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PRELIMINARY MAYOR'S MANAGEMENT REPORT

January 2021

The City of New York
Mayor Bill de Blasio

Dean Fuleihan
First Deputy Mayor

Jeff Thamkittikasem, Director
Mayor's Office of Operations

NYC



Front Cover: City Life in Downtown Manhattan on Wednesday, March 25, 2020.
Back Cover: Chinatown. July 21, 2020.
Ed Reed/Mayoral Photography Office.

The background of the page is a dark blue color with a large, faint, light blue watermark of the Seal of the City of New York. The seal features an eagle with wings spread, perched on a globe, with a shield on its chest. Below the eagle are two figures: a Native American on the left and a European on the right. The seal is encircled by a laurel wreath and the Latin motto "SIGILLUM CIVITATIS NOVI EBORACI" and the date "1625".

Mayor's Management Report

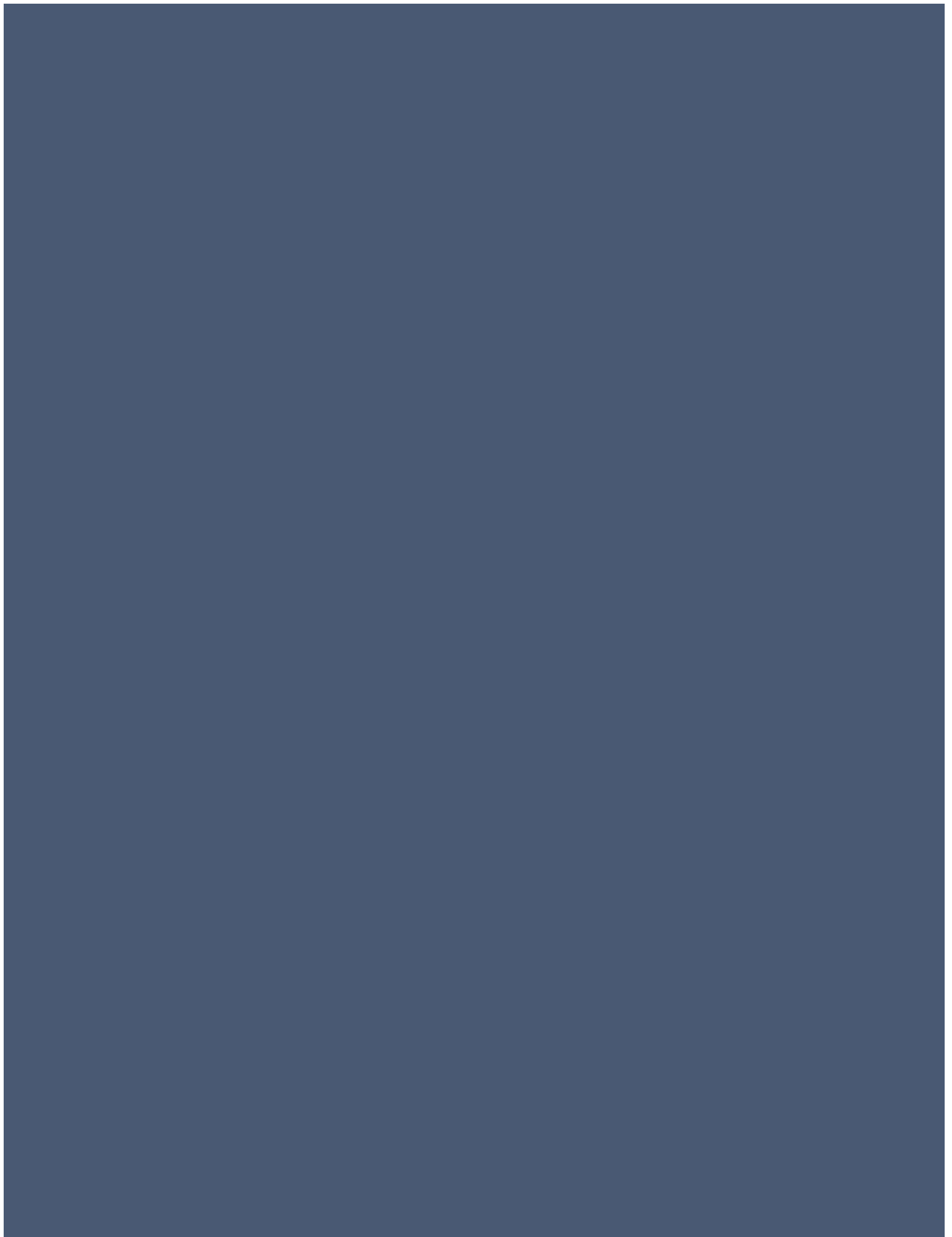
Preliminary Fiscal 2021

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MESSAGE FROM THE DIRECTOR

The COVID-19 pandemic has impacted and disrupted the city's normal operations – not to mention the daily lives of New Yorkers -- but, at the same time, it has also necessitated innovative, immediate efforts to rapidly respond and address the pandemic. This year, the Preliminary Mayor's Management Report (PMMR) hopes to highlight some of that response, as well as documenting the performance of the city, and its agencies, during these times. While the PMMR is full of important data and metrics, it cannot fully capture the efforts of the heroic, resilient efforts of New Yorkers to adapt to, respond to, and begin to reopen in the face of COVID-19. In accordance with the City Charter, this report covers the first four month of the fiscal year, from July 1 2020 to October 31 2020. Since then, we've seen a resurgence in cases, but we also have begun vaccinations citywide. This report will primarily focus on the state of the city during the reporting period, but will allow for additional context from November to January as is needed to provide accurate information.

The PMMR is an annual report produced by the Mayor's Office of Operations that ultimately helps City agencies, offices, advocates, and the public better understand how New York City is performing. The report was first produced by the Mayor's Office in 1977 as a part of the City's response to the fiscal crisis, to highlight the impacts on performance in a challenging budget environment. And now, as we respond to COVID-19 and navigate a difficult budget landscape during this fiscal year and in our future budgets, this report remains an important tool for accountability and management across the City. The PMMR includes both quantitative metrics and qualitative explanations that show how each City agency and related projects are doing and allows for year-over-year comparisons to show where progress has been made, where more attention is needed, and where there are opportunities for improvement, especially with limited resources.

New York City is one of the most complex and expansive municipalities in the world, with dozens of agencies and offices, and more than 350,000 employees – all in service of New York City's 8.6 million residents. While each agency measures its progress across different metrics to meet their missions, we all share the goal of maximizing City resources to provide excellent services to each resident and to advance equity for all New Yorkers. This report is always an opportunity for us to take stock of where we are, hold ourselves accountable, and to continue to make informed management decisions about how to further improve our city's efforts. It serves as an effort to provide data-driven context for the City's broader and values-driven goals. The PMMR is especially important this year as we continue to fight and recover from the COVID-19 pandemic. The report shows the impacts the COVID-19 pandemic have had on government operations and highlights many of the efforts agencies took to continue to deliver high quality service focusing on the safety of New Yorkers.

Furthermore, the "Focus on Equity" statements at the beginning of each PMMR chapter highlight agency's work in addressing racial and other social justice inequities over the years. Following the protest activity and important calls for racial justice, as well as the outcomes of the City's Racial Inclusion and Equity Task Force, these sections remain even more important now to show how each agency continues to do its part and will prioritize this work in years to come.

Thank you to the staff at the Mayor's Office of Operations and across City agencies for making this important report possible during this challenging time.

Jeff Thamkittikasem
Director, Mayor's Office of Operations

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INTRODUCTION

PRELIMINARY MAYOR'S MANAGEMENT REPORT

As mandated by Section 12 of the New York City Charter, the Mayor reports to the public and the City Council twice yearly on the performance of municipal agencies in delivering services. The Preliminary Mayor's Management Report (PMMR) covers performance for the first four months of the fiscal year, from July through October. The annual Mayor's Management Report (MMR) covers the 12-month fiscal year period, from July through June. The Charter provisions governing the submission of the PMMR/MMR can be viewed on the Mayor's Office of Operations' website at www.nyc.gov/mmr.

The PMMR and MMR cover the operations of City agencies that report directly to the Mayor. Three additional non-Mayoral agencies are included, for a total of 45 agencies and organizations. Activities that have direct impact on New Yorkers—including the provision of support services to other agencies—are the focus of the report. A set of services is listed at the beginning of each agency chapter. Within each service area, goals articulate the agency's aspirations. The services and goals were developed through collaboration between the Mayor's Office of Operations and the senior leadership of each agency.

The "Performance Indicators" tables contain the following information for the measurements of each agency's goals:

1. In the PMMR, results are shown for the first four months of the current and preceding fiscal years, in addition to three previous full fiscal years. In the MMR, the most recent five full fiscal years of data are presented.
2. A star designation (★) showing which indicators are deemed critical.
3. Numeric targets, if appropriate, allowing for the comparison of actual performance against these projected levels of service. Targets for the next year are set initially in the PMMR based on the City's preliminary budget and are later updated in the MMR, if necessary, based on the adopted budget or revised performance expectations.

Because resources affect an agency's ability to perform, the PMMR and MMR also present, for each agency, an overview of resources used and resources projected for use including personnel, overtime, expenditures, revenues and capital commitments. Additionally, spending and budget information are provided by budgetary unit of appropriation, and, where possible, are shown in relationship to an agency's goals.

Each agency chapter also contains information regarding how well the agency is serving its customers including timeliness in responding to e-mail, letters and service requests made through the City's 311 Customer Service Center.

At the end of each chapter there is a "Noteworthy Changes, Additions or Deletions" section where important changes are noted, including updates and corrections to information presented in previous reports.

"Additional Resources" provides the full Internet addresses of links to additional agency information and statistics, including the agency's website.

A User's Guide identifies and describes each component of an agency's chapter.

The PMMR/MMR is available in an interactive web version and in the form of a printable book. Both versions can be viewed at www.nyc.gov/mmr.

Also available at www.nyc.gov/mmr:

1. Definitions for each agency performance indicator including the data source.
2. An archive of previously released reports from Fiscal 2019 to Fiscal 1997.

PMMR/MMR data for performance indicators and resource indicators can also be found on NYC Open Data (<https://opendata.cityofnewyork.us/>).

Community-level information for selected performance measures in the MMR, disaggregated by local service district (community district, police precinct or school district), is available through the "Mapping" tab of the Citywide Performance Reporting (CPR) website at: <https://www1.nyc.gov/site/cpr/mapping/performance-mapping-report.page>.

Additionally in CPR, users can select data for any month from Fiscal 2003, where available, to the current fiscal year. CPR allows users to see long-term trends for the entire period selected. Further, CPR is updated every month on the first day of the month, making indicators available more frequently than the twice-yearly PMMR/MMR cycle. Visit the CPR website at www.nyc.gov/cpr (<https://www1.nyc.gov/site/cpr/agency-performance/agency-performance-reports.page>).



Collaborating to Deliver Results



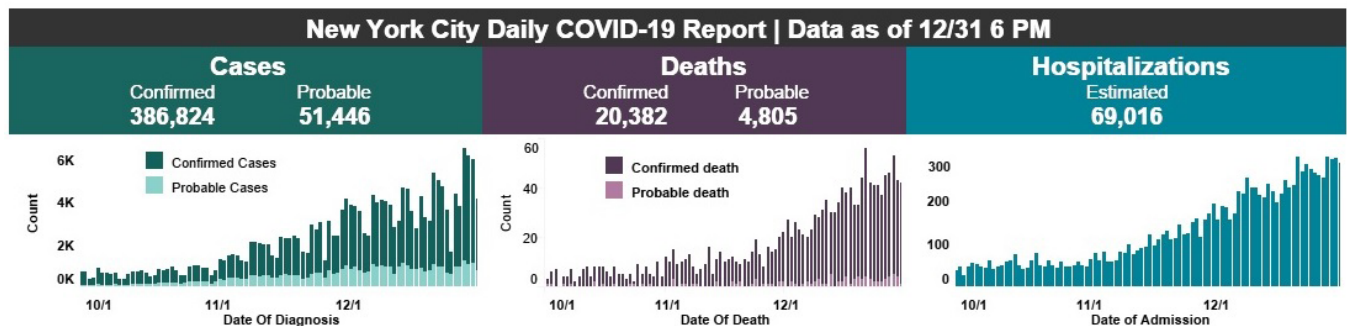
COVID-19 RESPONSE & RECOVERY

From the beginning of the coronavirus crisis, New York City made a decision to focus on the science and to have a data-driven response. The City monitored the evolving science around COVID-19 to implement and continuously expand proven methods for combatting the disease. These methods, put in place throughout the city, included social distancing, testing, and contact tracing—and eventually, vaccination.

COVID-19 transmission rates dropped to their lowest levels since the start of the public health emergency by the summer and New York City started re-opening non-essential businesses in a series of phases from June through August of 2020. The NYC Open Restaurants program transformed our streetscape starting at the end of June. Schools also re-opened and started in-person instruction on September 30. In October, New York State localized zone restrictions took effect, and certain neighborhoods with high test positivity of COVID-19 faced additional restrictions. This increase in cases, testing positivity, and localized zone restrictions has continued past October into January 2021. In December 2020, the first doses of the COVID-19 vaccine were administered.

The Taskforce on Racial Inclusion & Equity (TRIE) has continued to be on the forefront of the City's fair recovery. TRIE has engaged the communities hardest-hit by COVID-19 to meet the immediate needs to those neighborhoods and shape long-term strategies so they come back stronger.

This chapter provides a summary of the City's COVID-19 response through the PMMR reporting period of July 1, 2020 through October 31, 2020. It cannot fully capture the rapid and complex nature of the efforts, but it lays out key aspects of the City's response during this time.



FRONT LINE HEALTH RESPONSE

In July, August, and September, as COVID-19 began resurging around the world, New York City began to see local COVID-19 clusters, while the City continued to reopen. During this time, the City implemented a hyperlocal approach to respond to areas of the City that had increasing positivity rates, offering education, testing and wrap-around services. Beginning in October, with vaccine development underway, the city's milestones eventually indicated a second resurgence of COVID-19 citywide, leading into the colder months.

The City provided coronavirus resources in multiple languages, including through the COVID Call Line. This call center fielded just under 28,000 calls, with over 5,600 orders of isolation and quarantine through October.

Following the unprecedented response required last spring in dealing with excess mortality in the City due to COVID-19, the Office of the City Medical Examiner (OCME) has maintained much of its expanded forensic operations. OCME was able to handle the sharply increased demands placed on it by establishing a full-scale disaster mortuary as well as a long-term decedent storage facility at the South Brooklyn Marine Terminal (SBMT) near 39th Street in Brooklyn. As part of its public health role, OCME has expanded postmortem COVID-19 testing beyond deaths falling strictly under the Medical Examiner jurisdiction to include natural deaths that occurred at home of individuals with respiratory illness history. Data from this expanded testing directly informs both City and state public health officials in their work on COVID-19 deaths and viral respiratory disease epidemiology.

To help ensure New York City can meet its current and future testing demand, the New York City Economic Development Corporation (NYCEDC), in collaboration with NYC Health + Hospitals (H+H), led the process of launching the Pandemic Response Lab (PRL), located in the Alexandria Center for Life Science in Manhattan, to process COVID-19 tests in 24 to 48 hours. The PRL, which began operations in September, has capacity to process up to 30,000 tests a day, increasing the City's ability to conduct timely and effective contact tracing while also providing 150 jobs for New Yorkers.

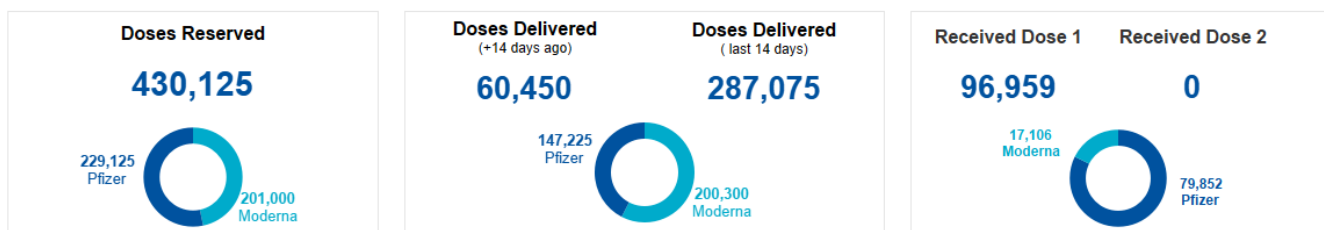
NYCEDC has also taken several important steps to contribute to the City's long-term recovery. They include laying the groundwork for the launch of a new Pandemic Response Institute (PRI), which was created to prepare for future health emergencies and to position the City as a global leader in research, innovation, and pandemic response. In addition, NYCEDC has continued supplying medical equipment for the City's stockpile with the procurement and delivery of approximately 900,000 test kits, 550,000 gowns, 3.7 million face shields, and 1,670 ventilators between July 1 and October 31. The Department of Citywide Administrative Services (DCAS) also contributed over \$1 billion worth of items to keep New Yorkers safe. In Fiscal 2021, the DCAS Central Storehouse has distributed \$54.489 million in COVID-specific items to medical facility, City agencies, and other public entities. This includes \$9.4 million in disposable face masks, \$4.7 million in thermometers, and \$37.6 million in KN95 masks.

From March through August, the City's Health Surge Staffing Team sourced over 1,700 contracted clinicians staff to 45 of the City' healthcare facilities as direct relief for the COVID-19 surge. This included seven hospitals and 38 long-term care facilities. To mitigate future staffing shortages, in July New York City Emergency Management (NYCEM) established a Group Purchasing Organization (GPO) which allows healthcare facilities to develop surge staffing contracts. The GPO uses predefined rates to prevent inflation during a future surge and allows facilities to manage their own contracts through direct relationships with the vendors.

COVID-19 Vaccine Tracker

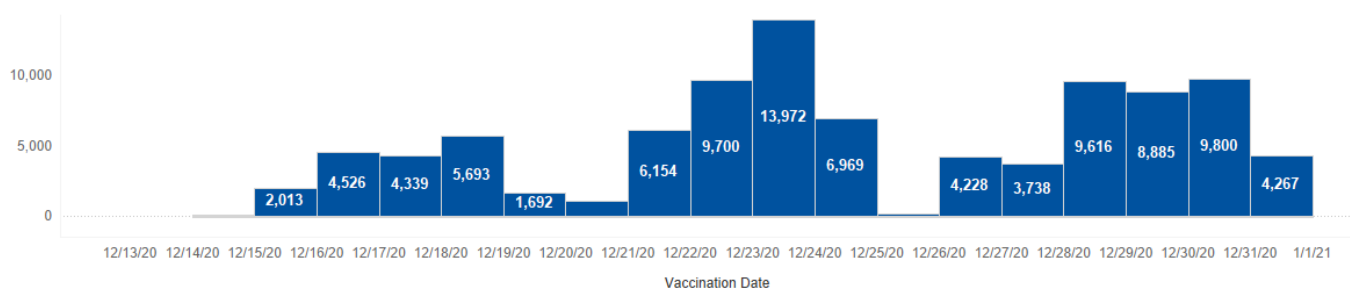
DOHMH/2020 Novel Coronavirus Response (COVID-19)
Data source: Citywide Immunization Registry, Bureau of Immunization

Data as of 5:00 PM
12/31/2020



POPULATION VACCINATED

Select Indicator:
Daily trends



In preparation for vaccine distribution, the NYC Department of Health and Mental Hygiene (DOHMH) developed an equity strategy to guide the agency's planning and implementation to reduce population differences in COVID-19 mortality and serious morbidity. The strategy aims to address mistrust, misinformation, and concerns about vaccine safety, and will promote transparency. In addition, DOHMH developed city health recommendations for prioritizing essential workers based on risk. DOHMH also coordinated vaccine planning discussions between healthcare partners including hospitals, Federally Qualified Health Centers, home health providers, Fire Department (FDNY), and OCME to establish plans for vaccinating staff in advance of a Food and Drug Administration-authorized COVID-19 vaccine.

After the conclusion of the reporting period, the first shipments of a COVID-19 vaccine, authorized for emergency use by the FDA arrived in New York City. The first dose of vaccine was administered on December 14 to a healthcare worker. As of the end of December 96,959 doses have been administered. As of this publication, several groups are eligible for a vaccine including, but not limited to, health care workers, teachers, fire service members, childcare workers, and individuals over 65.

TEST AND TRACE

The NYC Test & Trace Corps is a public health initiative to fight the threat of COVID-19. The Corps is a group of doctors, public health professionals and community advocates working to reverse the COVID-19 outbreak and protect our city. The public health program is led by H+H in close collaboration with DOHMH and other city agencies. Through its robust and citywide partnerships, The Corps helps New Yorkers receive free, safe and confidential testing for COVID-19 and for the antibody test. It ensures that anyone with the virus receives care, and can safely isolate to prevent the spread.

On June 1, the Trace Program was launched as one of the major pillars of the New York City Test & Trace Corps, with the goal of slowing the spread of COVID-19 by interrupting the chains of transmission. Since then, the City has carried out one of the largest contact tracing efforts in modern history, using a force that is now comprised of over 4,000 contact tracers. Each day, contact tracers work to identify cases (people known or presumed to have COVID-19), trace their contacts (people they were in contact with who might have been exposed to COVID-19), recommend isolation or quarantine, and assist with the provision of resources. In addition, contact tracers provide education, monitor cases and contacts daily, support individuals in isolation or quarantine by evaluating their needs for supportive services, and let them know when they can leave isolation or quarantine.

The Trace Program constantly evolves as the pandemic evolves. Examples of its evolution include the City's special contact tracing efforts (e.g., accelerated contact tracing, community engagement, information gathering, home specimen collection, and the investigation of facility exposures) and new contact tracing tools (e.g., the Validate My Tracer tool, which helps to verify the identity of a tracer to reduce the risk of scams, and the COVID Alert NY Proximity App). The contact tracers, speaking more than 40 languages, represent and build trust among the communities they serve. The Trace Program is voluntary, and a high number of New Yorkers have chosen to participate as a result of their interactions with the contact tracers. As of December 31, 88.1% of all cases have been reached (224,352 of 254,601); 75.9% of all cases (193,356 of 254,601) and 62.8% of all contacts (177,368 of 282,405) have completed intakes; and 96% of cases and 94% of contacts report having not left their homes since the last time they spoke with a contact tracer.

Through the Take Care initiative, NYC Test & Trace Corps ensures that anyone who tests positive for COVID-19 and their close contacts have the resources needed to safely separate in a hotel, free of charge, or at home, to help prevent the spread of the virus. From June through December there have been 113,000 Resource Navigators referrals completed and 5,455 hotel guests who have safely separated.

EDUCATION

After extensive efforts to ensure the health and safety of its staff and students, the City was able to reopen its school buildings in September. The only major school district in the country to welcome back students at the start of the school year, the City supplied all schools with abundant personal protective equipment; ensured safe ventilation; instituted mandatory school-based COVID-19 testing; and created an interagency Situation Room that enables quick responses to positive cases in schools.

In preparation for the 2020–21 academic year, H+H ensured nursing coverage in every public school building and all early childhood programs across the city. As a result, every student and staff member has a qualified medical professional available every day who can respond if they present with symptoms at school. These medical professionals work in close partnership with the NYC Test + Trace Corps team assigned to public schools.

The “Bridge to School” citywide initiative for the 2020–2021 school year, announced in August, focuses on the social and emotional well-being of students and adults to create a safe, supportive learning environment that confronts the trauma caused by the COVID-19 crisis. Through this initiative, which builds on past expansion of mental health supports in schools, schools across the City were equipped to integrate trauma-informed practices into reopening. Beyond training and direct classroom support, the Department of Education (DOE) produced a Bridge to School Resource Guide. This guide made grade-appropriate tools available to educators, including activities and lesson plans for both remote and in-person learning, that helped students build coping skills; process grief; re-connect; and better orient themselves to blended-learning or online classrooms during first the few weeks of school.

In all of our schools, for all of our students, the City has ramped up its capacity to provide high-quality remote learning. Between March and October 2020, DOE provided 350,000 LTE-enabled iPads to students. An additional 100K iPads were ordered and delivered by December 2020. DOE ordered an additional 50k iPads to meet device needs over the course of the year all while expanding its efforts to improve internet service and technical help to families. The City has also provided educators with highly rated educational resources and professional development that facilitate effective learning from home.

For families opting for in-person instruction, City agencies came together to ensure that schools had access to additional outdoor space during the school day. The City approved over 150 streets and 337 parks for various educational uses, such as classroom education, physical education, recess, lunch, and school arrival and dismissal activities. Schools are allowed to use approved streets Monday through Friday, 7 a.m. to 4 p.m. The program will continue through June 2021.

After the conclusion of the PMMR reporting period, the decision to temporarily close school buildings was made on November 19, 2020. Students in 3-K through 5th grade, as well as D75 students, were able to reenter school buildings on December 7, 2020 in certain neighborhoods. As of the publication of this report, middle and high schools have not yet reopened for in-person instruction.

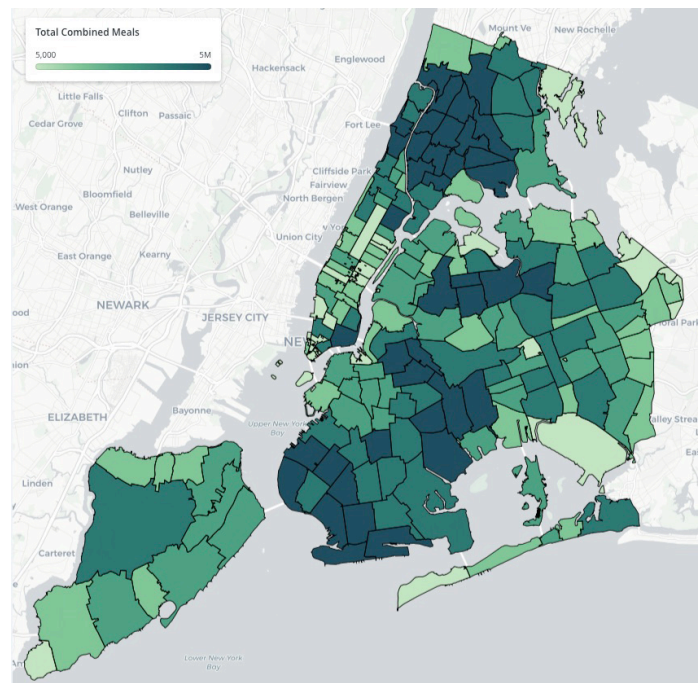
SAFEGUARDING OUR MOST VULNERABLE

Using data to inform planning throughout the summer, the City worked to increase localized outreach and testing events, contracting and working with trusted community based organization partners, and reaching out to providers in specific neighborhoods including those with lower testing or higher positivity rates to ensure awareness of local resources for providers and community members alike. As the resurgence loomed, the City worked aggressively to promote resources and key messages in priority areas.

ESTABLISHING FOOD SECURITY

The pandemic has caused food insecurity in New York City to rise nearly 33% from pre-pandemic levels; over 1.6 million New Yorkers are now food insecure. The City has taken bold and effective steps to make sure every New Yorker has access to the food they need during the crisis.

At the onset of the pandemic, the City launched the Feeding New York Plan and the GetFood NYC Program.



The Emergency Home Food Delivery (EFD) program continues to be available for homebound New Yorkers who do not have anyone able to bring them food and who cannot afford private food delivery options. More than 50 vendors have served the program which provides lunch and dinner for up to two persons in a household. All of the meals provided by these vendors adhere to the nutritional guidelines set forth by DOHMH.

Since the start of the 2020–2021 school year, more than 1,100 DOE schools have continued distributing meals to children learning in person or remotely and there are over 260 DOE Grab & Go sites offering meals to adults. A defining feature of these programs is the vast range of food offered to New Yorkers—Halal and kosher meals are available at select Grab & Go sites and vegetarian meals are available at all locations. Certain schools are also offering hot meal service to students attending in-person.

Across both programs since March, the GetFood program has served nearly 200 million free meals, provided emergency home delivery to over 1.5 million New Yorkers, and Grab & Go pickup at over 500 DOE Meal Hub sites across the City. Among other services, Take Care provides individuals isolating at a hotel with daily free breakfast, lunch, and dinner. Those isolating at home have the option to enroll in GetFood and will receive two meals daily for the duration of isolation. Take Care also assists clients with enrolling in food benefits like SNAP and WIC and with accessing food through local food pantries. Take Care Resource Navigators have reached out to more than 131,000 New Yorkers quarantining or isolating in their homes, to help connect them to resources. The Department of Social Services (DSS) managed historic increases in the need for SNAP and Cash Assistance (CA) by building on its pre-pandemic capacity to provide online and telephone access for SNAP clients and then creating such access for Cash Assistance clients. Both SNAP and CA offer lifelines for New Yorkers that need it the most.

ENSURING ACCESS TO MENTAL HEALTH

During the COVID-19 pandemic, the Mayor's Office of ThriveNYC launched new engagement strategies to eliminate barriers to care for particularly high-need populations.

To reach veterans during the pandemic, ThriveNYC and the Department of Veterans' Services (DVS) launched Mission: VetCheck, in which volunteers from the veterans' community were trained to make supportive check-in calls to veterans. Volunteers made over 22,000 calls to veterans between the start of the program in April and the end of October 2020. Mission: VetCheck has helped reduce social isolation for veterans and is addressing veterans' needs during the pandemic. Callers made almost 800 referrals back to DVS for help with issues like food assistance, housing insecurity, unemployment, and COVID-19 testing information.

In October, the City announced two additional initiatives that added new mental health services to hundreds of schools in the neighborhoods most affected by the COVID-19 pandemic. The first program, the School Mental Health Specialist Program, represents a re-engineering of the School Mental Health Consultant Program, an existing ThriveNYC program implemented by DOHMH in partnership with the DOE. This new program takes the social workers and mental health counselors already in place and enables them to serve as Mental Health Specialists to provide direct service to students through trauma-informed group work at 350 schools. In addition to their work with students, they will provide mental health education to caregivers and school staff to help them address students' mental health needs and strengthen community and family ties. The second program, Pathways to Care, creates a new partnership between H+H, ThriveNYC, and DOE. This partnership will expedite referrals of students to outpatient mental health clinics, where they can receive ongoing therapy, psychiatric evaluation, medication management, and other clinical services.

To reach New Yorkers in their places of work and worship, ThriveNYC trained over 600 employers and employees in workplace mental health strategies and over 150 faith leaders representing diverse faith traditions in how to promote mental health during and following a disaster.

NYC Well, the City's comprehensive behavioral health helpline, responded to high need. It answered 44% more contacts in the first four months of Fiscal 2021 than in the first four months of Fiscal 2020. Mobile Crisis Teams continued to go to people's homes when needed, with protocols in place to screen for COVID-19 symptoms before teams entered a home and with access to personal protective equipment for team members.

In addition, ThriveNYC created an Online Guide to Mental Health Support New Yorkers Can Access While Staying Home, which has had over 41,000 visits since late March and includes a directory of remote mental health services. More information, as well as additional COVID-19 mental health resources and toolkits, are available on ThriveNYC's website.

ENGAGING SENIORS

Isolation among older New Yorkers is a serious issue and it can affect their health and wellbeing. With recommendations that older New Yorkers stay at home and maintain social distancing, volunteers have continued the Department for the Aging (DFTA) Friendly Visiting program to homebound seniors through telephone calls and video chats that are done two to three times a week. Building on the continued success of the Friendly Visiting program, DFTA launched a new volunteer initiative called Friendly VOICES (Virtual Opportunities Improving Connections with Elders) that will virtually help limit social isolation among older New Yorkers. Friendly VOICES trained and matched volunteers with older adults to connect on a weekly basis over the phone or through video calls. Since the pandemic began through October, DFTA's internal staff, contracted providers and volunteers reached 181,676 older New Yorkers. This includes all DFTA clients who received wellness and/or social engagement contacts during DFTA's ongoing initiative to decrease social isolation.

In response to the dual impacts of summer heat and guidance to remain at home, the Air Conditioning Task Force was established to purchase and install air conditioning units in the homes of low-income, older New Yorkers. Throughout the summer, more than a dozen agencies and over 150 community based organizations worked together to enroll individuals into the program and ultimately purchased and installed 74,000 units.

PROTECTING TENANTS

In addition to connectivity improvements, the New York City Housing Authority (NYCHA) was responsible for the oversight and monitoring of the vendors providing disinfecting services at its locations. The Quality Assurance and Environmental Health & Safety department conducted 9,993 inspections at 68 developments.

In August, the City launched its first-ever resource portal to help residential renters access free resources from the City to help prevent evictions and keep tenants stably housed. The portal, launched through Mayor's Office to Protect Tenants (MOPT), the Mayor's Public Engagement Unit (PEU), and the Department of Information Technology and Telecommunications (DoITT), features an eviction prevention tool to help renters navigate free public and private resources that can stabilize their housing situations. The portal is free and accessible to all residential tenants. Tenants respond to a series of questions about their unique circumstances and are directed to the most relevant resources, such as help navigating an illegal lockout or eviction. The portal also has up-to-date information on the general status of evictions in New York City Housing Court. Through this effort, MOPT, PEU, and DoITT have brought together resources from multiple City agencies, City-funded nonprofit legal service organizations, and Community Based Organizations, improving and streamlining how tenants can learn about the options that may be available to them.

SERVING HOMELESS NEW YORKERS

From March to August 2020, the City brought together many agencies to establish its COVID-19 hoteling program. During its operation, the program served 35,182 individuals for a total of 683,615 room nights. This program assisted individuals from congregate and supportive housing settings across the City. During this time, the program was also able to lodge healthcare and other frontline workers as well as COVID-positive individuals who were discharged from hospitals. DHS continues to shelter homeless New Yorkers in hotels to maintain health and safety protocols for vulnerable clients and to dedensify congregate shelters.

The Department of Homeless Services (DHS) HOME-STAT program conveyed the City's latest guidance to social service provider partners and directly to clients experiencing unsheltered homelessness. DHS rolled out a screening process to hundreds of street outreach, Safe Haven, and Drop-In Center staff to identify unsheltered individuals who may be experiencing possible symptoms and connect them to testing and assessment at H+H. As of October, outreach teams have conducted more than 71,000 engagements related to COVID-19.

SUPPORTING SMALL BUSINESSES

The phased reopening of nonessential businesses across New York City began June 8, 2020, once the region had met all metrics outlined by the New York State Governor's Office as well as the additional metrics outlined by the Mayor's Office. Major phased reopening took place every 2 weeks between June 8 and July 20, with additional reopening for other industries throughout the summer and fall. Notably, outdoor dining began June 22; schools started in-person instruction September 21; and indoor dining was permitted to begin operating September 30. As of the end of October, major economic sectors that were still not operating included indoor fitness classes and performance/entertainment.

In advance of Phase 1 (beginning on June 8), an interagency outreach and enforcement effort was launched to engage with businesses on the State's health and safety guidelines. Health and safety guidelines fall into five major sections: physical distancing, protective equipment, hygiene and cleaning, communication, and screening. Led by the Mayor's Office of Special Enforcement (OSE), this collaborative effort included an enforcement component, consisting mainly of inspections conducted by 13 City agencies, and an outreach component, including development and distribution of outreach materials, and communication of State and City guidelines to businesses.

On October 6, New York State put into effect a localized approach to restrictions, based on severity of COVID-19 cases in hyperlocal geographies. In addition to enacting red, orange, and yellow zones, all of which had restrictions beyond those in non-zone areas, the State implemented additional enforcement of business practices and engagement with the public on mask-wearing and public gathering. At the initiative's peak, there were over 450 inspectors working and inspections surged to an average of over 1,900 completed per day in the last week of October. Between July and October, 57,039 inspections were completed with 670 violations issued (a rate of <1.17%) and one closure order was served.

In addition to inspection, engagement, and enforcement conducted by inspectors, the commissioners and staff at Small Business Services (SBS), DOHMH, Mayor's Office of Nightlife (ONL), Office of the Mayor's Counsel, and OSE hosted several events for the business community, sharing information and fielding questions about State and City requirements, and resources available for businesses. Dozens of public- and business-facing materials, including reopening guidance, flyers, and resource guides were developed by DOHMH, SBS, ONL, the Department of Transportation (DOT), the Department of Buildings (DOB), and the Mayor's Office of Operations, and distributed by inspectors and via email, public websites and social media platforms, and at virtual and socially distanced outdoor events, such as business corridor walkthroughs. SBS's Business Restart Hotline took nearly 24,000 calls from businesses seeking support, while the Department of Consumer and Worker Protection (DCWP) worker hotline received almost 3,500 calls.

As the summer continued, the City announced the Open Restaurants Program, allowing restaurants to use open space on sidewalks and curbsides, expanding outdoor seating options. The program supports the City's restaurants by streamlining the application process while promoting social distancing. Inspectors completed 13,695 inspections and issued 839 cease and desist orders. As of October 31, 2020, 10,620 restaurants are participating in the Open Restaurants Program. Due to its success, the Open Restaurants program has become a permanent part of the City's landscape.

In October 2020, the City announced the Open Storefronts program. It permits storefront businesses to use a portion of the sidewalk to display merchandise, sell goods, complete transactions, and provide queuing areas. Building on the success of the Open Restaurants and Open Streets programs, Open Storefronts provides safer spaces for small businesses to rebound in challenging economic times.

While outside of the reporting period of the PMMR, it is important to note that due to rising cases of COVID-19 starting on Friday, November 13, all bars, restaurants, and gyms or fitness centers, and all State Liquor Authority-licensed establishments, were required to close from 10pm to 5am daily. Under these revised guidelines, restaurants are still allowed to provide curbside, food-only pick-up or delivery after 10 p.m. so long as it is otherwise permitted. As of December 14, food establishments are not allowed to offer indoor dining. As of December 29, the Open Storefronts program has been extended through September 30, 2021. These regulations are still in place as of this publication.

In addition to its work around safely reopening, NYCEDC has collaborated with several partners to launch the new Small Business Resource Network. This public-private partnership, funded by a \$2.8 million grant, will establish a team of 22 dedicated Small Business Specialists to work with entrepreneurs in communities hardest hit by COVID-19, helping them gain access to a range of programs and services. The Network will focus on minority-, women- and immigrant-owned businesses that have limited access to the help they need to survive the pandemic.

ACCESS TO OPEN SPACE

In April 2020, the City announced its Open Streets initiative to allow New Yorkers to safely experience summer in New York City. Open Streets are streets that are closed to through traffic and only accessible for local access, allowing pedestrians and cyclists to use the roadbed for socially distant recreation. Open Streets locations were selected through community engagement and data analysis to include neighborhoods that lack open space and were hard hit by COVID-19. The program includes streets managed by local precincts or local partners such as Business Improvement Districts, block associations, and civic groups. As of the end of the reporting period, the City implemented 83 miles of Open Streets.

In July, the City announced Play Streets as a new initiative to provide families with safe, structured activities on Open Streets during weekdays. At Play Street locations, children participated in independent crafting and art projects. Giant board games and various sports drills were also available. Reading corners, dance classes, cardio and yoga exercises were also provided. All programming was creatively designed to meet social distancing guidelines.

In coordination with 14 agencies, City employees deployed throughout City parks to monitor adherence to social distancing guidelines and to educate residents about the importance of social distancing through the distribution of literature and face coverings. The program, operational from May 1 through Sept 7, included over 2,200 Social Distancing Ambassadors from the Department of Parks and Recreation, the Department of Environmental Protection, the Office of Administrative Trials and Hearings, the Law Department, the Department of Design and Construction, the Department of Housing Preservation and Development, DOHMH, the Department of Correction, the Department of Citywide Administrative Services, the Department of Citywide Planning, Police Department School Safety Agents, DOB, the NYC Sheriff's Office, the Department of Sanitation, and FDNY, and interacted with over 113,000 members of the public and distributed more than 5.5 million face coverings in City parks.

ADDITIONAL RESOURCES

For additional information on items referenced in the narrative, go to:

- Department of Health and Mental Hygiene COVID-19 Information page:
<https://www1.nyc.gov/site/doh/covid/covid-19-main.page>
- COVID-19 Assistance & Guidance for Businesses:
<https://www1.nyc.gov/site/sbs/businesses/covid19-business-outreach.page>
- 311 COVID-19 Health & Safety:
<https://portal.311.nyc.gov/article/?kanumber=KA-03288>
- NYC COVID-19 Engagement Portal:
<https://www1.nyc.gov/site/doitt/about/covid-19/engagement-portal.page>
- NYC Open Data Portal:
<https://opendata.cityofnewyork.us/>
- Test & Trace Corps:
<https://www.nychealthandhospitals.org/test-and-trace/?notification>
- COVID-19 Testing Sites:
<https://www1.nyc.gov/site/doh/covid/covid-19-testing.page>
- NYC COVID-19 Emergency Food Distribution
<https://www1.nyc.gov/assets/dsny/contact/services/COVID-19FoodAssistance.shtml>
- NYC COVID-19 Vaccine Distribution
<https://www1.nyc.gov/site/doh/covid/covid-19-vaccines.page>
- New York City Tenant Resource Portal
<https://www1.nyc.gov/content/tenantresourceportal/pages/>

Collaborating
to Deliver
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THRIVENYC: ENHANCING ACCESS TO MENTAL HEALTH SUPPORT FOR EVERY NEW YORKER IN NEED



| | |
|--|-------|
| | DOE |
| | DFTA |
| | DHS |
| | DOHMH |
| | DVS |
| | DYCD |
| | H + H |
| | HRA |
| | NYPD |

Launched by First Lady Chirlane McCray and Mayor Bill de Blasio in 2015, ThriveNYC closes critical gaps in mental healthcare and activates every part of City government to promote mental health. In Fiscal 2019, this work was consolidated under the management of the Mayor's Office of ThriveNYC, which partners with 12 City agencies and almost 200 community-based organizations to implement over 30 innovative programs that reach hundreds of thousands of New Yorkers every year. ThriveNYC's programs advance four goals:

- Promote mental health for the youngest New Yorkers
- Eliminate barriers to care
- Reach people with the highest need
- Strengthen crisis prevention and response

ThriveNYC brings mental health support to communities and locations where it never existed before. ThriveNYC does this by reaching people with the highest need—those with serious mental illness, those affected by trauma and those living in historically underserved neighborhoods—and by breaking down barriers to care for all New Yorkers. ThriveNYC's programs are motivated by six foundational principles: change the culture; act early; close treatment gaps; partner with communities; use data better; and strengthen government's ability to lead.

ThriveNYC is committed to countering painful, long-standing and racist inequities in mental health. One way ThriveNYC advances equity is by concentrating new mental health support where it is needed most: in Fiscal 2020, over 70 percent of service locations for ThriveNYC programs were in federally designated mental health provider shortage areas, meaning neighborhoods with low levels of mental health providers per capita.

To understand the impact of ThriveNYC's work, ThriveNYC uses an approach similar to other large-scale public health initiatives. This includes data on nearly 200 reach and impact metrics for ThriveNYC's programs, which is regularly updated on ThriveNYC's website. Depending on how the data is collected for each measure—such as through an annual survey, regular client screening or observation—the data is updated either quarterly, semi-annually or annually. ThriveNYC's measurement approach is informed by a Science Advisory Group comprised of leading national and international experts in epidemiology, mental healthcare and the social drivers of mental health. In March 2020, this Science Advisory Group published two population-level measures that can be directly associated with ThriveNYC's contributions to the mental healthcare landscape in New York City. If the entire range of efforts to promote mental health across City government—including ThriveNYC's work to close gaps in care—continues, the City can expect to see improvements in the following population-level measures within five years:

Mayor's Office
to End Domestic
and Gender
Based Violence

Mayor's Office
for Economic
Opportunity

Mayor's Office
of Labor
Relations

1. More New Yorkers with mental health needs are connected to treatment. Defined as 1) more New Yorkers with an identified mental health need receive treatment, and 2) greater equity in connection to treatment.
2. Fewer mental health needs become crises. Defined as 1) fewer mental health emergencies, as measured by 911 dispatches and emergency department visits, and 2) less disparity in mental health emergencies.

The COVID-19 pandemic has profoundly affected the mental health of New Yorkers. To ensure that services continued to reach people who need care, nearly all of ThriveNYC's 30 programs have continued to deliver services during the pandemic. Many programs—specifically those that reach New Yorkers with the highest need and those that strengthen crisis prevention and response—have continued to provide in-person services, including in over 100 shelters for families with children, all runaway and homeless youth residences and drop-in centers and at over 40 high-need sites within the NYC Health + Hospitals system. Mobile treatment teams continued to provide intensive, ongoing, community-based treatment to people with serious mental illness, many of whom are experiencing homelessness. And several programs introduced new tele-mental health services, including those for isolated older adults and students.

During the COVID-19 pandemic, the Mayor's Office of ThriveNYC also launched new engagement strategies to eliminate barriers to care for particularly high-need populations. For example, to reach veterans during the pandemic, ThriveNYC and the Department of Veterans' Services (DVS) launched Mission: VetCheck, in which volunteers from the veterans' community were trained to make supportive check-in calls to veterans. Volunteers have made over 22,000 calls to veterans since Mission: VetCheck began in April 2020, with nearly 10,000 calls made during the first four months of Fiscal 2021. Mission: VetCheck has helped reduce social isolation for veterans and is addressing veterans' needs during the pandemic (callers made almost 800 referrals back to DVS for help with issues like food assistance, housing insecurity, unemployment, and COVID-19 testing information during the first four months of Fiscal 2021). ThriveNYC trained over 200 employers and employees in workplace mental health strategies during the first four months of Fiscal 2021 and over 150 faith leaders representing diverse faith traditions in how to promote mental health during and following a disaster. In addition, ThriveNYC created an Online Guide to Mental Health Support New Yorkers Can Access While Staying Home, which has had over 41,000 visits since late March (10,000 during the first four months of Fiscal 2021) and includes a directory of remote mental health services. More information, as well as additional COVID-19 mental health resources and toolkits, is available on ThriveNYC's website.

PROMOTE MENTAL HEALTH FOR THE YOUNGEST NEW YORKERS

Half of all lifetime mental health disorders appear before the age of 14. ThriveNYC supports several programs to promote healthy development and lifelong positive mental health practices of young New Yorkers, grounded in research showing that early identification and treatment of mental health disorders can build mental health in the long term.

ThriveNYC also partners with the Department of Education (DOE) to significantly enhance access to mental health support in New York City's public schools. In Fiscal 2020, ThriveNYC partnered with DOE to offer onsite mental health support in high-need schools, including clinicians in 248 schools and access to onsite mental health clinics in 129 of those schools. ThriveNYC supports training to help educators and caregivers better identify symptoms of trauma and emotional and psychological distress in order to meet the mental health needs of their school communities. In the beginning of the 2019/2020 school year, the City launched a new partnership between ThriveNYC and DOE: School Response Clinicians, licensed social workers who support students across the city. These social workers provide early intervention as well as support in times of immediate emotional distress, provide onsite counseling, and help connect students to long-term care if necessary.

During the COVID-19 pandemic, students in high-need schools and students enrolled in school-based mental health clinics continued to receive counseling remotely and School Response Clinicians offered wellness check-in calls and individual mental health sessions remotely to students in emotional distress or crisis. Additionally, school-based mental health support was added to the newly created Regional Enrichment Centers, offering in-person social and emotional support to children of frontline workers.

In October 2020, the City announced two new budget-neutral initiatives that will add new mental health services to hundreds of schools in the neighborhoods most affected by the COVID-19 pandemic. The first program, the School Mental Health Specialist Program, represents a re-engineering of the School Mental Health Consultant Program, an existing ThriveNYC program implemented by the Department of Health and Mental Hygiene in partnership with the Department of Education. Launched in 2016, the Consultant Program employed social workers and mental health counselors to survey existing mental health resources in public schools, create mental health plans tailored to individual schools, and, when needed, connect students to mental health support in their community. In the new program, these same mental health workers will now serve as Mental Health Specialists and provide direct service to students through trauma-informed group work at 350 schools in the neighborhoods hardest hit by the COVID-19 pandemic. Each Mental Health Specialist will serve up to five schools. In addition to their work with students, they will provide mental health education to caregivers and school staff to help them address students' mental health needs and strengthen community and family ties. The budget for the Consultant Program will now support the new Mental Health Specialist program, with the new model requiring no additional costs.

To bring additional support to students in the neighborhoods most affected by the COVID-19 pandemic, ThriveNYC also worked closely with NYC Health + Hospitals and the Department of Education to structure a new partnership between the City's public hospitals and over 25 public schools. This partnership, called Pathways to Care, will expedite referrals from schools to connect students to care at outpatient mental health clinics, where students can receive ongoing therapy, psychiatric evaluation, medication management, and other clinical services.

ELIMINATE BARRIERS TO CARE

One in five adults in New York City experiences a mental health disorder in any given year. Yet hundreds of thousands of individuals in need are not connected to care. Barriers to care vary, ranging from a lack of nearby care options and complicated healthcare systems, to insurance coverage, and language barriers as well as the cultural responsiveness of providers. ThriveNYC addresses these barriers and increases access to care in many ways. Below are highlights from this work.

NYC Well is the City's comprehensive mental health helpline. Available by call, text or online chat, NYC Well provides a safe, easy way for New Yorkers to connect to care no matter where they are, what emotional state they are in, or what signs and symptoms they express. Trained counselors and peer support specialists provide brief counseling, peer support, assistance navigating the behavioral healthcare system and help setting appointments with mental healthcare providers and substance use providers. The service is free, confidential and has the capacity to respond in over 200 languages. NYC Well has answered over 1 million calls, texts and chats from people seeking mental health support since launching in 2016. NYC Well also deploys Mobile Crisis Teams operated by hospitals and community-based organizations to respond to urgent mental health needs. Mobile Crisis Teams can include nurses, social workers, psychologists and psychiatrists, community liaisons and peers. Teams can arrive within hours of a referral and services can include assessment, crisis counseling and connection to ongoing services.

During the COVID-19 pandemic, NYC Well responded to high need. NYC Well answered 44 percent more contacts in the first four months of Fiscal 2021 than in the first four months of Fiscal 2020. Mobile Crisis Teams continued to go to people's homes when needed, with protocols in place to screen for COVID-19 symptoms before teams entered a home and with access to personal protective equipment for team members.

The Connections to Care (C2C) program is an innovative partnership between 14 community-based organizations (CBOs), the Mayor's Office of ThriveNYC, the Mayor's Office for Economic Opportunity, the Mayor's Fund and the Department of Health and Mental Hygiene. Through C2C, CBOs work with mental health providers who train and coach CBO staff to screen their clients for mental health needs, offer direct support when appropriate, and link to local health providers for further care if needed. During the COVID-19 pandemic, C2C providers continued to operate both onsite where necessary as well as remotely, conducting mental health screening and referrals by phone. Providers developed new ways to support clients during the pandemic, including creating virtual support groups on relevant topics such as anxiety, grief, and loss and delivering social work services outdoors, in parks.

In the first four months of Fiscal 2021, C2C trained 50 employees from participating CBOs (for a total of 1,913 since 2016) and reached 1,535 people from all five boroughs (for a total of 47,717 since launch in 2016). This includes 298 participants who were referred to clinical mental healthcare in the first four months of Fiscal 2021 (for a total of over 5,427 since launch). Service levels during the first four months of Fiscal 2021 were lower than during the same period in Fiscal 2020 due to shifts in service delivery practices during the COVID-19 pandemic, as many C2C providers began delivering services via phone and video and experienced data collection challenges during remote service delivery.

In March 2020, the City suspended Mental Health First Aid (MHFA) trainings due to COVID-19 safety precautions. In June 2020, the City announced that, for the remainder of 2020, Mental Health First Aid trainings would be replaced with a new virtual model specifically designed to address the impact of the public health emergency. The City redirected MHFA staff to deliver mental health disaster response and coping sessions to target communities. These sessions reached over 7,000 residents in the communities hardest hit by the pandemic in the first four months of Fiscal 2021.

REACH PEOPLE WITH THE HIGHEST NEED

Many who are particularly vulnerable to mental illness—often those who have been exposed to trauma—are especially underserved. ThriveNYC implements programs that bring new, dedicated support to these individuals, with a current focus on victims of crime, families living in shelters, aging New Yorkers, veterans, vulnerable young people and people living in historically underserved neighborhoods. Below are some highlights from this work.

PEOPLE HARMED BY CRIME, VIOLENCE OR ABUSE

From 2016 to October 2020, the Crime Victim Assistance Program supported over 177,000 people. Before the launch of ThriveNYC, many crime victims navigated the complicated landscape of the criminal justice and social service systems alone. Only Housing Police Service Areas and three precincts had an onsite victim advocate to serve victims of domestic violence. Beginning in 2016, through ThriveNYC, victims of any kind of crime can be served by the Crime Victim Assistance Program, which operates in precincts and Housing Police Service Areas citywide. The program provides supportive counseling, connections to individual or group therapy, safety planning, assistance with victim compensation and help navigating the legal and financial challenges that can emerge after a crime has occurred.

During the COVID-19 pandemic, Crime Victim Assistance Program advocates ceased in-person services to ensure safe operations and transitioned to phone outreach and support. This contributed significantly to the lower-than-average volume of services the program provided during the first four months of Fiscal 2021 compared to the same period in Fiscal 2020.

FAMILIES LIVING IN SHELTERS

In partnership with ThriveNYC, the Department of Homeless Services (DHS) has placed over 340 licensed social workers in over 100 shelters for families with children across the city. These clinicians served over 21,000 families in shelter since the inception of the program in 2016. Through ThriveNYC's partnership with DHS, families with children residing in shelter now have access to dedicated licensed social workers who conduct behavioral health assessments and engage families around their barriers to permanent housing. These assessments include behavioral health history and screenings for current concerns, as well as developmental screenings for children, among other things.

During the COVID-19 pandemic, the City's shelters remained open and fully operational, providing essential services and support to families experiencing homelessness. Social work services were provided by licensed clinical social workers virtually and in-person in some instances in family shelters.

AGING NEW YORKERS

Older adults have high rates of late-onset mental health disorders, yet low rates of assessment and treatment. Before ThriveNYC, many older adults went without ready access to mental health support. ThriveNYC and the Department for the Aging (DFTA) partner to bring clinicians to 48 older adult centers operated by DFTA. In Fiscal 2020, services expanded from the original 25 older adult centers included in this program to include 23 additional older adult centers. Over 19,456 clinical sessions (including both short-term and long-term clinical treatment) have been provided since

services began over four years ago. Over 61 percent of clients have experienced a clinically significant reduction in depression symptoms. During the COVID-19 pandemic, clinicians provided tele-mental health services to clients and conducted new client assessments by phone or virtually.

VETERANS

To enhance mental health for veterans, ThriveNYC partners with DVS to support outreach teams that work directly with veterans and their families and caretakers, connecting them to a range of community-based services as they transition home. This program is designed to serve recent veterans and those who have been veterans for many years, both of whom may need connection to services and support. In the first four months of Fiscal 2021, this program made 413 successful connections to care, placing the program on target to exceed its annual target of 608 connections to care in Fiscal 2021. This high volume of connections to care has been possible, in part, because of referrals from the Mission: VetCheck initiative. Connections to care through this DVS program remain high for the second year in a row; in Fiscal 2020, this program exceeded its annual target, as well, due to a high volume of referrals related to the City's one-time outreach effort to encourage veterans to enroll in the Fair Fares program, which provides reduced-cost MetroCards to eligible New Yorkers.

VULNERABLE YOUNG PEOPLE

The Department of Youth and Community Development (DYCD) funds Runaway and Homeless Youth (RHY) Drop-in Centers, Crisis Services and Transitional Independent Living Residential Programs, which provide specialized services to vulnerable youth, including LGBTQ+ identifying youth. Since 2016, ThriveNYC has partnered with DYCD's RHY programs to enhance mental health services offered to young people residing in more than 50 RHY residential programs and served in eight drop-in centers across all five boroughs. More than 15,000 young people have been served through this program since 2016. During the COVID-19 pandemic, mental health support continued to be provided to youth both in-person and through new tele-mental health services at residential programs (which remained open and operational) and drop-in centers (which operated on a modified schedule).

PEOPLE LIVING IN HISTORICALLY UNDERSERVED NEIGHBORHOODS

In January 2020, NYC Health + Hospitals launched a redesigned Mental Health Service Corps, an innovative program that provides three years of high-quality training to early-career behavioral health clinicians and embeds them at over 40 H+H sites across the five boroughs. Seventy-six percent of service locations included in this program are located in federally designated mental health professional shortage areas. During the COVID-19 pandemic, Corps Members continued to deliver in-person and remote mental health services.

STRENGTHEN CRISIS PREVENTION AND RESPONSE

To prevent crises and help New Yorkers with serious mental health needs function well in their communities, ThriveNYC works with several City agencies to ensure those with critical needs can access and stay connected to treatment. Below are highlights from this work.

Co-Response Teams, a collaboration between the New York City Police Department (NYPD) and DOHMH, are a pre- and post-crisis intervention. Each team includes two police officers and one behavioral health professional from DOHMH. Teams are available 16 hours a day, seven days a week to assist people with mental illness and substance use disorders who may be at an elevated risk of harm to themselves or others. Co-Response Teams connect or re-connect people to care or another stabilizing support, including medical, mental health, legal, housing and other social and clinical services. In the last four years, these teams have had over 4,400 face-to-face encounters (defined as in-person engagement) with New Yorkers and have assisted more than 2,000 people across the city (defined as clinical assessment, counseling, psycho-education, service referral, connection to care or other stabilizing support, or transportation to a hospital, clinic, or doctor's appointment). In addition to creating greater stability for these New Yorkers, Co-Response Teams also reduce the subsequent number of enforcement interactions with the Police Department. During the first four months of Fiscal 2021, Co-Response Teams engaged 289 new people. In March 2020, Co-Response Teams suspended in-person deployments due to COVID-19 safety precautions. At that time, Co-Response behavioral health professionals continued to offer community members support and connections to care, remotely due to COVID-19 safety precautions. In-person deployments resumed on August 29, 2020. Since the pandemic began, these teams have connected by phone with

people and their support networks (such as family members, service providers, and friends) 7,554 times, often with multiple calls per person engaged as the teams work to connect people to stabilizing support.

ThriveNYC also partners with DOHMH to implement several new mobile treatment team models. As one example, ThriveNYC provides additional substance use expertise to 40 of the City's Assertive Community Treatment (ACT) Teams, which provide intensive, mobile, community-based mental health treatment and rehabilitation services to New Yorkers with serious mental illnesses. These ThriveNYC-enhanced teams have the capacity to serve 2,720 individuals at a time. Beyond ThriveNYC, there are eight additional New York State-funded ACT teams and one additional City-funded team in New York City. In total, ACT teams have capacity to serve 3,312 individuals at a time.

ThriveNYC supports four Forensic ACT (FACT) Teams, which provide the same intensive mental health treatment and rehabilitation services as ACT teams, and include additional staff focused on serving clients with current or recent justice system involvement. Beyond ThriveNYC, there is one additional New York State-funded FACT team in New York City. In total, FACT teams have capacity to serve 340 clients at a time.

ThriveNYC also supports Intensive Mobile Treatment (IMT) teams managed by DOHMH. IMT teams provide a particularly flexible model of mental health treatment and intensive support to adults with mental illness and/or substance use disorders, homelessness and/or transience and escalating behaviors. IMT teams include mental health, substance use, and peer specialists who help individuals maintain a treatment plan and facilitate connection to housing and additional supportive services. IMT teams currently have the capacity to serve up to 297 individuals at a time.

Collectively, mobile treatment teams in NYC have a capacity to serve over 3,949 clients at a time. Due to the unique needs of each client, the duration of service for each client served by a team can vary, but teams work to engage clients for several months.

During the COVID-19 pandemic, ACT, FACT and IMT teams provided a combination of tele-mental health and in-person services and achieved a high level of client retention. The most recent data on client retention shows that mobile treatment teams were able to keep clients engaged in care at nearly the same levels before and during the pandemic. Across mobile teams, the percentage of clients who continued to receive treatment from a team for three months or longer was 82 percent during the first three months of the pandemic (April–June 2020), as compared to 85 percent in the three months before the pandemic (January–March 2020).

NOTE ON THE EFFECT OF THE COVID-19 PANDEMIC

Due to considerable COVID-19-related operational adjustments, there were substantial changes in how clients were served through many City services, including ThriveNYC programs. Nearly all of ThriveNYC programs have continued to offer critical support to New Yorkers during the COVID-19 pandemic, although operational adjustments resulted in reduced numbers of clients served for some programs. One short-term stabilization program, the Support and Connection Center in East Harlem, and two in-person training programs (Mental Health First Aid and Crisis Intervention Training) suspended operations during COVID-19 due to safety precautions. These programs remained suspended during the first four months of Fiscal 2021.

| SELECTED PERFORMANCE INDICATORS | Actual | | 4-month Actual | | Target | |
|--|---------|---------|----------------|---------|---------|---------|
| | FY19 | FY20 | FY20 | FY21 | FY20 | FY21 |
| Promote mental health for the youngest New Yorkers | | | | | | |
| Schools with access to ThriveNYC-funded on-site clinical mental health services (with DOE) | 247 | 248 | 248 | 248 | 248 | 248 |
| Mental health workshops and trainings conducted for teachers, school staff, mental health professionals, families and students (with DOE and DOHMH) <small>*Includes Community Schools, Prevention and Intervention Program, School Mental Health Specialists, Social Emotional Learning, Youth Mental Health First Aid</small> | 9,151 | 7,781 | 1,381 | 1,351 | 7,057 | 4,000 |
| Eliminate barriers to care | | | | | | |
| People who live or work in NYC trained in Mental Health First Aid (with DOHMH) | 53,186 | 34,351 | 17,676 | N/A | 53,000 | N/A |
| Supportive connections provided by NYC Well, a behavioral health helpline (with DOHMH) | 274,400 | 262,200 | 84,800 | 120,567 | 268,600 | 303,600 |
| Individuals who received mental health support through Connections to Care (with OEO) | 14,741 | 11,508 | 3,434 | 1,535 | 10,900 | 4,000 |
| Reach people with the highest need | | | | | | |
| Individuals who, after reporting a crime, received support to deal with the emotional, physical and financial aftermath of crime through the Crime Victim Assistance Program (with NYPD) | 59,008 | 49,904 | 21,662 | 12,258 | 55,000 | 35,000 |
| Veterans, family members and caregivers who were successfully connected to care, services or resources through VetsThriveNYC (with DVS) | 504 | 1,402 | 607 | 413 | 500 | 608 |
| Young people who received mental health support in a city-funded residential program or drop-in center serving runaway and homeless youth (with DYCD) | 2,569 | 2,648 | 1,440 | 1,575 | 2,800 | 2,600 |
| Percentage of families living in shelter who received biopsychosocial screenings from mental health clinicians (with DHS) | 66% | 79% | 78% | 79% | 80% | 80% |
| Individuals who received clinical services from Mental Health Service Corps behavioral health clinicians (with H+H) | N/A | 2,749 | N/A | 2,759 | 2,475 | 4,950 |
| Strengthen crisis prevention and response | | | | | | |
| Individuals who received services from long-term mobile community-based treatment providers (with DOHMH) <small>*includes ACT, FACT, and IMT Teams</small> | 4,706 | 4,477 | 4,143 | 4,026 | 3,649 | 3,649 |
| New individuals engaged by a Co-Response Team (with DOHMH and NYPD) | 686 | 677 | 250 | 289 | 400 | 400 |

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- For the indicator “Mental health workshops and trainings conducted for teachers, school staff, mental health professionals, families and students (with DOE and DOHMH),” the Fiscal 2021 target was adjusted to reflect the suspension of Youth Mental Health First Aid training during the COVID-19 pandemic. Additionally, the Fiscal 2021 target was adjusted to reflect a change in the programs included in this indicator. The Mental Health Consultant Program is no longer included in this indicator, as the program has been transformed into the Mental Health Specialist Program, which currently offers direct trauma-informed group work for students and training for teachers, parents and caregivers in 350 schools in the neighborhoods hardest hit by the COVID-19 pandemic. Training conducted through the Specialist Program is reported as part of this indicator.
- For the indicator “People who live or work in NYC trained in Mental Health First Aid (with DOHMH),” neither the first four months of Fiscal 2021 data nor the Fiscal 2021 target are reported because this training was suspended during the COVID-19 pandemic with no anticipated restart date in Fiscal 2021.
- For the indicator “Individuals who received mental health support through Connections to Care (with OEO),” Fiscal 2020 data was revised to reflect the most current data, which includes provider corrections to previously submitted data. For this indicator, the Fiscal 2021 target was adjusted because program funding ends eight months into the Fiscal Year, in February 2021, as planned at the completion of a five-year pilot period.
- For the indicator “Individuals who, after reporting a crime, received support to deal with the emotional, physical and financial aftermath of crime through the Crime Victim Assistance Program (with NYPD),” the Fiscal 2021 target has been adjusted to reflect modified operations and service levels during the COVID-19 pandemic.

ADDITIONAL RESOURCES









For additional information on items referenced in the narrative, go to:

- ThriveNYC’s data dashboard:
<https://thrivenyc.cityofnewyork.us/dashboard/>
- ThriveNYC news:
<https://thrivenyc.cityofnewyork.us/news/>
- ThriveNYC’s Guide to Mental Health Support New Yorkers Can Access While Staying Home:
https://thrivenyc.cityofnewyork.us/mental_health_support_while_home

HOUSING NEW YORK

PARTNER AGENCIES & OFFICES

Over 167,000 affordable homes have been preserved or built across New York City since Mayor de Blasio launched the Housing New York (HNY) initiative in 2014. Through this plan, the City has pursued an ambitious neighborhood and housing development strategy with the goal to finance more than 300,000 affordable units through 2026 and build a fairer and more livable city for all New Yorkers.

-  DCP
-  DHS
-  DOB
-  DOF
-  DOT
-  DPR
-  FDNY
-  HPD
-  HRA
-  NYCEDC
-  NYCHA

Housing New York is a critical pillar of *Your Home NYC*, the Mayor’s comprehensive approach to helping New Yorkers get, afford, and keep housing, especially in this moment of crisis. The City has helped keep vulnerable New Yorkers impacted by COVID-19 in their homes by working with initiatives like Project Parachute, which provides anti-eviction services, including rental assistance counseling for all New York City tenants; and the Landlord Tenant Mediation Project, which helps mediate rent-related issues outside of Housing Court, focusing on the hardest hit communities. Through *Your Home NYC*, the City will continue to work to connect New Yorkers to the housing resources they need to weather this ongoing crisis in part by continuing, even in the face of this global pandemic, to advance a robust affordable housing pipeline in order to stabilize New Yorkers and their communities.

In October 2020, Mayor de Blasio announced the restoration of capital funding for HNY, a major step toward ensuring a fair recovery from the COVID-19 crisis. The City will shift \$466 million to the current fiscal year’s capital budget to address critical affordable housing needs. With this capital commitment, HPD will extend its ability to house New Yorkers in need, support M/WBE and non-profit firms, bring jobs and new infrastructure to neighborhoods that have been hit especially hard by the pandemic, and improve the quality of existing housing stock.

Mayor’s
Office of
Capital Project
Development

New HPD and HDC programs are achieving deeper levels of affordability, with more than 43 percent of HNY units going to extremely low and very low-income households. More than 83 percent of HNY production served either low-income, very low-income or extremely low-income families and adults.

Mayor’s Office
of Workforce
Development

HNY’s success depends on the collaboration and commitment of more than a dozen City agencies and offices, including HPD, HDC, New York City Housing Authority (NYCHA), Department of City Planning (DCP), the New York City Economic Development Corporation (EDC), the Department of Buildings (DOB), Human Resources Administration (HRA), the Department of Small Business Services (SBS), the Mayor’s Office of Workforce Development and the Mayor’s Office of Capital Project Development.

New York
City Housing
Development
Corporation

HNY is segmented into the following broad strategies and priority initiatives. Unless otherwise stated, the accomplishments below occurred between July 2020 and October 2020.

FOSTERING DIVERSE, LIVABLE NEIGHBORHOODS

HNY recognizes that thriving neighborhoods require affordable housing as well as services and community resources. Together, DCP, HPD, HDC, SBS, NYCEDC and NYCHA work to provide housing and economic opportunities while enhancing the livability of neighborhoods.

Accomplishments include:

In September 2020, HPD launched the Community Visioning process for affordable housing on a City-owned site in the Stapleton neighborhood of Staten Island. HPD hosted community engagement events and activities centered around meaningful and interactive participation to better understand the neighborhood conditions and needs, community priorities, and visions for future development on the northern portions of the New Stapleton Waterfront. HPD will release a Request for Proposals (RFP) to identify partners to develop the site, and community feedback will be summarized into a Community Visioning Report included in the RFP document.

In October 2020, HPD announced plans to launch a Request for Qualification (RFQ) to develop affordable housing and youth services at the former PS90 site in Flatbush, Brooklyn. The 29,000 square foot development site formerly contained a historic late 19th-century school building, and will now give rise to approximately 130 critically needed affordable homes and community development space dedicated to an educational and vocational training program for young Brooklynites.

Where We Live NYC is the City's comprehensive plan to promote fair housing and advance opportunity for all New Yorkers. In October 2020, HPD, in partnership with NYCHA and the involvement of more than 30 City agencies, released the final Where We Live NYC Plan, the City's five-year roadmap to break down barriers to opportunity and build more integrated, equitable neighborhoods. The final version of the plan incorporates feedback from residents and community leaders to the Draft Plan, released in January 2020, as well as updates to reflect the disproportionate impact the COVID-19 pandemic has had on low-income communities of color. The final plan includes enhanced metrics, strategies, policy proposals, and new priorities to address a legacy of housing segregation and build a more inclusive city.

PRESERVING THE AFFORDABILITY AND QUALITY OF THE EXISTING HOUSING STOCK

The City works to create new affordable homes while also preserving the affordability of existing housing so that tenants and homeowners can stay in their homes into the future. It has also launched a suite of initiatives focused on protecting tenants and keeping them in their homes.

Accomplishments include:

In July 2020, HPD announced the Landlord-Tenant Mediation Project, an initiative to help tenants and landlords address rent-related issues due to the COVID-19 pandemic in a mediation setting outside of housing court. The Project is managed by locally based Community Dispute Resolution Centers (CDRCs) in coordination with HPD, the Mayor's Office to Protect Tenants (MOPT), and the Mayor's Public Engagement Unit (PEU), with support from the Human Resource Administration's Office of Civil Justice (OCJ). So far, more than 90% of the project's mediations have produced agreements.

In August 2020, HPD and City agencies collaborated with the Mayor's Office to Protect Tenants (MOPT) to launch the NYC Tenant Resource Portal, an online resource to help residential renters access resources to help prevent evictions and keep tenants in stable housing. The portal features an eviction prevention tool to help renters navigate free public and private resources that can stabilize their housing situations, especially now during the COVID-19 pandemic.

BUILDING NEW AFFORDABLE HOUSING FOR ALL NEW YORKERS

New York City's residents come from all corners of the globe and all walks of life. The City seeks to preserve the diversity of its neighborhoods through financing affordable housing for all income levels, this includes programs that will produce affordable housing on vacant and underdeveloped parcels of public land in all five boroughs.

Accomplishments include:

In July, HPD completed the launch of the new and improved Housing Connect website. Significant upgrades to the new portal make it quicker and easier for New Yorkers to apply for new affordable housing projects. All affordable housing opportunities now appear on this site, providing New Yorkers with a streamlined option to search for opportunities that suit their household size, income, and needs. The website includes more types of housing than ever, such as rentals and homeownership.

In August, HPD and the New York City Housing Development Corporation (HDC) announced the financing of three new affordable housing developments that will spur the construction of 400 deeply affordable homes in Brooklyn and the Bronx and create thousands of jobs. All three deals will be led by Minority and Women-owned Business Enterprise (M/WBE) development teams and were made without deploying direct City capital, helping the City to continue delivering on its commitments to create more affordable housing despite budget limitations due to COVID-19.

In October 2020, Mayor Bill de Blasio restored capital funding within the City's affordable housing plan, a major step toward ensuring a fair recovery from the COVID-19 crisis. The City will shift \$466 million to the current fiscal year's capital budget during the upcoming Preliminary Plan to address urgent affordable housing needs, bringing the capital investment this fiscal year to over \$1.4 billion. Significantly, the Housing New York goal of creating and preserving 300,000 affordable homes by 2026 remains on track.

In October, The New York City Housing Authority (NYCHA) and HPD announced the development of a 100 percent affordable homeownership housing development at NYCHA's Soundview campus. The closing marks the most recent phase of real estate projects the Authority has helped facilitate in Soundview, starting with a 120-unit multifamily development and 86-unit senior building in the area that were completed in 2016.

| INCOME BAND DEFINITIONS | | | |
|--------------------------------|---|---|---|
| Income Band | Percentage of Area Median Income | Monthly Rent Required To Prevent Rent Burden | Annual Income Range (Three-Person Household) |
| Extremely Low Income | 0–30% | ≤ \$768 | ≤ \$30,720 |
| Very Low Income | 31–50% | \$769–\$1,280 | \$30,721–\$51,200 |
| Low Income | 51–80% | \$1,281–\$2,048 | \$51,201–\$81,920 |
| Moderate Income | 81–120% | \$2,049–\$3,072 | \$81,921–\$122,880 |
| Middle Income | 121–165% | \$3,073–\$4,224 | \$122,881–\$168,960 |

PROMOTING HOMELESS, SENIOR, SUPPORTIVE AND ACCESSIBLE HOUSING

The City provides supportive, accessible housing to the homeless and other vulnerable New Yorkers with special needs.

Accomplishments include:

In August 2020, HPD awarded funding to nine community-based organizations as a part of an accessibility expansion of the Housing Ambassador Program. The awardees will be able to expand services accessible to people with disabilities and/or limited English proficiency who are applying for affordable housing, including technology upgrades, wheelchair accessible space, language interpretation, and assistive technology for those deaf or hard of hearing. The expansion is made possible with support from Citi.

In October 2020, HPD and New York State officials joined Arker Companies to celebrate the completion of the initial phase of The Fountains in Brooklyn, a 6.7-acre mixed-use development complex that will ultimately offer 1,163 affordable homes. The City provided financing for 911 Erskine Street, which offers 267 affordable apartments for families and adults with intellectual and development disabilities. The Fountains is close to public transportation, green space, grocery stores, schools, and retail. The Block Institute will provide supportive services to help residents live independently.

In October 2020, HPD once again joined New York State officials, this time to celebrate the start of construction on 245 units of affordable and supportive housing in the South Bronx. 1159 River Avenue will offer 148 apartments specifically for individuals and families who have previously experienced homelessness and those recovering from mental illness. The 19-story building will include 20,500 square feet of commercial space on the ground floor, as well as art, exercise, laundry, and computer rooms. Community Access, Inc. will provide supportive services.

In October 2020, HPD and HDC joined Breaking Ground in celebrating the start of the transformation of 90 Sands. Once a Jehovah's Witness Hotel, 90 Sands is now on its way to becoming 491 units of affordable and supportive housing in the DUMBO neighborhood of Brooklyn. 305 units will be set aside for formerly homeless New Yorkers, who will have access to onsite supportive services provided by the Center for Urban Community Services. More than 28,000 square feet of the building will also be set aside for community-serving purposes such as community facilities and commercial space.

| | | 4-month Actual | | | | Annual Target | | Cumulative | |
|---|---|----------------|--------|-------|-------|---------------|--------|-------------------------|-------------|
| | | FY19 | FY20 | FY20 | FY21 | FY21 | FY22 | HNY (1/1/14-10/31/2020) | Target 2026 |
| HOUSING UNITS STARTED | | | | | | | | | |
| Total starts (new and preservation) | | 25,597 | 30,281 | 5,063 | 4,468 | 25,000 | 25,000 | 170,638 | 300,000 |
| New construction starts | | 9,419 | 6,759 | 636 | 2,564 | 10,000 | 10,000 | 53,691 | 120,000 |
| Preservation starts | | 16,178 | 23,522 | 4,427 | 1,904 | 15,000 | 15,000 | 116,947 | 180,000 |
| Total starts (new construction and preservation) by income band | Extremely low income units | 5,394 | 2,360 | 555 | 1,371 | * | * | 26,990 | 31,500 |
| | Very low income units | 8,542 | 12,841 | 297 | 486 | * | * | 47,464 | 43,500 |
| | Low Income units | 8,098 | 9,570 | 1,579 | 1,368 | * | * | 68,014 | 166,500 |
| | Moderate income units | 1,449 | 2,412 | 1,393 | 481 | * | * | 11,076 | 30,000 |
| | Middle income units | 1,979 | 3,036 | 1,216 | 737 | * | * | 16,334 | 28,500 |
| | Other Units (Includes units for building superintendents) | 135 | 62 | 23 | 25 | * | * | 760 | * |
| Total starts (new construction and preservation) by bedroom distribution | Studio units | 4,390 | 3,127 | 473 | 1,213 | * | * | 24,989 | * |
| | 1 Bedroom units | 9,007 | 11,108 | 2,160 | 1,658 | * | * | 59,298 | * |
| | 2 Bedroom units | 8,685 | 10,293 | 1,817 | 1,176 | * | * | 58,814 | * |
| | 3 Bedroom units | 3,118 | 5,607 | 540 | 375 | * | * | 22,448 | * |
| | 4+ Bedroom units | 309 | 145 | 73 | 44 | * | * | 2,004 | * |
| | Unclassified units | 88 | 1 | 0 | 2 | * | * | 3,085 | * |
| Total units started for special needs population | Units started for homeless individuals or families | 2,682 | 1,417 | 400 | 934 | 2,500 | 2,500 | 13,955 | 15,000 |
| | Units started for senior individuals or families | 2,001 | 698 | 157 | 365 | 2,250 | 2,250 | 9,723 | 30,000 |
| HOUSING UNITS COMPLETED | | | | | | | | | |
| Total completions (new and preservation) | | 19,018 | 14,820 | 6,783 | 1,617 | * | 13,350 | 101,572 | * |

¹Data on bedroom distribution is not available for homeownership assistance programs and small homeowner preservation programs.

| | | 4-month Actual | | | | Annual Target | | Cumulative | |
|--|---|----------------|-------|-------|-------|---------------|-------|-------------------------|-------------|
| | | FY19 | FY20 | FY20 | FY21 | FY21 | FY22 | HNY (1/1/14-10/31/2020) | Target 2026 |
| New construction completions | | 9,544 | 6,103 | 1,891 | 1,089 | * | 6,570 | 26,784 | * |
| Preservation completions | | 9,474 | 8,717 | 4,892 | 528 | * | 6,780 | 74,788 | * |
| Total completions (new construction and preservation) by income band | Extremely low income units | 4,285 | 2,537 | 605 | 658 | * | * | 16,258 | * |
| | Very low income units | 3,227 | 1,556 | 315 | 268 | * | * | 21,611 | * |
| | Low income units | 8,078 | 6,475 | 3,402 | 437 | * | * | 43,455 | * |
| | Moderate income units | 1,317 | 1,786 | 1,449 | 69 | * | * | 7,678 | * |
| | Middle income units | 1,999 | 2,393 | 987 | 170 | * | * | 12,060 | * |
| | Other units (Includes units for building superintendents) | 112 | 73 | 25 | 15 | * | * | 510 | * |
| Total completions (new construction and preservation) by bedroom distribution | Studio units | 3,329 | 2,462 | 710 | 452 | * | * | 13,929 | * |
| | 1 Bedroom units | 6,536 | 5,767 | 2,849 | 493 | * | * | 37,776 | * |
| | 2 Bedroom units | 6,114 | 4,927 | 2,497 | 448 | * | * | 34,011 | * |
| | 3 Bedroom units | 2,280 | 1,466 | 651 | 213 | * | * | 11,598 | * |
| | 4+ Bedroom units | 367 | 130 | 69 | 11 | * | * | 1,303 | * |
| | Unclassified units | 392 | 68 | 7 | 0 | * | * | 2,955 | * |
| Total units completed for special needs population | Units completed for homeless individuals or families | 2,538 | 1,197 | 313 | 392 | * | * | 7,777 | * |
| | Units completed for senior individuals or families | 1,192 | 1,117 | 466 | 207 | * | * | 5,758 | * |

¹Data on bedroom distribution is not available for homeownership assistance programs and small homeowner preservation programs.

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

None.

ADDITIONAL RESOURCES






For more information about these and additional initiatives underway, go to:

- Housing New York: A Five-Borough, Ten-Year Plan:
<http://www.nyc.gov/html/housing/pages/home/index.shtml>
- Housing New York 2.0
<https://www1.nyc.gov/assets/hpd/downloads/pdfs/about/housing-new-york-2-0.pdf>

**Collaborating
to Deliver
Results**



**PARTNER
AGENCIES
& OFFICES**

-  DCAS
-  DOHMH
-  DOT
-  NYPD
-  TLC

| Mayor's Office

The City launched [Vision Zero](#) in January 2014, recognizing that traffic crashes causing serious injury and death are not inevitable “accidents” but preventable incidents that can be systematically addressed and reduced. In partnership with the Mayor’s Office, City agencies are implementing 206 initiatives to advance this mission. Progress on each of these initiatives is updated in the annual [Vision Zero Report](#). The City’s investment in Vision Zero, funded with a total of \$3.7 billion through Fiscal 2024, has ensured resources will be available to continue an accelerated pace of redesign and reconstruction of City streets as well as for enforcement and education initiatives to deter unsafe driving and promote safe walking and biking.

Progress happened with the full force of City government—agencies collaborating since the inception of Vision Zero to chart a path towards safer streets for all, share best practices and implement proven strategies, as well as test new ones. The Vision Zero Task Force convenes regularly and includes representatives from the New York City Police Department (NYPD), the Department of Transportation (DOT), the Taxi and Limousine Commission (TLC), the Department of Citywide Administrative Services (DCAS), the Department of Health and Mental Hygiene (DOHMH), the Law Department, the Office of Management and Budget (OMB), the District Attorneys’ offices, the Metropolitan Transportation Authority (MTA), the Business Integrity Commission (BIC) and the Sheriff’s Office.

This cross-agency collaboration has contributed to the successful implementation of key Vision Zero initiatives. The expansion of the speed camera program, the enactment of the 25 miles per hour default speed limit, targeted and data-driven enforcement of violations such as speeding and failure-to-yield to pedestrians, extensive public outreach and the legislative agenda to deter dangerous driving behaviors have all resulted from this close coordination. Despite this progress, there remains work to be done and Vision Zero partner agencies are committed to making City streets safer.

In the first four months of Fiscal 2021, overall citywide traffic fatalities rose 39.5 percent, from 76 to 106. Fatalities among pedestrians, motorcyclists, motor vehicle operators and passengers increased, while bicyclist fatalities decreased.

| Traffic Fatalities | Actual | | | | | 4-month Actual | | PMMR FY20-FY21 % Change |
|-------------------------|--------|------|------|------|------|----------------|------|-------------------------------|
| | FY16 | FY17 | FY18 | FY19 | FY20 | FY20 | FY21 | |
| Total Fatalities | 236 | 211 | 209 | 218 | 211 | 76 | 106 | 39.5% |
| Pedestrians | 132 | 132 | 107 | 120 | 107 | 36 | 42 | 16.7% |
| Bicyclists | 20 | 16 | 21 | 17 | 22 | 12 | 11 | -8.3% |
| Motorcyclists | 25 | 20 | 35 | 34 | 31 | 15 | 27 | 80.0% |
| Motor Vehicle Operators | 34 | 21 | 30 | 30 | 34 | 7 | 13 | 85.7% |
| Passengers | 25 | 22 | 16 | 17 | 17 | 6 | 13 | 116.7% |

Source: NYPD

STREET DESIGN

DOT continued to make streets safer by implementing designs that simplify complex intersections, discourage speeding, slow down turns, provide bicycle lanes, make pedestrians and cyclists more visible and shorten pedestrian crossing distances at Vision Zero priority locations. During the reporting period DOT completed 27 street improvement projects at high crash locations, constructed five speed humps, activated 69 leading pedestrian intervals, installed accessible pedestrian signals at 63 intersections, installed 26.3 bike lane miles, which includes 13.0 miles of protected bike lanes and implemented safety signal retiming on two priority corridors.

During July to October 2020 DOT advanced work on all four Vision Zero Great Streets projects:

- **Queens Boulevard:** The City remains committed to implementation of the Phase 4 operational project, which covers the 1.1-mile portion between Yellowstone Boulevard and Union Turnpike. Because the Queens Boulevard project is partially federally funded, it requires sign-offs from both Federal Highway Administration (FHWA) and New York State Department of Transportation (NYSDOT). That process had some delays due to COVID-19 but is now nearing completion with full approvals expected by Summer 2021. In 2020, DOT also continued the design process for Phases A and B of the capital project (Roosevelt Avenue to Eliot Avenue) and completed Conceptual Design and Traffic Study work on Phases C and D (Eliot Ave to Union Turnpike).
- **Grand Concourse:** Construction finished on Phase 3 of the capital project (from East 171st Street to East 175th Street) with a ribbon cutting on August 11, 2020. Construction continues on Phase 4 (East 175th Street to East Fordham Road), and the design process continues for Phase 5 (East Fordham Road to East 198th Street).
- **Atlantic Avenue:** Construction of Phase 1 (Georgia Avenue to Logan Street) is substantially complete, with only a few minor work items remaining. There was a portion of work transferred to another contract and it is expected to commence in Spring 2021 when the bridge project is completed. The design of Phase 2 (Logan Street to Rockaway Boulevard) is complete, meaning the project is ready for construction and is awaiting a start date. DOT is preparing the Percent for Art proposal for presentation to the Public Design Commission, however that process is currently on hold due to COVID-19.
- **4th Avenue:** Operational work between 15th and 57th Streets, as well as between 1st Street and Flatbush Avenue, was completed in December of 2020. The median improvement capital project led by DOT and DDC, between 8th Street and 64th Street, is currently in the construction procurement phase. Further capital work that will take place between Atlantic Avenue and 64th Street is currently in the design procurement phase.

ENFORCEMENT

Data-driven law enforcement that deters dangerous driving behavior helps to reduce traffic fatalities and serious injuries. Consequently, NYPD continued to focus on enforcement of especially hazardous driving violations, including speeding, failure-to-yield to pedestrians, signal violations, improper turns and use of hand-held devices while driving.

Each week at TrafficStat, NYPD's Chief of Transportation meets with NYPD executives to outline, review and manage NYPD's traffic program. During the first four months of Fiscal 2021, NYPD issued 32,177 speeding summonses and 7,394 failure-to-yield to pedestrian summonses, a decrease of 32.3 percent and 76.6 percent, respectively from Fiscal 2020. NYPD also issued 580 violations of NYC Administrative Code 19-190—the "right of way law"—to drivers who struck a pedestrian or cyclist who had the legal right of way, and made 4 arrests for these violations. NYPD has a total of 3,241 officers trained in LIDAR devices that measure speed and 661 LIDAR guns in service.

In response to the pandemic, TLC Enforcement redeployed its officers to support the City's emergency work during the first four months of Fiscal 2021. The focus for TLC Enforcement has been PPE distribution to drivers, coordination of food delivery services with the Office of Emergency Management and work with the New York City Sheriff, including distribution of COVID-19 educational materials to the public. As TLC resumes standard enforcement, officers will once again begin to issue Vision Zero safety-related summonses to licensees.

OUTREACH AND EDUCATION

The Vision Zero Street Teams integrate education and enforcement to discourage unsafe behavior on City streets. Teams of DOT and NYPD staff work together to identify corridors with significant crash history, along with the causes of those crashes. Staff then spend a week distributing fliers to pedestrians and drivers with safety tips about the most common causes of crashes in those corridors, which is followed by NYPD enforcement in the same area in the subsequent week. In the first four months of Fiscal 2021 Street Teams concentrated efforts on nine high-priority corridors.

Vision Zero also delivers safe-driving messaging and training to specific populations of drivers, such as for-hire vehicle drivers, City employee drivers and MTA bus operators. At the City level, DCAS has reinforced the safety message to City employees with 1,401 City drivers trained in defensive driving during the reporting period, bringing the total number of employees who have completed the day-long safety training to over 66,500 since the beginning of Vision Zero. Defensive driving was significantly impacted by COVID-19, which shut down training in March, but training resumed during the reporting period via a new online training class. During the first four months of Fiscal 2021 DCAS continued to pilot virtual reality (VR) training to augment class sessions beginning with DPR. DCAS also worked with DOT, BIC, TLC and MTA to share best practices and coordinate training themes for fleet operators. Additionally, DCAS worked with the New York City Department of Education (DOE) to train DOE employees to teach defensive driving and develop the Vision Zero training curriculum for school bus operators.

In October 2020, TLC approved the resumption of in-person driver training and testing via TLC-authorized education providers after pandemic-related closure by State order in March. These nine schools and 12 test centers reopened in compliance with State, City, and TLC COVID-19 safety guidelines, including setting 50 percent class capacity, spacing of seating, posting of public health signage, PPE provision and enhanced cleaning protocols. The pre-licensure driver training offered by these education providers includes a specialized Vision Zero curriculum developed for for-hire drivers that highlights important street safety information, such as road designs like bike lanes, high-risk driving behavior that can lead to crashes and the crucial role that professional drivers play in promoting a culture of safe driving. By safely reopening these training facilities, new applicants can pursue their TLC Driver License and receive crucial safe driving information.

The “Dusk and Darkness” campaign returned for a fifth year in Fiscal 2021. Based on a 2016 DOT and NYPD analysis of crash trends, it was found that the earlier onset of darkness in the fall and winter is correlated with a 40 percent increase in severe injury and fatal crashes involving pedestrians in the early evening hours compared to crashes during those same hours outside the fall and winter. In addition, there were twice as many fatal and severe injury crashes involving driver turns during these hours. In response, the Vision Zero Task Force developed this multiagency seasonal enforcement and education approach. NYPD focused additional enforcement resources on the most hazardous violations, including speeding and failure-to-yield to pedestrians, with precincts increasing their on-street presence around sunset hours.

FLEETS

At the end of Fiscal 2020 DCAS announced that it acquired, through new vehicle purchases and retrofits, over 53,000 vehicle safety devices including vehicle telematics, truck sideguards, backup cameras, automatic braking, pedestrian avoidance systems, driver alerts and automatic headlights. DCAS has installed telematics in more than 12,000 City vehicles and over 10,000 school buses. These investments are designed to reduce collisions, improve training and driver awareness and lessen the impact of crashes that do happen.

Through October 2020, the number of City vehicles with truck sideguards exceeded 3,500. New units with sideguards were delivered and retrofits were completed on a daily basis with 882 trucks either retrofitted or replaced with sideguards in Calendar 2020. The City’s rollout of sideguards is the biggest implementation in North America and DCAS continues to work with other public and private fleets to advocate for these lifesaving safety devices.

Progress continued on the Connected Vehicle Pilot as hundreds of vehicles from DOT, TLC and other agencies were equipped with connected vehicle technology during the reporting period. This program is outlined in the [Safe Fleet Transition Plan Update](#), prepared by DCAS in partnership with the U.S. Department of Transportation Volpe Center. Additionally, it was announced during United Nations Global Road Safety Week that private fleets who are members of Together for Safer Roads (TSR) would be joining the program. DCAS and TSR also collaborated on the development of the Global Safety Leadership Council and will be launching the pilot program for small and medium-sized private fleets in Fiscal 2021.

DCAS began the installations of truck surround camera systems to enhance visibility for drivers and over 1,200 will be installed by end of Calendar 2021. Line of sight restrictions for truck operators is one of the biggest safety risks for the fleet.

TLC actively engaged licensees on safe driving techniques, street changes and partnered with Vision Zero sister agencies to promote the Dusk and Darkness campaign to its licensees. In coordination with DOT, TLC also educated taxi and for-hire drivers on pandemic-related changes to the City's streets, including Open Streets and outdoor dining, to ensure the influx of pedestrians, cyclists and diners sharing the roadway remained safe.

In Fall 2020, TLC relaunched an updated and improved distracted driving retraining course required for all drivers convicted of using an electronic device while driving for-hire. The course's new curriculum standards include an overview of the dangers of distracted driving, how to prevent this unsafe behavior and a review of safety enforcement and point-based penalty programs. Five education providers were approved to offer the course through an application, interview and teaching demonstration process established by TLC to ensure curriculum and teaching quality.

DATA-DRIVEN SOLUTIONS

While the burden of traffic injury and death in the City is well established, many questions still remain related to how and why crashes happen and the effects of prevention efforts. Vision Zero agencies continue working to improve what they know about the circumstances of roadway crashes and learning from the data they collect to inform decision making. In the first four months of Fiscal 2021 the Vision Zero Data Working Group made progress on prioritizing research agenda questions, collaborating with academic partners such as University of Chicago and Columbia University. This work included advancing the Speed and Red-Light Camera & Driver Behavior Study, which aims to determine the impacts of speed and red-light cameras on driving behavior over time and characterize repeat offenders across violations and involvement in traffic crashes. DOHMH, working with other City agencies, continues to promote action related to addressing Vision Zero research priorities.

| SELECTED PERFORMANCE INDICATORS | Actual | | | | 4-month Actual | | Target | |
|---|---------|---------|---------|---------|----------------|--------|--------|------|
| | FY17 | FY18 | FY19 | FY20 | FY20 | FY21 | FY21 | FY22 |
| Vision Zero-related moving summonses issued | 688,515 | 715,637 | 715,329 | 551,645 | 223,964 | 84,080 | * | * |
| - NYPD | 675,949 | 698,709 | 696,012 | 537,742 | 218,711 | 84,078 | * | * |
| - TLC | 12,566 | 16,928 | 19,317 | 13,903 | 5,253 | 2 | * | * |
| Speed boards deployed | 58 | 94 | 70 | 64 | 64 | 0 | * | * |
| Speed humps installed | 365 | 409 | 318 | 112 | 94 | 5 | 250 | 250 |
| Senior centers partnering with DOT to increase feedback on street safety improvements | 125 | 170 | 188 | 114 | 51 | 15 | * | * |
| Bicycle lane miles installed - total | 82.9 | 70.5 | 67.5 | 82.4 | 44.3 | 26.3 | 50 | 50 |
| Bicycle lane miles installed - protected | 16 | 23.9 | 20.2 | 21 | 14.3 | 13 | * | * |
| Leading pedestrian intervals installed (signal timing that allows pedestrians to start crossing before traffic is released) | 939 | 749 | 1121 | 819 | 229 | 69 | 300 | 300 |
| Intersections with accessible pedestrian signals installed | 116 | 51 | 112 | 222 | 74 | 63 | 75 | 75 |
| City employees trained in defensive driving citywide | 7,876 | 11,162 | 10,307 | 5,443 | 2,511 | 1,401 | 9000 | 9000 |

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- 'Bicycle lane miles installed – protected' has been added as indicator.

ADDITIONAL RESOURCES

For additional information go to:

- Vision Zero Website:
www.nyc.gov/visionzero
- Vision Zero View:
<http://www.nycvzv.info/>
- Vision Zero Year Six Report:
<https://www1.nyc.gov/assets/visionzero/downloads/pdf/vision-zero-year-6-report.pdf>
- Environment and Health Data Portal:
<http://www.nyc.gov/health/tracking>
- Safe Fleet Transition Plan Update 2018-2019:
<https://www1.nyc.gov/assets/dcas/downloads/pdf/fleet/Safe-Fleet-Transition-Plan-Update-2018.pdf>
- Green Wave: A Plan for Cycling in New York City
<https://www1.nyc.gov/html/dot/downloads/pdf/bike-safety-plan.pdf>
- Borough Pedestrian Safety Action Plans Update
<https://www1.nyc.gov/html/dot/downloads/pdf/vz-2019-update-city-hall.pdf>
- I See You: Safety for Trucks & Other Large Fleet Vehicles
<https://www.youtube.com/watch?v=ZbdcCZrHNjk>

**Collaborating
to Deliver
Results**

MAYOR'S ACTION PLAN FOR NEIGHBORHOOD SAFETY



PARTNER AGENCIES & OFFICES

| | |
|--|-------|
| | DFTA |
| | DOP |
| | DPR |
| | DYCD |
| | HRA |
| | NYCHA |
| | NYPD |

Mayor's Office
for Economic
Opportunity

Mayor's Office
of Criminal
Justice

Mayor's Office
to End Domestic
and Gender
Based Violence

Mayor's Office
of Operations

The Mayor's Action Plan for Neighborhood Safety (MAP), an initiative led by the Mayor's Office of Criminal Justice (MOCJ), is a groundbreaking approach to promoting neighborhood public safety and preventing crime. The MAP model moves beyond enforcement to address factors underlying public safety—enhancing opportunities for work and play, health and well-being and youth development; promoting well-designed spaces that are active and maintained; and improving trust between neighbors and with a responsive and just government. MAP enhances coordination between City agencies and New York City Housing Authority (NYCHA) residents to increase mutual accountability over local conditions and challenges. Since 2014, MAP has focused on 15 of the 326 NYCHA developments across the five boroughs in neighborhoods that have faced historic disinvestment and, as a result, have experienced persistent safety challenges and violent crime. Through MAP, residents, government agencies, and nonprofit partners work together to co-produce enduring improvements in safety.

What makes MAP unique is its goal of reorienting government thinking and operations to center the voices and experiences of residents who live in historically disinvested communities. Through MAP's fundamental organizing process, NeighborhoodStat, partner agencies and residents come together for joint problem identification and the testing of solutions that enable system-wide change. The innovative NeighborhoodStat meetings, which span from being hyper-local development based convenings to citywide policy making discussions, have served as a platform for resident stakeholders and City agency partners to work together to enhance public safety. They have resulted in the identification and deployment of a diverse array of social services, physical space interventions and infrastructure improvements. Through MAP, MOCJ has made significant investments to help create a safer environment through physical infrastructure improvements including exterior lighting and closed-circuit TV cameras at the 15 developments.

The MAP Stakeholder Teams, which consist of at least 15 residents per site, continue to develop priority areas and place-based interventions to ensure that residents' voices are included in the City's decision-making process. In Fiscal 2020, MAP's focus was on strengthening neighborhood engagement by expanding the reach of the initiative, deepening relationships with community members, and drawing upon the local knowledge of residents to develop tailored solutions for the MAP neighborhoods. By pursuing a process that draws upon the principles of participatory budgeting,, residents living in MAP developments were not only able to generate ideas for place-based projects to improve community safety and well-being, but also voted on which community-based projects should be implemented. Encouraging democratic selection of these projects advances MAP's work to promote civic engagement and amplify resident voices in government decision-making. Additionally, the solutions pursued through this process during Fiscal 2021 will be designed and implemented by the people who understand the most about community context—residents living in the specific MAP communities.

With many of the NYC communities hardest hit by COVID-19 also being disproportionately impacted by gun violence, MAP has been working to keep residents safe and healthy amid these dual public health crises.

Between July and October 2020, during a peak period for citywide crime reports, index crime complaints in MAP developments rose by 39 percent and shooting incidents tripled compared to the same time last year. Although the past year has brought unprecedented

challenges for MAP communities, with it has come increased mobilization between the MAP initiative, its partners in government and community-based organizations, and resident leaders in every borough taking similarly bold action in supporting community health and thriving.

These efforts have yielded significant results. MAP developments have experienced a 12 percent decline in index crimes between Fiscal14 and Fiscal20, compared to a six percent decline NYCHA-wide. During this same period, MAP sites also had a notable 18 percent reduction in shooting incidents. Additionally, an [external evaluation](#) has found that MAP developments had monthly index crime declines that were nearly twice as great compared to non-MAP NYCHA sites (-7.5 percent at MAP vs. -3.8 percent at non-MAP NYCHA).

TRUST

NEIGHBORHOODSTAT EMPOWERS RESIDENTS TO LEAD PROBLEM SOLVING LOCALLY

NeighborhoodStat is a process that brings together neighbors, community-based organizations, and agencies to support safer, more vibrant communities. Developed by MOCJ, NeighborhoodStat serves as the operational and organizational centerpiece of MAP. It is a community-based problem-solving process grounded in the belief that public safety cannot exist without the public. It is an acknowledgment that safe and thriving neighborhoods require resident leadership, community and government support, and resources to produce sustainable change.

To that end, Local NeighborhoodStat, developed in partnership with the Center for Court Innovation, employs a series of local meetings that engage residents and MAP partners in sharing and using data to identify public safety priorities and solutions. These meetings, and the information they generate, are an important part of MAP's strategy to enhance accountability by providing local residents and stakeholders with key resources and access to decision-makers. By the end of Fiscal 2020, 365 residents took leadership roles in the NeighborhoodStat process as members of the MAP stakeholder teams. Because of the activities described below, thousands of additional residents have engaged in the MAP initiative and taken advantage of its resources and participatory safety-building process.

RESIDENTS SELECT, DESIGN AND IMPLEMENT PROJECTS TO ADDRESS THEIR PRIORITIES

Over the past two years, MAP stakeholder teams received training and support to develop action plans for community-based programs and placemaking events to address key community challenges. In Fiscal 2019 and Fiscal 2020, MAP stakeholders completed 41 of their first round of project ideas, which included built environment/public space enhancement projects (e.g., gardens, information kiosks, murals, and basketball court renovations), pop up programming to activate underutilized spaces in the evenings and weekends, and youth-focused social programs (e.g., music mentorship and computer coding programs).

In an effort to reach even more residents in MAP communities who were not yet engaged in the initiative, during Fiscal 2020 MAP hosted 15 Local NeighborhoodStat meetings—large-scale community events within each development. There, residents directly participated in a problem solving process, provided feedback on the priorities the resident team members identified, and generated ideas on how to increase safety at the development.

Encouraged by the invitation to participate in designing solutions for their development, more than 1,600 residents attended Local NeighborhoodStat events, an increase of more than 50 percent compared to the same period in the previous fiscal year. Stakeholder Teams collected more than 6,000 idea cards representing resident suggestions for safety and well-being interventions. The teams then gathered these submissions for a wider Make Your Voice Count campaign in which all MAP residents could select their top project idea to receive \$30,000 in committed funding from the Mayor's Office of Criminal Justice. Through the Make Your Voice Count campaign, MAP developments engaged 15 percent of their neighbors with over 9,200 votes cast.

This process gave us a clear path forward for projects to improve community safety in each of the 15 MAP developments. Due to constraints related to COVID-19, implementation of the projects selected through this participatory engagement process were paused; however, teams have since resumed this work and will implement winning projects in 2021.

ASSESSING AND MEETING RESIDENT NEEDS DURING COVID-19

During the COVID-19 emergency, New York's most underserved neighborhoods and residents have been more vulnerable. MAP quickly activated the robust community networks that grew from years of engagement to identify and address the immediate needs of residents. In fact, during the height of the pandemic, MAP's stakeholder teams of residents and agency partners met virtually at an increased frequency (on a bi-weekly basis) in order to share information and resources in real-time.

In Fiscal 2020, over 10,000 public housing residents completed a COVID-19 Needs Assessment form developed with the Center for Court Innovation (CCI) to determine urgent needs for food, water, and personal protective equipment. The Needs Assessment linked residents to essential items that CCI's Neighborhood Safety Initiative personally delivered, such as food and personal protective equipment (PPE), as well as supportive services including public benefits, healthcare, and senior case management through MAP agency partners. More than 7,400 relief packages of food, PPE, and cleaning supplies were delivered by June.

During the first four months of Fiscal 2021, MAP continued to utilize the COVID-19 Needs Assessment to connect more than 1,000 households to critical and sustainable services, successfully launching a low-barrier referral system that directly connects residents to partners such as the Department of Social Services/Human Resources Administration, the Department of Health and Mental Hygiene, the Department for the Aging, and local community centers. MAP also launched a virtual discussion series called the Community Resiliency Seminars, which take place on a weekly basis and highlight key resources and examples of resilience across MAP developments. These sessions are open to any MAP resident and offer space for learning and sharing in a time of uncertainty and trauma.

DESIGN

DEVELOPING AND PROMOTING CREATIVE DESIGN SOLUTIONS FOR THE CITY

MAP Design is leading a coordinated effort between public agencies and communities to improve neighborhood safety and well-being through changes in the built environment, programs, and policy. In Winter 2019, MAP published *Safe Places, Active Spaces: A Community Playbook for Transforming Public Spaces in Your Neighborhood*, a how-to-guide for residents and organizations seeking to work with City agencies to produce public space improvements. As a complement to the larger Playbook, MAP also produced smaller, more focused guides with step-by-step instructions on resident gardening, public art and public events at NYCHA. The promotion and distribution of the Playbook and Mini-Guides was interrupted by COVID-19 but will be expanded in 2021 with opportunities for resident training and peer exchange.

Through the NYCx Challenge, MOCJ partnered with the Mayor's Office of the Chief Technology Officer (MOCTO) and the Department of Transportation (DOT) to sponsor two smart lighting projects in Brownsville, Brooklyn. These two projects, which feature motion-activated 3D projection and streetlamps, were co-created and led by youth at the Brownsville Community Justice Center, and seek to brighten public corridors, enhance public safety, provide space for cultural activities and increase foot traffic to local businesses within Brownsville's Osborn Plaza and alongside Belmont Avenue. These projects were active throughout Fiscal 2020 and will remain in place through Spring 2021.

MAP continues to work with partners across a variety of agencies to raise the profile and improve policy around resident-driven design and planning, including through NYCHA's Connected Communities initiative, DOHMH's revised Active Design Guidelines, City Planning's revised Urban Design Guidelines, HPD's Where We Live Plan, and DOT's Open Streets program.

OPPORTUNITY

SUMMER YOUTH EMPLOYMENT FOR ALL MAP YOUTH

Since Summer 2017, MAP youth aged 14-24 have had access to a pool of reserved spots in the Summer Youth Employment Program (SYEP), reflecting MAP's goal of connecting young residents to employment opportunities that provide valuable skills and job readiness. The number of MAP youth who have secured a summer job has more than doubled since 2014 as the result of a coordinated outreach and enrollment campaign. In Fiscal 2020, 2,961 residents

from MAP developments enrolled in SYEP during the summer of 2019. During the summer of 2020 (Fiscal 2021), MAP partners worked with DYCD to respond to the needs of young people during the COVID-19 emergency. Through a robust campaign, 2,003 young MAP residents took part in entirely virtual experiences through SYEP Summer Bridge.

HELPING YOUNG PEOPLE THRIVE AND STAY SAFE THROUGH EMPLOYMENT PROGRAMMING

Because of the importance of youth employment opportunities, particularly during the COVID-19 Pandemic, MAP, in partnership with the Office to Prevent Gun Violence (OPGV) and the Young Men’s Initiative (YMI) developed a remote component of the Anti-Gun Violence Employment Program (AGVEP) which offers young people between 14 to 24 years of age the chance to work with trusted mentors and learn new skills in a safe, virtual setting. AGVEP engaged more than 600 young people, 257 of whom reside in MAP developments, for six weeks in July and August. During summer 2020, young people participated in virtual courses in music production, coding, community journalism, financial literacy, and more, and earned a stipend while building career readiness.

PROVIDING EDUCATION, SUPPORT AND ENCOURAGEMENT TO AGING RESIDENTS

From March to June 2020, during the COVID-19 stay-at-home period, the DFTA MAP Community Advocates continued to maintain connections with MAP seniors by conducting wellness checks on hundreds of clients. The Advocates learned of technology needs among senior and caregiver households, and addressed the tech divide by distributing more than 300 tablets to caregivers while also connecting them to Older Adults Technology Services (OATS). Since then, the Grandparent Resource Center has held support groups virtually, and piloted a highly successful virtual Empowerment Series that builds skills among caregivers during these challenging times.

PROVIDING ACCESS TO FINANCIAL, FOOD, AND HOUSING SECURITY RESOURCES WITH THE HUMAN RESOURCES ADMINISTRATION (HRA)

During the first four months of Fiscal 2021, in an effort to ensure that MAP residents had access to public benefits support while HRA continues to experience intense demand citywide, the HRA MAP team of Outreach Specialists hosted multiple outdoor events to assist residents in applying for benefits or managing their cases. From July through October 2020, the team served more than 400 residents across the 15 developments during the outdoor pop-up events, and helped attendees apply for emergency rental assistance, Supplemental Nutrition Assistance Program (SNAP), grant-funded air conditioners, and more.

EVALUATION

The Research and Evaluation Center at the John Jay College of Criminal Justice is leading an evaluation of MAP and its component parts. A recent [report](#) released in October 2020 found promising and statistically significant associations between declines in crime and positive perceptions in social cohesion, collective efficacy, and awareness of social supports – all constructs which the MAP model targets. Findings indicate that as communities become more tightly connected and are better supported, they may experience gains in public safety outcomes.

The [study](#) also found that MAP sites were associated with a statistically significant 14 percent reduction in misdemeanors against persons, as well as a seven percent reduction in all misdemeanors, when compared to NYCHA sites with similar characteristics and controlling for other variables. The evaluation will be complete in Spring 2021.

| CRIME STATISTICS IN THE 15 DEVELOPMENTS | | | | | | | | | | |
|---|------|------|------|------|------|------|------|----------------|------|----------|
| Number of Incidents | FY14 | FY15 | FY16 | FY17 | FY18 | FY19 | FY20 | 4-month Actual | | |
| | | | | | | | | FY20 | FY21 | % Change |
| Total index crime | 867 | 810 | 837 | 759 | 778 | 747 | 766 | 276 | 383 | 38.8% |
| Violent crime | 625 | 531 | 610 | 547 | 558 | 559 | 534 | 183 | 273 | 49.2% |
| Property crime | 242 | 279 | 227 | 212 | 220 | 188 | 232 | 93 | 110 | 18.3% |
| Shootings | 34 | 35 | 29 | 27 | 22 | 27 | 28 | 6 | 24 | 300.0% |

The seven index crimes are murder, rape, robbery, felony assault, burglary, grand larceny and grand larceny auto. Violent index crimes include felony murder, rape, robbery and felony assault. Property index crimes include felony burglary, grand larceny, and grand larceny auto.

| Agency/Office | Indicator Name | Actual | | 4-month Actual | | Target |
|---|---|--------|--------|----------------|------|--------|
| | | FY19 | FY20 | FY20 | FY21 | FY21 |
| Improved Infrastructure / Environmental Design | | | | | | |
| NYCHA | Layered access projects completed (repairing and adding additional security to development entry and access points) (# bldgs.) ¹ | 67 | * | * | 13 | 14 |
| | Cameras installed (closed circuit television) (#cameras) ² | 232 | 276 | 276 | 469 | 469 |
| Community Engagement & Programming | | | | | | |
| Parks | Kids in Motion participants across MAP sites ³ | 43,510 | 45,622 | 45,622 | * | * |
| | Shape-Up participants across MAP sites ⁴ | 22,616 | 20128 | 7,587 | 231 | * |
| DYCD | MAP Summer Youth Employment (SYEP) participants ⁵ | 3,033 | 2,961 | 2,907 | 2003 | 2,000 |
| DOP | Participants enrolled in the Next STEPS youth mentorship program ⁶ | 235 | 185 | 114 | 78 | 200 |
| | Participants who positively exited Next STEPS program | 184 | 128 | 52 | 64 | 100 |
| HRA | Appointments to connect individuals to HRA services ⁷ | 2,109 | 2559 | 1,217 | 847 | 2000 |
| | Individuals connected to HRA services ⁷ | 1,508 | 1745 | 1,013 | 815 | 1600 |
| DFTA | Total Participants in DFTA Support Groups, Trainings, and Workshops ⁸ | 3,002 | 3685 | 1,885 | 456 | 1,500 |
| | Seniors engaged at public events ⁸ | 5,868 | 4392 | 2,357 | 58 | * |
| | Program intakes ⁸ | 398 | 462 | 235 | 8 | 400 |
| | Wellness Checks ⁹ | * | * | * | 149 | 500 |
| GCF | Program Enrollees ¹⁰ | 50 | 5 | 17 | 10 | 20 |
| MOCJ/CCI | Local NeighborhoodStat Attendees ¹¹ | 1083* | 1584 | 1,584 | * | 1,000 |
| | Local NeighborhoodStat - Resident Votes | * | 9210 | 9,210 | * | 9,300 |
| | Local NeighborhoodStat - Idea Cards Collected | * | 5980 | 5980 | * | 6,200 |
| NOTES | | | | | | |
| 1. One layered access point installation remains to be completed at Patterson Houses; all other LAC work is completed. | | | | | | |
| 2. Fiscal 2020 CCTV (closed circuit television) data increased from previously reported number as the completion date of work at Queensbridge Houses was revised. All CCTV work is now completed and reflected in the FY21 4-month actual data. | | | | | | |
| 3. Fiscal 2021 data impacted by COVID-19. Kids in Motion suspended at MAP sites. | | | | | | |
| 4. Fiscal 2020/2021 data impacted by COVID-19. Attendance reported reflects virtual Shape Up classes | | | | | | |
| 5. Fiscal 2021 data impacted by COVID-19. Attendance reported reflects virtual SYEP Summer Bridge program. | | | | | | |
| 6. Fiscal 2020/2021 data impacted by COVID 19. Next Steps sessions held virtually | | | | | | |
| 7. Fiscal 2021 data impacted by COVID-19. In-person appointments held during outdoor pop-up events with proper social distancing measures. | | | | | | |
| 8. Fiscal 2021 data impacted by COVID-19. All in-person DFTA services transitioned to virtual format. | | | | | | |
| 9. New Metric: DFTA "Wellness Checks" reflects calls made to clients during COVID-19 crisis | | | | | | |
| 10. Fiscal 2020/2021 data impacted by COVID-19. | | | | | | |
| 11. Fiscal 2019 actual increased after publication of previous MMR due to late reporting of one final event. | | | | | | |
| 12. Targets for FY21 modified or to be determined due to COVID-19 restrictions | | | | | | |

PARTICIPATING NYCHA DEVELOPMENTS

- **THE BRONX**

Butler
 Castle Hill I and II
 Patterson

- **BROOKLYN**

Boulevard
 Brownsville
 Bushwick
 Ingersoll
 Red Hook E and W
 Tompkins
 Van Dyke I and II

- **MANHATTAN**

Polo Grounds
 St. Nicholas
 Wagner

- **QUEENS**

Queensbridge I and II

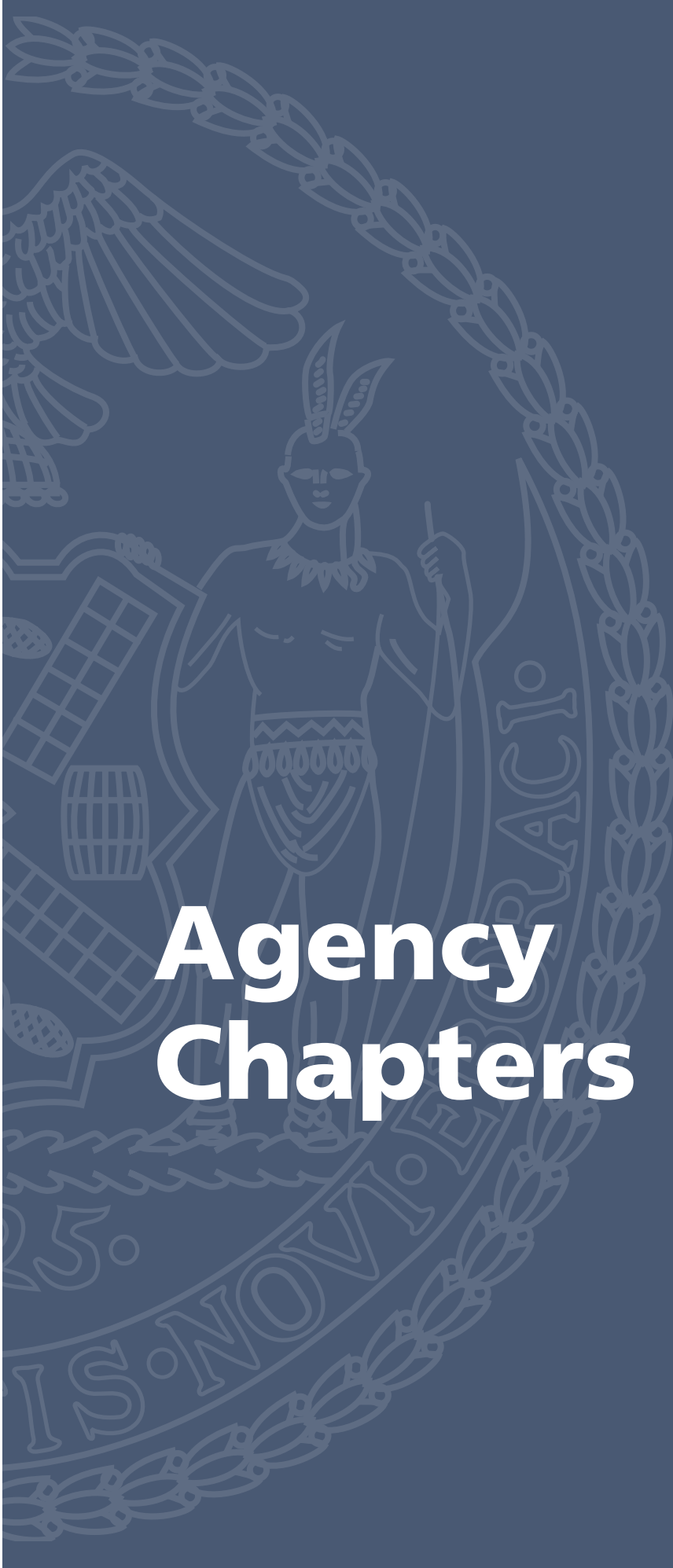
- **STATEN ISLAND**

Stapleton



NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

None.



Agency Chapters



Public Safety and Access to Justice



Public Safety and Access to Justice



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Police Department p 41



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Civilian Complaint
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NEW YORK CITY POLICE DEPARTMENT

Dermot Shea, Commissioner



WHAT WE DO

The NYPD was established in 1845, and today, is responsible for policing an 8.5-million-person city, by performing a wide variety of public safety, law enforcement, traffic management, counterterrorism and emergency response roles. In the past 25 years, the department has achieved spectacular declines in both violent and property crime, ensuring that New York City has the lowest overall rate of major crimes in the 20 largest cities in the country. The NYPD is divided into major bureaus for enforcement, investigations and administration. It has 77 patrol precincts with patrol officers and detectives covering the entire city. The department also has 12 transit districts to police the subway system and its nearly six-million daily riders and nine police service areas (PSAs) to patrol the city's public housing developments, which are home to more than 400,000 residents. Additionally, uniformed civilians serve as traffic safety agents on the city's busy streets and highways, as well as school safety agents, protecting public schools and the over a million students who attend them, and as police communications technicians, serving as 911 emergency radio dispatchers.

FOCUS ON EQUITY

In Fiscal 2021, the equitable, needs-based allocation of police personnel has been a major factor in achieving historically low levels of crime in the City, while also reducing arrests and criminal summonses. Each of the City's 77 precincts, 12 Transit Bureau districts and nine Housing Bureau PSAs has unique community and operational needs within their geographical boundaries, including high profile locations, transitory work and visitor populations and quality-of-life and community concerns. These factors, coupled with crime statistics and the number of 911 calls requiring police response, all contribute to the equitable deployment of police resources to address the problems and challenges our communities face. The NYPD further evolved its approach to ensuring public safety through Neighborhood Policing. Neighborhood Policing enhances community engagement by narrowing individual officers' responsibilities to one sector to help address shared concerns. Additionally, through the use of Department social media accounts, and the interactive Agency website, community members can contact officers directly, enabling a one-on-one approach to sharing and addressing issues. With Neighborhood Policing, supported by a strong social media presence, NYPD seeks to police with the City's communities, not just for them. The Department is committed to policing fairly and equitably among all our communities, and within our own workforce. Mandatory "Fair and Impartial Policing" training has been implemented for all ranks, and internal discussions about race and equity have begun through the Office of Equity and Inclusion. The NYPD is committed to cultivating a diverse and inclusive workplace for all its employees.

OUR SERVICES AND GOALS

SERVICE 1 Manage public safety programs related to criminal activity.

- Goal 1a Reduce the incidence of crime.
- Goal 1b Prevent terrorist attacks.
- Goal 1c Respond to police emergencies quickly.

SERVICE 2 Manage public safety programs related to traffic safety.

- Goal 2a Reduce the incidence of traffic collisions, injuries and fatalities.

SERVICE 3 Manage public safety programs related to quality of life.

- Goal 3a Reduce the incidence of quality-of-life violations.

SERVICE 4 Ensure courteous, professional and respectful interactions with the community.

- Goal 4a Improve police/community relations.

HOW WE PERFORMED

- Overall major felony crime increased slightly by 1.9 percent in the first four months of Fiscal 2021, compared to the first four months of Fiscal 2020. This increase was driven by a 61.4 percent increase in murder, a 3.5 percent increase in felonious assault, a 38.2 percent increase in burglaries, and a 65.5 percent increase in grand larceny of autos. These increases were offset by a 15.2 percent decrease in forcible rape, a 15.1 percent decrease in grand larcenies, and 4.3 percent decrease in robbery.
- Crimes related to domestic violence decreased 20 percent in Fiscal 2021. The Department has continued to take proactive steps to offer support to victims of domestic violence via telecommunications, phone interviews and in-person response, when applicable.
- The number of gang motivated incidents increased to 587 in the Fiscal 2021 reporting period compared to 237 the prior year. By expanding its precision policing capabilities, NYPD has improved its capacity to more accurately identify incidents as gang-related.
- Narcotics arrests decreased 54 percent in Fiscal 2021, following several years of decline. This trend is in line with the NYPD's prioritization of felony level narcotics arrests of higher level organized distributors.
- While the effects of the COVID-19 pandemic had reduced traffic volumes and overall traffic collisions, traffic fatalities have increased. In the first four months of Fiscal 2021, there were 53 traffic fatalities involving motorists/passengers, and 53 traffic fatalities involving bicyclists/pedestrians, 5 more compared to the same period of Fiscal 2020. The Department will continue to intensify traffic safety outreach to the public.
- The COVID-19 pandemic resulted in fewer vehicles on the roadways, contributing to the decline of moving violations summonses by 58 percent in the first four months of Fiscal 2021 when compared to the first four months of Fiscal 2020. The Department will continue to enforce vehicle and traffic law.
- In the first four months of Fiscal 2021, the total number of Quality-of-Life Summonses decreased by 58.3 percent when compared to the first four months of Fiscal 2020. This category has declined for a number of years due to the success of neighborhood policing and the decriminalization of quality-of-life offenses.
- In Fiscal 2021, Counterterrorism training hours decreased 47.2 percent for uniformed members of the service and 99 percent for non-uniformed members. Efforts to prevent the spread of COVID-19 resulted in the cancellation of all large-group training activities for non-uniformed members. Essential training has continued for uniformed members with limited capacity.

SERVICE 1 Manage public safety programs related to criminal activity.

Goal 1a Reduce the incidence of crime.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Major felony crime | 95,868 | 93,631 | 94,790 | ↓ | ↓ | 35,095 | 35,776 |
| ★ – Murder and non-negligent manslaughter | 303 | 278 | 352 | ↓ | ↓ | 127 | 205 |
| ★ – Forcible rape | 1,293 | 1,368 | 1,136 | ↓ | ↓ | 479 | 406 |
| ★ – Robbery | 13,573 | 12,556 | 13,438 | ↓ | ↓ | 5,084 | 4,867 |
| ★ – Felonious assault | 20,141 | 20,240 | 20,369 | ↓ | ↓ | 7,452 | 7,715 |
| ★ – Burglary | 11,856 | 11,053 | 13,229 | ↓ | ↓ | 3,893 | 5,379 |
| ★ – Grand larceny | 43,101 | 42,956 | 39,524 | ↓ | ↓ | 15,733 | 13,352 |
| ★ – Grand larceny auto | 5,599 | 5,180 | 6,742 | ↓ | ↓ | 2,327 | 3,852 |
| ★ Major felony crime in housing developments | 4,853 | 4,766 | 4,844 | ↓ | ↓ | 1,728 | 1,912 |
| ★ Major felony crime in transit system | 2,399 | 2,590 | 2,378 | ↓ | ↓ | 821 | 485 |
| Crime related to domestic violence - Murder | 53 | 54 | 64 | * | * | 20 | 16 |
| – Rape | 466 | 726 | 645 | * | * | 277 | 222 |
| – Felonious assault | 7,912 | 8,288 | 8,182 | * | * | 2,823 | 2,750 |
| ★ School safety - Major felony crime | 466 | 444 | 288 | ↓ | ↓ | 110 | 36 |
| – Murder | 1 | 1 | 0 | * | * | 0 | 0 |
| – Rape | 16 | 8 | 2 | * | * | 1 | 1 |
| – Robbery | 37 | 49 | 31 | * | * | 11 | 0 |
| – Felonious assault | 134 | 122 | 60 | * | * | 14 | 2 |
| – Burglary | 46 | 27 | 40 | * | * | 10 | 17 |
| – Grand larceny | 228 | 235 | 155 | * | * | 74 | 16 |
| – Grand larceny auto | 4 | 2 | 0 | * | * | 0 | 0 |
| School safety - Other criminal categories | 2,026 | 1,537 | 976 | * | * | 309 | 45 |
| – Other incidents | 5,112 | 4,202 | 2,912 | * | * | 981 | 84 |
| Gang motivated incidents | 347 | 495 | 750 | * | * | 237 | 587 |
| Gun arrests | 4,684 | 4,300 | 4,608 | * | * | 1,686 | 2,170 |
| Major felony crime arrests | 41,748 | 41,522 | 40,445 | * | * | 15,006 | 12,531 |
| Narcotics arrests | 43,574 | 25,098 | 15,886 | * | * | 6,902 | 3,175 |
| Juvenile arrests for major felonies | 2,200 | 2,754 | 4,252 | * | * | 1,422 | 828 |
| ★ Critical Indicator | “NA” Not Available | ↑↓ Directional Target | * None | | | | |

Goal 1b Prevent terrorist attacks.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Counterterrorism training (hrs) - Uniformed members | 129,302 | 144,617 | 99,681 | * | * | 39,181 | 20,701 |
| – Non-members | 42,482 | 42,699 | 24,982 | * | * | 12,761 | 123 |
| ★ Critical Indicator | “NA” Not Available | ↑↓ Directional Target | * None | | | | |

Goal 1c Respond to police emergencies quickly.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|---------|---------|---------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| End-to-end average response time to all crimes in progress (minutes:seconds) | 10:08 | 9:55 | 10:56 | * | * | 11:03 | 12:12 |
| End-to-end average response time to critical crimes in progress (minutes:seconds) | 6:44 | 6:38 | 7:38 | * | * | 6:56 | 8:04 |
| End-to-end average response time to serious crimes in progress (minutes:seconds) | 8:53 | 8:56 | 9:47 | * | * | 9:54 | 11:26 |
| End-to-end average response time to non-critical crimes in progress (minutes:seconds) | 19:37 | 19:04 | 19:01 | * | * | 20:39 | 20:50 |
| Average response time to all crimes in progress (dispatch and travel time only) (minutes) | 8.1 | 7.9 | 8.9 | * | * | 9.0 | 9.9 |
| ★ Average response time to critical crimes in progress (dispatch and travel time only) (minutes) | 4.8 | 4.7 | 5.7 | ↓ | ↓ | 5.0 | 5.8 |
| Average response time to serious crimes in progress (dispatch and travel time only) (minutes) | 7.0 | 7.0 | 7.9 | * | * | 8.0 | 9.2 |
| Average response time to non-critical crimes in progress (dispatch and travel time only) (minutes) | 16.9 | 16.3 | 16.5 | * | * | 18.4 | 18.0 |
| Crime in progress calls | 259,584 | 252,599 | 264,246 | * | * | 96,287 | 94,573 |
| ★ Critical Indicator "NA" Not Available ↑↓ Directional Target * None | | | | | | | |

SERVICE 2 Manage public safety programs related to traffic safety.

Goal 2a Reduce the incidence of traffic collisions, injuries and fatalities.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|---------|---------|---------|--------|------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Traffic fatalities (motorist/passengers) | 81 | 81 | 82 | ↓ | ↓ | 29 | 53 |
| ★ Traffic fatalities (bicyclists/pedestrians) | 128 | 137 | 129 | ↓ | ↓ | 48 | 53 |
| Driving while intoxicated (DWI) related fatalities | 28 | 20 | 17 | * | * | 5 | 3 |
| DWI arrests | 6,738 | 5,826 | 3,896 | * | * | 1,685 | 740 |
| Total moving violation summonses (000) | 1,075 | 1,027 | 749 | * | * | 312 | 131 |
| – Summonses for hazardous violations | 942,684 | 902,482 | 664,974 | * | * | 276,174 | 109,681 |
| – Summonses for prohibited use of cellular phones | 131,984 | 113,263 | 74,944 | * | * | 35,606 | 14,029 |
| ★ Critical Indicator "NA" Not Available ↑↓ Directional Target * None | | | | | | | |

SERVICE 3 Manage public safety programs related to quality of life.

Goal 3a Reduce the incidence of quality-of-life violations.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|---------|---------|--------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Quality-of-life summonses | 168,104 | 128,265 | 96,197 | * | * | 43,844 | 18,278 |
| – Unreasonable noise summonses | 1,785 | 1,160 | 1,024 | * | * | 540 | 226 |
| – Graffiti summonses | 0 | 1 | 1 | * | * | 0 | 0 |
| Graffiti arrests | 1,772 | 1,262 | 1,083 | * | * | 345 | 288 |
| ★ Critical Indicator "NA" Not Available ↑↓ Directional Target * None | | | | | | | |

SERVICE 4 Ensure courteous, professional and respectful interactions with the community.

Goal 4a Improve police/community relations.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|-------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Courtesy, Professionalism and Respect (CPR) testing | 7,698 | 5,028 | 3,583 | * | * | 1,656 | 1,350 |
| – Exceeds standard | 2 | 3 | 1 | * | * | 0 | 0 |
| – Meets standard | 7,619 | 4,992 | 3,559 | * | * | 1,644 | 1,349 |
| – Below standard | 77 | 33 | 23 | * | * | 12 | 1 |
| Total civilian complaints against members of the service | 4,392 | 5,236 | 4,597 | * | * | 1,668 | 1,021 |
| ★ Critical Indicator | “NA” Not Available | ↕ Directional Target | | | | | * None |

AGENCY-WIDE MANAGEMENT

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|-----------|--------|------|----------------|----------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Cases commenced against the City in state and federal court | 2,065 | 2,084 | 1,763 | * | * | 643 | 564 |
| Payout (\$000) | \$205,084 | \$178,412 | \$179,070 | * | * | \$72,019 | \$44,830 |
| Collisions involving City vehicles (per 100,000 miles) | 4.3 | 4.4 | 4.0 | * | * | 4.5 | 3.4 |
| Workplace injuries reported (uniform and civilian) | 6,829 | 6,654 | 9,159 | * | * | 2,527 | 2,018 |
| Violations admitted to or upheld at the Office of Administrative Trials and Hearings (%) | 55% | 50% | 57% | * | * | 56% | 64% |
| ★ Critical Indicator | “NA” Not Available | ↕ Directional Target | | | | | * None |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---------------------------------------|--------------------|----------------------|---------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Completed requests for interpretation | 291,745 | 275,981 | 287,866 | * | * | 99,277 | 95,003 |
| CORE facility rating | 96 | NA | 94 | * | * | NA | NA |
| Calls answered in 30 seconds (%) | 99% | 99% | 99% | * | * | 99% | 99% |
| ★ Critical Indicator | “NA” Not Available | ↕ Directional Target | | | | | * None |

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|----------------------|------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Response to 311 Service Requests (SRs) | | | | | | | |
| Percent meeting time to close – Residential Noise - Loud Music/Party (0.3 days) | 91 | 91 | 90 | * | * | 97 | 87 |
| Percent meeting time to close – Residential Noise - Banging/Pounding (0.3 days) | 89 | 88 | 88 | * | * | 95 | 98 |
| Percent meeting time to close – Noise - Street/Sidewalk (0.3 days) | 90 | 90 | 92 | * | * | 97 | 99 |
| Percent meeting time to close – Commercial Noise (0.3 days) | 94 | 94 | 91 | * | * | 97 | 99 |
| Percent meeting time to close – Blocked Driveway - No Access (0.3 days) | 86 | 84 | 77 | * | * | 95 | 96 |
| ★ Critical Indicator | “NA” Not Available | ↕ Directional Target | | | | | * None |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---------------------------------------|-----------|-----------|-----------|---------------------|-------------------|-------------------|----------------|-----------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$5,788.4 | \$5,976.8 | \$6,086.2 | \$5,244.3 | \$5,354.0 | \$5,419.7 | \$1,974.3 | \$1,810.6 |
| Revenues (\$000,000) | \$95.6 | \$109.7 | \$101.8 | \$100.6 | \$100.5 | \$104.0 | \$42.0 | \$39.5 |
| Personnel (uniformed) | 36,643 | 36,461 | 35,910 | 35,007 | 35,007 | 35,030 | 36,782 | 34,270 |
| Personnel (civilian) | 17,112 | 17,025 | 17,506 | 17,092 | 16,856 | 17,268 | 17,059 | 16,909 |
| Overtime paid (\$000,000) | \$724.6 | \$736.3 | \$837.5 | \$267.9 | \$254.4 | \$485.6 | \$254.0 | \$123.5 |
| Capital commitments (\$000,000) | \$327.1 | \$194.4 | \$127.7 | \$420.5 | \$300.7 | \$268.8 | \$36.7 | \$21.8 |

¹January 2021 Financial Plan. ²Expenditures include all funds "NA" - Not Available

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|--------------------------------------|--|---|-----------------------------------|
| Personal Services - Total | \$5,454.0 | \$4,739.2 | |
| 001 - Operations | \$3,584.8 | \$2,998.0 | All |
| 002 - Executive Management | \$562.7 | \$495.3 | All |
| 003 - School Safety | \$308.8 | \$306.2 | 1a, 1b, 1c, 4a |
| 004 - Administration - Personnel | \$290.6 | \$264.8 | All |
| 006 - Criminal Justice | \$57.7 | \$63.2 | 1a, 1c, 2a, 3a, 4a |
| 007 - Traffic Enforcement | \$187.5 | \$160.9 | 1a, 2a, 3a, 4a |
| 008 - Transit Police | \$248.9 | \$247.7 | 1a, 1b, 1c, 3a, 4a |
| 009 - Housing Police | \$213.1 | \$203.1 | 1a, 1c, 3a, 4a |
| Other Than Personal Services - Total | \$632.2 | \$614.8 | |
| 100 - Operations | \$127.1 | \$132.7 | All |
| 200 - Executive Management | \$139.4 | \$121.6 | All |
| 300 - School Safety | \$4.9 | \$4.5 | 1a, 1b, 1c, 4a |
| 400 - Administration | \$348.0 | \$343.7 | All |
| 600 - Criminal Justice | \$0.5 | \$0.6 | 1a, 1c, 2a, 3a, 4a |
| 700 - Traffic Enforcement | \$12.3 | \$11.8 | 1a, 2a, 3a, 4a |
| Agency Total | \$6,086.2 | \$5,354.0 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available * None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

None.

ADDITIONAL RESOURCES

For additional information go to:

- Crime Prevention/Crime Statistics (reports updated regularly): <http://www1.nyc.gov/site/nypd/stats/crime-statistics/crime-statistics-landing.page>
- For more information on the agency, please visit: www.nyc.gov/nypd.



WHAT WE DO

The Fire Department (FDNY) responds to fires, public safety and medical emergencies, natural disasters and terrorist acts to protect the lives and property of City residents and visitors. The Department advances fire safety through its fire prevention, investigation and education programs, and contributes to the City's homeland security efforts. The Department responds to more than 300,000 fires and non-fire related emergencies and more than 1.5 million medical emergencies a year and maintains approximately 250 firehouses and ambulance stations.

FOCUS ON EQUITY

As first responders to more than 1.8 million fires, medical emergencies and myriad other incidents that impact and threaten public safety each year, FDNY equitably protects the lives and property of all New York City residents and visitors. The Department also advances public safety through its fire prevention, investigation and education programs, focusing on communities most vulnerable to fire and its devastating impact on life and property. The delivery of these emergency and public service initiatives enables FDNY to make significant contributions to the safety of all New Yorkers. Over the course of many years, operational efforts combined with public education have helped reduce the number of serious fires and fire-related deaths, which historically have had a disproportionate impact on low-income neighborhoods and communities of color. To address higher response times to life-threatening medical emergencies in certain parts of the Bronx and Queens, the Department developed strategies and provided additional resources that resulted in improved response times in those communities. FDNY is also committed to cultivating and sustaining a diverse and inclusive workplace for all its employees, as outlined in its Diversity and Inclusion Vision, Mission and Goals Statement as well as its Inclusive Culture Strategy. These objectives are supported by its Equal Employment Opportunity, Sexual Harassment, Anti-Hazing/Anti-Bullying and similar policies. While continuing to enforce its members' compliance with the law and related policies, FDNY also provides diversity and inclusion education, restorative practices, mentoring and messaging to enhance authentic trust, supportive relationships, positive motivation, excellent education, community engagement and inclusive leadership development tools. Improving diversity, equity and inclusion is integral to every FDNY objective, especially the recruitment of firefighters. The Department maintains a separate website for recruitment, JoinFDNY.com, which received 472,000 page views in Fiscal 2020. JoinFDNY social media content received 4.8 million views and interacts directly with prospective applicants.

OUR SERVICES AND GOALS

SERVICE 1 Protect lives and property from fire hazards and other emergency conditions.

- Goal 1a Reduce the risk associated with fire incidents.
- Goal 1b Promptly respond to fires and other emergencies.
- Goal 1c Minimize damage to persons and property.

SERVICE 2 Respond to medical emergencies.

- Goal 2a Promptly respond to medical emergencies.
- Goal 2b Provide high-quality emergency medical care.

HOW WE PERFORMED

- Structural fires declined by eight percent while non-structural fire rose by eleven percent the first four months of Fiscal 2021 compared to the same period in Fiscal 2020.
- The end-to-end average response time (defined as the time elapsed between the time a 9-1-1 call starts to the time the first responding unit arrives) to structural fires in the first four months of Fiscal 2021 decreased by three seconds to four minutes and 52 seconds.
- The average response time by fire companies to all emergencies was five minutes and 20 seconds in the first four months of Fiscal 2021, an increase of four seconds compared to the Fiscal 2020 reporting period.
- Total fire company runs decreased by seven percent in the first four months of Fiscal 2021 compared to the same period in Fiscal 2020.
- Serious fires per 1,000 structural fires rose from 63 in the first four months of Fiscal 2020 to 76 in the first four months of Fiscal 2021.
- Civilian fire fatalities rose by two in the first four months of Fiscal 2021 to 19, compared to 17 in the same period of Fiscal 2020.
- The combined average response time (end-to-end time) to life-threatening medical emergencies by ambulances and fire companies held steady at eight minutes and 31 seconds in for the first four months of Fiscal 2021 compared to eight minutes and 30 seconds in the same period in Fiscal 2020.
- The combined response time (FDNY dispatch plus travel time) to life-threatening medical emergencies by ambulances and fire companies was five minutes and 43 seconds in the first four months of Fiscal 2021, 41 seconds faster than in the same period in Fiscal 2020, representing an eleven percent improvement.
- The average response time (FDNY dispatch plus travel time) to life-threatening medical emergencies by ambulances was 50 seconds faster during the reporting period. FDNY responded to a 12 percent decrease in life-threatening incidents during the period.
- In the first four months of Fiscal 2021, FDNY responded to 9,363 reports of patients in cardiac arrest or choking (segment one incidents), representing a four and a half percent increase compared to Fiscal 2020.
- The percentage of confirmed cardiac arrest patients that were revived remained the same at 33 percent during the reporting period.
- For the subset of confirmed non-traumatic cardiac arrests that were classified as bystander-witnessed cardiac arrest, resuscitations decreased by three and a half percentage points from 45.8 percent to 42.3 percent during the reporting period.
- Firefighter injury rates per 10,000 runs increased during the first four months of Fiscal 2019, from 67.5 to 75.6 per 10,000 runs.

SERVICE 1 Protect lives and property from fire hazards and other emergency conditions.

Goal 1a Reduce the risk associated with fire incidents.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|---------|---------|---------|---------|---------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Structural fires | 27,280 | 26,207 | 25,993 | ↓ | ↓ | 8,179 | 7,523 |
| Structural fires per 100,000 people | 331 | 312 | 310 | * | * | 97 | 90 |
| ★ Non-structural fires | 15,221 | 12,291 | 12,507 | ↓ | ↓ | 4,042 | 4,480 |
| Completed inspections performed by civilian fire prevention personnel | 203,052 | 209,410 | 177,386 | 161,000 | 161,000 | 71,179 | 64,560 |
| Violation orders issued | 55,107 | 65,201 | 54,777 | * | * | 23,222 | 18,648 |
| Violation orders corrected | 48,657 | 56,720 | 47,216 | * | * | 20,598 | 15,653 |
| Violation orders corrected (%) | 88% | 87% | 86% | * | * | 89% | 84% |
| Summonses issued | 7,900 | 7,225 | 3,827 | * | * | 2,017 | 1,282 |
| ★ Hazard complaints resolved within one day (%) | 90% | 93% | 91% | 85% | 85% | 89% | 93% |
| Completed risk-based inspections performed by uniformed personnel | 47,494 | 54,072 | 43,389 | * | * | 20,489 | 2,536 |
| Completed mandatory inspections performed by uniformed personnel | 55,815 | 47,237 | 37,706 | * | * | 15,504 | 5,590 |
| Investigations | 7,062 | 6,565 | 6,844 | * | * | 2,429 | 2,034 |
| Arson fires | 1,469 | 1,329 | 1,495 | * | * | 472 | 379 |
| Fire and life safety education presentations | 11,063 | 9,315 | 6,746 | * | * | 3,202 | 241 |
| ★ Critical Indicator "NA" Not Available ⬆️⬇️ Directional Target * None | | | | | | | |

Goal 1b Promptly respond to fires and other emergencies.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|-----------|-----------|---------|--------|------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| End-to-end average response time to structural fires (minutes:seconds) | 4:58 | 5:02 | 4:52 | * | * | 4:55 | 4:52 |
| ★ Average response time to structural fires (FDNY dispatch and travel time only) (minutes:seconds) | 4:20 | 4:28 | 4:24 | 4:14 | 4:14 | 4:28 | 4:22 |
| Average response time to all emergencies by fire companies (FDNY dispatch and travel time only) (minutes:seconds) | 5:06 | 5:15 | 5:13 | * | * | 5:16 | 5:20 |
| Total fire company runs | 1,166,170 | 1,146,803 | 985,491 | * | * | 380,031 | 354,339 |
| ★ Critical Indicator "NA" Not Available ⬆️⬇️ Directional Target * None | | | | | | | |

Goal 1c Minimize damage to persons and property.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Serious fires per 1,000 structural fires | 67 | 66 | 69 | ↓ | ↓ | 63 | 76 |
| ★ Civilian fire fatalities | 97 | 67 | 53 | ↓ | ↓ | 17 | 19 |
| Civilian fire fatalities per 100,000 people | 1.2 | 0.8 | 0.6 | * | * | 0.2 | 0.2 |
| ★ Critical Indicator "NA" Not Available ⬆️⬇️ Directional Target * None | | | | | | | |

SERVICE 2 Respond to medical emergencies.

Goal 2a Promptly respond to medical emergencies.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|---------|--------|------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| End-to-end combined average response time to life-threatening medical emergencies by ambulances & fire companies (minutes:seconds) | 8:13 | 8:28 | 9:31 | * | * | 8:31 | 8:30 |
| End-to-end average response time to life-threatening medical emergencies by ambulances (minutes:seconds) | 8:58 | 9:22 | 10:19 | * | * | 9:28 | 9:22 |
| End-to-end average response time to life-threatening medical emergencies by fire companies (minutes:seconds) | 7:38 | 7:49 | 8:25 | * | * | 7:51 | 8:10 |
| ★ Combined average response time to life-threatening medical emergencies by ambulances & fire companies (FDNY dispatch and travel time only) (minutes:seconds) | 6:03 | 6:22 | 6:43 | 6:00 | 6:00 | 6:24 | 5:43 |
| ★ Average response time to life-threatening medical emergencies by ambulances (FDNY dispatch and travel time only) (minutes:seconds) | 6:55 | 7:23 | 7:37 | 6:55 | 6:55 | 7:28 | 6:38 |
| ★ Average response time to life-threatening medical emergencies by fire companies (FDNY dispatch and travel time only) (minutes:seconds) | 4:42 | 4:48 | 4:58 | 4:38 | 4:38 | 4:51 | 5:02 |
| Life-threatening medical emergency incidents | 568,737 | 567,757 | 564,827 | * | * | 191,044 | 168,184 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 2b Provide high-quality emergency medical care.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Segment one incidents (cardiac arrest and choking) | 28,582 | 26,231 | 32,831 | * | * | 8,958 | 9,363 |
| ★ Cardiac arrest patients revived (%) | 30% | 35% | 27% | ↑ | ↑ | 33% | 33% |
| ★ – Witnessed cardiac arrest patients revived (%) | 45% | 47% | 39% | ↑ | ↑ | 46% | 42% |
| Peak number of ambulances in service per day | 472 | 460 | 491 | * | * | 476 | 512 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

AGENCY-WIDE MANAGEMENT

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| FDNY workers who sustained service-connected injuries (total agency-wide) | 10,006 | 9,556 | 8,358 | * | * | 4,046 | NA |
| Firefighters / fire officers who sustained service-connected injuries | 8,330 | 7,860 | 6,512 | * | * | 2,588 | 2,680 |
| Firefighters / fire officers who sustained service-connected injuries resulting in medical leave | 4,032 | 3,994 | 3,361 | * | * | 1,395 | 1,403 |
| Firefighters / fire officers who sustained service-connected burn injuries | 250 | 223 | 210 | * | * | 78 | 74 |
| Firefighters / fire officers who sustained service-connected burn injuries resulting in medical leave | 189 | 161 | 143 | * | * | 50 | 50 |
| EMS workers / officers who sustained service-connected injuries | 1,608 | 1,605 | 1,774 | * | * | 611 | 622 |
| Civilian workers who sustained service-connected injuries | 68 | 90 | 72 | * | * | 32 | 24 |
| Firefighter/ fire officer service-connected injury rate (per 10,000 runs) | 83.9 | 68.6 | 66.1 | * | * | 68.1 | 75.6 |
| Apparatus collision rate (per 10,000 runs) | 4.2 | 3.9 | 3.5 | * | * | 3.3 | 3.6 |
| Ambulance collision rate (per 10,000 runs) | 7.3 | 6.4 | 7.5 | * | * | 8.3 | 8.7 |
| Average annual cost of an engine company (\$000,000) | \$7.6 | \$7.9 | \$7.9 | * | * | NA | NA |
| Average annual cost of a ladder company (\$000,000) | \$9.4 | \$9.7 | \$9.7 | * | * | NA | NA |
| Average annual cost of an ambulance (\$000,000) | \$2.4 | \$2.2 | \$2.3 | * | * | NA | NA |
| Average time from inspection request until inspection (days) - Fire alarm inspections | 29 | 60 | 75 | * | * | 68 | 60 |
| Average time from inspection request until inspection (days) - Rangehood inspections | 5 | 5 | 5 | * | * | 5 | 5 |
| Violations admitted to or upheld at the Office of Administrative Trials and Hearings (%) | 92% | 93% | 92% | * | * | 96% | 89% |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------|-------|-------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Letters responded to in 14 days (%) | 95% | 95% | 95% | * | * | 96% | 98% |
| Completed requests for interpretation | 4,684 | 4,442 | 5,765 | * | * | NA | NA |
| E-mails responded to in 14 days (%) | 38% | 47% | 60% | * | * | 68% | 79% |
| Average wait time to speak with a customer service agent (minutes) | 32:40 | 23:29 | 21:35 | * | * | NA | NA |
| CORE facility rating | 100 | NA | 97 | * | * | NA | NA |
| ★ Critical Indicator "NA" Not Available ↑↓ Directional Target * None | | | | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|-----------|-----------|-----------|---------------------|-------------------|-------------------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$2,091.6 | \$2,114.0 | \$2,174.5 | \$2,103.6 | \$2,159.9 | \$2,091.5 | \$738.7 | \$751.1 |
| Revenues (\$000,000) | \$100.3 | \$105.5 | \$100.4 | \$98.5 | \$89.5 | \$103.5 | \$43.6 | \$37.4 |
| Personnel (uniformed) | 11,244 | 11,244 | 11,047 | 10,943 | 10,945 | 10,945 | 11,080 | 10,928 |
| Personnel (civilian) | 5,984 | 6,161 | 6,433 | 6,363 | 6,405 | 6,405 | 6,306 | 6,327 |
| Overtime paid (\$000,000) | \$332.7 | \$341.6 | \$331.8 | \$251.3 | \$269.7 | \$258.7 | \$107.3 | \$92.6 |
| Capital commitments (\$000,000) | \$85.6 | \$102.7 | \$114.6 | \$279.7 | \$169.6 | \$173.9 | \$92.2 | \$44.3 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|--|--|---|-----------------------------------|
| Personal Services - Total | \$1,883.4 | \$1,862.8 | |
| 001 - Executive Administrative | \$127.2 | \$120.2 | All |
| 002 - Fire Extinguishment & Emergency Response | \$1,377.5 | \$1,383.3 | All |
| 003 - Fire Investigation | \$24.2 | \$23.3 | 1a |
| 004 - Fire Prevention | \$48.3 | \$44.7 | 1a, 1c |
| 009 - Emergency Medical Service | \$306.1 | \$291.3 | 2a |
| Other Than Personal Services - Total | \$291.1 | \$297.1 | |
| 005 - Executive Administrative | \$226.7 | \$232.6 | All |
| 006 - Fire Extinguishment & Emergency Response | \$25.4 | \$25.7 | All |
| 007 - Fire Investigation | \$0.1 | \$0.2 | 1a |
| 008 - Fire Prevention | \$1.9 | \$2.0 | 1a, 1c |
| 010 - Emergency Medical Service | \$37.0 | \$36.7 | 2a |
| Agency Total | \$2,174.5 | \$2,159.9 | |
| ¹ Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ² Includes all funds. ³ Refer to agency goals listed at front of chapter. "NA" Not Available * None | | | |

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- Percent of serious fires reaching 2nd alarm or greater is no longer reported.

ADDITIONAL RESOURCES

For additional information go to:

- FDNY on Facebook:
<https://www.facebook.com/FDNY/>
- FDNY on Twitter:
<https://twitter.com/FDNY>
- Citywide and by borough monthly statistics:
<http://www1.nyc.gov/site/fdny/about/resources/data-and-analytics/citywide-statistics.page>

For more information on the agency, please visit: www.nyc.gov/fdny.

NEW YORK CITY EMERGENCY MANAGEMENT

Deanne Criswell, Commissioner



WHAT WE DO

NYC Emergency Management (NYCEM) helps New Yorkers before, during and after emergencies through preparedness, education and response. The agency leads the coordination for multiagency responses to emergencies and other significant incidents in New York City, including planned events, severe weather and other natural and non-natural hazards. To accomplish this mission, NYCEM leads interagency and public-facing programs designed to improve overall community preparedness. This includes developing New York City emergency plans, liaising with over 400 local, state, federal, nonprofit and other entities, educating the public about emergency preparedness and hosting all-hazard training and exercises. NYCEM also works to advance long-term initiatives that reduce risk and increase the resilience of New York City through mitigation planning and FEMA mitigation grant coordination. When emergencies occur, NYCEM activates the City's Emergency Operations Center, a central location for officials from city, state and federal agencies, nonprofits, private sector, regional and utility partners to work during emergencies to coordinate response efforts, make decisions and gather and broadcast information. NYCEM also manages Watch Command—the City's 24/7 coordination center which monitors citywide radio frequencies, local, national, and international media and weather, and provides public information through Notify NYC, the City's emergency communications program. As the City's primary liaison with the U.S. Department of Homeland Security for consequence management, NYCEM oversees the City's compliance with federal preparedness and emergency response requirements.

FOCUS ON EQUITY

NYCEM has a wide range of programs and activities designed to keep New York City communities prepared and resilient. These include Ready New York, Community Preparedness, Partners in Preparedness and the Community Emergency Response Team (CERT) program (volunteers trained in disaster preparedness and emergency response). Additionally, NYCEM partners with elected officials, community boards, civic groups and others. NYCEM's hazard and preparedness guides offer tips and information on planning for everybody's needs, including older adults, people with disabilities, children, people with limited English proficiency and people with pets. Most guides are available in 13 languages and audio format. Preparedness information is also available in Braille. In addition, contracted Certified Deaf Interpreters, American Sign Language (ASL) and multilingual interpreters are available for training, community events and during emergencies. [Notify NYC](#)—the City's free, official source for information about emergency events and important City services—offers common notifications in 13 languages and audio format. With support from local, state and federal partners, these programs address the diverse needs of New Yorkers and their communities.

OUR SERVICES AND GOALS

SERVICE 1 Ensure that City government is ready for emergencies.

- Goal 1a Efficiently coordinate emergency response, recovery and mitigation.
- Goal 1b Regularly conduct planning, training, drills and exercises.

SERVICE 2 Prepare New York City residents and private sector entities for emergencies.

- Goal 2a Increase emergency preparedness and awareness among City residents, the private sector, faith-based organizations and nonprofit organizations.
- Goal 2b Increase disaster volunteerism through the Community Emergency Response Team (CERT) program.
- Goal 2c Collect and disseminate timely, accurate information.

HOW WE PERFORMED

- During the first four months of Fiscal 2021, NYC Emergency Management was actively involved with 1,781 incidents that necessitated interagency coordination, on par with Fiscal 2020 which included 1,773 incidents in the same time period. NYC Emergency Management activated the City's Emergency Operations Center eight times from July to October 2020 for four heat emergencies, two tropical storms, a power disruption in Bay Ridge, and a severe weather incident, a 33 percent decrease compared to the same time period in Fiscal 2020. However, due to the ongoing COVID-19 response (for which the Emergency Operation Center was initially activated in February 2020), the City's Emergency Operations Center was activated for 123 days in Fiscal 2021 compared to 19 days during the same time period in Fiscal 2020, a 547 percent increase.
- NYC Emergency Management held two full-scale and functional exercises and four tabletop exercises in the first four months of Fiscal 2021. Though these were 60 and 69 percent decreases, respectively compared to the same period of Fiscal 2020, NYC Emergency Management coordinated several critical COVID-19 exercises related to Wave 2 policy decisions, Personal Protective Equipment (PPE), and healthcare staffing. NYC Emergency Management also participated in four drills conducted by other agencies or organizations. Although this is a 56 percent decrease compared to the same period of Fiscal 2020, NYCEM attended every drill the agency has been invited to.
- Participants at instructor-led emergency management training sessions decreased 76 percent in Fiscal 2021 compared to the same reporting period in Fiscal 2020. The decrease is attributed to the ongoing COVID-19 response which has limited staff availability to teach and attend courses.
- From July to October 2020, CERT completed 2,800 hours of volunteer service compared to 6,861 hours during the same period in Fiscal 2020. CERT traditionally conducts in-person emergency preparedness presentations and supports local events, but these are limited due to the pandemic. This year CERT successfully supported a number of COVID-19 efforts, including distribution of social distancing guidance material and face covers to restaurants across the City as well as distributing palm cards and face coverings to the public. Additionally, CERT was able to support Test and Trace canvassing to reach residents in COVID-19 clusters.
- In addition, subscribers to Notify NYC, CorpNet and the Advance Warning System increased by 16 percent in Fiscal 2021 compared to the same time period in Fiscal 2020

SERVICE 1 Ensure that City government is ready for emergencies.

Goal 1a Efficiently coordinate emergency response, recovery and mitigation.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|-------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Incidents | 3,913 | 5,495 | 6,084 | * | * | 1,773 | 1,781 |
| – Field responses | 748 | 853 | 879 | * | * | 339 | 211 |
| – Incidents monitored from Watch Command | 3,165 | 4,643 | 6,035 | * | * | 2,112 | 1,158 |
| Interagency meetings held during field responses | 204 | 342 | 184 | * | * | 82 | 56 |
| ★ Days Emergency Operations Center activated | 167 | 65 | 186 | * | * | 19 | 123 |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | | | | | * None |

Goal 1b Regularly conduct planning, training, drills and exercises.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|-------|--------|-------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Full-scale and functional exercises/drills | 15 | 17 | 15 | 5 | 14 | 5 | 2 |
| ★ Tabletop exercises | 22 | 27 | 28 | 31 | 31 | 13 | 4 |
| Participation in drills coordinated by other agencies or organizations | 49 | 45 | 19 | * | * | 9 | 4 |
| ★ Participants at instructor-led emergency management training sessions | 3,131 | 3,026 | 1,357 | 1,000 | 2,500 | 737 | 178 |
| Online emergency management courses completed through Learning Management System | NA | NA | 891 | * | * | 523 | 99 |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | | | | | * None |

SERVICE 2 Prepare New York City residents and private sector entities for emergencies.

Goal 2a

Increase emergency preparedness and awareness among City residents, the private sector, faith-based organizations and nonprofit organizations.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|--------|----------------------|--------|--------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Total participants at emergency preparedness education sessions | 102,569 | 90,325 | 57,381 | 75,000 | 75,000 | 26,862 | 78 |
| Ready New York webpage views | 24,561 | 18,899 | 31,978 | * | * | 11,064 | 5,272 |
| ★ Critical Indicator | "NA" Not Available | | ⇅ Directional Target | * None | | | |

Goal 2b

Increase disaster volunteerism through the Community Emergency Response Team (CERT) program.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|--------|----------------------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Community Emergency Response Team (CERT) volunteer hours | 21,286 | 18,176 | 16,936 | * | * | 6,861 | 2,800 |
| CERT members trained | 118 | 93 | 130 | * | * | 40 | NA |
| ★ Critical Indicator | "NA" Not Available | | ⇅ Directional Target | * None | | | |

Goal 2c

Collect and disseminate timely, accurate information.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|---------|----------------------|--------|------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Notify NYC messages issued | 1,626 | 2,775 | 3,910 | * | * | 1,368 | 1,090 |
| ★ Average time from incident to issuing of Notify NYC message (minutes:seconds) | 7:50 | 5:54 | 5:38 | 7:00 | 7:00 | 5:00 | 5:42 |
| Subscribers to Notify NYC, CorpNet, Advance Warning System, and Community Preparedness Newsletter | 752,540 | 771,515 | 898,250 | * | * | 789,453 | 911,512 |
| ★ Critical Indicator | "NA" Not Available | | ⇅ Directional Target | * None | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|-------------------------------------|--------------------|------|----------------------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Letters responded to in 14 days (%) | 100% | 100% | 100% | * | * | 100% | 100% |
| E-mails responded to in 14 days (%) | 100% | 100% | 100% | * | * | 100% | 100% |
| ★ Critical Indicator | "NA" Not Available | | ⇅ Directional Target | * None | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|---|---------|----------------------|---------------------|-------------------|-------------------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$58.9 | \$59.0 | \$257.9 | \$29.1 | \$324.2 | \$28.9 | \$27.1 | \$239.5 |
| Personnel | 186 | 188 | 196 | 66 | 209 | 65 | 195 | 196 |
| Overtime paid (\$000) | \$791.0 | \$601.0 | \$1,953.0 | \$692.0 | \$982.0 | \$184.0 | \$169.0 | \$561.0 |
| ¹ January 2021 Financial Plan. | ² Expenditures include all funds | | "NA" - Not Available | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|------------------------------------|--|---|-----------------------------------|
| 001 - Personal Services | \$19.6 | \$25.9 | All |
| 002 - Other Than Personal Services | \$238.3 | \$298.3 | All |
| Agency Total | \$257.9 | \$324.2 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available * None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- The target for indicator 'Participants at instructor-led emergency management training sessions' changed from 2,500 to 1,000. Due to COVID-19, NYC Emergency Management is unable to host in-person courses. In addition, as the agency continues to respond to COVID-19, staff availability to teach live-online and attend virtual courses is limited.
- The target for indicator 'Full-scale and functional exercises / drills' changed from 14 to 5. Given the transition to remote operations and social distancing requirements, NYC Emergency Management has been able to hold hybrid virtual functional exercises; however, these are limited in number due to the number of staff concurrently working on COVID response operations.

ADDITIONAL RESOURCES

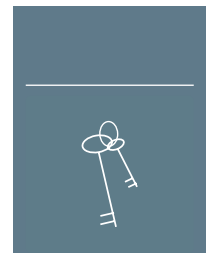
For additional information on items referenced in the narrative, go to:

- Ready New York:
<https://www1.nyc.gov/site/em/ready/ready-new-york.page>
- Ready New York Guides:
<https://www1.nyc.gov/site/em/ready/guides-resources.page>
- Community Emergency Response Team (CERT):
<https://www1.nyc.gov/site/em/volunteer/nyc-cert.page>
- Community Preparedness:
<https://www1.nyc.gov/site/em/ready/community-preparedness.page>
- Notify NYC:
<http://www.nyc.gov/notifynyc>
- Prep Talk podcast:
<https://www1.nyc.gov/site/em/about/podcasts.page>
- PlanNowNYC:
<https://plannownyc.cityofnewyork.us/>

For more information on the agency, please visit: nyc.gov/emergencymanagement.

DEPARTMENT OF CORRECTION

Cynthia Brann, Commissioner



WHAT WE DO

The Department of Correction (DOC) aims to create a safe and supportive environment for individuals in our care that promotes a path to successful community reintegration. We are committed to building safe communities by investing in those who reside in our facilities, which include individuals 17 years of age and older who are accused of crimes and are awaiting trial, who have been convicted and sentenced to less than one year of incarceration, or who are held on state parole warrants. Pursuant to New York's Raise the Age law, 16- and 17-year olds were removed from Rikers Island prior to October 1st, 2018. The Department currently operates 10 correctional facilities, five court holding facilities in each of the boroughs, and two hospital prison wards. Through the first four months of fiscal year 2021 the Department processed 5,324 admissions and managed a combined average daily population (ADP) of just over 4,000 individuals. This reflects a significant drop from previous years as the COVID-19 pandemic both reduced the number of individuals coming into our facilities and increased opportunities for release. Guided by its Reform Agenda, as well as the ongoing work with the Nunez Federal Monitor, the Department continues to implement substantive reforms informed by, and contributing to, correctional best practices. These reforms include a significant reduction in the use of punitive segregation and development of holistic approaches to behavior management; improved staffing ratios; enhanced staff training in Mental Health First Aid, Safe Crisis Management and De-escalation; and expansion of programming for those in custody that is designed to target individuals' specific risks and needs.

FOCUS ON EQUITY

The Department is committed to operating a safe and humane system that positively transforms the lives of those in its custody by equipping them with the resources they need to successfully reintegrate back into the community. While the Department doesn't make the decision about who to incarcerate or play a role in how someone arrives to one of its facilities, the Department is committed to helping everyone achieve a future with less involvement in the justice system. It is the Department's primary equity goal to identify the underlying reasons that may have brought individuals into its custody and care through the justice system in the first place and equip them with the resources they need to overcome these challenges. This includes facilitating access to education, substance abuse services, mental health treatment and vocational training that will equip individuals for a better future upon release. These measures function to counterbalance inherent disparities among those who come through the Department's doors by providing services to fill gaps in education, job readiness and health. The Department's goal is such that individuals return to their communities with the tools needed to succeed and contribute positively to their surroundings. This approach also extends to emotional wellness services, where the Department ensures all those in custody have access to counselors and mental health services as well as follow-up care. The Department likewise acknowledges that many of these services are only valuable if they are continued upon release. As such, the Department specifically partners with community organizations that provide in-person services in locations throughout the city to allow continuity of care with providers in individuals' home neighborhoods. The Department will continue to work with community members, advocates, staff and incarcerated individuals to further its mission of transforming lives and building safe communities.

OUR SERVICES AND GOALS

SERVICE 1 Provide a safe and secure environment for individuals in custody, staff and host communities.

- Goal 1a Ensure the security and safety of individuals in DOC custody.
- Goal 1b Ensure that use of force is authorized and appropriate.
- Goal 1c Provide individuals in custody with timely access to health services.
- Goal 1d Maximize bed capacity and address cell maintenance and repairs in a timely manner.
- Goal 1e Ensure timely transport of individuals in custody to courts throughout the City.

SERVICE 2 Prepare individuals in custody for return to their neighborhoods as civil and contributing members.

- Goal 2a Prepare as many individuals in custody as possible for successful release through participation in skills-building programs including educational opportunities, jobs training, behavioral interventions and mental health services.
- Goal 2b Reduce idleness by increasing participation of individuals in custody in mandated and other programs, services and activities.

SERVICE 3 Provide correction-related services and information to the public.

- Goal 3a Provide timely notifications to crime victims.

HOW WE PERFORMED

- The Department remains committed to ensuring the safety and security of all those who work and reside in its facilities. During the reporting period we saw significant changes in our population resulting from both the COVID-19 pandemic and bail reform laws that went into effect on January 1, 2020. While the average daily population dropped by 41.5 percent, largely due to a 53 percent decline in admissions, the percentage of security risk group (SRG) affiliated individuals increased by 6 points and the percentage of individuals incarcerated on a violent felony charge increased by 23 points. The result of this more challenging population is that, as compared to the previous reporting period, the rate of violence among people in custody increased by 15 percent and the rate of assaults of staff increased by 23.2 percent. The Department continues work to address violence within its jails through evidence-based approaches that focus on behavior change. This includes rolling out a case management system that targets an individual's specific criminogenic risks and develops a responsive and individualized case plan to best support their needs. The Department looks forward to expanding on this initiative and bringing this approach to all facilities once the circumstances of the pandemic make it safe to do so.
- During this reporting period, the Department experienced a 21.5 percent decline in total use of force incidents. Further, of the uses of force occurring in this reporting period, those resulting in no injury continued to comprise an increasingly larger share of all uses of force. The Department remains committed to addressing the use of unnecessary and excessive force. These efforts include ongoing engagement with staff about the use of force policy, close review of all use of force incidents with staff to promote awareness and accountability and through investigations to identify any incidents when force was misused and discipline appropriately where force was misused. Further, the Department continues to educate staff on the proper uses of force through trainings and utilizes Mentoring Captains to provide guidance to line staff where improper force is observed.
- During Fiscal 2020, the Department made several changes to the way serious injuries were classified and tracked. This included introducing a revised serious injury policy, implementing a data sharing system and updating the serious injury forms to more comprehensively capture the type of injury that occurred. As a result of these changes, there was an expected rise in reported serious injuries. As compared to July through October 2019, the rate of serious injuries to individuals as a result of violent incidents, rate of serious injuries associated with a use of force and number of accidents all increased; however, the Department notes that these metrics were all impacted by the revised classification and tracking procedures, which had not yet fully taken effect during the 2019 comparison period.
- The Department prioritizes the health and wellness of all people in custody, and this is especially true in light of the pandemic. Although the number of medical clinic visits fell 74 percent in this reporting period as compared to the same time last year, this decline is attributable to an overall decrease in population and the creation of a health triage hotline which provides people in custody with high quality access to medical support without stepping foot in the clinic. During the reporting period, individuals in custody completed over 26,000 calls to a CHS phone number. Through offering this new service, the Department and CHS have made significant progress in reducing wait times for those who do need to go to clinic, with the average wait time declining from 23 minutes last reporting period to 7 minutes this reporting period.
- While this reporting period saw a drop in the total number of searches, the Department's overall practices regarding searches have not changed. However, a number of operations that require searches were modified or suspended altogether as a result of the pandemic, including in-person visits, court appearances, state custody transfers and in-person programming. In addition, as described above, the Department's overall population also significantly decreased during the reporting period. With fewer people in custody, fewer open housing units and fewer movements in and out of our facilities, searches declined by 26.5 percent.

- As a result of COVID-19, many services and operations remained paused or modified during the reporting period. To support an increased need for remote court appearances and access to counsel, the Department added over 40 additional booths to guarantee coverage in every facility and reconfigured all of its devices to be compatible with the Office of Court Administration's software. In the first quarter of this fiscal year, the Department conducted nearly 15,000 court related services, including court appearances and communications between people in custody and their attorneys. Similarly, Department staff worked with external program providers who were unable to provide in-person programming to create individually tailored self-guided packets. These packets contain material focused on programming efforts such as cognitive behavior therapy, anger management, and substance use treatment, among others. A similar process was developed with the Department of Education to ensure access to educational materials and support remained while in-person learning was suspended. The Department additionally worked with reentry providers to establish a discharge hotline for individuals to connect with providers in lieu of in-person discharge planning. While these changes inhibited the Department's ability to report on the in-person metrics as typical in this report, DOC will continue to evaluate how to provide programming and services in a safe manner while following social distancing guidelines.

SERVICE 1 Provide a safe and secure environment for individuals in custody, staff and host communities.

Goal 1a Ensure the security and safety of individuals in DOC custody.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|---------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Admissions | 49,455 | 39,420 | 23,317 | * | * | 11,534 | 5,324 |
| Average daily population | 8,896 | 7,938 | 5,841 | * | * | 7,166 | 4,193 |
| Individuals in custody in Security Risk Group (% ADP) | 15.4% | 16.4% | 18.5% | * | * | 16.6% | 22.6% |
| Fight/assault infractions | 12,047 | 12,008 | 11,191 | * | * | 4,087 | 2,581 |
| Jail-based arrests of individuals in custody | 742 | 490 | 258 | * | * | 155 | 44 |
| Searches | 308,063 | 328,750 | 282,048 | * | * | 108,453 | 79,687 |
| Weapons recovered | 3,676 | 2,882 | 2,439 | * | * | 985 | 604 |
| ★ Violent incidents among individuals in custody (monthly rate per 1,000 ADP) | 55.9 | 68.9 | 80.1 | ↓ | ↓ | 73.1 | 84.1 |
| ★ Serious injury to individuals in custody as a result of violent incidents among individuals in custody (monthly rate per 1,000 ADP) | 2.0 | 2.5 | 9.6 | ↓ | ↓ | 5.9 | 11.1 |
| ★ Assault on staff by individual in custody (monthly rate per 1,000 ADP) | 9.2 | 12.5 | 15.8 | ↓ | ↓ | 15.4 | 18.6 |
| ★ Serious injury to staff as a result of assault on staff by individual in custody (monthly rate per 1,000 ADP) | 0.42 | 0.49 | 0.65 | ↓ | ↓ | 0.49 | 0.49 |
| ★ Escapes | 1 | 1 | 2 | ↓ | ↓ | 0 | 0 |
| ★ Non-natural deaths of individuals in custody | 1 | 2 | 0 | ↓ | ↓ | 0 | 0 |
| Stabbings and Slashings | 96 | 106 | 123 | * | * | 41 | 43 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 1b Ensure that use of force is authorized and appropriate.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Incidents of use of force - total | 5,175 | 6,670 | 6,806 | * | * | 2,486 | 1,952 |
| ★ Department use of force incidents with serious injury (rate per 1,000 ADP) | 1.52 | 1.56 | 2.63 | ↓ | ↓ | 2.20 | 3.13 |
| Department use of force incidents with minor injury (rate per 1,000 ADP) | 17.43 | 19.51 | 17.79 | * | * | 18.95 | 17.48 |
| Department use of force incidents with no injury (rate per 1,000 ADP) | 29.57 | 49.03 | 77.95 | * | * | 65.62 | 95.54 |
| Incidents and allegations of use of force | 5,589 | 7,064 | 7,047 | * | * | 2,591 | 2,020 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 1c Provide individuals in custody with timely access to health services.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|--------|-----------------------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Individuals in custody with a mental health diagnosis (% ADP) | 43% | 45% | 46% | * | * | 44% | 54% |
| Individuals in custody with a serious mental health diagnosis (% ADP) | 14.3% | 16.8% | 14.8% | * | * | 14.3% | 17.0% |
| Individual in custody health clinic visits | 76,856 | 81,405 | 52,146 | * | * | 25,391 | 6,559 |
| ★ – Average clinic waiting time (minutes) | 21 | 18 | 17 | ↓ | ↓ | 23 | 7 |
| ★ Critical Indicator | “NA” Not Available | | ↑↓ Directional Target | * None | | | |

Goal 1d Maximize bed capacity and address cell maintenance and repairs in a timely manner.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|------|-----------------------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Jail-cells unavailable (short-term repair) (%) | 3.7% | 3.7% | 4.3% | 1.0% | 1.0% | 4.1% | 4.2% |
| ★ Population as percent of capacity (%) | 77% | 72% | 63% | 96% | 96% | 69% | 59% |
| ★ Critical Indicator | “NA” Not Available | | ↑↓ Directional Target | * None | | | |

Goal 1e Ensure timely transport of individuals in custody to courts throughout the City.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-------|-----------------------|--------|-------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ On-trial individuals in custody delivered to court on-time (%) | 97.7% | 97.2% | 96.7% | 95.0% | 95.0% | 97.3% | NA |
| ★ Critical Indicator | “NA” Not Available | | ↑↓ Directional Target | * None | | | |

SERVICE 2 Prepare individuals in custody for return to their neighborhoods as civil and contributing members.

Goal 2a Prepare as many individuals in custody as possible for successful release through participation in skills-building programs including educational opportunities, jobs training, behavioral interventions and mental health services.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|------------------------|--------------------|--------|-----------------------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ I-CAN Enrollments | 7,685 | 4,703 | 3,050 | * | * | 1,713 | NA |
| I-CAN Workshops | 12,799 | 11,051 | 7,673 | * | * | 4,186 | NA |
| ★ Critical Indicator | “NA” Not Available | | ↑↓ Directional Target | * None | | | |

Goal 2b Reduce idleness by increasing participation of individuals in custody in mandated and other programs, services and activities.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-------|-----------------------|--------|-------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Average daily number of individuals in custody in vocational skills training programs | 482 | 418 | 287 | * | * | 262 | 50 |
| Average daily attendance in school programs | 169 | 77 | 60 | * | * | 69 | NA |
| ★ Individuals in custody participating in skills-building activities/discharge planning (%) | 23.8% | 20.9% | 20.9% | 10.0% | 10.0% | 19.5% | NA |
| ★ Critical Indicator | “NA” Not Available | | ↑↓ Directional Target | * None | | | |

SERVICE 3 Provide correction-related services and information to the public.

Goal 3a Provide timely notifications to crime victims.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Victim Identification Notification Everyday (VINE) system registrations | 22,668 | 23,728 | 18,843 | * | * | 7,416 | 4,596 |
| VINE confirmed notifications | 32,856 | 43,092 | 29,484 | * | * | 11,190 | 7,013 |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | | * None | | | |

AGENCY-WIDE MANAGEMENT

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|-------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Collisions involving City vehicles | 114 | 125 | 119 | * | * | 57 | 28 |
| Workplace injuries reported | 3,491 | 4,291 | 4,301 | * | * | 1,668 | 1,371 |
| Accidents involving individuals in custody | 36 | 27 | 241 | * | * | 63 | 80 |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | | * None | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|-------------------------------------|--------------------|----------------------|--------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Letters responded to in 14 days (%) | 100.0% | 100.0% | 100.0% | * | * | 100.0% | 100.0% |
| E-mails responded to in 14 days (%) | 100.0% | 100.0% | 100.0% | * | * | 100.0% | 100.0% |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | | * None | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|-----------|-----------|-----------|---------------------|-------------------|-------------------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$1,400.2 | \$1,374.5 | \$1,287.2 | \$1,150.0 | \$1,140.3 | \$1,157.1 | \$456.8 | \$421.0 |
| Revenues (\$000,000) | \$21.3 | \$19.9 | \$12.6 | \$13.5 | \$10.2 | \$15.5 | \$4.8 | \$3.2 |
| Personnel (uniformed) | 10,653 | 10,189 | 9,237 | 7,219 | 7,219 | 7,060 | 9,859 | 8,996 |
| Personnel (civilian) | 1,886 | 1,857 | 1,803 | 1,847 | 1,742 | 1,901 | 1,819 | 1,752 |
| Overtime paid (\$000,000) | \$221.7 | \$180.1 | \$146.6 | \$91.2 | \$94.2 | \$87.7 | \$53.9 | \$26.6 |
| Capital commitments (\$000,000) | \$34.4 | \$57.9 | \$42.2 | \$348.5 | \$404.5 | \$726.6 | \$11.8 | \$1.5 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|--------------------------------------|--|---|-----------------------------------|
| Personal Services - Total | \$1,112.1 | \$984.1 | |
| 001 - Administration | \$113.4 | \$109.5 | All |
| 002 - Operations | \$998.7 | \$874.6 | All |
| Other Than Personal Services - Total | \$175.1 | \$156.3 | |
| 003 - Operations | \$159.2 | \$139.7 | All |
| 004 - Administration | \$16.0 | \$16.5 | All |
| Agency Total | \$1,287.2 | \$1,140.3 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available * None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- As a result of the changes in policies and practices due to the restrictions of COVID-19, in-person programming services were suspended effective March 2020. Accordingly, there could be no data collected about the number of participants or frequency of service. The indicators in goals 1e, 2a and 2b are impacted.
- As a result of changes to practices regarding the method of court appearances, comparable data regarding on-time court production cannot be generated. To mitigate the spread of COVID-19, many individuals in custody attended court via a video appearance and the Department coordinated with the court system to facilitate these appearances.

ADDITIONAL RESOURCES

- Please visit the Department's website to view its COVID-19 Action Plan that details the changes in policies and practices necessary to prevent the spread of COVID-19.
<https://www1.nyc.gov/site/doc/media/coronavirusap.page>

For more information on the agency, please visit: www.nyc.gov/doc .

DEPARTMENT OF PROBATION

Ana Bermúdez, Commissioner



WHAT WE DO

The Department of Probation (DOP) helps build stronger and safer communities by working with and supervising people on probation, fostering positive change in their decision-making and behavior through research-based practices and by expanding opportunities for them to move out of the criminal and juvenile justice systems through meaningful education, employment, health and behavioral health services, family engagement and civic participation. DOP also supplies information and recommendations to the courts to help inform sentencing and disposition decisions. In Family Court, DOP provides reports in family offense, custody, child support, visitation, adoption and guardianship cases. In total, DOP provides intake and interstate services, investigations and supervision in some 50,000 cases per year.

DOP operates the Neighborhood Opportunity Network (NeON) in seven communities that a high concentration of people on probation call home, providing a range of opportunities to people on probation and other neighborhood residents. Through the NeONs, DOP reaches thousands of New Yorkers through arts programming, High School Equivalency classes, free groceries, access to health insurance enrollment services and more.

FOCUS ON EQUITY

As the largest and most robust alternative to incarceration in New York City, and one of the largest in the nation, DOP is committed to ensuring that the people under its supervision—who are disproportionately people of color—have access to the opportunities and services they need in order not just to avoid jail or prison, but to thrive.

DOP brings resources into the NYC neighborhoods which have been disproportionately impacted by the justice system and that large numbers of people on probation call home. DOP's nationally-recognized Neighborhood Opportunity Network (NeON) operates as an engine of equity in seven such communities (Brownsville, Bedford-Stuyvesant, East New York, Harlem, Jamaica, North Staten Island and South Bronx) by partnering with neighborhood residents and community-based organizations to develop ground-up solutions, while also providing people on probation with reporting sites and resources within walking distance of their homes. Recognized with the Excellence in Crime Prevention Award from the American Probation and Parole Association, the NeON model is premised on the value of authentic community engagement.

DOP is committed to minimizing the adverse collateral consequences of being involved in the criminal and juvenile justice systems which fall heavily on people and communities of color. This commitment is demonstrated through the diverse array of resources and programming (educational, employment and more) made available in these communities. Most NeON programs, including NeON Nutrition Kitchens, NeON Arts and NeON Sports, are open to all community residents fostering connectivity between neighbors and destigmatizing people on probation. An independent evaluation of the ground-breaking Arches Transformative Mentoring program, serving 16–24 year-olds on probation who live in NeON neighborhoods, found a more than two-thirds reduction in felony reconvictions among participants and the program was named a finalist in the Harvard Kennedy School's Innovations in American Government Awards.

Through accountability measures and service practices grounded in research, as well as partnerships with community-based organizations and other stakeholders, DOP fosters personal change, increases opportunities to thrive and strengthens communities, thereby building a more equitable and safer city.

OUR SERVICES AND GOALS

SERVICE 1 Contribute to optimal court processing and decision-making in delinquency and criminal justice matters.

- Goal 1a Produce timely and accurate pre-sentence investigations.
- Goal 1b Identify youth appropriate for diversion from formal juvenile court proceedings via adjustment services.

SERVICE 2 Improve community safety through a combination of accountability and support activities with those under probation supervision.

- Goal 2a Assess risk to match individuals with supervision and monitoring levels; use re-arrest and violation trends to make adjustments to supervision level components.
- Goal 2b Increase the probability of successful completion of probation terms through maximizing the use of evidence-based practices and community-based interventions.
- Goal 2c Maximize accountability with probation compliance through field visits and enforcement actions.

HOW WE PERFORMED

- The Department completed 1,060 pre-sentence investigations for adults and 95 juvenile Investigation and Reports (I&Rs), respectively a 68 and 78 percent decrease from the first four months of Fiscal 2020. These trends were driven by modified court operations related to COVID-19 and a year-to-year decline in NYPD arrests. The adult PSI on-time completion rate was 100 percent, a four percentage point improvement; the juvenile I&R on-time rate increased 17 percentage points to 99 percent.
- All youth arrested between the ages of seven and fifteen who fall under family court jurisdiction are processed post-arrest by DOP. Based on Raise the Age (RTA) legislation enacted in September 2017, sixteen- and seventeen-year-olds in New York State charged with lower-level crimes are also processed through family court intake. This law adds more arrested youths to DOP's juvenile intake, investigations and supervision caseloads in each borough. The Department processed 1,140 juvenile intakes in the first four months of Fiscal 2021, a decrease of 46 percent, based on the impact of COVID-19 on court and police operations.
- During the juvenile intake process, probation officers make individual assessments for statutory eligibility and suitability for adjustment, including outreach and communication with complainants, NYPD, and youths' families. The juvenile intake adjustment eligibility rate increased five percentage points to 30 percent during the first four months of Fiscal 2021.
- During the reporting period probation officers completed 1,685 initial risk / need assessments for adults entering probation supervision, a decline of 58 percent. Initial assessments for juveniles totaled 422, a decrease of 42 percent. The adult results were consistent with COVID-19 restrictions, NYPD arrest trends and a decline in the number of sixteen- and seventeen-year-olds processed in adult court due to RTA. Juvenile declines were partially offset by the same RTA phenomenon that reduced adult supervision intakes. These initial assessment screenings, based on validated actuarial instruments developed for community supervision, identify criminogenic risk factors and programming needs, and are used to develop Individual Action Plans (IAPs) for those on probation.
- The average monthly rearrest rate for adults on probation supervision decreased from 2.4 to 1.6 percent, while the juvenile rate decreased from 4.0 percent to 2.2 percent. When viewed as a percentage of all NYPD arrests, the adult rate was unchanged at 3.1 percent, while the juvenile rate decreased from 0.3 percent to 0.2 percent. The Department continues to analyze and respond to Citywide arrest trends.
- The average monthly violation rate for adults on probation decreased from 1.0 to 0.7 percent. Probation violation proceedings ending in revocation for adults declined by 11 percentage points to 22 percent. The violation rate for juveniles decreased 1.4 percentage points to 0.6 percent, while the juvenile revocation rate decreased 13 percentage points to 19 percent.
- The percentage of IAPs completed was unchanged at 100 percent for both adults and juveniles. IAPs serve as a roadmap for the period of probation supervision and provide a basis for benchmarking and measuring progress towards achieving short and longer-term goals, leading to better outcomes for individuals serving a community-based criminal or juvenile justice sentence.
- There were 37 new enrollments of juveniles in alternative-to-placement (ATP) programs, a 68 percent increase compared to the first four months of Fiscal 2020. The additional enrollments were consistent with the addition of RTA and a higher percentage of medium- and high-risk youths to probation supervision. There were 368 new enrollments in DOP-managed programs, a three percent decrease. The managed programs reduction was driven by DOP's overall supervision population trends and individual needs as determined by risk assessments and IAPs. Service areas in DOP-guided programs include mentoring, education, employment, and life skills.
- There were 1,295 targeted behavioral health intervention contacts to individuals on probation Citywide, a decrease of 13 percent from the previous fiscal year. The decrease was based primarily on COVID-19 contact restrictions and year-to-year declines in adult and juvenile supervision intakes and cases supervised.

- Early completions represented 21 percent of all adult probation supervision case closings, an increase of nine percentage points. The approval rate for early completion applications improved 10 percentage points to 95 percent. The Department continues to prioritize identifying qualified candidates for early completion based on compliance with the terms of probation.
- The rate of adults successfully completing their probation terms during the reporting period improved 11 percentage points to 90 percent. The rate for juveniles increased six percentage points to 94 percent. Completion rate monitoring and improvement are prioritized at DOP's internal performance management system for senior leadership, which emphasizes working towards goals set in individual action plans and setting probation compliance and programming dosage goals.
- The Department's Intelligence Unit (Intel) completed 412 enforcement actions, a 54 percent decrease, consistent with COVID-19 modifications to field operations as well as year-to-year population trends. Intel continues to utilize targeted deployment and enforcement practices aimed at individuals most at risk for recidivism or other misconduct.

SERVICE 1 **Contribute to optimal court processing and decision-making in delinquency and criminal justice matters.**

Goal 1a Produce timely and accurate pre-sentence investigations.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------|--------|-------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Adult investigation reports completed - total | 13,263 | 10,949 | 6,550 | * | * | 3,296 | 1,060 |
| Adult investigation reports - on time completion (%) | 94.0% | 98.0% | 96.0% | * | * | 96.0% | 100.0% |
| Juvenile investigation reports completed | 1,779 | 1,429 | 971 | * | * | 438 | 95 |
| Juvenile investigation reports - on time completion (%) | 87.0% | 87.0% | 88.0% | * | * | 82.0% | 99.0% |

★ Critical Indicator "NA" Not Available ⬆️⬆️ Directional Target * None

Goal 1b Identify youth appropriate for diversion from formal juvenile court proceedings via adjustment services.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|-------|-------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Juvenile supervision - Intake cases received | 3,699 | 4,406 | 6,097 | * | * | 2,129 | 1,140 |
| ★ Juvenile delinquency cases eligible for adjustment (%) | 30% | 37% | 39% | 30% | 30% | 25% | 30% |
| – low-risk (%) | 41% | 45% | 55% | * | * | 42% | 53% |
| – medium-risk (%) | 12% | 12% | 17% | * | * | 13% | 14% |
| – high-risk (%) | 11% | 7% | 6% | * | * | 3% | 1% |

★ Critical Indicator "NA" Not Available ⬆️⬆️ Directional Target * None

SERVICE 2 Improve community safety through a combination of accountability and support activities with those under probation supervision.

Goal 2a Assess risk to match individuals with supervision and monitoring levels; use re-arrest and violation trends to make adjustments to supervision level components.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Adult supervision cases - end of period | 19,229 | 17,299 | 14,504 | * | * | 16,694 | 13,630 |
| Juvenile supervision cases - end of period | 973 | 770 | 624 | * | * | 767 | 569 |
| Adult initial risk assessments completed | 17,246 | 10,705 | 9,432 | * | * | 3,965 | 1,685 |
| Juvenile initial risk assessments completed | 1,375 | 1,905 | 2,264 | * | * | 729 | 422 |
| ★ Adult probationer rearrest rate (monthly average) (%) | 2.7% | 2.4% | 2.1% | 3.0% | 3.0% | 2.4% | 1.6% |
| ★ Adult probationers arrested citywide as a percentage of the NYPD arrest report (monthly average) | 3.1% | 3.1% | 3.1% | 2.6% | 2.6% | 3.1% | 3.1% |
| ★ Juvenile probationer rearrest rate (monthly average) (%) | 4.2% | 3.2% | 3.2% | 3.5% | 3.5% | 4.0% | 2.2% |
| ★ Juvenile probationers arrested citywide as a percentage of the NYPD arrest report (monthly average) | 0.3% | 0.2% | 0.3% | * | * | 0.3% | 0.2% |
| ★ Average monthly violation rate for adult probationers (%) | 1.0% | 1.0% | 1.0% | * | * | 1.0% | 0.7% |
| ★ Average monthly violation rate for juvenile probationers (%) | 3.3% | 3.0% | 2.6% | 3.0% | 3.0% | 2.0% | 0.6% |
| Probation violation proceedings ending in revocation for adult probationers (%) | 49% | 44% | 34% | * | * | 33% | 22% |
| Probation violation proceedings ending in revocation for juvenile probationers (%) | 30% | 25% | 30% | * | * | 32% | 19% |
| Revocation of juveniles not resulting in placement (%) | 47.0% | 51.0% | 42.0% | * | * | 45.0% | 45.0% |
| Revocation of juveniles resulting in placement (%) | 53.0% | 49.0% | 58.0% | * | * | 55.0% | 55.0% |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 2b Increase the probability of successful completion of probation terms through maximizing the use of evidence-based practices and community-based interventions.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Adult supervision- new individual action plans (IAPs) created for eligible clients (%) | 100% | 100% | 100% | * | * | 100% | 100% |
| Juvenile supervision - new Individual action plans (IAPs) created for eligible clients (%) | 100% | 100% | 100% | * | * | 100% | 100% |
| New enrollments in alternative-to-placement (ATP) programs | 82 | 68 | 72 | * | * | 22 | 37 |
| New enrollments in DOP-managed programs | 1,452 | 1,279 | 857 | * | * | 380 | 368 |
| Adult probationer early completion rate (%) | 10% | 12% | 16% | * | * | 12% | 21% |
| Adult probationer early completion approval rate (%) | 75% | 86% | 89% | * | * | 85% | 95% |
| ★ Successful completion rate for adult probationers (%) | 76% | 78% | 83% | ↑ | ↑ | 79% | 90% |
| ★ Successful completion rate for juvenile probationers (%) | 84% | 90% | 90% | ↑ | ↑ | 88% | 94% |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 2c Maximize accountability with probation compliance through field visits and enforcement actions.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--------------------------|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Intel enforcement events | 2,269 | 2,650 | 1,843 | * | * | 889 | 412 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|-------|-------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Completed requests for interpretation | 11,117 | 9,661 | 9,485 | * | * | NA | NA |
| Letters responded to in 14 days (%) | 100% | 100% | 100% | * | * | 100% | 100% |
| E-mails responded to in 14 days (%) | 100% | 100% | 100% | * | * | 100% | 100% |
| ★ Critical Indicator "NA" Not Available ⇅ Directional Target * None | | | | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|-----------|-----------|-----------|---------------------|-------------------|-------------------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$103.1 | \$114.2 | \$114.3 | \$123.7 | \$125.4 | \$119.3 | \$49.5 | \$55.7 |
| Revenues (\$000) | \$442.0 | \$453.0 | \$321.8 | \$452.0 | \$452.0 | \$452.0 | \$117.0 | \$93.9 |
| Personnel | 1,052 | 1,162 | 1,123 | 1,148 | 1,096 | 1,134 | 1,127 | 1,096 |
| Overtime paid (\$000) | \$1,548.0 | \$3,466.0 | \$2,782.0 | \$1,861.0 | \$3,361.0 | \$1,861.0 | \$1,372.0 | \$424.0 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|--|--|---|-----------------------------------|
| Personal Services - Total | \$80.2 | \$79.6 | |
| 001 - Executive Management | \$9.5 | \$10.1 | All |
| 002 - Probation Services | \$70.7 | \$69.5 | All |
| Other Than Personal Services - Total | \$34.1 | \$45.8 | |
| 003 - Probation Services | \$34.0 | \$45.7 | All |
| 004 - Executive Management | \$0.1 | \$0.1 | All |
| Agency Total | \$114.3 | \$125.4 | |
| ¹ Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ² Includes all funds. ³ Refer to agency goals listed at front of chapter. "NA" Not Available * None | | | |

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- The Department revised the calculation method for the following indicators to improve the precision and transparency of both measures: 'Juvenile delinquency cases eligible for adjustment (%)' is now based on the percent of juvenile intake case recommendations each month that result in adjustment services, versus cases being referred to petition (prosecution). The previous method compared adjustment recommendations to all new juvenile intakes received per month. 'Average monthly violation rate for juvenile probationers (%)' now uses youths as the unit of measurement, rather than violation petitions per youth.

ADDITIONAL RESOURCES

For more information on the agency, please visit: www.nyc.gov/probation.

CIVILIAN COMPLAINT REVIEW BOARD

Frederick Davie, Chair



WHAT WE DO

The Civilian Complaint Review Board (CCRB) is an independent agency empowered to receive, investigate, prosecute, mediate, hear, make findings and recommend action on complaints alleging the use of excessive or unnecessary force, abuse of authority, discourtesy, the use of offensive language and untruthful statements by New York City police officers. The Board's investigative staff, composed entirely of civilian employees, conducts investigations in an impartial fashion. The Board forwards its findings to the Police Commissioner.

FOCUS ON EQUITY

CCRB focuses on equitable service delivery by resolving civilian complaints impartially and speedily, conducting outreach to the diverse communities of the City and examining the policies and systemic practices that lead to misconduct complaints. Toward that end, CCRB works to increase the percentage of complaints where findings on the merits are reached and, when officers are found to have committed misconduct, to recommend an effective level of discipline. CCRB continues to extend its outreach to underserved communities. CCRB has provided greater access for individuals who cannot travel to Manhattan to meet with investigators and CCRB's investigative team regularly conducts field interviews throughout the five boroughs, as well as on Rikers Island. The Board also conducts evening public meetings across the City. CCRB's website, which contains materials in eight languages, allows the public to file complaints, track the status of their complaints and view up-to-date maps with the number of misconduct complaints filed in each police precinct. The CCRB is in the process of building a new Civilian Assistance Unit (CAU) to serve and support complainants, victims and witnesses with special needs, particularly victims of sexual misconduct. The CCRB Youth Advisory Council (YAC), a 19-member working committee made up of young leaders, ages 10-24, who are committed to criminal justice issues and improving police-community relations, was initially launched in winter of 2018. The YAC meets quarterly and advises CCRB staff about its efforts to engage young New Yorkers, serve as ambassadors to their communities about the Agency and join team-building activities. CCRB also maintains a fellowship focused on equity: the James Blake Fellow aims to reduce the number of complaints closed without a full investigation by identifying complaints least likely to result in full investigations and recommending policy changes to address underserved groups.

OUR SERVICES AND GOALS

SERVICE 1 Investigate, prosecute and resolve claims of police misconduct.

- Goal 1a Improve the quality and timeliness of investigations.
- Goal 1b Increase the use of mediation to resolve complaints.
- Goal 1c Improve the quality and timeliness of prosecutions.

SERVICE 2 Inform and educate the public about the agency.

- Goal 2a Increase outreach and education of City residents.

HOW WE PERFORMED

- During the first four months of Fiscal 2021 the public filed 1,021 complaints about uniformed members of service, down from 1,668 in the first four months of the previous year. The average time to complete an investigation rose from 261 days to 315 days.
- During the first four months of Fiscal 2021 the percent of all cases that were fully investigated dropped to 29 percent from 39 percent over the previous reporting period. The percent of allegations closed with findings on the merits (fully investigated allegations closed as substantiated, exonerated) rose more than five percentage points over the previous year, to 59 percent.
- During the reporting period outreach events continued but had to be taken online, resulting in a drop to 106 outreach events from 290 during the first four months of Fiscal 2020.
- Mediations were unable to take place due to COVID-19.
- During the reporting period CCRB's Administrative Prosecution Unit closed a total of seven cases, including two trials and two pleas.

SERVICE 1 Investigate, prosecute and resolve claims of police misconduct.

Goal 1a Improve the quality and timeliness of investigations.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|-------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Total civilian complaints against uniformed members of the New York City Police Department | 4,392 | 5,236 | 4,597 | * | * | 1,668 | 1,021 |
| Average age of open docket (days) | 101 | 109 | 142 | * | * | 123 | 198 |
| ★ Average time to complete a full investigation (days) | 190 | 249 | 290 | 120 | 120 | 261 | 315 |
| ★ Full investigations as a percentage of total cases closed (%) | 32% | 29% | 34% | 40% | 40% | 39% | 29% |
| Cases closed | 4,048 | 4,795 | 3,991 | * | * | 1,314 | 872 |
| ★ Closed allegations with findings on the merits (%) | 48% | 51% | 55% | 55% | 55% | 54% | 59% |
| ★ Average time to complete a substantiated investigation (days) | 208 | 269 | 326 | 140 | 140 | 291 | 381 |
| ★ Substantiated cases in which the statute of limitations expired (%) | 0% | 1% | 0% | 0% | 0% | 1% | 4% |
| ★ Officers disciplined (excluding pending and filed cases) (%) | 73% | 75% | 82% | * | * | 78% | 89% |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | | * None | | | |

Goal 1b Increase the use of mediation to resolve complaints.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|----------------------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Cases with mutual agreement to mediate | 550 | 500 | 237 | * | * | 163 | 0 |
| Officers who accepted mediation (%) | 85% | 78% | 59% | * | * | 63% | 88% |
| Civilians who accepted mediation (%) | 46% | 43% | 36% | * | * | 44% | 16% |
| Cases successfully mediated | 233 | 202 | 126 | * | * | 65 | 0 |
| ★ Average mediation case completion time (days) | 106 | 131 | 129 | 120 | 120 | 119 | 0 |
| ★ Mediation satisfaction rate (%) | 95% | 88% | 83% | 94% | 94% | 82% | 0% |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | | * None | | | |

Goal 1c Improve the quality and timeliness of prosecutions.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Administrative prosecution cases closed | 83 | 47 | 60 | * | * | 9 | 7 |
| – Cases closed by trial | 43 | 19 | 39 | * | * | 3 | 2 |
| – Cases closed by plea | 33 | 16 | 7 | * | * | 3 | 2 |
| ★ Critical Indicator | “NA” Not Available | ↕↔ Directional Target | * None | | | | |

SERVICE 2 Inform and educate the public about the agency.

Goal 2a Increase outreach and education of City residents.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|----------------------------------|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Outreach presentations conducted | 947 | 805 | 749 | * | * | 290 | 106 |
| ★ Critical Indicator | “NA” Not Available | ↕↔ Directional Target | * None | | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---------------------------------------|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Completed requests for interpretation | 731 | 576 | 660 | * | * | NA | NA |
| Letters responded to in 14 days (%) | 79% | 57% | 53% | * | * | 45% | 88% |
| E-mails responded to in 14 days (%) | 86% | 100% | 100% | * | * | 100% | 40% |
| CORE facility rating | 94 | NA | 100 | * | * | NA | NA |
| ★ Critical Indicator | “NA” Not Available | ↕↔ Directional Target | * None | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|---------|---------|---------|---------------------|-------------------|-------------------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$16.4 | \$18.5 | \$19.7 | \$19.5 | \$19.7 | \$20.6 | \$6.1 | \$7.0 |
| Personnel | 182 | 178 | 203 | 219 | 228 | 236 | 191 | 193 |
| Overtime paid (\$000) | \$444.0 | \$544.0 | \$343.0 | \$0.0 | \$25.0 | \$0.0 | \$142.0 | \$24.0 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds “NA” - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency’s goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the ‘Applicable MMR Goals’ column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|------------------------------------|--|---|-----------------------------------|
| 001 - Personal Services | \$16.0 | \$15.2 | All |
| 002 - Other Than Personal Services | \$3.6 | \$4.6 | All |
| Agency Total | \$19.7 | \$19.7 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ² Includes all funds. ³ Refer to agency goals listed at front of chapter. “NA” Not Available * None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

None.

ADDITIONAL RESOURCES

For additional information go to:

- Monthly statistics:
<http://www1.nyc.gov/site/ccrb/policy/monthly-statistical-reports.page>
- File complaints online:
<https://www1.nyc.gov/site/ccrb/complaints/file-online.page>
- Status of complaints:
<http://www1.nyc.gov/apps/ccrb-status-lookup>
- Administrative trials:
<https://www1.nyc.gov/site/ccrb/prosecution/apu-trials.page>
- Maps of complaints in each precinct:
<http://www1.nyc.gov/site/ccrb/policy/complaint-activity-map.page>

For more information on the agency, please visit: www.nyc.gov/ccrb.

LAW DEPARTMENT

James E. Johnson, Corporation Counsel



WHAT WE DO

The Law Department is responsible for all of the legal matters affecting the City. The Department represents the City, the Mayor, other elected officials and the City's agencies in all affirmative and defensive civil litigation. The Department represents the City in juvenile delinquency prosecutions brought in Family Court and Administrative Code enforcement proceedings brought in Criminal Court. Law Department attorneys draft and review local and state legislation, real estate leases, procurement contracts and financial instruments for the sale of municipal bonds. The Department also provides legal counsel to City officials on a wide range of issues such as civil rights, education, intellectual property, land use and environmental policy.

FOCUS ON EQUITY

The Law Department's lawyers and support professionals work collaboratively to pursue justice while providing the City with the highest quality legal representation. Department staff are expected to treat all whom they encounter in litigation with professionalism, respect and empathy, even as they vigorously pursue all appropriate legal defenses and claims in the best interests of the City. The Department acts to ensure that unrepresented claimants are treated fairly, explaining in plain language discovery orders and other documents. The Family Court Division conducts outreach to victims in delinquency cases to ensure that they are offered necessary services and personal protection, at the same time that it advocates dispositional alternatives that rehabilitate young offenders in a manner consistent with public safety. The Department also brings affirmative litigation that advances vital interests of the City and works with other agencies to manage the risks involved in large scale and widespread government operations. The Law Department advises agency clients on a wide range of issues affecting public safety and welfare, including the areas of education, health, environment, economic development and law enforcement operations. Department attorneys play an important role in drafting legislation that advances significant City policies, including the protection of the civil rights of its residents.

OUR SERVICES AND GOALS

SERVICE 1 Represent the City of New York in litigation and other legal matters involving the City's interests.

- Goal 1a Limit the City's liability as a result of claims.
- Goal 1b Reduce the City's caseload in state court.
- Goal 1c Reduce the City's caseload in federal court.

SERVICE 2 Prosecute juvenile delinquency cases in Family Court.

- Goal 2a Balance the needs of juveniles and the community in delinquency cases.

SERVICE 3 Establish and enforce child support orders in interstate cases.

- Goal 3a Increase the percentage of out-of-state families that receive child support.

HOW WE PERFORMED

- In the first four months of Fiscal 2021, the payout for judgments and claims brought against the City in state and federal court decreased 45 percent compared to the same period of Fiscal 2020. This decrease is attributable, in part, to the city's diligent and consistent resolution of its legacy cases, resulting in lower payouts.
- In the first four months Fiscal 2021, cases commenced in federal court increased 11 percent, and cases pending in state court increased by 2.5 percent. Fewer summary judgement motions were made due to the COVID-19 crisis. Since all agencies were and still are mostly working from home, there was an inability to obtain the necessary affidavits and perform the necessary searches, which are requisite to making the motions.
- The Special Federal Litigation Division's assertive approach to motion practice and trials resulted in favorable verdicts, dismissals and discontinuances that were nearly 16 percent of all actions commenced in federal court in the first four months of Fiscal 2021, continuing the significant percentage of dismissals and discontinuances for actions commenced during same period in Fiscal 2020. This approach, together with the consequent settlement of actions, resulted in a 6 percent decrease in City cases pending in federal court.
- Referred cases filed for prosecution in Family Court decreased four percentage points in the first four months of Fiscal 2021 compared to same period in the prior fiscal year. This change is attributable to the Family Court having limited the filing of cases during the pandemic to essential matters which has been defined by the Family Court as only cases where the youth was in detention.
- The percentage of crime victims referred for community-based services decreased 26 percentage points in the first four months of Fiscal 2021, compared to the same period in the prior fiscal year. This change is attributable, in part, to commonly requested services not being needed during the pandemic when cases are being held virtually.
- COVID-19 caused courts to pause the processing of child support cases which resulted in there being no filings of enforcement referrals within 60 days of referral during the pandemic. As such, no referrals were received. The Family Court is only processing child support cases that were filed pre-COVID-19. No new petitions were docketed by the Courts.

SERVICE 1 Represent the City of New York in litigation and other legal matters involving the City's interests.

Goal 1a Limit the City's liability as a result of claims.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|-----------|--------|-------|----------------|----------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Total citywide payout for judgments and claims (\$000) | \$674,001 | \$642,112 | \$623,183 | ↓ | ↓ | \$119,202 | \$65,733 |
| ★ Total cases commenced against the City | 8,219 | 8,598 | 7,468 | * | * | 2,783 | 3,336 |
| – Cases commenced against the City in state court | 7,367 | 7,816 | 6,805 | 7,600 | 7,600 | 2,558 | 3,086 |
| – Cases commenced against the City in federal court | 852 | 782 | 663 | 1,050 | 1,050 | 225 | 250 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 1b Reduce the City's caseload in state court.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|--------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Cases pending in state court | 21,630 | 22,611 | 21,858 | 23,700 | 23,700 | 22,799 | 23,369 |
| – Cases pending on trial calendar | 2,337 | 1,898 | 2,059 | 2,700 | 2,700 | 1,926 | 2,074 |
| Affirmative motions to dismiss or for summary judgment | 1,713 | 1,461 | 1,131 | * | * | 460 | 206 |
| ★ Win rate on affirmative motions (%) | 71% | 72% | 74% | 78% | 78% | 75% | 85% |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 1c Reduce the City's caseload in federal court.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|----------------------------------|--------------------|------|----------------------|--------|-------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Cases pending in federal court | 1,049 | 877 | 814 | 1,150 | 1,150 | 879 | 822 |
| Dismissals and discontinuances | 273 | 262 | 166 | * | * | 39 | 39 |
| ★ Critical Indicator | "NA" Not Available | | ↕ Directional Target | * None | | | |

SERVICE 2 Prosecute juvenile delinquency cases in Family Court.

Goal 2a Balance the needs of juveniles and the community in delinquency cases.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|------|----------------------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Referred cases filed for prosecution (%) | 44% | 38% | 30% | 55% | 55% | 31% | 27% |
| Juvenile conviction rate (%) | 77% | 73% | 68% | 75% | 75% | 72% | 75% |
| ★ Juveniles successfully referred to a diversion program with no new delinquency referral within one year (%) | 86% | 86% | 87% | 75% | 75% | 88% | 80% |
| Crime victims referred for community-based services (%) | 46% | 57% | 66% | 45% | 45% | 71% | 45% |
| ★ Critical Indicator | "NA" Not Available | | ↕ Directional Target | * None | | | |

SERVICE 3 Establish and enforce child support orders in interstate cases.

Goal 3a Increase the percentage of out-of-state families that receive child support.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|------|----------------------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Filing of enforcement referrals within 60 days of referral (%) | 96% | 99% | 93% | 90% | 90% | 88% | NA |
| ★ Families entitled to a support order that get a support order (%) | 70% | 71% | 66% | 65% | 65% | 64% | NA |
| ★ Critical Indicator | "NA" Not Available | | ↕ Directional Target | * None | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---------------------------------------|--------------------|-------|----------------------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Completed requests for interpretation | 883 | 1,198 | 1,095 | * | * | NA | NA |
| Letters responded to in 14 days (%) | 100% | 100% | 100% | * | * | 100% | 100% |
| E-mails responded to in 14 days (%) | 100% | 100% | 100% | * | * | 100% | 100% |
| ★ Critical Indicator | "NA" Not Available | | ↕ Directional Target | * None | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|-----------|-----------|-----------|---------------------|-------------------|-------------------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$227.2 | \$254.1 | \$275.3 | \$246.5 | \$264.8 | \$240.9 | \$100.1 | \$91.9 |
| Revenues (\$000,000) | \$22.5 | \$48.4 | \$35.4 | \$21.3 | \$63.7 | \$21.3 | \$20.1 | \$10.1 |
| Personnel | 1,743 | 1,875 | 1,809 | 1,913 | 1,858 | 1,897 | 1,882 | 1,770 |
| Overtime paid (\$000) | \$1,187.0 | \$2,360.0 | \$1,692.0 | \$2,131.0 | \$2,132.0 | \$2,131.0 | \$588.0 | \$164.0 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|------------------------------------|--|---|-----------------------------------|
| 001 - Personal Services | \$161.0 | \$157.6 | All |
| 002 - Other Than Personal Services | \$114.2 | \$107.2 | All |
| Agency Total | \$275.3 | \$264.8 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ² Includes all funds. ³ Refer to agency goals listed at front of chapter. "NA" Not Available * None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- The total citywide payout for judgments and claims (\$000) for Fiscal 2020 has been adjusted from \$636,961 to \$623,183.

ADDITIONAL RESOURCES

For more information on the agency, please visit: www.nyc.gov/law.

DEPARTMENT OF INVESTIGATION

Margaret Garnett, Commissioner



WHAT WE DO

The Department of Investigation (DOI) promotes and maintains integrity and efficiency in City government by investigating City employees and contractors who may be engaged in corrupt activities or unethical conduct, and by examining gross mismanagement and abuse in City agencies and entities. It has oversight of more than 45 Mayoral agencies with over 300,000 employees, as well as dozens of City boards and commissions. DOI's strategy attacks corruption comprehensively through investigations that lead to high impact arrests, public reports, and recommended preventive internal controls and operational reforms. DOI's work aims to prevent criminal misconduct and waste, remove corrupt public officials and ensure wrongdoers are punished, and improve the way City government functions. DOI serves New Yorkers by acting as an independent and nonpartisan watchdog for City government.

FOCUS ON EQUITY

DOI focuses on equitable service delivery by rooting out municipal corruption through criminal investigations and examining systemic issues that undermine good government and New Yorkers' access to services. DOI works to improve the integrity, effectiveness and credibility of City government by investigating cases involving corruption, waste, fraud, and inefficiency in City government, and issuing policy and procedure recommendations (PPRs) as necessary to mitigate vulnerabilities. To that end, DOI reviews City agencies' policies and procedures and recommends concrete ways to strengthen internal controls so public dollars are saved and operations improved. One example of this work during the first four months of Fiscal 2021 is the issuance of a report by the Department, which reviewed and analyzed policies and procedures of various City agencies that have a role in Environmental Control Board (ECB) summons issuance and debt collection. The investigation found that there are numerous gaps undermining and impeding the ECB collection process, which is a valuable revenue stream for the City and also serves as a deterrent to quality-of-life violations. The investigation resulted in 203 PPRs issued Citywide concerning six different recommendations for reform. A copy of DOI's report can be found on the agency's website.

DOI pursues equitable service delivery by ensuring that its investigations follow the facts and the law, regardless of influence or position. The Department's investigations in this period reflect that no one is above the law, whether they are a corrections officer, an assistant commissioner, or an agency attorney. During this 4-month period, DOI investigations culminated in a number of arrests and convictions. These include the arrest of an expediter who allegedly submitted forged documents to the City Department of Environmental Protection; the arraignment of a City employee on charges of possession of a fraudulent parking placard and operating a motor vehicle with a suspended license; and the arrest of a former day care director on charges of providing false statements and forged documents to the City Department of Health and Mental Hygiene. Additional convictions include a City employee of the Civil Service Commission who pled guilty to a misdemeanor charge of falsifying hours on a timesheet for hours not worked, and agreed to pay back more than \$15,000 in restitution to the City. Also, a City correction officer who pled guilty to one count of conspiring to commit honest services wire fraud for his role in smuggling packages containing contraband to inmates detained on Rikers Island in return for thousands of dollars in cash bribes.

OUR SERVICES AND GOALS

SERVICE 1 Investigate possible corruption, fraud, waste and unethical conduct in City government.

- Goal 1a Maintain the integrity of City agencies, employees, contract vendors and other recipients of City funds.
- Goal 1b Improve the impact and effectiveness of investigations.

SERVICE 2 Conduct background and fingerprint checks for certain City employees, contractors and day care workers.

- Goal 2a Ensure that all background investigations and fingerprint checks are conducted in a timely manner.

HOW WE PERFORMED

- During the first four months of Fiscal 2021, complaints decreased by 20 percent compared to the same period of Fiscal 2020. The Department attributes this decrease to the impact of the COVID-19 pandemic. While the overall number of complaints have decreased compared to the same period last year, the four-month period has seen complaints steadily rising throughout each month. Continuing its outreach strategies, including agency on-line corruption training, and public awareness of the agency's mission, the Department is confident that moving forward the level of complaints received will continue to increase and eventually return to normal levels as the City's operations likewise return to normal.
- The number of written policy and procedure recommendations issued by DOI during the four-month period increased 112 percent. Of those PPRs, 41 percent have since been accepted, two percent have been rejected and 57 percent are pending. Fifty percent of PPRs issued and accepted have since been implemented by City agencies. This includes PPRs where the agency had the practice in place when the PPR was issued. While many of the PPRs issued during the period were Citywide recommendations related to Environmental Control Board debt collection, the Department continues to focus on the various categories of written PPRs, including the monitoring of those PPRs that are pending.
- The number of corruption prevention and whistleblower lectures conducted by DOI decreased 90 percent. Similarly, the number of City agency e-learning anti-corruption lectures deployed on-line decreased 78 percent. These decreases are attributed to the COVID-19 pandemic when the majority of in-person lectures were suspended and e-learning shifted to primarily remote access given many agencies' reliance on telework during the period, which presented various technological and other challenges to agencies.
- The number of integrity monitoring agreements decreased 47 percent, from 15 to eight, due to a number of monitorships that came to a close in 2020, three of which occurred during the July through October period.
- Vendor name checks completed within 30 days increased seven percent during the period with the average time to complete a check of seven days, a decrease from the same period last fiscal year, when the average time to complete was 20 days. The Vendex Unit is continuing its efforts to increase the overall percentage of checks completed, and currently continues to perform vendor name checks in response to COVID-19 agency procurement needs. During the four-month period the unit conducted 55 emergency COVID-19 vendor name checks received directly from agencies.
- During the reporting period, the agency focused on completing its oldest cases, coupled with a high number of large-scale investigations and reports conducted during the period, which contributed to a 24 percent increase in the average time to complete an investigation. Similarly, during the reporting period, arrests decreased 64 percent and referrals for criminal prosecution and civil and administrative action decreased 50 percent and 15 percent, respectively. The increased time to complete cases and the notable decrease in arrests and criminal referrals is largely attributable to the challenges the pandemic has posed to the criminal justice system and to the reduced operations of our prosecutor partners and the courts (both during this four-month period and since the COVID-19 State of Emergency).
- Compared to the same period during Fiscal 2020, financial recoveries to the City ordered, and financial recoveries collected resulting from revenue generated by DOI's investigations, increased 34 percent and 51 percent, respectively.
- For background investigations received on or after July 1, 2019, and closed during the reporting period, 83 percent were closed within six months or less, with an average time to complete of 139 days, exceeding the goals of 80 percent and 180 days respectively. There are currently 4,001 backlogged background investigation requests received prior to July 1, 2019, open and in the process of being completed. During the current four-month period, 598 backlogged investigation requests were completed or closed.
- The time to notify agencies of arrest notifications for current childcare, home care and family care workers after receipt from State Division of Criminal Justice Services (days) increased from one day to three days during the four-month period. Notification times can fluctuate based on many variables including system limitations, volume, and staffing. While the notification timeframe fluctuated this period for a combination of those reasons, the Department anticipates that over the full fiscal year the notification time will return to an average of one day.

SERVICE 1 Investigate possible corruption, fraud, waste and unethical conduct in City government.

Goal 1a Maintain the integrity of City agencies, employees, contract vendors and other recipients of City funds.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Complaints | 13,075 | 15,067 | 12,017 | * | * | 4,842 | 3,865 |
| ★ Written policy and procedure recommendations (PPRs) issued to City agencies | 2,051 | 573 | 193 | 300 | 300 | 77 | 163 |
| Written PPRs issued during previous fiscal years that have been accepted by City agencies (%) | 92% | 82% | 59% | 75% | 75% | 65% | 41% |
| - Written PPRs issued during previous fiscal years that have been implemented of those accepted by City agencies (%) | 89% | 74% | 52% | * | * | 66% | 50% |
| Written PPRs issued during previous fiscal years that are still pending an outcome from City agencies (%) | 6% | 14% | 38% | * | * | 31% | 57% |
| Written PPRs issued during previous fiscal years that have been rejected by City agencies (%) | 3% | 5% | 2% | * | * | 4% | 2% |
| ★ Corruption prevention and whistleblower lectures conducted | 389 | 449 | 318 | 400 | 400 | 177 | 17 |
| Corruption prevention lecture e-learning attendees | 25,068 | 33,539 | 26,725 | * | * | 13,437 | 3,011 |
| Integrity monitoring agreements | 15 | 13 | 12 | * | * | 15 | 8 |
| Vendor name checks completed within 30 days (%) | 64% | 80% | 80% | 85% | 85% | 90% | 97% |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | | * None | | | |

Goal 1b Improve the impact and effectiveness of investigations.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|---------|--------|------|----------------|-------------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average time to complete an investigation (days) | 152 | 179 | 218 | 180 | 180 | 189 | 235 |
| ★ Referrals for civil and administrative action | 770 | 984 | 982 | * | * | 323 | 274 |
| ★ Referrals for criminal prosecution | 876 | 722 | 759 | * | * | 248 | 125 |
| ★ Arrests resulting from DOI investigations | 706 | 609 | 543 | * | * | 234 | 84 |
| ★ Financial recoveries to the City ordered/agreed (\$000) | \$4,897 | \$2,874 | \$2,556 | ↑ | ↑ | \$1,128,668 | \$1,507,416 |
| ★ Financial recoveries to the City collected (\$000) | \$3,374 | \$1,962 | \$2,044 | ↑ | ↑ | \$874,088 | \$1,323,518 |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | | * None | | | |

SERVICE 2 Conduct background and fingerprint checks for certain City employees, contractors and day care workers.

Goal 2a Ensure that all background investigations and fingerprint checks are conducted in a timely manner.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|-------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average time to complete a background investigation (from date of receipt) (days) | NA | NA | 88 | 180 | 180 | NA | 139 |
| ★ Background investigations received and closed within 6 months (%) | NA | NA | 97% | 80% | 80% | NA | 83% |
| Backlogged background investigations closed during the reporting period | NA | NA | 1,880 | * | * | 836 | 598 |
| Backlogged background investigations remaining open | NA | NA | 4,599 | * | * | 5,643 | 4,001 |
| ★ Time to notify agencies of prospective childcare, home care and family care workers with criminal records after receipt from State Division of Criminal Justice Services and FBI (days) | 1 | 1 | 1 | 2 | 2 | 1 | NA |
| Time to notify agencies of arrest notifications for current childcare, home care and family care workers after receipt from State Division of Criminal Justice Services (days) | 1 | 1 | 2 | * | * | 1 | 3 |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | | * None | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | 100% | 100% | 100% | * | * | 100% | 100% |
| Letters responded to in 14 days (%) | 100% | 100% | 100% | * | * | 100% | 100% |
| E-mails responded to in 14 days (%) | 100% | 100% | 100% | * | * | 100% | 100% |
| Average wait time to speak with a customer service agent (minutes) | 3 | 3 | 3 | * | * | 3 | NA |
| CORE facility rating | 100 | 100 | 100 | * | * | NA | NA |
| Completed requests for interpretation | 16 | 22 | 5 | * | * | 5 | NA |

★ Critical Indicator "NA" Not Available ↑↓ Directional Target * None

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---------------------------------------|-----------|---------|---------|---------------------|-------------------|-------------------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$42.0 | \$49.1 | \$53.2 | \$52.8 | \$58.2 | \$50.2 | \$16.9 | \$30.2 |
| Revenues (\$000,000) | \$3.2 | \$3.2 | \$2.6 | \$2.8 | \$2.4 | \$3.8 | \$0.5 | \$0.2 |
| Personnel | 366 | 355 | 362 | 372 | 367 | 365 | 367 | 352 |
| Overtime paid (\$000) | \$1,143.0 | \$966.0 | \$696.0 | \$105.0 | \$105.0 | \$105.0 | \$418.0 | \$28.0 |

¹January 2021 Financial Plan. ²Expenditures include all funds "NA" - Not Available

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|--------------------------------------|--|---|-----------------------------------|
| Personal Services - Total | \$30.7 | \$29.6 | |
| 001 - Personal Services | \$25.5 | \$24.2 | All |
| 003 - Inspector General | \$5.1 | \$5.5 | All |
| Other Than Personal Services - Total | \$22.5 | \$28.6 | |
| 002 - Other Than Personal Services | \$21.5 | \$28.2 | All |
| 004 - Inspector General | \$1.0 | \$0.5 | All |
| Agency Total | \$53.2 | \$58.2 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ² Includes all funds. ³ Refer to agency goals listed at front of chapter. "NA" Not Available * None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- The Department revised the four-month Fiscal 2020 values for 'written PPRs issued during previous fiscal years that have been accepted by City agencies (%)', 'written PPRs issued during previous years that have been implemented of those accepted by City agencies (%)', 'written PPRs issued during previous fiscal years that are still pending an outcome from City agencies (%)', 'written PPRs issued during previous fiscal years that have been rejected by City agencies (%)', 'average time to complete an investigation (days)', 'average time to complete an investigation (days) – routine investigations,' 'current investigations,' 'investigations closed,' 'integrity monitoring agreements,' 'referrals for civil and administrative action,' 'referrals for criminal prosecution,' 'arrests resulting from DOI investigations,' 'average time to complete a background investigation (from date of receipt) (days)' and 'backlogged background investigations remaining open' to reflect updated data.
- DOI will no longer report data for 'time to notify agencies of prospective childcare, home care and family care workers with criminal records after receipt from State Division of Criminal Justice Services and FBI (days)'. This indicator was created when applicants could start working in childcare, home care and family care settings once fingerprinted at DOI and prior to the results being processed, and when DOI sent notifications directly to the employer. New regulations require that DOI send fingerprint results directly to the Department of Health and Mental Hygiene (DOHMH) and applicants must wait for approval from DOHMH before they can begin working in a facility. Effectively this processing change renders the indicator obsolete.

ADDITIONAL RESOURCES

For more information on the agency, please visit: www.nyc.gov/doi.

CITY COMMISSION ON HUMAN RIGHTS

Carmelyn P. Malalis, Commissioner/Chair



WHAT WE DO

The New York City Commission on Human Rights (CCHR) enforces the New York City Human Rights Law (NYCHRL), educates the public about their rights and responsibilities under the NYCHRL and encourages positive community relations. The NYCHRL prohibits discrimination in employment, housing, and public accommodations and is one of the most comprehensive antidiscrimination laws in the country. CCHR meets this mission through its law enforcement, community outreach, media and policy efforts. CCHR's Law Enforcement Bureau (LEB) impartially investigates alleged violations of the law, negotiates and resolves matters, provides early intervention in cases of on-going discrimination, retaliation, or the need for accommodations and, where appropriate, tries cases before an independent administrative judge. Mediation services are offered through the independent Office of Mediation and Conflict Resolution. CCHR's Community Relations Bureau (CRB) educates the public on their rights by building deep community relationships through roundtable discussions, workshops, trainings and other gatherings. The CRB also engages with the small business community, including chambers of commerce, merchant associations and business improvement districts to facilitate compliance with the NYCHRL. CCHR's Office of the Chair is the agency's policy, legislative, and adjudicatory hub. It convenes public hearings, publishes reports on key issues of the day, implements new legal protections, publishes legal guidance, issues final decisions and orders and oversees media campaigns.

FOCUS ON EQUITY

In Fiscal 2021, the pandemic continued to disproportionately impact Black, Latinx and immigrant New Yorkers and exacerbate long-standing disparities, making the protection of the City's human rights law all the more vital. During the first four months of Fiscal 2021, the Commission continued to directly address equity and issues of particular importance to those communities that have experienced interpersonal, institutional and structural forms of oppression.

CCHR announced Commission-initiated investigations of hospital policies and practices in drug testing of pregnant people and newborns to assess whether they demonstrate discriminatory racial bias against Black and Latinx families.

As part of one of the two new public art projects initiated this Fiscal Year, CCHR launched a public awareness campaign in November by public artist-in-residence, Amanda Phingbodhipakkiya titled "I Still Believe in Our City," which focuses on the vibrant resilience of New Yorkers and, specifically, honors API and Black New Yorkers in the face of racial injustice, xenophobia and COVID-19-related discrimination, harassment and bias.

The Commission curated an art project for city youth aged 13-18, "Amplify Youth Voices," inviting young people to submit artworks that explore social issues in their communities to bring awareness to broader social justice issues, especially in this time of uncertainty brought on by the COVID-19 pandemic.

CCHR continued to advance its ground-breaking work on race discrimination on the basis of hair by undergoing rulemaking to codify and clarify protections related to hair textures, hairstyles, including the use of head coverings and hair lengths, which are commonly or historically associated with a particular race, creed or religion. CCHR also published proposed rules clarifying protections on the basis of pregnancy, childbirth and related medical conditions, lactation accommodations and sexual and reproductive health decisions and held a public hearing after notice and comment.

CCHR was also part of the first multi-agency cohort to participate in the City's Executive Order 45 Racial and Social Equity Program. CCHR staff took part in a series of workshops on equity analysis and planning organized by the EquityNYC team.

OUR SERVICES AND GOALS

SERVICE 1 Enforce the NYC Human Rights Law.

- Goal 1a Investigate, prosecute and resolve complaints of discrimination, discriminatory harassment, and bias-based profiling in a timely and efficient manner.

SERVICE 2 Educate the community on the NYC Human Rights Law.

- Goal 2a Increase community awareness of the NYCHRL through know-your-rights presentations aimed at the general public; know-your-obligations presentations aimed at housing providers, employers and small businesses; and other initiatives.

HOW WE PERFORMED

- CCHR's COVID-19 Response Team responded to over 100 related inquiries in the first four months of Fiscal 2021. Examples included facilitating alternatives to face coverings for individuals with disabilities and preventing unlawful housing practices.
- LEB continued to dedicate resources to strategic enforcement of the NYCHRL through testing and other means. Testing is an investigative tool used to confirm whether potential employers, landlords, real estate brokers, restaurants, hospitals, stores, or other providers of public accommodations treat CCHR testers differently (or provide them with different information) because they belong to a protected class. In the first four months of Fiscal 2021, LEB tested 468 entities, compared to 410 during the same period last fiscal year. LEB filed 7 Commission-initiated complaints, analogous to the same period last fiscal year, alleging pattern or practice violations.
- In the first four months of Fiscal 2021, 223 complaints were filed, a 19 percent increase over the same period last fiscal year.
- At the close of this reporting period, there were 2,468 open matters across all types of cases, reflecting a four percent increase over the 2,398 matters reported open at the end of Fiscal 2020.
- Despite the logistical challenges imposed by the pandemic, including the financial strains imposed at all levels of local government, CCHR staff closed 260 complaints in the first four months of Fiscal 2021, compared to 263 during the same period last fiscal year.
- Despite adjusting to a fully virtual process, the Office of Mediation and Conflict Resolution successfully closed nine matters during this reporting period, compared to 12 matters for the same period last fiscal year.
- Despite the difficulties of transitioning to a telework environment in the midst of a pandemic and while implementing increased restorative justice remedies, CCHR obtained \$1,957,284 in compensatory damages and \$190,500 in civil penalties during this reporting period, compared to \$2,094,863 and \$460,000 respectively for the same period last fiscal year.
- The number of open complaints remained steady at 1,197 compared to the 1,165 complaints open at the close of Fiscal 2020. The average age of open complaints measured in days declined to 508 days compared to 515 at the close of Fiscal 2020.
- The pandemic continued to challenge CCHR's delivery of outreach efforts. The Commission worked with community partners to engage and educate hard-to-reach communities across the City, particularly using virtual outreach efforts. Recognizing the reality of underserved communities without access to virtual resources, CRB nevertheless served 36,101 people in this reporting period, compared to 38,923 from the same period last fiscal year. In this same period, the Commission held 326 conferences, workshops and training sessions, compared to 484 during the same period last fiscal year.
- CCHR's Bias Response Team responded to 125 bias incidents in the first four months of Fiscal 2021, on par with the 124 reported from the same period of Fiscal 2020.

SERVICE 1 Enforce the NYC Human Rights Law.

Goal 1a

Investigate, prosecute and resolve complaints of discrimination, discriminatory harassment, and bias-based profiling in a timely and efficient manner.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-------------|-----------------------|--------|------|----------------|-------------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Inquiries received | 9,513 | 9,804 | 10,015 | * | * | 3,641 | 2,869 |
| Matters initiated | 1,576 | 2,319 | 1,307 | * | * | 366 | 313 |
| Pre-complaint resolutions | 193 | 537 | 406 | * | * | 131 | 77 |
| Modifications for accessibility for people with disabilities | 90 | 174 | 72 | * | * | 25 | 6 |
| ★ Complaints filed | 805 | 792 | 525 | * | * | 187 | 223 |
| Complaints closed | 730 | 986 | 1,066 | * | * | 263 | 260 |
| – Complaints closed (%) - no probable cause determination | 4% | 3% | 1% | * | * | 0% | 1% |
| – Complaints closed (%) - probable cause determination | 5% | 7% | 23% | * | * | 6% | 21% |
| – Complaints closed (%) - administrative cause | 68% | 60% | 51% | * | * | 55% | 50% |
| – Complaints closed (%) - settlement | 23% | 30% | 25% | * | * | 39% | 28% |
| Complaints successfully mediated | 26 | 37 | 43 | * | * | 12 | 9 |
| Complaints referred to the Office of Administrative Trials and Hearings | 36 | 38 | 20 | * | * | 9 | 1 |
| Value of damages for complainants (\$) | \$3,785,312 | \$5,306,052 | \$6,549,397 | * | * | \$2,094,863 | \$1,957,284 |
| Value of civil penalties imposed (\$) | \$487,250 | \$788,261 | \$969,750 | * | * | \$460,000 | \$190,500 |
| Open matters | NA | 3,968 | 2,398 | * | * | 2,713 | 2,468 |
| Open complaints | 1,829 | 1,697 | 1,165 | * | * | 1,635 | 1,187 |
| ★ Average age of complaint caseload (days) | 553 | 576 | 515 | ↓ | ↓ | 612 | 508 |
| Complaints pending by age - less than one year | 721 | 668 | 416 | * | * | 561 | 459 |
| ★ Critical Indicator | "NA" Not Available | | ↑↓ Directional Target | * None | | | |

SERVICE 2 Educate the community on the NYC Human Rights Law.

Goal 2a

Increase community awareness of the NYCHRL through know-your-rights presentations aimed at the general public; know-your-obligations presentations aimed at housing providers, employers and small businesses; and other initiatives.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|--------|-----------------------|--------|--------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Conferences, workshops and training sessions | 3,127 | 3,060 | 1,481 | 3,000 | 3,000 | 484 | 326 |
| Youth-based training sessions conducted | 186 | 266 | 300 | 250 | 250 | 52 | 114 |
| People served | 80,454 | 97,395 | 99,858 | 80,000 | 80,000 | 38,923 | 36,101 |
| Responses to bias-based incidents | 146 | 235 | 467 | * | * | 124 | 125 |
| ★ Critical Indicator | "NA" Not Available | | ↑↓ Directional Target | * None | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-------|-----------------------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Letters responded to in 14 days (%) | 83.0% | 96.0% | 99.0% | * | * | 100.0% | 94.0% |
| E-mails responded to in 14 days (%) | 98.0% | 99.0% | 100.0% | * | * | 100.0% | 99.0% |
| Completed customer requests for interpretation | 1,756 | 1,677 | 1,550 | * | * | 557 | 458 |
| Average wait time to speak with a customer service agent (minutes) | 6 | 6 | 3 | * | * | 5 | 0 |
| CORE customer experience rating (0-100) | 99 | NA | 100 | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | | ↑↓ Directional Target | * None | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|--------|--------|--------|------------------------|-------------------|-------------------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$12.8 | \$13.3 | \$12.2 | \$13.0 | \$12.6 | \$12.7 | \$4.8 | \$4.3 |
| Personnel | 142 | 131 | 128 | 139 | 129 | 137 | 130 | 127 |
| Overtime paid (\$000) | \$11.0 | \$3.0 | \$0.0 | \$15.0 | \$15.0 | \$15.0 | \$0.0 | \$0.0 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|--------------------------------------|--|---|-----------------------------------|
| Personal Services - Total | \$10.3 | \$10.4 | |
| 001 - Personal Services | \$5.4 | \$4.6 | All |
| 003 - Community Development | \$4.9 | \$5.8 | All |
| Other Than Personal Services - Total | \$1.8 | \$2.2 | |
| 002 - Other Than Personal Services | \$0.4 | \$0.6 | All |
| 004 - Community Development | \$1.4 | \$1.7 | All |
| Agency Total | \$12.2 | \$12.6 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ² Includes all funds. ³ Refer to agency goals listed at front of chapter. "NA" Not Available * None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

None.

ADDITIONAL RESOURCES

For more information on the agency, please visit: www.nyc.gov/cchr.

OFFICE OF ADMINISTRATIVE TRIALS AND HEARINGS

Joni Kletter, Commissioner and Chief Administrative Law Judge



WHAT WE DO

The Office of Administrative Trials and Hearings (OATH) is the City's central, independent administrative law court. OATH has two divisions that are responsible for adjudicating City matters: the OATH Trials Division and the OATH Hearings Division. The OATH Trials Division adjudicates a wide range of issues that can be referred by any City agency, board or commission. Its caseload includes employee discipline and disability hearings for civil servants, Conflicts of Interest Board cases, proceedings related to the retention of seized vehicles by the police, City-issued license and regulatory enforcement, real estate, zoning and loft law violations, City contract disputes and human rights violations under the City Human Rights Law. OATH Trials are conducted by Administrative Law Judges (ALJs) who are appointed to five-year terms. In the OATH Hearings Division, hearings are conducted on summonses issued by 25 different City enforcement agencies for alleged violations of law or City rules. These summonses are issued by the Departments of Buildings, Sanitation, Environmental Protection, Consumer and Worker Protection, Health and Mental Hygiene and the Taxi and Limousine Commission, among others. OATH also has jurisdiction to hold hearings on summonses from certain non-City entities such as the Port Authority of New York and New Jersey. OATH hearings are conducted by Hearing Officers. OATH also houses the Center for Creative Conflict Resolution, which provides mediation and restorative justice support to City government agencies, and the Administrative Judicial Institute, a resource center that provides training, continuing education, research and support services for the various administrative law judges and tribunals throughout New York City.

FOCUS ON EQUITY

In the first quarter of Fiscal 2021, OATH launched a small business unit within its Help Center to assist small businesses that receive summonses to help ensure that they were also provided with information about and given the opportunity to take advantage of benefits offered by the City's Department of Small Business Services.

Recognizing that respondents may be transient during the pandemic and may not be receiving mail promptly, OATH launched a text message system to allow respondents to get reminders of their upcoming hearings along with instructions on what they must do in order to have their remote hearing.

Since 2017, OATH has administered community service programs to allow the recipients of Criminal Justice Reform Act summonses (summonses which traditionally went to Criminal Court, prior to the Act's enactment in 2017) to resolve their summonses without having to pay a fine. This year, OATH made it possible to complete the one-hour and two-hour community service e-learning modules from any computer with internet access, ensuring that this important option was still available to respondents during the pandemic.

Finally, in the first four months of Fiscal 2021, OATH's Center for Creative Conflict Resolution launched its first public-facing program, MEND NYC, a program meant to bring free mediation and conflict resolution services to New Yorkers facing quality of life issues from neighboring businesses in the hospitality industry such as restaurants and bars. OATH later expanded MEND NYC to provide mediation services to small businesses who were experiencing issues with their commercial landlords such as lease negotiations. Free mediation provides a way to address quality of life issues experienced by New Yorkers while simultaneously reducing the likelihood that a business gets inspected by enforcement agencies and issued a summons with the potential of burdening a neighborhood business with hefty fines.

OUR SERVICES AND GOALS

SERVICE 1 Adjudicate alleged violations of State and City administrative laws.

Goal 1a Hear cases promptly and issue timely and fair decisions at the OATH Trials Division.

SERVICE 2 Adjudicate alleged violations of City administrative laws.

Goal 2a Hear cases promptly and issue timely and fair decisions at the OATH Hearings Division.

SERVICE 3 Provide conflict resolution services and restorative practices to City agencies and the public through OATH's Center for Creative Conflict Resolution.

Goal 3a Administer mediations, trainings, and restorative group sessions to restore interpersonal relationships between City employees who experience conflict at work and to support City residents and businesses who experience conflict with their neighbors or landlords.

HOW WE PERFORMED

- In the first four months of Fiscal 2021, the number of cases filed at the Trials Division was 21.2 percent less than it was during that same period in Fiscal 2020 and the number of cases closed at the Trials Division was 28.8 percent less.
- Due to the fact that the OATH Hearings Division had to change its internal procedures and workflow to be able to operate efficiently while also having all Hearing Officers, staff, and respondents appearing remotely, the average time it took to issue a decision after a hearing was conducted increased to 10 days in the first four months of Fiscal 2021 compared to an average decision time of six days during the same time period in Fiscal 2020.
- Launched two months after the beginning of Fiscal 2021, MEND NYC represents the first programmatic opportunity for OATH's Center for Creative Conflict Resolution (CCCR) staff to mediate disputes between members of the general public. Historically, CCCR conflict resolution services were used only to mediate conflict experienced at City agencies or between City employees. From late August through October 2020, OATH's CCCR successfully mediated three conflicts, each between a City resident and a neighboring hospitality venue, such as bar or restaurant.

SERVICE 1 Adjudicate alleged violations of State and City administrative laws.

Goal 1a Hear cases promptly and issue timely and fair decisions at the OATH Trials Division.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| OATH Trials Division cases with decisions issued within 45 business days (%) | 91% | 90% | 90% | * | * | 87% | 97% |
| ★ OATH Trials Division facts and conclusions adopted by agencies (%) | 99% | 100% | 98% | 96% | 96% | 98% | 100% |
| OATH Trials Division settlement rate (%) | 57% | 54% | 52% | 55% | 55% | 53% | 49% |
| Cases filed at the OATH Trials Division (total) | 2,836 | 2,691 | 2,245 | * | * | 902 | 711 |
| Cases closed at the OATH Trials Division (total) | 2,677 | 2,660 | 2,118 | * | * | 838 | 597 |
| ★ Cases processed per ALJ (total) | 202.0 | 206.8 | 186.2 | ↑ | ↑ | 69.0 | 55.2 |
| Average time for the OATH Trials Division to issue decisions after records closed (business days) | 4.0 | 4.2 | 5.5 | 15.0 | 15.0 | 3.8 | 9.9 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

SERVICE 2 Adjudicate alleged violations of City administrative laws.

Goal 2a Hear cases promptly and issue timely and fair decisions at the OATH Hearings Division.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|---------|--------|------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Total summonses received from the issuing agencies at the OATH Hearings Division | 879,096 | 837,778 | 701,862 | * | * | 287,452 | 150,175 |
| Total hearings at the OATH Hearings Division | 330,110 | 340,563 | 263,699 | * | * | 115,889 | 60,755 |
| ★ Total number of pre-hearing activities at the OATH Hearings Division | 290,437 | 295,440 | 238,791 | * | * | 98,429 | 51,961 |
| Total summonses processed at the OATH Hearings Division | 658,245 | 663,327 | 484,589 | * | * | 222,726 | 163,887 |
| ★ Summonses with decision rendered at the OATH Hearings Division | 248,438 | 261,906 | 196,631 | * | * | 86,299 | 35,747 |
| ★ Average time from OATH Hearings Division hearing assignment to decision rendered (days) | 7 | 6 | 7 | * | * | 6 | 10 |
| Defenses submitted by mail (% of total remote hearings/submissions) | 19.9% | 14.3% | 12.5% | * | * | 11.9% | 2.1% |
| OATH hearings by phone (% of total remote hearings/submissions) | 19.2% | 18.4% | 39.0% | * | * | 18.5% | 90.2% |
| OATH one-click online submissions (% of total remote hearings/submissions) | 60.9% | 67.3% | 48.6% | * | * | 69.6% | 7.8% |
| Total number of help sessions conducted by OATH Help Centers | NA | NA | 35,232 | * | * | 16,448 | 9,385 |
| Defenses submitted by mail | NA | NA | 4,363 | * | * | 1,185 | 1,197 |
| Hearings by phone | NA | NA | 13,647 | * | * | 1,841 | 51,811 |
| One-click online submissions | NA | NA | 17,003 | * | * | 6,924 | 4,454 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

SERVICE 3 Provide conflict resolution services and restorative practices to City agencies and the public through OATH's Center for Creative Conflict Resolution.

Goal 3a

Administer mediations, trainings, and restorative group sessions to restore interpersonal relationships between City employees who experience conflict at work and to support City residents and businesses who experience conflict with their neighbors or landlords.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Mediations administered for City employees | NA | NA | NA | * | * | 23 | 12 |
| Conflict resolution trainings administered for City employees. | NA | NA | NA | * | * | 18 | 8 |
| Coaching sessions for City personnel | NA | NA | NA | * | * | 37 | 17 |
| Consultations for City personnel | NA | NA | NA | * | * | 41 | 41 |
| Restorative group sessions | NA | NA | NA | * | * | 12 | 16 |
| Mediations administered for members of the public | NA | NA | NA | * | * | 0 | 3 |

★ Critical Indicator "NA" Not Available ⬆️⬆️ Directional Target * None

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|--------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Completed customer requests for interpretation | 16,034 | 18,044 | 12,940 | * | * | 6,526 | 1,636 |
| Letters responded to in 14 days (%) | 100% | 100% | 100% | * | * | 100% | 100% |
| E-mails responded to in 14 days (%) | 98.62% | 99.94% | 99.89% | * | * | 99.63% | 100% |
| CORE customer experience rating (0-100) | 98 | NA | 100 | * | * | NA | NA |

★ Critical Indicator "NA" Not Available ⬆️⬆️ Directional Target * None

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---------------------------------------|---------|---------|---------|---------------------|-------------------|-------------------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$44.4 | \$47.1 | \$44.7 | \$50.8 | \$46.5 | \$51.2 | \$19.2 | \$17.4 |
| Revenues (\$000,000) | \$157.8 | \$175.2 | \$145.2 | \$151.3 | \$110.4 | \$146.3 | \$65.8 | \$33.9 |
| Personnel | 393 | 409 | 365 | 498 | 449 | 496 | 398 | 355 |
| Overtime paid (\$000) | \$68.0 | \$47.0 | \$51.0 | \$50.0 | \$50.0 | \$50.0 | \$7.0 | \$22.0 |

¹January 2021 Financial Plan. ²Expenditures include all funds "NA" - Not Available

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|------------------------------------|--|---|-----------------------------------|
| 001 - Personal Services | \$34.4 | \$33.6 | All |
| 002 - Other Than Personal Services | \$10.3 | \$12.9 | All |
| Agency Total | \$44.7 | \$46.5 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ² Includes all funds. ³ Refer to agency goals listed at front of chapter. "NA" Not Available * None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- Added a new service area to capture the work done by OATH's Center for Creative Conflict Resolution. In existence since 2016, the Center traditionally worked with City employees who were experiencing conflict in the workplace. Fiscal 2021 is the first year that the Center has made its services available to the general public and therefore warrants inclusion in the agency's management report.
- Added new indicators for the Hearings Division which include the number of remote hearings conducted for each remote hearing or submission type in addition to the percentage of total for each remote hearing or submission type, which was already part of the agency's report. OATH also added the number of Help Center sessions conducted by OATH's Help Center as a new indicator. The Help Center has grown into a robust unit at OATH with 27 full-time Procedural Justice Coordinators who provide substantive assistance to self-represented respondents who receive summonses that are filed for hearings at OATH's Hearings Division.

ADDITIONAL RESOURCES

For additional information, go to:

- OATH Trials Division data:
<https://www1.nyc.gov/site/oath/about/trials-division-data.page>
- OATH Hearings Division data:
<http://www1.nyc.gov/site/oath/about/hearings-division-data.page>

For more information on the agency, please visit: www.nyc.gov/oath.

BUSINESS INTEGRITY COMMISSION

Noah D. Genel, Commissioner/Chair



WHAT WE DO

The Business Integrity Commission (BIC) regulates and monitors the trade waste hauling industry and the wholesalers and businesses operating in the City's public wholesale markets, and ensures the integrity of businesses in these industries. Through vigorous background investigations of license and registration applications, the establishment of standards for services and conduct of business, criminal, and regulatory investigations. BIC carries out its mandate to remove and prevent the infiltration of organized crime and other forms of corruption into these regulated businesses and industries. BIC protects New York City consumers by seeking to ensure that businesses in certain industries and markets act in an honest manner. By fostering an open marketplace, BIC protects the business in those industries and markets from unfair competition. BIC also has the authority to regulate the shipboard gambling industry, although that industry currently does not operate in New York City.

FOCUS ON EQUITY

The core mission of the Business Integrity Commission includes eliminating organized crime and other forms of corruption from the industries BIC regulates: the commercial trade waste hauling industry and the public wholesale markets. By fostering an open marketplace, BIC seeks to ensure that the regulated businesses are able to compete fairly and that the industries are free from the criminal activity that once dominated them. By seeking to ensure businesses in the regulated industries operate with good character, honesty and integrity, BIC helps to maintain a fair marketplace for all businesses that have contact and work with our regulated companies.

OUR SERVICES AND GOALS

SERVICE 1 Regulate the City's commercial waste hauling industry.

- Goal 1a Ensure that all businesses in the commercial waste hauling industry abide by the law.
- Goal 1b Process license and registration applications for the waste hauling industry in a timely manner.

SERVICE 2 Regulate businesses in and around the City's public wholesale markets.

- Goal 2a Ensure that businesses in and around public wholesale markets abide by the law.
- Goal 2b Process registration applications for public wholesale businesses in a timely manner.

HOW WE PERFORMED

- In the first four months of Fiscal 2021, the number of violations BIC issued to haulers operating without a license or registration increased considerably from 41 in the first four months of Fiscal 2020 to 68, due to increased enforcement overall including a focus on safety which BIC maintained throughout the pandemic.
- During the first four months of Fiscal 2021, the average time to approve a waste hauling application increased by 27 percent to 293 days, from 231 days in the same period in Fiscal 2020. Yet, by prioritizing new waste hauling applications, the average time to approve a new waste hauling application only increased by nine percent in the first four months of Fiscal 2021 compared to the same period in Fiscal 2020. In the first four months of Fiscal 2021, the number of waste hauling applications pending increased to 801, from 597 in the same period of Fiscal 2020. This increase is in part due to the renewal applications submissions cycle of mid-Fiscal 2020 in conjunction with the issues noted below.
- The average time to approve a public wholesale market application increased by 50 percent in the first four months of Fiscal 2021 compared to the same period in Fiscal 2020. The average age of a public wholesale market application increased to 264 days in the first four months of Fiscal 2021, from 151 days in the same period in Fiscal 2020. As noted below, these increases are due to staffing issues and additional new and expanded responsibilities drawing upon existing resources.
- The above noted increases in both waste hauling and public wholesale market application indicators were impacted by a significant loss of staffing resources pre-COVID-19 and during COVID-19. This backfill staffing shortage has continued due to COVID-19 budgetary issues. Also, beginning in Fiscal 2019 and 2020, new initiatives and responsibilities were added that drew upon existing BIC resources without additional staffing. These added duties continue going forward, as well as expanding responsibilities in Fiscal 2021 with fewer staffing resources than in Fiscal 2019.

SERVICE 1 Regulate the City's commercial waste hauling industry.

Goal 1a Ensure that all businesses in the commercial waste hauling industry abide by the law.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Violations issued to private waste haulers | 488 | 494 | 746 | * | * | 188 | 201 |
| ★ Violations issued to legally operating private waste haulers | 312 | 371 | 545 | * | * | 147 | 133 |
| ★ Violations issued to illegally operating private waste haulers | 176 | 123 | 201 | * | * | 41 | 68 |
| ★ Waste hauling applications denied | 5 | 7 | 6 | * | * | 2 | 3 |
| Waste hauling complaints received | 352 | 423 | 334 | * | * | 127 | 137 |
| Private Waste Hauler Violations admitted to or upheld at the Office of Administrative Trials and Hearings (%) | 88.0% | 100.0% | 98.0% | * | * | 100.0% | 79.0% |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

Goal 1b Process license and registration applications for the waste hauling industry in a timely manner.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average time to approve waste hauling applications (days) - New and Renewal | 129 | 190 | 222 | 200 | 200 | 231 | 293 |
| ★ Average time to approve waste hauling applications (days) - New | 112 | 122 | 129 | 150 | 150 | 158 | 172 |
| ★ Average time to approve waste hauling applications (days) - Renewal | 134 | 205 | 241 | 210 | 210 | 243 | 324 |
| ★ Average age of pending waste hauling applications (days) | 122 | 185 | 160 | 180 | 180 | 169 | 183 |
| ★ Waste hauling applications pending | 617 | 524 | 639 | * | * | 597 | 801 |
| Waste hauling applications approved - New and Renewal | 1,006 | 806 | 761 | * | * | 248 | 167 |
| Waste hauling applications approved - New | 210 | 152 | 134 | * | * | 37 | 34 |
| Waste hauling applications approved - Renewal | 796 | 654 | 627 | * | * | 211 | 133 |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

SERVICE 2 Regulate businesses in and around the City's public wholesale markets.

Goal 2a Ensure that businesses in and around public wholesale markets abide by the law.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Violations issued at public wholesale markets | 57 | 62 | 54 | * | * | 22 | 14 |
| Public Wholesale Markets Violations admitted to or upheld at the Office of Administrative Trials and Hearings (%) | 100.0% | 100.0% | 100.0% | * | * | 100.0% | 100.0% |
| ★ Public wholesale market applications denied | 0 | 0 | 0 | * | * | 0 | 1 |
| ★ Public wholesale market applications pending | 25 | 83 | 45 | * | * | 93 | 27 |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

Goal 2b Process registration applications for public wholesale businesses in a timely manner.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average time to approve public wholesale market applications (days) | 149 | 196 | 254 | 200 | 200 | 238 | 356 |
| Average age of pending public wholesale market applications (days) | 108 | 133 | 194 | 150 | 150 | 151 | 264 |
| Public wholesale market applications approved | 37 | 39 | 111 | * | * | 33 | 22 |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Letters responded to in 14 days (%) | 100% | 100% | 100% | * | * | 100% | 100% |
| E-mails responded to in 14 days (%) | 100% | 100% | 99% | * | * | 100% | 100% |
| Completed customer requests for interpretation | 68 | 68 | 44 | * | * | NA | NA |
| Average wait time to speak with a customer service agent (minutes) | 3:09 | 2:92 | NA | * | * | NA | NA |
| CORE customer experience rating of facilities (0-100) | 100 | NA | 100 | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|--------|-------|-------|---------------------|-------------------|-------------------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$8.8 | \$8.8 | \$8.8 | \$9.2 | \$9.0 | \$9.2 | \$4.4 | \$4.2 |
| Revenues (\$000,000) | \$7.4 | \$4.9 | \$5.5 | \$4.9 | \$4.9 | \$6.8 | \$2.3 | \$2.0 |
| Personnel | 81 | 77 | 82 | 84 | 82 | 84 | 86 | 84 |
| Overtime paid (\$000) | \$106 | \$113 | 172 | \$24 | \$106 | \$24 | \$40 | \$46 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|------------------------------------|--|---|-----------------------------------|
| 001 - Personal Services | \$6.4 | \$6.3 | All |
| 002 - Other Than Personal Services | \$2.4 | \$2.7 | All |
| Agency Total | \$8.8 | \$9.0 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ² Includes all funds. ³ Refer to agency goals listed at front of chapter. "NA" Not Available * None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- The percentage of trade waste violations admitted to or upheld at the Office of Administrative Trials and Hearings decreased over the first four months of Fiscal 2021. This is due to a calculation change beginning in Fiscal 2021 that developed from internal system tracking enhancements which more accurately captures violation dispositions within the reporting period.

ADDITIONAL RESOURCES

For more information on the agency, please visit: www.nyc.gov/bic.

Basic Services for All New Yorkers



Basic Services for All New Yorkers



Department of
Sanitation

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Department of Consumer
and Worker Protection

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Department of Parks &
Recreation

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311 Customer
Service Center

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Department of
Cultural Affairs

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Taxi and Limousine
Commission

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DEPARTMENT OF SANITATION

Edward Grayson, Commissioner



WHAT WE DO

The Department of Sanitation (DSNY) keeps New York City healthy, safe and clean by collecting, recycling and disposing of waste, cleaning streets and vacant lots, and clearing snow and ice. The Department operates 59 district garages and manages a fleet of more than 2,000 collection trucks, 450 mechanical brooms and 711 large and small salt-spreaders. The Department clears litter, snow and ice from approximately 6,000 miles of City streets, removes debris from vacant lots, and clears abandoned vehicles from City streets.

FOCUS ON EQUITY

DSNY is committed to providing high-quality, responsive waste management, street cleaning and snow removal services to all New Yorkers. While the COVID-19 crisis has forced the Department to reduce services, we have continued our focus on communities that have disproportionately suffered from racial injustice and the effects of COVID-19, particularly in parts of the Bronx, Queens and Brooklyn. In September, the Administration announced the partial restoration of litter basket service, with a focus on those neighborhoods most affected by the COVID-19 pandemic.

The Department is also implementing policies to reduce the impacts of the commercial waste industry on historically overburdened neighborhoods in the South Bronx, North Brooklyn and Jamaica, Queens. In September 2020, DSNY completed the implementation of transfer station permit reductions under Local Law 152, eliminating more than 10,000 tons of permitted waste transfer capacity in four historically overburdened districts. In addition, DSNY is working to implement Commercial Waste Zones, which will foster a safe and efficient waste collection system that provides low-cost, high-quality service to New York City businesses, while simultaneously advancing the City's zero waste goals. Commercial waste zones will help to reduce truck traffic from waste hauling and the negative environmental impacts such traffic generates by more than 50 percent, improving public safety and enhancing quality of life in every neighborhood in NYC. DSNY released the first part of a two-part Request for Proposals for commercial waste zones in November and issued proposed rules relating to the program in December.

OUR SERVICES AND GOALS

SERVICE 1 Clean streets, sidewalks and vacant lots.

Goal 1a Increase street and sidewalk cleanliness.

Goal 1b Increase the percentage of vacant lots that are clean.

SERVICE 2 Collect and dispose of refuse.

Goal 2a Improve efficiency of refuse handling.

SERVICE 3 Recycle refuse.

Goal 3a Increase the percentage of waste recycled.

SERVICE 4 Clear snow and ice from City streets and roadways.

Goal 4a Meet or exceed minimum standards for clearing streets and roadways of snow and ice.

HOW WE PERFORMED

- In the first four months of Fiscal Year 2021, street and sidewalk cleanliness indicators showed a significant decrease compared to the same period in Fiscal Year 2020. The Scorecard cleanliness ratings for streets and sidewalks decreased by 4.0 and 0.6 percentage points, respectively, from Fiscal 2020 to Fiscal 2021.
- As a result of the COVID-19 crisis, the City was forced to reduce the budget for cleaning programs, including a reduction in litter basket service by more than 50 percent. Other factors include challenges regarding new and expanded use of public outdoor space related to COVID-19 and reductions in maintenance by business owners as a result of temporary or permanent business disruptions.
- The number of violations issued for dirty sidewalks has decreased by 50.2 percent from Fiscal 2020 to Fiscal 2021. The decrease in tickets issued is a result of increased use of enforcement discretion, particularly for small businesses most affected by the COVID-19 crisis, and the shift of some enforcement duties, in which agents were directed to enforce social distancing in parks and commercial businesses and support in food distribution as a result of COVID-19.
- The number of vacant lots cleaned decreased by 57 percent from 1,018 in Fiscal 2020 to 443 in Fiscal 2021. This decrease can be attributed to the shift in uniformed staff to backfill staff shortages in core operations such as refuse and recycling collection. In addition, lot cleaning staff were redeployed last summer to assist in Tropical Storm Isaias clean-up.
- As a result of the COVID-19 pandemic and related stay-at-home orders, household refuse and recycling tonnages have increased substantially in the first four months of Fiscal Year 2021, compared to the same period in Fiscal Year 2020. The amount of refuse disposed increased by nearly 9 percent in the first four months of Fiscal 2021 compared to the same period in Fiscal 2020. Refuse collection productivity increased from 9.4 tons per truck-shift (TPTS) in Fiscal 2020 to 10.3 TPTS in Fiscal 2021. Additionally, the share of trucks dumped on shift has increased by 8.7 percentage points. During this period, the rate of missed collections increased to 0.4 percent, as the Department faced staffing shortages related to worker illness and reduced headcount due to budget cuts.
- While the overall amount of waste recycled increased by 8 percent compared to the prior year, the curbside and containerized diversion rate decreased slightly from 17.8 percent to 17.4 percent from Fiscal 2020 to Fiscal 2021. And notably, recycled tons per truck-shift increased from 5.7 in Fiscal 2020 to 5.9 in Fiscal 2021.
- The increase in recycling can be attributed to NYC residents adhering to the stay-at-home order and working remotely. NYC residents are ordering and delivering more packages in recyclable cardboard boxes and are purchasing more MGP (specifically, glass bottles & cans) products, which are generally heavier commodities. However, the decrease in the diversion rate reflects the suspension of curbside organics collection service due to the COVID-19 budget crisis.

SERVICE 1 Clean streets, sidewalks and vacant lots.

Goal 1a Increase street and sidewalk cleanliness.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|-------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Streets rated acceptably clean (%) | 95.1% | NA | 96.4% | 92.0% | 92.0% | 97.5% | 93.5% |
| Streets rated filthy (%) | 0.2% | NA | 0.1% | * | * | 0.0% | 0.4% |
| ★ Sidewalks rated acceptably clean (%) | 97.1% | NA | 96.8% | 97.0% | 97.0% | 98.2% | 97.6% |
| Sidewalks rated filthy (%) | 0.2% | NA | 0.1% | * | * | 0.1% | 0.4% |
| Violations issued for dirty sidewalks | 55,913 | 59,904 | 56,844 | * | * | 24,268 | 12,074 |
| Violations issued for illegal posting | 3,954 | 4,706 | 4,593 | * | * | 2,300 | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 1b Increase the percentage of vacant lots that are clean.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---------------------------------|--------------------|-------|----------------------|--------|-------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Vacant lot cleaning requests | 3,140 | 2,937 | 3,008 | 2,500 | 2,500 | 1,414 | 1,432 |
| ★ Lots cleaned citywide | 3,494 | 3,027 | 3,098 | 3,200 | 3,200 | 1,018 | 443 |
| Other non-lot locations cleaned | 128 | 343 | 200 | * | * | 105 | 253 |
| ★ Critical Indicator | "NA" Not Available | | ↕ Directional Target | * None | | | |

SERVICE 2 Collect and dispose of refuse.

Goal 2a Improve efficiency of refuse handling.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|---------|----------------------|---------|---------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Tons of refuse disposed (000) | 3,193.3 | 3,248.1 | 3,204.4 | 3,150.0 | 3,150.0 | 1,103.4 | 1,197.8 |
| ★ Refuse tons per truck-shift | 9.3 | 9.5 | 9.3 | 10.7 | 10.7 | 9.4 | 10.3 |
| ★ Trucks dumped on shift (%) | 37.4% | 41.7% | 45.2% | 45.6% | 45.6% | 42.5% | 51.2% |
| Tons per day disposed | 10,609 | 10,827 | 10,610 | * | * | 10,713 | 11,629 |
| Average outage rate for all collection trucks (%) | 19% | 22% | 19% | * | * | 22% | 18% |
| Missed refuse collections (%) | 0.1% | 0.1% | 0.1% | * | * | 0.0% | 0.4% |
| ★ Critical Indicator | "NA" Not Available | | ↕ Directional Target | * None | | | |

SERVICE 3 Recycle refuse.

Goal 3a Increase the percentage of waste recycled.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|--------|----------------------|--------|-------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Curbside and containerized recycling diversion rate (%) | 18.0% | 18.1% | 18.5% | 23.0% | 23.0% | 17.8% | 17.4% |
| ★ Curbside and containerized recycled tons (000) | 663.6 | 681.6 | 689.7 | 848.6 | 848.6 | 226.0 | 243.9 |
| Total annual recycling diversion rate (%) | 20.9% | 21.1% | 21.6% | * | * | NA | NA |
| Recycled tons per day | 2,676 | 2,765 | 2,802 | 2,270 | 2,270 | NA | NA |
| Annual tons recycled total (000) | 835 | 868 | 874 | * | * | NA | NA |
| ★ Recycling tons per truck-shift | 5.5 | 5.8 | 5.8 | 6.2 | 6.2 | 5.7 | 5.9 |
| Missed recycling collections (%) | 0.2% | 0.1% | 0.3% | * | * | 0.0% | 0.3% |
| Recycling trucks dumped on shift (%) | 24.5% | 23.4% | 25.9% | * | * | 23.6% | 30.5% |
| Recycling summonses issued | 84,682 | 76,492 | 55,610 | * | * | 20,231 | NA |
| ★ Critical Indicator | "NA" Not Available | | ↕ Directional Target | * None | | | |

SERVICE 4 Clear snow and ice from City streets and roadways.

Goal 4a

Meet or exceed minimum standards for clearing streets and roadways of snow and ice.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|---------|---------|---------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Snowfall (total inches) | 43.5 | 21.0 | 4.0 | * | * | 0.0 | 0.0 |
| Salt used (tons) | 480,016 | 366,302 | 227,352 | * | * | 0 | 0 |
| ★ Critical Indicator "NA" Not Available ⬆️⬆️ Directional Target * None | | | | | | | |

AGENCY-WIDE MANAGEMENT

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|----------|----------|----------|--------|------|----------------|----------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Cases commenced against the City in state and federal court | 573 | 533 | 378 | * | * | 152 | 95 |
| Payout (\$000) | \$80,522 | \$70,072 | \$34,990 | * | * | \$15,240 | \$11,443 |
| Private transfer station permits | 60 | 56 | 60 | * | * | 60 | 60 |
| Private transfer station inspections performed | 5,875 | 5,984 | 5,321 | * | * | 1,764 | 1,498 |
| Total Office of Administrative Trials and Hearings violations issued | 390,611 | 372,818 | 315,477 | * | * | 120,760 | NA |
| Violations admitted to or upheld at the Office of Administrative Trials and Hearings (%) | 86% | 84% | 86% | * | * | 86% | 88% |
| Refuse collection cost per ton (\$) | \$310 | \$317 | TBD | * | * | NA | NA |
| Refuse cost per ton (fully loaded) (\$) | \$512 | \$528 | TBD | * | * | NA | NA |
| Disposal cost per ton (\$) | \$202 | \$211 | TBD | * | * | NA | NA |
| Recycling cost per ton (fully loaded) (\$) | \$783 | \$749 | TBD | * | * | NA | NA |
| Recycling collection cost per ton (\$) | \$706 | \$671 | TBD | * | * | NA | NA |
| Paper recycling revenue per ton (\$) | \$16 | \$12 | \$12 | * | * | \$12 | \$12 |
| Removal cost per inch of snow (\$000) | \$2,457 | \$3,403 | \$13,076 | * | * | NA | NA |
| Collisions involving City vehicles | 2,310 | 2,166 | 1,622 | * | * | 643 | 393 |
| Workplace injuries reported (uniform and civilian) | 1,326 | 1,170 | 1,049 | * | * | 402 | 334 |
| ★ Critical Indicator "NA" Not Available ⬆️⬆️ Directional Target * None | | | | | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Completed requests for interpretation | 32 | NA | 253 | * | * | NA | NA |
| Letters responded to in 14 days (%) | 51% | 58% | 72% | * | * | 68% | 84% |
| E-mails responded to in 14 days (%) | 69% | 73% | 79% | * | * | 59% | 94% |
| ★ Critical Indicator "NA" Not Available ⬆️⬆️ Directional Target * None | | | | | | | |

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Response to 311 Service Requests (SRs) | | | | | | | |
| Percent meeting time to close – Sanitation Condition - Street Cond/Dump-Out/ Drop-Off (5 days) | 94 | 93 | 89 | * | * | 90 | 89 |
| Percent meeting time to close – Literature Request - Blue Recycling Decals (7 days) | 100 | 100 | NA | * | * | NA | NA |
| Percent meeting time to close – Literature Request - Green Mixed Paper Recycling Decals (7 days) | 100 | 100 | NA | * | * | NA | NA |
| Percent meeting time to close – Dirty Conditions - Illegal Postering (7 days) | 93 | 94 | 87 | * | * | 95 | 87 |
| ★ Critical Indicator "NA" Not Available ⬆️⬆️ Directional Target * None | | | | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---------------------------------------|-----------|-----------|-----------|------------------------|-------------------|-------------------|----------------|-----------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$1,719.0 | \$1,762.4 | \$2,103.2 | \$1,770.9 | \$2,148.3 | \$1,738.8 | \$832.4 | \$1,020.2 |
| Revenues (\$000,000) | \$33.0 | \$33.0 | \$24.9 | \$16.6 | \$21.0 | \$15.3 | \$9.4 | \$6.2 |
| Personnel (uniformed) | 7,558 | 7,893 | 7,755 | 7,425 | 7,425 | 7,381 | 8,065 | 7,523 |
| Personnel (civilian) | 2,495 | 2,457 | 2,171 | 2,503 | 2,179 | 2,354 | 2,414 | 2,142 |
| Overtime paid (\$000,000) | \$163.9 | \$137.9 | \$156.2 | \$114.4 | \$140.7 | \$101.5 | \$33.1 | \$65.7 |
| Capital commitments (\$000,000) | \$289.0 | \$285.5 | \$266.8 | \$689.9 | \$302.5 | \$184.7 | \$187.3 | \$4.1 |

¹January 2021 Financial Plan. ²Expenditures include all funds "NA" - Not Available

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|--------------------------------------|--|---|-----------------------------------|
| Personal Services - Total | \$1,066.2 | \$1,063.9 | |
| 101 - Executive Administrative | \$80.5 | \$67.7 | All |
| 102 - Cleaning and Collection | \$818.9 | \$803.8 | 1a, 1b, 2a, 3a |
| 103 - Waste Disposal | \$38.6 | \$38.1 | 2a, 3a |
| 104 - Building Management | \$29.8 | \$27.4 | * |
| 105 - Bureau of Motor Equipment | \$73.8 | \$71.4 | All |
| 107 - Snow Budget | \$24.6 | \$55.5 | 4a |
| Other Than Personal Services - Total | \$1,037.0 | \$1,084.3 | |
| 106 - Executive and Administrative | \$88.1 | \$97.4 | All |
| 109 - Cleaning and Collection | \$26.0 | \$18.5 | 1a, 1b, 2a, 3a |
| 110 - Waste Disposal | \$864.2 | \$893.0 | 2a, 3a |
| 111 - Building Management | \$4.4 | \$5.0 | * |
| 112 - Motor Equipment | \$26.6 | \$24.4 | All |
| 113 - Snow Budget | \$27.7 | \$46.0 | 4a |
| Agency Total | \$2,103.2 | \$2,148.3 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available * None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- Due to an internal system transition within DSNY's Enforcement Bureau, the following indicators will be marked as NA
 - Violations issued for illegal posting
 - Recycling Summons issued
 - Total office of administrative trial and hearings violations

ADDITIONAL RESOURCES

For additional information go to:

- *One New York: The Plan for a Strong and Just City*:
<http://www.nyc.gov/html/onenyc/downloads/pdf/publications/OneNYC.pdf>
- Scorecard—monthly street and sidewalk cleanliness ratings:
<http://www1.nyc.gov/site/operations/performance/scorecard-street-sidewalk-cleanliness-ratings.page>

For more information on the agency, please visit: www.nyc.gov/dsny.

DEPARTMENT OF PARKS & RECREATION

Mitchell J. Silver, Commissioner



WHAT WE DO

The Department of Parks and Recreation (DPR) plans, maintains and cares for a more than 30,000 acre municipal parks system that encompasses over 1,900 parks, 1,000 playgrounds, 36 recreation centers, more than 650,000 street trees and two million park trees. DPR's thousands of public programs include free Shape Up NYC fitness classes, Kids in Motion children's programming, swimming lessons and Urban Park Rangers' nature education. Through programs like Parks Without Borders, DPR is bringing innovative design to sites across the City. DPR's capital program strengthens the City's infrastructure by developing and improving parks, playgrounds, pools and recreational facilities.

FOCUS ON EQUITY

In the wake of the current social movement sparked by George Floyd's death, the Department of Parks and Recreation (DPR) is working to further its commitment to equity and inclusion. Supportive of the Agency's more than 6,000 staff, DPR launched a series of "Reflections On" listening sessions and is planning programming to help address impacts known and unknown. The Agency is also devising a strategic plan that advances its commitment to ensuring a diverse workforce and fairness around recruitment and promotional opportunities within. Introspectively, the Agency acknowledges there is always room for improvement and launched an internal committee to review park names with plans to rename a tranche for Black American men and women—the first 10 were announced on Black Solidarity Day (November 2, 2020); more will be announced mid-2021.

On a parallel path, DPR is ensuring that the benefits of accessible, high-quality open space reach every community in New York City. DPR works toward this goal through its Framework for an Equitable Future, a comprehensive series of immediate steps and long-term initiatives to support equitable park development and sustainable service improvements. In August 2016, DPR announced that with \$150 million in Mayoral investment, it will make major improvements at five large parks under the Anchor Parks initiative, designed to bring the kind of amenities that are greatly needed in these bigger parks, such as soccer fields, comfort stations, running tracks and hiking trails. Each park was selected based on three factors: historical underinvestment; a large surrounding population; and potential for park development. The framework also supports the ongoing \$318 million Mayoral-funded Community Parks Initiative, which brings complete, community-informed reconstruction to 67 historically underserved neighborhood parks. As of October 2020, DPR has revitalized 56 Community Parks Initiative sites. All of DPR's efforts build on the core principles of good park development: targeted capital investment; strong community and public-private partnerships; innovative programming; and efficient and effective maintenance. Interconnection among each of these areas is essential to the growth of a truly 21st century park system.

OUR SERVICES AND GOALS

SERVICE 1 Manage the City's parks and recreation facilities.

- Goal 1a Ensure that all parks and playgrounds are clean and in good condition.
- Goal 1b Provide an overall quality park experience.

SERVICE 2 Manage the City's street, park and forest trees.

- Goal 2a Maintain and preserve trees under DPR stewardship.
- Goal 2b Resolve high-priority tree work promptly.
- Goal 2c Increase the number of trees under DPR stewardship.

SERVICE 3 Preserve and expand the infrastructure of New York's park system.

- Goal 3a Build and improve parks and playgrounds in a timely and efficient manner.
- Goal 3b Ensure an adequate supply of parkland to meet future needs.

SERVICE 4 Provide recreational and educational opportunities for New Yorkers of all ages.

- Goal 4a Increase public attendance at educational programs, recreation centers and other venues.
- Goal 4b Increase volunteer activity at City programs and events.

HOW WE PERFORMED

- Throughout the COVID-19 pandemic, parks continue to serve as a vital public space for all New Yorkers. COVID-19 related budget considerations, resulting in approximately 1,700 fewer seasonal maintenance staff than last year, contributed to the percent of parks rated acceptable for overall condition and cleanliness falling short of targets. Despite these challenges, play equipment and safety surfaces rated acceptable met or exceeded the 95 percent targets due to a sustained focus on treating these important park features with a high standard of care. In-service rates for drinking fountains and spray showers also met or exceeded targets, while comfort station in-service rates decreased four percent, missing target at 91 percent.
- Attendance at historic house museums decreased 19 percent. Due to COVID-19 restrictions many museums remain closed, while those that have reopened exterior grounds and interior exhibits have done so at limited capacity in accordance with State and City guidelines.
- Total summonses issued increased 36 percent. The prevalence of Illegal parking in and around parks citywide resulted in parking violation summonses nearly doubling compared to the same period last year.
- The New York City Police Department (NYPD) is principally responsible for ensuring public safety throughout the City, including parks. DPR is committed to assisting NYPD in this effort to provide a positive and safe experience for all park visitors. During the first quarter of Fiscal 2021, reported crimes against persons and crimes against properties decreased 54 and 83 percent, respectively.
- DPR pruned 3,060 trees through its Block Pruning program, an 89 percent decrease from last year during the same period. In July and August 2020 block pruning contracts were suspended. In September and October 2020 block pruning work was reduced significantly due to COVID-19 related budget shortfalls.
- DPR removed 5,893 trees, a 74 percent increase from last year. In August, damage from Tropical Storm Isaias resulted in the removal of 3,882 trees, which was greater than all tree removals performed during the entire four-month Fiscal 2020 PMMR period (3,385).
- Tree inspections decreased by 27 percent. The decrease was driven by fewer inspections related to block pruning work as contacts were suspended and reduced due to COVID-19. However, the mobilization of tree inspectors after Tropical Storm Isaias resulted in nearly 20,000 tree inspections in the month of August alone.
- Immediate priority tree work resolved within seven days decreased six percentage points, from 96 percent to 90 percent, while the percent of high priority tree work resolved within 28 days increased four percentage points, from 94 percent to 98 percent. The decrease in immediate priority tree work resolved on time was driven by delays in tree work located in difficult to access locations and increased work volume resulting from Tropical Storm Isaias.
- During the reporting period, DPR completed 62 capital projects with 85 percent of project construction completed on time or early and 92 percent within budget, surpassing targets despite the challenges imposed by COVID-19. Examples of completed projects include improvements to the Henry Hudson entrance of Flushing Meadows Corona Park in Queens and the renovation of Homecrest Playground in Brooklyn.

At Flushing Meadows Corona Park, a \$4.5 million [Parks without Borders](#) Mayoral-funded project, DPR reconstructed the entrance at 111th Street between 53rd and 56th Avenues with a new central plaza, sidewalks, wider pedestrian routes, and an expanded planting area. The new, accessible entrance welcomes visitors and provides a gateway directly to the Unisphere. Homecrest Playground in Brooklyn was completed three months ahead of schedule and features beautiful new play equipment, spray showers, site furniture, and landscaping.

- Recreation centers remain closed to members due to the COVID-19 pandemic, but continue to serve a vital role in the City’s COVID-19 response. DPR operated seven food distribution centers, six of which were in recreation centers, distributing over 11.7 million meals during the PMMR period. Additionally, five recreation centers continue to serve as NYC Health + Hospitals COVID-19 testing sites. In the fall, 23 recreation centers began serving as Learning Labs through the Department of Youth and Child Development (DYCD) Learning Bridges program. The Learning Labs, operated by DPR staff, provide academic support throughout the school day and afterschool care on days students are not attending school for in-person learning under the Department of Education’s (DOE) new blended learning model. DPR Learning Labs are currently able to support over 800 New York City students.
- Due to the COVID-19 pandemic, non-recreation center programming was significantly reduced resulting in an attendance decrease of over 578,000. Recreation, Media Education, Aquatics, and Urban Park Ranger staff resumed limited, safely distanced outdoor programming in mid-July. Additionally, they served as social distance ambassadors in parks across the City, which contributed to the distribution of over 5.7 million face coverings to the public during the PMMR period by DPR staff.

SERVICE 1 Manage the City’s parks and recreation facilities.

Goal 1a Ensure that all parks and playgrounds are clean and in good condition.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Parks rated acceptable for overall condition (%) | 87% | 90% | 91% | 85% | 85% | 88% | 81% |
| – Overall condition of small parks and playgrounds (%) | 87% | 88% | 90% | * | * | 86% | 80% |
| – Overall condition of large parks (%) | 79% | 87% | 87% | * | * | 87% | 76% |
| – Overall condition of greenstreets (%) | 97% | 97% | 97% | * | * | 95% | 91% |
| ★ Parks rated acceptable for cleanliness (%) | 93% | 95% | 94% | 90% | 90% | 93% | 86% |
| – Cleanliness of small parks and playgrounds (%) | 93% | 94% | 94% | * | * | 90% | 85% |
| – Cleanliness of large parks (%) | 87% | 92% | 92% | * | * | 92% | 81% |
| – Cleanliness of greenstreets (%) | 99% | 100% | 99% | * | * | 99% | 97% |
| ★ Play equipment rated acceptable (%) | 97% | 96% | 97% | 95% | 95% | 96% | 97% |
| ★ Safety surfaces rated acceptable (%) | 94% | 94% | 95% | 95% | 95% | 96% | 95% |
| ★ Comfort stations in service (in season only) (%) | 94% | 94% | 94% | 95% | 95% | 95% | 91% |
| ★ Spray showers in service (in season only) (%) | 96% | 97% | 98% | 95% | 95% | 98% | 97% |
| ★ Drinking fountains in service (in season only) (%) | 96% | 96% | 96% | 95% | 95% | 96% | 95% |
| ★ Recreation centers rated acceptable for cleanliness (%) | 100% | 100% | 100% | 95% | 95% | NA | NA |
| ★ Recreation centers rated acceptable for overall condition (%) | 83% | 84% | 90% | 85% | 85% | NA | NA |
| Monuments receiving annual maintenance (%) | 62% | 56% | 80% | * | * | 41% | 36% |
| ★ Critical Indicator | “NA” Not Available | ↕↔ Directional Target | | * None | | | |

Goal 1b Provide an overall quality park experience.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Major felonies reported on Parks’ properties (excludes Central Park) - Crimes against persons | 669 | 641 | 611 | ↘ | ↘ | 259 | 119 |
| ★ – Crimes against properties | 553 | 567 | 472 | ↘ | ↘ | 284 | 47 |
| Summonses issued | 23,766 | 22,875 | 16,929 | * | * | 6,260 | 8,526 |
| Violations admitted to or upheld at the Office of Administrative Trials and Hearings (%) | 80.4% | 81.7% | 81.1% | * | * | 77.2% | 91.9% |
| ★ Critical Indicator | “NA” Not Available | ↕↔ Directional Target | | * None | | | |

SERVICE 2 Manage the City's street, park and forest trees.

Goal 2a Maintain and preserve trees under DPR stewardship.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|--------|----------------------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Street trees pruned - Block program | 72,283 | 70,997 | 59,771 | * | * | 28,115 | 3,060 |
| – Annual pruning goal completed (%) | 111% | 109% | 92% | * | * | 43% | NA |
| – Street trees pruned as a percent of pruning eligible trees | 15% | 14% | 11% | * | * | NA | NA |
| Trees removed | 12,222 | 13,252 | 11,321 | * | * | 3,385 | 5,893 |
| Tree inspections | 54,386 | 82,376 | 138,671 | * | * | 59,107 | 43,132 |
| ★ Critical Indicator | "NA" Not Available | | ↕ Directional Target | * None | | | |

Goal 2b Resolve high-priority tree work promptly.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|------|----------------------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Immediate priority tree work resolved within 7 days (%) | 63% | 93% | 97% | * | * | 96% | 90% |
| ★ High-priority tree work resolved within 28 days (%) | 61% | 96% | 91% | * | * | 94% | 98% |
| ★ Critical Indicator | "NA" Not Available | | ↕ Directional Target | * None | | | |

Goal 2c Increase the number of trees under DPR stewardship.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|--------|----------------------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Trees planted | 36,206 | 30,410 | 21,799 | ↑ | ↑ | 4,295 | 4,296 |
| – Trees planted along city streets | 14,610 | 7,650 | 9,241 | * | * | 1,190 | 1,118 |
| – Trees planted on landscaped areas of parks | 1,486 | 1,621 | 4,337 | * | * | 896 | 639 |
| – Trees planted in natural areas of parks | 18,683 | 21,139 | 8,221 | * | * | 2,209 | 2,539 |
| ★ Critical Indicator | "NA" Not Available | | ↕ Directional Target | * None | | | |

SERVICE 3 Preserve and expand the infrastructure of New York's park system.

Goal 3a Build and improve parks and playgrounds in a timely and efficient manner.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|------|----------------------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Capital projects completed | 123 | 163 | 121 | 150 | 150 | 59 | 62 |
| ★ Capital projects completed on time or early (%) | 88% | 86% | 78% | 80% | 80% | 86% | 85% |
| Capital projects completed within budget (%) | 88% | 90% | 92% | 85% | 85% | 92% | 92% |
| ★ Critical Indicator | "NA" Not Available | | ↕ Directional Target | * None | | | |

Goal 3b Ensure an adequate supply of parkland to meet future needs.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-------|-----------------------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ New Yorkers living within walking distance of a park (%) | 81.6% | 81.7% | 81.7% | ↑ | ↑ | NA | NA |
| ★ Critical Indicator | "NA" Not Available | | ↑↓ Directional Target | * None | | | |

SERVICE 4 Provide recreational and educational opportunities for New Yorkers of all ages.

Goal 4a Increase public attendance at educational programs, recreation centers and other venues.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------|-----------------------|--------|------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Total recreation center memberships | 154,292 | 144,304 | 142,915 | ↑ | ↑ | 145,763 | 142,915 |
| ★ Total recreation center attendance | 3,202,200 | 3,003,599 | 1,947,377 | ↑ | ↑ | 980,539 | 0 |
| ★ Attendance at outdoor Olympic and intermediate pools (pool season) | 1,601,869 | 1,621,048 | 204,899 | * | * | NA | NA |
| Attendance at historic house museums | 773,557 | 665,120 | 510,133 | * | * | 334,661 | 272,570 |
| Attendance at skating rinks | 562,976 | 582,978 | 481,433 | * | * | NA | NA |
| Total attendance at non-recreation center programs | 1,115,751 | 794,276 | 695,594 | * | * | 597,383 | 18,801 |
| ★ Critical Indicator | "NA" Not Available | | ↑↓ Directional Target | * None | | | |

Goal 4b Increase volunteer activity at City programs and events.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|--------|-----------------------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Community partner groups engaged by Partnerships for Parks | 684 | 575 | 589 | * | * | 588 | 598 |
| Volunteer turnout | 53,603 | 48,035 | 28,194 | * | * | 17,740 | 6,118 |
| ★ Critical Indicator | "NA" Not Available | | ↑↓ Directional Target | * None | | | |

AGENCY-WIDE MANAGEMENT

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|----------|-----------------------|--------|------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Cases commenced against the City in state and federal court | 306 | 350 | 261 | * | * | 111 | 63 |
| Payout (\$000) | \$24,245 | \$18,360 | \$25,424 | * | * | \$5,651 | \$4,610 |
| Collisions involving City vehicles | 520 | 473 | 462 | * | * | 206 | 186 |
| Workplace injuries reported | 403 | 463 | 444 | * | * | 199 | 155 |
| ★ Critical Indicator | "NA" Not Available | | ↑↓ Directional Target | * None | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| E-mails routed and responded to in 14 days (%) | 75% | 72% | 68% | 60% | 60% | 69% | 69% |
| Letters routed and responded to in 14 days (%) | 76% | 81% | 83% | 60% | 60% | 81% | 79% |
| Completed customer requests for interpretation | 173 | 432 | 263 | * | * | NA | NA |
| CORE customer experience rating (0-100) | 92 | NA | 98 | 85 | 85 | NA | NA |
| ★ Critical Indicator "NA" Not Available ⇅ Directional Target * None | | | | | | | |

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------|--------|--------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Response to 311 Service Requests (SRs) | | | | | | | |
| ★ Total public service requests received - Forestry | 87,075 | 99,969 | 85,699 | * | * | 40,297 | 95,952 |
| – Downed Trees, downed limbs, and hanging limbs | 25,258 | 29,108 | 23,578 | * | * | 11,422 | 60,386 |
| Damaged Tree - Branch or Limb Has Fallen Down - % of SRs Meeting Time to First Action (8 days) | 97% | 97% | NA | 95% | 95% | NA | NA |
| Percent meeting time to first action - Dead Tree - Dead/Dying Tree (30 days for trees planted within a 2 year period, 7 days for all other trees) | NA | NA | NA | 90% | 90% | NA | NA |
| Percent meeting time to first action - New Tree Request - For One Address (180 days) | 95% | 91% | NA | 90% | 90% | NA | NA |
| Percent meeting time to first action - Overgrown Tree/Branches - Hitting Building (30 days) | 58% | 45% | NA | 95% | 95% | NA | NA |
| Percent meeting time to first action - Root/Sewer/Sidewalk Condition - Trees and Sidewalks Program (30 days) | 73% | 87% | NA | 85% | 85% | NA | NA |
| ★ Critical Indicator "NA" Not Available ⇅ Directional Target * None | | | | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|---------|---------|---------|---------------------|-------------------|-------------------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$545.3 | \$563.6 | \$567.2 | \$503.1 | \$548.5 | \$532.7 | \$231.9 | \$196.6 |
| Revenues (\$000,000) | \$69.4 | \$82.0 | \$61.8 | \$49.4 | \$28.7 | \$70.9 | \$27.1 | \$6.8 |
| Personnel (Total FT and FTE) | 7,094 | 6,905 | 6,936 | 6,928 | 6,423 | 7,468 | 6,907 | 6,307 |
| Full-time equivalent (FTE) personnel | 2,997 | 2,841 | 2,700 | 2,629 | 2,224 | 3,208 | 2,673 | 2,135 |
| - Parks Opportunity Program (POP) participants ³ | 1,506 | 1,392 | 1,420 | 1,506 | 1,045 | 1,604 | 1,384 | 720 |
| Overtime paid (\$000,000) | \$23.7 | \$26.5 | \$24.3 | \$12.1 | \$16.9 | \$15.1 | \$10.6 | \$10.0 |
| Capital commitments (\$000,000) | \$437.5 | \$537.1 | \$332.9 | \$769.8 | \$647.4 | \$933.6 | \$122.9 | \$22.4 |

¹January 2021 Financial Plan.

²Expenditures include all funds

³The Parks Opportunity Program participants, reflected as full-time equivalents, are a subtotal of the Department's total Personnel count reported above.

"NA" - Not Available

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|--|--|---|-----------------------------------|
| Personal Services - Total | \$437.1 | \$398.8 | |
| 001 - Executive Management and Administrative Services | \$8.3 | \$9.0 | All |
| 002 - Maintenance and Operations | \$351.1 | \$311.1 | 1a, 1b, 2a, 2b, 2c, 3a, 4a, 4b |
| 003 - Design and Engineering | \$50.2 | \$52.2 | 2c, 3a, 3b |
| 004 - Recreation Services | \$27.5 | \$26.5 | 4a, 4b |
| Other Than Personal Services - Total | \$130.1 | \$149.7 | |
| 006 - Maintenance and Operations | \$100.6 | \$118.8 | 1a, 1b, 2a, 2b, 2c, 3a, 4a, 4b |
| 007 - Executive Management and Administrative Services | \$25.2 | \$26.0 | All |
| 009 - Recreation Services | \$2.2 | \$2.5 | 4a, 4b |
| 010 - Design and Engineering | \$2.1 | \$2.5 | 2c, 3a, 3b |
| Agency Total | \$567.2 | \$548.5 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available * None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- 'Summonses Issued' during the Fiscal 2020 PMMR period was reduced to 6,260 from 6,265 after annual data reconciliation and validation efforts.
- 'Street trees pruned—Block program' during the Fiscal 2020 PMMR period was increased to 28,115 from 27,884 after annual data reconciliation and validation efforts.
- 'Trees removed' during the Fiscal 2020 PMMR period was increased to 3,385 from 3,299 after annual data reconciliation and validation efforts.
- 'Tree Inspections during the Fiscal 2020 PMMR period was increased to 59,107 from 58,583 after annual data reconciliation and validation efforts.
- 'Capital projects completed' during the Fiscal 2020 PMMR was increased by one, from 58 to 59, to account for a project not counted during initial reporting. The inclusion of this project increased 'Capital projects completed on time or early (%)' from 84 to 86 percent and 'Capital projects completed within budget (%)' from 91 to 92 percent.
- Community partner groups suspending operations due to COVID-19 were counted as engaged unless officially dissolved during the Fiscal 2021 PMMR period.
- 'Total public service requests received—Forestry' during the Fiscal 2020 PMMR period was increased to 40,297 from 40,051 after annual data reconciliation and validation efforts. '—Downed Trees, downed limbs and hanging limbs' also increased to 11,422 from 11,324.

ADDITIONAL RESOURCES

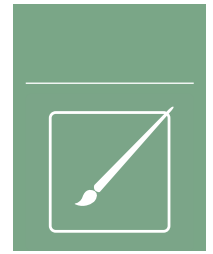
For additional information go to:

- New York City parks inspection program results:
<http://www.nycgovparks.org/park-features/parks-inspection-program>
- Community Parks Initiative:
<http://www.nycgovparks.org/about/framework-for-an-equitable-future/community-parks-initiative>

For more information on the agency, please visit: www.nycgovparks.org.

DEPARTMENT OF CULTURAL AFFAIRS

Tom Finkelpearl, Commissioner



WHAT WE DO

The Department of Cultural Affairs (DCLA) provides financial support and technical assistance to the City's cultural community, including 34 City-owned institutions that comprise the Cultural Institutions Group (CIG) and over 1,000 other cultural nonprofit organizations serving constituencies in all boroughs of the City. DCLA manages a significant portfolio of cultural capital projects; provides donated materials for arts programs to public schools, cultural and social service groups; and also commissions works of public art for City-funded construction projects.

FOCUS ON EQUITY

DCLA strives to equitably distribute public funds and other resources to cultural organizations across the City's five boroughs. Through its Cultural Development Fund (CDF), the agency utilizes a democratic, peer panel review process to distribute grants to over 1,000 applicants that represent the extraordinary cultural breadth of New York City and share a commitment to public service and public participation. DCLA also administers several funding initiatives on behalf of the New York City Council that provide support for arts and cultural projects across the City, including Cultural After School Adventures (CASA), the Cultural Immigrant Initiative, Coalition of Theaters of Color, Anti-Gun Violence Initiative, and the SU-CASA creative aging program. DCLA also works with the 34 members of the Cultural Institutions Group to ensure funding resources to our partners at these much-heralded organizations that are both large and small. DCLA also continued to fund CUNY Cultural Corps, one of the agency's signature workforce development programs that creates opportunities for CUNY students to work in the City's cultural sector. The agency continued to administer its Language Access and Disability Forward Fund, two competitive grant opportunities designed to support more accessible cultural programming citywide.

Fiscal 2020 was an historic year for moving the needle on cultural funding equity, with the establishment of the first new member of the CIG in more than twenty years: The Weeksville Heritage Center joined the CIG as its 34th member, and the first in the Group whose mission is to document, preserve and interpret the history of African Americans, in Weeksville, Brooklyn and beyond. Fiscal Year 2020 also marked the first full year of implementation of the Cultural Institutions Group (CIG)'s diversity, equity and inclusion (DEI) plans. These plans, among the first of their kind in the cultural sector, put forward strategies and policies for addressing the lack of diversity within individual institutions' staffs and boards and fostering more equitable and inclusive workplace environments. Areas incorporated into every plan included vision, process, hiring, recruitment, retention, promotion, diverse and equitable leadership, and inclusive organizational culture. After submission of the plans, DCLA conducted a rigorous review process and coordinated with each CIG member to finalize its plan. These plans are living documents, and CIG members are required to report on progress annually to DCLA. In addition, the agency began a long-term effort to audit its own internal grantmaking processes with the help of an MWBE consultancy firm. DCLA has initiated this audit with ultimate goal of making reforms that will improve access to City funds and ensure their more equitable distribution.

OUR SERVICES AND GOALS

SERVICE 1 Provide financial support to the City's non-profit arts and cultural sector for operations, programs and activities.

- Goal 1a Process grant payments promptly.
- Goal 1b Strengthen the infrastructure of cultural facilities by funding capital improvements.
- Goal 1c Expand resources for arts programs and public schools by increasing the supply and use of donated materials.

SERVICE 2 Promote public appreciation of non-profit arts and culture.

- Goal 2a Increase public awareness of the cultural programming offered throughout the five boroughs.

HOW WE PERFORMED

- During the first four months of Fiscal 2021, DCLA did not issue any initial grant payments through the Cultural Development Fund (CDF) and will not issue any initial grant payments prior to the end of December 2020. This delay is in part a result of continued challenges due to COVID-19 with regard to redesigning procedures for working remotely, limited staff capacity, and additional City budget expenditure approvals by City Council and the Mayor's Office of Management and Budget (OMB) that delayed notification of awards until December 2020.
- Operating support payments made to Cultural Institutions Group by the 5th day of each month remained at zero percent during the reporting period. DCLA has not met the standard of releasing payments to the CIGs by the 5th of the month due to increased layers of approval for City expenditures as a result of the COVID-19 pandemic.
- Due to the pandemic that forced the closure of Materials for the Arts (MFTA) and severely limited staff time at the warehouse, transaction processing was deprioritized temporarily since staff could not weigh, value and enter items into the computer system. Since staff has returned to the warehouse on a limited but more consistent schedule since October 19th, transaction processing has resumed in earnest and numbers will be more accurately reflected in the Fiscal 2021 MMR.

SERVICE 1 Provide financial support to the City's non-profit arts and cultural sector for operations, programs and activities.

Goal 1a Process grant payments promptly.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|---------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Operating support payments made to Cultural Institutions Group by the 5th day of each month (%) | 91% | 82% | 27% | 100% | 100% | 0% | 0% |
| ★ Average days to issue initial Cultural Development Fund (CDF) payments after complying with all City requirements | 6 | 8 | 12 | 7 | 7 | NA | NA |
| ★ Average days to issue final CDF payments | 4 | 4 | 11 | 5 | 5 | NA | NA |
| Program organizations awarded CDF payments | 942 | 973 | 987 | * | * | 987 | 1,033 |
| Total financial support provided to qualifying organizations (\$000,000) | \$179.2 | \$189.4 | \$200.2 | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | | * None | | | |

Goal 1b Strengthen the infrastructure of cultural facilities by funding capital improvements.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Capital projects authorized to proceed | 45 | 55 | 55 | * | * | NA | NA |
| ★ Capital projects planned that were initiated (%) | 69% | 110% | 86% | 66% | 66% | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | | * None | | | |

Goal 1c

Expand resources for arts programs and public schools by increasing the supply and use of donated materials.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|--------|--------|-------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Schools, non-profits and City/State agencies served by Materials for the Arts (MFTA) | 2,168 | 2,091 | 2,031 | * | * | 1,257 | 158 |
| ★ MFTA transactions | 6,550 | 6,585 | 4,103 | 5,300 | 5,300 | 2,085 | 160 |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | * None | | | | |

SERVICE 2 Promote public appreciation of non-profit arts and culture.

Goal 2a

Increase public awareness of the cultural programming offered throughout the five boroughs.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Visitors to the Cultural Institutions Group (000) | 23,180 | 22,648 | 14,927 | * | * | NA | NA |
| – Visitors using free admission and/or tickets (%) | 27% | 28% | 29% | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | * None | | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|-------------------------------------|--------------------|----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| E-mails responded to in 14 days (%) | 84% | 91% | 90% | 88% | 88% | 93% | 0% |
| Letters responded to in 14 days (%) | 100% | 100% | 100% | 90% | 90% | 100% | NA |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | * None | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---------------------------------------|---------|---------|---------|---------------------|-------------------|-------------------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$192.5 | \$205.1 | \$209.9 | \$189.4 | \$193.1 | \$144.2 | \$95.7 | \$84.4 |
| Personnel | 63 | 64 | 67 | 64 | 66 | 63 | 61 | 65 |
| Overtime paid (\$000) | \$1 | \$0 | \$6.0 | \$0.0 | \$0.0 | \$0.0 | \$0.0 | \$0.0 |
| Capital commitments (\$000,000) | \$75.4 | \$216.9 | \$126.5 | \$152.1 | \$214.9 | \$158.7 | \$65.5 | \$3.6 |

¹January 2021 Financial Plan.

²Expenditures include all funds

"NA" - Not Available

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|--|--|---|-----------------------------------|
| Personal Services - Total | \$5.2 | \$5.2 | |
| 001 - Office of the Commissioner | \$5.2 | \$5.2 | All |
| Other Than Personal Services - Total | \$204.7 | \$188.0 | |
| 002 - Office of the Commissioner | \$1.7 | \$3.0 | All |
| 003 - Cultural Programs | \$81.6 | \$71.0 | 1a, 1b |
| 004 - Metropolitan Museum of Art | \$20.7 | \$18.7 | 1a, 1b |
| 005 - New York Botanical Garden | \$7.9 | \$7.2 | 1a, 1b |
| 006 - American Museum of Natural History | \$17.8 | \$17.5 | 1a, 1b |
| 007 - The Wildlife Conservation Society | \$15.9 | \$15.6 | 1a, 1b |
| 008 - Brooklyn Museum | \$8.6 | \$9.2 | 1a, 1b |
| 009 - Brooklyn Children's Museum | \$2.3 | \$2.3 | 1a, 1b |
| 010 - Brooklyn Botanical Garden | \$4.9 | \$4.2 | 1a, 1b |
| 011 - Queens Botanical Garden | \$2.9 | \$1.4 | 1a, 1b |
| 012 - New York Hall of Science | \$2.0 | \$2.1 | 1a, 1b |
| 013 - Staten Island Institute of Arts and Sciences | \$1.2 | \$1.1 | 1a, 1b |
| 014 - Staten Island Zoological Society | \$1.9 | \$1.8 | 1a, 1b |
| 015 - Staten Island Historical Society | \$1.0 | \$0.9 | 1a, 1b |
| 016 - Museum of the City of New York | \$1.8 | \$1.9 | 1a, 1b |
| 017 - Wave Hill | \$1.6 | \$1.5 | 1a, 1b |
| 019 - Brooklyn Academy of Music | \$2.9 | \$2.8 | 1a, 1b |
| 020 - Snug Harbor Cultural Center | \$3.2 | \$2.1 | 1a, 1b |
| 021 - Studio Museum in Harlem | \$0.8 | \$0.7 | 1a, 1b |
| 022 - Other Cultural Institutions | \$22.8 | \$22.1 | 1a, 1b |
| 024 - New York Shakespeare Festival | \$1.2 | \$1.1 | 1a, 1b |
| Agency Total | \$209.9 | \$193.1 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available * None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- Reporting for 'Letters responded to within 14 days (%)' was NA during the reporting period due to staff vacancies and disruptions caused by the COVID-19 pandemic.

ADDITIONAL RESOURCES

- CreateNYC:
<http://createnyc.org/en/home/>

For more information on the agency, please visit: www.nyc.gov/dcla.

DEPARTMENT OF CONSUMER AND WORKER PROTECTION

Lorelei Salas, Commissioner



WHAT WE DO

The Department of Consumer and Worker Protection (DCWP) protects and enhances the daily economic lives of New Yorkers to help create thriving communities. DCWP licenses and regulates more than 59,000 businesses in more than 50 industries. The agency strives to create a culture of compliance in the marketplace by performing onsite inspections of businesses and enforcing license regulations, weights and measures regulations and the NYC Consumer Protection Law. DCWP also provides mediation and restitution for consumer complaints. Through its Office of Labor Policy & Standards (OLPS), the Agency enforces various workplace laws, including Paid Safe and Sick Leave, Fair Workweek, and protections for contract workers under the Freelance Isn't Free law, by investigating complaints, conducting proactive investigations and recovering restitution for workers.

DCWP's Office of Financial Empowerment (OFE) focuses on initiatives that educate, empower and protect residents and neighborhoods with low incomes so they can improve their financial health and build assets by providing free financial counseling and coaching at the NYC Financial Empowerment Centers, increasing access to safe and affordable financial products and services, and encouraging the use of NYC Free Tax Prep, which helps eligible New Yorkers file their taxes for free and claim valuable tax credits.

FOCUS ON EQUITY

DCWP's commitment to a fair and equitable marketplace begins with consumer advocacy, business education and transparency. As part of its consumer advocacy, DCWP continues to coordinate work across the agency and use a multi-pronged approach, including enforcement, legislation and education for maximum impact. To help prevent consumer harm and improve the financial health of New Yorkers with low incomes, DCWP's Office of Financial Empowerment provides financial counseling and coaching, helps with debt reduction, and offers free tax preparation. DCWP has also increased its outreach efforts to educate businesses about their obligations to workers in addition to consumers. Through DCWP's Office of Labor Policy & Standards, New York City employees and employers are informed about the workplace laws the Agency enforces, including Paid Safe and Sick Leave, Fair Workweek, and freelance contract worker protections to ensure workers get the protections to which they are entitled.

OUR SERVICES AND GOALS

SERVICE 1 Protect and advocate for consumers.

- Goal 1a Mediate consumer complaints with businesses to achieve fair and timely outcomes.
- Goal 1b Ensure all businesses comply with NYC's Consumer Protection Law and related laws.
- Goal 1c Promptly negotiate settlements on violations issued to businesses.

SERVICE 2 Assist and educate businesses and promote a fair marketplace.

- Goal 2a Ensure that business licensing is easy.
- Goal 2b Educate businesses to help them understand their responsibilities toward consumers and their employees.

SERVICE 3 Educate and empower New Yorkers with low incomes.

- Goal 3a Help residents with low incomes achieve financial stability.

SERVICE 4 Protect and advocate for workers.

- Goal 4a Investigate complaints in a timely manner to ensure employers' compliance with the Paid Safe and Sick Leave Law.
- Goal 4b Assist freelancers in exercising their rights under the Freelance Isn't Free Law.

HOW WE PERFORMED

- The number of docketed complaints decreased by six percent, from 886 to 836, and correspondingly the number of resolved consumer complaints decreased from 875 to 792, over the first four months of the fiscal year. The amount of consumer restitution awarded dropped to \$296,000, a \$382,000 (56 percent) decrease from the same period last year. DCWP processed 47 percent of docketed complaints within 28 days compared to 58 percent during the same four-month period last year, while all complaints continue to be processed within 90 days. The median time to resolve a complaint increased by four days, to 29, up from 25 in Fiscal 2020. These increases were in the context of receiving and responding to 870 price gouging complaints over and above our normal intake.
- The number of inspections conducted during the first four months of Fiscal 2021 decreased by 48 percent, from 19,963 to 10,465, while the number of summonses decreased by 2,944 (55 percent). Agency inspection resources were diverted to COVID-19 response. Compared to the first four months of Fiscal 2020, the license requirement compliance rate increased from 90 percent to 98 percent, compliance with licensing law dropped by eight percentage points to 78 percent, and consumer protection law compliance increased from 86 percent to 94 percent. The compliance rate for out-of-package tobacco sales decreased from 97 percent to 92 percent and compliance with sales of flavored tobacco products decreased from 98 percent to 83 percent. Due to COVID-19 DCWP has not been making any inspections with undercover minors attempting underage purchases, so the compliance rate for underage sales is not reportable. The compliance rates for gasoline pump inspections remained consistent at more than 99 percent. The compliance rate for fuel trucks increased from 78 percent to 83 percent.
- The total amount of fines collected by DCWP resulting from enforcement activities decreased by 68 percent, from \$2.1 million in the first four months of Fiscal 2020 to \$671,000 in Fiscal 2021. This is largely a result of the cessation of most enforcement activities in the first months of COVID-19 restrictions and the subsequent prioritization of community outreach, resulting in fewer cases overall. Cases settled by agreement and penalties paid in full before their original hearing date decreased slightly, from 62 percent to 61 percent.
- The average days to process basic license applications increased to seven days from two days during the first four months of Fiscal 2021, while the percent of license applications received online increased from 18 percent in the first four months of Fiscal 2020 to 52 percent during the same four months of Fiscal 2021. The average wait time at the licensing centers increased to 14 minutes compared to just five minutes during the same period last year. In response to the 189 percent increase in the rate of online submissions and the extremely limited capacity at our in-person licensing centers, DCWP allowed more than the usual 30-days for applicants to submit all the required documentation to complete their applications, relying more heavily on mailed correspondence than usual. Additionally, Mayoral Executive Orders extended the renewal period for most license categories, substantially decreasing the number of basic license renewals that are processed in less than one business day, further skewing the numbers upward.
- In the first four months of Fiscal 2021 DCWP educated 7,003 businesses through violation-free business education visits, special events and trainings, and Live Chat for Businesses, an 81 percent increase from 3,871 in Fiscal 2020. This number does not include more than 5,000 business visits conducted by DCWP inspectors as part of City Hall's multi-agency business re-opening outreach and inspection initiative, intended to support and educate businesses about public health requirements and their obligations to adhere to New York State COVID-19 regulations and best practices.
- DCWP's Office of Financial Empowerment (OFE) saw a 16 percent decrease in the number of clients served by financial counseling programs compared to the first four months of Fiscal 2020, dropping from 3,235 to 2,727. Since October 2018, OFE clients have reduced their total debt by \$6.4 million and increased their total savings by \$1.62 million.
- DCWP's Office of Labor Policy & Standards (OLPS) closed 60 Paid Safe and Sick Leave investigations during the first four months of Fiscal 2021, assessing \$186,179 in restitution for 582 employees. The average time to resolve these investigations was 234 days. Compared to the same period last year, investigations closed decreased by 35 percent and the amount of restitution decreased by 82 percent. These decreases were due to a decline in the number of employees entitled to restitution, which decreased by 81 percent.

- In the first four months of Fiscal 2021, the number of inquiries received by freelance workers decreased by 23 percent, from 147 to 88, while the number of complaints addressed decreased by 57 percent, from 249 to 113. The amount recovered by freelancers registering complaints decreased by 72 percent, from \$147,768 to \$69,764. The amount recovered is self-reported by freelancers in follow-up surveys and correspondence conducted by OLPS and does not necessarily reflect the actual amount of all moneys recovered.

SERVICE 1 Protect and advocate for consumers.

Goal 1a Mediate consumer complaints with businesses to achieve fair and timely outcomes.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|---------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Total docketed complaints | 2,804 | 2,720 | 2,166 | * | * | 886 | 836 |
| Resolved consumer complaints | 2,701 | 2,536 | 2,099 | * | * | 875 | 792 |
| Complaints processed within 0-28 days (%) | 71% | 66% | 54% | 50% | 50% | 58% | 47% |
| – Within 0-50 days (%) | 96% | 94% | 91% | 85% | 85% | 93% | 92% |
| – Within 0-90 days (%) | 100% | 100% | 99% | 100% | 100% | 100% | 100% |
| ★ Median complaint processing time (days) | 20 | 22 | 27 | 28 | 28 | 25 | 29 |
| Consumer restitution awarded (\$000) | \$3,485 | \$1,620 | \$1,187 | * | * | \$678 | \$296 |
| ★ Mediated complaints resolved to the satisfaction of the business and consumer (%) | 64% | 61% | 61% | 62% | 62% | 62% | 62% |
| ★ Critical Indicator | “NA” Not Available | ↕↔ Directional Target | | * None | | | |

Goal 1b Ensure all businesses comply with NYC’s Consumer Protection Law and related laws.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Total inspections | 65,673 | 62,971 | 41,251 | * | * | 19,776 | 10,465 |
| - Proactive inspections | 47,763 | 44,669 | 26,043 | * | * | 13,002 | 7,569 |
| - Tobacco program inspections | 11,755 | 15,242 | 11,160 | * | * | 5,982 | 1,222 |
| - Referred inspections | 2,364 | 2,713 | 4,421 | * | * | 959 | 1,656 |
| Total summonses issued | 15,152 | 16,338 | 11,020 | * | * | 5,334 | 2,374 |
| - Proactive inspection summonses issued | 10,912 | 11,602 | 7,341 | * | * | 3,828 | 1,456 |
| - Tobacco program summonses issued | 2,633 | 2,821 | 2,225 | * | * | 1,035 | 418 |
| - Referred inspections summonses issued | 757 | 1,108 | 1,390 | * | * | 443 | 501 |
| License Law – License requirement compliance rate (%) | 91% | 90% | 90% | * | * | 90% | 98% |
| License Law – Licensee compliance rate (%) | 92% | 84% | 86% | * | * | 86% | 98% |
| Consumer protection law compliance rate (%) | 89% | 87% | 86% | * | * | 86% | 94% |
| Weights and Measures Law compliance rate - gasoline pumps (%) | 99% | 99% | 100% | 98% | 98% | 99% | 99% |
| Weights and Measures Law compliance rate - fuel trucks (%) | 77% | 80% | 76% | 72% | 72% | 74% | 83% |
| ★ Tobacco Program - Sale to youth compliance rate (%) | 90% | 90% | 89% | ↕ | ↕ | 89% | NA |
| Tobacco Program – Out of package sales compliance rate (%) | 97% | 96% | 97% | * | * | 98% | 93% |
| Tobacco Program - Flavored tobacco and e-cigarette compliance rate (%) | 96% | 96% | 97% | * | * | 98% | 83% |
| ★ Critical Indicator | “NA” Not Available | ↕↔ Directional Target | | * None | | | |

Goal 1c Promptly negotiate settlements on violations issued to businesses.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|---------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Total settlements (\$000) | \$5,725 | \$6,393 | \$4,357 | * | * | \$1,967 | \$671 |
| Cases settled prior to original hearing date (%) | 62% | 65% | 63% | * | * | 62% | 61% |
| ★ Critical Indicator | “NA” Not Available | ↕↔ Directional Target | | * None | | | |

SERVICE 2 Assist and educate businesses and promote a fair marketplace.

Goal 2a Ensure that business licensing is easy.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|------|----------------------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Basic license application - Average processing time (days) | 4 | 2 | 3 | 4 | 4 | 2 | 7 |
| License applications received online (%) | 22% | 21% | 23% | * | * | 18% | 52% |
| ★ Licensing Centers wait time (minutes) | 15 | 8 | 5 | 15 | 15 | 6 | 14 |
| ★ Critical Indicator | "NA" Not Available | | ⇅ Directional Target | * None | | | |

Goal 2b Educate businesses to help them understand their responsibilities toward consumers and their employees.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|--------|----------------------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Businesses educated through direct outreach | 18,031 | 19,348 | 17,089 | * | * | 3,871 | 7,003 |
| ★ Critical Indicator | "NA" Not Available | | ⇅ Directional Target | * None | | | |

SERVICE 3 Educate and empower New Yorkers with low incomes.

Goal 3a Help residents with low incomes achieve financial stability.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-------------|----------------------|--------|------|----------------|-------------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Clients served by Office of Financial Empowerment financial counseling programs | 10,171 | 8,405 | 6,899 | * | * | 3,235 | 2,727 |
| - Percent achieving measurable success (%) | 38.0% | 25.0% | 21.0% | * | * | NA | NA |
| Total debt reduced by clients (\$000) (cumulative) | \$63,473 | \$71,953 | \$79,837 | * | * | \$75,483 | \$81,852 |
| Total savings accumulated (\$) (cumulative) | \$5,321,956 | \$6,877,862 | \$7,860,236 | * | * | \$7,017,402 | \$8,636,931 |
| Tax returns filed through citywide Tax Credit Campaign | 124,778 | 112,616 | 67,132 | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | | ⇅ Directional Target | * None | | | |

SERVICE 4 Protect and advocate for workers.

Goal 4a Investigate complaints in a timely manner to ensure employers' compliance with the Paid Safe and Sick Leave Law.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-------------|----------------------|--------|------|----------------|-----------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Paid Safe and Sick Leave (PSSL) complaints received | 304 | 261 | 263 | * | * | 87 | 37 |
| PSSL complaints investigated | 392 | 289 | 220 | * | * | 93 | 60 |
| ★ Average time to resolve PSSL complaint investigations (days) | 280 | 247 | 241 | ⇓ | ⇓ | 272 | 234 |
| Number of employees entitled to restitution | 8,166 | 6,691 | 3,768 | * | * | 3,090 | 582 |
| Total amount of employee restitution assessed (\$) | \$2,189,998 | \$1,541,095 | \$1,760,558 | * | * | \$1,033,588 | \$186,179 |
| Total amount of PSSL fines assessed (\$) | \$489,547 | \$400,181 | \$240,003 | * | * | \$147,768 | \$41,074 |
| ★ Critical Indicator | "NA" Not Available | | ⇅ Directional Target | * None | | | |

Goal 4b

Assist freelancers in exercising their rights under the Freelance Isn't Free Law.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|-----------|-----------|-----------|--------|------|----------------|----------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Freelance Isn't Free inquiries received | 255 | 349 | 370 | * | * | 147 | 88 |
| Freelance Isn't Free complaints received and addressed | 258 | 602 | 619 | * | * | 249 | 113 |
| Amount recovered for Freelance Isn't Free complainants (\$) | \$298,915 | \$866,574 | \$519,210 | * | * | \$299,166 | \$69,764 |
| ★ Critical Indicator "NA" Not Available ⬆️⬆️ Directional Target * None | | | | | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------|-------|-------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Average customer in-person wait time (minutes) | 16 | 8 | 5 | 17 | 17 | NA | NA |
| Completed customer requests for interpretation | 3,480 | 3,454 | 2,429 | * | * | NA | NA |
| CORE customer experience rating (0-100) | 100 | NA | 99 | 87 | 87 | NA | NA |
| ★ Critical Indicator "NA" Not Available ⬆️⬆️ Directional Target * None | | | | | | | |

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Response to 311 Service Requests (SRs) | | | | | | | |
| Percent meeting time to first action - Consumer Complaint - Exchange/Refund/Return (4 days) | 98% | 94% | 100% | 85% | 85% | 100% | NA |
| Percent meeting time to first action - Consumer Complaint - False Advertising (4 days) | 98% | 92% | 100% | 85% | 85% | 100% | NA |
| Percent meeting time to first action - Consumer Complaint - Non-Delivery Goods/Services (4 days) | 97% | 95% | 100% | 85% | 85% | 100% | NA |
| Percent meeting time to first action - Consumer Complaint - Overcharge (4 days) | 97% | 93% | 100% | 85% | 85% | 100% | NA |
| Percent meeting time to first action - DCA / DOHMH New License Application Request - General Street Vendor License (7 days) | 58% | 81% | 100% | 85% | 85% | NA | NA |
| ★ Critical Indicator "NA" Not Available ⬆️⬆️ Directional Target * None | | | | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|--------|--------|---------|---------------------|-------------------|-------------------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$39.6 | \$42.3 | \$41.5 | \$43.5 | \$43.0 | \$43.2 | \$16.6 | \$21.9 |
| Revenues (\$000,000) | \$34.5 | \$33.6 | \$22.1 | \$25.6 | \$17.3 | \$17.6 | \$9.6 | \$2.9 |
| Personnel | 393 | 405 | 390 | 410 | 377 | 408 | 404 | 376 |
| Overtime paid (\$000) | \$377 | \$293 | \$147.0 | \$114.0 | \$114.0 | \$114.0 | \$73.0 | \$4.0 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|--------------------------------------|--|---|-----------------------------------|
| Personal Services - Total | \$28.1 | \$27.4 | |
| 001 - Administration | \$13.5 | \$12.5 | All |
| 002 - Licensing and Enforcement | \$14.6 | \$14.8 | 1b, 1c, 2a, 2b, 4a |
| Other Than Personal Services - Total | \$13.4 | \$15.6 | |
| 003 - Other than Personal Services | \$13.4 | \$15.6 | All |
| Agency Total | \$41.5 | \$43.0 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available * None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- In July of this year DCWP deployed a new enforcement tracking system and, as a result of new data points available for reporting, has made substantial changes to the way it reports its inspections and business compliance.
 - DCWP is introducing three new sub-metrics for the total number of inspections and summonses: Proactive inspections and summonses, Referred inspections and summonses, and Tobacco inspections and summonses.
 - DCWP has also split compliance with licensing laws into two different metrics: the percent of businesses required to have a license that have an active license and, of those businesses that do have a license, the percent that follow all rules and regulations governing their specific license category.
 - DCWP's Consumer Law compliance rate no longer looks at just compliance with receipt and refund policy regulations, it is now expanded to include all businesses and whether they comply with all consumer protection laws.
 - Changes to NYS tobacco and electronic cigarette laws and DCWP's ability to better categorize violations has led us to introduce three levels of compliance with state and local tobacco regulations: Sale to Youth (persons under age 21, was formerly based on NYS Public Health prohibition on sales to persons under 18), violations of prohibitions against the sale of flavored tobacco and electronic cigarette products and violations of the sale of out-of-package and below minimum pricing requirements.

ADDITIONAL RESOURCES

- For more information about workers' rights, including the NYC Paid Safe and Sick Leave and Freelance Isn't Free laws, visit nyc.gov/workers

For more information on the agency, please visit: www.nyc.gov/dcwp.

DEPARTMENT OF INFORMATION TECHNOLOGY AND TELECOMMUNICATIONS

311 CUSTOMER SERVICE CENTER **Jessica S. Tisch, Commissioner**



WHAT WE DO

The 311 Customer Service Center delivers fast and easy access to government services and information to all New Yorkers. NYC 311 can be reached via the call center, 311 Online, 311 Mobile App, 311 Facebook, 311 on Twitter, text messaging at 311-NYC (692) and 311 TTY at (212) 504-4115. Information and assistance are also accessible by Skyping “NYC311” or by using a video relay service at (212) NEW-YORK (212-639-9675). NYC 311’s services are available in more than 180 languages, 24 hours a day, seven days a week, 365 days a year. In April 2020, the Department of Information Technology and Telecommunications (DoITT) resumed management of the 311 Customer Service Center.

FOCUS ON EQUITY

NYC 311 is committed to equitably serving the public interest of all New York City residents, business owners and visitors. With so many New Yorkers accessing government resources through 311, its work is inherently tied to fair and transparent service delivery, particularly for non-English speakers, who it aims to serve in their preferred language. Historically underserved communities rely on 311 for support and this has never been truer than during the COVID-19 pandemic. COVID-related inquiries to 311 (requesting meals, information on medical care, testing, remote learning devices, and small business loans, etc.) remained top drivers of its call volume during the first four months of 2021. To ensure that 311 provided prompt service to underserved communities in a time of crisis, 311 continued its expanded operations, which were done at the start of the pandemic: additional call centers; increased number of surge call takers; prioritized hiring of Spanish-speaking call takers; and express lanes at the call center to prioritize COVID-related requests.

OUR SERVICES AND GOALS

SERVICE 1 Provide public access to City government.

Goal 1a Increase public access to government services and information.

HOW WE PERFORMED

- 311 received more than 14 million contacts from New Yorkers across its Customer Service Center, website and mobile application during the first four months of Fiscal 2021: approximately 8 million calls were made to 311; 5 million contacts came through 311's website; and 1 million came through the 311 mobile application and text messaging. Each of these metrics increased significantly compared to the same time period in the prior fiscal year.
- The average wait time to speak with a Tier 1 agent during the reporting period was 1 minute and 21 seconds during peak hours, and 21 seconds outside of those hours.
- 311 continued to deliver critical services during the COVID-19 pandemic, providing important information on medical assistance, testing, school reopening, and COVID zones, as well as connecting New Yorkers to food assistance. The 311 Customer Service Center served as surge capacity for the NYC Board of Elections during the lead-up to the November 2020 federal election. It also handled an unprecedented volume of calls over the summer related to Tropical Storm Isaias. In August 2020, both on the day of and after Tropical Storm Isaias, the call volume at 311 spiked: on August 4, when the storm hit the City, 311 received 160,000 calls, with 45,000 of them coming during a three-hour period in the middle of the day. Despite the spike, callers who followed the prompts to get to the express lane for storm-related calls experienced wait times that were under 5 minutes for the vast majority of the day, with a maximum average wait time of 7 minutes during a one-hour period. More importantly, the storm-related call volume did not affect wait times for COVID-related calls. New Yorkers using the standard express lane for things like food deliveries or to get connected to a primary care provider experienced de minimus wait times all day. Spanish-speaking callers who followed the Spanish prompts saw no wait times at all.

SERVICE 1 Provide public access to City government.

Goal 1a Increase public access to government services and information.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ 311 calls (000) | 20,618 | 19,541 | 21,515 | * | * | 5,929 | 8,380 |
| 311 Spanish language calls (000) | 733 | 714 | 897 | * | * | NA | 261 |
| 311 calls in languages other than English or Spanish (000) | 65 | 60 | 81 | * | * | NA | 44,581 |
| 311 mobile app contacts (000) | 1,829 | 2,234 | 2,201 | * | * | 623 | 443 |
| 311-NYC (text) contacts (000) | 254 | 253 | 424 | * | * | 78 | 142 |
| ★ 311 Online site visits (000) | 19,345 | 20,185 | 10,553 | ↑ | ↑ | 3,131 | 5,028 |
| ★ Completed service requests (000) | 3,074 | 3,254 | 2,913 | * | * | NA | 1,334 |
| Knowledge articles accessed (000) | 24,667 | 24,026 | 12,194 | * | * | NA | 7,817 |
| ★ Average wait time (tier 1 calls) Peak hours (11am-3pm, M-F) (minutes:seconds) | 0:26 | 0:27 | 1:38 | ↓ | ↓ | NA | 1:21 |
| ★ Average wait time (tier 1 calls) Off-peak hours (minutes:seconds) | 0:32 | 0:23 | 1:03 | ↓ | ↓ | NA | 0:21 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|-------------------------------------|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| E-mails responded to in 14 days (%) | 100% | 100% | 100% | * | * | 100% | 99% |
| Customer satisfaction index | 83 | 84 | 85 | * | * | 85 | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---------------------------------------|--------|--------|---------|------------------------|-------------------|-------------------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$43.6 | \$45.7 | \$45.2 | \$46.9 | \$47.4 | \$47.0 | \$19.2 | \$24.6 |
| Personnel | 355 | 375 | 403 | 409 | 387 | 405 | 388 | 390 |
| Overtime paid (\$000) | \$231 | \$252 | \$400.0 | \$239.0 | \$239.0 | \$239.0 | \$44.0 | \$222.0 |

¹January 2021 Financial Plan. ²Expenditures include all funds ³The figures shown in the table above are subtotals of the Department of Information Technology and Telecommunications totals that appear in the DoITT chapter of this report. "NA" - Not Available

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- 311 did not conduct a customer satisfaction survey for the PMMR period owing to the dramatic increase in demands on the Customer Service Center during the pandemic.

ADDITIONAL RESOURCES

For additional information on items referenced in the narrative, go to:

- 311 Online:
<http://www.nyc.gov/311>
- 311 Facebook:
<http://www.facebook.com/pages/NYC-311/84372567650>
- 311 on Twitter:
<https://twitter.com/nyc311>
- 311 Mobile App:
<http://www1.nyc.gov/connect/applications.page>

TAXI AND LIMOUSINE COMMISSION

Aloysee Heredia Jarmoszuk, Commissioner/Chair



WHAT WE DO

The Taxi and Limousine Commission (TLC) establishes and enforces professional and uniform standards of for-hire transportation service and ensures public safety. TLC licenses and regulates New York City's medallion (yellow) taxicabs, for-hire vehicles (app-based services, Boro Taxis, community-based liveries and luxury limousines), commuter vans and paratransit vehicles.

In response to increasing food insecurity caused by the COVID-19 pandemic, the City created GetFood NYC to provide food to New Yorkers in need. One component of the GetFood initiative—TLC Delivery—used TLC-licensed drivers to deliver meals to individuals who could not safely leave their homes during the early days of the pandemic. In addition to providing food to New York's most at-risk residents, TLC Delivery also generated additional income for drivers whose business was significantly impacted. The TLC partnered with DSNY, NYCEM, DoITT and Parks to establish driver enrollment and payment systems, develop protocols and staff for food distribution sites, and to develop electronic driver shift reservations, route assignments, and turn-by-turn directions. The program ended in October 2020 with a total of 9,591 TLC-licensed drivers who worked a total of 732,442 routes, earned \$39,515,994 and delivered 65,977,119 meals across all five boroughs.

FOCUS ON EQUITY

TLC focuses on equitable service delivery through its commitments to access and safety for all New Yorkers. TLC's Office of Inclusion recently launched a major public awareness campaign to raise awareness about and curb the incidence of service refusals based upon race, ethnicity, gender, sexual orientation and disability. As part of the Vision Zero initiative, TLC has strengthened enforcement of safety violations and increased its educational efforts for both drivers and passengers.

OUR SERVICES AND GOALS

SERVICE 1 Ensure the quality and safety of for-hire vehicle transportation services through effective regulation and administration of rules, standards and licensing requirements.

- Goal 1a Increase access to for-hire transportation service.
- Goal 1b Ensure that all licensed vehicles meet safety and emissions standards.
- Goal 1c Ensure all vehicles operating for-hire follow TLC rules and regulations.
- Goal 1d Provide excellent customer service to licensees.
- Goal 1e Promote excellent customer service to passengers.

HOW WE PERFORMED

- The number of active wheelchair accessible vehicles across all sectors was 3,463 in the first four months of Fiscal 2021, down 14 percent from the same period in Fiscal 2020, but up from the 2,208 reported at the end of Fiscal 2020. The number of wheelchair accessible for-hire vehicles (FHVs) more than doubled compared to the same period last year before the COVID-19 pandemic. The number of active wheelchair accessible medallion and Boro taxis fell by 46 percent and 65 percent, respectively.
- TLC conducted a total of 37,803 safety and emissions inspections in the first four months of Fiscal 2021, a decrease of 13 percent from Fiscal 2020. Inspections for medallion and Boro taxis increased compared to the latter part of Fiscal 2020, but the count was still lower than the level reported last year before the pandemic. At the same time, FHV inspections increased seven percent compared to last year as TLC conducted the first two-year renewal inspections for a large influx of FHV vehicles that were licensed in 2018 prior to the pause on the issuance of new FHV licenses.
- TLC Enforcement continued to support the City's emergency work related to the COVID-19 pandemic during the first four months of Fiscal 2021. The focus for TLC Enforcement has been PPE distribution to drivers, coordination of food delivery services with the Office of Emergency Management, and work with the Sheriff's Department, including distribution of COVID-19 educational material to the public at bridge and tunnel crossings. This focus temporarily diverted enforcement efforts away from illegal street hails and unlicensed operations. We expect to see an increase in the number of summonses issued for these violations as TLC Enforcement resumes normal operations.
- The impact of COVID-19 on the TLC and industries that the agency regulates is particularly notable in the agency's customer service metrics. During the pandemic, TLC remained open to serve all customers with and without an appointment, but staffing capacity was significantly reduced to comply with City and State guidelines ensuring the safety of both staff and the public. As a result, over the first four months of Fiscal 2021 there was a significant increase in average wait times at the Long Island City facility to slightly over 45 minutes compared to our target of 25 minutes during normal times. Although the number of new license applications was down significantly, the average processing times were much higher than normal because of driver education schools remaining closed through most of the first quarter of Fiscal 2021. While social distancing constraints had an observable impact on in-person customer service, processes that were handled remotely were consistent and TLC sustained improvements made from last year. Average call wait time was six and a half minutes compared to slightly over eight minutes last year. This is noteworthy given the influx of calls the Agency received from licensees, applicants, and the public related to the pandemic.
- Overall, the number of complaints received from the public decreased by 69 percent in the first four months of Fiscal 2021 compared to the previous year. This directly relates to the continued impact of the COVID-19 pandemic and the reduced demand of for-hire transportation as a result. With lower total complaint volume in Fiscal 2021, TLC efforts to reduce the number of days to close a case were successful. The average number of days to close a case is now 25.3 days, which is a decrease of 18 days from Fiscal 2020, and well below the goal of 50 days to close a complaint.

SERVICE 1 Ensure the quality and safety of for-hire vehicle transportation services through effective regulation and administration of rules, standards and licensing requirements.

Goal 1a Increase access to for-hire transportation service.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------|-------|-------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Active medallion taxis that are accessible | 2,173 | 2,767 | 1,052 | * | * | 3,042 | 1,651 |
| Active Boro Taxis that are accessible | 216 | 169 | 43 | * | * | 148 | 52 |
| Accessible dispatch median wait time citywide (minutes:seconds) | NA | 12:59 | 12:25 | * | * | 12:16 | 12:19 |
| Accessible dispatch trips fulfilled as a percent of requested trips (%) | 83.9% | 84.8% | 89.2% | * | * | 89.4% | 89.6% |
| Active medallion vehicles with hearing induction loops | 2,597 | 2,947 | 3,007 | * | * | 3,035 | 2,995 |
| Active FHV that are accessible | NA | 579 | 1,113 | * | * | 856 | 1,760 |
| ★ Critical Indicator "NA" Not Available ⬆️⬇️ Directional Target * None | | | | | | | |

Goal 1b Ensure that all licensed vehicles meet safety and emissions standards.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------|--------|--------|--------|-------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Medallion safety and emissions inspections conducted | 47,955 | 31,756 | 27,000 | * | * | 15,076 | 8,317 |
| ★ Medallion safety and emissions failure rate - Initial inspection (%) | 26.9% | 33.6% | 33.1% | 35.0% | 35.0% | 31.2% | 25.4% |
| – Re-inspection (%) | 7.1% | 6.1% | 6.8% | * | * | 7.1% | 7.2% |
| Medallion safety and emissions inspections completed on schedule (%) | 93.4% | 54.7% | 59.9% | * | * | 77.5% | 42.9% |
| For-hire vehicle (FHV) safety and emissions inspections conducted at TLC facility | 72,235 | 84,145 | 69,640 | * | * | 25,513 | 27,383 |
| ★ FHV safety and emissions failure rate - Initial inspection (%) | 26.6% | 28.7% | 30.1% | 35.0% | 35.0% | 31.8% | 25.2% |
| – Re-Inspection (%) | 7.9% | 8.4% | 9.0% | * | * | 7.1% | 9.3% |
| FHV safety and emissions inspections completed on schedule (%) | 99.9% | 96.8% | 98.6% | * | * | 99.1% | 97.7% |
| Boro Taxi safety and emissions inspections conducted | 12,414 | 10,374 | 8,009 | * | * | 2,875 | 2,103 |
| ★ Boro Taxi safety and emissions failure rate - Initial inspection (%) | 41.2% | 41.3% | 38.0% | 45.0% | 45.0% | 40.0% | 33.7% |
| – Re-inspection (%) | 11.8% | 10.7% | 12.0% | * | * | 11.6% | 12.6% |
| ★ Critical Indicator "NA" Not Available ⬆️⬇️ Directional Target * None | | | | | | | |

Goal 1c Ensure all vehicles operating for-hire follow TLC rules and regulations.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------|--------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Patrol summonses issued to drivers | 33,917 | 43,217 | 37,887 | * | * | 15,000 | 343 |
| Patrol summonses issued to owners/agents/bases | 20,841 | 17,209 | 12,908 | * | * | 5,545 | 27 |
| ★ Patrol summonses issued for illegal street hails (drivers and vehicle owners) | 8,588 | 9,694 | 7,904 | * | * | 4,112 | 8 |
| ★ Patrol summonses issued for unlicensed activity (drivers and vehicle owners) | 7,346 | 8,352 | 7,928 | * | * | 3,358 | 302 |
| Administrative summonses issued to drivers | 12,018 | 13,563 | 19,019 | * | * | 3,934 | 2,676 |
| Administrative summonses issued to owners/agents/bases | 18,345 | 14,313 | 22,225 | * | * | 9,419 | 7,218 |
| Violations admitted to or upheld at the Taxi and Limousine Tribunal at the Office of Administrative Trials and Hearings (%) | 93.0% | 90.4% | 90.5% | * | * | 89.1% | 96.5% |
| ★ Critical Indicator "NA" Not Available ⬆️⬇️ Directional Target * None | | | | | | | |

Goal 1d Provide excellent customer service to licensees.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|----------------------|--------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average wait time at Long Island City licensing facility (hours: minutes) | 0:13 | 0:23 | 0:24 | 0:25 | 0:25 | 0:25 | 0:45 |
| TLC driver licenses issued | 65,302 | 48,551 | 72,889 | * | * | 26,018 | 21,594 |
| – New licenses issued | 33,301 | 21,020 | 6,769 | * | * | 3,447 | 105 |
| Average time to issue a new driver license from initial application (calendar days) | 45.0 | 46.0 | 50.0 | * | * | 50.1 | 191.9 |
| – Average agency processing time | 7.8 | 6.6 | 6.1 | * | * | 5.7 | NA |
| ★ Average time to conduct a safety and emissions inspection of a medallion taxi (hours:minutes) | 1:09 | 0:55 | 0:48 | 1:00 | 1:00 | 0:53 | 0:30 |
| ★ Average time to conduct a safety and emissions inspection of a FHV (hours:minutes) | 1:22 | 1:03 | 0:35 | 1:00 | 1:00 | 0:40 | 0:29 |
| ★ Average time to conduct a safety and emissions inspection of a Boro Taxi (hours:minutes) | 1:26 | 1:12 | 0:45 | 1:00 | 1:00 | 0:51 | 0:32 |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | * None | | | | |

Goal 1e Promote excellent customer service to passengers.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| TLC driver complaints received | 24,566 | 26,532 | 19,739 | * | * | 8,324 | 2,543 |
| – Complaints that were eligible for prosecution | 12,343 | 13,865 | 14,453 | * | * | 5,135 | 1,472 |
| ★ Average time to close a consumer complaint (calendar days): TLC driver | 44.2 | 94.8 | 50.5 | 50.0 | 50.0 | 43.4 | 25.3 |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | * None | | | | |

AGENCY-WIDE MANAGEMENT

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|------------------------|--------------------|----------------------|---------|--------|------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Medallion vehicles | 13,587 | 13,587 | 13,587 | * | * | 13,587 | 13,587 |
| For-hire vehicles | 113,222 | 120,954 | 110,430 | * | * | 117,783 | 104,415 |
| – Boro Taxis | 4,505 | 4,157 | 3,068 | * | * | 3,229 | 2,683 |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | * None | | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|--------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| E-mails responded to in 14 days (%) | 100% | 100% | NA | 85% | 85% | NA | NA |
| Letters responded to in 14 days (%) | 91% | 88% | 81% | 90% | 90% | 87% | 72% |
| Average call wait time (minutes:seconds) | 10:04 | 7:32 | 6:24 | * | * | 8:12 | 6:30 |
| Completed customer requests for interpretation | 8,238 | 11,158 | 11,878 | * | * | NA | NA |
| CORE customer experience rating (1-100) | 95 | NA | 96 | 85 | 85 | NA | NA |
| ★ Critical Indicator "NA" Not Available ⇅ Directional Target * None | | | | | | | |

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Response to 311 Service Requests (SRs) | | | | | | | |
| Percent meeting time to first action - For-hire Vehicle Complaint (14 days) | 96% | 71% | NA | 90% | 90% | 9% | 96% |
| Percent meeting time to first action - Lost Property (7 days) | 100% | 96% | 97% | 90% | 90% | 97% | 98% |
| Percent meeting time to first action - Miscellaneous Comments (14 days) | 100% | 100% | NA | 60% | 60% | NA | NA |
| Percent meeting time to first action - Request for Information (14 days) | 100% | 100% | NA | 60% | 60% | NA | NA |
| Percent meeting time to first action - Taxi Complaint (14 days) | 96% | 75% | NA | 90% | 90% | 5% | 97% |
| ★ Critical Indicator "NA" Not Available ⇅ Directional Target * None | | | | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|---------|---------|---------|---------------------|-------------------|-------------------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$45.7 | \$47.9 | \$53 | \$54 | \$54 | \$55 | \$20 | \$21 |
| Revenues (\$000,000) | \$82.9 | \$79.5 | \$68 | \$56 | \$49 | \$57 | \$27 | \$21 |
| Personnel | 584 | 625 | 641 | 646 | 612 | 633 | 605 | 619 |
| Overtime paid (\$000) | \$1,171 | \$1,521 | \$1,214 | \$807 | \$807 | \$807 | \$454 | \$222 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|--|--|---|-----------------------------------|
| 001 - Personal Services | \$41.7 | \$40.7 | All |
| 002 - Other Than Personal Services | \$11.3 | \$13.1 | All |
| Agency Total | \$52.9 | \$53.8 | |
| ¹ Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ² Includes all funds. ³ Refer to agency goals listed at front of chapter. "NA" Not Available * None | | | |

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- 'Average agency processing time to issue a new license (calendar days)' for the reporting period is not yet available. TLC expects to publish these in the Fiscal 2021 Mayor's Management Report.

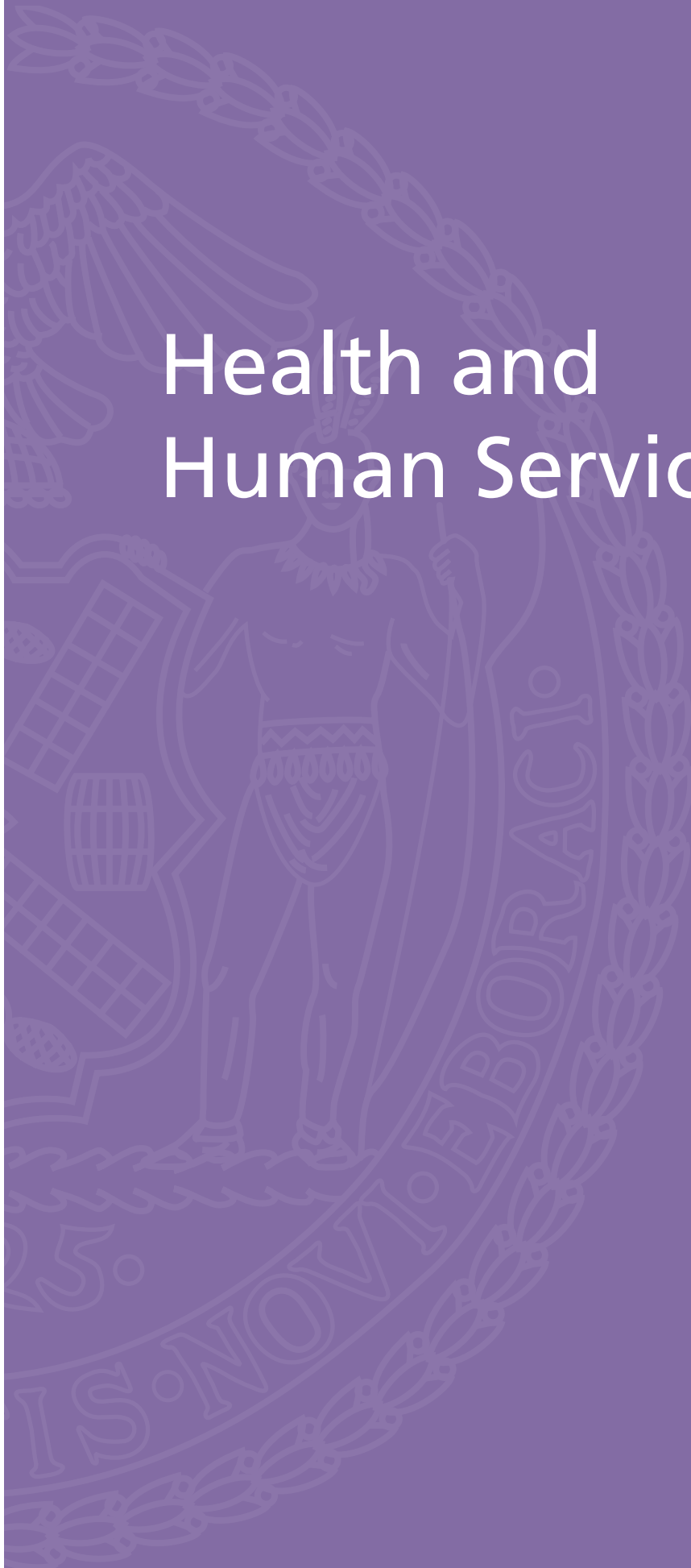
ADDITIONAL RESOURCES

For additional information go to:

- Industry Reports:
<https://www1.nyc.gov/site/tlc/about/industry-reports.page>

For more information on the agency, please visit: www.nyc.gov/tlc.

Health and Human Services



Health and Human Services



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Children's Services p 159



Office of Chief Medical
Examiner p 141



Department of Homeless
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DEPARTMENT OF HEALTH AND MENTAL HYGIENE

Dr. Dave A. Chokshi, Commissioner



WHAT WE DO

The Department of Health and Mental Hygiene (DOHMH) protects and promotes the health and well-being of New Yorkers. DOHMH engages with communities to develop and implement robust public health programming and policy recommendations, enforces health regulations, responds to public health emergencies and provides limited direct health services. Through its core values of science, equity and compassion, DOHMH works toward a city where all New Yorkers can realize their full health potential, regardless of who they are, where they are from or where they live. DOHMH is integral to the city's COVID-19 public health emergency response. DOHMH's top COVID-19 priorities in 2020-2021 are to rapidly address a resurgence in COVID-19 infections; plan and prepare to vaccinate New Yorkers for influenza and COVID-19, partnering with New York City communities to inform effective local strategies; and address "parallel pandemics" related to COVID-19, including other infections (such as tuberculosis) or chronic diseases (such as heart disease), mental health, overdose, racism and social and economic instability. Beyond COVID-19, DOHMH's core public health work continues. It contracts with community-based organizations to deliver mental health, developmental disability and alcohol and substance use disorder treatment services. It works with health care providers to improve health care delivery and to increase the use of preventive services, such as immunizations and cancer screenings. Direct services are provided at four tuberculosis clinics, eight sexual health clinics, one immunization clinic and more than 1,200 public schools. DOHMH issues birth and death certificates, inspects restaurants and childcare centers and protects public safety through immediate response to emergent public health threats. The Early Intervention Program serves infants and toddlers with developmental delays.

FOCUS ON EQUITY

To improve health outcomes faster, the City must be deliberate in naming and addressing health inequities rooted in historical and contemporary injustices and discrimination, including structural racism and discriminatory practices. As one of its core values, DOHMH aims to integrate equity into all its work. At the cornerstone of these efforts is the Department's focus on promoting healthy childhoods, creating healthier neighborhoods, implementing anti-racist public health practice, improving public health surveillance systems and bridging public health and healthcare delivery. DOHMH envisions a city where every New Yorker lives in a thriving neighborhood with equitable access to resources that will support their health and their community's health, including the infusion of mental health into our public health initiatives. DOHMH promotes equity by using data and storytelling to highlight injustices, inform policy, systematic and environmental change and by implementing neighborhood-based programs and strategies to foster health. The Department invests in three neighborhood-based bureaus that serve catchment areas that have historically experienced the highest burden of premature mortality due to structural inequities and disinvestment. These bureaus also oversee Neighborhood Health Action Centers in East Harlem, Tremont and Brownsville that offer coordinated health and social services, as well as community programs, under one roof. The Action Centers provide a central location for people to connect and plan for improving the health of their neighborhoods.

OUR SERVICES AND GOALS

SERVICE 1 Detect and control infectious diseases.

- Goal 1a Reduce new cases of HIV and other sexually transmitted diseases.
- Goal 1b Prevent the spread of other infectious diseases.

SERVICE 2 Prevent chronic diseases by promoting healthy behaviors and preventive health care.

- Goal 2a Reduce tobacco use and promote physical activity and healthy eating.
- Goal 2b Improve preventive health care.

SERVICE 3 Promote a safe environment.

- Goal 3a Reduce hazards to children in homes and child care programs.
- Goal 3b Reduce the threat of foodborne illness.
- Goal 3c Reduce animal-related risks to human health.

SERVICE 4 Prevent and address mental illness, developmental delays and disabilities, and substance misuse.

- Goal 4a Reduce the adverse health consequences of substance misuse.
- Goal 4b Facilitate access to services for New Yorkers with or at risk of developing mental illnesses or developmental disabilities.

SERVICE 5 Provide high quality and timely service to the public.

- Goal 5a Provide birth and death certificates to the public quickly and efficiently.

HOW WE PERFORMED

- The number of new HIV diagnoses in New York City continued to decline with a 12.8 percent decrease from the first quarter of Calendar 2019 compared to the first quarter of Calendar 2020. This progress is in line with the key goals and wide-ranging initiatives of the City's "Ending the Epidemic" initiative.
- The number of reported primary and secondary syphilis cases increased to 757 during the first four months of Fiscal 2021 compared to 700 during the same period in Fiscal 2020. Increases were observed across most age groups and boroughs. Data are preliminary and trends should be interpreted with caution due to standard delays in reporting and classifying syphilis cases. Furthermore, the number of syphilis tests reported to DOHMH declined substantially during the first wave of the COVID-19 pandemic in New York City, reaching the lowest volume in April 2020 and rebounding to pre-pandemic levels by July 2020. It is unclear how these changes will impact long-term trends. DOHMH continues to provide syphilis testing and treatment in the City's Sexual Health Clinics, monitor reports of syphilis and work to prevent ongoing syphilis transmission by notifying, testing and treating the partners of individuals diagnosed with syphilis.
- There was a 54.6 percent decrease in the number of male condoms distributed during the first four months of Fiscal 2021 compared to the same period the previous year. In light of physical distancing requirements and other restrictions under New York State on PAUSE, a number of DOHMH's condom distribution sites closed or reduced hours of operation, bringing down the number of condoms distributed citywide. Throughout the COVID-19 public health emergency, the NYC Condom Availability Program has continued to diligently monitor and update its list of distribution sites as sites reopen.
- There was an 11.2 percent decrease in tuberculosis (TB) cases in the first four months of Calendar 2020 compared to the same period in Calendar 2019. Reporting of TB cases fluctuates month to month and is not consistent throughout the calendar year. In Calendar 2020 there were fluctuations in TB cases because of COVID-19; TB cases were low in late March and throughout April and May but began to increase to expected levels beginning in June. Possible causes of this decline include patients delaying care, benefits of COVID-19 social distancing for TB prevention, disruptions in immigration/refugee referrals, additional other factor(s) or any combination of these factors. Staff continue to monitor case counts closely and analyze possible delays in diagnosis or missed TB diagnoses throughout the City.
- The number of children aged 19–35 months with up-to-date immunizations has decreased 5.7 percentage points from 73.7 percent during the first four months of Fiscal 2020 to 68.0 percent during the first four months of Fiscal 2021. This decrease is a result of the COVID-19 public health emergency.
- Adult smoking prevalence decreased to 11.9 percent, a decrease from 14.3 percent in Calendar 2015 and 21.5 percent in Calendar 2002, meeting the current target of 12 percent. This progress follows implementation of new laws in 2018 and 2019, which put the City at the forefront of tobacco control in the nation with the highest minimum cigarette pack price, new protections from secondhand smoke and limits on the number of tobacco and e-cigarette retailers for all neighborhoods. Despite the ongoing COVID-19 public health emergency, DOHMH continues to partner with the New York State Smokers' Quitline to ensure access to free coaching support and nicotine medications for New Yorkers.
- In the first quarter of Calendar 2020, there were 705 children under the age of 6 with blood lead levels of 5 micrograms per deciliter or greater, a decrease of 20.3 percent from the prior year. The COVID-19 public health emergency has led to significant changes in health care utilization—including a decrease in blood lead testing among children. This decrease may also be due to other factors, including continued reduction of lead-based paint hazards in homes and lead poisoning prevention education efforts aimed at health care providers, community-based organizations and families. There was a similar trend in children under the age of 18, with a 20 percent decrease during the first quarter of Calendar 2020 compared to the same period in 2019.
- In the first four months of Fiscal 2021, the COVID-19 public health emergency diverted substantial inspection resources to support citywide COVID-19 risk reduction efforts and business compliance. Routine inspections were modified to address the most critical public health requirements and therefore do not equate with the inspections conducted in prior years. Letter grading of restaurants remained suspended during the reporting period.

- In the first four months of Fiscal 2021, DOHMH conducted 19,000 initial pest control inspections, a 60 percent decrease from 47,000 inspections conducted during the same period of the prior year. The rate of initial inspections found to have active rat signs was 21.7 percent, an increase of 5.7 percentage points from the 16 percent rate in the same period of the prior year. The rate of compliance inspections found to be rat free was 33.3 percent, a decrease of 14.9 percentage points from the 48.2 percent rate in the same period of the prior year. Due to the ongoing COVID-19 public health emergency, as substantial inspection resources were diverted to support citywide COVID-19 risk reduction efforts, inspection resources were focused on properties with more severe rodent cases.
- The number of new children receiving services from the Early Intervention Program (EIP) decreased from 4,800 during the first four months of Fiscal 2020 to 3,500 during the same period in Fiscal 2021, a 27.1 percent decline. The COVID-19 public health emergency significantly impacted the number of referrals to EIP, which in turn impacted the number of children initiating services. Impact on referrals was greatest between March and July 2020, with a gradual increase in subsequent months. Services usually begin 45 days or more after referral; the current data reflects May through September 2020 referrals. Referral levels had nearly reached Fiscal 2019 levels by the end of November 2020.
- During the first four months of Fiscal 2021, the average response time for birth certificate requests was 6.2 days, compared to 3.1 days during the same period in Fiscal 2020. Processing times increased because of the COVID-19 public health emergency but have started to trend downward, most recently at 3.3 days in October 2020. Similarly, the average response time for death certificate requests was 5.4 days, compared to 2.1 days during the same period in Fiscal 2020. These requests have also begun to trend downwards, most recently at 2.6 days in October 2020.

SERVICE 1 Detect and control infectious diseases.

Goal 1a Reduce new cases of HIV and other sexually transmitted diseases.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|--------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ New HIV diagnoses (CY Preliminary) | 2,157 | 1,917 | 1,772 | ↓ | ↓ | 429 | 374 |
| ★ Patients enrolled in Ryan White Part A with current antiretroviral (ARV) prescription at last assessment (%) | 95.8% | 96.1% | 96.4% | 96.0% | 96.0% | 96.5% | 96.0% |
| ★ Syphilis cases | 1,942 | 2,027 | 2,032 | ↓ | ↓ | 700 | 757 |
| Male condoms distributed (000) | 20,917 | 19,076 | 16,454 | 25,000 | 25,000 | 6,828 | 3,098 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | | * None | | | |

Goal 1b Prevent the spread of other infectious diseases.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|-------|--------|-------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ New tuberculosis cases (CY) | 613 | 559 | 556 | ↓ | ↓ | 169 | 150 |
| Seniors, aged 65+, who reported receiving a flu shot in the last 12 months (%) (CY) | 66.1% | 62.8% | 67.6% | 68.0% | 70.0% | NA | NA |
| ★ Children aged 19-35 months with up-to-date immunizations (%) | 74.1% | 72.9% | 69.3% | 75.0% | 75.0% | 73.7% | 68.0% |
| ★ Children in the public schools who are in compliance with required immunizations (%) | 99.0% | 98.9% | 98.2% | 99.0% | 99.0% | 95.2% | 93.6% |
| ★ HPV vaccine series completion (%) | 45.5% | 46.8% | 49.9% | 50.0% | 53.0% | 48.1% | 49.1% |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | | * None | | | |

SERVICE 2 Prevent chronic diseases by promoting healthy behaviors and preventive health care.

Goal 2a Reduce tobacco use and promote physical activity and healthy eating.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|-------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Adults who smoke (%) (CY) | 13.4% | 12.8% | 11.9% | 12.0% | 12.0% | NA | NA |
| Adults with obesity (%) (CY) | 25.1% | 25.7% | 24.8% | 23.0% | 23.0% | NA | NA |
| Adults who consume an average of one or more sugar-sweetened beverages per day (%) (CY) | 23.0% | 23.6% | 22.1% | 19.0% | 19.0% | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 2b Improve preventive health care.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|-------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Adult New Yorkers without health insurance (%) (CY) | 11.8% | 11.6% | 12.7% | 10.5% | 10.5% | NA | NA |
| Adult patients with controlled blood pressure (%) (CY) | 67.3% | 67.7% | 69.5% | 68.7% | 69.2% | NA | NA |
| Adults, aged 50+, who received a colonoscopy in the past ten years (%) (CY) | 69.9% | 69.1% | 70.7% | 71.4% | 72.0% | NA | NA |
| ★ Asthma-related emergency department visits among children ages 5-17 (per 10,000 children) (CY) (preliminary) | 195.3 | 183.3 | 150.6 | 141.6 | 133.1 | NA | NA |
| ★ Infant mortality rate (per 1,000 live births) (CY) | 4.3 | 3.9 | 4.2 | 4.1 | 4.1 | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

SERVICE 3 Promote a safe environment.

Goal 3a Reduce hazards to children in homes and child care programs.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Childhood blood lead levels - number of children under the age of 18 with blood lead levels of 5 micrograms per deciliter or greater (CY) | 5,317 | 4,717 | 3,739 | ↓ | ↓ | 1,105 | 884 |
| ★ Childhood blood lead levels - number of children under the age of 6 with blood lead levels of 5 micrograms per deciliter or greater (CY) | 4,261 | 3,866 | 3,050 | ↓ | ↓ | 885 | 705 |
| ★ Active group child care center full inspections | 9,286 | 8,624 | 6,102 | * | * | 2,626 | NA |
| ★ Active group child care center initial inspections that do not require a compliance inspection (%) | 64.3% | 72.5% | 74.0% | ↑ | ↑ | 75.2% | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 3b Reduce the threat of foodborne illness.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|--------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Restaurants inspected (%) | 99.5% | 99.5% | 72.3% | 100.0% | 100.0% | 46.9% | NA |
| ★ Restaurants scoring an 'A' grade (%) | 93.7% | 93.6% | 93.5% | ↑ | ↑ | 92.7% | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 3c Reduce animal-related risks to human health.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|-------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Initial pest control inspections (000) | 175 | 178 | 110 | * | * | 47 | 19 |
| Initial inspections with active rat signs (ARS) (%) | 11.5% | 11.7% | 14.7% | * | * | 16.0% | 21.7% |
| ★ Compliance inspections found to be rat free (%) | 53.3% | 49.7% | 46.3% | ↑ | ↑ | 48.2% | 33.3% |
| Dogs licensed (000) | 89.2 | 85.8 | 83.4 | 105.0 | 105.0 | 92.2 | 84.0 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

SERVICE 4 Prevent and address mental illness, developmental delays and disabilities, and substance misuse.

Goal 4a Reduce the adverse health consequences of substance misuse.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|--------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Buprenorphine patients (CY) | 14,098 | 15,174 | 16,383 | 16,919 | 16,919 | 10,584 | 11,439 |
| ★ Deaths from unintentional drug overdose (CY) | 1,482 | 1,444 | 1,463 | ↓ | ↓ | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 4b Facilitate access to services for New Yorkers with or at risk of developing mental illnesses or developmental disabilities.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Individuals in the assisted outpatient mental health treatment program | 2,517 | 2,476 | 2,321 | * | * | 1,944 | 1,834 |
| Units of supportive housing available to persons with or at risk for developing serious mental health and substance use disorders (000) | 8.4 | 9.1 | 9.6 | 10.4 | 10.9 | 9.4 | 9.6 |
| New children receiving services from the Early Intervention Program (000) | 13.8 | 13.8 | 12.4 | * | * | 4.8 | 3.5 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

SERVICE 5 Provide high quality and timely service to the public.

Goal 5a Provide birth and death certificates to the public quickly and efficiently.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average response time for birth certificates by mail/online (days) | 1.9 | 6.5 | 6.0 | 3.0 | 3.0 | 3.1 | 6.2 |
| ★ Average response time for death certificates by mail/online (days) | 1.7 | 2.8 | 2.2 | 3.0 | 3.0 | 2.1 | 5.4 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

AGENCY-WIDE MANAGEMENT

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Workplace injuries reported | 137 | 144 | 120 | * | * | 43 | 35 |
| Collisions involving City vehicles | 47 | 24 | 36 | * | * | 11 | 7 |
| ECB violations received at the Office of Administrative Trials and Hearings | 68,228 | 38,339 | 21,452 | * | * | 12,404 | 2,163 |
| ECB violations admitted to or upheld at the Office of Administrative Trials and Hearings (%) | 37.1% | 54.8% | 67.6% | * | * | 74.8% | 77.4% |
| ★ Critical Indicator | “NA” Not Available | ↕↔ Directional Target | * None | | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Completed requests for interpretation | 13,377 | 27,528 | 39,655 | * | * | 13,735 | 12,527 |
| Letters responded to in 14 days (%) | 68% | 74% | 67% | 70% | 70% | 71% | 33% |
| E-mails responded to in 14 days (%) | 86% | 87% | 89% | 80% | 80% | 86% | 90% |
| Average wait time to speak with a customer service agent (minutes) | 1 | 1 | 1 | 10 | 10 | NA | NA |
| CORE facility rating | 94 | NA | 99 | 85 | 85 | NA | NA |
| Calls answered in 30 seconds (%) | 80% | 70% | 70% | 80% | 80% | 63% | 78% |
| ★ Critical Indicator | “NA” Not Available | ↕↔ Directional Target | * None | | | | |

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Response to 311 Service Requests (SRs) | | | | | | | |
| Percent meeting time to first action - Rodent (14 days) | 81% | 83% | 37% | 73% | 73% | 85% | 28% |
| Percent meeting time to first action - Food Establishment (14 days) | 95% | 95% | 89% | 90% | 90% | 86% | 94% |
| Percent meeting time to first action - Food Poisoning (3 days) | 98% | 100% | 100% | 90% | 90% | 99% | 97% |
| Percent meeting time to first action - Indoor Air Quality (14 days) | 98% | 98% | 98% | 95% | 95% | 99% | 97% |
| Percent meeting time to first action - Smoking Complaint (14 days) | 60% | 65% | 80% | 75% | 75% | 85% | 75% |
| ★ Critical Indicator | “NA” Not Available | ↕↔ Directional Target | * None | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|--|-----------|-----------|-----------|---------------------|-------------------|-------------------|----------------|-----------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$1,699.4 | \$1,782.8 | \$1,860.3 | \$1,722.7 | \$2,185.8 | \$1,770.7 | \$1,042.1 | \$1,189.3 |
| Revenues (\$000,000) | \$33.5 | \$34.1 | \$31.9 | \$30.4 | \$30.7 | \$30.4 | \$11.8 | \$8.4 |
| Personnel | 6,858 | 6,935 | 6,907 | 6,931 | 6,735 | 6,948 | 6,773 | 6,687 |
| Overtime paid (\$000,000) | \$11.0 | \$13.3 | \$22.8 | \$5.6 | \$16.2 | \$5.7 | \$3.8 | \$8.4 |
| Capital commitments (\$000,000) | \$17.2 | \$67.1 | \$50.1 | \$195.2 | \$134.6 | \$211.1 | \$15.6 | \$49.8 |
| Human services contract budget (\$000,000) | \$682.8 | \$720.3 | \$732.0 | \$718.3 | \$779.0 | \$782.2 | \$259.8 | \$247.9 |

¹January 2021 Financial Plan.

²Expenditures include all funds

“NA” - Not Available

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|---|--|---|-----------------------------------|
| Personal Services - Total | \$559.7 | \$576.7 | |
| 101 - Health Administration | \$63.7 | \$59.4 | All |
| 102 - Disease Control | \$125.5 | \$140.3 | 1a, 1b |
| 103 - Family and Child Health and Health Equity | \$127.2 | \$116.0 | 1b, 2b |
| 104 - Environmental Health Services | \$71.0 | \$73.8 | 2b, 3a, 3b, 3c |
| 105 - Early Intervention | \$15.2 | \$16.6 | 4b |
| 106 - Office of Chief Medical Examiner | \$70.0 | \$72.5 | Refer to table in OCME chapter |
| 107 - Prevention and Primary Care | \$20.9 | \$27.5 | 2a, 2b |
| 108 - Mental Hygiene Management Services | \$47.2 | \$52.6 | 4a, 4b |
| 109 - Epidemiology | \$18.9 | \$18.0 | 2a, 2b, 5a |
| Other Than Personal Services - Total | \$1,300.6 | \$1,609.2 | |
| 111 - Health Administration | \$146.2 | \$126.6 | All |
| 112 - Disease Control | \$218.2 | \$482.9 | 1a, 1b |
| 113 - Family and Child Health and Health Equity | \$60.2 | \$58.2 | 1b, 2b |
| 114 - Environmental Health Services | \$31.8 | \$31.9 | 2b, 3a, 3b, 3c |
| 115 - Early Intervention | \$261.1 | \$238.2 | 4b |
| 116 - Office of Chief Medical Examiner | \$40.8 | \$80.3 | Refer to table in OCME chapter |
| 117 - Prevention and Primary Care | \$59.1 | \$63.4 | 2a, 2b |
| 118 - Mental Hygiene Management Services | \$55.1 | \$45.2 | 4a, 4b |
| 119 - Epidemiology | \$4.4 | \$5.6 | 2a, 2b, 5a |
| 120 - Mental Health Services | \$290.9 | \$349.1 | 4b |
| 121 - Developmental Disability | \$13.7 | \$13.1 | * |
| 122 - Chemical Dependency and Health Promotion | \$119.1 | \$114.8 | 4a |
| Agency Total | \$1,860.3 | \$2,185.8 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ² Includes all funds. ³ Refer to agency goals listed at front of chapter. "NA" Not Available * None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- The indicator 'HPV vaccine series completion (%)' has been updated to only include adolescents age 13 vaccinated by their 13th birthday. The previous definition included adolescents aged 13 to 17 years. This modification is in alignment with changes made by the Centers for Disease Control (CDC) on data reporting for HPV coverage. Data for Fiscal 2018, 2019 and 2020 have been updated to reflect this definition. Targets have also been revised to align with this definition.
- The indicator 'Asthma-related emergency department visits among children ages 5–17 (per 10,000 children)(CY)' now includes targets.
- The Fiscal 2020 4-Month Actual has been revised for the indicators 'Childhood blood lead levels—number of children under the age of 18 with blood lead levels of 5 micrograms per deciliter or greater (CY)' and 'Childhood blood lead levels—number of children under the age of 6 with blood lead levels of 5 micrograms per deciliter or greater (CY).'

ADDITIONAL RESOURCES

For additional information go to:

- Take Care New York 2020
<https://www1.nyc.gov/assets/doh/downloads/pdf/tcny/tcny-2020.pdf>.

For more information on the agency, please visit: www.nyc.gov/health.



WHAT WE DO

The Office of Chief Medical Examiner (OCME) serves public health and the criminal justice system through forensic science. OCME's independent investigations of deaths and analysis of evidence provide answers to families and communities during times of profound need. OCME is responsible for investigating deaths resulting from criminal violence, accident or suicide; that occur suddenly and when in apparent good health; when unattended by a physician; in a correctional facility or in custody of any criminal justice entity; or occurring in any suspicious or unusual manner or threat to public health. These types of cases are referred to as being under "Medical Examiner jurisdiction." The Office also reviews all applications for permits to cremate the body of a person who dies in New York City. The Office provides additional forensic services, including DNA testing, to support investigations. OCME also manages all functions of the City mortuary, including the retrieval and processing of unclaimed deceased bodies, and facilitates final disposition. Finally, OCME maintains a specialized mass fatality management team ready to support the City in responding to mass fatalities and other disasters.

FOCUS ON EQUITY

To best serve all New Yorkers—regardless of economic ability—OCME operates Family Services Centers in all five boroughs so that all communities have equal service access. At these centers, staff interact with family members, medical practitioners, and other advisors to receive and verify information that will assist in determining the identity of deceased persons and aid in final disposition. For families who may need or choose interment of their loved ones in the City Cemetery, OCME provides an opportunity for a final viewing before burial. In addition, OCME also serves as the independent pathologist for families by performing its own impartial death investigations and autopsies, free from undue influence by legal or medical communities or law enforcement. OCME develops and maintains a workplace culture in which employment and advancement decisions are made fairly and employees are treated equitably, regardless of race/ethnicity, age, gender, religion/creed, national origin, disability, or sexual orientation. This is accomplished through agency wide training and continual engagement with managers to ensure familiarity with the city's EEO, diversity and inclusion policies, and through incorporating these policies into recruitment, selection, promotion, and workplace activities so that all employees feel welcome and inspired to succeed.

OUR SERVICES AND GOALS

SERVICE 1 Perform the processes necessary to certify deaths falling within the agency's jurisdiction.

- Goal 1a Respond promptly to scenes of reportable fatalities and conduct related investigations.
- Goal 1b Complete autopsy reports in a timely manner to best serve families, the criminal justice system and other stakeholders.
- Goal 1c Provide diligent investigation for all cremation requests.
- Goal 1d Certify death certificates in a timely manner.

SERVICE 2 Provide mortuary services to the City.

- Goal 2a Recover and transport decedents to City mortuary facilities in a timely manner.

SERVICE 3 Respond to disasters and emergencies when fatalities are involved.

- Goal 3a Provide rapid response and safe fatality management services to the City.
- Goal 3b Identify victims of disasters and return their remains to families in a timely manner.

SERVICE 4 Provide services to the City for forensic purposes.

- Goal 4a Provide timely and accurate laboratory services for criminal justice purposes.

HOW WE PERFORMED

- The median time to complete OCME autopsy reports in the first four months of Fiscal 2021 was 181 days, an increase from the same time period the previous year. The increase is a direct result of the laboratory backlog caused by the pandemic, during which time the OCME laboratories were suspended but for some high priority cases. The majority of laboratory staff were temporarily reassigned to assist in the mortuary to keep up with the surge in deaths. This created a backlog that lab staff were still working to resolve during the reporting period, and it contributed to a delay in toxicology reports that are relied upon by medical examiners to help complete autopsy reports. Beyond these issues, medical examiners were also deployed during the pandemic to cover forensic investigations as team leaders 24/7; during this period, all routine medical examiner work was suspended for the medical examiners who were detailed to this auxiliary work (roughly half of the entire medical staff). In addition, the remaining half of the medical examiners were detailed to support forensic investigations on workdays during which they were not actively performing autopsies; these were workdays they would have otherwise used to complete autopsy reports. These multiple factors directly related to the COVID emergency response have had a negative impact on autopsy report turnaround time as backlogs developed during the crisis. Laboratories have now resumed operations under COVID risk mitigation protocols (social distancing, staggered work shifts, etc.) and medical examiners have returned to full time medical examiner work. Based on this, autopsy report turnaround times are expected to improve over time as backlogs are eliminated, so long as there is not a second surge in deaths necessitating laboratory staff and medical examiners to again be detailed to disaster response functions.
- In addition to those cases falling under Medical Examiner jurisdiction, the Office provides mortuary services for the City, including the recovery and processing of unclaimed deceased bodies. In the first four months of Fiscal 2021, the median time from OCME receipt of decedents' remains to "Ready to Release" was shorter, at 7.78 hours compared to 11.24 hours during the same time period in Fiscal 2020. During the reporting period, a larger proportion of decedent cases were not forensic cases. These cases are generally processed more quickly than forensic decedent cases, which are more complex. Because these decedents arrived at the OCME having already been identified, generally having come from health care facilities, they were typically ready to release almost as soon as they arrived at OCME. Therefore, the increased number of these cases resulted in a reduced median processing time.
- The Forensic Biology Department's median time for completion of cases increased across all case types during the first four months of Fiscal Year 2021 compared to the same reporting period in Fiscal 2020. As a result of the pandemic the Forensic Biology lab suspended operations from March 13th, 2020 to June 9th, 2020 and only a small team were processing priority cases. As a result, turnaround times rose towards the end of Fiscal 2020 and the resulting backlog in cases continued to impact the lab's turnaround time during the first four months of Fiscal 2021.
- The number of DNA matches with profiles in the database was also reduced from 2,668 during the first four months of Fiscal 2020 to 1,943 during the same reporting period in Fiscal 2021. This was also the result of the lab suspension and the reduced number of staff working on only a small number of priority cases during the pandemic.
- Median turnaround times for the Forensic Toxicology Department increased during the reporting period as the pandemic resulted in the temporary suspension of the Forensic Toxicology laboratories for over 3 months. Due to this suspension, the Toxicology Department began Fiscal 2021 with more than 1,373 postmortem cases pending tests with 75 percent over 90 days turnaround time. Furthermore, there were over 1,300 new postmortem cases collected during the laboratory closure and placed in storage by the OCME Evidence Unit awaiting the reopening of the Forensic Toxicology laboratory. The Department has made great progress on reducing this backlog by having staff in the department work tirelessly to process cases 7 days per week and has completed testing of over 3,000 postmortem cases since the laboratory reopened at the end of June resulting in month by month decreases in turnaround times.
- Median turnaround times for toxicology DUI and toxicology sexual assault cases at the start of Fiscal 2021 were 3 to 8-fold higher than those achieved prior to the introduction of the new discovery law and the laboratory suspension due to COVID-19. Since testing recommenced in July 2020, the Department has successfully cleared the backlog for both case types. For the first four months of Fiscal 2021, median turnaround times and toxicology DUI cases increased from 31 days to 82 days and for toxicology sexual assault cases increased from 31 days to 243 days compared to the same period last year. Since the end of the reporting period, OCME has worked to improve turnaround times for these types of cases. The median turnaround times for the month of December were below the target of 30 days for toxicology DUI cases at 27 days and was reduced by 80 percent for toxicology sexual assault cases from 223 days to 43 days.

- The forensic laboratories are addressing the backlog by prioritizing the most serious crimes against people and working as diligently and swiftly as possible given the constraints of an increased workload caused by the backlog and having 20 percent fewer scientists to process the cases due to staff attrition and the inability to hire replacements as a result of the fiscal climate.

SERVICE 1 Perform the processes necessary to certify deaths falling within the agency's jurisdiction.

Goal 1a Respond promptly to scenes of reportable fatalities and conduct related investigations.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Median time for scene arrivals by medicolegal investigators (MLIs) (hours) | 1.8 | 1.9 | 1.8 | * | * | 1.8 | 1.6 |
| Deaths reported | 30,213 | 30,964 | 65,712 | * | * | 11,074 | 12,461 |
| ★ Cases where Chief Medical Examiner takes jurisdiction | 7,632 | 7,554 | 7,547 | * | * | 2,617 | 2,481 |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

Goal 1b Complete autopsy reports in a timely manner to best serve families, the criminal justice system and other stakeholders.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Median time to complete autopsy reports (days) | 45.0 | 56.0 | 67.0 | 90.0 | 90.0 | 53.0 | 181.0 |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

Goal 1c Provide diligent investigation for all cremation requests.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Total cremation requests received and investigated as requirement of processing | 17,252 | 17,148 | 27,863 | * | * | 5,547 | 5,749 |
| ★ Cremation requests rejected after investigation and turned over to Medical Examiner jurisdiction | 91 | 140 | 159 | * | * | 59 | 36 |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

Goal 1d Certify death certificates in a timely manner.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Median time to certify death certificates after initial receipt of decedents' remains (hours) | 16.6 | 16.3 | 15.6 | 72.0 | 72.0 | 16.3 | 15.8 |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

SERVICE 2 Provide mortuary services to the City.

Goal 2a Recover and transport decedents to City mortuary facilities in a timely manner.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Decedents' remains transported and stored by OCME | 11,255 | 11,281 | 17,606 | * | * | 3,875 | 4,277 |
| ★ Median time from OCME receipt of decedents' remains to "Ready to Release" status (hours) | 11.82 | 11.59 | 0.10 | ↕ | ↕ | 11.24 | 7.78 |
| Median time to clear and release to third party for final disposition, per case (minutes) | 35.0 | 35.0 | 37.0 | * | * | 36.0 | 42.0 |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

SERVICE 3 Respond to disasters and emergencies when fatalities are involved.

Goal 3a Provide rapid response and safe fatality management services to the City.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Remains recovered following the September 11, 2001 attacks (cumulative) | 21,905 | 21,905 | 21,905 | * | * | 21,905 | 21,905 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | | | | | * None |

Goal 3b Identify victims of disasters and return their remains to families in a timely manner.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Remains identified following the September 11, 2001 attacks (cumulative) | 14,467 | 14,608 | 14,701 | * | * | 14,701 | 14,701 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | | | | | * None |

SERVICE 4 Provide services to the City for forensic purposes.

Goal 4a Provide timely and accurate laboratory services for criminal justice purposes.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|-------|--------|-------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Median time to complete analysis of a DNA case (days) | 69.0 | 59.0 | 51.0 | 60.0 | 60.0 | 34.0 | 74.0 |
| ★ Median time to complete DNA homicide cases, from evidence submission to report (days) | 38.0 | 47.0 | 39.0 | 45.0 | 45.0 | 33.0 | 53.0 |
| ★ Median time to complete DNA sexual assault cases, from evidence submission to report (days) | 40.0 | 32.0 | 31.0 | 45.0 | 45.0 | 28.0 | 44.0 |
| ★ Median time to complete DNA property crime cases, from evidence submission to report (days) | 172.0 | 149.0 | 50.0 | 120.0 | 120.0 | 35.0 | 131.0 |
| DNA matches with profiles in database | 8,766 | 11,042 | 5,988 | * | * | 2,668 | 1,943 |
| ★ Median time to complete toxicology cases (days) | 20.0 | 29.0 | 47.0 | 30.0 | 30.0 | 33.0 | 131.0 |
| Median time to complete toxicology DUI (driving under the influence) cases (days) | 14.0 | 23.0 | 42.0 | 30.0 | 30.0 | 31.0 | 82.0 |
| Median time to complete toxicology sexual assault cases (days) | 18.0 | 28.0 | 43.0 | 30.0 | 30.0 | 31.0 | 243.0 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | | | | | * None |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|-------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Completed customer requests for interpretation | 1,318 | 1,525 | 1,161 | * | * | 537 | NA |
| Letters responded to in 14 days (%) | 100% | 100% | 100% | * | * | 100% | 42% |
| E-mails responded to in 14 days (%) | 98% | 95% | 92% | * | * | 87% | 72% |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | | | | | * None |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|--------|--------|---------|------------------------|-------------------|-------------------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$76.6 | \$84.7 | \$110.9 | \$90.4 | \$152.8 | \$87.0 | \$35.6 | \$52.6 |
| Revenues (\$000) | \$8 | \$2 | \$1.5 | \$50.0 | \$50.0 | \$50.0 | \$0.0 | \$0.0 |
| Personnel | 639 | 672 | 716 | 769 | 676 | 760 | 664 | 715 |
| Overtime paid (\$000,000) | \$5.8 | \$6.7 | \$9.2 | \$2.5 | \$5.2 | \$2.5 | \$2.0 | \$2.6 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ⁴ |
|---|--|---|-----------------------------------|
| 106 - Office of Chief Medical Examiner (Personal Services) | \$70.0 | \$72.5 | All |
| 116 - Office of Chief Medical Examiner (Other Than Personal Services) | \$40.8 | \$80.3 | All |
| Agency Total ¹ | \$110.9 | \$152.8 | |
| ¹ OCME is contained within the Department of Health and Mental Hygiene and appropriations are made through that agency. ² Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ³ Includes all funds. ⁴ Refer to agency goals listed at front of chapter. "NA" Not Available * None | | | |

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

None.

ADDITIONAL RESOURCES

For more information on the agency, please visit: www.nyc.gov/ocme.

NYC HEALTH + HOSPITALS

Dr. Mitchell Katz, President/Chief Executive Officer



WHAT WE DO

NYC Health + Hospitals (the System), the largest municipal public health system in the country, includes eleven acute care hospitals, five post-acute care (skilled nursing) facilities, and over 70 patient care locations of community and school-based health centers (Gotham Health). The System provides comprehensive health care services including preventive and primary care, behavioral health, substance abuse, trauma, high-risk neonatal and obstetric care, and burn care. The System's acute care hospitals serve as major teaching hospitals. In addition, the System includes a managed care plan called MetroPlus; an Accountable Care Organization that provides Medicare beneficiaries with coordinated care and chronic disease management, avoiding unnecessary duplication of services and preventing medical errors; a Certified Home Health Agency; a Health Home; and Correctional Health Services. NYC Health + Hospitals is New York's single largest provider of care to Medicaid patients, mental health patients, and the uninsured, serving more than one million New Yorkers within the five boroughs. NYC Health + Hospitals continues to have an important role in caring for New Yorkers during the COVID-19 pandemic.

FOCUS ON EQUITY

NYC Health + Hospitals' mission is to deliver high quality health care services to all New Yorkers with compassion, dignity, and respect, regardless of income, gender identity, or immigration status. By the very nature of the System's mission, NYC Health + Hospitals provides high quality care to the most vulnerable New Yorkers within the diverse communities it serves, many of whom are uninsured or underinsured. People in these communities who would typically lack access to health care services are the most impacted, by being able to obtain the quality care that they need and deserve through NYC Health + Hospitals. For instance, the NYC Care Program ensures all New Yorkers in need of health care services are being connected with affordable primary, preventive, and specialty care. This access has become even more important, in consideration of the impact COVID-19 has on New Yorkers who are not eligible for or cannot afford health insurance. NYC Health + Hospitals also continues to expand MetroPlus membership, offering low to no-cost health insurance options to eligible people living within the five boroughs of New York City who otherwise would not be eligible for insurance. The System's Correctional Health Services, in particular, is among the city's strongest advocates for social and racial justice, and is a key partner in the broader efforts to reform the criminal justice system. Finally, to further address equity, in March 2020, NYC Health + Hospitals' Equity, Diversity and Inclusion Committee of the Board approved the creation of the Equity and Access Council, an advisory group that supports the Human Resources Office of Diversity and Inclusion to develop efforts that promote equity among both staff and patients, and optimize the delivery of care and health outcomes for diverse patient populations. This Council's focus is to advance racial and social justice to eliminate barriers, promote institutional and structural equities, identify and reduce health disparities, and continuously improve the health of vulnerable communities.

OUR SERVICES AND GOALS

SERVICE 1 Provide medical, mental health and substance abuse services to New York City residents regardless of their ability to pay.

- Goal 1a Expand access to care.
- Goal 1b Enhance the sustainability of the Health + Hospitals system.
- Goal 1c Maximize quality of care and patient satisfaction.

HOW WE PERFORMED

- Unique primary care patient volume remains a key priority at NYC Health + Hospitals, with a total of 388,622 patients seen during the first four months of Fiscal 2021. At the same time, NYC Care enrollment grew to 34,266 from 7,000 during the same period in Fiscal 2020. The objective of NYC Care is to improve primary care capacity and continuity and provide low- or no-cost access to New Yorkers who do not qualify for or cannot afford health insurance. The total number of unique patients increased from 603,520 to 683,450 during the first four months of Fiscal 2021, of which 227,528 were treated for COVID-19.
- The number of uninsured patients served decreased during the July-October 2020 period to 110,584, from 195,466 in the prior reporting period. The number of eConsults increased slightly from 65,777 to 65,969. eConsult is an integrated referral management system, allowing for electronic review of specialty referrals and enabling specialists to provide clinical guidance to referring providers, obviating the need for a “face-to-face” visit, when appropriate. This measure remains an important indicator of NYC Health + Hospitals’ commitment to expand access to specialty care services, with 273 departments across the System currently using eConsults.
- There were 246,845 telehealth visits during the first four months of Fiscal 2021. Telehealth visits have increased due to the COVID-19 pandemic with the number of telehealth visits during the four-month reporting period approaching the total for all of Fiscal 2020. NYC Health + Hospitals expects the number of telehealth visits to stabilize once the pandemic is more under control and patients go directly to clinics for face-to-face care.
- The proportion of follow-up appointments kept within 30 days after behavioral health discharge, declined during the reporting period to 45.6 percent from 60.1 percent during the prior period. This decline is related to fewer patients attending follow-up appointments during the reporting period due to COVID-19 concerns and is magnified by a reporting method change that includes more patient categories in the denominator. At the same time, telehealth services were made available in this area to support continuity of care for these patients. NYC Health + Hospitals is working to improve access to telehealth services for all mental health services patients.
- During the first four months of Fiscal 2021, the percentage of patients who left the emergency departments (EDs) without being seen declined to 3.3 percent from 7.5 percent during the same time last year. This is directly related to the COVID-19 pandemic, which has resulted in overall ED utilization decreases, with associated declines in the percentage of patients who left the EDs without being seen. Additionally, increases in staffing levels, enhancements in patient tracking and flow, and facility management in the EDs have contributed to improved performance in this measure.
- NYC Health + Hospitals uses the MyChart tool to connect patients with their care team and health information, including COVID-19 test results, in a secure and convenient manner. During the reporting period, 41 percent of patients activated MyChart accounts following a care visit. NYC Health + Hospitals continues to promote patient account activations through workforce education and training, and patient engagement and awareness. NYC Health + Hospitals created a centralized system-wide resource library for staff, including current tip sheets, demos, and recorded webinar trainings to support staff engagement efforts. For patients, NYC Health + Hospitals built a new patient-facing telehealth resource hub, which hosts a “Welcome to MyChart Guide” in the 13 most frequently used languages.

SERVICE 1 Provide medical, mental health and substance abuse services to New York City residents regardless of their ability to pay.

Goal 1a

Expand access to care.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|-----------|--------|-------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Unique patients | 1,112,975 | 1,081,156 | 1,153,089 | ↑ | ↑ | 603,520 | 683,450 |
| Unique primary care patients (seen in the last 12 months) | 417,000 | NA | 445,672 | * | * | NA | 388,622 |
| ★ Uninsured patients served | 381,805 | 374,988 | 378,104 | ↓ | ↓ | 195,466 | 110,584 |
| ★ eConsults completed | 28,956 | 75,999 | 171,569 | ↑ | ↑ | 65,777 | 65,969 |
| Telehealth visits | NA | NA | 289,238 | * | * | NA | 246,845 |
| ★ Eligible women receiving a mammogram screening (%) | 75.9% | 74.0% | 63.5% | 80.0% | 80.0% | 75.2% | 74.4% |
| ★ HIV patients retained in care (%) (annual) | 84.9% | 84.0% | 81.6% | 85.0% | 85.0% | NA | 84.6% |
| Calendar days to third next available new appointment - adult medicine | 13.1 | 12.0 | 13.0 | 14.0 | 14.0 | 13.7 | 13.0 |
| Calendar days to third next available new appointment - pediatric medicine | 4.7 | 6.0 | 9.0 | 5.0 | 5.0 | 13.1 | 9.0 |
| ★ NYC Care enrollment | NA | NA | 24,500 | ↑ | ↑ | 7,000 | 34,266 |
| ★ Patients enrolled in care in the 1st trimester of pregnancy | 61.4% | 62.0% | 62.5% | ↑ | ↑ | NA | 59.8% |
| ★ Follow-up appointment kept within 30 days after behavioral health discharge (%) | 57.80% | 59.96% | 56.68% | ↑ | ↑ | 60.10% | 45.60% |
| Correctional health patients with a substance use diagnosis that received jail-based contact (%) | 96% | 95% | 94% | 90% | 90% | 93% | 91% |
| Total correctional health clinical encounters per 100 average daily population | 8,294 | 8,027 | 15,675 | * | * | 3,800 | 5,189 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 1b

Enhance the sustainability of the Health + Hospitals system.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|---------|--------|-------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Patients who left Emergency Department without being seen (%) | 7.7% | 7.2% | 6.9% | 4.0% | 4.0% | 7.5% | 3.3% |
| ★ Net days of revenue for accounts receivable | NA | 42.3 | 71.3 | 42.0 | 42.0 | 54.0 | 61.0 |
| Patient care revenue/expenses (%) | 59.2% | 60.8% | 61.6% | 60.0% | 60.0% | 61.0% | 65.3% |
| ★ MetroPlus Health Plan medical spending at Health + Hospitals (%) | 39.3% | 39.9% | 39.9% | ↑ | ↑ | 39.9% | 42.3% |
| ★ MetroPlus membership | 521,731 | 518,681 | 560,212 | ↑ | ↑ | 518,729 | 584,066 |
| ★ Insurance applications submitted (monthly average) | 17,540 | 20,173 | 16,402 | ↑ | ↑ | 20,076 | 8,113 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 1c

Maximize quality of care and patient satisfaction.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|-------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Inpatient satisfaction rate (%) | 62.0% | 61.1% | 63.0% | 65.8% | 65.8% | 62.3% | 65.3% |
| Outpatient satisfaction rate (%) | 82.1% | 82.0% | 83.6% | 85.4% | 85.4% | 86.7% | 84.3% |
| MyChart Activations (%) | NA | NA | 20% | 50% | 50% | NA | 41% |
| ★ Patients receiving a defined set of medical services to treat sepsis within three hours of presentation (%) | 64.0% | 76.8% | NA | ↑ | ↑ | 66.8% | 61.7% |
| ★ Patients diagnosed with diabetes who have appropriately controlled blood sugar (%) | 63.5% | 64.6% | 64.6% | ↑ | ↑ | 66.5% | NA |
| ★ Post-acute care satisfaction rate (%) | 85.3% | 80.7% | 86.7% | 86.3% | 86.3% | 86.7% | NA |
| Overall safety grade - acute care | 62.0% | NA | 64.0% | * | * | 63.0% | NA |
| Overall safety grade - post-acute care (%) | 72.0% | NA | 70.0% | * | * | 71.0% | NA |
| Overall safety grade - ambulatory care (D & TC)(%) | 39.0% | NA | 42.0% | * | * | 46.0% | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|-----------|-----------|-----------|------------------------|-------------------|-------------------|----------------|-----------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$7,868.1 | \$8,222.1 | \$8,581.6 | \$8,011.4 | \$8,011.4 | \$8,240.8 | \$2,588.6 | \$3,575.9 |
| Revenues (\$000,000) | \$8,604.2 | \$8,999.3 | \$9,373.0 | \$8,879.9 | \$8,879.9 | \$8,873.2 | \$2,369.7 | \$3,307.1 |
| Personnel | 36,574 | 37,711 | 39,765 | 37,272 | 37,272 | 37,272 | 38,187 | 39,863 |
| Overtime paid (\$000,000) | \$151.5 | \$178.1 | \$153.6 | \$153.6 | \$153.6 | \$153.6 | \$63.5 | \$62.6 |
| Capital commitments (\$000,000) | \$283.6 | \$459.4 | \$531.9 | \$882.8 | \$694.7 | \$501.5 | \$269.0 | \$115.3 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ⁴ |
|--|--|---|-----------------------------------|
| 001 - Lump Sum Appropriation (OTPS) ¹ | \$830.2 | \$1,644.0 | All |
| ¹ These figures are limited to the City's contribution and planned contribution respectively. ² Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ³ Includes all funds ⁴ Refer to goals listed at front of chapter "NA" Not Available * None | | | |

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- The calculation method for the indicator 'Follow-up appointment kept within 30 days after behavioral health discharge (%)' has been revised to include all discharged patients in the denominator. Previously, this measure counted only those patients discharged with a follow up appointment in the denominator.

ADDITIONAL RESOURCES

- For more information on NYC Care, please visit: www.nyccare.nyc

For more information on the agency, please visit: www.nychealthandhospitals.org

HUMAN RESOURCES ADMINISTRATION

Steven Banks, Commissioner
Gary Jenkins, Administrator



WHAT WE DO

The Human Resources Administration (HRA) administers major benefit programs that provide economic support to New Yorkers in need and works to prevent homelessness before it occurs by providing rental assistance, rehousing programs, legal services, and other services for those facing housing instability. HRA also promotes opportunity through employment programs and provides essential resources to vulnerable New Yorkers, including persons with disabilities, immigrants, survivors of domestic violence, New Yorkers living with HIV/AIDS, and seniors. In this role connecting millions of families and individuals with vital lifelines, HRA is at the forefront of addressing poverty citywide, statewide, and nationwide.

FOCUS ON EQUITY

The Human Resources Administration (HRA), integrated with the Department of Homeless Services (DHS) in 2017 under the management structure of the Department of Social Services (DSS), serves over three million New Yorkers annually through the programs that address poverty and income inequality, including cash assistance, food assistance, and Medicaid public health insurance. HRA also prevents homelessness by providing rental assistance, rehousing programs, and legal services programs to families and individuals. In conjunction with the Mayor's Office of Immigrant Affairs (MOIA), HRA administers the City's municipal identification program (IDNYC) and legal services programs for immigrants.

In New York City, as in the rest of the United States, persistent racial inequities have manifested themselves in higher poverty rates; greater housing insecurity; and diminished access to health care for Black and Latinx residents. HRA provides an array of anti-poverty programs and initiatives that serve low-income New Yorkers, a disproportionate number of whom are people of color. HRA has implemented client-centered reforms to reduce barriers to benefits and services that address poverty and inequity. HRA developed technology to modernize and simplify access to benefits; increased anti-eviction and immigration-related legal services; and expanded rental assistance and other affordable housing and social services programs. HRA continues to expand opportunity for New Yorkers, addressing income inequality through economic empowerment services to achieve financial security and conducting outreach to underserved groups who may be eligible for Agency services

OUR SERVICES AND GOALS

SERVICE 1 Improve access to assistance that provides economic stability to support the basic needs of all eligible children and adults.

- Goal 1a Provide access to cash assistance benefits for all eligible children and adults.
- Goal 1b Provide access to Supplemental Nutrition Assistance Program benefits for all eligible children and adults.
- Goal 1c Provide access to Medicaid public health insurance coverage for all eligible children and adults.

SERVICE 2 Increase financial independence and upward mobility out of poverty through employment, education, skills enhancement, job search, job placement, wellness services and other supports.

- Goal 2a Increase the proportion of cash assistance recipients who obtain and retain paid employment.
- Goal 2b Provide wellness, rehabilitation and employment services to cash assistance recipients with special needs to assist them to become healthy enough to work, or to obtain federal disability benefits if they are unable to work.
- Goal 2c Provide access to child support services for eligible parents and their children.

SERVICE 3 Reduce homelessness among children and adults.

- Goal 3a Provide homelessness prevention benefits and services to eligible children and adults.
- Goal 3b Provide safe and appropriate services in shelter and in the community to survivors of domestic violence.

SERVICE 4 Provide support services for eligible vulnerable and/or frail children and adults and for children and adults with disabilities.

- Goal 4a Ensure that all eligible vulnerable and/or frail children and adults, and children and adults with disabilities receive services to resolve immediate risk and provide ongoing assistance to enhance their safety and independence.

HOW WE PERFORMED

- The number of persons receiving cash assistance (CA) was 388,700 in October 2020, 16.3 percent higher than in October 2019. The number of individuals receiving recurring assistance was 18.4 percent higher than in the prior year, while the number of individuals receiving one-time emergency assistance was 49 percent lower. The increase in on-going assistance was the result of economic need related to the COVID-19 pandemic; the decline in emergency assistance was due to the pandemic-related eviction moratorium and prohibition on utility shut-offs for non-payment.
- The number of CA cases in the sanction process decreased by 3.8 percentage points and the number in active sanction status decreased by 1.9 percentage points in October 2020 compared to October 2019, due primarily to the suspension of employment-related requirements to combat the spread of COVID-19 and protect the health and safety of clients and staff.
- Applications for CA decreased by 9.8 percent in the first four months of Fiscal 2021 compared to the same period in Fiscal 2020. Many clients in need applied towards the end of Fiscal 2020 at the beginning of the pandemic; these clients and existing clients were able to maintain enrollment under New York State waivers extending recertification dates and permitting telephone interviews in order to maintain health and safety during the pandemic. The CA application acceptance rate decreased 17.5 percent compared to the prior period, in part, because many people who applied were not ultimately eligible due to their income, including receipt of unemployment benefits that may have come through after the CA application was submitted.
- There were 201,500 more persons receiving Supplemental Nutrition Assistance Program (SNAP) benefits in October 2020 compared to October 2019. The increase was in both the CA and non-CA related SNAP caseloads, with the number who also receive Supplemental Security Income remaining relatively stable. SNAP application timeliness was 98.2 percent, an increase of 19.2 percentage points compared to the same period in the prior year.
- As of October 2020, there were 1.56 million New York City residents enrolled in Medicaid administered by HRA, 0.7 percent higher than in the prior year. While the HRA caseload has declined steadily over time as a result of the State takeover of the program, this increase was due to the increase in CA Medicaid clients, who are managed by HRA. Another approximately 2.19 million residents enrolled in Medicaid through the New York State Health Exchange, for a total of 3.75 million Medicaid enrollees in NYC.
- HRA helped 1,100 clients obtain jobs during the first four months of Fiscal 2021. While lower than the prior period, due to the economic impact of the COVID-19 pandemic and suspension of CA employment-related requirements, HRA continued to support clients connect to employment through voluntary virtual employment services. In addition, the reduction in job opportunities along with the suspension of in-person activities led to a reduction in the Federal Fiscal 2020 work participation rate, which decreased to 18.5 percent, 3.6 percentage points lower than in Federal Fiscal 2019.
- The number of persons participating in the Wellness, Comprehensive Assessment, Rehabilitation and Employment (WeCARE) program was 40,180 in October 2020, 6.1 percent higher than in October 2019, which was also related to the CA recertification waiver. The suspension of in-person services, in combination with a slowdown in the federal review process for previously submitted applications, significantly reduced WeCARE vendors' ability to complete federal disability benefit applications, leading to a 34.4 percent decline in the number of federal disability awards.
- The COVID-19 pandemic forced the closure of Family Court, suspending filing of new child support and paternity petitions. This resulted in a 90 percent decline in total new child support orders obtained compared to the prior period. The amount of child support collected on behalf of custodial parents and their children increased by 21.2 percent, as a result of pandemic-related benefits.
- The HomeBase prevention program has continued to exceed the target of diverting 85 percent of those who receive HomeBase Services from entering shelter. As of October 2020, 94.3 percent of families with children, 95.9 percent of adult family households, and 90.6 percent of single adults who received HomeBase prevention services remained in their communities and avoided shelter entry within 12 months following the service.

- With the pandemic related eviction moratorium and limited operation of housing court, requests for rental assistance decreased by 30.2 percent compared to the prior period and the number of low-income households facing eviction and homelessness who were assisted with legal services in Housing Court decreased by 74.6 percent during the first four months of Fiscal 2021 compared to the same period in Fiscal 2020.
- As the pandemic continued during the first four months of Fiscal 2021, there was a 7.5 percent decrease in the average number of families served per day in HRA's domestic violence (DV) shelters. While there were fewer families in shelter during the pandemic, HRA continued to provide non-residential DV services, which increased by 5.3 percent compared with the same period in Fiscal 2020. The 17.2 percentage point increase in entries in DV shelter from DHS PATH reflects the fact that despite fewer families seeking shelter, a higher proportion accepted DV services.
- The number of referrals received by Adult Protective Services (APS) decreased by 37.2 percent and the number of APS assessment cases decreased by 37.6 percent, mostly due to fewer eviction-related court referrals as a result of the pandemic-related eviction moratorium. The APS undercare caseload remained stable at nearly 6,400 cases as compared to the same period in Fiscal 2020.
- The number of home care cases grew by 5.1 percent during the first four months of Fiscal 2021 compared with the same period of Fiscal 2020, driven by an increase of 10,395 Managed Long-Term Care (MLTC) clients, whose enrollment and care are managed exclusively by New York State.
- There were 34,476 clients served by the HIV/AIDS Services Administration (HASA) in October 2020, slightly more than in October 2019. The number of new applicants for HASA services decreased by 32 percent during the first four months of Fiscal 2021, compared to the same period in Fiscal 2020, because of the State-approved waiver in place suspending the need for clients to recertify during the COVID-19 pandemic. Because of the COVID-19-related eviction moratorium, the number of requests for enhanced housing benefits decreased by almost one third compared with the same period in Fiscal 2020. The decrease in volume enabled quicker processing, the average time for which declined by nearly three and a half days, or by 20.5 percent.
- During the first four months of Fiscal 2021, HRA generated \$73.9 million in Medicaid recoveries and cost avoidance related to fraud, waste or abuse, 35.9 percent less than the same period of Fiscal 2020. In addition, HRA generated \$20.6 million in CA recoveries and cost avoidance, 73.3 percent less than the same period of Fiscal 2020, and \$7.83 million in SNAP recoveries and cost avoidance, 40.2 percent less than the same period of Fiscal 2020. Most of the reduction in cost avoidance is due to the COVID-19 pandemic and the resulting suspension of revenue collection activities during the pandemic.
- The number of fair hearing requests during the first four months of Fiscal 2021 was 38.2 percent lower than the same period in Fiscal 2020 due to the suspension of employment-related requirements, which account for a large portion of Fair Hearings. Of the hearings that were held and determinations made during the first four months of Fiscal 2021, 17.8 percent resulted in HRA's decisions being upheld, a 6.1 percentage point decrease from the same period in Fiscal 2020.
- During the first four months of Fiscal 2021, the percentage of letters responded to within 14 days increased by 7.5 percentage points from the prior fiscal year. Interpretation services have remained in place since the pandemic but available data since April 2020 on requests for interpretation and for calls answered in 30 seconds or less does not fully reflect service provided since it does not capture remote call-taking by staff working from home. The average customer in-person wait time for service at HRA offices decreased by 22.8 percent.

SERVICE 1 Improve access to assistance that provides economic stability to support the basic needs of all eligible children and adults.

Goal 1a Provide access to cash assistance benefits for all eligible children and adults.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-------|----------------------|--------|-------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Cash assistance unduplicated number of persons (12-month) (000) | 593.9 | 578.6 | 583.3 | * | * | 571.5 | 564.0 |
| Cash assistance unduplicated number of persons receiving recurring assistance (12-month) (000) | 488.7 | 467.0 | 488.5 | * | * | 459.0 | 478.9 |
| Cash assistance unduplicated number of persons receiving emergency assistance (12-month) (000) | 105.3 | 111.6 | 94.8 | * | * | 112.6 | 85.0 |
| ★ Persons receiving cash assistance (000) | 356.3 | 331.7 | 378.3 | * | * | 334.2 | 388.7 |
| Persons receiving recurring assistance (000) | 349.8 | 324.2 | 374.3 | * | * | 323.7 | 383.4 |
| Persons receiving emergency assistance (000) | 6.5 | 7.4 | 4.0 | * | * | 10.4 | 5.3 |
| ★ Cash assistance caseload (point in time)(000) | 190.5 | 181.0 | 208.3 | * | * | 182.6 | 214.5 |
| Cash assistance applications (000) | 331.3 | 310.3 | 316.6 | * | * | 106.3 | 95.9 |
| Cash assistance application acceptance rate (%) | 50.5% | 53.6% | 54.5% | * | * | 53.8% | 36.3% |
| Cash assistance cases in sanction process (%) | 5.3% | 5.0% | 3.0% | * | * | 4.2% | 0.4% |
| Cash assistance cases in sanction status (%) | 0.2% | 0.9% | 2.4% | * | * | 2.8% | 0.8% |
| ★ Cash assistance application timeliness rate (%) | 96.2% | 95.3% | 91.9% | 96.0% | 96.0% | 95.1% | 98.9% |
| ★ Critical Indicator | "NA" Not Available | | ↕ Directional Target | * None | | | |

Goal 1b Provide access to Supplemental Nutrition Assistance Program benefits for all eligible children and adults.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|---------|----------------------|--------|-------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Persons receiving Supplemental Nutrition Assistance Program (SNAP) benefits (000) | 1,607.5 | 1,523.5 | 1,642.3 | * | * | 1,492.5 | 1,694.0 |
| – Cash assistance persons receiving SNAP benefits (000) | 383.1 | 364.4 | 405.1 | * | * | 361.7 | 411.4 |
| – Non-cash assistance persons receiving SNAP benefits (000) | 964.8 | 908.2 | 987.2 | * | * | 880.0 | 1,034.7 |
| – SSI persons receiving SNAP benefits (000) | 259.6 | 250.9 | 250.0 | * | * | 250.7 | 247.9 |
| Total SNAP households (000) | 923.2 | 887.1 | 961.9 | * | * | 873.7 | 992.1 |
| – Cash assistance households receiving SNAP benefits (000) | 190.0 | 182.6 | 207.2 | * | * | 181.4 | 210.6 |
| – Non-cash assistance households receiving SNAP benefits (000) | 493.4 | 472.5 | 523.2 | * | * | 460.1 | 551.4 |
| – SSI households receiving SNAP benefits (000) | 239.8 | 232.1 | 231.6 | * | * | 232.2 | 230.1 |
| Supplemental Nutritional Assistance Program (SNAP) Payment Error Rate (federal fiscal year) (%) | 8.39% | 6.52% | NA | 6.00% | 6.00% | 5.11% | NA |
| ★ SNAP application timeliness rate (%) | 89.4% | 92.7% | 74.5% | 90.6% | 90.6% | 79.0% | 98.2% |
| SNAP applications filed electronically (%) | 78.0% | 86.1% | 93.9% | * | * | 89.5% | 97.3% |
| ★ Critical Indicator | "NA" Not Available | | ↕ Directional Target | * None | | | |

Goal 1c Provide access to Medicaid public health insurance coverage for all eligible children and adults.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|---------|----------------------|--------|-------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Medicaid enrollees administered by HRA (000) | 1,725.5 | 1,593.5 | 1,541.2 | * | * | 1,544.0 | 1,555.1 |
| – Medicaid-only enrollees administered by HRA (000) | 979.5 | 874.9 | 780.6 | * | * | 835.1 | 807.9 |
| ★ Application timeliness rate for Medicaid administered by HRA (%) | 95.8% | 93.5% | 80.5% | 99.4% | 99.4% | 91.9% | 81.3% |
| ★ Critical Indicator | "NA" Not Available | | ↕ Directional Target | * None | | | |

SERVICE 2 Increase financial independence and upward mobility out of poverty through employment, education, skills enhancement, job search, job placement, wellness services and other supports.

Goal 2a Increase the proportion of cash assistance recipients who obtain and retain paid employment.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|-------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Clients whom HRA helped obtain employment (000) | 39.8 | 39.9 | 32.1 | ↑ | ↑ | 11.9 | 1.1 |
| ★ HRA clients who obtained employment, and maintained employment or did not return to CA for 180 days (city fiscal year-to-date average) (%) | 73.8% | 74.1% | 70.7% | 80.0% | 80.0% | 71.8% | 69.0% |
| HRA clients who obtained employment, and maintained employment or did not return to CA for 12 months (city fiscal year-to-date average) (%) | 63.3% | 64.7% | 61.6% | * | * | 63.2% | 59.7% |
| ★ Safety Net Assistance (SNA) cases engaged in training or education in accordance with New York City guidelines (%) | 29.9% | 28.0% | NA | ↑ | ↑ | NA | NA |
| ★ Family cases engaged in training or education in accordance with New York City guidelines (%) | 28.3% | 29.0% | NA | ↑ | ↑ | NA | NA |
| ★ Cash assistance family cases participating in work or work-related activities per federal guidelines (official federal fiscal year-to-date average) (%) | 25.5% | 22.1% | 20.4% | 34.0% | 34.0% | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 2b Provide wellness, rehabilitation and employment services to cash assistance recipients with special needs to assist them to become healthy enough to work, or to obtain federal disability benefits if they are unable to work.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Total WeCARE recipients | 35,164 | 39,433 | 42,608 | * | * | 37,858 | 40,180 |
| ★ Number of WeCARE federal disability awards | 3,565 | 3,214 | 2,612 | * | * | 858 | 563 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 2c Provide access to child support services for eligible parents and their children.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|---------|---------|---------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Total new child support orders obtained | 14,832 | 12,758 | 8,948 | * | * | 4,193 | 418 |
| Total child support cases with active orders (end of period) | 269,761 | 261,073 | 248,488 | * | * | 258,420 | 236,520 |
| ★ Child support cases with orders of support (%) | 79.8% | 79.2% | 79.0% | 80.0% | 80.0% | 80.1% | 81.3% |
| Child support collected (\$000,000) | \$763.9 | \$780.8 | \$811.1 | \$784.4 | \$784.4 | \$248.0 | \$300.5 |
| ★ Support cases with active orders receiving current payments (%) | 59.8% | 60.5% | 61.5% | ↑ | ↑ | 60.4% | 69.6% |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

SERVICE 3 Reduce homelessness among children and adults.

Goal 3a

Provide homelessness prevention benefits and services to eligible children and adults.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|-------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Clients successfully diverted at PATH from entering a homeless shelter (%) | 12.3% | 13.0% | 12.0% | * | * | 11.6% | 9.4% |
| ★ Adults receiving preventive services who did not enter the shelter system (%) | 92.8% | 90.8% | 89.7% | 85.0% | 85.0% | 89.8% | 90.6% |
| ★ Adult families receiving preventive services who did not enter the shelter system (%) | 96.1% | 95.2% | 94.5% | 85.0% | 85.0% | 95.4% | 95.9% |
| ★ Families with children receiving preventive services who did not enter the shelter system (%) | 93.4% | 93.0% | 93.4% | 85.0% | 85.0% | 93.5% | 94.3% |
| Rent Assistance Unit Emergency Assistance Requests Approved (%) | 75.1% | 78.0% | 72.2% | * | * | 71.7% | 63.6% |
| Requests for Emergency Assistance at the Rental Assistance Unit | 77,605 | 77,342 | 65,234 | * | * | 26,859 | 18,740 |
| Low-income cases facing eviction and homelessness who were assisted with legal services in Housing Court | 25,156 | 32,171 | 24,109 | * | * | 10,824 | 2,753 |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | | * None | | | |

Goal 3b

Provide safe and appropriate services in shelter and in the community to survivors of domestic violence.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|-------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Eligible families seeking shelter at Prevention Assistance and Temporary Housing (PATH) who entered HRA's domestic violence shelters (%) | 39.0% | 35.6% | 44.9% | * | * | 41.5% | 58.7% |
| Average number of families served per day in the domestic violence shelter program | 827 | 828 | 843 | * | * | 870 | 805 |
| Number of domestic violence emergency beds (capacity) | 2,414 | 2,414 | 2,514 | * | * | 2,514 | 2,514 |
| Domestic violence non-residential services programs average monthly caseload | 1,618 | 2,016 | 1,685 | * | * | 1,795 | 1,890 |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | | * None | | | |

SERVICE 4 Provide support services for eligible vulnerable and/or frail children and adults and for children and adults with disabilities.

Goal 4a

Ensure that all eligible vulnerable and/or frail children and adults, and children and adults with disabilities receive services to resolve immediate risk and provide ongoing assistance to enhance their safety and independence.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|---------|--------|--------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Adult Protective Services (APS) assessment cases | 4,863 | 5,241 | 4,485 | * | * | 5,247 | 3,274 |
| ★ Individuals referred to an APS field office visited within three working days (%) | 95.3% | 96.2% | 97.4% | 85.0% | 85.0% | 91.5% | 95.9% |
| APS assessment cases accepted or denied for undercare within State-mandated 60 days (%) | 96.1% | 96.5% | 98.0% | * | * | 98.6% | 98.7% |
| ★ APS cases eligible for services | 7,407 | 6,942 | 6,630 | * | * | 6,536 | 6,365 |
| Total referrals received for APS | 30,252 | 30,974 | 24,843 | * | * | 10,217 | 6,418 |
| ★ Personal care services - average weekly billable hours | 50.5 | 52.8 | 55.2 | * | * | 54.4 | 57.6 |
| ★ Serious personal care complaints resolved in 24 hours (%) | 94.0% | 93.0% | 84.0% | 100.0% | 100.0% | 91.0% | 100.0% |
| ★ Average days to initiate home attendant and housekeeper services for all cases | 23.0 | 20.0 | 23.5 | 30.0 | 30.0 | 26.5 | 20.5 |
| Cases receiving home care services | 176,681 | 200,927 | 222,182 | * | * | 209,857 | 220,658 |
| New applicants for HIV/AIDS Services Administration (HASA) services | 6,102 | 5,730 | 4,948 | * | * | 1,987 | 1,352 |
| ★ Individuals receiving HASA services | 34,476 | 34,063 | 34,383 | * | * | 34,404 | 34,476 |
| HASA clients receiving housing assistance (%) | 81.8% | 83.6% | 83.1% | * | * | 82.7% | 82.4% |
| ★ Average number of days from submission of a completed application to approval or denial of enhanced housing benefits to keep HASA clients in stable housing | 7.6 | 7.6 | 6.8 | 8.0 | 8.0 | 7.2 | 4.8 |
| ★ Average number of days from submission of a completed application to issuance of enhanced housing benefits to HASA clients | 17.7 | 19.7 | 17.1 | 15.5 | 15.5 | 17.6 | 14.0 |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | | * None | | | |

AGENCY-WIDE MANAGEMENT

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|---------|-----------------------|--------|------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Medicaid recoveries and cost avoidance for fraud, waste & abuse (\$000,000) | \$395.67 | \$267.6 | \$258.15 | ↑ | ↑ | \$115.2 | \$73.94 |
| Cash assistance recoveries and cost avoidance for fraud, waste and abuse (\$000,000) | \$211.8 | \$207.3 | \$161.3 | * | * | \$77.0 | \$20.6 |
| Supplemental Nutritional Assistance Program (SNAP) cost avoidance for fraud and abuse (\$000,000) | \$34.9 | \$38.0 | \$27.5 | * | * | \$13.1 | \$7.8 |
| Fair hearings requested | 236,156 | 222,260 | 197,991 | * | * | 77,236 | 47,716 |
| Fair hearings upheld (%) | 19.9% | 23.7% | 20.0% | * | * | 23.9% | 17.8% |
| IDNYC - number of applications processed | 159,109 | 132,422 | 163,350 | * | * | 45,859 | 65,494 |
| IDNYC - total number of cards issued | 153,945 | 124,466 | 155,459 | * | * | 42,050 | 64,906 |
| IDNYC application timeliness (%) | 99.4% | 99.6% | 90.6% | * | * | 99.4% | 92.0% |
| Fair Fares NYC enrollment | NA | 58,946 | 193,864 | * | * | NA | NA |
| Billed revenue as a percentage of budgeted revenue (%) | 68.4% | 67.6% | 57.1% | * | * | 13.3% | 13.2% |
| Claims filed within 60 days of the close of the expenditure month (%) | 100.0% | 100.0% | 98.8% | * | * | 100.0% | 100.0% |
| Calls resolved within 48 hours to the customer service call line for vendors (%) | 81.3% | 76.9% | 72.2% | * | * | 75.1% | 66.9% |
| Collisions involving City vehicles | 43 | 40 | 17 | * | * | 9 | 0 |
| Workplace injuries reported | 170 | 152 | 116 | * | * | 51 | 13 |
| Applications filed with the United States Citizenship and Immigration Services | 3,496 | 3,624 | 3,535 | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | | ↑↓ Directional Target | * None | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------|-----------------------|--------|------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Completed requests for interpretation | 1,232,975 | 1,154,534 | 877,824 | * | * | 388,741 | 117,271 |
| Letters responded to in 14 days (%) | 91.2% | 95.4% | 97.5% | 90% | 90% | 92.5% | 100% |
| E-mails responded to in 14 days (%) | 96.1% | 96.4% | 93.5% | 90% | 90% | 91.1% | 96.9% |
| Average customer in-person wait time (minutes) | 34.1 | 32.2 | 27.7 | 60.0 | 60.0 | 32.5 | 25.1 |
| CORE facility rating | 92 | NA | 98 | 80 | 80 | NA | NA |
| Calls answered in 30 seconds (%) | 58% | 59.1% | 42% | 80% | 80% | 60.4% | NA |
| Customer satisfaction rating for Public Health Insurance Program services "good" or "excellent" (%) | 94.0% | 94.0% | NA | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | | ↑↓ Directional Target | * None | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|--|---|------------|----------------------|---------------------|-------------------|-------------------|----------------|-----------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$9,904.0 | \$10,243.1 | \$10,555.9 | \$9,432.4 | \$9,800.3 | \$10,090.6 | \$4,136.1 | \$3,641.9 |
| Revenues (\$000,000) | \$55.7 | \$62.7 | \$67.3 | \$42.6 | \$42.6 | \$42.6 | \$9.9 | \$21.6 |
| Personnel | 13,004 | 12,678 | 12,520 | 13,665 | 12,789 | 13,600 | 12,630 | 12,329 |
| Overtime paid (\$000,000) | \$35.6 | \$39.2 | \$45.1 | \$16.7 | \$16.7 | \$15.9 | \$12.9 | \$13.4 |
| Capital commitments (\$000,000) | \$57.6 | \$44.5 | \$23.0 | \$93.6 | \$62.2 | \$57.4 | \$2.7 | -\$1.4 |
| Human services contract budget (\$000,000) | \$566.5 | \$680.7 | \$722.4 | \$770.9 | \$779.7 | \$747.3 | \$210.5 | \$236.6 |
| ¹ January 2021 Financial Plan. | ² Expenditures include all funds | | "NA" - Not Available | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|---|--|---|-----------------------------------|
| Personal Services - Total | \$833.7 | \$857.9 | |
| 201 - Administration | \$327.8 | \$305.6 | All |
| 203 - Public Assistance | \$286.4 | \$281.3 | 1a, 1b, 2a, 2b, 2c, 3a |
| 204 - Medical Assistance | \$79.3 | \$105.3 | 1c, 2b, 4a |
| 205 - Adult Services | \$117.1 | \$123.7 | 1c, 2a, 2b, 2c, 3a, 3b, 4a |
| 207 - Legal Services ⁴ | \$0.0 | \$3.2 | All |
| 208 - Home Energy Assistance ⁴ | \$0.3 | \$1.2 | 1a |
| 209 - Child Support Services ⁴ | \$22.8 | \$37.6 | 2c |
| Other Than Personal Services - Total | \$9,722.2 | \$8,942.4 | |
| 101 - Administration | \$373.4 | \$314.7 | All |
| 103 - Public Assistance | \$2,394.0 | \$2,310.6 | 1a, 1b, 2a, 2b, 2c, 3a |
| 104 - Medical Assistance | \$6,318.8 | \$5,587.6 | 1c, 2b, 4a |
| 105 - Adult Services | \$451.3 | \$412.7 | 1c, 2a, 2b, 2c, 3a, 3b, 4a |
| 107 - Legal Services | \$184.7 | \$187.9 | All |
| 108 - Home Energy Assistance | NA | \$38.0 | 1a |
| 109 - Child Support Services | NA | \$20.6 | 2c |
| 110 - Emergency Food | NA | \$70.3 | 1b |
| Agency Total | \$10,555.9 | \$9,800.3 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available *None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- Reporting for the customer services indicator "Requests for interpretation" includes partial data for Fiscal 2021. This service continued to be provided but some data were not available from all sources as staff shifted to telework due to COVID-19. No data can be provided for "Calls answered in 30 seconds" due to the same reason.
- HRA adjusted previously reported figures for Fair Hearings indicators. Previously, certain fair hearing types were counted twice. Those duplicate hearings have now been removed and will not be counted going forward.
- HRA adjusted previously reported figures on Families seeking shelter at Prevention Assistance and Temporary Housing (PATH) who entered HRA's domestic violence shelters (%) to correct prior errors in reporting.

ADDITIONAL RESOURCES

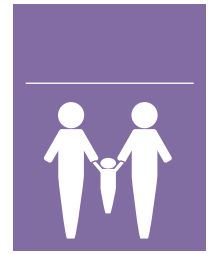
For additional agency performance statistics, please visit:

- HRA/DSS Facts (Links to multiple reports updated several times a year):
<http://www.nyc.gov/html/hra/html/facts/facts.shtml>
- Supplemental Nutrition Assistance Program (SNAP):
<https://www.fns.usda.gov/snap/supplemental-nutrition-assistance-program>
- Prevention Assistance and Temporary Housing intake center (PATH):
<https://www1.nyc.gov/site/dhs/shelter/families/families-with-children-applying.page>

For more information on the agency, please visit: www.nyc.gov/hra

ADMINISTRATION FOR CHILDREN'S SERVICES

David Hansell, Commissioner



WHAT WE DO

The Administration for Children's Services (ACS) is responsible for protecting the safety and promoting the well-being of New York City's children and strengthening their families by providing child welfare, juvenile justice, child care and early education services. In child welfare, ACS contracts with nonprofit organizations to support and stabilize families at risk of a crisis through prevention services and with foster care agencies for children not able to remain safely at home. Each year, the agency's Division of Child Protection conducts over 45,000 investigations of suspected child abuse or neglect. In youth and family justice, ACS manages and funds services including detention and Close to Home placement, intensive community-based alternatives for youth and support services for families. In the Division of Child and Family Well-Being, created in September 2017, ACS issues child care vouchers for more than 64,000 children eligible for subsidized child care and promotes a two-generation approach to child and family wellbeing, family stability and equity through public education campaigns and a place-based approach including Family Enrichment Centers and the Community Partnership Program.

FOCUS ON EQUITY

ACS seeks to establish an equitable child welfare and juvenile justice system in which a child or family's race, gender, sexual orientation or other identities does not predict how they fare. In New York City, Black and Latinx families are overrepresented at key points along child welfare and juvenile justice pathways. To address racial disproportionality ACS has implemented programs such as Collaborative Assessment, Response, Engagement & Support (CARES) which diverts families from a traditional child welfare investigation and instead connects them directly with resources that will help them thrive. ACS also restructured its prevention and family support system through new contracts that improve the availability of and access to the most appropriate services; reduce reliance wherever possible on court-ordered interventions and prevent the need for foster care placements whenever children can remain safely at home. ACS is building the capacity of Children's Services staff at all levels to respond effectively to structural racism and individual bias and promote culturally competent policy and practice. To meet the needs of LGBTQ+ youth in foster care, ACS has implemented policy, guidance and best practices for ACS and provider agency staff and a mandatory LGBTQ+ training that focuses on engagement techniques and cultural competency. ACS is currently developing new training for foster parents focused on creating a safe and affirming home environment for LGBTQ+ youth. ACS also has an incident reporting mechanism where LGBTQ+ youth and their advocates can report homophobic/transphobic treatment experienced in ACS care.

OUR SERVICES AND GOALS

SERVICE 1 Protect children from child abuse.

- Goal 1a Respond quickly to every allegation of abuse and neglect and perform thorough assessments of safety and risk.
- Goal 1b Reduce the risk of child maltreatment occurring in at-risk families through the provision of high-quality prevention services.
- Goal 1c Provide safe and stable foster care placements for children who cannot remain safely at home.
- Goal 1d Encourage and support family-based foster care.
- Goal 1e Reduce time to reunification, kinship guardianship and/or adoption and maintain strong family connections for children.

SERVICE 2 Ensure access to quality early child care and education services in all communities.

- Goal 2a Ensure access to quality early child care services in communities of need and achieve maximum capacity enrollment at all participating centers.

SERVICE 3 Provide custody and care of youth in secure and safe detention and placement facilities while providing casework services.

- Goal 3a Assure that detention facilities are safe and secure.
- Goal 3b Provide youth in detention and placement with appropriate health and mental health services.
- Goal 3c Provide services to prevent youth from returning to the juvenile justice system.

HOW WE PERFORMED

- The number of investigations conducted in response to reports of suspected child abuse and/or neglect declined 20 percent from 15,893 in the first four months of Fiscal 2020 to 12,707 in the first four months of Fiscal 2021. This decline was largely a result of the COVID-19 pandemic, which spurred a sharp decline in reports from schools and child care programs, as well as more modest declines in reports from other mandated reporters of abuse and neglect such as social service and health care providers. The percentage of investigations in which Child Protective Specialists (CPS) found some credible evidence of abuse or neglect rose from 37.2 to 37.6 percent. The percentage of children in investigations that found some credible evidence of abuse or neglect and that also had repeat investigations that found some credible evidence within a year declined from 16.1 to 15.2 percent. This decrease reflects the impact of intensive quality assurance oversight and coaching that strengthens investigative practice on high-risk cases and supports the provision of appropriate services for families and children.
- The average CPS caseload declined to 5.0 cases per caseworker in the first four months of Fiscal 2021 from 7.5 during the same period in Fiscal 2020. This reduction is attributable to the decline in new reports during the COVID-19 pandemic. In addition, ACS has improved retention of CPS by implementing new technological resources, extended training, a coaching culture in supervision, a mentorship program to support newer staff and support for the timely and appropriate closing of cases.
- The number of children and families receiving child welfare prevention services declined during the first four months of Fiscal Year 2021 as compared with the same period of Fiscal 2020. The number of families entering child welfare prevention services fell 22 percent from 3,286 in Fiscal 2020 to 2,571 in Fiscal 2021. This decline was driven by the impact of the COVID-19 pandemic, which has caused a reduction in child abuse and neglect investigations and made families more hesitant to have preventive service providers in their homes. The extensive restructuring of the citywide prevention service system, with new programs that started on July 1, 2020, also impacted prevention service utilization. ACS is working closely with prevention service providers to expand access to their services during this time, including establishing new connections with schools, clinics and other community-based organizations.
- The number of children entering foster care during the first four months of the fiscal year fell by 23 percent from 1,106 in Fiscal 2020 to 853 in Fiscal 2021. This decrease was driven in large part by the reduction of child abuse and neglect reports and investigations during the COVID-19 pandemic. The average number of children in foster care declined two percent from 7,951 to 7,797 during this period. The number of days all children spent in foster care also declined two percent.
- The proportion of children placed in foster homes in their communities decreased from 32.2 percent in the first four months of Fiscal 2020 to 21.7 percent during the same period in Fiscal 2021. This decline reflects the impact of the COVID-19 pandemic on the available foster parent pool.
- ACS prioritizes foster care placements with kin. The percent initially placed with relatives rose from 36 percent during July–October Fiscal 2020 to 37 percent during the same period in Fiscal 2021 and the proportion of all children in foster care who are living in kinship care increased from 39 percent to 42 percent. The number of children moved from one foster care placement to another per 1,000 care days declined 29 percent from 1.7 in Fiscal 2020 to 1.2 in Fiscal 2021.
- The proportion of siblings who enter care at the same time and are placed together in the same foster home rose from 91.8 percent in July–October Fiscal 2020 to 95.1 percent in Fiscal 2021.
- ACS continues to have more than 90 percent of foster children and youth in family-based rather than congregate placements. The average number of children in congregate, residential care dropped by seven percent from 722 in the first four months of Fiscal 2020 to 671 in Fiscal 2021 and comprises only eight percent of the children in care.
- During the COVID-19 pandemic Family Court operations have been limited, including few hearings held on permanency matters. As a result, discharges from foster care declined during the first four month of the fiscal year. Reunifications fell 28 percent from 720 in Fiscal 2020 to 519 in Fiscal 2021, adoption declined 69 percent from 129 to 40 and KinGAP fell 34 percent from 103 to 68. ACS has taken aggressive steps to move permanency forward for children and families including proactive case reviews for children with goals of reunification to determine when cases can progress to increased family time or discharge and ensuring that KinGAP and adoption paperwork is prepared and updated so that these cases can proceed in Family Court as soon as it resumes hearing these matters.

- Child care voucher enrollment declined 17 percent during the first four months of the fiscal year from 64,333 in Fiscal 2020 to 53,448 in Fiscal 2021. This decrease was driven by a decline in the HRA cash assistance population with vouchers. Voucher enrollment for center-based care fell 14 percent to 25,860, vouchers for family-based child care went down ten percent to 23,519 and vouchers for informal (home-based) child care decreased 50 percent to 4,069. Mandated voucher enrollment declined 26 percent to 30,587. Vouchers for other eligible children remained stable at approximately 22,900.
- The number of reports of suspected abuse and/or neglect for children in child care programs declined 75 percent from 204 during the first four months of Fiscal 2020 to 52 during the same period in Fiscal 2020. Child Care investigations include alleged abuse or maltreatment of children perpetrated by someone who cares for children in a setting that is not the child's familial home and that requires state or local government approval and is subject to state laws, regulations and oversight. This includes, but is not limited to, NYC Early Care and Education programs. During this period, the percent of investigations for children in child care that found some credible evidence of abuse or neglect fell 9.0 percentage points to 9.6 percent.
- During the first four months of the fiscal year there was a 47 percent decrease in admissions to juvenile detention from 624 in Fiscal 2020 to 333 in Fiscal 2021. This decline was largely a result of the COVID-19 pandemic. The average daily population in juvenile detention declined 31 percent to 104.9 in Fiscal 2021 from 152.2 in Fiscal 2020. This decrease was driven by the decline in admissions. There was a 65 percent increase in length of stay from 23 to 38 days. This increase can largely be attributed to delays in court adjudication due to COVID-19.
- Assaults and altercations with injury and abuse/neglect declined during the first four months of Fiscal 2021. The youth-on-youth assault and altercation with injury rate per 100 average daily population fell from 0.42 in Fiscal 2020 to 0.33 in Fiscal 2021. The youth-on-staff assault with injury rate per 100 average daily population declined 23 percent from 0.35 to 0.27. The rate of cases in detention where credible evidence of abuse and/or neglect was found decreased from 0.13 to 0.02. ACS continues to refine its behavior management system (STRIVE+), enhance training through embedded coaching techniques focusing on effective methods of deescalating and engaging youth, work with community providers such as violence interrupters and work with oversight agencies to explore additional improvement strategies in the new context of a substantially older youth population.
- The weapon recovery rate per 100 daily population in detention during July–October increased from 0.18 in Fiscal 2020 to 0.27 in Fiscal 2021. The illegal substance/ prescription or over-the-counter medication recovery rate rose from 0.06 to 0.18. ACS continues to work closely with its state oversight agencies on the development and deployment of practices to better identify and remove contraband for secure detention facilities. ACS is also working closely with the Department of Investigation to conduct canine searches in detention and continues to work towards building its own internal capacity in this area.
- All youth in detention receive a mental health screening for acute psychiatric needs within one hour of their admission, so that the highest needs youth are identified and referred to urgent mental health services. Youth who remain in detention for longer than 48 hours are provided with a comprehensive mental health psychosocial assessment. Failure to engage in this comprehensive assessment is most often due to refusal to complete the assessment or to discharge from detention. During the first four months of Fiscal 2021 the percent of youth who received general mental health screening or services while in detention rose from 65 percent to 77 percent.
- The number of young people entering Close to Home placement during the first four months of the fiscal year decreased 61 percent from 44 in Fiscal 2020 to 17 in Fiscal 2021 due a decrease in placements by the Family Court, which was impacted by the COVID-19 pandemic. The average number in aftercare declined 44 percent from 48 to 26. Releases to Close to Home aftercare declined from 30 to 15 and discharges from Close to Home with complete disposition orders increased from 28 to 33. While the Close to Home population has decreased over time, the programming, mental health and permanency needs of the population have become more complex.
- During July to October the Close to Home youth-on-youth assaults and altercations with injury per 100 care days declined from 0.12 in Fiscal 2020 to 0.10 in Fiscal 2021 and youth-on-staff assaults with injury remained stable at 0.08. The absent without consent (AWOC) rate decreased from 0.34 Fiscal 2020 to 0.15 in Fiscal 2021. All critical incidents are routinely debriefed with ACS staff, youth and providers to identify any gaps in practice or policy and to identify any additional supports or safety planning needs of youth. The collaborative efforts of ACS and the provider agencies towards maintaining the safety of youths and programs is evident by the overall decreases and stability of critical incidents.

SERVICE 1 Protect children from child abuse.

Goal 1a Respond quickly to every allegation of abuse and neglect and perform thorough assessments of safety and risk.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|--------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Number of State Central Register consolidated investigations | 59,166 | 56,336 | 46,403 | * | * | 15,893 | 12,707 |
| ★ Abuse and/or neglect reports responded to within 24 hours of receipt from the State Central Register (%) | 97.5% | 97.8% | 98.5% | 100.0% | 100.0% | 98.3% | 98.6% |
| Investigations that found credible evidence of abuse or neglect (%) | 38.0% | 37.7% | 36.4% | * | * | 37.2% | 37.6% |
| Children in complete investigations with repeat investigations within a year (%) | 25.5% | 25.3% | 25.2% | * | * | 25.1% | 23.8% |
| ★ Children in investigations that found credible evidence of abuse or neglect with repeat investigations that also found credible evidence within a year (%) (preliminary) | 18.5% | 17.9% | 17.2% | 14.0% | 14.0% | 16.1% | 15.2% |
| ★ Average child protective specialist caseload | 12.5 | 10.5 | 7.5 | 12.0 | 12.0 | 7.5 | 5.0 |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

Goal 1b Reduce the risk of child maltreatment occurring in at-risk families through the provision of high-quality prevention services.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|--------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Families entering child welfare prevention services | 9,608 | 9,965 | 7,699 | 10,000 | 10,000 | 3,286 | 2,571 |
| Families entering child welfare specialized teen prevention services | 1,175 | 1,099 | 838 | * | * | 378 | 249 |
| Children receiving child welfare prevention services (daily average) | 24,481 | 25,296 | 22,860 | * | * | 25,256 | 16,192 |
| Children who received child welfare prevention services during the year (annual total) | 43,874 | 45,468 | 41,176 | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

Goal 1c Provide safe and stable foster care placements for children who cannot remain safely at home.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|-----------|--------|-------|----------------|-----------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| All children entering foster care (preliminary) | 4,196 | 3,798 | 3,105 | * | * | 1,106 | 853 |
| ★ Children placed in foster care in their community | 36.2% | 28.7% | 29.9% | 36.0% | 36.0% | 32.2% | 21.7% |
| ★ Children in foster care (average) | 8,732 | 8,341 | 7,827 | ↕ | ↕ | 7,951 | 7,797 |
| – Children in foster kinship homes (average) | 2,883 | 3,177 | 3,115 | * | * | 3,134 | 3,251 |
| – Children in nonrelative foster boarding homes (average) | 5,027 | 4,400 | 4,001 | * | * | 4,096 | 3,875 |
| – Children in residential care (average) | 821 | 764 | 711 | * | * | 722 | 671 |
| ★ Children who re-enter foster care within a year of discharge to family (%) (preliminary) | 9.1% | 9.8% | 8.0% | 6.0% | 6.0% | 6.7% | 6.3% |
| School Attendance Rate - Children in Foster Care (%) | 81.4% | 81.9% | 82.4% | * | * | 83.4% | 74.2% |
| Total days all children spent in foster care | 3,923,854 | 3,686,234 | 3,538,806 | * | * | 1,199,421 | 1,173,885 |
| ★ Number of moves in foster care per 1,000 care days | 1.7 | 1.7 | 1.4 | 1.4 | 1.4 | 1.7 | 1.2 |
| ★ Children maltreated during family foster care placement per 100,000 care days | 7.5 | 9.7 | 7.3 | 5.0 | 5.0 | 9.2 | 10.3 |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

Goal 1d Encourage and support family-based foster care.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|-------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Siblings placed simultaneously in the same foster home (preliminary) | 94.1% | 93.8% | 93.6% | * | * | 91.8% | 95.1% |
| ★ Children entering foster care who are placed with relatives (preliminary) | 34.1% | 40.8% | 41.0% | 44.0% | 44.0% | 35.7% | 37.4% |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 1e Reduce time to reunification, kinship guardianship and/or adoption and maintain strong family connections for children.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|-------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Children discharged to permanency within a year of placement (%) | 29.9% | 32.5% | 29.6% | 30.0% | 35.0% | NA | NA |
| ★ Children in care 12-23 months discharged to permanency (%) | 24.4% | 24.7% | 20.4% | 20.0% | 27.0% | NA | NA |
| ★ Children in care 24 or more months discharged to permanency (%) | 25.8% | 25.3% | 18.6% | 20.0% | 27.0% | NA | NA |
| Children adopted | 900 | 748 | 404 | * | * | 129 | 40 |
| Children eligible for adoption (average) | 1,096 | 973 | 800 | * | * | 854 | 788 |
| Kinship Guardianship Assistance discharges | 305 | 379 | 267 | * | * | 103 | 68 |
| Children returned to parents (reunifications) | 2,563 | 2,309 | 1,834 | * | * | 720 | 519 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

SERVICE 2 Ensure access to quality early child care and education services in all communities.

Goal 2a Ensure access to quality early child care services in communities of need and achieve maximum capacity enrollment at all participating centers.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|---------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Average child care voucher enrollment | 66,682 | 65,607 | 64,324 | * | * | 64,333 | 53,448 |
| ★ Average mandated children voucher enrollment | 50,937 | 45,569 | 39,039 | * | * | 41,434 | 30,587 |
| ★ Average other eligible children voucher enrollment | 15,745 | 20,038 | 25,286 | * | * | 22,899 | 22,861 |
| ★ Average center-based child care voucher enrollment | 28,932 | 29,576 | 31,045 | * | * | 30,063 | 25,860 |
| ★ Average family child care voucher enrollment | 25,916 | 26,607 | 26,065 | * | * | 26,119 | 23,519 |
| ★ Average informal (home-based) child care voucher enrollment | 11,834 | 9,424 | 7,215 | * | * | 8,151 | 4,069 |
| Fiscal year spending per child - Center-based child care vouchers | \$8,646 | \$8,726 | \$8,997 | * | * | NA | NA |
| Fiscal year spending per child - Family child care vouchers | \$7,740 | \$7,823 | \$7,860 | * | * | NA | NA |
| Fiscal year spending per child - Legally exempt (informal child care) vouchers | \$4,327 | \$4,379 | \$4,362 | * | * | NA | NA |
| Abuse and/or neglect reports for children in child care | 726 | 709 | 442 | * | * | 204 | 52 |
| Investigations for children in care that found credible evidence of abuse or neglect (%) | 14.1% | 16.4% | 19.5% | * | * | 18.6% | 9.6% |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

SERVICE 3 Provide custody and care of youth in secure and safe detention and placement facilities while providing casework services.

Goal 3a Assure that detention facilities are safe and secure.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|---------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Total admissions to detention | 1,754 | 1,449 | 1,442 | ↓ | ↓ | 624 | 333 |
| ★ Average daily population (ADP), detention | 84.9 | 70.8 | 128.7 | ↓ | ↓ | 152.2 | 104.9 |
| Secure detention - ADP | 49.6 | 45.3 | 100.9 | * | * | 119.4 | 86.7 |
| Non-secure detention - ADP | 35.4 | 25.5 | 27.8 | * | * | 32.8 | 18.3 |
| ★ Average length of stay, detention (days) | 19 | 17 | 29 | ↓ | ↓ | 23 | 38 |
| ★ Escapes from secure detention | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
| ★ Abscond rate in non-secure detention (average per 100 total ADP in non-secure) | 0.04 | 0.02 | 0.10 | 0.05 | 0.05 | 0.17 | 0.09 |
| ★ Youth on youth assaults and altercations with injury rate (per 100 total ADP), detention | 0.32 | 0.29 | 0.35 | 0.35 | 0.35 | 0.42 | 0.33 |
| ★ Youth on staff assault w/injury rate (per 100 total ADP), detention | 0.07 | 0.30 | 0.30 | 0.15 | 0.15 | 0.35 | 0.27 |
| ★ Weapon recovery rate (average per 100 total ADP), detention | 0.07 | 0.09 | 0.22 | ↓ | ↓ | 0.18 | 0.27 |
| ★ Illegal substance/prescription or OTC medication recovery rate (average per 100 total ADP), detention | 0.06 | 0.09 | 0.07 | ↓ | ↓ | 0.06 | 0.18 |
| ★ Average daily cost per youth per day, detention (\$) | \$1,688 | \$1,651 | \$2,064 | * | * | NA | NA |
| Admissions to Close to Home placement | 136 | 82 | 110 | * | * | 44 | 17 |
| ★ Number in Close to Home placement | 139 | 97 | 87 | ↓ | ↓ | 84 | 74 |
| ★ Number in Close to Home aftercare (average) | 69 | 54 | 41 | * | * | 48 | 26 |
| Absent without consent (AWOC) rate, Close to Home placement | 0.18 | 0.20 | 0.27 | 0.40 | 0.40 | 0.34 | 0.15 |
| Discharges from Close to Home placement (dispositional order complete) | 173 | 115 | 83 | * | * | 28 | 33 |
| Releases from Close to Home placement to aftercare | 151 | 122 | 80 | * | * | 30 | 15 |
| Youth on staff assault with injury rate, Close to Home placement | 0.06 | 0.09 | 0.09 | 0.05 | 0.05 | 0.08 | 0.08 |
| Youth on youth assault with injury rate, Close to Home placement | 0.13 | 0.13 | 0.11 | 0.09 | 0.09 | 0.12 | 0.10 |
| ★ Child abuse and/or neglect allegation cases with credible evidence of abuse and/or neglect, rate (average per 100 total ADP), detention | 0.03 | 0.04 | 0.11 | ↓ | ↓ | 0.13 | 0.02 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 3b Provide youth in detention and placement with appropriate health and mental health services.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Youth who received mental health screening or services while in detention (%) | 76.2% | 73.8% | 71.0% | ↑ | ↑ | 65.0% | 77.0% |
| ★ Residents seen within 24 hours of sick call report (%) | 100% | 100% | 100% | 100% | 100% | 100% | 100% |
| ★ General health care cost per youth per day, detention (\$) | \$241 | \$171 | \$152 | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 3c Provide services to prevent youth from returning to the juvenile justice system.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Youth admitted to detention with previous admission(s) to detention (%) | 58.5% | 58.7% | 58.0% | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

AGENCY-WIDE MANAGEMENT

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Collisions involving City vehicles | 33 | 16 | 28 | * | * | 11 | 14 |
| Workplace injuries reported | 215 | 288 | 444 | * | * | 173 | 89 |
| ★ Critical Indicator "NA" Not Available ⇅ Directional Target * None | | | | | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|---------|---------|---------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Completed requests for interpretation | 135,252 | 113,959 | 111,137 | * | * | NA | NA |
| Letters responded to in 14 days (%) | 80.9% | 75.0% | NA | * | * | NA | 100.0% |
| E-mails responded to in 14 days (%) | 82.8% | 80.4% | 84.4% | * | * | NA | 89.2% |
| ★ Critical Indicator "NA" Not Available ⇅ Directional Target * None | | | | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|-----------|-----------|-----------|---------------------|-------------------|-------------------|----------------|-----------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$2,976.8 | \$3,149.2 | \$2,646.4 | \$2,658.5 | \$2,677.2 | \$2,646.2 | \$1,263.6 | \$1,116.3 |
| Revenues (\$000,000) | \$9.5 | \$10.7 | \$8.0 | \$3.4 | \$3.4 | \$3.4 | \$4.9 | \$1.2 |
| Personnel | 6,629 | 7,148 | 7,059 | 7,384 | 6,979 | 7,287 | 7,085 | 6,943 |
| Overtime paid (\$000,000) | \$61.1 | \$60.3 | \$39.4 | \$4.9 | \$34.9 | \$47.9 | \$14.0 | \$5.4 |
| Capital commitments (\$000,000) | \$111.7 | \$33.4 | \$30.8 | \$105.2 | \$67.2 | \$55.8 | \$14.5 | -\$8.7 |
| Human services contract budget (\$000,000) | \$1,729.6 | \$1,832.7 | \$1,407.5 | \$1,356.3 | \$1,369.4 | \$1,358.8 | \$476.2 | \$396.8 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|---------------------------------------|--|---|-----------------------------------|
| Personal Services - Total | \$552.9 | \$514.5 | |
| 001 - Child Welfare | \$376.3 | \$341.8 | 1a, 1b, 1c, 1d, 1e, 2a |
| 003 - Head Start/Day Care | \$11.2 | \$14.2 | 2a |
| 005 - Administration | \$101.6 | \$70.9 | All |
| 007 - Juvenile Justice | \$63.8 | \$85.7 | 3a, 3b, 3c |
| 009 - Adoption Subsidy | \$0.0 | \$1.9 | 1e |
| Other Than Personal Services - Total | \$2,093.4 | \$2,162.7 | |
| 002 - Other Than Personal Services | \$96.9 | \$115.5 | All |
| 004 - Head Start/Day Care | \$530.3 | \$484.3 | 2a |
| 006 - Child Welfare | \$1,308.1 | \$1,112.4 | 1a, 1b, 1c, 1d, 1e |
| 008 - Juvenile Justice | \$158.0 | \$165.8 | 3a, 3b, 3c |
| 010 - Adoption Subsidy | \$0.0 | \$271.6 | 1e |
| 11 - Juvenile Justice - OCFS Payments | \$0.0 | \$13.1 | 3a |
| Agency Total | \$2,646.4 | \$2,677.2 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available *None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- ACS has revised Fiscal 2021 targets for the following indicators due to the reductions in permanency activities as a result of limited Family Court hearings during the COVID pandemic: 'Children discharged to permanency within a year of placement (%)', 'Children in care 12–23 months discharged to permanency (%)' and 'Children in care 24 or more months discharged to permanency (%).'
- The four-month Fiscal 2020 figure for the indicator 'Workplace injuries reported' was revised to reflect corrected data.

ADDITIONAL RESOURCES

For additional information go to:

- ACS Foster Care Strategic Blueprint:
<https://www1.nyc.gov/assets/acs/pdf/about/2020/threeyearprogressreport.pdf>

For more information on the agency, please visit: www.nyc.gov/acs.

DEPARTMENT OF HOMELESS SERVICES

Steven Banks, Commissioner
Joslyn Carter, Administrator



WHAT WE DO

The Department of Homeless Services (DHS) works to prevent homelessness before it occurs, address unsheltered homelessness, and assist New Yorkers experiencing homelessness in transitioning from shelter and the street to permanent housing. DHS collaborates with not-for-profit partners to provide temporary shelter and services that New Yorkers experiencing homelessness need to achieve and maintain housing permanency. In February 2017, Mayor de Blasio released a comprehensive plan to turn the tide on homelessness, neighborhood by neighborhood; followed by “The Journey Home” in December 2019, an action plan to end long-term street homelessness.

FOCUS ON EQUITY

In New York City and throughout the United States, homelessness is driven by economic and racial inequities, lack of affordable and supportive housing and stagnant wages combined with social factors, including domestic violence, de-institutionalization of persons who have mental illness without sufficient community-based services and discharges from a range of institutions, including prisons and jails. DHS addresses homelessness by connecting New Yorkers to preventive services that help them remain in their homes and, when prevention is not an option, by providing safe and appropriate transitional shelter, services to unsheltered New Yorkers, and placement into permanent subsidized and supportive housing. In partnership with the Human Resources Administration (HRA) and other agencies, DHS provides access to targeted rental assistance to help eligible families and individuals avoid or exit shelter.

In Fiscal 2016 Mayor de Blasio announced a comprehensive plan to reform the delivery of homeless services in New York City. “Turning the Tide,” a report issued in February 2017, laid out a blueprint for moving forward with the reforms, providing borough-based services and shrinking the footprint of the shelter system by closing 360 facilities, including eliminating the 21-year-old “cluster” apartment program.

In December 2019, the Mayor and DHS announced “The Journey Home,” an action plan to end long-term street homelessness with enhanced efforts around new permanent housing, and safe havens, outreach, and cross-agency collaborative interventions to bring these solutions to those New Yorkers who have been the hardest to reach.

People of color, particularly African Americans, are over-represented among those who are experiencing homelessness, both in New York City and throughout the country. Poverty is a strong predictor of homelessness; and Black families and individuals are more likely to experience poverty, especially deep poverty, than their White counterparts. Higher incarceration rates, especially for Black men, are also linked to increased risk of homelessness. Investment in services that strengthen communities; services in shelter that provide people with tools to move out of poverty; and the development of stable permanent housing and rental assistance programs provide a foundation to counteract these historic inequities.

OUR SERVICES AND GOALS

SERVICE 1 Provide temporary emergency housing to homeless individuals and families.

- Goal 1a Ensure that individuals and families have access to emergency shelter and are immediately connected to appropriate mainstream resources.
- Goal 1b Ensure that all temporary shelters for homeless individuals and families are clean, safe and well-run.

SERVICE 2 Coordinate and/or provide support services to help individuals and families who are homeless exit shelter as quickly as possible.

- Goal 2a Facilitate exits and minimize clients’ length of stay in shelters.
- Goal 2b Minimize re-entries into the shelter services system.

SERVICE 3 Help chronically unsheltered homeless individuals find stable, safe living situations.

- Goal 3a Reduce the number of unsheltered homeless individuals.

HOW WE PERFORMED

- During the first four months of Fiscal 2021, the average number of families with children and adult families in shelter per day both declined by over 14 percent compared to the same period of Fiscal 2020. The number families with children was trending down pre-COVID-19 due to investments in prevention and rehousing programs, including rental assistance, and the COVID-19 eviction moratorium contributed to further reductions in the family shelter census. At the same time, the average number of single adults in shelters per day rose by 8.8 percent, primarily due to increases in length of stay and fewer housing placements during the COVID-19 pandemic. DHS continues to focus on addressing the housing and service needs of those longest in shelter, including targeted interventions for elderly clients and clients with disabilities.
- In order to minimize health and safety risks during the COVID-19 pandemic, DHS modified placement procedures to reduce the movement of families in shelter. While this led to a decline in the agency's ability to place families according to the youngest school age child's borough at initial placement, DHS continued to ensure that the majority of families in shelter, over 77 percent, reside in the borough of their youngest child's school, an increase of 1.1 percentage points compared to the same period last year.
- With the City's shift to remote learning during the pandemic, school attendance Citywide declined, including among families with children experiencing homelessness. The average school attendance rate for children in the DHS shelter services system declined to 71.4 percent compared to 86.7 percent during the same period last year.
- COVID-19-related incidents, such as clients diagnosed or exposed to COVID-19, continue to be responsible for increases in serious incidents in the single adults and families with children shelter systems during this reporting period compared to the same period in the prior year. In the first four months of Fiscal 2021, serious violent incidents in single adult shelters were essentially flat and decreased in both adult family and families with children shelters compared to the same period in Fiscal 2020.
- Exits to permanent housing decreased for both families with children and single adults, by 13.5 percent and 37.4 percent respectively, while increasing slightly for adult families. While DHS remains committed to finding permanent housing for shelter residents, with New Yorkers at-large encouraged to remain inside as much as possible during the COVID-19 pandemic, the housing placement process has been challenging for both providers and shelter residents.
- During the first four months of Fiscal 2021, returns to shelter within one year declined for all populations, with a decline of 2.6 percentage points for single adults, a decline of 2.2 percentage points for adult families, and a decline of 1.6 percentage points for families with children. DHS's success in minimizing re-entries reflects the City's investment in subsidized housing that generates sustained and permanent placements within communities.
- The average length of stay is up across systems, 8.9 percent for single adults, 18.7 percent for adult families, and 12.5 percent for families with children. In addition to shelter-in-place recommendations and the challenges of conducting housing searches during the pandemic, the economic effects of COVID-19, including the resulting lack of employment opportunities also make it difficult for people to leave the shelter system.
- The number of HOME-STAT clients referred to placement into permanent housing, transitional housing, and other settings was 2,053 clients in the first four months of Fiscal 2021, an increase of 48 percent compared to the number placed in the prior period. Before and during the COVID-19 pandemic, 24/7 outreach efforts have continued—with outreach teams extending a helping hand to New Yorkers experiencing unsheltered homelessness on the streets and in the subways around the clock. The End of Line (EOL) initiative during the MTA overnight shutdown contributed to the large increase in referrals to placement during the reporting period. The EOL initiative was created to help unsheltered individuals who would otherwise have been displaced due to the unprecedented nightly subway systemwide closures for pandemic-related cleaning.

SERVICE 1 Provide temporary emergency housing to homeless individuals and families.

Goal 1a

Ensure that individuals and families have access to emergency shelter and are immediately connected to appropriate mainstream resources.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|-------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average number of adult families in shelters per day | 2,475 | 2,510 | 2,455 | ↓ | ↓ | 2,508 | 2,155 |
| ★ Average number of families with children in shelters per day | 12,619 | 12,415 | 11,719 | ↓ | ↓ | 12,083 | 10,347 |
| ★ Average number of single adults in shelters per day | 14,847 | 16,094 | 16,866 | ↓ | ↓ | 16,309 | 17,741 |
| ★ Adult families entering the DHS shelter services system | 1,469 | 1,433 | 1,118 | ↓ | ↓ | 460 | 188 |
| ★ Families with children entering the DHS shelter services system | 12,151 | 11,965 | 10,087 | ↓ | ↓ | 4,404 | 2,302 |
| ★ Single adults entering the DHS shelter services system | 21,177 | 21,122 | 20,296 | ↓ | ↓ | 7,378 | 5,881 |
| Families with children receiving public assistance (average) (%) | 80.9% | 80.3% | 80.9% | 85.0% | 85.0% | 79.0% | 87.1% |
| Average school attendance rate for children in the DHS shelter services system (%) | 82.3% | 83.9% | 85.0% | * | * | 86.7% | 71.4% |
| Families initially placed in shelter in the borough of their youngest school-aged child's school address (%) | 49.8% | 52.9% | 55.4% | 85.0% | 85.0% | 61.2% | 53.9% |
| Families in shelter living in the borough of their youngest child's school (%) | NA | 73.1% | 76.1% | * | * | 76.2% | 77.3% |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 1b

Ensure that all temporary shelters for homeless individuals and families are clean, safe and well-run.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|----------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Adult shelter inspections with safety, maintenance or cleanliness deficiencies per 1,000 beds | 0.00 | 0.00 | 0.00 | * | * | NA | NA |
| ★ Serious incidents in the adult shelter system, per 1,000 residents | NA | 20.6 | 26.6 | ↓ | ↓ | 24.3 | 30.9 |
| Serious violent incidents in the adult shelter system, per 1,000 residents | 1.6 | 2.0 | 2.2 | * | * | 2.1 | 2.2 |
| ★ Serious incidents in the adult family shelter system, per 1,000 residents | NA | 10.5 | 13.8 | ↓ | ↓ | 14.7 | 12.3 |
| Serious violent incidents in the adult family shelter system, per 1,000 residents | 1.6 | 1.4 | 1.4 | * | * | 1.9 | 1.3 |
| ★ Serious incidents in the families with children shelter system, per 1,000 residents | NA | 5.6 | 7.5 | ↓ | ↓ | 7.2 | 8.5 |
| Serious violent incidents in the families with children shelter system, per 1,000 residents | 0.3 | 0.8 | 0.9 | * | * | 1.0 | 0.9 |
| Cost per day for shelter facilities - Single adult facilities (\$) (annual) | \$117.43 | \$124.38 | \$130.63 | * | * | NA | NA |
| Cost per day for shelter facilities - Family facilities (\$) (annual) | \$187.46 | \$196.23 | \$198.67 | * | * | NA | NA |
| - Adult families | \$147.49 | \$158.71 | \$171.40 | * | * | NA | NA |
| - Families with children | \$192.10 | \$201.60 | \$202.69 | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

SERVICE 2 Coordinate and/or provide support services to help individuals and families who are homeless exit shelter as quickly as possible.

Goal 2a Facilitate exits and minimize clients' length of stay in shelters.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Single adults exiting to permanent housing | 8,593 | 8,912 | 7,890 | * | * | 3,193 | 2,000 |
| – subsidized | 4,157 | 5,001 | 4,824 | * | * | 1,953 | 1,300 |
| – unsubsidized | 4,436 | 3,911 | 3,066 | * | * | 1,240 | 700 |
| Adult families exiting to permanent housing | 513 | 543 | 465 | * | * | 173 | 183 |
| – subsidized | 331 | 439 | 379 | * | * | 147 | 137 |
| – unsubsidized | 182 | 104 | 86 | * | * | 26 | 46 |
| Families with children exiting to permanent housing | 8,933 | 9,137 | 7,992 | * | * | 2,763 | 2,389 |
| – subsidized | 6,446 | 6,872 | 6,142 | * | * | 2,132 | 1,756 |
| – unsubsidized | 2,487 | 2,265 | 1,850 | * | * | 631 | 633 |
| ★ Average length of stay for single adults in shelter (days) | 401 | 414 | 431 | ↓ | ↓ | 425 | 463 |
| ★ Average length of stay for adult families in shelter (days) | 561 | 580 | 630 | ↓ | ↓ | 610 | 724 |
| ★ Average length of stay for families with children in shelter (days) | 438 | 446 | 443 | ↓ | ↓ | 440 | 495 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 2b Minimize re-entries into the shelter services system.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|-------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Single adults who exited to permanent housing and returned to the DHS shelter services system within one year (%) | 17.5% | 17.3% | 14.2% | 20.0% | 20.0% | 15.0% | 12.4% |
| ★ – subsidized exits (%) | 6.9% | 6.5% | 5.8% | ↓ | ↓ | 6.3% | 5.9% |
| ★ – unsubsidized exits (%) | 26.3% | 27.2% | 24.8% | ↓ | ↓ | 24.4% | 22.9% |
| ★ Adult families who exited to permanent housing and returned to the DHS shelter services system within one year (%) | 8.0% | 5.6% | 1.7% | 12.5% | 12.5% | 2.7% | 0.5% |
| ★ – subsidized exits (%) | 1.4% | 1.0% | 0.0% | ↓ | ↓ | 0.0% | 0.6% |
| ★ – unsubsidized exits (%) | 16.0% | 13.2% | 7.7% | ↓ | ↓ | 9.1% | 0.0% |
| ★ Families with children who exited to permanent housing and returned to the DHS shelter services system within one year (%) | 8.3% | 7.0% | 5.6% | 12.5% | 12.5% | 5.8% | 4.2% |
| ★ – subsidized exits (%) | 1.5% | 1.3% | 1.0% | ↓ | ↓ | 0.9% | 0.6% |
| ★ – unsubsidized exits (%) | 20.4% | 21.6% | 19.5% | ↓ | ↓ | 17.9% | 16.1% |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

SERVICE 3 Help chronically unsheltered homeless individuals find stable, safe living situations.

Goal 3a Reduce the number of unsheltered homeless individuals.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Unsheltered individuals who are estimated to be living on the streets, in parks, under highways, on subways, and in the public transportation stations in New York City | 3,675 | 3,588 | 3,857 | ↓ | ↓ | NA | NA |
| ★ HOME-STAT clients referred to placement into permanent housing, transitional housing and other settings | 2,849 | 2,753 | 5,909 | ↑ | ↑ | 1,387 | 2,053 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

AGENCY-WIDE MANAGEMENT

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Collisions involving City vehicles | 41 | 65 | 39 | * | * | 12 | 5 |
| Workplace injuries reported | 198 | 210 | 149 | * | * | 64 | 28 |
| ★ Critical Indicator "NA" Not Available ⬆️⬆️ Directional Target * None | | | | | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------|--------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Completed requests for interpretation | 16,644 | 15,957 | 18,660 | * | * | NA | NA |
| Letters responded to in 14 days (%) | 82% | 88% | 98% | * | * | 95% | 100% |
| E-mails responded to in 14 days (%) | 65% | 99% | 99% | * | * | 99% | 96% |
| Average wait time to speak with a customer service agent (minutes) | 5 | 4 | 1 | * | * | NA | NA |
| CORE facility rating | 100 | NA | 94 | * | * | NA | NA |
| ★ Critical Indicator "NA" Not Available ⬆️⬆️ Directional Target * None | | | | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|-----------|-----------|-----------|---------------------|-------------------|-------------------|----------------|-----------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$2,146.0 | \$2,184.1 | \$2,369.2 | \$2,059.8 | \$2,393.9 | \$2,052.5 | \$1,572.6 | \$1,904.5 |
| Personnel | 2,370 | 2,319 | 2,119 | 2,237 | 2,049 | 2,105 | 2,288 | 2,083 |
| Overtime paid (\$000,000) | \$16.9 | \$17.8 | \$19.9 | \$3.9 | \$6.5 | \$3.9 | \$5.8 | \$5.1 |
| Capital commitments (\$000,000) | \$53.1 | \$47.0 | \$11.0 | \$96.3 | \$63.1 | \$72.2 | \$6.7 | \$2.3 |
| Human services contract budget (\$000,000) | \$1,762.0 | \$1,851.5 | \$2,029.8 | \$1,756.7 | \$1,942.6 | \$1,758.2 | \$740.6 | \$818.0 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|--------------------------------------|--|---|-----------------------------------|
| Personal Services - Total | \$163.6 | \$154.9 | |
| 100 - Shelter Intake and Program | \$144.8 | \$113.0 | All |
| 101 - Administration | \$16.9 | \$35.1 | All |
| 102 - Street Programs | \$1.9 | \$6.7 | 3a |
| Other Than Personal Services - Total | \$2,205.6 | \$2,239.1 | All |
| 200 - Shelter Intake and Program | \$2,205.6 | \$2,117.0 | All |
| 201 - Administration | NA | \$18.4 | All |
| 202 - Street Programs | NA | \$103.6 | 3a |
| Agency Total | \$2,369.2 | \$2,393.9 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available *None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

None.

ADDITIONAL RESOURCES

For additional information go to:

- Stats & Reports:
<http://www1.nyc.gov/site/dhs/about/stats-and-reports.page>
- DHS daily report, including census & intake statistics:
<http://www1.nyc.gov/assets/dhs/downloads/pdf/dailyreport.pdf>
- Fiscal Year 2016 Comprehensive Homeless Services Plan:
<https://www1.nyc.gov/assets/home/downloads/pdf/reports/2016/90-day-homeless-services-review.pdf>
- Turning the Tide on Homelessness in New York City:
<http://www1.nyc.gov/site/dhs/about/tide.page>
- The Journey Home Action Plan to End Long-Term Street Homelessness
<https://www1.nyc.gov/assets/dhs/downloads/pdf/the-journey-home-2019-print-web.pdf>

For more information on the agency, please visit: www.nyc.gov/dhs.

DEPARTMENT FOR THE AGING

Lorraine Cortés-Vázquez, Commissioner



WHAT WE DO

DFTA's mission is to work to eliminate ageism and ensure the dignity and quality-of-life of New York City's diverse older adults, and for the support of their caregivers through service, advocacy, and education. DFTA promotes, administers and coordinates the development and provision of services for older New Yorkers to help them maintain their independence and participation in their communities. Thus far this year, DFTA has served approximately 152,000 older New Yorkers through its in-house and contracted programs. The Department supports a broad range of services, both directly and through more than 400 human service contracts including discretionary contracts, with community-based organizations.

FOCUS ON EQUITY

DFTA aims to connect with the full range of older people in the City based on demographics, immigrant status and other factors, in order to link interested seniors from all backgrounds and with varied demographic characteristics with services and activities that promote their health and well-being. In always seeking to increase equity, DFTA's key guiding principle is to consider all aspects of programming, from budgets to community outreach to matching services with the needs of older people from varied backgrounds and cultures, in light of how decisions regarding these program elements can promote equity. The NYC Department for the Aging and its contracted providers are committed to providing services in the most culturally and linguistically competent manner, so that older adults seeking assistance are supported by the City in which they live. Procurements are an important vehicle to promote equity in various ways. For example, through each solicitation, DFTA is emphasizing the need for respondents to demonstrate conclusively how they will achieve cultural competence among staff related to the population groups in their catchment areas; how they will conduct outreach and marketing efforts to attract the full range of groups to their programs; and the types of programming that they will offer to meet the needs of these groups. Through making such decisions with the equity lens in mind, DFTA is able to ensure that all groups—especially historically under-served ones such as people of color, immigrant groups, and those with limited English—obtain the services they need. DFTA reviews all of its programs and initiatives, such as its recent social isolation and elder abuse media campaigns, through the lens of cultural diversity, anti-ageism and equity. Focusing conscious attention on the needs of under-served groups strengthens services for them, and reviewing data disaggregated to such groups allows DFTA to measure whether intended impacts are being achieved.

OUR SERVICES AND GOALS

SERVICE 1 Provide health and nutrition opportunities to older New Yorkers.

Goal 1a Increase utilization of senior centers.

SERVICE 2 Provide supportive services for seniors.

Goal 2a Increase supportive services to the homebound.

Goal 2b Increase supportive services to caregivers.

HOW WE PERFORMED

- The NYC Department for the Aging’s senior centers provide opportunities for older New Yorkers to access nutrition and health services, recreation, socialization, volunteerism and education. Due to the COVID-19 pandemic, senior centers closed to in-person participation beginning in March 2020. Senior center service providers quickly adapted to engage older New Yorkers with virtual programming. During this period, DFTA funded senior centers and affiliated sites provided services to approximately 108,000 older New Yorkers. The Department will be releasing a Senior Center Request for Proposals (Older Adult Center RFP). In order to prepare for the anticipated increase in older New Yorkers now and into the future, the RFP will consider, among other things, ways to attract a diverse and growing population of older New Yorkers to senior centers, as well as ways to increase and enhance virtual services to senior participants. During this period, 242 sites offered approximately 3,000 virtual programming events to senior center participants.
- DFTA continues to support homebound older New Yorkers through its case management, home care and home delivered meal programs. During the first four months Fiscal 2021, 198,165 hours of case management services were provided by case management providers, a 4.1 percent increase from 190,029 hours provided over the same period last year. The number of older New Yorkers receiving case management services increased 5.5 percent, from 26,370 to 27,898.
- DFTA funded home care services to help functionally impaired older New Yorkers live safely at home. Home care services include assistance with personal care, housekeeping and chores. The number of home care recipients decreased 16.9 percent from 3,227 in the first quarter of Fiscal 2020 to 2,761 homebound older New Yorkers in the first quarter of Fiscal 2021. Similarly, the number of home care hours provided decreased 17.5 percent from 501,513 in the first quarter of Fiscal 2020 to 426,695 in first quarter of Fiscal 2021. Client concerns associated with COVID-19 affected home care participation during the reporting period.
- Eligible homebound older New Yorkers continue to have a choice of daily delivery of hot meals, or twice-weekly delivery of frozen meals. This year home delivered meal recipients and service levels remained stable with 1.6 million home delivered meals served to 23,290 homebound older New Yorkers.
- DFTA’s direct and contracted caregiver programs assist and support New Yorkers who are caring for an older person, as well as grandparents or other older adults who are caring for children. During this period, 3,529 persons received information and/or supportive services through DFTA’s in-house and contracted caregiver programs. Fewer people participated in part due to COVID-19-related shut down of program sites and some were unable to access virtual alternatives. Caregiver services include information about available services, assistance with accessing supportive services and benefits, referrals, counseling, workshops and training support to help caregivers make decisions and solve problems related to care giving.

SERVICE 1 Provide health and nutrition opportunities to older New Yorkers.

Goal 1a Increase utilization of senior centers.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|-----------|--------|--------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Congregate meals served | 7,186,486 | 7,175,638 | 7,616,106 | * | * | 2,577,147 | 0 |
| Average daily attendance at senior centers | 29,201 | 29,726 | 24,249 | 26,342 | 26,342 | 30,400 | 8,229 |
| ★ Senior center services utilization (%) | 97% | 97% | 92% | ↑ | ↑ | NA | NA |
| Persons who participated in senior center meals | 136,529 | 131,146 | 118,673 | * | * | NA | NA |
| ★ Critical Indicator | “NA” Not Available | ↑↓ Directional Target | * None | | | | |

SERVICE 2 Provide supportive services for seniors.

Goal 2a Increase supportive services to the homebound.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------|----------------------|-----------|-----------|----------------|-----------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Home delivered meals served | 4,551,394 | 4,554,828 | 4,663,561 | 4,390,494 | 4,390,494 | 1,570,940 | 1,610,468 |
| Recipients of home delivered meals | 26,873 | 27,065 | 31,023 | * | * | 21,450 | 23,290 |
| ★ Hours of home care services provided | 1,183,813 | 1,396,234 | 1,260,142 | 1,100,000 | 1,100,000 | 501,513 | 426,695 |
| ★ Total recipients of home care services | 3,645 | 3,877 | 3,780 | 3,500 | 3,500 | 3,227 | 2,761 |
| Hours of case management services provided | 543,914 | 545,695 | 570,809 | 530,000 | 530,000 | 190,029 | 198,165 |
| Total recipients of case management services | 33,894 | 34,937 | 40,347 | * | * | 26,370 | 27,898 |
| ★ Critical Indicator | "NA" Not Available | | ⇅ Directional Target | * None | | | |

Goal 2b Increase supportive services to caregivers.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|--------|----------------------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Persons who received information and/or supportive services through DFTA's in-house and contracted caregiver programs | 10,676 | 11,399 | 8,548 | * | * | 4,007 | 3,529 |
| ★ Critical Indicator | "NA" Not Available | | ⇅ Directional Target | * None | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---------------------------------------|--------------------|-------|----------------------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Completed requests for interpretation | 1,242 | 1,473 | 1,647 | * | * | 402 | 1,096 |
| Letters responded to in 14 days (%) | 79.0% | 71.0% | 95.0% | * | * | 88.0% | 100.0% |
| E-mails responded to in 14 days (%) | 99.0% | 96.0% | 97.0% | * | * | 94.0% | 99.0% |
| CORE facility rating | 98 | NA | 100 | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | | ⇅ Directional Target | * None | | | |

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|------|----------------------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Response to 311 Service Requests (SRs) | | | | | | | |
| Percent meeting time to first action - Housing Options (14 days) | 84% | 73% | NA | * | * | 92% | NA |
| Percent meeting time to first action - Home Delivered Meals for Seniors - Missed Delivery (14 days) | 99% | 94% | NA | * | * | NA | 100% |
| Percent meeting time to first action - Elder Abuse (5 days) | 97% | 92% | NA | * | * | NA | 75% |
| Percent meeting time to first action - Alzheimer's Care Information (14 days) | 77% | 74% | NA | * | * | 92% | NA |
| Percent meeting time to first action - Senior Center Complaint (14 days) | 96% | 84% | NA | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | | ⇅ Directional Target | * None | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|--|---------|---------|---------|------------------------|-------------------|-------------------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$366.1 | \$388.2 | \$424.0 | \$412.4 | \$421.5 | \$383.6 | \$260.3 | \$221.8 |
| Revenues (\$000,000) | \$0.5 | \$0.3 | \$1.5 | \$1.0 | \$1.0 | \$1.0 | \$0.6 | \$0.8 |
| Personnel ³ | 658 | 647 | 636 | 689 | 671 | 671 | 629 | 642 |
| Overtime paid (\$000) | \$21 | \$31 | \$41.0 | \$0.0 | \$9.0 | \$0.0 | \$10.0 | \$3.0 |
| Capital commitments (\$000,000) | \$2.5 | \$0.4 | \$7.2 | \$3.2 | \$4.1 | \$7.1 | \$4.4 | \$0.0 |
| Human services contract budget (\$000,000) | \$315.9 | \$338.1 | \$364.2 | \$279.6 | \$310.4 | \$280.0 | \$128.9 | \$140.9 |

¹January 2021 Financial Plan. ²Expenditures include all funds participating in DFTA's Senior Employment (Title V) program. ³'Personnel' includes the full-time equivalent of non-DFTA employees who are older New Yorkers
"NA" - Not Available

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|---|--|---|-----------------------------------|
| Personal Services - Total | \$30.9 | \$32.3 | |
| 001 - Executive and Administrative Management | \$15.1 | \$15.1 | All |
| 002 - Community Programs | \$15.9 | \$17.3 | All |
| Other Than Personal Services - Total | \$393.1 | \$389.1 | |
| 003 - Community Programs | \$391.3 | \$387.2 | All |
| 004 - Executive and Administrative Management | \$1.7 | \$2.0 | All |
| Agency Total | \$424.0 | \$421.5 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available * None

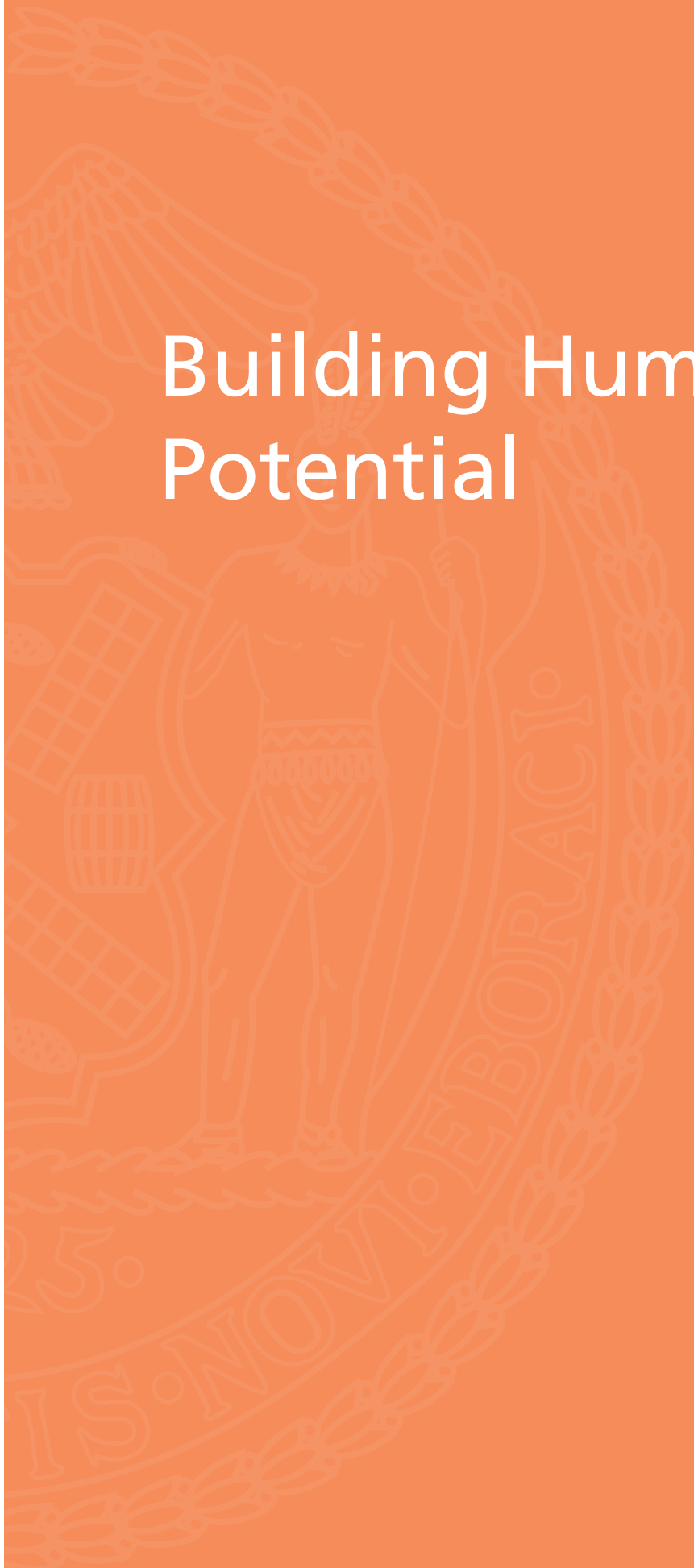
NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- DFTA introduces a new indicator in goal 2a of this report: 'Recipients of home delivered meals.'
- Figures for the first four months of Fiscal 2021 are not available for certain 311 customer service/service level agreement (SLA) indicators. 311 customer service/service level agreement (SLA) reporting will be revised in a future edition of the Mayor's Management Report. The affected indicators are: 'Percent meeting time to first action—Housing Options (14 days),' 'Percent meeting time to first action—Alzheimer's Care Information (14 days)' and 'Percent meeting time to first action—Senior Center Complaint (14 days).'

ADDITIONAL RESOURCES

For more information on the agency, please visit: www.nyc.gov/aging.

Building Human Potential



Building Human Potential



Department of Education

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City University of New York

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School Construction Authority

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Department of Small Business Services

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Department of Youth and Community Development

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Public Libraries

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WHAT WE DO

The Department of Education (DOE) provides primary and secondary education to over one million students, from early childhood to grade 12, in 32 school districts, in over 1,800 schools, and employs approximately 79,000 teachers. DOE prepares students to meet grade level standards in reading, writing and math, and prepares high school students to graduate ready for college and careers. The School Construction Authority (SCA), reported separately, coordinates the development of DOE's Five-Year Capital Plan, selects and acquires sites for new schools, leases buildings for schools and supervises conversion of administrative space for classroom use.

FOCUS ON EQUITY

DOE is committed to putting every student on a path to college and a meaningful career. Equity and Excellence for All is an ambitious agenda and set of goals for New York City schools: by 2026, 86 percent of students will graduate high school on time, and three-fourths of graduates will be college ready. To reach these goals, DOE is focusing on: ensuring a strong foundation for students through its EarlyLearn, 3-K for All, Pre-K for All, and Universal Literacy programs; increasing student access to the courses they need to succeed, including Computer Science for All and AP for All; engaging students and families; and giving students and families additional support through College Access for All, Single Shepherd, and investment in Community Schools. Efforts to create more diverse and inclusive classrooms are also central to this work. Together, the Equity and Excellence for All initiatives are creating a pathway for every student to receive a world-class education and have the opportunity to reach their full potential.

OUR SERVICES AND GOALS

SERVICE 1 Educate New York City's children.

- Goal 1a Improve academic achievement.
- Goal 1b Promote parental involvement in education.

SERVICE 2 Support children with special needs.

- Goal 2a Improve the ability of English Language Learners to learn English and improve academic progress.
- Goal 2b Improve the ability of students with disabilities to progress academically and socially.

SERVICE 3 Prepare children to become productive, engaged adults.

- Goal 3a Increase the percentage of high school graduates enrolling in postsecondary education or training.
- Goal 3b Increase the percentage of elementary, middle and high school students taking coursework that prepares them for future success.

SERVICE 4 Deliver early childhood education services.

- Goal 4a Ensure access to quality early child care services in communities of need and achieve maximum capacity enrollment at all participating centers.

SERVICE 5 Maintain and enhance the City's educational facilities.

- Goal 5a Work with SCA to design, construct, modernize and repair durable, functional and attractive educational facilities, on schedule and within budget.

HOW WE PERFORMED

- During the first four months of the 2020-21 school year, parent engagement indicators continue to show high levels of parent engagement. However a year-to-year comparison shows some differences in numbers because of the circumstances caused by the COVID-19 pandemic and changes in the technology that schools and parent coordinators use to connect with families. Phone calls responded to by parent coordinators or parent engagement designees increased by 84 percent, which can be attributed to the fact that most interaction between schools and parents happens by phone or online during the pandemic. The number of in-person consultations between parents and parent coordinators declined by 77.5 percent, from 457,000 to 103,000 and the number of school-based workshops for parents was reduced from nine to eight. Parent coordinators have mobilized during this crisis to make frequent outreach to families. Other indicators – such as in-person consultation and parent workshops – show declines because most families are not entering the school’s premises and the increased use of other parental engagement options that are not captured by standard activity reports. Mobile engagement apps and online meeting platforms provide ongoing news and support and allow parents to participate virtually and in multiple languages. The Department continues to promote parent engagement during the pandemic. Parent Coordinators have been trained to use technology and coach and support families in remote learning. Additionally, the DOE has held several virtual Family and Student Information Sessions to provide up to date information about back to school, remote and blended learning, testing and tracing, safety and cleaning protocols and mental health supports. Schools and districts continue to provide back-to-school orientations, curriculum nights and ongoing support and training so that families can become actively engaged, involved and empowered to effectively support and advocate for the educational success of their children. In the fall, the Department launched Parent University, a new online platform that offers a centralized catalog of courses, live events, and activities to help connect with families and support students. The platform offers all New York City parents and guardians access to live and on-demand courses and resources across multiple discipline areas and grade bands.
- Substantial year-over-year decreases in the number of students initially recommended for special education services, and students no longer in need of special education services, can be attributed to the ongoing effects of the pandemic. DOE has issued guidance to teachers and clinicians to ensure that students continue to be referred for special education evaluation and identified as in need of special education services when appropriate, without delay, despite only limited resumption of in-person learning. The substantial year-over-year decrease in preschool special education enrollment is attributable to the decrease in children initially recommended for special education services, along with families opting for extension of Early Intervention services.
- The Department began new Family Child Care Network (FCCN) contracts in September 2020 and added 4,000 seats to this setting. Due to COVID-19, many families have been reluctant to return for in-person care; infants and toddlers, who make up a majority of the FCCN population, are not eligible for remote learning because of restrictions in the funding streams. At the same time family recruitment was impacted as many in-person events were limited. The pandemic has also led to some delays in the eligibility determination process for Child Care. Families cannot enroll in FCCN slots funded by Child Care until they are determined eligible, which has contributed to delays in enrollment as well.
- The Department has a long-established collaborative partnership with the NYPD’s School Safety Division, which works to provide a safe and secure learning environment in every school building. DOE’s work with the School Safety Division includes establishing safety protocols and procedures in schools, developing school safety and emergency preparedness plans and maintaining a safe environment for students and staff. In addition, the Department’s Office of Safety and Youth Development works closely with schools to provide a safe, supportive and inclusive environment by investing in and expanding successful school climate programs—including restorative trainings, mental health programs and social-emotional supports. From July-October 2020 when in-person education was offered on a variable basis due to COVID-19, fewer in-school days impacted the counts of in-school safety incidents. The NYPD reported fewer felony school safety incidents as felony incidents declined from 110 to 36. At the same time, incidents in other criminal categories and non-criminal incidents declined from 309 to 45. Non-criminal incidents declined from 981 to 84. New York City is forming a task force to transition school safety agents from the NYPD to DOE over the course of two years.

SERVICE 1 Educate New York City's children.

Goal 1a Improve academic achievement.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|---------|--------|-------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Student enrollment as of October 31 in grades pre-kindergarten to 12 (000) | 1,135.3 | 1,126.5 | 1,132.0 | * | * | 1,126.0 | 1,098.0 |
| Student Enrollment as of October 31 in full day pre-kindergarten | 67,881 | 67,886 | 67,589 | * | * | NA | NA |
| ★ Average daily attendance (%) | 91.4% | 91.5% | 91.8% | 93.4% | 92.8% | 93.2% | NA |
| – Elementary/middle (%) | 93.2% | 93.3% | 93.5% | 95.2% | 94.5% | 95.1% | NA |
| – High school (%) | 87.3% | 87.7% | 88.3% | 89.3% | 89.3% | 89.1% | NA |
| Students with 90% or better attendance rate (%) | 73.2% | 73.5% | 75.4% | 75.2% | 76.4% | 80.1% | NA |
| ★ Students in grades 3 to 8 meeting or exceeding standards - English language arts (%) | 46.7% | 47.4% | NA | 48.7% | 52.8% | NA | NA |
| ★ – Math (%) | 42.7% | 45.6% | NA | 44.7% | 51.7% | NA | NA |
| Students in grades 3 to 8 scoring below standards progressing into a higher level - English language arts (%) | 36.6% | 32.2% | NA | * | * | NA | NA |
| – Math (%) | 23.7% | 27.0% | NA | * | * | NA | NA |
| Students in grades 3 to 8 progressing from below standards to meeting standards - English language arts (%) | 22.8% | 19.2% | NA | * | * | NA | NA |
| – Math (%) | 14.0% | 15.0% | NA | * | * | NA | NA |
| Students in grades 1 to 9 promoted (%) | 97.0% | 97.2% | 97.5% | 98.0% | 98.0% | NA | NA |
| Students in the graduating class taking required Regents examinations (%) | 79.5% | 79.1% | NA | 81.1% | 81.1% | NA | NA |
| Students passing required Regents examinations (%) | 71.5% | 71.3% | NA | 73.3% | 73.3% | NA | NA |
| Students in graduating class with a 65 to 100 passing score on the Regents Examination - English (%) | 82.9% | 83.4% | NA | 85.4% | 85.4% | NA | NA |
| – Math (%) | 78.9% | 79.8% | NA | 81.8% | 81.8% | NA | NA |
| – United States history and government (%) | 72.8% | 71.5% | NA | 73.5% | 73.5% | NA | NA |
| – Global history (%) | 70.2% | 70.1% | NA | 72.1% | 72.1% | NA | NA |
| – Science (%) | 76.6% | 76.3% | NA | 78.3% | 78.3% | NA | NA |
| ★ Students in cohort graduating from high school in 4 years (%) (NYSED) | 75.9% | 77.3% | 78.8% | 80.0% | 81.2% | NA | NA |
| ★ Students in cohort graduating from high school in 6 years (%) (NYSED) | 82.1% | NA | NA | ↑ | ↑ | NA | NA |
| ★ Students in cohort dropping out from high school in 4 years (%) (NYSED) | 7.5% | 7.8% | 5.8% | 6.8% | 5.3% | NA | NA |
| Students in cohort dropping out from high school in 6 years (%) (NYSED) | 12.1% | NA | NA | * | * | NA | NA |
| ★ Average class size - Kindergarten | 21.8 | 21.6 | 21.7 | 20.8 | 21.2 | 21.7 | NA |
| ★ – Grade 1 | 24.2 | 24.3 | 24.0 | 23.2 | 23.5 | 24.0 | NA |
| ★ – Grade 2 | 24.6 | 24.7 | 24.7 | 23.6 | 24.2 | 24.7 | NA |
| ★ – Grade 3 | 25.1 | 25.1 | 24.9 | 24.1 | 24.4 | 24.9 | NA |
| ★ – Grade 4 | 25.6 | 25.6 | 25.5 | 24.6 | 25.0 | 25.5 | NA |
| ★ – Grade 5 | 26.1 | 25.7 | 25.6 | 25.1 | 25.1 | 25.7 | NA |
| ★ – Grade 6 | 26.6 | 26.9 | 26.6 | 25.6 | 26.1 | 26.6 | NA |
| ★ – Grade 7 | 27.2 | 27.2 | 27.3 | 26.2 | 26.8 | 27.4 | NA |
| ★ – Grade 8 | 27.4 | 27.5 | 27.5 | 26.4 | 27.0 | 27.5 | NA |
| ★ Critical Indicator | “NA” Not Available | ↑↓ Directional Target | * None | | | | |

Goal 1b Promote parental involvement in education.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|-------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Phone calls responded to by parent coordinator or parent engagement designee (000) | 7,911 | 9,077 | 8,863 | 5,000 | 5,000 | 2,103 | 3,868 |
| In-person consultations with parents by PC or parent engagement designee (000) | 1,750 | 1,803 | 1,204 | 1,400 | 1,400 | 457 | 103 |
| School-based workshops offered to parents (000) | 43 | 42 | 35 | 37 | 37 | 9 | 8 |
| Parents attending school-based workshops (000) | 1,139 | 1,182 | 864 | 1,037 | 1,037 | 295 | 275 |
| Parents attending Fall and Spring Parent-Teacher Conferences (000) | 1,894 | 1,698 | 1,384 | 1,984 | 1,984 | 330 | 60 |
| ★ Critical Indicator | “NA” Not Available | ↑↓ Directional Target | * None | | | | |

SERVICE 2 Support children with special needs.

Goal 2a Improve the ability of English Language Learners to learn English and improve academic progress.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|-------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Students enrolled as English Language Learners (000) | 159 | 154 | 142 | * | * | NA | NA |
| English Language Learners testing out of ELL Programs (%) | 18.1% | 20.7% | NA | 19.1% | 19.1% | NA | NA |
| ★ English Language Learners testing out of ELL status who did so within 3 years (%) | 50.9% | 48.9% | NA | 51.9% | 51.9% | NA | NA |
| ★ Critical Indicator | “NA” Not Available | ↑↓ Directional Target | * None | | | | |

Goal 2b Improve the ability of students with disabilities to progress academically and socially.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|---------|--------|-------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Students with disabilities in cohort graduating from high school in 4 years (%) (NYSSED) | 50.4% | 52.6% | 52.8% | 53.6% | 53.8% | NA | NA |
| ★ Students with disabilities in cohort graduating from high school in 6 years (%) (NYSSED) | 59.7% | NA | NA | ↑ | ↑ | NA | NA |
| ★ Students with disabilities in cohort dropping out from high school in 4 years (%) (NYSSED) | 12.8% | 13.2% | 8.5% | 12.2% | 8.0% | NA | NA |
| Students with disabilities in cohort dropping out from high school in 6 years (%) (NYSSED) | 20.7% | NA | NA | * | * | NA | NA |
| Students receiving special education services (preliminary unaudited) | 297,314 | 301,860 | 305,429 | * | * | 298,180 | 292,030 |
| Special education enrollment - School-age | 265,769 | 270,358 | 273,966 | * | * | 274,071 | 271,632 |
| – Public school | 216,105 | 218,384 | 220,956 | * | * | 220,028 | 217,854 |
| – Non-public school | 49,664 | 51,974 | 53,010 | * | * | 54,043 | 53,778 |
| Special education enrollment - Pre-school | 31,545 | 31,502 | 31,463 | * | * | 24,109 | 20,398 |
| – Public school | 2,812 | 3,699 | 4,434 | * | * | 3,317 | 2,753 |
| – Non-public school | 28,733 | 27,803 | 27,029 | * | * | 20,792 | 17,645 |
| Students recommended for special education services | 29,899 | 29,284 | 23,117 | * | * | 4,435 | 2,713 |
| Students no longer in need of special education services | 7,238 | 7,303 | 6,914 | * | * | 2,577 | 1,651 |
| ★ Students in special education scoring below standards progressing into a higher level - English Language Arts (%) | 26.1% | 22.5% | NA | 28.1% | 23.5% | NA | NA |
| ★ – Math (%) | 14.8% | 17.2% | NA | 16.8% | 18.2% | NA | NA |
| ★ Critical Indicator | “NA” Not Available | ↑↓ Directional Target | * None | | | | |

SERVICE 3 Prepare children to become productive, engaged adults.

Goal 3a Increase the percentage of high school graduates enrolling in postsecondary education or training.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|-------|--------|-------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Percent of high school cohort taking the SAT at least once in 4 years of high school | 79.5% | 78.4% | NA | 80.0% | 80.0% | NA | NA |
| Percent of high school cohort who graduate ready for college and careers | 50.8% | 54.9% | 57.7% | 57.0% | 58.8% | NA | NA |
| Percent of high school cohort who graduated from high school and enrolled in a college or other post-secondary program within 6 months | 61.8% | 62.8% | NA | 65.4% | 66.6% | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | | | | | * None |

Goal 3b Increase the percentage of elementary, middle and high school students taking coursework that prepares them for future success.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|----------------------|-------|--------|-------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | | | | | * None |
| Percent of high school cohort taking at least 1 AP exam in 4 years of high school | 36.4% | 38.9% | NA | 36.4% | 39.9% | NA | NA |
| Percent of high school cohort passing at least 1 AP exam in 4 years of high school | 19.3% | 21.1% | NA | 21.1% | 22.1% | NA | NA |
| Percent of students who successfully completed approved rigorous courses or assessments | 48.9% | 51.5% | 62.0% | 50.9% | 63.0% | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | | | | | * None |

SERVICE 4 Deliver early childhood education services.

Goal 4a Ensure access to quality early child care services in communities of need and achieve maximum capacity enrollment at all participating centers.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|----------------------|----------|--------|--------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average EarlyLearn contract enrollment | 29,656 | 27,781 | 23,841 | 31,300 | 31,300 | 23,232 | 20,608 |
| EarlyLearn - Fiscal Year Spending per Child based on Average Enrollment in Contract Centers | \$19,261 | \$21,282 | \$19,190 | * | * | NA | NA |
| Average EarlyLearn Utilization - Family child care (%) | 87.7% | 83.0% | 79.0% | 85.0% | 85.0% | 68.8% | 54.0% |
| ★ Average EarlyLearn Utilization - Center-based (%) | 78.5% | 73.3% | 72.0% | 85.0% | 85.0% | 70.8% | 69.0% |
| Average EarlyLearn Utilization (%) | 80.7% | 75.6% | 71.1% | 85.0% | 85.0% | 70.2% | 64.0% |
| ★ EarlyLearn - Average family child care enrollment | 7,545 | 7,137 | 6,798 | 7,500 | 7,500 | 6,772 | 6,085 |
| EarlyLearn - Budget per slot in contract family child care | \$10,191 | \$10,107 | \$9,772 | * | * | NA | NA |
| EarlyLearn - Fiscal year spending per child based on average enrollment in Contract Family Child Care | \$8,826 | \$9,006 | \$10,309 | * | * | NA | NA |
| EarlyLearn - Average center-based enrollment | 22,110 | 20,644 | 17,043 | 23,800 | 23,800 | 16,461 | 15,522 |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | | | | | * None |

SERVICE 5 Maintain and enhance the City's educational facilities.

Goal 5a

Work with SCA to design, construct, modernize and repair durable, functional and attractive educational facilities, on schedule and within budget.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|-------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Schools that exceed capacity - Elementary schools (%) | 54.0% | 49.0% | NA | * | * | NA | NA |
| – Middle schools (%) | 25.0% | 28.0% | NA | * | * | NA | NA |
| – High schools (%) | 35.0% | 35.0% | NA | * | * | NA | NA |
| Students in schools that exceed capacity - Elementary/middle schools (%) | 52.0% | 48.0% | NA | * | * | NA | NA |
| – High schools (%) | 46.0% | 46.0% | NA | * | * | NA | NA |
| Total new seats created | 5,032 | 4,045 | 6,956 | 3,773 | 6,965 | 0 | 0 |
| Hazardous building violations total backlog | 138 | 155 | 110 | * | * | 173 | 96 |
| ★ School building ratings - Good condition (%) | 2.9% | 2.1% | NA | ↑ | ↑ | NA | NA |
| ★ – Fair to good condition (%) | 48.2% | 42.2% | NA | ↑ | ↑ | NA | NA |
| – Fair condition (%) | 48.7% | 55.6% | NA | * | * | NA | NA |
| ★ – Fair to poor condition (%) | 0.2% | 0.1% | NA | ↓ | ↓ | NA | NA |
| – Poor condition (%) | 0.0% | 0.0% | NA | * | * | NA | NA |
| ★ Critical Indicator | “NA” Not Available | ↑↓ Directional Target | * None | | | | |

AGENCY-WIDE MANAGEMENT

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|---------|--------|--------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| ★ School safety - Seven major felony crimes | 466 | 444 | 288 | ↓ | ↓ | 110 | 36 |
| ★ – Other criminal categories | 2,026 | 1,537 | 976 | ↓ | ↓ | 309 | 45 |
| ★ – Other incidents | 5,112 | 4,202 | 2,912 | ↓ | ↓ | 981 | 84 |
| Average lunches served daily | 610,138 | 604,577 | 618,789 | * | * | NA | NA |
| Average breakfasts served daily | 271,601 | 269,459 | 274,354 | * | * | NA | NA |
| Average expenditure per student (\$) | NA | NA | NA | * | * | NA | NA |
| – Elementary school (\$) | NA | NA | NA | * | * | NA | NA |
| – Middle school (\$) | NA | NA | NA | * | * | NA | NA |
| – High school (\$) | NA | NA | NA | * | * | NA | NA |
| – Full-time special education (District 75) (\$) | NA | NA | NA | * | * | NA | NA |
| Teachers | 78,598 | 78,761 | 78,732 | * | * | 78,732 | 77,609 |
| Teachers with 5 or more years teaching experience (%) | 66.5% | 67.3% | 69.3% | * | * | 69.3% | 73.4% |
| Teachers hired to fill projected vacancies (%) | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% | 100.0% |
| Principals with 4 or more years experience as principal (%) | 66.5% | 68.8% | 70.1% | * | * | NA | NA |
| Teachers absent 11 or more days (%) | 14.8% | 13.1% | 7.3% | * | * | NA | NA |
| Collisions involving City vehicles | 54 | 39 | 26 | * | * | 16 | 0 |
| Workplace injuries reported | 3,185 | 3,271 | 2,195 | * | * | 891 | 209 |
| Accidents in schools - students | 45,081 | 44,245 | 33,144 | * | * | 11,944 | 379 |
| Accidents in schools - public | 733 | 735 | 500 | * | * | 215 | 24 |
| ★ Critical Indicator | “NA” Not Available | ↑↓ Directional Target | * None | | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|---------|---------|---------|--------|-------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Completed requests for interpretation | 115,769 | 144,962 | 232,538 | * | * | NA | NA |
| Letters responded to in 14 days (%) | 72% | 69% | 72.7% | 72.3% | 72.3% | NA | NA |
| E-mails responded to in 14 days (%) | 69.5% | 63.4% | 61.7% | 61.1% | 61.1% | NA | NA |
| CORE facility rating | 94 | NA | 96 | 90 | 90 | NA | NA |
| Parents completing the NYC School Survey | 507,180 | 509,298 | NA | * | * | NA | NA |
| Customers rating service good or better (%) (as applicable) | 95% | 96% | NA | 90% | 90% | NA | NA |
| ★ Critical Indicator "NA" Not Available ↑↓ Directional Target * None | | | | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|------------|------------|------------|---------------------|-------------------|-------------------|----------------|------------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$25,144.0 | \$27,066.8 | \$28,066.5 | \$27,560.0 | \$28,956.3 | \$28,481.2 | \$10,859.4 | \$11,013.6 |
| Revenues (\$000,000) | \$54.9 | \$91.2 | \$88.1 | \$52.7 | \$52.7 | \$52.7 | \$19.6 | \$3.7 |
| Personnel | 146,134 | 146,776 | 147,792 | 150,479 | 150,479 | 153,648 | 146,292 | 145,151 |
| Overtime paid (\$000,000) | \$25.8 | \$29.0 | \$22.6 | \$15.3 | \$15.3 | \$15.3 | \$4.9 | \$2.7 |
| Human services contract budget (\$000,000) | \$847.3 | \$875.3 | \$1,377.6 | \$1,319.8 | \$1,370.4 | \$1,348.0 | \$375.1 | \$333.6 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|---|--|---|-----------------------------------|
| Personal Services - Total | \$17,307.0 | \$17,559.9 | |
| 401 - General Ed. Instruction and School Leadership | \$7,086.7 | \$7,106.1 | 1a, 1b, 2a, 2b, 3a, 3b |
| 403 - Special Ed. Instruction and School Leadership | \$2,158.3 | \$2,215.0 | 1a, 1b, 2a, 2b, 3a, 3b |
| 407 - Universal Pre-K | \$666.9 | \$571.0 | 1a, 1b, 2a, 2b |
| 409 - Early Childhood Programs | \$81.8 | \$91.0 | 1a, 1b, 2a, 2b |
| 415 - School Support Organization | \$330.5 | \$288.6 | 1a, 1b, 2b |
| 421 - Citywide Special Ed. Instr. and School Leadership | \$1,345.5 | \$1,257.3 | 1a, 2b |
| 423 - Special Education Instructional Support | \$388.0 | \$387.8 | 1a, 2b |
| 435 - School Facilities | \$184.5 | \$195.0 | 1a, 2b, 4a |
| 439 - School Food Services | \$245.5 | \$236.2 | 1a, 2b |
| 453 - Central Administration | \$246.9 | \$187.8 | All |
| 461 - Fringe Benefits | \$3,696.0 | \$3,962.3 | All |
| 481 - Categorical Programs | \$876.2 | \$1,061.9 | All |
| Other Than Personal Services - Total | \$10,759.6 | \$11,396.4 | |
| 402 - General Ed. Instruction and School Leadership | \$772.1 | \$655.8 | 1a, 1b, 2a, 2b, 3a, 3b |
| 404 - Special Ed. Instruction and School Leadership | \$5.4 | \$5.4 | 1a, 1b, 2a, 2b, 3a, 3b |
| 406 - Charter Schools | \$2,412.9 | \$2,481.4 | All |
| 408 - Universal Pre-K | \$405.6 | \$525.8 | 1a, 1b, 2a, 2b |
| 410 - Early Childhood Programs | \$511.5 | \$508.3 | 1a, 1b, 2a, 2b |
| 416 - School Support Organization | \$31.1 | \$23.4 | 1a, 1b, 2b |
| 422 - Citywide Special Ed. Instr. and School Leadership | \$16.7 | \$23.5 | 1a, 2b |
| 424 - Special Education Instructional Support | \$292.0 | \$300.7 | 1a, 2b |
| 436 - School Facilities | \$1,032.9 | \$1,004.9 | 1a, 2b, 4a |
| 438 - Pupil Transportation | \$1,252.6 | \$1,385.9 | 1a, 2b |
| 440 - School Food Services | \$224.8 | \$352.2 | 1a, 2b |
| 442 - School Safety | \$395.2 | \$427.1 | 1a, 2b |
| 444 - Energy and Leases | \$576.5 | \$633.5 | All |
| 454 - Central Administration | \$159.8 | \$164.5 | All |
| 470 - Special Education Pre-K Contract Payments | \$763.4 | \$864.7 | 1a, 2b |
| 472 - Charter & Contract Schools and Foster Care Placements | \$1,090.8 | \$1,084.3 | All |
| 474 - NPS and FIT Payments | \$77.9 | \$111.6 | All |
| 482 - Categorical Programs | \$738.4 | \$843.4 | All |
| Agency Total | \$28,066.5 | \$28,956.3 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available *None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- Four-month Fiscal 2021 figures are not available for attendance and class size indicators in goal 1a due to COVID-19 restrictions on in-person learning.
- Beginning with Fiscal 2019 data, New York State mandated a new report with differing methodologies in order to standardize reporting of expenses by school across all districts across the State. Under the new guidance, debt service, transportation, school food, and nonpublic school costs are no longer reported in Statewide per pupil expenditures. DOE will be reporting expenditures in this manner from Fiscal 2019 forward. Also, under this new methodology, the DOE's reporting categories have changed. As result, the indicator 'Average direct services to schools expenditure per student (\$)' is no longer a reporting category and will no longer be included beginning with this report.

ADDITIONAL RESOURCES

For additional information, go to:

- Performance data:
<http://schools.nyc.gov/Accountability>
- School Quality report data:
<http://schools.nyc.gov/Accountability/tools/report>
- School survey information and results:
<http://schools.nyc.gov/Accountability/tools/survey>
- School quality review information and reports:
<http://schools.nyc.gov/Accountability/tools/review>

For more information on the agency, please visit: www.nyc.gov/schools.

DEPARTMENT OF EDUCATION

SCHOOL CONSTRUCTION AUTHORITY

Lorraine Grillo, President/Chief Executive Officer



WHAT WE DO

The School Construction Authority (SCA) is the agency accountable for new school construction and major renovations to existing schools. SCA is responsible for all capital planning, budgeting, designing, and construction. SCA manages the development and implementation of the Department of Education's Five-Year Capital Plan, identifies and acquires sites for new schools, leases buildings for schools, designs and constructs new facilities, as well as performing repairs and enhancement of our existing portfolio.

FOCUS ON EQUITY

SCA is committed to designing and constructing safe, attractive, and environmentally sound public schools for children throughout all of the City's communities. SCA has set its priorities, including reducing overcrowding, upgrading schools, and improving access to technology to reflect this commitment. The Fiscal 2020–2024 Capital Plan creates tens of thousands of new seats in areas projected for enrollment growth, directly addressing current and projected overcrowding, and the goal of creating additional high-quality, full-day pre-kindergarten and 3-K seats for neighborhoods throughout the City. Furthermore, the Capital Plan calls for much-needed improvements for aging infrastructure as well as enhancements to ensure more equitable access by all children throughout the five boroughs.

OUR SERVICES AND GOALS

SERVICE 1 Design and construct new schools, additions and capital improvement projects authorized by the Department of Education's Five-Year Capital Plan.

- Goal 1a Produce the number of new school seats authorized by the Department of Education's Five-Year Capital Plan.
- Goal 1b Achieve cost efficiencies in construction.
- Goal 1c Increase the number of capital improvement projects completed on schedule and within budget.
- Goal 1d Ensure project safety and quality.

HOW WE PERFORMED

- During the first four months of Fiscal 2021, the percentage of capital improvement projects constructed within budget decreased by 4 percentage points to 77 percent. The percentage of projects constructed on-time decreased by 45 percentage points to 13 percent. On-time performance decreased due to the SCA pause caused by COVID-19.

SERVICE 1 Design and construct new schools, additions and capital improvement projects authorized by the Department of Education's Five-Year Capital Plan.

Goal 1a Produce the number of new school seats authorized by the Department of Education's Five-Year Capital Plan.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|-------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Total new seats created | 5,032 | 4,045 | 6,956 | 3,773 | 6,965 | 0 | 0 |
| ★ New schools and additions constructed | 15 | 18 | 21 | 11 | 17 | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 1b Achieve cost efficiencies in construction.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|---------|--------|-------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Construction bid price for school capacity projects per square foot (\$) | \$745 | \$792 | \$817 | \$800 | \$800 | NA | NA |
| Average new school construction cost per square foot - Early childhood (\$) | NA | NA | NA | * | * | NA | NA |
| - Elementary (\$) | \$737 | \$825 | \$718 | * | * | NA | NA |
| - Intermediate (\$) | NA | NA | NA | * | * | NA | NA |
| - High school (\$) | NA | NA | \$1,039 | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 1c Increase the number of capital improvement projects completed on schedule and within budget.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|--------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| New schools and additions - construction funds committed as a percent of initial authorized budget (%) | 92.1% | 91.8% | 91.9% | 100.0% | 100.0% | NA | NA |
| ★ Scheduled new seats constructed on time (%) | 100% | 100% | 99% | 100% | 100% | NA | NA |
| ★ Capital improvement projects constructed on time or early (%) | 65% | 54% | 47% | 80% | 80% | 58% | 13% |
| ★ Capital improvement projects constructed within budget (%) | 76% | 89% | 80% | 80% | 80% | 81% | 77% |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 1d Ensure project safety and quality.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Ultimate cost of insurance losses as % of construction value (per calendar year) | 5.44% | 6.76% | NA | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|-----------|-----------|-----------|------------------------|-------------------|-------------------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Personnel | 809 | 848 | 859 | 899 | 899 | 899 | 855 | 855 |
| Capital commitments (\$000,000) | \$3,544.3 | \$3,925.7 | \$1,791.0 | \$3,221.1 | \$4,625.2 | \$4,635.6 | \$475.9 | \$302.3 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- SCA set new Fiscal 2021 and Fiscal 2022 targets for three indicators: 'New schools and additions constructed,' 'Total new seats created' and 'Construction bid price for school capacity projects per square foot (\$).'

ADDITIONAL RESOURCES

For more information on the agency, please visit: www.nycsca.org.

DEPARTMENT OF YOUTH AND COMMUNITY DEVELOPMENT

Bill Chong, Commissioner



WHAT WE DO

The Department of Youth and Community Development (DYCD) funds a network of community-based programs to alleviate the effects of poverty and provide opportunities for New Yorkers and communities to flourish. DYCD's diverse range of programs includes services to help low-income individuals and families become more self-sufficient, literacy programs that help adults and adolescents further their education and advance their careers and programs that assist immigrants. DYCD's afterschool programs, known as COMPASS NYC (Comprehensive After-School System of NYC), offer school-age youth a mix of recreational activities, arts and cultural experiences, academic support and physical fitness programs when school is out. As part of the City's broader commitment to providing free afterschool programs to all middle school students, SONYC (School's Out NYC), a component of COMPASS, provides opportunities for more than 70,000 young people in grades six to eight, including justice involved youth and young people living in Department of Homeless Services' family shelters. DYCD also oversees the City's portfolio of services for runaway and homeless youth and the City's youth workforce development system, known as Workforce Connect, providing summer employment and year-round services to introduce youth and young adults to the job market and help them develop the skills to succeed. The Department supports 185 community centers, including Beacon community centers in public schools and Cornerstone community centers in New York City Housing Authority (NYCHA) developments which serve youth, adults and families.

FOCUS ON EQUITY

DYCD prioritizes investments in programs that aim to eliminate disparities in economic opportunity and well-being among New Yorkers and improve quality of life for all residents. During the current administration, DYCD achievements include a significant expansion in programs for young people, NYCHA residents, and runaway and homeless youth, including those who identify as transgender or non-binary. In order to continue to broaden access and heighten awareness of services, DYCD is improving protocols and systems used to assess community needs, enroll participants and track results, as well as supporting the expansion of provider networks and partnerships with City agencies to offer individuals and families pathways to holistic services. Most recently, DYCD incorporated an intersectional focus on equity into all its work, joining in the City's efforts to identify and remove barriers to opportunity based upon race, gender and sexual orientation. As an example, in Fiscal 2020 DYCD increased its focus on civic engagement programming as part of a broader effort to empower youth and communities.

OUR SERVICES AND GOALS

SERVICE 1 Support youth development throughout New York City through the implementation, funding and management of contracts with nonprofit service providers.

- Goal 1a Maximize resources to support the involvement of young people in DYCD-funded programs and direct them toward positive outcomes.
- Goal 1b Runaway and homeless youth will reunite with their families or live independently.

SERVICE 2 Increase youth capacity for economic independence through programs that provide work-related education, skills training and employment opportunities.

- Goal 2a Young people will complete DYCD-funded training and employment programs at high levels.
- Goal 2b Young people engaged in DYCD-funded training and employment programs will achieve success targeted by these programs.

SERVICE 3 Support programs that provide participants with the services needed to increase and tap their capacity to strengthen and revitalize the communities of New York City.

- Goal 3a Maximize participation in and effectiveness of community antipoverty initiatives for youth, adults and seniors in lower income neighborhoods, including Neighborhood Development Area (NDA) and Mayor's Office for Economic Opportunity (NYC Opportunity) programs.
- Goal 3b Maximize participation and success in programs improving English literacy skills among adults, adolescents, children and recent immigrants.
- Goal 3c Maximize the number of New York City immigrants receiving services that improve language and employment skills that help families successfully integrate into their new communities.

HOW WE PERFORMED

- After suspension in the spring in response to COVID-19 health and safety concerns, summer enrichment program funding for in-person services was partially restored. However, many COMPASS, Beacon and Cornerstone providers were closed due to staff limitations and ongoing health and safety concerns of families. In comparison to prior summers, few programs fully met target enrollment for the summer.
- As a result of the pandemic and delayed school openings, COMPASS programs modified after school service delivery, beginning engagement with young people through remote activities. In late September, providers began shifting to in-person services as schools re-opened for blended learning and pivoted back to remote activities as temporary classroom or building closures were implemented. These factors impacted providers' ability to outreach to new students and families, impacting enrollment timelines during the months of September and October.
- In DYCD's Runaway and Homeless Youth (RHY) portfolio, the number of youth served through Transitional Independent Living (TIL) support programs rose to 693 at the end of the Fiscal 2021 four-month period, an increase of seven percent over the 646 youth served over the corresponding period last year. Fewer young people accessed Crisis Services programs in this period compared with Fiscal 2020, leading to a reduction in youth served and utilization rate. Unplanned discharges may have been impacted by the uncertainty youth experienced as a result of COVID-19.
- Recruitment and enrollment for English literacy programs continue to be negatively impacted by COVID-19. Programs have adapted to include completing the application and assessment process remotely, which poses a challenge to applicants who experience digital difficulties. Enrollment during the summer months was especially affected as more programs opted to use this time to prepare staff for delivering services on-line rather than start their contracted services early and potential enrollees juggled work, family and childcare responsibilities.
- After initial suspension in response to COVID-19 health and safety concerns, the Summer Youth Employment Program (SYEP) was partially restored for the summer of Fiscal 2021 with the launch of SYEP Summer Bridge 2020. This engaging virtual program offered youth the opportunity to learn new skills, explore potential careers and earn money this summer. All program activities including enrollment, document verification, orientation and a work-themed learning experience took place remotely. Over 35,000 youth participated in SYEP Summer Bridge, exploring new interests and career pathways via online curriculum on a new digital platform designed by Hats & Ladders, and participated in project-based learning on topics such as post-COVID-19 economic recovery and civic engagement. Older youth participants, ages 16 to 24, worked in teams with nearly 1,000 organizations to hone their work readiness skills, make connections with professionals and tackle a Workplace Challenge.

SERVICE 1 Support youth development throughout New York City through the implementation, funding and management of contracts with nonprofit service providers.

Goal 1a

Maximize resources to support the involvement of young people in DYCD-funded programs and direct them toward positive outcomes.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|---------|---------|---------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Number of young people involved in DYCD-funded programs | 337,199 | 337,599 | 339,963 | * | * | NA | NA |
| Comprehensive After School System of NYC (COMPASS NYC) enrollment | 126,203 | 122,390 | 122,575 | 110,000 | 110,000 | 109,636 | 69,484 |
| ★ COMPASS NYC programs meeting target enrollment (school year) (%) | 96% | 96% | 93% | 85% | 85% | 87% | 41% |
| ★ COMPASS NYC programs meeting target enrollment - SONYC/middle school (school year) (%) | 95% | 95% | 94% | 85% | 85% | 85% | 44% |
| ★ COMPASS NYC programs meeting target enrollment - elementary (school year) (%) | 99% | 98% | 92% | 90% | 90% | 90% | 39% |
| ★ COMPASS NYC programs meeting target enrollment (summer) (%) | 73% | 75% | 83% | 80% | 80% | 78% | 8% |
| Beacon programs enrollment as a percentage of the annual target (%) | 100% | 100% | 100% | 100% | 100% | 64% | 14% |
| Beacon programs active | 91 | 91 | 91 | * | * | NA | NA |
| Youth served in Beacon programs | 76,872 | 74,142 | 92,692 | * | * | NA | NA |
| Adults served in Beacon programs | 63,273 | 46,708 | 85,927 | * | * | NA | NA |
| Cornerstone programs enrollment as a percentage of the annual target (%) | 100% | 100% | 100% | 100% | 100% | 100% | 41% |
| Cornerstone programs active | 94 | 94 | 94 | * | * | NA | NA |
| Youth served in Cornerstone programs | 20,856 | 25,831 | 19,976 | * | * | NA | NA |
| Adults served in Cornerstone programs | 5,253 | 4,426 | 5,594 | * | * | NA | NA |
| Calls to Youth Connect | 46,496 | 52,309 | NA | 50,000 | 50,000 | 13,174 | NA |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | | * None | | | |

Goal 1b

Runaway and homeless youth will reunite with their families or live independently.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|-------|--------|-------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Youth and young adults reunited with family or placed in a suitable environment from Crisis Services Programs (%) | 73% | 75% | 65% | 75% | 75% | 69% | 56% |
| Youth and young adults reunited with family or placed in a suitable environment from Transitional Independent Living (TIL) Support Programs (%) | 84% | 83% | 88% | 85% | 85% | 83% | 89% |
| Residential beds for runaway or homeless youth and homeless young adults | 557 | 674 | 778 | * | * | 753 | 778 |
| Runaway and homeless youth and homeless young adults served - Crisis Services Programs | 2,267 | 2,084 | 2,191 | 2,400 | 2,400 | 971 | 883 |
| Runaway and homeless youth and homeless young adults served - Transitional Independent Living (TIL) Support Programs | 837 | 986 | 1,247 | 800 | 800 | 646 | 693 |
| Utilization rate for Crisis Services Programs (%) | 90% | 92% | 84% | 90% | 90% | 88% | 67% |
| Utilization rate for Transitional Independent Living (TIL) Support Programs (%) | 89% | 91% | 84% | 90% | 90% | 81% | 76% |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | | * None | | | |

SERVICE 2 Increase youth capacity for economic independence through programs that provide work-related education, skills training and employment opportunities.

Goal 2a Young people will complete DYCD-funded training and employment programs at high levels.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|----------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Summer Youth Employment Program (SYEP) participants | 69,716 | 74,354 | 74,453 | * | * | 74,453 | 35,198 |
| Number of Summer Youth Employment Program contracts | 98 | 98 | 162 | * | * | NA | NA |
| Value of Summer Youth Employment Program contracts (\$000) | \$26,642 | \$32,188 | \$29,348 | * | * | NA | NA |
| Participants in WIOA-funded Train & Earn (Out-of-School Youth) program | 1,687 | 1,562 | 1,197 | * | * | NA | NA |
| Participants in WIOA-funded Learn & Earn (In-School Youth) program | 1,638 | 1,583 | 1,565 | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | * None | | | | |

Goal 2b Young people engaged in DYCD-funded training and employment programs will achieve success targeted by these programs.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Youth who are out-of-school, attend a DYCD-funded training or employment program, and are placed in post-secondary education, employment, or advanced training in the 2nd quarter after exiting the program (%) | 48% | 66% | NA | 71% | 71% | NA | NA |
| Youth who attend a training program while in school and are placed in post-secondary education, employment, or advanced training during the 2nd quarter after exiting the program (%) | 75% | 86% | NA | 71% | 71% | NA | NA |
| Youth who are out-of-school, attend a DYCD-funded training or employment program, and attain a recognized postsecondary credential or a secondary school diploma, or its recognized equivalent, during participation | 69% | 80% | NA | 63% | 63% | NA | NA |
| Youth who attend a DYCD-funded training program while in school, and attain a recognized post-secondary credential or a secondary school diploma, or its recognized equivalent, during participation in or within | 74% | 76% | NA | 63% | 63% | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | * None | | | | |

SERVICE 3 Support programs that provide participants with the services needed to increase and tap their capacity to strengthen and revitalize the communities of New York City.

Goal 3a Maximize participation in and effectiveness of community antipoverty initiatives for youth, adults and seniors in lower income neighborhoods, including Neighborhood Development Area (NDA) and Mayor's Office for Economic Opportunity (NYC Opportunity) programs.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Community anti-poverty program participants achieving target outcomes designated for clients in each program area (%) | 68% | 70% | 75% | 65% | 65% | 34% | 33% |
| Participants in community anti-poverty programs | 13,366 | 13,122 | 13,741 | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | * None | | | | |

Goal 3b Maximize participation and success in programs improving English literacy skills among adults, adolescents, children and recent immigrants.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|----------------------|--------|--------|--------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Participants in DYCD-funded English literacy programs | 10,792 | 14,033 | 15,631 | 15,305 | 15,305 | 8,146 | 3,540 |
| ★ Participants in DYCD-funded English literacy programs meeting standards of improvement in their ability to read, write, and speak English (%) | 54% | 56% | 42% | 55% | 55% | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | * None | | | | |

Goal 3c

Maximize the number of New York City immigrants receiving services that improve language and employment skills that help families successfully integrate into their new communities.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|-------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Participants achieving positive outcomes in immigrant services programs (%) | 63% | 61% | 63% | 60% | 60% | NA | NA |
| Participants in immigrant services programs | 3,111 | 3,081 | 1,403 | 1,563 | 1,563 | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

AGENCY-WIDE MANAGEMENT

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|-----------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Contracts terminated | 42 | 23 | 16 | 0 | 0 | 0 | 8 |
| ★ Agency assessments completed as a percent of total agency contracts (%) | 69% | NA | NA | 70% | 70% | NA | NA |
| Fiscal audits conducted | 343 | 318 | 308 | 234 | 234 | 0 | 0 |
| Expenditure report reviews | 24,078 | 29,658 | 30,283 | * | * | NA | NA |
| ★ Programmatic reviews/contract monitoring | 18,609 | 20,656 | 16,698 | * | * | NA | NA |
| Agency assessments completed | 1,219 | NA | NA | * | * | NA | NA |
| Contracts funded | 3,228 | 3,346 | 3,293 | * | * | NA | NA |
| Value of agency contracts (\$000) | \$647,923 | \$690,623 | \$726,876 | * | * | NA | NA |
| Value of intracity agreements (\$000) | \$7,115 | \$8,651 | \$8,586 | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Completed customer requests for interpretation | 1,222 | 884 | NA | * | * | 166 | 8 |
| Letters responded to in 14 days (%) | 100% | 100% | 100% | * | * | 100% | 100% |
| E-mails responded to in 14 days (%) | 100% | 100% | 100% | * | * | 100% | 100% |
| Calls answered in 30 seconds (%) | 51% | 50% | NA | * | * | 28% | NA |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|---------|---------|---------|---------------------|-------------------|-------------------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$809.3 | \$872.0 | \$955.2 | \$792.8 | \$885.7 | \$745.4 | \$646.0 | \$488.9 |
| Personnel | 532 | 544 | 573 | 575 | 543 | 516 | 540 | 547 |
| Overtime paid (\$000) | \$83.0 | \$60.0 | \$45.0 | \$154.0 | \$154.0 | \$154.0 | \$7.0 | \$11.0 |
| Human services contract budget (\$000,000) | \$618.2 | \$659.6 | \$700.9 | \$664.6 | \$754.6 | \$592.2 | \$236.2 | \$156.2 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|---|--|---|-----------------------------------|
| Personal Services - Total | \$47.2 | \$43.3 | |
| 002 - Executive and Administrative | \$23.1 | \$22.1 | All |
| 105 - Youth Workforce and Career Training | NA | \$2.7 | 2a, 2b |
| 311 - Program Services | \$20.9 | \$18.6 | All |
| Other Than Personal Services - Total | \$908.0 | \$842.4 | |
| 005 - Community Development | \$125.3 | \$85.3 | 3a, 3b, 3c |
| 106 - Youth Workforce and Career Training | \$0.0 | \$81.3 | 2a, 2b |
| 312 - Other than Personal Services | \$782.7 | \$675.8 | All |
| Agency Total | \$955.2 | \$885.7 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available *None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- Targets for Goal 2b have been updated based on the requirements of this federally funded program.
- Targets for English literacy programs and immigrant services programs have been updated based on current funding levels.
- Fiscal 2018, Fiscal 2019, and Fiscal 2020 data for 'Contracts terminated' were updated to include contracts withdrawn at the request of the provider.
- Fiscal 2018, Fiscal 2019, and Fiscal 2020 data for 'Contracts funded' were updated to reflect additional contracts awarded late in the fiscal year.
- Data collection for Youth Connect was disrupted because of staff displacement during COVID-19.

ADDITIONAL RESOURCES

For additional information, go to:

- Reports and Plans: <https://www1.nyc.gov/site/dycd/about/news-and-media/reports-plans.page>

For more information on the agency, please visit: www.nyc.gov/dycd.

PUBLIC LIBRARIES

Susan Marcinek, Chair — Brooklyn Public Library System

Evan R. Chesler, Chair — New York Public Library System

Haeda Mihaltses, Chair — Queens Borough Public Library System



WHAT WE DO

Library services are provided through three independent systems: the Brooklyn Public Library, the New York Public Library and the Queens Borough Public Library. These systems operate 217 local library branches throughout the City and four research library centers in Manhattan. The libraries offer free and open access to books, periodicals, electronic resources, mobile and streaming technology and non-print materials. Reference and career services, internet access, and educational, cultural and recreational programming for adults, young adults and children are also provided. The libraries' collections include 377 electronic databases and more than 65 million books, periodicals and other circulating and reference items. The library systems now offer these programs, services, and resources virtually as the libraries quickly shifted to a permanently-expanded online presence at the outset of the pandemic. Since the beginning of the COVID-19 outbreak, the three library systems have also worked closely with the Administration to offer vital services to City residents, such as conducting 2020 Census outreach, and serving as sites for Health + Hospitals COVID-19 Test & Trace, Department of Education Learning Labs and Board of Elections polling locations for early voting, Primary and Election Day.

FOCUS ON EQUITY

The Brooklyn Public Library (BPL), New York Public Library (NYPL) and Queens Borough Public Library (QPL) have continued to prioritize equitable service delivery to patrons and communities impacted by the pandemic, while ensuring the health and safety of staff and patrons. The library systems have maintained this vision while formulating and implementing their reopening plans, and building upon their vast digital collections, programs and services.

With an expanded online presence, the libraries have ensured access to information, resources and programs for all New Yorkers through webinars, classes, book clubs, live tutoring and career/financial counseling that support schools and job-seekers, among others in the local communities. For students of all ages, the libraries partnered with Brainfuse, an online tutoring company, to make free one-on-one tutoring in English and Spanish available. For job-seekers, all three library systems provided online job training courses, one-on-one career counseling and coaching for interviews and templates for resumes, cover letters and emails. Many courses are specifically geared toward the development of professional skill-sets such as advanced proficiency within the Microsoft Office suite, coding, and website development. Brooklyn, New York and Queens Borough Public Libraries also provided key virtual resources on health and wellness, food security and housing/tenant rights to patrons and communities adversely affected by the coronavirus outbreak. The value of this swift adjustment to online platforms to our patrons was evidenced by a significant increase in digital library card sign-ups as well as views of our educational resources, among other indicators.

Amid this expanded virtual presence, New York City's library systems remained mindful of the digital divide. In addition to offering robust online Summer Reading programs, libraries distributed thousands of reading materials and books to children in underserved neighborhoods throughout the City in partnership with tenant associations, elected officials, the Department of Education and community-based organizations. During closure, branches within all three systems maintained their Wi-Fi networks, which allowed patrons to access the internet outside libraries to obtain valuable unemployment information, apply to jobs and complete distance learning assignments. The libraries also remain a valuable partner to the City on its internet master plan through expanding Wi-Fi zones, providing loaner devices with internet access and continuing hotspot programs for homes without connectivity.

Black Lives Matter protests across New York City offered an opportunity for the libraries to reaffirm their commitment to social equity and fighting ignorance by expanding their online collections on Black heritage, Black liberation and anti-racism.

BROOKLYN PUBLIC LIBRARY

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|-----------|--------|-------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average weekly scheduled hours | 49.3 | 49.3 | 49.3 | * | * | 49.3 | 34.5 |
| Libraries open seven days per week (%) | 8% | 8% | 8% | * | * | 8% | 0% |
| Libraries open six days per week (%) | 100% | 100% | 100% | * | * | 100% | 60% |
| ★ Circulation (000) | 13,733 | 12,911 | 8,745 | 3,000 | 3,000 | 3,787 | 1,265 |
| Reference queries (000) | 3,801 | 4,242 | 2,081 | * | * | 1,045 | 5 |
| Electronic visits to website (000) | 9,346 | 10,972 | 9,046 | 2,500 | 2,500 | 798 | 2,385 |
| Computers for public use | 2,602 | 2,911 | 2,911 | * | * | 2,602 | NA |
| Computer sessions (000) | 1,763 | 1,598 | 2,037 | * | * | 528 | 0 |
| Wireless sessions | NA | 1,539,252 | 1,280,827 | * | * | 566,506 | 164,271 |
| Program sessions | 69,248 | 72,840 | 49,339 | * | * | 23,399 | 3,292 |
| ★ Program attendance | 1,097,001 | 1,124,229 | 815,756 | * | * | 362,349 | 351,510 |
| ★ Library card holders (000) | 1,687 | 1,905 | 1,310 | 1,500 | 1,500 | NA | NA |
| Active library cards (000) | 638 | 784 | 802 | * | * | 648 | 825 |
| New library card registrations | 127,222 | 134,257 | 115,908 | * | * | 49,589 | 22,706 |
| Total library attendance (000) | 7,943 | 7,874 | 5,290 | * | * | 2,662 | 206 |
| ★ Critical Indicator | "NA" Not Available | ⇅ Directional Target | * None | | | | |

NEW YORK PUBLIC LIBRARY — BRANCH

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|-----------|--------|--------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average weekly scheduled hours | 50.0 | 49.0 | 49.9 | * | * | 49.9 | 40.1 |
| Libraries open seven days per week (%) | 8% | 8% | 8% | * | * | 8% | 0% |
| Libraries open six days per week (%) | 100% | 100% | 100% | * | * | 100% | 60% |
| ★ Circulation (000) | 23,984 | 21,330 | 15,333 | 6,800 | 6,800 | 6,306 | 2,904 |
| Reference queries (000) | 8,661 | 8,024 | 5,577 | * | * | 2,847 | 0 |
| Electronic visits to website (000) | 26,948 | 29,158 | 27,300 | 18,000 | 18,000 | 9,840 | 6,527 |
| Computers for public use | 4,875 | 5,027 | 4,796 | * | * | 5,027 | 4,340 |
| Computer sessions (000) | 2,862 | 2,619 | 1,653 | * | * | 831 | 0 |
| Wireless sessions | 3,248,300 | 3,048,042 | 2,043,409 | * | * | 1,044,298 | 89,149 |
| Program sessions | 110,390 | 103,402 | 73,564 | * | * | 34,045 | 5,311 |
| ★ Program attendance | 1,976,390 | 1,901,180 | 1,354,537 | * | * | 626,916 | 86,458 |
| ★ Library card holders (000) | 2,229 | 2,458 | 2,430 | 2,400 | 2,400 | NA | NA |
| Active library cards (000) | 1,289 | 912 | 730 | * | * | 930 | 1,020 |
| New library card registrations | 296,419 | 357,107 | 273,175 | * | * | 114,169 | 39,338 |
| ★ Total library attendance (000) | 12,736 | 11,799 | 7,843 | * | * | 4,004 | 395 |
| ★ Critical Indicator | "NA" Not Available | ⇅ Directional Target | * None | | | | |

NEW YORK PUBLIC LIBRARY — RESEARCH

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|---------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average weekly scheduled hours | 53.3 | 52.3 | 52.3 | * | * | 52.3 | 0.0 |
| Libraries open seven days per week (%) | 25% | 25% | 25% | * | * | 25% | 0% |
| Libraries open six days per week (%) | 100% | 100% | 100% | * | * | 100% | 0% |
| Reference queries (000) | 521 | 521 | 298 | * | * | 151 | 19 |
| ★ Program attendance | 102,481 | 127,131 | 184,897 | * | * | 37,970 | 43,099 |
| ★ Total library attendance (000) | 4,146 | 4,594 | 3,338 | * | * | 1,689 | 0 |
| Program sessions | 2,885 | 3,037 | 2,128 | * | * | 796 | 461 |
| ★ Critical Indicator | "NA" Not Available | ⇅ Directional Target | * None | | | | |

QUEENS BOROUGH PUBLIC LIBRARY

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|-----------|--------|-------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average weekly scheduled hours | 46.0 | 45.1 | 45.1 | * | * | 45.4 | 32.3 |
| Libraries open seven days per week (%) | 3% | 3% | 3% | * | * | 6% | 0% |
| Libraries open six days per week (%) | 100% | 100% | 100% | * | * | 100% | 35% |
| ★ Circulation (000) | 12,413 | 11,545 | 8,351 | 3,000 | 3,000 | 3,795 | 926 |
| Reference queries (000) | 2,894 | 2,923 | 2,085 | * | * | 1,045 | 54 |
| Electronic visits to website (000) | 7,347 | 6,144 | 4,441 | 2,500 | 2,500 | 2,022 | 822 |
| Computers for public use | 7,741 | 6,879 | 6,522 | * | * | 6,550 | NA |
| Computer sessions (000) | 2,908 | 2,730 | 1,873 | * | * | 934 | 0 |
| Wireless sessions | 480,078 | 459,014 | 509,978 | * | * | 181,475 | 152,603 |
| Program sessions | 87,532 | 87,599 | 58,156 | * | * | 26,171 | 3,433 |
| ★ Program attendance | 1,516,283 | 1,650,644 | 1,140,041 | * | * | 555,372 | 56,868 |
| ★ Library card holders (000) | 1,484 | 1,573 | 1,475 | 1,500 | 1,500 | NA | NA |
| Active library cards (000) | 795 | 778 | 929 | * | * | 767 | 934 |
| New library card registrations | 110,070 | 90,052 | 64,555 | * | * | 32,316 | 4,578 |
| Total library attendance (000) | 11,411 | 10,875 | 7,414 | * | * | 3,737 | 278 |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | | * None | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|---------|---------|---------|---------------------|-------------------|-------------------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$382.4 | \$402.0 | \$431.4 | \$426.6 | \$428.0 | \$403.2 | \$307.6 | \$269.6 |
| Personnel | 4,002 | 3,888 | 3,900 | 4,252 | 4,006 | 4,069 | 3,937 | 3,875 |
| Capital commitments (\$000,000) | \$236.0 | \$146.5 | \$33.6 | \$178.1 | \$220.0 | \$95.1 | \$12.7 | \$7.6 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Agency expenditures and planned resources by budgetary unit of appropriation.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) |
|--|--|---|
| Brooklyn Public Library, 001 - Lump Sum Appropriation (OTPS) ¹ | \$119.3 | \$117.7 |
| New York Public Library - Branch, Agency Total ¹ | \$157.4 | \$157.9 |
| 003 - Lump Sum - Borough of Manhattan (OTPS) | \$25.4 | \$25.3 |
| 004 - Lump Sum - Borough of the Bronx (OTPS) | \$24.0 | \$24.0 |
| 005 - Lump Sum - Borough of Staten Island (OTPS) | \$10.1 | \$10.1 |
| 006 - Systemwide Services (OTPS) | \$96.6 | \$97.2 |
| 007 - Consultant and Advisory Services (OTPS) | \$1.4 | \$1.4 |
| New York Public Library - Research, 001 - Lump Sum Appropriation (OTPS) ¹ | \$31.0 | \$30.6 |
| Queens Public Library, 001 - Lump Sum Appropriation (OTPS) ¹ | \$123.7 | \$121.7 |
| ¹ These figures are limited to the City's contribution and planned contribution respectively. ² Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ³ Includes all funds "NA" Not Available *None | | |

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- The Public Libraries temporarily closed all of their branch and research center locations beginning on Saturday, March 14 to mitigate the spread of COVID-19. On July 13, the library systems began a limited reopening, starting with 22 branches across all systems providing Grab-and-Go in-person service; in the following months, this number grew to 120.
- The Library's future reopening plans and ability to establish targets for its service is significantly compromised by the unpredictable nature of the COVID-19 crisis; for example, on November 16, the Library rolled back Phase 2 of its reopening plan (which was set to expand in-person services) due to rising infection rates; other branches on Staten Island have been closed entirely due to their area's designation as an Orange Zone. For 10 indicators in each library system, there are not targets for Fiscal 2021.
- The library systems have each projected updated targets for Fiscal 2021 for three indicators: 'Circulation (000),' 'Electronic visits to website (000)' and 'Library card holders (000).'
- The indicator 'Average weekly scheduled hours' has been revised. This indicator is calculated by the total amount of scheduled public service hours at all open libraries/branches divided by the number of open locations.
- The libraries did not offer any in-person programs during closure, but instead transitioned to offering virtual programs for their patrons. The indicators 'Program sessions' and 'Program attendance' include live online program attendance during closure. As the libraries moved their programming to the virtual environment, they were careful about which platforms to use, keeping in mind a variety of issues including patron privacy, which has affected Fiscal 2021 program attendance figures.
 - BPL additionally includes the total views of recorded sessions for the first two days after the live program session occurred.
 - NYPL additionally includes the total views of recorded programs for all programs that were created and posted during the reporting period.
 - QPL does not include any additional views of recorded content or views of prerecorded content, which would increase numbers dramatically.
- The NYPL Research Library, because it could not offer in-person service, maintained and expanded digital services such as research database access. Since closure and through October 31 the NYPL Research Library has recorded 400,000 database sessions by its patrons.

ADDITIONAL RESOURCES

For more information on these libraries, please visit:

- Brooklyn Public Library: www.bklynlibrary.org.
- New York Public Library: www.nypl.org.
- Queens Borough Public Library: www.queenslibrary.org.

CITY UNIVERSITY OF NEW YORK

Felix V. Matos Rodriguez, Chancellor



WHAT WE DO

The City University of New York (CUNY) provides higher education to more than 271,000 degree and non-degree seeking students and offers adult and continuing education with over 228,000 course registrations. CUNY consists of 25 institutions: eleven senior colleges, seven community colleges, and seven graduate, honors and professional schools offering more than 40 doctoral programs. CUNY enrolls students in 1,900 academic programs and has approximately 7,300 full-time faculty and 12,000 part-time faculty. In the academic year 2019–2020, CUNY granted 9,600 graduate and professional degrees, 27,300 baccalaureate degrees, 18,900 associate degrees, 340 certificates and 1,100 advanced certificates.

FOCUS ON EQUITY

The City University of New York is of vital importance for the upward mobility of the people of New York City. Six of CUNY's senior colleges and six community colleges are among the top 10 nationwide in promoting social mobility, moving lower-income students into the middle class and beyond with excellent jobs. CUNY offers all levels of training, from certificate programs to doctoral degrees, and an unprecedented number of students currently take advantage of this opportunity to obtain an excellent and affordable education. CUNY serves the diverse people of New York City; 35 percent of CUNY students were born outside the US mainland, over 50 percent report an annual household income of less than \$30,000 and two in three undergraduate students attend tuition-free. Last spring, over 57,000 new CUNY graduates entered the workforce or began work on more advanced degrees. In the key areas of Science, Technology, Engineering and Mathematics (STEM), the Mayor's critical multi-year investment in CUNY's community colleges will enable thousands of students to earn STEM degrees and enter New York City's vibrant high-tech sector.

With funding from the City, CUNY has expanded its highly successful Accelerated Study in Associate Programs (ASAP) initiative from 4,000 students in 2014-15, to 25,000 students each academic year. ASAP has more than doubled associate degree completion rates for participating students, aiming to graduate at least 50 percent of students in three years. ASAP is now considered a national model, having received the distinguished 2020 Innovations in American Government Award from the Center for Democratic Governance and Innovation at Harvard University's John F. Kennedy School of Government. In the academic year 2019–20, CUNY ASAP enrolled 25,623 (12,242 new) students and has served over 59,000 students since inception in 2007. Consistent with the Mayor's investment in STEM success, ASAP expansion has an explicit focus on serving more STEM majors and a campus-wide expansion at Bronx Community College that guides all eligible incoming first-time, full-time freshmen into ASAP.

ASAP students are diverse and representative of the larger population of CUNY associate degree seeking students with 44 percent Hispanic, 33 percent Black, 12 percent Asian/Pacific Islander and 11 percent White. Over 86 percent of ASAP students receive federal Pell and/or New York State Tuition Assistance Program grants. ASAP students in all of these groups have three-year graduation rates of close to or above 50 percent. In addition, ASAP serves as an important entry point to CUNY's senior colleges with close to 60 percent of students transferring to a baccalaureate program within six years of entering ASAP.

HOW WE PERFORMED

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|----------|--------|--------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ CUNY courses offered partly or totally online (%) | 9.7% | 10.7% | 12.1% | 8.0% | 8.0% | NA | NA |
| Instructional full-time equivalents (FTEs) taught by full-time faculty (%) - Senior Colleges | 39.2% | 39.0% | 38.2% | * | * | NA | NA |
| Instructional full-time equivalents (FTEs) taught by full-time faculty (%) - Community Colleges | 52.8% | 51.8% | 50.8% | * | * | NA | NA |
| Student/faculty ratio - Overall | 29:1 | 29:1 | 27:1 | * | * | NA | NA |
| Student/faculty ratio - Community Colleges | 32:1 | 32:1 | 31:1 | * | * | NA | NA |
| Student/faculty ratio - Senior Colleges | 28:1 | 28:1 | 26:1 | * | * | NA | NA |
| Number of full-time faculty employed by CUNY community colleges | 2,284 | 2,309 | 2,143 | * | * | NA | NA |
| Number of associate degrees awarded at community colleges | 14,675 | 15,390 | 15,927 | * | * | NA | NA |
| Students earning Grade C or better in Freshman Composition Courses (%) | 83.8% | 83.6% | 82.6% | * | * | NA | NA |
| Students earning Grade C or better in Math Gateway Courses (%) | 69.3% | 69.0% | 66.3% | * | * | NA | NA |
| ★ One-year (fall-to-fall) retention rate of full-time first-time freshmen enrolled in CUNY associate degree programs | 66.4% | 62.6% | 62.6% | 68.0% | 68.0% | NA | NA |
| ★ One-year (fall-to-fall) retention rate of full-time first-time freshmen enrolled in CUNY baccalaureate degree programs | 86.5% | 85.1% | 84.4% | 88.0% | 88.0% | NA | NA |
| ★ Three-year systemwide graduation rate (%) - CUNY Accelerated Study in Associate Programs (ASAP) students | 54.6% | 52.5% | 46.7% | 50.0% | 50.0% | NA | NA |
| Six-year systemwide graduation rate (%) - community college students in STEM disciplines | 31.2% | 35.5% | 35.1% | 36.0% | 36.0% | NA | NA |
| ★ Six-year systemwide graduation rate (%) - CUNY associate degree students | 33.1% | 36.1% | 37.2% | 37.0% | 37.0% | NA | NA |
| ★ Six-year systemwide graduation rate (%) - CUNY baccalaureate students | 56.6% | 58.9% | 60.4% | 60.0% | 60.0% | NA | NA |
| Students passing the National Council Licensure Examination for Registered Nurse (%) | 86.5% | 90.1% | 90.2% | * | * | NA | NA |
| ★ CUNY associate degree recipients who transfer to a CUNY baccalaureate program within one year (%) | 54.9% | 54.9% | 54.8% | 56.0% | 56.0% | NA | NA |
| CUNY community college certificate and associate graduates from career and technical education programs who are employed six months after graduation (%) | 78.8% | 80.3% | 74.6% | * | * | NA | NA |
| CUNY community college certificate and associate graduates from career and technical education programs who are employed or continuing their education six months after graduation (%) | 92.3% | 93.8% | 94.4% | * | * | NA | NA |
| High school students participating in college preparation program (College Now) | 32,900 | 33,181 | 31,971 | * | * | NA | NA |
| Total headcount enrollment | 274,099 | 274,906 | 271,242 | * | * | NA | NA |
| Total full-time equivalent enrollment (FTEs) | 205,860 | 206,950 | 204,395 | * | * | NA | NA |
| Total headcount enrollment at CUNY community colleges | 95,951 | 95,073 | 91,715 | * | * | NA | NA |
| ★ Enrollment in STEM disciplines at CUNY community colleges | 15,186 | 14,811 | 14,216 | 15,000 | 15,000 | NA | NA |
| Total students served in CUNY Accelerated Study in Associate Programs (ASAP) | 21,514 | 25,507 | 25,269 | * | * | NA | NA |
| Enrollment of first-time freshmen in CUNY community colleges | 18,098 | 18,512 | 18,615 | * | * | NA | NA |
| Enrollment of first-time freshmen in CUNY senior colleges | 20,064 | 21,148 | 21,907 | * | * | NA | NA |
| Enrollment of first-time freshmen in CUNY community colleges who are recent graduates of NYC public high schools | 13,344 | 12,916 | 13,350 | * | * | NA | NA |
| Annual tuition at CUNY community colleges (full-time NYS resident) | \$4,800 | \$4,800 | \$4,800 | * | * | NA | NA |
| Annual tuition at CUNY senior colleges (full-time NYS resident) | \$6,730 | \$6,930 | \$6,930 | * | * | NA | NA |
| Expenditures per student (full-time equivalent) at CUNY community colleges | \$14,950 | \$15,620 | \$16,664 | * | * | NA | NA |
| Percentage of CUNY community college students receiving federal financial aid (Pell) (%) | 63.4% | 61.4% | 61.7% | * | * | NA | NA |
| Percentage of community college students receiving Tuition Assistance Program (TAP) grants (%) | 36.6% | 34.8% | 33.5% | * | * | NA | NA |
| ★ Critical Indicator | “NA” Not Available | ↕ Directional Target | * None | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|-----------|-----------|-----------|------------------------|-------------------|-------------------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$1,199.1 | \$1,252.1 | \$1,255.1 | \$1,213.0 | \$1,320.8 | \$1,170.0 | \$336.2 | \$314.2 |
| Revenues (\$000,000) | \$387.2 | \$379.0 | \$365.5 | \$415.3 | \$415.3 | \$415.3 | \$61.8 | \$48.1 |
| Personnel | 9,414 | 9,385 | 8,314 | 10,286 | 10,287 | 10,111 | 10,281 | 8,776 |
| Overtime paid (\$000,000) | \$8.0 | \$7.8 | \$5.2 | \$3.6 | \$3.8 | \$3.6 | \$1.9 | \$0.5 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Agency expenditures and planned resources by budgetary unit of appropriation.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) |
|--|--|---|
| Personal Services - Total | \$863.1 | \$879.6 |
| 002 - Community College | \$841.7 | \$861.4 |
| 004 - Hunter Schools | \$21.4 | \$18.2 |
| Other Than Personal Services - Total | \$392.0 | \$441.3 |
| 001 - Community College | \$391.1 | \$404.9 |
| 003 - Hunter Schools | \$0.9 | \$1.4 |
| 012 - Senior College | \$0.0 | \$35.0 |
| Agency Total ³ | \$1,255.1 | \$1,320.8 |
| ¹ Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ² Includes all funds. ³ Refer to agency goals listed at front of chapter. "NA" Not Available * None | | |

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

None.

ADDITIONAL RESOURCES

For additional information, go to:

- Office of Institutional Research performance reports:
www.cuny.edu/about/administration/offices/oira/institutional/data/current-student-data-book-by-subject/#Accountability

For more information on the agency, please visit: www.cuny.edu.

DEPARTMENT OF SMALL BUSINESS SERVICES

Jonnell Doris, Commissioner



WHAT WE DO

The Department of Small Business Services (SBS) makes it easier for businesses in New York City to start, operate and grow by providing direct assistance to business owners, fostering neighborhood development in commercial districts and linking employers to a skilled and qualified workforce. SBS runs the City's NYC Business Solutions Centers, Industrial Business Solutions Providers and Workforce1 Career Centers; provides grants and services to support the growth of local community and economic development organizations throughout the City, oversees the largest network of Business Improvements Districts (BIDs) in the country; and administers the Minority and Women-owned Business Enterprise (M/WBE) Program.

FOCUS ON EQUITY

Equity and opportunity are at the core of SBS' work, and the key values of collaboration, innovation, and adaptability are woven into all it does. Collaborating with the community to design programs and services that directly address their needs; recommending bold and innovative solutions; adapting to a changing world. These values lay the foundation for the department's three pillars—good jobs, stronger businesses and thriving neighborhoods. SBS is committed to ensuring economic security for all New Yorkers by providing a wide range of services that help businesses, jobseekers and communities throughout the five boroughs.

Through business programs such as Women Entrepreneurs NYC (WENYC), the agency has committed to providing customized services to 5,000 women entrepreneurs in underserved communities. As part of the City's Black entrepreneurship initiative (BE NYC), in late 2019 and early 2020 SBS engaged more than 1,500 business leaders, advocates, and community members around the question of strengthening and supporting Black entrepreneurship in NYC. As part of its efforts to close the racial wealth gap the agency also oversees certification and capacity building services for Minority and Women-owned Business Enterprises (M/WBE). To date, SBS has certified over 10,000 M/WBEs through Fiscal 2020, more than doubling the certified pool of M/WBEs in less than three years, achieving a goal set by Mayor de Blasio in 2016.

SBS is investing in the future of New York City's workforce and equipping jobseekers with the skills they need to build careers in the 21st century economy. SBS trains New Yorkers for good-paying jobs and links jobseekers to employment in fast-growing industries with opportunities for advancement, and has developed targeted services for immigrants, out of school, out of work youth and people formerly acquainted with the criminal justice system.

OUR SERVICES AND GOALS

SERVICE 1 Help businesses start, operate and expand in New York City.

- Goal 1a Ensure that businesses and entrepreneurs have easy access to a variety of high quality support services.
- Goal 1b Retain jobs and businesses in New York City by administering incentive programs for facility renovation and promoting retention of NYC businesses and relocation of businesses to NYC.

SERVICE 2 Match businesses in need of workers with qualified applicants.

- Goal 2a Ensure that businesses have timely access to qualified job applicants.

SERVICE 3 Provide financial support and technical assistance for New York City's commercial districts throughout the five boroughs.

- Goal 3a Strengthen and expand New York City's Business Improvement District (BID) program and other local economic development organizations.

SERVICE 4 Help minority and women-owned businesses identify and compete for City contracts.

- Goal 4a Increase the number of Minority and Women-owned Business Enterprises (M/WBEs) that obtain City contracts.

HOW WE PERFORMED

- The Division of Business Services (DBS) manages the free services that help businesses start, operate, and expand in New York City. In the first four months of Fiscal 2021, SBS served 6,230 unique customers and businesses across the five boroughs. Compared to the same period in Fiscal 2020, the number of unique businesses served and the number of unique businesses served by programs that help navigate government changed minimally. These numbers do not include the 23,745 calls received and responded to during the first four months of Fiscal 2021 on the newly established hotline to help businesses impacted by COVID-19. The number of businesses opened with assistance from SBS decreased by 60 percent due to COVID-19 and fewer businesses opening their doors. The number of financial awards and dollar value decreased by 15 percent and 36 percent respectively, compared to the same period in Fiscal 2020. The decrease is due to the lack of federal stimulus funding combined with a changed lending environment as a result of the COVID-19 pandemic.
- In the first four months of Fiscal 2021, the Energy Cost Savings Program (ECSP) approved 16 projects for businesses with a total of 1,068 jobs—an increase of 70 percent compared to the same period in Fiscal 2020. This increase is due to the approval of larger businesses compared to the first four months of Fiscal 2020. The \$266,170 in savings to businesses participating in ECSP is also slightly higher, compared to the same period in the prior year, due to slightly higher energy usage by the businesses that had been approved. The Lower Manhattan Energy Program (LMEP) is currently in the phase-out period for the majority of buildings receiving benefits. The decrease in cumulative LMEP benefits reflects buildings coming off-line after completing their respective 12-year benefit schedule.
- The Workforce1 Career Center system served 36,513 jobseekers exclusively online or over the phone. Workforce1 made 4,730 connections to jobs with an average wage of \$16.88 per hour. This reduction in connections to jobs compared to the same period last year is due to COVID-19. In addition, some training providers have had challenges switching to virtual training and as a result SBS has observed a decline in trainings. In August 2020, SBS launched Career Discovery NYC, a website to help New Yorkers discover, explore, prepare and train for an in-demand career and will continue to open access to training for New Yorkers.
- After achieving over 10,000 Minority and Women-owned Business Enterprises by Fiscal 2020, the program certified and recertified 862 M/WBEs during the first four months of Fiscal 2021, for a total of 10,234 certified M/WBEs in the program, an 8 percent increase from the same point in the previous year.

SERVICE 1 Help businesses start, operate and expand in New York City.

Goal 1a Ensure that businesses and entrepreneurs have easy access to a variety of high quality support services.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------|-----------------------|--------|------|----------------|----------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Unique customers and businesses served | 19,842 | 21,069 | 22,460 | * | * | 6,289 | 6,230 |
| ★ Unique businesses receiving financial awards (facilitated or disbursed) | 825 | 977 | 4,525 | 470 | 470 | NA | NA |
| ★ Financial awards to businesses (facilitated or disbursed) | 1,074 | 1,186 | 4,750 | 540 | 540 | 336 | 284 |
| Value of financial awards to businesses (facilitated or disbursed) (\$000) | \$54,234 | \$76,152 | \$122,610 | * | * | \$21,766 | \$13,825 |
| ★ Businesses opened with assistance from SBS | 537 | 529 | 376 | ↑ | ↑ | 136 | 55 |
| Projected number of hires by businesses opened with assistance from SBS | 5,204 | 4,355 | 3,463 | * | * | 1,426 | 377 |
| Unique customers served by programs that help navigate government | 5,230 | 5,176 | 2,771 | * | * | 1,317 | 1,344 |
| ★ Critical Indicator | "NA" Not Available | | ↑↓ Directional Target | * None | | | |

Goal 1b

Retain jobs and businesses in New York City by administering incentive programs for facility renovation and promoting retention of NYC businesses and relocation of businesses to NYC.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|---------|---------|---------|--------|------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Value of Energy Cost Savings Program savings for businesses (\$000) | \$678 | \$816 | \$1,276 | * | * | \$231 | \$266 |
| Jobs created or retained by Energy Cost Savings Program | 3,403 | 2,446 | 3,191 | * | * | 625 | 1,068 |
| Value of Lower Manhattan Energy Program savings for active commercial tenants (cumulative) (\$000) | \$6,105 | \$5,069 | \$4,893 | * | * | \$2,067 | \$2,324 |
| Commercial tenants active in Lower Manhattan Energy Program | 463 | 321 | 276 | * | * | 295 | 276 |
| ★ Critical Indicator "NA" Not Available ⬆️⬇️ Directional Target * None | | | | | | | |

SERVICE 2 Match businesses in need of workers with qualified applicants.

Goal 2a

Ensure that businesses have timely access to qualified job applicants.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|---------|---------|---------|--------|--------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Workforce1 systemwide job placements and promotions | 25,534 | 27,367 | 26,204 | 25,000 | 25,000 | 10,126 | 4,730 |
| New jobseekers registered through the Workforce1 Career Center system | 52,285 | 52,028 | 44,208 | * | * | 17,714 | 9,265 |
| Walk-in traffic at Workforce1 Centers | 275,137 | 260,219 | 240,175 | * | * | 89,152 | 84,198 |
| ★ Customers enrolled in training | 3,756 | 2,195 | 2,123 | ⬆️ | ⬆️ | 840 | 500 |
| Unique customers served | 102,357 | 100,677 | 93,944 | * | * | 43,002 | 36,513 |
| ★ Businesses awarded funding for employer-based training | 15 | 30 | 12 | * | * | 4 | 2 |
| ★ Critical Indicator "NA" Not Available ⬆️⬇️ Directional Target * None | | | | | | | |

SERVICE 3 Provide financial support and technical assistance for New York City's commercial districts throughout the five boroughs.

Goal 3a

Strengthen and expand New York City's Business Improvement District (BID) program and other local economic development organizations.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------|--------|--------|--------|-------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ City block faces receiving supplemental sanitation services through BIDs | 4,065 | 4,108 | 4,325 | 3,800 | 3,800 | 4,325 | 4,325 |
| ★ Average acceptably clean BID sidewalk ratings (%) | 98.4% | NA | 98.2% | 97.0% | 97.0% | NA | 94.1% |
| Value of AvenueNYC local development corporations funding (\$000,000) | \$1.45 | \$1.71 | \$1.30 | * | * | NA | NA |
| ★ Critical Indicator "NA" Not Available ⬆️⬇️ Directional Target * None | | | | | | | |

SERVICE 4 Help minority and women-owned businesses identify and compete for City contracts.

Goal 4a

Increase the number of Minority and Women-owned Business Enterprises (M/WBEs) that obtain City contracts.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------|--------|--------|--------|-------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Total Minority and Women-owned Business Enterprises certified | 6,829 | 9,063 | 10,034 | 9,000 | 9,000 | 9,475 | 10,234 |
| ★ Minority and Women-owned Business Enterprises awarded City contracts | 1,396 | 1,528 | 1,539 | 1,223 | 1,223 | NA | NA |
| ★ M/WBEs awarded contracts after receiving procurement and capacity building assistance | 976 | 1,022 | 1,056 | 891 | 891 | NA | NA |
| ★ Annual M/WBE recertification rate | 79.6% | 101.0% | 62.6% | 60.0% | 60.0% | NA | NA |
| Newly certified and recertified businesses in M/WBE Program | 2,770 | 3,281 | 2,436 | * | * | 774 | 862 |
| ★ Critical Indicator "NA" Not Available ⬆️⬇️ Directional Target * None | | | | | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------|-------|-------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | 93 | NA | 97 | * | * | NA | NA |
| CORE customer experience rating (0-100) | 93 | NA | 97 | * | * | NA | NA |
| Letters responded to in 14 days (%) | 100% | 100% | 100% | * | * | 100% | 100% |
| E-mails responded to in 14 days (%) | 100% | 100% | 100% | * | * | 100% | 100% |
| Completed customer requests for interpretation | 7,259 | 8,251 | 4,133 | * | * | 2,896 | 1,971 |
| ★ Critical Indicator "NA" Not Available ⬆️⬆️ Directional Target * None | | | | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|---------|---------|---------|---------------------|-------------------|-------------------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$267.2 | \$244.5 | \$340.1 | \$180.3 | \$284.3 | \$152.8 | \$120.3 | \$107.5 |
| Revenues (\$000,000) | \$0.4 | \$30.4 | \$0.2 | \$13.1 | \$0.2 | \$0.2 | \$0.1 | \$0.1 |
| Personnel | 304 | 307 | 309 | 345 | 332 | 339 | 303 | 301 |
| Overtime paid (\$000) | \$57.0 | \$53.0 | \$205.0 | \$65.0 | \$65.0 | \$65.0 | \$14.0 | \$7.0 |
| Human services contract budget (\$000,000) | \$32.9 | \$31.9 | \$33.5 | \$21.2 | \$49.9 | \$21.3 | \$1.7 | \$3.7 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|--|--|---|-----------------------------------|
| Personal Services - Total | \$26.2 | \$28.0 | |
| 001 - Department of Business | \$16.5 | \$17.3 | All |
| 004 - Contract Compliance and Bus. Opportunity | \$3.6 | \$3.9 | 1a, 1b, 2a, 4a |
| 010 - Workforce Investment Act | \$6.1 | \$6.7 | 1a, 4a |
| Other Than Personal Services - Total | \$313.9 | \$256.4 | |
| 002 - Department of Business | \$55.8 | \$22.0 | All |
| 005 - Contract Compliance and Bus. Opportunity | \$4.9 | \$4.4 | 1a, 1b, 2a, 4a |
| 006 - Economic Development Corporation | \$115.1 | \$114.4 | Refer to table in EDC chapter |
| 011 - Workforce Investment Act | \$101.6 | \$79.2 | 1a, 4a |
| 012 - Trust for Gov.'s Island and NYC & Co. | \$36.5 | \$36.5 | 1b |
| Agency Total | \$340.1 | \$284.3 | |
| ¹ Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ² Includes all funds. ³ Refer to agency goals listed at front of chapter. "NA" Not Available * None | | | |

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

None.

ADDITIONAL RESOURCES

For more information on the agency, please visit: www.nyc.gov/sbs.

DEPARTMENT OF VETERANS' SERVICES

James Hendon (Lt. Col.), Commissioner



WHAT WE DO

The Department of Veterans' Services (DVS) connects, mobilizes, and empowers New York City's Veteran community in order to foster purpose-driven lives for U.S. Military Service Members—past and present—in addition to their caregivers, survivors, and families. DVS works with City, state and federal agencies, as well as regional private and not-for-profit partners, to improve the lives of all New York City Veterans and those close to them. The Department ensures that homeless Veterans have permanent housing and access to the support services needed to find and maintain their homes; expands education and career opportunities for Veterans; and provides the human and technological infrastructure for Veterans and their families to gain citywide access to benefits, resources and care through the nation's leading coordinated service network.

FOCUS ON EQUITY

DVS strives to connect with New York City Veterans regardless of discharge status and branch of service in the U.S. Armed Forces, including the Reserves and/or National Guard. DVS serves as a critical hub for Veterans' advancement by informing our Veteran community of resources that exist, serving as a bridge to those resources when needed, and occupying roles that the local government can uniquely fill when gaps in Veterans' services appear in the private, not-for-profit, federal and state realms. DVS recognizes and honors Veterans of all protected classes in the City of New York, as the diversity of our City informs and reflects the diversity of our Veteran community. Further, the Department serves family members, caregivers and survivors, recognizing their essential role in Veteran health and well-being.

OUR SERVICES AND GOALS

SERVICE 1 Provide supportive services to Veterans and their families.

Goal 1a Mitigate and prevent homelessness for Veterans.

SERVICE 2 Assist Veterans and their families with accessing eligible resources.

Goal 2a Ensure Veterans have information about and are connected with appropriate resources.

HOW WE PERFORMED

- In Fiscal 2021 DVS secured housing for 38 homeless Veteran households through the Veteran Peer Coordinator (VPC) program, our peer-to-peer service model focused on Veterans helping homeless Veterans to navigate the challenging process of finding housing in New York City. Despite working remotely, our VPCs continued to engage Veterans, community partners and other agencies to work towards ending Veteran homelessness. In the first quarter of Fiscal 2021, housing viewings and interviews were a combination of virtual and in-person appointments for our Veterans to limit close, in-person interactions. Examples of virtual appointments include sharing videos of available units to prospective Veteran tenants and coordinating telephone and / or video-call interviews between management companies and Veteran applicants.
- The number of Veterans who received aftercare prevention assistance from DVS decreased by 24 percent during the first four months of Fiscal 2021 when compared to the same period in Fiscal 2020. The decrease in homelessness prevention assistance can be attributed to the public health and economic impacts of the COVID-19 pandemic. The New York State and Centers for Disease Control-imposed eviction moratoria have temporarily moderated the frequency and volume with which New York City Veterans face immediate housing insecurity. As such, three out of four of our internal metrics convey a decrease compared to the last fiscal year. Housing re-certifications are the outlier. The decrease in Veterans housed also means that fewer Veterans are receiving aftercare services as well.
- The COVID-19 pandemic has changed every facet of life, including the way that government engages with the public. DVS transitioned from operating specified Veteran resource centers throughout the City to increasing its online or virtual presence. Historically, the agency's Veteran engagement metrics were closely related to outreach activities at community events across the five boroughs. During July, August, September and October of 2020, DVS continued to perform its outreach through remote means by making almost 7,200 wellness check calls through its Mission: VetCheck initiative. As placed calls were answered, Mission: VetCheck ultimately enabled DVS to actively engage with 1,041 Veterans and their families. During the first four months of Fiscal 2021, DVS engaged a total of 1,106 Veterans, Servicemembers and family members, a decrease of about 58 percent compared to the same period last year.
- The COVID-19 pandemic has made it more critical than ever before to ensure that New York City's Veteran community takes care of one another. Mission: VetCheck is an ongoing initiative that endeavors to this day to bridge the social isolation gaps that have been generated by the pandemic. Veteran and non-Veteran volunteer callers provide our constituents with vital information about essential public services, COVID-19 resources and testing locations and online mental health support assistance. DVS Constituent Services receives service requests across various issue categories, including, but not limited to: housing insecurity, VA claims assistance and benefits navigation, food insecurity, and employment assistance. During the first four months of Fiscal 2021, DVS assisted 443 Veterans, a decrease of around 69 percent from the same period during Fiscal 2020. Compared to the same period in Fiscal 2020, the aforementioned categories comprised a larger share of all assistance requests. Essentially, the COVID-19 pandemic negatively affected the volume of assistance requests received but increased the percentage of those requests related to housing insecurity, VA claims assistance, employment assistance, or food insecurity.

SERVICE 1 Provide supportive services to Veterans and their families.

Goal 1a Mitigate and prevent homelessness for Veterans.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | | |
|--|--------------------|-----------------------|------|--------|------|----------------|------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 | |
| ★ Homeless Veterans and their families who received housing through DVS Veteran Peer Coordinator program | 169 | 158 | 184 | * | * | 91 | 38 | |
| ★ Veterans and their families receiving homelessness prevention assistance from DVS | 466 | 438 | 455 | * | * | 176 | 133 | |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | | | | | | * None |

SERVICE 2 Assist Veterans and their families with accessing eligible resources.

Goal 2a Ensure Veterans have information about and are connected with appropriate resources.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | | |
|--|--------------------|-----------------------|-------|--------|------|----------------|-------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 | |
| Veterans and their families engaged by DVS | 12,099 | 12,896 | 7,084 | * | * | 2,638 | 1,106 | |
| ★ Veterans and their families given assistance to access resources | 3,230 | 3,087 | 2,715 | * | * | 1,450 | 443 | |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | | | | | | * None |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|--------|--------|--------|---------------------|-------------------|-------------------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$3.6 | \$4.1 | \$5.0 | \$6.5 | \$6.1 | \$6.2 | \$2.3 | \$1.7 |
| Personnel | 35 | 38 | 41 | 44 | 39 | 44 | 43 | 40 |
| Overtime paid (\$000) | \$23.0 | \$29.0 | \$25.0 | \$0.0 | \$0.0 | \$0.0 | \$6.0 | \$2.0 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|------------------------------------|--|---|-----------------------------------|
| 001 - Personal Services | \$3.9 | \$3.9 | All |
| 002 - Other Than Personal Services | \$1.1 | \$2.2 | All |
| Agency Total | \$5.0 | \$6.1 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available * None

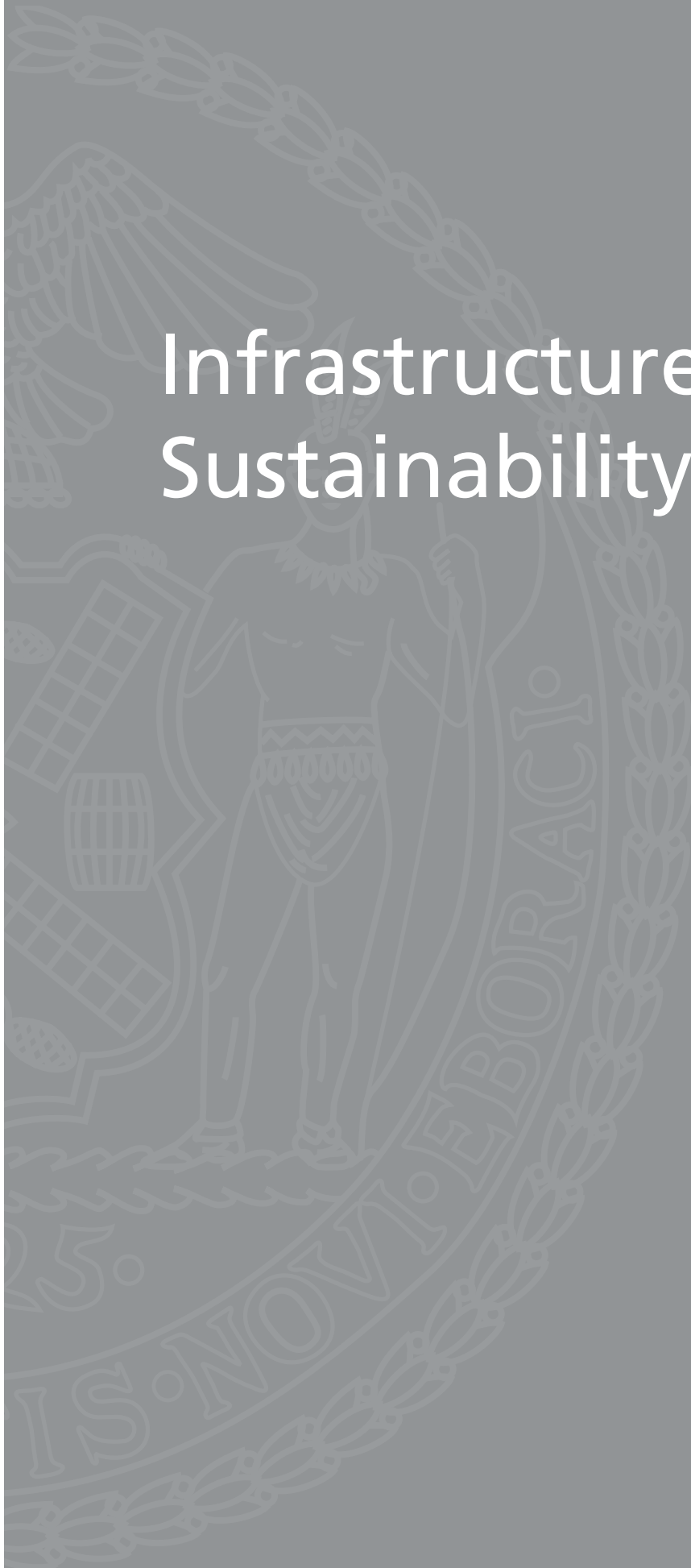
NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

None.

ADDITIONAL RESOURCES

For more information on the agency, please visit: www.nyc.gov/veterans.

Infrastructure and Sustainability



Infrastructure and Sustainability

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DEPARTMENT OF ENVIRONMENTAL PROTECTION

Vincent Sapienza, Commissioner

WHAT WE DO

The Department of Environmental Protection (DEP) protects public health and the environment by supplying clean drinking water, collecting and treating wastewater, and reducing air, noise and hazardous materials pollution. The Department manages the City's water supply, which provides more than one billion gallons of high quality drinking water daily to more than half the population of New York State. It builds and maintains the City's water distribution network, fire hydrants, storm and sanitary sewage collection systems and Bluebelt and green infrastructure systems, and manages 14 in-City water resource recovery facilities as well as seven water resource recovery facilities in the upstate watershed. DEP also implements federal Clean Water Act rules and regulations, handles hazardous materials emergencies and toxic site remediation, oversees asbestos monitoring and removal, enforces the City's air and noise codes, bills and collects on approximately 836,000 water and sewer accounts and manages citywide water conservation programs.

FOCUS ON EQUITY

The Department of Environmental Protection has the critical mission to enrich the environment and protect public health for all New Yorkers by providing high quality drinking water, managing wastewater and stormwater, and reducing air, noise, and hazardous materials pollution. In July, 2015 DEP announced a new series of programs to provide additional assistance to its most vulnerable customers. The City froze the minimum charge, preventing any increase in water and sewer charges for many single-family homeowners and undertook a major expansion of the Home Water Assistance Program (HWAP), a billing program that provides a credit to low income homeowners who qualify for the federal Home Energy Assistance Program. In 2016, the Department undertook a further expansion of the HWAP credit to include additional low-income senior and disabled homeowners who receive a New York City Department of Finance property tax exemption. Then, in Fiscal 2018, DEP implemented the Multifamily Water Assistance Program (MWAP), which provides a bill credit to multifamily buildings that conserve water and enter into an agreement to keep rents affordable. In Fiscal Year 2021, DEP continues both the freeze of the minimum charge and the income-tested HWAP credit. In addition, the system has for many years offered a bill amnesty program, in which high water charges that are attributable to leaks that are fixed receive a partial reduction in charges. The Department's two major bill credit programs together provide assistance to almost 90,000 households each year, covering approximately 237,000 New Yorkers, including both renters and owner-occupants.

OUR SERVICES AND GOALS

SERVICE 1 Ensure the sufficiency, quality and security of the City's drinking water supply.

- Goal 1a Comply with all federal and State drinking water quality standards.
- Goal 1b Assure the integrity of the drinking water supply and distribution systems.

SERVICE 2 Maintain the City's water delivery and sewer collection systems.

- Goal 2a Resolve emergencies and perform preventive maintenance and required repairs to the water distribution and wastewater collection systems in a timely manner.

SERVICE 3 Treat wastewater and sewage to protect water quality in the receiving waters surrounding the City.

- Goal 3a Maintain high levels of compliance with federal and State treatment standards for wastewater and sewage entering receiving waters.

SERVICE 4 Bill and collect revenue for water and sewer usage.

- Goal 4a Ensure that customer billing is accurate, transparent and fair.
- Goal 4b Meet revenue targets established by the NYC Water Board.

SERVICE 5 Enforce City laws relating to air pollution, noise pollution and hazardous materials.

- Goal 5a Investigate complaints in a timely manner.

HOW WE PERFORMED

- The Department responded to street cave-in complaints and made the condition safe in half the time as compared to the same period last year. The improvement from 1.6 to 0.8 days is attributable to the decrease in vehicles on the road which allowed crews to get to locations faster. Also, the number of street cave-in complaints have decreased by 29 percent as a result of the Department’s continued coordination with the NYC Department of Transportation’s recently expanded team that proactively investigates and discovers infrastructure defects earlier.
- The number of water main breaks handled by the Department has remained at the same historically low level as during the same period last year. Most water main breaks occur during the winter months, after the period covered by this report, when freeze/thaw cycles drive the number of breaks and variability from year to year is more apparent.
- The time it took the Department to restore water to customers after a water main break increased due to the high proportion of breaks with complex conditions that took over 6 hours to address. These conditions include utility interference which sometimes require coordination with other agencies and entities.
- The Department has needed to clean fewer catch basins during the reporting period because fewer of the catch basins surveyed/inspected are in need of programmatic cleaning. After increasing the inspection cycle and increasing the cleaning for fiscal years 2017, 2018 and 2019, the basins inspected the last cycle Fiscal 2020 and this current cycle Fiscal 2021 are triggering programmatic cleaning at a lower rate.
- The Department performed 12.3 percent fewer surveys/inspections of catch basins during this reporting period due to the change in inspection schedule. Beginning in Fiscal 2020 the Department has instituted a two-year inspection cycle. During the 16-month time period since the current inspection cycle began in July of Fiscal 2020, 65 percent of the system has been surveyed. This is on target with the 67 percent of time that has elapsed.
- The Department’s accounts receivable balance for water and sewer charges increased by 16.1 percent over the same time last year. The increase spans all property tax classes. The Department believes the increase in delinquencies is mainly due to the economic stress created by the COVID-19 pandemic, which has reduced personal and business incomes, as well as reduced overall economic activity, globally.
- The changes implemented and described in last year’s PMMR have proved to be effective in continuing the decline in the number of days to close complaints. The asbestos control program (ACP) continues to prioritize complaints received and ensure our timely response over regularly scheduled inspections. Supervisors and inspectors have been made aware that the complaints must be their primary focus and ensure a speedy resolution. There has also been a small decline in the number of complaints received during the COVID-19 period.
- The Department was able to respond to and close air quality and noise complaints 25.6 and 9.2 percent faster than during the same period last year in part due to having overnight and weekend shifts which provide almost 24/7 coverage. The almost 26 percent decrease in air complaints and 9 percent decrease in noise complaints also contributed to the improvement. The decrease in complaint volume and the prioritization of complaint inspections over scheduled inspections also led to the decrease of 22.1 percent in the time it took the Department to respond to and close asbestos complaints.

SERVICE 1 Ensure the sufficiency, quality and security of the City’s drinking water supply.

Goal 1a Comply with all federal and State drinking water quality standards.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Samples testing positive for coliform bacteria (%) | 0.36% | 0.25% | 0.14% | * | * | 0.21% | 0.69% |
| ★ In-City samples meeting water quality standards for coliform bacteria (%) | 100% | 100% | 100% | 100% | 100% | 100% | 100% |
| Acres of land solicited in watershed area | 20,613 | 44,236 | 8,587 | * | * | 4,837 | 1,697 |
| ★ Critical Indicator | “NA” Not Available | ↑↓ Directional Target | * None | | | | |

Goal 1b

Assure the integrity of the drinking water supply and distribution systems.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|---------|---------|---------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Water supply - Critical equipment out of service (%) | 0.7% | 0.4% | 0.4% | * | * | 0.6% | 0.4% |
| ★ Facility security checks | 270,831 | 312,500 | 308,235 | 275,000 | 275,000 | 96,158 | 107,695 |
| Overall enforcement activity | 1,377 | 1,328 | 1,159 | * | * | 597 | 784 |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | | * None | | | |

SERVICE 2 Maintain the City's water delivery and sewer collection systems.

Goal 2a

Resolve emergencies and perform preventive maintenance and required repairs to the water distribution and wastewater collection systems in a timely manner.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|--------|--------|-------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Sewer backup complaints received | 11,303 | 11,965 | 10,767 | * | * | 4,199 | 4,825 |
| Sewer backup complaints resolved - Confirmed (on City infrastructure) | 2,389 | 2,177 | 2,051 | * | * | 663 | 670 |
| – Unconfirmed (not on City infrastructure or unfounded) | 8,904 | 9,796 | 8,705 | * | * | 3,537 | 4,168 |
| ★ Sewer backup resolution time (hours) | 3.7 | 3.6 | 3.1 | 7.0 | 7.0 | 3.5 | 2.9 |
| Street segments with confirmed sewer backup in the last 12 months (% of total segments) | 1.0% | 0.9% | 0.9% | * | * | 0.9% | 0.9% |
| ★ Street segments with recurring confirmed sewer backups in the last 12 months (% of total segments) | 0.3% | 0.3% | 0.2% | 0.6% | 0.6% | 0.2% | 0.2% |
| Street cave-in complaints received | 3,769 | 3,769 | 3,098 | * | * | 1,770 | 1,259 |
| Average time to respond to street cave-in complaints and make safe (days) | 1.9 | 1.9 | 1.2 | * | * | 1.6 | 0.8 |
| Water main breaks | 521 | 459 | 370 | * | * | 81 | 81 |
| Water main breaks per 100 miles of main in the last 12 months | 7.4 | 6.6 | 5.3 | * | * | 6.3 | 5.3 |
| ★ Average time to restore water to customers after confirming breaks (hours) | 4.5 | 4.7 | 4.9 | 6.0 | 6.0 | 5.4 | 6.3 |
| ★ Broken and inoperative hydrants (%) | 0.40% | 0.46% | 0.38% | 1.00% | 1.00% | 0.39% | 0.28% |
| ★ Average time to repair or replace high-priority broken or inoperative hydrants (days) | 2.9 | 2.5 | 2.3 | 5.0 | 5.0 | 2.3 | 2.2 |
| Catch basin complaints received | 7,673 | 10,662 | 6,613 | * | * | 3,217 | 3,250 |
| ★ Catch basin backup resolution time (days) | 6.9 | 7.8 | 7.8 | 9.0 | 9.0 | 6.2 | 3.8 |
| Catch basins surveyed/inspected (%) | 99.3% | 103.4% | 51.7% | 50.0% | 50.0% | 26.1% | 13.8% |
| Catch basins cleaned | 39,098 | 49,005 | 40,640 | * | * | 15,468 | 10,649 |
| ★ Backlog of catch basin repairs (% of system) | 3.8% | 4.4% | 2.8% | 1.0% | 1.0% | 3.3% | 2.4% |
| Leak complaints received | 4,367 | 3,791 | 3,194 | * | * | 971 | 969 |
| ★ Leak resolution time (days) (City infrastructure only) | 10.2 | 8.4 | 9.1 | 12.0 | 12.0 | 6.8 | 6.1 |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | | * None | | | |

SERVICE 3 Treat wastewater and sewage to protect water quality in the receiving waters surrounding the City.

Goal 3a

Maintain high levels of compliance with federal and State treatment standards for wastewater and sewage entering receiving waters.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|-------|--------|--------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Water resource recovery facility (WRRF) effluent meeting State Pollutant Discharge Elimination Standards (%) | 99.7% | 99.6% | 99.9% | 100.0% | 100.0% | 99.9% | 99.8% |
| Harbor survey stations meeting applicable waterbody standards for dissolved oxygen (%) | 92% | 90% | 89% | 89% | 89% | 75% | 73% |
| WRRFs - Critical equipment out-of-service (% below minimum) | 1.5% | 1.0% | 1.6% | 5.0% | 5.0% | 2.1% | 1.4% |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | | * None | | | |

SERVICE 4 Bill and collect revenue for water and sewer usage.

Goal 4a Ensure that customer billing is accurate, transparent and fair.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|------------------------|--------------------|------|----------------------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Estimated bills (%) | 3.0% | 2.8% | 2.4% | 4.0% | 4.0% | 2.6% | 2.7% |
| ★ Critical Indicator | "NA" Not Available | | ⇅ Directional Target | * None | | | |

Goal 4b Meet revenue targets established by the NYC Water Board.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------|----------------------|-----------|-----------|----------------|-----------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Total revenue collected (\$000,000) | \$3,602.3 | \$3,824.8 | \$3,800.0 | \$3,901.9 | \$3,901.9 | \$1,822.6 | \$1,710.0 |
| ★ Total revenue as percent of target (%) | 99.8% | 101.4% | 99.6% | 100.0% | 100.0% | 105.5% | 109.3% |
| Accounts receivable - Total balance (\$000,000) | \$1,709 | \$1,741 | \$1,810 | * | * | \$914 | \$1,061 |
| Billed amount collected in 30 days (%) | 60.5% | 62.0% | 61.1% | * | * | 61.9% | 54.4% |
| ★ Critical Indicator | "NA" Not Available | | ⇅ Directional Target | * None | | | |

SERVICE 5 Enforce City laws relating to air pollution, noise pollution and hazardous materials.

Goal 5a Investigate complaints in a timely manner.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|--------|----------------------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Air complaints received | 8,276 | 8,295 | 7,789 | * | * | 3,048 | 2,267 |
| ★ Average days to close air quality complaints | 4.2 | 3.9 | 2.9 | 7.0 | 7.0 | 3.6 | 2.6 |
| Air complaints responded to within seven days (%) | 97% | 99% | 100% | 88% | 88% | 100% | 100% |
| Noise complaints received | 61,342 | 61,967 | 46,956 | * | * | 17,258 | 15,663 |
| ★ Average days to close noise complaints | 4.8 | 4.1 | 3.2 | 7.0 | 7.0 | 3.4 | 2.8 |
| Noise complaints not requiring access to premises responded to within seven days (%) | 99% | 99% | 100% | 88% | 88% | 100% | 100% |
| Asbestos complaints received | 1,338 | 1,902 | 1,019 | * | * | 444 | 346 |
| ★ Average days to close asbestos complaints | 0.74 | 0.91 | 0.65 | 1.00 | 1.00 | 0.99 | 0.54 |
| Asbestos complaints responded to within three hours (%) | 100% | 100% | 100% | 100% | 100% | 100% | 100% |
| ★ Critical Indicator | "NA" Not Available | | ⇅ Directional Target | * None | | | |

AGENCY-WIDE MANAGEMENT

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|--------|----------------------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Total violations issued | 12,851 | 21,394 | 19,839 | * | * | 7,870 | 5,531 |
| Violations admitted to or upheld at the Environmental Control Board (%) | 91.5% | 90.0% | 89.0% | * | * | 88.6% | 87.4% |
| Collisions involving City vehicles | 398 | 427 | 241 | * | * | 241 | 73 |
| Workplace injuries reported | 238 | 158 | 40 | * | * | 16 | 14 |
| ★ Critical Indicator | "NA" Not Available | | ⇅ Directional Target | * None | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|-------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| E-mails responded to in 14 days (%) | 100% | 100% | 100% | 95% | 95% | 100% | 99% |
| Letters responded to in 14 days (%) | 99% | 99% | 99% | 95% | 95% | 99% | 100% |
| Calls answered in 30 seconds (%) | 72% | 68% | 84% | 76% | 76% | 88% | 92% |
| Average customer in-person wait time (minutes) | 4 | 4 | 3 | 5 | 5 | NA | NA |
| Completed customer requests for interpretation | 13,848 | 14,548 | 12,067 | * | * | NA | NA |
| Visitors rating customer service at borough centers as good or better (%) | 95.0% | 96.0% | 97.0% | 90.0% | 90.0% | NA | NA |
| CORE customer experience rating (0-100) | 95 | NA | 99 | 90 | 90 | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Response to 311 Service Requests (SRs) | | | | | | | |
| Percent meeting time to first action - Sewer Maintenance - Catch Basin Clogged/Flooding (6 days) | 86% | 84% | 90% | 85% | 85% | 88% | 97% |
| Percent meeting time to first action - Sewer Maintenance - Sewer Backup (0.25 days) | 89% | 91% | 92% | 85% | 85% | 89% | 94% |
| Percent meeting time to first action - Water Maintenance - Hydrant Running (2 days) | 82% | 76% | 89% | 85% | 85% | 86% | 94% |
| Percent meeting time to first action - Water Maintenance - Hydrant Running Full (1 day) | 86% | 77% | 90% | 85% | 85% | 88% | 92% |
| Percent meeting time to first action - Water Maintenance - Leak (0.7 days) | 77% | 82% | 87% | 85% | 85% | 84% | 88% |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|-----------|-----------|-----------|---------------------|-------------------|-------------------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$1,432.1 | \$1,433.0 | \$1,382.8 | \$1,438.8 | \$1,498.8 | \$1,384.7 | \$629.5 | \$579.0 |
| Revenues (\$000,000) ³ | \$29.3 | \$27.0 | \$19.9 | \$19.2 | \$19.2 | \$18.9 | \$6.4 | \$5.4 |
| Personnel | 6,099 | 6,195 | 6,105 | 6,426 | 6,452 | 6,401 | 6,080 | 5,990 |
| Overtime paid (\$000,000) | \$44.5 | \$48.8 | \$50.5 | \$45.8 | \$48.0 | \$44.5 | \$15.9 | \$12.3 |
| Capital commitments (\$000,000) | \$1,925.2 | \$2,031.5 | \$1,029.4 | \$2,727.6 | \$2,688.4 | \$2,391.0 | \$250.4 | \$182.1 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds ³ DEP revenues shown here do not include any of the approximately \$1.5 billion the City receives annually from the NYC Water Board in reimbursement for operations & maintenance and in rent. "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|--|--|---|-----------------------------------|
| Personal Services - Total | \$608.7 | \$615.8 | |
| 001 - Executive and Support | \$44.2 | \$40.9 | All |
| 002 - Environmental Management | \$29.1 | \$26.9 | 5a |
| 003 - Water Supply and Wastewater Collection | \$229.3 | \$226.4 | 1a, 1b, 2a, 3a, 5a |
| 007 - Central Utility | \$84.9 | \$90.5 | 1a, 4a, 4b |
| 008 - Wastewater Treatment | \$221.2 | \$231.1 | 2a, 3a |
| Other Than Personal Services - Total | \$774.1 | \$883.0 | |
| 004 - Utility | \$646.8 | \$723.2 | 1a, 1b, 2a, 3a, 5a |
| 005 - Environmental Management | \$67.4 | \$93.5 | 1a, 1b, 2a, 3a, 5a |
| 006 - Executive and Support | \$59.9 | \$66.3 | All |
| Agency Total | \$1,382.8 | \$1,498.8 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available * None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

None.

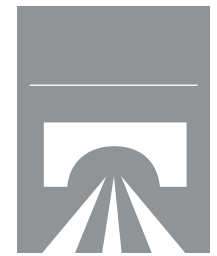
ADDITIONAL RESOURCES

- Home Water Assistance Program:
<https://www1.nyc.gov/site/dep/pay-my-bills/home-water-assistance-program.page>

For more information on the agency, please visit: www.nyc.gov/dep.

DEPARTMENT OF TRANSPORTATION

Margaret Forgione,
Acting Commissioner



WHAT WE DO

The Department of Transportation (DOT) is responsible for the condition and operation of 6,300 miles of streets, highways and public plazas, 796 bridges and tunnels and nine boats for the Staten Island Ferry program. DOT operates over 13,250 signalized intersections and over 315,000 street lights and maintains over 350 million linear feet of markings on City streets and highways. Safety for everyone using the City's roads, bridges and ferries is the agency's top concern. To increase mobility, DOT manages the City's Bus Rapid Transit program, Select Bus Service, in partnership with the MTA; oversees the City's bike share system; and maintains over 1,316 miles of the cycling network, including over 140 miles of on-street protected bicycle lanes. DOT's infrastructure programs include bridge capital investment and life-cycle maintenance, roadway resurfacing and pothole repair, ferry boat and terminal upgrades and maintenance and street and sidewalk reconstruction. DOT focuses on delivering quality projects on time and under budget by developing and monitoring project plans and schedules. DOT also manages the Joint Traffic Management Center, pedestrian ramp and sidewalk repair and oversees the on-street parking meters system. DOT's alternative fuel program promotes cleaner vehicles using biodiesel, ethanol and electricity in both the public and private sectors.

FOCUS ON EQUITY

DOT focuses on equitable service delivery through its maintenance of critical transportation infrastructure and commitments to safety and mobility for New Yorkers. This focus ensures DOT provides its services in an equitable manner, including roadway, bridge, and sidewalk maintenance, traffic planning and management and ferry operations. DOT developed Vision Zero Borough Pedestrian Safety Action Plans by combining statistical data collected from traffic crashes with community feedback gathered at safety workshops held across the five boroughs and comments received through the interactive Vision Zero input map. There are 145 miles of Select Bus Service routes, bringing fast and reliable service to residents living in transit-dependent neighborhoods, such as Tremont, the Bronx; Bedford–Stuyvesant, Brooklyn; Jamaica, Queens; and East Harlem, Manhattan. As part of its Better Buses Action Plan, DOT is implementing the same SBS priority measures on local bus segments identified as slow and unreliable. These measures include dedicated bus lanes, transit signal priority intersections and accessible bus stops. Criteria for selecting segments include the prevalence of low-income and no-vehicle households. DOT's Mobility Management Program improves transportation opportunities for traditionally underserved communities by advancing equity and accessibility. The program offers various resources, such as staff training to ensure meaningful community engagement; contact information for community organizations and service providers; and neighborhood surveys, focusing on travel behavior. DOT launched its Employee Resource Groups (ERG) initiative to encourage employees to organize in order to celebrate cultural connections, advocate for professional development and enhance morale in the workplace. ERGs are instrumental in helping DOT achieve its key objectives of workforce diversity, workplace inclusion and community understanding. There are six active ERGs, including groups created around African American/Black, Women, Latinx and LGBTQ issues. DOT is committed to fostering an equitable and competitive business environment while ensuring procurements reflect the diversity of the City, including Minority and Women-owned Business Enterprises (M/WBE). Efforts include restructuring contracts, expanding its pre-qualification program for professional services and partnering with other City agencies and professional groups to host meet-and-greet sessions for M/WBE vendors.

OUR SERVICES AND GOALS

SERVICE 1 Maintain the City's transportation infrastructure.

- Goal 1a Manage the City's bridge inventory to achieve a high state of good repair.
- Goal 1b Maintain a state of good repair for the City's streets, sidewalks and highways.
- Goal 1c Ensure timely repairs of the City's street lights, traffic signs and signals.

SERVICE 2 Provide a safe transportation network.

- Goal 2a Improve safety for pedestrians, motorists and bus and bike riders.
- Goal 2b Ensure passenger safety on the Staten Island Ferry.

SERVICE 3 Design and build transportation alternatives.

- Goal 3a Increase mobility and accessibility throughout the City.

SERVICE 4 Design public space to facilitate livability.

- Goal 4a Enhance quality of life through streetscape improvements.

SERVICE 5 Deliver projects on time.

- Goal 5a Complete capital bridge projects on schedule.

HOW WE PERFORMED

- DOT repaired 27,290 potholes (arterials and local streets) in the first four months of Fiscal 2021, 47 percent fewer than in the same period last year. The average time to close a pothole work order improved from 2.5 to 2.0 days, along with a 37 percent drop in pothole work orders. The changes correlate with fewer requests for pothole repairs, due to improved roadway conditions and fewer 311 complaints overall. DOT resurfaced 455 lane miles (in-house), a 25 percent decrease from last year. Due to budget constraints, DOT reduced its internal goal to 910 lane miles. Resurfacing prevents potholes, addresses existing potholes and frees crews to address locations in need of general roadway repairs.
- DOT inspectors completed 342,337 inspections (initial and post-audit), a slight increase over last year, with the majority of inspections focused on street opening permits. DOT issued 11,310 summonses, 46 percent fewer than last year, largely due to the Open Restaurants program shifting inspectors from their usual violation issuances to outdoor dining inspections. Per the Mayor's executive order extending the end date for permits, inspectors could not re-inspect thousands of corrective action requests issued over the winter months for being overdue for final restoration.
- Citywide traffic fatalities increased from 76 to 106. Traffic fatalities among bicyclists and pedestrians increased from 48 to 53, along with motorists and passengers increasing from 28 to 53, mainly due to the rise of vehicular speeding on less-congested roadways. DOT continued to implement safety improvements throughout the City. In addition to installing 94 speed humps and accessible pedestrian signals at 63 intersections, the Department completed 13 street improvement projects, of which six were on Vision Zero priority geographies, and installed 68 leading pedestrian intervals, 23.1 million linear feet of safety markings and 13.0 miles of protected bike paths.
- By the end of October the City's bicycle network expanded to over 1,300 lane miles. DOT added almost 20 lane miles to the network during the reporting period, 56 percent behind last year's pace. The pandemic affected the summer installation period, forcing DOT to shift the work program to the winter months. The installation target is 50 total lane miles by the end of June 2021.
- Staten Island Ferry ridership dropped to 2.4 million, a 67 percent decrease from last year and a direct result of the pandemic as fewer people travelled to and from work. Generally, the ferry runs every fifteen minutes during rush hour and every half hour or hour during nights and weekends. On-time ferry service increased to 99 percent. Private ferry ridership dropped 67 percent to 2.4 million, as some operators suspended ferry routes entirely, while other operators suspended some routes and reduced schedules significantly. The pandemic affected service on the NYC Ferry, NY Waterway, NY Water Taxi, Liberty Landing Ferry and SeaStreak.

SERVICE 1 Maintain the City's transportation infrastructure.

Goal 1a Manage the City's bridge inventory to achieve a high state of good repair.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|-------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Bridges rated - Good or very good (%) (calendar year) | 41.9% | NA | NA | 40.7% | 40.7% | NA | NA |
| - Fair (%) | 57.8% | NA | NA | * | * | NA | NA |
| - Poor (%) | 0.3% | NA | NA | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

Goal 1b

Maintain a state of good repair for the City's streets, sidewalks and highways.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|-----------|-----------|-----------|--------|-------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Streets maintained with a pavement rating of - Good (%) | 71.5% | 71.6% | 71.8% | 71.0% | 71.0% | NA | NA |
| - Fair (%) | 28.0% | 27.8% | 27.6% | * | * | NA | NA |
| - Poor (%) | 0.6% | 0.6% | 0.6% | * | * | NA | NA |
| ★ Average time to close a pothole work order where repair was done (calendar days) | 3.5 | 3.2 | 1.7 | 5.0 | 5.0 | 2.5 | 2.0 |
| Pothole work orders | 51,833 | 42,960 | 38,151 | * | * | 11,310 | 7,162 |
| Potholes repaired - Arterial highway system | 39,815 | 32,301 | 16,226 | * | * | 2,921 | 1,373 |
| - Local streets | 239,426 | 196,038 | 157,102 | * | * | 48,241 | 25,917 |
| Lane miles resurfaced citywide (in-house) | 1,321.9 | 1,324.0 | 1,092.7 | * | * | 609.6 | 455.2 |
| Average cost per lane mile resurfaced citywide (\$) | \$161,406 | \$158,620 | \$176,839 | * | * | NA | NA |
| Average in-house cost of asphalt per ton (\$) | \$43.39 | \$48.75 | \$54.71 | * | * | NA | NA |
| Average vendor cost of asphalt per ton (\$) | \$62.86 | \$66.52 | \$63.25 | * | * | NA | NA |
| Construction permits issued | 646,079 | 686,703 | 617,140 | * | * | 238,865 | 193,103 |
| Inspections of permitted street work | 595,665 | 546,906 | 601,731 | * | * | 204,587 | 209,160 |
| - Permitted jobs passing inspection (%) | 70% | 68% | 70% | 75% | 75% | 67% | 70% |
| Post-audit inspections for completed street work | 316,572 | 303,100 | 380,814 | * | * | 129,650 | 133,177 |
| - Completed street work that passed inspection (%) | 70% | 68% | 69% | * | * | 68% | 72% |
| Adopt-A-Highway adoption rate (%) | 84.8% | 84.3% | 84.4% | 75.0% | 75.0% | 84.3% | 83.8% |
| Adopted highway miles that receive a service rating of good (%) | 98.7% | 93.3% | 97.6% | * | * | 98.0% | 95.5% |
| ★ Parking meters that are operable (%) | 99.1% | 99.2% | 99.7% | 98.0% | 98.0% | 99.3% | 99.3% |
| Total violations issued | 48,937 | 50,315 | 39,828 | * | * | 20,864 | 11,310 |
| Violations admitted to or upheld at the Office of Administrative Trials and Hearings (%) | 91.0% | 92.0% | 89.0% | * | * | 90.0% | 84.0% |
| ★ Critical Indicator "NA" Not Available ⇅ Directional Target * None | | | | | | | |

Goal 1c

Ensure timely repairs of the City's street lights, traffic signs and signals.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average time to respond to high priority traffic signal defect and make safe (hours:minutes) | 1:57 | 1:36 | 1:35 | 2:00 | 2:00 | 1:33 | 1:47 |
| ★ Average time to repair priority regulatory signs after notification (business days) | 1.8 | 1.7 | 1.5 | 3.0 | 3.0 | 1.5 | 1.3 |
| Average time to repair street lights - by DOT (calendar days) | 2.7 | 2.7 | 2.9 | * | * | 2.8 | 2.7 |
| Average time to repair street lights - by ConEd (calendar days) | 13.7 | 14.0 | 15.6 | * | * | 14.5 | 14.4 |
| ★ Critical Indicator "NA" Not Available ⇅ Directional Target * None | | | | | | | |

SERVICE 2 Provide a safe transportation network.

Goal 2a

Improve safety for pedestrians, motorists and bus and bike riders.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Citywide traffic fatalities | 209 | 218 | 211 | ⇓ | ⇓ | 76 | 106 |
| - Bicyclists/pedestrians | 128 | 137 | 129 | * | * | 48 | 53 |
| - Motorists/passengers | 81 | 81 | 82 | * | * | 28 | 53 |
| Collisions involving DOT vehicles | 480 | 422 | 346 | * | * | 184 | 107 |
| ★ Speed humps installed | 409 | 318 | 112 | 250 | 250 | 94 | 5 |
| ★ Pavement safety markings installed (000,000) (linear feet) | 29.1 | 43.0 | 54.2 | ↑ | ↑ | 28.6 | 23.1 |
| Intersections with accessible pedestrian signals installed | 54 | 112 | 222 | 75 | 75 | 74 | 63 |
| ★ Critical Indicator "NA" Not Available ⇅ Directional Target * None | | | | | | | |

Goal 2b Ensure passenger safety on the Staten Island Ferry.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|------|-----------------------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Staten Island Ferry - Customer accident injury rate (per million passengers) | 0.99 | 1.46 | 1.58 | 1.34 | 1.34 | 1.86 | 1.16 |
| ★ Critical Indicator | "NA" Not Available | | ↑↓ Directional Target | * None | | | |

SERVICE 3 Design and build transportation alternatives.

Goal 3a Increase mobility and accessibility throughout the City.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|---------|-----------------------|--------|-------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Staten Island Ferry - Trips that are on time (%) | 92.4% | 94.3% | 96.6% | 90.0% | 90.0% | 94.2% | 99.0% |
| – Ridership (000) | 24,497 | 25,223 | 15,865 | * | * | 7,450 | 2,423 |
| – Average cost per passenger per trip (\$) | \$5.37 | \$5.42 | \$8.95 | * | * | NA | NA |
| Private ferry service - Total ridership (000) | 13,827 | 16,413 | 12,693 | * | * | 7,352 | 2,427 |
| – Number of permanent routes | 22 | 28 | 31 | * | * | 31 | 31 |
| Citi Bike annual membership | 150,493 | 154,830 | 185,997 | * | * | 73,476 | 77,910 |
| – Trips (000) | 17,176 | 19,106 | 19,050 | * | * | 9,081 | 9,199 |
| Bicycle lane miles installed | 70.5 | 67.5 | 82.4 | 50.0 | 50.0 | 44.3 | 26.3 |
| Bicycle lane miles installed – Protected | 23.9 | 20.2 | 21.0 | * | * | 14.3 | 13.0 |
| ★ NYC adults who bike regularly (annual) (calendar year) | 793,000 | 787,000 | 796,000 | ↑ | ↑ | NA | NA |
| Select Bus Service ridership (000) (annual) | 88,148 | 92,422 | 114,536 | * | * | NA | NA |
| – Route miles (cumulative) | 113 | 131 | 145 | * | * | NA | NA |
| Average travel speed (miles per hour) - Manhattan Central Business District | 7.1 | 7.0 | 8.7 | * | * | NA | NA |
| Crossing points with pedestrian ramps installed (%) | 98.1% | 98.7% | 98.7% | * | * | NA | NA |
| WalkNYC Wayfinding elements installed | | 46 | 56 | * | * | NA | 1 |
| ★ Critical Indicator | "NA" Not Available | | ↑↓ Directional Target | * None | | | |

SERVICE 4 Design public space to facilitate livability.

Goal 4a Enhance quality of life through streetscape improvements.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|---------|-----------------------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Pedestrian volume index | 110.9 | 103.6 | NA | * | * | NA | NA |
| Pedestrian space installed (square feet) | 353,968 | 443,518 | 273,000 | * | * | NA | NA |
| Existing newsstands converted to new model (%) | 97.5% | 98.4% | 98.7% | * | * | 98.7% | 98.7% |
| ★ Critical Indicator | "NA" Not Available | | ↑↓ Directional Target | * None | | | |

SERVICE 5 Deliver projects on time.

Goal 5a Complete capital bridge projects on schedule.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|------|-----------------------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Bridge projects (structural work) substantially completed on schedule (%) | 100% | 100% | 100% | 100% | 100% | NA | NA |
| ★ Critical Indicator | "NA" Not Available | | ↑↓ Directional Target | * None | | | |

AGENCY-WIDE MANAGEMENT

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|----------------------|----------|--------|------|----------------|----------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Cases commenced against the City in state and federal court | 2,237 | 2,299 | 1,944 | * | * | 779 | 708 |
| Payout (\$000) | \$89,300 | \$79,990 | \$93,667 | * | * | \$36,730 | \$22,679 |
| Workplace injuries reported | 474 | 506 | 440 | * | * | 199 | 215 |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | | | | | * None |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|----------------------|-------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| E-mails responded to in 14 days (%) | 99% | 99% | 99% | 95% | 95% | 99% | 98% |
| Letters responded to in 14 days (%) | 94% | 97% | 97% | 95% | 95% | 98% | 98% |
| Calls answered in 30 seconds (%) | 68% | 54% | 88% | * | * | 85% | 97% |
| Average customer in-person wait time (minutes) | 3:32 | 3:58 | 5:46 | * | * | 4:29 | 0:00 |
| Requests for language interpretations and translations received | 1,890 | 1,396 | 1,161 | * | * | 575 | 181 |
| CORE customer experience rating (0-100) | 99 | NA | 99 | 95 | 95 | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | | | | | * None |

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Response to 311 Service Requests (SRs) | | | | | | | |
| Percent meeting time to close - Street Condition - Pothole (30 days) | 100% | 100% | 100% | 98% | 98% | 100% | 100% |
| Percent meeting time to first action - Street Light Condition - Street Light Out (10 days) | 99% | 99% | 97% | 98% | 98% | 96% | 99% |
| Percent meeting time to first action - Traffic Signal Condition - Controller (0.1 days) | 71% | 75% | 78% | 80% | 80% | 80% | 74% |
| Percent meeting time to first action - Street Condition - Failed Street Repair (10 days) | 91% | 90% | 89% | 85% | 85% | 79% | 93% |
| Percent meeting time to close - Broken Parking Meter - No Receipt (21 days) | 90% | 100% | 100% | 90% | 90% | 100% | 100% |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | | | | | * None |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|---|-----------|----------------------|---------------------|-------------------|-------------------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$983.7 | \$1,040.4 | \$1,094.1 | \$1,099.9 | \$1,131.1 | \$1,144.9 | \$595.3 | \$522.8 |
| Revenues (\$000,000) | \$410.4 | \$454.9 | \$404.1 | \$440.2 | \$415.5 | \$447.7 | \$130.7 | \$92.2 |
| Personnel | 5,549 | 5,704 | 5,817 | 5,779 | 5,694 | 5,798 | 5,742 | 5,636 |
| Overtime paid (\$000,000) | \$64.8 | \$66.1 | \$62.0 | \$46.5 | \$53.2 | \$53.2 | \$22.2 | \$18.3 |
| Capital commitments (\$000,000) | \$2,163.4 | \$1,209.7 | \$702.1 | \$1,881.9 | \$1,242.3 | \$2,223.3 | \$174.3 | \$66.1 |
| ¹ January 2021 Financial Plan. | ² Expenditures include all funds | | "NA" - Not Available | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|--|--|---|-----------------------------------|
| Personal Services - Total | \$540.4 | \$523.3 | |
| 001 - Exec. Admin. and Planning Management | \$71.1 | \$61.6 | All |
| 002 - Highway Operations | \$205.2 | \$200.6 | 1b, 2a, 3a, 4a |
| 003 - Transit Operations | \$64.1 | \$62.3 | 2a, 2b, 3a, 4a |
| 004 - Traffic Operations | \$120.4 | \$118.6 | 1b, 1c, 3a, 4a |
| 006 - Bureau of Bridges | \$79.7 | \$80.3 | 1a, 5a |
| Other Than Personal Services - Total | \$553.7 | \$607.8 | |
| 007 - Bureau of Bridges | \$22.9 | \$28.6 | 1a, 5a |
| 011 - Executive and Administration | \$81.3 | \$61.5 | All |
| 012 - Highway Operations | \$104.0 | \$107.3 | 1b, 2a, 3a, 4a |
| 013 - Transit Operations | \$45.9 | \$39.2 | 2a, 2b, 3a, 4a |
| 014 - Traffic Operations | \$299.6 | \$371.2 | 1b, 1c, 3a, 4a |
| Agency Total | \$1,094.1 | \$1,131.1 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available * None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- Data for the three metrics reporting on the average cost of asphalt and roadway resurfacing, which was not available when the Fiscal 2020 Mayor's Management Report was published, has been added.
- 'Overall traffic crashes' has been replaced with 'Injury crashes' to match NYPD reporting.
- The metric 'Bicycles racks installed' has been replaced with 'Bicycle parking spaces added.'
- The indicator 'WalkNYC wayfinding elements installed' has been added.
- During the first four months of Fiscal 2021, Polly Trottenberg served as DOT Commissioner; Margaret Forgione was appointed Acting Commissioner as of December 4, 2020.

ADDITIONAL RESOURCES

For more information on the agency, please visit: www.nyc.gov/dot.



WHAT WE DO

The Department of Buildings (DOB) regulates the safe and lawful use of more than 1,000,000 buildings and 50,000 active construction sites under its jurisdiction by enforcing laws, including the City's Construction Codes, Zoning Resolution and Energy Code, as well as the New York State Multiple Dwelling Law. The Department enforces compliance with these regulations and promotes public safety through its review and approval of building plans, permitting and licensing functions, and inspections. The Department is currently in the process of setting goals for the next stage of its growth, which will be released in a vision document in the coming months.

FOCUS ON EQUITY

The Department of Buildings (DOB) is committed to efficient, impartial and effective service delivery and protection for all residents—tenants and owners alike—especially as DOB migrates more of its public-facing interactions online. Guided by the Building One City plan, the Department continues its rollout of DOB NOW, the Department's transformative initiative to replace a three-decades-old mainframe system and increase transparency of agency operations, ease business interactions with the agency, promote the highest standards of integrity internally and within the industry, and develop a data-driven approach to disciplining bad actors.

Additionally, DOB is fully committed to protecting the public's long-term safety in the face of climate change. With the passage of the 2020 NYC Energy Conservation Code and our continued implementation of significant parts of Mayor de Blasio's NYC Green New Deal and OneNYC 2050 plan, the Department is focused on assisting owners in meeting their obligations under the law.

The key to success is DOB's effort to recruit a diverse and inclusive workforce reflective of the City's population grounded in providing services in a fair and equitable manner to all members of the public.

DOB's commitment to Equity and Inclusion is fostered in the Department's workforce. In Fiscal 2021, DOB formed a workgroup to help review and enhance various equity initiatives throughout the Department. Trainings for all levels of staff will be provided and coordinated by the Diversity Officer to help implement programs and policies on the importance of diversity and inclusion. The Diversity Officer will also be tasked with working with our procurement team with the emphasis on engaging the City's Minority and Women-owned Business Enterprises (M/WBEs) for more contracting opportunities throughout the city. In Fiscal 2020, DOB awarded \$70 million in contracts of which \$48.4 million was awarded to M/WBE vendors. DOB is fully committed to both internal and external equity and inclusion. We look forward to continuing engaging our workforce throughout the upcoming years on various inclusion and equity ventures as well continuing to grow our M/WBE participation.

OUR SERVICES AND GOALS

SERVICE 1 Facilitate safe and compliant development.

- Goal 1a Improve processing efficiency.
- Goal 1b Promptly review initial construction plans.
- Goal 1c Promptly schedule development inspections.

SERVICE 2 Ensure the safe and lawful use of buildings and properties by enforcing the Building Code and the Zoning Resolution.

- Goal 2a Promptly address complaints.
- Goal 2b Rigorously enforce building and zoning laws.
- Goal 2c Prevent construction-related fatalities and injuries.

HOW WE PERFORMED

- In the first four months of Fiscal 2021, job filings increased, including 17,074 BIS filings and 23,736 DOB NOW filings. The number of completed plan reviews for total BIS and DOB NOW filings increased by 1.9 percent from 36,259 to 36,945, including 13,325 BIS completed plan reviews, and 23,620 DOB NOW completed plan reviews. Filings and plan reviews are expected to continue increasing via DOB NOW as volume shifts to that system from BIS.
- The average time to complete first plan reviews for new buildings at the Borough Offices decreased by nearly three days to 4.7 days, and for major renovations lowered from 7.6 to 6.4 days. During this Fiscal 2021 period, new building and major renovation filings, along with amendments to prior filings, were lower in volume than in same period the prior year. As a result, Department examiners were able to complete these reviews with a reduced backlog. For jobs filed through the Hub, average plan review times for new buildings rose from 5.1 to 5.6 days, and for major renovations increased from 5.2 to 6.6 days. Average plan review times for minor renovations at the Borough Offices decreased from 2.7 to 2.4 days, and lowered from 1.5 to 0.8 days for the Hub. For DOB NOW, the average time to complete first plan reviews was just under one day.
- In response to the COVID-19 pandemic, the Department moved the majority of its customer services online. As a result, there were 27,830 walk-in customers during these four months of Fiscal 2021. This is an 88 percent reduction from the 230,205 walk-in customers recorded during the same period in the prior fiscal year.
- The average wait time for a construction inspection fell from 1.9 days to 1.4 days, while average wait times for plumbing inspections increased, from 2.4 to 3.7 days and for electrical inspections increased from 2.3 to 7.7 days. The Department committed inspectors to enforcement of COVID-19 construction ban and re-opening requirements, which contributed to increased wait times for plumbing and electrical inspections during the earlier portion of the reporting period.
- The Department received over 1,000 more Priority A complaints during the first four months of Fiscal 2021 than in the same period last year, with the uptick mostly attributable to COVID-19 related issues such as non-essential construction taking place when it had been banned. The Department has prepared and disseminated guidance to industry professionals on reducing the risk of exposure to COVID-19 on construction sites. This is accomplished through visiting sites and hosting meetings with numerous organizations representing construction professionals. The average time to respond to Priority A complaints increased from 0.3 days to 0.4 days, with the target of 1.0 day or less being satisfied. The Department responded to 5,609 fewer Priority B complaints during the reporting period, down to 20,262. At the same time, the average time to respond to Priority B complaints increased from 13.1 days to 14.3. The Department expects average response times to B complaints to remain below its 40-day target. The Department continued to allocate resources to prioritizing and reducing its backlog of these complaints.
- The Department completed 49,535 construction inspections compared to 65,181 in the same Fiscal 2020 period. Construction inspections overall decreased as a result of the non-essential construction ban. The ban was lifted in June 2020 and the number of active construction sites and subsequent inspections on those sites slowly began to increase. The Department issued 20,263 OATH/Environmental Control Board violations (39.3 percent fewer than a year ago). Of the violations heard, 80 percent were upheld, which increased slightly from the 73 percent upheld last year. DOB violations issued decreased to 23,441 from 27,082 in the same Fiscal 2020 period.
- Compared to the same four-month period last year, construction-related accidents decreased from 209 to 197 and construction-related injuries decreased from 218 to 201. Fatalities remained at four. The Department continues to implement Local Law 196 of 2017 that requires workers on the City's larger building construction sites to have specific hours of safety training. Through October 2020, Department-approved course providers issued over 103,000 Site Safety Training Cards. Efforts to raise safety awareness included direct outreach at job sites, distribution of outreach material in multiple languages, mailing permit holders and site safety professionals about training requirements, issuing public service notices, training over professionals during Local Law 196 information sessions, and social media engagement. Similar outreach will be performed in advance of the requirement for workers to have forty hours of safety training by March 1, 2021.

SERVICE 1 Facilitate safe and compliant development.

Goal 1a Improve processing efficiency.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Filings (DOB NOW) | 13,244 | 24,415 | 58,309 | * | * | 18,556 | 23,736 |
| Jobs filed (BIS) | 82,286 | 81,809 | 45,428 | * | * | 17,040 | 17,074 |
| ★ Average customer in-person transaction time (minutes) | 5 | 5 | 5 | ↓ | ↓ | 5 | 6 |
| Average customer in-person wait time (minutes) | 21 | 23 | 16 | * | * | 19 | 10 |
| Work permits issued - Initial (DOB NOW) | 11,239 | 20,299 | 38,652 | * | * | 11,977 | 17,626 |
| Work permits issued - Renewals (DOB NOW) | 3,439 | 10,433 | 16,273 | * | * | 4,326 | 6,393 |
| Building permits issued - Initial (BIS) | 99,946 | 93,676 | 46,524 | * | * | 23,457 | 13,495 |
| Building permits issued - Renewals (BIS) | 58,858 | 56,834 | 46,875 | * | * | 18,035 | 14,013 |
| Certificates of Occupancy issued | 6,032 | 6,197 | 4,049 | * | * | 2,018 | 1,286 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | | * None | | | |

Goal 1b Promptly review initial construction plans.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| First plan reviews completed (BIS) | 77,391 | 75,577 | 41,262 | * | * | 17,312 | 13,325 |
| First plan reviews completed (DOB NOW) | 13,009 | 24,398 | 57,619 | * | * | 18,947 | 23,620 |
| ★ Average days to complete first plan review (Borough offices) - New buildings | 5.7 | 4.4 | 5.2 | 12.0 | 12.0 | 7.6 | 4.7 |
| ★ Average days to complete first plan review (Borough offices) - Major renovation (Alteration I) | 5.5 | 5.0 | 5.4 | 10.0 | 10.0 | 7.6 | 6.4 |
| Average days to complete first plan review (Borough offices) - Minor renovation (Alterations II and III) | 1.7 | 1.3 | 2.7 | 4.0 | 4.0 | 2.7 | 2.4 |
| Average days to complete first plan review (Hub projects) - New buildings | 4.2 | 4.5 | 4.9 | * | * | 5.1 | 5.6 |
| Average days to complete first plan review (Hub projects) - Major renovation (Alteration I) | 4.3 | 4.2 | 4.8 | * | * | 5.2 | 6.6 |
| Average days to complete first plan review (Hub projects) - Minor renovation (Alterations II and III) | 0.1 | 1.4 | 1.8 | * | * | 1.5 | 0.8 |
| Average days to complete first plan review (DOB NOW) | NA | 0.6 | 1.0 | * | * | 1.0 | 0.9 |
| Permitted jobs professionally certified (%) | 61.2% | 58.1% | 62.2% | * | * | 71.7% | 59.8% |
| Permitted jobs professionally certified that were audited (%) | 19.1% | 13.4% | 11.9% | * | * | 10.8% | 9.9% |
| Of eligible audited jobs, the percent of audits that resulted in revocation notices (%) | 37.9% | 41.1% | 44.2% | * | * | 50.3% | 28.7% |
| ★ Average days to complete first review (DOB NOW) | NA | 0.6 | 1.0 | ↓ | ↓ | 1.0 | 0.9 |
| Average days from filing to approval (DOB NOW) | NA | 45.6 | 8.3 | * | * | 47.2 | 11.4 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | | * None | | | |

Goal 1c Promptly schedule development inspections.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average days between construction inspection request and inspection | 2.4 | 2.0 | 1.9 | ↓ | ↓ | 1.9 | 1.4 |
| ★ Average days between electrical inspection request and inspection | 3.9 | 2.6 | 2.5 | ↓ | ↓ | 2.3 | 7.7 |
| ★ Average days between plumbing inspection request and inspection | 2.1 | 2.4 | 2.5 | ↓ | ↓ | 2.4 | 3.7 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | | * None | | | |

SERVICE 2 Ensure the safe and lawful use of buildings and properties by enforcing the Building Code and the Zoning Resolution.

Goal 2a Promptly address complaints.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|--------|--------|-------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Priority A (emergency) complaints received | 16,989 | 17,281 | 20,458 | * | * | 5,927 | 6,998 |
| Priority B (nonemergency) complaints received | 78,526 | 77,386 | 72,246 | * | * | 27,282 | 26,024 |
| Priority A complaints responded to | 16,463 | 16,737 | 20,054 | * | * | 5,790 | 6,889 |
| Priority B complaints responded to | 75,326 | 70,027 | 61,749 | * | * | 25,871 | 20,262 |
| ★ Average time to respond to Priority A complaints (days) | 0.4 | 0.3 | 0.4 | 1.0 | 1.0 | 0.3 | 0.4 |
| ★ Average time to respond to Priority B complaints (days) | 13.2 | 11.4 | 11.8 | 40.0 | 40.0 | 13.1 | 14.3 |
| ★ Residential illegal conversion complaints where access was obtained (%) | 38.2% | 38.0% | 41.9% | 44.0% | 44.0% | 38.9% | 41.1% |
| – Access obtained and violations were written (%) | 42.3% | 41.6% | 34.4% | * | * | 40.0% | 28.6% |
| Work without a permit complaints where access was obtained and violations were written (%) | 29.6% | 29.3% | 35.0% | * | * | 34.3% | 34.6% |
| ★ Critical Indicator | “NA” Not Available | ↕ Directional Target | * None | | | | |

Goal 2b Rigorously enforce building and zoning laws.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|---------|---------|---------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Construction inspections completed | 188,221 | 203,077 | 168,507 | 140,000 | 140,000 | 65,181 | 49,535 |
| Construction inspections resulting in violations (%) | 26.0% | 30.1% | 28.8% | * | * | 31.1% | 27.5% |
| DOB violations issued | 79,422 | 80,874 | 96,969 | * | * | 27,082 | 23,441 |
| Office of Administrative Trials and Hearings violations issued | 82,228 | 89,964 | 80,155 | * | * | 33,369 | 20,263 |
| ★ Violations admitted to or upheld at the Office of Administrative Trials and Hearings (%) | 79.1% | 79.9% | 72.6% | 80.0% | 80.0% | 73.3% | 79.9% |
| ★ Critical Indicator | “NA” Not Available | ↕ Directional Target | * None | | | | |

Goal 2c Prevent construction-related fatalities and injuries.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Construction-related incidents | 1,052 | 915 | 764 | * | * | 312 | 269 |
| – Construction-related accidents | 729 | 625 | 509 | * | * | 212 | 197 |
| ★ Construction-related injuries | 744 | 646 | 534 | ↘ | ↘ | 220 | 201 |
| ★ – Construction-related fatalities | 16 | 11 | 8 | ↘ | ↘ | 4 | 4 |
| Incident inspections resulting in violations (%) | 72.7% | 81.7% | 87.4% | * | * | 89.9% | 84.0% |
| ★ Critical Indicator | “NA” Not Available | ↕ Directional Target | * None | | | | |

AGENCY-WIDE MANAGEMENT

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|------------------------------------|--------------------|----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Collisions involving City vehicles | 81 | 110 | | * | * | 45 | |
| Workplace injuries reported | 20 | 10 | 16 | * | * | 6 | 5 |
| ★ Critical Indicator | “NA” Not Available | ↕ Directional Target | * None | | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| E-mails responded to in 14 days (%) | 50% | 53% | 51% | 57% | 57% | 46% | 86% |
| Letters responded to in 14 days (%) | 47% | 58% | 86% | 57% | 57% | 91% | 57% |
| Calls answered in 30 seconds (%) | 70% | 68% | 62% | * | * | 63% | 63% |
| Completed customer requests for interpretation | 100 | 122 | 77 | * | * | NA | NA |
| CORE customer experience rating (0-100) | 90 | NA | 99 | 85 | 85 | NA | NA |
| ★ Critical Indicator "NA" Not Available ⇅ Directional Target * None | | | | | | | |

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Response to 311 Service Requests (SRs) | | | | | | | |
| Percent meeting time to first action - Elevator - Defective/Not Working (60 days) | 100% | NA | NA | 50% | 50% | 0% | 100% |
| Percent meeting time to first action - General Construction/Plumbing - Contrary/Beyond Approved Plans/Permits (60 days) | 88% | 98% | 98% | 72% | 72% | 97% | 100% |
| Percent meeting time to first action - General Construction/Plumbing - Failure to Maintain (60 days) | 63% | 63% | 89% | 77% | 77% | 86% | 96% |
| Percent meeting time to first action - Illegal Conversion of Residential Building/Space (60 days) | 91% | 100% | 89% | 57% | 57% | 97% | 95% |
| Percent meeting time to first action - No Permit - Construction, Plumbing, Cranes & Derricks, Building/Use, Elevator (60 days) | 98% | 97% | 97% | 77% | 77% | 96% | 98% |
| ★ Critical Indicator "NA" Not Available ⇅ Directional Target * None | | | | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|---------|---------|---------|---------------------|-------------------|-------------------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$159.7 | \$173.2 | \$189.5 | \$183.0 | \$197.6 | \$182.1 | \$67.0 | \$71.8 |
| Revenues (\$000,000) | \$329.7 | \$388.5 | \$340.6 | \$352.7 | \$316.3 | \$337.9 | \$125.0 | \$106.6 |
| Personnel | 1,633 | 1,665 | 1,734 | 1,756 | 1,743 | 1,821 | 1,660 | 1,693 |
| Overtime paid (\$000,000) | \$7.4 | \$7.5 | \$8.8 | \$3.0 | \$3.0 | \$3.0 | \$2.4 | \$2.1 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|--|--|---|-----------------------------------|
| 001 - Personal Services | \$140.2 | \$145.7 | All |
| 002 - Other Than Personal Services | \$49.3 | \$51.9 | All |
| Agency Total | \$189.5 | \$197.6 | |
| ¹ Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ² Includes all funds. ³ Refer to agency goals listed at front of chapter. "NA" Not Available * None | | | |

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

None.

ADDITIONAL RESOURCES

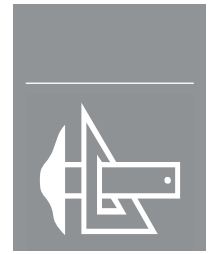
For additional information go to:

- Building One City:
http://www1.nyc.gov/assets/buildings/pdf/building_one_city.pdf
- Data and Reporting:
<http://www1.nyc.gov/site/buildings/about/metrics-reports.page>

For more information on the agency, please visit: www.nyc.gov/buildings.

DEPARTMENT OF DESIGN AND CONSTRUCTION

Lorraine Grillo, Commissioner



WHAT WE DO

The Department of Design and Construction (DDC) works with more than 20 City agencies as well as non-profit institutions receiving City funding to deliver high-quality public buildings and infrastructure for New York City efficiently and cost effectively while meeting stringent standards for environmental sustainability and resiliency. DDC supplies a full range of design and construction management services for public buildings projects such as new and upgraded libraries, firehouses and police precincts, and infrastructure projects including water mains, sewers, roads and public plazas. In Fiscal 2021 many of the agency's projects, at all stages of development and implementation, were impacted by the effects of and the response to the COVID-19 pandemic, particularly in DDC's Public Buildings Division. DDC's total portfolio in Fiscal Year 2021 consisted of 470 active projects (not including borough-based jail facilities or projects in the planning or closeout phases) valued at approximately \$12 billion.

FOCUS ON EQUITY

DDC has an extensive and diverse portfolio of projects that support neighborhoods, promote economic growth and advance the Mayor's commitment to enhancing the wellbeing of New Yorkers in every part of the City. In Fiscal 2021, this focus expanded to include the rapid construction of field hospitals, community clinics and testing sites the City needs to manage the COVID-19 pandemic. Our work also included the completion of the new Marcy Community Center in Brooklyn, now home to a Department of Youth & Community Development Cornerstone program run by Grand St. Settlement, an example of the beneficial projects designed and constructed by the agency to benefit every New York City resident.

DDC fosters an equitable and competitive business environment while ensuring its procurement processes are fair and its contractors reflect the diversity of New York City. DDC's Office of Diversity and Industry Relations implements policies and programs focused on creating accessibility to work, building business capacity, and ensuring accountability. Since 2015, the agency has engaged over 7,500 Minority and Women-owned Business Enterprises (M/WBEs) through internal and external workshops and seminars that enhance technical and business capacity, and connected a number of these businesses to contract opportunities. DDC has also structured procurements to create additional opportunities for M/WBEs, and is a leading agency in contract awards and payments to M/WBE firms.

DDC's commitment to equity is also exemplified through its work to help the City meet its long-term resiliency and sustainability goals. In Fiscal Year 2021, the agency began construction of its largest project to-date, the massive East Side Coastal Resiliency project. This project will protect more than 110,000 Lower East Side residents, including many in public housing, from the effects of future storms and sea level rise. It will create a 2.4-mile series of walls, movable flood gates, berms and raised parkland to shelter the community from a rising East River, while also upgrading valuable open space and public parks in the area to add new amenities and create better access to recreation.

To help neighborhoods manage the impacts of construction, DDC's Office of Community Outreach and Notification reaches out to local businesses and individuals in every community to share information and respond to concerns. Most infrastructure projects have full-time Community Construction Liaisons assigned to them, many of whom are multilingual, working daily at job sites to proactively address community issues.

DDC also educates students about careers in science, technology, engineering, architecture/art and mathematics through its STEAM program, providing workforce development, mentorship, and internship programs for students from middle school through college and graduate school. Through STEAM, DDC has provided more than 4,550 students in NYC high schools and in Title 1 middle schools with the guidance and skills to carve out careers in the design and construction industries. Over the summer of 2020, due to COVID-19 public health concerns, DDC's Science, Technology, Engineering, Arts, and Mathematics (STEAM) launched a virtual "Lunch and Learn" program as a substitute for DDC's in-house high school summer internship program.

OUR SERVICES AND GOALS

SERVICE 1 Design and build quality public buildings and infrastructure

- Goal 1a Complete projects on time and within budget.
- Goal 1b Meet quality assurance and site safety standards for all active projects.
- Goal 1c Improve customer satisfaction ratings.

HOW WE PERFORMED

- DDC has taken on a critical role in building the facilities the City requires to manage the COVID-19 pandemic. Since March, operating under less restrictive contracting and procurement rules allowed under the State of New York’s emergency health declaration, the agency designed and constructed two field hospitals with 1,100 beds total, 28 stationary testing sites, nine mobile testing trucks and three major COVID-19 Centers of Excellence clinics for NYC Health + Hospitals. DDC also expanded four NYC Department of Health and Mental Hygiene laboratories and equipped them with negative air pressure handling to accommodate COVID-19 testing. The agency also managed the GetCool program and performed more than 400 site inspections for the Learning Bridges program.
- The increase in construction contracts completed within budget can be attributed to several factors including a decrease in pedestrian and vehicular traffic during the COVID-19 pandemic, which enabled DDC’s Infrastructure Division to complete work more efficiently under expanded traffic stipulations and with less street interference. The improvement can also be attributed to new agency policy under its Strategic Blueprint for Construction Excellence that limits major project scope changes after a project has begun. This policy particularly affects the work of DDC’s Public Buildings Division.
- The decrease in the percent of active design and active construction projects that are early or on time is directly related to the COVID-19 pandemic, which led to a pause of several months of consultant design contracts, of most public buildings construction and of large-scale infrastructure programs such as sidewalk repairs and pedestrian ramp upgrades. Lane miles of water mains replaced or installed also decreased because of the pandemic and a pause in the bidding and registering of contracts for new infrastructure projects.

SERVICE 1 Design and build quality public buildings and infrastructure

Goal 1a Complete projects on time and within budget.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Design projects completed | 136 | 115 | 85 | 97 | 97 | 29 | 11 |
| Total design projects completed early/on time (%) | 93% | 92% | 79% | 88% | 88% | 76% | NA |
| ★ – Completed early/on time: Infrastructure (%) | 96% | 91% | 83% | 88% | 88% | 81% | NA |
| ★ – Completed early/on time: Public buildings (%) | 89% | 92% | 70% | 88% | 88% | 69% | NA |
| Construction projects completed | 132 | 118 | 108 | 103 | 103 | 30 | 19 |
| Total construction projects completed early/on time (%) | 88% | 87% | 89% | 82% | 82% | 93% | NA |
| ★ – Completed early/on time: Infrastructure (%) | 87% | 83% | 88% | 82% | 82% | 95% | NA |
| ★ – Completed early/on time: Public buildings (%) | 88% | 91% | 91% | 82% | 82% | 88% | NA |
| ★ Construction contracts completed within budget (%) | 83% | 86% | 85% | ↑ | ↑ | 81% | 88% |
| Roadway lane miles reconstructed | 25.0 | 30.8 | 55.9 | 20.0 | 20.0 | 13.1 | 19.0 |
| Sewers constructed (miles) | 18.2 | 18.3 | 17.7 | 4.0 | 4.0 | 4.7 | 4.8 |
| Sewers reconstructed (miles) | 7.4 | 10.0 | 10.6 | 8.0 | 8.0 | 3.9 | 4.3 |
| Water mains (new and replaced) (miles) | 92.6 | 82.7 | 54.8 | 30.0 | 30.0 | 25.9 | 16.5 |
| ★ Active design projects: Early/on time (%) | 85% | 82% | 70% | 88% | 88% | 78% | 64% |
| ★ Active construction projects: Early/on time (%) | 87% | 83% | 67% | 82% | 82% | 83% | 67% |
| Projects completed front-end-planning phase | NA | NA | 71.0 | * | * | 71.0 | 6.0 |

★ Critical Indicator "NA" Not Available ↑↓ Directional Target * None

Goal 1b

Meet quality assurance and site safety standards for all active projects.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Projects audited (%) | 100% | 100% | 100% | 95% | 95% | 53% | 67% |
| Construction-related accidents on DDC-managed construction sites | 32 | 24 | 14 | * | * | 6 | 8 |
| ★ Construction-related injuries on DDC-managed construction sites | 32 | 26 | 14 | ↓ | ↓ | 6 | 8 |
| ★ Construction-related fatalities on DDC-managed construction sites* | 0 | 1 | 0 | ↓ | ↓ | 0 | 0 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 1c

Improve customer satisfaction ratings.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Eligible projects with completed post-construction surveys (%) | 39% | 26% | 25% | * | * | 30% | 32% |
| Post-construction satisfaction - Surveys returned | 51 | 28 | 63 | * | * | 23 | 21 |
| ★ Respondents rating a completed project as adequate or better (%) | 90% | 79% | 89% | 90% | 90% | 67% | 100% |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|-------------------------------------|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| E-mails responded to in 14 days (%) | 99% | 100% | 100% | 90% | 90% | 100% | NA |
| Letters responded to in 14 days (%) | 98% | 99% | 100% | 90% | 90% | 100% | 100% |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|--|-----------|-----------|---------|---------------------|-------------------|-------------------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$550.9 | \$286.8 | \$347.2 | \$169.1 | \$344.4 | \$150.4 | \$116.3 | \$127.9 |
| Revenues (\$000) | \$20 | \$15 | \$46 | \$150 | \$150 | \$150 | \$25 | \$14 |
| Personnel | 1,389 | 1,355 | 1,263 | 1,553 | 1,245 | 1,292 | 1,320 | 1,243 |
| Overtime paid (\$000,000) | \$2.7 | \$2.5 | \$2.2 | \$1.1 | \$1.1 | \$1.1 | \$0.8 | \$0.4 |
| Capital commitments (capital projects managed for client agencies) (\$000,000) | \$2,170.2 | \$1,770.2 | \$873.0 | \$2,062.2 | \$1,650.7 | \$0.0 | NA | \$0.0 |

¹January 2021 Financial Plan.

²Expenditures include all funds

"NA" - Not Available

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|------------------------------------|--|---|-----------------------------------|
| 001 - Personal Services | \$121.8 | \$119.3 | All |
| 002 - Other Than Personal Services | \$225.4 | \$225.1 | All |
| Agency Total | \$347.2 | \$344.4 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available *None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

None.

ADDITIONAL RESOURCES

For more information on the agency, please visit: www.nyc.gov/ddc.



Promoting Viable Communities & Neighborhoods

Promoting Viable Communities & Neighborhoods



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New York City Housing
Authority

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New York City
Economic Development
Corporation

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Landmarks Preservation
Commission

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Department of Housing
Preservation and
Development

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DEPARTMENT OF CITY PLANNING

Marisa Lago, Director/Chair



WHAT WE DO

The Department of City Planning (DCP) plans for New York City's overall strategic growth and development. DCP works with communities and elected officials to build healthier, more equitable and resilient neighborhoods; develop land use policies and zoning regulations; and, in collaboration with the Office of Management and Budget (OMB), share perspectives on growth and community needs with its sister agencies, elected officials and members of the public. DCP's work builds on New York City's greatest strengths, its unparalleled diversity and resilient spirit, and helps to ensure that investments, including private investments, benefit the city as a whole.

DCP's six strategic objectives are: (1) catalyzing long-term neighborhood equity and improvement through integrated planning and targeted public investments; (2) encouraging housing production, affordability and quality; (3) promoting economic development and job growth; (4) enhancing resiliency and sustainability of neighborhoods; (5) ensuring integrity, timeliness and responsiveness in land use reviews; and (6) supplying objective data and expertise to a broad range of planning functions and stakeholders.

DCP supports the City Planning Commission (CPC) in its annual review of hundreds of land use applications and works closely with OMB in developing the City's Ten-Year Capital Strategy.

FOCUS ON EQUITY

Racism has long undermined the health and vitality of New York City's communities. As DCP examines its own role and the role of the planning profession in perpetuating practices that stymie fair, inclusive planning, the agency is committed to aggressively tackling racism and fostering a more equitable city.

DCP supports [Where We Live](#), the City's process to support fair housing principles and better understand and address how segregation and discrimination harm New Yorkers. Through projects that focus on affordable housing and job creation, DCP works to incentivize affordability and increased housing opportunities, and help improve the quality of life for marginalized populations.

Through [Mandatory Inclusionary Housing \(MIH\)](#) and [Zoning for Quality and Affordability \(ZQA\)](#), DCP supports [Housing New York 2.0](#), a suite of initiatives to help New Yorkers of all income levels and backgrounds find safe, affordable housing in neighborhoods throughout the city. DCP advances resiliency through work on the [Comprehensive Waterfront Plan](#) and [Zoning for Coastal Flood Resiliency \(ZCFR\)](#). It also seeks to coordinate transit improvements and land use to encourage the growth of business districts outside of the Manhattan Core to bring jobs closer to where New Yorkers live. This work includes the [Zoning for Transit Accessibility](#) initiative to expand zoning mechanisms to better coordinate new development with subway station accessibility improvements.

DCP works with OMB and all 59 community boards on annual [Community District Needs Statements and Budget Requests](#) and provides training for community boards on planning principles, initiatives and digital tools. DCP strives to improve transparency—including public access to Census and land use data—and access to planning resources. With the help of DCP's [digital tools](#), New Yorkers can better plan for their communities. DCP recently launched [NYC Engage](#), a portal that the public can use to participate in remote public meetings.

OUR SERVICES AND GOALS

SERVICE 1 Shape the use and development of land in the City's neighborhoods, business districts and waterfront through participatory planning and zoning changes.

Goal 1a Advance land use projects and proposals for public review that promote housing and affordability, economic development, sustainability and neighborhood quality of life.

SERVICE 2 Prepare information and policy analysis for the public, other government agencies and elected officials.

Goal 2a Provide quality technical and strategic planning expertise to the public, other City agencies and elected officials to support decision-making.

SERVICE 3 Manage land use and environmental review processes to facilitate public and private development citywide.

Goal 3a Conduct timely and thorough review of land use and environmental review projects, subject to City Planning Commission review, to ensure project submissions are technically complete and adhere to all applicable requirements and procedures.

HOW WE PERFORMED

- In total, DCP completed and presented 16 housing, economic development and neighborhood enhancement proposals during the first four months of Fiscal 2021 compared to 28 during the same four-month period a year ago. This decrease is largely due to the impact of the COVID-19 pandemic, leading DCP to change its approach, building out online tools and consolidating presentations that often reached broader audiences than a typical in-person meeting.
- During the reporting period, DCP moved forward on housing and neighborhood enhancement proposals that would further the Department's goals of increasing equity through planning. In October 2020, public review began for Zoning for Coastal Flood Resiliency, a citywide proposal that will help make buildings in flood-prone neighborhoods more resilient; allow for better, faster repairs; and ensure that seniors in nursing homes are better protected. Additional highlights include advancing permanently affordable housing and infrastructure investments to the moderate-income neighborhood of [Gowanus](#). DCP also announced plans to bring permanently affordable housing for all New Yorkers to the high-income neighborhoods of [SoHo/NoHo](#). Those plans are anticipated to begin public review in 2021. In the first four months of Fiscal 2021, DCP held webinars on improved rules for Staten Island's [Special Natural Area Districts](#). These rules will lessen the burden for homeowners making small renovations, while retaining a strong public review process for larger, more environmentally significant developments, in order to preserve the borough's beloved natural features.
- DCP presented or publicly released 109 planning information and policy analysis initiatives during the reporting period, a significant increase from the 83 released during the comparable reporting period in Fiscal 2020. This was due to increasing the update frequency of [PLUTO/MapPLUTO](#) from twice a year to every other month (with a future goal of releasing it monthly), as well as releasing the new [Digital City Map](#) data, updated monthly.
- Additional planning information presented to the public includes the [Comprehensive Waterfront Plan draft framework](#), spelling out priorities and community input for the next edition of the ten-year plan on the future of the waterfront; [Retail Activity in NYC: COVID Recovery Across 24 Neighborhoods](#), a report on storefront activity during the City's reopening from COVID shutdowns; and [COVID-19 Impacts on Transportation](#), several reports compiling data on how the pandemic is affecting the City's transportation network.
- In July 2020, DCP launched [NYC Planning Applicants](#), providing applicants with the ability to submit initial components of the land use application process online. This effort was an important step in having applications be fully digital and improving the transparency of the process in 2021. In total, 88 percent of the 74 applications that DCP advanced to the land use review process met their target timeframes during the reporting period, an improvement compared to 66 percent of 91 projects during the same four months a year ago. The baseline target is 70 percent.
- Certification or referral of simple zoning actions, City projects, Environmental Impact Statement projects, renewals and South Richmond actions all exceeded targets during the four-month reporting period. Zoning actions with Environmental Assessment Statements fell below their 15-month target, mostly due to slow applicant response. However, 53 percent of these projects certified on-time, a higher percentage than previous years. The lower number of total applications can be attributed to the six-month pause in ULURP due to the COVID-19 pandemic. All of the projects certified during this four-month period occurred during September and October.

SERVICE 1 Shape the use and development of land in the City's neighborhoods, business districts and waterfront through participatory planning and zoning changes.

Goal 1a

Advance land use projects and proposals for public review that promote housing and affordability, economic development, sustainability and neighborhood quality of life.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Economic development and housing proposals completed and presented to the public | 74 | 26 | 12 | * | * | 5 | 2 |
| Neighborhood enhancement proposals completed and presented to the public | 25 | 22 | 43 | * | * | 23 | 14 |
| ★ Critical Indicator "NA" Not Available ⬆️⬇️⬆️ Directional Target * None | | | | | | | |

SERVICE 2 Prepare information and policy analysis for the public, other government agencies and elected officials.

Goal 2a

Provide quality technical and strategic planning expertise to the public, other City agencies and elected officials to support decision-making.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Planning information and policy analysis initiatives presented to the public | 267 | 351 | 315 | * | * | 83 | 109 |
| ★ Critical Indicator "NA" Not Available ⬆️⬇️⬆️ Directional Target * None | | | | | | | |

SERVICE 3 Manage land use and environmental review processes to facilitate public and private development citywide.

Goal 3a

Conduct timely and thorough review of land use and environmental review projects, subject to City Planning Commission review, to ensure project submissions are technically complete and adhere to all applicable requirements and procedures.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Simple zoning actions certified/referred | 63 | 76 | 52 | * | * | 23 | 28 |
| ★ – Certified/referred within 12 months (%) | 68% | 79% | 79% | 70% | 70% | 70% | 86% |
| ★ Zoning actions with CEQR (EAS) certified/referred | NA | NA | 34 | * | * | 18 | 17 |
| – Certified/referred within 15 months (%) | NA | NA | 38% | 70% | 70% | 22% | 53% |
| ★ Zoning actions with CEQR (EIS) certified/referred | NA | NA | 3 | * | * | 3 | 1 |
| ★ – Certified/referred within 22 months (%) | NA | NA | 33% | 70% | 70% | 33% | 100% |
| City projects (non-zoning) certified/referred | 60 | 43 | 41 | * | * | 26 | 11 |
| ★ – Certified/referred within 6 months (%) | 97% | 74% | 90% | 70% | 70% | 85% | 100% |
| Renewals and South Richmond actions certified/referred | 63 | 78 | 48 | * | * | 21 | 17 |
| ★ – Certified/referred within 6 months (%) | 92% | 94% | 88% | 70% | 70% | 90% | 100% |
| ★ Critical Indicator "NA" Not Available ⬆️⬇️⬆️ Directional Target * None | | | | | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| E-mails responded to in 14 days (%) | 45% | 63% | 49% | 85% | 85% | 50% | 68% |
| Letters responded to in 14 days (%) | 51% | 66% | 42% | 50% | 50% | 54% | 0% |
| Completed customer requests for interpretation | 14 | 15 | 2 | * | * | NA | NA |
| CORE customer experience rating (0 - 100) | 99 | NA | 98 | 90 | 90 | NA | NA |
| ★ Critical Indicator "NA" Not Available ⬆️⬇️⬆️ Directional Target * None | | | | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|--------|--------|--------|------------------------|-------------------|-------------------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$36.1 | \$40.1 | \$43.0 | \$44.6 | \$46.1 | \$42.2 | \$25.1 | \$21.3 |
| Revenues (\$000,000) | \$5.4 | \$2.9 | \$3.1 | \$2.0 | \$3.0 | \$2.0 | \$1.1 | \$1.2 |
| Personnel | 348 | 347 | 317 | 390 | 354 | 367 | 322 | 304 |
| Overtime paid (\$000) | \$25 | \$27 | \$19 | \$32 | \$32 | \$32 | \$7 | \$0 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY201 (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|--|--------------------------------------|---|-----------------------------------|
| Personal Services - Total | \$28.2 | \$29.0 | |
| 001 - Personal Services | \$25.9 | \$26.4 | All |
| 003 - Geographic Systems | \$2.3 | \$2.6 | 2a |
| Other Than Personal Services - Total | \$14.8 | \$17.1 | |
| 002 - Other Than Personal Services | \$14.6 | \$16.8 | All |
| 004 - Geographic Systems | \$0.2 | \$0.3 | 2a |
| Agency Total | \$43.0 | \$46.1 | |
| ¹ Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ² Includes all funds. ³ Refer to agency goals listed at front of chapter. "NA" Not Available * None | | | |

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

None.

ADDITIONAL RESOURCES

For additional information on items referenced in the narrative, go to:

- Where We Live
<https://wherewelive.cityofnewyork.us/>
- Mandatory Inclusionary Housing
<http://www1.nyc.gov/site/planning/plans/mih/mandatory-inclusionary-housing.page>
- Zoning for Quality and Affordability
<http://www1.nyc.gov/site/planning/plans/zqa/zoning-for-quality-and-affordability.page>
- Housing New York 2.0
<https://www1.nyc.gov/assets/hpd/downloads/pdfs/about/housing-new-york-2-0.pdf>
- Comprehensive Waterfront Plan
<https://www.waterfrontplan.nyc/>

- Zoning for Coastal Flood Resiliency
<https://www1.nyc.gov/site/planning/plans/flood-resilience-zoning-text-update/flood-resilience-zoning-text-update.page>
- Zoning for Transit Accessibility
<https://council.nyc.gov/press/2019/09/27/1812/>
- Community District Needs Statements and Budget Requests
<https://www1.nyc.gov/site/planning/about/publications/citywide-statement-of-needs.page>
- Catalogue of Digital Tools
<https://www1.nyc.gov/assets/planning/download/pdf/planning-level/community/catalogue-digital-tools.pdf>
- NYC Engage
<https://www1.nyc.gov/site/nycengage/index.page>
- Gowanus Neighborhood Planning Study
<https://www1.nyc.gov/site/planning/plans/gowanus/gowanus.page>
- SoHo/NoHo Neighborhood Plan
<https://www1.nyc.gov/site/planning/plans/soho-noho/soho-noho-overview.page>
- Staten Island Special Districts Zoning Text Amendment
<https://www1.nyc.gov/site/planning/plans/si-district-text-amendment/si-district-text-amendment-overview.page>
- PLUTO/MapPLUTO
<https://www1.nyc.gov/site/planning/data-maps/open-data/dwn-pluto-mappluto.page>
- Digital City Map
<https://www1.nyc.gov/site/planning/data-maps/open-data/dwn-digital-city-map.page>
- Comprehensive Waterfront Plan draft framework
<https://www.waterfrontplan.nyc/framework>
- Retail Activity in NYC: COVID Recovery Across 24 Neighborhoods
<https://www1.nyc.gov/assets/planning/download/pdf/planning-level/housing-economy/retail-activity-nyc-covid-recovery.pdf>
- COVID-19 Impacts on Transportation
<https://www1.nyc.gov/site/planning/planning-level/transportation/transportation-overview.page>
- NYC Planning Applicants
<https://applicants.planning.nyc.gov/>

For more information on the agency, please visit: www.nyc.gov/dcp.

NEW YORK CITY ECONOMIC DEVELOPMENT CORPORATION

James Patchett, President



WHAT WE DO

New York City Economic Development Corporation (NYCEDC) is a mission-driven nonprofit organization that strives to create shared prosperity across New York City. NYCEDC is responsible for driving the growth of equitable, sustainable neighborhoods and investing in key industries like technology, life sciences and advanced manufacturing to diversify the City's economy and bring good paying jobs to New Yorkers. NYCEDC invests in communities through major infrastructure upgrades, capital projects and real estate development; manages City-owned properties; and works to enhance the City's major and emerging business sectors. NYCEDC addresses challenges faced by traditional and emerging industries through analysis of current and evolving economic trends, development of strategies and solutions, and implementation of programs that help businesses start, grow and thrive. Through the New York City Industrial Development Agency (NYCIDA), Build New York City Resource Corporation (Build NYC) and the New York City Neighborhood Capital Corporation (NYCNCC), NYCEDC helps eligible businesses and registered nonprofits meet financing needs for property acquisition, expansion, new equipment, renovation and working capital through low-cost, tax-exempt bonds, exemptions and abatements of selected City and State taxes and New Markets Tax Credits.

FOCUS ON EQUITY

NYCEDC fosters inclusive economic development across all five boroughs by helping to lay the foundations of growth, advancing quality jobs across sectors and promoting access to opportunity. Through investments in community facilities, affordable housing, parks, open space, streetscapes, infrastructure and resiliency projects, NYCEDC works with local communities to create dynamic and accessible neighborhoods across the City.

NYCNCC, a community-development entity administered by NYCEDC, applied for an additional New Market Tax Credit (NMTCT) allocation in November 2019 and received notice in July 2020 that a third allocation of \$50 million was granted by the U.S. Department of the Treasury, bringing NYCNCC's total amount awarded through the NMTCT Program to \$160 million to support health centers, community facilities, grocery stores and industrial projects in low-income communities.

Through Opportunity M/W/DBE, NYCEDC helps Minority, Women-Owned, and Disadvantaged Business Enterprises (M/W/DBEs) overcome challenges to winning government contracts for public projects. The ConstructNYC program helps small to mid-sized M/W/DBEs in the construction sector pre-qualify for the opportunity to work on NYCEDC projects. NYCEDC's Emerging Developer Loan Fund provides low-interest loans to emerging M/W/DBE developers taking on real estate projects.

A strong network of innovation spaces and programs across the City provide the resources companies need to grow in areas like advanced manufacturing, cybersecurity and digital technology. In addition, NYCEDC's HireNYC program helps connect low income residents to job opportunities created by the organization's development projects.

OUR SERVICES AND GOALS

SERVICE 1 Develop and build physical assets and infrastructure in all five boroughs.

- Goal 1a Support industry growth by improving the connectivity and livability of neighborhoods and investing in infrastructure and area-wide redevelopment.

SERVICE 2 Manage, maintain and enhance City assets to attract businesses.

- Goal 2a Leverage City assets to support business growth and strengthen communities' economic vitality.

SERVICE 3 Provide resources to targeted industries and businesses.

- Goal 3a Grow and diversify the City's economy by enhancing the competitiveness of industries and businesses.
- Goal 3b Facilitate private sector investments and make City investments where necessary to support business growth and secure a positive return to the City.

SERVICE 4 Leverage City investments to support inclusive economic development.

- Goal 4a Create economic opportunity for New Yorkers through real estate development.

HOW WE PERFORMED

- Much of NYCEDC's work during the first four months of Fiscal 2021 focused on strengthening the City's COVID-19 response and long-term recovery efforts. One notable highlight was the launch of the Pandemic Response Lab (PRL) in September to increase COVID-19 testing capacity in the City. The PRL is able to process up to 30,000 tests per day, returning more than 90 percent of results within 24 hours, and will support approximately 150 good-paying jobs. NYCEDC is laying the groundwork for the launch of a new Pandemic Response Institute (PRI) dedicated to preparing for future health emergencies and positioning the City as a global leader in research, innovation, and pandemic response. During this period, NYCEDC also continued supplying critical medical supplies to the City through the procurement of approximately 900,000 test kits, 550,000 medical gowns, 3.7 million face shields and 1,670 ventilators. These supplies will help ensure the City and its front-line healthcare workers are well equipped as the effort to combat COVID-19 continues.
- During the first four months of Fiscal 2021, NYCEDC closed two land sales leveraging more than \$266,000,000 in private investment. In Queens, NYCEDC closed on the sale of the JFK North Site to Bartlett Dairy, a minority-owned, family-run local business, for the development of a 54,000 square foot dairy distribution center on a significant portion of the JFK North Site, one of the largest city-owned manufacturing zoned properties. Bartlett Dairy's development of the JFK North Site will provide a permanent home for milk distribution within the five boroughs. Currently, milk distribution occurs in New Jersey and the products are then delivered to New York City by truck. Separately, in Harlem, NYCEDC transferred its interest in a property located at 121 West 125th Street to the City to facilitate a project led by the Empire State Development Corporation to bring the National Urban League back to Harlem, where it was founded 109 years ago.
- Capital expenditures for design and construction projects, with the exception of those related to Asset Management and Funding Agreements, exceeded \$44 million for this reporting period. NYCEDC's work for NYC Health + Hospitals drove expenditures this period, with the construction of Coney Island Hospital accounting for nearly half of total expenditures. Design is also well underway for a new Public Health Lab on the Harlem Hospital Center campus, where demolition of the existing structures is currently underway to make way for this new facility. Numerous other projects have resumed construction, including NYCEDC's Green Infrastructure project; a new facility in the Downtown Brooklyn Cultural District that will house BAM Cinema, MoCADA, 651 Arts and the Brooklyn Public Library; and a new addition to the Manhattan Greenway.
- NYC Ferry ridership exceeded 1.7 million riders during the first four months of Fiscal 2021. Due to COVID-19, ridership on the NYC Ferry system is down 45 percent from the same period last year. NYC Ferry is currently operating with reduced capacity to allow passengers to social distance and safely travel on NYC Ferry vessels. These adjustments to the NYC Ferry service have resulted in significant savings. Despite the extremely challenging operating environment, NYC Ferry continued with route expansions and improvements during the first four months of Fiscal 2021. In August, the East 90th Street stop was added to the Astoria route, providing a new connection between Queens and Manhattan. Additionally, two 149-passenger vessels were added to the NYC Ferry fleet.
- As a result of continued budgetary constraints due to COVID-19, the Graffiti Free NYC program has been suspended. No graffiti sites were cleaned through the Graffiti Free NYC program during the first four months of Fiscal 2021.
- The occupancy rate of NYCEDC-managed property increased slightly to 98.6 percent from 98.4 percent at the end of Fiscal 2020. The stability in the occupancy rate is in part due to NYCEDC's administration of a rent-relief program for tenants particularly affected by COVID-19. In addition, several new small business tenants began leasing space at Brooklyn Army Terminal during the first four months of Fiscal 2021, further contributing to the sustained high occupancy rate. Among the new tenants is Button Down Factory, a garment manufacturer which will use the space at Brooklyn Army Terminal to produce gowns and other personal protective equipment in high demand due to COVID-19.
- The New York City Industrial Development Agency (NYCIDA) closed two transactions during the first four months of Fiscal 2021, including the closing of bond refunding transaction with Yankee Stadium LLC. Together, NYCIDA expects these projects to generate nearly \$100 million in City tax revenue, leverage approximately \$18 million in private investment, and create and retain 147 full-time equivalent jobs within the first three years of their respective terms. The Yankee Stadium transaction will refund NYCIDA-issued 2006 and 2009 PILOT Revenue Bonds that were used to finance the construction of the Yankee Stadium. As a result of this refinancing, stadium workers will now be subject to City Prevailing Wage laws and will see an immediate increase in their wages. NYCIDA benefits were also granted to facilitate Bartlett Dairy's development of the 54,000 square foot dairy distribution center on a significant portion of the JFK Airport's North Site in Queens.

- The value of City capital disbursed through funding agreements for the first four months of Fiscal 2021 exceeded \$5 million. One notable funding agreement executed during this period will finance the development of a more than 30,000 square foot emergency room and cogeneration plant in Staten Island for the Richmond University Medical Center. Once complete, the space will be about double the size of the existing emergency facility and will house more than 40 private treatment rooms, four trauma bays, flood and storm-resistant architecture and will have the capacity to accommodate over 70,000 patients annually. Additionally, the Children's Aid Society began the renovation of a swimming pool, locker rooms and bathrooms at the Dunlevy Milbank Community Center in Harlem, which will result in improved community space for local residents.

SERVICE 1 Develop and build physical assets and infrastructure in all five boroughs.

Goal 1a

Support industry growth by improving the connectivity and livability of neighborhoods and investing in infrastructure and area-wide redevelopment.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|---------|--------|------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Private investment leveraged on the sale/long-term lease of City-owned property (\$000,000) | \$1,140.0 | \$1,200.6 | \$100.3 | ↑ | ↑ | \$0.0 | \$266.0 |
| Capital expenditures (\$000,000) (excludes asset management and funding agreements) | \$233.2 | \$216.0 | \$342.5 | * | * | \$36.9 | \$44.0 |
| Graffiti sites cleaned | 11,090 | 14,236 | 10,557 | * | * | 5,706 | NA |
| Square feet of graffiti removed (000) | 6,139 | 7,087 | 5,360 | * | * | 2,785 | NA |
| NYC Ferry - Average monthly ridership | 341,672 | 472,571 | 413,921 | * | * | 772,102 | 425,735 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | | * None | | | |

SERVICE 2 Manage, maintain and enhance City assets to attract businesses.

Goal 2a

Leverage City assets to support business growth and strengthen communities' economic vitality.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|----------|--------|-------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Capital expenditures on asset management (\$000,000) | \$95.0 | \$67.3 | \$36.1 | * | * | \$5.2 | \$1.4 |
| ★ Occupancy rate of NYCEDC-managed property (%) | 95.0% | 95.1% | 98.4% | 95.0% | 95.0% | 99.2% | 98.6% |
| Portfolio revenue generated (\$000,000) | \$237.2 | \$257.9 | \$223.0 | * | * | NA | NA |
| Square footage of assets actively managed by NYCEDC (000) | 64,923.7 | 65,849.7 | 64,424.1 | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | | * None | | | |

SERVICE 3 Provide resources to targeted industries and businesses.

Goal 3a

Grow and diversify the City's economy by enhancing the competitiveness of industries and businesses.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|-------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Businesses served by industry-focused programmatic initiatives | 1,538 | 1,775 | 1,585 | ↑ | ↑ | NA | NA |
| Private sector jobs in innovation industries (%) (calendar year) | 14.7% | 14.6% | 14.6% | * | * | NA | NA |
| New York City unemployment rate (%) | 4.5% | 4.2% | 7.4% | * | * | 4.2% | 15.8% |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | | * None | | | |

Goal 3b Facilitate private sector investments and make City investments where necessary to support business growth and secure a positive return to the City.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|-----------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| New York City Industrial Development Agency projects - Contracts closed | 14 | 7 | 9 | * | * | 4 | 2 |
| ★ – Projected three-year job growth associated with closed contracts | 15,201 | 254 | 4,389 | ↑ | ↑ | 1,301 | 147 |
| ★ – Projected net City tax revenues generated in connection with closed contracts (\$000,000) | \$2,368.7 | \$63.7 | \$1,244.6 | ↑ | ↑ | \$186.4 | \$97.4 |
| – Private investment leveraged on closed projects (\$000,000) | \$7,412.4 | \$163.5 | \$3,368.8 | * | * | \$619.8 | \$18.4 |
| Build NYC Resource Corporation - Contracts closed | 15 | 17 | 6 | * | * | 3 | 0 |
| ★ – Projected three-year job growth associated with closed contracts | 251 | 278 | 67 | ↑ | ↑ | 11 | 0 |
| ★ – Projected net City tax revenues generated in connection with closed contracts (\$000,000) | \$87.0 | \$297.2 | \$121.4 | ↑ | ↑ | \$54.2 | \$0.0 |
| – Private investment leveraged on closed projects (\$000,000) | \$616.3 | \$1,000.4 | \$252.2 | * | * | \$117.3 | \$0.0 |
| Value of funding disbursed pursuant to City funding agreements (\$000,000) | \$63.3 | \$128.3 | \$96.7 | * | * | \$43.2 | \$5.3 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

SERVICE 4 Leverage City investments to support inclusive economic development.

Goal 4a Create economic opportunity for New Yorkers through real estate development.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Project employees reported to be earning a living wage or more (%) | 98% | 99% | 100% | 95% | 95% | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|---------|---------|---------|---------------------|-------------------|-------------------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Personnel | 518 | 535 | 529 | 541 | 504 | 504 | 538 | 510 |
| Capital commitments (\$000,000) | \$320.0 | \$397.4 | \$276.4 | \$947.0 | \$781.3 | \$649.0 | \$61.8 | \$57.7 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ⁴ |
|---|--|---|-----------------------------------|
| 006 - Economic Development Corporation (OTPS) ¹ | \$115.1 | \$114.4 | All |
| ¹ EDC is contained within the Department of Small Business Services and appropriations are made through that agency. These figures are limited to the City's contribution and planned contribution respectively, to EDC. ² Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds ³ Includes all funds. ⁴ Refer to agency goals listed at front of chapter. "NA" Not Available * None | | | |

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- 'Graffiti sites cleaned' and 'Square feet of graffiti removed (000)' are not available, as the program has been paused due to COVID-19 related budget cuts.

ADDITIONAL RESOURCES

For additional information, go to:

- NYC Ferry:
<https://www.nycedc.com/project/nycferry>
<https://www.ferry.nyc/>

For more information on the agency, please visit: www.nyc.gov/edc.

DEPARTMENT OF HOUSING PRESERVATION AND DEVELOPMENT

Louise Carroll, Commissioner



WHAT WE DO

The New York City Department of Housing Preservation and Development (HPD) is the largest municipal housing preservation and development agency in the nation. The agency promotes the construction, rehabilitation and preservation of affordable, high-quality housing for low and moderate-income families in thriving and diverse neighborhoods in every borough by enforcing housing quality standards, financing affordable housing development and preservation, and ensuring sound management of the City's affordable housing stock.

FOCUS ON EQUITY

Using a variety of preservation, development, enforcement, and contracting strategies, HPD strives to improve the availability, affordability and quality of housing in all neighborhoods of New York City, while creating opportunities for economic advancement. By enforcing the Housing Maintenance Code, HPD works to ensure that New Yorkers live in safe and habitable neighborhoods and homes. By developing affordable housing, HPD seeks to serve households of a wide range of incomes, in all neighborhoods, with special attention to those with extremely low incomes, special needs, seniors, and the formerly homeless. Using a targeted, neighborhood-based approach to preservation, HPD is working to protect the ability of low-income families to remain in their current neighborhoods if they wish to do so, even as rents increase. At the same time, the Department's development and preservation initiatives seek to open up new housing opportunities for households at a range of incomes, with an increasing focus on the lowest-income and most vulnerable households.

As part of the continued effort to affirmatively further fair housing, in October 2020, the City of New York published *Where We Live NYC*. This is a comprehensive plan to advance fair housing informed by extensive public engagement with a diverse group of New Yorkers. In October 2020, the City of New York published *Where We Live NYC*, a comprehensive plan to advance fair housing, informed by extensive public engagement with a diverse group of New Yorkers. The *Where We Live NYC* plan is centered on addressing the legacy of discrimination in New York City and across the country, which has perpetuated inequities among New Yorkers based on race, disability, national origin, and other protected characteristics under federal, state, and local laws. HPD will advance the *Where We Live NYC* plan through a variety of strategies. In partnership with DCP, HPD will seek public approval to bring new, deeply affordable housing to high-cost, amenity-rich neighborhoods, including SoHo/NoHo and Gowanus. HPD will implement the *Bedford-Stuyvesant Housing Plan*, which focuses on the challenges facing a neighborhood that is home to one of the largest concentrations of Black residents nationally and has long been a beacon for Black culture. In addition, in partnership with DOHMH, HPD will expand proactive inspections of buildings with high health-risks, which contribute to disparities by race and by neighborhood in the prevalence of asthma and other harmful health conditions. These buildings are disproportionately located in majority Black and Hispanic neighborhoods, such as East Harlem and the South Bronx.

OUR SERVICES AND GOALS

SERVICE 1 Enforce the Housing Maintenance Code.

- Goal 1a Resolve housing maintenance complaints efficiently.
- Goal 1b Improve compliance with the Housing Maintenance Code.

SERVICE 2 Preserve and create quality affordable housing.

- Goal 2a Increase affordable housing opportunities through new construction and preservation.

SERVICE 3 Effectively manage HPD affordable housing assets.

- Goal 3a Improve financial and physical stability of existing affordable housing.

SERVICE 4 Provide affordable housing opportunities for the lowest income New Yorkers and maximize federal rent subsidies.

- Goal 4a Maximize federal rent subsidies to make housing affordable for low-income New Yorkers.
- Goal 4b Target HPD financed housing to the lowest-income New Yorkers.

HOW WE PERFORMED

- In the first four months of Fiscal 2021, the number of total housing maintenance complaints reported decreased by five percent compared to last year. HPD closed emergency complaints in 14.8 days, more than five days faster than its target and heat and hot water complaints in 2.6 days, 0.3 days faster than last year. Additionally, HPD closed nonemergency complaints in 21.2 days compared to 14.6 days last year during the same period, but remained below the target of 25 days. The Department continues to prioritize heat and hot water and immediate emergency complaints, while prioritizing the safety of both tenants and housing inspectors as the COVID-19 outbreak persists.
- In the first four months of Fiscal 2021, Housing Court continued to address only immediate emergency cases during the COVID-19 outbreak, allowing only a minimal number of new cases to be initiated. HPD's Housing Litigation Division was only able to initiate 143 cases, an 86 percent decrease from Fiscal 2020. In the same Fiscal 2021 timeframe, 268 cases were settled, and 9 judgments related to cases initiated by HPD were entered in Court, both significant decreases from the previous fiscal year.
- Total housing starts for the first four months of Fiscal 2021 were lower than in the same Fiscal 2020 period. HPD is on track to meet its goal of creating or preserving 25,000 units of affordable housing in Fiscal 2021. There are marked differences in housing starts during the first four months of the fiscal year, depending on the timing of closings and the presence or absence of a few large projects that affect the affordability distribution and other attributes. Overall housing completions are behind last year's pace, but HPD is expected to meet its annual completion units target by year-end. In addition to the expected variability, construction site COVID-19 precautions and protocols to protect tenants and site workers impacted the pace of construction. HPD has since received a restoration of Fiscal 2021 capital funds and has resumed closing projects to meet its MMR targets.
- HPD will report on the number of rental and co-op projects in its portfolio. As of October 2020, there were 1,576 rental projects and 1,013 co-op projects in HPD's portfolio. The agency will also report on the percentage of rental and co-op projects exhibiting signs of high-risk physical distress, financial distress, or noncompliance with federal requirements. Staff use these risk metrics to prioritize outreach and intervention efforts in the Asset Management portfolio. As of October 2020, seven percent of rental projects and 27 percent of co-op projects were at high risk.
- HPD issued 37 percent fewer Section 8 vouchers in the first four months of Fiscal 2021 compared to the same Fiscal 2020 period. The agency's voucher utilization rate for the first four months of Fiscal 2021 stands at 97.4 percent, a slight increase over the voucher utilization rate in the same Fiscal 2020 period. HPD's ability to issue vouchers continues to be impacted by the COVID-19 outbreak as the Department's Division of Tenant Resources continues to adjust its client-facing operations to the remote work environment. The Department also saw a decline in the number of voucher applications submitted, which impacted the number of vouchers issued.

SERVICE 1 Enforce the Housing Maintenance Code.

Goal 1a Resolve housing maintenance complaints efficiently.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|---------|---------|---------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Total complaints reported | 530,619 | 570,476 | 418,785 | * | * | 141,339 | 133,664 |
| ★ – Emergency complaints reported | 327,359 | 351,133 | 261,339 | * | * | 77,452 | 73,525 |
| Inspections completed | 706,664 | 737,216 | 571,622 | 570,000 | 675,000 | 213,732 | 173,787 |
| Inspection visits per team per day | 12.4 | 12.3 | 12.5 | * | * | 12.1 | 13.5 |
| Ratio of completed inspections to attempted inspections (%) | 79% | 80% | 81% | * | * | 79% | 80% |
| Total complaints closed | 532,571 | 568,822 | 415,228 | * | * | 137,738 | 128,083 |
| – Emergency complaints closed | 328,180 | 350,676 | 260,097 | * | * | 76,330 | 69,983 |
| – Heat and hot water | 114,641 | 121,757 | 104,225 | * | * | 14,787 | 11,891 |
| – Lead | 27,938 | 30,362 | 18,637 | * | * | 7,461 | 8,652 |
| – Other emergency | 185,601 | 198,557 | 137,235 | * | * | 54,082 | 49,440 |
| ★ Average time to close emergency complaints (days) | 11.4 | 10.4 | 10.9 | 20.0 | 12.0 | 11.5 | 14.8 |
| ★ Average time to close nonemergency complaints (days) | 17.5 | 17.7 | 21.4 | 25.0 | 20.0 | 14.6 | 21.2 |
| ★ Emergency complaints closed within 12 days of receipt (%) | 71% | 72% | 72% | ↑ | ↑ | 65% | 67% |
| Nonemergency complaints closed within 20 days of receipt (%) | 77% | 78% | 69% | * | * | 81% | 74% |
| ★ Critical Indicator | “NA” Not Available | ↑↓ Directional Target | * None | | | | |

Goal 1b Improve compliance with the Housing Maintenance Code.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|-------------|--------|------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Total violations issued | 522,199 | 604,068 | 474,619 | * | * | 203,944 | 160,422 |
| – Emergency violations issued | 76,887 | 86,258 | 89,614 | * | * | 34,797 | 24,628 |
| – Heat and hot water | 11,143 | 11,481 | 9,838 | * | * | 1,556 | 1,307 |
| – Lead | 10,990 | 13,770 | 9,619 | * | * | 4,582 | 2,780 |
| – Other emergency | 54,754 | 61,007 | 70,157 | * | * | 28,659 | 20,541 |
| – Nonemergency violations issued | 445,312 | 517,810 | 385,005 | * | * | 169,147 | 135,794 |
| ★ Violations issued and removed in the same fiscal year (%) | 43% | 41% | 44% | 40% | 40% | NA | NA |
| ★ Emergency violations corrected by owner (%) | 57% | 57% | 53% | 55% | 55% | NA | NA |
| Emergency violations corrected by HPD (%) | 9% | 8% | 8% | * | * | NA | NA |
| Violations closed | 510,713 | 539,777 | 467,785 | * | * | 185,942 | 107,248 |
| Violations certified as corrected by owner | 219,318 | 258,035 | 216,473 | * | * | 90,036 | 59,732 |
| Housing Court cases initiated by HPD | 7,093 | 4,957 | 3,656 | * | * | 1,054 | 143 |
| Housing Court cases initiated by HPD that were disposed | 6,938 | 5,245 | 2,970 | * | * | 1,180 | 366 |
| – Cases settled | 5,546 | 3,901 | 2,164 | * | * | 772 | 268 |
| – Cases resulting in judgments | 671 | 563 | 349 | * | * | 188 | 9 |
| Total dollars spent on emergency repairs (excluding demolition and AEP) (\$) | \$10,680,843 | \$9,500,718 | \$9,500,718 | * | * | NA | NA |
| Alternative Enforcement Program - Buildings currently active | 553 | 491 | 628 | * | * | NA | NA |
| – Buildings discharged (cumulative) | 1,834 | 2,146 | 2,259 | * | * | NA | NA |
| – Buildings discharged from program (%) (cumulative) | 73% | 78% | 80% | * | * | NA | NA |
| Total dollars spent on emergency repairs in the Alternative Enforcement Program (\$) | \$2,322,680 | \$2,353,336 | \$2,678,697 | * | * | NA | NA |
| ★ Critical Indicator | “NA” Not Available | ↑↓ Directional Target | * None | | | | |

SERVICE 2 Preserve and create quality affordable housing.

Goal 2a Increase affordable housing opportunities through new construction and preservation.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|----------------------|--------|--------|--------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Total housing starts under Housing New York (HNY) (units) | 32,285 | 25,597 | 30,281 | 25,000 | 25,000 | 5,063 | 4,468 |
| – New construction starts | 9,370 | 9,419 | 6,759 | 10,000 | 10,000 | 636 | 2,564 |
| – Preservation starts | 23,109 | 16,178 | 23,522 | 15,000 | 15,000 | 4,427 | 1,904 |
| HNY units started for homeless individuals and families | 1,911 | 2,682 | 1,417 | 2,500 | 2,500 | 400 | 934 |
| HNY units started that serve senior households | 1,889 | 2,001 | 698 | 2,250 | 2,250 | 157 | 365 |
| HNY units completed for homeless individuals and families | 2,264 | 2,538 | 1,197 | * | * | 313 | 392 |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | * None | | | | |

SERVICE 3 Effectively manage HPD affordable housing assets.

Goal 3a Improve financial and physical stability of existing affordable housing.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Asset management - Rental projects in portfolio | 1,261 | 1,317 | 1,512 | * | * | 1,340 | 1,576 |
| Asset management - High risk rental projects in portfolio (%) | 8.0% | 7.0% | 8.0% | * | * | 7.0% | 7.0% |
| Asset management - Co-op projects in portfolio | 1,028 | 999 | 1,012 | * | * | 1,004 | 1,013 |
| Asset management - High risk co-op projects in portfolio (%) | 29.0% | 28.0% | 27.0% | * | * | 22.0% | 27.0% |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | * None | | | | |

SERVICE 4 Provide affordable housing opportunities for the lowest income New Yorkers and maximize federal rent subsidies.

Goal 4a Maximize federal rent subsidies to make housing affordable for low-income New Yorkers.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|----------------------|--------|--------|-------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Section 8 - Voucher utilization rate | 96.4% | 96.6% | 97.2% | 98.0% | 98.0% | 96.7% | 97.4% |
| – Vouchers issued | 1,679 | 3,227 | 2,951 | * | * | 1,228 | 772 |
| – Households assisted | 39,526 | 39,906 | 40,636 | * | * | 40,024 | 40,760 |
| Section 8 subsidized units in abatement (%) | 2% | 3% | 2% | * | * | 3% | 2% |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | * None | | | | |

Goal 4b Target HPD financed housing to the lowest-income New Yorkers.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Housing New York units started – Extremely low income (0-30% AMI) | 6,130 | 5,394 | 2,360 | * | * | 555 | 1,371 |
| Housing New York units started – Very low income (31%-50% AMI) | 12,250 | 8,542 | 12,841 | * | * | 297 | 486 |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | * None | | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------|-------|-------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| E-mails responded to in 14 days (%) | 59% | 51% | 46% | 30% | 58% | 53% | 25% |
| Letters responded to in 14 days (%) | 52% | 44% | 36% | 30% | 52% | 38% | 17% |
| Average customer in-person wait time (minutes) | 15 | 15 | 17 | 29 | 29 | NA | NA |
| Visitors to the Division of Tenant Resources, Client and Owner Services rating customer service as good or better (%) | 86% | 87% | 89% | 95% | 95% | NA | NA |
| Completed customer requests for interpretation | 860 | 1,071 | 1,534 | * | * | NA | NA |
| CORE customer experience rating (0-100) | 93 | NA | | 85 | 85 | NA | NA |
| ★ Critical Indicator "NA" Not Available ⇅ Directional Target * None | | | | | | | |

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Response to 311 Service Requests (SRs) | | | | | | | |
| Percent meeting time to close - Heating (5 days) | 79% | 95% | 97% | 90% | 90% | 91% | 94% |
| Percent meeting time to close - Pests (30 days) | 61% | 65% | 57% | 60% | 60% | 65% | 67% |
| Percent meeting time to close - Paint/Plaster - Ceiling (17 days) | 74% | 76% | 72% | 70% | 70% | 75% | 77% |
| Percent meeting time to close - Paint/Plaster - Walls (17 days) | 67% | 69% | 63% | 60% | 69% | 70% | 68% |
| Percent meeting time to close - Plumbing - Water-Leaks (17 days) | 66% | 69% | 62% | 60% | 68% | 70% | 65% |
| ★ Critical Indicator "NA" Not Available ⇅ Directional Target * None | | | | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|-----------|-----------|-----------|---------------------|-------------------|-------------------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$1,000.8 | \$1,090.4 | \$1,129.8 | \$1,055.5 | \$1,271.6 | \$1,032.9 | \$422.5 | \$648.0 |
| Revenues (\$000,000) | \$93.9 | \$72.7 | \$72.7 | \$39.0 | \$43.9 | \$39.1 | \$38.6 | \$21.1 |
| Personnel | 2,295 | 2,380 | 2,429 | 2,559 | 2,511 | 2,534 | 2,409 | 2,414 |
| Overtime paid (\$000,000) | \$2.9 | \$4.0 | \$3.5 | \$2.0 | \$2.0 | \$2.0 | \$1.0 | \$0.4 |
| Capital commitments (\$000,000) | \$1,231.4 | \$1,508.5 | \$699.8 | \$741.5 | \$1,431.6 | \$1,449.5 | \$0.1 | \$111.3 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|--------------------------------------|--|---|-----------------------------------|
| Personal Services - Total | \$184.9 | \$190.1 | |
| 001 - Office of Administration | \$45.4 | \$46.6 | All |
| 002 - Office of Development | \$31.5 | \$34.1 | 2a, 3a, 4a, 4b |
| 003 - Rental Subsidy Program | | \$16.4 | 2a, 4a |
| 004 - Office of Housing Preservation | \$66.5 | \$69.2 | 1a, 1b |
| 006 - Housing Maintenance and Sales | \$41.5 | \$23.9 | 2a, 3a, 4b |
| Other Than Personal Services - Total | \$944.8 | \$1,081.5 | |
| 008 - Office of Administration | \$9.6 | \$10.3 | All |
| 009 - Office of Development | \$585.1 | \$75.6 | 1b, 2a, 4a, 4b |
| 010 - Housing Management and Sales | \$11.3 | \$15.0 | 1a, 1b, 2a, 3a, 4b |
| 011 - Office of Housing Preservation | \$72.8 | \$89.7 | 1a, 1b, 4b |
| 012 - City Assistance to NYC Housing | \$265.9 | \$402.3 | All |
| 013 - Rental Subsidy Program | \$0.0 | \$488.6 | 2a, 4a |
| Agency Total | \$1,129.8 | \$1,271.6 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available *None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- HPD is retiring indicators related to the New Housing Marketplace Plan (NHMP) as most of the of NHMP housing starts have completed. Equivalent indicators that measure completions for Housing New York (HNY) already exist or will be replaced as metrics in the PMMR. NHMP indicators that the agency is retiring include:
 - Total housing completions (NHMP and HNY)
 - New construction completions (NHMP and HNY)
 - Preservation completions (NHMP and HNY)
 - Units completed for homeless individuals and families (NHMP and HNY)
 - Total housing completions (NHMP)
 - New construction completions (NHMP)
 - Preservation completions (NHMP)
- The Department replaced the ‘Units completed for homeless individuals and families (NHMP and HNY)’ indicator with one specific to HNY alone, ‘HNY units completed for homeless individuals and families.’ The new indicator measures completed HNY new construction and preservation units that are restricted to homeless individuals and families.
- In Fiscal Year 2021, the HPD Asset Management indicator for “Rental buildings in AM Portfolio” was changed to “Rental projects in AM Portfolio”, and the indicator for “Co-op buildings in AM Portfolio” was changed to “Co-op projects in AM Portfolio.” This change was made to better align with the way that HPD’s Asset Management unit oversees its portfolio. HPD finances buildings in groups, known as “projects”, where buildings in the project are tied together financially by the owner and share financial resources. As such, a physical or financial issue with one building can affect the entire project, so buildings are best managed at a project level.
- In Fiscal Year 2021, the HPD Asset Management indicator for “High/Medium risk rental buildings in AM Portfolio” was changed to “High risk rental projects in AM Portfolio, and the indicator for “High/Medium risk co-op buildings in AM Portfolio” was changed to “High risk co-op projects in AM Portfolio.” The change was made because the revised indicator better highlights the segment of Asset Management’s portfolio with the greatest need for improvement (i.e. high risk rental and co-op projects), and is a more meaningful performance metric for understanding how well the Department is managing its portfolio over time.

ADDITIONAL RESOURCES

For additional information on items referenced in the narrative, go to:

- Housing New York: A Five-Borough, Ten-Year Plan:
<http://www.nyc.gov/html/housing/pages/home/index.shtml>

For more information on the agency, please visit: www.nyc.gov/hpd.

NEW YORK CITY HOUSING AUTHORITY

Gregory Russ, Chair/Chief Executive Officer



WHAT WE DO

“The New York City Housing Authority (“NYCHA” or the “Authority”) provides affordable housing to 380,299 authorized residents in over 177,611 apartments within 335 housing developments. NYCHA serves 359,593 authorized residents in over 168,100 apartments within 285 housing developments through the conventional public housing program (Section 9) and 20,706 authorized residents in 9,511 units within 50 developments that were converted to PACT/RAD. Through federal rent subsidies (Section 8 Leased Housing Program), NYCHA also provides rental subsidies to approximately 77,663 families in locating and renting units. In addition, NYCHA facilitates access to social services through a variety of programs.”

NYCHA is at a critical moment in its 85-year history. Years of disinvestment and deterioration have led to an emergency situation that requires an urgent and extraordinary response. In January of 2019, the Authority signed an agreement with the U.S. Department of Housing and Urban Development (HUD) committing to a set of reforms and performance targets across six pillar areas: inspections, lead, mold, pests/waste, heating, and elevators. The agreement is an opportunity to reverse NYCHA’s trajectory, and the Authority is committed to making the necessary changes to ensure its future as an effective landlord and provider of safe, sanitary, and affordable housing. An independent monitor is in place, working with NYCHA on these goals and issuing quarterly reports on compliance with the agreement.

FOCUS ON EQUITY

NYCHA promotes equity through its mission to provide quality housing for New Yorkers that is sustainable, inclusive, and safe, while fostering opportunities for economic mobility. The Authority has increased resident access to resources and services in this past fiscal year. NYCHA develops and implements programs, policies, and partnerships, to measurably support residents in the areas of employment, training, education and health. In the first four months of Fiscal 2021, NYCHA engaged 15,501 residents in the design and implementation of key initiatives, including planning for PACT conversions and collecting public comments and feedback on the Blueprint for Change. At the core of this work are NYCHA’s efforts to deliver better services to residents in a range of critical areas, transform as an organization, and bring NYCHA buildings the capital investment they need to support the generations of New Yorkers to come. NYCHA has also requested public comment on the Transformation Plan proposal to ensure that all residents and stakeholders have the opportunity to be included in the process. NYCHA will continue to attract new partners, create new opportunities for communication, and expand services for residents while providing support to resident associations and other resident-led groups.

OUR SERVICES AND GOALS

SERVICE 1 Operate as an efficient and effective landlord.

- Goal 1a Improve rent collection.
- Goal 1b Expedite maintenance and repairs.
- Goal 1c Optimize apartment usage and ensure rental equity.
- Goal 1d Improve safety and security.

SERVICE 2 (Re)build, expand and preserve public housing and affordable housing stock.

- Goal 2a Preserve the public and affordable housing asset.
- Goal 2b Optimize access to affordable housing in public housing developments to income-eligible families.
- Goal 2c Increase access to affordable housing in privately owned units.
- Goal 2d Develop new mixed-use, mixed-income housing and resources.

SERVICE 3 Engage residents and connect them to best-in-class social services.

- Goal 3a Connect all residents to critical services in their communities.
- Goal 3b Increase employment opportunities among NYCHA residents.

HOW WE PERFORMED

- The cumulative rent collection decreased by three percent, from 88.9 percent for the first four months of Fiscal 2020 to 83.5 percent during the same period in Fiscal 2021 and did not meet the target of 97.5 percent. The monthly rent delinquency increased from 35.4 percent in Fiscal 2020 to 38.7 percent in Fiscal 2021. The COVID-19 pandemic has impacted the rent collection between April and October 2020. NYCHA, in compliance with guidance since the onset of COVID-19, has not been utilizing the processes that would normally be used to engage with residents to support rent collection (direct-contact meetings between staff and residents, in-person rent collection, etc.). The Authority has received and processed more interim rent adjustments as a result of income reductions, which are contributing factors to the rising numbers. Residents concerned about paying their rent or who are experiencing financial hardship can apply for rent hardship through a simplified process which allows self-certification without the documents that were previously required (pay stubs, etc.).
- The average time to resolve emergency complaints remained generally stable and within the target of 24 hours, with a small increase of about two percent from 10.8 hours in the first four months of Fiscal 2020 to 11 hours in the same period for Fiscal 2021. NYCHA continues to monitor emergency work orders to ensure their timely completion.
- The average time to resolve non-emergency service requests increased by 16 percent, from 22.5 days for the first four months of Fiscal 2020 to 26 days for the same period in Fiscal 2021. NYCHA attributes this increase to the backlog of work orders as well as the impacts of the COVID-19 pandemic. NYCHA instituted a work order guidance limiting staff from conducting certain lower-priority in-unit repairs during the pandemic. Following the advice of the Occupational Safety and Health Administration (OSHA), HUD and federal, local and state public health professionals, this guidance was put in place in mid-March to protect the health and safety of NYCHA's residents and employees. This limitation on the type of work that can be performed in apartments has negatively impacted the resolution time for non-emergency work orders. NYCHA has slowly begun to add tasks back into the work order guidance over time, including some non-emergency work and other repairs which were not performed earlier in the COVID-19 pandemic. This expanded guidance allows more work to be done in apartments and will help reduce the backlog of work orders.
- Heat outage figures are reported for the heating season, which begins in October and ends in May. Data for the Fiscal 2021 reporting period covers only the month of October. The average hours to resolve heat outages was 9 hours, a 50 percent increase compared to six hours in Fiscal 2020 (October 2019). However, the duration remained within the target of 12 hours as required in the January 2019 agreement with HUD. The average duration of heat outages increased in October 2020 as result of a higher number of reported outages (41) compared to October 2019 (7) as equipment deficiencies and vulnerabilities were identified early in the heating season. Performance has since improved.
- The average time to resolve elevator outages increased 33 percent, from 9.6 hours in the first four months of Fiscal 2020 to 12.8 hours in the same period in Fiscal 2021, and was higher than the target of 10 hours. The average outage per elevator per month increased from 1.07 to 1.17. The elevator service uptime dropped to 97.9 percent but was better than the target of 97 percent. The COVID-19 work order guidance severely limited preventive maintenance in single car as well as duplex buildings, which led to a higher number of outages and subsequently a longer resolution time. The percentage of elevator outages due to vandalism dropped to 7.4 percent in the first four months of Fiscal 2021 from 11.90 percent in Fiscal 2020. The decrease in vandalism is the result of continued reporting and training to accurately identify vandalism causes. The number of alleged elevator injuries decreased by 63 percent, from eight in the first four months of Fiscal 2020 to three in Fiscal 2021. NYCHA's consistent training and continued safety communication to field staff and residents has helped reduce the number of injuries.
- The management cost per dwelling unit per month slightly increased from \$1,014 in the first four months of Fiscal 2020 to \$1,033 in Fiscal 2021. The small variance is due to the decrease of public housing units from the RAD/PACT transactions as well as the increase in management cost in utilities (\$13.0M) and in maintenance and operation expenses (\$5.7M), which were offset by the decrease in general and administrative expenses (\$9.2M) and protective service costs (\$8.8M).

- In the first four months of Fiscal 2021, the average time to prepare vacant apartments for re-rental dropped to 104.2 days, compared to 112.3 days in Fiscal 2020 during the same period. The long tenure of residents in public housing and significantly aged buildings result in apartments needing extensive work at turnover, especially in the areas of carpentry, plastering, painting and lead abatement. NYCHA also identified some apartments with exceptionally high prep time that skewed the overall average. Of the total 2,058 move-out inspections, 52 apartments had a prep time of over 365 days, which increased the overall average from 93 days to 104.2 days.
- The longer turnaround time to re-occupy apartments was impacted by the significantly longer prep time for vacant apartments. NYCHA is exploring the use of vendor contracts that can expedite the apartment prep process and subsequently reduce the overall re-occupancy time. The Authority is also exploring policy modifications to improve the prospective tenant's experience during the apartment selection process by reducing the time between the apartment selection and the move-in date.
- The crime rate rose to 5.4 in Fiscal 2021 from 4.7 in Fiscal 2020. NYCHA continues to strengthen its relationship with the NYPD and other law enforcement agencies. NYCHA is also developing ways to boost resident engagement; work with resident leadership and their associations to secure additional funding for security enhancements such as LED lighting, closed-circuit television (CCTV), and Layered Access Control (LAC) entrances; and increase communication about safety and security issues with residents. As part of the Mayor's Action Plan for Neighborhood Safety (MAP), construction has been completed for new exterior lighting at 14 MAP developments. Construction is completed at 13 of the 15 MAP developments that are receiving CCTV/LAC installation. Additionally, construction was completed for new exterior lighting at 57 buildings in nine non-MAP developments. As of October 31, 2020, CCTV and LAC installations have been completed at 57 of the 62 developments, and work is ongoing at five remaining sites.
- The percentage of active capital projects in construction on schedule increased to 82.2 percent in Fiscal 2021 from 70.9 percent in Fiscal 2020. The percentage of all active capital projects on schedule increased to 72.9 percent in the first four months of Fiscal 2021 from 62.8 percent in Fiscal 2020. NYCHA's Capital Projects Division (CPD) continues to apply risk mitigation strategies in the management of the portfolio. Adjustments were made to minimize the impact of the COVID-19 pandemic, which included continuous coordination with vendors on site visits and work progress, the design of an indicator in the project management system used to identify projects with a COVID 19 impact, and modifying the timeline of projects that had sequence of activities in order to comply with Centers for Disease Control and Prevention (CDC) requirements. In addition, CPD also reviews projects to identify the causes of less than optimal performance such as issues pertaining to scope and funding changes and regulatory agency requirements.
- NYCHA's occupancy rate has remained stable at 98.7 percent in Fiscal 2021 compared to 98.8 percent in Fiscal 2020. As of October 2020, NYCHA had approximately 170,000 occupied units. The number of applicants placed in public housing decreased by eight percent, from 1,143 during the first four months of Fiscal 2020 to 1,053 in Fiscal 2021. The drop in public housing placements resulted from a decrease of available apartments during this time period.
- The number of homeless households placed in NYCHA vacant apartments during the first four months of Fiscal 2021 (827) was five percent lower compared to the same period in Fiscal 2020. The number of homeless placed in public housing dropped from 589 to 554 and the number of homeless placed through Section 8 increased from 279 to 310. The trend in homeless placements was reflective of the decrease of available apartments during the reporting period.
- The number of families on the Section 8 waiting list decreased to about 40,000 in Fiscal 2021 from 138,000 in Fiscal 2020. Over the past year, NYCHA's Section 8 program conducted outreach to the applicants to update its waiting list. The decrease is a result of those applicants who did not confirm continued interest in remaining on the waiting list.
- The maximum allowable Section 8 vouchers increased slightly from 102,706 in Fiscal 2020 to 104,054 in Fiscal 2021. The funded Section 8 vouchers slightly increased from 86,768 to 87,285. The increase reflects new program admissions and PACT conversions.
- The percentage of biennial Section 8 inspections completed declined from 97 percent for the first four months of Fiscal 2020 to 85 percent for the same period in Fiscal 2021. The Leased Housing Department suspended all Housing Quality Standards inspections because of the state of emergency for COVID-19. As a result, the inspection completion rate was impacted.

- The number of applicants placed through Section 8 vouchers decreased by 73 percent, from 1,166 in the first four months of Fiscal 2020 to 320 during the same period in Fiscal 2021. Although NYCHA continues to issue vouchers, there were fewer placements due to the ongoing state of emergency under COVID-19.
- The referrals to supportive services provided to senior residents more than doubled from 11,427 for the first four months of Fiscal 2020 to 23,127 for the same period in Fiscal 2021. The increase in supportive services is attributed to the impacts of the COVID-19 pandemic. Wellness calls were conducted by all Community Engagement and Partnerships (CEP) departments and executive staff. Residents were referred to an array of services such as home care, health care, entitlements, addressing rent, and repair needs. Residents were also connected to food delivery services through GetFoodNYC and other community-based food services; NYC Well Health; DOE Grab and Go; and Capsule for free medication. They also received free tablets with training and free air conditioners through the Mayor's Office.
- There were 389 overall resident job placements during the first four months of Fiscal 2021 compared to 964 during the same period in Fiscal 2020. This indicator includes 330 direct placements through NYCHA's Office of Resident Economic Empowerment and Sustainability (REES) and Human Resources Department as well as 59 partner placements. The decrease can be attributed to COVID-19, which began in mid-March and immediately caused NYCHA to pause hiring in many of its titles. NYCHA employer contractors also paused much of their hiring and Jobs-Plus partners experienced a shortage of employment opportunities with New York on Pause.

SERVICE 1 Operate as an efficient and effective landlord.

Goal 1a Improve rent collection.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---------------------------|--------------------|-----------------------|--------|--------|-------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Rent collection (%) | 92.3% | 89.6% | 86.4% | 97.5% | 97.5% | 88.9% | 83.5% |
| Rent delinquency rate (%) | 31.5% | 34.9% | 37.0% | * | * | 35.4% | 38.7% |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

Goal 1b Expedite maintenance and repairs.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|---------|--------|-------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average time to resolve emergency service requests (hours) | 13.1 | 12.7 | 16.7 | 24.0 | 24.0 | 10.8 | 11.0 |
| ★ Average time to resolve non-emergency service requests (days) | 18.6 | 19.4 | 27.6 | 15.0 | 15.0 | 22.5 | 26.0 |
| ★ Average time to resolve elevator outages (hours) | 10.3 | 11.7 | 9.5 | 10.0 | 10.0 | 9.6 | 12.8 |
| ★ Average outage per elevator per month | 1.07 | 1.16 | 0.97 | 1.01 | 1.01 | 1.07 | 1.17 |
| ★ Elevator service uptime (%) | 98.5% | 98.1% | 98.7% | 97.0% | 97.0% | 98.6% | 97.9% |
| ★ Alleged elevator injuries reported to the Department of Buildings | 7 | 4 | 9 | ↕ | ↕ | 8 | 3 |
| ★ Elevator-related fatalities | 0 | 0 | 0 | ↕ | ↕ | 0 | 0 |
| Management cost per dwelling unit per month (\$) | \$978 | \$1,052 | \$1,077 | \$875 | \$875 | \$1,014 | \$1,033 |
| ★ Average Time (hours) to Resolve Heat Outages | | | | 12.0 | 12.0 | 6.7 | 9.4 |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

Goal 1c Optimize apartment usage and ensure rental equity.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average time to prepare vacant apartments (days) | 50.8 | 83.5 | 114.5 | 20.0 | 20.0 | 112.3 | 104.2 |
| ★ Average turnaround time for vacant apartments (days) | 51.8 | 76.5 | 97.8 | 30.0 | 30.0 | 92.4 | 114.9 |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

Goal 1d Improve safety and security.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-------|-----------------------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Major felony crime rate per 1,000 residents | 12.3 | 12.4 | 12.6 | * | * | 4.7 | 5.4 |
| ★ Major felony crimes in public housing developments | 4,853 | 4,766 | 4,844 | ↓ | ↓ | 1,728 | 1,912 |
| ★ Critical Indicator | "NA" Not Available | | ↑↓ Directional Target | * None | | | |

SERVICE 2 (Re)build, expand and preserve public housing and affordable housing stock.

Goal 2a Preserve the public and affordable housing asset.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-------|-----------------------|--------|-------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Active capital projects on schedule (%) | 76.3% | 68.3% | 78.9% | 75.0% | 75.0% | 62.8% | 72.9% |
| ★ Active capital projects in construction phase on schedule (%) | 89.8% | 77.3% | 94.2% | 85.0% | 85.0% | 70.9% | 82.2% |
| Number of buildings (Public Housing Portfolio) | 2,418 | 2,351 | 2,252 | * | * | 2,291 | 2,252 |
| Number of developments transitioned (RAD/PACT Portfolio) | NA | 18 | 14 | * | * | 5 | 0 |
| Number of buildings transitioned (RAD/PACT Portfolio) | NA | 67 | 97 | * | * | 60 | 0 |
| Number of apartments transitioned through PACT/RAD (RAD/PACT Portfolio) | NA | 2,458 | 3,940 | * | * | 1,315 | 0 |
| ★ Critical Indicator | "NA" Not Available | | ↑↓ Directional Target | * None | | | |

Goal 2b Optimize access to affordable housing in public housing developments to income-eligible families.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-------|-----------------------|--------|-------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Apartment Attrition Rate (%) | 4.0% | 3.6% | 3.8% | * | * | NA | NA |
| ★ Occupancy rate (%) | 99.3% | 98.9% | 98.8% | 99.2% | 99.2% | 98.8% | 98.7% |
| Applicants placed in public housing | 3,748 | 3,147 | 3,330 | * | * | 1,143 | 1,053 |
| Homeless applicants placed in housing - Total | 2,683 | 2,449 | 2,662 | * | * | 868 | 827 |
| - NYCHA housing | 1,686 | 1,403 | 1,913 | * | * | 589 | 554 |
| - Section 8 | 997 | 1,046 | 749 | * | * | 279 | 310 |
| Working families residing in public housing (cumulative) (%) | 46.0% | 46.0% | 45.3% | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | | ↑↓ Directional Target | * None | | | |

Goal 2c Increase access to affordable housing in privately owned units.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|---------|-----------------------|--------|--------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Families on Section 8 waiting list (000) | 141 | 138 | 40 | * | * | 138 | 40 |
| Maximum allowable Section 8 vouchers | 101,254 | 102,706 | 104,054 | * | * | 102,706 | 104,054 |
| Funded Section 8 vouchers | 86,628 | 86,768 | 87,285 | * | * | 86,768 | 87,285 |
| ★ Utilization rate for funded Section 8 vouchers (%) | 99.0% | 99.0% | 100.0% | 97.0% | 97.0% | 99.0% | 100.0% |
| Funding utilization for Section 8 vouchers (%) | 101.0% | 98.0% | 98.0% | * | * | 100.0% | 99.0% |
| ★ Section 8 occupied units (vouchers) | 84,994 | 85,839 | 87,439 | 87,000 | 87,000 | 86,164 | 86,965 |
| Biennial Section 8 inspections | 98.0% | 98.0% | 93.0% | * | * | 97.0% | 85.0% |
| Annual Section 8 recertifications | 99.0% | 99.0% | 98.0% | * | * | 99.0% | 99.0% |
| Applicants placed through Section 8 vouchers | 1,735 | 2,438 | 3,632 | * | * | 1,166 | 320 |
| ★ Critical Indicator | "NA" Not Available | | ↑↓ Directional Target | * None | | | |

Goal 2d Develop new mixed-use, mixed-income housing and resources.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|------|-------------------------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Unit Inventory (Public Housing Portfolio) | 176 | 173 | 170 | * | * | 172 | 170 |
| Number of developments (Public Housing Portfolio) | 325 | 316 | 302 | * | * | 311 | 302 |
| ★ Critical Indicator | "NA" Not Available | | ⬆️⬆️ Directional Target | * None | | | |

SERVICE 3 Engage residents and connect them to best-in-class social services.

Goal 3a Connect all residents to critical services in their communities.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|--------|-------------------------|--------|-------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Residents approved for emergency transfers | 1,794 | 1,846 | 1,776 | * | * | 680 | 691 |
| ★ Emergency transfer disposition time (days) | 24.52 | 13.97 | 14.93 | 45.00 | 45.00 | 14.44 | 13.42 |
| ★ Initial social service tenant contacts conducted within five days of referral (%) | 77% | 88% | 91% | 76% | 76% | 91% | 95% |
| Referrals to supportive social services for senior residents | 20,813 | 20,521 | 41,586 | * | * | 11,427 | 23,127 |
| ★ Critical Indicator | "NA" Not Available | | ⬆️⬆️ Directional Target | * None | | | |

Goal 3b Increase employment opportunities among NYCHA residents.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-------|-------------------------|--------|-------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Resident job placements - Total | 2,903 | 2,933 | 2,127 | ⬆️ | ⬆️ | 964 | 389 |
| - Direct placements | 1,461 | 1,082 | 862 | 1,593 | 1,593 | 412 | 330 |
| - Program and partner placements | 1,442 | 1,851 | 1,265 | * | * | 552 | 59 |
| Job training graduates placed in jobs (%) | 85% | 83% | 91% | * | * | NA | NA |
| Youth placed in jobs through youth employment programs | 960 | 972 | 3,896 | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | | ⬆️⬆️ Directional Target | * None | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|---------|-------------------------|--------|-------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Completed requests for interpretation | 172,978 | 178,282 | 147,520 | * | * | 61,378 | 59,850 |
| Letters responded to in 14 days (%) | 88.9% | 68.5% | 97.1% | * | * | 96.6% | TBD |
| E-mails responded to in 14 days (%) | 80.3% | 97.0% | 95.7% | * | * | 97.9% | 98.8% |
| Average wait time to speak with a customer service agent (minutes) | 17 | 17:2 | 14:5 | * | * | 17:5 | TBD |
| CORE facility rating | 82 | NA | 97 | * | * | NA | NA |
| Calls answered in 30 seconds (%) | 57.0% | 63.7% | 74.0% | * | * | 70.5% | 67.0% |
| Number of agency customers surveyed for overall customer satisfaction | 54,822 | 66,044 | 37,135 | * | * | NA | NA |
| Customers rating service good or better (%) | 78.8% | 75.9% | 75.4% | 71.0% | 71.0% | NA | NA |
| ★ Critical Indicator | "NA" Not Available | | ⬆️⬆️ Directional Target | * None | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|-----------|-----------|-----------|------------------------|-------------------|-------------------|----------------|-----------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$3,376.0 | \$3,492.2 | \$3,749.2 | \$3,746.1 | \$3,746.1 | \$4,083.7 | \$1,171.8 | \$1,183.8 |
| Revenues (\$000,000) | \$3,306.5 | \$3,532.5 | \$3,486.2 | \$3,837.4 | \$3,837.4 | \$4,058.3 | \$1,180.3 | \$1,251.2 |
| Personnel | 10,761 | 10,834 | 11,061 | 11,029 | 11,968 | 11,559 | 11,056 | 11,787 |
| Overtime paid (\$000,000) | \$101.4 | \$102.5 | \$148.0 | \$105.5 | \$105.5 | \$89.8 | \$44.4 | \$45.6 |
| Capital commitments (\$000,000) | \$137.5 | \$302.3 | \$175.7 | \$350.7 | \$1,575.2 | \$402.0 | \$42.8 | -\$37.0 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- NYCHA transitioned its 14 senior centers to the NYC Department for the Aging (DFTA) in November 2019 and no longer operates those centers. As a result, NYCHA is no longer reporting on the following indicators: “# of Senior centers” and “Utilization of senior centers.”
- The “Average time to resolve heat complaints” metric has been replaced by the “Average hours to resolve heat outages”, which is a key metric used to measure heating services performance in the HUD Agreement.
- In order to provide a more holistic view of the changes in its portfolio as a result of the PACT/RAD transactions, NYCHA has added the following metrics: “Number of apartments transitioned through PACT/RAD,” “Number of developments transitioned,” and “Number of buildings transitioned.”
- Currently, NYCHA is not in compliance with several federal regulations and is working to assess the extent of noncompliance. On January 31, 2019, NYCHA signed an agreement with HUD to resolve claims brought by the U.S. Attorney’s Office for the Southern District of New York, including on behalf of HUD and the Environmental Protection Agency. The agreement establishes a framework by which NYCHA will continue to evaluate its compliance with federal requirements. The agreement also requires NYCHA to take certain actions and meet certain standards and deadlines related to health and safety. NYCHA has not yet met certain standards and deadlines set forth in the agreement and continues to work with an independent monitor to improve its compliance with these requirements. The monitor is in place with access to NYCHA information and personnel and has issued and will continue to issue quarterly reports on NYCHA’s compliance with the agreement (<https://nychamonitor.com/>).

ADDITIONAL RESOURCES

For more information on the agency, please visit: www.nyc.gov/nycha.

LANDMARKS PRESERVATION COMMISSION

Sarah Carroll, Chair



WHAT WE DO

The Landmarks Preservation Commission (LPC) designates, regulates and protects the City's architectural, historic and cultural resources, which now number more than 37,300 buildings and sites, including 1,439 individual landmarks and more than 35,000 buildings and sites within 151 historic districts and extensions across all five boroughs. The agency reviews applications for work on designated properties, investigates complaints of illegal work and initiates action to compel compliance with the Landmarks Law. LPC also administers a federally funded Historic Preservation Grant Program that provides financial assistance to low-to-moderate income New Yorkers to help fund work on designated properties.

FOCUS ON EQUITY

LPC applies an equity lens to all aspects of its work. Designations are an important way to reflect the diverse history of the City. LPC has continued to prioritize the designation of buildings and sites that equitably represent communities. During the first four months of Fiscal 2021, LPC designated Public School 48, the first landmark in South Jamaica, Queens and proposed the designation of the East 25th Street Historic District, a remarkably cohesive group of intact row houses that reflect Flatbush's increasing diversity and the growth of its African American and Caribbean American communities.

LPC responded quickly to the pandemic to ensure equitable access and continuity in all critical functions. The agency instituted e-filing and virtual hearings to continue to issue permits and allow for robust public engagement. In addition, the agency launched a business recovery initiative to help struggling businesses and support Open Streets program.

Finally, the agency applied equity through education and outreach programs focused on the benefits and responsibilities of preservation in communities across all five boroughs. As a regulatory agency, it is essential for applicants to understand the agency's processes and have equal access to resources. In the first four months of Fiscal 2021, LPC organized several virtual community-focused outreach events and informational presentations, targeting Central Harlem in Manhattan, and Ridgewood and Addisleigh Park in Queens. LPC also hosted a citywide grants and tax benefits webinar, on funding opportunities through LPC's Historic Preservation Grant Program, tax credits from the New York State Historic Preservation Office and other financial incentives offered by the New York Landmarks Conservancy.

OUR SERVICES AND GOALS

SERVICE 1 Identify and protect qualifying architectural, historical, cultural and archaeological assets in all five boroughs.

- Goal 1a Identify and designate as landmarks, eligible individual buildings, interiors, scenic landmarks and historic districts.
- Goal 1b Facilitate appropriate work on landmark buildings through technical assistance and timely issuance of permits.
- Goal 1c Increase compliance with landmark regulations.
- Goal 1d Evaluate potential impacts to archaeological resources in a timely manner.

HOW WE PERFORMED

- During the first four months of Fiscal 2021, the Commission designated Public School 48, the first landmark in South Jamaica, Queens and only the second Art Deco style school to be designated. The agency also proposed the designation of the East 25th Street Historic District, which reflects the commitment of this diverse community to preservation and is the first historic district in East Flatbush. Designations are impacted by COVID-19, which slowed or suspended certain Agency activities and operations by necessity as part of citywide efforts to minimize person to person contact and contain the spread of the virus, including many of the types of in-person meetings, targeted outreach activities, field surveys and research work that are typically part of the designation process.
- Despite the impact and challenges presented by the COVID-19 pandemic, LPC continued to keep up with the demand and issue permits in a timely manner with the implementation of e-filing and other operational changes. The number of work permit applications received during the first four months of Fiscal 2021 was 3,487 compared to 4,610 during the same period in Fiscal 2020, a 24 percent decrease due in part to the impacts of COVID-19. LPC actions on permit applications received decreased by 29 percent to 3,172 compared to 4,492 during the same period in Fiscal 2020, due to decreases in permit applications.
- During the first four months of Fiscal 2021, 87 percent of Certificates of No Effect (CNE) and 86 percent of Permits for Minor Work (PMW) were issued within ten days, compared to 84 percent for CNEs and 82 percent for PMWs over the same period in Fiscal 2020, surpassing targets. Additionally, the number of Expedited Certificates of No Effect (XCNE) issued within two days was 100 percent in the first four months of Fiscal 2021, which is an increase of less than one percent during the same period in Fiscal 2020. The average days from completed submission until issuance improved across permit types were 5.3 for CNEs (a drop of 0.9 days), 5.6 for PMWs (a drop of 0.7 days), and XCNEs remained at one day.
- The Commission's enforcement department received 110 complaints and initiated 14 enforcement actions, compared to 215 complaints and 231 initiated enforcement actions during the same period in Fiscal 2020. There was a decrease in the number of investigations completed and enforcement actions taken partly because these processes are complaint driven, and the Agency has seen a decrease in complaints during the COVID-19 pandemic. In addition, LPC understands the severity of the COVID-19 pandemic and the financial toll it has taken on New Yorkers, including owners of designated properties. With fairness and equity in mind, only more serious violations or violations where there was on-going work were immediately acted on.
- The number of archaeological applications received in the first four months of Fiscal 2021 is consistent with the previous fiscal year during the same period, with 98 percent of applications reviewed within 10 days, exceeding the target of 85 percent.

SERVICE 1 Identify and protect qualifying architectural, historical, cultural and archaeological assets in all five boroughs.

Goal 1a Identify and designate as landmarks, eligible individual buildings, interiors, scenic landmarks and historic districts.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Individual, interior and scenic landmarks, and historic districts, designated | 21 | 24 | 11 | 20 | 20 | 5 | 1 |
| ★ – Total number of buildings designated | 485 | 642 | 63 | * | * | 6 | 1 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | | * None | | | |

Goal 1b

Facilitate appropriate work on landmark buildings through technical assistance and timely issuance of permits.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|----------------------|--------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Work permit applications received | 14,011 | 14,069 | 11,701 | * | * | 4,610 | 3,487 |
| ★ Actions taken on work permit applications received | 12,563 | 12,803 | 10,950 | * | * | 4,492 | 3,172 |
| Certificates of No Effect issued within 10 business days (%) | 85% | 82% | 85% | 85% | 85% | 84% | 87% |
| Expedited Certificates of No Effect issued within two business days (%) | 96% | 99% | 100% | 100% | 100% | 99% | 100% |
| Permits for minor work issued within 10 business days (%) | 82% | 80% | 83% | * | * | 82% | 86% |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | | | | | * None |

Goal 1c

Increase compliance with landmark regulations.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|----------------------|------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Number of complaints received | 583 | 492 | 420 | * | * | 215 | 110 |
| Investigations completed | 648 | 394 | 347 | * | * | 155 | 53 |
| Enforcement actions taken: Total warning letters, NOVs, and stop work orders issued | 837 | 479 | 416 | * | * | 231 | 14 |
| Violations admitted to or upheld at the Office of Administrative Trials and Hearings (%) | 98% | 98% | 94% | * | * | 94% | 0% |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | | | | | * None |

Goal 1d

Evaluate potential impacts to archaeological resources in a timely manner.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|----------------------|------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Archaeology applications received | 345 | 390 | 347 | * | * | 135 | 128 |
| Archaeology applications reviewed within 10 business days (%) | 92% | 98% | 98% | 85% | 85% | 99% | 98% |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | | | | | * None |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|-------------------------------------|--------------------|----------------------|------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Letters responded to in 14 days (%) | 88% | 89% | 88% | * | * | 81% | 100% |
| E-mails responded to in 14 days (%) | 93% | 87% | 92% | * | * | 95% | 96% |
| ★ Critical Indicator | "NA" Not Available | ↕ Directional Target | | | | | * None |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|--------|-------|-------|---------------------|-------------------|-------------------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$5.8 | \$6.2 | \$6.4 | \$6.6 | \$6.9 | \$6.8 | \$2.2 | \$2.1 |
| Revenues (\$000,000) | \$7.0 | \$7.9 | \$6.3 | \$5.5 | \$5.7 | \$6.1 | \$2.9 | \$2.1 |
| Personnel | 70 | 75 | 76 | 79 | 78 | 79 | 78 | 77 |
| Overtime paid (\$000) | \$15 | \$10 | \$3 | \$7 | \$7 | \$7 | \$0 | \$0 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|------------------------------------|--|---|-----------------------------------|
| 001 - Personal Services | \$5.9 | \$6.0 | All |
| 002 - Other Than Personal Services | \$0.5 | \$0.9 | All |
| Agency Total | \$6.4 | \$6.9 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available * None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

None.

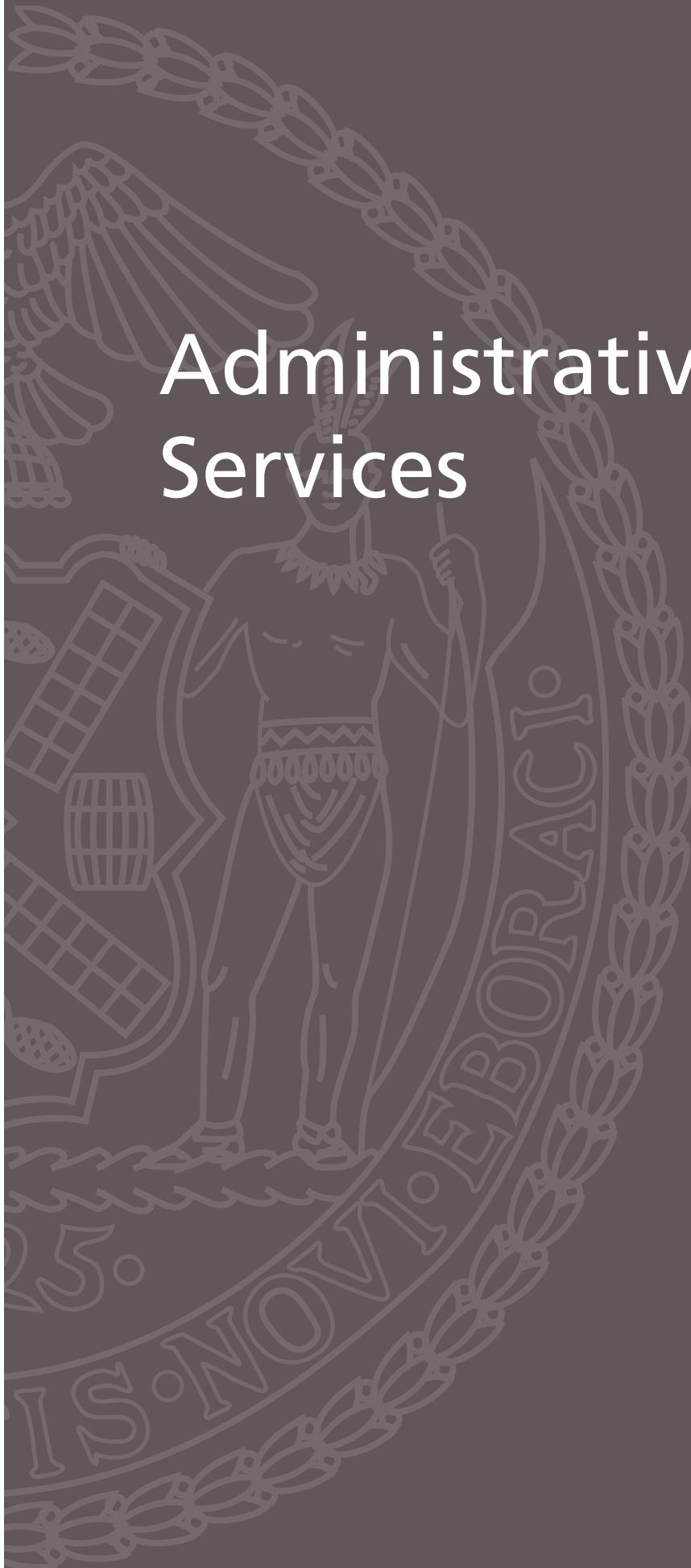
ADDITIONAL RESOURCES

For additional information, go to:

- Press Releases (information on landmark approvals):
<https://www1.nyc.gov/site/lpc/about/news.page>
- Discover NYC Landmarks interactive map:
<https://www1.nyc.gov/site/lpc/designations/maps.page>

For more information on the agency, please visit: www.nyc.gov/landmarks.

Administrative Services



Administrative Services



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& Telecommunications p 295



Department of Records
& Information Services p 283



Board of
Elections p 301



Department of
Finance p 289

DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES

Lisette Camilo, Commissioner



WHAT WE DO

The Department of Citywide Administrative Services (DCAS) provides value-added and effective shared services to support the operations of New York City government. Its commitment to equity, effectiveness and sustainability guides its work with City agencies on recruiting, hiring and training employees; providing facilities management for 55 public buildings; acquiring, selling and leasing City property; purchasing more than \$1 billion in supplies and equipment each year; and implementing energy conservation and safety programs throughout the City's facilities and vehicle fleet.

FOCUS ON EQUITY

DCAS's commitment to equity means ensuring that City government leads the way on having a diverse and inclusive workplace and providing all New Yorkers with an opportunity to get ahead. To reach this goal, during the first four months of Fiscal 2021 DCAS participated in 67 career outreach events—many of which were targeted towards underserved communities. To ensure an inclusive workplace for City employees, DCAS trained 46,073 employees on equity and inclusion. In its role leading procurement for the City, DCAS also engages minority and women-owned business enterprises (M/WBE) about City contracting opportunities. As a result of COVID-19, DCAS participated in three virtual M/WBE events during the first four months of Fiscal 2021 and awarded \$25.6 million in contracts to M/WBEs. DCAS awarded \$5.3 million to M/WBEs for COVID-related goods and \$20.3 million to M/WBEs for non-COVID-related goods. DCAS also registered 51 contracts with City-certified M/WBEs using the M/WBE noncompetitive small purchase method (PPB Rule 3-08(c)(1)(iv)), totaling \$4.7 million. This allows agencies to purchase goods and services from M/WBEs in amounts not exceeding \$150,000 without competition. DCAS is the backbone of City government and its focus on equity sets the tone for the work of all City agencies.

OUR SERVICES AND GOALS

SERVICE 1 Help City agencies fulfill their workforce needs.

- Goal 1a Increase the public's access to information about employment opportunities in City government.
- Goal 1b Ensure a competitive and diverse candidate pool for City employment opportunities.
- Goal 1c Ensure timely administration of civil service exams.
- Goal 1d Provide a wide range of training opportunities

SERVICE 2 Manage and operate City-owned office buildings.

- Goal 2a Improve cleanliness and maintenance ratings for DCAS-managed facilities.
- Goal 2b Meet timeliness standards for maintenance service requests and repair work.
- Goal 2c Consolidate and reduce City office space.

SERVICE 3 Manage the City's surplus real and personal property.

- Goal 3a Maximize revenue from the sale of real property, surplus goods and savings from the reallocation of usable surplus items.

SERVICE 4 Procure goods and select services for City agencies.

- Goal 4a Maximize competition in the procurement process.
- Goal 4b Use citywide buying power to achieve and maximize best value for goods and services.

SERVICE 5 Manage energy use by City agencies.

- Goal 5a Maximize citywide efforts to monitor and reduce energy use to reach greenhouse gas reduction goals.
- Goal 5b Reduce the energy-related carbon footprint of City buildings.
- Goal 5c Increase the City's renewable energy capacity.

SERVICE 6 Manage the City's fleet and fuel resources.

- Goal 6a Reduce fuel use and emissions.
- Goal 6b Optimize fleet resources to meet agency needs.

HOW WE PERFORMED

- During the first four months of Fiscal 2021, the number of applications received for all DCAS civil service exams decreased 38 percent compared to the same period of Fiscal 2020. Due to the expected impacts of the COVID-19 pandemic, the exam schedule was reevaluated so that exams with virtual administration (e.g., qualified incumbent exams) were prioritized for administration to minimize risks of public gathering. As such, the exams that opened for registration during this time were for titles that attract smaller applicant pools and for qualified incumbent exams, which are open for registration only to existing City employees serving provisionally in the exam titles.
- During the first four months of Fiscal 2020, minority hires represented approximately 80 percent of new hires at mayoral City agencies, increasing two percentage points over the same period last year. Female new hires decreased approximately 11 percentage points in comparison to the same period last year.
- The decrease in female hires is not unique to the City of New York and is attributed to the COVID-19 pandemic and a larger national trend. The U.S. Bureau of Labor Statistics' September 2020 report showed women gaining about 43.3% of the jobs added back to the economy in August 2020 while making up about half (49.7%) of the workforce. In addition, out of the 1.1 million workers who dropped out of the labor force in September 2020 (meaning they are no longer working or looking for work), 80% were women.¹
- Less than half the number of exams were opened for registration by DCAS during the first four months of Fiscal 2021 compared to the same period in Fiscal 2020 due to the cancellation and postponement of scheduled exams during the COVID-19 pandemic.
- The median time from exam administration to the issuance of exam results was 57 days during the first four months of Fiscal 2021 compared to 277 days during the same period of Fiscal 2020. The decrease is attributed to the qualified incumbent exams administered to existing City employees, which are automatically processed and rated, resulting in a much shorter exam completion time.
- The number of City employees/participants trained in managerial and professional development programs and City employees/participants trained in equity and inclusion decreased 65 percent and 31 percent respectively during the first four months of Fiscal 2021 compared to the same period of Fiscal 2020. The ongoing COVID-19 pandemic resulted in the closure of the Citywide Training Center and limited in-person training, a decrease in online training because of limited computer and internet availability for some employees, and a decline in agency-specific training requests from City agencies due to shifting priorities to support the City's response to the pandemic.
- The average time to complete in-house work orders for minor repairs in the first four months of Fiscal 2021 was 4.53 days compared to 4.07 days in the first four months of Fiscal 2020, remaining under the target of five days.
- The percentage of work orders completed within 30 days in the first four months of Fiscal 2021 was 87 percent, an increase of six points compared to the first four months of Fiscal 2020, remaining above the target of 75 percent.
- During the first four months of Fiscal 2021, DCAS's long- and short-term leases generated more than \$16 million, which is on par with revenue generated during the same period in Fiscal 2020.
- The number of quality assurance inspections with products deemed non-compliant decreased by 22 percent during the first four months of Fiscal 2021 compared to the same time in Fiscal 2020. However, the value of cost avoidance increased by four percent, due to a small number of large-value personal protective equipment (PPE) deliveries being deemed non-compliant in the first quarter of Fiscal 2021.
- Mayoral agency spending on goods against DCAS city government-wide master contracts decreased to 43 percent in Fiscal 2021, a 49-point decrease compared to the same period in Fiscal 2020. This decrease was primarily due to two factors: a significant reduction in agency operations and the implementation of emergency telecommuting policies due to COVID-19, and the emergency suspension of Procurement Policy Board rules in March 2020 to facilitate expedited purchasing of PPE and other medical equipment to meet the City's needs responding to the pandemic.
- The average number of days to fulfill agency requisitions from the City's storehouse, a central warehouse of supplies for the City, decreased by 15 percent in the first four months of Fiscal 2021, from 13 days in Fiscal 2020 to 11 days in Fiscal 2021.

- Due to the demand of COVID products and the nature of the market as a result of the pandemic, City procurement rules were suspended by Executive Order in March 2020 to facilitate rapid purchasing of PPE and medical products. Under suspension of these rules, DCAS served a critical function sourcing and procuring PPE and medical products from a large pool of vendors, including from vendors who do not have an active DCAS Requirements Contract. All COVID-specific items delivered through the end of the Fiscal 2020 and in Fiscal 2021 have been directed to the DCAS Central Storehouse for distribution to medical facilities, City Agencies and other public entities. In the first four months of Fiscal 2021, the Central Storehouse has distributed \$65.469 million worth product to City agencies and other public entities, of which \$54.489 million was COVID-specific items such as PPE that was sent from the Central Storehouse to medical facilities, City agencies, and other public entities.

¹Ewing-Nelson, C., & Center, N. W. (2020, October 2). Four Times More Women Than Men Dropped. Retrieved from <https://nwlc.org/wp-content/uploads/2020/10/september-jobs-fs1.pdf>

SERVICE 1 Help City agencies fulfill their workforce needs.

Goal 1a Increase the public's access to information about employment opportunities in City government.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|---------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Applications received for all DCAS civil service exams | 109,276 | 83,399 | 78,442 | * | * | 22,350 | 13,905 |
| Employment applications received via NYC Jobs | 1,031,810 | 984,564 | 803,139 | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 1b Ensure a competitive and diverse candidate pool for City employment opportunities.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ New hires - Asian/Pacific Islander (%) | 8.5% | 9.0% | 9.3% | * | * | 9.0% | 8.6% |
| ★ New hires - Black (%) | 41.6% | 41.5% | 40.2% | * | * | 41.2% | 45.6% |
| ★ New hires - Hispanic (%) | 21.7% | 22.2% | 22.4% | * | * | 21.6% | 20.6% |
| ★ New hires - Some other race (%) | 7.4% | 5.4% | 6.3% | * | * | 6.5% | 5.4% |
| ★ New hires - White (%) | 20.7% | 22.0% | 21.8% | * | * | 21.8% | 19.6% |
| ★ New hires - Female (%) | 47.6% | 47.5% | 52.3% | * | * | 60.5% | 50.0% |
| ★ New hires - Male (%) | 52.4% | 52.5% | 47.7% | * | * | 39.5% | 49.8% |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 1c Ensure timely administration of civil service exams.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Civil service exams open for filing by DCAS | 298 | 129 | 195 | 185 | 185 | 66 | 33 |
| ★ Median time from exam administration to exam results completion for DCAS-administered exams (days) | 78 | 255 | 299 | 290 | 290 | 277 | 57 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

Goal 1d Provide a wide range of training opportunities.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|---------|---------|---------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average rating for professional development training sessions (%) | 92% | 90% | 91% | 90% | 90% | 90% | 92% |
| ★ City employees/participants trained in Managerial and Professional Development programs | 65,332 | 72,094 | 63,410 | 56,346 | 56,346 | 28,990 | 10,149 |
| City employees/participants trained in Equity and Inclusion | 36,342 | 282,319 | 235,795 | 122,429 | 122,429 | 67,904 | 46,073 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

SERVICE 2 Manage and operate City-owned office buildings.

Goal 2a Improve cleanliness and maintenance ratings for DCAS-managed facilities.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average building cleanliness and condition rating for DCAS-managed space (non-court) (%) | 73% | 72% | NA | 72% | 72% | NA | NA |
| CORE customer experience rating of facilities (0-100) | 94 | NA | 96 | 95 | 95 | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

Goal 2b Meet timeliness standards for maintenance service requests and repair work.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average time to complete in-house trade shop work orders for minor repairs (days) | 5.3 | 5.4 | 4.5 | 4.0 | 4.0 | 4.2 | 4.5 |
| ★ In-house trade shop work orders completed within 30 days (%) | 73% | 80% | 79% | 75% | 75% | 81% | 85% |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

Goal 2c Consolidate and reduce City office space.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Lease-in agreements executed | 56 | 45 | 24 | * | * | NA | NA |
| Square footage associated with executed lease-in agreements (000) | 3,958 | 1,752 | 1,809 | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

SERVICE 3 Manage the City's surplus real and personal property.

Goal 3a Maximize revenue from the sale of real property, surplus goods and savings from the reallocation of usable surplus items.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|----------|----------|----------|----------------|----------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Lease revenue generated (\$000) | \$48,541 | \$54,003 | \$50,120 | \$43,078 | \$43,078 | \$16,391 | \$16,118 |
| ★ Revenue generated from the sale of surplus goods (\$000) | \$12,971 | \$11,424 | \$12,569 | \$12,107 | \$7,893 | \$4,317 | \$4,830 |
| ★ – Revenue generated from auto auctions (\$000) | \$10,878 | \$9,621 | \$11,587 | \$9,906 | \$5,692 | \$3,911 | \$4,559 |
| Real estate auction bids received (\$000) | NA | NA | \$0 | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

SERVICE 4 Procure goods and select services for City agencies.

Goal 4a Maximize competition in the procurement process.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average number of bidders per bid | 3.2 | 3.0 | 2.7 | 3.4 | 3.4 | 2.3 | 2.6 |
| Mayoral agency spending on goods against DCAS master contracts (%) | 81% | 88% | 61% | * | * | 85% | 43% |
| Mayoral agency spending on services against DCAS master contracts (%) | 21% | 20% | 21% | * | * | 19% | 18% |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | * None | | | | |

Goal 4b Use citywide buying power to achieve and maximize best value for goods and services.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|----------|----------|----------|--------|------|----------------|----------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Value of goods and services purchased (\$000,000) | \$1,544 | \$1,249 | \$1,235 | * | * | \$458 | \$467 |
| – Value of Central Storehouse requisitions (\$000) | \$23,669 | \$23,410 | \$24,329 | * | * | \$8,755 | \$65,469 |
| Average time to fulfill requisition (days) | 11 | 13 | 8 | * | * | 13 | 11 |
| Inspections deemed non-compliant | 799 | 806 | 801 | * | * | 180 | 141 |
| Value of cost avoidance (\$000) | \$5,045 | \$7,585 | \$21,435 | * | * | \$3,503 | \$3,657 |
| ★ Critical Indicator “NA” Not Available ⇅ Directional Target * None | | | | | | | |

SERVICE 5 Manage energy use by City agencies.

Goal 5a Maximize citywide efforts to monitor and reduce energy use to reach greenhouse gas reduction goals.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|-------|-------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Electricity purchased (kilowatt hours) (billions) | 4.2 | 4.1 | 3.9 | * | * | NA | NA |
| Total energy purchased (British Thermal Units) (trillions) | 29.1 | 29.8 | 28.2 | * | * | NA | NA |
| – Electricity (%) | 48.8% | 47.0% | 46.8% | * | * | NA | NA |
| – Natural gas (%) | 43.9% | 46.1% | 46.8% | * | * | NA | NA |
| – Steam (%) | 7.3% | 6.9% | 6.4% | * | * | NA | NA |
| ★ Critical Indicator “NA” Not Available ⇅ Directional Target * None | | | | | | | |

Goal 5b Reduce the energy-related carbon footprint of City buildings.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|---------|---------|---------|---------|----------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Annual estimated reduction in greenhouse gas emissions from all energy projects (metric tons) | 36,675 | 45,105 | 28,894 | 30,000 | 30,000 | NA | NA |
| ★ Cumulative estimated reduction in greenhouse gas emissions from all energy projects (metric tons) | 177,639 | 222,744 | 251,638 | 281,638 | 311,638 | NA | NA |
| ★ Annual estimated avoided energy cost from all energy projects (\$000,000) | \$13.41 | \$15.91 | \$9.55 | \$10.50 | \$10.50 | NA | NA |
| ★ Cumulative estimated avoided energy cost from all energy projects (\$000,000) | \$61.80 | \$77.71 | \$87.21 | \$97.71 | \$107.71 | NA | NA |
| Annual energy retrofit/conservation projects completed | 667 | 409 | 472 | * | * | NA | NA |
| Cumulative energy retrofit/conservation projects completed | 2,309 | 2,718 | 3,190 | * | * | NA | NA |
| Annual Energy Efficiency Reports (EER) completed | 128 | 163 | 159 | * | * | NA | NA |
| Cumulative Energy Efficiency Reports (EER) completed | 736 | 899 | 1,058 | * | * | NA | NA |
| ★ Critical Indicator “NA” Not Available ⇅ Directional Target * None | | | | | | | |

Goal 5c Increase the City’s renewable energy capacity.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|-------|-------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Cumulative installed solar capacity (megawatts) | 10.51 | 10.51 | 10.68 | ↑ | ↑ | NA | NA |
| ★ Critical Indicator “NA” Not Available ⇅ Directional Target * None | | | | | | | |

SERVICE 6 Manage the City's fleet and fuel resources.

Goal 6a Reduce fuel use and emissions.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | | |
|---|--------------------|-----------------------|-------|--------|-------|----------------|-------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 | |
| ★ Hybrid or alternative fuel vehicles in the citywide fleet (%) | 62% | 63% | 65% | 68% | 68% | 64% | 66% | |
| – Hybrid or alternative fuel vehicles in the DCAS-managed fleet (%) | 78% | 80% | 81% | 84% | 84% | 82% | 82% | |
| ★ Vehicles with highest emission ratings purchased pursuant to Local Law 38 in the citywide fleet (%) | 100% | 100% | 100% | 99% | 99% | NA | NA | |
| – Vehicles with highest emission ratings purchased pursuant to Local Law 38 in DCAS-managed fleet (%) | 99% | 99% | 100% | 99% | 99% | NA | NA | |
| Electric vehicles in the citywide fleet | 2,105 | 2,662 | 2,747 | 2,900 | 3,000 | 2,682 | 2,829 | |
| – Electric vehicles in the DCAS-managed fleet | 339 | 536 | 561 | 600 | 600 | 551 | 591 | |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | | | | | | * None |

Goal 6b Optimize fleet resources to meet agency needs.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | | |
|--|--------------------|-----------------------|------|--------|------|----------------|------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 | |
| ★ Fleet in-service rate citywide (%) | 92% | 91% | 91% | 92% | 92% | 90% | 92% | |
| – Fleet in-service rate for DCAS-managed fleet (%) | 98% | 98% | 99% | 98% | 98% | 98% | 98% | |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | | | | | | * None |

AGENCY-WIDE MANAGEMENT

| Performance Indicators | Actual | | | Target | | 4-Month Actual | | |
|--|--------------------|-----------------------|-------|--------|-------|----------------|-------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 | |
| City employees trained in defensive driving citywide | 11,162 | 10,307 | 5,447 | 5,000 | 5,000 | 2,843 | 1,346 | |
| – Employees of DCAS-managed fleet agencies trained in defensive driving | 3,831 | 2,067 | 1,624 | 2,000 | 2,000 | 731 | 527 | |
| Collisions per 100,000 miles involving City vehicles citywide | 6.0 | 5.3 | 4.9 | * | * | 5.2 | 3.5 | |
| – Collisions per 100,000 miles involving City vehicles in the DCAS-managed fleet | 3.3 | 2.9 | 3.0 | * | * | 3.3 | 1.8 | |
| Preventable collisions per 100,000 miles involving City vehicles citywide | 3.2 | 2.9 | 2.6 | * | * | 2.8 | 2.0 | |
| – Preventable collisions per 100,000 miles involving City vehicles in the DCAS-managed fleet | 1.3 | 1.4 | 1.0 | * | * | 1.2 | 0.4 | |
| Injuries from collisions per 100,000 miles in City vehicles citywide | 0.7 | 0.7 | 0.6 | * | * | 0.7 | 0.3 | |
| – Injuries from collisions per 100,000 miles in City vehicles in the DCAS-managed fleet | 0.5 | 0.4 | 0.3 | * | * | 0.4 | 0.1 | |
| Fatalities resulting from collisions involving non-emergency City vehicles citywide | 2 | 4 | 4 | * | * | 2 | 0 | |
| – Fatalities resulting from collisions involving non-emergency City vehicles in the DCAS-managed fleet | 0 | 0 | 0 | * | * | 0 | 0 | |
| Workplace injuries reported | 44 | 49 | 26 | * | * | 10 | 11 | |
| Accidents involving the public in DCAS-managed properties | 41 | 25 | 21 | * | * | 13 | 23 | |
| Average cost of training per employee (\$) | \$63 | \$18 | \$17 | * | * | NA | NA | |
| Average cost of cleaning per square foot (\$) | \$3.3 | \$3.3 | \$3.3 | * | * | NA | NA | |
| ★ Critical Indicator | "NA" Not Available | ↕↔ Directional Target | | | | | | * None |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Letters responded to in 14 days (%) | 58% | 42% | 22% | * | * | 32% | 57% |
| E-mails responded to in 14 days (%) | 85% | 63% | 78% | * | * | 89% | 93% |
| Average wait time to speak with a customer service agent (minutes) | 0:58 | 1:29 | NA | * | * | NA | NA |
| ★ Critical Indicator "NA" Not Available ⇅ Directional Target * None | | | | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|-----------|-----------|-----------|---------------------|-------------------|-------------------|----------------|-----------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$1,245.1 | \$1,280.0 | \$1,839.8 | \$1,281.9 | \$1,989.1 | \$1,297.6 | \$932.1 | \$1,408.0 |
| Revenues (\$000,000) | \$78.5 | \$81.5 | \$74.2 | \$63.8 | \$63.8 | \$53.4 | \$25.0 | \$23.0 |
| Personnel | 2,420 | 2,451 | 2,460 | 2,801 | 2,673 | 2,754 | 2,509 | 2,376 |
| Overtime paid (\$000,000) | \$25.3 | \$27.2 | \$28.3 | \$22.0 | \$22.3 | \$22.1 | \$9.1 | \$6.5 |
| Capital commitments (\$000,000) | \$101.1 | \$145.6 | \$203.8 | \$540.6 | \$338.1 | \$322.0 | \$157.3 | \$18.5 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|---|--|---|-----------------------------------|
| Personal Services - Total | \$223.5 | \$216.7 | |
| 001 - Human Capital | \$26.8 | \$26.7 | 1a, 1b, 1c, 1d |
| 005 - Board of Standards and Appeals | \$2.4 | \$2.6 | * |
| 100 - Executive and Operations Support | \$33.6 | \$29.3 | All |
| 200 - Division of Administration and Security | \$17.1 | \$14.4 | All |
| 300 - Asset Management – Public Facilities | \$108.7 | \$104.4 | 2a, 2b, 2c, 3a |
| 400 - Office of Citywide Purchasing | \$12.5 | \$11.3 | 3a, 4a, 4b |
| 500 - Division of Real Estate Services | \$10.8 | \$10.3 | 3a |
| 600 - External Publications and Retailing | \$2.3 | \$2.4 | * |
| 700 - Energy Management | \$5.8 | \$12.2 | 5a, 5b, 5c |
| 800 - Citywide Fleet Services | \$3.4 | \$3.1 | 3a, 6a, 6b |
| Other Than Personal Services - Total | \$1,616.3 | \$1,772.3 | |
| 002 - Human Capital | \$7.4 | \$7.4 | 1a, 1b, 1c, 1d |
| 006 - Board of Standards and Appeals | \$0.5 | \$0.3 | * |
| 190 - Executive and Operations Support | \$7.3 | \$5.6 | All |
| 290 - Division of Administration and Security | \$29.9 | \$36.1 | All |
| 390 - Asset Management – Public Facilities | \$761.0 | \$868.8 | 2a, 2b, 2c, 3a |
| 490 - Office of Citywide Purchasing | \$31.7 | \$27.5 | 3a, 4a, 4b |
| 590 - Division of Real Estate Services | \$2.7 | \$1.1 | 3a |
| 690 - External Publications and Retailing | \$0.9 | \$1.0 | * |
| 790 - Energy Management | \$719.9 | \$787.7 | 5a, 5b, 5c, 6a, 6b |
| 890 - Citywide Fleet Services | \$55.1 | \$36.8 | 3a, 6a, 6b |
| Agency Total | \$1,839.8 | \$1,989.1 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available *None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- The Fiscal 2020 4-month actual for 'Applications received for all DCAS civil service exams' was revised as a result of an audit completed at the end of Fiscal 2020.
- The Fiscal 2020 4-month actual for 'Civil service examinations open for filing by DCAS' was revised as a result of this indicator being updated from 'Civil service examinations administered by DCAS on schedule' in the Fiscal 2020 MMR.
- The Fiscal 2021 4-month actual for 'Value of Central Storehouse requisitions' is significantly higher than during the same time period in Fiscal 2020. This increase is due to the high volume of PPE and other COVID-specific items that were distributed to medical facilities, City Agencies and other public entities from the DCAS Central Storehouse during the first quarter of Fiscal 2021.

ADDITIONAL RESOURCES

For additional information go to:

- EEO-4 reports to the U.S. Equal Employment Opportunity Commission and Workforce Profile Report: <https://www1.nyc.gov/site/dcas/reports/EEO-4-Reports.page>
- Annual and Monthly Civil Service Exam Schedule: https://www1.nyc.gov/assets/dcas/downloads/pdf/noes/monthly_exam_schedule.pdf
- NYC Workforce Profile Reports: <https://www1.nyc.gov/site/dcas/reports/workforce-reports.page>
- Online Application System (OASys): www.nyc.gov/examsforjobs
- NYC Jobs: <http://www1.nyc.gov/jobs/index.page>
- One City: Built to Last: www.nyc.gov/builttolast
- OneNYC: Government Workforce: <http://onenyc.cityofnewyork.us/>
- DCAS data sets on the NYC Open Data Portal: <http://bit.ly/DCASOpenData>

For more information on the agency, please visit: www.nyc.gov/dcas.

DEPARTMENT OF RECORDS & INFORMATION SERVICES

Pauline Toole, Commissioner



WHAT WE DO

The mission of the Department of Records and Information Services is to foster civic life by preserving and providing access to the historical and contemporary records of New York City government. To achieve this, the Department ensures that City records are properly maintained following professional archival and record management practices and makes materials available to diverse communities both online and in person.

The Department's website provides the public with access to more than 1.6 million historical photographs, maps and a growing online collection of more than 23,000 reports and publications issued by City agencies. The Municipal Archives and Library staff annually respond to more than 60,000 reference requests, and provide the public and City agencies access to approximately 245,000 cubic feet and 185 terabytes of historical City records and photographs, and a collection of more than 400,000 books, government reports, studies and other publications. Approximately 77 percent of the holdings require preservation work and the Conservation Unit implements the necessary rehousing, conservation treatments and other specialized measures.

The Municipal Records Management Division develops and administers City government's records management policies, operates records storage facilities, provides records management services to 65 government entities and oversees the government's transition to digital records management.

FOCUS ON EQUITY

The Department of Records and Information Services (DORIS) has expanded the public's access to government records by establishing a centralized Freedom of Information Law (FOIL) portal and an online repository of reports City agencies are required to publish. This expanded access makes critical contemporary government actions available to the general public. In addition, DORIS has focused on bringing primary source material to new audiences that might otherwise not think that historical records had relevance.

The records of City government serve critical functions—recording government decisions, showing interactions between residents and policymakers and documenting the lives of individual New Yorkers. A focus on identifying previously hidden collections, repairing the records, inventorying and digitizing them allows the Department to show the complexity of these interactions. One example is the collection of claims filed with the City after the 1863 Draft Riots which documents what mostly Black and immigrant residents lost and, in the process, provides insight into those lives. DORIS has devoted attention to showing the relevance and diversity of city government's records through several initiatives including an oral history project, exhibits and social media posts.

The Department continues to expand outreach to New Yorkers by diversifying public speakers, conducting community outreach and increasing digital promotion of the Archives. The Department's story-gathering initiative in Bedford-Stuyvesant continues to document the lives of long-term community residents. A panel on the City's fashion industry highlighted contributions from Asian and Caribbean entrepreneurs and the Women's Activism project partnered with organizations throughout the City to gather stories of everyday women leaders.

OUR SERVICES AND GOALS

SERVICE 1 Provide the public and City agencies with access to public records and publications.

- Goal 1a Increase the volume and availability of public records and publications.
- Goal 1b Promptly respond to requests for information.
- Goal 1c Ensure historical records are preserved according to archival standards.

SERVICE 2 Provide City agencies, the courts and district attorneys with policy guidance, record storage, retrieval and retention scheduling services.

- Goal 2a Retrieve records promptly from off-site facilities upon record owner's request.
- Goal 2b Promptly transfer eligible agency records to off-site storage.
- Goal 2c Dispose of all records according to their scheduled retention period.

HOW WE PERFORMED

- In the first four months of Fiscal 2021 the number of images produced in the Department's digital laboratory increased 73 percent, rising to 928,069 items compared to 535,245 items during the same period in Fiscal 2020. The higher volume is attributable to the digitization of microfilmed historical death certificates using a more expedient methodology than reformatting the original material.
- The Department continued simplifying the process for agencies to submit reports to the government publications portal in accordance with Charter requirements. The percent of required agency reports submitted to the Municipal Library publications portal grew to 57 percent during the first quarter of Fiscal 2021 from 42 percent submitted in Fiscal 2020. During the reporting period, 1,358 publications and reports were acquired, down 38 percent from the same period last year. The Municipal Library canceled news and periodical subscriptions and fewer hard-copy publications were issued and received during the reporting period due to pandemic-related closures.
- Historical records accessioned into the Municipal Archives decreased 65 percent, from 313 cubic feet during the first four months of Fiscal 2020, to 111 cubic feet during the same period in Fiscal 2021. COVID-19 health and safety restrictions impeded performance of this function and staff were assigned tasks that could be carried out remotely, such as improving descriptions of records previously accessioned.
- Although the Visitor Center facility remained closed throughout the reporting period, agency outreach staff continued to promote awareness of its holdings of contemporary and historical records to diverse audiences through on-line exhibitions and related programming. Virtual exhibitions currently on-view include "Ebb & Flow: Tapping into the History of New York City's Water," and "Ordinary People, Extraordinary Lives—A Pictorial History of Working People in New York City." Other exhibits of Manhattan building plans and photographs of Health Care Workers are featured on the agency website.
- The average time to respond to requests for copies of vital records increased to 19 days during the first four months of Fiscal 2021, compared to seven days during the comparable period in Fiscal 2020. The diminished performance is due to continuing COVID-19 health and safety restrictions on staff access to agency offices. Staff working remotely were able to supply PDF copies of previously-digitized vital records but could not fulfill certified hard-copy requests resulting in a backlog that negatively impacted the performance measurement.
- Preservation actions decreased 70 percent in the first four months of Fiscal 2021 compared to the same period of Fiscal 2020. The diminished performance was due to COVID-19 health and safety rules that limited access to the Department's conservation laboratory during the reporting period.
- During the first four months of Fiscal 2021, the Department did not transfer eligible city agency records into the storage facilities. COVID-19 related health and safety mandates such as social-distancing and sanitizing shared materials made it impossible for Department staff to conduct the activities necessary to perform this function.
- Record disposals completed during the first four months of Fiscal 2021 were based on Law Department approvals received prior to the reporting period. The Law Department was unable to complete additional record disposal actions due to health and safety measures during the COVID-19 pandemic, representing the 75 percent decrease in cubic feet of total records disposed.

SERVICE 1 Provide the public and City agencies with access to public records and publications.

Goal 1a Increase the volume and availability of public records and publications.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|---------|-----------|-----------|---------|---------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Records digitized | 236,478 | 1,421,172 | 1,448,706 | 260,000 | 260,000 | 535,245 | 928,069 |
| Number of library items available | 380,844 | 384,823 | 384,134 | * | * | 382,180 | 385,492 |
| Unique visitors to agency website and related online platforms (000) | NA | 279 | 268 | * | * | NA | 210 |
| Publications and reports acquired | 4,869 | 5,903 | 4,455 | * | * | 2,192 | 1,358 |
| Percent of required agency reports submitted to the Municipal Library publications portal | 60% | 60% | 42% | 100% | 100% | 37% | 57% |
| Records accessioned by Municipal Archives (cubic ft.) | 1,185 | 2,558 | 399 | * | * | 313 | 111 |
| Walk-in and program attendees at the Visitor Center | 1,542 | 2,546 | 1,884 | * | * | 1,289 | 160 |
| ★ Critical Indicator "NA" Not Available ⬆️⬇️⬆️ Directional Target * None | | | | | | | |

Goal 1b Promptly respond to requests for information.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Vital record requests responded to within 12 business days (%) | 82% | 88% | 71% | 60% | 60% | 86% | 86% |
| ★ Average response time to vital record requests (days) | 9.7 | 7.2 | 9.7 | 12.0 | 12.0 | 7.3 | 18.8 |
| ★ Average response time to historical photo requests (days) | 31.5 | 10.2 | 5.4 | 15.0 | 15.0 | 6.8 | 6.7 |
| ★ Critical Indicator "NA" Not Available ⬆️⬇️⬆️ Directional Target * None | | | | | | | |

Goal 1c Ensure historical records are preserved according to archival standards.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Preservation actions performed | NA | NA | 76,459 | * | * | 31,659 | 9,480 |
| ★ Critical Indicator "NA" Not Available ⬆️⬇️⬆️ Directional Target * None | | | | | | | |

SERVICE 2 Provide City agencies, the courts and district attorneys with policy guidance, record storage, retrieval and retention scheduling services.

Goal 2a Retrieve records promptly from off-site facilities upon record owner's request.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|-------|-------|--------|------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average response time to agency requests for inactive records (days) | 0.7 | 1.4 | 0.7 | 2.0 | 2.0 | 0.6 | 0.6 |
| Requests for stored records processed within 48 hours (%) | 100.0% | 80.3% | 87.6% | * | * | 99.2% | 100.0% |
| ★ Critical Indicator "NA" Not Available ⬆️⬇️⬆️ Directional Target * None | | | | | | | |

Goal 2b Promptly transfer eligible agency records to off-site storage.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|-------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Warehouse capacity available for new accessions (%) | 12% | 14% | 19% | * | * | 14% | 19% |
| Records transferred into Municipal Records Center (cubic ft.) | 10,823 | 5,121 | 661 | * | * | 579 | 0 |
| ★ Critical Indicator "NA" Not Available ⬆️⬇️⬆️ Directional Target * None | | | | | | | |

Goal 2c

Dispose of all records according to their scheduled retention period.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------|--------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average time between records disposal eligibility and application sent to Law Department (months) | 0.0 | 0.7 | 0.5 | 2.0 | 2.0 | 0.3 | NA |
| ★ Average time for Law Department to approve records disposal application (months) | 1.3 | 2.0 | 0.9 | 3.0 | 3.0 | 0.6 | NA |
| Total records disposed by City government entities (cubic ft.) | 88,801 | 90,686 | 36,539 | * | * | 17,403 | 4,381 |
| ★ Critical Indicator "NA" Not Available ⬆️⬆️ Directional Target * None | | | | | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Letters responded to in 14 days (%) | 100% | 100% | 100% | * | * | 100% | 100% |
| E-mails responded to in 14 days (%) | 100% | 100% | 100% | * | * | 100% | 100% |
| CORE customer experience rating (0–100) | 100 | NA | 100 | * | * | NA | NA |
| ★ Critical Indicator "NA" Not Available ⬆️⬆️ Directional Target * None | | | | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|--|--------|-------|-------|---------------------|-------------------|-------------------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$8.0 | \$9.8 | \$9.6 | \$11.6 | \$11.2 | \$16.3 | \$4.6 | \$5.1 |
| Revenues (\$000,000) | \$0.8 | \$0.8 | \$0.6 | \$0.8 | \$0.8 | \$0.9 | \$0.2 | \$0.3 |
| Personnel | 72 | 69 | 76 | 72 | 66 | 65 | 72 | 70 |
| Overtime paid (\$000) | \$0 | \$0 | \$0 | \$0 | \$0 | \$0 | \$8 | \$0 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|---|--|---|-----------------------------------|
| 100 - Personal Services | \$4.9 | \$4.7 | All |
| 200 - Other Than Personal Services | \$4.7 | \$6.5 | All |
| Agency Total | \$9.6 | \$11.2 | |
| ¹ Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ² Includes all funds. ³ Refer to agency goals listed at front of chapter. "NA" Not Available *None | | | |

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- The indicator for 'Records preserved and digitized' has been renamed to 'Records digitized' to reflect current practices.
- The indicator 'Unique visitors to agency website and related online platforms' has been added to reflect online visitor traffic.
- Goal 1c "Ensure historical records are preserved according to archival standards" has been added to include DORIS' conservation mission in the MMR. The new indicator 'Preservations actions completed' shows the volume of work in this area.

ADDITIONAL RESOURCES

For additional information on items referenced in the narrative, go to:

- New York City Municipal Archives Digital Galleries:
<https://www.Archives.nyc/>
- OpenRECORDS Freedom of Information Law (FOIL) portal:
<https://a860-openrecords.nyc.gov/>
- NYC Government Publications Portal:
<https://a860-gpp.nyc.gov/>

For more information on the agency, please visit: www.nyc.gov/records.

DEPARTMENT OF FINANCE

Sherif Soliman, Commissioner



WHAT WE DO

The Department of Finance (DOF) is responsible for the collection of more than \$40 billion annually in revenue for the City and the valuation of over one million properties worth a total of more than \$1 trillion. DOF records property-related documents, administers property tax exemption and abatement programs, assists New Yorkers with tax payment issues through the Office of the Taxpayer Advocate, adjudicates parking tickets, administers the City's bank accounts, manages the City's cash flows and administers its business and excise taxes.

Through the Office of the Sheriff, DOF enforces court mandates, orders, warrants of arrest and property seizures. The Sheriff's Office investigates deed fraud, the trafficking of illegal and untaxed tobacco products and the sale of synthetic narcotics. In addition, the Sheriff's Office has been performing activities related to the COVID-19 pandemic, such as providing enforcement of rules and regulations.

Through the Mayor's Office of Pensions and Investments, DOF advises the Administration on the management of the City's five pension systems.

DOF is committed to providing exceptional customer service. The agency utilizes a customer-centric business model, incorporating reforms and initiatives. DOF, leveraging Lean Six Sigma, continues to streamline processes and improve cycle times. This furthers the Department's mission, the commitment to its revenue goals, and enables a better customer experience for the City's taxpayers.

FOCUS ON EQUITY

DOF has several programs and initiatives to ensure all New Yorkers are treated fairly and have access to City services and information. The Customer Contact Center provides all residents and businesses with support regarding payments, property exemptions and business taxes. As of October 31, over 15,000 calls have been received from our constituents this fiscal year. DOF maintains the Senior Citizens Rent Increase Exemption (SCRIE), the Disability Rent Increase Exemption (DRIE), the Senior Citizen Homeowners' Exemption (SCHE) and the Disability Homeowners' Exemption (DHE) programs which enable qualifying renters and homeowners to remain in their homes. The Taxpayer Advocate and the Parking Summons Advocate provide additional means for many under-resourced residents to address issues with their taxes or parking tickets and camera violations, respectively, that could not be resolved elsewhere. During the pandemic, it is critical that DOF provides a safe means for our most vulnerable constituents to conduct their business with DOF and to ensure the safety of staff. Online appointment-setting capabilities were expanded to enable customers to set appointments with the City Register, Senior-Disabled Centers, Adjudications, Court Assets (Bail Services), the Office of the Parking Summons Advocate and the Business Centers. DOF also implemented virtual appointments which allow a customer to make an appointment to be contacted at their home by a DOF representative. In an effort to expand services available online, DOF launched a new tenant access portal that allows existing tenant program participants and their representatives to access benefit information. The second phase of the portal, expected to launch first quarter of calendar 2021, will allow new applicants to file Rent Freeze applications online.

OUR SERVICES AND GOALS

SERVICE 1 Bill and collect property and other taxes.

- Goal 1a Increase the proportion of individuals and businesses that are in compliance with tax and revenue laws.
- Goal 1b Promptly review requests for refunds.

SERVICE 2 Bill, adjudicate and collect on parking tickets.

- Goal 2a Increase the proportion of parking tickets that are resolved.
- Goal 2b Assure that all respondents are offered convenient options for paying and challenging tickets.

SERVICE 3 Administer rent and property owner exemption programs.

- Goal 3a Promptly review applications for exemption programs.

SERVICE 4 Help NYC taxpayers resolve tax issues.

- Goal 4a Through the Office of the Taxpayer Advocate, promptly address inquiries and resolve cases.

SERVICE 5 Record property-related documents.

- Goal 5a Increase the percentage of online property recording transactions.

SERVICE 6 Serve and execute legal processes and mandates.

- Goal 6a Increase the proportion of judgments, orders and warrants that are successfully served/executed.

HOW WE PERFORMED

- The 15 percent increase in average turnaround time for field audits resulted from a significant increase in the average size and complexity of audit cases conducted as compared to the prior period.
- The percent increase in tax liability as a result of audits has increased over last year as a result of successful audit programs enabled by technology that allow DOF to identify and pursue issues for a wider range of taxpayers and tax types audited than in the past.
- The 2020 tax lien sale has been delayed due to a gubernatorial executive order prohibiting local governments from conducting lien sales. The state passed legislation prohibiting lien sales through May 1, 2021 for property owners who claim a COVID-19-related hardship. DOF continued its outreach efforts throughout calendar 2020, reducing the tax lien sale at-risk pool from 18,907 properties in February to 3,010 properties at year end.
- The average turnaround time for business and property refunds continues to improve. This improvement in processing time was due to increased use of electronic filings and ACH refunds. DOF also instituted additional training modules for staff to ensure prompt knowledge transfer of any new system enhancements.
- In-person parking ticket hearings were suspended in late March due to the pandemic. They restarted in mid-October. This is reflected in the number of hearings reported.
- Parking ticket disputes granted a reversal greatly increased over last year. Many of the reversals were for summonses issued to health care workers who had COVID-19 parking permits issued for use while working at the hospitals. In-person hearings were not available for much of the reporting period due to health and safety COVID-19 closures. In-person hearings resumed in mid-October. The number of in-person hearings dropped 86 percent to 8,223 hearings with an average turnaround time of one minute.
- SCRIE/DRIE initial and renewal applications decreased. The Rent Freeze programs have observed a decline in the number of initial applications received for SCRIE and DRIE in the first four months of Fiscal 2021 as compared to the same time in Fiscal 2020. This decline in new applicants may be attributed to the effects of the COVID-19 pandemic as many community-based organizations are limiting in-person services and vulnerable populations are opting to remain in their homes. In general, the volume of renewal applications is expected to fluctuate year over year as the number of required filers change month to month. The high cycle times for SCHE initial applications in Fiscal 2020 were primarily due to the roll out of Smart File. During the same period for Fiscal 2021, cycle times were normalized.
- The DOF Customer Service Center (CSC) opened in July 2019 which led to a 28 percent decrease in simple inquiries (now handled by CSC), resulting in a 73 percent reduction in average time to address inquiries of 3.3 minutes and more complicated cases were redirected to OTA. Furthermore, In the Office of the Taxpayer Advocate, case totals rose due to COVID-19 (e.g., lost revenue streams suffered by taxpayers) in four specific areas compared to the prior year: commercial/personal property abatements, property assessments, Real Property Income and Expense (RPIE) filings and property tax lien sales. Online property recording transactions continues to increase as a result of the pandemic and ongoing outreach by the City Register's office.
- The Sheriff's Office saw a decrease in arrest warrants delivered to the office as a result of the courts being closed because of the pandemic. As the warrants expire or are vacated, the number of successful arrests drops. The reduction in successful property executions is also related to the courts being closed for hearings due to the pandemic and new cases not being started. The property seizure executions on vehicles have also been suspended since March 2020. Child support orders successfully served is also listed as NA because the Family Courts are still closed for regular hearings due to COVID-19. With no hearings, there is no need to serve respondents to appear in court.

SERVICE 1 Bill and collect property and other taxes.

Goal 1a

Increase the proportion of individuals and businesses that are in compliance with tax and revenue laws.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-------|----------------------|--------|-------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Property taxes billed that are paid (%) | 98.8% | 98.3% | 98.1% | 97.0% | 97.0% | NA | NA |
| – Paid on time (%) | 96.5% | 95.5% | 95.9% | * | * | 95.4% | 94.3% |
| Average turnaround time for field audits (days) | 324 | 382 | 408 | * | * | 386 | 446 |
| Average turnaround time for non-field audits (days) | 175 | 175 | 175 | * | * | 176 | 191 |
| Increase in tax liability as a result of audits (%) | 23.1% | 19.0% | 20.1% | * | * | 10.8% | 32.9% |
| Increase in tax liability as a result of field audits (%) | 27.3% | 18.5% | 21.2% | * | * | 10.7% | 32.7% |
| Increase in tax liability as a result of non-field audits (%) | 12.6% | 25.4% | 10.9% | * | * | 12.7% | 35.0% |
| Originally noticed properties sold in lien sale (%) | 16% | NA | 16% | * | * | 16% | NA |
| Properties in final lien sale | 3,728 | NA | 3,724 | * | * | 3,724 | NA |
| ★ Critical Indicator | “NA” Not Available | | ↕ Directional Target | * None | | | |

Goal 1b

Promptly review requests for refunds.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|------|----------------------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Average time to issue a property tax refund (days) | 35 | 27 | 21 | 28 | 28 | 24 | 12 |
| ★ Average time to issue a business tax refund (days) | 35 | 15 | 15 | 25 | 25 | 16 | 14 |
| ★ Average Time to Issue a Requested Business Tax Refund (days) | NA | 13 | 13 | 25 | 25 | 16 | 14 |
| ★ Average Time to Issue a Non-Requested Business Tax Refund (days) | NA | 16 | 16 | 25 | 25 | 16 | 14 |
| ★ Critical Indicator | “NA” Not Available | | ↕ Directional Target | * None | | | |

SERVICE 2 Bill, adjudicate and collect on parking tickets.

Goal 2a

Increase the proportion of parking tickets that are resolved.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-------|----------------------|--------|-------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Parking tickets resolved within 90 days (000) | 9,283 | 8,896 | 9,225 | * | * | 3,886 | NA |
| ★ Parking tickets issued that are paid within 90 days (%) | 63.3% | 66.3% | 68.5% | 65.0% | 65.0% | 70.9% | NA |
| Parking tickets issued that are dismissed within 90 days (%) | 15.8% | 11.1% | 5.3% | * | * | 6.7% | NA |
| ★ Critical Indicator | “NA” Not Available | | ↕ Directional Target | * None | | | |

Goal 2b

Assure that all respondents are offered convenient options for paying and challenging tickets.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------|----------------------|--------|------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Summonses adjudicated (000) | 2,421 | 2,346 | 1,902 | * | * | 788 | 456 |
| ★ Parking ticket hearings - Total | 1,126,557 | 1,074,662 | 998,215 | * | * | 374,498 | 361,859 |
| – In-person hearings | 216,106 | 185,021 | 127,418 | * | * | 60,652 | 8,223 |
| – Hearings-by-mail | 347,045 | 291,299 | 260,677 | * | * | 89,169 | 109,026 |
| – Online hearings | 563,406 | 598,342 | 610,120 | * | * | 224,677 | 244,610 |
| Parking ticket “pay or dispute” app transactions | 620,882 | 1,142,596 | 1,451,241 | * | * | 513,892 | 580,840 |
| ★ Average turnaround time for in-person parking ticket hearings (minutes) | 11 | 10 | 12 | 25 | 25 | 12 | 1 |
| ★ Average turnaround time to issue decision for parking ticket hearing-by-web (days) | 4.6 | 4.2 | 4.7 | 8.5 | 8.5 | 4.9 | 4.0 |
| ★ Average turnaround time to issue decision for parking ticket hearing-by-mail (days) | 7.0 | 6.7 | 7.2 | 14.0 | 14.0 | 7.0 | 7.0 |
| Parking ticket appeals reviewed | 39,466 | 33,982 | 25,031 | * | * | 11,628 | 9,865 |
| Parking ticket appeals granted a reversal (%) | 24.0% | 20.0% | 16.0% | * | * | 15.0% | 34.0% |
| ★ Critical Indicator | “NA” Not Available | | ↕ Directional Target | * None | | | |

SERVICE 3 Administer rent and property owner exemption programs.

Goal 3a Promptly review applications for exemption programs.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Senior Citizen Rent Increase Exemption (SCRIE) - Initial applications received | 8,432 | 6,600 | 4,582 | * | * | 2,237 | 1,521 |
| ★ Average time to process initial SCRIE applications (days) | 5.0 | 7.0 | 6.9 | 10.0 | 10.0 | 6.2 | 7.6 |
| SCRIE renewal applications received | 28,932 | 24,564 | 25,632 | * | * | 9,238 | 8,084 |
| ★ Average time to process renewal SCRIE applications (days) | 7.7 | 6.6 | 5.3 | 10.0 | 10.0 | 5.6 | 7.7 |
| Disability Rent Increase Exemption (DRIE) - Initial applications received | 1,822 | 1,566 | 1,216 | * | * | 538 | 393 |
| ★ Average time to process initial DRIE applications (days) | 6.0 | 7.3 | 7.6 | 10.0 | 10.0 | 6.3 | 6.0 |
| DRIE renewal applications received | 6,856 | 5,957 | 5,813 | * | * | 2,144 | 2,021 |
| ★ Average time to process renewal DRIE applications (days) | 5.7 | 6.4 | 5.2 | 10.0 | 10.0 | 5.6 | 7.7 |
| Senior Citizen Homeowners' Exemption (SCHE) - Number of initial applications received | 18,340 | 8,446 | 9,117 | * | * | 1,358 | 1,372 |
| ★ Average time to process initial SCHE applications (days) | 30.2 | 16.3 | 37.1 | ↓ | ↓ | 53.9 | 6.0 |
| SCHE - Number of renewal applications received | 1,696 | 36,111 | 6,959 | * | * | 0 | 470 |
| ★ Average time to process renewal SCHE applications (days) | 127.4 | 18.5 | 20.8 | ↓ | ↓ | NA | 5.3 |
| Disability Homeowners' Exemption (DHE) - Number of initial applications received | 1,038 | 868 | 669 | * | * | 160 | 109 |
| ★ Average time to process initial DHE applications (days) | 30.2 | 15.9 | 34.1 | ↓ | ↓ | 63.0 | 9.3 |
| DHE - Number of renewal applications received | 195 | 2,777 | 2,659 | * | * | 0 | 84 |
| ★ Average time to process renewal DHE applications (days) | 159.7 | 14.0 | 23.4 | ↓ | ↓ | 0.0 | 5.0 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

SERVICE 4 Help NYC taxpayers resolve tax issues.

Goal 4a Through the Office of the Taxpayer Advocate, promptly address inquiries and resolve cases.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Inquiries received | 1,424 | 1,738 | 1,454 | * | * | 463 | 335 |
| ★ Average time to address inquiries (days) | 10.0 | 4.1 | 9.9 | 10.0 | 10.0 | 12.3 | 3.3 |
| Cases opened | 353 | 665 | 664 | * | * | 165 | 268 |
| Cases closed | 353 | 471 | 1,026 | * | * | 218 | 415 |
| ★ Average time to close a case (days) | 50.4 | 48.8 | 102.5 | 45.0 | 45.0 | 85.7 | 97.4 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

SERVICE 5 Record property-related documents.

Goal 5a Increase the percentage of online property recording transactions.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Online property recording transactions (%) | 69.7% | 73.0% | 78.4% | * | * | 75.1% | 84.5% |
| Average time to record and index property documents (days) - Citywide | 0.8 | 0.6 | 0.7 | * | * | 1.2 | 1.7 |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

SERVICE 6 Serve and execute legal processes and mandates.

Goal 6a Increase the proportion of judgments, orders and warrants that are successfully served/executed.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Arrest warrants successfully executed (%) | 73% | 76% | 78% | * | * | 79% | 65% |
| Orders of Protection successfully served (%) | 61% | 56% | 55% | * | * | 56% | 63% |
| Property seizure orders successfully executed (%) | 80% | 78% | 62% | * | * | 68% | 41% |
| Child support orders successfully served (%) | 65% | 63% | 64% | * | * | 63% | NA |
| ★ Critical Indicator "NA" Not Available ⇅ Directional Target * None | | | | | | | |

AGENCY-WIDE MANAGEMENT

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|----------|----------|----------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Total revenue collected (\$000,000) | \$38,939 | \$41,064 | \$42,310 | * | * | NA | NA |
| – Property taxes collected (\$000,000) | \$26,214 | \$27,745 | \$29,530 | * | * | NA | NA |
| – Business taxes collected (\$000,000) | \$7,420 | \$7,855 | \$7,637 | * | * | NA | NA |
| – Property transfer taxes collected (\$000,000) | \$2,439 | \$2,640 | \$2,111 | * | * | NA | NA |
| – Parking summons revenue (\$000,000) | \$668 | \$698 | \$718 | * | * | NA | NA |
| – Audit and enforcement revenue collected (\$000,000) | \$1,299 | \$1,058 | \$999 | * | * | NA | NA |
| – Other revenue (\$000,000) | \$899 | \$1,069 | \$1,315 | * | * | NA | NA |
| ★ Critical Indicator "NA" Not Available ⇅ Directional Target * None | | | | | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------|-------|-------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| E-mails responded to in 14 days (%) | 64% | 79% | 83% | 85% | 85% | 83% | 83% |
| Letters responded to in 14 days (%) | 89% | 84% | 84% | 85% | 85% | 91% | 61% |
| Completed customer requests for interpretation | 7,584 | 4,550 | 4,627 | * | * | 1,940 | 502 |
| Average customer in-person wait time (minutes) | 5 | 7 | 6 | 12 | 12 | 9 | 1 |
| Calls answered by customer service representative (%) | 88% | 91% | 94% | * | * | 91% | 89% |
| CORE customer experience rating (0-100) | 98 | NA | 96 | 90 | 90 | NA | NA |
| ★ Critical Indicator "NA" Not Available ⇅ Directional Target * None | | | | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|---------|---------|---------|---------------------|-------------------|-------------------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$278.9 | \$300.2 | \$310.1 | \$324.8 | \$326.8 | \$321.5 | \$135.4 | \$129.4 |
| Revenues (\$000,000) | \$832.8 | \$883.0 | \$887.0 | \$829.9 | \$805.0 | \$923.8 | \$309.5 | \$264.0 |
| Personnel | 1,969 | 2,051 | 2,018 | 2,181 | 2,121 | 2,180 | 2,099 | 1,992 |
| Overtime paid (\$000) | \$3,878 | \$5,306 | \$7,034 | \$1,050 | \$1,050 | \$1,050 | \$1,682 | \$2,344 |
| ¹ January 2021 Financial Plan. ² Expenditures include all funds "NA" - Not Available | | | | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|---|--|---|-----------------------------------|
| Personal Services - Total | \$176.5 | \$176.5 | |
| 001 - Administration and Planning | \$50.5 | \$44.8 | All |
| 002 - Operations | \$22.8 | \$25.2 | 1b, 3a |
| 003 - Property | \$31.9 | \$29.3 | 1a, 1b, 5a |
| 004 - Audit | \$32.4 | \$34.7 | 1a, 1b |
| 005 - Legal | \$6.6 | \$6.8 | 1a, 1b, 2a |
| 007 - Parking Violations Bureau | \$9.5 | \$13.0 | 2a, 2b |
| 009 - City Sheriff | \$22.9 | \$22.7 | 1a, 2a, 6a |
| Other Than Personal Services - Total | \$133.5 | \$150.3 | |
| 011 - Administration | \$84.6 | \$87.5 | All |
| 022 - Operations | \$30.8 | \$38.6 | 1b, 3a |
| 033 - Property | \$3.8 | \$4.8 | 1a, 1b, 5a |
| 044 - Audit | \$0.6 | \$0.9 | 1a, 1b |
| 055 - Legal | \$0.1 | \$0.1 | 1a, 1b, 2a |
| 077 - Parking Violations Bureau | \$1.0 | \$1.4 | 2a, 2b |
| 099 - City Sheriff | \$12.7 | \$17.0 | 1a, 2a, 6a |
| Agency Total | \$310.1 | \$326.8 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available *None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

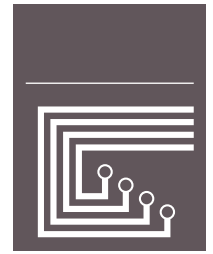
- Sherif Soliman was appointed as Commissioner of the Department of Finance on December 30th, 2020.

ADDITIONAL RESOURCES

For additional information on items referenced in the narrative, go to:

- NYC Rent Freeze Program:
www.nyc.gov/rentfreeze

For more information on the agency, please visit: www.nyc.gov/dof.



WHAT WE DO

The Department of Information Technology and Telecommunications (DoITT) provides the technology that enables City services for all who live, work, do business in and visit the City of New York. Whether through DoITT's management and development of the City's 911 voice and text systems, the NextGen 911 transformation program, the City's wired and radio networks, data centers, [NYC.gov](https://www.nyc.gov), the Open Data portal, the citywide rollout of 5G wireless communications on pole tops, administration of the City's mobile telecommunication franchises, or oversight of major interagency technology initiatives and procurements, *DoITT connects NYC*. DoITT's efforts help make City government more accessible, transparent and effective; empowers the public; and keeps our five boroughs safe, strong and vibrant.

FOCUS ON EQUITY

DoITT's efforts to strengthen the equitable and transparent delivery of services to all New Yorkers are central to all of our work. In April of 2020, DoITT resumed management of the 311 Customer Service Center, which is the primary gateway for the public to access government services, and during the first four months of Fiscal 2021, wait times for critical COVID-19 related services for New Yorkers were de minimis. In Fiscal 2020, DoITT began an effort to jumpstart the rollout of 5G technology across the City by developing a pole top shroud for 5G equipment; in August 2020, DoITT received approval for the shroud and began planning a rollout of 5G installations across the City that will prioritize the outer boroughs and Manhattan above 96th Street. DoITT oversees the LinkNYC franchise program, which provides free access to the internet across the City. DoITT continues to run and grow its robust minority and woman-owned business enterprise (M/WBE) program that encourages more City contracting with M/WBEs. And for the first quarter of Fiscal 2021, DoITT's response to COVID-19 demonstrated its commitment to supporting vulnerable and underserved New Yorkers: assisted Department of Education as it procured more devices for all public school children who did not have access to an internet connected device to ensure that they could engage in remote learning; building the Tenant Resource Portal for the Mayor's Office to Protect Tenants, which is the City's first-ever online resource to help residential renters access free resources from the City to help prevent evictions and keep tenants stably housed; and continuing to develop and enhance the City's contact tracing system, which is a key driver of the City's efforts to trace and contain the spread of COVID-19, a disease that has disproportionately affected communities of color.

OUR SERVICES AND GOALS

SERVICE 1 Deliver City IT services including hardware, software and technical support.

- Goal 1a Provide quality service delivery and performance monitoring.
- Goal 1b Resolve all service disruptions within targeted levels.
- Goal 1c Ensure all application development and IT infrastructure projects are delivered on time and within budget.

SERVICE 2 Support sharing and management of citywide data and information.

- Goal 2a Increase the public's use of City government information through NYC.gov.
- Goal 2b Increase the number of publicly available datasets.

SERVICE 3 Regulate franchised cable services.

- Goal 3a Ensure customer complaints are resolved positively.

SERVICE 4 Regulate provisioning of public telecommunication services on City streets.

- Goal 4a Maximize usefulness, operability and cleanliness of public telecommunication services on City streets.

HOW WE PERFORMED

- During the first four months of Fiscal 2021, DoITT continued to support the City's response to the COVID-19 pandemic. DoITT continued to develop and enhance the City's contact tracing application, which is the centerpiece of the Test & Trace Corps' efforts to track and contain the spread of COVID-19. DoITT deployed a COVID zone finder application to help New Yorkers identify whether their home, place of work or school is located in one of the State's COVID zones. In support of the Mayor's Office to Protect Tenants, DoITT built the NYC Tenant Resource Portal, the City's first-ever online resource to help residential renters access free resources from the City to help prevent evictions and keep tenants stably housed. DoITT worked with the Department of Education to procure another 100,000 iPads to enable remote learning for the City's public school children who did not have access to an internet connected device. DoITT also designed and built out the call center infrastructure to support the Office of Pupil Transportation so that parents had a point of contact for transport information for their school age children who returned to in-person learning.
- Even with the additional workload on DoITT as an integral part of the City's efforts to respond to COVID-19, the general work of the agency has not slipped. DoITT made progress decommissioning and replacing end-of-life and legacy systems and implementing measures to secure the City's network as work-from-home continues. Highlights of these efforts include the completion of the rollout of Windows 10 and Office 365 to DoITT-supported agencies; the full implementation of multi-factor authentication at DoITT-supported agencies; and the removal of equipment at and closing out of leases for sites that supported NYCWiN, which was decommissioned in Fiscal 2020.
- Following the registration of the City's NextGen 911 contracts in Fiscal 2020, DoITT has driven forward the effort to design and implement a NextGen 911 system. DoITT completed the first four months of Fiscal 2021 with no public safety outages, which includes the Text-to-911 system launched in Fiscal 2020.
- Lastly, DoITT secured approval of a design for a shroud to affix 5G equipment on many types of City pole tops, which will allow the City to kick-start the rollout of 5G technology in 2021.

SERVICE 1 Deliver City IT services including hardware, software and technical support.

Goal 1a Provide quality service delivery and performance monitoring.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Systems DoITT manages | 241 | 255 | 352 | * | * | NA | NA |
| ★ Newly completed projects that provide new services to the public | 36 | 43 | 91 | * | * | NA | NA |
| ★ Incidents that directly impact services provided to the public | NA | NA | 106 | ↓ | ↓ | NA | NA |
| ★ Critical public safety outages | 0 | 2 | 0 | ↓ | ↓ | 0 | 0 |
| ★ Total outage time for critical public safety infrastructure (minutes) | 0 | 15,841 | 0 | ↓ | ↓ | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | | * None | | | |

Goal 1b Resolve all service disruptions within targeted levels.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Incidents by severity level - Critical | 132 | 89 | 157 | ↓ | ↓ | NA | NA |
| Incidents by severity level - High | 1,496 | 1,495 | 1,997 | * | * | NA | NA |
| Incidents by severity level - Medium | 8,035 | 7,333 | 8,199 | * | * | NA | NA |
| Incidents by severity level - Low | 38,390 | 34,060 | 30,852 | * | * | NA | NA |
| ★ Average incident resolution time by SLA level (hours) - Critical | 5 | 5 | 5 | ↓ | ↓ | NA | NA |
| Average incident resolution time by SLA level (hours) - High | 13 | 6 | 10 | * | * | NA | NA |
| Average incident resolution time by SLA level (hours) - Medium | 29 | 23 | 24 | * | * | NA | NA |
| Average incident resolution time by SLA level (hours) - Low | 39 | 15 | 21 | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | | * None | | | |

Goal 1c Ensure all application development and IT infrastructure projects are delivered on time and within budget.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|------|----------------------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Active projects for new services to the public | 43 | 50 | 99 | * | * | NA | NA |
| ★ Active projects to support outside agencies | 48 | 64 | 115 | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | | ↕ Directional Target | * None | | | |

SERVICE 2 Support sharing and management of citywide data and information.

Goal 2a Increase the public's use of City government information through NYC.gov.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------|----------------------|--------|------|----------------|----------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| NYC.gov web page views (000) | 269,955.9 | 257,038.9 | 288,651.9 | * | * | 84,055.0 | 97,753.6 |
| ★ NYC.gov unique visitors (average monthly) (000) | 4,358 | 4,373 | 5,438 | ↑ | ↑ | 4,208 | 5,785 |
| ★ Critical Indicator | "NA" Not Available | | ↕ Directional Target | * None | | | |

Goal 2b Increase the number of publicly available datasets.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-------|----------------------|--------|------|----------------|-------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Data sets available for download on NYC.gov/OpenData | 2,103 | 2,619 | 2,855 | * | * | 2,710 | 2,962 |
| Datasets with data dictionaries on NYC.gov/OpenData (%) | 91.6% | 91.3% | 91.4% | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | | ↕ Directional Target | * None | | | |

SERVICE 3 Regulate franchised cable services.

Goal 3a Ensure customer complaints are resolved positively.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|------|----------------------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| ★ Video cable complaints Citywide | NA | NA | 2,839 | ↓ | ↓ | NA | NA |
| ★ Video complaints resolved Citywide (%) | NA | NA | 77% | ↓ | ↓ | NA | NA |
| ★ Critical Indicator | "NA" Not Available | | ↕ Directional Target | * None | | | |

SERVICE 4 Regulate provisioning of public telecommunication services on City streets.

Goal 4a Maximize usefulness, operability and cleanliness of public telecommunication services on City streets.

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|------------|----------------------|------------|------------|----------------|-----------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Cumulative number of LinkNYC subscribers | 4,347,631 | 6,925,073 | 8,983,785 | * | * | NA | NA |
| Summonses issued for Link kiosks with inoperable phone service or unacceptable appearance | NA | 24 | 59 | * | * | 30 | NA |
| Telecommunications advertisement-generated revenue (\$000) | \$26,678.1 | \$33,823.1 | \$0.0 | \$25,600.0 | \$25,600.0 | \$11,761.7 | \$6,086.0 |
| ★ Critical Indicator | "NA" Not Available | | ↕ Directional Target | * None | | | |

AGENCY-WIDE MANAGEMENT

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Citywide IT professional services contracts in use by agencies (%) | 47% | 44% | 49% | * | * | NA | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

AGENCY CUSTOMER SERVICE

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|---|--------------------|-----------------------|--------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Customer Experience | | | | | | | |
| Letters responded to in 14 days (%) | NA | NA | NA | * | * | 100% | NA |
| E-mails responded to in 14 days (%) | NA | NA | NA | * | * | 100% | NA |
| Percent meeting time to close – cable complaint - video service (15 days) | 90 | 84 | NA | * | * | 9 | NA |
| Percent meeting time to close – cable complaint - billing (30 days) | 99 | 97 | NA | * | * | 15 | NA |
| Percent meeting time to close – cable complaint - miscellaneous (30 days) | 99 | 97 | NA | * | * | 18 | NA |
| ★ Critical Indicator | "NA" Not Available | ↑↓ Directional Target | * None | | | | |

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---|---|---------|----------------------|------------------------|-------------------|-------------------|----------------|---------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$657.9 | \$675.5 | \$821.7 | \$700.6 | \$887.4 | \$699.2 | \$348.6 | \$410.9 |
| Revenues (\$000,000) | \$180.9 | \$160.4 | \$150.7 | \$168.9 | \$175.4 | \$143.5 | \$39.6 | \$39.6 |
| Personnel | 1,514 | 1,562 | 1,687 | 1,798 | 1,722 | 1,829 | 1,595 | 1,645 |
| Overtime paid (\$000) | \$1,776 | \$1,936 | \$2,677 | \$315 | \$315 | \$315 | \$519 | \$651 |
| ¹ January 2021 Financial Plan. | ² Expenditures include all funds | | "NA" - Not Available | | | | | |

SPENDING AND BUDGET INFORMATION

Where possible, the relationship between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation (UA), is shown in the 'Applicable MMR Goals' column. Each relationship is not necessarily exhaustive or exclusive. Any one goal may be connected to multiple UAs, and any UA may be connected to multiple goals.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) | Applicable MMR Goals ³ |
|---|--|---|-----------------------------------|
| Personal Services - Total | \$159.1 | \$160.3 | |
| 001 - Technology Services | \$139.9 | \$83.2 | All |
| 003 - Admin/Operations | \$0.0 | \$18.5 | All |
| 007 - 911 Technical Operations | \$0.0 | \$15.7 | 1a, 1b, 1c |
| 009 - Mayor's Office of Media & Entertainment | \$7.5 | \$7.7 | * |
| 011 - 311 | \$0.0 | \$20.4 | * |
| 013 - New York City Cyber Command | \$11.8 | \$14.7 | * |
| Other Than Personal Services - Total | \$662.6 | \$727.1 | |
| 002 - Technology Services | \$588.4 | \$450.9 | All |
| 004 - Admin/Operations | \$0.0 | \$43.4 | All |
| 008 - 911 Technical Operations | \$0.0 | \$76.7 | 1a, 1b, 1c |
| 010 - Mayor's Office of Media & Entertainment | \$10.9 | \$25.6 | * |
| 013 - 311 | \$0.0 | \$27.0 | * |
| 014 - New York City Cyber Command | \$63.3 | \$103.5 | * |
| Agency Total | \$821.7 | \$887.4 | |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. ³Refer to agency goals listed at front of chapter. "NA" Not Available * None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

- Fiscal 2021 data for the indicators 'Percent meeting time to close—cable complaint—video service (15 days)', 'Percent meeting time to close—cable complaint—billing (30 days)' and 'Percent meeting time to close—cable complaint—miscellaneous (30 days)' are not available. Service request recategorization that occurred as part of the transition to 311's new Customer Relationship Management (CRM) system affected reporting in this service area.
- During the first three months of Fiscal 2021, field inspections of LinkNYC kiosks to assess phone service and appearance were paused. Inspections have since resumed, and summonses will be reported in the Fiscal 2021 Mayor's Management Report.

ADDITIONAL RESOURCES

For additional information go to:

- NYC.gov:
<http://www.nyc.gov/>
- NYC Open Data:
<http://nyc.gov/opendata>

For more information on the agency, please visit: www.nyc.gov/doitt.

BOARD OF ELECTIONS

Michael J. Ryan, Executive Director



WHAT WE DO

The Board of Elections of the City of New York (the Board) is an administrative body of ten commissioners, two from each borough upon recommendation by both political parties and then appointed by the City Council for a term of four years. The commissioners appoint a bipartisan staff to oversee the daily activities of its main and five borough offices. The Board is responsible under New York State election law for the following:

Voter registration, outreach and processing; maintenance and updating of voter records; processing and verification of candidate petitions/documents; campaign finance disclosures of candidates and campaign committees; recruiting, training and assigning the various election day officers to conduct elections; operation of poll site locations; maintenance, repair, setup and deployment of the Election Day operation equipment; ensuring each voter their right to vote at the polls or by absentee ballot; canvassing and certification of the vote; voter education, notification and dissemination of election information; and preparation of maps of various political subdivisions.

FOCUS ON EQUITY

The mission of the Board of Elections is to provide independent access to the voter franchise to all eligible voters in the City of New York. The Board is committed to providing meaningful access to over 1,200 poll sites throughout the City. The Board works closely with all interested stakeholders, including various executive and legislative bodies, as well as advocacy groups. The Board works diligently to ensure that all poll locations are compliant with the requirements of the Americans with Disabilities Act and federal limited English proficiency standards to ensure that all eligible voters receive the materials and assistance required to independently participate in the voting process.

HOW WE PERFORMED

| Performance Indicators | Actual | | | Target | | 4-Month Actual | |
|--|---------|---------|---------|--------|------|----------------|------|
| | FY18 | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Voter turnout - general election (000) | 1,166 | 2,138 | 796 | * | * | NA | NA |
| Voter Registration forms processed | 110,510 | 247,879 | 182,247 | * | * | NA | NA |
| Total registered voters (000) | 5,054 | 5,138 | 5,270 | * | * | NA | NA |
| Total active voters (000) | 4,596 | 4,613 | 4,772 | * | * | NA | NA |
| Poll worker attendance on Election Day (%) | 87.8% | 91.8% | 91.5% | * | * | NA | NA |
| Voter complaints regarding poll workers | 460 | 708 | 480 | * | * | NA | NA |
| Voter complaints regarding poll workers - service | 363 | 477 | 397 | * | * | NA | NA |
| Voter complaints regarding poll workers - procedure | 97 | 231 | 83 | * | * | NA | NA |
| Voting equipment replacement rate - ballot scanners (%) | 0.0% | 1.4% | 0.3% | * | * | NA | NA |
| Voting equipment replacement rate - ballot marking devices (%) | 1.4% | 2.8% | 1.2% | * | * | NA | NA |
| Precision of unofficial election results (%) | 0.5% | 2.7% | 3.4% | * | * | NA | NA |
| Interpreters deployed on election day | 2,052 | 2,128 | 5,029 | * | * | NA | NA |
| Interpreters deployed on election day - Bronx | 158 | 158 | 273 | * | * | NA | NA |
| Interpreters deployed on election day - Brooklyn | 588 | 546 | 1,606 | * | * | NA | NA |
| Interpreters deployed on election day - Queens | 862 | 968 | 2,085 | * | * | NA | NA |
| Interpreters deployed on election day - Manhattan | 404 | 411 | 861 | * | * | NA | NA |
| Interpreters deployed on election day - Staten Island | 40 | 45 | 204 | * | * | NA | NA |

★ Critical Indicator "NA" Not Available ⇅ Directional Target * None

AGENCY RESOURCES

| Resource Indicators | Actual | | | Sept. 2020 MMR Plan | Updated Plan | Plan | 4-Month Actual | |
|---------------------------------------|---------|---------|---------|---------------------|-------------------|-------------------|----------------|--------|
| | FY18 | FY19 | FY20 | FY21 | FY21 ¹ | FY22 ¹ | FY20 | FY21 |
| Expenditures (\$000,000) ² | \$129.3 | \$172.9 | \$222.1 | \$135.6 | \$160.1 | \$135.8 | \$69.9 | \$63.6 |
| Revenues (\$000) | \$55 | \$56 | \$34 | \$116 | \$39 | \$39 | \$9 | \$10 |
| Personnel | 714 | 784 | 883 | 1,079 | 1,079 | 1,079 | 818 | 904 |
| Overtime paid (\$000,000) | \$7.2 | \$11.5 | \$11.5 | \$8.3 | \$8.3 | \$8.3 | \$2.9 | \$6.2 |

¹January 2021 Financial Plan. ²Expenditures include all funds "NA" - Not Available

SPENDING AND BUDGET INFORMATION

Agency expenditures and planned resources by budgetary unit of appropriation.

| Unit of Appropriation | Expenditures FY20 ¹ (\$000,000) | January 2021 Financial Plan FY21 ² (\$000,000) |
|------------------------------------|--|---|
| 001 - Personal Services | \$87.7 | \$65.2 |
| 002 - Other Than Personal Services | \$134.4 | \$94.8 |
| Agency Total | \$222.1 | \$160.1 |

¹Comprehensive Annual Financial Report (CAFR) for the Fiscal Year ended June 30, 2020. Includes all funds. ²Includes all funds. "NA" Not Available * None

NOTEWORTHY CHANGES, ADDITIONS OR DELETIONS

None.

ADDITIONAL RESOURCES

For additional information, go to:

- Annual reports:

www.vote.nyc/page/annual-reports

For more information on the agency, please visit: www.vote.nyc.



Appendix



Additional Tables

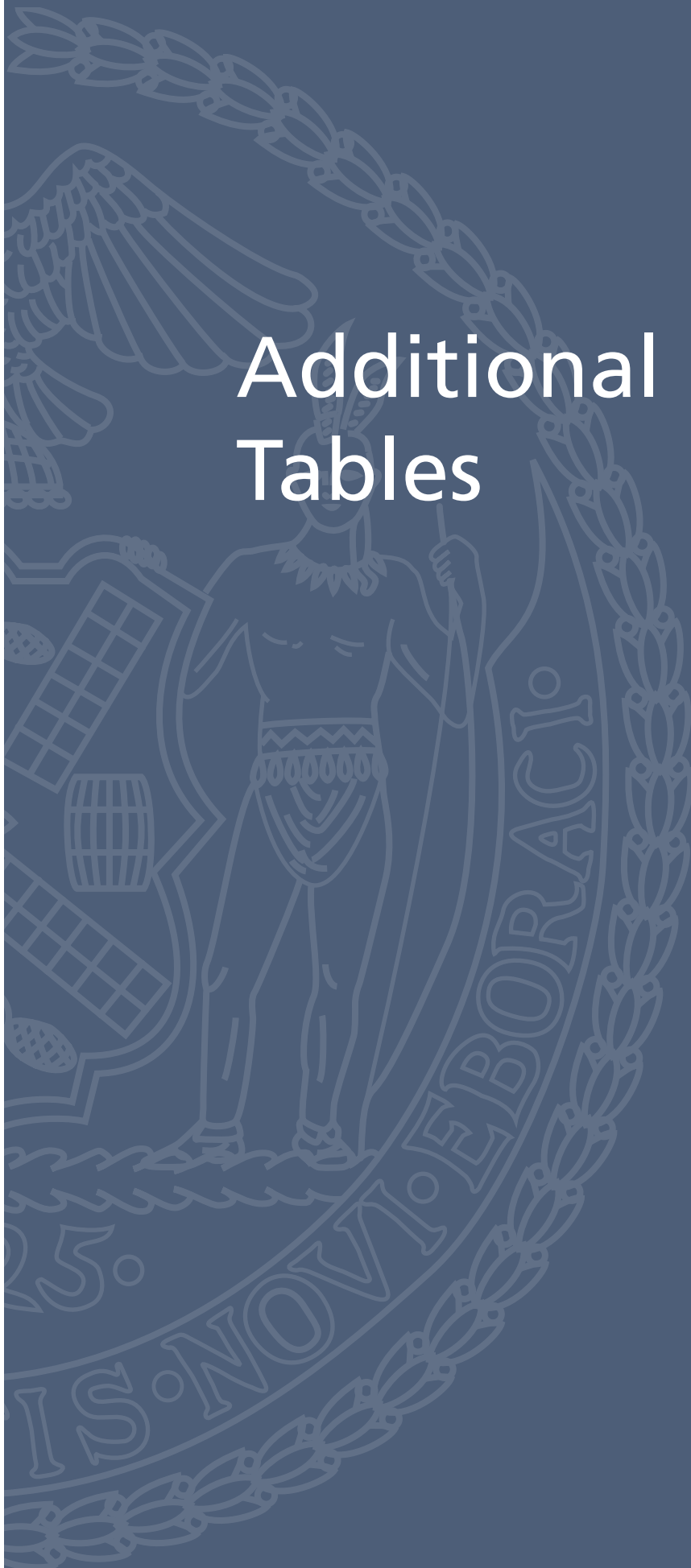




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PAID ABSENCE RATES

FIRST FOUR MONTHS OF FISCAL YEAR 2021

| WORKFORCE OR AGENCY | FY 2021 TOTAL SICK LEAVE | FY 2021 LODI/ WC | FY 2021 TOTAL ABSENCE | FY 2020 TOTAL ABSENCE | FY 2021 EQUIV. ABSENCE DAYS/YEAR |
|------------------------------------|--------------------------|------------------|-----------------------|-----------------------|----------------------------------|
| UNIFORMED WORKFORCES | | | | | |
| DOC (U) | 6.85% | 0.90% | 7.74% | 5.58% | 19.3 |
| FDNY (U) | 2.09% | 6.76% | 8.85% | 5.04% | 22.0 |
| NYPD (U) | 2.86% | 0.85% | 3.71% | 2.99% | 9.2 |
| DSNY (U) | 8.57% | 2.74% | 11.30% | 6.89% | 28.1 |
| Uniformed Subtotal | 3.99% | 2.13% | 6.12% | 4.42% | 15.3 |
| LARGER CIVILIAN WORKFORCES | | | | | |
| NYPD (C) | 2.61% | 0.10% | 2.71% | 4.14% | 6.75 |
| FDNY (C) | 4.12% | 2.21% | 6.33% | 5.04% | 15.76 |
| ACS | 2.00% | 1.94% | 3.94% | 4.47% | 9.81 |
| HRA | 2.06% | 0.09% | 2.14% | 4.05% | 5.34 |
| DHS | 2.84% | 1.18% | 4.02% | 4.86% | 10.00 |
| HPD | 1.64% | 0.03% | 1.68% | 3.33% | 4.17 |
| DOHMH | 1.63% | 0.03% | 1.66% | 3.13% | 4.13 |
| DEP | 2.66% | 0.22% | 2.88% | 3.29% | 7.16 |
| DSNY (C) | 3.13% | 0.62% | 3.76% | 4.14% | 9.36 |
| DOF | 1.82% | 0.01% | 1.83% | 3.27% | 4.56 |
| DOT | 2.69% | 0.65% | 3.34% | 3.91% | 8.32 |
| DPR | 2.55% | 0.32% | 2.87% | 2.57% | 7.15 |
| LAW | 1.38% | 0.00% | 1.38% | 2.65% | 3.44 |
| DCAS | 2.42% | 0.22% | 2.64% | 3.18% | 6.57 |
| DDC | 1.76% | 0.00% | 1.76% | 3.47% | 4.39 |
| DOC (C) | 2.93% | 0.42% | 3.35% | 5.00% | 8.33 |
| PROBATION | 2.07% | 0.24% | 2.31% | 4.19% | 5.75 |
| DOB | 2.45% | 0.05% | 2.50% | 3.23% | 6.22 |
| DOITT | 1.68% | 0.00% | 1.68% | 2.80% | 4.17 |
| Subtotal | 2.45% | 0.48% | 2.93% | 3.80% | 7.3 |
| SMALLER CIVILIAN WORKFORCES | | | | | |
| NYCEM | 1.35% | 0.00% | 1.35% | 2.37% | 3.35 |
| DCP | 1.17% | 0.00% | 1.17% | 3.04% | 2.92 |
| DOI | 1.94% | 0.00% | 1.94% | 2.69% | 4.84 |
| DFTA | 1.37% | 0.00% | 1.37% | 3.36% | 3.40 |
| CULTURAL | 0.85% | 0.00% | 0.85% | 3.26% | 2.11 |
| OATH | 1.43% | 0.00% | 1.43% | 2.32% | 3.57 |
| LANDMARKS | 1.61% | 0.00% | 1.61% | 2.28% | 4.00 |
| ELECTIONS | 4.13% | 0.04% | 4.17% | 4.06% | 10.39 |
| CCRB | 1.29% | 0.01% | 1.29% | 2.88% | 3.22 |
| TLC | 1.72% | 0.53% | 2.25% | 3.57% | 5.60 |
| CCHR | 1.65% | 0.00% | 1.65% | 3.11% | 4.12 |
| DYCD | 1.56% | 0.00% | 1.56% | 3.32% | 3.89 |
| DSBS | 1.52% | 0.00% | 1.52% | 2.84% | 3.79 |
| DOR | 4.92% | 0.00% | 4.92% | 3.36% | 12.26 |
| CONSUMER | 2.13% | 0.00% | 2.13% | 3.33% | 5.31 |
| BIC | 1.18% | 0.00% | 1.18% | 2.65% | 2.95 |

| | | | | | |
|------------------|-------|-------|-------|-------|------|
| Subtotal | 2.04% | 0.07% | 2.11% | 3.20% | 5.27 |
| Uniformed | 3.99% | 2.13% | 6.12% | 4.42% | 15.3 |
| Civilian | 2.43% | 0.46% | 2.89% | 3.77% | 7.19 |
| TOTAL | 3.09% | 1.17% | 4.26% | 4.06% | 10.6 |
| CITYWIDE | 3.09% | 0.27% | 3.35% | 3.42% | 8.4 |

Note: The Total Absence Rate is calculated by dividing the sum of paid sick leave for all employees, Line-of-Duty Injury absence for uniformed employees, and paid Workers' Compensation absence for civilian employees, by paid scheduled hours for all employees. The Citywide Absence Rate is calculated by dividing paid sick leave for all employees plus paid Workers' Compensation absence for civilian employees by paid scheduled hours for all employees.

VEHICLE FLEETS AND MAINTENANCE

New York City operates the largest municipal fleet in the United States, with more than 30,000 units. Citywide fleet operations are led by DCAS Fleet through the Deputy Commissioner for Fleet Management, who serves as the City's Chief Fleet Officer, consistent with Executive Order 161. The Chief Fleet Officer works with the more than 50 City agencies and offices that operate fleet units, especially the 12 major fleet agencies of NYPD, FDNY, DOC, DSNY, DPR, DOT, DEP, DOE, DOHMH, NYCEM, TLC and DCAS, known as the Fleet Federation.

DCAS Fleet leads initiatives in safety, sustainability, transparency, and emergency management, while also providing direct services in areas including repair, collisions management, subrogation, fuel, auction and parts. DCAS manages the City's central fleet management systems and FleetStat reporting.

As part of Vision Zero, the City's fleet operations are undertaking a series of initiatives to improve safety and reporting relating to vehicle collisions. These initiatives currently include:

1. Training all authorized City fleet drivers in defensive driving. DCAS Fleet is leading the initiative to train all City drivers. Uniformed drivers at NYPD, FDNY and DOC receive separate driver training for their emergency response vehicles. In 2020, DCAS established a first online version of the training in response to COVID-19 requirements.
2. Assessing the safety outfitting of City vehicles and developing a Safe Fleet Transition Plan. As part of this initiative, the City has a policy to install side-guards on all fleet units. DCAS is also implementing a safety camera project for City trucks. The City is also working with private fleets to assess and promote best industry practices. DCAS Fleet has barred the use of hands-free phone devices by City fleet operators.
3. Improving the tracking of vehicle collisions. DCAS Fleet introduced new indicators to this Vehicle Fleets and Maintenance table of the Mayor's Management Report (MMR) to refine reporting on fleet safety. DCAS now provides collision rates by vehicle miles travelled (VMT), which is the standard fleet industry reporting metric. DCAS also reports on fatalities and injuries by VMT and reports on whether these incidents were deemed preventable or not through agency evaluations.
4. Installing tracking devices in City fleet vehicles. Tracking devices provide data to be used to monitor driving habits and enable DCAS to create a Safety Index to help improve safe driving of City vehicles. DCAS uses multiple telematics providers as part of this initiative and completed an upgrade of this technology for 12,000 units in Fiscal 2019. DCAS manages this data through a Fleet Office of Real Time Tracking (FORT).

The City is also implementing a series of sustainability initiatives as part of the OneNYC and NYC Clean Fleet plans, including efforts to expand electric and hybrid vehicles; install additional diesel particulate filters; increase the use of fossil fuel alternatives; and introduce anti-idling and other technologies. Fleet has committed to reduce greenhouse gas emissions by 50 percent by 2025 and to establish an all-electric on-road fleet by 2040.

DCAS achieved the goal of 2,000 on-road electric vehicles (EV) six years earlier than the plan originally outlined in the NYC Clean Fleet initiative. The revised goal is at least 4,000 EV units by 2025. DCAS has now put in place over 1,000 EV charging ports including the nation's largest portable solar carport project and a large increase in fast charging.

DCAS Fleet has also worked to increase the transparency of citywide fleet operations. The daily vehicle readiness report, the Fleet weekly newsletter, and a wide variety of other public reporting is available online. The roll-out of fleet systems to better track, monitor and share fleet assets, parts and fuel, and driving behaviors, will increase understanding of fleet operations; allow for better management oversight; and facilitate further service improvements.

In addition to this report, the Local Law 75 Annual Report contains information on use-based fuel economy for non-emergency light and medium fleets. The Local Law 38 Annual Report, prepared by the Department of Environmental Protection, contains information on City purchases of light and medium duty vehicles, the fuel economy of light duty vehicles purchased by the City, and the fuel consumption and carbon dioxide emission of the City fleet of light and medium duty vehicles. The Local Law 41 report provides information on citywide Car and Fleet Share efforts.

ADDITIONAL RESOURCES

- Fleet newsletter:
<https://www1.nyc.gov/site/dcas/agencies/fleet-news.page>
- Use-based fuel economy report (Local Law 75):
<https://www1.nyc.gov/assets/dcas/downloads/pdf/fleet/Local-Law-75-Report-on-Use-Based-Fuel-Economy-1-29-2019.pdf>
- Air pollution from City vehicles report (Local Law 38):
<https://www1.nyc.gov/site/dep/environment/transportation-emissions.page>
- Local Law 41, Car Share report:
<https://www1.nyc.gov/assets/dcas/downloads/pdf/fleet/Local-Law-41-Report-on-Car-Share-2019.pdf>

VEHICLE FLEETS AND MAINTENANCE

| INDICATORS | Actual | | Target | | 4-Month Actual | |
|---|-------------|-------------|------------|------------|----------------|-------------|
| | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Total Fleet Size | 30,755 | 30,502 | 30,250 | 29,900 | 30,717 | 29,941 |
| - Light Duty | 13,153 | 12,703 | 12,600 | 12,450 | 12,873 | 12,470 |
| - Medium Duty | 4,627 | 4,628 | 4,600 | 4,550 | 4,607 | 4,585 |
| - Heavy Duty | 7,568 | 7,546 | 7,500 | 7,650 | 7,624 | 7,654 |
| - Other Vehicles | 5,407 | 5,625 | 5,550 | 5,250 | 5,613 | 5,232 |
| Vehicle in-service rate (%) | 91% | 91% | 92% | 92% | 90% | 92% |
| Daily fleet in-service targets achieved (%) | 96% | 98% | 98% | 98% | 98% | 94% |
| Purchased vehicles compliant with Local Law 38 (%) | 100% | 100% | 99% | 99% | NA | NA |
| Alternative fuel vehicles | 18,942 | 19,100 | 19,500 | 19,750 | 19,019 | 19,313 |
| Alternative fuel vehicles in City fleet (%) | 63% | 65% | 68% | 68% | 64% | 66% |
| Electric vehicles | 2,662 | 2,747 | 2,900 | 3,000 | 2,682 | 2,829 |
| - On-road electric vehicles | 2,113 | 2,174 | 2,350 | 2,450 | 2,134 | 2,289 |
| - Off-road electric vehicles | 549 | 573 | 550 | 550 | 548 | 540 |
| Vehicle fuel used (gallons) | 28,905,781 | 26,756,419 | 28,000,000 | 26,500,000 | 9,710,397 | 8,388,890 |
| - Biodiesel fuel used (gallons) | 14,596,581 | 13,305,898 | 15,500,000 | 14,000,000 | 4,788,075 | 4,159,990 |
| - B100/RD100 equivalent used (gallons) | 2,680,349 | 1,677,291 | 6,000,000 | 2,000,000 | 814,931 | 706,571 |
| Fleet miles per gallon (FMPG) | 6.5 | 7.0 | 7.0 | 6.5 | 6.5 | 6.5 |
| Electric chargers installed | 116 | 61 | 75 | 25 | 37 | 38 |
| Cumulative electric vehicle charger ports | 832 | 949 | * | * | 831 | 946 |
| Vehicles purchased | 2,847 | 1,925 | 500 | 500 | 979 | 306 |
| Average age of fleet (months) | 65.4 | 68.5 | 69 | 70 | 66 | 69 |
| Collisions in City vehicles ¹ | 6,061 | 4,752 | * | * | 1,924 | 1,192 |
| Collisions per 100,000 miles involving City vehicles citywide | 5.3 | 4.9 | * | * | 5.2 | 3.5 |
| Preventable collisions per 100,000 miles involving City vehicles citywide | 2.9 | 2.6 | * | * | 2.8 | 2.0 |
| Injuries involving collisions in City vehicles citywide per 100,000 miles | 0.7 | 0.6 | * | * | 0.7 | 0.3 |
| Injuries involving preventable collisions per 100,000 miles | 0.3 | 0.3 | * | * | 0.3 | 0.1 |
| Preventable collisions in City vehicles | 3,357 | 2,508 | * | * | 1,041 | 692 |
| Injuries involving collisions in City vehicles | 827 | 560 | * | * | 261 | 113 |
| Fatalities involving collisions in non-emergency City vehicles | 4 | 4 | * | * | 2 | 0 |
| Revenue from recoverable affirmative claims | \$2,865,603 | \$2,459,284 | * | * | \$915,450 | \$1,106,233 |
| Employees trained in defensive driving | 10,307 | 5,447 | 5,000 | 5,000 | 2,843 | 1,346 |
| Authorized City drivers trained in defensive driving (%) | 82% | 87% | 92% | 95% | 89% | 94% |

VEHICLE FLEETS AND MAINTENANCE (CONT.)

| | | | | | | |
|---|---------|---------|--------|--------|---------|--------|
| Fleet repair expenditures (\$000,000) | \$274.2 | \$271.1 | * | * | \$78.2 | \$82.1 |
| Fleet fuel expenditures (\$000,000) | \$66.7 | \$50.5 | * | * | \$20.5 | \$13.4 |
| Fleet acquisition expenditures (capital) (\$000,000) | \$175.9 | \$253.4 | \$75.0 | \$50.0 | \$191.1 | \$29.8 |
| Fleet acquisition expenditures (expense) (\$000,000) | \$72.6 | \$32.8 | \$20.0 | \$5.0 | \$23.5 | \$13.2 |
| Automotive repair personnel | 1,434 | 1,408 | 1,410 | 1,380 | 1,412 | 1,419 |
| Fleet support personnel | 358 | 344 | 340 | 330 | 349 | 344 |
| ¹ The number of collisions in City vehicles do not include NYPD collisions. "NA" Not Available *None | | | | | | |

THE FOLLOWING IS A DETAILED FLEET BREAKDOWN FOR AGENCIES WITH THE LARGEST CITY-MANAGED FLEETS:

| DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES INDICATORS | Actual | | Target | | 4-Month Actual | |
|--|-----------|-----------|--------|------|----------------|-----------|
| | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Vehicles | 2,380 | 2,454 | * | * | 2,440 | 2,503 |
| - Light Duty | 1,842 | 1,891 | * | * | 1,907 | 1,883 |
| - Medium Duty | 313 | 309 | * | * | 300 | 326 |
| - Heavy Duty | 71 | 79 | * | * | 73 | 79 |
| - Other Vehicles | 154 | 175 | * | * | 160 | 215 |
| Vehicle in-service rate (%) | 98% | 99% | * | * | 98% | 98% |
| Fleet miles per gallon (FMPG) | 20.9 | 20.2 | * | * | NA | NA |
| Collisions per 100,000 miles involving City vehicles | 2.9 | 3.0 | * | * | 3.3 | 1.8 |
| Preventable collisions per 100,000 miles involving City vehicles | 1.4 | 1.0 | * | * | 1.2 | 0.4 |
| Injuries involving collisions in City vehicles per 100,000 miles | 0.4 | 0.3 | * | * | 0.4 | 0.1 |
| Injuries involving preventable collisions per 100,000 miles | 0.2 | 0.1 | * | * | 0.1 | 0.0 |
| Authorized City drivers trained in defensive driving (%) | 75% | 84% | * | * | 78% | 83% |
| Revenue from recoverable affirmative claims | \$415,876 | \$374,838 | * | * | \$96,604 | \$119,031 |
| "NA" Not Available *None | | | | | | |

| DEPARTMENT OF ENVIRONMENTAL PROTECTION | Actual | | Target | | 4-Month Actual | |
|--|---------|---------|--------|------|----------------|----------|
| | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| INDICATORS | | | | | | |
| Vehicles | 2,297 | 2,301 | * | * | 2,308 | 2,117 |
| - Light Duty | 920 | 895 | * | * | 900 | 858 |
| - Medium Duty | 457 | 474 | * | * | 463 | 470 |
| - Heavy Duty | 418 | 426 | * | * | 444 | 427 |
| - Other Vehicles | 502 | 506 | * | * | 501 | 362 |
| Vehicle in-service rate (%) | 92% | 91% | * | * | 91% | 90% |
| Fleet miles per gallon (FMPG) | 13.1 | 12.5 | * | * | NA | NA |
| Collisions per 100,000 miles involving City vehicles | 2.8 | 1.8 | * | * | 2.3 | 1.4 |
| Preventable collisions per 100,000 miles involving City vehicles | 1.7 | 1.1 | * | * | 1.4 | 0.9 |
| Injuries involving collisions in City vehicles per 100,000 miles | 0.3 | 0.1 | * | * | 0.1 | 0.1 |
| Injuries involving preventable collisions per 100,000 miles | 0.1 | 0.0 | * | * | 0.0 | 0.02 |
| Authorized City drivers trained in defensive driving (%) | 76% | 81% | * | * | 83% | 90% |
| Revenue from recoverable affirmative claims | \$1,537 | \$2,292 | * | * | \$1,172 | \$59,359 |
| "NA" Not Available | | *None | | | | |

| DEPARTMENT OF HEALTH AND MENTAL HYGIENE | Actual | | Target | | 4-Month Actual | |
|--|----------|----------|--------|------|----------------|---------|
| | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| INDICATORS | | | | | | |
| Vehicles | 322 | 305 | * | * | 310 | 297 |
| - Light Duty | 234 | 227 | * | * | 229 | 223 |
| - Medium Duty | 78 | 68 | * | * | 71 | 66 |
| - Heavy Duty | 6 | 6 | * | * | 6 | 6 |
| - Other Vehicles | 4 | 4 | * | * | 4 | 2 |
| Vehicle in-service rate (%) | 99% | 99% | * | * | 99% | 99% |
| Fleet miles per gallon (FMPG) | 28.5 | 26.6 | * | * | NA | NA |
| Collisions per 100,000 miles involving City vehicles | 1.6 | 2.3 | * | * | 2.0 | 1.2 |
| Preventable collisions per 100,000 miles involving City vehicles | 0.6 | 1.1 | * | * | 1.0 | 0.2 |
| Injuries involving collisions in City vehicles per 100,000 miles | 0.1 | 0.4 | * | * | 0.3 | 0.0 |
| Injuries involving preventable collisions per 100,000 miles | 0.0 | 0.2 | * | * | 0.3 | 0.0 |
| Authorized City drivers trained in defensive driving (%) | 85% | 85% | * | * | 87% | 84% |
| Revenue from recoverable affirmative claims | \$19,692 | \$26,941 | * | * | \$6,402 | \$3,887 |
| "NA" Not Available | | *None | | | | |

| DEPARTMENT OF TRANSPORTATION | Actual | | Target | | 4-Month Actual | |
|--|----------|----------|--------|------|----------------|----------|
| INDICATORS | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Vehicles | 3,430 | 3,488 | * | * | 3,436 | 3,450 |
| - Light Duty | 956 | 960 | * | * | 961 | 960 |
| - Medium Duty | 572 | 564 | * | * | 572 | 557 |
| - Heavy Duty | 824 | 892 | * | * | 834 | 937 |
| - Other Vehicles | 1,078 | 1,072 | * | * | 1,069 | 996 |
| Vehicle in-service rate (%) | 92% | 93% | * | * | 92% | 91% |
| Fleet miles per gallon (FMPG) | 7.2 | 5.7 | * | * | NA | NA |
| Collisions per 100,000 miles involving City vehicles | 2.7 | 3.2 | * | * | 4.0 | 2.6 |
| Preventable collisions per 100,000 miles involving City vehicles | 1.1 | 1.7 | * | * | 1.9 | 2.5 |
| Injuries involving collisions in City vehicles per 100,000 miles | 0.5 | 0.4 | * | * | 0.5 | 0.1 |
| Injuries involving preventable collisions per 100,000 miles | 0.1 | 0.1 | * | * | 0.2 | 0.1 |
| Authorized City drivers trained in defensive driving (%) | 87% | 95% | * | * | 89% | 96% |
| Revenue from recoverable affirmative claims | \$73,848 | \$58,658 | * | * | \$38,277 | \$13,047 |
| "NA" Not Available | *None | | | | | |

| DEPARTMENT OF SANITATION | Actual | | Target | | 4-Month Actual | |
|--|-----------|-----------|--------|------|----------------|----------|
| INDICATORS | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Vehicles | 6,121 | 5,988 | * | * | 6,104 | 5,972 |
| - Light Duty | 939 | 915 | * | * | 928 | 920 |
| - Medium Duty | 299 | 312 | * | * | 319 | 311 |
| - Heavy Duty | 3,846 | 3,767 | * | * | 3,859 | 3,832 |
| - Other Vehicles | 1,037 | 994 | * | * | 998 | 909 |
| Vehicle in-service rate (%) | 82% | 84% | * | * | 79% | 85% |
| Fleet miles per gallon (FMPG) | 2.9 | 2.8 | * | * | NA | NA |
| Collisions per 100,000 miles involving City vehicles | 7.6 | 6.7 | * | * | 7.1 | 5 |
| Preventable collisions per 100,000 miles involving City vehicles | 4.5 | 3.9 | * | * | 4.2 | 3.2 |
| Injuries involving collisions in City vehicles per 100,000 miles | 0.7 | 0.6 | * | * | 0.7 | 0.4 |
| Injuries involving preventable collisions per 100,000 miles | 0.4 | 0.4 | * | * | 0.4 | 0.2 |
| Authorized City drivers trained in defensive driving (%) | 92% | 97% | * | * | 97% | 97% |
| Revenue from recoverable affirmative claims | \$282,536 | \$275,769 | * | * | \$128,848 | \$74,611 |
| "NA" Not Available | *None | | | | | |

| DEPARTMENT OF PARKS AND RECREATION | Actual | | Target | | 4-Month Actual | |
|--|----------|----------|--------|------|----------------|----------|
| INDICATORS | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Vehicles | 2,840 | 2,777 | * | * | 2,814 | 2,808 |
| - Light Duty | 548 | 524 | * | * | 533 | 527 |
| - Medium Duty | 788 | 759 | * | * | 782 | 772 |
| - Heavy Duty | 361 | 370 | * | * | 376 | 377 |
| - Other Vehicles | 1,143 | 1,124 | * | * | 1,123 | 1,132 |
| Vehicle in-service rate (%) | 95% | 96% | * | * | 95% | 96% |
| Fleet miles per gallon (FMPG) | 7.8 | 7.1 | * | * | NA | NA |
| Collisions per 100,000 miles involving City vehicles | 4.7 | 5.5 | * | * | 6.2 | 6.2 |
| Preventable collisions per 100,000 miles involving City vehicles | 3.3 | 3.3 | * | * | 3.9 | 4.3 |
| Injuries involving collisions in City vehicles per 100,000 miles | 0.5 | 0.2 | * | * | 0.2 | 0.7 |
| Injuries involving preventable collisions per 100,000 miles | 0.4 | 0.2 | * | * | 0.1 | 0.3 |
| Authorized City drivers trained in defensive driving (%) | 99% | 98% | * | * | 99% | 97% |
| Revenue from recoverable affirmative claims | \$98,197 | \$37,526 | * | * | \$15,050 | \$28,100 |
| "NA" Not Available | *None | | | | | |

| POLICE DEPARTMENT | Actual | | Target | | 4-Month Actual | |
|--|-------------|-------------|--------|------|----------------|-----------|
| INDICATORS | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Vehicles | 9,967 | 9,824 | * | * | 9,940 | 9,489 |
| - Light Duty | 6,903 | 6,534 | * | * | 6,645 | 6,349 |
| - Medium Duty | 1,413 | 1,429 | * | * | 1,404 | 1,363 |
| - Heavy Duty | 439 | 436 | * | * | 438 | 433 |
| - Other Vehicles | 1,212 | 1,425 | * | * | 1,453 | 1,344 |
| Vehicle in-service rate (%) | 93% | 94% | * | * | 93% | 94% |
| Fleet miles per gallon (FMPG) | 8.3 | 10.4 | * | * | NA | NA |
| Collisions per 100,000 miles involving City vehicles | 4.4 | NA | * | * | NA | NA |
| Revenue from recoverable affirmative claims | \$1,744,697 | \$1,139,114 | * | * | \$452,722 | \$681,529 |
| "NA" Not Available | *None | | | | | |

| FIRE DEPARTMENT | Actual | | Target | | 4-Month Actual | |
|--|-----------|-----------|--------|------|----------------|-----------|
| INDICATORS | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Vehicles | 2,426 | 2,341 | * | * | 2,340 | 2,298 |
| - Light Duty | 382 | 318 | * | * | 323 | 313 |
| - Medium Duty | 464 | 464 | * | * | 446 | 469 |
| - Heavy Duty | 1,401 | 1,368 | * | * | 1,392 | 1366 |
| - Other Vehicles | 179 | 191 | * | * | 179 | 150 |
| Vehicle in-service rate (%) | 82% | 83% | * | * | 82% | 86% |
| Fleet miles per gallon (FMPG) | 4.5 | 4.8 | * | * | NA | NA |
| Collisions per 100,000 miles involving City vehicles | 10.1 | 7.8 | * | * | 7.9 | 4.3 |
| Preventable collisions per 100,000 miles involving City vehicles | 5.3 | 4.0 | * | * | 4.0 | 2.1 |
| Injuries involving collisions in City vehicles per 100,000 miles | 2.0 | 1.3 | * | * | 1.7 | 0.5 |
| Injuries involving preventable collisions per 100,000 miles | 0.8 | 0.5 | * | * | 0.8 | 0.1 |
| Revenue from recoverable affirmative claims | \$146,973 | \$485,154 | * | * | \$158,861 | \$120,185 |
| "NA" Not Available *None | | | | | | |

| DEPARTMENT OF CORRECTION | Actual | | Target | | 4-Month Actual | |
|--|----------|----------|--------|------|----------------|-------|
| INDICATORS | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Vehicles | 675 | 730 | * | * | 724 | 713 |
| - Light Duty | 253 | 280 | * | * | 269 | 278 |
| - Medium Duty | 141 | 139 | * | * | 147 | 141 |
| - Heavy Duty | 183 | 178 | * | * | 183 | 173 |
| - Other Vehicles | 98 | 133 | * | * | 125 | 121 |
| Vehicle in-service rate (%) | 94% | 95% | * | * | 94% | 96% |
| Fleet miles per gallon (FMPG) | 8.5 | 7.3 | * | * | NA | NA |
| Collisions per 100,000 miles involving City vehicles | 2.5 | 3.3 | * | * | 3.6 | 2.2 |
| Preventable collisions per 100,000 miles involving City vehicles | 1.6 | 1.1 | * | * | 2.3 | 0.2 |
| Injuries involving collisions in City vehicles per 100,000 miles | 0.6 | 0.9 | * | * | 1.0 | 1.0 |
| Injuries involving preventable collisions per 100,000 miles | 0.2 | 0.2 | * | * | 0.5 | 0.0 |
| Authorized City drivers trained in defensive driving (%) | 24% | 26% | * | * | NA | NA |
| Revenue from recoverable affirmative claims | \$42,470 | \$23,032 | * | * | \$8,128 | \$993 |
| "NA" Not Available *None | | | | | | |

| DEPARTMENT OF EDUCATION INDICATORS | Actual | | Target | | 4-Month Actual | |
|---|----------|----------|--------|------|----------------|---------|
| | FY19 | FY20 | FY21 | FY22 | FY20 | FY21 |
| Vehicles | 297 | 294 | * | * | 301 | 294 |
| - Light Duty | 176 | 159 | * | * | 178 | 159 |
| - Medium Duty | 102 | 110 | * | * | 103 | 110 |
| - Heavy Duty | 19 | 24 | * | * | 19 | 24 |
| - Other Vehicles | 0 | 1 | * | * | 1 | 1 |
| Vehicle in-service rate (%) | 99% | 100% | * | * | 100% | 99% |
| Revenue from recoverable affirmative claims | \$39,777 | \$35,960 | * | * | \$9,387 | \$5,491 |
| "NA" Not Available *None | | | | | | |

FLEET DEFINITIONS

Alternative fuel vehicles in City fleet (%):

The percentage of City vehicles that are using alternative fuel.

Alternative fuel vehicles:

The total number of City vehicles that are using alternative fuel.

Automotive repair personnel:

The number of City personnel assigned to repair and maintain City fleet for the year.

Average age of fleet (months):

The average number of months from the date a vehicle is put in service to the end of the reporting period (i.e., the MMR/PMMR reporting period).

Citywide fleet size:

The total number of vehicles in the city managed fleet and the subtotals by vehicle size/type.

Collisions in City vehicles:

The number of collisions in the year as reported by City agencies.

Collisions per 100,000 miles involving City vehicles citywide:

The number of City-vehicle involved collision reports per 100,000 miles involving injury or property damage in the citywide fleet reported in the citywide collision reporting system (CRASH).

Daily fleet in-service targets achieved (%):

The percentage of days the target for vehicle in-service rate was met.

Electric chargers installed:

The number of chargers installed for City electric powered vehicles.

Electric vehicles:

The number of electric and plug-in vehicles in the citywide fleet. The fiscal year figure is the number of electric vehicles on the last day of the reporting period.

Employees trained in defensive driving:

The number of City employees trained in defensive driving centrally.

Fatalities involving collisions in nonemergency City vehicles:

The number of fatalities to City employees and all other parties involved in collisions that included one or more nonemergency City fleet vehicle (and no City emergency response vehicle).

Fleet acquisition expenditures (capital) (\$000,000):

The amount of capital funds spent on City fleet during the year.

Fleet acquisition expenditures (expense) (\$000,000):

The amount of expense funds spent on fuel for City fleet during the year.

Fleet fuel expenditures (\$000,000):

The amount spent on fuel for City fleet during the year.

Fleet miles per gallon (FMPG):

This indicator shows a total miles per gallon average for all vehicles combined. Agency fuel use may involve off-road and specialized equipment usage that impacts this calculation. It is not a vehicle-specific MPG indicator, but offers a general view of fuel efficiency for the City fleet.

Fleet repair expenditures (\$000,000):

The amount spent on repair and maintenance of City fleet during the year.

Fleet support personnel:

The number of City personnel assigned to administer and support City fleet operations for the year.

Injuries involving collisions in City vehicles:

The number of injuries to City employees and all other parties involved in collisions that included at least one City fleet vehicle.

Injuries involving collisions in City vehicles per 100,000 miles:

The number of injuries associated with collisions per 100,000 miles that included at least one City vehicle.

Injuries involving preventable collisions per 100,000 miles:

The number of injuries in preventable collisions reported per 100,000 miles in the citywide fleet.

Off-road electric vehicles:

The number of off-road electric and plug-in vehicles in the citywide fleet. The fiscal year figure is the number of electric vehicles on the last day of the reporting period. This includes off-road solar electric units.

On-road electric vehicles:

The number of on-road electric and plug-in vehicles in the citywide fleet. The fiscal year figure is the number of electric vehicles on the last day of the reporting period.

Preventable collisions in City vehicles:

A collision in which the driver, by his/her own admission or in the judgment of an Agency Accident Review Committee, did not take all reasonable avoidance actions, including attention to road conditions and improper actions of other drivers. "Preventability" is not limited to the violation of traffic laws and is distinguished from "chargeability" as determined by the law.

Preventable collisions per 100,000 miles involving City vehicles citywide:

The number of preventable collisions reports per 100,000 miles in the citywide fleet.

Purchased vehicles compliant with Local Law 38 (%):

The percentage of light and medium-duty vehicles purchased for the City through DCAS during the period that are certified with the highest ratings defined by California Low-Emission Vehicle (LEV) II standards. The four highest ratings are zero emission vehicles (ZEV), transitional zero emission vehicles (TZEV), advanced technology partial zero emission vehicles (ATPZEV), and partial zero emission vehicles (PZEV). Pursuant to Local Law 38 of 2005, each light and medium duty vehicle that the City purchases should have the best certified emission rating within its vehicle category while meeting the requirements for the City's intended use. According to the law, some exceptions apply based on cost and other limited exemptions, including for certain emergency vehicles.

Revenue from recoverable affirmative claims:

The amount of money recovered following collisions in City vehicles.

Vehicle and Biodiesel fuel used (gallons):

The volume of fuel used by City fleet in year (biodiesel is included in vehicle fuel).

Vehicle in-service rate (%):

The percentage of fleet in full service.

Vehicles purchased:

The number of City fleet vehicles acquired.

LIST OF AGENCIES IN THE CITYWIDE FLEET

| | |
|---|---------------------------------|
| Department of Citywide Administrative Services* | New York City Fire Department |
| Department of Environmental Protection | New York City Police Department |
| Department of Correction | Department of Transportation |
| Department of Parks and Recreation | Department of Sanitation |
| Department of Health and Mental Hygiene | Department of Education |

* "DEPARTMENT OF CITYWIDE ADMINISTRATIVE SERVICES" VEHICLES INCLUDE THOSE USED BY THE FOLLOWING AGENCIES:

| | |
|---|---|
| Administration of Children's Services | Department of Youth and Community Development |
| Board of Elections | Financial Information Services Agency |
| Bronx Borough President | GrowNY (formerly known as "Council on the Environment") |
| Brooklyn Borough President | Human Resources Administration |
| Business Integrity Commission | Landmarks Preservation Commission |
| Campaign Finance Board | Law Department |
| City Commission on Human Rights | Manhattan Borough President |
| City Council | Mayor's Office |
| Civilian Complaint Review Board | New York City Emergency Management |
| Department for the Aging | NYC Economic Development Corporation |
| Department of Buildings | Office of Administrative Trials and Hearings |
| Department of City Planning | Office of Chief Medical Examiner |
| Department of Citywide Administrative Services | Office of Labor Relations |
| Department of Consumer Affairs | Office of Management and Budget |
| Department of Cultural Affairs | Office of Payroll Administration |
| Department of Design and Construction | Office of the City Clerk |
| Department of Finance | Office of the Comptroller |
| Department of Homeless Services | Office of the Public Advocate |
| Department of Housing Preservation and Development | Queens Borough President |
| Department of Information Technology and Telecommunications | Sheriff's Office |
| Department of Investigation | Sports Commission |
| Department of Probation | Staten Island Borough President |
| Department of Records and Information Services | Tax Commission |
| Department of Small Business Services | Taxi and Limousine Commission |

SPENDING AND BUDGET INFORMATION

FISCAL 2021 PRELIMINARY MAYOR'S MANAGEMENT REPORT (PMMR)

Spending and budget information is displayed as a table within each agency's chapter, between "Agency Resources" and the "Noteworthy Changes, Additions or Deletions" sections. The tables indicate, where possible, the relationship between an agency's MMR goals and its units of appropriations.

The NYC Office of Management and Budget (OMB) provided the Mayor's Office of Operations with expenditures for City agencies, as reported in the City's Fiscal 2020 Comprehensive Annual Financial Report and the planned amounts for Fiscal 2021. Figures cited reflect all funds.

The PMMR and MMR cover the operations of City agencies that report directly to the Mayor. Additional non-Mayoral agencies, legally separate organizations, and unit components of agencies are included in these reports, however, spending and budget or goal information may be more limited. These include:

- 311
- Board of Elections
- City University of New York
- New York City Health + Hospitals
- New York City Housing Authority
- Public Libraries
- School Construction Authority

The City's contributions to the New York City Housing Authority (NYCHA) and the School Construction Authority (SCA), both public authorities, are not made through distinct units of appropriation. For more information, refer to:

- NYCHA's Annual Plan and Financial Information webpage:
<http://www1.nyc.gov/site/nycha/about/annual-plan-financial-information.page>
- SCA's proposed five year capital plan:
<http://www.nycsca.org/Community/Capital-Plan-Reports-Data>

USER'S GUIDE

What We Do – A summary of agency activities, facilities and resources.

Focus on Equity – Articulates how each agency works to promote fair delivery and quality of services among and across groups of people and places, supporting the goals of equity, equality and opportunity for all New York City residents.

Our Services and Goals – The agency's major areas of responsibility for delivering services to New Yorkers and the steps it takes to provide those services.

How We Performed – Highlights describing how the agency has performed in delivering its services for the first four months of the fiscal year.

Performance Indicators – Measures of agency performance, organized by goal including three full years of data and the first four months of the prior and current fiscal years.

Critical Indicator Icon – A star (★) designates indicators that are considered critical to agency performance. These are the indicators that appear on the Citywide Performance Reporting website.

Target – Desired levels of performance for the current fiscal year and the next fiscal year. Targets can be numeric or directional. Numeric targets can set an expected level of performance, a maximum level not to be exceeded, or a minimum level to be met. Directional targets are represented by up or down arrows. An asterisk means no numeric or directional target was set.

Agency-Wide Management – Indicators that apply to broad aspects of management within an agency rather than a single goal.

Agency Customer Service – Statistics on how well an agency provides services to its customers via phone, e-mail, letters, and walk-in centers. For 12 agencies that handle 311 Customer Service Center service requests, a table shows performance for five key service request types.

Agency Resources – Overview of the financial and workforce resources used by an agency over the past three fiscal years and the planned resources available to the agency in the current and upcoming fiscal years.

Spending and Budget Information – Shows the relationship, where possible, between an agency's goals and its expenditures and planned resources, by budgetary unit of appropriation.

Noteworthy Changes, Additions or Deletions – Describes changes to an agency's data.

Additional Resources – Provides the full Internet addresses of links to additional agency information and statistics, including the agency's website.

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*Non-Mayoral Agencies

This report was produced by
the Mayor's Office of Operations in collaboration with
the City agencies presented within.

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