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HOMELESS HOUSING PLACEMENTS EVALUATION

Project Proposal

February 22, 2023

Prepared for

NYC Housing Development Corporation

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1. Letter of Interest

February 22, 2023

Alex Merchant
Director of Process Improvement for Housing Placements
New York City Housing Development Corporation
110 William Street
New York, NY 10038

Dear Mr. Merchant:

On behalf of the board and staff of the Public Policy Lab, I'm pleased to submit the attached proposal to support the NYC Housing Development Corporation by conducting an evaluation of homeless housing placements in HDC- and HPD-financed and supported housing.

The Public Policy Lab is a Brooklyn-based nonprofit organization dedicated to designing better public policies and services for low-income and marginalized Americans. Our expert team of human-centered strategists, researchers, and designers would welcome the opportunity to assist HDC and the Homeless Housing Placements Task Force with a review of process, to identify service gaps and opportunities for improvement. In the enclosed proposal, we describe our understanding of your requested services and outline our past experience and qualifications.

Since our founding in 2011, as the first human-centered innovation lab in the United States dedicated to the U.S. public sector, we've partnered with governments nationwide to develop better strategy and public outcomes. We have an extensive history of engagement with the City of New York, including multiple past projects with task-force member agencies. We will draw on this deep experience with housing and homeless services to provide evaluation and strategy activities that deepen the Homeless Housing Placements Task Force's ability to serve New Yorkers.

We would be honored to partner with you on this important work. Thank you for your consideration.

Very sincerely,

Chelsea Mauldin
Executive Director

2. Project Understanding & Approach

HDC and other member agencies of the Homeless Housing Placements Task Force seek to understand the causes of delays in placing shelter residents in voucher-supported housing and to identify approaches to significantly reduce placement time.

The Public Policy Lab is a nonprofit innovation lab for government. We apply human-centered methods from the design fields, behavioral science, and technology development to the challenges facing low-income and marginalized people. We have extensive experience using our approach to develop actionable recommendations for such agencies of the City of New York as NYCHA, HPD, HRA, and DHS, including on projects related to housing vouchers and to shelter clients' paths to permanent housing.

Our team has spent hundreds of hours with DHS shelter clients and staff to understand the rehousing process broadly. We also appreciate every opportunity to dive into a specific path to housing, whether that be for a specific program or population. Right now, we are partnering with HPD to improve the process of using Section 8 vouchers. Separately, we are exploring the feasibility of establishing a guarantor-savings program for youth experiencing homelessness. (More detailed descriptions of select past and current projects can be found in the Example Cases section, below.)

We believe that this experience — and our commitment to New York City — positions us well to achieve the goals of this project within the required 90-day timeline. Not only can we carry knowledge between projects, but we can coordinate efforts across agencies and initiatives in order to pursue the Administration's goals of reducing administrative burden in government and speeding the journey of residents from DHS shelters into affordable housing.

For HDC and the Task Force, we propose to apply our human-centered, mixed-methods approach to develop recommendations to significantly shorten placement times, including by identifying immediately implementable 'quick wins' for improving client experience and placement times, as well as longer-term system changes.

To develop these recommendations, we propose to:

→ Conduct qualitative research with a broad range of system stakeholders, who may include tenant applicants, caseworkers supporting tenants, leadership of non-profit homeless services providers, building marketing agents and/or landlords, staff at City agencies that provide shelter and/or affordable housing, representatives of state and federal housing agencies, subject-matter experts at academic and advocacy organizations, and others.

- Conduct a literature review to identify best practices and precedents for significant reductions in benefits processing and housing-placement times, and familiarize ourselves with provided HDC cycle-time data and any other prior reports, assessments, or usage data developed by task-force member agencies.
- Capture findings from this current-state research, including:
    - *documentation of the necessary steps of the placement process and in what formats process information is received, stored, and shared;*
    - *documentation of what process redundancies and/or gaps exist, in both government and non-governmental settings, that create burdens and impose bio-costs on clients and frontline staff; and*
    - *a journey map of the current state, visualizing the above findings and related timelines derived from analysis of HDC cycle-time data.*

Subsequent to conducting research and documenting findings about the current state of service provision, we will develop a report that proposes future changes, to include:

- recommendations for process changes that can be carried out by City agencies in short order (ideally, within 2023) to meaningfully reduce placement time and burden and to improve the experience of both clients and staff (i.e., the 'quick wins');
- recommendations to improve the efficiency of staffing, technology systems, operations processes, and/or regulations – on the part of the federal government, the State of New York, and/or the City of New York – that may require additional time or resources for development and implementation (i.e., the 'systems changes');
- recommendations around approaches to future messaging and communications of process and systems changes.

These findings and recommendations will be packaged in a final report providing a human-centered perspective on the current experience of shelter residents using an HRA voucher and how that process could be expedited by modifying policies, protocols, documentation, and more.

3. Team Description

On every project, PPL works in close collaboration with our project partners. For this engagement, we look forward to partnering with task-force members and the Director of Process Improvement for Housing Placements at HDC.

Our hope is that at least one staff member will embed on the project team for approximately one day per week for the duration of the project. This person will help coordinate fieldwork, participate in research and design activities, internalize project knowledge, and engage in synthesis and ideation. This person could be the Director of Process Improvement or could be a combined effort from additional task-force staff (we imagine that DHS and/or HRA representatives would be particularly beneficial). Of course, all of these activities are open to additional partner staff as interest and time allow.

The project team will include, at minimum, two human-centered researchers/strategists and one designer, supervised by PPLs senior principal for research and policy, Andrew Eickmann, who has extensive experience in New York City affordable housing. That core project team will be supported by PPL's research director Judy Park Lee, strategy director John Buckley, and head of design John Payne. Additionally, PPL's executive director and managing director will provide strategic direction throughout the project. See below for capsule bios of key staff.

Andrew Eickmann

Senior Principal for Policy and Research

Andrew Eickmann is a researcher, strategist, and team leader with expertise in urban planning and housing policy. At the Public Policy Lab, he leads projects and guides policy analysis, with a particular focus on our housing practice. Previously, Andrew served as Director of Strategic Planning at NYC HPD, Chief of Staff at NYC Mayor's Office of Resiliency, and Housing Development Planning Manager for the Housing Bureau of the City of Portland, Oregon. Andrew holds a Master of Urban Studies degree, with an emphasis on policy research and analysis, from Portland State University. From 2007 to 2008, he was a Fulbright scholar and visiting researcher at the University of Amsterdam, where he focused on Dutch compact development and affordable-housing policies.

John Buckley

Strategy Director

Since 2011, John Buckley has been helping organizations around the world understand and redesign their services, products, and process solutions to meet the needs of their users. He holds a Master of Science in strategic design and management from Parsons School of Design, a bachelor's degree in business studies from the University of Limerick, and a certificate in service design from Munster Technological University. John has also been recognized as an Emerging Leader by the Customer Experience Professionals Association (CXPA) and is a Design for Europe featured designer for his earlier work with the United Nations' migration body, IOM.

Judy Park Lee

Research Director

Judy is a researcher and service designer with a focus on building more equitable public services, spaces, and institutions. Her experience is in conducting rigorous, creative research across multiple domains, including: policy research to inform affordable housing policymaking internationally; design research to improve patient and staff experiences at hospitals; UX research to iterate on innovative financial products; and transdisciplinary research to investigate bureaucratic environments through immersive installations. Judy holds a Master of Fine Arts degree in transdisciplinary design from Parsons School of Design and a Bachelor of Arts degree in sociology from Harvard University.

John Payne

Head of Design (incoming)

A leader in the human-centered design/design research community for almost two decades, John co-founded Moment, one of the first digital product design firms on the east coast. After 15+ years as an independent consultancy, in April 2018, Moment became part of Verizon, and John subsequently served as Verizon's head of service design. In 2022, he was appointed Associate Professor of Design for Technology and Society at the Institute of Design at IIT. He will join PPL as head of design in March 2023.

A frequent speaker and conference organizer, John has co-chaired and curated two international design conferences — EPIC 2012, the premier international conference on ethnography in business and design, and Interaction 17, The Interaction Design Association's annual global conference. Educated at Auburn University and Institute of Design at IIT (the New Bauhaus), John has taught graduate-level design research and methodology courses at Parsons and NYU and lectured at Institute of Design, SCAD, and Pratt.

4. Example Cases

The mission of the Public Policy Lab is to design policy and services that help Americans build better lives. To achieve our mission, we partner with government agencies – and the communities they serve – to create public services that are more effective, more respectful, and simple to use.

Since our founding in 2011, we've used this human-centered approach in collaboration with government partners that have real authority over delivering public value. Through genuine engagement among our teams and the public, we've developed policies and programs that help millions of Americans. While PPL's scope is national, our primary focus is on New York City, our home base. We have an extensive track record of working with City agencies to support people experiencing housing instability and homelessness, including these recent and current projects:

→ With the **NYC Department of Homeless Services,** we designed, tested, and evaluated methods to help New Yorkers experiencing homelessness navigate the process of securing permanent housing. Ultimately, we developed Five Steps to Home: a system model and set of user-friendly tools that support shelter clients and shelter providers during the journey from shelter entry to move-out to permanent housing. This system model also provides a new framework for City training and monitoring around rehousing efforts. In 2021, DHS began to offer Five Steps to Home trainings to all city shelter staff, and beginning in 2022, DHS made the Five Steps to Home tools and materials available to shelters citywide. >> Please find two work products attached: **Appendix 5 - DHS Report** captures outcomes of research, and **Appendix 6 - DHS Prototypes** contains materials developed to assist shelter clients and staff in finding permanent housing. These materials include an overview of pathways out of shelter, including HRA-administered vouchers, such as City FHEPS.

→ For the **New York City Housing Authority**, we applied a human-centered approach to analyze NYCHA's implementation of alternative work schedules and generate recommendations for the NYCHA transformation plan. Working collaboratively with staff and residents at NYCHA developments, we evaluated how alternative work schedules can provide better service to residents and reduce overtime costs. Recommendations from our work were incorporated into NYCHA's transformation plan and the AWS program was ultimately re-tooled in ways that responded to many of our findings. >> Please find our recommendations report attached as **Appendix 7 - NYCHA Report**.

→ For the **NYC Department of Housing Preservation & Development**, we have launched a two-year effort to redesign the applicant, landlord, and staff experience of using and administering HPD's voucher programs. In this partnership, HPD and PPL will engage New Yorkers who use, accept, and administer Housing Choice Vouchers and Emergency Housing Vouchers (EHV) to identify what doesn't work in the current application/recertification system, then design tools, materials, and program models to make the process as fast and easy as possible.

→ For **NYC's Department of Youth and Community Development** and **Opportunity Starts with a Home Youth Action Board**, we are conducting research to understand the barriers that homeless youth face when seeking to secure market-rate housing. We will also explore the potential and feasibility of creating a lease-guarantor program that would serve New York City youth.

Case studies for many past PPL projects with public-interest partners can be found on our website, www.publicpolicylab.org.

5. Proposed Project Plan

How We Work

PPL applies an Agile sprint-and-release framework to our projects. The purpose of the Agile methodology is to successfully deliver a project, on time and on budget, while allowing for ongoing iteration and adaptation during project development. Sprints are two-week time periods that result in incremental completed activities or products that build toward a release. A release is a set of one or more sprints that results in the delivery of a complete product to our partner. (These 'products' generally represent project milestone deliverables, such as a research plan or findings report).

A full engagement with PPL includes ten standard releases: Scope, Prepare, Research, Synthesize, Co-Design, Launch, Monitor & Evaluate, Redesign, Integrate, and Share & Scale. Based on project goals, timeline, and available budget, PPL scopes a project plan that includes all or a subset of these releases.

Proposed Activities

PPL proposes to provide a process review to the Homeless Housing Placements Task Force through four releases of work: Scope, Prepare, Research, and Synthesize. These work phases will allow us to refine the project scope, prepare for research engagements, conduct research with stakeholders and document findings, then synthesize findings into recommendations for process improvement.

As required by HDC, we will complete these phases of work over the course of the 90 days between April 17, 2023, and July 16, 2023 – a total of 13 weeks. Detail about PPL's proposed approach to each of these phases is provided below. Costs and dates associated these phases of work are outlined in the Proposed Budget & Timeline section that follows.

Release 1: Scope (1 sprint/2 weeks)
Deliverable: Project Plan

During this preliminary phase, PPL and the Homeless Housing Placements Task Force will review the task force's existing understanding of process challenges and identify key stakeholders for project participation. HDC will provide any key reports, usage data, service contracts, and related literature to PPL for review. Based on collaborative discussion and a gap analysis of existing data, PPL will develop a project plan that details intended activities and areas for research.

We will also set up project logistics during this period. As a matter of practice, we hold weekly or bi-weekly meetings with our project partners. In this case, we expect that we will schedule a weekly meeting with the Director of Process Improvement and other members of the task force. For example, this could include representatives from DHS, as well as HPD's Homeless Placements Services unit. We will establish other project rhythms and norms, as desired. This could include a shared Slack channel, for example, or standing check-ins with the analytics team.

Release 2: Prepare (1 sprint/2 weeks + 1 buffer week for approvals)
Deliverable: Research Plan

In our second phase of work, we prepare for research. PPL will collect and perform a preliminary review of additional desk research materials, in addition to developing a detailed list of specific research sites and respondents. We'll do an internal review of past housing/homelessness projects and their associated outcomes. From there, we'll generate a research plan that includes research goals, methodology, any survey instrument or research stimuli, and preliminary discussion guides. We'll also propose a target sample size and associated number of research engagements.

PPL will present the research plan and collect feedback from the Homeless Housing Placements Task Force. HDC will explore how to support research participant recruitment and will identify what leadership and/or legal approvals may be required before beginning research. We expect that a research review by the Department of Social Services will occur at this point. Given the required 90-day timeframe for this project, we'd like to highlight the desire for a swift review. We propose to insert a buffer week between our delivery of the research plan and our intended kick-off of Release 3 research activities to allow for necessary reviews and for recruiting participants and scheduling interviews and/or site visits.

When PPL receives sign-off on the research plan, we will move on to the next phase of work.

Release 3: Research (2 sprints/4 weeks)
Deliverable: Research Findings (w/ Journey Map)

The third phase of work will comprise qualitative research with stakeholders to explore unresolved questions and dig deeper into the experiences and insights of specific target populations (e.g., tenant applicants, caseworkers, etc.).

PPL's qualitative research is informed by ethnographic methods, so we typically seek to conduct semi-structured individual or small-group interviews, shadowing, and observation, rather than structured focus-group engagements. We believe that the 'thicker' data collection achievable through this more open-ended approach is particularly valuable for uncovering patterns and trends, underlying structures, and mental models that determine system behaviors, even if those behaviors are not named or evident to all system participants. PPL will also seek additional context by conducting semi-structured individual and/or small-group subject-matter expert interviews with current agency operations and leadership staff, CBO provider staff, and other knowledgeable stakeholders to be identified in collaboration with the task force.

Project partners are welcome to join us for research activities as much as time and interest allow. We are well-versed in incorporating partners into participatory activities by introducing them to ethical research methods and equipping them to play a research support role. We should note that the only times that partners are not able to join in these activities is when their presence could create a problematic power dynamic with the research participant, such as a CBO-leader being interviewed by an agency staff member who oversees their contract.

While our typical practice is to conduct qualitative research in person, preferably in respondents' homes and/or workplaces, we are mindful of time constraints on this project. We may therefore focus on conducting in-person research with the respondents with whom that approach is most likely to be valuable (shelter clients and frontline staff) and use virtual tools to engage in research with leadership staff and subject-matter experts.

PPL will anonymize and organize the research data in a digital repository that can be shared with project partners. The release will culminate in an immersive share-out of user stories and experiences, aggregated as a preliminary current-state journey map, as well as documented research findings from the fieldwork and secondary research.

Release 4: Synthesize (2 sprints/4 weeks)

Deliverable: Preliminary Concept(s)

Once research is complete, the team will synthesize findings and generate recommendations for process improvement, both short- and long-term, and for communications related to process changes. The final sprint of the project will be dedicated to packaging the recommendations as a comprehensive findings report. We expect the final report to include visual representations of current-state processes and/or future recommendations, which will have ongoing storytelling value for this initiative.

We will deliver this report to the Director of Process Improvement for Housing Placements. Of course, we are also glad to present the report to relevant stakeholders, such as the full Task Force, City Hall, and other parties as determined in collaboration with the Director.

6. Engagement Letter/Contract

As PPL conducts primary research with members of the public and provider staff, we make extensive efforts to ensure that we receive informed consent from those respondents. We offer them control over our collection and management of their data, and we seek to provide them with the greatest degree of confidentiality that can be achieved in the context of projects that may include relaying human stories (i.e., non-aggregated data). We also seek to return news to respondents about how their data are being used. We therefore seek to negotiate agreements with the City of New York that allows PPL to retain ownership over our raw research notes and artifacts

The Public Policy Lab is currently engaging in work with the NYC Department of Housing Preservation & Development around the customer experience and efficacy of housing-choice vouchers, particularly Section 8. We are negotiating a Memorandum of Understanding with HPD regarding that work, and we'd propose to use a similar agreement in this engagement with HDC. Please find a genericized version of that MOU attached as **Appendix 8 - Sample MOU**.

7. Proposed Budget & Timeline

DATES	RELEASE ACTIVITY & DELIVERABLES	FEE
4/17/2023–4/28/2023	**Release 1: Scope** Deliverable: Project Plan • R1 Sprint 1: Collaboration with HDC and task-force members to define stakeholders and identify inquiry areas based on gap analysis.	$47,000
5/1/2023–5/12/2023	**Release 2: Prepare** Deliverable: Research Plan • R2 Sprint 1: Development of research plan and materials, collection and preliminary review of precedents and reference material, and respondent recruiting/scheduling.	$47,000
5/15–5/19	*buffer week: research scheduling continues during any required research plan review*	
5/22/2023–6/16/2023	**Release 3: Research** Deliverable: Research Findings • R3 Sprint 1: Research with respondents, focusing on SMEs and agency staff in week 1 of the sprint and on frontline providers and the public in week 2. • R3 Sprint 2: Documentation of research findings, including creation of preliminary journey map.	$95,000
6/19/2023–7/14/2023	**Release 4: Synthesize** Deliverable: Recommendations Report • R4 Sprint 1: Development of insights and recommendations from compiled primary research findings and desk research. • R4 Sprint 2: Creation of report with all final findings and recommendations.	$95,000
	TOTAL:	$284,000

APPENDICES

Appendix 1

Equal Employment

Appendix 1: Equal Employment

With fewer than 100 employees, PPL does not meet the reporting threshold for the Employer Information Report EEO-1. Of the 19 people currently on PPL's payroll, 15 (79%) do not identify as a man and 10 (53%) do not identify as a white person who is non-Hispanic or Latina/e/o/x.

Appendix 2

Minority and Women Owned Business Enterprise (MWBE)

Appendix 2: Minority and Women Owned Business Enterprise (MWBE)

As a not-for-profit organization, the Public Policy Lab is precluded from seeking certification as a minority-and women-owned business enterprise. We are, nonetheless, a woman-run organization: two of the Public Policy Lab's three founders team were women, half of PPL's board of directors are women, and four out of six of the organization's management staff are women. In addition, one third of founders, one third of the board, and half of management staff do not identify as a white people.

Appendix 3

New York City Location

Appendix 3: New York City Location

The Public Policy Lab has been headquartered in the city of New York since its founding in 2011. Of the 19 people currently on PPL's payroll, all but three work from our Brooklyn headquarters. PPL has never relocated employees outside of New York City (though a few valued staff members did choose to move out of the city during the coronavirus pandemic, and we retained them as employees). It is our strong preference and ongoing intention to hire staff who are able to work from our Brooklyn location, and we have no plans to locate employees or staff outside of New York City in the next two years.

The Public Policy lab has a strong commitment to the city of New York. In addition to conducting the majority of our public-interest work with New York City agencies and other local nonprofit organizations, we make a practice of offering paid internships to students from New York City universities, including Parsons School of Design, the School for Visual Arts, and Columbia University. As a not-for-profit organization, we do not engage in corporate philanthropy or extensive subcontracting, but we have formed partnerships with other nonprofits and major New York City philanthropies, including the Robin Hood Foundation and the New York Community Trust.

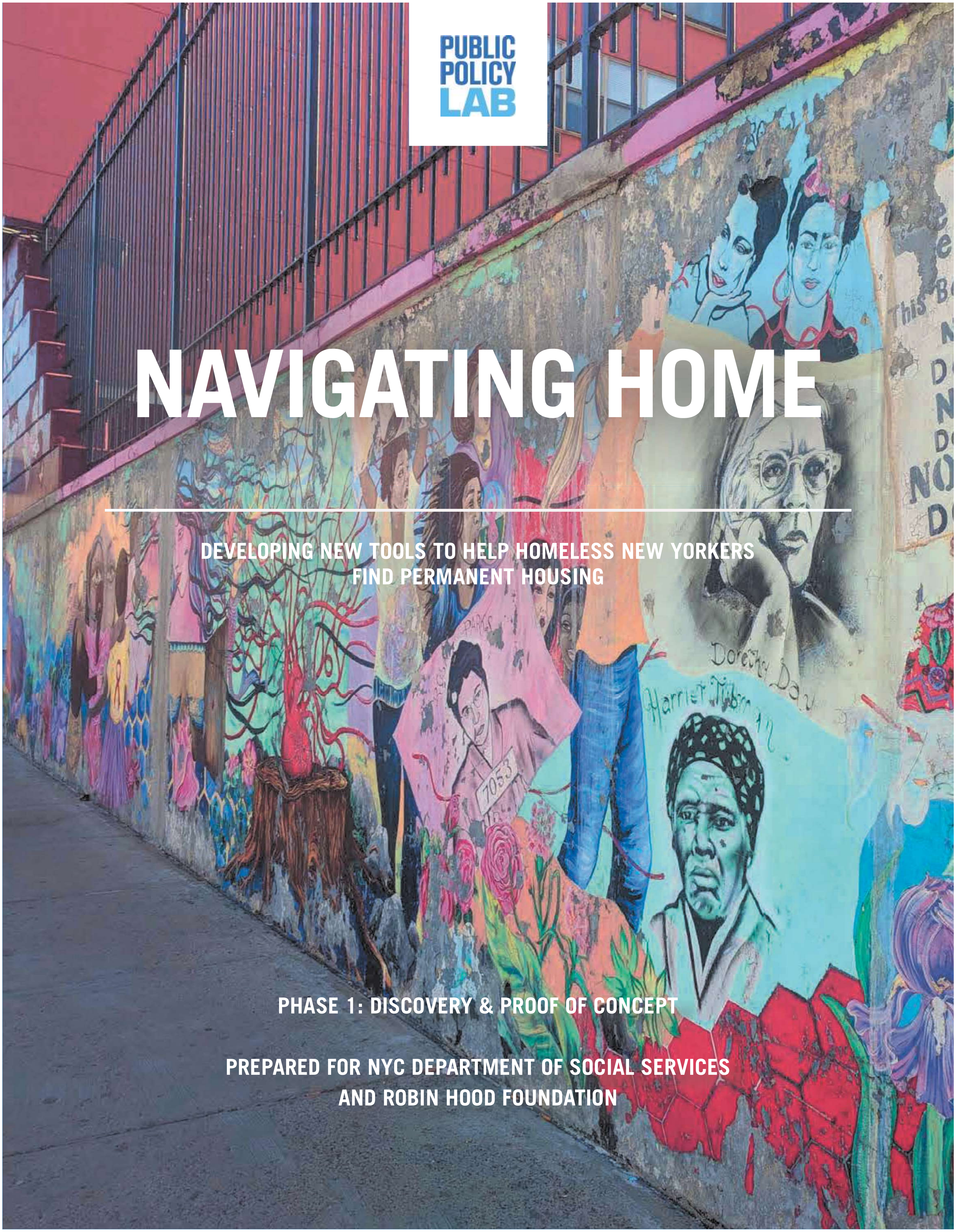
Appendix 4

Local Law 34 Compliance

Appendix 5

DHS Report

PUBLIC POLICY LAB



NAVIGATING HOME

DEVELOPING NEW TOOLS TO HELP HOMELESS NEW YORKERS FIND PERMANENT HOUSING

PHASE 1: DISCOVERY & PROOF OF CONCEPT

PREPARED FOR NYC DEPARTMENT OF SOCIAL SERVICES AND ROBIN HOOD FOUNDATION

Navigating Home documents a project undertaken by the NYC Department of Social Services, the Robin Hood Foundation, and the Public Policy Lab, a nonprofit innovation lab for government.

Recommended Citation: Public Policy Lab. *Navigating Home: Developing New Tools to Help Homeless New Yorkers Find Permanent Housing*. New York, NY: Public Policy Lab, 2019.

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Shelter staff celebrating successful client move outs.

DHS staff provides feedback on proposed design concept areas to a PPL team member.

EXECUTIVE SUMMARY

On a daily basis, staff at hundreds of homeless shelters across New York City are working to help their clients find, secure, and move out to permanent housing, a process otherwise known as “rehousing placements.” Yet this task is executed with varying degrees of success across the system.

This project, Navigating Home, explored how the NYC Department of Social Services (DSS)/Department of Homeless Services (DHS) and shelter providers can better assist clients in transitioning to permanent housing. Researchers and designers from the Public Policy Lab, together with project partners from DSS and Robin Hood Foundation, conducted fieldwork to understand what makes some shelters ‘positive deviants’ that consistently meet their move-out targets.

While exploring how shelter clients interact with shelter staff and systems, from shelter entry to exit, the project team particularly focused on the role of housing specialists. These key shelter staff assist families in navigating New York City’s housing market, understanding voucher programs, and in applying for housing units.

FIELD RESEARCH

“It’s not just placing people in a unit, it’s about providing people advocacy and social service support once they’re placed.”

Frontline Provider

Project Scope

From a design perspective, Phase 1 of Navigating Home aimed to identify and validate areas of intervention that can improve move-out rates. This is called a ‘proof of concept.’ In order to test the validity of these intervention areas, we collaborated with shelter staff and clients to design and test a set of service concepts and related prototypes.

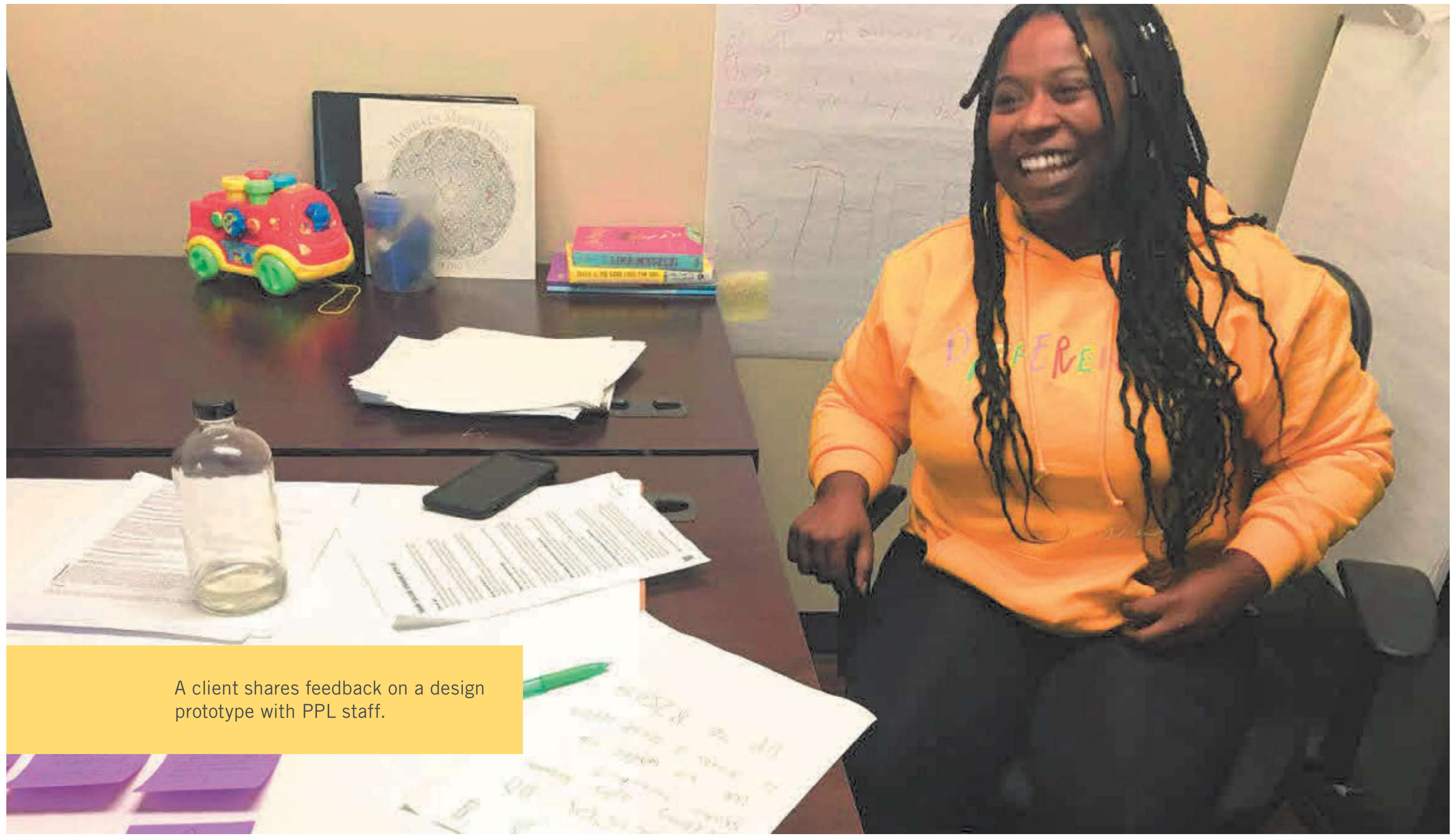
Our concepts were developed using human-centered design methods that have been proven to show intended behavior change. The prototypes consist of new tools, materials, and processes that we believe will both affect move-out rates and reduce the risk of returning to shelter.

This proof-of-concept work lays an important foundation for Phase 2, in which program models and tools can be further developed then tested in small-scale pilots.

FIELD RESEARCH

“You’re coming for help so the places where you are looking for help, [they] should have what they need to help you.”

Client



A client shares feedback on a design prototype with PPL staff.

What We Found

The project team collaborated with shelter staff and with clients in ethnographic research activities to identify factors that influence placement. Unsurprisingly, this research identified systemic challenges that shelters have limited ability to address, even if otherwise high-performing. These factors, such as New York City's tight rental market and level of voucher subsidy, are beyond the scope of this project.

However, we also distinguished seven factors relating to service quality that shelter staff are able to influence. The more successfully that a shelter managed these factors, the higher performing they tended to be. This project therefore focused on these seven factors as areas of observed opportunity for design intervention.

Upon evaluating shelter practices, we also found that housing specialists in high-performing shelters are integrated into teams that collaborate to support each client, from entry to exit. By comparison, housing specialists in low-performing shelters tend to work autonomously with clients, resulting in more frequent service gaps. Consequently, we have designed interventions that encourage holistic, client-centered, and team-based models for work – and that require engagement from more staff members than housing specialists alone.

DISCOVERY RESEARCH

See pg. 10 for details on our research methodology.

FACTORS FOR SUCCESS

See pg. 12 for details on the systemic challenges shelters face and the seven critical factors shelter staff are able to influence.

FIELD RESEARCH

"Everyone gives you different information."

Client

What We Designed

By mapping how clients progress from shelter entry to exit, we defined four areas for staff intervention: preparatory training, on-arrival triage of client needs, and the client experience of the journey to move out from shelter and getting settled.

Through a co-design process, we developed and tested a number of interaction concepts for each opportunity area. We also identified tools that could be created to support each concept, and trialed a subset of them during proof-of-concept field-testing.

INTERVENTION AREAS

See pg. 14 for details on the four intervention areas we identified and concepts and prototypes we designed.

What Comes Next

We believe this proof-of-concept phase has identified real opportunities to institute or amplify holistic efforts by shelter staff to assist New Yorkers in moving into permanent housing. These interventions should be further **developed, tested in small-scale pilots, and evaluated** for acceptance and value. If proven successful, these approaches can be scaled system-wide and integrated into the new training program to be to be developed by DHS, , the DSS Office of Policy, Procedures and Training (OPPT), and the CUNY School of Professional Studies (SPS), with the intended outcome of generating measurable increases in permanent placements.

PHASE 2 PILOT

See pg. 32 for recommendations for the next phase of this project.

1 WHAT WE FOUND

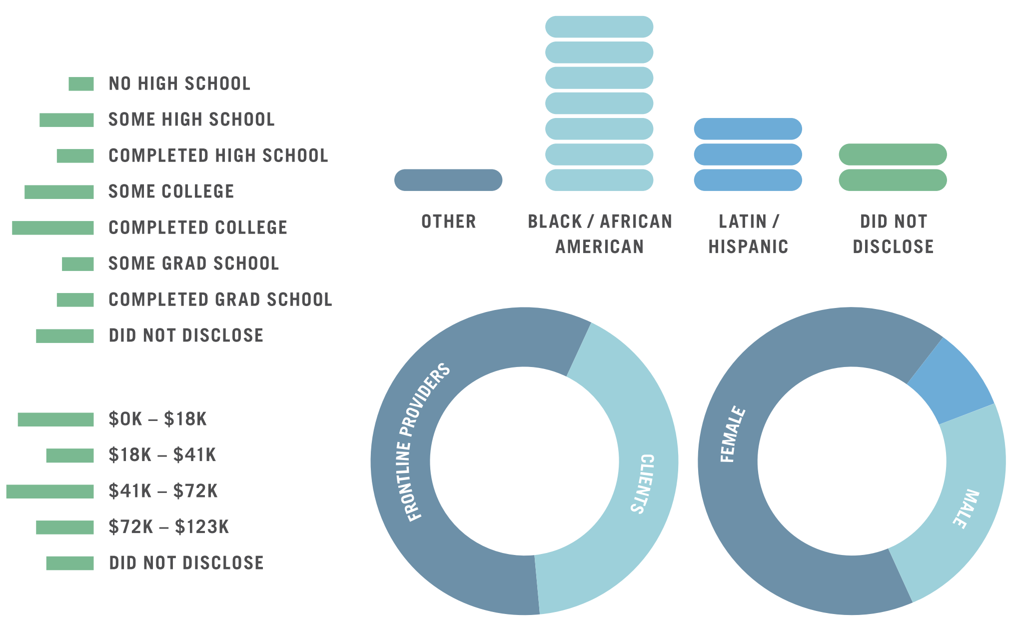
A PPL team member discusses a design concept with shelter staff.

Discovery Research

Over the course of the project, the Public Policy Lab team completed more than 250 hours of research, co-design, and field testing at 12 shelter sites, DHS events, and DSS stakeholder meetings. Public Policy Lab also facilitated four co-design workshops for over 100 shelter staff at two housing specialist quarterly meetings, and we furthered our refinements through several rounds of DSS stakeholder meetings.

250+
HOURS OF RESEARCH, CO-DESIGN, AND FIELD TESTING

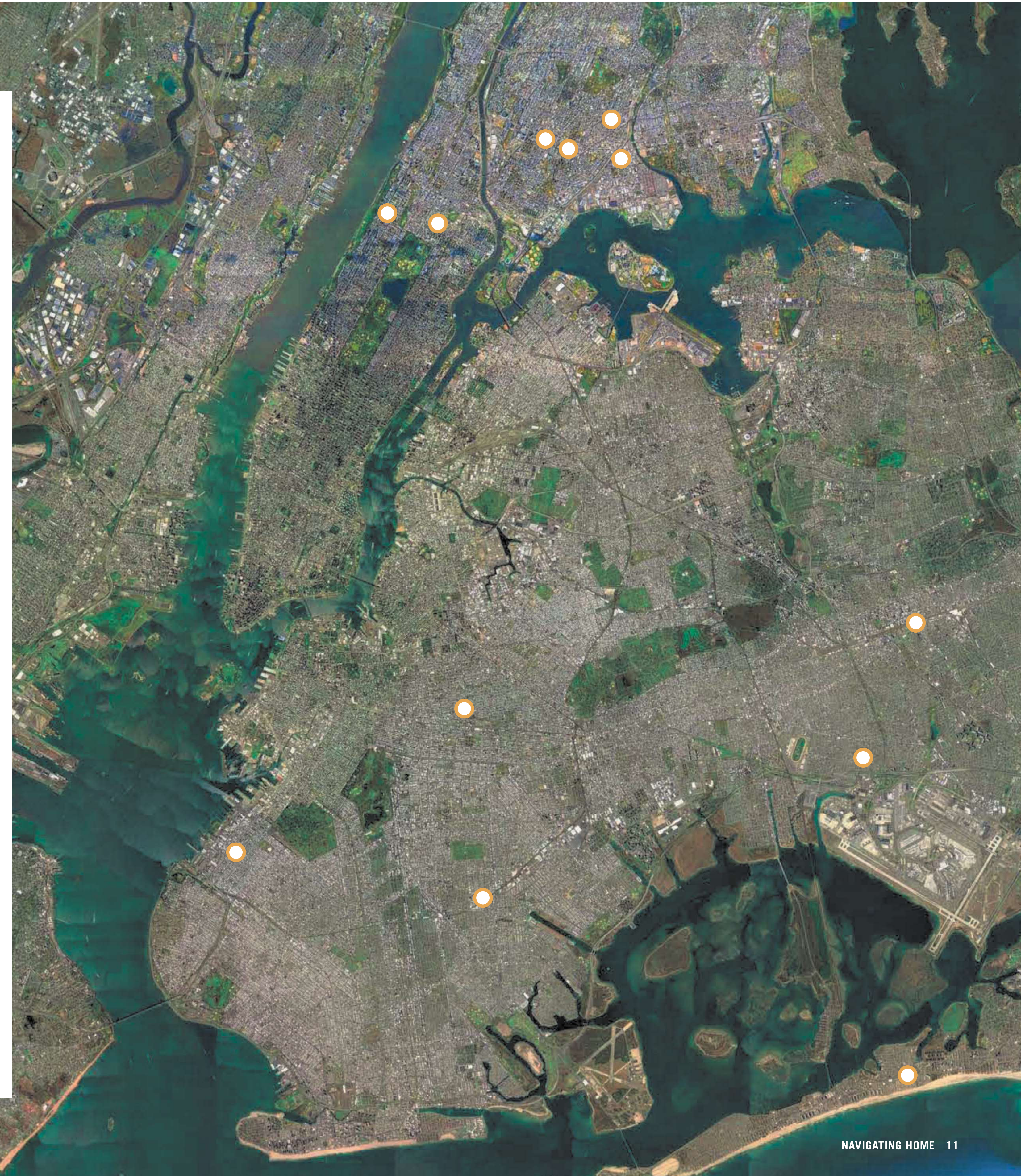
69 AT **12**
SHELTER STAFF AND CLIENTS INTERVIEWED — SHELTER SITES



215
UNIQUE STAFF AND CLIENTS ENGAGED VIA RESEARCH AND CO-DESIGN

120
HOUSING SPECIALIST WORKSHOP PARTICIPANTS

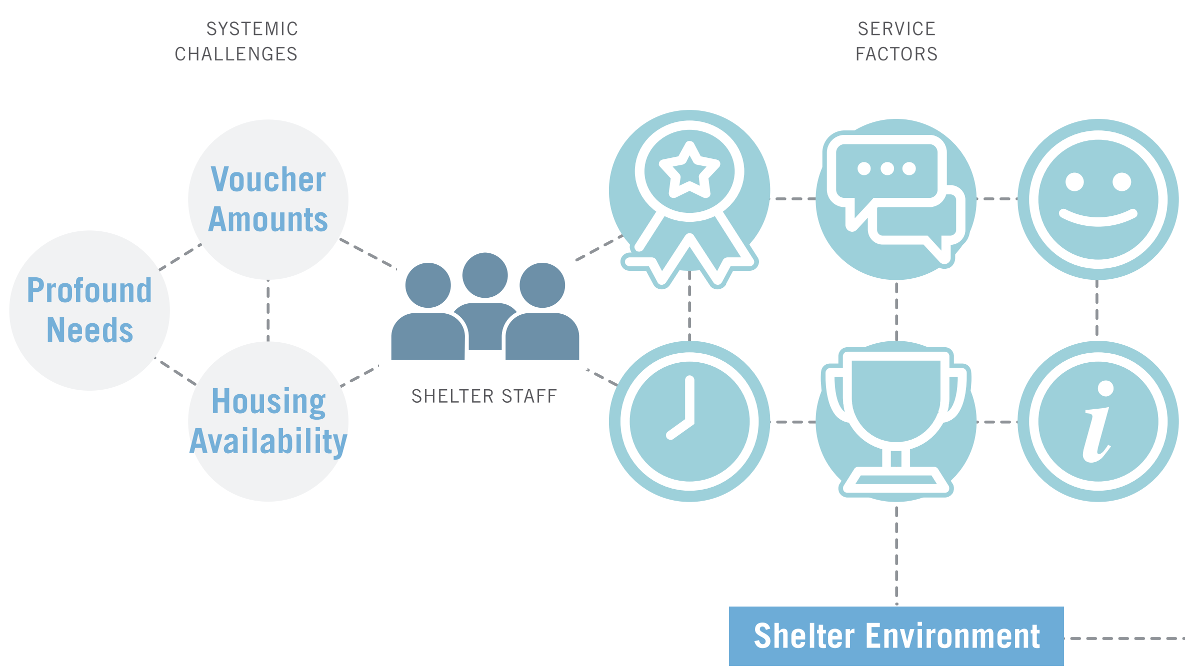
26
DSS STAFF PROVIDING TECHNICAL FEEDBACK AND PROTOTYPE REFINEMENT



FACTORS FOR SUCCESS

Our research revealed a range of factors that consistently affect the performance of shelters. Many are **systemic challenges that are difficult for even high-performing shelters to address**, including the amounts allocated for vouchers, housing availability (especially of supportive housing and NYCHA), and complex client needs, particularly relating to immigration status, unmanaged substance abuse, mental/physical health challenges, poor credit rating, and having a criminal record.

While the above challenges are beyond the scope of this project, we also identified **seven factors relating to service experience that shelters can affect**. Indeed, we found that shelter performance can be correlated with how successfully the seven factors are being addressed. These seven factors are outlined below.



Expertise

Housing specialists require more than a Rolodex to work effectively with clients to move out – they also need system knowledge, client data, and people skills.

Relationships

Without personal engagement, clients may not feel helped, even if they got assistance moving out. Good relationships can be built through mutual expectation-setting between staff and clients and by staff taking time to build rapport outside of case meetings.

Client Management

There are no 'typical' cases, but the system struggles to move away from a 'one size fits all' approach. An assessment of each client's unique needs can be used to evaluate the level of service required.

Time Management

The longer it takes for a client to identify permanent housing, the more momentum they may lose. Setting clear expectations for the process and identifying other motivators can help maintain a trajectory toward move out.

Goal Setting

While moving out of shelter is the primary goal, staff can support clients in setting additional skills-building goals, both to manage the search process and life beyond the shelter.

Information Channels

Both clients and staff seek clear information about strategies to successfully navigate the housing journey (particularly eligibility and compliance with PA and vouchers), as well as house-searching tools and best practices.

FIELD RESEARCH

"I wish DHS had training about different vouchers."

Frontline Provider

FIELD RESEARCH

"Clients feel like no one is helping them, and they lose hope after being in the system for a while."

Frontline Provider

FIELD RESEARCH

"I now use City FHEPS, but I am scared of it. They said after five years – then it will expire. I am scared I'm going to go back to the shelter."

Client

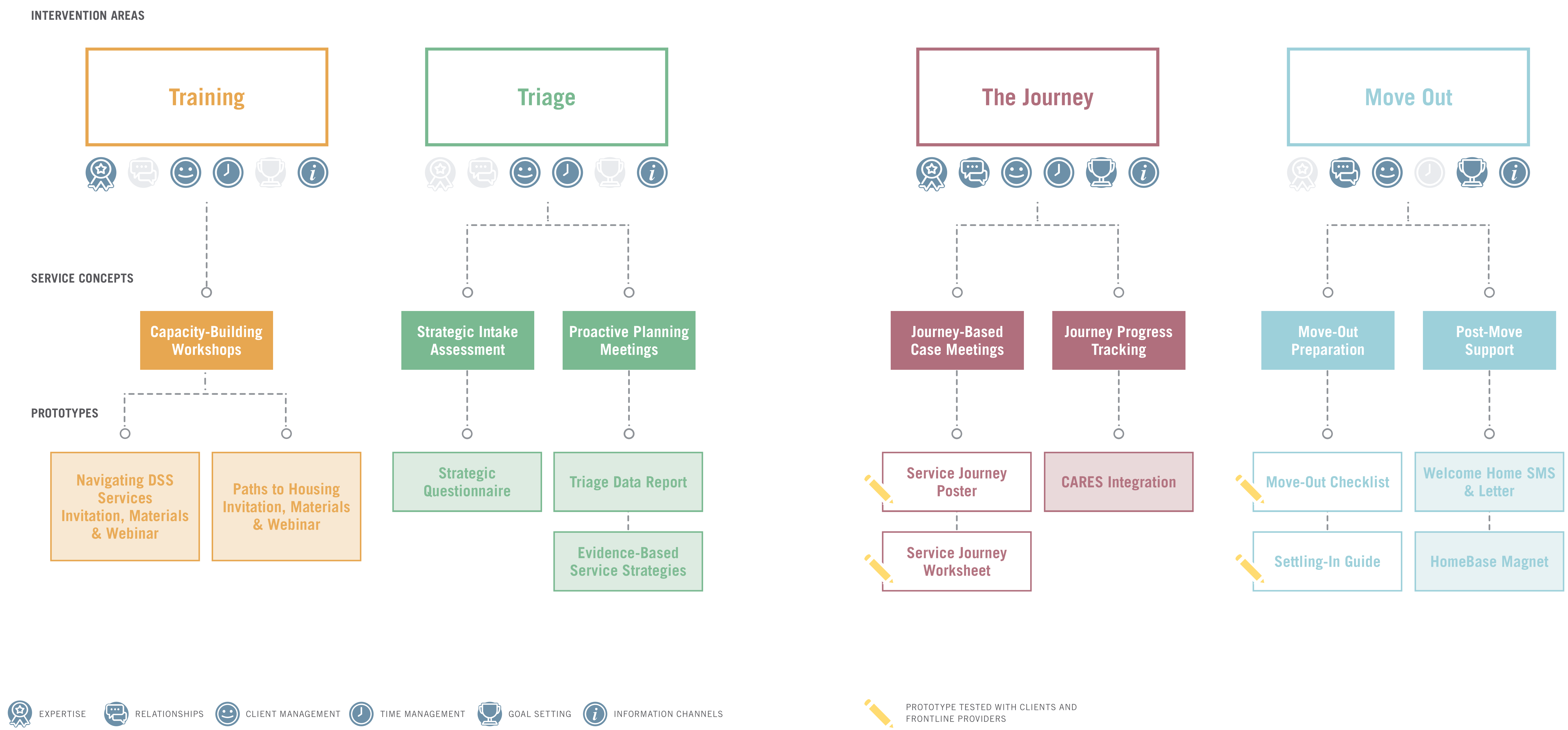
SHELTER ENVIRONMENT

Please note that Factor 7, Shelter Environment, is a product of all of the other factors combined. Therefore, it has not been an area of explicit focus in this phase of work. We anticipate making recommendations for Shelter Environment during Phase 2, after we have tracked how the combined factors influence the overall environment.

INTERVENTION AREAS, CONCEPTS & PROTOTYPES

Informed by the critical factors, we identified four key intervention areas along the shelter journey that could improve the shelter service experience. We then researched and developed seven key concepts, distributed across the four intervention areas, for how these interventions can be applied.

In addition, we designed and tested prototypes of tools or materials related to two of the seven concepts. (Prototype materials for the remaining concepts require additional data collection and testing before they can be developed.)



2 WHAT WE DESIGNED

Stimuli from design research with shelter staff.

INTERACTION MODEL

A Holistic, Client-Centered Approach

One aim of Navigating Home was to investigate how housing specialists could be better equipped to be primary drivers of client move-outs. However, our research analysis revealed that housing specialists are most effective when collaborating within a well-integrated team.

Our intervention areas reflect this best practice through the design of concepts that encourage holistic staff engagement with clients. Some features of this approach include:

- Upstream interventions that target case-manager interactions, given that they work with clients from arrival through to exit.
- Finding opportunities for generating and capturing data that can support evidence-based decision-making at all levels.
- Skills-building opportunities for clients, case managers, and housing specialists.
- Consideration of the role that wraparound services can play while clients are in shelter, as well as after they move out.

Training

A pragmatic, engaging, and interactive training series for frontline staff, delivered both in-person and via webinar, can build staff knowledge around crucial housing topics. Proposed **capacity-building workshops**, with associated materials and webinar, include:

Navigating DSS Services (for case managers)
Paths to Housing (for housing specialists)

Triage

Data-driven interactions can enable frontline staff to conduct a **strategic intake assessment**, then hold **proactive planning meetings** to monitor progression toward rehousing and employ appropriate interventions. Proposed tools to support triage interactions include:

Strategic Questionnaire: a set of questions, asked during initial assessment and at each subsequent case management meeting, that match clients with a service category according to suitable rehousing options, action steps necessary to achieve, and progression toward move-out.

FIELD RESEARCH

"These topics are needed. Every shelter – across the board – is probably struggling with that."

Frontline Provider

FIELD RESEARCH

"We are the tools for these clients."

Frontline Provider

FIELD RESEARCH

"Everyone gives you different information."

Client

Triage Data Report & Evidence-Based Service Strategies: reports based on Strategic Questionnaire data and an associated rubric for targeted strategies to meet identified client needs.

The Journey

A visualization of the journey to permanent housing, customized for staff and client use across multiple touchpoints, can encourage client agency and momentum. Proposed tools for **journey-based case meetings** and **journey progress tracking** include:

Service Journey Poster: a detailed, client-centered visualization of the client's journey to permanent housing.

Service Journey Worksheet: a simplified view of the journey to be used as a motivational tool during case management meetings.

CARES Integration: systems modifications that enable case managers to log the journey according to critical steps achieved by clients. This results in a data set which supports case management and shelter-level reporting about client progress.

Move Out

Programs and tools can support clients through moving out of shelter, establishing a new home, and creating a desirable quality of independent life. Proposed tools for **move-out preparation** and **post-move support** include:

Move-Out Checklist: a list of time-based tasks that help clients organize themselves for move out and setting up their new home.

Settling-In Guide: suggestions and resources that help clients become comfortable with independent living.

Welcome Home SMS & Letter and HomeBase Magnet: a series of multi-channel communications that aim to reduce return to shelter by alerting clients to essential support services, as well a fridge magnet with contact info for eviction-prevention support.

FIELD RESEARCH

"Every case worker doesn't document the same way... there should be one process to record notes."

Frontline Provider

FIELD RESEARCH

"We want them to know that we're all working on the same goal."

Frontline Provider

PPL and DSS staff explore design concepts in a co-design session.

The following interaction model explains how each of the interventions, concepts, and prototypes are interconnected. While they can be used independently, they'll have maximum effect on staff and client success if implemented together.

FRONTLINE PROVIDER ACTIONS
CLIENT / AGENCY ACTIONS
INTERACTION LINES
INTERVENTION AREAS

CLIENT ACTIONS

GET READY

Client Arrives at Program Shelter

Case Manager Conducts Triage

FRONTLINE PROVIDER ACTIONS

Staff Attends Capacity-Building Workshops

Case managers learn about vouchers, public assistance, and coaching clients. Housing specialists learn about building networks, housing rights, and empowering clients.

Navigating DSS Services Invitation, Materials & Webinar

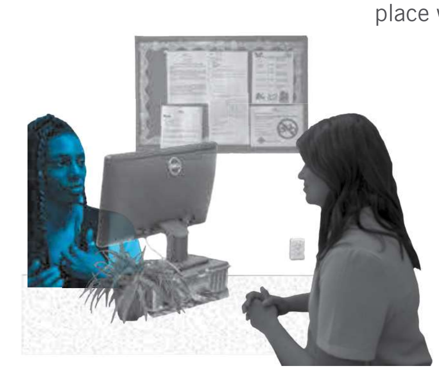
Case managers receive digital flyer, sign up, and download training materials. Case managers participate in webinar if they cannot attend in-person workshop.

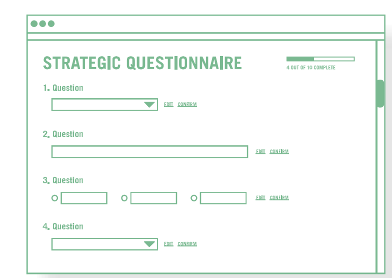
Paths to Housing Invitation, Materials & Webinar

Housing specialists receive digital flyer, sign up, and download training materials. Housing specialists participate in webinar if they cannot attend in-person workshop.

Client Arrives at Program Shelter

Case manager assesses client for eligibility. At families-with-children shelter, case manager assesses client for eligibility at intake; at all other shelters, ILP and full assessment take place within 48 hours





Case Manager Conducts Triage

Strategic Questionnaire

Case manager determines client's case complexity by reviewing key client assessment responses, asking brief additional questions, and inviting a self-assessment.

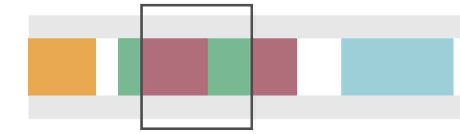
INTERVENTION AREA: TRAINING

INTERVENTION AREA: TRIAGE

FRONTLINE PROVIDER TO STAFF ACTIONS

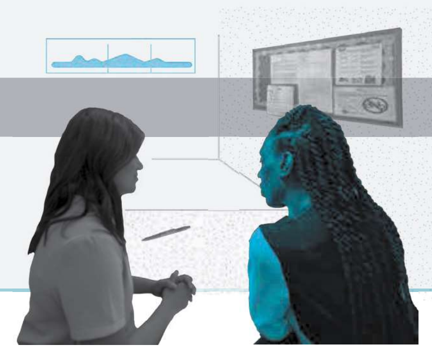
Staff Attends Capacity-Building Workshops

DHS identifies facilitator and markets training through various channels.



CLIENT ACTIONS

Client is prepared for housing search



Client Meets Regularly with Case Manager

Client Prepares for Housing Search

- WORKS AND SAVES MONEY
- APPLIES FOR AND MAINTAINS PA
- GATHERS DOCUMENTS

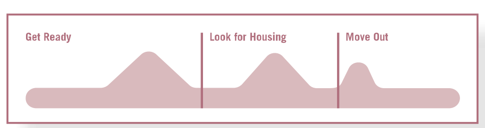
FRONTLINE PROVIDER ACTIONS

Client Meets Regularly with Case Manager

Case manager and client complete a comprehensive ILP and define a move-out strategy.

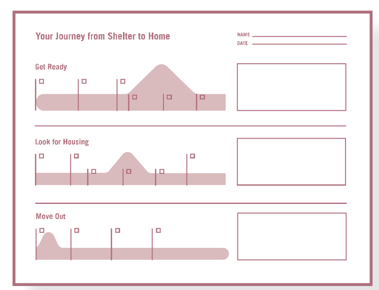
Service Journey Poster

Case manager explains move-out strategy using the service poster.



Service Journey Worksheet

Case manager and client discuss both move out and general life goals. Next-step activities are set using the journey worksheet.

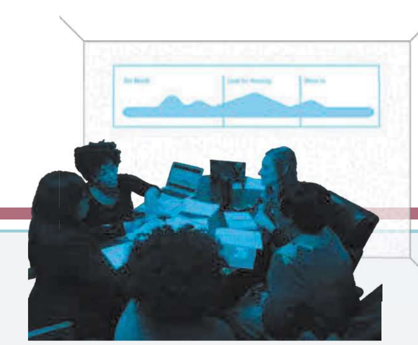


INTERVENTION AREA: THE JOURNEY

Case Manager Tracks Progress

CARES Integration

Case manager logs client's journey goals in CARES.



Staff Meet for Progress Planning

Shelter staff convene to make strategic and tactical decisions based on triage data.

Triage Data Report

To better understand and manage caseload, case manager generates reports about case complexity and client progress. Shelter director reviews triage data to understand shelter-level progress and, as challenges arise, make requests to DHS.

Evidence-Based Service Strategies

Shelter staff meet regularly to make evidence-based decisions about improving move-out rates.

INTERVENTION AREA: TRIAGE

FRONTLINE PROVIDER TO STAFF ACTIONS

Staff Meet for Progress Planning

Staff shares shelter-level data with DHS to highlight performance concerns, then DHS proposes options for support.

CLIENT ACTIONS

Client Meets Regularly with Housing Specialist

LOOK FOR HOUSING

Client Looks for Housing

- LOOKS FOR APARTMENTS
- VIEWS APARTMENTS
- TRACKS VIEWINGS

Client Finds a New Home

MOVE OUT

Client Gets Organized to Move

- COMPLETES MOVE-OUT CHECKLIST
- TURNS ON UTILITIES (if applicable)

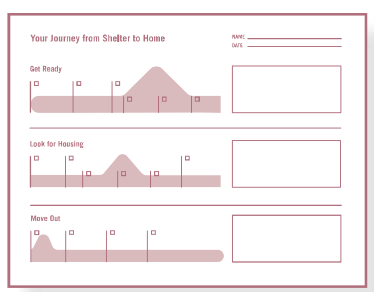
FRONTLINE PROVIDER ACTIONS

Client Meets Regularly with Housing Specialist

Housing specialists prepares client for housing search.

Service Journey Worksheet

As a warm hand-off, case manager and client meet with housing specialist to share the client's journey worksheet and discuss progress.



Client Looks for Housing

Housing specialist meets with client to address challenges, stoke motivation, and provide clarification. At times, the housing specialist may accompany the client at viewings.

Client Finds a New Home

Housing specialist views client's apartment.

Frontline Staff Finalize Paperwork

Case manager and housing specialist prepare documents which enable client to move out.

Move-Out Checklist

Housing specialist gives client a list of tasks to complete while waiting for their rent check.

INTERVENTION AREA: THE JOURNEY

INTERVENTION AREA: EXITING

FRONTLINE PROVIDER TO STAFF ACTIONS

Frontline Staff Finalize Paperwork

DHS approves rental package.

CLIENT ACTIONS

Client moves into new home!

Client and Case Manager Meet for Exit Interview

Client Moves Out

Client Settles Into New Home

Settles into independent life.

- CONTINUES TO WORK AND SAVE MONEY
- EXPLORES NEIGHBORHOOD
- PAYS RENT AND BILLS ON TIME
- MAINTAINS PA

FRONTLINE PROVIDER ACTIONS

Client and Case Manager Meet for Exit Interview

Client and case manager meet to identify wraparound services the client may need after move out.

Settling-In Guide

Case manager shares a list of items which can help with getting settled into a new neighborhood.

Staff Provide Post-Move Support

Welcome Home SMS & Letter

HomeBase Magnet

Two days after move out DHS sends client a welcome home robo-text SMS message. One week after move out client receives a welcome home letter and HomeBase magnet from their shelter.

INTERVENTION AREA: EXITING

FRONTLINE PROVIDER TO STAFF ACTIONS

INTERVENTION AREA:

TRAINING

A pragmatic, engaging, and interactive training series of **capacity-building workshops** for frontline staff, delivered both in-person and via webinar, can build staff knowledge around crucial housing topics.

Design Objective

Offer professional development for frontline staff that's targeted and easy to use.

Potential Impact on Move-Outs

- Case managers will be better informed about best practices so that they can work with greater efficiency and confidence to coach clients about navigating public assistance and obtaining permanent housing.
- Housing specialists will be able to work more effectively with clients and landlords/brokers, as well as have a richer pool of landlords/brokers in their network.
- Clients will report greater ease and confidence in finding permanent housing.

Insights from Proof-of-Concept

How Did We Test the Concept?

- Validated and refined both content and format at two housing specialist workshops that we facilitated as a part of a DHS quarterly housing specialist training.

What Did We Learn?

- Preferences were split between in-person and webinar trainings, best to combine both.
- Union regulations will likely render additional training as voluntary.
- While overall enthusiasm was strong, shelter leadership will need to drive engagement and allow staff time in their schedules to attend.
- Both trainings should be open to all staff as some may wish to cross-train.

What Should Happen in a Phase 2?

- Partner with DHS' Office of Program Development and Implementation to fully evolve the content and recruit speakers.
- Design and test takeaway materials and tools.
- Test live trainings for each prototype.

FIELD RESEARCH

"Things are always changing. We should be ahead."

Frontline Provider

FIELD RESEARCH

"These topics are needed. Every shelter – across the board – is probably struggling with that."

Frontline Provider

FIELD RESEARCH

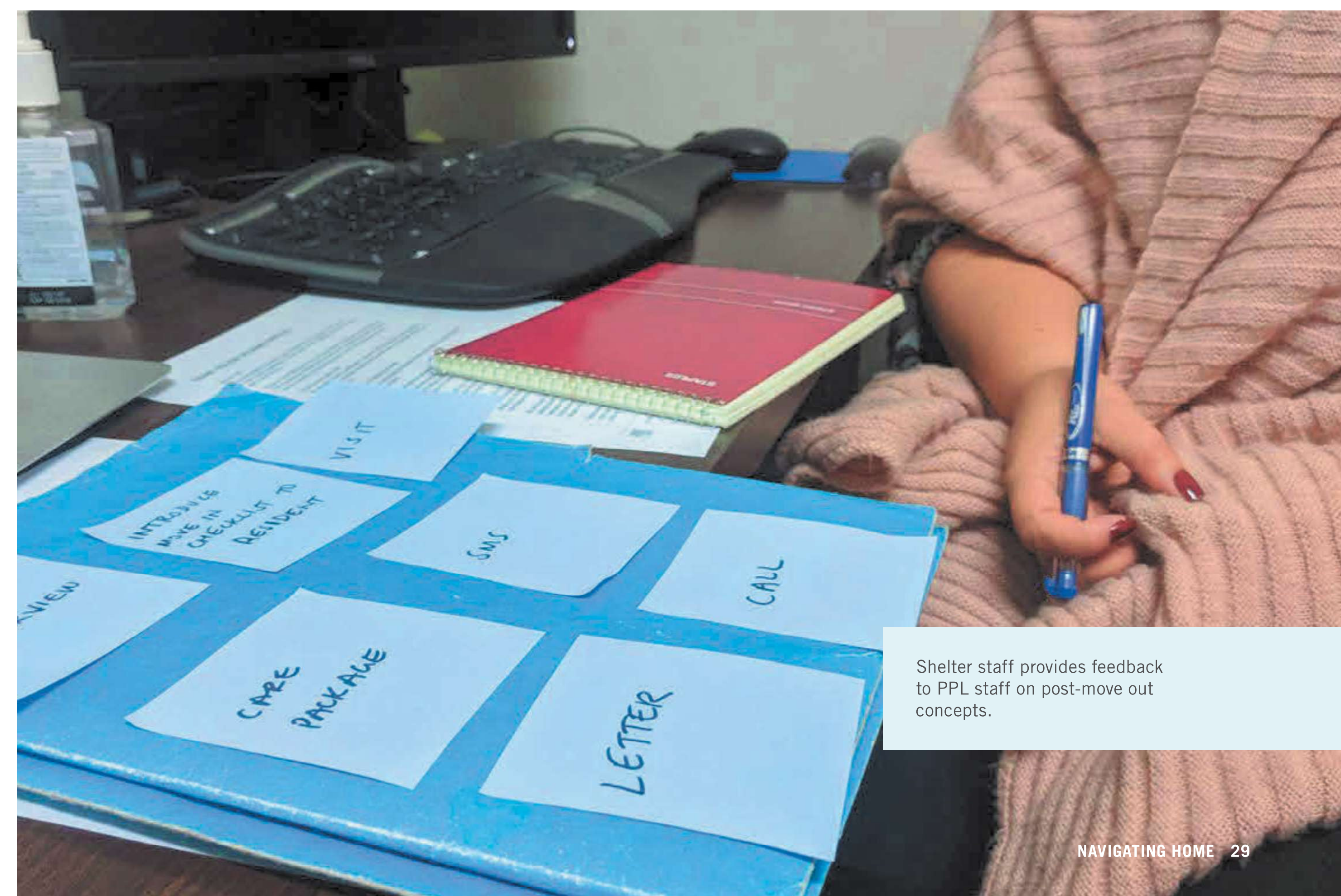
"I've been trying to train people. I'm into retention and keeping my staff. If there's any way they can get it without me having to take the ultimate route, that would be huge."

Frontline Provider

FIELD RESEARCH

"When you speak to the landlord you have to sell [the voucher]. You can't sell something you don't know that well."

Client



Shelter staff provides feedback to PPL staff on post-move out concepts.

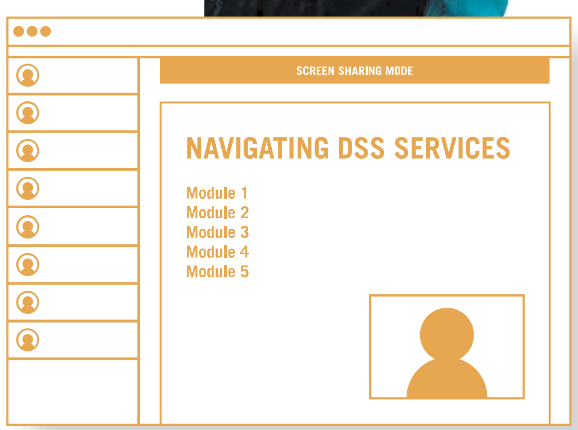
Training Service Concepts

Capacity-Building Workshops

These interactive 90-120 minute workshops, led by facilitators with field experience, are held semi-annually; participants attend in person or via live-stream webinar. While the two workshops are designed (respectively) for case managers and for housing specialists, they are open to all frontline staff. Between scheduled sessions, new hires are encouraged to watch archived webinars and download workshop materials.

Navigating DSS Services Invitation, Materials & Webinar

Paths to Housing Invitation, Materials & Webinar



Navigating DSS Services Workshop (for case managers): covers topics such as understanding vouchers and public assistance and coaching clients effectively; also includes an opportunity for Q&A with HRA staff. Participants receive materials such as a 'vouchers 101' cheat sheet.

Paths to Housing Training (for housing specialists): familiarizes participants with best practices in building relationships with landlords and brokers, understanding and communicating housing rights, and motivating and empowering clients. Participants receive one-pagers that can be used to support client meetings.

A PPL team member conducts co-design with shelter staff.

INTERVENTION AREA:

TRIAGE

Data-driven interactions can enable frontline staff to conduct a **strategic intake assessment**, then hold **proactive planning meetings** to monitor progress toward rehousing and employ appropriate interventions.

Design Objective

Help frontline staff work proactively so that they can more easily meet clients where they're at.

Potential Impact on Move-Outs

- Clients will receive support tailored to their level of motivation, identified rehousing options, and action steps necessary to achieve move-out, resulting in fewer services gaps, increased momentum, and potentially a reduction in shelter stay.
- Case managers gain efficiencies with a data-driven method for customized client support, that can ultimately reduce length of stay.
- Shelter directors and directors of social service can plan proactively, as they would understand the volume and range of complex cases they're supporting, as well as each case's progress. Shelters can then identify and strategize how to address patterns (e.g., a large number of long-term stayers that are employed), move out straight forward cases more quickly, and DHS can have data to support future need requests.

FIELD RESEARCH

"The ILP is very client-focused but doesn't include what case workers should do to help clients progress."

Frontline Provider

FIELD RESEARCH

"When people lose motivation, it is over a course of time... Make sure they leave soon, not even 6 months"

Frontline Provider

Insights from Proof-of-Concepts

How Did We Test the Concepts?

- Validated client groupings through feedback captured during shelter fieldwork sessions.
- Proposed the strategic questionnaire during DHS systems immersions meetings.

What Did We Learn?

- Assessment is already lengthy and repetitive. Triage responses should pre-populate from select questions asked during existing assessments.
- Assessment questions should be drawn from CARES, CAS and the Housing Plan along with additional questions relating to steps necessary to achieve move-out and client's current level of motivation to take appropriate action.
- Triage should be conducted by case managers as early as possible after initial assessment and repeated again 4 weeks later. It is likely that some responses and needs may change once the relationship between case manager and client has matured.
- Triaging should feel like an efficiency gain, rather than an additional task.

FIELD RESEARCH

"A client is coming to shelter seeking help... We are the professionals so we should meet them where they are at."

Frontline Provider

FIELD RESEARCH

"I just let them talk. There's always something that they say... and I know that's how we're going to get them out."

Frontline Provider

What Should Happen in a Phase 2?

- Partner with DHS experts to refine strategic questionnaire questions.
- Find opportunities for development within the existing CARES upgrade roadmap.
- Wireframe and prototyping screens.
- Design and test an efficient workflow.
- Live test the strategic questionnaire.
- Observe existing proactive planning meetings to design an agenda or set of standards.
- Live test proactive planning sessions.

Triage Service Concepts

Strategic Intake Assessment

During the client's first full assessment select responses will pre-populate a strategic questionnaire (potentially included in a future iteration of CARES). It will automatically tabulate a categorization for the client which reflects suitable housing options, level of service needed (deduced from questions relating to case complexity, level of motivation and action steps necessary to achieve move-out). The program will recommend actions relating to service activities which can be documented in the ILP. The strategic questionnaire should repeat one month later, once the relationship between case manager and client has matured.

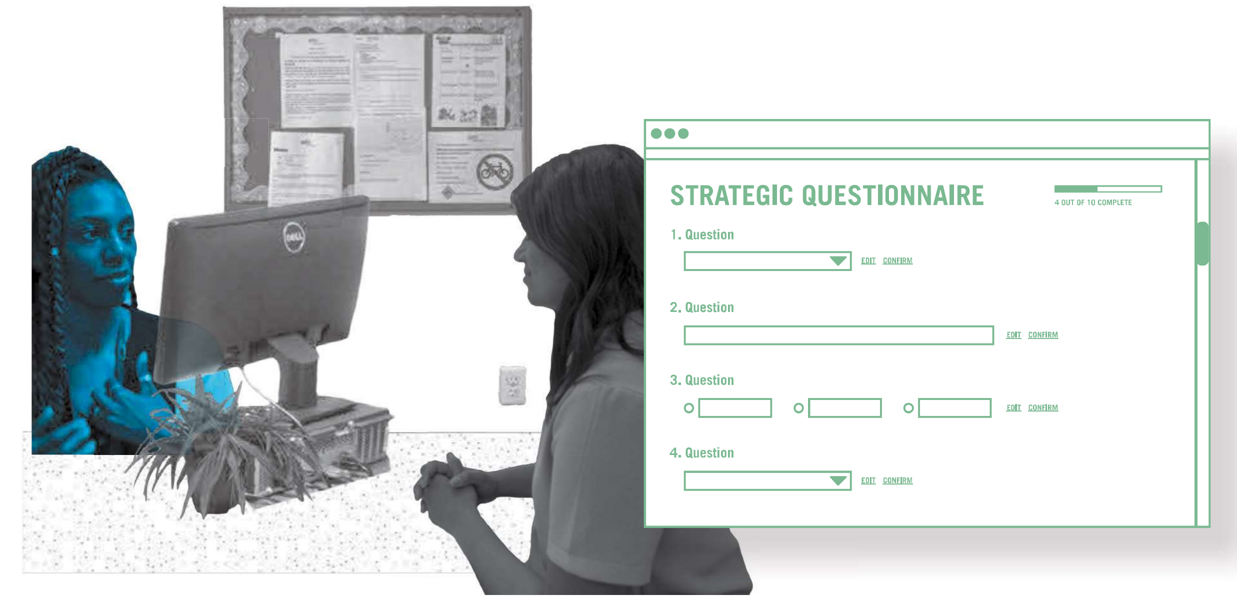
Strategic Questionnaire

Proactive Planning Meetings

A monthly meeting between the director of social services, case managers, housing specialists and social workers. They review the aggregated data of the strategic questionnaires to evaluate shelter-wide progress with move-outs. They also identify complex cases and form collaborative strategies for dealing with them. Meeting outcomes are logged and tracked.

Triage Data Report

Evidence-Based Service Strategies



Strategic Questionnaire: a set of questions, asked during initial assessment and at each subsequent case management meeting, that match clients with a service category according to suitable rehousing options, action steps necessary to achieve, and progress toward move-out.

Triage Data Report & Evidence-Based Service Strategies: reports based on strategic questionnaire data and an associated rubric for targeted strategies to meet identified client needs.

A client shares her shelter experience with PPL staff.

INTERVENTION AREA:

THE JOURNEY

A visualization of the journey to permanent housing, customized for staff and client use across multiple touch points, can encourage client agency and momentum through **journey-based case meetings** and **progress tracking**.

Design Objective

Provide motivating visual tools that make the journey intelligible to all stakeholders, build a spirit of collaboration, and enable everyone to undertake their responsibilities with greater ease.

Potential Impact on Move-Outs

- Clients will have greater clarity about the steps they need to take in their journey to permanent housing, thereby setting expectations and decreasing the possible fear of process. The visualization will also help clients maintain focus and motivation, and potentially accelerate move out.
- Case managers will have an easy way to explain the journey to clients while making more advantageous use of the ILP as a motivational tool. They will also gain a clearer sense of where their caseloads stand in terms of client progress. This tool will allow case managers to reduce data entry time in CARES.

FIELD RESEARCH

"Here are the goals, what we need to do step-by-step. It was very easy because they actually explained what was going to happen."

Client

FIELD RESEARCH

"CARES is going to be your history book if it's documented."

Frontline Provider

Insights from Proof-of-Concepts

How Did We Test the Concepts?

- Validated usability during shelter research sessions, housing specialist quarterly workshops and a DHS feedback session.
- Gave journey worksheets to case managers to use over the course of a week.

What Did We Learn?

- One of the most popular sets of prototypes among case managers.
- A separate journey will need to be created for supportive housing.
- The service poster will be especially helpful for newly-arrived clients and as a tool during case management and housing specialist meetings.
- Clients and staff feel the journey worksheet is most helpful if kept in the case manager's client file and used as an orientation and progress-tracking tool.
- If the journey worksheet isn't integrated with the ILP it may feel like extra work.
- The journey worksheet won't be useful for all client types: long-term stayers and those already familiar with the shelter system are less likely to find it a motivational tool.

What Should Happen in a Phase 2?

- Find opportunities for development within the existing CARES upgrade roadmap.
- Design a journey for supportive housing.
- Live test posters and worksheets.

FIELD RESEARCH

"This is great, we were talking about creating a flow chart...This feels like a visual ILP."

Frontline Provider

FIELD RESEARCH

"[Posters] should be posted on every floor... this is an everyday reminder for them."

Frontline Provider

FIELD RESEARCH

"[The poster] would be so helpful because you really don't know what is next. You know what people tell you but sometimes you don't have a clear picture of that"

Client

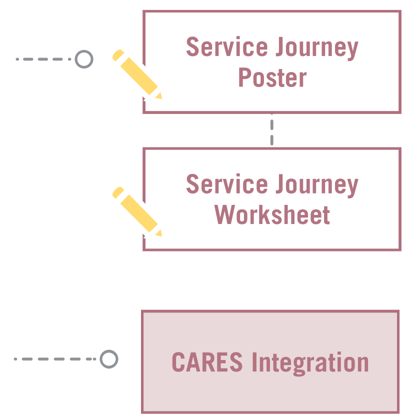
The Journey Service Concepts

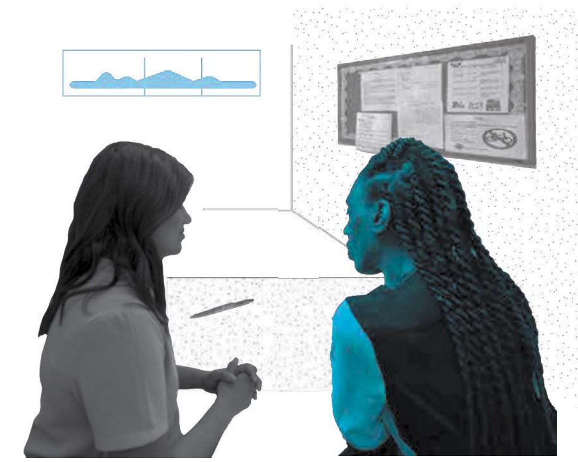
Journey-Based Case Meetings

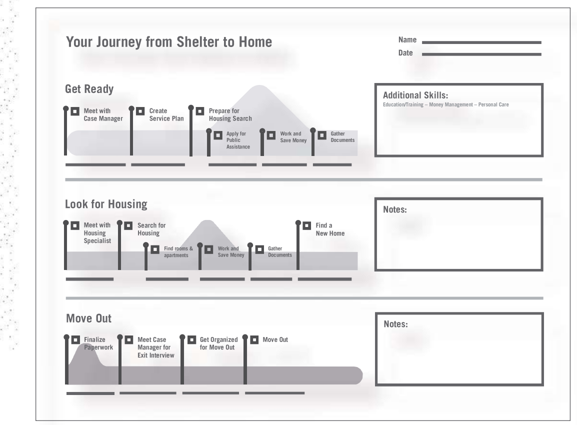
Case managers use a motivating, goal-setting journey worksheet during case meetings to actively engage clients in the move-out process, while also encouraging personal development of appropriate life skills. A visually appealing 'system view' poster is displayed on shelter walls and used as a point of reference by frontline staff and clients.

Journey Progress Tracking

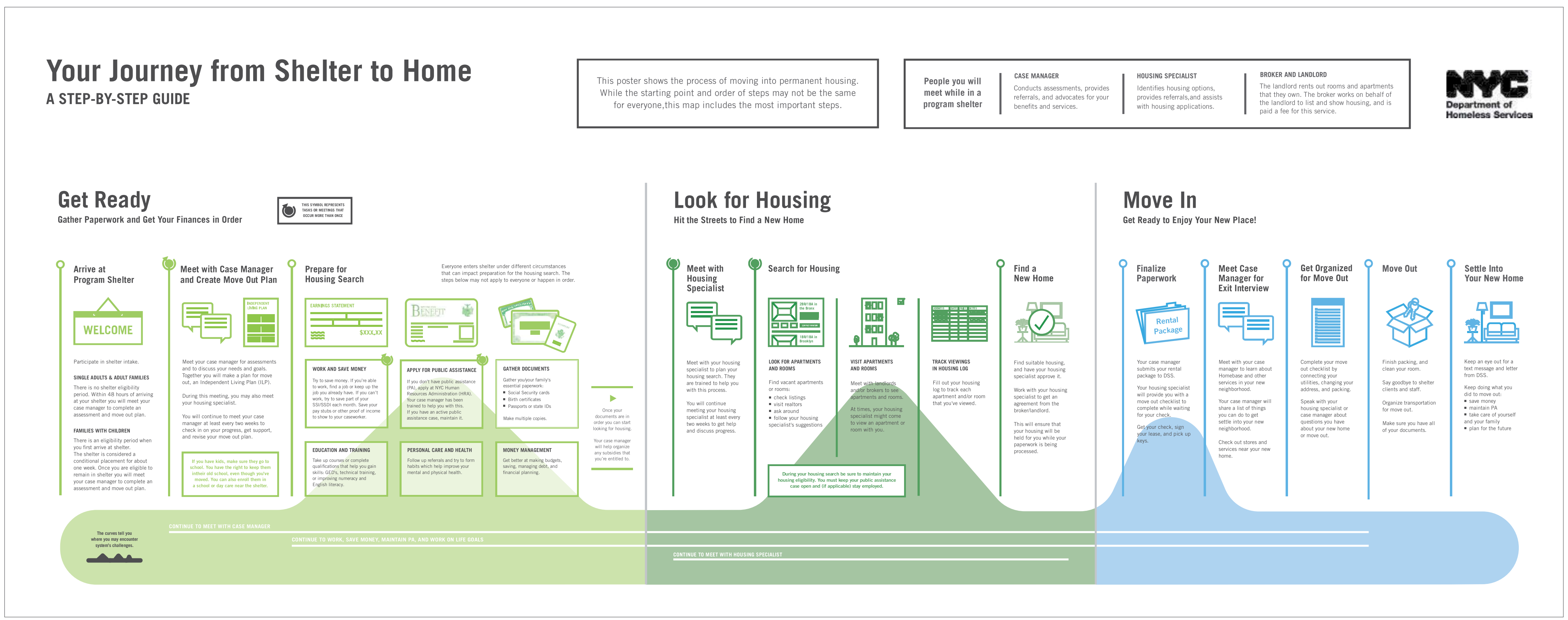
Case managers use a simple process (i.e. dropdown menus) for entering data into CARES that correlates with the client's progress in the journey. This data is used to supplement and standardize case notes and results in a data set that supports case management and shelter-level reporting about client progress.







Service Journey Worksheet: a simplified view of the journey to be used as a motivational tool during case management meetings.



Service Journey Poster: a detailed, client-centered visualization of the client's journey to permanent housing.

CARES Integration: systems modifications that enable case managers to log the journey according to critical steps achieved by clients.

INTERVENTION AREA:

MOVE OUT

Programs and tools for move-out preparation and post-move support can support clients through moving out of shelter, establishing a new home, and creating a desirable quality of independent life.

Design Objective

Create low-touch ways for frontline shelter staff to help clients transition into and maintain permanent housing.

Potential Impact on Move-Outs

- By understanding that independent living can be achieved through a series of steps, clients will feel less overwhelmed, their anxiety about departure may decrease, and they may be more motivated to find housing, thus leaving shelter more quickly.
- By learning that community-based wraparound services will be available after departure, clients may feel less fearful about move-out and more motivated to look for housing. Once making use of wraparound services in their own neighborhood, they will also be less likely to return to shelter.
- Current frontline staff will have tools to frame a conversation about exiting shelter and moving into a new home. With information in one place, front line staff will save time researching resources for each client and ensuring necessary community-based services are in place.

FIELD RESEARCH

"Here are the goals, what we need to do step-by-step. It was very easy because they actually explained what was going to happen."

Client

PIN-UP FEEDBACK

"The more comfortable you make it... the less overwhelmed they get."

Client

Insights from Proof-of-Concepts

How Did We Test the Concepts?

- Validated content at two housing specialist workshops.
- Validated content and format in shelter research sessions.
- Gave move-out checklists to case managers to use over the course of a week.

What Did We Learn?

- We received strong feedback that move-out support was the single biggest factor determining how well a client will cope after move out.
- It may be helpful to mentally prepare clients further by showing the move-out checklist and settling-in guide before they have found housing.
- Case managers should link clients to wraparound services as a part of their move-out preparation.
- Post-move support can, to some extent, be left to the creative discretion of shelters. A minimum standard should be set; however, others may wish to go above and beyond with client support.

What Should Happen in a Phase 2?

- Research sessions with shelters with a strong move-out program.
- Live test move-out checklist.
- Live test settling-in guide.
- Partner with DHS to evaluate feasibility of robo-text for welcome home SMS.
- Live test welcome home letters.

FIELD RESEARCH

"It's a big transition. You get used to shelter life and when you're out on your own, it's depressing."

Client

FIELD RESEARCH

"You don't know how to live your life outside an institution.. You will be back."

Frontline Provider

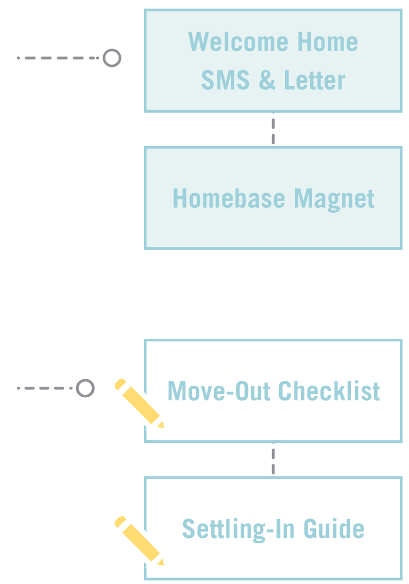
Move-Out Service Concepts

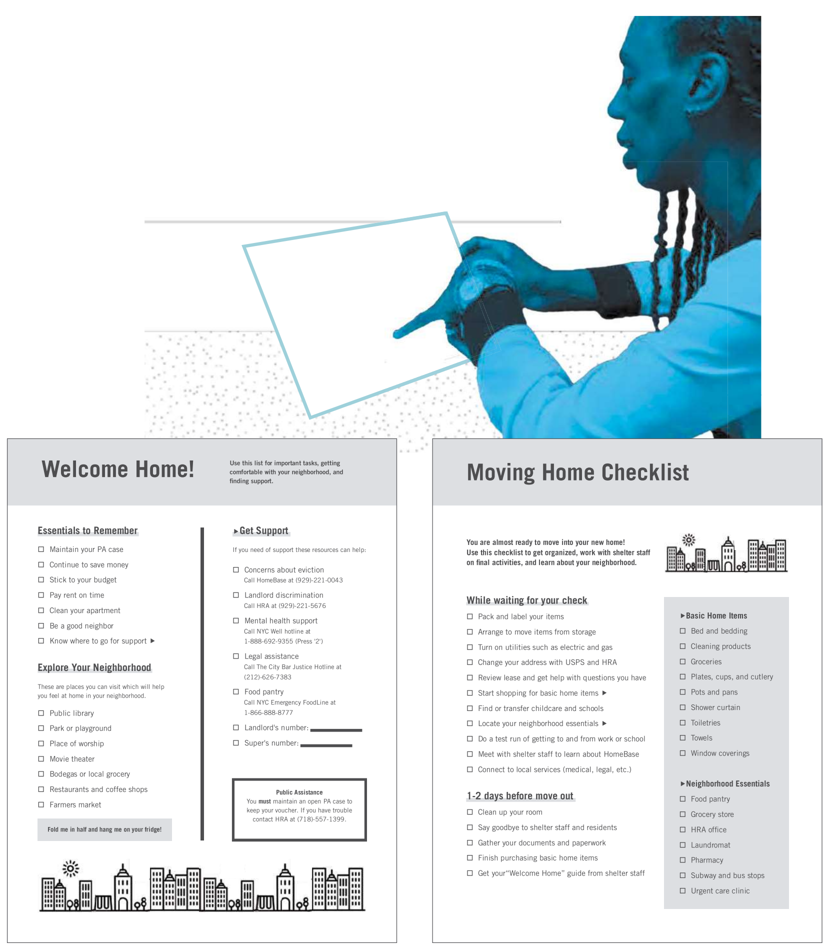
Move-Out Preparation

To support a successful transition to independent living, the housing specialist gives the client a list of moving-out tasks to complete while waiting for their check. Once DHS approves the client's rental package, the client and case manager meet to identify wraparound services the client may need after move out. The case manager shares a list of items that can help with settling in to a new neighborhood.

Post-Move Support

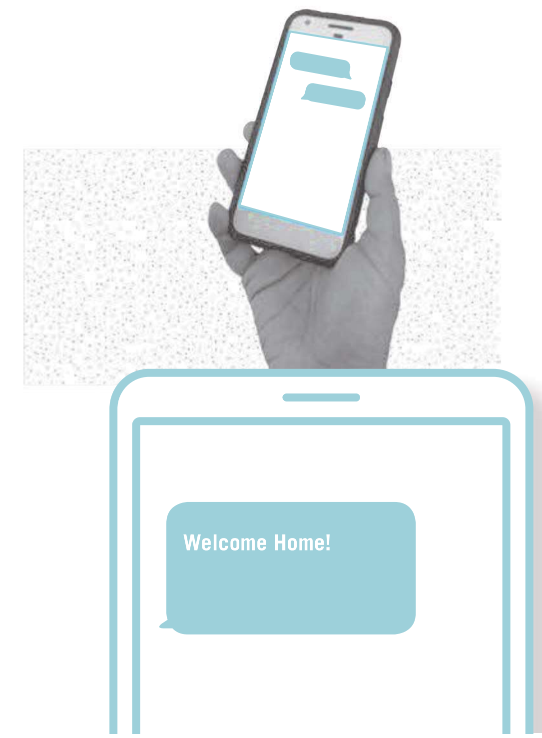
DHS sends low-touch but personalized follow-ups to see how clients are doing outside of the shelter. Two days after move out, client receives a welcome home robo-text SMS message. One week after move out, client receives a welcome home letter and Homebase magnet from their shelter.



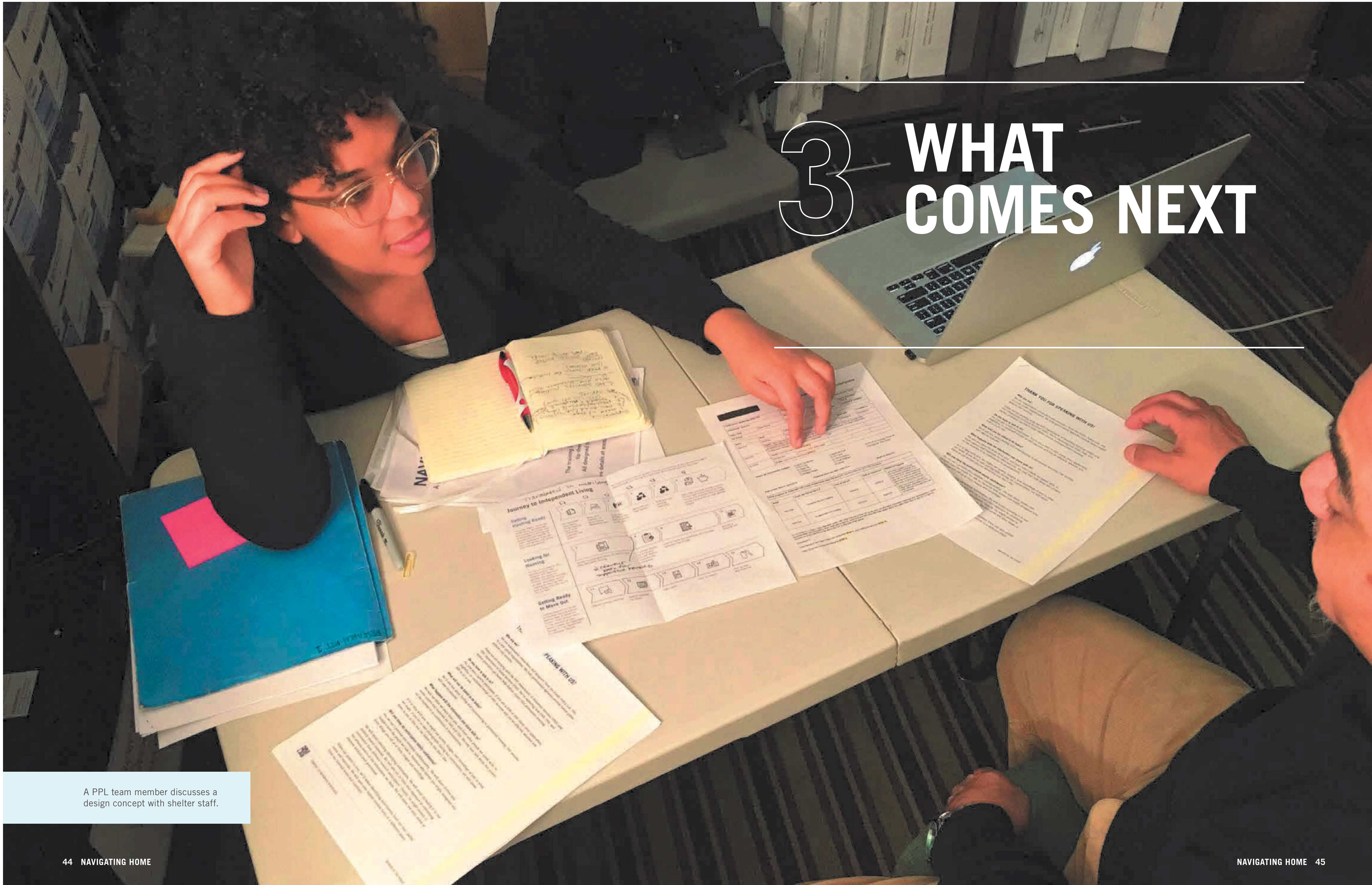


Move-Out Checklist: a list of time-based tasks that help clients organize themselves for move out and setting up their new home.

Settling-In Guide: suggestions and resources that help clients become comfortable with independent living.



Welcome Home SMS & Letter and Homebase Magnet: series of multi-channel communications that aim to reduce return to shelter by alerting clients to essential support services, as well as a fridge magnet with contact info for eviction-prevention support.



3 WHAT COMES NEXT

A PPL team member discusses a design concept with shelter staff.

PHASE 2: PILOTING

We believe this proof-of-concept phase has identified real opportunities to institute or amplify holistic efforts by shelter staff to assist New Yorkers in moving into permanent housing. These interventions should be further developed, tested in small-scale pilots, and evaluated for acceptance and value. If proven successful, these approaches can be scaled system-wide and integrated into the new training program to be developed by DHS and OPPT, with the intended outcome of generating measurable increases in permanent placements.

Phase 2 Goals

In Phase 2 the project team intends to further develop Phase 1's concepts and prototypes, while also creating the additional prototypes identified but not designed in Phase 1. With this complete suite of tools, we'll then run live, hands-off pilots in multiple shelters and evaluate both implementation and outcomes.

The intended outcome of Phase 2 is a program model and a refined set of tools or materials, pilot-tested in a variety of settings and with multiple populations and ready for roll-out across New York City's homeless shelter system. We will also be seeking to identify and validate move-out metrics for monitoring and evaluation.

DHS will lead implementation, while PPL will support the evaluation and document of results. If possible, we will use an experimental model, randomly assigning pilot participants (or sites) to either a control or test group. This will allow us to track outcomes for clients exposed to the new protocols and tools separately from those who were not. We will evaluate impact based on our theory of change **(see graphic)**.

HYPOTHESIS

New materials, procedures, and/or programmatic innovations can lead to improvements in New York City shelter clients' transition to permanent housing.

OBJECTIVES

› Clients pilot new tools or supports to find permanent housing.
› Shelter staff pilot new tools or training to assist clients in finding permanent housing.
› NYC DSS and shelter providers pilot new policies or programs for equipping staff to support clients in finding permanent housing.
› NYC DSS and other partner stakeholders receive hands-on experience with human-centered research and design methods.

TIMEFRAME

3 months post completion delivery of field-tested prototypes

TARGET METRICS

› Implementation of pilot program, to include prototype refinement, commences within 3 months of delivery of field-tested prototypes.
› NYC DSS and other partner stakeholders report >50% satisfaction with hands-on experience with human-centered research and design methods.

INCREMENTAL OUTCOMES

› NYC DSS and shelter providers report success in implementing new permanent-housing policies or programs with/for shelter staff and clients.
› Shelter staff report greater ease and confidence in assisting clients in finding permanent housing.
› Clients report greater ease and confidence in finding permanent housing.

TIMEFRAME

6 months post initial pilot implementation

TARGET METRICS

› Pre- and post-intervention surveys, assessing client perception of benefit from interventions, are >50% positive.
› Pre- and post-intervention surveys, assessing staff move-out competencies/ best practices, indicate >50% adoption.
› Pre- and post-intervention surveys, assessing staff perception of benefit from intervention, are >50% positive.
› Pre- and post-intervention surveys, assessing staff use of interventions, indicate >50% fidelity to program design.

PRIMARY OUTCOMES

› Shelter clients are better able to find and stay in permanent housing.
› Lower-performing shelters have improved permanent placement rates.

TIMEFRAME

15 months post initial pilot implementation

TARGET METRICS

› Annual placement rates increase by 30% among the bottom quintile of shelters in each system. (In FY2018, this would have meant an additional 603 placements — 267 in family shelters, 331 in single-adult sites, and 5 in adult-family sites.)

SYSTEM-LEVEL GOALS — 3 YEARS OUT

› System-wide standardizing of best practices for housing specialist role (client side and business side).
› Ongoing refresher and onboarding trainings for housing specialists, using materials produced by this project.
› Ongoing utilization of client-facing materials produced by this project.
› Maintained performance improvement of poorest performing 20% of shelters.
› Maintained increase in move-outs in accordance with maintained performance improvements.
› Increased capacity among DSS staff to implement system-wide process changes and conduct related staff trainings.

Preparing for Phase 2

To help maintain momentum and ensure project conditions are optimal by kick-off, there are a number of activities which DSS can undertake in advance of Phase 2.

Project Management

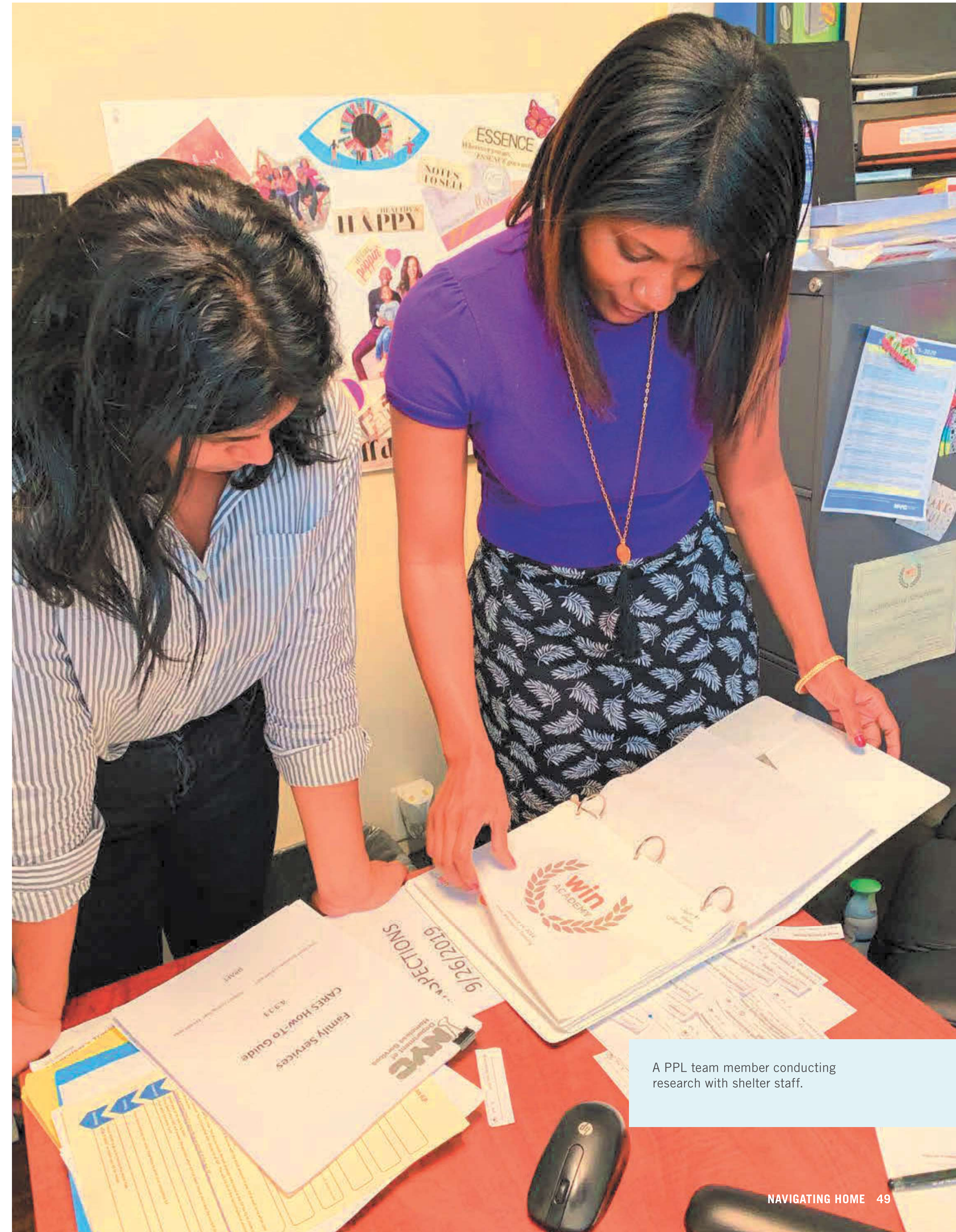
- Recurring status meetings between DHS and PPL.
- Examine anticipated timeline for legal approval relating to ILP changes.
- Explore possibility of OER/OPPM offering in-kind outcomes tracking support.
- Explore possibility of CUNY/OPPT providing in-kind training support.

Research and Materials

- Provide additional materials for PPL's immersion, including:
  - — Reports related to demographic (and other relevant) data which will be valuable for effective piloting of Triage.
  - — The range of training curricula which frontline staff currently receive.
- Inform PPL of progress with any relevant software upgrades or integrations, particularly CARES.

Stakeholder Engagement

- Maintain engagement with current project stakeholders (both agencies and shelters).
- Socialize Phase 1 findings, concepts, and designs (as necessary) beyond current stakeholder group.
- Perform outreach to select shelter leadership to drive engagement with Phase 2.
- Identify and engage additional agency stakeholders who we may need to collaborate with in Phase 2 (e.g. relating to HRA, training, platform upgrades).
- Review possibility of recruiting existing clients for participatory design in Phase 2.



A PPL team member conducting research with shelter staff.

Phase 2 Activities

Anticipated activities for each intervention area are listed below.

Training

- Partner with DHS' training and curriculum team to fully evolve the content and recruit speakers.
- Design and test takeaway materials and tools.
- Test live trainings for each prototype.
- Potentially develop additional outputs such as workshop materials and webinar wireframes.

Triage

- Partner with DHS experts to refine strategic questionnaire questions.
- Find opportunities for development within existing CARES upgrade.
- Wireframe and prototype screens.
- Design and test an efficient workflow.
- Live test the strategic questionnaire.
- Observe existing planning meetings to design an agenda or set of standards.
- Live test proactive planning meetings.
- Potentially develop additional outputs such as the final questionnaire and meeting materials.

The Journey

- Find opportunities for development within the existing CARES upgrade.
- Design a journey for supportive housing.
- Live test posters and worksheets.
- Potentially develop additional outputs such as a housing journey for supportive housing.

Move Out

- Research sessions with shelters with a strong move-out program.
- Test additional moving-out content, such as the resources appearing in CAS and CARES.
- Live test move-out checklist.
- Live test settling-in guide.
- Partner with DHS to evaluate feasibility of robo-text.
- Live test welcome home letters.
- Potentially develop additional outputs such as magnets and robo-text content.

Additional Research

- Ethnographic research with additional frontline staff who also play a key role in supporting clients with move-out, especially social workers, recruitment specialists, group session leaders and HRA staff.
- Longitudinal tracking of clients to better understand the adjustment to independent living and its associated challenges and best practices.
- Visit shelters which offer specialized services, such as shelters with HRA presence, recruitment specialists, client-led programming, and effective move-out programs.
- Potentially conduct additional environmental analysis in shelters to produce recommendations relating to physical environment.
- Identify and validate key metrics for monitoring and evaluation of project impact.
- Identify and validate best shared language for prototype features (e.g. for new categorizations or workflows).

A PPL team member discusses a design concept with shelter staff.

Additional Recommendations

During research and field-testing, we observed opportunities for intervention that we believe could positively impact move-out rates, but that are beyond the scope of this project. We've summarized these potential policy and operations changes below, for future reference.

Training

- Offer scenario-based CARES training that reinforces the value of client-centered approaches, such as motivational interviewing.
- Provide frontline staff with training in trauma-informed practices.

Staffing

- Better leverage social workers to support both staff and clients.
- Enhance the presence of retention specialists.
- Expand client care coordinators into general population shelters.
- Examine the efficacy of a peer-led approach, in which former clients are engaged as a resource (e.g. through group programming, as consultants or as employees).

Assessments

- Identify opportunities to streamline assessments to minimize staff and client fatigue and improve quality of experience and outcomes.

Comprehensive Service Offerings

- Improve coordination between city agencies so that information and resources can be streamlined to produce more meaningful referrals.
- Examine possibility of expanding Homebase remit to provide wraparound servicing. It is well-positioned from a data perspective (e.g. referrals can be made through CARES), but requires additional resources.
- Continue interagency collaboration between DHS and HRA, including:
  - — systems and data coordination,
  - — HRA outreach to DHS clients, to decrease anxiety about HRA interactions,
  - — increased HRA staff presence at shelters, and
  - — improved workflow relating to vouchers, PA, and package processing.

Entrance to Glenwood Family Shelter

4 APPENDIX A: PROJECT CONTEXT

PPL team gathers feedback on potential prototypes from partners.

BACKGROUND & GOALS

DSS Research & Development Efforts

The DSS Office of Planning and Performance Management (OPPM) and Office of Evaluation and Research (OER) are currently studying transitions from shelter to permanent housing.

Preliminary analysis of DSS data by OPPM suggests that move-out rates to permanent housing vary greatly across the system, with some shelters achieving significantly higher levels of success in placing clients in permanent housing – defined as transition to a known new address, with no shelter re-entry within 30 days. The goal of the OER study is to identify system-level barriers impeding permanent placements out of shelter and to identify strategies that allow certain shelters to maintain high placement rates despite these barriers.

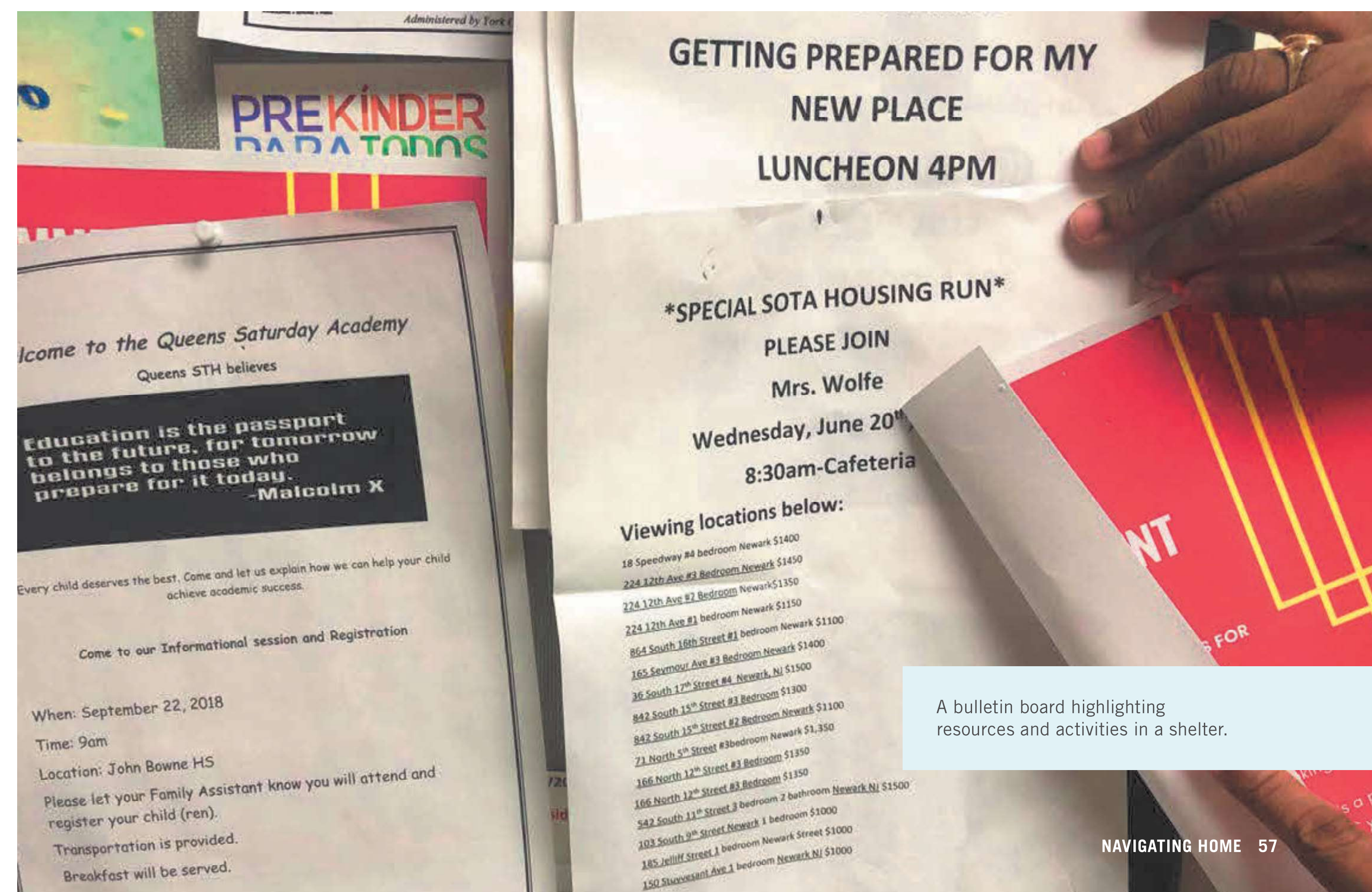
Separately, the DSS Office of Policy, Procedures and Training (OPPT) and the Department of Homeless Services (DHS) are looking to partner with the CUNY School of Professional Studies (SPS) to develop and write organizational procedures, develop and write training curriculum, and design training courses for a new employee training program at DHS. Key deliverables of this partnership are the production of a procedure and curriculum design process, development of procedure manuals and courses, facilitation of courses, and advisement and consultation on development and operation of the new training program.

Proof-of-Concept Focus

This project, Navigating Home, builds on work by OPPM and OER to further understand how DSS and shelter providers can better assist shelter clients in transitioning to permanent housing.

Our focus in Navigating Home is use a human-centered design approach (see next pages) to explore the practices of high-performing shelters and the extent to which these practices can be leveraged to improve move-out rates. While researching how shelter clients interact with shelter staff and systems, from shelter entry to exit, the project team particularly focused on the role of housing specialists. We identifed a set of design concepts for field-testing and used rapid, low-cost proofs of concept to answer three primary research questions:

1. Is the desired behavior change viable in a real-life context?
2. What are the necessary preconditions for success in a later pilot deployment?
3. What aspects need further research or testing before piloting?



A bulletin board highlighting resources and activities in a shelter.

HUMAN-CENTERED DESIGN APPROACH

In collaboration with project partners and shelter staff and clients, we designed and tested new tools, materials, and processes. Activities included a design-research sprint, co-design with stakeholders, and formative evaluation to understand whether the prototypes are viable and worth investment.

Design Research

As human-centered design researchers, our core research methodology is ethnographic: we seek to understand the lived experience of our research participants from their point of view. We visited shelters and engaged with shelter staff and clients using methods such as observation, shadowing, semi-structured interviews, and mapping activities. We also participated in DHS research immersions to learn about the back-end systems that staff use.

Whenever possible we included project partners from DSS and Robin Hood Foundation in our project activities. We value this collaboration for both the systems insights our partners offer and the alignment that arises when jointly engaging in fieldwork and the design process.

After completing fieldwork, the team defined stakeholder insights and motivations and diagnosed user needs. This analysis helped us gain a contextual understanding of people's feelings, beliefs, behaviors, and internal cognitive models. It also helped us map the systems, tools, and process that influence human behavior.

We also identified **factors for success** that influence move out and prioritized those that fell within our scope of work. We examined best practices relating to these factors and noted that they shared some common elements, namely: successful models for collaboration, an ability to drive client momentum, offering comprehensive support, and enhancing transparency. These are defined in more detail in this report's Appendix B. We used these factors as a guide for our concept-generation process, in which we sought to further existing best practices and generate new ones.

FACTORS FOR SUCCESS

See pg. 61 for details on the systemic challenges shelters face and the seven critical factors shelter staff are able to influence.

Co-Design

During the co-design process, we typically start with design stimuli – prompts to help non-designers engage in creative ideation. Our first step was working with DHS to select the most promising areas of intervention. We explored these through collaborative design sessions with end users, aiming to generate early stage prototypes.

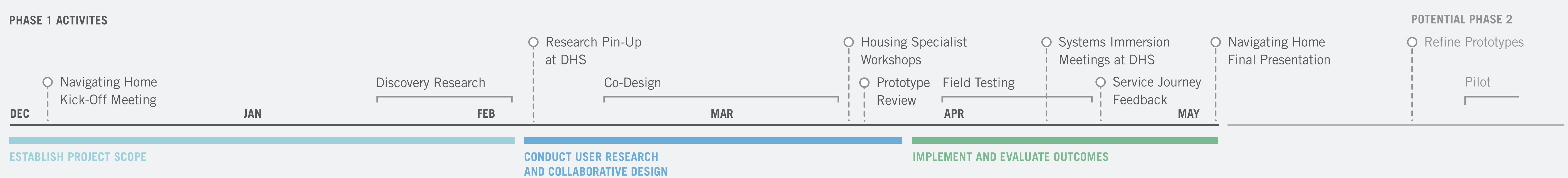
We then conducted several rounds of iterative co-design and prototyping with shelter staff and clients at a selection of our test sites. We also ran co-design workshops at the quarterly housing specialist trainings and furthered our refinements through several rounds of DHS stakeholder meetings. The design team transformed these outputs into low-fidelity prototypes to test ideas, identify meaning and functionality gaps, and inform design direction.

Formative Evaluation

After developing our prototypes, we evaluated their efficacy during rapid field tests at a selection of shelter sites. Field testing allowed us to understand how the new programs, interactions, or tools were being received and utilized by end users. We learned what worked (and what didn't work) from a process and usability perspective.

Our evaluation of field-testing consisted of two parts:

- an outcomes assessment of the design objectives embodied in the prototypes; and
- plans for what would be required for Phase 2 piloting with higher-fidelity prototypes.



5 APPENDIX B: FACTORS FOR SUCCESS

A PPL team member discusses a design concept with shelter staff.

Donations from a local church at a Brooklyn shelter.

In our research, we identified seven factors of the shelter service experience that can be used to evaluate shelter performance. An analysis of service gaps and best practices for each of these factors informed the development of our four key intervention areas (Training, Triage, The Journey, and Move Out).

Expertise

Housing specialists require more than a Rolodex to work effectively with clients to move out – they also need system knowledge, client data, and people skills.

Service Gaps

Housing specialists often come from real estate, case management, or other social service placement roles. Many believe they are uniquely well-placed in their role given their previous expertise. Yet their narrow focus results in a failure to provide a comprehensive level of service — a risk given how difficult it can be to gain client trust.

Best Practices

Housing specialists require emotional dexterity which balances both ‘light’ case management and coaching skills to work effectively with clients. They must also be well-versed with DHS/DSS processes, have an aptitude for navigating complex bureaucracy, and exercise vigilant networking expertise that enables them to build consistent and trusted relationships with brokers and landlords.

> FIELD RESEARCH
> **“There’s no training that can teach you what I’ve learned.”**
> Frontline Provider

> FIELD RESEARCH
> **“Get involved, get connected, you’ll meet brokers who will call you.”**
> Frontline Provider

Relationships

Without personal engagement, clients may not feel helped, even if they got assistance moving out. Good relationships can be built through mutual expectation-setting between staff and clients and by staff taking time to build rapport outside of case meetings.

Service Gaps

There is a disconnect between how helped a client feels and how helpful the housing specialist has actually been. Housing specialists complain that clients express entitlement, don’t try to help themselves, miss viewings, or present badly to landlords. Clients say that their housing specialist doesn’t support them, and they subsequently become demotivated and disengage. The search feels like a relationship-driven, serendipitous process with luck as the only metric of success.

Best Practices

The better a housing specialist is integrated with the team supporting each client, the fewer service gaps a client will experience. Social workers can play a key role: Relationship barriers can be reduced through mutual expectation-setting, taking time for ‘soft’ interactions outside of meetings, and seeking mediation before problems become intractable.

> FIELD RESEARCH
> **“She has no leads...What’s being put on paper on Fridays are lies... I don’t know if it’s because they don’t have anything but they should be honest with clients. Let us know they’re at a standstill.”**
> Client

Client Management

There are no ‘typical’ cases, but the system struggles to move away from a ‘one size fits all’ approach. An assessment of each client’s unique needs can be used to evaluate the level of service required.

Service Gaps

Each client has a personal set of constraints that influence their ability to move along their housing journey. Some shelters recognize and work with these constraints — but many don’t. As the system favors simplicity, high-performing clients are able to more readily access available rehousing resources. Easy wins are targeted for rehousing resources at the expense of more complex cases.

Best Practices

At assessment each client’s unique constraints are appraised to evaluate the level of service they need to progress efficiently to permanent housing. This data is recorded and used to inform regular frontline staff meetings that re-evaluate clients’ progress and adapt service strategies as necessary.

> FIELD RESEARCH
> **“He’ll find something but it has to be approved by my probation officer and she hasn’t approved anything yet.”**
> Client

> FIELD RESEARCH
> **“We don’t let anything slip, we address it head on... We meet the clients where they’re at.”**
> Frontline Provider

Time Management

The longer it takes for a client to identify permanent housing, the more momentum they may lose. Setting clear expectations for the process and identifying other motivators can help maintain a trajectory toward move out.

Service Gaps

Ideally all clients would move swiftly along the journey toward permanent housing; the longer someone languishes in the system, the more momentum they may lose. Yet maintaining momentum is a difficult, exhausting, and resource-intensive exercise, especially in the face of systemic barriers.

Best Practices

Staff recognize that there are specific moments when momentum will inevitably sag. They set clear expectations with clients but also use strategies for lifting motivation, such as incentives or supporting their client to work on life goals while waiting for housing.

FIELD RESEARCH

"I'm just trying to do the best that I can… And I don't want the shelter to think that I'm not doing anything to get out of here. It's not a bad place. It's just not mine."

Client

Goal Setting

While moving out of shelter is the primary goal, staff can support clients in setting additional skills-building goals, both to manage the search process and life beyond the shelter.

Service Gaps

In general, a client's goal is defined as moving out of shelter rather than gaining and maintaining permanent housing. 'Housing readiness' is a key benchmark for triggering the housing search, but it doesn't encompass skills necessary for managing the search process or life beyond the shelter. Clients are not being set up for long-term success, especially those with high needs or little experience with independent living.

Best Practices

Case managers and housing specialists listen for anxiety relating to move-out and ensure that clients have both the skills they need to live independently and are connected to wraparound services after departure. The shelter contacts clients after move out to check in and ensure they have ongoing support.

FIELD RESEARCH

"It's all about being housing ready. By the time you get to me it's military-type."

Frontline Provider

FIELD RESEARCH

"Clients feel like no one is helping them and they lose hope after being in the system for a while."

Frontline Provider

Information Channels

Both clients and staff seek clear information about strategies to successfully navigate the housing journey (particularly eligibility and compliance with PA and vouchers), as well as house-searching tools and best practices.

Service Gaps

Shelter noticeboards are coated in flyers, DHS resources are inaccessible or out-of-date, clients circulate hearsay, and overworked Housing Specialists can struggle to stay abreast of new information. Repercussions can be serious, with clients accidentally breaching compliance or housing specialists making ill-informed decisions. Both clients and staff need clear information to navigate the housing journey.

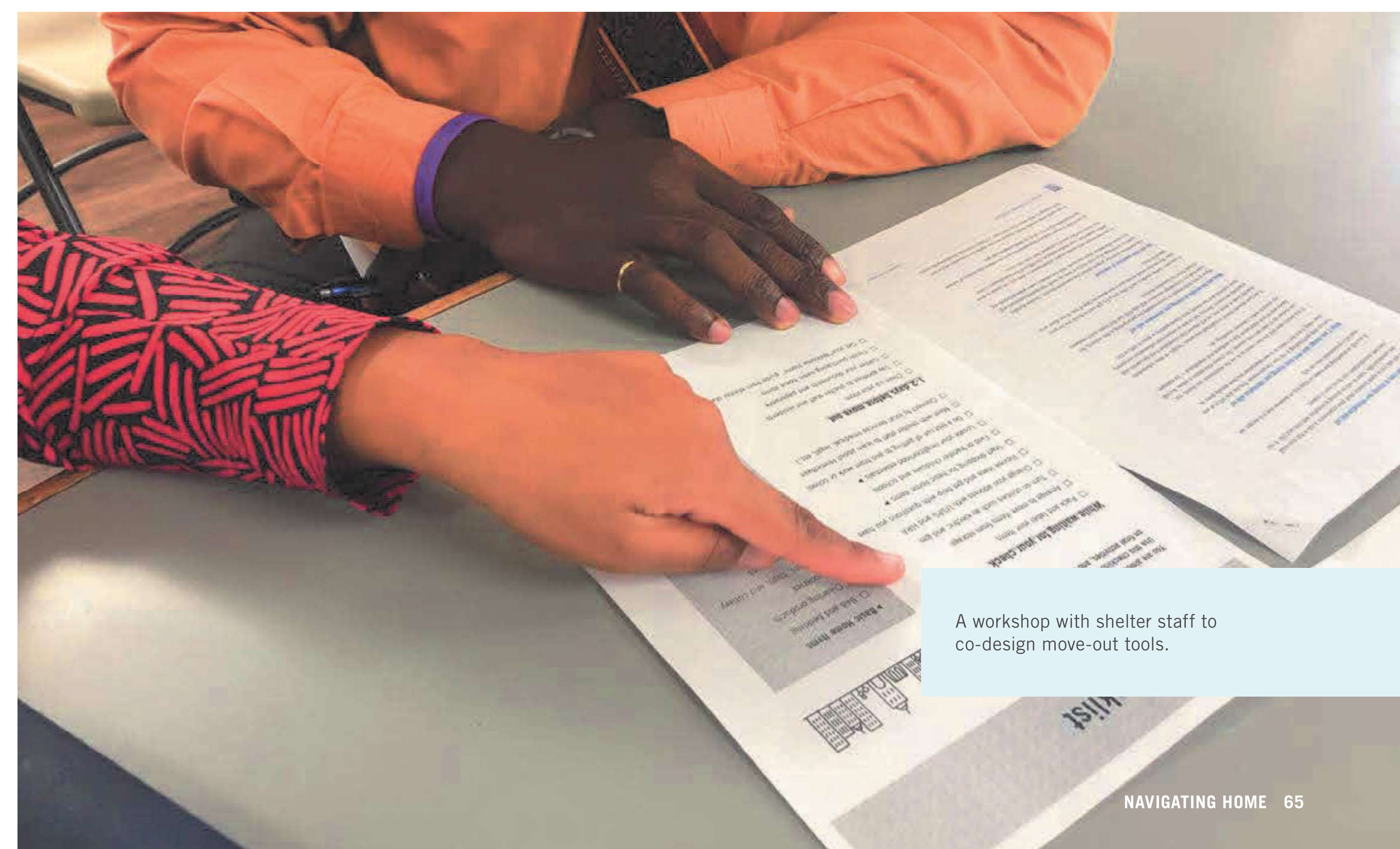
Best Practices

Clients experience consistent messaging across multiple channels. Their case managers and housing specialists have the information and resources they need at their fingertips.

FIELD RESEARCH

"I wish DHS had training about different vouchers."

Client



A workshop with shelter staff to co-design move-out tools.

Acknowledgments

SHELTER CLIENTS

This project was only possible because of the generosity of the many New Yorkers who shared their experiences and insights with the project team. We include their contributions anonymously. We offer them our sincere thanks.

SHELTER STAFF

We appreciate the generous assistance, time, and wisdom shared by shelter directors, case managers, housing specialists, and other staff whom we met with at shelters across the city. Participating shelters included:

49th Street Residence
Beach House
Belt Family Center
Bronx Hotels
Bronx Park Ave
Glenwood
Help 107th Street
Jamaica Family Residence
Kingston Family Residence
Parkview
Robert's Court
Seneca Houses

NYC DEPARTMENT OF SOCIAL SERVICES

Thanks to the dozens of dedicated DSS staff who attended critique sessions. In addition, the following provided project leadership, fieldwork support, and ongoing feedback on our design concepts:

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Jason Hansman, Senior Advisor, DHS
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Elizabeth Lauros, Deputy Commissioner, Strategic Partnerships, DSS
Xenia Maldonado, Associate Commissioner of the Rehousing Support Division, DHS
Kristen Mitchell, Associate Commissioner, Office of Planning & Performance Management, DSS
Craig Retchless, Assistant Deputy Commissioner, Customized Assistance Services, HRA
Kevin Thrun, Assistant Commissioner, Programs, DHS

ROBIN HOOD FOUNDATION

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PHOTO CREDITS & PERMISSIONS

All images in this report were captured by Public Policy Lab staff during the course of research. Photos of shelter staff and clients were taken and are used with their permission.

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ROBIN HOOD

ABOUT THE PPL

The Public Policy Lab is a tax-exempt 501(c)(3) nonprofit organization.

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www.publicpolicylab.org

Every day, staff at hundreds of shelters across New York City are working hard to help homeless New Yorkers find permanent housing – yet rates of success vary widely across the system.

What are the factors that influence people's ability to move out of shelter? Of those factors, which ones are shelter staff most able to affect? And what might help staff across the system better support shelter residents on their journey to a permanent home?

This report summarizes a collaboration between the New York City Department of Social Services, the Robin Hood Foundation, and the Public Policy Lab to explore these questions.

You'll see how we identified factors for success (p. 12) and key intervention areas (p. 14), then designed and tested a holistic suite of new service concepts and tool prototypes (p. 28) for staff and client interactions that support successful move outs. Finally, you'll find a preview of our plans for a Phase 2 pilot (p. 46) program.

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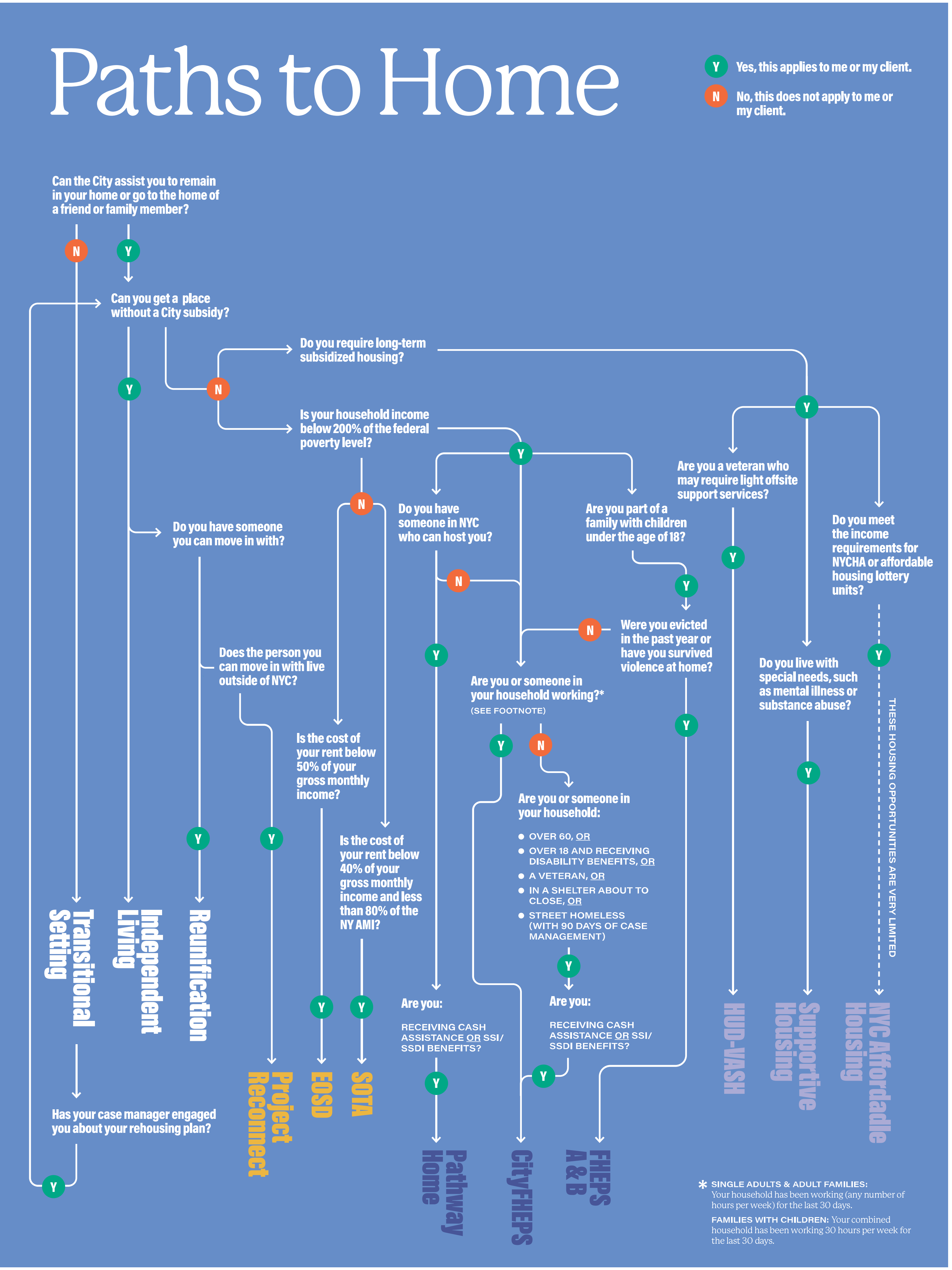
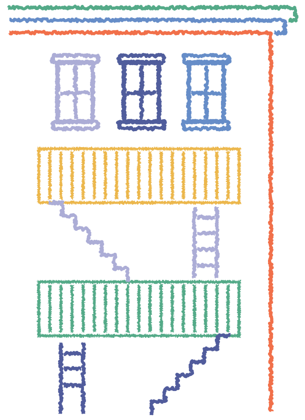
Appendix 6

DHS Prototypes

Paths to Home





The first step in your rehousing journey is choosing the best path from shelter to home. There are 12 possible paths for New Yorkers experiencing homelessness to move into permanent housing. You and your case manager will use this flowchart to determine the options available to you, and together you will decide on the best path forward.

UNSUBSIDIZED

Independent Living

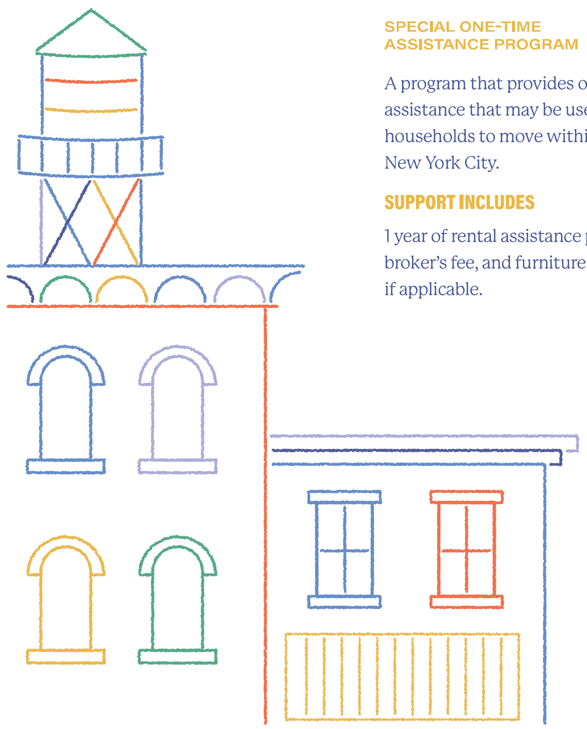
You can secure your own room/unit with your own funds, without subsidized assistance.

Reunification

You can find a family or friend willing to share a living arrangement with you.

Transitional Setting

Temporary housing for households before they move into permanent housing. These can include shelters, safe havens, drop-ins, nursing homes, psychiatric hospitals, rehabilitation facilities, or other healthcare or long-term care facilities.



ONE-TIME PAYMENT

Project Reconnect

A program that will provide one-way travel assistance if you have a housing option outside of New York City.

NOTE: May be used in conjunction with other unsubsidized housing, SOTA, or EOSD.

EOSD

ENHANCED ONE-SHOT DEAL

A program that provides one-time rental assistance for those with monthly income at or above established thresholds.

SUPPORT INCLUDES

4 months of rental assistance paid upfront, security deposit, and broker's fee. Support with storage/moving expenses can be requested through HRA.

SOTA

SPECIAL ONE-TIME ASSISTANCE PROGRAM

A program that provides one-time rental assistance that may be used by homeless households to move within or outside of New York City.

SUPPORT INCLUDES

1 year of rental assistance paid monthly, broker's fee, and furniture allowance, if applicable.

TIME-LIMITED SUPPORT

Pathway Home

A program that helps you move out of shelter and in with friends or family members while you look for housing.

You may also become eligible for CityFHEPS or FHEPS A/B within the year so that you can search for an apartment while in the host's residence.

SUPPORT INCLUDES

Host receives compensation on a monthly basis for up to a year. The host and client each receive a $300 gift card.

CityFHEPS

CITY FIGHTING HOMELESSNESS AND EVICTION PREVENTION SUPPLEMENT

A rent supplement which helps individuals and families find or keep their housing.

SUPPORT INCLUDES

Up to 5 years of rental assistance, unit hold, security deposit, and broker's fee. Support with storage/moving expenses can be requested through HRA.

FHEPS A and B

FAMILY HOMELESSNESS AND EVICTION PREVENTION SUPPLEMENT

A rent supplement for families with children (or women who are pregnant) who have been evicted (A) or who lost their housing due to a domestic violence situtation (B).

SUPPORT INCLUDES

Up to 5 years of rental assistance, 3 months paid upfront, unit hold, security deposit, broker's fee, landlord bonus, storage/moving expenses, and furniture allowance. Support with storage/moving expenses can be requested through HRA.

LONG-TERM SUBSIDIZED HOUSING

HUD-VASH

U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT (HUD) and VETERANS AFFAIRS SUPPORTIVE HOUSING (VASH)

Eligible low-income veterans may receive a rental voucher alongside case management and supportive services at VA medical centers (VAMCs) and community-based outreach clinics.

SUPPORT INCLUDES

Section 8 rental voucher.

Supportive Housing

Affordable, permanent, and independent housing that provides support services designed to help individuals and families experiencing homelessness who live with mental illness or who need ongoing care as a result of age, disability, or substance abuse.

SUPPORT INCLUDES

Affordable housing facility.

NYC Affordable Housing

A set of programs and lotteries that provide low-income housing, rent-stabilized units, and affordable housing lotteries to individuals or families (that meet income guidelines and other eligibility requirements specific to each housing development).

SUPPORT INCLUDES

Affordable housing from NYCHA or HPD.

NOTE: These housing opportunities are very limited and subject to lottery and/or matching procedures, both of which have low chances of success and long timelines. In most circumstances they should not be used as the primary rehousing path.

YOU SHOULD KNOW about an electronic assessment survey that can help shelter staff identify appropriate rehousing paths for you. It is part of the Coordinated Assessment and Placement System (CAPS), and it provides potential eligibility results for supportive housing and rental housing subsidies.

1

Five Steps to Home

Choose a Path

Date: ____________________

○ Your Original ○ Staff copy

WHAT HAPPENS IN THIS STEP?

You'll complete an assessment with your case manager so that they can help you choose the best path home.

WHEN DO I GO TO THE NEXT STEP?

Go to Step 2 when you've chosen a rehousing path and are ready to begin meeting requirements.

DISCUSS OPTIONS

WHAT IS A REHOUSING PATH?

There are several ways to move from shelter to home. The best path for you will be determined by things like your housing history, income, employment status, and medical needs.

- ○ Did you meet with your case manager to **DISCUSS YOUR PAST LIVING SITUATION**, existing resources, and potential medical needs?
- ○ Did you and your case manager **REVIEW POTENTIAL REHOUSING PATHS?**
- ○ Have you worked together to **CHOOSE A PATH** that's right for you, based on your current needs and resources?

____

____

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MAKE A PLAN

WHAT IS AN ILP?

An ILP is an agreement between you and your case manager which outlines the things you must do to meet the terms of your chosen rehousing path and move into permanent housing. See the back side of this sheet for a list of available paths.

DOES THIS APPLY TO ME?

If your rehousing path does not require that you find your own place to live, you may skip to Step 5: Move In.

- ○ Has your case manager worked with you to **MAKE AN INDEPENDENT LIVING PLAN (ILP)?**
- ○ Do you **KNOW YOUR IMMEDIATE NEXT STEPS** to begin meeting the requirements of your chosen path?
- ● How often will you continue to **MEET WITH YOUR CASE MANAGER** to check in on your progress and get support?
- ○ Does your path require you to **PREPARE TO FIND YOUR OWN PLACE?**

____

____

____

Name: ____________________

1

Five Steps to Home

Resources

KEEP YOUR KIDS IN SCHOOL

DOE STH
SCHOOLS.NYC.GOV

If you have kids, **THEY MUST CONTINUE TO GO TO SCHOOL** while you are in shelter. Shelter staff will connect you with a **DEPARTMENT OF EDUCATION (DOE) LIAISON** or **STUDENTS IN TEMPORARY HOUSING (STH) BOROUGH CONTACT** who can help ensure school attendance is not disrupted.

YOU SHOULD KNOW that **YOU HAVE THE RIGHT TO KEEP THEM IN THEIR OLD SCHOOL,** even if the shelter is in a new area. **IF YOUR KIDS ARE UNDER SCHOOL AGE,** the shelter will either have childcare on site or your case manager will connect you with a local childcare provider.

START SAVING MONEY

WHAT IF I NEED INFORMATION IN A DIFFERENT LANGUAGE?

Free interpretation services are available when communicating with DHS or shelter staff. You can also request that documents are translated to your preferred language.

If you are already making money, you should **CREATE A BUDGET AND SAVE EACH MONTH.** Your case manager may work with you to set up an **INCOME SAVINGS PLAN (ISP)** so that you are ready with some savings when you move into your new home.

- If you cannot work, you should try to save part of your monthly SSI/SSDI.
- Maintain your source of income and stick to your budget.
- Save your pay stubs or other proof of income—you'll need it when applying.

UNSUBSIDIZED

INDEPENDENT LIVING
You can secure your own room/unit with your own funds.

REUNIFICATION
You can find a family or friend willing to share a living arrangement with you.

TRANSITIONAL SETTING
Temporary housing including shelters, safe havens, drop-ins, nursing homes, psychiatric hospitals, and rehabilitation facilities.

ONE-TIME PAYMENTS

PROJECT RECONNECT
One-way travel assistance.

EOSD
4 months of rental assistance paid upfront, security deposit, broker's fee, storage/moving expenses, furniture allowance.

SOTA
1 year of rental assistance paid upfront, broker's fee, furniture allowance, if applicable.

TIME-LIMITED SUPPORT

PATHWAY HOME
Host receives compensation on a monthly basis for up to a year.

CITYFHEPS
Up to 5 years of rental assistance, unit hold, security deposit, broker's fee, storage/moving expenses.

FHEPS A AND B
Up to 5 years of rental assistance, 3 months paid upfront, unit hold, security deposit, broker's fee, landlord bonus, storage/moving expenses, furniture allowance.

LONG-TERM SUBSIDIZED HOUSING

HUD-VASH
Section 8 rental voucher.

SUPPORTIVE HOUSING
Affordable housing facility with support services.

NYC AFFORDABLE HOUSING
Affordable housing from NYCHA or HPD.

2

Five Steps to Home

Complete Requirements

Date: ____________________

◯ Your Original ◯ Staff copy

WHAT HAPPENS IN THIS STEP?

With your case manager's help, you'll identify requirements for your rehousing path and meet them.

WHEN DO I GO TO THE NEXT STEP?

Go to Step 3 when you've obtained your requirements and are ready to search for housing.

MEET ELIGIBILITY RULES

DO I HAVE TO ENROLL?

If your rehousing path does not include a subsidy, you may not be required to enroll in public benefits. It is still worth applying, however, if you could use help paying for food, transportation, and/or healthcare.

- ◯ Have you spoken with your case manager to **CLARIFY THE REQUIREMENTS** of your rehousing path? There may eligibility rules for some programs.
- ◯ Has your case manager helped you identify which benefits you qualify for? Do you need help to **ENROLL IN PUBLIC BENEFITS**?
- ◯ Are you required to **MAINTAIN AN ACTIVE CASH ASSISTANCE (CA) CASE**? Do you have any sanctions you need help resolving?
- ◯ If you are not working, are you required to **FIND WORK** or be referred to job training?
- ◯ If you have a job, has your case manager helped you figure out if you need to **INCREASE YOUR HOURS?**

____

____

SUBMIT PROOF

WHAT DOCUMENTS DO I NEED?

Your case manager will tell you what documents you will need based on your chosen rehousing path and current resources.

Some common examples are:
- Personal identification (like your ID, drivers license, passport, or birth certificate)
- Family member identification
- Proof of your HRA case
- Pay stubs
- Bank records
- Disability or Social Security Award Letter, if applicable
- School records, if applicable

- ◯ Do you **KNOW THE REQUIRED DOCUMENTS** and personal identification you'll need?
- ◯ Do you need help to **GATHER DOCUMENTS** or replace forms, like birth certificates?
- ◯ Did your case manager **SUBMIT THE DOCUMENTS THAT PROVE YOUR ELIGIBILITY?** Have they given you the go-ahead to begin looking for housing?

____

____

____

2

Five Steps to Home

Resources

CHOSEN REHOUSING PATH *(Please list all that apply.)*

REQUIREMENTS *(Please list all eligibility requirements.)*

APPLY FOR PUBLIC ASSISTANCE

ACCESS HRA
NYC.GOV/ACCESSHRA

If you did not receive benefits before entering shelter, you may now be eligible. If you were receiving benefits before, the amounts may change.

If you need help at any time opening or maintaining your case, call:

HRA Infoline (718) 557-1399 or NYC 311

Depending on your housing path, you may need to open a public assistance case with HRA.

To do this, create an **ACCESS HRA** account online, download the app to your phone, or go to an **HRA OFFICE.**

YOUR ACCOUNT WILL ALLOW YOU TO:

- ◯ Apply or re-certify **SNAP BENEFITS**
- ◯ Check current **EBT BALANCE**
- ◯ Apply or re-certify **CASH ASSISTANCE**
- ◯ Access a **MEDICAID RENEWAL** form
- ◯ Enroll in **FAIR FARES NYC**
- ◯ Find **HRA OFFICE** locations

REPLACE LOST DOCUMENTS

USA.gov
USA.GOV/REPLACE-VITAL-DOCUMENTS

Make multiple copies of each!

If you are missing any identification documents or vital records, you can find information about how to replace them by visiting the website on the left.

THESE INCLUDE:

- ◯ Your Birth Certificate, Social Security Card, Driver's License or State-Issued ID Card, Passport, Green Card or citizenship/naturalization papers, and Marriage, Divorce, or Death Certificates (if applicable)

3

Five Steps to Home

Look for Housing

Date: ____________________

○ Your Original ○ Staff copy

WHAT HAPPENS IN THIS STEP?

With support from your case manager or housing specialist, you'll look for a new home.

WHEN DO I GO TO THE NEXT STEP?

Go to Step 4 when you find a place and are ready to submit an application.

WHAT IS MY PRICE RANGE?

If you will be using a voucher to help pay your rent, your housing specialist will make sure you know what you will have to contribute each month, based on your existing income and the number of people in your household. On the back of this sheet is a place where you can calculate your rent contribution together.

GET READY TO LOOK

- ○ Have you been assigned a case manager or housing specialist, and have they helped you **UNDERSTAND THE PROCESS** of finding suitable housing?
- ○ Has your case manager or housing specialist helped you **DEFINE A PRICE RANGE AND POTENTIAL NEIGHBORHOODS,** based on your income and household needs?
- ○ Have staff helped you **PREPARE TO MEET WITH LANDLORDS AND BROKERS** by practicing tough questions about past evictions, your source of income, or how the voucher process works?
- ○ Have you **DECIDED WHO IS RESPONSIBLE** for finding apartment listings? (*Please check all that apply.*)
  - ☐ You are responsible
  - ☐ Case manager or housing specialist is responsible

WHERE SHOULD I LOOK?

On the back of this sheet is a list of ways that you can search for places on your own.

HOW DO I KEEP TRACK?

Your case manager or housing specialist will provide you with a form to document your viewings. This is so that you can keep a record of where you've been.

FIND PLACES TO RENT

- ○ Has your case manager or housing specialist given you information on ways to **FIND AVAILABLE ROOMS** or apartments to view?
- ○ Has your case manager or housing specialist told you about how to **JOIN GROUP VIEWINGS** coordinated by the shelter?
- ○ Have you **PLANNED HOW MANY APARTMENT VIEWINGS** to attend each week? (*Please write a range.*) ____________________
- ○ Have you **DISCUSSED METHODS TO FIND LISTINGS?** (*Please check all that apply.*)
  - ☐ Talk to brokers
  - ☐ Ask friends and family
  - ☐ Search the websites on the back of this sheet
  - ☐ Apply to affordable or supporting housing

3

Resources

SEARCH FOR THE RIGHT APARTMENT

PRICE: Consider what rent you can manage given your household income.

- ◯ Monthly household income: ________________
- ◯ Affordable price range: ________________
- ◯ Approximate income leftover after rent: ________________

SIZE: Consider the number of members in your household, but be flexible with the size of your room or apartment. You may need to stick with the number of rooms you can afford.

- ◯ Number of bedrooms needed: ________________

REASONABLE ACCOMMODATION: Be sure to discuss any disabilities or medical constraints with your case manager, and gain formal medical documentation if needed.

- ◯ Amenities needed, such as elevators or air conditioning

____

WHERE SHOULD I LOOK?

Shelter staff may also use an internal tool called HOME to help find apartments or rooms.

- ◯ Use the **NYC HOUSING CONNECT** portal
- ◯ Use websites like **STREETEASY** or **PADMAPPER**
- ◯ Visit realtor's offices in neighborhoods where you want to live
- ◯ When you meet landlords, ask if they own other buildings with vacancies

WHAT ARE MY RIGHTS?

It is illegal for a potential landlord to ask you questions regarding past evictions or discrimination. If a question seems out of line, bring it up with your case manager or housing specialist.

PREPARE FOR TOUGH QUESTIONS

Talk to shelter staff about what **KINDS OF QUESTIONS** you might be asked.

Have you been **EVICTED** before?
Did your landlord follow legal eviction procedures?
Have you experienced **DISCRIMINATION** from a previous landlord based on your race, family status, source of income, or the age of your children?

4

Five Steps to Home

Get Approved

Date: ____________________

○ Your Original ○ Staff copy

WHAT HAPPENS IN THIS STEP?

You'll finalize your paperwork, submit your housing packet to DHS, and get approved.

WHEN DO I GO TO THE NEXT STEP?

Go to Step 5 when you receive approval to move in.

SECURE HOUSING

DOES THIS APPLY TO ME?

If your rehousing path does not require a walk-through or involve a lease, your case manager or housing specialist will begin preparing your housing packet right away.

- ○ Have you been offered, and are you ready to **ACCEPT A UNIT?**
- ○ If applicable, has your case manager or housing specialist helped you **GET AN AGREEMENT** from your new landlord to make sure the room or apartment is held for you while your paperwork is processed?
- ○ If required, has your case manager or housing specialist helped you **ARRANGE A WALK-THROUGH?**
- ○ If applicable, has your case manager or housing specialist helped you carefully **REVIEW THE LEASE?**

____

____

SUBMIT PACKET

WHAT DOES THIS MEAN?

Whether or not you will be using a rental assistance program, now is a good time to confirm that you understand the ongoing eligibility conditions of your rehousing path.

- ○ Has your case manager or housing specialist reviewed your case file to **DOUBLE-CHECK ALL YOUR DOCUMENTS** and verify that you have identification ready?
- ○ Has your case manager or housing specialist made sure you **UNDERSTAND THE TERMS** of your rental assistance program?
- ○ Did staff **SUBMIT THE HOUSING PACKET TO DHS** for approval? Do you know when you can expect to hear back?
- ○ Has your case manager or housing specialist suggested ways for you to **BEGIN PREPARING TO MOVE** while you are waiting for approval?

____

____

4

Resources

(929) 221-6576
SOI@HRA.NYC.GOV

If you think you have been discriminated against, contact HRA's Source of Income Discrimination Unit

WHAT ARE MY RIGHTS?

YOU SHOULD KNOW that **A LANDLORD CANNOT REFUSE TO RENT YOU AN APARTMENT** because you are paying with a public assistance voucher such as: **FHEPS, CITYFHEPS, OR SECTION 8.** To recognize source of income discrimination, listen for phrases like:

- "We don't take programs."
- "We'd prefer another source."
- "Ok, that program is fine, but can someone else guarantee the rent?"
- "We take that program, but you still have to pay first month's rent, security deposit, and a broker's fee in cash upfront."

UNDERSTAND THE WALK-THROUGH

If you are renting an apartment with a time-limited subsidy, like **CITYFHEPS** or **FHEPS**, shelter staff will conduct a walk-through to look for things like:

- Adequate lighting
- Working heat and plumbing
- Accessible fire exits
- Usable locks and windows
- Any potential health or safety hazards.

Note that the utilities must be connected by the landlord before the walk-through can take place.

Talk to your housing specialist if you have questions about the process.

5

Five Steps to Home

Move In

Date: ____________________

○ Your Original ○ Staff copy

WHAT HAPPENS IN THIS STEP?

You'll take part in an exit interview and prepare to move.

WHEN AM I DONE?

You're done when you've moved into your new place!

PREPARE TO MOVE

- ○ Has your case manager helped you **PLAN FOR YOUR MOVE** and, if applicable, explained about the furniture allowance and moving services?
- ○ Do you know how to **CHANGE YOUR ADDRESS** with the post office and HRA? What other agencies should you inform of your new address?
- ○ Did you **TRY OUT YOUR NEW COMMUTE?**
- ○ If you have kids, has your case manager helped you **ENROLL IN NEW SCHOOLS OR CHILDCARE?** (Kids have rights to stay in their current school.)
- ○ Do you need support to **PACK AND CLEAN** your shelter space? Has your case manager helped to **BOOK MOVING SERVICES** for you?
- ○ Have you started to **GET BASIC HOME ITEMS**? Has your case manager given you tips on where to look for affordable furniture and housewares?
- ○ Did you **TURN ON YOUR UTILITIES** and put them in your name?

____

____

HOW WILL I MOVE?

If you have things to move, you should pack up and list your furniture items and the number of boxes that will be moved. Be sure to leave your shelter space clean for the next client.

WHO DO I CALL?

Your case manager will make sure you know who the utility providers are in your new neighborhood.

SETTLE IN

- ○ Has your case manager made sure you know where to **FIND THE NEAREST COMMUNITY SUPPORT SERVICES** in your new neighborhood?
- ○ Did you **SAVE YOUR LANDLORD'S CONTACT INFORMATION** and the building superintendent's phone number?
- ○ Have you taken some time to **EXPLORE YOUR NEIGHBORHOOD?**

____

____

WHAT'S NEXT?

On the back of this sheet is a list of local businesses and services that you should be aware of.

5

Five Steps to Home

Resources

GET BASIC HOME ITEMS

Start to **GATHER THE ESSENTIALS:**

- ◯ Bed and bedding
- ◯ Cleaning products
- ◯ Plates, cups, and silverware
- ◯ Pots and pans
- ◯ Coffee maker
- ◯ Shower curtain
- ◯ Towels
- ◯ Hangers

EXPLORE YOUR NEIGHBORHOOD

GET TO KNOW THE AREA:

- ◯ Subway and bus stop
- ◯ Food pantry
- ◯ Grocery store
- ◯ Laundromat
- ◯ Pharmacy
- ◯ Public library
- ◯ Place of worship
- ◯ Public park
- ◯ Urgent care clinic
- ◯ Child care

WHAT IF I NEED HELP?

You are not alone. There are many city agencies and community-based organizations dedicated to helping you stay in your home. Refer to the list of local resources your case manager created for you if you run into any issues.

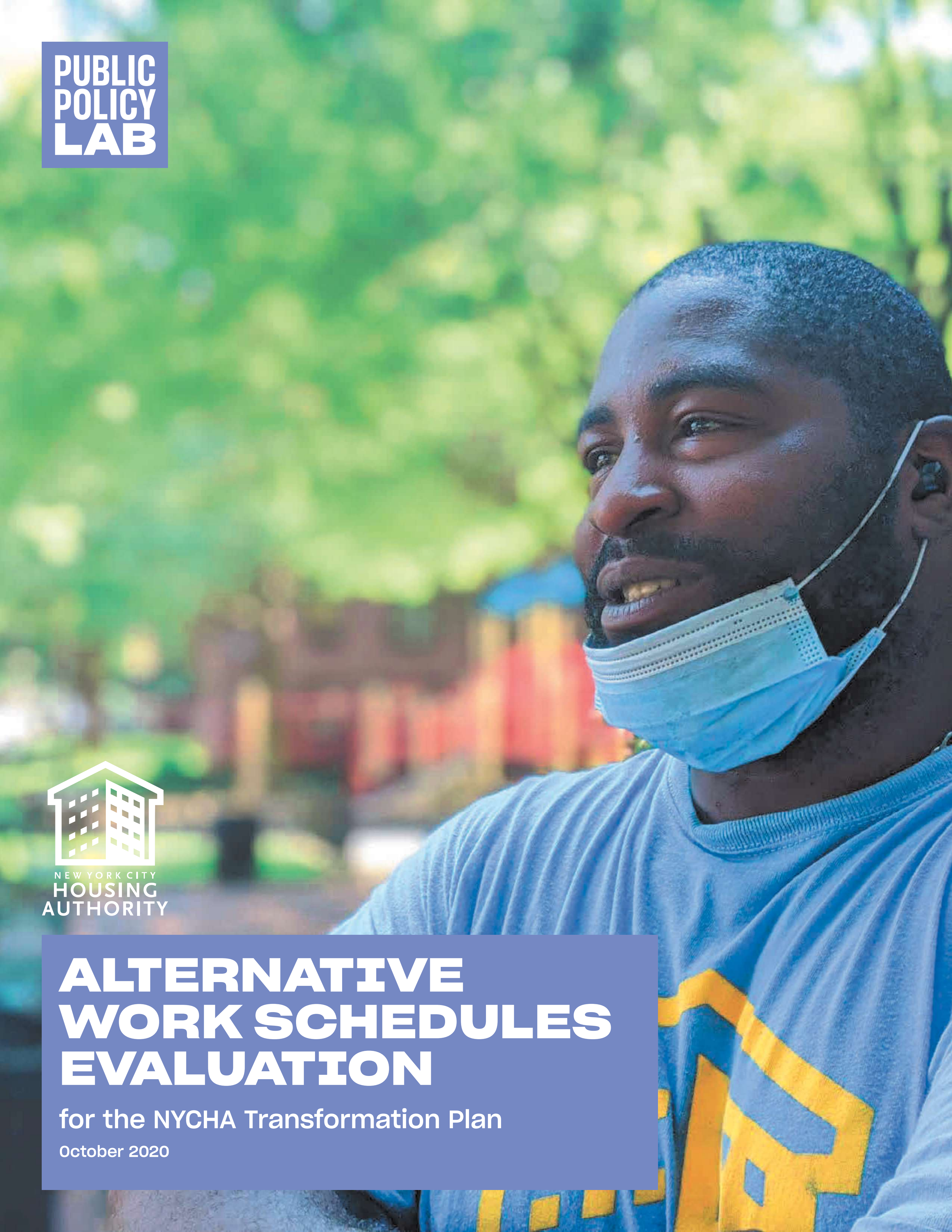
If you are concerned about eviction or are in need of short-term financial assistance, visit or call the nearest Homebase location.

NEAREST HOMEBASE: ____

Homebase
NYC.GOV/HOMEBASE

Appendix 7

NYCHA Report



PUBLIC POLICY LAB

NEW YORK CITY HOUSING AUTHORITY

ALTERNATIVE WORK SCHEDULES EVALUATION

for the NYCHA Transformation Plan

October 2020

Alternative Work Schedules Evaluation for the NYCHA Transformation Plan documents a project undertaken for the New York City Housing Authority by the Public Policy Lab, a nonprofit innovation team for government.

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Table of Contents

Executive Summary

Project Context & Objectives

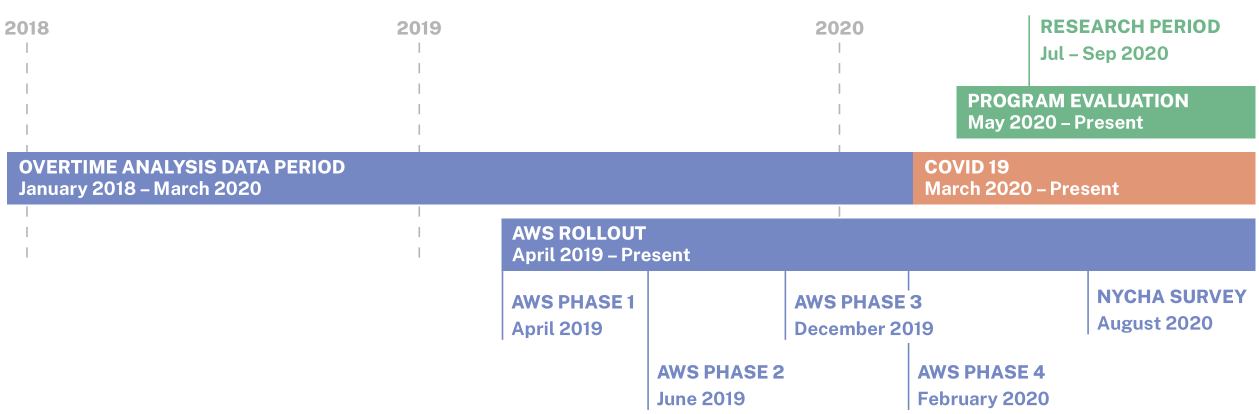
In 2018 New York City Housing Authority's (NYCHA) and Local 237, the union representing NYCHA development staff, signed a contract to allow for work schedules alternative to the traditional Monday to Friday, 8 a.m. to 4:30 p.m. caretaker schedule. Phased implementation of the alternative work schedule program (AWS) began in April 2019 and was in effect across all NYCHA developments by February 2020.

Preparation of the NYCHA Transformation Plan requires an evaluation of the AWS program. This report documents a research project to assess how effective the AWS program has been to date in meeting its dual goals: to provide better service for residents (including staffing coverage when residents are at home) and to reduce overtime costs.

The specific objectives of the AWS evaluation were to conduct quantitative and qualitative analyses of task timing, overtime costs, staff and resident perceptions, and staff and resident conditions. Additionally, the research team identified factors that contributed to the overall successes and challenges of the program. These analyses informed a set of recommendations on improving or modifying the program to address resident-satisfaction and overtime goals.

Please note that this evaluation was conducted during the summer of 2020, while New York City was experiencing a public-health emergency related to the novel coronavirus pandemic. All observations were affected by lower-than-average staffing levels due to staff taking leave during the pandemic, as well as by challenges in hiring new staff during this period.

AWS PROGRAM EVALUATION TIMELINE



▲ Caretaker cleaning a drop site at Howard.

▶ PPL researcher conducting an interview at Howard.

"I'd like to see a sense of cohesiveness between the staff, management, and tenants, where everyone should be held accountable [for] the cleanliness of the development."

— **Resident**

Research Activities

Researchers from the Public Policy Lab (PPL) conducted a range of evaluative and generative activities over the course of the project. These activities included time and motion studies, qualitative research, quantitative data analysis, and co-creative activities with stakeholders.

Mixed-methods research included in-person and remote interviews, conducted individually and in small groups; digital diary studies, using a remote ethnography mobile-phone app; on-site time and motion studies; and on-site participant observation, contextual inquiry, and caretaker shadowing. In total, PPL conducted 276 hours of primary research with subject matter experts and with site-based staff and residents at three NYCHA developments — Howard, Ingersoll, and Gompers. (These developments were selected to represent a variety of characteristics of NYCHA developments, including population size, development typology, building and grounds size, and AWS implementation phase.)

For the quantitative overtime comparison, PPL analyzed over 1.5 million pay code data entries. These entries covered 4,500 employees across 136 NYCHA consolidations over three years.

Additionally, NYCHA's Performance Tracking and Analytics Department and Department of Strategic Planning conducted system-wide surveys of residents and caretaking staff about AWS, results of which were shared with PPL. Feedback was received from 3,779 respondents. A summary of survey results is included in this report, and survey findings are integrated, where appropriate, to expand on qualitative findings.

PPL augmented this qualitative and quantitative research with an additional 33 hours of facilitated collaborative activities with NYCHA central staff, caretakers, supervisors, and resident representatives. These sessions allowed stakeholders to participate in generating final recommendations.

Key Findings & Recommendations

Key findings from qualitative and quantitative research include the following:

- A thorough analysis of payroll and HR data determined that **overall staff costs have slightly increased under AWS, with notable increases in supervisor hours and unscheduled overtime.**

- Despite increased costs, **observed staffing levels are not sufficient to maintain expected service levels for residents.** PPL believes that observed sites require a 40%-55% increase in caretaker numbers to adequately maintain building conditions on the current AWS schedule.

- Upon shadowing more than three dozen caretakers across three sites to generate task timings, our team determined that **time and motion study data are not optimal for assessing staffing levels,** due to the high variability in site and personnel factors.

- **Site size and typology significantly affect the ability of some sites to switch to a task-based (rather than building-based) staffing model,** and many sites are attempting to manage a hybrid system to make AWS work at their locations.

- Results from a concurrent survey conducted by NYCHA confirm qualitative research findings that **residents and staff are less satisfied now than they were before AWS** was implemented, demonstrating that the current schedule may benefit from being modified.

Based on these findings and others detailed below in sections on time and motion studies (p. 8), overtime analysis (p. 16), and qualitative research (p. 28), PPL has provided an evaluation (p. 47) of AWS's extended work hours, staffing levels, and overall factors for success and failure. This evaluation informs our six recommendations for improving the AWS program, including proposals to:

- **revise the AWS schedule to allow for site-specific modifications** (p. 47) and to **schedule caretakers by role** (p. 53), and
- **recruit additional numbers of caretaking and other staff** to address training, accountability, and supervisory challenges (p. 57).

Findings from Time and Motion Studies

Findings from Time and Motion Studies

Methodology & Activities

PPL conducted time and motion studies through in-person participant observation and shadowing of caretaker staff for all three study sites. Some staff participants also provided self-reported diary content related to the specific tasks being studied via observational research.

Tasks for the time and motion studies were provided in NYCHA's original AWS request for proposals. This list was revised based on subsequent conversations with NYCHA and a priority task list from Howard Houses. The final task list is representative of tasks completed at different frequencies and by all three caretaker roles (J, G, and X).

Over the course of 18 visits, the PPL team shadowed more than 40 caretakers at three developments as they executed the tasks listed below. Study visits were distributed across each weekday, Monday to Friday, and across the hours in the day, from 6 a.m. to 7 p.m. Time and motion study data was collected on forms that PPL adapted with input from NYCHA. These updated forms allowed PPL researchers to collect additional time and motion data (particularly to note intervening factors that affected task timings, such as the number of caretakers conducting tasks, disruptions to task completion, etc.).

CARETAKER TASKS | Time and motion studies were conducted at the three study sites for the tasks below.

Daily Tasks

1. Building Walkdown and Perform Safety Checks + Sweep-Down the Building[1]
2. Clean Building Lobbies and Elevators
3. Garbage/Recycling Pick-Up Sites (Cans, Drop-site)
4. Police Building Entrances
5. Police Grounds Around Building
6. Service the Compactors

Weekly/Monthly/As Needed Tasks[2]

7. Decking
8. Leaf Blowing (Grounds Maintenance)
9. Sweep and Mop Building Hallways
10. Sweep Compactor Room

[1] These tasks were often completed at the same time, so were combined for our timing purposes.

[2] Note that due to the unpredictable nature of 'Weekly/Monthly/As Needed' tasks, it was not possible to conduct multiple observations at all three sites for many of these occasional tasks.

Key Findings

The research team hoped to determine optimal timings for each of the study tasks; however, it became apparent through observational research and repeated task timing that the duration required to complete tasks is highly variable, primarily for factors outside of the control of individual caretakers. We identified multiple factors that make average timings unrepresentative on an individual task basis:

- **Site factors:** Number of caretakers, condition of building or area to be cleaned, site emergencies, development size, and more impact task timing.
- **Equipment factors:** Missing, broken, or exhausted equipment resulted in unpredictable delays (and major inefficiencies) at all three sites.
- **Human factors:** Caretaker injury and fatigue, interactions with residents, other caretakers jumping in to support a colleague with a task, and additional tasks that arose while executing the intended task also affect task timing.

Our primary finding is that **time and motion study data is so variable that it should not be exclusively used to calculate staffing needs.** See below for additional findings on timing variability per study task.

PPL observations of this task ranged from **4 minutes** to **63 minutes.**

Task 1: Building Walkdown and Perform Safety Checks + Sweep-Down the Building

These two tasks are typically conducted simultaneously, so they were timed together as one task. Task time varied due to site factors such as the number of stairs or placement of trash — garbage left in hallways or stairwells, for instance, was particularly common when compactors or hoppers were broken. In some buildings, people often urinate and defecate in certain stairwell areas, necessitating extra cleaning. Task time can also be influenced by how well the building was cleaned the day prior, as well as by the overall condition of the building.

PPL observations of this task ranged from **3 minutes** to **25 minutes.**

Task 2: Clean Building Lobbies and Elevators

Cleaning an elevator can take anywhere from ten seconds to one hour, depending on site factors. In many buildings, maintenance issues (such as pipe leaks) also add to lobby cleaning time. Cleaning can also take longer due to human factors, such as when non-residents break lobby door locks and use elevators as a place to urinate and defecate, as well as when residents bring large items (like mopeds) into elevators, which dirties the walls, making them take much longer to clean.

PPL observations of this task ranged from **4 minutes** to **86 minutes.**

Task 3: Garbage/Recycling Pick-Up Sites (Cans, Drop site)

The duration of this task was strongly linked to site staffing decisions: Numbers of staff working on this task varied, depending on the time of day and the site. We observed one to four caretakers at a time completing drop-site tasks. Crews at some locations regularly clean drop sites throughout the day, while others only get to it once per day. Regularly serviced drop sites are quicker to clean on a per-task basis.

Some site factors elicit human behaviors that influence timing. Resident-created unofficial drop sites caused by construction work or the installation of recycling bins have created more work for caretakers. These unofficial drop sites take longer to clean, as they are not always located in easy-to-clean areas and may lead to residents dropping trash off in multiple locations around the entrance. Not all locations have cans, and non-residents tear into bags overnight to look for valuable trash. Subsequent gathering and re-bagging of garbage is time-consuming.

PPL observations of this task ranged from **1 minute** to **41 minutes.**

Task 4: Police Building Entrances

Residents often engaged with caretakers while they were policing building entrances, which impacted the task timing, but also reflected rapport between caretaker staff and residents. During observations, residents were most likely to interact with caretakers while they conducted this task. During one observation, a resident approached a caretaker while they were sweeping to inform the caretaker that they were concerned that a neighbor had died in their apartment. The caretaker called the Supervisor of Grounds to inform them of the issue and provided the apartment number. This task was also complicated by garbage being thrown out of windows by residents; this created additional work for the caretakers, as well as safety concerns.

Beyond human factors, site management influenced this task. The definition of ‘area in front of the building’ varied depending on the development and caretaker. Efforts to assign more than one caretaker to this task altered timings, not always in ways that were positive: in one instance, a second caretaker was called to support, but the primary caretaker had to repeat their work when they left, because the area was not adequately cleaned.

PPL observations of this task ranged from **3 minutes** to **66 minutes.**

Task 5: Police Grounds Around Building

In general, this task involves a relatively light cleaning of garbage and sweeping of dust. Occasionally, on larger developments, grounds were completed by teams of three; sharing the same bin, they would split up a large area to cover more ground faster.

Task completion varies depending not just on the number of assigned caretakers and workload, but also by season and weather conditions. Development trees drop leaves in both the summer and fall, contributing to the bulk of the cleanup for the policing grounds. On occasion, additional time is given to raking the lawns and cleaning leaves to reduce leaf blowing work for the subsequent day. Weather also affected how quickly a caretaker could complete this task; on extremely hot days, caretakers’ policing work was slowed and in one case was not completed, as it was late in the day and particularly hot.

PPL observations of this task ranged from **16 minutes** to **80 minutes.**

Task 6: Service the Compactors

Equipment is a major time-variability factor with this task. Some buildings at observed sites reported frequent issues with compactors. Broken compactors increase the time to conduct other tasks within the building (such as walk-downs and drop sites). The time it takes to service the compactor can vary from a few minutes to several hours if the hopper has been clogged by oversize garbage. Caretakers reported other equipment challenges, such as carts with wobbly wheels, broken fans, and other worn equipment. Site factors such as distance to the EZ Pak and obstacles on the pathway (e.g., construction poles) also affected task timing.

Human factors were also significant. Incomplete or incorrect procedure from a caretaker on a previous shift can significantly increase task timing. Forgetting to leave the compactor running or not loading tie wires in the machine can delay the work significantly, as a caretaker must then manually clean out the hopper or tie bags. High temperatures and a lack of ventilation also extended the timing of this task, with some compactor rooms sharing a space with a building's boiler. Vermin are also a big negative on staff morale. Many staff members see servicing the compactors as the least desirable caretaking task.

PPL observations of this task did not use decking equipment.

Task 7: Decking

Our research team had challenges in observing decking (machine-assisted stair washing), both because many sites do not conduct decking in hot summer weather and also because caretakers who are assigned this task often use traditional methods to clean the stairs, rather than the scrubbing machines purchased as an efficiency measure at the introduction of AWS. Indeed, during our sole successful observation of stair washing, three caretakers used a mop and Doodlebug scrubbing pad to clean the stairs, not a decking machine. Equipment factors impede caretakers' ability to complete decking efficiently, with many caretakers speaking about the challenges of using the decking machines as they do not help in low-rise buildings without elevators, and sites have limited numbers of the machines. Other site issues, such as a broken elevator, extend the timing of the task significantly.

PPL observations of this task ranged from **3 minutes** to **35 minutes.**

Task 8: Leaf Blowing (Ground Maintenance)

Timing factors for this task revolved around equipment. During the summer months, this task is generally the role of seasonal staff. However, these staff do not receive training on how to use a leaf blower, and our research team observed worrying operational practices, such as a seasonal worker accidentally blowing leaves and dirt at elderly passersby. The lack of training also created inefficiencies when completing the task, as caretakers did not have helpful strategies to round up the leaves. Separately, in larger sites the limited number of leaf blowers was a challenge, as caretakers took significant time traveling back and forth from the development maintenance area to collect the leaf blower.

PPL observations of this task ranged from **18 minutes** to **3 hours 6 minutes.**

Task 9: Sweep and Mop Building Hallways

Site factors relating to building quality significantly lengthen the timing of this task, including clogged slop sinks that require a caretaker to empty mop water outside; broken elevators that make it more difficult for caretakers to change the mop water; lack of hot water in the building adding to the difficulty of mopping sufficiently; and caretakers having to squeeze mops out with their hands because the wringer in the bucket doesn't dry the mop effectively.

In addition, human factors create timing variations. Some residents put trash in front of their doors instead of at the drop site; caretakers must manage the trash as they sweep and mop the floor, slowing down their work. Caretakers may pause tasks to support another caretaker, including helping other caretakers move bulk items, thereby affecting task timing for both. The physical ability of caretakers impacts also how they can maneuver equipment; some caretakers cannot lift the mop bucket to the slop sink and dump the dirty water in the grass.

PPL observations of this task ranged from **55 seconds** to **90 seconds.**

Task 10: Sweep Compactor Room

This task was observed being completed quickly at the end of servicing the compactors, but is often overlooked when the compactor is being serviced. Depending on the condition of the compactor room, a deeper clean would have been required to remove pests and properly clean the compactor room. In some instances, the lack of available brooms in compactor rooms was an equipment factor that prevented this task from being completed

Findings from Overtime Analysis

Overtime Analysis

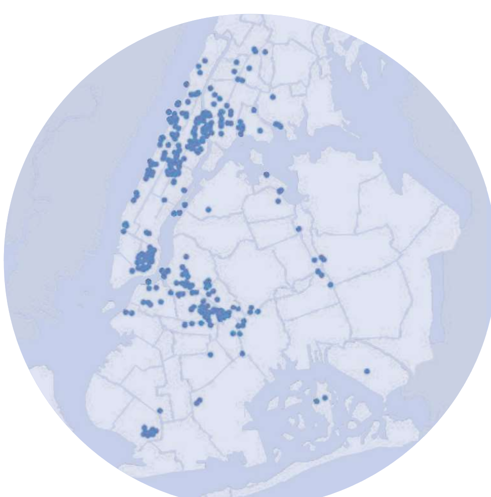
Methodology & Activities

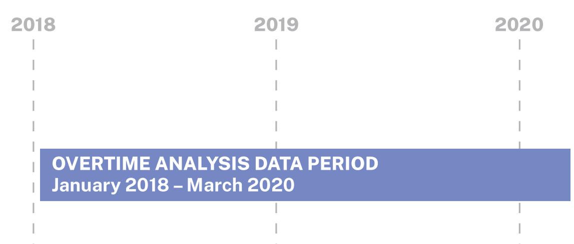
PPL analyzed NYCHA payroll data to determine the effect AWS implementation had on overtime usage and costs. In all, 1.5 million pay code data entries were analyzed for 4,500 employees across all NYCHA consolidations from the period January 2018 to early March 2020.

Much of the data analysis was to create frameworks for understanding and disentangling labor costs into regular, scheduled, and unscheduled overtime to determine whether AWS met its intended goal of providing better service while reducing unscheduled overtime. We used the R programming language and R Studio to harmonize NYCHA departmental data and codes, creating crosswalks between different internal NYCHA data sources. We classified payroll data by overtime types, consolidation, and employee to be analyzed by AWS phase of implementation. To assist analysis, we aggregated hourly earnings data into bi-weekly costs by scheduled overtime and unscheduled overtime to identify cost changes due to AWS.

Given the phased AWS implementation schedule, our team created comparison groups for time-period-specific AWS and non-AWS consolidations, as well as time-period-specific employee counts for caretakers and supervisors, to create proper

ABOUT THE DATA | Overview of overtime analysis data sources





136 NYCHA Consolidations

4,500 Caretakers

1.5M Pay code data entries

comparisons for employee costs. In addition, we created a time series of total costs and per employee costs for AWS and non-AWS comparison groups. To better understand the outputs, we created median costs for pre-AWS and post-AWS to allow for phase-specific comparisons of median and total costs and then conducted basic significance testing. Please see the Further Data Resources section below for additional information on data analysis considerations.

Key Findings

The analysis indicates that under AWS **overall staffing costs for the janitorial teams have increased.** Most notably **supervisor costs have increased significantly,** driven by a jump in unscheduled overtime.

One of the key goals of AWS was to reduce the caretaker scheduled overtime. This reduction has been achieved; however, it has been offset by a near identical rise in unscheduled overtime, resulting in minimal cost change for this employee type.

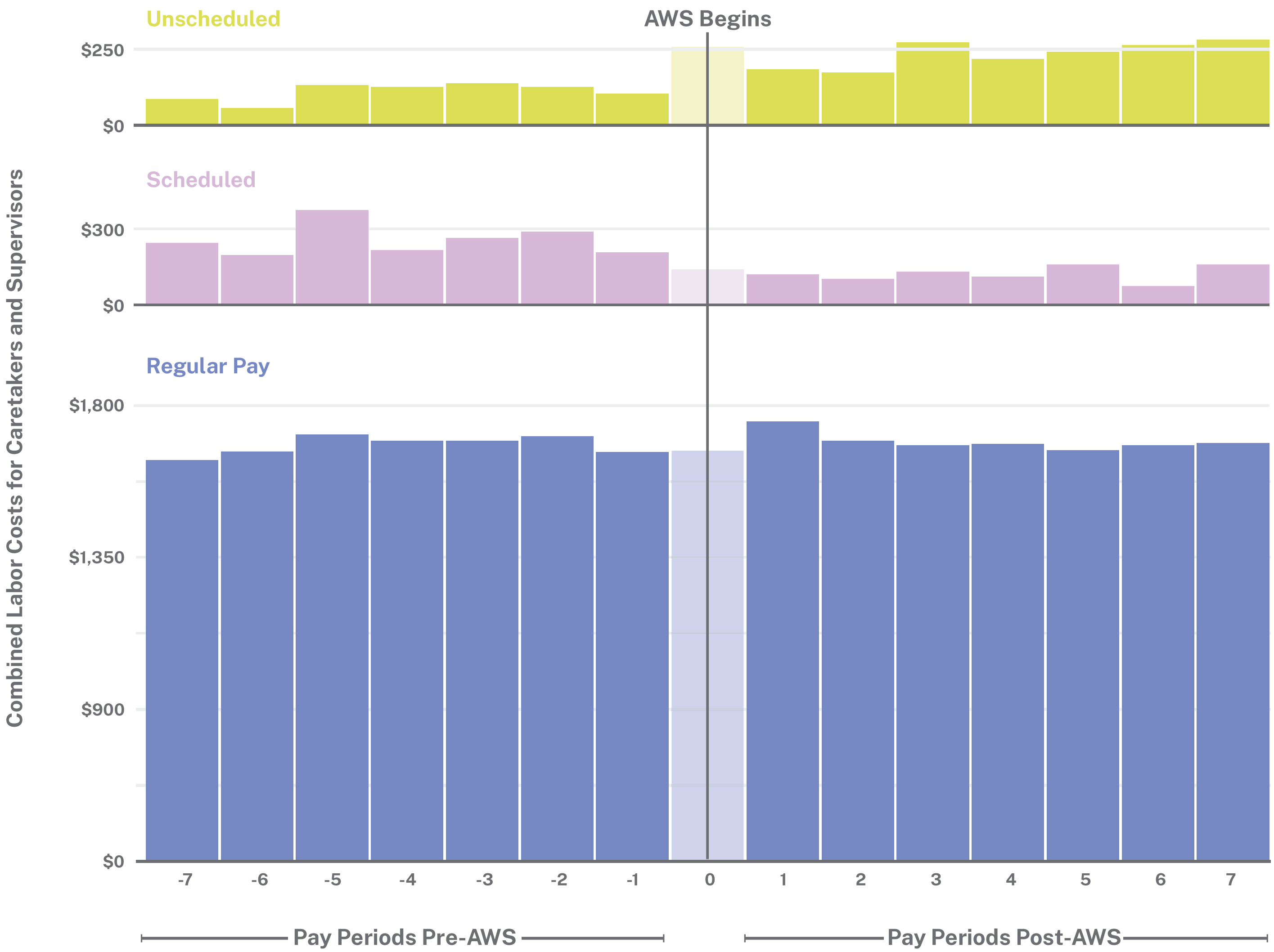
Overall, our pre- and post-AWS analysis suggests that janitorial staffing costs have risen by a mean increase of $624 per employee, per year (comprising an annual $12,604 increase for supervisors and $1,248 decrease for caretakers). This is in line with our qualitative research, which highlighted the sizable challenge of providing supervision across AWS's five schedules with limited supervisory staff.

Employee Cost (Amalgamated)

To demonstrate the overall effect AWS has had on overtime and staffing costs, we have amalgamated the phased roll-out into singular data points. As NYCHA developments switched to AWS in phases, the following tables and charts do not follow a calendar timeline, but rather consider the seven pay periods before AWS and after AWS was implemented for each consolidation. For the purposes of comparison, they do *not* include the pay period during implementation.

Data from mid-March onwards was not considered in the study as Covid-19 greatly affected staffing levels and costs. As such, only AWS Phases 1-3 are included in the following data. Also note that data in the following charts are not directly comparable to total cost, as the charts present the averages of different payment time periods and different numbers of consolidations in each time period.

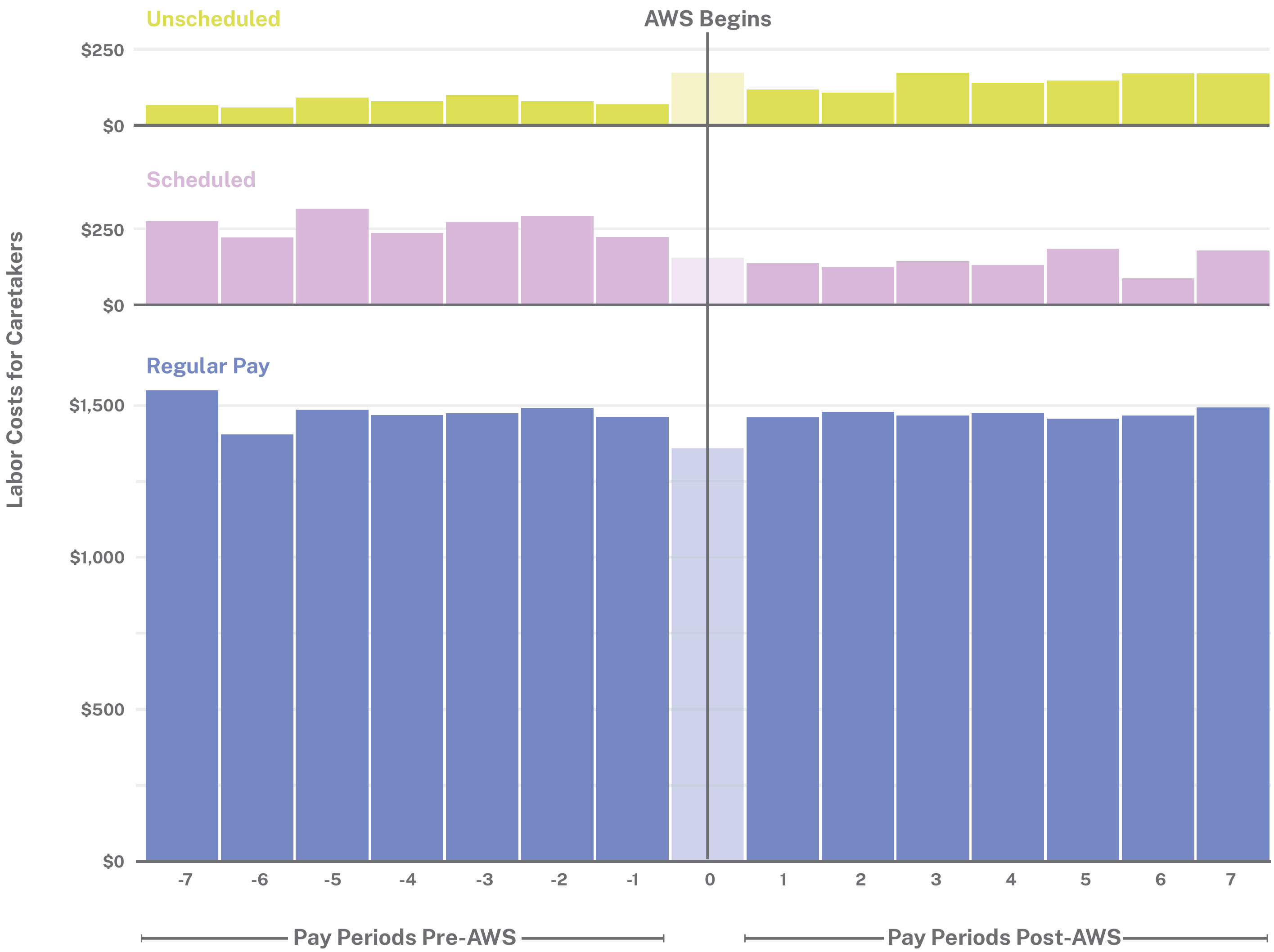
The following data shows that AWS implementation was the cause of a rise in unscheduled overtime and a decrease in scheduled overtime.



Type	Pre-AWS Mean	SE	Mean Post-AWS	SE	Difference
Unscheduled	$118	7	$230	11	+$112
Scheduled	$260	14	$158	14	-$102
Regular Pay	$1,656	13	$1,670	9	+14
Total	**$2,034**	29.7	**$2,058**	24.8	**+$24**

SE = Standard Error

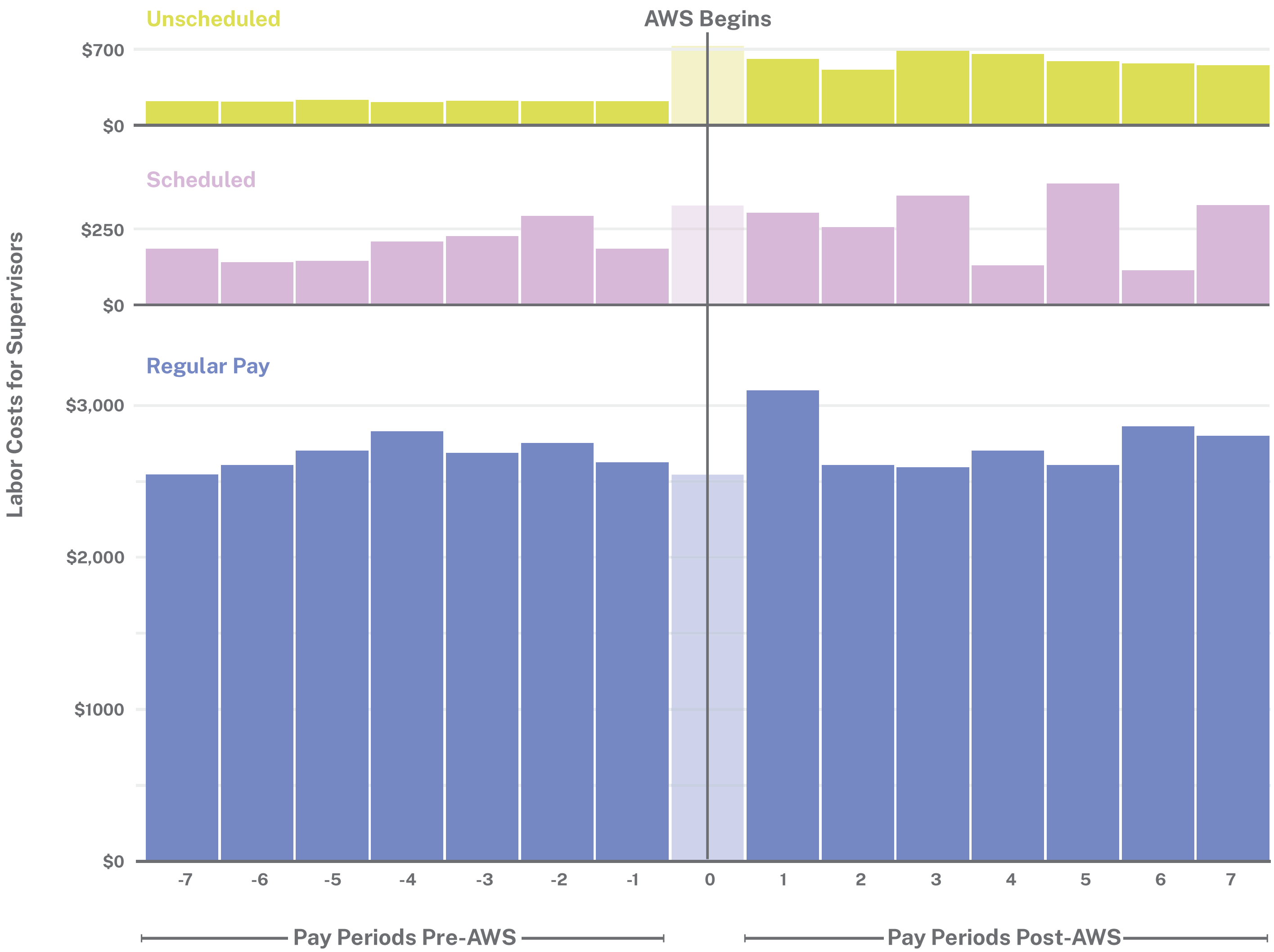
Total caretaker staffing cost has seen a modest decrease since AWS was implemented. This is primarily driven by a reduction in the number of scheduled overtime hours — reflecting the stated goal of AWS. However, this achievement has been somewhat offset by a growth in the number of unscheduled overtime hours.



Type	Pre-AWS Mean	SE	Mean Post-AWS	SE	Difference
Unscheduled	$77	6	$146	10	+$69
Scheduled	$265	14	$142	13	-$123
Regular Pay	$1,464	11	$1,470	5	+$6
Total	**$1,806**	28.3	**$1,758**	23.5	**-$48**

SE = Standard Error

The take-home pay for supervisors has grown significantly since AWS was introduced. Supervisors have seen increases in staffing cost for all three types of pay; however, most notable is the considerable rise in unscheduled overtime.



Type	Pre-AWS Mean	SE	Mean Post-AWS	SE	Difference
Unscheduled	$317	13	$656	21	+$339
Scheduled	$235	13	$240	19	+$5
Regular Pay	$2,569	31	$2,689	57	+$120
Total	**$3,121**	40.9	**$3,585**	52.1	**+$464**

SE = Standard Error

Total Cost NYCHA by Phase

The following table shows the averaged caretaker and supervisor pay for a biweekly period broken down by phases. The pre-AWS mean includes all pay periods from January 1, 2018, up until that phase entered AWS. The post-AWS mean excludes the pay period during which AWS was introduced, but includes all pay periods from the following pay period until the beginning of March 2020. Note the fluctuating number of developments in each phase, which impacts the associated dollar figures.

The data shows that staffing-cost increases were consistent between all phases, with modest increases in regular pay and total staffing costs, plus more pronounced swings from scheduled overtime to unscheduled overtime. As the chart below is an averaged mixture of supervisor and caretaker costs, with their own internal mix changes, figures in the chart communicate less variation in the scheduled and unscheduled changes.

TOTAL COST NYCHA BY PHASE | Per employee per pay period

		% Change Regular pay	% Change Scheduled OT	% Change Unscheduled OT	Total % Change in Staffing Cost
Phase 1 (13 developments)	Pre-AWS Mean	$570,396	$95,823	$39,308	**$705,527**
	Post-AWS Mean	$600,957	$59,816	$106,015	**$766,788**
	% Change	**+5.09%**	**-60.20%**	**+62.92%**	**+7.99%**
Phase 2 (39 developments)	Pre-AWS Mean	$1,607,055	$228,074	$120,843	**$1,955,972**
	Post-AWS Mean	$1,801,785	$182,091	$277,387	**$2,261,263**
	% Change	**+10.81%**	**-25.25%**	**+56.44%**	**+13.50%**
Phase 3 (38 developments)	Pre-AWS Mean	$1,614,567	$259,811	$92,430	**$1,966,808**
	Post-AWS Mean	$1,781,417	$193,675	$270,942	**$2,246,034**
	% Change	**+9.37%**	**-34.15%**	**+65.89%**	**+12.43%**

SE = Standard Error

Employee Cost by Phase

The following tables show the averaged caretaker and supervisor pay for a biweekly period broken down by phases on a per employee basis. The pre-AWS mean includes all pay periods from January 1, 2018, until that phase entered AWS. The post-AWS mean excludes the pay period during which AWS was introduced, but includes all pay periods from the following pay period until the beginning of March 2020. These charts include the change in pay for employees who work at developments that had not yet transitioned to AWS as a comparison to account for any seasonal or NYCHA-wide factors. This comparison group is made up of employees from all sites that are not yet operating within the AWS model, until the point that they transitioned to AWS Note that the following table combines salaries of supervisors and caretakers with different salary levels, compressing total changes versus their equivalent subsets.

COMBINED CARETAKER AND SUPERVISOR STAFFING COST | Per employee per pay period

Phase 1

Type	Pre-AWS Mean	SE	Post-AWS Mean	SE	Phase 1 Difference	Non-AWS Difference
Regular	$1,656	13	$1,670	9	+0.84%	+1.81%
Scheduled	$260	14	$158	14	-64.56%	0.00%
Unscheduled	$118	7	$230	11	+48.70%	-24.56%
Total	**$2,034**		**$2,058**		+1.17%	-0.45%

Phase 2

Type	Pre-AWS Mean	SE	Post-AWS Mean	SE	Phase 2 Difference	Non-AWS Difference
Regular	$1,614	10	$1,660	6	+2.77%	+1.44%
Scheduled	$229	9	$168	22	-36.31%	+1.82%
Unscheduled	$121	7	$256	13	+52.73%	+8.49%
Total	**$1,964**		**$2,084**		+5.76%	+1.85%

Phase 3

Type	Pre-AWS Mean	SE	Post-AWS Mean	SE	Phase 3 Difference	Non-AWS Difference
Regular	$1,648	8	$1,701	13	+3.12%	+0.67%
Scheduled	$265	8	$185	28	-43.24%	+3.58%
Unscheduled	$95	5	$259	20	+63.32%	+18.64%
Total	**$2,008**		**$2,145**		+6.39%	+2.10%

SE = Standard Error

Non-AWS Difference = Non-AWS Comparison Group Difference

CARETAKER STAFFING COST | Per employee per pay period

Phase 1	Type	Pre-AWS Mean	SE	Post-AWS Mean	SE	Phase 1 Difference	Non-AWS Difference
	Regular	$2,621	33	$2,621	17	+7.33%	+3.16%
	Scheduled	$230	11	$229	23	-0.44%	-0.43%
	Unscheduled	$312	18	$754	24	+58.62%	+2.27%
	Total	**$1,761**		**$1783**		+1.23%	+0.72%

Phase 2	Type	Pre-AWS Mean	SE	Post-AWS Mean	SE	Phase 2 Difference	Non-AWS Difference
	Regular	$2,427	26	$2,655	41	+8.59%	+3.59%
	Scheduled	$192	9	$261	30	+26.44%	+3.28%
	Unscheduled	$283	16	$670	21	+57.76%	+12.73%
	Total	**$1,759**		**$1,803**		+2.44%	+1.37%

Phase 3	Type	Pre-AWS Mean	SE	Post-AWS Mean	SE	Phase 3 Difference	Non-AWS Difference
	Regular	$2,482	24	$2,723	64	+8.85%	+3.90%
	Scheduled	$241	8	$279	40	+13.62%	+8.06%
	Unscheduled	$288	13	$669	34	+59.95%	+20.73%
	Total	**$1,791**		**$1,841**		+2.72%	+1.21%

SE = Standard Error

Non-AWS Difference = Non-AWS Comparison Group Difference

SUPERVISOR STAFFING COST | Per employee per pay period

Phase 1

Type	Pre-AWS Mean	SE	Post-AWS Mean	SE	Phase 1 Difference	Non-AWS Difference
Regular	$1,416	13	$1,439	6	+1.60%	+1.81%
Scheduled	$278	11	$150	15	-85.33%	0%
Unscheduled	$67	7	$194	13	+65.46%	-24.56%
Total	**$2,971**		**$3,604**		+17.56%	+2.80%

Phase 2

Type	Pre-AWS Mean	SE	Post-AWS Mean	SE	Phase 2 Difference	Non-AWS Difference
Regular	$1,436	8	$1,473	5	+2.51%	+1.14%
Scheduled	$237	10	$151	21	-56.95%	+1.43%
Unscheduled	$86	6	$179	12	+51.96%	+6.56%
Total	**$2,902**		**$3,586**		+19.07%	+4.52%

Phase 3

Type	Pre-AWS Mean	SE	Post-AWS Mean	SE	Phase 3 Difference	Non-AWS Difference
Regular	$1,468	7	$1,496	7	+2.00%	+0.07%
Scheduled	$270	9	$166	25	-62.65%	+2.81%
Unscheduled	$53	4	$177	19	+70.06%	+18.57%
Total	**$3,011**		**$3,671**		+17.98%	+7.44%

SE = Standard Error

Non-AWS Difference = Non-AWS Comparison Group Difference

Further Data Resources

Please note that data cleanup and analysis involves qualitative and domain knowledge to drive both classification (e.g., what gets classified as what kind of overtime) and filtering (what gets included or removed from any analysis or comparison), prior to any official analysis. The stories told with data are thus just as dependent on access to informed opinion as any other kind of analysis. With this in mind, we wish to highlight a number of specific determinations made during our analysis of AWS overtime data.

Use of Payroll Data

First, and most important, our overtime analysis used payroll data. However, payroll data is used to track many more factors in human behavior than 'hours worked.' For example, payroll codes are used for tracking active work, sick leave, accrued allowances and overtime, retirement hours, backdated HR or employee corrections, and other vital internal coding issues. The NYCHA payroll department was very helpful in classifying and reducing different hourly working codes into 'scheduled' 'unscheduled' and 'regular' pay types for the purposes of this AWS analysis, while noting that it would not use those classifications for any other day-to-day work. In short, clarifying data to allow analysis can reveal the limits of data clarification.

Active vs. Inactive Employees

Even simplified payroll classifications introduce challenges. As mentioned above, employees are given status codes to designate if they are under standard working condition, are under leave or absence of other kinds, have illness or family leave of absence, or have provisional appointments. While many pay types can be filtered, in other cases they cannot, introducing issues that specifically affect the creation of per-employee data. (As an example, filtering to 'active' employee codes reveals that many otherwise active employees are coded as inactive during the winter holiday pay-period.) Employee counts could have been made using full or partial use of these status codes, but the decision was made to not filter based on status codes to account for full costs. The denominator of employees remains stable during the periods of interest and should not affect trends in costs, mix or types of employment types within consolidations.

Employee Location Tracking

NYCHA payroll location data is coded by ***pyrl_dist_code***, which is the location that the employee picks up their paycheck. While this is a good approximation for employee work location, it may not be entirely accurate (e.g., some employees may pick up their paychecks at a building close to their home, not at their work site). Similarly, employees may switch locations from one consolidation to another, creating a lag before NYCHA Human Resources can recode their working location. This issue is seen in a small number of cases (~1%) of caretakers who are not coded as G, J, or X (the AWS caretaker codes), but who are recorded as working in AWS phase consolidations. We cannot detect, however, if an employee has shifted out of an AWS consolidation while being coded as remaining in an AWS consolidation.

Cost of Living Adjustment

Two cost of living adjustments (COLA) were made in the past three years. The first, starting May 30, 2018, was a 2% increase in wages across all employees; the second, a 2.25% increase, began August 30, 2019. While the first COLA began before the AWS analysis period, the second was introduced four pay periods after the AWS Phase 2 Consolidation change and seven periods prior to Phase 3. These increases in costs can be seen in total and per employee trends in both AWS and non-AWS comparisons and may introduce countervailing biases into pre-and post-AWS regular salary cost calculations. They do not affect changes in types of overtime used or hours worked.

Pay Period Bucket Designations

For simplicity, pay periods were created on two week periods beginning at the start of the year to create 26 pay periods for each year. “Earn Dates” (dates under which hourly earnings are designated) were then bucketed into these pay periods and used for analysis. These pay periods are only approximate to official NYCHA pay periods that begin prior to the beginning of the new year. This can introduce clumping, where pay from two periods are bucketed into one time period.

An additional abnormality was witnessed in 2018 data, prior to AWS introduction: a decline in both total and per employee costs that appears to be an input data issue. This data issue clears up prior to the period of AWS implementation and analysis but remains worth noting.

Winter and Summer Variation

Finally, the tangible world makes its presence known in data. Weather acts as a seasonal driver of costs. Snowy winter months require more cleanups and summer months may require additional heavy-equipment work, making costs in those seasons often higher than in spring and fall, irrespective of AWS.

Findings from Qualitative Research

Findings from Qualitative Research

Methodology & Activities

PPL conducted qualitative research using a mixed-methods approach with subject-matter experts and site-based staff and residents at Howard, Ingersoll, and Gompers. The approaches included in-person and remote phone or video interviews, conducted individually and in small groups; and digital diary studies, using a remote ethnography mobile-phone app.

During qualitative interviews and digital diary studies with site-based staff and residents at the selected NYCHA developments, PPL explored the six factors identified by NYCHA for this study. Interviews with subject-matter experts (SMEs) provided us with historical and operational context for our site-based research. Combined findings from these research activities are presented below.

Separate from our discovery research, PPL facilitated co-creative activities with NYCHA central staff, caretakers, supervisors, and resident representatives to generate interim feedback and final recommendations in a collaborative manner.

BY THE NUMBERS | Qualitative research time and respondent breakdown

309	**Hours of Qualitative Research**	**93**	**Participants**
214	Hours Site-Based Staff Engagement	24	Subject Matter Experts
46	Hours SME Engagement	58	Frontline Staff
16	Hours Resident Engagement	11	Residents

Key Findings

PPL conducted qualitative research to better understand how AWS affected six key aspects of caretaker and resident experience: accountability, training, productivity, morale, safety, and relationships. Key takeaways around each of these factors is described below, along with representative examples from human research.

Our top-level finding is that **AWS has had a negative effect on all six experiential factors**, primarily due to the shift away from building-based scheduling to task-based scheduling and the splitting of janitorial teams across alternating schedules throughout the week — both of which have led to unanticipated and interconnected challenges.

PPL researcher shadowing a caretaker.

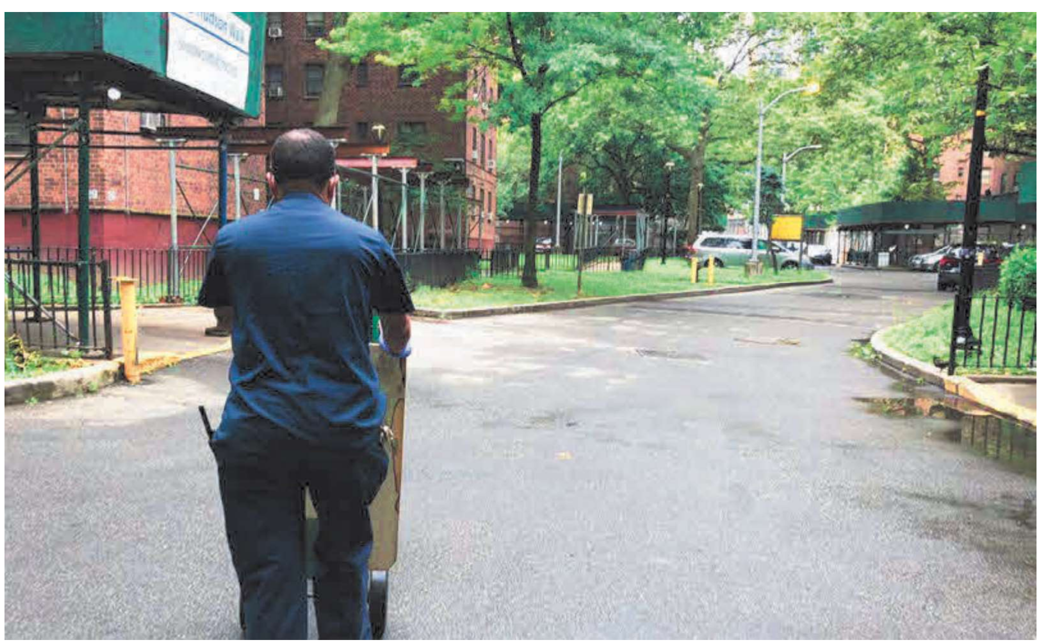
Accountability

AWS negatively affects accountability for both caretakers and supervisors. Previously, caretakers worked on the same buildings each day. A caretaker's peers, supervisors, and building residents knew who to contact to raise any concerns about the cleanliness of the building under their care. Under the new schedule, the staff does not have the same sense of ownership.

> "I've been in housing for a while. One thing I've noticed is that the old method, I call it pride and ownership. If you're assigned to a building, that's your building, you're going to make sure you keep this building clean."
>
> **— Subject-Matter Expert**

As the responsibility for building cleanliness is split across multiple caretakers, proper building maintenance is not achieved — leading to diminished outcomes for residents. Ideally, supervisors of caretakers would frequently inspect the work, but now they are also spread thin across shifts. The supervisor of caretakers cannot consistently inspect caretakers' work or confirm who completed work in a building on any given day.

> "We questioned them, 'Who was in Building 3 on AWS yesterday?' and the manager had no idea. I asked, 'pre AWS, who had Building 3?,' he said 'Jeff and Tom.' [The supervisor] didn't know who was there yesterday, because it was task-based."
>
> **— Subject-Matter Expert**

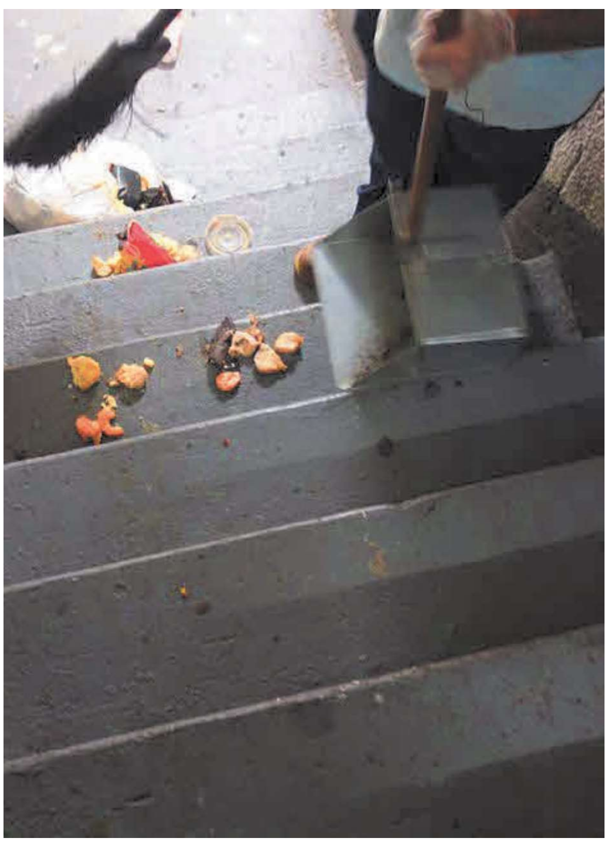


▸ Caretakers feel less accountable for maintaining building cleanliness, as they work in different buildings everyday.

“[Supervisors] don’t feel like they have to come out of their office like they used to, walk around to the grounds and check-in, see what’s going on. Or come and say hello to tenants, ask they how things are going in their building. They don’t do that anymore, they just sit in their cubby holes.”

— **Resident**

Both site-based staff and resident respondents also raised concerns about the lack of accountability of residents who actively diminish the efforts of caretakers. Staff also fear getting reprimanded for problems caused by tenants. In one representative example from research, on a security sweep-down of a high-rise, a caretaker noticed a urine spot; when they returned to spot-mop, there was trash in the stairwell that hadn’t been there during our first walkdown. Conversely, however, many residents proactively improve the appearance of their developments, without encouragement or reward.



“After sweep-downs, they could make a mess and we get blamed.”

— **Caretaker**

“I have a woman on the 13th floor who sweeps the hallway. They take pride in where they live – that really helps me a lot.”

— **Caretaker**

“[Caretakers] try to make the place beautiful for us, but it’s some of the tenants who keep it awful and dirty.”

— **Resident**

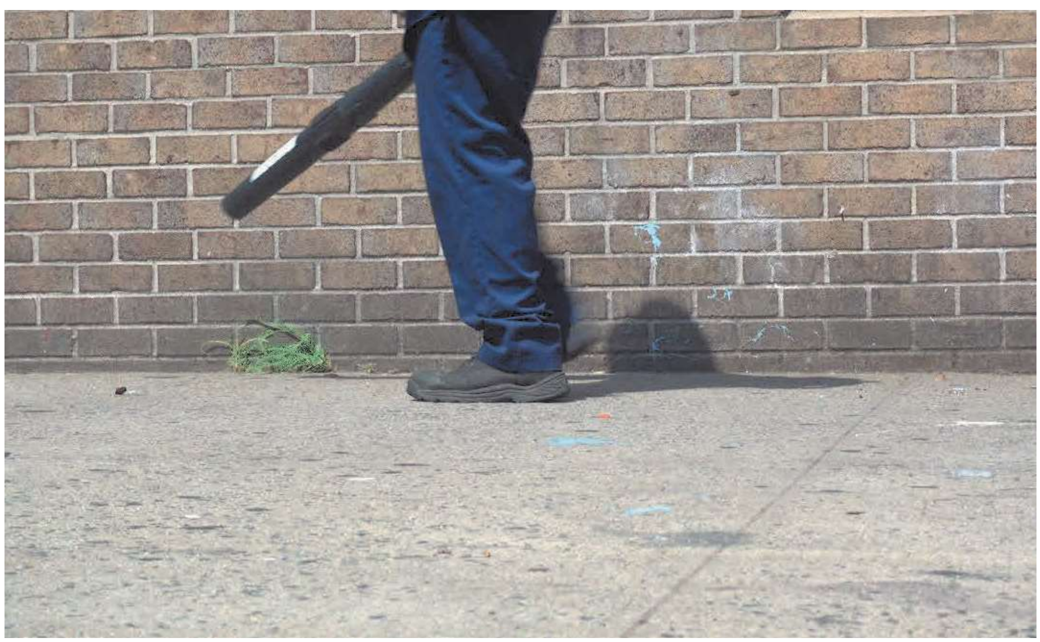
◀ A subset of residents who disrespect communal spaces add to caretakers’ workloads.

Ultimately, there is no universal standard of service and expectations for all NYCHA developments. The lack of a common standard — for resident behavior, caretaker service, proper janitorial inspections, etc. — results in developments with varying levels of service and cleanliness across locations. Caretakers told us they knew which of their coworkers were “bare-minimum” workers and which ones did good work. They knew this because they often “work behind” other coworkers (meaning the building they clean today is one that the “bare-minimum” worker serviced yesterday). One caretaker J told us, “Nothing like working behind yourself,” meaning they knew the workload wouldn’t be too heavy that day, as they’d done a proper cleaning the day prior.

Training

Implementation of AWS has negatively affected on-the-job training for new hires. Reduced staffing numbers per shift have led to new staff having less exposure to peer-to-peer training and best-practice sharing. During observational research, for example, a caretaker indicated that they didn’t know how to strip floors and, while the caretaker did not want to have to rely on another staffer to help care for the building properly, another caretaker was sent to complete the task. In another instance, a caretaker expressed that not being trained to strip floors limited their ability to fully service their buildings.

Many seasonal workers do not receive structured training, leading them to have difficulties conducting primary tasks such as leaf blowing.



We heard that NYCHA provides adequate formal training programs for permanent staff. NYCHA's Professional Development and Training (PTD) division delivers a wide range of training programs to improve employees' job skills and to prepare them for new and higher job titles. The Resident Economic Empowerment & Sustainability (REES) program appears to be highly effective at providing resident caretakers with equal opportunity, timekeeping, and satisfaction with their job. However, because sites are short-staffed under AWS, some caretakers noted that they were being asked to execute certain tasks that they were not trained on — for example, caretaker Js shared that they are asked to do move-outs and bulk removal (e.g., moving a refrigerator), despite that being a caretaker X task.

Lack of structured training is an issue with seasonal workers, who primarily conducted caretaker G and J activities during our observation period. Seasonal workers do not go through the standard training program, leading to inefficiencies and safety concerns. For example, we observed a new, seasonal worker struggling with the leaf blower. They did not receive the eight weeks of training that other caretakers receive; they shadowed another caretaker completing the task once and were then sent out alone to perform it.

While staff expressed a desire for more task-based training, supervisors indicated a need for additional 'soft skills' training. Supervisors often define the work culture and communication styles at their development, and some expressed a specific desire to receive more inter/intra-personal training.

> "The Supervisor of Caretakers training should also include confrontation management. 'You have to be patient as supervisor. Angry doesn't respond to angry. You have to learn how to defuse it. I have to learn how to take a quick approach on how to defuse a situation without getting involved...I have to learn how to come to you, get my point across firmly, but not too aggressively, and show some authority. You need to put yourself in check before you handle the individual.'"
>
> **— Supervisor**

Productivity

Productivity is affected by multiple issues independent of AWS, including missing, exhausted, or inappropriate equipment; unhygienic behaviors by a small number of residents or visitors; and factors such as building age, development layout, maintenance, and temperature. However, the implementation of AWS introduced a set of new productivity challenges, specifically related to insufficient staffing during extended morning and evening hours and fluctuating staffing over the course of the week.

While the extended morning and evening work hours were intended for cleaning inside buildings, our study sites had not adopted the hours for that purpose due to the confluence of low staffing and safety concerns. AWS work rules require that indoor work during extended hours be conducted by caretakers working in pairs. However, developments typically do not have sufficient staff for paired teams during extended hours. Therefore, developments deploy caretakers to work in/near the management office or outside during extended hours. Under these constraints, morning hours are sometimes used constructively for clearing drop sites, but evening hours are often used for busy work.

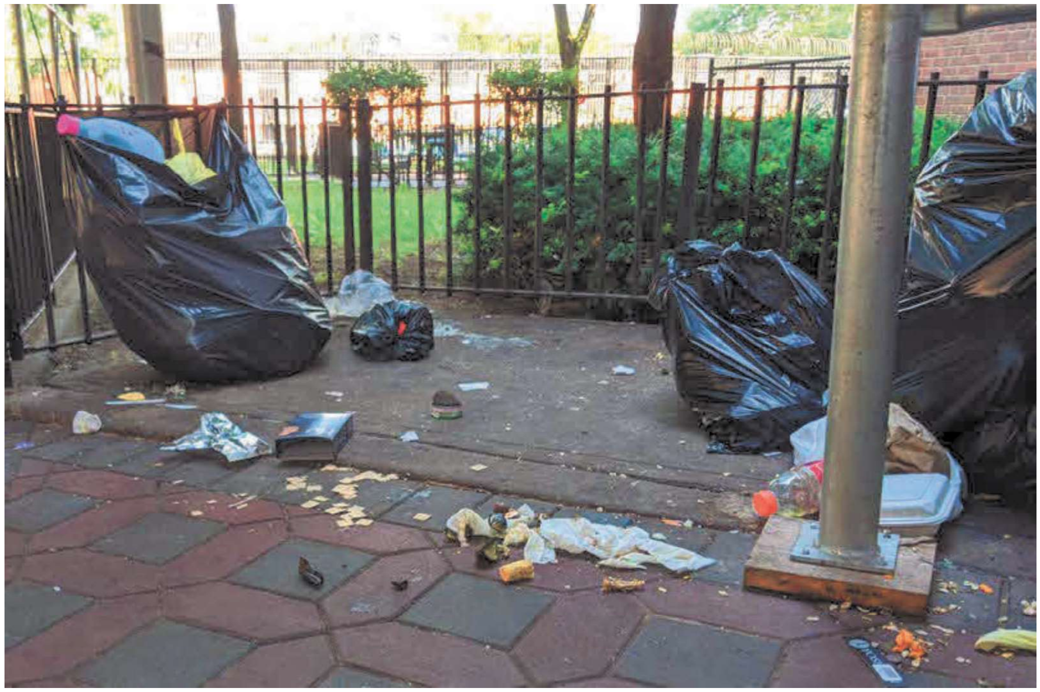
> "[When there are only two caretakers from 4:30 to 7], there's not much they can do. Can't split them up, they can't go outside...[so they just clean the basement]. Five days a week we have someone cleaning the basement and management areas."
>
> — **Supervisor**

▶

When developments do not have enough staff for paired teams during extended hours, many caretakers use the morning and evening hours for busy work.

▶

Lower staffing levels throughout the week lead to tasks taking longer to complete.



> "Once [the caretakers on the traditional schedule] leave, you don't see no caretakers. You might see one truck driver… you don't see nobody after that. Like they just disappear."
>
> **— Resident**

We observed major differences in how the morning hours are used by supervisors, with significant impacts on productivity, time management, and service outcomes at developments. Highly effective supervisors are able to quickly adapt and triage situations, such as prioritizing tasks on days when there are last-minute staff shortages. In other instances, we observed less productive uses of time, as when morning musters are delayed, run long, or are slow to disperse.

> "When the SOG is here, I go straight to drop sites in the morning with the other seasonal workers [and get to work], but when the SOC is here, I wait [around] for muster."
>
> **— Caretaker**

Variable staffing over the course of the week also affects productivity. Due to reduced staffing levels on days other than Mondays, many caretakers reported feeling exhausted by the end of week, leading to work taking longer and not meeting industry standards by week's end.

> “I can’t get that much more work out of me. I don’t care if you give me 10 hours on Friday to do more work, I don’t want to do more work. I want equal work on Monday and Friday.”
>
> — **Caretaker**

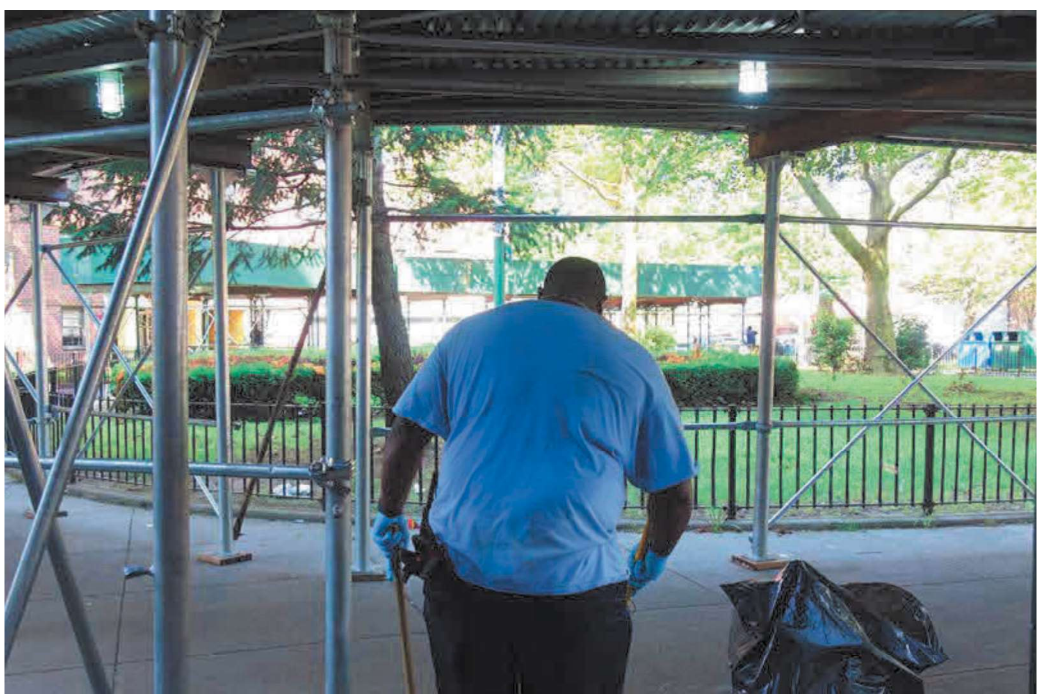
It’s worth noting that the citywide AWS survey conducted by NYCHA corroborates qualitative findings regarding staffing challenges: The top survey answer among employees for the question, “How has AWS not improved living/working conditions,” was “not enough staff.” This response was provided by 93% of employee respondents.

Morale

Site-based staff expressed that AWS has negatively impacted morale. Due to lower staffing levels on the majority of days, caretakers must prioritize speed over cleanliness, which distresses caretakers who take pride in their work. Several caretakers expressed that if they had the opportunity, they would like to address observed needs, such as by mopping every day, painting over long-standing graffiti, or using a leaf blower to police the building entrance. However, the current schedule does not support caretakers to go above and beyond with their tasks, causing widespread frustration.

▸

Caretakers report that AWS has negatively impacted both their work and personal lives.



AWS was also reported to have diminished camaraderie and trust among staff. Caretakers used to work together on the traditional schedule, but now they perceive that they work opposite one another; this has led to some staff not taking responsibility for their work and leaving the next day's caretaker with extra work. A caretaker described the shifts as being "cliquey," with different shifts sometimes participating in petty behavior to purposely annoy their colleagues.

Working on an AWS schedule has increased stress in caretakers' personal lives. Some caretakers expressed frustration with the long hours and early starts, as this has deeply affected their family routines. These qualitative findings were corroborated by the NYCHA AWS survey, in which 45% of employee respondents named transportation issues related to extended hours as a major drawback to AWS. In one extreme example, a staff member shared that due to the AWS schedule, they have had their child live with their sister, and they only see their child two days a week. Respondents to the NYCHA AWS survey also mentioned difficulty securing childcare aligned with AWS hours as a way in which AWS has not improved their living/working conditions.

Morale has also been undermined by the roll-out of AWS. NYCHA made concerted efforts to allow staff to choose their preferred schedule, but many caretakers placed on AWS are frustrated that their request to retain traditional hours were not successful. Many caretakers expressed that they felt duped by NYCHA policy-makers and their union representatives around the implementation of AWS. This has sowed mistrust among the site-based staff of the intentions of their superiors.

> "They were dangling the $1,500 in our face… if you mention $1,500, people are thinking about a temporary decision, not a long-term decision. If I have an eviction notice and I know this will help me keep my head above water, yes, I'll sign a paper."
>
> **— Caretaker**

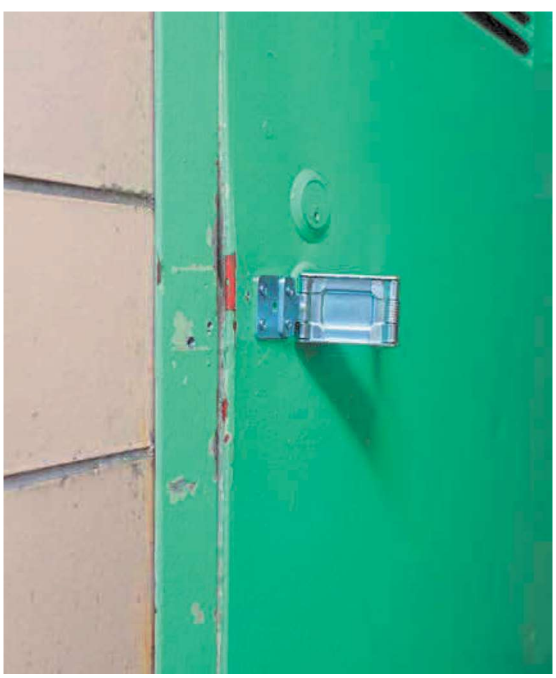
Safety

Caretakers expressed particular reservations about how AWS's extended hours affect their safety — both while working and traveling to work. The extended hours increase the likelihood of caretakers experiencing dangerous encounters while it is dark. Staff repeatedly spoke about gang activity and the threat of violence from residents or non-residents sleeping in buildings outside of daylight hours. Early shifts and longer hours also lead to caretaker fatigue. This may be especially dangerous for caretaker Xs, who operate heavy machinery. These qualitative findings were corroborated by the NYCHA AWS survey, in which nearly 50% of employee respondents named safety concerns as a key factor in how AWS has not improved working/living conditions.

> "NYCHA is big on safety first. I don't believe that. Because if it was, you wouldn't be mandating staff to get here at 6. You wouldn't be mandating them to stay until 7."
>
> — **Caretaker**

> "I'm tired. What if, one day, I close my eyes behind the driving wheel and hit someone?"
>
> — **Caretaker**

AWS also ended building-based scheduling. As an unintended consequence, property managers have reduced insight into safety issues with buildings, diminishing how quickly problems can be addressed.



> "[In] one building, there is a permanent caretaker, they know what's going on. If there's criminal activity, or people are moving out or in, that information comes to us quickly… I can call the police, or I have something I can do. It's not happening now… we lost our eyes and ears."
>
> — **Supervisor**

◀ Caretakers expressed concerns about the lack of safety, particularly during the morning and evening extensions.

Other safety concerns, not directly attributable AWS, expressed to our research team included the following: Caretakers are expected to deal with incidents of flooding and human waste alone and often without proper personal protective equipment (PPE). Maintenance staff are also stretched and cannot respond to caretaker requests such as broken lights, leaks, and broken doors or windows promptly, causing on-the-job risks for caretakers as well as residents. Resident behavior such as throwing trash out of the window and jamming locks causes safety risks for caretakers and other residents; broken or jammed door locks allow for nonresidents to enter buildings and sometimes sleep in the stairwells, making residents feel unsafe.

Relationships

AWS has spread janitorial teams across multiple schedules, negatively affecting relationships on-site and with NYCHA stakeholders more broadly. Caretakers are the face of NYCHA for many residents. However, by rotating caretakers around developments, residents no longer know a specific individual with whom they can raise concerns. Residents' lack of clarity about who is responsible for their communal areas appears to be deepening any frustrations with NYCHA staff.

> "Before they changed the schedule, you knew your caretaker, you saw that person every day, you knew their name. You knew they'd be there in the morning to clean up. You don't see that anymore. You see workers out there, and they're all congregating in little spots. They're standing around talking, they're on their phones, they don't come in the buildings to clean."
>
> **— Resident**

▶

As caretakers rotate between buildings, residents find it more difficult to foster relationships and raise concerns with caretakers.

AWS has also caused problematic dynamics between colleagues on alternative shifts. Many caretakers believe that coworkers are not pulling their weight — they often arrive to find the janitorial issues from the previous day left unresolved, creating frustration and resentment. In one startling example of this dynamic, we shadowed a caretaker as they performed a security check and sweep-down of a high rise. Even though they'd been assigned to the building the day prior, they told us this was "someone else's building," and they didn't want to take responsibility for issues that someone else neglected to address. For example, there was "old" vomit and urine in the hallway. Instead of cleaning it up, they took a photo to share with their supervisor if asked about it, hoping that the other caretaker would be encouraged to clean it up.

Supervisor of Caretakers and Supervisor of Grounds' relationships are similarly strained, because they must now rely on the other one to oversee each others' work when they are not there. There is frustration when a supervisor arrives to work and finds site issues unresolved by their colleague and what appears like work being pushed to their team.

Findings from AWS Survey

Findings from AWS Survey

PPL gratefully acknowledges that the summary findings below were prepared by project partners in NYCHA's Department of Strategic Planning.

Methodology & Activities

In order to evaluate city-wide resident and employee sentiment regarding AWS and its intended benefits, NYCHA's Performance Tracking and Analytics Department, Department of Strategic Planning, and Public Policy Lab created and distributed a survey to 89,893 NYCHA residents and 4,430 employees. Recipients received the survey twice – once on August 28, 2020, when the survey opened, and again on August 31. The survey was closed to additional responses on September 2, 2020. The survey was sent to all residents with a valid email address in the Everbridge platform, as well as to all employees with a valid email address holding one of the following titles: caretaker, chief caretaker, supervisor of caretakers, supervisor of groundskeepers, housing manager, assistant housing manager, administrative housing manager, residential building superintendent, assistant residential building superintendent, and administrative residential building superintendent.

Of the residents surveyed, 2,855 responded, for a response rate of 3.2%. Respondents represent 268 developments across all five boroughs and have lived at their NYCHA developments for lengths of time ranging from less than one year to over 30 years.

Of employees surveyed, 924 responded, for a response rate of 20.9%. These respondents work at 189 NYCHA developments and offices across the five boroughs and have held their positions for lengths of time ranging from less than one year to six or more years. Employee respondents ranged in title and level of hierarchy from regional asset managers and property managers to caretakers; the latter group accounted for 56% of employees responding to the survey.

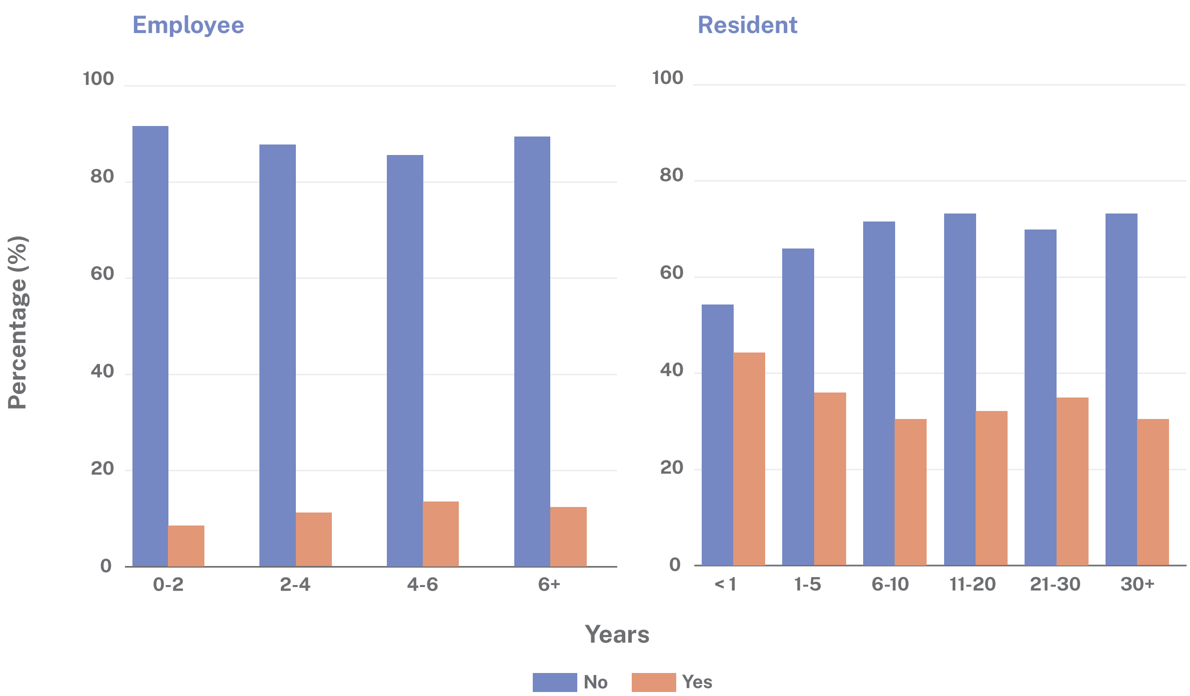
Key Findings

Overall Perception of AWS

Roughly 90% of employees – and 68% of residents – who responded to the relevant survey question stated that AWS had not benefited their developments in the year since its implementation. This result is largely consistent across boroughs: the proportion of employees who felt AWS had benefited their development ranged from 5.6% (in the Bronx) to 15.5% (in Queens). Among residents responding to the relevant survey question, the proportion who felt that AWS had benefited their development ranged from 30.1% in the Bronx to 41.3% in Staten Island. It is not clear what may account for these small — but real — disparities.

Answers to this question are also largely consistent across lengths of employment and residence. When employees were divided by the number of years for which they have worked at their current development, respondents in each bucket replied that AWS had not benefited their developments at rates ranging from 85.5% (those having worked four to six years) to 91.8% (those having worked zero to two years).

HAS AWS BENEFITED YOUR DEVELOPMENT?



Similarly, when residents were grouped by their length of residence, those in each segment responded that AWS had not benefited their development at rates ranging from 54.5% (those having lived at their development for less than one year) to 70.4% (those having lived at their development for between 11 and 20 years). Notably, when those having lived at a development for less than one year (i.e., those who did not experience the transition to AWS firsthand) are excluded, the floor on disapproval rises to 63.9% (among those having lived at their development for 1 to 5 years).

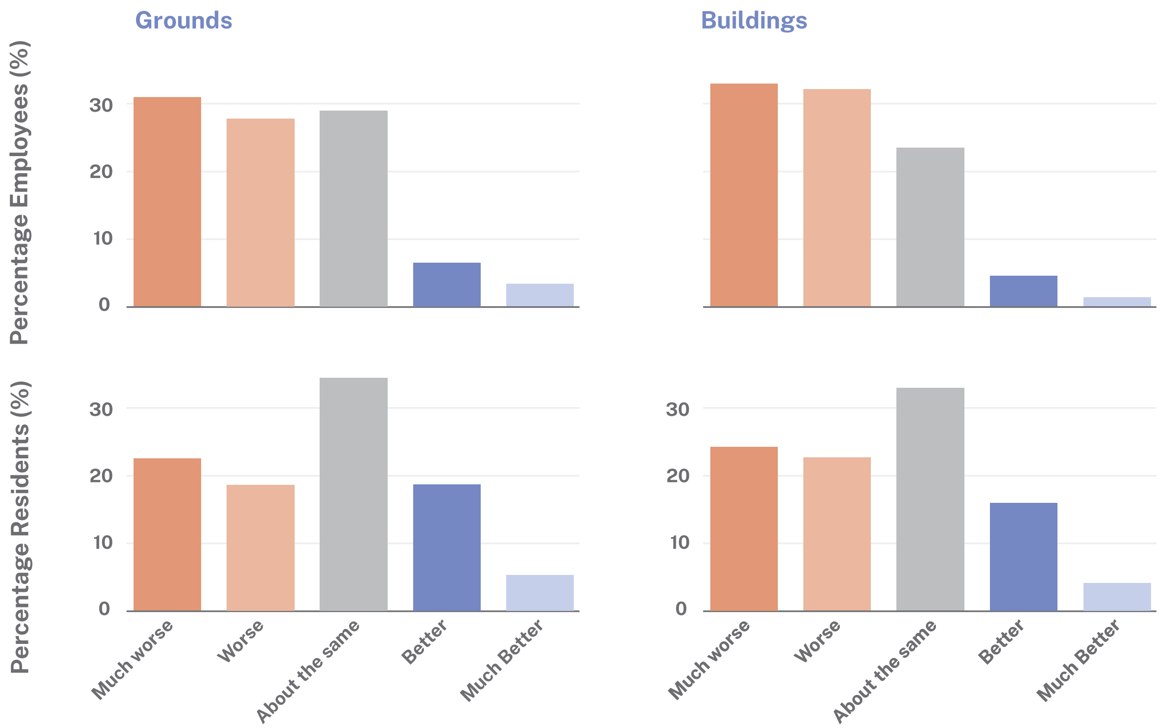
Nor are results markedly different among employees in different titles, who may have experienced different impacts on their own working lives with the introduction of AWS. Management not subject to AWS (namely, property managers and assistant property managers) were still highly likely to report an unfavorable view of AWS: 55 of the 58 respondents in that title who answered the relevant question said that their developments had not benefited.

The response was scarcely more positive among caretakers: 88.6% of respondents in the caretaker X and caretaker J titles said that AWS had not benefited their developments. Workers whose titles specifically relate to groundskeeping had a slightly warmer view of AWS. Those in the caretaker G role appeared to be the most welcoming of the program, with 21.4% saying that AWS had benefited their development (and 78.6% saying it had not). Among supervisors of grounds, 16.3% said AWS had benefited their development (while 83.7% said it had not). This may be due in part to temporary measures taken in response to the novel coronavirus pandemic: non-emergency interior repair work has been halted, and much interior maintenance has been contracted out, resulting in more staff hours than usual spent on groundskeeping. However, it is important to note that the number of dedicated groundskeeping staff responding to the survey was relatively small (n = 29 for caretaker Gs and n = 49 for supervisors of grounds), making these possibilities difficult to certify.

AWS Effect on Cleanliness

Perceptions of how cleanliness of grounds and buildings has changed following AWS implementation are similarly discouraging. When asked to rate that change on a scale of “much worse,” “worse,” “about the same,” “better,” or “much better,” responses of “worse” or “much worse” outnumbered those of “better” or “much better” among both employees and residents, whether the question concerned development grounds or building interiors.

CHANGE IN CLEANLINESS SINCE AWS IMPLEMENTATION



Employees took a particularly dim view of the program: a plurality of those who responded to the questions (31.2%) said that grounds had become "much worse;" a similar number said that they had become "worse" or were "about the same." Similarly, a plurality of respondents to these questions (36.6%) replied that in-building cleanliness had grown "worse," while 35.9% replied that buildings had become "much worse." Fewer residents gave strong responses: a plurality responded that cleanliness was "about the same" as before AWS, both on development grounds (35.4%) and in buildings (32.6%).

Awareness of AWS

Among residents, confusion around the nature of AWS and the timing of its implementation casts some uncertainty on the program's reception. Only 38.8% of residents responding claimed to be aware of AWS prior to taking the survey, and several speculated about the program's potential impact in free responses, suggesting that they were under the impression that AWS had not yet been implemented.

Evaluation & Recommendations

Evaluation & Recommendations

The AWS program has two stated goals: improve conditions for residents and reduce overtime costs. Neither of these goals have been met under the current implementation of AWS. However, the need for an 'alternative' caretaking model remains: the traditional 8-to-4 weekday schedule was both cost intensive and insufficient to maintain clean living environments for NYCHA residents.

Based on our evaluation of the research findings presented above, we believe there are multiple opportunities to adjust caretaker work hours and refine caretaker staffing models, to allow for high-quality caretaking for residents (including during high traffic times), reduced unplanned overtime costs, and also improve life and work conditions for caretaking staff. The sections below present six specific recommendations for NYCHA actions to improve the AWS program. These recommendations separately address work schedules, staffing levels, and other factors for AWS success — but optimally all six recommendations should be implemented together for greatest positive impact.

Finally, please note that these recommendations, to be successful, will require the participation of caretakers and their union, as well as of NYCHA residents. We're hopeful, however, that the recommendations represent feasible opportunities to respond to the expressed needs of all NYCHA stakeholders.

Extended Work Hours

1. Generate Localized Schedules
2. Schedule Caretakers by Role

Staffing Levels

3. Recruit Additional Staff
4. Determine Staffing Levels per Site Using Site Factors

Future AWS Success

5. Improve Trash Handling
6. Standardize and Share Caretaking Best Practices

Extended Work Hours Evaluation

AWS extended the hours in which staff provide caretaking in three ways: by standardizing weekend shifts and by adding work periods in the early morning and early evening hours. These extended work hours had a number of unintended consequences, however.

AWS increased coverage hours by 214% (from 42.5 per week on the traditional schedule to 91 on the current AWS schedule), and the redistribution of caretakers from traditional weekday shifts to longer-duration, seven-day shifts reduced daily headcount from Tuesday through Friday. While the AWS program resulted in the hiring of 200+ additional caretakers, attrition outpaced recruitment and the **new AWS caretaker positions, once spread across 136 developments, were not sufficient to mitigate the effect of the additional AWS working hours.**

Extending work hours to include evenings and weekends was intended to reduce overtime costs during these periods. However, data analysis found that **overtime remains as prevalent as ever under AWS and has seen a major increase for supervisors.** The 6:00 a.m. start presents childcare, transit, safety, and fatigue issues for many caretakers. This and the evening extension were intended for inside-building cleaning, but **the extended hours have not been adopted for indoor work due to the confluence of low staffing and safety concerns,** resulting in an ineffective use of resourcing.

Extended work hours have also had a number of sociocultural downsides, including diminished relationships, morale, and accountability. NYCHA made concerted efforts to allow staff to choose their preferred schedule; however, many caretakers placed on AWS are frustrated that their request to retain traditional hours were not successful. Splitting caretakers across multiple task-based schedules has weakened the previously deep connections between caretaker Js and their buildings — and has introduced new tensions among caretaking staff. This has led to a lack of ownership and accountability and resulted in reduced service outcomes for residents. Additionally, residents' daily expectations do not change despite staffing fluctuations, resulting in caretakers reporting high mental and physical stress.

To address these issues, we propose two primary alterations in AWS work schedules. First, we recommend localizing some scheduling decisions, allowing for more site-suitable schedules while still maintaining an appropriate level of centralized oversight. Second, we recommend moving to a hybrid role-based assignment model, where caretaker Js are primarily assigned to building-based schedules, while other caretaker types are primarily on task-based schedules. Please see below for further details of these recommendations.

Recommendation 1

Generate Localized Schedules

In interviews with SMEs and site-based staff, it was repeatedly noted that a primary failing of the current AWS schedule was the attempt to create a ‘one-size-fits-all’ scheduling model for NYCHA’s 136 consolidations. We recommend that site-based staff and knowledgeable experts in HR/Operations collaborate to develop future staff schedules — and that those collaboratively developed schedules receive regular review and update using a defined framework for schedule suitability analysis.

Collaborative Schedule Development

While overall staff resourcing will need to be determined centrally, site property managers are aware of the unique challenges of their developments and should be able to influence their human resourcing. Our proposal is that NYCHA decentralize the following locally specific scheduling decisions:

→ Allocation of staff between building-based and task-based schedules

→ Distribution of specific caretaker types, within budget limitations

→ Distribution of staff across days as necessitated by development-specific factors, within set parameters outlined in the baseline staffing model

→ Caretaker coverage hours, within set parameters as outlined in the baseline staffing model

Those decentralized decisions should be supported by clear guidelines provided by a centralized team within NYCHA. To this end, we suggest that NYCHA create a new cross-functional scheduling team that reports to both the HR and Operations departments. This new scheduling-advisory team should combine the contractual savvy of HR with the tactical expertise of Operations, allowing team members to set staffing policies and procedures with a robust awareness of on-the-ground implementation needs. We propose that the following scheduling components be centrally determined:

→ Schedule requirements and associated performance ranges

→ Baseline staffing model

→ Baseline janitorial schedule

→ Caretaker pay by category, time, and hours

→ Staffing budgeting allocation

The role of the scheduling-advisory team is two-fold: They should provide guidance to property managers as they adapt the centrally determined baseline staffing schedule to meet their development conditions and service-outcome expectations — and they should then monitor the effectiveness of development schedules against the schedule requirements and associated performance ranges. Members of the schedule-advisory team may be prompted to revisit schedules at consolidations that see measurable performance drops. Similarly, property managers may decide to revisit their schedule if they are witnessing challenges with their existing model.

Schedule Suitability Analysis

To support data-driven collaboration between site leadership and the scheduling-advisory team, we propose use of a defined schedule analysis framework. The ten-point schedule suitability analysis (SSA) proposed below can be used to assess the need to modify schedules, to provide guidance during the crafting of schedule modifications, and to determine the viability of any proposed modifications. As such, all ten factors should be used when analyzing live schedules, while eight of the ten factors will help guide and assess proposed schedule modifications.

While property managers and schedule-advisors will be the primary users of the SSA, it can also be used as a framework for engaging the relevant, affected development staff. We recommend that site leadership regularly engage with supervisors and caretakers around the questions below. Ideally, the schedule-advisory team will consider site-based staff's responses to the below audit questions before approving schedule modifications.

SCHEDULE SUITABILITY ANALYSIS WITH ASSOCIATED PERFORMANCE RANGES

Measured Performance Audit

1. Does the schedule lead to positive service outcomes for residents?

   Measure by regular resident satisfaction surveys and the to-be-launched site pest and waste score.

2. Does the schedule reduce staffing costs/ overtime?

   Measure by analyzing overtime hours and cost.

Forecasted Consequence Audit

3. Does the schedule ensure effective supervision?

   Assess by considering anticipated supervisor in-person time with caretakers and regular scheduling with their caretakers (i.e. the ratio of supervisors to caretakers on a given shift, as well as the alignment of scheduling supervisors and the caretakers that they are responsible for).

4. Does the schedule promote accountability for building-based caretakers?

   Assess by the regularity by which building-based caretakers are scheduled to not be in their assigned buildings.

5. Does the schedule provide coverage at high traffic times, such as weekends?

   Assess by the number of caretakers scheduled at high traffic times.

6. Does the schedule maximize caretaker productivity?

   Assess by considering factors that may affect productivity, such as a mismatch of caretaker types on a given shift, in-building work expected during hours when staff would be required to travel in pairs, etc.

7. Does schedule address site-specific needs?

   Assess by considering the specific needs of the site that requires it to deviate away from the baseline schedule and determining whether those needs are being met by the proposed deviation.

8. Does the schedule protect staff quality of life and wellbeing?

   Assess by considering caretaker feedback on the proposed schedule.

9. Does the schedule consider site-based staff's safety concerns?

   Assess by considering caretaker feedback on the proposed schedule.

10. Does the schedule respond to contractual requirements?

    Asses by verifying that all elements of contractual requirements are met.

Recommendation 2

Schedule Caretakers by Role

We suggest that developments divide caretaking teams into two groups: building-based caretakers who will be accountable for one larger building or a series of low-rise buildings, and task-based caretakers who will be mobile around the site. While we propose day-of-week recommendations below, we believe that work hours for these shifts should be determined on a per-site basis, as described in the recommendation above.

Building-Based Roles

Building-based caretakers should work in the same building each day. Ideally, these caretakers work five consecutive days, Monday through Friday, and handle a series of location-specific tasks. This schedule will encourage greater caretaker accountability. These building-based caretakers will be principally staffed by caretaker Js, as they will primarily be completing priority indoor tasks. Developments with lower staffing numbers may require caretakers on the traditional Monday to Friday schedule to work occasional weekend shifts. Ideally, these staff members would work either Saturday or Sunday, but not the full weekend, to limit the number of days off during the week to ensure continuous building accountability and ownership. These building-based caretakers will be supporting the task-based caretaker weekend team.

Task-Based Roles

Task-based caretakers should move around, conducting groundskeeping, cleaning drop sites, doing move-outs, and supporting building-based caretakers where needed. Staff on these schedules will be divided into two groups that will work on opposite days every other week — including weekends to ensure coverage across the week. The caretakers will work six days one week, and four days the following week to ensure that they only work every second weekend and never work an excessive number of days in a row. This schedule will principally consist of caretaker Gs and caretaker Xs (with some caretaker Js) as the primary tasks are outdoor and irregular. Depending on the desires and needs of site-based leadership, these caretakers may do additional tasks, such as compactors, decking, cleaning walls, etc. On the weekends they will conduct some necessary in-building tasks (such as walkdowns and compactor servicing).

Sites will also need to determine and ensure appropriate distribution of caretaker types across schedules.

Baseline Janitorial Schedule

Building-based caretakers at larger developments with higher staffing numbers will retain traditional hours:

SET SCHEDULE FOR BUILDING-BASED CARETAKERS | Baseline Schedule

	M	T	W	T	F	S	S
Week 1	8-4:30	8-4:30	8-4:30	8-4:30	8-4:30		
Week 2	8-4:30	8-4:30	8-4:30	8-4:30	8-4:30		
Week 3	8-4:30	8-4:30	8-4:30	8-4:30	8-4:30		
Week 4	8-4:30	8-4:30	8-4:30	8-4:30	8-4:30		

**As much as possible, building-based caretakers work full days in their designated buildings to ensure consistency for residents and improve accountability for caretakers.*

ALTERNATIVE WORK SCHEDULE 1 FOR TASK-BASED CARETAKERS | Baseline Schedule

	M	T	W	T	F	S	S
Week 1	7-3:30	7-3:30	7-3:30		7-3:30	7-3:30	7-3:30
Week 2		7-3:30	7-3:30	7-3:30	7-3:30		
Week 3	7-3:30	7-3:30	7-3:30		7-3:30	7-3:30	7-3:30
Week 4		7-3:30	7-3:30	7-3:30	7-3:30		

ALTERNATIVE WORK SCHEDULE 2 FOR TASK-BASED CARETAKERS | Baseline Schedule

	M	T	W	T	F	S	S
Week 1		7-3:30	7-3:30	7-3:30	7-3:30		
Week 2	7-3:30	7-3:30	7-3:30		7-3:30	7-3:30	7-3:30
Week 3		7-3:30	7-3:30	7-3:30	7-3:30		
Week 4	7-3:30	7-3:30	7-3:30		7-3:30	7-3:30	7-3:30

Adaptation of Baseline Schedules

Where the above baseline schedule is not practical due to site-based need, for example at smaller developments with less staffing flexibility, the schedule should be modified to accommodate these factors.

To ensure adequate weekend coverage, building-based caretakers (who will typically work traditional hours Monday to Friday) will need to be pulled in to support task-based crews at weekends. Ideally, this will be done in a manner that minimizes disruption to their typical schedule.

See below for how that monthly schedule could look for an individual caretaker.

SET SCHEDULE FOR BUILDING-BASED CARETAKERS | Sample modification for smaller developments

	M	T	W	T	F	S	S
Week 1	8-4:30	8-4:30	8-4:30		8-4:30	7-3:30	
Week 2	8-4:30	8-4:30	8-4:30	8-4:30	8-4:30		
Week 3	8-4:30	8-4:30	8-4:30	8-4:30	8-4:30		7-3:30
Week 4	8-4:30		8-4:30	8-4:30	8-4:30		

**On weekends these caretakers will join the task-based crews and will work across the development*

At developments with lower supervisor numbers, developments should be permitted to align their task-based caretaker hours with the building-based hours to reduce supervision needs if it is deemed necessary.

Staffing Levels Evaluation

By extending the number of hours in which caretaking services are provided, AWS also altered staffing ratios, leading to a reduction in numbers of caretakers present in any given hour during much of the week. Aside from Mondays, **low staffing levels throughout the week mean that necessary, but non-urgent, tasks are less likely to be done**, compared with pre-AWS service levels. All three study sites reported that it was challenging to complete urgent daily tasks each day due to staffing shortfalls. As previously noted, staff shortages are not restricted to caretakers; **there are also not enough supervisors under the AWS model to effectively assess the quality of work on a daily basis.**

During our observation period, we heard of staff extended vacancy periods leading to unplanned staff shortages, though it should be reiterated that our research took place during a public-health emergency caused by the novel coronavirus. COVID-19 impacts aside, we also observed that indirect productivity issues — including **missing, worn-out, or inappropriate equipment, as well as deferred building maintenance — add additional pressure** to on-site staffing levels.

To address both the AWS-related staffing issues and other factors that create staffing challenges, we propose two significant staffing alterations. First, we recommend a meaningful increase in numbers of staff across several roles. Second, to answer the fundamental question of 'how many caretakers does a development need?', we propose that NYCHA deemphasize staffing models based on time and motion studies (for reasons described at length above) in lieu of a more holistic model based on a set of development characteristics. Please see below for further details of these recommendations.

Recommendation 3

Recruit Additional Staff

We recommend that NYCHA recruit significant additional numbers of caretakers J, G, and X. Based on staffing shortages reported by site-based staff, estimates of staffing needs described by site-based staff and subject matter experts, and variances between projected and actual staffing numbers, we observed the need for a 40% to 55% increase in caretaker staffing from levels observed at the three research sites in summer 2020. Note that we are also recommending a change in the number of coverage hours in order to address issues of staff being spread too thin (see Extended Work Hours section). Our proposed hours represent a 30% reduction in the number of coverage hours. If implemented as recommended this would only require a staffing increase of 10-25%.

We also recommend recruiting a second equipment caretaker I for larger-size, spread-out developments, where caretaker J, G, and X time lost to equipment issues can be significant. This new staffer can help an existing caretaker I address major equipment-related inefficiencies for the rest of the caretaking team. The equipment caretakers can travel to each building within the development to ensure that equipment has a place, is stored in its place, is fully stocked and is in good working order. They can assess, order, and restock misplaced, worn-out, and inappropriate equipment — generating significant efficiencies for caretakers who currently lose time looking for misplaced equipment, traveling to restock missing equipment, or working with worn-out equipment.

We recommend that NYCHA recruit additional supervisors to meaningfully supervise and train caretakers, ensure coverage for absences, attend best-practice trainings, and share knowledge across developments, while also keeping up with necessary administrative needs. Ideally, there should be one supervisor on each schedule who will work with their team daily and will ensure enough coverage to conduct meaningful inspection and supervision of janitorial duties. Based on the substantial increase in required supervisor overtime as uncovered in the quantitative data analysis, the need for additional caretaker supervision observed through qualitative research, and the application of the proposed AWS schedule, we recommend an increase in current supervisory staffing levels to three supervisors of caretakers (one per schedule) and two supervisors of grounds (one per task-based schedule) per development. In general, this represents an increase of between 60% and 150%, or 2 to 3 roles per site.

We suggest that NYCHA also recruit additional maintenance staff and skilled tradespeople, as unresolved building repairs negatively impact caretakers' ability to quickly and completely do their job. Recruiting additional maintenance staff and tradespeople may also decelerate building deterioration and reduce contractor costs. Ideally, these new staff should be available outside of 8 a.m. to 4:30 p.m. business hours, to better match residents' schedules. Assessing needed numbers of maintenance stuff and skilled tradespeople was outside the scope of this study, unfortunately, but we can recommend that NYCHA engage with property managers to determine those figures.

For each category above, once new staff are recruited, we further recommend that HR proactively predict turnover and recruit to ensure that developments are constantly at, or near, 100% of committed staffing levels. According to NYCHA HR data, there was a 44% attrition rate among NYCHA caretakers in 2019. We recommend using such recent historical attrition rates to forecast future staffing needs.

Recommendation 4

Determine Staffing Levels per Site Using Site Factors

Past staffing levels for task-based schedules have used time and motion study data to identify needed numbers of staff. As discussed above, we are skeptical about the value of such studies given site-based variability. We recommend that NYCHA rather determine target numbers of staff per site using a holistic formula based on a set of development characteristics or site factors.

The staffing formula should consider the primary tasks of caretakers (by type), as well as the infrastructure and performance factors that impact per-development staffing needs. Through qualitative research we found that there are many factors that determine the staffing needs of developments. For example, sites with elderly populations generally require fewer caretakers than developments with younger resident populations due to differing behavior patterns in communal spaces. Developments that are more spread out have a greater need for additional staff, particularly caretaker Xs, because of the additional challenge of moving around the development.

Basing staffing on single data points (number of residents, number of units, etc.) has historically proven to be an imprecise strategy in distributing staff across the city. We're therefore recommending that a staffing formula be developed that includes multiple site factors. The proposed set of factors listed below were identified through co-creation with caretakers, supervisors, and subject-matter experts to determine the most relevant factors for staffing.

PROPOSED SITE FACTORS FOR STAFFING FORMULA

Baseline metrics
Caretaker J: Number of buildings by type (low rise, mid-rise, high rise)
Caretaker G: Area (square feet) of development grounds
Caretaker X: Average number of move-outs per month

Infrastructural adjustments to the baseline
Number of residents
Average distance from maintenance site to buildings

Performance adjustments to the baseline
Average monthly number of overtime requests (past 12 months)
Caretaker attrition rate (past 12 months)
Average number of public space repair tickets issues (past 12 months)
Most recent 'pest and waste metric' score

It was beyond the scope of this study to determine appropriate multipliers that, in combination with the proposed factor metrics above, could generate per-site staffing estimates for each caretaker type. We recommend that relevant subject-matter experts and site-based staff identify, test, and iterate on staffing formulas upon before widespread adoption. The final formula should include necessary buffers for anticipated absences and consider the number of schedules staff are split between. We believe the outcome will provide NYCHA with a powerful tool to assess the distribution of caretakers across and within developments.

Future AWS Success Evaluation

The primary factors for AWS's success and failure relate to scheduling and staffing levels at developments. However, two additional factors do meaningfully affect caretaking efficacy and resident satisfaction.

First, **caretaking involves a mutual relationship.** Resident behaviors are a key factor affecting the workload of caretakers. A lack of oversight and accountability for residents disrespecting communal spaces not only increases task load/timing, but also jeopardizes caretakers' safety. Conversely, residents who do take pride in their homes are legion — and these conscientious residents can be better supported and nudged to dispose of waste in ways that will reduce caretaker workloads.

Second, **we repeatedly observed the genuine commitment of NYCHA staff.** While staff across different departments or at different levels may not fully understand one another, our qualitative research left us convinced that NYCHA staff have residents' interest at heart. Our research team was impressed by the dedication of caretaking staff and particularly by the ambition of many to build a better life for themselves by working up the career ladder within NYCHA. However, we observed notable variation between sites in staff capabilities and in supervisor leadership approaches — variations that greatly affect the culture, morale, time management, and service outcomes at developments, both positively and negatively. Staff ambition and commitment can be better engaged through efforts to share caretaking and managerial best practices.

Please see below for two recommendations that capitalize on these findings.

Recommendation 5

Improve Trash Handling

We recommend that NYCHA invest in improving staff and resident trash handling. Through qualitative research with residents and shadowing with caretakers, we observed a shared frustration about the lack of appropriate infrastructure for resident waste disposal. NYCHA is currently installing large garbage chutes on the first floor of many buildings across NYCHA developments to divert garbage away from drop sites, and we encourage NYCHA to expedite that process as much as is possible. Where that is not possible, we recommend providing more efficient and effective drop site infrastructure, such as large wheeled bins, to reduce vermin, discourage residents from using unofficial drops sites, and lower task time for caretakers.

Additionally, NYCHA should create designated daily times for residents to bring their oversized trash to drop sites. We recommend between 6 a.m. and 2:30 p.m. daily. Aligning official drop-off times with caretaker staff hours will reduce waste accumulation. Trash-handling procedures can be reinforced through behavior-change ‘nudge’ signage, social-norm communications, and extensive community engagement with residents.

Recommendation 6

Standardize and Share Caretaking Best Practices

We recommend implementing two knowledge-sharing initiatives to distribute best practices to supervisors and caretakers across NYCHA, ensuring a consistent standard of care. Through shadowing and interviews with residents, subject-matter experts, and site-based staff, our research team heard and observed notable variations in task-outcome expectations, work practices, and supervision levels.

To provide clear task instructions for caretakers and guidance for supervisor inspections, we suggest updating the existing janitorial guide (used during training) and providing copies at developments. The guide should be collaboratively updated by caretakers, supervisors, and NYCHA operational and training staff in order to create a universal standard of care across developments. This updated version of the guide should include instructions for janitorial tasks and picture-based outcome expectations. Supervisors should receive training to ensure they utilize the guide as a tool for inspecting and ongoing training of caretakers. Ideally, the guide will also include a task-priority guide for caretakers and supervisors to reference when staff shortages occur.

Across NYCHA there are a number of high performing developments. The insights and practices of the supervisors at these developments ought to be shared with other developments. Through our research we discovered that some regional asset managers (RAMs) facilitate monthly meetings with supervisors across their region. These meetings provide an excellent opportunity for supervisors to hear and speak with peers, learn from one another, and identify and strategize over collaborative opportunities. We recommend the standardization of these meetings to be facilitated by RAMs across all NYCHA regions with representatives from the quality assurance department also invited. These meetings or calls can be an effective tool in knowledge sharing as supervisors communicate challenges and share best practices.

PUBLIC POLICY LAB

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Acknowledgments

NYCHA Residents & Development Staff

This project was only possible because of the NYCHA caretakers, supervisors, and residents at Gompers, Howard, and Ingersoll Houses who very generously shared their experiences and insights with the project team. We include their contributions anonymously. We offer them our sincere thanks.

Stakeholder Participants

We appreciate the thoughtful participation of staff members from NYCHA's Departments of the General Manager & COO, Compliance, Community Engagement & Partnerships, Finance, Human Resources, Information Technology, Legal Affairs & General Counsel, Management and Planning, Operations, Payroll, Performance Tracking and Analytics, Quality Assurance, and Resident Engagement; to members and leadership of Teamsters Local 237; and to representatives of the U.S. Department of Housing and Urban Development, TAG Associates, and the NYCHA Federal Monitor's team who attended collaborative sessions and provided subject-matter expertise, research support, and ongoing feedback throughout the project.

NYCHA Department of Strategic Planning

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Maitri Pujara, Intern
Kyle Slugg, Intern
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Zachary Tesler, Intern
Daniel Townsend, Deputy Director of Strategic Planning
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Natalie Sims, Design Director
Stephanie Yim, Senior Designer

Appendix 8

Sample MOU

SAMPLE MEMORANDUM OF UNDERSTANDING BETWEEN [PARTNER] AND THE PUBLIC POLICY LAB, INC.

THIS MEMORANDUM OF UNDERSTANDING (“MOU”) dated ____________ , 2023, is entered into by and between [PARTNER], located at [PARTNER ADDRESS]; and Public Policy Lab, Inc. (“PPL”), located at 20 Jay Street, Suite 203, Brooklyn, NY 11201 (each individually a “Party” or collectively “the Parties”).

WHEREAS, [PARTNER], as part of its mission, [PARTNER MISSION]; and

WHEREAS, PPL is a nonprofit innovation lab that partners with public agencies to apply human-centered research, design, and evaluation methods to the challenges faced by low-income and at-risk humans; and

WHEREAS […]

WHEREAS […]

WHEREAS […]

NOW, THEREFORE, the Parties hereto agree as follows:

ARTICLE I. TERM OF MOU

A. The term of this MOU shall be for the period commencing [DATE], 2023 through [DATE], 2023 unless this MOU is terminated sooner in accordance with the terms herein.

B. This MOU may be extended by the Parties to encompass subsequent phases of the Project, for a term not to exceed three (X) years. In the event of such an extension, the extension agreement shall set forth the scope of the subsequent phase(s) and the responsibility of each Party in the performance of that phase. Notwithstanding anything to the contrary, any extension shall be in a separate written agreement by the Parties.

ARTICLE II. SCOPE OF SERVICES

A. **General**

1. The objectives of this Project are to [SUMMARIZE PROJECT OBJECTIVES] (the “Objectives”).

2. PPL and [PARTNER] will collaborate in efforts to: [SUMMARIZE PROJECT ACTIVITIES] (collectively, the “Activities”).

B. **PPL Responsibilities**

1. PPL shall conduct primary design research with [PARTNER] front-line staff, members of the public, [ADDITIONAL RESEARCH SUBJECTS], as well as with third-party housing professionals, policy and operations leaders, and subject-matter experts.

2. PPL will work with [PARTNER] to recruit all research participants and ensure that participation shall be completely voluntary. Prior to conducting any design research with an individual as part of this Project, PPL shall review the Consent Form [attached hereto as **Appendix B**] with the individual, and shall ensure that such individuals have signed a copy of the Consent Form prior to PPL collecting Confidential Information and starting the research activities.

3. PPL may, in its sole discretion, provide payment to individuals who consent to participate in design research activities, with the exception of public agency staff, who shall not be compensated.

4. PPL shall introduce itself when interacting with individuals who are not participating in this Project. Unless the non-participating individual signs the Consent Form, PPL shall not capture any communications, quotes, recordings, photographs, or any other information learned from such individuals and shall delete from its files and records such individuals' names, addresses, email addresses, telephone numbers, contact information, other information that would allow identification of individuals, and any other personally identifiable information ("PII"). Notwithstanding anything to the contrary, PPL shall have the right to retain all consent forms or proof of permissions in perpetuity.

5. PPL will use PII ("Confidential Information") solely for the purpose of this Project during the term of this MOU and that the Confidential Information will be accessed only by PPL's employees, interns, student researchers and contractors whose access to Confidential Information is necessary to carry out the Project ("Authorized Users"). PPL will not use Confidential Information for personal benefit or the benefit of another, nor publish, sell, license, distribute, or otherwise reveal Confidential Information except for the purpose of the Project.

6. Prior to entering any City of New York or [PARTNER] workplace for research, PPL shall coordinate with the designated [PARTNER] contact to inform [PARTNER] of the day/times that PPL staff will be on site. PPL shall supply its own laptops/resources to perform its work. PPL staff shall be required to present appropriate identification when entering a site. PPL shall adhere to any timing, scheduling, or other access restrictions indicated by [PARTNER].

7. Following the completion of its research, PPL shall engage collaboratively with [PARTNER] to develop conceptual policies, program models, processes, procedures, and/or programmatic innovations in furtherance of the Objectives.

C. **[PARTNER] Responsibilities**

1. [PARTNER] will work with PPL's team to facilitate the Activities.

2. [PARTNER] will work with PPL to recruit all research participants and ensure that participation shall be completely voluntary. [PARTNER] shall not constrain or restrict PPL's collection of research data from members of the public or provision of payment to those individuals, so long as those individuals have consented to participate, as described above. [PARTNER] reserves the right to deny access to specific [PARTNER] locations or [PARTNER] staff as it deems appropriate.

3. Following the completion of PPL's research, [PARTNER] shall engage collaboratively with PPL to develop conceptual policies, program models, processes, procedures, and/or programmatic innovations in furtherance of the Objectives.

4. [PARTNER] in-kind staff shall embed with PPL in field research and development of concepts, but these activities will be led by PPL.

ARTICLE III. RETENTION OF RECORDS

The Parties, in addition to requirements of the above scope of services provisions, agree to retain, with the exception of PII, all books, records and other documents relevant to this Agreement for six (6) years after termination of this MOU. Relevant City, State of New York ("NYS") and federal auditors and any other persons duly authorized by either party shall have full access to and the right to examine any said materials during said period. PPL must delete or destroy all PII at the conclusion of the Project pursuant to Article V. Notwithstanding anything to the contrary, PPL shall have the right to retain all consent forms or proof of permissions in perpetuity.

ARTICLE IV. COMPLIANCE WITH LAW

A. The Parties shall perform all services under this MOU in accordance with all applicable federal, state and local laws as are in effect at the time such services are performed.

ARTICLE V. CONFIDENTALITY

A. Any PII that permits the identity of an individual to be directly or indirectly inferred and that is obtained, learned, developed or filed by PPL in connection with the Activities, including data contained in PPL's files or records, shall be held confidential by PPL pursuant to the provisions of the Social Services Law of the State of New York, the federal Privacy Act of 1974 (5 U.S.C. § 552a), and any applicable regulations promulgated thereunder, and shall not be disclosed by PPL to any person, organization, agency or other entity, except as explicitly authorized by the individual whom the information describes or as authorized or required by law.

B. Any non-public or internal reports, information, or data, prepared by either Party for purposes outside the scope of this MOU and disclosed to the other Party for informational or background purposes related to this MOU, are to be held confidential, and the Parties agree that the same shall not be made available to any individual or organization without the prior approval of the disclosing Party, other than if required by law, including but not limited to the Freedom of Information Law.

C. Confidential Information does not include information that is not PII if the information: (i) is known to the recipient prior to disclosure by the disclosing party; (ii) is rightfully received by the receiving party from a third party having the right to disclose the information; (iii) is or becomes publicly available through no act of the receiving party; (iv) is hereafter furnished by the disclosing party to others without a similar restriction on disclosure; or (v) is independently developed by the receiving Party without benefit of the other's confidential information.

5. The Parties agree to use appropriate safeguards to prevent the unauthorized use or disclosure of any PII or other confidential information, and to implement administrative, physical, and technical safeguards that reasonably and appropriately

protect the confidentiality, integrity, and availability of any PII, whether in electronic or paper form, that they create, receive, maintain, or transmit pursuant to this MOU. Access or use of PII or other Confidential Information developed in connection with this MOU shall be restricted to the Parties' employees, interns, student researchers, and contractors authorized to use such data in performance of their duties pursuant to this MOU. The Parties shall ensure that each of its employees, interns, student researchers, and contractors performing work under this MOU is bound by a confidentiality agreement that aligns with the provisions of this MOU.

6. PPL will use appropriate physical, technological, and procedural safeguards pursuant to the citywide security standards and requirements for data security set forth by the New York City Department of Information Technology and Telecommunications and the New York City Cyber Command. PPL will store all Confidential Information on a password-protected, encrypted shared network drive accessible only to Authorized Users.

7. PPL will ensure that Authorized Users understand and comply with the provisions of this MOU applicable to Confidential Information.

D. If either Party learns that any of the Confidential Information obtained under this MOU has been disclosed or used, by either its own staff or otherwise, for a reason other than for the purposes stated herein for which it was provided, whether such disclosure or use is inadvertent or otherwise, they shall notify the other Party immediately, but no later than five (5) calendar days, in writing, of such discovery. Such notice shall be provided to the contact persons listed in **Article VII** hereto.

E. In the event of an unauthorized disclosure of Confidential Information by either Party, or if either Party knows or has reason to believe that Confidential Information may have been disclosed to entities or persons without proper authorization, then the Responsible Party shall:

1. Immediately commence an investigation to determine the scope of the unauthorized disclosure to determine if a data breach occurred and shall draft an incident report containing such findings, including the type of information that was disclosed, the identity and number of the individual(s) whose protected data was, or is reasonably believed to have been the subject of the breach.

2. Promptly notify the other Party in writing of the breach when it is discovered, but no later than five (5) calendar days after discovery. The Parties' legal counsel will review the incident report and will determine whether a breach has occurred and will determine whether additional corrective action is necessary.

3. At the discretion of either Party or as required by law or regulation, promptly notify the affected individual(s) about a breach of the Confidential Information and/or PII, but no later than sixty (60) calendar days after discovery of the breach, except where a law enforcement official determines that a notification would impede a criminal

investigation or cause damage to national security. Notification shall meet the requirements of applicable local, state and federal law.

F. The provisions of this Section shall remain in full force and effect following termination of, or cessation of the services required by this MOU.

G. PPL will destroy Confidential Information and cause its Authorized Users to destroy Confidential Information by the earlier of whenever Confidential Information is no longer needed, or upon termination of this MOU. PPL will certify that Confidential Information has been destroyed in accordance with this MOU within 30 days of destroying or returning Confidential Information. If it is impossible or unlawful to destroy or return Confidential Information, PPL will provide a written explanation and will immediately stop accessing, using, or disclosing Confidential Information. Notwithstanding anything to the contrary, PPL shall have the right to retain all consent forms or proof of permissions in perpetuity.

ARTICLE VI. OWNERSHIP AND DISCLOUSURE OF INTELLECTUAL PROPERTY AND DELIVERABLES

A. PPL is and shall remain the sole and exclusive owner of: all research artifacts, inventions, tools, methods, prototypes, designs, or other materials, including all data and intellectual property and other rights collected or embodied therein, created or licensed by PPL prior to entering into the MOU, developed during the course of the MOU in order to enable PPL to produce the Deliverables (as defined below), developed as preliminary works that are not incorporated into the Deliverables, or developed by PPL for reasons unrelated to the MOU (collectively, "PPL Background IP & Research Data").

B. Upon completion of the Activities of this MOU and expressly conditioned upon full payment by [PARTNER] of any agreed fees, costs or expenses, PPL shall assign to [PARTNER] a perpetual, irrevocable, royalty-free, non-transferable, sub-licensable, worldwide, license to all reports, artwork, design, software, and other materials provided by PPL to [PARTNER] as the outputs of PPL's planned ten phases of work (collectively, the "Deliverables"), as described in the project plan collaboratively developed by PPL and [PARTNER] and attached hereto as **Appendix C.** To the extent any PPL Background IP & Research Data is incorporated into any Deliverable, PPL hereby grants [PARTNER] a perpetual, irrevocable, royalty-free, non-transferable, sub-licensable, worldwide, license to such PPL Background IP & Research Data to make, have made, use, copy, distribute, modify and otherwise exploit any such Deliverable, to the extent such license is required for [PARTNER] to use the Deliverables.

C. Either Party may publicly describe its role in relation to authorship of the Deliverables and to the Activities undertaken pursuant to the MOU. In addition, as part of the sharing activities described in Appendix C, PPL will develop public-facing summaries or excerpts of each of the Deliverables, to be provided to [PARTNER] at the same time as each Deliverable. [PARTNER] will make a good-faith effort to agree to a final version of each summary or excerpt within fifteen (15) days after the delivery date of each Deliverable.

Both Parties may subsequently modify, compile, combine with other content, copy, record, synchronize, transmit, translate, format, distribute, publicly display, publicly perform, and otherwise use or exploit such summaries or excerpts of the Deliverables.

D. Agreement during the course of the conducting the Activities to certain summaries and excerpts shall not constrain the Parties from additionally agreeing, at the completion of the Activities, to publicly release all or a further portion of the Deliverables.

ARTICLE VII. NOTICE

Notices required herein shall be in writing and shall be sent by certified mail, return receipt requested, or by electronic mail and shall be delivered to the other Parties at the following addresses:

The PPL contact person is:

Chelsea Mauldin
Executive Director
Public Policy Lab
20 Jay Street, Suite 203
Brooklyn, NY 11201
cmauldin@publicpolicylab.org

The [PARTNER] contact person is:

++TK

ARTICLE VIII. TERMINATION

The Parties shall each have the right to terminate this MOU without cause by giving the other party thirty (30) days written notice, or immediately for cause.

ARTICLE IX. MODIFICATION

This MOU may not be modified unless in writing by mutual written consent of the Parties in a manner not materially affecting the substance hereof. It may not be altered or modified orally.

ARTICLE X. ENTIRE AGREEMENT

This MOU contains all the terms and conditions agreed upon by the Parties hereto, and no other agreement, oral or otherwise, regarding the subject matter of this MOU shall be deemed to exist or to bind any of the parties hereto, or to vary any terms contained herein

[THE REMAINDER OF THIS PAGE IS INTENTIONALLY LEFT BLANK]

IN WITNESS WHEREOF, the Parties affirm their understanding of the terms herein by executing this MOU on the dates appearing below their respective signatures.

[PARTNER]

____

Signature

____

Name

____

Title

____

Date

PUBLIC POLICY LAB, INC.

Signature

____

Signature

____

Name

____

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