

1. Executive Summary and Introduction

This Consolidated Annual Performance and Evaluation Report (CAPER) summarizes activities undertaken by New York State agencies during Program Year 2015 (1/1/15 – 12/31/15) in the administration of the following four programs:

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

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

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

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

1.1 New York State's Overall Goals

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

- Affordable Housing - Create decent housing for low- and moderate-income New Yorkers.
- Homelessness and Other Special Needs - Address the shelter, housing, and service needs of the homeless, those threatened with homelessness, and others with special needs.
- Community Development - Create suitable living environments and economic opportunities for low- and moderate-income New Yorkers.

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1.2 Measuring and Reporting Performance

1.2.1 The HUD Performance Measurement System

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

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

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

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

1.2.2 New York State’s Objectives, Outcomes and Activities

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

**TABLE 2
HUD MATRIX OF
OBJECTIVES, OUTCOMES AND ACTIVITIES**

OBJECTIVE	OUTCOME	CODE	ACTIVITY
Decent Housing	Availability	DH-1	Owner-occupied Rehabilitation (HOME) Homeless Prevention (ESGP) Rapid Re-housing (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	Street Outreach (ESGP) Shelters (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

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

- decent housing;
- a suitable living environment; and
- economic opportunity.

In its five-year Consolidated Plan for 2011 through 2015, New York State specified objectives and outcomes it would seek to reach in furtherance of these goals. With respect to the goal of creating and preserving decent housing, it is estimated in the five-year Consolidated Plan that NYS CDBG funds would be used to improve the availability of affordable housing by rehabilitating approximately 3,500 units. At the same time, HOME funds would make decent housing more available by funding the rehabilitation of 3,450 owner-occupied units. During the fifth year of the planning period, NYS CDBG funds have been used to rehabilitate 485 affordable housing units for a fifth year total of 3,681 rehabilitated and HOME funds have been used to rehabilitate 397 units of owner-occupied affordable housing. It was also estimated over the five-year planning period that the NYS CDBG program would provide homeownership assistance to approximately 575 households and the HOME program would fund a variety of activities that would make decent housing more affordable for approximately 8,445 households. The NYS CDBG program has made decent housing more affordable by providing homeownership assistance to 99 households in 2015 for a five year total of 570. The HOME program has made decent housing more affordable for 267 households in 2015 by funding homebuyer assistance, housing construction, housing rehabilitation, rental assistance and multi-family rental programs. In 2015, the ESG/STEHP program provided assistance which made decent housing more available through rapid re-housing and homelessness prevention for 30,686 individuals and HOPWA-funded assistance made decent housing more affordable for 396 households.

With respect to the goal of creating suitable living environments, in 2015, ESGP/STEHP funds increased the availability of suitable living environments for 1,534 individuals through Street Outreach and 12,409 individuals through Shelter and an additional 576 individuals were served with HOPWA-funded assistance. In addition, it was estimated that the NYS CDBG program would fund 125 public facilities and infrastructure projects. During the fifth year of the planning period, NYS CDBG funds have funded 54 public facilities and infrastructure projects in which 50,000 individuals are projected to benefit from NYS CDBG-funded infrastructure and public facility projects for a five year total of 173 projects with 302,084 benefiting and 576 individuals assisted with HOPWA-funded services.

Finally, with regard to the goal of creating economic opportunities, the State's five-year Consolidated Plan estimated that NYS CDBG-funded economic development activities would create or retain approximately 5,000 jobs. During the fifth year planning period, NYS CDBG-funded economic development activities have resulted in the creation or retention of 1,367 full-time jobs and 86 part-time jobs, for a five-year total of 4,620 full-time and 517 part-time jobs. In addition, 26 training opportunities were created in the fifth year.

2.2 Progress toward the One-Year Goals

In this section, New York State summarizes, for CDBG, HOME, ESGP and HOPWA, its 2015 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 2015:

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**TABLE 3
PROGRAM YEAR 2015
FUNDS COMMITTED AND EXPENDED
BY PROGRAM, OBJECTIVE/OUTCOME CODE AND ACTIVITY**

PROGRAM	CODE	ACTIVITY	RESOURCES [in Dollars]	
			COMMITTED	EXPENDED
CDBG	DH-1	Housing Rehabilitation	\$8,976,612	\$12,204,821
	DH-2	Purchase Assistance	\$2,089,000	\$177,156
	EO-1	Job Creation/Retention Assistance	\$5,617,000	\$6,109,944
	EO-2	Business Assistance	\$0	\$510,876
	SL-2	Infrastructure Improvements	\$2,4467,094	\$6,628,767
	SL-3	Public Facility Improvements	\$1,065,692	\$1,401,786
	N/A	Community Planning	\$439,000	\$124,674
	N/A	General Program Administration*/TA	\$1,287,910	\$1,171,293
	N/A	State Administration	\$1,462,499	\$418,658
HOME	DH-1	Owner-occupied Rehabilitation	\$10,551,231	\$8,706,201
	DH-2	Home Ownership Assistance Tenant-based Rental Assistance Rental Rehabilitation/New Construction	\$6,880,000	\$12,527,373
ESGP/STEHP	DH-1	Homeless Prevention	\$8,415,420	\$6,603,882
	DH-1	Rapid Re-housing	\$3,287,186	\$1,678,302
	SL-1	Street Outreach Shelters	\$4,109,252	\$3,616,352
HOPWA	DH-2	Tenant-based Rental Assistance Congregate Housing Short Term Rental Assistance Permanent Housing Placement	\$2,004,659	\$1,209,867
	SL-1	Supportive Services	\$282,045	\$159,402

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

Table 3 reports resources committed and expended during the Program Year 1/1/15 – 12/31/15, 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 2015 expenditures do not correspond to PY 2015 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 2015, the number of low- and moderate-income households and persons assisted through the four programs of CDBG, HOME, ESGP and HOPWA appear in the program-specific sections that follow.

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**TABLE 4
PROGRESS TOWARD ONE-YEAR GOALS
ESTIMATED AND ACTUAL ACCOMPLISHMENTS IN 2015
BY PROGRAM, OBJECTIVE/OUTCOME CODE AND ACTIVITY**

PROGRAM	OBJECTIVE- OUTCOME CODES	ACTIVITIES	2015 ACCOMPLISHMENTS	
			Estimated	Actual
CDBG	DH-1	Housing Units Rehabilitated	628	485
	DH-2	Households Receiving Home Ownership Assistance	121	99
	EO-1	Permanent Jobs Created or Retained	800	1,367
	EO-2	Businesses Assisted	30	44
	SL-2 SL-3	Persons Benefiting from Infrastructure Improvements Persons Benefiting from Public Facility Improvements	110	26
HOME	DH-1	Owner-occupied Housing Units Rehabilitated	469	397
	DH-2	Households Receiving Home Ownership Assistance Households Assisted with Tenant-based Rental Subsidies Existing Rental Housing Units Rehabilitated New Housing Units Constructed	224	267
ESGP/ STEHP	DH-1	Individuals Assisted to Prevent Homelessness	36,233	27,341
	DH-1*	Individuals Assisted with Rapid Re-housing		3,345
	SL-1*	Individuals Assisted by Street Outreach	13,637	1,534
	SL-1*	Individuals Assisted by Shelters		12,409
HOPWA	DH-2	Households Assisted with Tenant-based Rental Subsidies Households Assisted with Congregate Housing Households Assisted with Short-term Rental Subsidies	400	396
	SL-1	Individuals Assisted with Supportive Services	650	576

**Some Rapid Re-housing persons were also served in Street Outreach/Shelter 6Operations.*

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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 2015:

TABLE 5
2015 CDBG, HOME, ESG AND HOPWA PROGRAMS
FORMULA FUNDS AWARDED
SUMMARY OF GEOGRAPHIC DISTRIBUTION
[In Dollars]

COUNTY	CDBG	HOME	ESG/STEP	HOPWA	TOTAL
ALBANY*	600,000	1,360,000	1,149,273	244,798	3,354,071
ALLEGANY	1,800,000	400,000	0	0	2,200,000
BRONX	0	0	1,716,632	0	1716632
BROOME	726,484	250,000	197,369	174,073	1,347,926
CATTARAUGUS	600,000	400,000	309,825	0	1,309,825
CAYUGA	400,000	400,000	73,275	0	873,275
CHAUTAUQUA	918,500	0	343,324	73,450	1,335,274
CHEMUNG	0	400,000	309,397	0	709,397
CHENANGO	0	400,000	0	0	400,000
CLINTON	649,000	200,000	129,826	0	978,826
COLUMBIA	0	0	0	0	0
CORTLAND	700,000	304,000	0	0	1,004,000
DELAWARE	1,300,000	0	150,322	0	1,450,322
DUTCHESS	0	0	309,825	0	309,825
ERIE*	0	715,000	395,999	114,127	1,225,126
ESSEX	1,600,000	400,000	0	0	2,000,000
FRANKLIN	200,000	908,700	0	0	1,108,700
FULTON	600,000	400,000	0	0	1,000,000
GENESEE	797,500	400,000	0	0	1,197,500
GREENE	400,000	400,000	64,295	0	864,295
HAMILTON	305,012	0	0	0	305,012
HERKIMER	505,000	401,225	0	0	906,225
JEFFERSON	850,000	400,000	309,825	0	1,559,825

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COUNTY	CDBG	HOME	ESG/STEHP	HOPWA	TOTAL
KINGS	0	800,000	2,046,537	0	2846537
LEWIS	1,151,326	0	52,397	0	1,203,723
LIVINGSTON	1,000,000	0	59,375	0	1,059,375
MADISON	50,000	400,000	309,750	0	759,750
MONROE*	0	838,800	556,599	108,750	1,504,149
MONTGOMERY	1,300,000	0	0	0	1,300,000
NASSAU	0	0	193,934	0	193,934
NEW YORK	0	0	2,006,808	0	2,006,808
NIAGARA	800,000	0	41,250	0	841,250
ONEIDA	500,000	171,000	0	0	671,000
ONONDAGA	0	950,000	257,190	826,287	2,033,477
ONTARIO	800,000	0	0	0	800,000
ORANGE	400,000	380,000	141,900	0	921,900
ORLEANS	950,000	0	0	0	950,000
OSWEGO	647,500	333,500	309,825	0	1,290,825
OTSEGO	1,280,000	0	292,793	0	1,572,793
PUTNAM	0	0	303,845	0	303,845
QUEENS	0	1,100,000	293,289	0	1,393,289
RENSSELAER	1,122,000	400,000	591,408	0	2,113,408
RICHMOND	0	630,000	0	0	630,000
ROCKLAND	0	0	0	0	0
SARATOGA	600,000	1,000,003	361,744	0	1,961,747
SCHENECTADY	0	0	460,501	0	460501
SCHOHARIE	1,400,000	0	0	0	1,400,000
SCHUYLER	600,000	0	0	0	600,000
SENECA	400,000	0	0	0	400,000
ST. LAWRENCE	2,357,500	0	281,250	0	2,638,750
STEUBEN	1,730,000	400,000	171,673	0	2,301,673

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COUNTY	CDBG	HOME	ESG/STEHP	HOPWA	TOTAL
SUFFOLK	0	200,000	135,158	0	335,158
SULLIVAN	1,799,554	0	0	421,237	2,220,791
TIOGA	0	0	0	0	0
TOMPKINS	1,163,179	0	263,461	0	1,426,640
ULSTER	2,964,150	400,000	0	409,039	3,773,189
WARREN	0	389,000	0	0	389,000
WASHINGTON	2,737,000	700,003	0	0	3,437,003
WAYNE	596,000	0	0	0	596,000
WESTCHESTER**	4,374,103	0	619,386 465,769***	0	5,459,258
WYOMING	800,000	0	0	0	800,000
YATES	919,600	200,000	136,829	0	1,256,429
NEW YORK STATE	0	0	0	0	0
Multi-County	0	0	0	0	0
TOTAL	45,393,408	17,431,231	15,811,858	2,371,761	81,008,258

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

** Agencies in Sullivan also serve people in Putnam and Dutchess.

*** 2012 HUD ESG funds were reallocated to NYS to disperse to Westchester not-for-profits.

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2.2.4 Assistance to Minorities

The following four tables summarize NYS CDBG, HOME, ESGP and HOPWA assistance provided in 2015 to households and individuals by the race and ethnicity of those assisted.

TABLE 6
2015 NYS CDBG PROGRAM
RACE/ETHNICITY OF THOSE ASSISTED
TOTALS FOR ALL OBJECTIVES/OUTCOMES

RACE	HOUSEHOLDS		PERSONS	
	TOTAL	HISPANIC	TOTAL	HISPANIC
WHITE	22,035	1,437	58,518	3,753
ASIAN	239	61	786	35
ASIAN AND WHITE	31	1	124	2
BLACK/AFRICAN AMERICAN	608	65	1,904	181
BLACK/AFRICAN AMERICAN AND WHITE	118	0	470	28
AMERICAN INDIAN/ALASKAN NATIVE	63	11	178	20
AMERICAN INDIAN/ALASKAN NATIVE/WHITE	48	0	83	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	15	0	10	13
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	3	0	25	2
OTHER MULTI-RACIAL*	804	175	1,889	636
TOTAL	23,964	1,750	63,987	4,670

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
2015 HOME PROGRAM
RACE/ETHNICITY OF HOUSEHOLDS ASSISTED
TOTALS FOR ALL OBJECTIVES/OUTCOMES

RACE	TOTAL	HISPANIC
WHITE	588	28
ASIAN	5	1
BLACK/AFRICAN AMERICAN	51	2
BLACK/AFRICAN AMERICAN AND WHITE	2	1
AMERICAN INDIAN/ALASKAN NATIVE	1	1
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	0	0
OTHER MULTI-RACIAL	17	13
Native Hawaiian/Other Pacific Islander	0	0
TOTAL	664	46

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TABLE 8
2015 ESG/STEHP PROGRAM
RACE/ETHNICITY OF INDIVIDUALS SERVED
TOTALS FOR ALL OBJECTIVES/OUTCOMES

RACE	TOTAL	HISPANIC
WHITE	17606	7214
BLACK/AFRICAN AMERICAN	16994	2731
ASIAN	270	17
AMERICAN INDIAN/ALASKAN NATIVE	257	28
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	469	331
AMERICAN INDIAN/ALASKAN NATIVE AND WHITE	90	18
ASIAN AND WHITE	66	53
BLACK/AFRICAN AMERICAN AND WHITE	514	113
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/ AFRICAN AMERICAN	35	6
OTHER MULTI-RACIAL	778	413
MISSING INFORMATION	6703	6049
TOTAL	43782	16973

TABLE 9
2015 HOPWA PROGRAM
RACE/ETHNICITY OF INDIVIDUALS SERVED
TOTALS FOR ALL OBJECTIVES/OUTCOMES

RACE	TOTAL	HISPANIC
WHITE	292	47
BLACK/AFRICAN AMERICAN	226	6
ASIAN	0	0
AMERICAN INDIAN/ALASKAN NATIVE	1	0
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	0	0
AMERICAN INDIAN/ALASKAN NATIVE AND WHITE	0	0
ASIAN AND WHITE	0	0
BLACK/AFRICAN AMERICAN AND WHITE	20	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	0	0
OTHER MULTI-RACIAL	37	5
TOTAL	576	58

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 Housing Trust Fund Corporation (HTFC). Eligible applicants are cities, towns and villages under 50,000 in population, and counties under 200,000 in population, excluding: metropolitan cities, urban counties, units of government which are participating in urban counties or metropolitan cities even if only part of the participating unit of government is located in the urban county or metropolitan city, and Indian tribes eligible for assistance under Section 106 of the HUD Act.

2.3.1 Availability of NYS CDBG Funds in Program Year 2015

Program Year 2015 marks the sixteenth full year of New York State's administration of the NYS CDBG program. For Program Year 2015, **\$45,416,634** was allocated to the State for the NYS CDBG program, less prior set-aside obligations for Section 108 loans/grants of \$454,166 leaving **\$44,962,468** of PY 2015 funds for housing, public infrastructure and facilities and economic development programs as well as state administration. In addition to the **\$44,962,468** available from the 2015 HUD allocation, an additional **\$15,833,318** was available from prior year funds. These funds include unobligated, deobligated, and returned funds from Program Years 2000 through 2015 funding. There were 107 grants in the Housing, Public Infrastructure, Public Facilities and Economic Development categories during the 2015 Program Year. The total amount of funds awarded in Program Year 2015 is \$45,393,408, excluding state administration, Technical Assistance and Section 108 loan repayments.

2.3.2 Distribution of NYS CDBG Funds in Program Year 2015

Program Year 2015 marks the sixteenth annual round of the NYS CDBG competitive awards for Housing, Public Infrastructure and Public Facilities grants and the fifteenth year in which some Economic Development awards were made on an open round application cycle. Beginning in PY 2011, a portion of the CDBG Economic Development funds were allocated to Governor Cuomo's Consolidated Funding Application (CFA) Initiative. The competitive CFA provides for a single point of application for a variety of grant programs offered through various State agencies with funds provided through State or Federal resources. In PY 2012, the CFA was expanded to include the categories of public infrastructure and facilities. In PY 2015, 74 economic development, public infrastructure and public facilities and community planning awards totaling \$28,791,101 were made through the CFA. This report reflects achievements of NYS CDBG recipients awarded between 2005 and 2015 with accomplishments of the NYS CDBG program recipients as of December 31, 2015 including, the housing units rehabilitated, households provided with home ownership opportunities, persons benefiting from completed public infrastructure and facilities projects, businesses assisted, and jobs created and retained for low- and moderate-income persons. The Method of Distribution adopted for Program Year 2015 was based on input from public hearings held in conjunction with the development of the State's Consolidated Plan and Action Plan, local government consultations, input from conference calls and informal communications with recipients, potential applicants, and various community development professionals around the State.

2.3.2.1 2015 Distribution of NYS CDBG Funds by Function and Activity

In 2015, HTFC expended **\$418,658** from its administrative allocation from Program Year 2015. At the end of PY 2015, New York State has **\$1,043,841** 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 fifteen years the program has been administered by New York State.

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TABLE 10
NYS CDBG PROGRAM
ADMINISTRATION FUNDING
 [In Dollars]

PROGRAM YEAR	CDBG ALLOCATION ADMINISTRATION FUNDING	CDBG ADMINISTRATION FUNDS DRAWN DOWN	AVAILABLE BALANCE OF CDBG ADMINISTRATION FUNDS
2000	1,017,980	1,017,980	0
2001	1,247,060	1,247,060	0
2002	1,131,340	1,131,340	0
2003	1,146,600	1,146,600	0
2004	1,145,807	724,667	0
2005	1,088,472	683,808	0
2006	970,394	970,394	0
2007	976,075	976,075	0
2008	949,427	949,427	0
2009	967,540	967,540	0
2010	1,051,411	1,051,411	0
2011	980,648	980,648	0
2012	1,279,265	912,843	0
2013	1,368,995	1,363,248	0
2014	1,355,975	1,355,975	0
2015	1,462,499	1,261,666	200,833
TOTAL	18,139,488	16,740,682	200,833

In the New York State Program Year 2015 Annual Action Plan, the State anticipated the following allocation of program resources (Table 11):

TABLE 11
2015 NYS CDBG PROGRAM
ALLOCATION OF FUNDS BY CATEGORY

CATEGORY	PERCENT
COMMUNITY DEVELOPMENT (HOUSING/PI/PF)	50%
ECONOMIC DEVELOPMENT	44%
IMMINENT THREAT	2%
ADMINISTRATION/TECHNICAL ASSISTANCE	2%
TECHNICAL ASSISTANCE	1%
COMMUNITY PLANNING	1%
ALL RESOURCES	100%

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Based on the needs identified over the course of the Program Year 2015, the State allocated its 2015 resources as outlined below in Table 12:

**TABLE 12
2015 NYS CDBG PROGRAM
GRANT REQUESTS AND AWARDS**

CATEGORY	REQUESTS		AWARDS	
	AMOUNT [in Dollars]	NUMBER OF GRANTS	AMOUNT [in Dollars]	NUMBER OF AWARDS
TOTAL HOUSING	22,713,396	52	13,035,307	27
Housing Rehabilitation	19,015,657	42	10,569,007	22
Home Ownership	3,697,739	10	2,466,300	5
TOTAL PUBLIC INFRASTRUCTURE & FACILITIES	38,572,136	91	26,152,101	54
Water	11,907,049	23	7,790,659	13
Sewer	15,907,609	29	12,690,708	22
Community Facilities/Other	10,757,478	39	5,670,734	19
ECONOMIC DEVELOPMENT (CFA/CRF/ Microenterprise-Small Business)	3,200,000	16	2,200,000	11
ECONOMIC DEVELOPMENT – Open Round	4,237,000	7	3,567,000	6
COMMUNITY PLANNING	1,496,412	34	439,000	9
GRAND TOTAL	70,218,944	200	45,393,408	107

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 2015, 52 applicants requested funds for the housing category and proposed activities that include housing rehabilitation, homeownership, and private water/wastewater assistance including replacement of wells and septic systems. This includes applications received through the competitive housing round which were due to OCR on September 25, 2015. OCR awarded 27 projects totaling \$13,035,307.

Predominant in the Public Infrastructure and Facilities category are activities to supply safe drinking water and to collect and treat wastewater. Of the 54 public infrastructure and facilities grants awarded in 2015, 25 were for public water and sewer activities totaling \$20,481,367. In addition to public infrastructure projects, HTFC also awarded 19 grants totaling \$5,670,734 for the construction of facilities in underserved areas that will provide a range of public services that are funded by other public and private funding sources.

Economic development funds were awarded to projects involving activities that support the expansion of existing industries and businesses with the primary intent of supporting job creation/retention for low- and moderate-income persons. Economic development funds are used to assist traditional economic development projects and small businesses (businesses with 25 or fewer employees) and microenterprise assistance (businesses with 5 or fewer employees). Funds were awarded to small business owners to assist in the expansion of job opportunities for low- and moderate-income persons. Many of New York State's eligible jurisdictions are located in rural areas characterized by dependence on a single primary employer. In order to maintain and enhance job security for the adult population as well as to ensure that local youth will have access to new jobs that promote long-term careers, an essential role of the NYS CDBG program is to support a range of job training, infrastructure creation, financing, industrial modernization, and business development activities. Finally, through the State's Imminent Threat funding category, New York continued to provide housing, public facilities and economic development assistance to communities hard hit by Hurricane Irene and Tropical Storm Lee in 2011.

During Program Year 2015, 17 awards totaling \$5,767,000 were made for economic development activities. Of the 17, one (1) was a small business assistance project.

Table 13 shows a breakdown of activities funded by grant awards made in PY 2015.

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TABLE 13
2015 NYS CDBG PROGRAM
AWARDS BY ACTIVITY
 [In Dollars]

ACTIVITY TYPE	TOTAL FUNDING	NUMBER OF ACTIVITIES
HOUSING	13,079,307	84
Housing Rehabilitation	10,904,807	74
Homeownership	2,174,500	10
New Construction		
PUBLIC FACILITIES	26,108,101	86
Water	7,790,659	23
Sewer	12,646,708	36
Community Facility/Other	5,670,734	27
ECONOMIC DEVELOPMENT	5,767,000	33
Small Business/ED Open Round	3,567,000	11
Microenterprise Assistance CFA	2,200,000	22
COMMUNITY PLANNING	439,000	9
TOTAL	45,393,408	212

2.3.2.2 2015 Distribution of NYS CDBG Funds by Use and HUD Objective and Outcome

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

- Housing rehabilitation activities meet the objective and outcome of increasing the availability and accessibility of decent housing. **Objective/Outcome Code DH-1**
- Homeownership activities meet the objective and outcome of increasing the affordability of decent housing. **Objective/Outcome Code DH-2**
- Economic development activities, including microenterprise and small business activities that create or retain jobs (LMJ), meet the objective and outcome of increasing the availability and accessibility of economic opportunities. **Objective/Outcome Code EO-1**
- Microenterprise activities that limit assistance to low- and moderate-income businesses or persons (LMCMC) meet the objective and outcome of providing affordable economic opportunities. **Objective/Outcome Code EO-2**
- Public infrastructure activities (public water/sewer) meet the objective and outcome of providing affordable suitable living environments. **Objective/Outcome Code SL-2**
- 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 2015 NYS CDBG funds were distributed according to categories of use and the objectives of the five-year Consolidated Plan.

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TABLE 14
2015 NYS CDBG PROGRAM
DISTRIBUTION OF AWARDS BY USE AND OBJECTIVE

CODE	HOUSING	PUBLIC FACILITIES	ECONOMIC DEVELOPMENT	TECHNICAL ASSISTANCE	IMMINENT THREAT	COMMUNITY PLANNING
DH-1	22%					
DH-2	5%					
EO-1			6%			
EO-2			11%			
SL-2		35%				
SL-3		19%				
N/A						.9%

2.3.2.3 Types of Households Assisted in 2015 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 2015 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
2015 NYS CDBG PROGRAM
INCOME AND TENURE OF HOUSEHOLDS ASSISTED
OBJECTIVE/OUTCOME = DH-1

	VERY LOW-INCOME 0-30% HAMFI		LOW-INCOME 31-50% HAMFI		MODERATE-INCOME 51-80% HAMFI		TOTAL	
	HH	P	HH	P	HH	P	HH	P
RENTERS	10	17	11	27	15	21	36	65
OWNERS	82	157	168	398	198	524	448	1,079
TOTAL	92	174	179	425	213	545	484	1,144

HH = Households P = Persons

TABLE 16
2015 NYS CDBG PROGRAM
FEMALE HEAD OF HOUSEHOLDS
OBJECTIVE/OUTCOME = DH-1

TOTAL BENEFICIARIES
134

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TABLE 17
2015 NYS CDBG PROGRAM
RACE/ETHNICITY OF THOSE ASSISTED
OBJECTIVE/OUTCOME = DH-1

RACE	HOUSEHOLDS		PERSONS	
	TOTAL	HISPANIC	TOTAL	HISPANIC
WHITE	472	6	1,121	17
ASIAN	0	0	1	0
ASIAN AND WHITE	0	0	0	0
BLACK/AFRICAN AMERICAN	12	1	36	0
BLACK/AFRICAN AMERICAN AND WHITE	1	0	5	0
AMERICAN INDIAN/ALASKAN NATIVE	2	1	10	2
AMERICAN INDIAN/ALASKAN NATIVE/WHITE	1	0	2	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	0	0	0	0
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	0	0	0	0
OTHER MULTI-RACIAL*	2	1	4	1
TOTAL	490	9	1,179	20

* 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
2015 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	6	14	19	47	59	135	84

HH = Households P = Persons

TABLE 19
2015 NYS CDBG PROGRAM
FEMALE HEAD OF HOUSEHOLD
OBJECTIVE/OUTCOME = DH-2

TOTAL BENEFICIARIES
44

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TABLE 20
2015 NYS CDBG PROGRAM
RACE/ETHNICITY OF THOSE ASSISTED
OBJECTIVE/OUTCOME = DH-2

RACE	HOUSEHOLDS		PERSONS	
	TOTAL	HISPANIC	TOTAL	HISPANIC
WHITE	79	0	177	0
ASIAN	1	0	5	0
ASIAN AND WHITE	0	0	0	0
BLACK/AFRICAN AMERICAN	3	1	9	3
BLACK/AFRICAN AMERICAN AND WHITE	1	0	2	0
AMERICAN INDIAN/ALASKAN NATIVE	0	0	3	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	0	0	0	0
TOTAL	84	1	196	3

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

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

TABLE 21
2015 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	239	309	379	927

TABLE 22
2015 NYS CDBG PROGRAM
FEMALE HEAD OF HOUSEHOLD
OBJECTIVE/OUTCOME = EO-1

TOTAL BENEFICIARIES
260

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TABLE 23
2015 NYS CDBG PROGRAM
RACE/ETHNICITY OF PERSONS ASSISTED
OBJECTIVE/OUTCOME = EO-1

RACE	TOTAL	HISPANIC
WHITE	1,299	73
ASIAN	29	0
ASIAN AND WHITE	5	0
BLACK/AFRICAN AMERICAN	35	0
BLACK/AFRICAN AMERICAN AND WHITE	4	0
AMERICAN INDIAN/ALASKAN NATIVE	6	0
AMERICAN INDIAN/ALASKAN NATIVE/WHITE	7	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	1	0
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	3	0
OTHER MULTI-RACIAL*	68	2
TOTAL	1,457	75

* 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
2015 NYS CDBG PROGRAM
INCOME OF PERSONS ASSISTED
OBJECTIVE/OUTCOME = EO-2

	VERY LOW-INCOME 0-30% HAMFI	LOW-INCOME 31-50% HAMFI	MODERATE-INCOME 51-80% HAMFI	TOTAL
BENEFICIARIES	14	8	12	34

TABLE 25
2015 NYS CDBG PROGRAM
FEMALE HEAD OF HOUSEHOLD
OBJECTIVE/OUTCOME = EO-2

TOTAL BENEFICIARIES
7

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TABLE 26
2015 NYS CDBG PROGRAM
RACE/ETHNICITY OF PERSONS ASSISTED
OBJECTIVE/OUTCOME = EO-2

RACE	TOTAL	HISPANIC
WHITE	33	0
ASIAN	1	0
ASIAN AND WHITE	0	0
BLACK/AFRICAN AMERICAN	0	0
BLACK/AFRICAN AMERICAN AND WHITE	0	0
AMERICAN INDIAN/ALASKAN NATIVE	0	0
AMERICAN INDIAN/ALASKAN NATIVE/WHITE	0	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	0	0
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	0	0
OTHER MULTI-RACIAL*	0	0
TOTAL	34	0

* 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
2015 NYS CDBG PROGRAM
INCOME OF HOUSEHOLDS AND PERSONS ASSISTED
OBJECTIVE/OUTCOME = SL-2

	VERY LOW-INCOME 0-30% HAMFI		LOW-INCOME 31-50% HAMFI		MODERATE-INCOME 51-80% HAMFI		TOTAL	
	HH	P	HH	P	HH	P	HH	P
BENEFICIARIES	5,770	15,346	3,939	10,069	4,852	12,813	14,561	38,228

HH=Households P=Persons

TABLE 28
2015 NYS CDBG PROGRAM
FEMALE HEAD OF HOUSEHOLD
OBJECTIVE/OUTCOME = SL-2

TOTAL BENEFICIARIES
4,740

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TABLE 29
2015 NYS CDBG PROGRAM
RACE/ETHNICITY OF THOSE ASSISTED
OBJECTIVE/OUTCOME = SL-2

RACE	HOUSEHOLDS		PERSONS	
	TOTAL	HISPANIC	TOTAL	HISPANIC
WHITE	21,481	1,431	55,878	3,663
ASIAN	238	61	750	35
ASIAN AND WHITE	31	1	119	2
BLACK/AFRICAN AMERICAN	593	63	1,824	178
BLACK/AFRICAN AMERICAN AND WHITE	116	0	459	28
AMERICAN INDIAN/ALASKAN NATIVE	61	10	159	18
AMERICAN INDIAN/ALASKAN NATIVE/WHITE	47	0	74	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	15	0	9	13
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	3	0	22	2
OTHER MULTI-RACIAL*	802	174	1,817	633
TOTAL	23,387	1,740	61,111	4,572

* 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
2015 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	3	10	0	0	0	0	3	10

HH=Households P=Persons

TABLE 31
2015 NYS CDBG PROGRAM
FEMALE HEAD OF HOUSEHOLD
OBJECTIVE/OUTCOME = SL-3

TOTAL BENEFICIARIES
0

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TABLE 32
2015 NYS CDBG PROGRAM
RACE/ETHNICITY OF THOSE ASSISTED
OBJECTIVE/OUTCOME = SL-3

RACE	HOUSEHOLDS		PERSONS	
	TOTAL	HISPANIC	TOTAL	HISPANIC
WHITE	3	0	10	0
ASIAN	0	0	0	0
ASIAN AND WHITE	0	0	0	0
BLACK/AFRICAN AMERICAN	0	0	0	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*	0	0	0	0
TOTAL	3	0	10	0

* 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 2015 Geographic Distribution of NYS CDBG Funding

HUD's definition of non-entitlement communities eligible for NYS CDBG funding corresponds with a vast expanse of territory encompassing most of the State's land mass and includes 48 of the State's 62 counties. In addition, six entitlement counties (Dutchess, Nassau, Orange, Rockland, Suffolk, and Westchester) each contain municipalities which have opted to compete in the non-entitlement pool. The remaining eight metropolitan counties are Entitlement Jurisdictions (the five boroughs of New York City, Erie, Monroe and Onondaga Counties). There are nearly 1,300 eligible non-entitlement jurisdictions (Cities, Villages, Towns, and Counties). Table 33 shows the distribution of funding by county in Program Year 2015 (Committed):

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TABLE 33
2015 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	Imminent Threat		
ALBANY	0	400,000	200,000	0	0	0	600,000	EO1,SL2
ALLEGANY	850,000	900,000	0	50,000	0	0	1,800,000	DH1,SL2,CP
BROOME	0	726,484	0	0	0	0	726,484	SL2
CATTARAUGUS	0	600,000	0	0	0	0	600,000	SL2
CAYUGA	400,000	0	0	0	0	0	400,000	DH1
CHAUTAUQUA	918,500	0	0	0	0	0	918,500	DH1
CHEMUNG	0	0	0	0	0	0	0	0
CHENANGO	0	0	0	0	0	0	0	0
CLINTON	400,000	0	200,000	49,000	0	0	649,000	EO1,DH1,CP
COLUMBIA	0	0	0	0	0	0	0	0
CORTLAND	500,000	0	200,000	0	0	0	700,000	EO1,DH1
DELAWARE	0	1,100,000	200,000	0	0	0	1,300,000	EO1,SL2
DUTCHESS	0	0	0	0	0	0	0	0
ESSEX	44,000	1,556,000	0	0	0	0	1,600,000	DH1,SL2
FRANKLIN	0	0	200,000	0	0	0	200,000	EO1
FULTON	0	400,000	200,000	0	0	0	600,000	EO1,SL2
GENESEE	0	0	750,000	47,500	0	0	797,500	EO1,CP
GREENE	400,000	0	0	0	0	0	400,000	DH1
HAMILTON	305,012	0	0	0	0	0	305,012	DH1
HERKIMER	0	505,000	0	0	0	0	505,000	SL2
JEFFERSON	850,000	0	0	0	0	0	850,000	DH1
LEWIS	324,800	826,526	0	0	0	0	1,151,326	DH1,DH2,SL2
LIVINGSTON	1,000,000	0	0	0	0	0	1,000,000	DH1
MADISON	0	0	0	50,000	0	0	50,000	CP
MONTGOMERY	400,000	0	900,000	0	0	0	1,300,000	EO1,DH1
NIAGARA	0	0	750,000	50,000	0	0	800,000	EO1,CP
ONEIDA	500,000	0	0	0	0	0	500,000	DH1
ONTARIO	0	600,000	200,000	0	0	0	800,000	EO1,SL2
ORANGE	0	400,000	0	0	0	0	400,000	SL2
ORLEANS	0	0	950,000	0	0	0	950,000	EO1
OSWEGO	0	600,000	0	47,500	0	0	647,500	SL2,CP
OTSEGO	0	1,000,000	280,000	0	0	0	1,280,000	EO1,SL2,SL3
PUTNAM	0	0	0	0	0	0	0	0
RENSELAER	722,000	400,000	0	0	0	0	1,122,000	DH1,DH2,SL2
ROCKLAND	0	0	0	0	0	0	0	0
SARATOGA	0	600,000	0	0	0	0	600,000	SL2
SCHENECTADY	0	0	0	0	0	0	0	0
SCHOHARIE	400,000	800,000	200,000	0	0	0	1,400,000	EO1,DH1,SL2
SCHUYLER	0	600,000	0	0	0	0	600,000	SL2
SENECA	0	400,000	0	0	0	0	400,000	SL3
ST. LAWRENCE	1,850,000	507,500	0	0	0	0	2,357,500	DH1,SL2
STEUBEN	500,000	1,185,000	0	45,000	0	0	1,730,000	DH1,SL2,CP

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COUNTY	FUNDING BY ACTIVITY						COUNTY TOTAL	OBJECTIVE/ OUTCOME
	HOUSING	PUBLIC FACILITIES	ECONOMIC DEVELOPMENT	COMMUNITY PLANNING	TECHNICAL ASSISTANCE	Imminent Threat		
SULLIVAN	0	1,799,554	0	0	0	0	1,799,554	SL2
TIOGA	0	0	0	0	0	0	0	0
TOMPKINS	691,500	471,679	0	0	0	0	1,163,179	DH2,SL2
ULSTER	750,000	2,214,150	0	0	0	0	2,964,150	DH2,SL2
WARREN	0	0	0	0	0	0	0	0
WASHINGTON	0	2,400,000	337,000	0	0	0	2,737,000	EO1,SL2
WAYNE	0	596,000	0	0	0	0	596,000	SL2
WESTCHESTER	1,029,895	3,344,208	0	0	0	0	4,374,103	DH1,SL2,SL3
WYOMING	0	600,000	200,000	0	0	0	800,000	EO1,SL2
YATES	243,600	576,000	0	100,000	0	0	919,600	DH2,SL2,CP
NEW YORK STATE	0	0	0	0	0	0	0	0
TOTAL	13,079,307	26,108,101	5,767,000	439,000	0	0	45,393,408	

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 2015 under the HUD-administered NYS CDBG program. Grants awarded to New York jurisdictions prior to PY 2000 are not included.

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**TABLE 34
2015 NYS CDBG PROGRAM
ACCOMPLISHMENTS**

ACTIVITY	2015 PROJECTIONS	2015 ACCOMPLISHMENTS				
		Units	Projects	Persons	Jobs	Businesses
Housing	749	584		1,375		
Rehabilitation	628	485		1,138		
Home Ownership	121	99		237		
Public Facilities	25		5	20,916		
Water & Sewer Improvements	20		4	20,906		
Public Works						
Community Facilities	5		1	10		
Economic Development	830				1,367FT/86PT 26 Training	44
Economic Development	800				1,320FT/19PT	20
Microenterprise and Small Business	30				47FT/67PT/ 26 Training	24
Technical Assistance						
Imminent Threat			1	355		
TOTAL		584	6	22,646	1367FT/86PT 26 Training	44

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

The majority of recipients awarded during the PY 2000 through PY 2012 annual grant cycles have completed their projects and the associated grant funds have been fully expended. The projects that have not been completed are delayed primarily due to other funding involved in the projects. In most cases, the full amount of CDBG funds has been expended, but accomplishments cannot be documented until the project is online and operational or until jobs or housing units are filled. Recipients of CDBG grants awarded in December 2015 are working on their environmental reviews, client intake, engineering/permitting, and preliminary administrative and program delivery work. Site visits and other technical assistance are used to help projects overcome hurdles that can impede timely completion.

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

Housing

The 2015 Action Plan had estimated that 628 housing units would be rehabilitated and 121 homes purchased for first-time homebuyers in PY 2015. For the period January 1, 2015 - December 31, 2015, 485 units of housing were fully rehabilitated and 99 families completed home purchases. Accomplishments for housing rehabilitation and homeownership assistance were reduced in PY 2015 partially due to the economic conditions throughout the State.

Public Facilities

The 2015 Action Plan had estimated that projects serving 50,000 persons would be completed during the program year. In addition to safe drinking water and wastewater infrastructure projects, this category includes such projects as street improvements, community facility projects, and handicap accessibility improvements. For the period January 1, 2015 - December 31, 2015 recipients completed 5 public facilities activities and reported serving 20,916 persons.

Economic Development

The Program Year 2015 Action Plan predicted that 800 jobs would be created and/or retained through all economic development

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activities. In addition, it was estimated that 30 businesses would be assisted through microenterprise activities funded in 2011 or earlier or by small business. For the period January 1, 2015 to December 31, 2015, under the Economic Development program, **1,320** full-time jobs and **19** part-time jobs were actually retained or created from economic development activities and 47 full-time jobs and 67 part-time jobs through microenterprise and small business activities. Additionally, 26 low-and moderate-income persons received training or technical assistance under the Microenterprise National Objective of LMCMC.

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2.4 HOME Investment Partnerships Program (HOME)

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

2.4.1 Availability of HOME Funds in Program Year 2015

During 2015, the federal government allocated \$17,824,381 to the State HOME program. The total amount of HOME funds available for commitment in 2015 was \$16,041,942 (2015 HOME allocation minus 10% administrative). Sixty percent of the funds available to commit are allocated to the Office for Community Renewal for local program administration awards, the balance is allocated to the Office of Finance and Development for multi-family projects.

2.4.2 Distribution of HOME Funds Committed in Program Year 2015

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

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

- 15 percent of each annual allocation is reserved for Community Housing Development Organizations (CHDOs);
- 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 2015 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 availability 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 HOME funds were distributed in 2015 according to categories of use and the objectives of the five-year Consolidated Plan.

**TABLE 35
2015 HOME PROGRAM
DISTRIBUTION OF FUNDS BY USE AND OBJECTIVE**

OBJECTIVE/OUTCOME CODE	REHABILITATION	NEW CONSTRUCTION	OPERATING COSTS	ACQUISITION
DH-1	8,806,201			
DH-2	8,625,030			

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 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 2015, New York State committed approximately \$10,551,231 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.

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**TABLE 36
2015 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	56	169	244	469
RENTER IN HOMEOWNER BUILDING				
TOTAL	56	169	244	469

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

In 2015, New York State HOME Program committed approximately \$6,880,000 to a variety of activities intended to increase the affordability of decent housing. These activities include home ownership assistance (including down payment and closing cost assistance for single family housing) and assistance with the costs of acquisition and minor rehabilitation of existing housing (including 2-4 unit buildings that contain rental units) and creating new rental housing.

**TABLE 37
2015 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				
HOMEBUYER	27	81	116	224
TOTAL	27	81	116	224

**TABLE 38
2015 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				
HOMEOWNER/HOMEBUYER	83	250	360	693
TOTAL	83	250	360	693

The State is committed to serving its neediest households. As can be seen from the above table, 48 percent of the households assisted with HOME funds had incomes at or below 50% of area median income. In addition, more than 12 % of assisted households had incomes below 30 percent of area median income.

2.4.2.2 2015 Distribution of HOME Funds by Race/Ethnicity of Head of Household

The HOME program primarily serves non-metropolitan areas, where minority populations are lower than in urban areas. Overall, the results of the State's affirmative marketing efforts in furthering fair housing are positive. This is reflected by data which indicates approximately 9% minority participation in the HOME program. Tables 39 and 40 display, for all HOME funds expended in 2015, the race/ethnicity of the head of assisted households.

**TABLE 39
2015 HOME PROGRAM
RACE/ETHNICITY OF HOUSEHOLDS ASSISTED**

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OBJECTIVE/OUTCOME DH-1

RACE	TOTAL	HISPANIC
WHITE	362	19
ASIAN	0	0
BLACK/AFRICAN AMERICAN	24	2
BLACK/AFRICAN AMERICAN AND WHITE	1	1
AMERICAN INDIAN/ALASKAN NATIVE	1	1
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	0	0
OTHER	0	0
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	0	0
OTHER MULTI-RACIAL	9	6
TOTAL	397	29

**TABLE 40
2015 HOME PROGRAM
RACE/ETHNICITY OF HOUSEHOLDS ASSISTED
OBJECTIVE/OUTCOME DH-2**

RACE	TOTAL	HISPANIC
WHITE	226	9
ASIAN	5	1
BLACK/AFRICAN AMERICAN	27	0
BLACK/AFRICAN AMERICAN AND WHITE	1	0
AMERICAN INDIAN/ALASKAN NATIVE	0	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	0	0
OTHER	0	0
OTHER MULTI-RACIAL	8	7
TOTAL	267	17

2.4.2.3 2015 Geographical Distribution of HOME Funds

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

In 2015, the State provided HOME funds in 47 of the State's 62 counties. Table 41 displays the distribution of New York State's HOME funds:

**TABLE 41
2015 HOME PROGRAM
GEOGRAPHIC DISTRIBUTION OF FUNDING
BY OBJECTIVE AND OUTCOME
[In Dollars]**

COUNTY	DH-1	DH-2	TOTAL
ALBANY	400,000	960,000	1,360,000
ALLEGANY	400,000	0	400,000

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COUNTY	DH-1	DH-2	TOTAL
BRONX	0	0	0
BROOME	250,000	0	250,000
CATTARAUGUS	400,000	0	400,000
CAYUGA	400,000	0	400,000
CHAUTAUQUA	0	0	0
CHEMUNG	400,000	0	400,000
CHENANGO	400,000	0	400,000
CLINTON	200,000	0	200,000
COLUMBIA	0	0	0
CORTLAND	304,000	0	304,000
DELAWARE	0	0	0
DUTCHESS	0	0	0
ERIE	715,000	0	715,000
ESSEX	400,000	0	400,000
FRANKLIN	600,000	308,700	908,700
FULTON	400,000	0	400,000
GENESEE	0	400,000	400,000
GREENE	400,000	0	400,000
HAMILTON	0	0	0
HERKIMER	401,225	0	401,225
JEFFERSON	400,000	0	400,000
KINGS	0	800,000	800,000
LEWIS	0	0	0
LIVINGSTON	0	0	0
MADISON	400,000	0	400,000
MONROE	0	838,800	838,800
MONTGOMERY	0	0	0
NASSAU	0	0	0
NEW YORK	0	0	0
NIAGARA	0	0	0
ONEIDA	171,000	0	171,000
ONONDAGA	0	950,000	950,000
ONTARIO	0	0	0
ORANGE	380,000	0	380,000
ORLEANS	0	0	0
OSWEGO	0	333,500	333,500
OTSEGO	0	0	0
PUTNAM	0	0	0
QUEENS	0	700,000	700,000
RENSSELAER	400,000	0	400,000
RICHMOND	230,000	400,000	630,000
ROCKLAND	0	0	0
SARATOGA	600,003	0	600,003
SCHENECTADY	0	0	0
SCHOHARIE	0	0	0
SCHUYLER	0	0	0
SENECA	0	0	0
ST. LAWRENCE	0	0	0
STEUBEN	400,000	0	400,000
SULLIVAN	0	0	0
SUFFOLK	0	200,000	200,000

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COUNTY	DH-1	DH-2	TOTAL
TIOGA	0	0	0
TOMPKINS	0	0	0
ULSTER	0	400,000	400,000
WARREN	0	389,000	389,000
WASHINGTON	700,003	0	700,003
WAYNE	0	0	0
WESTCHESTER	0	0	0
WYOMING	0	0	0
YATES	0	200,000	200,000
TOTAL	10,551,231	6,880,000	17,431,231

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.

2.5 The Emergency Solutions Grants Program (ESGP)

The New York State Office of Temporary and Disability Assistance (OTDA) administers the Emergency Solutions Grants Program (ESGP) for the State of New York. ESGP funding is combined with New York State funding to form the Solutions to End Homelessness Program (STEHP). The STEHP Program coordinates activities to enhance the quality and quantity of homeless facilities and services for homeless individuals and families, and funds certain operational costs and social services expenses relating to homeless shelters. In addition, STEHP funds a variety of homelessness prevention and rapid re-housing activities. The STEHP Program is administered in accordance with ESGP Federal Regulations. New York State received \$5,377,468 in ESGP FFY 2014 funds of which \$5,108,595 was allocated to contractors in Program Year 2015. The State retained \$268,873 for administrative purposes. Additionally, NYS received FFY 2012 reallocated ESGP funds from Westchester County in the amount of \$465,769, all of which was distributed in 2015 to Westchester not-for-profits and therefore reported in this CAPER.

2.5.1 Availability of STEHP Funds in Program Year 2015

During Program Year 2015, OTDA awarded \$5,574,364 in ESGP funds and \$10,237,494 in New York State funds for a total of \$15,811,858 to support eligible activities under its Solutions to End Homelessness Program (STEHP). Seventy-two (72) not-for-profit corporations and local social service districts received awards. Additionally, New York State maintained less than the 7.5% allowable administration funds totaling \$268,873.

2.5.2 Distribution of STEHP Funds in Program Year 2015

OTDA awards ESGP funds as part of the STEHP Program through a competitive Request for Proposals (RFP) process. OTDA released an RFP in July 2014 in order to make STEHP awards which commenced October 1, 2014. Proposals were solicited from local social services districts, not-for-profit corporations, and charitable organizations, including faith-based organizations. Proposals described street outreach, emergency shelter, rapid re-housing and homelessness prevention programs. All proposals received in response to the RFP were subject to a rigorous review and selection process. One hundred four (104) proposals were received. OTDA was able to fund seventy-two (72) agencies with the funds available.

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

- The applicant agency must show the ability to meet all State and federal requirements.
- Demonstration of need within the proposed project area for the type of housing and/or services proposed.
- Evidence of the applicant's understanding of the needs of people experiencing homelessness 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 STEHP.
- The reasonableness of the total project cost and the STEHP fund request and the eligibility of proposed expenditures.
- Evidence that matching funds are firmly committed and available for obligation and expenditure.
- Evidence that the applicant has local support including from the Continuum of Care.
- Evidence that the focus of the project is on enabling participants to achieve the highest level of self-sufficiency possible.
- Evidence of the financial feasibility of the project over the required operating period.
- The appropriateness of the qualifications and backgrounds of the personnel and staff to be assigned to the project.
- Willingness to participate in the Homeless Management Information System (HMIS).

OTDA awarded STEHP funds for the following eligible activities:

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

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2.5.2.1 2015 Distribution of STEHP Funds by Function

During Program Year 2015, STEHP funds were allocated for purposes noted in Table 42.

**TABLE 42
2015 STEHP PROGRAM
FUNDS BY USE**

STREET OUTREACH	SHELTERS	PREVENTION	RAPID RE-HOUSING	ADMINISTRATION
2%	24%	52%	20%	2%

2.5.2.2 2015 Distribution of STEHP Funds by Race and Ethnicity

During Program Year 2015, STEHP funds assisted persons of various races and ethnicities as noted in Table 43. The STEHP Program assisted 43,782 unique individuals with street outreach, shelter, rapid re-housing and homelessness prevention services.

**TABLE 43
2015 ESG/STEHP PROGRAM
TOTAL UNDUPLICATED SERVED**

RACE	TOTAL	HISPANIC
WHITE	17606	7214
BLACK/AFRICAN AMERICAN	16994	2731
ASIAN	270	17
AMERICAN INDIAN/ALASKAN NATIVE	257	28
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	469	331
AMERICAN INDIAN/ALASKAN NATIVE AND WHITE	90	18
ASIAN AND WHITE	66	53
BLACK/AFRICAN AMERICAN AND WHITE	514	113
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	35	6
OTHER MULTI-RACIAL	778	413
MISSING INFORMATION	6703	6049
TOTAL	43782	16973

2.5.2.3 2015 Geographical Distribution of STEHP Funds

The State of New York awards funds to projects through a competitive statewide process and does not allocate or reserve funds by geographic area or region. OTDA has, however, consistently sought to allocate its funds equitably to all parts of the State that have identified gaps in the emergency housing continuum for homeless individuals and their families. First consideration is given to those locations demonstrating an urgent need, especially areas not receiving direct entitlement funding through the ESGP. Thirty-six (36) counties received STEHP funds in 2015. Table 44 reflects the geographic distribution of STEHP funds by county.

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TABLE 44
2015 STEHP PROGRAM
GEOGRAPHIC DISTRIBUTION IN DOLLARS

COUNTY	ESG/STEHP
ALBANY	1,149,273
BRONX	1,716,632
BROOME	197,369
CATTARAUGUS	309,825
CAYUGA	73,275
CHAUTAUQUA	343,324
CHEMUNG	309,397
CLINTON	129,826
DELAWARE	150,322
DUTCHESS	309,825
ERIE	395,999
GREENE	64,295
JEFFERSON	309,825
KINGS	2,046,537
LEWIS	52,397
LIVINGSTON	59,375
MADISON	309,750
MONROE	556,599
NASSAU	193,934
NEW YORK	2,006,808
NIAGARA	41,250
ONONDAGA	257,190
ORANGE	141,900
OSWEGO	309,825
OTSEGO	292,793
PUTNAM	303,845
QUEENS	293,289
RENSSELAER	591,408
SARATOGA	361,744
SCHENECTADY	460,501
ST. LAWRENCE	281,250
STEUBEN	171,673
SUFFOLK	135,158
TOMPKINS	263,461
WESTCHESTER	1,085,155
YATES	136,829
TOTAL	15,811,858

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**TABLE 45
2015 STEHP PROGRAM
ACCOMPLISHMENTS**

Objective-Outcome Category	Performance Indicator	Expected Number	Actual Number	Activity Description
DH-1	Total Individuals Served	36,233	27,341	Homelessness Prevention
DH-1			3,345	Rapid Re-housing
SL-1	Total Individuals Served	13,637	1,534	Street Outreach
SL-1			12,409	Shelters
All	Unduplicated Individuals	49,435	43,782	All Activities

Duplication occurs in homeless programs, (Street Outreach, Shelters and Rapid Rehousing). 43,782 represent each person being counted once.

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 2015

During HOPWA Program Year 2015, the period covered by this 2015 CAPER, the federal government allocated \$2,445,114 to New York State for the Housing Opportunities for Persons with AIDS Program. New York State maintained the allowable 3% toward administration; therefore \$2,371,761 was made available to eligible grant applicants to support eligible HOPWA activities.

2.6.2 Distribution of HOPWA Funds in Program Year 2015

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 period of five 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 October of 2013, an RFP was issued for Rounds 22-26 of HOPWA funds for the grant period of January 1, 2014 to December 31, 2018. A total of 13 projects were selected using the following criteria:

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

In accordance with HOPWA regulations promulgated by HUD, a broad range of housing-related activities may be funded. In HOPWA Rounds 22-26, the State gave priority to projects that would:

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

The following activities were funded:

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

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

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2.6.2.1 2015 Distribution of HOPWA Funds by Function

During Program Year 2015, HOPWA funds were allocated for purposes noted in Table 46.

**TABLE 46
2015 HOPWA PROGRAM
DISTRIBUTION OF FUNDS BY FUNCTION**

HOUSING ASSISTANCE	SUPPORT SERVICES	RESOURCE IDENTIFICATION AND HOUSING INFORMATION	GRANTEE ADMINISTRATIVE COSTS	SPONSOR ADMINISTRATIVE COSTS
83%	12%	<1%	2%	3%

2.6.2.2 2015 Distribution of HOPWA Funds by Race and Ethnicity

During Program Year 2015, HOPWA funds assisted persons of various races and ethnicities as noted in Table 47.

**TABLE 47
2015 HOPWA PROGRAM
RACE/ETHNICITY OF PERSONS ASSISTED**

RACE	TOTAL	HISPANIC
WHITE	292	47
BLACK/AFRICAN AMERICAN	226	6
ASIAN	0	0
AMERICAN INDIAN/ALASKAN NATIVE	1	0
NATIVE HAWAIIAN/OTHER PACIFIC ISLANDER	0	0
AMERICAN INDIAN/ALASKAN NATIVE AND WHITE	0	0
ASIAN AND WHITE	0	0
BLACK/AFRICAN AMERICAN AND WHITE	20	0
AMERICAN INDIAN/ALASKAN NATIVE AND BLACK/AFRICAN AMERICAN	0	0
OTHER MULTI-RACIAL	37	5
TOTAL	576	58

2.6.2.3 2015 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 2015 reporting period, funding did not support any projects in the following Eligible Metropolitan Services Areas (EMSA): New York City (including Westchester, Orange, and Rockland counties), Long Island (Nassau and Suffolk counties), Rochester, Buffalo, and Albany.

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TABLE 48
2015 HOPWA PROGRAM
GEOGRAPHICAL DISTRIBUTION OF FUNDING
 [In Dollars]

COUNTY*	AMOUNT
ALBANY**	244,798
BROOME	174,073
CHAUTAUQUA	73,450
ERIE**	114,127
MONROE**	108,750
ONONDAGA	826,287
SULLIVAN	421,237
ULSTER	409,039
TOTAL	2,371,761

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

Thirty-five (37) counties throughout New York State receive services through this grant.

**Albany, Erie, and Monroe counties are located within HOPWA eligible metropolitan services areas.

Funds were allocated to agencies headquartered within those counties to serve surrounding counties outside the EMSA.

Additionally, funds were awarded to an Albany-based agency which is not eligible to receive direct HOPWA funds due to a conflict of interest.

2.6.3 2015 HOPWA Accomplishments

Tables 49 through 56 display HOPWA accomplishments in Program Year 2015:

TABLE 49
2015 HOPWA PROGRAM
UNITS AND PERSONS ASSISTED

	HOUSING ASSISTANCE	SUPPORT SERVICES ONLY	TOTAL
NUMBER OF UNITS	396	N/A	396
NUMBER OF PERSONS ASSISTED	576	0	576

TABLE 50
2015 HOPWA PROGRAM
SUPPORTED HOUSING UNITS ASSISTED
 [Funding in Dollars]

TYPE OF UNIT	UNITS ASSISTED	HOPWA FUNDING*
RENTAL ASSISTANCE	272	982,853
SHORT-TERM/EMERGENCY HOUSING	83	62,309
PERMENANT HOUSING PLACEMENT	27	21,100
UNITS IN FACILITIES SUPPORTED WITH OPERATING COSTS	49	143,605
TOTAL	431**	1,209,867

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

**Total figure reflects 35 households that received short-term payments and/or permanent housing placement services, and rental assistance.

TABLE 51
2015 HOPWA PROGRAM

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LEVERAGED DOLLARS*

Sources of Leverage		Amount of Leveraged Funds
1	Federal government	4,332,268
2	State government	715,995
3	Local government	332,560
4	Foundations and other private cash resources	13,288
5	In-kind resources	0
6	Resident rent payments by client to private landlord	253,891
7	Grantee/project sponsor (Agency) cash	14,700
8	TOTAL (Sum of 1-7)	5,662,701

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

**TABLE 52
2015 HOPWA PROGRAM
COMPARISON TO PLANNED ACTIONS**

TYPE OF UNIT	ESTIMATED UNITS	ACTUAL UNITS
RENTAL ASSISTANCE	280	272
SHORT-TERM/EMERGENCY HOUSING PAYMENTS	80	83
UNITS IN FACILITIES SUPPORTED W/ OPERATING COSTS	40	49
TOTAL	400	404*

*Total includes 8 households who received both rental assistance and short-term housing payments
 Project Outcomes: 96% of clients receiving tenant-based rental assistance maintained stable housing conditions.
 85% of clients receiving facility-based housing assistance maintained stable housing conditions.
 97% of clients receiving short-term rent, mortgage, and utility assistance maintained stable housing conditions.

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**TABLE 53
2015 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	272	221		1 Emergency Shelter/Streets	= 0
				2 Temporary Housing	= 1
				3 Private Housing	= 16
				4 Other HOPWA	= 1
				5 Other Subsidy	= 22
				6 Institution	= 2
				7 Jail/Prison	= 2
				8 Disconnected/Unknown	= 3
				9 Death	= 4
Permanent Supportive Housing Facilities / Units	14	6		1 Emergency Shelter/Streets	= 0
				2 Temporary Housing	= 0
				3 Private Housing	= 2
				4 Other HOPWA	= 0
				5 Other Subsidy	= 6
				6 Institution	= 0
				7 Jail/Prison	= 0
				8 Disconnected/Unknown	= 0
				9 Death	= 0
[B] Transitional Housing Assistance	[1] Total Number of Households Receiving Housing Assistance	[2] Of the Total Number of Households Receiving Housing Assistance this Operating Year		[3] Assessment: Number of Exited Households and Housing Status	
Transitional / Short-term Supportive Housing Facilities / Units	35	Total number of households that will continue in residences	0	1 Emergency Shelter/Streets	= 3
		2 Temporary Housing	= 0		
		3 Private Housing	= 23		
		4 Other HOPWA	= 0		
		5 Other Subsidy	= 0		
		6 Institution	= 5		
		7 Jail/Prison	= 2		
		8 Disconnected/unknown	= 2		
		9 Death	= 0		
Total number of households whose tenure exceeds 24 months	0				

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**TABLE 53
2015 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
83	Maintain Private Housing without subsidy (e.g. Assistance provided/completed and client is stable, not likely to seek additional support)	31	Stable/Permanent Housing (PH)
	Other Private Housing without subsidy	0	
	Other HOPWA support (PH)	10	
	Other housing subsidy (PH)	5	
	Institution (e.g. residential and long-term care)	0	
	Likely to maintain current housing arrangements, with additional STRMU assistance	35	Temporarily Stable with Reduced Risk of Homelessness
	Transitional Facilities/Short-term (e.g. temporary or transitional arrangement)	0	
	Temporary/non-permanent Housing arrangement (e.g. gave up lease, and moved in with family or friends but expects to live there less than 90 days)	0	
	Emergency Shelter/Streets	0	
	Jail/Prison	1	Unstable Arrangements
	Disconnected	1	
	Death	0	Life Event
	1a. Total number of households that received STRMU assistance in the prior operating year that also received STRMU assistance in the current operating year.		
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.			7

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**TABLE 53
2015 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)	262	1	5	4
Permanent Facility-based Housing Assistance/Units	14	0	0	0
Transitional/Short-term Facility-based Housing Assistance/Units	28	0	7	0
Total Permanent HOPWA Housing Assistance	304	1	12	4
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)	46	35	2	0
Total HOPWA Housing Assistance	350	36	14	4

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.

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**TABLE 54
2015 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	257	159,402
4	Child care and other child services	0	0
5	Education	0	0
6	Employment assistance and training	0	0
7	Health/medical/intensive care services, if approved*	0	0
8	Legal services	0	0
9	Life skills management (outside of case management)	0	0
10	Meals/nutritional services	0	0
11	Mental health services	0	0
12	Outreach	0	0
13	Transportation	0	0
14	Other Activity: Security Deposit	0	0
15	Adjustment for Duplication (subtract)	0	N/A
16	TOTAL Households receiving Supportive Services (unduplicated)	257	159,402

* Client records must conform with 24 CFR §574.310

**TABLE 55
2015 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	396	<i>Support for Stable Housing</i>
2 Has contact with case manager/benefits counselor consistent with the schedule specified in client's individual service plan	376	<i>Access to Support</i>
3 Had contact with a primary health care provider consistent with the schedule specified in client's individual service plan	391	<i>Access to Health Care</i>
4 Has accessed and can maintain medical insurance/assistance	395	<i>Access to Health Care</i>
5 Successfully accessed or maintained qualification for sources of income	396	<i>Sources of Income</i>

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	15	<i>Sources of Income</i>

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Part 2A

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

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

Part 2B

Number of Households Obtaining Employment

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

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TABLE 56
2015 HOPWA PROGRAM
PERFORMANCE PLAN GOALS AND ACTUAL OUTPUT

HOPWA Performance Planned Goals and Actual Outputs		Output Households				Funding	
		HOPWA Assistance		Non-HOPWA		Funding	
		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	280	272	0	0	1611165	982,853
2a	Households in permanent housing facilities that receive operating subsidies/leased units	10	14	16	16	134999	87,928
2b	Households in transitional/short-term housing facilities that receive operating subsidies/leased units	30	35	0	0	49196	55,677
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	80	82	17	7	163456	55,620
5	Permanent Housing Placement	0	27	0	0	45843	21,100
6	Adjustments for duplication (subtract)	0	35	0	0	0	0
Sub-Total		400	396	37	27	2,004,659	1,209,867
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	250	257	0	0	282,045	159,402
10b	Supportive Services provided by project sponsors that only provided supportive services.	0	0	0	0	0	0
11	Adjustment for duplication (subtract)	0	0	0	0	0	0
12	Sub-Total	250	257	0	0	282,045	159,402
Housing Placement Assistance Activities		Output Households				Funding	
13	Housing Information Services	N/A	0	N/A	N/A	0	0
15	Adjustment for duplication	N/A	0	N/A	N/A	N/A	0
16	Sub-Total	N/A	0	N/A	N/A	0	0
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	0	0
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	73,353	73,353
20	Project Sponsor Administration (maximum 7% of portion of HOPWA grant awarded)	N/A	N/A	N/A	N/A	85,057	55,365
21	Sub-Total	N/A	N/A	N/A	N/A	158,410	128,718
Total Expenditures*		N/A	N/A	N/A	N/A	2,445,114	1,497,987

*For Program Year 2015 (Sum of rows 6, 9, 12, 16, and 21)

TABLE 57
2015 HOPWA PROGRAM
ASSESSMENT OF UNMET NEEDS

1 Total number of households that have unmet housing needs	195
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)	194
b Short-term Rent, Mortgage and Utility payments (STRMU)	0
c Housing Facilities, such as community residences, SRO dwellings, other housing facilities	1

*Represents the number on wait lists for housing assistance across New York State as of 12/31/15.

3. Actions to Affirmatively Further Fair Housing

New York State, as a recipient of federal funds from the U.S. Department of Housing and Urban Development (HUD), has an obligation to comply with the non-discrimination requirements of the Fair Housing Act (FHA), as well as the requirement to affirmatively further fair housing (AFFH). It is integral to the core mission of New York State Homes and Community Renewal (HCR) to ensure that all New Yorkers have equal access to safe, decent and affordable housing and to fair housing choice.

3.1 Fair and Equitable Housing Office

In January 2015, HCR established a new Fair and Equitable Housing Office (FEHO) to focus on removing regulatory barriers at the state level that affect New Yorkers access to fair and affordable housing.

To that end, FEHO – among other things – analyzes HCR’s public investments and their effect on the larger housing market and works to engage our partners to ensure affordable housing is accessible and available in all areas of the State. FEHO also provides education, outreach, and technical assistance on fair housing issues and compliance.

Additionally, FEHO oversees Section 3 compliance of grantees/subgrantees to ensure that economic opportunities generated by HUD financial assistance are, to the greatest extent feasible, directed to low- and very low- income persons.

3.2 Analysis of Impediments to Fair Housing Choice (AI)

For the Analysis of Impediments to Fair Housing Choice (AI) that was completed in 2015, FEHO partnered with a consulting firm, HCR’s Office of Policy and Research and Office of Legal Affairs, and program offices to develop a multi-part AI (New York State Entitlement Jurisdictions (NYSEJ) AI and the New York State Disaster Recovery Areas AI, as well as the HUD Entitlement Jurisdiction AI).

For the final document submitted to HUD in January 2016, HCR made the decision to work to satisfy its AFFH obligation by preparing the AI in two parts. These included:

- An AI document focusing on the NYSEJ, and also including an evaluation of the AI documents prepared by 48 HUD entitlement communities and counties located in New York State (exclusive of New York City) in order to identify statewide issues and patterns; and
- An AI document focusing on the Community Development Block Grant – Disaster Recovery (CDBG-DR) entitlement counties designated after Superstorm Sandy, Hurricane Irene, and Tropical Storm Lee in 2011 and 2012.

The AI assessed the laws, regulations, administrative policies, procedures, and practices in New York State that affect the ability of individuals to live where they choose free from discrimination on account of their personal attributes which are protected under the FHA and/or New York Human Rights Law.

HCR utilized a comprehensive approach to data collection for the AI documents, including the following sources:

- Census data from the 2000 and 2010 decennial years and American Community Survey data from 2009 to 2013;
- New York State Assessment Program data (English Language Arts and Mathematic Assessment);
- U.S. Department of Agriculture data on food access and health insurance among low-income residents;
- FastCase.com: Advanced Case Law Research for cataloging relevant fair housing cases in New York State;
- Municipal land use and land development regulations;
- HCR administrative policies concerning housing and community development programming;
- Financial lending institution data from the Home Mortgage Disclosure Act (HMDA) database;
- Financial lending data from the State of New York Mortgage Agency (SONYMA); and

Additional information was also gathered through the public engagement process, which solicited perspectives from fair housing advocates, housing developers, social service providers, the general public, as well as appropriate stakeholders within local and state government agencies.

This comprehensive AI utilized more innovative approaches than in previous years. This AI will serve as a point-in-time baseline against which future progress in terms of implementing fair housing initiatives will be evaluated and documented.

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Moving forward, the AI will also serve as the basis for fair housing planning and assist in building public support for fair housing efforts throughout New York State.

3.2.1 AI – Impediments and Goals

Through the AI completed in December 2015, HCR continued to fulfill the State's obligation to affirmatively further fair housing by identifying both impediments to fair housing, as well as measureable goals and recommended actions best suited to remove those barriers. Below is a description of some of the identified impediments and the corresponding goal and recommended actions.

Available, Affordable & Accessible Housing

Through the public engagement process performed as a part of the AI, a lack of available, affordable and accessible housing was one of the most significant and frequently cited impediments to fair housing. In order to remove this impediment, HCR will continue its mission to work to preserve and expand the inventory of affordable and accessible housing throughout New York State and seek a balance between revitalizing racially concentrated areas of poverty (RCAPs) and expanding affordable housing options in higher opportunity areas, as defined in the AI.

Disparity in Access to Community Assets

A disparity in community assets was also identified as an impediment to fair housing. Neighborhoods of higher opportunity can be measured by characteristics such as higher household incomes, labor force participation, employment opportunities, accessible public transportation, shorter commute times, satisfactory school performance, and access to fresh food. Because members of the protected classes are less likely to live in these neighborhoods, they do not have the same level of access to the assets and opportunities enjoyed by residents of these communities. As a result, HCR's goal is to leverage its funding and enhance its policies to provide greater access to community assets and opportunities for members of the protected classes.

Environmental Regulatory Requirements

The AI process also identified the environmental review process under the State Environmental Quality Review ("SEQR") as an impediment, because the review process can be used by opponents to affordable housing development to burden and sometimes thwart the development of affordable housing. Therefore, HCR will work with partner agencies to identify ways to mitigate environmental regulatory requirements from being used in ways that cause impediments to affordable housing development.

Affordable housing developers may find it challenging to navigate environmental regulations meant to protect against the impacts from siting large-scale development and industrial land uses in lower income communities. While necessary, especially in preventing environmental and social injustice in lower income communities, the number of approvals required combined with local Not In My Backyard-ism (NIMBY) may make it more difficult to develop affordable housing. HCR will work to identify ways to simultaneously achieve environmental and social justice, affordable housing, and fair housing goals.

Fair Housing Education & Outreach

Through the AI process, HCR identified the lack of knowledge and education regarding fair housing laws and requirements to be an impediment. While fair housing education and outreach are constant needs in any jurisdiction, HCR will work to improve the level of fair housing knowledge and understanding among housing developers, real estate professionals, local elected officials, and individual members of the protected classes.

Fair Housing Enforcement

HCR identified a lack of fair housing enforcement as a significant impediment to fair housing. Therefore, thorough investigation of housing discrimination complaints and proactive fair housing testing initiatives are necessary elements to robustly enforcing fair housing laws. To that end, in December 2015, HCR began negotiations to partner with four fair housing testing agencies to provide them with the necessary financial support to conduct additional fair housing testing. The nonprofits will use their regional knowledge to identify potential targets and protected classes to be the subjects of testing.

Land Use & Development Regulations

Land use and development regulations were also identified as impediments. More specifically, when a particular control on the types of housing permitted in a community restricts housing choice for members of the protected classes, it is an impediment to fair housing choice. HCR will work to promote inclusive housing policies in all communities to expand housing choice for members of the protected classes.

Local Sentiment

Local opposition to affordable housing generally was also identified as an impediment. Specifically, the NIMBY sentiment can jeopardize and forestall the application review and development process to the point where a project is withdrawn or denied and the housing is never built. To remove this impediment, HCR will advocate for and support affordable housing development as a critical component of fair housing choice everywhere in New York State.

Private Market

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In addition to the macro-trend of increased housing costs, the AI also identified a number of noteworthy situations in the private market that are impediments to fair housing choice. Accordingly, HCR will work to expand housing choice for members of the protected classes wishing to enter or remain in the private market.

Public Policy

There are many entities – federal, State, local, non-profit, religious, and more – that provide housing assistance. These different actors do not always coordinate their efforts, however, which can result differences in addressing fair housing across programs. These differences at times are the result of distinct federal and State requirements. To address this issue, HCR will effectively focus its internal policies, procedures, and management in a way that efficiently and consistently affirmatively furthers fair housing choice.

Technical Assistance for HUD Entitlements

In some towns and counties, the data analysis conducted by the entitlement did not support some of the impediments listed and/or impediments that were supported by the analysis were not mentioned. Among a few communities, “conclusions” were offered rather than “impediments” and, in one community, the AI stated there were no impediments to fair housing choice. Therefore, HCR will work to develop a technical assistance program to help HUD entitlement communities in New York State successfully transition to the new AFH process.

3.3 Fair Housing Education and Outreach

In 2015, FEHO staff presented on fair housing at numerous events across the State. These events included the:

- Rural and Neighborhood Preservation Coalition Annual Conferences;
- NYS Association for Affordable Housing’s Annual Upstate Conference;
- NYS Minority and Women-Owned Business Enterprise Conference;
- Schenectady County Annual Fair Housing Month Luncheon;
- New York Housing Conference Fair Housing Symposium; and
- Long Island Housing Partnership’s Fair Housing Symposium.

FEHO staff and HCR senior staff also conducted “meet and greets” with fair housing advocacy organizations from across the State to introduce the office to the groups and begin discussions about the fair housing issues that they face.

To increase fair housing knowledge and awareness among agency staff, FEHO began publishing a monthly newsletter for agency staff. Topics covered in 2015 included an outline of FEHO’s functions within HCR and a brief overview of Fair Housing Act and related issues; an update concerning the Final Rule on AFFH and the recent Supreme Court case *Texas Dept. of Housing and Community Affairs v. Inclusive Communities Project*; the 25th anniversary of the Americans With Disabilities Act; and the goals and requirements of Section 3 of the Housing and Urban Development Act. In addition to these agency-wide newsletters, FEHO also made presentations to HCR board members on many of these topics.

HCR also launched a FEHO-specific page on the agency’s website. This webpage provides general information about fair housing and Section 3 requirements, obligations, and issues.

4. Section 3 Compliance Activities

During 2015 NYS Homes and Community Renewal's (HCR) Fair and Equitable Housing Office (FEHO) took several steps to continue to improve and strengthen the agency's Section 3 outcomes through the provision of statewide training and technical assistance, and the development of new forms, templates and notifications outlining the responsibilities and expectations of HCR's awardees.

The areas FEHO identified to improve within the agency's Section 3 Program were:

- Educate – increase education among HCR staff and grantees and work towards a standardized training process;
- Assist – identify best practices among awardees that can be replicated across all awardees, leverage proven techniques and identify partnerships with cultural, ethnic and economic development organizations; and
- Track and Monitor – review and update policies and procedures.

4.1 Section 3 Compliance Plan

In August 2015, FEHO partnered with a consulting firm to prepare an in-depth Section 3 Compliance Training, Tracking Management System and Plan (Compliance Plan). The major components of the Plan included training HCR staff and awardees on Section 3 requirements and highlights of U.S. Department of Housing and Urban Development's (HUD) Proposed Rule; the creation of an enhanced Section 3 page on the agency's website; and new policies and procedures.

Training

FEHO's Section 3 Coordinator presented at the annual NYS Rural Housing Coalition Conference (September 17, 2015) and the NYS Minority/Women Business Enterprise Forum (October 1, 2015). In concert with the consulting firm, the Section 3 Coordinator also conducted 30 training sessions, in both urban and rural areas across the State (September – October). The sessions were directed to specific audiences – local governments, public housing officials, developers, contractors/subcontractors and potential Section 3 residents and business concerns. The training provided clarity and understanding for some awardees and reinforcement for others. These trainings were also recorded to be made available through FEHO's Section 3 webpage.

Section 3 Webpage

FEHO developed a new webpage on HCR's website, which includes a section dedicated exclusively to Section 3. The webpage features access to the abovementioned training sessions. The webpage also has improved forms and templates for ease of use for awardees, such as the Section 3 Compliance Plan, Participation Plans for Units of General Local Governments (UGLG) and Contractors/Developers, as well as HCR's Policy and Procedures Manual. The webpage will also provide helpful links to websites of other State agencies, non-profits and faith-based organizations.

4.2 Section 3 New Initiatives

As FEHO moves forward with their Compliance Plan the following changes will be incorporated:

- **Quarterly Reports** required from all awardees. This level of frequency will allow FEHO to identify grantees that may experience difficulties in meeting the minimum Section 3 goals. Increased on-site technical assistance will be available to grantees during the course of their contract.
- **Self-Certification Registry** for potential Section 3 business concerns to link to HUD's self-certification form from FEHO's Section 3 webpage. This will allow awardees the opportunity to connect with businesses as they attempt to meet their Section 3 goals. FEHO will also consider innovative ways in which to capture information from potential Section 3 residents for employment opportunities.
- **Partnership Development** with HCR program staff and other State agencies, non-profits and faith-based projects, to further expand knowledge of Section 3 opportunities and increase Section 3 compliance.

When HUD releases its new Section 3 Rule and begins to implement changes to the program, FEHO staff will provide additional training and technical assistance to its awardees. HCR is committed to ensuring that employment and other economic opportunities generated by HUD financial assistance is directed to low- and very low- income persons, and business concerns which provide economic opportunities to those persons.

5. 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.

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

The State provides down payment and closing cost assistance and the possibility of housing rehabilitation funds to help enable those with low- incomes to afford home purchase. All of the State's assistance activities are aimed at low-and moderate-income households.

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

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. Lowering upfront costs for potential homebuyers can produce more affordable mortgage rates and long term savings.

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 ultimately making the assisted units more affordable to their low-income occupants.

For Program Year 2015 the NYS CDBG program continued to award points to applicants toward their total score in housing applications for their efforts to provide assisted housing to low- and moderate-income families in ways that promoted housing choice. In PY 2015, the State's scoring allowed for up to 5 points on a 100 point scale to be provided to municipalities who could demonstrate that they had established and formally adopted a fair housing plan that was periodically updated and who provided a description of fair housing activities that clearly demonstrated compliance with their established plan.

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

5.1 Addressing Worst Case Needs

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

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

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

Housing Choice Vouchers

HCR has statewide responsibility for the administration of approximately 47,850 Section 8 Housing Choice Vouchers allocated by HUD. Each year, these vouchers provide assistance to thousands of income-eligible households. Through its own Subsidy Services Unit and/or via subcontracts with a network of Local Administrators, the program is delivered to extremely-low, very-low and low-income families in 50 of the State's 62 counties.

Compared to 2014, overall Housing Assistance Payment levels increased by \$3.5 million dollars. The higher payment levels in 2015 are the result of higher per unit costs in the areas. Although HCR's baseline allocation of Vouchers is to assist up to 47,850 families, approximately 5,400 Vouchers went unused each month due to insufficient Voucher budget authority appropriated by Congress to HUD for HCV renewals. While the program goal is to always assist as many families as possible, HCR must also be very judicious and not over spend allocated funding as budget amendments are not possible once annual funding has been allocated. HCR's Local Administrators maintain HCV wait lists which total approximately 40,600 families. Most local program wait lists are closed per the general HUD requirement that waiting lists serve people within a "reasonable period of time" (3-5 years).

5.2 Addressing Persons with Disabilities and Other Special Needs

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

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

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

Proposals to address the shelter needs of homeless persons, prevent very low-income persons from becoming homeless, and assist special needs persons are welcomed by the HOME program. Information about applications received in PY 2015 which included such activities is available upon request.

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Most Integrated Setting Coordinating Council (MISCC)

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

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

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

The NHTD Housing Subsidy is funded through an annual State appropriation of approximately \$2.3 million to the Department of Health (DOH) to be administered in partnership with DHCR. DHCR has been able to offer this housing opportunity in every county in the State by utilizing HCR Section 8 Local Administrators (LAs) under contract in 50 counties in conjunction with Section 8 PHAs in counties outside of HCR's Section 8 Jurisdiction. The NHTD Housing Subsidy is administered in a manner parallel to the Section 8/Housing Choice Voucher Program in coordination with the DOH Regional Resource Development Centers. In a historic partnership that evolved through the MISCC Housing Committee, DOH providers and HCR housing experts are working together in a new and innovative manner to transition and divert individuals from institutional settings. The program continued to grow in 2015, and as of January 1, 2015, a total of 512 households participate in the subsidy program. The program participants include a mix of those transitioning from nursing homes and being diverted from nursing home placement.

The Olmstead Plan Development and Implementation Cabinet

The August 2012 Executive Order #84 established the Olmstead Plan Development and Implementation Cabinet (the "Cabinet") to provide guidance and advice to the Governor. The Order identified the Commissioner of HCR as one of twelve State agency Cabinet members. In October of 2013, the Cabinet released the "Report and Recommendations of the Olmstead Cabinet".

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

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

NY/NYIII commits five New York State and five New York City agencies to develop a total of 9,000 supportive housing units within New York City over the next ten years. Supportive housing is defined as the pairing of rental assistance and supportive services in either a congregate building constructed or renovated for this purpose or in scattered-site apartments acquired for the purposes of housing. The target populations for housing developed under NY/NY III are individuals and families with serious mental illness, persons with disabling substance abuse disorders, persons with HIV/AIDS, medically frail and elderly persons, and young adults who have left the foster care system. All are chronically homeless or at risk of becoming chronically homeless. In Fiscal Year 14-15, awards were approved for two projects for a total of 215 supportive units. To date in FY 15-16, awards were made for three projects to 100 supportive units.

Developmental Disabilities Planning Council (DDPC)

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

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

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HCR participates on the Adult Issues Committee, which includes issues related to housing for adults with disabilities.

Access to Home Program

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

Under Access to Home, residential adaptations and modifications are made to enable persons with disabilities to remain or return to their own homes rather than enter or stay in more costly and more intrusive institutional settings. Providing assistance with the cost of adapting homes to meet the needs of those with disabilities enables individuals to safely and comfortably live in their residences and avoid institutional care. This assistance also allows individuals currently living in institutional settings to transition back to their homes once they are appropriately adapted. Grants are made to eligible not-for-profit entities with substantial experience in adapting or retrofitting homes for persons with disabilities. In Program Year 2015, \$900,000 in Access to Home awards were made to 6 organizations to provide assistance to individuals to address their accessibility needs, \$1,375,000 in Access to Home Medicaid awards were made to 10 organizations and \$1,600,000 in Access to Home Veterans awards were made to 12 organizations.

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 2015 Funding Round.

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

In the 2008 funding round, DHCR/HTFC included a scoring incentive which provided maximum points for applicants exceeding 5% of the total projects units as fully accessible, move-in ready for persons with a mobility impairment and 2% of the units as fully accessible, move-in ready for persons who have a hearing or vision impairment to 10% and 4% respectively. This scoring incentive continued through the 2015 Funding Round.

Medicaid Redesign Team

The Executive Budget continues the commitment to the Medicaid Redesign Team's efforts to reform the Medicaid system and reduce costs. In Fiscal Year 2013-14, awards were approved for three projects for a total of 250 supportive units. In Fiscal Year 2014-15, awards were approved for four projects for a total of 287 supportive units. To date in FY 15-16 awards were made for 13 projects to fund 494 supportive units.

5.3 Section 215 Housing Opportunities

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

Proposals to address the shelter needs of homeless persons, prevent very low-income persons from becoming homeless, and assist special needs persons are welcomed by the HOME program. Information about applications received in PY 2014 which included such activities, is available upon request.

5.4 Create More Affordable Units

HCR continued to expand its efforts to acquire additional financing for the development of affordable housing. Funding to support affordable housing initiatives has become increasingly constricted given the recent fiscal crises at both the state and federal level. Awards for development, rehabilitation, homebuyer assistance and tax credit programs have generated 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. However, beyond creating and preserving units, HCR also strives to make those units even more affordable to the most vulnerable residents of the state.

In 2015, HCR continued its contract to fund NYHousingSearch.gov. NYHousingSearch.gov is an affordable, accessible housing listing and locator service which provides free listing services for owners and free searching services for potential tenants. The directory search criteria can be performed by area, number of bedrooms and various other amenities.

NYHousingSearch.gov allows people to locate available housing that meets their individual and family needs at a rent they can afford. It can be accessed online 24-hours a day and is supported by a toll-free, bi-lingual call center Monday-Friday, 9am-8pm Eastern Time. The fast, easy-to-use free search allows people to 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's 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 a toll-free call center support.

6. Progress in Addressing the Needs of the Homeless

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

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

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

- Homeless Housing Assistance Program;
- New York State Supportive Housing Program;
- Operational Support for AIDS Housing Program;
- Family Shelter Program;
- Home Energy Assistance Program;
- Emergency Assistance Re-housing/Rent Supplement Program;
- Negotiated Rates Program;
- Emergency Shelter Allowance for Persons with AIDS;
- Emergency Needs for the Homeless Program; and

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. These funds along with New York State funds support the following:

- 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 re-housing 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.

7. 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.

7.1 Addressing Obstacles to Meeting Underserved Needs

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

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

In 2000, New York joined several other states in authorizing a State tax credit program on a demonstration basis to encourage mixed income development and increase the amount of equity available to affordable housing development throughout the state. Since then, the New York State Low-income Housing Tax Credit (SLIHC) program has received an annual authorization of credit authority, which now totals \$8 million per year and is made available for both 9% Low-Income Housing Credit Program (LIHC) projects and projects financed by tax-exempt bonds. SLIHC differs from the LIHC program in two significant ways: 1) it serves households with incomes of up to 90 percent of area median income, whereas LIHC serves households with incomes up to 60 percent of the area median income, and 2) it provides investors with relief from certain NYS tax liabilities. The SLIHC program facilitates an increased level of rental housing production by addressing the needs of a higher income band than is served by some of the State's other housing programs and allowing project sponsors to raise much-needed additional credit equity financing. One such 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 \$70 million in matching funds that is being carried forward to address underserved needs. The State of New York identifies underserved needs through its funding application process. One part of the allocation rates all proposals on the basis of statewide criteria, such as percent of households below the poverty level; a second asks applicants to demonstrate how the application is part of a strategy for meeting identified affordable housing and community needs.

Encouraging home ownership among long-term renters is a goal of the NYS CDBG program, which results in stabilization of the affordable housing stock and increases the welfare and safety of lower income families and neighborhood stability. In addition to working toward meeting the goals as outlined in the State's 2011-2015 Consolidated Plan, the NYS CDBG program is working toward achieving the overall objectives of New York State regarding housing goals. In the area of housing rehabilitation, standard and decent living conditions are created for a significant number of previously underserved households. Many of these households are occupied by the working poor or retirees on low, fixed incomes, and are not served by existing social services, senior services and other governmental programs. Likewise, public infrastructure projects funded through the NYS CDBG program bring clean drinking water and sewage treatment to many rural and village dwellers who previously had no public infrastructure, and often went years with failing private septic systems and wells that present real health hazards and require thousands of dollars to upgrade. Such projects often have a multiplier effect as the availability of public infrastructure attracts new businesses and spurs private housing development in existing population centers.

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

Developing Affordable Housing in Rural Areas

The Housing Trust Fund Corporation (HTFC), Division of Housing and Community Renewal (DHCR) and U.S. Department of Agriculture's New York Rural Development Office (RD) continue to collaborate on the development of rural multifamily housing projects. On a number of occasions in 2015 capital funds from HTFC's HOME or Housing Trust Fund Programs, DHCR's Low-

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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.

7.2 Fostering and Maintaining Affordable Housing

The HOME Program certifies Community Housing Development Organizations (CHDOs) to take on the risk of affordable housing development by requiring an ownership interest in the units they develop.

The HOME program is required by HUD to set aside 15% of the annual HOME allocation for investment only in housing to be owned by the CHDO during the development period. The HOME program requires that CHDOs maintain at least 1/3 of its board members for residents of the low income neighborhoods, other low income community residents or elected representatives of low income neighborhood organizations that reside in the community they serve. This local representation ensures that the community is involved in the decision making about the development of affordable housing. Certification is required that the organization meets the definition of community housing development organization and must document the organization has capacity to own, develop or sponsor housing each time it commits funds to the CHDO.

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.

7.3 Barriers to Affordable Housing

Some notable findings identified through the AI include:

- HCR allocated public funds in accordance with HUD's Communities of Opportunity model. This model aims to secure a balanced distribution of housing funds among RCAPs, and areas offering greater opportunities and advantages for families. This balanced approach ensures that HCR's investment of housing funds are not concentrated in such a way as to perpetuate segregation.
- HCR's mobility counseling program, in conjunction with the Family Self-Sufficiency (FSS) program, has helped hundreds of families relocate to areas offering better educational and economic opportunity.
- HCR's immense investment in affordable housing over recent decades has achieved positive results. For example, the median NYSEJ renter can still afford the median rent within the NYSEJ.
- Overall, in recent years, rental housing unit sizes in the NYSEJ have closely matched renters' needs relating to family size. Given that New York State invested \$140 million in multi-family housing in 2014 alone, this statistic shows HCR's programs are vital to maintaining balance in the State's housing market.

And following the completion of the AI, FEHO began to work with HCR's program staff, as well as the Policy and Executive teams, to prioritize the meaningful actions that New York may pursue to address each impediment identified through the AI. While not exhaustive of the meaningful actions that the New York may pursue in 2016, HCR began to evaluate and, as appropriate, expand the following initiatives that were undertaken throughout 2015:

- Incentivize mixed income family housing developments as a means of promoting the integration of neighborhoods;
- Continue and expand existing housing rehabilitation programs;
- Strike a balance between investments in areas with existing need and neighborhoods with higher opportunity as defined by this AI;
- Prioritize the development of mixed income family housing in both urban and rural parts of the State by utilizing region-appropriate incentives;
- Allocate CDBG funds for public facilities and infrastructure improvements in RCAP areas;
- Produce and ensure that educational initiatives and materials about an individual's rights as a member of a protected class are available, as warranted and practical—especially for those with special needs such as the elderly, persons

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- with physical and mental disabilities, and persons with limited English proficiency;
- Expand the Enhanced Section 8 Mobility Counseling Program and the Section 8 Family Self-Sufficiency Program;
- Offer incentives for landlords to invest in energy efficiency improvements as a means of decreasing cost burden for lower income renter households;
- Limit the extent to which HCR should provide funding to municipalities which have been adjudicated to have engaged in discriminatory zoning or other discriminatory practices; and
- Partner with NYSDHR and nonprofit fair housing groups to focus on increasing detection of unlawful housing discrimination and enforcement.

7.4 Filling Gaps in the Institutional Structure

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

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

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

HTFC partners with other (non-housing) federal, State and local agencies to co-fund projects, helping to stretch CDBG funds as well as those of cooperating agencies. Most notably, the CDBG funds for Economic Development, Public Infrastructure and Facilities are included in the State's Consolidated Funding Application (CFA) in an effort to encourage cooperative funding of priority projects. Examples include projects funded jointly with the Empire State Development Corporation, New York State Department of Agriculture and Markets, the Environmental Facilities Corporation, the USDA Rural Development Rural Utilities Service, the New York State Office of 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 2015, as significant progress was made to integrate energy conservation practices into HOME-funded rehabilitation programs. A number of sub-recipients in each region have established formal relationships with their local Weatherization providers to provide coordinated services to clients. In the 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.

HCR closely coordinates the WAP with the NYS Office of Temporary and Disability Assistance Low-Income Home Energy Assistance Program (HEAP). In 2015, systems were continued by the WAP network to target and prioritize HEAP households that have excessively high energy use and whose ratio of energy costs per monthly income is very high.

Administering Section 8 Rental Assistance

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

Housing Choice Vouchers

HCR has statewide responsibility for the administration of approximately 47,850 Section 8 Housing Choice Vouchers allocated

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by HUD. Each year, these vouchers provide assistance to thousands of income-eligible households. Through its own Subsidy Services Unit and/or via subcontracts with a network of Local Administrators, the program is delivered to extremely-low, very-low and low-income families in 50 of the State's 62 counties.

**TABLE 58
SECTION 8
HOUSING CHOICE VOUCHERS**

	NUMBER OF FAMILIES ASSISTED*	HOUSING ASSISTANCE PAYMENTS** [in Dollars]
TOTALS	40,817	\$ 397,661,618

*This is a monthly average computed by adding together each month's specific unit months of assistance and dividing that sum by twelve (12). The aggregate assistance for 2015 totaled 489,809 unit months.

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

Compared to 2014, overall Housing Assistance Payment levels increased by \$3.5 million dollars. The higher payment levels in 2015 are the result of higher per unit costs in the areas. Although HCR's baseline allocation of Vouchers is to assist up to 47,850 families, approximately 5,400 Vouchers went unused each month due to insufficient Voucher budget authority appropriated by Congress to HUD for HCV renewals. While the program goal is to always assist as many families as possible, HCR must also be very judicious and not over spend allocated funding as budget amendments are not possible once annual funding has been allocated. HCR's Local Administrators maintain HCV wait lists which total approximately 40,600 families. Most local program wait lists are closed per the general HUD requirement that waiting lists serve people within a "reasonable period of time" (3-5 years).

Section 8 Home Ownership Assistance

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

HCR has achieved full statewide implementation of the home ownership program option. Successful real estate closings have been realized in 43 out of 50 local program jurisdictions in which the program option is being offered. All programs continue to outreach to eligible participants and offer assistance in overcoming barriers to achieving home ownership.

Since home ownership activity commenced in 2000, 502 families have purchased homes utilizing ongoing Section 8 homeownership assistance payments or via the use of Family Self-Sufficiency escrow funds realized during their tenure as a Section 8 participant. As of December 2015, a total of \$ 2,284,339 in home ownership assistance payments was paid out over the year on behalf of participating families.

Statewide monthly average **home ownership** assistance payments (\$658) continue to be less than corresponding average **rental** assistance payments (\$813). With continued federal concerns focused on reducing Section 8 Voucher Program outlay, HUD will hopefully encourage public housing authorities to expand implementation of the Section 8 home ownership option.

Section 8 Family Self-Sufficiency Coordinators

The Family Self-Sufficiency (FSS) Program is an important component of the Section 8 Housing Choice Voucher Program. It encourages the development of local strategies to help assisted families obtain employment that will lead to economic independence and self-sufficiency. Public Housing Agencies (PHAs) work with welfare agencies, schools, businesses, and other local partners to develop a comprehensive program that gives participating FSS family members the skills and experience to enable them to obtain viable employment. HCR received \$1,214,539 in FSS Program funding in calendar year 2015. These funds allowed for the retention of local FSS Coordinators who provide important case management services to FSS participants.

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Section 8 Project-based Contract Administration

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

At the end of 2015, the assigned portfolio stands at 983 contracts covering 99,519 units which is a significant increase from the initial assignment in 2000 of 624 contracts covering 51,077 units. The average gross monthly Housing Assistance Payments for 2015 (prior to mortgage or other offsets) was approximately \$110 million.

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

- Conduct management and occupancy reviews (temporarily withdrawn from PBCA contract work scope).
- 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.
- Follow-up on results of physical inspections of Section 8 projects.

Since initiating PBCA activities in December 2000, HCR has engaged a private sector partner (PSP) to assist in the performance of the day-to-day responsibilities of contract administration. CGI-Federal is the current PSP and completed its 10th year in this capacity at the end of 2015.

HUD undertook a rebid process for the PBCA contract in both 2011 and 2012. HCR was selected to continue providing these services in New York State. Numerous entities filed protests with the Government Accountability Office against HUD's decision to issue a Notice of Funding Availability (NOFA) as the procurement mechanism for PBCA services. When HUD announced its decision to go ahead with contract awards, a number of entities filed lawsuits in the U.S. Court of Federal Claims to stop HUD's action. In April 2013, the U.S. Court of Federal Claims ruled in favor of HUD but the Plaintiffs filed an appeal in the U.S. Court of Appeals for the Federal Circuit. In March 2014, the Federal Court of Appeals ruled against HUD and ruled that HUD should use a procurement process instead of a NOFA to solicit applications for entities wishing to administer the PBCA contracts. In June 2014, Department of Justice (DOJ) filed a petition for a rehearing of the Court's decision which was subsequently denied in August 2014. In January 2015, the DOJ filed a Writ of Certiorari in the Supreme Court to review the Appeal Court's decision. In April 2015 the Supreme Court denied DOJ's request and HUD is currently reviewing its procurement options.

During this interim period of re-procurement, HUD has extended HCR's ACC to continue providing contract administration services to the HUD assigned Section 8 portfolio and amended the contract work scope to remove the performance of management and occupancy reviews for these properties. HCR continues to provide contract administration services on HUD's behalf to the 983 contracts covering 99,519 units of subsidized housing.

7.5 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:

- Fulton H.A. – Pathfinder Courts (Construction estimated to complete in 2017)
- North Hempstead H.A. – Pond View Homes (Construction estimated to complete in 2017)
- Rome HA – Liberty Apts. (Completed 2015)
- Auburn H.A. – Brogan Apts. (Completed 2015)

Public Housing Modernization Program

DHCR and HTFC continued to work with Housing Authorities to develop long-range plans and funding strategies for the repair,

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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 continue assistance with the identification of means for necessary financial and technical assistance.

Energy Conservation in Mitchell-Lama Housing & State Supervised Public Housing Authority Housing

HCR's Office of Housing Management remains involved in assisting Mitchell-Lama and State supervised housing authority 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 these affordable housing portfolios.

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. With the initial assistance from the Natural Resources Defense Council, energy consumption and existing heating plant data which are required to be submitted annually are now being reformatted to allow for automatic entry from the servicing utility company into a nationally recognized online platform. Through its Energy Benchmarking program, Housing Management can then track the portfolio's energy performance to identify those developments most in need of energy conservation measures, as well as good prospects to insert energy measures into anticipated refinancing/preservation programs.

7.6 Reducing the Hazards of Lead-Based Paint

Lead is among the most common environmental toxin for young children in NYS. New York State Department of Health (NYSDOH), in collaboration with its strategic partners including HCR, are continuing the positive trends toward achieving elimination of childhood lead poisoning in NYS. Although the number of cases of lead exposure has steadily declined, NYS continues to have the greatest number of cases of childhood lead poisoning in the nation. In 2012, there were 2,355 children under age six years diagnosed with lead poisoning (blood lead level-BLL \geq 10 microgram per/deciliter-mcg/dL) compared to 11,643 children in 1998. Over 75 percent of these children resided in the thirteen highest incidence counties (ordered from high to low): Erie, Kings, Queens, Oneida, Onondaga, Bronx, Monroe, Westchester, New York, Nassau, Albany, Orange and Chautauqua. New York's comprehensive lead poisoning elimination approach includes strategies to advance:

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

Over 90 percent of all lead-based paint used in housing is in pre-1950 housing. Forty three percent (3,300,000) of homes in New York State were built prior to 1950, over one million more than the next highest state. In 2012, 33 zip codes (2% of the approximately 1,800 non-New York City zip codes) accounted for 48 percent of all the children who were identified with elevated blood lead level (EBLL) in upstate NY. In addition, these 33 high-incidence zip codes have a substantially higher proportion of pre-1950 housing stock (58 percent) than elsewhere in the state.

No safe level of lead in the body has been identified. Prevention of exposure to lead is the best way to protect children but if an exposure to lead has occurred, taking action early to reduce the child's future exposure to lead is imperative. In January 2012, the Centers for Disease Control and Prevention (CDC) updated its guidelines for children's blood lead levels. A reference level of ≥ 5 $\mu\text{g}/\text{dL}$ (micrograms per deciliter) is used to identify children who require public health intervention. The CDC no longer uses the term "level of concern," following the long-standing research that permanent damage can occur even at low levels. The CDC estimates that there are 535,000 children that have this blood lead levels at or above this level. As of 2012, there were 11,772 children in NYS at or above this level.

Since 2007, the New York State Department of Health - Childhood Lead Poisoning Primary Prevention Program (CLPPPP) has authorized health departments to gain access to high risk homes for the purposes of education and inspection. This is a proactive strategy, unlike the 'secondary prevention' approach of accessing homes **after** children are already diagnosed with elevated blood lead levels. Housing based primary prevention involves taking action to prevent exposure to lead **before** harm is done by eliminating lead hazards in housing. The CLPPPP is a housing-based, grant funded primary prevention initiative

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targeting neighborhoods and housing most at risk for containing lead hazards. The program funds 15 local health departments, and focuses on areas with the highest incidence rates of lead exposure and childhood lead poisoning in the state. The individual programs develop and implement a housing inspection program that target high risk dwellings within these designated 'communities of concern'. Local health departments oversee the remediation and clearance of all identified lead hazards, ensuring proper certifications and lead safe work practices. Other significant program deliverables include the development of meaningful agency partnerships and community engagement, promotion of community housing-based interventions, development of a workforce with knowledge of safe work practices, and the identification, improvement and coordination of funding to support lead hazard control activities.

Since its inception in October 2007, over 23,000 children have been directly reached through the Primary Prevention Program through visits to their homes. Grantees continue to make steady progress toward housing inspection goals using a combination of inspection strategies. From October 2007 to March 2015 Primary Prevention Program Grantees have:

- Visited and inspected the interior of 37,731 housing units.
- Inspected 12,840 units with confirmed or potential interior lead-based paint hazards. (Potential interior lead hazards are those identified through visual assessment alone. Confirmed interior lead hazards are hazards identified through sampling or testing, such as XRF measurement, paint chip sampling, etc.)
- Made at least 9,703 units lead-safe through remediation of interior lead-based paint and lead-based paint dust hazards.

In September 2015, the annual CLPPPP Technical Assistance Gathering was held with all 15 County programs. Meeting topics focused on improvement activities, such as: lead hazard control—focus on windows, quality control and assurance, improving data quality and reporting, and hazard remediation compliance rates. The annual meeting is an opportunity for programs across the state to share best practices and successes, as well as common challenges. In 2015, five NYSDOH lead-related social media messages were drafted and posted on Facebook/Twitter. The New York State Department of Health Lead Poisoning Prevention webpage includes a full listing of educational materials and resources that are available to order. To preview materials and download the order form, visit http://www.health.ny.gov/environmental/lead/education_materials/index.htm.

Health Data NY provides user-friendly, one stop access to important health data for New Yorkers to support Governor Cuomo's OPEN NY initiative to provide data from New York State agencies, localities, and the federal government. There is lead poisoning incidence data available on Health Data NY at www.health.data.ny.gov. These datasets contains the number and rate of children that reside in each New York State zip code and county, excluding New York City (NYC), who were tested for lead and identified for the first time. Additional lead related information is available in New York City Health and Mental Hygiene publications on the NYC website at <http://www.nyc.gov/html/doh/html/environmental/lead-pubs.shtml>.

NYSDOH Healthy Neighborhoods Program (HNP) is a door-to-door outreach program in targeted high-need areas that provides residents with practical information and tools to reduce environmental hazards in their homes, including risks for lead-based paint exposure. The program operated in the following counties during calendar year 2014: Broome, Cayuga, Clinton, Cortland, Erie, Monroe, Oneida, Onondaga, Orange, Rockland, Schenectady, Tioga and Tompkins. Residents of the dwellings are interviewed to determine their individual needs and a room-by-room visual inspection is conducted to identify peeling paint, carbon monoxide hazards, asthma triggers and fire hazards. Smoke detectors are tested and batteries and/or a detector are provided when needed. In the 2014 period included in this report, a total of 11,505 dwelling units were approached by HNPs statewide and 4,664 (41%) households had a home assessment initiated; 2,452 (53%) of the dwellings visited had a minority respondent; 1,945 (42%) dwellings visited did not have a functional smoke alarm on floors with living space; 1,457 (31%) households had children younger than six years old. A total of 1,182 (25%) dwelling units had deteriorated paint. In terms of the HNP intervention, all families were educated on the dangers of lead paint, some referrals were made to the landlord, and others were referred for enforcement. Within 90 days, 4% of deteriorated paint conditions were corrected. HNP assesses whether each child has had a blood lead test and makes the appropriate referrals to ensure that all children have been tested. 1,205 homes or 26% of homes visited in upstate New York contained someone with asthma. Finally, in cooperation with the Bureau of Environmental Radiation Protection, HNP provided 250 radon test kits through a federal Environmental Protection Agency (EPA) grant to homes in low socio-economic status (SES) areas that request one.

7.7 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

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persons at the poverty level.

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

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

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

Reducing Energy Costs

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

Weatherization Assistance Program (WAP)

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

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

7.8 Ensuring Compliance and Monitoring

DHCR, HTFC and OTDA are individually responsible for ensuring compliance in the programs they administer. During 2014, each agency implemented the monitoring plan that was outlined in the 2014 Annual Action Plan.

7.8.1 HOME Program Monitoring

HCR conducted 204 desk monitoring events for sub-recipients and State recipients with open contracts in 2015. The results of on-site inspections are reported in Section 7.2.4. The contractual agreement requires grantees to submit quarterly reports, describe a project's progress during the year through a detailed narrative describing contract activities and the results achieved.

7.8.2 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

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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. Monitoring visits for all housing services programs (including both HOPWA and ESGP/STEHP) administered by the Bureau of Housing and Support Services (BHSS) take place regularly using the pooled staff resources of the BHSS Unit. At a minimum, each multi-year contract is monitored at least once during the life of the contract.

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

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

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7.8.4 ESGP Monitoring

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

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

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

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

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

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

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

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

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

8. Program-Specific Requirements

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

8.1 CDBG Program Requirements

8.1.1 Relationship of Expenditure to Performance Measurements

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

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

HTFC reports that recipients are well on their way to accomplishing the goals predicted in their individual grant applications. In PY 2015, a total of 485 units of housing were rehabilitated through projects awarded under the competitive round.

DH-2 – Increasing the Affordability of Decent Housing

Through funding for home ownership activities, the NYS CDBG program is on track to meet the goal of 575 low- and moderate-income homebuyers as outlined in the 2011-2015 Consolidated Plan. In PY 2015, 99 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 2015, a total of 1,367 FT and 86 PT jobs were created and/or retained, and 44 businesses were assisted either through economic development funding, microenterprise, small business initiatives or façade assistance. With the job creation/retention activities at its current levels, the NYS CDBG program will meet its goal of 5,000 jobs and 150 businesses assisted as outlined in the 2011-2015 Consolidated Plan.

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

SL-3 – Improving the Sustainability of Suitable Living Environments

During the 2011-2015 Consolidated Plan period, it is estimated that the construction of 125 public facility projects will receive assistance from the NYS CDBG program. In PY 2015, projects were completed that involved public facilities activities that benefited 20,916 persons.

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.

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.

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

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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.

8.1.2 Amendments and Other Program Changes

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

8.1.3 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 2015, the State of New York issued Certificates of Consistency to:

	Public Housing Authorities (PHAs)
1	City of Oneida Housing Authority
1	Plattsburgh Housing Authority
1	Village of Tupper Lake HA
1	Massena Housing Authority
1	Watervliet Housing Authority
1	Little Falls Housing Authority
1	Village of Fort Plain
1	Village of Scotia
1	Village of Waterford
1	Cohoes Housing Authority
1	Watervliet Housing Authority
1	Town of Schodack
1	Town of Niskayuna
1	Town of Nassau
1	Town of Duanesburg
1	Town of Coeymans
1	Village of Corinth
1	Village of Ballston Spa
1	Village of Manlius
1	Jay Housing Agency
1	Village of Green Island
1	Village of Cobleskill
1	State of New York
5	North Country Behavioral Healthcare Network
5	CARES, Inc.
12	Southern Tier Entry to Programs & Services
1	Chautauqua Opportunities, Inc.
1	Westchester County Department of Community Mental Health
2	MV Housing and Homeless Coalition
1	PathStone Corporation
1	Cattaraugus County
1	Oneida Housing Authority
1	Cortland Housing Authority
53	TOTAL

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	Consortium Certifications
1	City of Schenectady
1	County of Dutchess and City of Poughkeepsie
2	TOTAL

8.1.4 National Objective Failures

None were identified.

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

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

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

8.1.6 Low/Mod: Jobs and Limited Clientele Activities

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

Under the economic development category, microenterprise assistance may be provided to microenterprise businesses where the business owner qualifies as a low- and moderate-income business owner (limited clientele microenterprise). Applicants proposing projects that meet this criterion must retain evidence that demonstrates that a business owner's family income does 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 2015 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.

8.1.7 Rehabilitation Accomplishments and Expenditures

The 2015 Action Plan had estimated that 628 housing units would be rehabilitated in PY 2015. For the period January 1, 2015 - December 31, 2015, 485 units of housing were fully rehabilitated which is slightly less than the goals projected.

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A fair estimate of the average cost required to bring a substandard unit into standard condition is \$20,414.

8.1.8 Community Revitalization Strategy Areas (CRSA)

No CRSAs were approved during 2015.

8.2 HOME Program Requirements

8.2.1 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.

8.2.2 2015 HOME Matching Funds

Match contributions reported in Table 59 are based on the federal fiscal year that began October 1, 2015 and ended September 30, 2015 pursuant to HOME statute and HUD guidance. Match contributions are provided by Housing Trust Fund grants, for projects that qualify as affordable housing pursuant to Section 215 of the National Affordable Housing Act.

TABLE 59
2014 HOME PROGRAM
MATCHING FUNDS
[In Dollars]

EXCESS MATCH (previous year)	MATCH CONTRIBUTION	MATCH LIABILITY	EXCESS MATCH CARRYOVER
\$70,207,119	\$8,653,191	\$2,789,406	\$76,070,904

8.2.3 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 Capital Bureau monitors compliance during the affordability period. DHCR's Asset Management Local Program Unit monitors smaller rental projects.

During the period of January 1, 2015 through December 31, 2015, DHCR's NYS HOME Local Program Asset Management Unit evaluated 2 rental rehabilitation programs, consisting of 7 units. The NYS Capital Projects Asset Management Unit conducted on-site inspections of 143 HOME-assisted projects (containing a total of 4,570 units). Compliance monitoring of a project that is in service consists of a physical inspection of the property, an analysis of administrative operations and a review of tenant eligibility for a minimum of 20% of assisted units. Regulatory requirements on both the State and federal level are covered, with particular emphasis on Sections 92.508 and 92.351 of the Final HOME Rule.

8.3 ESG Program Requirements

ESGP 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 ESGP funds is discussed in Section 8.3. The self-evaluation is contained in Section 2.5.

8.4 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.

9. Leveraging Resources

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

9.1 Leveraging of NYS CDBG Program Funds

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

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

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

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

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

9.2 Leveraging of HOME Funds

9.2.1 2015 HOME Matching Funds

Match contributions reported in Table 61 are based on the federal fiscal year that began October 1, 2015 and ended September 30, 2015, pursuant to HOME statute and HUD guidance. Match contributions are provided by Housing Trust Fund grants, for projects that qualify as affordable housing pursuant to Section 215 of the National Affordable Housing Act.

**TABLE 61
2015 HOME PROGRAM
MATCHING FUNDS
[In Dollars]**

EXCESS MATCH (previous year)	MATCH CONTRIBUTION	MATCH LIABILITY	EXCESS MATCH CARRYOVER
\$70,207,119	\$8,653,191	\$2,789,406	\$76,070,904

9.2.2 2015 HOME Program Income

All program income generated by Local Program Administrators must be returned to the HTFC for reallocation according to the State's Action Plan.

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9.3 Leveraging of Funds for ESGP

The Emergency Solutions Grants Program requires a one hundred percent (100%) match by non-McKinney funds. STEHP awards, including ESG Westchester, were funded with \$5,574,364 in ESGP funds and \$10,237,494 in New York State funds for a total of \$15,811,858 dedicated to programming. With these State funds, New York State provided a large portion of the match. Grantees were also required to provide a twenty five percent (25%) match to their award. Table 62 describes the contractors' contributions.

TABLE 62
2015 STEHP PROGRAM
MATCHING FUNDS
[In Dollars]

PROJECT	OTHER FEDERAL	LOCAL GOVERNMENT	PRIVATE	TOTAL
Addictions Care Center of Albany	0	50,159	0	50,159
Albany County DSS	0	328	34,654	34,982
Bethesda House	0	8,601	46,337	54,938
Black Veterans for Social Justice	15,000	10,758	0	25,758
BronxWorks	0	236,572	0	236,572
Brooklyn Community Housing Services	0	0	77,457	77,457
CAMBA	0	236,750	0	236,750
CAPTAIN Youth and Family Services, Inc.	0	0	77,438	77,438
Catholic Charities Archdiocese of New York	0	0	197,565	197,565
Catholic Charities of Chemung/Schuylar	0	77,350	0	77,350
Catholic Charities of Onondaga	0	48,807	0	48,807
Cattaraugus Community Action	0	77,457	0	77,457
Cayuga County DSS	0	18,319	0	18,319
Chances and Changes	0	0	14,844	14,844
Chautauqua Opportunities	0	0	77,457	77,457
CLUSTER	0	36,250	0	36,250
Coalition for the Homeless	0	0	76,242	76,242
Compass House	0	37,500	0	37,500
Community Action of Greene County	0	16,074	0	16,074
Community Action Program Madison County	0	77,438	0	77,438
Delaware Opportunities	27,087	0	10,494	37,581
Domestic Violence and Rape Crisis Services of Saratoga County	0	0	12,999	12,999
East Harlem Neighborhood Based Alliance	0	0	37,500	37,500
Equinox, Inc.	0	20,027	0	20,027
ETC Housing Corporation	0	32,457	0	32,457
HAC	0	0	18,469	18,469
HATAS	0	36,030	0	36,030
Henry Street Settlement	0	77,438	0	77,438
HOPE Community Services	0	39,221	0	39,221
HONOR ehg (A Friend's House)	0	20,475	0	20,475
Hudson River Housing, Inc.	0	77,457	0	77,457
Interfaith Partnership for the Homeless, Inc.	0	77,457	0	77,457
Jefferson County DSS	0	77,457	0	77,457
Joseph's House & Shelter, Inc.	0	27,771	0	27,771
Legal Aid Society of Northeastern NY	0	0	50,198	50,198
Legal Assistance of Western NY	6,328	0	27,880	34,208
Legal Services of the Hudson Valley	0	77,457	0	77,457
Lenox Hill Neighborhood House		7,500	30,000	37,500
Massena Independent Living Center	0	19,427	50,886	70,313

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Nassau Suffolk Law Services	0	33,790	0	33,790
Neighborhood Association for Intercultural Affairs	0	192,587	0	192,587
Opportunities for Otsego	0	73,199	0	73,199
Orange County Safe Homes	0	15,000	0	15,000
Oswego County Opportunities	0	77,457	0	77,457
Polish Community Center of Buffalo	0	32,438	0	32,438
Palladia	0	47,116	0	47,116
Ridgewood Bushwick Senior Citizens Council	0	77,438	0	77,438
Queens Community House	0	73,323	0	73,323
SAFE, Inc.	0	9,375	0	9,375
Saving Grace Ministries	15,000	14,063	0	29,063
Schenectady Community Action Program	30,121	0	20,692	50,813
Snow Belt Housing	0	0	13,099	13,099
Spiritus Christi Prison Outreach, Inc.	0	8,165	0	8,165
St. Christopher's Inn	0	0	75,962	75,962
St. Paul's Center	0	9,667	0	9,667
Steuben County DSS	0	47,014	8,891	55,905
The Fortune Society	0	0	30,000	30,000
The Guidance Center of Westchester	24,705	13,465	0	38,170
The Guidance Center of Westchester	24,705	7,517	0	32,222
The Salvation Army - Rochester	0	61,965	0	61,965
The Salvation Army - Syracuse	975	1,000	13,517	15,492
Tompkins County DSS	0	65,866	0	65,866
Unity House of Troy, Inc.	0	0	77,457	77,457
Volunteers of America of WNY, Inc. - Binghamton	0	20,703	0	20,703
Volunteers of America of WNY, Inc. - Rochester	0	25,437	0	25,437
Westhab, Inc.	0	47,971	0	47,971
YWCA of Binghamton	0	28,640	0	28,640
YWCA of Greater Capital Region	0	0	32,959	32,959
YWCA of Jamestown	0	0	8,375	8,375
YWCA of Niagara, Inc.	0	10,313	0	10,313
YWCA of Rochester	0	43,584	0	43,584
TOTALS	143,921	2,559,630	1,121,372	3,824,923

9.4 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.

For SFY 2015-16, HHAP received an allocation of \$63 million in State capital 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 2014-15, \$964,500,000 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 \$140 million for the development of 2,557 units of

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housing for families and individuals living with HIV related illness and/or AIDS. In addition, beginning in SFY 2012-13, HHAC has received additional allocations totaling \$47,591,000 from the Medicaid Redesign Team (MRT) initiative from NYS Governor Andrew Cuomo to develop permanent supported housing for homeless individuals who are high-cost Medicaid users. To date, all funds have been awarded under the MRT initiative for the development of 768 units.

9.5 Other Leveraging

The Low-Income Housing Credit (LIHC) Program is used to finance the construction, rehabilitation and/or 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 financing and subsidies.

The Low-Income Housing Credit Program is administered by New York State as set forth under Section 42 of the Internal Revenue Code (IRC). Pursuant to the IRC, New York State provides LIHC financing to projects that serve low income tenants that promote community revitalization, among other federal selection criteria and State priorities and preferences cited below. LIHC-assisted projects are regulated for a mandatory minimum term of 50 years from project completion.

Additional state goals for use of the low-income housing credit include but are not limited to housing opportunity projects, workforce housing, supportive housing for persons with special needs, disaster-relief, transit-oriented development, mixed income-mixed use, projects that will result in Medicaid savings and projects promoting the preservation of existing affordable housing .

Applications for LIHC are also reviewed, scored and ranked to the extent the proposed projects:

- Address unmet housing demand within the community.
- Are part of a comprehensive community revitalization plan.
- Leverage other financing and are efficient in their utilization of the LIHC allocation per unit made to the project.
- Demonstrate cost effectiveness.
- Encourage the development of “housing opportunity projects,” that is, affordable housing in areas outside of qualified census tracts (which have relatively high poverty rates), which demonstrate access to public transportation, high performing schools and/or low rates of crime.
- Utilize Green Building measures to encourage sustainable development.
- Provide full accessible units for persons with mobility or other physical impairments, including vision and hearing 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).
- Include the participation of non-profit organizations.
- Have obtained financing commitments and otherwise demonstrated readiness to proceed to construction start and completion.
- Extend a preference in tenant selection to persons on existing waiting lists for public housing or other affordable housing.
- Serve individuals with children.
- Promote mixed income development.
- Promote the participation of Minority and Women-Owned Business Enterprises in the development, construction and ongoing management of LIHC-financed developments.
- Promote the preservation of historic buildings.
- Serve households that include persons with special needs, including the provision of supportive services.
- Will be developed and managed by entities that have a proven LIHC track record.

The IRC requires that all states promulgate a Qualified Allocation Plan (QAP), which serves as the regulations for the administration of the Low-Income Housing Credit Program. HCR’s QAP outlines:

- Threshold eligibility and project selection criteria (as cited above) designed to meet housing needs and agency priorities throughout the State using a competitive funding round to address the demand for LIHC;

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- The parameters for DHCR to fully allocate its annual housing credit ceiling (based on state population), 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;
- DHCR's key underwriting guidelines, which ensure that any project receives only the amount of credit required to make a project feasible;
- DHCR's application, allocation and compliance monitoring fees; and,
- Parameters for the compliance monitoring of completed projects.

10. Public Notice and Citizens Comments

10.1 Public Notice

In accordance with the New York State Citizen Participation Plan, the 2015 Performance Report as Published for Public Comment was subject to a public comment period that ran from February 17, 2016 through March 1, 2016. A notice announcing the availability of the Report appeared in a variety of newspapers with statewide circulation. The Report is also on HCR's web site at www.nyshcr.org.

10.2 Citizen Comments on the Draft 2015 CAPER

*To be added