New York State
Performance Report
Program Year 2009

As Approved by
U.S Department of Housing and Urban Development
April 22, 2011

New York State
Division of Housing and Community Renewal
Office of Temporary and Disability Assistance
Office of Community Renewal

Andrew M. Cuomo, Governor

On the cover:

West Sayville, Suffolk County
Pollack Gardens - The project is the rehabilitation of fifty units of rental housing units to develop a two story structure which will include office and community space for people with psychiatric disabilities.

Kingston, Ulster County
The Rural Ulster Preservation Company (RUPCO) purchased this home privately with the help of a Community Development Block Grant from the city and a grant from the New York State Division of Housing and Community Renewal.

Haverstraw, Rockland County
The Neighborhood Preservation Company HOGAR is helping the Hispanic population of Rockland County to achieve the American Dream of homeownership. With funding from the New York State Division of Housing and Community Renewal, they are providing homeownership classes to first-time homebuyers.

NEW YORK STATE

2009
Consolidated Annual Performance and Evaluation Report (CAPER)

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Appendix I Citizen Participation
Public Notice Documentation

Appendix II NYS CDBG Program Performance and Evaluation Report
Program Year 2009 (**Submitted to HUD under separate cover**)

Appendix III 2009 New York State Unified Funding Awards

Appendix IV FORM: HUD 40107-A HOME Match Award

1. Executive Summary and Introduction

This Consolidated Annual Performance and Evaluation Report (CAPER) summarizes activities undertaken by New York State agencies during Program Year 2009 (1/1/09 – 12/31/09) 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, access to safe drinking water, proper disposal of household wastewater, 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 Grants Program
  The ESG program provides funds for emergency shelters, transitional housing for the homeless, and essential social services both to assist the homeless and to prevent homelessness. ESGP is administered by the New York State Office of Temporary and Disability Assistance (OTDA).

- 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 2006-2010 and its Annual Action Plan for 2009. 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 2006-2010 and all associated documents, including its Annual Action Plan for 2009 and this Consolidated Annual Performance and Evaluation Report for 2009, 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 2006-2010 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 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 new performance measurement system. Under this system, 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

Outcome → / Objective ↓		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 now 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
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)

2. Assessment of Progress toward Goals and Objectives

2.1 Progress toward the Five-Year Goals

2009 constituted the fourth year in the five-year (2006 – 2010) Consolidated Plan for the State of New York. When the State commenced the 2006 – 2010 Plan, HUD had not yet implemented the Performance Measurement System. The State has subsequently amended its Annual Plan to reflect the Performance Measurement Framework, and to report against one-year goals in the next sections.

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 2006 through 2010, New York State specified objectives and outcomes it would seek to reach in furtherance of these goals. In 2006, 2007, 2008 and 2009, the first four years of the planning period, steady progress has been achieved.

With respect to the goal of creating and preserving decent housing, it was initially estimated in the five-year Consolidated Plan that NYS CDBG funds would be used to improve the availability of affordable housing by rehabilitating approximately 5,300 units (five-year Plan, page 83). At the same time, HOME funds would make decent housing more available by funding the rehabilitation of 3,500 (five-year Plan, page 82) owner-occupied units. During the first four years of the planning period, NYS CDBG funds have been used to rehabilitate 3,849 affordable housing units, and HOME funds have been used to rehabilitate 3,787 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 1,000 (five-year Plan, page 87) households and the HOME program would fund a variety of activities that would make decent housing more affordable for approximately 4,750 (five-year Plan, pages 84-88) households. In the first four years of the planning period, the NYS CDBG program has made decent housing more affordable by providing homeownership assistance to 614 households and the HOME program has made decent housing more affordable for 3,176 households by funding housing construction and rehabilitation and tenant-based rental assistance. In 2009 alone, the ESG program provided assistance which made decent housing more available for 2,036 (Table 45, 2009 CAPER) individuals and HOPWA-funded assistance made decent housing more affordable for 446 (Table 49, 2009 CAPER) households.

With respect to the goal of creating suitable living environments, the State's 2009 Action Plan estimated that the ESG program would provide assistance to homeless shelters which would, in turn, provide services to a total of approximately 13,200 (2009 Action Plan, HUD Table 3C, page 34) individuals as well as supportive services to assist 11,916 (2009 Action Plan, HUD Table 3C, page 34) individuals. In 2009, ESGP funds increased the availability of suitable living environments for 35,531 (Table 45, 2009 CAPER) individuals and 839 (Table 49, 2009 CAPER) individuals were served with HOPWA-funded assistance. In addition, it was estimated that the NYS CDBG program would fund 130 (five-year Plan, HUD Table 2C, page 97) public facilities and infrastructure projects. Also, during the same period, 43,735 (Table 33, 2009 CAPER) individuals benefited from NYS CDBG-funded infrastructure and public facility projects and 839 (Table 49, 2009 CAPER) individuals were assisted with HOPWA-funded supportive services.

Finally, with regard to the goal of creating economic opportunity, the State's five-year Consolidated Plan estimated that NYS CDBG-funded economic development activities would create or retain approximately 6,000 (five-year Plan, HUD Table 2C, page 97) jobs. During the first four years of the planning period, NYS CDBG-funded economic development activities have resulted in the creation or retention of 4,527* full-time jobs and 921* 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 2009 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.

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 2009:

TABLE 3
PROGRAM YEAR 2009
FUNDS COMMITTED AND EXPENDED
BY PROGRAM, OBJECTIVE/OUTCOME CODE AND ACTIVITY

PROGRAM	CODE	ACTIVITY	RESOURCES [in Dollars]	
			COMMITTED	EXPENDED
CDBG	DH-1	Housing Rehabilitation	14,946,672	12,477,519
	DH-2	Purchase Assistance	3,456,920	2,225,391
	EO-1	Job Creation/Retention Assistance	12,834,363	11,868,384
	EO-2	Business Assistance	0	1,830,390
	SL-2	Infrastructure Improvements	8,944,081	9,459,254
	SL-3	Public Facility Improvements	878,475	1,811,089
	N/A	General Program Administration*	2,666,423	2,915,183
HOME	DH-1	Owner-occupied Rehabilitation	13,856,345	24,928,042
	DH-2	Home Ownership Assistance Tenant-based Rental Assistance Rental Rehabilitation/New Construction	27,148,264	12,841,719
ESGP	DH-1	Homeless Prevention	374,608	365,590
	SL-1	Essential Services Maintenance and Operations	2,676,422	2,385,570
HOPWA	DH-2	Tenant-based Rental Assistance Congregate Housing Short Term Rental Assistance	1,119,859	940,696
	SL-1	Supportive Services	720,231	286,635

*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 the identified categories in addition to funds used by the State to administer the program.

In addition to the activities and resources identified above, funds were also used for technical assistance, program administration, and a variety of related purposes which will be described in more detail in the program-specific sections which follow.

Table 3 reports resources committed and expended during the Program Year 1/1/09 – 12/31/09, 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 2009 expenditures do not correspond to PY 2009 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 2009, 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.

TABLE 4
PROGRESS TOWARD ONE-YEAR GOALS
ESTIMATED AND ACTUAL ACCOMPLISHMENTS IN 2009
BY PROGRAM, OBJECTIVE/OUTCOME CODE AND ACTIVITY

PROGRAM	OBJECTIVE-OUTCOME CODES	ACTIVITIES	2009 ACCOMPLISHMENTS	
			Estimated	Actual
CDBG	DH-1	Housing Units Rehabilitated	990	751
	DH-2	Households Receiving Home Ownership Assistance	125	103
	EO-1	Permanent Jobs Created or Retained	1,000	916
	EO-2	Businesses Assisted	40	78
	SL-2 SL-3	Persons Benefiting from Infrastructure Improvements Persons Benefiting from Public Facility Improvements	37,000	43,735
HOME	DH-1	Owner-occupied Housing Units Rehabilitated	719	961
	DH-2	Households Receiving Home Ownership Assistance Households Assisted with Tenant-based Rental Subsidies Existing Rental Housing Units Rehabilitated New Housing Units Constructed	624	640
ESGP	DH-1	Individuals Assisted to Prevent Homelessness	1,377	2,036
	SL-1*	Individuals Provided Essential Services Individuals Assisted by Maintenance & Operations Funding	25,116	35,531
HOPWA	DH-2	Households Assisted with Tenant-based Rental Subsidies Households Assisted with Congregate Housing Households Assisted with Short-term Rental Subsidies	645	446
	SL-1	Individuals Assisted with Supportive Services	1,710	839

**The large discrepancy between ESGP projected and actual number of persons assisted is a result of greater numbers served, especially in terms of Non-Residential Sservices and the funding of drop-in centers. For Residential Services, an individual unduplicated count is used, which means that a client is counted only once, for each stay, no matter how many days they stay at the facility. For Non-Residential Services, an individual is counted once for every visit, no matter how many services that individual receives. If they return the next day, they are counted again.*

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 2009.

TABLE 5
2009 CDBG, HOME, ESG AND HOPWA PROGRAMS
FORMULA FUNDS AWARDED
SUMMARY OF GEOGRAPHIC DISTRIBUTION
[in Dollars]

COUNTY	CDBG	HOME	ESGP	HOPWA	TOTAL
ALBANY*	0	3,126,000	477,057	232,183	3,835,240
ALLEGANY	1,221,000	900,000	0	0	2,121,000
BRONX	0	600,000	0	0	600,000
BROOME	400,000	500,000	0	130,703	1,030,03
CATTARAUGUS	951,000	800,000	0	0	1,751,000
CAYUGA	0	0	0	0	0
CHAUTAUQUA	1,124,839	0	38,100	80,704	1,243,643
CHEMUNG	1,500,000	270,000	70,851	0	1,840,851
CHENANGO	1,500,000	400,000	0	0	1,900,000

COUNTY	CDBG	HOME	ESGP	HOPWA	TOTAL
CLINTON	1,955,277	500,000	90,000	0	2,545,277
COLUMBIA	200,000	0	0	0	200,000
CORTLAND	400,000	400,000	0	0	800,000
DELAWARE	701,000	300,000	0	0	1,001,000
DUTCHESS	0	582,388	0	0	582,388
ERIE*	0	5,606,321	0	86,391	5,692,712
ESSEX	1,010,000	0	0	0	1,010,000
FRANKLIN	1,340,000	400,000	0	0	1,740,000
FULTON	1,150,000	340,000	0	0	1,490,000
GENESEE	602,000	900,000	0	0	1,502,000
GREENE	841,000	1,891,330	0	0	2,732,330
HAMILTON	0	280,000	0	0	280,000
HERKIMER	1,994,258	700,000	0	0	2,694,258
JEFFERSON	1,400,000	300,000	0	0	1,700,000
KINGS	0	600,000	39,594	0	639,594
LEWIS	769,200	0	0	0	769,200
LIVINGSTON	151,000	500,000	0	0	651,000
MADISON	1,629,520	710,000	0	0	2,339,520
MONROE*	0	200,000	258,337	70,364	528,701
MONTGOMERY	2,150,000	794,580	0	0	2,944,580
NASSAU	0	0	0	0	0
NEW YORK	0	0	771,694	0	771,694
NIAGARA	1,032,000	575,000	8,598	0	1,615,598
ONEIDA	1,330,500	378,000	0	0	1,708,500
ONONDAGA	0	3,400,000	68,628	702,974	4,171,602
ONTARIO	1,031,000	1,849,583	0	0	2,880,583
ORANGE	800,000	0	0	0	800,000
ORLEANS	890,693	1,224,040	0	0	2,114,733
OSWEGO	1,312,000	400,000	0	0	1,712,000
OTSEGO	400,000	400,000	0	0	800,000
PUTNAM	0	0	150,000	0	150,000
QUEENS	0	1,200,000	0	0	1,200,000
RENSSELAER	1,706,000	300,000	110,748	0	2,116,748
RICHMOND	0	0	156,000	0	156,000
ROCKLAND	400,000	0	0	0	400,000
SARATOGA	600,000	700,000	289,266	0	1,589,266
SCHENECTADY	0	300,000	150,000	0	450,000
SCHOHARIE	500,000	300,000	0	0	800,000
SCHUYLER	22,500	0	0	0	22,500
SENECA	495,000	324,000	0	0	819,000
ST. LAWRENCE	3,117,000	797,000	0	0	3,914,000
STEUBEN	1,565,500	300,000	0	0	1,865,500
SUFFOLK	0	1,000,000	0	0	1,000,000
SULLIVAN	624,000	400,000	0	249,796	1,273,796
TIOGA	400,000	400,000	0	0	800,000
TOMPKINS	0	2,642,702	222,157	0	2,864,859
ULSTER	1,350,000	0	0	286,975	1,636,975
WARREN	0	275,000	0	0	275,000
WASHINGTON	400,000	700,000	0	0	1,100,000

COUNTY	CDBG	HOME	ESGP	HOPWA	TOTAL
WAYNE	1,055,000	600,000	0	0	1,655,000
WESTCHESTER	0	270,000	150,000	0	420,000
WYOMING	1,167,000	200,000	0	0	1,367,000
YATES	0	468,665	0	0	468,665
NEW YORK STATE	40,000	0	0	0	40,000
TOTAL	43,228,287	41,004,609	3,051,030	1,840,090	89,124,016

* 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 provides housing information and resource identification statewide.

2.2.4 Assistance to Minorities

The following four tables summarize NYS CDBG, HOME, ESGP and HOPWA assistance provided in 2009 to households and individuals by the race and ethnicity of those assisted.

TABLE 6
2009 NYS CDBG PROGRAM
RACE/ETHNICITY OF THOSE ASSISTED
TOTALS FOR ALL OBJECTIVES/OUTCOMES

RACE	HOUSEHOLDS		PERSONS	
	TOTAL	HISPANIC	TOTAL	HISPANIC
WHITE	20,786	638	64,038	2,221
ASIAN	82	0	427	0
ASIAN AND WHITE	0	0	1	0
BLACK/AFRICAN AMERICAN	1,400	3	4,230	118
BLACK/AFRICAN AMERICAN AND WHITE	12	0	37	0
AMERICAN INDIAN/ALASKAN NATIVE	31	0	113	1
AMERICAN INDIAN/ALASKAN NATIVE/WHITE	2	0	4	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	1	0	4	0
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	7	0	23	0
OTHER MULTI-RACIAL*	498	9	961	56
TOTAL	22,819	650	69,838	2,396

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
2009 HOME PROGRAM
RACE/ETHNICITY OF HOUSEHOLDS ASSISTED
TOTALS FOR ALL OBJECTIVES/OUTCOMES

RACE	TOTAL	HISPANIC
WHITE	1,261	34
ASIAN	7	0
BLACK/AFRICAN AMERICAN	267	4
BLACK/AFRICAN AMERICAN AND WHITE	11	0
AMERICAN INDIAN/ALASKAN NATIVE	1	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	1	0
OTHER	2	0
OTHER MULTI-RACIAL	51	45
TOTAL	1,601	83

TABLE 8
2009 ESG PROGRAM
RACE/ETHNICITY OF INDIVIDUALS SERVED
TOTALS FOR ALL OBJECTIVES/OUTCOMES

RACE	TOTAL	HISPANIC
WHITE	14,035	2,537
BLACK/AFRICAN AMERICAN	21,681	3,674
ASIAN	59	
AMERICAN INDIAN/ALASKAN NATIVE	65	
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	1	0
AMERICAN INDIAN/ALASKAN NATIVE AND WHITE	4	
ASIAN AND WHITE	6	0
BLACK/AFRICAN AMERICAN AND WHITE	1,194	32
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/ AFRICAN AMERICAN	9	2
OTHER MULTI-RACIAL	513	268
ASIAN/PACIFIC ISLANDER	0	0
TOTAL	37,567	6,513

TABLE 9
2009 HOPWA PROGRAM
RACE/ETHNICITY OF INDIVIDUALS SERVED
TOTALS FOR ALL OBJECTIVES/OUTCOMES

RACE	TOTAL	HISPANIC
WHITE	451	95
BLACK/AFRICAN AMERICAN	266	10
ASIAN	4	0
AMERICAN INDIAN/ALASKAN NATIVE	2	0
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	1	0
AMERICAN INDIAN/ALASKAN NATIVE AND WHITE	0	0
ASIAN AND WHITE	0	0
BLACK/AFRICAN AMERICAN AND WHITE	60	2
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	0	0
OTHER MULTI-RACIAL	55	37
ASIAN/PACIFIC ISLANDER	0	0
TOTAL	839	144

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 population, and counties under 200,000 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 2009

Program Year 2009 marks the tenth full year of New York State's administration of the NYS CDBG program. For Program Year 2009, $48,376,971 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 $46,376,971 of PY 2009 funds for annual, open round, community planning, technical assistance, innovative projects and imminent threat grants as well as state administration. In addition to the $46,376,971 available from the 2009 HUD allocation, an additional $19,341,454 was available from prior year funds. These funds include unobligated, deobligated, and returned funds from Program Years 2000 through 2008 funding. Sixty-eight (68) Annual Competitive Round grants and 35 Economic Development grants were awarded during the 2009 Program Year. In November 2008, approximately $500,000 was made available through the NYS CDBG program for Community Planning grants. Twenty-two (22) awards for the Community Planning Round were made in January of 2009 in the amount of $428,893. The total amount of funds awarded in Program Year 2009 is $42,759,394 excluding state administration, Community Planning, Technical Assistance, Innovative Projects and Section 108 loan repayments.

2.3.2 Distribution of NYS CDBG Funds in Program Year 2009

Program Year 2009 marks the tenth annual round of the NYS CDBG competitive awards for Housing, Public Infrastructure and Public Facilities grants and the ninth year in which Economic Development awards were made on an open round (non-competitive) application cycle. In PY 2009, the Economic Development Open Round program was expanded to include microenterprise assistance grants and small business assistance grants. Also in PY 2009, the category of comprehensive grants was eliminated from the competitive round. This report reflects achievements of NYS CDBG recipients awarded sixth, seventh, eighth, and ninth (2005 through 2008) annual competitive NYS CDBG awards as well as the achievements of the sixth, seventh, eighth and ninth (2006 through 2009) open round economic development awards. The data presented reflects the accomplishments of the NYS CDBG program recipients as of December 31, 2009 and includes the housing units rehabilitated, housing units newly constructed, 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 2009 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 workshops and informal communications with recipients, potential applicants, and various community development professionals around the State.

2.3.2.1 2009 Distribution of NYS CDBG Funds by Function and Activity

In 2009, HTFC expended $505,154 from its administrative allocation from Program Year 2009, in addition to $900,000 from previous years unused administrative allocations. At the end of PY 2009, New York State has just over $5 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 ten years the program has been administered by New York State.

TABLE 10
NYS CDBG PROGRAM
ADMINISTRATION FUNDING
[in Dollars]

PROGRAM YEAR	CDBG ALLOCATION ADMINISTRATION FUNDING	CDBG ADMINISTRATION FUNDS DRAWNDOWN	AVAILABLE BALANCE OF CDBG ADMINISTRATION FUNDS
2000	1,017,980	900,000	117,980
2001	1,247,060	0	1,365,040
2002	1,131,340	0	2,496,380
2003	1,146,600	0	3,642,980
2004	1,145,807	500,000	4,288,787
2005	1,088,472	683,808	4,693,451
2006	970,394	970,394	4,693,451
2007	976,075	976,075	4,693,451
2008	949,427	949,427	4,693,451
2009	967,540	505,154	5,155,837
TOTAL	10,640,695	5,484,858	5,155,837

The Program Year 2009 Action Plan allocated program resources approximately as shown in Table 11 below:

TABLE 11
2009 NYS CDBG PROGRAM
ALLOCATION OF FUNDS BY CATEGORY

CATEGORY	PERCENT
COMPETITIVE	61%
ECONOMIC DEVELOPMENT (OPEN ROUND)	28%
IMMINENT THREAT/CONTINGENCY	Up to 2%
ADMINISTRATION	Up to 2%
TECHNICAL ASSISTANCE & CAPACITY BUILDING	Up to 1%
COMMUNITY PLANNING	Up to 1%
INNOVATIVE PROJECTS & SPECIAL ASSISTANCE	5%
ALL RESOURCES	100%

The next table, Table 12, shows funds requested and awarded:

TABLE 12
2009 NYS CDBG PROGRAM
GRANT REQUESTS AND AWARDS

CATEGORY	REQUESTS		AWARDS	
	AMOUNT [in Dollars]	NUMBER OF GRANTS	AMOUNT [in Dollars]	NUMBER OF GRANTS
TOTAL HOUSING	37,685,327	93	19,539,859	48
Housing Rehabilitation	33,280,807	83	15,735,339	39
Home Ownership	4,404,520	10	3,804,520	9
New Construction	0	0	0	0
TOTAL PUBLIC INFRASTRCUTRE & FACILITIES	35,163,918	67	10,143,672	20
Water	16,156,092	30	4,264,672	8
Sewer	13,870,520	25	4,279,000	8
Community Facilities/Other	5,137,306	12	1,600,000	4
ECONOMIC DEVELOPMENT (Open Round/ Microenterprise/Small Business)*	1,025,000	8	725,000	6
ECONOMIC DEVELOPMENT (Open Round)	25,458,363	58	12,350,863	28
TECHNICAL ASSISTANCE	0	0	40,000	1
IMMINENT THREAT	0	0	0	0
COMMUNITY PLANNING**	0	0	428,893	22
GRAND TOTAL	99,332,608	226	43,228,287	125

* Including microenterprise and façade activities
** Community Planning applications were received in November 2008 and were awarded in early 2009.

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 2009, applicants who requested funds through the Housing category proposed activities that included housing rehabilitation, home ownership, and water and sewer laterals. HTFC awarded 48 housing grants totaling $19,539,859 in 2009. Of these, 39 ($15,735,339) 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 2009, 16 were for public water and sewer activities totaling $8,543,672. In addition to public infrastructure projects, HTFC also awarded 4 grants totaling $1,600,000 for the construction of facilities in underserved areas which will house a range of public services that are funded by other public and private funding sources.

Economic development funds were awarded for 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. PY 2009 was the first year that microenterprise activities were funded through the open-round economic development programs. In addition, a small business assistance category was added to the economic development portfolio to assist those businesses of 25 or fewer employees who do not qualify as a microenterprise and the traditional economic development program is not an appropriate funding source. Microenterprise program funds were awarded to projects that provided assistance to low- and moderate-income business owners as well as non-low-income business owners who created jobs for low-and moderate-income persons. Finally, 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.

During Program Year 2009, 34 awards totaling $13,075,863 were made for economic development activities under the open round application process. Of the 34, three (3) were microenterprise assistance projects and three (3) were small business assistance projects. Table 13 shows that the majority of economic development funds are used for traditional economic development grants with a smaller allocation for microenterprise and small business programs.

Table 13 shows a breakdown of activities funded by grant awards made in PY 2009.

TABLE 13
2009 NYS CDBG PROGRAM
AWARDS BY ACTIVITY
[in Dollars]

ACTIVITY TYPE	TOTAL FUNDING	NUMBER OF ACTIVITIES
HOUSING	19,539,859	145
Housing Rehabilitation	15,885,339	138
Homeownership	3,654,520	7
New Construction	0	0
PUBLIC FACILITIES	10,143,672	35
Water	4,264,672	12
Sewer	4,279,000	15
Community Facility/Other	1,600,000	8
ECONOMIC DEVELOPMENT	13,075,863	72
Microenterprise and Small Business	725,000	16
Economic Development (Open Round)	12,350,863	56
COMMUNITY PLANNING	428,893	22
TECHNICAL ASSISTANCE	40,000	1
TOTAL	43,228,287	275

2.3.2.2 2009 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 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
- 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 2009 NYS CDBG funds were distributed according to categories of use and the objectives of the five-year Consolidated Plan.

TABLE 14
2009 NYS CDBG PROGRAM
DISTRIBUTION OF AWARDS BY USE AND OBJECTIVE

CODE	HOUSING	PUBLIC FACILITIES	ECONOMIC DEVELOPMENT	TECHNICAL ASSISTANCE	IMMINENT THREAT	COMMUNITY PLANNING
DH-1	37%					
DH-2	8%					
EO-1			30%			
EO-2						
SL-2		20%				
SL-3		4%				
N/A				<1%*	0%	<1%**

* Technical Assistance funds were used by the State to provide direct technical assistance to its recipients.
** Community Planning applications were received in November 2008 and were awarded in early 2009.

2.3.2.3 Types of Households Assisted in 2009 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 2009 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
2009 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	41	76	69	184	49	65	159	325
OWNERS	111	222	137	304	235	615	483	1,141
TOTAL	152	298	206	488	284	680	642	1,466

HH = Households P = Persons

TABLE 16
2009 NYS CDBG PROGRAM
FEMALE HEAD OF HOUSEHOLDS
OBJECTIVE/OUTCOME = DH-1

TOTAL BENEFICIARIES
273

TABLE 17
2009 NYS CDBG PROGRAM
RACE/ETHNICITY OF THOSE ASSISTED
OBJECTIVE/OUTCOME = DH-1

RACE	HOUSEHOLDS		PERSONS	
	TOTAL	HISPANIC	TOTAL	HISPANIC
WHITE	612	9	1,328	26
ASIAN	2	0	7	0
ASIAN AND WHITE	0	0	0	0
BLACK/AFRICAN AMERICAN	14	0	62	0
BLACK/AFRICAN AMERICAN AND WHITE	3	0	12	0
AMERICAN INDIAN/ALASKAN NATIVE	0	0	0	0
AMERICAN INDIAN/ALASKAN NATIVE/WHITE	2	0	2	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	1	0	2	0
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	1	0	1	0
OTHER MULTI-RACIAL*	9	9	53	53
TOTAL	644	18	1,467	79

* 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
2009 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	3	4	39	77	61	163	103	244

HH = Households P = Persons

TABLE 19
2009 NYS CDBG PROGRAM
FEMALE HEAD OF HOUSEHOLD
OBJECTIVE/OUTCOME = DH-2

TOTAL BENEFICIARIES
45

TABLE 20
2009 NYS CDBG PROGRAM
RACE/ETHNICITY OF THOSE ASSISTED
OBJECTIVE/OUTCOME = DH-2

RACE	HOUSEHOLDS		PERSONS	
	TOTAL	HISPANIC	TOTAL	HISPANIC
WHITE	99	0	235	0
ASIAN	0	0	0	0
ASIAN AND WHITE	0	0	0	0
BLACK/AFRICAN AMERICAN	3	0	4	0
BLACK/AFRICAN AMERICAN AND WHITE	0	0	0	0
AMERICAN INDIAN/ALASKAN NATIVE	0	0	0	0
AMERICAN INDIAN/ALASKAN NATIVE/WHITE	0	0	0	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	1	0	5	0
TOTAL	103	0	244	0

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 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
2009 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	336	209	213	758

TABLE 22
2009 NYS CDBG PROGRAM
FEMALE HEAD OF HOUSEHOLD
OBJECTIVE/OUTCOME = EO-1

TOTAL BENEFICIARIES
95

TABLE 23
2009 NYS CDBG PROGRAM
RACE/ETHNICITY OF PERSONS ASSISTED
OBJECTIVE/OUTCOME = EO-1

RACE	TOTAL	HISPANIC
WHITE	841	10
ASIAN	7	0
ASIAN AND WHITE	1	0
BLACK/AFRICAN AMERICAN	40	0
BLACK/AFRICAN AMERICAN AND WHITE	0	0
AMERICAN INDIAN/ALASKAN NATIVE	5	1
AMERICAN INDIAN/ALASKAN NATIVE/WHITE	2	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	1	0
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	0	0
OTHER MULTI-RACIAL*	18	3
TOTAL	915	14

* 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
2009 NYS CDBG PROGRAM
INCOME OF HOUSEHOLDS ASSISTED
OBJECTIVE/OUTCOME = EO-2

	VERY LOW-INCOME 0-30% HAMFI	LOW-INCOME 31-50% HAMFI	MODERATE-INCOME 51-80% HAMFI	TOTAL
BENEFICIARIES	3,433	1,668	2,052	7,153

TABLE 25
2009 NYS CDBG PROGRAM
FEMALE HEAD OF HOUSEHOLD
OBJECTIVE/OUTCOME = EO-2

TOTAL BENEFICIARIES
472

TABLE 26
2009 NYS CDBG PROGRAM
RACE/ETHNICITY OF PERSONS ASSISTED
OBJECTIVE/OUTCOME = EO-2

RACE	TOTAL	HISPANIC
WHITE	12,308	482
ASIAN	183	0
ASIAN AND WHITE	0	0
BLACK/AFRICAN AMERICAN	516	0
BLACK/AFRICAN AMERICAN AND WHITE	1	0
AMERICAN INDIAN/ALASKAN NATIVE	30	0
AMERICAN INDIAN/ALASKAN NATIVE/WHITE	0	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	0	0
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	12	0
OTHER MULTI-RACIAL*	35	0
TOTAL	13,085	482

* 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
2009 NYS CDBG PROGRAM
INCOME OF HOUSEHOLDS 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	2,033	4,681	5,613	13,262	2,616	6,191	10,262	24,134

HH=Households P=Persons

TABLE 28
2009 NYS CDBG PROGRAM
FEMALE HEAD OF HOUSEHOLD
OBJECTIVE/OUTCOME = SL-2

TOTAL BENEFICIARIES
3,676

TABLE 29
2009 NYS CDBG PROGRAM
RACE/ETHNICITY OF THOSE ASSISTED
OBJECTIVE/OUTCOME = SL-2

RACE	HOUSEHOLDS		PERSONS	
	TOTAL	HISPANIC	TOTAL	HISPANIC
WHITE	16,158	576	39,938	1,569
ASIAN	67	0	206	0
ASIAN AND WHITE	0	0	0	0
BLACK/AFRICAN AMERICAN	1,311	3	3,462	118
BLACK/AFRICAN AMERICAN AND WHITE	1	0	3	0
AMERICAN INDIAN/ALASKAN NATIVE	27	0	68	0
AMERICAN INDIAN/ALASKAN NATIVE/WHITE	0	0	0	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	0	0	1	0
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	5	0	9	0
OTHER MULTI-RACIAL*	136	0	359	0
TOTAL	17,705	579	44,046	1,687

* 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
2009 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	556	1,366	531	1,299	1,076	2,299	2,163	4,964

HH=Households P=Persons

TABLE 31
2009 NYS CDBG PROGRAM
FEMALE HEAD OF HOUSEHOLD
OBJECTIVE/OUTCOME = SL-3

TOTAL BENEFICIARIES
496

TABLE 32
2009 NYS CDBG PROGRAM
RACE/ETHNICITY OF THOSE ASSISTED
OBJECTIVE/OUTCOME = SL-3

RACE	HOUSEHOLDS		PERSONS	
	TOTAL	HISPANIC	TOTAL	HISPANIC
WHITE	3,917	53	9,388	134
ASIAN	13	0	24	0
ASIAN AND WHITE	0	0	0	0
BLACK/AFRICAN AMERICAN	72	0	146	0
BLACK/AFRICAN AMERICAN AND WHITE	8	0	21	0
AMERICAN INDIAN/ALASKAN NATIVE	4	0	10	0
AMERICAN INDIAN/ALASKAN NATIVE/WHITE	0	0	0	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	0	0	0	0
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	1	0	1	0
OTHER MULTI-RACIAL*	352	0	491	0
TOTAL	4,367	53	10,081	134

* 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 2009 Geographic Distribution of NYS CDBG Funding

The State of New York does not allocate or reserve funds by geographic area or region, but awards projects through a competitive state-wide process. 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 over 1,300 eligible non-entitlement jurisdictions (Cities, Villages, Towns, and Counties). Table 33 shows the distribution of funding by county in Program Year 2009 (Committed):

TABLE 33
2009 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	1,200,000	0	0	21,000	0	1.221,000	DH-1, N/A
BROOME	400,000	0	0	0	0	400,000	DH-1
CATTARAUGUS	351,000	600,000	0	0	0	951,000	DH-1, SL-2
CAYUGA	0	0	0	0	0	0	N/A
CHAUTAUQUA	1,124,839	0	0	0	0	1,124,839	DH-1
CHEMUNG	0	0	1,500,000	0	0	1,500,000	EO-1

COUNTY	FUNDING BY ACTIVITY					COUNTY TOTAL	OBJECTIVE/ OUTCOME
	HOUSING	PUBLIC FACILITIES	ECONOMIC DEVELOPMENT	COMMUNITY PLANNING	TECHNICAL ASSISTANCE		
CHENANGO	750,000	0	750,000	0	0	1,500,000	EO-1,DH-1,DH-2
CLINTON	900,000	409,414	621,863	24,000	0	1,955,277	EO-1,DH-1,DH-2, SL-2,N/A
COLUMBIA	0	0	175,000	25,000	0	200,000	EO-1,N/A
CORTLAND	400,000	0	0	0	0	400,000	DH-1
DELAWARE	400,000	0	250,000	51,000	0	701,000	DH-1, EO-1,N/A
DUTCHESS	0	0	0	0	0	0	N/A
ESSEX	400,000	0	585,000	25,000	0	1,010,000	DH-1, EO-1,N/A
FRANKLIN	800,000	515,000	0	25,000	0	1,340,000	DH-1, EO-1,SL-2, N/A
FULTON	400,000	0	750,000	0	0	1,150,000	DH-1, EO-1
GENESEE	0	411,000	166,000	25,000	0	602,000	EO-1,SL-2,N/A
GREENE	0	400,000	416,000	25,000	0	841,000	EO-1, SL-3,N/A
HAMILTON	0	0	0	0	0	0	N/A
HERKIMER	600,000	1,128,258	266,000	0	0	1,994,258	DH-1, EO-1, SL-2, SL-3
JEFFERSON	1,400,000	0	0	0	0	1,400,000	DH-1
LEWIS	748,500	0	0	20,700	0	769,200	DH-1, DH-2,N/A
LIVINGSTON	0	0	139,000	12,000	0	151,000	EO-1, N/A
MADISON	1,629,520	0	0	0	0	1,629,520	DH-1, DH-2
MONTGOMERY	400,000	1,000,000	750,000	0	0	2,150,000	DH-1, EO-1, SL-2
NIAGARA	400,000	0	632,000	0	0	1,032,000	DH-2, EO-1
ONEIDA	600,000	0	726,000	4,500	0	1,330,500	DH-1, EO-1,N/A
ONTARIO	0	0	1,031,000	0	0	1,031,000	EO-1
ORANGE	0	600,000	200,000	0	0	800,000	EO-1, SL-2
ORLEANS	0	600,000	266,000	24,693	0	890,693	SL-2, EO-1,N/A
OSWEGO	1,012,000	150,000	125,000	25,000	0	1,312,000	DH-1, DH-2, SL-2, EO-1, N/A
OTSEGO	400,000	0	0	0	0	400,000	DH-1
RENSSELAER	300,000	1,000,000	406,000	0	0	1,706,000	DH-2,SL-2, SL-3, EO-1
ROCKLAND	0	400,000	0	0	0	400,000	SL-2
SARATOGA	0	600,000	0	0	0	600,000	SL-2
SCHOHARIE	400,000	0	100,000	0	0	500,000	EO-1, DH-1
SCHUYLER	0	0	0	22,500	0	22,500	N/A
SENECA	0	0	495,000	0	0	495,000	EO-1
ST. LAWRENCE	2,350,000	0	727,000	40,000	0	3,117,000	DH-1, DH-2, EO-1, N/A
STEUBEN	624,000	0	932,000	9,500	0	1,565,500	DH-1, EO-1, N/A
SULLIVAN	0	600,000	0	24,000	0	624,000	SL-2, N/A
TIOGA	400,000	0	0	0	0	400,000	DH-1
TOMPKINS	0	0	0	0	0	0	N/A
ULSTER	750,000	600,000	0		0	1,350,000	DH-1, SL-2
WARREN	0	0	0	0	0	0	N/A
WASHINGTON	400,000	0	0	0	0	400,000	DH-1
WAYNE	0	530,000	500,000	25,000	0	1,055,000	EO-1,SL-2, N/A

COUNTY	FUNDING BY ACTIVITY					COUNTY TOTAL	OBJECTIVE/ OUTCOME
	HOUSING	PUBLIC FACILITIES	ECONOMIC DEVELOPMENT	COMMUNITY PLANNING	TECHNICAL ASSISTANCE		
WYOMING	0	600,000	567,000	0	0	1,167,000	EO-1, SL-2
YATES	0	0	0	0	0	0	N/A
NEW YORK STATE	0	0	0	0	40,000	40,000	N/A
TOTAL	19,539,859	10,143,672	13,075,863	428,893	40,000	43,228,287	N/A

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 2009 under the HUD-administered NYS CDBG program grants awarded to New York jurisdictions prior to PY2000 are not included here.

TABLE 34
2009 NYS CDBG PROGRAM
ACCOMPLISHMENTS

ACTIVITY	2009 PROJECTIONS	2009 ACCOMPLISHMENTS				
		Units	Projects	Persons	Jobs	Businesses
Housing						
Rehabilitation	990 units	751	N/A	1,475	N/A	N/A
Home Ownership	125 households	103	N/A	244	N/A	N/A
Public Facilities	37,000 people					
Water & Sewer Improvements		N/A	10	27,117	N/A	N/A
Public Works		N/A	5	16,210	N/A	N/A
Community Facilities		N/A	2	408	N/A	N/A
Economic Development	1,000 jobs 40 businesses					
Economic Development		N/A	N/A	N/A	736 FT* 59 PT	27
Microenterprise and Small Business		N/A	N/A	134	52 FT 69 PT	43
Facades – LMA		N/A	N/A	21,775	N/A	8
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		854	17	67,363	788 FT, 128 PT	78

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

The majority of recipients awarded during the PY 2000 through PY 2007 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 annual competitive round grants awarded in August 2009 are working on their environmental reviews, client intake, engineering/permitting, and preliminary administrative and program delivery work. Under the open round economic development category, funds are committed to projects only as they reach the status of being "ready-to-go." Therefore the job creation potential of these projects is being realized within a relatively short period of time. 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 2009 Action Plan had estimated that 990 housing units would be rehabilitated and 125 homes purchased for first-time home buyers in PY 2009. For the period January 1, 2009 - December 31, 2009, 751 units of housing were fully rehabilitated and 103 families completed home purchases. The shortfall of the projected goals is directly related to the current U.S. economic crisis. The high level of unemployment, the lack of bank financing and the increase in costs have resulted in a lag in our 2009 housing goals. Although the annual goals were not achieved, the State is well on its way to meeting the five-year goals outlined in the 2006-2010 Consolidated Plan.

Public Facilities

The 2009 Action Plan had estimated that projects serving 37,000 persons would be completed during the program year. In addition to projects for water or wastewater infrastructure, this category includes such projects as streetscape improvements and handicap accessibility. For the period January 1, 2009 - December 31, 2009 recipients completed 17 public facilities activities and reported serving 43,735 persons.

Economic Development

During the period January 1, 2009 - December 31, 2009, 34 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 34, three (3) were awarded under the microenterprise assistance category and another three (3) were awarded under the small business assistance category.

The Program Year 2009 Action Plan predicted that 1,000 jobs would be created and/or retained through all economic development activities. In addition, it was estimated that 40 businesses would be assisted through either microenterprise activities or façade activities. For the period January 1, 2009 to December 31, 2009, 736 full-time jobs and 59 part-time jobs were actually retained or created from economic development activities and 52 full-time jobs and 69 part-time jobs through microenterprise activities. Additionally, 134 low-and moderate-income persons received training or technical assistance and 42 low-and moderate-income businesses were provided financial assistance under the Microenterprise National Objective of LMCMC. Finally, through façade improvements, a total of 8 businesses received assistance which benefited 21,775 persons in their target areas. In mid-2009, HTFC implemented a new microenterprise and small business assistance program. Due to the mid-year implementation of the program fewer microenterprise and small businesses were assisted in 2009. The full impact of this program will be realized in 2010.

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 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 2009

During 2009, the federal government allocated $38,644,399 to the State HOME program. In addition, there was also available $5,962,384 in prior year funds and $2,054,977 in program income. The total amount of HOME funds available for commitment in 2009 was $46,661,760 (including HOME 2009 allocations to NYS, prior year funds, and program income).

2.4.2 Distribution of HOME Funds Committed in Program Year 2009

HOME program funds are provided to eligible applicants to acquire, construct 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.

2.4.2.1 2009 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 2009 HOME funds were distributed according to categories of use and the objectives of the five-year Consolidated Plan.

TABLE 35
2009 HOME PROGRAM
DISTRIBUTION OF FUNDS BY USE AND OBJECTIVE

OBJECTIVE/OUTCOME CODE	REHABILITATION	NEW CONSTRUCTION	OPERATING COSTS	ACQUISITION
DH-1	92%	0%	8%	0%
DH-2	60%	17%	4%	19%

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 2009, New York State committed approximately $14 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
2009 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	197	383	275	855
RENTER IN HOMEOWNER BUILDING	46	42	18	106
TOTAL	243	425	293	961

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

In 2009, New York State committed approximately $25.5 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 newly constructed 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.

TABLE 37
2009 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	161	104	21	286
HOMEBUYER	12	103	239	354
TOTAL	173	207	260	640

TABLE 38
2009 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	207	146	39	392
HOMEOWNER/HOMEBUYER	209	486	514	1,209
TOTAL	416	632	553	1,601

The State is committed to serving its neediest households. As can be seen from the above table, 65 percent of the households assisted with HOME funds had incomes at or below 50 percent of area median. In addition, approximately one-quarter of assisted households had incomes below 30 percent of area median income. The table also shows that 695 (57%) of the 1,209 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 2009 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. According to 2000 census data, 3 percent of rural households and 13 percent of suburban households consist of minorities. Overall, the results of the State's affirmative marketing efforts in furthering fair housing are positive. This is reflected by data which indicates approximately 21 percent minority participation in the HOME program, with approximately 5 percent of Hispanic ethnicity. Tables 39 and 40 display, for all HOME funds committed in 2009, the race/ethnicity of the head of assisted households.

TABLE 39
2009 HOME PROGRAM
RACE/ETHNICITY OF HOUSEHOLDS ASSISTED
OBJECTIVE/OUTCOME DH-1

RACE	TOTAL	HISPANIC
WHITE	825	22
ASIAN	3	0
BLACK/AFRICAN AMERICAN	107	3
BLACK/AFRICAN AMERICAN AND WHITE	6	0
AMERICAN INDIAN/ALASKAN NATIVE	1	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	0	0
OTHER	1	0
OTHER MULTI-RACIAL	18	16
TOTAL	961	41

TABLE 40
2009 HOME PROGRAM
RACE/ETHNICITY OF HOUSEHOLDS ASSISTED
OBJECTIVE/OUTCOME DH-2

RACE	TOTAL	HISPANIC
WHITE	436	12
ASIAN	4	0
BLACK/AFRICAN AMERICAN	160	1
BLACK/AFRICAN AMERICAN AND WHITE	5	0
AMERICAN INDIAN/ALASKAN NATIVE	0	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	1	0
OTHER	1	0
OTHER MULTI-RACIAL	33	29
TOTAL	640	42

2.4.2.3 2009 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 in an equitable geographic distribution across the State. 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, will have the greatest likelihood of being funded.

In 2009, the State received competitive proposals for projects or local programs that will provide HOME funds in 49 of the State's 62 counties. Table 41 displays the distribution of New York State's HOME funds:

TABLE 41
2009 HOME PROGRAM
GEOGRAPHIC DISTRIBUTION OF FUNDING
BY OBJECTIVE AND OUTCOME
[in Dollars]

COUNTY	DH-1	DH-2	TOTAL
ALBANY	336,000	2,790,000	3,126,000
ALLEGANY	900,000	0	900,000
BRONX	0	600,000	600,000
BROOME	500,000	0	500,000
CATTARAUGUS	500,000	300,000	800,000
CAYUGA	0	0	0
CHAUTAUQUA	0	0	0
CHEMUNG	270,000	0	270,000
CHENANGO	400,000	0	400,000
CLINTON	500,000	0	500,000
COLUMBIA	0	0	0
CORTLAND	400,000	0	400,000
DELAWARE	300,000	0	300,000
DUTCHESS	0	582,388	582,388
ERIE	0	5,606,321	5,606,321
ESSEX	0	0	0
FRANKLIN	100,000	300,000	400,000
FULTON	340,000	0	340,000
GENESEE	500,000	400,000	900,000
GREENE	600,000	1,291,330	1,891,330
HAMILTON	280,000	0	280,000
HERKIMER	700,000	0	700,000
JEFFERSON	0	300,000	300,000
KINGS	0	600,000	600,000
LEWIS	0	0	0
LIVINGSTON	500,000	0	500,000
MADISON	710,000	0	710,000
MONROE	200,000	0	200,000
MONTGOMERY	794,580	0	794,580
NASSAU	0	0	0
NEW YORK	0	0	0
NIAGARA	575,000	0	575,000
ONEIDA	0	378,000	378,000
ONONDAGA	300,000	3,100,000	3,400,000
ONTARIO	300,000	1,549,583	1,849,583
ORANGE	0	0	0
ORLEANS	0	1,224,040	1,224,040
OSWEGO	400,000	0	400,000
OTSEGO	0	400,000	400,000
PUTNAM	0	0	0
QUEENS	0	1,200,000	1,200,000
RENSSELAER	300,000	0	300,000
RICHMOND	0	0	0
ROCKLAND	0	0	0
SARATOGA	700,000	0	700,000

COUNTY	DH-1	DH-2	TOTAL
SCHENECTADY	300,000	0	300,000
SCHOHARIE	300,000	0	300,000
SCHUYLER	0	0	0
SENECA	0	324,000	324,000
ST. LAWRENCE	797,000	0	797,000
STEUBEN	300,000	0	300,000
SULLIVAN	0	1,000,000	1,000,000
SUFFOLK	0	400,000	400,000
TIOGA	400,000	0	400,000
TOMPKINS	2,642,702	0	2,642,702
ULSTER	0	0	0
WARREN	0	275,000	275,000
WASHINGTON	700,000	0	700,000
WAYNE	300,000	300,000	600,000
WESTCHESTER	270,000	0	270,000
WYOMING	200,000	0	200,000
YATES	168,665	300,000	468,665
TOTAL	17,783,947	23,220,662	41,004,609

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 2009 funds by region.

In New York City and surrounding areas, where severe housing affordability problems caused by soaring real estate values provide extreme challenges, New York State HOME program funds are primarily used to produce additional affordable housing units and to provide home ownership opportunities for first time home buyers. New York City and the State provide other resources to develop multifamily rental housing in New York City. Also, virtually all of the jurisdictions in this region receive allocations of HOME funds directly from the federal government, so the opportunity to use State HOME program funds is limited. Despite the limited federal funding available for the region and the high land costs, these activities have proven successful. Some $3.75 million in State HOME program funding was invested in these activities in downstate areas in 2009, which will provide some 100 housing opportunities for homebuyers and the rehabilitation of substandard housing units.

In many of New York's other large urban areas, disinvestment, high vacancy rates, and abandoned housing are more typical, and State HOME funds are being used to promote neighborhood revitalization through acquisition and rehabilitation efforts. Approximately $2.6 million in HOME program funds was invested in upstate urban areas in 2009. Most of these funds will be used by community housing development organizations and other not-for-profit housing providers to promote new home ownership opportunities in distressed communities, primarily through the acquisition, rehabilitation, and resale programs, and also through some new construction. It is anticipated that approximately 117 new housing opportunities will result from this investment. An additional $3.4 million was invested in upstate metropolitan areas outside of central cities to provide an additional 151 rental homes and home ownership opportunities on a metropolitan area basis. These efforts will help counter the effects of concentrations of poverty in urban areas in communities that can accommodate additional growth.

Rural New York is characterized by an aged housing stock, severe climate, and limited resources to invest in housing construction and rehabilitation. Most HOME funds invested in New York's rural counties are used for housing rehabilitation, primarily of owner-occupied housing, which is typically where low-income families live. However, a significant amount of funds has been invested to provide rental housing in areas that lack sufficient affordable housing, and some down payment assistance programs were also funded in rural areas. Together, these efforts will provide some $18 million to rural areas and small towns,

producing 65 new rental units, providing approximately 150 units of home ownership assistance, and rehabilitating up to 755 substandard housing units.

2.5 The Emergency Shelter Grants Program (ESGP)

The New York State Office of Temporary and Disability Assistance (OTDA) administers the Emergency Shelter Grants Program (ESGP) for the State of New York. The ESG Program coordinates activities to enhance the quality and quantity of homeless facilities and services for homeless individuals and families. The ESG Program is administered in accordance with 24 Code of Federal Regulations, Part 576, entitled the Emergency Shelter Grants Program: Stewart B. McKinney Homeless Assistance Act. The Emergency Shelter Grants Program provides funds for the rehabilitation, renovation, or conversion of buildings for use as shelters for the homeless, and also funds certain operation costs and social services expenses relating to homeless shelters. In addition, ESGP funds a variety of homeless prevention activities.

2.5.1 Availability of ESGP Funds in Program Year 2009

During ESGP Program Year 2009, OTDA utilized funds from Federal Fiscal Year (FFY) 2008 and 2009 to support eligible ESGP activities. The first nine months of the program year were supported with FFY 2008 funds in the amount of $2,272,740 while the balance of the year was supported with FFY 2009 ESGP funds in the amount of $778,290. A total of $3,051,030 was made available to New York State for the Emergency Shelter Grants Program. New York State maintained the allowable 5% toward administration.

2.5.2 Distribution of ESGP Funds in Program Year 2009

The New York State Office of Temporary and Disability Assistance administers the ESGP through a competitive Request for Proposals (RFP) process every two years. An RFP was issued in February 2008. Proposals were solicited from local social services districts, not-for-profit corporations, and charitable organizations, including faith-based organizations, to provide emergency shelter and related support services activities. All proposals received in response to the RFP were subjected to a rigorous review and selection process.

Twenty-seven (27) agencies statewide received awards for Round 23 based on the competitive bid process (February 2008 solicitation) with contracts that commenced on October 1, 2008. All of these contracts were renewed based on performance for an additional year of funding, Round 24 which began October 1, 2009. Additionally, the next two (2) highest ranked agencies from the February 2009 RFP were awarded funds in Round 24. With the increase in FFY 2009 ESGP funds, OTDA now holds twenty-nine (29) ESGP contracts statewide. The following is a listing of some of the criteria established for funding under New York State's ESG 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;
- 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;
- 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.

For Round 23 and 24, 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; and

- 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.

2.5.2.1 2009 Distribution of ESGP Funds by Function

During Program Year 2009, ESGP funds were allocated for purposes noted in Table 42.

TABLE 42
2009 ESG PROGRAM
FUNDS BY USE

ESSENTIAL SERVICES	PREVENTION	MAINTENANCE AND OPERATING COSTS	ADMINISTRATION	RENOVATIONS
56%	11%	28%	5%	0%

2.5.2.2 2009 Distribution of ESGP Funds by Race and Ethnicity

During Program Year 2009, ESGP funds assisted persons of various races and ethnicities as noted in Table 43.

TABLE 43
2009 ESG PROGRAM
RACE/ETHNICITY OF PERSONS ASSISTED

RACE	TOTAL	HISPANIC
WHITE	14,035	2,537
BLACK/AFRICAN AMERICAN	21,681	3,674
ASIAN	59	0
AMERICAN INDIAN/ALASKAN NATIVE	65	0
NATIVE AMERICAN/OTHER PACIFIC ISLANDER	1	0
AMERICAN INDIAN/ALASKAN NATIVE AND WHITE	4	0
ASIAN AND WHITE	6	0
BLACK/AFRICAN AMERICAN AND WHITE	1,194	32
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	9	2
OTHER MULTI-RACIAL	513	268
ASIAN/PACIFIC ISLANDER	0	0
TOTAL	37,567	6,513

2.5.2.3 2009 Geographical Distribution of ESGP 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 ESGP 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.

Table 44 reflects the geographic distribution of ESGP funds by county. Overall, approximately 25 percent of New York State's allocation was awarded to projects within New York City.

TABLE 44
2009 ESG PROGRAM
GEOGRAPHIC DISTRIBUTION OF FUNDING
[in Dollars]

COUNTY	AMOUNT
ALBANY	477,057
CHAUTAUQUA	38,100
CHEMUNG	70,851
CLINTON	90,000
KINGS	39,594
MONROE	258,337
NIAGARA	8,598
NEW YORK	771,694
ONONDAGA	68,628
PUTNAM	150,000
RENSSELAER	110,748
RICHMOND	156,000
SARATOGA	289,266
SCHENECTADY	150,000
TOMPKINS	222,157
WESTCHESTER	150,000
TOTAL	3,051,030

TABLE 45
2009 ESG PROGRAM
ACCOMPLISHMENTS

Objective-Outcome Category	Performance Indicator	Expected Number	Actual Number	Activity Description
DH-1	Total Individuals Served	1,377	2,036	Homelessness Prevention
SL-1*	Total Individuals Served	13,200	24,471	Essential Services
SL-1	Total Individuals Served	11,916	11,060	Maintenance and Operations

**The large discrepancy between ESGP projected and actual number of persons assisted is a result of greater numbers served, especially in terms of Non-Residential Services and the funding of drop-in centers. For Residential Services, an individual unduplicated count is used, which means that a client is counted only once, for each stay, no matter how many days they stay at the facility. For Non-Residential Services an individual is counted once for every visit, no matter how many services that individual receives. If they return the next day, they are counted again.*

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 2009

During HOPWA Program Year 2009, the period covered by this 2009 CAPER, the federal government allocated $1,897,000 to New York State for the Housing Opportunities for Persons with AIDS Program. New York State maintained the allowable 3% toward administration; therefore $1,840,090 was made available to eligible grant applicants to support eligible HOPWA activities.

2.6.2 Distribution of HOPWA Funds in Program Year 2009

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 a one-year 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 April of 2006, an RFP was issued for Round 15 of HOPWA funds for the grant period of January 1, 2007 to December 31, 2009. Contracts may be continued in 2008 and 2009 at the discretion of OTDA, contingent upon the availability of federal funding and the contractor's 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; and
- evidence of strong linkages with community-based providers.

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 Round 15, 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; and
- 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; and
- 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 sixteen 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 2009 Distribution of HOPWA Funds by Function

During Program Year 2009, HOPWA funds were allocated for purposes noted in Table 46.

TABLE 46
2009 HOPWA PROGRAM
DISTRIBUTION OF FUNDS BY FUNCTION

HOUSING ASSISTANCE	SUPPORT SERVICES	RESOURCE IDENTIFICATION AND HOUSING INFORMATION	GRANTEE ADMINISTRATIVE COSTS	SPONSOR ADMINISTRATIVE COSTS
60%	27%	3%	7%	3%

2.6.2.2 2009 Distribution of HOPWA Funds by Race and Ethnicity

During Program Year 2009, HOPWA funds assisted persons of various races and ethnicities as noted in Table 47.

TABLE 47
2009 HOPWA PROGRAM
RACE/ETHNICITY OF PERSONS ASSISTED*

RACE	TOTAL	HISPANIC
WHITE	451	95
BLACK/AFRICAN AMERICAN	266	10
ASIAN	4	0
AMERICAN INDIAN/ALASKAN NATIVE	2	0
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	1	0
AMERICAN INDIAN/ALASKAN NATIVE AND WHITE	0	0
ASIAN AND WHITE	0	0
BLACK/AFRICAN AMERICAN AND WHITE	60	2
AMERICAN INDIAN/ALASKAN INDIAN AND BLACK/AFRICAN AMERICAN	0	0
MULTI-RACIAL	55	37
ASIAN/PACIFIC ISLANDER	0	0
TOTAL	839	144

*Some entries are estimates.

2.6.2.3 2009 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 2009 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 the newest EMSA, Poughkeepsie (including Orange and Dutchess Counties).

TABLE 48
2009 HOPWA PROGRAM
GEOGRAPHICAL DISTRIBUTION OF FUNDING
[in Dollars]

COUNTY*	AMOUNT
ALBANY**	232,183
BROOME	130,703
CHAUTAUQUA	80,704
ERIE**	86,391
MONROE**	70,364
ONONDAGA	702,974
SULLIVAN	249,796
ULSTER	286,975
TOTAL	1,840,090

*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 provides housing information and resource identification statewide.

2.6.3 2009 HOPWA Accomplishments

Tables 49 through 56 display HOPWA accomplishments in Program Year 2009.

TABLE 49
2009 HOPWA PROGRAM
UNITS AND PERSONS ASSISTED

	HOUSING ASSISTANCE	SUPPORT SERVICES ONLY	TOTAL
NUMBER OF UNITS	446	N/A	446
NUMBER OF PERSONS ASSISTED*	839	26	839

* Persons Assisted may receive multiple services.

TABLE 50
2009 HOPWA PROGRAM
SUPPORTED HOUSING UNITS ASSISTED
[Funding in Dollars]

TYPE OF UNIT	UNITS ASSISTED	HOPWA FUNDING**
RENTAL ASSISTANCE	267	794,095
SHORT-TERM/EMERGENCY HOUSING PAYMENTS	166	90,303
UNITS IN FACILITIES SUPPORTED WITH OPERATING COSTS	22	56,298
TOTAL*	455***	940,696

* Total figure does not include $46,412 in costs associated with the provision of statewide resource identification assistance in management and evaluation of AIDS housing programs and housing information.

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

***Total figure reflects 9 households that received both short-term payments and rental assistance.

TABLE 51
2009 HOPWA PROGRAM
LEVERAGED DOLLARS*

	[1] Sources of Leverage	Total Amount Leveraged [in Dollars]	
		[2] Housing Assistance	[3] Supportive Services and other non-direct housing costs
1	Program Income	70,364	0
2	Federal government	55,817	1,445,150
3	State government	195,082	987,387
4	Local government	73,238	318,174
5	Foundations and other private cash resources (please specify):	0	255,960
6	In-kind Resources	500	42,253
7	Resident rent payments in Rental, Facilities, and Leased Units	394,323	3,100
8	Grantee/project sponsor (Agency) cash	134,932	6,342
9	TOTAL (Sum of 1-8)	924,256	3,058,366

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

TABLE 52
2009 HOPWA PROGRAM
COMPARISON TO PLANNED ACTIONS

TYPE OF UNIT	ESTIMATED UNITS	ACTUAL UNITS
RENTAL ASSISTANCE	246	267
SHORT-TERM/EMERGENCY HOUSING PAYMENTS	381	166
UNITS IN FACILITIES SUPPORTED W/ OPERATING COSTS	18	22
TOTAL	645	455*

*Total includes 9 households who received both rental assistance and short-term housing payments
Rising heating and utility costs have impacted our providers' ability to serve clients in need of STRMU services as based on projections, during Operating Year 2009 (January 1, 2009 – December 31, 2009).

Project Outcomes: 91% clients receiving tenant-based rental assistance maintained stable housing conditions.
90% clients receiving facility-based housing assistance maintained stable housing conditions.
86% clients receiving short-term rent, mortgage, and utility assistance maintained stable housing conditions.

TABLE 53
2009 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	267	214	1 Emergency Shelter/Streets	= 0
			2 Temporary Housing	= 1
			3 Private Housing	= 26
			4 Other HOPWA	= 0
			5 Other Subsidy	= 3
			6 Institution	= 1
			7 Jail/Prison	= 4
			8 Disconnected/Unknown	= 6
			9 Death	= 12
Permanent Supportive Housing Facilities / Units	22	11	1 Emergency Shelter/Streets	= 0
			2 Temporary Housing	= 0
			3 Private Housing	= 5
			4 Other HOPWA	= 0
			5 Other Subsidy	= 0
			6 Institution	= 4
			7 Jail/Prison	= 1
			8 Disconnected/Unknown	= 1
			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	0	Total number of households that will continue in residences	0	1 Emergency Shelter/Streets	= 0
				2 Temporary Housing	= 0
				3 Private Housing	= 0
				4 Other HOPWA	= 0
		Total number of households whose tenure exceeds 24 months	0	5 Other Subsidy	= 0
				6 Institution	= 0
				7 Jail/Prison	= 0
				8 Disconnected/unknown	= 0
				9 Death	= 0

TABLE 53
2009 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
166	Maintain Private Housing without subsidy (*e.g. Assistance provided/completed and client is stable, not likely to seek additional support*)	21	*Stable/Permanent Housing (PH)*
	Other Private Housing without subsidy	37	
	Other HOPWA support (PH)	13	
	Other housing subsidy (PH)	3	
	Institution (*e.g. residential and long-term care*)	0	
	Likely to maintain current housing arrangements, with additional STRMU assistance	87	*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*)	1	
	Emergency Shelter/Streets	0	*Unstable Arrangements*
	Jail/Prison	1	
	Disconnected	2	
	Death	1	*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.			59
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.			24

TABLE 53
2009 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)	244	1	10	12
Permanent Facility-based Housing Assistance/Units	20	0	2	0
Transitional/Short-term Facility-based Housing Assistance/Units	0	0	0	0
Total Permanent HOPWA Housing Assistance	264	1	12	12
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)	74	88	3	1
Total HOPWA Housing Assistance	338	89	15	13

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. 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
2009 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	223	266,917
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	50	0
13	Transportation	17	0
14	Other Activity (if approved in grant agreement)	108	19,718
15	Adjustment for Duplication (subtract)	152	N/A
16	TOTAL Households receiving Supportive Services (unduplicated)	246	286,635

* Client records must conform with 24 CFR §574.310

TABLE 55
2009 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	379	*Support for Stable Housing*
2 Has contact with case manager/benefits counselor consistent with the schedule specified in client's individual service plan	322	*Access to Support*
3 Had contact with a primary health care provider consistent with the schedule specified in client's individual service plan	362	*Access to Health Care*
4 Has accessed and can maintain medical insurance/assistance	362	*Access to Health Care*
5 Successfully accessed or maintained qualification for sources of income	470	*Sources of Income*

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	4	*Sources of Income*

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	*Support for Stable Housing*
2 Successfully accessed or maintained qualification for sources of income	N/A	*Sources of Income*
3 Had contact with a primary health care provider consistent with the schedule specified in clients individual service plan	N/A	*Access to Health Care*
4 Has accessed and can maintain medical insurance/assistance	N/A	*Access to Health Care*
5 Has contact with case manager, benefits counselor, or housing counselor consistent with the schedule specified in client's individual service plan	N/A	*Access to Support*

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	8	*Sources of Income*

TABLE 56
2009 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	246	267	17	0	918,156	794,095
2a	Households in permanent housing facilities that receive operating subsidies/leased units	18	22	0	12	68,100	56,298
2b	Households in transitional/short-term housing facilities that receive operating subsidies/leased units	0	0	0	0	0	0
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	381	166	0	19	136,603	90,303
5	Adjustments for duplication (subtract)	0	9	0	0	0	0
6	Sub-Total	645	446	17	31	1,122,859	940,696
	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	645	223	0	0	264,986	166,763
10b	Supportive Services provided by project sponsors serving households who have other housing arrangements	26	26	0	0	98,058	100,154
11	Adjustment for duplication (subtract)	0	0	0	0	0	0
12	Sub-Total	671	249	0	0	368,046	286,917
	Housing Placement Assistance Activities	Output Households				Funding	
13	Housing Information Services	N/A	87	N/A	N/A	7,506	3,623
14	Permanent Housing Placement Services	N/A	0	N/A	N/A	8,680	0
15	Adjustment for duplication	N/A	0	N/A	N/A	N/A	0
16	Sub-Total	N/A	87	N/A	N/A	16,186	3,623
	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	46,412	20,858
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	56,910	56,910
20	Project Sponsor Administration (maximum 7% of portion of HOPWA grant awarded)	N/A	N/A	N/A	N/A	55,873	51,552
21	Sub-Total	N/A	N/A	N/A	N/A	159,195	129,320
	Total Expenditures*	N/A	N/A	N/A	N/A	1,661,286	1,340,556

*For Program Year 2009 (Sum of rows 6, 9, 12, 16, and 21)

TABLE 57
2009 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)	208
b Short-term Rent, Mortgage and Utility payments (STRMU)	8
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 12/31/09.

3. Actions to Affirmatively Further Fair Housing

NYS DHCR continually endeavors to affirmatively further fair housing. The agency has charged its Office of Fair Housing and Equal Opportunity (OFHEO) to monitor fair housing initiatives and work towards implementing measures to eliminate impediments to fair housing choice.

3.1 Affirmative Marketing Plans (AMPs)

OFHEO continues to monitor the 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, future marketing strategies, record keeping and Title VIII of the Federal Fair Housing Act of 1968. DHCR's OFHEO has worked to the streamline the process for recipients of state and federally-assisted housing grants and subsidies to submit the Affirmative Marketing Plans on line. The new process is expected to expedite the review of AMPs as well as aide in eliminating errors and paper waste. Currently, the process is in the test stage.

3.2 Update of the Analysis of Impediments

OFHEO has identified a number of impediments to fair housing which include:

- Social attitudes: Not-In-My-Backyard (NIMBY) syndrome, racism, fear of crime, lowered property values or economically integrated housing

- Discriminatory Lending Practices: Discriminatory realty practices such as steering, and landlord rental discrimination.

- Regulatory Barriers: Discrimination in areas such as zoning/land use regulation, building codes and standards that raise the cost of housing and make it difficult to construct affordable housing and limited resources for affordable housing and fair-housing education.

- Foreclosures: A poor economy, inappropriate lending and falling home prices are leading to increased foreclosures. This has affected landlords, further homeowners and renters are losing their homes due to these foreclosures.

New York State continually reviews its Analysis of Impediments to Fair Housing Choice and takes appropriate actions to overcome barriers and increase housing opportunities. New York State is at the beginning of a five-year planning cycle and intends to submit its 2011-2015 Consolidated Plan to the U.S. Department of Housing and Urban Development (HUD) on November 15, 2010. The State is also updating its Analysis of Impediments to ensure that the goals and objectives identified in the Consolidated Plan are consistent with addressing impediments to fair housing choice and increasing affordable housing opportunities.

The following identifies impediments in the State's Analysis of Impediments and actions taken to affirmatively further fair housing choice:

- Statewide Affordable Housing Needs Study

  In order to reduce impediments to fair housing choice the State recognized that it must continually analyze housing need and engage communities in order to promote effective strategies in the planning and development of affordable housing.

  In 2007 the Division of Housing and Community Renewal (DHCR) created the Office of Policy Research and Development, in part to develop a Statewide Affordable Housing Needs Study. The Housing Needs Study was derived from information collected during forty-two focus group meetings convened throughout the State in 2007 and 2008. These focus group meetings included nearly 500 local officials and affordable housing and community development professionals to discuss the issues and needs they were facing in their respective communities. Discussion included a

consideration of a range of fair housing choice-related issues.

A series of nine Regional Reports served as the foundation for the Statewide Housing Needs Study. These Regional Reports also included U.S. Census and American Community Survey data, as a basis for identifying the housing, demographic and related changes taking place in a region.

- Access to Home

  Survey data collected in conjunction with the development of the Analysis of Impediments identified a lack of sufficient accessible housing as an impediment to fair housing choice for persons with disabilities. As such the State has undertaken a new initiative to promote the development of accessible housing.

  The State recognized that for those with physical disabilities the barrier to securing affordable housing was often the cost of accessibility modifications. DHCR created the Access to Home program in 2004 as a result of a unique collaboration between State agencies, Independent Living Centers, Housing Preservation Companies, disability advocates, and other stakeholders who identified a gap in housing opportunities for persons with disabilities.

  Access to Home has committed more than $35 million dollars in funding to not-for-profit organizations to administer local programs to make the homes and apartments of low- and moderate-income New Yorkers with disabilities accessible. Under the program, home improvements and alterations are made to permit persons with physical disabilities to remain in their own homes, rather than enter a more costly and intrusive nursing home setting.

  The Access to Home Program received the 2009 National Council of State Housing Agencies (NCSHA) Award for HOME Improvement and Rehabilitation.

- Changes to the Qualified Allocation Plan

  DHCR/HTFC made several changes in its funding process to increase opportunities for affordable, accessible housing for a variety of populations. Several of these changes were included in DHCR's Qualified Allocation Plan (QAP). The QAP regulates how the State administers the Federal Low Income Housing Credit (LIHC) Program, which is an important tool to infuse private sector dollars into affordable housing.

  These revisions in the QAP identified visitability standards as threshold review criteria. They also included rating criteria for fully accessible and adapted, move-in ready units and a set aside of up to up to $2 million in Low Income Housing Credits for supportive housing. The supportive housing set aside supports a continuum of promoting fair housing choice since projects funded under the supportive housing set aside may provide access to housing with supportive services, but services are not mandated.

- Enhancing Program Requirements

  In 2004 DHCR implemented programmatic changes extending the requirements of Section 504 of the Rehabilitation Act of 1973 to certain State financed housing projects. Beginning with the 2005 funding round for the State funded Low Income Housing Trust Fund (HTF) program DHCR now requires 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, are made accessible for and marketed to persons with mobility impairments and that an additional 2% of the total project's units or one unit, whichever is greater, are made accessible for and marketed to persons with visual or hearing impairments. The project owner is responsible for the reasonable costs of any alterations necessary to accommodate an eligible tenant.

- Implementing Scoring Incentives

  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 enhanced criterion was continued in 2009 with a number of applicants taking advantage of the point incentive. Of the total awards announced in July 2009, approximately 70% met, or exceeded the 5% and 2% criteria and more than 50% met or exceeded the 10% and 4% criteria. The 2009 awards are creating more than 400 fully accessible units for persons with mobility, hearing or vision impairments.

- CDBG Program Improvements

  Effective with Program Year 2006 funding under the CDBG Program, applicants were encouraged to increase the affordability of housing and remove the potential obstacle of housing rehabilitation and homebuyer loans. This was accomplished by issuing grants in lieu of loans to better service the low-income resident by reducing the potential of a monthly financial burden that a loan, even if low interest, may have had. Additionally, applicants were encouraged to incorporate home-maintenance programs into their housing rehabilitation and homebuyer programs. Home-maintenance programs have the potential of reducing maintenance costs over the long term, which will translate into enduring affordability to the residents.

  Those applicants who design their housing rehabilitation or homebuyer programs as a grant program, which incorporate mechanisms to ensure long-term affordability, will receive higher project assessment points for these assessment criteria.

  In 2009 eligible communities were encouraged to address the needs of and provide services to persons with special needs. Applicants of CDBG funding are assessed on their efforts to market to and assist persons with special needs. Project assessment points are awarded to applicants based on the degree to which they meet the criteria.

  In 2009, DHCR/HTFC increased its award of CDBG funds for affordable housing by $3 million. Sixty-Six percent of NYS CDBG funds awarded under New York State's Annual Competitive Round went to projects that address and/or support affordable housing.

- Office of Fair Housing and Equal Opportunity (OFHEO)

  Organized to respond to the Agency's expanding role in monitoring the progress of access to Fair Housing initiatives, OFHEO is also responsible for implementing the agency's Affirmative Action and Equal Opportunity programs for minority and women-owned business enterprises. OFHEO is responsible for ensuring that respective program areas are monitored for compliance with State and federal laws, rules and regulations governing equal opportunity in tenant occupancy in State-assisted housing, hiring, and contractual opportunities administered by DHCR/HTFC.

  OFHEO seeks to promote fair housing and equal housing opportunity by requiring awardees of capital program funding and tax credits to comply with State and federal civil rights laws in the marketing of the low income housing they develop. These efforts are primarily guided by the Fair Housing Act and 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 marital status. OFHEO affirmatively furthers fair housing statewide by ensuring that developers submit a marketing plan for approval prior to marketing and rental of units. OFHEO also provides technical assistance and training on civil rights issues to developers and DHCR/HTFC employees involved at the regional level.

- Affirmative Marketing Plans

  The lack of education, materials and information on fair housing choice and affordable housing need was an issue raised in the development of the Analysis of Impediments.

  To improve the quality of project marketing DHCR's Office of Fair Housing and Equal Opportunity (OFHEO) created a

marketing plan guideline for Awardees using HUD's Fair Housing Marketing Guide.

DHCR/HTFC requires compliance with the Fair Housing Act's non-discrimination requirements at the marketing stage of the development it funds. Awardees are required to submit affirmative marketing plans, which must contain a marketing strategy to target minority groups including the disabled community. Each plan must list a community contact such as an Independent Living Center for the disabled community, which will assist with outreach and placement. Advertisements for rentals and sales must contain equal opportunity and accessibility logos, as well as language stating the accessibility of units.

OFHEO provides technical assistance to awardees in conjunction with its review of marketing particularly in the areas of advertising and outreach to least likely to apply populations.

OFHEO makes annual presentations to new awardees in each of DHCR/HTFC's regional offices explaining marketing requirements, the Fair Housing Act, Section 504 requirements and the rights of persons with disabilities. The presentations are supplemented by numerous pamphlets and brochures OFHEO has prepared on these topics.

- Affirmatively Furthering Fair Housing under the CDBG Program

  The CDBG Program works with recipients to ensure that efforts are undertaken to affirmatively further fair housing. Within the CDBG application, applicants can receive 20 bonus points for their efforts to affirmatively further fair housing by demonstrating that they have provided assisted housing in areas outside of minority or low- and moderate-income population centers. In addition, at the time of application, applicants are required to submit signed certifications that acknowledge that they will work to affirmatively further fair housing through a variety of activities. Specifically, recipients are required to designate a Fair Housing Officer to receive and address any complaints related to Fair Housing. Information on the Fair Housing Officer is obtained annually through the Annual Performance Report. Recipients are also monitored at least once during the life of the grant for regulatory compliance including compliance with the Fair Housing Regulations.

- Training Opportunities

  DHCR/HTFC hosted a series of Fair Housing and Accessibility Training Seminars, provided by Fair Housing Solutions, LLC, for internal staff and owner/managing agents on the requirements of the Fair Housing Act and the provisions of Section 504 of the Rehabilitation Act of 1973.

  DHCR/HTFC contracted with Dr. Kathryn Nelson, author of The Hidden Crisis: Worst Case Housing Needs among Adults with Disabilities. Prior to her retirement Dr. Nelson worked at HUD and was the principal author of HUD's first eight reports to Congress on worst case housing needs for housing assistance for persons with disabilities. Dr. Nelson works with the Technical Assistance Collaborative. A stakeholder group of State agencies, disability advocates, and not-for-profit organizations participated in Dr. Nelson's presentation. The result was a facilitated discussion of data and needs that would improve the State's planning process.

- Raising Awareness

  The State Division of Human Rights and U.S. Department of Housing and Urban Development conducted a month-long Fair Housing Public Service Campaign targeting all regions of the State. Funded by HUD, the campaign began in November of 2008 and included 4,000 subway and 300 bus advertisements in New York City; 195 bus advertisements in Buffalo, Rochester, and Syracuse; 26 billboard ads throughout upstate New York; advertisements in numerous weekly publications around the state; and a statewide webcast. The theme of the campaign was "F*or Rent/For Sale, Unless...*" The advertisements listed various categories protected under the Fair Housing Act. These include: race, ethnicity, creed, religion, familial status, and disability, among others. The goal of the campaign was to educate the public as to their rights and recourse.

- Nursing Home Transition and Diversion Waiver Housing Subsidy Program

  Through discussions with disability advocates and partner agencies the State recognized that for persons with disabilities and special needs living on Social Security Income (SSI) the cost of housing was often a barrier to fair

housing choice. Often times this resulted in more costly nursing home placement and prohibited an individual from the choice of living in a more integrated setting.

DHCR/HTFC partnered with the NYS Department of Health (DOH) to create the Nursing Home Transition and Diversion (NHTD) Waiver Housing Subsidy Program. This State funded initiative provides rental assistance to NHTD Medicaid waiver participants in New York State. The Program offers an alternative to nursing home placement for people with disabilities ages eighteen (18) or over and seniors by assisting them with securing housing and at home services appropriate to their needs.

A household may remain with the program as long as they are waiver eligible, even if they change residence. The NHTD Housing Subsidy has received State appropriations totaling over $7 million to date, which has allowed the program to be offered in every county within the State. The average rental subsidy payment is $557 per month with total average tenant payment (rent plus average utility cost) amounting to $345 per month. Two of four households served are transitioned from Nursing Homes with the others being diverted from institutional settings.

This program has strengthened the partnership between housing and service delivery systems, as organizations have become more adept with developing plans that meet individual service and housing needs. It won the 2009 National Council of State Housing Agencies (NCSHA) Award for Program Excellence in Special Needs Housing.

- Most Integrated Setting Coordinating Council

  The State continues to engage in planning initiatives that play a significant role in expanding housing for people with disabilities. DHCR and the Office of Temporary and Disability Assistance (OTDA) serve as active members of the Most Integrated Setting Coordinated Council (MISCC). MISCC was created through Chapter 551 of the Laws of 2002 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.

  The Commissioner of DHCR chairs a MISCC Housing Task Force which is comprised of consumers, representatives of not-for-profit and advocacy organizations, as well as entities of government whose work impacts the lives of people with disabilities. The Task Force was formed in 2007 to support the MISCC's goal of ensuring that people of all ages with disabilities are afforded the choice and empowerment to live in the most integrated setting that meets their individual needs and preferences.

- New York/New York III Supportive Housing Agreement

  In 2005 New York City and New York State entered into a homeless housing initiative to provide an additional 9,000 supportive housing units for individuals and families living on the streets or in emergency shelters in New York City. The New York/New York III Supportive Housing Agreement provides housing and related services to those New York City individuals and families most in need.

  DHCR, OTDA, the Office of Mental Health (OMH) and Office of Alcohol and Substance Abuse Services (OASAS) continue to work in close collaboration to implement this initiative. Liaisons from each agency participate on a State/City Oversight Committee to ensure creation of necessary policies for implementation and monitoring to achieve targets.

- Combating NIMBY

  The Analysis of Impediments identified "Not in My Back Yard" (NIMBY) as a primary barrier to affordable housing. DHCR launched an ongoing campaign to dispel the myths associated with affordable housing and demonstrate the far-reaching benefits that it has on cities, towns, and villages. The support of municipalities on every level is critical to the State's ability to create and preserve affordable housing opportunities in New York.

  In 2008, a statewide Public Service Announcement (PSA) campaign was launched to promote the continued development of affordable housing in communities throughout New York State. The PSAs were part of a larger campaign, Affordable Housing Works, touting attractive and high quality affordable housing developments across New

York State.

The PSAs aired on broadcast television stations and radio stations throughout the State. The ads ran for four weeks and featured filmmaker and green affordable housing advocate Edward Norton, former NFL football player and community developer Tiki Barber and former Major League baseball player and affordable housing developer Mo Vaughn. Additional ads ran in Spanish.

In conjunction with this effort DHCR also developed a stand-alone website: www.AffordableHousingWorks.org. The site showcases the PSAs, as well as features examples of attractive, quality affordable housing throughout the State. The PSA campaign garnered an Award for Excellence in Creative Media from the National Council of State Housing Agencies.

As part of this effort DHCR launched a video presentation entitled, "Municipal Leaders Speak Out - Affordable Housing Works!" The video was presented at the Association of Towns Annual Meeting and the New York Conference of Mayors (NYCOM) Winter Legislative Conference in February of 2009. It featured municipal leaders speaking out about the positive impact of affordable housing on communities and quality of life.

- Section 8 Homeownership

  Beginning in September 2000, Public Housing Agencies (PHAs) administering the Section 8 Housing Choice Voucher Program were authorized to utilize Voucher assistance to help Voucher Program participants purchase a home. DHCR was one of the first PHAs in the country and the first in NYS to participate in a pilot program involving Section 8 homeownership.

  Since 2000, DHCR has steadily built its home ownership program, and is now the number one ranking PHA in the country, with respect to mortgages closed utilizing Section 8 Voucher assistance. DHCR has combined Section 8 Voucher assistance with Family Self Sufficiency programming to help 294 families achieve homeownership in 38 of the 50 local program areas under DHCR Voucher Program authority.

- HUD-VASH Voucher Program

  Issues faced by veterans returning from the conflicts in Iraq and Afghanistan focused greater concern on the plight of homeless veterans. The current HUD-Veterans Affairs Supportive Housing (HUD-VASH) Program was authorized in the 2008 Consolidated Appropriations Act and is the only housing assistance program within the U.S. Department of Housing and Urban Development (HUD) targeted to any veteran population.

  The HUD-VASH program is explicitly designed to provide permanent supportive housing to veterans with serious mental and addictive disorders. HUD–VASH combines HUD Housing Choice Voucher rental assistance for homeless veterans with case management and clinical services provided by the Veterans Affairs at its medical centers and in the community. Evaluations of the HUD-VASH program conducted by the U.S. Department of Veterans Affairs' Northeast Program Evaluation Center (NEPEC) indicate that HUD-VASH significantly reduces days of homelessness for veterans targeted by the program.

  DHCR has been awarded HUD-VASH Vouchers in Suffolk and Westchester Counties in conjunction with VA Centers in those areas and to date has assisted 142 veterans in obtaining the affordable housing and case management services provided by the program.

- Family Unification Program

  The lack of adequate and affordable housing has been recognized as a key factor in the separation, or threat of imminent separation, of children from their families. The lack of such housing has also been identified as an obstacle in reunifying families whose children were placed in foster care. HUD Family Unification Vouchers enable these families to obtain and retain decent, safe, sanitary and affordable housing.

  The Family Unification Program couples Section 8 Voucher assistance with services provided by other agencies to ensure that housing costs are affordable and that other family issues are appropriately addressed.

DHCR has the country's largest Family Unification Program with 877 families currently enrolled in 24 local areas under DHCR authority. Nearly $800,000 is disbursed each month to help these families maintain their family structure.

- Improving the Building Code

  On January 1, 2003, the State Fire Prevention and Building Code Council enacted significant revisions to the State's Uniform Fire Prevention and Building Code, which have been mandated statewide since 1984. The revisions included provisions for the design and construction of facilities for accessibility to physically disabled persons, utilizing ICC/ANSI A117.1-98 as the technical standard for determining accessibility. The Code Council enacted requirements for accessibility to residential buildings containing four or more dwelling units with a common means of egress.

  The Code Council's provisions for accessibility were developed by a technical subcommittee that included representation from the NYS Office of Advocate for Persons with Disabilities and United Spinal Association (formerly Eastern Paralyzed Veterans Association). Also, one of the statutory representatives of the Code Council is charged with representing the interests of persons with disabilities. The code development process included numerous publicly announced technical subcommittee meetings and Code Council meetings. All of these meetings were open to the public. Also, the Code Council conducted several public hearings around the State to maximize public input.

- NYHousingSearch.gov

  The Analysis of Impediments identified access to available affordable housing, education materials and information as a barrier to obtaining affordable housing. The State launched an effort to find new and affordable ways to provide additional resources to those most at risk by developing tools that connect people to available housing in order to assure a safe, decent place to live.

  In 2008 www.NYHousingSearch.gov was launched as a FREE public service provided by DHCR, the New York State Department of Health (DOH) and Office of Mental Retardation and Developmental Disabilities (OMRDD).

  The site is funded in part through a Money Follows the Person (MFP) Rebalancing Demonstration Grant and a Real Choice Systems Change, Systems Transformation Grant from the U.S. Department of Health and Human Services, Centers for Medicare and Medicaid Services. These grants assist states with making effective and enduring improvements in community-based long-term care and support systems for seniors and people with disabilities.

  The site uses software created by Socialserve.com, a national not-for-profit provider of housing locator services. Socialserve.com is responsible for maintaining the site and providing toll-free call center support.

  This innovative service connects people with housing they can afford that meets their individual needs and is located in the communities of their choice. www.NYHousingSearch.gov can be accessed online 24-hours a day and is supported by a toll-free, bilingual call center M-F, 9-6 EST.

  The easy-to-use, FREE search allows searchers to look for housing using a wide variety of criteria and special mapping features. 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.

  DHCR requires as part of Affirmative Fair Housing Marketing Plans (AFHMP) that projects receiving subsidies register with www.NYHousingSearch.gov and report vacancies. The primary purpose of the affirmative marketing program is to promote an environment in which individuals of similar income levels in the same housing market area have available to them a like range of choices in housing, regardless of the individual's race, color, religion, sex, national origin, familial status, age or disability.

  DHCR developed an extensive marketing and advertising campaign to promote www.NYHousingSearch.gov. An initial

Google ad word search campaign was launched to raise on-line awareness of the site. Newspaper ads were placed in every county throughout the State in multiple editions. Email blasts were sent to interested stakeholders, as well as information to include in newsletters and publications. Various trainings and brown bag lunch seminars were conducted to engage DHCR staff, as well as the public.

The volume of listings and frequency of searches illustrates a success rate that exceeded initial projections. While numbers are a measure of success, the greatest tool to demonstrate worthiness is whether those searching for housing are successful as a result of the site. In exit surveys landlords report that over 35% of tenants find housing as a direct result of www.NYHousingSearch.gov.

- New York State Housing Report

  Affordable housing development increasingly requires complex financing structures, using a variety of federal, state and local resources to leverage private investment. This financing system makes it complicated to measure the State's efficiency in its use of these resources, which was the impetus for creating a State Housing Report.

  Simply establishing the amount of resources committed and the number of units financed was not an easy task. Prior to this Housing Report, information about the State's different housing programs was not collected in one place. Layered on top of the State housing programs are intricate federal programs.

  Lastly, in addition to capital dollars spent to finance the construction or preservation of affordable housing, there are immense operating and rental subsidies, as well as service dollars, spent to make housing more accessible or affordable for special need populations or for very low-income households.

  The first report established a base line for housing production and resource commitment and is available at: http://www.dhcr.state.ny.us/Publications/HousingReport/NYSHousingReport.htm#a3

  The ultimate goal for future housing reports is to measure New York's annual progress toward providing housing opportunities for all of its citizens.

- Foreclosure Prevention Program

  The State's Analysis of Impediments identified sub-prime lending as an impediment to fair housing choice. The 2008-09 New York State budget provided $25 million to the Housing Trust Fund Corporation (HTFC) for the development and administration of a sub-prime foreclosure prevention services program.

  In June of 2008, HTFC released an open window Request for Proposals (RFP) seeking applicants that could provide a continuum of necessary foreclosure prevention services within a proposed service area. The required continuum of services included outreach, education, counseling, legal representation, and court-based services. From August of 2008 through February of 2009, the HTFC approved sixty-four (64) grant awards to foreclosure prevention programs across New York, which has resulted in services being available in every county within the State. The awardees were provided two-year contracts to provide the proposed services.

  According to a New York State Banking Department Report released in July of 2009, tens of thousands of New York homes are in the foreclosure process, or at risk of foreclosure, thus homeowners are in urgent need of housing counseling and support. Yet the foreclosure crisis has strained the capacity of housing counselors, legal services, mediators and other advocates to provide borrowers with the necessary help to prevent foreclosures. The availability of trained counselors, mediators, and lawyers is an important element in supporting and educating New Yorkers facing default or foreclosure. As caseloads have grown, the sustained ability of these agencies to respond to this increasing demand for services is a critical issue.

  Due to the ongoing problems associated with foreclosure, the 2009-10 New York State budget appropriated an additional $25 million to the Housing Trust Fund Corporation (HTFC) to continue the State's foreclosure prevention effort started in the previous budget year. The new funds have been allocated from the Fiscal Stabilization Fund

provided to the State under the American Recovery and Reinvestment Act (ARRA).

- Manufactured Housing Replacement

  DHCR/HTFC is responding to an important need in rural communities with a new 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.

  The new statewide Manufactured Home Replacement Initiative (MHRI) targets $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. It also increases the award limit under HOME by sixty-six percent, from $30,000 to $50,000.

  DHCR's 2009 Regional Housing Needs Studies of the North Country, Finger Lakes, and Western New York Regions highlighted the critical role that mobile and manufactured homes play in affordable housing across the state. The studies also underscored the severe deterioration of many of these homes, particularly those built prior to 1976 when the use of tin roofs, metal siding, and inefficient windows was commonplace.

- The New York Main Street Program

  New York Main Street provides financial resources and technical assistance to communities to strengthen the economic vitality of the State's traditional Main Streets and neighborhoods. An important goal of the NY Main Street Program is establishing the residential sector in existing downtown/neighborhood corridors, which have a mix of housing that is affordable to all income levels.

  Expanding affordable housing opportunities in mixed-use districts, including accessible upper floor units, creates the critical density needed to attract or expand public transportation options in communities throughout the state. In addition, investing in mixed use neighborhoods lessens the need for private transportation units as employment opportunities and housing are located in close proximity to each creating further employment opportunities for low-income residents.

  An example of the creation of the critical mass needed to expand public transportation offerings benefiting low-income persons may be found in the Hudson Valley Region of New York State. The revitalization of small to medium size cities such as New Rochelle and Yonkers have made these areas attractive to developers who wish to create Transit Orientated Development communities.

The State's success in improving programs and reforming policies is a reflection of input received from our public and private sector partners. We continually engage our partner agencies, housing advocates, supportive housing providers, developers, consumers and residents from across the State. Together we have researched best practices, examined barriers to safe, decent, affordable and accessible housing and implemented action steps to improve delivery of the State's housing resources. These activities will continue in 2010, through completion of an updated Analysis of Impediments.

3.3 Analysis of Impediments – Priority Issues

Based on previous analogies, DHCR 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 like to apply" from the same income group in a broad market area. An AMP guideline was created to assist awardees in completing a non-discriminatory plan. 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, by implementing the following:

- Require the awardees register the project with www.NYHousingSearch.gov;

- Document the number of accessible/adaptable units available for the visual and hearing impaired;
- Describe how reasonable accommodations request will be handled;
- State whether the project has a Telecommunication Device for the Deaf (If Section 8 assistance is received from HUD, the complex is required to have TDD;
- Describe any procedures to aid the hearing and sight impaired;
- Show diligent marketing efforts to market special needs units to that population;
- State management's policy to verify a person's disability;
- State whether disabled persons can have 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, example: commercial media to be used, newspapers, publications etc. and identify those publications that circulate to the LLA populations;
- Ensure the EEO and Accessibility Logo are on all ads;
- List Community contacts and Organizations serving LLA populations;
- List Organizations serving populations being served;
- Ensure that Tenant Selection procedures are made on a random basis through the use of a lottery;
- Describe how applications are made available to prospective tenants;
- Do not permit application fees, credit report fees or other fees charged to applicant;
- Require applicant identity any fair housing training conducted or attended by their employees;
- Maintain copies of everything pertaining to the project which is outlined in the Plan especially for auditing and record keeping purposes.

3.3.1 Create More Affordable Units

DHCR 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 is an affordable, accessible housing listing and locator service. The site provides free listing services for owners and free searching for potential tenants. People may search by area, number of bedrooms, and various amenities. DHCR and Governor Paterson launched the service in December 2008, and since then there have been 249,586 searches, and countless calls to the bi-lingual call center.

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, bilingual call center M-F, 9-8 Eastern Time. The fast, easy-to-use free search lets 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.

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.

The site currently has more than 1,000 active landlords, representing 83,000 units. The site is currently searched an average of 650 times per day, and 35 percent of landlords using the site report that they've found their tenant through the site.
NYHousingSearch.gov is a partnership of The New York State Division of Housing and Community Renewal, the New York State Department of Health's Money Follow the Person Rebalancing Demonstration Program, and the Office of Mental Retardation and 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 DHCR's Analysis of Impediments to Fair Housing, OFHEO monitors DHCR'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 2009, the NYS CDBG program awarded applicants 20 points toward their total score for their efforts to provide assisted housing to low- and moderate-income families in ways that promoted housing choice. Ten points were awarded to applicants who documented that their percentage of minority, full-time permanent employees was greater than the percentage of minorities in the applicant's community.

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

DHCR 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

OFHEO continues to respond to housing complaints and inquiries. The booklet entitled, "Fair Housing-Equal Opportunity for All" was published by HUD and is distributed to complainants as needed. The booklet is made available as an authoritative source of public information regarding fair housing laws and obligations in New York State. OFHEO developed a pamphlet entitled "Affirmatively Furthering Fair Housing." This pamphlet contains nondiscrimination guidance for recipients of federal funds and is available through OFHEO and program representatives at DHCR.

In an effort to remain compliant with executive orders and to adhere to more economical and efficient use of state funding, the OFHEO utilized video and teleconferencing to provide the majority of its information and training for staff and awardees.

During the month of April which is Fair Housing Month, OFHEO participated in various training and workshops sponsored by HUD including the Fair Housing and Technical Assistance workshop and 504 Training. In order to more effectively respond and assist clients seeking appropriate housing, OFHEO staff attended the DHCR sponsored NY Housing Search workshop. In addition, OFHEO staff attended the NYSAFAH and Weatherization Conferences, as well as participated in the Energy Efficiency Conference held in NYC.

OFHEO monitors two new programs due largely to the federal economic stimulus funding plan. The two programs include the Weatherization Assistance Program which falls under the American Recovery and Reinvestment Act (ARRA) and the Empire State Development Corporation (ESDC) Tenant Repair and Improvement Loan (TRAIL) Program. OFHEO has participated in and provided training for in-house staff and sub-grantees statewide.

Housing complaints and inquiries have significantly decreased due to the implementation of the DHCR information hotline. Calls and inquiries are screened and then directed to the appropriate office. This process has proven to be more efficient and has tremendously improved the assistance provided to NYS residents with housing issues. OFHEO received approximately 36 inquiries and/or complaints that were successfully resolved by staff.

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, and no major problems were encountered. The State continues to move toward its major five year goals. Adjustments or changes to objectives are not anticipated.

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 2009, the State completed 640 rental units, (compared with the Action Plan goal of assisting 1,150 rental units).

Among other things, New York State provides rental subsidies to extremely low- and low-income households. DHCR 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- and moderate-incomes to afford homes. Most of the State's assistance activities are aimed at low-income households, but mortgage assistance is also available to middle-income households.

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

In furtherance of this objective, during Program Year 2009 the HOME program provided 253 families the opportunity to become homeowners. To date, the program has created more than 5,200 home ownership opportunities. This number was lower than anticipated due to market changes resulting from the foreclosure crisis.

The NYS CDBG program is on track to achieve the goal of 5,300 units of rehabilitation as set forth in the 2006-2010 Consolidated Plan. In PY 2009 a total of 751 units of housing were rehabilitated from funding provided under the Competitive Round.

Through funding for home ownership activities and new construction activities, the NYS CDBG program is on track to exceed the goal of 1,000 low-and moderate-income homebuyers as outlined in the 2006-2010 Consolidated Plan. In PY 2009, 103 households were assisted with home ownership opportunities.

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 will enable individuals to safely and comfortably live in their residences and avoid institutional care. This assistance will also allow individuals currently living in institutional settings to transition back to their homes once they are appropriately adapted. Grants will be made to eligible not-for-profit entities with substantial experience in adapting or retrofitting homes for persons with disabilities. Funding for the Access to Home program since its creation in 2005 is noted in Table 58 below. In November 2009, DHCR/HTFC released the sixth NOFA for Access to Home for approximately $4 million with awards expected to be made in July 2010. Since the program inception 1,324 units have been modified to allow persons with disabilities to remain or return to their homes.

TABLE 58
FUNDING AND AWARDS FOR ACCESS TO HOME
[in Millions]

Year	Amount Awarded	Number of Awards
2005	$10.2	54
2006	$5.2	26
2007	$5.0	22
2008	$14.0	46
2009	$4.0	22

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

The New York State Division of Housing and Community Renewal (DHCR) has statewide responsibility for the administration of 40,039 Section 8 Housing Choice Vouchers allocated by HUD. Each year these vouchers provide tenant-based rental assistance to thousands of low-income 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. See Table 59.

As compared to 2008, the overall level of Housing Assistance Payments (HAP) increased by approximately $34.8 million. The average number of families assisted also increased by approximately 2,005 families per month. This significant increase in program utilization is attributable to the number of conversion vouchers assigned to DHCR when projects opted out of a Section 8 contract, pre-paid a government mortgage or decoupled from the HUD Section 236 program. DHCR continues to focus on financial management, and full utilization of HUD-provided budget authority also contributed to the increase in HAP outlay.

Farmworker Housing Program

The Farmworker Housing Program is a no-interest revolving loan program to assist agricultural producers in bringing farmworker housing into compliance with applicable code (i.e., the New York State Sanitary Code or the Uniform Fire Prevention and Building Code). The loans may also be used for new construction and/or the expansion of farmworker housing. Two participating lending institutions have been providing loans to agricultural producers throughout the State as Local Loan Administrator under the program: Farm Credit of Western New York, ACA, which serves sixteen western counties in New York State; and First Pioneer Farm Credit, ACA, which serves Central New York, Long Island, the Hudson Valley and northern New York. In the three years ending December 31, 2009, DHCR has processed 82 loans totaling $6,087,196.

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 Shelter 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 2009 which 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.

In April, 2007, the MISCC established a Housing Task Force comprised of MISCC members and non-members who will focus on housing issues as they relate to ensuring that people of all ages with physical and psychiatric disabilities receive care and services in the most integrated setting appropriate to their individual needs. The Commissioner of DHCR chairs this Task Force, which continues to meet quarterly and work with the MISCC to accomplish its goals.

During 2008, the MISCC Housing Task Force become the MISCC Housing Committee to maintain consistency with other MISCC committees. Three workgroups were formed to address barriers to affordable housing. These workgroups are: the Housing Subsidy Workgroup, the Data Workgroup, and the Education Campaign Workgroup. Meetings of the Housing Committee and the workgroups helped to produce specific recommendations and next steps that were submitted to MISCC and were included in

the Annual Report. During 2009, the MISCC Housing Committee continued to focus on recommendations included in the 2008 MISCC Annual Report. The Committee contributed to the MISCC 2009 Annual report and to the 2010 Draft MISCC Plan.

In addition, the MISCC Housing Committee also served to support the Nursing Home Transition and Diversion Waiver (NHTD) Housing Subsidy and the Affordable Housing Registry project.

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 DHCR Section 8 Local Administrators (LAs) under contract in 50 counties in conjunction with Section 8 PHAs in counties outside of DHCR'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 DHCR housing experts are working together in a new and innovative manner to transition and divert individuals from institutional settings. As of December 31, 2009 there are 30 participants on the NHTD Housing Subsidy, primarily in downstate New York and New York City, receiving an average subsidy of $804 per month. Half of the participants have transitioned from Nursing Homes; the remainder has been diverted from Nursing Home placement.

Real Choice Systems Change Grant for Systems Transformation

In September 2006, OMRDD was awarded a five-year $2.8 million grant from the federal Centers for Medicare and Medicaid Services (CMS) This grant will assist OMRDD in facilitating increased person centered supports for people with developmental disabilities by enhancing New York State's Options for People Through Services (OPTS) initiative. The overall purpose of the grant is to further system transformation in New York and three goals were selected and funded: Choice, Housing, and Funding. A Strategic Plan was developed during the first year of the grant. During 2009, the operational phase followed the Strategic Plan and a focus included supporting the Affordable Housing Registry, www.NYHousingSearch.gov defined below.

Money Follows the Person Rebalancing Demonstration Program (MFP)

MFP is a successful federal grant received by DOH in January 2007. MFP will provide New York enhanced Federal Medical Assistance Percentage (FMAP) reimbursement, contingent on the transition of eligible individuals from nursing homes back into the community during the initiative.

The Pre-Implementation phase of the MFP program was completed during 2007 with the implementation phase beginning in 2008. As part of the application to CMS, the State had to identify barriers to transitioning people from nursing homes. A major barrier identified was the need for affordable, accessible, and integrated housing. The MFP Housing Task Force, chaired by the Commissioner of DHCR, was created to address this barrier. Comprised of a variety of stakeholders including consumers, consumer-controlled organizations and advocates, public housing authorities, housing developers, and State agencies, it's focus is on addressing the need for affordable, accessible and integrated housing, as identified in the application to DOH.

In February 2009, a partnership between DOH and DHCR resulted in the first successful MFP transition receiving a NHTD housing subsidy. Over the next 10 months we were able to increase the total of MFP participants receiving NHTD housing subsidies to 12. For this same period the DOH was able to transition an additional 238 MFP participants into the community, without subsidy assistance For 2010 DOH has received approval from CMS to include other Medicaid waiver programs in the MFP eligible pool in the hopes of exponentially increasing MFP eligible participants and maximizing New York State's FMAP reimbursement.

Our implementation efforts to address the need for affordable, accessible housing though the use of NYHousingSearch.gov have resulted in creating the largest inventory of affordable, available housing in New York State. Launched to the public on Disability Awareness Day, May 11, 2009, the site has been searched approximately 250,000 times and represents 83,000 units. Thirty-five percent (35%) of property providers report that use of the site resulted in the leasing the unit to a qualified household. NYHousingSearch.gov has been cited as a model project under the MFP initiative and is being replicated in several other states to facilitate accessible, affordable housing acquisition.

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 2007, a number of projects and units were funded and are in varying stages of development. During 2009, additional projects were funded bringing the total projects assisted by DHCR/HTFC to 11 projects, including 343 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.

The Division of Housing and Community Renewal (DHCR) 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. DHCR participates on the Adult Issues Committee, which includes issues related to housing for adults with disabilities.

Access to Home Program

See Section 4.

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 accommodate an eligible tenant. This requirement was continued under the 2009 Unified 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 enhanced criteria was continued in 2009 with a number of applicants taking advantage of the point incentive. Of the total awards announced in July 2009, approximately 70% met, or exceeded the 5% and 2% criteria, and more than 50% met or exceeded the 10% and 4% criteria. The 2009 awards are creating more than 400 fully accessible units for persons with mobility, hearing or vision impairments.

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.

In total, 1,601 units were completed or occupied meeting Section 215 standards under the State's HOME program. Of these, 392 were rental units and 1,209 units were owner-occupied units.

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 (Original 2006 – 2010 Consolidated Plan Objective 3). 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 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;
- Supported Housing for Family and Young Adults;
- 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;
- 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. 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.

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-profits, and real estate officials; requiring beneficiaries to help themselves to the extent possible; and lending, not granting, HOME funds, when feasible.

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 (in 2008, $14 million more in annual allocation authority from the 2001 per capita amount) 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 2006-2010 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, whereas LIHC serves households with incomes up to 60 percent of the area median, 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 $55.8 million in matching funds that is being carried forward to address underserved needs. A copy of the HOME Match Report is included in Appendix IV. 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 2006-2010 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 infrastructure, and often went years with failing private septic systems and wells that present real health hazards but 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 2009 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. During the reporting period, funds were provided for the development of 4 projects totaling 114 units, with a total development cost of approximately $19,000,000. Including these awards, this initiative has created 72 projects comprised of 1,893 housing units. The combination of these subsidies enables the creation of more units than would otherwise be possible if the program resources were not combined in this manner. HTFC/DHCR and Rural Development plan to continue this collaboration into the future.

6.2 Fostering and Maintaining Affordable Housing

Community Housing Development Organizations are, by definition, established for the singular purpose of community housing development. They have an inherent commitment to maintaining affordable housing. The State of New York continues to assist Community Housing Development Organizations as required by statute and according to guidelines and criteria established in its Consolidated Plan.

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 2009, New York State faced serious challenges as a result of an unprecedented economic downturn resulting in a meltdown of the financial sector, leaving the housing industry in disarray. New York State housing officials were confronted with one of the most difficult years in the history of state government. The State's affordable housing programs faced multiple challenges ranging from the foreclosure crisis in the single family market, to the loss equity in the Low Income Housing Tax Credit market.

Fortunately, our government leaders understand that the creation and preservation of affordable housing is a powerful tool for economic development and provided the Division of Housing and Community Renewal (DHCR) with the resources necessary to carry out our mission. The Governor and DHCR worked together during the budget process to achieve the Governor's goal of reducing costs while at the same time continuing to meet the agency's mission of providing safe, decent affordable housing to New Yorkers. From the federal government, New York State received a significant amount of stimulus funding from the American Recovery and Reinvestment Act (ARRA) which included $394 million for the Weatherization Assistance program, $253 million for the new Tax Credit Assistance Program (TCAP) and $100 million in Community Development Block Grant funds, $13 million of which was administered by DHCR.

The legislative campaign in 2009 was exceptionally challenging due to the economic crisis. Emphasis on executive leadership, inter-agency cooperation, legislative engagement, stakeholder support and effective communication was never more important. The opportunity was never better, along with the dire necessity, to promote the development of affordable housing as an engine for economic development and job creation, helping strengthen families and communities and improving the quality of life for working families, senior citizens, and people living with disabilities. A series of meetings with State legislators was conducted to

discuss the infusion of stimulus funding into the agency's existing budget and to address any concerns regarding any impact the funding would have on existing programs and in fulfilling the agency's core mission. Meetings were also held statewide with elected officials, business leaders, affordable housing developers and community groups to discuss the Governor's proposed budget for 2009-10, the Federal Stimulus package and any regionally specific issues such as the recently-created Upstate Equity Fund, which helps secure private investment for affordable housing in upstate New York. It was reiterated at all meetings that the partnerships which exist between DHCR and all stakeholders are critical to DHCR's ability to preserve and develop affordable housing and revitalize communities.

The culmination of the state legislative campaign was successful in a number of ways. Though the 2009-10 budget for capital and local administered programs was at a reduced level from 2008-09, affordable housing was still a high priority as evidenced by the $79.4 million in funds awarded to DHCR to help build and preserve over 4,000 units of affordable housing during the worst years for housing since the Great Depression. The $394 million ARRA funding combined with the $104 million in the 2009-10 budget for the Weatherization Assistance Program will weatherize the homes of approximately 60,000 low income individuals and families. Finally, the $253 million of ARRA funding allocated for the Tax Credit Assistance Program, $85 million of which was sub-allocated to the New York City Department of Housing Preservation and Development and $65 million to the State Housing Finance Agency, have been awarded to 51 affordable housing developments in every region of the state, saving more that 4,700 units of affordable housing that had been threatened by the economic downturn.

6.3 Eliminating Barriers to Affordable Housing

In Program Year 2009, 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 resources.

DHCR and the Housing Trust Fund Corporation (HTFC) jointly announce the availability of funds each year and invite applications for housing assistance through a 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 providing the option of submitting an online application and posting award information on DHCR's website. A Frequently Asked Questions section was also made available online, as well as access to application workshops.

In addition, DHCR and the NYS Housing Finance Agency (HFA) have coordinated their application process, allowing applicants to file only one application for HFA's Affordable Housing Corporation program and DHCR's HOME program, and one for HFA's bonding capital and DHCR's Homes for Working Families Program.

New levels of interagency coordination were also evidenced in the development of DHCR's revised Qualified Allocation Plan (QAP), which helps determine the distribution of Low Income Housing Tax Credits. DHCR sought input from partner-agencies in developing the new guidelines, to determine how those agencies' housing needs could best be addressed in the new QAP. The NYS Energy Research and Development Authority (NYSERDA) was engaged in the process to assist in developing criteria to encourage affordable housing that is energy efficient and utilizes Smart Growth practices.

DHCR enacted changes to its QAP, in an effort to promote the use of affordable housing development as an incentive to redevelop brownfields and obtain brownfields tax credits. Additional points will now be awarded in scoring criteria for development on a brownfield site. DHCR will facilitate the identification, inventory, and reuse of empty industrial sites and other abandoned properties for affordable housing.

The lack of available, appropriate sites for affordable housing development has made a survey of State-owned property a priority. DHCR and the NYS Housing Finance Agency (HFA) are working with the NYS Office of General Services (OGS) to gather information on available State property. DHCR is evaluating the list of sites for potential use in the development of affordable housing.

DHCR also hosted Owner and Tenant forums to help ensure the fairness and efficiency of the rent regulation system. The series of regular forums is a venue to enlist their ongoing input on issues surrounding rent regulation.

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.

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 which include:

- education, outreach, and enforcement of fair housing standards
- elimination or revision of discriminatory housing and zoning policies
- commitment of funds to programs and projects that produce fair housing
- expansion of affordable housing in areas where opportunities for low income, minority, and disabled housing are limited
- developing housing in areas where job opportunities are greater provision of low interest mortgages or deferred payment loans to impacted groups
- Institution of 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. 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 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 2009, as significant progress was made to integrate energy conservation practices into HOME-funded rehabilitation programs. A number of sub-recipients in each region has established formal relationships with their local Weatherization providers to provide coordinated services to clients. In the 2009 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.

DHCR closely coordinates the WAP with the NYS Office of Temporary and Disability Assistance Low Income Home Energy Assistance Program (HEAP). In 2009, systems were put in place 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.

DHCR continued its efforts in 2009 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 2009, 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.

DHCR continues to participate in the Low Income Forum on Energy (LIFE) steering committee. The LIFE steering committee is comprised of State agencies, energy utilities, and low-income advocates that sponsor and support public forum events designed to identify, thoroughly investigate and discuss possible solutions to energy issues and problems confronted by low income residents in New York State.

Since 2005, the "Access to Home" Program has provided funds to not-for-profit organizations and municipalities 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, and its initial implementation has been continued through four additional funding rounds. In addition, 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.

For more on the Access to Home Program, see Section 4.

Administering Section 8 Rental Assistance

New York State's Division of Housing and Community Renewal (DHCR) administers both tenant-based and project-based Section 8 rental assistance.

Housing Choice Vouchers

DHCR has statewide responsibility for the administration of nearly 40,039 Section 8 Housing Choice Vouchers allocated by HUD. Each year these vouchers provide tenant-based rental assistance to thousands of low-income 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 59
SECTION 8
HOUSING CHOICE VOUCHERS

	NUMBER OF FAMILIES ASSISTED*	HOUSING ASSISTANCE PAYMENTS** [in Dollars]
TOTALS	38,348	332,891,120

*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 total yearly unit month of assistance for 2009 was $460,174.

** 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.

As compared to 2008, the overall level of Housing Assistance Payments increased by approximately $34.8 million dollars. The average number of families assisted also increased by approximately 2,005 families per month. This significant increase in program utilization is attributable to the number of conversion vouchers assigned to DHCR when projects opted out of a Section 8 contract, pre-paid a government mortgage or decoupled from the HUD Section 236 program. DHCR continues to focus on financial management and full utilization of HUD-provided budget authority also contributed to the increase in HAP outlay.

Section 8 Home Ownership Assistance

Local Administrators authorized by DHCR 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 using community partners), home inspections, and post-purchase follow-up. They 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.

DHCR achieved full statewide implementation of the home ownership program option. Although not every local program has enrolled a family in home ownership with Section 8 assistance, the program option is being offered in each DHCR Voucher Program jurisdiction and all programs continue outreach to eligible participants.

Since home ownership activity commenced in 2000, 281 families in 39 different local program areas have purchased homes utilizing Section 8 assistance. In December 2009, a total of $111,478 in monthly home ownership assistance payments was paid on behalf of participating families.

An additional 22 families, who were once Housing Choice Voucher Section 8 rental participants and successfully completed DHCR's Family Self Sufficiency (FSS) program, purchased homes after they left the HCV program. These closings are also attributed by HUD to DHCR's cumulative home ownership program total. The sum of the HCV and FSS closings brings DHCR's cumulative home ownership closing total to 303 as of January 1, 2010.

As was similarly reported last year, current per-unit costs associated with using a Section 8 Voucher to underwrite home ownership have shown that this form of assistance is generally less costly than a rental Voucher. The statewide average home ownership assistance payment for this annual reporting period was $506, as compared to an average rental assistance payment of $724 for the same period. With HUD continuing its efforts to find ways to reduce Section 8 Voucher Program outlay, it is expected that HUD will further encourage public housing authorities to expand implementation of the Section 8 home ownership option.

The DHCR voucher home ownership program was the successful grant recipient to implement the Assets for Independence (AFI) individual development account (IDA) program (matched-savings for down payment assistance). The overall goal is to expand home ownership opportunities by using a 4 to 1 match rate. The Section 8 voucher-holder, who meets the HUD criteria for home ownership voucher assistance, saves for a down payment on his/her first home purchase. The maximum grant value to the family is $7,500. Two of the 2009 DHCR home owners were able to take advantage of this program and have used their matched savings as down payment toward their purchases. There are an additional 35 Housing Choice Voucher recipients enrolled in the savings program now and are expected to purchase a home in the next 18 months.

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. DHCR received $1.154 million in FSS Program funding in calendar year 2009. These funds allowed the local program administrators to retain 29 local FSS Coordinators who provide important case management

services to FSS participants.

Section 8 Project-based Contract Administration

DHCR and HTFC jointly serve as HUD's Performance-Based Contract Administrator (PBCA) for the Section 8 Project-Based portfolio in New York State. At the start of the 2010 calendar year, the portfolio assigned to DHCR/HTFC stands at 996 contracts covering 96,459 units. This is an increase of 4,492 units over the prior year. Monthly gross Housing Assistance Payments for 2009 (prior to mortgage or other offsets) average $81 million (an increase of $5 million from 2008).

DHCR/HTFC is directly 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.

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;
- respond to project health and safety issues; and
- follow up on results of physical inspections of Section 8 projects.

DHCR/HTFC has engaged a private sector partner (PSP) to assist in the performance of the day-to-day responsibilities of contract administration. CGI completed its fourth year as the DHCR/HTFC private sector partner at the end of November 2009.

Starrett City is the largest publicly assisted affordable housing complex in the nation consisting of 5,881 rental units in 46 high-rise buildings located in Brooklyn, New York. The property was a risk of losing affordability due to a proposed sale but through the efforts of HUD, DHCR and others, a plan was put in place to protect the tenants of Starrett. Through this plan, New York State passed legislation to allow the owners of Starrett to refinance the complex and provided $40 million for capital improvements to existing structures, facilities and apartment interiors. In return, Starrett will remain affordable through the Mitchell-Lama program for an additional 30 years. HUD also entered into a 20 year Project-based Section 8 contract with the owners of Starrett to subsidize 3,569 units of the property. DHCR/HTFC will be the contract administrator for HUD's contract with the owners of Starrett City.

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:

- No. Hempstead – Spinney Hill (work to be completed 08/10)
- Oswego – Hamilton Homes (work commenced 4/08)
- Rockville Centre – Rockville Apts. (work commenced 5/08)
- Rome HA – Liberty Apts (work to begin late 2010)

Public Housing Modernization Program

DHCR and HTFC continued to work with Housing Authorities to develop of 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

DHCR'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 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 DHCR website. Through a database of the comprehensive information provided via these forms, the energy performance for each property is profiled in terms of dollars/square foot/heating degree day.

6.6 Reducing the Hazards of Lead-Based Paint

New York State Department of Health (NYSDOH), in collaboration with its many partners including DHCR, is working to continue the positive trends toward achieving the elimination of childhood lead poisoning in NYS. In 2007, NYSDOH undertook a "Primary Prevention Pilot Project" in eight (8) selected counties (Albany, Erie, Monroe, Oneida, Onondaga, Orange, Westchester, and New York City) with significant concentrations of children newly identified with elevated blood-lead levels. In 2008, based on the promising results of the Pilot Program in Year 1, Governor David A. Paterson announced the program would become permanent under an amendment to Title X, PHL 1370 (a)(3). An additional $2.5 million was added, bringing the total to nearly $5 million to fund the Program efforts, and four more local health departments (Chautauqua, Broome, Schenectady, and Dutchess Counties) were provided funding. The selected local health departments were charged to develop and implement, in cooperation with local municipal officials, a housing-based primary prevention work plan which includes the following five goals:

1. identifying housing at greatest risk of lead-paint hazards;
2. developing partnerships and community engagement to promote primary prevention of childhood lead poisoning;
3. promoting interventions to create lead-safe housing units;
4. building Lead-Safe Work Practice (LSWP) workforce capacity; and
5. identifying community resources for lead-hazard control.

Preliminary data on implementation from activities for most of the contractors in Year 2 (October 1, 2008 through September 30, 2009) indicate that grantees made steady progress toward achieving these goals by reaching:

- 4,751 housing units through direct outreach and referral, and more than 36,900 individuals through informational meetings and other events. Mass media coverage of these activities multiplied the scope of that outreach;
- 1,892 children under age six, those most vulnerable to neuro-developmental damage, through home visits, with 1,256 receiving referrals for blood-lead testing thus making an important contribution to secondary prevention in the target communities;
- 4,791 housing units inspected for lead-based paint using a combination of inspection strategies, with 1,836 found to have lead-based paint hazards. At least 618 units had been remediated and cleared as free of lead-based paint dust hazards, with many more in progress.
- 1,812 property owners, contractors, and do-it-yourselfers trained in Lead Safe Work Practice trainings.

In 2009, just over $2 million was added to the budget with three additional local health departments (Niagara, Rensselaer and Ulster Counties) that serve zip code areas with significant concentrations of children identified with elevated blood-lead levels designated by the New York State Department of Health to participate in year three of the project.

In another show of support of the NYS Lead Poisoning Primary Prevention efforts, Governor Paterson issued Executive Order 21 in June 2009 to establish a Governor's Task Force on the Prevention of Childhood Lead Poisoning. The Task Force was born from the need to be as efficient as possible with state funding, as well as to address grantees' and community concerns that state agencies need to have more inter-coordination in order to aggressively prevent further LBP exposure.

In 2009, a competitive solicitation was issued for applications for the NYS Healthy Neighborhoods Program (HNP). This 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 exposure. Residents of the dwellings are interviewed to determine their individual needs as well as a room-by-room visual inspection 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 2008 period included in this report, a total of 21,847 dwelling units were approached by HNPs statewide including New York City, and 9,801 (45%) households had a home assessment initiated. A grand total of 2,279 dwelling units with deteriorated paint were identified including all HNPs in NYS. 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, 128 deteriorated paint conditions were corrected. HNP assures that each child has had a blood lead test. If not, HNP makes the appropriate referrals to ensure that all children have been tested. Looking at Healthy Homes issues, 1,476 homes or 24% of homes visited in upstate New York contained someone with asthma. Asthma is a priority for the 90 day evaluation revisit and most of these homes were revisited. Altogether, 1,409 homes were revisited and upon revisit 9% of homes that had cockroaches at initial visit had eliminated food and harborage for roaches, sometimes called Integrated Pest Management (IPM). In addition, 12% of homes at initial visit took the Smoke Free Home Pledge. Finally, in cooperation with the Bureau of Environmental Radiation Protection, HNP provides radon test kits through a federal Environmental Protection Agency (EPA) grant to homes in low socio-economic status (SES) areas that request one. Under the competitive solicitation process, award announcements were made to Clinton, Niagara, Erie, Monroe, Tompkins, Onondaga, Schenectady, Orange, Rockland, and Westchester counties.

NYSDOH continues to provide code enforcement officers a lead-paint training course that includes 3 hours of continuing education credits. There have been 1,358 code enforcement officers trained on lead, the hazards of lead and the methods to control or eliminate these hazards. Requests for the training continue with very positive reviews on the training.

DHCR has successfully incorporated lead-based paint safe worker training into its housing programs. During 2009, the DHCR Weatherization Program conducted 12 Renovators and Remodelers Lead-Safe Work Practices Training Classes throughout the State. This eight-hour course provided each contractor with the required minimum training and certification necessary to follow lead-safe work practices and to perform interim controls of lead-based paint hazards during rehabilitation work. These classes assisted contractors doing work on Weatherization, HOME and other federally funded housing projects and were open to contractors and staff members from both Neighborhood and Rural Preservation Companies throughout New York State. Completion of this course satisfies the minimum requirements for workers employed in rehabilitation work done by Weatherization sub-grantees in addition to the previously mentioned workers doing rehabilitation work on HUD-funded projects.

In addition, the DHCR Weatherization Program conducted 22 one-day lead safe weatherization training sessions.

TABLE 60
HUD LEAD HAZARD REDUCTION GRANTS
TO LOCAL GOVERNMENTS IN NEW YORK STATE
SUMMARY OF UNITS COMPLETED BEFORE AND DURING 2009
(Dollars in Millions)

GRANTEE		AWARD TYPE	AWARD DATE	AWARD AMOUNT	UNITS PROJECTED	UNITS COMPLETED		
						Before 2009	During 2009	TOTAL
CITIES	ALBANY	LHC	10/08	$3.0	175	0	8	8
		LRD	3/07	$3.0	195	141	0	141
	BUFFALO	LRD	3/07	$1.1	90	30	33	63
		LRD	9/04*	$1.5	88	102	0	102
	NEW YORK	LHC	11/05*	$3.0	220	239	39	278
		LHC	11/07	$3.0	252	24	136	160
		LRD	3/07*	$2.6	300	306	0	306
		LRD	9/04*	$4.0	398	439	0	439
		LRD	11/05*	$4.0	306	247	86	333
		LRD	11/07	$4.0	360	41	143	184
	ROCHESTER	LHC	10/03*	$2.9	150	150	3	153
		LHC	10/07	$1.6	100	30	121	151
		LHC	10/09	$2.2	100	0	0	0
		LRD	10/03*	$2.5	276	276	0	276
		LRD	9/04	$2.5	206	166	49	215
		LRD	10/08	$4.0	250	0	16	16
	SCHENECTADY	LHC	1/07	$1.0	100	11	76	87
	SYRACUSE	LHC	9/04*	$3.0	200	262	0	262
		LHC	11/07	$3.0	200	54	62	116
		LRD	10/07	$4.0	275	32	111	143
		LRD	10/09	$1.9	275	0	0	0
	UTICA	LHR	2/09	$2.0	180	0	0	0
COUNTIES	CHAUTAUQUA	LHC	9/05	$2.1	175	110	0	110
		LHC	10/09	$2.6	175	0	0	0
		LEAP	10/08	$1.8	117	0	0	0
	ERIE	LHC	9/05*	$3.0	200	179	25	204
		LHC	10/08	$3.0	175	0	1	1
	MONROE	LHC	9/06	$3.0	410	339	105	444
		LHC	10/09	$3.0	350	0	0	0
	NASSAU	LRD	10/09	$4.0	340	0	0	0
	ONONDAGA	LHC	9/04*	$3.1	225	246	0	246
		LHC	9/06	$3.0	210	184	32	216
		LHC	10/08	$3.0	210	0	31	31
		LRD	10/08	$3.6	240	0	36	36
	ORANGE	LHC	9/06	$2.8	200	37	63	100
	WESTCHESTER	LHC	9/06	$3.0	230	138	93	231
		LRD	9/06	$2.0	204	97	115	212
		LHR	10/09	$1.0	155	0	0	0
			TOTALS	$103.8	8,312	3,880	1,384	5,264

LHC = Lead Hazard Control Grant

LHRG = Lead Hazard Reduction Grant
LRD = Lead Reduction Demonstration Grant
LEAP = Lead Elimination Action Plan
*Grant Completed

Other HUD Lead Grants in New York State:

Business/Community-Based Organizations

Grantee	Award Amount	Goals Projected	Goals Completed
Environmental Education Associates	$2.0 million		
Certified Contractors		75	160
Certified Workers		100	155
Lead Safe Work Trainees		300	254
Risk Assessments		500	566
Cleared Lead Safe Units		400	321
West Harlem Environmental Action	$283,000		
Outreach to Families with Children		100,000	no report
Outreach to Individuals		28,000	no report
MTA Bus Advertisements		800	no report
Environmental Education Associates	$2.0 million		
Certified Workers		100	41
Lead Safe Work Trainees		1,000	188
Risk Assessments		375	31
Cleared Lead Safe Units		300	8
West Harlem Environmental Action	$299,979		
Training to Neighborhoods		8	no report
Outreach to Families with Children		100,000	no report
Community Foundation of the Greater Buffalo	$300,000		
Radio/TV Campaign Advertising		2,000	2,202
Public Service Aired and Earned		6	811

Brochures/Marketing Materials		33,000	215,093
Lead Awareness Events		25	106
Community Members Awareness Training		1,150	2,095
Individuals Completing LSWP Training		350	396
Children Screened for Lead Poisoning		-	766
Number of Houses Painted in Progress		-	107
Number of Houses Cleared		-	64

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 2006-2010 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. Finally, through microenterprise activities, HTFC helps low- and moderate-income business owners to improve or develop a business enterprise.

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. In 2009, 416 households (26 percent of 1,601 households assisted under HOME) had incomes at or below 30 percent of AMI, which approximates the poverty level.

Reducing Energy Costs

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

Weatherization Assistance Program (WAP)

DHCR administers the federally-funded Weatherization Assistance Program (WAP). WAP provides grants to community action agencies and local governments 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. The cost per unit cap was increased in 2009 from $4,500 to $6,500.

DHCR closely coordinates WAP resources with other DHCR 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.

For the 2009 program year, New York initially received $98.8 million in program funds. This included $36.2 million in DOE funds

and $62.2 million of US Department of Health and Human Services Low-Income Home Energy Assistance Program (HEAP) funds, including funds carried forward from prior years. $100,860,000 in total was allocated to weatherization sub-grantees to carry out the program throughout all counties in New York State.

In program year 2009, DHCR installed weatherization measures in 12,954 dwelling units. Weatherization measures consist of air sealing, insulation, and heating system repairs, window or furnace replacement, efficient lighting fixtures (CLFs), energy star refrigerators and other electric base load reduction, and work items that mitigate energy-related health and safety concerns.

Minor repair work included water heater repair or replacement, roof repair when necessary to protect insulation, chimney liners or repairs, lighting fixture replacement, and installation of ground fault interrupt circuit outlets.

6.8 Ensuring Compliance and Monitoring

DHCR, HTFC and OTDA are individually responsible for ensuring compliance in the programs they administer. During 2009, each agency implemented the monitoring plan that was outlined in the 2009 Annual Action Plan.

6.8.1 HOME Program Monitoring

In 2009, DHCR regional offices conducted on-site reviews of 89 sub-recipients and State recipients. These reviews resulted in 24 instances where recipients were notified of concerns about program implementation, and 7 findings of non-compliance with program regulations. DHCR staff continues to work with recipients until each finding has been resolved and the recipient is found to be in compliance with all rules. DHCR 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 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.

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 Shelter 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.

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. 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 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. All recipients are provided with a Grant Administration Manual that outlines the program requirements and provide compliance guidance. 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 ESGP 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; 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. 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. 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 Program Manager attempts to visit all projects within the two-year cycle. 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 ESGP 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.

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 2006-2010 Consolidated Plan, approved by HUD on December 29, 2005, 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 2006-2010 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 5,300 units of rehabilitation as set forth in the 2006-2010 Consolidated Plan. HTFC reports that recipients are well on their way to accomplishing the goals predicted in their individual grant applications. In PY 2009, a total of 751 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 and new construction activities, the NYS CDBG program is on track to exceed the goal of 1,000 low- and moderate-income homebuyers as outlined in the 2006-2010 Consolidated Plan. In PY 2009, 103 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 2009, a total of 788 FT and 128 PT jobs were created and/or retained, and 51 businesses were assisted either through microenterprise or façade assistance. If the job creation/retention activities remain at the levels as achieved in PY 2009, the NYS CDBG program will exceed the goal of 6,000 jobs as outlined in the 2006-2010 Consolidated Plan.

SL-2 – Improving the Affordability of Suitable Living Environments and
SL-3 – Improving the Sustainability of Suitable Living Environments

During the 2006-2010 Consolidated Plan period, it is estimated that the construction of 130 public facility projects will receive assistance from the NYS CDBG program. In PY 2009, 17 projects were completed that involved public facilities activities that benefited 43,735 persons. At this rate of accomplishment, the goals of the 2006-2010 Consolidated Plan will be met or exceeded.

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 low- and moderate-income populations of eligible jurisdictions.

In early 2009, 22 Community Planning awards totaling $428,893 were made. These grants will allow for communities to undertake a variety of planning activities which will allow them to more accurately identify their goals and objectives and develop a strategy for addressing those goals.

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.

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 2006-2010 Consolidated Plan and the 2009 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 2009, the State of New York issued Certificates of Consistency to:

Public Housing Authorities (PHAs)

1 Plattsburgh Housing Authority
1 Dolgeville Housing Authority
1 Cohoes Housing Authority
1 Woodbridge Housing Authority
1 Amsterdam Housing Authority
1 City of Lockport Housing Authority
1 Village of Kiryas Joel Housing Authority
1 Canton Housing Authority
1 Town of Hoosick Housing Authority
1 NYS Division of Housing and Community Renewal
1 Cortland Housing Authority
1 Village of North Syracuse
12 TOTAL

Organizations Other Than PHAs

3 Columbia Opportunities, Inc.
1 Franklin County Community Housing Council, Inc.
1 Council on Alcoholism and Drug Abuse
1 Gateway Community Industries
1 Mental Health Association of Ulster County
1 Family of Woodstock
1 Oswego Housing Development Corporation
2 Chautauqua Opportunities, Inc.
1 Putnam County Housing Corporation
1 Housing Resources of Columbia County

2 Franklin County Community Housing Corporation
1 Mechanicville Housing Authority
1 Tri County Housing Council
7 Office of Mental Health
1 Oswego County Opportunities
1 Cattaraugus County Continuum of Care
1 Orleans County Continuum of Care
1 Marantatha Human Services
1 Catskill Mountain Housing Development Corporation
1 Saratoga-North Country Homeless Alliance
4 Rochester Housing Authority
1 Cares, Inc.
35 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.

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-based monitoring or site visits.

Applicants for housing rehabilitation funding must be able to demonstrate that they have followed the stipulations of the URA by providing an Anti-Displacement Plan at the time of application. 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.

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 they propose to supply 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 open-round 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 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 2009 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 2009 Action Plan had estimated that 990 housing units would be rehabilitated in PY 2009. For the period January 1, 2009 - December 31, 2009, 751 units of housing were fully rehabilitated.

A fair estimate of the average cost required to bring a substandard unit into standard condition is $16,615.

7.1.8 Community Revitalization Strategy Areas (CRSA)

No CRSAs were approved during 2009.

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 2009 HOME Matching Funds

Match contributions reported in Table 61 are based on the federal fiscal year that began October 1, 2008 and ended September 30, 2009 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
2009 HOME PROGRAM
MATCHING FUNDS
[in Dollars]

EXCESS MATCH (previous year)	MATCH CONTRIBUTION	MATCH LIABILITY	EXCESS MATCH CARRYOVER
54,162,542	11,164,039	4,721,220	55,884,141

See also Appendix IV, which contains Form: HUD 40107-A "HOME Match Report."

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

Table 62 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.

TABLE 62
2009 HOME PROGRAM
LOCAL PROGRAM ADMINISTRATORS (LPAs)
PARTICIPATION BY MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES

	CONTRACTS				SUB-CONTRACTS			
	#	%	$	%	#	%	$	%
ALASKAN/NATIVE AMERICAN	0	0	0	0	0	0	0	0
ASIAN/PACIFIC ISLANDER	5	1	148,472	1	0	0	0	0
BLACK/NON-HISPANIC	65	10	2,602,870	22	122	27	377,625	29

HISPANIC	12	2	200,007	2	20	5	75,228	6
WHITE/NON-HISPANIC	532	79	8,298,638	71	275	62	825,462	63
WOMEN-OWNED	59	9	358,388	3	27	6	36,091	3
TOTAL	673	100%	11,608,374	100%	444	100%	1,314,406	100%

The Office of Fair Housing and Equal Opportunity 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. 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. In 2009, OFHEO received approximately 142 Section 3 compliance reports.

The New York State Division of Housing and Community Renewal (DHCR), 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/WBE's 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 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, 2009 through December 31, 2009, DHCR's Asset Management Bureau conducted on-site inspections of 121 HOME-assisted projects (containing a total of 3,398 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. Informational site visits are also conducted during the construction phase of projects that are nearing completion and initial rent-up. During informational site visits, the monitoring process is explained, and staff meets with sponsor/management staff to review the requirements of the HOME program and the regulatory agreement. 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. This year, information visits were conducted for seven projects prior to rent-up.

Sub-recipients and State recipients administer local programs that primarily assist owner occupied units, or provide assistance to home buyers. Some of these are in two- to four-unit buildings that also contain assisted rental units. During the reporting period, sub-recipients conducted on-site inspection visits at 58 projects, containing 95 rental units for the purpose of monitoring rental compliance (not including initial inspections of units at completion of construction). Of that total, all were found to meet Housing Quality Standards (either at the first inspection or on re-inspection after owners were given an opportunity to make repairs).

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 64 Affirmative Marketing Plans during the 2009 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.

7.2.6 2009 HOME Program Income

As of January 1, 2009, New York State and its HOME program recipients had a combined program income balance of $312,419. During the reporting period, an additional $1,363,108 was received, and $1,569,044 expended. As of December 31, 2009, the program income balance was $106,523. This information has been entered into HUD's Integrated Disbursement and Reporting System (IDIS). Recipients that have active HOME programs are allowed to retain program income that they receive but must use it before any regular HOME funds are drawn.

TABLE 63
2009 HOME PROGRAM
PROGRAM INCOME
[in Dollars]

SOURCE	BALANCE 1/1/2009	RECEIVED 1/1/2009 – 12/31/2009	EXPENDED 1/1/2009 – 12/31/2009	BALANCE 12/31/2009
STATE ACCOUNT	16,124	1,055,420	1,070,009	1,535
RECIPIENT ACCOUNT	296,295	307,688	499,035	104,948
STATE TOTAL	312,419	1,363,108	1,569,044	106,483

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.

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. Leveraging funds also increases recipient accomplishments. Recipients 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.

8.2 Leveraging of HOME Funds

8.2.1 2009 HOME Matching Funds

Match contributions reported in Table 64 are based on the federal fiscal year that began October 1, 2008 and ended September 30, 2009, 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. See also Appendix IV, which contains Form: HUD 40107-A "HOME Match Report."

TABLE 64
2009 HOME PROGRAM
MATCHING FUNDS
[in Dollars]

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8.2.2 2009 HOME Program Income

As of January 1, 2009, New York State and its HOME program recipients had a combined program income balance of $312,419. During the reporting period, an additional $1,363,108 was received and $1,569,044 expended. Recipients who have active HOME programs are allowed to retain program income that they receive but must use it before any regular HOME funds are drawn.

8.3 Leveraging of Funds for ESGP

The Emergency Shelter Grants Program requires a one hundred percent match by non-McKinney funds. Table 65 illustrates how this requirement was satisfied.

TABLE 65
2009 ESG PROGRAM
MATCHING FUNDS
[in Dollars]

PROJECT	OTHER FEDERAL	LOCAL GOVERNMENT	PRIVATE	TOTAL
American Red Cross of Tompkins County	0	96,637	0	96,637
Bowery Residents' Committee Inc.	0	193,310	0	193,310
CAPTAIN Youth and Family Services, Inc.	0	168,831	17,598	186,429
Catholic Charities of Diocese of Rochester dba Chemung/Schuyler		70,851	0	70,851
Chadwick Residence, Inc.	0	47,709	20,919	68,628
Domestic Violence and Rape Crisis Services of Saratoga County	0	7,000	5,112	12,112
East Harlem Neighborhood Based Alliance Corporation	0	0	157,778	157,778
Equinox, Inc.	0	92,890	10,601	103,491
ETC Housing Corporation	0	90,000	0	90,000
Henry Street Settlement	0	185,606	0	185,606
Interfaith Partnership for the Homeless, Inc.	0	156,566	67,000	223,566
Joseph's House & Shelter, Inc.	0	54,460	0	54,460
Nazareth Housing, Inc.	0	0	125,000	125,000
Palladia	0	110,000	0	110,000
Project Hospitality, Inc.	0	41,234	114,766	156,000
Providence House, Inc.	0	39,594	0	39,594
SAFE, Inc.	0	40,000	0	40,000
Salvation Army - Rochester	0	117,700	0	117,700
Schenectady Community Action Program, Inc.	0	60,000	50,000	110,000
Shelters of Saratoga, Inc.	0	75,725	15,000	90,725
St. Christopher's Inn, Inc.	0	0	150,000	150,000
St. Peter's Hospital Foundation	0	150,000	0	150,000
The Learning Web, Inc.	0	125,520	0	125,520
The Sharing Community, Inc.	0	150,000	0	150,000
Unity House of Troy, Inc.	0	35,655	20,633	56,288
Volunteers of America of WNY, Inc.	0	49,050	0	49,050
YWCA of Jamestown	0	6,265	31,835	38,100
YWCA of Niagara, Inc.		8,598		8,598
YWCA of Rochester and Monroe County	0	75,000	16,587	91,587
TOTALS	0	2,248,201	802,829	3,051,030

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, one important component of the 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 2009-10, $728.5 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 $100 million for the development of 1,167 units of housing for families and individuals living with HIV related illness and/or AIDS.

8.5 Other Leveraging

The Low-Income Housing Credit

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;
- will serve households that include persons with special needs, including the provision of supportive services; and
- 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 Citizen Comments

9.1 Public Notice

In accordance with the New York State Citizen Participation Plan, the 2009 Performance Report as Published for Public Comment was subject to a public comment period that ran from February 26, 2010 through March 12, 2010. A notice announcing the availability of the Report appeared in a variety of newspapers with statewide circulation. The Report was also on DHCR's web site at www.nysdhcr.gov.

9.2 Citizen Comments on the Draft 2009 CAPER

The State of New York received no comments regarding the 2009 Performance Report, as Published for Public Comment, during the comment period of February 26, 2010 through March 12, 2010.

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Appendix I

Citizen Participation Plan

and

Public Notice Documentation

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New York State

CITIZEN PARTICIPATION PLAN

For the development of the

Consolidated Plan

and the

Annual Action Plan

David A. Paterson, Governor

Brian Lawlor, Acting Commissioner
Division of Housing and Community Renewal and

To comment or request additional information, contact:

Office of Intergovernmental Affairs
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NEW YORK STATE
CITIZEN PARTICIPATION PLAN

In the development of its Consolidated Plan (ConPlan) and amendment(s) thereto, New York State follows its approved Citizen Participation Plan (CPP). New York State's CPP fulfills the general and specific requirements described in Section 91.115 of 24 CFR 91 of the federal rules and regulations for the Consolidated Submissions for Community Planning and Development Programs (the Rules), including citizen participation requirements for units of local government receiving Community Development Block Grants (CDBG), as described at 24 CFR 570.486.

New York's adopted CPP uses existing, on-going citizen participation organizations, and pursues new relationships and organizational structures among various agencies and interested citizens and groups, to implement a participation process that meets and exceeds the requirements of the federal regulations. The CPP has been and will continue to be amended as the State continues to gain access to technology that improves the avenues of participation.

This CPP reflects extensive public outreach opportunities, including those afforded by the Housing Trust Fund Corporation (HTFC) and numerous state, county, municipal, and private sector entities that are active or involved in the broad spectrum of housing and non-housing community revitalization activities in the State.

New York State receives advice and comments from its New York State Task Force on the National Affordable Housing Act (NAHA), Partnership Advisory Committee (PAC), regional planning associations, local governments, citizens, non-profit organizations, and other interested parties with insights into the housing and community development needs of New York State to maximize the benefits of collective problem-solving, to coordinate activities, and to increase commitment. Over time, the CPP has expanded NAHA Task Force and PAC membership to further encourage State agency participation and increase input from statewide/regional not-for-profits, local governments, regional planning associations and a variety of economic development and private business associations. Membership in the Task Force or the PAC may change without public notice or comment. Entities seeking membership should contact DHCR.

Applicability of the Citizen Participation Plan
New York's CPP provides citizens and units of general local government with the opportunity to comment on the Consolidated Plan and on substantial amendments. In compliance with Section 91.115 of the Rules, the CPP encourages the participation of low- and moderate-income persons, particularly those living in slum and blighted areas and in areas where CDBG funds are proposed to be used and by residents of predominantly low- and moderate-income neighborhoods, as defined by the State, as well as minority citizens, non-English speaking persons, and persons with disabilities. The State has made the CPP part of the Consolidated Plan with wide distribution in draft and final form.

Citizen Participation Outreach
In the development of its 2001- 2005 Consolidated Plan, New York State implemented an intense outreach program to encourage the participation of citizens, statewide and regional community revitalization organizations and State agencies. Implementation of this program ensures that New York State citizens have ample opportunity to participate in the consolidated planning process. New York State's comprehensive outreach process is a multifaceted program that encourages participation by low- and moderate-income persons, minorities, non-English speaking residents, and persons with disabilities.

The CPP process consists of several steps. To achieve broad participation focused on New York State's housing and rural and small cities' non-housing needs as they relate to people of low- and moderate-income, New York State receives guidance and input on the Consolidated Plan from the NAHA Task Force and the PAC, representing State agencies and statewide/regional organizations, respectively. In addition, the Division of Housing and Community Renewal (DHCR), the Office of Temporary and Disability Assistance (OTDA), and HTFC interact with local governments, community development interests, housing and service providers, and

economic development interests in many arenas beyond the development and implementation of the consolidated planning process. To the extent possible, these interests are included in the development and implementation process by being kept informed, invited to participate at public hearings, and asked to review the Consolidated Plan.

To further meet the local consultation requirements and receive important input on the State's non-housing needs, HTFC and DHCR schedule meetings with local government representatives of the State's non-entitlement communities and a broad range of economic development organizations, not-for-profits, industrial development agencies, local development corporations, and chambers of commerce. In addition, New York State community revitalization officials participate in appropriate conferences and meetings to encourage participation from low- and moderate-income persons from non-entitlement areas.

The Internet is used to disseminate information, making the consolidated planning process easily accessible to local governments, organizations, and residents. In addition, public notices are printed in newspapers with readership across the State (especially in rural areas and non-entitlement cities) including minority newspapers announcing the dates, times, and locations of public hearings. Notices are published in Spanish, as necessary and appropriate.

Finally, as required by 24 CFR 570.486, the CPP includes citizen participation requirements for local governments receiving CDBG funding that will ensure that citizens are provided with reasonable advance notice of, and opportunity to comment on, proposed CDBG applications to the State.

Consultation Process

The New York State Task Force on the National Affordable Housing Act is a committee of Commissioners and staff liaisons of various State agencies. Member agencies are listed in Addendum I.

The senior officials of these agencies provide crucial information concerning their agencies' responsibilities and activities in helping to develop all portions of the Consolidated Plan documents and Amendments, including the State's housing and non-housing community development needs. These State agencies are asked to encourage all of their clients, providers, and non-profit organizations to participate in the consolidated planning process. These agencies, through their extensive network of clients, are urged to seek direct input into the Consolidated Plan. Furthermore, the agencies are asked to disseminate the schedule of Consolidated Plan meetings and public hearing dates. Many of the populations served by these agencies are low- and moderate- income persons.

Input from the NAHA Task Force is provided through a series of meetings and written correspondence. Task Force members submit information to be included in the Consolidated Plan. Members' input is based on their vast amount of work with such groups as low- and moderate-income persons, persons with disabilities, persons with HIV/AIDS, and minority groups as well as industrial development, small business, and economic development interests that are essential to the economic vitality of the State.

The Task Force reviews the draft Consolidated Plan document for appropriate revisions. Once the draft is released for the thirty-day public comment period, the Task Force members are again asked to encourage persons and organizations they serve to comment on the Plan.

The PAC provides additional important input to the Consolidated Plan. The PAC consists primarily of representatives of statewide and regional organizations including not-for-profit, local government, and private business associations. The PAC also includes additional community revitalization representatives such as the New York State Economic Development Council and the New York State Urban Council, Inc., which together provide a comprehensive view of the State's community revitalization needs. The broad-based membership of each organization in the PAC represents a wide range of communities, including the homeless, minorities, low- and moderate-income persons, and persons with disabilities as well as those who provide employment, housing, and revitalization services to these communities. Member organizations are listed in Addendum II.

As in the case of the Task Force**,** the Partnership Advisory Committee is asked to review the draft Consolidated Plan document prior to the draft's thirty-day comment period. The committee members are asked to make the draft Plan available to their members and encourage participation by their members during the thirty-day public comment period.

Outreach Process

An important outreach tool that New York State officials use is the various conferences and meetings held by statewide housing and community revitalization groups. To the extent feasible, HTFC, OTDA, and DHCR representatives attend available conferences and meetings and distribute information with regard to the Consolidated Plan's development. In addition, HTFC and DHCR hold informational meetings with local government representatives and a broad spectrum of economic development organizations at the local and regional level to obtain input on New York State's rural areas and non-entitlement cities' non-housing needs. The schedule of public hearings is distributed at these meetings (in addition to publishing such schedule as described). Conference and meeting attendees are encouraged to participate in the public hearings.

Accessibility to information is an important component when encouraging citizen input into the consolidated planning process. Consequently, the State distributes information to an appropriately dispersed and readily accessible number of repositories, and makes the information available via the Internet at www.nysdhcr.gov. Types of information that are made available are: a) explanation of what a consolidated plan is and ways to provide input into the Consolidated Plan's development; b) copies of the Consolidated Plan draft; and, c) copies of the final Consolidated Plan.

In addition, DHCR maintains an electronic mailing list designed to provide regularly updated agency information such as event notifications, press releases, and progress and accomplishments of agency programs and initiatives. Interested parties who wish to be on the mailing list can access DHCR's web site at www.nysdhcr.gov and select "Join Our E-Mail List."

Notices are published announcing that New York State is holding public hearings soliciting residents' input on the housing and non-housing community development needs of the State. The notices are printed in newspapers with state-wide access including minority newspapers and also published in Spanish, where necessary and appropriate. The notice provides a toll-free telephone number as well as postal and e-mail addresses to which citizens can direct their comments.

To provide residents the opportunity to comment on community development and non-housing needs, and to encourage participation from low- and moderate-income persons living in the State's non-entitlement communities, and in fulfillment of the requirements of Rules Section 91.115 (b)(3) regarding public hearings, a minimum of three public hearings are held to solicit public input prior to the development of the Consolidated Plan and Annual Action Plans. These public hearings are held at different times of day to enhance opportunities for testimony. In addition, the published notices will also include an invitation to comment in writing directly to DHCR.

A 30-day public comment period is also held to provide an opportunity for the public to submit comments on the draft plan either electronically or in writing.

CDBG Consultations

As required by 24 CFR 570.486, the CPP also requires units of local governments receiving CDBG funding to provide for and encourage citizen participation. This requirement is intended to ensure that all citizens will be given reasonable and timely access to local meetings, information, and records relating to local governments' proposed and actual use of CDBG funds including: the amount of expected available CDBG funding for the current fiscal year (including grant and anticipated program income); listings of eligible activities and estimated funding to be used to meet the national objective of benefiting low- and moderate-income persons; and, descriptions of any activities likely to result in displacement, as well as proposed anti-displacement and relocation plans.

Units of local governments receiving CDBG funding must provide for a minimum of two public hearings per program year, each at a different stage of the program, for the purpose of obtaining citizens' views and responding to proposals and questions. Together the hearings must cover community development and housing needs, development of proposed activities, and a review of program performance.

The public hearings to cover community development and housing needs must be held before submission of an application to the State. There must be reasonable notice of the hearings and they must be held at times and locations convenient to potential or actual beneficiaries, with accommodations for people with disabilities. Public hearings shall be conducted in a manner to meet the needs of non-English speaking residents where a significant number of non-English residents can reasonably be expected to participate.

Availability of the Consolidated Plan

New York State prepares a draft Consolidated Plan including information regarding the amount of assistance the State expects to receive and the range of activities that may be undertaken including: the estimated amount that will benefit persons of low-and moderate-income, plans to minimize displacement of persons and to assist any persons displaced, a description of economic development assistance available, and the amount of targeted job creation and economic benefit for persons of low- and moderate-income.

To announce the availability of the draft Consolidated Plan, New York State uses a combination of newspaper notices, mass mailings to local governments, dissemination of information through the NAHA and PAC membership network and clients, and the Internet. At every opportunity possible, New York State officials attend various community development organization conferences and information workshops to help publicize the proposed Consolidated Plan. This helps ensure that citizens, public agencies, and other interested parties will have sufficient opportunity to review the draft Consolidated Plan.

The summary of the draft Consolidated Plan is published in newspapers with a notice announcing that copies of the entire draft plan will be available at libraries, government offices and public locations, and on the internet at www.nysdhcr.gov. In addition, copies of the draft plan can be requested by e-mail or by calling DHCR's toll-free number (1-866-ASK-DHCR).

Availability of the Final Consolidated Plan

The final Consolidated Plan and Consolidated Plan documents are available at libraries, county government offices, DHCR and other State Offices and on the Internet at www.nysdhcr.gov under "Publications" and "Key Documents". Copies of the final Consolidated Plan are available from DHCR in electronic format, upon toll-free telephone or written request. The Plan will also, upon request, be available in a form accessible to persons with disabilities. Any substantial amendments will also be made available.

Public Hearings

Rules Section 91.115 (b)(3) requires that the CPP must provide for at least one public hearing before the proposed Consolidated Plan is published for comment.

To provide residents the opportunity to comment on housing and non-housing community development needs, to encourage participation from low- and moderate-income persons living in the state's non-entitlement communities, and in fulfillment of the requirements of Rules Section 91.115 (b)(3) regarding public hearings, a minimum of three public hearings is held to solicit public input prior to the development of the Consolidated Plan and Annual Action Plans. The notice for public hearings is placed in newspapers with statewide circulation and on DHCR's web site. The notice appears at least 14 days before the hearings begin. In addition, the notice of the public hearings is distributed to the NAHA Task Force and the PAC. Members are asked to distribute the notice to their members and clients to encourage participation by low- and moderate-income people.

The Consolidated Plan is published during the required 30-day public comment period. Copies of the public comment period notice are sent to many organizations and local governments in the State. The toll-free number (1-866-ASK-DHCR) and e-mail address DHCRConPln@nysdhcr.gov are used to facilitate the general public's access to information about the public comment period.

As required by 24 CFR 570.486, the CPP includes citizen participation requirements for local governments receiving CDBG funding. Local governments shall hold a minimum of two public hearings, including one hearing prior to submission of CDBG applications to the State. A second hearing is required to advise citizens of funding proposal approvals and review program performance. Public hearings must have reasonable notice, held at times and locations convenient to actual and potential beneficiary populations, and accommodate handicapped and non-English speaking populations. In addition to public hearings, local governments must provide citizens with an opportunity to submit written comments, including the address, phone number, and times for submitting comments, and provide timely written responses, within 15 working days where practicable.

Comment Period

New York State meets the requirements of a public comment period, Section 91.115 (b)(4), by making the draft Consolidated Plan available for review and subject to a 30-day public comment period. Individuals or units of general local government can call 1-866-ASK-DHCR to request more information or a copy of the Plan. In addition, the draft Consolidated Plan is available via the Internet at www.nysdhcr.gov.

The State seeks to expand opportunities for interested parties to comment on the document by posting it on DHCR's web site. The document will contain internal links in specific parts of the document to enable persons to send e-mail comments. In addition, written comments can be submitted during the 30-day comment period to the Office of Intergovernmental Affairs, NYS DHCR, 38-40 State Street, Albany, New York 12207, or DHCRConPln@nysdhcr.gov.

In preparing the final Consolidated Plan, New York State fulfills the requirements of Section 91.115(b)(5) by creating a section of the Consolidated Plan which summarizes the comments of citizens and other interested parties. Also included in this section of the Plan is a summary of any comments not accepted and the reasons for not accepting them.

Amendments

New York State has established primary criteria for determining what changes in the State's planned or actual activities constitute a substantial amendment to the Consolidated Plan. The criteria are:

- a substantial change in the State's allocation priorities or a change in the method of distribution of funds;
- an activity, using funds from any program covered by the Consolidated Plan (including program income), not previously described in the Action Plan; or
- a substantial change in the purpose, scope, location, or beneficiaries of an activity.

New York State will provide reasonable notice of a proposed amendment to the Consolidated Plan. The opportunity to comment on proposed amendments will be provided prior to submission of any such amendment. A period of not less than 30 days will be provided to citizens and other interested parties to comment on the proposed substantial amendment before it is implemented. A toll-free number will be available to request copies of the amendment and, during the 30-day public comment period, interested parties can mail their written comments to the Office of Intergovernmental Affairs, NYS DHCR, 38-40 State Street, Albany, New York 12207, or send them to DHCRConPln@nysdhcr.gov.

The requirements of Section 91.115 (c)(3) will be fulfilled by creating a section of the final amendment to the Consolidated Plan which summarizes the comments on the substantial amendment and also includes a summary of any comments not accepted and the reason therefore.

Performance Reports

To meet the requirements of Section 91-115 (d)(1), New York State provides reasonable notice of and an opportunity to comment on Performance Reports. A period of not less than 15 days is provided to citizens and other interested parties to comment on the Performance Report before it is submitted to HUD. Notices are published in newspapers with statewide circulation informing the public of the report's availability. A toll-free

number (1-866-ASK-DHCR) is available for citizens to request copies of the reports and interested parties can mail their comments to NYS DHCR, 38-40 State Street, Albany, New York 12207, or send them to DHCRConPln@nysdhcr.gov.

The requirements of Section 91.115 (d)(2) are fulfilled by creating a section in the final Consolidated Plan which summarizes the comments on the Performance Report and also includes a summary of any comments not accepted and the reason therefore.

Citizen Complaints
All citizen complaints must be made in writing to NYS DHCR, 38-40 State Street, Albany, New York, 12207. When a citizen complaint is received with regard to the Consolidated Plan, amendments, or Performance Reports, the complaint will be dated and recorded. An acknowledgment of receipt of the complaint will be mailed to the complainant within 15 days. Subsequently, the complaint will then be referred to the most appropriate official for a written response within 45 days of receipt of the complaint.

Access to Records
The State's repository of annual Performance Reports is the most comprehensive collection of information and records relating to the New York State's Consolidated Plan and the State's use of assistance under the programs covered by the Plan during the preceding five years. A citizen may, upon request, receive a copy of this report. All records and reports will be maintained at the offices of the New York State Division of Housing and Community Renewal, 38-40 State Street, Albany, New York 12207 and are available upon written or telephone request. If a report is requested, the report will be provided within a reasonable time period. Upon request, the reports will be made available in a format accessible to persons with disabilities.

Citizen Participation Enhancement
The State of New York has made its CPP more expansive and more inclusive, making the Consolidated Planning Process and related materials more accessible to the general public. Those steps include increasing Partnership Advisory Committee (PAC) membership, describing the process by which organizations can apply for membership, and providing additional electronic avenues by which the public can comment on Consolidated Plan documents and the Consolidated Planning process. Further, DHCR will create a link in its web site to enable direct access to the CPP.

Addendum I

Member Agencies of the New York State Task Force on the National Affordable Housing Act*

1. Office for the Aging
2. Office of Alcoholism and Substance Abuse Services
3. Division of the Budget
4. Division of Criminal Justice Services
5. Developmental Disabilities Planning Council
6. Empire State Development Corporation
7. Department of Health
8. Housing Finance Agency
9. Housing Trust Fund Corporation
10. Division of Housing and Community Renewal
11. Division of Human Rights
12. AIDS Institute
13. Department of Labor
14. Office of Mental Health
15. Office of Mental Retardation and Developmental Disabilities
16. Division of Parole
17. Office of Community Renewal
18. Department of State
19. State of New York Mortgage Agency
20. Office of Temporary and Disability Assistance
21. Department of Transportation
22. Division of Veterans' Affairs
23. Washington Office of the Governor

*As of October, 2009

Addendum II

Member Organizations of the Partnership Advisory Committee*

1. Appalachian Regional Commission
2. Arch Diocese of New York
3. ARISE, Center for Independent Living
4. Association for Community Living
5. Association of Towns of the State of New York
6. Center for Disability Rights
7. Community Preservation Corporation
8. Community Service Society
9. Empire Justice Center
10. Enterprise Community Partners
11. Federation of Protestant Welfare Agencies
12. Greater Rochester Housing Partnership
13. Healthcare Association of New York State
14. Housing Partnership
15. Legal Services for New York City
16. Local Initiatives Support Corporation
17. Long Island Housing Partnership
18. Mental Health Association in New York State
19. National Alliance on Mental Illness
20. Neighborhood Housing Services of New York City
21. Neighborhood Preservation Coalition of New York State
22. NeighborWorks Alliance of New York State
23. New York Association of Homes and Services for the Aging
24. New York Bankers Association
25. NYS Association of Area Agencies on Aging
26. NYS Association of Counties
27. NYS Association Realtors
28. NYS Association of Regional Planning & Development Organizations
29. NYS Association of Renewal and Housing Officials
30. NYS Builders Association
31. NYS Conference of Mayors and Municipal Officials
32. NYS Economic Development Council
33. NYS Independent Living Council
34. NYS Rural Advocates
35. NYS Rural Housing Coalition
36. NYS Urban Council, Inc.
37. PathStone
38. Southern Tier East Regional Planning Board
39. UJA Federation of New York
40. Western New York Independent Living, Inc.

*as of October, 2009

New York State
Consolidated Annual Performance Report
Available for Public Comment

In accordance with the provisions of the National Affordable Housing Act, the State of New York is making a draft of its Consolidated Annual Performance Report (CAPER) for Program Year 2009 available for public comment. The CAPER analyzes New York State's progress in implementing its HUD-approved Annual Action Plan for 2009.

The public is invited to review the draft New York State CAPER and to offer comments on the document. The draft 2009 CAPER, as published for public comment, will be available during the public comment period on the New York State Division of Housing and Community Renewal (DHCR) website at www.nysdhcr.gov. In addition, copies can be requested by e-mail at DHCRConPln@nysdhcr.gov or by telephoning 1-866-ASK-DHCR (1-866-275-3427).

The public comment period will begin on Friday, February 26, 2010 and end on Friday, March 12, 2010. Written comments must be postmarked no later than March 12, 2010. E-mail comments must be sent by that date. Comments should be addressed to Brian McCarthy, NYS DHCR, Hampton Plaza, 38-40 State Street, Albany, NY 12207 or e-mailed to: DHCRConPln@nysdhcr.gov.

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Appendix II

NYS CDBG Program Performance and Evaluation Report

for

Program Year 2009

(Submitted to HUD under separate cover**)**

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Appendix III

2009 New York State Unified Funding Awards

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UNIFIED FUNDING 2009 CAPITAL PROGRAM AWARDS

SHARS ID	Awardee	County	LIHC	HTF	HOME	SLIHC	UI	RARP
20096013	Eastman Commons Community, Inc	MONROE	$1,290,000	$2,400,000			$100,000	
20096014	Dunn Development Corp.	BRONX	$1,430,000					
20096015	2081 Madison Avenue, L.P.	NEW YORK	$1,430,000					
20096017	TAP, Inc.	RENSSELAER		$1,709,098				
20096020	Ellenville II Senior Housing Limited Partnership	ULSTER	$644,743					
20096021	Pendell Commons Limited Partnership	DUTCHESS	$1,331,529	$1,950,000		$267,525		
20096022	Rockland Housing Action Coalition, Inc.	ROCKLAND	$1,430,000	$2,400,000				
20096023	Southern Hills Preservation Corp.	ONONDAGA	$1,179,560		$2,400,000			$200,000
20096028	Van Rensselaer Village Associates, L.P.	ALBANY	$1,315,852					
20096029	MJ Estates II, LLC	MONROE	$440,000					
20096030	Clifton Park Senior Housing, LLC	SARATOGA	$955,833					
20096033	Conifer Interlaken Senior Housing, LP	SENECA	$570,940					
20096036	UCP Housing Development Fund Corporation, Inc.	KINGS		$2,162,000				
20096040	Pomeroy School Apartments, LP	CORTLAND		$1,822,229				
20096042	Caroline Seniors, Inc.	TOMPKINS			$2,242,702			$200,000
20096043	Kemble Square, LLC	ONEIDA	$814,000					
20096045	Albany Housing Authority	ALBANY	$946,000		$2,400,000			
20096046	Livingston Arms, LLC	DUTCHESS	$365,701	$1,700,000				
20096048	Urban League of Rochester Economic Development Corp.	MONROE	$202,944	$2,000,000		$300,000		
20096051	Bruckner By The Bridge II, LLC	BRONX	$1,320,000					
20096052	El Camino Housing LLC	MONROE	$550,000					
20096053	HANAC, Inc.	QUEENS	$1,419,221					
20096054	Half Moon Terrace L.P.	COLUMBIA	$1,430,000					
20096055	Kirkwood II Housing Group, LP	BROOME	$536,990	$2,400,000				
20096070	Housing Action Council, Inc.	WESTCHESTER	$1,427,857	$1,985,000				
20096071	East Burnside Associates LLC	BRONX	$1,704,000			$750,000		
20096072	Community Action Organization of Erie County, Inc.	ERIE	$1,320,000	$2,400,000			$100,000	
20096075	Concern For Independent Living, Inc.	KINGS	$1,572,994					
20096077	Rural Housing Opportunities Corporation	ORLEANS			$1,224,040			$200,000
20096078	Near Westside Houses Phase II, L.P.	ONONDAGA	$550,000					
20096081	Titus Investors LLC	WESTCHESTER	$899,676	$1,850,000				
20096087	Bethel Manor, LLC	NEW YORK	$929,374					
20096089	Delta Development of Western New York, Inc.	ERIE	$673,503	$2,138,219			$100,000	
20096096	New Destiny Housing Corporation	BRONX	$902,000	$2,400,000				
20096098	Ridgewood Bushwick Senior Citizens Council, Inc.	KINGS	$1,408,000	$2,400,000		$740,000		
20096099	Milton Harvest LLC	ULSTER	$654,351	$2,400,000		$87,119		
20096101	McGraw Housing Company, Inc	TOMPKINS		$2,400,000				
20096103	Ashburton Avenue I, LP	WESTCHESTER	$1,078,000					
20096119	Dewitt Supportive Housing, L.P.	KINGS	$715,428					
20096122	East Harlem MEC Parcel C L.P.	NEW YORK	$1,078,000					
		TOTALS:	**$34,516,496**	**$36,516,546**	**$8,266,742**	**$2,144,644**	**$300,000**	**$600,000**

Produced By: DHCR - MSR Unit - March 17, 2010

2009 HOME Awards by County

SHARS ID	APPLICANT	COUNTY	AWARD
20093007	Keuka Housing Council, Inc.	Ontario,Yates	$300,000
20093008	Center City Neighborhood Development Corporation	NIAGARA	$200,000
20093009	City of Gloversville	FULTON	$340,000
20093020	Otsego Rural Housing Assistance, Inc.	OTSEGO	$400,000
20093037	Opportunities For Chenango, Inc.	CHENANGO	$400,000
20093081	Wyoming County Community Action, Inc.	WYOMING	$200,000
20093082	City of Rensselaer	RENSSELAER	$300,000
20093091	Village of Gouverneur	ST LAWRENCE	$400,000
20093120	Schoharie County Rural Preservation Corp.	SCHOHARIE	$300,000
20093124	Village of Owego	TIOGA	$400,000
20093149	Hunter Foundation	GREENE	$300,000
20093152	City of Lockport	NIAGARA	$375,000
20093153	Keuka Housing Council, Inc.	YATES	$168,665
20093156	First Ward Action Council, Inc.	BROOME	$500,000
20093157	City of Glens Falls	WARREN	$275,000
20093162	Stoneleigh Housing, Inc.	MADISON	$300,000
20093165	Village of Greenwich	WASHINGTON	$400,000
20093167	Village of Schuylerville	SARATOGA	$400,000
20093169	City of Cortland	CORTLAND	$400,000
20093171	Village of Massena	ST LAWRENCE	$397,000
20093173	Delaware Opportunities Inc.	DELAWARE	$300,000
20093174	Seneca Housing, Inc.	SENECA	$324,000
20093175	Village of Munnsville	MADISON	$410,000
20093178	Village of Ballston Spa	SARATOGA	$300,000
20093180	Village of Hudson Falls	WASHINGTON	$300,000
20093181	Village of Ilion	HERKIMER	$300,000
20093185	Village of St Johnsville	MONTGOMERY	$419,580
20093188	Neighbors of Watertown, Inc.	JEFFERSON	$300,000
20093191	Bishop Sheen Ecumenical Housing Foundation, Inc.	STEUBEN	$300,000
20093193	Bishop Sheen Ecumenical Housing Foundation, Inc.	WAYNE	$300,000
20093194	Bishop Sheen Ecumenical Housing Foundation, Inc.	MONROE	$200,000
20093197	Bishop Sheen Ecumenical Housing Foundation, Inc.	ONTARIO	$300,000
20093198	City of Plattsburgh Community Development Office	CLINTON	$500,000
20093199	Bishop Sheen Ecumenical Housing Foundation, Inc.	TOMPKINS	$400,000
20093208	Andover Historic Preservation Corp.	Allegany, Steuben	$400,000
20093210	County of Hamilton	HAMILTON	$280,000
20093213	Homefront, Inc.	ERIE	$200,000
20093214	Albany County Rural Housing Alliance, Inc.	ALBANY	$390,000
20093216	County of Sullivan	SULLIVAN	$400,000
20093217	Town of Glenville	SCHENECTADY	$300,000
20093220	Rivercrest Development Corporation	MONTGOMERY	$375,000
20093223	Rebuild Mohawk Valley, Inc.	ONEIDA	$378,000
20093225	Catskill Mountain Housing Development Corp. Inc.	GREENE	$300,000
20093226	Village of Dolgeville	HERKIMER	$400,000
20093227	NEHDA, Inc.	ONONDAGA	$200,000
20093228	HRH Homeownership Housing Development Fund Company, Inc.	DUTCHESS	$500,000
20093229	Cattaraugus Community Action, Inc.	CATTARAUGUS	$500,000
20093236	Village of Malone	FRANKLIN	$400,000
20093237	Community Housing Innovations, Inc.	Nassau, Suffolk	$500,000
20093241	Community Partnership Development Corporation	KINGS	$600,000
20093242	Community Partnership Development Corporation	QUEENS	$600,000
20093243	Community Partnership Development Corporation	BRONX	$600,000
20093244	Community Action in Self-Help, Inc.	Ontario, Wayne	$300,000
20093250	Cuba Community Development Corporation	ALLEGANY	$500,000
20093252	Heart of the City Neighborhoods, Inc.	ERIE	$190,000
20093255	Rural Housing Opportunities Corporation	GENESEE	$400,000
20093258	Rural Housing Opportunities Corporation	ONTARIO	$400,000
20093260	South End Improvement Corp.	ALBANY	$336,000
20093262	Housing Action Council, Inc.	WESTCHESTER	$270,000

20093267	NHS of Jamaica, Inc.	QUEENS	$600,000
20093268	Genesee Valley Rural Preservation Council, Inc.	GENESEE	$500,000
20093271	Genesee Valley Rural Preservation Council, Inc.	LIVINGSTON	$500,000
20093277	Onondaga County Housing Development Fund Company	ONONDAGA	$300,000
20093278	City of Oswego	OSWEGO	$400,000
20093282	NeighborWorks Home Resources	CATTARAUGUS	$300,000
20093283	Community Development Corporation of Long Island, Inc.	SUFFOLK	$500,000
20093284	Community Progress Inc.	CHEMUNG	$270,000
20093290	Covenant Housing Corp. of Central New York	ONONDAGA	$500,000
20086087	Housing Opportunities Made Equal, Inc.	Erie	$758,679
20086093	Heart of the City Neighborhoods, Inc.	Erie	$1,493,900
20096042	Better Housing for Tompkins County, Inc.	TOMPKINS	$2,242,702
20086009	Finger Lakes Community Development Corp	Ontario	$1,149,583
20070068	Kaaterskill Commons, Inc.	GREENE	$1,291,330
20096023	Southern Hills Preservation Corporation	ONONDAGA	$2,400,000
20096045	Albany Housing Authority	ALBANY	$2,400,000
20096077	Rural Housing Opportunities Corporation	Orleans	$1,224,040
20090516	Hudson River Housing, Inc.	DUTCHESS	$82,388
20086107	Home Leasing, LLC	ERIE	$2,963,742
		TOTAL	**$41,004,609**

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Appendix IV

Form: HUD 40107-A
HOME Match Report

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HOME Match Report

U.S. Department of Housing and Urban Development
Office of Community Planning and Development

OMB Approval No. 2506-0171
(exp. 8/31/2009)

Match Contributions for **Federal Fiscal Year (yyyy)** 2009

Part I Participant Identification

1. Participant No. (assigned by HUD): M-05-SG-360100
2. Name of the Participating Jurisdiction: State of New York
3. Name of Contact (person completing this report): Margaret A. Aldrich
4. Contact's Phone Number (include area code): 518-473-6843
5. Street Address of the Participating Jurisdiction: 38-40 State Street - 4th Floor South
6. City: Albany
7. State: New York
8. Zip Code: 12207

Part II Fiscal Year Summary

1. Excess match from prior Federal fiscal year	$ 54,162,542	
2. Match contributed during current Federal fiscal year (see Part III.9.)	$ 11,164,039	
3. Total match available for current Federal fiscal year (line 1 + line 2)		$ 65,326,581
4. Match liability for current Federal fiscal year		$ 4,721,220
5. Excess match carried over to next Federal fiscal year (line 3 minus line 4)		$ 60,605,361

Part III Match Contribution for the Federal Fiscal Year

1. Project No. or Other ID	2. Date of Contribution (mm/dd/yyyy)	3. Cash (non-Federal sources)	4. Foregone Taxes, Fees, Charges	5. Appraised Land / Real Property	6. Required Infrastructure	7. Site Preparation, Construction Materials, Donated labor	8. Bond Financing	9. Total Match
20050296	10/01/2008	$1,800,000						$1,800,000
20030445	12/29/2008	$471,750						$471,750
20060066	02/18/2009	$1,385,000						$1,385,000
20040563	03/17/2009	$1,125,000						$1,125,000
20040448	03/27/2009	$1,940,000						$1,940,000
20050326	04/13/2009	$959,871						$959,871
20060101	04/15/2009	$1,382,418						$1,382,418
20050328	08/26/2009	$2,100,000						$2,100,000

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New York State
Division of Housing and Community Renewal

38-40 State Street
Albany, NY 12207

1-866-275-3427

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