Accelerating Homeless Set-Aside Placements in New York City

Evaluation for the City of New York, Department of Housing Preservation and Development, Department of Homeless Services, Human Resources Administration, and Housing Development Corporation

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KPMG

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Homeless set-aside units are essential in New York City's efforts to end homelessness. In FY2022 alone, 2,175 homeless households moved into homeless set-aside units, constituting the second-largest subsidized housing placement type for NYC Department of Homeless Services (DHS) shelter residents.

Currently, this placement process leaves homeless set-aside units vacant for a median of 19 weeks. Accelerating this process would move more DHS shelter residents into permanent housing each year and encourage affordable housing providers to volunteer more homeless set-aside units.

Challenges in leasing up new construction affordable buildings in New York City have steadily increased. In June 2018, the Housing Development Corporation (HDC) underwrote to an average lease-up term of eight and a half months. By 2023, the average lease-up term for a new development increased to eleven months. Each month of delay costs roughly $2,000 of additional subsidy per unit. A month of delay across all FY2022 homeless placements would total $4.35 million. This figure would be significantly higher if you factor in the City's cost of paying for additional months of shelter stay and the impact on property owners.

The process involves four agencies and three income eligibility determination processes, which results in a complex program with multiple hand-offs and similar steps occurring throughout the process.

- Agencies: Housing Preservation and Development (HPD), Department of Homeless Services (DHS), Human Resources Administration (HRA), and Housing Development Corporation (HDC)
- Eligibility determinations: Low-Income Housing Tax Credit (LIHTC) or other housing financing program, City Family Eviction Prevention Supplement (CityFHEPS), and Cash Assistance

KPMG developed recommendations to help reduce the median time to fill a set-aside unit to ten weeks. KPMG conducted an evaluation of the process and produced thirty-two business process improvements to speed up placements. The recommendations accomplish the following objectives:

- *Remove Unnecessary Steps and Handoffs.* The agencies should remove handoffs and legacy steps that create manual work and duplicative effort. Examples are certain documentation requests, repeated reviews of LIHTC files, and the eligibility appointment for LIHTC applicants.

- *Reduce CityFHEPS Delays through Policy Alignment and Increased Resources.* The Office of Management and Budget Policy and Operations Research Task Force (OMB) determined that CityFHEPS processing takes a median of 44 days, the longest step in the process. HRA attributes this to the Cash Assistance (CA) case, which must be active for a resident to receive CityFHEPS, the rise in the CA caseload, and the complicated landscape of regulations governing CityFHEPS and CA. The delays should be addressed through resourcing, policy, and organizational changes.

- *Increase Information Sharing Across Agencies.* The agencies should increase information sharing through inter-agency data integrations and cross-training on systems. This should reduce duplicative activities and delays waiting for information due to multiple handoffs within tasks.

- *Set and Enforce Clear Timelines.* HPD should define policies and timeframes to complete stakeholder activities and process steps. Currently, there is little accountability for marketing agents.

- *Improve Shelter Resident and Marketing Agent Engagement.* Use human-centered design principles and engagement to improve the experience of shelter residents and marketing agents.

- *Leverage Smart Automation to Match Shelter Residents and Units.* HPD should leverage existing data and automation to increase the speed and accuracy of the resident-to-unit match. Improved matching should reduce delays due to rejected referrals that extend unit vacancy.

Summary of Key Findings

1	**Commitment to helping DHS shelter residents move into set-aside units**
	The process requires significant collaboration across DHS, HRA, HPD, HDC, and external partners, including marketing agents and shelter providers. It was evident from discussions that there is a commitment to linking households in DHS shelter with affordable housing in the most equitable manner possible. This commitment remains strong despite the overwhelming demand for affordable housing and limited resources, technology, and automation.
2	**Multiple points of income verification**
	Shelter residents typically receive federal, state, and city funds to cover move-in costs. These programs have different rules for income validation. Additionally, the resident's income can change during the process. HRA conducts multiple checks to reconfirm Temporary Assistance for Needy Families (TANF), Safety Net Assistance (SNA), and CityFHEPS eligibility, in addition to the income eligibility reviews for LIHTC conducted by marketing agents. The repeated verification of income slows down the lease-up process, which is discouraging to shelter residents and owners. The delays caused by rechecking of income are compounded by the existing backlog and HRA's staffing and technology challenges.[1]
3	**Unnecessary process steps**
	There is an opportunity to reduce lease-up time by updating or eliminating steps (e.g., eligibility appointment, third-party review) that no longer serve the same purpose they once did as policies and/or procedures have changed.
4	**Manual process with multiple handoffs**
	Many process steps must progress manually through a chain of emails and stakeholders. These include, HPD Homeless Placement Services (HPS), DHS Housing Referral and Processing Unit (HRPU), DHS Office of Adult Services (OAS), DHS shelter providers, HRA Family Independence Administration (FIA), HRA Homelessness Prevention Administration (HPA), and HPD Marketing, Affordability, and Oversight (HPD Marketing). This affects sharing information, follow-up questions, scheduling, and status updates.
5	**Shelter resident and unit readiness activities are performed during lease-up**
	Certain owner record creation, unit inspection, and client vetting activities occur during lease-up. For example, applicants do not provide necessary documents until the later stages of the process. Addressing resident and unit readiness later in the process causes delays.

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[1] The City of New York, Mayor Eric L. Adams. (2023, January). *Preliminary Mayor's Management Report*. Retrieved from https://www.nyc.gov/assets/operations/downloads/pdf/pmmr2023/2023_pmmr.pdf

6	**Technology platforms are not universally leveraged across agencies**
	There is inconsistent integration, use of, and access to data across HPD, DHS, and HRA. Many DHS and HRA systems contain critical shelter resident and unit information, and access is not shared with HPD, or limited training has been provided on the system. This leads to unnecessary rework and follow-ups between DHS Housing Referral and Processing Unit (HRPU) and HPD Homeless Placement Services (HPS). Additionally, while a future HPD placement system is being planned, specific details on how HPD, DHS, and HRA platforms will be integrated has not yet been determined.
7	**Limited visibility for marketing agents and shelter residents**
	Throughout the homeless set-aside placement lifecycle, it is not clear to all stakeholders where a case is in the process. Marketing agents and shelter residents have limited opportunities to directly participate in the process, communicate with each other, and obtain updates. HPD spends a significant amount of time providing updates via phone and email.
8	**Lack of process governance and standard timelines**
	When agencies and external partners have a clear understanding of what is expected of them and when they are expected to deliver, they are more likely to trust the process and commit to meeting those expectations. In the current state, key process steps linger with little accountability for stakeholders due to a lack of clear targets. Clear targets and expectations can allow staff to better manage their workloads, balance priorities, and help ensure that no cases are left behind. Clear expectations also enable inventory optimization, allowing for improved forecasting and better allocation of resources.
9	**Limited access to updated shelter resident information**
	Collecting and maintaining accurate and updated information on shelter residents is vital, as it is used to match shelter residents to units and for voucher distribution. This includes information provided by the shelter resident (e.g., updated housing preferences) and information found in other systems (e.g., updates to CA cases). Due to limited self-service options, DHS shelter residents are dependent on shelter providers to liaise with DHS and HPD to provide critical updates. With rising caseloads and limited bandwidth, DHS shelter providers often struggle to capture and send updates in a timely manner. Additionally, the information is not systematically shared with HPD due to a lack of integration across systems. Inaccurate data leads to rework or repeated steps by DHS HRPU and HPD HPS throughout the process. The risk of data becoming stale in this process is high since shelter residents often wait months to be matched to a set-aside unit due to a greater number of referrals than available units.
10	**Limited data available to drive performance and accountability**
	Data used to track completion of process steps is manually recorded in some systems, while captured more systemically in others. As such, establishing accountability over the end-to-end process with clear and consistent metrics is a challenge. The first city-wide effort to support this endeavor was completed by the OMB Policy and Operations Research Task Force, which was initiated as a part of this evaluation. To promote accountability, the data collected should continue to be refined and monitored.

Where to Start to Accelerate Placements

Each of the steps in the lease-up process was evaluated to identify areas of improvement that would impact the overall timeframe to rehouse a shelter resident in a homeless set-aside unit. Over 30 business process improvements (BPIs) were documented that cover people, process, and technology. Details for each of these BPIs can be found in Part 2 - Proposed Future Business Process Improvements.

The evaluation identified 16 key BPIs that either can be implemented as quicks wins or are essential long-term improvements that the agencies should begin working on now. Each agency has an opportunity to significantly speed up homeless set-aside placements by implementing the below BPIs.

HPD / HDC	DHS	HRA
#2 Create a universal Release of Information consent form and complete with HHA submission	**#1** Consolidate resident-specific documentation asks at HHA submission	**#17** Improve validation of HHAs in the HPD referral pool
#3 Remove third-party reviews as dependency for lease-up	**#17** Improve validation of HHAs in the HPD referral pool	**#23** Increase staffing within CBT unit with "New Needs" request
#4 Update HPD policies to remove credit and criminal background checks during the pre-screening process	**#25** DHS should initiate CA case changes when a shelter resident accepts a unit	**#24** Confirm alignment on keeping SI cases open past 30 days
#5 Remove the LIHTC eligibility appointment from the LIHTC eligibility determination process	**#26** Consolidate all DHS CA case management activities under HRPU	**#28** HRA to waive 30-day CityFHEPS income requirement for Active Cash Assistance and SI cases with income
#13 Publish a definitive guide for LIHTC audit standards	**#27** DHS to approve CityFHEPS for cases that are in Active or Single Issuance status that do not have income	**#29** DSS to leverage NYC integrated eligibility system modernization to eliminate system workaround
#9 Document and enforce a LIHTC document submission timeline for shelter residents		

HPD/HDC Focus: Reduce Coordination Activities and Dependencies

- **Quick win – Implement the Universal Release of Information (ROI) (BPI #2)**: Review the existing ROI consent forms from marketing agents and confirm any notices required by law. Once confirmed, update the marketing agent handbook, and require that all residents submit the ROI with their HHA.

- Initiate activities to remove credit checks and obtain agency agreement to remove criminal background checks (BPI #4). Eliminating these can cut up to 28 days of processing time and has limited dependencies to implement.

- Enforce expectations for DHS shelter residents returning documents (BPI #9) and start activities to remove the LIHTC eligibility appointment downstream (BPI #5). Consolidating documentation requests with the HHA submission (BPI #1) and establishing expectations for additional LIHTC document return should reduce the need for the LIHTC eligibility appointment.

- Provide marketing agents and syndicators with a single source of information for LIHTC compliance standards to streamline move-ins by reducing unnecessary requests by marketing agents (BPI #13).

- Remove the dependency of third-party review prior to submission (BPI #5).

DHS Focus: Optimize HHA Pool and Streamline Existing Operations

- **Quick win – Do not submit HHAs to HPD Without All Documents (BPI #1):** At HHA submission, the DHS Housing Referral and Processing Unit (HRPU) should provide client-specific documentation collected for pre-screening,[2] CityFHEPS, or Cash Assistance. When HPD implements the universal ROI, HRPU should be included in the submission.

- HRPU to initiate establishing the CA cases at the time a client is matched with a unit (BPI #25). DHS to start resource planning to consolidate DHS HRPU and DHS Office of Adult Services (OAS) business units to support DHS shelter management of the CA case. This will standardize operations and reduce unnecessary handoffs. Additionally, HRPU should be provided resources to approve CityFHEPS applications for cases with no income (BPI #26) (BPI #27).

- DHS and HRA should provide updated information to HPD on a regular basis to identify shelter residents that may no longer be looking for housing (BPI #17).

HRA Focus: Build Flexibility and Capacity to Address Processing Delays

- **Quick win – Obtain alignment to keep SI cases open for 30+ days (BPI #24):** Single Issuance (SI) cases should remain open when a shelter resident is going to move-out and the lease-up process has taken longer than 30 days. This procedure is not applied consistently and should be validated across HRA and DHS and implemented.

- HRA's Centralized Budget Team (CBT) plays a critical role in CA eligibility for DHS clients. HRA should prioritize adequate resourcing of CBT staff and continually assess their caseloads (BPI #23).

- HRA to collaborate with HRA Office of Legal Affairs (OLA) to use validated income information on active Families with Children (FWC) CA cases for CityFHEPS eligibility. As FWC cases represent the majority population in DHS shelter, focusing on this population may have the most impact[3] (BPI #28).

- DHS and HRA are participating in a large transformation with the NYS Office of Temporary and Disability Assistance (OTDA) to replace the Welfare Management System (WMS). WMS is the state's existing public benefits eligibility system. The future system, the Integrated Eligibility Service (IES) solution, will support programs including Cash and Rental Assistance. DHS and HRA should leverage this chance to ensure existing barriers (e.g., delays in processing multiple case changes) are addressed. (BPI #29).

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[2] Documents include photo ID, social security card or WMS screenshot or individual tax ID number (ITIN), birth certificate for minors, and proof of legal guardianship of minors (if applicable). As needed, Eligibility for Disability Unit (Attachment I-2).

[3] DHS Daily Shelter Census Report "7/28/2023 - Families with Children Requesting Temporary Housing"

Current Timeframes by Process Step

The median homeless set-aside unit takes 19 weeks to lease-up, according to calculations by the NYC OMB Policy and Operations Research Task Force. The evaluation chose 10 weeks as its target for the future state process, since currently the fastest 25% of units manage to lease-up in 10 weeks or less.

Funding source is key to lease-up speed: **Low-Income Housing Tax Credit (LIHTC) units have a median lease-up of 27 weeks compared to non-LIHTC units with a 14-week median**. Units financed with LIHTC must comply with federal requirements that add steps not present for non-LIHTC units.

In recent years, HPD has managed an average of 1,000 available units in the homeless set-aside placement process at any given time. In 2023, the total has increased to 1,400.

Time in Each Step

Unit's Farthest Referral Status	Owner	Applicable Units	Target	Median Days	% within 7 Days of Target
Pending ROI	Shelter/Client (DHS)	All Units	3 Days	7 Days	65%
Referral Made Awaiting Pre-Screening	Marketing Agent	All Units	5 Days	28 Days	17%
Scheduled Eligibility Appointment	Marketing Agent	Tax Credit Only	3 Days	23 Days	37%
Awaiting Eligibility Screening	Marketing Agent	Tax Credit Only	5 Days	14 Days	49%
Pending Documents	Shelter/Client (DHS)	Tax Credit Only	10 Days	30 Days	21%
Accepted Pending Third-Party	Syndicator/HDC	Tax Credit Only	5 Days	23 Days	34%
Approved Pending Landlord Paperwork	Marketing Agent	All Units	5 Days	21 Days	30%
Approved Pending Subsidy Processing*	DHS/HRA	All Units	12 Days	44 Days	13%
Approved Pending Lease Signing	Marketing Agent	All Units	5 Days	3 Days	85%

Source: Policy and Operations Research Task Force, NYC OMB

* Excludes Section 8 units, which are not processed by DHS/HRA

Key Stakeholders and Programs

The set-aside placement process involves four agencies and three eligibility determination processes:

- Agencies: HPD, HRA, DHS, and HDC
- Eligibility determinations: LIHTC or other housing program, CityFHEPS, and Cash Assistance

HPD Homeless Placement Services (HPS) was established in 2015 as a compliance unit to ensure affordable housing owners met their obligations to use a certain percentage of their units for the homeless. HPS acts as a central hub for coordinating the placement process, which involves affordable housing marketing agents, the DHS Housing Referral and Processing Unit (HRPU), the HRA Family Independence Administration (FIA), DHS contracted shelter providers, and shelter residents.

DHS Housing Referral and Processing Unit (HRPU) serves as HPD HPS's point of contact for both DHS and HRA. HRPU coordinates across DHS and HRA for the process. HRPU works with HPD and HRA for eligibility assessments and plays a critical role in CityFHEPS eligibility determination.

HRA Family Independence Administration (FIA) is essential given its role in **Cash Assistance** (CA). CA is a foundational component of the process since, in practice, it is deeply entwined with CityFHEPS.

While CityFHEPS itself is a City-tax levy (CTL) funded voucher free from federal regulations, federal **Temporary Assistance for Needy Families** (TANF) and state **Safety Net Assistance** (SNA) fund initial payments necessary for a client to move. A combination of city, state, and federal dollars under state CA rules fund the ongoing "shelter allowance" used to pay for rent not covered by CityFHEPS, the tenant's share of the first month's rent, moving expenses, a furniture allowance, and a security deposit voucher.

To be eligible for these payments, a shelter resident must have an open CA case in "Active (AC)" or "Single Issuance (SI)" status.[4] This case status allows the payments to be issued using the the NYS **Office of Temporary Disability Assistance**'s (OTDA) Welfare Management System (WMS).

HRA FIA conducts **frequent income validation for Cash Assistance**. This validation occurs during the eligibility determination for "ongoing CA cases." At a baseline, by law, HRA must revalidate household and income information with the Interim Report at six months and during recertification after a year. After the CA case is established, the shelter resident must self-report any "reportable case change," such as income updates or household member additions, within ten business days[5]. After HRA receives the change, they review the information and determine whether the CA case requires updating.

Shelter residents with income or who work at least 10 hours per month must provide HRA their **updated employment income for the last thirty days** from the date the complete CityFHEPS package is submitted for eligibility determination. If there is updated income documentation or household composition, HRA will also review the CA case to determine whether a case change is needed. If there is a difference of $100 of reported income, the CA case will be updated (or "rebudgeted").

HRA chooses to revalidate income before a client moves out to ensure that clients have not failed to self-report income. This rechecking of income can introduce delays at the end of the set-aside placement process. There may be opportunities to revisit this practice if HRA is exceeding its compliance obligations.

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[4] Statuses in the Welfare Management System (WMS) include "AC", for active and ongoing Cash Assistance, or "SI", for a single issue grant for households that are not eligible for ongoing Cash Assistance but may receive emergency assistance.
[5] NYC Human Resources Administration, (n.d.). *Cash Assistance Application Frequently Asked Questions.* Retrieved from https://www.nyc.gov/site/hra/help/cash-assistance-application-frequently-asked-questions.page.

Evaluation Scope and Approach

Evaluation Scope

Scope of the Evaluation

The scope of this evaluation focused on households in DHS shelter going through the HPD homeless set-aside placement process and receiving a CityFHEPS housing voucher subsidy administered by HRA. The findings and process improvements for the evaluation focused on statuses identified by the Homeless Housing Placements Inter-Agency Task Force, which consists of representatives from HDC, HPD, HRA, DHS and the OMB Policy and Operations Research Task Force. These statuses are listed below and descriptions for the homeless set-aside placement lease-up statuses are in Appendix A: Homeless set-aside process statuses summary.

Homeless Set-aside Placement Process Statuses

Unit Types – Tax Credit vs. Non-Tax Credit

The evaluation considered process variations between units that were funded by tax credits, specifically LIHTC, and those that were not (e.g., 421a). **LIHTC funds about 50% of the units in HPD HPS' pipeline**. According to data provided by the OMB Policy and Operations Research Task Force, a LIHTC unit, on average, takes longer to lease-up in the homeless set-aside placement process.[6] The LIHTC process has additional steps due to the extensive federal requirements for eligibility determination. Steps specific to the LIHTC program are highlighted in the diagram above.

Evaluation Approach

The KPMG evaluation consisted of the following key activities:

- **Project Kickoff and Visioning:** Confirmed project objectives and principles with the Task Force

- **Current State Analysis:** Developed high level journey maps that documented the end-to-end process, including the stakeholders involved and work methods. Identified areas of redundancy and opportunities for greater efficiency by looking at stakeholders, systems, and policies.

- **BPIs and Reporting:** Based on the current state observations, developed recommendations to help reduce the timing of the process from an average of 19 to an estimated 10 weeks.

- **Strategic Planning Session:** Task Force members met for a half-day strategic planning session to confirm alignment on vision and goals for a future HPD HPS technology system.

Drafts of the report were circulated for review and feedback by Task Force members across HDC, HPD, DHS, HRA, and the OMB Policy and Operations Research Task Force, which has been incorporated into the report.

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[6] See Policy and Operations Research Task Force, NYC Office of Management and Budget. (2023, July 18). *Housing Placements Summary*.

OMB Policy and Operations Research Task Force Data Review

The OMB Policy and Operations Research Task Force conducted extensive analysis of data stored in the HPD HPS MS Access database to identify trends in the process and estimate current state lease-up timeframes by referral status. The available data starts in March 2023 and is based on weekly extracts completed manually by HPS personnel in their MS Access database. All current state data referenced in this report was based on this analysis.

Stakeholder Engagement and Supporting Documentation Review

Our approach to completing the evaluation leveraged workshops, demonstrations of technology tools and systems, and documentation review. KPMG conducted workshops with staff and process stakeholders across City government, including HPD, HRA, DHS, and HDC. Our team also engaged with external stakeholders who participate in the process, including DHS shelter providers, affordable housing marketing agents, and impacted advocates with lived experience. Additionally, KPMG reviewed policies, procedures, forms, sample communications and training material, and process flows. Please see Appendix C: Summary of workshops and meetings for a listing of workshops, meetings, and demonstrations of technical systems reviewed during the evaluation.

Evaluation Considerations

This evaluation should be reviewed with the following considerations:

- Data used to track completion of individual process steps is manually recorded in some systems, while captured more systemically in others. As such, accountability over the end-to-end process with clear and consistent metrics across agencies is difficult. An effort to analyze existing data and identify current state and target timelines for the homeless set-aside placement process was initiated by the OMB Policy and Operations Research Task Force as a part of this evaluation. To continue to promote accountability throughout the process, the data that is collected at the agency level should continue to be reviewed and refined.

- Homeless set-aside placement process activities are captured within the HPD MS Access database without a linear workflow and with limited automation. As a result, the reliability of the data in timing for specific HPD steps maybe unreliable.

- HPD does not capture data on reasons why a unit may have been rejected by a shelter resident.

- HRA data from CurRENT was not shared with the OMB Policy and Operations Research Task Force during this evaluation, limiting the ability to define exact timing on sub-steps completed by HRA or DHS within the "Approved Pending Subsidy" status. To help mitigate this gap, KPMG met with stakeholders and collected qualitative insights that was used in this evaluation.

Current State Journey Mapping Overview

Journey maps were used to visually depict the high-level actions of key process participants and how information is currently received, stored, and shared within HPD and with other City agencies (HDC, HRA, and DHS) and external stakeholders (DHS shelter providers, DHS shelter residents and HPD marketing agents). Journey maps for each homeless set-aside placement lease-up status are in the section, Current State and Key Findings.

Below is a representative journey with interpretation guidance:
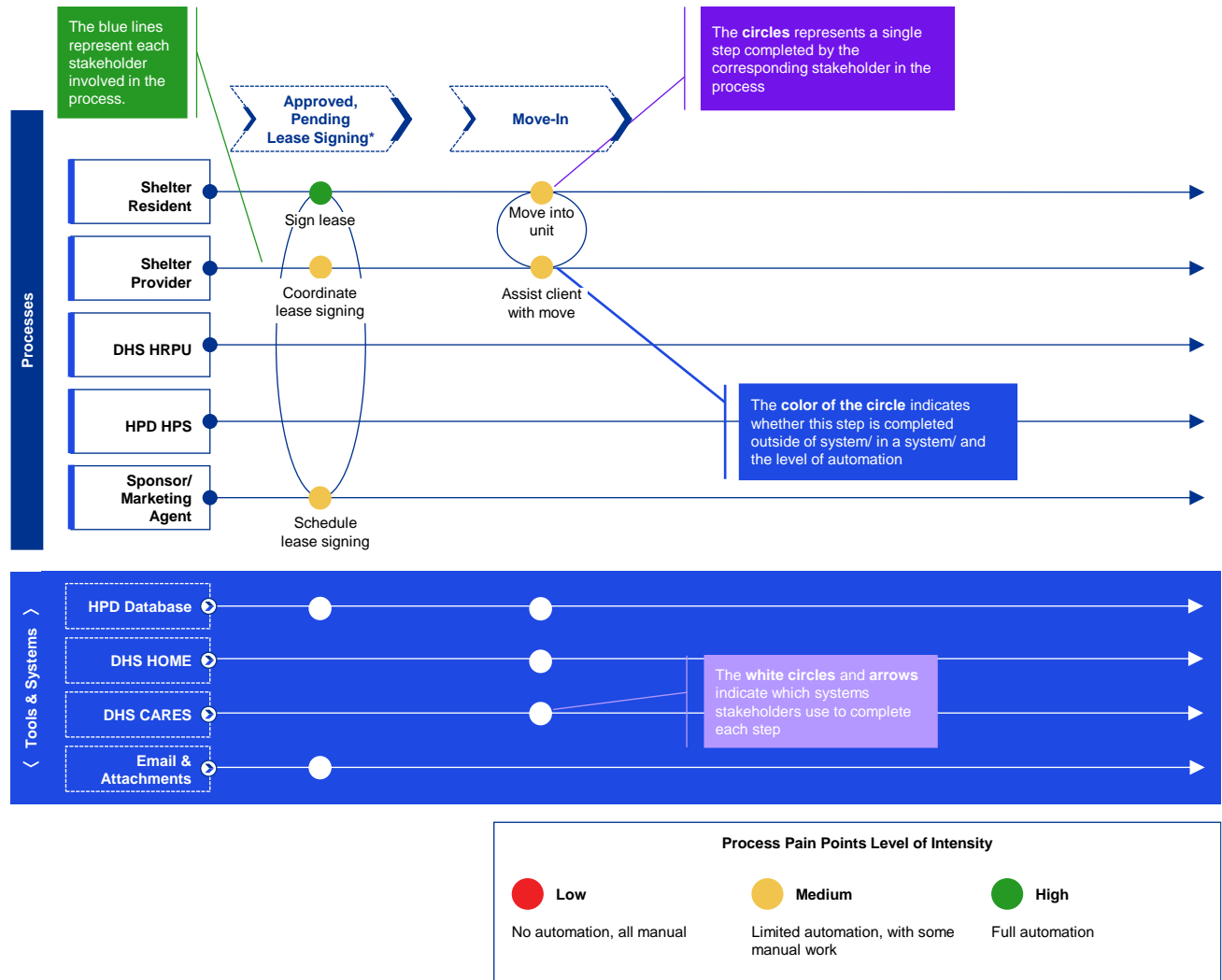
Future State Business Process Improvement Scorecards

Each BPI is grouped by objective and specifies the key goals, implementation timeline, and level of complexity to implement, implementation steps, and critical success factors. Many BPIs may also be interrelated and span multiple HPD lease-up steps, with the corresponding BPIs and referral statuses indicated as well. The following example BPI "scorecard" below describes the information provided for each recommendation in more detail.

BPI Goals & Description	This section outlines the context for each BPI and explains the business need that the recommendation is solving for. It also describes how the BPI aims to address identified pain points and reduce the homeless set-aside placement program lease-up timeframe.
Implementation Timeline	Each BPI has one of the following implementation times. These times are based on an estimated assessment of the resources and skills required to implement the recommendation. *Note: these estimates do not contemplate contracting, budget or resource constraints.* • Short-Term: 0 months to 3 months • Medium-Term: 3 months to 6 months • Long-Term: 6 months to 12 months
Complexity	The complexity of the opportunity is assessed in this section. The levels are: • **Low:** BPI that requires limited coordination with other agencies/teams and have a limited technology systems change. • **Medium:** BPI has a broader scope, dependency on organizational changes, technology, or policy needs. This can include projects requiring consensus from more than one organization. • **High:** BPI involves with multiple components/sub-projects impacting more than one organization, changes impacting processes, policy alignment with governing entities, changing of roles, and/or significant technology system needs.
Implementation Steps	Outlines the high-level steps that will need to be completed to implement the recommendation. Each step will have an assigned agency owner or multiple agency owners depending on its reach.
Critical Success Factors	Identifies the key dependencies and factors that should be in place for the proposed solution to be successful.
Corresponding BPIs	Identifies any interrelated BPIs.
Impacted Referral Status	Identifies referral statuses that will either be reduced or removed entirely with implementation of this BPI.

Current State and Key Findings

Current State and Key Findings

The follow section provides a brief description of the current state process along with an associated high-level journey map reflecting the key stakeholders involved, systems and tools used, and level of automation for each homeless set-aside placement process step.

- Current State Homeless Set-Aside Unit Pipeline and Lease-up Timeframes – The OMB Policy and Operations Research Task Force provided critical inputs to this evaluation related to the current state, especially around documenting timing on HPD set-aside process steps. This detail can be found in the Executive Summary. Additional information on referral statuses is available in Appendix A: Homeless set-aside process statuses summary.

- Current State Homeless Set-Aside Process Overview – Building on the current state timeframes from the OMB Policy and Operations Research Task Force, additional process steps were identified. This section overviews the current state process with these additional steps reflected. A detailed current state process flow is available in Appendix G: CityFHEPS homeless set-aside placement current state process flow.

- Current State Homeless Set-Aside Process Findings – This section provides detailed current state journey mapping and findings mapped by key HPD processing steps.

Current State Homeless Set-Aside Process Overview

Below is an overview of the current homeless set-aside placement process mapped by the current lease-up status, current state timing and additional key steps that were documented through the evaluation. LIHTC units have additional steps that require affordable housing marketing agents to request additional information from shelter residents.
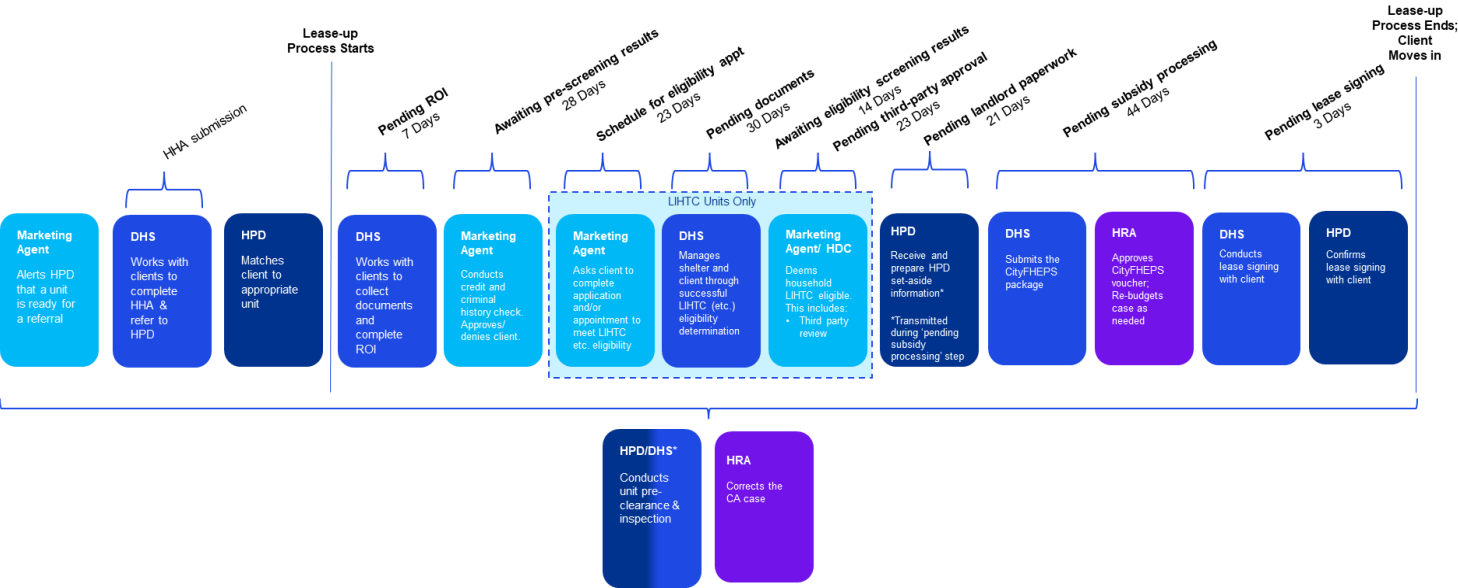
Current State Homeless Set-Aside Process Findings

Below details the key process steps, findings and journey maps associated with each phase of the process. These summaries captured the process, policies and platforms that are identified within each phase and key BPIs that are intended to address the findings. Further information on the future state is captured in the following section, Proposed Business Process Improvements.

1. Homeless Housing Application submission

DHS shelter residents complete an HHA to be considered for placement in housing financed by HPD and/or HDC (i.e., homeless set-aside units). The HHA was created by HPD to capture shelter resident demographic, financial, and housing preference information to inform CityFHEPS eligibility and matching to an available housing unit. The HHA is completed by the shelter provider in the DHS HOME system, which transfers the information via a file through the DataMart to the HPD HPS MS Access database so it can initiate a match between the shelter resident and an available homeless set-aside unit. While the DHS DataMart file includes HHA data, any HHA documentation that is stored in the HHA in HOME needs to be sent by DHS HRPU to HPD via email.[7] After the HHA is transmitted to HPD via DataMart, the HHA cannot be updated in HOME due to the current system configuration.

Steps before HHA submission are not recorded in the HPD HPS MS Access database. Therefore, these steps were not part of the analysis completed by the OMB Policy and Operations Research Task Force.

Journey Map and Overview
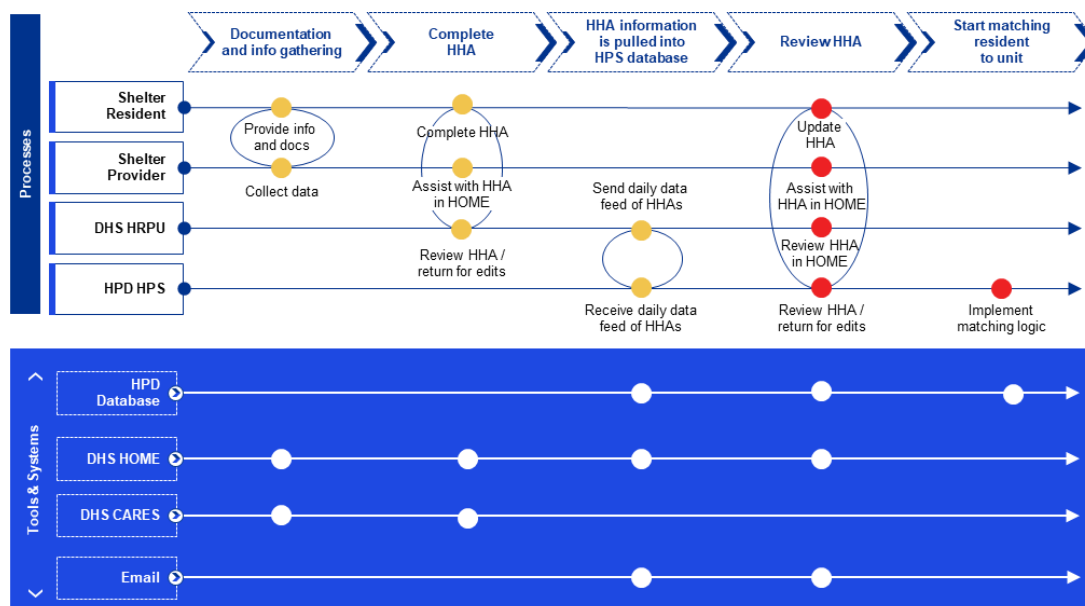
*Represents a process step that is also a referral status in the HPS Access database.

Process Pain Points Level of Intensity

● Low	● Medium	● High
No automation, all manual	Limited automation, with some manual work	Full automation

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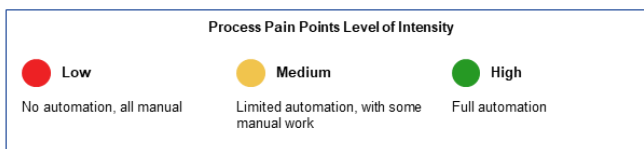
[7] Previously, DHS submitted a paper based HHA and supporting documentation on behalf of DHS shelter residents. This practice of attaching supporting documentation stopped when DHS began to use the HOME platform.

Overview	
Stakeholders	Shelter resident, shelter providers, DHS, and HPS
Current Median Time	HHA submission initiates the homeless set-aside placement process. During this evaluation, HPS provided the average number of days that elapse from the date of HHA is submitted to HPD to the time an HHA receives the first referral to an apartment ("Referral made, Awaiting Pre-Screening" status in this report). HHA's that are not yet referred to an apartment are referred to as resident within the "HHA pool" [8] • 273.1 days for a household of 1 • 131.6 days for a household of 2 • 141.6 days for a household of 3 • 138.6 days for a household of 4
Current Target Timing	N/A
Business Need	Business users expressed the need for HHA questions to align to what HPD needs to match the shelter resident to a unit. At the time of HHA submission, HPD should have all needed information and documentation and shelter residents should be "lease-up ready."
Key Findings	• **Not all HHA information is submitted through HOME.** This is due to street homeless individuals not being in DHS shelter and the sensitivity of sharing shelter resident data for undocumented individuals. For these shelter residents, HHAs are completed on paper and submitted over email. As a result, HPS must coordinate HHAs received both via HOME and email. • **There is typically a long waiting period from the date that an HHA is submitted to the date that the HHA is first matched to a unit.** HHAs are potentially in the "HHA pool" for several months. It is important for HPD to maintain a healthy backlog of HHAs to increase opportunity to make a successful match to available units. Per recent OMB Policy and Operations Research Task Force data, while the demand for housing among DHS shelter residents remains high, the number of units available has only recently increased to 1,400 in 2023. Based on data provided by HPS on 7/27/2023, the average number of days an HHA is pending before the first match is 273 days for a household of one, 132 days for a household of two, 142 days for a household of three, and 139 days for a

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[8] This data was provided by HPD HPS on 7/27/2023. Calculations were drawn from a sample of 10% of the HHAs available in the pool for each household size. The actual date of the first referral may vary depending on a shelter resident's HHA preferences or certain circumstances (e.g., ticklers, disability population, etc.).

	household of four.[9] This results in HHA information being out of date when HPD begins the matching and referral process.
	• **There is no automated mechanism for updating HHA information and alerting HPD to changes.** The only way to update an HHA after DHS submits to HPD, is for shelter providers to either submit a new HHA or send an email to HPD with needed updates. When this occurs, HPD must connect the two applications manually in the HPS MS Access database and track these referrals in the referral log.
	• **Data collected in the HHA is not comprehensive and does not always inform the best match for a successful placement outcome** (e.g., captures borough but not neighborhood preference, no ability to rank neighborhood or borough preference, no ability to indicate neighborhood or borough constraints). Mobility and hearing/visual accommodation needs that guide the success of the shelter resident to unit match but would require documentation, are not validated until later in the process.
	• **Vital documentation (photo IDs, birth certificates for minors, documentation for reasonable accommodation, and social security cards) is not collected uniformly with the HHA submission.** HPD does not require the shelter resident to provide documentation until after the resident has been matched to a unit and signs the ROI. When documents are collected by shelter providers, they are uploaded into HOME, which cannot currently transmit attachments to the HPS MS Access database. As a result, required documents are downloaded from HOME and emailed then between DHS shelter providers, DHS HRPU, and HPD HPS.
	• **Limited data exists to assess the effectiveness of a more detailed HHA in yielding a successful match.** HPD HPS and DHS HRPU raised concerns in workshops that shelter residents are often mismatched to units. This could be attributed to the lack of automation for HHA updates or limitations in the matching tool. Data regarding the reasons why a shelter resident may reject a unit is not uniformly captured and could not be evaluated.
Corresponding BPIs	• BPI 1: Consolidate resident-specific documentation asks at HHA submission
	• BPI 2: Create a universal ROI consent form and complete with HHA submission
	• BPI 4: Update HPD policies to remove credit and criminal background checks during the pre-screening process
	• BPI 6: Establish a cloud-based document storage solution to reduce handoffs

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[9] Calculations were drawn from a sample of 10% of the HHAs available in the pool for each household size. The actual date of first referral may vary depending on a shelter resident's HHA preference or certain circumstances (e.g., ticklers, disability population, etc.).

	• BPI 10: Implement a policy to limit number of units a shelter residents can reject
	• BPI 14: Conduct periodic internal desk reviews of homeless set-aside placement cases and lease-ups
	• BPI 16: Implement changes to information requested on the HHA to improve downstream matching
	• BPI 17: Improve validation of HHAs in the HPD referral pool
	• BPI 18: Establish an automated process for updating the HHA
	• BPI 19: Optimize shelter resident to unit matching
	• BPI 20: Conduct HPS pipeline reviews with DHS
	• BPI 21: Create live dashboard to support performance management
	• BPI 22: Implement enterprise wide HPD placement system
	• BPI 32: Develop shelter resident homeless set-aside placement process toolkit

2. Pending Release of Information

The first step of the lease-up process begins when a shelter resident is matched to an apartment and is asked for consent to share their information, known as the "Pending ROI" status. Prior to requesting the ROI, HPD HPS matches shelter residents to available units based on the HHA information provided using the HPS database. Once HPD HPS matches a shelter resident to a unit, HPS will communicate these referrals to DHS HRPU via email to initiate the request for the shelter resident's ROI and vital documents needed to initiate the referral (e.g., photo ID, birth certificate for minors, and social security card). In addition to initiating the referral, the "Pending ROI" step is the first moment when a shelter resident will learn that they have been matched to a unit and gives the resident the opportunity to review any available information about the unit and express initial acceptance of the referral. The ROI form is specific to each marketing agent and includes slightly different information, resulting in a different ROI being completed by the shelter resident for each match with a new marketing agent.

One unit may receive multiple (up to three) HHA matches to increase the likelihood that one of the matches will be successful. From the perspective of the shelter resident, they will receive one match at a time, which they can decide to accept and proceed with the referral or reject. However, a shelter resident may receive multiple matches before a successful referral is completed, leading to re-initiating the process for signing an ROI for a new match if the unit is associated with a different marketing agent. Once an ROI and the vital documents are returned to HRPU, they are emailed to HPS, and then to the marketing agent to initiate the pre-screening.

Journey Map and Overview

Process	Pending ROI*	Referral Made; Awaiting Pre-screening Results*	Resident Pre-Screening
Shelter Resident	Sign ROI & provide vital docs		
Shelter Provider	Coordinate with resident to sign ROI and collect docs	Provide ROI and docs to HRPU	Receive pre-screening results
DHS HRPU	Track match. Inform shelter provider of potential match and request ROI and vital docs	Provide ROI and docs to HPS	Receive pre-screening results
HPD HPS		Provide ROI and docs to marketing agent	Receive pre-screening results
Sponsor/ Marketing Agent		Receive ROI and docs	Conduct pre-screening (background/credit check). Notify of results.

Tools & Systems: HPD Database, Email & Attachments, External System

*Represents a process step that is also a referral status in the HPS Access database.

Process Pain Points Level of Intensity

Low	Medium	High
No automation, all manual	Limited automation, with some manual work	Full automation

Overview	
Stakeholders	Shelter resident, shelter providers, HPS, and marketing agents
Current State Actual Timing (Median)	7 Days
Current Target Timing	3 Days
Business Need	Business users want to eliminate the need to navigate the acceptance and receipt of multiple different ROIs from shelter residents.
Key Findings	• **ROIs vary among marketing agents.** ROIs are specific to each marketing agent and are not standardized in the disclosures and information requested. • **Scheduling time to meet with the shelter resident to review and sign the ROI adds to the timeline.** The ROI is provided to the shelter

	resident **after** the HHA is submitted and a match to a unit is made. Obtaining a shelter resident signature can take weeks in some cases.
	• **There is a long chain of communication to sign the ROI as shelter residents and marketing agents have limited direct contact**. The ROI travels from the marketing agent to HPD HPS, to DHS HRPU, to the shelter provider, to the shelter resident, then returned through the chain back to the marketing agent. These handoffs elongate this process.
	• **High staff turnover at shelters makes it difficult to maintain the best point of contact**. Due to high turnover of staff, the ROI is sent by DHS HRPU to a list of shelter providers and shelter supervisors rather than directly to the shelter provider working with the shelter resident, creating many emails that are difficult to track.
	• **The shelter resident is often completing multiple ROIs.** For each unit the shelter resident is matched with, they must repeat completion of the ROI if the unit is associated with a different marketing agent. The shelter resident then restarts the homeless set-aside placement process.
	• **Shelter resident documentation is not consistently collected or transmitted with the ROI.** Vital resident-specific documentation is expected by HPD HPS to be provided with the ROI (photo identification, social security card, birth certificate for minors), however since it is not required or consistently provided at the same time, it causes delays. Some documentation is stored in HOME, but HPS does not have access to HOME to download the documents. Other systems that may store shelter resident documentation, such as Worker Connect, are not consistent in the documentation available and the quality or readability of the images.
	• **Speed of returning the ROI is potentially related to DHS shelter resource availability.** Not every DHS shelter has the same ratio of case management and housing specialist staff to shelter residents. During workshops and meetings with DHS, there was a perception that shelter residents in DHS shelters with more staffing and housing resources returned the ROI more quickly. Data on homeless set-aside placement lease-up time by DHS shelter was not available during this evaluation.
Corresponding BPIs	• BPI 1: Consolidate resident-specific documentation asks at HHA submission
	• BPI 2: Create a universal ROI consent form and complete with HHA submission
	• BPI 4: Update HPD policies to remove credit and criminal background checks during the pre-screening process
	• BPI 12: Implement a process step and timeframe for obtaining resident acceptance/rejection of unit
	• BPI 21: Create live dashboard to support performance management
	• BPI 22: Implement enterprise wide HPD placement system

3. Referral made, awaiting pre-screening results

This status reflects the point in time that HPS provides the marketing agents with documentation needed to complete the pre-screening of the shelter resident, which at the time of this evaluation includes a criminal background check and credit check. This status concludes when the results are received by HPS from the marketing agent/sponsor through completion of a PDF form titled Homeless Placement Services: Screening Results Form ("screening results form"). The screening results form indicates whether the shelter resident has met the eligibility criteria or has been rejected and the rationale.[10] **Please note that HPD is actively pursuing an update to policy to eliminate the credit check.**

Journey Map and Overview
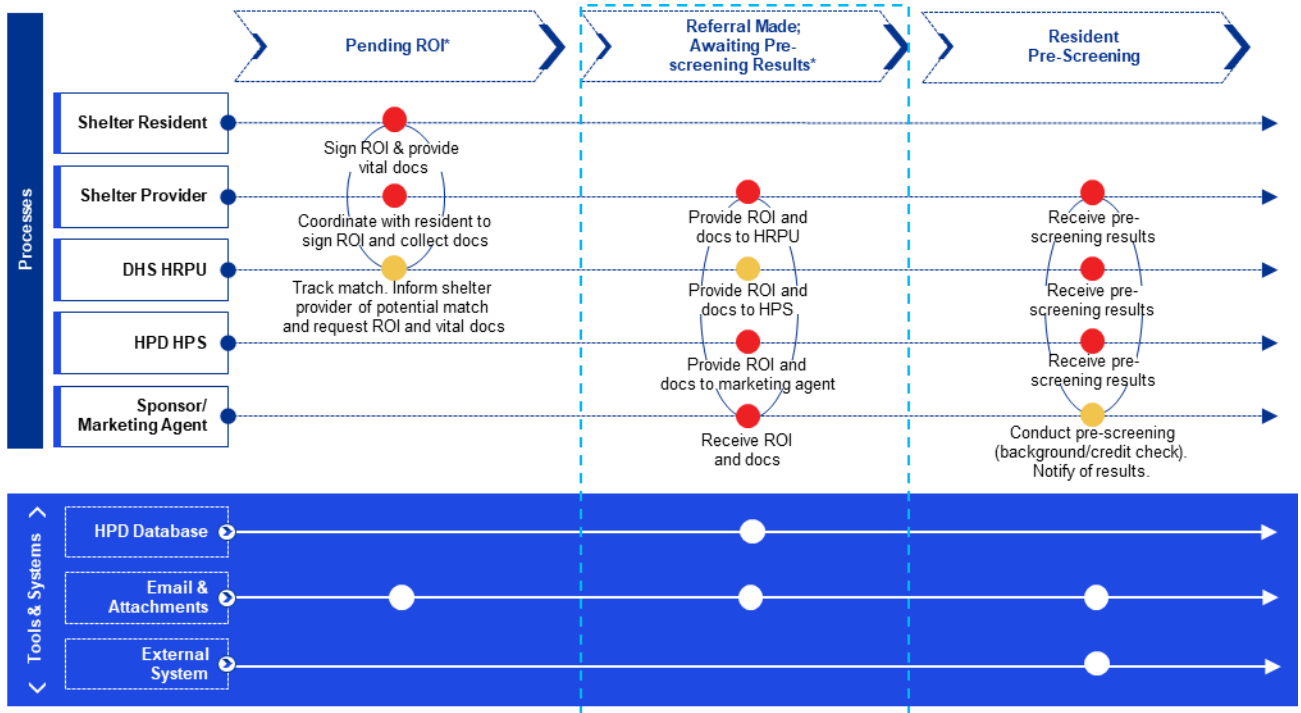
*Represents a process step that is also a referral status in the HPS Access database.

Process Pain Points Level of Intensity

🔴 Low	🟡 Medium	🟢 High
No automation, all manual	Limited automation, with some manual work	Full automation
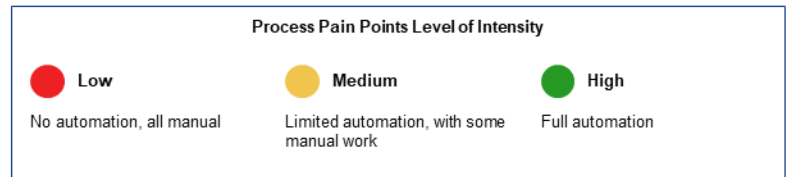
Overview

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[10] According to the HPD Marketing Handbook, the following criteria can be used to reject a shelter resident as part of the pre-screening process and associated credit and criminal background checks: (1) rejection based on a prior or pending bankruptcy, provided that the bankruptcy filing occurred within the last 12 months; (2) rejection based on open/unsatisfied money judgments, liens, or delinquencies in excess of $5,000; (3) rejection after the marketing agent completed Worksheet for Assessing Justice-Involved Applicants (HPD/HDC Marketing Handbook Attachment AA-2) in accordance with the guidance in Assessing Justice-Involved Applicants for New York City-Funded and/or – Assisted Housing (Attachment AA-1), for justice-involved history.

Stakeholders	Shelter residents, shelter providers, HPS, and sponsor/marketing agent
Current Median Time	28 Days
Current Target Timing	5 Days
Business Need	HPS expressed a need to streamline and speed up the return of pre-screening results by marketing agents so shelter resident unit matches may proceed in the process without delays. HPS and shelter residents would like to reevaluate the effectiveness of the pre-screening criteria in HPD's Marketing Handbook so that it aligns to the lived experience of shelter residents and is applied consistently by marketing agents. Unnecessary and unrealistic evaluation criteria include rejections for recent bankruptcy, rejections for delinquencies exceeding $5,000, and rejections for certain types of criminal convictions. At the date of this evaluation report, HPD is in the process of removing the credit check and is considering a recommendation to remove the criminal background check for the homeless set-aside process (see BPI 4: Eliminate the pre-screening process for credit and criminal background checks)

Key Findings	• **Long timeframes to complete pre-screening**. The target timeframe to complete the pre-screening is 5 days, but the actual median timeframe to complete it is 28 days, based on data provided by OMB Policy and Operations Research Task Force. At the conclusion of this step, marketing agents are expected to complete the screening results form. Some of the delay could be attributed to the marketing agent not returning the pre-screening results form to HPD HPS.
	• **HPD HPS pre-screening policy is difficult to enforce among marketing agents resulting in HPD HPS rework.** The HPD HPS policy for credit and criminal background checks for the homeless set-aside placement process provides marketing agents a high level of discretion, and therefore is difficult for HPD HPS to enforce. The policy, which is documented in the HPD Marketing Handbook does not prohibit marketing agents from completing criminal background or credit checks as part of pre-screening and only provides a very limited set of circumstances that the marketing agent *could* reject a household. Due to the wide discretion afforded by HPD HPS' pre-screening policy, not all marketing agents conduct credit and criminal background checks, and some are stricter than others. HPD will manually match households with criminal histories to more amenable marketing agents, but HPD only becomes aware of the household's criminal history after the first match is made and the pre-screening is conducted by a different marketing agent that rejects the match.
	• **Perception that marketing agents warehouse referrals**. There is a perception that the completion of the pre-screening step is delayed in part due to the "warehousing" of HHA referrals. The marketing agent may be keeping the referral in anticipation of upcoming vacancies or because the marketing agent does not want to complete the screening results form and indicate a rejection due to credit or criminal history and go through the administrative steps of validating the decision.
	• **Difficult to capture data to guide marketing agent performance**. Due to the delay in the completion of the screening results form, HPD may administratively close the application in their MS Access database with the catchall outcome of "no unit available" so they can proceed with another referral for that resident. This results in low quality data that makes it difficult to understand and quantify why shelter residents may be rejected by marketing agents. This also makes it harder for HPD to hold marketing agents accountable for long processing times or silent rejections for potentially discriminatory reasons.
	• **No automation**. This step in the process is completed manually with information and status updates shared back and forth over email. As a result, shelter providers, marketing agents, and DHS teams must manage additional workloads and administrative coordination.
	• **Issues in collecting shelter resident documentation, resulting in delays filling apartments**. There are several pieces of documentation that are requested from the shelter resident to complete the pre-screening, specifically, photo ID, social security card/verification, and birth certificates for minors. Shelter providers expressed challenges in collecting this information in a timely manner. This adds delays to filling vacant homeless set-aside units.

	• **Resident's credit scores impacted**. Since residents may have multiple referrals and several credit checks under their name over a period of time, this can result in their credit score being negatively impacted.
Corresponding BPIs	• BPI 4: Update HPD policies to remove credit and criminal background checks during the pre-screening process
	• BPI 6: Establish a cloud-based document storage solution to reduce handoffs
	• BPI 8: Streamline the pre-screening process by setting a timeframe for marketing agents to complete
	• BPI 21: Create live dashboard to support performance management
	• BPI 22: Implement enterprise wide HPD placement system

4. Scheduled for eligibility appointment – *LIHTC Units only*

This status reflects the point in time when the shelter resident, who has been matched to a LIHTC unit, has passed any pre-screening completed by the marketing agent and is scheduled for an eligibility appointment with the marketing agent to review their LIHTC eligibility and documentation. This status concludes when the shelter resident has received the HPS Eligibility Appointment Letter with information about their appointment and a LIHTC document checklist detailing what to bring to the eligibility appointment. About 50% of units within HPD's homeless set-aside pipeline are LIHTC units.

Journey Map and Overview

*Represents a process step that is also a referral status in the HPS Access database.

Process Pain Points Level of Intensity

- 🔴 **Low** — No automation, all manual
- 🟡 **Medium** — Limited automation, with some manual work
- 🟢 **High** — Full automation
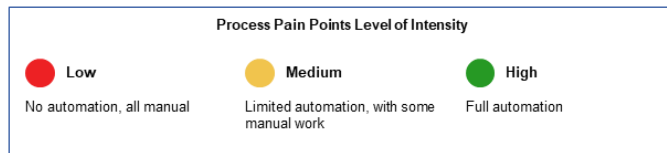
Overview	
Stakeholders	Shelter resident, shelter provider, HPD HPS, and sponsor/marketing agent
Current Median Time	23 Days
Current Target Timing	3 Days
Business Need	Shelter residents and marketing agents would like more direct and consistent channels of communication to schedule eligibility appointments and discuss related documentation requests. This would reduce the amount of back and

	forth over email currently required by DHS, shelter providers, and HPD to facilitate communication and appointment scheduling.
Key Findings	• **Complicated scheduling process involving a long chain of communication**. The eligibility appointment is between the marketing agent and the shelter resident (with the support of the shelter provider), but marketing agents do not communicate directly with shelter residents. The scheduling coordination must go back and forth through multiple levels of communication – HPD HPS, DHS HRPU, and shelter providers. Marketing agents may not get a confirmation email of the appointment being scheduled until the same day of the appointment.
	• **Email system for scheduling is less efficient and prone to challenges in tracking**. HPS coordinates the scheduling between the marketing agent and the shelter resident via HRPU and the shelter provider. Communication and coordination of appointment scheduling is completed over email.
	• **Staff turnover creates gaps in communication**. High turnover of staff at the shelters can contribute to the delays in communication when scheduling eligibility appointments. HRPU manually maintains a list of shelter provider contacts that requires constant updating.
	• **DHS' HOME system has scheduling capabilities that are not used to support this step.** HOME has scheduling capabilities to support integrated schedule management, but HPD and marketing agents do not have access to HOME to use this capability for scheduling appointments.
	• **Inconsistent timing of appointment notice**. Shelter residents are supposed to receive 5 days' notice for the eligibility appointment, but this timeframe is not consistently met.
Corresponding BPIs	• BPI 5: Remove the LIHTC eligibility appointment from the LIHTC eligibility determination process

5. Awaiting eligibility screening results – *LIHTC Units only*

This status reflects the point in time in which the eligibility appointment between the shelter resident and the marketing agent occurred, but HPS is still waiting for the marketing agent to complete a PDF form titled Homeless Placement Services: Screening Results Form ("screening results form"). This is the same form used for completing the pre-screening results. This screening results form will capture the outcome of the eligibility appointment, including whether the shelter resident accepted or rejected the unit at the time of the appointment, and whether the marketing agent approved the shelter resident for the unit or rejected them for any reason. This status concludes when the marketing agent sends the screening results form to HPD HPS. HPD HPS shares the results with HRPU, which then shares the results with the shelter provider, who then shares it with the resident.

Journey Map and Overview

*Represents a process step that is also a referral status in the HPS Access database.

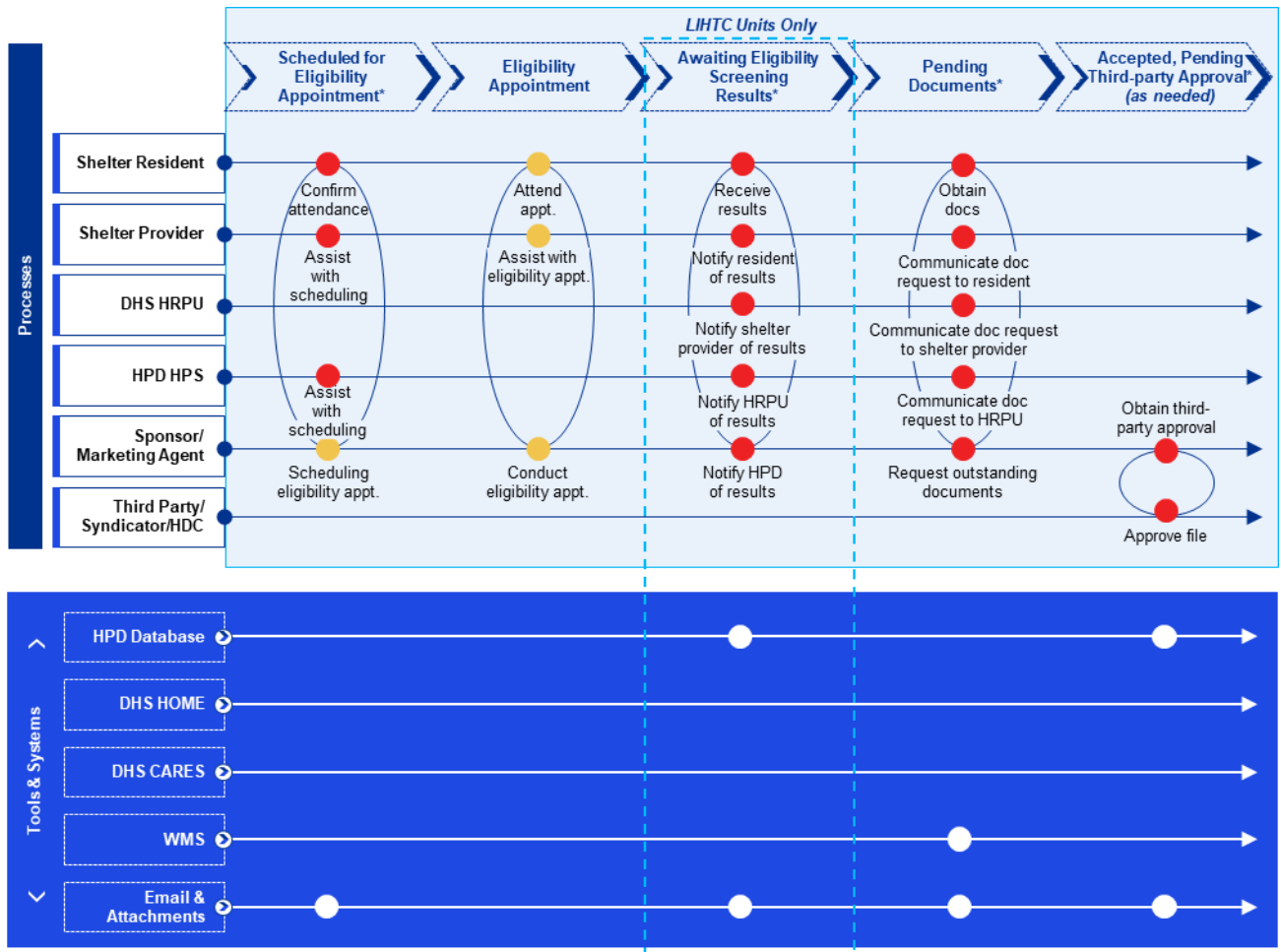**Process Pain Points Level of Intensity**

🔴 Low	🟡 Medium	🟢 High
No automation, all manual	Limited automation, with some manual work	Full automation

Overview	
Stakeholders	Shelter resident, shelter provider, DHS HRPU, HPD HPS, and sponsor/marketing agent
Current Median Time	14 Days
Current Target Timing	5 Days
Business Need	HPS would like to streamline the process for a marketing agent to return the screening results form. Marketing agents would like a more consistent process and timeframe by which the shelter resident must communicate their acceptance or rejection of a unit.
Key Findings	• **Scheduling the eligibility appointment between the marketing agent and the shelter resident is not timely or efficient.** Marketing agents must coordinate with HPS, DHS, and the shelter provider to find a date and time that works for the shelter resident. This chain of communication unnecessarily adds time to the process. • **There are challenges in attending and rescheduling the appointment**. Shelter residents do not consistently attend their appointments at the scheduled time, and they must be rescheduled. Note that the reasons why the appointments were not attended is not captured in HPS data. • **Shelter residents are not properly prepared for the appointment or informed about the process**. According to marketing agents, many shelter residents that attend the eligibility appointment are unclear and have questions about the homeless set-aside process, the timeline, and what to expect next. As such, shelter residents use the appointment time with the marketing agent to gain clarity on the process. • **Inconsistent documentation is brought to the appointment causing additional delays**. The expectation is that shelter residents bring their LIHTC documentation to the eligibility appointment and the marketing agent uses the meeting to review the documents. However, the appointment is not being held as designed. Some shelter residents do not bring any documents from the documentation checklist or what they bring is incomplete resulting in the appointment serving as a time when the marketing agent reminds the resident what documentation is required. • **There is unclear governance over what documentation is required to meet LIHTC eligibility requirements**. Some marketing agents require more detailed or additional documentation than others, (e.g., more recent proof of income, more months of bank statements). This creates confusion for shelter providers and shelter residents about what documentation is required.

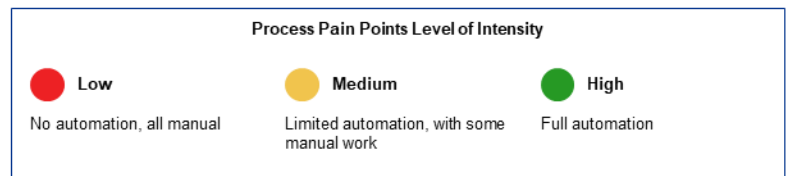|	
	• **Screening Results Form is not completed and returned**. Following the completion of the eligibility appointment, the marketing agent must complete the screening results form again (the screening results form is also completed after the pre-screening). HPS spends a significant amount of their time following up with marketing agents on status updates and requesting completion of the screening results form. • **Reasons for rejection are not being captured consistently or accurately**. Due to the delay in the completion of the screening results form, HPS may use the catchall outcome of "no unit available", so they can proceed with another referral for that resident. This makes it difficult to use data to understand why shelter residents may be rejected by the marketing agent as the data is not representative.
Corresponding BPIs	• BPI 5: Remove the LIHTC eligibility appointment from the LIHTC eligibility determination process • BPI 6: Establish a cloud-based document storage solution to reduce handoffs - BPI 13: Publish a definitive guide for LIHTC audit standards • BPI 14: Conduct periodic internal desk reviews of homeless set-aside placement cases and lease-ups - BPI 15: Implement performance standards to remove marketing agents from the HPD pre-qualified list • BPI 21: Create live dashboard to support performance management • BPI 22: Implement enterprise wide HPD placement system • BPI 31: Improve marketing agent engagement through quarterly or semi-annual meetings

6. Pending documents – *LIHTC Units only*

This status reflects the point in time after a shelter resident reports to the eligibility appointment either without all the required documentation or the marketing agent has requested additional documentation from the shelter resident following the appointment. This status concludes when the marketing agent notifies HPD HPS that they have received the pending documents from the shelter resident.

Journey Map and Overview

LIHTC Units Only

	Scheduled for Eligibility Appointment*	Eligibility Appointment	Awaiting Eligibility Screening Results*	Pending Documents*	Accepted, Pending Third-party Approval* (as needed)
Shelter Resident	Confirm attendance	Attend appt.	Receive results	Obtain docs	
Shelter Provider	Assist with scheduling	Assist with eligibility appt.	Notify resident of results	Communicate doc request to resident	
DHS HRPU			Notify shelter provider of results	Communicate doc request to shelter provider	
HPD HPS	Assist with scheduling		Notify HRPU of results	Communicate doc request to HRPU	Obtain third-party approval
Sponsor/ Marketing Agent	Scheduling eligibility appt.	Conduct eligibility appt.	Notify HPD of results	Request outstanding documents	
Third Party/ Syndicator/HDC					Approve file

Tools & Systems

- HPD Database
- DHS HOME
- DHS CARES
- WMS
- Email & Attachments

*Represents a process step that is also a referral status in the HPS Access database.

Process Pain Points Level of Intensity

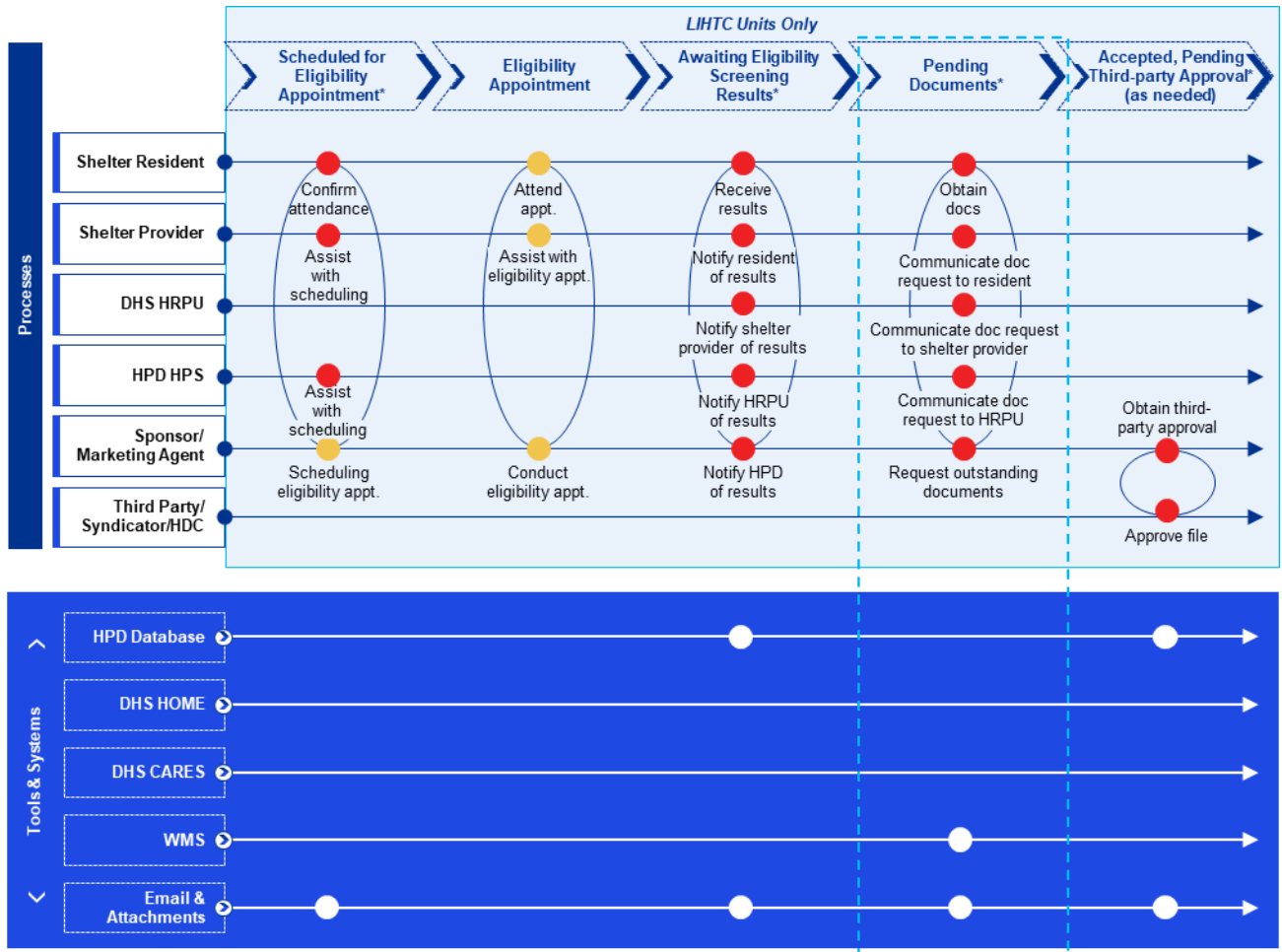| 🔴 Low	🟡 Medium	🟢 High
No automation, all manual	Limited automation, with some manual work	Full automation

Overview	
Stakeholders	Shelter resident, shelter provider, DHS HRPU, HPD HPS, and sponsor/marketing agent
Current Median Time	30 Days
Current Target Timing	10 Days

Business Need	HPD HPS, DHS HRPU, and marketing agents want to consolidate documentation requests of shelter residents earlier in the process, rather than waiting until this late stage to request documentation from shelter residents, which can be time consuming to compile and cause process delays. Additionally, if income-related documents are already requested as part of the shelter resident's Cash Assistance or CityFHEPS case then those documents should be shared with the marketing agent to reduce duplicative requests. See Appendix H: Documents and forms for the homeless set-aside placement process for more detail on current state of document collection.
Key Findings	• **Documentation becomes out-of-date due to the duration of the process**. Time-sensitive documents, particularly proof of income, requested from shelter residents earlier in the process become "stale" or out-of-date by the time they are needed by the marketing agent for LIHTC approval or by HRPU for the rental subsidy processing. The need for households to recollect these documents adds significant delays. • **Additional documentation requested of shelter residents for LIHTC units**. Documentation requests for shelter residents matched to LIHTC units are more extensive than all other unit types and can be difficult or time consuming to obtain (e.g., tax returns, W-2 forms). Shelter residents receive an exhaustive list of required documentation for LITHC units but are not always aware of which specific documents apply to their circumstances. Marketing agents are also not always consistent with their documentation requests making it difficult for the shelter resident, and the shelter provider helping them, to be proactive. • **Resubmission of documents**. Shelter residents are often required to resubmit documentation, such as photo IDs, social security cards, and proof of income, that had already been submitted earlier in the process or could be accessed through other City systems (e.g., HOME, CARES, Worker Connect, OneViewer, MyFile) • **Sporadic, not consolidated, documentation requests**. Documentation requests of shelter residents seem to be sporadic throughout the process rather than consolidated into one request. Shelter residents are not informed upfront of the various instances in the process when they will be asked to submit documentation. • **Referrals are significantly delayed while waiting for pending documents without an enforced timeline for submission**. Although it is known that the shelter resident is being referred to a LIHTC unit from the moment that they are matched, the resident generally is not made aware of the required LIHTC documents until they receive notice of their eligibility appointment with the marketing agent. Therefore, the shelter resident is not compiling the required documents until soon before or after the appointment takes place. Furthermore, a timeframe to submit the requested documentation is not enforced. These factors contribute to the long timeframe to complete the "awaiting eligibility screening results" and "pending documents" steps.

	• **Inconsistent application of LIHTC compliance requirements**. HDC and HPD requirements for LIHTC units have been relaxed to encourage more and faster move-ins. Marketing agents still ask for documentation of shelter residents beyond what is on the HPD LIHTC documentation checklist due to fear of "finding of non-compliance" that could result in syndicators and owners losing their tax credits. There is a perception that the HPD and HDC standard for passing an audit for LIHTC is stricter than HPD's LIHTC documentation checklist.
Corresponding BPIs	• BPI 1: Consolidate resident-specific documentation asks at HHA submission
	• BPI 5: Remove the LIHTC eligibility appointment from the LIHTC eligibility determination process
	• BPI 6: Establish a cloud-based document storage solution to reduce handoffs
	• BPI 9: Document and enforce a LIHTC document submission timeline for shelter residents
	• BPI 13: Publish a definitive guide for LIHTC audit standards
	• BPI 14: Conduct periodic internal desk reviews of homeless set-aside placement cases and lease-ups
	• BPI 21: Create live dashboard to support performance management
	• BPI 22: Implement enterprise-wide case HPD placement system
	• BPI 32: Develop shelter resident homeless set-aside placement process toolkit

7. Accepted, pending third-party approval – *LIHTC Units only*

This status reflects the point in time when the shelter resident has passed the eligibility screening for the LIHTC unit, but the marketing agent needs to submit the applicant's income and file for third-party approval that it meets the LIHTC requirements. The third-party can be HDC, the syndicator, or a third-party consulting firm hired by the property owner. In some cases, more than one of these third parties are reviewing the same application. This status concludes when HPS receives notice of the third-party approval being complete.

Journey Map and Overview

LIHTC Units Only

	Scheduled for Eligibility Appointment*	Eligibility Appointment	Awaiting Eligibility Screening Results*	Pending Documents*	Accepted, Pending Third-party Approval* (as needed)

Processes

Shelter Resident	Confirm attendance	Attend appt.	Receive results	Obtain docs	
Shelter Provider	Assist with scheduling	Assist with eligibility appt.	Notify resident of results	Communicate doc request to resident	
DHS HRPU			Notify shelter provider of results	Communicate doc request to shelter provider	
HPD HPS	Assist with scheduling		Notify HRPU of results	Communicate doc request to HRPU	Obtain third-party approval
Sponsor/ Marketing Agent	Scheduling eligibility appt.	Conduct eligibility appt.	Notify HPD of results	Request outstanding documents	
Third Party/ Syndicator/HDC					Approve file

Tools & Systems

- HPD Database
- DHS HOME
- DHS CARES
- WMS
- Email & Attachments

*Represents a process step that is also a referral status in the HPS Access database.

Process Pain Points Level of Intensity

🔴 Low	🟡 Medium	🟢 High
No automation, all manual	Limited automation, with some manual work	Full automation

Overview	
Stakeholders	Sponsor/marketing agent, third-party consulting firms, syndicator, and HDC
Current Median Time	23 Days
Current Target Timing	5 Days

Business Need	There is an objective across impacted stakeholders to streamline the lease-up process and decrease dependency on activities that can be done concurrently. Marketing agents, HPD, and HDC desire to eliminate excessive process steps – such as the third-party review that is currently completed by multiple actors – while maintaining the safeguards, risk controls, and assurance needed for LIHTC compliance.
Key Findings	• **Additional levels of compliance monitoring by HDC**. HDC is performing full income reviews for 25% of units financed by HDC. The units are randomly selected and may include homeless set-aside units. The purpose of these third-party reviews is to ensure that the minimum set-aside requirement has been met. HDC also performs modified reviews of homeless referrals to check the Tenant Income Certification (TIC) is properly completed. • **Current delays in the third-party review**. OMB Policy and Operations Research Task Force data analysis indicates this step is taking 23 days (median). Third-party reviews conducted by HDC can take 2-3 days but may take longer if gaps are identified in a file's documentation. HPD has limited insight into third-party reviews conducted by consultants and why these reviews may be contributing to the delay. Syndicator reviews are conducted after lease-up and do not contribute to the delay. • **Upcoming changes to the HDC third-party review will be implemented within the coming months.** A new back-end review process will eliminate HDC's full and modified income review in the homeless set-aside placement process as outlined in the City of New York's *Housing Our Neighbors: A Blueprint for Housing and Homelessness.*[11] This change in procedure and policy will alleviate the delays seen from the third-party reviews and remove this as a step required by HDC. • **Marketing agents find value in third-party file reviews performed by consultants**. Marketing agents expressed during this evaluation that they find value in a third-party review completed by third-party consultant. Reviews by external consultants provide accountability and assurance in cases where tax credits are at stake. There is a possibility that even as third-party reviews are no longer required by HDC as a dependency to lease-up for the homeless set-aside placement process, that marketing agents will continue to use consultants to perform third-party reviews of LIHTC files. • **Inconsistent application of LIHTC compliance requirements**. HDC and HPD requirements for LIHTC units have been relaxed to encourage more and faster move-ins. Marketing agents still ask for documentation of shelter residents beyond what is required due to fear of "finding of non-compliance" that could result in syndicators losing their tax credits. There is a perception that the HPD and HDC standard for passing an audit for LIHTC is stricter than HPD's LIHTC documentation checklist.

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[11] The City of New York. (2022). *Housing Our Neighbors: A Blueprint for Housing and Homelessness, Chapter 5*. Retrieved from https://www.nyc.gov/assets/home/downloads/pdf/office-of-the-mayor/2022/Housing-Blueprint.pdf

Corresponding BPIs	• BPI 3: Remove third-party reviews as dependency for lease-up
	• BPI 13: Publish a definitive guide for LIHTC audit standards
	• BPI 31: Improve marketing agent engagement through quarterly or semi-annual meetings

8. Approved, pending landlord paperwork

This status reflects the point in time when the marketing agent approves the shelter resident for the unit and gathers the owner's paperwork for the CityFHEPS package. The marketing agent and HPS will collect the needed paperwork including documentation confirming the owner and payee information, the unit's address, rent, and utilities information, the proof of ownership, the request for a security voucher, and more. This status concludes when the marketing agent submits the landlord CityFHEPS paperwork to HPS.

Journey Map and Overview

*Represents a process step that is also a referral status in the HPS Access database.

Process Pain Points Level of Intensity

| 🔴 Low | 🟡 Medium | 🟢 High |
| No automation, all manual | Limited automation, with some manual work | Full automation |

Overview	
Stakeholders	DHS HRPU, HPD HPS, and sponsor/marketing agent
Current Median Time	21 Days
Current Target Timing	5 Days
Business Need	Business stakeholders seek to streamline the completion of landlord documentation and paperwork so that as much as possible is completed earlier in the process once the unit becomes known to HPD and before it is matched to a shelter resident. Additionally, stakeholders identified the need to reuse paperwork for landlords that was previously collected wherever possible.
Key Findings	• **Duplicative data being collected**. Landlord and owner information is being collected by various agencies (HPD, DHS, and HRA) through other processes and not reused for this function. Specifically, preclearance and inspection processes require ownership information to be collected and stored by DHS through Inspections Web. If a landlord has been leveraged by HRA in the past for the same or another unit, their ownership information is stored in CurRENT. Furthermore, other City systems, such as Housing Connect, HPD Online, and HPDWorks, contain known landlord information. • **Challenges in collecting documentation**. Submitting proof of ownership can be a challenge. Particularly, when ownership includes various individuals or companies, or a property includes multiple Department of Buildings (DOB) Borough-Block-Lot numbers. • **No easy, direct line of communication between marketing agents and HRA and DHS**. Marketing agents and owners can contact HRA and DHS for questions about the forms they are completing and other concerns, however the channel is difficult to navigate. They generally submit all inquiries through HPD HPS, which ties up HPS time and resources to resolve.
Corresponding BPIs	• BPI 6: Establish a cloud-based document storage solution to reduce handoffs • BPI 7: Create a golden record for property owners and units ahead of submission processes • BPI 22: Implement enterprise wide HPD placement system

9. Approved, pending subsidy processing

This status begins at the point when the landlord subsidy paperwork has been submitted to HPS to be reviewed and HPS, in turn, submits the landlord paperwork to HRPU. What follows is a series of sub-steps taken by DHS and HRA, including updating the landlord record, finalizing the shelter resident's paperwork, troubleshooting the CA case, rebudgeting the CA case, completing the subsidy package in CurRENT, reviewing and approving the subsidy package, and processing initial and ongoing payments.

DHS HRPU or DHS OAS will complete the work to prepare the subsidy package for submission to HRA HPA. If the case involves a family with children, HRPU will work with the HRA FIA, specifically CBT, for rebudgeting. If the case involves a single adult or an adult family, DHS OAS will work with CBT for rebudgeting and other CA updates. For all cases, once the CA case is either in SI or AC status, HRPU will submit the CityFHEPS package via CurRENT to HRA HPA for review and approval of the subsidy. Where there is an issue identified with the landlord record entered, HRPU will work with the HRA Landlord Management Unit (LMU) for support on addressing.

This step concludes when subsidy paperwork is approved by HRA HPA. DHS is notified of the package approval and coordinates with HPD for the next step, which includes the lease signing and move in.

Journey Map and Overview
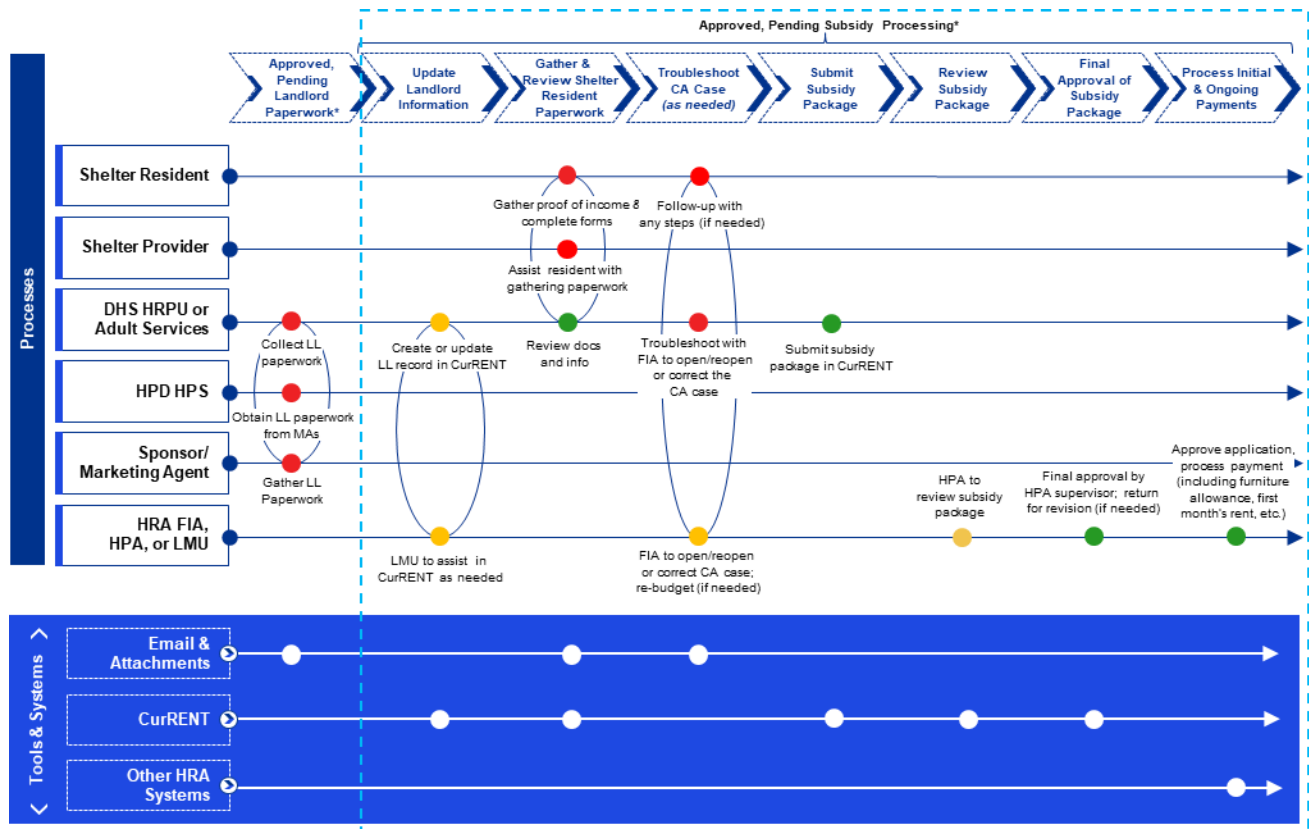
*Represents a process step that is also a referral status in the HPS Access database.

Overview	
Stakeholders	HRA FIA, HRA HPA, HRA Landlord Management Unit (LMU), DHS HRPU, DHS OAS, shelter resident, and shelter provider
Current Median Time	44 Days
Current Target Timing	12 Days
Business Need	Business stakeholders seek to reduce the delay that subsidy processing presents in the homeless set-aside placement process and identify earlier in the process when a household is not CityFHEPS eligible. Income needs to be validated and Cash Assistance case status need to be set-up to receive ongoing rental payments. HPS and marketing agents need access to accurate and current information on the CityFHEPS processing status to manage expectations and be responsive to inquiries.

Key Findings	• **Shelter resident income is verified multiple times.** A shelter resident's income is being verified potentially three times due to different eligibility requirements across the various programs (CA, CityFHEPS, and LIHTC) to support a shelter resident move into a homeless set-aside unit. HRA policy requires that those applying for CityFHEPS (a City-tax levy funded program) must also have an open a CA case in order to process payments. While CityFHEPS can cover the resident's ongoing rental costs, the CA benefits address other housing needs, including the furniture allowance, the tenant's share of the first month's rent, and the ongoing shelter allowance.[12]
	
	   o For Cash Assistance, a household's income is validated to become eligible for ongoing Cash Assistance. Active CA cases remain open and distribute ongoing payments. Recipients are required to recertify every 6 months and report any significant changes to their income within 10 days of the change.
	
	   o For households that are not eligible for ongoing CA, a SI case is opened. HRA is required to make a determination on the SI case within 30 or 45 days of application[13]. Delays in rebudgeting and other steps lead to not making a determination on the SI case within the required timeframe, requiring the shelter resident to reapply. Additionally, SI cases are sometimes closed without notice.
	
	   o The only exception in the HPD set-aside process to keeping an SI case open beyond 30 days is if DHS communicated to HRA that the

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[12] The shelter allowance is a household's public assistance grant and is determined by the local district based on the established allowance maximum, the actual rent cost, and the household's specific circumstances.

[13] New York State Office of Temporary and Disability Assistance. (2016). *Temporary Assistance Source Book: Employment and income support programs.* Retrieved from https://otda.ny.gov/programs/temporary-assistance/TASB.pdf

client is going to move-out. Currently, the point at which this potential moveout is communicated to HRA, is at the point when HRPU receives landlord documentation from HPS, at the Approved Pending Subsidy Process stage. From a timing perspective, this is late the process and creates an inevitable delay.

- o This resubmission of proof of income to HRA at the time of the CityFHEPS application can lead to the need to potentially re-calculate the household benefits (CA, SNAP). This re-calculation, or "rebudgeting," can take significantly longer than the expected 48 to 72 hours due to a backlog of cases and resource constraints. According to DHS, the current processing time for rebudgeting is two to three weeks.

- o Time-sensitive documents, particularly proof of income, requested from shelter residents earlier in the process become "stale" or out-of-date by the time they are needed by HRPU for the rental subsidy processing. The need for households to recollect these documents adds delays.

- o For CityFHEPS eligibility, a shelter resident must have an open CA case and submit recent proof of income. In contrast to LIHTC, which allows shelter resident documentation and proof of income to be dated within 120 days of move-in, the CityFHEPS rule requires that proof of income be dated within the past 30 days of the CityFHEPS application.

- o After move-out, if a shelter resident has issues with paying their share of the rent, they can appeal to HRA for further assistance or to update their CityFHEPS subsidy amount and their ongoing CA with any changes in their income.

- **High volumes of DHS CA cases are being sent to CBT within FIA, which currently has only three dedicated staff.** For any case changes for shelter residents, CBT is responsible for completing the rebudgeting. HRA CBT and FIA are experiencing higher than ever workloads and lack the resources to execute the work in a timely manner[14].

- **Additional hand-offs in DHS for CA case resolution depending on shelter case type.** HRPU supports resolving shelter cases for DHS FWC cases, while a separate business unit consisting of 1.5 full-time employees resolves Single Adult and Adult Family cases. Both units need to work with CBT to potentially rebudget the Cash Assistance case. This leads to additional coordination needed within DHS to triage applications that require CA case management.

- **Vetted units and eligible shelter residents are delayed moving in by the CityFHEPS process**. Once a shelter resident is matched to a unit, the processing of the CityFHEPS subsidy is, on average, the longest step in the lease-up process. HPD underwriting terms for lease-up do not mirror the reality of the time it takes to lease-up the unit even after the

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[14] The City of New York, Mayor Eric L. Adams. (2023, January). *Preliminary Mayor's Management Report*. Retrieved from https://www.nyc.gov/assets/operations/downloads/pdf/pmmr2023/2023_pmmr.pdf

shelter resident is determined to be eligible for the unit (i.e., passes pre-screening and eligibility screening). Units may sit vacant for an additional 12 weeks, until the shelter resident receives the CityFHEPS voucher approval.

- **The CA case closes because of limited proactive management of the case, leading to rework and driving delays**. Even though the CA case must be open and active for a household to receive CityFHEPS support for their rental assistance, there is limited action taken to proactively manage the shelter resident's CA case and prevent it from closing. As a result, only when HRPU begins to compile the CityFHEPS package do they learn that the CA case has closed. Re-opening the case requires several steps to be taken by the shelter resident and HRA to resolve.

- **Coordination and collection of information is time-consuming**. Preparing the subsidy packages includes various forms from the landlord and the shelter resident. Coordination and communications with the shelter resident and the landlord involve various stakeholders, including HPS, marketing agents, and shelter providers.

- **Stakeholders looking for information on CityFHEPS Voucher updates are unclear on how to navigate**. Currently, information related to a CityFHEPS application is within CurRENT. If a landlord/marketing agent wants to know the status of the subsidy application at this phase, HPS can log into CurRENT, look up the case, and validate. Navigating this has not been demonstrated universally, often leading to HPS triaging landlord questions to HRA LMU. For shelter residents seeking information about the subsidy application, they must speak with the shelter provider, who has visibility into the status of the application in CurRENT.

- **Issues with the landlord golden record in CurRENT can delay application processing**. During the CityFHEPS submission, HRPU will need to either create a new landlord record by submitting the application or leverage and existing landlord record. In creating a new landlord golden record during the application, there can be additional time spent coordinating with HPS for needed landlord documentation. For existing records, there can be issues with the existing landlord record that may need to be updated. For example, the landlord record that is currently entered in CurRENT has incorrect payment information. In these cases, HRPU must coordinate with HRA LMU external to the system to request the landlord record be updated before the CityFHEPS submission can proceed in CurRENT. This has been reported to take anywhere from 48 hours to a week depending on the type of landlord record change that is needed.

Corresponding BPIs	• BPI 1: Consolidate resident-specific documentation asks at HHA submission
	• BPI 14: Conduct periodic internal desk reviews of homeless set-aside placement cases and lease-ups
	• BPI 21: Create live dashboard to support performance management
	• BPI 22: Implement enterprise wide HPD placement system
	• BPI 23: Increase staffing within CBT unit with "New Needs" request
	• BPI 24: Confirm alignment on keeping Single Issuance (SI) cases open past 30 days
	• BPI 25: DHS should initiate any needed CA case changes when a shelter resident accepts a unit
	• BPI 26: Consolidate resident-specific CA processes across populations
	• BPI 27: DHS to approve CityFHEPS for cases that are in Active or Single Issuance status that do not have income
	• BPI 28: HRA to waive 30-day CityFHEPS income requirement for Active Cash Assistance and Single Issuance cases with income
	• BPI 29: DSS to leverage NYS integrated eligibility system modernization to eliminate system workarounds
	• BPI 30: Pursue approval for phone interviews for active CA cases
	• BPI 32: Develop shelter resident homeless set-aside placement process toolkit

10. Approved, pending lease signing

During this stage, the HRA check has been prepared and lease signing has been or needs to be scheduled. This stage concludes when the shelter resident signs the lease, and the marketing agent forwards the lease to HPS.

Journey Map and Overview

*Represents a process step that is also a referral status in the HPS Access database.

Process Pain Points Level of Intensity

● Low	● Medium	● High
No automation, all manual	Limited automation, with some manual work	Full automation

Overview	
Stakeholders	Shelter resident, shelter provider, DHS HRPU, and sponsor/marketing agent
Current Median Time	3 Days
Current Target Timing	5 Days
Business Need	HPS needs the ability to efficiently communicate to marketing agents and shelter residents when the subsidy has been approved and payments are ready. HPS needs the ability to accurately track how many shelter residents successfully exit shelter through the homeless set-aside placement process.
Key Findings	• **Different methods for signing the lease**. Leases can be signed in one of the following ways: the shelter resident schedules an appointment to

	come in-person to the marketing agent's office, or the marketing agent requests the shelter resident's email address and utilizes DocuSign.
	• **Status changes are not captured automatically and are delayed**. The "Approved, pending lease signing" status is not changed to "Moved in" until HPS staff confirms the shelter resident's shelter exit in CARES by manually accessing Worker Connect twice a week.
Corresponding BPIs	• BPI 14: Conduct periodic internal desk reviews of homeless set-aside placement cases and lease-ups
	• BPI 21: Create live dashboard to support performance management
	• BPI 22: Implement enterprise wide HPD placement system

Proposed Business Process Improvements

Proposed Business Process Improvements

The evaluation identified several process improvement recommendations to increase the speed of the homeless set-aside placement process based upon a 90-day review of qualitative and quantitative data. BPIs were identified by the project team and confirmed with business owners. With the implementation of the proposed BPIs, **the lease-up timeframe for the homeless set-aside placement process could be reduced to approximately 8 weeks across LIHTC and non-LIHTC units.**

- Business Process Improvement Time Savings Overview – Provides a high-level overview of the BPIs, their estimated time savings and key considerations for those time savings.

- BPI Complexity and Estimated Implementation Overview – Given the variation of BPIs in scope and complexity, this section provides and overview of potential implementation timing of these BPIs.

- Recommended Homeless Set-Aside Placements Future State End-to-End Workflow – This section puts all the BPIs across the homeless set-aside placement process and shows how the future state will look upon adoption.

- Business Process Improvement Scorecards – Each BPI has been detailed according to the BPI score card format, explained in this section.

- **BPI Objectives** – Each BPI is mapped to one overall objective, noted below. Within these sections each BPI is detailed with an associated scorecard.

    - Remove Unnecessary Steps and Handoffs

    - Set and Enforce Clear Timelines

    - Leverage Smart Automation to Match Shelter Residents and Units

    - Increase Information Sharing Across Agencies

    - Reduce CityFHEPS Delays through Policy Alignment and Increased Resources

    - Improve Shelter Resident and Marketing Agent Engagement

Business Process Improvement Time Savings Overview

The tables below reflect how the BPIs proposed as part of this evaluation would impact lease-up status and time to complete. The first table is organized by lease-up status and identifies the BPIs with direct impact. The second table identifies "enabling" BPIs that support some key objectives of a reengineering effort.

With the implementation of the proposed BPIs, **the lease-up timeframe for the homeless set-aside placement process could be reduced to approximately 8 weeks across LIHTC and non-LIHTC units.**

Please note for the table below:

- **Lease-up Status –** Defined by the Inter-Agency Task Force to mark milestones in the homeless set-aside placement process.
- **Process Owner –** The primary party responsible for completing the process step.
- **Current-State Actual Timing –** Timelines determined using data provided the OMB Policy and Operations Research Task Force.
- **Future Estimated Timing** – The estimated time to complete the process step assuming implementation of the BPIs.

Summary of BPIs, Current State Timing and Estimated Future State Timing

Current Lease-up Status & Owner	Current state Actual (Target)	Estimated Future state timing	BPIs that impact Lease-up Status	Rationale for Estimated Improvement
Pending ROI *Owner: Shelter resident*	7 Days (3 days)	0 days	**BPI 2:** Create a universal ROI consent form and complete with HHA submission	Creating a universal ROI and combining with the HHA submission will remove the need for this separate step. Client selection of the unit will occur when they are matched to a unit.
Referral, awaiting pre-screening results *Owner: Marketing agent*	28 Days (5 Days)	0 Days	**BPI 4:** Update HPD policies to remove credit and criminal background checks during the pre-screening process	The removal of the credit and criminal background checks will result in this step being eliminated. Note – removal of the credit check is currently underway.
			BPI 8: Streamline the pre-screening process by setting a timeframe for marketing agents to complete	In the interim while the new policy to eliminate the pre-screening is adopted, enforce a service level agreement (SLA) with marketing agents for pre-screening timelines.
Scheduled for eligibility appt LIHTC **units only** *Owners: Marketing agent, HPD*	23 Days (3 Days)	0 Days	**BPI 5:** Remove the LIHTC eligibility appointment from the LIHTC eligibility determination process	This aligns the HPD HPS process with other HPD programs, such as the Housing Lottery, where an eligibility appointment is not part of that LIHTC eligibility determination process. The LIHTC questionnaire will help easily identify documents needed to help residents through the eligibility process.
Awaiting eligibility	14 Days (5 Days)	10 Days	**BPI 12:** Implement a process step and timeframe for obtaining resident acceptance/rejection of unit	Eliminates unnecessary/elongated holds on apartments before eligibility assessments can start.

Current Lease-up Status & Owner	Current state Actual (Target)	Estimated Future state timing	BPIs that impact Lease-up Status	Rationale for Estimated Improvement
screening results **LIHTC units only** *Owners: Marketing agent*			**BPI 15:** Implement performance standards to remove marketing agents from the HPD pre-qualified list	Enforces SLAs to eliminate delays in communication of results.
Pending documents **LIHTC units only** *Owner: Shelter resident*	30 Days (10 Days)	10 Days	**BPI 1:** Consolidate resident-specific documentation asks at HHA submission	Limits the "pending document" status to a subset of applicants (i.e., LIHTC).
			BPI 6: Establish a cloud-based document storage solution to reduce handoffs	Eliminates manual handoffs to pass-through documents to multiple parties which elongates process.
			BPI 9: Document and enforce a LIHTC document submission timeline for shelter residents	Enforces document submission SLAs, aligning with other agency policies (e.g., Housing Connect).
			BPI 13: Publish a definitive guide for LIHTC audit standards	Improved communication with a comprehensive guide on LIHTC audit standards helps eliminate unnecessary asks for shelter residents.
Accepted, pending third-party approval **LIHTC units only** *Owner: HDC, syndicator, third-party consultant*	23 Days (5 Days)	0 Days	BPI 3: Remove third-party reviews as dependency for lease-up	Eliminates the dependency of third-party reviews from the process. If necessary, they can be performed after the resident moves into the unit to address any concerns related to eligibility downstream.
Approved, pending landlord paperwork *Owner: HPD, Marketing agent*	21 Days (5 Days)	5 Days	BPI 7: Create a golden record for property owners and units ahead of submission processes	Collecting landlord paperwork simultaneously to the matching and resident eligibility processes will limit the potential for delays downstream once a match is completed.
Approved, pending subsidy processing *Owner: HRA, DHS*	44 Days (12 Days)	20 Days	BPI 23: Increase staffing within CBT unit with "New Needs" request	Right size the critical HRA CBT resources to current caseload to address backlogs and reduce time for rebudgeting of CA cases.
			BPI 24: Confirm alignment on keeping Single Issuance (SI) cases open past 30 days	Increases likelihood that an SI Cash Assistance case is open when the CityFHEPS subsidy is processed.
			BPI 25: DHS should initiate any needed Cash Assistance case changes when a shelter resident accepts a unit	Initiating CA case activities earlier in the process will allow more time to address CA case challenges, as needed.

Current Lease-up Status & Owner	Current state Actual (Target)	Estimated Future state timing	BPIs that impact Lease-up Status	Rationale for Estimated Improvement
			BPI 26: Consolidate resident-specific Cash Assistance processes across populations	Consolidating DHS business processes for addressing CA case issues will streamline management of needed case activities. Reduces delays associated with unnecessary handoffs across multiple teams
			BPI 27: DHS to approve CityFHEPS for cases that are in Active or Single Issuance status that do not have income	Removes handoffs by eliminating HRA approval processes for specific cases.
			BPI 28: HRA to waive 30-day CityFHEPS income requirement for Active Cash Assistance and Single Issuance cases with income	Reduce duplicative processes for checking income across CityFHEPS and CA programs.
			BPI 29: DSS to leverage NYS Integrated Eligibility System modernization to eliminate system workarounds	Allows DHS and HRA to maximize on parallel modernization efforts to incorporate rental assistance improvement needs.
			BPI 30: Pursue approval for phone interviews for active CA cases	Seek policy changes with State partners to eliminate unnecessary steps to CA case processing impacting homeless set-aside placement lease up time
Approved, Pending lease signing *Owner: Shelter resident*	3 Days (3 Days)	3 Days	No changes to process	N/A

Overall Future State Process Acceleration Enablers

The below are BPIs that can be implemented to improve the overall HPD Set-Aside process.

Overarching Objective	Related BPIs
Improves accuracy of information in the HHA pool to feed downstream process and avoid rework	• **BPI 16:** Implement changes to information requested on the HHA to improve downstream matching • **BPI 17:** Improve validation of HHAs in the HPD referral pool • **BPI 18:** Establish an automated process for updating the HHA • **BPI 19:** Optimize shelter resident to unit matching

Reinforces policy and approved SLAs	• **BPI 10:** Implement a policy to limit number of units shelter residents can reject • **BPI 14:** Conduct periodic internal desk reviews of homeless set-aside placement cases and lease ups • **BPI 20:** Conduct HPS pipeline reviews with DHS • **BPI 21:** Create live dashboard to support performance management
Automates key process steps and business rules, reduces manual handoffs, provides transparency	• **BPI 22:** Implement enterprise wide HPD placement system
Improve overall experience for shelter residents and marketing agents	• **BPI 11:** Provide clear and consistent unit information to shelter residents at the time of resident to unit match • **BPI 31:** Improve marketing agent engagement through quarterly or semi-annual meetings • **BPI 32:** Develop shelter resident homeless set-aside placement process toolkit

BPI Complexity and Estimated Implementation Overview

The below identifies the BPIs in terms of complexity and estimated implementation timeline to complete. Detailed descriptions of these BPIs are available in the BPI objective sections, later in this report.

The BPI estimated implementation timeline identifies the amount of time required to effectively deliver an entire BPI. These were determined using insights from workshops and insights related to similar past efforts. Implementation Timelines Definitions: Short-term (0 – 3 months), Medium-term (3 – 6 months), Long-term (6 -12 months)

The BPI complexity was assessed by determining the difficulty or resources that would be required to complete a BPI, from a technical and operational lens. Complexity definitions are below:

- **Low:** BPI that requires limited coordination with other agencies/teams and have a limited technology changes.

- **Medium:** BPI has a broader scope, dependency on organizational changes, technology, or policy needs. This can include projects requiring consensus from more than one organization.

- **High:** BPI involves with multiple components/sub-projects impacting more than one organization, changes impacting processes, policy alignment with governing entities, changing of roles, and/or significant technology system needs.

Please note: The timelines below take into consideration estimated resources and timing not availability of resources.

Estimated Complexity		
Low	Medium	High
BPI 1: Consolidate resident-specific documentation asks at HHA submission	BPI 20: HPD to work with DHS on planned pipeline and potential referrals	
BPI 2: Create a universal ROI and complete with HHA submission	BPI 24: Confirm alignment on keeping SI cases open past 30 days	
BPI 3: Remove third-party reviews as dependency for lease-up	BPI 32: Develop shelter resident homeless set-aside placement process toolkit	
BPI 8: Streamline the pre-screening process by setting a timeframe for marketing agents to complete		
BPI 9: Document and enforce a LIHTC document submission timeline for shelter residents		
BPI 23: Increase staffing within CBT unit with "New Needs" request		
BPI 31: Improve marketing agent engagement through quarterly or semi-annual meetings		

(Estimated Time to Implement — Short)

Estimated Complexity		
Low	Medium	High

Medium

Low:
- BPI 10: Implement a policy to limit number of units shelter residents can reject
- BPI 11: Provide clear and consistent unit information to shelter residents at the time of resident to unit match
- BPI 12: Implement a process step and timeframe for obtaining resident acceptance/rejection of unit
- BPI 25: DHS should initiate CA case changes when a shelter resident accepts a unit

Medium:
- BPI 4: Update HPD policies to remove credit and criminal background checks during the pre-screening process
- BPI 5: Remove the LIHTC eligibility appointment from the LIHTC eligibility determination process
- BPI 6: Establish a cloud-based document storage solution to reduce handoffs
- BPI 7: Create a golden record for property owners and units ahead of submission processes
- BPI 16: Implement changes to information requested on the HHA to improve downstream matching
- BPI 26: Consolidate all DHS CA case management activities under HRPU

High:
- BPI 17: Improve validation of HHAs in the HPD referral pool
- BPI 18: Establish an automated process for updating the HHA
- BPI 21: Create live dashboard to support performance management

Long

Low:
- BPI 27: DHS to approve CityFHEPS for cases that are in Active or Single Issuance status that do not have income

Medium:
- BPI 13: Publish a definitive guide for LIHTC audit standards
- BPI 14: Conduct periodic internal desk reviews of homeless set-aside placement cases and lease ups
- BPI 15: Implement performance standards to remove marketing agents from the HPD pre-qualified list
- BPI 28: HRA to waive 30-day CityFHEPS income requirement for Active Cash Assistance and Single Issuance cases with income
- BPI 30: Pursue approval for phone interviews for active CA cases

High:
- BPI 19: Optimize shelter resident to unit matching
- BPI 22: Implement enterprise-wide HPD placement system
- BPI 29: DSS to leverage NYS integrated eligibility system modernization to eliminate system workarounds

Primary Owner	HPD	HDC	HRA	DHS

Recommended Homeless Set-Aside Future State End-to-End Workflow

Below is a high-level depiction of the future state homeless set-aside placement process. Prior steps from the current state are identified and removed, assuming the implementation of the BPIs proposed in this report. As reflected in the "key," process stop owners have been identified in addition to where a new homeless set-aside placement status is being proposed for ongoing performance measurement and management.

Lease-up Process Starts

Lease-up Process Ends; Client Moves in

Pending landlord paperwork (Pt 1) = Establish golden record

Pending ROI + Pending documents = HHA submission

Match completed

Unit accepted

Awaiting pre-screening results

Pending subsidy processing (Pt 1) = Eligibility validation

Pending subsidy processing (Pt 1)+ Pending landlord paperwork (Pt 2) = Prepare CityFHEPS package

CityFHEPS package approved

Pending lease signing

Marketing Agent
Create/ updates landlord golden record

DHS
Works with shelter residents to complete HHA & Universal ROI, collect docs. Refer to HPD.

HPD
Matches client to appropriate unit

HPD
Confirms client has accepted/ rejected the unit

DHS
Works with clients to collect documents and complete ROI

Marketing Agent
Conducts credit/ criminal history check. Approves/ denies client.

HRA
Validates CA and CityFHEPS eligibility

HPD
Update landlord paperwork for CityFHEPS package

DHS
Update client paperwork for CityFHEPS package; submit in CurRENT

HRA
Validating 30 day income & re-budgeting (specific cases)

DHS
Determines CityFHEPS eligibility (specific cases)

HRA
Determines CityFHEPS eligibility (specific cases)

DHS
Conducts lease signing with client

HPD
Confirms lease signing with client

HPD/DHS
Conducts unit pre-clearance & inspection

LIHTC Units Only

Marketing Agent
Asks client to complete application and/or appointment to meet LIHTC eligibility

DHS
Manages shelter and client through successful LIHTC eligibility determination

Marketing Agent
Deems household LIHTC eligible. This includes:
• Third party review

Schedule for eligibility appt

Pending documents (Pt 2) = Pending LIHTC eligibility docs / Pending third-party approval

Awaiting eligibility screening results

Shelter Resident
Improves self-service for updating CA case and HHA information

HPD
Governing HHA pool

DHS/HRA
Provides updates to HHA

HRA
Corrects the Cash Assistance case

Key

Marketing Agent	Shelter Resident
DHS	Eliminated step
HPD	Back font indicates an existing status
HRA	Purple font indicates a new or updated status

Homeless Set-Aside Placement Evaluation Report

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Objective 1: Remove unnecessary steps and handoffs

This group of improvements is focused on removing steps with limited value and reducing handoffs between participants which creates manual work, duplicative effort, and delays. Examples of this are repeated documentation requests, repeated reviews of LIHTC files, and the eligibility appointment for LIHTC applicants.

BPI 1: Consolidate resident-specific documentation asks at HHA submission

BPI Goals & Description	Collecting documentation requires extensive coordination with clients, providers, marketing agents and DHS and HPD teams. Many of these documents are client-specific and potentially already known to DHS and HRA teams. DHS should collect and distribute this documentation to HPD at the beginning of this process, specifically at HHA submission, to reduce back-and-forth later in the process, and reduce the number of "isolated" asks for shelter resident-specific documentation during lease-up.
	All documentation requirements, excluding LIHTC documents, should be clearly defined and required prior to HHA submission so that a unit is not tied up until the shelter resident has compiled required documents. Additionally, duplicative document requests will be reduced through information sharing across agencies.
	Shelter providers, under the guidance of DHS HRPU, will not submit the HHA until the shelter resident provided the below documents. Ahead of an enterprise-wide system for HHA submission, these documents should be sent by HRPU to HPD via the current e-mail transmission process at the time the HHA is approved by HRPU in HOME:
	• Items collected for pre-screening, CityFHEPS, or Cash Assistance, such as: photo ID, social security card or WMS screenshot or individual tax ID number (ITIN), birth certificate for minors, and proof of legal guardianship of minors (if applicable). Many of these documents are collected to enter shelter and should be added by DHS to the HHA submission, rather than requesting again from the shelter resident.
	• Items created or collected by HRA and DHS as part of the CityFHEPS application in CurRENT or HOME (if available): "Shopping Letter" (DSS-7), "Household Share Letter" (DSS-7a), Tenant Contact Information (DSS-8b), and Request for Emergency Assistance (W-137A). Where documents are not fully completed until later (e.g., W-137A), DHS can pass over a partially completed version of the form to streamline downstream.
	• Documentation needed if selecting a reasonable accommodation need in HHA: Certification of Eligibility for Disability Unit (Attachment I-2). Currently, this document is not provided until the eligibility appointment or during the pending documents step.

	As part of BPI 32: Develop shelter resident homeless set-aside placement process toolkit, shelter residents and shelter providers will receive more upfront information on the documentation they will be required to submit and have a better understanding of the various points in the process when they may be required to provide additional information for LIHTC eligibility or CityFHEPS. See Appendix H: Documentation and form for the homeless set-aside placement process for more detail on current and proposed future state of documentation collection.
Implementation Timeline	• Short-Term (0 – 3 months)
Complexity	• Low
Implementation Steps	• (DHS) Submit identified client-specific documentation to HPD at time of HHA submission. • (HPD) Reject HHAs that do not include all resident-specific documentation.. • (HPD) Inform marketing agents of updated documentation policy and that WMS print-out of SSN information is sufficient to meet referral needs and compliance requirements. • (DHS) Share the Social Security Number (SSN) validation screen with HPD at time of HHA submission. Specifically, capture validated SSN from WMS screen and submit with HHA. • (DHS/shelter providers) Inform providers of documentation needed for HHA submission. • (HPD) Provide a checklist of any additional documents that may be requested later in the process if the shelter resident is matched with a LIHTC unit (e.g., tax returns, income, and asset documentation). • (HRA) Provide a checklist to shelter providers of any additional documents that may be requested later in the process for the CityFHEPS application (e.g., proof of income from the last 30 days).(HPD/HRA) Continue to revisit documentation requests based on changing policies. For example, if the pre-screening process is removed, SSN validation may no longer be needed from the shelter resident at HHA submission.
Critical Success Factors	• Communication with and training for shelter providers on required shelter resident-specific documentation. • Establish any needed data sharing agreements for the WMS SSN validation screen to be submitted with the HHA or include as part of universal ROI language.

	• Communicate to marketing agents and shelter providers expectations for shelter resident-specific documentation alternatives (e.g., WMS screen for SSN validation). • Resources to develop a plain language, easy-to-follow checklist with LIHTC and CityFHEPS documentation requests. • DHS HRPU enforcement of policy that an HHA cannot be submitted without the required documentation. • Implementation of BPI 6: Establish a cloud-based document storge solution to reduce handoffs
Corresponding BPIs	• BPI 2: Create a universal ROI consent form and complete with HHA submission • BPI 6: Establish a cloud-based document storage solution to reduce handoffs • BPI 32: Develop shelter resident homeless set-aside placement process toolkit
Impacted Referral Status	• HHA Submission • Pending ROI • Pending Documents • Approved, Pending Subsidy Processing

BPI 2: Create a universal ROI consent form and complete with HHA submission

BPI Goals & Description	Create a universal, standardized ROI consent form that contains all the required data elements and legal notices needed for HPD HPS to make a client referral to the marketing agent and initiate the pre-screening. The universal, standardized ROI would also be completed as part of the submission of the HHA. Several handoffs will be reduced between HPD HPS, DHS HRPU, shelter residents, and marketing agents. The time to complete the "Pending ROI" step would be removed from the homeless set-aside placement process. Shelter residents will also have less paperwork to sign and coordinate with the DHS shelter providers. The client's selection of the unit would occur after they are matched.
Implementation Timeline	• Short-Term (0 – 3 months)
Complexity	• Low

Implementation Steps	• (HPD) Review the existing ROI forms from marketing agents and sponsors/landlords and confirm any language and notices required by law. Draft universal ROI based on these data elements and decision. • (DHS) Digitize the universal ROI form to expedite the signing of the form by shelter residents and ease of transmission between shelter providers, HPS, and marketing agents. Enable completion of ROI by shelter residents with shelter provider assistance in DHS' HOME system. • (HPD) Roll out the universal ROI form to all marketing agents with timeline of the expected transition to the new form. Update the relevant material and policies (e.g., HPD Marketing Handbook). • (DHS) Include the universal ROI as part of the HHA submission.
Critical Success Factors	• Engagement of marketing agents and sponsors for understanding and buy-in of the universal ROI. • Legal review to help ensure and federal, state, and city laws related to credit and background checks are addressed in universal ROI language. • Communication and coordination of process changes with shelter providers. • HPD decision on continuation of credit check of shelter residents for homeless set-aside units. This decision would influence what wording would be reflected in the ROI.
Corresponding BPIs	• BPI 1: Consolidate resident-specific documentation asks at HHA submission • BPI 4: Update HPD policies to remove credit and criminal background checks during the pre-screening process
Impacted Referral Status	• HHA Submission • Pending ROI

BPI 3: Remove third-party reviews as dependency for lease-up

BPI Goals & Description	Establish a policy that any third-party review conducted for a homeless set-aside unit cannot be a dependency to lease-up. HDC is in the process of eliminating full income reviews and modified file reviews for homeless set-aside units as part of a broader Citywide effort to reduce administrative burdens. With the elimination of these reviews as an HDC requirement, marketing agents may still seek to retain third-party consultants to review LIHTC files due to the accountability/assurance they provide in cases where tax credits are at stake. This BPI and HDC's pending policy change will have no impact to syndicator reviews, which are conducted in parallel to other homeless set-aside placement process activities or completed after lease signing.

Implementation Timeline	• Short-Term (0 – 3 months)
Complexity	• Low
Implementation Steps	• (HDC/HPD) Notify marketing agents that HDC will no longer complete full income or modified file reviews for homeless set-aside units. • (HPD) Communicate to marketing agents that if they proceed with third-party file reviews, they cannot be a dependency for lease signing. • (HPD) Update the HPD Marketing Handbook to reflect updated policy. • (HDC/HPD) Continue to monitor marketing agent performance for compliance (i.e., assess the length of time needed to evaluate LIHTC eligibility and observe any outliers).
Critical Success Factors	• Ongoing communication with marketing agents on policy changes to full income and modified file reviews of homeless set-aside units. • HPD monitoring of marketing agent performance and enforcement of policy.
Corresponding BPIs	• BPI 15: Implement performance standards to remove marketing agents from the HPD pre-qualified list • BPI 21: Publish a definitive guide for LIHTC audit standards • BPI 31: Improve marketing agent engagement through quarterly or semi-annual meetings
Impacted Referral Status	• Accepted, Pending Third-Party Approval

BPI 4: Update HPD policies to remove credit and criminal background checks during the pre-screening process

BPI Goals & Description	Eliminate the entire pre-screening process step by discontinuing credit and criminal background checks from the homeless set-aside placement process. As this step is the third longest source of delays according to OMB Policy and Operations Research Task Force analysis, removing it would accelerate the lease-up process. The shelter resident would be able to proceed from shelter resident to unit match to either: (1) Complete landlord paper (if non-LIHTC unit) or (2) straight to provide LIHTC documentation (if LIHTC unit). Based on the HPD Marketing Handbook, neither the credit nor the criminal background check is required by HPD, but the marketing agent is permitted to complete one or both if they choose to. While the marketing agent has the discretion to approve or reject a shelter resident, it is based on a very limited set of circumstances as outlined in the Marketing Handbook outside of background checks. If the marketing agency completes a background check

	for any other reasons HPD will not wait for completion or use it as an acceptable criterion to referring the client to the unit. Implementing this BPI would create a clearer policy on this topic that HPD can more easily enforce. It should be noted that at the time of this evaluation being completed in July 2023, the credit check component of the pre-screening is near approval and implementation by HPD. The removal of the criminal background check is being proposed as part of this BPI to accelerate lease-up.
Implementation Timeline	• Medium-Term (3 – 6 months)
Complexity	• Medium
Implementation Steps	• (HPD) Continue to work towards removing the credit check that is currently executed by marketing agents for shelter residents. • (HPD) Make decision on removing the criminal background check of the shelter residents as part of the pre-screening process for homeless set-aside placement applicants. • (HPD) Update program policy and the HPD Marketing Handbook to remove credit and criminal background checks. • (DHS) Update Universal ROI to remove any pre-screening references.
Critical Success Factors	• Communicating to marketing agents, HPS staff, shelter providers, of pre-screening process changes and expectations. • HPD legal review and final decision on removal of the credit and criminal background check as part of the pre-screening process for the lease-up process.
Corresponding BPIs	• BPI 31: Improve marketing agent engagement through quarterly or semi-annual meetings
Impacted Referral Status	• Pending ROI • Referral Made, Awaiting Pre-screening Results

BPI 5: Remove the LIHTC eligibility appointment from the LIHTC eligibility determination process

BPI Goals & Description	Reduce the lease-up timeframe for LIHTC units by removing the eligibility appointment. The shelter resident would still be supported in the compiling and provision of LIHTC documentation to the marketing agent by completing a LIHTC questionnaire with the shelter provider to identify their customized set of documents to produce. This questionnaire should be made available to the shelter resident when they are matched to a unit. Additionally, given other BPIs pertaining to consolidating documentation on behalf of the client and higher standards on the quality of HHA submissions, the need for specific eligibility appointments should become redundant. The implementation of this BPI would also align the homeless set-aside placement process for LIHTC units with the process for LIHTC units available through HPD's Housing Lottery program. The lease-up process for LIHTC units, on average, takes longer than the process for non-LIHTC units.[15] Approximately 50% of units in HPD HPS' pipeline are LIHTC units. The process is longer for LIHTC units due to the manual efforts and multiple handoffs between 5 parties (HPD HPS, marketing agents, DHS HRPU, shelter providers, shelter residents) and the extensive documentation requested of shelter residents to confirm LIHTC compliance, which are often not requested until soon before or after the appointment. By addressing these challenges, the homeless set-aside placement process should see an improvement in lease-up time.
Implementation Timeline	• Medium-Term (3 – 6 months)
Complexity	• Medium
Implementation Steps	• (HPD) Work with marketing agents to develop a LIHTC questionnaire to facilitate identifying shelter resident and LIHTC-specific documentation needed based upon resident characteristics (e.g., veteran, student, sources of income). The shelter resident would be asked a series of questions about the household and sources of income, and based on those responses, a list of documents would be generated for the resident to compile according to the 10-day timeline. Develop the interactive questionnaire using a web-form that would allow HPD to see the time stamp for completion and track the 10-day timeline. • (HPD) Shelter resident should complete the questionnaire at the time the shelter resident is matched. Policies around return of questionnaire should allow for timeline extensions due to extenuating circumstances and reasonable accommodations on a case-by-case basis.

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[15] Policy and Operations Research Task Force, NYC Office of Management and Budget. (2023, April 13). *Housing Placements Summary*.

	• (HPD) Implement the questionnaire and send to DHS along with the match information once it is identified that the resident has been matched with a LIHTC unit.
	• (DHS) Train shelter providers on documentation needs for LIHTC units and completing the questionnaire with the shelter resident once matched to a LIHTC unit.
	• (HPD) Remove the eligibility appointment and associated scheduling from the homeless set-aside placement process for LIHTC.
	• (Marketing agents) Marketing agents to assess LIHTC eligibility based on documentation. If questions arise on documentation, they are to call the shelter resident directly.
	• (HPD) Notify HPS staff, shelter providers, DHS, and marketing agents of process updates.
Critical Success Factors	• Capacity of HPD and marketing agents to collaborate to develop a LIHTC questionnaire that is accessible to shelter residents while also capturing all HPD/HDC and federal requirements for the program.
	• Effective training of shelter providers on LIHTC documentation needs, and how to facilitate completion of the questionnaire with shelter residents.
	• Outreach and education of shelter residents on how to complete the questionnaire.
	• Policies and procedures for when the LIHTC questionnaire should be completed and enforcement of its usage.
	• Effective support of shelter residents in compiling LIHTC documentation.
Corresponding BPIs	• BPI 13: Publish a definitive guide for LIHTC audit standards
	• BPI 32: Develop shelter resident homeless set-aside placement process toolkit
Impacted Referral Status	• Scheduled for Eligibility Appointment
	• Awaiting Eligibility Screening Results
	• Pending Documents

BPI 6: Establish a cloud-based document storage solution to reduce handoffs

BPI Goals & Description	Address the manual exchange of sensitive documentation over email, duplicative requests for information, and the many handoffs between parties to share information by establishing a cloud-based document storage solution. The solution would allow for documentation to be shared, viewed, and uploaded by HPS, DHS, HRA, and marketing agents. The solution would also provide improved access and security measures to better safeguard the sensitive documentation being shared. In the current state, systems such as

	OneViewer and Worker Connect, do not have capabilities for access and sharing with marketing agents. Also, uploaded documentation in these systems is sometimes poor quality, unreadable, or outdated. By providing a centralized source for the sharing of documentation and reducing handoffs, the homeless set-aside placement process will be accelerated. Note: depending on scope of the planned enterprise wide HPD placement system (BPI #22), the need for this change would need to be reassessed.
Implementation Timeline	• Medium-Term (3 – 6 months)
Complexity	• Medium
Implementation Steps	• (HPD) Identify cloud-based storage solution based upon HPD technical infrastructure and Office of Technology and Innovation requirements, if applicable. • (HPD) Define user roles and access privileges for the cloud-based solution (read only, who has access to shelter resident documentation, etc.). • (HPD) Work with Legal to develop a Memorandum of Understanding (MOU) or Data Use Agreement (DUA) for data-sharing across HPD, DHS, HRA, HDC, and marketing agents that meets privacy requirements. • (HPD) Provision access for key end users including DHS, shelter providers, HRA, and marketing agents. • (DHS/HPD) Provide training to impacted process participants: shelter providers, marketing agents, HPS staff, DHS, HRA.
Critical Success Factors	• Technical resources to support identifying a cloud-based solution and support with implementation. • Data use agreements and memoranda of understanding, as needed, for HPD to access and store data and information retrieved from external sources. • Document storage solution will need to be compliant with security and privacy requirements for storing Personal Identifiable Information (PPI) and Protected Health Information (PHI). • Training for impacted end users of the solution. • Ability to view audit log for access to documents and timing of uploads for policy enforcements and security.
Corresponding BPIs	• BPI 22: Implement enterprise wide HPD placement system

Impacted Referral Status	• HHA Submission
	• Pending ROI
	• Referral Made, Awaiting Pre-Screening Results
	- Awaiting Eligibility Screening Results
	• Pending Documents
	• Approved, Pending Landlord Paperwork
	• Approved, Pending Subsidy Processing

BPI 7: Create a golden record for property owners and units ahead of submission processes

| BPI Goals & Description | Establish a "landlord golden record" that is accessible by all agencies involved in the homeless set-aside placement process. The creation of a golden record earlier in the process would reduce downstream process delays associated with reconciling landlord information that is currently occurring between HRPU and the HRA Landlord Management Unit (LMU). Additionally, the creation of the landlord golden record in one single application would reduce duplicative work across HPD and HRA.

The landlord golden record would be established in CurRENT as soon as the unit is known to HPD and DHS Clearance and Apartment Review Unit (CAR) and include landlord contact information, owned units, and status of inspections and CityFHEPS payments. When available via the CurRENT Landlord Profile, the capability to add unit information should be transitioned over to marketing agents. This will allow for better self-service, aligns with planned CurRENT Landlord Profile capabilities, and would allow marketing agents more visibility into HHA status. |
| --- | --- |
| Implementation Timeline | • Medium Term (3 – 6 months) |
| Complexity | • Medium |
| Implementation Steps | • (DHS/HPD) Assess level of effort for adding new landlords into CurRENT, including for the creation of a new user role for HPD and DHS CAR. Based upon resourcing capacity, make determination on who should take on this responsibility.

• (HRA) Grant business unit responsible for creating golden record access to add landlords into CurRENT and to submit help desk assistance for CurRENT technical issues. |

	• (HPD) Export landlord information from CurRENT and compare to open units for HPD landlords providing set-aside units using common identifier "Landlord TIN." Identify landlords that are not yet entered. • (HRA) Provide cross-training to HPD on CurRENT and how to add and process landlord changes. Training also to be provided on common errors in the landlord record. • (HPD) Given future system scope for homeless set-aside placement process systems, identify requirement for landlord profile and record integration with HRA and DHS.
Critical Success Factors	• When HRPU works with shelter providers to submit the CityFHEPs application through HRA, HRPU should not have to collect any additional information from the landlord. - If a landlord change is needed (e.g., payee account), those requests can be sent via CurRENT to the Landlord Management Unit (LMU). • Ability for HPD and DHS CAR to add landlords into CurRENT. • HRA budget and time assessment for CurRENT and support staff. • HPD resources available to enter records for landlords with set-aside units into CurRENT.
Corresponding BPIs	• BPI 22: Implement enterprise wide HPD placement system
Impacted Referral Status	• Pending Landlord Paperwork • Approved, Pending Landlord Paperwork • Approved, Pending Subsidy Processing

Objective 2: Set and enforce clear process step policies and timelines

The set-aside process is dependent on the involvement of contracted DHS providers and identified HPD marketing agents. Inconsistent enforcement of expectations leads to process delays and fractured trust in the process by all stakeholders. The improvements identified in this section identify these expectations and approaches for enforcement.

BPI 8: Streamline the pre-screening process by setting a timeframe for marketing agents to complete

BPI Goals & Description	Reduce the time spent on the Awaiting Pre-screening Results step by defining a Service Level Agreement (SLA) of three days for marketing agents to complete the pre-screening and return the results to HPD. If the marketing agent fails to meet the SLA, HPS will not send additional referrals to the marketing agent until results are returned. In the current lease-up process, the marketing agents are not held to a specific time to return the pre-screening results. The target timeline for is 5 days, however on average this process takes 28 days. While HPD HPS will eventually stop sending referrals if the marketing agent is unresponsive, this pause in referrals is not defined or consistently enforced. By creating a clear SLA with clear enforcement mechanisms, the delays attributed to the pre-screening process should be reduced. Further consequences, such as removing the marketing agent from the HPD Pre-Qualified List (PQL) of marketing agents due to under-performance may also be evaluated (see BPI 15: Implement performance standards to remove marketing agents from the HPD pre-qualified list).
Implementation Timeline	• Short-Term (0 – 3 months)
Complexity	• Low
Implementation Steps	• (HPD) Establish a timeline by which marketing agents are required to complete the pre-screening and return the results to HPD. Three (3) business days is recommended. • (HPD) Document updated pre-screening policies with this SLA and include implications for non-compliance and repeated infractions. • (HPD) Communicate the updated pre-screening policy to HPS personnel and marketing agents. • (HPD) Use the MS Access Database to track marketing agent performance of compliance with pre-screening policy. Analyze the performance monthly and discuss performance with marketing agents as part of quarterly or semi-annual marketing agent engagement sessions

	(See BPI 31: Improve marketing agent engagement through quarterly or semi-annual meetings)
Critical Success Factors	• Communication to HPS personnel and marketing agents of pre-screening process changes, expectations, and tracking needs. • Capacity of HPD to monitor marketing agent performance against target • Applying enforcement mechanisms for the policy, including limits on referrals sent to the marketing agents and removal from Pre-Qualified List of marketing agents in scenarios of repeated noncompliance
Corresponding BPIs	• BPI 4: Update HPD policies to remove credit and criminal background checks during the pre-screening process • BPI 15: Implement performance standards to remove marketing agents from the HPD pre-qualified list • BPI 31: Improve marketing agent engagement through quarterly or semi-annual meetings
Impacted Referral Status	• Referral Made, Awaiting Pre-Screening Results

BPI 9: Document and enforce a LIHTC document submission timeline for shelter residents

BPI Goals & Description	Reduce the lease-up timeframe for LIHTC units by establishing a set time for shelter residents to provide documentation to the marketing agent when matched to a LIHTC unit. In the current homeless set-aside placement process, while there is a timeframe and deadline provided for shelter residents to supply LIHTC documentation within ten days,[16] it is not consistently enforced. Reasonable accommodations scenarios are also not documented. Currently, the Pending Documents stage lasts, on average, 30 days and compared to a target of 10 days. Applying a deadline for the provision of LIHTC documents by shelter residents will address the current delays associated with this process step and lease-up of units. Reasonable accommodations should be made available to shelter residents, as a rule, if the document submission timeline is not met. If a reasonable accommodation does not apply and the timeline is not met, the shelter resident will be unmatched with the unit and moved to the end of the referral queue. This will allow the unit to become available to a different shelter resident. It is recommended that the timeline for the submission of documents be set for 10 business days with possibility for a five-business day extension, as this mirrors the timeframe of applicants in HPD's Housing Lottery program, which also includes LIHTC units. The Housing Lottery policy

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[16] NYC Department of Housing Preservation & Development, NYC Housing Development Corporation, (August 2021). *Marketing Handbook Policies and Procedures for Resident Selection and Occupancy*. Retrieved from https://www.nychdc.com/sites/default/files/2021-08/Marketing%20Handbook_2021.pdf.

	allows for an initial document collection period of 10 business days, a 5-business day extension if needed, and 10 business days to appeal a rejection due to failure to submit documentation.
Implementation Timeline	• Short-Term (0 – 3 months)
Complexity	• Low
Implementation Steps	• (HPD) Update program policies with a timeframe for shelter residents to submit LIHTC documentation. The policy should include a reasonable accommodation process. If reasonable accommodations are not applicable and the timeframe is not met, the resident's HHA will be removed from HPD's queue of applicants. The shelter resident may resubmit their HHA and restart the process. When a resident is removed from the queue, notify HRPU and shelter providers.
	• (HPD) Notify HPS staff, shelter providers, DHS, and marketing agents of process updates.
	• (DHS) Train shelter providers on policy updates and supporting shelter residents in obtaining LIHTC documentation.
	• (DHS) As part of the BPI 32: Develop shelter resident homeless set-aside placement process toolkit, communicate documentation timelines and expectations to shelter residents at the beginning when their HHA is submitted.
	• (HPD) Use current MS Access Database to track shelter resident compliance with LIHTC documentation submission policy. Analyze the performance monthly to assess for areas of improvement. Share with DHS for performance management of shelter providers assisting shelter residents with obtaining documentation.
Critical Success Factors	• Capacity of HPD to enforce the policy and update the HHA queue if shelter residents do not comply.
	• Buy-in and capacity of shelter residents and shelter providers to return documentation within a set time frame.
	• Training for shelter providers and shelter residents to understand their responsibility to provide documents within the timeframe or request an extension.
	• Capacity of HPD and marketing agents to collaborate to develop a LIHTC questionnaire that is accessible to shelter residents while also capturing all HPD/HDC and federal requirements for the program.
Corresponding BPIs	• BPI 13: Publish a definitive guide for LIHTC audit standards
	• BPI 32: Develop shelter resident homeless set-aside placement process toolkit

Impacted Referral Status	• Pending Documents

BPI 10: Implement a policy to limit number of units a shelter residents can reject

BPI Goals & Description	Reduce duplicative work associated with multiple shelter resident to unit matches by implementing a policy that, for each HHA submission, shelter residents will only be able to reject a certain number of units before being removed from the pool of applicants with the option to reapply. The recommended number of maximum rejections is two with reasonable accommodations provided. Additionally, the policy should consider that residents should not be penalized for matches that do not meet their required criteria as stated on the HHA (e.g., a resident with documented mobility needs is matched to an inaccessible unit).

In the current process, if a shelter resident declines three matches, HPD will not remove the HHA from the pool, but will send the HHA back to the greater HHA pool for a future re-referral. This BPI involves removing the HHA from the pool entirely so that HPD HPS resources can proceed with connecting other units with shelter residents. The shelter resident will have the option to reapply but will need to re-start the process with a new HHA dated from the reapplication date. The Section 8 program administered by NYCHA has similar policies setting limitations on the number of units offered to an applicant.

By implementing this BPI, HPD HPS and DHS resources can be focused on facilitating successful timely matches rather than exhausting efforts on a match that may not ever be achievable based on misalignment of resident needs and available unit characteristics.

Note: As this BPI would enforce stricter perimeters on the shelter resident to accepting the referral, HPD should in parallel consider efforts to improve the matching process. Long-term improvements in this area are identified in BPI #19. |
Implementation Timeline	• Medium-Term (0 – 3 Months)
Complexity	• Low
Implementation Steps	• (HPD) Update homeless set-aside policies to reflect a maximum of two referrals per HHA. If shelter resident rejects two referrals, HPD would remove the resident's HHA from the pool of applicants and notify DHS that the resident's HHA was removed. The resident would then have the option to reapply and resubmit an HHA.

	- As opposed to the current policy, the HHA will be removed from the pool entirely. To be re-considered for a referral, the shelter resident will need to submit a new HHA with a new application date. - This policy should not penalize residents for matches that are rejected for not meeting their recorded preferences and requirements. • (HPD) Work with DHS to determine reasonable exceptions to this policy to allow for extenuating circumstances and document in the policy. • (DHS) Provide training for shelter providers to convey these expectations to shelter residents. • (DHS) Develop written material for shelter resident conveying policy in plain language, easy to understand format. (See BPI 32: Develop shelter resident homeless set-aside placement process toolkit for how this can be communicated to the shelter resident at the beginning of the process).
Critical Success Factors	• Ability of shelter resident and shelter provider to adhere to policy requirements and meet the timeframe to provide and record a unit accept/reject decision (BPI 12). • Improving the shelter resident to unit match so that shelter resident needs and critical preferences are met. • HPS's ability to consistently enforce the policy, including reasonable accommodation exceptions, and maintain the list of pending HHAs accordingly.
Corresponding BPIs	• BPI 11: Provide clear and consistent unit information to shelter residents at the time of resident to unit match • BPI 12: Implement a process step and timeframe for obtaining resident acceptance/rejection of unit • BPI 16: Implement changes to information requested on the HHA to improve downstream matching • BPI 18: Establish an automated process for updating the HHA • BPI 32: Develop shelter resident homeless set-aside placement process toolkit
Impacted Referral Status	• HHA Submission • Pending ROI • Pending Eligibility Screening Results

BPI 11: Provide clear and consistent unit information to shelter residents at the time of resident to unit match

BPI Goals & Description	Provide the shelter resident more information related to the prospective match to reduce the likelihood that a shelter resident declines a unit later in

	the process, as well as to better mark for reasons that could have been known earlier. When mismatches occur in the homeless set-aside placement process steps must be duplicated and lease-up times are elongated for units.

HPD HPS currently requires that marketing agents provide specific information to them about units for HPD's pipeline management. However, there is no set criteria for what information is provided to shelter residents about the unit at the time of matching resulting in disparate information being shared. This information gap may lead to some residents' rejection of a unit late in the process after pre-screening once they are able to view the unit in-person or receive additional information. The unit would then need to be rematched with another individual, restarting the process.[17]

A common rental marketing practice is to provide videos, photos, and potentially even virtual walkthroughs of units, with many owners even investing in professional photography to market their units virtually [18,19]. This allows potential tenants to review the unit and feel confident that an informed decision is made. As proposed in this BPI, providing clear and consistent information about the unit with visuals can potentially reduce the need for any in-person walk through request. At minimum the information provided to the shelter resident should include:

- Unit address
- Unit size
- Number of bedrooms and bathrooms
- Reasonable accommodation characteristics
- Additional amenities
- Photos of unit
- Distance to public transportation
- Video walkthrough of unit (preferred)

Providing clear and consistent unit information to shelter residents at the time of match will reduce the likelihood of later fail points in the process. |
| **Implementation Timeline** | - Medium-Term (3 – 6 months) |
| **Complexity** | - Low |

[17] While only partial data is available regarding resident declination rates, collected OMB data indicates that for LIHTC units (about 40% of the homeless set-aside stock), about 4% of shelter residents going through the homeless set-aside placement process reject units at the Eligibility Screening Results phase due to the unit not meeting their preferences.

[18] Orthon, K., (2019, April). *Photos can make or break that crucial first impression for potential home buyers.* Washington Post. Retrieved from https://www.washingtonpost.com/realestate/photos-can-make-or-break-that-crucial-first-impression-for-potential-buyers/2019/04/24/5c1fd4da-5b02-11e9-9625-01d48d50ef75_story.html.

[19] Rent. (2022, November). *Apartment Lead Generation: How to Get Rental Leads.* Retrieved from https://solutions.rent.com/blog/apartment-lead-generation-how-to-get-rental-leads/.

Implementation Steps	• (HPD) Work with marketing agents to develop marketing materials (e.g., photos, video, etc.) for homeless set-aside units, using what is provided for Housing Lottery units as a guide. • (HPD) Develop template for marketing agents to use to provide unit marketing information to HPD. • (HPD) Update Marketing Handbook with marketing guidelines for homeless set-aside units and incorporate into quarterly marketing agent meetings. • (DHS) Provide training for shelter providers to reinforce providing all unit information to the shelter resident at the time of match. • (HPD) Identify key performance indicators to measure the success of implementing this recommendation (such as reduction in shelter resident rejection of units late in the process, faster acceptance/denials, etc.).
Critical Success Factors	• Buy-in and capacity of HPD and marketing agents to develop unit information material, including photos, videos, and other outreach material. • Ability to collect and communicate unit information and details in a standardized and comprehensive manner. • Training of shelter providers to make sure that shelter residents are receiving all the provided unit information at the time of match
Corresponding BPIs	• BPI 31: Improve marketing agent engagement through quarterly or semi-annual meetings
Impacted Referral Status	• Pending ROI

BPI 12: Implement a process step and timeframe for obtaining resident acceptance/rejection of unit[20]

BPI Goals & Description	Create a clear process step to record the shelter resident acceptance or denial of a unit following the initial shelter resident to unit match. Within three days of being matched to a unit, HPS must collect a decision from the shelter resident and record it in the HPD Database. If the timeframe is not met, then the shelter resident moves to the end of the queue. Circumstances for reasonable accommodation for this policy should be established. In the current lease-up process, shelter resident approval or denial of a unit happens informally at the Pending ROI stage or later in the process during the Awaiting Eligibility Screening Results stage when an in-person viewing of the unit may take place. This lack of a defined policy allows for units to exist in a holding pattern until the decision is secured by HPD HPS through the shelter providers. By implementing this change, there is a clear path for

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[20] This capability is also suggested to be a requirement for the future-state HPD system.

	addressing delays associated with obtaining shelter resident acceptance of a unit and proceeding with lease-up.
Implementation Timeline	• Medium-Term (3 – 6 months)
Complexity	• Low

Implementation Steps	• (HPD) Implement process to collect shelter resident approve/reject of unit. Can create different options: use a web form, MS Forms, phone call or email confirmation.
	
	 • (HPD) Update lease-up policies to be updated to reflect the following:
	
	   - A decision to accept or reject the unit must be provided and recorded within 3 business days. If a decision is not provided in the required timeframe, the shelter resident's application moves to the end of the pool of applicants.
	
	   - Number of attempts to contact the resident should be included in the policy.
	
	 • (DHS) Provide training for shelter providers to convey these expectations to shelter residents and to timely convey shelter resident's decision to HPD.
	
	 • (DHS) Develop written material for shelter resident conveying policy in plain language, easy to understand format. (See BPI 32: Develop shelter resident homeless set-aside placement process toolkit for how this can be communicated to the shelter resident at the beginning of the process).

Critical Success Factors	• Ability to develop policy and any web form or MS Forms survey to memorialize shelter resident acceptance or rejection of the unit. • Ability of shelter resident and shelter provider to meet the timeframe to provide and record a unit accept/reject decision. • HPS's ability to consistently enforce the policy and maintain the list of pending HHAs accordingly. • Improving the shelter resident to unit match so that shelter resident needs and critical preferences are met. • Allowing HPS to communicate directly with shelter residents and reduce intermediary communication with HRPU and shelter providers unless escalation needed.
Corresponding BPIs	• BPI 32: Develop shelter resident homeless set-aside placement process toolkit

Impacted Referral Status	• Pending ROI • Awaiting Eligibility Screening Results

BPI 13: Publish a definitive guide for LIHTC audit standards

BPI Goals & Description	Address delays in the "Pending Documents" and "Awaiting eligibility screening results" steps by reducing unnecessary or excessive numbers of documents requested by marketing agents of shelter residents for LIHTC unit eligibility determinations. This BPI involves providing marketing agents and syndicators with a single source of information they can reply upon for LIHTC compliance standards that does not exceed federal minimums. HPD and HDC issue guidance on audit standards but this information is not standardized and is spread across multiple documents issued by each agency. Further, though HDC/HPD requirements for LIHTC units have been relaxed to encourage faster move-ins, there is a still a perception on behalf of marketing agents that audit compliance standards for LIHTC units remain strict. Agents therefore still require documentation from shelter residents beyond what is on the HPD LIHTC documentation checklist due to a fear of an audit violation and losing tax credits. Publishing a definitive guide for LIHTC audit standards will help to address the delays associated with shelter residents obtaining and marketing agents reviewing documents to meet LIHTC eligibility and compliance standards.
Implementation Timeline	• Long-Term (6 – 12 months)
Complexity	• Medium
Implementation Steps	• (HPD/HDC) HPD and HDC to conduct an internal review of the current standards used for findings of LIHTC non-compliance so that they do not exceed federal standards. • (HPD/HDC) Publish a definitive guide on LIHTC compliance expectations for marketing agents and syndicators. • (HPD/HDC) Engage marketing agents and syndicators about the City-approved guidance.
Critical Success Factors	• Transparent, ongoing communication with marketing agents and syndicators regarding changing standards or new guidelines are they are made available. • Time and resources to conduct the internal review and identify areas for improvement and alignment
Corresponding BPIs	• N/A

Impacted Referral Status	• Pending Documents
	• Accepted, Pending Third-Party Approval

BPI 14: Conduct periodic internal desk reviews of homeless set-aside placement cases and lease-ups

BPI Goals & Description	Implement regular HPS program monitoring to identify areas of continuous process improvement and where practice may not align to policy, indicating a need to revisit policies and procedures. This BPI recommends that HPD conduct periodic desk reviews of homeless set-aside placement cases (referrals and lease-up process), focusing on the factors impacting lease-up timeframes (e.g., unit types, household size). The desk review will allow HPD to review case notes, data, data sources and conduct interviews, as necessary, to understand the journey of the units and the households in the process.
	As BPIs from this evaluation are implemented, this type of review could help HPD HPS assess effectiveness of the BPIs, new policies instituted, and identify additional areas of improvement to accelerate the homeless set-aside placement process.
Implementation Timeline	• Long-Term (6 – 12 months)
Complexity	• Medium
Implementation Steps	• (HPD) Determine approach, process, and procedures for internal desk review of referrals and lease-up process with clear objectives and goals for continuous process evaluation and improvement.
	• (HPD) Implement desk review procedures, including cadence of review, access to case files/notes and data, and any other needed qualitative and quantitative information (e.g., interviews).
	• (HPD) Report out on lessons learned for performance management, personnel training, marketing agent engagement, inter-agency engagement, and more.
	• (HPD/DHS/HRA) Incorporate desk review findings into the homeless set-aside process through changes to policy, procedures, training, and/or dashboard metrics and monitoring (BPI 20).

Critical Success Factors	• HPD resources to conduct case reviews. • Access to information and data about process steps with increasingly high level of confidence in the data quality and completeness. • Data sharing agreements as needed for HPD to access any DHS/HRA data and information.
Corresponding BPIs	• BPI 21: Create live dashboard to support performance management
Impacted Referral Status	• All statuses

BPI 15: Implement performance standards to remove marketing agents from the HPD pre-qualified list

BPI Goals & Description	Implement standards that HPD can utilize to monitor and assess marketing agent performance. According to OMB Policy and Operations Research Task Force data analysis, homeless set-aside unit fill rates vary substantially by marketing agent, even when accounting for differences in unit characteristics (e.g., size, borough, time of year, new construction, or re-rental, LIHTC or non-LIHTC, etc.).[21] There are several marketing agents that under-perform or over-perform based on their unit characteristics. Areas of needed performance measurements for marketing agents can include adherence to policies, level of communication with HPD and DHS, adherence to SLAs and timeframes, and more. This performance management BPI will include a process for HPD to remove the marketing agent from the PQL of marketing agents for repeated noncompliance or failure to improve performance.[22] Note that other BPIs that improve the process should be implemented and clear service level agreements established before this BPI is implemented.
Implementation Timeline	• Long-Term (6 – 12 months)
Complexity	• Medium
Implementation Steps	• (HPD) Identify areas of marketing agent performance that require ongoing monitoring and improvement to speed up the homeless set-aside lease-up process.

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[21] Policy and Operations Research Task Force, NYC Office of Management and Budget. (2023, April 13). *Housing Placements Summary*.

[22] NYC Department of Housing Preservation & Development. (n.d.). *Marketing agent PQL.* Retrieved from https://www.nyc.gov/site/hpd/services-and-information/marketing-agent-pql.page

	• (HPD) Develop key performance indicators (KPIs) and SLAs that address the identified areas of needed monitoring and improvement. • (HPD) Communicate new performance standards to the marketing agents. Update the HPD Marketing Handbook to reflect performance standards. • (HPD) Develop training material for marketing agents to support their ongoing performance development and adherence to SLAs. • (HPD) Incorporate findings into the homeless set-aside process through changes to policy, procedures, training, and/or dashboard metrics and monitoring (BPI 20). • (HPD) Reassess and update marketing agent performance management standards at a regular cadence.
Critical Success Factors	• HPD resources to identify areas of needed performance measurement and improvement and conduct ongoing monitoring. • Access to information and data about process steps with increasingly high level of confidence in the data quality and completeness. • Data sharing agreements as needed for HPD to access any DHS/HRA data and information.
Corresponding BPIs	• BPI 21: Create live dashboard to support performance management • BPI 31: Improve marketing agent engagement through quarterly or semi-annual meetings
Impacted Referral Status	• Referral Made, Awaiting Pre-Screening Results • Scheduled for Eligibility Appointment • Awaiting Eligibility Screening Results • Approved, Pending Third-Party Approval • Approved, Pending Landlord Paperwork

Objective 3: Leverage smart automation to match shelter residents and units

This group of improvements is focused on using existing data sources and automation to improve the speed and accuracy of the shelter resident to unit match, which occurs in the beginning of the process. Matching based on quality and timely data helps to streamline the process downstream.

BPI 16: Implement changes to information requested on the HHA to improve downstream matching[23]

BPI Goals & Description	Improve the accuracy of the shelter resident to unit match and reduce the rework associated with unsuccessful matches.
	This BPI involves updating the HHA in HOME with additional questions and data, leveraging existing HRA data sources, and using HPS' current matching logic. HPS should work HPD Center for Research on Housing Opportunity, Mobility, and Equity to develop questions to facilitate residents sharing geographical preferences that will help them get housed successfully and meet their long-term goals (e.g., location of employment, locations of critical medical and social services, etc.).
	Below are some of the key data elements proposed to be added and their associated source:
	o Mobility and accessibility needs – this will prompt the resident and shelter provider to obtain the required disability paperwork, specifically Attachment I-2, Certification of Disability (source: self-reported)
	o Household income – this will be used to inform income for household members (source: Paperless Office System [POS]).
	o Household composition – this should be used to prefill HHA with household composition information (source: POS).
	o Shelter resident neighborhood preferences – include a weight or ranking of neighborhood preferences (source: self-reported)
	o Neighborhood constraints – include neighborhoods or borough constraints, such as restrictions due to restraining orders (source: self-reported)
	Note: In the long-term, the HHA should be considered in the future state HPD system, noted in BPI #19.
Implementation Timeline	• Medium-Term (3 – 6 months)
Complexity	• Medium

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[23] Updates in HOME are being provided for interim time-savings. In the long-term, this capability is suggested to be a requirement for the future-state HPD system.

Implementation Steps	• (HPD) HPS to work with the HPD Center for Research on Housing Opportunity, Mobility, and Equity to develop questions to facilitate residents sharing geographical preferences that will help them get housed successfully and meet their long-term goals (e.g., location of employment, locations of key medical and social services, etc.). • (DHS) Assess system capabilities for updates and integration, including the resources needed to update the HHA questionnaire in HOME and the integration requirements between HOME and identified HRA systems. • (HPD) Identify criteria needed to add to the HHA to improve downstream matching. • (DHS) Implement updates into HOME and paper based HHAs. • (DHS/HPD) Perform user testing of updated HHA in HOME and for HPD database import. • (DHS) Develop training for shelter providers on the additional data elements and facilitating conversations with shelter residents to complete the new data elements. Talking points can be provided to explain how shelter resident preferences in the HHA may impact their referral options and how likely they will be matched with housing.
Critical Success Factors	• Updated HHA questions can be piloted to a smaller group for testing and validating usability of added and changed questions. • Capacity of DHS ITS to update HHA screens within HOME to accommodate additional data elements needed. • Establish any needed data sharing agreements for the suggested system integrations and information-sharing between agencies and users. • Providing communications and training for shelter providers on additional data elements and guidance for facilitating the conversation with shelter residents.
Corresponding BPIs	• BPI 14: Conduct periodic internal desk reviews of homeless set-aside placement cases and lease ups
Impacted Referral Status	• HHA Submission • Pending ROI • Referral Made, Awaiting Pre-Screening Results • Awaiting Eligibility Screening Results

BPI 17: Improve validation of HHAs in the HPD referral pool

BPI Goals & Description	HPD HPS uses available HHA information to house shelter residents. However, due to the gap in time between when an HHA is submitted and the first match, which can be months, the HHA information becomes stale due to

changed circumstances (e.g., household identified another housing opportunity, household moved out of shelter).

To better support HPS in getting access to needed information, this BPI involves DHS and HRA establishing a daily data feed to HPD to allow HPD to create an automated daily match of HPD HHA information with the following data sources to identify shelter residents that may no longer need housing support or whose Cash Assistance, income, or household composition information changes.

- NYCHA Section 8 Housing Match – to flag HHAs of residents that have been approved for NYCHA housing. Considering the shelter resident no longer needs housing, HPD will remove their HHA from the pool (source: HRA Information Verification System)

- Shelter residency – to flag HHAs of residents that have exited shelter and therefore do not need an HPD set-aside referral or may need to resubmit an HHA (source: DHS CARES).

- Household composition – to flag HHAs of residents whose household compositions have changed, thus eliciting updated requirements for unit size. This may result in HPD requesting through DHS HRPU that the shelter resident complete a new HHA (source: DHS CARES).

- Tracking CityFHEPS submission pipeline – to flag HHAs of residents who already have an approved CityFHEPS package for a private rental apartment and are being issued checks for move-out, therefore no longer requiring a homeless set-aside unit (source: CurRENT).

- Department of Health Vital Records, "Death Match" – if a head of household is identified as being deceased, then DHS should be required to update a new HHA with the new head of household (if applicable) (source: HRA Information Verification System)

- Cash Assistance case status and income – to flag HHAs of residents whose income or CA case status have changed. These flags would provide HPD with the opportunity to change, deprioritize, or require actions on impacted residents to address issues to their recorded income or CA benefit case (source: batch file or API update from HRA through WMS).

To support the current state, HPD can use the unique identifiers across matches, SSN, DHS Case Number. Data visualization tools such as Tableau, Power BI, and QlikView can be used to compare and display different data sets effectively, as well as statistical analysis software such as SAS and SPSS can be used to identify patterns and relationships between different data sets.

In the future state, this should be considered for scope within the future state enterprise system (BPI #22).

Implementation Timeline	• Medium-Term (3 – 6 months)
Complexity	• High
Implementation Steps	• (DHS/HRA) Work with technology staff to identify an automated approach to comparing the existing HHA pool with the above data sources. Conduct IT assessment of systems' current state and future state requirements.
	• (DHS/HRA) Run daily validations of HHAs submitted against recommended data sources. Generate a daily file of updates and share with HPD.
	• (HPD) Identify appropriate current state tool for data comparison.
	• (HPD) Compare daily file of HPD HHA update information against current HHA HPD pool. Remove HHAs from the pool based on data validations.
	• (HPD) Confirm approach for removal of HHAs from the pool based on cross-referenced information with HPD legal and DHS.
	• (DHS/HPD) Evaluation and establishment of a notification and reasonable accommodations process for removal of HHAs from the pool to ensure that shelter residents are not being removed due to incorrect or outdated data.
Critical Success Factors	• Consultation with legal on removal of applicants from the referral pool.
	• Confirm accuracy of information in CurRENT to enable using a shelter resident's status as basis to remove their HHA from the pool.
Corresponding BPIs	• BPI 18: Establish an automated process for updating the HHA
Impacted Referral Status	• HHA Submission
	• Referral Made, Awaiting Pre-Screening Results

BPI 18: Establish an automated process for updating the HHA

BPI Goals & Description	Provide an interim solution for improving the accuracy of the HHA information used for the shelter resident to unit match pending HPD's long term technology objectives for the homeless set-aside placement process. Currently there is no automated mechanism for DHS to update the information in the HHA even though a household circumstance may change (e.g., change in location preference, household size, etc.) while the HHA remains pending. An HHA could be submitted and pending a match for months.

	This BPI involves leveraging HOME to create an automated mechanism for HHA updates to be captured and shared with HPD using existing HHA submission processes that support shelter resident to unit matching.
	DHS will work with the HOME developers to determine the configuration for notifications for shelter providers, as task alerts to confirm or update the HHA data elements monthly. The updated HHAs would be captured in the daily data feed already being sent from HOME to the HPS MS Access database and would not affect the age of the HHA and the resident's place in the queue.
Implementation Timeline	• Medium-Term (3 – 6 months)
Complexity	• High
Implementation Steps	• (HPD) Identify which information will require regular updates or validation, such as income, household size, neighborhood preferences, etc. • (DHS) Work with the HOME developer, to build automated requests for updates to the HHAs in HOME. This will include alerts or flag for when a change has been made in the HHA. • (DHS) Work with the HOME developer to create monthly reminders for shelter providers to validate HHA data elements or make changes as needed. • (HPD) Use a low code or no code solution to flag in the daily data feed where HHA update were made, such as through an alert or visual flag. Use the CARES ID and SSN as a unique identifier. Generate an excel file that reflects recently updated HHAs and update the HHA pool in the MS Access database as needed.
Critical Success Factors	• Scalability of HOME to accurately capture, flag, and transmit the HHA updates. • Technical resources to support updates to HOME and develop system requirements for flagging HHA updates. • Updates to the HHA information can be automated to occur monthly after HHA submission. • Communication with shelter providers around monthly validation of HHA data elements.
Corresponding BPIs	• BPI 22: Implement enterprise wide HPD placement system
Impacted Referral Status	• HHA Submission • Pending ROI • Referral Made, Awaiting Pre-Screening Results

BPI 19: Optimize shelter resident to unit matching

BPI Goals & Description	Reduce the manual nature of HPD HPS' matching process, improve accuracy of the match, and help facilitate discussions between DHS shelter providers and shelter residents on how their housing preferences and the prioritization of their housing preferences may affect their likelihood of a match with a unit in HPD HPS' pipeline. This involves creating an easy to maintain and customizable optimization tool that automates the shelter resident to unit matching.
	To support this, HPD should incorporate additional data elements into the matching logic. DHS can work with shelter residents to prioritize which search criteria and preferences are important to the resident. A configurable "Matching Support" model and algorithm is needed to optimize matching per the data elements in the HHAs, data elements of the available units, and the matching logic. Once the matching logic and shelter resident inputs are applied, a match "score" could be generated that indicates the strength of the match between the resident and the unit. This score will be included in the apartment offer, which will allow the DHS shelter resident to understand the probability that their preferences will be met given the nature of the set-aside unit pipeline
	From a DHS perspective, the tool should be used to explain to shelter residents on how their prioritization of their own preferences impacts can limit or impact access to available HPD set-aside housing. This can provide shelter residents more transparency to set expectations on move-out.
	Key outcomes of the optimized match:
	• Shelter residents will be matched to units that better meet their needs and preferences. They will see a decrease in duplicative steps associated with being referred to two or more units before finding a correct match.
	• HPS and HRPU will experience less duplicative and manual steps associated with multiple referrals and correcting for mismatches. Time and resources will be shifted to supporting more-effective matches.
	• Marketing agents will experience fewer referrals per unit and less associated administrative work when there is greater confidence in the success of the match.
	• Shelter residents will have the ability to determine matching based on their needs.
	Note: to continuously improve this match over time, HPD should start to collect more detail around reasons on the match being denied by the shelter resident.

Implementation Timeline	• Long-Term (6 – 12 months)
Complexity	• High
Implementation Steps	• (DHS/Shelter providers) Leverage the tool to inform the shelter resident on how their selections and preferences may affect their possibility for a match. Additionally, update any outreach material or resident-facing material to include information about how personal preferences/constraints may affect a match to a unit. • (HPD) Confirm matching logic and prioritization according to information elicited from the HHA and key details related to the HPD housing stock. • (HPD) Develop a configurable "Matching Support" model and algorithm to optimize matching per the data elements in the HHAs, data elements of the available units, and the matching logic. Identify data elements that would be weighted by the shelter resident to generate a score that indicates the strength of the match. The matching tool will generate a match score that indicates how closely the unit aligns with the household's needs, including composition, neighborhood preferences or restrictions, accommodation needs, and other factors. • (HPD) Establish policies based upon the strength of the match generated for each referral, including BPI 10: Implement a policy to limit the number of units a shelter resident can reject. • (HPD) Develop a feedback mechanism to obtain data on successful/unsuccessful matches and further improve the matching algorithm for continuous improvement. • (HPD) Conduct analysis on how HHA selections may impact matching outcomes. Share information with DHS for sharing with shelter residents.
Critical Success Factors	• HPD resources to develop and validate the matching logic and prioritization, with a focus on utilizing leading practices in designing this model and decisions on the shelter resident preference weights, tiers, and data elements to consider. • Resources to develop a configurable matching support model. • Implementing a matching tool that is easy to configure and maintain. • Development of outreach material and resident-facing material (such as BPI 32: Develop shelter resident homeless set-aside placement toolkit) to sufficiently inform the resident of how preferences and constraints will be utilized for a match. • Ability to track the outcome of matches for continuous improvement of the matching support model (i.e., what is working and what is not in the matching criteria and prioritization).

Corresponding BPIs	• BPI 16: Implement changes to information requested on the HHA to improve downstream matching
	• BPI 17: Improve validation of HHAs in the HPD referral pool
	• BPI 18: Establish an automated process for updating the HHA
	• BPI 22: Implement enterprise wide HPD placement system
Impacted Referral Status	• HHA Submission
	• Pending ROI

Objective 4: Increase information sharing across agencies

HPD, HDC, DHS, and HRA should increase automated information sharing through inter-agency data integrations and cross-training on systems. This will reduce duplicative work and reduce delays in waiting for information, reduce duplicative rework based on receiving delayed information and eliminate unnecessary handoffs for interdependent tasks. For HRA this data includes client-specific case information, for DHS this includes timely shelter information and for HPD this includes HHA status. This group of BPIs is focused on breaking down those organizational silos between organizations involved in the process and encouraging information sharing through direct engagement and leveraging existing technology.

BPI 20: HPD to work with DHS on planned pipeline and potential referrals

BPI Goals & Description	Accelerate lease-up by proactively sharing information with DHS about the pipeline of units for improved alignment with the HHA pool (i.e., that the pool of HHA reflects households with needs and preferences that align to HPD's pipeline supply). HPD should conduct regular reviews of existing and projected affordable housing stock and review this information with DHS HRPU. It is important to note that pipeline monitoring applies primarily to known set-aside units. Information on volunteered units should be communicated as soon as they are known.
	To support this, HPD should provide DHS an estimated number of referrals they target to receive monthly. This information should be derived by looking at planned construction planned for HPD that is likely to become available as well as leverage trends to-date. This information from HPD include information such as potential housing compositions and neighborhoods.
Implementation Timeline	• Short-Term (0 – 3 months)
Complexity	• Medium
Implementation Steps	• (HPD) Develop report that includes high-level summary of aside units available (by location, size, reasonable accommodations), and units that are planned to be available. Distribute report to DHS.

	• (HPD) Establish regular meetings with DHS HPRU to review unit pipeline and highlight currently available units that do not have referrals.
	• (HPD/DHS) Discuss process and program updates and areas of improvement (e.g., not enough HHAs, incomplete or inaccurate HHAs)
	• (DHS) Incorporate recurring office hours or Q&A sessions for shelter level staff to provide further training and education on the homeless set-aside placement process.
Critical Success Factors	• Capacity of HPD to monitor the upcoming unit pipeline and aggregate unit information for DHS on a quarterly or semi-annual basis.
Corresponding BPIs	• BPI 7: Create a golden record for property owners and units ahead of submission processes • BPI 17: Improve validation of HHAs in the HPD referral pool • BPI 21: Create live dashboard to support performance management • BPI 22: Implement enterprise-wide case management system
Impacted Referral Status	• HHA Submission • Referral Made, Awaiting Pre-Screening Results • Awaiting Eligibility Screening Results

BPI 21: Create live dashboard to support performance management

BPI Goals & Description	Leverage the work of the OMB Policy and Operations Research Task Force started and create an automated, easy to configure and maintain reporting solution to monitor the performance of the homeless set-aside placement process and provide transparency to the status of units and households. This will help HPD track performance against targets, identify process stalls, and evaluate the effectiveness of the BPIs proposed by this assessment—as well as areas for continuous process improvement. Recommended data sources include the HOME daily data feed, HPS MS Access Database, manual data entry abstracts used by the HPS unit today, and CurRENT. Due a lack of automation and technical infrastructure, most of the data used to track progress through the homeless set-aside placement process is manually recorded in an MS Access database. With limited data, it is difficult to measure current performance against future targets.
Implementation Timeline	• Medium-Term (3 – 6 months)
Complexity	• High

Implementation Steps	• (HDC/HPD) Work with Inter-Agency Task Force to identify key data elements to track in the dashboard. - The referral statuses developed by the OMB Policy and Operations Research Task Force that have been used for this evaluation so far should serve as the starting point. • (HDC/HPD) Business users to identify key business needs for the dashboard (e.g., ability to generate reports, access permissions, access for multiple City agency users). • (HDC/HPD/HRA) Assess for data sharing with HOME and CurRENT and data sharing agreements that need to be established. Since HPD already has access to CurRENT and receives data from HOME new agreements may not be needed. • (HDC/HPD) Work with technical resources (external or internal City resources) to identify reporting solution for the dashboard creation. • (HDC/HPD/HRA/DHS) Conduct regular performance management discussions using dashboard and reports generated. Identify areas of improvement in operations. Consider reviewing during the Inter-Agency Task Force.
Critical Success Factors	• Resources available to complete dashboard configuration. • Improving underlying data collection protocols to improve quality of data feeding the dashboard. • Access to data in an automated/partially automated fashion to have up-to-date information. This may include new data sharing agreements.
Corresponding BPIs	• N/A
Impacted Referral Status	• All statuses

BPI 22: Implement enterprise wide HPD placement system

BPI Goals & Description	Implement an enterprise wide HPD placement system to modernize and automate the homeless set-aside placement process. This solution would help provide end-to-end support to the homeless set-aside process, transforming the process from one that is manual with multiple handoffs and siloed information to one that is automated, streamlined, and consolidates access to information based on user roles. Below are a few key components identified for this system throughout the evaluation: o Shelter resident interface and self-service portal, specifically supporting HHA referral and submission. There are several BPIs

	identified that speak to changes needed to the HHA including integration of information and changes to HHA information collected. Given the HHA is an intake for HPD but currently resides in the DHS system HOME, implementing changes is dependent on DHS capacity. In the future state, HPD should consider housing the HHA submission process in their HPD system directly. This will allow HPD to have more ready access to data and control any HHA changes needed.
	
	   o HPD Set-Aside Case Management and Asset management – can support managing units and facilitating the matching process.
	
	   o Marketing agent portal – virtual portal to engage with marketing agents and provide them needed transparency throughout the process. This can include engagement with other stakeholders, such as DHS and HRA agencies, and shelter residents. This should leverage integration with Housing Connect.
	
	   o Shelter resident to unit matching – streamlines process to align a shelter resident with available housing stock.
	
	   o Administrative modules (e.g., compliance, audit, and reporting function)
	
	Below are the appendices that could be helpful for the planning of the Future HPD Placement System.
	
	• Appendix B: Future HPS Placement system considerations
	• Appendix F: Homeless set-aside placement future state systems diagram
	• Appendix I: Future state homeless set-aside placement context model
	• Appendix J: Homeless set-aside placement core functions

Implementation Timeline	• Long-Term (6 – 12 months)
Complexity	• High

Implementation Steps	• (HPD/DHS/HRA/HDC) Begin to implement process changes to achieve the desired future state homeless set-aside placement process.
	
	• (HPD) Review unit data elements and identify any updates needed to correspond to additional data elements being collected on the HHA related to borough preferences and constraints.
	
	• (HPD) Identify confirm different modules and persona who would use the future state system. Develop use cases for personas. Personas to include:
	
	   o Asset management
	
	   o Marketing agent
	
	   o Shelter resident

	o Shelter provider
	o HPD and HPS teams
	• (HPD) Develop technical requirements and integrations needed for the future state case system leveraging the system diagram found in Appendix F: Homeless set-aside placement future state systems diagram. Consider not only current integrations but desired integrations that would improve the process.
	• (HPD) Identify solution easy to configure for the homeless set-aside placement process and case management needs.
	• (HPD) Identify technical resources to support configuration of the solution.
Critical Success Factors	• Implementation of BPIs from homeless set-aside evaluation to achieve desired future state process.
	• Technical resources to support configuration of a low code/no code solution to HPD HPS needs.
	• Engagement with business stakeholders throughout the design and configuration of the Future HPD Placement System.
	• Engagement with other process participants – marketing agents, shelter residents, HDC, DHS, HRA – on Future HPD Placement System needs.
Corresponding BPIs	• BPI 1: Consolidate resident-specific documentation asks at HHA submission
	• BPI 2: Create a universal ROI consent form and complete with HHA submission
	• BPI 3: Remove third-party reviews as a dependency to lease up
	• BPI 4: Update HPD policies to remove credit and criminal background checks during the pre-screening process
	• BPI 5: Remove the LIHTC eligibility appointment from the LIHTC eligibility determination process
	• BPI 6: Establish a cloud-based document storage solution to reduce handoffs
	• BPI 7: Create a golden record for property owners and units ahead of submission processes
	• BPI 9: Document and enforce a LIHTC document submission timeline for shelter residents
	• BPI 12: Implement a process step and timeframe for obtaining resident acceptance/rejection of a unit
	• BPI 16: Implement changes to information requested on the HHA to improve downstream matching
	• BPI 21: Create live dashboard to support performance management

Impacted Referral Status	• All statuses

Objective 5: Reduce delays through policy alignment and increased resources

The longest part of the overall HPD set-side process is the "Approved Pending Subsidy Processing" status, which is completed by DHS and HRA. This is due to various challenges in the CityFHEPS and CA eligibility process. This group of improvements is focused on addressing the delays in the process.

As detailed in our current state findings, challenges in these programs are due in large part to rising caseloads, as well as other various organizational processes and procedural constraints. According to the most recent Mayor's Management Report (MMR), the number of CA cases has increased 39.4% in the first four months of the City's fiscal year 2023 compared to the same period in the previous year (156,700 in 2023 compared to 112,400 in 2022).[24] Additionally, the timeliness rate for processing CA cases has dropped during the same timeframe from FY2022 to FY2023 by 34.6 percentage points (from 89.6% in 2022 to 55.0% in 2023). Based on OMB Policy and Operations Research Task Force data analysis, the processing of the CityFHEPS subsidy, which is the "Approved, Pending Subsidy Processing" step is the longest in the homeless set-aside placement process and takes 44 days (median). As mentioned in the stated key findings, resolving CA actions is performed by the CBT unit within HRA FIA.

Future state BPIs on CA processes should be implemented according to DHS case type and CA status. DHS case types play a large role in the type of CA case that is assigned due to criteria around income and household composition. The below table summarizes the different DHS case types and CA status' and which BPIs are aligned to them. The proposed BPIs address some of the challenges of aligning the CA and CityFHEPS programs. For all cases without income, the role and work of the final CityFHEPS approval will shift from HRA HPA to DHS HRPU. For all cases with income in an AC or SI Cash Assistance case, the most recent income validation can be used for the CityFHEPS program. For all cases adding a new adult household member, the in-person interview will be waived. Lastly, for single adults and adult families, who are more likely to have an SI case, the SI case will be kept open longer and HRA will have a longer timeframe to decide as needed:

Income Status, Change Needed	CA Status	Today's Process	Proposed Change
Families with Children Cases			
Without income	*Active CA Case (Ongoing)*	HRPU to send to HRA for approval	HRPU approves the CityFHEPS voucher.
With income	*Active CA Case (Ongoing)*	HRA to request last 30 days of income to quality for CityFHEPS, changes in income over $100 directed to CBT / FIA for resolution.	HRA to use income identified within CA case as current income to quality for CityFHEPS.
New adult household member without income	*Active CA Case (Ongoing)*	- HRA to request last 30 days of income to quality for CityFHEPS, changes in income over $100 directed to CBT / FIA for resolution. - New household member to have an interview for employment plan (EP)	Waive in-person employment plan (EP) interview requirement for individuals without income
Adult Families and Single Adults			

Income Status, Change Needed	CA Status	Today's Process	Proposed Change
Without income	*SI Status / Active CA Case*	HRPU to send to HRA for approval	HRPU approves the CityFHEPS voucher.
With income	*SI Status / Active CA Case (less common)*	DSS to request last 30 days of income to qualify for CityFHEPS, changes in income over $100 directed to CBT / FIA for resolution.	HRA to use income identified within CA case as current income to quality for CityFHEPS. Keep SI case open longer if awaiting CityFHEPS processing. Seek waiver to allow for a longer timeframe to make a SI determination.
New adult household member without income	*SI Status / Active CA Case*	- HRA to request last 30 days of income to quality for CityFHEPS, changes in income over $100 directed to CBT / FIA for resolution. - New household member to have an interview for employment plan (EP)	Waive in-person EP plan interview requirement for individuals without income

BPI 23: Increase staffing within Centralized Budget Team with "New Needs" request

BPI Goals & Description	For a shelter resident to be eligibility for CityFHEPS they need to have a CA case, either Active or in SI status. CA determination for shelter residents is handled by HRA CBT and these activities can take several days to weeks to complete. CBT currently does not have sufficient resources to meet the needed workload, with only 3 full-time employees. To address this, HRA should align CBT resourcing with current Cash Assistance caseloads to reduce impact to lease up time. HRA will need to submit a "new needs" request for addition CBT staffing as part of the November plan. The "Pending Subsidy Processing" step in the homeless set-aside process involves various sub-steps conducted by HRA to process the CityFHEPS packet submission. One of these sub-steps is the review and rebudgeting of public assistance benefits (e.g., CA, SNAP, etc.,) after the shelter resident has submitted updated proof of income. The rebudgeting for HPD referrals is completed by the HRA CBT and occurs when the household has been identified as having on open CA and/or SNAP case with previously reported income that does not match what is being submitted at the time of the CityFHEPS application. The increase in the timeframe required to complete the rebudgeting is in stark contrast to a previously achievable turn-around time of 42 to 72 hours.
Implementation Timeline	• Short-Term (0 – 3 months)
Complexity	• Low

Implementation Steps	• (HRA) Identify resource needs for the CBT team to meet target times and reduce backlogs in rebudgeting. • (HRA) Prepare new needs request for the November plan. Submit to OMB.
Critical Success Factors	• OMB approval of the new needs request.
Corresponding BPIs	• N/A
Impacted Referral Status	• Approved, pending subsidy processing

BPI 24: Confirm alignment on keeping cases open past 30 days

BPI Goals & Description	Reduce disruptions to the homeless set-aside placement process and subsidy processing that are caused by State rules for CA. HRA needs to seek a waiver or approval from OTDA that would allow the SI case to be open for over 30 days without any State audit findings against HRA. The homeless set-aside placement process can possibly extend beyond 30 days, especially when a shelter resident is matched to a LIHTC unit, and the 30-day limitation on the SI case creates a difficult timeline to meet and resolving SI case closures can prolong the lease up. This BPI will allow DHS the opportunity to continue to work with the client without running the risk that the SI case will need to re-open, it will reduce CBT backlog for having to reopen the case and it will mitigate HRA concerns on not sufficiently meeting audit needs.
Implementation Timeline	• Short-Term (0 – 3 months)
Complexity	• Medium
Implementation Steps	• (HRA) Confirm with HRA legal team on process to obtain OTDA approval to keep SI cases (used for housing vouchers) "active" for a longer timeframe and to allow for additional time to deliberate an SI case, if needed.
Critical Success Factors	• Alignment on SI case policy for case actions, and determination of point of "shelter resident ready to move out".
Corresponding BPIs	• BPI 23: Increase staffing within CBT unit with "New Needs" request • BPI 29: Leverage NYS integrated eligibly system modernization to eliminate system workarounds

Impacted Referral Status	• Approved, pending subsidy processing

BPI 25: DHS should initiate CA case changes when a shelter resident accepts a unit

BPI Goals & Description	Reduce delays during the CityFHEPS subsidy processing step (currently 44 days) that are associated with corrections to the CA case or opening the CA case which is a time-consuming process. DHS should initiate CA case changes the moment a shelter resident accepts a unit to remove this from the critical path for lease-up. Currently, DHS does not have a consistent approach for when it reviews the Cash Assistance case and initiates a CA case or makes CA case changes for individuals going through the homeless housing set-aside placement process. With the removal of pre-screening,[25] it is not necessary for DHS to wait until marketing agent pre-screening results are received for non-LIHTC units. While LIHTC eligibility screenings may result in a shelter resident not being selected, the opening or updating of the CA case should still be initiated by DHS at the time the shelter resident accepts the unit given the length of time LIHTC reviews can take. Establishing a clear point in time for when DHS would initiate any needed CA case changes will help streamline CA case creation and, therefore, reduce the CityFHEPS subsidy processing steps.
Implementation Timeline	• Medium-Term (3 – 6 months)
Complexity	• Low
Implementation Steps	• (DHS) Implement policy and procedural changes to initiate CA case changes when a shelter resident accepts a unit. Provide training and support to DHS staff on changes.
Critical Success Factors	• For non-LIHTC units, this is dependent on the "shelter resident acceptance" to be the last point in decision-making for the success of the referral.
Corresponding BPIs	• BPI 12: Implement a process step and timeframe for obtaining resident acceptance/rejection of unit • BPI 23: Increase staffing within CBT unit with "New Needs" request

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[25] The removal of the credit check component of the pre-screening is under review and near implementation by HPD at the time of this evaluation. The removal of the criminal background check as part of the pre-screening is recommended in this evaluation and detailed in BPI 4: Eliminate the pre-screening process for credit and criminal background checks.

	• BPI 28: HRA to waive 30-day CityFHEPS income requirement for Active Cash Assistance and Single Issuance cases with income
Impacted Referral Status	• Approved, pending subsidy processing

BPI 26: Consolidate all DHS CA case management activities under HRPU

BPI Goals & Description	HRPU should consolidate activities for CA to eliminate handoffs among DHS business units. To do this, HRPU own all CA case revisions for all household types. Currently, DHS has different business units who support resolving case assistance cases by household type - HRPU supports resolving shelter cases for DHS FWC cases, while OAS at DHS resolves Single Adult (SA) and Adult Family (AF) cases. From available data within the HPD tracker, SA and AF cases traditionally take longer to go through the CBT process. One of the key reasons for this delay is the need for OAS to navigate with HRPU for different documents and needed activities. For example, OAS needs to request shopping letters from HRPU to support CityFHEPS submissions, and HRPU must any potential placements from HPD to OAS. The organizational structure and separation of CA cases by household type appears to be a historical practice. Since both HRPU and OAS units use the same processes and technology to support the CA case, and HRPU regularly engages with shelter providers and HPD for FWC cases, HRPU should take on management of all shelter type cases. This will allow for better oversight, standardized processes, and reduced handoffs.
Implementation Timeline	• Medium-Term (3 – 6 months)
Complexity	• Medium
Implementation Steps	• (DHS) Confirm HRPU capacity to take on additional workload. • (DHS) Mention to other stakeholders on change in assignment.
Critical Success Factors	• Capacity and training of HRPU staff to take on additional caseload.
Corresponding BPIs	• BPI 25: DHS should initiate any needed CA case changes when a shelter resident accepts a unit • BPI 27: DHS to approve CityFHEPS for cases that are Active or in Single Issuance status that do not have income

	• BPI 29: DSS to leverage NYC integrated eligibility system modernization to eliminate system workaround
Impacted Referral Status	• Approved, Pending Subsidy Processing

BPI 27: DHS to approve CityFHEPS for cases that are in Active or Single Issuance status that do not have income

BPI Goals & Description	DSS can reduce hand-offs in the CityFHEPS voucher process by having HRPU make the final approval of CityFHEPS cases instead of HRA, specifically those who have Active or SI cases without income. By having HRPU take on this eligibility approval function, approval steps between HRPU and HRA will be eliminated. HRPU currently has the same level of information as HRA to the needed systems to execute needed tasks by validate a client has no income, specifically TALX, WMS and CurRENT. Additionally, single adults and adult family cases are often the most complex, and often result in an SI status. If there are issues with the CA case identified, HRPU handling this function will eliminate the back and forth with HRA and allow HRPU to foster the client through existing CBT HRA processes more quickly. Last, current state processes for varying levels of approvals were implemented previously to mitigate issues with manual paper-based processes, limited access to enterprise-wide standardized tools that leveraged existing client and unit information, and a higher need of quality assurance and oversight. Given the agency has made several efforts in consolidating tools across HRA and DHS and implementing modernized platforms throughout the rental application process, the need for the existing review processes can be redundant. The approach was piloted by HRPU during Sprint 2023 with positive feedback. There is less validation and review work needed to approve Cash Assistance cases that are in Active or SI status and do not have income. The key step involves confirming that the shelter resident does not have income known to any existing HRA sources, such as TALX and IVS.
Implementation Timeline	• Long-Term (6 – 12 months)
Complexity	• Low
Implementation Steps	• (DHS) Identify needed resources to support HRPU approval of CityFHEPS voucher. • (DHS) Develop transition plan to account for hiring and training of additional resources.

Critical Success Factors	• HRPU capacity to support eligibility review and approval for non-income cases.
Corresponding BPIs	• BPI 23: Increase staffing within CBT unit with "New Needs" request • BPI 25: DHS should initiate any needed CA case changes when a shelter resident accepts a unit • BPI 26: Consolidate resident-specific Cash Assistance processes across populations • BPI 28: HRA to waive 30-day CityFHEPS income requirement for Active Cash Assistance and Single Issuance cases with income • BPI 29: DSS to leverage NYC integrated eligibility system modernization to eliminate system workaround
Impacted Referral Status	• Approved, pending subsidy processing

BPI 28: HRA to waive 30-day CityFHEPS income requirement for Active Cash Assistance and Single Issuance cases with income

BPI Goals & Description	The current CityFHEPS rule requires employment verification at the time of the CityFHEPS application, irrespective of the employment income available on the CA case .[26] This creates delays in processing by duplicative client asks as well as additional workload for CBT, an understaffed unit. This BPI recommends that for household with an active CA case, the previously collected and verified employment income can serve as an alternative to requesting proof of employment income again at the time of CityFHEPS packet submission. To help detail the nuances to this BPI, the below is identified by Current State Processes and BPI Details. **Current State Processes:** • HRA adds additional burden on these households to verify their income unnecessarily and in excess over their regular cadence of every six months and other self-reported changes to income. In addition, this recommendation will more closely align the CityFHEPS practice with the U.S. Department of Housing and Urban Development (HUD), which does not have a direct tie between the income verification for rental assistance and the income verification for other types of public assistance (i.e., CA, SNAP, etc.). • *CA Processes*: Currently, HRA verifies employment to open for all clients who are requesting a CA case. For recipients with an "Active" CA case, these cases are open for 6 months until a recertification is needed. For

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[26] City of New York Rules. (2023, June 28). *Emergency rule amending the CityFHEPS rules.* Retrieved from https://rules.cityofnewyork.us/rule/emergency-rule-amending-the-cityfheps-rules/

recipients with a "Single Issuance" (SI) case, the case can be open for 30 days (exception are cases where a client is moving out, further detailed in BPI #27). During the time a client has an open CA case, CA recipients have an obligation to report any changes in household composition or income to HRA within 10 days – a responsibility that is made clear when the recipient applies for CA or recertifies for ongoing CA. If a change is reported, HRA is obligated to determine whether a "case change" is needed to the client's CA case. For example, based on new information a client may no longer be eligible for ongoing CA.

- *CityFHEPS Processes:* For CityFHEPS, a shelter resident must have an open CA case either in Active or SI status to be eligible. This means that at the time the CityFHEPS is being approved the shelter resident has already been expected to adhere to the case change guidance for CA described above. Despite this, CityFHEPS rule requires income verification to occur again and updated information to be provided from within the past 30 days. While this information is being provided to support the CityFHEPS eligibility, upon receipt of the documentation HRA is also obligated to review the information provided and determine whether a case change is needed to the CA case. If a case change is needed, the CA case needs to be rebudgeted, and is identified for CBT team processing. Based on current CA guidance, the only exception to rebudgeting due to the new income provided is if the income change is under $100.

- *Current State Rational for Rechecking Income:* HRA and DHS have been historically concerned in recommending the removing of income validation. This review is seen to maximize benefits for the client before they leave DHS shelter to minimize the risk that the client returns to shelter. Specifically, if the client was not compliant with case change guidance and their income went down, their calculated household share rent may be larger than they can realistically afford to pay. This additional income verification allows HRA to validate this on behalf of the client. This is seen as highly critical for adult cases (AF and SA), as those cases are typically on SI and traditionally the employment income is more likely to change given the nature of the employment these populations typically have access to.

Business Process Improvement Detail:

- Given shelter clients are already expected to adhere to case change rule with open CA cases, HRA should leverage the employment income from the CA case for the application and not ask the client to provide additional documentation.

- To mitigate potentially not maximizing the client share, DHS and DHS providers should work with shelter residents to understand the need to update their CA case and provide additional resources to support the shelter resident. Specifically, at the time the client accepts a unit, DHS providers should make the client aware that any delays in their reporting will impact a timely moveout from shelter.

	• To allow for transparency to the shelter resident, the resident's shelter provider should review the household share letter before their move out of shelter to confirm that the resident understands their rent portion and how changes in income and benefits may lower or raise their share of the rent.
Implementation Timeline	• Long-Term (6 – 12 months)
Complexity	• Medium
Implementation Steps	• (HRA) Consider procedure change to CityFHEPS eligibility, specifically remove the need to validate income for CA clients with an open case in Active or SI status. To start this, engage HRA legal and NYC Law Department as appropriate to conduct review of legal of legal landscape and consider interaction with OTDA requirements for other types of public assistance (SNAP, CA, etc.). • (HRA) Follow agency rulemaking process to amend the current CityFHEPS rules with the determined language changes. • (HRA) Update agency policies and procedures to implement CityFHEPS rule amendment that will no longer require the re-checking of income for households with active CA cases. • (HRA/DHS) Update and develop training and tools for shelter providers and shelter residents to understand policy changes and reinforce their responsibility to report changes in income as required at any time, within 10 days of a significant change in income.
Critical Success Factors	• Adequate training and support to shelter providers who will be responsible for providing information to shelter residents. • Capacity, tools, and resources to alert the shelter resident of the need to update their CA case. This involves shelter provider capacity to review the household share letter with the resident, including explanation of the tenant's portion of the rent and how changes in income and benefits may lower or raise the tenant's share. • Capacity, tools, and resources for shelter providers to review with the resident the additional eviction prevention and arrears assistance resources available if they fall behind on their rent, as well as their tenant rights.
Corresponding BPIs	• BPI 25: DHS should initiate any needed CA case changes when a shelter resident accepts a unit • BPI 26: Consolidate resident-specific Cash Assistance processes across populations

	• BPI 29: DSS to leverage NYC integrated eligibility system modernization to eliminate system workaround
Impacted Referral Status	• Approved, pending subsidy processing

BPI 29: DSS to leverage NYS integrated eligibility system modernization to eliminate system workarounds

BPI Goals & Description	DSS is a primary stakeholder in OTDA's replacement of their legacy WMS platform, known as the IES project. Given the additional scope and flexibility IES will offer across programs, this can offer improvement to various DSS current-state capabilities, including the management of CA caseloads. Given DSS will be an active participant in IES requirements and design sessions, they should identify requirements that will support the HPD set-aside process as it relates to CA eligibility.

Below are two key requirements to consider that were captured- during this evaluation:

- **Allow for concurrent CA case changes**: DSS should communicate the need for concurrent case actions in IES. Currently, if a CA case has a "pending action" that is needing to be completed (e.g., re-certification), any additional changes to the CA case must take place after the current case change has been completed. This restriction is not due to policy, but rather due to the lack of scalability within WMS. Given these case changes can related to actions and activities that occur outside CBT team, CBT has no way to expedite these case actions. Given this, CBT will have an inevitable backlog of case actions that will need to be performed to support DHS move-out cases.

- **Managing and differentiating DHS CA workloads:** Currently, CA case changes are not differentiated between DHS shelter clients or non-DHS cases, and instead manages all cases as one large backlog.

  - *CBT and DHS manual workloads* – CBT and DHS must use SharePoint to identify DHS cases, allowing for CBT to prioritize them for case action. Removing this administrative burden by labeling DHS cases can free up CBT capacity.

  - *Keeping SI cases open post 30 days* – When a client is moving out, an SI case may be open beyond 30 days despite HRA case action (additional information in BPI #24). These cases can often close in error as they are not clearly identified or labeled within POS and not captured in the CBT SharePoint. Labeling them will make it easier to extend these cases, and more easily allow HRA the ability to explain to oversight entities as to why the SI case was extended.

	• *Improved reporting* – For SI cases, this makes it challenging to identify and report out on DHS cases that were extended beyond the expected 30 days.
Implementation Timeline	• Long-Term (6 – 12 months)
Complexity	• High
Implementation Steps	• (DSS) Document requirements for future IES solution
Critical Success Factors	• Identification of requirements for IES.
Corresponding BPIs	• N/A
Impacted Referral Status	• Approved, Pending Subsidy Processing

BPI 30: Pursue approval for phone interviews for active CA cases

BPI Goals & Description	Pursue approval to conduct "add-an-adult case interviews" via phone instead of in person. Currently a key part of the backlog for CA cases are household with a CA case, where a new household member is reported. When this occurs, a case change needs to be reported to FIA CBT, and an interview must occur with the new household. HRA has a long-term plan to enable on demand interviews for Cash Assistance recipients.
Implementation Timeline	• Long-Term (6 – 12 months)
Complexity	• Medium
Implementation Steps	• (HRA) Engage HRA Legal and the NYC Law Department, as needed, to assess details of requested waiver for in-person interviews. • (HRA) assess FIA capacity to manage Employment Plan interview through phone interviews.

Critical Success Factors	• FIA capacity to manage Employment Plan interview through phone interviews.
Corresponding BPIs	• BPI 23: Increase staffing within CBT unit with "New Needs" request • BPI 25: DHS should initiate any needed CA case changes when a shelter resident accepts a unit
Impacted Referral Status	• Approved, Pending Subsidy Processing

Objective 6: Improve Shelter Resident and Marketing Agent Engagement

This key concept consists of a group of improvements that outlines strategies for improving stakeholder understanding and navigation of the homeless set-aside placement process.

BPI 31: Improve marketing agent engagement through quarterly or semi-annual meetings

BPI Goals & Description	Improve marketing agent performance and compliance with the homeless set-aside placement process by helping HPD shift their engagement methods from announcements and compliance to an ongoing focus on building effective partnerships.
	Enhance marketing agent engagement through the establishing of quarterly meetings with agents, similar to DHS leadership monthly meetings with shelter providers. Below are possible topics of discussion and engagement during the meetings with marketing agents:
	• Improvement and Feedback – Provide marketing agents with a forum to discuss challenges, lessons learned, best practices. Creating an open space for dialogue can and increase marketing agent efficiency and retention and allow agents an opportunity to discuss areas in which they believe could benefit from process improvements.
	• Review and Analyze Performance – Share metrics with marketing agents related to lease-up. This can inspire and motivate marketing agents to continue to work with HPD and see how they are rated against their peers.
	• Communicate Updates and Future Enhancements – Share with marketing agents details regarding policy changes or planned improvements within the agency.
	Marketing agent engagement would be coordinated through a collaboration between HPD Marketing, to drive compliance and training, and HPS to serve as a forward-facing touchpoint for performance discussions, questions, and program updates.
Implementation Timeline	• Short-Term (0 – 3 months)
Complexity	• Low
Implementation Steps	• (HPD) Identify engagement meeting attendees and schedule marketing agent quarterly meeting.
	• (HPD) Establish agendas and elicit feedback from marketing agents on agenda topics.

	• (HPD) Generate reports on marketing agent performance leveraging OMB Policy and Operations Research Task Force data as a starting point. Share metrics with marketing agents related to lease-up and details related to demand for housing and potential future demands. • (HPD) Assess cadence to determine the appropriate frequency for most beneficial meetings with marketing agents.
Critical Success Factors	• Capacity of HPD to plan for and facilitate discussions. Ability to follow through on ideas presented in engagement discussions. • Establishing key performance metrics for marketing agent performance. • Availability of and accuracy of data on marketing agent performance.
Corresponding BPIs	• N/A
Impacted Referral Status	• Referral Made, Awaiting Pre-Screening Results • Scheduled for Eligibility Appointment • Awaiting Eligibility Screening Results • Pending Documents • Accepted, Pending Third-Party Approval • Approved, Pending Landlord Paperwork • Approved, Pending Subsidy Processing • Approved, Pending Lease Signing

BPI 32: Develop shelter resident homeless set-aside placement process toolkit

BPI Goals & Description	The homeless set-aside placement program is currently the second largest program for people living in NYC DHS shelter to exit into long-term housing yet there is no information publicly available to shelter residents providing an end- to-end view of the process and what is expected of their participation. The goal of this BPI is to support shelter resident experience and ability to meet program requirements as efficiently as possible by developing an easily available online toolkit (with process overview, guidance, policies, FAQs, key points of contact, etc.). The toolkit should be developed by DHS in collaboration with HPD and HRA. The toolkit could be expanded to educate shelter residents on all the different types of rental assistance and housing support programs available and help shelter residents make informed choices on participating in these programs and which one may be best for the resident and their family.

Implementation Timeline	• Short-Term (0 – 3 months)
Complexity	• Medium

Implementation Steps	• (HPD/HDC/DHS) Develop clear understanding of shelter resident journey to understand their process, barriers, and experience in the homeless set-aside placement program, documenting program expectations, responsibilities, and policies applicable to the resident.
	
	• (DHS/HPD) Develop a communication plan to engage shelter residents through a targeted rollout of the outreach and information material, including informing shelter residents of how they can access these materials, integrating into the shelter intake and case management process, and overall information-sharing plan for the city (i.e., 3-1-1).
	
	• (DHS/HPD) Draft communication material with human-centered design principles. Communications material to address program expectations and shelter resident rights and responsibilities for a variety of learning styles and needs:
	
	  - Webpage – for shelter residents with access to WiFi to be able to quickly perform an internet search and find relevant program information (i.e., program details, process, and expectations). Design with compatibility with mobile devices and tablets.
	
	  - Paper Toolkit (including FAQs and infographics) – for shelter residents that require or prefer a paper printout with program information (i.e., program details, process, and expectations). Make available at DHS shelters.
	
	  - Video – for shelter residents that require or prefer a visual and audio review of the program information (i.e., program details, process, and expectations).
	
	  - All communications should be written/scripted in plain-language English, as well as translated in NYC's designated city-wide languages established by Local Law 30.
	
	  - All communications should be compliant with the ADA and other local accessibility requirements for visual- and hearing-impaired individuals.
	
	• (DHS/HPD) Incorporate any shelter resident-specific policies, including those identified in BPI 5: Remove the LIHTC eligibility appointment from the LIHTC eligibility determination process, BPI 9: Document and enforce a LIHTC document submission timeline for shelter residents, and BPI 12: Implement a process step and timeframe for obtaining resident acceptance/rejection of unit.
	
	• (HPD) Draft a plain-language checklist listing various examples of documents that will or may be requested during this process, specifically

	for LIHTC. Clarify what will be required and what may be requested if applicable.
	• (DHS/HPD) Develop a plan to train shelter providers on how and when to communicate these outreach materials to shelter residents and how to contact HPD with questions and concerns. Develop a retraining plan to account for staff turnover/attrition and program changes.
Critical Success Factors	• Detailed understanding of the shelter resident's experience throughout the process, including pre-referral intake, documentation gathering, and HHA submission, as well as common barriers for successful move in
	• DHS and HPD collaboration in the development of the toolkit and establishing a communication plan for the dispersion of information and training of shelter providers. Furthermore, coordinate with other city, state, and federal agencies to produce a complete, informative, and accessible document and other resources.
	• Adequate training and support to shelter providers who will be responsible for providing information to shelter residents and answering
	• Regular re-training as staff turnover/attrition and program changes occurs.
Corresponding BPIs	• BPI 9: Document and enforce a LIHTC document submission timeline for shelter residents
	• BPI 10: Implement a policy to limit number of units a shelter residents can reject
	• BPI 11: Provide clear and consistent unit information to shelter residents at the time of resident to unit match
	• BPI 12: Implement a process step and timeframe for obtaining resident acceptance/rejection of unit
Impacted Referral Status	• HHA Submission
	• Pending ROI
	• Pending Documents
	• Approved, Pending Subsidy Processing

Appendices

Appendix A: Homeless set-aside process statuses summary

HPD HPS tracks ten (10) steps or referral statuses for the homeless set-aside placement process. This evaluation was structured to provide current state findings and BPIs for each status with a cumulative impact of reducing the time of the lease-up process from 19 to 10 weeks.

The current state times for completing these steps were based upon data retrieved from the HPD HPS MS Access database and analyzed by the OMB Policy and Operations Research Task Force. HRA did not distribute the data in CurRENT needed to identify and measure the time to complete additional milestones related to subsidy processing.

The referral statuses are listed and defined below:

Journey Mapping Phase	HPD Status	Description
Initial HPD Referral	N/A	The shelter resident completes HPD's HHA to be matched with a homeless set-aside unit. The application is completed in the DHS system HOME and submitted to HPS. Conclusion point: HHA is submitted in HOME, reviewed by HRPU. The HHA information is transmitted to the HPS MS Access database.
Shelter resident Unit Matching	Pending ROI	The shelter resident has been matched to a unit and HPS is awaiting return of a ROI and vital shelter resident-specific documentation (photo ID, social security cards, and birth certificates, for children) from shelter on behalf of the shelter resident. The ROI is specific to each marketing agent and provides consent from the shelter resident to the marketing agent to complete a credit and background check for the unit Conclusion point: HPS receives completed ROI and vital documentation.
Lease-up	Referral Made, Awaiting Pre-Screening Results	Pending the marketing agent's completion of the background check for the shelter resident, which includes a criminal background check and credit check. Conclusion point: Screening Results Form received by HPS from the marketing agent/sponsor. Results are shared by HPS with the HRPU. If rejected, HHA is sent back to the pool of open HHAs awaiting a match.
	Scheduled for Eligibility Appointment – *LIHTC units only*	The shelter resident has passed pre-screening by the marketing agents and is scheduled for a virtual eligibility appointment. Conclusion point: Shelter resident has received HPS Eligibility Appointment Letter with information about appointment and LIHTC documentation checklist.
	Awaiting Eligibility Screening Results – *LIHTC units only*	The eligibility appointment occurred and HPS is waiting for the marketing agent to return screening results indicating whether the shelter resident was approved for the unit.

Journey Mapping Phase	HPD Status	Description
		Conclusion point: Screening Results Form are sent to HPS from marketing agent/sponsor. Results are shared with HRPU, shelter worker, and the shelter resident.
	Pending Documents – *LIHTC units only*	The shelter resident reported to the interview either without all required shelter resident-specific documentation or the marketing agent has requested shelter resident-specific documentation from the shelter resident following the interview. Conclusion point: Marketing agent/sponsor receives the pending documents.
	Accepted, Pending Third-Party Approval	The marketing agent/sponsor accepted the shelter resident for the unit but needs to submit applicant income for third-party approval either by HDC, a hired third-party, or the syndicator. Conclusion point: Marketing agent and HPS receives the third-party approval from the third-party reviewer, HDC, or the syndicator.
	Approved, Pending Landlord Paperwork	The marketing agent/sponsor approved the shelter resident for the unit and needs to submit subsidy paperwork, letter confirming rent for unit, and request for HRA checks. Conclusion point: Marketing agent/sponsor submits the landlord subsidy paperwork to HPS.
Voucher Issuance	**Approved, Pending Subsidy Processing**	HPS submits the subsidy paperwork to HRPU to be reviewed and submitted for review and approval to HRA via CurRENT. Conclusion point: Subsidy packet is reviewed and approved by HRA.
Resident Move Out	**Approved, Pending Lease Signing**	After the check HRA has been issued to the landlord, the shelter resident signs the lease, and the marketing agent/sponsor forwards the lease to HPS. Shelter resident move-out is confirmed in CARES and other systems. Conclusion point: Shelter resident signs lease and moves into unit.

Appendix B: Future HPD Placement system considerations

The following capabilities have been identified during this evaluation that would support the automation of the process improvements that have been identified. This is not meant to be an exhaustive list of system requirements but could be leveraged along with Appendix F: Homeless set-aside placement future state systems diagram when HPD is developing the enterprise housing solution.

Future HPD Placement System Consideration
System should have the ability to receive and send information to HRA CurRENT for the creation of the landlord record. System should also have the capability to store and update landlord paperwork (e.g., W-9, proof of ownership, voucher forms)
System should have the ability to receive information related to pre-clearance and inspection and associate to existing HPD set-aside housing units.
System should integrate with DHS/HPD systems that hold inspection/pre-clearance information.
System should allow the marketing agent to electronically submit information needed to make unit available for HPS referrals and have transparency to see where the units are within the marketing and lease-up process.
System should integrate with eRent Roll and Housing Connect and alert marketing agent and HPS of activities needed to support bringing new homeless set-aside units online.
System to include integrations with the HRA Information Verification System for NYCHA Section 8
System to include integrations with DHS CARES to confirm if shelter residents have left shelter.
System to include integrations with CurRENT to confirm if shelter residents have submitted a CityFHEPS subsidy package and if their package has been approved, or the most updated status of the application.
System to include integrations with the HRA Information Verification System to cross-reference the Department of Health Vital Records, "Death Match."
System should include a portal for a marketing agent to provide all needed documentation that will be requested for inspection, pre-clearance, voucher processing, and lease-up.
System should enable marketing agent activities currently occurring on Housing Connect to future state HPD System.
System should enable workflow to remove applicants from HHA pool based on integrations mentioned and send alert to DHS via HOME on HHA removal.
System should be able to generate unit pipeline reports and forecasting.
System should be able to generate reports on unit characteristics against criteria identified in HHA applications.
System should be able to generate pipeline reports and forecasting.
System should be able to set business rules to remove HHAs from the pool once an applicant has refused a set number of referrals.

Future HPD Placement System Consideration
System should include integration with HOME for HHA submission, document transmission, and other case updates.
System should have an interface where shelter providers can assist shelter residents with providing their housing preferences to HPD.
System should have capabilities to import shelter resident documentation from HOME, Worker Connect, and other designated systems currently storing relevant shelter resident documentation.
System should have capability to pull in HHA updates automatically and notify HPD of updates HHA information.
System should include a portal for a shelter resident to access self-service features, such as completing and submitting and HHA and universal ROI and uploaded required documentation.
System should be able to request updates from the shelter resident and pull in the updates to the shelter resident's information as they are made in the self-service portal.
System should have capabilities to transmit signed ROIs for HPS visibility, as well as transmit ROIs to marketing agent-facing portal.
System should have built-in matching tool for automated matches and referrals as units come online.
System to be able to generate automated emails to shelter residents and marketing agents informing of the referral and next steps
System should have the ability to receive information about the units, including photos and video, and either be directly used to demonstrate these materials to the shelter resident, or integrate with HOME and other systems to facilitate the information-sharing of the unit details.
System should have the ability collect shelter resident acceptance/rejection of the unit.
System should have the ability to send reminders when timeframe to provide acceptance/rejection of unit is to expire.
System to be able to set business rules to govern process step timelines and manage stakeholder workflow.
System to have capabilities to share documentation between HPS and external stakeholders, such as marketing agents.
System to have capabilities for document upload and sharing of shelter resident documentation.
System will have interface for shelter residents where communications material on program expectations, policies, and overall process steps and timing will be provided
Develop requirements for HPS future systems to manage updates and changes and integrate data sharing and matching capabilities.
System to include integration with HOME to provide alert functionality to for notifications and reminders to drive urgency for shelter residents to return documents to the marketing agent within an agreed-upon timeframe.

Appendix C: Summary of workshops and meetings

Scheduled Workshops

Meeting date	Attendee organization(s)	Meeting title
4/17/2023	HDC, OMB	Analytics onboarding for KPMG
4/25/2023	HPD, HDC, DHS	HPS & HRPU Workshop: HPD Referral
4/27/2023	HDC, OMB	Analytics Weekly w/KPMG
4/28/2023	HPD, HDC, DHS	HPS & HRPU Workshop: HPD Referrals
5/2/2023	HDC, HPD, DHS	HPS & HRPU Workshop
5/4/2023	HDC, OMB	Analytics Weekly w/KPMG
5/5/2023	HPD, HDC, DHS	HPS & HRPU Workshop
5/9/2023	HPD, HDC, DHS	HPS & HRPU Workshop
5/11/2023	HDC, OMB	Analytics Weekly w/KPMG
5/16/2023	HPD, HDC, DHS	HPS & HRPU Workshop
5/17/2023	HDC, HPD, DHS, OMB	Review BPI Register and Journey Maps
5/18/2023	HDC, OMB	Analytics Weekly w/KPMG
5/19/2023	HDC, HPD, DHS	HPS & HRPU Workshop
5/23/2023	HDC, HPD, DHS	HPS & HRPU Workshop
5/25/2023	HDC, OMB	Analytics Weekly w/KPMG
5/30/2023	HDC, HPD, DHS	HPS & HRPU Workshop
6/1/2023	HDC, OMB	Analytics Weekly w/KPMG
6/6/2023	HDC, HPD, DHS	HPS & HRPU Workshop
6/15/2023	HDC, OMB	Analytics Weekly w/KPMG
6/29/2023	HDC, OMB	Analytics Weekly w/KPMG

Recurring Evaluation Check-ins

Meeting date	Attendee organization(s)	Meeting title
4/19/2023	HPD, HDC, OMB, DHS	Inter-Agency Task Force

Meeting date	Attendee organization(s)	Meeting title
4/26/2023	HPD, HDC, OMB, DHS	Inter-Agency Task Force
5/1/2023	HPD, HDC, OMB, DHS	Kitchen Cabinet Weekly
5/3/2023	HPD, HDC, OMB, DHS	Inter-Agency Task Force
5/10/2023	HPD, HDC, OMB, DHS	Inter-Agency Task Force
5/22/2023	HPD, HDC, OMB, DHS	Kitchen Cabinet Weekly
5/24/2023	HPD, HDC, OMB, DHS	Inter-Agency Task Force
5/30/2023	HPD, HDC, OMB, DHS	Kitchen Cabinet Weekly
6/5/2023	HPD, HDC, OMB, DHS	Kitchen Cabinet Weekly
6/12/2023	HPD, HDC, OMB, DHS	Kitchen Cabinet Weekly
6/14/2023	HPD, HDC, OMB, DHS	Inter-Agency Task Force
6/26/2023	HPD, HDC, OMB, DHS	Kitchen Cabinet Weekly
6/28/2023	HPD, HDC, OMB, DHS	Kitchen Cabinet Weekly (Continued)
6/28/2023	HPD, HDC, OMB, DHS	Inter-Agency Task Force
7/10/2023	HPD, HDC, OMB, DHS	Kitchen Cabinet Weekly
7/12/2023	HPD, HDC, OMB, DHS	Inter-Agency Task Force
7/17/2023	HPD, HDC, OMB, DHS	Kitchen Cabinet Weekly
7/19/2023	HPD, HDC, OMB, DHS	Inter-Agency Task Force
7/26/2023	HPD, HDC, OMB, DHS	Inter-Agency Task Force

Additional Meetings

Meeting date	Attendee organization(s)	Objective
4/21/2023	OMB Policy and Operations Research Task Force	Discuss follow-up questions from the 4/17 OMB Analytics Meeting
4/26/2023	HPS	Discuss follow-up questions with Max Levine on the handoff from DHS to HPD
5/4/2023	HDC, HPD, US Digital Response	Review HDC Evaluation objectives with USDR

Meeting date	Attendee organization(s)	Objective
5/9/2023	HPD	Discuss Applications Details Reports in CurRENT
5/9/2023	HPD	Walkthrough of HPD matching tool with Shadja Strickland
5/10/2023	DHS, DHS shelter providers	Discuss journey map, pain points, and potential BPIs with DHS shelter providers
5/11/2023	Chief Housing Officer	Discuss initiation of KPMG's work with HPS and HRPU to evaluate homeless set-aside placement processes
5/16/2023	Marketing agent – MGNY	Discuss Homeless Placement Process with MGNY
5/19/2023	Help USA	Discuss Help USA's work as a shelter provider and marketing agent
5/31/2023	Marketing agents – the Housing Partnership, Wavecrest, MGNY, C&C Apartment Management, Reside NY	Discuss the Homeless Placement Process from the marketing agent perspective
6/1/2023	Marketing agents – Phipps Houses, Gotham Affordable Lease-ups, ELH Management, K&G UpRight Consulting	Discuss the Homeless Placement Process from the marketing agent perspective
6/1/2023	Chief Housing Officer, Impacted Advocates	Discuss Lease-up Process with the Impacted Advocates taskforce
6/2/2023	DHS IT, HRPU	Demo how the HHA is submitted in HOME with DHS IT
6/5/2023	HPD Marketing	Discuss how the pipeline of units is monitored by HPD Marketing
6/6/2023	Marketing agent – Reside NY	Discuss additional improvement areas in the homeless set-aside placement process
6/6/2023	HDC	Demo of Housing Connect with HDC
6/8/2023	HPS	Discuss eRent Roll usage by HPS
6/8/2023	HDC Tax Credit Team	Review the Third-Party Approval Process with HDC
6/8/2023	HPS	Discuss clarifying questions on data provided by HPS to HRA for subsidy processing
6/8/2023	DSS	Demo of CurRENT capabilities, including how CityFHEPS packages are submitted

Meeting date	Attendee organization(s)	Objective
6/12/2023	Marketing agents – C&C, MGNY, Reside NY, the Housing Partnership	Discuss current BPIs and other recommendations with the marketing agents
6/14/2023	Marketing agents – ELH, Phipps Houses, Gotham Affordable Lease-Ups	Discuss current BPIs and other recommendations with the marketing agents
6/16/2023	DYCD	Discuss the EVH Questionnaire and its potential uses for matching during the homeless set-aside placement process
6/22/2023	HPS	Demo Worker Connect with HPS
6/23/2023	HPD	Discuss how inspections are conducted across HPD-funded units, 421(a) units, and re-rentals.
6/23/2023	DHS	Discuss potential improvements to the CityFHEPS subsidy processing step
6/27/2023	DSS	Discuss linkage between CityFHEPS subsidy processing and Cash Assistance
6/28/2023	DSS	Continue discussion on linkage between CityFHEPS subsidy processing and Cash Assistance
7/10/2023	HRPU	Discuss current state process for DHS and HRPU's role in CityFHEPS subsidy processing
7/13/2023	HDC	Review feedback from HDC on the Module 1 draft report submitted 6/30
7/10/2023	DSS	Discuss TANF rules and potential OTDA waiver for income verification requirement in CityFHEPS processing
7/18/2023	HDC, DSS	Further discuss HRA's role in the CityFHEPS subsidy processing step
7/18/2023	HDC	Discuss LIHTC third-party review and full income review requirements with HDC
7/19/2023	DSS, HDC	Discuss CBT's role in the homeless set-aside placement process and where potential time savings and BPIs may exist
7/24/2023	DSS, HRPU	Discuss the CityFHEPS subsidy processing step for adult residents

Appendix D: Glossary of abbreviations and acronyms

Abbreviation/Acronym	Term
BPI	Business Process Improvement
CAR	Clearance and Apartment Review Unit
CARES	Client Assistance and Rehousing Enterprise System
CBT	Center Based Team
DHS	Department of Homeless Services
DSS	Department of Social Services
FIA	Family Independence Administration
HDC	Housing Development Corporation
HHA	Homeless Housing Application
HPD	Housing Preservation and Development
HPS	Homeless Placement Services
HRA	Department of Human Resources
HRPU	Housing Referrals and Processing Unit
LIHTC	Low-Income Housing Tax Credit
LMU	Landlord Management Unit
POS	Paperless Office System
ROI	Release of Information
SLA	Service Level Agreement
SSN	Social Security Number
TCO	Temporary Certificate of Occupancy
WMS	Welfare Management System

Appendix E: Income verification processes

The below is a high-level diagram of the Cash Assistance processes for a family with children case with an active CA case, and has been identified for a LIHTC unit.

Shelter Type: *Families with Children*
TANF Case: *Active CA Case, with Income*
HPD Housing Option: *LIHTC Unit*

TANF/ Cash Assistance
Income recertified with client **in 6 months**, client obligated to report case changes in 10 days

Active CA Case Established, *Income Verified* → Referred / Matches to Apartment → LIHTC?

LIHTC? — No → Eligibility for CityFHEPS, *Income verified*

LIHTC? — Yes → Qualifies for LIHTC *Income Verified*

LIHTC Eligibility
Income validated using **last 120 days** of income.

CityFHEPS
Income validated from the last 30 days

Change in income? — No → CityFHEPS Approved

Change in income? — Yes → Eligibility for CA, *Income verified*

TANF/ Cash Assistance

New adult? — Yes → Eligibility for CA, *Income verified, EP* interview

New adult? — No

TANF Employment Program (EP)

Step involving the verification of eligibility

DSS Action

HPD Action

Appendix F: Homeless set-aside placement future state systems diagram

The following diagram demonstrates a potential future state integration infrastructure for the future state system based on workshop discussions. Integrations are indicated by a solid line, while proposed future connections are proposed by a dashed line.
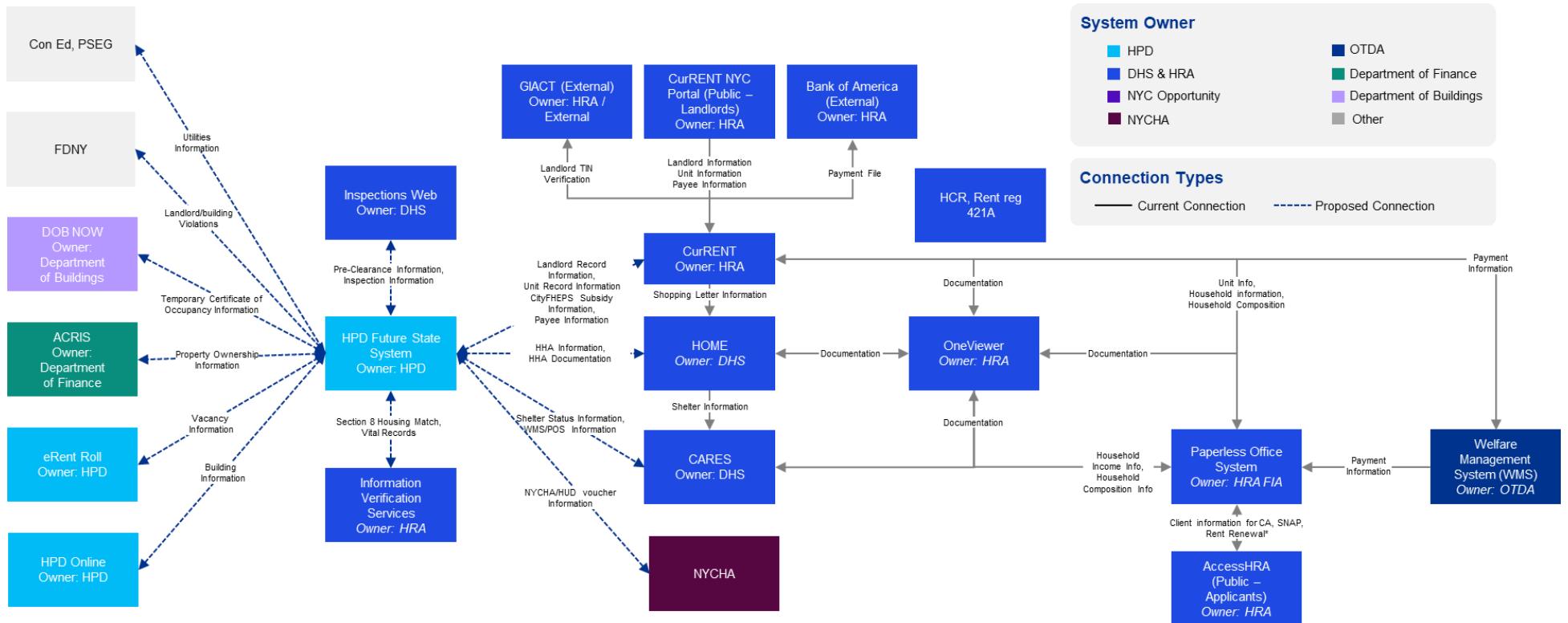
Appendix G: CityFHEPS homeless set-aside placement current state process flow

Below is a detailed process flow of the current state of the homeless set-aside placement process. Please note – this was a work product used for facilitating the collection of information, and not a formalized deliverable.

Unit readiness:

Shelter resident process and referral:

Shelter resident exits shelter

Optional
(Some shelter residents may not open or may not be eligible for ongoing CA. Shopping Letter is manually requested later in the process for HPD unit.)

CARES – Manages Shelter Case

Family Intake Center or PATH confirms shelter eligibility for families

Determined Eligible?

WMS – Stores Info / Confirm TIN

POS – Determines Eligibility for CA

Shelter resident provides needed inputs to HHA

Household goes to shelter

Family or single adult/adult family?

Family

Single adult or adult family

Adult intake centers

Yes

Provides needed inputs to their Cash Assistance Case / may apply if does not already have open CA case

Shopping Letter Eligibility Automatically Determined

Shopping Letter and Household Share Letter Issued

HHA finalized with the shelter resident

Shelter provider submits HHA to HRPU

HOME – Stores HHA information

Batch file created of eligible shelter residents

CARES – Stores Shopping Letter

HOME – Stores HHA information

CARES – Shelter Case Information

POS – Income Household Information

CARES – Updates Income / Household Size

WMS – Stores Information

POS – Income Household Information

WMS – Stores Information

HRPU Reviews HHA

Proceed to HPD?

No

Connects to "HRPU sends HHA to HPD" (on next page)

HOME – Stores HHA info and documents

Shelter resident to unit match and referral begins:

Homeless Set-Aside Placement Evaluation Report

Connects to
Ongoing
Case Change
Activities

HHP Referral
Status: Pending ROI

HRPU sends HHA to HPD

HPD Reviews HHA Information

HPD matches HHA with unit based on HHA information and unit stock

x

Referral Identified?

HPD sends unit info and ROI to shelter providers / shelter residents to complete

ROI and apartment information are sent to the HRPU

HRPU forwards onto shelter providers and shelter supervisors

Shelter provider reviews unit information and shares with shelter resident

Shelter resident reviews apartment information

Shelter resident moving forward with ROI?

Connects to "Shelter resident provides shelter provider with Photo ID, SSN" (on next page)

DataMart – Sends data related to HHA

HPD Database – Reviews Information

HPD keeps HHA in inventory awaiting future matching

Email with ROI docs

Email with ROI docs

Email with ROI docs

Email with ROI docs

—Yes—

No

HPD continues to monitor available housing stock to meet the shelter residents needs

HPD Database – Reviews Information

Shelter resident continues to stay within HHA pool

—Yes—

No

C

Shelter resident provides shelter provider with Photo ID, SSN

Children present? — Yes → **Shelter resident provides birth certificates for children**

No →

HHP Referral Status: Referral Made, Awaiting Pre-Screening

HPS Sends ROI and Documentation to marketing agent

Email with documents

X

EXTERNAL – Credit Score Validation

Marketing agent Conducts Credit Score

Marketing agent Conducts Background Check

EXTERNAL – Criminal Background Check

LIHTC? — Yes → **Marketing agent send availability for appointment to HPS** → **HPS send appointment options to HRPU** → **HRPU coordinates appointment scheduling with shelter provider and shelter resident** → **Shelter provider communicates appointment time and documentation request** → **Shelter resident works with shelter provider to understand LIHTC documentation request**

No →

HHP Referral Status: Scheduled for Eligibility Appointment

Connects to "shelter resident brings requested documentation to eligibility appointment" (on next page)

Shelter resident returns to the pool for a re-referral

Connects to "Resident approved?" (on next page)

Shelter resident brings requested documentation to eligibility appointment

Marketing agent reviews shelter resident documentation

Return to "Shelter resident works with shelter provider to understand LIHTC documentation request" (on previous page)

All required documents provided?

HHP Referral Status: Pending Documents

Shelter resident meets LIHTC requirements?

Does owner or syndicator require third-party review?

HHP Referral Status: Accepted, Pending Third-Party Approval

Third-party reviewer and/or syndicator performs file review and approval

HDC performs third-party review (in some cases)

Shelter resident approved?

Shelter resident returns to the pool for a re-referral

Email — Marketing agent Communicates to HPD that shelter resident was selected

Email — HPS Communicates back to HRPU that shelter resident was selected

Email — HRPU communicates to shelter provider that shelter resident was selected

Email — Shelter provider communicates to shelter resident that they were selected

Has the unit been inspected?

Go to D

Connects to "Marketing agent completes Landlord documentation, sends to HPS" (on next page)

Marketing agent Communicates to HPD that shelter resident was not selected

Emailing with Screening Results Form

HPS Communicates back to HRPU that shelter resident was not selected

HRPU communicates to shelter provider that shelter resident was not selected

Shelter provider communicates to shelter resident that they were not selected

Go to C

Homeless Set-Aside Placement Evaluation Report

HHP Referral Status: Pending Landlord Paperwork

HHP Referral Status: Approved, Pending Subsidy Processing

Marketing agent Compiles Landlord Documentation, sends to HPS

Email with documents

HPS Reviews Information, Sends to HPRU

Email with documents

HRPU Reviews documentation from HPS, requests shelter resident documentation from shelter provider

Email with documents

Shelter provider confirms documentation with HRPU

Email with documents

X

Go to E

No

Valid income from prior 30 days?

Yes

Shelter resident has an open CA case?

No — Go to E

Yes — Go to E

Yes

Needs to update CA case?

No

Shelter provider collects additional documents from shelter resident (i.e., recent proof of income)

Shelter resident provides shelter provider with needed information

Connects to "HRPU prepares CityFHEPS package" (on next page)

Shelter provider Reviews HPS Information, Confirms Set-Aside Need

CurRENT – Confirms Application not started

CARES – Confirms shelter resident still in shelter

Shelter resident still needs Homeless Set-Aside unit?

Yes

No

HHA exits pool

Homeless Set-Aside Placement Evaluation Report

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                                                                    │                                                                        │
                            ┌─────┐                                 │                                                                        │
                            │  F  │                                 │                                                                        │
                            └──┬──┘              ┌────────────────────────────────────────────────────────────┐                             │
                               │                 │     If Shopping Letter is not                              │                             │
                               │                 │  automatically produced earlier in                        │                             │
                               │                 │   the process, HPD specific Shopping                       │                             │
                               │                 │    Letter is manually produced here.                       │                             │
 ┌──────────────┐        ┌──────────────┐        │  ┌──────────────┐      ┌──────────────┐                    │       ┌──────────┐   ┌──────────────┐
 │Shelter resident│      │              │        │  │Shopping Letter│     │Shopping Letter and│               │       │          │   │ Connects to  │
 │provides shelter│─────▶│ HRPU prepares│───────▶│  │ Eligibility  │─────▶│Household Share   │────────────────┼──────▶│Search for│──▶│  "Existing   │
 │ provider with  │      │CityFHEPS Package│     │  │  Manually    │      │Letter Issued     │                │       │ existing │   │   Landlord   │
 │needed information│    │              │        │  │  Determined  │      │(specific to HPD  │                │       │ landlord │   │ present?" (on│
 └──────────────┘        └──────┬───────┘        │  └──────┬───────┘      │listed as reason) │                │       └──────────┘   │  next page)  │
                                │                │         │              └──────────────────┘                │                      └──────────────┘
                                │                │         ▼                                                  │
                                │                │  ┌──────────────┐                                          │
                     ┌──────────────┐            │  │  Batch file  │           ┌──────────────┐               │
                     │ CurRENT –    │            │  │  created of  │           │  CARES –     │               │
                     │   Stores     │            │  │eligible shelter│         │   Stores     │               │
                     │ CityFHEPS    │            │  │  residents   │           │  Shopping    │               │
                     │ Application  │            │  └──────────────┘           │   Letter     │               │
                     └──────────────┘            │                             └──────────────┘               │
                     ┌──────────────┐            │  ┌──────────┐  ┌──────────┐                                 │
                     │  CARES –     │            │  │ CARES –  │  │  POS –   │                                 │
                     │   Prefills   │            │  │ Shelter  │  │  Income  │                                 │
                     │   Shelter    │            │  │   Case   │  │Household │                                 │
                     │ Information  │            │  │Information│ │Information│                                │
                     └──────────────┘            │  └──────────┘  └──────────┘                                 │
                     ┌──────────────┐            │                ┌──────────┐                                 │
                     │   POS –      │            │                │  WMS –   │                                 │
                     │  Prefills CA │            │                │  Stores  │                                 │
                     │ information  │            │                │Information│                                │
                     └──────────────┘            │                └──────────┘                                 │
                                                 └──────────────────────────────────────────────────────────────┘
```

Returns to "HRA prepares CityFHEPS package" (on previous page)

Email with landlord information

Email

CurRENT – Stores Landlord / Payee Info

Email

Email

Shelter provider contacts HRPU

HRPU messages LMU

LMU makes changes in CurRENT

LMU notifies HRPU

HPRU notifies shelter provider

Yes

Issue with existing landlord record?

No

Existing landlord present?

Yes

No

Shelter provider Submits CityFHEPS Application for HRPU review

HRPU Reviews Application in CurRENT

Send to HRA?

No

Yes

Connects to "HRA receives application, reviews" (on next page)

CurRENT – Stores CityFHEPS Application

CurRENT – Stores CityFHEPS Application

Shelter provider Creates New Landlord Record

No

EFT?

Yes

Shelter provider Validates EFT

Yes

EFT Validated?

No

Shelter provider reaches out to marketing agent for pre-note and account owner docs

Marketing agent Shares pre-note and account ownership docs

Shelter provider updates CurRENT

CurRENT – Stores CityFHEPS Application

CurRENT – Stores CityFHEPS Application

GIACT – Validates TIN

Email

Email

CurRENT – Stores CityFHEPS Application

Homeless Set-Aside Placement Evaluation Report

CurRENT – Stores CityFHEPS Application

CurRENT – Stores CityFHEPS Application

CurRENT – Stores CityFHEPS Application

CurRENT – Stores CityFHEPS Application

CurRENT – Stores CityFHEPS Application

HRA receives application, reviews

HRA calculates ongoing subsidy amount, first month's rent, furniture allowance, etc.

Application Approved?

Yes

HRA approves application

X

HRPU receives notification that application is approved

Shelter provider receives notification that application is approved

HRA sends for payment

HRA generates checks, delivers to DHS

Upfront, paper checks

HRPU receives checks, sorts by shelter, notifies shelter

Email

HHP Referral Status: Approved, Pending Lease Signing

Shelter provider receives checks, messages marketing agent and HPS

X

Email

HPS notified, works with marketing agent to coordinate lease signing

Marketing agent arranges lease signing

Email

Shelter provider indicates shelter resident moveout

CARES – Stores Moveout Information

Yes

No

Resubmit to HRA?

HRPU Reviews Application in CurRENT

CurRENT – Stores CityFHEPS Application

No

Returns to "HRPU prepares CityFHEPS package" (two pages back)

Send back to shelter provider

CurRENT – Stores CityFHEPS Application

CurRENT – Sends payment

POS – CA case updated

WMS – Stores Payment

Ongoing Case Change Activities

```
WMS –
Stores
Updates
```

```
AHRA –      POS –      CARES –      HOME –
Updates    Updates    Updates      Updates
Case       Case       Case         HHA
Information Information Information
```

```
Shelter resident may
need to go to Job
Center to fix certain
PA/CA issues
```

```
HRA notice     Email with     HPD        Email with
               change      Database –   documents
                           Reviews
                           Information
```

```
Go          Go
to C        to C
```

| HRPU sends to HRA FIA to correct CA case | HRPU requests that HRA expedite the corrections to the case | HRA FIA updates case | HRA FIA (CBT) recalculates benefits, including CA, SNAP, etc. | Shelter resident received notification that CA case is open or corrected | HRPU messages HPS with updates | HPD reviews updated information | New match needed? | Is the CityFHEPS package ready at this time? | Go to F |

```
Email with info
and documents
(e.g., income)
```

```
POS –      CARES –      HOME –
Updates    Updates      Updates
Case       Case         HHA
Information Information
```

```
WMS –
Stores
Updates
```

Yes — New match needed? — No — Is the CityFHEPS package ready at this time? — Yes — Go to F

Appendix H: Documents and forms for the homeless set-aside placement process

Below are the key documents and forms that are used throughout the homeless set-aside placement process. In the short-term, all forms and documents should be considered for storage in a cloud-based document storage solution to reduce hand-offs between different stakeholders and actors in this process (BPI 6). In the long-term, all forms and documents should be considered for integration and storage in the future HPD Placement System (BPI 22).

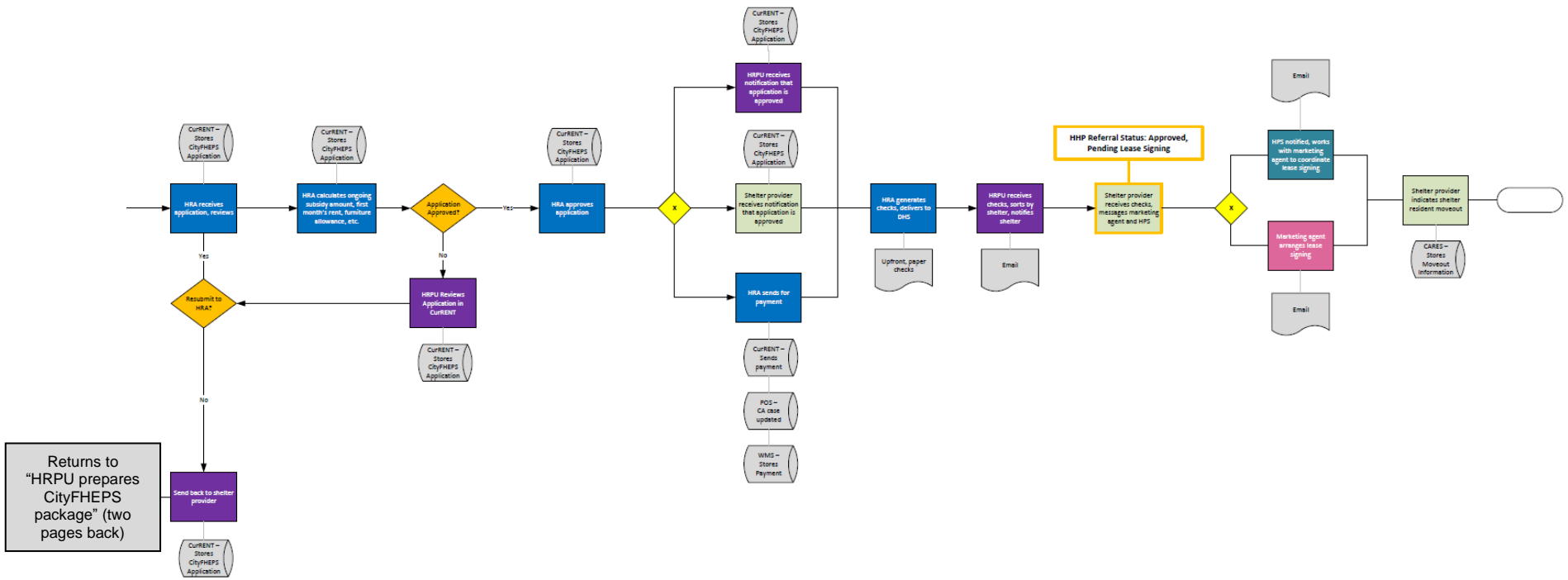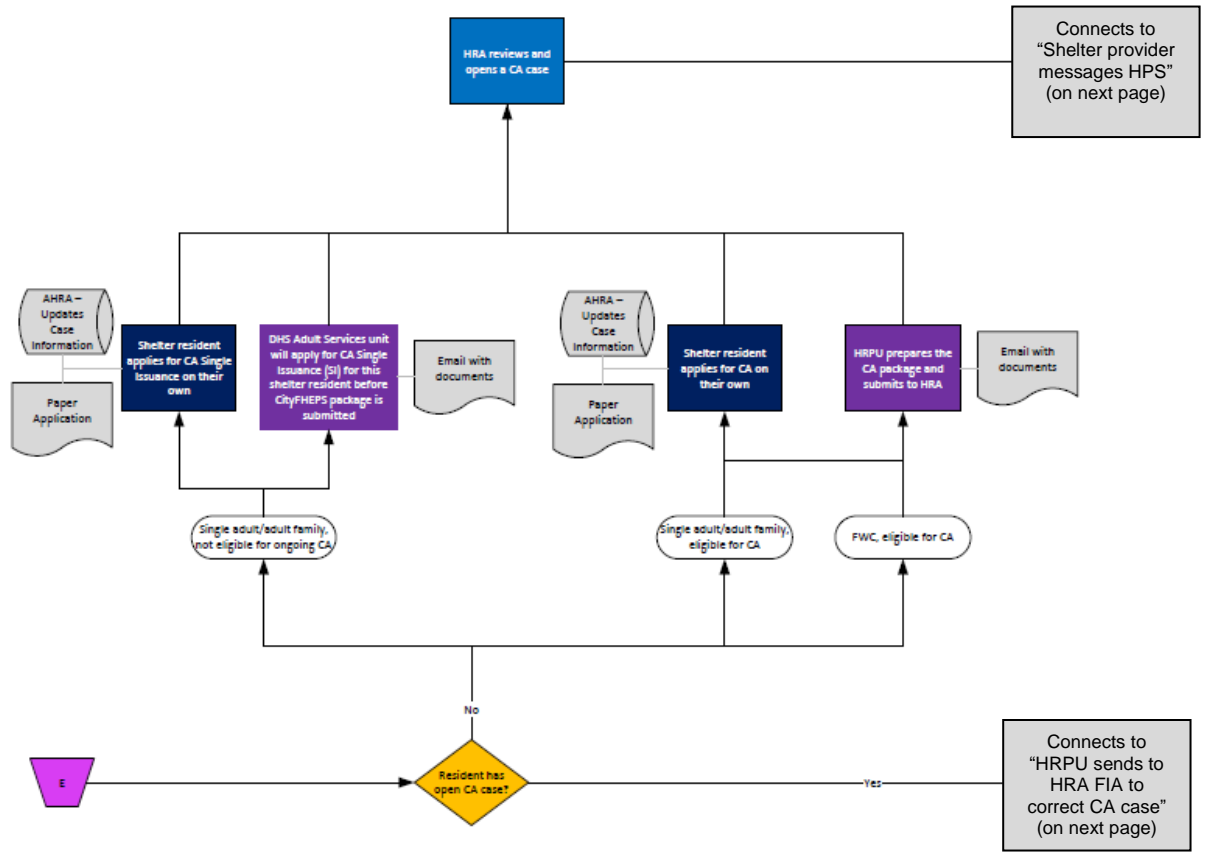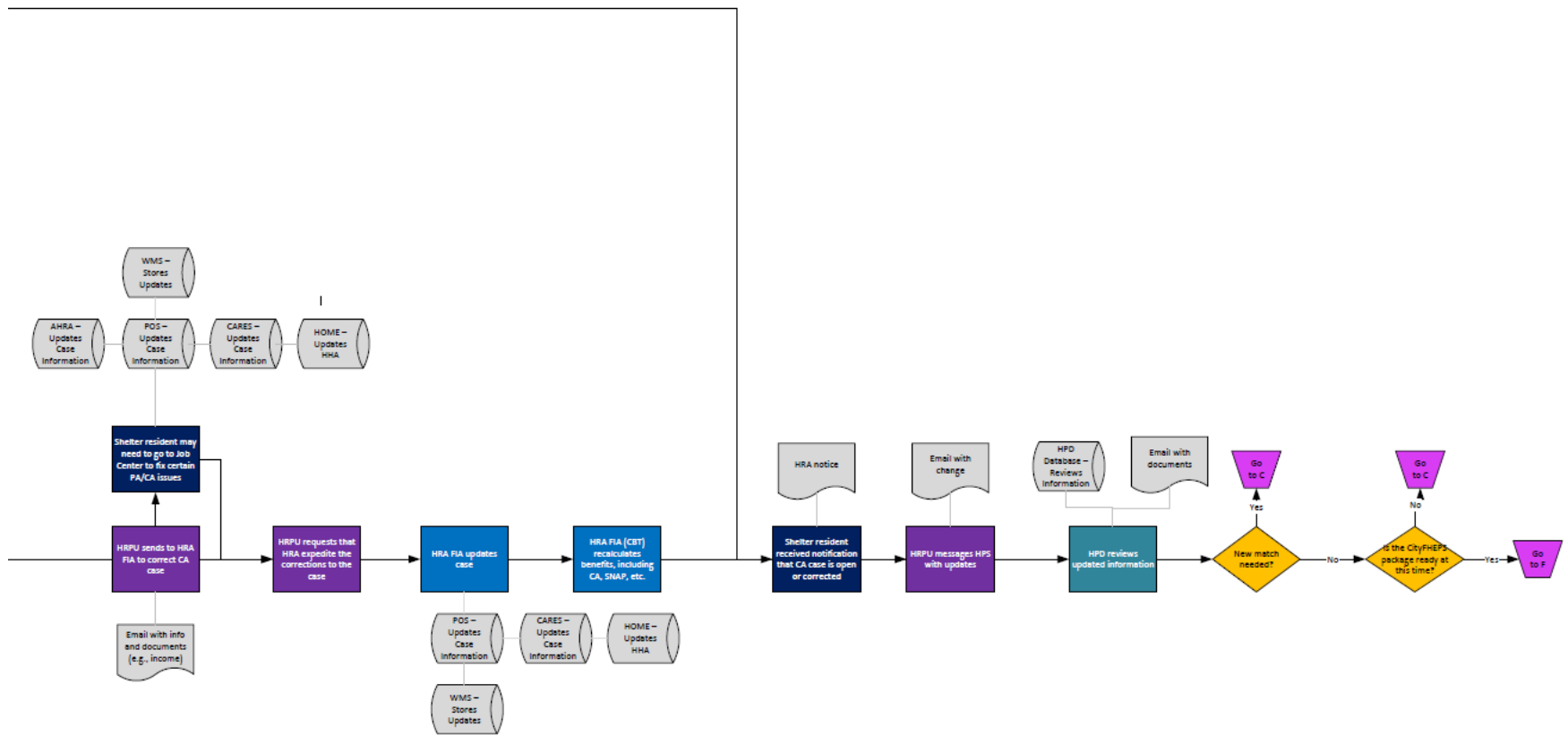| Document/Form Name	Owner or source	Submitted / Completed by	Why is it Needed?	Future State Method to Obtain	CURRENT STATE					
					CA/PA Application	Unit Readiness Process	HHA Submission	Pre-Screening	LIHTC Eligibility	Rental Assistance Voucher
Unit Vacancy Notification	HPD	Marketing agent	Form used to notify HPD of unit vacancy for HPD/HDC-financed re-rentals.	**Keep the same.** In long-term, can be integrated into Future HPD Placement System.	--	Required, for re-rental unit. Submitted via email.	--	--	--	--
421a-16 Workbook	HPD	Marketing agent	Form used to notify HPD of unit vacancy for 421a units.	**Keep the same.** In long-term, can be integrated into Future HPD Placement System.	--	Required, for 421a units. Submitted via email.	--	--	--	--
Attachment B Marketing Plan Summary	HPD	Marketing agent	Form updated with volunteered unit information.	**Keep the same.** In long-term, can be integrated into Future HPD Placement System.	--	Required, for HPD/HDC-financed units and updates for volunteered units. Submitted via email.	--	--	--	--
Attachment K Notice of Remarketing	HPD	Marketing agent	Form updated with volunteered unit information.	**Keep the same.** In long-term, can be integrated into Future HPD Placement System.	--	Required, for HPD/HDC-financed units and updated for volunteered units. Submitted via email.	--	--	--	--

Document/Form Name	Owner or source	Submitted / Completed by	Why is it Needed?	Future State Method to Obtain	CURRENT STATE					
					CA/PA Application	Unit Readiness Process	HHA Submission	Pre-Screening	LIHTC Eligibility	Rental Assistance Voucher
Attachment U Apartment Distribution Chart	HPD	Marketing agent	Form updated with volunteered unit information.	**Keep the same.** In long-term, can be integrated into Future HPD Placement System.	--	Required, for HPD/HDC-financed units and updated for volunteered units. Submitted via email.	--	--	--	--
Owner's Affidavit	HPD	Owner(s)	Legal paperwork with volunteered unit information.	**Keep the same**. In long-term, can be integrated into Future HPD Placement System.	--	Required, for HPD/HDC-financed volunteered units. Submitted via email.	--	--	--	--
Certificate of Occupancy or Temporary Certificate of Occupancy	NYC Department of Buildings	Marketing agent	Certificate required for legal tenancy in the building.	**Keep the same.** In long-term, can be integrated into Future HPD Placement System.	--	Required. This is sometimes delayed for new constructions.	--	--	--	--
Homeless Housing Application	HPD	Shelter resident, with assistance from shelter provider	Application for homeless set-aside units; captures shelter resident's housing preferences and needs.	**Continue to collect through HOME. Add self-service option in Future HPD Placement System.** Update the HHA data elements collected and transmitted to HPS database.	--	--	Required. Submitted via HOME by shelter provider. Transmitted to HPD database.	--	--	--

Document/Form Name	Owner or source	Submitted / Completed by	Why is it Needed?	Future State Method to Obtain	CURRENT STATE					
					CA/PA Application	Unit Readiness Process	HHA Submission	Pre-Screening	LIHTC Eligibility	Rental Assistance Voucher
Photo ID	NYS DMV or NYC ID	Shelter resident	Proof of identification.	**Collect and transmit with HHA submission.** Explore how to transfer from CARES/HOME to HPS database. Identify can be verified through WMS validation. Note: may still be needed if WMS validation is not available.	Required. Submitted via AccessHRA.	--	Required. Sent via email. May be uploaded into HOME by shelter.	Required. Sent via email.	Required, submitted with ROI and retained in file.	--
Birth Certificate	NYS or other state vital records	Shelter resident	Proof of identification for minors and proof of legal guardianship.	**Keep the same.** In long-term, can be integrated into Future HPD Placement System.	Potentially required to prove familial relationship. Submitted via AccessHRA.	--	Required, sent via email. May be uploaded into HOME by shelter.	Required, for minors, sent via email.	Required, for minors, submitted with ROI and retained in file.	--
Proof of Legal Custody or Guardianship (if not listed on birth certificate)				**Keep the same.** In long-term, can be integrated into Future HPD Placement System.	--	--	--	--	Required, if applicable, submitted with ROI and retained in file.	
Social Security Number, or ITIN	Social Security Administration	Shelter resident	Proof of identification; number used for background and credit checks.	**Provide alternative.** SSN can be verified through WMS validation. Note: may still be needed if WMS validation is not available.	Required[27] Submitted via AccessHRA.	--	Upload into HOME by shelter.	Required, in addition to number, marketing agents request copy of card, sent via email.	--	Number required, submitted via CurRENT.

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[27] The card itself is not required unless the applicant's provided SSN does not match SSA records or cannot be validated.

Document/Form Name	Owner or source	Submitted / Completed by	Why is it Needed?	Future State Method to Obtain	CURRENT STATE					
					CA/PA Application	Unit Readiness Process	HHA Submission	Pre-Screening	LIHTC Eligibility	Rental Assistance Voucher
Attachment AA-2 Justice Involvement Worksheet	HPD	Marketing agent	Explanation of shelter resident's past convictions that provides the marketing agent more context to not reject the tenant.	**Keep the same; to eliminate in long-term.** Continue to use while criminal history check is in place. Can be eliminated once criminal history check is removed from the process.	--	--	--	Completed by marketing agent when shelter resident has rejectable criminal convictions.	--	--
Marriage Certificate	NYS or other state vital records	Shelter resident	Proof of marital status.	**Keep the same.** In long-term, can be integrated into Future HPD Placement System.	Proof of marital state required, if applicable. Submitted via AccessHRA.	--	--	--	Required, if applicable, sent via email.	--
Release of Information	Marketing agent or owner	Signed by shelter resident	Required consent from shelter resident to initiate credit and criminal history checks.	**Collect upstream.** Shelter resident will sign the universal ROI when they completed the HHA. Digitalized form can be built into HOME and Future HPD Placement System.	--	--	--	Required, sent via email.	--	--
Proof of Income* - Paystubs - Tax returns - Proof of cash payments - Proof of self-employment - SSA award letter - Veteran's benefits - Income from rental properties - PA budget letter - Armed Forces reserves - Pension letter - Unemployment payment history	--	Shelter resident	Proof of annual income needed to qualify for certain benefits, including Cash Assistance and rental assistance.	**Consolidate number of times proof of income is requested.** Incorporate requirements into LIHTC questionnaire. Collect at LIHTC review, if applicable, and as needed for subsidy processing. Long-term system integration and source validation needed (e.g., TALX), if not already in place.	Required. Submitted via AccessHRA.	--	--	--	Required, sent via email.	Required, if applicable, submitted via CurRENT

Document/Form Name	Owner or source	Submitted / Completed by	Why is it Needed?	Future State Method to Obtain	CURRENT STATE					
					CA/PA Application	Unit Readiness Process	HHA Submission	Pre-Screening	LIHTC Eligibility	Rental Assistance Voucher
Proof of Assets - Asset Certification Form - Bank statements - Dividends and/or annuities - GI bill tuition coverage - Alimony or child support - Disability insurance, worker's comp., or severance pay - Reoccurring contributions or gifts		Shelter resident	Proof of assets needed to check qualification for certain benefits, including Cash Assistance and rental assistance.	**Keep the same.** Incorporate requirements into LIHTC questionnaire. Collect at LIHTC review, if applicable. Long-term system integration and source validation needed, if not already in place.	Required, if applicable. Submitted via AccessHRA	--	--	--	Required, if applicable, sent via email.	
Proof of Student Status	School or educational institution	Shelter resident	Proof of enrollment in school or educational program	**Keep the same.** Incorporate requirements into LIHTC questionnaire. Collect at LIHTC review, if applicable. Long-term system integration and source validation needed, if not already in place.	Required, if applicable. Submitted via Access HRA.	--	--	--	Required for higher education students, if applicable. Sent via email.	--
Proof of Disability/ Accommodation Needs (Attachment I-2)	HPD	Shelter resident, and completed by licensed medical professional	Proof of disability completed by licensed medical professional to document mobility needs.	**Collect upstream.** At time of HHA submission. Explore how to upload to HOME and how to transfer from HOME to HPS database. Alternatively,	--	--	--	Preferred, if applicable. Sent via email.	Required, if applicable. Sent via email.	Required, if applicable. Submitted via CurRENT.
Shelter Residency Letter	Shelter	Shelter provider	Proof of homeless status and residing in a shelter.	**Complete upstream.** At time of HHA submission.	--	--	--	--	--	Required. Submitted via CurRENT.
"Shopping Letter" (DSS-7 or 7b)	DSS	Shelter provider	Proof of pre-eligibility for CityFHEPS subsidy.	**Request upstream.** Manually produce the HPD-specific shopping letter once shelter resident and marketing agent have accepted the match.	--	--	--	--	--	Required. Submitted via CurRENT.

Document/Form Name	Owner or source	Submitted / Completed by	Why is it Needed?	Future State Method to Obtain	CURRENT STATE					
					CA/PA Application	Unit Readiness Process	HHA Submission	Pre-Screening	LIHTC Eligibility	Rental Assistance Voucher
"Household Share Letter" (DSS-7a or 7c)	DSS	Shelter provider	Communication to tenant about their tenant portion.	**Request upstream.** Manually produce the HPD-specific household share letter once shelter resident and marketing agent have accepted the match. Incorporate as part of shelter resident education.	--	--	--	--	--	Required. Submitted via CurRENT.
Tenant Contact Information (DSS-8b)	DSS - HRA	Shelter provider	DSS form with shelter resident information.	**Complete upstream.** At time of HHA submission.	--	--	--	--	--	Required. Submitted via CurRENT.
Request for Emergency Ass. (W-137A)	DSS - HRA	Shelter provider	DSS form to request rental assistance.	**Complete upstream.** At time of HHA submission.	--	--	--	--	--	Required. Submitted via CurRENT.
Proof of Apartment Pre-clearance (DSS-10)	DSS	Shelter provider	DSS form to demonstrate apartment and building are free of violations.	**Keep the same.** Future HPD Placement System should be able to retrieve the status of the pre-clearance from Inspection Web.	--	--	--	--	--	Required for some units. Submitted via CurRENT.
G704 (Certificate of Substantial Completion)	Development's Architect	Marketing agent	Used for HPD/HDC-financed new construction units. Alternative to regular ARC Walkthrough (inspection). However, may not always be faster.	**Keep the same.** Future HPD Placement System will be able to store and share this form.	--	--	--	--	--	Alternative to unit inspection. Submitted via CurRENT.

Document/Form Name	Owner or source	Submitted / Completed by	Why is it Needed?	Future State Method to Obtain	CURRENT STATE					
					CA/PA Application	Unit Readiness Process	HHA Submission	Pre-Screening	LIHTC Eligibility	Rental Assistance Voucher
Apartment Review Checklist (DSS-10a) (ARC Walkthrough)	DSS	Shelter provider	Used for all re-rental units. Apartment Review Checklist used to confirm that unit is safe and ready for move in.	**Keep the same.** Future HPD Placement System should be able to retrieve the status of the inspection from Inspection Web.	--	--	--	--	--	Required for some units. Submitted via CurRENT.
HQS Inspection Checklist	HUD	HPD NDP	Used for 421a new-construction units.	**Keep the same.** Future HPD Placement System should be able to retrieve the status of the inspection from Inspection Web.	--	--	--	--	--	Required for some units. Submitted via CurRENT.
Landlord Information Form (DSS-8f or DSS-8g)	DSS	Marketing agent	DSS form with landlord information.	**Complete upstream.** Once a unit is known, prepare this form for future submission. Submitted through CurRENT.	--	--	--	--	--	Required for some units. Submitted via CurRENT.
Proof of Ownership – Property Deed – Mortgage Statement – Water/Sewer Bill – Property Tax Statement – Contract Agreement	Owner or corresponding NYC agency	Marketing agent	Proof to demonstrate ownership of the building by landlord and/or payee.	**Complete upstream.** Once a unit is known, prepare this form for future submission. Submitted through CurRENT.	--	--	--	--	--	Required. Submitted via CurRENT.
Landlord W-9	IRS	Marketing agent	IRS form for landlord.	**Complete upstream.** Once a unit is known, prepare this form for future submission. Submitted through CurRENT.	--	--	--	--	--	Required. Submitted via CurRENT.
Security Voucher (W-147N)	DSS Form	Marketing agent	DSS form with security voucher information.	**Complete upstream.** Once a unit is known, prepare this form for future submission. Submitted through CurRENT.	--	--	--	--	--	Required. Submitted via CurRENT.

Document/Form Name	Owner or source	Submitted / Completed by	Why is it Needed?	Future State Method to Obtain	CURRENT STATE					
					CA/PA Application	Unit Readiness Process	HHA Submission	Pre-Screening	LIHTC Eligibility	Rental Assistance Voucher
Landlord Utility Info (DSS-8q)	DSS Form	Marketing agent	DSS form with information about utilities of the unit, used to calculate tenant portion of the rent.	**Complete upstream.** Once a unit is known, prepare this form for future submission. Submitted through CurRENT.	--	--	--	--	--	Required. Submitted via CurRENT.
Lease or Rental Agreement	Owner	Marketing agent	Proof of legal 12-month lease.	**Keep the same.**	--	--	--	--	--	Required. Submitted via CurRENT.
Intent to Rent (DSS-8n)	DSS Form	Marketing agent	As an alternative to the executed lease, the intent to rent form is required as part of the subsidy package.	**Complete upstream.** Once a unit is known, prepare this form for future submission. Submitted through CurRENT.						Required. Submitted via CurRENT.
Room Allocation Form (DSS-8d) (for rooms only)	DSS Form	Marketing agent	Used for single room rentals to confirm that tenancy does not violate Housing Maintenance Codes and to validate correct DSS payments for the correct tenant.	**N/A** This is not currently relevant for set-aside units.	--	--	--	--	--	Not currently used. Submitted via CurRENT
Other Incentive Documents	DSS	Marketing agent	DSS forms with other incentives for landlords, such as the unit hold incentive.	**N/A** This is not currently required but will be added if a unit hold incentive is available to owners in the future.	--	--	--	--	--	Not currently used. Submitted via CurRENT

Appendix I: Future state homeless set-aside placement context model

Below is a potential future state context model for the future state enterprise system. Note – version shared 7/11, more updated version pending.

Appendix J: Homeless set-aside placement core functions

Below is a draft capability mapping for future state functions in the homeless set-aside placement system.

NYC Homeless Set Aside Placement Program Core Functions

Shelter Resident/ Tenant Placement

- Supportive HHA Submission
- Non Supportive HHA Submission
- HHA Matching/Placement
- Unit Offering/Placement
- Client Housing Voucher (DSS)

Marketing Agent/ Landlord Engagement

- Unit Availability Activities
- Subsidy Placement Activities/Eligibility
- Ongoing Engagement
- Compliance

Property/Unit Inventory Management

- Financing Management
- Inspection Management
- Property and Unit Management
- Predictive Unit Vacancy Forecasting

Landlord/Owner Management

- Property Owner Record
- Payee Record
- Marketing Agent Record
- Payment/ Financing Compliance Management