to contribute toward the development of supported housing for homeless and at risk households in New York State. Since 1990, HHAP appropriation language has set aside \$5 million for the development of housing for people living with HIV/AIDS. In total, HHAP has awarded over \$117,291,480 million for the development of 1,827 units of housing for families and individuals living with HIV related illness and/or AIDS. In addition, during SFY 2012-13, HHAC received an allocation of \$14,365,000 from the Medicaid Redesign Team (MRT) initiative from NYS Governor Andrew Cuomo to develop permanent supported housing for homeless individuals who are high-cost Medicaid users.

8.5 Other Leveraging

The Low-Income Housing Credit (LIHC) Program is used to subsidize the construction, rehabilitation, and acquisition of affordable housing that is reserved for low-income households in New York State. The LIHC is typically needed in affordable housing because: 1) the rents (as derived from the low-income group served) cannot support the debt service of the mortgage; 2) the rents cannot support the project operating and maintenance costs; and/or 3) the development costs of the projects exceed the available amount of development subsidies.

The State's strategy, with regard to the LIHC, is to make allocations to projects which serve the lowest income tenants for the longest period of time and which will leverage the most capital financing and equity for each LIHC dollar allocated. Applications for LIHC are reviewed, scored and ranked based upon the extent that the proposed projects:

- Address unmet housing demand within the community.
- Are part of a comprehensive community revitalization plan which includes the use of existing housing.
- Leverage other financing and are efficient in their utilization of the LIHC allocation per unit made to the project.
- Will utilize Green building measures to encourage sustainable development.
- Provide full accessible units for persons with mobility or other physical impairments.
- Utilize energy efficiency standards.
- Will be affordable to persons with the lowest incomes (e.g., 30 percent, 40 percent, or 50 percent of area median income).
- Propose an effective regulatory period beyond the minimum extended use period required.
- Include the participation of non-profit organizations.
- Have obtained financing commitments.
- Extend a preference in tenant selection to persons on existing waiting lists for public housing or subsidized properties.
- Will serve individuals with children.
- Will promote mixed income development.
- Propose project amenities.
- Promote the preservation of historic buildings.

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- Will serve households that include persons with special needs, including the provision of supportive services.
- Will be developed and managed by entities that have a proven LIHC track record.

DHCR's Qualified Allocation Plan (QAP) addresses the tremendous demand for LIHC. Demand for the LIHC exceeds its supply by approximately four to one. The QAP outlines:

- Threshold eligibility and project selection criteria designed to meet housing needs and agency priorities throughout the State using a competitive funding round to address the demand for LIHC.
- The parameters for DHCR to allocate its annual housing credit ceiling, which enables it to assist in the development of an estimated 2,500 - 3,000 units of affordable housing each year, as well as to access the National Credit Pool for additional Credit resources; and
- DHCR's underwriting guidelines, which ensure that any project receives only the amount of credit required to make a project feasible.

9. Public Notice and Citizens Comments

This section will be updated after the completion of the public comment period.

NEW YORK STATE

**Consolidated Annual Performance and
Evaluation Report
Program Year 2012**

As Published for Public Comment

February 20-March 6, 2013

NEW YORK STATE 2012 PERFORMANCE REPORT

1.1. CR-60 - ESG 91.520(g) (ESG Recipients only)

ESG Supplement to the CAPER in *e-snaps* For Paperwork Reduction Act

1. Recipient Information—All Recipients Complete

Basic Grant Information

Recipient Name	NEW YORK
Organizational DUNS Number	004895517
EIN/TIN Number	146013200
Identify the Field Office	NEW YORK
Identify CoC(s) in which the recipient or subrecipient(s) will provide ESG assistance	Rochester/Irondequoit/Greene/Monroe County CoC

ESG Contact Name

Prefix	Mr.
First Name	Richard
Middle Name	
Last Name	Umholtz
Suffix	
Title	Assistant Director

ESG Contact Address

Street Address 1	40 North Pearl Street Floor 10B
Street Address 2	
City	Albany
State	NY
ZIP Code	12243
Phone Number	518-474-3080
Extension	
Fax Number	518-486-7068
Email Address	Richard.umholtz@otda.ny.gov

ESG Secondary Contact

Prefix	Ms.
First Name	Laura
Last Name	Zavala
Suffix	
Title	Program Manager
Phone Number	518-846-9466
Extension	
Email Address	laura.zavala@otda.ny.gov

2. Reporting Period—All Recipients Complete

Program Year Start Date	01/01/2012
Program Year End Date	12/31/2012

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3a. Subrecipient Form – Complete one form for each subrecipient

Subrecipient or Contractor Name: Addictions Care Center of Albany

City: Albany

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 88178

Subrecipient or Contractor Name: Albany County DSS

City: Albany

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Unit of Government

ESG Subgrant or Contract Award Amount: 287987

Subrecipient or Contractor Name: CAPTAIN Youth and Family Services

City: Saratoga

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 345203

Subrecipient or Contractor Name: Catholic Charities of Chemung/Schuyler Counties

City: Elmira

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 246443

Subrecipient or Contractor Name: Chances and Changes

City: Geneseo

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 70848

Subrecipient or Contractor Name: Chautauqua Opportunities

City: Dunkirk

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State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 250894

Subrecipient or Contractor Name: Community Action Program for Madison County

City: Morrisville

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 3475

Subrecipient or Contractor Name: Domestic Violence and Rape Crisis Services of Saratoga

City: Saratoga

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: Y

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 63144

Subrecipient or Contractor Name: BronxWorks

City: Bronx

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 948545

Subrecipient or Contractor Name: CAMBA

City: Brooklyn

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 948545

Subrecipient or Contractor Name: Catholic Charities Community Services Archdiocese of NY

City: New York

State: NY

Zip Code: ,

DUNS Number:

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Is subrecipient a VAWA-DV provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 671299

Subrecipient or Contractor Name: Equinox

City: Albany

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 132702

Subrecipient or Contractor Name: ETC Housing Corporation

City: Plattsburgh

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 158351

Subrecipient or Contractor Name: HONOR

City: Middletown

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 75957

Subrecipient or Contractor Name: Hudson River Housing

City: Poughkeepsie

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 49640

Subrecipient or Contractor Name: Interfaith Partnership for the Homeless

City: Albany

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N
Subrecipient Organization Type: Other Non-Profit Organization
ESG Subgrant or Contract Award Amount: 91580

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Subrecipient or Contractor Name: Jefferson County DSS

City: Watertown

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Unit of Government

ESG Subgrant or Contract Award Amount: 219552

Subrecipient or Contractor Name: Joseph's House and Shelter

City: Troy

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 104100

Subrecipient or Contractor Name: Legal Aid Society of Northeastern NY

City: Albany

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 102683

Subrecipient or Contractor Name: Massena Independent Living Center

City: Massena

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 139817

Subrecipient or Contractor Name: Opportunities for Otsego

City: Oneonta

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 145747

Subrecipient or Contractor Name: Oswego County Opportunities

City: Fulton

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State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 268887

Subrecipient or Contractor Name: Queens Community House

City: Forest Hills

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 438668

Subrecipient or Contractor Name: Rural Ulster Preservation Company

City: Kingston

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 74788

Subrecipient or Contractor Name: SAFE of Schenectady

City: Schenectady

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 50000

Subrecipient or Contractor Name: Schenectady Community Action Program

City: Schenectady

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 139402

Subrecipient or Contractor Name: Snow Belt Housing

City: Lowville

State: NY

Zip Code: ,

DUNS Number:

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Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 48880

Subrecipient or Contractor Name: Spiritus Christi Prison Outreach

City: Rochester

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 38000

Subrecipient or Contractor Name: St. Peter's Hospital

City: Albany

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 177745

Subrecipient or Contractor Name: Steuben County DSS

City: Bath

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Unit of Government

ESG Subgrant or Contract Award Amount: 189808

Subrecipient or Contractor Name: Salvation Army of Monroe County

City: West Nyack

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 204268

Subrecipient or Contractor Name: The Sharing Community

City: Yonkers

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 146818

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Subrecipient or Contractor Name: Tompkins County DSS

City: Ithaca

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 288534

Subrecipient or Contractor Name: Unity House

City: Troy

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: Y

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 110305

Subrecipient or Contractor Name: Westhab

City: Elmsford

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 100051

Subrecipient or Contractor Name: YWCA of Niagara

City: Lockport

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 35000

Subrecipient or Contractor Name: VOA of Western NY

City: Rochester

State: NY

Zip Code: ,

DUNS Number:

Is subrecipient a VAWA-DV provider: N

Subrecipient Organization Type: Other Non-Profit Organization

ESG Subgrant or Contract Award Amount: 61800

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1.2. CR-65 - Persons Assisted

4. Persons Served

4a. Complete for Homelessness Prevention Activities

Number of Persons in Households	Total
Adults	7,229
Children	11,640
Don't Know/Refused	0
Missing Information	0
Total	18,869

Table 1 – Household Information for Homeless Prevention Activities

4b. Complete for Rapid Re-Housing Activities

Number of Persons in Households	Total
Adults	614
Children	541
Don't Know/Refused	0
Missing Information	0
Total	1,155

Table 2 – Household Information for Rapid Re-Housing Activities

4c. Complete for Shelter

Number of Persons in Households	Total
Adults	7,567
Children	1,985
Don't Know/Refused	0
Missing Information	0
Total	9,552

Table 3 – Shelter Information

4d. Totals for all Persons Served with ESG

Number of Persons in Households	Total
Adults	15,331
Children	14,093
Don't Know/Refused	0
Missing Information	0
Total	29,424

Table 4 – Household Information for Persons Served with ESG

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5. Gender—Complete for All Activities

	Total
Male	12,820
Female	16,514
Transgendered	7
Unknown	83
Total	29,424

Table 5 – Gender Information

6. Age—Complete for All Activities

	Total
Under 18	14,093
18-24	3,332
Over 24	11,999
Don't Know/Refused	0
Missing Information	0
Total	29,424

Table 6 – Age Information

7. Special Populations Served—Complete for All Activities

Number of Persons in Households

Subpopulation	Total Persons Served – Prevention	Total Persons Served – RRH	Total Persons Served in Emergency Shelters	Total
Veterans	18	12	210	236
Victims of Domestic Violence	86	72	856	1006
Elderly	26	4	152	177
HIV/AIDS	1	0	23	24
Chronically Homeless	21	40	1138	1199
Persons with Disabilities:				
Severely Mentally Ill	122	58	962	1135
Chronic Substance Abuse	30	27	1277	1330
Other Disability	239	104	519	862
Total (Unduplicated if possible)	365	225	3635	4111

Table 7 – Special Population Served

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1.3. CR-70 – Assistance Provided

8. Shelter Utilization

Number of New Units - Rehabbed	0
Number of New Units - Conversion	0
Total Number of bed-nights available	237,716
Total Number of bed-nights provided	180,170
Capacity Utilization	75.79%

Table 8 – Shelter Capacity

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1.4. CR-75 – Expenditures

11. Expenditures

11a. ESG Expenditures for Homelessness Prevention

	Dollar Amount of Expenditures in Program Year		
	FY 2009	FY 2010	FY 2011
Expenditures for Rental Assistance	0	0	229,796
Expenditures for Housing Relocation and Stabilization Services - Financial Assistance	0	0	0
Expenditures for Housing Relocation & Stabilization Services - Services	0	0	2,832,631
Expenditures for Homeless Prevention under Emergency Shelter Grants Program	0	0	0
Subtotal Homelessness Prevention	0	0	3,062,427

Table 9 – ESG Expenditures for Homelessness Prevention

11b. ESG Expenditures for Rapid Re-Housing

	Dollar Amount of Expenditures in Program Year		
	FY 2009	FY 2010	FY 2011
Expenditures for Rental Assistance	0	0	131,352
Expenditures for Housing Relocation and Stabilization Services - Financial Assistance	0	0	0
Expenditures for Housing Relocation & Stabilization Services - Services	0	0	182,032
Expenditures for Homeless Prevention under Emergency Shelter Grants Program	0	0	0
Subtotal Rapid Re-Housing	0	0	313,384

Table 10 – ESG Expenditures for Rapid Re-Housing

11c. ESG Expenditures for Emergency Shelter

	Dollar Amount of Expenditures in Program Year		
	FY 2009	FY 2010	FY 2011
Essential Services	0	0	1,434,958
Operations	0	0	472,759
Renovation	0	0	0
Major Rehab	0	0	0
Conversion	0	0	0
Subtotal	0	0	1,907,717

Table 11 – ESG Expenditures for Emergency Shelter

11d. Other Grant Expenditures

	Dollar Amount of Expenditures in Program Year		
	FY 2009	FY 2010	FY 2011
HMIS	0	0	0
Administration	0	0	111,681
Street Outreach	0	0	0

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Table 12 Other Grant Expenditures

11e. Total ESG Grant Funds

Total ESG Funds Expended	FY 2009	FY 2010	FY 2011
5,395,209	0	0	5,395,209

Table 13 Total ESG Funds Expended

11f. Match Source

	FY 2009	FY 2010	FY 2011
Other Non-ESG HUD Funds	0	0	0
Other Federal Funds	0	0	0
State Government	0	0	4,046,467
Local Government	0	0	0
Private Funds	0	0	0
Other	0	0	1,348,742
Fees	0	0	0
Program Income	0	0	0
Total Match Amount	0	0	5,395,209

Table 14 Other Funds Expended on Eligible ESG Activities

11g. Total

Total Amount of Funds Expended on ESG Activities	FY 2009	FY 2010	FY 2011
10,790,418	0	0	10,790,418

Table 15 - Total Amount of Funds Expended on ESG Activities